

Case Selection in Social Services

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ITSSOIN

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Authors:	Marta Rey-García & Ana Felgueiras
Lead partner:	University of A Coruña (UDC) (WP leader)
Participating partners:	London School of Economics and Political Science (UK), Università Commerciale Luigi Bocconi (Italy), Stockholm School of Economics (Sweden)
Contact person:	Marta Rey-García Facultad de Economía y Empresa Universidad de A Coruña Campus de Elviña 15071 martarey@udc.es

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1. Introduction

This report presents the results and describes the conceptual rationale and methodology for identifying and selecting a specific social innovation (SI) stream within which case studies will be undertaken in Italy, Spain, Sweden and the UK as part of WP5 in the field of social services, as well as particular SI activities that best embody it and which represent the specifics we should look into when conducting the empirical work.

It builds on previous ITSSOIN project methodological steps and deliverables, namely the report justifying the selection of the four countries where case studies will be conducted (D2.4, Anheier, Krlev, Mildenerger, & Preuss, 2015) and the report including the description of the field in the four countries (D5.1, Rey-García & Felgueiras, 2015).

The object of interest of the social services field has been previously defined as *Innovation in social services: Filling the resources-needs gap for the most vulnerable citizens*. This object of interest acknowledges that there is a gap between the existing resources and the current needs for social services, in particular when it comes to what may be called *the last frontier of social services in Europe*. By last frontier of social services in Europe we refer to those social services needed by segments of population that are the most vulnerable for they depend on other people's care and/or on technical assistance in order to perform their basic daily-life activities (mainly dependent elders, dependent people with chronic illnesses, and/or people with inborn disabilities causing dependency).

The detailed country-field descriptions (D5.1) allowed the identification of (1) the field specific-factors shaping the social services, (2) the main innovation processes for dealing with the social services gap under a resource-based approach and (3) the main themes of the social innovations taking place. Furthermore, it allowed a first exploration of specific social innovation events or activities, key actors involved and the relationships between them. The social innovations taking place across the four countries have been classified into innovation categories; the overwhelming majority falling within three categories: *process innovations*, *marketing innovations* and *organizational innovations*, according to the classification proposed in the Oslo Manual (OECD/European Communities, 2005). That was the point of departure for the first round of an expert-consultation process oriented to identify field-specific SI streams and select an overarching social innovation theme across the four countries (See table 1 further below for a summary of the findings of D5.1, as well as of the first round of consultations).

A second round of expert-consultation was then initiated. It has served two purposes. On the one hand, it allowed the identification, exploratory characterization of SI activities within the different social innovation streams. On the other, their combined analysis and ranking has led to the final proposal of a specific, dominant SI stream and concrete examples of SI activities embodying it, which represents critical elements we should look into and represent critical elements to be included in the case studies in each country.

2. Method: Expert consultations

In order to justify the final case study proposal allowing cross-country comparisons, an iterative process (two rounds) of peer-review has taken place. The peer-review process involved project-partners researchers, and external national and international experts in the field. The final goal was to arrive to an information-rich, comparable case study proposal with a high degree of explanatory potential as regards *who* and *in which way* are different actors (and the third sector in particular) participating in social innovations for filling the resources-needs gap in social services for the most vulnerable citizens, under a resource-based approach.

2.1. First round: Identification and validation of SI streams

Building on the analysis of the social innovation themes emerging from the country-field descriptions, the WP5 Social Services leader has identified six streams in the field of social services to the most vulnerable across the four countries. In order to validate them and, should it be the case, propose additional ones, six international experts in the field were consulted (See Table 1. for a full list of the experts consulted).

Table 1. List of experts in the first consultation round

Experts consulted on the SI streams	
Edith Archambault	Emeritus Professor at University of Paris 1 Pantheon-Sorbonne, Vice-President of Association pour le Developpement des Données sur l'Economie sociale" (ADDES)
Emma Ghariani	Sciences Po Paris Consultant on social impact
Giulio Ecchia	University of Bologna Professor at Department of Economic Science
Luisa De Amicis	Euclid Network Director of Programmes and Deputy CEO
Stephen Bethmann	University of Basel, Centre for Philanthropy Studies PhD candidate (governance and social innovation)
Taco Brandsen	Professor at Department of Public Administration, Radboud University Nijmegen WILCO Project

Utilizing a participative workshop format, a synthesis of the field description was presented by the WP5-Social Services leader, together with the explanation of the six streams emerging from that description. Throughout a 1h30 face-to-face group discussion, which took place at the ESSEC Business School on July 8, 2015, the experts provided additional input on the streams preliminarily identified, proposed an additional stream and validated a final set of seven SI streams as those best embodying the innovations taking place in the social services in the four countries. These are:

1. Re-conceptualization of social problems;
2. Attraction of new actors & resources and capabilities to the field;
3. Integration of social services with other services in proximate fields (e.g.: work integration or health);

4. Customization of services to the particular needs of each dependent person;
5. Co-responsibility of citizens in configuring demand and supply (co-creation) of social services;
6. Cross-sector and citizen partnerships through informal and formal networks in the field; and
7. Participation of the beneficiaries/users/clients in the governance of the social services system.

Furthermore, both the findings from the field description and the first round of expert consultation elucidated that a **new governance of the social services system** has emerged across the four countries. By new governance of the social services system, we understand the new models of organizing the social services system and the processes of formulating and implementing public policies in the field of social services. It refers to shared goals that may or may not result of formally prescribed responsibilities of the different actors involved (Rosenau, 2000). In this context, the different actors involved (funders, providers, beneficiaries/users/clients) are to some extent forced to adjust their action and strategies in favour of shared purposes and joint action. Therefore, the new governance of the social services system emphasizes new models where policy-making and service provision are less hierarchical and rely more on de-centralized networks of interdependent, cooperative, and diverse actors from the different socioeconomic sectors (Hodges, 2005; Newman, 2004; Rhodes, 1997, 2007).

This new governance of the social services system constitutes the overarching SI theme around which social innovations revolve around in the four countries. It is a multidimensional phenomenon, mixing several of the seven SI streams and encompassing, in particular, the combination of new (i.e. 'new' to the country-field combination) ideas or concepts (well-being, subjective right to an independent life); actors (funders, providers, beneficiaries/users/clients and their families); resources (economic, cultural, relational and structural capital); forms of funding, provision and delivery (impact investing, crowdfunding, integration, customization, co-production); and models of relationship (cross-sector and inter-field competition and collaboration, beneficiary-participative, results-oriented, de-centralized, involving formal and informal civil society) (Rey-García, 2015).

Table 2. Summary of the main results of the field descriptions (D5.1) and the 1st expert-consultation round

Field specific-factors shaping the social services (D5.1)	Main innovation processes dealing with the social services gap under a resource-based approach (D5.1)	Main categories of innovations (D5.1)	Over-arching SI theme	SI sub-themes (D5.1)	SI streams (Expert consultation, 1 st round)
<p>Shrinking public resources for social service provision</p> <p>Perceptions of existing models as unsustainable</p> <p>More and new profiles of people in need for social care</p> <p>(expectations of) New models of service provision</p> <p>Increased institutionalization of social care driven by professionalization of care-givers, new regulations and institutionalization of third sector actors, in parallel to increased pressures on informal care networks, self-funding and self-care</p>	<p>(IT) New instruments for attracting financial and in-kind resources and for exchanging services</p> <p>(IT) New instruments for connecting supply and demand of social services</p> <p>(IT) Innovations in the relationship between the public and the third sector for social services delivery</p> <p>(IT) Emerging social impact measurement</p> <p>(IT) New financial instruments</p> <p>(ES) Emerging transparency, self-regulation, evaluation and certification initiatives</p> <p>(ES) New funding sources and procedures (e.g. online fundraising & volunteering, web</p> <p>(ES) Specialization</p> <p>(ES) A new model of care: From providing care to facilitating personal autonomy</p> <p>(SE) Use of volunteers in public social services</p> <p>(SE) Change of approach: the right to live 'a normal life'</p> <p>(SE) Freedom of choice of the type of services and of providers</p> <p>(UK) Innovations representing a shift in the models of care: Prevention and personalization (e.g. reablement, personal budgets, use of ICTs)</p> <p>(UK) Dementia strategy</p> <p>(UK) Social impact bonds (SIBs)</p>	<p>Process Innovations: new ways of generating, performing and measuring social services</p> <p>Marketing Innovations: new ways of managing stakeholder relationships</p> <p>Organizational Innovations: new organizational forms and institutional settings, new governance arrangements</p>	<p>New governance of the social services system</p>	<p>Attraction of new actors & resources to the field</p> <p>Integration of social services with proximate fields</p> <p>Customization of services</p> <p>Co-responsibility of citizens</p> <p>Cross-sector and citizen partnerships through informal and formal networks</p>	<p>(1) Re-conceptualization of social problems</p> <p>(2) Attraction of new actors & resources and capabilities to the field</p> <p>(3) Integration of social services with other services in proximate fields</p> <p>(4) Customization of services to the particular needs of each dependent person</p> <p>(5) Co-responsibility of citizens in configuring demand and supply (co-creation) of social services</p> <p>(6) Cross-sector and citizen partnerships through informal and formal networks in the field</p> <p>(7) Participation of the beneficiaries in the governance of the social services system</p>

2.2. Second round: Identification of SI activities

While the new governance of the social services system is the overarching social innovation theme among social innovations occurring in the four countries, there are country variations in the way it is being implemented as the field descriptions (D5.1) and the seven SI streams validated made clear. Therefore, a second round of expert consultation was undertaken at a country level in order to identify those SI activities that represent well-recognized ways in which the new governance of the social services system is being implemented in their respective institutional settings.

Project-partner researchers were asked for input to (1) identify in their respective countries three SI activities that best embody the implementation of the new governance of the social services system; (2) identify which of the SI streams validated in the first round of expert consultation are present in each SI activity, in order to assess their degree of innovativeness; and (3) characterize the SI activities, in terms of thirteen mapping criteria selected by the WP5-Social Services leader for an exploratory assessment of their explanatory potential and methodological feasibility. This methodological approach is further detailed in Rey-García (2015) (the full internal deliverable, which is included as Annex I to this Report) and synthesized in the next paragraphs.

Firstly, and in order to assess the degree of innovativeness of the SI activities partners had previously identified for their country, they were asked to assess the degree to which the seven SI streams are concurrently present in each of them. In a subsequent step, this exercise has also allowed to identify a specific SI stream that is information-rich and appears as dominant within the new governance of the social services system. For that purpose, we considered the frequency of SI activities and of countries in each of the seven SI streams.

Secondly, and in order to assess the explanatory potential of the SI activities (i.e. the extent to which the SI activity is wide-reaching in the context of the field, or has a tendency of dominance in or importance to the new governance of the social services system), project-partners were asked to characterize SI activities in their country according to a set of **thirteen mapping criteria** common to the four countries involved:

- | | |
|--|--|
| 1. Consistency with previous inputs | 10. Dynamics of implementation |
| 2. Consistency with the focus of our field | 11. Intensity of relationship with the informal level |
| 3. Evolutionary stage | 12. Feasibility of field work |
| 4. Geographic scope | 13. Theoretical-conceptual framework proposed to use in the in-depth case study in each country, complementary to the methods of strategic action field theory and process tracing |
| 5. Sectors involved | |
| 6. Type | |
| 7. Main effects | |
| 8. Main level of analysis | |
| 9. Main type of organizational resource involved | |

This mapping exercise allowed a first exploration of well-recognized and relevant activities, that can be traced down to the organizational level, taking place in each SI stream and reflecting the implementation of the new governance of the social services system in each country.

Thirdly, project-partner researchers' inputs 1 (identification of SI activities) and 3 (characterization of SI activities) were further validated through a second round of consultation with experts. Accordingly, experts selected by each project-partner with oversight for social services (and in the case of Spain, also social innovation) were consulted (See Table 3 for a full list of the experts consulted).

Table 3. List of experts for the second round of consultation

Italy	
Valentina Panizza	Administration Manager of Impact Hub Milan, social enterprise incubator. She has always worked in social cooperatives and in projects for developing social inclusion and social entrepreneurship.
Spain	
Javier Martín Cavanna	Executive director of Fundación Compromiso y Transparencia and editor of Compromiso Empresarial, and online magazine specialized in social innovation. His areas of expertise include good governance, transparency, corporate social responsibility, social innovation and social and collective impact. Mr. Martín Cavanna has an extensive knowledge of current social innovations in Spain, the contextual aspects surrounding them, the actors involved, as well as of the initiatives and challenges of the third, the business and the public sectors in the social field.
Jose Manuel Fresno	Director of Fresno, The right link, Fresno, a firm specialised in strategic consultancy for institutions and organisations involved in social policies, both at European and Spanish level, such as the European Commission, the Council of Europe, the Spanish Ministry in charge of Health, social policies and equality, regional and local authorities, and several NPOs active in the field of social services.
Vicente Marbán Gallego	Lecturer and researcher. University of Alcalá, Department of Economy. His national and international publications and research projects focus on social policies and welfare reforms, including the areas related to the third sector, social protection and social services, dependency and disability. Former deputy director of Revista Española del Tercer Sector, a leading national academic journal on the third sector. Prof. Marbán has a deep understanding of social services in Spanish and internationally.
Sweden	
Björn Jideus	A national expert on the Swedish system for help and support for people with functional impairment. Jideus is working with at KFO (The Co-operative Employers' Association) with labor relations and collective bargaining in the industry of personal assistance. Further he has a long experience of the industry since he was CEO for the first cooperative assistance company in Sweden even before the handicap reform and he has also started assistance companies in both Finland and Norway.
UK	
Don Brand	Experienced social care researcher and consultant in social work and social care. He is trustee of Joseph Rowntree Foundation, a leading third sector organisation in social care research. He works with the national social care bodies, user-led organisations, government departments and the devolved Administrations. He has worked on law reform, policy, implementation and workforce topics, including reviews of social work roles and tasks in England, Scotland and Northern Ireland, health and social care integration, and workforce development strategies to support new policies for children and adults. Following 20 years in Oxford and Kent Social Services Departments, Don was for 7 years Deputy Chief Inspector in the Department of Health's Social Services Inspectorate. Moving in 1996 to the former National Institute for Social Work (NISW), he was involved with setting up the four UK Social Care Councils, the Topss England National Training Organisation, and SCIE. He is Trustee of the Residential Forum, and a past Board member of NCH Action for Children; the older people's charity MHA Care Group; MCCH, providing housing and work services for people with mental health problems and learning disabilities; and the Maidstone Community Support Centre. Don was appointed MBE in 2005 for his services to social care.

In Spain and Sweden, experts were emailed the preliminary characterization and assessment made by the project-partner researcher for each of the three SI activities identified in their respective countries. They were interviewed afterwards either by telephone or face-to-face in order to provide their input and comments so that a final characterization could be made for the two countries.

In Italy one expert was asked to comment on two SI activities identified and preliminarily characterized by the project-partner researcher, and further to identify and characterize one additional SI activity.

In the UK, one expert was consulted by email. He was asked to answer a written questionnaire about one SI activity that he considered the most relevant and to characterize it according to the mapping criteria. The other two SI activities were identified and characterized by the UK project-partner based on its expertise in the area and further literature reviews.

To summarize, the final selection by the WP5-social services leader of the specific SI stream to be case studied was thus, made based on the overall, combined qualitative and quantitative assessment of the explanatory potential and the degree of innovativeness of the SI activities proposed by the project-partners' researchers and consulted with a series of experts in the field. Frequency of both SI activities and countries within each SI stream was further used to identify most dominant and information-rich streams, towards a final proposal for a specific stream to be case-studied.

3. Results: Identification, characterization and validation of social innovation activities

Building on the whole process described above, the **twelve SI activities** identified are briefly described by the respective project-partner researchers below. Whenever the exploratory characterization of the SI activities has made possible, examples are provided of key organizations that we are likely to encounter during the fieldwork. The tables have been edited by UDC for the sake of format- and vocabulary-homogeneity.

3.1. Social innovation activities in Italy

Welfare Italia [IT_1]. "Welfare Italia is a health center involved in health assistance and social care. Its mission includes the promotion of wellbeing and social inclusion. It was created by the cooperative world, developing through partnerships with banks and social cooperatives. Banks, trade unions, social cooperatives federation and SME organisations represent the funders and shareholders of the main organisations. Moreover a franchising model of development has been tested. Welfare Italia health care services at low cost."

Oltre Venture/Centro Medico Santagostino network of care centers [IT_2]. "Centro Medico Santagostino is a network of health/social services centres, whose mission is to combine high quality in service provision and low price, in order to be as more socially inclusive as possible. It was founded in 2009 by Oltre Venture, the first social venture capital company in Italy. It targets those vulnerable parts of the population, which have been excluded by private services due to their costs. Oltre Venture represents an example of new business models for supporting the government in providing services being created and funded. They differ from grant donations or public contracts and are developing for fostering social innovation in different communities."

Nurion, using ICTs [IT_3]. “NiuRion is a videogame platform meant to help in the neuromotor rehabilitation. It is a start up which was funded by Axa fellowship.”

3.2. Social innovation activities in Spain

Integrated and coordinated social services [ES_1]. This refers to the increased integrated, collaborative and coordinated action between on the one hand, the different social services the most vulnerable segments of the population are in need of and, on the other, between the different actors within the system (public, the private business and the third sector) and their different roles (providers, funders, beneficiaries/users/clients). This activity was initially labeled as a “cluster” under the hypothesis, emerging from previous deliverables, that geographic concentration would be relevant in the social services field given the prevalence of social innovation initiatives in specific regions (i.e. Basque Country). However, during the consultation with experts, the geographic concentration component that has traditionally characterized the concept of cluster was discarded, and instead emphasis was made upon integration and coordination, both at the organizational and product level. Examples listed in the field description of coordination initiatives between organizations from the three sectors in order to integrate social services and work integration in a customized approach to individuals in situations of vulnerability (e.g. Juntos por el Empleo, Caritas, Cruz Roja, Fundación Secretariado Gitano, large private business with their own foundations) were brought up again.

New corporate governance in social services organizations [ES_2]. Corporate governance is here understood as the “systems and processes concerned with ensuring the overall direction, control and accountability of an organization.” It “includes the framework of responsibilities, requirements, and accountabilities within which organizations operate, including regulatory, audit and reporting requirements, and relations with key stakeholders. (Cornforth, 2012). An example is the new governance being implemented at the Spanish Red Cross under the newly elected Chairman or in several initiatives by the main platform of social services organizations (the Plataforma de Organizaciones de Acción Social, POAS).

Donation- and volunteer-based crowdfunding through online platforms [ES_3]. Crowdfunding is here understood as “a collective effort of many individuals who network and pool their resources to support efforts initiated by other people or organizations. This is usually done via or with the help of the Internet. Individual projects and businesses are financed with small contributions from a large number of individuals, allowing innovators, entrepreneurs and business owners to utilise their social networks to raise capital” (De Buysere et al., 2012, p. 9). We refer, specifically, to crowdfunding through web-based platforms aimed at attracting both volunteers and monetary and in-kind donations towards social services for the most vulnerable segments of society, the most relevant example of which was identified already in the field description as Fundación Hazloposible.

3.3. Social innovation activities in Sweden

The use of volunteers in public organizations and services [SE_1]. “In the post-war period in Sweden social services and health care have been seen as public commitments that both should be carried out and financed by the state or municipality. There has always been a certain element of non-profit operators in these sectors and in recent decades new markets have been opened up to commercial operators. Public operations have nonetheless been seen as the normal and desirable. Public health care has traditionally always been operated by professional paid staff. In the wake of recent decades cost crisis, however, more and more public

organizations have been starting to use volunteers often justified both by reducing costs and by that volunteers can bring different qualities to the work.”

The right to live ‘a normal life’ [SE_2]. “The idea that disabled persons should have the same rights and possibilities to leading an independent life as other people. Your disability should not hinder you from taking full part in society. The main purpose of the disability reform was to ensure that all citizens should have the same possibilities to live a “normal” life. The introduction of personal assistance would give disabled persons possibilities to live independently in their own homes. The purpose was however wider than that. The disabled should also get possibilities to live a “full life” and take part in society. Interesting in a Swedish perspective is also that the reform was implemented as an entitlement law.”

Freedom to choose social service provider [SE_3]. “The individual’s freedom to choose which provider that should perform a publicly financed social service was an innovation when the handicap reform was launched. It might be argued that it was a logical consequence of the idea that the handicapped should live an autonomous life. The following decades it has been more and more common to be able to choose between different actors as in child care, schooling and health care.”

3.4. Social innovation activities in the United Kingdom

Dementia friends [UK_1]. The aim of dementia friends is to help creating dementia friendly communities. “While it’s very common, dementia is not very well understood. People often don’t ask for help because there’s still a stigma attached. Or they think - wrongly - that the symptoms are a normal part of ageing, and that nothing can be done. To get across the message that people with dementia can be helped, dementia friends are raising awareness and working with lots of different organisations to create dementia-friendly communities.” (UK Government, 2015). The initiative responds to economic pressures on government: “There are around 800,000 people with dementia in the UK, and the disease costs the economy £23 billion a year. By 2040, the number of people affected is expected to double - and the costs are likely to treble.” (UK Government, 2015)

Personal budgets [UK_2]. “Personal Budgets (PB) for social care” is an example of personalisation-related innovations, which “led to engaging users in the commissioning process with the key goal of empowering beneficiaries to exercise consumer sovereignty, together with cost reduction by using their expertise and self-interest in favour of cost-effectiveness.” “Users of DPs have more freedom to select not only a provider, but also the type, time and mode of care”.

Reablement [UK_3]. Reablement is a an example “of prevention-related innovations”, which “focusses on helping people to re-learn the skills necessary for daily living that have been lost through deterioration in health.” “The underlying assumption is that such services will promote individuals’ well-being, quality of life, health and autonomy, which in the long term will decrease the demand of high-cost services thus, lowering costs.”

4. Final selection of the specific SI stream for the case study and SI activities embodying it: criteria, rationale and proposal

The selection and final proposal on the specific SI stream to be studied in the field of social services under the overarching SI theme of the new governance of the social services system is

informed by the SI activities that have been identified by the project-partner researchers in consultation with experts in the field. Both the number of countries and of SI activities under each of the seven SI streams validated for the field during the first round of expert consultation. Table 4 displays the SI activities and countries identified under each SI stream.

Table 4. SI activities and countries within each SI stream

New governance of the social services system							
7 SI streams (1st expert consultation round)	(1) Re-conceptualization of social problems (6 activities, all countries)	(2) Attraction of new actors and resources & capabilities to the field (10 activities, all countries)	(3) Integration of social services with other services in proximate fields (6 activities, not Sweden)	(4) Customization of services to the particular needs of each dependent person (8 activities, all countries)	(5) Co-responsibility of citizens in configuring demand and supply (co-creation) of social services (6 activities, not Italy)	(6) Cross-sector and citizen partnerships through informal and formal networks in the field (9 activities, all countries)	(7) Participation of the beneficiaries in the governance of the social services system (5 activities, not Italy)
Examples of SI activities (2nd expert consultation round)	The right to live 'a normal life' (SE_2) Dementia friends (UK_1) Reablement (UK_3) Nurion, using ICTs (IT_3) Integrated & coordinated social services system (ES_1) New corporate governance in social services (ES_2)	The use of volunteers in public provision of social services (SE_1) Freedom to choose social service provider (SE_3) Dementia friends (UK_1) Reablement (UK_3) Welfare Italia (IT_1) Oltre Venture/Centro Medico Santagostino network (IT_2) Nurion, using ICTs (IT_3) Integrated & coordinated social services system (ES_1) New corporate governance in social services (ES_2) Donation- & volunteer-based crowdfunding through online platforms (ES_3)	Personal budgets (UK_2) Reablement (UK_3) Welfare Italia (IT_1) Oltre Venture/Centro Medico Santagostino network (IT_2) Nurion, using ICTs (IT_3) Integrated & coordinated social services system (ES_1)	The use of volunteers in public provision of social services (SE_1) The right to live 'a normal life' (SE_2) Freedom to choose social service provider (SE_3) Personal budgets (UK_2) Welfare Italia (IT_1) Oltre Venture/Centro Medico Santagostino network (IT_2) Nurion, using ICTs (IT_3) New corporate governance in social services (ES_2)	The use of volunteers in public provision of social services (SE_1) Freedom to choose social service provider (SE_3) Dementia friends (UK_1) Personal budgets (UK_2) Reablement (UK_3) Donation- & volunteer-based crowdfunding through online platforms (ES_3)	The use of volunteers in public provision of social services (SE_1) Freedom to choose social service provider (SE_3) Dementia friends (UK_1) Personal budgets (UK_2) Welfare Italia (IT_1) Oltre Venture/Centro Medico Santagostino network (IT_2) Integrated & coordinated social services system (ES_1) New corporate governance in social services (ES_2) Donation- & volunteer-based crowdfunding through online platforms (ES_3)	The right to live 'a normal life' (SE_2) Freedom to choose social service provider (SE_3) Dementia friends (UK_1) Personal budgets (UK_2) New corporate governance in social services (ES_2)

Three SI streams (SI number 3, 5 and 7) were discarded because well-recognized SI activities were not identified in all the four countries within those streams. Two streams (number 1 and 4) include activities in all countries but only 6 and 8 SI activities have been, respectively, identified. This left us with two SI streams that appear more relevant for the case study: SI stream numbers 2 and 6. Building on the combined analysis of the field descriptions in D5.1 and the explanatory potential and degree of innovativeness of the SI activities included in those two streams, we select SI stream number 6, Cross-sector and citizen partnerships through informal and formal networks in the field, as the dominant SI stream to be case-studied in the four countries, under the overarching theme that is the new governance of the social services. It has a high number of SI activities (9 SI activities) and in all countries, as well as a balanced number of activities per country (at least two in each country could be identified).

Specifically, we will study **cross-sector partnerships to create new (combinations of) organizational resources & capabilities for the provision of social services to dependent persons, with special attention to processes of beneficiary empowerment.**

Partnerships refer to different forms of collaboration between the actors involved in the social services system. The new governance of the social services system that has emerged across the four countries includes the development of more and new models of collaboration between public, private business and/or third sector actors (including traditional foundations and associations as well as social economy entities such as cooperatives, social enterprises and hybrid organizations) because none of the actors alone have adequate resources & capabilities to satisfy the current demand for social services. Such collaborations, which degree of formalization varies, allow to distribute responsibilities among the different actors participating in the social services system (funders, providers, users) and combine their distinctive resources & capabilities, bridging supply and demand and trying to fill in the resource-needs gap in the provision of social services to dependent persons. Furthermore, cross-sector partnerships generate a new set of relationships that facilitate the creation of social (relational) capital in the field of social services.

Project-partner researchers and the expert consulted in the four countries have indicated 9 well-recognized SI activities within the selected SI stream. Those SI activities constitute an indication of the specifics we should look into in each country and we have compared them. Cross-country comparison of the SI activities was facilitated by the use of a common set of mapping criteria to characterize them, combined with their degree of innovativeness.

The degree of innovativeness of the SI activities is assessed on a quantitative basis relative to the number of SI streams that are concurrently present in a same activity: 'Low': 1 or 2 streams; 'Medium', 3 to 5 streams, and 'High', 6 or 7 streams.

The explanatory potential is assessed by a combined quantitative and qualitative analysis of the mapping criteria. Some of the mapping criteria have been considered for descriptive purposes only, while others (namely numbers 3, 4, 5, 7, 8) were used as the basis for considering the compliance with three requirements the WP 5-social services leader gave particular relevance to in order to classify the explanatory potential of the SI activities as Low, Medium or High. Conforming to the shared internal case study framework adopted by the ITSSOIN project (See UHEI, 2015), the three requirements are:

1. The social innovation takes place mainly at an organizational or meso level. The focus on organizational actors is better suited to provide answers to the ITSSOIN hypothesis and answer the question: “How did this system emerge, who has it transformed, who were the driving forces and who was blocking its unfolding?” (p. 24). Mapping criteria number 8-Main level of analysis and number 5-Sectors involved and actors, were the basis for the assessment of this requirement.

2. WP5-social services leader also took into account that the limits of the activities can be clearly established as object of analysis (e.g. focusing field work at a local or municipality level), but at the same time they are representative enough of the new governance in the social services system emerging from the previous field description, and encompassing the following dimensions: new ideas or concepts (well-being, subjective right to an independent life) that have been implemented; new actors (funders, providers, beneficiaries/users/clients); new resources (economic, cultural, relational and structural capital); new forms of funding, provision and delivery (impact investing, crowdfunding, integration, customization, co-production); and new relationship models (cross-sector and inter-field competition and collaboration, beneficiary-participative, results-oriented, de-centralized, involving formal and informal civil society) (Rey-García, 2015). Mapping criteria number 2-Consistency with the focus of our field; number 4-Geographic scope; and number 7-Main effects of the SI, were the basis for the assessment of this requirement.

3. Finally, WP5-social services leader took into consideration the evolutionary stage of the activities in order to avoid that the social innovation is so emergent that actor involvement and the chance of finding different actors is not ruled out from the beginning. Criterion number 3-Evolutionary stage, was the basis for the assessment of this requirement.

Table 5. Correspondence for assessing compliance of SI activities with the three requirements

Requirement	Mapping criteria	LOW	MEDIUM	HIGH
REQ 1. Organizational or meso level	5. Sectors involved and examples of actors	Sectors can be identified	Types of actors can be identified	Specific organizations can be identified
	8. Main level of analysis	Only macro or micro	More than one level and including meso	Mainly meso level
REQ 2. Delimitation & representativeness	2. Consistency with field focus	Low	Medium	High
	4. Geographic scope	Only national	Only regional	Can be traced down to the local level
	7. Main effects	Definition of problem or of solution		Other
REQ 3. Evolutionary stage	3. Evolutionary stage	Emergent		Scaling up Institutionalized

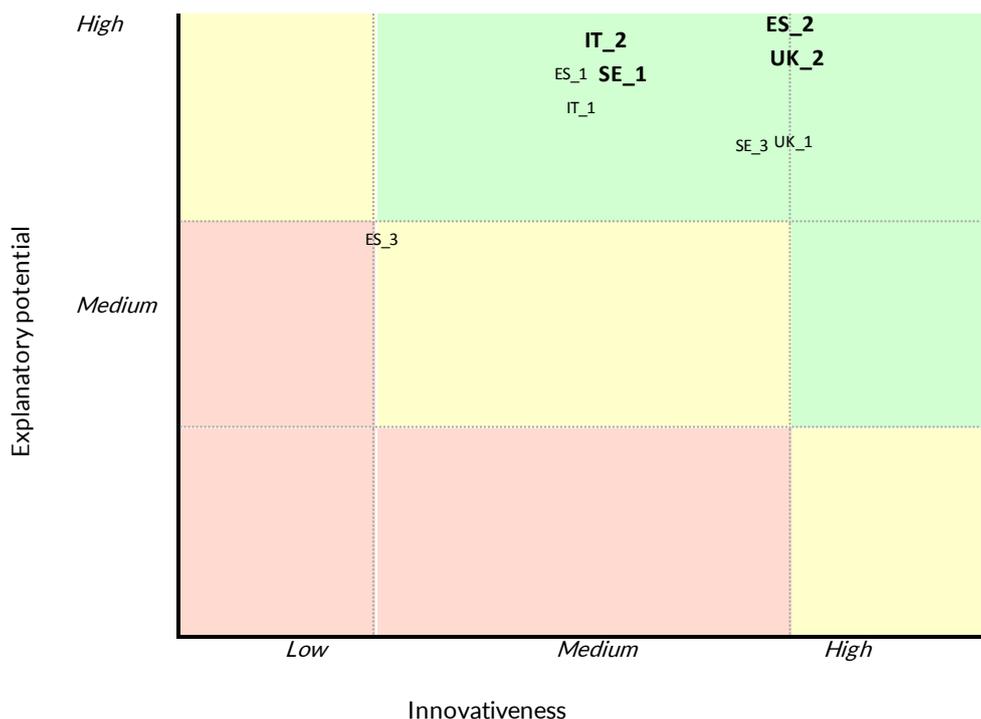
Finally, and in order to allow us to better compare the SI activities, we have ranked them, using the following correspondence: Low = 0 points, Medium = 1 point, High = 2 points. The result of this exercise is shown in table 6.

Table 6. Final assessment of the 9 SI activities identified within the dominant SI stream

SI Activity \ mapping criteria N°	REQ1			REQ2				REQ 3	AVERAGE OF THE THREE REQUIREMENTS
	8	5	average	2	4	7	average	3	
IT_1	2	2	2.0	0	0	2	0.7	2	1.6
IT_2	2	2	2.0	1	2	2	1.7	2	1.9
ES_1	2	2	2.0	1	2	0	1.0	2	1.7
ES_2	2	2	2.0	2	2	2	2.0	2	2.0
ES_3	0	2	1.0	1	2	2	1.7	0	0.9
SE_1	2	1	1.5	2	1	2	1.7	2	1.7
SE_3	2	1	1.5	0	0	2	0.7	2	1.4
UK_1	1	2	1.5	1	1	2	1.3	2	1.6
UK_2	1	2	1.5	2	2	2	2.0	2	1.8

Summarizing, building on the mapping exercise across the shared criteria and the previous three requirements and taking into consideration insights from field description and external expert inputs, the WP5-social services leader proposes a ranking of the different activities as regards their potential to illustrate the SI stream (cross-sector partnerships to capture and create new (combinations of) organizational resources & capabilities) for the provision of social services to the dependent persons under the overarching social innovation trend (new governance of the social services system), within the object of interest and conceptual framework (filling the resources-needs gap) and the focus (dependent people) chosen for the field. This is displayed in a matrix under Figure 1 below.

Figure 1. Combined explanatory potential and innovativeness of the SI activities in the dominant SI stream



The matrix helps to visualize how the different activities compare among themselves and which SI activity is best positioned in each country. It suggests some SI activities that constitute the specifics we should look into during the empirical work at country level, as best embodying the SI stream to be case studied in Italy, Spain, Sweden and the UK in the next step of the ITSSOIN project.

In Italy, cross-sector partnerships bridging funders and providers have appeared during the last few years. In order to develop organisations financed by social venture capital (such as health care organisations), social impact investment organizations, such as Oltre Venture (the first impact investing fund created in Italy), have established collaborations with the public (municipalities, for example) and the third sector (for example, local associations, social businesses), which link organizations funding (which include private businesses, foundations and individuals) and providing social services. In such a context, it constitutes an innovative form of cross-sector partnership that we should look into in the case study in Italy, including the network of health and social services centres belonging to “Centro Medico Santagostino”, also appearing in the consultation process.

In Spain we can observe that the recent opening up of field of the social services to dependent persons to new actors (for example private businesses, hybrid organizations, social enterprises, user-led organizations and user networks) has given rise to new cross-sector partnerships (between public administrations, businesses, third sector organizations and informal networks adopting multiple roles as funders, providers, and users), ultimately resulting in processes of beneficiary empowerment and significant changes in the corporate governance of the organizations involved. Among the examples that have appeared in the 2nd expert-consultation we can find cross-sector partnerships involving the Spanish Red Cross (currently implementing a new corporate governance model) and several initiatives of the national platform of social action organizations (POAS), which are facilitating beneficiary empowerment in social services.

In Sweden, where a generous, publicly funded social services system leaves only a small resource-needs gap in the field of social services to dependent persons. However, in recent years a number of local authorities are initiating cross-sector partnerships (with third sector organizations and/or volunteers directly) to attract volunteer caregivers within public social services. During the 2nd expert-consultation, this recent phenomenon has been identified as a significant innovation in the field. It constitutes a new relationship between the public and the third sector, including the volunteers themselves, under the rationale that it can help reducing costs whilst pooling new capabilities into social services. Therefore, it is considered a relevant and innovative manifestation of cross-sector partnerships to create new (combinations of) organizational resources & capabilities for the provision of social services to dependent persons.

In the UK, two SI activities have been identified in the 2nd expert-consultation within the SI stream. Although they rank similarly in the matrix when applying the three requirements mentioned above, Personal Budgets (PBs) was the most significant SI activity pointed out by expert in the UK. The implementation of PBs entails diverse types of cross-sector partnerships between the government, local authorities and a wide range of service providers (delivering social services, managing PBs on behalf of users, offering brokerage, information and advice services, etc.) and/or users and user-led organizations of social services. In the case of third party-managed PBs, for example, a private organization acting as social services and support

provider or broker engages in a relationship with a public organization (local authority) who transfers the funds, with the PBs holder who is the user of the services, and often also with a for-profit or non-profit provider from which it buys the social services agreed with the PBs holder. Cross-sector collaborations generated around the implementation of PBs is considered to make a critical element to be included in the case study in the UK.

5. References and further readings

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6. Annex 1

Case for case selection - Social Services -

Guidelines for the elaboration and partners input to
deliverable 5.2 of the project:
“Impact of the **Third Sector as Social Innovation**” (ITSSOIN),
European Commission – 7th Framework Programme

16 September 2015

Marta Rey-García
University of A Coruña, UDC



CASE FOR CASE SELECTION – SOCIAL SERVICES

In order to structure informal case selection and to finalize the “case for case selection” before this month of September ends -according to the *Case Selection Guide* and updated calendar provided by UHEI in July 27-, we must be prepared to make the case for the **selection of SI episodes** across the four countries involved. These episodes, once selected, would be the object of our in-depth case studies. UHEI suggests that an iterative process of peer-review, both internal and external, is led by WP (co)leaders in order to reach that goal.

In order to complete the internal stage, I would like to kindly ask for your inputs for the informal stage of selection of cases **across the seven innovation streams already validated for the field of Social Services, with the valuable inputs of external experts attending our Workshop at the Mid-term Conference at ESSEC:**

1. Re-conceptualization of social problems
2. Attraction of new actors & resources to the field
3. Integration of social services with other services in proximate fields
4. Customization of services
5. Co-responsibility of citizens in configuring demand and supply (co-creation) of social services
6. Cross-sector and citizen partnerships through informal and formal networks
7. Participation of beneficiaries in the governance of the social services system

Further details on the rationale behind the identification of these social innovation streams can be found in both our field description for Social Services, in my “Report on Empirical Work” presented during the Mid-term Conference (powerpoint already circulated by UHEI), and in the Paris Meeting minutes. Additionally, I hereby wish to emphasize that the feedback received from experts participating in the Social Services Workshop held on July 8th included suggestions to focus on practice beyond innovative conceptualizations (no true SI without implementation), to explicitly mention co-creation, to understand innovation at a local level as stepping stone for broader case work, or to add the seventh stream relative to participation of beneficiaries in governance.

What is new in the social services field under our focus on the most vulnerable segments of population? The Workshop we held with experts in Paris was really useful to explicit what was already implicit in our field description in response to this question, i.e. that the **social innovation in recent years in the field of social services is a multidimensional phenomenon**. The true SI in the field consists of a **new social services system**, consisting of the **combination** of new (“new” to the country-field combination) ideas or concepts (well-being, subjective right to an independent life), actors (funders, providers, customers), resources (economic, cultural, relational and structural capital), forms of funding, provision and delivery (impact investing, crowdfunding, integration, customization, co-production), and governance models (cross-sector and inter-field competition and collaboration, beneficiary-participative, results-oriented, de-centralized, involving formal and informal civil society).

The case selection process is aimed towards identification of “a justified case with a high degree of explanatory potential as regards our research question, which is who and in which way are these actors participating to the emergence of the social innovation case” in the field of social services (UHEI). In particular, the goal is to understand how the third sector is actually

creating value in that context compared to other actors, and in order to unveil the conditions for its capacity to impact society in terms of social innovation.

Under this perspective, the feedback we need from WP partners consists of selecting **three specific social innovation episodes** for each of your respective countries and characterizing them according to the following **mapping criteria**, with a double goal in mind:

1. Goal 1: To assess explanatory potential of the SI episodes to be case-studied

In order to make sure that the social innovation that is finally selected is wide-reaching in the context of our field, or has a tendency of dominance in or importance to social services, I ask you that you **characterize the three social innovation episodes** you have selected for your country across the following **mapping criteria**:

1. **Consistency with your previous inputs** for deliverables D 2.4 and D 4-7.1 It is important that the outcomes of your previous research are duly reflected in the SI episodes to be case-studied in the four countries involved in our field; as its implications are to be compared also across fields in future deliverables. 1) high, 2) medium, 3) low.
2. **Consistency with the focus of our field** on “Filling the resources-needs gap for the most vulnerable citizens”, i.e. segments of population that are the most vulnerable as they depend on other people’s care and/or technical assistance in order to perform their basic daily life activities. Some social innovation episodes might focus on broader population segments in need. 1) high, 2) medium, 3) low. If low, who else is the target beneficiary of the social innovation episode?
3. **Evolutionary stage** of the social innovation episode. 1) emergent, 2) scaling up or 3) institutionalized.
4. **Geographic scope** of the social innovation episode. 1) national, 2) regional, 3) local.
5. **Sectors involved**. 1) Third sector, 2) Private business, 3) Public. Please briefly name most relevant actor in each of the sectors involved. Please include within the third sector not only traditional foundations and associations but also other social economy entities such as cooperatives, social enterprises and hybrid organizations with a social aim.
6. **Type** of social innovation: 1) product innovation, 2) process innovation, 3) marketing innovation, 4) organizational innovation. Please refer to D5.1 Part I for details on the classification.
7. **Main effects** of the social innovation episode. 1) definition of problem, 2) definition of solution, 3) implementation of solution, 4) measurement and evaluation of solution, 5) accountability of solution.
8. **Main level of analysis** of the social innovation episode (regardless of the need for a multilevel approach). 1) micro (citizen), 2) meso (organization), 3) macro (regulation & policy)
9. **Main type of organizational resource** involved in the social innovation episode. 1) economic capital, 2) human capital, 3) cultural capital, 4) relational capital, 5) structural capital. Please refer to D5.1 Part I for details on the classification.
10. **Dynamics of implementation** of the social innovation episode. 1) top down, 2) bottom up, 3) horizontal.

11. **Intensity of relationship with the informal level** of the social innovation episode (social movements, citizens' groups, new technologies, grass roots, activism). 1) high, 2) medium, 3) low.
12. **Feasibility of field work**. 1) high, 2) medium, 3) low.
13. **Theoretical-conceptual framework you propose to use in your in-depth case study**.

Please use a simple table in order to assess each of the criteria for each of the three SI episodes in your country, and according to the aforementioned classifications/scales:

Mapping criteria	SI episode 1	SI episode 2	SI episode 3
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			

2. Goal 2: To assess innovativeness of the SI episodes

The second goal is to rank the three episodes according to their degree of innovativeness, defined as degree to which the seven streams are concurrently present in the same social innovation episode you propose, i.e.: 1) Re-conceptualization of social problems; 2) Attraction of new actors & resources to the field; 3) Integration of social services with other services in proximate fields; 4) Customization of services; 5) Co-responsibility of citizens in configuring demand and supply (co-creation) of social services; 6) Cross-sector and citizen partnerships through informal and formal networks; 7) Participation of beneficiaries in the governance of the social services system.

For example, if one social innovation were “new governance systems for independent living” we would be probably combining streams 1, 2, 5, 6 and 7 (and even other fields such as health or work integration); if another social innovation were “donation and volunteer-based crowdfunding through digital platforms” we would be mixing analysis across streams 2, 4, 5 and 6... On the opposite side, it might turn out at the end of the project that the specific factors that had to be present or absent to enable the social innovation in question might be missing in a certain country. The focus at this point is therefore not only on commonalities among the social innovations pre-selected per country, but also on differences emerging across countries, following experts' advice.

Please use a simple table in order to tick [✓] the involved streams for each of the three SI episodes in your country:

SI streams	SI episode 1	SI episode 2	SI episode 3
1			
2			
3			
4			
5			
6			
7			

I am confident this mapping and ranking exercise across shared criteria will allow us to produce a **matrix combining high explanatory potential and degree of innovativeness for the country cases selected to study the new social services system**. The matrix will help selecting cases that are not only representative of the new social services system that has been identified as SI in the field, but also comparable across countries; so that a consistent proposal on case selection can be put forward to the advisory committee and other peer-reviewers.

We kindly request the mapping of the three social innovations per country across the aforementioned criteria is sent to Ana Felgueiras at UDC (ana.felgueiras@udc.es) before September 23.