

QUESTIONNAIRE NUMBER

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BUSINESS ENVIRONMENT AND ENTERPRISE PERFORMANCE SURVEY
 The European Bank for Reconstruction and Development and the World Bank
Enterprise Survey
Innovation Module - Retail and Core (2012)

A.0 Questionnaire	a0	Module
Retail		2
Core		3

A.23 Mode of implementation	a23
Face-to-face interview, immediately after the main survey	1
Face-to-face interview, second visit	2
Phone interview	3
OTHER (SPECIFY)	4
REFUSAL (SPONTANEOUS)	-8

Other		a23x
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A.14i Time Innovation Module interview begins:

Day (dd)	Month (mm)	Year (yyyy)	Hour (00 to 23)	Minutes (00 to 59)
a14id	a14im	a14iy	a14ih	a14imin

INTERVIEWER INSTRUCTIONS

Below is the decision matrix for which parts of the Innovation Module need to be asked. This is based on the answers to questions in the main BEEPS survey.

	Question in main BEEPS	Yes	No	
Product innovation	H.1	1	2	Ask if H.1 in main BEEPS = yes; O.1a to O.6 (section OA)
Process innovation	H.3	1	2	Ask if H.3 in main BEEPS = yes; O.7 to O.13 (section OB)
Organisational innovation	H.4	1	2	Ask if H.4 in main BEEPS = yes; O.14 (section OC)
Marketing innovation	H.5	1	2	Ask if H.5 in main BEEPS = yes; O.15 (section OD)
Research and development	H.6	1	2	Ask if H.6 in main BEEPS = yes; O.16 to O.19 (section OE)
Acquisition of external knowledge and use of computers	X			Ask all eligible establishments; O.20 to O.22b (section OF)
Protection of innovation				Ask all eligible establishments; O.23a to O.23d (section OG)
Interaction with the state and public-private partnerships				Ask all eligible establishments; starts at VEB.1 [RUSSIA ONLY]

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OA. PRODUCT INNOVATION

INTERVIEWER: THIS SECTION SHOULD BE ANSWERED BY RESPONDENTS REPORTING A NEW OR SIGNIFICANTLY IMPROVED PRODUCT OR SERVICE IN QUESTION H.1 IN THE MAIN QUESTIONNAIRE.

IF THE RESPONDENT DID NOT REPORT A NEW OR SIGNIFICANTLY IMPROVED PRODUCT OR SERVICE IN QUESTION H.1 IN THE MAIN QUESTIONNAIRE, GO TO SECTION PROCESS INNOVATION (QUESTION O.7).

(INTERVIEWER: PLEASE READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:)

In our first interview, it was reported that your firm had introduced a new or significantly improved product or service in the past three years. I would now like to ask some more questions related to that.

O.1a | How many new or significantly improved products or services did this establishment introduce in the market over the last three years?

Number of new or significantly improved products or services	
NONE	0
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION O.7

GO TO QUESTION O.7

ECAo1a

O.1b | In fiscal year **[insert last complete fiscal year]**, what was this establishment's main new or significantly improved product or service, that is, the new or significantly improved product or service that represented the largest proportion of annual sales (among all new or significantly improved products or services)?

Description

ECAo1bx

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O.2 At the time of its introduction, was this establishment's main new or significantly improved product or service new to...?
(INTERVIEWER: THESE MUST BE ASKED IN THE ORDER THEY APPEAR ON THE TABLE)
(INTERVIEWER: A product or service was new to the establishment's local market/[INSERT COUNTRY]/international market if the establishment was the only supplier of such a product or service in the local market/[INSERT COUNTRY]/international market at the time of its introduction.)

READ OUT	Yes	No	DON'T KNOW (SPONTANEOUS)	
	In the establishment's local market – main product or service sold mostly in same municipality where establishment is located	1	2	-9
In [INSERT COUNTRY] – main product or service sold mostly across the country where establishment is located	1	2	-9	ECAo2b
In the international market – main product or service sold mostly to nations outside country where establishment is located	1	2	-9	ECAo2c

O.3 Please compare this main new or significantly improved product or service with the closest product or service already offered by this establishment. In what aspects are these two products or services different from each other?
SHOW CARD 101
(INTERVIEWER: CODE DOES NOT APPLY (-7) IF THE ESTABLISHMENT IS NEW AND/OR DOES NOT MAKE ANY OTHER PRODUCT)

READ OUT	Yes	No	SPONTANEOUS		
			DON'T KNOW	DOES NOT APPLY	
New product/service has added new functions/characteristics to the existing product/service	1	2	-9	-7	ECAo3a
New product/service is more efficient / easier to use than the existing product/service	1	2	-9	-7	ECAo3g
New product/service is completely new to the establishment	1	2	-9	-7	ECAo3e
OTHER (SPECIFY)	1	2	-9	-7	ECAo3f

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ECAo3fx

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O.4	In fiscal year [insert last complete fiscal year] , what percentage of this establishment's total annual sales was accounted for by products or services that were introduced or significantly improved over the last three years?
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	Percent
Percentage of annual sales accounted for by new or significantly improved products or services	%
DON'T KNOW (SPONTANEOUS)	-9
ALL NEW OR SIGNIFICANTLY IMPROVED PRODUCTS OR SERVICES WERE INTRODUCED IN THE CURRENT FISCAL YEAR (SPONTANEOUS)	-6

ECAo4

O.5	Which of the following best describes the way in which the main new or significantly improved product or service was introduced or developed? (INTERVIEWER: ONLY ONE ANSWER) SHOW CARD 102
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Developed or adapted by this establishment, from its own ideas	1
Licensed products or services from another firm	2
Developed in cooperation with domestic suppliers	3
Developed in cooperation with suppliers from abroad	4
Developed in cooperation with domestic client firms	5
Developed in cooperation with client firms from abroad	6
Developed in cooperation with external academic or research institutions	7
Introduced the establishment's own version of a product or service already supplied (by another firm)	8
OTHER (SPONTANEOUS - SPECIFY)	9
DON'T KNOW (SPONTANEOUS)	-9

ECAo5

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ECAo5x

O.6	Did the establishment have to purchase or license any inventions, patent or know-how in order to start offering this new or significantly improved product or service?
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Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

ECAo6

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OB. PROCESS INNOVATION

INTERVIEWER: THIS SECTION SHOULD BE ANSWERED BY RESPONDENTS REPORTING A NEW OR SIGNIFICANTLY IMPROVED PRODUCTION OR DELIVERY PROCESS IN QUESTION H.3 IN THE MAIN QUESTIONNAIRE.

IF THE RESPONDENT DID NOT REPORT A NEW OR SIGNIFICANTLY IMPROVED PRODUCTION OR DELIVERY PROCESS IN QUESTION H.3 IN THE MAIN QUESTIONNAIRE, GO TO SECTION ORGANISATIONAL INNOVATION (QUESTION O.14).

(INTERVIEWER: PLEASE READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:)

In our first interview, it was reported that your firm had introduced a new or significantly improved production or delivery methods in the past three years. I would now like to ask some more questions related to that.

O.7	Over the last three years, has this establishment introduced new or significantly improved:
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READ OUT	Yes	No	DON'T KNOW (SPONTANEOUS)	
Methods of supplying products or services	1	2	-9	ECAo7a
Logistics, delivery or distribution methods for this establishment's inputs and/or products or services	1	2	-9	ECAo7b
Ancillary support services, such as purchasing, accounting, computing and maintenance	1	2	-9	ECAo7c

(INTERVIEWER: IF THE ANSWER TO ALL THREE QUESTIONS ABOVE IS 2 (NO), THEN GO TO QUESTION O.14.)

O.8	Please give a short description of this establishment's most important new or significantly improved method of supplying products or services. (INTERVIEWER: The most important method of providing products or services innovation is the method of supplying products or services innovation that had the largest impact on the operations of the establishment.)
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ECAo8x

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O.9	<p>At the time of its introduction, was this establishment’s main new or significantly improved method of supplying products or services new to other firms operating: (INTERVIEWER: THESE MUST BE ASKED IN THE ORDER THEY APPEAR ON THE TABLE) (INTERVIEWER: A method of supplying products or services was new to the establishment’s local market/[INSERT COUNTRY]/international market if the establishment was the only one using such method of supplying products or services in the local market/[INSERT COUNTRY]/international market at the time of its introduction.)</p>
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READ OUT	Yes	No	DON'T KNOW (SPONTANEOUS)	
In the establishment’s local market – main product or service sold mostly in same municipality where establishment is located	1	2	-9	ECAo9a
In [INSERT COUNTRY] – main product or service sold mostly across the country where establishment is located	1	2	-9	ECAo9b
In the international market – main product or service sold mostly to nations outside country where establishment is located	1	2	-9	ECAo9c

O.10	<p>Please compare this main new or significantly improved method of providing products or services with the method of supplying products or services previously used by this establishment. Did it require significant changes in:</p>
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READ OUT	Yes	No	DON'T KNOW (SPONTANEOUS)	
Techniques	1	2	-9	ECAo10a
Machinery and equipment	1	2	-9	ECAo10b
Software	1	2	-9	ECAo10c
Management [NON-RUSSIA ONLY]	1	2	-9	ECAo10d

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O.11	Which of the following best describes the way in which this establishment introduced or developed the main new or significantly improved method of supplying products or services? (INTERVIEWER: ONLY ONE ANSWER) SHOW CARD 103
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Developed or adapted by this establishment, from its own ideas	1
Licensed technology or process from another firm	2
Developed in cooperation with domestic suppliers	3
Developed in cooperation with suppliers from abroad	4
Developed in cooperation with domestic client firms	5
Developed in cooperation with client firms from abroad	6
Developed in cooperation with external academic or research institutions	7
Bought a new machine or equipment to adopt the new technology	8
OTHER (SPONTANEOUS - SPECIFY)	9
DON'T KNOW (SPONTANEOUS)	-9

ECAo11

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ECAo11x

O.12	Did the establishment have to purchase or license any inventions, patent or know-how in order to apply this new method of supplying products or services?
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Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

ECAo12

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OC. ORGANISATIONAL INNOVATION

INTERVIEWER: THIS SECTION SHOULD BE ANSWERED BY RESPONDENTS REPORTING NEW OR SIGNIFICANTLY IMPROVED ORGANISATIONAL OR MANAGEMENT PRACTICES OR STRUCTURES IN QUESTION H.4 IN THE MAIN QUESTIONNAIRE.

IF THE RESPONDENT DID NOT REPORT NEW OR SIGNIFICANTLY IMPROVED ORGANISATIONAL OR MANAGEMENT PRACTICES OR STRUCTURES IN QUESTION H.4 IN THE MAIN QUESTIONNAIRE, GO TO SECTION MARKETING INNOVATION (QUESTION O.15).

(INTERVIEWER: PLEASE READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:)

In our first interview, it was reported that your firm had introduced a new or significantly improved organizational or management practices or structures in the past three years. I would now like to ask some more questions related to that.

O.14	Over the last three years, has this establishment introduced new or significantly improved organizational methods in the following areas for the first time? SHOW CARD 104
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READ OUT	Yes	No	DON'T KNOW (SPONTANEOUS)	
New knowledge management systems to better use or exchange information, knowledge and skills within the establishment	1	2	-9	ECAo14a
Introduction of management systems for general production or supply operations, such as supply chain management systems, lean production, business reengineering, quality management systems	1	2	-9	ECAo14b
New methods for distributing responsibilities and decision making among employees	1	2	-9	ECAo14c
A significant change to the management structure of the establishment, such as creating new divisions or departments, integrating different departments or activities	1	2	-9	ECAo14d
New types of collaborations with other businesses, research organizations or consumers	1	2	-9	ECAo14e
Outsourcing or subcontracting of business activities in production, procurement, distribution, recruiting or ancillary services	1	2	-9	ECAo14f

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OD. MARKETING INNOVATION

INTERVIEWER: THIS SECTION SHOULD BE ANSWERED BY RESPONDENTS REPORTING NEW OR SIGNIFICANTLY IMPROVED MARKETING METHODS IN QUESTION H.5 IN THE MAIN QUESTIONNAIRE.

IF THE RESPONDENT DID NOT REPORT NEW OR SIGNIFICANTLY IMPROVED MARKETING METHODS IN QUESTION H.5 IN THE MAIN QUESTIONNAIRE, GO TO SECTION RESEARCH AND DEVELOPMENT (QUESTION O.16).

(INTERVIEWER: PLEASE READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:)

In our first interview, it was reported that your firm had introduced a new or significantly improved marketing methods in the past three years. I would now like to ask some more questions related to that.

O.15	Over the last three years, has this establishment introduced new or significantly improved marketing methods in the following areas for the first time? SHOW CARD 105
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READ OUT	Yes	No	DON'T KNOW (SPONTANEOUS)	
Significant changes in the product's appearance	1	2	-9	ECAo15a
Introduction of a new method of advertising or product promotion , such as use of a new media for advertising, a new brand image or logo, a new trademark	1	2	-9	ECAo15b
Introduction of a new method of product placement or sales channels , such as product licensing, franchising, direct selling, exclusive retailing, tailoring or customizing the presentation of the product to different types of customers	1	2	-9	ECAo15c
New pricing strategies to market the establishment's goods or services, excluding pricing methods used solely to differentiate prices by customer segments	1	2	-9	ECAo15d

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OE. RESEARCH AND DEVELOPMENT

INTERVIEWER: THIS SECTION SHOULD BE ANSWERED BY RESPONDENTS THAT REPORTED SPENDING ON RESEARCH AND DEVELOPMENT ACTIVITIES IN QUESTION H.6 IN THE MAIN QUESTIONNAIRE.

IF THE RESPONDENT DID NOT REPORT SPENDING ON RESEARCH AND DEVELOPMENT ACTIVITIES IN QUESTION H.6 IN THE MAIN QUESTIONNAIRE, GO TO SECTION ACQUISITION OF EXTERNAL KNOWLEDGE (QUESTION O.20).

(INTERVIEWER: PLEASE READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:)
I would now like to ask you questions related to spending on research and development activities.

O.16 Over the last three years, did this establishment spend on research and development activities within the establishment?

(INTERVIEWER: Research and development (R&D) is defined as creative work undertaken on a systematic basis in order to increase the stock of knowledge. For example, laboratory research for a new chemical compound of paint would be research and development while market research surveys or internet surfing would not be research and development.)

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION O.18
GO TO QUESTION O.18
ECAo16

O.17 In fiscal year **[INSERT last complete fiscal year]**, how much did this establishment spend on research and development activities performed within this establishment? Please include personnel cost, materials and purchase of fixed assets.

	LCUs
Expenditures on R&D performed within this establishment (include personnel cost, materials and purchase of fixed assets)	
DON'T KNOW (SPONTANEOUS)	-9
ESTABLISHMENT SPENT ON R&D PRIOR TO FISCAL YEAR [INSERT last complete fiscal year], BUT NOT IN FISCAL YEAR [INSERT last complete fiscal year] (SPONTANEOUS)	-7

ECAo17

O.18 Over the last three years, did this establishment spend on research and development activities contracted with other companies?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION O.20
GO TO QUESTION O.20
ECAo18

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O.19	In fiscal year [INSERT last complete fiscal year] , how much did this establishment spend on research and development activities contracted with other companies?
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	LCUs
Expenditures on R&D contracted with other companies	
DON'T KNOW (SPONTANEOUS)	-9
ESTABLISHMENT SPENT ON R&D PRIOR TO FISCAL YEAR [INSERT last complete fiscal year], BUT NOT IN FISCAL YEAR [INSERT last complete fiscal year] (SPONTANEOUS)	-7

ECAo19

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OF. ACQUISITION OF EXTERNAL KNOWLEDGE AND USE OF COMPUTERS

ASK ALL RESPONDENTS WHO ANSWER THE INNOVATION MODULE

(INTERVIEWER: PLEASE READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:)

I would now like to ask you questions related to the acquisition of external knowledge and use of computers.

O.20 Over the last three years, did this establishment spend on the acquisition of external knowledge? This includes purchase or licensing of patents and non-patented inventions, know-how and other types of knowledge from other businesses or organizations.

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION O.22a
GO TO QUESTION O.22a

ECAo20

O.21 Was the latest invention, patent or know-how licensed or purchased from:
SHOW CARD 106

A [COUNTRY] firm	1
A [COUNTRY] research institute or university	2
A foreign firm	3
A foreign research institute or university	4
Other	5
DON'T KNOW (SPONTANEOUS)	-9

ECAo21

O.22a At the end of fiscal year [insert last complete fiscal year], what percent of this establishment's workforce regularly **used** personal computers in their jobs?

	Percent
Percentage of workforce that used computers	%
DON'T KNOW (SPONTANEOUS)	-9

ECAo22a

O.22b Three fiscal years ago, at the end of fiscal year [insert three complete fiscal years ago], what percent of this establishment's workforce regularly **used** personal computers in their jobs?

	Percent
Percentage of workforce that used computers three fiscal years ago	%
DON'T KNOW (SPONTANEOUS)	-9
THE ESTABLISHMENT WAS NOT IN BUSINESS THREE YEARS AGO (SPONTANEOUS)	-7

ECAo22b

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OG. PROTECTION OF INNOVATION

ASK ALL RESPONDENTS WHO ANSWER THE INNOVATION MODULE

(INTERVIEWER: PLEASE READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:)

I would now like to ask you questions related to protection of innovation.

O.23a Has this establishment ever been granted a patent?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

ECAo23a

O.23b During the last three years, did this establishment apply for a patent or a trademark?
SHOW CARD 107

Yes, for a patent only	1
Yes, for a trademark only	2
Yes, for both a patent and a trademark	3
No	4
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION A.15i
GO TO QUESTION A.15i

ECAo23b

O.23c Over the last three years, in which country or countries did this establishment apply for a patent or a trademark?

Country or countries where the establishment applied for a patent or a trademark	
DON'T KNOW (SPONTANEOUS)	-9

ECAo23cx

O.23d Over the last three years, has this establishment been granted a patent or a trademark?
SHOW CARD 108

Yes, a patent only	1
Yes, a trademark only	2
Yes, both a patent and a trademark	3
No	4
DON'T KNOW (SPONTANEOUS)	-9

ECAo23d

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VEB. INTERACTION WITH THE STATE AND PUBLIC-PRIVATE PARTNERSHIPS

[THIS SECTION WAS ASKED ONLY IN RUSSIA]

INTERVIEWER: ASK ALL FIRMS ELIGIBLE FOR THE INNOVATION MODULE

INTERVIEWER: PLEASE READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

Now I would like to ask you about the establishment’s interaction with the state and public-private partnerships.

VEB.1	How well do you know activities / projects of the following Russian development institutions? SHOW CARD 18
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	I know them well, heard a lot about their projects	I heard something about their projects	I don't know anything about their activity / projects	SPONTANEOUS		
				DON'T KNOW	DOES NOT APPLY	
INTERVIEWER: READ EACH OPTION ALOUD						
Vnesheconombank	1	2	3	-9	-7	veb1a
Russian technologies	1	2	3	-9	-7	veb1b
Rusnano	1	2	3	-9	-7	veb1c
Investment fund	1	2	3	-9	-7	veb1d
Any other Russian development institutions, including regional ones (please name one)	1	2	3	-9	-7	veb1e

Other		veb1ex
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VEB.2	Do the projects implemented by Vnesheconombank affect your business? SHOW CARD 19
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Yes	1	veb2
No	2	
I am not aware of Vnesheconombank projects	3	
DON'T KNOW (SPONTANEOUS)	-9	

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VEB.3	Do you believe that private business can be involved in provision of public services in the areas of infrastructure, transport, road building, utilities, education, health, and social services based on long-term contracts for construction and operation of facilities?
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Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

veb3

VEB.4	What percentage of the costs of this establishment depends on the quality of public services in the areas of infrastructure, transport, road building, utilities, education, health and social services?
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	Percent	
Percentage of the costs depending on the quality of public services	%	
DON'T KNOW (SPONTANEOUS)	-9	veb4

VEB.5	Using the scale below, how do you evaluate each of the following risks related to public-private partnerships? SHOW CARD 20
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INTERVIEWER: Public-private partnership (PPP) describes a government service or a project which is funded and operated through a partnership of government and private sector companies. PPP typically involves a contract between a public-sector authority and a private party, in which the private party provides a public service or implements a project and takes substantial financial and operational risk in the project.

	None	Minor	Moderate	Major	Severe	SPONTANEOUS		
						DON'T KNOW	DOES NOT APPLY	
Review of long-term obligations due to a change in the management of the region	1	2	3	4	5	-9	-7	veb5a
Termination of financing due to lack of (lower) budget revenue	1	2	3	4	5	-9	-7	veb5b
Lobbying, non-transparent selection process	1	2	3	4	5	-9	-7	veb5c
Higher cost of services due to private business participation (for example, higher utility bills)	1	2	3	4	5	-9	-7	veb5d
People unhappy about public services being provided by a private business	1	2	3	4	5	-9	-7	veb5e

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VEB.6	Over the last 2-3 years, have there been any changes in regional legislation that led to the development of the region / city and improved interaction between the business and the authorities?
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Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

veb6

VEB.7	How do you evaluate public-private partnerships projects in terms of transparency, openness and genuine competition? (INTERVIEWER: The question is about the respondent's opinion, and not necessarily based on the experience of the company.) SHOW CARD 21
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	Absolutely transparent	Mostly transparent	Sometimes transparent, sometimes non-transparent	Mostly non-transparent	Absolutely non-transparent	SPONTANEOUS		
						DON'T KNOW	DOES NOT APPLY	
Evaluation of public-private partnerships	1	2	3	4	5	-9	-7	veb7

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A.15i Time innovation module interview ends:

Day (dd)	Month (mm)	Year (yyyy)	Hour (00 to 23)	Minutes (00 to 59)
a15id	a15im	a15iy	a15ih	a15imin

A.24 Same respondent as for the main interview?

Yes	1	THANK THE RESPONDENT AND END THE INTERVIEW
No	2	
		a24

A.15a Information about the respondent for the innovation module

	Innovation module respondent	
Position in the firm		a15a1dx
Years with the firm		a15a2d
Years in the position		ECAa15a4d
Gender		a15a3d

1=LESS THAN ONE YEAR
 1=LESS THAN ONE YEAR
 1=MALE, 2=FEMALE
 DO NOT READ OUT