



The added value of public engagement in the development of sustainability-focused research policy and programmes

4th European TA Conference, Nov 2019, Bratislava

Zoya Damianova

Applied Research and Communications Fund, Bulgaria

Contents:

- Horizon Europe: Research and innovation missions
- R&I missions: Governance
- Opportunities to TA in Horizon Europe
- Public engagement approach of the CASI project, MML, FP7

Overall structure of Horizon Europe

- Pillar I – Excellent Science
- Pillar II – Global Challenges and European Industrial Competitiveness (mission-oriented)
- Pillar III – Innovative Europe
- Part 4 – Widening Participation and Strengthening the European Research Area

R&I Missions in the Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing Horizon Europe

'Mission' - a **portfolio of excellence-based and impact-driven R&I** actions across disciplines and sectors, intended to:

- achieve, within a set timeframe, a **measurable goal** that could not be achieved through individual actions;
- have **impact on society and policy-making** through science and technology; and
- **be relevant for a significant part of the European population and a wide range of European citizens.**

Source: Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing Horizon Europe

4th European TA Conference

5 criteria for selecting missions as per Prof. Mazzucato	Proposal for a REGULATION ... establishing Horizon Europe
<ul style="list-style-type: none">• Clear direction and objectives• Bold and inspirational• Ambitious yet realistic research and innovation actions.• Cross-disciplinary, cross-sectoral and cross-actor.• Open to multiple, bottom-up approaches and solutions	<ul style="list-style-type: none">• SDGs - sources for their design and implementation, clear research and innovation content, EU added value• Cover areas of common European relevance, be inclusive and encourage broad engagement• Synergies with other EU and national programmes.

Sources:

1. *Mission-Oriented Research & Innovation in the European Union: A problem-solving approach to fuel innovation-led growth, Prof. Mariana Mazzucato, DG RTD, 2018*
2. *Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing Horizon Europe, Apr 2019*

Opportunities for TA in Horizon Europe – Pillar II (mission-oriented)

- **TA: priority-setting role in regard to societal implications; inform decision-makers about possible unknowns, knowledge databank for future legislation**
- Embed TA in the missions as a horizontal activity (a project or a portfolio of projects, depending on the focus, size and scope of the missions), running throughout their life-time – early warning on emerging problems, provide the knowledge base for choices and decision-making in the earlier stages of research and innovation, participatory approaches
- Adequate account of the level of complexity (Cross-disciplinary, cross-sectoral and cross-actor innovations)
- Education and training on TA - part of the missions.
- Experimentation and flexibility

Part 4 – Widening Participation and Strengthening the European Research Area (Widening Participation and Spreading Excellence, Reforming and Enhancing the European R&I system)

- Widening the TA capacity in Europe

Summing up ... Opportunities for TA in Horizon Europe:

- Pillar II – TA as a core activity in the missions to generate and deliver knowledge for choices and decision-making, TA education and training part of the missions
- Part 4 – Widening the TA capacity in Europe and expanding the TA network

Missions in Horizon Europe:

- Mission 1: Adaptation to Climate Change, including Societal Transformation
- Mission 2: Cancer
- Mission 3: Healthy Oceans, Seas, Coastal and Inland Waters
- Mission 4: Climate-Neutral and Smart Cities
- Mission 5: Soil Health and Food

Missions in Horizon Europe:

Report “Governing Missions ...” by Prof. Mariana Mazzucato, July 2019

3 key questions:

- How to **engage citizens** in co-designing, co-creating, co-implementing and co-assessing missions?
- What are the **public sector capabilities** and instruments needed to foster a dynamic innovation ecosystem?
- How can mission-oriented **finance and funding** leverage and crowd-in other forms of finance?

Missions in Horizon Europe – *cont.*:

Report “Governing Missions ...” by Prof. Mariana Mazzucato

Citizen engagement in missions:

- Involvement of citizens in the **definition** and **selection** of concrete missions that matter to society (co-design and co-creation).
- Citizens participation in the **implementation** of missions (citizen science and user-led innovation).
- Citizens involvement in the **assessment** (evaluation, review and monitoring process) of missions.

CASI – Public Participation in Developing a Common Framework for Assessment and Management of Sustainable Innovation, FP7

- Societal challenge 5 of H2020 “Climate action, environment, resource efficiency and raw materials”; MML project
- Ambitious engagement methodology: 19 partners from 12 EU countries, country correspondents in 16 EU countries; engagement of experts, stakeholders and citizens: expert-based online survey on the pertinent characteristics of sustainable innovation (~2000 experts); case studies of sustainable innovations (500+); **national citizen panels in 12 EU countries (230 citizens) plus expert workshop (23 experts)**; stakeholder consultative workshops; national MML seminars; webinars; Advisory Board. Collaboration with DG RTD Directorate I
- **Focus on elaborating new research priorities: sustainable innovation, SC5 (priority setting role of TA in regard to societal implications of R&I)**

4th European TA Conference

National citizen panels in 12 EU countries – as per the CASI work program

- **First round of meetings** of the citizen panels – develop **visions for a sustainable future** (a vision is picture of desirable future, based on hopes and dreams, fears and concerns, time-horizon is 30-40 years from now): **50 visions** in total were produced by the twelve citizen panels
- **Citizen visions** – input to **an expert workshop**, experts produced **27 research priorities** on sustainable future in Europe and policy recommendations, related to these priorities, ranking of research priorities
- **Second round of meetings** of the citizen panels – to validate and rank the research priorities developed by the experts
- **Two rankings of research priorities** – by the experts and by the citizens

4th European TA Conference

Ranking by citizens	Name of research priority	Ranking by experts
1	Supporting local/regional agricultural production, distribution and consumption system	6
2	Holistic education for a sustainable future	20
3	Supporting people to become producers of renewable energy	1
4	Sustainable construction of buildings	17
5	Sustainable transformation of existing traffic infrastructure in cities	25
6	New working models – new economic models	11
7	Innovating agriculture: the sustainability option	8
8	More green in cities	24
9	Understanding and implementing sustainable electronics	16
10	Fair and participatory access to limited resources	13

Major findings from the citizens – experts – citizens work

- Citizens and experts assess priorities quite differently
- Experts are more supportive to technologically-focused solutions (closer to production and economics)
- Citizens give higher priority to research themes focused on socially-oriented solutions and changes

In **conclusion**, there are multiple valuable ways of evaluating the same issues, which need to be reconciled so that a meaningful consensus-based approach is followed when designing R&I agendas.

Follow-up activities

- ☐ Request to further analyse the visions and the priorities based on the work of the citizens' panels –Directorate I, DG RTD
- ☐ Complementary analytical work on the citizens' visions – from 3 perspectives:
 - Citizens' visions vis-à-vis research priorities identified by experts
 - Citizens' visions vis-à-vis SC5 "Climate action, environment, resource efficiency and raw materials"
 - Citizens' visions vis-à-vis Societal challenges of H2020
- ☐ CASI Policy directions in perspective – by Clare Nauwelaers, Advisor to the CASI Project.

CASI Policy Directions in Perspective, report by Clare Nauwelaers, Advisor to the CASI Project

- **Focus** –policy agendas for sustainable innovation (elaborated by the CASI project) vis-à-vis priorities of public programmes on the same theme (Interrge IVC, Interreg Europe and Horizon 2020).
- **CASI vis-à-vis H2020**: sustainable innovation goes beyond H2020 priorities on climate action and energy.
- **CASI vis-à-vis Interreg-Europe**: strong overlap between the priorities set by local and regional authorities (as per the ongoing at the time of analysis Interreg Europe projects) and the priorities elaborated under CASI **BUT** broader spectrum of CASI priorities.
- **CASI vis-à-vis Interreg IVC**: convergence of priorities but different emphasis.
- **CASI vis-à-vis EU energy policy priorities**: strong convergence on the idea of empowering consumers and decentralized energy system.

Relevance of CASI results to the missions in Horizon Europe: INVOLVEMENT of CITIZINEN

Missions in Horizon Europe - characteristics	Findings from CASI – based on analysis of citizens’ visions
Clear direction and objectives Ambitious yet realistic R&I actions	Focus on Societal challenge 5 “Climate action, environment, resource efficiency and raw materials” n.a. to CASI (CSA)
Cross-disciplinary, cross-sectoral and cross-actor	Assume a truly multidisciplinary and cross-sectoral approach to address existing discrepancies and help fill any research gaps that ensue.
Open to multiple, bottom-up approaches and solutions	The citizens’ visions highlight the categorical imperatives of both technological development AND social change – seeking solutions which address these two critical issues in a joint and balanced manner.
SDGs - sources for their design and implementation, clear research and innovation content, EU added value	<ul style="list-style-type: none">• Sustainability is a multidimensional concept that simultaneously addresses the well-being of environment, the individual and the society, social equity, human development, and the economy.• A systemic societal transformation is necessary in order to achieve sustainability.

4th European TA Conference

Relevance of CASI results to Horizon Europe – cont.

Missions in Horizon Europe - characteristics	Findings from CASI – based on analysis of citizens' visions
Cover areas of common European relevance, be inclusive and encourage broad engagement	<ul style="list-style-type: none">• Sustainable innovation, SC5 – stakeholders, experts, policy-makers, researchers, citizens• The majority of the topics (in the visions) of primary concern to the citizens are multi-layered and appear to interplay with one another.
Synergies with other EU and national programmes	The analysis of CASI results vis-à-vis some ERDF programmes proves that such synergies are not only possible but they are a must.

By the end of the project (June 2017) CASI had engaged more than **3,000 citizens, experts, stakeholders and policy-makers** across EU, contributing to the policy discourse on:

- (i) climate change, environment, resource efficiency and raw materials
- (ii) sustainable innovation and sustainable development
- (iii) H2020 agenda for 2018-2020
- (iv) the role of public engagement in the research and innovation policy-making in the EU.

Added value of the engagement approach of the CASI project

- **Cross-country public engagement** approaches hold the potential to contribute to the R&I policy design of the EU R&I programmes – identification of emerging problems and thinking ‘out of the box’ by integrating the multiple perspectives of citizens and stakeholders
- **Embed public engagement approach** as a horizontal approach in the design of R&I programmes. The role of experienced organisations in PE is important
- **Mixture of several engagement methods**, both online and face-to-face
- **Training and capacity building**, complemented with cases of public engagement which have achieved impact

4th European TA Conference

Thank you very much for your kind attention!

Zoya Damianova

Programme Director

Applied Research and Communications Fund, Bulgaria

zoya.damianova@online.bg