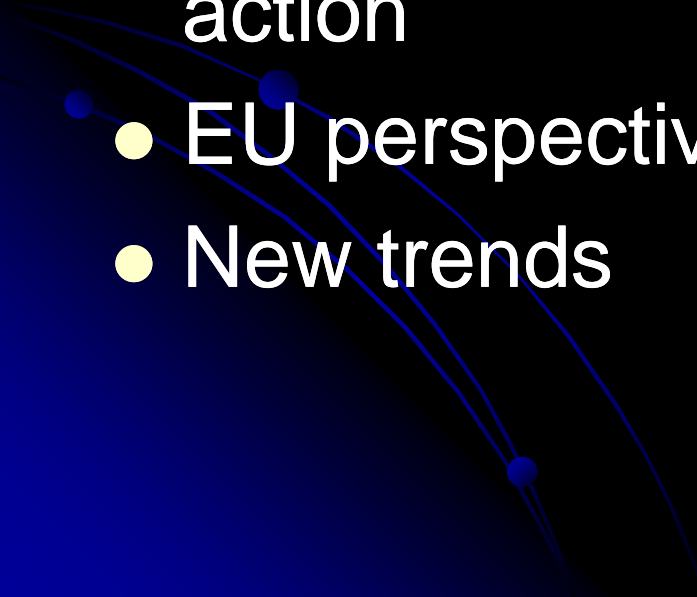


# Implementing Foresight Results into Policy Action: EU Experience

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# Outline

- Outputs, outcomes and impacts
  - Results to Action: Key Pitfalls and Success Factors
  - Design for context, rationales and policy action
  - EU perspective
  - New trends
- 

# Outputs, Impacts and Outcomes

A Foresight exercise results in:

- Outputs – products, reports, workshops, networks
- Impacts and Outcomes - an impact is created when an output interacts with the economy, society or culture; when outputs result in a roadmap for action and the adoption of concrete policy measures

Outputs, Impacts and Outcomes may be:

- Formal or tangible, reflected in products and deliverables
- Informal or intangible, deriving from the foresight process
- Intangible and unforeseen, going beyond the expectations of the exercise or changing from expected direction
- Disruptive where they induce a major change in mindset, policy approach or new strategic direction

To what extent is real impact about ensuring that benefits arise from that policy change?

# Results to Action: Key pitfalls

Foresight results are often not implemented due to certain pitfalls:

- The client is not satisfied with the quality and/or general thrust of proposed recommendations
- results are poorly communicated or not sufficiently disseminated
- the exercise focuses too much on formal outputs and neglects the process and does not engage a sufficient range of stakeholders
- Exercise is poorly perceived by key players and does not achieve the profile
- It is assumed that certain recommendations are feasible and neglect need for other measures to be put in place
- Timeframes for implementation are not properly thought out and keep deadlines for policy decisions are missed
- Those managing the foresight process are not sufficiently in tune with policy processes
- Delay factor: The time for a new strategic direction has not come and implementation happens over a longer timeframe
- New ideas and approaches from a foresight exercise can end up in a reservoir and they emerge when the time is right.
- Be aware of the history of such exercises and account for that in your design of the exercise

Key lesson: Ground and attune your exercise to your particular context since there may be specific unforeseen pitfalls to watch out for

# Results to Action: Key success factors

- Understand the client's expectations and don't overstep too much your remit – contain the enthusiasm for disruption
- Synchronise and engage with the Policy cycle – keep to timeframes and deliver in time and in the format required. Substitute long reports with clear concise documents outlining policy options
- Think less about the tools and more about the actors – networking and teamwork ensures success
- Engage all stakeholders – know what they expect and speak their language
- Reserve special efforts for key players who influence decision-making
- Use the media with care
- Put in place a team which brings together all the required skills and expertise and well-networked
- Each context throws up different ways of ensuring success – but not all good practices are easily transferable

# Design for context, rationale and effective policy action

- Appropriate and effective policy action derives from tailoring foresight to the particular context and making it fit for purpose
- Context and rationale in emerging/transition economies may call for substantial investment in re-aligning networks, identifying and addressing policy lock-ins, a change in culture, capacity-building measures (eFORESEE)
- In small countries, the emphasis on addressing lack of critical mass, resource constraints, flexibility to adapt to change, dependence on international cooperation (ERAPRISM)



# Intangible and Unforeseen Impacts

In Malta an adaptive and creative foresight approach acted as an agent for self-organisation across an incipient research and innovation system, resulting in a level of spillover into a wider range of policy domains

A less-emphasized benefit of a foresight exercise is its facility to make transparent policy processes and structures and to bring to the fore key challenges and key individuals or champions to the cause.

It also helps to identify hidden obstacles to the introduction of more informed, transparent, open participatory processes to governance as well as other barriers hindering the “wiring up” the national system of innovation



# Small country insights

Limits to transfer of foresight approaches

Flagging systemic hidden barriers and concerns below the R&I policy rhetoric.

Factor in from the start the hidden/ informal challenges underpinning the more formal ones – e.g. hidden, societal needs or constraints in the local context which can obstruct progress on the formal objectives

A 'systems' approach balancing formal (political) and informal (societal/ contextual) challenges within a holistic framework.

Communications and mutual learning challenge in priming society and the stakeholders for foresight.





# Actors in the spotlight

Generation	First	Second	Third	Fourth
Focus	Technology forecasts	Technology and Markets	Technology, markets and the social dimension	Innovation system
Programme Structure	Science and technology	Industry & Service Sectors	Thematic, socio-economic, problem-solving	Structural, framework conditions, regional
Actors	Experts	Academics and Industry	Academics, industry, Gov & social stakeholders	+Regional and local players, in-house & external
Objectives	Picking winners	Networking the economy	Wiring up NIS	

Source: ada

# European foresight activity

EU supports foresight activity at different levels and to address different rationales;

- EU support for national, regional and local foresight exercises
- EU level foresight to inform EU policies
- EU foresight to support harmonisation of member state policies.

# European perspective : Results to Action

- During accession of EU-12, foresight has been used as an instrument of transition to support the accession of new Member States with the aim of building R&I intensity, capacity and performance.
- Regional and city foresight have addressed local territorial concerns as well as cross-border cooperation. FOREN, Regional Foresight Expert Group and recent DG Regio Cities exercise have lead to policy direction and action at different levels.
- These have resulted generally in increases in national R&I spend contributing to new actions and measures, at regional and city level enhanced governance and more effective regional and city programmes.

# European Foresight approaches

- EU draws on and works with foresight units and experts in member states and worldwide
- Combined use of qualitative and quantitative approaches, horizon scanning
- Expert groups, projects, studies, conferences and workshops
- Emphasis on support to policy and capacity-building in developing tools and skills at European and national level

<b>Approaches on FTA Systems</b>			
<b>Dimensions</b>	<b>Transformation types and consequent challenges</b>	<b>Governance modes</b>	<b>Organisational models of FTA</b>
<b>Traditional rationales for FTA</b>	<ul style="list-style-type: none"> <li>- Anticipate gradual changes and support deliberate policies for transitions</li> <li>- 'Wiring up the innovation system'</li> <li>- Stimulating national and regional economic development through innovation</li> </ul>	<ul style="list-style-type: none"> <li>- Guiding and/or complementing competition and integration oriented governance</li> <li>- Designing research policy and strategy with the broad aim of selecting priorities for research investments and cooperation of R&amp;I actors.</li> </ul>	<ul style="list-style-type: none"> <li>- Programmes and projects</li> </ul>
<b>Recent rationales for FTA</b>	<ul style="list-style-type: none"> <li>- Early identification of emerging issues and consequent trends and transitions in society</li> <li>- Interconnecting different areas of research</li> </ul>	<ul style="list-style-type: none"> <li>- Enhancing coordination in research through FTA</li> <li>- Evidence-based, joined-up R&amp;I policy</li> <li>- Consensus-building and effective engagement of civil society</li> </ul>	<ul style="list-style-type: none"> <li>- Programmes and projects</li> <li>- Networking to address open innovation</li> </ul>
<b>Emerging rationales for FTA</b>	<ul style="list-style-type: none"> <li>- Improving the robustness and dynamics of the R&amp;I ecology to address (global) disruptions and engineer breakthroughs</li> <li>- Mission-oriented to tackle societal challenges by engineering radical socio-technical innovations</li> <li>- Emerging disruptions</li> </ul>	<ul style="list-style-type: none"> <li>- Enhancing policy coordination through FTA</li> <li>- Joint visioning and programming</li> <li>- Policy coordination, in addition to research coordination</li> </ul>	<ul style="list-style-type: none"> <li>- Contextualisation / embedding by approaches that are tailored to particular contexts: global, national, regional, local or sectoral</li> <li>- Networking and institutionalisation to enhance fast responses</li> </ul>

# European perspective : Results to Action

Foresight exercises have been geared to address:

- Lisbon and post-Lisbon agenda – making Europe more competitive globally
- Shift to Grand and Societal Challenges – this started in FP7 but more evident in H2020 involving wide consultation processes
- European Research Area – reducing fragmentation by pooling national research programmes – joint programming
- Europe 2020 – european innovation flagship initiative and european innovation partnerships

● Key development: EU2020 is synchronising efforts at european and national levels

European Horizon scanning and anticipatory facility within Joint Research Centre

Key role for foresight in H2020



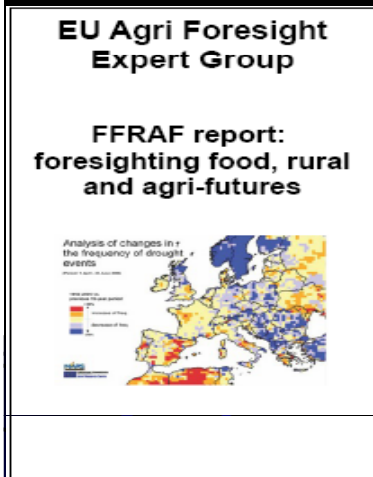
## Foresight's typical role:

### Wiring up the system

Open+social innovation

Knowledge failures (HE/R)

Robust, evidenced-based policies



## Foresight's emerging roles:

### Creative system disruption

Drivers of structural change

Arena/Space, Outreach and

Coordination role

**Globalisation and multilevel  
policy coherence**



# Foresight and Context: Creative system disruption



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**Recommended long-term agenda  
for creative system disruption**

**Use of foresight as a vision-setting  
and policy coordination device as  
well as a catalyst for systemic  
disruption.**

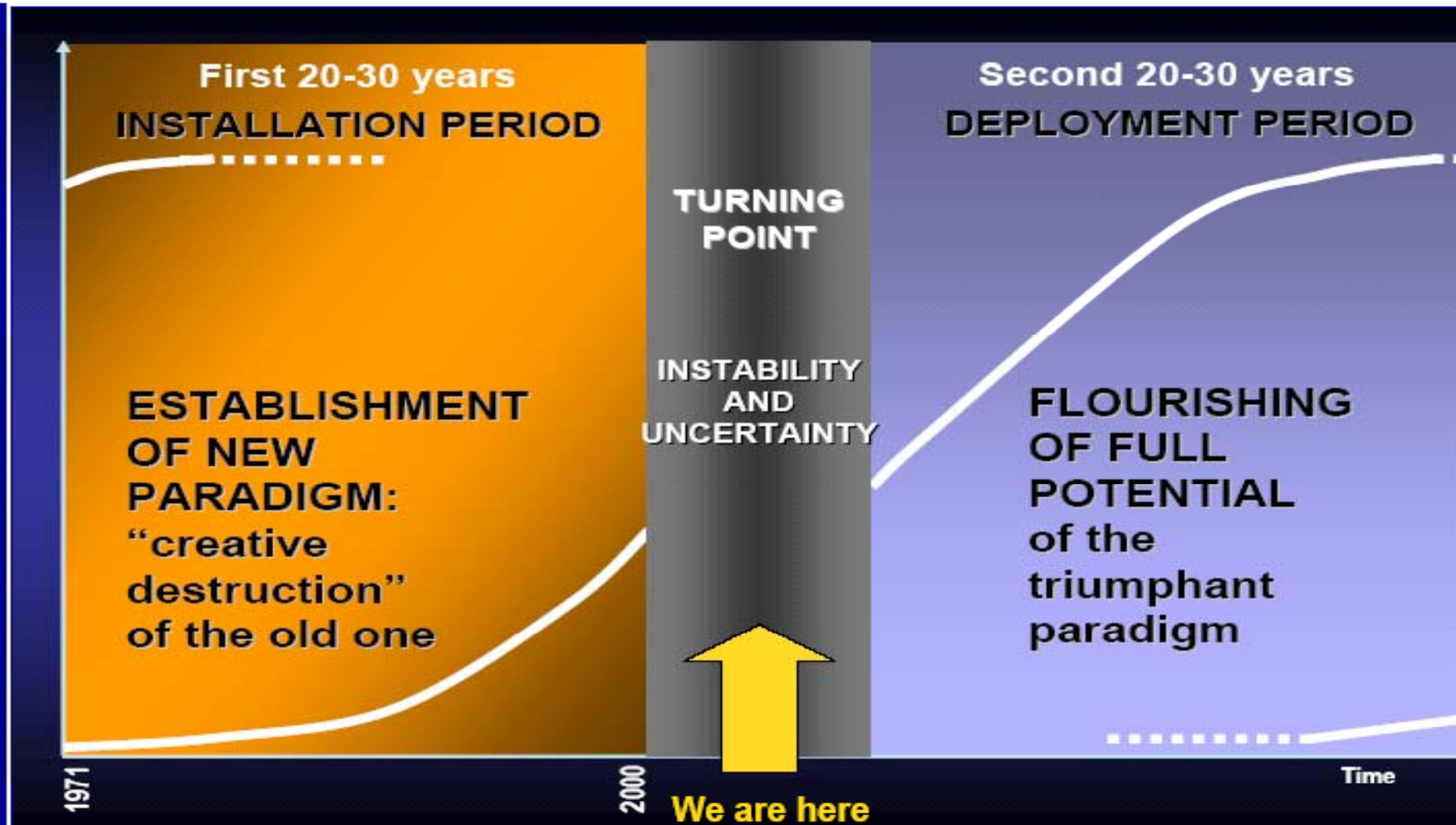
**Optimising European Society's  
Rich Assets: investments in SSH,  
cogsci and complexities as  
drivers of social change and  
system transformation;**

**Transforming Europe's Research  
System by addressing knowledge  
system failure**



**2004**

**But historically the pattern is broken in two**



We are on the  
destruction of  
the



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**Foresight's  
role in  
system  
disruption**

**As a new arena/space** “where policy and investment decisions are discussed and in which “futures” are contested...” (Braun) and helps quantify and qualify the future potential of a key technology

**As an outreach role** in bringing about broader stakeholder participation, engagement and learning in the communication of longer term issues and the building of consensus on the most promising areas;

**As coordination device** of collective strategy development for realizing system innovations in society, by aligning “the individual strategies of the variety of industrial, research, policy and societal actors... when they are geared towards long-term objectives that cannot easily be achieved through market mechanisms”. (Weber)



**FTA**  
Future oriented  
Technology  
Analysis

# Foresight in adaptive mode (Weber)

**Realistic, learning-based approach**

**Balance between adapting to and  
shaping the future**

**Fast adaptation to contextual  
developments**

**Iterations of visions, processes through  
mutual open learning processes**

**Foresight's role in transition management**

**More actor-oriented approaches**

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**FOR-LEARN**  
Support to Practitioners

# Role of intermediary

Innovation Union Commitment 8: *"...The Commission will create a "European Forum on Forward Looking Activities" bringing together existing studies and data and involving public and private stakeholders to improve the evidence base of policies"*

## Rationale for EFLA:

- Policymakers did not see the crisis coming and asked why
- Rigid structures / vested interests / traditions prevent aggregating intelligence addressing economic and other social dimensions of increasing complex public policy challenges
- National foresight not visible at European level

# EFLA

- High level standing advisory panel created to:
  - Advise the Commission on the basis of the most outstanding Forward Looking Activities on the early identification of emerging or disruptive grand societal challenges
  - Within the selected grand challenges: detect the missing research and innovation challenges
  - Detect the needs for further Forward Looking Activities
  - Advise the European Commission on how to embed FLA's in (R&I) policymaking

# To sum up on EU Foresight

- Foresight exercises achieve benefits derived from the process to a degree at least comparable with any benefits deriving from their more formal outputs.
- In the first wave of European exercises in the 1990s this was a common finding both in the official reports and in initial evaluations
- Effectiveness of EU foresight expert groups in setting European vision and policy and the strategic, long-term research agenda: clear impact
- Parallel thinking and proposals: importance of societal challenges, investing in SSH, cogno, complexity
- Key insights and messages picked up from one expert group to the next: rupture approaches picked up by SCAR foresight group and AHO group, grand challenges by ERA Rationales group and now in H2020.
- Continued investment in foresight for ongoing reflection on EU vision and policy
  - Horizon scanning, foresight facility
  - EFLA as intermediary

# In conclusion

- Foresight is emerging as a more embedded activity supporting ongoing policy-making processes (backstage move) – varying forms/ levels of intensity.

Yet it can have ambitious goals (creative disruption, wiring up open and social innovation system, re-engineering and re-aligning systems and networks...

In reality it is more about adapting to than shaping the future..

The tools and process must work but ultimately it is the actors that make foresight happen and sustain it beyond the activity...

# Thank you for your attention

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