

THE WORLD BANK ENTERPRISE SURVEY
Suriname Manufacturing Module (2018)

FIELDWORK SUPERVISORS AND MANAGEMENT ARE RESPONSIBLE FOR THE ACCURACY OF THIS SECTION.

INFORMATION ACQUIRED PRIOR TO SCREENING:

Sampling Information [CODES FROM WBG PROGRESS REPORT]	
Sampling sector	a4a
Sampling size	a6a
Sampling location	a2
Frame level	a1c

A. COVER [TO BE COMPLETED FROM SCREENER BEFORE INTERVIEW]

Screener Information	
Screener sector	a4b
Module	a0
Screener region	a3a
Name of City/town/village	a3x
Screener size	a6b
Multi-establishment firm	a7
Panel	panel
Language	a1a

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CAPI QUESTIONS BEGIN HERE

A. CONTROL INFORMATION TO BE COMPLETED AT THE TIME OF THE INTERVIEW

INFORMATION AUTOMATICALLY GENERATED

GPS COORDINATES	Degrees North (Latitude)	lat
	Degrees East (Longitude)	lon

A.14 Time face-to-face interview begins:

Day (dd)	Month (mm)	Year (yyyy)	Hour (00 to 23)	Minutes (00 to 59)
a14d	a14m	a14y	a14h	a14min

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING.

The goal of this survey is to gather information and opinions about the business environment in **Suriname**. The information gathered here will help to develop new policies and programs that enhance employment and economic growth.

The information obtained here will be held in the strictest confidentiality. Neither your name nor the name of your business will be used in any document based on this survey.

A. CONTROL INFORMATION

A.20	On which calendar date did the last completed fiscal year end?
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Year	Month	Day
a20y	a20m	a20d

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B. GENERAL INFORMATION

READ OUT THE FOLLOWING INTRODUCTORY SENTENCE ONLY IF A7 = 1 (yes):
The first few questions apply to the firm which this establishment is part of.

B.1 What is this firm's current legal status?
SHOW CARD 1 [NOTE FOR IMPLEMENTATION: THE OPTIONS USED IN EACH COUNTRY SHOULD REFLECT LOCAL CONDITIONS AND BE RECODED INTO THE CATEGORIES BELOW]

Shareholding company with shares trade in the stock market	1
Shareholding company with non-traded shares or shares traded privately	2
Sole proprietorship	3
Partnership	4
Limited partnership	5
OTHER (SPONTANEOUS-SPECIFY) <u> b1x </u>	6
DON'T KNOW (SPONTANEOUS)	-9

GO TO B.3a

b1

INTERVIEWER: PLEASE NOTE WHEN b1 IS 3 (SOLE PROPRIETORSHIP), ENTER 100% FOR QUESTION b3.

B.3 What percentage of this firm does the largest owner or owners own?

	Percent
Percentage held by largest owner or owners	b3 %
DON'T KNOW (SPONTANEOUS)	-9

B.3a Is the largest owner also the top manager?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

b3a

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B.2 What percentage of this firm is owned by each of the following:
SHOW CARD 2

	Percent	DON'T KNOW (SPONTANEOUS)
Private domestic individuals, companies or organizations	b2a %	-9
Private foreign individuals, companies or organizations	b2b %	-9
Government or State	b2c %	-9
Other	b2d %	-9
	100%	

IF 100% END INTERVIEW

INTERVIEWER: CHECK THAT TOTAL SUMS TO 100% UNLESS RESPONDENT DOES NOT KNOW

B.4 Amongst the owners of the firm, are there any females?

Yes	1	
No	2	GO TO SUR.B1
DON'T KNOW (SPONTANEOUS)	-9	GO TO SUR.B1

b4

INTERVIEWER: PLEASE NOTE WHEN b1 IS 3 (SOLE PROPRIETORSHIP) and b4 is 1 (FIRM HAS A FEMALE OWNER), ENTER 100% FOR QUESTION b4a.

B.4a What percentage of the firm is owned by females?

	Percent
Percentage of female ownership	b4a%
DON'T KNOW (SPONTANEOUS)	-9

SUR.B1 What percentage of the firm is owned by the same family? (If more than one family, refer to the one with largest ownership)

	Percent	
Percentage of family ownership	SURb1 %	IF 0, GO TO B.5
DON'T KNOW (SPONTANEOUS)	-9	GO TO B.5

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SUR.B2 What percentage of the key management positions of this firm are occupied by members of this family?

	Percent
Percentage of family members in key management positions	SURb2%
DON'T KNOW (SPONTANEOUS)	-9

READ ONLY IF A7=1 (yes)

I want to proceed by asking you about this establishment only.

B.5 In what year did this establishment begin operations?

	Year
Year establishment began operations	b5
DON'T KNOW (SPONTANEOUS)	-9

INTERVIEWER: PROVIDE FOUR DIGITS FOR YEAR

B.6 How many full-time workers did this establishment have when it started operations? Please include all workers and managers.
INTERVIEWER: INCLUDE RESPONDENT WHEN APPLICABLE

	Number
Full-time workers at start-up	b6
DON'T KNOW (SPONTANEOUS)	-9

B.6b In what year was this establishment formally registered?

	Year
Year establishment formally registered	b6b
DON'T KNOW (SPONTANEOUS)	-9
NEVER REGISTERED (SPONTANEOUS)	-7

TERMINATE

INTERVIEWER: PROVIDE FOUR DIGITS FOR YEAR

B.7 How many years of experience working in this sector does the Top Manager have?

	Years
Manager's experience in sector	b7
LESS THAN ONE YEAR	1
DON'T KNOW (SPONTANEOUS)	-9

B.7a Is the Top Manager female?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

b7a

QUESTIONNAIRE NUMBER **id**

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B.8	Does this establishment have an internationally-recognized quality certification? INTERVIEWER: SOME EXAMPLES ARE ISO 9000 or 14000, or HACCP
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Yes	1
No	2
STILL IN PROCESS	-6
DON'T KNOW (SPONTANEOUS)	-9

GO TO C.3

GO TO C.3

b8

B.8x	Please specify the internationally recognized quality certifications.
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Specify certifications	b8x
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C. INFRASTRUCTURE AND SERVICES

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

Now, we turn to the establishment's operations

C.3 Over the last two years, did this establishment submit an application to obtain an electrical connection?

Yes	1	
No	2	<i>GO TO C.6</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO C.6</i>
		c3

C.4 In reference to that application for an electrical connection, approximately how many days did it take to obtain it from the day of the application to the day the service was received?

	Days
Wait for electrical connection	c4
LESS THAN ONE DAY	1
STILL IN PROCESS	-6
APPLICATION DENIED	-5
DON'T KNOW (SPONTANEOUS)	-9

C.5 In reference to that application for an electrical connection, was an informal gift or payment expected or requested?

Yes	1	
No	2	
DON'T KNOW (SPONTANEOUS)	-9	
REFUSAL (SPONTANEOUS)	-8	
		c5

C.6 Over fiscal year **[Insert last complete fiscal year]**, did this establishment experience power outages?

Yes	1	
No	2	<i>GO TO C.10</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO C.10</i>
		c6

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C.7 In a typical month, over fiscal year **[Insert last complete fiscal year]**, how many power outages did this establishment experience?

	Number	
Number of power outages in a typical month	c7	<i>IF 0, GO TO C.9</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO C.9</i>

C.8 How long did these power outages last on average?

	Hours	Minutes
Average duration of power outages	c8a	c8b
LESS THAN ONE MINUTE		1
DON'T KNOW (SPONTANEOUS)	-9	-9

C.9 Please estimate the losses that resulted from power outages either as a percentage of total annual sales or as total annual losses.

	Percent	OR	SRD	DON'T KNOW (SPONTANEOUS)
Annual losses due to power outages	c9a %		c9b	-9

C.10 Over the course of fiscal year **[Insert last complete fiscal year]**, did this establishment own or share a generator?

Yes	1	
No	2	<i>GO TO C.12</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO C.12</i>

c10

C.11 In fiscal year **[Insert last complete fiscal year]**, what percentage of this establishment's electricity came from a generator or generators that the establishment owned or shared?

	Percent
Percentage electricity from generators	c11 %
DON'T KNOW (SPONTANEOUS)	-9

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C30rot ROTATION TREATMENT FOR C30

NOT SELECTED FOR TREATMENT	1	
SELECTED FOR TREATMENT	2	GO TO C.12
		c30rot

ASK IF c30rot IS EQUAL TO 2

C.30	Using the response options on the card; To what degree is Electricity an obstacle to the current operations of this establishment? SHOW CARD 3
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	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	(SPONTANEOUS)	
						DON'T KNOW	DOES NOT APPLY
Electricity c30a1	0	1	2	3	4	-9	-7

C.12 Over the last two years, did this establishment submit an application to obtain a water connection?

Yes	1	
No	2	GO TO C.15
DON'T KNOW (SPONTANEOUS)	-9	GO TO C.15
		c12

C.13 In reference to that application for a water connection, approximately how many days did it take to obtain it from the day of the application to the day the service was received?

	Days
Wait for water connection	c13
LESS THAN ONE DAY	1
STILL IN PROCESS	-6
APPLICATION DENIED	-5
DON'T KNOW (SPONTANEOUS)	-9

C.14	In reference to that application for a water connection, was an informal gift or payment expected or requested?
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Yes	1	
No	2	
DON'T KNOW (SPONTANEOUS)	-9	
REFUSAL (SPONTANENOUS)	-8	
		c14

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C.15 Over fiscal year **[Insert last complete fiscal year]**, did this establishment experience insufficient water supply for production?

Yes	1	
No	2	<i>GO TO C.22b</i>
The establishment does not use water for production	-7	<i>GO TO C.22b</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO C.22b</i>
		c15

C.16 In a typical month, over fiscal year **[Insert last complete fiscal year]**, how many incidents of insufficient water supply did this establishment experience?

	Number	
Number of incidents of water insufficiency in a typical month	c16	
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO C.22b</i>

C.17 How long did these incidents of insufficient water supply last on average?

	Hours
Average duration of insufficient water supply	c17
LESS THAN ONE HOUR	1
DON'T KNOW (SPONTANEOUS)	-9

C.22b At the present time, does this establishment have its own website or social media page?

Yes	1	
No	2	
DON'T KNOW (SPONTANEOUS)	-9	
		c22b

ASK IF C30ROT IS EQUAL TO 1

C.30 Using the response options on the card; To what degree is **Electricity** an obstacle to the current operations of this establishment?
SHOW CARD 3

						(SPONTANEOUS)	
	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	DON'T KNOW	DOES NOT APPLY
Electricity c30a2	0	1	2	3	4	-9	-7

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D. SALES AND SUPPLIES

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:
The next topic to be covered is how and where this establishment makes its sales.

D.1a1 In fiscal year **[Insert last complete fiscal year]**, what was this establishment’s main activity and product, that is, the activity and product that represented the largest proportion of annual sales?
INTERVIEWER: PLEASE RECORD THE DESCRIPTION OF THE ACTIVITY AND PRODUCT IN DETAIL. FOR EXAMPLE, "LEATHER SHOE MANUFACTURING' NOT JUST SHOE MANUFACTURING".

	SURd1a1a	DETAILED DESCRIPTION OF MAIN ACTIVITY AND PRODUCT
Packaging or processing	7	d1a1x
Other manufacturing	1	
Retail trade	2	
Wholesale trade	3	
Construction	4	
Hotel or restaurant	5	
Provide services	6	

INTERVIEWER: IF DIA1A IS SERVICES SELECT (2-6), REVIEW TO ENSURE CORRECT MODULE IS BEING ASKED

D.1a3 What percentage of total sales does the main activity or product represent?

	Percent
Percentage of sales represented by main activity or product	d1a3
DON'T KNOW (SPONTANEOUS)	-9

INTERVIEWER: PLEASE NOTE THAT THE NEXT QUESTION REFERS TO THE TOTAL SALES OF ALL PRODUCTS AND SERVICES

D.2 In fiscal year **[Insert last complete fiscal year]**, what were this establishment’s total annual sales for **all** products and services?

	SRD
"Total annual sales in fiscal year [insert last complete fiscal year] "	d2
DON'T KNOW (SPONTANEOUS)	-9

PLEASE ALSO WRITE OUT THE NUMBER (i.e. 50,000 AS FIFTY THOUSAND)

d2x

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N.3 Looking back to fiscal year [Insert last complete fiscal year minus two], what were total annual sales for this establishment?

	SRD
Total annual sales in fiscal year [Insert last complete fiscal year minus two]	n3
ESTABLISHMENT WAS NOT IN BUSINESS IN FISCAL YEAR [Insert last complete fiscal year minus two]	-7
DON'T KNOW (SPONTANEOUS)	-9

D.3 Coming back to fiscal year [Insert last complete fiscal year], what percentage of this establishment's sales were:
INTERVIEWER: SKIP PATTERNS MUST BE FOLLOWED IN THE ORDER THEY APPEAR IN THE TABLE SHOW CARD 4

	Percent	DON'T KNOW (SPONTANEOUS)
National sales	d3a %	-9
Indirect exports (sold domestically to third party that exports products)	d3b %	-9
Direct exports	d3c %	-9
	100%	

IF >0, GO TO D.4

INTERVIEWER: CHECK THAT TOTAL SUMS TO 100% UNLESS RESPONDENT DOES NOT KNOW

SUR.D1 Prior to [insert last complete fiscal year], did this establishment export goods directly?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION D.8
GO TO QUESTION D.8

SURd1

SUR.D2 In what year did this establishment last export goods directly?

Year establishment last exported directly	SURd2	<i>GO TO QUESTION D.8</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO QUESTION D.8</i>

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D.4 In fiscal year **[Insert last complete fiscal year]**, when this establishment exported goods directly, how many days did it take on average from the time this establishment’s goods arrived at their main point of exit (e.g., port, airport) until the time these goods cleared customs?

	Days
Average number of days to clear customs	d4
LESS THAN ONE DAY	1
DON'T KNOW (SPONTANEOUS)	-9
DOES NOT APPLY (SPONTANEOUS)	-7

GO TO D.8

D.5a In reference to when this establishment exported goods directly, in clearing these goods through customs was an informal gift or payment expected or requested?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9
REFUSAL (SPONTANENOUS)	-8
DOES NOT APPLY (SPONTANEOUS)	-7

d5a

ONLY ASK QUESTION D.8 IF D.3a IS NOT 100. IF D.3a IS 100, GO TO D.10

D.8 In which year did this establishment first export directly or indirectly?

	Year
Began exporting directly or indirectly	d8
DON'T KNOW (SPONTANEOUS)	-9

INTERVIEWER: PROVIDE FOUR DIGITS FOR YEAR

SUR.D3 In fiscal year **[Insert last complete fiscal year]** what was the main country of destination for this establishment’s main export?

(The main export is the good or service representing the largest share of sales.)

Main country desination of exports	SURd3x
DON'T KNOW (SPONTANEOUS)	-9

GO TO D.10

SUR.D4 In fiscal year **[Insert last complete fiscal year]** was this establishment’s main export subject to an excise tax in **[insert answer to SURd3]**?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

SURd4

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D.10 In fiscal year **[Insert last complete fiscal year]**, what percentage of the value of products this establishment shipped to supply domestic markets was lost while in transit because of theft?

	Percent
Losses due to theft as percentage of the value of the products	d10 %
NO LOSSES	0
DON'T KNOW (SPONTANEOUS)	-9
NO INTERNAL SHIPMENTS MADE (DOES NOT APPLY)	-7

GO TO PRO.D1

D.11 In fiscal year **[Insert last complete fiscal year]**, what percentage of value of products this establishment shipped to supply domestic markets was lost while in transit because of breakage or spoilage?

	Percent
Losses due to breakage or spoilage as percentage of the value of the products	d11 %
NO LOSSES	0
DON'T KNOW (SPONTANEOUS)	-9
NO INTERNAL SHIPMENTS MADE (DOES NOT APPLY)	-7

[QUESTION PRO.D1-PRO.D4 ONLY APPLY TO FOOD PROCESSING AND PACKAGING ESTABLISHMENTS, d1a1a=7]. OTHERWISE, GO TO SUR.D5

PRO.D1 In fiscal year **[insert last complete fiscal year]**, when this establishment shipped its goods to either domestic or foreign markets, were those goods warehoused or held in storage before arriving to their final destination?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION PRO.D3

GO TO QUESTION PRO.D3

PROd1

PRO.D2 What was the average number of days those goods were warehoused or held in storage?

	Days
Average number of days goods were warehoused	PROd2
LESS THAN ONE DAY	1
DON'T KNOW (SPONTANEOUS)	-9

PRO.D3 During the last three years, has this establishment changed its packaging process or materials?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION SUR.D5

GO TO QUESTION SUR.D5

PROd3

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PRO.D4 Which of the following best describes the main reason this establishment changed its packaging process or materials?
SHOW CARD 5

To meet health and safety regulations	1
To access other markets within Suriname	2
To access markets abroad	3
To save costs	4
To reduce breakage or spoilage	5
Other	6
DON'T KNOW (SPONTANEOUS)	-9

PROd4

SUR.D5 In fiscal year **[insert last complete fiscal year]**, what proportion of sales were made to:
SHOW CARD 6

		DON'T KNOW (SPONTANEOUS)
Directly to consumers	SURd5a %	-9
To other businesses	SURd5b %	-9
To the government or state-owned businesses	SURd5c %	-9

100%

D.12 In fiscal year **[Insert last complete fiscal year]**, what percentage of this establishment's purchases of material inputs or supplies were:
SHOW CARD 7

	Percent	DON'T KNOW (SPONTANEOUS)
Of domestic origin	d12a %	-9
Of foreign origin	d12b %	-9
	100%	

IF 0, GO TO SUR.D6

**INTERVIEWER: CHECK THAT TOTAL SUMS TO 100%
UNLESS RESPONDENT DOES NOT KNOW**

D.13 Were any of the material inputs or supplies purchased in fiscal year **[Insert last complete fiscal year]** imported directly?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

GO TO SUR.D6

GO TO SUR.D6

d13

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D.14 In fiscal year **[Insert last complete fiscal year]**, when this establishment imported material inputs or supplies, how many days did it take on average from the time these goods arrived to their point of entry (e.g. port, airport) until the time these goods could be claimed from customs?

	Days
Average number of days to clear customs	d14
LESS THAN ONE DAY	1
DON'T KNOW (SPONTANEOUS)	-9
DOES NOT APPLY (SPONTANEOUS)	-7

D.15a In reference to when this establishment imported material inputs or supplies, in claiming these goods from customs was an informal gift or payment expected or requested?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9
REFUSAL (SPONTANEOUS)	-8
DOES NOT APPLY (SPONTANEOUS)	-7

d15a

SUR.D6 During the last three years, has this establishment changed its main supplier of its main material input? (The main material input is the one that accounts for the largest share of input costs.)

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION SUR.D9

GO TO QUESTION SUR.D9

SURd6

SUR.D7 Which of the following best describes the change in this establishment's main supplier?
SHOW CARD 8

Change to a different supplier in Suriname	1
Change from a foreign supplier to a supplier in Suriname	2
Change from a supplier in Suriname to a foreign supplier	3
Change from one foreign supplier to another foreign supplier	4
DON'T KNOW (SPONTANEOUS)	-9

SURd7

SUR.D8	Which of the following best describes the main reason for the change in this establishment's main supplier? SHOW CARD 9
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The new supplier offered better quality inputs	1
The new supplier offered lower priced inputs	2
The exchange rate made the new supplier less expensive	3
The new supplier is more reliable	4
The new supplier is more efficient	5
Changes in taxes or regulations affecting the main input	6
Other	7
DON'T KNOW (SPONTANEOUS)	-9

SURd8

SUR.D9	When making agreements with suppliers , please indicate to what degree each of the following is effective in resolving or preventing problems. [READ OUT OPTIONS] SHOW CARD 10
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	Not at all	Slightly	Moderately	Very much	Extremely	DON'T KNOW (SPONTANEOUS)
Personal relationship and trust SURd9a	1	2	3	4	5	-9
Mutual interest in maintaining business relationships, without involving others SURd9b	1	2	3	4	5	-9
Paid, private dispute resolution SURd9d	1	2	3	4	5	-9
Assistance of government officials SURd9e	1	2	3	4	5	-9
Intervention of other third-parties (excluding paid, private dispute resolution and government officials) SURd9c	1	2	3	4	5	-9
Legal system SURd9f	1	2	3	4	5	-9

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INTERVIEWER, READ OUT:

Now, turning to this establishment’s relationships with its customers.

SUR.D10	When making agreements with customers , please indicate to what degree each of the following is effective in resolving or preventing problems. [READ OUT OPTIONS] SHOW CARD 10
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	Not at all	Slightly	Moderately	Very much	Extremely	DON'T KNOW (SPONTANEOUS)
Personal relationship and trust SURd10a	1	2	3	4	5	-9
Mutual interest in maintaining business relationships, without involving others SURd10b	1	2	3	4	5	-9
Paid, private dispute resolution SURd10d	1	2	3	4	5	-9
Assistance of government officials SURd10e	1	2	3	4	5	-9
Intervention of other third-parties (excluding private dispute resolution and government officials) SURd10c	1	2	3	4	5	-9
Legal system SURd10f	1	2	3	4	5	-9

D.30	Using the response options on the card; To what degree are each of the following an obstacle to the current operations of this establishment? INTERVIEWER: READ OUT OPTIONS SHOW CARD 11
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	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	(SPONTANEOUS)	
						DON'T KNOW	DOES NOT APPLY
Transport d30a	0	1	2	3	4	-9	-7
Customs and trade regulations d30b	0	1	2	3	4	-9	-7
Competition from contraband goods SURd30a	0	1	2	3	4	-9	-7
Warehousing, packaging, or cold storage facilities SURd30b	0	1	2	3	4	-9	-7

R. MANAGEMENT PRACTICES

PLEASE READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:
And now I would like to ask you about management practices in this establishment.

SUR.R4 Does this establishment keep written business records of its costs and sales?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

SURr4

SUR.R1 In the last three months, has this establishment done each of the following:
INTERVIEWER: READ OUT

	Yes	No	DON'T KNOW (SPONTANEOUS)
Visited one of its competitor's businesses to see what products they have available for sale? SURr1a	1	2	-9
Asked existing customers whether there are any other products this establishment should sell or produce? SURr1b	1	2	-9
Talked with former customers to learn why they stopped buying from this establishment? SURr1c	1	2	-9
Used any special offers to attract customers? SURr1d	1	2	-9
Asked suppliers which products are selling well? SURr1e	1	2	-9

SUR.R2 In the last three months, has this establishment attempted to negotiate with a supplier for a lower price?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

SURr2

SUR.R3 How frequently does this establishment run out of inventories or raw materials?
READ OUT

Never, it always has enough on hand	1
Rarely	2
Frequently, at least once every three months	3
DON'T KNOW (SPONTANEOUS)	-9

SURr3

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SUR.R6 Does this establishment have a written budget for monthly costs for rent, electricity, maintenance, transport and other costs?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

SURr6

SUR.R9 Has this establishment made a budget of the costs it is likely to face next year?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

SURr9

SUR.R10 Does this establishment prepare a profit and loss statement at least once a year?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

SURr10

R.1 Over fiscal year **[Insert last complete fiscal year]**, what best describes what happened at this establishment when a problem in the production process arose?
SHOW CARD 12

INTERVIEWER: SELECT "DOES NOT APPLY" (-7) IF THERE WERE NO PROBLEMS IN THE PRODUCTION PROCESS IN THE LAST COMPLETE FISCAL YEAR

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

r1

R.2 Over fiscal year **[Insert last complete fiscal year]**, did this establishment monitor any performance indicators?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

GO TO R.4

GO TO R.4

r2

0								
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R.3 Over fiscal year **[Insert last complete fiscal year]**, how many performance indicators were monitored at this establishment?
INTERVIEWER: READ OUT

1-2 indicators	1
3-9 indicators	2
10 or more indicators	3
DON'T KNOW (SPONTANEOUS)	-9

r3

R.4 Over fiscal year **[Insert last complete fiscal year]**, did this establishment have production targets? Examples of production targets are: production volume, quality, efficiency, waste, or on-time delivery.

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

GO TO R.8
GO TO R.8

r4

R.5 Over fiscal year **[Insert last complete fiscal year]**, what best describes the time frame of production targets at this establishment?
SHOW CARD 13

Main focus was on short term, less than one year	1
Main focus was on long term, one year or more	2
Combination of short-term and long-term targets	3
DON'T KNOW (SPONTANEOUS)	-9

r5

R.6 Over fiscal year **[Insert last complete fiscal year]**, how easy or difficult was it for this establishment to achieve its production targets overall?
SHOW CARD 14

Achieved without much effort	1
Achieved with some effort	2
Achieved with normal amount of effort	3
Achieved with more than normal effort	4
Only achieved with extraordinary effort	5
Targets were not achieved	6
DON'T KNOW (SPONTANEOUS)	-9

r6

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R.7 Over fiscal year **[Insert last complete fiscal year]**, who was aware of the production targets at this establishment?
SHOW CARD 15

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

r7

R.8 Over fiscal year **[Insert last complete fiscal year]**, did this establishment have performance bonuses for managers?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

GO TO R.10

GO TO R.10

r8

R.9 Over fiscal year **[Insert last complete fiscal year]**, what were managers' performance bonuses mostly based on?
INTERVIEWER: READ OUT

INTERVIEWER: IF THE ESTABLISHMENT IS NOT PART OF A MULTI-ESTABLISHMENT FIRM (A7 IS NO), THEN DO NOT USE OPTION 4

Their own performance	1
Their team's performance	2
The establishment's performance	3
The firm's performance	4
DON'T KNOW (SPONTANEOUS)	-9

r9

R.10 Over fiscal year **[Insert last complete fiscal year]**, what was the primary way non-managers were promoted at this establishment?
SHOW CARD 16

INTERVIEWER: SELECT "DOES NOT APPLY" (-7) IF THERE WERE NO PROMOTIONS OF NON-MANAGERS IN THE LAST COMPLETE FISCAL YEAR

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

r10

QUESTIONNAIRE NUMBER **id**

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R.11	Over fiscal year [Insert last complete fiscal year] , when was an under-performing non-manager reassigned or dismissed? SHOW CARD 17
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INTERVIEWER: SELECT "DOES NOT APPLY" (-7) IF THERE WERE NO UNDER-PERFORMING NON-MANAGERS IN THE LAST COMPLETE FISCAL YEAR

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

r11

E. DEGREE OF COMPETITION

E.1 In fiscal year **[Insert last complete fiscal year]**, which of the following was the main market in which this establishment sold its main product?
SHOW CARD 18

Local – main product sold mostly in same municipality where establishment is located	1	
National – main product sold mostly across the country where establishment is located	2	
International	3	
DON'T KNOW (SPONTANEOUS)	-9	GO TO E.6

e1

E.2 In fiscal year **[Insert last complete fiscal year]**, for the main market in which this establishment sold its main product, how many competitors did this establishment’s main product face?

Number of competitors	e2b
TOO MANY TO COUNT	-4
DON'T KNOW (SPONTANEOUS)	-9

E.6 Does this establishment at present use technology licensed from a foreign-owned company, excluding office software?

Yes	1	
No	2	
DON'T KNOW (SPONTANEOUS)	-9	e6

E.11 Does this establishment compete against unregistered or informal establishments?

Yes	1	
No	2	
DON'T KNOW (SPONTANEOUS)	-9	e11

E.30 Using the response options on the card; To what degree are **Practices of Competitors in the Informal Sector** an obstacle to the current operations of this establishment?
SHOW CARD 19

	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	(SPONTANEOUS)	
						DON'T KNOW	DOES NOT APPLY
Practices of competitors in the informal sector e30	0	1	2	3	4	-9	-7

0									
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H. INNOVATION

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING
 And now we switch to a different topic. In this section “new” means new to the establishment but not necessarily new to the market.

H.1 During the last three years, has this establishment introduced new or improved products or services?

Yes	1	
No	2	<i>GO TO H.5</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO H.5</i>

h1

H.2 Were any of the new or improved products or services also new for the establishment’s main market?

Yes	1	
No	2	
DON'T KNOW (SPONTANEOUS)	-9	

h2

H.3 Please describe in detail the **main** new or improved product or service that this establishment introduced during the last three years.

The main new or improved product or service is the one that represented the largest proportion of this establishment’s sales in value (not volume) during the last three years.

Description

DESCRIPTION SHOULD BE AS DETAILED AS POSSIBLE

h3x

H.4 Please describe in detail how the **main** new or improved product or service is different than the most similar product or service, if any, previously produced by this establishment.

INTERVIEWER: IF THERE IS NOTHING SIMILAR ENTER “COMPLETELY NEW”

Description

DESCRIPTION SHOULD BE AS DETAILED AS POSSIBLE

h4x

0									
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H.5 During the last three years, has this establishment introduced any new or improved process? These include:
 methods of manufacturing products or offering services;
 logistics, delivery, or distribution methods for inputs, products, or services;
 or supporting activities for processes?

Yes	1	
No	2	<i>GO TO H.8</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO H.8</i>

h5

H.6 Please describe in detail the **main** new or improved process that this establishment introduced during the last three years. The main innovative process is the innovative process that had the largest impact on the operations of the establishment during the last three years.

Description

DESCRIPTION SHOULD BE AS DETAILED AS POSSIBLE	h6x
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H.7 Please describe in detail how the **main** new or improved process is different than the most similar process that is or was used by this establishment.

IF THERE IS NOTHING SIMILAR ENTER "COMPLETELY NEW"

Description

DESCRIPTION SHOULD BE AS DETAILED AS POSSIBLE	h7x
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H.8 During fiscal year **[Insert last complete fiscal year]**, did this establishment spend on research and development activities, either in-house or contracted with other companies, excluding market research surveys?

Yes	1	
No	2	<i>GO TO F.1</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO F.1</i>

h8

H.9 During fiscal year **[Insert last complete fiscal year]**, how much did this establishment spend on research and development activities, either in-house or contracted with other companies?

	SRD
Cost of research and development activities	h9
DON'T KNOW (SPONTANEOUS)	-9

0									
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F. CAPACITY

F.1 In fiscal year **[Insert last complete fiscal year]**, what was this establishment’s output produced as a percentage of the maximum output possible if using all the physical capital available (capacity utilization)?

	Percent
Capacity utilization	f1 %
DON'T KNOW (SPONTANEOUS)	-9

F.2 In fiscal year **[Insert last complete fiscal year]**, how many hours per week did this establishment normally operate?
INTERVIEWER: RESPONSE CANNOT BE GREATER THAN 168 HOURS

	Hours
Typical hours of operation in a week	f2
DON'T KNOW (SPONTANEOUS)	-9

SUR.F1 Over the course of fiscal year **[insert last complete fiscal year]**, did this establishment completely cease operations outside of normal stoppages?
 (Normal stoppages include expected stoppages in operations, including those for seasonal reasons or maintenance.)

Yes	1	GO TO QUESTION G.3 GO TO QUESTION G.3
No	2	
DON'T KNOW (SPONTANEOUS)	-9	

SURf1

SUR.F2 How many times did this establishment cease operations outside of normal stoppages in fiscal year **[insert last complete fiscal year]**?

Number of stoppages in operations	SURf2
DON'T KNOW (SPONTANEOUS)	-9

SUR.F3 On average how many days did these stoppages in operations last?

Average duration of stoppages in operations (days)	SURf3
LESS THAN ONE DAY	1
DON'T KNOW (SPONTANEOUS)	-9

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SUR.F4	Which of the following best describes the main reason for these stoppages in operations? SHOW CARD 20
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Lack of client demand	1
Lack of material inputs or supplies	2
Equipment failure	3
Lack of employees or workers	4
Lack of compliance with regulations or inspections	5
Lack of power or energy	6
Other	7
DON'T KNOW (SPONTANEOUS)	-9

SURf4

0									
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G. LAND AND PERMITS

G.6 Of the **buildings** occupied by this establishment, what percentage is owned by this establishment?

	Percent	DON'T KNOW (SPONTANEOUS)
Owned by this establishment	g6a %	-9

G.1 Of the **land** occupied by this establishment, what percentage is owned by this establishment?

	Percent	DON'T KNOW (SPONTANEOUS)	DOES NOT APPLY IS A FLOOR IN A BUILDING (SPONTANEOUS)
Owned by this establishment	g1a %	-9	-7

G.2 Over the last two years, did this establishment submit an application to obtain a construction-related permit?

Yes	1	
No	2	GO TO G.30
DON'T KNOW (SPONTANEOUS)	-9	GO TO G.30

g2

G.3 In reference to that application for a construction-related permit, approximately how many days did it take to obtain it from the day of the application to the day the permit was granted?

	Days
Wait for a construction-related permit	g3
LESS THAN ONE DAY	1
STILL IN PROCESS (SPONTANEOUS)	-6
APPLICATION DENIED (SPONTANEOUS)	-5
DON'T KNOW (SPONTANEOUS)	-9

G.4 In reference to that application for a construction-related permit, was an informal gift or payment expected or requested?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9
REFUSAL (SPONTANEOUS)	-8

g4

0									
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G.30 Using the response options on the card; To what degree is **Access to Land** an obstacle to the current operations of this establishment?
[SHOW CARD 21](#)

						(SPONTANEOUS)		
		No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	DON'T KNOW	DOES NOT APPLY
Access to land	g30a	0	1	2	3	4	-9	-7

0								
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I. CRIME

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:
We now turn to another topic.

I.1 In fiscal year **[Insert last complete fiscal year]**, did this establishment pay for security, for example equipment, personnel, or professional security services including internet security?

Yes	1	
No	2	<i>GO TO I.3</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO I.3</i>

i1

I.2 In fiscal year **[Insert last complete fiscal year]**, what percentage of this establishment's total annual sales was paid for security, or what was the total annual cost of security?

	As a percentage of sales	OR	SRD	DON'T KNOW (SPONTANEOUS)
Annual cost of security	i2a %		i2b	-9

I.3 In fiscal year **[Insert last complete fiscal year]**, did this establishment experience losses as a result of theft, robbery, vandalism, arson on this establishment's premises or from internet hacking or fraudulent internet transactions?

Yes	1	
No	2	<i>GO TO I.30</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO I.30</i>

i3

I.4 In fiscal year **[Insert last complete fiscal year]**, what were the estimated losses as a result of theft, robbery, vandalism, arson, internet hacking or fraudulent internet transactions that occurred on this establishment's premises either as a percentage of total annual sales or as total annual losses?

	As a percentage of sales	OR	SRD	DON'T KNOW (SPONTANEOUS)
Annual losses	i4a %		i4b	-9

0									
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I.30 Using the response options on the card; To what degree is **Crime, Theft and Disorder** an obstacle to the current operations of this establishment?
[SHOW CARD 21](#)

						(SPONTANEOUS)						
						DON'T KNOW	DOES NOT APPLY					
						No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle		
Crime, theft and disorder	i30	0	1	2	3	4	-9	-7				

K. FINANCE

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:
I would like to ask you a few questions about how you finance the operations of this establishment.

K.3 Over fiscal year **[Insert last complete fiscal year]**, please estimate the proportion of this establishment’s working capital, that is the funds available for day-to-day operations, that was financed from each of the following sources?
SHOW CARD 22

	Percent	DON'T KNOW (SPONTANEOUS)
Internal funds or retained earnings	k3a %	-9
Borrowed from banks: private and state-owned	k3bc %	-9
Borrowed from non-bank financial institutions, which include microfinance institutions, credit cooperatives, credit unions, or finance companies	k3e %	-9
Purchases on credit from suppliers and advances from customers	k3f %	-9
Other, moneylenders, friends, relatives, etc.	k3hd %	-9
	100%	

**INTERVIEWER: CHECK THAT TOTAL SUMS TO 100%
 UNLESS RESPONDENT DOES NOT KNOW**

K.4 In fiscal year **[Insert last complete fiscal year]**, did this establishment purchase any new or used fixed assets, such as machinery, vehicles, equipment, land or buildings, including expansion and renovations of existing structures?

Yes	1	
No	2	GO TO K.4b
DON'T KNOW (SPONTANEOUS)	-9	GO TO K.4b

k4

N.5 In fiscal year **[Insert last complete fiscal year]**, how much did this establishment spend on purchases of:
INTERVIEWER: READ OUT

	SRD	DON'T KNOW (SPONTANEOUS)
New or used machinery, vehicles, and equipment?	n5a	-9
Land and buildings including expansion and renovations of existing structures?	n5b	-9

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K.5 Over fiscal year **[Insert last complete fiscal year]**, please estimate the proportion or **SRD** amount of this establishment’s total purchases of fixed assets that were financed from the following sources:
SHOW CARD 23

	Percent	OR	Amount SRD	DON'T KNOW (SPONTANEOUS)
Internal funds or retained earnings	k5a %		k5a1	-9
Owners’ contribution or issued new equity shares	k5i %		k5i1	-9
Borrowed from banks: private and state-owned	k5bc %		k5bc1	-9
Borrowed from non-bank financial institutions, which include microfinance institutions, credit cooperatives, credit unions, or finance companies	k5e %		k5e1	-9
Purchases on credit from suppliers and advances from customers	k5f %		k5f1	-9
Other, moneylenders, friends, relatives, bonds, etc	k5hdj %		k5hdj1	-9
	100%		n5a+n5b	

INTERVIEWER: CHECK THAT TOTAL SUMS TO 100% OR THAT TOTAL SUM EQUALS TOTAL PURCHASES IN N5 UNLESS RESPONDENT DOES NOT KNOW

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:
Now I would like to ask you about the fiscal year before last.

K.4b In fiscal year **[Insert last complete fiscal year minus one]**, did this establishment purchase any new or used fixed assets, such as machinery, vehicles, equipment, land or buildings, including expansion and renovations of existing structures?

Yes	1	
No	2	GO TO K.6
DON'T KNOW (SPONTANEOUS)	-9	GO TO K.6
		k4b

N.5c
N.5d In fiscal year **[Insert last complete fiscal year minus one]**, how much did this establishment spend on purchases of:
INTERVIEWER: READ OUT

	SRD	DON'T KNOW (SPONTANEOUS)
New or used machinery, vehicles, and equipment	n5c	-9
Land and buildings	n5d	-9

0									
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READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:
Now let's talk about the establishment's present situation.

K.6 At this time, does this establishment have a checking (current) or savings account?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

k6

K.7 At this time, does this establishment have an overdraft facility?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

k7

K.8 At this time, does this establishment have a line of credit or a loan from a financial institution?

Yes	1	<i>GO TO K.15d</i>
No	2	
DON'T KNOW (SPONTANEOUS)	-9	

k8

K.9 Referring to the most recent line of credit or loan, what type of financial institution granted this loan?
SHOW CARD 24

Private commercial banks	1
State-owned banks or government agency	2
Non-bank financial institutions	3
Other	4
DON'T KNOW (SPONTANEOUS)	-9

k9

K.10 Referring only to this most recent line of credit or loan, in what year was the most recent line of credit or loan approved?

	Year
Year most recent line of credit or loan approved	k10
DON'T KNOW (SPONTANEOUS)	-9

INTERVIEWER: PROVIDE FOUR DIGITS FOR YEAR

0								
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K.11 Referring only to this most recent line of credit or loan, what was its value at the time of approval?

	SRD
Size of most recent line of credit or loan approved	k11
REFUSAL (SPONTANEOUS)	-8
DON'T KNOW (SPONTANEOUS)	-9

K.13 Referring only to this most recent line of credit or loan, did the financing require collateral?

Yes	1	
No	2	GO TO K.15b
DON'T KNOW (SPONTANEOUS)	-9	GO TO K.15b

k13

K.14 Referring only to this most recent line of credit or loan, what type of collateral was required?
INTERVIEWER: READ OUT

Collateral	Yes	No	DON'T KNOW (SPONTANEOUS)
Land, buildings under ownership of the establishment k14a	1	2	-9
Machinery and equipment including movables k14b	1	2	-9
Accounts receivable and inventories k14c	1	2	-9
Personal assets of owner (house, etc.) k14d	1	2	-9
Other forms of collateral not included in the categories above k14e	1	2	-9

K.15a Referring only to this most recent line of credit or loan, what was the approximate value of the collateral required?

	SRD
Value of collateral	k15a
DON'T KNOW (SPONTANEOUS)	-9

K.15b What is the total number of open lines of credit and outstanding loans held by this establishment?

	Number
Total number of open lines of credit and outstanding loans	k15b
DON'T KNOW (SPONTANEOUS)	-9

GO TO K.15d

0									
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K.15c What is the total outstanding balance of all open lines of credit and loans held by this establishment?

	SRD
Total outstanding balance of all open lines of credit and loans	k15c
REFUSAL (SPONTANEOUS)	-8
DON'T KNOW (SPONTANEOUS)	-9

K.15d At this time, does the owner or owners of this establishment have any outstanding personal loans that are used to finance this establishment's business activities?

Yes	1	
No	2	
DON'T KNOW (SPONTANEOUS)	-9	

k15d

K.16 Referring again to fiscal year **[Insert last complete fiscal year]**, did this establishment apply for any lines of credit or loans?

Yes	1	GO TO K.20
No	2	
DON'T KNOW (SPONTANEOUS)	-9	GO TO K.21

k16

K.17 What was the **main** reason why this establishment did not apply for any line of credit or loan?
SHOW CARD 25

No need for a loan - establishment had sufficient capital	1	GO TO K.21
Application procedures were complex	2	GO TO K.21
Interest rates were not favorable	3	GO TO K.21
Collateral requirements were too high	4	GO TO K.21
Size of loan and maturity were insufficient	5	GO TO K.21
Did not think it would be approved	6	GO TO K.21
Other	7	GO TO K.21
DON'T KNOW (SPONTANEOUS)	-9	GO TO K.21

k17

K.20 Referring only to this most recent application for a line of credit or loan, what was the outcome of that application?
INTERVIEWER: READ OUT

Application was approved in full	1	
Application was approved in part	2	
Application was rejected	3	
Application was withdrawn	4	
APPLICATION STILL IN PROCESS	-6	
DON'T KNOW (SPONTANEOUS)	-9	

k20a1

0									
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K.21 In fiscal year **[Insert last complete fiscal year]**, did this establishment have its annual financial statements checked and certified by an external auditor?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

k21

K.30 Using the response options on the card; To what degree is **Access to Finance** an obstacle to the current operations of this establishment?
SHOW CARD 26

						(SPONTANEOUS)		
		No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	DON'T KNOW	DOES NOT APPLY
Access to finance	k30	0	1	2	3	4	-9	-7

J. BUSINESS-GOVERNMENT RELATIONS

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

The following questions assess how establishments, such as this one, deal with government officials and their agencies.

J.1 Please tell me if you Strongly disagree, Tend to disagree, Tend to agree, or Strongly agree with the statement: "The court system is fair, impartial and uncorrupted".
SHOW CARD 27

(SPONTANEOUS)

	Strongly disagree	Tend to disagree	Tend to agree	Strongly agree	DON'T KNOW	DOES NOT APPLY
"The court system is fair, impartial and uncorrupted." h7a	1	2	3	4	-9	-7

J.2 In a typical week over the last year, what percentage of total senior management's time was spent on dealing with requirements imposed by government regulations?
(By senior management I mean managers, directors, and officers above direct supervisors of production or sales workers.)

	Percent
Senior management's time spent on dealing with regulations	j2 %
NO TIME WAS SPENT	0
DON'T KNOW (SPONTANEOUS)	-9

J.3 Over the last year, was this establishment visited or inspected by tax officials or required to meet with them?

Yes	1	
No	2	GO TO J.6a
DON'T KNOW (SPONTANEOUS)	-9	GO TO J.6a

j3

J.4 Over the last year, how many times was this establishment visited or inspected by tax officials or required to meet with them?

	Number
Times inspected or met with tax officials	j4
DON'T KNOW (SPONTANEOUS)	-9

0								
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J.5 In any of these inspections or meetings was a gift or informal payment expected or requested?

Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9
REFUSAL (SPONTANEOUS)	-8

j5

J.6a Over the last year, has this establishment secured or attempted to secure a government contract?

Yes	1	<i>GO TO J.7</i>
No	2	
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO J.7</i>

j6a

J.6 When establishments like this one do business with the government, what percent of the contract value would be typically paid in informal payments or gifts to secure the contract?

	Percent
Percent of the contract value paid as informal payments or gifts	j6 %
NO PAYMENTS	0
DON'T KNOW (SPONTANEOUS)	-9
REFUSAL (SPONTANEOUS)	-8

J.7 It is said that establishments are sometimes required to make gifts or informal payments to public officials to "get things done" with regard to customs, taxes, licenses, regulations, services etc. On average, what percentage of total annual sales, or estimated total annual value, do establishments like this one pay in informal payments or gifts to public officials for this purpose?

	As a percentage of sales	OR	SRD	NO PAYMENTS OR GIFTS ARE PAID	DON'T KNOW (SPONTANEOUS)	REFUSAL (SPONTANEOUS)
Informal payments or gifts	j7a %		j7b	0	-9	-8

J.10 Over the last two years, did this establishment submit an application to obtain an import license?

Yes	1	<i>GO TO J.13</i>
No	2	
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO J.13</i>

j10

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J.11 Approximately how many days did it take to obtain this import license from the day of the application to the day it was granted?

	Days
Wait for import license	j11
LESS THAN ONE DAY	1
STILL IN PROCESS	-6
APPLICATION DENIED	-5
DON'T KNOW (SPONTANEOUS)	-9

J.12 In reference to that application for an import license, was an informal gift or payment expected or requested?

Yes	1	
No	2	
DON'T KNOW (SPONTANEOUS)	-9	
REFUSAL (SPONTANEOUS)	-8	

j12

J.13 Over the last two years, did this establishment submit an application to obtain an operating license?

Yes	1	
No	2	GO TO J.30
DON'T KNOW (SPONTANEOUS)	-9	GO TO J.30

j13

J.14 Approximately how many days did it take to obtain this operating license from the day of the application to the day it was granted?

	Days
Wait for operating license	j14
LESS THAN ONE DAY	1
STILL IN PROCESS	-6
APPLICATION DENIED	-5
DON'T KNOW (SPONTANEOUS)	-9

J.15 In reference to that application for an operating license, was an informal gift or payment expected or requested?

Yes	1	
No	2	
DON'T KNOW (SPONTANEOUS)	-9	
REFUSAL (SPONTANEOUS)	-8	

j15

0								
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SURJ.3	<p>It is often said that firms make gifts or informal payments to public officials to gain advantages in the drafting of laws, decrees, regulations or other binding government decisions.</p> <p>Using the scale in the show card, please tell me to what extent have the following practices had a direct impact on this establishment.</p> <p>SHOW CARD 28</p>
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	No impact	Minor impact	Moderate impact	Major impact	Very Major impact	(SPONTANEOUS)	
						DON'T KNOW	DOES NOT APPLY
Payments, gifts or exchange of favors with parliamentarians to affect their votes SURj3a	0	1	2	3	4	-9	-7
Payments, gifts or exchange of favors with national government officials to affect the content of government decrees SURj3b	0	1	2	3	4	-9	-7
Payments, gifts or exchange of favors with local or regional government officials to affect their votes or content of local or regional decrees SURj3c	0	1	2	3	4	-9	-7

[**treat=5 for small firms, 50 for medium firms, 500 for large firms**]

SUR.J4	Considering a multinational firm with [treat] employees, what percentage of the legally required amount of taxes do they actually pay?
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	Percent
Percentage of required taxes	SURj4%
DON'T KNOW (SPONTANEOUS)	-9
REFUSAL (SPONTANEOUS)	-8

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INTERVIEWER: READ THE FOLLOWING

I am now going to read two questions before asking for your response. Please consider your answer to each question separately. If the answer to both questions is “no”, please respond with option 1. If the answer to either or both questions is “yes”, respond with option 2. This question is designed to preserve the privacy of your responses, as I cannot know the exact responses to either question.

- | | |
|---------------|---|
| SUR.J5 | <ul style="list-style-type: none"> Your father’s birthday is in October, November, or December This establishment avoids paying taxes or fines to tax inspectors |
|---------------|---|

SHOW CARD 29

Option 1: The answer to both questions is “no”	1
Option 2: The answer to either or both questions is “yes”	2
REFUSAL (SPONTANEOUS)	-8
DON’T KNOW (SPONTANEOUS)	-9

SURj5

J.30	Using the response options on the card; To what degree are each of the following an obstacle to the current operations of this establishment? INTERVIEWER: READ OUT OPTIONS SHOW CARD 30
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							(SPONTANEOUS)	
	POSITION	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	DON’T KNOW	DOES NOT APPLY
Tax rates j30a	j30_taxrate_pos	0	1	2	3	4	-9	-7
Tax administration j30b	j30_taxadmin_pos	0	1	2	3	4	-9	-7
Business licensing and permits j30c	j30_permit_pos	0	1	2	3	4	-9	-7
Political instability j30e	j30_instability_pos	0	1	2	3	4	-9	-7
Corruption j30f	j30_corruption_pos	0	1	2	3	4	-9	-7
Courts h30	j30_courts_pos	0	1	2	3	4	-9	-7
Occupational safety regulations SURj4a	SURj30_safet_pos	0	1	2	3	4	-9	-7
Health and hygiene regulations SURj4b	SURj30_health_pos	0	1	2	3	4	-9	-7
Environmental regulations SURj4c	SURj30_envIRON_pos	0	1	2	3	4	-9	-7

NOTE: ROTATION POSITIONS VARY AS THE LIST OF OPTIONS IS RANDOMIZED

QUESTIONNAIRE NUMBER **id**

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INTERVIEWER READ OUT:

I would like to ask you a few questions about this establishment's labor force. Should I continue with you or with the Human Resources department?

IF YES, CONTINUE WITH SECTION L WITH CURRENT RESPONDENT

**IF NO, CONTINUE WITH SECTION M WITH CURRENT RESPONDENT
AND ASK L SECTION TO A HUMAN RESOURCES REPRESENTATIVE**

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L. LABOR

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:
Now I would like to ask you a few questions about this establishment's labor force.

L.1 At the end of fiscal year **[Insert last complete fiscal year]**, how many permanent, full-time individuals worked in this establishment? Please include all workers and managers.

Permanent, full-time workers are defined as all workers that work for a term of one or more fiscal years and/or have a guaranteed renewal of their employment and that work a full shift.
INTERVIEWER: INCLUDE INTERVIEWEE IF APPLICABLE

	Number
Permanent, full-time workers at the end of last fiscal year	11
DON'T KNOW (SPONTANEOUS)	-9

L.2 Looking back, at the end of fiscal year **[Insert last complete fiscal year minus two]**, how many permanent, full-time individuals worked in this establishment? Please include all workers and managers.

INTERVIEWER: INCLUDE INTERVIEWEE IF APPLICABLE

	Number
Permanent, full-time workers in [Insert last complete fiscal year minus two]	12
IF ESTABLISHMENT WAS NOT IN BUSINESS IN [Insert last complete fiscal year minus two]	-7
DON'T KNOW (SPONTANEOUS)	-9

L.3 Coming back to fiscal year **[Insert last complete fiscal year]**, at the end of the fiscal year, how many permanent, full-time individuals in this establishment were:
INTERVIEWER: READ EACH CATEGORY

	Number	DON'T KNOW (SPONTANEOUS)
Production workers	13a	-9
Non-production workers [e.g., administration, sales]	13b	-9

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L.4 At the end of fiscal year **[Insert last complete fiscal year]**, how many permanent, full-time production workers in this establishment were:
SHOW CARD 31

	Number	DON'T KNOW (SPONTANEOUS)
In highly skilled jobs, that is professionals whose tasks require extensive theoretical and technical knowledge	14a1	-9
In semi-skilled jobs, that is technicians whose tasks require some level of mechanical or technical knowledge	14a2	-9
In unskilled jobs, those whose tasks involve no specialized knowledge	14b	-9

L.5 At the end of fiscal year **[Insert last complete fiscal year]**, in this establishment how many permanent, full-time workers in each of the following categories were **female**?
INTERVIEWER: READ OUT OPTIONS

	Number	DON'T KNOW (SPONTANEOUS)
Production workers	15a	-9
Non-production workers	15b	-9

L.6 How many full-time seasonal or temporary workers did this establishment have during **[Insert last complete fiscal year]**?
 Full-time, temporary workers are all short-term, that is for less than a year, workers with no guarantee of renewal of employment and work full-time.

	Number	
Full-time seasonal or temporary workers employed last fiscal year	16	
NO FULL-TIME SEASONAL OR TEMPORARY WORKERS	0	GO TO L.9b
DON'T KNOW (SPONTANEOUS)	-9	GO TO L.9b

L.6a How many full-time seasonal or temporary workers during fiscal year **[Insert last complete fiscal year]**, were female?

	Number
Full-time female seasonal or temporary workers employed last fiscal year	16a
DON'T KNOW (SPONTANEOUS)	-9

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L.8 What was the average length of employment of all full-time temporary workers in fiscal year **[Insert last complete fiscal year]**?

	Months
Average length full-time seasonal or temporary employment last fiscal year, in months	18
LESS THAN ONE MONTH	1
DON'T KNOW (SPONTANEOUS)	-9

L.9b What percentage or how many of the full-time permanent workers employed at the end of fiscal year **[Insert last complete fiscal year]** completed secondary school?

Please provide the percentage or number, not both.

	Percent	OR	Number
Percentage or number of full time permanent workers who completed secondary school	19b %		19b1
DON'T KNOW (SPONTANEOUS)	-9		-9

INTERVIEWER: IF L9B OR L9B1 IS 0, GO TO L10

SUR.L1 What percentage of full-time, permanent workers employed at the end of fiscal year **[insert last complete fiscal year]** had a university degree?

	Percent
Percentage of permanent full-time workers with a university degree	%
NO ONE HAS A UNIVERSITY DEGREE	0
DON'T KNOW (SPONTANEOUS)	-9

SUR11

L.10 Over fiscal year **[Insert last complete fiscal year]**, did this establishment have formal training programs for its permanent, full-time workers?

Yes	1	
No	2	GO TO SUR.L10
DON'T KNOW (SPONTANEOUS)	-9	GO TO SUR.L10

110

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L.11 Referring to the training programs run over fiscal year [Insert last complete fiscal year], what percentage of permanent, full-time workers of the following categories received formal training? If easier please provide the total numbers (provide one or the other but not both).

	Percent	OR	Number	IF NO WORKERS IN A CATEGORY WERE TRAINED	DON'T KNOW (SPONTANEOUS)
Production full-time permanent workers trained	111a %		111a1	0	-9
Non-production full-time permanent workers trained	111b %		111b1	0	-9

SUR.L10 Over the last two completed fiscal years, did this establishment have any job vacancies?

Yes	1	
No	2	GO TO QUESTION L.30
DON'T KNOW (SPONTANEOUS)	-9	GO TO QUESTION L.30

SUR110

SUR.L10a How many of these vacancies in this establishment were for [insert option]?
INTERVIEWR:READ OUT

	Number
Managers	SUR110a1
Professionals (excluding managers)	SUR110a2
Technicians and Associate Professionals	SUR110a3
Service and sales workers	SUR110a4
Plant and machine operators and assemblers	SUR110a5

IF 0, GO TO SUR.L10a2
IF 0, GO TO SUR.L10a3
IF 0, GO TO SUR.L10a4
IF 0, GO TO SUR.L10a5
IF 0, GO TO SUR.L11

SUR.L10b How many of these vacancies for [insert option] were filled?
INTERVIEWR:READ OUT

	Number
	SUR110b1
	SUR110b2
	SUR110b3
	SUR110b4
	SUR110b5

INTERVIEWR:ENTER -9 IF DON'T KNOW (SPONTANEOUS)

0								
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INTERVIEWER: IF ANY OF THE CATEGORIES IN L10a =0 OR DON'T KNOW, THEN GO TO L.30

SUR.L11	Over the last two completed fiscal years, did this establishment encounter the following problems when trying to hire workers? INTERVIEWER: PLEASE READ OUT
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	Yes	No	DON'T KNOW (SPONTANEOUS)	DOES NOT APPLY (SPONTANEOUS)
There were no or few applicants SUR111a	1	2	-9	-7
Applicants lacked required skills SUR111b	1	2	-9	-7
Applicants expected wages higher than this establishment can offer SUR111c	1	2	-9	-7
Applicants did not like working conditions SUR111d	1	2	-9	-7

L.30	Using the response options on the card; To what degree are each of the following an obstacle to the current operations of this establishment? INTERVIEWER: READ OUT OPTIONS SHOW CARD 32
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	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	(SPONTANEOUS)	
						DON'T KNOW	DOES NOT APPLY
Labor regulations 130a	0	1	2	3	4	-9	-7
Inadequately educated workforce 130b	0	1	2	3	4	-9	-7

M. BUSINESS ENVIRONMENT

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

M.1 By looking at the list of elements of the business environment please tell me which one, if any, currently represents the biggest obstacle faced by this establishment.
INTERVIEWER: SHOW RANDOMIZED LIST TO THE RESPONDENT. DO NOT READ OPTIONS.

	POSITION
1-Access to finance	m1a_finance_pos
2-Access to land	m1a_land_pos
3-Business licensing and permits	m1a_permit_pos
4-Corruption	m1a_corruption_pos
5-Courts	m1a_courts_pos
6-Crime, theft and disorder	m1a_crime_pos
7-Customs and trade regulations	m1a_trade_pos
8-Electricity	m1a_electricity_pos
9-Inadequately educated workforce	m1a_workforce_pos
10-Labor regulations	m1a_labor_pos
11-Political instability	m1a_instability_pos
12-Practices of competitors in the informal sector	m1a_informal_pos
13-Tax administration	m1a_taxadmin_pos
14-Tax rates	m1a_taxrate_pos
15-Transport	m1a_transport_pos

Biggest obstacle	m1a
DON'T KNOW (SPONTANEOUS)	-9
DOES NOT APPLY (SPONTANEOUS)	-7

NOTE: ROTATION POSITIONS VARY AS THE LIST OF OPTIONS IS RANDOMIZED

INTERVIEWER READ OUT:

I would like to ask you a few questions about this establishment's financial results. All these responses will be held in the strictest confidentiality, and neither you nor the firm will be identified. Should I continue with you or with the financial department or accounting?

IF YES, CONTINUE WITH SECTION N WITH CURRENT RESPONDENT

IF NO, CONCLUDE WITH THE RESPONDENT AND ENSURE THAT ALL SECTIONS (INLCUDING L AND N) ARE COMPLETE.

N. PERFORMANCE

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

Now, we would like to ask you a few questions about the financial results of this establishment. It is important that this information be as accurate as possible. The individual data are treated as confidential. The identity of your establishment will not be revealed at any point.

N.2 From this establishment's Income Statement for fiscal year **[Insert last complete fiscal year]**, please provide the following information:
SHOW CARD 33

INTERVIEWER: READ OUT

	SRD	DON'T KNOW (SPONTANEOUS)
Total annual cost of labor including wages, salaries, bonuses, social security payments	n2a	-9
Total annual cost of raw materials and intermediate goods used in production	n2e	-9
Total annual cost of electricity	n2b	-9

TOTAL COST OF GOODS SOLD SHOULD INCLUDE ALL ABOVE COSTS AND OTHER COSTS NOT LISTED ABOVE

Total cost of goods sold	n2p	-9
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N.2e1 From this establishment's Income Statement for fiscal year **[Insert last complete fiscal year minus one]**, please provide the total cost of raw materials and intermediate goods used in production

	SRD	DON'T KNOW (SPONTANEOUS)
Total cost of raw materials and intermediate goods used in production in [Insert last complete fiscal year minus one]	n2e1	-9

INTERVIEWER: IF DIA1A IS 4 OR 5, GO TO N7A

SUR.N1 At the **beginning** of fiscal year **[insert last complete fiscal year]**, what was the value of this establishment's total inventories of goods for sale in **SRD**?

	SRD	DON'T KNOW (SPONTANEOUS)	DOES NOT APPLY (SPONTANEOUS)
Total value of inventories at the beginning of fiscal year [insert last complete fiscal year]	SURn1	-9	-7

GO TO N7A

0									
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SUR.N2 At the **end** of fiscal year **[insert last complete fiscal year]**, what was the value of this establishment's total inventories of goods for sale?

	SRD	DON'T KNOW (SPONTANEOUS)
Total value of inventories at the end of fiscal year [insert last complete fiscal year]	SURn2	-9

N.7 Hypothetically, if this establishment were to purchase all the machinery, vehicles, and equipment it **uses now**, in their current condition and regardless of whether the establishment owns them or not, how much would they cost, independently of whether they are owned, rented or leased?

	SRD	DON'T KNOW (SPONTANEOUS)
Machinery, vehicles, and equipment	n7a	-9

INTERVIEWER: IF SECTION L OR N WILL BE COMPLETED WITH A DIFFERENT RESPONDENT, PLEASE ARRANGE FOR THOSE TO BE COMPLETED.

POST-INTERVIEW INFORMATION

INTERVIEWER READ AT THE END OF THE INTERVIEW:

The survey ends here. I would like to gather a few final details. Thank you for your time and cooperation.

A.12 Interviewer code **a12**

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A.15 Time face-to-face interview ends:

Day (dd)	Month (mm)	Year (yyyy)	Hour (00 to 23)	Minutes (00 to 59)
a15d	a15m	a15y	a15h	a15min

0								
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A.15a1 Please indicate which option best describes the main respondents position:

Owner	1
President, Executive Director, or CEO	2
Chief Financial, Chief Operational Officer (CFO/COO)	3
Operational or plant manager	4
Sales or marketing manager	5
Accountant	6
Lawyer	7
Other Administrative	8
Other Management	9
Other (Specify) <u> a15a1ax </u>	10

a15a1

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

	Position in the establishment	Years with the establishment	Gender	Email
Main respondent		a15a2a	a15a3	Email1x
Second respondent	a15a1bx	a15a2b	a15b3	Email2x
Third respondent	a15a1cx	a15a2c	a15c3	Email3x

ENTER 1 WHEN YEARS WITH THE ESTABLISHMENT IS LESS THAN ONE. FOR GENDER 1: MALE, 2: FEMALE, -8: REFUSAL

INTERVIEWER: THE SURVEY ENDS HERE. PLEASE FILL OUT THEIR REMAINING INFORMATION ON YOUR OWN

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

Truthful	1
Somewhat truthful	2
Not truthful	3

a16

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

Taken directly from establishment records	1
Estimates computed with some precision	2
Arbitrary and unreliable numbers	3
In some case taken from books and in some case estimates	4

a17

QUESTIONNAIRE NUMBER **id**

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INTERVIEWER COMMENTS:

a17x

(Problems occurred/extraordinary circumstances which could influence results)

A.18	This questionnaire was completed in:
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One visit in face-to-face interview with one person	1
One visit in face-to-face interview with different managers/staff	2
Several visits	3

STOP HERE

a18

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

a19h

a19m

0									
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SUPERVISOR SECTION

A.13 Supervisor code **a13**

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INFORMATION BASED ON LOCATION OF INTERVIEW (a3x). ENSURE A3X IS THE NAME OF AN OFFICIAL LOCALITY AND NOT A NEIGHBORHOOD

Is this city the official capital city?	a3b	Is this city the main business city?	a3c	Size of locality	a3
Yes	1	Yes	1	City with population over 1 million	2
No	2	No	2	Over 250.000 to 1 million	3
				50.000 to 250.000	4
				Less than 50.000	5

SUPERVISOR: THE DESCRIPTION OF THE ESTABLISHMENT'S MAIN PRODUCT AND ACTIVITY IS PROVIDED IN d1a1x. PLEASE REVIEW d1a1x IN ORDER TO IDENTIFY THE CORRESPONDING SECTOR CODE IN d1a2

D.1a2	PLEASE CHOOSE THE 4-DIGIT ISIC REV. 3.1 SECTOR CODE THAT BEST APPLIES TO THE ESTABLISHMENT'S MAIN ACTIVITY AND PRODUCT.
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	Code
CODE OF THE MAIN PRODUCT AND ACTIVITY	d1a2