



Deliverable 4.2

Set-up of subcontracted survey - monitoring and assessment for quality control

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TABLE OF CONTENTS

1	Introduction.....	3
2	Pre-pilot testing: the case of Slovenia.....	4
2.1	Highlights.....	4
2.2	Selected cognitive interview and survey results.....	6
3	Questionnaire design	10
4	Questionnaire translation and preparation at national level	22
5	Set-up of a sub-contracted survey: summary of activities and tender overview.....	25
5.1	The process of tender preparation	25
5.2	Tender text with details regarding work organization, selection and quality control	25
5.2.1	Technical specifications of the tender with activities description.....	27
5.2.2	Legal aspects	41
6	Conclusion	49
7	References.....	50



1 Introduction

This report summarizes the activities as planned and undertaken, and additional activities undertaken to ensure quality of the large scale pilot survey of intangible investment (Work Package 4).

So far, within the Work package 4, the following tasks have already been conducted:

- 4.1: Development of the questionnaire (responsible partner NTUA, in cooperation with other partners)
- 4.2: Definition of the survey methods (NTUA)

Following the preparation of the questionnaire, several steps were undertaken, to ensure quality:

- Activities to support questionnaire development following the initial agreed questionnaire
 - o Cognitive testing and preparation of comments on the survey questionnaire for Slovenia based on current best practice (Bavdaž et al., 2019) (Mojca Bavdaž, Tjaša Redek, Daša Farčnik, Polona Domadenik, Matjaž Koman, all UL, available as an un-official report),
 - o Pilot data gathering using web-based platform to further assess the questionnaire (Mojca Bavdaž, Tjaša Redek)
 - o Brief report on findings from cognitive testing and pilot data gathering, which was presented in the project meeting in Athens (Tjaša Redek)
- The questionnaire was adapted and finalized (NTUA)
- Translation to national languages based on *Guidelines for Best Practice in Cross-Cultural Surveys*
 - o Preparation of a framework for translation using *Guidelines for Best Practice in Cross-Cultural Surveys* (UL)
 - o Identification of possible alternative translations and issues with misinterpretation or misunderstanding of questions as well as ensuring comparability of data across countries (reported example for Slovenia)
- Visual design of the questionnaire according to the recent standards in survey methodology to ensure clarity and minimize non-response (Morrison, Dillman, & Christian, 2010);
- Set-up of a European-level public tender:
 - o Preparation of the legal documentation following the requirements of the national and European legislation to publish a European-level call for the implementation of the survey to ensure highest visibility, transparency and also quality.
 - o Preparation of the quality control process:
 - Selection of the contractor;
 - Implementation and reporting;
 - Financial guarantees for quality implementation.

In continuing, each of the steps is briefly described, but with the focus on:

- Translation to national languages;
- Questionnaire design;
- European public tender preparation.

2 Pre-pilot testing: the case of Slovenia

2.1 Highlights

Following the initial questionnaire development by NTUA, the questionnaire was tested first in Slovenia in August and September 2019, and the results were discussed extensively in the Globalinto project meeting in Athens (Greece, September 2019). The questionnaire was amended following the issues identified by UL in the field, other issues that were identified during the discussions at the meeting and subsequent considerations.

In the context of pre-testing, two activities were conducted:

- 1) Cognitive interviews were implemented and
- 2) An on-line survey was set up and the questionnaire was distributed to test respondents

The purpose of the pre-pilot testing in Slovenia:

- 1) As is standard for any questionnaire, **cognitive interviews** were conducted in order to test the **understanding of the initial version** of the questionnaire and explore the levels of data availability, and
- 2) To test the pathways through the questionnaire and collect test respondents' reactions using the on-line survey and
- 3) To identify problems with responses to specific questions that could be most challenging to respondents, also using the on-line survey.

While the activity (on-line survey) was not planned in the project proposal, it was conducted nonetheless, as it did not require much additional effort, but provided several important insights that helped develop the questionnaire further.

The pre-piloting provided several insights about the suggested questionnaire:

- 1) Which were presented and discussed in Athens meeting (September 2019);
- 2) Partners were invited to suggest questionnaire improvements,
- 3) Which led to further development and fine tuning of the questionnaire, presented in chapter on Questionnaire design of this report

The key highlights of the pre-piloting and cognitive interviews are summarized below. These were in detail discussed with partners and were used as a base to improve the questionnaire further, which was led by NTUA.

The first set of issues revolved around clear identification of the **purpose of survey**.

- In this context it was discussed that the length of the questionnaire is different for a one-off vs. recurrent survey. Typically, one-off survey would study a phenomenon in depth while recurring surveys would focus on changes in time so would not be so long (some exceptions do exist, such as Eurofund's surveys and World Bank BEEPS survey); recurring surveys try to ensure comparability in time, which calls for a standard set of questions.
- Second, the right questions' wording and terminology were stressed to be important. This meant that priority should be given to terms that are also well-understood among the target respondents and cannot be misinterpreted as something else. This was further addressed in translation of the source questionnaire in English to national languages.
- Third, it was also important to identify, how the survey contributes to existing knowledge, taking into account past surveys (UK intangibles survey, Italian intangibles survey, Innobarometer, etc.). The questionnaire relied on existing knowledge, primarily focused on depreciation issues, motivations for investment and also policy aspects.
- In relation to the overall purpose of the survey, but also in relation to methodological issues the link between the planned analyses using the data, questionnaire structure, response as well as the problem of sufficient accuracy was discussed.

Methodologically, several issues were raised, which primarily revolved around:

- **methodological soundness of the survey;**
 - o monitoring of the paradata
 - o structure of the questionnaire and measurement problems, especially in relation to the analyses, which were planned within the project using the survey data;
 - o problems of item non-response in case of questions, which required specific data for which business information systems typically do not provide readily available figures (numerical answers, percentages);
 - o purpose of the questionnaire in the data-collection process (visual aid, to circulate around the company to gather numerical data more easily, to get to know the topics before the actual interview (questionnaire sent beforehand, etc.)
- **implementation of the survey:**
 - o problems of units of observation (legal unit vs. enterprise, especially in case of more complex and international companies)
 - o identification of suitable respondent/respondents;
 - o recruitment of respondents;
 - o training of the interviewers.

2.2 Selected cognitive interview and survey results

In total seven cognitive interviews were implemented in Slovenia, where the targeted respondents were CFO, CMOs or management board members of larger manufacturing and services firms. The implementation followed current best practice as much as possible given extremely short timespan (Bavdaž et al., 2019) The interviews were conducted in September 2019.

The survey questionnaire, which was developed primarily by NTUA with partner support in July, was set up on the on-line application for web survey 1ka.si, which is a well-established survey platform used extensively in Slovenia, and was developed and is maintained by an AAPOR award-winning team of web-survey experts Vasja Vehovar and Katja Lozar Manfreda at the Faculty of Social Sciences at the University of Ljubljana. The questionnaire is available at: <http://raziskave.ef.uni-lj.si/a/698>. In total, 62 useful responses were obtained (questionnaire was sent out to around 3500 emails, which were emails of upper-middle management in firms from manufacturing and services). In order to also get respondents' opinions, we used the "testing" option, which allows respondents to add comments to the questionnaire. In continuing we highlight some results, and at the end provide key comments from cognitive interviews and on-line test.

While the majority of the questions were well understood, several questions received more comments or doubts were raised about what specifically the question refers to.

In the general information about the firm, the following issues were raised, most important are highlighted in continuing, the rest are summarized in an internal document.

The first issue raised was the issue of the **unit of observation**. The first questionnaire used an established business term "the firm". The field interviews revealed that in more complex organizations, it quickly becomes unclear, which entity the question refers to– the group, the whole corporation or just that specific company/legal unit. The respondents also stressed that many data are only collected at a higher aggregate level and not necessarily at the level of a legal unit (within a group). The feedback from respondents and comments from on-line surveys also showed that many firms belonging to a group do not invest in intangibles themselves, instead receiving software or training from head offices or parent companies. Similarly, branding expenditures may be owned at a corporate level or by head offices. In addition, organisational investments may also flow from the top, such that sites/legal units don't see this.

Following the Eurostat standards, the decision was made in the project group that the term enterprise would be used. Namely, **enterprise** is the unit of observation to be consistent with the Community Innovation Survey and because most concepts apply broader than the establishment (plant) level. An enterprise has a certain degree of autonomy in decision-making but may consist out of one or more legal units. Many large companies are on top of a chain of control of a big number of legal units, which together form just one enterprise. This survey targets the largest companies so it will inevitably run into this problem. The list of companies should not contain legal units without autonomy. Survey questions should refer to one or more

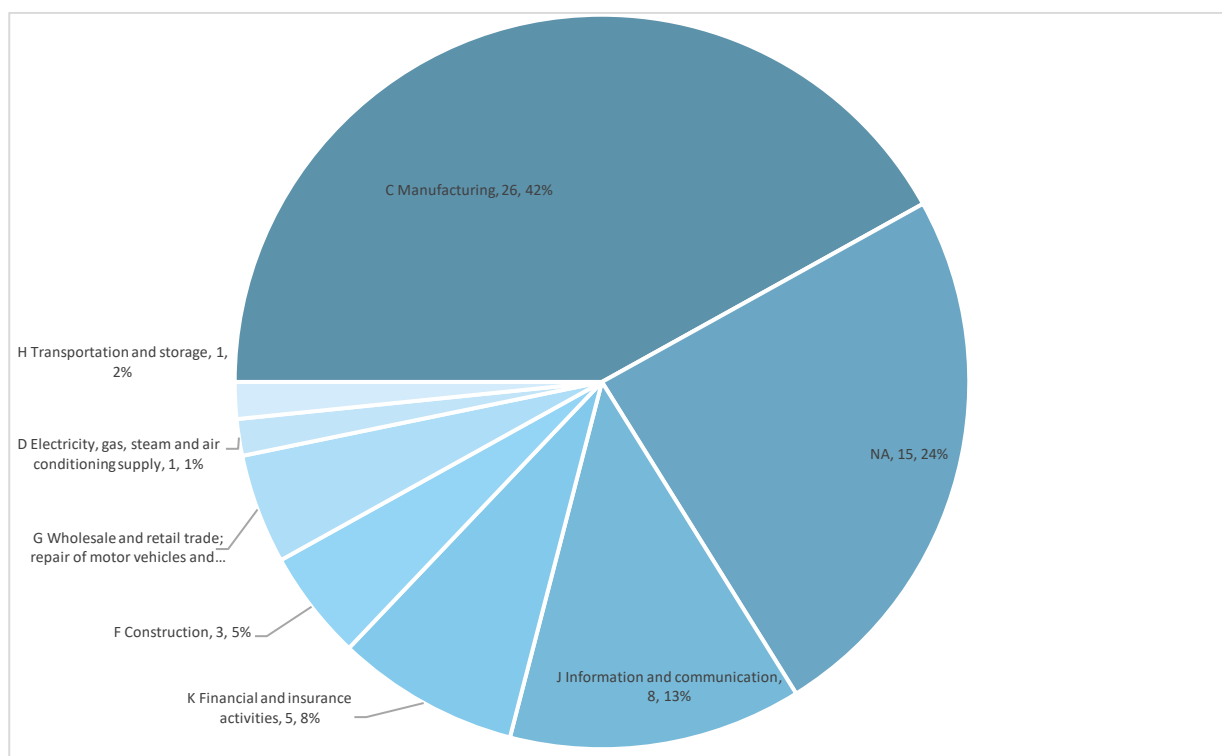
legal units in country X that are run by the same management. Given that this management is targeted for response, they should also have knowledge and data about this unit/these units.

In addition, the testing showed also the need for an additional pathway. The initial questions asked on whether the company is part of a group and the location of the headquarters, but it was stressed that only the companies that are part of multinational groups are asked the question on headquarters.

To interview respondents, the question about firms' **primary activity** was clear, but respondents has issues identifying appropriate NACE name or code, even possibly 2-digit NACE codes, which would allow a deeper analysis. Secondary activity proved to be even more challenging, especially since even in Slovenia, where companies are small in comparison to many other large EU economies, one of the interviewees mentioned that besides their core activity they have more than 200 other activities registered.

In the on-line survey, the majority of respondents, namely 42% or 26 respondents selected manufacturing. Companies from manufacturing were also given the option to select a two-digit NACE code.

Figure 1: The structure of respondents in on-line test survey (N and % of all)



Following the discussion in the project meeting and following also the implementation design, the decision was made that the activity is determined already during sample selection (the sample is drawn from Orbis) and consequently, it is known. However, since it is possible that the activity changes, the contractor (i.e. selected agency that will implement the survey across the sample countries) will check the activity with the respondent when establishing contact. Therefore, the question was deleted.

One of the major considerations in the questionnaire are **questions that require specific values about intangible investment by type**. In this case, several problems emerged:

- The definition of the category;
- Possible overlap between the categories due to lack of existence of a clear definition or lack of understanding of the term;
- Existence of data about that specific category separately from other data (e.g. design and its separation from product development data);
- Existence of data because of data collection requirements (International accounting standards).

For example, even in the case of a relatively simple and straight-forward question of whether the company undertook any activities intended to improve reputation or brand values, either of the enterprise as a whole or individual products or service lines, the comprehension problems emerged. For example, one of the respondents in cognitive interviews said: "As far as I understand you are asking if we have a marketing department or work on marketing. Very unlikely that someone would say 'no'." Another respondent also said that she is not sure how to answer this question since they don't have a marketing department, are B2B company and was not sure what "counts" as activities intended to improve reputation and brand values.

Several additional problems with the questions that require specific data emerged. These were carefully revised, also the response rate in on-line survey was considered. Primarily, the comments and also the discussion at the meeting revolved around the following problems:

- Specification of the question, where the year should be clearly specified (not for example "What is the total number of employees in the firm", but rather "At the end of 2019, what was the total number of employees in the enterprise?")
- Deciding on the period, in which the intangible investment types are of interest to us;
- Deciding about the reporting units of measurement, primarily should intangible investments be reported in percentage of sales, turnover, market sales of goods and services (to exclude possible sales of capital, etc.);
- Deciding about the reported expected benefit from a typical investment in certain intangible capital types.

The problems were carefully discussed, and the **following decisions were made**:

- In all questions, the year/period of observation was carefully revised. Questions on employment, employment types and intangible investment types now clearly in all cases refer to 2019 (or end of 2019 if stock is of interest instead of a flow);
- All data is requested to be reported in percentages to the reported market sales of goods and services, namely the category, which is also requested at the beginning of the questionnaire. Requesting both figures will also minimize the risk of errors.
- The question on depreciation of intangibles (e.g. "On average, how long does the enterprise expect to benefit from a typical investment in R&D and the acquisition of external knowledge?") was improved by adding additional response options for length. Initially there were 4 response options (less than 2 years,

2-5 years, 6-10 years, more than 10 years), but following the comments and the discussion about the differences in intangible capital types, the number of response options was increased (less than 1 year, 1-3 years, 4-6 years, 7-10 years, more than 10 years).

In other questions with multiple possible answers, respondents also pointed to **possible overlap between listed response categories because of the lack of understanding of categories' definition or lack of the existence of a clear and unified definition**. Consequently, there was the risk that each respondent would in fact provide different answers for the same reality, which would lower the quality of data. Questions were discussed and response categories clarified as much as possible. In some cases, a well-accepted and familiar definition of categories does not yet exist (e.g. big data). In this case, the manual for the training and implementation part will be prepared that will provide examples in order to help the interviewers and respondents. In addition, it must be recognized that despite the efforts invested in the preparation of the questionnaire, it will also be very important to train the field force/country teams that will conduct the interviews appropriately.

At the **end of the survey questionnaire, which was set-up on-line**, we also tried to get **feedback from the respondents regarding the questionnaire** (besides the comments at each question and cognitive interviews). The number of responses was not high, nonetheless, those responding felt that the topic is important and that the questions are generally clear and that the questionnaire was not too long. In addition, the majority of these respondents also said that they know the data or know the majority of data. Cognitive interviews, however, showed that some questions (e.g. percentage of turnover by type of investment) will inevitably represent a challenge as the data are not readily available in business information systems and might even require clarification and some estimation before being added up and compared to the turnover.

All of the inputs, which are only briefly summarized here, were in detail presented and reported in a document and a power-point presentation with survey results and cognitive interview testing.

The **discussion led to further improvement of the questionnaire by NTUA**, which was finished in October. The process was supported by partners. The final questionnaire is available at NTUA. In this document, the final questionnaire was also visually redesigned for distribution among respondents, following current best practices in survey methodology (Morrison, Dillman, & Christian, 2010). This part of work was done by University of Ljubljana, School of Economics and Business. It is also part of this document – in the chapter "Questionnaire design".

3 Questionnaire design

The questionnaire, prepared by NTUA, was finalized in October 2019. As agreed, the questionnaire will be distributed to all respondents before the agreed interview date, so that the respondents can prepare the data, where needed. While this is an established process, it was also additionally stressed by our test respondents that they would like to have a copy up-front.

The **questionnaire was visually redesigned relying on current best practices in survey methodology** (Morrison, Dillman, & Christian, 2010) to ensure clarity and provide visual cues to guide the respondents through the questions.

The English source questionnaire is presented in continuing. The translated questionnaires, which are available upon request, will also be formatted in accordance to the English example.



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GLOBALINTO Survey of Intangible Investments

INTRODUCTION

We are contacting you in the context of a survey funded by the European Commission that is carried out in eight countries across Europe.

This survey is seeking to develop a more complete view of business spending on intangible or “soft” assets, such as R&D, training, software, databases, design, reputation and branding, the determinants of these investments and their link with enterprise performance.

The results of this survey, which will be communicated to each participating enterprise, will provide valuable recommendations for shaping EU policies in this field. The questionnaire is addressed to the CEO of the enterprise and/or top-level managers (including the financial director). The interview will take approximately 25 minutes.

The information each interviewee provides will not be used at an individual level nor handed over by name to the European Commission or any other third party. The information will only be used for aggregate analysis.


A. GENERAL INFORMATION ABOUT THE ENTERPRISE

Q.1 Please indicate what are the enterprise’s most important activities:

Q.2 Is your enterprise part of an enterprise group?

- 1 No (Go to Q4)
- 2 Yes, it is part of a national group (Go to Q4)
- 3 Yes, it is part of a multinational group (Go to Q3)

Q.3 In which country is the group’s headquarters located?

 *If your enterprise is part of an enterprise group: Please answer all further questions about your enterprise only for its own activities in [your country]. Exclude all subsidiaries or parent enterprises.*

Q.4 At the end of 2019, what was the total number of employees in the enterprise?


 employees

Q.5 In 2019, what was the enterprise’s total turnover that is the market sales of goods and services including all taxes except VAT?

 0 0 0 EUR

B. TYPES OF ENTERPRISE SPENDING

B.1 RESEARCH AND EXPERIMENTAL DEVELOPMENT (R&D) & ACQUISITION OF EXTERNAL KNOWLEDGE

 **R&D is creative work** (undertaken within the enterprise and/or contracted out to other organisations) that increases the stock of knowledge and resolves scientific or technological uncertainty.

Q.6 a) In 2019, did the enterprise fund any R&D in-house?

- 1 Yes
2 No

b) In 2019, did the enterprise fund any R&D carried out by external providers (including enterprises in your own group)?

- 1 Yes
2 No

Q.7 In 2019, did the enterprise acquire external knowledge (e.g. purchase or licensing of patents and non-patented inventions, know-how, process blueprints and other types of knowledge)?

- 1 Yes
2 No

If you answered 'No' to all three questions, go to Q.11 in section B.2.

Q.8 In 2019, which percentage of the enterprise's turnover was spent on...

- a) ...**in-house** R&D?.....

--	--

 %
b) ...R&D carried out by **external providers** (including enterprises in your own group)?

--	--

 %
c) ...the acquisition of **external knowledge**?...

--	--

 %


Q.9 If the enterprise undertakes in-house R&D, is it performed:

- 1 ...continuously (the enterprise has permanent R&D staff in-house)
2 ...occasionally (as needed only)

Q.10 On average, how long does the enterprise expect to benefit from a typical investment in R&D and the acquisition of external knowledge?

- 1 Less than 1 year
2 1–3 years
3 4–6 years
4 7–10 years
5 More than 10 years

B.2 EMPLOYER FUNDED TRAINING

 **Training of the enterprise’s staff, either provided by an external organisation or using internal resources. The firm may provide to its employees training on IT systems/new technologies, new production equipment, “soft” skills development, management and financial issues, as well as health and safety issues.**

Q.11 a) In 2019, did the enterprise fund any training activities provided by external organizations?

- 1 Yes
- 2 No

b) In 2019, did the enterprise fund any training activities using internal resources?

- 1 Yes
- 2 No

If you answered ‘No’ to both questions, go to Q.14 in section B.3.

Q.12 In 2019, which percentage of the enterprise’s turnover was spent on staff training...

- a) ... organised by **external** providers on-site or elsewhere?

--	--

 %
- b) ... using **internal** resources?


--	--

 %

Q.13 On average, how long does the enterprise expect to benefit from a typical investment in training (please take average for more than one type of training)?

- 1 Less than 1 year
- 2 1–3 years
- 3 4–6 years
- 4 7–10 years
- 5 More than 10 years

B.3 ORGANISATION / BUSINESS PROCESS IMPROVEMENT

 **Spending on organisation or business process improvement through purchased consultancy services and/or in-house investment of managerial time.**

Q.14 In 2019, did the enterprise fund any external or internal work on organisation or business process improvement?

- 1 Yes
- 2 No (Go to Q18 in Section B.4)

Q.15 Which of the following types of organisation/business process improvement were funded? (multiple answers possible)

- 1 Quality improvement programmes
- 2 Business process reengineering
- 3 Business process digitalisation
- 4 Culture change projects
- 5 Changes in organisational structure
- 6 Changes in management systems
- 7 Smart Factory

Q.16 In 2019, which percentage of the enterprise’s turnover was spent on organisation or business process improvement...

- a) ... carried out by **external** providers (consultants)?

 %
- b) ... using **internal** resources?

 %

Q.17 On average, how long does the enterprise expect to benefit from a typical investment in organisation or business process improvement? (please take average for more than one type of business process improvement)

- 1 Less than 1 year
- 2 1–3 years
- 3 4–6 years
- 4 7–10 years
- 5 More than 10 years

B.4 SOFTWARE AND DATABASES

 **Purchase and/or in-house development/customization of software and databases, excluding software R&D and web design.**

Q.18 In 2019, did the enterprise purchase or conducted in-house work on software and databases?

- 1 Yes
2 No (Go to Q22 in Section B.5)

Q.19 Which types of software and databases did this include? (multiple answers possible)

- 1 General purpose office applications (e.g. word processing)
2 Special purpose applications (e.g. accounting management software, control of production flows, business intelligence tools)
3 Databases and other computerised information (e.g. big data)


Q.20 In 2019, which percentage of the enterprise's turnover was spent on software and databases...

- a) ... purchased from external providers? %
b) ... developed or customised in-house? %

Q.21 On average, how long does the enterprise expect to benefit from a typical investment in software/databases (please take average for more than one type of software/databases)?

- 1 Less than 1 year
2 1–3 years
3 4–6 years
4 7–10 years
5 More than 10 years

B.5 DESIGN

 **In-house and/or contracted out activities to design or alter the shape, appearance or usability of products and services. Design in the R&D phase of product development or design of software should be excluded.**

Q.22 In 2019, did the enterprise fund any in-house and/or contracted out design activities?

- 1 Yes
2 No (Go to Q26 in Section B.6)

Q.23 Which types of design did this include? (multiple answers possible)

- 1 Technical design in the creation of products and services
2 Design of user/customer experience (e.g. ergonomics, aesthetics, user interfaces)
3 Design of promotional materials for specific products and services (e.g. design of showrooms, brochures, exhibition stands, point of sale materials)
4 Design to develop and promote your corporate identity (e.g. design of logos, websites, uniforms, business colour schemes)


Q.24 In 2019, which percentage of the enterprise’s turnover was spent on design activities ...

- a) ... carried out by **external** providers? %
- b) ... using **internal** resources? %

Q.25 On average, how long does the enterprise expect to benefit from a typical investment in design? (please take average for more than one type of design)

- 1 Less than 1 year
- 2 1–3 years
- 3 4–6 years
- 4 7–10 years
- 5 More than 10 years

B.6 REPUTATION AND BRANDING

 **Funding of any in-house and/or contracted out activities to improve reputation or brand values, either of the enterprise as a whole or individual product or service lines.**

Q.26 In 2019, did the enterprise fund any in-house and/or contracted out activities intended to improve reputation or brand values, either of the enterprise as a whole or individual products or service lines?

- 1 Yes
- 2 No (Go to Q30 in Section B.7)

Q.27 Which reputation and branding activities were funded? (multiple answers possible)

- 1 Product launches
- 2 Promotional campaigns
- 3 “Branding” and “rebranding” of firm
- 4 Development of promotional materials
- 5 Market research
- 6 Trademarks

Q.28 In 2019, which percentage of the enterprise’s turnover was spent on activities to improve reputation or brand values...

- a) ... undertaken by **external** providers? %
- b) ... using **internal** resources? %

Q.29 On average, how long does the enterprise expect to benefit from a typical investment in reputation and branding? (please take average for more than one type of reputation/branding)

- 1 Less than 1 year
- 2 1–3 years
- 3 4–6 years
- 4 7–10 years
- 5 More than 10 years

C. FACTORS INFLUENCING INVESTMENTS IN INTANGIBLE ASSETS

C.1 STRATEGY

Q.30 Thinking about the enterprise priorities, please indicate which three of the following are the most important? (max 3 answers possible)

- 1 Rapid development of new products or services
- 2 Tailored, customised solutions
- 3 Ensuring lower prices
- 4 Increasing labour productivity
- 5 Decreasing production costs
- 6 Other

Q.31 In 2019, what was the % of your enterprise's turnover in the:

a) Regional-Local market	<input type="text"/>	<input type="text"/>	<input type="text"/>	%
b) National market	<input type="text"/>	<input type="text"/>	<input type="text"/>	%
c) European market	<input type="text"/>	<input type="text"/>	<input type="text"/>	%
d) International market (outside Europe)	<input type="text"/>	<input type="text"/>	<input type="text"/>	%
TOTAL.....	1	0	0	%

Q.32 Right now, are there other enterprises offering very similar products and/or services to your potential customers? (select one of the following options)

- 1 Yes, many business competitors
- 2 Only a few business competitors
- 3 No other business competitors

Q.33 During the last three years, has the enterprise made any Foreign Direct Investments (i.e. by buying a firm or by expanding its operations in another country)?

- 1 Yes
- 2 No

C.2 HUMAN AND TECHNOLOGICAL RESOURCES

Q.34 What is the total number of employees in the enterprise...

- a) ...with a University Degree? , employees
- b) ...with a postgraduate degree? , employees

Q.35 How many of the enterprise's employees are engaged in R&D activities?

, employees

Q.36 Please indicate to what extent the enterprise has made investments in the following categories of innovative technologies. (answer on a 5-point scale, where 1 is not at all and 5 is to a great extent)

TO WHAT EXTENT?

	1	2	3	4	5
a) Physical technologies (robots, 3D technologies, smart devices, sensor technologies)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Digital technologies (artificial intelligence, data analytics, IoT, machine learning, virtual and augmented reality, blockchain)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Bioinformatics-related technologies (genetics/genome editing, 3D&4D print in combination with genetics and medicine, neurotechnology)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

C.3 ORGANISATIONAL CAPABILITIES

Q.37 Please indicate to what extent you agree or disagree with the following statements regarding the sensing and seizing of opportunities by your enterprise. (answer on a 5-point scale, where 1 is strongly disagree and 5 is strongly agree)

(DIS)AGREEMENT

	1	2	3	4	5
a) Our enterprise actively scans for the best practices in our sector	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Our enterprise responds rapidly to moves by competitors	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) We change our practices based on customer feedback	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Our enterprise regularly considers the consequences of changing market demand for its new products and services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) Our enterprise is quick to recognise changes in its market (e.g. competition, regulation, demography)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f) We quickly identify new opportunities to better serve our customers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g) Design activity is important in introducing new products/services to the market	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h) We implement internal and external personnel training on a regular basis	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i) Employees share practical experiences with each other on a frequent basis	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q.38 Please indicate to what extent you agree or disagree with the following statements regarding the identification and evaluation of internal and external knowledge by your enterprise. (answer on a 5-point scale, where 1 is strongly disagree and 5 is strongly agree)

(DIS)AGREEMENT

	1	2	3	4	5
a) Our enterprise supports regular, systematic communication with customers, suppliers and other organisations along the firm's value chain to identify opportunities and needs for innovation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Our enterprise engages in a regular, systematic screening of our knowledge environment (e.g. through patent searches, attending trade fairs, reading trade or scientific journals, or web searches)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Our enterprise enters into alliances, joint ventures or strategic co-operation with other organisations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Our enterprise engages in collaborative research agreements/projects with universities and research institutes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) Our enterprise supports the internal exchange of knowledge and experience through teamworking and informal contacts between employees	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f) Our enterprise enhances the joint development of innovation strategies across functional areas	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g) Our enterprise supports exchanging new ideas openly across the firm	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q.39 Please indicate the importance of design capabilities to the enterprise business strategy
(select one of the following options)

- 1 Our enterprise does not work systematically with design
- 2 Design is used as last finish (e.g. when developing new products)
- 3 Design is integrated into the product development process
- 4 Design is a key strategic element of our enterprise's business model

Q.40 Please indicate to what extent the enterprise has developed the following digital capabilities.
(answer on a 5-point scale, where 1 is not at all and 5 is to a great extent)

	TO WHAT EXTENT?				
	1	2	3	4	5
a) Digital integration within and across different business functions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Access to and ability to use data analytics to design, develop, commercialise and improve products, including data about the users of the enterprise's products and their interactions with such products	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Access to networks and the use of appropriate solutions and architectures (hardware and software)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Effective management of privacy and cybersecurity risks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) Adoption of appropriate business models for digital environments, such as e-commerce, participative platforms etc.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q.41 Please indicate to what extent your enterprise uses digital platforms for.... (answer on a 5-point scale, where 1 is not at all and 5 is to a great extent)

	TO WHAT EXTENT?				
	1	2	3	4	5
a) Conducting research and development of products and services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Providing seamless connection (e.g. Production, manufacturing, shipment, forecasting) among partners	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Carrying out pre-sale interactions with existing or potential customers (e.g. Advertisements and market research)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Providing customer services including maintaining and repairing services, and technical support	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

D. FIRM PERFORMANCE

D.1 INNOVATION PERFORMANCE

Q.42 During the past three years, did the enterprise introduce any innovations, such as:

	Yes	No
	1	2
a) New or significantly improved products	<input type="radio"/>	<input type="radio"/>
b) New or significantly improved services	<input type="radio"/>	<input type="radio"/>
c) New or significantly improved production processes, distribution methods and/or supporting activities	<input type="radio"/>	<input type="radio"/>
d) New or significantly improved marketing concepts, strategies and/or methods	<input type="radio"/>	<input type="radio"/>
e) New or significantly improved organisational structures and/or management methods	<input type="radio"/>	<input type="radio"/>

Q.43 In 2019, what was the share of new or significantly improved products and/or services to total turnover?

		%
--	--	---

D.2 IMPACT OF INVESTMENTS IN INTANGIBLE ASSETS ON ECONOMIC PERFORMANCE

Q.44 Has the previous investments (mentioned in Part B) in intangible assets benefited the enterprise in terms of: (answer on a 5-point scale, where 1 is not at all and 5 is to a great extent).

	TO WHAT EXTENT?				
	1	2	3	4	5
a) Turnover	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Profit margin	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Skills and qualifications of employees	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Market share	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e) Overall value of the enterprise	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

E. QUESTIONS ON POLICY

Q.45 Does the government currently provide tax incentives (e.g. tax credits, preferential tax treatment) and/or direct subsidies to your enterprise for the following activities?

	TAX INCENTIVES			DIRECT SUBSIDIES		
	Yes	No	Not aware of any	Yes	No	Not aware of any
a) R&D	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Internal training programmes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) In-house development or customisation of software applications and databases	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Purchase of software applications and databases from external providers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

If you answered 'Yes' to any question, go to Q.46

If you answered 'Yes' to any question, go to Q.47

Q.46 If the government currently provides tax incentives (e.g. tax credits, preferential tax treatment) to your enterprise, how valuable are these incentives for the following activities?

(answer on a 5-point scale, where 1 is not at all and 5 is to a great extent)

	TO WHAT EXTENT?				
	1	2	3	4	5
a) R&D	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Internal training programmes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) In-house development or customisation of software applications and databases	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Purchase of software applications and databases from external providers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q.47 If the government currently provides direct subsidies to your enterprise, how valuable are these subsidies for the following activities?

(answer on a 5-point scale, where 1 is not at all and 5 is to a great extent)

	TO WHAT EXTENT?				
	1	2	3	4	5
a) R&D	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Internal training programmes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) In-house development or customisation of software applications and databases	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d) Purchase of software applications and databases from external providers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

4 Questionnaire translation and preparation at national level

Each country team was asked to translate the questionnaire carefully, following specific recommendations and guidelines by the coordinator of the activity, which was University of Ljubljana, School of Economics and Business.

Translation is key to **collecting comparable data in multinational, multicultural, or multiregional surveys (“3MC” surveys)**. Each language has specifics that influence the intended meaning, especially as we are **addressing new topics** for which vocabulary might not have developed fully.

Therefore, the translation process was planned carefully, following the recommendations from official statistics. **Two options were available:**

- 1) “backtranslation”, which refers to translating the questionnaire from English to national language and back to English and check for inconsistencies.
- 2) Team translation model, also known as TRAPD (Translation, Review, Adjudication, Pretesting, and Documentation) team translation model.

The **backtranslation** (using two independent translators) has benefits and shortcomings. It may point to inconsistencies, and thus helps us focus on critical parts. However, it often fails to provide a solution so it cannot be used in isolation. Even more importantly, translators have been increasingly using machine translation as a first step or as a support, which means that consistency might be easily achieved but doesn't tell anything about how good a translation is. Consequently, the **team translation approach** is getting more support, e.g. **TRAPD (Translation, Review, Adjudication, Pretesting, and Documentation)** team translation model.

National teams were provided minimal **instructions, which followed the detailed instructions from *Cross-cultural survey guidelines*** (Mohler et al., 2016).¹ Each country team was advised to have:

- 1) two translators independently translate the questionnaire from English into the national language, and
- 2) note down any problems and concerns identified when working through the translation.
- 3) If two full translations are not possible, then, as a minimum, at least one translator prepares a full translation and another independent translator translates several segments for comparison, both noting down any problems and concerns.
- 4) Then the reviewer puts together the two versions for a review.

¹ Detailed instructions are available also here: <http://ccsg.isr.umich.edu/index.php/chapters/translation-chapter/translation-overview>.

- 5) In the review session, the translations are compared and discussed along with all problems and concerns in an expanded team, that is the two translators plus others - the team should bring together knowledge of the topic, questionnaire design and relevant languages.

The goal is to keep the content of the questions semantically the same, which means we have to work on the meaning of the whole sentence/question, not just words. National versions should not have 'a foreign accent' but sound natural and not add more burden.

The whole procedure, team composition, item-by-item problems and solutions should be documented. To support the documentation process, an Excel file was sent to all national teams. An excerpt from the Slovenian documentation is reported in Figure 2.

In continuing we **briefly summarize the process of translation for Slovenia, but similar documentation is available upon request for all involved countries.** Following the recommendations, we obtained two independent translators, who were not involved in the process of questionnaire preparation and are also not part of the project. In addition, two project team members translated the questionnaire and we also had a project member, who did not take part in the preparation and translation of the questionnaire, to comment on the translated (Slovenian) questionnaire. Following independent work by each translator/expert, we set up a group meeting and the group discussed each question separately, identified differences in translation and then jointly decided on the best translation.

Throughout the translation and the discussion of different translations we focused on providing clear and understandable questions, so that the quality of the data would be best. This sometimes led to a slightly longer question but will in the end-run contribute to quality.

In the process of translation, we identified additional issues that were addressed in the preparation of the final version or will be also addressed in the process of training of the field staff. These refer to:

- Unit of observation (enterprise, what the respondents should consider). Namely, national terminology offers several options, consequently we relied on what national official statistics also uses and added a clarification question that will be important in the process of data collection and data analysis.
- Investment types (e.g. R&D). When a definition is already used by national official statistics, the definition will follow the terminology used in national official surveys, because respondents are used to the existing terminology. However, this was only possible in the cases, where official statistical surveys regarding a specific topic already exist.
- There were also several issues regarding specific terms and among several options the term was typically chosen that is best known to the business community, i.e. respondents, although sometimes it was necessary to add also the English expression in the brackets (e.g. big data was left in brackets, since it is a novel term and a unified, well-established term does not yet exist).

Detailed report in the Excel file for Slovenia or other countries is available upon request.

Figure 2 Slovenian documentation of translation: an excerpt

	A	B	C	D	E	F	G	H	I	J	K	L	M
	ITEM / PART	Translation 1-DP&MM	Comments on translation 1-DP&MM	Translation 0-TR	Comments on translation 0-TR	Translation 0-MB	Comments on translation 0-MB	Comments on translation 0-TI	Version after review	Comments after review - for partners	Internal Comments	Version after pretesting	Comments after pretesting
1		bomo pridobili od posameznega intervjuvanca, ne bomo uporabili na											
5													
7	Section A	Splošni podatki o							Splošni podatki o				
	Q.1	Prosimo navedite, katere so najpomembnejše dejavnosti organizacije:		Prosimo, navedite glavno dejavnost podjetja	Navedemo – kot je registrirana ali kaj podobnega?	Prosimo, navedite najpomembnejše dejavnosti podjetja.	Original refers to the most important activities - so it is in plural and not using official terminology but plain language. The "principal activity"		//	Take question out. The information about the "principal activity" should be checked during recruiting.			
3	Q.2	Ali je vaša organizacija del skupine?		Ali je vaše podjetje del skupine podjetij		del skupine v Sloveniji	part of a national group - ownership is not mentioned		Ali je vaše podjetje del skupine podjetij?	Clarify the aim. If the aim is to find out the origin of ownership,			
9		Ne (Pojdite na Q4)							Ne (Pojdite na Q4)				
0		Da, je del nacionalne skupine (Pojdite na							Da, z vsemi enotami v Sloveniji (Pojdite na	Rephrase to clarify "national group" ->			
1		Da, je del mednarodne							Da, z enotami tudi v	Yes, with units also			
2	Q.3	V kateri državi je sedež skupine?		V kateri državi je sedež podjetja		V kateri državi je sedež:	"group's headquarters"		V kateri državi je sedež skupine?		Kaj pa če tukaj vprašamo po lastništvu? Prej pa rečemo: je del skupine, ki ima enote v več državah. Je del skupine podjetij, ki ima enote samo v		
3	Definition	Če je vaša organizacija del skupine: Prosimo, da odgovorite na vsa nadaljnja vprašanja o vaši organizaciji <u>samo</u> za njene dejavnosti v [vaši državi]. Ne upoštevajte podružnic in matične organizacije.			Ne vem, če je OK, da napišemo "v Sloveniji", ker recimo prodaja v večini ne bo samo v Sloveniji. Napišemo "investicijske dejavnosti" v Sloveniji?	prosimo, odgovorite na vprašanja o vašem podjetju samo za njegove lastne dejavnosti v Sloveniji . Izločite dejavnosti hčerinskih družb in matične družbe. // prosimo, da odgovorite na vsa nadaljnja vprašanja samo za dejavnosti vašega podjetja brez hčerinskih in matične družbe.	Predlagam črtanje države, tako da je poudarek na izločitvi hčerinskih in matične družbe. // Community Innovation Survey - translation: odgovorite na vsa naslednja vprašanja samo za svoje dejavnosti v Sloveniji. Ne vključite rezultatov za hčerinske ali matične družbe zunaj Slovenije		Če je vaše podjetje del skupine podjetij, prosimo, odgovorite na vsa naslednja vprašanja samo za svoje dejavnosti v Sloveniji. Ne vključite hčerinskih družb ali matične družbe.	It is important to check national samples before submitting them to the subcontractor. Companies typically have a strategic business unit (SBU) where decisions are made (see https://www.researchgate.net/publication/313967029_Strategic_Business_Unit_SBU). The unit of observation should be the unit that SBU makes decisions about. Typically, SBU would have data on such a unit. If SBU makes decision about			

5 Set-up of a sub-contracted survey: summary of activities and tender overview

5.1 *The process of tender preparation*

European public tender was published in January 2020 to select a contractor that would run the survey. The project team decided in Athens to prepare a European-level tender, which would ensure that an experienced contractor with regional coverage (presence in all selected countries directly or with sub-contractors) and strong experience in similar cross-national studies would be approached. While the possibility to run a separate tender in each country was discussed as an option, the possible quality difference problems arising from working with different contractors, problems with coordination and control (including quality and cost-control) were presented as strong arguments for finding a single contractor with experience in large-scale surveys. In addition, highest transparency was aimed for at all times, which also is achieved by publishing a European, rather than a national tender. Although, given the estimated value of the sub-contracting, the University of Ljubljana could publish the tender only on the national public tender portal, the decision was nonetheless clearly in favour of publishing the tender also on the European tender portal.

The process of public tender preparation began in November 2019 at School of Economics and Business, University of Ljubljana, which was the assigned partner to carry out the tender. Due to the demanding tasks, involved in the work, required in the tender, and the complex procedures of the tender preparation and then publication, the process of preparation of the original tender text and tender translation was finished in January 2020. The preparation followed all legislative requirements and also additional rules for ensuring all standards are met.

The process of selecting a contractor is still an on-going process at the time of the preparation of this deliverable, which requires specification of the sub-contracting task from the project perspective and quality control.

5.2 *Tender text with details regarding work organization, selection and quality control*

The process of tender preparation focused primarily on ensuring the quality of the final output (dataset) with the focus on:

- work description;
- legal requirements with;
- reasons for exclusion of possible tenderers;
- required experience and capacity;
- the award criteria.

In the process of **work description**, the required activities and the work-flow were clearly specified:

- the subject matter and details of the tender in order to ensure clarity of the required activities and quality of final outputs;
- an overview of work;
- the sample and unit eligibility and the role of the project partners in the process;
- the characteristics of the process of the establishment of contact, respondent identification and interview implementation;
- questionnaire provision;
- pilot survey implementation;
- field staff and organisation of work for the contractor;
- the process of data validation, delivery and reporting;
- requirements for meetings;
- preliminary schedule; and
- deliverables.

In the process of tender publication, the **legal requirements were followed and aspects related to possible changes to the tender were specified**. These focused on :

- Submission of tenders and deadline for submission of tenders
- Obtaining tender documents and explanations
- Tender format, language and cost
- Validity of the tender
- Joint tender
- Subcontracting
- Confidentiality
- Provision of information to the Contracting Authority
- Change in the scope of the object of the contract and conclusion of the contract
- Legal basis
- Legal recourse

Legislation also clearly specifies the **reasons for exclusion**, which were also clearly specified in the tender:

- Prior impunity
- Inclusion on the list of tenderers with negative references and records of business entities from ZintPK (Law on Integrity and Prevention of Corruption)
- Unpaid taxes and social contributions
- The fine in respect of work remuneration
- A serious breach of professional rules
- Significant professional mistake
- Insolvency

The quality can only be ensured if the selected tenderer has the **required experience and capacity**, which was carefully considered in the process of tender preparation, following similar tenders or past experiences from large international surveys. The following aspects were considered, some (e.g. insurances) also standard in the tendering process:

- Registration of activity
- Acting in accordance with the standards for best practice in marketing and social research
- Criteria related to the Tenderer
- Criteria related to the teams
- Implementation plan
- Financial insurance
- Financial tender guarantee
- Performance guarantee

The consideration of the quality of the final output was carefully considered also in **the award criteria**, where again legal aspects were considered, but at the same time, the role of quality was incorporated at both the level of the tenderer itself as well as country-level staff:

- Financial evaluation of offers
- Additional references of nominated staff
- Awarding of the contract

5.2.1 Technical specifications of the tender with activities description

The text below represents selected key points from the tender. Some of the accompanying introductory text has been deleted for the deliverable, but is available in the tender itself, which is published in Slovenian and English language at:

- Slovenian national public tender portal (Portal JN)
- European public tender portal (TED)

Since the documentation is public, it is not attached to this deliverable, but will be added to the deliverable as separate documents.

The tender was prepared in both Slovenian (required by the national legislation) and English language (to attract agencies outside of Slovenia).

Subject matter and details of the tender

The GLOBALINTO project is funded by the European Union's Horizon 2020 Program under the grant agreement No 822259. The project runs from February 2019 to January 2022 and seeks to provide data and

develop new measures of intangible assets in order to analyse the role of knowledge production and diffusion for innovation, productivity and growth. Given the project's relevance for policy and research, data collection should follow the highest ethical and methodological standards to obtain high quality data (see ICC/ESOMAR International Code on Market, Opinion and Social Research and Data Analytics, 2016; the ESOMAR/WAPOR Guideline on Opinion Polls and Published Surveys, 2014; The European Statistics Code of Practice, 2017²).

This documentation is released in the Slovenian and English languages. In case of an inconsistency between the two versions, the Slovenian version will be considered.

Overview

The subject of the tender is a cross-national business survey conducted using CATI (computer-assisted telephone interviewing) (hereinafter also the survey). The Client will provide the questionnaire in national languages of the countries covered in the tender. The contractor will be required to conduct telephone interviews with business respondents from top management after having identified them through a screener interview.

The contractor will be required to first conduct a small pilot and then to obtain 2,005 complete interviews from eight European countries so that:

- at least 310 complete interviews come from each of the following large countries: France, Germany, and The United Kingdom;
- at least 215 complete interviews come from each of the following small countries: Denmark, Finland, Greece, Norway, and Slovenia.

Full details are provided under 1.2 Technical specifications.

The required term of completion of the services specified in Chapter 1.2. of this documentation is 4 months after the signing of the contract, estimated by 15 July 2020. The Tenderer will provide additional information regarding the implementation of the survey, interpretation of the data or other information required by the Contracting authority for additional 5 months after submitting the final technical report.

The work is scheduled to start in February 2020.

The Tenderer must offer all the services that are the subject of this tender, otherwise the tender will be considered technically inappropriate and consequently inadmissible.

The subject of the tender is whole, and it is not divided into lots.

² ICC & ESOMAR (2016). ICC/ESOMAR International Code on Market, Opinion and Social Research and Data Analytics, available at https://www.esomar.org/uploads/pdf/professional-standards/ICCESOMAR_Code_English_.pdf

ESOMAR & WAPOR (2014). ESOMAR/WAPOR Guideline on Opinion Polls and Published Surveys (2014), available at <https://www.esomar.org/uploads/public/knowledge-and-standards/codes-and-guidelines/ESOMAR-WAPOR-Guideline-on-Opinion-Polls-and-Published-Surveys-August-2014.pdf>

European Statistical System Committee (2018). The European Statistics Code of Practice. Luxembourg: Publications Office of the European Union, available at <https://ec.europa.eu/eurostat/web/products-catalogues/-/KS-02-18-142>

The Contracting authority will award the contract to the Tenderer that will submit an admissible offer that will be most advantageous according to criteria.

Variants and optional tenders will not be accepted.

The sample and unit eligibility

The unit of observation is an enterprise. The target population are enterprises with their principal activity in the following economic activities (accompanied with their 2-digit NACE codes):

- Manufacturing industries with intensive investments in intangible capital
 - o 10 Manufacture of food products
 - o 20 Manufacture of chemicals and chemical products
 - o 21 Manufacture of basic pharmaceutical products and pharmaceutical preparations
 - o 24 Manufacture of basic metals
 - o 26 Manufacture of computer, electronic and optical products
 - o 28 Manufacture of machinery and equipment n.e.c.
- Knowledge-intensive services
 - o 62 Computer programming, consultancy and related activities
 - o 63 Information service activities
 - o 69 Legal and accounting activities
 - o 70 Activities of head offices; management consultancy activities
 - o 71 Architectural and engineering activities; technical testing and analysis
 - o 72 Scientific research and development
 - o 73 Advertising and market research
 - o 74 Other professional, scientific and technical activities
 - o 90 Creative arts and entertainment activities

The Contracting authority will supply the list of enterprises with contact information and basic data about the enterprise (including the NACE code and number of employees), mainly based on Orbis, a commercially available database. Exceptions are possible, especially for small countries. For instance, Slovenia is not well

covered in Orbis so the administrative business register AJPES will be used as a complement. Nevertheless, the two variables used for drawing the sample (number of employees and the NACE codes) need to be verified during the screener interview.

The sample will be drawn so as to include enterprises that have their main activity in manufacturing and enterprises that have their main activity in services. The sample will also include enterprises described as large with at least 250 employees and enterprises described as small with less than 250 employees. A threshold will be used to include only enterprises with a specified minimum employment to avoid inclusion of very small enterprises.

The contractor is required to collect 2005 complete interviews, namely 215 complete interviews in each of the following countries: Denmark, Finland, Greece, Norway, and Slovenia, and 310 complete interviews in each of the following countries: France, Germany and the UK. The final sample has to reflect the initial sample population with regard to the sector of main activity (manufacturing vs. services), as well as any other variable of interest (e.g. employment size) agreed between the Contractor and the Contracting authority.

The Contracting authority will provide an adequate initial sample and specify relationships between manufacturing and service enterprises. The Contracting authority will provide at least four times the target sample in order to come up with the required number of complete interviews, namely at least 860 units per small country and at least 1240 units per large country. If the contractor cannot achieve the required number of complete interviews despite the agreed data collection strategy, the Contracting authority will provide additional units.

Establishment of contact, respondent identification and interview implementation

The contractor is required to establish contact with the enterprise, conduct a screener interview to verify unit eligibility and identify the right respondent, and conduct the main interview with an appropriate respondent.

The contractor is required to send a formal invitation letter to units. The letter is to be drafted by the Contracting authority and finalised in agreement with the contractor. The invitation letter and the questionnaire are to be sent by email only after the screener interview and respondent identification. The Tenderer is invited to propose other contacting solutions to enhance response based on the experience and knowledge of the response behaviour and available data in the target countries.

To establish the initial contact with the enterprise, the contractor is required to make at least five contact attempts to an enterprise by telephone before discarding it as a non-contact. These attempts should be made at different times of the day and at different days of the week. The record of work should include detailed information on such enterprises, contact attempts and reason for non-response.

Upon contacting an enterprise, a screener interview by telephone should be carried out with two objectives:

1. To verify unit eligibility with respect to the economic activity and employment size (see 1.2.1). If the economic activity or employment size is different from those reported on the initial sample but still

within the target population, the unit is still considered eligible, otherwise the unit is discarded as non-eligible.

2. To identify an appropriate respondent from the top management. The respondent should have a good overview of the enterprise's strategies, current activities, human resources, and related financial costs. When selecting the respondent, the first choice is the chief executive officer (CEO) or an equivalent executive position leading the enterprise, and the second choice is the chief financial officer (CFO) or an equivalent executive position responsible for financial matters. Other top management positions and assistants to top management positions are acceptable if they have a sufficient overview of the aforementioned topics. The contractor is required to record the position of the respondent as part of the paradata.

After identifying an appropriate respondent, the main interview might start right away or be scheduled for a later point in time. The contractor is required to attempt to conduct the main interview at least three times after the initial scheduling before discarding it as a non-response. The record of work should include detailed information on such enterprises, contact attempts and reason for non-response.

Some questions require reporting of financial data. For this reason, the preferred sequence, especially in large enterprises, is to first send the questionnaire to the selected respondent and then to conduct the main interview so that the respondent has a chance to look at the questionnaire and collect financial data in advance. However, if a respondent is immediately available for the main interview after the screener interview, good estimates are acceptable instead of exact numbers.

With regard to ensuring cooperation of gatekeepers and ultimately respondents, the Tenderer is required to outline its contact and response enhancement strategies, especially with regard to spreading contact attempts, refusal conversion, scheduling of the main interview and follow-up actions. The Tenderer is also required to outline its strategy for minimising non-response bias and facilitating its assessment.

Questionnaire

The Contracting authority will provide the questionnaire in national languages of the countries covered by the tender. The questionnaires will contain approximately 46 questions with an interview duration up to 30 minutes. The Contracting authority will supply to the contractor the Word version to prepare the questionnaire for CATI and the pdf version to be sent to the respondent by email. The Tenderers can get the current English version of the questionnaire by contacting tjasa.redek@ef.uni-lj.si.

Pilot

The contractor is required to carry out a pilot and obtain at least 25 complete interviews. The pilot should be conducted in all countries so that at least three complete interviews per country and altogether at least 25 complete interviews are obtained. The objective of the pilot is to check the contacting and recruiting strategy, the adequate functioning of the survey instrument, interviewer instructions, recording of answers and paradata, as well as any other aspect of survey implementation.

The contractor is required to use the same approach for the pilot as will be used in the actual data collection. After each interview, the interviewer should systematically debrief respondents and note down own observations. The content of debriefing and interviewer notes should be agreed between the contractor and the Contracting authority prior to the pilot.

The contractor is required to provide a report to the Contracting authority on the pilot, including the interviewers' evaluations, the outcomes of respondent debriefing and a dataset with microdata and all supporting information as specified in 1.2.6.

Field staff and organisation of work

The Tenderer is required to outline the characteristics of the field staff (e.g. the number, language capacity and experience of interviewers by country, etc.) capable of completing the fieldwork to the required standards, with a steady pace, and in the agreed period of time.

The contractor is required to set up a single central coordinator to serve as a point of contact and organise work with a local team in each country covered by the contract. A country team leader has to be appointed for each country.

The coordinator, country team leaders, supervisors and interviewers should have experience with business surveys conducted using CATI. Each supervisor and each interviewer should be assigned a unique ID and appended to all their contacts with enterprises. Interviewers should be native speakers of the language in which they are carrying out interviews.

Before the fieldwork, the contractor is required to provide detailed information on the characteristics of the interviewers that are foreseen for the pilot and the main survey (at least age, gender, native language, English proficiency, level of education, field of education, and relevant experience; relevant experience refers to interviewing in CATI surveys, business surveys, EU-funded projects etc.) to ensure the high quality of the workforce. This information can be provided in aggregate form before the fieldwork while individual characteristics of each interviewer should be provided together with the contact and paradata dataset.

The contractor should organise a 2-day training in English for interviewers and other team members to become fully familiar with the content, survey objectives and survey procedures before the pilot. The content of training should be agreed with the Contracting authority at least one week before the training. Representatives from the Contracting authority will assist the contractor during the preparations and will also join the training at own costs to answer any questions on the spot. Given the topic complexity, no interviewer should conduct interviews without prior training.

Quality control measures such as regular random checks on interviewers (e.g. listening in on phone calls and/or listening to recorded interviews) should be performed in sufficient extent and for all types of contacts with enterprises. Interviewers should regularly provide feedback from their contacts to be included in the weekly report. Other quality control measures include but are not limited to session duration, item non-

response, etc. If an anomaly has been detected, the interviewer should be corrected, retrained or replaced while the results of all previous calls by such interviewer checked and followed up if needed.

The Tenderer is required to outline its training, monitoring and briefing strategies for interviewers.

Data validation, delivery and reporting

Data validation is expected to take place in real-time and should be agreed between the contractor and the Contracting authority to ensure high data quality. For instance, specific validation rules should be embedded in the underlying software and interview script.

The contractor is required to deliver microdata in a single electronic file for all countries using two formats: an SPSS data file with English variable and value labels, and a text data file in English. In addition to microdata, the data file should also contain all supporting information, that is other types of data (contact data, paradata, monitoring data, quality control data) accompanied with captured item-level timestamps. All information should be given in English. Timestamps should allow for re-creation of the whole process with each unit (e.g. exact timing, duration, nature and content of each contact during recruitment and questionnaire implementation, entry of each item, any corrections to the data, etc.). For non-electronic communication, dates are sufficient (e.g. mail shipments if needed). Additionally, the contractor is required to provide data on interviewer characteristics (see 1.2.5).

The Tenderer is required to outline its procedure for recording contact data, paradata, monitoring data and quality control data.

SPSS syntax files must be provided for all the data manipulations that are carried out to produce the micro-datasets, or that underlie quantitative information provided in any of the fieldwork reports.

The contractor is required to provide weekly reports to the Contracting authority indicating the pace and outcomes of the fieldwork overall, and broken down by country and stratification cell. These weekly updates should include the number of discarded units, units without the final disposition (still in the process) and with completed main interview. Specifically, the Contracting authority is interested in the number of:

- successful contacts by type of achievement: screener interview completed, main interview completed, both interviews completed in a single session;
- partly successful contacts by issue: contact established but the screener interview not completed, main interview initiated but not completed;
- unsuccessful contacts by issue: disconnected telephone number, wrong telephone number, non-contact, gatekeeper refusal, ineligible unit, respondent non-contact, respondent refusal.

Additionally, the Contracting authority is interested in the number of interviewers, interviewer workload, feedback from interviewers, the number of monitored calls and their outcome, and any measures taken if the fieldwork is not meeting expectations.

Weekly reports are due by Tuesday of the following week. Interim versions of the microdata file shall be part of these updates. The contractor is also expected to inform the Contracting authority immediately of any unforeseen events or developments impacting the fieldwork progress, and any measures taken to minimise this impact.

The Contracting authority reserves the right to send a representative to attend the fieldwork without prior notice.

The contractor is required to deliver the final technical report with a concise summary of all implementation steps with metrics and issues encountered during fieldwork as well as measures taken to overcome them, overall and on a country by country level.

The contractor must keep all documents relevant to the preparation and implementation for at least five years following the final payment by the Contracting authority.

Meetings

The contractor will be required to organise a physical meeting between the Contracting authority, the coordinator, and the country team leaders prior to the start of fieldwork. The Contracting authority will cover travel and subsistence costs of own representatives.

The Contracting authority will also join the training at own costs when the training is conducted in English.

Other meetings are expected to be held via teleconferences or via videoconferences. One of these meetings must be scheduled after the pilot to discuss the outcome and take the necessary measures prior to the main survey. Another meeting must be scheduled in the second week of the fieldwork after having received the first weekly report. Additional meetings might be held depending on the outcomes of the fieldwork.

Preliminary schedule

The works are expected to start immediately upon the signing of the contract in February 2020. The estimated term of completion of the services subject to the contract is four months after the signing of the contract. The preliminary schedule is as follows:

Signing of the contract (February 2020)

Preparatory phase (2 weeks)

Pilot (2 weeks for implementation and report)

Field work (10 weeks)

Report and data delivery (2 weeks)

Deliverables

D1 Training for interviewers (due before the start of the pilot)

D2 Report of the pilot (due in four weeks after the signing of the contract)

D3 Data file from the pilot (microdata and all supporting information as specified in 1.2.6) (due in four weeks after the signing of the contract)

D4.1 – D4.10 Weekly reports on fieldwork (due each Tuesday of the following week)

D5 Data file (microdata and all supporting information as specified in 1.2.6) (due date four months after the signing of the contract)

D6 Final technical report (due date four months after the signing of the contract)

D7 Period of ensuring the interpretation of data (5 months after submission of final technical report)

Submission of tenders and deadline for submission of tenders

Tenders must be submitted by the deadline for submission to the e-JN information system at <https://ejn.gov.si/eJN2> , in accordance with point 3 of the document Instructions for use of the information system for the use of e-JN bidding functionality: Tenderers (hereinafter referred to as the "e-JN User's Guide"), which is part of this tender documentation and is available at <https://ejn.gov.si/eJN2> .

The deadline for submission of tenders is 6 February 2020 at 1:00 p.m. (CET).

“Submitted tender” is considered to be a tender, which is marked “SUBMITTED” in the e-JN information system.

The Tenderer may withdraw or modify its tender before the deadline for submission. If a Tenderer withdraws its tender in the e-JN information system, the tender shall be deemed not to have been tendered and shall not be seen by the Contracting authority in the e-JN system. If the Tenderer changes its tender in the e-JN information system, only the last submitted tender shall be considered and visible to the Contracting authority in the system.

Before submitting a tender, the Tenderer must register at <https://ejn.gov.si/eJN2>, in accordance with the Instructions for use of e-JN. If the Tenderer is already registered in the e-JN information system, it shall login to the application at the same address.

Tender opening will take place on 6 February 2020 at 1:01 p.m. (CET) in the e-JN information system at <https://ejn.gov.si/eJN2>.

Negotiations

Upon receipt of the tenders, the Contracting authority will verify that the Tenderers do not fulfill the grounds for exclusion and fulfil all the selection criteria and other requirements of the Contracting authority and that the tenders are technically appropriate.

The Contracting authority will invite Tenderers considered qualified to negotiations. Negotiations will be held on the amount of the bid price set out in the Criterion chapter in order to lower the starting bid price. The starting point for the negotiation will be the bid price given in the initial bid.

The Contracting authority will invite to tender 3 Tenderers who will submit the lowest price in the initial tender, or less, if there are fewer tenders or fewer admissible tenders.

Invited tenderers will enter the final bid price in the Bid Estimate-Final Price Form.

Negotiations will take place in one round, solely on the amount of the bid price, it is possible to lower the overall bid price or the bid price of each item (country price). The pro forma invoice with reduced prices per item will be annexed to the contract that the Contracting authority will conclude with the successful Tenderer.

The starting point for the negotiations will be the amount of the bid price from the initial offer, i.e. the Contracting authority will enter in negotiations with the Tenderers in descending order of the amount of the initial offer. The Contracting authority will tell the same desired price to all the Tenderers with whom it will negotiate and the Tenderer will only be able to lower the total tender price from the initial tender.

Negotiations will be held separately with each Tenderer and will last for a maximum of 30 minutes.

The Contracting authority reserves the right not to conduct physical negotiations, but only to invite tenderers to submit an electronic submission.

After negotiations, the bidders will submit the final bid, which they shall enter in the Pro Forma Invoice – Final Bid and submit via the e-JN portal.

Only authorized persons authorized to participate in the negotiations may participate in the negotiations. If the Tenderer who is invited to participate in the negotiations does not participate in the negotiations, the Contracting authority will invoke the financial tender guarantee.

Obtaining tender documents and explanations

Tender documentation is available free of charge on the Public Tender Portal (www.enarocanje.si) and on the TED Tenders Electronic Daily (<https://ted.europa.eu>)

The Tenderer may request further clarification regarding the documentation through the Public Tender Portal no later than 28 January 2020, 11:00 am (CET). The Contracting authority will provide answers through the Public tender portal no later than 30 January 2020, 11:00 am (CET). The Contracting authority will not answer questions that will not be asked in the above manner and by the stated deadline.

The Contracting authority reserves the right to partially amend or change the documentation and, if necessary, extend the deadline for submission of tenders. Changes and amends to the tender documentation are an integral part of the documentation related to the tender.

Tender format, language and cost

Tenders shall be submitted electronically in the manner set out in Chapter 2.

The Tenderer must upload to the ESPD tab the completed ESPD form, the completed Tender pro forma invoice form to the "Pro forma Invoice" tab, and all other documentation to the "Other Attachments" tab.

Tenders shall be submitted in the Slovene or English language.

Tender documentation must be given on the forms in the Annex of the tender documentation or on the forms with the same content and format prepared by the Tenderer. Where proof is required, the Tenderer is not required to provide the original, but a photocopy of the proof is sufficient. However, the Contracting authority may, at any time during the tender process, require from the Tenderer to submit the originals for inspection. All documents submitted by the Tenderer must show current status, except where a document for a specific period or a document of a certain age is explicitly required. The Contracting authority may request the documents proving eligibility or the power to obtain the documents subsequently, if they come from an official record (after opening and evaluation process of tenders). In this case, the Contracting authority will ask the Tenderer to provide the Contracting authority with all the documents within the specified deadline for proving the fulfilment of the conditions. If the requested Tenderer fails to deliver the documents, authorizations or supporting documents in a timely manner or if it delivers the documents, authorizations or supporting documents contrary to the requirements of the Contracting authority, the Contracting authority will reject the tender as incomplete.

The selected parts of the tender documentation must be signed by the legal representative of the Tenderer or other person authorized to conclude tenders of the intended type, value and scope.

The services provided must fully comply with the requirements of the tender documentation. If the Tenderer does not offer all services / goods (blank spaces in the tender pro forma invoice) or the offered service does not meet the technical requirements, the Contracting authority will exclude such tender from further evaluation.

If the Contracting authority determines on its own or at the proposal of the Tenderer that the application needs to be supplemented, the Contracting authority shall proceed in accordance with the fifth paragraph of Article 89 of the Public Procurement Act.

The Tenderer shall bear all costs associated with the preparation and submission of the application / offer. In the event of termination of the procedure, rejection of all tenders or cancellation of the public tender, the Contracting authority shall not reimburse the Tenderers for any costs incurred in preparing the tender. Tenderers are aware of this and expressly agree with the submission of the application.

Validity of the tender

The tender must be valid until at least until 30 April 2020. In case of shorter validity of the tender, the tender shall be eliminated. Submission of the ESPD form shall be deemed to have been submitted by the Tenderer with a validity of at least the required period.

Joint tender

Multiple contractual partners are allowed to tender jointly. Chapter 11 *Reasons for exclusion* and Chapter 12 *Selection criteria* determine which condition in the case of a joint tender each partner has to fulfil or which conditions partners can fulfil together.

In the case of a joint tender, the joint tender contract must be submitted in the tender. The joint tender contract must show the following:

- appointment of the lead partner in the execution of the tender,
- authorization of the lead partner and the responsible person to sign the tender and to sign the contract,
- a statement that all Tenderers in the joint tender are aware of and fully agree with the Contracting authority's instructions and the tender conditions and criteria for the award of the tender,
- a statement that all the Tenderers are aware of the payment terms in the tender documentation,
- provisions concerning the method of payment through the lead partner,
- an indication that they are responsible to the Contracting authority for the entire obligation and for each part of it, all partners jointly and severally.

The offer is signed by the lead partner, who is also the signatory of the tender and the main contact with the Contracting authority. The Tenderer assumes a guarantee against the Contracting authority for the work of other partners and / or subcontractors under the rules of the Obligations Law. The Contracting authority shall require remedy of any shortcomings against the Tenderer.

In the case of a joint tender, the obligatory component of the tender documentation is a copy of the contract, which shows the value, type and scope of the works in the tender assumed by each partner.

Subcontracting

The Tenderer who intends to subcontract the contract must state so in the ESPD form. Subcontractors must fill out the ESPD Form and meet the conditions set out in Chapter 11 for subcontractors, which they prove by signing the ESPD form. If the subcontractor will require the payment directly from the Contracting authority, it must submit the request for direct payment, which must be signed by the Tenderer or in case of joint tender the lead partner.

When the Tenderer intends to subcontract the public contract, it must in the tender:

- List all the subcontractors and each part of the public contract that it intends to subcontract.
- List contact details and legal representatives of proposed subcontractors.
- Submit the filled-out ESPD forms of the subcontractors.
- if the subcontractor requests so: enclose the subcontractor's request for direct payment.

If the subcontractor requests direct payment, in the tender it has to include a statement indicating:

- The statement of the subcontractor that it agrees that the Contracting authority pays the claim to the subcontractor instead of the main contractor.
- The statement of the Tenderer that it empowers the Contracting authority to directly pay the subcontractors based on confirmed invoice or intermediate invoice (if allowed).

If the subcontractor does not request a direct payment from the Contracting authority, the Contracting authority will, within 60 days from the payment of the final invoice, request a written statement from the main contractor and the subcontractor that the subcontractor has received the payment for the performed services outlined in the public contract. Failure to submit such a statement will initiate the minor offense procedure according to the provisions of the Public Procurement Act.

If the main contractor is to subcontract the public contract, it must submit the abovementioned proofs in its tender. It also has to submit those proofs in case of a change of the subcontractor in five days after the change at the latest.

The Contracting authority in line with the provision of the fourth paragraph of Article 94 of the Public Procurement Act rejects a subcontractor who fulfills the compulsory and non-compulsory grounds for exclusion.

If the Contracting authority determines that the replacement of a subcontractor or inclusion of a new contractor would disturb the work or that the new subcontractor does not meet the requirements for the subcontractors specified by the Contracting authority, the Contracting authority will reject the subcontractor within 10 days of receipt of the proposal to replace or include a new subcontractor.

The Tenderer assumes the responsibility for the execution of the entire public contract, including the subcontracted works.

In the case of subcontracting the public contract, the tender application must include the copy of the contract which outlines the type, value and the scope of subcontracted work.

Confidentiality

The Contracting authority shall not disclose any information that the business entity provides and labels as confidential. The Contracting authority shall ensure protection of personal data and classified information in accordance with legislation regulating personal data and classified information.

The Tenderer shall label as “confidential” or “business secret” those forms or statements that the Tenderer considers within the scope of data protection legislation. If only a specific datum is considered confidential in a form or document, the confidential part shall be underlined and the line on which this part appears shall be labelled as “confidential” or “business secret” at its right margin. The Tenderer may submit a non-disclosure agreement to the tender.

Provision of information to the Contracting Authority

The successful Tenderer shall, at the request of the Contracting authority, provide information on:

- its founders, company members, stakeholders, limited partners or other owners and information on the equity of those persons;
- Commercial entities, considered to be affiliated companies according to the provisions of the law governing companies.

Change in the scope of the object of the contract and conclusion of the contract

The Contracting authority reserves the right to conclude the contract with the selected Contractor only in the case of sufficient funds. In case of the absence of sufficient resources, the Contracting authority will not conclude the contract. In the event that the Contracting authority does not have all the financial and other resources provided, the Contracting authority reserves the right not to select any Tenderer or to cancel the public contract or to reduce the volume of supply.

By signing the ESPD form, the Tenderer demonstrates an understanding and agreement with the above paragraph.

Pursuant to Article 89 of the Public Procurement Act, the Contracting authority reserves the right to terminate the procedure, reject all tenders, and withdraw from the performance of the contract.

The contract will be concluded under the suspensive condition of submission of performance guarantee as set out in the sample contract.

If the Tenderer does not respond to the invitation to sign the contract within five (5) days, the Contracting authority may consider the Tenderer has withdrawn from the tender. In such a case, the Contracting authority can invoke the financial tender guarantee submitted by the Tenderer. The Contracting authority may also claim any additional damages resulting from such conduct of the selected Tenderer. The Contracting authority also reserves the right to bring procedures for the signature of the contract to the court if it would be in the Contracting authority’s interest.

5.2.2 Legal aspects

REASONS FOR EXCLUSION

The Contracting authority will exclude from the public procurement procedure the Tenderer who will fulfill the following grounds for exclusion.

Prior impunity

The Contracting authority will exclude from the participation in the public procurement procedure the Tenderer if the Tenderer or the person who is a member of the administrative, managerial or supervisory body of that Tenderer, or who has the power to represent it or to decide or supervise it, has been convicted by a final judgement for criminal offenses defined in the Criminal Code (Official Gazette of the Republic of Slovenia, No. 50/12 – official consolidated text and 54/15, hereinafter: KZ-1) and listed in article 75 of the Public Procurement Act.

Reason for exclusion refers to each partner in case of a joint tender and to each subcontractor if applicable.

PROOF: The Tenderer/partner/subcontractor completes the ESPD form.

Inclusion on the list of tenderers with negative references and records of business entities from ZintPK (Law on Integrity and Prevention of Corruption)

The Contracting authority will exclude from the participation in the public procurement procedure the Tenderer if, on the day on which the deadline for submitting the tender expires, the Tenderer is excluded from the procedures for the award of public contracts due to listing in the register of economic entities with negative references.

Reason for exclusion refers to each partner in case of a joint tender and to each subcontractor if applicable.

PROOF: The Tenderer/partner/subcontractor completes the ESPD form.

Unpaid taxes and social contributions

The Contracting authority will exclude the Tenderer if it finds that at the date of the submission of the tender, the Tenderer has not complied with its obligations relating to the payment of compulsory charges or other pecuniary non-tax liabilities under the law governing financial administration, collected by the tax authority in accordance with the regulations of the country in which it is established or with the regulations of the country of the Contracting authority, where those unpaid overdue liabilities total EUR 50 or more.

Reason for exclusion refers to each partner in case of a joint tender and to each subcontractor if applicable.

PROOF: The Tenderer/partner/subcontractor completes the ESPD form.

The fine in respect of work remuneration

The Contracting authority will exclude from the participation in the public procurement procedure the Tenderer if, in the three years preceding the expiry of the time limit for the submission of tenders, the Tenderer was fined twice, by way of a final decision of the competent authority of the Republic of Slovenia or another Member State or a third country, for a minor offence relating to remuneration for work and the Tenderer has been the subject of a finally legal sanction for such an infringement.

Reason for exclusion refers to each partner in case of a joint tender and to each subcontractor if applicable.

PROOF: The Tenderer/partner/subcontractor completes the ESPD form.

A serious breach of professional rules

The Contracting authority will exclude the Tenderer from the procurement procedure if the Contracting authority by appropriate means proves that the Tenderer has committed a serious breach of professional rules, which undermines its integrity.

Final decisions of the inspection bodies are considered as appropriate means.

Reason for exclusion refers to each partner in case of a joint tender and to each subcontractor if applicable.

PROOF: The Tenderer/partner/subcontractor completes the ESPD form.

Significant professional mistake

The Contracting authority will exclude from the procurement process a Tenderer who is proven to have committed a significant professional error in its business undertaking.

A significant professional mistake is an expert and professional error in carrying out of works comparable to the object of the public contract, which indicate a serious unprofessional behaviour of the Tenderer; low-quality performance of services, the performance of services with inadequate staff, provision of services contrary to the regulations and the instructions, violation of statutory regulations and similar.

The Contracting authority will establish if the significant professional error was made on the basis of written evidence; rightly enforced guarantees (financial insurance), final court decisions indicating unprofessional performance of works and intentional breach of the provisions of contracts concluded in the last five years before the deadline for the submission of tenders, records of low-quality performance of services, sanctions imposed by the final acts issued by competent authorities bodies, sanitary inspection decisions, early termination of the contract due to the Tenderer's conduct which is contrary to the provisions of the contract.

Reason for exclusion refers to each partner in case of a joint tender and to each subcontractor if applicable.

PROOF: The Tenderer/partner/subcontractor completes the ESPD form.

Insolvency

The Contracting authority shall exclude from the procurement procedure a Tenderer which:

- Is in the procedure of compulsory settlement or the petition for instituting a compulsory settlement procedure has been presented and the court has not yet decided on the petition;
- Is in a bankruptcy proceeding or a petition for bankruptcy has been presented and the court has not yet decided on the petition;
- Is in the compulsory dissolution proceeding or a petition for compulsory dissolution has been presented and the court has not yet decided on the petition, its business is managed by the court for other reasons or it has suspended its business activity or is in similar position.

Reason for exclusion refers to each partner in case of a joint tender and to each subcontractor if applicable.

PROOF: The Tenderer/partner/subcontractor completes the ESPD form.

Registration of activity

The Tenderer must have the activity that is subject of this tender registered.

PROOF: The Tenderer/partner/subcontractor completes the ESPD form.

Acting in accordance with the standards for best practice in marketing and social research

The Tenderer must prove its commitment to work in accordance with the standards for best practice that are accepted in their field by providing certificates of membership of ESOMAR, WAPOR or an equivalent body.

PROOF: The Tenderer/partner/subcontractor completes the ESPD form.

Criteria related to the Tenderer

The Contracting authority recognises competence of the Tenderer that proves extensive experience in the field of cross-national business surveys conducted by telephone (CATI) by having implemented at least 5 comparable similar contracts undertaken during the last five years before the publication of this tender. Relevant surveys are those that were conducted as computer-assisted telephone interviewing (CATI) in at least three countries and achieved complete response from at least 1000 enterprises overall.

The list of references that the Tenderer submits to the Contracting authority has to include: names of contracting authorities, types and number of organisations surveyed, topic, targeted respondents, geographical coverage, period of implementation, description of team composition and experience, and contractual price.

The Tenderer must list at least five relevant references, three out of which have to be accompanied by written evidence of satisfactory execution, specifying that surveys have been carried out in a professional manner and have been fully completed (e.g. a copy of final technical report, statement of a contracting authority).

The Tenderer may fulfil the criteria jointly with partners or subcontractors.

PROOF: The Tenderer completes the form *References of the Tenderer*. The Tenderer attaches at least three certificates of the reference (see Sample for Certificate of the Reference in the Annex) or other documents with the same content.

Criteria related to the teams

The Tenderer must prove to have the organisational capacity to carry out the contract, on its own, with partners or subcontractors, by describing its organisational structure, manpower and technical infrastructure in all countries covered by the contract.

The Tenderer has to nominate the central coordinator and the country team leaders in its offer. The Tenderer must prove to have adequate human resources in targeted countries to carry out the contract in quality and timely manner by providing the number of staff working in the area of the contract by country and CVs of staff proposed to work on carrying out the contract. CVs should preferably be submitted in the Europass format.

The Tenderer must ensure that the central coordinator has:

- a minimum of five years of experience in the coordination of cross-national telephone surveys, of which at least one business surveys,
- a minimum of five years of experience in the implementation of business surveys,
- a minimum of five years of experience in operating as a team leader in surveys,
- proficiency level in English at least C1.

The Tenderer must ensure that the country team leaders have:

- a minimum of five years of experience in the implementation of business surveys,
- a minimum of five years of experience in operating as a team leader in surveys,
- proficiency level in English at least C1.

The Tenderer may fulfil the criteria jointly with partners or subcontractors or based on employment or contractual law.

PROOF: The Tenderer completes the form *Team competences* and attaches CVs of the nominated personnel.

Implementation plan

The Tenderer has to provide a document with an implementation plan specifying:

- organisational capacity to carry out the contract (i.e. organisational structure, manpower and technical infrastructure in the countries covered by the contract);
- proposed project management (i.e. time plan, work organisation and co-ordination, resource allocation and identification of critical risks for implementation and proposal of appropriate risk mitigation measures);
- proposed field force description (i.e. qualifications and experience of staff assigned to interviewing, interviewer training, monitoring and feedback);
- proposed pilot test implementation;
- proposed methodology underlying main data collection (i.e. contact, response enhancement and follow-up strategies; minimisation of non-response bias; quality assurance measures).

Before the fieldwork begins, the contractor will be asked to provide more detailed information on the qualifications and experience of the proposed interviewers and fieldwork supervisors in each country. This information shall be updated by the contractor on completion of the fieldwork.

The Tenderer may fulfil the criteria jointly with partners or subcontractors or based on employment or contractual law.

PROOF: Document with an implementation plan.

Financial insurance

The Tenderer must provide financial guarantees to the Contracting authority to insure its obligations, as set out in the samples of financial guarantees and declarations in the tender documentation, or in the documents which may not differ in content from the samples of financial guarantees contained in the tender documents. The Tenderer may also provide, as a financial guarantee, adequate insurance with the insurance companies, which in substance should not differ significantly from the financial guarantee sample.

In the case of subcontracting, the insurance is submitted by the main Tenderer and, in the case of a joint tender, the lead partner.

The successful Tenderer with whom the Contracting authority concludes the contract, guarantees the elimination of all types of errors or irregularities, in accordance with the provisions of the Obligations Code and the regulations governing the subject matter of the contract.

Financial tender guarantee

The Tenderer must, by the deadline for tender submission, submit in physical form an unconditional, without protest and redeemable on demand, promissory note declaration and a bill of exchange in value of 2,500.00 EUR. The financial tender guarantee must be valid until at least 30 April 2020 with the possibility of extension upon the request of the Contracting authority.

The content of the submitted promissory note declaration must correspond to the content of the sample as it appears in the form Promissory note declaration. The Tenderer must submit 1 promissory note as a mandatory attachment to the form Promissory note declaration -tender guarantee.

The tender guarantee will be invoked in the following cases:

- if the Tenderer withdraws or changes the tender within the period of its validity as indicated in the tender or
- if the Tenderer who was informed by the Contracting Authority of the acceptance of its tender during the period of validity of the tender:
 - refuses to conclude the contract or does not fulfill the contract in accordance with the provisions of the instructions to the tenderers or
 - does not submit or refuses to submit a performance guarantee in accordance with the provisions of the instructions to tenderers or
 - does not submit a new promissory note declaration upon the request of the Contracting authority in case of extension of the validity of the tender.

Promissory note declaration which has not been invoked shall be returned to the Tenderer upon its request after completion of the procurement procedure.

The Tenderer must submit the promissory note declaration and the bill of exchange to the Contracting authority in physical form to the address of the Contracting authority by the deadline for the tender submission. If the Contracting authority does not receive the bill of exchange together with the promissory note declaration on time, the tender will be considered late and inadmissible, and will consequently be excluded.

Performance guarantee

The successful Tenderer must, as a condition for the validity of the contract, no later than twelve (12) days after the conclusion of the contract, submit to the Contracting authority a bill of exchange and a promissory note for the good performance of the contractual obligations in the amount of 5% of the bid value excluding value-added tax.

The Tenderer must also submit its statement in the form *Statement about the submission of bill of exchange for good performance of the contractual obligations* from tender documentation, that it will deliver the bill of

exchange and promissory note for good performance of contractual obligations in twelve (12) days after the conclusion of the contract. The Tenderer signs and stamps the form *Promissory note for good performance of contractual obligations*. The bill of exchange has to be valid at least 40 days after the expiry of the contract.

Award criteria

The Contracting authority will award the contract to the Tenderer with the most economically advantageous offer. The quality of the tender will be evaluated based on financial evaluation of the offers (see 14.1) and additional references of nominated staff (see 14.2).

Each offer may achieve:

- a maximum of 70 points according to financial evaluation of the offers (70 % of the total) – criterion T₁,
- a maximum of 30 points according to additional references of nominated staff (30 % of the total) – criterion T₂.

The total number of points that an offer achieves is calculated in such a way that first, the number of points achieved is determined for each criterion, and then, the points are summed up.

Financial evaluation of offers

The number of points that the offer of an evaluated Tenderer receives for the financial criterion will be calculated according to the following formula:

$$T_1 = 70 \cdot \frac{C_m}{C}$$

<i>C_m</i>	...	<i>the lowest price offered (in EUR without VAT)</i>
<i>C</i>	...	<i>the price of the specific Tenderer (in EUR without VAT)</i>
<i>T_i</i>	...	<i>number of points</i>

The Tenderer must provide the total price exclusively in euros. The price has to be given without VAT.

All payments from this tender will be made exclusively in euros.

The price offered must take into account all constituent elements and must include all costs so that no costs related to the subject of the tender can be charged to the Contracting authority.

The Tenderers must take into account all elements that have an impact on the price calculation such as, but not limited to, labour costs, overhead, any overtime, travel and subsistence costs, cost of equipment, any translation costs, other costs related to the public procurement procedure, and all other elements that influence the price calculation.

Additional references of nominated staff

The Tenderer that will nominate staff who can provide at least the following references in the last five years since the publication of the tender (so that the service was completed 5 years before the publication of the tender at the latest) will receive additional points:

Nominated staff	Description of additional reference	Number of points for references
Central coordinator	Coordination of at least two cross-national (involving at least three different countries) business surveys conducted using CATI in the last five years	6 points
Country team leader	Participation in the implementation of at least three national business surveys conducted using CATI in the last five years	3 points per country team leader with requested references (for a maximum of 24 points in total)

Awarding of the contract

Among the tenderers that are authorised to participate in the tendering procedure and fulfil all selection criteria, the contract will be awarded to the Tenderer that received the highest number of points. If two or more Tenderers receive the same number of points, the Tenderer will award the contract to the one with a lower price offered or the one randomly chosen if the price offered is the same.

PROOF: The Tenderer states the price of each item and the number of references of nominated staff in the form *Tender proforma invoice – initial bit*.

Legal basis

In the process of awarding a public contract and during the execution of a public contract, the following must be taken into account:

- Public Procurement Act (Official Gazette of the Republic of Slovenia, No. 91/2015, as amended);
- The Law on Legal Protection in Public Procurement Procedures (Official Gazette of the Republic of Slovenia, No. 43/2011, as amended, hereinafter: ZPVPJN)
- Obligations Code (Official Gazette of the Republic of Slovenia, No. 97/07, as amended);
- all applicable legislation governing the subject of the public procurement contract.

Legal recourse

A request for an audit relating to the content of the announcement, the invitation to tender or the tender documentation shall be made within ten working days of publication of the tender notice or receipt of an invitation to tender.

Where the Contracting authority changes or adds the provisions in the notice, the invitation to tender or in the tender documentation, the request for audit regarding the amended, added or clarified content of the notice, the invitation or the tender documentation or the directly related statement in the original notice, the invitation to tender or the tender documentation, shall be submitted within ten working days of the date of publication of the notice about additional information, information on the pending procedure or correction, if this notice changes or adds the requirements or criteria for the selection of the most economically advantageous tenderer.

The request for the audit must contain all the information and proof as provided for in article 15 of the ZPVPJN. Pursuant to the second indent of the first paragraph of article 71 of the ZPVPJN, the fee for filing an application for an audit relating to the content of the publication, the invitation to tender or the tender documentation if the subject of the public procurement is goods and services is EUR 4.000,00. The fee is paid to the transaction account opened with the Bank of Slovenia, Slovenska cesta 35, 1505 Ljubljana, Slovenia no. SI56 0110 0100 0358 802, SWIFT code BS LJ SI 2X, IBAN SI56011001000358802 and reference 11 16110-7111290XXXXX.

6 Conclusion

The work conducted in the process of questionnaire translation, visual design and tender preparation will impact the quality of the final output. Consequently, the work was conducted using adopted standards and approaches, which will help raise the quality of the dataset.

7 References

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