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| Social Innovation as Valuation and Outcome Category of SSH Research |
| Proposal for SNSF |

Zentrum für Soziale Innovation

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**Social Innovation as Valuation and Outcome Category of SSH Research**

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1. INTRODUCTION

Our proposal aims to trace contributions of SSH research funded by SNSF to social innovations, and to systematise these contributions in a valuation framework. In addition, we aim to identify to what extent contributions to social innovation in SNSF-funded research are possible at all, and where further support measures, within the funding programme but also outside it (e.g. by the universities), could create an added value that could not be tapped so far.

We understand our approach as an experimental pilot, which could – if successful and eventually further refined– potentially add an important valuation and outcome category to SSH research in the future. We try to systematize our approach as much as possible throughout all steps to make it as simple and applicable for possible future adaptations and use.

With our approach we first of all refer to research question No. 2 (“national and international exchange of knowledge”) stipulated by SNSF in its “Invitation so Submit Study Drafts: Analyzing the “Value of SNSF-funded research” from 6th October 2020. One of our central starting points is that knowledge gain resulting from research is a product of constant and dynamic exchange between researchers and other stakeholders involving a multitude of iterative and incremental steps, which are not done in isolation, but build on or are influenced by past or parallel contributions.

We want to provide an answer to the question asked by SNSF to *what extent and how do SNSF funded researchers facilitate access to and development of new knowledge through knowledge exchange?*, with a particular emphasis on exchange between the domain of research and the domains of business, society, environment and culture. We further aim to provide an answer to the raised questions *„to what extent and how is knowledge obtained by exchange and encouraged through SNSF funding taken up, utilized and further developed in Swiss academia, business, society, environment or culture? Which kinds of benefits can be observed?”*

Since effects through take-up can be uncountable, we focus solely on contributions of Social Sciences and Humanities (SSH) research funded by SNSF to social innovations. We are fully aware that this is a simplification, both in terms of potential “impact dimension” and in terms of our seemingly disciplinary focus. Contributions to social innovations are not restricted to SSH research. On contrary, we firmly believe that several non-SSH disciplines can provide valuable contributions to social innovation, but we also believe that it would be worthwhile to investigate with the help of a transparent and robust research design the special contributions of SSH research to it. Our focus on SSH is de facto only an apparent limitation, firstly because we do not limit ourselves to a single SSH discipline, secondly because we are particularly interested in interdisciplinary constellations, which, however, are led by SSH actors, and thirdly because we also pay special attention to transdisciplinary research.

As already noted, we are aware that contributions to social innovation are only one of several impact dimensions. However, it is a potential impact that has hardly been robustly empirically researched up to now. This is also due to the apparent vagueness and the epistemological fuzziness of the object of investigation, "social innovation", which is assumed in some places. We therefore do not approach the study with a naive concept of social innovation, but try to introduce clearly distinguishable criteria for identifying social innovation into the research design. Please find more information on this in the next chapter.

However, we would also like to take up an implicit aspect that resonates in the first question postulated by the SNSF[[1]](#footnote-2), namely how the interplay between open, hardly restricted research and the demand for social relevance is shaped, which is characterised by dynamic processes of value creation within academia and beyond, in business, society, environment and culture. In other words: is the freedom offered sufficient to achieve the research objectives and the intended contribution to social relevance, or is additional support needed (and then what kind of support) to create a comprehensible social added value. Or is this added value created in any case by the existence of other, external structures and measures that the SNSF-funded researchers can use? We point out that this complex of questions must be placed in the context of research-led contributions to social innovation.

1. RATIONALE, BACKGROUND AND RESEARCH QUESTIONS

In the mission statement of the conference *‘Impact of Social Sciences and Humanities for a European Research Agenda – Valuation of SSH in mission-oriented research’*, organised under the Austrian EU Council Presidency in late 2018, the former ERC President Helga Nowotny calls SSH researchers to re-think the transformative relationship between science and society. *“Scientific research is about transformation – how to enable it, or how to avoid it. It is about the transformation that society is undergoing as much as about the transformative power inherent in knowledge and policies based on social science knowledge …Transformative science must be transformative in a double sense: wanting to exert influence in society but also open to be influenced by society and its needs”* (Nowotny et al, 2019, p. 8). She further argues that SSH are deeply involved in the processes that use scientific and scholarly approaches to bring about a better society, difficult as it may be to define it. The societal and political relevance of SSH should be acknowledged and not denied. This would also help to valorise SSH research and move beyond a purely defensive stance on part of the SSH vis-à-vis the meaning of ‘impact’ (Nowotny et al., 2019).

Against the background of this statement, social innovation could potentially become a more important anchor point for social sciences and humanities (SSH) in the future (Bornstein et al., 2014). The engagement with innovation as a phenomenon that not only changes economic practices, but also social practices, however, could also contribute to a changing role of SSH research from a pure analytical one to an active co-shaping role (see also Howaldt, 2019).

Both the scientific and research policy debate on social innovation has gained in importance over the past 20 years. Some proponents see social innovation as an opportunity to revitalise social sciences (Bornstein et al., 2014) and to free themselves from their defensive stance towards discourses revolving around valuation and impact of science and research. On the other hand, there are also findings indicating that (SSH) research has so far paid quite little attention to the development of social innovation, particularly in terms of empirical productive interactions (Howaldt, 2019; Schuch, 2019; Brundenius, 2017; Cunha and Benneworth, 2013). However, a recent study that examined the work of leading Austrian social scientists on the topic of social innovation and their research contributions to the development of social innovations contradicts the last statement (Schuch and Salamon, 2021 forthcoming).

*Our main hypothesis is, that social innovation as a transversal topic seems to have increasingly moved from the margins of social science and humanities research to the centre of it*, although research funding still seems to lag a little behind this development. However, the published findings are still inconclusive and, above all, there is a lack of larger empirical studies. We also face a problem of measuring the contribution of scientific research to social innovation. Conceptual and epistemological uncertainties appear to be too great and, As a result we still know too little about the relationship between the work of research communities and the topic of social innovation.

This is where the project proposed by us comes in.

We believe that our approach is innovative and could boost the discourse on the relationship between social innovation and SSH research. However, we also know that the approach is risky in the sense that the results of the study may not confirm our hypothesis and thus may not be very beneficial for the further development of how to value SSH research through the lens of social innovation. But even that would be an important gain in knowledge and would help to reduce speculation and assumptions.

*Our research objective* is

*First***,** to identify scope and scale of SNSF funded SSH projects that deal with social innovation research or the development of social innovation

*Second***,** to assess the extent of contribution of funded SNSF projects to the development of social innovations, their productive interactions with non-academic stakeholders and/or beneficiaries and the operational or epistemological limits, and

*Third***,** to critical reflect and structure the value of social innovation as potential valuation and outcome category, in particular for SSH.

With this project, we aim to pursue the following research questions:

1. How often and how is social innovation as a research topic approached in SNSF-funded SSH projects?
2. What is the contribution of SNSF funded SSH research to the development of social innovation? How far does it go? How far can it go and where are the limits?
3. Is social innovation a suitable starting point for the valuation of, in particular, but not only SSH research?

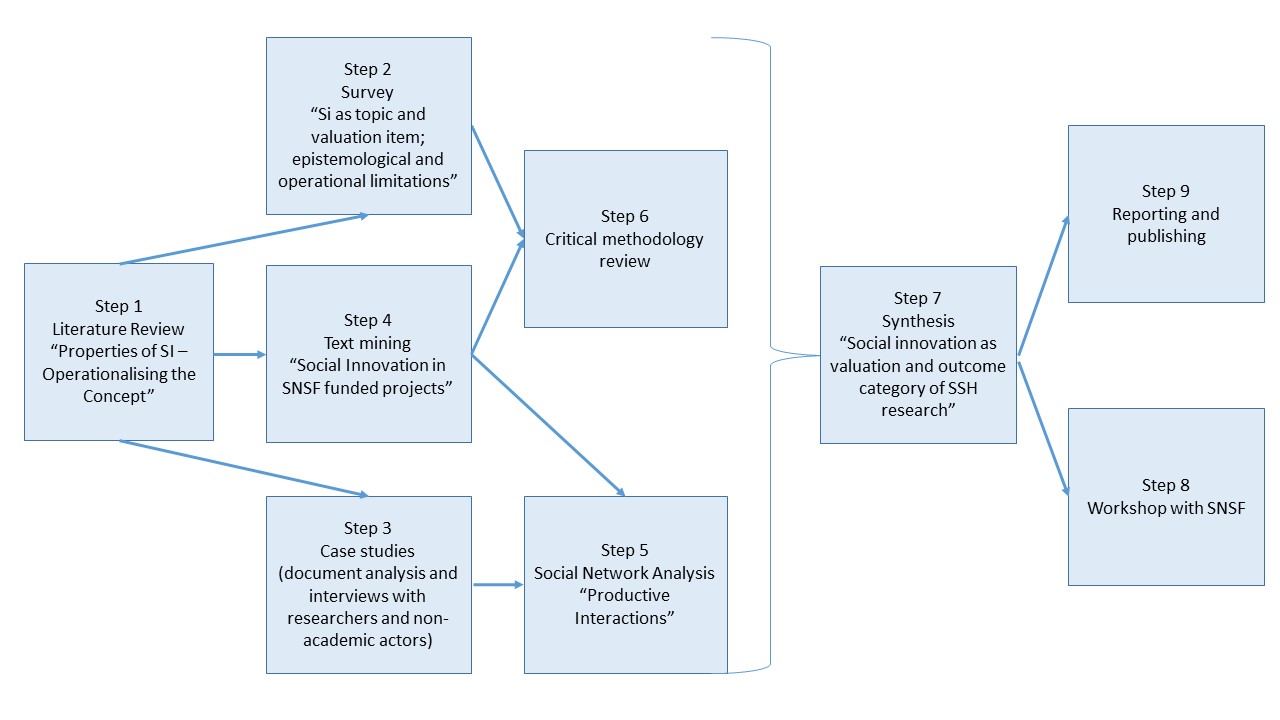
We describe our analytical approach in the chapter 3. In 3.1 we start with a rough overview on the applied methods to give a first indication of our research design. These methods will be further detailed in chapter 4. However, before we do that, we will operationalise the term “social innovation” in 3.2 and position it in SSH research processes in 3.3 in order to make it analytically applicable to our study.

1. ANALYTICAL APPROACH

3.1 Research Design

Figure 1 provides an overview of our suggested research design. It includes qualitative and quantitative approaches and combines standard methods of empirical social research with new approaches.

Figure 1: **Overview on the Research Design**



Our research design is divided into 9 steps:

Step 1: Conduct a literature review to distil the essential characteristics of social innovation and apply them in a distinctive way for further empirical research. This review does not start from scratch, but has already been started in preparation for this proposal, building on the comprehensive literature review by Howaldt et al (2014).

Step2: Conducting a short survey aimed at principal investigators of SSH projects funded by the SNSF between 2015 and 2017 on (i) the perception and importance of social innovation for their own research work, (ii) the epistemological and operational limits of social innovation in SNSF research projects and (iii) identification of support measure to tap and further exploit the added value of scholarly contributions to social innovation development This survey offers a first empirical approach to our research topic. Subsequently, it serves for triangulation and validation of the results, especially in comparison with the findings from text mining.

Step 3: Based on the survey (Step 2), in which we also ask for the willingness to get interviewed by our research team, we want to analyse in detail about 30 cases in which social innovation was a topic in SNSF-funded SSH projects. Firstly, we will use the final project reports (if they are provided by the SNSF). Secondly, we conduct a guideline-based interview with the project leader and thirdly, we also conduct an interview with a "client" or "practice partner" of social innovation to also get their view on the potential value of SSH research for the development of social innovation.

Step 4: At the same time we start experimental text-mining. This builds on the analytical distinguishing dimensions of social innovation gained in Step 1. Our operative text-mining goals are firstly, to distinguish different themes and diagnose the distribution of those themes in individual research projects, secondly, to analyse social innovation aspects as well as to label and categorise the projects accordingly, thirdly, to present the social innovation demography in the SSH projects by communicating and visualising the important aspects of productive interactions, achievements in the research process and results, and finally, by including metadata analysis to create a further research basis for the social network analysis.

Step 5: The Social Network Analysis (SNA) serves to find out which "customers" or "practice partners" the projects identified in the previous step, which deal with social innovations, are dealing with. We want to trace the so-called 'productive interactions' here. While on the level of text-mining based SNA we only work with aggregated categorisations of "clients" or "practice partners", we also do an SNA based on the 30 case studies. In the latter case, we identify the individual "clients" or "practice partners" and the degree of their involvement in the various phases of the respective research projects.

Step 6: In this step we triangulate the results from text mining with the results from the survey to find out how robust the results from text mining are. This is primarily a contribution to methodological development, but also serves to validate the results.

Step 7: In a synthetic summary of the findings, we would like to answer the question to what extent social innovation and, if so, under which framings, is (or is not) suitable for the valuation of social science and humanities research. Based on the empirical findings, we will prototype impact chains for this specific impact dimension. Furthermore, we aim to identify indicators which - in different phases of the research process - are suitable to make the contribution of SSH to social innovation comprehensible. However, we would like to point out that with this study we do not intend to develop an evaluation framework but a valuation framework.

Step 8: In this step we invite the SNSF to discuss the results with us.

Step 9: The results are summarised in a report. We also intend to publish the results in a scientific or scholarly journal.

A detailed description on the methodological procedures is provided in Chapter 4.

3.2 Analytical dimensions of social innovation

We aim to demonstrate the value of SSH research by focusing on social innovation contributions from funded SNSF research as an example of one of several potential “impact dimensions”. By placing the analytical value creation concept of social innovation in the centre of our study, we aim in particular to analyse corresponding processes and mechanisms of knowledge creation through SNSF funding. Such an approach could potentially add an alternative and innovative view on the value that SNSF adds through its funding. Potential effects of social innovation can appear in society, in culture, business, but also in interaction with the environment. Therefore, we take in our research design also the perceptions of the contributions of research to the development of social innovations from the perspective of non-academic partners into account.

The term “social innovation” is not new and not undisputed. It can be traced back to the early 19th century (Godin, 2012). References are made to eminent scholars such as Gabriel Tarde (Howaldt, Kopp and Schwarz, 2015), Karl Polanyi or Joseph Schumpeter (Moulaert et al., 2013; Howaldt and Schwarz, 2010), but until today there is no commonly shared understanding of social innovation. Likewise, there are only first attempts of integrating social innovation in a comprehensive innovation policy theorem (Howaldt et al., 2014).

Also the conditions under which social innovations develop, flourish and finally increase their social impact are still far from being crystal-clear (Howald, 2019). Lizuka (2013) argues that the scope of social innovation suffers from a number of conceptual overlaps. Pol and Ville (2009) mentioned that some analysts consider social innovation not more than a buzzword, which would be too vague to be usefully applied to academic scholarship. It needs to be mentioned, however, that Pol and Ville were opposing this dismissive attitude. They themselves provided several inspiring arguments for a meaningful and research-guiding epistemological concept of social innovation. Also Moulaert et al. (2013) argue that the term ‘social innovation’ is often over-simplistically used as a buzzword, but has analytical substance for researching social change in society.

When we speak about social innovation we explicitly refer to the definition that was developed in the SI-DRIVE project funded by the EC under FP7, defining social innovation *as a new combination or figuration* of practices in areas of social action, prompted by certain actors or constellations of actors with the goal of better coping with needs and problems than is possible by using existing practices. An innovation is therefore social to the extent that it varies social action and is socially accepted and diffused in society.*[[2]](#footnote-3)*

This definition has a few important properties that provide epistemological and analytical orientation, which we also use for the analytical purposes (e.g. text mining) of our proposed project. These properties are summarised in Table 2 and discussed further below in detail.

Table 1**: Analytical dimensions to identify social innovations**

|  |  |
| --- | --- |
| Analytical dimensions | 1. Social innovation results in a *changed social practice* (= object of a social innovation). |
| 1. A social innovation must be *new in a specific context or for a specific actor.* |
| 1. A social innovation is *developed to fulfil a social purpose* in that sense that it aims to better cope with needs and problems than is possible by using existing practices |
| 1. Social innovations are *intentionally solution-oriented* *and prompted by actors or a constellation of actors*. They do not just happen and they are not the same as social change, but they can contribute to it. |
| 1. A social innovation is more than an idea and must be *put into practice* (i.e. difference between idea, invention and innovation in analogy with techno-economic innovation) |

First of all, the definition aims at changing *social practices* and not per se of producing or using a new technology. In our understanding the expression *“new practices in areas of social action”* sounds presumably problematic for a definition that struggles for exhaustion, because *“social action”* refers probably to all sorts of human action and interactions (also with the environment and artefacts; see Degelsegger and Kesselring, 2012). On the other hand, it clearly indicates its belonging to social sciences and humanities.

Secondly, the definition does not include all social practices, but is limiting them to *new* social practices without, however, offering a measurement indication, how ‘new’ a novelty can be in order to be labelled a ‘social innovation’.[[3]](#footnote-4) But like in ‘classical’ innovation research, most innovations are only relatively new to a specific context or actor and not uniquely new; what is new in a certain context could be a ’normal’ practice in another. Absolutely new innovations might be more exciting than those diffused to new contexts (e.g. new to the firm or new to a specific part of a society), but it is the diffusion which contributes mostly to the changes in economy respectively society.

Thirdly, the definition postulates that social innovations have foremost a *'social purpose'* or in other words (Pol and Ville, 2009) should explicitly refer to some sort of human welfare enhancement. The term *“social purpose”,* especially in combination with the ‘*goal of better coping with needs and problems than is possible by using existing practices’*, might sound irritating or even daunting to many scientists, because of its normative stance. What a social purpose is and what is good or even better depends on many aspects, not at least of interests, power and ideology. As (social) scientists we are reflexively alerted when we are confronted with normative statements. Critical questioning is what sets us apart. In order to save the honour of the chosen definition, it must be said that - in contrast to some other definitions of social innovation, which postulate the ‘good’ (i.e. the just cause) almost as a teleological goal – the definition which we use does not prescribe a normative postulate. The way we read the definition, it only points to improved solutions or social practices, which of course can also have their downsides because interests can be very different. What fits nicely to one social group, might be seen as cutback or deterioration by another. Also rebound effects of social innovations can occur.

Another problem with the term *“social purpose”* is that also business innovations rightfully claim to meet a social need or – perhaps more likely - ‘a social want’[[4]](#footnote-5). The often used argument that the underlying intention (on the one hand an interest in profit generation and on the other hand an interest in satisfying a sometimes difficult to define social need that overall contributes to human welfare enhancement) as the decisive differentiating factor, falls too short in our opinion. This argument is also often used to differentiate social entrepreneurship from ‘normal’ entrepreneurship. It seems to us more decisive that some social innovations simply do not require any market logic and can life without business and that some businesses are too distant from the pretence of human welfare enhancement. In practice, however, there is numerous overlapping and intersection between the sets of social and business innovation (see also Pol and Ville, 2009), which we would consider an epistemological shortcoming, but probably an empirical fact.

Fourthly, social innovations focus on the provision of solutions to improve social practice. Judgments on the value of social scientific research for society vary even among social scientists (Reale et al., 2017). While social sciences and humanities scholarship is often committed to do research for the good of society, the interest of researchers is often not oriented towards producing usable results, let alone actual solutions, but rather to raise awareness and influence society to create capabilities of self-understanding in different contexts (Reale et al., 2017; Benneworth, 2015; Nussbaum, 2010).

The intentional *solution-orientation*, however, helps us to isolate the object of social innovation and to distinguish it from ‘normal’ social practice and social change. As outlined before, the provision of a solution to a certain problem needs to be new in a specific context, otherwise it would not be an innovation. We have to be aware that most innovations are small in the beginning. Many remain small and many are just incremental. Social innovation is not social change. Social innovations can contribute to social change, but social change does not necessarily need social innovation.

Our applied definition of social innovation also calls for *an agent or actor*, who kicks-off and promotes a social innovation and thus contributes to some sort of social change (be it limited or extensive). The presence of an agent helps us not to lump every social phenomenon together. Said definition of social innovation postulates clearly that a social innovation has to be *intentional* and prompted by certain actors or constellations of actors. Contrarily, we would talk about social change if the observed changes in society are not directly intentional or at least cannot be traced back to certain agents or if the agent's landscape becomes blurred and unclear, or when the phenomenon already became a dynamic of its own.

The problematic epistemological issue with the important reference to an *actor or a constellation of actors* is, that in theory this can be everybody. While the measurement of technological/economical innovation is usually confined to the sectors of science (Frascati Manual of the OECD) and business (Oslo Manual of the OECD), there is no restrictive indication, who potentially could be an actor for social innovation. This is due to the nature of social innovation, which can be prompted by NGOs, companies, social entrepreneurs, social groups, policy-makers or even researchers. That does not make the operationalisation and measurement of social innovation any easier. Moreover, the widespread focus in the social innovation discourse on heroic individuals and especially on social entrepreneurs[[5]](#footnote-6) might have meant that many scientists did not feel addressed by such a perspective, especially if they operate more in structuralist and institutionalist schools of thought.

Fifthly, a social innovation must be more than just a brilliant idea; at the very end it must be *put into practice*. Like any innovation, also a social innovation needs to be accepted.

Contrary to techno-economical innovations, which are diffused in businesses or parts of it, social innovations are diffused in society or parts of it. The scale of social acceptability and use may vary from case to case, but this applies to techno-economical innovations too. Some social innovations target only local groups of a few people, while others potentially address thousands.

To conclude, we would argue that the building blocks for a social innovation theorem are in place. There are still epistemological shortcomings and especially problems related to operationalisation and measurement, but in general, we would not see an insurmountable epistemological barrier that stands in the way of a fruitful academic debate between the social sciences and humanities and social innovation.

Since we understand in our case research as an upstream process that might lead to innovations or not, we are not approaching the contribution of research to social innovation from its end but from its scientific inputs, as shown in the next subchapter.

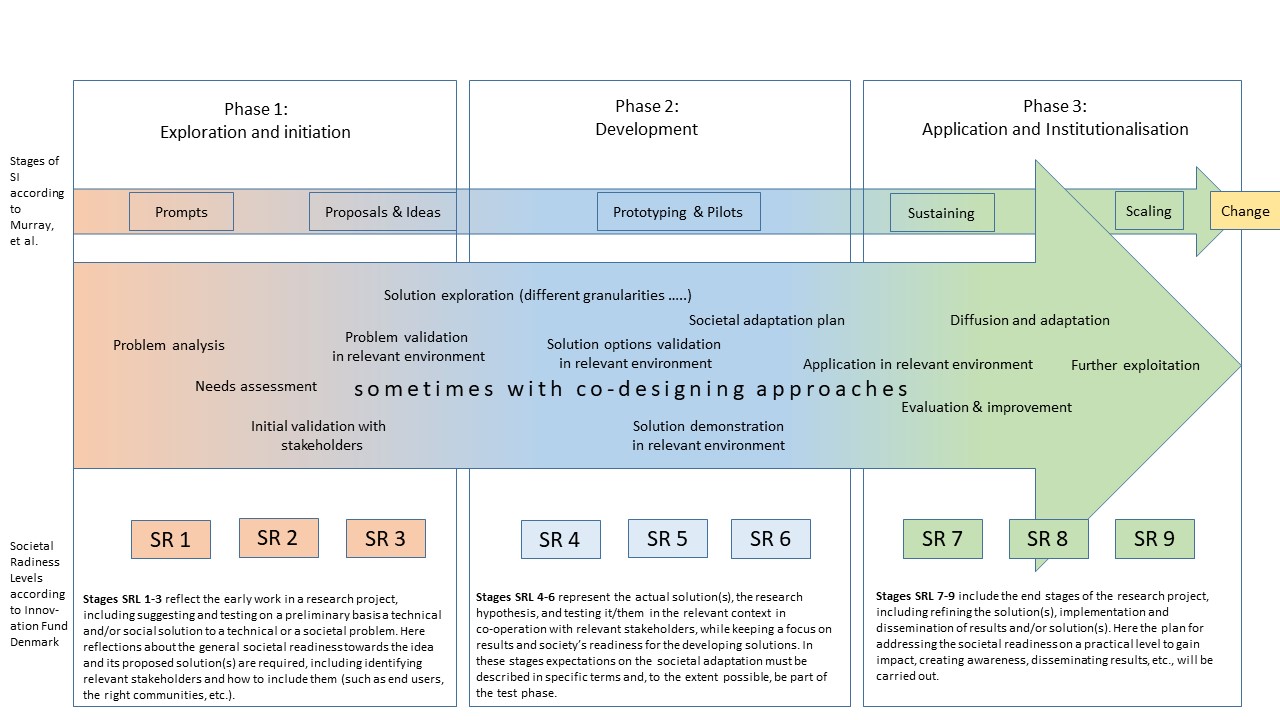
3.3 Locating social innovation approaches in research processes

Research contributions to any innovations, regardless of whether we speak about techno-economic innovations or social innovations, are usually at a preliminary stage. They are one input among others. In principle, the scholarly contribution to social innovations is no different from the scholarly contribution to techno-economical innovations. In both cases, they precede the actual applications, which are usually outside the domain of scientific research. Research funders often refer to TRLs (technology readiness levels) and increasingly to SRLs (societal readiness levels) to make clear that the contributions of research precede the actual innovation and are intertwined in many ways. Not every innovation is necessarily based on scientific input, but it is undisputed that our society and economy are increasingly permeated by technology and knowledge, and at least for some sectors, such as the pharmaceutical industry, scientific and technological progress is an indispensable driving force for innovation. Whether and to what extent this also applies to social innovation is the empirical subject of this study. In contrast to the large-scale empirical investigation conducted in the SI-Drive project, which, based on identified social innovations, traced back towards the contribution of research, we choose a supply-side approach. We investigate what research funded by the SNSF itself contributes or would like to contribute towards social innovation.

In order to operationalise this, we use the localisation of social innovation approaches in research processes, whereby so-called productive interactions with non-academic partners play a special role. Transdisciplinarity-based research attaches particular importance to the development of social innovations (Moulaert et al., 2013).

We use the 6-stages model of social innovation of Murray et al. (2010) and the societal readiness level (SRL) concept of the Danish Innovation Fund, to track down and identify social innovation research in research processes and phases. Here we distinguish three R&D phases and several operational R&D procedures, assuming that social innovation research funded by SNSF is mainly concentrated in the first two phases (see Figure 1).

Figure 2**: R&D phases and procedures for social innovation research**



In combination with the properties identified for social innovation (see Table 2), we will operationalise these phases and procedures into analytical categories to identify and trace the contribution and stage of SNSF funded research to social innovation.

We assume,

* Firstly, that research contributions to social innovation funded by SNSF in its capacity as a fundamental science fund will become primarily be visible in phases 1 and 2
* Secondly, the research procedures are not necessarily linear as the figure suggests
* Thirdly, not every single research process shown in the figure necessarily has to be applied - we rather expect various combinations and omissions of individual process steps
* Fourthly, not each project will certainly lead to a social innovation, just as very few scientific and technological projects lead directly to techno-economic innovation
* Fifthly, we will survey so-called productive interactions (Spaapen and Drooge, 2011) in relation to all identified process steps and place them in a functional relationship (e.g. needs assessment; co-development; testing; access to those affected; application; dissemination etc.)

The level of productive interactions between researchers and non-academic stakeholders respectively beneficiaries or partners is a key aspect of our study. Especially during the last years participatory approaches and support programmes that promote productive interactions with non-academic actors in research (Schäfer and Kieslinger 2016; Shirk et al. 2012; Howaldt and Schwarz, 2010), have strongly contributed to a more active role of researchers that goes beyond the transfer of expert knowledge into social practice. Participatory research approaches, often operationalised through co-design approaches, should rather lead to mutual learning and skill development of all involved actors to enhance their ability to determine and reflect (Howaldt, 2019). But Howaldt (2019, p. 45) also argues that *“there is a large gap between the traditional understanding of social research and science and the new mode of generating socially robust knowledge …”*

Shirk et al. (2012) differentiate five ways of participation of non-academic actors in research:

1. contractual projects (professional researchers are commissioned by non-academic actors)
2. contributory projects (non-academic actors collect data for scientific projects)
3. collaborative projects (non-academic actors not only collect data, but also help refine the study design, analyze data and / or disseminate results)
4. co-created projects (which are designed jointly by researchers and non-academic actors and for which at least some of them are actively involved in aspects of the research process), and finally
5. collegial contributions (where non-academic actors carry out independent research and share their results with researchers).

For operational purposes, we will use the following terms that distinguish different levels of “science-society interactions”:

1. *Participation*: Non-academic actors take part in research.E.g., being recruited in trials, completing questionnaires, participation in interviews and focus groups.
2. *Engagement***:** Information and knowledge about research is provided and disseminated. E.g., dissemination of research to non-academic actors (via media, social media), raising awareness of research through media, science festivals and open days at universities and research centres.
3. *Involvement***:** Non-academic actors are actively involved in research.E.g., through identifying research opportunities, agenda setting, members of project advisory and steering groups, co-developing information or materials, undertaking interviews with other non-academic target groups, or even carrying out research.

By means of surveys and social network analysis we will identify and classify the 'productive interactions' in question in order to find out what function they have in SSH research and what contribution they might make to the development of social innovations, if any. On the other hand, we want include them in our attempt to develop a valuation framework for SSH research.

1. METHODOLOGY

4.1 Overview on the Multi-Method Approach

Our research design, depicted in Fig. 1, aims at mobilising an integrated process where each applied method is linked to processes or results of preceding steps. Some activities are also planned to be carried out in parallel, as especially the text mining is a thorough process that spans over several months to gain a satisfactory level of quality and accuracy. The structure of the overall multi-method approach suggested by us is as follows. Figure 3 schematises the use of the method.

Figure 3: **Applications of methods**

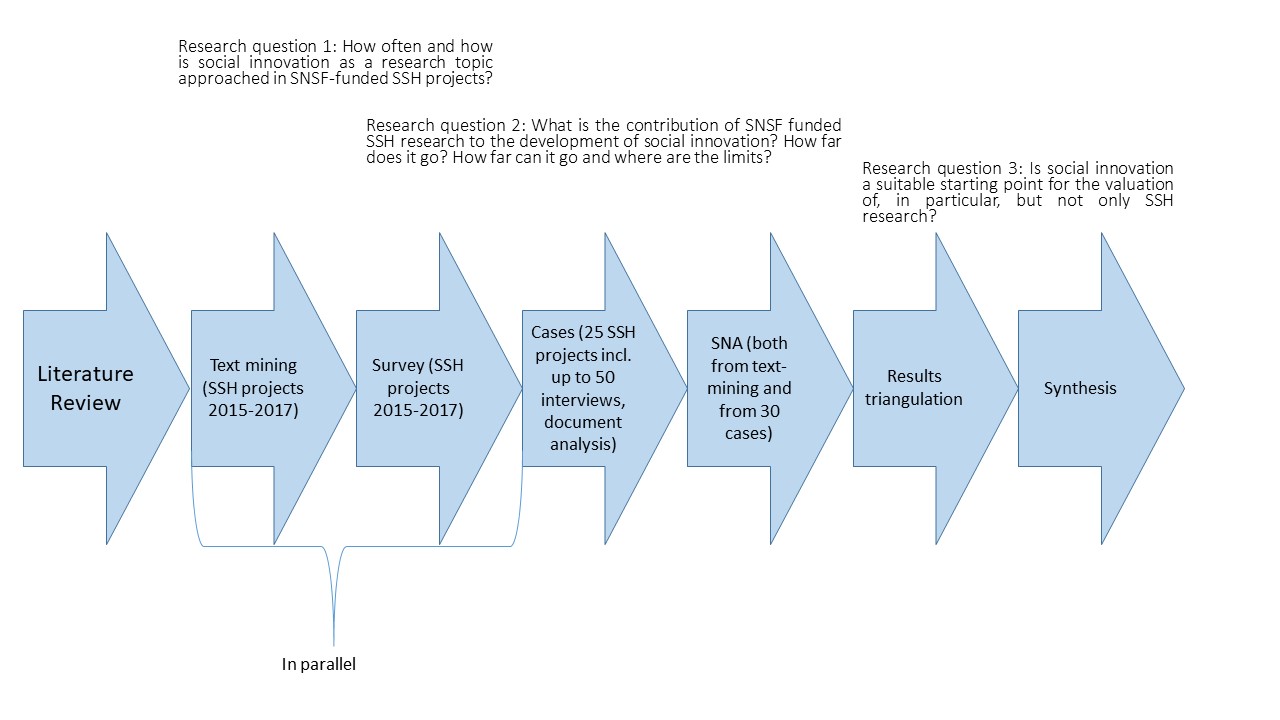


Table 1 below provides a short summative outline of the methods we would like to apply before describing our approach in detail.

Table 2**: Overview on the applied methods**

|  |  |  |  |
| --- | --- | --- | --- |
| **Methods** | **Activity** | **Source** | **Expected results** |
| **Literature review** | Focus on most recent literature dealing with the measurement of social innovation and the application of SRLs in evaluative approaches. | Journal articles (Research Policy, Int. Journal of Social Entrepreneurship and Innovation, Social Innovations Journal etc.), books, but also evaluation studies and grey literature | Development of a robust classification of social innovation and its location in research processes by means of an applicable SRL taxonomy. This systematization serves as a basis for text mining and the following work steps. |
| **Text mining** | Analysis of final reports of finished SNSF projects in the field of SSH with an LDA model approach and identifying those, which are explicitly or implicitly dealing with social innovation research and/or development of social innovation. | All finished SNSF projects in SSH funded between 2015-2017 (details to be discussed with SNF) and final reports of these projects (we suggest to use those who have ticked the "use-inspired research" checkbox – tbd. with SNSF). | Discovery of meaning structures from unstructured text data to enable us to quickly recognise (formerly unknown) core information in the processed texts and helps us to generate but also test hypotheses (e.g. social innovation addresses mostly impacts beyond academia).  Identification of SSH projects and their properties that explicitly or implicitly deal with social innovation. |
| **Survey** | Short survey on (i) the perception and importance of social innovation for own research work, (ii) its epistemological and operational limits in SNSF research projects, (iii) the existence of what kind of productive interactions in the projects and (iv) identification of support measure to raise the added value of scholarly contributions to social innovation development | All funded SNSF projects in the field of social innovation (2015-2017) (exact categorisation tbd. with SNSF) | Better understanding of how social innovation   * is perceived or used as research topic and/or approach; * is assessed or already used for valuation of own research for accountability purposes; * reaches its epistemological and/or operational limits in SNSF projects * uses which sorts of productive interactions * and what would be necessary to further tap the potential of scholarly contributions to social innovation development |
| **Interviews / qualitative cases** | Online interviews with principal investigators from 25 SNSF projects dealing explicitly with social innovation as well as with their practice partners respectively clients (if available).  For the preparation of interviews, the project proposals and final reports will be analysed to gain a robust understanding of the case. | Sample (n= 25) of all funded SNSF projects with explicit social innovation relation identified through the survey (sated consent to the interview was given); Interviews (n= 50 max.) with 25 principal investigators and up to 25 interviews with their practice partners (if consent is provided) | Gaining detailed knowledge about   * scope of social innovation research * contribution of research to the development of social innovation and analysis of pathways * identification of milestones and critical incidents in the research process with regard to the development of social innovations and the contribution of productive interactions for them * limits of contribution (in operational and epistemological terms) * use of social innovation as an outcome and valuation category for accountability purposes |
| **Social Network Analysis** | Investigation of the productive interactions between the research teams and non-academic stakeholders/ beneficiaries with a focus on practice partners and/or “clients” | There are three sources of the SNA:   1. All identified social innovation projects by text mining. Network relations will be based on categories. 2. All respondents from the Survey. Network relations will be based on categories. 3. Analysis of 25 cases through interviews and document analysis. Network relations will be based on categories and individual organisations. | A categorisation of productive interactions of the SNSF funded projects dealing with social innovation along a number of stakeholder categories |
| **Critical methodology review** | Comparison of the results from the survey with the results from text mining to critically question whether the two methods have led to similar findings (based on various control parameters) | Sources:   * Survey findings * Text mining results | Assessment whether the applied text-mining model produces comparable results to the survey and has the potential to be rolled out for larger data sources. (Of course, manual checks are already performed within the text-mining analysis to determine the quality and improvement of the model). |
| **Triangulation and synthesis** | Interpretative synthesising of the obtained findings from the multiple methods in internal workshops together with the involved team members under the supervision of the Team Leader. | All findings obtained from the different methods. | Identification of strengths, weaknesses and contradictions through a comparative overview of the results obtained from the multi-method approach. The validated results are used to establish a concept framework for assessing the value of funded SSH research by the SNSF in terms of its contribution to the development of social innovations. |
| **Presentation of findings** | Presentation of the findings to SNSF | Experts invited by SNSF | Transfer and discussion of the gained insights. |
| **Workshop** | Workshop with SNSF to discuss and structure the value of social innovation as potential valuation and outcome category, in particular for SSH | Management of SNSF and experts invited by SNSF | Assessment whether or not (and if so with which particular features) contributions of SNSF research to social innovations can be meaningfully classified and structured for the purpose of valuation of research (in particular of SSH) |

Each methodological step is presented in detail below.

4.2 Literature Review

We already have a good overview of the literature, which was also used for this proposal, so we would like to focus on two aspects in particular: first, current literature on measuring social innovation, and second, current literature on the operationalization of the SRL for analytical and evaluative purposes. In addition to published literature in journals, we will also use current book contributions and grey literature (e.g. evaluation reports).

The purpose of the literature review is to further ground our understanding on the research topic and to feed-in the gained knowledge in the development of a robust classification of social innovation and its location in research processes by means of an applicable SRL taxonomy. This systematization serves as a basis for text mining and the following work steps.

4.3 Text Mining

Rapidly increasing wolume of digitized text made text mining approach a valuable methodological step for innnovation research (Antons et al., 2020; Gök et al., 2019; see also Ramage et al., 2009). The objective of our text mining approach is to identify and categorise social innovation related projects in SSH and adjacent disciplines that are involved in transdisciplinary research led by scholars from the field of social sciences and humanities. These will be determined – and aligned with the client’s interest - in the early stages of this overall methodological step (see below). For this research we need an effective and reliable methodological approach to analyse a large text corpus. In fact, however, we start with a limited corpus, because we want to train and validate the methodology first, before we suggest a roll-out or not, depending on the robustness of the approach. A roll-out to further data, however, is not within the scope of our project. Thus, we consider this research step rather as a development of a methodological prototype.

The selected text mining methods address this issue with a semi-supervised analytical process. Initially conceptualised parameters will be finalised after a discussion with the SNSF.

The operationalisation of the concept of social innovation sets the frame for the text mining. Our operative text-mining goals are

* firstly, to distinguish different themes and diagnose the distribution of those themes in individual research projects,
* secondly, to analyse social innovation aspects as well as to label and categorise the projects accordingly,
* thirdly, to present the social innovation demography in the SSH projects by communicating and visualising the important aspects of productive interactions, achievements in the research process and results, and
* finally, also with the inclusion of the metadata analysis to create a further research basis for social network analysis as well as surveys and interviews.

In this regard, our preliminary consideration is to include approximately a few hundred project reports in the corpus of the text analysis process.

Identification and categorisation of the distinct topics follows a topic modelling process with the following steps:

* The collection of the project final reports will be classified by their SSH areas (we only refer to those projects which ticked the use-inspired checkbox). The motivation behind this categorisation is, firstly, to identify different social innovation aspects in different areas and, secondly, to be able to map similar social innovation patterns between different SSH areas. After that, the text corpora will be prepared[[6]](#footnote-7) for the further application of Natural Language Processing (NLP) methods and the possible number of distinct topics in each corpus will be approximated by the coherence tests.
* The comprehensive *Latent Dirichlet Allocation* (LDA) topic modelling approach (see Blei et al., 2001) shows a high alignment with the text mining goals mentioned above. LDA is a generative probabilistic model that has been quickly popularised among the machine learning approaches in NLP with its success in modelling abstract topics in large text corpora which also gave it recognition in HSS areas (see Roberts et al., 2016 and Lindstedt, 2019) LDA’s statistical model allows us, firstly, to identify the distinct (and also discrete) topics in each text corpus and secondly also observe the distribution of those topics in each document. We will be training our LDA model perpetually with sampling processes and labelling in a feedback loop to reach a high accuracy in results.
* Labelling and categorisation of the results from the topic model will be done manually in each step by an in-house expert group of the Centre of Social Innovation. The criteria for the labelling and categorisation process are, firstly, the core properties of social innovation (see Section 3.2; see also Perotte, 2011 and Li, 2011 for different manual labelling approaches in topic modelling), secondly, possible indicators for the further granulation of the given scientific areas in the text corpora and, thirdly, the different positions of social innovation research within the research projects (see Section 3.3).

The topic modelling approach is expected to deliver a comprehensive presentation of social innovation characteristics and its locations within research processes in SNSF funded projects.

The mentioned parameters are just preliminary decisions and/ or approximations; they are meant to be decided jointly with SNSF to finalise the research design. We would appreciate to work together with the SNSF in-house text-mining experts in this exercise, if possible, because we also believe that our experimental pilot approach, if successful, could be applied after the project to a much larger data source.

Text mining methods will be primarily depending on the project reports. However, metadata about the actors, publication information, and information about transactions are also central to the comprehensiveness of the project. Therefore, SNSF’s input on the metadata plays an important role in the planning of the project.

As mentioned throughout the proposal, research areas are generally limited to SSH projects (ticked as use-inspired) as well as inter- and multidisciplinary approaches included in projects led by SSH researchers. As a first estimation for text mining, the analysis of a few hundred project reports has also been mentioned as a rough estimation. Those limitations as well as further possible limitations are left open for the joint decision with SNSF.

*Data Security*

The data provided from SNSF will be encrypted and securely stored at ZSI servers without any access from outside or other individuals uninitiated with the project.

*Further considerations*

We also find the gender aspect in the research related to social innovation important. Depending on the metadata provided by SNSF, we would like to analyse gender participation in social innovation and changes in the social innovation research demography over the years too. However, if the provided metadata, the scope of the project, or jointly decided limitations make it impossible, we at least would like to prepare a *stepping stone* for possible future research on the topic.

4.4 Survey

To better understanding of how social innovation

* is perceived or used as research topic and/or approach;
* reaches its epistemological and/or operational limits in SNSF projects
* is developed by using which sorts of productive interactions
* is assessed or already used for valuation of own research for accountability purposes;
* and to identify, what further support measures would be necessary to further tap the potential of scholarly contributions to social innovation development

we are launching a short survey to all funded and concluded SSH projects between 2015 and 2017.

**Excursus: Example of a battery of questions**

To outline an example, the following is a battery of questions relating to the perception of social innovation at the organizational level (highly aggregated), the treatment of social innovation in teaching and research at the organizational level (low aggregated), as well as the limits of social innovation research and possible ways to support academic contributions to the development of social innovation. These sample questions will of course need to be revised and supplemented by questionnaire batteries that relate to the other questions mentioned above that we want to use in the survey.

1. *How would you assess the current significance of social innovation in the self-image or self-representation of your university/research organisation (overall level) as a whole?*

*Suggested answer categories:*

* *Social innovation is an important topic.*
* *Social innovation is a niche topic.*
* *Social innovation as a topic has almost no significance overall.*
* *I don't know*

1. *Is social innovation a topic your institute deals with in its research?*

*Suggested answer categories:*

* *Yes, often*
* *Selectively, but then already mostly as a central theme*
* *Selectively, but then predominantly only as a marginal topic*
* *As good as never*
* *I don't know*

1. *Is social innovation a topic your institute deals with in teaching?*

*Suggested answer categories same as above.*

1. *Has your institute cooperated with practice partners in the development of social innovations in the last 12 months?*

*Suggested answer categories: yes, no, do not know*

1. *Are there concrete support measures on the part of your university or faculty that help you collaborate with practice partners to develop social innovations?*

*Suggested answer categories: yes, no, do not know*

If the answer is "yes" to the latter question, the following further questions could unfold:

*1) There is a cooperation platform where practice partners can regularly report their needs for support of social innovations.*

*2) There is a small university or faculty fund through which we can finance our participation in the development of social innovations.*

*3) We are allowed to work with students in our courses on the development of social innovations with practice partners.*

*4) We can participate in the development of social innovations through research projects financed by the university.*

*5) The university or faculty management encourages us to work with practice partners on the development of social innovations.*

*6) Inquiries from practice partners regarding the development of social innovations are actively approached by the university or faculty management.*

*7) Our work on the development of social innovations with practice partners is positively supported by the university in the context of career promotion and performance assessment.*

*8) Our work on the development of social innovations with practice partners is used by the university/faculty for PR purposes.*

*9) Social innovation development projects with practice partners are taken into account in our performance reporting.*

*10) Other - please specify:*

*Suggested answer categories: yes, no, do not know*

We could also work in addition with Likert questions, such as:

*The concept of social innovation is epistemologically unhelpful for gaining new insights, which is why it has no special status in the academic world.*

*Suggested answer categories:*

* *Agree very much*
* *Majority of votes in favor*
* *Largely disagree*
* *Do not agree at all*
* *No opinion*

As mentioned above, This example of potential questions is not exhaustive and definitely not the major part of the questionnaire, which will focus on the perception and importance of social innovation for own research work (and not only at the organisational level as the questions above refer to), and its epistemological and operational limits in SNSF research project incl. the significance of the so called productive interactions.

After ZSI has developed the questionnaire, it will be made accessible to SNSF for review.

To ensure comprehensibility, consistency and a logic structure of the online survey, *a cognitive pre-test* (Prüfer and Rexroth, 2005) will be performed with five people from the target population of the survey and the survey will subsequently be adapted according to the findings of these cognitive pre-tests.

The finalised survey will be set-up online with the survey tool LimeSurvey. Based on the database of the SNSF, a personalised link to the online survey will be sent out to the PIs of all completed SSH projects. This personalised link (token) allows tracking who responded while ensuring the anonymity of the answers given by the respondents. To ensure a high response rate, at least **two reminders** will be sent out to those who have not answered yet. The data collected on LimeSurvey will be saved on the servers of ZSI ensuring data protection in line with the **GDPR** (personal data and collected data are saved separately).

The data analysis will be done through **descriptive and inferential statistics**. The first is used to describe the groups with regards to their characteristics and perceptions while inferential data analysis will show whether there are significant differences between the experimental and the comparison groups and in how far these differences can be accounted to the implementation of a PEEK project. Tables and graphs will illustrate the main findings.

4.5 Case Studies and Interviews

Our qualitative case study approach is based on two methods:

1. Online interviews with principal investigators from 25 SNSF projects dealing explicitly with social innovation as well as with their practice partners respectively clients (if available).
2. For the preparation of interviews, the project proposals and final reports will be analysed to gain a robust understanding of the case.

The 25 cases are selected from a population of projects whose project managers have given us the prospect of an interview in the course of the online survey (see above). Whether the selection is random or categorical is still to be determined after the cases have been viewed and in agreement with the SNSF.

We use the document analysis (final reports and project proposals) to prepare for the interviews, but also to analyze the research contributions to the development of social innovations mentioned therein, the importance of productive interactions for them, the epistemological and operational boundaries, and any points that point to the assessment of the value of social innovation as a research contribution.

The online interviews (either by telephone, skype, gotomeeting, webex or zoom) will be conducted in English, or German or French, depending on the preference of the interviewees. Informed consents are obtained from all interview partners in advance.

With this qualitative approach, we would like to explore the object of investigation in detail. Our focus is on:

* scope of social innovation research
* contribution of research to the development of social innovation and analysis of pathways
* identification of milestones and critical incidents in the research process with regard to the development of social innovations and the contribution of productive interactions for them
* limits of contribution (in operational and epistemological terms)
* use of social innovation as an outcome and valuation category for accountability purposes

In order to gain a comprehensive picture, however, we will not only question the project managers qualitatively on the basis of a pre-tested interview questionnaire, but also - as far as available and as far as consent is given - the practice partners or "customers" in the selected projects.

The protocol after the end of each interview will also record what interviewers find remarkable about the interview. These memos or minutes usually contain important information for interpreting the conversation. For the thematic analysis of the records, coding processes will be used. In addition, selected text passages that appear to be particularly important for answering the questions are analyzed.

4.7 Social Network Analysis

The goal of the SNA in this project is to contribute to the analysis and categorisation of both the productive interactions of SNSF-funded projects that deal with social innovation, either implicitly or explicitly, and the involved stakeholders.

The SNA offers a more elegant way to analyse and visualise the data in question than descriptive statistics do. As a method applied in a wide range of scientific fields, SNA has been around for roughly 25 years (cf. Wassermann & Faust 1994). Most recently, SNA has been complemented with semantic network analysis (cf. Hellstein, Opthof, and Leydesdorff 2020). While the former is mainly being used to measure the relations among entities (*actors* in a network), the focus of the latter is on analysing the content of the communications. Combining these two approaches is expected to yield insights on two fronts: who is involved in research on social innovation or leading to such research - and how these actors are connected to other actors – and how “much” social innovation has been communicated. As such, our research will investigate the productive interactions between the research team and non-academic stakeholders/beneficiaries.

We will use three different sources for the SNA:

1. All identified social innovation projects by text mining. Network relations will be based on categories.
2. All respondents from the Survey. Network relations will be based on categories.
3. Analysis of 25 cases through interviews and document analysis. Network relations will be based on categories and individual organisations.

4.8 Critical Methodology Review

In this step we want to assess whether the applied text-mining model produces comparable results to the survey and has the potential to be rolled out for larger data sources. By comparing the results from the survey with the results from text mining we first critically question whether the two methods have led to similar findings (based on various control parameters). This comparison is only done for those cases which respondent to the survey and which were identified and treated during the text mining approach.

This step serves to assess the quality of text mining and thus to further develop the methodology. If the results obtained are satisfactory, the text-mining model could be used to analyze larger SNSF data sets. In this sense our work is a pilot. It represents a methodological prototype development, which can be used as a basis for further analyses after the project by the SNSF.

As already noted in Section 4.3, we will of course also implement manual checks within the text-mining analysis to determine and improve the quality of the model.

4.9 Triangulation and Synthesis

In triangulation, different methods or perspectives are applied to the same phenomenon or different types of data are used to research a phenomenon in order to compensate for the weaknesses of the other with the strengths of one approach. Both approaches are combined in our proposed evaluation design. By triangulating the results of the diverse methods applied in course of our research design we aim to achieve a higher validity of the research results, to reduce systematic errors and to get a richer picture of the empirical reality.

The results from all steps are triangulated in the form of an interpretive synthesis of the obtained findings from the multiple methods in internal workshops together with the involved team members under the supervision of the Team Leader. The broad methodological expertise of our team is well suited for such a complex analytical procedure.

The aim is twofold: firstly, we aim to identify the strengths, weaknesses and contradictions of our findings through a comparative overview of the results obtained from the multi-method approach. Secondly, the validated results are used to establish a concept for assessing the value of funded SSH research by the SNSF in terms of its contribution to the development of social innovations.

This concept is the actual result of the research proposed here. It is not merely a theoretical concept, but an empirically tested concept, albeit with an open outcome. Ideally, it serves as a tool to determine the value of publicly funded research for the development of social innovations, or at least to provide clear starting points on how and where such an added value can or cannot be identified.

It should be noted again, that our project proposal centres primarily on the identification of the value of SSH research for a specific impact dimension (i.e. contribution to social innovations) and not directly on its impact. In the few cases when we talk about effects of research, we prefer to use the term “outcome”, which characterises the intended and usually shorter-term effect of an intervention (e.g. a project or a programme) on its often diverse target groups. Contrary to the term “outcome”, the term “impact” refers to the intended and non-intended usually long-term positive or negative effects to the target group(s) and beyond. Attributions from research to impacts are fuzzy and difficult to trace and value (if at all). Although our approach is experimental, but basically serves to develop a practical application to identify the value of social science and humanities research for social innovation, our research approach does not examine the impact of the scrutinised social innovations.

4.10 Presentation of findings and Workshop with SNSF

Depending on the readiness of SNSF we propose to

1. present the findings of our study to SNSF managers and/or to
2. organise a workshop with SNSF to discuss and further structure the value of social innovation as a potential valuation and outcome category of use-inspired SSH research funded by SNSF.

While the presentation serves the transfer and discussion of the gained insights with the SNSF management, the workshop serves to assess together with SNSF experts whether or not (and if so with which particular features and under which limitations) contributions of SNSF funded SSH research to social innovations can be meaningfully classified and structured for the purpose of valuation of SSH research.

1. OUTPUTS

We suggest three outputs:

1. Final project report including an executive summary; information about research questions, methodology and data constraints; chapter on results and on conclusions (approx. 20 pages without annexes)
2. A concept for assessing the value of funded SSH research by the SNSF in terms of its contribution to the development of social innovations (5 to 10 pages; serves also as input for the proposed workshop with SNSF)
3. An article submitted to a scientific journal on the research questions, the underlying theory and the empirical results. Due to time constraints, this article submission cannot be done during the project’s duration. It is therefore not considered part of the contract.
4. TIMELINE

We are prepared for a timely start of the project in February 2021. As stipulated by the ToR a presentation of the final results is foreseen in December 2021. The project ends with a delivery of the final report in January 2022. The following figure provides an overview about workflow and timeline.

Figure 4: **Timeline**



1. BUDGET

We calculate for the proposed work a lump sum budget of 99,400.00 CHF (around €92,000). The calculation is based on an average daily rate of CHF 700.

The distribution of the budget along the work flow is approximately as follows:

Literature Review: 5 days 3,500

Survey 15 days 10,500

Case Study 30 days 21,000

Text Mining 46 days 32,200

SNA 12 days 8,400

Critical Methodology Review 5 days 3,500

Triangulation and Synthesis 10 days 7,000

Workshop and Presentation 4 days 2,800

Reporting 10 days 7,000

Project Management 5 days 3,500

1. TEAM

ZSI (Centre for Social Innovation) is a private non-profit innovation research organisation with officially recognised common public interest. As applied social scientific institute, it contributes to mitigating social challenges by providing scientific evidence for decision-making and by developing and piloting concepts for implementation of interventions in different policy areas and societal fields. The institute has strong competences in evaluation, participatory research and outreach to society.

ZSI was and is Austria’s most successful social scientific research institute in the European Union’s Framework Programme for Research and Development since FP5 until HORIZON 2020. The main funders and clients are several Austrian ministries, municipalities, EC, OECD, ILO, World Bank, other public bodies and NGOs.

ZSI’s key activities are clustered in three dedicated units:

1. Research Policy and Societal Development (incl. transformative research; techno-globalisation; R&D internationalisation; Science Diplomacy; STS; evaluation and foresight),
2. Work and Equal Opportunities (incl. migration and integration research; ageing; innovative labour market policies and inclusion, social entrepreneurship),
3. Technology and Knowledge (incl. participatory technology assessment; citizen science; science-society dialogue; bio-based socio-economic solutions).

ZSI has a strong record in supporting, analysing and evaluating research and innovation policies. It hosts the “Austrian Platform for Research and Technology Policy Evaluation” (www.fteval.at), whose members are firstly all ministries dealing with RTI in Austria, the major RTI funding agencies and a couple of evaluation providers.

ZSI has a long record of successful evaluations including project evaluations, programme evaluations, policy portfolio evaluations and institutional evaluations.

A main task and concern of ZSI is

* To analyse and explore change (potentials) within contemporary socio-ecological framework conditions (system design)
* Research and identify fair alternatives to foster sustainable development embedded within our planetary boundaries (social and socio-technic innovations; overcoming ‘imperial lifestyles’)
* Participatory development of technologies and innovations
* Evaluating interventions and their social outcomes.

The team proposed by ZSI is experienced in conducting robust and use-oriented studies for research funding agencies and R&I policy makers, is sound in applying the proposed multi-method approach and has comprehensive and detailed knowledge about social innovation and the impact discourse around SSH.

We declare no potential conflicts of interest!

The team consists of

**Mag. Dr. Klaus Schuch** is expert on techno-globalisation, R&I policies, and evaluation. Klaus is director and senior scientist at ZSI (Centre for Social Innovation), Austria.

Since May 2012, Klaus is also managing director of the Austrian Platform for Research and Technology Policy Evaluation.

Klaus is and was engaged in a large number of national and international projects. From 2009 to 2012 he analysed the Austrian R&I policy and its implementation under ERAWATCH and since 2015 he is national correspondent for the EC’s R&I Observatory. In 2007 he was scientific expert of the CREST Working Group on internationalisation in S&T and in 2012 member of the external expert group of the European Commission to advice on the European R&I-internationalisation strategy. In 2016/2017 he was delegated to the ERAC Working Group on Impact Measurement. He is also Austrian delegate to the European RTD Evaluation Network and was member of the COST Scientific Committee (2016-2019).

Klaus was chief organiser of two pertinent conferences organised under the Austrian EU Council residency in the second semester of 2018:

* *Impact of Social Sciences and Humanities for a European Research Agenda – Valuation of SSH in mission-oriented research.* Austrian Presidency of the Council of the European Union Conference. Vienna, 28-29 November 2018. More than 300 participants.
* Impact of Research and Innovation Policy at the Crossroads of Policy Design, Implementation and Evaluation. Austrian Presidency of the Council of the European Union Conference. Vienna, 5+8 November 2018. Largest international conference on RTI policy evaluation in Europe with around 300 participants

2006-2014 Klaus lectured ‘monitoring and evaluation’ and – as of 2014 – ‘techno-globalisation’ at the Department of Development Studies at the University of Vienna. He also taught at the Vienna University of Economics and Business, the Danube University Krems, the University of Applied Sciences Vienna and at the University Linz (topics: evaluation; regional technology policy; methods of empirical social research). He is lecturer in several international summer schools and taught evaluation in the post-graduate SOQUA-course addressing young social scientists.

**Dr. Mag.a Stefanie Konzett-Smoliner** studied sociology at the University of Vienna (Austria) and the University of Ottawa (Canada) from 2005-2010. From 2012-2015 she conducted her doctoral studies at the University of Klagenfurt (Austria). Since 2009 she is researcher in the field “work and equal opportunities” at the Centre for Social Innovation (ZSI), Vienna, Austria. Research foci include migration and integration, education and labour market research as well as multivariate data analysis. Stefanie Konzett-Smoliner is project leader in various international and national research projects in the field of education and labour market research with specific foci on matters of diversity and inclusion.

Since 2013, Stefanie is also lecturer on statistics and quantitative methods at the University of Applied Sciences for Management and Communication, Institute for Human Resources and Organisation. She also lectured statistics and quantitative empirical social science methods at several summer and winter schools.

She also received training at the Essex Summer School in Social Science Data Analysis, Main course: Selection and Strategic Models and Multilevel Models with Applications, as well as in Mannheim, Germany, GESIS training: Agent Based Modelling and Logistic Regression Models and at the ECPR Summer School in Methods and Techniques with the main course on Social Networking Analysis (SNA).

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DI Dietmar Lampert is expert on

Laure-Anne Plumhans, BA, is junior researcher at ZSI. She has a background in Political Sciences and European Affairs, and has a MSc in Socio-Ecological Economics and Policy from the Vienna University of Economics and Business. After graduating from her bachelor in European Studies, Laure-Anne acquired professional experience in European Affairs through traineeships at both the European Parliament and an advocacy group. This experience enabled her to connect her research interests to the reality of policy-making. Since she joined ZSI, Laure-Anne has been working on science diplomacy and international science cooperation projects, and thus has a good understanding of the research landscape in the EU. Special interest goes out to the way science can help addressing societal challenges by producing societally meaningful research. She has focused her personal research on sustainable development and its intersection with social inequalities. Throughout her academic and professional experiences, Laure-Anne developed valuable qualitative research skills. Moreover, she has carried out interviews and survey projects for the International Service Facility of the European Commission.

Utku B. Demir is a master's student in political science who is also continuing a bachelor's degree in mathematics at the University of Vienna. He is academically focusing on the critical theories of digitalization with the reflection on algorithmic governmentality, surveillance, profiling/ anticipation. His interest areas are political theories, quantitative research methods, statistics & probability theory, and mathematical modelling. Utku is a part of the research policy & development team at ZSI since mid 2020 and is mainly engaged in bibliometrical studies, quantitative analysis, data visualization, NLP/ topic modelling methods and web development.

1. LITERATURE

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1. REFERENCE PROJECTS

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|  | **Project title** | | **Evaluation of FWF’s Programme for Arts based Research (PEEK)** | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation GmbH (ZSI)** | **AT** | **€57.700,00** | **80%** | **4** | **FWF (Austrian Science Fund)** | **FWF (Austrian Science Fund)** | **05/2020-01/2023** | **Prof. Felix Stalder (Digital Culture and Network Theory of the Zurich University of the Arts)** |
| **Detailed description of project** | | | | | | **Type of services provided** | | |
| ZSI responsible for the evaluation of FWF’s programme for Arts-based Research (PEEK)  The objectives of PEEK (see ToRs) are to   * support high quality and innovative arts-based research in which artistic practice is integral to inquiry, * increase research capacity, quality and international standing of arts-based researchers working in Austria * increase both public awareness and awareness within the academic and the arts communities of arts-based research and its potential applications.   PEEK started in 2009 and applied a consequent bottom-up principle from its inception.  The purpose of this evaluation is   * to critically review FWF’s PEEK funding programme in order to identify its strengths and weaknesses and to quantify and qualify the produced output, the generated outcome and the induced impact; * to provide recommendations based on the identified evaluation results and conclusions to the FWF and its supervisory bodies on if and how PEEK should be continued, improved or restructured; * to provide evidence-based and insightful recommendations for the further development of FWF’s general funding strategy for arts-based research for 2022 and beyond. | | | | | | To provide answers to the questions, our evaluation design includes:   * Artefact analysis and narrative interviews * Survey and career analysis * Content analysis of funded projects * Document analysis and funding statistics * Online Survey * International comparison * Focus groups and expert interviews * Triangulation and validation | | |
| Find more information on the project at [www.zsi.at](https://www.zsi.at/de/object/project/5335) [(https://www.zsi.at/de/object/project/5600](../../../../C:/Klaus/SNSF/(https:/www.zsi.at/de/object/project/5600)) | | | | | |  | | |

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|  | **Project title** | | **COST Impact Assessment** | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation GmbH (ZSI)** | **Austria** | **€43,775.00** | **38%**  **(€16,625)** | **1** | **COST Association** | **COST Association /H2020** | **01/2019 – 04/2019** | **ERDYN, France** |
| **Detailed description of project** | | | | | | **Type of services provided** | | |
| Aim of this project was to evaluate the influence of participation in COST Actions on the professional development of researchers, with a particular focus on younger researchers (defined as a researcher under the age of 40). The target customer groups to be investigated were participants of running COST Actions between 2015-2017. The study was directly linked to COST’s 3 key strategic priorities: Empowering and retaining young researchers and innovators, promoting and spreading excellence (e.g. network building, career advancement); and fostering interdisciplinary research.  Two main methodological tools have been used in this study:   * An online survey disseminated to a sample of 10,000 researchers and innovators who participated in COST Actions between 2015 and 2017 * Semi-structured phone interviews with a sample of 30 researchers and innovators, who participated in COST Actions between 2015 and 2017.   Website: <https://www.zsi.at/en/object/project/5150> | | | | | | 1. Survey: conceiving and implementing an online survey among COST participants for gathering quantitative information 2. Interviews: taking interviews of 30 COST beneficiaries, to gather qualitative information 3. Analysis: analysing the gathered data, and drafting an impact evaluation report | | |
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|  | **Project title** | | **Mapping Digital Humanities in Austria** | | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation GmbH (ZSI)** | **Austria** | **€36,400** | | **100%** | **2** | **BMBWF** | **BMBWF** | **01/2019-06/2019** | **-** |
| **Detailed description of project** | | | | | | | **Type of services provided** | | |
| **Mapping the research landscape of Digital Humanities (DH) in Austria**  The aim of the study was to examine the DH (Digital Humanities) in the Austrian Research Area with regard to the following questions   * What are the short-term, medium-term and long-term objectives in institutional planning for DH? Which impact should be achieved and how is it estimated? * What distinguishes the Austrian DH research landscape (also with regard to international comparison); which challenges or problems arise? Which cooperations, themes, methods and infrastructures are used as well as in which regional distribution? Which best practice examples are there?   Part of the study was an online questionnaire, which was sent to the community in April - May 2019. In a subsequent study phase, qualitative expert interviews with selected persons were conducted. The results of the study will be published in autumn 2019 and discussed in a public event with representatives of the community. | | | | | | | Complete elaboration of the study, its publication and presentation. | | |
| Find more information on the project at <https://www.zsi.at/en/object/project/5136>. | | | | | | |  | | |

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|  | **Project title** | | **Austrian Research and Technology Report – FTB 2019-2022** | | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation GmbH (ZSI)** | **Austria** | **€696,800** | | **18.3% (€127,272)** | **5** | **BMBWF** | **BMBWF** | **11/2018-06/2022** | **WTZ Austria (Coordinator) Technopolis Group, KMU Forschung Austria, IIT, IWI** |
| **Detailed description of project** | | | | | | | **Type of services provided** | | |
| The Austrian Research and Technology Reports are state-of-art status reports to the Austrian parliament on the nation’s federally funded research, technology and innovation. The annual Austrian Research and Technology Report covers topical issues of national and international research and technology policy. It analyses current development trends and provides comprehensive data on research and development as well as information on special topics. The reports draw on current data to present an overview of specific trends in research, technology and innovation (RTI) and show how Austria measures up internationally in selected categories. The reports are commissioned by the Federal Ministry of Education, Science and Research (BMBWF); the Federal Ministry for Transport, Innovation, and Technology (BMVIT); and the Federal Ministry for Digital and Economic Affairs (BMDW).  The legal basis for publication of the annual Research and Technology Report is contained in the Research Organisation Act, Federal Law Gazette No. 341/1981. Pursuant to § 8(1) of the Act, a progress report on federally funded research, technology and innovation activities in Austria is submitted to the Austrian Parliament by the Federal Minister of Science and Research in cooperation with the Federal Minister of Transport, Innovation and Technology by 1 June each year. Pursuant to § 8(2), the Federal Government has to submit a comprehensive report on the requirements of research, technology and innovation in Austria to the Austrian Parliament at intervals of three years. | | | | | | | ZSI plays a significant role in writing all four reports. On top of this, ZSI is involved in the quality assurance. | | |
| Find more information on the project at <https://www.zsi.at/de/object/project/5198>. | | | | | | |  | | |

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|  | **Project title** | | **SILEA – Analysis of Social Innovation Potentials in the frame of LEADER 2014-2020 programme** | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation GmbH (ZSI)** | **Austria** | **€114,480** | **36.95%** | **3** | **BMNT** | **BMNT** | **04/2018 - 03/2019** | **ÖAR** |
| **Detailed description of project** | | | | | | **Type of services provided** | | |
| **The study analysed the importance and extent of projects with a specific focus on social innovation in the Local Action Groups (LAGs) in Austria and examines the impact of these projects in each region. The research also looked at the impact of these social innovations and the resulting change processes on women and men of different age groups and disadvantaged groups.**  **In order to address the issue, the study focused on two levels of monitoring:**  **the level of the LAG and its wider regional cooperation system**  **the level of projects implemented in the course of implementing the Local Development Strategy (LDS) in responsibility of LAGs are generated and implemented.**  **Furthermore, the study also scrutinized the level of**  **the state agency responsible for action**  **the Federal Administration Authority at the Federal Ministry of Sustainability and Tourism**  **the European Commission (Directorate General for Agriculture and Forestry) rural development)**  **the "micro level" of individual actor constellations, which are of great importance in the emergence of SI**  **To this end, the study team used a mixture of quantitative and qualitative methods, narrative and numerical information and data in order to capture the complex reality in the most complete and vivid way, to read regulatory patterns, to interpret them comparatively and finally to interpret them and to derive practical recommendations for interventions at the political-programmatic level (EU / federal / state) from these findings.**  **Website:** [**https://www.zsi.at/en/object/project/5069**](https://www.zsi.at/en/object/project/5069) | | | | | | **Leader of the work package on social innovation – definition and concept**  **Leader of the work package on document and database analysis**  **Leader of the work package on case study and ecosystem of social innovation** | | |
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|  | **Project title** | | **PSF – Mutual Learning Exercise on Open Science** | | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation GmbH (ZSI)** | **EU** | **€37,720** | **100%** | | **1** | **DG Research and Innovation** | **Horizon 2020** | **01/2017 -**  **01/2018** | **-** |
| **Detailed description of project** | | | | **Type of services provided** | | | | | |
| The contract to **support the implementation of the Mutual Learning Exercise on Open Science** was implemented within the framework contract “***Policy Support Facility (PSF)***” funded by the European Commission’s **Directorate-General for Research and Innovation** with an overall value of € 10,000,000. **The Policy Support Facility was launched in March 2015 and aims to support governments of EU Member States and associated countries in reforming their research and innovation systems.**  The Mutual Learning Exercise on Open Science **addressed the national policies and practices relating to the two following issues**:   1. **Altmetrics** 2. **Incentives and rewards for researchers to engage in Open Science activities**   Both issues have been identified as key elements of the European Open Science Agenda and the Commission has been collecting external advice from high-level experts in the context of Commission's expert groups.  Four topics were specifically addressed:  **Topic A: Different types of altmetrics**  **Topic B: How to use altmetrics in the context of Open Science**  **Topic C: Incentives and rewards to engage with Open Science activities**  **Topic D: Codes of conduct for Open Science**  The final aim of this MLE is to support MS in designing, implementing and/or evaluating different policy instruments in relation to the focussed topics. In addition to the tacit learning, a written report drawing lessons for policy design/implementation/evaluation covering the topics was produced.  Website: <https://www.zsi.at/en/object/project/4475> | | | | ZSI was involved in a number of services within this project. The rapporteur was provided by ZSI. The task of the rapporteur was analytical and administrative.   * Support the Chair in the preparation of the MLE meetings, country visits and activities; * Support the Chair in keeping track on MLE progress and help to solve potential content specific problems encountered; * In close interaction with the representatives of each participating country help them to provide their contribution and identify information needs. * Interact with other experts and ensure that they will timely prepare appropriate material and provide support throughout the process as envisaged. * Moderate dedicated parts of the workshops/country visits/meetings; identify suitable discussants for his/her session of the workshop/meeting and brief them to ensure a constructive debate. * Help identifying relevant stakeholders and discussants which may participate in the process. * Writing together with the Chair agendas and preparing presentations. * Report on the agreed "Modus Operandi" as a follow up of the kick-off meeting; * Help experts to draft and finalise the background / challenge papers and the reports on topics "A" and "B". * Help experts to 4 draft and finalise the background / challenge papers and the reports on topics "C" and "D". * Draft and finalise the Report on MLE Open Science (altmetrics & rewards) with contributions of the other experts and participating countries with identified good practices, lessons learned and success factors based on robust evidence about the impacts of the measures.   The report identified good practice, included a set of concrete operational recommendations, lessons learned and success factors based on robust evidence about the impacts of the measures and the contextual factors that may explain the impacts. It also contained a policy-oriented Executive Summary.  The report can be downloaded from the PSF website:  <https://rio.jrc.ec.europa.eu/en/policy-support-facility/mle-open-science-altmetrics-and-rewards> | | | | | |

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|  | **Project title** | | **Social and cultural aspects in the FFG-funded innovations** | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation GmbH (ZSI)** | **Austria** | **€ 8.800,00** | **100%** | **2** | **FFG - Austrian Research Promotion Agency** | **FFG - Austrian Research Promotion Agency** | **05/2018-07/2018** |  |
| **Detailed description of project** | | | | | | **Type of services provided** | | |
| This project identified social and cultural aspects and impact of FFG-funded innovations  As a national funding institution for business-related research and development in Austria, the FFG offers a differentiated range of programs, instruments and services for the various needs of companies and research institutions. In addition to some explicitly thematic programs, the FFG also offers a large number of funding opportunities in which no restrictions are formulated with regard to the field of technology or the research topic. With regard to the innovative result, a few degrees of freedom can also be identified: Thus the result of an FFG-promoted innovation can be a product, but also a service or a qualification. Within this very wide range of possibilities, the objective of the project is to determine whether and to what extent humanities, social sciences and cultural studies aspects also occur in the context of FFG-funded projects.  These "GSK elements" can be very different in nature. They can either deal with the social, human and cultural aspects and implications of - mostly - technical innovations or relate to independent, applied research in GSK topics. Also methods of the GSK, participative research design as well as inter- and transdisciplinary approaches can be of interest in this context.  Website: <https://www.zsi.at/en/object/project/5071> | | | | | | 1. Creation of a taxonomy 2. Definition of GSK relevance 3. Systematic identification of relevant projects 4. Definition of a population via text mining 5. Comparison between projects with GSK elements and those without GSK elements 6. recommendations | | |

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|  | **Project title** | | **SSH IMPACT: Impact of Social Sciences and Humanities for a European Research Agenda - Valuation of SSH in mission-oriented research** | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation GmbH (ZSI)** | **Austria** | **€199,950** | **100%** | **2** | **EC** | **H2020** | **03/2018-02/2019** | **-** |
| **Detailed description of project** | | | | | | **Type of services provided** | | |
| The Austrian EU Council Presidency conference on ‘Impact of Social Sciences and Humanities for a European Research Agenda - Valuation of SSH research in mission-oriented research’ took place in Vienna on 28 and 29 November 2018.  The overall mission of the conference was to bring the valuation (i.e. the provision of added value through SSH and arts-based research) and impact contributions of SSH research to transformative, mission-oriented national and European research and innovation agendas to the forefront, to openly reflect and structurally discuss the topic in order to make it visible, debatable, verifiable and usable!  In line with this mission, the objectives of the conference were:   * to provide a reflecting as well as forward-looking format to identify and appraise valuation pathways and impact generating processes within genuine SSH research as well as from inter-disciplinary and trans-disciplinary research activities which include SSH and arts-based research * to showcase, learn from and discuss structures and policies which are beneficial for an enhanced impact-orientation of SSH research at various levels (e.g. project-level, institutional level, R&I policy-making level) * to make a significant contribution to tracing and assessing the use and impact of R&D activities from the field of SSH (including arts-based research), to the benefit of a transformative and mission-oriented European research and innovation agenda.   Website: <https://www.zsi.at/en/object/project/4790> | | | | | | ZSI was responsible for organising conference on SSH Impact covering all conference-related activities from preparatory and organisational works, to ex-post evaluation, dissemination, networking and follow-up work. | | |
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|  | **Project title** | | **Assessment of the Impact Innovation Programme** | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation GmbH (ZSI)** | **Austria** | **€14,590.00** | **100%** | **2** | **Austrian Research Promotion Agency (FFG)** | **Austrian Research Promotion Agency (FFG)** | **01/2019-05/2019** | **-** |
| **Detailed description of project** | | | | | | **Type of services provided** | | |
| With the "Impact Innovation" program, FFG broke new ground in several ways:   * Focusing on the development of innovative ideas and solutions through intensive interaction between all relevant actors (individuals, organizations benefiting from the solution, solution beneficiaries). * The program addresses innovations that are not necessarily research-based (this also corresponds to the extension of the concept of innovation according to Oslo Manual 2018 and the European Innovation Scoreboard 2018). * An important criterion for funding the program is the impact of the innovation on the largest possible groups of people (customers, users, etc.). * •”Impact Innovation" appeals to new applicants: just under 65% of applications were submitted by organizations that have never submitted applications to the FFG.   The program has three objectives:   1. Broadening the innovation base through a broader understanding of innovation (in new areas without R&D and non-technical ones) 2. Broadening access to FFG funding for actors who have not been addressed by FFG instruments so far 3. More successful innovation projects through an early involvement of relevant actors, a structured and methodically guided approach along an innovation process, orientation towards problem solving and learning experiences on the problem in the course of project implementation. | | | | | | ZSI employed the following tasks and methods to carry out the work successfully:   * Document analysis and analysis of the funded projects and submitted proposals * Interviews with proposers (funded and not-funded) * Focus group * Final report about the findings * Recommendations   + at project level   + at programme level   + at eco-system’s level | | |
| ZSI was tasked to assess whether or not the programme objectives could be achieved.  For more information on the project, please see <https://www.zsi.at/en/object/project/5147>. | | | | | |  | | |

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|  | **Project title** | | **PLAISIR - Planning Innovation: Lernen aus sozial innovativen Energieprojekten** | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation GmbH (ZSI)** | **Austria** | **€95,372** | **58,4% (€55,715)** | **2** | **FFG** | **FFG – Stadt der Zukunft** | **11/2017-06/2019** | **TU Wien** |
| **Detailed description of project** | | | | | | **Type of services provided** | | |
| Energy-oriented planning is widely considered an urban matter with a strong tendency towards technical innovation. The role of social innovation though is equally underrepresented in energy planning discourses as are peripheral regions and their specific challenges, which cannot be overcome via technical innovation alone. This is even more striking considering the numerous reports of the value of social innovation for positive development effects in weaker regions.  PLAISIR shed lights on this research gap at the intersection of social-capital- and energy-oriented regional development. The basic research project herewith pointed to two central policy aims in recent regional development, asking whether the integration of both matters holds a potential for increased resilience, autonomy, or even long-term systemic change in weaker regions.  The project created knowledge on potential triggers, catalysts and obstacles of social innovation in energy-oriented planning efforts of rural and peripheral regions. Therefore, the research team implemented a differentiated analysis of the various process dimensions of socially innovative energy projects. It also developed recommendations for co-creation approaches in regional governance for a potential long-term systemic change in regional development. | | | | | | ZSI was coordinating and managing the project. Content-wise, ZSI experts led the following tasks:   * Mapping of socially innovative projects in the area of energy in structurally lagging regions * Development of social innovation indicators for the process-dimension of energy projects * Identification and analysis of energy projects * Development of policy recommendations for the support to socially innovative energy projects * Definition of the co-creation potential of socially innovative projects for regional development * External communication and science communication * Ensuring PLAISIR’s open innovation approach | | |
| Find more information on the project at [www.zsi.at](http://www.zsi.at/) (https://www.zsi.at/de/object/project/4687. | | | | | |  | | |

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|  | **Project title** | | **PSF - H2020 Policy Support Facility** | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation GmbH (ZSI)** |  | **€ 10,000,000** | **10%** | **5** | **European Commission / DG Research and Innovation** | **European Commission** | **11/2015 - 12/2020** | **Technopolis Group (coordinator)**  **University of Manchester - Manchester Institute of Innovation Research** |
| **Detailed description of project** | | | | | | **Type of services provided** | | |
| Technopolis, Manchester Institute of Innovation and Research and ZSI are contracted by the European Commission to support research policy development and RTI reform across Europe.  ZSI is a member of the consortium awarded with a framework contract by the European Commission’s Directorate-General for Research and Innovation to implement the EU’s Policy Support Facility (PSF). The consortium is led by Technopolis Group (Brussels office) and also involves the Manchester Institute of Innovation and Research (UK). Furthermore, a large group of experts are involved. This instrument, launched in March 2015, aims to support member state governments in identifying, implementing, and evaluating the reforms they need to improve their publicly funded research and innovation systems.  Throughout the project, ZSI provides input to a broad range of services for policy makers in Europe in terms of formulating and implementing R&I policies such as peer reviews and background analysis on national research and innovation policies, and input to mutual learning events bringing together EU member states and associated countries. The goal of the PSF is to make the most of the mutual learning and exchanges of best practice, which take place within the frame of the European Research Area via supporting member states (on a voluntary basis) in implementing reforms of their national R&I policies. It also aims at supporting European R&I policy in tackling the innovation divide. | | | | | | * Policy Analysis * Evaluation * Facilitation of mutual policy learning * Policy Mix Peer Review * Policy consultancy * Rapporteur and editorial work * Scientometrics | | |
| Find more information on the project at [zsi.at](https://www.zsi.at/en/object/project/3916) | | | | | |  | | |

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|  | **Project title** | | **KNOWMAK – Knowledge in the making in the European society** | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation GmbH (ZSI)** | **EU** | **€1,998,139** | **16.3% (€326,250)** | **3** | **European Commission** | **European Commission Horizon 2020** | **01/2017 – 12/2019** | **Université Paris‐Est Marne‐la‐Vallée (UPEM)**  **University of Manchester (UMAN), Austrian Institute of Technology (AIT), University of Leiden, University of Sheffield, Politecnico di Milano** |
| **Detailed description of project** | | | | | | **Type of services provided** | | |
| The KNOWMAK project aims at developing a web-based tool, which provides interactive visualisations and state-of-the-art indicators on knowledge co-creation in the European Research Area (ERA). It is structured around three integrative elements:   * Research topics, by developing ontologies around Societal Grand Challenges and Key Enabling Technologies. * Actors, with a focus on the quadruple helix and the involvement of societal actors in knowledge co-creation. * Geographical spaces, with a focus on multiple level metropolitan, regional, national and European spaces and their interconnectedness.   The tool combines three main data sources: established indicators of scientific and technological knowledge production based on scientific publications and patents; information on knowledge in the making derived from research projects’ descriptions; information on social innovation projects and user attention to knowledge production derived from the Internet and from social media. The integrative elements (topics, actors, space) allow for the interlinking of data items, to produce a characterisation of different dimensions of knowledge in the making.  KNOWMAK is tailored to the needs of specific user groups with a focus on four groups: policy-makers, regional actors and representatives of the civil society, business sector, and managers of public research organisations and universities.  User groups are involved in the design of the system, the specification of the indicators and of the visualisations to be provided. This user-centred approach will ensure responsiveness of the tool to (changing) needs of relevant stakeholders in the ERA.  Moving beyond the existing approaches to S&T indicators, the project is designing and implementing a consistent infrastructure where different types of data sources are interlinked and mobilized to produce a rich set of indicators and visualisations responding to the needs of specific user groups, thanks to experienced consortium.  Find more information at zsi.at (<https://www.zsi.at/en/object/project/4334>). | | | | | | ZSI is reponsible for   * the engagement of lead users from key stakeholder groups such as policy-makers, research funders, or representatives of business, civil society, or research or innovation manageres; * the increasing involvement of a wider circle of users; * the develpment of the KNOWMAK website; and * the development of the online tool that allows to visually explore the European knowledge output. | | |
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|  | **Project title** | | **FWF IP Evaluation – Evaluation of the international programme portfolio of FWF** | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation GmbH (ZSI)** | **Austria** | **€ 70.000,00** | **45%**  **(€ 31.400)** | **2** | **European Commission – DG R&I** | **European Commission** | **07/2016 – 05/2017** | **University of Manchester**  **German Centre for Higher Education Research and Science Studies**  **Digital Science** |
| **Detailed description of project** | | | | | | Type of services provided | | |
| The Austrian Science Fund (FWF) supports international cooperation of Austrian basic research with a set of dedicated funding instruments as well as procedures optimised for international cooperation. ZSI was evaluating the appropriateness, efficiency and effectiveness of the portfolio with a mixed set of quantitative and qualitative methods. The evaluation was based on a mix of methods consisting of the evaluation of programme and monitoring data, a bibliometric analysis including a comparison group approach6 and altmetrics, online surveys of the principal investigators, expert interviews and a workshop with representatives of the FWF.  The main focus of the evaluation of the FWF‘s international programmes was the added value of this form of funding in comparison to the stand-alone projects, i.e. the question “Does it pay off?” both for researchers and for the FWF as a funder: with regard to the attractiveness of the funding format for scientists/scholars, the quality of the research output, the development of the national research system, the complementarity with other (national and international) initiatives, and the administrative effort.  It was the first time that a major research funding agency commissions an evaluation focusing explicitly on its international cooperation support instruments. Given the increasing internationalisation of scientific research, such an endeavour seems to be particularly timely and relevant. The evaluation study underlined the unique selling point of the FWF’s international programmes in the national research system and the marked complementarity with existing national and Europ ean forms of funding.  ZSI implemented this project together with the University of Manchester, the German Centre for Higher Education Research and Science Studies (DZHW) as well as Digital Science. Results were presented in May 2017. | | | | | | * Comprehensive programme evaluation * Survey * Bibliometric and altmetric analyses * Stakeholder Interviews and workshops * Expert interviews * Foresight scenario workshop * International Benchmarking * Focus group * Comparison group analysis | | |

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|  | **Project title** | | **ODS – Open Digital Science** | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation (ZSI)** | **Austria** | **€ 175 400** | **20.81 %**  **(€ 36.500)** | **2-3** | **EC** | **European Commission** | **01/2015-02/2016** | **eutema Technology Management (coordinator)**  **Universidad de Zaragoza** |
| **Detailed description of project** | | | | | | **Type of services provided** | | |
| In the vision underlying open digital science — ODS —, radically different scientific practices based on digital technologies are emerging. ODS is widely believed to foster and stimulate openness of scientific knowledge, by and for everyone to access, acquire, and benefit from. With this tender, we propose to expand our knowledge and vision of ODS, and understand how it is changing the relation of science and society.  This study identified main players, analysed the impact of the ODS vision on science and on society, and provided suggestions on how to monitor and guide implementing such a vision. It identified quantitative and qualitative indicators and metrics to assess uptake and impact of ODS, and designed components of a permanent ODS observatory. The study will, in particular, analyse the consequences of ODS in a wider societal and policy context.  The project addresses the tender objectives with an eclectic methodological approach based on a broad analysis of data, expert interviews, and a conceptual and trend analysis. ODS concept and vision refinement was pursued by using scenarios of potential future ODS usage as a proxy. The scenarios assisted in communicating the vision, explore future trends, discuss options for measuring ODS uptake, and impact and generally stimulated the discussion with a broad community.  The project fostered interaction with a broad community of stakeholders in dedicated one-on-one interviews with an advisory group of experts and focus groups on selected aspects of ODS. Using a targeted strategy to grow an online community from established networks of experts, organisations, policy makers etc. provided the basis for a broad discussion on ODS. This strategy included an online web presence of the study and focus groups where needed.  The project developed targeted metrics for measuring ODS uptake and impact and developed a proposal for an ODS observatory. This observatory - and also in part our online web platform - included interactive visualizations of data to attract visitors to the site and discussions and to provide insights into the status quo regarding ODS in Europe. he study provided recommendations for research, technology, development, and innovation policy makers in Europe to improve both uptake and impact of Open Digital Science. Emerging from an interactive process and based on interactions with an advisory body, interviewees, focus groups, and validation meeting participants, these recommendations were widely accepted in the community.  Find more information on the project at [zsi.at](https://www.zsi.at/en/object/project/3633) | | | | | | Within this project, ZSI is responsible for the following tasks in particular:   * Refinement of the ODS vision * Development of ODS impact indicators * Visualisations in the field of ODS * Interviews * Data analysis * Trend analysis * Scenario development * Focus groups * Metrics/indicator development * Policy Recommendation | | |

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|  | **Project title** | | **TAIPI: Tools and Actions for Impact Assessment and Policy Makers Information** | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für Soziale Innovation (ZSI)** | **EU (no target country)** | **€ 873 442** | **~32 %** | **2 (+2)** | **European Commission** | **European Commission**  **HORIZON 2020;**  **H2020-FETFLAG-2014** | **01/2015 – 12/2017** | **ERDYN Consultants (Coordinator)**  **Agence Nationale de la Recherche**  **Ecole Polytechnique Fédérale de Lausanne**  **SP Sveriges Tekniska Forskningsinstitut AB** |
| **Detailed description of project** | | | | | | **Type of services provided** | | |
| TAIPI supported the FET Flagship Initiative and the two Flagships Graphene and Human Brain Project (HBP) through Impact Assessment and provision of information to Policy makers. The general objective of TAIPI was to support and strengthen the FET Flagship Initiative:  The specific objectives of TAIPI were:   * to develop assessment methodologies along with the required toolkits * to carry out the impact assessment of both Flagships and the Flagship policy by applying the specifically developed methodology and tools * to collect and provide information for policy makers and funding organizations participating in the Flagship initiative * to transfer the developed toolkits to the Flagship, and to enable them to use these tools after the end of TAIPI, thus ensuring the sustainability of the project activities   TAIPI assessed the impacts of HBP and Graphene, enhanced the flow of information from the Flagships towards policy makers, relevant stakeholders, and wider public. It also improved the understanding of the impacts of the Flagships on science, technology, economy, and society and contributed to create a stable and structured environment for the benefit of the FET Flagships. The environment created by TAIPI benefits the Flagships, allowing them to concentrate on the fields where they bring the highest added value to their stakeholders while they rely on up-to-date tools, developed by TAIPI, to monitor their impacts in real time.  Find more information on the project at [zsi.at](https://www.zsi.at/de/object/project/3514) | | | | | | Within this project, ZSI provides the following activities in particular:   * Contribution to the development of the Impact Assessment methodology * Interviews, preparation, and participation in expert workshops * Bibliometric and patent analysis etc.   ZSI was also responsible for   * Quality Assurance Plan * Stakeholder Database * Report on information needs of policy makers and Flagships * 4 policy briefs and 7 info-letters * Recommendations report * Dissemination and communication plan and exploitation strategy * Web 2.0 platform * Data management plan * TAIPI brochure on impact assessment results | | |

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|  | | **Project title** | | | **SENSES - Strengthening Social Entrepreneurial Landscape through involving socially responsible corporate Practices in EntrepreNeurial CompetenceS and Skills enhancement in the DANUBE region** | | | | | |
| **Name of candidate** | **Country** | | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | | **No of staff**  **provided** | **Name**  **of**  **client** | **Origin of funding** | **Dates**  **(start/end)** | **Name of partners if any** |
| **ZSI - Centre for Social Innovation/ZSI - Zentrum für soziale Innovation** | **AT** | | **1,530,777.5** | **29,2% = 447,000** | | **2** | **INTERREG Danube Transnational Programme** | **ERDF** | **01/2017 - 06/2019** | |  |  |  |  | | --- | --- | --- | --- | | **IFKA Public Benefit Non-Profit Ltd. for**  **the Development of the Industry**  **RERA a.s. – Regional Development**  **Agency of South Bohemia**  **BSC Business Support Centre Ltd., Kranj** | **Lead partner** | [**baracsi@ifka.hu**](mailto:baracsi@ifka.hu) | **Hungary** | | **SBA Slovak Business Agency**  **NESsT EUROPE Public Benefit Nonprofit Ltd.**  **MAROM Club Association**  **REDEA Regional Development Agency Međimurje Ltd.**  **SMRDA South Muntenia Regional Development Agency**  **CCIS Chamber of Commerce and Industry of Serbia** | **ERDF partner** | [**dubrovayova@sbagency.sk**](mailto:dubrovayova@sbagency.sk) | **Slovakia** | |
| **Detailed description of project** | | | | | | | | **Type of services provided** | | |
| Social enterprises (SEs) are an important driver for inclusive growth and play a key role in tackling current economic, environmental and societal challenges. Recent years have seen a burgeoning interest in social enterprises across Europe, however, still relatively little is known about the scale and sectoral allocation of the emerging social enterprise ‘sector’. However, examples of missing policy and legal frameworks, social investment markets and social entrepreneurship education are very common. As a result, trends in SENSES countries show divers picture of low viability of business models of existing social enterprises, nascent social investors and investment markets, mainly probono and donation-based SE acceleration programmes and fragile relationships between SEs and market actors.  Motivated by the above challenge, the SENSES project aims to create a transnational network of social enterprises (SEs), socially responsible traditional businesses, (social) financial investors, policy-makers, academia, NGO practitioners which will jointly promote an innovative social enterprise model as well as social innovation for the sustainable economic development of the Danube region. | | | | | | | | SENSES will deliver cutting-edge policy designs (Social Enterprise Strategy for the Danube region) that support policymakers in facilitating the social enterprise sector to grow. Results will jointly contribute to develop self-sustaining social enterprises with commercially viable business models that focus directly on propagating effective solutions at grassroot level.  As main achievement of project partners, 60 hours long digital (e-learning) material co-developed and co-designed by all partners will be created including theoretical economics, management, marketing, HR as well as sales management modules together with personalized mentoring and coaching led by CSR corporate representatives as a practice-driven “blended learning experience” for social enterprises in the Danube region | | |
|  | | **Project title** | | | [**Social(i)Makers**](https://www.zsi.at/de/object/project/4590) **(Growing a Transnational Smart Community of Social Innovators for the Inclusive Development of Central Europe** | | | | | |
| **Name of** **candidate** | **Country** | | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | | **No of staff**  **provided** | **Name**  **of**  **client** | **Origin of funding** | **Dates**  **(start/end**) | **Name of partners if any** |
| ZSI - Centre for Social Innovation/ZSI - Zentrum für soziale Innovation | EU | | 4,525,263 | 6.9% = 312,240 | | 2 | INTERREG Central Europe Transnational Programme | ERDF | 08/2017 - 07/2020 | |  |  |  |  | | --- | --- | --- | --- | | * Fondazione Democenter Sipe (Coordinator) * arbeit plus – Social Integration Enterprises Austria * Association of Municipalities and Towns of SLO * Budapest Chamber of Commerce and Industry * Cooperation Fund Foundation * Economic Institute Maribor, Slovenia * Pontis Foundation * Social Impact gGmbh etc. |  | [baracsi@ifka.hu](mailto:baracsi@ifka.hu) | Hungary | |
| **Detailed description of project** | | | | | | | | **Type of services provided** | | |
| The sustainability of Central Europe (CE) is challenged by the structural transformations of its civic communities as well as by the social implications of the changes affecting their context. Social innovation (SI) initiatives able to implement products, services and models to govern such transformations while creating new social relationships are then more and more necessary. In fact, they are still fragile and unevenly diffused in the area as the ecosystem called to boost them is still in its infancy.  The project helps Central Europe to improve its SI capacities by tackling the problem the other way around: it will teach financiers, entrepreneurs, policy makers and citizens how to actually play the game as Social (i)nnovation Makers generating the ecosystem as a bottom-up result of their inter-actions. To this end, the project establishes the transnational 2-phase educational programme 'Social(i)Makers Launchpad' in Austria, Germany, Hungary, Italy, Poland, Slovakia and Slovenia. The programme trains them in collaboratively designing and launching effective and sustainable SI initiatives. Within its 'Social Innovation Design Academy', the trainees will learn how to leverage impact investing, social business, SI policy and active citizenship, to exploit useful technology and impact assessment and to engage the right stakeholders and shareholders, by exploiting a pocket 'Social Innovation Design Toolbox'. Subsequently, they put the acquired skills into practice through the 'Social Innovation Skyrocket Lab', which coordinates them in the organization of local and transnational pilot SI initiatives for Central Europe through the co-working 'On-line Social Innovation Skyrocket Platform'. In doing so, the project triggers the emergence of a transnational Social(i)Makers Community in CE which will be further developed by a long-term SI capacity-building strategy defined ad hoc. | | | | | | | | * Establishment of a transnational Social(i)Makers Community Strategy for Central Europe * Development of MOOCs and eLearning Courses * Training of financiers, entrepreneurs, policy makers * Establishment of an international Social Innovation Design Academy * Establishment of Social Innovation Design Toolbox * Development of a Social Innovation Skyrocket lab * Development of a Social Innovation Skyrocket Platform * Establishment of a long-term capacity building strategy for Central Europe | | |

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|  | | **Project title** | | | **Social Innovation Community / SIC** | | | | | |
| **Name of** **candidate** | **Country** | | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | | **No of staff**  **provided** | **Name**  **of**  **client** | **Origin of funding** | **Dates**  **(start/end**) | **Name of partners if any** |
| Centre for Social Innovation/Zentrum für soziale Innovation (ZSI) | AT | | 2.990.197,50 | 11,47 | | 3 | EC | H2020-INSO-2015 | 02/2016 - 01/2019 | * Alma Mater Studiorum - University of Bologna * Dutch Research Institute for Transitions BV * [Nesta LBG](https://www.zsi.at/de/object/partner/4004) * [Social Innovation Exchange LBG](https://www.zsi.at/de/object/partner/4010) * [Technische Universität Dortmund](https://www.zsi.at/de/object/partner/2770) * [The Young Foundation](https://www.zsi.at/de/object/partner/3442) * [European Association for Information on Local Development](https://www.zsi.at/de/object/partner/4003) (Coordinator) et al. |
| **Detailed description of project** | | | | | | | | **Type of services provided** | | |
| The objectives of SIC are:  O1 Engagement and connecting with a diverse range of social innovation stakeholders and networks to create a truly inclusive social innovation community. This community will reach out beyond the usual suspects to networks and Social Innovation Community stakeholders who work in the field of social innovation but do not necessarily self-identify with the multi-faceted and fast evolving concept.  O2. Creating a framework for a common understanding of social innovation, including past trends, the latest evidence and emerging methodologies in order to identify future priority areas.  O3. Testing new approaches to social innovation by supporting and promoting grassroots and institutional experiments, in particular cross-sector and transnational collaborations in locally defined priority areas.  O4. Promoting social innovation learning among practitioners, policymakers and researchers by using participatory learning processes, enabling reflection on practice, and developing and sharing models, tools and other resources of best practice.  O5. Supporting policymakers at European and other levels to design policies and other measures to support social innovation by making evidence-based recommendations and linking policymakers to practitioners, citizens and the latest research.  O6. Co-creating a vision and strategy for the social innovation community that takes into account short, mid, and long-term goals and evaluating its impact in order to ensure its benefits are sustained in the longer term.  O7. Disseminating a new SI innovation culture that links open and participatory learning processes to solving social problems and scaling-up local solutions and competencies within and across SIC networks. | | | | | | | | * The creation of a digital platform, which uses the latest digital technologies and contains multi-media content. * The development of critical learning resources, most notably the Learning Materials Repository (hosted on the digital platform), which will include a curriculum for innovation development, case studies, tools, methodologies and toolkits for practitioners, citizens, students, researchers and policymakers. * Social innovation experiments conducted through and with the support of 5 local host centres. These experiments will test out new models of transnational and cross-sectoral collaboration for generating, scaling up and replicating social innovations. Practical projects will be supported through an intensive three month development phase based on existing accelerator methodologies. * A compelling programme of events including regional road shows, 5 Transformative Research Sessions, 5 Hot Topic Workshops, 3 Collaboration Events, 3 Summer Schools and 3 Social Learning Workshops. * Engaging written and visual outputs including newsletters, policy briefings, State of the Union policy reports, Research Landscape reports, evaluations, case studies, network maps and other visualisations, and a report on SIC learning needs. | | |

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|  | **Project title** | | **SI-DRIVE Social Innovation: Driving Force of Social Change** | | | | | |
| **Name of legal entity** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| **Centre for Social Innovation/Zentrum für soziale Innovation (ZSI)** | **worldwide** | **6,233,010** | **9%** | **7** | **European Commission, DG Research** | **FP7, SSH (Social Sciences and Humanities); large scale Integrated Project** | **01/2014 –12/2017** | [**Applied Research and Communications Fund,**](https://www.zsi.at/de/object/partner/2766) **Austrian Institute of Technology ,** [**Brunel University**](https://www.zsi.at/de/object/partner/1819)**,** [**Center for research on social innovation, University of Quebec in Montreal**](https://www.zsi.at/de/object/partner/2994)**,** [**Centro de Innovación Social, Agencia Nacional para la Superación de la Pobreza Extrema**](https://www.zsi.at/de/object/partner/2998)**,** [**European Federation of National Organisations Working with the Homeless**](https://www.zsi.at/de/object/partner/2993)**,** [**Heliopolis University,**](https://www.zsi.at/de/object/partner/3003) [**Institut Arbeit und Technik / Institute for Work and Technology, Westfälische Fachhochschule Gelsenkirchen**](https://www.zsi.at/de/object/partner/3012)**,** [**Institute of Socio-Economic Development of Territories of the Russian Academy of Sciences**](https://www.zsi.at/de/object/partner/3002)**,** [**International Organisation for Knowledge Economy and Enterprise Development**](https://www.zsi.at/de/object/partner/3008)**,** [**Istanbul Teknik Universitesi**](https://www.zsi.at/de/object/partner/3004)**,**[**Kazimiero Simonavičiaus Universitetas**](https://www.zsi.at/de/object/partner/3007)**,** [**Lama Development and Cooperation Agency**](https://www.zsi.at/de/object/partner/3006)**,** [**social innovation lab**](https://www.zsi.at/de/object/partner/3010)**,** [**Tata Institute of Social Sciences**](https://www.zsi.at/de/object/partner/2996)**,** [**The University of Sidney, Australian Centre for Innovation**](https://www.zsi.at/de/object/partner/2997)**,** [**TNO**](https://www.zsi.at/de/object/partner/2644)**,** [**United Nations Economic Commission for Latin America and the Caribbean**](https://www.zsi.at/de/object/partner/2999)**,** [**Universidad de la Iglesia de Deusto / University of Deusto**](https://www.zsi.at/de/object/partner/3011)**,** [**University Danubius Galati**](https://www.zsi.at/de/object/partner/3005)**,** [**University of Cape Town - Bertha Centre for Social Innovation and Entrepreneurship**](https://www.zsi.at/de/object/partner/3000)**,** [**Young Foundation**](https://www.zsi.at/de/object/partner/3013)**,** [**Zentrum für Soziale Innovation**](https://www.zsi.at/de/object/partner/3054) **,**[**Zhejiang University Hangzhou**](https://www.zsi.at/de/object/partner/3001)**,** [**Technische Universität Dortmund**](https://www.zsi.at/de/object/partner/2770) **(Coordinator)** |
| **Detailed description of project** | | | | | | **Type of services provided** | | |
| **SI-DRIVE involves 15 partners from 12 EU Member States and 10 from other parts of the world. The approach adopted carefully interlinks the research process to both the complexity of the topic and the project workflow. First, cyclical iteration between theory development, methodological improvements, and policy recommendations. Second, two mapping exercises at European and global level. Initial mapping will capture basic information about 1000+ actual social innovations from a wide variety of sources worldwide, leading to a typology of SI (testing the SI perspectives proposed by the** [**BEPA report**](http://ec.europa.eu/bepa/pdf/publications_pdf/social_innovation.pdf)**) and using this to examine the global SI distribution. Subsequent mapping will use the typology to focus on well documented SI, leading to the selection of 10 cases each for indepth analysis in the seven SI-DRIVE Policy Fields. Third, these case studies will be further analysed, used in stakeholder dialogues in 7 policy field platforms and in analysis of cross-cutting dimensions (e.g. gender, diversity, ICT), carefully taking into account cross-sector relevance (private, public, civil sectors), and future impact.The outcomes of SI-DRIVE will cover a broad range of research dimensions, impacting particularly in terms of changing society and empowerment, and contributing to the objectives of the Europe 2020 Strategy.** | | | | | | **SI-DRIVE extends knowledge about social innovation (SI) in three major directions:**  **Integrating theories and research methodologies to advance understanding of SI leading to a comprehensive new paradigm of innovation.**  **Undertaking European and global mapping of SI, thereby addressing different social, economic, cultural, historical and religious contexts in eight major world regions.**  **Ensuring relevance for policy makers and practitioners through in-depth analyses and case studies in seven policy fields, with cross European and world region comparisons, foresight and policy round tables.** | | |

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|  | **Project title** | | **Responsible Research and Innovation tools (RRI Tools)** | | | | | |
| **Name of candidate** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |
| Center for Social Innovation/Zentrum für soziale Innovation (ZSI) | EU28 | 6,942,173 | 6% | 4 | European Commission – DG Research and Innovation | European Commission – DG Research and Innovation | **01/2014 to 12/2016** | [fundacio caixa d'estalvis i pensions de barcelona (spain)](https://www.zsi.at/de/object/partner/3034/fb_preview)  [fundació privada institut de recerca de la sida caixa (spain)](https://www.zsi.at/de/object/partner/2680/fb_preview)  [university college london (united kingdom)](https://www.zsi.at/de/object/partner/2012/fb_preview)  [european business and innovation centre network (belgium)](https://www.zsi.at/de/object/partner/2853/fb_preview)  [king baudouin foundation (belgium)](https://www.zsi.at/de/object/partner/2642/fb_preview)  foundation for polish science (poland)  experimentarium (denmark) and many more |
| **Detailed description of project** | | | | | | **Type of services provided** | | |
| This project develops and uses a Training and Dissemination Toolkit on Responsible Research and Innovation (RRI). It is addressed to and designed by all stakeholders across the Research and Innovation (RI) chain of value, including Researchers, Civil Society, Industry and Education but will specially focus on Policy Makers in order to impact significantly in the future governance of RI. The Consortium is a 26 multi-stakeholder group of institutions with experience in different key components of RRI. The project envisages the creation of 19 RRI Hubs covering 30 countries of the European Research Area. The Consortium and the RRI Hubs implement a process for developing the toolkit which aims to be collaborative and inclusive, this way fostering methods and channels of dialogue in order to increase creativity and shared ownership of the process. Ultimately, the process will lead to a Community of Practice in RRI which will assure the use, evolution and enrichment of the toolkit.  The RRI Toolkit will be an innovative and creative set of tools comprising practical digital resources and actions aimed at raising awareness, training, disseminating and implementing RRI. The RRI Hubs will be responsible for training on the use of the toolkit throughout Europe, of advocating policy makers at a national and regional level and of disseminating the concept of RRI to a wide audience. Bridging the gap between Science and Society has been a challenge for decades. Today, there is evidence that we need to involve wider society in decisions about the form and direction of research and innovation to contribute to a smart, inclusive and sustainable growth of our societies. RRI TOOLS will help transform Research and Innovation in Europe into a process targeted at the grand challenges of our time (science for society) where deliberation and reflection are coupled with action (science with society). | | | | | | ZSI is mainly involved in the following activities:   1. Consensus of Working RRI definition and Collection of Good RRI Practices 2. Mapping of the RRI stakeholder groups and design and implementation of a massive RRI Stakeholders consultation process (ZSI is responsible for Austria and Slovenia) 3. Identification, prioritisation, conceptualisation, design and production of the RRI tools including    * Self-assessment tools and library    * Training and advocacy    * RRI digital capsules    * Good practice standards 4. development, piloting and implementing a training programme (incl. train-the-trainers) and advocacy programme throughout Europe 5. review and quality control of the training 6. compilation and examination of already existing evaluation procedures concerning RRI issues 7. provision of methodologies and tools for internal formative evaluation requirements 8. validation of the RRI Toolkit 9. designing a self-assessment tool to verify the compliance of own concepts with acknowledged RRI standards | | |

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|  | **Project title** | | **New HoRRIzon** | | | | | | |
| **Name of candidate** | **Country** | **Overall project value (EUR)** | **Proportion carried out by candidate (%)** | **No of staff provided** | **Name of client** | **Origin of funding** | **Dates (start/end)** | **Name of partners if any** |  |
| Center for Social Innovation/Zentrum für soziale Innovation (ZSI) | AT | € 6.799.943,- | € 685.625,-  10% | 7 | European Commission | H2020, EC | 05/2017-04/2021 | * Aarhus University * Austrian Research Promotion Agency * Estonian Research Council * EUROSCIENCE * Fondation Nationale des Sciences Politiques * Fraunhofer Gesellschaft zur Förderung der angewandten Forschung e.V. * Fundacion Tecnalia Research and Innovation * Netherlands Enterprise Agency * Technical Research Center of Finland * Technology Agency of the Czech Republic * Universiteit Leiden * University Amsterdam * Vereinigung Deutscher Wissenschaftler eV * Wageningen University and Research * IHS - Institut für Höhere Studien (Coordinator) et al. |  |
| **Detailed description of project** | | | | | | **Type of services provided** | | | |
| The Project NewHoRRIzon sets out to promote the acceptance of RRI in Horizon 2020 and beyond. It will work out the conceptual and operational basis to fully integrate RRI into European and national research and innovation practice and funding. NewHoRRIzon will establish altogether 18 Social Labs that cover all sections of H2020. Together with a wide-ranging group of R&I stakeholders, in these Social Labs, NewHoRRIzon will co-create tailor-made pilot actions that will stimulate an increased use and acceptance of RRI across H2020 and each of its parts. These pilot actions will address a variety of R&I actors, such as academia, business, non-university research institutes, RFOs, CSOs, and the general and specific public(s) as they arise from technological controversies. Ultimately, the pilot actions to be developed and tested in the Social Labs will contribute to R&I projects that fully recognize the significance of RRI. NewHoRRIzon will stimulate learning about how to accomplish RRI in H2020 and beyond in its Social Labs, in two cross-sectional workshops and two transdisciplinary conferences. It will conceptualize and operationalize a Society Readiness Level (SRL) for R&I that focuses on the alignment between the processes and products of R&I on the one hand, and broader societal demands and expectations on the other. Finally, NewHoRRIzon will use a variety of target-group specific strategies to disseminate best practices to promote acceptance of RRI across H2020 and generate long-term impact. For that it will use existing spaces and networks as well as create new ones. | | | | | | * Leader of the Workpackage on “Social Lab Coordination and Experiential Learning across Social Labs” * Reflection and learning across Social Labs with regards to RRI * Organisation of cross-fertilization conferences * Set up and coordination of Virtual Social lab * Lab Management and Facilitation of social labs in two EC programme lines (energy and research infrastructures) * Managing six pilot activities in two EC programme lines | | | |

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**Getting in touch with the ZSI – Zentrum für Soziale Innovation**

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1. SNSF (2021), Invitation to Submit Study Draft: Analyzing the “Value of SNSF-funded research”, p. 2f. [↑](#footnote-ref-2)
2. <http://www.si-drive.eu/>; accessed on 12 November 2020. [↑](#footnote-ref-3)
3. The European Innovation Survey, for example, which is aimed at companies, always asks about innovations in the last three years. [↑](#footnote-ref-4)
4. Businesses also create the ‘social wants’ themselves through clever marketing and advertising strategies. [↑](#footnote-ref-5)
5. The definition of Dees (1998) on the role, which a social entrepreneur plays as change agent in the social sector, is a good example for this individual-centred approach. In the agency work of Ashoka such commendable individuals are often in the centre of promotion too. [↑](#footnote-ref-6)
6. These preparations include: Stop word elimination, tokenisation, lemmatisation, and transformation into a term-document matrix. [↑](#footnote-ref-7)