

**transformative  
social innovation  
theory**



# **Governance Tools for Transformative Social Innovation: 2<sup>nd</sup> Training tool**

**Deliverable n. 6.4**

Theme [ssh.2013.3.2-1][Social Innovation- Empowering People, changing societies]  
Project Full Title: "Transformative Social Innovation Theory project"  
Grant Agreement n. 613169



This project has received funding from the European Union's Seventh Framework Programme for research, technological development and demonstration under grant agreement no 613169

**Focus of deliverable:**

This deliverable provides a platform for policy makers, practitioners, academics and social innovators to exchange experiences on the governance tools that they have used to facilitate transformative social innovation processes. The deliverable asks our target group:

What kinds of key governance tools have you worked with that empower different actors to take part in social innovation processes?

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## Introduction to Deliverable 6.4 and the process

Part I of Deliverable 6.4 consists of the participants' guide of the training tool that is developed in Deliverable 6.4. Part II is a facilitators' guide to the training tool.

For the development of the Deliverables in WP6, the working papers, policy brief and a proto-type tool produced in WP2 will be used as input. According to our project proposal, Annex I - Description of Work, Part A (in following: DOW), 'The proto-type tools are scientific recommendations that are used as input in WP6 to develop and translate these into training tools targeted at the four groups specified in WP6' (2013: 9).

In our DOW, we have indicated that we would 'discuss and validate the Tool Box, training material and the web-based resource hub' in the Engagement Workshop 2 (MS-16). This means that, until month 48 (2017), we will test and pilot the products that are produced in Deliverables 6.3 – 6.7. In the meantime, we will need to continuously identify and revisit the needs for our training tools.

According to the DOW (2013: 26) the following Training Tools are to be produced:

Deliverable	Delivery date, month
D 6.3, Training Tool 'Game-changers & Forward looking analysis'	12
D 6.4, Training Tool "Governance"	14
D 6.5, Training Tool "Social Learning"	32
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Each Deliverable should consist out of 4 parts.

- The first part introduces the training tool. It should consist of:
  - Introduction,
  - Description of target-groups
  - Description of the offline module, including:
    - Objectives and topics,
    - Methodology,

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- Outline of the module,
- Description of the online canvas for the module, including:
  - Objectives and topics,
  - Methodology.
- The second part is the participant's handbook for the module. It should consist of:
  - An introduction to the module, including:
    - A description of objectives and content,
    - Target-groups,
    - Methodology,
  - The outline of the module, including:
    - Basic sessions or building blocks
  - The programme of the module
- The third part is the facilitators' guide to the module. This is the participants' handbook complemented with suggestions to facilitators.
- The optional fourth part is the online canvas for the module, consisting of:
  - The online canvas,
  - Instructions on use,
  - Recommended readings.

However, each Deliverable is reviewed in the light of experience, and therefore its structure is adapted in case deemed necessary.

## References

Description of Work, Part A (DoW), TRANSIT: EU SSH.2013.3.2-1 Grant agreement no: 613169

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## Part I

### Participants Handbook for 2<sup>nd</sup> Training Tool: Governance Tools for Transformative Social Innovation

**Deliverable n. 6.4, Part I**

Theme [ssh.2013.3.2-1] [Social Innovation- Empowering People, changing societies]

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What kinds of governance tools have you worked with that (dis)empowered different actors taking part in social innovation processes?

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## 1 Introduction, target groups, specific characteristics of the training

### 1.1 Introduction

This training, **Governance Tools for Transformative Social Innovation**, has been developed as part of an EU financed project named *Transformative Social Innovation Theory project (TRANSIT)*. The training aims to involve policy makers, practitioners, academics and social innovators in an exploration of governance tools that can facilitate transformative social innovation processes.

TRANSIT aims to develop a middle-range theory of transformative social innovation that is useful for both *theory and practice*. Besides its theoretical ambitions, TRANSIT's description of work has promised to 'develop a toolbox of concepts, tools and methods to support policy makers and (other) social innovation actors' so as to ensure 'capacity building' and 'transdisciplinary translation' of research insights.

### 1.2 Target groups of this training

As outlined in the project's description of work (DoW), the initial target groups for the training were 'practitioners, policy makers and academics in the field of social innovation' (DoW, 2014:24). These target-groups form the broad and basic starting-point for this training.

We define practitioners as actors that are taking concrete actions and decisions that are persistent and contribute to their survival in a certain discipline. We see policy-makers as actors who are employed in a government structure and have decision-making power. A third group we are interested in are academics; they analyse practices and policies. As these are quite broad categories, it would be impossible to meet all their needs with one single training tool.

Therefore, we propose to refine the target groups as follows: within the loosely defined domain of social innovation, it is possible to identify common demands for knowledge when we look at the intersections of these three groups of actors. There are policy makers who also are practitioners (and vice versa), academics who are part of networks of social innovation, academics providing advice on public policy, and key practitioners who are consulted as experts by the policy makers. From this perspective, the training tool can support a target group of actors we call '*practitioners or professionals in the field of social innovation*'. We thus expect prior interest in the field of social innovation and the

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nature, dynamics and trajectories of relations between processes of social innovation and societal transformation.

## 1.3 Specific approach of the training

One key objective of the TRANSIT project is to develop training ‘tools’<sup>1</sup> that link *theory to practice*. Essentially, the intention is to translate the theories being developed into training content that policy makers, practitioners, academics involved in social innovation, as well as social innovators themselves, can explore, discuss and reflect upon. The TRANSIT project sees as a key benefit using its training ‘tools’ to stimulate reflection and exchange of experience, hoping to learn from this and to inform theory further.

As part of the development of this training ‘tool’, Becerra and Juarez (see Annex 1, this tool) performed a scan and review of **Governance and Social Innovation web-based training tools**. This was done to assess and compare the types of tools and the knowledge that others are developing in the areas of governance and social innovation.

It is clear from this review that many web-based tools exist that are ‘how-to’ tools; these are tools that guide practitioners of all sorts to ‘do something’, for instance, set up and manage non-profit organisations or manage meetings with community leaders. There are, however, a limited numbers of tools (or training) that ask participants to reflect, feedback and exchange experience.

The training detailed in this manual takes a specific approach; it is designed to stimulate discussion, debate, reflection and exchange. It is designed to have participants ‘tell their stories’. For this reason, it is important that the target group or participants of the training be professionals that have been involved in (the governance) of social innovation.

Many of the tools reviewed are also oriented to governance by state-actors (what the authors of Annex I call public-governance) or by civil society (private-governance). This discovery is of interest to the TRANSIT project, as we believe there is a gap to be filled. In this training, we will discuss the emergence of ‘Third Sector’ institutions in social innovation initiatives; they act at the intersection of the state, market and the civil society. The belief is that there is a need to explore the governance of these institutions as well.

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<sup>1</sup> Please see Part I of Deliverable 6.3, for an extensive discussion on the use of the word ‘tools’.

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Finally, another discovery from the scan, is that there a number of web based tools that focus on governance and social innovation and, but in most cases NOT both. In addition, there are no tools that focus on the specific qualities of governance of ‘transformative’ social innovation (please refer to the following section for further development of the concepts). This training aims to address this gap, and to stimulate discussion on the nature and dynamics of governance of ‘transformative’ social innovation. The question is: does TSI require ‘different’ forms of governance? This training asks participants: what kinds of governance tools have you worked with that have (dis)empowered different actors taking part in social innovation processes?

## 2 The theories that underpin the training tools of the project

### 2.1 Looking back at the first tool of the project, the framework that provides a basis for this tool

The TRANSIT project has developed one training tool prior to this one, titled **Five Shades of Change? The relation between social innovation and societal transformation**. The following section provides a background on the thinking underpinning this tool: an important basis for the content of this manual.

The TRANSIT project works from the implicit assumption found in many social innovation discourses that social innovation can lead to societal transformation. This premise leads to the main research question of the project: *‘how and to what extent does social innovation contribute to societal transformation that responds to societal challenges, and how are people empowered to contribute to such processes’* (Avelino et al. 2014: 8)<sup>i</sup>? TRANSIT sees ‘transformative social innovation’ as a process, through which social innovation contributes to societal transformation. In doing so, a distinction is made between ‘social innovation’ and ‘societal transformation’ and how social innovation interacts with ‘other forms of change and innovation, and how they can be distinguished (idem: 5).

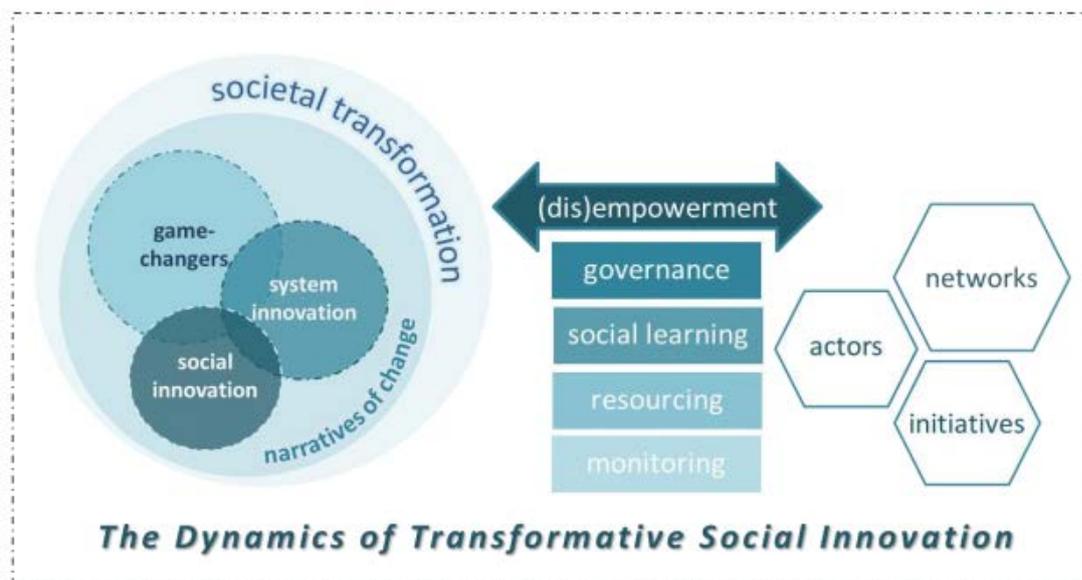
In the initial phases of the TRANSIT project, the multi level perspective (MLP), taken from transition research, provided inspiration and a central framework for the research (Avelino et al 2014). The MLP is a heuristic that aids in getting a sense of the complexity of systems dynamics and the co-evolution between structure and agency (idem). It theorises that the dynamics of social transitions and distinguishes three levels: the landscape (exogenous macro trends, such as climate change or the economic crisis), regimes (dominant institutions and practices, such as state reform), and niches (places of innovative practices). The concept argues that transition occurs when changes occur at three levels and reinforce each other, leading to systemic transformation (idem).

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The MLP was used in the project to conceptualise different levels of transformative social innovation. What is termed *social innovation* occurs at the level of niches, *system innovation* (institutions, social structure and physical infrastructure) at the meso-level of regimes, and *game changers* (developments that change the game of societal interaction) at the macro level of the landscape. It is the interaction between the levels that is thought to bring about TSI. It also incorporates *narratives of change* (discourses related to change and innovation) as a communication between the levels.

Work in TRANSIT has broken away from MLP perspective. Abandoning the use of levels, the research proposed a conceptual heuristic that distinguishes ‘five shades of change’ (see the left side of Figure 1) that ‘co-evolve’ to bring about societal transformation.

Figure 1 Conceptual Heuristic to Explore the Dynamics of Transformative Social Innovation (Avelino et al. 2014: 8)



The figure above depicts the hypothesis that ‘societal transformation is shaped and produced by particular patterns of interaction between the five shades of change, namely game-changers (or macro-developments), system innovation, narratives of change, social innovation and societal transformation. Individual actors, initiatives and networks, are empowered (or disempowered) to contribute to this process through different forms of **governance**, social learning, resourcing, and monitoring (Haxeltine et al. 2014, Avelino et al. 2014: 8)<sup>ii</sup>. The working definitions of the five shades of change are outlined in the table below.

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Table 1: Five Shades of Change and Innovation: Working Definitions (adapted from Avelino et al. 2014: 9)

<b>5 Shades of Change and Innovation</b>	<b>Working definitions</b>
Social innovation, i.e. new business models, new services, new sharing practices	New social practices, including new (combinations of) ideas, models, rules, social relations and/or products.
System innovation, i.e. financial systems, taxing, state reform, welfare reform, health reform	Change at the level of societal sub-systems, including institutions, social structures and physical infrastructures
Game-changers, i.e. economic crisis, and linked to this: unemployment, social isolation	Macro-developments that are perceived to change the (rules, fields and players in the) 'game' of societal interaction
Narratives of change, i.e. discourses and movement such as: the new economy, calls for welfare reform, new financial investment schemes	Discourses on change and innovation, i.e. sets of ideas, concepts, metaphors, and/or story-lines about change and innovation
Societal transformation	Fundamental and persistent change across society, exceeding sub-systems and including simultaneous changes in multiple dimensions.

## 2.1.1.1 What participants were asked to do in the first tool

The first tool of the project focused on these 'shades of change' and asked policy makers and practitioners to discuss the relations between the different components of the model, provide examples from their own work, and develop their own TSI story (a recounting of an experience with the relations between social innovation and societal transformation). This process allowed participants, in the telling of their story, to view their experiences in a broader context and link them to societal change. It also asked them to challenge cultural assumptions and to assess how experiences are the basis for acting. This tool was the first in a series of tools to be part of the TRANSIT project.

This governance tool is the second in the series. This manual includes a sessions to the shades of change as an introduction to the framework of the project.

## 2.1.2 Placing governance in the Transit TSI framework

This manual on governance tools for social innovation uses, as foundation, the framework described above. The framework on 'shades of change' underlines the idea that governance is a concept that is about (dis)empowering<sup>2</sup> actors (including but not limited to government) to be involved in resolving societal challenges. This requires governance mechanisms and processes to do so (DoW 2014:7). What is important for the tool developed in this manual is that the framework identifies 1) governance as a cross cutting theme and governance as important in the empowerment process, and 2) actors, networks and interventions as the subjects of the empowerment. The following section will focus on the importance of the actors and networks, and the current literature on the governance.

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<sup>2</sup> There is acceptance of the real possibility that governance may 'dis-empower' as well (see Pel & Bauler 2014).

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TRANSIT uses the following definition of governance: it relates to the processes of governing (regulating, decision-making, steering) by all types of actors (including but not confined to government). Governance can be divided into

- **internal governance** with focus on internal decision-making and mechanisms of inclusion and exclusion and
- **external governance** which focuses on the structures and mechanisms which influence networks and initiatives and which networks try to use to obtain influence (Del 4.2 upcoming).

TRANSIT defines (dis)empowerment as a process in which people gain (or lose) the feeling that they can influence their surroundings and the direction of events. The question of how people feel (dis)empowered regarding change and innovation relates to a question on how people gain or lose the feeling that they can influence the direction of change or innovation (Del 4.2 upcoming).

## 2.1.2.1 The conundrum: transformation or capture?

The project has been focusing to date on the development of a theory of transformative social innovation. To develop this Governance tool, it was necessary to develop some conceptual underpinning related to governance of (T)SI. For this, Pel and Bauler (2014)<sup>iii</sup> produced a position paper, the **Institutionalization of Social Innovation: Between Transformation and Capture**; a position paper developed specifically to deal with the cross-cutting theme of **Governance**<sup>3</sup>.

To underline some key points related to governance of (T)SI the authors mention that:

- Governance highlights that social innovation is a collective process involving diverse societal actors, who interact in networks (using the public administration perspective, this introduces a network perspective). Networks develop around perceived issues.
- Networks are developed by actors with different perceptions of the problems and the solutions; these actors are interdependent, as they do not individually have the resources (funds, knowledge and skills, political connections, etc) to 'go it alone'.
- Networks go through an (internal) institutionalisation process: institutionalisation is driven by the key values of the members and involves the development of 'rules of the game'. Negotiation of these values and rules are key elements of the (internal) governance of networks (idem: 1).

Pel and Bauler (idem:3) also re-emphasise certain characteristics that distinguish (T)SI and influence governance. SI serves social/societal problems and develops when state and market are incapable of dealing with persistent societal needs. They also emphasise that SI is distinguishable from policy reforms and public sector innovations. SI occupies the institutional space between the public, market

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<sup>3</sup> Session 0.3 in this training is dedicated specifically to the contents of this paper and the questions that the authors raise.

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and civil society sectors (the third sector). SI is often about the empowerment and mobilisation of the politically marginalised and involves the creation of *new institutional configurations*.

In the paper, the authors bring up the question as to how the *concept of (transformative) social innovation and its associated practices can be institutionalised: anchored in newly established institutions or embedded in existing ones* (idem: 2)? They question how social innovation arrangements can be embedded in decision making structures. They wonder if the institutionalisation of social innovation will be able to embrace the novelty of social innovation (by for instance establishing new rules of the game), or whether governance of social innovation will somehow be reduced to ‘the same old game’ (ibid)? They pose this question in another manner: *do we see social innovation breaking through and becoming mainstream? Or do we witness the . . . capture and stifling of transformative potentials through the inertia and cooptation power of existing governance constellations* (Pel and Bauler 2014:5)?

Pel and Bauler point out that what makes SI transformative is change at the level of systems: their concern is if the institutionalisation (governance) of TSI (networks) will result in transformation (so system change) or capture (system reproduction or stifling of initiatives).

Does TSI require ‘different’ forms of governance, both internally and externally?

Pel and Bauler’s paper also provides an important basis for the approach taken in this manual. Using the distinction between internal and external forms of governance, participants will discuss different dimensions of governance in the training:

- Related to internal governance, actors in networks and their perceptions and interests, interdependencies; key qualities, resources, as well as processes of institutionalization and the rules/values that are developed;
- Related to external governance, the experiences that policy makers have in ‘governing’ TSI initiatives, and current trends in the external governance environment, attempts to better support social innovation.

The following sections develop these themes a bit further. This is done to look briefly at governance literature, and what the authors are currently writing about possible approaches to dealing with the questions that Pel and Bauler pose.

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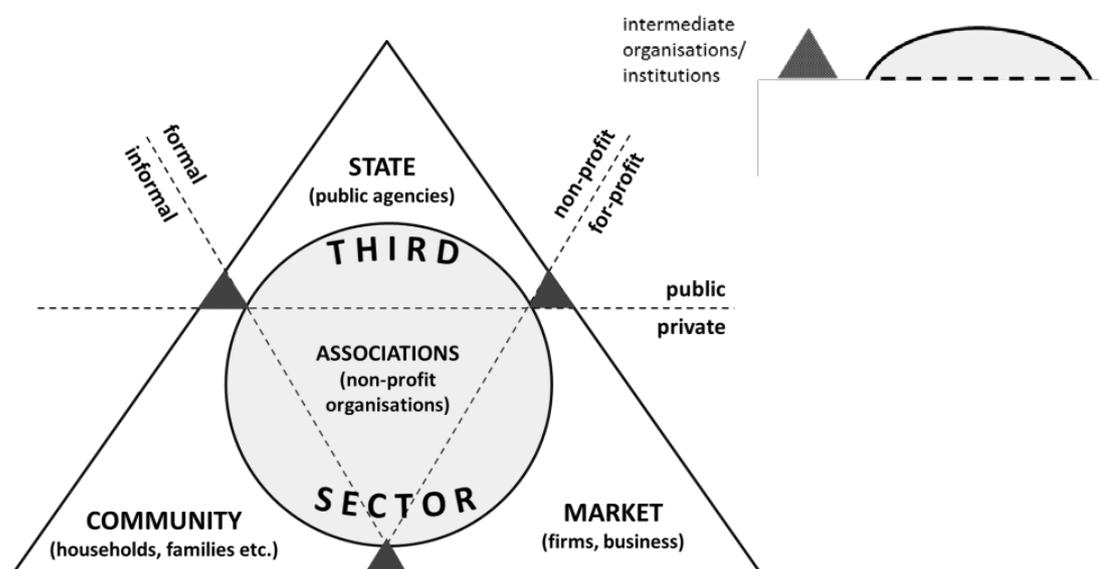
## 2.1.2.2 Actors, networks and governance

The role of actors is important to help in addressing the role of governance in promoting social innovation. With the increasing consensus in research on governance that the top-down steering of the government and the liberal free market approach are not achieving the necessary societal solutions alone, current management practices are seen as outmoded (Loorbach 2010). Again, the concept of governance underlines the idea that governing is not done by government alone, but is related to the manner in which different actors together shape a process (DoW 2014: 28).

Loorbach (idem:165 and 166, referring also to de Bruin et al 1998)<sup>iv</sup> makes a distinction related to governance: *besides government, other societal actors also attempt to direct a process where they have mutual influence . . . all societal actors exert influence and thus direct social change . . . through agency and interaction in networks, society is shaped as well, to which we conceptually refer to governance.*' This emphasises a change in roles of actors, but also underlines that governance involves the act of steering.

This change in the role of actors is taken up in a theoretical framework taken from studies on the social economy and the third sector. What is called the multi actor perspective (MaP) locates the third sector as an intermediary sector between the government, the private sector and the community, and identifies it as an important force in social innovation, as well as in facilitating the creation of transnational networks (DoW 2014:28). The third sector is seen in this framework as taking a crucial role in the intersections between sectors, so for instance in the interface between the government and the community, or the market and the government. Avelino et al (2014) give examples such as social enterprises, universities, cooperatives and community networks.

**Figure 2** | Multi-actor Perspective: level of sectors: The Welfare Mix (Source: Evers & Laville 2004:17 , adapted from Pestoff 1992:2537) (Avelino & Wittmayer 2014)



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The MaP distinguishes between the different actors displayed above, at three levels of aggregation: these are 1) sectors, 2) organisations / groups and 3) individuals. This framework is useful when identifying the actors that are involved in social innovation networks and the roles they play, whether as members of sectors, organisation or as individuals.

The following section looks further at literature on the governance of networks. As there is little literature on the governance of social innovation, much is taken from the literature on the governance of (policy) networks by the public sector, networks in which the public sector is one of many actors, but has the role of steering these networks. This literature deals with internal as well as external governance and is seen as relevant for this training.

## 2.1.3 Theories on governance of networks

Though there has been substantial criticism of the governance and management mechanisms used by government to bring about societal change, there is also recognition of the fact that it would be difficult to govern society without government (Meadowcroft 2015; Pierre 2000; Scharpf 1999, Loorbach 2010)<sup>v</sup>. This has led to the search for more 'effective' forms of government and new strategies, as a way of providing support to networks working to effect societal change. The focus has been on recognising, as mentioned above, the change in balance in the roles of the state, market and society, linked to approaches to facilitate the process of networking and initiatives. These approaches look at ways of generating new perception of problems, agendas, alternative, ideas and solutions that can support the policy making processes (Heritier in Loorbach 2010:162).

For the purposes of this tool, we look briefly at two theoretical streams, transition theory and network governance theory. The following two sections give brief aspects of both.

### 2.1.3.1 Transition theory

Transition theory is linked to the hypothesis of the project that the co-evolution of shades of change causes societal transformation. In transition theory, transitions are fundamental changes that occur in structure, culture and practices of our societal system (Frantzeskaki et al 2012).

One author describes the tension between 'open-ended and uncertain character of progress' and the tendencies in society to control, steer and manage this process, a process of governance. Transition theory suggests a way to steer in this uncertainty (idem)<sup>vi</sup>. Because of the complexity of society, as well as the open ended, uncertain nature of the process, governance has to work according to other

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guiding principles than more traditional (hierarchical) management practices, and cannot be governed by a linear, target oriented approach. Klijn and Koppenjan (2012)<sup>vii</sup> concur that the process is often erratic and lumpy (see also Pel and Bauler 2014). This implies a search for governance tools and steering mechanisms that will be able to coordinate processes at both the societal and political levels and that are, as well, participatory and equitable (idem).

The governance process in the transition approach is intended to create opportunities and space for short term innovation, as well as longer term visions of sustainability that might lead to societal change (Loorbach 2010). Such processes produce multi-actor innovation networks that share visions and agendas and work to influence policy processes at the systemic level. Empirically there has been evidence of this in the energy supply, mobility, health care, agriculture, and water management sectors (Loorbach 2007, Loorbach 2010)<sup>viii</sup>.

Certain authors dealing with transition management also refer to the need for new approaches (interactive, participatory, network and process) on the part of government to deal with networks. They mention the need for governance tools to understand and facilitate networks, and approaches to persistent societal issues that give importance to learning, interaction and experimentation (idem).

## 2.1.3.2 Network Governance theory<sup>ix</sup>

Network governance theory (GNT), take from public sector literature deals with the nature of (policy networks and the trend in practices of the public sector in the governance of these networks. Some points mentioned in Pel and Bauler's paper are developed a bit further. The following are relevant for the training:

### **Complexity, actors, interdependency and frames (and institutional logics)**

Our society is increasingly complex and is characterised by 'wicked' (or persistent) problems (Koppenjan and Klijn 2004)<sup>x</sup>. Individual actors, including the government, are inter-dependent as they are unable to deal with these problems or find solutions on their own. The interdependence between actors is seen as a core factor in bringing about the formation of networks and in sustaining them (Agronoff and McGuire, 2003; Koppenjan and Klijn, 2004)<sup>xi</sup>. In addition, as actors also have different perceptions of the problem and solutions; they choose strategies on the basis of their perceptions (or frames) of the world (Schön and Rein, 1994)<sup>xii</sup>. This makes the steering of networks additionally complex. It is therefore important to understand the frames that actors use, the interests they have and how these influences the governance process.

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The discussion on frames is somewhat similar to the one on institutional logics in the multi actor perspective (Avelino and Wittmayer 2014). The logics used in networks are based on the logics of the different sectors, these logics influence how institutions and actors perceive issues and negotiate solutions. In the governance of networks, it is therefore important to understand the institutional logics of the different sectors in the discussion and formulation of ideas and solutions.

## **Network management (internal and external governance)**

Networks require guidance and management of interactions. In the literature on the public sector, this is called network management (Kickert et al, 1997)<sup>xiii</sup> and involves activities to facilitate the interaction process, activities to change the composition of the network for better coordination, or activities to change content (stimulate new ideas, stimulate joint research, etc.). The horizontal nature of network management implies that it is a different approach than more hierarchical approaches.

## **Institutional features and design, informal vs. formal**

Institutionalisation of networks is something that may evolve over a long time, brought about by the continued interaction between the members of the network. Some networks may be formally anchored in rules and legislation, while others may start informally, evolve over a longer period, and the rules may be built around the (social) values of its members. One can make a distinction between formal and informal rules of engagement (Koppenjan and Klijn 2004).

In the internal governance of networks, it is interesting to understand what strategies actors use to make and change the rules, i.e. related, for instance, to the access of the new members to the network, to efforts to self-regulate, or procedures to regulate conflicts.

## **The qualities of actors that can influence and steer (innovation) networks**

Much has been written in management literature in the past 20 years on the types of skills needed by private managers; these theories have also been embraced in the public sector (new public management). In the network perspective, the focus is on the key qualities and competences needed by actors that govern networks (internally and externally).

Actors in networks cannot resort to more traditional forms of management, but must possess skills to manage the horizontal relations in networks and as well as skills in negotiation, to bind actors and to forge new solutions that appeal to various actors whose resources are required to implement solutions (Agranoff and McGuire 2003, Koppenjan and Klijn 2004). Sorenson and Torfing (2009a)<sup>xiv</sup> argue that a new type of leadership is needed and split these types of leaders into three different roles:

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leaders that assume the role of **convener, facilitator and catalyst**. In short, these have the following qualities:

**Conveners:** bring together actors, and spur interaction and exchange of information: For instance: identify actors, motivate them to participate, clarify roles, design the process, encourage interaction, secure political support, give direction to joint search for innovative solutions

**Facilitators:** get actors to collaborate by constructively managing differences and engaging in a process of mutual learning. They might aid in:

- ensuring meetings are efficient, communication is smooth, activating actors that are not contributing;
- Building trust, developing common frames, mediating conflicts, removing obstacles;
- Supporting the development of common rules and procedures for interaction.

**Catalysts:** create disturbances and stimulate actors to think out of the box; they ensure the implementation of new and bold solutions. They for instance:

- Create a sense of urgency, prevent lock in, encourage change of perspective, create open and creative searches for alternatives;
- Include new actors in the network to stimulate alternative thinking, inspiration;
- Facilitate the management and negotiation of risks associated with new and innovative solutions.

## Meta -governance

When looking at networks, also social innovation networks, literature has also been looking at the ability of networks to govern themselves and their members, the concept of self-governance. As mentioned above, the challenge is for networks to organise themselves and to produce organisational structures, principles and policies, all in the context of horizontal relations (Avelino et al 2014).

But what of the role of external governance? Sorenson and Torfing (2009b)<sup>xv</sup> introduce the concept of meta-governance for the management of networks (see also Klijn and Koppenjan 2012). Meta-governance is seen as tool to influence network processes without reverting to more hierarchical and traditional command and control approaches (Sorenson and Torfing 2011)<sup>xvi</sup>. Sorenson and Torfing (idem: 245) call meta-governance ‘the governance of governance’.

The authors mention challenges for the public sector, namely avoiding over regulating networks in a manner that constrains their strategies to self-regulate. Instead of using direct policy processes to steer networks through rules, laws and commands, public officials ‘*must devolve political competence and decision making power to governance networks*’ (Sorenson and Torfing 2009b: 246). This implies a form of delegation of governance to the networks. Public officials must resort to regulating networks

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using more subtle and indirect forms of governance. They must attempt to steer the actions of free agents using goals, general principles or procedures. The concept therefore refers not only to 'governance of governance' but also 'regulation of self regulation' (Dean 1999 in Sorenson and Torfing 2009b).

The tools that public authorities can use to meta-govern networks (see also previous section on GNT) are as follows:

- Network design: influences the scope, character and composition and institutional procedures of networks
- Network framing: determines the political goals, fiscal and legal structures, and 'discursive story lines of networks
- Network management: reduces tensions, conflicts, empowers actors, lowers transaction costs through different kinds of inputs and resources
- Network participation: attempts to influence the policy agenda, range of options, decision making and negotiated policy outputs (Sorenson and Torfing 2009b: 246-7, see also Klijn and Koppenjan 2012).

The first two forms of meta-governance entail a more hand-off role for the public sector, whereas the last two a more hands-on involvement. The difference in which to use will vary according the policy issue or area. Hands-on meta-governance will more likely be needed in areas where the lack of involvement might have fatal consequences; therefore close interaction with networks is required (i.e. protection of law and order, public health discussions).

## 2.2 Conclusion

In the making of this tool, TRANSIT is interested in entering into a dialogue with practitioners, policy makers, academics and social innovators on their experiences with the governance of social innovation networks.

The previous sections have provided a short description of theories underpinning the governance of networks. What comes out of this is the importance of the actors involved, and in connection to social innovation, of the constant reconfiguration of their roles in governance of networks. Also important are the development and natural evolution of institutional rules and values in the internal governance of networks, as well as skills needed to govern networks. Finally, of essence is how external governance mechanisms stimulates or hinders the functioning of social innovation networks.

The sections below outline the aim, objectives and themes covered in this tool.

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## 3 The aim of this tool

The overall aim and focus of this tool is to understand the nature and dynamics of the internal and external governance of social innovation networks. The intention is to discuss and conclude on the forms of internal and external governance that support the innovative (and transformative) potential of SI initiatives / networks (and not restrain them). With this tool participants will explore:

- The actors found in social innovation networks, their importance for the network and their frames and institutional logics. The presumption here is that actors include the public, private, community and third sectors;
- The institutional provisions (regulating, decision-making, steering) that they employ to govern networks;
- The resources that actors bring to networks and the influence of these resources on the governance of the networks;
- External form of governance, including experiences with meta governance.

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## Module description

This section describes the objectives, topics, methodology and outline of the 3 modules of this manual.

Module 0 is used for the trainer and participants to get to know each other and to discuss the objectives and the content of the training as well as the methods to be used during the sessions. It is also used to discuss key concepts underpinning the project and the manual.

### 3.1 Module 0: General Introduction to Module(s) and Key Concepts

#### 3.1.1 Objectives and topics

##### 3.1.1.1 Introduction to the course:

Participants should be able to:

- Introduce themselves and state their objectives for attending the training
- Discuss the objectives of the training, the content and schedule, as well as the methods to be used

##### 3.1.1.2 Introduction to the key concepts

Participants should be able to:

- Discuss the key concepts that underpin transformative social innovation
- Discuss the conceptual model: shades of change and its significance
- Reflect if the framework has some relevance in their life and work
- Reflect on the definition of governance
- Discuss how institutionalisation of TSI might result in 'transformation' or 'capture'.
- Debate whether and how the governance of TSI should be 'different' so as to ensure the innovative and transformative potential of SI initiatives

##### 3.1.1.3 Presentations of participants

- Participants should be able to perform an elevator pitch of their social innovation cases or initiatives

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## 3.2 Module 1: Actors, perceptions (frames) of problems and dependencies<sup>4</sup>

### 3.2.1 Objectives and topics

Participants should be able to:

- Identify the actors and their importance for the network
- Discuss the concepts of *framing* and *institutional logics*, using the Multi-actor perspective
- Reconstruct the perception of the problem and conclude where possible synergies or conflicts exist
- Analyse the objectives and interests of the actors, and find possible synergies or conflicts
- Analyse the position and dependencies of the actors, and determine which actors /resources are critical to the (governance of the) network.

### 3.2.2 Key themes and questions

Key themes and question handled in this module will be:

#### **Module 1: Actors, perceptions (frames) of problems and dependencies**

1.1 Identify the actors:

- What actors are taking part in the network?
- In the network which of the actors are important for the realisation of the objectives of the network?

1.2. Reconstruct the perception of the problem and the solution

- What is the perception of each of the actors of the problem, the causes and effects of that problem, and possible solutions to the problem?
- How are the perception related to/driven by the sector or organisation to which they belong?
- To what degree do perceptions differ?
- What conflicts could occur as a result of the differences in perceptions?
- How do these conflicts influence the 'steering' of the network?

1.3: Analyse the position and dependencies of the actors

- What resources do the actors have at their disposal? (Resources (formal and informal) can be
  - Production means (money, land, capacity, information)

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<sup>4</sup> Some of the themes and questions Module 1 and 2 were adapted from:

Koppenjan J.F.M. and EH Klijn (2004) *Managing Uncertainties in Networks: a network approach to problem solving and decision-making*, London: Routledge.

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- Authority and power
- Knowledge, insights and ideas
- Legitimacy / support
- Relations, media access
- How important are these resources? Can they be obtained from elsewhere?
- Is there evidence of mutual dependency or is it unilateral?
- Can you define the actors as critical? As dedicated? As comparable/replaceable?
- How do resources influence the ‘steering’ of the network?

## 3.2.3 Methodology for all modules

The training methodologies will include introductory lectures, guided and structured discussions, group work, debates, storytelling and role play. The methodology is further elaborated in the facilitators’ guide (part IV of this Deliverable 6.4).

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## 3.3 Module 2a: The governance of networks: institutional provisions that steer actors / the qualities of actors that can steer

### 3.3.1 Objectives and topics

#### **Institutional provisions**

Participants should be able to:

- Identify, discuss and compare the institutional provisions that connect actors
- Determine which institutional provisions aid or hinder the interaction and the work of the network

### 3.3.2 Key themes and questions

#### **Module 2a: institutional provisions**

##### 2.1 Institutional provisions that connect actors

- What formal rules or juridical procedures have been established?
- Have any institutional arrangements been instituted?
- What kind of informal rules can be identified (for instance, openness to new members, procedures for access to information, etc.)?
- What procedures exist related to discussions, meetings and consultations that influence or structure the interaction or how decisions are made? Do these support or hinder the interaction?
- Is there evidence of trust between network members (relational contracting)?

#### **Module 2a: the qualities of actors that can steer**

### 3.3.1 Objectives and topics

Participants should be able to:

- Identify the key qualities of an actor who is able to influence or steer a network

### 3.3.2 Key themes and questions

2.2: What are the key qualities of a person who is able to influence or steer a network? The qualities of convenors, facilitators and catalysts.

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## 3.4 Module 2b: Governance of networks: external governance, the concept of meta-governance

### 3.4.1 Objectives and topics

Participants should be able to:

- Discuss trends in thinking on external forms of governance, including the concept of meta governance
- Reflect on what meta governance implies for the current approaches to external forms of governance

### 3.4.2 Key themes and questions

2.3: Trends in thinking on external forms of governance.

- What forms of external governance hinders SI initiatives?
- Is there evidence of meta-governance (network design, network framing, network management and network participation) in SI networks with which you have contact? Has it supported these networks?
- Which forms of *external* governance mechanisms and processes support the innovative (and transformative) potential of SI networks (and not restrain them)?

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## 3.5 Outline of the modules on Governance Tools for Transformative Social Innovation

The tables below refer to 3 modules. The first is a general introductory module introducing the training and the key concepts. The second and third modules, outlined in the tables below, cover more practical issues of governing SI.

As our work progresses, the other modules (on social learning, resourcing and monitoring) will be added. Each module consists of various sessions as building blocks that can be used in whatever sequence is deemed most appropriate in a specific context. This allows the facilitator to adapt the sessions and modules.

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## Outline of modules: Objectives and methods per session

**Table 2: Module 0: General Introduction to Module(s)**

Module 0: General Introduction to Module(s) and Key Concepts				
Title of module/ session	Objectives.	Keywords on contents/activities	Nature of the activities	Notes (completed by facilitator)
Session 0.1: opening 60'	<p>Participants should be able to:</p> <ul style="list-style-type: none"> <li>Introduce themselves and state their objectives for attending the training</li> <li>Discuss the objectives of the training, the content and schedule, as well as the methods to be used</li> </ul>	Welcome, interests of the participants	Informal exchange among the facilitator and participants and among participants.	Participants handbook, including key readings Power point presentation Ice breaking instructions
Session 0.2: Key concepts that underpin transformative social innovation 60'	<ul style="list-style-type: none"> <li>Discuss the key concepts that underpin transformative social innovation</li> <li>Discuss the conceptual model: shades of change and its significance</li> <li>Reflect if the framework has some relevance in their life and work</li> </ul>	<p>Introduction to concepts being explored, the importance of social innovation</p> <p>Introduction to the concepts of social innovation; societal change and transformation.</p> <p>Reflection application to own situation</p>	Short lecture, guided discussion, exchange of practical experience	Use a shortened version of the module on shades of change, Power point presentation, flipcharts and pens needed
Session 0.3: Governance and institutionalisation of TSI: between transformation and capture 90'	<ul style="list-style-type: none"> <li>Reflect on the definition of governance</li> <li>Discuss how institutionalisation of TSI might result in 'transformation' or 'capture'.</li> <li>Debate whether and how the governance of TSI should be 'different' so as to ensure the innovative and transformative potential of SI initiatives</li> </ul>	<p>Definitions of governance, also used in project</p> <p>Discussion key points Pel and Bauler paper</p>	Short lecture, guided discussion, short debate	Pel, B and T Bauler (2014) The Institutionalisation of Social Innovation: between Transformation and Capture, unpublished position paper, TRANSIT deliverable D2.2 cross-cutting theme 'Governance'
Session 0.4: Elevator pitch 90'	<ul style="list-style-type: none"> <li>Perform an elevator pitch of their case</li> </ul>	Participants present examples of innovation networks in which they have been involved and their role in the networks	Individual presentations by the participants.	Presentations/Case studies should be provided by the participants, they will be asked to bring information when they come, trainer to provide the ToR

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**Table 3: Module 1 and 2**

<b>Module 1: Actors, and a) frames and institutional logics, and b) dependencies /resources</b>				
Title of module / session	Objectives.	Keywords on contents/activities	Nature of the activities	Notes
Session 1.1: Actors and importance for the (SI) network 90'	Participants should be able to: <ul style="list-style-type: none"> <li>Identify the actors and their importance for the network</li> </ul>	Identify the actors and their importance for the network	Short lecture, brainstorm, guided discussion	Power point presentation on MAP, flipchart and pens
Session 1.2: Actors, framing and institutional logics 90'	<ul style="list-style-type: none"> <li>Discuss the concepts of <i>framing</i> and <i>institutional logics</i>, using the Multi-actor perspective</li> <li>Reconstruct the perception of the problem and conclude where possible synergies or conflicts exist</li> <li>Analyse the objectives and interests of the actors, and find possible synergies or conflicts</li> </ul>	Framing and Institutional logics used when describing the problem and looking for the solution Possible synergies and conflicts Influence on outcomes	Short lecture, brainstorm, group work, structured discussion on case studies, feedback in plenary	Power point presentation, flipchart and pens
Session 1.3: Actor resources and (inter)-dependencies 90'	<ul style="list-style-type: none"> <li>Determine which actors /resources are critical to the (governance of the) SI network</li> </ul>	Resources actors bring to the network, the importance of these resources, resources and power	Short lecture, brainstorm, group work, structured discussion on case studies, feedback in plenary	Power point presentation, flipchart and pens
<b>Module 2a The Governance of Networks: internal institutional provisions and qualities of actors that can steer</b>				
Session 2.1: Institutional provisions 90'	Participants should be able to: <ul style="list-style-type: none"> <li>Identify, discuss and compare the institutional provisions that connect actors</li> <li>Determine which institutional provisions aid or hinder the interaction and the work of the network</li> </ul>	Formal and informal rules and procedures, formalisation of institutional arrangements, trust and relational contracting	Short lecture, brainstorm, group work, structured discussion on case studies, feedback in plenary	Power point presentation, flipchart and pens

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Session 2.2: 90'	<ul style="list-style-type: none"> <li>Identify the key qualities of an actor who is able to influence or steer a network</li> </ul>	Qualities and competences of actors that are able to steer (catalyst, facilitator, convenor)	Short lecture, brainstorm, group work, role play, feedback in plenary	Power point presentation, flipchart and pens
<b>Module 2b The Governance of Networks: external forms of governance</b>				
Session 2.3: external governance through meta-governance 90'	<p>Participants should be able to:</p> <ul style="list-style-type: none"> <li>Discuss how more traditional forms of governance may be hindering TSI initiatives</li> <li>Discuss trends in thinking on external forms of governance, including the concept of meta governance</li> <li>Reflect on the external forms of governance that can support the innovative (and transformative) potential of SI networks (and not restrain them)</li> </ul>	The concept of meta-governance, alternative roles for external governance	Short lecture, brainstorm, group work, debate, feedback in plenary	Power point presentation, flipchart and pens
Session 2.4 30'	<ul style="list-style-type: none"> <li>Reflect and conclude on key learning experiences</li> </ul>	Peer learning, translating theory to practice, evaluation of learning	Individual reflection, discussion in plenary, led by facilitator	Flipchart and pens to record impressions and outcomes

# **transformative social innovation theory**

## **4 Session Plans**

### **4.1 Session 0.1: Opening**

**Duration:** 60'

**Objectives:**

Participants should be able to:

- Introduce themselves and state their objectives for attending the training
- Discuss the objectives of the tool, the content and schedule of the training, as well as the methods to be used

**Key words:**

Welcome, interests of the participants

**Nature of the session**

Informal exchange among the facilitator and participants and among participants.

**Facilitator:** (insert name of the facilitator)

**Handouts**

Participant's handbook, including key readings

Power point presentation (PPT 1)

Ice breaking instructions

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## 4.2 Session 0.2: key concepts that underpin transformative social innovation

**Duration:** 60'

### **Objectives:**

Participants should be able to:

- Discuss the key concepts that underpin transformative social innovation
- Discuss the key elements of the conceptual model: shades of change
- Reflect if the framework has some relevance in their life and work

### **Key words:**

- Introduction to concepts being explored, the importance of social innovation,
- Introduction to the concepts of social innovation; societal change and transformation.
- Reflection application to own situation

### **Nature of the session**

Short lecture, guided discussion, exchange of practical experience

**Facilitator:** (insert name of the facilitator)

### **Handouts /equipment**

Power point presentation on shades of change (PPT 2), flipcharts and pens needed

### **Readings**

Avelino, F. Wittmayer, J., Haxeltine, A., Kemp, R., O’Riordan, T., Weaver, P., Loorbach, D. and Rotmans, J. (2014) Game-changers and Transformative Social Innovation. The Case of the Economic Crisis and the New Economy, [TRANSIT working paper], A deliverable of the project: “Transformative Social Innovation Theory (TRANSIT)” European Commission – 7th Framework Programme, Brussels: European Commission, DG Research, EU SSH.2013.3.2-1 Grant agreement no: 613169.

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## 4.3 Session 0.3: Governance and institutionalisation of TSI: between transformation and capture

**Duration:** 90'

### **Objectives:**

Participants should be able to:

- Reflect on the definition of governance
- Discuss how institutionalisation of TSI might result in 'transformation' or 'capture'.
- Debate whether and how the governance of TSI should be 'different' so as to ensure the innovative and transformative potential of SI initiatives

### **Key words:**

Definitions of governance, also used in project, discussion key points Pel and Bauler paper

### **Nature of the session**

Short lecture, guided discussion, short debate

**Facilitator:** (insert name of the facilitator)

### **Handouts /equipment**

Power point presentation (PPT 1)

### **Readings**

Pel, B. and T. Bauler (2014) *The Institutionalisation of Social Innovation: between Transformation and Capture*, unpublished position paper, TRANSIT deliverable D2.2 cross-cutting theme

'Governance': EU SSH.2013.3.2-1 Grant agreement no: 613169. Available on:

<http://www.transitsocialinnovation.eu/content/original/Book%20covers/Local%20PDFs/110%20Tranist%20Position%20Paper%20Pel%20and%20Bauler%20The%20insitutionalization%20of%20SI%20between%20transormation%20and%20capture%20Transit%20Del%202%202%202014.pdf>

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## 4.4 Session 0.4: Elevator pitch

**Duration:** 90'

**Objectives:**

Participants should be able to:

- Perform an elevator pitch of their case

**Key words:**

Examples of innovation networks / role in the networks

**Nature of the session**

Individual presentations by the participants, Q and A

**Facilitator:** (insert name of the facilitator)

**Handouts /equipment**

Case studies /presentations provided by the participants

**Readings**

None

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## 4.5 Session 1.1: Actors, and their importance in the network

**Duration: 90'**

### **Objectives:**

Participants should be able to:

- Identify the actors and their importance for the network

### **Key words:**

- Identify the actors and their importance for the network
- Multi actor perspective

### **Nature of the session**

Short lecture, brainstorm, guided discussion

**Facilitator: (insert name of the facilitator)**

### **Handouts /equipment**

Power point presentation on MAP (PPT 1)

Flipchart and pens

### **Readings**

Avelino, F. Wittmayer, J., Haxeltine, A., Kemp, R., O’Riordan, T., Weaver, P., Loorbach, D. and Rotmans, J. (2014) Game-changers and Transformative Social Innovation. The Case of the Economic Crisis and the New Economy, [TRANSIT working paper], A deliverable of the project: “Transformative Social Innovation Theory (TRANSIT)” European Commission – 7th Framework Programme, Brussels: European Commission, DG Research, EU SSH.2013.3.2-1 Grant agreement no: 613169.

Koppenjan, J.F.M. and Klijn, E.H. (2004) *Managing uncertainties in networks: A network approach to problem solving and decision making*, London: Routledge

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## 4.6 Session 1.2: Actors, frames and institutional logics

**Duration:** 90'

### **Objectives:**

Participants should be able to:

- Discuss the concepts of framing and institutional logics, using the Multi-actor perspective
- Reconstruct the perception of the problem and conclude where possible synergies or conflicts exist
- Analyse the objectives and interests of the actors, and find possible synergies or conflicts

### **Key words:**

- Framing and Institutional logics used when describing the problem and looking for the solution
- Possible synergies and conflicts
- Influence on outcomes

### **Nature of the session**

Short lecture, brainstorm, group work, structured discussion on case studies, feedback in plenary

**Facilitator:** (insert name of the facilitator)

### **Handouts /equipment**

Power point presentation (PPT 1), flipchart and pens

### **Readings**

Avelino, F. Wittmayer, J., Haxeltine, A., Kemp, R., O’Riordan, T., Weaver, P., Loorbach, D. and Rotmans, J. (2014) Game-changers and Transformative Social Innovation. The Case of the Economic Crisis and the New Economy, [TRANSIT working paper], A deliverable of the project: “Transformative Social Innovation Theory (TRANSIT)” European Commission – 7th Framework Programme, Brussels: European Commission, DG Research, EU SSH.2013.3.2-1 Grant agreement no: 613169.

Avelino, F. & Wittmayer, J. (2014) “Shifting Power Relations in Sustainability Transitions: A Multi-actor Perspective”, paper presented at Workshop: Role of Civil Society in Sustainability Transitions, Rotterdam, The Netherlands, November 21, 2014

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Avelino, F., Bosman, R. , Frantzeskaki, N., Akerboom, S., Boontje, P., Hoffman, J., Paradies, G., Pel, B. Scholten, D., Wittmayer, J.(2014) The (Self-)Governance of Community Energy: Challenges & Prospects. DRIFT PRACTICE BRIEF nr. PB 2014.01, Rotterdam: DRIFT. Available on:  
[http://www.drift.eur.nl/wp-content/uploads/2014/02/PracticeBrief\\_CommunityEnergy\\_DRIFT\\_2014.pdf](http://www.drift.eur.nl/wp-content/uploads/2014/02/PracticeBrief_CommunityEnergy_DRIFT_2014.pdf)

Koppenjan, J.F.M. and Klijn, E.H. (2004) Managing uncertainties in networks: A network approach to problem solving and decision making, London: Routledge

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## 4.7 Session 1.3: Actor resources and (inter)-dependencies

**Duration:** 90'

**Objectives:**

Participants should be able to:

- Determine which actors /resources are critical to the (governance of the) network

**Key words:**

Resources actors bring to the network, the importance of these resources, resources and power

**Nature of the session**

Short lecture, brainstorm, group work, structured discussion on case studies, feedback in plenary

**Facilitator:** (insert name of the facilitator)

**Handouts /equipment**

Power point presentation (PPT 1), flipchart and pens

**Readings**

Koppenjan, J.F.M. and Klijn, E.H. (2004) *Managing uncertainties in networks: A network approach to problem solving and decision making*, London: Routledge

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## 4.8 Session 2.1: The Governance of Networks: institutional provisions that connect and steer actors

**Duration: 90'**

### **Objectives:**

Participants should be able to:

- Identify, discuss and compare the institutional provisions that connect actors
- Determine which institutional provisions aid or hinder the interaction and the work of the network

### **Key words:**

Formal and informal rules and procedures, formalisation of institutional arrangements, trust and relational contracting

### **Nature of the session**

Short lecture, brainstorm, group work, structured discussion on case studies, feedback in plenary

**Facilitator: (insert name of the facilitator)**

### **Handouts /equipment**

Power point presentation (PPT 1), flipchart and pens

### **Readings**

Koppenjan, J.F.M. and Klijn, E.H. (2004) *Managing uncertainties in networks: A network approach to problem solving and decision making*, London: Routledge.

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## 4.9 Session 2.2: The Governance of Networks: the qualities of actors that can steer

**Duration:** 90'

**Objectives:**

Participants should be able to:

- Identify the key qualities of an actor who is able to influence or steer a network

**Key words:**

- Qualities and competences of actors that are able to steer (catalyst, facilitator, convenor)

**Nature of the session**

Short lecture, brainstorm, group work, role play, feedback in plenary

**Facilitator:** (insert name of the facilitator)

**Handouts /equipment**

Power point presentation (PPT 1), flipchart and pens

**Readings:**

Sørensen, E. and J. Torfing (2009a), *Enhancing Social Innovation by Rethinking Collaboration, Leadership and Public Governance*, paper for conference, Social Frontiers

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## 4.10 Session 2.3: The Governance of Networks: external governance through meta-governance

**Duration:** 90'

### **Objectives:**

Participants should be able to:

- Discuss trends in thinking on external forms of governance, including the concept of meta governance
- Reflect on what meta governance implies for the current approaches to external forms of governance

### **Key words:**

Types of strategies, meta-governance, categorising effective strategies

### **Nature of the session**

Short lecture, brainstorm, group work, debate, feedback in plenary

**Facilitator:** (insert name of the facilitator)

### **Handouts /equipment**

Power point presentation (PPT 1), flipchart and pens

### **Readings**

Sørensen and J. Torfing (2009b) "Making Governance Networks Effective and Democratic through meta governance", *Public Administration*, Volume 87, Issue 2, Pages 161–431

Klijn, EH and J. Koppenjan (2012) "Governance network theory: past, present and future", *Policy & Politics* vol. 40 no 4, 587–606 (2012), <http://dx.doi.org/10.1332/030557312X655431>

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## 4.11 Session 2.4: Final reflection

**Duration:** 30'

**Objectives:**

Participants should be able to:

- Reflect and conclude on key learning experiences

**Key words:**

- Peer learning, translating theory to practice, evaluation of learning

**Nature of the session**

Individual reflection, discussion in plenary, led by facilitator

**Facilitator:** (insert name of the facilitator)

**Handouts /equipment**

Flipchart and pens to record impressions and outcomes

# transformative social innovation theory

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<sup>i</sup> Avelino, F. Wittmayer, J., Haxeltine, A., Kemp, R., O’Riordan, T., Weaver, P., Loorbach, D. and Rotmans, J. (2014) Game-changers and Transformative Social Innovation. The Case of the Economic Crisis and the New Economy, [TRANSIT working paper], A deliverable of the project: “Transformative Social Innovation Theory (TRANSIT)” European Commission – 7th Framework Programme, Brussels: European Commission, DG Research, EU SSH.2013.3.2-1 Grant agreement no: 613169.

<sup>ii</sup> Haxeltine, A, Wittmayer, J. and Avelino, F., Kemp, R., Weaver, P.; Backhaus, J. and O’Riordan, T. (2013) Transformative social innovations : a sustainability transition perspective on social innovation (Paper presented at the international conference Social Frontiers : The next edge of social innovation research, at GCU’s London Campus on 14th and 15th November 2013).

<sup>iii</sup> Pel, B. and Bauler, T. (2014) The Institutionalisation of Social Innovation: between Transformation and Capture, unpublished position paper, TRANSIT deliverable D2.2 cross-cutting theme ‘Governance’. Available at: <http://www.transitsocialinnovation.eu/content/original/Book%20covers/Local%20PDFs/110%20Tranist%20Position%20Paper%20Pel%20and%20Bauler%20The%20insitutionalization%20of%20SI%20between%20transormation%20and%20capture%20Transit%20Del%202%202%202014.pdf>

<sup>iv</sup> Loorbach, D. (2010) ‘Transition management for sustainable development: a prescriptive, complexity-based governance framework’, *Governance*, 23 (1), pp. 161-183

De Bruin, H., Ten Heuvelhof, E. and In ’t Veld, R. (1998). Procesmanagement: over procesontwerp en besluitvorming [Process management: On process design and decision-making]. Den Haag: Academic Service

<sup>v</sup> Meadowcroft, J. (2005). “Environmental Political Economy, Technological Transitions and the State.” *New Political Economy*, 10 (4), pp. 479-498

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<sup>x</sup> Koppenjan, J. and Klijn, E. (2004) *Managing uncertainties in networks: A network approach to problem solving and decision making*, London: Routledge

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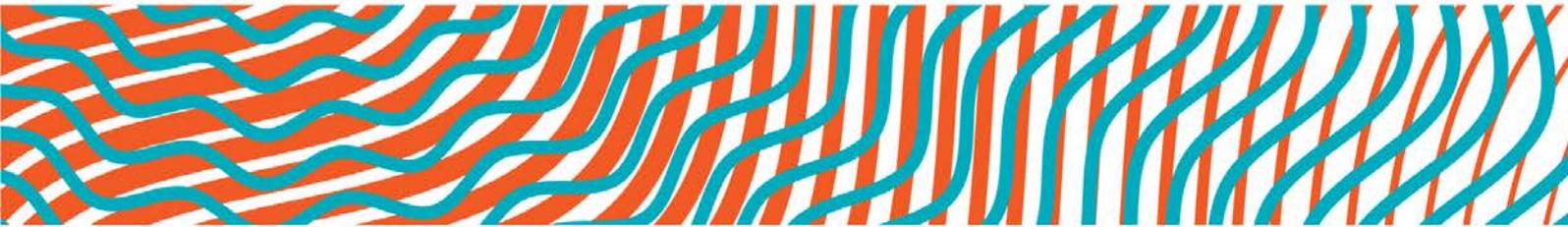
<sup>xiii</sup> Kickert, W., Klijn, E. and Koppenjan, J. (eds) (1997) *Managing complex networks: Strategies for the public sector*, London: Sage Publications.

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## Part II

# Facilitator's Handbook for the 2nd Training tool: Governance Tools for Transformative Social Innovation

Are you interested in becoming a facilitator? Please send an e-mail to [communication.transit@ihs.nl](mailto:communication.transit@ihs.nl). We can provide you with the Facilitators' Handbook and Powerpoint material.

## Deliverable n. 6.4, Part II

Theme [ssh.2013.3.2-1] [Social Innovation- Empowering People, changing societies]

Project Full Title: "Transformative Social Innovation Theory project"

Grant Agreement no. 613169



This project has received funding from the European Union's Seventh Framework Programme for research; technological development and demonstration under grant agreement no. 613169

**Focus of this deliverable:**

This deliverable provides a platform for policy makers, practitioners, academics and social innovators to exchange experiences on the governance tools that they have used to facilitate transformative social innovation processes. The deliverable asks our target group:

What kinds of key governance tools have you worked with that empower different actors to take part in social innovation processes?

Date:	20 March 2015
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### 3 Module 1: Actors a) frames and institutional logics, and b) dependencies

/resources ..... Error! Bookmark not defined.

- 3.1 Session 1.1: Actors, and their importance in the network**Error! Bookmark not defined.**
- 3.2 Session 1.2: Actors, frames and institutional logics**Error! Bookmark not defined.**
- 3.3 Session 1.3: Actor resources and (inter)-dependencies**Error! Bookmark not defined.**

### 4 Module 2a: Governance of networks: Internal institutional provisions and qualities of actors that can steer, as well as external governance mechanisms

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- 4.1 Session 2.1: The Governance of Networks: institutional provisions that connect and steer actors..... **Error! Bookmark not defined.**
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## 1 Introduction

This Facilitator's Handbook provide guidance on the implementation of the sessions designed and planned as part of TRANSIT's 2<sup>nd</sup> Training Tool: Governance Tools for Transformative Social Innovation. For each of the session, the notes provide information of the organisation of the session and, in some cases, suggestions for the trainer. The suggestions also cover some of the training methods proposed for the sessions.

In the future these notes will be updated as the sessions are improved.

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# **Annex I**

# **Review of Governance and Social Innovation web-based training tools**

**Deliverable n. 6.4, Annex I**

Theme [ssh.2013.3.2-1] [Social Innovation- Empowering People, changing societies]  
Project Full Title: "Transformative Social Innovation Theory project"  
Grant Agreement n. 613169



This project has received funding from the European Union's Seventh Framework Programme for research, technological development and demonstration under grant agreement no 613169

# transformative social innovation theory



## Focus of deliverable:

This deliverable provides a platform for policy makers, practitioners, academics and social innovators to exchange experiences on the governance tools that they have used to facilitate transformative social innovation processes. The deliverable asks our target group:

What kinds of key governance tools have you worked with that empower different actors to take part in social innovation processes?

## Reference:

Becerra, L., & Juarez, P. (2014), Annex I: Review of Governance and Social Innovation web-based training tools, TRANSIT Deliverable 6.3, TRANSIT: EU SSH.2013.3.2-1 Grant agreement no: 613169

<b>Date:</b>	20 March 2015
<b>Authors:</b>	Becerra, L. & Juarez, P.
<b>Lead partner:</b>	IHS
<b>Participating partners:</b>	UNQ and ULB
<b>Contact person:</b>	Linda Zuijderwijk IHS E-mail: zuijderwijk@ihs

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## The objective of this review is:

1. To position our work in relation to existing resources. Then we can answer the question: how does our tool add to existing resources, in terms of content and in form?
2. To characterize the tools available in relation with five dimension:
  - a. Goal of the training tool
  - b. Target group
  - c. If governance is oriented to policy making or for in-house governance; i.e. the training tool is for State-actors (public-governance) or for civil society (private-governance).
  - d. Thematic areas
  - e. Is it a 'how-to' tool? Or is it a 'reflective' tool?

## Section I: Characterization

In first place, an exhaustive search of web pages into issues of social innovation and governance was performed. For this activity, a set of criteria were used using google search engine and an annex that serves as working memory was made (see Section II.a).

The goal was to survey and characterize the set of training tools available according to the following dimensions:

- a. The training is virtual; in classroom; both?
- b. If it is virtual, does it have an online toolkit?
- c. Finally, the toolkit on governance, is it related with social innovation?

In section II full search results are displayed.

In table I, are analyzed only those training tools, which are virtual, have a toolkit and linked (directly or indirectly) to social innovation.

Main remarks:

1. There is a strong range of courses (in-classroom) on issues related to governance and social innovation.
2. All the surveyed classroom courses have a profile predominantly "how-to".
3. Complementing this, the target population is predominantly practitioners and this explains the how-to bias.

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4. Could not detect any classroom course or web-based engaged in transformative social innovation. Yes there are schools and courses transition but there are no courses that link social innovation with transformation.
5. In relation with “web-based tools” for governance and social innovation, the search resulted in 7 web-sites in Australia, 4 in Europe, 3 in United States, 3 in Canada and none in Latin America.
6. Of 13 training tools detected, only 1 is completely “reflexive”. The other 12 are mostly “how-to”.
7. Of 13 training tools detected, 10 are about private governance (training for the stakeholder or the civil society)

A table is presented with more detail:

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**Table I: Overview of tools in Europe, Latin America, United States, Australia & New Zealand and Canada.**

Table I: Summary of Training Tools for Governance - Social Innovation						
Title and source	Objective of tool	Target group	Public-governance or private-governance?	Thematic areas	Didactics	'How to' or 'Reflective'
<b>European Union</b>						
<b>Development Impact and You</b> <a href="http://diytoolkit.org/tools/people-connections-map/">http://diytoolkit.org/tools/people-connections-map/</a>	Map for clarifying relationships between stakeholders	Practitioners	Private governance	People engagement	A series of practical exercises are proposed. These have questions or forms that must be filled with information and the result is "learning".	How-to
<b>Development Impact and You</b> <a href="http://diytoolkit.org/tools/building-partnerships-map-2/">http://diytoolkit.org/tools/building-partnerships-map-2/</a>	Map for working with other groups	Practitioners	Private governance	Planning, development, implementation and assessment of engagement activities	Idem	How-to
<b>Social Innovator</b> <a href="http://socialinnovator.info/process-social-innovation/sustaining/governance">http://socialinnovator.info/process-social-innovation/sustaining/governance</a>	Ownership structures. Dynamics that may help or hinder the organisation in realising its mission. Ownership and governance reinforce relational capital.	Practitioners	Private governance	Instruments of governance of social ventures, promote innovation, beneficiary representation,  Membership involvement, strategic decision-making, consumer shareholding and social businesses	The teaching consists of training videos and documents. The teaching draws on a set of case studies that serve to illustrate the methodologies proposed for the training cycle.	How-to
<b>National Council for Voluntary Organisations (NCVO)</b> <a href="https://www.ncvo.org.uk/practical-">https://www.ncvo.org.uk/practical-</a>	Provide advice, support and a 'go to' place for social learning in the voluntary sector.	Practitioners	Private governance	Organization Recruiting and managing volunteers Recruiting and managing staff Building teams Professional development	Expert advice, top tips, crowd-sourced 'how-to' guides, online training courses, video training platform.	

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<a href="#">support/governance</a> <b>Know How Non Profit / Know How Non Profit - Study Zone (part of NCVO)</b> <a href="http://knowhownonprofit.org/">http://knowhownonprofit.org/</a> <a href="http://knowhownonprofit.org/studyzone">http://knowhownonprofit.org/studyzone</a>				Employment law and HR Finding support Managing day-to-day operations Funding and income: an overview Fundraising Commissioning and procurement Social investment Campaigning and lobbying Communications and the media Governance Managing change		
<b>Latin America</b>						
No matches founded.						
<b>United States</b>						
<b>Community Toolbox</b> <a href="http://ctb.ku.edu/en/influencing-policy-development">http://ctb.ku.edu/en/influencing-policy-development</a>	Guidance for bringing about policy change in organizations and communities	Practitioners	Private governance	Policy needs; policy impact; policy recommendation; agenda setting; resourcing; alliance generation; impact assessment; action plan; development, implementation and assessment of policy actions.	The tool is decomposed into a set of questions (that guide activities as a workshop) and supplemented with bibliographical material.	how-to
<b>United Nations Institute for Training and Research</b> <a href="http://www.unitar.org/our-courses-and-events">http://www.unitar.org/our-courses-and-events</a>	To develop capacities to enhance global decision-making and to support country level action for addressing global challenges.	Practitioners and policy makers.	Public governance	Multilateralism, economic development and social inclusion, environmental sustainability and green development, sustainable peace, resilience and humanitarian assistance.	Training and training-related activities, workshops & seminars; public, private and on-demand courses and events; master's programs; briefings; conferences and public lectures; side events; and online courses.	Reflective
<b>Board Source</b> <a href="https://www.boardsource.org/eweb/dynamicpage.aspx?webcode=BDSOnlineStoreLanding">https://www.boardsource.org/eweb/dynamicpage.aspx?webcode=BDSOnlineStoreLanding</a>	Strengthen the roles played by boards in their organizations' mission, finance, and strategic direction.	Practitioners	Private governance	Certification in non-profit organizations, fundraising, financial management, human resources, transition management, leadership, relations with public agencies, etc.	Online courses; certifications; books, toolkits, and workbooks; top tips; live trainings and webinars; etc.	How to

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<p><b>UN Habitat - Improving Gender Equality and Grassroots Participation through Good Land Governance, A training package</b>  <a href="http://unhabitat.org/books/improving-gender-equality-and-grassroots-participation-through-good-land-governance-a-training-packa">http://unhabitat.org/books/improving-gender-equality-and-grassroots-participation-through-good-land-governance-a-training-packa</a>          This training package provides an introduction to the important, complex, and sometimes daunting theme of improving land governance as a means to enhance gender equality and grassroots participation in land matters.</p>	<p>To provide an introduction to the theme of improving land governance as a means to enhance gender equality and grassroots participation in land matters. The goal of the training is to improve women's land and property rights and promote the participation of grassroots communities in land processes.</p>	<p>Practitioners</p>	<p>Public and private governance</p>	<p>Gender equality, grassroots participation, land governance.</p>	<p>Downloadable handbook</p>	<p>How to &amp; Reflective</p>
<p><b>Canada</b></p>						
<p><b>Innoweave</b>  <a href="http://innoweave.ca/en/modules/constructive-engagement">http://innoweave.ca/en/modules/constructive-engagement</a></p>	<p>Understand, engage, and mobilize policy makers, practitioners, and the public.</p>	<p>Practitioners</p>	<p>Private governance</p>	<p>Clarifying barriers and opportunities to advancing the organization's mission, understanding the priorities, beliefs, and constraints of policy makers, practitioners, and the public, and determining potential areas for success. Assessing and deciding among engagement tactics that will meet key objectives</p>	<p>Didactics is organized around five learning instances. The first point involves collecting data, the second to perform a self-assessment of the organization, the third attend a series of workshops (classroom course), the fourth is assigned a coach (directed learning, continuous and personalized) and fifth initiatives to be funded are presented.</p>	<p>How-to</p>
<p><b>Australia &amp; New Zealand</b></p>						
<p><b>Better Boards / Mentor Better Boards</b>  <a href="http://betterboards.net/governance/governance-training/">http://betterboards.net/governance/governance-training/</a></p>	<p>To provide online professional development and education resources to help board member and directors stay updated in non-profit governance.</p>	<p>Practitioners</p>	<p>Private governance</p>	<p>Management, leadership, skills, finance, legislation, responsibilities, etc.</p>	<p>Conferences, mentorship, newsletters, books, tools and templates</p>	<p>How to</p>

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<a href="https://betterboards.tv/">https://betterboards.tv/</a>						
<b>Institute of Community Directors Australia</b> <a href="http://www.communitydirectors.com.au/">http://www.communitydirectors.com.au/</a>	Provide support for the members of Australian not-for-profit boards, committees and councils, and the senior staff who support them.	Practitioners	Private governance	Grants & Fundraising Boards, Governance & Leadership Finance, Insurance & Risk Management People Management Strategic Planning, Communication and Promotion Community Engagement & Advocacy Marketing & Media, Recruitment, Meetings, Board structures, Good governance, Strategic planning, Policy-making, Securing funding, Reporting and transparency, Finances, Board Diversity	Diploma of Business (Governance), short courses, annual conference, help sheets and Troubleshooting.	How to.
<b>Australian Charities and Non-profit Commission</b> <a href="http://www.acnc.gov.au/ACNC/Manage/Tools/ACNC/Edo/Tools/MainTools.aspx">http://www.acnc.gov.au/ACNC/Manage/Tools/ACNC/Edo/Tools/MainTools.aspx</a>	To provide resources for governing and managing charity organizations.	Practitioners	Private governance	Managing, role of board members, prevent fraud, disputes and conflicts, human resources, financial control, engaging volunteers, holding meetings, disaster relief	Guides, worksheets, quizzes, top tips, meetings reports.	How to
<b>Indigenous Governance Toolkit</b> <a href="http://www.reconciliation.org.au/governance/">http://www.reconciliation.org.au/governance/</a>	To provide an online resource developed for Indigenous nations, communities, individuals and organizations searching for information to build their governance	Practitioners	Public and private governance	Understanding governance, Culture and governance, Leadership, Governing the organization, Rules and policies, Management and staff, Disputes and complaints, Nation building and development	Worksheets, documents, webinars, videos and podcasts, case studies, interactive maps, downloadable files.	How to & Reflective

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## Section II: Annex about webpages on governance

### II. a Criteria

Google-based searching. Criteria used (in spanish):

1. **“Gobernanza” + “innovación social” + cursos**
2. **“Gobernanza” + “innovación social” + formación**
3. **“Gobernanza” + “innovación” + formacion**
4. **Gestión de “organizaciones de la sociedad civil” + cursos**
5. **Gestión de “organizaciones de la sociedad civil” + formación**
6. **“Gestión pública” + “innovación social” + cursos**
7. **“Gestión pública” + “innovación social” + formación**

Google-based searching. Criteria used (in english):

1. **“Governance” + training**
2. **“Governance” + “social innovation” + training**
3. **“Governance” + training tool**
4. **“Governance” + toolkit**

### II. b Results

(References: (V) means virtual; “toolkit” means that the webpage presents a toolkit; (G) means general in opposition to (SI) that means social innovation.

## European Union

### Toolkit

- a. **The IG Training Tool (V) (toolkit) - <https://www.igtt.hscic.gov.uk/igte/index.cfm> (V) (toolkit) (G)**
- b. **Development Impact and You <http://diytoolkit.org/tools/people-connections-map/> (V) (toolkit) (SI), <http://diytoolkit.org/tools/building-partnerships-map-2/> (V) (toolkit) (SI)**
- c. **Social Innovator - <http://socialinnovator.info/process-social-innovation/sustaining/governance> (V) (toolkit) (SI)**

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- d. National Council for Voluntary Organisations (NCVO) (V) (P) (SI) (toolkit) - <https://www.ncvo.org.uk/practical-support/governance>, Know How Non Profit (part of NCVO) (V) (SI) <http://knowhownonprofit.org/>, Know How Non Profit - Study Zone (part of NCVO) (V) (SI) <http://knowhownonprofit.org/studyzone>
- e. Essential Corporate Governance (P) (V) (G) (toolkit) - <https://www.icsa.org.uk/qualifications-and-careers/training/training-courses/essential-corporate-governance>

## Other resources

- a. Máster Universitario en Emprendimiento e Innovación Social (P) (SI) - <http://www.udima.es/es/master-emprendimiento-innovacion-social.html>
- b. Giggap - <http://gigapp.org/index.php/congresos/grupos-de-trabajo?view=project&task=show&id=119> (P) (SI)
- c. Centro de Iniciativas Profesionales - <http://www.cip-formacion.com/index.php/catalogoformativo/masteres/470-master-universitario-en-emprendimiento-e-innovacion-social> (P) (SI)
- d. The Hague Academy for Local Governance - <http://thehagueacademy.com/> - (P) (SI)
- e. Coordinadora de ONGD - <http://www.ongd-clm.org/curso-gestion-de-organizaciones-de-la-sociedad-civil/> (V) (SI)
- f. CIDEAL - <http://cidealformacion.com/cursos-online/gestion-de-organizaciones-de-la-sociedad-civil> (V) (SI)
- g. Young Social Innovators - [http://www.youngsocialinnovators.ie/index.php/about/page/advancing\\_social\\_innovation](http://www.youngsocialinnovators.ie/index.php/about/page/advancing_social_innovation) (P) (SI)

## Latin America

- a. Política de Innovación Social - <http://www.politicadeinnovacionsocial.co/> (P) (SI)
- b. Programa de Desarrollo para Organizaciones Sociales - Universidad de San Andrés - <http://www.udesa.edu.ar/Unidades-Academicas/Centros/Centro-de-Innovacion-Social/Capacitacion-para-OS> (P) (SI)
- 1 c. Liderazgo y gestión en organizaciones de la sociedad civil - Universidad Católica Argentina - <http://www.uca.edu.ar/index.php/site/index/es/uca/uca-internacional/estudia-en-uca/oferta-academica/programa-de-estudios-latinoamericanos/liderazgo-y-gestion-en-organizaciones-de-la-sociedad-civil/> (P) (SI)
- d. Centro Nacional de Organizaciones de la Comunidad - <http://www.cenoc.gob.ar/acciones.html>  
Diplomatura en Fortalecimiento de las Capacidades de Gestión de Organizaciones Sociales Territoriales (P) (SI)

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Diplomatura Virtual en Organizaciones Sociales y Políticas Públicas (P) (SI)  
Programa de Fortalecimiento para Municipios y las Organizaciones de su Territorio (P) (SI)  
Acciones de Acompañamiento en territorio (P) (SI)  
Programa de Fortalecimiento Institucional (P) (SI)

**e. Posgrado en Gestión de las Organizaciones de la Sociedad Civil** - <http://politicaspublicas.flacso.org.ar/posgrados/diplomas-superiores/organizaciones-de-la-sociedad-civil-4> (V) (SI)

**f. Claritas** - <http://www.claritas.org/cursos-virtuales-2015/> (V) (SI)

**g. Universidad Tecnológica Nacional (UTN) e Ingeniería sin Fronteras Argentina (ISF-Ar)** - <http://www.isf-argentina.org/curso-de-posgrado-en-utn/> (P) (SI)

**h. Universidad Nacional de San Martín** - [http://www.unsam.edu.ar/oferta/carreras/print\\_carrera.asp?id=94](http://www.unsam.edu.ar/oferta/carreras/print_carrera.asp?id=94) (P) (SI)

**i. Universidad Nacional de General Sarmiento** - [http://www.ungs.edu.ar/ms\\_ungs/?p=20270](http://www.ungs.edu.ar/ms_ungs/?p=20270) (P) (SI)

**j. PROGES - Universidad Católica de Córdoba** - <http://icda.ucc.edu.ar/contenido/pagina/41> (P) (SI)

**k. Universidad Católica de Uruguay** - <http://lasociedadcivil.org/softis/nv/1205/> (P) (SI)

## United States of America

### Toolkit

**a. Community Toolbox** - <http://ctb.ku.edu/en/influencing-policy-development> (V) (Toolkit) (SI)

**b. United Nations Institute for Training and Research** (V) (P) (toolkit) (SI) - <http://www.unitar.org/our-courses-and-events>

**c. Board Source** (V) (toolkit) (SI) - <https://www.boardsource.org/eweb/dynamicpage.aspx?webcode=BDSOnlineStoreLanding>

**d. UN Habitat - Improving Gender Equality and Grassroots Participation through Good Land Governance, A training package** - <http://unhabitat.org/books/improving-gender-equality-and-grassroots-participation-through-good-land-governance-a-training-package/> (V) (SI) (book - toolkit)

### Other resources

**e. Policy Governance® Model** - <http://www.carvergovernance.com/model.htm> (P) (G - for policy)

**f. Effective, Motivated Board Governance, Lodestar Center for Philanthropy & Nonprofit Innovation - Arizona State University** - <https://lodestar.asu.edu/nonprofit-assistance/board-governance> (P) (SI)

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- g. **Policy Consensus Initiative - A Practical Guide to Collaborative Governance -** [http://www.policyconsensus.org/publications/practicalguide/collaborative\\_governance.html](http://www.policyconsensus.org/publications/practicalguide/collaborative_governance.html) (V) (G)
- h. **GSB Nonprofit Board Governance Institute, Stanford Business Graduate School -** <http://www.gsb.stanford.edu/programs/social-innovation> (P) (SI)
- i. **The Governance Lab, New York University -** <http://thegovlab.org/> (V) (G)

## Canada

### Toolkit

- a. **Innoweave -** <http://innoweave.ca/en/modules/constructive-engagement> (V) (toolkit) (SI)
- b. **The Boardroom -** [http://www.strive.com/services/governance\\_training.aspx](http://www.strive.com/services/governance_training.aspx) (V) (P) (G) (toolkit)
- c. **Alberta Innovation and Advanced Education -** <http://eae.alberta.ca/apps/econ-toolkit/governance.asp> (V) (G) (toolkit)

## Australia & New Zealand

### Toolkit

- a. **Training.gov.au -** <https://training.gov.au/Training/Details/BSB40907> (V) (Toolkit) (G)
- b. **Governance Institute of Australia -** <http://www.governanceinstitute.com.au/knowledge-resources/guidance-tools/> (V) (P) (toolkit) (G)
- c. **Better Boards / Mentor Better Boards -** <http://betterboards.net/governance/governance-training/>, <https://betterboards.tv/> (V) (SI) (toolkit)
- d. **Institute of Community Directors Australia -** <http://www.communitydirectors.com.au/> (V) (P) (SI) (toolkit)
- e. **Australian Charities and Non-profit Commission -** <http://www.acnc.gov.au/ACNC/Manage/Tools/ACNC/Edu/Tools/MainTools.aspx> (V) (SI) (toolkit)
- f. **Indigenous Governance Toolkit -** <http://www.reconciliation.org.au/governance/> (V) (SI) (toolkit)

### Other resources

- g. **Institute of Directors -** <https://www.iod.org.nz/Director-Development> (P) (G)
- h. **Board Clarity -** <http://boardclarity.co.nz/governance-services/governance-workshops> (P) (G)

# transformative social innovation theory

- i. **Social Innovation, Governance and Professional Leadership, Macquarie University** - <http://www.handbook.mq.edu.au/2014/Units/UGUnit/LAWS300> (P) (SI)
- j. **Governance Strategies** - <http://www.governancestrategies.co.nz/index.php> (P) (SI)

## **Asia**

**Pilot training course on “Co-innovation for Inclusive Local Governance” in the Philippines (UNIID-SEA)** - <http://uniid-sea.net/uniid-sea-to-pilot-training-course-on-co-innovation-for-inclusive-local-governance-in-the-philippines/>