



GEM 2011 APS QUESTION-BY-QUESTION COMMENTARY

INTRODUCTION (CORE)

	<u>Yes</u>	<u>No</u>	<u>Don't Know</u>	<u>Refused</u>
i1. Do you know someone personally who started a business in the past 2 years? {KNOWENT}	1	2	-1	-2

=====
 Anyone the respondent knows personally by name would qualify--relative, family member, neighbor, work colleague, schoolmate, and the like. Any kind of economic activity, even part-time self-employment, will qualify. The business need not currently be in operation, but the start-up effort should have occurred in the past two years. The effort should have involved more than just talk; some time or resources should have been devoted to get the business going.
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i2. In the next six months, will there be good opportunities for starting a business in the area where you live? {OPPORT}	1	2	-1	-2
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 The item focuses on the respondent's personal evaluation of business opportunities; the geographic region may be vague, but community, neighborhood, commune, or towns are all acceptable concepts. The focus is on the location of their immediate experience, not major regional or national economic conditions.
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i3. Do you have the knowledge, skill and experience required to start a new business? {SUSKILL}	1	2	-1	-2
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 The focus is on their capacity to start a business, NOT their motivation or interest. They may have the skill and capacity and (1) not be interested or (2) may not consider that suitable opportunities exist
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i4. Would fear of failure prevent you from starting a business? {FEARFAIL}	1	2	-1	-2
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 The ENTIRE emphasis is on the presence of a "fear of business failure." Reasons for the fear are not the focus, even if such reasons are given, such as high economic risk, strong cultural or social sanctions for failure, lack of personal capacity to start a business.
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INTRODUCTION (OPTIONAL)

	<u>Yes</u>	<u>No</u>	<u>Don't Know</u>	<u>Refused</u>
1k. In your country, most people would prefer that everyone had a similar standard of living {EQUALINC}	1	2	-1	-2

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This is a polite way to find out if there is a general acceptance of rich and poor people or a concern that everyone should have about the same quality of life.

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1l. In your country, most people consider starting a new business a desirable career choice {NBGOODC}	1	2	-1	-2
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This is a polite way to find out if there is a general acceptance of entrepreneurship or starting new businesses as a work option. Any type of business legal business activity is considered appropriate.

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1m. In your country, those successful at starting a new business have a high level of status and respect {NBSTATUS}	1	2	-1	-2
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This is a polite way to find out if there is a general acceptance of entrepreneurship success. Again, any type of business legal business activity is considered appropriate.

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1n. In your country, you will often see stories in the public media about successful new businesses {NBMEDIA}	1	2	-1	-2
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This is a polite way to find out if the media seems to accept and have a positive view of entrepreneurship and new business start-ups.

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BLOCK 1: NASCENT ENTREPRENEURS (CORE)

	<u>Yes</u>	<u>No</u>	<u>Don't Know</u>	<u>Refused</u>
1A1. Are you, alone or with others, currently trying to start a new business, including any self-employment or selling any goods or services to others? {BSTART}	1	2	-1	-2

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This item covers ANY AND ALL activity that could be considered any form of economic work, registered or unregistered, legal or illegal. So child care in the home, part time work as a carpenter, freelance lawyer on the weekends, or any other activity would qualify. Encourage a YES in all situations when unclear.

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1A2. Are you, alone or with others, currently trying to start a new business or a new venture for your employer as part of your normal work? {BJOBST}	1	2	-1	-2
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This item covers any activity on the job where a NEW BUSINESS VENTURE may result, either stand alone or a branch or subsidiary. The response should be NO if the respondent is working on a new variation of a standard product—such as a new dress design or a new type of furniture or a new menu for an established restaurant.

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1B. Over the past twelve months have you done anything to help start this new business, such as looking for equipment or a location, organizing a start-up team, working on a business plan, beginning to save money, or any other activity that would help launch a business? **(DO NOT READ ANSWER LIST. ENTER A SINGLE RESPONSE. IF THERE IS MORE THAN ONE START-UP, THE INTERVIEWER MUST CHOSE THE ONE THE RESPONDENT CONSIDERS MORE LIKELY TO BECOME OPERATIONAL.)** **{SUACTS}**

Yes	1
No.....	2
Don't know	-1
Refused.....	-2

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Focus is on any behavior that required time or money in an effort to start a new business. “Serious thought” or “strong interest” does not qualify as a behavior. **They must have actually done something.**

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1C. How many months have you been involved in starting this business? **(ENCOURAGE BEST GUESS. DO NOT READ LIST OR VALID RANGE AND ENTER SINGLE RESPONSE.) {SUPREP}**

- # _____ **(VALID RANGE 1-1,000)**
- Don't know -1
- Refused..... -2

=====
It is important to know for how long the respondents have been trying to start their business so far. If the respondent is unable to define the moment he or she started preparing the business, help out by asking when the respondent first took **real** steps (other than 'thinking about it'). A rough guess is fine, especially if it has taken longer than two years.
=====

1D1. Will you personally own all, part, or none of this business? **(DO NOT READ ANSWER LIST. ENTER A SINGLE RESPONSE.) {SUOWN}**

- All 1
- Part..... 2
- None..... 3
- Don't know -1
- Refused..... -2

=====
Some partial ownership, where the respondent may lose a financial investment or share in the profits and rewards, is required, even less than 5% is adequate. If they will NOT share ownership, the answer is NONE.
=====

1D2. How many people, including yourself, will both own and manage this new business? **(DO NOT READ ANSWER LIST OR VALID RANGE. ENTER EXACT NUMBER FROM 2 TO 1,000. DO NOT ACCEPT RANGE. IF RESPONDENT IS UNSURE, ENCOURAGE BEST GUESS.) {SUOWNERS}**

- # _____ people **(VALID RANGE 2-1,000)**
- Don't know -1
- Refused..... -2

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This is a count of the total set of people that will share in the profits or losses of the business AND are active in day-to-day business management. Passive investors that have just provided money would not count as owner-managers.
=====

1E1. Has the new business paid any salaries, wages, or payments in kind, including your own, for more than three months?
(READ IF NECESSARY:) "Payments in kind" refers to goods or services provided as payments for work rather than cash.
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {SUWAGE}

- Yes..... 1
- No..... 2
- Don't know -1
- Refused..... -2

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In cases it may be advisable to remind the respondent we will not ask about the amount of funds or how they are paid. The purpose is only to determine if the new business has been successful enough to provide payment for services. This is one indication of a "business birth."

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1E2. What was the first year the founders of the business received wages, profits, or payments in kind from this business?
(READ IF NECESSARY:) "Payments in kind" refers to goods or services provided as payments for work rather than cash.
(DO NOT READ ANSWER LIST OR VALID RANGE. RECORD ENTIRE 4 DIGIT YEAR. FOR EXAMPLE, YEAR "07" WOULD BE ENTERED AS "2007". IF NO PAYMENTS YET, RECORD AS -3.) {SUWAGEYR}

- # _____ **(VALID RANGE 1800-2011)**
- No payments yet..... -3
- Don't know -1
- Refused..... -2

=====

Push hard for an approximate answer, plus or minus a year, rather than a "don't know" or "refused." If the firm had a period of profits, then losses, and returned to profitability, please record the earliest date in the history of the firm when this occurred—some payments made for work performed.

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1E3. Did the founders of this business receive any wages, profits or payments in kind from this business before 1 January 2008?
(READ IF NECESSARY:) "Payments in kind" refers to goods or services provided as payments for work rather than cash.
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {SUPAY2}

- Yes..... 1
- No..... 2
- Don't know -1
- Refused..... -2

=====

This question is designed to reduce the high number of "don't knows" present in prior surveys. We suspect that payments by the business to the owner are not properly understood because for many entrepreneurs, business and owner mean the same thing. Hence they may be inclined to answer "don't know." Another suggestion for the high rate of "don't knows" is that the current owners are not the founders, and genuinely don't know, or the business was started a long time ago, and they don't remember exactly the year. We need to know whether the business was active or not before 2006 so that it can be classified correctly.

=====

1F. What kind of business is this? **(PROBE:)** What will it be selling? How would it be listed in a business directory, such as the phone book yellow pages? **(WRITE THE MOST COMPLETE POSSIBLE DESCRIPTION OF THE BUSINESS) {SUBUSTYPE}**

RECORD VERBATIM. PROBE FOR CLARIFICATION AND DETAIL. The respondent should provide a sentence that would clearly describe:

- 1) The nature of the product or service as well as
- 2) The primary customer base: other businesses or typical consumers
- 3) The detailed sector of activity

Ordinary types of businesses – restaurants, homebuilders, day care centers - need little elaboration. The description should allow one to determine what kind of product is manufactured, produced in agriculture, extracted in mining, created in construction, type of transportation or utility provided, what is traded at the wholesale or retail level and the specific nature of service –repair, financial business, medical, educational or social- delivered. "Hi Tech" or "e-commerce" are **NOT** adequate as business descriptions. If the business is doing several things, ask about the activity that will provide the most revenue.

=====

The answer should be precise enough to place the business under a proper heading in a business directory—such as the phone book yellow pages. The respondent should provide a sentence that would clearly describe both (1) the nature of the product or service as well as (2) the primary customer base (other businesses or typical consumers). Ordinary types of businesses—restaurants, homebuilders, day care centers—need little elaboration. The description should allow one to determine what kind of product is manufactured, produced in agriculture, extracted in mining, created in construction, type of transportation or utility provided, what is traded at the wholesale or retail level, and the specific nature of service—repair, financial, business, medical, educational or social—delivered. "Hi tech" or "e-commerce" are NOT adequate as business descriptions. If the business is doing several things, ask about the activity that will provide the most revenue.

=====

1G1. Will all, some, or none of your potential customers consider this product or service new and unfamiliar?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {SUNWCST}

- All 1
- Some 2
- None will consider this new and unfamiliar 3
- Don't know -1
- Refused -2

=====

The purpose of this item is to determine how new the good or service is with respect to the intended customers. It is designed to allow for a wide range of customers populations, from retail customers in a small rural village confronting a new kitchen appliance to sophisticated software buyers in international firms considering new inventory management systems. The issue is "newness" to the intended customers, not new to any possible buyer in the world. Some would be in the range of 10-25%; more than 25% would clearly be "all" or "almost all."

=====

1G2. Right now, are there many, few, or no other businesses offering the same products or services to your potential customers?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {SUCOMPET}

- Many business competitors 1
- Few business competitors 2
- No business competitors 3
- Don't know -1
- Refused -2

=====

This purpose of this item is to determine the competition for only that set of customers to be approached by the new or existing firm. If the start-up will be the very first firm to offer something in a small isolated rural village where there are no competitors, then the small rural village should be accepted as the appropriate competitive arena. If the start-up will offer a new product or service over the internet to anyone in the world with a computer, then the potential domain for competition will be any vendor in the world than can sell over the internet. "Few" is to be considered 1-3, perhaps 1-5 competitors; more than five would be considered many.

=====

1G3. Have the technologies or procedures required for this product or service been available for less than a year, or between one to five years, or longer than five years? **(READ ANSWER LIST IF NECESSARY. ENTER SINGLE RESPONSE.) {SUNEWTEC}**

- | | | |
|------------------------|--------------------------------|----|
| | Less than a year..... | 1 |
| | Between one to five years..... | 2 |
| | Longer than five years..... | 3 |
| (DO NOT READ) → | [Don't know | -1 |
| | [Refused..... | -2 |

=====
 The focus is on the critical, unique procedures or technological feature of the good or service. It may be the actual product itself or the process used to produce the good or service. Any new way of producing a standardized product—like a new way to cook chicken or prepare coffee—would qualify as well as a dramatic new industrial product that would improve the efficiency of electrical motors. “Generally available” refers to the respondent and their community of friends, relatives, coworkers, etc. So the fact that it was only recently available in rural Brazil is the significant fact for a respondent in rural Brazil, not that it was available in Portugal 5 years ago.
 =====

1G4. What proportion of your customers will normally live outside your country? Is it more than 90%, more than 75%, more than 50%, more than 25%, more than 10%, or 10% or less? **(READ ANSWER LIST IF NECESSARY. ENTER SINGLE RESPONSE. IF RESPONDENT ANSWERS 25% EXACTLY, MARK CHOICE 4; IF 50% EXACTLY, MARK CHOICE 3, IF 75% EXACTLY MARK CHOICE 2.) {SUEXPORT}**

- | | | |
|------------------------|--------------------|----|
| | More than 90%..... | 1 |
| | 75 to 90%..... | 2 |
| | 50 to 75%..... | 3 |
| | 25 to 50%, | 4 |
| | 10 to 25%, or..... | 5 |
| | Under 10 | 6 |
| (DO NOT READ) → | [None..... | 7 |
| | [Don't know | -1 |
| | [Refused..... | -2 |

=====
 This refers to the normal location of customers. So a manufacturing firm that ships products to customers outside the country would qualify as well as a resort hotel that serves tourists that come from outside the country. It is assumed that all customers are equal in terms of a source of revenue, but if there is confusion it is appropriate to consider this in terms of the proportion of total sales (total turnover) generated by customers inside and outside the country.
 =====

1H1. Not counting the owners, how many people are currently working for this business? Please include all exclusive subcontractors, meaning people or firms working ONLY for this business and not working for others as well. **(DO NOT READ ANSWER LIST OR VALID RANGE. ENTER EXACT AMOUNT FROM 0 TO 1,000,000. DO NOT ACCEPT A RANGE. IF RESPONDENT IS UNSURE, ENCOURAGE BEST GUESS.)** {SUNOWJOB}

_____ (VALID RANGE 0-1,000,000)
Don't know..... -1
Refused..... -2

=====

This should include anybody that receives any payment for work for the firm, cash or goods or services. "Exclusive subcontractors" are designed to cover any body that has created a new business—as a self-employed person or proprietor—with only one client. This is often a disguised form of employment.

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1H2. Not counting owners, how many people, including both present and future employees, will be working for this business five years from now? Please include all exclusive subcontractors, meaning people or firms working ONLY for this business, and not working for others as well. **(DO NOT READ ANSWER LIST OR VALID RANGE. ENTER EXACT AMOUNT FROM 0 TO 1,000,000. DO NOT ACCEPT A RANGE. IF RESPONDENT IS UNSURE, ENCOURAGE BEST GUESS.)** {SUJR5JOB}

_____ (VALID RANGE 0-1,000,000)
Don't know..... -1
Refused..... -2

=====

This should include anybody that receives any payment for work for the firm, cash or goods or services. "Exclusive subcontractors" are designed to cover any body that has created a new business—as a self-employed person or proprietor—with only one client. This is often a disguised form of employment.

=====

1K1. Are you involved in this start-up to take advantage of a business opportunity or because you have no better choices for work?
(READ ANSWER LIST IF NECESSARY. ENTER SINGLE RESPONSE.) {SUREASON}

- | | | |
|-------------------------------------|---|----|
| | Take advantage of business opportunity, or..... | 1 |
| | No better choices for work..... | 2 |
| (DO NOT
 READ) → | [Combination of both of the above..... | 3 |
| | Have a job but seek better opportunities..... | 4 |
| | Other (SPECIFY) _____ {SUREASON_OTH} .. | 5 |
| | Don't know..... | -1 |
| | Refused..... | -2 |

=====

The item is designed to determine the PRIMARY motive for participating in the start-up, whether they are willing volunteers or feel they are forced into creating a new business. Both “DO NOT ASK” options are legitimate, and should be accepted if they reflect the respondents answer.

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1K2. Which one of the following, do you feel, is the most important motive for pursuing this opportunity?
(READ ANSWER LIST. ENTER SINGLE RESPONSE.){SUOPTYPE}

- | | | |
|-------------------------------------|---|----|
| | Greater independence..... | 1 |
| | Increase personal income | 2 |
| | Just to maintain income | 3 |
| (DO NOT
 READ) → | [None of these (SPECIFY) ___ { SUOPTYPE_OTH } | 4 |
| | Don't know..... | -1 |
| | Refused..... | -2 |

=====

This question is designed to find out, from those selecting option 1 ‘opportunity’ from question SUREASON. This question is designed to find out what the respondent thinks is the *most important* benefit to be gained from their start-up from a set of three options. The first refers to the increase in freedom in their working lifestyle. The second refers to any expected increase in their personal wealth/ income from taking the opportunity. The third, just to maintaining an income level via entrepreneurship, other options being closed.

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BLOCK 1: INTRAPRENEURSHIP (SPECIAL TOPIC)

1SP1. Are you in employment in addition to working on this new business?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {SUEMPADD}

- Yes 1
- No..... 2
- Don't know -1
- Refused..... -2

=====
This question is asked to determine if the respondent has a job in addition to his/her activities on the new business. Together with question 1SP2 this is used to make a selection of those business starters with some employment experience. Questions 1SP3-6 then relate to how this employment experience will be used in the firm the respondent is setting up.
=====

1SP2. Were you in employment before you started working on this new business?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {SUEMPBEF}

- Yes 1
- No..... 2
- Don't know -1
- Refused..... -2

=====
This question is asked to determine if the respondent had a job before starting the new business. Together with question 1SP1 this is used to make a selection of those business starters with some employment experience. Questions 1SP3-6 then relate to how this employment experience will be used in the firm the respondent is setting up.
=====

1SP3. Is your business idea based on an idea you encountered through your experience as an employee?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {SUSPIDEA}

- Yes 1
- No..... 2
- Don't know -1
- Refused..... -2

=====
This question aims to identify owner-managers for whom the business was based on previous employment situations. If the business idea only has an indirect or rather vague relation with the experience as an employee, NO should be selected.
=====

1SP4. Does, or will, one of your current or previous employers provide financial support or physical infrastructure to your new business?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {SUSPSUP}

- Yes 1
- No..... 2
- Don't know -1
- Refused..... -2

Objective of this question is to determine to what extent employers can be important in helping to start or running the business by providing tangible support (not just emotional support or encouragement).

1SP5. Will you engage current or previous co-workers in the new business?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {SUSPCOWORK}

- Yes 1
- No..... 2
- Don't know -1
- Refused..... -2

This question is asked to gain more knowledge on employee dynamics, as initiated by entrepreneurial activities. Employees who decide to start/run a business may mobilize colleagues in their (new) venture. In case the respondent answers that s/he has already engaged co-workers, please tick 'yes' (1).

1SP6. To what extent is the technology of your new business related to the core technologies of your most recent employer? Is it closely related, partially related or not related? **(READ ANSWER LIST IF NECESSARY. ENTER SINGLE RESPONSE.) {SUSPTECH}**

- Closely related 1
- Partially related 2
- Not related..... 3
- (DO NOT READ) → [Don't know -1
- [Refused..... -2

This question asks to what extent technologies used by business starters are similar to those they use(d) in the firm they worked for most recently. In case the respondent indicates that 'no technology was used', please tick 'Not related' (3). For the respondents who answer (3) it will still be determined if they have the business idea from current or previous employment experiences (from question 1SP3).

BLOCK 1: NETWORK (OPTIONAL)

- 1T. Various people may give you advice on your new business. Have you received advice from any of the following?
- 2T. Various people may give you advice on your business. During the last year, have you received advice from any of the following?
- 3T. Various people may give you advice on your ideas for starting a business. Have you received advice from any of the following?

	Yes	No	Don't know	Refused
a. Your spouse or life-companion	1	2	-1	-2
b. Your parents	1	2	-1	-2
c. Other family or relatives	1	2	-1	-2
d. Friends	1	2	-1	-2
e. Current work colleagues	1	2	-1	-2
f. A current boss	1	2	-1	-2
g. Somebody in another country	1	2	-1	-2
h. Somebody who has come from abroad	1	2	-1	-2
i. Somebody who is starting a business	1	2	-1	-2
j. Somebody with much business experience	1	2	-1	-2
k. A researcher or inventor	1	2	-1	-2
l. A possible investor	1	2	-1	-2
m. A bank	1	2	-1	-2
n. A lawyer	1	2	-1	-2
o. An accountant	1	2	-1	-2
p. A public advising services for business	1	2	-1	-2
q. A firm that you collaborate with	1	2	-1	-2
r. A firm that you compete with	1	2	-1	-2
s. A supplier	1	2	-1	-2
t. A customer	1	2	-1	-2

=====

These are questions about those people or groups who give a starter, potential starter or owner-manager advice on their business. Such networking depends on the culture of the country such as the roles of family versus professionals, on attributes of the entrepreneur such as gender, age and education, and on characteristics of the business such as its phase and size. Networks may affect outcomes such as innovation, exporting and growth-expectations.

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BLOCK 2: OWNER-MANAGERS (CORE)

2A. Are you, alone or with others, currently the owner of a business you help manage, self-employed, or selling any goods or services to others? **(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.)** {OWNMGE}

- Yes..... 1
- No..... 2
- Don't know -1
- Refused..... -2

=====
Must be ACTIVE in management. If the respondent is a passive investor—they own part of the business but are not involved in daily decision making or strategy implementation, the answer should be “NO.” Ownership may be quite small, as long as they expect to share in the profits and losses—and not just receive a salary.
=====

2C. Is this the same business as you referred to in the previous questions, or is it a different business? **(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.)** {SU_OM}

- Same business..... 1
- Different business..... 2
- Don't know..... -1
- Refused..... -2

=====
This question is designed to filter out respondents from completing block 2 based on their affirmative answer to Qu 1.c., but are in fact referring to the same business. If they are actually referring to the same business they can skip block 2 which basically deals with the same questions as block 1. This (i) reduces the probability that these people drop out of the questionnaire (because otherwise they would have to answer the same set of questions) and (ii) reduces the total interview time. This question has been introduced in 2008.
=====

2D1. (Perhaps we were not clear on what we mean with a “business.” If you personally share in the profits of selling any goods or services to others that can be a business.)

Do you personally own all, part, or none of this business? (DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.)
(INTERVIEWER NOTE: IF THERE IS MORE THAN ONE BUSINESS SELECT THE ONE THAT PROVIDES MOST JOBS) {OMOWN}

- All..... 1
- Part..... 2
- None..... 3
- Does not apply-3
- Don't know.....-1
- Refused.....-2

Some partial ownership, where the respondent may lose a financial investment or share in the profits and rewards, is required, even less than 5% is adequate. If they will NOT share ownership, the answer is NONE.

2D2. How many people, including yourself, both own and manage this business?

(DO NOT READ ANSWER LIST OR VALID RANGE. ENTER EXACT AMOUNT FROM 2 TO 1,000. DO NOT ACCEPT A RANGE. IF RESPONDENT IS UNSURE, ENCOURAGE BEST GUESS.) {OMOWNERS}

- # _____ (VALID RANGE 2-1,000)
- Don't know -1
- Refused..... -2

This involves two aspects, ownership and management of the business. Any partial ownership, even as little as 5%, will be acceptable. “Ownership” implies that the individual will share in both the profits and losses of the business activity. If they will not share in the profits and losses, then they do not qualify. “Manage” implies they take an active role in day to day operations, although it may be as little as half a day a week. If they share ownership are not involved in management they would be considered investors or “silent partners.”

2E2. What was the first year the founders of the business received wages, profits, or payments in kind from this business?
(READ IF NECESSARY:) "Payments in kind" refers to goods or services provided as payments for work rather than cash.
(DO NOT READ ANSWER LIST OR VALID RANGE. INTERVIEWER NOTE: RECORD ENTIRE 4 DIGIT YEAR, FOR EXAMPLE, YEAR "86" WOULD BE ENTERED AS "1986". IF NO PAYMENTS YET, RECORD AS -3.) {OMWAGEYR}

# _____	(VALID RANGE 1800- 2011)
No payments yet	-3
Don't know.....	-1
Refused.....	-2

=====

Push hard for an approximate answer, plus or minus a year, rather than a "don't know" or "refused." If the firm had a period of profits, then losses, and returned to profitability, please record the earliest date in the history of the firm when this occurred—some payments made for work performed.

=====

2E3. Did the founders of the business receive any wages, profits or payments in kind from this business before 1 January 2008?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {OMPAY2}

Yes.....	1
No.....	2
Don't know	-1
Refused.....	-2

=====

This question is designed to reduce the high number of "don't knows" present in prior surveys. We suspect that payments by the business to the owner are not properly understood because for many entrepreneurs, business and owner mean the same thing. Hence they may be inclined to answer "don't know." Another suggestion for the high rate of "don't knows" is that the current owners are not the founders, and genuinely don't know, or the business was started a long time ago, and they don't remember exactly the year. We need to know whether the business was active or not before 2006 so that it can be classified correctly.

=====

2F. What kind of business is this? **(PROBE:)** What is it selling? How would it be listed in a business directory, such as the phone book yellow pages? **(WRITE THE MOST COMPLETE POSSIBLE DESCRIPTION OF THE BUSINESS)** {OMBUSTYPE}

RECORD VERBATIM. PROBE FOR CLARIFICATION AND DETAIL. The respondent should provide a sentence that would clearly describe:

- 1) The nature of the product or service as well as
- 2) The primary customer base: other businesses or typical consumers
- 3) The detailed sector of activity

Ordinary types of businesses –restaurants, homebuilders, day care centers- need little elaboration. The description should allow one to determine what kind of product is manufactured, produced in agriculture, extracted in mining, created in construction, type of transportation or utility provided, what is traded at the wholesale or retail level and the specific nature of service –repair, financial business, medical, educational or social- delivered. “Hi Tech” or “e-commerce” are **NOT** adequate as business descriptions. If the business is doing several things, ask about the activity that will provide the most revenue.

=====

The answer should be precise enough to place the business under a proper heading in a business directory—such as the phone book yellow pages. The respondent should provide a sentence that would clearly describe both (1) the nature of the product or service as well as (2) the primary customer base (other businesses or typical consumers). Ordinary types of businesses—restaurants, homebuilders, day care centers—need little elaboration. The description should allow one to determine what kind of product is manufactured, produced in agriculture, extracted in mining, created in construction, type of transportation or utility provided, what is traded at the wholesale or retail level, and the specific nature of service—repair, financial, business, medical, educational or social—delivered. “Hi tech” or “e-commerce” are NOT adequate as business descriptions. If the business is doing several things, ask about the activity that will provide the most revenue.

=====

2G1. Do all, some, or none of your potential customers consider this product or service new and unfamiliar? **(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.)** {OMNEWCST}

- All..... 1
- Some..... 2
- None consider this new and unfamiliar..... 3
- Don't know.....-1
- Refused.....-2

=====

The purpose of this item is to determine how new the good or service is with respect to the intended customers. It is designed to allow for a wide range of customers populations, from retail customers in a small rural village confronting a new kitchen appliance to sophisticated software buyers in international firms considering new inventory management systems. The issue is “newness” to the intended customers, not new to any possible buyer in the world. Some would be in the range of 10-25%; more than 25% would clearly be “all” or “almost all.”

=====

2G2. Right now, are there many, few, or no other businesses offering the same products or services to your potential customers?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {OMCOMPET}

- Many business competitors..... 1
- Few business competitors..... 2
- No business competitors 3
- Don't know.....-1
- Refused.....-2

=====

This purpose of this item is to determine the competition for only that set of customers to be approached by the firm. If the start-up will be the very first firm to offer something in a small isolated rural village where there are no competitors, then the small rural village should be accepted as the appropriate competitive arena. If the start-up will offer a new product or service over the internet to anyone in the world with a computer, then the potential domain for competition will be any vendor in the world than can sell over the internet. "Few" is to be considered 1-3, perhaps 1-5 competitors; more than five would be considered many.

=====

2G3. Have the technologies or procedures required for this product or service been available for less than a year, or between one to five years, or longer than five years? **(READ ANSWER LIST IF NECESSARY. ENTER SINGLE RESPONSE.) {OMNEWTEC}**

- Less than a year..... 1
- Between one to five years 2
- Longer than five years..... 3
- (DO NOT READ) → [Don't know -1
- [Refused.....-2

=====

The focus is on the critical, unique procedures or technological feature of the good or service. It may be the actual product itself or the process used to produce the good or service. Any new way of producing a standardized product—like a new way to cook chicken or prepare coffee—would qualify as well as a dramatic new industrial product that would improve the efficiency of electrical motors. "Generally available" refers to the respondent and their community of friends, relatives, coworkers, etc. So the fact that it was only recently available in rural Brazil is the significant fact for a respondent in rural Brazil, not that it was available in Portugal 5 years ago.

=====

2G4. What proportion of your customers normally live outside your country. Is it more than 90%, more than 75%, more than 50%, more than 25%, more than 10%, or 10% or less? **(READ ANSWER LIST IF NECESSARY. ENTER SINGLE RESPONSE. IF RESPONDENT ANSWERS 25% EXACTLY, MARK CHOICE 4; IF 50% EXACTLY, MARK CHOICE 3, IF 75% EXACTLY, CHOICE 2.)** {OMEXPORT}

- | | | |
|------------------------|--------------------|----|
| | More than 90%..... | 1 |
| | 75 to 90%..... | 2 |
| | 50 to 75%..... | 3 |
| | 25 to 50%, | 4 |
| | 10 to 25%, or..... | 5 |
| | Under 10 | 6 |
| (DO NOT READ) → | [None..... | 7 |
| | [Don't know | -1 |
| | [Refused..... | -2 |

=====
 This refers to the normal location of customers. So a manufacturing firm that ships products to customers outside the country would qualify as well as a resort hotel that serves tourists that come from outside the country. It is assumed that all customers are equal in terms of a source of revenue, but if there is confusion it is appropriate to consider this in terms of the proportion of total sales (total turnover) generated by customers inside and outside the country.
 =====

2H1. Not counting the owners, how many people are currently working for this business? Please include all exclusive subcontractors, meaning people or firms working ONLY for this business and not working for others as well. **(DO NOT READ ANSWER LIST OR VALID RANGE. ENTER EXACT NUMBER FROM 0 TO 1,000,000. DO NOT ACCEPT RANGE. IF RESPONDENT IS UNSURE, ENCOURAGE BEST GUESS.)** {OMNOWJOB}

- | | | |
|-----------------|----------------------------------|----|
| #_____ people | (VALID RANGE 0-1,000,000) | |
| Don't know..... | | -1 |
| Refused..... | | -2 |

=====
 This should include anybody that receives any payment for work for the firm, in cash or wages or profits or goods or services. "Exclusive subcontractors" are designed to cover any body that has created a new business—as a self-employed person or proprietor—with only one client. This is often a disguised form of employment.
 =====

2H2. Not counting owners, how many people, including both present and future employees, will be working for this business five years from now? Please include all exclusive subcontractors, meaning people or firms working ONLY for this business, and not working for others as well. **(DO NOT READ ANSWER LIST OR VALID RANGE. ENTER EXACT NUMBER FROM 0 TO 1,000,000. DO NOT ACCEPT RANGE. IF RESPONDENT IS UNSURE, ENCOURAGE BEST GUESS.)** {OMYR5JOB}

_____ people (VALID RANGE 0-1,000,000)
 Don't know..... -1
 Refused..... -2

=====

This should include anybody that will receive any payment for work for the firm, in cash or wages or profits or goods or services. "Exclusive subcontractors" are designed to cover anybody that has created a new business—as a self-employed person or proprietor—with only one client. This is often a disguised form of employment.

=====

2K1. Did you become involved in this firm to take advantage of a business opportunity or because you had no better choices for work? **(READ ANSWER LIST IF NECESSARY. ENTER SINGLE RESPONSE.)** {OMREASON}

(DO NOT READ) →

- Take advantage of business opportunity, or.....1
- No better choices for work..... 2
- ┌ Combination of both of the above..... 3
- | Have a job but seek better opportunities..... 4
- | Other (SPECIFY) _____ {OMREASON_OTH}...5
- | Don't know.....-1
- └ Refused.....-2

=====

The item is designed to determine the PRIMARY motive for participating in the start-up, whether they are willing volunteers or feel they are forced into creating a new business. The "DO NOT ASK" option is legitimate, and should be accepted if it reflects the respondent's answer.

=====

2K2. Which one of the following, do you feel, was the most important motive for pursuing this opportunity?
(READ ANSWER LIST. ENTER SINGLE RESPONSE.) {OMOPTYPE}

- (DO NOT READ) →
- Greater independence.....1
 - Increase personal income2
 - Just to maintain income3
 - [None of these (SPECIFY) ___ {OMOPTYPE_OTH}.... 4
 - [Don't know.....-1
 - [Refused.....-2

=====
This question is designed to find out, from those selecting option 1 'opportunity' from question OMREASON. This question is designed to find out what the respondent thinks is the *most important* benefit to be gained from their start-up from a set of three options. The first refers to the increase in freedom in their working lifestyle. The second refers to any expected increase in their personal wealth/ income from taking the opportunity. The third, just to maintaining an income level via entrepreneurship, other options being closed.
=====

2L. Did you start this business? Were you one of its first owners and managers?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {OMRSTART}

- Yes..... 1
- No..... 2
- Don't know.....-1
- Refused.....-2

=====
This question is asked so that we can identify which owner-managers are the founders of the business. It enables us to determine the proportion of business owner-managers who still run the business they founded
=====

BLOCK 2: INTRAPRENEURSHIP (SPECIAL TOPIC)

2SP1. Are you in employment in addition to owning and managing this business?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {OMEMPADD}

- Yes 1
- No..... 2
- Don't know -1
- Refused..... -2

=====
This question is asked to determine if the owner-manager has a job in addition to his/her activities as an owner manager. Together with question 2SP2 this is used to make a selection of those owner-managers with some employment experience. Questions 2SP3-6 then relate to how this employment experience is being used in the firm the respondent owns and manages.
=====

2SP2. Were you in employment before you owned and managed this business?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {OMEMPBEF}

- Yes 1
- No..... 2
- Don't know -1
- Refused..... -2

=====
This question is asked to determine if the owner-manager had a job before being an owner manager. Together with question 2SP1 this is used to make a selection of those owner-managers with some employment experience. Questions 2SP3-6 then relate to how this employment experience is being used in the firm the respondent owns and manages.
=====

2SP3. Is your business idea based on an idea you encountered through your experience as an employee?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {OMSPIDEA}

- Yes 1
- No..... 2
- Don't know -1
- Refused..... -2

=====
This question aims to identify owner-managers for whom the business was based on previous employment situations. If the business idea only has an indirect or rather vague relation with the experience as an employee, NO should be selected.
=====

2SP4. Does, or did, one of your current or previous employers provide financial support or physical infrastructure to your business?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {OMSPSUP}

- Yes..... 1
- No..... 2
- Don't know -1
- Refused..... -2

Objective of this question is to determine to what extent employers can be important in helping to start or running the business by providing tangible support (not just emotional support or encouragement).

2SP5. Have you engaged previous co-workers in your business, or are you planning to engage current or previous co-workers?
(READ ANSWER LIST IF NECESSARY. ENTER SINGLE RESPONSE.) {OMSPCOWORK}

- Yes, have engaged 1
- Yes, planning to engage..... 2
- No..... 3
- (DO NOT READ) → [Don't know -1
- [Refused..... -2

This question is asked to gain more knowledge on employee dynamics, as initiated by entrepreneurial activities. Employees who decide to start/run a business may mobilize colleagues in their (new) venture. In case the respondent answers both 'have engaged' and 'planning to engage', please tick 'have engaged' (1).

2SP6. To what extent is the technology of your business related to the core technologies of your most recent employer? Is it closely related, partially related or not related? **(READ ANSWER LIST IF NECESSARY. ENTER SINGLE RESPONSE.) {OMSPTECH}**

- Closely related 1
- Partially related 2
- Not related..... 3
- (DO NOT READ) → [Don't know -1
- [Refused..... -2

This question asks to what extent technologies used by owner-managers are similar to those they use(d) in the firm they worked for most recently. In case the respondent indicates that 'no technology was used', please tick 'Not related' (3). For the respondents who answer (3) it will still be determined if they have the business idea from current or previous employment experiences (from question 2SP3).

BLOCK 3: POTENTIAL ENTREPRENEURS AND DISCONTINUERS (CORE)

3A. Are you, alone or with others, expecting to start a new business, including any type of self-employment, within the next three years? **(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {FUTSUP}**

- Yes..... 1
- No..... 2
- Don't know -1
- Refused..... -2

=====

The question is a focus on expectation that a new business entity will be formed. Any type of business entity would qualify, even part time self-employment. Any reasonable expectation would qualify, but preferably it would be more than a 50% chance some effort would be made to start the new business.

=====

3B. Have you, in the past 12 months, sold, shut down, discontinued or quit a business you owned and managed, any form of self-employment, or selling goods or services to anyone? **(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {DISCENT}**

- Yes..... 1
- No..... 2
- Don't know -1
- Refused..... -2

=====

The question is designed to determine how many going businesses were shut down. The respondent should have been at least a partial owner and active in management of the business. Hence, it would not include a business where the respondent was an employee. Further, it should not include a start-up that was abandoned before it had become an operating business. It would not include a business where the respondent was an employee. If a business was sold and the business activity continued under new ownership, it should **also** be considered a “shut-down” or “quit.”

=====

3C1. Did the business continue its business activities after you quit? **(DO NOT READ ANSWER LIST.) {EXBUSCON}**

- Yes 1
- No..... 2
- Business continued but activities changed..... 3
- Don't know -1
- Refused..... -2

=====
This question asks whether the business that was left by the respondent continued or ceased to exist. The respondent could indicate that the business activities changed after he/she left the business. This option should not be read but can be coded as '7'. If the activities changed completely, i.e. basically a new, different business emerged after the respondent left, this should be coded as "NO".
=====

3C2. What was the most important reason for quitting this business? **{EXREASON}**
(READ ANSWER LIST FROM TOP TO BOTTOM. ENTER SINGLE RESPONSE.)

- An opportunity to sell the business.....1
 - The business was not profitable.....2
 - Problems getting finance..... 3
 - Another job or business opportunity..... 4
 - The exit was planned in advance..... 5
 - Retirement.....6
 - Personal reasons.....7
 - An incident..... 8
 - [Other **(SPECIFY)**_____ **{EXREASON_OTH}**... 9
 - [Don't know.....-1
 - [Refused.....-2
- (DO NOT READ) →**

=====
Any single response is legitimate, but enter only one. This question is designed to find out what the respondent thinks is the single most important reason for closing a business. Personal reasons may involve health or family problems. Incidents are unexpected events and may involve hurricanes, burglaries etc. If the respondent feels that the most important reason is not in this list, tick "other". The respondent can be assured that no further details are required on this topic.
=====

BLOCK 4: INFORMAL INVESTORS (CORE)

4A. Have you, in the past three years, personally provided funds for a new business started by someone else, excluding any purchases of stocks or mutual funds? **(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {BUSANG}**

- Yes..... 1
- No..... 2
- Don't know -1
- Refused..... -2

=====
This is an attempt to determine the tendency of respondents to provide informal investments—either loans or equity to any start-up effort. Almost any amount is accepted in the next item. Be sure the respondent does not think they will be asked about details. Note that any stock or mutual fund shares are not included—the focus is on direct personal investments. Three years is an approximate time period, and estimates covering 32 to 40 months are acceptable.
=====

Insert “perhaps...” if “don’t know” in question 4A.

4B. **(Perhaps we were not clear on the previous question. You may have provided financial support to a friend or family member starting a business in the past three years.)**

Approximately how much, in total, have you personally provided to these business start-ups in the past three years, not counting any investments in publicly traded stocks or mutual funds? **(RECORD AMOUNT IN NATIONAL CURRENCY.) (INTERVIEWER NOTE: IF RESPONDENT SAYS “HAVEN'T PROVIDED FUNDS” RECORD AS -3.) {BAFUND}**

- \$_____ **(VALID RANGE 1-1,000,000,000)**
- Haven't provided funds..... -3
- Don't know..... -1
- Refused..... -2

=====
It is critical that it is clear where the decimal point is on this item, as well as the currency. It will be assumed that the national currency was used unless specified otherwise.
=====

4C. What was your relationship with the person that received your most recent personal investment? Was this a...
(READ ANSWER LIST AND ENTER SINGLE RESPONSE.) {BAREL}

- Close family member, such as a spouse,
brother, child, parent, or grandchild..... 1
- Some other relative, kin, or blood relation 2
- A work colleague 3
- A friend or neighbor, or..... 4
- A stranger with a good business idea..... 5
- Other **(SPECIFY)**_____ **{BAREL_OTH}** .. 6
- Don't know..... -1
- Refused..... -2

**(DO NOT
READ) →**

=====
Any single response is legitimate, but enter only one. The respondent can be assured that no further details are required on this topic.
=====

BLOCK 5

(INTERVIEWER NOTE: IF RESPONDENT HESITANT TO PROVIDE OCCUPATION STATUS BECAUSE IT IS SENSITIVE INFORMATION, INTERVIEWER CAN ADVISE THE RESPONDENT THAT IT WILL BE USED FOR RESEARCH PURPOSES ONLY AND WILL NOT BE LINKED TO YOUR PERSONAL IDENTITY.)

5E. Which of the following describes your current employment status? Chose all that apply. {OCCU}

	<u>Yes</u>	<u>No</u>	<u>Don't Know</u>	<u>Refused</u>
5E1. Employed by others in full-time work {OCCUFULL}	1	2	-1	-2
5E2. Employed by others in part-time work {OCCUPART}	1	2	-1	-2
5E3. Self-employed {OCCUSELF}	1	2	-1	-2
5E4. Seeking employment {OCCUSEEK}	1	2	-1	-2
5E5. Not working because I am retired or disabled {OCCURD}	1	2	-1	-2
5E6. A student {OCCUSTU}	1	2	-1	-2
5E7. Full-time home-maker {OCCUHOME}	1	2	-1	-2
5E8. Other (SPECIFY) _____ {OCCU_OTH}	1	2	-1	-2

=====
 Goal of this question is to establish what the current occupation(s) of the respondents is (are). Because many owners and managers of businesses also have other occupations, multiple options are possible with this question. This means that part-time involvements (e.g. self-employed, students) should be indicated as YES, as long as the part-time function takes at least 8 hours per week.
 =====

BLOCK 5: INTRAPRENEURSHIP (SPECIAL TOPIC)

5SP1. What type of organization are you working for: for a private for-profit firm, for the government or for a not for-profit organization?
(READ ANSWER LIST IF NECESSARY. ENTER SINGLE RESPONSE.) {IPORGTTYPE}

- Private for- profit 1
- Government 2
- Not for-profit 3
- Other (SPECIFY) _____ {IPORGTTYPE_OTH} ... 4

- (DO NOT READ) →** [Don't know -1
[Refused..... -2

=====
Any single response is legitimate, but enter only one. In case the respondent is working for more than one organization, please ask about the one that consumes most of her/his time.
=====

5SP2. How many employees are there in the organization you are working for? **(DO NOT READ ANSWER LIST OR VALID RANGE. ENTER EXACT AMOUNT FROM 0 TO 1,000,000. ENCOURAGE BEST GUESS.) {IPORGSIZE}**

- # _____ (VALID RANGE 0-1,000,000)
- Don't know..... -1
- Refused..... -2

=====
Any guess is preferred over "Don't know". In case the respondent does not know because the organization is very big, try to get an estimate of this big number. In the analysis these big numbers will form one category.
=====

5SP3. In the last three years, have you been involved in the development of new activities for your main employer, such as developing or launching new goods or services, or setting up a new business unit, a new establishment or subsidiary?

(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {IPACTIVE}

- Yes 1
- No..... 2
- Don't know -1
- Refused..... -2

=====

This question aims at identifying individuals who may be seen as 'intrapreneurs': employees exhibiting entrepreneurial behavior. If respondent is unsure, encourage 'yes' and let her/him know that a set of questions will be asked that will allow the researchers to determine if they qualify.

=====

5SP4. And are you currently involved in the development of such new activity?

PHRASE FULL QUESTION IF NECESSARY: Are you currently in the development of new activities for your main employer, such as developing or launching new goods or services, or setting up a new business unit, a new establishment or subsidiary?

(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {IPACTIVENOW}

- Yes 1
- No..... 2
- Don't know -1
- Refused..... -2

=====

This question is asked to determine if employees who have shown entrepreneurial behavior in the past three years tend to do exhibit such behavior incidentally or structurally.

=====

5SP5 AND 5SP6. **INTRODUCTON:** I will now mention two phases that can be identified for developing new activities. Could you indicate for each of these phases whether you have made a contribution in the past three years?

5SP5. The first phase consists of idea development for a new activity. This includes for example active information search, brainstorming on new activities and submitting your own ideas to management. Have you been actively involved in this phase in the past three years?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {IPPHASE1}

- Yes..... 1
- No..... 2
- Don't know-1
- Refused.....-2

=====
Respondents may come up with their own example of their involvement in this phase and ask whether that qualifies them. Interviewers should accept this with 'yes', unless it is clear to the interviewer that it should in fact be 'no'.
=====

5SP5A. And could you tell me whether you had a leading or a supporting role in this phase?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {IPPHASE1ROLE}

- Leading role 1
- Supporting role..... 2
- Both..... 3
- (DO NOT READ) → [Don't know-1
- [Refused.....-2

=====
In case respondents asks: the leading role requires a substantial responsibility in regard to the development activity in this phase.
=====

5SP6. The second phase concerns preparation and implementation of a new activity. This includes for example promoting your idea, preparing a business plan, marketing the new activity or finding financial sources and acquiring a team of workers. Have you been actively involved in this phase in the past three years? **(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {IPPHASE2}**

- Yes..... 1
- No..... 2
- Don't know-1
- Refused.....-2

=====
Respondents may come up with their own example of their involvement in this phase and ask whether that qualifies. Interviewers should accept this with 'yes', unless it is clear to the interviewer that it should in fact be 'no'.
=====

5SP6A. And could you tell me whether you had a leading or a supporting role in this phase?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {IPPHASE2ROLE}

- Leading role 1
- Supporting role..... 2
- Both..... 3
- (DO NOT READ) → [Don't know -1
- [Refused..... -2

=====
In case respondents asks: the leading role requires a substantial responsibility as regards the development activity in this phase.
=====

5SP7. **INTRODUCTION.** I would like you to consider the most significant new activity you have been actively involved with in the past three years for your main employer. The next questions deal with this particular new activity.

Could you describe this new activity in one sentence? **{IPTYPE}**

- Don't know -1
- Refused..... -2

=====
Most significant refers to the (potential) returns to the firm in the long run. The answer should be precise enough to place the activity under appropriate headings. It should e.g. be clear whether the new activity concerns a new product or service the firm would offer (and what product or service), development of new markets for the firm (which markets) or new procedures to be implemented in the firm (which new procedures).
=====

5SP8. How many people do you expect to be working on the new activity five years after its introduction?
(DO NOT READ ANSWER LIST OR VALID RANGE. ENTER EXACT AMOUNT FROM 0 TO 1,000,000. DO NOT ACCEPT RANGE. ENCOURAGE BEST GUESS.) {IPJOB5YR}

- # _____ **(VALID RANGE 0-1,000,000)**
- Don't know..... -1
- Refused..... -2

=====
This should include anybody that will receive any payment for work for the activity, in cash or wages or profits or goods or services. It should include "exclusive subcontractors", a self-employed person or proprietor with only one client. This is often a disguised form of employment.
=====

BLOCK 5: INTRAPRENEURSHIP (SPECIAL TOPIC) (OPTIONAL)

5SPO1. Will all, some, or none of the customers consider this product or service new and unfamiliar?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {IPCUST}

- All 1
- Some 2
- None will consider this new and unfamiliar 3
- Don't know -1
- Refused -2
- Does not apply -3

=====

The purpose of this item is to determine how new the good or service is with respect to the intended customers. It is designed to allow for a wide range of customers populations, from retail customers in a small rural village confronting a new kitchen appliance to sophisticated software buyers in international firms considering new inventory management systems. The issue is “newness” to the intended customers, not new to any possible buyer in the world. Some would be in the range of 10-25%; more than 25% would clearly be “all” or “almost all.”

=====

5SPO2. Does, or will, the new activity target the existing group of customers, a new group of customers or no customers at all?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {IPCUSTNEW}

- Existing group of customers 1
- New group of customers 2
- No customers at all 3
- Existing group and new group of customers 4
- Don't know -1
- Refused -2

=====

The purpose of this item is to determine if the new activity is expanding the target group of customers, regardless of the size of this new group: it could be a new ‘niche’ or a large group of customers (e.g. ‘young consumers’)

=====

5SPO3. Right now, are there many, few, or no other businesses offering the same product or service to customers?
(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {IPCOMPET}

- Many business competitors..... 1
- Few business competitors..... 2
- No business competitors 3
- Don't know -1
- Refused..... -2

=====

The purpose of this item is to determine the competition for only that set of customers to be approached by the firm. If the start-up will be the very first firm to offer something in a small isolated rural village where there are no competitors, then the small rural village should be accepted as the appropriate competitive arena. If the start-up will offer a new product or service over the internet to anyone in the world with a computer, then the potential domain for competition will be any vendor in the world than can sell over the internet. "Few" is to be considered 1-3, perhaps 1-5 competitors; more than five would be considered many.

=====

5SPO4. Has a new legal entity been created for this business activity, do you expect it to be created, or will the new business activity remain within the organization that employs you? **(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.) {IPLEGENT}**

- New legal entity has been created 1
- New legal entity will be created 2
- Business activity remains within organization 3
- Don't know -1
- Refused..... -2

=====

The purpose of this item is to determine to what extent activities that are started within the firm may be transferred to outside the firm in a new legal entity ('spin-out').

=====

5SPO5. To what extent is the technology of your new activity related to the core technologies of your employer? Is it closely related, partially related or not related? **(READ ANSWER LIST IF NECESSARY. ENTER SINGLE RESPONSE.)** {IPTECHREL}

- Closely related 1
 - Partially related 2
 - Not related..... 3
 - [Don't know -1
 - [Refused..... -2
 - [Does not apply -3
- (DO NOT READ) →**

=====
 This question asks to what extent technologies used in the new activity are similar to those in the firm they work for. This will be used to determine whether or not the new activity remains close to the core of the business.
 =====

5SPO6. Do you, or did you, personally take any risks in getting involved in this new activity? **(DO NOT READ ANSWER LIST. ENTER SINGLE RESPONSE.)** {IPRISK}

- Yes 1
- No..... 2
- Don't know -1
- Refused..... -2

=====
 Respondents may perceive a range of risks, any of those will qualify – the next question deals with those. Risks that are taken by the firm only, without affecting the respondent, do not qualify.
 =====

5SPO7. What kinds of risks did you take? Did you risk any of the following:
(DO NOT READ ANSWER LIST. MULTIPLE ANSWERS POSSIBLE) {IPRISKTYPE}

	<u>Yes</u>	<u>No</u>	<u>Don't Know</u>	<u>Refused</u>
5SPO7A. Loss of status {IPRISKSTAT}.....	1	2	-1	-2
5SPO7B. Damage to career {IPRISKCAR}.....	1	2	-1	-2
5SPO7C. Loss of job {IPRISKJOB}.....	1	2	-1	-2
5SPO7D. Loss of own money invested {IPRISKMON}.....	1	2	-1	-2
5SPO7E. Other (SPECIFY) _____ {IPRISKTYPE_OTH}.....	1	2	-1	-2

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 Respondents may perceive multiple risks at the same time. If 5SPO7A-D are all answered with NO, please probe for an answer at 5SPO7E.
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5SPO8. To what extent does your current employer provide support when employees come up with ideas for new goods or services? Is this: to large extent, to some extent or not at all? **(READ ANSWER LIST IF NECESSARY. ENTER SINGLE RESPONSE.)**
{IPSUPPORT}

- To large extent 1
- To some extent 2
- Not at all 3

(DO NOT READ) → [Don't know -1
 [Refused..... -2

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This question captures the degree to which employers tend to stimulate pro-active behavior by employees. Even if the respondent is not an employee that is involved with these kinds of activities they will probably have an idea about the extent to which their employer provides support. If needed the respondent can be ensured that their information is treated confidentially and that in fact we are unable to trace the employer.

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5SPO9. What kind of organization are you working for? **(PROBE:)** What is it selling? How would it be listed in a business directory, such as the phone book yellow pages? **(WRITE THE MOST COMPLETE POSSIBLE DESCRIPTION OF THE BUSINESS)** **{IPBUSTYPE}**

RECORD VERBATIM. PROBE FOR CLARIFICATION AND DETAIL. The respondent should provide a sentence that would clearly describe:

- 1) The nature of the product or service as well as
- 2) The primary customer base: other businesses or typical consumers
- 3) The detailed sector of activity

Ordinary types of businesses –restaurants, homebuilders, day care centers- need little elaboration. The description should allow one to determine what kind of product is manufactured, produced in agriculture, extracted in mining, created in construction, type of transportation or utility provided, what is traded at the wholesale or retail level and the specific nature of service –repair, financial business, medical, educational or social- delivered. “Hi Tech” or “e-commerce” are **NOT** adequate as business descriptions. If the business is doing several things, ask about the activity that will provide the most revenue.

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The answer should be precise enough to place the business under a proper heading in a business directory—such as the phone book yellow pages. The respondent should provide a sentence that would clearly describe both (1) the nature of the product or service as well as (2) the primary customer base (other businesses or typical consumers). Ordinary types of businesses—restaurants, homebuilders, day care centers—need little elaboration. The description should allow one to determine what kind of product is manufactured, produced in agriculture, extracted in mining, created in construction, type of transportation or utility provided, what is traded at the wholesale or retail level, and the specific nature of service—repair, financial, business, medical, educational or social—delivered. “Hi tech” or “e-commerce” are **NOT** adequate as business descriptions. If the business is doing several things, ask about the activity that will provide the most revenue.

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5SPO10.What is your job title?

RECORD VERBATIM. PROBE FOR CLARIFICATION AND DETAIL. The job title refers to the employment that the respondent indicated as one of the occupation options earlier in the question. {IPJOBTL}

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The answer should be precise enough to capture important differences. For example, ‘manager’ alone is not sufficient, it is required to have some more details on the particular kind of manager (e.g. ‘production manager’, ‘human resource manager’, ‘chief-operations manager’, ‘interim-manager’). As the respondent already indicated the activities of the firm in the previous question, we do not require sector information here.

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BLOCK 5: INNOVATION (OPTIONAL)

Answer choices for all:

- Strongly Agree 1
- Somewhat Agree..... 2
- Neither Agree Nor Disagree 3
- Somewhat Disagree 4
- Strongly Disagree..... 5

5V1. In the next 6 months you are likely to buy products or services that are new to the market. {INNVBUY}

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If respondent is unsure what is meant by “new to the market”, the following explanation may be used: “By the term new to the market, I refer to products or services you have not noticed before when you go shopping for something, or which are advertised as new.”

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5V2. In the next 6 months you are likely to try products or services that use new technologies for the first time. {INNVTRY}

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If respondent is unsure what is meant by “products or services that use new technologies”, the following explanation may be used: “By the term products or services that use new technologies, I refer to products or services that use new scientific breakthroughs. An example might be a light bulb that makes light in a new way”.

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5V3. In the next 6 months, new products and services will improve your life. {INNVLIFE}

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If respondent is not sure what is meant by “improve your life”, the following explanation may be used: By the term improve your life, I refer to an increase in the quality of your life, or in other words, your life changing for the better directly as a result of your use of new products and services”.

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