

**ZA5078**

**IWH FDI Micro Database -  
Survey of multinational affiliates in East Germany  
and selected Transition Economies  
(2009)**

**Fragebogen:  
"Neue Bundesländer" (NBL) - "New Federal States"  
[Ostdeutschland - East Germany]**

The IWH is member of the Leibniz-Association.

## **IWH-FDI-Micro-Database**

### **Scientific Use File of the**

### **Questionnaire**

### **Survey 2009**

**In East Germany (including Berlin)**

2. Round Services

3. Round Manufacturing

Differences between the original data set and the scientific use file are highlighted in red.

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## I. Part of the questionnaire

**Note:** The first part of the survey deals with locational factors and ownership structure of your enterprise.

### 1. Please let me now your position in your enterprise.

**Note:** **This data is dropped.**

Position

### 2. Please evaluate the socio-cultural surrounding at your enterprise's location currently. Please choose between very good, good, poor, very poor

**Note:** **This data is completely available.**

	Quality
Availability of local cultural activities	
Availability of local health care	
Availability of local housing	
Personal safety of expatriates and foreign personnel	
Availability of child care	
General image of the region	

### 3. Please evaluate the quantitative labour supply at your enterprise's location currently. Please choose between very good, good, poor, very poor

**Note:** **This data is completely available.**

	Quality
Supply with unskilled labour	
Supply with skilled labour	
Supply with apprentices and trainees	
Supply with junior employees with university degree	

### 4. Please evaluate the supply with government grants and subsidies at your enterprise's location in Eastern Germany currently. Please choose between very good, good, poor, very poor

**Note:** **This data is completely available.**

	Quality
Availability of wage subsidies	
Availability of investment incentives (government grants or tax incentives)	
Availability of investment credits (KfW)	
Availability of government guarantees	
Possibility for special depreciations	
Availability of fiscal incentives concerning research & development and innovation	

### 5. Please evaluate the potential for technological cooperation with the following partners at your enterprise's location in Eastern Germany currently. Please choose between very good, good, poor, very poor

**Note:** **This data is completely available.**

	Quality
Cooperation potential with universities and other public research institutes	
Cooperation potential with other enterprises (customers, suppliers, competitors)	

## 6. Does your enterprise have one or more investor(s) with headquarter in foreign countries?

**Note:** A foreign investor is either a direct shareholder with a minimum of 10 percent equity in your enterprise or constitutes the ultimate owner of your enterprise with a minimum of 25 percent indirect ownership. Foreign shareholders are not limited to enterprise groups, but also include physical persons, foundations, financial investors located abroad.

**The data of questions 6 to 8 is partly available in the scientific use file. Variable q06 only indicates whether an enterprise has an investor from abroad (West Germany or foreign country) or not.**

	Yes, one	Yes, more than one	No
Foreign investor			

⇒ If you answered „Yes“, please continue with question 7.

### 6.1 May I ask again? We have Information from the year 2008, showing that your enterprise has one or more investor(s) with headquarter in foreign countries, is this current?

**Note:** See description of question 6.

Yes	
No	

⇒ If you answered „No“, please continue with question 14(if Inward/Outward, otherwise quit the interview).

## 7. In which country does your foreign investor have its headquarter?

**Note:** This data is dropped due to reanonymization aspects.

	Country
Headquarter of foreign investor	

## 8. Does your enterprise have West German multinational shareholders?

**Note:** A West German multinational is either a direct shareholder with a minimum of 10 percent equity in your enterprise or constitutes the ultimate owner of your enterprise with a minimum of 25 percent indirect ownership. A West German multinational enterprise has its headquarter in Western Germany (not including Berlin) and at least one foreign subsidiary.

**Additional note:** See description of question 6.

	Yes	No
West German multinational shareholder		

⇒ If you answered „Yes“, please continue with question 9.

### 8.1 May I ask again? We have Information from the year 2008, showing that your enterprise has one or more West German investor(s), is this current?

**Note:** See description of question 6.

Yes	
No	

⇒ If you answered „No“, please continue with question 14(if Inward/Outward, otherwise quit the interview).

**Note:** The following questions deal with your foreign or Western German investor. In case your enterprise has more than one foreign or Western German investor, the following questions refer to the investor, who holds the most shares or voting-rights in your enterprise today.

**9. Please indicate the type of foreign investor in your enterprise. Please choose one option.**

*Note for the Interviewer: A multinational enterprise group is composed of different units in Eastern Germany, the home country and has at least one affiliate in one more country. A national enterprise group is composed of different units in the home country, however, its only foreign unit is your enterprise. An individual entrepreneur is composed of only one unit in the home country and its only foreign unit is your enterprise. Financial investors include banks, investment and venture capital funds.*

Note: Options are split into two categories due to reanonymization aspects.

1. Enterprise – Option 1, 2 and 3. Option 6 attached to this group as well.
2. Individual – Option 4, and 5.

Multinational enterprise group	
National enterprise group	
Enterprise (single entity)	
Individual or family	
Financial investor	
Others	

**10. Please indicate the year of entry of your foreign or Western German investor into your enterprise.**

Note: Year of entry is split into two categories due to reanonymization aspects.

1. before 2000
2. 2000 or later.

Entry of foreign investor	

**11. Please indicate what describes best the initial entry mode of your foreign investor.**

Note: This data is completely available.

	Yes	No
New foundation of a legally independent enterprise		
Partial acquisition of a legally independent and already existing enterprise		
Acquisition of a legally independent and already existing enterprise by the majority		

**12. From your point of view: How important were the following strategic motives for your foreign investor's decision to invest in your enterprise? Please choose between not at all important, not important, important and very important.**

Note: This data is completely available.

	Importance
Access to a foreign market	
Use of cost advantages related to labour, capital, or land	
Use of economies of scale (to produce larger amounts of the same product)	
Use of economies of scope (to implement product differentiation)	
Access to location-bound knowledge and technology	
Access to location-bound natural resources	

**13. Please indicate whether the following business functions are currently undertaken either by your enterprise or by your foreign investor. Please choose between: only by your enterprise, mainly by your enterprise, mainly by your foreign investor or only by your foreign investor (Options on enquiry: Neither by your enterprise nor by your foreign investor and By your enterprise and your foreign investor in equal parts).**

*Note for the interviewer: Strategic Management refers to development, planning and implementation of your enterprise's aims and orientation. The planning interval for strategic management covers usually two to five years. Operational Management (or short-term planning) includes activities geared towards the day-to-day operations of the company. Marketing entails not only advertisement activities but also all activities within the company which aim at increasing the demand for the product (e.g. search for markets, changes to the product according to the preferences of the customers, etc.). Acquisition and Supply includes all input factors required for the production of your enterprise's goods and services. Research and Development refers to experimental development, i.e. systematic creative work to broaden existing knowledge, to gain general applicable insights as well as the use of such knowledge for development of new products, services, and processes.*

Additional note: **This data is completely available.**

	Only by your enterprise	Mainly by your enterprise	Mainly by your foreign investor	Only by your foreign investor	Neither by your enterprise nor by your foreign investor	By your enterprise and your foreign Investor in equal parts
Strategic Management						
Operational Management						
Marketing						
Acquisition and Supply						
Research and Development						

## II. Part of the Questionnaire

Note: The second part of the survey deals with your enterprise's investment abroad.

**14. Did your enterprise undertake foreign direct investment?**

*Note to the interviewer: Foreign direct investment involves the acquisition of a minimum of 10 per cent of equity in an existing legally independent enterprise abroad or the creation of a legally independent subsidiary/affiliate under your own control abroad. We do not refer to foreign direct investment undertaken by any of your own foreign investor.*

Note: **All data concerning outward FDI were dropped due to reanonymization aspects.**

	Foreign direct investment
Yes	
No	

⇒ If you answered „Yes“, please continue with question 15.

**14.1 May I ask again? We have Information from 2008,telling that your enterprise undertook foreign investments, is this current?)**

Note: **All data concerning outward FDI were dropped due to reanonymization aspects.**

Yes	
No	

⇒ If you answered „No“, please continue with question 22(if Inward/Outward, otherwise quit the interview).

15. Please indicate the year in which your enterprise undertook the first foreign direct investment.

Note: **All data concerning outward FDI were dropped due to reanonymization aspects.**

	Year
First foreign direct investment	

16. Please indicate the type of foreign direct investment undertaken by your enterprise.

Note: **All data concerning outward FDI were dropped due to reanonymization aspects.**

	Yes	No
New foundation of a legally independent affiliate		
Initial investment in a legally independent and already existing enterprise		
Acquisition of a legally independent and already existing enterprise by the majority		
Follow-up investment in already existing affiliates of the enterprise		

17. How important were the following strategic motives for your enterprise to undertake foreign direct investment? Please choose: not at all important, not important, important, very important.

Note: **All data concerning outward FDI were dropped due to reanonymization aspects.**

Access to a foreign market	
Use of cost advantages related to labour, capital, or land	
Use of economies of scale	
Use of economies of scope	
Access to location-bound knowledge and technology	
Access to location-bound natural resources	

18. Regarding foreign affiliates established by your enterprise: Do they work at an upstream, downstream or the same stage as your enterprise in the production process of your final product or service?

*Note for the interviewer: A foreign affiliate at an upstream stage could for example be a supplier of raw material, intermediate input, or service for the production of the final product or service at your enterprise. A foreign affiliate at a downstream stage could be responsible for the sale or distribution of the final product or service produced by your enterprise. It could also operate in an industry that uses your final product or service as an intermediate input. A foreign affiliate at the same stage in the production process produces a final product or delivers a service in the same way as your own enterprise just for a different market.*

Note: **All data concerning outward FDI were dropped due to reanonymization aspects.**

	Yes	No
Foreign affiliate working at an <u>upstream</u> stage		
Foreign affiliate working at a <u>downstream</u> stage		
Foreign affiliate working at the <u>same</u> production stage		

19. Please list the country(ies) in which foreign affiliates working at an upstream stage are located.

Note: **All data concerning outward FDI were dropped due to reanonymization aspects.**

	Country(ies)
Foreign affiliate working at an upstream stage	

20. Please list the country(ies) in which such foreign affiliates working at an downstream stage are located.

Note: **All data concerning outward FDI were dropped due to reanonymization aspects.**

	Country(ies)
Foreign affiliate working at an downstream stage	

21. Please list the country(ies) in which such foreign affiliates working at the same production stage are located.

Note: **All data concerning outward FDI were dropped due to reanonymization aspects.**

	Country(ies)
Foreign affiliate working at the same production stage	

### III. Part of the questionnaire

The following part of the survey deals with research and development in your enterprise. Research and development refers to experimental development to gain general applicable insights as well as the use of such knowledge for development of new products, services, and processes.

22. Did your enterprise undertake any own research and development (R&D) or did it issue any contracts to external research and development providers in the period from 2007 to 2009?

Note: **This data is completely available.**

Research and development	2007 until 2009
Yes	
No	

⇒ If you answered „No“, please continue with question 26.

23. How many of your enterprise's employees work in the area of R&D currently?

Note: The number of employees entails full and part time employees, however, no internships, leasing workers or temporary personnel.

Note: **Data transformed into share of R&D employees in the enterprise due to reanonymization aspects.. Percentage values are split into four categories.**

1. Zero
2. up to 5%
3. up to 20%
4. more than 20%

	Currently
Number of R&D employees / Percentage of R&D employees – only in Scientific Use File	

⇒ If you answered „no“ to question 6, please continue with question 25.

24. Which impact did the strategic behavior of your foreign investor have on the number of R&D employees? Did the number of R&D employees...

Note: **This data is completely available.**

increase	
decline	
Or did it have no direct effect	

⇒ If you answered „no“ to question 14, please continue with question 26.



**25. Which impact did your enterprise's foreign direct investment have on the number of R&D employees? Did the number of R&D employees...**

Note: **All data concerning outward FDI were dropped due to reanonymization aspects.**

increase	
decline	
Or did it have no direct effect	

**26. Did your enterprise participate in any R&D co-operation with other enterprises or organizations in the period from 2007 to 2009?**

Note: R&D cooperation does involve an active participation of your enterprise in projects jointly undertaken for example with related units of your enterprise group, other non-affiliated enterprises, or non-commercial institutions. This does not imply that participating parties extract an economic value from this cooperation. Pure contracts without any active participation of your enterprise are not considered as cooperation.

Note: **This data is completely available.**

R&D cooperation	2007 until 2009
Yes	
No	

If you answered „No“, please continue with question 28.

**27. With which of the following partners did your enterprise co-operate in the area of R&D?**  
More multiple choice possible

Note: **This data is completely available.**

	Yes	No
Your headquarter or own enterprise group		
<u>Local</u> suppliers not part of your enterprise group		
<u>Foreign</u> suppliers not part of your enterprise group		
<u>Local</u> customers not part of your enterprise group		
<u>Foreign</u> customers not part of your enterprise group		
<u>Local</u> research institutions		
<u>Foreign</u> research institutions		

**IV. Part of the questionnaire**

Note: This part of the survey deals with innovation. Innovations should be new to your enterprise, not necessarily to the market. A product innovation is the introduction of a good or service that is new or significantly improved with respect to its characteristics or intended uses. This includes significant improvements in technical specifications, components and materials, incorporated software, user friendliness, or other functional characteristics. The innovation can be undertaken by your enterprise alone or in cooperation with any other partner.

**28. Did your enterprise implement any product innovation(s) in the period from 2007 to 2009?**

*Note for the interviewer: Purely aesthetic modifications of products (such as colour, style, and packaging) are no product innovation. The pure sale of an innovation that was neither developed nor produced in your enterprise does not constitute a product innovation*

Note: **This data is completely available.**

Product innovation(s)	2007 until 2009
Yes	
No	

⇒ If you answered „No“, please continue with question 32.

29. Please approximate the share of new or significantly improved products in your enterprise's total sales in 2009 until now.

Note: Percentage values are split into four categories due to reanonymization aspects.

1. Zero
2. up to 10%
3. up to 33%
4. more than 33%

	2009
Share of new or significantly improved products in total sales (in %)	

⇒ If you answered „no“ to question 6, please continue with question 31.

30. Which impact did the strategic behavior of your foreign investor have on the share of improved products in total sales in your enterprise? Did the share of improved products in total sales...

Note: This data is completely available.

increase	
Decline	
Or did it have no direct effect	

⇒ If you answered „no“ to question 14, please continue with question 32.

31. Which impact did your enterprise's foreign direct investment have on the share of improved products in total sales of your enterprise? Did the share of improved products in total sales...

Note: All data concerning outward FDI were dropped due to reanonymization aspects.

increase	
decline	
Or did it have no direct effect	

## V. Part of the questionnaire

Note: The last part of the survey deals with selected general key figures of your enterprise.

32. How many employees do currently work in your enterprise?

Note: The number of employees entails full and part time employees, however, no internships, leasing workers or temporary personnel.

Note to the interviewer: Please indicate the number of all persons defined above as headcount.

Note: This data is dropped due to reanonymization aspects.

	Currently
Number of employees	

⇒ If you answered „no“ to question 6, please continue with question 34.

**33. Which impact did the strategic behavior of your foreign or western German investor have on the number of employees in your enterprise? Did the number of employees...**

Note: **This data is completely available.**

increase	
decline	
Or did it have no direct effect	

⇒ If you answered „no“ to question 14, please continue with question 35.

**34. Which impact did your enterprise's foreign direct investment have on the number of employees in your enterprise? Did the number of employees...**

Note: **All data concerning outward FDI were dropped due to reanonymization aspects.**

increase	
decline	
Or did it have no direct effect	

**35. Please indicate the share of employees in your enterprise who carry out tasks for which an university degree is required.**

Note: **Percentage values are split into four categories due to reanonymization aspects.**

1. Zero
2. up to 10%
3. up to 33%
4. more than 33%

	Share (in %)
Employees carrying out tasks requiring an university degree	

**36. How high is the expected total turnover of your enterprise for 2009?**

*Note for the interviewer: If your enterprise is a Bank,, the total turnover is the sum of gross interest and commission income from own- and commission business. If your enterprise is an insurance, the total turnover corresponds with contributors taking.*

Note: **This data is dropped due to reanonymization aspects.**

	2009
Expected total-turnover (Euro)	

⇒ If you answered „no“ to question 6, please continue with question 38.

**37. Which impact did the strategic behavior of your foreign investor have on the total turnover of your enterprise? Did the total turnover...**

Note: **This data is completely available.**

increase	
decline	
Or did it have no direct effect	

⇒ If you answered „no“ to question 13, please continue with question 37.

38. Which impact did your enterprise's foreign direct investment have on the number of employees in your enterprise? Did the total turnover...

Note: **All data concerning outward FDI were dropped due to reanonymization aspects.**

increase	
decline	
Or did it have no direct effect	

39. Please estimate the share of exports on the total sales of your enterprise in 2009.

Note: **Percentage values are split into four categories due to reanonymization aspects.**

1. **Zero**
2. **up to 10%**
3. **up to 33%**
4. **more than 33%**

	2009
Share of exports on total sales (in %)	

40. Please estimate the share of inputs(s.a. mining, intermediates) on the total sales of your enterprise in 2009.

*Note for the interviewer: Including all purchased from other establishments and facilities: raw materials and supplies, commodities, contract work, foreign service, rents, leases, other costs-(including advertising and representative costs, travel expenses, commissions, royalties, porto-and postage charges, insurance premiums, audit, consulting and legal fees, bank charges, contributions to the chambers and trade associations)*

Note: **Percentage values are split into four categories due to reanonymization aspects.**

1. **Zero**
2. **up to 10%**
3. **up to 33%**
4. **more than 33%**

	Share on the total sales (%)
Inputs	

41. Please estimate the share of imports on total intermediate inputs in your enterprise in 2009.

Note: **Percentage values are split into four categories due to reanonymization aspects.**

1. **Zero**
2. **up to 10%**
3. **up to 33%**
4. **more than 33%**

	2009
Share of imports on total intermediate inputs (in %)	

Thank you very much for your participation in the survey!

**Furthermore, the original data set contains information about the sectoral classification (Nace Rev. 1.1. 2-digit-code), the home country of the investor and the size of the enterprise measured by employment. In the scientific use file the enterprises are either accounted to the industry or to the service sector.**