

**EBRD/EIB/WB Enterprise Survey**  
***Innovation Module - Manufacturing***

<b>A.0 Questionnaire</b>	<b>a0</b>	<b>Module</b>
Manufacturing		1

**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
<b>OTHER (SPECIFY)</b>	<b>4</b>
<b>REFUSAL (SPONTANEOUS)</b>	<b>-8</b>

<b>Other</b>		<b>a23x</b>
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**A.14i Time Innovation Module interview begins:**

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

**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 survey.**

	<b>Question in main ES</b>	<b>Yes</b>	<b>No</b>	
<b>PRODUCT INNOVATION</b>	H.1	1	2	Ask if H.1 in main ES = yes; O.1a to HB.23 (section OA)
<b>PROCESS INNOVATION</b>	H.3	1	2	Ask if H.3 or H.4a or H.4b in main ES = yes; O.7 to O.13 (section OB)
	H.4a	1	2	
	H.4b	1	2	
<b>ORGANISATIONAL INNOVATION</b>	H.5	1	2	Ask if H.5 in main ES = yes; O.14 (section OC)
<b>MARKETING INNOVATION</b>	H.6	1	2	Ask if H.6 in main ES =yes; O.15 (section OD)
<b>RESEARCH AND DEVELOPMENT</b>	H.7	1	2	Ask if H.7 in main ES =yes; O.16 to O.19 (section OE)
<b>ACQUISITION OF EXTERNAL KNOWLEDGE AND USE OF COMPUTERS</b>	X			Ask all eligible establishments; O.20 to O.22b (section OF)
<b>PROTECTION OF INNOVATION</b>				Ask all eligible establishments; O.23a O.23d (section OG)
<b>MANAGEMENT PRACTICES</b>	L.1	More than 20 employees		Ask if 20+ employees; questions R.1 to R.15 (section R)

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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 this establishment had introduced a new or significantly improved product in the past three years. I would now like to ask some more questions related to that.**

**O.1a** During the last three years, how many new or significantly improved products did this establishment introduce in the market?

Number of new or significantly improved products	
<b>NONE</b>	<b>0</b>
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>

**GO TO QUESTION O.7**  
**GO TO QUESTION O.7**

**MNAo1a**

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

**Description**

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**MNAo1bx**

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

<b>READ OUT</b>	Yes	No	<b>DON'T KNOW (SPONTANEOUS)</b>	
	This establishment’s local market	1	2	-9
<b>[INSERT COUNTRY]</b>	1	2	-9	<b>MNAo2b</b>
International market	1	2	-9	<b>MNAo2c</b>

**O.3** Please compare this main new or significantly improved product with the closest product already produced in this establishment. In what aspects are these two products different from each other?  
**SHOW CARD 101**

<b>READ OUT</b>	Yes	No	<b>SPONTANEOUS</b>		
			<b>DON'T KNOW</b>	<b>DOES NOT APPLY</b>	
New product has added new functions to an existing product	1	2	-9	-7	<b>MNAo3a</b>
New product has completely new functions compared to the existing product	1	2	-9	-7	<b>MNAo3i</b>
New product uses new materials or components that enhance its performance compared to the existing product	1	2	-9	-7	<b>MNAo3b</b>
New product uses new technology	1	2	-9	-7	<b>MNAo3c</b>
New product looks different from the existing product	1	2	-9	-7	<b>MNAo3d</b>
New product is cheaper to produce compared to the existing product	1	2	-9	-7	<b>MNAo3h</b>
New product is completely new to the establishment	1	2	-9	-7	<b>MNAo3e</b>
<b>Other (SPECIFY)</b>	1	2	-9	-7	<b>MNAo3f</b>

**MNAo3fx**

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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 that were introduced or significantly improved over the last three years?

	Percent
Percentage of annual sales accounted for by new or significantly improved products	%
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>
<b>ALL NEW OR SIGNIFICANTLY IMPROVED PRODUCTS WERE INTRODUCED IN THE CURRENT FISCAL YEAR (SPONTANEOUS)</b>	<b>-6</b>

**MNAo4**

**O.5** Which of the following best describes the way in which the main new or significantly improved product was introduced or developed?  
**(INTERVIEWER: ONLY ONE ANSWER)**  
**SHOW CARD 102**

Developed or adapted by this establishment, from its own original 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
<b>Other (SPONTANEOUS - SPECIFY)</b>	<b>9</b>
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>

**MNAo5**

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**MNAo5x**

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**MNAHB.13** Does any of the following describe why this establishment introduced this main new or significantly improved product:

		<b>SPONTANEOUS</b>			
		Yes	No	<b>DON'T KNOW</b>	<b>DOES NOT APPLY</b>
<b>READ EACH OPTION ALOUD</b>					
To replace an old product sold by this establishment	<b>MNAhb13a</b>	1	2	-9	-7
To extend the range of products sold by this establishment	<b>MNAhb13d</b>	1	2	-9	-7
To open up new markets or increase market share	<b>MNAhb13e</b>	1	2	-9	-7
To lower the cost of production	<b>MNAhb13f</b>	1	2	-9	-7
To keep up with competition	<b>MNAhb13g</b>	1	2	-9	-7
To comply with regulations or standards	<b>MNAhb13h</b>	1	2	-9	-7
To deal with a decrease in the demand for other products	<b>MNAhb13i</b>	1	2	-9	-7

**O.6** Did the establishment have to purchase or license any inventions, patent or know-how in order to start producing this new or significantly improved product?

Yes	1	
No	2	<i>GO TO QUESTION 0.7</i>
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>	<i>GO TO QUESTION 0.7</i>

**MNAo6**

**HB.23** Was the latest invention, patent or know-how licensed or purchased from:  
**SHOW CARD 103**

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

**hb23**

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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 QUESTIONS H.3 AND/OR H.4A/H.4B IN THE MAIN QUESTIONNAIRE.**

**IF THE RESPONDENT DID NOT REPORT A NEW OR SIGNIFICANTLY IMPROVED PRODUCTION OR DELIVERY PROCESS IN QUESTIONS H.3 AND/OR H.4A/H.4B 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 this establishment 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** During the last three years, did this establishment introduce new or significantly improved:

<b>READ OUT</b>	<b>Yes</b>	<b>No</b>	<b>DON'T KNOW (SPONTANEOUS)</b>	
Production methods	1	2	-9	<b>MNAo7a</b>
Logistics, delivery or distribution methods for this establishment's inputs and/or products	1	2	-9	<b>MNAo7b</b>
Ancillary support services, such as purchasing, accounting, computing and maintenance	1	2	-9	<b>MNAo7c</b>

**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 production or delivery method.  
**(INTERVIEWER: The most important production or delivery method innovation is the production or delivery method innovation that had the largest impact on the operations of the establishment.)**

**MNAo8x**

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**O.9** At the time of its introduction, was this establishment’s main new or significantly improved production or delivery method new to other firms operating:  
**(INTERVIEWER: THESE MUST BE ASKED IN THE ORDER THEY APPEAR ON THE TABLE)**  
**(INTERVIEWER: A production or delivery method was new to the local market/[INSERT COUNTRY]/international market if the establishment was the only one using such production or delivery method in the local market/[INSERT COUNTRY]/international market at the time of its introduction.)**

<b>READ OUT</b>	Yes	No	DON'T KNOW (SPONTANEOUS)	
In this establishment’s local market	1	2	-9	<b>MNAo9a</b>
In [INSERT COUNTRY]	1	2	-9	<b>MNAo9b</b>
In the international market	1	2	-9	<b>MNAo9c</b>

**O.10** Please compare this main new or significantly improved production or delivery method with the production or delivery method previously used by this establishment. Did it require significant changes in:

<b>READ OUT</b>	Yes	No	DON'T KNOW (SPONTANEOUS)	
Techniques	1	2	-9	<b>MNAo10a</b>
Machinery and equipment	1	2	-9	<b>MNAo10b</b>
Software	1	2	-9	<b>MNAo10c</b>
Management	1	2	-9	<b>MNAo10d</b>

**MNAHC.8** Is this main new or significantly improved process similar to any process that was or is being used by this establishment?

Yes	1	
No, the new or significantly improved process is completely new	2	<b>GO TO QUESTION 0.11</b>
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>	<b>GO TO QUESTION 0.11</b>
<b>MNAhc8</b>		

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**MNAHC.9** Please compare this main new or significantly improved process with the process that was used for the same purpose in this establishment. In what aspects is this main new or significantly improved process different from the original?

		(SPONTANEOUS)			
		Yes	No	DON'T KNOW	DOES NOT APPLY
<b>READ EACH OPTION ALOUD</b>					
It automates manual processes, partially or fully	<b>MNAhc9a</b>	1	2	-9	-7
It lowers costs compared to the old process	<b>MNAhc9b</b>	1	2	-9	-7
It complements new machinery	<b>MNAhc9c</b>	1	2	-9	-7
Is it faster than the old process	<b>MNAhc9d</b>	1	2	-9	-7
Other aspects (SPECIFY)	<b>MNAhc9g</b>	1	2		

**MNAhc9gx**

**O.11** Which of the following best describes the way in which this establishment introduced or developed the main new or significantly improved production or delivery method?  
**(INTERVIEWER: ONLY ONE ANSWER)**  
**SHOW CARD 104**

Developed or adapted by this establishment, from its own original 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
<b>OTHER (SPONTANEOUS- SPECIFY)</b>	<b>9</b>
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>

**MNAo11**

**MNAo11x**



<b>HC.16</b>	Does any of the following describe why this establishment introduced the main new or significantly improved process?
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<b>READ EACH OPTION ALOUD</b>		Yes	No	<b>SPONTANEOUS</b>	
				<b>DON'T KNOW</b>	<b>DOES NOT APPLY</b>
To raise the <b>quality</b> of products sold by this establishment	<b>MNAhc16b</b>	1	2	<b>-9</b>	<b>-7</b>
To raise the <b>volume</b> of products sold or services offered	<b>MNAhc16c</b>	1	2	<b>-9</b>	<b>-7</b>
To extend the <b>range</b> of products sold by this establishment	<b>MNAhc16d</b>	1	2	<b>-9</b>	<b>-7</b>
To open up new markets or increase market share	<b>MNAhc16e</b>	1	2	<b>-9</b>	<b>-7</b>
To lower the cost of production	<b>MNAhc16f</b>	1	2	<b>-9</b>	<b>-7</b>
To keep up with competition	<b>MNAhc16g</b>	1	2	<b>-9</b>	<b>-7</b>
To comply with regulations or standards	<b>MNAhc16h</b>	1	2	<b>-9</b>	<b>-7</b>
To raise the flexibility or speed of production	<b>MNAhc16j</b>	1	2	<b>-9</b>	<b>-7</b>

<b>O.12</b>	Did the establishment have to purchase or license any inventions, patent or know-how in order to apply this new production or delivery method?
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Yes	1
No	2
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>

**MNAo12**

<b>O.13</b>	Thinking of this establishment's main product line and comparing this establishment's technology with that of its main competitor, which of the following best summarizes your position? <b>SHOW CARD 105</b>
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This establishment's technology is less advanced than that of its main competitor	1
This establishment's technology is about the same as that of its main competitor	2
This establishment's technology is more advanced than that of its main competitor	3
<b>NO COMPETITORS (SPONTANEOUS)</b>	<b>-7</b>
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>

**MNAo13**

**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 this establishment 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** During the last three years, did this establishment introduce new or significantly improved organizational methods in the following areas **for the first time?**  
**SHOW CARD 106**

**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	<b>MNAo14a</b>
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	<b>MNAo14b</b>
New methods for distributing responsibilities and decision making among employees	1	2	-9	<b>MNAo14c</b>
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	<b>MNAo14d</b>
New types of collaborations with other businesses, research organizations or consumers	1	2	-9	<b>MNAo14e</b>
Outsourcing or subcontracting of business activities in production, procurement, distribution, recruiting or ancillary services	1	2	-9	<b>MNAo14f</b>

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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 this establishment 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.**

<b>O.15</b>	During the last three years, did this establishment introduce new or significantly improved marketing methods in the following areas <b>for the first time?</b> <b>SHOW CARD 107</b>
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<b>READ OUT</b>	<b>Yes</b>	<b>No</b>	<b>DON'T KNOW (SPONTANEOUS)</b>	
Significant changes in the product's appearance	1	2	<b>-9</b>	<b>MNAo15a</b>
Introduction of <b>a new method of advertising or product promotion</b> (such as use of a new media for advertising, a new brand image or logo, a new trademark)	1	2	<b>-9</b>	<b>MNAo15b</b>
Introduction of <b>a new method of product placement or sales channels</b> (such as product licensing, franchising, direct selling, exclusive retailing, tailoring or customizing the presentation of the product to different types of customers)	1	2	<b>-9</b>	<b>MNAo15c</b>
<b>New pricing strategies</b> to market the establishment's goods or services, excluding pricing methods used solely to differentiate prices by customer segments	1	2	<b>-9</b>	<b>MNAo15d</b>

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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** During 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	<b>GO TO QUESTION 0.18</b> <b>GO TO QUESTION 0.18</b>
No	2	
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>	

**MNAo16**

**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)	
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>
<b>ESTABLISHMENT SPENT ON R&amp;D PRIOR TO FISCAL YEAR [INSERT last complete fiscal year], BUT NOT IN FISCAL YEAR [INSERT last complete fiscal year] (SPONTANEOUS)</b>	<b>-7</b>

**MNAo17**

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

Yes	1	<b>GO TO QUESTION 0.20</b> <b>GO TO QUESTION 0.20</b>
No	2	
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>	

**MNAo18**

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<b>O.19</b>	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	
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>
<b>ESTABLISHMENT SPENT ON R&amp;D PRIOR TO FISCAL YEAR [INSERT last complete fiscal year], BUT NOT IN FISCAL YEAR [INSERT last complete fiscal year] (SPONTANEOUS)</b>	<b>-7</b>

<b>MNAo19</b>
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**OF. ACQUISITION OF EXTERNAL KNOWLEDGE AND USE OF COMPUTERS**

**INTERVIEWER: 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** During 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	<i>GO TO QUESTION 0.22a</i> <i>GO TO QUESTION 0.22a</i>
No	2	
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>	

**MNAo20**

**O.21** Was the latest invention, patent or know-how licensed or purchased from  
**SHOW CARD 108**

A [COUNTRY] firm	1	<b>MNAo21</b>
A [COUNTRY] research institute or university	2	
A foreign firm	3	
A foreign research institute or university	4	
Other	5	
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>	

**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		%
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>	

**MNAo22a**

**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		%
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>	
<b>THE ESTABLISHMENT WAS NOT IN BUSINESS THREE YEARS AGO (SPONTANEOUS)</b>	<b>-7</b>	

**MNAo22b**

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**OG. PROTECTION OF INNOVATION**

**INTERVIEWER: 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
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>

**MNAo23a**

**O.23b** During the last three years, did this establishment apply for a patent or a trademark?  
**SHOW CARD 109**

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

**GO TO QUESTION R.1 IF NUMBER OF EMPLOYEES >=20, OTHERWISE GO TO QUESTION A.15i**  
**GO TO QUESTION R.1 IF NUMBER OF EMPLOYEES >=20, OTHERWISE GO TO QUESTION A.15i**

**MNAo23b**

**O.23c** During 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	
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>

**MNAo23cx**

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<b>O.23d</b>	During the last three years, has this establishment been granted a patent or a trademark? <b>SHOW CARD 110</b>
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Yes, a patent only	1
Yes, a trademark only	2
Yes, both a patent and a trademark	3
No	4
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>

<b>MNAo23d</b>
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**INTERVIEWER: GO TO QUESTION R.1 IF L.1 >=20, OTHERWISE GO TO QUESTION A.15i.**



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**R. MANAGEMENT PRACTICES**

**INTERVIEWER: ASK IF 20+ EMPLOYEES (L.1 IN THE MAIN QUESTIONNAIRE IS AT LEAST 20). IF L.1 IS LESS THAN 20, GO TO QUESTION A.15i.**

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

**And now I would like to ask you about management practices in this establishment.**

**R.1** Over the last complete fiscal year [insert last complete fiscal year], what best describes what happened at this establishment when a problem in the production process arose?  
**SHOW CARD 111**

We fixed it but did not take further action	1
We fixed it and took action to make sure it did not happen again	2
We fixed it and took action to make sure that it did not happen again, and had a continuous improvement process to anticipate problems like these in advance	3
No action was taken	4
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>
<b>DOES NOT APPLY (SPONTANEOUS)</b>	<b>-7</b>

**MNAr1**

**R.2** Over the last complete fiscal year [insert last complete fiscal year], how many production performance indicators were monitored at this establishment?  
**SHOW CARD 112**

1-2 production performance indicators	1
3-9 production performance indicators	2
10 or more production performance indicators	3
No production performance indicators	4
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>

**MNAr2**

**R.6** Over the last complete fiscal year [insert last complete fiscal year], what best describes the time frame of production targets at this establishment? Examples of production targets are: production, quality, efficiency, waste, on-time delivery.  
**SHOW CARD 113**

Main focus was on short-term (less than one year) production targets	1
Main focus was on long-term (more than one year) production targets	2
Combination of short term and long term production targets	3
No production targets	4
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>

**GO TO R.11**

**MNAr6**

**R.7** Over the last complete fiscal year [insert last complete fiscal year], how easy or difficult was it for this establishment to achieve its production targets?  
**SHOW CARD 114**

Possible to achieve without much effort	1
Possible to achieve with some effort	2
Possible to achieve with normal amount of effort	3
Possible to achieve with more than normal effort	4
Only possible to achieve with extraordinary effort	5
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>

**MNAr7**

**R.8** Over the last complete fiscal year [insert last complete fiscal year], who was aware of the production targets at this establishment?  
**SHOW CARD 115**

Only senior managers	1
Most managers and some production workers	2
Most managers and most production workers	3
All managers and most production workers	4
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>

**MNAr8**

**R.11** Over the last complete fiscal year [insert last complete fiscal year], what were managers' performance bonuses usually based on?  
**INTERVIEWER: INCLUDE ANY TYPE OF TARGET, INCLUDING TARGETS BASED ON PRODUCTION, SALES, THE FIRM'S STOCK PRICE, ETC.**  
**SHOW CARD 116**

Their own performance as measured by targets	1
Their team or shift performance as measured by targets	2
Their establishment's performance as measured by targets	3
Their company's performance as measured by targets	4
No performance bonuses	5
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>
<b>DOES NOT APPLY (SPONTANEOUS)</b>	<b>-7</b>

**MNAr11**

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**R.13** Over the last complete fiscal year [insert last complete fiscal year], what was the primary way non-managers were promoted at this establishment?  
**SHOW CARD 117**

Promotions were based solely on performance and ability	1
Promotions were based partly on performance and ability, and partly on other factors (for example, tenure or family connections)	2
Promotions were based mainly on factors other than performance and ability (for example, tenure or family connections)	3
Non-managers are normally not promoted	4
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>
<b>DOES NOT APPLY (SPONTANEOUS)</b>	<b>-7</b>

**MNAr13**

**R.15** Over the last complete fiscal year [insert last complete fiscal year], when was an under-performing non-manager reassigned or dismissed?  
**SHOW CARD 118**

Within 6 months of identifying non-manager under-performance	1
After 6 months of identifying non-manager under-performance	2
Rarely or never	3
<b>DON'T KNOW (SPONTANEOUS)</b>	<b>-9</b>
<b>DOES NOT APPLY (SPONTANEOUS)</b>	<b>-7</b>

**MNAr15**

**A.15i Time innovation module interview ends:**

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

**ASK IF INNOVATION MODULE WAS COMPLETED AT A LATER TIME THAN THE MAIN QUESTIONNAIRE.**

**A.24** Same respondent as for the main interview?

Yes	1	<b>THANK THE RESPONDENT AND END THE INTERVIEW</b>
No	2	

**a24**

**A.15a Please complete the following information about the interviewee(s)**

Main respondent			
Position in the firm		<b>a15a1ax</b>	
Years with the firm		<b>a15a2a</b>	<b>1=LESS THAN ONE YEAR</b>
Years in the position		<b>MNAa15a4a</b>	<b>1=LESS THAN ONE YEAR</b>
Gender		<b>a15a3a</b>	<b>1=MALE, 2=FEMALE DO NOT READ OUT</b>

Second respondent		<b>DOES NOT APPLY</b>	
Position in the firm		<b>-7</b>	<b>a15a1bx</b>
Years with the firm		<b>-7</b>	<b>a15a2b</b>
Years in the position		<b>-7</b>	<b>MNAa15a4b</b>
Gender		<b>-7</b>	<b>a15a3b</b>

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

Third respondent		<b>DOES NOT APPLY</b>	
Position in the firm		<b>-7</b>	<b>a15a1cx</b>
Years with the firm		<b>-7</b>	<b>a15a2c</b>
Years in the position		<b>-7</b>	<b>MNAa15a4c</b>
Gender		<b>-7</b>	<b>a15a3c</b>

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

**INTERVIEWER: DO NOT READ OUT:**

**A.16** It is my perception that the responses to the questions regarding opinions and perceptions are:

Truthful	1
Somewhat truthful	2
Not truthful	3

**a16**

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**A.17** The responses to the questions regarding figures (productivity and employment numbers):

Are taken directly from establishment records	1
Are estimates computed with some precision	2
Are arbitrary and unreliable numbers	3
Are partially taken directly from establishment records and partially estimated	4

**a17**

**INTERVIEWER COMMENTS:**

**a17x**

(Problems occurred/extraordinary circumstances which could influence results)

**SUPERVISORS PLEASE ANSWER:**

**A.18** This questionnaire was completed in:

One visit in face-to-face interview with one person	1
One visit in face-to-face interview with different managers/staff	2
Several visits	3

**a18**

**A.19** If option 2 or 3 in A.18, estimate duration of the whole interview

<b>Hour (00 to 23)</b>	<b>Minutes (00 to 59)</b>
<b>a19h</b>	<b>a19m</b>