BRIDGING THE GAP BETWEEN POLICY, PRACTICE, AND ACADEMIA:

Unleashing Social Innovation and Entrepreneurship for Societal Benefit

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NJ SOCIAL INNOVATION INSTITUTE

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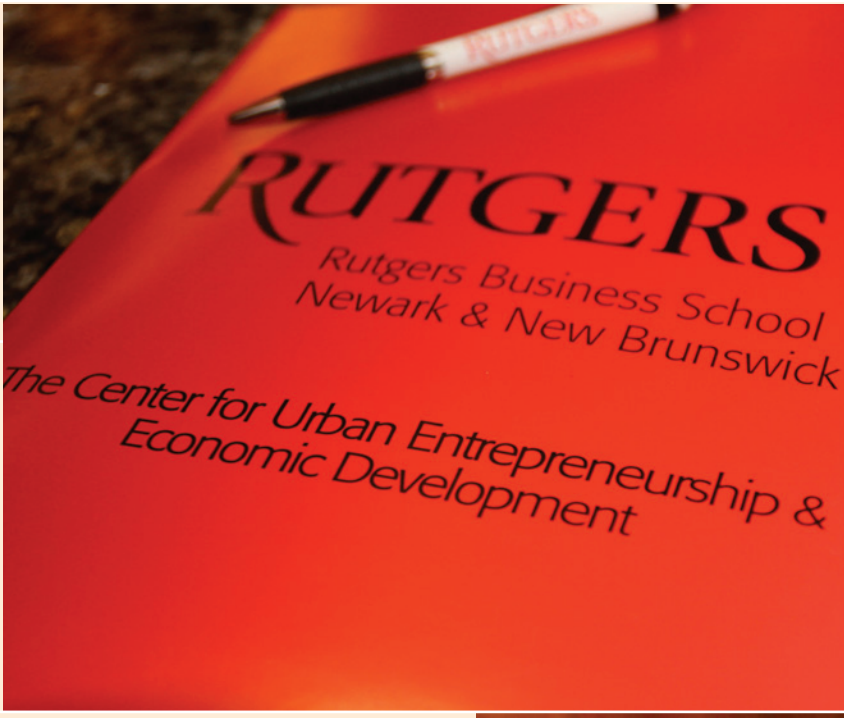

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Executive **Summary**

Social problem solving is an important human activity. Social entrepreneurship and the development of effective social policy are two approaches to conducting this activity (Mintrom & Norman, 2009; Robinson, Mair, & Hockerts, 2009; Short, Moss, & Lumpkin, 2009; Zahra, Rawhouser, Bhawe, Neubaum, & Hayton, 2008). These acts of policy and new venture creation are acts of social innovation that benefit society.

Surprisingly little is known about the process of social innovation in terms of what practices support the transfer of knowledge from the social, behavioral, and economic (SBE) sciences (likely sources of new knowledge) into new social policy and the formation of new social ventures. While there is an extensive literature on technology transfer between the physical sciences and engineering and the private sector (Carlile, 2004; Dougherty & Dunne, 2011; Henderson & Cockburn, 1996; Owen-Smith & Powell, 2004; Powell, Koput, & Smith-Doer, 1996), there is virtually no research on the mechanisms and practices that facilitate this in SBE sciences.

In this proposal, the organizers obtained sponsorship for a two-day workshop that explored the intersection of the social, behavioral, and economic sciences and social policy and entrepreneurship. The goal was to develop a research agenda in this area and establish collaborative arrangements to build bridges between knowledge creators and practitioners.

Intellectual Merit

Drawing on the work of Carlile (2004) and Dougherty (2004), the workshop explored social innovation processes where the social innovation stems from the application of actionable knowledge from diverse sources to solve societal problems. Carlile's (2004) work introduced the framework of "transfer, translate, transform" as descriptions of how knowledge is moved across boundaries. *Transfer* describes moving knowledge, ideas, and inventions across boundaries that share a common language and perhaps regularly share knowledge with one another. *Translate* describes moving this knowledge across semantic boundaries that require interpretation of this knowledge along the way. In this version, the actors have to negotiate the meaning of words and objects and develop a shared understanding of these words and objects. *Transform* describes moving knowledge across pragmatic or policy boundaries where actors negotiate around their interests to find common ground and useful knowledge. Innovation can be the result of any of these processes and can be used by policy and social entrepreneurs to solve social problems in society.

Knowledge transformation, the most challenging mode of turning basic knowledge into actionable knowledge, involves complex ecologies of actors and institutions (Dougherty & Dunne, 2011). Scholars such as Lyons (2009) and Mintrom (1997, 2000) have acknowledged the challenge of transforming knowledge from SBE into social and policy entrepreneurship, but there is little known about how and under what conditions these transformations take place. The answers to these questions

contribute to the field of organization studies and research areas of social policy and entrepreneurship.

Broader Impact

The organizing committee agreed to facilitate four sets of outcomes during and after the sponsored workshop.

Outcome #1 - Workshop Report and Summary – The organizers committed to preparing a workshop report for the NSF and to produce a high-quality summary of the insights and findings from the convening.

Outcome #2- Conceptual Paper – The organizers anticipated having at least one conceptual paper presented at the conference that would organize what has been written already on the process of innovation from the perspective of knowledge transfer, translation, and transformation and demonstrates what is and is not useful for social innovation.

Outcome #3 - Research Collaborations – The organizers expect to forge several research collaborations as a result of this workshop.

Outcome #4 - Pilot Projects or Initiatives – The organizers anticipated at least three (3) pilot projects or initiatives to be seeded during this workshop.

By completing these outcomes, the organizers extended their impact beyond the university community by inviting those from outside of it to join them for the workshop. These insights will be taken beyond the academic audience by developing projects based upon the insights obtained at the workshop. The outcomes described in this proposal can impact the classroom by documenting useful techniques for encouraging social innovative policy and entrepreneurship from our students. Additionally, the research projects developed during and after this workshop will begin to shed light on the condition under which engagement between SBE scholars, policy makers, and practitioners lead to innovative social policy and social entrepreneurship.

The Organizing Committee

The organizing committee was multi-disciplinary, cross-sector, and involved four universities.

Jeffrey Robinson Assistant Professor and Senior Fellow Rutgers Business School and CUEED	CHAIR
Deborah Dougherty Professor Rutgers Business School	CO-PI and CO-CHAIR (Social Innovation)
Jill Kickul Director of Satter Program & Professor NYU Stern School of Business	CO-CHAIR (Teaching)
Andrew Germak Executive Director Rutgers School of Social Work - Institute for Families	CO-CHAIR (Policy and Practice)
Edward LaPorte Executive Director Office of Faith Based Initiatives, New Jersey Department of State	CO-CHAIR (Policy and Practice)
Thomas Lyons Professor and Field Chair Zicklin School of Business - Baruch College-CUNY	CO-CHAIR (Teaching)
Laquita Blockson Associate Professor and Director St. Leo University	CO-CHAIR (Insights)

Overview of the Workshop

On August 27-28, 2013, more than 50 participants met at Rutgers Business School in Newark, New Jersey.

Invitees

Invitees for this workshop represented a cross-section of professionals and students across a variety of interest areas.

Location

The location of the workshop was the Rutgers Business School in Newark, New Jersey.

Schedule

The schedule for the workshop was as follows:

DAY ONE – Tuesday, August 27

1:00 p.m.	Welcome and Opening Session
2:30 p.m.	**Session #1:** The Intersection of Government/Policy & Social Innovation; Case Studies with Commentary by Public Officials Facilitated by Andrew Germak & Edward LaPorte **Panelists:** **Kristin Misner,** Chief of Staff to the Deputy Mayor for Health and Human Services, NYC Mayor's Office **Jim Parsons,** Program Director, Vera Institute of Justice
3:45 p.m.	Break
4:15 p.m.	**Session #2:** Teaching/Training Social Innovation & Entrepreneurship Facilitated by Jill Kickul and Thomas Lyons
6:00 p.m.	Networking Reception
7:00 p.m.	**Collaboration Dinner & Keynote Speaker** Michael Smith, Director, Social Innovation Fund Corporation for National and Community Service Presentation of Certificates to the NJ Social Innovation Fellows

DAY TWO – Wednesday, August 28

9:00 a.m.	Reflections on Day 1 **Session #3:** Lessons from Technology Transfer and Innovation Management Presented by Deborah Dougherty
10:15 a.m.	**Session #4:** Developing Insights for Social Policy and Entrepreneurship Facilitated by Jeffrey Robinson
11:15 a.m.	Break
11:30 a.m.	**Session #5:** Insights on Collaboration Facilitated by Laquita Blockson Developing Collaborative Research and Pilot Projects Facilitated by Jeffrey Robinson
12:30 p.m.	Working Lunch and Collaboration Session
2:00 p.m.	Coffee & Snack Break
3:30 p.m.	**Closing Session:** Report out collaborations/projects
5:30 p.m.	Closing Remarks and Next Steps

Summary of Presentations and Panels

Session 1: The Intersection of Government/Policy & Social Innovation; Case Studies with Commentary by Public Officials

Moderator

Andrew Germak, Executive Director, Institute for Families, Rutgers School of Social Work

Presenters

Edward LaPorte, Executive Director, Office of Faith Based Initiatives, State of New Jersey

Jim Parsons, Program Director, Vera Institute of Justice

Kristin Misner, Chief of Staff to the Deputy Mayor for Health and Human Services, NYC Mayor's Office

Gary Minkoff, Mayor, Highland Park, New Jersey

Bill Moen, Legislative Aide to New Jersey Assemblyman (5th District) Angel Fuentes

Governments and charities lack sufficient capital as well as all the skill sets required to solve New Jersey's enduring social challenges such as homelessness, crime, or prison recidivism. At the same time, many best practices have emerged that could be brought to scale with sufficient capital.

The impact investment sector is emerging as a potential answer to these challenges. By leveraging private sector capital, impact investments can provide solutions that government contracts or philanthropic strategies alone cannot. Investors in impact investment funds might include foundations, corporations, institutional investors, or high-net-worth individuals, all of whom invest in a wide range of asset classes.

The rise of Social Impact Bonds

Social Impact Bonds (SIBs) are a promising new approach to the financing of social services programs within the impact investment field. Currently, government funding produces under-performance and insufficient innovation. SIBs have the potential to improve desired social outcomes at reduced taxpayer expense, transfer performance risk from government to investors, and reward high-performing nonprofits with long-term capital to scale proven innovations.

SIBs raise private investment capital to fund prevention and early intervention programs that reduce the need for expensive crisis interventions and safety net services. The government repays investors only if the intervention improves social outcomes, such as reducing the costs associated with chronic homelessness or the number of repeat offenders in the criminal justice system. If improved outcomes are not reached, the government is not required to repay the investor, thus transferring the risk of funding prevention services to the private sector and ensuring accountability for taxpayer money.

Private investors provide upfront capital and assume 100 percent of the risk. SIBs share features of debt and equity. A SIB has a fixed term between five and ten years. Like equity, returns vary based on performance. Compared to a typical debt model, investors bear a higher risk of losing their entire principal.

Finding the right nonprofit partners

The best candidate for SIB funding are nonprofits with strong track records of improving outcomes for a well-defined target population. These outcomes can translate into rapid government savings large enough to cover the program's cost and a reasonable return to investors.

A SIB requires a major upfront effort to identify and vet potential programs and then negotiate a contract in which the government agrees to repay investors if the selected nonprofit service providers achieve specified social outcomes and cost savings. Programs should meet the following criteria to be considered for a SIB:

- Sufficiently high net benefits
- Measurable outcomes
- Well-defined treatment population
- Credible impact assessment
- Unsuccessful performance must not result in excessive harm

After a contract is secured, SIBs operate as follows:[1]

1. An intermediary raises capital from the social investment market.

[1] Adapted from Jeffry B. Liebman, "Social Impact Bonds," Center for American Progress (February 2011)

Governments and charities lack sufficient capital as well as all the skill sets required to solve New Jersey's enduring social challenges such as homelessness, crime, or prison recidivism.

Social Impact Bonds (SIBs) raise private investment capital to fund prevention and early intervention programs that reduce the need for expensive crisis interventions and safety net services.

2. The intermediary sub-contracts to nonprofit service providers, which use the funds as working capital to scale evidence-based prevention programs. The intermediary coordinates all SIB partners, provides operating oversight, directs cash flows, and monitors investment throughout the project.
3. An independent evaluator determines whether target outcomes have been achieved according to the terms of the contract. If so, the government pays the intermediary a percentage of its savings and retains the rest. Investors are repaid their principal and rate of return structured on a sliding scale: the better the outcomes, the higher the return, up to an agreed-upon cap. If outcomes are not achieved, the government owes nothing and the investors do not receive a return on their investment.

SIBs help government agencies and social service providers focus on achieving program objectives and improving performance in a way that is transparent to taxpayers. Programs

that fail to achieve results would not continue to receive funding. Government agencies that have continued to fund the same projects they have funded in the past would have an incentive to invest in promising new strategies, including preventive services.

Key players and their roles

Due to the social issues that SIBs address, the number of partners involved, and the length of the projects funded, contractual agreements must support the interests of all involved. Key players (nonprofits, investors, government, intermediaries, and evaluators) must agree on the design and implementation of the SIB and carry that design from start to finish.

Nonprofits

The ideal nonprofits for SIB funding are organizations whose programs have been shown to be effective. Investors will only participate if they have confidence in the nonprofits' ability to deliver agreed-upon outcomes that translate into government savings. Programs must serve a well-defined treatment population that can be tracked and outcomes measured against a test group.

Investors

Investors assure market discipline in the partnership, helping to drive efficiency by requiring that return be determined through a clear measurement process. They must have sufficient information to price the risk they are taking. In order to commit their capital, investors need detailed reports in which risks as well as financial and social returns are properly articulated and managed. SIBS can be structured to attract investors with a wide range of risk tolerances, including foundations and the charitable trusts of high net worth individuals and institutional investors.

Government

SIBs require government champions committed to effective preventive interventions and collaboration with nonprofits. SIBs should have bipartisan support as they shift financial risk to private investors, establish and impose market discipline, and encourage cross sector collaboration. Legislation may have to be passed to allow for the multi-year financing needed to support SIBs.

Intermediaries

Intermediaries play a vital role in developing and launching SIBs, as well as in managing the ongoing public/private/nonprofit partnership over the life of the SIB. Intermediaries can address any stumbling blocks to help ensure a successful program implementation.

Evaluators

SIBs require two types of evaluation: ongoing feedback on interim performance (strategic) as well as an audit of whether pre-defined outcomes have been achieved (summative). A quasi-experimental evaluation design is needed, including a robust data collection system to track program participants and outcomes over time.

Session 2: Teaching/Training Social Innovation & Entrepreneurship

Presenters

Jill Kickul, Director of Satter Program and Professor, NYU Stern School of Business

Thomas Lyons, Professor and Field Chair, Zicklin School of Business, Baruch College-CUNY

In this session, two leading social entrepreneurship educators presented highlights from their own courses as the basis of a discussion of education issues in social innovation and entrepreneurship.

NYU Stern Social Entrepreneurship Program

Dr. Kickul described the approach used at NYU as a blended value approach. She defined this approach as drawing on both the social benefits and the economic efficiency to create or evaluate the value for society. At NYU Stern School of Business, there is now an undergraduate program in social innovation and entrepreneurship and an MBA specialization in social innovation and impact. Sixty percent of the classes are taught by practitioners.

Four years ago, a new course was developed called International Social Impact Strategies that leverages the partnerships and connections to introduce students with new models and approaches to social problems. Students have traveled to India, Columbia, and Brazil to explore social entrepreneurial solutions to social problems.

To build social innovation and entrepreneurship courses, Kickul encourages educators to be mindful of three areas:

- Multidisciplinary – Social entrepreneurship is a multidisciplinary field. Therefore, the social course work should be influenced by multiple areas drawing on the theories and approaches from across the campus.
- Role of Situated Learning – Getting outside of the building and learning directly from the stakeholders and from the community.
- Assessment of Learning – We must figure out good ways to assess the learning outputs, the social innovation, and how we influence the community of practice for social entrepreneurship.

Baruch College Zicklin School of Business Entrepreneurship Program

At Baruch College, Dr. Lyons teaches the social entrepreneurship course to students from around the campus. He uses a three-step model to teach students how to create new social ventures:

1. Conceptualization
2. Stimulation
3. Incubation

In the Conceptualization phase, the students are given the opportunity to be both creative and innovative. They are given tools to assess the social venture opportunities they are thinking about. In the Simulation phase, students are able to test their ideas and assumptions using a Baruch College based simulation known as

the Institute for Virtual Enterprise (IVE). The IVE has a virtual economy and virtual credit and gives students a chance to test their opportunity in a safe environment. IVE includes a virtual business plan competition and crowd-mentoring.

During the Incubation phase, students have an opportunity to participate in co-working sessions, take the social enterprise accelerator course, and have access to a new student/alumni investment fund.

After Drs. Kickul and Lyons presented their programs, they facilitated an interactive session on the future of social innovation education. They asked the participants to work in small groups to answer two questions:

1. What are the crucial internal and external inputs and conditions necessary for social innovation?
2. What are the ways these ideas or concepts can be brought into social innovation or entrepreneurship courses or training modules?

Here is a summary of the themes developed by the small group to these questions.

- Students must be exposed to tools that will be useful for social entrepreneurship. A short list of these tools/skills includes collaboration, multidisciplinary problem identification, implementation, business modeling, and storytelling.
- Students need to learn what social innovation really means and have the capacity to do something about the social problems.
- We must create an atmosphere for social innovation to take place and for social entrepreneurs to be successful.
- It is important for students to learn about collaboration but can collaboration and diversity be facilitated virtually?
- Students must be exposed to problems on the ground as part of their education/training. Collaboration with community organizations and NGOs can facilitate this.

Students must be exposed to tools that will be useful for social entrepreneurship.

Keynote Speaker: Michael Smith, Director, Social Innovation Fund, Corporation for National and Community Service

Our dinner keynote speaker was the Director of the federal Social Innovation Fund (SIF) at the Corporation for National and Community Service. In his Keynote, Mr. Smith described how the federal Social Innovation Fund works and shared his thoughts on social innovation. He defined social innovation as:

1. New solutions to old entrenched problems, and
2. Trying new approaches when the old approaches aren't working

One of the biggest challenges in the social sector is the use of unproven and unproductive practices to the biggest problems. By using social innovation and evaluating the performance of these new approaches, we can advance the best solutions and abandon those that do not work or are counter-productive. The Social Innovation Fund is involved in developing evidence-based and scalable solutions that make a significant and positive social impact.

Mr. Smith challenged the workshop participants to answer any of the following five questions in the work they were doing:

1. How do we resolve the tension between evidence and innovation?
2. Should the SIF focus on specific problem areas or not?
3. What is the cost of getting the "evidence" basis on the social sector?
4. How do we learn to improve without the funders and supporters walking away?
5. How do we develop lasting institutions that promote these social innovation goals?

In closing, Mr. Smith encouraged the workshop participants to continue their work and provide more support for social innovation.

By using social innovation and evaluating the performance of new approaches, we can advance the best solutions and abandon those that do not work.

Session 3: Lessons from Technology Transfer and Innovation Management

Presenter

Deborah Dougherty,
Ph.D., Professor, Rutgers Business School

Drawing on research in bio-pharmaceuticals drug discovery and innovation, one can use this "alien" setting to trigger insights regarding social entrepreneurship.

First, one must examine the concept of technology transfer. In reality, technology does not readily transfer; there is no magic formula for the transfer to occur.

Consider these findings:

- Just 50 percent of published academic findings on potential drug targets can be replicated. Published knowledge cannot be easily "plugged into" an organization's product development efforts, because much of the knowledge is tacit, uncodified and unspoken. Articulated knowledge is just the tip of the iceberg; patenting and licensing help transfer knowledge only when the knowledge is mature and industry and academic researchers are working together.
- At MIT Engineering, one of the most commercially active research institutions in the U.S., faculty patenting and licensing account for just 10 percent and seven percent of knowledge transferred.
- Twelve percent of academic patents are ready to be commercialized in the private sector. Forty percent of academic inventions are embryonic, requiring joint efforts by the commercial sector and the academic inventor for commercialization.
- The tremendous increase in government and industry funding for drug discovery over the last 60 years has been accompanied by a steady decline in the discovery or invention of new molecular entities during the same timeframe.

The bottom line is that academics and industry practitioners must work jointly to transform academic knowledge into applications that have value.

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Academic ideas are inputs to the innovation process, not outputs as many assume them to be. With the stakes so high – and with industry depending on academia to shoulder a good part of the early discovery work – new efforts are being made to improve knowledge flows and sharing, allowing social entrepreneurs to build on these efforts.

Making sense of the academic-industry/practitioner divide

Knowledge is grounded in everyday practice, so the social and material context of "practices of knowing" matter significantly. The discontinuities in practice between academics and practitioners make their knowing in practice different – the reason why knowledge does not readily flow or transfer. These discontinuities are called knowledge boundaries.

Of course, people can work across boundaries and jointly create and understand knowledge, but doing so is difficult. For success, both groups must find a common ground or boundary object that provides a shared language for representing idiosyncratic knowledge. Transformation occurs when members of one community come to understand how knowledge from the other community fits within the context of its own work, enriching what everyone knows.

What might serve as this "object" or common ground? In bio-pharmaceuticals, one can view it as a drug possibility comprised of various elements such as hormones, genes, or chemical compounds. This drug possibility interacts in highly complex ways with a disease and the rest of human biology.

In social entrepreneurship, the object could be a social program comprised of various elements such as training, outreach, and specific services in a unique configuration or system of

elements. This object also interacts in complex ways with the problem being addressed (e.g., lack of jobs, poor nutrition, need for inclusion) and the rest of society.

Both objects have three dimensions of knowledge:

- **Material** – Actual, concrete forms and specific functions
- **Epistemic** – What people want to know and how they go about finding out
- **Objective** – Purposeful activities needed to accomplish an end goal

The material knowledge dimension

The program fulfills a specific function in the social problem space; it has an actual, concrete reality and materiality such as facilities, tools, classrooms, and technologies used. This is akin to a drug that carries out specific functions against a disease and interacts in particular ways with the human body.

So where do academics and practitioners situate their learning/knowing about the program in the contexts of the problem and society?

In bio-pharmaceuticals, academics focus on specific elements of a drug's possibilities (e.g., human growth hormone) and situate their knowing in the body in general, not the disease. They try to understand everything about the element, in general, in the body: its mechanisms, functions, and variations.

In comparison, industry scientists situate their learning to understand how to use an object to alter the disease state. The goal is the application of the object, not its detailed workings – for example, how does this enzyme specifically affect the disease?

Common ground might be found in the ability to work side-by-side in the same lab to contextualize learning. Both academics and practitioners could work on the disease/social problem, concentrating on developing program possibilities that best fit with the specific problem.

The epistemic knowledge dimension

Knowledge professionals want to know what they do not know – they are drawn to uncovering more knowledge about the object. What questions do they ask, and what paths do they search to uncover its characteristics?

For academics, the pursuit of epistemic knowledge tends to focus on the general functioning of the drug possibilities. Open-ended questions are explored to explain fundamental mechanisms in general, for example: How do cancer cells survive? What mechanisms exist to integrate proteins in cells for survival?

Industry scientists, on the other hand, may examine the object's relation to a specific disease and how that disease affects patients, then explore paths that connect the reality in the lab with the reality in patients.

Possible solutions might include defining a set of common scientific questions to open up interactions between program possibilities and human society. By concurrently exploring both the fundamental and the pragmatic, academics and practitioners can work together to design experiments and co-mingle their unique expertise.

The objective knowledge dimension

Purposeful actions are needed to accomplish an end goal. Common objectives shape the direction and purpose of collaboration. What are the prospective outcomes of

learning/knowing, and how do we carry out the steps to materialize our objectives?

Academics seek to discover novelties about an object, often for publication. They focus on the conceptual or hypothetical, searching for new properties of an object rather than validating already-known properties.

In comparison, industry scientists perform extensive work to validate a drug's possibilities and establish concrete feasibility. They draw on multiple settings to validate the same property, and perform repetitive testing across settings.

To bring the two together in the objective knowledge arena, universities and bio-pharmaceutical companies are finding alternative ways to create partnerships to co-develop potential drugs. The same concept could be applied to social entrepreneurship – both sides working together to share resources and combine unique knowledge and skills in creating programs to solve social problems.

Enabling knowledge sharing

The existing market-oriented linear model is moving away from transacting patents for royalty fees and toward academic and industry scientists working together, in settings such as academic medical centers, industry-initiated partnerships and venture philanthropy foundations.

Common ground might be found in the ability to work side-by-side in the same lab to contextualize learning.

Academic Medical Centers (AMCs) and venture philanthropy programs are converging interests to develop a product vision to bring drug possibilities to market. AMCs tend to specialize in one to two therapeutic areas and conduct early-stage drug discovery by combining basic, translational, and clinical research under one roof.

Together, AMCS and industry scientists develop a set of specific questions to pursue and make collective decisions about selecting targets and looking for emerging properties. These partnership models have become more flexible in their institutional arrangements, with companies and universities finding alternative ways to manage intellectual property so barriers from legal language do not inhibit access to material and translational facilities.

Industry-initiated partnerships allow academic and clinical scientists to work side-by-side in the lab setting to help contextualize learning for academics, helping them better understand how to bring drug possibilities to humans. These partnerships enable academics and industry to form collaborations and work together to co-develop potential products.

Venture philanthropy foundations typically focus on a specific agenda or particular disease, such as the Michael J. Fox Foundation for Parkinson's Research, and fund projects focused on various aspects of a specific disease (i.e., genetic links in Parkinson's side effects). Venture philanthropy foundations are generally not involved in the process of negotiating contracts and patents. Intellectual property resides with the scientists and universities.

Applying paradigm changes to social entrepreneurship

With a better sense of the divide between academics and practitioners, how can one apply the lessons of the bio-pharmaceutical world to social innovation?

Companies have cutting-edge facilities to synthesize, engineer, and screen, while academics have specialized expertise and deep conceptual knowledge of bio mechanisms. New models of partnership shifting toward pursuing a social mission can accelerate the development of treatments for unmet medical needs.

The strength of academics is in discovering and identifying new targets and pathways, but they do not have the resources to develop them into viable products. They must therefore package their research in a product portfolio with a complete patent family that facilitates partnership and allows them to leverage others' capabilities.

Conversely, industry scientists excel at investigating if elements are effective and if they translate into viable commercial products. Therefore, they can test academic conceptual ideas, since academics do not have the facilities to do so.

By raising questions together and making joint decisions, the combined expertise of academics and industry practitioners enables a more complete understanding for all.

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Session 4: Developing Insights for Social Policy and Entrepreneurship

Facilitator

Jeffrey Robinson, Ph.D., Senior Fellow, CUEED, Rutgers Business School

Session 4 directly followed the presentation from Dr. Deborah Dougherty. Dr. Robinson facilitated a discussion of the takeaways and learnings from Dr. Dougherty's presentation that can be applied for social policy and entrepreneurship.

Several groups were formed to discuss the insights, and then these groups presented their ideas to the entire workshop. A summary of their insights is given below.

I. EVALUATION

- Common evaluation model focused on delivery of social innovation
- Networks of social innovation
- Where can we tap into the networks and ask
  - Where is the most useful information?
  - How would an academic institution be more helpful?
- How successful/useful are we in training/ teaching social entrepreneurship?

II. ECOLOGY OF SOCIAL INNOVATION

- Identifying ecology and effective drivers in specific regions
- Identifying the complex demography of an eco-system

III. HUBS OF SOCIAL INNOVATION

- Network creation
- Making community more active
- Bringing stakeholders to the table
- Defining plans of action
- Organizing diverse perspectives

IV. COMMUNITY-BASED/ PROFESSION-BASED MODELS

- Mobilizing targeted communities
- Using eco-system development
- HISPA (Hispanics Inspiring Students' Performance and Achievement)
- Case studies

V. SOCIAL ENTERPRISE

- Field school approach
  - Opportunities for community members
- Engagement
- Collaboration
- Learning
  - To bridge the gap between communication and language barriers

VI. HOW DO WE MAKE SOCIAL INNOVATION PART OF THE CULTURE?

VII. SCALING SOCIAL INNOVATION INSTITUTE

- By geography
- Diversify by discipline
- Databases for research

VIII. THE ROLE OF INCUBATORS IN THE SOCIAL INNOVATION ECOSYSTEM

- Lack of research evaluation and success measurement
- How to foster social innovation

IX. USE COMPLEX DEMOGRAPHY FOR SOCIAL INNOVATION AND LOCAL INFORMATION

- Historical diversity of specific regions
- Effect on social entrepreneurial ventures

X. FINANCE AND MISSION-DRIVEN FUNDING

- Importance and impact on social innovation enterprises

XI. STRATEGIC CROWDSOURCING INSTITUTION

- Activists, practitioners, academics
- Investing for social innovation

XII. BRINGING SOCIAL INNOVATION INTO K-12 EDUCATION

XIII. THE UNIVERSITY'S ROLE IN SOCIAL INNOVATION

- What they can do
- Examples
- Future participation
- Stakeholders

XIV. FINDING LOCAL SOLUTIONS TO PROBLEMS UNDER THE SURFACE OR IN UNDERSERVED COMMUNITIES

- Rural
- Small cities/fringe cities
- Local problem-solving

XV. RESEARCH:

- Critical mass
- Demographics
- Users of a system
- Control
- Coordination of stakeholders

XVI. MULTI DISCIPLINARY APPROACH

- Need for behavioral economics
- Decision-making research

XVII. COMMUNITY CONVERSATIONS AND COMMUNITY COLLABORATION FOR SOCIAL INNOVATION

- Community collaboration to bring different perspectives on social problems
- Leverage diverse participation to unlock social innovation

XVIII. NETWORKS OF SOCIAL INNOVATION

- Create networks of successful innovators to foster learning

XIX. ORGANIZING KNOWLEDGE

- Ease choice of programs most likely to be impactful

Session 5a: Insights on Collaboration

Presenter

Laquita Blockson, Ph.D., Associate Director and Professor, Saint Leo University

Social entrepreneurship and social innovation, at their core, involve the intersection of multiple perspectives, stakeholders, and institutions. Social entrepreneurship integrates private enterprise with social problem solving (Robinson et al, 2009), where individual social entrepreneurs create and grow businesses that meet a social need (e.g., hiring homeless persons or diverting significant profits to charitable causes). Within society as a whole, social entrepreneurship and social innovation help to meet needs that are not (or cannot be) fulfilled by most businesses, government agencies, or nonprofit organizations on their own.

The boundaries among businesses, government, and nonprofits have become increasingly blurred. Participants from each institution are better positioned than ever before to create constructive solutions to the social problems they each confront. In this light, social entrepreneurship and social innovation are well positioned to engage in effective, synergistic social problem-solving efforts.

Achieving a cross-disciplinary, balanced approach

Given the inherent interdisciplinary nature of social innovation and social entrepreneurship, it is sometimes difficult for scholars across multiple disciplines to grasp how such enterprises might approach big, messy social problems – poverty, urban decay, racial and gender discrimination, and environmental destruction. These are often considered so gargantuan that they require the efforts of many individuals, groups and organizations from every social institution – business, government, and nonprofit/community – to attempt to remedy them. Given the intricacies of social problems, however, placing emphasis on one dominant approach (e.g., via solely a business lens) merely provides one perspective for addressing the problems that social entrepreneurship/social innovation strives to resolve.

Scholars and practitioners need to understand better the motivation, process, and impact of social enterprises in addressing problems at the individual and institutional levels, as well as the dynamics of stakeholder relationships that are created, sustained, and/or destroyed in the process. To advance the transfer of social, behavioral, and economic (SBE) science into actionable knowledge and social innovation, we may benefit from placing an emphasis on the social problems and by developing measures to evaluate whether and how the social problems are addressed by those most affected by the problem.

Theoretical motivation

Why are social problems so difficult to address? Rittel and Webber (1973) defined social problems as “wicked” when such problems are “ill-defined and…rely upon elusive political judgment for resolution”

(p. 160), “defy efforts to delineate their boundaries and to identify their causes, and thus expose their problematic nature” (p. 167), and “are never solved…At best they are only re-solved, over and over again” (p. 160). Like social problems, wicked problems can be formulated and evaluated in a number of ways. Also, wicked problems can change over time, providing a new host of characteristics to be interpreted by individuals, groups, and organizations that are influenced by their respective values and interests (Kingdon, 1995). As such, there may not be one solitary solution to a problem or one solitary means of perceiving or conceiving solutions to said problem. Understanding the nature of wicked problems plays a critical role in learning what types of social problems are deemed important for social innovation (and the individuals and organizations who create and support social enterprises), how these individuals and organizations seek to address these issues, and whether these organizations and individuals achieve success.

Issues management and collaborations are two sets of tools developed to attempt to resolve problems faced by organizations in various sectors. Issues management

Scholars and practitioners need to understand better the motivation, process, and impact of social enterprises in addressing problems at the individual and institutional levels.

processes (Chase, 1977) generally include several distinct stages and steps, such as issues identification, issues analysis, and response development and implementation actions (Nigh & Cochran, 1994). Issues management typically serves both as an early warning system through which organizations anticipate the demands of or constraints imposed by various actors in their external environment (Ansoff, 1980) and as attempts to "minimize surprises that emanate from the turbulent business environment and to prompt systematic and interactive responses to environmental change" (Wartick & Cochran, 1985, p. 766).

Issues have been discussed theoretically in other areas of social science – sociology and political science, to be specific. Social movements and agenda building are two problem-solving approaches developed within these areas. Social movements are large-scale collective efforts exerted by pooling resources and efforts to call attention to a public issue, an unfavorable condition, an injustice, or an inequity that necessitates joint action (Oberschall, 1993). Agenda building is a public policy-focused process using the efforts of individuals and groups to influence the interpretation and prioritization of social problems and concerns (Graber, 1993). Issues management, social movements, and agenda building share more similarities than differences, particularly given that these processes are primarily used within organizations in business, nonprofit/community, and government, respectively. Each approach involves procedures and processes that enable issues to be identified and evaluated, solutions to be discussed and chosen, and evaluations to be made regarding effectiveness.

A collaboration occurs when "a group of autonomous stakeholders of a problem domain engage in an interactive process, using shared rules, norms, and structures, to act or decide on issues related to that domain" (Wood & Gray, 1991, p. 139). Like issues management, the collaboration process encompasses problem setting, direction setting, and implementation stages (Gray, 1989). Collaboration processes, particularly those that involve corporate-community relations (e.g., Waddock & Boyle, 1995) and public-private partnerships (e.g., Goldsmith, 1997), have increasingly become a predominant means for addressing social issues and social problem solving (Logsdon, 1991). In these situations, organizations in different institutional sectors collectively work to achieve a common goal (e.g., Hood, Logsdon, & Thompson, 1993).

Challenges when using social problem-solving approaches

Issues management and collaboration processes for addressing social problems are not without their challenges. First, issues management's linear structure may force the process to be too rigid to handle the nuances of social problems. The majority of social problems do not have finite beginning and ending points; moreover, the majority of societal issues, like wicked problems, envelop a host of possible solutions that reflect multiple stakeholder interests. The second challenge of issues management is that current

approaches focus particularly on the individual actions of organizations versus the collective actions of multiple organizations. Although the collaboration process may help to coordinate collective actions for problem solving, both issues management and collaboration rely more heavily on the various perspectives and roles of the individual key players or stakeholders than on the issue itself.

One challenge of collaborations is that the problem-setting phase is the most difficult step, in which participants must find a common definition of the problem at hand. Given the nature of wicked problems, determining a common definition of the problem instead of merely gaining an understanding of it may be unrealistic or futile. A second challenge of collaborations is that much emphasis is placed on the process in which participants collaborate (i.e., procedural fairness) rather than on the outcomes that the participants generate (i.e., distributive justice). As such, some key players could become indifferent to whether a collaborative relationship survives or if other key players' goals were met if the issue at hand was not alleviated in some way that balances the benefits and burdens of those involved. Thus, the rational, logical characteristics of the issues management and collaboration approaches may not be the most appropriate means to analyze whether and how social problems are assessed and addressed. These approaches provide a schema for which societal issues may be analyzed, but not necessarily a means through which they may be resolved.

The "wicked" collaborative approach

An issues-centered, multi-sector approach – a "wicked" collaboration – may be used by organizations to balance their desires to address the social problems with their respective interests and resources (Blockson, 2003). This approach is social problem-centered because the need to address a particular social problem (or a set of social problems) is the reason why individuals and organizations engaged in social enterprise desire to coordinate their energies. The wicked collaborative approach focuses on multi-sector interaction, in which individuals and organizations from each institutional sector combine forces to assess and resolve issues that significantly affect each organization and drive each of them to work collectively. Wicked collaborations are poised to address social problems better than sole organizations or enterprises, partnerships of organizations within one particular sector (e.g., firm-to-firm joint ventures or foundation-nonprofit collaborative efforts), and partnerships between organizations from two of the three institutional sectors (e.g., public-private partnerships) would. This approach is an expansion of typical collaborations: an alternative collaborative structure when formal collaborations for social innovation purposes may not occur or may not be necessarily desired by all engaged parties.

Session 5b: Summary of Collaborative Project Ideas

After listening to Dr. Blockson describe the collaboration process within and across sectors, workshop participants formed small groups and brainstormed their project ideas. Below is a summary of the original brainstorming session facilitated by Drs. Blockson and Robinson.

I. Action Research Project

Championed by: Arturo

Summary: After identifying issues or problems to be solved, we need to first establish the scope of the problem itself to know if it can be resolved or not. We also need to establish which kinds of users are needed in a system in order to solve a problem, and whether we have a critical mass of those kinds of people. As Arturo stated, "Do we filter for people who are capable of making a change, or do we filter for the change that we want to see?" The elements of this project are critical mass, control, and coordination.

II. Community Conversations and Community Collaboration for Social Innovation

Championed by: Kimberlee

Summary: Fostering community collaboration will bring different perspectives to bear on social problems and help break out of existing paradigms. This might unlock social innovation that would otherwise not take place if diverse participants were not brought together to collaborate as a community.

III. Networks of Social Innovation

Championed by: Beth

Summary: By bringing together successful innovators and those seeking to innovate, we would create a network that allows learning to take place.

IV. Finance and Mission-driven Funding

Championed by: Shalei & Arturo

Summary: To increase the chances of actually solving social problems, we should have mechanisms that confirm provided funding is used for the stated mission. We should be able to evaluate the culture of the organization requesting the funding to see if it is actually mission-driven. As Shalei stated, "Does the funding need to be mission-driven in order for it not to lose what that social enterprise accomplishes?"

V. Common Evaluation Model Focused on Delivery of Social Innovation

Championed by: Lutisha, Benyamin, Beth, Haj, Craig

Summary: We need a common evaluation model or standard to determine if science suggests that a particular social innovation is likely to succeed.

VI. University's Role in Social Innovation

Championed by: Noah

Summary: In some areas, there are people who are truly experts and are ahead of academics in the field (Aspen Group given as an example by Noah). Academics must

engage with these experts in order to be relevant. However, one cannot assume that practitioners are at the forefront of development – they may just be experimenting and not close to a discovery. Soliciting help from academia might help close the gap.

VII. Ecology of Social Innovation

Championed by: Benyamin, Quintus, Rich, Haj

Summary: How can we apply what we know about the factors that contribute to resilience in a natural ecology and apply that to social innovation? This would involve identifying the ecology that sponsors innovation in a region and then determining the effective drivers of that ecology. The idea is to "make a community into a hotbed for innovation," according to Benyamin.

VIII. Case Study of a Community/ Profession-based Model in a Hispanic Ecosystem

Championed by: Ivonne

Summary: Study how HISPA created an ecosystem of Latino professionals as role models to the developing Latino community. Lessons learned from this case study could be applied to other ecosystems.

Issues management and collaborations are two sets of tools developed to attempt to resolve problems faced by organizations in various sectors.

IX. The Role of Incubators in the Social Innovation Ecosystem

Championed by: Julia

Summary: We need research that helps us better understand the role of incubators and how they play a part in accelerating the development of a business. How do we measure how those businesses would have developed without the incubator? Should this research be conducted using an existing incubator, or should a new incubator be established in order to observe it as a model?

X. Scaling Up from the Experience of the NJ Social Innovation Institute (NJSII)

Championed by: Andy & Rich

Summary: Ongoing research shows the NJSII's positive effect on ventures that participated in the program. Replicating this program across the nation would be a way of scaling up this model, while also generating more data – both quantitative and qualitative – for further research.

XI. Finding Local Solutions to Problems Under the Surface and Helping Underserved Communities

Championed by: Gary, Arturo, Rese

Summary: Research on communities like the urban French community in Highlands, NJ, could be used to determine replicable processes for preserving diversity.

XII. HUBS of Social Innovation

Championed by: Shalei, Brian, Jeremy

Summary: Use technology or social media to create a network of stakeholders (practitioners, academics, communities) who could bring diverse perspectives and develop plans of action by taking a design approach to problems. Workshops ("hackathons for social innovation") could be organized to present issues in terms of design problems and challenge stakeholders to solve them.

XIII. Bringing Social Innovation into K-12 Education

Championed by: Mark H.

Summary: What is the best way to educate people about global issues in order to facilitate solutions to local problems?

The collaboration process encompasses problem setting, direction setting, and implementation stages.

Participants could also look at how problems are solved locally in other communities to enhance social innovation.

XIV. Making Social Innovation Part of the Culture

Championed by: Brian

Summary: Today, academics are not necessarily interested in the implementation of their ideas, while practitioners do not necessarily read what academics write. We need to bridge this gap by making academics interested in providing real solutions, and to make practitioners learn from academics how the problems they are trying to solve work. An intermediary group could be created to understand these issues and communicate with academics, practitioners and policy makers to foster collaboration and create a systematized method for aggregating research.

XV. Use Complex Demography for Social Innovation and Local Information

Championed by: Quintus

XVI. Social Enterprise, Field School Approach

Championed by: Pam & Craig

XVII. Strategic Crowdsourcing Institution

Championed by: Mark Q.

XVIII. Multidisciplinary Approach

Championed by: Beth

XIX. Organizing Knowledge

Championed by: Austin

Summary: Organizing knowledge to better choose the projects and programs that impact society.

Closing Session: Reporting on Collaboration/Project Proposals

After developing insights from session and learning about collaboration processes, the workshop participants were encouraged to develop project ideas that would explore the most interesting ideas related to social innovation. By combining ideas and developing new ones, five projects emerged and were developed during a working lunch. Each of these projects is presented below.

Working Group #1: Crowd-Sourced Funding for Social Innovation

Create an investment fund for social innovation and social enterprises to represent a portfolio of social impact investments. The purpose of this fund would be to educate small investors about the social benefits that could accompany financial return. Small investments could be crowd-sourced from individuals to increase the pool of capital while creating tax advantages for participants.

Group Members:

Shalei, Mark Q., Mark H., Jerry

4 Key Questions:

Who do we wish to influence?	What will be our contribution to creating knowledge in social innovation?
• General public • Institutions • Regular investors	• Expanding the possibilities for social impact data so they can enter traditional investment methods • Develop opportunities and see the possibilities for crowd funding as having a return on investment

Further Discussions:

Roles and responsibilities of each partner:

- Technical
- Political

Possible funding sources:

- Foundations
- Venture philanthropists
- Affluent donors
- Corporations
- Social innovation fund
- Ground funding

Mindset required for collaboration:

- Progressive but pragmatic
- Patient and determined
- Altruistic and tolerant

Expectations for each collaborator:

- Investors
- Fund
- Government

Partners in this effort:

- Seed funders
- Project manager
- Marketer
- Team

Roles and responsibilities of each partner:

- Shalei: Research on measurement of program success
- Mark Q.: Capital crusade
- Mark H.: Explore alternative funding, develop portfolios
- Jerry: Government

Possible next steps:

1. Build a plan (cost, customers)
2. Feedback (learn startup)
3. Shop idea around
4. Feasibility

What resources are necessary for this project/initiative/program?

- Legal counsel
- Investors (initial capital)
- Management
- IT
- Disbursement compatibility
- Liquidity measuring
- Understanding enterprise
- Compliance
- Research
  - Social value
  - Defining long-term strategies
  - Trading performance/evaluators
  - Alternative funding methods

How will we measure the success of these efforts?

- Effectiveness of social projects
- Determining monetary impact

Working Group #2: Hub for Increasing Community Engagement with Social Innovation Enterprise

The purpose of this entity is to create communication between the community and social enterprises. Effective communication will catalyze efficient and successful processes to increase community engagement with local social innovation organizations. This project will also create a database of best practices, current strategies, methods, successes, and failures.

This project seeks to answer the following questions:

- What specific tools/ techniques can be used to engage the community?
- What are the leading/lagging indicators to deduce social innovation climates for success and adaption?
- How can we scale models and create data models to measure impact, collect performance data, and create trending data for strategy?

The result: A scorecard with improved evaluation mode, predictive models, and trend data. Product and framework will be delivered both virtually and physically.

Group Members:

Hajar, Benyamin, Kimberlee, Leann, Jeremy, Tyrone, Craig, Pam, Ivonne

4 Key Questions:

Who do we wish to influence?	What will be our contribution to creating knowledge in social innovation?
• Policy makers • Funders • Volunteers • Social entrepreneurship • Government • Academics	• Scorecard • Data collection

Further Discussions:

Possible funding sources:

- National Institutes of Health
- National Science Foundation
- Community Foundations, depending on scope
- Boston Foundation (cross-regional search)

Partners in this effort:

- National Institutes of Health
- National Science Foundation
- Community outreach
- Government officials
- Process facilitator

Roles and responsibilities of each partner:

- Define leading/lagging indicator
- Develop exploration case studies
- Define data collection models
- Define success measures

What resources are necessary for this project/initiative/program?

- NIH
- NSF
- Boston Foundation
- Urban institutions
- Community
- Government
- Community outreach body to ensure process compliance

How will we measure the success of these efforts?

- Better process for community engagement
- Mechanism to measure improved engagement
- Leverage data source to improve evidence gathering and evaluation

Working Group #3: Replicate and Scale the NJ Social Innovation Institute at Other Universities

This effort targets start-up social entrepreneurs, giving them the tools needed to begin their business. The program can be conducted as a roadshow or formatted as a tool kit. Program goals are to provide guidance and assistance for start-up social entrepreneurs; to create a database to track the long-term success of participating businesses, and to measure the effects of social enterprises on the community.

Group Members:

Paul, Andy, Richard

4 Key Questions:

Who do we wish to influence?

- Start-up entrepreneurs
- Faculty and students
- Community members

What will be our contribution to creating knowledge in social innovation?

- Database creation
- Analysis of long-term benefit
- Type of people starting the program evaluation
- Effects on the community
- Quantitative and qualitative data

Further Discussions:

Possible funding sources:

- Foundations
- Major funder

Mindset required for collaboration:

- Public policy
- Social work
- Regional schools
- Business schools
- Law schools with a community service initiative
- Cross-disciplinary mindset
- Liberal arts schools and non-traditional professional institutions

Expectations for each collaborator:

- Host institution will need a faculty champion
- They will agree to gather research to contribute to public database of information

Partners in this effort:

- Training consultants
- Universities
- Champion faculty members
- Employing institutions

Roles and responsibilities of each partner:

- Carry out duties described in contract

Possible champions:

- Jeff

Possible next steps:

- Map out details of program
- Begin discussions with potential funders

What resources are necessary for this project/initiative/program?

- Major funding from foundation
- Host institution
- Human capital
- Consultants
- Website developers
- Cost of measurement of outcomes

How will we measure the success of these efforts?

- Confidence of individuals
- Sustainability of business
- Longevity of business operation
- Revenue
- Employees
- Triple bottom line

Working Group #4: Researching Social Innovation Incubators

The goal of this project is to evaluate the success of social innovation incubators and their impact on the community. With this evaluation, we will be able to determine where incubators should be established so they are most beneficial.

Group Members:

Arturo, Quintus, Thomas, Julia, Gary, Yuyan

Further Discussions:

Possible funding sources:

- National Science Foundation
- Kauffman Foundation

Partners in this effort:

- Incubators
- Researchers
- Funders of social innovation incubators

Possible champions:

- Rutgers University
- University of Massachusetts
- Propeller
- Jill
- Brett
- 4 Pockets Boston

Possible next steps:

- Review existing literature/ organizations to identify existing clients
- Create database of social incubators and business incubators
- Conduct secondary research on metropolitan areas
- Design and disseminate survey

4 Key Questions:

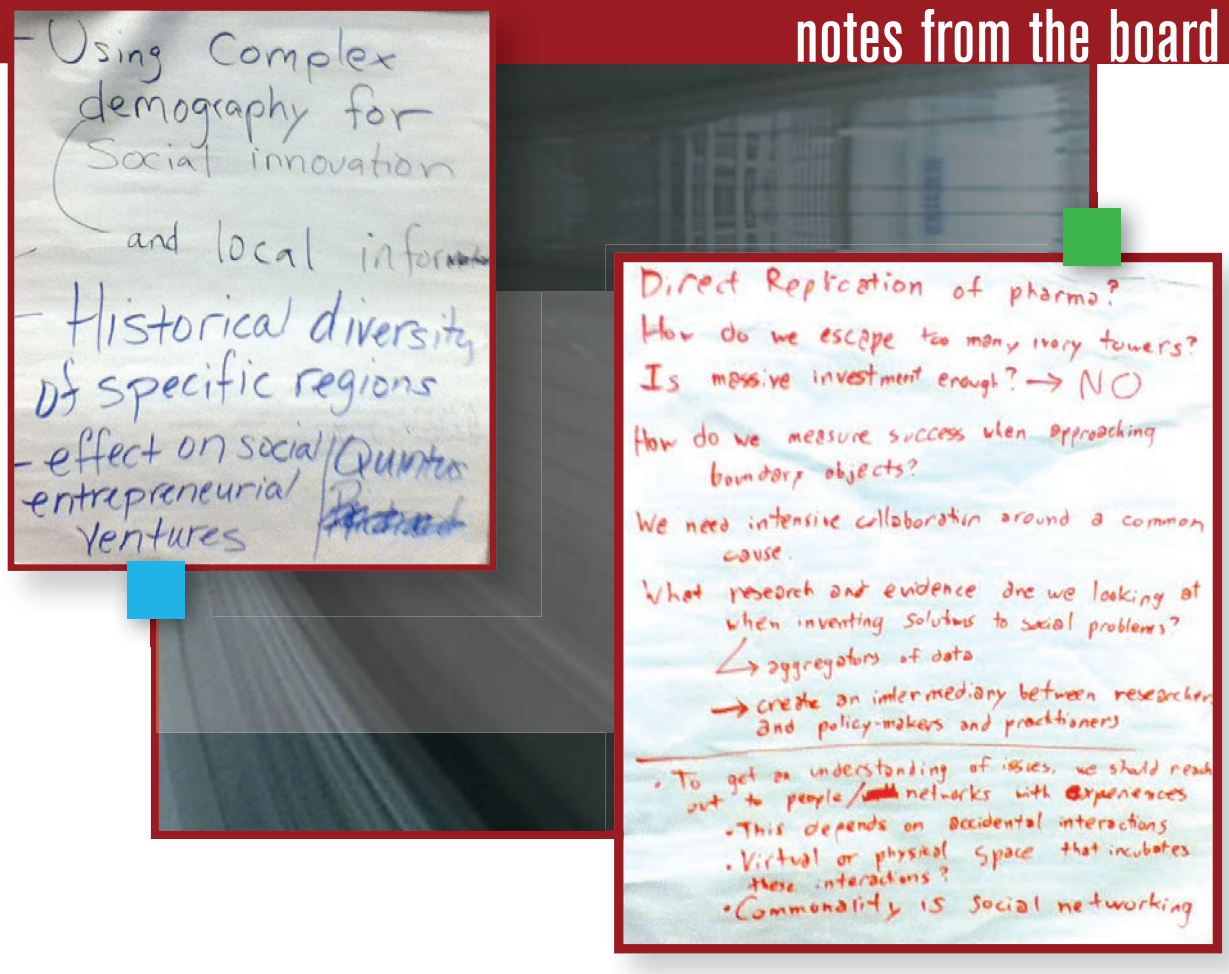
Who do we wish to influence?

- Improvement of social innovation incubators
- Identify successful practices

What will be our contribution to creating knowledge in social innovation?

- Increase community impact
- Extend sustainability of incubator models
- Leverage success of entrepreneurs within incubators

notes from the board



What resources are necessary for this project/initiative/program?

- Existing literature on social innovation incubators
- Conducting surveys/research on existing incubators

How will we measure the success of these efforts?

- Implications for future research; more models
- Criteria for placement of incubators
- Competitive analysis on the incubator

Working Group #5: The Role of Universities in Promoting Social Innovation

This group looked at the role universities play in promoting social innovation as well as the role social innovation plays in universities. The group took a four-stage approach:

1. Conduct research to understand the link between universities and social innovation – learning what people understand by social innovation, and gathering data on what they do about it.

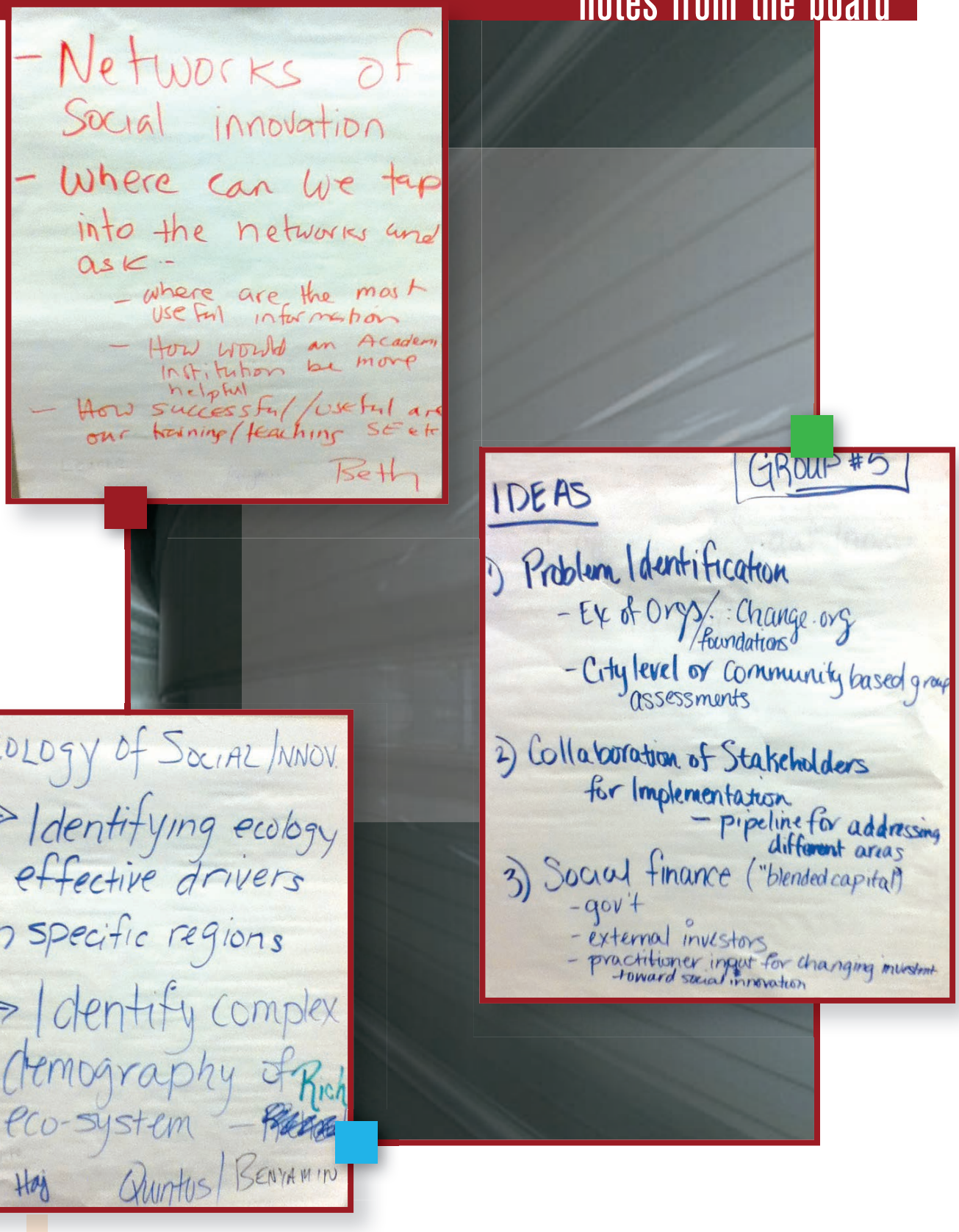
2. Evaluate the effectiveness and impact of the social innovation work currently underway in universities.

3. Use findings and best practices to create a pilot program in other universities.

4. Determine pilot program partners (post-doc students, expert advisors, etc.).

Group Members:
Noah, Jeff, Austin, Beth

notes from the board



An Agenda for Research and Practice: Summary

After one and a half days of dialogue and discussion, the participants had the opportunity to reflect upon what they learned from each other and from the process of developing the projects presented on the previous pages.

The Social Innovation Process: Transfer • Translate • Transform

One of the major insights from the workshop comes from the session by innovation scholar Deborah Dougherty. Social innovation is not just one process. There are at least three processes for moving knowledge derived from research and academia into practice (a key feature of social innovation): transfer, translate, and transform.

Transfer describes moving knowledge, ideas, and inventions across boundaries that share a common language and perhaps regularly share knowledge with one another. An example of this type of knowledge transfer occurs when professional schools in academic institutions host conferences or workshops for practitioners. Often innovation can move from academia to practitioners in this context. However, this is usually within a discipline or profession and not across disciplines or sectors.

Translate describes moving this knowledge across semantic boundaries that require interpretation of this knowledge along the way. In this process, the actors have to negotiate the meaning of words and objects and develop a shared understanding of these words and objects. An example of this would be the implementation of various youth development techniques by the staff of Café Reconcile, an innovative restaurant, job training, and youth development initiative in New Orleans. Representatives from Café Reconcile attended the workshop and described their innovative work and the measurable outcomes that resulted.

Transform describes moving knowledge across pragmatic or policy boundaries and actors negotiate around their interests to find common ground and useful knowledge. This is clearly the most challenging of the three processes and requires the highest level of skill (see the Session #3 summary, p. 16). Transformation means that members of one community come to understand how knowledge from another community fits into the context of their own work, enriching what they know. Several scholars have acknowledged the challenge of transforming knowledge from SBE into social and policy entrepreneurship but little is known about how and under what conditions these transformations take place. An example of this process leading to a positive outcome is the NYC Social Impact Bond we highlighted in Session #1 of the workshop. By working across

sectors, institutions, and organizations, and negotiating around their varied interests, an innovative experiment has been forged to address recidivism rates in New York City.

Since innovation can be the result of any of these processes, it is also important to understand how the process unfolds and under what conditions it emerges. Two of our working groups expanded on this theme of understanding the process of social innovation. **Working Group #5 – The Role of University in Promoting Social Innovation** proposed a study of what universities are doing in this regard. **Working Group #4 – Researching Social Innovation Incubators** proposed a study of what is working across the country in supporting social innovation in incubators and co-working spaces. Each of these projects would add to our understanding of the process of social innovation.

Facilitating and Incentivizing Social Innovation

A second insight derived from the working group discussions is that progress in the area of social innovation can be made if we can *facilitate* bridging

Transfer ~ Translate ~ Transform

activities across sectors and if we can *incentivize* people, organizations, and institutions to collaborate to address social problems. This is a very important activity for the so-called "wicked" problems that challenge society. Facilitating these activities in classrooms, training institutes, and other practice-based activities would lead to more creative solutions to social problems. In Session #2 of the workshop, Drs. Kickul and Lyons noted the significant challenge in providing useful training/courses across disciplines, but when these efforts are successful, the outcomes can be creative and innovative. It is also important to facilitate the interactions between the "inventors" of useful ideas, theories, and insights with the "innovators" that can apply this knowledge in the communities. **Working Group #2 – Hub for Increasing Community Engagement with Social Innovation Enterprise** proposed a model for facilitating more interactions between knowledge "inventors" and community innovators. This requires more deliberate efforts to bring academics together with practitioners around the most challenging social problems of the day. **Working Group #3 – Replicate and Scale the NJ Social Innovation Institute at Other Universities** uses a successful model of facilitating social innovation that comes from community organizations and local innovators.

It was evident from our participants that facilitating these types of interactions across sectors, disciplines, and communities requires human and financial resources, and for that reason, they continue to be relatively rare activities outside of higher education. *Incentivizing* these types of activities beyond academic institutions is an important insight coming from our workshop.

We recognize the important role of academic institutions but also acknowledge that opportunities to facilitate and incentivize the activities that can lead to social innovation must be expanded beyond academia. Our workshop participants proposed using grant or seed funding competitions, social innovation funds, and encouraging social impact investing. One of our working groups proposed **Crowdsourced Funding for Social Innovation (Working Group #1)** as a method of supporting and incentivizing social innovation.

Recommendations

To conclude this report, we use these two insights to create a matrix of recommendations to encourage more social innovation that leads to effective social policy and social entrepreneurship. We have placed each of the five projects developed by our working groups into the matrix. We believe that these projects address important areas of research and practice that should be addressed. We have also presented additional activities that foundations, agencies, academic institutions, and other organizations can undertake to promote social innovation.

Table 1: A matrix of proposed activities and projects related to the workshop insights

The organizing committee for the workshop was multi-disciplinary, cross-sector, and involved four universities.

TYPE OF SOCIAL INNOVATION PROCESS	FACILITATE	INCENTIVIZE
Transfer (moving knowledge, ideas, and inventions across boundaries that share a common language)	Working Group #4: Researching Social Innovation Incubators Working Group #5: The Role of Universities in Promoting Social Innovation Additional Activities: Provide opportunities for students to develop innovative solutions in their field of study	Working Group #1: Crowd-Sourced Funding for Social Innovation Additional Activities: Seed funding opportunities Seed grant competitions City-wide innovation challenges
Translate (moving this knowledge across semantic boundaries)	Working Group #3: Replicate and Scale the NJ Social Innovation Institute at Other Universities Working Group #4: Researching Social Innovation Incubators Working Group #5: The Role of Universities in Promoting Social Innovation Additional Activities: Assist students who want to apply their knowledge/innovation across sectors Facilitate multi-disciplinary and cross- sector discussions and projects on important social challenges	Working Group #1: Crowd-Sourced Funding for Social Innovation Working Group #3: Replicate and Scale the NJ Social Innovation Institute at Other Universities Additional Activities: Provide funding for bridging activities
Transform (moving knowledge across pragmatic or policy boundaries and actors negotiate around their interests to find common ground and useful knowledge)	Working Group #2: Hub for Increasing Community Engagement with Social Innovation Enterprise Working Group #4: Researching Social Innovation Incubators Working Group #5: The Role of Universities in Promoting Social Innovation Additional Activities:Support/facilitate cross-sector, multi-disciplinary, problem-solving efforts	Working Group #1: Crowd-Sourced Funding for Social Innovation Additional Activities: Develop major grant programs for cross-sector, multi-disciplinary, innovative, problem solving

It is our hope that these insights, project proposals, and recommendations pave the way for more social innovation that addresses the social problems of our country.

Acknowledgments

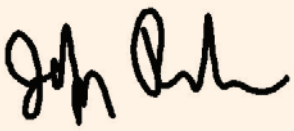
It takes many people to plan and host a National Science Foundation-sponsored workshop. Without their support and assistance, this event and the subsequent report could not have happened. My co-PI Dr. Deborah Dougherty was generous with her time and it is her work that we build upon to discuss social innovation. Our collaborators and co-chairs of the workshop each took responsibility for their sessions and we were all impressed by their execution: Dr. Jill Kickul, Dr. Tom Lyons, Dr. Laquita Blockson, Edward Laporte, and Andrew Germak.

My colleagues at the Center for Urban Entrepreneurship & Economic Development provided an extraordinary experience for all of the participants. Doctoral Candidate and CUEED Graduate Assistant Vincent Ogutu worked many of the details of this workshop and was integral to its execution. Additional thanks to my colleagues – Managing Director Jasmine Cordero, Acting Executive Director Dr. Jerome Williams and administrative assistant Tameeka Love – for their work on this event and support.

Furthermore, I would like to thank the Rutgers University Newark Office of Sponsored Programs for its assistance in submitting and administering this grant.

At the National Science Foundation, I would like to thank Dr. Quinetta Roberson (now back at Villanova University) for her support of this proposal and Dr. Jerryl Mumpower for attending and participating in the workshop. I also thank Dr. Michael Smith, director of the Office of Social Innovation at the Corporation for National and Community Service, for being our keynote speaker and for his support of our efforts.

And of course, I thank all of the workshop participants who are listed in the Appendix of this report for being the intellectual capital that led to some very interesting projects and outcomes.



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Appendix

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Appendix Continued

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