



ENLIGHTENMENT AND INNOVATION, ENSURED THROUGH PRE-COMMERCIAL PROCUREMENT IN CITIES



## WP 4 Mutual Learning & Dissemination

### Report from the Training Session on Needs Assessment

INNOVA S.p.A.

December 2013





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## 1. Introduction

The aim of the current document is to present the results of the first training session carried out within the ENIGMA project as foreseen in Work-package 4 “Mutual learning & Dissemination”.

The main objectives of WP4 are to:

- Define and implement the strategy to promote the progress and outputs of the project to ensure the widest possible dissemination.
- Ensure effective communication and information dissemination with the stakeholders.
- Guarantee the maximum visibility of the project at EU level.
- Engage key stakeholders in project activities via networking in order to raise awareness about PCP.
- Inform and disseminate project outcomes and results to key stakeholders at local, regional, national, and European level in order to gather input and feedback and to promote the awareness about, and experiences of PCP.
- Experience sharing between cities through peer-to-peer exchanges.
- Organize training sessions aimed at assisting the contracting authorities to carry out the PCP, in particular during the steps prior to PCP and in how to prepare the call for tenders.
- Ensure wide visibility of project results through networking activities linked to both project specific and external events.
- Support partner cities and institutions with their local, national and European communication activities linked to this project.
- Cooperate with other initiatives and/or projects/networks focused on PCP.
- Carry out networking and coordination activities with other projects funded within the current Call FP7-ICT-2013.

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The ENIGMA trainings fall under Task 4.2 “Knowledge Exchange”, in particular sub-task 4.2.3. They consist on capacity-building actions aimed at assisting and providing contracting authorities involved in PCP within the ENIGMA project with the necessary skills to carry out a PCP process, in particular during the steps prior to PCP and in how to prepare the call for tenders.

The objective of the trainings is also to share and to disseminate PCP-related knowledge to other stakeholders directly involved (or interested) in starting PCP processes.





ENIGMA's Description of Work foresees the training activity to be organized in modules, in particular:

- Training module # 1 on Needs Assessment: the objective of the first training module is to understand the steps prior to PCP, namely: Needs identification and Concept Viability. Participants to the training are introduced to practical approaches (selected among successful practices in the EU, like for example the WIBGI "*Wouldn't it be great if...*" model) on how to identify, validate and rank needs and once a need is identified, to perform a concept viability exercise.
- Training module # 2 on the Business Case: the objective of the second training module is to develop a Business Case for the procurer. Participants to the training will receive practical guidance and advice on how to prepare a Business Case for a PCP project.
- Training module # 3 on Functional Specifications: the objective of the third training module is to assist urban experts in drafting the functional specifications of the call for tenders for PCP. Participants to the training will be offered practical guidelines on how to write Functional Specifications (from the outcomes obtained in the needs assessment step)
- Training module # 4 on Legal & IPR issues: the objective of the fourth training module is to shed light on legal and IPR issues when dealing with PCP. Participants will receive advice accompanied with practical examples on how to deal with IPR and other important legal issues that may arise in PCP.

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The current document reports on the first training session, which took place in Gent (Belgium) on November 27<sup>th</sup> 2013 and that was focused on Needs Assessment.

The training session is described in terms of:

- objectives
- modality
- dissemination
- participants
- structure and topics covered
- knowledge transferred and important issues raised during the training
- evaluation
- room for improvement.





## 2. ENIGMA's training session on Needs Assessment

The first training session of the ENIGMA project has been organized as a 1-day event in Gent (Belgium) in November 27, 2013 under the responsibility of EUROCITIES and INNOVA.

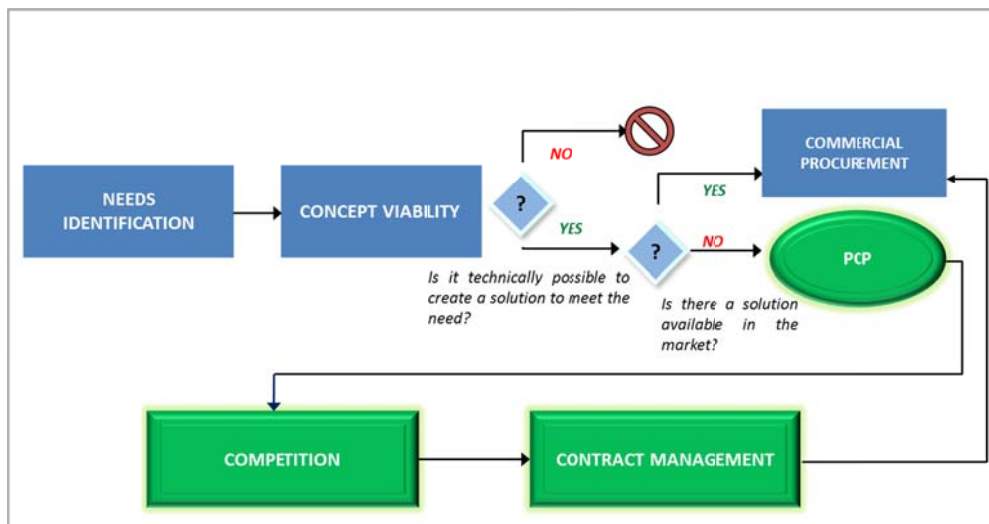
The city of Gent has been chosen as the location for the event in conjunction with the EUROCITIES' annual conference on 'Smart citizens' that was also taking place in Gent on November 27-29, 2013.

### 2.1 Objectives

The objective of the training session was to gain a theoretical as well as a practical understanding of the Assessment of Needs (which includes needs identification and concept viability) as a fundamental step prior to PCP. The figure below represents the process flow of a typical PCP process and although needs identification and concept viability (in blue) do not belong to the PCP process they are fundamental “preparatory” steps to the PCP. As a matter of fact, they deserve special attention since failure to identify the need or to assess whether it is technically possible to create a solution to meet that need or to check whether the need can be met with products/services already available in the market (or so close to the market that no R&D but only incremental/integration type development is required), might compromise the success of the PCP initiative.

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Figure 1-The PCP process flow



### 2.2 Modality

The training session has been organized following the one-to-many “teaching/lecture model”, with:

- presentation of slides
- case studies and practical examples

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- a role-playing exercise

Participation and interaction with the audience has taken place through Q&As and through the role-playing exercise in which the audience was divided into small groups and was asked to propose solutions to a given problem in a city playing the role of a science fiction character<sup>1</sup>.

The trainer was the PCP expert, Dr. Michael Wilkinson (the trainer's CV is shown in annex 2).

## 2.3 Dissemination

The event has been widely disseminated by EUROCITIES and INNOVA. A special page was created in the EUROCITIES web site (see below), with the announcement of the training, the agenda, the practical information sheet and the contact for registration. INNOVA has publicized the event in its web site and through its network of contacts.



## 2.4 Participants

Sixteen (16) participants attended the workshop. The attendance sheet/list of participants is shown in annex 3.

## 2.5 Structure and topics covered

The event was structured in one day. It started with the welcome to participants followed by a presentation of the ENIGMA Project made by Jan Josten (Eindhoven), the project coordinator. The session was split into two "learning blocks", one "learning block" dealing with the issue of needs

<sup>1</sup> The practical role playing exercise was simulated using as an example the current situation of the city of Malmo and asking the audience "what would Harry Potter do if he were to land in Malmo". The role-playing exercise is part of the "Wouldn't it be great WIBGI" methodology, which allows participants to find innovative and creative solutions to existing problems by imagining they are someone else and thus allowing them to think out of the box.





identification and the other “learning block” with concept viability. The morning session and the first part of the afternoon session were devoted to the needs identification topic, whereas the second part of the afternoon session dealt with the issue of concept viability.

The agenda of the event is shown in annex 1.

The full presentation is available and can be downloaded from: <http://prezi.com/k9cond8pdefi/pcp-workshop-for-enigma-ec-project-nov-2013/>.

The video presentation of the training will be made available on <http://www.enigma-project.eu/en/Learning-Platform/Overview/>.

## 2.6 Knowledge transferred and important issues raised during the training

### Knowledge transferred

The knowledge transferred to participants in this training session is related to the two activities that are preparatory and necessary to start a PCP process, namely needs identification and concept viability.

Through the training session, participants have learnt more about the PCP instrument: what it is, when it should be used, its components, its main benefits as well as practical and real-live examples from the UK’s NHS like the blood donating chair or the temporary isolation room.

Participants have learnt about practical approaches currently used to identify needs using several sources such as review of scientific and technical literature, policy reports/publications, statistical data, expert opinion (of researchers, academics, engineers, scientists).

In addition, participants have also been introduced to the *Wouldn’t it be great if...(WIBGI)* methodology, which has been partly put into practice with the audience through a role-playing simulation exercise.

The needs identification methods presented during the training session are real-world, hands-on approaches currently in use which participants can follow/adapt and put into practice in their own realities. For ENIGMA’s contracting authorities in particular, these methods can be used to complement the deep-dives activities.





As far as concept viability is concerned, through the training session participants have become acquainted with this exercise, which allows to check with the market whether the solution that should be procured through PCP is technically feasible and exists on the market. The training has



therefore provided participants with information on how and why concept viability should be performed, the benefits for the contracting authorities as well as practical tips to carry out the concept viability exercise (Do's and Don'ts). In this way, the participating contracting authorities have been made aware of the importance to carry out this exercise before the launch of any PCP initiative and can choose whether

to carry it out by themselves or externally.

In the case of ENIGMA, the concept viability complements the scouting the solution space activities foreseen within the project. Also within the specific context of ENIGMA, the knowledge acquired in both fields of needs identification and concept viability will be useful for the preparation of the call for tenders document.

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#### *Important issues raised during the training session*

The following are a list of important issues that were raised during the training session. They are key aspects highlighted by the trainer due to their relevance, specific recommendations for the project, and/or issues raised by the audience (Q&As) that deserve special attention:

- ✓ The **PCP** is an **exceptional procedure** and should only be used when there is a societal need that cannot be met by traditional procurement.
- ✓ When dealing with PCP, **openness, fairness** and **transparency** must be ensured.
- ✓ PCP implies **risk-sharing** between the innovator (supplier) and the contracting authority. Usually, the contracting authority gets a reduction in the price and the IP and exploitation rights are vested with the supplier. However, there might be some cases in which the contracting authority might want to have a share in the exploitation of rights in the global market. Should be this the case (a % of the IP belongs to the public authority), it is important to know in advance what the contracting authority would do with the money gained (how it'd spend the money).







- ✓ PCP stops before market entry. However, since 2014 the new EC regulation/directive foresees that PCP can be **combined with other types of procurement**, for instance with Forward Commitment, so that the contracting authority commits to buy a certain quantity of the product/service developed. This commitment should create an incentive and stimulate the participation of suppliers. Even in the case where there is no Forward Commitment, as is the case of ENIGMA, the important thing is to create a strong “**branded**” product; in this case a brand for ENIGMA, allowing the company to use the ENIGMA brand and sell its products in Europe and abroad.
- ✓ It is very important to **write the Call for Tender document in the right way from the very beginning**. Otherwise there is the risk that suppliers respond in a vague mode, get the contract and then raise the issue of change request. This will imply a waste of money and time for the contracting authority.
- ✓ It is crucial to **focus on the need** and on the **desired benefits**. In order to properly write the needs, the input and the evidence from the Deep Dives that ENIGMA is carrying out in the 5 cities is very important but it should also be complemented and combined with quantitative and qualitative data, e.g. economic, demographic data, statistics, data from public reports, government papers, scientific publications, experts (engineers, academics, trade associations) and also the public (citizens).

- ✓ **Sharing the information** with **stakeholders** will help focus the need and refine the challenge that will be published in the call for tenders. The contracting authority should be careful when dealing with corporations as they might have an interest to sell their products. If a product is about to be launched in the market, this means that there is no market failure and therefore, the contracting authority should not do PCP.



- ✓ When writing the desired benefits, it is important to state “what the ideal would be”, **not giving a technical specification, but providing the desired outcome**. It is important to remember that the solution should be technically stretching, not an incremental change of





something that already exists on the market. By using PCP we want radical, step-change innovations.

- ✓ In order to come up with a **common need**, the different needs coming from the different contracting authorities can be **clustered around** certain **themes of interest** (e.g. safety/security, environment, quality of life). In this way the number of needs will be reduced and it will be easier to identify a common need. When making a judgment one should not look at the need but instead at the desired benefit (what you want to get).
- ✓ Since ENIGMA is working in an EU context and also in 5 different countries, it should be well specified in the Call for Tenders that the solution will have to be robust enough to work for all those 5 national standards/regulations. A **balance** will have to be found **between flexibility** and the need to respect certain **standards** and this, in turn, will be written in the specifications (e.g. by asking the suppliers how would their solution respect EU and national standards).
- ✓ The “*Wouldn't it be great if...*” (WIBGI) technique can be used to make **people think out of the box** and develop a **PCP focused on the desired benefits**. Once we have the problem statement and the benefit statement, it is up to the innovator to tell us how to bridge that gap.

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procurement).

- ✓ When carrying out a concept viability exercise, contracting authorities, instead of consulting single companies, should **involve the trade associations** directly.

✓ The concept viability can be considered a type of “**reality check**” exercise (is it technically possible to develop a solution within the time and the budget given?). It gives the contracting authority the possibility to discuss technical, commercial and procurement issues before the Call for Tenders is launched (and this lowers the risk of the





## 2.7 Evaluation

During registration, the organizers distributed the evaluation forms asking for an assessment of the session based on organizational aspects and content and execution aspects. Eleven participants (representing the 68% of the audience) returned the form duly completed. The template for the evaluation assessment and the results are provided in annex 4.

The results from the evaluation show that the training session has been very well received by participants in terms of organization, content, expectations and contribution to increased knowledge in the field. In particular, the analysis of participants' responses show the following:

Regarding the organization of the training session:

- 90% of respondents have rated the announcement of the training session with the highest scores (4 & 5)<sup>2</sup>
- 63% of respondents have rated the simplicity of registration methods with the highest scores (4 & 5)
- 81% of respondents have rated both the practical information provided as well as the logistic aspects (adequacy of room, space, comfort) with the highest scores (4 & 5).

Regarding the training session content and execution:

- 90% of respondents have rated the competence/experience of the trainer with the highest scores (4 & 5)
- 81% of respondents have rated the clarity of presentation with the highest scores (4 & 5)
- 72% of respondents have rated the usefulness/clarity of the material used & examples provided with the highest scores (4 & 5)
- 81% of respondents considered that the time devoted to the topics was appropriate
- 81% of respondents have rated the overall quality of the training session with the highest scores (4&5).

In addition:

- 64% of respondents have declared that the training session was in line with their expectations.
- For 90% of respondents the training session has contributed to increase their knowledge in the field and they will be willing to participate in other training activities with similar characteristics.

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<sup>2</sup> Participants were asked to put a cross (X) in the responses, assessing from 0 (lowest value) to 5 (highest value).





## 2.8 Room for improvement

Following the organization of the first training session, some aspects can be improved for the next sessions:

- further advertising/dissemination efforts can be undertaken in order to attract more participants;
- limit the number of slides and their text content in order to facilitate their reading and understanding (as a response to the concern expressed by one of the participants and reported in the evaluation sheet: *“There were too many slides with too much text, which made it difficult to read”*. This comment will be taken into account to improve the next training sessions).





### 3. ANNEXES

#### ANNEX 1 - AGENDA



Enlightenment and innovation, ensured through pre-commercial procurement in cities

## Capacity-building Training Session on Pre-Commercial Procurement (PCP)

*Cities Training on Needs Assessment Methods*

Gent, 27 November 2013  
Boetermarkt 1, City Council Room

*Draft programme*

9.00-9.15	Registration and welcome coffee
9.15-9.30	Introduction to the ENIGMA project Introduction to the ENIGMA Training Sessions
9.30-10.30	Introduction to the PCP process. Focus on the steps prior to PCP: Needs Identification and Concept Viability
10.30-11.00	<i>Coffee break</i>
11.00-13.00	Approaches to Needs Identification (How to identify, validate and rank needs. Defining a joint common need)- examples (WIBGI) & practical exercises
13.00 - 14.00	<i>Lunch</i>
14.00-15.00	Introduction to Concept Viability
15.00-15.30	<i>Coffee break</i>
15.30-16.30	Concept Viability - examples & practical cases
16.30-17.00	Q&As from the audience
17.00	Close

Supported by:





## ANNEX 2 – TRAINER’S CV

### Dr. MICHAEL WILKINSON



Dr. Michael Wilkinson has extensive experience as an academic and practitioner in innovation management. He earned a PhD from Warwick University post-graduate Medical School, where he was Overseas Research Scholar and Research Fellow. As an academic at the London School of Hygiene and Tropical Medicine, he was the Founding Director of a health informatics incubator, which was eventually sold to the private sector. He was also scientific adviser to the World Health Organization on health informatics. While at the National Endowment for Science Technology and the Arts, Michael established FutureLab at Bristol University. He then worked as Assistant Director of Strategy at the Cabinet Office, where he led the Enabling a Digitally United Kingdom initiative and also wrote the initial business plan for the NHS National Innovation Centre, where he subsequently worked as Development Manager for six years and helped to establish it as an internationally-regarded center of excellence in Pre-Commercial Procurement of innovation. He actually works for Inavya, an innovation service company co-owned by Baxendale and INNOVA.





ANNEX 3 – PARTICIPANTS LIST/ATTENDANCE SHEET



Participants List – Attendance Sheet

NAME	ORGANISATION	EMAIL	SIGNATURE
Sofia Traneflykt	Malmö	sofia.traneflykt@malmo.se	<i>Sofia Traneflykt</i>
Martine Delannoy	Digipolis	Martine.Delannoy@digipolis.be	<i>Martine Delannoy</i>
Nadia Vaerman	Eandis	koen.putteman@eandis.be	<i>Nadia Vaerman</i>
Nils Henrik Haaland	Stavanger	nils.henrik.haaland@stavanger.kommune.no	<i>Nils H. Haaland</i>
Hilde Uberg	Stavanger	hilde.uberg@stavanger.kommune.no	<i>Hilde Uberg</i>
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Jan Jolsten	Eindhoven	j.jolsten@eindhoven.nl	<i>Jan Jolsten</i>
Irmo Kaal	Eindhoven	i.kaal@eindhoven.nl	<i>Irmo Kaal</i>
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Denisa Naidin	EUROCITIES	Denisa.naidin@eurocities.eu	<i>Denisa Naidin</i>
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Arthar Nourbade	Eindhoven	arthar.nourbade@eindhoven.nl	<i>Arthar Nourbade</i>
JUSTYNA BALMER	EUROCITIES	justyna.balmer@eurocities.eu	<i>Justyna Balmer</i>

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## ANNEX 4a -TEMPLATE FOR THE EVALUATION/ASSESSMENT OF THE TRAINING SESSION

### Capacity-building Training Session on Pre-commercial procurement (PCP)

## ASSESSMENT OF THE TRAINING SESSION Cities training on Needs Assessment methods

Gent, 27 November 2013  
Boetermarkt 1, City Council Room

We would like to ask for your cooperation in the assessment of the issues described below. Your opinion is important for us to review the organization, content and resources of the training and incorporate improvements in future sessions.

Put a cross (X) in the responses, assessing from 0 (lowest value) to 5 (highest value)

### 1. Organisation of the training session

	0	1	2	3	4	5
1. Announcement of the training session						
2. Simplicity of registration methods						
3. Practical information provided						
4. Logistic aspects (adequacy of room, space, confort)						

### 2. Training session content and execution

	0	1	2	3	4	5
1. Competence / experience of the trainer						
2. Clarity of presentation						
3. Usefulness/clarity of the material used & examples provided						
4. Time: was the time devoted to the topics appropriate?						
5. Overall quality of the training session						

Put a cross (X) where appropriate

### 3. Was the training session in line with your expectations?

YES

NO







**4. Has the training session contributed to increase your knowledge in the field?**

YES	<input type="checkbox"/>
NO	<input type="checkbox"/>

**5. Would you participate in other training activities with similar characteristics?**

YES	<input type="checkbox"/>
NO	<input type="checkbox"/>

**6. How did you hear about the training session?**

Eurocities website:	<input type="checkbox"/>
Colleagues/peers:	<input type="checkbox"/>
E mail:	<input type="checkbox"/>
Other:	<input type="checkbox"/>

Please specify?: \_\_\_\_\_

**7. Other comments and/or proposals**

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*Thank you very much for your collaboration  
Your evaluation will helps us improve*





## ANNEX 4b – RESULTS FROM THE EVALUATION/ASSESSMENT OF THE TRAINING SESSION

*Number of attendees: 16. Number of returned questionnaires: 11*

Replies by evaluation form question (0 is the lowest, 5 is the highest):

### 1. Organisation of the training session

	0	1	2	3	4	5
Announcement of the training session				1	7	3
Simplicity of registration methods			1	2	3	4
Practical information provided				1	4	5
Logistic aspects (adequacy of room, space, confort)				1	4	5

### 2. Training session content and execution

	0	1	2	3	4	5
Competence / experience of the trainer				1	3	7
Clarity of presentation				1	5	4
Usefulness/clarity of the material used & examples provided			1	1	5	3
Time: was the time devoted to the topics appropriate?				1	6	3
Overall quality of the training session				1	6	3

### 3. Was the training session in line with your expectations?

YES	7
NO	

### 4. Has the training session contributed to increase your knowledge in the field?

YES	10
NO	1

### 5. Would you participate in other training activities with similar characteristics?

YES	10
NO	1

### 6. How did you hear about the training session?

Eurocities website:	2
Colleagues/peers:	4
E mail (from EUROCITIES):	5
Other:	

### 7. Other comments and/or proposals

- There were too many slides with too much text, which made it difficult to read
- Ghent was a lovely location for the training.

