TFCI *(Canada)* Inc.

27 Medhurst Drive, Ottawa Ontario, Canada K2G 4M1
JESmith@Telfer.UOttawa.CA

Foresight for

(www.etc)

Preliminary Impact Assessment

A Methodology for Establishing an Impact Baseline for the ……………………………Project

Introduction

Foresight for…………………. was an innovative, multi-partner initiative that applied foresight methods to support new ways of thinking about the future of……………. Led by the ………………, the project was funded by ……………and in-kind contributions of partner organizations.

In a series of foresight activities, a diversity of ……………experts, practitioners and stakeholders from across …………..and around the world are exploring the following question:

How can ………….. build a more effective and robust ………………. system for 2025 and beyond?

The Impact –Value Challenge

A key recurring challenge for Foresight initiatives – projects, programs, and pilots - has been how to actually demonstrate the value of foresight investments for government sponsors and stakeholders - who are mindful of accountability, are asked to justify the value of foresight investments for government mandates and are requested to provide cost-efficiency and cost-effectiveness analysis so that foresight can be compared with other prospective applications of limited government funds.

The methodology elaborated below is a response to this challenge, prepared by Professor Jack E. Smith with input from senior international foresight leaders from the US, Europe (UK, FR, NL, FN) Australia and Asia (TH, CH, KR, SP). The methodology draws upon discussion papers presented by the author and Professors Jon Calof and Ron Johnston at the following international meetings:

- February 2009 UK Foresight Office hosted meeting of the National Foresight Government Leaders;
- March 2010 Paris, France, OECD hosted meeting of the National Foresight Government Leaders;
- August 2011 APEC Centre for Technology Foresight International Advisory Board in Bangkok;
- September 2011 Policy Horizons Canada hosted meeting of the National Foresight Government Leaders;

The Foresight Collaborative Impact Instrument is structured in three parts:

- *Part A consists of four general questions;*

- *Part B examines five meta-measures, focused on generic value areas such as learning and education; and*

- *Part C has three questions, each relating to a key aspect of the policy process, and there are 5-8 elements to rate within each of the three aspects of policy.*

It should take about 15 minutes to complete all questions.

Thank you for your contribution.

Part A: General Questions:

- *Foresight value for sponsors and participants,*
- *Key roles of foresight in Government;*
- *How critical success factors are accounted for in foresight development and positioning; and;*
- *How does foresight create value for Government?*

Since the focus in this instrument is on how foresight can be shown to impact government and governance, the relationships between foresight and key government roles and processes (e.g. policy) will be central to the analysis. The impacts foresight has on business, education and non-government organizations, as a result of projects they lead, while relevant and important, are not the focus here, although many similar measures can be applied.

At the core of this relationship are some key perspectives:

1. Foresight provides value for the policy community- and so its ability to provide this can be defined as a **value proposition**. The more precisely this proposition can be elaborated and validated - the stronger the prospects should be for continuing support;

2. There are many stakeholders in the policy environment – so it will be important to distinguish them by defining particular groups of clients needs, and **aligning foresight roles and critical functions** with them – i.e. being relevant to a variety of clients throughout the policy cycle is also part of the value proposition;

3. The relationship is fundamentally symbiotic – i.e. mutually interdependent. In this context, how foresight is designed to align with **styles of leadership, learning and engagement** is relevant and quite important, particularly because foresight often is asked to be a change agent or provocateur of new strategies which need to be explored, challenged and confirmed before they can influence policy;

4. Foresight is a **process** that should lead to **influences, outputs and products** which when received or adopted become **outcomes** which normally have some **type of impact** in the nature of changes, actions or consequences which can be **observed, articulated, analysed and (ideally) measured;**

5. The foresight process is usually **collaborative**, focused on a **manageable topic**, and often is designed to provide **support for decision-making** (or priority setting, appreciation of uncertainty factors etc.) by contributing forward and **future oriented assessments**, options, challenges and opportunities identification;

6. **To summarize – the foresight-policy relationship is important for both and often there are interdependencies so any assessment of the impact of one will have implications for the other.**

Foresight Impact Measurement Instrument
Project Assessment Form

Question 1: **How would you describe the _value_ that the ……. project has provided to you and your (stakeholder) group?**

Section 1. How ……… has been Valuable to you	
Which Aspects?	*How or why Deemed Valuable*
(Add Your Narrative Here)	

Question 2: Which _roles_ has the …….. project performed well and why?

Section 2. Foresight (Value) Roles & Impacts	
Key Role	*Briefly describe and score (1-5 where 5 = high impact; 0 = does not apply) any Impacts you have seen on … e.g. Senior Govt Executives, Industry Leaders, Govt Policy Advisors, Public Opinion Leaders, Professional Colleagues*
1. **Awareness raising**	Score here	• Comments here
2. **Informing**		
3. **Enabling**		
4. **Influencing**		

5. Evaluating		
6. Other		

Question 3: How well has the ……. project been positioned – i.e. designed and delivered – in the context of the 8 _critical success factors_ listed in Section 3?

Section 3. Government Foresight Critical Success Factors & Impact		
Critical Success Factors	_Your Narrative Positioning Assessment_	_Score 1 (not very well) - 5(very well) or no opinion-0_
1. _Focus on a clearly identified client_		
2. _Establish a clear link between foresight and today's policy agenda_		
3. _Nurture direct links to senior policy-makers_		
4. _Create strong public-private partnerships_		
5. _Develop and employ methodologies and skills that are not always used in other departments_		
6. _Ensure a clear communication strategy from the start._		
7. _Integrate stakeholders into foresight programs_		

8. *Take advantage of or create a national-local academic receptor and training capacity.*		
9. **Your Written Comments on Section 3 Government Critical Success Factors**	• Add comments here	

Question 4: What specific <u>benefits </u>do you think the …………… project will provide or has already delivered to ………………………. government sponsors and stakeholders?

Section 4. Foresight Benefits Perspective		
Foresight Benefits Categories	*Importance (1=low; 5=high; 0 = no opinion or not applicable)*	*Benefits Which Stakeholders Most?*
1. **Generating national strategy**		
2. **Prioritising resources**		
3. **Changing existing institutions and building partnerships among actors**		
4. **Enhancing intelligence systems and stimulating the exchange of information**		
5. **Building early warning systems**		
6. **Communication and coordination**		
7. **Propelling societal learning processes**		
8. **Knowledge management**		
9. **Stimulating innovative policy making**		

10. Enhancing the environment for innovation		
11. Impacting on organizational strategy		
12. Impacting on new product –service development by government		
13. Other		
14. Your Written Comments on : Section 4: Foresight Benefits Perspective Measures	• Add Comments here •	

Part B: Generic Impacts

Question 5: What <u>general impacts</u> have you seen from the ……….. project in terms of the general (meta-measure) categories described in Section 5? (i.e., learning, skills, strategy, risk reduction, design & planning?)

Section 5: Meta-Measures & Generic Foresight Impacts		
Meta Measures • *Meta measures = those which are intrinsic to most if not all foresight projects and programs, with variance by client, context, funder etc.* • *Please rank which ones you think have been most important for the ……… project to date. (1 = low importance; 5 = high importance; 0 = not applicable or no opinion) +* • *Please add any additional ways of measuring you would suggest*		
Meta-Measure	*Score 1-5 or 0*	*Ways Could be Measured – (suggest additions)*
1. **Learning & Education**		e.g. Testimonials, anecdotes, resonant personal and institutional stories, evidence of new skills mastery, recognition of terms, stages and insights; calls for advice by leaders based upon past work; reputation for new insights-education.
2. **Training & Skills Development**		e.g. Courses, seminars, training sessions attended; enhanced abilities and capabilities as described by stakeholders, clients, champions; certificates of proficiency, acceptance by professional societies such as the APF.
3. **Creating Strategic Directions**		e. g. Acceptance of new strategies by one's organization; assignments to strategic teams; evidence of foresight in adopted priorities; new direction with foresight derived origins.
4. **Managing Risk – Uncertainty**		e. g. Statements of risks linked to future uncertainties and the (foresight) process of determining levels of perceived risk and management approaches to these risks.
5. **Improving Design & Planning Agility**		e.g. Recognition, evidence and examples of how foresight can or did provide resilience in the form of contingency design and planning for those aspects of design and planning which are inevitably uncertain.
6. **Seeding Innovation:**		e.g. **new organizations, programs, institutions; cases of foresight helping to identify new products, services, infrastructure innovations, best practices, new ways of problem solving.**
7. Your Written Comments on : Section 5: Meta Measures	• Add Comments here •	

Part C: Policy Stage Impact Elements & Measures

Question 6: At the **pre-policy stage**, *where foresight is normally positioned to help scout or scan the environment and shape or contribute to key policy inputs, what impacts or contributions do you think have been most important for the ………… project and can you suggest additional measures that could demonstrate or show these impacts?*

Section 6: Pre-Policy Measures		
• **Please rate what level of impact (*1=low; 5=high; 0 = no opinion or N/A*) you think the ………… project has had on each element;** • **Please suggest any additional measures you think could be useful in measuring the impacts.**		
Pre-policy Elements	***Level of Impact***	***Potential Measures – (Suggest additional)***
1. **Research & Development Priorities**		Foresight provides key input to R&D agenda setting- measure is how well this works – e.g. % of priorities defined via foresight or top ten etc.; results from agenda setting with attribution to foresight inputs; engaging stories about how new R&D has evolved from the networks, insights and, linkages encountered through foresight processes.
2. **New Insights & Knowledge**		e.g. Anecdotes and stories about new factors introduced during or a result of foresight that were not known about or regarded as relevant; testimonials by participants, leaders and consumers of foresight about the value of new ways of looking at issues, new knowledge revealed, pathways discovered or solutions to problems considered.
3. **Adding Creativity, Invention & Imagination**		e.g. New idea counts in a foresight process; tracing the development of an idea, a concept or a proposal through time in a morphological pathway in which a foresight method is or was initially involved; use of influence diagrams and maps, mind mapping etc. to trace the

		origin and direction, and application of novel ideas in a larger policy- program context.
4. **Contribute to Policy Research, Options and Analysis**		Morphologies of policies; derivation of policy research-evidence and rationales; inclusion of foresight information and references; citation of foresight outputs, studies and observations-insights; anecdotes by senior policy authorities and policy advisors
5. **Educate Leaders on Foresight - Policy Issues**		e. g. Testimonials by leaders; evidence of new direction, decisions adopted following foresight involvement; references to foresight derived insights, situations, scenarios; authorization or pursuit of new R&D, issue studies and risk assessments derived from a foresight process; tracking of opportunities revealed through foresight briefings, participation, sponsorship.
6. **Affect Attitudes & Beliefs**		e. g. Testimonials, surveys of post change attitudes and beliefs; anecdotes by leaders and participants; historical analyses of change patterns and sources; longitudinal measures of changing attitudes -public opinion polling etc.
7. **Develop Connections & Networks**		e. g. Network science now enables us to calibrate the depth, breadth, nodal robustness and spread factors associated with networks. Networks can be mapped, traced back in time and probed for content relevance and influence- weight and comparative impacts. Connection intensities and loading points can also be examined by asking participants in surveys, through observed behaviour and connection actions analysis.
8. Your Written Comments on : Section 6: Pre-policy Measures	• Add Comments here •	

Question 7: Where policy (e.g. food, health, security, farm management etc.) is being or has been developed and adopted, what level and types of impacts would you say could apply as a result (direct or indirect support) from the ………….project?

<table>
<tr><td colspan="3" style="text-align:center;">Section 7: Policy Support Measures

• Please rate what level of impact (1=low; 5=high; 0 = no opinion or N/A) you think the …………… project has had on each element;
• Please suggest any additional measures you think could be useful in measuring the impacts.</td></tr>
<tr><td>Policy Support Elements</td><td>Level of Impact 1-5 or 0</td><td>Measuring Impact</td></tr>
<tr><td>1. Stakeholder Engagement & Characterization</td><td></td><td>e. g. Examples of where a foresight process identified or engaged new stakeholders to contribute to a policy development process; anecdotes of how the characterization of stakeholders may have enlarged, shaped or extended the scope of a policy process</td></tr>
<tr><td>2. Framing Policy Issues, Options & Decisions</td><td></td><td>e. g. Comparison of policies that explicitly included foresight against those that did not; evidence of policy outcomes that clearly internalized foresight based framing elements - such as contingencies, longer timeframes, impacts of emerging technologies etc.</td></tr>
<tr><td>3. Validation & Legitimacy</td><td></td><td>e. g. Survey policies linked to future changes and shifts from current practices where foresight exercises are cited or referenced; quantify investments made by policies linked to foresight topics that preceded the policies.</td></tr>
<tr><td>4. Advice for Policy Champions</td><td></td><td>e.g. Testimonials by policy champions about where they received advice regarding domains with future uncertainties attached; examples of where foresight advice has helped to broaden and add to the agility - resilience of policy.</td></tr>
<tr><td>5. Change Factor Analysis</td><td></td><td>e.g. Counting change factors cited and linked to foresight; references to foresight scans and implications of change as context for policy changes being proposed; references to scenarios and expected</td></tr>
</table>

		policy outcomes for how the policy may affect a given sector or clientele.
6. **Socio-Economic Threats & Opportunities**		e.g. Counting the instances in a policy document where text mining can identify how frequently words, phrases and prospective impacts of a foresight nature are employed; anecdotes, testimonials and reflections of policy makers about how they were able to introduce future threats and opportunities to a given policy process.
7. **Filter for Future Robustness**		e. g. Cases where policy processes have benefited from or been adjusted because of the further perspectives of foresight; instances where policy researchers, linked to foresight, discovered new ideas and factors to introduce into a policy development process.
8. **Manage Complexity, Ambiguity & Horizontal Issues**		e.g. From scanning to multiple, plausible scenarios and outcomes, foresight impacts the contingent nature of policy options - this can be described in cases, anecdotes and in the assessment of outcomes, particularly where a policy process has failed because of not being prepared for the evolving complexity or horizontality associated with an issue. Also it may be possible to quantify the complexity intensity of some issues, and compare those that are linked to foresight against those only dependent upon traditional policy factors alone.
9. **Other**		Add your measures
10. Your Written Comments on : Section 7: Policy Implementation - Action Support Measures	• Add Comments here •	

Once Policies are adopted, they still need to be communicated, promoted, and implemented through actions, regulations, programs, new organizations, institutions etc.

Question 8: What has been the experience-impact of the ………………… project in contributing to (or at least positioned well to do so in future for) policy and /or program implementation?

Section 8: Post-policy Implementation - Action Support Measures

- **Please rate what level of impact (*1=low; 5=high; 0 = no opinion or N/A*) you think ………..
  has had (or is well positioned to have in the future) for each element;**
- **Please suggest any additional measures you think could be useful in measuring the impacts.**

Policy Implementation Elements	Level of Impact or How well positioned	Measuring Impact
1. **Communication Channels – Identification and Interface**		e.g. Media hits, retention measures, # and diversity of channels ; media and public recognition and branding feedback; unique sourcing from foresight aspect, network dynamics, exposure as conveyor of things new , change orientation;
2. **Public and Professional Perception and Appreciation**		e.g. Public opinion polling; thought leaders tracking, focus group feedback, requests for public information, involvement, professional recognition, awards, citations and participation; cross-marketing and joint event planning and attendance.
3. **Innovation, Integration and Implementation Dynamics**		e.g. Innovation outputs- groups involved, new products, services, , alliances, markets ; sales and potential-projections; speed and efficiency improvements; ability to make smart choices and enhance user needs and customer-stakeholder

		satisfaction;
4. **Infrastructure Alignment , Resilience**		e.g. Testimonials, investment scale, strategic relevance, leverage rates and total commitments by all parties; rates and success of public-private partnerships; public aware ness of foresight linkages, generative roles
5. **Organizational Development, Adaptation and Renewal**		e.g. Foresight vision and role in identifying needs and forms for new organizations to meet changing circumstances; catalyst role in stimulating awareness of needs for renewal, adaptation; numbers, forms, mandates and shifts of organizations involved in foresight and policy implementation, new initiatives launched, resources attracted etc.
6. **Media Attraction and Messaging**		e.g. Measures of the relative hotness or buzz of foresight related, inspired events, inputs to policy, and visibility in public media; innovativeness of content, intensity of messages – in media ratings terms; evidence of policy-foresight symbiotic tendencies.
7. **Appeal to Prospective Staff**		e.g. Who is seeking to join; numbers and qualifications; interest shown by other Institutions, schools; testimonials by new, recent recruits
8. **Lens for Evaluation, Assessment of other Tools**		e. g. Measures of foresight literacy and strategic effectiveness are only beginning to be developed but are worth tracking and testing, as are ways that the policy functions of government are adjusting to the growing importance and relevance of foresight, and its methods, contingencies, insights and applications to policy.
9. **Other**		Add your measures

10. Your Written Comments on : Section 8: Post-policy Implementation - Action Support Measures	• Add Comments here •

Thank you for your contributions!

The ………… Foresight Project Team and TFCI Canada Inc. appreciate the time and knowledge your contribution represents.

Findings will be aggregated to show the diversity and relative frequencies, intensity of impacts and good additions and examples, including poignant quotations may also be referenced.

While the administration of the impact framework is not anonymous, no individualized - derived data or references will be directly connected with or refer to any individual respondent unless written permission has been requested and granted for this purpose.

Projects that wish to adopt-apply this impact analysis format are asked to contact: jesmith@telfer.uottawa.ca for permission to use the copyrighted approach and format.

Normally permission will be granted in return for the transmission of the data results for a comparative performance data base that Mr. Smith is developing. Another option is to request TFCI Canada Inc. – Mr. Smith to administer, score and report on the findings for a modest fee of $ 1500- $ 4500 depending on number of participants- respondents to the survey. ($ 1500 for 15-50; $ 3000 for 50-100 and $4500 for 100-300)