

transformative social innovation theory



Methodological Guidelines for Batch 2

Deliverable 4.3

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

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About TRANSIT:

TRANSIT is an international research project that aims to develop a theory of Transformative Social Innovation that is useful to both research and practice. It is co-funded by the European Commission and runs for four years, from 2014 until 2017. The TRANSIT consortium consists of 12 partners across Europe and Latin America. For more information, please visit our website: <http://www.transitsocialinnovation.eu/>.

Focus of deliverable:

This deliverable provides the methodological guidelines for the second batch of in-depth case studies for the further grounding of the emerging TSI theory.

Reference:

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1 Introduction

As part of the TRANSIT project, an embedded case study approach is used to ground and test the emerging middle-range theory on transformative social innovation (TSI). This approach combines both qualitative, in-depth case-study analysis, as well as quali-quantitative comparative meta-analysis. In WP4, the focus is on grounding the theory through in-depth case study work. The aim of the in-depth embedded case studies is to develop knowledge about the emergence of social innovation and social innovation initiatives/networks as well as TSI-agency and TSI-dynamics.

This deliverable has two purposes. Firstly, it provides all WP4-researchers with an outlook for the remaining time of WP4, which officially ends with a synthesis report (D4.4) in spring 2016. The overall set-up and work on this final deliverable is therefore also introduced here. Secondly, it details the methodological guidelines for the second batch of in-depth case studies of the TRANSIT project and as such guides the empirical work of case researchers and case study coordinators. In doing so, it seeks to ensure homogeneity for the sake of comparison, whilst indicating the desirability of mixed research techniques and leaving researchers the space to follow up on phenomena and developments which are specific to their case. Next to guiding the actual fieldwork period, these methodological guidelines also provide an outline for the case study reports.

These guidelines outline:

- Practical issues with regard to responsibilities, timeline, communication, and envisaged outputs for every TRANSIT researcher for WP4 as a whole and for the empirical fieldwork in particular (section 2)
- TRANSIT case study approach, including the focus of our research, research methods and analysis, research principles and the depth of our research (section 3)
- A cognitive map and the overall empirical research questions (section 4)
- Outline and structure for case study report (section 5)

The remaining two sections of this introduction describe the fit of these methodological guidelines with the emerging TRANSIT research design (see section 1.1) and the lessons learned and changes in comparison with the guidelines for batch 1 case studies (Jørgensen et al. 2014 – D4.1) (see section 1.2).

1.1 Fit with the overall research design of TRANSIT

The guidelines for the second batch of case studies form part of a more encompassing research design. Without going into more detail¹, this broader framework has several important implications.

First, TSI is developed as a middle range theory, through iteration between empirical investigation and development of theoretical insights. The second batch of cases studies is not an open exploration, but intended to elaborate the TSI understandings as developed through the first batch of in-depth case studies and the current version of the proto-theory. Where the first batch of case studies started from a first set of sensitizing theoretical and empirical research questions (Haxeltine

¹ These will be elaborated in a separate TRANSIT research paper on research design, also comprising the relations with the WP5 set-up.

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et al. 2014 – D3.1), the second batch of case studies will use the first prototype theory or *Framework for Transformative Social Innovation* (Haxeltine et al. 2015 – D3.2) and its translation in a cognitive map for empirical research (see section 4) as sensitizing framework for empirical work. This Framework “*represent[s] a preliminary and tentative structuring of our insights about TSI*” and provides not only a theoretically-grounded conceptual framework, but also a set of propositions. The empirical questions (presented in section 4) are close reflections of those.

Second, TRANSIT understandings of TSI, of how social innovation relates to transformative change, have advanced. A related methodological insight is that TSI understanding and explanation are pursued not through variance theory, but through the development of process theory (cf. Haxeltine et al 2015 – D3.2, Pel et al. 2015 – D5.1). An important implication for the second batch of case studies is then that it investigates evolving phenomena, and the development of social innovation processes over time.

Third, TSI theory aims to be practically relevant, empower TSI actors, and therefore understand and explain how actors are dis/empowered in TSI processes. In order to live up to this ambition, the second batch of case studies should shed sufficient light on the concrete actors involved and their interaction.

1.2 Lessons learned from the first iteration of in-depth empirical work

As part of a more encompassing research design, the second batch of case studies has been selected to form, together with the first batch of case studies a complete set of 20 cases. This set covers certain types of SI networks and their local initiatives (see Pel et al. 2015 – D5.1 and DRIFT 2015, for details of this set). Accordingly, these methodological guidelines for the in-depth empirical case study work on the second batch of networks, have many similarities with those for the first batch. Most importantly to mention here are the embedded case study and its units of analysis, the mixed method approach to study them, the TRANSIT cross-cutting themes, and the focus on interaction between different elements to co-produce transformative change.

Still, an iterative research design allows for integrating the lessons from the first iteration between empirics and theory into the present one. Therefore, the current guidelines show a number of differences compared to the previous guidelines (Jørgensen et al. 2014 – D4.1). The differences stem mainly from an increased understanding of TSI and its characteristics (Haxeltine et al. 2015 – D3.2), but also from the methodological reflections and lessons that were highlighted in the cross-case comparative analysis (Jørgensen et al. 2015 – D4.2).

So, while the overall case study approach of TRANSIT continues on the basis of what was laid out in D4.1 (Jørgensen et al. 2014), the guidelines were adapted in the following key aspects:

- 1) The advanced insights into TSI have materialized in a **new cognitive map** as the conceptual basis for our empirical work (see section 4.1).
- 2) The pursuit of process understandings has led us to include specific research methods and techniques that help increase our historical understanding of the social innovation processes we are studying, namely archival research and more instructions for drawing up social

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innovation timelines along the sensitizing concepts of our cognitive map (see section 3.2 and 3.3.).

- 3) To increase our understanding of empowerment processes and the interactions involved, we included a specific focus on mapping actors and their relations in an actor-map, both as part of doing interviews (see section 3.2) and for the data analysis through drawing up an actor map that helps chart the interactions and alignments of embedded SI actors (see section 3.3).

Furthermore we have drawn lessons for the practical arrangement of the case study work. First, the overall process of studying our first batch of case studies process only allowed the WP4 team one month to do the cross-comparative analysis of 12 cases. As this deadline turned out to be too tight, we have adapted both the overall timeline as well as the working method for the synthesis report (D4.4). An important implication of this extended time frame for cross case analysis is that the time dedicated to actual fieldwork is reduced. Second, we will be working with intermediary deadlines and milestones to ensure the research is on track for all cases. Third, we also planned for a greater involvement of case researchers and case study coordinators in drawing up D4.4 and for peer-support during the empirical phase. All these changes are recorded in section 2.

2 Responsibilities, Output and Timeline

This Section gives an overview of the networks to be studied (section 2.1), outlines the outputs necessary for WP4 (section 2.2), the WP4 internal communication moments during the empirical phase (section 2.3), the responsibilities and resources of different persons involved (section 2.4), as well as an overall timeline for WP4 up to D4.4 completion (section 2.5).

2.1 Second batch of case studies – selected networks and local case countries

Based on a systematic selection process (see DRIFT 2015), a second batch of case studies was selected. An overview of the networks under study is given in Table 1.1 – for the local cases, the responsible partner institutes are indicated but not the actual local case. Defining this local case is, along with the demarcation of the network, a first step in the empirical work to be finalized in June 2015.

Table 1.1 Overview of the Batch2 cases including the TRANSIT case study coordinators and case researchers

	Transnational Networks under study in TRANSIT project	Case Study Coordinator	Local Case 1	Local Case 2
1	Slow Food	UDC	UDC	BOKU
2	Via Campesina	UNQ	UNQ	ESSRG
3	Co-housing	UNQ	UNQ	BOKU
4	International Observatory for Participatory Democracy – Participatory budgeting	UFRJ	UFRJ	DRIFT
5	P2P Foundation	IHS	IHS	AAU
6	Living Labs	IHS	IHS	SPRU
7	Basic Income	UM	UM	ULB
8	Global Seed Movement	ESSRG	ESSRG	SPRU

2.2 Outputs

Up to its completion in spring 2016, WP4 has to produce a number of outputs, namely the individual case study reports and a cross-comparative analysis, D4.4.

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Individual case study reports

Each case study coordinator together with the case researchers is responsible to produce a case study report as per the outline and structure indicated in Section 5.

D4.4. – Synthesis report

According to the DOW “*The synthesis report (D4.4) will report on all 20 transnational networks, adding the case-studies of the 8 networks from batch II, and where necessary adapting the first case-studies of the 12 networks of batch I*”. We will fulfil these requirements as follows.

The deliverable 4.4 will be consisting of two parts. A first part focuses on the cross comparative analysis of the case studies of the second batch along the three clusters of the cognitive map: Emergence of Social Innovation, TSI-dynamics and TSI-agency. This comparative analysis will directly feed into the further development of TSI-theory by grounding the concepts in in-depth empirical work.

It will not be a requirement to adapt batch 1 case study reports to the new cognitive map, however, if individual researchers would like to do so, they are more than welcome. Rather, a second part of D4.4 will focus on empirical analysis across relevant case studies from both batch 1 and 2. This part will consist of at least six extended abstracts of about 3,000 words and the accompanying publication plans. The work is, amongst others, led by the institutes which have refrained from some of their case study work, namely DRIFT, ULB, UM and HIS involving all interested case study researchers. The analysis will focus on a number of important topics, such as the thematic clusters identified for case selection: New economy; Sustainability and resilience; Transformative science and education; Spaces for/of innovation; Maker-Movement; Inclusive society. Other possibilities are the cross-cutting themes or certain SI-fields.

2.3 Communication

2.3.1 Working groups

The cases will be divided into working groups of ideally 2-3 cases that preferably share common themes or characteristics, so that the case researchers can share experience and support each other, led by AAU. Each group will have one AAU researcher to help facilitate the working group, e.g. facilitating discussions and brainstorming, organizing feedback and comments, coaching in the implementation of the guidelines. Specifically what kind of support is needed and the type of communication will be decided upon on group basis. The groups will ideally be formed by the end of July.

2.3.2 All WP4-team

There are three contact moments in the period up to the end of the year 2015 for the WP4-team to ‘meet’ as a whole:

- June 10th there will be a skype call for the whole WP4 team to explain the guidelines and clarify questions.

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- September 3rd a call with the case researcher organized by the WP4-leads to ensure that the case studies are on track – local initiatives have successfully been engaged, planning is going fine etc.
- November 18-20th the mid-term conference and TRANSIT project meeting. The case reports will be discussed (remember to send draft by 15th of November).

The case researcher should also organise contact themselves with the working group facilitator or group members if they need a sparring partner or other kind of support.

2.4 Responsibilities and resources

The **WP-leads**, AAU and DRIFT are responsible for coordination and cross analysis of the 8 case-studies. This includes responsibility for organising and coordinating materials filed in the Box folder for WP4, organising and planning Skype calls, preparing WP4 sessions during project meetings, and for aligning content and progress with WP-leads, case study coordinators, case researchers, as well as the task leads of the cross-cutting themes. They are responsible for drawing up D4.4, AAU for part 1 and DRIFT for part 2 in collaboration with case study coordinators and case researchers. AAU will also lead the work groups mentioned earlier, meant to provide for peer-support among the case researchers.

Each '**case researcher**' is responsible for delivering a report (in the required template) of the local initiative on time, and meeting the milestones outlined in the timeline. Each '**case study coordinator**' is responsible for compiling the reports of the two local initiatives and the analysis of the transnational network(ing). The latter is also responsible for drawing up the synthesis section of the report, including a comparison of the two local initiatives.

Besides the case study report, each **case study coordinator is together with their fellow case researchers** responsible for

- saving and storing the case study documentation on a safe place (sound files from interviews, transcripts or extensive summaries of interviews in the native language of the interviewee, and other important documents),
- developing an internal joint research protocol which the case coordinator and fellow case researchers update regularly for each case during the research process describing choice of local initiatives, interview persons, omissions and additions of research questions, etc.
- creating and updating an overview of data-collection activities (see xls-template provided separately), specifying who was interviewed, which events were attended and which primary and secondary sources were consulted and upload updated versions of this overview on Box.
- making time for internal communication in WP4 and organize communication within their case-study team.

In terms of resources, the following are available in WP4:

- 3 person months for case study researchers for researching and analysing a local manifestation – as part of the case study report and in follow up publications, such as input for D4.4. , other comparative analysis or case-only papers

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- 2 person months for case study coordinators for coordination of the social innovation case study, analysis of the international networking in relation to this type of social innovation, and comparative analysis of the two local manifestations
- 1 person month for participation in theoretical integration activities in cooperation with WP3 and reviewing/coordinating within WP4

There are additional resources allocated in WP3 for all partners for participation in theory development from the case studies. Each TRANSIT partner has a budget, which can be used for field work as part of the case studies: travel costs for researchers and social innovation stakeholders, food and drinks at meetings with stakeholders, translation of material, etc.

2.5 Timeline

This timeline focuses on WP-related work up until the completion of D4.4 as the final deliverable of this WP (Table 1.2).

Table 1.2 Timeline of TRANSIT Milestones and Deliverables and persons involved

When	What is done?	Who is involved?
May 29 th , 2015	D4.3 Guidelines are uploaded to the EU	D4.4 writing team
June 1 st , 2015	D4.3 Guidelines are spread among case researchers	D4.4 writing team
June 10th, 2015	Skype with all WP4-team to walk through the guidelines and clarify questions	WP4-team
June 2015	Local initiatives and their specific foci chosen	Case study coordinator; Case researchers together with WP4-leads
June to July 2015 (before summer holidays)	Contacts established, material like targeted interview guides in appropriate languages written	Case study coordinator; Case researchers
Milestone June 30th 2015	Local initiatives (and their specific foci) chosen and case researchers assigned	
Milestone July 30th, 2015 (before summer holidays)	First contacts established and final interview guides adapted to context and language; Internal Working groups are formed	
July – November 2015	Empirical research (interviews, participant observation, document review) and writing of case study report, contact in working groups.	Case study coordinator; Case researchers
September 3rd, 2015 2pm CET	Skype call with case researchers	Organised by WP4-leads
November 15 th , 2015	Final draft are send out 1) to be 'peer-reviewed' by a WP4-lead member and another researcher; and 2) to be approved or commented on by case actors	Case study coordinator; Case researchers and WP4 leads
November 15 th , 2015	A draft of D4.4 structure is shared clarifying the input needed from everybody	WP4 leads

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Milestone Nov 15th 2015	All final drafts of case study reports are with the WP4 team as well as an outline of D4.4.	
November 18 th -20 th , 2015	Vienna conference and TRANSIT project meeting: All final draft case study reports are discussed during Vienna consortium meeting;	Case study coordinator; Case researchers and WP4 leads
November 20 th – December 30 th , 2015	Re-writing and finalizing case study report	Case study coordinator; Case researchers
December 30 th , 2015	Final case report uploaded to Box – already approved by case actors	Case study coordinator; Case researchers
Milestone Dec 30th, 2015	Final case study report is uploaded to box	
January 2016	Batch II material published online	Case study coordinators and case researchers coordinated by WP6 team
January 10 th , 2016	Input send for cross-comparative analysis (part 1, D4.4) and first versions of extended abstracts (part 2, D4.4.) – exact input to be clarified during meeting in November 2015	Case study coordinator; Case researchers
February 28 th , 2016	Final versions for extended abstracts (part 2, D4.4) are send to WP4 leads	UM, ULB, DRIFT, IHS and possibly others
March 6 th , 2016	Final draft of D4.4. ready for consortium review (incl. cross-comparative analysis and extended abstracts of empirical analysis)	WP4 team
March 20 th , 2016	Review of D4.4	Case study researchers, case study coordinators
March 25 th , 2016	Finalize and upload D4.4	WP4-leads
Milestone 25.3.	Deliverable 4.4 is submitted to the EU	

3 TRANSIT Case study approach

The TRANSIT in-depth case study approach is based on a number of elements, namely:

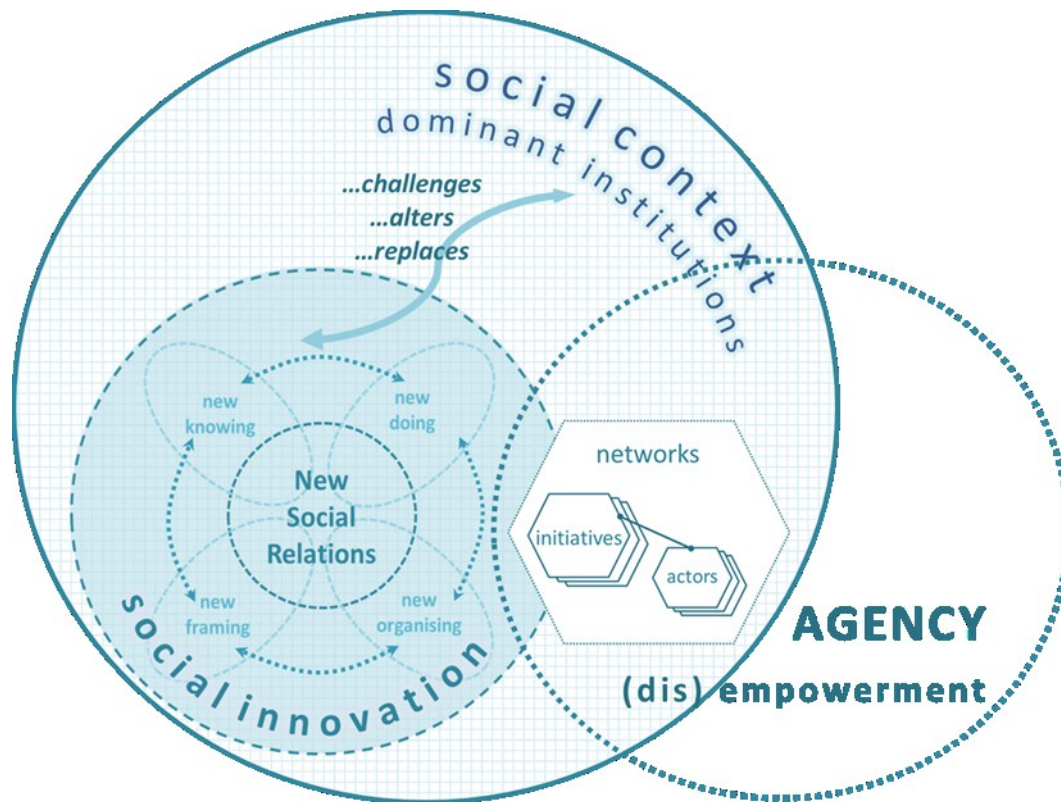
- Conceptually, on the framework for TSI developed in D3.2 (Haxeltine et al. 2015) and further developed here into a cognitive map for empirical research (see section 3.1 for a summary and section 4 for a more in-depth overview).
- Methodologically, on specific research methods (see section 3.2) and data analysis methods (see section 3.3)
- Ethically, reflexivity with regard to researcher role and relation with the network/initiative (see section 3.4)
- Practically, the depth of our research (see section 3.5)

3.1 Executive summary of cognitive map for empirical research

This Sub-Section gives a quick overview of the cognitive map for the empirical research, which consists of three distinct and intertwined parts: (1) how social innovation emerges, (2) how social innovation contributes to transformative change (TSI-dynamics), and (3) agency in (transformative) social innovation (TSI-agency). These three parts are schematically visualised in figure 3.1 below.

Figure 3.1 Schematic Summary of Cognitive Map of TSI Processes

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In line with our relational perspective, our focus is not so much on the actual 'entities', but rather on changing relations, processes and dynamics (over time) – thus on the linkages and relations between entities (i.e. the arrows in the cognitive map).

Section 4.1 introduces each of the three parts separately and provides the necessary detailed information for each of the concepts. This section also further clarifies and adapts concepts as introduced in D3.2 to make them more apt for empirical research. As such, this section establishes a common language and provides you with one resource covering all concepts.

3.2 Research methods

This section outlines the basic research methods that will allow us to study in-depth the emergence, dynamics and agency of (transformative) social innovation in our batch 2 cases. It draws mostly on D4.1 (which itself was based on Flick's: *An introduction to Qualitative Research*, London 2014, Sage) to introduce *document review* (section 3.2.1), *interviews* (section 3.2.3) and *participant observation* (section 3.2.4).

However, based on the learnings from the first round of in-depth case studies as well as our sharpened focus (i.e. the new cognitive map, section 4) and increased understanding of TSI (i.e. D3.2 – Haxeltine et al. 2015), we decided to complement these methods by *archival research* (section 3.2.2) and by a specific focus on explicating actor relations as part of the interviews (section 3.2.3).

Please be aware, that you will also be conducting a survey for WP5. While these different research activities will not interfere for most of the parts, please keep in mind that for the batch 2 networks

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and local manifestations, you will have to run the survey questions next to/in addition to the questions coming from WP4. More information on WP5 work is to be found in Pel et al. (2015) – D5.1, and the forthcoming D5.2 (end of June 2015).

3.2.1 Document review

This research method allows insights into the (re-)presentation of the SI-initiative/SI-network externally – by itself (primary documents) as well as by others (secondary documents, incl. media). As such, this research method is a good source of information about what how other actors perceive, analyse and think about the SI-initiative/SI-network – not only currently but also through time. This review includes grey literature as well as scientific literature and as such can broadly embed the narratives gained through interview or participant observations.

In general document review includes three types of documents – primary sources, secondary sources, and media analysis. For each of these we list a number of issues to be considered.

Primary sources – documents authored by the initiative/network under study (e.g. reports, pamphlets, but also media such as website, twitter)

- Reflect on the author, target audience and the purpose of the document – for whom and what purpose was the document written (e.g. sales material)
- Reflect on the context in which the document was written – e.g. some types of meeting minutes may gloss away disagreements
- You might gain access to confidential or classified material that cannot be used directly in your report – but might be valuable for directing further research

Secondary sources – documents authored by outsiders to the initiative/network under study (e.g. grey publications such as reports, scientific articles)

- This includes all documents authored by outsiders, also here consider the context, target audience and purpose of the document as well as the author.
- It does not only include documents that directly relate to or talk about the initiative/network under study, rather it might include documents clarifying aspects of the social context, such as public regulations, public discourses with regard to specific topics

Be aware that at times it might not be easy to make a clear distinction between primary and secondary sources, e.g. when a member of an initiative writes a scientific article or commissioned report about the initiative. In these cases, it is important to reflect on this double role of the author.

Media – documents authored by outsiders to the initiative/network under study which feature in online and offline media (e.g. articles, films, blog posts)

- A media analysis includes pieces which directly relate to the initiative/network under study and gives a rough overview of the media reputation of the initiative is:
 - How many articles, films, radio contributions have been published? Can they be found on the internet (by external resources beyond the initiative)?
 - What were the main reasons/pegs for the media contributions?

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- Which media (mainstream newspaper, expert journals, internet platforms, YouTube, etc.)? Distinguishing e.g. between large and small media, and political orientation of the media
- If such analysis is not feasible the network/initiative should be asked about their reputation in the media during the interviews.

For more information on document review see section 3.2 in D4.1. (Jørgensen et al. 2014- D4.1, p. 15). Flick (2009) for instance relates document review to recent developments in ethnomethodology, which addresses the question of how people produce social reality in and through interactive processes, and recommends these texts for further reading:

- Prior, L. (2003): *Using Documents in Social Research*. London, SAGE
- Rapley, T. (2007): *Doing Conversation, Discourse and Document Analysis*, London, SAGE
- Scott, J. (1990): *A Matter of Record: Documentary Sources in Social Research*, Cambridge, Polity Press
- Wolff, S. (2004): 'Analysis of Documents and Records', in U. Flick, E. v. Kardorff, and I. Stienke (eds): *A Companion to Qualitative Research*, London, Sage, pp. 284-290.

3.2.2 Archival research

Closely related to document review is archival research – it being a specific way to gather and choose documents for review, especially focusing on the considerations necessary when handling historical documents. We consider archival research relevant for the development of TSI-theory, as a process theory requires us to not only study our cases as they are, but also very much how they have developed over time. Drawing up the historical timeline and the network typologies based on the comparative analysis of the batch 1 cases (Jørgensen et al. 2015 - D4.2) was challenging. The reason being that the data needed, such as actual dates were not clarified sufficiently in the first methodological guidelines (Jørgensen et al. 2014 – D4.1) and as such were differing widely across cases. Through including archival research as part of our repertoire of research methods, we emphasize the importance of the historical development and the emergence of the social innovation (initiative/network). The aim of archival- and historical research is reconstruction – the drawing up of 'history' based on archived material. Doing archival research constitutes an additional method and thereby improves the reliability of our findings (Welch 2000; Yin 2009). Archival research can help us providing the data needed to developing timelines as part of the case study reports (see section 3.3.1).

The remaining section provides methods and guidance on how to do a historical archival research. It starts with discussing the nature and definition of archives, and then moves to cover four important issues, namely the silences of archives, the different voices it brings forth, how to deal with overabundance of material, and the necessity of triangulation.

What is archival research?

An archive is a managed set of documents in a depository. The stereotypical example of an archive is a library. But any office with a cabinet full of files or web pages with a series of documents can be regarded as an archive, even if they do not formally constitute an archive (Mills and Mills 2011, p. 342). Google scholar on the other hand can generally not be regarded as an archive, as it draws

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material from widely different sources/archives managed by different actors (Mills and Mills 2011, p. 342).

Historical research invariably relies on historical documents, as access to interviews with people who have experienced past events are limited, and their memory might have faded. Archive research relates closely to document review (see section 3.2.1): it differs in the use of archives contra single documents. Archives can be analysed with common methods like grounded theory or content analysis (Corti 2013, p.21), but some special considerations are necessary for archives due to their very nature.

Archives have very different characteristics depending on who created and/or managed them. There is a large difference between the often well managed archives created by state bureaucracies and stored in libraries and national archives, and those organisational archives created by organisations like NGOs, CSOs, or corporations that may be very haphazard and dependent on the focus and resources available at specific times. The types of organisations studied in TRANSIT may have even less well-managed archives due to e.g. their economic situation, and less material may be collected because reporting requirements are limited, and there is often no consistent policy of record keeping. To add some examples, more formalized organisations like Ashoka are likely have their own archive. However, more loosely networked entities such as Hackerspaces do not have a formal representing organisation that can have a formal archive in the first place, but they do have a Wikipedia type webpage that can be considered a type or archive, however here the plurality of authors and ‘achievements’ has to be kept in mind during analysis.

With the actual archival analysis focusing on ‘documents’ the same disclaimers as mentioned under section 3.2.1 with regard to the analysis apply. For example sources are not to be considered objective, rather these have been written by somebody in a certain context and a specific purpose. In addition, specific documents got archived, while others might have not. While every reconstruction of the past might be considered intrinsically flawed (Decker, 2013, p. 161), or suffering from uneven, complex and confusing evidence, multiple explanations, the eventual choice to prioritize one account over another, the bias inherent in the intellectual framework of the researcher etc. this does not imply that we should not engage in this activity (Southgate (1996, as cited by Decker 2013).

Silence of archives

A pivotal concept when doing historical research through documents/archives is the concept of ‘silence’ - the term here refers to what the archives are not telling us. Such silences can have many reasons:

- gaps and/or omissions in the documents in relation to topics, periods, actors etc.
- preference or **archive policies or principles** outlining what is important to archive in the first place; this might include the active suppression of certain kinds of information
- **access policies**, i.e. access to the archives are restricted to certain actors,
- **weeding** might have occurred, which is the archivist removing certain documents before they are filed in order to conserve space
- **‘de-accessioning’**, means that parts of the collection are removed after they were catalogued.

Such silences may also run deep in the fabric in society – take the general regard “white” people had for “black” people in the southern US in the 18th hundred. Such societal perspectives, influence how

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documents were written and archived and as such should be taken into account when analysing documents from the period. Lastly, some silences are not inherent in the archive, but due to the research process. One reason can be overabundance of material – the researcher simply cannot overcome going through it all, which results in omissions through choices made in terms of coverage (see below). One important element is therefore involved in the choice for granting access to certain while not to other documents (e.g. what picture is drawn by those publicly available documents).

Voices of archives

Other issues abound when documents do contain material relevant to the research being done. The first criteria when evaluating a source is time: the distance between the document and the event. A primary source is the source closest in time to the event. The second criteria is the degree of future orientation of the document, did the author write it with a future audience in mind?

A third criterion, especially relevant for more formal organisations, is if the document were intended for internal or external use. Truth claims in personal diaries have to be treated very differently from those in public reports. In general, those sources closest to the source, for immediate use, and only for an internal audience, are considered the most valuable – the most primary of the primary sources (Decker 2013, p.167).

The abundance of material

The different types of archives should also be kept in mind, as already discussed. Is it a systematic filing of all documents including memos back and forth between departments or a tightly managed archive with selected documents? In the latter one has to consider ‘silence’ as outlined above, but in the former this is more unlikely due to the sheer scope of documents. Rather this reveals another issue to deal with, namely the overabundance of material, which can be handled with various types of sampling:

- Sampling at regular intervals: taking every third document in a topic – is used commonly.
- Sampling by important events: selecting documents of the year(s) where important events took place.
- Taking the first and last documents in a series of documents (in relation to time), to see if changes in attitudes, assumptions, mode of operations etc. have occurred. If changes have occurred, more sampling can be done to map the timeline and pinpoint then changes.

It is important to remember that archival research often rely on a degree of serendipity due to the very nature of the material. The sampling methods attempt to maximize opportunity as well as coverage, while minimizing workload, but may lead to silences due to research method as mentioned previously. Decker, (2013, p. 169) uses the analogy of a puzzle, where a series of documents presents a picture: “*first the boundary and then significant objects within the picture needed to be established sufficiently so that the remaining blanks were not so great that the overall picture could not be reconstructed to a significant degree*”.

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The necessity of triangulation

Here it is also important that archive research does not stand alone, but needs to be done alongside other methods working with other materials (Mills & Mills 2011, p.350). The most well-known method to uncover silences and address the issues associated with archival research is triangulation – using documents from different sources in the hope other sources can fill in gaps, or shed light on the underlying assumptions. Also more alternative sources like pictures and oral histories/narratives can be used. However, as pointed out by (Alvesson & Sköldbberg 2009, p.85) different methods and types of sources may capture different kinds of aspects, making it difficult on the basis of their combination to reach a coherent result. This can also be seen as an advantage, enabling a richer and more varied perspective rather than a well-substantiated one. Either way, when working with historical material, reflection is required on whether different sources actually help to create a clearer picture, or merely point in different directions.

3.2.3 Interviews

Interviews as a research method are very pertinent to the development of TSI process theory as through interviews involved actors tell their narratives, their accounts of process, of changes, and their particular understandings of the aspects of the social context and the SI-initiative/SI-network that mattered in a process. Interviews can give us specific insights on the relations between SI-actors within a SI-initiative/SI-network and between these and other actors in their social context. This work will help us in drawing up an **actor map** as part of the case study reports (see section 3.3.2).

Semi-structured qualitative interviews

TRANSIT interviews should be organized as so-called **semi-structured qualitative research interviews** (Kvale 1996; Kvale 2008) defined as: “*an interview whose purpose is to obtain descriptions of the life world of the interviewee with respect to interpreting the meaning of the described phenomena*” (Kvale 1996; p. 5).

Each interview will probably have a length of about 1-2 hours. The interviews should be recorded, stored, and treated as per D4.1 guidelines (Jørgensen et al. 2014, p.17). D4.2 (Jørgensen et al. 2015) discussed that information about social innovations might only to a limited extent be available as written information or only as so-called grey literature not showing up in libraries, which will be discussed more in depth under the section on archival ethnography. It should be kept in mind that written information is just as normative as the spoken word.

Due to this inevitable normativity it is necessary that the data collection includes interviews with different types of actors, like local government, users that experience the impact of the social innovation, actors involved in other ways of addressing the same societal needs, etc. Therefore, the case studies should seek for a balance between outsiders and insiders among their informants, where the batch 1 case study tended to emphasise interviews with insiders.

Main aspects for consideration for **semi-structured interviews**:

- Knowledge about the phenomenon and reflection on what you would like to learn
- Develop an interview-guide based on the empirical research questions outlined in section 4 – but remember that your interviewee likely will be a stranger to theoretical concepts. As such there is a step of translation involved in making the empirical research questions suitable for interviews.

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- An essential part of the art of carrying out interviews is to be aware when to ask follow-up questions
- The quality criteria's for a good interview are:
 - The extent of spontaneous, rich, specific, and relevant answers from the interviewee
 - The shorter the interviewer's questions and the longer the subjects' answer, the better
 - The degree to which the interviewer follows up and clarifies the meanings of the relevant aspects of the answers

Interviews focusing on data about relations between actors

As one of our interest focuses on the relation between actors, we would like to encourage you to ask about these relations as part of your interviews. The focus is on 1) getting an overview of the different actors the SI-initiative/SI-network is dealing with internally and externally and 2) of what kind the relation is.

There are different ways to gather this information through an interview. Firstly, you can directly ask the questions and gather the answers from the interviewee. Or you infer it from answers to other questions. Secondly, in asking these questions, it can be interesting to use actual pen and paper and draw up a map of actors from the point of view of your interviewee(s). Interviewees might be inclined to do this by themselves, for others you might want to support them in visualising the relations. Questions that can help elicit such a map are: Which actors are involved in/important to your initiative/network? How and why are these actors linked? What kind of relation does this actor have with the SI-initiative/SI-network? (*using different colours for different kind of relations*) To what degree do actors influence one another and what kinds of influence exist (including informal relationships) between actors? (*using arrows and their thickness in the visualisation*)

A possible sequencing is the following (inspired by the participatory network analysis method in Debordeau et al. 2012):

- 1) Write down the name of actors on cards
- 2) Let the interviewee arrange the cards
- 3) Define the interactions and relations of the different actors by drawing lines/arrows as indicated above.

General

Face-to-face interviews is the preferred method but in case of studies of an initiative located far away from the case researcher's location some interviews can be conducted as interviews through telephone/skype. The free program MP3 Skype Recorder (http://download.cnet.com/MP3-Skype-Recorder/3000-2349_4-75445962.html) kindly recommended by Iris Kunze, is a convenient way to record skype interviews. (However, be aware when installing, and decline the various offers to install toolbars and other accessory software.)

For more information see section 3.2 in D4.1. (Jørgensen et al. 2014), where semi-structured and group interviews are covered extensively, also see (Kvale 2008; Kvale 1996; Flick 2009).

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3.2.4 Participant observation

This research method gives a close, in-depth view of actor's identities and motivations, relations in the initiative/network and positioning of actors in initiatives/networks, and of process/dynamics. It does help to consider not only what people tell, but also on what people do and how they create their physical surroundings.

Participant observation as method refers to participant observations in the immediate environment of the initiative/network such as public or internal meetings, public events. Participant observation can have a number of different forms; amongst those are short visits, participation in meetings and workshops, and longer stays – as part of the group of people one is studying for a period. Participant observation can lead to different types of data: field notes, observations notes, episodic interviews, photography, material objects etc. All these can be weaved into a thick description of the case.

Interesting is the use of photography, which needs to be accompanied by text explaining the relevant context. As well as a specific focus on material goods and objects, as many social relationships are embodied in material objects (Hammersley & Atkinson, 2007, p. 134).

For more information, see section 3.2 in D4.1 (Jørgensen et al., 2014, p. 19; Flick, 2009; Ponterotto, 2006).

3.3 Data analysis

Once we have collected the data, there will be a step of analysing it before we write it up in the case study template (see section 5). Usually, this is not a linear process, but often a rather 'messy' process where we go back and forth between collecting data, writing parts of the report, going back to our data, possibly holding another interview (Cerwonka and Malkki 2007, Schwartz-Shea and Yanow 2012). This section introduces two specific types of analysis that TRANSIT researchers will engage with as part of producing the case study report: namely the development of a timeline (see section 3.3.1) as well as the development of an actor-map (see section 3.3.2). Visualisations are very valuable for communication and understanding a SI-initiative/network, it is however very challenging to provide a general guidelines for how to draw a timeline or actor-map which can capture necessary nuances across all cases. The general guidelines described below include some general characteristics that make comparison of the visualisations between cases (as necessary for D4.4) more straightforward.

This section does not provide more in-depth information on coding and analysing your material as we suppose that TRANSIT researchers are well versed in doing so. Rather than suggesting a specific analysis method, we would like to increase our reflexivity with regard to considering the "mode" of analysis each of us will choose before starting the case study. TRANSIT researchers constitute a large and varied group, producing data that will be part of an overall comparison (D4.4). This makes it advisable to consider the implications of differences and commonalities in analysing interview/other data which result in the case study reports. Therefore, we ask you to **clarify how you have done the actual data analysis** – specific techniques, tools, methods, any references to articles, books or authors these are based on in the methodological section of the case study report are considered part of a well-developed report. This is also the place to reflect upon the kind of interviewees that you approached (predominantly from within the studied initiative/network?)

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Broad spread?), the amount of interviews you took etc. The same reflections are encouraged for the other data sources.

3.3.1 Developing a timeline for your case

As part of each case study report, three timelines are developed: one for the network level or the networking activities and one for each of the local manifestations. The overall guiding question is: *“How has the SI-initiative/network developed over time?”* Such a timeline is relevant for our work as it establishes an overview of important events, actors and social context factors that help us understand the interaction between the SI-initiative/network and the social context through time. This timeline in a way is an attempt to map the co-evolutionary process: how the SI-initiative/network and the social context interact with and co-produce one another. If you find the time, it is also interesting to draw up such a timeline for one or more overall social innovations that the SI-initiative/network are working on. The SI-initiative/SI-network under study would then only be one out of several items to be placed on the time-line of the overall social innovation. For instance, the idea of ‘social entrepreneurship’ can be considered a socially innovative idea/activity that has developed over time. Networks such as e.g. Impact Hub and Ashoka are milestones in the development of ‘social entrepreneurship’.

The map is part of your analysis of the case study data, as such it is not an unfiltered representation of what the interviewees or documents consider the most important events or actors. This is thus an important difference with the work in WP5.

The actual timeline should map the following items (see cognitive map for definitions):

- Events
- Entry or exit of Actors (individuals, initiatives, networks)
- Institutions and structures
- Trends and framework conditions
- Discourses
- Narratives of change
- *Any other item you deem important*

While some of these items are easily linkable to specific dates, others are more difficult to connect to specific dates and need to be mapped more as ‘lines’ than as ‘dots’.

Be creative in drawing up the map – in the end it should provide the reader and us with an overview of the development of the SI-initiative/network and its interaction with the social context. We will provide some examples of maps as done in the first batch of cases or done by others as part of the template to be shared in September. Please also include some explanation with your map outlining your choices with regards to the items that you display, thus a number of reflexive considerations should be made on the accuracy of dates, and which time-frames were important for the development of the SI-initiative/network.

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3.3.2 Developing an actor-map for your case

As part of each case study report, three actor-maps are developed: one for the network level or the networking activities and one for each of the local manifestations. The overall guiding question is: *“How are actors, who are linked to the SI-initiative/network, related?”* (For a definition of actors, see section 4). Such an actor-map is relevant for our work as it establishes an overview of important actors and their relations which helps us understand the interaction between the SI-initiative/network and other internal and external actors. Actor-maps always show a snapshot of a specific reality i.e. it does not include momentum and change in the depiction, and the snapshot is taken from a specific perspective. This perspective in our case is the perspective of the case researchers: it is based on our analysis of the case study data, as such it is not an unfiltered representation of what the interviewees or documents consider the most important actors or relations.

The actual actor-map should include the following:

- Names of the ‘actor(s)’
- Relation between actors
- Any kind or quality of the relation that you deem important, e.g. influence between actors

The actor-map should cover which actors are involved in/important to your initiative/network as well as their linkages. In the actual mapping, you can use for example different shapes, sizes or proximity of actors to denote importance or other issues. With regards to the relations, you can think about the following kinds e.g. supporting, observing, opposing, challenging, competing. These can for example be denoted through different colours. Influence between actors can be visualised using arrows and varying with their sizes and shapes.

Questions that such a visualisation should answer, are:

- Which actors are involved in/important to your initiative/network?
- How and why are these actors linked? What kind of relation does this active have with the SI-initiative/SI-network?
- [To what degree do actors influence one another and what kinds of influence exist (including informal relationships) between actors?]

Such visualisation do not necessarily include spatial dimension – geographic, administrative, or natural borders. The main focus is on actors. As a prerequisite, the social context has already been discussed and defined to some degree.

3.4 Researcher reflexivity and Research Relations

The research principles and relations in the case studies were discussed in detail in D4.1, and here it is mostly a summary enriched by experience from batch 1. There were four main topics of concern in researcher relations in D4.1 (Jørgensen et al. 2014, p.22):

1. **Proximity and distance** – There should be a balance between being close too, knowing a lot about, and being part of the initiative under study. This relates to the term “going native”,

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the risk of losing the ability to critically reflect. The researcher should be “a critical friend” or “friendly outsider” in relation to the social innovation.

2. **Reciprocity and mutual benefits** – TRANSIT strives for mutual benefits and tries to ensure a degree of reciprocity. Examples of what we could offer initiatives:
 - The case study report
 - A personal meeting to discuss our analysis
 - Opportunities for network and discussions with other social innovation initiatives, researchers and policy makers etc.
 - ‘Advertisement’ – we can mention the cooperation in communication about the TRANSIT project
 - Access to the public web-based resource hub about social innovation (once fully established)
 - Access to a “tool box” of tools, which are theory-based and practice-tested and aim to support social innovation initiatives
 - Possibly any other reciprocal action that the researcher seems fit, e.g. writing up an innovation history (see Annex 1) or analysing specific questions for the initiative and writing practice recommendations for them.

3. **Social innovation actors as research subjects or objects** – a research subject is active within the case study, e.g. writings, interpretations, conclusions, and demands interest and time from the case actors. This points draws our attention to striking for the appropriate balance between treating case actors as ‘sources’ vs. involving them in the actual write up. This often relates to limited time, both at the end of the case actors as the researchers, despite this, we recommend striving for an open dialogue on the kind of involvement both parties are striving for.

4. **Normativity: transparency and diversity in data sources** – Researchers should make their normativity in relation to the studied initiatives transparent in the case report. A normative stance is inevitable, as many TRANSIT researchers have a positive attitude towards the social innovation initiatives, so it is important to be mindful of it and reflect on it.

The experience from batch 1 teaches us that local initiatives in general are very interested in the knowledge produced about their initiative/network in the collaboration. Whether action-research, i.e. participating actively working for/in the initiative under study, is a feasible approach is left to the researcher in question. On the one hand, it might seem unfeasible regarding the available time and resources, on the other it might be the only way to gain access and trust. A suggestion for engaging with case actors has been listed in the next section – innovation history – that aims at engaging the research subjects in doing research and reflecting about their innovation activities. Such alliances in doing research might be helpful for both parties and in line with the overall transdisciplinary ambition of TRANSIT.

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3.5 Depth of our research

It is difficult to generalize how much data collection is necessary to ensure an appropriate basis for answering our research questions. The following numbers should give some indication on the depth (and its possible variety) that is expected as part of a TRANSIT in-depth case study. This is an indication, as the context of the research and the structure of each of the networks vary which might make e.g. participant observation at network level impossible at all or within the fieldwork budget. Deviations from these indications should be discussed in the research protocol and the case study report. The interviews might be supplemented by short ad hoc interviews with users during visits to e.g. an organisation or a community or during events.

With regards to interviews, please make sure that you have a certain variety in the overall sample of people whom you interview; the following should be a guideline:

- At least 3 persons from within the SI-initiative/network
- At least 1 government/policy actor linked to the SI-initiative/network
- At least 1 community actor linked to the SI-initiative/network
- At least 1 market actor linked to the SI-initiative/network

The same holds for documents, also here variety is important:

- Primary sources: online and offline documents authored by the SI-initiative/network
- Secondary sources: online and offline documents authored by outsiders to the SI-initiative/network including grey documents and scientific publications
- Media: online and offline documents about the SI-initiative/network

With regards to the actual depth of the research, the following indications should be followed:

For each local initiative:

- 10-30 (primary/secondary) documents/media outputs
- 6-10 interviews of about 1-2 hours
- 10-80 hours of participant observation, including different types of dialogues and interactions as appropriate

For each transnational network:

- 5-10 (primary/secondary) documents/media outputs
- 3-5 interviews of about 1-2 hours
- 2-12 hours of participant observation, including different types of dialogues and interactions as appropriate

4 Operationalisation: From 'Framework for TSI' to cognitive map and research questions

4.1 Relational Perspective on Transformative Social Innovation

As summarised in section 3.1, our cognitive map consists of three distinct and intertwined parts:

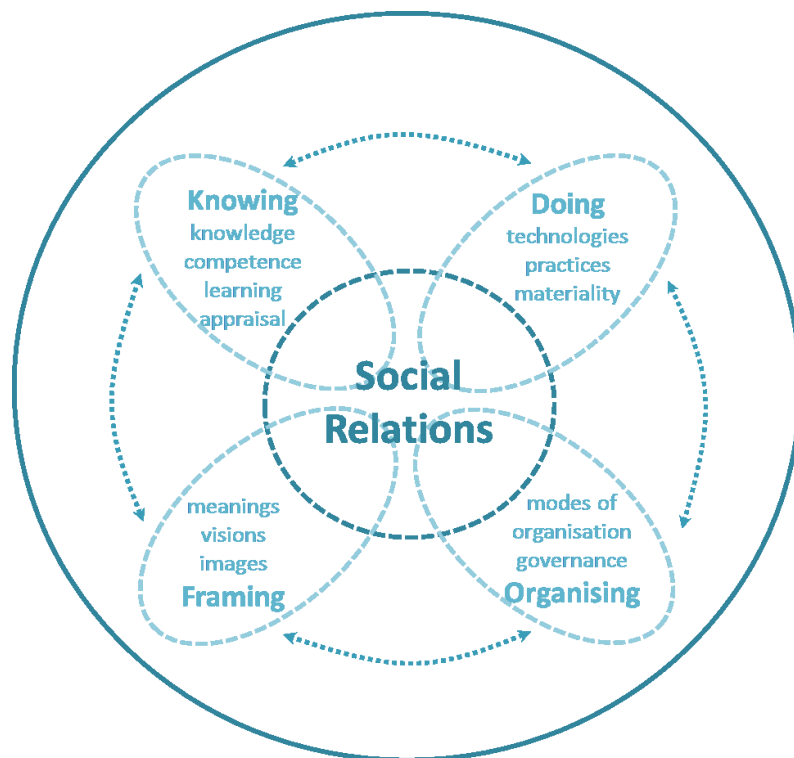
1. **Social innovation (SI).** How does SI emerge? How do SI-initiatives, SI-networks and the 'SIs themselves' relate and develop through space and time? (see section 4.1.1.)
2. **Transformative social innovation (TSI) dynamics.** How do social innovations interact with/ contribute to transformative change in a social context? (see section 4.1.2)
3. **Agency in (T)SI.** Where lies the agency in (T)SI processes? How are actors, SI-initiatives and/or SI-networks dis/empowered in (T)SI processes? (see section 4.1.3)

In the following sub-sections we introduce each of these three parts with working definitions, schematic overviews and a brief characterization of the aspects of TSI processes which we will investigate in our case studies.

Underlying all three parts of the cognitive framework, is our **relational perspective**. In TRANSIT we take a relational perspective on the world, in the sense that we see the world as comprised not so much of entities (things, persons, organizations) but primarily of social relations, processes and changes, involving ways of doing, organising, knowing and framing (see figure 4.1 and D3.2 for more information). These are part of a social context, which includes 'anything that is relevant' for the object under study. When using the word social, we include 'socio-material' realities. Social relations, social contexts, doing, organising, framing and knowing, they are all 'socio-material'. We consider all elements in the social context to be 'co-produced' and to 'co-evolve' with each other (see D3.2).

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Figure 4.1 Relational Perspective on Dimensions of Transformative Social Innovation (see D3.2)



4.1.1 How Social Innovation (SI) Emerges

The main focus in this part is on the emergence of **social innovation** as well as the development of SI-initiatives and SI-networks: How does SI emerge? How do SI-initiatives, SI-networks and the 'SIs themselves' relate and develop through space and time? (see Figure 4.2)

We study **social innovation (SI)** as a change in social relations, involving new ways of doing, organising, framing and/or knowing. Social innovations can refer to ideas, objects and/or activities. These are 'socially innovative' to the extent that they imply/demonstrate a change in social relations associated with new ways of – and/or new combinations between – doing, organising, framing and knowing.

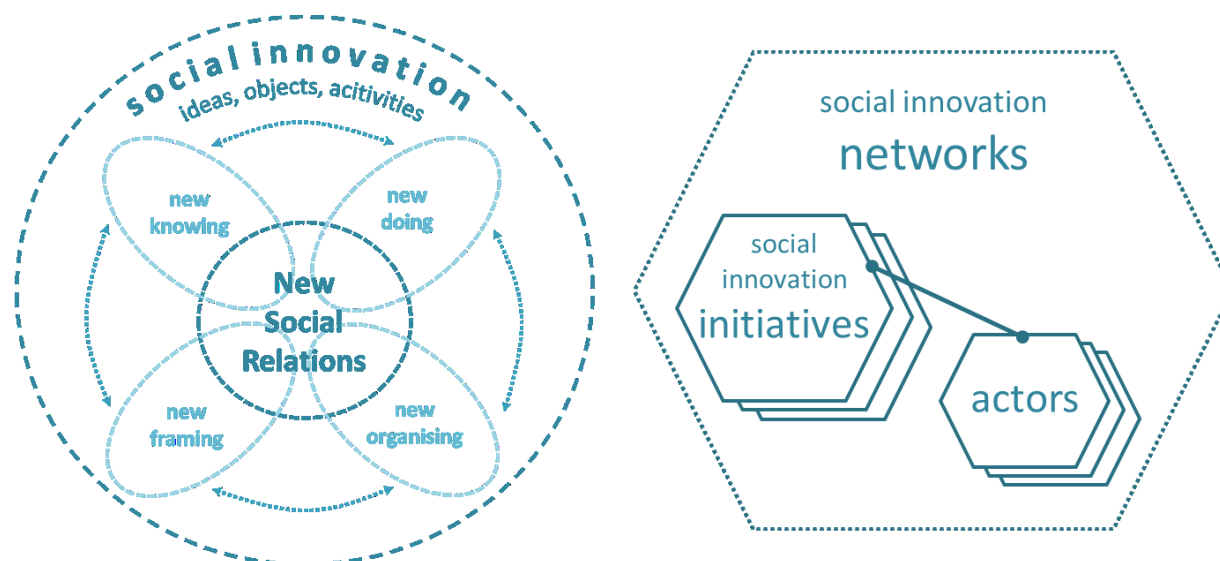
As such we distinguish SIs (i.e. socially innovative ideas, objects and/or activities) from the *actors*, *initiatives* and/or *networks* that are *working on* SI. In our empirical work, we focus on studying initiatives/networks that (we hypothesise to) work on SI: **SI-initiatives** and **SI-networks**.

A **SI-initiative** is a collective of actors that (aims to) work(s) on ideas, objects and/or activities that are socially innovative. In our in-depth case-studies, we focus on local initiatives that are part of transnational SI-networks. Such local initiative can be a (local) community, project and/or programme.

A **SI-network** is a network of initiatives and actors that (aims to) work on ideas, objects and/or activities that are socially innovative. These actors and initiatives are connected to each other and share an equal concept and identity, either formally or informally. In TRANSIT's empirical research, we focus on 'transnational' networks, i.e. networks that cross national borders.

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Figure 4.2 Social Innovation (SI). Demarcating SIs, SI-initiatives, and SI-networks



We distinguish three scales of **actors**: (1) sectors (state, market, civil society), (2) social collectives (e.g. initiatives, networks, communities, organisations)² and (3) individual roles (e.g. citizens, members, consumers, activists, residents etc.). We are particularly interested in the *social relations between* actors (within/around the SI-initiative and SI-network) and how these change.

We want to *empirically* identify how actors, SI-initiatives, and SI-networks manifest around specific SIs. We want to discover what exactly is ‘socially innovative’, by specifying (1) the ideas, objects and activities that these actors/initiatives/networks are working on, and (2) how these imply/demonstrate a change in social relations and new ways of doing, organising, framing and knowing.

4.1.2 Transformative Social Innovation dynamics

In this second part the focus is on the interaction of the social innovation with the social context, the dynamics of transformative social innovation: How do social innovations interact with/ contribute to **transformative change** in a social context? (See Figure 4.3)

We study **transformative change (TC)** as change that challenges, alters and/or replaces (dominant) institutions and structures in a specific social context.

Combining this with the earlier definition of SI, we have defined **transformative social innovation (TSI)** as

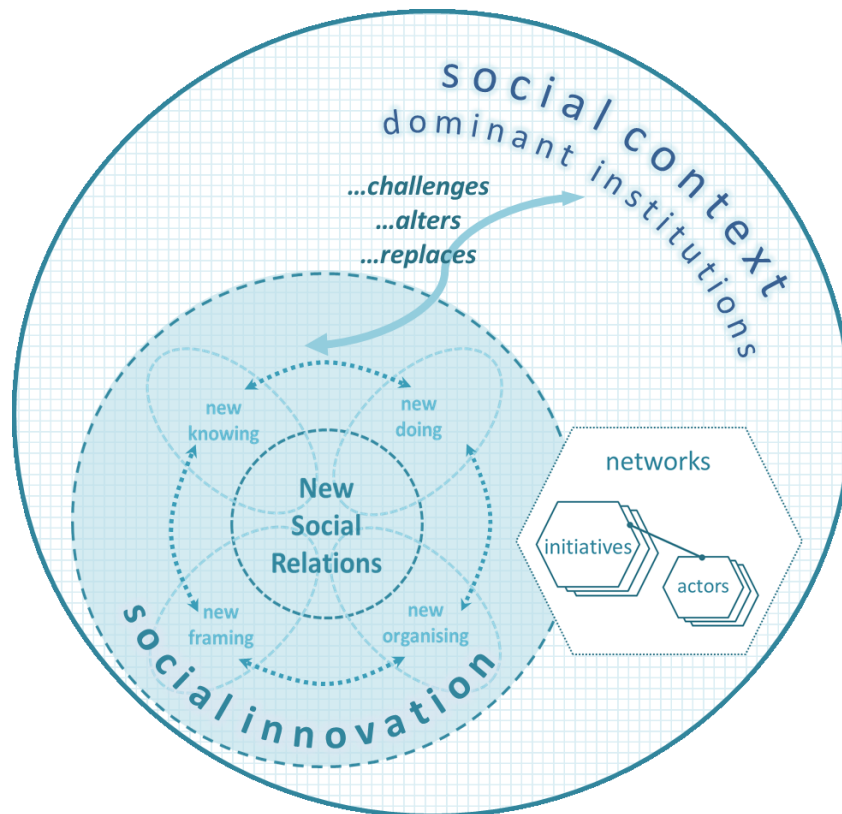
a process of change in social relations, involving new ways of doing, organising, framing and/or knowing, which challenges, alters and/or replaces dominant institutions/structures in a specific social context.

² As such, the SI-Initiatives and SI-networks can be considered ‘actors’ in themselves. In our in-depth case-studies we distinguish them as **embedded objects of analysis**.

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We empirically study this process by characterising the social context (see below) of SI and subsequently analysing how the SI interacts with that context.

Figure 4.3. Transformative Social Innovation



Conceptualising TSI as SI that ‘challenges/alters/replaces’ dominant institutions in the social context, means that the transformative nature of SI has different aspects. We distinguish between three aspects along which SI concepts/initiatives/ SI-networks can be transformative: **transformative ambition**, **transformative potential** and **transformative impact**. In our case-studies, it is important to be very specific about which of these three we refer to:

Transformative ambition = when an actor, initiative or network holds a vision or ambition to achieve/ contribute to an identified transformative change. This may be through the formal vision, aims, mission statement of or it may be more implicit.

Transformative potential = when an actor, initiative or network work on an object, idea, or activity that displays qualities to challenge, alters and/or replaces dominant institutions in a specific social context.

Transformative impact = when an actor, initiative or network shows evidence (over time and space) of having achieved transformative change.

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We consider the **social context** to be the set of contextual factors that are relevant to the SI, SI-initiative and/or SI-networks under study. The social context includes all relevant:

- (other) actors, initiatives and networks
- established **institutions and structures** (see below)
- societal **events, trends and framework conditions** (see below)
- **discourses and narratives of change** (see below)
- **SI-clusters and SI-field** (see below)

We use **institutions and structures** in the broadest sense of the words, including formal and informal **institutions** (as norms, rules, conventions and values) as well as physical and organisational (infra)**structures**.

In our WP4 in-depth case-studies, we are particularly interested in the most **dominant institutions/structures**. We want to understand how these dominant **institutions/structures** constrain and enable social relations and established patterns of doing, organising, framing and knowing. This then enables us to study how and to what extent the SI under study challenges/alters/replaces these dominant institutions (i.e. contributes to transformative change).

When describing the interaction with dominant institutions, we are for example also looking to understand the dominant 'institutional logics' of particular of 'institutional constellations'. We particularly refer to categories such as 'the state', 'the market' and 'civil society' (the latter including e.g. 'Third Sector', 'science', 'religion', 'citizen community').

To understand how the SI interacts with the social context, we also need to identify relevant **societal events, trends and framework conditions**. Examples are 'climate change', 'national elections', 'capitalism', 'ageing population', 'economic crisis', 'individualisation', 'secularisation' etc. Some of these can be understood as 'deep structures' that underlie the institutions and structures in the social context. We are interested in understanding how these societal trends and framework conditions enable/constrain the SI under study.

Discourses are other important elements of the social context. We are interested in understanding how and to what extent the SIs under study are constrained/ enabled by/interact with particular societal discourses in the social context.

A '**discourse**' refers to sets of ideas, concepts, metaphors, and/or story-lines. Societal discourses can be understood as institutionalised forms of 'knowing/framing' and are thus very much part and parcel of dominant institutions (see above).

We are also specifically interested in identifying societal discourses that are explicitly *about* (transformative) change and innovation. We refer to such discourses shortly as **narratives of change** (as a particular type of discourse). We are interested in understanding how our SIs under study relate to broader narratives of change in the social context, and how they are constrained/enabled by them.

When we analyse the interactions between SIs under study and their social context (incl. other actors, initiatives and networks under study, narratives of change), we expect that we can identify **SI-clusters** and **SI-fields**.

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An **SI-cluster** refers to a constellation of different SI-initiatives/networks that share certain socially innovative ideas, objects and activities. When we take all relevant SI-clusters together, we refer to an **SI-field** (= the collection of all SI-clusters, SI-initiatives and SI-networks in a particular social context). Our SI under study can be part of / relate to different SI-clusters and fields.

SI clusters and fields is what we will mostly be studying in the meta-analysis in WP5 (see D5.1).

4.1.3 (Transformative) Social Innovation agency

This third part focuses on the agency in (transformative) social innovation: Where lies the agency in (T)SI processes? How are actors, SI-initiatives and/or SI-networks dis/empowered in (T)SI processes? (See Figure 4.4)

We study **agency** in terms of the human capacity for purposive action. We are particularly interested in understanding the agency of individual actors, SI-initiatives and SI-networks (here-after referred to as 'actors') to co-produce TSI, i.e. to co-produce SI with transformative potential and impact. We are interested in understanding the process of agency creation, through specific aspects of agency such as autonomy and (dis)empowerment.

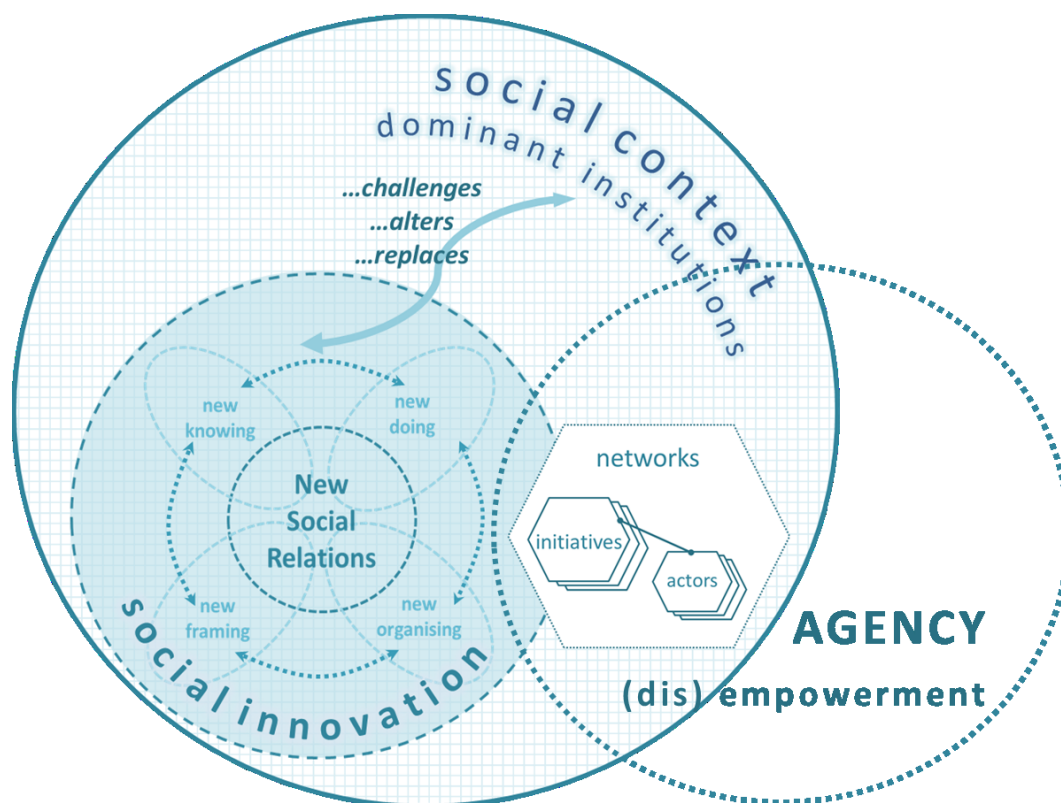
We understand **agency** as a dynamic, relational and constantly evolving process through which actors imagine alternatives and transform themselves, their relationships and their social contexts.

Autonomy is a process in which people align their action to their authentic interests, values and desires. Agency means that people can challenge, alter or replace elements of the social context that thwart their autonomy.

(Dis)empowerment is a process through which actors gain (or loose) a sense of influence and direction over circumstances that affect them. It involves competence (a judgment or capability to exercise control over own functioning and events), impact (having the sense of, and the experience that actions achieve a result in terms of challenging, altering or replacing existing dominant institutions); and resilience (developing the capacities for resisting obstacles and experiences of failure and for adapting strategies flexibly to changing circumstances).

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Figure 4.4. Agency & (Dis)empowerment in Transformative Social Innovation



We want to understand how actors (try to) co-produce TSI-agency and empowerment, for instance by making use of specific **visions**, **strategies** and **theories of change** (Figure 4.4).

A **vision** is a set of ideas that an actor has on what it wants to achieve at some future date. A vision may be explicit and stated in formal ways (such as in a mission statement) or it may be more implicit and tacit, identifiable in terms of the discourse and actions of a group over time.

A **strategy** can be understood as a 'high level plan' to guide, structure and inform actions to achieve a vision or goal that an actor holds at a particular time. An actor may hold more or less explicit and/or implicit approaches to inform actions and realise goals - so strategies may be implicit and ad hoc or they be identifiable in more formal processes. An important aspect of strategy is also how actors relate to their social context. We are particularly interested in identifying how actors intentionally and strategically 'draw on' and 'play into' their social context.

A **theory of change** is a set of ideas, framings and assumptions about how change comes about³. Thus it is not necessarily an 'academic' thing at all – it is assumed that any actor aiming for change will be informed (more or less explicitly) by a theory of change. We are particularly interested in understanding how and to what extent the theories of change used by our actors under study, explicitly and/or implicitly, include specific ideas about how SI can contribute to transformative change.

Our **cross-cutting themes** (governance, resourcing, social learning and monitoring) are important elements of agency and empowerment. However, agency and empowerment are broader than those

³ Specify difference narrative of change – theory of change

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themes alone. Moreover, all cross-cutting themes can also be seen as institutional and contextual factors that enable/constrain agency and (dis)empowerment. As such, governance, learning, resourcing and monitoring are not only activities that actors intentionally engage with, they also manifest as dominant institutions, structures and discourses that prescribe standardised ways of doing, organising, framing and knowing.

Governance = processes of governing (regulating, decision-making, steering) by all types of actors (including but not confined to *government*). In the framework for TSI, it is framed as one of the activities within the *organising dimension* of social innovation activities (see social innovation def. above).

(Social) learning = processes of learning (acquiring information, knowledge, experience), between individuals and groups at the level of the initiative/network, but also beyond the initiative/network to the broader social context. In the framework for TSI, it is framed as one of the activities within the *knowing dimension* and/or *framing dimension* of social innovation activities (see social innovation def. above).

Resourcing = the process by which actors acquire the resources they need to attain their goals. Resources can refer to monetary resources, but also to natural resources, artefacts, information or 'human resources' (i.e. man hours). In the framework for TSI, it is framed as one of the activities within the *doing dimension* of social innovation activities (see social innovation def.). Resources can be defined broadly as persons, assets, materials or capital, including human, mental, monetary, artifactual and natural resources. There is no inherent hierarchy of relevance between the different resources; each type of resource can be the object of power to more or less extent. All resources are interrelated and in order to mobilize one type, one may need to make use of other types.

Monitoring = the process that actors use to evaluate the impact/progress of their initiative/network on/in the context of the surrounding societal systems. In the framework for TSI, it is framed as one of the activities within the *doing dimension* of social innovation activities (see social innovation def. above).

4.2 Empirical research questions

Our main empirical research questions correspond with the three parts of our cognitive map as introduced in the previous sub-section:

1. **Social innovation (SI)**. How does SI emerge? How do SI-initiatives, SI-networks and the 'SIs themselves' relate and develop through space and time?
2. **Transformative social innovation (TSI) dynamics**. How do social innovations interact with/ contribute to transformative change in a social context?
3. **Agency in (T)SI**. Where lies the agency in (T)SI processes? How are actors dis/empowered in/by the SI-initiatives/ SI-networks in relation to (T)SI?

These questions are to guide you in your empirical work and will have to be answered in the actual case study report. The outline for a case study template (section 5) will give guidance in the actual reporting. We structure each of the three main research questions in a number of sub-themes (in italics) which should help us navigate the different sub-questions. Under each of these sub-themes

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there are a number of sub-questions (one digit, e.g. 1.1) which are to be answered in the case study report, the further specification in sub-sub-questions (two digits, e.g. 1.1.1.) is to remind us of the different aspects to be taken into account when answering the sub-question.

These are not interview questions! Rather to be used in interviews or as a guide for reviewing documents they need further operationalization. This operationalisation is partly case-specific and should therefore be done by case researchers – please share your operationalisations with other researchers so that we can build upon each other’s work and expertise.

4.2.1 Question 1: Social innovation and its emergence

How does SI emerge? How do SI-initiatives, SI-networks and the ‘SIs themselves’ relate and develop through space and time?

About the social innovation

- 1.1. What exactly is ‘**socially innovative**’ about SI-initiatives/SI-networks? How and to what extent do which ideas, objects and/or activities that they are working on imply/demonstrate a **change in social relations** and new ways of **doing, organising, framing and knowing**?
 - 1.1.1. How did this kind of social innovation develop over time and space (thus also before and outside the SI-initiative/SI-network)?
 - 1.1.2. Where, when and under which name did the social innovation emerge? Has it been known by different names? Has the social innovation travelled? Has it been ‘timely’ back in the days?

About the relation between SI-initiative and SI-network

- 1.2. How do the **SI-initiative** and **SI-network** relate to one another?

About the SI-initiative/SI-network

- 1.3. What is the **SI-initiative/SI-network** under study in terms of aims, core values, principles and activities, and in terms of its physical manifestations and artefacts?
- 1.4. When, how and by whom was the SI-initiative/SI-network founded?
 - 1.4.1. When was it founded? To what extent is it formalized and in what form? Is there a date of formalization? How long did the SI-initiative/SI-network exist before it was formalised? Were there different steps/phases in this formalization?
 - 1.4.2. By whom was the SI-initiative/SI-network initiated? Is there a specific founding actor – a person or organisation? Are there several important figures with various roles? Are the initiators still involved? What were the motivations, visions and values of the initiators?

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- 1.5. How has the SI-initiative/SI-network developed?
 - 1.5.1. To what extent and how did the SI-initiative/SI-network stay true to its original principles and/or core values. To what extent, how, when and why changed these (if they did)?
 - 1.5.2. How and to what extent did the SI-initiative/SI-network expand? Who were crucial internal, external or intermediary actors, and/or resources involved in this expansion? Was there a specific strategy for expansion? When and by whom was it developed?
- 1.6. How does the SI-initiative/network relate to and deal with established ways of doing, organising, framing and knowing?
 - 1.6.1. How and to what extent does the initiative/network consider itself 'deviant' and/or 'normal'? To what extent, why and how has that changed over time? Have there been specific moments of reconsiderations, and if so, when and why?
 - 1.6.2. How and to what extent does the SI-initiative/SI-network avoid/ protect itself from dominant doing, organising, framing and knowing?
 - 1.6.3. How and to what extent does the SI-initiative/network involve dissatisfaction with established ways of doing, organising, framing and knowing? What kind of dissatisfaction was it, what role did it play (and when)?

4.2.2 Question 2: TSI-dynamics

How does the social innovation, SI-initiative/SI-network interact with/contribute to transformative change in its social context?

About the interaction with the social context (incl. trends, institutions, discourses)

- 2.1. What are the major changes in the **social context** (in terms of **events, trends, societal framework conditions, institutions, structures** and/or **discourses**) which enable and/or inhibit the social innovation and the SI-initiative/SI-network, and how (now and in the past)?
 - 2.1.1. Think amongst others about the following: a) events, discourses, trends etc.; b) which borders and "units" are relevant, i.e. geographic, administrative, political, cultural, technological etc.; c) sectors that the social innovation operates within and/or targets (market, state, civil society); d) relevant domains
- 2.2. What are important events, trends and societal framework conditions for the SI-initiative/SI-network and why? Which have been important in the past?
 - 2.2.1. How does the SI-initiative's/SI-network's relate with dominant events, trends and societal framework conditions?
 - 2.2.2. When and how was it that actors in the SI-initiative/SI-network realized that the world was becoming more, or less, receptive towards their initiative/network? Which were the particular events, trends and framework conditions at which this changed, and when did it occur?

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- 2.3. What are important institutions and structures for the SI-initiative/SI-network and why? Which have been important in the past?
- 2.3.1. Which institutions and structures in society does it challenge/position itself against, and which does it align itself with?
 - 2.3.2. Which institutions and structures are considered most dominant, and how does the SI-initiative/SI-network relate with those?
 - 2.3.3. To what extent can these relations be characterized as complying, irritating, avoiding, resisting, compromising, hijacking?
- 2.4. How does the SI-initiative's/SI-network's relate with dominant discourses and existing/emerging narratives of change?
- 2.4.1. What are important discourses and narratives of change and why?
 - 2.4.2. Which have been important in the past?
 - 2.4.3. Which ideas, concepts, metaphors, and/or story-lines in society does it challenge/position itself against, and which does it align itself with?
 - 2.4.4. Does it use a specific vocabulary? i.e. are "social innovation" or other terms used explicitly?

About relations with external actors (incl. other initiatives or networks)

- 2.5. What are the relations and interactions between SI-initiative/SI-network and external **actors** and how has this changed?
- 2.5.1. How do actors in the social context relate to the SI-initiative/SI-network (e.g. supporting, observing, opposing, challenging, competing) and why?
 - 2.5.2. What are/were the most important alliances, and when did they take form?
 - 2.5.3. Have these relations changed, and if so when/why? Does the SI-initiative/SI-network foresee any changes in these relations, and if so why, when and what kind of changes?
 - 2.5.4. More specifically, how does the SI-initiative/SI-network relate to other SI-initiatives and SI-networks and why? What other networks is the initiative a member of, since when and for which reasons?

About transformative ambition, potential and impact (incl. unintended consequences)

- 2.6. What is the ambition, potential and impact of the social innovation and the SI-initiative/SI-network with regard to transformative change?
- 2.6.1. To what extent does the SI-initiative/SI-network hold an (implicit and/or explicit) ambition to achieve/contribute to transformative change? What does this **transformative ambition** consist of and did it change over time? On what scale is the initiative aiming to have transformative impacts? With whom?
 - 2.6.2. To what extent does the SI-initiative/SI-network implicitly and/or explicitly work on an object, idea, or activity that displays qualities to challenge, alters and/or replaces

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dominant institutions in a specific social context? What is the **transformative potential** of this object, idea or activity and did it change over time?

- 2.6.3. To what extent does the SI-initiative/SI-network show evidence (over time and space) of having achieved transformative change? What kind of **transformative impacts** does the SI-initiative/SI-network have?

2.7. What are the unintended effects of the social innovation and of the SI-initiative/SI-network?

- 2.7.1. How and to what extent does the social innovation (object, idea, or activity) display internal contradictions and/or inherent risks for unintended effects?
- 2.7.2. How and to what extent is the SI-initiative/SI-network aware of and dealing with the potential unintended effects of the social innovations (objects, ideas or activities) that it is working on?
- 2.7.3. How and to what extent is the SI-initiative/SI-network reproducing (i.e. participating in or resigning into) those dominant ways of doing, framing, knowing and organising that it is critical of?

4.2.3 Question 3: Agency in (T)SI

Where lies the agency in (T)SI processes? How are actors dis/empowered in/by the SI-initiatives/SI-networks in relation to (T)SI?

About visions, strategies and theories of change of the SI-initiative/SI-network

- 3.1. What are the implicit/explicit **visions** of the SI-initiative/SI-network about what it wants to achieve at some future date? How implicit or explicit are they? Have these changed, and if yes, when, and why?
- 3.2. Does the SI-initiative/SI-network have implicit/explicit **strategies** which guide, structure and inform actions to achieve the vision(s)? Have these changed, and if yes, when, and why? Does it have different strategies for different goals, or to use towards different actors?
- 3.2.1. Does it have an explicit strategy for dealing with barriers that it encounters? What barriers are these and how does it address these?
- 3.2.2. Does it have specific strategies relating to any of the aspects of the social context (i.e. drawing on or playing into)?
- 3.3. Does the SI-initiative/SI-network have explicit/implicit ideas, framings and assumptions about how SI contributes to societal change comes about (i.e. a **theory of change**)? Has that changed, and if yes, when, and why?

About agency and (dis)empowerment

- 3.4. How and to what extent have the people involved in the SI-initiative/SI-network developed (a sense of) agency?

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- 3.4.1. How and to what extent do the people involved in the SI-initiative/SI-network have a sense that they can transform themselves, their relationships and their social contexts?
 - 3.4.2. How and to what extent do the people involved in the SI-initiative/SI-network develop individual and collective autonomy by aligning their action to their authentic interests, values and desires?
 - 3.4.3. How and to what extent do the people involved in the SI-initiative/SI-network have a sense that they can challenge, alter or replace elements of the social context that thwart their autonomy?
- 3.5. How and to what extent are which people involved in the SI-initiative/SI-network empowered or disempowered (i.e. gain or lose a sense of influence and direction over circumstances that affect them)?
- 3.5.1. How and to what extent do people involved in the SI-initiative/SI-network have (a sense of) competences? Which competences do they (not) (feel to) have?
 - 3.5.2. How and to what extent do people involved in the SI-initiative/SI-network have a sense of impact? How and to what extent have they experienced that their actions achieve what kind of results?
 - 3.5.3. How and to what extent do people involved in the SI-initiative/SI-network have (a sense of) resilience? To what extent do they have capacities for resisting obstacles and experiences of failure and for adapting strategies flexibly to changing circumstances?
- 3.6. How and to what extent are the relations that the SI-initiative/SI-network develops with other actors dis/empowering?
- 3.6.1. When did they establish (the most important of) these relations, and what were the reasons for doing so? Have they actively disengaged from any of those, when, and what were the reasons for doing so?
 - 3.6.2. How are/were these relations (dis)empowering for the SI-initiative/SI-network in seeking new ways of doing, framing, organising and knowing?
 - 3.6.3. Does the SI-initiative/SI-network feel that they have been taken advantage of? By whom, and what is their way of dealing with this? Has this led to reconsiderations of strategies and/or visions, and if so, when and why? Has the SI-initiative/SI-network withdrawn from collaborations with these actors, and if so, when and why did this occur?

*About internal and external **governance***

- 3.7. What are the internal governance processes?
- 3.7.1. How are decisions taken in the SI-initiative/SI-network? How has this changed over time (if it has) and why? To what extent are rules formalized? What are formal rules and structures and when were they introduced? What are the informal rules and structures in place?

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- 3.8. (How and to what extent) are the internal governance processes in themselves socially innovative? I.e. (how) do they involve a change in social relations and new ways of organising?
- 3.9. How and to what extent do people involved in the SI-initiative/SI-network feel (dis)empowerment by internal governance arrangements?
- 3.10. What are the external governance arrangements? (See also questions about dominant institutions, but here focus is on governance and how that affects people involved).
 - 3.10.1. How and to what extent does the SI-initiative/SI-network engage with/ depend on external formal and informal rules and decision-making?
- 3.11. (How and to what extent) are the external governance processes – and/or the way in which the SI-initiative/SI-network deals with them - socially innovative? I.e. (how) does external governance involve a change in social relations and new ways of organising?
- 3.12. How and to what extent do people involved in the SI-initiative/SI-network feel (dis)empowered by this external governance?

About monitoring

- 3.13. How and to what extent is the impact/progress of the SI-initiatives/SI-networks evaluated and monitored?
 - 3.13.1. How and to what extent are SI-initiatives/SI-networks evaluated and monitored?
 - 3.13.2. Who is evaluating and monitoring (internal and/or external actors)?
 - 3.13.3. What aspects are monitored, and why?
 - 3.13.4. How and to what extent are SI-initiatives/SI-networks required by their social context to engage in monitoring? Which elements in the social context (institutions, trends, actors) require/impose what kind of monitoring?
 - 3.13.5. When, how and why did these monitoring activities develop and change over time?
 - 3.13.6. Have these monitoring activities led to changes in strategies, and if so, when and why did (the most important of) these occur?
- 3.14. How and to what extent are the processes of monitoring in themselves ‘socially innovative’? I.e. (how) does the process of monitoring involve a change in social relations and new ways of framing?
- 3.15. How and to what extent are the monitoring activities in/around the SI-initiative/SI-network experienced as dis/empowering by the people involved, and why?

About resourcing

- 3.16. How and to what extent do the SI-initiative/SI-network acquire the resources they need to attain their goals?
 - 3.16.1. What are the most important resources for the SI-initiative/SI-network and why?

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- 3.16.2. How does the SI-initiative/SI-network gain access to which resources (persons, assets, materials or capital, including human, mental, monetary, artifactual and natural resources)?
 - 3.16.3. Which actors does it turn to for resourcing?
 - 3.16.4. How, to what extent, when and why did these resourcing activities change over time?
 - 3.16.5. Does the SI-initiative/SI-network have rules or principles with regards to gaining access to resources, and which are they? To what extent are they compromising these, when and why?
 - 3.16.6. What is the resource relationship between the SI-initiatives and the SI-network? Are resources central or distributed? Does resources flow from local to global, the opposite, or both ways?
- 3.17. How and to what extent are the processes of resourcing in themselves ‘socially innovative’? I.e. (how) does the process of resourcing involve a change in social relations and new ways of doing and organising?
- 3.18. How and to what extent is the process of resourcing in the SI-initiative/SI-network experienced as dis/empowering by the people involved, and why?

About (social) learning

- 3.19. How and to what extent is the SI-initiative/SI-network involved in processes of social learning, i.e. how does it acquire and share information, knowledge and experience?
- 3.19.1. What are the most important learning activities within the SI-initiative/SI-network and why? How does the SI-initiative/SI-network organize such internal learning? What is being learned? What do the people involved in the the SI-initiative/SI-network consider to be their main learning challenges?
 - 3.19.2. What are the most important learning activities beyond the SI-initiative/SI-network to the broader context? How and to what extent are which external actors involved in learning? What are the main learning insights that the SI-initiative/SI-network have to share with their social context?
 - 3.19.3. How, to what extent, when and why did these learning activities change over time?
- 3.20. How and to what extent are the processes of social learning in themselves ‘socially innovative’? I.e. (how) does the process of social learning involve a change in social relations and new ways of framing and knowing?
- 3.21. How and to what extent is the process of resourcing in the SI-initiative/SI-network experienced as dis/empowering by the people involved, and why?

5 Outline of the case study report

This section outlines the structure of the case study report. The actual template (in TRANSIT make-up) will be shared before September 2015, together with visual examples of both the timeline as well as the network analysis of one of our cases. If you would like to get started on writing the case report earlier, you can go ahead and copy/paste the structure below into an empty document.

Disclaimer and Foreword

To be provided

A - Introduction to [NAME OF THE CASE STUDY]

Maximum of 4 pages

Short introduction to case and **why this case is interesting** to study in relation to transformative social innovation.

Include:

- Concise summary of most relevant scientific literature about the social innovation and SI-initiative/SI-network (if available)
- Concise outline of the main elements of the social context against which the social innovation and the SI-initiative/SI-network position itself [very concise summary of the answer to question 2.1, in question 4.2.2]
- Outline of the transnational network(ing) under study (including both formal networks and informal networking; clear demarcations of the focus, and thereby clarification of what/who counts as internal/external to the case study)
- Outline the local initiatives under study: names and locations and relation to network(ing)
- A visualisation of how network(ing) and local initiative relate to one another (*in the actual template we will provide some examples*)
- Temporal scale, i.e. which time-period is covered by the case
- Overview and structure of the report.

B - Methodology

Maximum of 3-5 pages

- Researcher relations to the case
Include your choices and possible challenges/opportunities with regard to proximity vs. distance, normativity, reciprocity, research subject vs. research object
- Methods
 - **Overall methodology:** 1) Description of and reflection on the empirical basis for this embedded case – who were the informants, what documents are included and which participant observation moments. What does the limitations thereof? And 2) Reflect on how the empirical data has been collected and analysed, include specific perspectives and/or procedures used.
 - **Interviews:** Describe not only interview type, but also how they are analysed.

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- **Participant observation:** Action research, passive observation, and alternatives like innovation histories.
- **Document reviews:** Includes both archival research and more standard document review.

C - Transnational network(ing): NAME

Maximum of 10-15 pages

1. Emergence of Social innovation (SI) and SI-network.-

Which SIs is the SI-network working on? How did the SI and the s SI-network emerge? How do SI-networks and the 'SIs themselves' relate and develop through space and time?

In this section answer all questions under 4.2.1. with a focus on the transnational SI-network and the SIs it is working on.

2. TSI dynamics. How does the SI-network interact with/ contribute to transformative change in its social context?

In this section answer all questions under 4.2.2. with a focus on the transnational SI-network and the SIs it is working on.

3. Agency in (T)SI. Where lies the agency in the SI network? How are the actors involved in the SI-network dis/empowered?

In this section answer all questions under 4.2.3. with a focus on the transnational SI-network and the SIs it is working on.

4. Summary, synthesis, conclusion

In this section include a short summary and overall synthesis for the SI-network including the timeline and actor-map. *In the actual template we provide some examples for inspiration.*

D - Local Initiative #1: NAME

Maximum of 10-15 pages

1. Emergence of Social innovation (SI) and SI-initiative #1. Which SIs is SI-initiative #1 working on? How did SI-initiative #1 emerge? How do SI-initiative #1 and the 'SIs themselves' relate to each other and how did they develop through space and time? How does SI-initiative #1 relate to/ differ from (other initiatives in) the SI-network?

In this section make sure to answer all questions under section 4.1. with a focus on local SI-initiative #1. Try to avoid repetition with the description of the SI-network – focus on explaining what is specific/ different about the local SI-initiative #1 and how it relates/differs from the SI-network as a whole.

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2. TSI dynamics. How do social innovations interact with/ contribute to transformative change in a social context?

In this section answer all questions under 4.2.2. with a focus on SI-initiative #1 and the SIs it is working on.

3. Agency in (T)SI. Where lies the agency in (T)SI processes? How are actors, SI-initiatives and/or SI-networks dis/empowered in (T)SI processes?

In this section answer all questions under 4.2.3. with a focus on SI-initiative #1 and the SIs it is working on.

4. Summary, synthesis, conclusion

In this section include a short summary and overall synthesis for the SI-initiative #1 including the timeline and actor-map. *In the actual template we provide some examples for inspiration.*

E – Local Initiative #2: NAME

Maximum of 10-15 pages

1. Emergence of Social innovation (SI) and SI-initiative #2. Which SIs is SI-initiative #2 working on? How did SI-initiative #2 emerge? How do SI-initiative #1 and the ‘SIs themselves’ relate to each other and how did they develop through space and time? How does SI-initiative #2 relate to/ differ from (other initiatives in) the SI-network?

In this section make sure to answer all questions under section 4.1. with a focus on local SI-initiative #2. Try to avoid repetition with the description of the SI-network – focus on explaining what is specific/ different about the local SI-initiative #1 and how it relates/differs from the SI-network as a whole.

2. TSI dynamics. How do social innovations interact with/ contribute to transformative change in a social context?

In this section answer all questions under 4.2.2. with a focus on SI-initiative #2 and the SIs it is working on.

3. Agency in (T)SI. Where lies the agency in (T)SI processes? How are actors, SI-initiatives and/or SI-networks dis/empowered in (T)SI processes?

In this section answer all questions under 4.2.3. with a focus on SI-initiative #2 and the SIs it is working on.

4. Summary, synthesis, conclusion

In this section include a short summary and overall synthesis for the SI-initiative #2 including the timeline and actor-map. *In the actual template we provide some examples for inspiration.*

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F - Synthesis

Focus on comparison of the local initiatives and the transnational network and provide an overall synthesis - Maximum of 10-15 pages

1. Emergence of Social innovation (SI).
 - a. How did the SI emerge?
 - b. How did/do SI-network and Si-initiatives and the social innovations themselves relate and develop through space and time?
2. TSI dynamics. How do social innovations, SI-network and Si-initiatives interact with/ contribute to transformative change in a social context?
3. Agency in (T)SI. Where lies the agency in the (T)SI process under study? How are/were actors dis/empowered?

Include overall timeline including SI-network and SI-initiatives # 1 and #2.

G - References

Includes references used in writing the report

H - Annex:

- Bibliography – includes an overview of relevant references even if not cited in the report (not required)
- List of interviews
- List of meetings and events attended

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Annex 1: Innovation History

Innovation histories⁴ allow the people concerned to reflect on their actions; how these are linked to the actions of others and how better results might be achieved in the future. The concept of innovation histories is a tool that combines different types of interviews, and may entail document review as well, and aims to activate the partners in the local initiatives. It is an example of how case researchers can give something back to the case actors, while getting the possibility to test the knowledge they have attained so far. It does not involve a lot of extra work, as both timeline and network analysis are part of these guidelines.

Innovation histories are constructed by a core group consisting of a facilitator, an analyst, a journalist (these three may be one person), and at least one knowledgeable person from each of the stakeholder organizations. The method outlines a step-by-step guide:

1. **Clarify the objectives and expectations of stakeholders:** Our objective is to carry out research on innovation processes, but also stakeholder expectations need to be clarified at the outset.
2. **Define the innovation:** Defining in the group, during the group interview or earlier, what the innovation in question really is.
3. **Construct innovation timelines and actor network maps:** Innovation histories provide causal explanations for two outputs:
 - an innovation timeline that sequentially lists the key events (and any effects on the relationships between stakeholders); and
 - actor-network matrices and maps that show the links between stakeholders.
 - A start-up workshop involving participatory group work is a good way to construct the first drafts of the timeline and network matrices and maps. After constructing the timelines and actor network maps, participants then decide on themes they wish to investigate during the construction of the learning history, and identify whom they need to interview and what literature is relevant.
4. **Write up the learning history:** This entails a type of poster visualising the time-line and combining it with text and quotes. See the reference in the footnote for an example.
5. **Use the innovation history as a catalyst for change:** The authors of the method suggest to let the discussion around the innovation history culminate in a second workshop, so a shared vision can be arrived at, and action plans developed.
6. **Write up the publishable innovation history:** A document meant for sharing the experience with an outside audience, usually a type of report. It might be part of PR for the initiative, and such can be part of the reciprocity from us as researchers. It might also produce valuable diagrams for the case report.

The concept of innovation histories is an example of a very operational way to engage a local initiative actively in thinking about and analysing their own innovation(s). It might be hard to follow such a specific guideline, but it may give inspiration for more participatory involvement with the research subjects.

⁴ For more details see http://ageconsearch.umn.edu/bitstream/52515/2/ILAC_Brief05_Histories.pdf or here: <http://steps-centre.org/methods/pathways-methods/vignettes/innovation-histories/>