

SI-DRIVE

Social Innovation: Driving Force of Social Change

## D10.3: SOCIAL INNOVATION IN POVERTY REDUCTION AND SUSTAINABLE DEVELOPMENT: CASE STUDY RESULTS

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**Remark:**

**This case study summary is an own interpretation of the case study conductors and policy field leaders based on the information and data accessible and given by the initiatives.**



# A. METHODOLOGY

## 1 METHODOLOGY AND DESIGN

### 1.1 SI-DRIVE METHODOLOGY

The SI-DRIVE methodology is constructed as an iterative research process characterized by two empirical phases based on and feeding the three central research pillars of SI-DRIVE: theory, methodology and policy. The units of analysis in this document are as follows (brief working definitions for this report only):

- **Policy field:** a major area of public policy examined by SI-DRIVE<sup>1</sup> -- in this document the policy field examined is poverty reduction and sustainable development (hereinafter PRSD).
- **Practice field:** a specific practice-based set of social and other practices and processes that focuses on meeting a specific social need thereby contributing to one or more of the policy goals of the policy field to which it belongs.
- **Case study:** a particular self-contained example of a discrete initiative illustrating many of the social and other practices and processes in a given practice field.

The SI-DRIVE methodology is designed as an iterative process, starting with empirical phase 1 consisting of the global mapping of social innovation: the comparative analysis of 1,005 cases worldwide, seven policy field reports, global regional reports, external database screening, and eight first policy and foresight workshops. These results led to the improvement of the three pillars and set the ground for empirical phase 2: the in-depth case studies, some of the results of which are presented in this document as one of SI-DRIVE's seven policy fields. Finally, the results of both empirical phases will lead to a summative comparative analysis in each of the policy fields, and to the final theoretical framework, the final methodology and the final policy and foresight recommendations of SI-DRIVE.

### Iterative Process: Two Empirical Phases Based on and Feeding Theory – Methodology – Policy Development

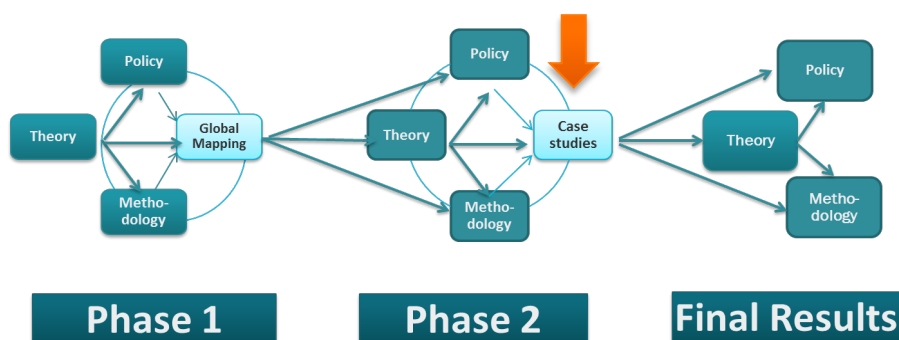


Figure 1: Continuously updated research cycle

Thus, the SI-DRIVE methodology deploys a triangulation approach as well as a combination of quantitative and qualitative methods through a sequential process. While the quantitative approach is more appropriate for analysing the first phase empirical mapping of 1,005 social innovation cases, the qualitative methodology of the second phase is more relevant for in-depth analysis of case studies drawing on the first phase.

<sup>1</sup> The seven policy fields of SI-DRIVE are education; employment; environment; energy and climate change; transport and mobility; health and social care; and poverty reduction and sustainable development.

As an outcome of the second phase, this report summarises and analyses 13 in-depth case studies conducted in the PRSD policy field, and will itself lead into the final comparative analysis for the policy field at the end of the project.

## 1.2 BACKGROUND AND CENTRAL QUESTIONS OF THE CASE STUDIES

The focus of the qualitative research in this second empirical phase is on the dynamic **interrelation between social innovation, the practice field and various mechanisms of social change**. Therefore the guiding meta-question for the case studies of SI DRIVE focuses on the **mechanisms of social change**:

**Does Social Innovation actively use, reflect or contribute to the defined mechanisms of social change (see annex)? Can we identify other additional mechanisms?**

Each of these mechanisms is reflected in SI-DRIVE's five key dimensions (see Figure 2), but with a specific focus on social change. Deriving from the five key dimensions, the main focus of the in-depth case studies is on **governance, networks and actors** as well as on **process dynamics**, and mainly asks which changes appear and are driven by what/whom (see also the research foci in the Annex). Within these focused key dimensions and mechanisms of change **factors of success** (and **failure**) are also of high importance.

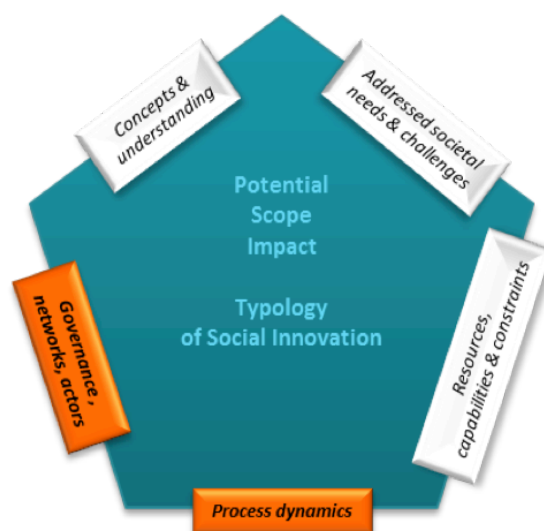


Figure 2: The five key dimensions of SI-DRIVE

The **degree of social change** is also considered: **diffusion** in society, degree of **institutionalization**, and **importance of the practice field / initiative** for everyday life and local communities.

Therefore, the **main objectives of the case studies** aim at a better understanding of:

- the **processes and dynamics** of social innovation in relation to social change (institutionalisation, diffusion and imitation of social practices)
- the **functions and roles of actors and networks** for the development, diffusion, imitation and institutionalisation of social innovations
- the identification of **critical success (and failure) factors**, leading to social change.

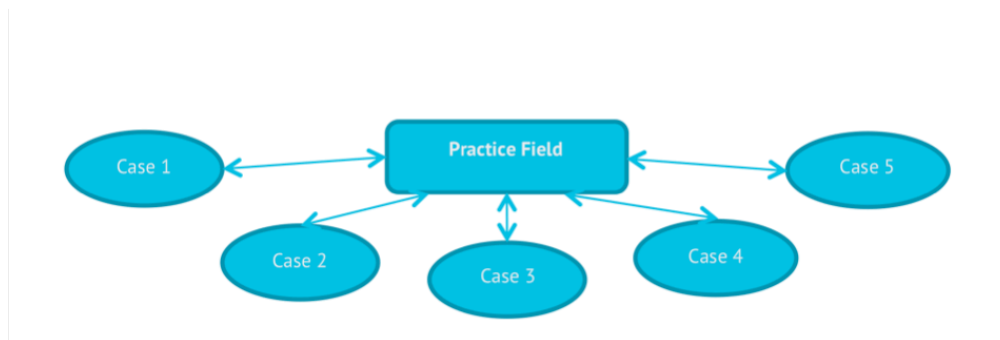
## 1.3 METHODOLOGY OF PRACTICE FIELDS AND CASE STUDY SELECTION

The methodology consists of two levels for the selection and analysis of cases:

- Selection of the relevant **practice fields** to analyse (2 or 3 in each policy field) based on:
  - main criterion: importance for the policy field, already leading to social change
  - main interview partners: different types of representatives of the practice field, e.g. associations, interest groups, politicians, leaders, etc. - representing the social innovation ecosystem or sectors (**public, private, civil society, and science**)
  - a range documented materials, and other sources.
- Selection of social innovation **case studies in each practice field** (4 to 5 cases each):
  - main criterion: connection and contribution of a given case study to the practice field in question.
  - main interview partners: people who are *actively* involved in developing the social innovation initiative, project organisers/participants/actors, users and beneficiaries – representing the social innovation ecosystem or sectors (**public, private, civil society, and science**)

- a range of documented materials, and other sources.

Because the individual case studies can only be illustrative of the main issues in a given **practice field**, the analysis draws on four or five cases from different contexts and ultimately can only be considered as one input to understanding the practice field (**hybrid approach** -- see Figure 3). Thus, it is important to point out that these **case studies are not necessarily fully representative of a given practice field**. This is especially so given that the practice field itself is a conceptual construct, albeit based on the expert judgement of SI-DRIVE partners who have detailed knowledge of the social innovation landscape and context in their country/region and who have selected case studies to illustrate this. Although this document focuses only on what the case studies can tell us about a given practice field, a later SI-DRIVE report will also take direct account of the 1,005 cases in SI-DRIVE's database, as well as broader secondary research, when drawing more comprehensive conclusions about each practice field and each policy field in general.



**Figure 3: Hybrid approach to analysing a practice field.**

An average of about ten case studies each have been analysed across all seven policy fields, with thirteen in the PRSD policy field, the subject of this report. The cases were analysed based on a common template and approach across all policy fields, as well as the responsible partners' knowledge and experience. In addition, logistical issues like access to and willingness of the social innovations to participate, and the desirability of achieving some variety in the range of cases from different contexts and locations. In terms of selecting practice fields and case studies:

- the **selection of the practice field**: the (strategic) relevance for the policy field, the differentiation and spread of individual cases within the practice field, as well as the degree of development of cases (i.e. that are already in the implementation and/or impact phase).
- the **selection of the individual cases**: selected cases should be already highly developed as above, embedded in networks, movements or umbrella organisations, and be representative of the practice field illustrating its variety in terms of social and other practices and processes.

Against this background, the cases were **selected from the existing global mapping database** prepared during the first empirical phase in 2015. If a new important case of high interest (not in the database) was identified, there was the possibility to add at least **one additional case** per policy field. Because the global mapping stressed that social innovations often comprise more than one policy field, **overlapping cases** were taken into account and finally assigned by the policy field leaders.

The case study template has a **common, but flexible structure**. This means that the main topics and the related main questions were used reflectively and that additional questions could be added if useful to improve or deepen the analysis, depending on the responses of the interviewees and the expertise of the interviewers. The particular context of each case, the case actors and other considerations were also taken into account as necessary.

While the case study template followed the context and perspective of a single initiative, the structure of the reporting document starts with the practice field in question. This is in order to provide the overarching context, thereby also assisting in bundling and summarising the results of the different related cases, illustrating the practice field, and summarising common topics across studies.

Thus, the structure of the template for the case study inquiry is the reverse of the structure of the case reporting template, as follows:

1. The **case study template (bottom-up)**: the initiative perspective is the starting point, leading to the overarching perspective of the related practice field at the end where the focus turns to its context. Thus, the template starts with the idea of the case, proceeds to its development process and ends with its impact. The template then concludes with the practice field context, i.e. the integration of the initiative in the broader practice field background, conclusions and institutionalisation.
2. This report, in contrast, follows the **case reporting template (top down)**: the context of the practice field is the starting point, providing the overarching perspective and examining the main issues of social change. The template thus groups the cases within each practice field at the beginning and then goes on to draw practice field conclusions. It then finishes with some overarching policy field conclusions drawing on these practice field analyses with their constituent cases.

Prior to the case study analyses, other relevant information from the first phase mapping, as well as broader secondary research results (including information about the practice field), were integrated into the case interview template. For the case study fieldwork and analysis, a common agreed structure across all the seven policy fields was developed, including the case study template, QCA -- qualitative comparative analysis -- questionnaire, and reporting template<sup>2</sup>.

Within the case study template the questions do not vary much between the case level and the practice field level, but the answers relating to the questions were elicited to reflect the different levels. For instance, in a more mature case and practice field, there may be a wide set of competitors given that it has become better established as a social practice, normally over a relatively long time period, such as in car sharing. In possible contrast, a less mature case or practice field that is still in its infancy (although still relevant to examine), competition may be very variable and different in quality or limited overall. The concept of a **social practice** is when there is already a relatively well developed set of different cases, when the original initiators of the first social innovation projects may already be difficult to identify, and where variations, iterations and further innovations on top of the original initiatives have already been applied. A social practice may also be shown by a bundle of initiatives (institutionalised in a practice field), that have different business models, with a variety of services and types of users and beneficiaries, as well as incremental differentiation between different cases.

The following case study methodology and procedure has thus been used:

1. Extraction of relevant information from the 2015 first phase mapping database, and its integration into the reporting template and interview guide for each case study.
2. Search for additional documented materials (internet, literature, etc.) and integration of the results into the interview guide for each case study.
3. Selection and validation of key persons and key actors for the practice field and the case study in question.
4. Interviews, group discussions, site visits, etc. (of **all the relevant actors** of the initiative, **including where possible the users, beneficiaries**).
5. Completion and analysis of the case study template by integrating all the above information<sup>3</sup>.
6. Qualitative Comparative Analysis (QCA) -- for separate analysis.
7. Discussion with the work package leader and validation of the completed case study template.
8. Development of this document, using the case reporting template described above, by the policy field leader.

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<sup>2</sup> QCA results will be analysed in a later report.

<sup>3</sup> Textual analysis was supported by NVivo, a product designed to help users organise and analyse non-numerical or unstructured data. The software allows users to classify, sort and arrange information; examine relationships in the data; and combine analysis with linking, shaping, searching and modelling. NVivo has been used to support the textual analysis, but only to validate and assist in identifying important texts and text linkages in the case studies



## 2 POVERTY REDUCTION AND SUSTAINABLE DEVELOPMENT: PRACTICE FIELD AND CASE SELECTION

### 2.1 DEFINITION OF THE POLICY FIELD

Given that both poverty and sustainable development are multi-dimensional, robust working and operational definitions have been adopted in order to unambiguously focus and scope the work of the policy field. These definitions are derived directly from the United Nations' approach for the global context and the European Union's approach for the European context, as described in an earlier report<sup>4</sup>. Two operational steps have been used to achieve this as described in the following.

#### 2.1.1 Step 1: working definition of poor, marginalised and socially excluded people

Focusing on any individual, group, community or place that is designated as being in income-defined poverty in the context in which they are found. The developing and many emerging economies use the UN/World Bank definition of absolute poverty as less than \$1.25 per day, whilst most developed economies use relative poverty, e.g. in Europe below 60% of median household income. (More information is provided at the beginning of part B) In cases where there is no specific data showing that these limits have been breached, the focus is on serious deprivation experienced by people resulting from income and/or other material scarcity leading to various forms of exclusion, vulnerability or marginalisation.

#### 2.1.2 Step 2: working definition of sustainable development

Taking those defined as being in poverty in Step 1, the interest is on any social innovation initiative designed to produce sustainable development outcomes which directly benefit them, as defined by the UN across the three dimensions of economic, social and environmental. A fourth cross-cutting dimension is added because many social innovations aimed at people in poverty focus on more than one dimension or sector:

- Economic: such as financial security, financial safety nets, income, wages, savings, jobs and vocational training.
- Social: such as tackling social exclusion, inequity, and vulnerability, and quality of life issues like health, education, culture, awareness, knowledge and skills and capabilities and capacities.
- Environmental: the human constructed environment such as habitation, infrastructures, utilities, facilities and amenities, as well as the natural environment related to for example land and water reclamation, pollution, climate change, and bio-diversity.
- Cross-cutting: given that most poor and marginalised people experience multiple deprivation challenges, for example simultaneously low employment, poor education and health, financial insecurity, and often live in inadequate housing in environmentally stressed areas, many social innovations attempt to design initiatives which integrate, coordinate and cut across two or more of these by treating the individual as a whole person.

Such sustainable development outcomes can include raising income (i.e. becoming less poor using the income definition), but this is not a necessary condition for incorporation in the work of this policy field, as they can also cover people achieving, for example, better health, higher standards of education, getting a job, etc., without this necessarily translating into less income-defined poverty. Thus, the focus of this policy field overlaps with many other SI-DRIVE policy fields, such as health, education and employment, but with the proviso of a strict focus on people or groups defined at the outset as being in income-defined poverty and/or who are severely excluded, vulnerable or marginalised. It is therefore a focus of this policy field to always bring out very clearly the specific PRSD factors and issues. For example, if we are looking at a project about healthcare improvements for poor people, which might also

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<sup>4</sup> SI-DRIVE policy field report: poverty reduction and sustainable development, March 2015.

be a candidate project in the health and social care policy field, it has been selected, described and analysed from the PRSD policy field perspective.

The two steps above lead to a relatively broad approach, but one which is concretely anchored in income-defined poverty, exclusion or marginalisation and sustainable development, so it can also be applied globally. The PRSD policy field is therefore *par excellence* a cross-cutting field with the associated challenges and opportunities of having significant overlaps with other SI-DRIVE policy fields. The distinctive difference is however, of course, that the focus is only on social innovations addressing poverty, social exclusion and marginalisation, as well as sustainable development in that context.

## 2.2 DETERMINATION OF PRACTICE FIELDS

The above definition of the policy field shows its wide ranging and cross-cutting nature, especially given its global scope, with most SI-DRIVE partners outside Europe and the huge variety this implies. Given this, it was clear from the outset that it would not be possible to sensibly determine the configuration or importance of practice fields prior to undertaking a comprehensive survey and detailed data collection and analysis. Thus, a two-step approach was adopted, consisting, first, of agreeing with partners a long list of the social needs which social innovations for PRSD in their countries and regions might address, and then using this to map actual initiatives, policies, etc. Subsequently, the second step analysed the results of this mapping to determine its fit and relevance, resulting in a smaller number of refined and empirically based practice fields. These two steps are described in more detail in the following.

### 2.2.1 Step 1: first practice field iteration: deductively specified

Detailed consultation amongst all policy field partners resulted in **4 overarching social needs** derived from the four dimensions of sustainable development described in section 2.1.2 above, i.e. economic, social, environmental and cross-cutting. Through a process of deductive iteration between partners, each of these was then broken down into a number of **sub-categories of social needs**, resulting in 97 in total as shown in Table 1. These were then used as **'surrogate practice fields'** (as possible solutions or ways of meeting these social need sub-categories) for global mapping purposes in step 1 during 2014 and early 2015 (as described above in section 1.1)<sup>5</sup>.

This mapping consisted of surveying and analysing actual policies, programmes, projects and initiatives in all partner countries and regions, and allocating each to one or more of the 97 'surrogate practice fields'. The intention was to specify a large number of practice fields in this first step in order to attempt to capture as much complexity as possible of social innovation for PRSD around the world. This was achieved through various iterations with policy field partners and represented an initial mapping of the status in each country/region, as well as enabling geographic comparison between countries/regions.

### 2.2.2 Step 2: second practice field iteration: inductive testing and refinement

After the step 1 mapping, the 97 'surrogate practice fields' were inductively tested and refined in preparation for SI-DRIVE's step 2 mapping (case study analysis) to take place in 2016. This involved a detailed analysis of these 179 cases by all the contributing partners to examine overlaps, redundancies and emerging practice field topics. The result was a synthesis of a group of empirically-derived practice fields and their distribution across the case studies, which are demonstrably closer to what is found in practice than the original surrogates in step 1 might suppose. The results are depicted in Figure 4.

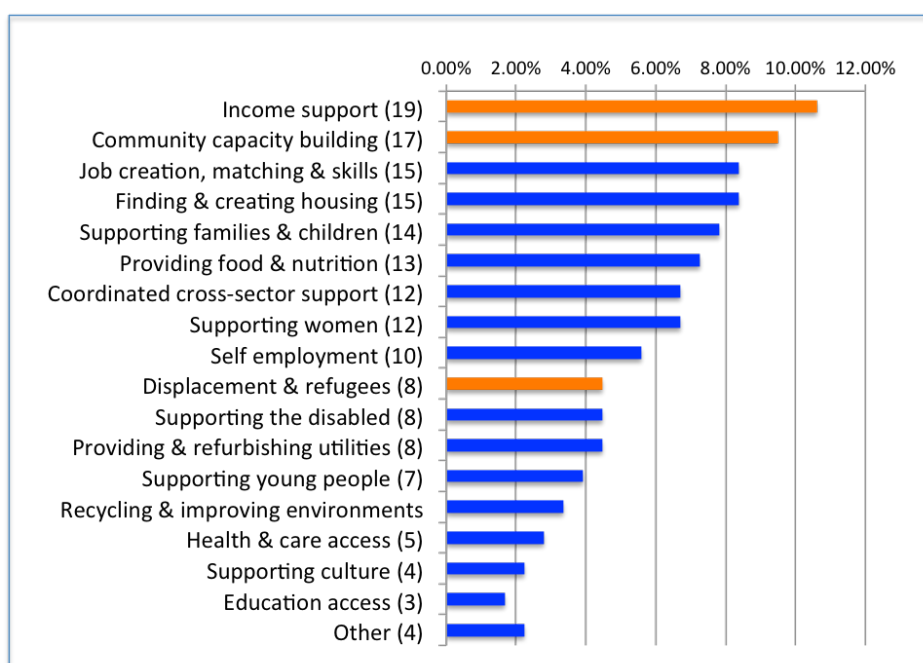
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<sup>5</sup> The following partner countries and regions were separately mapped in depth: China, Colombia, Denmark, Egypt, France, India, Italy, Latin America and the Caribbean, Middle East (North Africa, Southern Mediterranean, Arab Gulf States), South Asia, Turkey, United Kingdom, and the Western Balkans. A full report on this work is available of the SI-DRIVE website ([www.si-drive.eu](http://www.si-drive.eu)): Policy field report: poverty reduction and sustainable development, March 2015.

**Table 1: Social needs summary table for the policy reduction and sustainable development policy field (March 2015)<sup>6</sup>**

Note: the table shows 25 deductively derived social need sub-categories (in brackets is given the number of surrogate practice fields as possible solutions per social need sub-category, summing to 97 in total) -- see explanation in text.

ECONOMIC 6 sub-categories 18 surrogate practice fields	SOCIAL 8 sub-categories 40 surrogate practice fields	ENVIRONMENTAL 5 sub-categories 19 surrogate practice fields	CROSS-CUTTING 6 sub-categories 20 surrogate practice fields
Inadequate or unstable wages / income (5)	Poor education and skills (not directly vocational) (3)	Lacking, sub-standard or dangerous accommodation (4)	Lack of integrated/ institutional support to the poor or excluded (8)
Inadequate savings / financial resources (4)	Poor general health and care (4)	Lacking, sub-standard or dangerous mobility / transport infrastructures (3)	Place-specific poverty / exclusion (2)
Unemployment / under-employment (2)	Lack of / poor nutritious / healthy food (6)	Lacking, sub-standard or dangerous amenities (3)	Corruption (i.e. against the law) (3)
Exclusion from labour market (2)	Poor and unhealthy life styles and 'quality of life' (6)	Lacking, depleted, sub-standard or dangerous utilities (3)	Exploitation / unfair / unethical treatment (i.e. not against letter of the law) (3)
Inadequate supply- of suitable good quality work (3)	Disadvantage, vulnerability and / or discrimination (12)	Sub-standard or dangerous environments (6)	Impoverishment / disruption / displacement caused by human agency (3)
Unhealthy and/or unfair work (2)	Unbalanced migration (3)		Impoverishment / disruption / displacement caused by natural disaster (1)
	Cultural poverty (2)		
	Behavioural problems (4)		



**Figure 4: Distribution of PRSD case studies across empirically-derived practice fields (n = 179)**

Note 1: the numbers in brackets show the total of cases in each practice field.

Note 2: practice fields marked in red are those in which case studies have been selected (see section 2.3).

<sup>6</sup> The full social needs framework for the policy field is given in the Policy field report: poverty reduction and sustainable development, March 2015.

## 2.3 SELECTION OF CASE STUDIES FOR ANALYSIS

As described in section 1.3, each policy field needs to identify 2 or 3 practice fields each illustrated by 4 or 5 case studies, using the specific case selection criteria mentioned. Based on detailed discussion with SI-DRIVE's PRSD partners, Figure 4 highlights in red the 3 practice fields selected for case study analysis. The rationale for this selection is as follows:

- The two most common practice fields are selected as these best represent the overall PRSD policy field around the world: first, **income support**, and second, **community capacity building**.
- The practice field **displacement and refugees**, has also been selected as a high priority policy area recommended by the European Commission, given the urgency of research into this topic in light of the recent massive migration flows into Europe and the many challenges this throws up.

The tables below present the case studies to be considered in each of the three practice fields.

**Table 2: Case studies in the income support practice field**

Case ID	Name	Country	Partner	Description
651	Mitti Cool	India	TATA	A traditional clay craftsman, innovated by developing an entire range of earthen products for daily use in the kitchen accessible to all like water filters, refrigerators, hot plates, water bottles etc.
363	Shifting Social Grocery - Garrigues	France	UBRUN	This is an initiative that rolls to fight against poverty and exclusion, in south-eastern France. More than just groceries, this project allows families in difficulty to overcome unexpected expenses.
470	National Rural Livelihood Mission	India	TATA	Aims at creating efficient and effective institutional platforms of the rural poor to increase household income through sustainable livelihood enhancements and access to affordable financial services.
853	Support Activities for Poor Producers of Nepal	Nepal	TATA	Ensures the participation and social and economic empowerment of the poor and the socially excluded population in Nepal resulting from population growth coupled with scarce land and natural resources.
849	FXB Foundation Myanmar	Myanmar	TATA	Addresses the growing issue of human trafficking for the Thai sex industry. Offers individualized reintegration depending on each individual's aspirations and skills. Helps the girls find apprenticeships or start a small-scale business.
1714	Neighbourhood Cooperation with Small-scale Farmers	Paraguay	CEPAL	Corporate social responsibility focusing on income generation to improve the living conditions of the community.
1196	The loan of Hope	Italy	LAMA	The target group of the project consist of families and individuals unemployed, living in vulnerable economic conditions; and micro-enterprises and start-ups that face significant barriers to traditional lines of credit.
428	Kudumbashree	India	TATA	A State project for wiping out absolute poverty through concerted community action of women's collectives through micro credit, social entrepreneurship and empowerment.
628	The Microcredit Programme	China	ZJU	This scheme encourages and extends micro loans to the small enterprises, and support the family business, therefore it can also be the measure to generate self-employment.
1558	Yomken - 'It's possible'	Arab countries	HU	Yomken.com is a non-profit platform that supports innovative products and finds challenging solutions for the low-tech industries in the Arab world through a hybrid crowd-funding and open-innovation model.
826	Grameen Foundation	Bangladesh	TATA	Provides credit to the poorest of the poor in rural Bangladesh, without any collateral. At GB, credit is a cost effective weapon to fight poverty and it serves as a catalyst in the over all development

Case ID	Name	Country	Partner	Description
				of socio-economic conditions of the poor.
1192	Special fund for the prevention of usury	Italy	LAMA	The economic crisis significantly increased the unemployed rate and therefore the number of people who have seen a significant reduction in their income, thereby increasing the risks of people being involved in usury. The project focuses on financial education to counter usury and crime
834	Strengthening Popular Finances	Ecuador	CEPAL	This initiative provides alternative financial services to a rural population lacking access to commercial bank credit, in order to promote local development through the use of small remittances and savings. The central idea is to ensure access to credit for poor people living in rural areas or small villages.
820	Free debt advice service provision to over-indebted citizens	Bosnia and Herzegovina	SIL	IFC introduced free debt advice services in BiH where free service is provided to individuals which are not in the situation to regularly repay their debt or debts on time to one or more financial institutions.
1274	ebank	Croatia	SIL	Ebank is an ethical bank, democratically owned by its customers. Ebank will create a solidarity ecosystem able to keep added value within communities to improve quality of life. Ebank will use an open-source platform ready to be replicated.
1601	BANKOMUNALES	Colombia	SOMOS	The "Bankomunales" are small organizations owned by members of the community, who decide to constitute capital to provide financing and investment services to each other.
1167	One Acre Fund	East Africa	UCT	OAF helps small-scale farmers earn a better return for their produce and thus escape poverty by providing rural farmers with the funds for fertilizers, seeds and other inputs, as well as efficient agricultural techniques and access to markets.
734	Innovative funding models for inclusive agricultural development	Bosnia and Herzegovina	SIL	New producers can start production almost risk free. Buyer co. provides them a starter package and guarantees buy-in. Producer pays up to 30% initially and repays the rest through produce during 3 yrs.
627	Self-relieved Production	China	ZJU	Industrial Poverty Alleviation Model Characterized by "Self-relieved Production" for Rural Population in Jiangxi Province The government develops poverty alleviation funds through industries and provides the peasants with fiscal subsidies so as to guide and encourage them to get rid of poverty by production.

**Table 3: Case studies in the community capacity building practice field**

Case ID	Name	Country	Partner	Description
1468	School for Life	Ghana	UBRUN	SfL is a Ghanaian NGO that has developed the School for Life programme in rural northern Ghana to bring 'complementary basic education' to 8-14 year olds from poor families who would otherwise not receive schooling. Impressive results have been achieved since programme start in 1995, including over 200,000 girls and boys who are now literate. This takes place in collaboration with a Danish NGO and the Ghanaian government funded by Danish and later other countries' aid money.
1590	SPICE	UK	UBRUN	Spice is a social enterprise originating in Wales that is based on time as a currency and helps organisations to use their time credit currency.
653	Dignity and design (Jan Sahas )	India	TATA	Protection of human rights and development of socially excluded communities through abolishing all kinds of social exclusion and promotion of community based institution and decent livelihood.
944	Maadi Community Foundation	Egypt	HU	Community-based giving aims at reviving and modernizing the concept of endowment as a means for encouraging sustainable non-governmental financing and development in Egypt.

Case ID	Name	Country	Partner	Description
1563	AgroSolidarity	Colombia	SOMOS	Social exclusion may take the form of discrimination along a number of dimensions including gender, ethnicity and age, which reduce the opportunity for such groups to gain access to social services and limits their participation in the labour market.
1577	Integral Territory Development	Colombia	SOMOS	The program generates conditions for inclusion of communities and other actors. It actively involves people living in poverty into development projects which improve their quality of life and build democratic relations for a peaceful coexistence.
1582	Sotará Milk Producers Association	Colombia	SOMOS	Development of a community company in areas at risk of displacement and of expansion of illicit crops for income generation. The project also seeks to construct community networks.
1736	Productive ecoroofs	Colombia	SOMOS	The precarious living conditions of families living in high risk areas of poverty and vulnerability keep them off to a healthy life style. It is possible to face this problem improving the utilities and commodities of their environment.
1559	Zikra Initiative	Jordan	HU	The Zikra Initiative diminishes the socio-economic gap by conducting programs where urban and marginalized community residents may engage, interact, and exchange resources.
718	Kavar Basin Rural Development Project	Most countries	ITU	A project that promotes better practices in agriculture and animal husbandry by providing infrastructure and education.
1584	SEKEM Development Foundation	Egypt	HU	The SDF model is a cross-cutting initiative covering many topics and other practice fields, including bio-dynamic farms applying eco-friendly and healthy cultivation methods.
1586	Sekem Initiative for Sustainable Development	Egypt	HU	Sustainable development towards a future where every human being can unfold their individual potential; where mankind is living together in social forms reflecting human dignity; and where all economic activity is conducted in accordance with ecological and ethical principles., current
759	Center for development of Municipality of Tinjan	Croatia	SIL	Trade association which was co-founded by residents of Municipality of Tinjan (32 of them) and Municipality of Tinjan, which aims at developing strategic projects in the Tinjan area. Strategic project
817	New Opportunities for Agriculture	Albania	SIL	NOA program is to increase economic growth in Kosovo through expanded, environmentally sustainable production and sales of value-added agricultural products by enabling producers and processors to compete regionally and globally.
824	Arifagicinvestmen	Bosnia and Herzegovina	SIL	The concept of community development through agriculture, currently in north-western BiH, but is planned to be introduced countrywide in the future.
1065	Rural Development Network of The Republic of Macedonia	Macedonia	SIL	RDN supports structured approach in mobilizing rural communities to become stronger agents of local developments and participate in rural policy at local, regional, national and EU level.
1068	Local Development Strategies	Albania	SIL	Local Development Strategies (Leader+ Approach), Community supported agriculture and rural development.

**Table 4: Case studies in the displacement and refugees practice field**

Case ID	Name	Country	Partner	Description
1562	Seamstresses weaving social dynamics	Colombia	SOMOS	The project consists in the creation and consolidation of a productive unit that generates income for women in a situation of displacement, around making school uniforms.
1583	Active New School: Learning for change and innovation	Colombia	SOMOS	Active New School: Learning for change and innovation. Active New School is an innovative approach to schooling in rural areas, that has also developed a specific approach for vulnerable population that hasn't had formal education before as well as person that have been

Case ID	Name	Country	Partner	Description
				forcefully displaced. This specific approach for this type of population has expanded in many regions of Colombia, as well as in other countries (México, Vietnam, East Timor and Peru) with support of UNICEF, World Bank, and Plan International.
1317	Taste of Home	Croatia	SIL	The Taste of Home brings specific cooking and gastronomic as well as language skills of refugees to create an environment for their economic emancipation as a part of their social inclusion and integration.
1670	Infrastructure for Peace ROMANIA	Romania	DANUB-IUS	To develop the capacity for synergy in conflict transformation activities by building the I4P Romania Network and transfer to organizations from Romania the capacity to operate with Restorative Practices approaches.
1679	Volunteer network for refugees in Denmark	Denmark	UBRUN	Frivillignet is the Danish Refugee Council's nationwide network of volunteers who support refugees, and others with an ethnic background, to find their feet in the Danish society.
1681	Scattered hospitality	Italy	LAMA	The project aims at tackling the refugee crisis and the lack of temporary housing facilities by promoting the reception of refugees by local families in their own private apartments. The project supports both the hosting family and the refugee, through financial support and realization of support and supervision services.
768	Be Responsible	Montenegro	SIL	Tackling corruption and displacement concerns by responding to the need for more transparency and accountability, for institutions that are responsive to the needs of the citizens.
	Luggage hands-free	France	UBRUN	The innovation started with an idea phase of designing a 'bagagerie' (lockers room) for these homeless and refugee people (SDF) living in the centre of Paris. Located at 15 rue Jean Lantier, the 'bagagerie' has 52 lockers, where users (SDF) can store their belongings in safety as long as needed.

Cases were selected from the above tables according to the criteria in section 1.3. In addition, the following considerations were made, i.e. to:

- achieve good global geographic coverage both between and within practice fields, also given that more than half the policy field's partners are non-European and they contributed more than half of the 179 PRSD cases.
- within each practice field, achieve a range of case types and sizes
- take account of the budgetary resources of individual partners
- take account of logistics issues related to the willingness and ability of cases to provide respondents, access to users, additional material, etc., within the time frame available.

The resulting list of cases selected is thereby listed in Table 5. These cases are presented and analysed in detail in the following sections.

**Table 5: PRSD policy field case study selection.**

Practice Field	Partner	Case ID	Case name	Country
Income support	CEPAL	834	Strengthening Popular Finances (SPF)	Ecuador
	ZIU	627	Self-relieved Production (SRP)	China
	HELIO	1558	Yomken - 'It's possible"(Yomken)	Arab countries
	UCT	1167	One Acre Fund (OAF)	East Africa
Community capacity building	HELIO	1584	SEKEM Development Foundation' (SEKEM)	Egypt
	ITU	718	Kavar Basin Rural Development (Kavar)	Turkey
	SOMOS	1563	AgroSolidarity (AgroSolidarity)	Colombia
	TATA	653	Dignity & Designs (Jan Sahas) (D&D)	India
	UBRUN	1468	School for Life (SfL)	Ghana
Displacement & refugees	LAMA	1681	Scattered hospitality (SH)	Italy
	SIL	1317	Taste of Home (ToH)	Croatia
	SOMOS	1583	Learning Circles for change and innovation in displacement situations (LC)	Colombia
	UBRUN	363	La bagagerie Mains Libres (Luggage Handsfree) <sup>7</sup> (LHF)	France

<sup>7</sup> This replaced case ID 363 "Shifting Social Grocery - Garrigues" (see Table 2) after ID 363 had been original agreed but then ceased with the loss of staff and inability to conduct interviews.



## B. PRACTICE FIELDS EXEMPLIFYING SOCIAL INNOVATION INITIATIVES

In this part of the report, the 13 selected PRSD case studies are analysed in detail, first in terms of each of the three practice fields introduced in section 2.3, and second at the policy field level in section 6.

First, however, a short overview of some of main policy developments affecting the PRSD policy field to set the scene.

The study and support of social innovation has mainly been led by the so-called developed countries, but is also now increasingly a topic of focus in the developing and emerging economies, given the powerful insights it brings to meeting social needs and addressing societal challenges, and particularly to poverty reduction and sustainable development (PRSD). Although the purpose of this document is not to provide a systemic review of development theory and practice, a recent comprehensive account published by SI-DRIVE shows that the post-1945 development debate has been largely driven by classical economics, and despite the brief emergence of the more bottom-up basic needs approach of the 1970s attempting to look at the real lives of people and communities, this market-led approach re-asserted its dominance in the 1980s.<sup>8</sup> Since then, however, much theoretical and practice-led progress has started to challenge this market hegemony, for example in the form of post-development and human development theories, ideas about the social economy and studies of innovation and globalisation. Sustainable development theories and practices themselves have also been established, for example by the Brundtland Commission in 1987 as forms of development which “meet the needs of the present without compromising the ability of future generations to meet their own needs”.<sup>9</sup> This report focuses both on the global and the European context of social innovation for PRSD, based upon the approach of, and evidence derived mainly from, SI-DRIVE but also from preceding desk research.

### Global context

According to UNESCO<sup>10</sup>, reducing global poverty has become an urgent international concern lying at the root of many other social, economic and environmental issues. In purely economic terms, income poverty is defined as when a family's income fails to meet a specific threshold, although this differs across countries. Poverty is normally defined in either relative or absolute terms. Absolute poverty measures the amount of money necessary to meet basic needs such as food, clothing, and shelter. Both the United Nations and the World Bank currently use the international absolute standard of extreme poverty set at the threshold of \$1.25 a day in relation to 2005 purchasing power parity (PPP). The concept of absolute poverty is not concerned with broader quality of life issues or with the overall level of inequality in society. The concept therefore fails to recognise that individuals have important social and cultural needs. This, and similar criticisms, led to the development of the concept of relative poverty. Relative poverty defines poverty in relation to the economic status of other members of the society: people are poor if they fall below prevailing standards of living in a given societal context. An important criticism of both concepts is that they are largely concerned with income and consumption.<sup>11 12</sup> Therefore, in order to broaden the concept of relative poverty and embed it into the real lives of poor people, it is useful to examine it in the context of sustainable development.

The United Nations defines sustainable development as the guiding principle for balanced long-term global development consisting of the three dimensions of economic development, social development and environmental protection, so that if any one dimension is weak then the system as a whole is unsustainable<sup>13</sup>. A typical way to visualize the three dimensions is shown in Figure 5. In September 2000, world leaders adopted the United Nations Millennium Declaration<sup>14</sup>, committing their nations to a new global partnership to reduce extreme poverty and setting out eight overall targets known as the Millennium Development Goals (MDGs), ranging from halving extreme poverty rates to halting the spread of HIV/AIDS and providing universal primary education, by the target date of 2015.

<sup>8</sup> Millard, J. 2014. Development theory, chapter 3 in *Theoretical approaches to social innovation: a critical literature review*, SI-DRIVE, a research project funded by the European Commission's Seventh Framework Programme: [www.si-drive.eu](http://www.si-drive.eu)

<sup>9</sup> Brundtland Commission Report. 1987. *Our common future: report of the World Commission on Environment and Development*, United Nations, New York.

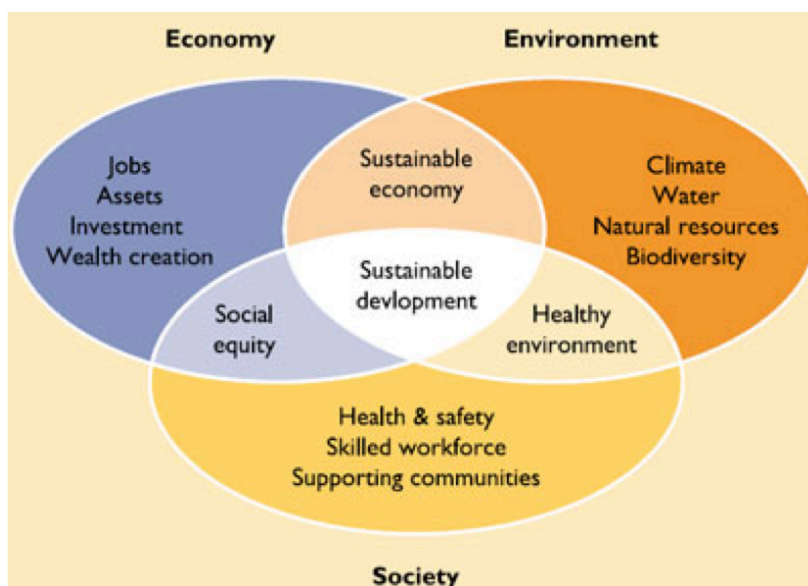
<sup>10</sup> <http://www.unesco.org/new/en/social-and-human-sciences/themes/international-migration/glossary/poverty> (Accessed 16-11-14).

<sup>11</sup> <http://www.unesco.org/new/en/social-and-human-sciences/themes/international-migration/glossary/poverty> (Accessed 16-11-14).

<sup>12</sup> Sachs, J. D. 2005. *The End of Poverty: Economic Possibilities for Our Time*. New York. The Penguin Press; and Ravallion, M. Chen S. & Sangraula P. 2009 *Dollar a day* The World Bank Economic Review, 23, 2, 2009, pp. 163-184.

<sup>13</sup> <http://www.un.org/en/ga/president/65/issues/sustdev.shtml> (Accessed 16-11-14).

<sup>14</sup> United Nations (2000) "United Nations Millennium Declaration 2000: <http://www.un.org/millennium/declaration/ares552e.htm>



**Figure 5: The three dimensions of sustainable development**

Although impressive gains were achieved in some MDGs, such as the reduction of extreme poverty (although this is mainly due to the tremendous economic growth in China), access to safe drinking water, gender parity in primary schools, and improvement in lives for at least 100 million slum dwellers, targets were only partially met for many goals. Serious shortfalls were in targets like access to basic sanitation, deaths from tuberculosis and maternal mortality. In addition, hunger remains a global challenge, illiteracy still holds back more than 120 million young people, progress on primary school enrolment has recently slowed and one in five children under age five in the developing world is still underweight.<sup>15</sup>

In the run-up to 2015, the United Nations in partnership with many other international bodies, institutions, and private and civil actors at all levels, engaged in wide global consultations on the framework for a post-2015 sustainable development agenda termed the Sustainable Development Goals (SDGs). In September 2013, the UN High Level Panel commented “we are deeply aware of the hunger, vulnerability, and deprivation that still shape the daily lives of more than a billion people in the world today. At the same time we are struck by the level of inequality in the world, both among and within countries. Of all the goods and services consumed in the world each year, the 1.2 billion people living in extreme poverty only account for 1%, while the richest 1 billion people consume 72%.”<sup>16</sup> Moreover, there is increasing evidence that inequality directly damages economic growth for all, so that countries with high levels of inequality suffered lower growth than nations that distributed incomes more evenly.<sup>17</sup> Thus, regardless of any social or ethical objections to large and increasing inequality, strong evidence is now available that it also damages the economy and thereby prospects for development.

In September 2015 in Paris, all 193 UN Member States agreed seventeen SDGs, building directly on the eight MDGs, but adding issues related to sustainable energy, employment, infrastructure, cities and habitation<sup>18</sup>. In addition, the SDGs include for the first time a focus on promoting peaceful and inclusive societies, as well as strengthening the means of implementation through greater institutional capacity and collaboration with all relevant actors. To deliver the SDGs by 2030, innovative shifts are required which focus on the participation and inclusion of people, partnerships amongst all actors, gender responsiveness and improvements to risk and disaster management. In turn, these require

<sup>15</sup> United Nations. 2015. *The Millennium Development Goals Report*, United Nations new York, 2015.

<sup>16</sup> United Nations. 2013. *A new global partnership: eradicate poverty and transform economies through sustainable development: The Report of the High-Level Panel of Eminent Persons on the Post-2015 Development Agenda*, United Nations Publications, New York.

<sup>17</sup> IMF (International Monetary Fund). 2014. *Redistribution, Inequality, and Growth*, IMF Staff Discussion Note, February 2014.

<sup>18</sup> <https://sustainabledevelopment.un.org/topics/sustainabledevelopmentgoals>

capacity development and strong leadership across the public sector, as well as rethinking the scope of basic public services as defined in the SDGs, and the use of new technology, especially ICT.<sup>19</sup>

## European context

According to the European Anti-Poverty Network (EAPN), in spite of the overall wealth of the European Union (EU), poverty is still at a relatively high level. Nearly 1 in 7 people are at risk of poverty.<sup>20</sup> Poverty is a direct attack on people's fundamental rights, limits the opportunities they have to achieve their full potential, brings high costs to society and hampers sustainable economic growth. Both absolute and relative poverty also reflect failures in the systems for redistributing resources and opportunities in a fair and equitable manner. These lead to deep-seated inequalities and thus to the contrast of excessive wealth concentrated in the hands of a few while others are forced to live restricted and marginalized lives, even though they are living in a rich economic area.

Although not all people who are socially excluded or vulnerable are poor, the debate on poverty in the EU is often closely associated with social exclusion. The term social exclusion is used to emphasize the processes which push people to the edge of society, which limit their access to resources and opportunities, curtail their participation in normal economic, social and cultural life leaving them feeling marginalized, powerless and discriminated. Another common term associated with poverty is vulnerability. People are in a vulnerable situation when their personal well-being is put at risk because they lack sufficient resources, are at risk of being in debt, suffer poor health, experience educational disadvantage and live in inadequate housing and environments<sup>21</sup>.

Within the EU, poverty is normally measured by using relative income poverty based on the average or median equivalized household incomes in a country. Commonly this ranges from 40-70% of median household income, which gives an overall picture of the risk of poverty, but the figures can also be broken down by age, gender, household type, employment status and locality to give a more detailed picture of who is at greatest risk. This makes it possible to examine the particular situation of specific groups such as children or older people or the unemployed in different locations. In the EU, people falling below 60% of median income are said to be at-risk-of poverty.

In 2010, the European Platform Against Poverty and Social Exclusion<sup>22</sup> was launched as one of seven flagship initiatives comprising the Europe 2020 strategy<sup>23</sup>. With more than 120 million people in the EU at risk of poverty or social exclusion, EU leaders have pledged to bring at least 20 million people out of poverty and social exclusion by 2020. However according to the new President of the European Commission, the situation in 2014 had already deteriorated "We have to expect nearly 150 Million of poor people in Europe by 2025. Currently, 46% of the world wealth is in the hands of 1% of the world population. These inequalities have consequences on citizens' well-being, economy, social cohesion, poverty reduction, solidarity and democracy."<sup>24</sup>

The fight against poverty and social exclusion is at the heart of the Europe 2020 strategy for smart, sustainable and inclusive growth<sup>25</sup>. More specifically the aim is to target poverty and social exclusion through growth and employment as well as modern and effective social protection. In the same way as for the SDGs, which unlike the MDGs are universal and apply to European as well as all other countries, this also foresees working in partnership with civil society to support more effectively the implementation of social policy reforms. The participation of people experiencing poverty was for the first time explicitly acknowledged as a catalyst for inclusion strategies.

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<sup>19</sup> United Nations (2013) "Governance, public administration and information technology for post-2015 development", discussion and findings of the Expert Group Meeting in Geneva, July 2013: [http://workspace.unpan.org/sites/Internet/Documents/Governance\\_PA\\_Report.pdf](http://workspace.unpan.org/sites/Internet/Documents/Governance_PA_Report.pdf)

<sup>20</sup> <http://www.poverty.org.uk/summary/eapn.shtml> (Accessed 16-11-14).

<sup>21</sup> <http://www.poverty.org.uk/summary/eapn.shtml> (Accessed 16-11-14).

<sup>22</sup> <http://ec.europa.eu/social/main.jsp?catId=961> (Accessed 16-11-14).

<sup>23</sup> [http://ec.europa.eu/europe2020/index\\_en.htm](http://ec.europa.eu/europe2020/index_en.htm) (Accessed 16-11-14).

<sup>24</sup> <http://www.eesc.europa.eu/resources/docs/jean-claude-juncker---political-guidelines.pdf>. (Accessed 16-11-14).

<sup>25</sup> [http://ec.europa.eu/europe2020/index\\_en.htm](http://ec.europa.eu/europe2020/index_en.htm) (Accessed 16-11-14).

### 3 PRACTICE FIELD A: INCOME SUPPORT

The income support practice field focuses on how social innovation can assist in supporting individuals and communities to increase their incomes and livelihoods, both directly and indirectly. Poverty, and specifically inadequate financial resources, remains an extensive problem across the globe. The lack of financial resources is typically the main barrier preventing people escape from poverty and increase their prosperity, whether in absolute survival terms as in parts of many developing countries, or in terms of enjoying at least the same basic material and other benefits as mainstream society in more developed countries. Extreme poverty across the world is mostly experienced by rural farmers as well as by those who live in slums and in the margins of rapidly expanding cities, and is a huge problem. A social innovation that enables rural farmers or slum dwellers to get themselves out of poverty is one that eradicates poverty where they live in situ, also because this helps reduce informal population movements, both within and between countries. Those in extreme poverty are often not in a position to address their predicament purely on their own, hence frameworks and systems of support are often hugely important.

Four cases are analysed in the income support practice field:

- **Strengthening Popular Finances (SPF) (Ecuador).** This initiative provides alternative financial services to a rural population lacking access to commercial bank credit, in order to promote local development through the use of small remittances and savings. The central idea is to ensure access to credit for poor people living in rural areas or small villages. The Ecuadorian Populorum Progressio Fund (FEPP) identified the need for financial structures in which the community could place the savings and receive credits. The only credit channel previously available was the *agiotista* (loan sharks) who charge very high interest rates (up to 50%). Therefore, the need for credit outside the *agiotista* system was a latent demand from vulnerable communities. The lack of access to credit at market prices was a barrier for the strengthening of productive activities and the creation of new micro-enterprises.
- **Self-Relieved Production (SRP) (China).** SRP deploys an industrial poverty alleviation model for the rural population in Jiangxi Province. The government develops poverty alleviation funds through industries and provides the peasants with fiscal subsidies so as to guide and encourage them to get rid of poverty through production. Poverty has been a major social issue that hinders the development of society and especially rural areas. Many migrant workers flowed to the eastern coastal developed regions from less developed rural areas, which has greatly improved the living standard of peasants in recent years. However, at the same time, lots of empty nest villages have formed and it is very difficult to move the many farmers remaining in rural areas out of poverty. Therefore, how to solve the issue of rural development under these new conditions becomes an important part of China's anti-poverty strategy. Great efforts have been made by local governments at all levels to promote rural development.
- **Yomken -- 'It's Possible' (Arab countries):** Yomken.com is a non-profit platform that supports innovative products and finds challenging solutions for the low-tech industries in the Arab world through a hybrid crowd-funding and open-innovation model. Yomken is based on an open-innovation model where a specific challenge (which can vary from challenges associated with product design to the building of small scale machines for manufacturing) is posted online, and solutions are sought from the extended web community. As well as crowdsourcing solutions, Yomken also offers a platform for MSEs and young people, innovative entrepreneurs to look for seed funding and to market their products. This is achieved through crowd-funding, where funding targets are met by inviting online customers to pre-order products.
- **One Acre Fund (OAF) (East Africa):** The OAF was started in 2006 with the aim of helping small-scale farmers earn a better return for their produce and thus escape poverty. According to the organisation's website, about 75% of the world's poor are farmers, so efforts to overcome global poverty must take this into account. OAF provides rural farmers with the funds for fertilizers, seeds and other inputs, as well as efficient agricultural techniques and access to markets. The use of hybrid seeds and fertiliser has been widespread throughout the western world since their invention. Offering a higher yield, yet requiring less water, they had yet to be introduced to rural farmers in poorer countries on a large scale. Fertiliser is hardly used in rural African settings, and the use of the hybrid seeds was almost unknown. OAF saw the use of these seeds along with fertiliser as a way of increasing the harvests of rural farmers and their profits enabling them to pull themselves out of poverty using services like flexible micro-finance loans, training and market access.

These 4 cases are individually summarised in more detail in section 3.3 below, and form the basis for analysing the practice field in sections 3.1 and 3.2.

## 3.1 ANALYSIS AND CONTEXT OF THE INITIATIVES

### Social needs demand, actors and organisation

The demand stimulus for the income support practice field clearly lies in low or lack of income and other financial challenges, such as difficulty in accessing loans and credit, the need for financial and economic enhancement, including income supplements and financial safety nets. Examining the 19 case studies in this practice field, this financial need is driven largely by the social need experienced in situ, but is also linked more strongly than all 179 PRSD cases in SI-DRIVE's database to the need for widespread systemic change across society as a whole, without which such local and specific needs will continue to arise<sup>26</sup>. Initiatives in this practice field rarely arise from popular movements but are often the result of strong public policy initiatives, large philanthropic and private funding at national level, with civil organisations and SMEs more important at local level.

Although civil society is an important actor, especially at local level, it tends to be somewhat less prominent in this practice field compared to the average of all PRSD cases. In contrast, the role of public actors is often greater and seems to be decisive in helping to provide policy, regulation as well as funding. Similar, the private sector plays a more important role than in most PRSD cases. This configuration of actors is reflected by the numbers of regularly paid employees involved in the 19 cases in this practice field which have on average more than six times the average number in other PRSD cases, whilst in contrast the number of volunteers is only one seventh of the PRSD average. The large scale of most cases in the practice field is also reflected by the average overall number of actors being more than three times greater than the PRSD average.

The four cases analysed in this section tend to illustrate these characteristics. In the SPF case in Ecuador the actors involved include national public and private funds, public institutions, private non-profit foundations, the church, as well as people from the community themselves. Although the SRP Chinese case is part of a national programme, it is led by local governments (provincial and county), with NGOs as partners, plus large state-owned enterprises and private companies, through alliances and networks. In the One Acre Fund case in East Africa, although it does not heavily involve government, it is driven externally from an innovation hatched by an inspirational leader in the USA, and was established by grant from various large funders and investors, together with government and/or companies. Depending on the country concerned, agricultural research centres, agri-dealers and seed importers providing strong networks are also involved. The Yomken non-profit platform case in the Arab countries, in some contrast, is somewhat more bottom-up, local and indigenous, even though the original idea of open innovation is imported from elsewhere. It is thus driven by NGOs, donors, development agencies and sponsors supporting its focus on MSEs (micro and small enterprises) and especially the youth, although government bodies (such as science, research and technology entities) do have an important role.

There are significant challenges and time needed to secure relevant policy, regulation and funding, all of which are critical to providing most income support systems, which are largely beyond the means or control of the group of people requiring such support. This means that, although the average age of cases in this practice field is higher at 12.2 years than the average age of all PRSD cases of 9.8 years, only about half have reached the impact stage compared with 70% of all cases. Half of this practice field cases are still at implementation stage, although progressing well, much higher than the PRSD average. This shows that it takes longer to reach impact maturity in this more top-down, large budgeted practice field.

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<sup>26</sup> According to BEPA and others there are three levels and types of challenges addressed by social innovation: 1) **the social demand perspective (micro level)** which arises from the social demands of specific individual or group needs but that are traditionally not addressed by the market or existing institutions; 2) **the societal challenge perspective (meso level)** which cut across sectors and where the boundary between the social, the economic and the environmental becomes blurred as all sectors and types need to be involved and that are directed towards outcomes or impacts across society as a whole, and where an important focus is on the relationships between actors and outcomes; and 3) **the systemic changes perspective (macro level)** which require the reform of the underlying structures, relationships and powers in society, and are thereby tackled by looking at root causes rather than focusing only on their symptoms, and can include deep-seated organisational and institutional change, reform of public policies, new governance arrangements, and changing mindsets and cultures. BEPA (Bureau of European Policy Advisers), 2010. Empowering people, driving change. Social innovation in the European Union. Luxembourg: Publications Office of the European Union.

The tendency for cases in this practice field to be more or less reliant on top-down or external inputs is also illustrated by the fact that on average they have very large budgets with almost one third operating on over €5 million annually. In contrast only 42% of income support cases use less than €10,000 annually compared with almost two thirds of all PRSD cases. Budgetary requirements are thus skewed towards the high end. This is also reflected by the funding sources which typically rely very little on own or partner contributions, but draw significantly above the PRSD average on national and regional funding and international donors. Income support cases also are atypical of all PRSD cases in relying very heavily on selling their own products and services (e.g. both One Acre Fund and Yomken, with the latter relying heavily on crowd-funding) and have very low reliance on individual or company funding. In other words, the practice field is, as would be expected, highly dependent on large financial flows, from governments or donors, and this is coupled with a strong entrepreneurial focus in order to boost employment and livelihoods in the market economy as a way of escaping from poverty and/or increasing low levels of prosperity.

### **Development processes and dynamics**

Figure 6 shows the case biography diagrams of three of the four income support case studies and, although the time lines are different, each depicts a fairly smooth largely upward development path, without any real critical incidents or crises which might lead to periods of regression and then recovery. There is a tendency for growth and progress to be somewhat greater in the period immediately after launch, and then to settle into a more gradual development path, but this is generally typical of most successful innovations that do not meet serious obstacles. The fourth case although not depicted, also has a smooth upward development trajectory. This common development path characteristic is probably related to the fact, as noted above, that the cases in this practice field are mainly supported by large stable public and third party funders and supporters, with very substantial and sustainable budgets. This picture is in some contrast to the other two practice fields analysed in this report, as examined below.

Following on from this and as mentioned above in comparison with all PRSD initiatives, the first trigger of many cases in this practice field is often a public policy initiative in collaboration with funders and civil organisations. The idea and incentive are largely copied or borrowed from elsewhere, and only rarely launched because of new technology developments. Indeed, ICT and social media are used much less in these cases than average. There is, however, a strong focus on social entrepreneurship and the social economy, and the economic empowerment of the target group in this context. This economic focus of some cases does, however, go hand-in-hand with emphasis on the development of human resources, gender, equality and diversity, although these issues often seem to arise as indirect but important impacts of these cases.

The innovative character of cases in the income support practice field reflects these issues. Most cases have adopted and copied the innovation from other initiatives, rather than themselves being very original. This is also a characteristic resulting from significant public policy and top-down push, although this does in turn lead to high rates of transfer elsewhere. However, it is the case that high levels of local and detailed contextual adaptation do take place. For example, the SPF case in Ecuador is successfully creating an alternative financial system, i.e. popular finance system, with contextually adapted mechanisms, culture and awareness operating through networks of local entities within an overall national umbrella network. This new system is attempting to capture resources previously monopolised by private or public banks, and to use these to develop the local economy through both remittances and credit, as well as by leveraging other local and external sources. SPF is also in the process of developing human capacities on the ground by promoting the empowerment and agency of beneficiaries, especially of women, and in terms of local ownership, management and regulation. Overall, this approach is usurping the role of traditional financial providers (banks as well as loan-sharks), democratising this role and putting it in the hands of local communities.

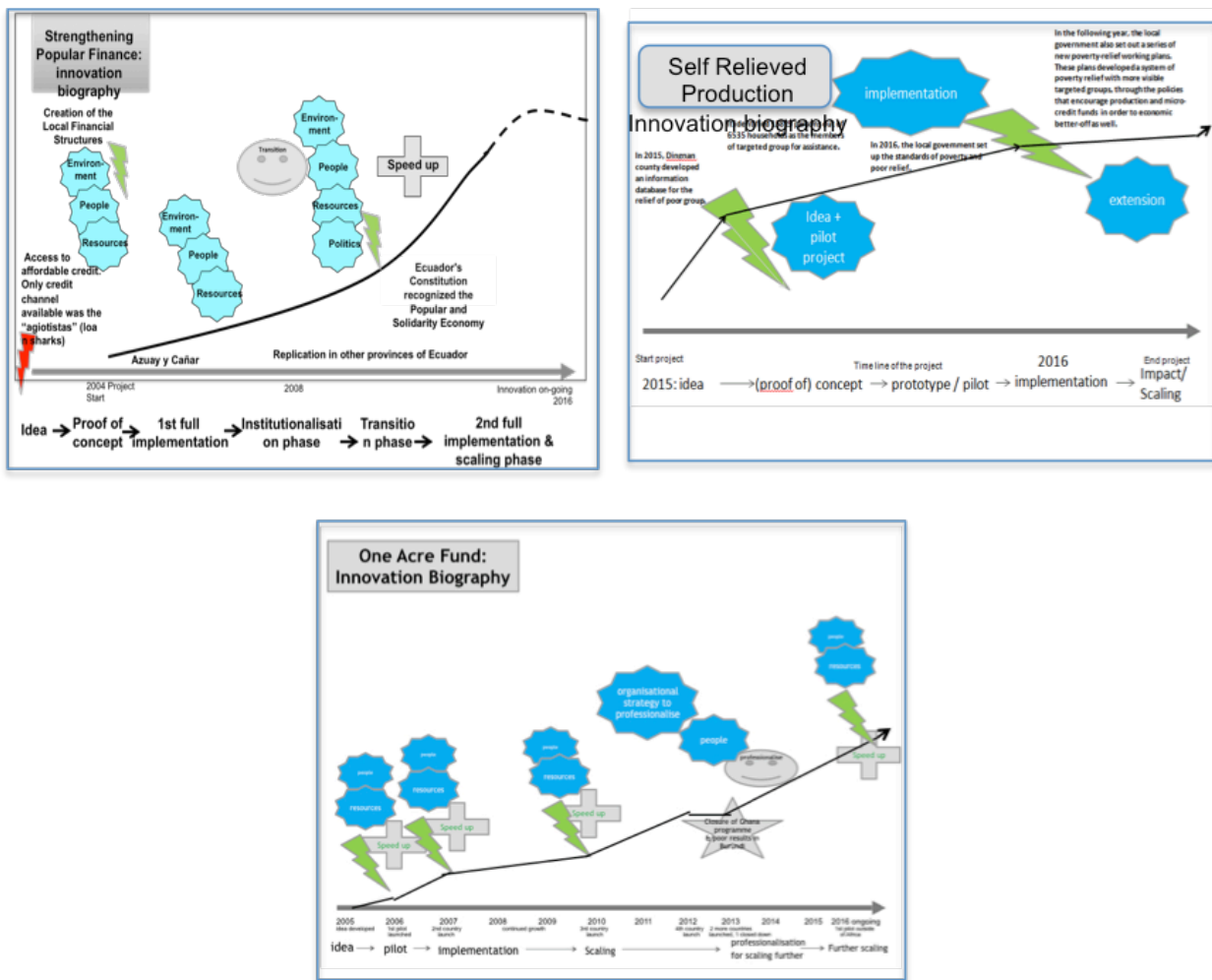


Figure 6: Income support case biography diagrams for SPF (Ecuador), SRP (China) and OAF (East Africa)

The innovative character of the SRP case in China is to follow up on poor families, rather than providing piecemeal support, to ensure a continuity of approach over the longer term. This includes, for example, setting up local help groups, with a prime focus on local production based on local advantages, in order to exploit government resources as effectively as possible. Yomken in the Arab countries is, as described above, more bottom-up and has adopted the open innovation concept from elsewhere but localised it to suit on-the-ground needs. The OAF case in East Africa is innovating around the use of low-tech solutions and making the financial system much more flexible. It has also developed a quite unique approach, flexibly adaptable to different contexts but typically relying on local research before starting and integrating and packaging many elements together in locally relevant ways. There is thereby much less focus on plugging market gaps and much more on providing a comprehensive service package (including insurance, solar lamps and cook stoves and re-usable sanitary products) to address all needs flexibly in one go.

The four cases also exhibit good examples of different but important ways of gaining momentum after launch and becoming more sustainable. The SPF case in Ecuador has become embedded in law and in the constitution, and is strongly supported by policy, all of which provide long-term stability. Part of this is a complementary innovation focused on boosting role of women, now 55% of the associates and a majority on most boards, compared to their erstwhile purely domestic roles. In China, the SRP case adopted new methods as the needs and situation changed and developed, thus becoming flexible in the use and monitoring of funds, whilst always encouraging poor families to engage in productive activity. It also developed this approach as a new model of learning for other counties as part of its long-term vision.

Yomken in the Arab countries focuses on micro and small enterprises (MSEs) to alleviate poverty and fight the huge challenge of youth unemployment. It has also successfully linked supply and demand, especially good ideas for small entrepreneurs and for problem solving. The OAF in East Africa started in an ad hoc manner and then developed more systematic strategies for deliberate and planned growth. Thus, good practices were devised over time and as experience increased, for example by normally preceding the decision to implement with local research especially when entering new countries. This includes using agricultural innovation teams and taking monitoring and evaluation seriously, both quantitatively and narratively, and having a deliberate policy of overcoming resistance to the charging of fees for some services and products by demonstrating their high impact, thereby specifically inculcating entrepreneurial awareness by the farmers. OAF is prepared to learn from failure and close an initiative, as happened when a pilot in Ghana was not successful because the importance of farming in the local area was low. Learning from success also takes place, e.g. adapting training better to local needs and providing follow-up, increasing the professionalisation of the approach. Training is taken very seriously, as is increasing the awareness by farmers of the need to adopt new scientific farming methods, to assimilate new knowledge and to further develop product and method innovation teams. Another lesson from the OAF is the importance of inspirational rather than charismatic leadership, given that the latter can, though not always, lead to closed thinking and problems over the long term when the leader departs.

### **Success factors and impacts**

The success factors in the types of cases in the income support practice field show the paramount importance of public policy, politics, regulation and finance. In contrast, although Yomken is a little different, such cases are less driven by individuals, networks and groups than by large established actors. This also leads to a number of challenges, particularly a funding challenge, obtaining adequate personnel with the right capabilities, and the difficulties of getting round any restrictive legal provisions should these arise given the high political prominence and large scale of most cases.

Some of these factors have been illustrated above, whilst others are exemplified in the following. The SPF case in Ecuador, in addition to being embedded in law and the constitution and strongly supported by policy, receives remittances directly from beneficiaries and customers, thereby eliminating intermediaries (including loan sharks and the banks). The case simultaneously also gives beneficiaries their own agency to act in future on behalf of themselves and others, especially through its many local networks linked together by a national umbrella network. The approach in SRP in China, is also dependent on an overall framework of strong policy support tailored to local circumstances, as well as grounded in a long term strategy of free loans for the poor to encourage entrepreneurship. In Yomken, the approach is low-tech through a hybrid match-making, crowd-funding and open-innovation model, enabled by a platform connecting solution seekers with problem solvers to ensure technology transfer, build trust and gain access to local talent. The case also applies a small commission charge when successfully matching supply and demand, both to generate its own revenue as well as to embed market principles. Yomken is successfully capitalising on the social movement and youth passion after the Arab Spring, which has also increased the use of ICT, social media, networking, awareness raising and training, and strong international links especially to Europe. A big challenge here remains the lack of trust in public systems, as well as the overall low level of finance and a poorly developed entrepreneurial ecosystem. In these ways, the Yomken case is somewhat different from the three other cases, being more bottom-up and less able to balance both strong top-down and strong bottom-up together.

Success in the OAF case is directly due to the introduction of better farming methods and its scientific approach, coupled with training and gaining market access. The problem of lack of finance for both seed and fertilizer at the same time has been overcome through micro-loans, flexible repayments and a purchasing collective to obtain good prices. Personal relationships are also extremely important, driven by a strong vision and skilled agricultural innovation teams, together with the OAF's comprehensive approach to creating complete packages of services and products, compared to the typically piecemeal approach of donors. The case also enjoys good policy back-up and relations with government at all levels, although this is stronger in some countries than in others, without any direct resistance, its ability to overcome sectoral boundaries and very good press coverage.

Looking at overall impacts, cases in this practice field generally show high rates of successful transfer of the innovation elsewhere, especially at regional and national level. The most important transfer agents are the partners themselves, especially when these consist of public bodies of different types and levels, as well as other large funders and civil networks, and this is somewhat higher than for PRSDA cases as a whole. In contrast, external actors are less



likely to be involved in transfer than the PRSD average. In terms of scaling and growing existing innovations, the strong networking between partners at different levels is extremely important, as is the success in institutionalising the innovation in policy and in the ways that, especially the large, organisations involved think and operate. This has been enabled by the typically close involvement of public bodies.

For example, the SPF case in Ecuador has become a very successful model now used throughout the country. In China, the SRP case has also had a big impact in the initial county where it was launched, and is now being replicated elsewhere, thereby overcoming the lack of trust by the poor in the government's ability to tackle poverty, especially due to its willingness to work with third parties. In East Africa, the OAF initiative has to date served more than 400,000 farmers and more than 3,000 trained field staff. It is currently operating in six countries and spreading within each, although in different ways depending on local needs. The case has developed a new flexible business model allowing loan payback during the harvest season, or when the farmer has a surplus, rather than the traditional regular repayments. It also includes an insurance service to counter poor weather or other threats, and has overcome sectoral boundaries through product and service bundling, and successfully transitioned from providing free support to paid-for support, given that the products and services are so successful for the farmer. Another mark of the OAF's success is its strong focus on the monitoring and evaluation, showing success in three areas using a combination of randomised controlled trials as well as its own evaluation system based on both productivity and income. There are also substantial quality of life spin-offs, such as hunger reduction and school attainment, as well as long-term impacts on soil quality and the environment.

Each of the four cases examined in this practice field has experienced high impact. In Ecuador, China and East Africa, this has been in terms of rural development impacts like incomes, jobs, and production aiming to boost economic self-sufficiency in both the formal and informal sectors. In the Arab countries, the Yomken case has a stronger urban target and thus a greater focus on youth unemployment given that city age structures tend to be much younger than in rural areas.

## 3.2 MECHANISMS OF SOCIAL CHANGE

In this sub-section, the mechanisms of social change derived from the analysis of the four case studies in the income support practice field are addressed.

### Learning

The income support cases have generally not had learning as a number one priority, but each of them in applying largely top-down models have nevertheless learnt and generated new knowledge, particularly at the local implementation level. Each of them has flexibly adapted to different contexts, thereby also built local capacity and succeeded in empowering their beneficiary groups and bringing about social change at these levels. For example, in China, the SRP case adopted new methods as the needs and situation changed and developed, thus becoming flexible in the use and monitoring of funds, whilst always encouraging poor families to engage in productive activity. It also developed this approach as a new model of learning for other counties as part of its long-term vision. The OAF case in East Africa is prepared to learn from failure and close an initiative, as happened when a pilot in Ghana was not successful because the importance of farming in the local area was low. Learning from success also takes place, e.g. adapting training better to local needs and providing follow-up, increasing the professionalisation of the approach. Training is taken very seriously, as is increasing the awareness by farmers of the need to adopt new scientific farming methods, to assimilate new knowledge and to further develop product and method innovation teams.

Empowerment and capacity building of the beneficiary group is indispensable in all cases as a driver of social change, especially mutual and social learning at the micro level, for example the SPF case has in particular targeted women in becoming active, increasing their agency in terms of local ownership as well as management and regulatory skills. This, in effect, aims at usurping the role of traditional financial providers (banks as well as loan-sharks), democratising this role and putting it in the hands of local communities. SPF is successfully creating an alternative financial system, i.e. popular finance system, with contextually adapted mechanisms, culture and awareness operating through networks of local entities within an overall national umbrella network. Both the SRP and OAF cases focus on assisting farmers to be productive, whilst Yomken emphasises the development of entrepreneurial skills especially amongst the young and

unemployed. Empowerment also leads to better absorption capacity, for example this is done in the Yomken case by simplifying processes as much as possible.

Learning is also clearly taking place between locations and organisations through transfer and networking (see below), as well as in situ through scaling and institutionalisation

### **Variation**

Overall, new breakthrough collective ideas are not apparent in driving social change, given the soundness of the basic income support model which means, in turn, that it is quite easily transferred. However, social change can come about when the idea is new in a particular context or locality. Yomkem is creating new collective ideas around entrepreneurship, and OAF around scientific farming and marketing, but these are not radical and not unique, as they are largely derived from tried and tested models elsewhere.

Cultural and contextual adaptation is critical for applying these models, which are implemented widely in many countries, so variation is high. However, given the very large scale of most such initiatives, couple with the importance of governance and policy support, and not least financial resources, most examples have adopted and copied the innovation from other initiatives, rather than themselves being very original. This is also a characteristic resulting from significant public policy and top-down push, although this does in turn lead to high rates of transfer elsewhere.

### **Selection**

In this context, cultural and behavioural adaptation is critical for applying income support models in practice, given they are implemented widely in a great variety of countries and contexts, so a wide variety of selection processes are also apparent. For example, the OAF initiative displays very successful local adaptation in most cases, On the other hand in the SPF case, imitation is very important in the form of copying between initiatives and locations, as it is in the SRP case where copying between counties takes place. The decline and death of initiatives is also seen where attempts are made to apply them in unsuitable contexts. For example, when the OAF standard model was implemented in Ghana in an areas where agriculture was not the mainstay of the local economy.

### **Conflict**

The income support cases have not experience significant conflicts, a fact also illustrated by their relatively smooth upward growth paths. In the SRP case in China, minor conflicts of interest are seen between poor families and government, between different levels of government, between government and enterprises, between some poor households if perceived some getting more help than others. In the Yomken case, conflict might be said to arise from overall lack of trust. In the SPF case in Ecuador, the system is attempting to capture resources previously monopolised by private or public banks, as well as loan sharks, and to use these to develop the local economy through both remittances and credit, as well as by leveraging other local and external sources, which also implies some attempt to usurp the roles of these organisations inevitably involving some conflict.

### **Competition**

As with conflict, there is little evidence of significant competition inherent in the change mechanisms in this practice field. All cases, however, are in different ways successfully assisting their beneficiaries to become entrepreneurial and participate in local markets as a means of boosting their incomes. Moreover, the SPF case is attempting to capture resources previously monopolised by loan sharks and banks, and to use these to develop the local economy through both remittances and credit, as well as by leveraging other local and external sources, so are in effect competing with these organisations. However, the goal is more to usurp the roles of these organisations at local level rather than to compete with them on a long term basis. Indeed, for many in rural areas there is no banking system, so the project is in essence filling a void.

### **Cooperation**

Cooperation is a very important feature of income support cases, especially through networks at different levels. It is important where local networks operate across multiple actors and can help link these together. It develops

cooperation between professionals, especially for technical issues, knowledge of financial system, training, and the pooling the resources and knowledge of all network members. Inspirational leadership is more important than charismatic leadership, given that the latter can, though not always, lead to closed thinking and problems over the long term when the leader departs.

For example, in the SPF case cooperation is important where local networks operate across multiple actors and also link to a national umbrella network. In this case, close cooperation between professionals and community is essential for technical issues, knowledge of financial system, training, etc., in essence pooling the resources and knowledge of all network members. The OAF has international networks across the many countries in which it is implemented, as well as with international networks like the Schwab fellows and Scholl awardees, and this also helps to cross-sectoral boundaries. In terms of leadership, such cooperation is generally not driven by charismatic leadership, which seems to be largely absent. One lesson from the OAF case is the importance of inspirational rather than charismatic leadership, given that the latter can, though not always, lead to closed thinking and problems over the long term when the leader departs.

### **Tension and adaptation**

Tensions typically arise from conflict and, as noted above, the cases in this practice field are generally not affected by significant conflicts so that serious tensions do not seem to have arisen. Minor tensions arise from lack of trust between poor people and the government, and between new financial providers and incumbents, like banks or loan sharks and can help usurp inflexible or even corrupt systems as in the SPF case in Ecuador. Neither is there any tension resulting from the introduction of new technology. Technology does play an important role in the Yomken case in terms of crowd-funding, as well as in OAF with its scientific approach. However, these are generally low-tech well-established technologies the introduction of which is carefully supported in real use situations, rather than being technology driven initiatives.

### **Diffusion of (technological) innovations**

Cases in this practice field generally show high rates of successful transfer of the innovation elsewhere, especially at regional and national level. This also shows the huge latent demand which helps drive this diffusion. The most important diffusion agents are the partners themselves, especially when these consist of public bodies of different types and levels, as well as other large funders and civil networks. Another reason this diffusion is possible is that beliefs, ideas, values or religions have not played a significant role, perhaps due to the fact that the need to increase income is a generally universal goal which all main belief systems support. There is, as noted above, the need for contextual adaptation at local level, but in all the cases this is done in cooperation with local actors, NGOs, companies and local authorities, or where implementation is entirely in their hands. For example, Yomken in the Arab countries is, as described above, more bottom-up and has adopted the open innovation concept from elsewhere but localised it to suit on-the-ground needs. This reflects the fact that most cases have adopted and copied the innovation from other initiatives elsewhere, rather than themselves being very original. This is also a characteristic resulting from significant public policy and top-down push, although this does in turn lead to high rates of transfer elsewhere.

Necessary actions for dissemination include the need for a quite formal basic structure when financial issues are in play, and local people need trust to invest any savings and use the scheme for credit, Raising awareness is thus essential as are good exploitation strategies. Also good partnerships with key leading organisations from different sectors are vital, as is the willingness to change from existing systems and processes to the new.

Examples of necessary actions include the SPF case in Ecuador where, when setting up a model of Local Financial Structure (EFL), there should be members of the community willing to organise and develop the structure, as well as invest their savings and request their credit. Likewise, it requires at least three people willing to assume the administration and take training. The minimum number of people required to form a EFL is 50. In the Yomken case in Egypt, raising awareness and proper exploitation activities are essential mechanisms for diffusion. In addition, having good partnerships with key leading organisations from different sectors, including government, investors, NGOs, etc., will impart credibility to the initiative. In the OAF case in East Africa, farmers need to change from their traditional practices that have been passed down from generations to the OAF model which includes bi-weekly training, using hybrid seed, fertiliser and planting protocols.

Complementary innovations, i.e. supporting or parallel innovations to the main goal (in this case income support), can also affect an initiative's success, impact and diffusion. This is well demonstrated in the SPF case which has seen a significant empowerment of women, and in the OAF case in East Africa where there are substantial quality of life spin-offs, such as hunger reduction and school attainment, as well as long-term impacts on soil quality and the environment. This initiative started in an ad hoc manner and then developed more systematic strategies for deliberate and planned growth. Thus, good practices were devised over time and as experience increased, for example by normally preceding the decision to implement with local research especially when entering new countries.

### **Planning and institutionalisation of change**

Social change in this practice field has been strongly supported and, in some cases, driven by strong public policy initiatives and large philanthropic and private funding at national level. It is generally in the direct interest of national governments to reduce poverty. However, significant challenges arise and much time is needed to secure relevant policy, regulation and funding, all of which are critical to providing most income support systems, which are largely beyond the means or control of the group of people requiring such support. The public policy goal over the long-term is the economic empowerment of people in poverty or who are disadvantaged and marginalised. This economic focus does also, in many cases, go hand-in-hand with complementary innovations aimed at the human resources, gender, equality and diversity, although these issues often seem to arise as indirect but important impacts of these cases. The policy goal is also generally to take a cross-cutting approach which addresses income deficiency in many different contexts. For example, the innovative character of the SRP case in China is to follow up on poor families, rather than providing piecemeal support, to ensure a continuity of approach over the longer term.

An essential ingredient of policy is to institutionalise the innovation at the highest governance level, as well as in the ways of working and thinking of actors at different levels, thereby resulting in significant social changes for the long term. Different but important ways of gaining momentum after launch and becoming more sustainable over the long-term through institutionalisation are exemplified. The SPF case in Ecuador has become embedded in law and in the constitution, and is strongly supported by policy, all of which provide long-term stability. The approach in SRP in China, is also dependent on an overall framework of strong policy support tailored to local circumstances, as well as grounded in a long term strategy of free loans for the poor to encourage entrepreneurship.

## **3.3 CASE STUDY SUMMARIES**

In this sub-section, each case study is summarised in detail reflecting the interview template.

### **3.3.1 Case A1: Strengthening Popular Finances (Ecuador)**

#### **Description and development of the social innovation initiative**

The central idea is to ensure access to credit for poor people living in rural areas or small villages. The Ecuadorian Populorum Progressio Fund (FEPP) identified the need for financial structures in which the community could place the savings and receive credits. The only credit channel previously available was the *agiotista* (loan sharks) who charge very high interest rates (up to 50%). Therefore, the need for credit outside the *agiotista* system was a latent demand from vulnerable communities. The lack of access to credit at market prices was a barrier for the strengthening of productive activities and the creation of new micro-enterprises.

In 2004, the FEPP created the Local Financial Structures (Estructuras Financieras Locales, EFLs) in the regions where it was already operating (20 out of 22 provinces of Ecuador). Instead of FEPP offering financial intermediation, communities undertake the management of the EFLs, with the understanding that the inhabitants of those communities are subjects of their own local development. FEPP members mobilized the communities to organize the EFLs and the communities reacted positively to the proposal, and started the formation of the EFLs with the Fund's support. The Fund has monitored and supported any new ELF that emerges in order to provide the necessary conditions to succeed. However, it did not control the evolution of each EFL.

In 2008, Ecuador's Constitution recognized the Popular and Solidarity Economy as one of the pillars of the economic, social and solidarity system, and established the guidelines for its promotion and strengthening. Accordingly, the

country approved the Organic Law of Popular and Solidarity Economy and the Popular and Solidary Financial Sector. Also, the following public institutions that accompany and support the model were created: the Superintendency of Popular and Solidarity Economy (Superintendencia de Economía Popular y Solidaria, SEPS), the Institute of Popular and Solidarity Economy (Instituto de Economía Popular y Solidaria, IEPS), the National Corporation of Popular and Solidarity Finance (Corporación Nacional de Finanzas Populares y Solidarias, CONAFIPS) and the Technical Secretariat of Popular and Solidarity Economy.

A central theme in the development of this initiative has been "financial literacy", both for those who assume the administration of the EFLs or the networks and for the partners and users of the system. It is the financial education that promotes savings and shows that these funds can contribute, no matter how small they are, to local development. Also, financial education is essential for learning how to responsibly manage the money they are lending.

### **Actors, partnerships, alliances, networks**

The Ecuadorian Populorum Progressio Fund (FEPP), coordinator of the Popular Finances model, is a private foundation with a social and non-profit purpose, sponsored by the Ecuadorian Episcopal Conference. It began its work in June 1970, dedicated to facilitating access to land, through actions such as acquisition, registration and legalization of land in order to help communities and families to have food security, improve production and preserve natural resources. The FEPP also promotes the processing and local transformation of agricultural production in order to add quality and value to the products as well as facilitate its conservation, transportation and marketing. This activity also creates new jobs in the countryside and enables the professionalization of peasants, particularly the younger.

EFLs have been grouped into networks that have boosted their financial capacity and even made it possible to receive remittances directly, eliminating intermediaries. Among the networks are: Red de Desarrollo Rural Sierra Norte (REFIDER), Red Nacional de Finanzas Populares y Solidarias del Ecuador (RENAFIPSE), Red de instituciones financieras alternativas (REFLA).

An essential actor is people from the communities that create the EFLs. People in the community must be willing to meet and shape the structure, put their savings and access credit.

### **Innovative solution**

There are several elements that give an innovative hallmark to this experience. One area is the development and consolidation of the direct beneficiaries' participation. The initiative has consolidated a popular finance system that operates effectively, through a network of local entities that has developed the capacity to raise resources -previously captured by private or public banks- and uses them in order to develop the local economy. This allows people receiving remittances to also have access to credit, instead of only receiving and depositing the money (as it occurs in the traditional system).

The EFLs are an alternative financial system that: i) allows access to credit to peasants in order to finance and boost their productive and economic activities, and thus, improve their income; ii) generates a financial culture (credit and savings) in the peasant economy, through mechanisms adapted to their needs and financial-economic rationality; iii) sets up a local capital-investment fund that allows leveraging local and external resources (remittances) aimed at boosting the economic-productive sector; and iv) contributes to the organizational and human development of rural communities, encouraging the participation of women, promoting their empowerment as a social actor for the development of the community. These features allow the EFLs to efficiently address resources, both own local savings and remittances.

Currently, EFLs have been grouped into networks that have boosted their financial capacity and even made it possible to receive remittances directly, eliminating intermediaries. Among the networks are REFIDER, REFLA or the Network of the Sierra Norte, for instance. These networks enhance the negotiation capacity, extend the services provided, make agreements in order to assist EFL partners, and provide technical assistance and "financial literacy" of EFLs managers and partners. Undoubtedly, they also serve the purpose to increase political incidence and bargaining power. They even have a national network called National Network of Popular and Solidarity Finances of Ecuador (Red Nacional de Finanzas Populares y Solidarias del Ecuador, RENAFIPSE), which groups networks throughout the country, gives courses, advises and supports them in their consolidation.

The partners/members manage each EFL, they define the rules and regulations, their savings are the capital of this structure and the money is lent to the same members at the market interest rates. The resources have made possible to create new businesses or strengthened those that were already in operation, to finance urgent needs such as the education of children, housing arrangements, health emergencies, etc.

### **Gaining momentum**

In 2008, Ecuador's Constitution recognized the Popular and Solidarity Economy as one of the pillars of the economic, social and solidarity system, and established the guidelines for its promotion and strengthening. Accordingly, the country approved the Organic Law of Popular and Solidarity Economy and the Popular and Solidary Financial Sector. Also, the following public institutions that accompany and support the model were created: the Superintendency of Popular and Solidarity Economy (Superintendencia de Economía Popular y Solidaria, SEPS), the Institute of Popular and Solidarity Economy (Instituto de Economía Popular y Solidaria, IEPS), the National Corporation of Popular and Solidarity Finance (Corporación Nacional de Finanzas Populares y Solidarias, CONAFIPS) and the Technical Secretariat of Popular and Solidarity Economy. There is no doubt that these actions helped to consolidate and expand the model.

Another key factor was the creation of networks that group EFLs through which they have achieved greater bargaining power. For example, thanks to these networks, the EFLs became direct recipients of remittances.

### **Complementary innovation**

While this effort has no real level of complimentary innovation, the programme has fostered the direct involvement of the communities and local ownership of the new financial system, actions that promote empowerment and the ability to generate income. The empowerment of the population that conform the EFLs has been a key to building and strengthening the model. Partners feel responsibility for their own development. They see how their savings help them to face problems, to promote their productive activities, to improve their income and their living conditions.

It is an innovation that has also made possible greater participation of women, who currently represent 55% of the associates. Women have participated actively and mainly in the community sphere. Before the implementation of the model, women were relegated to domestic chores, but at present many women have assumed membership and leadership of organizations (communal action boards, cooperatives, neighbourhood groups, etc.). 60% of EFLs are led by women. The Boards of Directors are composed mainly of women.

### **Impact, diffusion and imitation**

Imitation was essential to the expansion of EFLs. To the extent that one community was successful, others also wanted to develop it and requested the support of the Social Group of the Fund.

The model is already practically present in the whole Ecuadorian territory: in the Sierra (with high concentration of indigenous population), in the Coast (with Afro descendant population) or in the Amazon. Today there are EFLs throughout the country, for instance, 37% are in the provinces of Pichincha and Tungurahua (in the Sierra) and 39.1% of the total are in the Central Sierra.

### **Role of policy**

The political structure of Ecuador that has privileged the more vulnerable sectors of the population has promoted the diffusion and implementation of the popular finance model. In addition, political actors played an important role in the consolidation of the model to the extent that they included it in the Constitution of Ecuador and promulgated the Organic Law of Popular and Solidarity Economy and of the Popular and Solidary Financial Sector.

### **Connectivity to the practice field**

The programme has a very close relationship with the field of poverty reduction. The main achievement was to implement an adequate and sustainable financial system that ensures access to credit for people who are not covered by traditional financial systems, contributing to improve production or create new small businesses in order to generate income and improve the living conditions.

### 3.3.2 Case A2: Self-relieved Production (China)

#### Description, development of the Social Innovation Initiative

The imbalance in the regional development speed made the poverty reduction rate, as a central focus of the local governments in China, which is also a global issue. Along this line of development, the local initiatives of practices were generated from different areas in accord to the local circumstances. For instance in the Dingnan county, the local government undertaking the direction of such development and making the practice with special local efforts and has constructed a Dingnan model of poverty reduction. By the year 2016, this county has helped, 4036 poor people to come out of the poverty group, and collected the record of the living conditions of the poor group.

#### Actors, partnerships, alliances, networks

The policy practices of innovation actions were generated by the local governments, with the NGOs as the partners for this development. These practices have also attracted the interest of the large State-owned enterprises and local private companies. They made efforts for this program with the purpose of propaganda for their firms. For instance, the government developed projects on education, employment services, and resettlement as the policy measures for combating poverty. Other agents involved into this network with different purposes, such as building-up good image in the public minds, or to avail interest free loans (or low-interest loans) through the poor-related programs. The alliances and networks of different agents formulated the collaboration of various types, and got the positive feedback on these actions.

#### Innovative solution

In the anti-poverty actions, Dingnan county has accomplished the following tasks in an innovative ways : 1) to follow-up the families recently came out of poverty and for those moved back to poverty trap and again joined the poor families, need to make new records and update their information to help them continuously. Taking some data into reference, this county has set up the workplace through the public finance for employment, or for ensuring 2) to formulate the help-groups that connect the poor families with the local officers at the town level, and to ensure them to visit poor families on the regular basis and keeping an eye on the situation of poverty reduction. 3) select some productions setups in Dingnan that can be made as the focal industries and business for the support of , poor families. In this way, this county developed its own production with its local advantage, with the help from the local entrepreneurs. 4) to ensure the government assistance to the poor that should function in an effective way.

#### Gaining momentum

In the initiative phase, in 2015, the process of development was slow, whereas in the second phase in 2016, some new methods for work were adopted on the allocation of the assistance funds and monitoring the use of funds. Such initiatives raised the effectiveness of work and the city-level government adopted these experiences as the model of learning for other counties. Meanwhile, the state-owned enterprises and corporations also became actively involved in anti-poverty efforts and started encouraging the poor families to willfully engage into productive activities for poverty reduction.

#### Complementary innovation

The program made the continuous efforts for the innovative practices, with a vision at the long-term effects of poverty reduction.

#### Impact, diffusion and imitation

In the southern Jiangxi province, the Dingnan model of poverty reduction was promoted by the local government of Gan city. Many counties replicated this model in this region, and emphasized on the development of local productive programs for poor relief. Besides, in this association, some other counties have adopted the education-oriented development for poverty reduction, while considering the Dingnan model as a reference for comparison.

## **Role of policy**

The policy plays a great role in this program, as the program itself is a policy program. The practice of local government is focused on the poverty reduction with more targeted at the objectives and resources. Civil servants of Dingnan County are tasked with the duty of helping the poor families, where the official system plays a function of matching the needy and the providers of support. This policy orientation was later on promoted by the central state as the national strategy for development. The county government also allocates a special fund for such tasks even earlier than the work of the provincial government on this orientation of work.

## **Connectivity to the practice field**

The operation of this program raised the level of trust between people and the government. The poor relief through productive projects dispelled the bias regarding the ineffectiveness of the government-operated programs for poverty reduction, and also, it engages the third parties to involve into the process. It helps the targeted group from the benefits of these projects especially helping those groups with an urgent need for help for their living maintenance.

### **3.3.3 Case A3: Yomken - 'It's possible' (Arab countries)**

#### **Description, development of the Social Innovation Initiative**

Unfortunately, most of the current innovation-support programs in the Arab world supports only the top of the technology pyramid and are "technology-push" rather than "market-driven". Therefore, fostering innovative practices in these MSEs and moving them up their value chain will transform them into a higher level of technology and innovation usage. This cannot be achieved without the collaboration of different parties, all included in Yomken's open-innovation model. In addition, Distrust, fragmentation of knowledge sources, expensive cost of R&D are also the demand for such social innovation practice.

- There is a significant level of mistrust between innovators and the market in the MENA region, which creates a large amount of underutilized local talents leading to unemployment and consequently underdevelopment.
- Many potential innovators do not understand the real market needs, and thus they need to be inspired by real challenges and to get incentivized to solve them and also be celebrated whenever they implement a successful solution.
- Innovation is the engine of any economic development. However, many SME, social enterprises, and NGOs cannot afford to pay for expensive foreign technologies, and in many cases, such technologies are not adaptable to local challenges.

Yomken innovation involves connecting these two segments, i.e. the "Solution Seekers" who are looking for affordable R&D to their problems and the "Problem Solvers/Innovators" aspiring to use their knowledge and creativity to solve problems and even create their own businesses. In addition, Yomken incorporates donors and development agencies and investors in their model to sponsor such matchmaking mainly by providing incentives (Financial & otherwise) to the Problem Solvers to implement their solutions and be compensated for their efforts, in cases where the Solution Seeker cannot afford it. In addition, its solution involves cross-country technology transfer between their regional networks of innovators.

#### **Actors, partnerships, alliances, networks**

In 2012, YOMKEN was initiated by Eng. Tamer Taha and a small group of 20 volunteers. At beginning, the founder wanted to see how the market would react. The project's volunteers has started—during its pilot phase—by tapping the potential for innovations by supporting more than 60 workshops in Manshiet Nasser—Cairo's mega slum of some 800,000 residents. The workshops' field of work ranged from toy making, souvenirs, plastic gadgets, and handmade furniture. Yomken started the 1<sup>st</sup> Year as a pilot project in Manshiet Nasser (one of the slummiest area in Cairo, Egypt), then the founders focused on Cairo in the 2<sup>nd</sup> year, then in year 3, they wanted to reach outside Cairo till that in their 4<sup>th</sup> anniversary they launched the Tunisian version of the website. Since the beginning, they realized the importance of building mutual cooperation with leading actors in the local market. Therefore, Yomken succeeded to establish a

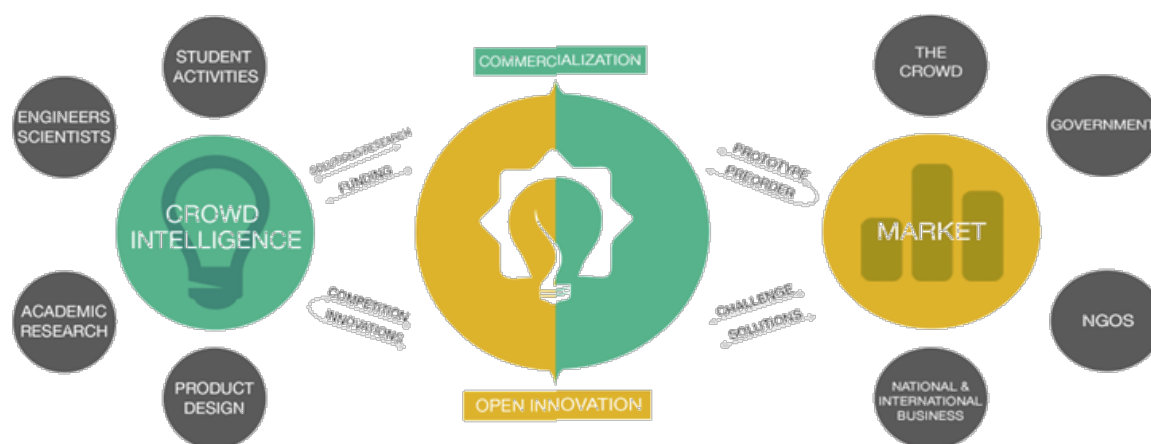


networking collaboration with Governmental bodies (i.e ASRT), international organizations (i.e. World Bank), European organizations (i.e. GIZ Tunisia, GIZ RIBH MENA, DAAD) and to be linked to student activities at universities, social entrepreneurs CSR departments of companies, and other donor agencies in Egypt and Tunisia.

Membership also offers a good source of income for the sustainability of the Yomken platform and continuously to add new features. Yomken.com is a website with social impact in mind and is one of the projects of Istebdaa LLC.Corp registered in Egypt. The website charges 10% of the monetary value of the reward from either the solution seeker or the sponsor of the challenge. Half of payment is made in advance and the second half after finding a solution, to guarantee the commitment of all parties. Yomken.com also provides other consulting services on innovation management and ideation processes.

**Innovative solution**

It was very important to understand the main national priorities related to these issues and how to adapt them to Yomken solution. The concept of Open-innovation was not invented by Yomken.com, but rather egyptianised and localized to the needs and understanding of the local users. Crowd Solving, sometimes referred to as “Open-Innovation”, is a process to make R&D affordable by getting solutions and innovations from the crowd of innovators, researchers and experts to overcome industrial, environmental and societal challenges. These innovative solutions and innovations aim to efficiently introduce new technologies and products to the market. In Yomken.com we provide Crowd solving through a platform for local and multinational businesses, NGOs, Gov. organizations, and others where they can post the challenges they face. They are then matched with creative solutions and ideas provided by the crowd and Yomken.com network of innovators



**Gaining momentum**

Why is Yomken was needed? In order to encourage innovation activities in the Egyptian and Arab industrial micro and small enterprises (MSEs) would increase the comparative advantage of small and low-tech businesses, notably compared to Asian competitors. This will help alleviate poverty and fight youth unemployment, in which the Arab world scores the highest rates. In addition, encouraging innovation in MSEs is becoming an urgent necessity, not only to create jobs for a more-skilled generation of labour, but also to save the already-existing ones, increase their value-added contribution to the economy and consequently to encourage the formalization of the MSEs who are mostly working in the informal sector which is estimated to account for up to 60% of the Egyptian economy.

Success factors of SI practices in SD and the Drivers: a real social movements and youth passion after the Arab Spring, information technology, social media, significant participation in High-level Conferences, ideation workshops and networking events in order to mingle and meet other international and potential supporting organizations, notably in Europe, continuous capacity building and proper awareness raising, education and learning.

Barriers: trust between solutions seekers and innovators, availability of financial resources, national & regional entrepreneurial ecosystem, low-tech and informal manufacturing industries.

### Complementary innovation

Yomken links the demand and supply of innovation: 1-The challenges faced by micro- and small enterprises (MSE) working mainly in low-tech and informal manufacturing industries; 2- The innovative untapped ideas and skills of potential problem solvers who can easily solve such challenges in return to a financial (or moral/non-financial) reward; 3- Support agencies that would like to have a social impact from the linkages between the supply and demand of innovation.

### Impact, diffusion and imitation

Yomken defined success in order to reach the point where the market understands very well the crowd solving and it posts challenges directly on Yomken.com instead of to individuals going and asking the market to post challenges on the platform. Yomken is very near this point, although now it is a matter of the quality of challenges received. The diffusion is extremely feasible and low-cost and was already implemented in Tunisia and Egypt. In addition, the knowledge on the diffusion of the innovation is already well documented.

▶ Results so far?

-  A network with more than **10,000 innovators** in different fields  
Reaching more than **100,000** through social media
-  50% of challenges/solutions are outside Cairo
-  Average number of solutions per challenge is **5 Solutions**  
+ **175** direct and indirect jobs created and saved
-  Average reward amount is **14,000 EGP**
-  Cost-efficient tool to reach solutions from the crowd
-  Featured more than **40 challenges**,  
with **%21** of them in AgriFood, **%16** in Plastic,  
Metal and Wood industries, **%10** in handicrafts.  
A success rate of **%80**






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Yomken has completed the pilot phase, where one product out of every three was successfully crowd funded and two out of every three challenges found solutions. The platform is currently working on collaborating with a number of local NGOs to expand its activities to a national and potentially regional level, has engaged, and trained a number of volunteers that can act as Yomken ambassadors. So far, more than 20 projects have used the platform to be increased £5,000 and £10,000 (\$700-\$1,400) per project.

### Role of policy

The Yomken team collaborates with a number of governmental entities (i.e. the National Academy of Scientific Research & Technology). Their role was rather supportive and active as the solution provides a quick win for their programs and an efficient way to combine the different actors of the country. The national and regional

entrepreneurial ecosystem is relatively undeveloped compared to markets where crowdfund investing has already worked, so there is a lack of awareness and oftentimes suspicion about this new concept.

### **Connectivity to the practice field**

Encouraging innovation is becoming an urgent necessity, not only to create jobs for a more-skilled generation of labour, but also to save the already-existing ones, increase their value-added contribution to the economy and consequently to encourage the formalization of the MSEs who are mostly working in the informal sector which is estimated to account for up to 60% of the Egyptian economy. Yomken believes that they are helping defining crowd solving in the MENA region. Yomken is based on an open-innovation model where specific challenges are posted online, and solutions are sought from the extended web community. Yomken also offers a platform for MSEs and young, innovative entrepreneurs to look for seed funding and to market their products. This is achieved through "crowd-funding", where funding targets are met by inviting online customers to pre-order products.

YOMKEN new model of crowd-sourced open-source innovation as a way of relying on the 'wisdom of the crowd' for innovation with shared risks and returns as opposed to typical top-down innovation models. After Arab SPRING there are real social movements in the region toward initiatives taken by youth such as open innovation platforms and crowd funding and entrepreneurships/business incubators.

### **3.3.4 Case A4: One Acre Fund (East Africa)**

#### **Description, development of the Social Innovation Initiative**

The majority of poverty is found in rural areas, and the main career of people living in those areas is farming. There has been a surge in interest over the last few years from funders and development organisations, looking at innovative ways to increase the productivity of rural farmers. If this can be achieved then maybe the idea of eradicating poverty is within reach.

The One Acre Fund (OAF) started with Andrew Youn's observations of rural farmers in Kenya on a trip he made travelling around the country. Within communities some farmers were doing well, able to feed their families, put aside seed for the next planting season, and sell the excess to create profit. But then he also observed farmers in the same communities whose farms were not doing well. The farmers were unable to feed their families and keep seed over for the following year, their children were hungry and in some cases died from malnutrition. He observed that the difference between the two farmers was in regard to their farming methods.

Back in the US, as he continued his MBA at Kellogg School of Management, with the help of some of his classmates, he began to put together the idea that would become the One Acre Fund. He and his colleagues wrote a business plan to run a pilot with a group of forty farmers, in one of the villages he visited in Kenya. Andrew and his team would provide hybrid seeds, fertiliser and some basic training to the farmers. The use of hybrid seeds and fertiliser has been widespread throughout the western world since their invention. Offering a higher yield, yet requiring less water, they had yet to be introduced to rural farmers in poorer countries on a large scale. Fertiliser is hardly used in rural African settings, and the use of the hybrid seeds was almost unknown. OAF saw the use of these seeds along with fertiliser as a way of increasing the harvests of rural farmers and their profits enabling them to pull themselves out of poverty.

The pilot highlighted some of the key issues that Kenyan rural farmers were facing including paying for the seed and fertiliser in one go, and the need for further training. The model bundles together a number of services for farmers that together address the most common issues rural farmers face. Farmers on the programme have access to micro-finance loans, with flexible repayment options, to purchase hybrid seed and fertiliser. The farmers are linked in groups with a field worker who visits them every two weeks and provides them with training and support. OAF also works on behalf of the farmers to access markets they previously were unable to. Together these services have allowed farmers to typically double their profit, and triple their harvests since joining the programme.

As a result of the pilot the model was adapted to what is now being rolled out across six countries, with pilots in another two. OAF officially started in 2006, serving 600 farmers. The following year, in 2007, the programme was launched in Rwanda. The next couple of years focused on growing the number of farmers on the two programmes. Between 2010 - 2014 a further five programmes were launched. All but one, the Ghanaian project, are still operational.

Currently OAF also has two programmes in a pilot stage - the one in Myanmar is the first outside of the African continent. They serve over 400,000 farmers and more than 3,000 field staff train and support them.

With the added services of flexible micro-finance loans, training and market access OAF aims to recruit 1 million farmers by 2020. By doing this they will also be able to feed 5 million of their family members and a further 5 million of their neighbours.

### **Actors, partnerships, alliances, networks**

OAF was established with a two-year start-up grant from the Echoing Green network. This network, and the strategic support given by it, was vital to OAF's first steps. As a small start-up Andrew and his team were working with 40 farmers in the pilot. They began to build relationships with suppliers and other actors in the community. Back at the start of the project they did not have the same sway as they do now with a network of over 400,000 farmers and being able to purchase more solar lamps, and other value add products, in larger quantities than any other organisation in Africa.

Andrew Youn may not be a traditionally charismatic personality, but he is humble and committed to developing personal relationships with his staff and the farmers they work with. His focus on the farmers defines the organisation as everything is focused on getting the best for them. This focus on personal relationships with partners has been at the core of the organisation from the very beginning and is mirrored throughout the organisation.

One of the groups of partners OAF work with in the different countries are the agricultural research centres. These can be Government run initiatives or private companies. Malawi, being a relatively new country for OAF, has been developing relationships with the Government run research institution there. The research that the Government has been undertaking for larger scale farms OAF are replicating in their own laboratory for small subsistence farmers. Research from further afield or based on global work, OAF test from the perspective of their farmers to see if the innovations would work with the constraints their small farmers are facing. The relationship between the agricultural research companies in each country has also become more important since OAF established their Agricultural Innovation team that runs randomised control trials looking at how to increase the yield of maize and test new products.

Another group OAF has had to develop partnerships with are the agri-dealers and importers. With large networks of farmers good prices can potentially be negotiated. There are restrictions on importing seeds so seeds can only be purchased in country. so relationships with these large seed importers are vital to ensure access to the seeds that the farmers need. The relationships with Government officials nationally and on a local level and local decision makers in the communities they work in are also important. In some incidences the OAF have been able to offer support to officials with policy development and research outputs.

#### *Connectedness to overarching organisations, social movements*

Since receiving awards from Echoing Green, and then the Schwab Foundation and the Skoll Foundation, OAF has had access to social innovators working on a wide range of social issues. These networks cross sectoral boundaries and other awardees and their wider networks include funders, investors and other actors in the sector.

Other networks focused on different sectors such as rural agriculture, micro-finance, African development, research into crop development are all well-established. The challenge that OAF faces is that they cross a number of sectoral boundaries so could play a key role in any of these networks. The impression given by the organisation is that they are more interested into growing the number of farmers they work with. Their office in the United States deals with organisational communication and fundraising and they play a more active role in these networks than those working directly in the programmes.

### **Innovative solution**

Through the time spent in rural Kenya learning about farming in this context, and through the pilot, Andrew and his team tried to learn as much as possible before they designed their solution. They learnt that it was important that the solution they brought was as low-tech as possible, because that is how the farmers ran their farms. They also learnt

that the traditional micro-finance loans were not flexible enough to suit agriculture - particularly for subsistence level rural farmers. It was this that encouraged them to design their own micro-finance loan especially for these farmers. Their focus on research before setting up a pilot programme in a new country also allows them to make adjustments to the programme to fit the new context. One of the more significant changes to the programme, made as a result of talking to the farmers was the addition of value-add products such as solar lamps and cook stoves.

#### *Interrelation of different forms, levels of innovation*

The innovation of OAF is at its core a service innovation: not so much the different elements of the programme - the finance, the farming input (seeds, fertiliser, tools etc.), the training or access to the market, but the way they are packaged together. Governments, NGOs and International Development Agencies had tried projects with some similarities - some providing finance, some free seed and fertiliser, some training but they were approached as a way to plug a gap seen in the market, rather than to provide a comprehensive service to farmers to address all their needs in one go. It is the combination of these services in one package that is the most significant innovation. A further service innovation, in the form of insurance for subsistence farmers has also been developed.

Other technological innovations such as solar lamps and cook stoves, as well as re-usable sanitary products, have enabled OAF to add new products to their beneficiaries.

In summary by using a historical technological innovation, and by placing it in a new context whilst offering a new service innovation - their bundle of products - including value-add products, which are technological innovations themselves (solar lamps and cook stoves), or service innovations (insurance) OAF are reaching more than 400,000 farmers across six countries.

#### **Gaining momentum**

Ten years into its growth, OAF's innovation and growth strategy is a much more deliberate and controlled process than it was in the early stages. Although, when established, it was designed with growth in mind, the strategy for the first six years gradually moved from fairly ad-hoc to deliberate. Then four years ago the strategy was overhauled and an Office for Country Expansion was introduced. When considering a move into a new country significant amounts of desk research are undertaken before a scout is sent in to test whether the assumptions made by the desk research are correct, and to fill in any gaps in knowledge that the research highlighted. The organisation also established an Agricultural Innovation team to focus on developing new products and processes, and testing other research carried out in-country or overseas, in their context of small rural farming.

OAF's monitoring and evaluation has developed in a similar way, and over the years has become a highly structured system of measurement. This allows the organisation to report on their impact with verifiable facts and figures, along with narratives about the effect the programme has on the lives of the farmers it works with.

There has not been much in the way of competition getting in the way of their growth. Those that do support farmers - Governments, International NGOs, International Development Agencies - tend to do so in a piecemeal fashion, offering one or two of the inputs that OAF does. In fact, when these programmes come to completion, it creates an opportunity for OAF's team to offer their services to farmers previously on these programmes.

One of the issues OAF have had to deal with is the response from some farmers when they discover that it is not a free programme. Many of the Government or NGO run programmes have provided free training, and offered free seed and equipment. The concept of having to pay for these things as part of the OAF programme can be quite a transition for some people. However, once OAF farmers can show other farmers, who have not signed up, the impact the programme has on their harvests it sells itself.

The first key milestone for OAF was when it decided, in 2006, that its Kenyan pilot was successful enough to roll out as a full programme. The early stage they received at this point enabled them to do that, and the One Acre Fund was officially established. It was only a year later when they made the decision to let Eric Pohlman establish a programme in Rwanda, to see whether the programme could be replicated in a different country.

It was three years later in 2010 that OAF launched their next pilot, this time in Ghana. Three years later the decision to shut the programme was made. The region of Ghana they had launched in was not reliant on farming, farmers there would have a number of income sources and they were very reliant on cash crops, being so close to the capital city Accra. OAF found that farmers were disinterested in OAF's methods of farming, and re-enrolment for the second year was very low. They moved the programme further north where there was much more reliance on farming. However, the number of farmers in that part of Ghana was low in total, and after one season OAF discovered that actually the land was shifting to semi-arid which made it unsuitable for maize.

In-between Ghana's opening and closure, in 2012, OAF launched a programme in Burundi. Its first harvest returned very poor results as a result of farmers not adhering closely to the methods taught to them in the training. OAF decided to increase their training of the farmers in planting methods and require each farmer to plant a 100m<sup>2</sup> plot, planted to exact OAF standards so that they can see the difference in the harvests when they come, but also to check they have understood the training they have been given. Since 2013 results have improved over subsequent years.

Programmes in both Tanzania and Malawi were launched in 2013, then Uganda in 2014 and Zambia in 2015. 2016 saw the launch of OAF's first programme outside of the African continent, with a pilot being launched in Myanmar.

Relationships with suppliers such as agri-producers and seed importers are vital to the project's success. As the project in a country grows to a substantial size, it is these relationships that allow for better prices and terms to be negotiated as the larger number of farmers involved, means larger and more regular orders. The relationships with Government officials nationally and on a local level as well as local decision makers in the communities are also important. In some incidences OAF have been able to offer support to officials with policy development and research outputs.

Andrew Youn stated the biggest change in the organisation as being the "professionalisation" and the introduction of robust policies and procedures over the last few years. His vision for the organisation is large, and he is enjoying this stage of its life cycle as they get ready to increase their scale significantly.

He may not be a traditionally charismatic leader; he is humble and committed to developing personal relationships with his staff and the farmers they work with. But he is a big thinker and encourages his team to think at a larger scale than they might otherwise; hence his vision for reaching over 1 million farmers by 2020. His focus on the farmers defines the organisation. Everything is focused on getting the best for the farmers. It would be more appropriate to define him as inspirational rather than charismatic.

Local, national and international policy context is very important for the development of OAF. Each country they work in has different policies around seed importation, farming levies, support and different priorities around development. Each team in these countries needs to be able to navigate the policy environment of their own context.

### **Complementary innovation**

Rural farmers are required to buy into the new planting methods and trust that One Acre Fund can deliver on their promises. This becomes an easier process as the number of farmers signed up to the programme grows. Initially trying to convince the first group to forego their tried and tested, and often traditional, methods of farming, is hard work as the farmer's livelihoods are at stake - they have to be willing to innovate with their own farming techniques. OAF is bringing in new seeds, new fertilisers, and strict guidelines on planting methods - down to the distance that seeds should be planted from each other. This requires a rejection of traditional methods, sometimes in totality, in other scenarios just partially, in favour of OAF's products and processes.

Using Kenya as an example, subsistence farmers are welcoming of opportunities to increase their income so that they can ensure their children receive a university education. The assumption is that the drive for better education, or higher income, is similar in other countries - this would be one of the assumptions that OAF would test when looking at setting up a pilot in another country.

The recognition, assimilation and implementation of new information and knowledge are critical to the success of the OAF model, through the training programme and the implementation of what has been learnt. OAF discovered this to be the case in Burundi, mentioned above, by not following the planting guidelines to the letter the farmers saw near-

to zero improvement. Since introducing tighter restrictions on planting guidelines the Burundi programme has seen increases of up to 72% in farm profit per client in 2014 (OAF, 2016).

Other complementary innovation relies on the relationships that each country team have with the policy makers, the agri-suppliers, research centres, NGOs and International Development Agencies. In more innovative scenarios OAF can play a greater role in supporting the other institutions involved in agriculture in the countries they work in - some countries are more open to this than others.

The main technological development used by this social innovation was the invention of hybrid seed; but this is now a historical innovation in Western society. However, for rural farmers across Africa bringing this innovation to the continent was a game changer. At its core it has enabled farmers to increase the yield from their land, whilst coping with low rainfalls and minimal irrigation. It also created the opportunity for OAF to design their innovative programme - a hybrid seed, along with the use of fertiliser that had yet to be introduced to millions of farmers.

OAF has its own product innovation team who trial new products that will improve the lives of their farmers. Their product innovation team are also responsible for method innovation - using a variety of techniques - and focus mainly on planting techniques. (OAF, 2016) The organisation also works with new actors who supply value added products to their farmers. In different countries they have introduced different products. In Kenya alongside of maize and beans, OAF offer value-add products such as solar lights, vegetable seeds, trees, coffee fertilizer, improved crop storage bags, cook stoves and sanitary pads.

The farming tools themselves remain basic, as that is what rural farmers have access to, and are used to using. Technological advances in farm machinery would be too expensive for these rural farmers to afford, even with the micro-finance loans that are available.

### **Impact, diffusion and imitation**

As the focus of the OAF programme is to generate positive impact in the lives of rural farmers, OAF has always believed that it is critically important to measure the impact they have farmer's productivity and incomes. In late 2013 OAF started transforming their monitoring and evaluation (M&E) processes. The numbers of farmers they were working with had reached around 150,000. They had already launched the programme in Kenya, Tanzania, Malawi, Burundi and Rwanda. They were also planning a launch in Uganda the following year that would bring the number of farmers involved in the programme up to over the 200,000 mark.

OAF measure three elements of their programmes - scale, impact and sustainability - and each of these elements is split into two sub-indicators. For scale OAF look at the number of farm families served and the number of full-time staff they have. For impact they measure the \$USD gain in farmer income, and the percentage of that gain as well. And finally for sustainability they measure the percentage of loan repayment and the percentage of field sustainability. By field sustainability OAF are referring to amount of costs of the core team in country, and international staff delivering direct support to the farmer, that are covered by the income from the farmers.

For each managed programme, in each country OAF works in, the key measure is:

$$\text{Total impact} = (\text{Number of farmers}) \times (\text{impact per farmer}).$$

The total impact is measured in \$USD of new profit generated for farmers. OAF is also beginning to look at quality life metrics such as hunger and school attainment. They have used Randomized Controlled Trials (RCTs), as well, in the past and instead they have developed their own quasi-experimental methodology to test their impact in many of their different contexts. Occasionally they will run a RCT to confirm their internal measurement methods are correct indicators of their impact. OAF is also considering more deeply the long term impact of their programme in relation to the environment, and in particular soil health.

Diffusion is feasible and OAF has proved that the model can work in other contexts. However, because the programme is very rigid in terms of the training down to the distance between the seeds when planted, the amount of fertiliser and other farm inputs their diffusion could be seen more as a 'managed replication' within the OAF model. Since the

establishment of the Country Expansion Office there has been a deliberate strategy to pilot in new countries, with the aim of launching one new country operation per year.

One of the main barriers to diffusion is the farmers themselves. These new seeds, methods and promises of larger harvests, can be met with suspicion. Being a paid-for service, it is a challenge to persuade farmers when they have previously received training, seeds and equipment for free. Also, when farmers do not comply with the details of the planting process they will find, as with Burundi's first season, no improvement in farm profit.

As well as being focused on the empowerment of the farmers they work with, OAF also provide opportunities for their staff to develop their skills. Many of OAF's field staff were former farmers in the programme and now work for the organisation.

The business model OAF uses allows farmers to access micro-finance loans that are flexible, enabling them to pay them back during harvest season. Micro-finance has always struggled with loans for the agriculture sector, as regular set payments just do not work and the threat of disease or adverse weather conditions could destroy a farmer's harvest completely. Alongside of this micro-finance loan OAF have also designed an insurance product for rural farmers - the first of its kind.

As has been discussed above the social innovation has been established in six different countries, with two other pilots underway. The programme has been imitated in its entirety in each different country. For the different contexts some adjustment to the programme has been needed however. These adjustments have included moving from one harvest a year, to two; growing different crops; or planting into mounds rather than directly into the ground depending on which country programme it is.

With the establishment of the second programme in Rwanda, Eric Pohlman had approached Andrew Youn about transferring the model to Rwanda. Andrew agreed, and in 2007 the programme was launched. Now, nearly ten years later, when a new country is identified OAF have established a protocol that includes extensive research, sending a scout to the country, running a pilot is run and only then launching a programme in the country.

There is huge potential for the OAF model to continue to be replicated in more countries, and in more areas in these countries. The sheer number of rural farmers living in poverty across the world, in different countries and on different continents, suggests that the OAF are nowhere near finished in their task of improving the lives of rural farmers.

OAF have had the opportunity to work with funders that support their model; trialling new elements of programmes, or new programmes as they establish themselves. The press coverage has brought OAF to the attention of the international development sector, Governments, funders and other media. Because the OAF has been so impactful, and OAF have been able to prove this impact, there is much interest in their model, and in particular just how far they will go and the long-term impact they will have in the lives of farmers.

### **Role of policy**

The roles the policy actors play really does depend on the country the programme is in, and even which region. Some are very passive; others more active; some supportive of supporting rural farmers; others focused on other priorities. The desk research and scouting element of setting up programmes in new countries identifies some of these issues and is a key part of the process as OAF decide on which countries to enter.

The policies that relate to OAF's innovation are mainly the agricultural and import policies. Sometimes when an agricultural policy advocates for local support programmes an opportunity may arise for OAF to work alongside Government; other times OAF's programmes must adapt to fit the policy framework of that country. OAF's country team will take policies whether they are local, national or international and assess them against the OAF model. In some cases the OAF Agricultural Innovation team have tested global and international policies to see whether they would work with rural farmers.



### **Connectivity to the practice field**

This case belongs to the Poverty Reduction and Sustainable Development (PRSD) policy field of SI-DRIVE, and specifically to the “Tackling inadequate financial resources” practice field. As the focus of OAF is enabling rural farmers, their families and their communities to get themselves out of poverty, it sits well in that practice field.

Extreme poverty across the world is mostly experienced by rural farmers and is a huge problem. A solution that enables rural farmers to get themselves out of poverty is one that eradicates poverty at that level. Those in extreme poverty are often not in a position to advocate for themselves. Poverty and specifically inadequate financial resources is an extensive problem across the globe. The demand is there, but it is a dis-empowered, dis-enfranchised demand, so the impetus must initially come from those with the resources to take action.

The agricultural sectors in all the countries OAF operate in are regulated by Government. Government subsidises and IDO programmes had been enabling farmers to access inputs for free. This created a challenge for OAF as they were selling a paid for service. However with the subsidies being reduced and in some cases, stopped altogether, and with IDO programmes coming to the end of their life cycle, the gap this creates is a great opportunity for OAF to expand their market to those farmers who were previously part of these other programmes.

One of the challenges that OAF faces is that they cross a number of sectoral boundaries, because of the different elements of their bundled package, so could play a key role in any of these networks. The impression given by the organisation is that they are more interested into growing the number of farmers they work with. Their office in the US deals with organisational communication and fundraising, they would play a more active role in these networks.

A further challenge is identifying whether there has been any level of institutionalisation of their model. The only way to tell this would be for the programme to remove itself from an area, and see which of the behaviours remain over time, or for farmers other than those in the programme to start copying some of the behaviours of those who are in the OAF programmes. As yet such research has not been undertaken.

The development sector is slow to change its approach to issues around poverty. Often pilot programmes, or time-limited innovative programmes are implemented but then come to an end. One would have hoped a proven programme, developed over a 10 year period would be causing all development agencies to stop what they are currently doing and instead invest in OAF’s expansion. This has yet to happen to the scale that it could.

## **3.4 PRACTICE FIELD CONCLUSIONS**

The four cases analysed in depth above clearly do seem to constitute a viable practice field, as defined by SI-DRIVE, around the income support topic. This also applies to the main findings from the other 15 cases designated as income support cited above, but which will be examined in more detail in a later report. A summary of the main characteristics of this practice field, and the cases illustrating it, is as follows:

### **Demand, actors and organisation**

- The basis of the income support practice field is financial need typically sought through economic enhancement. This seems to arise both as a highly localised social need affecting the demand of specific groups of people, and at the other end of the scale, is often driven by the policy intent to effect a more systemic change across society as a whole, without which most such local and specific needs will continue to arise.
- Cases thus tend to be the result of strong public policy initiatives, large philanthropic and private funding at national level, with civil organisations and SMEs more important at local level.
- This configuration of actors is reflected by the very large numbers of regularly paid employees, in contrast to a very low number of volunteers, compared to all PRSD cases. The large scale of most cases in the practice

field is also reflected by the average overall number of actors being more than three times greater than the PRSD average.

- Budgets tend to be skewed to the high end of the range of PRSD cases, with over one third operating at over €5m annually and fewer than the PRSD average relying on small budgets. They draw significantly above the PRSD average on national and regional funding and international donors. Income support cases also are atypical of all PRSD cases in relying very heavily on selling their own products and services
- Although the average age of income support cases tends to be higher than most PRSD cases, only about half have reached the impact stage compared with 70% of all cases. This shows that it takes longer to reach impact maturity in this more top-down, large budgeted practice field.

### **Development processes and dynamics**

- In terms of case development, most have a fairly smooth largely upward path, without any real critical incidents or crises which might lead to periods of regression and then recovery. This common development path characteristic is probably related to the fact, as noted above, that the cases in this practice field are mainly supported by large stable public and third party funders and supporters, with very substantial and sustainable budgets. This picture is in some contrast to the other two practice fields analysed in this report, as examined below.
- Overall, the cases show both strong top-down push coupled and balanced with strong bottom-up localisation and implementation, each fulfilling unique and complementary roles. This is also reflected in this practice field by a synergistic balance between the large scale and the small scale and how the two can successfully operate together.
- In this context, there are important human capacity development processes on the ground which promote the empowerment and agency of beneficiaries, especially of women, and in terms of local ownership, management and regulation. In some cases, this approach is usurping and by-passing the role of traditional financial providers (banks as well as loan-sharks), democratising this role and putting it in the hands of local communities.
- In terms of local implementation, many of the cases have also adopted a comprehensive cross-cutting approach attempting to treat the totality of beneficiary needs, or at least a large number of them that are interrelated. This is flexibly adapted to different contexts, for example relying on local research before starting and integrating and packaging many elements together in locally relevant ways.
- In this sense, and despite the important top-down policy driven momentum of cases, the local level is often able to adopt a 'human condition' and a 'human dignity' approach, recognising unique individual attributes and needs, including the need to respect human rights. Part of this is understanding that the problems of the poor mutate over time, especially in the context of wider societal development and the changing relationships which individuals have.
- For example, the main headline issue is income scarcity, but this normally varies strongly over an individual's life cycle, as well as to changing family relations and fortunes. It can also vary significantly from season to season, especially in a rural farming context when pre-harvest can be a time of absolute desperation and post-harvest of relative abundance when resources might even be squandered on lavish events, although highly acceptable and even expected in many local cultures.
- Gaining momentum is exemplified in a number of ways, including as strong vision and long-term goals, intense networking, locally, nationally and internationally, Taking a holistic people-centred as opposed to siloed approach is also important, as is being prepared to adapt the business model. Deploying democratic processes for advancing the interests and rights of the beneficiaries through advocacy, dialogue and networking is often key, and can assist in mainstreaming and institutionalisation.

- Complementary innovations include applying the latest basic technologies in the sector, undertaking pre-implementation surveys and research, and adopting the open innovation concept. Rather than always just plugging the market gap, develop comprehensive solutions to address a variety needs flexibly in one go. In this sense, cases are multi opportunistic and typically exploiting specific possibilities as they arise, rather than simply focusing only on solving the problem of income scarcity. Also important are innovations in gender issues, local production, food supply, soil quality, environmental impact mitigation and reducing unemployment.

### Success factors and impacts

- The success factors in the types of cases in the income support practice field show the paramount importance of public policy, politics, regulation and finance. In contrast, although Yomken is a little different, such cases are less driven by individuals, networks and groups than by large established actors. This also leads to a number of challenges, particularly a funding challenge, obtaining adequate personnel with the right capabilities, and the difficulties of getting round any restrictive legal provisions should these arise given the high political prominence and large scale of most cases.
- Looking at overall impacts, cases in this practice field generally show high rates of successful transfer of the innovation elsewhere, especially at regional and national level. The most important transfer agents are the partners themselves, especially when these consist of public bodies of different types and levels, as well as other large funders and civil networks, and this is somewhat higher than for PRSDA cases as a whole. In contrast, external actors are less likely to be involved in transfer than the PRSD average. In terms of scaling and growing existing innovations, the strong networking between partners at different levels is extremely important, as is the success in institutionalising the innovation in policy and in the ways that, especially the large, organisations involved think and operate. This has been enabled by the typically close involvement of public bodies.

### Mechanisms of social change

- **Learning** is not a top formal priority in most cases, but does underpin much activity. Both learning from success as well as from failure takes place, often through widespread networking where the main outcomes are capacity building and giving beneficiaries greater empowerment and agency.
- High levels of social and economic variety spur the need for adaptation when applying income support models in practice, given they are implemented widely in many countries. Thus **variation** is of high importance, implemented in many contexts, cultural and behavioural adaptation, also responding to many local variations, despite often top-down implementation frameworks.
- In this context, **selection** across cultural and behavioural adaptation is critical for applying income support models in practice, so a wide variety of selection processes is also apparent. This is enabled by the relatively strong top-down political and financial frameworks which provide relatively stable conditions for locally adapted adoption, diffusion and imitation processes, which only tend to fail and result in the decline and death of an initiative when attempts are made to implement in unsuitable contexts.
- The income support cases have not experience important **conflicts**, a fact also illustrated by their relatively smooth upward growth paths. There have been minor conflicts related to issues like lack of trust between poor people and the government providing income support. There have also been conflicts between new providers and incumbents providing financial services, like banks or loan sharks which has proved beneficial to poor people when inflexible or even corrupt systems are side-lined.
- As with conflict, there is little evidence of significant **competition** inherent in the change mechanisms in this practice field. All cases, however, are in different ways successfully assisting their beneficiaries to become entrepreneurial and participate in local markets as a means of boosting their incomes. Competition between new providers and incumbents providing financial services, like banks or loan sharks, can be beneficial when the former are able to usurp the roles of the latter.

- **Cooperation**, on the other hand, is a very important feature of income support cases, especially through networks at different levels. It is important where local networks operate across multiple actors and can help link these together. It develops cooperation between professionals, especially for technical issues, knowledge of financial system, training, and the pooling the resources and knowledge of all network members. Inspirational leadership is more important than charismatic leadership, given that the latter can, though not always, lead to closed thinking and problems over the long term when the leader departs.
- **Tensions and adaption** typically arise from conflict so serious tensions have not arisen. Minor tensions arise from lack of trust between poor people and the government, and between new financial providers and incumbents, like banks or loan sharks and can help usurp inflexible or even corrupt systems, Neither is there any tension resulting from the introduction of new technology.
- Cases in this practice field generally show high rates of successful **diffusion** and transfer of the innovation elsewhere, especially at regional and national level, a characteristic resulting from significant public policy and top-down push, as well as continuity of approach over the long-term. This also shows the huge latent demand which helps drive this diffusion. A lot of this is through imitation and copying, though there is much adaptation at local level where context and culture are very important. The most important transfer agents are the partners themselves, especially when these consist of public bodies of different types and levels, as well as other large funders and civil networks. Necessary actions for dissemination include the need for a quite formal basic structure when financial issues are in play, and local people need trust to invest any savings and use the scheme for credit, Raising awareness is thus essential as are good exploitation strategies. Also good partnerships with key leading organisations from different sectors are vital, as is the willingness to change from existing systems and processes to the new. Complementary innovations include empowering women, focusing also on quality of life and related benefits and the environment, as well as preceding the decision to implement with local research especially when entering new countries.
- The **planning and the institutionalisation** of social change has been strongly supported and typically driven by strong public policy initiatives and large philanthropic and private funding at national level. An essential ingredient of policy is to institutionalise the innovation at the highest governance level, as well as in the ways of working and thinking of actors at different levels, thereby resulting in significant social changes for the long term.

## 4 PRACTICE FIELD B: COMMUNITY CAPACITY BUILDING

The community capacity building practice field focuses on how social innovation can assist in developing the capacities and capabilities of communities at the grassroots level. Social innovations which help alleviate poverty through sustainable development at the local scale typically focus on ensuring that people living in local communities can themselves develop the skills and capabilities to work together, and with outside actors, to become aware of what they need, what they can do and to take responsibility in working to achieve it. Increasing this awareness is typically gained through advocacy, not only vis à vis the external society, but just as much within their own community. This must then result in taking appropriate action, again with others, to effect change based on their own priorities. The aim is that the community becomes empowered, at least partly through its own efforts, and thereby significantly increases its own agency.

Five cases are analysed in the community capacity building practice field:

- **SEKEM Development Foundation (SDF) (Egypt)**: The SDF model is a cross-cutting initiative covering many topics and other practice fields, including bio-dynamic farms applying eco-friendly and healthy cultivation methods; the trading eco-friendly companies for produce and processed organic foods (such as organic herbal teas and beauty products, organic medicinal herbs and medicines and organic cotton products); a medical centre serving poor people in rural areas; a school based on the principles of Waldorf pedagogy open to pupils from any religious or ethnic background serving poor children and families around SEKEM; a

community school catering specifically for the needs of children from disadvantaged groups like the handicapped; a vocational training centre; and a college and research centre.

- **Kavar Basin rural development (Turkey):** Kavar is a project that promotes better practices in agriculture and animal husbandry by providing infrastructure and education. Rural areas typically face lower income and economic development is a challenge for most countries because of the vicious cycle of poverty. For this reason, intervention may be helpful via funding, training, or providing infrastructure. In Turkey, there are non-profits that deal with rural development as well as a government institution called Agricultural and Rural Development Support Institution under the Turkish Ministry of Food, Agriculture, and Livestock whose mission is to "contribute to national development by effectively delivering funds provided by the EU and national sources to the target group pursuant to rural development programmes." There are also Development Agencies that provide funding for various projects.
- **AgroSolidarity (Colombia):** Agrosolidarity is a confederation that brings together the main solidarity economic communities of Colombia working on agroalimentary, handicrafts, and sustainable tourism activities. It has successfully achieved to integrate monetary resources and human talent through diverse community strengthening processes, based on a decentralized structure with self-management and sustainability principles. Agrosolidarity has innovated in community capacity building strategies, with a model that relies on direct participation from rural agriculture families. The organizational structure is built on concentric circles formed by families, associative groups organized by product, process or services, mutualist associative figures, sectionals organized by micro-regions, regional Federations, and finally the Agrosolidarity national Confederation.
- **Dignity and designs (D&D) (India):** The protection of human rights and development of socially excluded communities through abolishing all kinds of social exclusion and promotion of community based institution and decent livelihood. Jan Sahas Social Development Society, which focuses specifically on eradication of manual scavenging and other forms of bondage through skill development for decent livelihood and social entrepreneurship, legal aid and intervention in the cases of atrocity and violence against Dalit, Tribal and women, support in education, food and nutrition security, promotion of basic rights and entitlements, develop 'barefoot lawyers' to build victim or survivors as leader and empowerment of communities through capacity and organization building.
- **School for life (SfL) (Ghana):** SfL is a Ghanaian NGO that has developed the School for Life programme in rural northern Ghana to bring 'complementary basic education' to 8-14 year olds from poor families who would otherwise not receive schooling. Impressive results have been achieved since programme start in 1995, including over 200,000 girls and boys who are now literate, and the training of nearly 4,000 'barefoot teachers'. This takes place in collaboration with a Danish NGO and the Ghanaian government funded by Danish and later other countries' aid money. Education and skills development projects for income-poor and marginalised people are often provided through local bottom-up initiatives working with civil organisations through community-driven advocacy campaigns to raise awareness, also with the public sector that has formal responsibility but is unable to provide such education, whether because of lack of resources, inadequate capacity and even corruption.

These 5 cases are summarised in detail in section 0 below and form the basis for analysing the practice field in sections 4.1 and 4.2.

## 4.1 ANALYSIS AND CONTEXT OF THE INITIATIVES

### Social needs demand, actors and organisation

The demand stimulus for the community capacity building practice field clearly lies in a general lack of social and economic development, often combined with cultural tensions and poor manmade and natural environments, acutely felt at the community level but also requiring change at the macro level. Examining the 17 case studies in this practice field, this development need is driven largely by the social need experienced in situ, but is also linked much more strongly than all 179 PRSD cases in SI-DRIVE's database to the need for widespread systemic change across

society as a whole, without which such local and specific needs will continue to arise. Initiatives in this practice field rarely arise from widespread grassroots social movements, but are often the result of strong public policy and/or strong pressure groups which are able to persuade governments or philanthropic organisations to fund them, with civil organisations and SMEs more important at local level.

The success of some of these cases in effecting systemic change in society is exemplified by the D&D case in India that, after many years of resistance or at best placidity from government, eventually managed to get their approach enshrined in law and institutionalised. Similarly, in the SfL case in Ghana which also had significant success after many years of trying in changing the attitudes of both politicians (centrally and locally) and of the education system in Ghana. SfL represents a real mainstreaming initiative moving increasingly towards institutionalisation and systemic change in society with a quite profound impact on the educational system both in Ghana and other countries.

Civil society is by far the main actor, whether locally, nationally or regionally, and is somewhat more prominent in this practice field compared to the average of all PRSD cases. In contrast, the role of private sector actors is often less important although still represents just under 20% of all actors, whilst public sectors actors make up just over 20%. This configuration of actors is reflected by the numbers of regularly paid employees involved in the 17 cases in this practice field, which have on average significantly less than the average number in other PRSD cases, whilst in contrast the number of volunteers is about seven times the PRSD average. The latter number is the main reason why community capacity building cases are very large initiatives compared to the PRSD average, with an average staff size more than three times greater, and on a par with the income support cases.

The five cases analysed in this section tend to illustrate these characteristics. For example, the AgroSolidarity case study started with the Network of Community Organizations in 1984 testing several participatory organizational models and from 2004 began to grow nationally, so by 2008 the Agrosolidarity national confederation was formally created with 32.000 families, 384 Associative Groups, 126 Sectionals and 12 Federations. In Kavar, the main actor is Ozyegin Foundation, partnered by many public institutions, NGOs, universities, private companies and international organisations at different levels. The SEKEM case has, over many years, gradually attracted more and more partners and built more reliable networks with academics, European programmes, international organisations, governments, and leading non-profit and philanthropic organisations. Also with leading EU banks.

Cases in this practice field tend to be older than the average for all PRSD cases and thus most are in the impact stage of development delivering significant changes in their communities and more widely. Being generally very large cases organisationally is, however, not reflected in the average size of budgets which are somewhat lower than PRSD cases generally. This is also reflected by the funding sources which typically rely little on domestic government funds, but heavily on EU funding with Europe or foreign and donor funding in non-European countries, supplemented in some cases by selling products and services. Financing from companies, participation fees and crowd-funding is lower than the PRSD average.

### **Development processes and dynamics**

Figure 7 shows the case biographies of the five community capacity building case studies and, although the time lines are different, at least four seem to depict a similar pattern of two main stages separated by a retrenchment and/or crisis about halfway through the period under review. The fifth, AgroSolidarity, also seems to show a development slow down about one third of the way through, followed by a speed up after testing several operational models and implementing those most successful, and the formation of a national confederation, both of which provided significant stimulus.

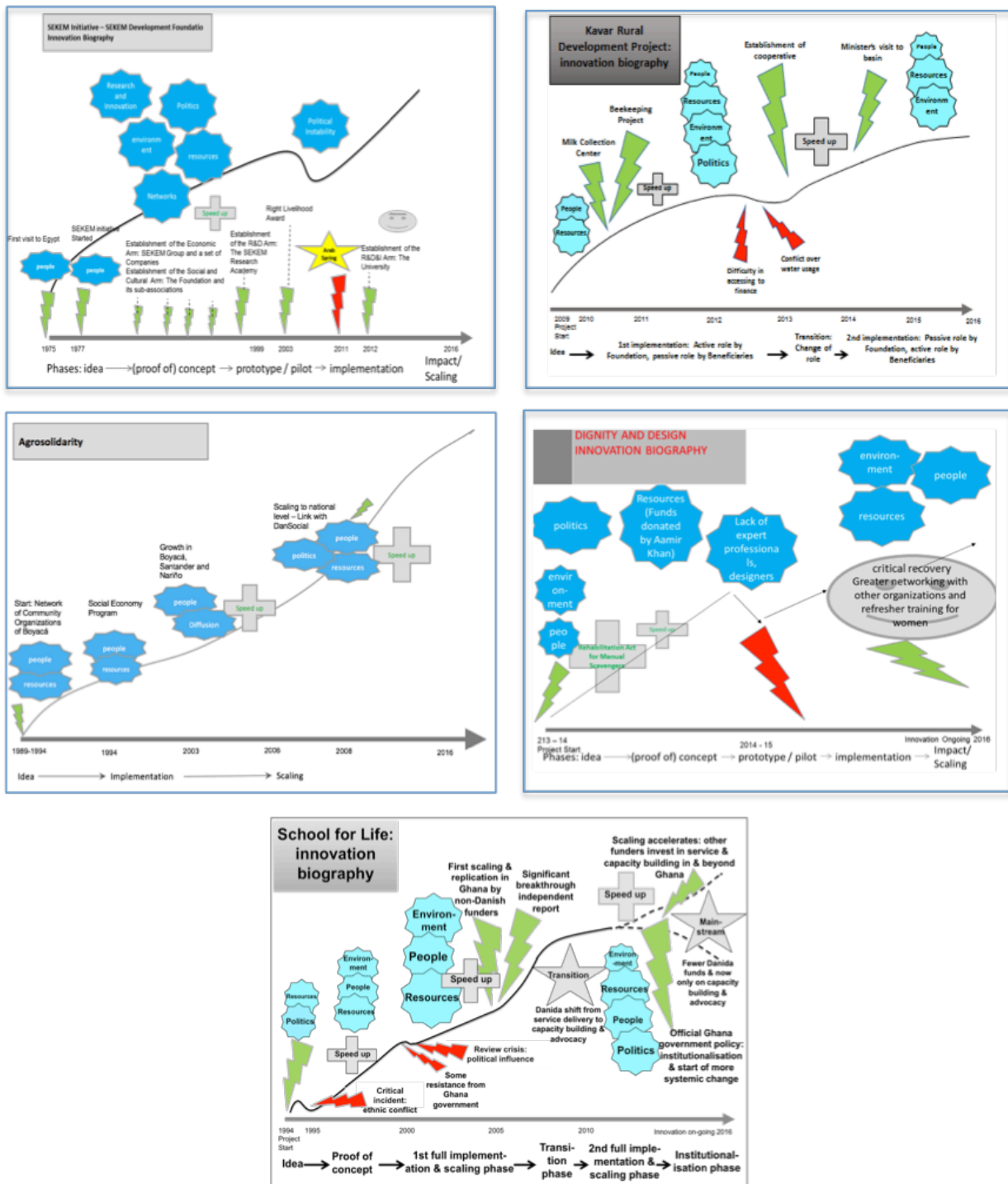


Figure 7: Community capacity building case biography diagrams for SEKEM (Egypt), Kavar (Turkey), AgroSolidarity (Colombia), D&D (India) and SfL (Ghana)

The explanation for the development of the other four seems to spring from the fact that they are generally not inspired, supported nor financed by their domestic governments, and, in some cases, also experience hostility from their governments. In this context of relative fragility, at least in terms of large scale transfer and impact, retrenchment in two of the four cases resulted from crises caused by political problems related to the relative lack of consistent political support. The SEKEM case experienced strong political instability due to the Arab Spring at a time when the government was at best neutral about the initiative. In the SfL case in Ghana, there was political resistance

from the government largely resulting from feeling undermined by the success of the initiative in delivering basic education services for which the government had formal responsibility which it was not living up to, as well as accusations of undue political influence. It was clear that SfL was, and still is usurping and by-passing the role of the formal service provider, democratising this role and putting it in the hands of local communities. In the other two cases, this relative fragility was sorely tested by more local and contextual challenges. In the Kavar case, there was difficulty in accessing finance and a conflict over water shortage, whilst in the D&D case in India the retrenchment was caused by an acute lack of professionals and expert designers.

Following on from this and in comparison with all PRSD initiatives, the first trigger of many cases in this practice field is, as mentioned above, often the result of strong public policy and/or strong pressure groups which are able to persuade governments or philanthropic organisations to fund them, with civil organisations and SMEs more important at local level. The overall idea and incentive concerning the importance of community capacity building is not new, but the specific innovations adopted at local level often are, as exemplified below. Neither are the cases normally not triggered by new technology more than other PRSD cases, and ICT and social media are used a lot less. There is, however, a strong focus on social entrepreneurship and the social economy, as well as the social, cultural and economic empowerment of the target group. Similarly, gender, equality and diversity issues are very important in driving these cases, as is the development of human resources and good governance.

The innovative character of cases in the community capacity building practice field reflects these issues. Most cases have developed original solutions for their local context which, because of their success, have subsequently been significantly scaled and had high rates of transfer elsewhere. For example, the SEKEM cases in Egypt has developed an unconventional business model that incorporates social and environmental externalities as the basis for an increasing competitiveness across the four sustainable development dimensions of SD, also adding culture as a fifth dimension. This model is now becoming much more widely adopted both in Egypt and across the Arab world. The Kavar case in Turkey has developed organisational, system and behaviour/attitude innovations, that have increased the economic and social capacity of the poor, empowered particularly women, encouraged the sustainable use of natural resources, established a new attitude in the poor, so becoming a replicable project for the other rural areas AgroSolidarity in Colombia has innovated along three main lines: an agro-ecological school for alternative production systems with low environmental impact; a mutualism school based on popular education principles for developing participative action for emancipation; and the Agro-ecological Heirs program directed to promote in children their sense of ownership and value as protectors of the environment and elder traditions.

The D&D case in India is the country's first craft and marketing social enterprise that is committed to the social and economic empowerment and rehabilitation of women who have been freed from the practice of manual scavenging, other forms of bondage and sexual violence. This is based on the three pillars of education, capacity development and organization and has also deployed unconventional human resource solutions, such as 'barefoot lawyers' as local people who know the communities, and are given basic training to advise people on basic legal rights and procedures.

The SfL case in Ghana has also developed a number of innovative solutions, such as the 'functional literacy' approach, based on local language teaching in basic literacy designed to better prepare children for everyday life using unpaid local 'barefoot' mother-tongue teachers (though supported in kind), rather than expensive teachers who have gone through the formal training system but do not wish to move to rural areas. The case has also insisted on specific agreements with the local community about their role and responsibility with village parent committees, at least half of which must be women. Capacity building and advocacy takes place in the local community which becomes itself at least partially responsible for their children's education, as well as to advocate for more and help fill the gaps in the formal education system. The purpose is to increase the agency of the local communities so they can do it themselves, at least in terms of basic education, in these very poor and marginalised communities, in close partnership with a large number of supporting actors in Ghana, Denmark and elsewhere. Another important innovation goal, now being realised, is the gradual integration of the functional literacy approach into the formal educational system thereby developing it a powerful form of 'complementary basic education' approach. The SfL innovation is thereby a very successful marriage between Danish socio-cultural education and Ghanaian community structures and culture. It demonstrates a merging of two traditions in a manner that is highly complementary and beneficial for the target group.

The five cases exhibit good examples of different but important ways of gaining momentum after launch and becoming more sustainable. SEKEM is driven forward by its strong vision, global, local partners and networks, as well



as multi-activities, awareness, advocacy and engagement in local community. Kavar, being a cooperative that is pro-poor, gender equal, collaborative, cooperative and participative insists that development is a human right. AgroSolidarity gained through building intense networks and associations, also forming a nationwide confederation, as well as through additional resources for training, etc. A people centric process is deployed by the D&D case, but also recognises that this takes a lot of time, given that many destitute women are slow to learn so many refresher courses are required. This was also helped by a business model change from fixed stipend payments to piecework payments which has improved the rate and quality of production. In SfL, much momentum is due to strong and continuous focus on civil society strengthening striving for social change and taking its starting point for the change processes guided by the Theory of Change roadmap for civil society groups and the impact expected. This is based inter alia on democratic processes and advancing the interests and rights of the beneficiaries through advocacy, dialogue and networking. This has led to a substantial mainstreaming of the project as it has started to become institutionalised in the formal education system, as well as being replicated by other donors both within and outside Ghana. Also important in this were changes in the Danish overseas development strategy, i.e. at the political level, which saw a shift from a 'needs-based' to a 'rights-based' approach. This has political consequences given that the educational authorities in Ghana became 'duty bearers' and the children became 'rights holders', as is reflected for example in the United Nations 2030 Sustainable Development Goals and Agenda.

### **Success factors and impacts**

The success factors of the types of cases in the community capacity building practice field show the paramount importance of individuals, networks and groups, and of finance especially from international funders (both public and philanthropic). Also typically critical are both local and political awareness raising and advocacy, curating the agency and direct involvement of the beneficiaries in meeting their own challenges, or at least being important actors in this, and often focusing more on what can be done given local resources, aspirations and existing capacities using a holistic approach, rather than piecemeal problem solving. There are also a number of challenges, particularly a funding challenge, obtaining adequate personnel with the right capabilities, political ignorance, neutrality and sometimes resistance, legal restrictions, as well as often huge cultural and contextual differences which can also provoke hostility and backlash.

Some of these factors have been illustrated above, whilst others are exemplified in the following. Some of the success factors in the SEKEM case include continuous follow-up, monitoring and evaluation, good governance structures, a participatory approach, professional HR development, as well as reliable networks and partnerships. When transferring experience, SEKEM strongly advises similar initiators not to wait to get government's attention, but instead to start the initiative, widen the network, achieve tangible success, and then have something to show to policymakers to get their support. Sfl demonstrates a number of critical drivers including quite significant but not always predictable financial resources from donors, conscious efforts to anticipate problems and barriers early and tackle them consistently, and the focus on solidarity, both locally (based on mutual reciprocal relationships and self help) and internationally between Ghana and first Denmark and later other countries. Sfl also illustrates some of the challenges, including lack of funding to become even more widely rolled out, which is also related to governments' traditional mindsets, and the legal and regulatory restrictions faced by non-profit NGOs in Ghana. There is also often acute lack of local qualified personnel in the Sfl NGO and related organisations.

Looking at overall impacts, cases in this practice field generally show very high rates of successful transfer of the innovation elsewhere, especially at local and regional levels, not at national level, but significant transfers at international level. As described above, this clearly indicates the dissemination power of these innovations, but that the main barriers to this are typically national governments and systems, some of which is due to overt resistance or at least reluctance to permit other actors achieve success in what they might see as being at their expense and detrimental to their power and prestige. Compared to PRSDA cases as a whole, the most important transfer agents are the partners themselves as well as their success in achieving adoption by users, especially when these consist of NGOs and external funders of different types and levels. In terms of scaling and growing existing innovations, in situ organisational growth, the networking of project partners, influencing other policy areas and institutionalisation into existing systems, are all extremely important.

Again, some of these issues have been exemplified above, whilst others are illustrated in the following. SEKEM has achieved high human investment, capabilities and professionalism applied to all sectors: economic, social, cultural and environmental. In a similar manner, Kavar has also had multi-sectoral impacts across the agricultural sector but also in

terms of schooling and education, entrepreneurship training and rehabilitating the irrigation systems. Both quantitative and qualitative indicators are used to demonstrate success in reversing migration, lowering unemployment, working in other areas, more agricultural consultancy, school and university enrolment increases especially for girls, increased empowerment and participation of women, increased female literacy, greater use of health services during and after pregnancy, increased satisfaction, and rise in valuable assets. Kavar has also become a best practice for replications elsewhere in Turkey.

AgroSolidarity has been able to optimize their market economy with solidarity principles, improve living conditions, and use political advocacy to protect their rights, interests, cultures and traditions. This has been important for the Colombian rural population as a whole, which has been the most affected by the consequences of armed conflict, has the highest concentration of poverty and extreme poverty, and is especially vulnerable to changes in global markets and free trade agreements, as well as changes in the environment. Agrosolidaria has created a business model that aims for own economic sustainability by the creation of economic circles of both production and consumption, in a way that doesn't require external financial resources to work. This model empowers peasant families, with a special focus on women and children, so they can have local and national political influence to have policies that respect and support sustainable family agriculture. Also with a rural focus, the D&D case in India, has to date liberated 21,225 people from manual scavenging in the country, more than 90% of whom are women, formed self-help groups, four garments production centres, and together with many other women, have been given sewing machines individually to start their own sewing enterprises. The initiative is owned by the women themselves, as well as other shareholders.

The SfL case in Ghana has achieved a dynamic development of actors, partnerships, alliances and networks for widely scaling and transferring their dual SfL model of functional literacy and complementary basic education. The number of SfL partners has increased from three in 1994 to at least 17 by 2015. The geography of transfer, in addition to growing in situ in northern Ghana, has also expanded from a small part of northern Ghana to other parts of northern Ghana as well as to other parts of Ghana. In addition, a number of partners have begun to implement SfL in Liberia and Sierra Leone, and similar versions of SfL have been adapted to locations in India and Kenya. This is all due to the initiative's documented impacts both on basic child education and more broadly on the deprived communities in which it is implemented. This is achieved by high levels of capacity building and advocacy amongst all partners, including in the targeted rural communities themselves. Sometimes this quite dramatic expansion and growing impact has been difficult to manage and coordinate, but these functions have been given high priority by both the funders and by the implementers on the ground. The case has had a significant focus on impact monitoring and evaluation. Highlights include between 1995 and 2014/2015, over 221,000 8-14 year olds (boys and girls) have been provided with basic education, using the SfL model. In addition, 3,651 'barefoot teachers' were trained using the SfL model, and significant numbers of both children and teachers then graduated into the formal education system, whilst the number of districts covered increased from 2 to over 30. With a notional investment of only US\$ 107 per child for the Danish-funded projects, which also funds all other aspects of the programme including capacity building and advocacy, as well as running the Danish NGO and the Ghanaian SfL NGO, these represent very significant tangible impacts.

## 4.2 MECHANISMS OF SOCIAL CHANGE

In this sub-section, the mechanisms of social change derived from the analysis of the five case studies in the community capacity building practice field are addressed.

### Learning

All the community capacity building cases have learning, the generation of new knowledge and empowerment as central and main goals. Such learning may not always be transformational at the public policy level, as here there is already significant agreement concerning the overall dimensions of what works and what doesn't. However, it is very intense at the implementation and practitioner level and this does often, in turn, feed back into the policy level. For example, in the Agrosolidarity case has developed a decentralized structure with self-management and sustainability principles relying on direct participation from rural agriculture families. The organizational structure is built on concentric circles formed by families, associative groups organized by product, process or services, mutualist associative figures, sectionals organised by micro-regions, regional Federations, and finally the Agrosolidarity national Confederation. The case also derives new knowledge from traditional wisdom and culture, for example basing this on natural cycles learnt from nature.

The D&D case is developing new knowledge derived from the promotion of basic rights and entitlements, as well as concerning the learning capacity of destitute women leading to training modules for their capability development and confidence building. The case also developed the concept of 'barefoot lawyers' to provide basic access to legal knowledge and services. The SfL case applies a Danish inspired learning pedagogy-based upon pupils' everyday life and needs, in their mother tongue using locally recruited 'barefoot teachers', and with the active cooperation of the parents and the community in a fully child-centred approach. This came to be known as 'functional literacy' and became a major innovation of the project alongside ultimately successful efforts to link it to the formal education system as 'complementary basic education'. This was achieved through capacity building and advocacy in these very poor and marginalised communities, in close partnership with a large number of supporting actors in Ghana, Denmark and elsewhere. Empowerment and capacity building is also a feature of all the case, for example the SEKEM initiative generates capacities in the SEKEM community based on integrating economic, social, cultural and environmental dimensions informing its overall agricultural model. The promotion of capacities is supported by linking in a systemic way community efforts around common objectives and a long-term vision of sustainable models of community organizing.

Learning is also clearly taking place between locations and organisations through transfer and networking (see below), as well as in situ through scaling and institutionalisation

### **Variation**

Variation is a critical characteristic of the community capacity building practice field reflecting its very widespread nature across all geographic and cultural contexts, and is just as often informal as formal. There are generally high levels of innovation derived from varied value and belief systems, as well as via religious, cultural and behavioural contexts. For example, the SEKEM case is developing anthroposophy under Egyptian and Islamic conditions, but without copying any European model. Two spiritual "formation movements" are flowing together: Islam and Rudolf Steiner's spiritual science. Because the initiative respects and builds on the local conditions, the initiative has been widely accepted and diffused. The model of decentralised organisation in some ancient societies, as well as in several animal species, demonstrates ways of coordination that do not require concentrations of power, information, or knowledge, but instead structures for its distribution. AgroSolidarity also encourages the resurgence of relevant aspects of ancient culture and the wisdom of indigenous and peasant populations in Colombia, coupled with a respect for environmental resources, the generation of collective knowledge, autonomy, interdependence, intergenerational complementary and associative management.

The D&D and the SfL case, in contrast, achieves variety through the adaption of innovations in very particular contexts. The former does this by consciously confronting the traditional caste society structures with their built-in exploitative and, in some cases, slave-like and colonial mindsets and conditions, attempting to drag them into the 21<sup>st</sup> Century through radical campaigns to increase awareness of social justice and equal citizenship rights as guaranteed by the constitution of India. The latter engages with a society with no history of education, a mainly Muslim with a large minority Christian population, and has developed a 'functional literacy' basic education programme within the context of all-round community capacity building and advocacy initiatives. These cover the fields of youth, innovation and entrepreneurship, women's empowerment, micro-financing particularly access to savings and credit, as well as food security and livelihoods and sanitation projects. SfL is thus part of a package attempting to tackle issues of multiple deprivations where the contextual mix is always unique. It considers the 'all-round human condition' instead of only siloed needs, for example in relation to empowerment, gender and basic human rights. In this context, some ambivalence in the form of unforeseen outcomes has been experienced, such as the important synergies which can be achieved between these fields when linked together.

### **Selection**

The societal challenges addressed in this practice field tend to be quite varied across most contexts, i.e. the need to develop communities in an all-round manner through capacity building to optimise the beneficiaries' own agency to act for themselves increasingly in future across all areas. Given the huge variety in local communities described above, the processes of adaptation, diffusion and imitation reflect this. This includes copying and imitation, particularly within specific socio-economic and cultural contexts. For example, in the SEKEM case, copying and imitation are important in spreading the innovation, despite small-scale local adaptation. There are also highly specific and significant adaptations where contexts differ. The processes of adoption and diffusion in AgroSolidarity have evolved with the

capacity of family agriculture groups to easily communicate and coordinate with each other, and connect with other sectors of society, including in urban areas.

Processes of innovation growth, decline and death also reflect this variety. For example, Agrosolidarity facilitates adaptation through its decentralised organisational structure. The main reasons for failure at a local level are related with personal leaders that enter in conflict with the model. At a national level, some of the main threats are related to the political context: public policies around free trade agreements, landownership, rural investing mechanisms, monocultures, and response to the armed conflict. The Kavar case saw the early demise of micro-credit projects for community development, as there was no mechanism and no training or support to convert the credit into sustainable production.

### **Conflict**

The importance of conflict in the community capacity building cases depends on whether it is internal to the case or affecting the case from the external environment. In the former situation such conflicts are relatively unimportant, but tend to be much more important in the latter. For example, in the early period of the SEKEM case, government officials and the administration were totally prejudiced against organic cultivation which was unknown to them. They were suspicious and fearful that natural micro-organisms in the compost might multiply like a disease and “poison” its surroundings. The unusual activities at the SEKEM farm also aroused suspicion and fear amongst the local Bedouins, as well as amongst the military, the administration and the Department of Agriculture. In the AgroSolidarity case, there have been regular new external challenges to face, such as free-trade agreements, armed conflict with Farc and land grabbing and usurpation, at a time where armed violence was held as a valid possibility to resist political and violent exclusion. However, all have been dealt with using the initiative’s solidarity networks, and the use of smart phones for agile decision-making. Also important is its flexible organisation structures and the capacity to widely disperse shocks and get support and ideas through its network, which has also been useful in resolving the few internal conflicts. Further, in the D&D case, there are ongoing caste and gender based conflicts generating violence and atrocity. The initiative has, however, developed a widespread social movement in response, and its livelihood generation programmes, social enterprises and community based collectives are making big impacts.

In contrast, conflicts experienced within the community itself tend to be relatively insignificant without causing any major or long lasting problems, although they can be, and appear to be, important in the short-term. For example in the Kavar case, some conflicts have arisen from access to water problems between two villages, but these have been resolved by dialogue. The leadership provided by the field coordinator was also an important factor, with his knowledge, experience, attitude and outlook. In the SfL case, there have been no conflicts which gave rise to the innovation; however, there have been a number of mainly small conflicts which have sometime impacted the SfL innovation quite intensely but only for a short period. These include conflicts with the Ghanaian government about usurping their role of provider of basic education, which although are a long-term irritants have only surfaced on one or two occasions as noteworthy incidents but which quickly receded again. There have also been some local cultural based issues around undue political influence, nepotism and similar, which donors might see as corruption, but which can also be accepted cultural norms and expectations locally.

### **Competition**

There is little evidence of significant competition inherent in the change mechanisms in this practice field. For example, SEKEM does not consider its partners or networks as competitors but rather as collaborators for serving the people. This is very critical for sustainable development practices as collaboration and building networks are essential for the success of the initiative. Similarly, in the SfL case, competition is not an aim, nor has it been an important feature. Two of the cases promote some aspects of competitive behaviour by their users, however.

In the AgroSolidarity case, although the main focus is cooperation, there are some competition factors involved in sustainable family farming in relation to national and international open market and free trade policies, the widespread existence of monoculture incentives, and in general the incentives for buying and using land by big agribusiness landowners. The D&D case operates within the craft and handicraft sector where competition helps in expanding the livelihoods base of the resource poor and marginalized communities. This is in a context where the right to livelihood is denied to many because of extreme poverty and varied forms of discrimination and exclusion.

This has also led to various innovations and growth in the handicraft industry with the objectives of poverty alleviation, capacity building and empowerment of poor and marginalized communities.

### **Cooperation**

Cooperation is a very important feature of all community capacity building cases. It builds trust and reliable networks inside and outside the community and is important for the implementation and the diffusion of the initiative. It builds up necessary professional, peer and trust networks which are very important for building and sharing new ideas, keeping up with recent developments in the field and learning new ways of doing things. External networks act as conduits for knowledge transfer and for diffusion to other regions. Inspirational leadership is generally more important than charismatic leadership, given that the latter can lead to path dependent thinking and perhaps even corruption.

For example, in the SEKEM case, trust and reliable network inside and outside your community are critical. While local networks are important for the implementation and the diffusion of the practice, the external networks roles are mainly for knowledge transfer and for diffusion to other regions. In the Kavar case, membership of professional, peer and trust networks and communities is very important in building and sharing new ideas, keeping up with the recent developments in the field and learning new things. In AgroSolidarity, there is intense cooperation between many agricultural organisations, NGOs of rural development and the support given by organisations like the academic institutions with educational programs in rural development, and financing cooperatives. In the D&D case, partnerships with other organisations increased over time for specific activities and requirements, including support in design, procurement, business plan development, funding, marketing etc. However, these are all specific activity based partnerships. The number of partners in the SfL case increased from three in 1994 to at least 17 by 2015, and in addition the project is a member of many networks, umbrella associations and alliances, both in Ghana and internationally. Apart from the SEKEM case, which was founded and still guided by a charismatic leader but with great flexibility and wisdom, no cases in the practice field have experienced or rely on charismatic leadership.

### **Tension and adaptation**

Tensions typically arise from conflict and, as noted above, the cases in this practice field are generally not affected by significant conflicts, so that serious tensions do not seem to have arisen. Minor tensions internal to the case are relatively unimportant, but when external can be more important requiring flexibility and dynamism. Neither is there any tension resulting from the introduction of new technology. Neither is there any tension resulting from the introduction of new technology,

Apart from the examples given above under conflict, there is some low level tension in the SfL case arising from political resentment towards the initiative given it is basically doing the authorities' job very successfully using a radical approach which goes against traditional hierarchies and customs. In relation to new technology, the SEKEM case is pioneering green technology in agriculture for green fertilisers, modern techniques and some ICT. In the Kavar case, modern agricultural equipment and other technology is also used, whilst ICT is important in the AgroSolidarity case, and modern garment technology in the D&D case.

### **Diffusion of (technological) innovations**

Cases in this practice field generally show very high rates of successful diffusion of the innovation elsewhere, especially at local and regional levels, not at national level, but significant transfers at international level. This also shows the huge latent demand which helps drive this diffusion. As described above, this clearly indicates the dissemination power of these innovations. In comparison with the PRSDA cases as a whole, the most important transfer agents are the partners themselves as well as their success in achieving adoption by users, especially when these consist of NGOs and external funders of different types and levels. In terms of scaling and growing existing innovations, in situ organisational growth, the networking of project partners, influencing other policy areas and institutionalisation into existing systems, are all extremely important.

For example, the Kavar case has become a best practice for replications elsewhere in Turkey, whilst in the SfL case there was, at its outset, no intention nor indeed thought amongst the NGO and funding partners in Ghana and Denmark about stimulating diffusion elsewhere. However, in 2004 other donors working in the same geographic area observed SfL's impact and general success, realised its potential and made efforts to fund their own SfL-based

projects. Thus, the initial impetus to diffusion came from outside the original group of partners, who were at that time focused on their own in situ consolidation and expansion, but then these same partners, in most cases, readily participated and indeed helped to create and form new projects with new funders. Other examples are given in section 4.1 under the sub-heading “Success factors and impacts”.

Necessary actions include good continuous communication with all actors, having a positive desire to participate (which can be supported by communication, advocacy and awareness), in some situations limiting the use of external resources in order to generate them as much as possible internally, and for the government to put in place differentiated policies tailored to the target group. There is a need to tackle as much as possible ingrained societal wide prejudice and exclusion, though this can take a long time. Also, depending on the case, the individual beneficiaries need to be put right in the centre but they should not be taken out of context, but seen in relation their families, communities and other networks. This addresses the need to see the individual as a whole person with multiple needs but also opportunities, Community capacity building requires advocacy and awareness raising. This also entails both formal networking and alliance building links, as well as the informal creation and nurturing of social capital through friendship and cultural exchanges over the longer-term.

Examples of necessary actions include from SEKEM in Egypt, the need to communicate with the stakeholders and the target groups. It is critical to make sure that the people (target groups, beneficiaries, local actors and authorities) get engaged and involved in the initiative since the beginning. You should consider them as partners, not just receivers of your services. In the AgroSolidarity case in Colombia, the desire to start a self-management process of resources and self-government with the goal of improving life quality is a minimum condition to the Agrosolidarity model of family agriculture. The financial resources should be from the same community, as well as its management. External resources are only sought when internal resources are depleted. At the same time, it is necessary to publicise the benefits of family agriculture respecting the cultural autonomy of peasant families. On the government side, differentiated policies are needed for farmer families, access to markets, just prices, recognition and better opportunities to families for their permanence in the rural world, and their effective participation.

Necessary actions also depend significantly on the context. In the D&D case in India, it is important to start to reshape the context of caste based exclusion and intersecting patriarchal values and norms. There is also a need for more capacity building and training for women entrepreneurs from marginalised communities, and an ecosystem for women’s participation in enterprise development needs to be nurtured in order to ensure women’s equity and active participation at all levels and spaces. The main actions needed in the SfL case in Ghana are a pupil and community centre approach to basic educational needs, plus community capacity building, advocacy and awareness raising. This also requires both formal networking and alliance building links, as well as the informal creation and nurturing of social capital through friendship and cultural exchanges over the longer-term.

Complementary innovations are also important in diffusing the innovation. The SEKEM case applied sound R&I and technology in all sectors, whilst Kavar has used the latest technology in terms of equipment and methods (but not much so-called ‘smart’ with advanced ICT features). AgroSolidarity has had regular new challenges to face such as free-trade agreements, armed conflict with Farc and land grabbing and usurpation, but all have been dealt with using its solidarity networks and the use of smart phones for agile decision-making. Also important is its flexible organisational structures and the capacity to spread shocks and get support and ideas through its network, which has also been useful in resolving internal conflicts. The Indian D&D: case is deliberately bottom-up through self-awareness generation and entitlements, tackling the holistic development of women from deprived situations, both economically and socially. In future, it will also move towards skill enhancement, product innovation, branding, marketing, and similar. In order to ensure that the educational authorities play their part in the SfL case, civil society is being trained to have the capacity to monitor and hold them to account. Such bottom-up innovation is needed in order to help meet the huge latent demand for education both in Ghana and other developing countries and emerging economies, especially given that success is dependent on fine tuning to local needs and aspirations.

### **Planning and institutionalisation of change**

Social change in this practice field has been strongly supported and, in a few cases, driven by strong public policy initiatives and large philanthropic and private funding, but not always by domestic governments. As exemplified above, sometimes domestic governments have acted as significant barriers, some of which is due to overt resistance or at least reluctance to permit other actors achieve success in what they might see as being at their expense and

detrimental to their power and prestige. However, it is generally in the direct interest of national governments to foster local development in rural communities as well as in urban areas, to reduce poverty and improve standards of living and quality of life. In some contexts, however, particularly in developing countries, the resources as well as sometimes the political will are lacking. The public policy goal over the long-term is the social, economic, cultural and environmental empowerment of people in poverty or who are disadvantaged and marginalised. Often, social aspects are at the forefront, but most good policies recognise that all these dimensions are interlinked and typically need to be treated together, especially at the strategic level. Thus, there are many complementary policies and innovations aimed at developing human resources, gender, equality and diversity, environmental protection and enhancement, as well as economic prosperity. Recognising that these goals can most readily be met by empowering and giving agency to the communities themselves, many public policies today attempt to work direct with the intended beneficiaries themselves, together with their intermediaries, such as civil organisations and sometimes local companies. An essential ingredient of policy is to institutionalise the innovation at the highest governance level, as well as in the ways of working and thinking of actors at different levels, thereby resulting in significant social changes for the long term. Different but important ways of gaining momentum after launch and becoming more sustainable over the long-term through institutionalisation are exemplified.

In relation to the SEKEM case study, in January 2016, the Egyptian President and the Government launched the Egypt Vision 2030 for Sustainable Development, this will now be important for diffusion and imitation. Prior to this political support was non-existent and even negative. In the Kavar case in Turkey, the support and participation of the governmental authorities are important in solving the conflict of interest among the various groups, convincing the people in giving trust and then participating the project, enabling the use of the existing infrastructure such as schools, hospitals, buildings, common fields. In this case, social change and transformation is only possible with the support of the policy makers. In the AgroSolidarity case, policy changes in rural development in Colombia have been difficult to achieve. Colombia is one of the countries with highest concentration of landowners, where 77% of the land is in hands of 13% of the owners, of which 1.5% own more than 52% of the land, thus political action at the national level is critical to overcome these issues, without which the initiative cannot achieve its full potential. For the D&D case government schemes to help deprived people have tended to focus on small money handouts and have consistently failed. The initiative has however recently changed the model and slowly gained the trust of government and started to get support through a 2013 law. D&D: It is thus slowly mainstreaming and institutionalising the concern of inclusion, capacity building and livelihoods promotion of poor and marginalised communities, and particularly women.

The SfL project has slowly but successfully become a mainstream approach to providing basic education as a bridge to formal education in areas where there is either no or limited formal provision. In the more than twenty years since its first launch in 1994-95, the SfL model has expanded its visibility and impact, until 2014 when its 'complementary basic education' model (incorporating the functional literacy pedagogy) was made official Ghanaian government policy, thereby promoting further mainstreaming but also institutionalisation and a move increasingly towards systemic change in society. System innovation is a marked feature of the latter years of SfL, given that it has had significant success in changing the attitudes of both politicians (centrally and locally) and of the education system in Ghana. SfL thus represents a real mainstreaming initiative moving increasingly towards institutionalisation and systemic change in society with a quite profound impact on the educational system both in Ghana and other countries. This is happening whilst there is renewed policy emphasis on education at the global level, for example the United Nations' goal of ensuring every child receives a full primary and secondary education by 2030, as part of the new 2016-2030 UN Sustainable Development Goal 4.

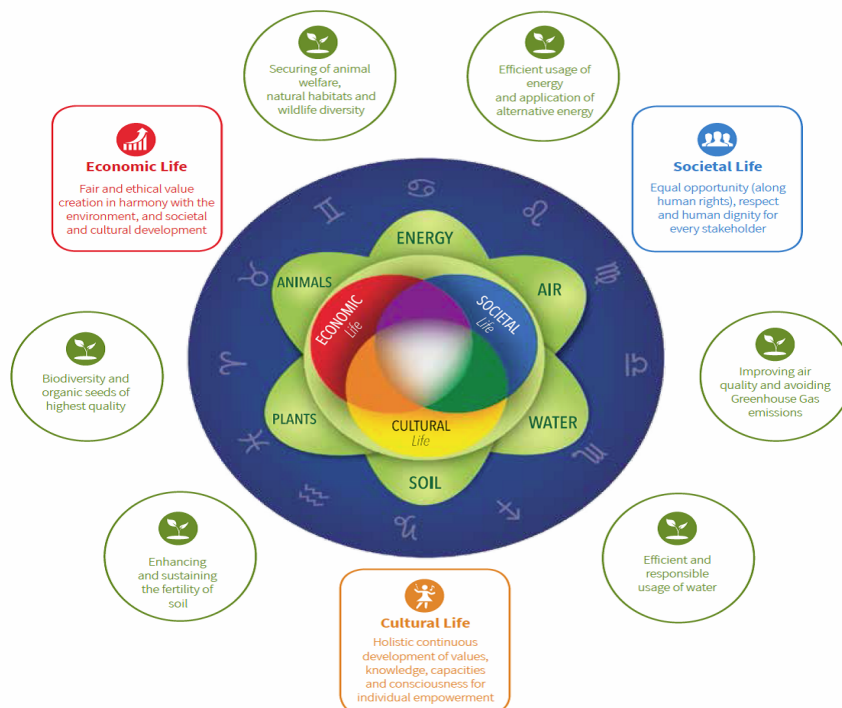
## 4.3 CASE STUDY SUMMARIES

In this sub-section, each case study is summarised in detail reflecting the interview template.

### 4.3.1 Case B1: SEKEM Development Foundation' (Egypt)

#### Description, development of the Social Innovation Initiative

The societal challenges of Egypt (i.e. climate change, resource scarcity, population growth, extreme poverty, absence of food security) need innovative, problem-solving solutions. In that context, it is important to realize that the Energy-Water-Food nexus represents a complex challenge for sustainable development. Sustainable agriculture and desert reclamation plays a key role in addressing those challenges and therefore contributing to political stability and the related transition towards an authentic form of democracy. This is not only relevant for Egypt but for the whole region.



After 19 years in Europe, Dr. Abouleish visited Egypt for a cultural trip in 1975. Touched by the deplorable economic and social situation of his country of origin, he decided to begin a project “SEKEM” of cultural renewal on the basis of a synthesis of Islam and anthroposophy. Two years later, he bought a plot of land in what was, at the time, desert bordering farmland of the Nile valley. The original goal was to develop lands and improve crop yields via biodynamic methods.

SEKEM initiative was founded, in 1977, with the aim of enriching the sustainable human development. Its vision is the Sustainable development towards a future where every human being can unfold his or her individual potential; where mankind is living together in social forms reflecting human dignity; and where all economic activity is conducted in accordance with ecological and ethical principles. SEKEM mission is the development of the individual, society and environment throughout a holistic concept integrating economic, societal life, cultural life and ecology. SEKEM’s model for sustainable development integrates different spheres of life to a holistic whole where all parts are at the same time independent and interconnected.



## **Actors, partnerships, alliances, networks**

SEKEM initiated by Dr. Ibrahim Abouleish and his family. Since the beginning, he succeeded to attract others, from Europe and Egypt, who believed in his vision of Human Sustainable Development. Over years, SEKEM succeeded to attract more partners and built more reliable networks with academic (TUGraz, Aachen Univ., Univ. of Hohenheim, Liverpool John Moores...), European programmes (DAAD, GIZ, ADA...) international organizations (DEMETER, IFOAM, FAO, IFAD, UNESCO, UN, UNDP, GEN...), and Governments. Furthermore, SEKEM established a partnership with leading EU banks that support and fund SD projects and initiatives world (DEG, KFW, Triodos, Okio Credit, GLS...). SEKEM is also a founding member of, Global Ecovillage in Africa, Regional Centers of Expertise in ESD (RCE), Junior Egyptian Businessmen ...

## **Innovative solution**

Based on Biodynamic agricultural methods, desert land was revitalized and a striving agricultural business developed. Over years, SEKEM became the umbrella of a multifaceted agro-industrial group of companies and NGOs. Today, SEKEM is regarded as a leading social business worldwide. SEKEM aspires to be an impulse for continuous development in all parts of life, to be not only a model for, but also a contribution to the development of the entire world.

SEKEM has a highly unconventional business model that incorporates what are usually considered social and environmental externalities and in fact maintains this to be the basis for an increasing competitiveness in the future. The initiative key strategy is to respect the 4 dimensions of the sustainable development. The economic activities, through a set of eco-friendly business companies, was and still very important to secure the establishment of the social and cultural activities and infrastructures and to secure its continuity and expansion as well.

## **Gaining momentum**

Drivers: the founder's vision, international and local partners, sustainability, varieties of activities (economic, social), reliable networks, research, innovation and technology actions, awareness and engagement of the surrounding community

Barriers: in order to reach more beneficiaries, i.e. small farmers, poor families, it is always the matter of finance. Political support (this has been changed since January 2016 with the launch of Egypt 2030 Vision for Sustainable Development.)

Milestones: Launching the SEKEM Initiative (1977), Awarding the Alternative Nobel Price/The Right Livelihood Award (2003), launching the Heliopolis Academy (2000) and Heliopolis University (2012), the Arab Spring and the political instability (2011-2014), the Business for Peace Award (2012).

Success factors of SI practices in SD: Continuous follow up, monitoring and evaluation; Good and strong governance structure; Participatory approach; Have the proper and professional human capitals at all levels; Reliable networks and partnerships;

## **Complementary innovation**

To achieve a successful sustainable development comprehensive model, the organization should apply extensively the research, technology and innovation, at all sectors: renewable energy, water management (i.e. water eco-desalination, efficient sub-surface irrigation, solar pumping), wastewater treatment, biodynamic agriculture (bio fertilizers, pest management), phyto-pharmaceutical industry, healthy food processing, etc.

## **Impact, diffusion and imitation**

The founder idea is to invest in the human development continuously. He built a whole community that respects all SD dimensions. Over years, he and his son keep reviewing and updating their strategic plan based on close cooperation with SEKEM friends and reliable networks locally and globally. Summarizing the impacts of SEKEM initiative:

- Environment: SEKEM took up an initiative to eliminate spraying pesticide residues in Egypt. As a result of SEKEM initiative, by 2000, the use of pesticides on Egyptian cotton fields had fallen by over 90%.
- Social: SEKEM has grown into a rich community of businesses, schools, and non-profit associations that employs more than 2,300 people. One of SEKEM sub-bodies supervises more than 800 contracting farmers in Egypt with more than 8,000 acres of land, 1,800 acres of which is newly reclaimed desert land. SEKEM primary and secondary schools have more than 300 pupils. The Medical Centre serves more than 40,000 inhabitants.
- Geographical Areas:
  - Egypt: Upper, Lower Egypt, Greater Cairo, Oasis, and Sinai Peninsula
  - Africa: in more than 25 African countries in cooperation with GEN AFRICA network
  - EU: SEKEM Friends Associations in 5 European Countries: Austria, Germany, Netherlands, Scandinavia and Switzerland. In addition to partnerships with almost all EU countries in joint projects and MoUs
  - Global/Internationally: UNCCD, RCE, FAO, UNESCO, UNDP, UNIDO, EuropeAID, USAID, others.

SEKEM provides intramural capacity building for children and infants (schools and kindergarten), students and youth (a university, vocational training center, social activities sports and Arts), girls and women (awareness raising programs, family planning program, Gender equity program), small scale farmers (vocational training center, training programs). Furthermore, SEKEM is also respecting building the institutional capacities of other Egyptian NGOs serving in rural and underserved regions. Since 2012, SEKEM is building the capacities of African Ecovillages in order to be sustainable.

Sustainable Business: every year, SEKEM Group measures its success throughout all dimensions of the Sustainability Flower, monitoring SEKEM key performance indicators.

One of the essential SEKEM initiative components is the SEKEM Group, the economic dimension. The continuous and stable income ensured the sustainability of the social and cultural actions (schools, VTC, micro finance for poor families, medical center, others). Year after year, SEKEM Group gets enlarged and established more MSEs and Companies serving different business sectors (i.e. SEKEM Food Company, Atos Pharma, LIBRA Company for organic cultivation, Naturetex Company for textile and ready-made garments, Isis Company for organic cereals, bread, dairy products, eGreen Company for renewable energy applications).

### **Role of policy**

In January 2016, the Egyptian President and the Government launched the Egypt Vision 2030 for Sustainable Development. Such future strategy for the next 15 years shows up how much the Egyptian Government believes in SD for the Egyptian nation. SEKEM, as a major player in the region in SD, will get a huge benefit and will provide a tremendous support for achieving the Vision 2030 objectives at a national level. In Africa: SEKEM and GEN cooperate with African authorities to get the political supports for the establishment Ecovillages and resilient communities in Africa.

While SEKEM considers the political support as an important enabler for social innovations, esp. for diffusion and imitation, SEKEM strongly advises similar initiators not wait till getting the Governments' attention. Start, widen your network, Achieve a tangible success and then you will have something to show to the policymakers to get their support.

### **Connectivity to the practice field**

When started 4 decades ago, the concept of Sustainable Development was not well-known, not only in the target region, Arab world, but even globally. The founder, Dr. Abouleish, succeeded to build a whole sustainable community based on the 4-pillars of SD (economic, ecology, people, and culture). SEKEM initiative was a pioneer in Arab world

and Africa. SEKEM significantly contributed to configuring the practice field: locally (more surrounding farms and villages transformed into sustainable agriculture), nationally (i.e. organic cotton initiative), regionally (more partners from Africa and Arab states communicated and cooperated with SEKEM in order to repeat its success at other countries; i.e. GEN AFRICA, Morocco, United Arab Emirates, Tunisia), and globally as well (international recognitions and awards, SEKEM friend associations in Europe).

#### **4.3.2 Case B2: Kavar Basin Rural Development (Turkey)**

##### **Description, development of the Social Innovation Initiative**

Kavar Basin project was initiated by Ozyegin Foundation. The idea to initiate a project for rural development has come out at the times avian flu has arisen in Turkey. That event indicated that depending on one or a few sources of income could lead to an extreme poverty in case of such an unexpected shock or a disaster and that rural areas needed to be supported by more integrated and institutionalised projects for a sustainable development. Kavar Basin Rural Development Project is designed to fight against rural poverty in a relatively more disadvantaged group of people and geography (5 villages in Eastern Anatolia).

##### **Actors, partnerships, alliances, networks**

The main actor of the project is Ozyegin Foundation, partnered by the Ministry of Development and Ministry of Food, Agriculture and Livestock, several other public institutions, NGOs, universities, private companies and international organisations at different levels. It is a good example of togetherness of very different groups of people and organisations in such a very poor, isolated and rural area.

##### **Innovative solution**

The Project has organisational innovation and system innovation as well as establishing new behaviour/attitude in the alleviation of the rural poverty from several perspectives. It increased the economical and social capacity of the poor, empowered particularly women, encouraged sustainable use of natural resources, established a new attitude in the poor. It became a replicable project for the other rural areas.

##### **Gaining momentum**

The project gained momentum when the cooperative was founded so that the mission/role of the project actor, Ozyegin Foundation has been transferred to the cooperative. Over the years, Kavar Cooperative has become an important actor in the socio-economic development of the whole basin. The key factors that determined the success of the Project can be summarised as the Project was pro-poor, gender equal, collaborative and cooperative, participative and sees development as a human right.

The main cornerstones of the project are building a milk collection center, modernising animal husbandry, beekeeping by women, decorative flower production in greenhouses, planting fruit trees, building a primary school, entrepreneurship training and education programs and rehabilitating the irrigation systems.

Some conflicts were arisen due to water problems among two villages but resolved by discussing together. Leadership of the field coordinator was also a success factor with his knowledge, experience, attitude and outlook.

##### **Complementary innovation**

The latest technology (equipments and methods) were used in agricultural production and livestock breeding. Smart technologies were not used too much. Absorptive capacity was increased as the economic and social activities planned were suitable to their endowments. The basin was suitable for these production activities (beekeeping, animal husbandry etc). Because they were already poor and lack of economic resources, they became easily keen on any activity which would increase their standards of living.

### **Impact, diffusion and imitation**

The success is defined in terms of certain indicators in the beginning of the Project. Both quantitative and qualitative impact analyses were employed and the findings and progress were reported regularly.

Impacts of the project can be summarised as: Reverse migration increased to the villages in the basin. Unemployment rate fell. Number of seasonal workers going to other cities declined. Household income increased. The use of agricultural consultancy increased with the use of technology in agriculture. The enrolment rate in high school and university increased particularly for the girls. Literacy rate increased particularly for women. Use of health services increased especially during the pregnancy and after the birth. Total number of assets accumulated increased (no of animals, trees etc). Use of technology increased (tree inoculation, use of mowing machine, use of haymaker, use of milking machine. Access to clean water and sanitation increased. Women's empowerment and participating in decision making increased. Overall life satisfaction in the villages increased.

The Project has become a kind of best practice and thus implemented in various regions, including Ravanda Basin and Eğil Basin.

### **Role of policy**

The support and participation of the governmental authorities are important in solving the conflict of interest among the various groups, convincing the people in giving trust and then participating the project, enabling the use of the existing infrastructure such as schools, hospitals, buildings, common fields. A social innovation may lead to a social transformation only by the support of the policy makers.

### **Connectivity to the practice field**

The project touches almost every fields of rural poverty and aims to build a social and institutional capacity by an integrated approach and is easily replicable.

#### **4.3.3 Case B3: AgroSolidarity (Colombia)**

##### **Description, development of the Social Innovation Initiative**

Agrosolidarity is a confederation that brings together the main solidarity economic communities of Colombia working on agroalimentary, handicrafts, and sustainable tourism activities. It has successfully achieved to integrate monetary resources and human talent through diverse community strengthening processes, based on a decentralized structure with self-management and sustainability principles. Agrosolidarity has innovated in community capacity building strategies, with a model that relies on direct participation from rural agriculture families. The organizational structure is build on concentric circles formed by families, associative groups organized by product, process or services, mutualist associative figures, sectionals organized by micro-regions, regional Federations, and finally the Agrosolidarity national Confederation.

Agrosolidarity is based on the evolution of the Network of Community Organizations of Boyacá, created in 1984, which tested several participatory organizational models from 1994 to 2004, after which it started to grow nationally. In 2008 Agrosolidarity national confederation is formally created, and is currently integrated by 32.000 families, 384 Associative Groups, 126 Sectionals and 12 Federations. They have been able to optimize market economy with solidarity principles, improve their living conditions, and make political advocacy to protect their rights and interests. This has been of significance to Colombian rural population, which has been the most affected by the consequences of armed conflict, has the highest concentration of poverty and extreme poverty, and is especially vulnerable to changes in global markets and free trade agreements, as well as changes in the environment.

##### **Actors, partnerships, alliances, networks**

Based on the work done by the Network of Community Organizations of Boyacá since 1984, in 1994 the Association for Sustainable Development - SEMILLAS is created, which started developing Solidarity Socio Economy programs. These programs evolve and start to grow until in 2006, in a partnership with DANSOCIAL (now called Special

Administrative Unit of Solidarity Organizations), they have government support to grow and expand nationally. The national expansion allows to further connect with other community based networks, and requires adjusting the organizational model so the self-management principles can be preserved. The creation of Agrosolidaria as a national Confederation helps to set up this process.

### **Innovative solution**

The three main developments of Agrosolidaria aimed at community building are the Agroecological School, the Agrarian Mutualism School and the Agroecological Heirs program. The Agroecological School develops alternative production systems with low environmental impact, while strengthening their productive systems. The Mutualism School, based on Paulo Freire's popular education principles, is aimed at developing participative action for emancipation, where persons develop the skills to recognize their reality and be direct change agents of it without claiming representation of others. Finally, the Agroecological Heirs program is directed to promote in children their sense of ownership and value as protectors of the environment and elder traditions.

### **Gaining momentum**

Agrosolidaria could increase their national presence based on the partnership and support of DANSOCIAL, the government entity for solidarity organizations. They also helped investing resources in the training and creation of learning tools for local leaders, so they could turn into facilitators of Associative Groups. Throughout the existence of Agrosolidaria, there has been multiple challenges they have had to overcome and stand up to, to make family agriculture viable under challenges such as the impact of free trade agreements, consequences of the armed conflict and land usurpation, among many others. They have been able to survive despite these situations, and further develop their capacity as social movement. One of the key tools to allow a fluid communication and coordination is the use of smartphones, which has been used among others for agile decision making.

### **Complementary innovation**

The main innovations that have allowed the improvement of the community building capabilities of Agrosolidaria are related with their organizational dynamics and structures, and the capacity to spread them out nationally, maintaining self-management structures and principles. While within these structures there are sometimes leaders that enter in conflict with the group, and given the structure this generates discomfort and unrest, the same structure helps the community to auto-regulate itself, and when needed replace leaders.

### **Impact, diffusion and imitation**

One of Agrosolidaria's main goals is that rural families can understand and position their relevance in maintaining the environment, feeding the country, and keeping valuable traditions. Peasants families in Colombia continue being displaced to the major cities as consequence as factors like armed conflict, land grabbing, and economic unsustainability. Rural areas have the biggest predominance of poverty and extreme poverty, often with poor quality of basic services like health or education. Culturally, peasants have been disregarded with indigenous people as being at the bottom of the social ladder, which can add to the feeling both in peasants and their children of the desirability to move to the cities.

Agrosolidaria has created a model that strives for their own economic sustainability by the creation of economic circles of both production and consumption, in a way that doesn't require external financial resources to work. They empower peasant families, with a special focus on women and children, so they can have local and national political influence to have policies that respect and support sustainable family agriculture. Agrosolidaria is currently the biggest and most relevant network of agriculture rural families in Colombia, and have an important role of working on the mindset of these families and the country in general, so they can be well respected and valued.

### **Role of policy**

Policy changes in rural development in Colombia have been difficult to achieve. During the XX century, the attempts by governments to make an integral agrarian reform failed, met by violence and political confrontation from landowners and related actors. Colombia is one of the countries with highest concentration of landowners, where

77% of the land is in hands of 13% of the owners, of which 1.5% own more than 52% of the land. The attempts to help rural agricultural families, additionally to being timid, have met big forces of land-grabbing, monocultures, disadvantage against free trade conditions, and finally the effects of armed violence.

Currently, the most significant possibility of change is the peace process with the FARC guerrillas, as the starting point and heart of the peace agreement is the policy of integral agriculture development, which is also related with the point of the agreement on local political participation. These two have been structural problems that even influenced the creation of the armed guerrillas, at a time where armed violence was held as a valid possibility to resist political and violent exclusion. It is still to see if in the current context an integral rural development policy that favours agriculture families can be implemented, despite political and possible violent resistance to it. Also, there might be clashes with other agribusiness policies and the existing commitments of free trade agreements conditions. In case the implementation of the peace agreements are a reality, it could have a big effect on Agrosolidarity and in general all agriculture families.

### **Connectivity to the practice field**

Agrosolidarity has been the main reference case of a network for community capacity building in rural communities in Colombia. It has sought inspiration on other community capacity building perspectives in Latin America such as Paulo Freire's, as well as in the search for traditional peasant and indigenous wisdom in their reverence for the environment, their solidarity principles, and communitarian organization and decision making. Also, as in the rest of Latin America and other parts of the world, community capacity building in sustainable rural agriculture families seems to clash with development models based on unsustainable extraction of natural resources, food production based on big agribusiness with little regard of the peasant's working condition, and their organizational capacities.

#### **4.3.4 Case B4: Dignity & Designs (India)**

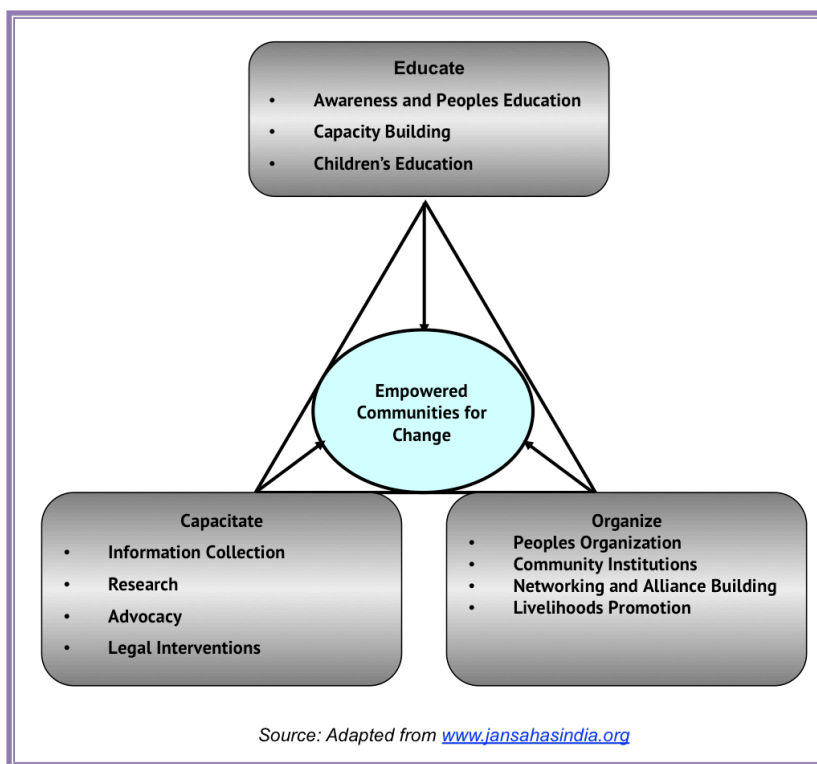
##### **Description, Development of the Social Innovation Initiative**

Dignity and Design is the country's first craft and marketing social enterprise that is committed to social and economic empowerment of the women who have been freed from the practice of manual scavenging, other forms of bondage and sexual violence. It strives to sell ethnic range of products by providing dignified livelihoods to poor and marginalized women and their families. Dignity and Design was born out of the work of Jan Sahas Development Society (NGO) located in Dewas, Madhya Pradesh, India. Jan Sahas works towards protection of human rights and development of socially excluded and marginalized communities. The vision and strategy is towards abolishing all kinds of social exclusion, atrocities, slavery and discrimination based on caste, class, ethnicity and gender. Jan Sahas was founded in the year 2000, triggered by an incident where one child labour and two dalit labourers died in a fire cracker factory. The incident brought a few people together to form an organization to raise the voice of excluded communities. 'Jan' means People and 'Sahas' means courage. The organization believes in empowering and building capabilities of excluded communities so that they can negotiate change with courage and dignity. Jan Sahas started its work in Bhaurasa village in Madhya Pradesh for eradication of the inhuman profession of manual scavenging. Till date, Jan Sahas has liberated 21, 225 people from manual scavenging in the country; out of which more than 90 percent are women.

After a few years of work towards liberation of manual scavengers and against atrocities on the excluded communities; Jan Sahas realized that it is not just enough to liberate manual scavengers, but it is also important to rehabilitate them. Dignity and Design was thus initiated in 2014 by Jan Sahas to provide alternate livelihoods to liberated women manual scavengers. The effort was also to demonstrate an alternate model for their rehabilitation to the Government. Dignity and Design is a registered company under company's Act and is presently active in two areas in Madhya Pradesh, Bhaurasa in Dewas district and Tarana in Ujjain district. Dignity and Design is thus a hybrid model of Jan Sahas (NGO). Dignity and Design is supported by women Self Help Groups (SHGs) who are supported by Jan Sahas. The innovation strategy of the organization comprises of three key elements for empowerment of the marginalized communities for which the organization works. It is depicted in the diagram below.

### Actors, partnerships, alliances, networks

Partnerships and collaborations have been key component of the organization's efforts to work with marginalized and socially excluded communities. In past, it has partnered with Government and other right based organization to strengthen its movement. Presently it is partnering with government and corporates in exploring livelihood options for the community. Such partnership with USHA machines provides initial support such as stitching machines and trainer for skilling the women for the new world. So far skill development training has been and initial capital has been provided to 498 liberated manual scavenger women to start production units. Currently total 4 production unit is functioning in two areas in which around 50 women are working and producing garments (kurit, kurtas). Women are also trained in producing apparel, home furnishings and stationaries. Women working in these production units are also being provided knowledge support other similar craft based social business organizations like Kumbaya, Rewa, Rangasutra and Women Weave. Other organizations like Karuna Trust, TATA Trust and other funding agencies also gave inputs and supported the idea. Tata Institute of Social Sciences through its student's field engagements, also provide knowledge, practice and capacity building support to the initiative.



### Innovative solution

The innovation is multi – dimensional; at one end 'Jan Sahas' tried to liberate people from the undignified work of manual scavenging and simultaneously through the Dignity and Design initiative it aimed to provide dignified, equitable and sustainable livelihood opportunities to liberated manual scavengers. This effort also aimed to demonstrate an alternative to the failed Government efforts towards the rehabilitation of liberated manual scavengers where the Government gave a paltry sum to them under the 'Pratishtha Yojana'/ Scheme; which failed to have any impact. The aim therefore has been to include women who have been excluded due to caste and gender based discrimination and demonstrate Dignity and Design as an alternate model to the Government to show that it must invest in such projects looking at community capacity building and not just giving compensations to manual scavengers which generate no long term output.

Jan Sahas came with the innovative idea of rehabilitation through mass movement engaging liberated manual scavengers in new forms of livelihood which ensures that they don't have to return to manual scavenging for their

daily living. The processes of collectivization were done through movements like, 'Mahila Mukti Yatra' which aimed to collectivize women indulged in manual scavenging to raise voice against the persisting forms of slavery. This resulted into identification of beneficiaries and gave liberated manual scavengers a platform to express their interest in pursuing new forms of livelihoods. Thus, liberated manual scavengers could collectivize and showed their interest in apparel making and Dignity and Design was born. Through Dignity and Design, women were given skill training and capacitated in apparel making. Thus, the forms of collectivization and engagement of beneficiaries, community capacity building and influencing the existing Government policies has been key innovative solutions. Processes of collectivization, conscientisation and capacity building helped the women to negotiate their unequal position in the society. This has led to a process of progressive agency development and empowerment for women which gave them the motivation and confidence to be part of the Dignity and Design initiative and earn livelihoods with dignity and pride.

### **Gaining momentum**

From idea to growth, it took both time and effort. The idea of imparting a totally new skill of apparel making to women and then converting it into an income generating activity took a lot of time. Women took much longer than six months to learn stitching. This also led to lot of loss of money and other resources for Dignity and Design. This very slow movement was a kind of barrier to immediate growth but it has been a part of the people centric process which the organization adopts and helped in bringing true participation of the primary stakeholders in the entire initiative. Other challenges included bringing women to the production centres, ensuring regular attendance, adhering to time by the women etc. But eventually women's interest increased and they started feeling more connected to Dignity and Design. Lack of knowledge of market and market segments was another major challenge which the organization is slowly trying to deal with through market research and creating alliances and networks.

The change from fixed stipend to piece rate based payment to Self Help Group women who were part of the production centres was a critical factor to identify the women who needed to be re-trained. Continuous refresher trainings worked as an important factor to bring slow learners at par with fast learners who were happy with piece based rate. This has presently also improved the rate and quality of production.

### **Complementary innovation**

The umbrella organization, Jan Sahas continues to work with the marginalized groups and communities on issues related to manual scavenging, land rights, agriculture development and nutrition, food security issues which complements the work of Dignity and Design which aims to build capacity of these groups and help them to have alternative livelihoods. Bottom up approach is what Jan Sahas and Dignity and Design believes in and citizen participation in all its efforts is the prime focus. Women from marginalized and oppressed and deprived communities are the primary and major stakeholders of Dignity and Design. Apart from skill and capacity development of these women; Dignity and Design also focuses on ensuring transparent distribution of earned profit (apart from the wage after ensuring the fund for future investment).

Jan Sahas' program, *Rashtriya Garima Abhiyan*, National Campaign for Dignity and Eradication of Manual Scavenging, works towards rehabilitation of manual scavengers through awareness generation and entitlements. For this it adopts a model whereby it organizes liberated manual scavengers into community based institutions so that they are better able to ensure alternative dignified livelihoods. In 2013-14 Jan Sahas organized camps in 200 districts across 18 states in India for total eradication of manual scavenging called "*Mahila Mukti Yatra*" where 5000 women freed from the practice of manual scavenging participated. Thus, the initiative ensures a holistic development of the women of the deprived and marginalized community in both social and economic fronts.

However, since Dignity and Design is a new initiative and new skills are required by women to take the initiative forward; support is required in the future towards skill enhancement, product innovation, branding, marketing etc.

### **Impact, diffusion and imitation**

Dignity and Design was initiated to provide alternate livelihoods to liberated manual scavengers and therefore social and livelihoods impact forms an important component. Skill development and training of women has been widely undertaken as part of this initiative, whereby it has given initial skill development training on



stitching/garment/apparel making to about 498 women and successfully organized 280 women into Self Help Groups (SHGs) and out of which some women have been put into four garments production centers. Many other women have been given sewing machines individually to start their own sewing enterprises. Jan Sahas supports and aids the SHGs while they produce and supply Dignity and Design the products for marketing and branding etc. Dignity and Design is owned by the women directly and other shareholders.

### **Role of policy**

For the past ten years, Jan Sahas has been committed to the liberation of manual scavengers through discussions with the Government of India for the enactment of a powerful legislation and policy for the rehabilitation of manual scavengers. Till date it has liberated over 18,740 manual scavengers in the states of Madhya Pradesh, Bihar, Uttar Pradesh, Maharashtra and Rajasthan in India. The newly enacted 2013 law, The Prohibition of Employment as Manual Scavengers and Their Rehabilitation Act, has rehabilitation provisions but no successful model of rehabilitation of manual scavengers that could be replicated at the national level. Jan Sahas is determined to develop a rehabilitation program on a pilot basis which could serve as a model for further replication and scaling up by the Government and other stakeholders. Dignity and Design is one such effort in the rehabilitation of liberated manual scavengers by providing them with equitable and sustainable livelihood options. Thus, Dignity and Design at one hand has been facilitated with the enactment of the new policy for the rehabilitation of manual scavengers (brought about with the efforts of Jan Sahas) and on the other; it is an effort to provide an alternative to the existing policy so that the new model can be incorporated and the policy can be revised and scaled.

### **Connectivity to the practice field**

This case belongs to the Poverty Reduction and Sustainable Development (PRSD) policy field of SI-DRIVE, and is a good example of the practice field of community capacity building and advocacy. Poverty reduction and marginality transformation in this case has been facilitated through the involvement of the local communities largely consisting of manual scavengers and liberated manual scavengers. The decentralization of the programme through the formation of community based collectives like Self Help Groups and participation of the local community in these collectives helped in their capacity building towards expansion of their assets, skills and knowledge for promotion of sustainable livelihoods. Collectivization of the local community and the process of their consciousness building towards the inhuman practice of caste and gender based discrimination also led to policy advocacy for liberating and rehabilitating manual scavengers. In this context; Dignity and Design, an initiative of Jan Sahas works towards demonstrating an alternative rehabilitation model and promoting livelihoods with dignity for liberated manual scavengers. Capability development and formation of community based collectives within this initiative has led to empowerment of the community and particularly women which has helped them to advocate for their rights and entitlements.

It is thus slowly mainstreaming the concern of inclusion, capacity building and livelihoods promotion of poor and marginalized communities particularly women. Citizen participation and faith in peoples' agency to bring about positive change in their lives and institution building of poor and marginalized people are some of the core agenda which aligns directly with the practice field. Citizen participation or participatory approaches is however always a long process; but it helps in mobilizing, collectivizing and sustainability which has the potential to address both the practical or immediate survival needs and the strategic needs emerging from the structural or systemic inequities.

#### **4.3.5 Case B5: School for Life (Ghana)**

##### **Description and development of the social innovation initiative**

School for Life (SfL) is a Ghanaian NGO that since 1995 has run the SfL programme in rural northern Ghana to bring basic literacy education to 8-14 year olds, both girls and boys, from poor families who would otherwise not receive schooling. There is generally no history of education in these areas and parents are typically unaware or highly sceptical, so the approach needed is to work with local communities and provide a basic education relevant to their and their children's lives. Hence the innovation of 'functional literacy' for reading and writing in the mother tongue, aimed at both boys and girls, relevant for everyday life in poor rural setting. Today, this functional literacy pedagogy is the basis for the 'complementary basic education' (CBE) approach as it gradually becomes integrated into, and finally incorporated into, the formal educational system, so that it eventually becomes mainstream and institutionalised. For a given child, SfL runs over nine months to prepare them for entry into the formal education system. Because of the

acute shortage of teachers in Ghana, and their reluctance to move to rural and remote areas where their career prospects are low, SfL provides basic training courses for so-called “barefoot teachers” recruited locally. In order to successfully implement SfL based on the ‘functional literacy’ and ‘complementary basic education’ approaches, the core of the new solution is capacity building and advocacy in these very poor and marginalised communities, in close partnership with a large number of supporting actors in Ghana, Denmark and elsewhere.

The innovation started with an idea phase in 1994-1995 during which schools in 2 districts were founded by the Danish aid agency (Danida) barefoot teachers were trained and set to work, and village committees established composed of local parents, both women and men. In the proof of concept phase (1996 to early 2000s), additional resources and people were added to increase the number of districts covered to 5 and then 8. This was followed by the first full implementation and scaling phase (early 2000s to 2007), during which expansion both in and of the number of districts climbed steadily in the wake of very favourable independent evaluations which helped to attract non-Danida funding. A short retrenching transition phase followed (2008-2010) when direct Danida funding for ‘service delivery’ (i.e. the schools, barefoot teachers, materials, etc.) started to reduce the number of Danida-funded districts, and consistently switched instead towards capacity building and advocacy in order for Ghanaians themselves to take over more responsibility. Direct service funding by non-Danida sponsors continued to increase. This in turn provided a platform for the second full implementation and scaling phase (2010-2014) during which Danida further reduced direct service funding down to zero districts by 2015.

### **Actors, partnerships, alliances, networks**

The initial network consisted of Ghana Venskab (GV, Ghana Friendship), a Danish NGO which is the main innovating partner and idea developer, in partnership with the SfL NGO in Ghana set up as the local and main implementing partner. The SfL project is directly funded by Danida, the Danish aid agency. In addition to these partners in the early stage of partner development (1994-2003) exclusively financed by Danida, the project was also a member of a number of umbrella associations and alliances, both in Ghana and internationally, for learning, influence and dissemination purposes, even though these were not directly involved in SfL activity. In the second stage, funding started to diversify to include many non-Danida sources, such as in the USA, the UK and by international organisations like UNICEF. This stage marked a significant expansion of reach and impact of the project. This quite rapid expansion of diverse funding sources was in response to the clear innovation and impact potential of the SfL approach coinciding with a very good impact assessment report from a respected and influential consultant. In the current third stage of partner development (from 2010 and ongoing), additional funding agencies and actors started supporting and implementing the SfL concept beyond northern Ghana and in other countries, marking a further expansion of reach and impact. In this stage, the roles of some partners also changed, for example Danida shifted away from service delivery and instead consistently switched towards capacity building and advocacy in order for Ghanaians themselves to take over more responsibility. In addition to the increasing number of funders, SfL became members of a growing number of networks and alliances for both mutual learning and dissemination purposes, as well as to advocate directly to the GES, new donors and other relevant policy and funding bodies like the EC, UN and World Bank.

The above dynamic development of actors, partnerships, alliances and networks shows how the extent and outreach of the dual SfL model of functional literacy and complementary basic education has mushroomed. This is due to its documented impacts both on basic child education and on the deprived communities in which it is implemented. This is achieved by high levels of capacity building and advocacy amongst all partners, including in these target rural communities themselves. Sometimes this quite dramatic expansion and growing impact has been difficult to manage and coordinate, but these functions have been given high priority by both the funders and by the implementers on the ground.

### **Innovative solution**

The basic SfL innovative solution includes a number of features. First, the ‘functional literacy’ approach, based on local language teaching in basic literacy designed to better prepare children for everyday life using local barefoot mother-tongue teachers rather than teachers who have gone through the formal training system. Second, agreement with the local community about their role and responsibility. Third, capacity building and advocacy in the local community to take some responsibility for their children’s education, advocate for more and help fill the gaps in the formal education system. Fourth, gradual integration into the formal educational system and developing the ‘complementary basic education’ approach. The SfL innovation is thereby a very successful marriage between Danish socio-cultural

education and Ghanaian community structures and culture. It demonstrates a merging of two traditions in a manner that is highly complementary and beneficial for the target group.

The different forms and levels of the SfL innovation include organizational innovation, for example, helping to establish a local NGO, SfL, setting up village community committees, getting agreements with village heads/chiefs, finding, training and appointing barefoot teachers and identifying locations and sites for teaching. Technological innovation has not been very important, but public service innovation is central to the SfL project with its focus on education. This includes public-civil partnerships, a supported but bottom-up citizen-driven approach to public services in the context of developing countries and income-poor and marginalised people which are also gender sensitive. System innovation is a marked feature of SfL given that it has had significant success in changing the attitudes of both politicians (centrally and locally) and of the education system in Ghana. On the one hand, SfL represents a real mainstreaming initiative moving increasingly towards institutionalisation and systemic change in society with a quite profound impact on the educational system both in Ghana and other countries. On the other hand, SfL is of course at still quite a small though expanding scale. The population of Ghana is growing rapidly, as is the number of children not receiving formal education, so the complementary basic education approach, despite rapid expansion, is barely keeping up.

Important innovations in measurement and evaluation have recently been embedded in the SfL methodology. Over the last five years or so a number of more socially sensitive and community based, but still robust, methods have been used in conjunction with the traditional logical framework approach in order to improve the facilitation and impact of community capacity building and advocacy as the underlying pillars of the SfL project. These new methods include appreciative inquiry, theory of change and outcome harvesting, and help in coping with complexity and focusing on outcomes rather than outputs. Overall, they add considerable scientific and evidence-based rigour to the social innovation and thereby help to increase its impact.

### **Gaining momentum**

Despite the challenges and several crises experienced, both SfL and GV have been very proactive to tackling, foreseeing and mitigating issues which could potentially hinder project momentum. This was underpinned by timely and helpful recommendations from outside experts, so that overall this has established a very positive framework and set of relationship across the project. Much momentum is due to strong and continuous focus on civil society strengthening striving for social change and taking its starting point for the change processes guided by the Theory of Change roadmap for civil society groups and the impact expected. This is based on civil society strengthening through organisational capacity building, technical (operational) capacity to drive social and economic development processes, and gaining access to and influencing democratic processes and advancing interests and rights through advocacy, dialogue and networking. This has led to a substantial mainstreaming of the project so it has started to become institutionalised in the formal education system, as well as being replicated by other donors both within and outside Ghana.

There have been a number of critical drivers including quite significant but not always predictable financial resources from the various and growing numbers of donors, conscious efforts to anticipate problems and barriers early and tackle them consistently, and the focus on solidarity, both locally (based on mutual reciprocal relationships and self-help) and internationally between Ghana and first Denmark and later other countries. Also important are changes in the Danish overseas development strategy, especially the shift from service provision to community development and advocacy which is paralleled by a shift from a needs-based to a rights-based approach, that has political consequences given that the educational authorities became 'duty bearers' and the children became 'rights holders', as is reflected for example in the United Nations 2030 Sustainable Development Goals and Agenda. There are also numerous barriers, including lack of funding to become even more widely rolled out, which is also related to governments' traditional mindsets, and the legal and regulatory restrictions faced by non-profit NGOs in Ghana, and the lack of local qualified personnel in the SfL NGO and related organisations. Another important barriers remains lack of teachers both nationally and locally in Ghana, and that despite SfL's successful scaling it remains in many ways a drop in the ocean unable to keep up against the country's fast population growth. These barriers are coupled with some political resentment towards SfL given it is basically doing the authorities' job very successfully using a radical approach which goes against traditional hierarchies and customs.

## **Complementary innovation**

Complementary innovation in society is of fundamental importance to the SfL approach, through partnerships, local ownership, capacity building and advocacy. This rests on supporting local community organisation, as well as funding and willingness on the part of the educational authorities to collaborate for a sustained project. In order to ensure that the educational authorities play their part, it is useful if civil society has the capacity to monitor and hold them to account. Such bottom-up innovation is needed in order to help meet the huge latent demand for education both in Ghana and other developing countries and emerging economies, especially when to be successful this needs to be finely attuned to local needs and aspirations.

SfL's absorptive capacity for innovation is developed through organisational, personal and community capacity building, skills and advocacy, which all contribute new knowledge developed through the 'functional literacy' approach, tailor made local language materials, plus mother-tongue teaching. The regular impact assessments from external consultants and experts have also helped create new knowledge. Similarly, the direct involvement of the local community is an important source of new knowledge, for example building awareness through local advocacy of the value of education. This has been achieved through careful relationship building with the local community in order to get their backing, understanding and direct involvement. Another dimension of capacity and knowledge building value added is linking each partner's work and experience to international and global development agendas, and to support inter-partner relationships with and participation in national and international networks. There is, however, a limit on the absorptive capacity of SfL's target communities given they remain poor, marginalised and remote, as well as the broader lack of local and regional infrastructures and sluggish performance in other sectors.

## **Impact, diffusion and imitation**

Given that much of the funding for SfL comes from the development aid programmes of foreign governments, there has always been significant focus on impacts and impact monitoring and evaluation. Highlights include between 1995 and 2014/2015, over 128,000 8-14 year olds (boys and girls) provided with CBE in SfL schools financed by Danida, as well as over 93,000 children financed by other organisations using the SfL model. In addition, 3,651 'barefoot teachers' were trained using the SfL model, and significant numbers of both children and teachers then graduated into the formal education system, whilst the number of districts covered increased from 2 to over 30. With a notional investment of only US\$ 107 per child for Danida-funded projects, which also funds all other aspects of the programme including capacity building and advocacy, as well as running the GV and SfL organisations, these represent very significant tangible impacts.

The number of SfL partners has increased from three in 1994 to at least 17 by 2015. The geography of application, in addition to growing in situ in northern Ghana, has also expanded from a small part of northern Ghana to other parts of northern Ghana as well as to other parts of Ghana. In addition, a number of partners have begun to implement SfL in Liberia and Sierra Leone, and similar versions of SfL have been adapted to locations in India and Kenya. At the outset in 1994 there was no desire nor indeed thought on behalf of GV and SfL about stimulating diffusion elsewhere. However, in 2004 other donors working in the same geographic area observed SfL's impact and general success, realised its potential and made efforts to fund their own SfL-based projects. Thus, the initial impetus to diffusion came from outside the original group of three partners (SfL, GV and Danida) who were at that time focused on their own in situ consolidation and expansion, but then these same partners, in most cases, readily participated and indeed helped to create and form new projects with new funders.

## **Role of policy**

There is a very large and growing number and variety of actors in SfL and CBE, including the Danish government and Danida, the Ghanaian government and the GES, local Ghanaian authorities, other donor governments and their aid agencies, as well as multi-national entities like the United Nations and the European Union. Given this large number, both conducive policy alignments as well as policy clashes and inconsistencies are inevitable, but overall the SfL team (CV and SfL) have to date managed successfully to navigate any challenges thrown up. There was a clear political willingness on the part of the Danish government, through Danida, to launch the SfL experiment in 1994-1995. In contrast in Ghana at that time there was a general lack of political will to provide universal primary education, despite a legal obligation, so once SfL got underway a political challenge emerged because of SfL's success, as it was seen by some in government as competing with and out-performing the formal system. These political challenges in Ghana

were however overcome due to the generally high performance and on-the-ground impact of SfL and its continued strong backing from Danida. This was also because from 2005, non-Danida funding for SfL started up and continued to grow, and this was followed by perhaps most significant policy impact in 2014 when, after years of advocacy, CBE was made official Ghanaian government (GES) policy, thereby significantly helping to mainstream the model and to institutionalise it in educational practice.

On the other hand, new policy challenges are again emerging, for example Ghana has recently been designated as a lower middle income country and is thus likely to receive significantly less country donor funding. At the same time, most government donors are shifting policies away from financing direct service delivery towards prioritising capacity building and advocacy in order for Ghanaians themselves to take over more responsibility. Greater onus is thus being placed on civil society, also to monitor and hold service providers to account, which might again be seen as politically threatening, especially when it involves techniques like budget tracking and pushing for the accountability and transparency of government. This is happening whilst there is renewed policy emphasis on education at the global level, for example the United Nations' goal of ensuring every child receives a full primary and secondary education by 2030, as part of the new 2016-2030 UN Sustainable Development Goal 4. Currently in Ghana, national policy shows that education, despite these huge advances, is not implemented well, even though the principles and legal structures are in place. The Ghanaian government hasn't yet directly funded any SfL activities nor actually implemented the model. Their current approach is to rely on public-private partnerships (where private includes civil society). Overall, the clear conclusion is that policy is extremely important, but it can be both a driver and a barrier. Furthermore, the policies of different authorities and at different levels can be aligned and thereby highly conducive, as well as contradictory and thereby counter-productive and undermining to the innovation's impact.

### **Connectivity to the practice field**

This case belongs to the Poverty Reduction and Sustainable Development (PRSD) policy field of SI-DRIVE, and specifically to the one of the most representative practice fields of PRSD, i.e. "community capacity building and advocacy". It shares most of the common features of the 179 PRSD cases examined in detail in SI-DRIVE, specifically focusing on target group/beneficiary capabilities and skills instead of (or in addition to) outside skills. An essential part of this is advocacy, not just by the target group to other actors (whether these be governments as policy makers and funders and non-government funders) but also, and perhaps more important, advocacy within the target groups of poor and marginalized people and communities themselves. Such advocacy within the community and locality is important in order both to raise their own awareness of their needs and to become active and empowered to help meet those needs. Thus, at the community level such awareness and mobilization is one of the main success factors.

The SfL case is a good example of the practice field in that it has taken place mainly during periods when the (Ghanaian) state essentially withdrew or performed badly in the education sector, and this has also led to some role conflict between the project and the state. In this context, the project also illustrates how PRSD cases are typically more bottom-up and civil society led than social innovations in general. Given this, it is highly context-dependent and finely tuned to the precise needs of its target communities, even though it simultaneously also reflects general challenges and common practices for tackling them.

The SfL case itself is one pillar of a wider programme of initiatives and social innovations in northern Ghana supported by development agencies and other funders. For example, Danida through GV is also funding broader community capacity building and advocacy in the fields of youth, innovation and entrepreneurship, women's empowerment, micro-financing particularly access to savings and credit, as well as food security and livelihoods and sanitation projects. SfL is thus part of a package attempting to tackle issues of multiple deprivation where the contextual mix is always unique. These overall linked programmes attempt to consider the 'all-round human condition' instead of only siloed needs, for example in relation to empowerment, gender and basic human rights. In this context, some ambivalence in the form of unforeseen outcomes has been experienced, such as the important synergies which can be achieved between these fields when linked together, as well as the significant replication and spread of the SfL model based on the very high impact it has achieved, which was not anticipated or planned for by the original partners.

The SfL case is also an example of many international development projects tackling PRSD which are clearly practicing social innovation as defined by SI-DRIVE's and others, but without using this term. To date, there has been little appreciation within the international development community that many of their efforts are very similar if not identical to the practices of social innovators, and vice versa. There is tremendous potential for cross fertilisation of

ideas, knowledge and practices between the two communities which the SFL case illustrates and which the PRDS policy field is attempting to promote.

## 4.4 PRACTICE FIELD CONCLUSIONS

The five cases analysed in depth above clearly do seem to constitute a viable practice field, as defined by SI-DRIVE, around the community capacity building topic. This also applies to the main findings from the other 12 cases designated as community capacity building cited above, but which will be examined in more detail in a later report. A summary of the main characteristics of this practice field, and the cases illustrating it, is as follows:

### **Demand, actors and organisation**

- The basis of the community capacity building practice field clearly lies in a general lack of social and economic development, often combined with cultural tensions and poor manmade and natural environments. This seems to arise both as a highly localised social need affecting the demand of specific groups of people, and at the other end of the scale, is often driven by the policy intent to effect a more systemic change across society as a whole, without which most such local and specific needs will continue to arise.
- Cases rarely arise from widespread grassroots social movements, but are often the result of strong public policy and/or strong pressure groups which are able to persuade governments or philanthropic organisations to fund them, with civil organisations and SMEs more important at local level.
- Civil society is by far the main actor, whether locally, nationally or regionally, with public and private sector organisations playing less prominent but still important roles, whilst governments are a major donor. This configuration of actors is reflected by the comparatively low numbers of regularly paid employees, in contrast to a very high number of volunteers, compared to all PRSD cases. The latter number is the main reason why community capacity building cases are very large initiatives compared to the PRSD average, with an average staff size more than three times greater, and on a par with the income support cases.
- Being generally very large cases organisationally is, however, not reflected in the average size of budgets which are somewhat lower than PRSD cases generally. This is also reflected by the reliance on large numbers of volunteers and by the funding sources which typically rely little on domestic government funds but heavily on EU funding within Europe or foreign and donor funding in non-European countries.
- Cases in this practice field tend to be older than the average for all PRSD cases and thus most are in the impact stage of development delivering significant changes in their communities and more widely.

### **Development processes and dynamics**

- In terms of case development, four out of five show a similar pattern of two main stages separated by a retrenchment and/or crisis about halfway through the period under review, with the other experiencing a flattening and then a boost leading to stimulus. This is due to the fact that the cases are relatively fragile, at least in terms of large scale transfer and impact, given they are generally not inspired, supported nor financed by the domestic governments, and, in some cases, also experience hostility from their governments. This picture is quite different in the other two practice field analysed in this report.
- The overall idea and incentive concerning the importance of community capacity building is not new, but the specific innovations adopted at local level often are. Neither are the cases normally not triggered by new technology more than other PRSD cases, and ICT and social media are used a lot less. There is, however, a strong focus on social entrepreneurship and the social economy, as well as the social, cultural and economic empowerment of the target group. Similarly, gender, equality and diversity issues are very important in driving these cases, as is the development of human resources and good governance.
- Most cases have thus developed original solutions for their local context which, because of their success, have subsequently been significantly scaled and had high rates of transfer elsewhere. Because of their

success, many are also usurping and by-passing the role of traditional service providers, democratising this role and putting it in the hands of local communities. In terms of local implementation, many of the cases have also adopted a comprehensive cross-cutting approach attempting to treat the totality of beneficiary needs, or at least a large number of them that are interrelated. This is flexibly adapted to different contexts, for example relying on local research, field work and piloting before starting and integrating and packaging many elements together in locally relevant ways.

- In this sense, the local level is often able to adopt a 'human condition' and a 'human dignity' approach, recognising unique individual attributes and needs, including the need to respect human right and local cultures. Part of this is understanding that the problems of the poor mutate over time, especially in the context of wider societal development and the changing relationships which individuals have.
- Gaining momentum is exemplified in a number of ways. These include a strong vision and long-term goals, intense networking, locally, nationally and internationally, taking a holistic people-centred as opposed to siloed approach, and adapting the business model. Also important have been deploying democratic processes for advancing the interests and rights of the beneficiaries through advocacy, dialogue and networking, as well as success in changing the political dialogue from a 'needs-based' to a 'rights-based' framework.
- Complementary innovations are also important, and are typically based on applying the latest basic technologies in agriculture, deploying forms of agile decision making, developing self-awareness and holistic approaches to development, becoming more professional in terms of marketing, product innovation and branding, and training communities to hold public authorities and other service providers to account for what they do.

#### **Success factors and impacts**

- The success factors show the paramount importance of individuals, networks and groups, and of finance especially from international funders (both public and philanthropic). Also typically critical are both local and political awareness raising and advocacy, curating the agency and direct involvement of the beneficiaries in meeting their own challenges. Focusing more on what can be done given local resources, aspirations and existing capacities using a holistic approach, rather than piecemeal problem solving, can also be important.
- There are also a number of challenges, particularly a funding challenge, obtaining adequate personnel with the right capabilities, political ignorance, neutrality and sometimes resistance, legal restrictions, as well as often huge cultural and contextual differences which can provoke hostility and backlash.
- Looking at overall impacts, there is generally very high rates of successful transfer of the innovation elsewhere, especially at local and regional levels, not at national level, but significant transfers at international level. This clearly indicates the dissemination power of these innovations, but that the main barriers to this are typically national governments and systems, some of which is due to overt resistance or at least reluctance to permit other actors achieve success in what they might see as being at their expense and detrimental to their power and prestige.
- The most important transfer agents are the partners themselves as well as their success in achieving adoption by users, especially when these consist of NGOs and external funders of different types and levels. In terms of scaling and growing existing innovations, in situ organisational growth, the networking of project partners, influencing other policy areas and institutionalisation into existing systems, are all extremely important.

#### **Mechanisms of social change**

- **Learning**, the generation of new knowledge and empowerment are central and main goals. They may not always be transformational at the public policy level, as here there is already significant agreement concerning the overall dimensions of what works and what doesn't. However, it is very intense at the implementation and practitioner level and this does often, in turn, feed back into the policy level.

- **Variation** is also a critical characteristic of the community capacity building practice field reflecting its very widespread nature across all geographic and cultural contexts, and is just as often informal as formal. There are generally high levels of innovation derived from varied value and belief systems, as well as via religious, cultural and behavioural contexts.
- Given the huge variety in local communities noted, the processes of **selection**, adoption, diffusion and imitation reflect this. This includes copying and imitation, particularly within similar socio-economic and cultural contexts, as well as highly specific and significant adaptations in others. Processes of innovation growth, decline and death also reflect this variety.
- The importance of **conflict** in the community capacity building cases depends on whether it is internal to the case or affecting the case from the external environment. In the former situation, such conflicts are relatively unimportant, without causing any major or long lasting problems, although they can be, and appear to be, important in the short-term. However, in the latter case they tend to be much more important requiring the initiative to be flexible and dynamic in response in order to continue its success and overall development.
- There is little evidence of significant **competition** inherent in the change mechanisms in this practice field, where all cases see collaboration and cooperation as much more important. Where competition arises it is in order to operate with local and even national and global markets and it can, under the right circumstances lead to innovations and growth which can help in poverty alleviation, capacity building and in the empowerment of poor and marginalized communities.
- **Cooperation** is a very important feature of all community capacity building cases, both between partners and with a very large number of external organisations and networks. It builds trust and reliable networks inside and outside the community and is important for the implementation and the diffusion of the initiative. It builds up necessary professional, peer and trust networks which are very important for building and sharing new ideas, keeping up with recent developments in the field and learning new ways of doing things. External networks act as conduits for knowledge transfer and for diffusion to other regions. Inspirational leadership is generally more important than charismatic leadership, given that the latter can lead to path dependent thinking and perhaps even corruption.
- **Tensions and adaption** typically arise from conflict so that tensions do not seem to have arisen. Minor tensions internal to the case are relatively unimportant, but when external can be more important requiring flexibility and dynamism. Neither is there any tension resulting from the introduction of new technology
- Cases in this practice field generally show very high rates of successful **diffusion** of the innovation elsewhere, especially at local and regional levels, not at national level, but significant transfers at international level. Necessary actions include good continuous communication with all actors, attempting to source all resources locally before seeking them from elsewhere, and for differentiated policies tailored to the target group. There is a need to tackle as much as possible ingrained societal wide prejudice and exclusion, though this can take a long time. The individual beneficiaries need to be put right in the centre but they should not be taken out of context, but seen in relation their families, communities and other networks. Community capacity building requires advocacy and awareness raising. Complementary innovations are also important in diffusing the innovation. For example new technology innovation can be important, as can marketing, but most important are organisational innovations structures and the capacity to spread shocks and get support and ideas through its network, which has also been useful in resolving internal conflicts.
- **Planning and the institutionalisation** of social change in this practice field has been strongly supported and, in a few cases, driven by strong public policy initiatives and large philanthropic and private funding, but not always by domestic governments. As exemplified above, sometimes domestic governments have acted as significant barriers, some of which is due to overt resistance or at least reluctance to permit other actors achieve success in what they might see as being at their expense and detrimental to their power and prestige. However, it is generally in the direct interest of national governments to foster local development in rural communities as well as in urban areas, to reduce poverty and improve standards of living and quality of life.



## 5 PRACTICE FIELD C: DISPLACEMENT AND REFUGEES

The displacement and refugees practice field focuses on how social innovation can assist in tackling the multifarious issues facing societies receiving migrants and refugees, those from whence they originate, as well as those through which they pass. It is not so much concerned with the macro causes of migration but rather its specific impacts on these different societies as well, of course, on the individual migrants and refugees themselves. The macro causes and drivers of migration are likely to be best addressed over the long-term by sustainable development. Clearly, at the present time the main drivers, at least into Europe, are war and terrorism, but the universal desire of individuals to achieve a better life for themselves and their families seems to be the main underlying driver. Modern societies, including in Europe, are the current manifestations of millennia of migrations both inwards and outwards and this process continues. Current migration challenges and opportunities are only the most recent examples of the processes that have created the communities in which we live and work.

Four cases are analysed in the displacement and refugees practice field:

- **Scattered hospitality (SH) (Italy):** The initiative aims to tackle the refugee crisis and the lack of temporary housing facilities by promoting the reception of refugees (people with subsidiary protection, asylum seekers and people applying for international protection) by local families in their own private apartments. The initiative supports both the hosting family and the refugees, through financial support, the operation of support and supervision services. The initiative aims to give refugees the possibility of transiting between the asylum hospitality and the phase in which they start an independent life in European society. This family hospitality, lasting from 6 to 12 months, is an opportunity to build a network, to improve knowledge and capacities, to find a job. For the host families, it is an opportunity to experience multiculturalism and solidarity in their own homes.
- **Taste of home (ToH) (Croatia):** The Taste of Home draws on the specific cooking and gastronomic, as well as language, skills of refugees to create an environment for their economic emancipation as a part of their social inclusion and integration into the host society. Intercultural integration refers to the process of the social inclusion and economic emancipation of refugees and other persons with migrant background. The core idea of the initiative is to support and improve the integration of immigrants and refugees from war torn and otherwise economically oppressed nations of Africa and the Middle East into Croatian society. It is an effort that seeks to provide a pathway both for the arriving and domestic population to interact in a positive shared atmosphere, as well as to enable the immigrants to develop marketable skills they can use to become full economic contributors and beneficiaries within Croatia. The goal is to develop the economic emancipation of the refugees and other migrants by using their knowledge, skills and earlier experience while sensitising the host environment and society on regarding their integration potential. The whole action relies on a multi-cultural and intercultural theoretical model and practice.
- **Learning circles for displacement (LC) (Colombia):** Active New School Learning Circles are targeted at children in specific vulnerable situations such as forced displacement and who have trouble integrating into the formal school system. Children living in poverty, especially those who are displaced, have a higher rate of absenteeism or leave school all together because they are more likely to have to work or care for family members. The initiative is based on student-centred principles where students are considered as active participants at the centre of the education model, and teachers are considered as guides instead of knowledge and authority central figures. The circles are made up of groups of 12 to 16 children, subdivided into shared round tables of up to 6 students each, where they receive personalised and multi-grade attention. They operate in adapted community spaces, supported by formal education institutions, parents and social leaders, who all have the objective that children and their families are encouraged to receive an education, and that they can be successfully transitioned into the formal education system after one or maximum two years. This learning circles approach for this type of vulnerable population has expanded in many regions of Colombia, as well as in other countries (México, Vietnam, East Timor and Peru) with the support of UNICEF, the World Bank, and Plan International.

- **Luggage hands-free (LHF) (France):** Since 2002, the 'Chatelet Les Halles' district of Paris has been the subject of an urban renewal project. In this context, a residents' association ('Mains Libres'), knowledgeable and sensitive to the strong presence of the homeless, especially refugees, in the area, considered what additional support and initiatives could improve their circumstances. The Luggage 'Hands-free' (lockers room), named 'La bagagerie', was born from this observation. The homeless people (SDF) are crowded and stigmatised by their luggage, and especially refugees have this problem with the few belongings they might possess. These belongings can be easily lost or be stolen. Existing luggage lockers in Paris do not generally welcome homeless people to use them, are only available for a limited time (3 months or 6 months maximum), and open only once or twice a week. The SDF therefore cannot drop off all their baggage to go about their business, approaches, care work or daily life and needs. The innovation started with an idea phase of designing a 'bagagerie' (lockers room) for these homeless and refugee people (SDF) living in the centre of Paris. Located at 15 rue Jean Lantier, the 'bagagerie' has 52 lockers, where users (SDF) can store their belongings in safety as long as they need to. It also offers them a reception area with hot drinks, Internet access, and the ability to recharge their phones.

These 4 cases are summarised in detail in section 5.3 below and form the basis for analysing the practice field in sections 5.1 and 5.2.

## 5.1 ANALYSIS AND CONTEXT OF THE INITIATIVES

### Social needs demand, actors and organisation

The demand stimulus for the displacement and refugees practice field clearly lies in the dramatic increase in migration and refugee flows over the last few years, especially into Europe but also as a broad global phenomenon, and the social needs that need to be addressed in receiving, sending and transit societies. Examining the 8 case studies in this practice field, this need to tackle displacement is driven mainly by the social need experienced in situ, but is also linked more strongly than all 179 PRSD cases in SI-DRIVE's database to the need for widespread systemic change across society as a whole, without which such local and specific needs will continue to arise. Initiatives in this practice field often arise from quite large volunteer activities with quite large budgets, supported by public policy, and/or strong pressure groups able to persuade governments or philanthropic organisations to fund, with local governments and civil organisations acting at local level.

The success of some of these cases in both meeting local social demand and affecting systemic change in society is exemplified by the SH case in Italy. The initiative kick-started with a 'refugee roundtable' in Turin, partnering the municipality and initially 4 other associations and civil organisations in the city, some of which later changed when SH was placed under the SPRAR national programme, plus a partner providing psychological support to families and refugees. Today, local regulation is undertaken by the Municipality of Turin, also responsible for the management of the hosting families, whilst national regulation and financing is provided under the SPRAR and CAS Programmes.

Civil society is by far the main actor, whether locally, nationally or regionally, and is much more prominent in this practice field compared to the average of all PRSD cases. In contrast, the role of private sector actors is much less important, only present in about representing about 11% of all actors, whilst public sector actors make up about 26%. This configuration of actors is reflected by the numbers of regularly paid employees involved in the 8 cases in this practice field, which is very low, whilst in contrast the number of volunteers is about four times the PRSD average. The latter number is the main reason why community capacity building cases are double the size of the PRSD average, and on a par with the income support cases.

Some of the four cases analysed in this section tend to illustrate these characteristics. For example, the ToH case in Croatia developed through cooperation with the national NGO Centre for Peace Studies, the Croatian Platform for Solidarity and International Cooperation, international cooperation with the Slovenian platform for solidarity and international development and a restaurant run by migrants in Ljubljana, as well as with the European network for development cooperation. In addition to such cooperative efforts, there has also been a growth in partners over time, but typically in a quite unstructured manner responding to new challenges as well as new opportunities as these arise. But there is always good communication between those who are acting as implementers independently of each other, as well as occasional direct cooperation. In the LHF case in France, the project idea arose from close co-operation

between local residents, on the one hand, and homeless and refugee people, on the other. They also had the support of the professional associations responsible for social monitoring, as well as from the local Paris district and the city level authorities, alongside some private sponsors.

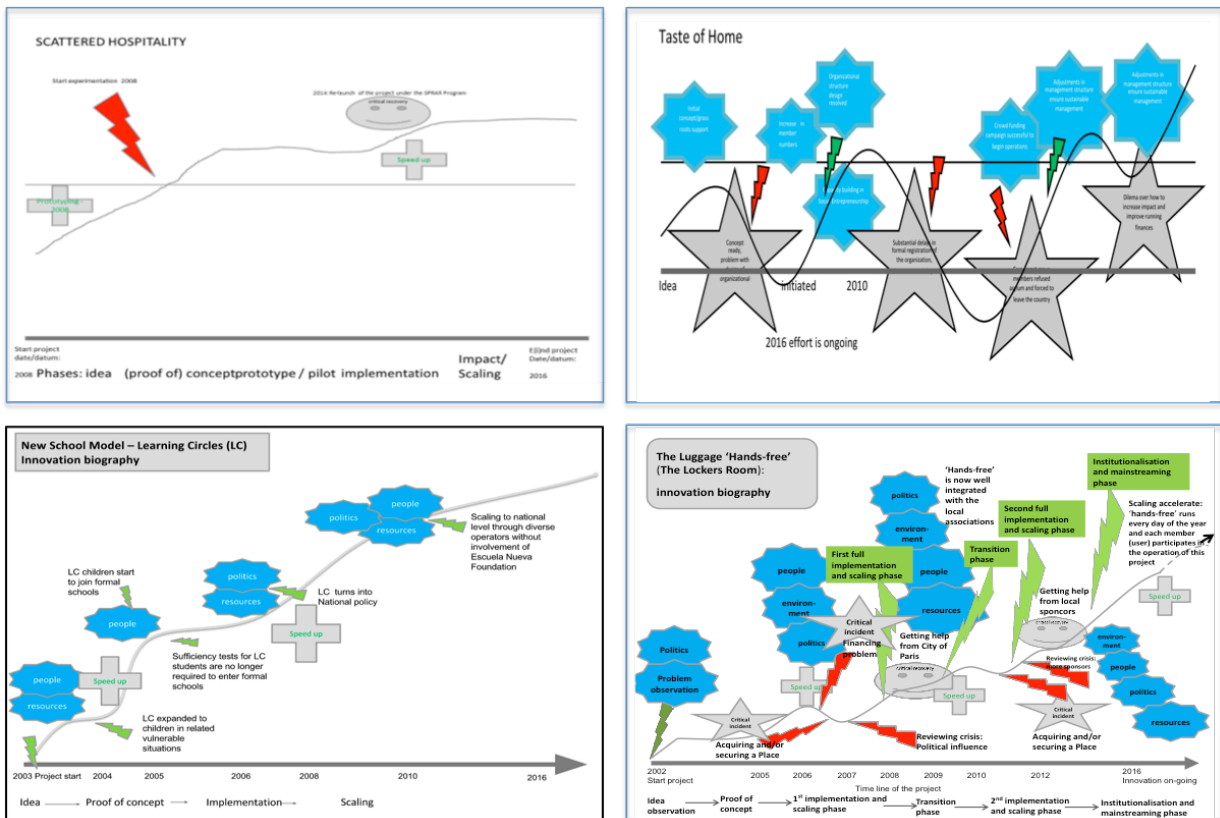
Cases in this practice field tend to be older than the average for all PRSD cases, but many are still experimenting and their comparative impact is low. Despite their age, this probably reflects the fact that the migration and refugee issue has only in the last few years become much more prominent, with hugely increased numbers, especially in the European context although elsewhere in the world pressures have been increasing for longer. This has required a step-change in response, both in terms of volume but also related to new types of challenge that need tackling, such as (but not only) the threat of associated terrorism and the instigation of 'de-radicalisation' programmes in a number of European countries. This step change is reflected by the funding sources where EU, donor and crowd-funding, plus own and partner contributions, are higher than the PRSD average.

### **Development processes and dynamics**

Figure 8 shows the case biographies of the four displacement and refugees case studies and, although the time lines are different, they seem to depict very varied development histories. This is in stark contrast to the other two practice fields where there is much uniformity, and is perhaps due to the quite recent step-changes taking place in the displacement and refugee context in light of the migration crisis. This crisis is impacting different countries in often quite different ways, related both to their geographic positions and to their domestic policies and civil society responses. In this context, social innovation initiatives, despite having a relatively long history, are currently looking for new solutions. This is also reflected by the fact that many more initiatives than average are experimenting and, indeed, the recent request by the European Commission for SI-DRIVE to specifically look at this issue in the social innovation context. This high development variability is reflected in Figure 8 both between the cases, as well as individually within three of the four cases with their seemingly turbulent up and down histories.

For example, the LC case originated from the work of education experts and change agents working in the marginalised communities of Colombia. They experimented to develop new education models (such as Learning Circles) with enthusiastic rural teachers, while establishing connections and influence with worldwide education scholars. The piloting of these models included evaluation processes from international institutions such as UNESCO, which helped demonstrate the results and validate their quality. This helped to garner support and funding from organisations such as the United States Agency for International Development (USAID), the International Organization for Migration (IOM), the United Nations High Commissioner for Refugees (UNHCR), and the Norwegian Refugee Council (NRC). This international acknowledgement helped LC to have credibility and support from the National Education Ministry and local education institutions, which are a key part of the initiative's success. Additional support came from local communities and families, who had an important role in motivating children to participate and integrating them into the education system. In the SH case in Italy, initiators relied on their own networks of families and support organisations, and used existing rules to receive the migrants, but were constantly experimenting and adapting the different models to attempt, in quick time, to meet unfolding needs.

Following on from this and in comparison with all PRSD initiatives, the first trigger of many cases in this practice field is, as mentioned above, often the result of support from public policy, and/or strong pressure groups able to persuade governments or philanthropic organisations to fund, with local governments and civil organisations acting at local level. Although, the overall idea and incentives related to social innovation in support of displacement and refugees are not new, there many specific new innovations in particular contexts. The cases are not normally triggered by new technology more than other PRSD cases, but ICT and social media are used a great deal. There is generally only weak focus on social entrepreneurship and the social economy, but much more on the social, cultural and economic empowerment of the target group. Similarly, gender, equality and diversity issues are very important in driving these cases.



**Figure 8: Displacement and refugees case biography diagrams for SH (Italy), ToH (Croatia), LC (Colombia) and LH (France)**

The innovative character of cases in the displacement and refugees practice field reflects these issues. The ToH and the LHF cases are good examples of original innovations within a set of solutions adopted from other projects and then adapted. They focus respectively on specific aspects food and cuisine linked to wider cultural features, and the problems of what to do with precious possessions when you're homeless and, even more challenging, also a refugee. The SH case is also very innovative because it creates, in a structured, guaranteed and subsidized way, the possibility of home-based reception of refugees, facilitating their inclusion into society, and valorising the capacities and willingness to help of families. It is an integrative solution to more traditional refugee reception models, which can innovate disruptively the ways these are managed. The innovation does not change the existing system, but rather may be considered as a 'plug-in' of high quality to the existing services. The system is thus not radically changed, but improved, perhaps as an example of incremental innovation. In addition, both the SH and LHF cases use ICT and social media, normally via mobile phones, so that families and volunteers can keep in touch with the migrants and refugees, as well as when the latter use this technology to navigate unfamiliar places, obtain information in real time, as well as keep in touch with each other.

The four cases also exhibit good examples of different but important ways of gaining momentum after launch and becoming more sustainable. For example, the LC case gained momentum thanks to variables such as the previous results of its new school experiments, the validation of international evaluations, and the support of international institutions, which helped giving credibility to the model. This credibility, together with the support of local communities and families, allowed the model to be nationally influential. The model also proved effective for other kinds of vulnerabilities additional to displacement, which helped it to be further appropriated and expanded, up to the point of turning into a public policy by the National Education Ministry. Initial success in the ToH case was assured with the successful implementation of a crowd-funding effort to get the initiative started. This enabled the organization to begin functioning independently. Further benchmarks for scaling of the overall initiative are now coming in the form of expanding services, including a catering operation, a restaurant, an interpreting service for Arabic and Farsi, as well as a language school / and courses.

In the LHF case, there have been a number of drivers, including the growing number of homeless people and refugees walking the streets of Paris' centre, which is stigmatising for them, presents a negative view to visitors and tourists in general, as well as to local residents in particular. Two main barriers retarding momentum, however, were political support and funding, but these were at least partially overcome by close cooperation between local residents and the homeless people, as well as with the public sector, as mentioned above. Additionally many other corporate philanthropic and funding organisations now provide finance, professional advice and other support. Additionally, several surveys were conducted on existing luggage lockers ('bagageries') available commercially offer and these have informed the design of the initiative.

### **Success factors and impacts**

The success factors of the types of cases in the displacement and refugees practice field show the importance of individuals and groups working closely together and building strong local, national and international networks, including with public bodies and linking to policy programmes. Given the need for significant funding, it is necessary to find good and consistent sources, either from public bodies or philanthropic and other funders. Despite the high demand, it can also sometimes be difficult to identify and engage with the displaced and refugees, for example because of uncertainty, lack of identity, language and cultural issues and the possibility of negative backlashes from elements in society.

For example, the SH case in Italy, is an example of bottom-up development, a community of families, some public finance but often delayed payments until this became institutionalised into the municipality, and then into the national SPRAR programme in 2014. SH also prioritises the need to educate families to better understand multiculturalism and the benefits as well as challenges of diversity.

Looking at impacts, cases in this practice field generally exhibit low overall transfer success compared to the PRSD average, probably because on-the-ground challenges are so distinct and complex, and that in the last few years there has been a dramatic rise in the need for social innovations in this area that just keeping up in situ is difficult. However, within a specific national context with the same prevailing policies, programmes and regulations, there has been good transfer, as well as relatively good transfer internationally. Such transfer has tended to take place, not so much through the efforts of existing actors, perhaps because of the pressures during displacement and refugee crises, but more by external actors within their networks and further afield.

For example, in the ToH case there has been an extensive but nevertheless underfunded effort to stimulate diffusion across Croatia as the service being provided is catering, diffusion of the effort has been a keystone component of the general marketing strategy and, as such, diffusion is a central element of the overall effort. The LC case in Colombia started in 2003 as an innovation stemmed from the New School model created in Colombia in the mid 1970s to apply new pedagogical models in rural contexts in a sustainable way, in order to improve access to quality education while empowering children and tutors from a community based perspective. After turning into public policy and growing its model, it transformed rural education across Colombia, and the expanded into 18 countries in Latin America, Asia, Africa and India. Given the high levels of internal displacement in Colombia, and the special vulnerabilities like extreme poverty, child labour and domestic violence, the New School model wasn't enough, and a system was needed to integrate children left out from the education system. Learning Circles has been a response to these challenges, and as New School, they have the potential to be used in special vulnerability contexts worldwide with difficulties integrating children into formal education systems in a meaningful way. This national as well as international transfer thus was able experiment with new solutions arising both from changing needs and to adapt to the different conditions prevailing in new locations.

Each of the four cases examined in this practice field has also experienced high impacts in situ. For example, the SH case uses a measurement system of results of each hospitality experience, and later adopted the national Italian SPRAR criteria as more scientific and mature. The main indicators include the autonomy of the refugees after they participate, although it is only possible to measure immediately after as many refugees move around. Overall results have been very positive as all beneficiaries found a job and/or were in training and/or accommodation, and these outcomes are better than for refugees who didn't participate. Since the launch of the LHF case in Paris, 88 homeless and refugee people have benefitted from the use of a locker, there are 33 volunteers, 4 partner organisations and 4 donors. In addition 18 homeless and refugee people have found sustainable permanent accommodation, and many have found permanent jobs or temporarily work or small jobs. Many others have received the medical care they need,

or have taken steps to rebuild their identity papers or assert their rights, for example related to health, benefits and retirement.

In the LC case in Colombia, 2010 evaluations of the New School Foundation when it still operated directly as part of the Learning Circles programme, they were present in 70 municipalities, where over 700 Learning Circles integrated approximately 11,000 displaced students. In terms of educational performance, a UNESCO study compared 3rd and 5th graders between Learning Circles and students in conventional schools. They found that students in Learning Circles had greater improvement in language and maths tests over a one-year period. Fifth graders in Learning Circles scored 17.3 percentage points over the national average in maths and 13.9 points in language, which is a significant result also taking into account that many children from the Learning Circles were not enrolled in school previously, or dropped out of them for long periods.

## 5.2 MECHANISMS OF SOCIAL CHANGE

In this sub-section, the mechanisms of social change derived from the analysis of the four case studies in the displacement and refugees practice field are addressed.

### Learning

The displacement and refugees cases show quite variable learning features which perhaps reflects their often very different development histories and trajectories and the importance of local and contextual conditions in this very rapidly changing field. There is sometimes a tension between learning and new knowledge need to successfully address the quickly changing situation and new challenges as they arise, on the one hand, and the need for some policy and regulatory controls in this often controversial area on the other.

An example of such constraints, is the SH case in Italy, where social innovation projects are a small portion of all the activities in this practice field given the relatively high levels of regulation. Both private and public initiatives experimenting in the practice field are slowly being captured by the official national system, and they introduce innovations in it. The case has, however, introduced a new practice that has been recognised and prototyped at the national, official level, by the Ministry of Interior. The creation of guidelines on new practices by the central authorities is the safest way for their dissemination.

Both the SH case and the LC case in Colombia have been marked by regular experimentation and model building and testing.

Empowerment and capacity building are in practice important features of displacement and refugees cases, though are not always a main goal given the need when there is a crisis to focus on basic human needs like accommodation, sustenance, security, and similar. The LC case in Colombia, similar to many such cases, have high poverty, education and high inclusiveness challenge. In particular, displacement population in Colombia overwhelms the capacity of the government and society to provide basic humanitarian assistance. Furthermore, initiatives related to empowerment and capacity building are hard to implement in displaced populations, as usually they do not even have the minimum basic living conditions. Specifically in terms of education, formal education institutions do not have the capacity to integrate displaced children, as they usually come with difficult academic and emotional conditions. Also in the ToH case in Croatia, capacity building is a core goal by recognising that mutual and social learning play a role through efforts to enable persons from different cultures to interact and gain a better understanding of each other in order to facilitate the improved social integration of displaced persons.

In the LHF case in Paris, empowerment and capacity building are, in contrast, more incidental but nevertheless clear outcomes of the initiative, again reflecting this tension. LHF responds to real needs for homeless people, so that they can be free to move, to travel, to enter and exit places (shops, offices, etc.) without feeling embarrassed or excluded. The ability to get rid of their belongings and feel lighter is clearly important, as a homeless person carrying a heavy and sometimes exhausting load also represents a social weight. The 'Bagagerie' is now run mostly by the homeless and displaced themselves, and it has become a symbol that allows them to maintain a social link and ties with the local community, and to regain strength and confidence on themselves. Also in the ToH case in Croatia, capacity building is an essential feature as a core aspect of it was to build capacities specifically. Mutual and social learning

play a role in that the effort seeks to enable persons from different cultures to interact and gain a better understanding of each other in order to facilitate improved social integration of displaced persons. Since the initiative started, people have been transformed. Some have come and gone elsewhere, but they have been 'boosted' by their contacts, meetings and responsibilities, by the simple fact of living like everyone else. The 'Bagagerie' provided them with benchmarks, even if only through schedules and meeting regulations. By participating in the management of the initiative, or even just external events, the displaced persons regain confidence, they feel now that they exist: they are part of the society, and no longer excluded.

Ideally of course, initiative should find ways to bridge the gap between providing basic humanitarian assistance and creating capacity for the future. Furthermore, education can be a way to recast the situation for displaced children and their families, create new emotional bonds, use their high adaptation capacity to strengthen leadership skills, and overall dream and work towards creating their own life plan. At the same time, it is necessary to create the capacity in formal institutions and in communities to integrate displaced populations so they are not treated as outcasts. Empowerment and capacity building also imbibe both new knowledge for the beneficiaries as well as learning for the initiative. This recognition, even in difficult and fast changing situations is a crucial part of learning.

### **Variation**

Variation is also a critical characteristic of the displacement and refugees practice field reflecting its very widespread nature across all geographic and cultural contexts, and is just as often informal as formal. There are generally high levels of innovation derived from varied value and belief systems, as well as via different political, religious, cultural and behavioural contexts.

For example, in the SH case in Italy, the growing social attention to displaced persons and refugees in the last five years has drawn the attention of a growing number of associations and movements many of which became active as a result. This included a call for help of the Pope, and locally to Bishops, in order to reinforce beliefs and values around practices related to the reception and treatment of refugees. Equally, growing attention from the media and of politics to the problem, even if not always constructively approached and sometimes exploited for political reasons, is shaping, indirectly, the practice field. In the LC case in Colombia, there are many varieties of ideas in tension with each other that shape public opinion, government response, and public policy to people who has been forcefully displaced and their children. On one hand there is the recent government's public recognition of the victims of armed conflict, including murders (recognition of over 220.000 violent deaths. On the other hand, there is the thesis that in Colombia there is no conflict but a declining 'terrorist threat', and that more than forced displacement, there has been an internal migration from the rural areas to the cities resulting from poor policies for rural development. Public opinion also provides varieties of opinions and contexts concerning interpretations about internal armed conflict, its causes and actions to overcome it. When the 'no' vote in the October 2016 plebiscite won by less than a 1% margin rejecting the initial peace agreement, some adjustments were introduced to ensure that private property will not be affected, and that companies will not be liable for their involvement in related violent activities and their support.

### **Selection**

Given, on the one hand, quite similar societal challenges derived from the displacement and refugee context, but a great deal of contextual variety and different innovation responses on the ground, the adaption, diffusion and imitation of solutions is highly variable. This is also reflected in the very different case development histories and trajectories, as shown in section 5.1. It is also dependent on the changing circumstances of displacement events.

For instance, the SH case and other similar initiatives in Italy show many different types of adoption, diffusion and imitation examples. The dualism between SPRAR and CAS policy and support systems facilitate dynamic cross-fertilization between the two programmes, and sometimes similar experiences are experimented under the two reception system. The action of both public and civil sector stakeholders creates the pre-conditions for imitation and assimilation dynamics. In many cases, innovations are subject to experimentation at the civil level, and then adopted and adapted at the public sector service level. In the LC case in Colombia, educating the displaced population has demonstrated many changes in types of adoption, diffusion and imitation of the model as mediated as public policy through the ministry. For example, implementation of the model via open calls to new operators has resulted in many different approaches and outcomes. The decline and death of initiatives in this context is highly dependent on national and local political changes that can affect the continuity of existing government programs, and even block or

make the action of international and local organisations and community leaders difficult. In the Colombian case, for example, the displacement crisis caused by the Farc insurgency and then the subsequent peace agreement both gave rise to structural changes which affected the selection and implementation processes.

### **Conflict**

Given the variety of on-the-ground implementations, and the fast changing challenges, conflicts arise in a number of cases, for different reasons and with different outcomes. Conflicts potentially arise both from tensions between displaced persons and the host societies, and are also one of the drivers of displacement in the countries of origin. In this sense, conflict is thus always a barrier to successful social innovations which needs to respond to it, rather than a driver and incentiviser. but it can thus be a strong mechanism of social change.

For example, the SH case in Italy has been strongly influenced by the growing needs created by the phenomenon of refugees asking for asylum in Italy, which caused political and social tensions locally, despite attempts to circumvent these. The initiative can also be seen as a political and social response to the conflict arising in Italy around the theme of refugees, pumped by xenophobe parties and by some of the media. Fear is growing in some Italian household towards refugees, but innovative projects like SH and Rifugio Diffuso are helping to change this social perception, tackling prejudices with direct experience. The ToH case in Croatia, has not itself been subject to significant conflict given its focus on the food and cuisine cultures of refugees already in communities. However, the refugees and immigrants are coming from conflict areas resulting in the need to mitigate the potential for violent reactions from the domestic population.

### **Competition**

Competition between different social innovations can be an important driver of better solutions and thus of social change, especially when experienced as testing and validating alternative approaches. However, competition does not necessarily lead to a competitive advantage, and it would be better in many circumstances to bring the requirements of different solutions more in line in order not to create bias in the services offered and confusion regarding appropriate responses by civil organisations as well as social service and even market actors. Although competition can lead to quality improvements in initiatives, in some crisis situations the need is for speed, simplification and cost reduction to meet often huge challenges. Competition thus perhaps plays a more constructive role after such crisis situations are passed.

For example, in the SH case in Italy, there is some indirect competition between the CAS and SPRAR national system, since the criteria to be met are not the same. Cooperatives and associations implementing solutions under the two programmes may have an incentive to work in one program rather than in the other. More specifically, in some cases the SPRAR systems presents higher complexity than the CAS system, and this may create an incentive to prefer working in the CAS system, since the services in the two systems are remunerated equally. However, this form of competition does not lead to a competitive advantage, and it would be better to bring the requirements of the two systems more in line in order not to create bias in the services offered, and in the appeal that the two programmes may have on social service market actors.

In the LC case in Colombia, forms of constructive competition are experienced through open calls run by the education ministry for educating persons in vulnerable conditions. However, according to the ministry the way this has been done does not necessarily lead to innovation or quality improvements given that the biggest concern is in terms of quantity, simplification of the model, and reduction of costs. This approach makes it difficult to maintain some key characteristics of the model, such as the active participation of families, community, community leaders as tutors, usage of community space, and additional social support to families. On the other hand, the government has improved education infrastructure and schooling access indicators dramatically, as well as social support to vulnerable families.

### **Cooperation**

Cooperation is a very important feature of all displacement and refugee case, especially through both informal and formal networks operating at many levels. Cooperation seems to be especially valuable with links between levels in the same location, as well as with other locations, as well as with professional organisations providing specialist help and advice, also internationally. Higher level networks tend to provide funding and political support, while local



networks can facilitate trust from the community. Reputation and trust are central, considering the kind of services offered in this field. Social movements are also important in this practice field as they can nurture initiatives, and provide support and the cement to embed the sometimes controversial and difficult activities. Charismatic leadership has no importance in the practice field,

For example, in the SH case in Italy, there are locally organised networks, also one linked to the Municipality of Turin, and some of these are also organised at the regional level. At the national level, the network is organised by the central service of the Ministry of Interior. Moreover, many private networks (of NGOs, confessional and non-confessional organisations) working on this theme are active in Italy. Professional and trust networks are also very important for associations and cooperatives. A social movement has also been important in the SH case, across Italy since organisations working in the field can thereby always be connected and coordinated, in this case through roundtables (locally) and networks (both locally and nationally).

The ToH case in Croatia was not a cooperative case initially but was able to start despite this. However, a broader community of practice, was then developed, for example with the Centre for Peace Studies which communicated with international partners with experience in similar initiatives to help provide strategic input and guidance through numerous consultations in the earliest phases, and as such there does exist such a network, albeit informal in nature. That is to say, no 'structured' network as such exists, but rather good communication between those who are acting as implementers independently of each other with some occasional direct cooperation.

In the LC case in Colombia, many types of networks exist, including with international NGOs and local NGOs that work in humanitarian aid and in development cooperation, as well as with government and educational institutions that provide social support and services to populations in extreme poverty. In this context, the international and local NGOs are the ones that structurally have more openness to support social innovations. International NGOs provide funding and political support, local NGOs have trust from the community, government and formal education institutions allow to spread the innovation, as they have the more established and long term institutions and resources. Also, thanks to the visibility, support and political pressure provided by social movements, it has been easier to access international resources as well as national resources. The social movements also provide pressure to ensure that resources from different sources are coordinated between each other.

### **Tension and adaptation**

Tensions typically arise from conflict and, as noted above, there are potential tensions both between displaced persons and the host or transit societies, as well as being one of the drivers of displacement in the countries of origin. These tensions are highly variable between cases and depend greatly on the particular context, how the actors perform in that context, and the changes in the broader environment, whether these are political, social, economic or cultural. There is no tension resulting from the introduction of new technology, and in fact it has been very useful in some cases.

The examples of SH in Italy has been cities above. In the LHF case in Paris, there have been a number of mainly minor tensions between the 'Bagagerie' and existing luggage lockers in Paris' centre which do not generally welcome homeless people using them, as well as the latter's service being only available for limited time (3 months or 6 months maximum), and open only once or twice a week. The homeless persons therefore cannot drop off all their baggage to go about their business. Another tension was at the beginning of initial idea for the 'Bagagerie', some of the local residents didn't agree to its establishment and it was difficult to convince these local people. This in essence has slowed down the starting phase and the launch of the project. However, the majority of local residents have since understood that this project will do good by transforming the image of the homeless people on the streets (in particular) and in the centre of Paris (in general). Hence, an agreement was finally reached and the 'Bagagerie' association was formed by local residents volunteering to start this project.

Technology has not given rise to tensions, but has on the contrary been valuable for some initiatives, for example both the SH and LHF cases use ICT and social media, normally via mobile phones, so that families and volunteers can keep in touch with the migrants and refugees, as well as when the latter use this technology to navigate unfamiliar places, obtain information in real time, as well as keep in touch with each other.

## Diffusion of (technological) innovations

As mentioned above, cases in this practice field generally exhibit low overall diffusion compared to the PRSD average, probably because on-the-ground challenges are so distinct and complex, and that in the last few years there has been a dramatic rise in the need for social innovations in this area that just keeping up in situ is difficult. However, within a specific national context with the same prevailing policies, programmes and regulations, there has been good transfer, as well as relatively good transfer internationally. Such transfer has tended to take place, not so much through the efforts of existing actors, perhaps because of the pressures during displacement and refugee crises, but more by external actors within their networks and further afield. Complementary actions include ensuring a relatively benign location not in an area of tension, the need to institutionalise the activity both locally and nationally, integrate into other local and national policies, and connect to well functioning networks. The role of technology, as mentioned above, has also had some importance in assisting dissemination.

Some examples of this dissemination are given above in section 5.1. Illustrations of some of the necessary actions for dissemination include, from the SH case in Italy, the need for the idea to be proposed in a territory where at least a part of the population is very involved and careful in solidarity and multiculturalism. Where social conflict is very high, it is more difficult to propose such a solution. Local policies need to recognise innovative solutions for interventions, and institutionalise the innovation as much as possible, to guarantee safety and trustfulness to new social actors who would like to host refugees. Also, there has to be a mature and well-coordinated network of public and private actors working on this issues. Further, the prefecture, or the organisation managing migrant fluxes in the territories (in Italy it is the prefecture), need to recognise and integrate the innovative solutions among the already existing ones for the reception of refugees. In The LC case in Colombia, it is important that displacement victims are placed in the centre of the reconciliation agenda by civil society and by the government. It is hard for effective structural solutions to prosper and for the ongoing violations to stop if this does not happen. One of the biggest challenges with an active internal conflict is that the attention of the media and political action is centered on the combatant parties themselves, even if the biggest casualties and receptors of violence are unarmed citizens. In terms of education for displaced population, it also has to be considered as an urgent right to be integrated into the education system, at the same level as the right to basic humanitarian assistance.

In terms of the role of technology supporting dissemination, this is much more important than in the two other practice fields. It has had some role in SH in Italy, providing online coordination systems, like “Welcome Refugees” and similar initiatives. In the LC case in Colombia, however, it has helped to cope with forced displacement and conflict and thus also been useful for disseminating the initiative. Social media has helped citizens from urban areas, who usually do not have direct relation with the consequences of armed violence, to connect with the testimonies and situation of displaced population. Previously, social movements that monitored the violations of human rights in vulnerable communities, including displacement, usually had to rely mainly on the connections with international organizations as a mean to put pressure on the national government. Currently, testimonies and documentation can be more visible, and with camera phones it is easier to document violent actions and in many cases deter them, especially for the cases where groups from official armed forces worked in conjunction with so-called paramilitary groups. In LC’s educational activities in collaboration with the ministry, children now have access to these computers and the internet and this is helping to rehabilitate them into wider society. In act, as of October 2016, 77% of the country’s students have access to.

Complementary innovations are also important, for example in the LC case several organisational innovations working with community, local and national education institutions. Local education institutions had to be involved but also had to allow some flexibility. For this, they worked as ‘mother-institutions’, and the ‘learning circles’ were regarded as part of their activities, even if they happened outside of the doors of the institution. For many communities, the reception of displaced families generated controversy and even rejection. This required the model to include local leaders as tutors, and include community as part of the strategy to support and encourage families to send their children to school. In particular, the inclusion of local social leaders allowed also for the children to have aspirational figures, as many of the tutors themselves also had struggled in the past with many vulnerabilities including social exclusion and extreme poverty.

## Planning and institutionalisation of change

Social change in this practice field has mostly been strongly supported by conducive public policy backing (at different levels) and often large philanthropic and non-profit funding. Civil society is by far the main actor and instigator, whether locally, nationally or regionally, and is much more prominent in this practice field compared to the average of all PRSD cases. This is complemented by large public sector backing and financing role, but a meagre presence of private sector actors.

The public policy goal is to address both ongoing displacement and refugee challenges in many parts of the world, as well as the recent migration surge into Europe, which is unprecedented in terms of magnitude and impact since the immediate post-1945 population movements. Cases in this practice field cover displaced persons both from external as well as internal (domestic) sources. Often, social aspects are at the forefront, but most good policies recognise that this is interlaced with economic, security, cultural and environmental issues, often overlain by human resources, gender, equality and diversity dimensions. It is often complicated by politics, on top of policy issues as such, and typically clouded by history and memory coupled with unease by some for the future.

It is important the government and public policy recognise that the challenge exists and that they need to act. It is also clear that strong links and complementarity between national and local policy and regulation is very important. Furthermore, the legal basis can be highly supportive but not always necessary for entirely voluntary and self financing initiatives, although its absence does put them at a disadvantage

For example, in the LC case in Colombia, the recognition by the national government in 2010 that there was an internal armed conflict instead of a volatile 'terrorist threat', enabled a start to be made to the peace process with the FARC, and the creation of a Law for Victims in 2011. Both these helped to recognise rural violence and target it better and with this the massive displacement and associated vulnerabilities. In addition to various Ministries, including of Education, other national actors are involved, such as the National Network against Extreme Poverty created in 2006, and In 2011, the government created the National Agency for Overcoming Extreme Poverty (ANSPE), which helped improve even more the focus and coordination of support to eradicate extreme poverty. The related UN Sustainable Development Goals also inform government policy.

The French LHF case is directly supported by the government of Paris, but also sits within a national law giving social innovation a legal basis, dating from 2014. This gives this initiative and others a solid regulatory basis including the development of a shared measurement scheme for policy implementation. This will be key to better understand the impact of these processes and the way in which government policies can help to foster them as part of their national agenda. As mentioned earlier, the SH case in Italy is supported by policy, regulation and funding by two national programmes, SPRAR mainly for refugees and CAS more concerned with temporary assistance for people seeking asylum, in addition to local regulation exercised by the Municipality of Turin. In contrast, the ToH case in Croatia is relatively untouched and unconnected by government policy and regulation, despite the existence of some 'official' state documentation regarding the issue of displacement and refugees. Real development on the ground is primarily not impacted by this as its scope is more overarching and broadly general in nature being more being oriented to the poverty policy area than displacement per se. This lack of support for ToH and similar projects within the policy making structure leaves any actors in the field without guidance and support mechanisms to further develop practices in the real world. This absence is thus a big disadvantage.

An essential ingredient of policy is to institutionalise the innovation at the most relevant governance level, as well as in the ways of working and thinking of actors at different levels, thereby resulting in significant social changes for the long term. In the SH case in Italy, however, social change and the change of social practices is not envisaged directly in refugees assistance policies. However, the national system is very open to innovation, and innovative solutions produced experimentally by local institutions and/or by local and national social private actors, are in some cases institutionalised and promoted by the authorities. The Rifugio Diffuso case is a good example of how this can happen. In contrast, in its focus on education for displaced children, the LC case in Colombia had the vision from the start of generating social change and being influential in shaping the response to this type of challenge. While the programme succeeded in being influential enough to shape public policy, and give initial support to operators that undertook the work, they did not succeed to maintain certain fundamental aspects of their model. Currently, the new school model does not have an influential role on the topic, after it became institutionalized through the Ministry of Education..

## 5.3 CASE STUDY SUMMARIES

### 5.3.1 Case C1: Scattered hospitality (Italy)

#### Description, development of the Social Innovation Initiative

The project aims at tackling the refugee crisis and the lack of temporary housing facilities by promoting the reception of refugees, people with subsidiary protection, asylum seekers and people applying for international protection, by local families in their own private apartments. The project supports both the hosting family and the refugee, through financial support and realization of support and supervision services. The hospitality is aimed at giving to refugees the possibility of a transition between the asylum hospitality and the phase in which the refugee starts an independent life in the European society. The family hospitality, lasting from 6 to 12 months, is an opportunity to build a network, to improve knowledge and capacities, to find a job. For families, it is an opportunity to live multiculturalism and solidarity in their houses.

The action was motivated to answer partly to the problem of the hosting period foreseen by the SPRAR system (Protection System for Asylum Seekers and Refugees) considered not being enough to provide refugees with all the skills and resources useful to continue independently the complex process of social inclusion. Moreover, the existing hospitality system demonstrated serious limitations in terms of capacity to create a social network around the refugee, and of the risk to create dependency from the small subsistence aid provided during the limited months of hospitality. The idea has been conceived in 2008 by the Municipality of Turin with local associations and cooperatives. In 2015, the first year of Rifugio Diffuso under the SPRAR program officially starts.

#### Actors, partnerships, alliances, networks

The idea has been conceived in 2008, in the debate going on in the “refugee roundtable” of the Municipality of Turin. The “refugee roundtable” was composed by the for Immigration and refugee policies office of the Municipality and by all the association working on the themes of refugees and hospitality, in the city of Turin. The associations which started the first experimentation are Asai, Arci, Almaterra, CISV. There has also been an additional partner, “Centro Frantz Fanon”, providing psychological support to families and refugees involved in the project. The additional partners were implementing the solution, in coordination with the Municipality of Turin, through its Immigration and refugee policies office. In the first 4 years, the implementing associations did not change. When the programme went under the SPRAR programme, the associations changed, and two of them, Unione Pastorale Migranti (UPM) and Cooperativa Progetto Tenda (CPT), took in charge the implementation of the project. Both had a strong experience and a long history in services for migrants, asylum seekers and refugees.

#### Innovative solution

The solution is innovative because it creates, in a structured, guaranteed and subsidized way, the possibility of home-based reception of refugees, facilitating their insertion in the society, and valorising the capacities and willingness to help of families. It is an integrative solution to more traditional refugee reception models, which can innovate disruptively the ways these are managed, while at the same time educating families to multiculturalism.

Service innovation: the innovation regards the service of refugee reception, and the way it is provided. Organisational innovation: the innovation activates families, which enters in the organisation of refugees hospitality with a central role. System innovation: the innovation does not change the existing system, but rather may be considered as a “plug-in” of high quality to the existing services. The system is thus not radically changed, but slightly improved, at least for a small percentage of beneficiaries. How they interact: the organisational innovation changed the service. The service innovation slightly improved the system.

#### Gaining momentum

The initiators developed the idea and relied on their own networks (of families, of supporting organisations). The existing rules and guidelines for unaccompanied child in families were adapted for the experimentation. The growing perception of the needs of refugees in the Italian society, and the willingness of some families to help, constituted the existing thinking which made possible the start of the project.

#### Drivers:

- The “bottom-up” development of the idea created a strong sense of ownership of associations and families around it, even if the project was publicly financed.
- The existence of a community of families willing to host made the idea possible.
- The willingness of the Municipality to institutionally recognize, finance and coordinate the project has been an important driver for the growth of the idea.
- The introduction of the project under SPRAR Programme has been a strong incentive for the Municipality to continue with it, and to expand and better regulate it.

#### Barriers:

- The timing of reimbursements characterised by chronic delays of payments from the public administration, made it very hard for small associations to participate as contractors, because the participation implied the availability of financial resources to be advanced by the association. This problem has been only reduced by the introduction of the project under the national SPRAR programme.

#### Milestones:

- 2014: The project ended its “start-up” experimental phase, and was recognised as a model by the Italian Government, which financed it under the SPRAR Programme. This has been the most important milestone, institutionalising the project as a model to be replicated nationwide.

#### **Complementary innovation**

The idea must be proposed in a territory where at least a part of the population is very involved and careful in solidarity and multiculturalism. Where social conflict is very high, it is more difficult to propose such a solution. Local policies need to recognize this kind of interventions, and institutionalise the as much as possible, to guarantee safety and trustfulness to families who would like to host refugees. There should be a mature and well-coordinated network of public and private actors working on this issues. The prefecture, or the organisation managing migrants' fluxes on the territories (in Italy it is the prefecture), should recognize and integrate the solution among the already existing solutions for the reception of refugees.

#### **Impact, diffusion and imitation**

The management system concerned also the results of each experience of hospitality, in terms of condition of the beneficiary and experience of the family. The measurement changed during the implementation, and adopted the SPRAR criteria, becoming more scientific and accurate. Results are also presented in a more formalized and simple way.

The main indicator of success is the autonomy developed by beneficiaries after the experience. The Municipality office had no further requests of help from the beneficiaries who participated in the pilot project of Rifugio Diffuso. However, it is only possible to measure results in the period immediately after the experience, since many migrants move around Italy and Europe, and the service does not have enough resources to track every beneficiary on the long run.

The impact was very positive.

In the first phase of the SPRAR Programme (May 2015 – February 2016) 31 refugees, - 27 man and 4 women) were hosted in 29 families. The beneficiaries were coming from Somalia, Afghanistan, Pakistan, Nigeria, Cameroon, Mali.

All the beneficiaries, at the end of the hosting period, were under training, found a job or find an accommodation. In some cases, people were hosted by the families even after the subsidy period. Five of the beneficiaries moved to other

locations in Europe (one in Italy, in another city, for work reasons). In qualitative and comparative terms, the results are better than the ones of the group of beneficiaries of SPRAR who did not participate to Rifugio Diffuso.

The practice has been formalised to be transferable to other cities. The Italian Ministry of the Interior was stimulated by the Municipality on the importance of Rifugio Diffuso as a new practice, and the Ministry asked to the Municipality to report the main features of the solution, to promote its diffusion, it in other cities, under the SPRAR Program. Now, the Ministry is working on guidelines to promote and diffuse the idea in other cities. The diffusion strategy is not aimed at pushing institutions to have a large diffusion of the practice, but rather it is aimed at highlighting the added values of Rifugio Diffuso approach, and understanding how much, and under which condition, it might be desirable to scale it up in other cities and contexts.

### **Role of policy**

*Local:* regulated by the prefecture and the municipalities, is working directly on the management of centres and services for refugees, including the coordination of new projects like “Rifugio Diffuso”.

*National:* is regulating and financing, under two main programmes, the SPRAR and the CAS programmes.

*European:* the European Union role is very important in the management of the refugees crises, and have regulated the rules for the registration and reception of migrants, with highly criticized policies like the ones consequent to the Dublin Regulation (Regulation No. 604/2013), and most specifically with the partial suspension of the Dublin regulation in 2015. The Dublin regulation is a [European Union law](#) that determines the [EU Member State](#) responsible to examine an application for [asylum seekers](#) seeking [international protection](#) under the [Geneva Convention](#) and the EU Qualification Directive, within the [European Union](#).

### **Connectivity to the practice field**

Social innovation projects like Rifugio Diffuso are a small portion of all the activities under this practice field, being the practice field highly regulated and mature. Both private and public initiatives experimenting social innovation projects and alternative approaches are slowly being captured by the official national system, and they are introducing innovation in it.

## **5.3.2 Case C2: Taste of Home (Croatia)**

### **Description, development of the Social Innovation Initiative**

The core idea of the project is to support and improve integration of immigrants and refugees from war torn and otherwise economically oppressed nations of Africa and the Middle east into Croatian society. It is an effort that seeks to provide a pathway both for the arriving and domestic population to interact in a positive shared atmosphere, as well as to enable the immigrants to develop marketable skills they can use to become full economic contributors and beneficiaries within Croatia.

The goal is to push economic emancipation of the refugees and other migrants by using their knowledge, skills and earlier experience while sensitizing environment/society on potentials of their integration. The whole action relies on multi-cultural and intercultural theoretical model and practice.

A Taste of Home started as a culinary-cultural-research project that introduced the culture, customs and societies of origin of the refugees in Croatia by recording their memories of home, smells and tastes of their cuisine. This was an experiment in sharing life stories and culinary skills of refugees and people from Croatia. By preparing food of their home, refugees were evoking memories and creating new experiences in their new home. Their vision was a colourful world embraced in hospitality. Their mission underlined economic emancipation of refugees and persons with migrant background through culinary and cultural exchange. They were led by values of appreciating human beings and their needs - Human beings in search of happiness and safety ready to offer the best of them – tastes of their childhood and youth hood as well as tastes of their adulthood in new society. Their resources were tastes of Middle-Eastern, Arabic, African and Asian *cuisine* (rather unrepresented in Croatia).

The effort was born most substantially out of the recognition that there was a lack of effective and positive mechanisms to help integrate arriving refugees and migrants into domestic culture and economic activity. This was true in large part due to a lack of any clear policy direction from the Croatian central government regarding this process. As Croatia is a predominantly homogeneous society, with a population that lacks direct exposure to individuals from cultures that are remote from their own, (excluding general European cultures), there is a lack connection with these people. However, an existing connection to people who have undergone traumatic life shifts in having to leave their home countries because of violence and/or economic distress resulting from the Balkan wars meant that an ability to connect was indeed present.

In considering what is domestically a mechanism for people to gain familiarity and put aside potential differences, the idea of using food and a bridge to help the domestic population connect with the immigrating population became an easy selection. Domestically gastronomy is a part of the fabric of life in Croatia and a willingness to experience new foods is an aspect of that.

### **Actors, partnerships, alliances, networks**

Centre for Peace Studies (CMS; CPS) is a non-governmental and non-profit organization promoting non-violence and social change through education, research and activism. CMS grew out of various forms of direct peace-building in western Slavonia (Volunteers' Project Pakrac, 1993-1997). It was founded in 1996 in Pakrac and formally registered in Zagreb the following year.

Also consulted during the projects development and implementation were international cooperation with CROSOL – Croatian Platform for Solidarity and International Cooperation, SLOGA – Slovenian platform for solidarity and international development, SKUHNA – a restaurant run by migrants in Ljubljana and CONCORD – European network for development cooperation.

### **Innovative solution**

The whole idea sounds innovative to many, but this is really an in-depth, organic and multi-layered work over a long run period. A restaurant or catering as an idea sound 'intriguing' because people like to taste food, but it was also born in mind that those plates of food represent a culture and are in a very real way a part of those individuals, memories and experiences, which make the 'whole' of this project much bigger than the 'parts' of it. As such, the innovation is in connecting bits and pieces into a story that does not hide an inconvenient emotional side and does not strive to become a model of profit driven business type but rather a space of non-hierarchical life values that enables emancipation and decent life for those who are part of it.

The initiative addresses, on a more tangential than direct way, service and organizational innovation. As it is a low/no tech initiative, it does not carry any of the usual trademarks of innovation in that there is no physical aspect to the outcomes. The initiative is a human based one and as such, the innovation is primarily in the way in which classic aspects of life have been used in an innovative fashion (process) to generate social benefit.

### **Gaining momentum**

Initial success was assured with the successful implementation of a crowd-funding effort to get the initiative started. This enabled the organization to begin functioning independently. Further benchmarks for scaling of the overall initiative will come in the form of expanding services as listed previously, (translations, etc.). As for 'adoption' of the solution, it has been already and each level of advancement organizationally represents further adoptions.

The ongoing driver is to establish a stable catering operation as well as eventually to open a restaurant. Another level is to have steady interpreting service for Arabic and Farsi in work with other refugees and migrants (used by different NGOs and institutions) as well as to have a language school / courses implemented.

### **Complementary innovation**

While this effort has no real level of complimentary innovation, there is an assumption of demand not just for catering services, but for at least a minimal level of interest/demand for 'out of the box' food products that are represented by

the ethnic culinary products that are the trademark of the initiative. The simple nature of the initiative and its straightforward approach negates any requirement for complementary innovation.

With respect to the recognition, assimilation and implementation of new information and knowledge, there is no real issue to speak of per se. The initiative is intended to keep itself as direct in approach as is possible. As such, with the exception of some management and other related capacities, it is an easy to follow and manage process.

### **Impact, diffusion and imitation**

Success for this initiative has been achieved. In discussing benchmarks, (e.g. expansion into interpreting service and language courses of Arabic, Farsi and other languages), as each one is passed, another level of success will be considered to have been achieved. Insofar as similar initiatives could benefit from this experience, diffusion is both desirable and feasible.

There has been an extensive but nevertheless underfunded effort to stimulate diffusion. As the service being provided is catering, diffusion of the effort has been a keystone component of the general marketing strategy. As such, diffusion is a central element to the overall effort.

### **Role of policy**

While there has begun to be some interest from intellectuals at Universities (particularly the Faculty of Philosophy), to date they have not played any concrete role in the initiative (no active role). Additionally, as previously indicated, the lack of leadership and support from state actors is indicative of their lack of direct participation. At best, it could be argued that the lack of participation required creative thinking on the part of the implementers, but even that should be considered reaching as they have been active in social justice and refugee support previously so there was already a large amount of built experience in dealing with the lack of support.

### **Connectivity to the practice field**

Insofar as the practice field indicates work with refugees and references social justice, it does belong in this field. However, with respect to "configuring" the practice field, there has been no impact whatsoever. While the initiative does carry great potential for repetition and further development, it is not in its nature the type of initiative nor does it have the breadth of scope to functionally have that sort of impact.

While cooperative efforts are always preferable within the field, and in this initiative there has been a growth and addition of partners over time, it was begun without such and was able to move forward despite their lacking. With respect to the broader community of practice, Center for Peace Studies communicated with international partners with experience in similar initiatives to help provide strategic input and guidance through numerous consultations in the earliest phases, and as such there does exist such a network, albeit informal in nature. That is to say, no 'structured' network as such exists, but rather good communication between those who are acting as implementers independently of each other with some occasional direct cooperation.

## **5.3.3 Case C3: Learning Circles (Colombia)**

### **Description, development of the Social Innovation Initiative**

Active New School Learning Circles are targeted to children in special vulnerable situations who have trouble integrating in formal schooling systems. They are based on student-centred principles where students are considered as active participants, centre of the education model, and teachers considered guides instead of knowledge and authority central figures. The circles are made of groups of 12 to 16 children, subdivided in shared round tables of up to 6 students, where they receive personalised and multi-grade attention. They operate in adapted community spaces, supported by formal education institutions, parents and social leaders, who all have the objective that children and their families are encouraged to have an education, and that they can be successfully transitioned into the formal education system after one or maximum two years.



Learning Circles started in 2003 as an innovation stemmed from the New School model, created in Colombia in the mid 1970's to apply new pedagogical models in rural contexts in a sustainable way, which could improve access to quality education while empowering children and tutors from a community based perspective. After turning into public policy and growing its model, it transformed rural education in Colombia, and expanded into 18 countries in Latin America, Asia, Africa and India. Given the high levels of internal displacement in Colombia, and special vulnerabilities as extreme poverty, child labour, domestic violence, among others, the New School model wasn't enough, and a system was needed to integrate children left out from the education system. Learning Circles has been a response to these challenges, and as New School, they have the potential to be used in special vulnerability contexts worldwide with difficulties integrating children into formal education systems in a meaningful way.

### **Actors, partnerships, alliances, networks**

New School (Escuela Nueva), the creators of the Learning Circles (Círculos de Aprendizaje) originated from the work of Vicky Colbert and other education experts and change agents working in marginalized communities of Colombia. They experimented their models with enthusiast rural teachers, while having connection and influence with worldwide education scholars. Also, the piloting of models such as Learning Circles included evaluation processes from international institutions such as UNESCO, which helped demonstrate the results and quality of the model. This helped to gather support and funding from organizations such as the United States Agency for International Development (USAID), International Organization for Migration (IOM), United Nations High Commissioner for Refugees (UNHCR), and the Norwegian Refugee Council (NRC).

International acknowledgement helped Learning Circles to have credibility and support from the National Education Ministry and local education institutions, which are a key part of the model. Additional support came from local communities and families, who had a main role motivating children to enter into the model and integrate into the education system.

### **Innovative solution**

Active pedagogies on which New School and Learning Circles are based, such as the ones proposed by Montessori, Decroly, Dewey, Freinet, have existed from a long time. However, it has been difficult to integrate them into classic education systems. Implementing them in contexts of high vulnerability such as extreme poverty and internal displacement have been both a challenge and an opportunity to develop innovative ways for creating education systems coherent with these pedagogies.

Formal education institutions have lacked capabilities of integrating children from highly vulnerable contexts, who usually have issues such as being over-aged for their academic level, involved in child labour, having a domestic violence context, and frequently feeling unable to go to school. Even some of the children who have previously been in formal education institutions regarded them as authoritative, repressive, and couldn't value their use. Learning Circles have innovated in the support systems that allows communities, local leaders, families, tutors, and local education institutions to feel involved in integrating children to the education system in a way that feels empowering. Once the value of education is better appreciated by all these actors, and children are viewed in all their dimensions, with specific social and psychological support where needed. This motivates them to want to continue studying and even being change agents themselves when returning to formal education institutions.

### **Gaining momentum**

Learning Circles gained momentum thanks to variables such as the previous results of New School, the validation of international evaluations, and the support of international institutions, which helped giving credibility to the model. This credibility, jointly with the support from local communities and families, allowed the model to be nationally influential. The model also proved effective for other kinds of vulnerabilities additional to displacement, which helped it to be further appropriated and expanded, up to the point of turning into a public policy by the National Education Ministry.

## **Complementary innovation**

Learning Circles required the development of several organizational innovations working with community, local and national education institutions. Local education institutions had to be involved but also had to allow some flexibility. For this, they worked as 'mother-institutions', and Learning Circles were regarded as part of their activities, even if they happened outside of the doors of the institution. For many communities, the reception of displaced families generated controversy and even rejection. This required the model to include local leaders as tutors, and include community as part of the strategy to support and encourage families to send their children to school. In particular, the inclusion of local social leaders allowed also for the children to have aspirational figures, as many of the tutor themselves also had struggled in the past with many vulnerabilities including poverty and extreme poverty.

## **Impact, diffusion and imitation**

As of 2010, when New School Foundation still operated directly part of the Learning Circles program, they worked in 70 municipalities, where over 700 Learning Circles integrated approximately 11.000 displaced students. Regarding the results in education performance, a UNESCO study compared 3rd and 5th graders between Learning Circles and students in conventional schools. They found that students in Learning Circles had greater improvement in language and math tests over a one-year period. Fifth graders in Learning Circles scored 17.3 percentage points over the national average in math and 13.9 points in language, which is a great result also taking into account that many children from the Learning Circles were not enrolled in school previously, or dropped out of them for long periods.

From the moment when the Learning Circles started to become public policy in 2006, the ideas have been integrated in different programs led by the National Education Ministry. While initially New School Foundation worked in the training and follow-up of the program to different operators hired by the Ministry, in 2008 they stopped having a responsibility in the monitoring of the implementation. Finally, from 2010 all implementers are external operators, where New School Foundation does not have involvement.

## **Role of policy**

Learning Circles had the opportunity of working almost from the start with the involvement of education policy makers. This helped to gain credibility and support from local education institutions, and as the program evolved, to be adapted to other contexts, and finally to be turned into a national public policy. While this allowed the expansion of the program, it also came with changes to the original model. Some of the key characteristics changed so that the Learning Circles could be implemented within the school classrooms, and with existing tutors. Also, as the operation was contracted by open calls from the National Education Ministry, some of the operators not necessarily had the experience and affinity to honour the importance of the active pedagogy approach.

## **Connectivity to the practice field**

Learning Circles created a standard for the inclusion of displaced children into the education system. Additionally, it has been showcased internationally as a meaningful innovation for integrating children from different vulnerabilities, such as poverty and extreme poverty, or with difficult social problems. Many of children in this contexts share conditions such as emotional distress, poor living conditions, school abandonment, domestic violence, child labor, among others. Learning Circles, and in general the active pedagogies championed by New School Foundation on vulnerable situations, demonstrate how education can be a key contributor to overcome them, as well as demonstrating how education has an empowering potential to transform realities.

### **5.3.4 Case C4: La bagagerie Mains Libres (France)**

#### **Description and development of the social innovation initiative and Actors, partnerships, alliances, networks**

Since 2002, 'Chatelet Les Halles' district of Paris (1) was the subject of an urban renewal project. In this context, a residents' association ('Mains Libres'), accomplished and sensitive to the strong presence of the homeless, especially refugees, in the area, wondered what additional equipment is proposed to improve their circumstances. The Luggage 'Hands-free' (lockers room), named 'La bagagerie', was born from this observation. The homeless people (SDF) are crowded and stigmatized by their luggage; they can lose their belongings or be stolen. Existing luggage lockers in

Paris do not generally welcome homeless people to use them, and are only for a limited time (3 months or 6 months maximum), and open only once or twice a week. The SDF therefore cannot drop off all their baggage to go about their business, approaches, care work or daily life and needs.

### **Actors, partnerships, alliances, networks**

The innovation initiative started with an idea phase of designing a 'bagagerie' (lockers room) for these homeless people (SDF) attending the centre of Paris. Located at 15 rue Jean Lantier, the 'bagagerie' has 52 lockers, where users (SDF) can put their belongings in safety as long as they need. It also offers them a reception area with hot drinks, internet access, and the ability to recharge their phones. The idea of developing this project was possible thanks to the close co-operation between local residents (ADF) and SDF, as well as the support of the professional associations in the social monitoring, and also the support of the Town Hall and the City of Paris and some private sponsors.

In the proof of concept phase (between 2004 and 2005), a working group was formed, combining ADF (local residents) of 'Les Halles' district of Paris (1), including; members of the association: 'Accomplir', and also board members of: 'local neighbourhood' and 'single people', as well as some homeless people (SDF) who had participated in this event and others gradually joined the team. Specialised neighbourhood associations have early been involved in this project, including: Emmaüs, Aux Captifs la libération, la Soupe Saint-Eustache, la Conférence Saint-Vincent de Paul et le centre social La Clairière, les Enfants du Canal. 'Accomplir' in partnership with other local organisations, a theatre-evening debate was organised on 'How to include homeless people in our neighbourhood?' In front of a hundred people, including some homeless, two ideas emerged in the confirmation of the interest of lockers room for the homeless, but also and most important was the need to get homeless people involve in this project. Between 2005 - 2006, a working group was formed, combining ADF (local residents) including: members of the association: 'Accomplir', and also board members of: 'local neighbourhood' and 'single people', as well as some homeless people (SDF) who had participated in this event and others gradually joined the team. Specialised neighbourhood associations have early been involved in this project, including: Emmaüs, Aux Captifs la libération, la Soupe Saint-Eustache, la Conférence Saint-Vincent de Paul et le centre social La Clairière, les Enfants du Canal.

such as the SNCF Lockers. This was mainly led in part by the SDF team members. A number of speakers (stakeholders) came to bring their expertise. The fundamental point of these meetings focused on the mode of the future equipment, including:

- choice not to rely on volunteers only;
- open morning and evening to be able to drop off unwanted belongings (including things that are not need for bed time - at night);
- to devote a significant amount (8000 euros) to secure a place (for the lockers), because the luggage (belongings) of the SDF is all what remains for them and is extremely valuable to them;
- to provide open compartments, but secured by a communication luggage desk, and large enough to store all the cases (belongings - a little over half a cubic meter);
- choice to focus on activity on luggage and a reception with hot drinks and ability to use the internet, but without showers or washing machine. These services are readily available elsewhere on the neighbourhood.

On very many points (including the above), the problems were raised by the ADF and the solutions were proposed by the homeless (SDF)

A 44-page report was created in June 2006 and presented by a delegation of both SDF and ADF to the mayors of the first 4 districts, the member of Paris centre, and the mayor of Paris and his deputies. All expressed their support to the project, and the City of Paris has agreed in principle to the provision of a place for the project. Meanwhile, funding for investment were sought and easily found, among others, corporate philanthropy and founding organisations (including; Mairie de Paris Fondation Phitrust Association Porticus France Fondation Total Fondation Agir sa vie Caisse d'Épargne Mairie du 1er Députée de Paris Centre (Martine Billard), Soupe Saint Eustache, Crédit Mutuel Collectifs des commerçants Beaubourg, Les Halles Association Accomplir). After a few months (in 2007), the association 'Hands-free'

was created, with a board of directors composed of 6 homeless (SDF), 6 ADF (local residents) and 4 representatives of partner associations. The president was an ADF, the vice president was a homeless person (SDF). The rules were written by the homeless people (SDF), which were discussed for several months and amended in a general assembly before being passed unanimously.

A place had been identified in buildings scheduled for demolition by the renovation of 'Les Halles'. Meanwhile, this place had been chosen by the City in order to create a house for temporary local associations, however, thanks to the deployment of local associations and 'Les Halles' district council, priority was given to the 'Bagagerie' (Hands-free). This arrangement was made possible, among other things, the important work of communication carried out by the association 'Accomplir' (Perform), throughout the preparation and planning of the project, through its monthly newspaper, The 'Accomplir' newsletter, as well as through the contribution of SDF members ('Hands-free') at the many meetings of the local associations and neighbourhood council. The decision was approved by the Council of Paris on 12 February 2007, the agreement with effect from 1 March 2007. The layout of lockers was done with the contribution of SDF and ADF between 1 and 3 March, and lockers room (bagagerie) opened on the 5 March 2007.

Located near the Forum 'des Halles', this 'bagagerie' is deliberately located in the heart of the economic activity of the city of Paris, positioning itself as a sign of unconditional, gratuity and civic solidarity. It also has a social mediation activity with local residents by allowing homeless people to be included, recognised and therefore integrated in the society. Now, they can participate in cultural activities and festivals that take place all year, even in economic activities, since some of them through the association 'Hands-free', hire a stand on the neighbourhood's Sunday Market. It is a space of 'renaissance'.

The 'Bagagerie' is now a rehabilitation instrument. Since end of 2015, the total number of members has increased. Private sponsors give their professional and financial support to this project 'La Bagagerie'. Their role is also the social support and inclusion of the SDF people in the local community.

### **Innovative solution**

The association 'Hands-free' was designed in a spirit of partnership and solidarity between the ADF (local resident of 'Les Halle' district), the homeless people (SDF) and professional associations working for the homeless and needy people. The lockers room (bagagerie) of 'Les Halles' district innovative project is threefold:

- It offers a service that does not exist elsewhere: cloakroom open day and night, seven days a week, allowing the homeless to get rid of their particular night baggage, bulkier and stigmatizing, and indefinitely, which facilitates their integration projects by providing sustainable storage solution;
- It is carried by the ADF and in particular by local residents of the district of Les Halles and must contribute, by forging links between them and the homeless, the inclusion of these in the life of the district;
- It relies on the participation of the homeless, both the board and the daily management of the equipment, which corresponds to an ambitious implementation of aspects of Law No. 2002-2 of 2 January 2002 on user participation in the operation of social and medical and social welfare services;
- It is therefore a process of citizenship and recovery of people experiencing exclusion.

The 'bagagerie' is open day and night, every day of the year. The reception offices are managed by teams of 3 people composed of both volunteers ADF (local residents) and SDF. Similarly, the association is managed by a board of directors consisting of both SDF and ADF, former users and representatives of partner organisations and is chaired by a homeless man (SDF). This participatory operation is what makes the originality of the 'bagagerie' and contributes to its success in terms of rehabilitation.

The association 'Hands-free' supports the organisation of events such as garage sales of the Town Hall of the 2nd district (of Paris) or the lockers room of the Bal de la Bourse, which allows it to participate in financing of the luggage storage, to include the SDF in neighbourhood life and help transform the look these people and what they carry with them.

## **Gaining momentum**

This project responds to real needs for homeless people, so that they can be free to move, to travel, to enter and exit places (shops, offices, etc.) without feeling embarrassed or excluded. The ability to get rid of their belongings and feel lighter, a homeless person carrying a heavy load and sometimes exhausting but also a social weight. Walking in the streets in the centre of Paris without carrying their luggage, which irrevocably gives this impression of homeless (Walking in the streets of Paris centre) is stigmatising and gives a negative view of others. In unstable and sometimes violent world of the street, this project also appears as a place of security, that helps a homeless person to put away his/her personal belongings, and providing an opportunity to better manage his property and personal belongings in a better way. A joint appearance can be found, specifically useful for finding employment or activity that the homeless person holds or wants to undertake (or look for). All the above factors and issues have driven the development of this project.

There have been a number of drivers in this project. First, a growing number of homeless people are walking in the streets of Paris' centre, which is stigmatising and gives a negative view to visitors (tourists) in general and to local residents in particular (in the 'Les Halles' district). The number of homeless people is increasing every year and with this the number of street crime and violence was also increasing. Therefore, this was one of the main drivers of this project that was a response to real needs for homeless people in 'Les Halles' district of the centre of Paris.

Existing luggage lockers in Paris' centre do not generally welcome homeless people to use them, and are only for a limited time. This project was then a response to real needs for homeless people to have a place to keep their belongings for the day, so that they can be free to move, to travel, to enter and exit places (shops, offices etc.) without feeling embarrassed or excluded. The ability to get rid of their belongings and feel lighter, a homeless person carrying a heavy and sometimes exhausting load but also a social weight.

Therefore, the residents of 'Les Halles' district (Paris 1), were considering a solution to overcome this ongoing and growing problem in their streets. Nonetheless, there were two main barriers, including funding and location (place). But, also another problem came up during the various meetings, that is 'who is going to run the lockers room (Bagagerie)?' At the beginning it was agreed that some ADF volunteers will run the 'Bagagerie', but for the long run there will be a problem.

All the above factors and issues have driven the development of this project.

## **Complementary innovation**

As stated above, this project was born from an observation. The homeless people (SDF) are crowded and stigmatized by their luggage in the 'Les Halles district', Paris 1. Existing luggage lockers in Paris' centre do not generally welcome homeless people to use them, and are only for a limited time (3 months or 6 months maximum), and open only once or twice a week. The homeless people therefore cannot drop off all their baggage to go about their daily life and needs. In March 2007, a Luggage 'Hands-free' (lockers room) was put together for the SDF (homeless people) attending the centre of Paris, located at 15 rue Jean Lantier, in the Les Halles district (Paris 1). Named 'Bagagerie', it comprises 52 lockers where users (SDF) can put their belongings in safety as long as they need. It also offers them a reception area with hot drinks, internet access, and the ability to recharge their phones. The idea of developing this project was possible thanks to the close co-operation between SDF and local residents (ADF), as well as the support of the professional associations in the social monitoring, and also the support of the Town Hall and the City of Paris and some private sponsors.

The 'Bagagerie' opens every day, morning and evening, with a triple dimension than the ordinary Luggage Lockers. An innovative approach, by analysing needs of the users, and getting them to run it on a daily basis. The partners associations of the 'bagagerie' work together to support each other. These also demonstrate how 'hands-free' and its partners' associations, work together to enable the local innovation of this project.

The 'bagagerie' allows the discovery, of a quiet and peaceful place, by the presence its members (of the 'hands-free' association), and its societal help, by the volunteers. It is a meeting place which helps people releases their anxiety and street problems. The 'hands-free' project teams focus on the meeting through a coffee, newspapers and a computer area, to promote the link and share their problems and thoughts. This working pattern in a normed space

reliance on a large enough time window (open every day of the year from 7am to 9am and from 20h to 22h) accelerates the re-socialisation process.

This type of reception is unique in the current field of **social action**. No other places dedicated to help **excluded** people (homeless), have been able to combine the action of homeless people and volunteers for this type of reliance

Located near the Forum 'des Halles', this 'bagagerie' is deliberately located in the heart of the economic activity of the city of Paris, positioning itself as a sign of unconditional, gratuity and civic solidarity. It also has a social mediation activity with local residents by allowing homeless people to be included, recognised and therefore integrated in the society. Now, they can participate in cultural activities and festivals that take place all year, even in economic activities, since some of them through the association 'Hands-free', hire a stand on the neighbourhood Sunday Market. It is a space of 'renaissance'

### **Impact, diffusion and imitation**

The above is not only from the perspective of the service offered as the 'bagagerie' Hands-free is an innovative project, but also due to a largely self-confident management that is run mostly by its own users, i.e. the SDF (homeless people). The operation of the 'bagagerie' is indeed based on volunteerism not only ADF (local residents) volunteers but SDF (users) volunteers.

The life of the association (hands-free) is organised around the decisions taken at meetings where the right to speak and to vote is equal for all members, namely:

- Two general meetings where decisions are taken regarding the major orientations of the association. Approving the changes of internal rules vis-à-vis the problems encountered in the year. Electing representatives to the Board of Directors;
- Three meetings of members: a search for a new president, one to examine the accounts, finally one last to take stock of 3 months of management by the new team;
- Twelve boards - The role of this forum is to implement the policies decided by the general assemblies.

In addition to these places of expression, the functioning of the association requires many physical tasks, all performed by the members. The Organization of these tasks is often entrusted to officials. Sometimes they assume personally the task (maintenance, purchasing, sorting business, ICT,...); sometimes their contribution is organising the intervention by calling for volunteers (housecleaning, meal). Other activities have not identified responsible: their care is more informal and collective (including; collection, car boot sale, groups work, snack bar, ball Street Festival).

### **Role of policy**

From the start of this social innovation project, the primary role which policy actors played was the project's financing issue. However, other issues came up later including the internal rules and the daily management of the project. As mentioned above in this case report, this is due to the direct involvement of the local associations and partners of the association (Hands-free) who helped bring their expertise and professionalism. We all worked together to support each other. But also the support of professional associations in the social monitoring, and also the support of the Town Hall and the City of Paris and some private sponsors were of importance.

Therefore, the main role policy actors played in the social innovation project is to find the money to keep this project going. The second role is the making and internal rules and decisions, but the daily running and management of the project. This is an ongoing process, as this project is a very new experience and which is currently being totally run and managed by the homeless people themselves. In other words, both ADF and SDF currently contribute to the policy making of this project in terms of getting this project financed and managed on a daily basis, but also in keeping ties with the local Town Hall, the City of Paris, partner associations and the private sponsors.

## Connectivity to the practice field

This case belongs to the Poverty Reduction and Sustainable Development (PRSD) policy field of SI-DRIVE, and specifically to the one of the most representative practice fields of PRSD, i.e.: General initiatives tackling disadvantage, vulnerability and / discrimination. Focusing on people who are in a vulnerable situation, but this may also be representative practice fields of PRSD, including the followings:

Initiatives tackling loneliness and promoting community and relationship building;

- Active inclusion initiatives;
- Citizenship initiatives; and
- Community building initiatives.

Therefore, this social innovation project is a good example of the practice field in that this project was born from an observation. As mentioned in the previous sections, the homeless people (SDF) are crowded and stigmatized by their luggage. They can lose their belongings or be stolen. Existing luggage lockers in Paris' centre do not generally welcome homeless people to use them, and are only for a limited time (3 months or 6 months maximum), and open only once or twice a week. The SDF therefore cannot drop off all their baggage to go about their daily life and needs. In March 2007, a Luggage 'Hands-free' (lockers room) was built for the SDF (homeless people) attending the centre of Paris, located at 15 rue Jean Lantier, in the Les Halles district (Paris 1). Named 'Bagagerie', it comprises 52 lockers where users (SDF) can put their belongings in safety as long as they need. It also offers them a reception area with hot drinks, internet access, and the ability to recharge their phones. The idea of developing this project was possible thanks to the close co-operation between SDF and local residents, as well as the support of the professional associations in the social monitoring, and also the support of the Town Hall and the City of Paris and some private sponsors.

This project responds to real needs for homeless people, so that they can be free to move, to travel, to enter and exit places (shops, offices, etc.) without feeling embarrassed or excluded. The ability to get rid of their belongings and feel lighter, a homeless person carrying a heavy load and sometimes exhausting but also a social weight. This social and innovative project (Bagagerie) offers its users a first step towards freedom. Hands-free, gives them a breath. But it's not just the material aspect; the originality of the association is to work with the homeless people in the street: it gives them an activity, a goal, recognition, and accountability. The 'Bagagerie' is now run mostly by SDF, where for many of them, the 'Bagagerie' is a symbol that allows them to maintain a social link and ties with the local community, and to regain strength and confidence on themselves. All of which are illustrated by this project and which the PRSD policy field is attempting to promote.

## 5.4 PRACTICE FIELD CONCLUSIONS

### Demand, actors and organisation

- The basis of the displacement and refugees practice field clearly lies in the dramatic increase in migration and refugee flows over the last few years, especially into Europe but also as a broad global phenomenon, and the social needs that need to be addressed in receiving, sending and transit societies.
- Initiatives often arise from quite large volunteer activities with quite large budgets, supported by public policy, and/or strong pressure groups able to persuade governments or philanthropic organisations to fund, with local governments and civil organisations acting at local level.
- Civil society is by far the main actor, whether locally, nationally or regionally, and is much more prominent in this practice field compared to the average of all PRSD cases. In contrast, the role of private sector actors is much less important, whilst public sectors actors make up about one quarter of all actors. This configuration of actors is reflected by the numbers of regularly paid employees involved in all cases, which is very low, whilst in contrast the number of volunteers is about four times the PRSD average. The latter number is the

main reason why community capacity building cases are double the size of the PRSD average, and on a par with the income support cases.

- Cases tend to be older than the average for all PRSD cases, but many are still experimenting and their comparative impact is low. Despite their age, this probably reflects the fact that the migration and refugee issue has only in the last few years become much more prominent, with hugely increased numbers, especially in the European context although elsewhere in the world pressures have been increasing for longer.
- This has required a step-change in response, both in terms of volume but also related to new types of challenge that need tackling, such as (but not only) the threat of associated terrorism and the instigation of 'de-radicalisation' programmes in a number of European countries. This step change is reflected by the funding sources where EU, donor and crowd-funding, plus own and partner contributions, are higher than the PRSD average.

### **Development processes and dynamics**

- The cases in this practice field seem to depict very varied development histories, in stark contrast to the other two practice fields where there is much uniformity. This is perhaps due to the quite recent step-changes taking place in the displacement and refugee context in light of the migration crisis. This crisis is impacting different countries in often quite different ways, related both to their geographic positions and to their domestic policies and civil society responses. In this context, social innovation initiatives, despite having a relatively long history, are currently looking for new solutions. This is also reflected by the fact that many more initiatives than average are experimenting.
- The first trigger of many cases in this practice field is often the result of support from public policy, and/or strong pressure groups able to persuade governments or philanthropic organisations to fund, with local governments and civil organisations acting at local level. Although, the overall idea and incentives are not new, there many specific new innovations in particular contexts.
- The cases are not normally triggered by new technology more than other PRSD cases, but ICT and social media are used a great deal. There is generally only weak focus on social entrepreneurship and the social economy, but much more on the social, cultural and economic empowerment of the target group. Similarly, gender, equality and diversity issues are very important in driving these cases,.
- The local level of is often able to adopt a 'human condition' and a 'human dignity' approach, recognising unique individual attributes and needs, including the need to respect human right and local cultures. Part of this is understanding that the problems of the displaced, and of refugees in particular, mutate over time, especially in the context of wider societal development and the changing relationships which individuals have.
- Gaining momentum is exemplified in a number of ways. These include a strong vision and long-term goals, intense networking, locally, regionally and nationally , and taking a holistic people-centred as opposed to siloed approach. Being very quick to experiment and adapt is also important as challenges and opportunities change very fast, whilst also deploying democratic processes for advancing the interests and rights of the beneficiaries through advocacy, dialogue and networking
- Complementary innovations are also important, and are typically based on tailoring the innovation as precisely as possible to local acceptance or otherwise of multi-culturalism and outsiders, as part of a mature functioning network linking into wider policies and programmes. It is also important to undertake highly adaptable organisational innovations to meet fast changing needs, as well as to innovate in simple, cheap but powerful ICT and social media applications

### **Success factors and impacts**

- Success factors show the importance of individuals and groups working closely together and building strong local, national and international networks, including with public bodies and linking to policy programmes.



Given the need for significant funding, it is necessary to find good and consistent sources, either from public bodies or philanthropic and other funders. Despite the high demand, it can also sometimes be difficult to identify and engage with the displaced and refugees, for example because of uncertainty, lack of identity, language and cultural issues and the possibility of negative backlashes from elements in society.

- In terms of impacts, cases in this practice field generally exhibit low overall transfer success compared to the PRSD average, probably because on-the-ground challenges are so distinct and complex, and that in the last few years there has been a dramatic rise in the need for social innovations in this area that just keeping up in situ is difficult. However, within a specific national context with the same prevailing policies, programmes and regulations, there has been good transfer, as well as relatively good transfer internationally. Such transfer has tended to take place, not so much through the efforts of existing actors, perhaps because of the pressures during displacement and refugee crises, but more by external actors within their networks and further afield.

### **Mechanisms of social change**

- The displacement and refugees cases show quite variable learning features which perhaps reflects their often very different development histories and trajectories and the importance of local and contextual conditions in this very rapidly changing field. There is sometimes a tension between **learning** and new knowledge need to successfully address the quickly changing situation and new challenges as they arise, on the one hand, and the need for some policy and regulatory controls in this often controversial area, on the other. Empowerment and capacity building are in practice very important features of displacement and refugees cases, though are not always a main goal given the need when there is a crisis to focus on basic human needs like accommodation, sustenance, security, and similar. But they can imbibe both new knowledge for the beneficiaries as well as learning for the initiative. This recognition, even in difficult and fast changing situations is a crucial part of learning.
- **Variation** is also a critical characteristic of the displacement and refugees practice field reflecting its very widespread nature across all geographic and cultural contexts, and is just as often informal as formal. There are generally high levels of innovation derived from varied value and belief systems, as well as via different political, religious, cultural and behavioural contexts.
- Given, on the one hand, quite similar societal challenges derived from the displacement and refugee context, but a great deal of contextual variety and different innovation responses on the ground, the **selection**, adoption, diffusion and imitation of solutions is highly variable. This is also reflected in the very different case development histories and trajectories. The types of growth, decline and death of innovations is often highly dependent on national and local political changes that can affect the continuity of existing government programs, and even block or make the action. It is also dependent on the changing circumstances of displacement events.
- Given the variety of on-the-ground implementations, and the fast changing challenges, **conflicts** arise in a number of cases, for different reasons and with different outcomes. Conflicts potentially arise both from tensions between displaced persons and the host societies, and are also one of the drivers of displacement in the countries of origin. In this sense, conflict is thus always a barrier to successful social innovations which needs to respond to it, rather than a driver and incentiviser, but it can thus be a strong mechanism of social change.
- **Competition** can be an important driver of better solutions and thus of social change, especially when experienced as testing and validating alternative approaches. However, competition does not necessarily lead to a competitive advantage, and it would be better in many circumstances to align the requirements of different solutions in order not to create bias in the services offered and confusion regarding appropriate responses. Although competition can lead to quality improvements in initiatives, in some crisis situations the need is for speed, simplification and cost reduction to meet often huge challenges. Competition thus perhaps plays a more constructive role after such crisis situations are passed.

- **Cooperation** is a very important feature of all displacement and refugee cases, especially through both informal and formal networks operating at many levels. Cooperation seems to be especially valuable with links between levels in the same location, as well as with other locations, as well as with professional organisations providing specialist help and advice, also internationally. Higher level networks tend to provide funding and political support, while local networks can facilitate trust from the community. Reputation and trust are central, considering the kind of services offered in this field. Social movements are also important in this practice field as they can nurture initiatives, and provide support and the cement to embed the sometimes controversial and difficult activities. Charismatic leadership has no importance in the practice field.
- **Tensions and adaptation** typically arise from conflict and, as noted above, there are potential tensions both between displaced persons and the host or transit societies, as well as being one of the drivers of displacement in the countries of origin. These tensions are highly variable between cases and depend greatly on the particular context, how the actors perform in that context, and the changes in the broader environment, whether these are political, social, economic or cultural. There is no tension resulting from the introduction of new technology, and in fact it has been very useful in some cases.
- As mentioned above, cases in this practice field generally exhibit low overall **diffusion** compared to the PRSD average, probably because on-the-ground challenges are so distinct and complex, and that in the last few years there has been a dramatic rise in the need for social innovations in this area that just keeping up in situ is difficult. However, within a specific national context with the same prevailing policies, programmes and regulations, there has been good transfer, as well as relatively good transfer internationally. Such transfer has tended to take place, not so much through the efforts of existing actors, perhaps because of the pressures during displacement and refugee crises, but more by external actors within their networks and further afield. Necessary actions include ensuring a relatively benign location not in an area of tension, the need to institutionalise the activity both locally and nationally, integrate into other local and national policies, and connect to well functioning networks. The role of technology, as mentioned above, has also had some but not great importance in assisting dissemination. Complementary innovations for diffusion include organisational innovations working with community, local and national institutions and partners, and including local social leaders especially when these themselves had also suffered from displacement in the past including social exclusion and extreme poverty.
- **Planning and institutionalisation of change**, Social change in this practice field has mostly been strongly supported by conducive public policy backing (at different levels) and often large philanthropic and non-profit funding. Civil society is by far the main actor and instigator, whether locally, nationally or regionally, and is much more prominent in this practice field compared to the average of all PRSD cases. This is complemented by large a public sector backing and financing role, but a meagre presence of private sector actors. The public policy goal is to address both ongoing displacement and refugee challenges whether domestically or externally generated. It is important that the government and public policy recognise that the challenge exists and that they need to act. It is also clear that strong links and complementarity between national and local policy and regulation is very important. Furthermore, the legal basis can be highly supportive but not always necessary for entirely voluntary and self-financing initiatives, although its absence does put them at a disadvantage. An essential ingredient of policy is to institutionalise the innovation at the most relevant governance level, as well as in the ways of working and thinking of actors at different levels, thereby resulting in significant social changes for the long term.

## 6 SUMMARY AND CONCLUSIONS FOR THE POLICY FIELD

This section provides a summary and conclusions for the policy field poverty reduction and sustainable development (PRSD). It has four sub-sections:

1. Comparing and synthesising the practice fields: organisation, process and impact
2. Comparing and synthesising the practice fields: mechanisms of social change
3. Tentative conclusions about the practice fields and the policy field
4. Recommendations

Based on the evidence provided in this report, the first two sub-sections contrast and compare the three practice fields, drawing out both their individual distinctive features as well as providing a synthesis contributing to a better understanding of how social innovation supports PRSD. Drawing on the first two, the third sub-section provides a synthesis in the form of the strategic implications for social innovation in support of PRSD, whilst the fourth sub-section presents some immediate general recommendations as well as for policy makers arising from these.

Note: in this section the following abbreviations and shortenings are used to ease reading:

- Practice field: PF
- Income support: income; community capacity building: community; and displacement and refugees: displacement
- Poverty reduction and sustainable development: PRSD.

### 6.1 COMPARING AND SYNTHESISING THE PRACTICE FIELDS: ORGANISATION, PROCESS AND IMPACT

This report has examined three PFs consisting of 13 case studies. At both the case and the PF level the report has analysed three sets of issues:

- Social needs demand, actors and organisation
- Development processes and dynamics
- Success factors and impacts

Each of these is analysed and synthesised in the following.

#### 6.1.1 Social needs demand, actors and organisation

**Table 6** summarises the three PFs across these issues and points to clear differences between them as well as commonalities. In terms of the social needs addressed the differences arise from the focus of the PF. Income support has a economic focus, community a social focus and displacement a focus on people in distress. All are also cross-cutting in the sense that these foci are not narrow but also inter-disciplinary. In terms of societal level all three PFs address social demand and systemic change but much less societal challenges. This probably reflects the fact that cases mainly show both strong top-down push coupled and balanced with strong bottom-up localisation and implementation, each fulfilling unique and complementary roles. This is also reflected in each PF by a synergistic balance between the large scale and the small scale and how the two can successfully operate together. This seems to

arise both as a highly localised social need affecting the demand of specific groups of people, and at the other end of the scale, is often driven by the policy intent to effect a more systemic change across society as a whole, without which most such local and specific needs will continue to arise.

**Table 6: Social needs demand, actors and organization: comparing practice fields**

Demand, actors & organisation	Income support	Community capacity building	Displacement and refugees
Social needs addressed	Low or lack of income and other financial challenges, such as difficulty in accessing loans and credit, the need for financial and economic enhancement, including income supplements and financial safety nets.	A general lack of social development, increasingly as a component of economic development, and often combined with cultural tensions and poor manmade and natural environments, acutely felt at the community level but also requiring change at the macro level.	The dramatic increase in migration and refugee flows over the last few years, especially into Europe but also as a broad global phenomenon, and the social needs in receiving, sending and transit societies.
Societal level (cf. average)	<ul style="list-style-type: none"> <li>• Social demand: very high</li> <li>• Societal challenge: below</li> <li>• Systemic change: above</li> </ul>	<ul style="list-style-type: none"> <li>• Social demand: high</li> <li>• Societal challenge: below</li> <li>• Systemic change: high</li> </ul>	<ul style="list-style-type: none"> <li>• Social demand: above</li> <li>• Societal challenge: below</li> <li>• Systemic change: above</li> </ul>
Project stage (cf average)	<ul style="list-style-type: none"> <li>• Invention: par</li> <li>• Implementation: very high</li> <li>• Impact: low</li> </ul>	<ul style="list-style-type: none"> <li>• Invention: par</li> <li>• Implementation: par</li> <li>• Impact: par</li> </ul>	<ul style="list-style-type: none"> <li>• Invention: very high</li> <li>• Implementation: very low</li> <li>• Impact: low</li> </ul>
Actors/sectors (cf. average)	<ul style="list-style-type: none"> <li>• Public: par</li> <li>• Private: high</li> <li>• Civil: low</li> </ul>	<ul style="list-style-type: none"> <li>• Public: par</li> <li>• Private: low</li> <li>• Civil: very high</li> </ul>	<ul style="list-style-type: none"> <li>• Public: high</li> <li>• Private: very low</li> <li>• Civil very high</li> </ul>
People (cf. average)	<ul style="list-style-type: none"> <li>• 6 times average regularly paid employees</li> <li>• One seventh average volunteers</li> <li>• 3 times average total number</li> </ul>	<ul style="list-style-type: none"> <li>• Below average regularly paid employees</li> <li>• 5 times average volunteers</li> <li>• 3 times average total number</li> </ul>	<ul style="list-style-type: none"> <li>• One hundredth average regularly paid employees</li> <li>• 4 times average volunteers</li> <li>• 2 times average total number</li> </ul>
Project age (cf. average)	12 years: above average	13 years: above average	14 years: above average
Budget (cf. average)	<ul style="list-style-type: none"> <li>• &lt;€10,000 pa: low</li> <li>• €10,000 to €5m pa: par</li> <li>• &gt; €5m pa: very high</li> <li>• Tend to be very large budgets</li> </ul>	<ul style="list-style-type: none"> <li>• &lt;10,000 pa: par</li> <li>• €10,000 to €5m pa: par</li> <li>• &gt; €5m pa: very low</li> <li>• Tend to be on par budgets</li> </ul>	<ul style="list-style-type: none"> <li>• &lt;€10,000 pa: low</li> <li>• €10,000 to €5m pa: high</li> <li>• €5m pa: low</li> <li>• Tend to be quite large budgets</li> </ul>
Funding sources (cf. average)	<ul style="list-style-type: none"> <li>• Own and partner contributions: low</li> <li>• National &amp; regional funding: high</li> <li>• Donors: high</li> <li>• Sale products/services: high</li> <li>• Individuals &amp; companies: low</li> </ul>	<ul style="list-style-type: none"> <li>• EU funding: high</li> <li>• Donors: high</li> <li>• Sale products/services: high</li> <li>• Companies, crowd-funding, participation fees: low</li> </ul>	<ul style="list-style-type: none"> <li>• Own and partner contributions: high</li> <li>• EU funding: high</li> <li>• Donors: high</li> <li>• Capital, individuals &amp; companies: low</li> <li>• Crowd-funding: high</li> </ul>
Synopsis	Typically very large paid staff initiatives with large budgets, driven by strong public policy, large philanthropic & private funding at national level, with civil organisations & SMEs at local level, often only at implementation stage.	Typically very large volunteer initiatives with limited budgets, driven by strong public policy, and/or strong pressure groups able to persuade governments or philanthropic organisations to fund, with civil organisations & SMEs at local level, often reaching impact stage	Typically quite large volunteer initiatives with quite large budgets, supported by public policy, and/or strong pressure groups able to persuade governments or philanthropic organisations to fund, with local governments & civil organisations acting at local level, many still at invention stage

The main project stage across the PFs show variations, with the impact stage generally lower than the PRSD average except in the community PF where it is on par. The income PF is more likely than average to be at the implementation stage probably due to their large scale with many actors and the need to secure high levels of finance, whilst the displacement PF is more likely to be at the invention and testing stage than average probably because of the rapidly changing nature of these cases and the very recent upsurge in migration. It should be noted, however, that these remarks are in relation to all 179 PRSD cases where the impact stage is by far the most common at 70% of all cases, as it is also for the two below average PFs where it is about 55%, i.e. still the most common stage by far

Looking at actors, in most cases civil society takes the lead, although less so in the income PF, whilst the public sector is always important, with private sector actors playing a minor role except in the income practice field. This is also reflected by the number of people active in cases, i.e. all PFs have much higher than average total numbers, probably because of their comprehensive cross-cutting roles compared with many other PPs which are more focused (see section 2.2.2). The income PF has the highest budgets, and makes much more use by far of regularly paid employees, given that much activity is undertaken by public organisations. Unlike the income PF, both the community and displacement PFs are marked by very high numbers of volunteers which matches their focus areas and their organisations. These size observations are underpinned by the budgets deployed. The income and displacement PFs are both marked by very large budgets compared with the PRSD average, reflecting their need for large financial inputs from both public and philanthropic donors as well as own and partner contributions, whilst cases in the community PF tend to have budgets similar to most other PRSD initiatives. No PFs have significant funding from individuals or companies.

### 6.1.2 Development processes and dynamics

**Table 7** summarises the three PFs across these issues and points to clear differences between them as well as commonalities. Examining the case biographies and development paths of the three PFs, quite marked distinctive features are observed. Being relatively large scale, the income PF is characterised by relatively smooth growth trajectories being supported as it is by large public and donor funding. In contrast, cases in the community PF tend to go through two stages interrupted by political and/or financial crises which are, however, subsequently overcome. Again somewhat distinctly, the displacement PF shows much variation with no clear pattern, perhaps because of their rapidly changing individual situations and very recent new challenges.

In terms of what first triggers a case, all three PFs are either strongly policy driven or policy supported. Cases in the income PF tend not in themselves to be new ideas but rather tend to copy and apply social innovations from elsewhere with much local adaption. In contrast the community PF is more likely to be a new idea and this is even more so in the displacement PF. No cases are triggered by new technology, but instead arise from social demand, and in the case of the displacement PF, from social grass root movements which are more important here than in the other two PFs which are traditionally more institutionally rooted.

In terms of how the cases gain momentum, all PFs are highly reliant on a combination of strong vision and long-term goals, as well as intense networking at different levels. This is clearly necessary to make such cases successful given their very large sizes, people and budgets compared to the PRSD average. Also extremely important across all three PFs is taking a holistic people-centred approach, and all also use democratic processes for advancing the interests and rights of the beneficiaries through advocacy, dialogue and networking. These are clearly important in light of the relatively comprehensive cross-cutting nature of most cases. There are also some differences, such as both the income and community PFs are developing new business models, whilst many displacement cases do not seem to have reached the implementation and impact stages to the same extent so, as yet, perhaps do not have the experience to do this. In contrast they have prioritised the ability to be very quick to experiment and adapt as challenges and opportunities change very fast. Both the income and community PFs have had success in mainstreaming and institutionalisation, as well as changing political dialogue, in order to move from a 'needs-based' to a 'rights-based' framework. This is seen as important in putting a duty on governments to tackle poverty, disadvantage and marginalisation by institutionalising this rather than seeing this simply as something nice to do.

These traits are reflected in the innovative character of each PF. Common across all three PFs is the importance of taking a human condition and human dignity stance, which is especially important in the context of poor, disadvantaged and often marginalised people, though is of course also a characteristic of many other types of social innovation. Focusing on the unique and grounded, all-life and multiple needs of a given individual, seems to be a hallmark of PRSD cases.

The themes the different PFs focus on also reveal some differences and commonalities. ICT and social media are not important in the income and community PFs but are of very high importance in the displacement PF given the value of these technologies to register, track and trace displaced people, and their use by such people to navigate and obtain information. The social economy is high in both the income and community PFs where the beneficiaries are relatively stable and socio-economic development makes sense, whilst the opposite is the case with the displacement PF. Gender, equality and diversity are high priorities in the community and displacement PFs, which clearly arises from

their overall areas of focus, and although these issues seem to be less important in the income PF, many cases do take significant account of them at the grassroots level. The Income PF focuses, as would be expected, on 'scarcity' issues,, especially the lack of financial, but also other, assets.

**Table 7: Development processes and dynamics: comparing practice fields**

Development processes & dynamics	Income support	Community capacity building	Displacement and refugees
Case biography: development path	Continuous, fairly smooth upward growth path, without any retrenchment/crisis -- supported by large stable government/private funding	Two main stages separated by retrenchment/ crisis due to financial/political problems -- mainly not supported by domestic governments	Very varied between and within cases, perhaps due to quite recent step-changes taking place in the displacement and refugee context in light of the migration crisis
First trigger	<ul style="list-style-type: none"> <li>• Policy driven</li> <li>• Not new idea</li> <li>• Not tech trigger</li> </ul>	<ul style="list-style-type: none"> <li>• Policy driven</li> <li>• Response to social demand</li> <li>• Not a social movement</li> </ul>	<ul style="list-style-type: none"> <li>• Response to social movement</li> <li>• Policy supported</li> <li>• Often new idea</li> <li>• Not tech trigger</li> </ul>
Gaining momentum	<ul style="list-style-type: none"> <li>• Strong vision and long-term goals, intense networking, locally, nationally &amp; internationally</li> <li>• Taking a holistic people-centred as opposed to siloed approach</li> <li>• Adapting the business model</li> <li>• Deploying democratic processes for advancing the interests and rights of the beneficiaries through advocacy, dialogue and networking</li> <li>• Learning from failure as well as success</li> <li>• Success in mainstreaming and institutionalisation and in changing political dialogue from a 'needs-based' to a 'rights-based' framework</li> </ul>	<ul style="list-style-type: none"> <li>• Strong vision and long-term goals, intense networking, locally, nationally &amp; internationally</li> <li>• Taking a holistic people-centred as opposed to siloed approach</li> <li>• Adapting the business model</li> <li>• Deploying democratic processes for advancing the interests and rights of the beneficiaries through advocacy, dialogue and networking</li> <li>• Success in mainstreaming and institutionalisation and in changing political dialogue from a 'needs-based' to a 'rights-based' framework</li> </ul>	<ul style="list-style-type: none"> <li>• Strong vision and long-term goals, intense networking, locally, regionally &amp; nationally</li> <li>• Taking a holistic people-centred as opposed to siloed approach</li> <li>• Being very quick to experiment and adapt as challenges &amp; opportunities change very fast</li> <li>• Deploying democratic processes for advancing the interests and rights of the beneficiaries through advocacy, dialogue and networking</li> </ul>
Innovative character (cf. average)	<ul style="list-style-type: none"> <li>• High adoption from others</li> <li>• Low originality</li> <li>• The human condition and human dignity.</li> </ul>	<ul style="list-style-type: none"> <li>• High originality</li> <li>• The human condition and human dignity</li> </ul>	<ul style="list-style-type: none"> <li>• High originality</li> <li>• High adoption &amp; adaption from others</li> <li>• The human condition and human dignity</li> </ul>
Cross cutting themes (cf. average)	<ul style="list-style-type: none"> <li>• ICT &amp; social media: low</li> <li>• Social economy: high</li> <li>• Gender, equality, diversity: low</li> <li>• Empowerment: par</li> <li>• Human resources: par</li> <li>• Governance: par</li> <li>• Focus on 'scarcity' of (especially) financial resources assets</li> </ul>	<ul style="list-style-type: none"> <li>• ICT &amp; social media: low</li> <li>• Social economy: high</li> <li>• Gender, equality, diversity: very high</li> <li>• Empowerment: very high</li> <li>• Human resources: very high</li> <li>• Governance: high</li> </ul>	<ul style="list-style-type: none"> <li>• ICT &amp; social media: very high</li> <li>• Social economy: very low</li> <li>• Gender, equality, diversity: high</li> <li>• Empowerment: very high</li> <li>• Human resources: low</li> <li>• Governance: par</li> </ul>

### 6.1.3 Success factors and impacts

Table 8 summarises the three PFs across these issues and points to clear differences between them as well as commonalities. Given that all three PFs consist of the relatively large, well-staffed and budgeted cases, finance is clearly the most important success factor and underpins them all. Other factors do, however, vary across the PFs. For the income PF, success is highly dependent on governance, politics and regulation, perhaps because the public sector tends to be the main actor but also often works with and through the private sector so that good governance is necessary. There is high demand for this PF, but it is less dependent on the roles of individuals groups and networks compared with other PRSD cases although these are still very important. In contrast, the community and displacement

PFs are more than average dependent on these roles, as well as on solidarity, both of which reflect their more bottom-up and grassroots nature compared to the income PF.

**Table 8: Success factors and impacts: comparing practice fields**

Success factors & impacts	Income support	Community capacity building	Displacement and refugees
Success factor: exploiting drivers	<ul style="list-style-type: none"> <li>• Finance</li> <li>• Governance, politics, regulation</li> <li>• Less dependent on individuals, networks, groups</li> <li>• High demand</li> </ul>	<ul style="list-style-type: none"> <li>• Finance</li> <li>• Individuals, networks, groups</li> <li>• Local solidarity but not with elsewhere</li> <li>• High demand</li> </ul>	<ul style="list-style-type: none"> <li>• Finance</li> <li>• Individuals, networks, groups</li> <li>• Solidarity with elsewhere</li> </ul>
Success factor: overcoming barriers	<ul style="list-style-type: none"> <li>• Funding challenges</li> <li>• Lack of personnel</li> <li>• Legal restrictions</li> <li>• Lack of media coverage</li> </ul>	<ul style="list-style-type: none"> <li>• Significant funding challenges</li> <li>• Lack of personnel</li> <li>• Legal restrictions</li> <li>• Lack of institutional access</li> <li>• Political opposition</li> </ul>	<ul style="list-style-type: none"> <li>• Significant funding challenges</li> <li>• Despite demand, difficult to get participants</li> <li>• Competitors</li> </ul>
Transfer to where (cf average)	<ul style="list-style-type: none"> <li>• High overall transfer</li> <li>• High regional &amp; national transfer</li> </ul>	<ul style="list-style-type: none"> <li>• High overall transfer</li> <li>• Very high local &amp; regional transfer</li> <li>• Very high international transfer</li> </ul>	<ul style="list-style-type: none"> <li>• Low transfer locally &amp; regionally</li> <li>• Relatively high national &amp; international transfer</li> </ul>
Transfer by whom (cf. average)	Same as average, i.e. mainly by partners, some externals, some users	<ul style="list-style-type: none"> <li>• High by partners</li> <li>• High by externals</li> <li>• High by users</li> </ul>	<ul style="list-style-type: none"> <li>• Low by partners</li> <li>• High by externals</li> <li>• Very low by users</li> </ul>
Scaling (cf. average)	<ul style="list-style-type: none"> <li>• High networking</li> <li>• High institutionalisation</li> </ul>	<ul style="list-style-type: none"> <li>• Very high organisational growth</li> <li>• Very high networking</li> <li>• Very high through other policy areas</li> <li>• Very high Imitation</li> <li>• Multipliers</li> <li>• Very high franchising</li> <li>• Institutionalisation</li> </ul>	<ul style="list-style-type: none"> <li>• Increasing target group reach</li> <li>• Organisational growth</li> <li>• Very high networking</li> <li>• Through other policy areas</li> <li>• Imitation</li> <li>• Very high multipliers</li> <li>• Differentiation</li> <li>• Very high institutionalisation</li> </ul>

Looking at barriers to success, these to some extent mirror the success factors, for example lack of finance is the most important across all three PFs. For both the income and community PFs, both lack of suitable personnel and legal restrictions are barriers, reflecting perhaps that they tend to deploy more people and are more reliant on longer term governance support than the displacement PF. The community PF, however, has specific problems with lack of institutional access and political opposition, both of which, despite their reliance on governments, reflects their greater civil society and bottom-up nature compared to the income PF.

Both the income and community PFs exhibit very high transfer success to other locations reflecting perhaps their more stable longer-term nature compared with the displacement PF. In the case of the income PF, transfer is high regionally and nationally, probably because it is very dependent on policy and regulation within a single governance framework. The community PF, in contrast, has very high local transfer (i.e. nearby) and international transfer (i.e. beyond political borders). This is presumably due, respectively, to the local community based nature of the PF, and to the lower reliance on domestic governments, and indeed sometimes political opposition from them, so that such good innovations tend to be channelled more internationally. The displacement PF seems more singular, having relatively low local and regional transfer, but higher national and international transfer success. This would reflect this PF's particularly high locational sensitivity, and the challenge of finding suitable locations where there is little or no local opposition to what is sometimes a highly controversial activity. These observations are reflected in terms of who is undertaking innovation transfer, so that the income and community PFs tend to transfer through case partners and through users, again given their more stable longer-term nature, compared to the displacement PF with its highly locationally sensitive character. On the other hand, the community and displacement PFs use externals a great deal, probably given that their governance frameworks tend to be more open and less constrained than the income PF.

In terms of scaling, i.e. growing the innovation as an organisational entity as opposed to transferring the innovation elsewhere, all PFs rely on high or very high institutionalisation. All PFs also rely on high networking, but the community and displacement PFs much more so. Similarly, these two PFs rely much more on in situ organisational

growth, in situ imitation and on expanding into other policy areas in their current location, being more locationally sensitive than the income PF.

## 6.2 COMPARING AND SYNTHESISING THE PRACTICE FIELDS: MECHANISMS OF SOCIAL CHANGE

This report has examined three practice fields consisting of 13 case studies. At both the case and the practice field level the report has analysed the mechanisms of social change (for definitions and explanations see Annex). These are analysed and synthesised in the following.

An important focus of SI-DRIVE's work and of this report is the role social innovation takes, or could take, in contributing to beneficial social change. The mechanisms of social change examined are derived from earlier research (see Annex) and these are investigated in the following in relation to how social innovation uses, reflects and/or contributes to them. Additionally, there may be other mechanisms arising from the evidence in this report that need to be highlighted.

For the purposes of analysis, the mechanisms of social change are divided into three groups:

- Input and process mechanisms -- these consist of the inputs and basic processes social innovation needs to effect social change: learning, variation and selection
- Driver mechanisms -- these consist of the drivers social innovation needs to effect social change: conflict, competition, cooperation and tension
- Outcome mechanisms -- these consist of the outcomes social innovation needs to effect social change: diffusion, complementary innovation, planning and institutional change

Each of these is analysed and synthesised in the following.

### 6.2.1 Input and process mechanisms

Table 9 summarises the input and process mechanisms adopted by the cases in the three PFs, and points to clear differences and commonalities between them.

#### Learning

Mechanisms of learning concern the development of new learning processes for the acquisition of new knowledge and lessons concerning how to use social innovation to effect social change, as well as highlighting the mechanisms of social change themselves. This also involves the absorptive capacity of actors and the extent to which they are empowered and their capacity is built. There are clear contrasts between the three PFs:

- Income PF: tends to deploy learning within a top-down framework mechanism but which is also receptive to bottom up learning and its transmission throughout the system to other areas and levels. This is a well functioning system but relatively regulated and systematised which has both benefits, such as the quick and efficient transmission of knowledge, as well as possible disadvantages, such as possibly being less receptive to different or external ideas and findings, making it more difficult to learn beyond the framework. Bottom-up activity, being furthest from the centre, does create a lot of local empowerment and capacity building for both beneficiaries and other actors.
- Community PF: is in contrast a much more bottom-up and open mechanism, so may lack some learning impact on a more systematic broader scale, though has the advantage of being more amenable to lessons from the ground which can be used in situ more rapidly as well as more easily and flexibly adapted elsewhere. Given this micro focus, empowerment and capacity building are central tenets which are well geared to increasing the agency of the beneficiaries.



- Displacement PF: as noted above, learning and knowledge generation, as well as empowerment and capacity building, are highly variable depending on the particular case, its context and specific challenge. This can lead to learning tensions, which might both inhibit innovation by blocking opportunities, but might also stimulate fresh thinking. This is compounded by fast changing situations, but does mean that successful cases (as are those analysed in this report) are able to generate and apply 'learning on the go'.

**Table 9: Input and process mechanisms: learning, variation and selection**

<b>Mechanisms of social change (1)</b>	<b>Income support</b>	<b>Community capacity building</b>	<b>Displacement and refugees</b>
Learning	Many approaches are quite top-down standard models, so learning is not often a top formal priority, but is important at local level and this can work well and be transmitted through the system to other areas and up the levels. Much activity in practice is creating empowerment and capacity building at the micro level.	Learning is a central and main goal at the implementation level but which also feeds into the public policy level, although is not always transformational here. Learning also happens between places and organisations as well as in situ. Empowerment and capacity building have the main aim to develop the agency of beneficiaries as well as create new knowledge and learning for the initiative.	Quite variable learning features reflecting the different development trajectories and importance of local and contextual conditions in rapidly changing field. There can be tension between learning and fast changing situations on one hand, and need for some policy and regulation on other. Empowerment and capacity building are important but not always a main aim during fast changes.
Variation	Variation is of high importance, implemented in many contexts, cultural and behavioural adaptation, also responding to many local variations, despite often top-down implementation frameworks.	Variation is a critical issue reflecting all geographic and cultural contexts, value and belief systems. Generally high levels of innovation from variable religious, cultural and behavioural contexts.	Variation is a critical characteristic reflecting all geographic and cultural contexts, and is just as often informal as formal. Generally high levels of innovation from varied values, beliefs and different political, religious, cultural and behavioural contexts.
Selection	Selection is critical for applying models in practice, so a wide variety is shown. This is enabled by strong top-down political and financial frameworks providing relatively stable conditions for locally adapted adoption, diffusion and imitation processes. Decline and death of an initiative only normally happens when implemented in unsuitable contexts.	Given the huge variety in local communities noted, the processes of selection, adoption, diffusion and imitation reflect this. This includes copying and imitation, particularly within similar socio-economic and cultural contexts, as well as highly specific and significant adaptations in others. Processes of innovation growth, decline and death also reflect this variety.	The overall challenge of displacement is similar, but there is great contextual variety and different processes of selection, adoption, diffusion and imitation on the ground. This is also reflected in the very different case development trajectories. So, growth, decline and death of innovations is often highly dependent on national and local political changes, as well as on the changing circumstances of displacement events.

## Variation

The mechanism of variation involves innovation from difference and diversity, both tangible as different projects and resources and intangible as different beliefs, cultures, attitudes and behaviours. The type and scope of this diversity can help determine whether innovation is incremental and/or more radical. There are clear similarities across the PFs, for example all three are dependent on high levels of variation implemented in a large variety of contexts. There are also clear contrasts between the three PFs:

- Income PF: tends to be more formal and tangible types of variation, given the more systematised framework in which it operates, such as through and within ministries as well as large national level NGOs, where incremental innovation is more likely, such as improving existing models.
- Community PF: tends to be combinations of both formal and tangible variations (related to the importance of public bodies and public policies), together with more informal and intangible variations at the community and small NGO level. The latter can lead to more radical innovations from the grassroots that take a long time to transmit but which can have quite transformational impacts over the long term.

- Displacement PF: is similar to the community PF, but also requires that the innovations be implemented and have effect more quickly given the rapidly changing contexts and challenges it confronts. This can lead to tension between the variable elements, which might inhibit innovation by blocking opportunities, but also can lead to radical innovations. The result might be highly variable variation as 'variation on the go'.

The mechanism of selection concerns the innovation processes of adoption, diffusion and imitation, including how these processes delineate the growth, decline and death of initiatives. There are clear similarities as well as contrasts between the three PFs:

- Income PF: tends to involve more formal and structured processes designed to respond to and deliver policy programmes under relatively stable conditions. Thus decline and death might be either determined more by policy change than real experienced need and impact, or by implementation errors, which the system might then attempt to correct.
- Community PF: tends to be combinations of both formal and more informal selection processes, the former coming from more ingrained but stable public bodies and public policies, and the latter determined more by local community processes, preferences and traditional ways of operating. These two sets of processes can both work together if operating within the same culture, or be in conflict if the cultures are different. Moreover, both can be challenged, overlain and/or side-lined by other more radical processes introduced by an outside innovator.
- Displacement PF: is similar to the community PF, but again processes are likely to be put in place and changed much more quickly and in relatively unstable conditions given the rapidly changing contexts and challenges it confronts. This can lead to tension between the variable elements, which might inhibit innovation by blocking opportunities, but also can lead to radical innovations. The result might be 'selection on the go'.

### 6.2.2 Driver mechanisms

Table 10 summarises the driver mechanisms adopted by the cases in the three PFs, and points to clear differences and commonalities between them.

#### Conflict

Conflict mechanisms can be basic drivers of social change, for example between groups, interests, places, etc. The struggle between these can lead to new social practices. There are clear contrasts between the three PFs:

- Income PF: shows no significant conflicts in this relatively stable, well-regulated framework. However, seemingly minor conflicts can be important in the short term and their outcome in the longer term can determine the course and outcome of the innovation.
- Community PF: given the mixed formal-informal nature of this PF, the importance of conflicts often depends on whether it emanates externally (more formal, perhaps top-down and significant) or internally (more informal, perhaps bottom-up and less significant).
- Displacement PF: in the rapidly changing contexts and challenges it confronts, conflicts tends to be more serious given that even small ones can tip an unstable arrangement, either leading to more and better innovation or curtailing innovation altogether, at least in the short term.

**Table 10: Driver mechanisms: conflict, competition, cooperation and tension**

Mechanisms of social change (2)	Income support	Community capacity building	Displacement and refugees
Conflict	No experience of significant conflict illustrated by their relatively smooth upward growth paths. There are minor conflicts, related to lack of trust between poor people and the government providing income support. Also between new providers who wish to usurp the role of incumbents providing financial services, like banks or loan sharks which can sideline inflexible or even corrupt systems.	The importance of conflict depends on whether it is internal to the case or affecting the case from the outside. When internal, conflicts are relatively unimportant, without causing any major or long lasting problems. However, when external, conflict tends to be much more important requiring flexibility and dynamism in response to continue its success and overall development.	Conflicts arise both from tensions between displaced persons and the host societies, and are also one of the drivers of displacement in the origin countries. In this sense conflict is a barrier rather than driver or incentiviser, but can thus be a strong mechanism of social change. Conflict also arises from the fast changing situations which can also be controversial in some contexts.
Tension & adaptation	Tensions and adaption typically arise from conflict so serious tensions have not arisen. Minor tensions arise from lack of trust between poor people and the government, and between new financial providers and incumbents, like banks or loan sharks and can help usurp inflexible or even corrupt systems, Neither is there any tension resulting from the introduction of new technology.	Tensions and adaption typically arise from conflict so that tensions do not seem to have arisen. Minor tensions internal to the case are relatively unimportant, but when external can be more important requiring flexibility and dynamism. Neither is there any tension resulting from the introduction of new technology.	Tensions and adaptations occur both between displaced persons and the host or transit societies, as well as being a driver of displacement. Tensions are variable between cases and depend greatly on the context, how actors perform and changes in the broader environment, whether political, social, economic or cultural. There is no tension resulting from new technology, which has been very useful in some cases.
Competition	Little evidence of significant competition but all cases are in different ways successfully assisting their beneficiaries to become entrepreneurial and participate in local markets as a means of boosting their incomes. Competition between new providers and incumbents providing financial services, like banks or loan sharks, can be beneficial when the former are able to usurp the roles of the latter.	Little evidence of significant competition given all cases see collaboration and cooperation as much more important. Where competition arises it operates mainly in local, markets, and leads to innovations and growth which can help in poverty alleviation, capacity building and in the empowerment of poor and marginalized communities.	Competition can drive better solutions to test alternative approaches, but does not necessarily lead to a competitive advantage, and it might be better to align the requirements of solutions so not to create bias and confusion. Can also lead to quality improvements, but during the crisis there is a need is for speed, simplification and cost reduction. Competition thus perhaps plays a more constructive role after such crisis situations.
Cooperation	Cooperation is very important, especially through networks at different levels, nationally and locally operating across multiple actors and linking these together, also for cooperation between professionals, e.g. on technical issues, financial systems, training and pooling resources and knowledge. Inspirational leadership is more important than charismatic as the latter can lead to closed thinking and problems when the leader departs.	Cooperation builds trust and reliable networks inside and outside the community for the implementation and diffusion of the initiative. It builds professional, peer and trust networks for developing and sharing new ideas, keeping up with recent developments and learning methods. External networks are conduits for knowledge transfer. Inspirational leadership is more important than charismatic as the latter can lead to path dependent thinking and perhaps even corruption.	Cooperation is very important in informal and formal networks at many levels both between levels in the same location, with other locations, and with professional organisations for specialist help. Higher level networks provide funding and political support, and local networks can facilitate trust from the community. Reputation and trust are central concerns, and social movements nurture initiatives, and provide support and the cement to embed the sometimes controversial and difficult activities. Charismatic leadership has no importance.

### Tension and adaptation

Tension and subsequent adaptation mechanisms are often the result of conflict or at least strains and inconsistencies in a system, a structure or an operation. They may be caused by fast-changing technology or other mismatches between the elements making up society in which an innovation takes place.

According to the evidence reviewed in this report, one commonality between the three PFs is that there are no tensions resulting from new technology. The main commonality, however, is that tensions and subsequent adaptation mechanisms tend to arise from conflict, so their character reflects the incidence and importance that conflict has in each PF:

- Income PF: shows no significant tensions in this relatively stable, well regulated framework. However in the cases examined, there are instances of tensions arising from lack of trust and conflicts of interests between actors at the local level, which appear to be ongoing and unresolved, although not having serious consequences.
- Community PF: given the mixed formal-informal nature of this PF, the importance of tensions typically depends on whether they arise externally (more formal, perhaps top-down and important) or internally (more informal, perhaps bottom-up and much less important in the long-term).
- Displacement PF: in the rapidly changing contexts and challenges it confronts, tensions tends to be both more variable and serious given that even small ones can tip an unstable arrangement, either leading to more and better innovation or curtailing innovation altogether, at least in the short term.

### Competition

Competition mechanisms introduce some aspect of marketisation in which the most effective and efficient innovation succeeds whilst others fail. However, this is not necessarily measured in monetary terms but instead can be evaluated on any agreed and relevant measure of value. There are clear contrasts between the three PFs:

- Income PF: shows no significant evidence of competition, at least at the relatively stable, macro policy framework level. However, at the micro level where beneficiaries and their immediate networks operate, there can be important competition between new providers and the incumbents, and competition can be encouraged in the form of the entrepreneurial skills that beneficiaries should acquire in order to secure better sources of income over the long-term.
- Community PF: also shows no significant evidence of competition. Where competition might be found is more at the community level in order to participate in local markets, perhaps through entrepreneurship schemes to encourage economic activity and prosperity.
- Displacement PF: shows some evidence of competition between different alternative solutions in order to cope with often rapidly changing contexts and challenges. There is a danger, however, in the relatively unstable situations many cases in this PF find themselves, that speed and expediency might overlook or cut-off potentially good innovations that need more attention and longer term application.

### Cooperation

Cooperation mechanisms are in many ways the lifeblood mechanism of innovation in PRSD. Cooperation is ultimately based on trust as well as solidarity, sometimes even altruism, and is perhaps the best mechanism for building the capacities and agency of target groups. Leadership can be important in fostering good cooperation.

The main commonality between the three PFs is that cooperation is very high and important in all three, and tends to take place in networks of different types and at different levels, for learning, professional expertise, resource inputs, etc. The three PFs also share the characteristic that inspirational leadership is much more important than charismatic leadership for the reasons given in **Table 10**. The only relevant distinctions between the three PFs are related to the general characteristics of each:

- Income PF: cooperation takes place in relatively stable, large, top-down frameworks, which also link in to local networks, so is generally quite formal and rule-bound.
- Community PF: cooperation takes place both between actors at the local level and between different levels, with external actors sometimes more important than domestic governments.

- Displacement PF: cooperation takes place in relatively unstable, fast changing, bottom-up arrangements, which also link in to broader networks, so is generally quite formal and, although rule-bound, sometimes needs to adapt or create on-the-ground working rules 'on the go'.

### 6.2.3 Outcome mechanisms

Table 11 summarises the outcome mechanisms adopted by the cases in the three PFs, and points to clear differences and commonalities between them.

#### Diffusion of (technological) innovations

The mechanism of innovation diffusion, including where relevant innovation enabled or driven by new technology, science, as well as beliefs and values, is one of the success outcomes of PRSD. The wider and deeper into society an innovation reaches, the greater its impact and the more likely it is that the mainstreaming of new social practices will take place leading to systemic change. There are clear similarities as well as contrasts between the three PFs:

- Income PF: tends to involve more formal and structured diffusion at regional and national levels within the relatively stable national policy and regulatory framework undertaken by initiative partners, making imitation and copying relatively easy. The necessary actions are the proper use of the formal structures available, including for raising awareness and exploitation purposes. The role of new technology is low.
- Community PF: tends to be combinations of both formal and more informal diffusion at local, regional and international levels, although less so at national level due to oftentimes tensions with national governments when many external actors are involved. The necessary actions include communication for awareness raising and advocacy, local sourcing as much as possible, as well as tackling cultural and societal prejudice. The role of new technology is low.
- Displacement PF: is similar to the community PF, but often at much lower levels due typically to fast changing and relatively unstable conditions in which most if not all efforts need to be focused on the initiative in hand rather than elsewhere. However, some national and international diffusion takes place, often when public or philanthropic organisations can assist. The necessary actions include careful location decisions due to possible opposition in some places, and the need to institutionalise the initiative if it is to diffuse. Diffusion might be said to be in the form of 'diffusion on the go'. The role of new technology can be useful, but more for use by the initiative itself and its beneficiaries, including for awareness raising and obtaining 'diffusion on the go'.

#### Complementary innovation

The mechanism of complementary innovation shows an important success outcome, i.e. when social innovation can influence or exploit other innovation mechanisms and/or use them to boost its own diffusion. There are clear similarities as well as contrasts between the three PFs:

- Income PF: tends to involve more formal, structured and systematic exploitation of basic and existing (as opposed to new) technology innovations, scientific and open methods for research and evaluation, as well as comprehensive integrated solutions. There are also various complementary innovations at the local level depending on the specific circumstances of each.
- Community PF: tends to be combinations of both formal and more informal exploitation of basic and existing (as opposed to new) technology innovations, focusing on on professionalisation and training and self-awareness. There are also various complementary innovations at the local level depending on the specific circumstances of each.
- Displacement PF: is similar to the community PF for local and more informal innovations, but here are typically undertaken at speed in fast changing and relatively unstable conditions in which most if not all efforts need to be focused on the initiative in hand. This includes organisational innovations and agile decision making to keep it functioning, rather than on other complementary innovations unless they can

directly and immediately contribute. Complementary innovations do include, however, new but simple and cheap technologies, especially ICT, which can support both the organisation and the beneficiaries.

**Table 11: Outcome mechanisms: diffusion, complementary innovation, planning and institutional change**

Mechanisms of social change (3)	Income support	Community capacity building	Displacement and refugees
Diffusion of (tech) innovation	High rates of successful diffusion, especially at regional and national level due to significant public policy and top-down push, as well as continuity of approach over the long-term. Much is by imitation and copying, but with adaptation at local level. Most important transfer agents are the partners. Necessary actions include quite formal basic structures and local people need trust to invest savings and use the credit available. Raising awareness, exploitation, partnerships with key organisations from different sectors, and the willingness to change from existing systems and processes to new. The role of new technology in diffusion is low.	Very high rates of successful diffusion at local, regional and international, but not at national, levels. Necessary actions are good continuous communication with all, advocacy and awareness raising, sourcing as much as possible locally before externally, and for differentiated policies. Also tackle societal prejudices, putting individual beneficiaries at the centre but in their family and community context. The role of new technology in diffusion is low.	Low overall diffusion as local challenges are distinct and complex, but in national context is good transfer, and relatively good internationally, normally not by existing actors but by external actors within their wider networks. Necessary actions are ensuring benign location, the need to institutionalise the activity locally and nationally, integrate into other policies, and connect to well-functioning networks. The role of new technology is often to assist diffusion.
Complementary innovation	<ul style="list-style-type: none"> <li>• Applying the latest basic technologies in the sector</li> <li>• Undertaking pre-implementation surveys and research</li> <li>• Adopting the open innovation concept</li> <li>• Rather than always just plug the market gap, develop comprehensive solutions</li> <li>• Also innovations in gender issues, local production, food supply, soil quality, environmental impact mitigation and reducing unemployment.</li> </ul>	<ul style="list-style-type: none"> <li>• Applying the latest basic technologies in the sector</li> <li>• Developing self-awareness and holistic approaches to development</li> <li>• Becoming more professional in terms of marketing, product innovation and branding</li> <li>• Training communities to hold public authorities and other service providers to account for what they do.</li> <li>• Also innovations in gender issues, local production, food supply, reducing unemployment, and technology problem-solving.</li> </ul>	<ul style="list-style-type: none"> <li>• Tailoring the innovation as precisely as possible to local acceptance or otherwise of multi-culturalism and outsiders</li> <li>• A mature functioning network linking into wider policies and programmes</li> <li>• Ensuring highly adaptable organisational innovations</li> <li>• Deploying forms of agile decision making</li> <li>• Innovate in simple, cheap but powerful ICT and social media applications</li> </ul>
Planning & institutional change	Cases strongly supported and typically driven by robust public policy initiatives and large philanthropic and private funding at national level, although this can take time to get right and systems can be often beyond control by beneficiaries. An essential ingredient of policy is to institutionalise the innovation at the highest governance level, as well as in the ways of working and thinking of actors at different levels,	Strong public policy and large philanthropic and private funding, but not always by domestic governments which can be barriers, due to overt resistance or reluctance to permit other actors achieve success in what they might see as detrimental to their power and prestige. But local development is important to domestic governments with social and economic goals paramount aiming to give beneficiaries agency. Institutionalisation is a clear aim often achieved but can be difficult in domestic governance.	Conducive public policy backing (at different levels) and often large philanthropic and non-profit funding but little private sector. Civil society by far main actor and instigator, locally, nationally or regionally, much more important than PRSD average. Public policy goal is to address both ongoing displacement and refugee challenges whether domestically or externally generated. Public policy must recognise the challenge and link national and local policy and regulation. Voluntary self-financing initiatives can have success but are disadvantaged without support and institutionalisation of activities.

## Planning and institutionalisation of change

The institutionalisation of an innovation, and its incorporation into the planning and policy making system, is the mark of a successful outcome as this is also likely to institutionalise beneficial social practices and thereby achieve more widespread systemic change across society. There are clear similarities as well as contrasts between the three PFs:

- Income PF: tends to involve planning and institutionalisation at formal, structured and systematic levels, normally in the state apparatus as well as in large philanthropic organisations, which is typically a long-term process. This needs to incorporate changing mindsets and ways of working to be successful. Not very locationally sensitive.
- Community PF: tends to be combinations of both formal and more informal institutionalisation and planning. This includes in international relations and structures, whether or not domestic governments are involved, as well as at local levels. In the latter, the process is more informal and focused mainly on institutionalisation in the ways families and communities act and in the roles they play. Quite locationally sensitive.
- Displacement PF: shows mixed and variable forms of institutionalisation and planning, given the wide variety of contexts and rapidly changing, sometimes unstable, conditions. Institutionalisation is especially important for financing in order to ensure at least medium term operational survival, but this often also depends on highly flexible and rapid responses which might be described as 'institutionalisation on the go'. Locationally very sensitive.

### 6.2.4 Tentative conclusion and an emerging typology

At the very general level, there seem to be three basic models of the mechanisms of social change in the PRSD policy field as evidenced by the three practice fields and their cases selected in this report, two of which are by far the most common PFs. Of course, however, other models might emerge when the other practice fields are taken into account in the next report later in 2017. These three basic models perhaps contribute to an emerging typology of social innovation for PRSD (only derived from the 13 cases analysed in this report), and can be summarised as:

1. Generally more formal, structured and large scale, typically quite stable, robust and relatively top-down, closed and embedded in policy and regulation, relatively efficient and can be effective, often characterised by incremental innovation. The main example in this report is the income PF.
2. Generally more mixed formal-informal, top-down and bottom-up, typically quite stable at the macro level but less so at the micro level, both relatively open and closed, generally robust, relatively effective and can be efficient, often characterised by a mix of incremental and disruptive/radical innovations. The main example in this report is the community PF.
3. Generally more informal, less structured, bottom-up and small scale, typically quite unstable due to fast changing conditions, more subject to tensions and is shock sensitive, relatively open, can be both relatively effective and efficient but also the reverse, often characterised by both disruptive (if not radical) innovation and 'innovation on the go'. The main example in this report is the displacement PF.

## 6.3 INITIAL CONCLUSIONS ABOUT THE PRACTICE FIELDS AND THE POLICY FIELD

Note, this sub-section contributes to the final PRSD report later in 2017, so should be seen as work in progress. It is based both on the evidence presented in this report as well as earlier PRSD reports as part of the SI-DRIVE project<sup>27</sup>.

This report has examined three PFs consisting of 13 case studies. This sub-section offers some more strategic considerations regarding the PFs in the context of the whole policy field, and is divided into three parts:

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<sup>27</sup> These include SI-DRIVE policy field report: poverty reduction and sustainable development, March 2015; and the PRSD chapter on development in Deliverable D1.1.

1. Validation of practice fields
2. Emerging characteristics of the policy field
3. A new type of business model?

### 6.3.1 Validation of the practice fields

The evidence presented above, summarised in sections 6.1 and 6.2, clearly demonstrates the robustness and distinctiveness of the three PFs, and that this is highly likely to be due to the combined deductive-inductive two-step method used for their identification and construction as described in section 2.2. The three PFs thus appear to be genuinely distinct sets of social and other practices and processes.

The identification and validation of the PFs has been undertaken largely through qualitative analysis and coding. However, the NVivo toolbox has also been used to support the textual analysis, although only to validate and assist in identifying important words, synonyms, texts and text linkages in the case studies<sup>28</sup>. Figure 9 shows a NVivo cluster tree which groups the 13 cases based on word synonym similarity. On this basis, clustering of the 13 cases into the three PFs is clearly visible and validated, with two interesting deviations. First, clustering of the displacement case LC with the community case SfL, probably explained by the fact that they are both cases focusing strongly on education. Second, clustering of the income case SPF with the community case AgroSolidarity, probably explained by the fact that they are both cases focusing strongly on rural issues.

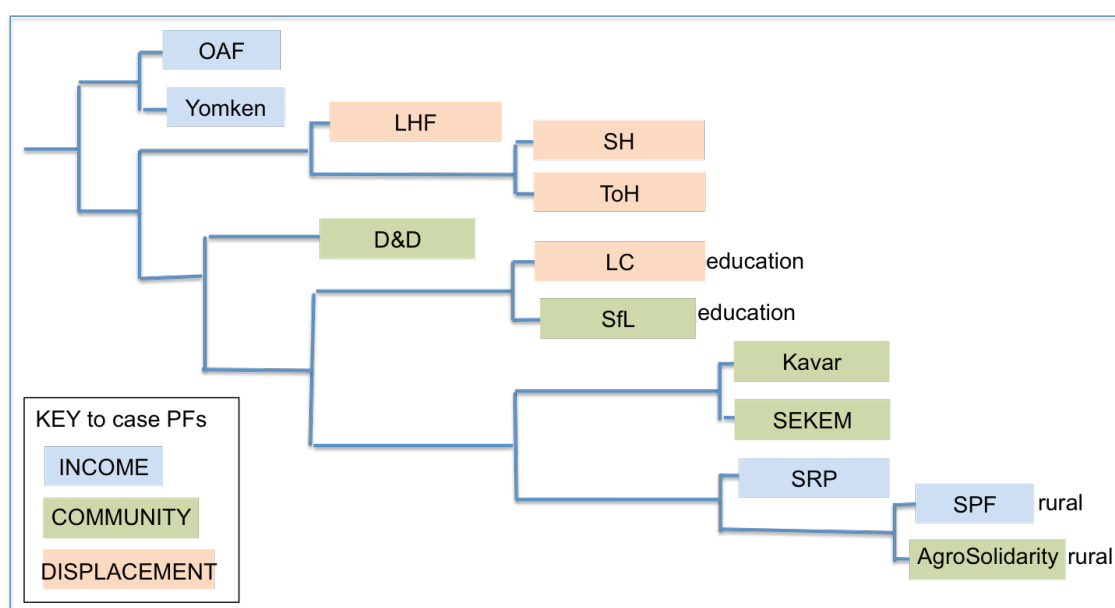


Figure 9: NVivo cluster tree of the 13 cases by word synonym similarity

### 6.3.2 Emerging characteristics of the policy field

Drawing only on this report, as well as earlier reports (but not at this stage on wider research), a considerable amount of evidence concerning the characteristics of the PRSD policy field, which cuts across many if not most practice fields and cases, is emerging. Tentative conclusions from this evidence are presented below, grouped together as

<sup>28</sup> The use of NVivo word and synonym clustering involves first discarding i) all words with less than 3 letters; ii) everyday words like through, about, have, person etc.; iii) content related words which are inherent to the topic investigated, so for example "income" in income PF, "community" in the community PF, and "displacement" and "refugee" in the displacement PF; and iv) contents words inherent to social innovation for PRSD, such as social, innovation, sustainable, development, poverty, poor, disadvantaged, etc. Naturally, in the final analysis all these are qualitative judgements, but so is unaided qualitative coding. The important point is to be clear and transparent about the methods used and why.



governance, the predicament of poverty and the PRSD landscape, whilst the resulting recommendations are addressed in section 6.4.

## Governance

Lessons concerning the governance of social innovation for-PRSD:

- Requires a **long term (non-political) policy, regulatory and financial commitment**. Enabling regulation is needed, for example multi-stakeholder collaboration is critical but often constrained by conflicting and incompatible rules and regulation, in order to ensure that the all-round needs of people are met rather than their siloed needs.
- Takes place **when the state withdraws**, as in Europe, **or is not even there**, as oftentimes elsewhere. The latter can sometimes lead to hostility from and conflict with government, for example because social innovation initiatives often do what the state should do, or do it much better.
- Gets caught in **the gap between centralising and decentralising tendencies**. Poor and marginalised people tend to have least (political) power and are often stigmatised, even in Europe.
- Needs governments as well as large external organisations including donors, to commit to the long-term. They are often essential to scale and transfer projects The problem is that **funding cycles are often just 2-3 years**, but longer is needed for maximum impact and to ensure that government incorporates the innovation into policy over the longer term. In most areas and for most topics, there is no longer a need for short-term demonstration projects as we have a very good idea what works. Exceptions might be for new innovations or mechanisms when experimentation is needed to tackle new challenges. There is no short-term silver bullet; long-term commitment is required, often as much as 10-20 years.
- Is very widely used, but especially in developing countries it is **rarely recognised** as such or as a coherent approach. It thereby sub-optimises both much relevant knowledge, and the tools that go with this, as well as the opportunity to learn from others.
- Is subject to very **rapidly changing policy environments**, both at national as well as international levels, (for example the recent focus on so-called 'wicked problems', and the 2015 Paris agreements on the 2030 Sustainable Development Goals and on Climate Change), as well as the rise in political power of large cities often globally connected.
- Needs to be **self reflective** regarding, for example, whose societal needs and challenges are being met by traditional, and perhaps still most, initiatives and innovations.
- Should insist on putting a **duty on governments** to tackle poverty, disadvantage and marginalisation by **institutionalising** this rather than seeing this simply as something nice to do. Thus, in all relevant situations, governments (as well as other service providers) should be cast as **'duty bearers'** and the target group beneficiaries as **'rights holders'**. (This is without denying that the latter group, as do all members of society, should also be subject to specific obligations and duties.)
- Should adapt **monitoring and evaluation frameworks** to include in their repertoires, in addition to traditional often quantitative measures and logic models, some of the techniques and approaches often deployed successfully by the international development community. These might include:
  - Theory of Change: gets away from path dependent thinking and traces the process of how change actually happens.
  - Appreciative Enquiry: focuses not on solving a 'problem' but on the capacities already available, or easily developed and how these can be used to effect beneficial change.

- Outcome Harvesting: examines all actual outcomes, whether planned or unplanned, and then traces these back to see how they arose.
- Key Lines of Enquiry: focuses on monitoring key/desired issues like gender, capacity building, etc.

### The predicament of poverty

Lessons concerning what 'poverty' is, and more importantly, what 'poverty' means in social innovation for PRSD:

- **Poverty is highly complex** and, especially in developing countries, is normally inextricably linked with issues like environmental stress and climate change, gender (including age of marriage, size of family, etc.), mobility, power relations, health and education.
- The poor and marginalised almost all suffer from **multiple deprivation** where the contextual mix is typically unique. Thus there is a need to **focus on 'all round' solutions** in the context of **human dignity** rather than siloed approaches.
- Poverty is not just having a low income but about **being left out of mainstream society**. Hence the 'poor' may not want for the basic needs of life, but if their income or circumstances in general mean they are not able to participate in the normal activities of their community or society, they become marginalized and vulnerable which means their lives are also poor in terms of social, cultural and economic inclusion, and they often live in poor environments.
- There is a **'scarcity' dilemma** arising from the fact that everybody has quite limited cognitive capacity. This applies equally to those with plentiful financial and/or time resources as well as those with few, so that if the former is suddenly placed in a situation of serious scarcity they perform in the same way as the latter. Most poor people must make a rapid succession of important decisions to solve immediate problems to survive, regardless of the long-term consequences. This constant 'fire-fighting' just to get from one day or week to the next, rather than focusing on more long term decisions, is the reason why they are poor not because they are irresponsible or lazy. Their real problem is often not lack of money as such but lack of time because of this constant 'fire-fighting', which in turn typically leads to loss of assets, including financial, or an inability to develop and grow their assets. Most individuals, both rich and poor, once in poverty will often find themselves trapped in a vicious circle from which it is difficult to escape. Understanding this has very profound implications for public policy and how government should design systems of services and other supports for people in situations of scarcity.<sup>29</sup> This adds **psychological and behavioural dimensions** to the well known 'poverty trap' arising only from lack of money, which should make it easier to tackle (see also section 6.4.2).

### The PRSD landscape

Lessons concerning the characteristics of social innovation for PRSD:

- Is more **bottom-up and civil society led** than other social innovations, and this is even more so in developing countries. It also tends to be smaller in scale than most other social innovations, although there are huge variations. In addition, there is often a successful balance between top-down and bottom-up.
- Is par excellence **typically context-dependent** and thus more difficult to transfer and often also to scale than most other social innovations.
- Despite 'context being king', learning, scaling and perhaps transfer can take place through **ambitious but also operational practice fields** which are able to be successful in different contexts

<sup>29</sup> Mullainathan, S., Shafir, E. (2013) Why having too little means so much, Allen Lane, Penguin Group, London.

- Is often significantly affected by **cultural, ethnic, and religious issues**, both in terms of the challenges and the social innovation solutions required, as well as the behavioural consequences of this. These issues also play out spatially across rural and urban areas.
- **Overlaps with other types of innovation:** e.g. open social innovation and frugal innovation -- the latter typically attempts to develop high quality products and services accessible to poor people at a price they can afford and in a form that suits their needs. Also increasingly using nature as a source of (social) innovation - - see also section 6.4.1.
- Especially in developing and emerging economies but also increasingly in Europe, is being **shaped by environmental stress and climate change**, which needs to be taken much more seriously including in topic areas that do not ostensibly focus on environmental issues.
- Is par excellence a **cross-cutting issue** by overlapping strongly with other policy fields, as illustrated in Figure 10.

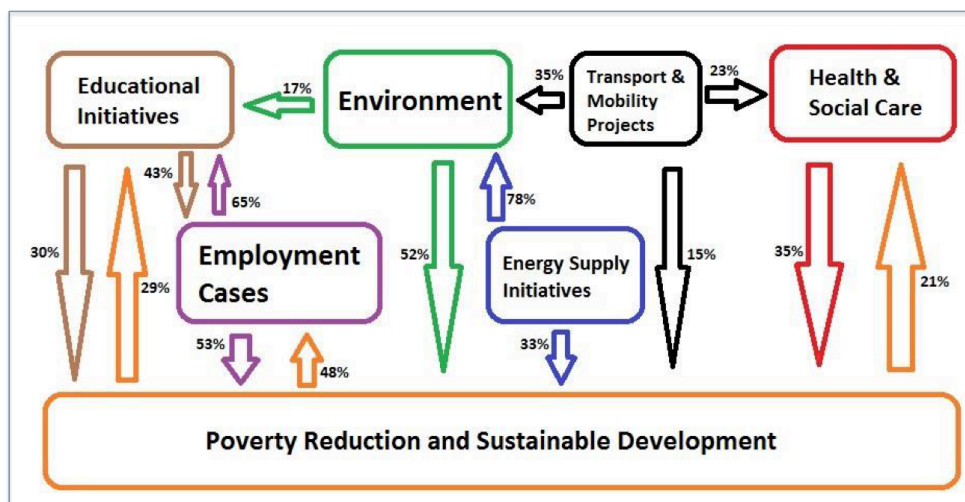


Figure 10: Interrelation of Policy Fields Addressed (%-values indicate the ranks 2 and 3 of the other policy field)<sup>30</sup>

### 6.3.3 A new type of business model?

Drawing on the above and the evidence presented in this report, it might be useful to consider developing a business model for PRSD social innovation. The design and delivery of initiatives should, in principle, have a solid 'business' case before roll-out focusing on its sustainability in political, legal, financial and organisational terms, in addition to focusing on the provision of real positive benefits to the beneficiary, and ideally also for the initiator and for society as a whole

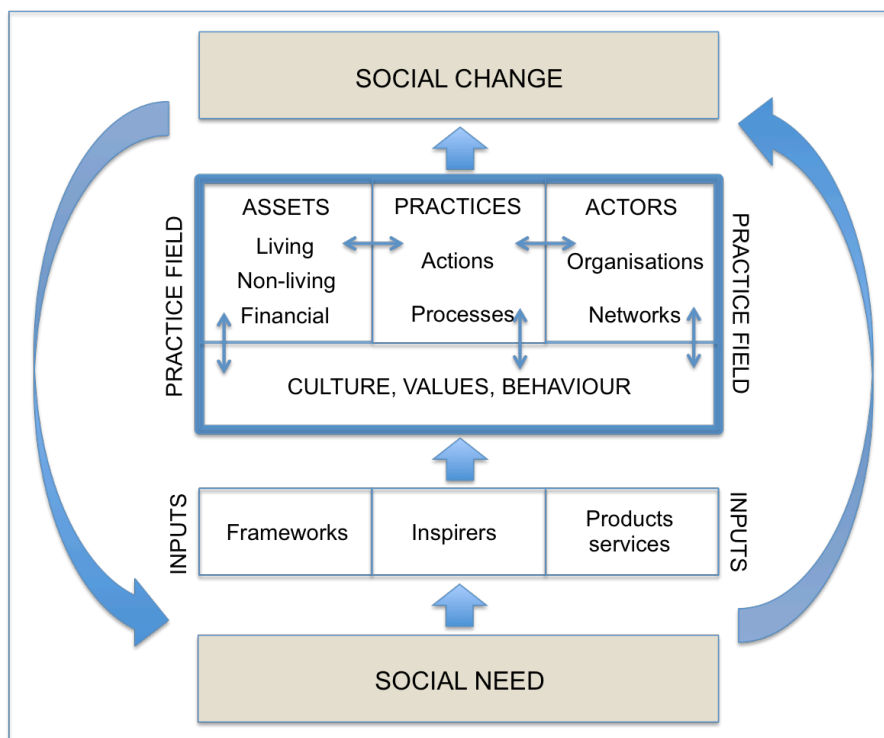
A business model is a useful device for providing a concise overview of the important elements making up a functioning and successful initiative. The purpose is to assist in the design of such an initiative and to ensure it is sustainable over time. Sustainability here does not necessarily mean (only) in monetary terms, but should also encompass *inter alia* organisational sustainability, human resource sustainability and of course environmental sustainability. The standard business models, such as the 'Business Model Canvas'<sup>31</sup> tend only to be useful in traditional market-driven contexts and do not take account of issues like process, culture, social need, etc. Neither does the standard business model canvas take account of a dynamic situation, as it is essentially static without flow or feedback. There is much valuable experimentation on business models catering for these deficiencies, including the

<sup>30</sup> From SI-DRIVE D1.4, p. 22.

<sup>31</sup> [https://en.wikipedia.org/wiki/Business\\_Model\\_Canvas](https://en.wikipedia.org/wiki/Business_Model_Canvas).

'Rainforest Canvas' for visualising an ecosystem of innovation for a company, organisation, or place<sup>32</sup> and the 'My Social Business Model Canvas (MySBM)' for social entrepreneurs to define the economic model of a social project<sup>33</sup>.

Although very valuable, none of these, however, fully captures the essence of the types of social innovation, i.e. for PRSD, evidenced in this and earlier report. Hence the construction of a possible hybrid approach, termed here the 'Living Ecosystem Business Model' as depicted in Figure 11 and described below. It is labelled a 'living ecosystem' to stress the dynamic interrelationships between elements and their mutual interdependencies. It also attempts to incorporate the idea of flows through the system as well as feedback loops and iterations in the same way as are found in living systems. This is a draft at present.



**Figure 11: A possible 'Living Ecosystem Business Model'**

The main components of the proposed 'Living Ecosystem Business Model' are as follows, starting from the bottom:

**SOCIAL NEED:** the intention or purpose of the social innovation typically emerges from a specific social need, societal challenge or required systemic change, at respectively micro, meso and macro levels. (See section 3.1 of this report.)

**INPUTS:** these are external inputs needed for the initiative to function successfully and be sustainable, and typically include:

- **Frameworks:** tangible frameworks such as physical and virtual infrastructures, and intangible frameworks such as governance, policy, regulation, institutions (both formal and informal).
- **Inspirers:** for example other innovations to copy and/or adapt, role models, good practices, etc.
- **Products and services:** needed, for example to buy, loan, exchange, use in kind, etc.

<sup>32</sup> [https://www.tuzzit.com/en/canvas/rainforest\\_canvas](https://www.tuzzit.com/en/canvas/rainforest_canvas)

<sup>33</sup> [https://www.tuzzit.com/en/canvas/my\\_social\\_business\\_model](https://www.tuzzit.com/en/canvas/my_social_business_model)

**PRACTICE FIELD:** a specific practice-based set of social and other practices and processes that focuses on meeting a specific social need thereby contributing to one or more of the policy goals of the policy field to which it belongs. A practice field is made up of:

- **Culture, values, behaviour:** these are essential ingredients of any practice field, typically overlooked in the standard business models, and normally consists of intangible drivers, barriers and/or guiding or even controlling frameworks, including mindsets and ways of working. They can be both formal and informal, the latter often being the most powerful.
- **Assets: living:** people and nature (i.e. organic nature, which is essential to include as a prominent asset of social as well as all other forms of innovation in the context of sustainable development).
- **Assets: non-living:** both manmade and natural (inorganic) resources.
- **Assets: Financial:** monetary value which might be needed to purchase or remunerate external inputs and internal assets.
- **Practices: actions:** specific activities needed.
- **Practices: processes:** specific ways of working, mechanisms, etc., needed.
- **Actors: organisations:** as partners, etc., within the initiative.
- **Actors: networks:** linked to as essential players in the initiative.

**SOCIAL CHANGE:** the social change produced or contributed to, which meets the social need articulated at the bottom of the diagram, i.e. derived from a specific social need, societal challenge or required systemic change, at respectively micro, meso and macro levels. (See section 3.1 of this report.)

## 6.4 RECOMMENDATIONS

Note, this sub-section contributes to the final PRDS report later in 2017, so should be seen as work in progress. It is only based on the evidence presented in this report as well as earlier PRSDA reports as part of the SI-DRIVE project<sup>34</sup>.

Two types of recommendations are presented below as general recommendations and public policy recommendations, although it is clear there are sometimes overlaps and blurring between the two.

### 6.4.1 General recommendations

The above analysis together with SI-DRIVE's broader research indicates that the lack of **suitable people and knowledge** is the most important overall barrier to PRSD social innovation, and only marginally less so in Europe than elsewhere. However, the lack of **finance** is also a barrier in one third of all PRSD cases, and much more so in Europe where ambitions may be much higher than the shrinking availability of finance allows. This may also be due to the fact that European initiatives are traditionally more prone to use financial inputs as part of innovation and other types of initiatives compared to elsewhere. As noted above, such resources in developing countries have always been, and remain, scarce, so there is a tradition of frugal innovation focusing even more on non-monetary assets. Thus, these two issues require particular focus.

It is also clear that successful initiatives can readily grow in situ under a variety of conditions. However, it tends to be more difficult to transfer good basic ideas and practices to other organisations elsewhere, even in the near proximity, and that this gets even harder as the geographical distance increases given that **contextual conditions** become increasingly alien. Research and policy should make greater efforts to attempt to identify **ambitious but also**

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<sup>34</sup> These include SI-DRIVE policy field report: poverty reduction and sustainable development, March 2015; and the PRSD chapter on development in Deliverable D1.1.

**operational practice fields** that provide good vision and ideas as well as effective mechanisms that address in a systemic way common challenges faced by most people and communities, and which are therefore less likely to be context dependent at that level.

More specifically:

- There is a need to think more carefully about **how needs and issues are articulated**, for example what is the role of the **intermediary** being positioned between the innovator and the beneficiary, how actors collaborate, how interactions come about, and how relationships and movements function?
- There is also a need to recognise **the relative powerlessness of poor and marginalised people**, despite being highly resilient in many ways, and this means that **awareness raising, advocacy and mobilisation** at the local/community level is the most common trigger for success. This often starts with self-awareness, local advocacy, building 'agency' and mobilisation.
- Thus a **coordinated, cross-cutting approach is needed**, with capacity building (training, education, on the job, communities of practice, etc.) as the underlying factor. The overall aim is to increase the agency of the intended beneficiary.
- **Nurturing and building the agency of the beneficiary** is an existential characteristic of social innovation, at least in the PRSD context. If social innovation is about creating both impact and social change, this implies that the impact of a social innovation should be seen in meeting a social need in a new way which is better than existing ways, and which also empowers the beneficiaries, rather than just doing something to them. In order to maximise win-win situations, all actors should benefit, of course, but the beneficiaries with a social need that needs tackling must be the prime objective.
- In this context, therefore, social innovations should produce impacts that both a) create **value for individuals, communities and societies** in relation to a social need, but equally should also b) **empower these actors** so that they are in a better position to create and/or mediate such value for themselves in future. According to the TEPSIE project, b) is a critical component of social innovations as they "engage and mobilise the beneficiaries and help to transform social relations by improving beneficiaries' access to power and resources."<sup>35</sup> This implies the need to ensure both improvements in value creation (economic, social, environmental, etc.) as well as improvements in empowerment and agency<sup>36</sup>, for example actor competencies, behaviours and associated practices.
- Although there can be invaluable 'quick wins', sometimes it is difficult immediately to show improvements in value creation and in empowerment / agency because social innovation is a long-term investment. For example, **conductive behavioural changes** might only be seen after many years and in combination with other factors. This PRSD report has revealed the critical importance of how both **awareness raising and advocacy** need to go hand-in-hand. Further, it underlines the need for this typically to start at the individual beneficiary level through self-awareness and self-advocacy, before extending such awareness raising and advocacy into the wider community and society. This is a long-term process. The traditional focus of many (social) innovation initiatives is to give primacy to the outcome value creation part, and to treat the practices part only as a means to this end. This means that the process role is assessed purely in relation to how well it performs in creating outcomes, but beyond this has little intrinsic importance. **Social innovations for PRSD insist that both outcomes (as traditionally perceived) and the practices of empowerment and agency that produce these outcomes are equally important. In fact, it could be argued, that such practices are important examples of outcomes in their own right.**
- The actual, as opposed to the theoretical or assumed, behaviour of the poor in the often highly constrained and sometimes overwhelming **conditions of scarcity and multiple deprivation**, needs to be much better understood. The '**nudge**' thesis has demonstrated that most people do not behave only rationally, but are often driven much more by what their peers do and think<sup>37</sup>. This approach recognises that, although traditional attempts to change behaviour by regulation are of course important, they just as often fail and may even provoke opposite responses.

<sup>35</sup> [http://www.tepsie.eu/images/documents/practitioner\\_report\\_final\\_web.pdf](http://www.tepsie.eu/images/documents/practitioner_report_final_web.pdf)

<sup>36</sup> According to Wikipedia, agency is the capacity of individuals to act independently and to make their own free choices: [https://en.wikipedia.org/wiki/Agency\\_\(sociology\)](https://en.wikipedia.org/wiki/Agency_(sociology))

<sup>37</sup> Thaler RH and Sunstein CR (2008) "Nudge: Improving Decisions about Health, Wealth, and Happiness", Yale University Press

Nudge theory focuses on changing peoples' behaviour without binding regulation or legislation, and has done so with some success. It directly uses the insight that a very powerful influence on an individual's behaviour is linking this to what other people are doing. Nudge theory thus recognises the **power of social networks and social norms in behaviour patterns**. At base, nudge attempts to observe and map how people make their choices and then test small changes in the way choices are presented to them. In this way, people are nudged into leading better lives by reconstructing their 'choice architecture'.

- There are many examples of so-called '**barefoot' human resources** being used instead of highly trained and expensive professionals brought in from the outside. Examples include teachers, activists, builders, health workers, etc. Thus, the focus is on developing existing human resources, especially in the place where the target group and beneficiaries are located. Such local/community capabilities and skills are extremely important, however meager these might be, because using them has the double benefit of meeting social needs as well developing in situ capacities and agency to meet needs better in the future.
- Related to this, the **usurping of roles** is quite common, i.e. when a social innovation takes over the roles and tasks of others, either because they are not meeting their commitments or not doing so well enough. Example include social innovations taking over all or some basic education, health or income support tasks in poor or disadvantaged areas from the incumbent provider. The term 'usurp' implies taking over without permission, and this can lead to hostility and conflict.
- There is often **less focus on 'problem solving'** as such -- there are too many problems! -- and **more focus on what can be done given the capabilities and opportunities available** with existing assets, and thereby also developing these further. This relates also to '**appreciative enquiry**' (see section 6.3.2), actively seeking opportunities, as well as developing and pursuing an ambitious but realistic and practical vision (cf. frugal innovation). If there is a need to problem-solve, it is often best to select the ones to tackle after looking at what can be done. This turns societal challenges/problems on their head -- i.e. start with what we can do (appreciative enquiry approach) -- get away from solutions looking for a problem -- and take an actor (especially) beneficiary perspective.
- This can also be described as a **multi-opportunistic approach** which attempts to exploit specific possibilities as they arise, rather than simply focusing only on solving the problem of income, education, jobs, etc.
- A '**human condition' approach** is very useful if not essential. This typically requires **understanding the whole individual** as a human being, so that a strong focus on gender, basic human attributes, weaknesses and idiosyncrasies, human 'rights', etc., is also required.
- Related to this, a solution that imparts and supports **the dignity of the beneficiaries** is more likely to be successful than one which is 'rationally correct'. This relates again to understanding better how people actually behave, for example, many people don't eat healthier food because they are told it is healthy but because it tastes good, looks good, is affordable, and they feel dignified when eating it and get the approval of their peers.
- There is a need to incorporate **ethnographic and anthropological approaches**, especially to help design social innovations that can better take account of significant cultural, ethnic, religious and historical differences, as well as the behavioural consequences of these. **Story telling and narrative** should also be used more specifically in this context.
- The **everyday relationships of poor people** are critical, for example remittances sent home from working in cities or more developed countries to the family left behind. A culture of community and inclusiveness tends to be found much more amongst the poor than amongst the rich, and demonstrates the **resilience** most poor people have, despite (or because of) their 'scarcity' challenges. It is essential to take such relationship bonds (social capital, strong and weak ties, etc.) into account.
- The **problems of the poor often mutate over time**. For example in the past the problems poor people had with food was lack of calories, whereas today in developed economies, at least, the problem is the wrong type of calories.

- Social innovation initiatives should focus more overtly on the value of both **human and natural (biological) assets** as the two prime movers of innovation, rather than on non-living capital assets, like machinery, raw materials, physical infrastructures, etc. It is already widely recognised that innovations are driven by 'human capital', but there is increasing evidence that the **living assets and systems of the natural world** are a huge untapped resource. Instead of 'exploiting' people and nature which creates systemic resistance, they should be nurtured. For example, companies that mimic life and natural processes in the production of goods and services perform much better in purely economic terms than companies that do not, in addition to having very low environmental footprints and being socially and psychologically beneficial<sup>38</sup>.
- Related to this is the need to move from a quadruple helix mindset and approach to a **quintuple helix** mindset and approach as the basic **model of 'sustainable knowledge societies'** by adding the natural environment as the fifth element of the helix<sup>39</sup>.

#### 6.4.2 Public policy recommendations

There are a number of issues which public policy needs to take into account when promoting social innovation for PRSD. Generally, as noted above, **conductive governance, regulation and politics** are only marginally seen as drivers, however, when un-conductive, political barriers can become increasingly disruptive, especially outside Europe. This is almost certainly due to greater scope than in Europe for conflicting interests around legality, legitimacy and power. These constraints need to be tackled by public policy at the same time as the significant benefits which can be achieved are promoted. For example, that the likelihood of achieving success and real impact is dramatically increased when **those benefitting from an initiative own the process and its outcomes** and are important actors in achieving them through their own agency.

SI-DRIVE's wider work on the policy implications of social innovation, include the tendency for **ethical motivations** to underpin many initiatives in terms of **civil duty and solidarity**, as also seen in the above PRSD analysis<sup>40</sup>. This is often coupled with some frustration about cuts to existing public sector services and interventions in the present climate of austerity. It is clear from this perspective that public policy needs to recognise both that social innovation is helping to tackle major deficits in public systems of provision, on the one hand, and that flexible and tailored social innovation often arises in response to individual and often unique needs. This analysis recognises a number of **overarching barriers to PRSD social innovation which, if addressed *inter alia* by public policy, can become enablers of social innovation**:

- Existing institutions and regulations often constrain the potential of social innovation.
- Mobilising human, physical and in-kind assets, as well as funding for social innovation, remains a critical issue.
- Public policy plays an important enabling and supporting role.
- Cooperation between the public, research, private and civil sectors is critical to explore new business models exploiting the potential of social innovation.

In terms of the ambition to **grow, transfer and upscale PRSD social innovation**, public policy should recognise that:

- Compatibility with the prevailing governance and policy regime is important in facilitating uptake.
- Cooperation with the private and civil sectors is essential in many instances, but this can also hinder uptake if incompatibility or conflict (as referred to above) is too great.

<sup>38</sup> Bragdon JH (2016) "Companies that mimic life", Greenleaf Publishing, Saltaire, UK.

<sup>39</sup> UNESCO (2016) "Knowledge societies policy handbook", section 4.3.1.

<sup>40</sup> Dhont, S. and Weber, M. 2015. SI-DRIVE, internal project meeting presentation, 18-11-15, Vienna.



- Systemic, traditional and ineffective social innovation path-dependencies need to be overcome, and new ones created (for example using some of the approaches developed from the alternative monitoring and evaluation frameworks it is recommended to adopt -- see under 'governance' in section 6.3.2 above).
- The removal of constraints and barriers is essential for releasing the potential of social innovations.
- The professionalization of social innovation is an important step in transferring and up-scaling, but one which continues to encourage flexibility and innovation.

There are a number of **public policy challenges** apparent in this:

- The tension between centralization and decentralization of public policy and decision-making.
- The declining authority of public institutions, and the growing importance of intermediaries and other non-public actors to enhance flexibility and impact.
- Building ecosystems of social innovation and supporting their growth.
- Place-related contextual differences are highly significant, for example in terms of the role of civil society, historical path-dependencies, political culture, economic and social standards, etc., all requiring highly contextualised policies, which however can also learn from other contexts and attempt to achieve greater scale.

Given the above, some initial **policy options** include:

- Understanding and propagating the benefits and impacts of social innovation.
- Transparency, collaboration and learning to overcome deficits and conflicts resulting from social innovation.
- Create breeding spaces and hubs to enhance the diversity of social innovations.
- Thinking and acting in the medium and long-term, given that social innovation with its complexity and embeddedness in diverse societal settings takes time to implement and harvest the benefits.

The '**scarcity**' dilemma for PRSD social innovation (see section 6.3.2) is probably best tackled by public policy through establishing a navigable and personalised framework or 'cockpit' which makes it easy for poor and marginalised people to make good long-term as well as short-term, decisions, which mostly they are unable to do because of the limited cognitive capacity that all human beings have. Thus the policy implication is, for example, to design systems that can improve the 'mental slack' of poor people which are designed to make their lives as easy and as simple as possible, so they can focus on solving their own problems of scarcity rather than grappling with a complex system<sup>41</sup>. A well-designed 'cockpit' aims to provide the user with such increased mental slack by freeing up their otherwise limited 'cognitive capacity', to make it easier for them to juggle the whole range of public and other services they need, such as education, health, childcare, employment support, paying bills and often simply planning their daily lives. This might be done using ICT if it is available and used by the target group, and/or frameworks of regulations, supports and interfaces, so that all complexity is on the supplier side rather than the user side.

Please also refer back to the discussion on governance issues in section 6.3.2.

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<sup>41</sup> Mullainathan, S., Shafir, E. (2013) Why having too little means so much, Allen Lane, Penguin Group, London.

## 7 ANNEX

### 7.1 MECHANISMS OF SOCIAL CHANGE (BASED ON WILTERDINK 2014)

1. **Learning:** Evolutionary theories (Dosi, 1982; Nelson & Winter, 1982) in social sciences stress the cumulative nature of human knowledge. Actors realize mistakes, apply new ideas and engage in processes of learning, which results in tacit and codified new knowledge (Cowan, David, & Foray, 2000).
2. **Variation:** Variation can range from 1) new (collective) ideas to 2) single innovation projects which introduce novelty and hence variation. Ad 1) Collective ideas are the cause and consequence of social change. The spread of beliefs, values, value systems, of fashions, of **religions**, of cultural symbols, of rules of behaviour. Ad 2) Single innovation projects are on the one hand incremental innovation projects that innovate along a given trajectory; on the other hand, radical innovations that deviate from the trajectory and may lay the ground for a new trajectory.
3. **Selection:** This incorporates processes of adoption, diffusion and imitation, but also processes of the **decline** and death of initiatives.
4. **Conflict:** Group conflict has often been viewed as a basic mechanism for social change, these **include** revolutions, but also minor conflicts. Social change in this view, is the result of the struggle between a predominant class and a dominated class which strives for (radical) change. (conflict model of society by Ralf Dahrendorf)
5. **Competition:** seen as a powerful mechanism of change as competition makes it more likely to **introduce** innovations in order to have competitive advantages.
6. **Cooperation:** Although competition as a driver dominates theories that put individualism and individual utility at the fore, where social change is the result of individuals pursuing their **self-interest**, other strands of literature have shown that cooperation (e.g. literature on innovation systems, game theory) or altruism (e.g. Ernst Fehr) also lay the basis for human action.
7. **Tension and adaptation:** In structural functionalism, social change is seen as an adaption to some tension in the social system. For example, a gap between fast-changing technology and necessary **associated** institutional change of some type (see W. Fielding Ogburn)
8. **Diffusion of (technological) innovations:** Some social changes resulting from innovations adopted in society may be technological invention, scientific knowledge, but also new beliefs, ideas, values, religions. With high uncertainty, most innovations disappear, whilst those that survive tend to follow the S-curve of adoption (cf. Geroski, 2000).
9. **Planning and institutionalisation of change:** Social change may result from goal-directed large scale planning, by governments, bureaucracies, and other large scale organisations. The wider the **scope**, the more the competencies needed, the more difficult to reach goals and the more likely that unforeseen events interfere. Planning implies institutionalisation of change, but institutionalisation does not imply planning (Wilterdink, 2014). Included here are changes in the organisation of the state, interstate relations, laws and directives, programmes etc.

### 7.2 RESEARCH FOCI OF SI-DRIVE DERIVED FROM THE FIVE KEY DIMENSIONS

SI-DRIVE's critical literature review started to develop the building of a theoretically sound concept of social innovation grounded in theories of social change, innovation studies and social innovation research. Based on the

results of the critical literature review eight, first research propositions were elaborated and became the basis for the empirical work of SI-DRIVE's global mapping.

### **Research Focus 1: Concepts and Understanding**

Social innovations in the perspective of SI-DRIVE encompass new practices – concepts, policy instruments, new forms of cooperation and organisation – methods, processes and regulations that are developed and/or adopted by citizens, customers, politicians etc. in order to meet social demands and to resolve societal challenges in a better way than existing practices. The emergence of such new social practices, including patterns of imitation and adaptation, will be subject to research by SI-Drive.

In this perspective, research will be focused on analysing the process of invention, implementation (introduction to a context of use), diffusion and institutionalisation of new social practices in different areas of social action. A great deal of attention should be devoted to better understanding the relationship to technological innovation as well as innovation oriented towards the creation of economic rather than social value.

### **Research Focus 2: Ambivalence**

Referring to both the normative and analytical concepts of social innovation (cf. CLR of SI-Drive) highlights the importance of identifying for whom a social innovation is 'desirable' – whose objectives and whose demands are being met and whose objectives and demands are being overlooked?

This difficulty is reflected in heterogeneous and conflicting interests in different societal sectors, e.g. in civil society (Scoppetta, Butzin, & Rehfeld). It is also necessary to consider the "*unforeseeable social side effects*" (Howaldt & Schwarz) of social innovations. Their impact may differ according to different actors or groups of actors and there may be winners and losers of social innovation, e.g. according to "*different perspectives of development*" (e.g. Western against native). Establishing a new social practice can mean – using a Schumpeterian term – 'creative destruction' of another previously dominating social practice. In this regard SI-DRIVE's empirical research will put some emphasis on analysing the ambivalence of the outcomes of social innovation (i.e. social side effects, unforeseeable consequences, different perspectives), also in relation to actors' intentions.

### **Research Focus 3: Process Dynamics**

Considering experiences in the field of technological innovation, a pending task would be thinking towards a concept of Social Innovation Assessment, as one aspect of the policy recommendations to be developed. The successful implementation and/or active dissemination of a new social fact *usually* follows targeted intervention but can occur also through unplanned diffusion (Greenhalgh et al., 2004) – how much this is the case will be subject to research. From this perspective, one of the main objectives of the empirical work of the SI-DRIVE project should be analysing the process dynamics of social innovation (idea – implementation – social practice – institutionalisation).

### **Research Focus 4: Relation to Social Change**

While the social and economic problems identified in public discourse increasingly prompt a call for extensive social innovation, the relationship between social innovation and social change remains a largely under-explored area in the social sciences as well as in government innovation policies. To better understand the relationship between social innovation and social change there is a need to analyse the mechanisms of social innovation processes (e.g. imitation and social learning).

Special attention will be devoted to social innovation as a mechanism of change residing at the micro and meso level. In the context of the broad debate surrounding sustainable development and necessary social transformation processes (Geels & Schot, 2007), the question of the relationship between social innovations and social change arises again. To better understand this relationship it is necessary to analyse the social embeddedness of any innovation in a dense network of innovation streams.

Taking into account the micro-foundation of social change we have to analyse how processes of social change can be initiated which go beyond the illusion of centralist management concepts to link social innovations from the mainstream of society with the intended social transformation processes.

### **Research Focus 5: Governance**

**To understand the modes of governance of social innovation, one focus should be on networks, including social networks, and their actor constellations, modes of cooperation and communication channels.**

SI-DRIVE's literature review has provided starting points to understand how diverse modes of governance might be useful according to the mode of innovation. For example, governance structures might differ according to the intention or purpose of actors (i.e. the formation of a strategic alliance to communicate interests, to have access to various resources in the process of innovation / community of practice, etc.). As with innovation management within firms, the role of employees and the governance of employee involvement in innovation processes at the work place is a central question. Concepts such as frugal and reverse innovation originating from the global south describe alternative innovation logics (downscaling and innovations diffusing from the global south to the global north) with supposedly different governance structures that need to be understood to grasp the variety of types of social innovation and vice versa.

As a conclusion relating to the diverse forms of governance, it will be important to examine specific governance forms in different types of social innovation processes and assess the particularities as compared to other innovation processes. To develop an integrated understanding of the role of various actors in social innovation, a broader concept is needed that appreciates social entrepreneurship but also takes account of other actor types.

#### **Research Focus 6: Actors**

The different roles and functions of actors will be studied by SI-DRIVE. Especially in contrast to social entrepreneurs, there is an under-representation of the various other actor types and their specific impulses and impacts as generators of social innovation. As a conclusion, different types of actors and their roles in the generation and spread of social innovations will be discussed.

Furthermore, a research focus on diverse actor types relates – again – to the issue of adequateness and transferability of existing concepts. While actor constellations in innovative environments have been conceptualised by triple and quadruple helix models, there should also be openness towards the potential of developing new conceptual models describing actors' relations and functions in social innovation.

#### **Research focus 7: Drivers and Barriers**

**In order to establish a systemic view of social innovation, it is suggested to put an additional research focus on the drivers and barriers of social innovation - including the influence of power, the role of conflict, and the relation to inequality.**

Various concepts reflected in this report have been helpful to understand the drivers, barriers and governance of innovations, and because of their pertinent clarity they are also widely diffused in political programmes and strategies to support innovation. There is a lot to learn from these concepts for scholars of social innovation, and the extent to which concepts of innovation studies are applicable to study the systemic dimension of social innovation should be tested in order to better understand particular drivers, barriers and governance configurations.

#### **Research Focus 8: Civil Society and Citizen Empowerment**

**There is a need to focus strongly on the role of civil society (citizens, NGOs, social movements, communities) in the innovation process. In particular, an analysis should be undertaken of how the social innovation cases in SI-DRIVE have diffused and whether this facilitated the empowerment of citizens.**

However, given the fact that SI-DRIVE is a research project of global reach, the conception of what is considered as civil society might need adjustment to the specific contexts of the diverse world regions. Alongside civil society, the social economy is equally often mentioned as an important source of social innovation. It is thus suggested to pay particular attention to the environments of civil society and the social economy in order to understand their specific distinctions. Studying these distinctions is of special relevance for public decision makers, as it provides the relevant background against which supporting infrastructures can be developed. So the research focus will be to understand the particular distinctions of these areas/fields, especially related to the set-up of supporting infrastructures for social innovation.