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Municipally Owned Corporations: A Survey

1. Introduction

In this document, we develop a survey to understand municipally owned corporations (MOCs) that can be used internationally for comparative research.

This survey has been used to investigate MOCs in The Netherlands, and will be used in the future to study MOCs in other countries. Our aim is to develop a cross-national database on MOCs, in order to facilitate international scientific understanding of municipal corporatization.

By using this document, researchers should be able to construct their own national database on MOCs. We encourage researchers to use as many questions as possible from the survey below. However, we simultaneously encourage researchers to take into account the particularities of their own country.

This document is outlined as follows. We first show the conceptual model that underlies the survey. Next, we explain our coding scheme and the conditional terminology in the survey. Finally, we show the survey, where for each question we offer an explanation, tips for analysis, and recommendations for replication.

In designing this survey, we drew heavily on the methodological work of the COBRA network (COBRA, 2011) into national-level government agencies (COBRA, 2010; Verhoest et al., 2004). Much credit belongs to them. Any mistakes are ours.

For questions, please contact Bart Voorn (b.voorn@fm.ru.nl).

2. Conceptual model

The conceptual model for our survey is outlined below. Figure 1 shows the simplified version of our conceptual model along the ‘themes’ for our survey, and Figure 2 shows the expanded version, based on our factors. Both conceptual models are based broadly on the conceptual model of the COBRA survey (COBRA, 2010), but have been expanded with our findings from the literature in Chapters 2 and 3. The individual relationships are explained in the individual chapters in this dissertation.

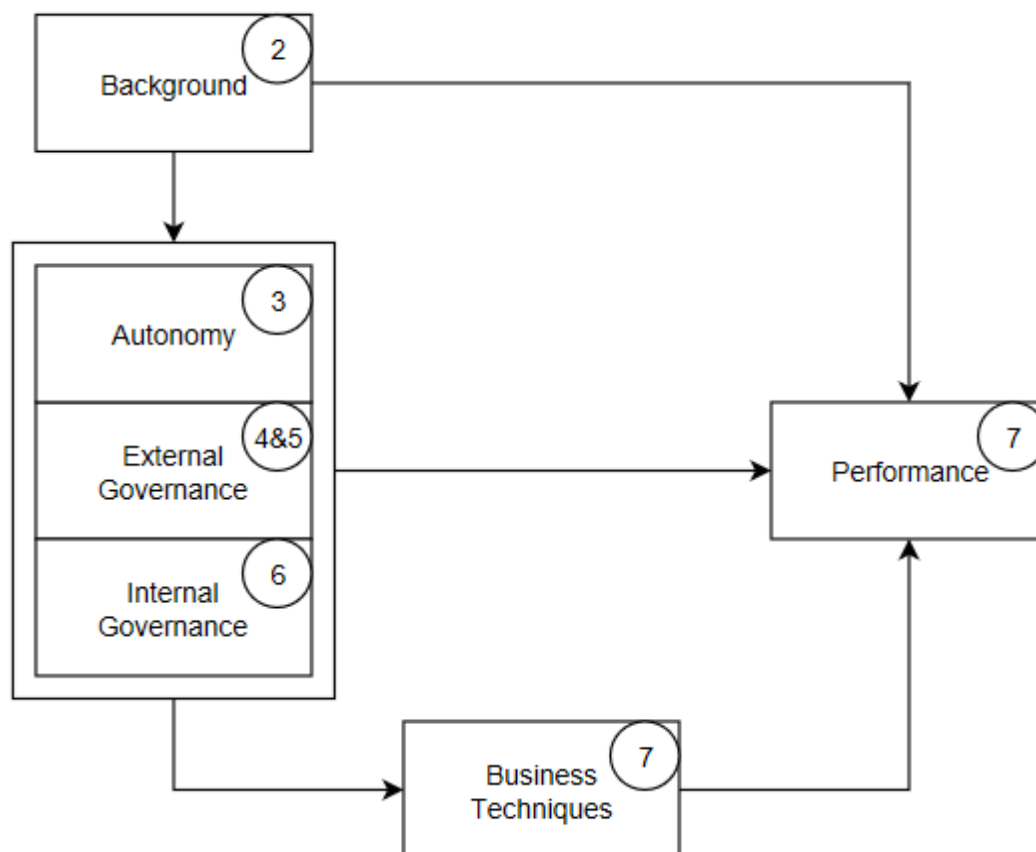


Figure 1: Simplified conceptual model for the survey, with the circled numbers showing in which section in the survey the data were collected.

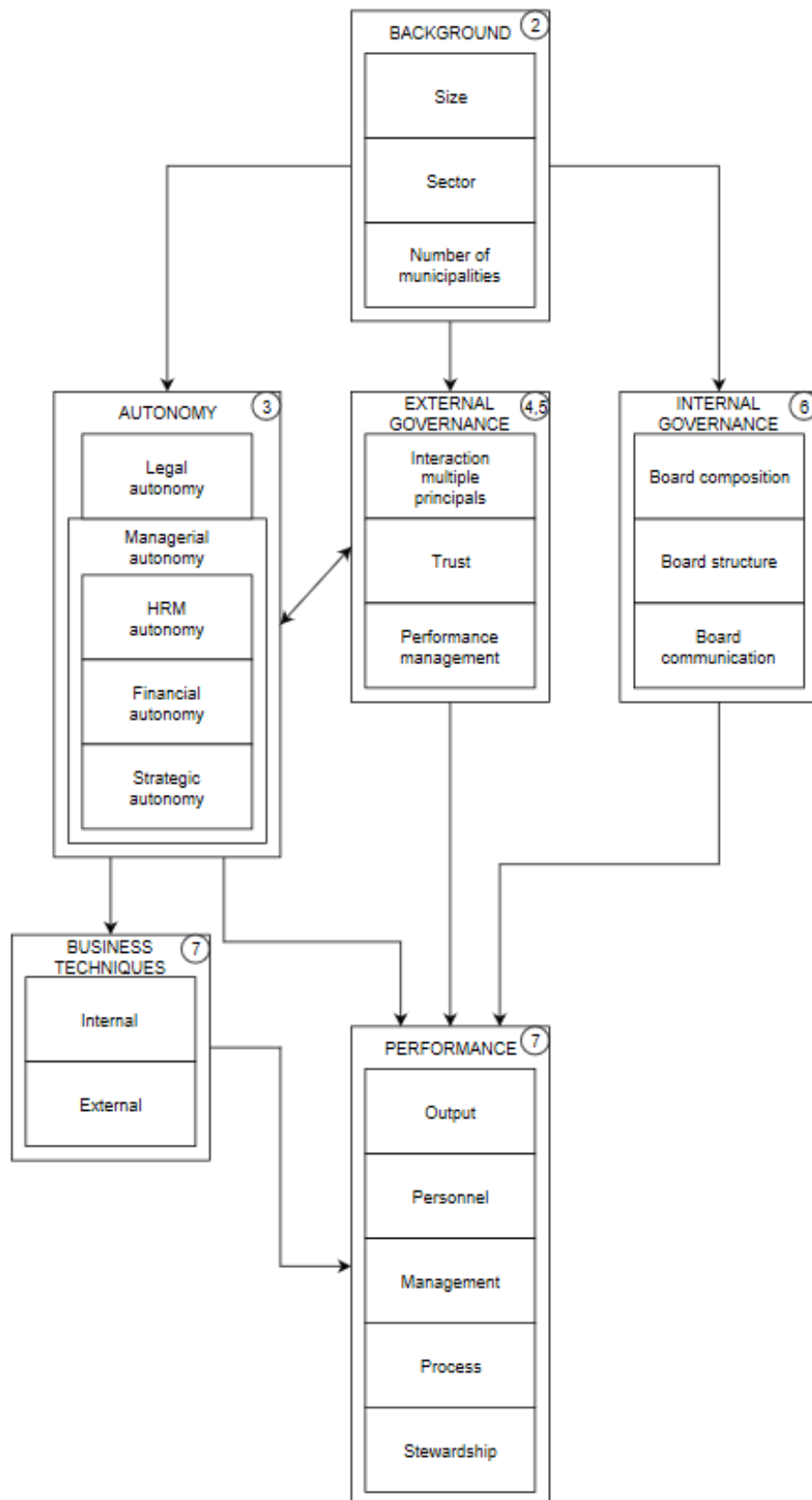


Figure 2: Expanded version of the conceptual model, with the circled numbers showing in which section in the survey the data were collected.

3. Coding and symbols

Different codes and symbols are used in this appendix to show how we formatted the survey.

This section will explicate those.

3.1. Symbols

- o Denotes that respondents were allowed to fill in only a single answer.
- Denotes that respondents were allowed to fill in multiple answers.
- [_] Denotes text space for respondents.
- [] Denotes a bar that respondents can drag-and-drop.
- * Denotes that the visibility of this question is conditional on a previous response.
- # Denotes a question that was not in the original COBRA-survey.
- === Denotes a ‘page break’ in the survey.
- <...> Denotes the use of conditional terminology (see next subsection).

3.2. Conditional terminology

Given the heterogeneity of municipally owned corporations in the Netherlands, we sometimes had to use conditional terminology. It is important to use the appropriate terms that are associated with specific forms of organization in order to prevent confusion during the survey. For instance, in the Netherlands, enterprises have ‘shareholders’ as owners, while foundations have ‘founders’; we target our vocabulary to respondents accordingly based on the answers they provide to question 1 of the survey (about their corporate status). Thus, our survey uses a ‘branching’ approach where the terms in the survey are automatically adjusted to responses respondents give about their organizational form.

We present here the coding we used in the Dutch setting.

Code	Organization form	Conditional term in survey
<SHAREHOLDERS>	Enterprises:	Aandeelhouders / Gemeente(n)
	Foundations:	Oprichters / Gemeente(n)
	Associations:	Oprichters / Gemeente(n)
	Public-law organizations:	Oprichters / Gemeenten
<BOARD MEMBERS>	Enterprises:	Leden van de Raad van Bestuur
	Foundations:	Bestuursleden
	Associations:	Bestuursleden
	Public-law organizations:	Directieleden
<BOARD>	Enterprises:	Raad van Bestuur
	Foundations:	Bestuur
	Associations:	Bestuur
	Public-law organizations:	Directie
<DIRECTOR>	Enterprises:	Directeur
	Foundations:	Voorzitter
	Associations:	Voorzitter
	Public-law organizations:	Directeur
<SUPERVISORY BOARD>	Enterprises:	Raad van Commissarissen
	Foundations:	Raad van Toezicht / Advies
	Associations:	Raad van Toezicht / Advies
	Public-law organizations:	Algemeen en Dagelijks Bestuur

4. The survey

4.1 Preface

Preface

Explanation: This first page of the survey serves to welcome the respondents and provides an overview of the survey's topic and structure.

Welcome to the survey "Municipally owned corporations in the Netherlands 2018". Thank you for participating!

In many municipalities public services are delivered through municipally owned corporations. This has led to new questions about for instance the way these corporations are organized, how municipalities can govern such corporations, and how oversight is guaranteed.

To find out more about this we ask you questions about seven topics: general information, the background characteristics of your organization, autonomy, relationships with municipalities, governance by municipalities, internal organization, and performance.

Filling out this survey should take approximately 15 minutes of your time. A colored bar on top of the survey will give you an indication of how far along you are in the survey.

In case you have any questions about the questionnaire, please email b.voornd@fm.ru.nl.

Thank you very much!

Please enter your access code:

[_]

4.2 General information

Q1

Explanation: This question serves to identify the corporate status of the municipally owned corporations. It is important to start with this, as terminologies for e.g. board structure differ between different types of organization, and by starting with this question we can use conditional terminology in the survey to account for this.

For replication: In the Netherlands, MOCs can take four forms in terms of corporate status. For survey replication in other countries, we recommend adjusting the answer options for this question accordingly.

For research: We recommend turning the data into dummy variables for all corporate status forms and into dummy variables distinguishing MOCs based in public law from MOCs based in private law.

1. Is your organization a(n):

- Enterprise
- Foundation
- Association
- Public-law organization

===

Q2

Explanation: This question serves to identify the respondents. While we address the survey to the professional managers of MOCs, and encourage the same for future research, it occurs quite frequently that the professional manager delegates completion of the survey to other employees in the organization. This question serves as a way to test the validity and reliability of the responses.

2. What is your position in the organization?

- Director
- Secretary of <BOARD>
- Other, namely: [_]

Q3

Explanation: This question serves to identify how long the respondent has worked in the organization, which is important to know in order to understand the validity and reliability of the findings.

3. How many years have you been working for the organization?

[_]

===

4.3 Background characteristics

Q4

Explanation: This question serves to identify the year of establishment of the MOC. Age is an important control variable and may itself be linked to autonomy (through increasing information asymmetries), governance (through more developed procedures), trust (through longer relations), and performance (through learning effects).

For research: We recommend recoding this variable later by subtracting the response from the year the survey was held. Be aware that the consequent variable ‘age’ will be non-normally distributed. We recommend using a log-transformation for statistical research.

4. In which year was your organization established in its current form?

[_]

Q5

Explanation: This question serves to get an indication of organization size in terms of number of employees, which is of interest descriptively. The number of employees may also be linked to autonomy and performance.

For research: Also here, be aware that this variable will be non-normally distributed. We recommend using a log-transformation for statistical research here too, as we have used ourselves.

5. How many employees does your organization employ (approximately) in Full Time Equivalents? (per January 1, 2018)

[_]

Q6

Explanation: This question serves to get an indication of organization size in terms of budget size, which is also of interest descriptively. Moreover, organization size in terms of budget may be linked to autonomy and performance.

For research: Also here, be aware that the this variable will be distinctly non-normally distributed. We recommend using a log-transformation for statistical research, as we have used ourselves. Next, we recommend creating an additional variable by dividing this variable by the log-transformation of the number of employees, which creates a measure of capital intensity. Do check how this measure is distributed.

For replication: For survey replication in other countries, we recommend not stating “in thousands of euros” in this question. It was misunderstood by a small minority of respondents, and we had to partially recode this ourselves by checking MOCs’ annual statements.

6. What is (approximately) the total size of the budget that your organization works with in thousands of euros? (per January 1, 2018).

[_]

This section is about the <SHAREHOLDERS> in the organization.

Q7#

Explanation: This question serves to identify the service sector in which the MOC operates.

We ask respondents to self-code their sector, and reclassify this later, as to not limit respondents in their options, and to allow future recoding in different ways. In that, we deviate from the COBRA survey.

For research: There are various ways to recode this variable. We opted to recode this variable to approximately align with national-level government ministries. Alternatives are to classify service sector along the portfolios of municipal executives, or to recode using some measure of asset specificity and/or service technicality, depending on needs. Note that other questions can also be used to make ‘broad’ service sector classifications, such as the questions about corporate status (Q1), dependency on tariffs (Q13), measurability of performance targets (Q19), and content of performance targets (Q20).

For replication: For survey replication in other countries, we recommend a similar approach. Service sector is important to know both descriptively and because of its potential relationship with autonomy, governance, business techniques, and performance.

7. Could you in as few words as possible describe in what sector your organization operates? (e.g. refuse collection, primary education, employment services)

[_]

Q8#

Explanation: This question serves to distinguish intermunicipally owned corporations from MOCs owned by single municipalities. This provides useful descriptive information. Moreover, the number of municipalities on the board may be positively linked to autonomy and negatively linked to performance (through the multiple principal problem).

For research: Also here, be aware that this variable will be non-normally distributed. We recommend using a log-transformation for statistical research.

8. How many municipalities are <SHAREHOLDERS> of your organization?

[_]

Q9#

Explanation: This question serves to distinguish MOCs with partial ownership by other public sector organizations. This provides useful descriptive information. Moreover, multiple ownership may be positively linked to autonomy and negatively linked to performance (through the multiple principal problem).

9. Are other government organizations (for example, provinces, district water boards, regions) <SHAREHOLDERS> of your organization?

Yes, namely: [_]

No.

Q10#

Explanation: This question serves to distinguish institutional public-private partnerships. This provides useful descriptive information. Moreover, multiple ownership may be positively linked to autonomy and negatively linked to performance (through the multiple principal problem).

10. Are private parties <SHAREHOLDERS> of your organization?

- Yes, namely: [_]
- No.

===

Q11

Explanation: This question serves to measure the autonomy of MOCs in personnel matters. It helps to understand how MOCs operate and in what personnel matters they are constrained. Moreover, personnel autonomy may be negatively correlated with trust, may be positively related to business techniques and performance, and may have an effect on governance. Our question is slightly more extensive than the question in the COBRA survey in asking about labor agreements and pension plans.

For research: We recommend recoding this into a binary variable, merging the ‘with permission’ response with either the ‘yes’ or ‘no’ response, depending on the data, before factorizing this variable. We emphasize that it is important not to treat these indicators as continuous variables.

11. Can the organization make independent decisions regarding:

	Yes	No	Only with permission of <SHAREHOLDERS>
Appointment of new staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Hiring temporary staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Hiring external staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Levels of salaries of staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Conditions for promotions of staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ways of appointing staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Firing staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Collective labor agreements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Pension plans	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

4.4 Autonomy

Q12

Explanation: This question serves to measure MOCs' autonomy in financial matters. It helps to understand how MOCs operate and in what financial matters they are constrained. Moreover, financial autonomy may be negatively associated with trust, positively associated with business techniques and performance, and may have an effect on governance.

For research: We recommend recoding this into a binary variable, merging the 'with permission' response with either the 'yes' or 'no' response, depending on the data, before factorizing this variable. We emphasize that it is important not to treat these indicators as continuous variables.

12. Can the organization make independent decisions regarding:

Yes	No	Only with permission of <SHAREHOLDERS>
1	2	3

	<u>1</u>	<u>2</u>	<u>3</u>
Taking loans	0	0	0
Setting tariffs for products or services	0	0	0
Participating in private law legal entities	0	0	0
Shifting between budgets for personnel and running costs	0	0	0
Shifting between the budgets for personnel or running costs and investments	0	0	0
Shifting between the budgets of different years	0	0	0
Purchasing equipment	0	0	0
Purchasing IT	0	0	0

Q13

Explanation: This question serves to measure the sources of income of municipally owned corporations, which may also be a form of autonomy. Measuring sources of income for MOCs helps us to understand how MOCs operate descriptively. Moreover, MOCs' sources of income may affect trust between the MOCs and the municipality, business technique usage in the MOCs, governance of MOCs, and performance of MOCs.

For replication: For survey replication in other countries, we emphasize the importance of implementing a ‘counter’ in the software to show respondents how many per cent they have already distributed among the categories.

For research: We recommend creating two additional variables: merging the two responses about tariffs into one variable ‘Tariff Dependency’ and merging the two first response options into one variable ‘Municipal Dependency’.

13. What sources of income does your organization have? Can you provide an estimate of the percentage of your total budget for each source? Please let the percentages add up to 100%.

[_] % From the municipal budget

[_] % Tariffs charged to municipalities (e.g. on the basis of service agreements)

[_] % Budget other governments (e.g. provinces, water boards)

[_] % Investments of or tariffs charged to private parties

[_] % Own income such as tariffs

[_] % Other income, namely: [_]

4.5 Relationship with municipalities

Q14#

Explanation: This question serves to assess trust between municipalities and MOCs (and also includes a question about resources that would fit poorly elsewhere). Trust is important to measure, both because it is useful descriptive information and because it is likely to be associated with autonomy, governance, and performance. We deviate here from the

COBRA survey. The COBRA survey had measured trust by asking about trust directly: “How would you describe the level of trust ...”. We purposely opt for a more latent measure of trust, in order to understand the precise mechanisms.

For research: We recommend factorizing this variable. Make sure to recode the last indicator to its inverse and to avoid factorizing the indicator about resources.

For replication: For survey replication in other countries, please be aware that our measure of trust did not have good factor loadings. For future research, one might want to consider alternative methods to measure trust.

14. To what extent do you agree with the following statements?

Strongly agree	Agree	Neutral	Disagree	Strongly disagree
1	2	3	4	5

	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>
Our organization shares all information with municipalities	o	o	o	o	o
Our organization is prepared to be flexible to satisfy municipalities where necessary	o	o	o	o	o
The interaction between the organization and municipalities clearly demonstrates that we trust each other	o	o	o	o	o
Trust between our organization and the municipalities is high	o	o	o	o	o
Our organization identifies with the goals of the municipalities	o	o	o	o	o
Our organization has sufficient knowledge and resources to execute tasks	o	o	o	o	o
It is more important to be accountable to customers/citizens than municipalities/shareholders	o	o	o	o	o

Q15*#

Explanation: This question serves to measure the presence of a multiple principal problem, looking at differences between municipalities in governance. The multiple principal problem is expected to be positively linked with autonomy, and to be negatively linked with trust, governance, and performance.

For replication: For survey replication in other countries, we emphasize that it is important to only displaying this question if question 8 “How many municipalities are shareholders ...” is answered with more than 1.

15. To what extent do you agree with the following statements?

Strongly agree	Agree	Neutral	Disagree	Strongly disagree
1	2	3	4	5

	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>
The different municipalities express a shared vision	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The different municipalities differ starkly in how our organization is governed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The largest municipality determines the municipal governance of our organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q16

Explanation: This question serves to consider the frequency of contact between civil servants of municipalities and the municipally owned corporation. It is useful as descriptive information, providing insight in the relationships between MOCs and municipalities. Moreover, frequency of contact between municipalities and MOCs may be linked to trust, autonomy, governance, and performance.

Technically, this question fits in better with part 5: external governance. However, for reasons of survey flow we recommend including it here.

16. How often does your organization have contact with civil servants of the municipalities?

- Daily / More frequently
- Once per week or more
- Once per month or more
- Once per 2-4 months
- Twice per year
- Once per year
- Less than once per year
- Never

Q17*

Explanation: This question serves to identify what is discussed in communication between MOCs and municipal civil servants. This is interesting descriptive information, and may be associated with trust, autonomy, governance, and performance.

For replication: For survey replication in other countries, we emphasize that it is important not to display this question if the response to question 16 is 'never'.

17. What is discussed in this contact with civil servants?

(Almost) Always	Often	Sometimes	Rarely or never
1	2	3	4

	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>
Strategic affairs (e.g. objectives)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Operational affairs (e.g. daily management)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evaluative affairs (e.g. performance and results)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

4.6 External governance: steering and control

Q18

Explanation: This question serves to measure strategic (policy) autonomy. Strategic autonomy is an important facet of autonomy and is interesting descriptive information, but may also affect trust, business technique usage, governance, and performance. We categorize this question here under 'external governance', rather than in the 'autonomy' section, because it logically leads into the next question.

For research: We recommend removing the last response option and treating the data as a continuous variable.

18. To what extent does your organization influence the formulation of performance agreements? Please provide one answer.

- o We formulate them ourselves
- o We formulate them ourselves, after consulting the <SHAREHOLDERS>
- o We formulate them together with the <SHAREHOLDERS> through a process of negotiation or consultation
- o The <SHAREHOLDERS> formulate them, after consultation with our organization
- o The <SHAREHOLDERS> formulate them, without consultation of our organization
- o Otherwise, namely... [_]

Q19

Explanation: This question serves to measure simultaneously the location of performance indicators and the measurability of performance indicators. Both constitute useful descriptive information and may have implications for governance and performance.

For research: We recommend recoding the data into binary variables ('yes' or 'no' per document) to measure location. For measuring the presence of concretely defined goals overall, we recommend a single binary variable that takes the shape of '1' if there are at least concretely defined goals in one of the documents. For measuring the measurability of these goals, we recommend creating a single binary variable that takes the shape of '1' if there are measurable indicators in at least one of the documents.

19. In which documents are your organization's goals concretely defined?

(Multiple answers possible.)

Yes, with measurable indicators 1	Yes, with difficult to measure indicators 2	Yes, without measurable indicators 3	No 4		
		<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>
Founding articles or statutes of the organization		o	o	o	o
Document in which the financial contribution of <SHAREHOLDERS> is determined		o	o	o	o
(Quasi) contractual agreements with the <SHAREHOLDERS> (for example: service agreements)		o	o	o	o
A by the <SHAREHOLDERS> approved policy plan / strategic plan / multi-year plan / action plan		o	o	o	o
An internal document (that does not require the approval of <SHAREHOLDERS>)		o	o	o	o
Other, namely: [_]		o	o	o	o

===

Q20

Explanation: This question serves to measure the content of performance indicators used in practice. This may affect governance and performance, but can also act as a proxy for service sector, where focus on output may be indicative of a more industrial organization in a 'harder' service sector, and focus on societal effects may be indicative of a more social organization in a 'softer' service sector.

For research: We recommend transforming the data into dummy variables.

20. What do performance indicators relate to? (Multiple answers possible.)

- Quantitative output
- Quality of service delivery
- Other societal effects, namely: [_]
- We do not use performance indicators

Q21

Explanation: This question serves to assess the frequency of reporting. This is useful descriptive information, and frequency of reporting may be linked to trust, autonomy, or performance.

For research: We recommend treating this as a continuous variable.

21. How regularly does your organization report on results and performance to <SHAREHOLDERS>? Please provide one answer.

- In monthly or more frequent reports
- In 2 to 4 monthly reports
- In semi-annual reports
- In annual reports
- In reporting less than once per year
- We do not report.

Q22

Explanation: This question serves to assess who is responsible for performance assessment.

This is useful descriptive information and may be linked to trust, autonomy, or performance.

For research: We recommend transforming the data into dummy variables.

22. Who assesses the results and performance of the organization? (Multiple answers possible.)

- The organization itself
- All <SHAREHOLDERS>
- One or a few of the <SHAREHOLDERS>
- Third parties, commissioned by the organization (e.g. accountant, consultant)
- Third parties, commissioned by <SHAREHOLDERS> (e.g. accountant, inspection)
- City councils
- Local audit offices
- Otherwise, namely: [_]
- That does not happen

Q23

Explanation: This question serves to measure the presence of performance management in the use of rewards, which is both useful descriptive information and may be linked to background characteristics, trust, or performance.

For research: We recommend transforming the data into dummy variables per indicator, as well as creating an additional binary 'yes' or 'no' dummy variable.

23. Are rewards given to your organization for good performance and / or for achieving (other than purely financial) objectives of the organization?

- Yes, wage increases or bonuses for management or employees
- Yes, granting more financial resources to the organization
- Yes, more autonomy for the organization / management vis-à-vis the <SHAREHOLDERS>
- Yes, other rewards, namely: [_]
- No.

Q24

Explanation: This question serves to measure the presence of performance management in the use of sanctions, which is both useful descriptive information and may be linked to background characteristics, trust, or performance.

For research: We recommend transforming the data into dummy variables per indicator, as well as creating an additional binary 'yes' or 'no' dummy variable.

24. Are sanctions imposed on your organization if performance is not as good or if (other than purely financial) objectives of the organization are not achieved?

- Yes, wage decreases or deduction of bonuses for management or employees
- Yes, reduction of financial resources to the organization
- Yes, less autonomy for the organization / management vis-à-vis the <SHAREHOLDERS>
- Yes, other sanctions, namely: [_]
- No

Q25

Explanation: This question serves to measure additional screening of the organization, which provides useful descriptive knowledge. Moreover, additional screening may be linked to background characteristics, trust, or performance.

25. Is your organization regularly screened (e.g. audit, evaluation, inspection, visitation)?

- Yes
- No

Q26*

Explanation: This question serves to assess who is responsible for screening the organization, which may be linked to background characteristics, trust, or performance.

For research: We recommend transforming the data into dummy variables.

For replication: For survey replication in other countries, we emphasize that this question should only be asked if the response to question 25 is ‘yes’.

26. Who screens your organization? (Multiple answers possible)

- We screen our organization ourselves
- <SHAREHOLDERS>
- Local audit offices
- City councils
- Others, namely: [_]

Q27*

Explanation: This question serves to assess what aspects of the organization are screened, which is useful descriptive knowledge and may be linked to background characteristics, trust, or performance.

For research: We recommend transforming the data into dummy variables for both content and actor.

For replication: For survey replication in other countries, we emphasize that this question should only be asked if the response to question 25 is 'yes'.

27. What is the most attention during such investigations given to? (one answer possible per row)

Finance	General	Lawfulness	Efficiency	Internal management	Quality of results	Operational services
1	2	3	4	5	6	7

	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>
<input type="radio"/> Own screening	0	0	0	0	0	0	0
<input type="radio"/> Screening by third parties	0	0	0	0	0	0	0
<input type="radio"/> Screening by / on behalf of all <SHAREHOLDERS>	0	0	0	0	0	0	0
<input type="radio"/> Screening by / on behalf of one or a few <SHAREHOLDERS>	0	0	0	0	0	0	0
<input type="radio"/> Screening by local audit office	0	0	0	0	0	0	0
<input type="radio"/> Screening by others	0	0	0	0	0	0	0

4.7 Internal governance: Management bodies

Q28

Explanation: This question serves to measure the number of board members, which is useful descriptive information and may be related to performance.

For research: We recommend transforming the data into an additional dummy variable of '1' and 'more than 1', to have two different measures of this.

28. How many <BOARD MEMBERS> does the organization have?

[_]

Q29

Explanation: This question serves to measure demographic diversity on boards of municipally owned corporations, which is interesting descriptive information and may be linked to performance.

For research: We recommend transforming the data into additional dummy variables, to have two different measures of this.

29. How many <BOARD MEMBERS> are:

[_] Female

[_] Non-Dutch

Q30

Explanation: This question serves to measure background diversity on boards of municipally owned corporations in terms of sector, which is interesting descriptive information and may be linked to performance.

For research: We recommend transforming the data into additional dummy variables, to have two different measures of this.

30. How many <BOARD MEMBERS> have a background in:

The private sector

The public sector

The non-profit sector

Q31

Explanation: This question serves to measure the expertise on boards of municipally owned corporations, which is interesting descriptive information and may be linked to performance.

For research: We recommend transforming the data into dummy variables.

31. What expertise does the <BOARD> have? Multiple answers possible.

Expertise in finance

Management expertise

Industry knowledge

ICT

===

Q32

Explanation: This question serves to measure the time commitment of the director of the MOC. Time commitment of the director is useful descriptive information and may be linked to performance.

For research: We recommend treating the data as continuous.

32. How many days per week does the <DIRECTOR> work for the organization?

- 5 or more days per week
- 4 days per week
- 3 days per week
- 2 days per week
- 1 day per week or less

Q33

Explanation: This question serves to measure the remuneration of the directors of MOCs, which is useful descriptive information and may be linked to performance.

33. Does the <DIRECTOR> receive remuneration?

- Yes
- No

===

Q34*

Explanation: This question serves to measure the transparency of the MOCs regarding remuneration of their director. This is useful descriptive information and may be linked to performance.

For replication: For survey replication in other countries, we emphasize that this question should only be asked if the response to question 33 is 'yes'.

34. Is the amount of this remuneration documented publicly in your annual report?

- Yes, and this is legally required
- Yes, but this is not legally required
- No

Q35

Explanation: This question serves to establish the presence of a supervisory board. Whether or not a supervisory board is present is interesting descriptive information and may be linked to performance.

35. Does your organization have a <SUPERVISORY BOARD>?

- Yes
- No

Q36*

Explanation: This question serves to measure how ‘active’ the supervisory board is. The activity level of the supervisory board may be linked to performance.

For replication: For survey replication in other countries, we emphasize that this question should only be asked if the response to question 35 is ‘yes’.

For research: We recommend treating this data as continuous.

36. How often does the <SUPERVISORY BOARD> formally meet? Please provide one answer.

- Once per month or more
- Once every 2-4 months
- Twice per year
- Once per year
- Less than once per year
- Never

Q37*

Explanation: This question considers the actual purpose of the supervisory board, which may be linked to performance.

For replication: For survey replication in other countries, we emphasize that this question should only be asked if the response to question 35 is ‘yes’.

For research: We recommend transforming the data into dummy variables.

37. Please name the most important task of the <SUPERVISORY BOARD>.

- To control the management of the organization on behalf of the <SHAREHOLDERS>
- Using organizational expertise to strengthen organizational performance
- Representation of the social interest
- Representation of stakeholders
- Grant access to the network of members of the <SUPERVISORY BOARD>
- Ratification of decisions of the board

Q38*

Explanation: This question serves to measure the frequency of formal communication between the board and the supervisory board, which may be linked to performance.

For replication: For survey replication in other countries, we emphasize that this question should only be asked if the response to question 35 is 'yes'.

For research: We recommend treating this data as continuous.

38. How often does the <BOARD> have formal contact with the <SUPERVISORY BOARD>? (Meetings with minutes).

- Once per week or more
- Once per month or more
- Once every 2-4 months
- Twice per year
- Once per year
- Less than once per year
- Never

Q39*

Explanation: This question serves to measure the content of formal communication between the board and the supervisory board, which may be linked to performance.

For replication: For survey replication in other countries, we emphasize that this question should only be asked if the response to question 35 is ‘yes’.

39. What is discussed during this formal contact? (Meetings with minutes) Please provide one answer per row.

(Almost) always	Usually	Sometimes	Rarely or never
1	2	3	4

	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>
Strategic issues, such as the organization’s general goals	o	o	o	o
Operational matters, such as specific daily management	o	o	o	o
Evaluative matters, such as performance and results	o	o	o	o

===

Q40*

Explanation: This question serves to measure the frequency of informal communication with the supervisory board, which may be linked to performance.

For replication: For survey replication in other countries, we emphasize that this question should only be asked if the response to question 35 is ‘yes’.

For research: We recommend treating this data as continuous.

40. How often does the <BOARD> have informal contact with the <SUPERVISORY BOARD>? (Meetings without minutes, telephone calls, e-mail). Please provide one answer.

- Once per week or more
- Once per month or more
- Once every 2-4 months
- Twice per year
- Once per year
- Less than once per year
- Never

Q41*

Explanation: This question serves to measure the content of informal communication with the supervisory board, which may be linked to performance.

For replication: For survey replication in other countries, we emphasize that this question should only be asked if the response to question 35 is 'yes'.

41. What is discussed during this informal contact? (Meetings without minutes, telephone calls, e-mail). Please provide one answer per row.

(Almost) always	Usually	Sometimes	Rarely or never
1	2	3	4

	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>
Strategic issues, such as the organization's general goals	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Operational matters, such as specific daily management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evaluative matters, such as performance and results	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

===

4.8 Performance

Q42

Explanation: This question asks the respondent to rate the performance of their organization, in a global, observed, measure of performance. It is important to measure performance both directly and indirectly, and this is the most direct approach.

42. What score do you give your organization based on the overall performance of the organization on a scale of 1 to 10?

[_]

Q43

Explanation: This question asks the respondent to rate the performance of their organization, on subdimensions, to create a latent or composite measure of performance. It is important to measure performance both directly and indirectly, and this is an indirect approach.

43. What score do you give your organization based on the overall performance of the organization on a scale of 1 to 10?

Efficiency []

Effectiveness []

Quality []

Motivation []

Staff satisfaction []

Management quality []

Internal cohesion []

Stability of the organization []

Flexibility of the organization []

Responsiveness to society []

Accountability to society []

Democratic level of service []

Q44

Explanation: This question serves to measure the presence of business techniques, which may be linked to autonomy and performance.

44. To what extent do the following things happen in your organization:

(Almost always 1)	Usually 2)	Sometimes 3)	Rarely or never 4)
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	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>
Innovation of products and services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Extra service for a fee	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Adapting business to market, service, or target group	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Quality standards or measurements for production or services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Surveys among target groups	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Formal multi-year planning	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evaluation of employees / lower management based on performance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Rewarding employees / lower management based on performance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Self-evaluation and setting your own targets to be able to assess results	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Public reporting of company results (for example in annual reports)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Increasing project budgets based on performance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Giving autonomy to lower management with regard to financial and personnel matters	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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4.9 Last questions

Q45#

Explanation: This question serves to measure past performance more objectively. It is useful to understand this descriptively and helps to understand the continuity and performance of MOCs.

45. Has your organization come close to bankruptcy or been dependent on emergency subsidies in the past 10 years?

- Yes, several times
- Yes, once
- No, never

=====
Q46*#

Explanation: This question serves to measure the causes of these emergency subsidies, which is useful descriptively and to understand antecedents of the performance of municipally owned corporations.

For replication: For survey replication in other countries, we emphasize that this question should only be asked if the response to question 45 is 'yes'.

46. What was the cause of this?

[_]

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Q47

Explanation: Finally, this question gives respondents space to mention other mechanisms that we may have missed in the literature.

47. Are there any other issues that affect your organization that were not addressed in this survey?

[_]

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4.10 Postscript

End of the survey.

Explanation: This final page of the survey can be used to set up potential follow-up interviews or to build a network of respondents to help as a member check and/or valorize the research. Naturally, respondents should be thanked, and respondents themselves may like to be able to print an overview of their answers.

This is the end of the survey. Thank you for your cooperation!

At the end of this survey, you will see an overview of your answers. You can save this overview on your computer by first clicking on the red pdf logo in the top right of the overview and then clicking on "export". If you would like to print the overview, open the saved PDF document and click on the print option.

If you would like to receive a report of the results of this survey among all MOCs, you can indicate this below.

Your data is processed separately from your answers. Your anonymity therefore remains guaranteed.

- Yes, I would like to receive a report by e-mail. My email address is [_]
- No, I prefer not to receive a report.

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