Annex C

OECD Survey on Strategic Procurement for innovation 2015

OECD SURVEY ON STRATEGIC PROCUREMENT FOR INNOVATION 2015

PART I: Strategic Procurement for innovation (ERAC-Questions)
Dimension of policy making which targets Procurement for innovation

The focus of this part is related to the OECD Recommendation of the Council on Public Procurement (C(2015)2-C/M(2015)4 especially on “Innovation” as one of the strategic secondary policy objectives in Public Procurement in addition to primary procurement objectives.

The following questions are based on the first 6 questions of the ERAC Questionnaire on Procurement for innovation 2014.

*Q1. Please describe briefly the Strategic framework for Procurement for innovation in your country:

*Q1.1. Do you have a stand-alone Procurement for innovation action plan?

Please select one
☐ Yes
☐ No
Q1.2 Is your Procurement for innovation action plan part of your country’s general innovation or procurement strategy?

Please select one

☐ Yes
☐ No

Please specify your answer:

Q2. What is the scope for Procurement for innovation policy in your country?
Do you use specific definitions to frame Procurement for innovation? (e.g.: European Commission uses PCP and PPI as defined in the rules for participation of the European Framework Programme for Research and Innovation, Horizon 2020).

Please refer to accompanying “Help Notes” for relevant definitions (e.g. SBIR, SMBA, PCP, PPI).

Q3. Are there any specific actions in your country to support procurement for innovation at the National/Central/Federal level of government?

Please select one

☐ Yes
☐ No

Q3.1 In addition, please list some of the initiatives carried out in your country to support Procurement for innovation:

Please also indicate the authority/organisation responsible.

Q4. Please describe briefly what you consider to be some of the best practices on Procurement for innovation in your country (policies, financial instruments, programmes, stand-alone cases, etc.)?
Q4.1 In addition, please provide some specific examples of policy instruments used to support Procurement for innovation in your country:

Please select all that apply

<table>
<thead>
<tr>
<th>Policy instruments</th>
<th>Financial instruments</th>
<th>Programmes</th>
<th>Stand-alone cases</th>
<th>Other, Please specify:</th>
</tr>
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</table>

Please select all that apply

Please describe shortly these practices:

Please specify the sector of best practice cases:

*Q5. What have been/are the most significant challenges in developing or implementing policies for Procurement for innovation?

*Q5.1 Have you been able to overcome these obstacles?

*Q5.2 What were the main lessons learned?

*Q6. Do you have a system in place to measure the impact of actions related to Procurement for innovation?

☐ Yes
☐ No

Q6.1 Please briefly describe:

*Q6.2 Have you quantified a target for Procurement for innovation?

Please select one

☐ Yes
☐ No

*Q6.3 Do you measure/follow up moves to reach of this target?

Please select one

☐ Yes
☐ No
Q6.4 Has such target actually been achieved?

*Please select one
☐ Yes
☐ No

*Q6.5 Are there any impact assessments, evaluation studies and/or studies of state of play in your country regarding any type of Procurement for innovation?

*Please select one
☐ Yes
☐ No

Q6.6 How do you measure the impact of Procurement for innovation?

*Please select all that apply
☐ Impact assessments
☐ Evaluation studies
☐ Studies of state of play
☐ Other, please specify:

Q6.7 Please provide any additional information and material regarding the use of evaluation tools to measure the impact of Procurement for innovation in your country (any relevant document can be forwarded to anne.muengersdorff@oecd.org):

Q6.8 Please specify the reason(s) why no system currently exists in your country to evaluate the impact of Procurement for innovation:

Part II: OECD Observatory of Public Sector Innovation (OPSI) in the field of Public Procurement Strategic Procurement for innovation Case / Dimension of procurement for innovation practice

*Q7. At what level of government does your organisation operate?

*Please refer to accompanying “Help Notes”. Please select one
☐ Central/Federal
☐ Regional/State
☐ Local
Q8. In which sector does your organisation operate?
*Please refer to accompanying “Help Notes”. Please select all that apply.*
☐ General public services
☐ Defence
☐ Public order and safety
☐ Economic affairs
☐ Environmental protection
☐ Housing and community amenities
☐ Health
☐ Recreation, culture and religion
☐ Education
☐ Social protection

Q9. If necessary, please specify your answer:

Q10. How many people are employed in your organisation (approximately)?

Q11. Can you provide in national currency the annual budget of your organisation?
*Please provide data for 2014 or more recent available year.*

Q12. What is the name of the Procurement for innovation case?

Q13. If available, please provide a web link that provides further information about the innovation (description, image etc.):

Q14. What year was the innovation launched?

Q15. Please briefly describe the innovative practice:
*In your description please also set out what the innovation has changed compared to the situation before*
Q16. Please check the box(es) which most closely corresponds to the main type of change that your innovation has implemented:

Please refer to accompanying “Help notes”. Please select all that apply.

☐ It is an entirely new or significantly new service or product, or an existing service provided to a new group of users
☐ It is a new process or approach for the design or delivery of existing services or products
☐ It is a new way to organise or manage work within your organisation
☐ It is a new way to communicate with service users
☐ Other, please specify:

Q17. Please indicate the innovation’s main beneficiaries:

Please provide an estimated number of beneficiaries where possible.

Q18. Please provide up to 5 key words that capture the key elements of the innovation:

Please provide your answers using the following format: “1. [key word]; 2. [key word]; etc.”

Q19. Why was the innovation developed?

Please refer to accompanying “Help Notes”

Q20. Please set out the objectives of the innovation:

Q21. Are you aware of existing practices which are similar to your innovation?

Please select one
☐ Yes
☐ No

Q21.1 Where did similar practice occur?

Please select all that apply
☐ In my own organisation
☐ In my public administration
☐ In other countries’ public administrations
☐ In the private sector
☐ In the civil society
☐ Other, please specify:
Q21.2 Name of existing similar practice:

Q21.3 Organisation where existing similar practice has occurred:

Q21.4 Please provide a description of the existing similar practice:

Q21.5 If possible, please provide a link to any websites describing existing similar practices:

*Q22. Which stage is your innovation currently in?

Please refer to accompanying “Help Notes”. Please select one.

☐ Design
☐ Testing
☐ Implementation
☐ Diffusion

Q22.1 How and by whom was the idea for the innovation generated? (e.g. frontline staff, policy planning staff, prize or awards, consulting with users, consulting with others).

Q22.2 Please outline any methods used to test the innovation? (e.g. trialling, piloting, prototyping etc.)

Q22.3 What tools were used to develop and implement the innovation? (e.g. ICTs, management approaches)

Q22.4 Where the information is available, please indicate the resources that were used? (e.g. staff, budget)

Q22.5 Please outline the methods used to extend your innovation to other services or organisations:

Q22.6 What challenges were encountered and what solutions were developed?
Q22.7 Please indicate approximately how much time the innovation took?

Please answer in **months** (e.g. 6; 8; 12; 24 etc.)

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Q22.8 Where you have the information, please also indicate how much time each phase took:

Please provide your answer in **months**

<table>
<thead>
<tr>
<th></th>
<th>Time in months</th>
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<tbody>
<tr>
<td>Design</td>
<td>□</td>
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<td>Testing</td>
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<td>Implementation</td>
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<tr>
<td>Diffusion</td>
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*Q23. Did you partner with any actors?*

*Answers may include multiple partnerships. Please select one.*

☐ Yes  
☐ No  

**Q23.1 Partner(s)' sector:**

*Please select all that apply*

☐ Private sector  
☐ Civil society  
☐ Academics and research bodies  
☐ Other, please specify:

**Q23.2 Partner’s name:**

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**Q23.3 Please describe the nature of the partnership and how it affected the innovation:**

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Q24. What results has the innovation had?
Please check the box indicating the type of results. Please provide evidence of the improvements, including an indication of how they have been measured. Please refer to accompanying “Help Notes”.

<table>
<thead>
<tr>
<th>Please select all that apply:</th>
<th>Please specify your answer:</th>
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<tbody>
<tr>
<td>Improved efficiency</td>
<td></td>
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<tr>
<td>Improved effectiveness</td>
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<tr>
<td>Improved service quality</td>
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<td>Accessibility</td>
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<td>Responsiveness</td>
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<td>Reliability</td>
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<td>Improved user satisfaction</td>
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<tr>
<td>Results not available yet (please indicate any preliminary results and/or when do you expect to have fuller results available)</td>
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</tr>
</tbody>
</table>

*Q25. Has the innovation been evaluated?
Please select one
☐ Yes
☐ No

Q25.1 Please describe the evaluation process used and the results:

Please refer to accompanying “Help Notes”

Q25.2 If possible, please provide a web link to further information on the evaluation:

Q26. What lessons from your experience would you like to share with other countries?

Please include what worked well and less well

Q27. What conditions do you think are necessary for the success of the innovation?

Please refer to accompanying “Help Notes”

Q28. Is there any other information that you would like to share about your innovation?
Q29. Would you like to make your innovation visible to the public?

Please select one

☐ Yes
☐ No

Q30. On a scale of 1 (very difficult) to 10 (very simple) how simple did you find it was to complete the form?

Q31. Were there any questions that you found particularly difficult to answer? If so, please highlight the question and briefly explain why.