

THE WORLD BANK ENTERPRISE SURVEY
PERU 2023

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

Additional randomization and selection information	
Selection for market competition question	competition_select
Selection for tax compliance question	tax_select
VAT applicable	vat_applicable

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

Screener Information	
Screener sector	a4b_v4
Screener region	a3a
Name of City/town/village	a3x
Screener size	a6c
Multi-establishment firm	a7
Panel	panel
Language	a1a

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

INTERVIEW BEGINS HERE**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING.**

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

The information and opinions you provide will be anonymized. Neither your name nor the name of your business will be used in any document based on this survey.

IC.1	Has the respondent provided informed consent to the data privacy protocols?
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Yes	1	ic1
No	2	

A. CONTROL INFORMATION

A.20	For this establishment, on which calendar date did the last completed fiscal year end?
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Year	Month	Day
a20y	a20m	a20d

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 traded 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

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

0									
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B.2	What percentage of this firm is owned by each of the following? SHOW CARD 2
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	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?
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Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

GO TO B.5

GO TO B.5

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 is owned by females?
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	Percent
Percentage of female ownership	b4a%
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?
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	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
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	Number
Full-time workers at start-up	b6
DON'T KNOW (SPONTANEOUS)	-9

B.6b	In what year was this establishment formally registered?
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	Year
Year establishment formally registered	b6b
DON'T KNOW (SPONTANEOUS)	-9
NEVER REGISTERED (SPONTANEOUS)	-7

TERMINATE**INTERVIEWER: PROVIDE FOUR DIGITS FOR YEAR**

PERJ.1	By looking at the list, please indicate which one represents the main reason this establishment has been registered with [Insert the name of first level of registration that defines business as formal at the national (central), provincial, or district levels] INTERVIEWER: SHOW RANDOMIZED LIST TO THE RESPONDENT. DO NOT READ OPTIONS.
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	POSITION
1-Better access to financing or loans	PERj1a_finance_pos
2-Better access to raw materials	PERj1b_raw_pos
3-Better access to infrastructure services	PERj1c_infra_pos
4-Better access to government services	PERj1d_govserv_pos
5-Lesser informal payments to pay	PERj1e_infpay_pos
6-More reliable suppliers	PERj1f_suppliers_pos
7-Better quality inputs available	PERj1g_quality_pos
8-Better access to potential customers	PERj1h_customers_pos

Main reason	PERj1
DON'T KNOW (SPONTANEOUS)	-9

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

B.7	How many years of experience working in this sector does the Top Manager have?
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	Years
Manager's experience in sector	b7
LESS THAN ONE YEAR	1
DON'T KNOW (SPONTANEOUS)	-9

0									
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B.7a	Is the Top Manager female?
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Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

b7a

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 apply to obtain an electrical connection?

Yes	1	
No	2	GO TO C.32
DON'T KNOW (SPONTANEOUS)	-9	GO TO C.32
		c3

C.4 In reference to that application, 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, was an informal gift or payment expected or requested?

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

C.31 What was the total cost to obtain that electrical connection, including application, permitting, inspection fees, and all external connection works, excluding internal wiring and connections?

	LCU
Cost of electrical connection	c31
DON'T KNOW (SPONTANEOUS)	-9

C.32 In a typical month, how many kilowatt hours (kWh) of electricity does this establishment consume? Please refer to a recent utility bill that represents a typical month of operations.

	kWh
kWh of electricity consumed	c32
DON'T KNOW (SPONTANEOUS)	-9

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

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

C.7 In a typical month, how many power outages did this establishment experience?

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

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

	Hours	Minutes
Average duration of power outages	c8a	c8b
ONE MINUTE OR LESS		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	[Insert LCUs]	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	GO TO C.12
DON'T KNOW (SPONTANEOUS)	-9	GO TO C.12
		c10

C.11 What percentage of this establishment's electricity came from those generators?

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

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

Yes	1	GO TO C.34 GO TO C.34
No	2	
DON'T KNOW (SPONTANEOUS)	-9	
		c12

C.13 In reference to that application, 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, was an informal gift or payment expected or requested?

Yes	1	
No	2	
DON'T KNOW (SPONTANEOUS)	-9	
REFUSAL (SPONTANENOUS)	-8	
		c14

C.33 What was the total cost to obtain that water connection, including application, permitting, inspection fees, and all external connection works, excluding internal piping and connections?

	LCU
Cost of water connection	c33
DON'T KNOW (SPONTANEOUS)	-9

C.34 In a typical month, how much water does this establishment consume? Please refer to a recent utility bill that represents a typical month of operations.

	Number	GO TO C.15.2
Amount of water consumed	c34	
DON'T KNOW (SPONTANEOUS)	-9	

SPECIFY UNITS

Cubic meters	1	
Gallons	2	
Cubic feet	3	
OTHER (SPECIFY)_____ c34bx_	4	
		c34b

ASK IF MANUFACTURING (ASKED IN BASELINE INTERVIEW ONLY)

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

ASK IF MANUFACTURING (ASKED IN BASELINE INTERVIEW ONLY)

C.16	In a typical month, how many incidents of insufficient water supply did this establishment experience?
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	Number	
Number of incidents of water insufficiency in a typical month	c16	
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO C.22b</i>

ASK IF MANUFACTURING (ASKED IN BASELINE INTERVIEW ONLY)

C.17	How long did these incidents of insufficient water supply last on average?
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	Hours	
Average duration of insufficient water supply	c17	
LESS THAN ONE HOUR	1	
DON'T KNOW (SPONTANEOUS)	-9	

C.15.2	Over fiscal year [Insert last complete fiscal year], did this establishment experience insufficient water supply?
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Yes	1	
No	2	<i>GO TO C.22b</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO C.22b</i>
		c152

C.16.2	In a typical month, how many incidents of insufficient water supply did this establishment experience?
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	Number	
Number of incidents of water insufficiency in a typical month	c162	
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO C.35</i>

C.17.2 How long did these incidents of insufficient water supply last on average (in hours)?

	Hours
Average duration of insufficient water supply	c172
LESS THAN ONE HOUR	1
DON'T KNOW (SPONTANEOUS)	-9

C.35 Please estimate the losses that resulted from insufficient water supply either as a percentage of total annual sales or as total annual losses.

	Percent	OR	[Insert LCUs]	DON'T KNOW (SPONTANEOUS)
Annual losses due to insufficient water supply	c35a %		c35b	-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

C.36 Over the last two years, did this establishment apply to obtain a fixed broadband internet connection?

Yes	1	
No	2	GO TO C.39
DON'T KNOW (SPONTANEOUS)	-9	GO TO C.39

c36

C.37 In reference to that application, approximately how many days did it take to obtain the fixed broadband connection from the day of the application to the day the service was received?

	Days
Wait for internet connection	c37
LESS THAN ONE DAY	1
STILL IN PROCESS	-6
APPLICATION DENIED	-5
DON'T KNOW (SPONTANEOUS)	-9

C.38 What was the total cost to obtain that internet connection, including application and installation fees?

	[Insert LCUs]
Cost of internet connection	c38
DON'T KNOW (SPONTANEOUS)	-9

C.39	Over fiscal year [Insert last complete fiscal year] , did this establishment experience any disruptions to its internet connection, including complete downtime and connection slowdowns? Please exclude disruptions that are directly due to power outages.
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Yes	1	
No	2	GO TO C.42
THE ESTABLISHMENT DOES NOT HAVE AN INTERNET CONNECTION	-7	GO TO C.42
DON'T KNOW (SPONTANEOUS)	-9	GO TO C.42
		c39

C.40	In a typical month, how many hours of internet disruptions, including complete downtime and connection slowdowns, did this establishment experience that impacted business operations?
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	Hours		Minutes
Duration of internet disruptions	c40a		
LESS THAN ONE HOUR	0	IF LESS THAN 1 HOUR	c40b
DON'T KNOW (SPONTANEOUS)	-9		-9

C.41	Please estimate the losses that resulted from the internet interruptions either as a percentage of total annual sales or as total annual losses in [Insert LCUs] .
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	Percent	OR	[Insert LCUs]	DON'T KNOW (SPONTANEOUS)
Annual losses due to internet disruptions	c41a %		c41b	-9

C.42	Using the responses on the card, please indicate how difficult would it be for this establishment to switch between internet providers? SHOW CARD 3
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Unable to change the provider	1
With some difficulty	2
With little difficulty	3
With no difficulty at all	4
THERE IS ONLY ONE AVAILABLE INTERNET PROVIDER	-7
DON'T KNOW (SPONTANEOUS)	-9
c42	

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 4
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						(SPONTANEOUS)		
		No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	DON'T KNOW	DOES NOT APPLY
Electricity	c30a	0	1	2	3	4	-9	-7

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". FOR SERVICES, "RETAIL SALE OF WOMEN'S OUTDOOR CLOTHING" NOT JUST "CLOTHING". IF MANY GOODS ARE SOLD, SUCH AS IN A GROCERY STORE OR PHARMACY, INDICATE THE TYPE OF STORE.
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	d1a1a	DETAILED DESCRIPTION OF MAIN ACTIVITY AND PRODUCT
Manufacturing of	1	d1a1x
Retail trade of	2	
Wholesale trade of	3	
Construction of	4	
Hotel	51	
Restaurant	52	
Provide services of	6	

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

ASK IF HOTEL (d1a1a is 51)

D.1a6a	What was the total number of rooms at the end of [Insert last complete fiscal year] ?
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	Number
Total number of rooms at the end of FY [insert last complete fiscal year]	d1a6a
DON'T KNOW (SPONTANEOUS)	-9

ASK ONLY IF HOTEL (d1a1a is 51)

D.1a6b	What was the total area of all the rooms at the end of [Insert last complete fiscal year] ?
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Area	d1a6b	
DON'T KNOW (SPONTANEOUS)	-9	GO TO D.1a3

SPECIFY UNITS

Square Feet	1	
Square Yards	2	
Square Meters	3	
Other (specify _____ d1a6cx)		

d1a6c

D.1a3	What percentage of total sales does this main activity or product represent?
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	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?
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	[Insert LCUs]
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

ASK IF MANUFACTURING (d1a1a is 1)

D.2a1	Looking back to fiscal year [Insert last complete fiscal year minus one] , what were this establishment's total annual sales for all products and services?
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	[Insert LCUs]
Total annual sales in fiscal year [Insert last complete fiscal year minus one]	d2a1
DON'T KNOW (SPONTANEOUS)	-9
ESTABLISHMENT WAS NOT IN BUSINESS	-7

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

d2a1x

N.3	Looking back to fiscal year [Insert last complete fiscal year minus two] , what were total annual sales for this establishment?
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	[Insert LCUs]
Total annual sales in fiscal year [Insert last complete fiscal year minus two]	n3
ESTABLISHMENT WAS NOT IN BUSINESS	-7
DON'T KNOW (SPONTANEOUS)	-9

D.3	<p>Coming back to fiscal year [Insert last complete fiscal year], what percentage of this establishment's sales were:</p> <p>INTERVIEWER: SKIP PATTERNS MUST BE FOLLOWED IN THE ORDER THEY APPEAR IN THE TABLE</p> <p>SHOW CARD 5</p>
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	Percent	DON'T KNOW (SPONTANEOUS)	
National sales	d3a %	-9	<i>IF 100, GO TO D.12</i>
Indirect exports (sold domestically to third party that exports products)	d3b %	-9	<i>IF 100, GO TO D.8</i>
Direct exports	d3c %	-9	<i>IF 0, GO TO D.8</i>
	100%		

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

ASK IF MANUFACTURING (d1a1a is 1) OR A WHOLESALE (d1a1a is 3)

D.31	In fiscal year [Insert last complete fiscal year], what was the main country (or economy) of destination for this establishment's direct exports?
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Country	d31x
DON'T KNOW (SPONTANEOUS)	-9

ASK IF MANUFACTURING (d1a1a is 1) OR A WHOLESALE (d1a1a is 3)

D.32	<p>In fiscal year [Insert last complete fiscal year], when this establishment exported goods directly, was the main point of exit an airport, a land border crossing, seaport, or waterway?</p> <p>INTERVIEWER: IF MORE THAN ONE POINT OF EXIT, CHOOSE THE ONE THROUGH WHICH THE HIGHEST VALUE OF GOODS WAS EXPORTED.</p>
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Airport	1
Land border crossing	2
Seaport or waterway	3
DON'T KNOW (SPONTANEOUS)	-9

d32

ASK IF MANUFACTURING (d1a1a is 1) OR A WHOLESALE (d1a1a is 3)

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?
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	Days		Hours
Average duration to clear customs	d4a		
LESS THAN ONE DAY	0	<i>IF LESS THAN 1 DAY</i>	d4b
DON'T KNOW (SPONTANEOUS)	-9		-9
DOES NOT APPLY (SPONTANEOUS)	-7	<i>GO TO D.34</i>	

ASK IF MANUFACTURING (BASELINE ONLY)

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

d5a**ASK IF MANUFACTURING (d1a1a is 1) OR A WHOLESALE (d1a1a is 3)**

D.33	In fiscal year [Insert last complete fiscal year] , how many days did it take on average for these directly exported goods to be released by all border control agencies, including clearance procedures prior to arrival at the point of exit until the release of all goods? (Please include all clearance procedure times until the final release, including those times prior to arrival at the point of exit, not including transport time).
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	Days
Average duration to clear border control agencies	d33a
LESS THAN ONE DAY	0
DON'T KNOW (SPONTANEOUS)	-9

**IF LESS THAN
1 DAY**

Hours
d33b
-9

ASK IF MANUFACTURING (d1a1a is 1) OR A WHOLESALE (d1a1a is 3)

D.34	In fiscal year [Insert last complete fiscal year] , as a percentage of the value of the products exported directly, what was the average cost of complying with all export requirements, including customs fees, other required payments, and payments made to customs brokers or freight forwarders, transportation freight, trade finance and insurance services? Please use the incoterm FCA.
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	Percent
FCA Costs to comply with export requirements	d34
DON'T KNOW (SPONTANEOUS)	-9

ASK IF MANUFACTURING (d1a1a is 1) OR A WHOLESALER (d1a1a is 3)

D.35	Were any of the goods directly exported ordered through electronic means and shipped by mail parcel or courier service? Please consider only consignments valued below the de minimis threshold of the destination country.
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Yes	1	
No	2	<i>GO TO D.8</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO D.8</i>
		d35

ASK IF MANUFACTURING (d1a1a is 1) OR A WHOLESALER (d1a1a is 3)

D.36	What was the average amount of time from the moment when the goods were ready to be picked up by the postal or courier service until they were delivered?
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	Days		Hours
Average duration to ship digital exports	d36a		
LESS THAN ONE DAY	0	<i>IF LESS THAN 1 DAY</i>	d36b
DON'T KNOW (SPONTANEOUS)	-9		-9

ASK IF MANUFACTURING (d1a1a is 1) OR A WHOLESALER (d1a1a is 3)

D.37	As a share of the total value of the exported goods shipped by mail parcel or courier service , what was the average cost to comply with the requirements of border control agencies, logistics, and handling? Please exclude any domestic or international taxes. Please use the incoterm DAP.
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	Percent
Average cost of digital exports	d37
DON'T KNOW (SPONTANEOUS)	-9

D.8	In which year did this establishment first export directly or indirectly?
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	Year
Began exporting directly or indirectly	d8
DON'T KNOW (SPONTANEOUS)	-9

INTERVIEWER: PROVIDE FOUR DIGITS FOR YEAR

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 each of the following: INTERVIEWER: READ EACH CATEGORY
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	Percent	NO LOSSES	DON'T KNOW (SPONTANEOUS)	NO INTERNAL SHIPMENTS MADE (DOES NOT APPLY)
Theft?	d10 %	0	-9	-7
Breakage or spoilage?	d11 %	0	-9	-7

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 6
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	Percent	DON'T KNOW (SPONTANEOUS)
Of domestic origin	d12a %	-9
Of foreign origin	d12b %	-9
	100%	

IF 0, GO TO D.30

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

D.13	Were any of those material inputs or supplies [or finished goods and materials purchased to resell] imported directly?
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Yes	1	
No	2	GO TO D.30
DON'T KNOW (SPONTANEOUS)	-9	GO TO D.30
	d13	

D.38	In fiscal year [Insert last complete fiscal year] , what was the main country (or economy) of origin for this establishment's direct imports of material inputs or supplies [or finished goods and materials purchased to resell] ?
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Country	d38x
DON'T KNOW (SPONTANEOUS)	-9

D.39	<p>In fiscal year [Insert last complete fiscal year], when this establishment imported material inputs or supplies [or finished goods and materials purchased to resell], was the main point of entry an airport, a land border crossing, or a seaport or waterway?</p> <p>INTERVIEWER: IF MORE THAN ONE POINT OF ENTRY, CHOOSE THE ONE THROUGH WHICH THE HIGHEST VALUE OF GOODS WAS IMPORTED.</p>
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Airport	1
Land border crossing	2
Seaport or waterway	3
DON'T KNOW (SPONTANEOUS)	-9

d39

(ASKED IN BASELINE INTERVIEW ONLY)

D.14	When this establishment imported these material inputs or supplies, how many days did it take on average from the time these goods arrived at their point of entry (e.g. port, airport) until the time these goods could be claimed from customs?
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	Days
Average number of days to clear customs	d14
LESS THAN ONE DAY	1
DON'T KNOW (SPONTANEOUS)	-9
DOES NOT APPLY (SPONTANEOUS)	-7

GO TO D.43

D.14	When this establishment imported these material inputs or supplies [or finished goods and materials purchased to resell] , how many days did it take on average from the time these goods arrived at their point of entry (e.g., port, airport) until the time these goods could be claimed from customs?
-------------	--

	Days
Average duration to clear customs	d14a
LESS THAN ONE DAY	0
DON'T KNOW (SPONTANEOUS)	-9
DOES NOT APPLY (SPONTANEOUS)	-7

IF LESS THAN 1 DAY**GO TO D.43**

Hours
d14b
-9

D.15a

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**D.40**

In fiscal year **[Insert last complete fiscal year]**, how long did it take on average for these directly imported material inputs and supplies **[or finished goods and materials purchased to resell]** to be released by **all** border control agencies, including clearance procedures prior to arrival at the point of entry until all material inputs and supplies were released?

(Please include all clearance procedure times until the release, including those times prior to arrival at the point of entry).

	Days		Hours
Average duration to clear border control agencies	d40a		
LESS THAN ONE DAY	0	IF LESS THAN 1 DAY	d40b
DON'T KNOW (SPONTANEOUS)	-9		-9

D.41

In fiscal year **[Insert last complete fiscal year]**, as a percentage of the value of the products directly imported, what was the average cost to comply with all import requirements, including customs fees, other required payments, and payments made to customs brokers or freight forwarders? Please use the incoterm DAP.

	Percent
DAP Costs to comply with import requirements	d41
DON'T KNOW (SPONTANEOUS)	-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 7

		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

O. COMMERCIAL DISPUTES**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**

I would like to ask you a few questions about commercial disputes of this establishment.

O.1 In the last three years, has this establishment had any commercial dispute, that is a failure of any party to meet the terms or expectations of an agreement, including a contract, or a business relationship?

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

GO TO O.3

GO TO O.3

o1

O.2 Did this establishment use courts, arbitration, mediation, or conciliation to resolve or attempt to resolve its commercial disputes?

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

o2

O.3

Using the scale on the card, please indicate to what extent you agree with the following statements in relation **to commercial disputes**.

INTERVIEWER: READ OUT OPTIONS
SHOW CARD 8

	Strongly disagree	Tend to disagree	Tend to agree	Strongly agree	(SPONTANEOUS)	
					DOES NOT APPLY	DON'T KNOW
Arbitration is a reliable alternative to courts for resolving commercial disputes o3a	1	2	3	4	-7	-9
Mediation or conciliation is a reliable alternative to courts for resolving commercial disputes o3b	1	2	3	4	-7	-9

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 over fiscal year [Insert last complete fiscal year]

R.1**ASK IF MANUFACTURING**

Over fiscal year [Insert last complete fiscal year], what best describes what happened at this establishment when a problem in the production process arose?

ASK IF SERVICES

Over fiscal year [Insert last complete fiscal year], What best describes what happened at this establishment when a problem in the provision of services arose?

SHOW CARD 9

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****R.3**

How many performance indicators were monitored?

INTERVIEWER: READ OUT

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

r3

R.4	<p>ASK IF MANUFACTURING</p> <p>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.</p>
	<p>ASK IF SERVICES</p> <p>Over fiscal year [Insert last complete fiscal year], did this establishment have service provision targets? Examples of service provision targets are sales, customer satisfaction, efficiency, waste, or on-time delivery.</p>

Yes	1	
No	2	GO TO R.8
DON'T KNOW (SPONTANEOUS)	-9	GO TO R.8
		r4

R.5	<p>ASK IF MANUFACTURING</p> <p>What best describes the time frame of those production targets?</p>
	<p>ASK IF SERVICES</p> <p>What best describes the time frame of those service provision targets?</p>
SHOW CARD 10	

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	<p>ASK IF MANUFACTURING</p> <p>How easy or difficult was it for this establishment to achieve those production targets overall?</p>
	<p>ASK IF SERVICES</p> <p>How easy or difficult was it for this establishment to achieve those service provision targets overall?</p>
SHOW CARD 11	

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

R.7	ASK IF MANUFACTURING Who was aware of the production targets at this establishment?
	ASK IF SERVICES Who was aware of the service provision targets at this establishment?
	SHOW CARD 12

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	What were those 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 13
-------------	--

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

R.11	Over fiscal year [Insert last complete fiscal year] , when was an under-performing non-manager reassigned or dismissed? SHOW CARD 14
-------------	---

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 [or offered its main service]? SHOW CARD 15
------------	---

Local – main product [or service] sold mostly in same municipality where establishment is located	1	
National – main product [or service] sold mostly across the country where establishment is located	2	
International	3	
DON'T KNOW (SPONTANEOUS)	-9	GO TO E.6
		e1

E.2	How many competitors did this establishment's main product [or service] face in this main market?
------------	---

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

IF E.1 IS INTERNATIONAL (3), GO TO E.6

E.31	In fiscal year [Insert last complete fiscal year], what was the market share of your largest competitor, in terms of sales, in the market where this establishment sold its main product or offered its main service? INTERVIEWER: READ OUT
-------------	---

IF competition_select == 1

Above 90%	1	
Between 50% and 90%	2	
Below 50%	3	
DON'T KNOW (SPONTANEOUS)	-9	
		e31a

IF competition_select == 0

	Market share
Market share of largest competitor	e31b
DON'T KNOW (SPONTANEOUS)	-9

E.6	Does this establishment presently 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.32	Over the last year, has the level of competition in the market where this establishment sold its main product or offered its main service changed? INTERVIEWER: READ OUT
-------------	--

Yes, there is more competition	1
Yes, there is less competition	2
No change	3
DON'T KNOW (SPONTANEOUS)	-9

e32

E.33	Considering the main market for this establishment's main product or service, can this establishment increase its prices more so than its competitors can without losing customers?
-------------	---

Yes	1
No	2
PRICES ARE REGULATED	-7
PRICES ARE SET BY HEADQUARTERS	-6
DON'T KNOW (SPONTANEOUS)	-9

e33

E.34	Are there any State Owned Enterprises (SOEs) operating in this establishment's main market?
-------------	---

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

GO TO E.30

GO TO E.30

e34

E.35	How does the presence of State Owned Enterprises in this establishment's main market, affect its ability to grow and expand? INTERVIEWER: READ OUT
-------------	--

	Positively	Not at all	Negatively	NO STATE OWNED ENTERPRISE	DON'T KNOW
SOE presence affects establishment's growth e35	1	2	3	-7	-9

PLEASE READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

Now, I would like to ask you about another topic. I will give you a few scenarios and ask your opinion.

PERD.6 [insert name] operates a business. Almost nobody does their shopping in the neighborhood due to frequent problems with insecurity. The neighborhood suffers from frequent water outages. The streets and sidewalks in the area need repairs, and the trash is almost never collected.

Please could you tell me, how much confidence do you have in public administration as a provider of services for the operations of [insert name]'s business?

INTERVIEWER: READ OUT

No confidence at all	1
Very low confidence	2
Low confidence	3
High confidence	4
Very high confidence	5
Complete confidence	6
DON'T KNOW (SPONTANEOUS)	-9

PERd6

PERD.7 [insert name] operates a business. Some locals do their daily shopping in the area. A few months ago, there was a series of robberies in the neighborhood. The water supply is more or less regular. Recently some streets and sidewalks were repaired, but only in some parts of the neighborhood. Trash collection is weekly, but it is unpredictable.

Please could you tell me, how much confidence do you have in public administration as a provider of services for the operations of [insert name]'s business?

INTERVIEWER: READ OUT

No confidence at all	1
Very low confidence	2
Low confidence	3
High confidence	4
Very high confidence	5
Complete confidence	6
DON'T KNOW (SPONTANEOUS)	-9

PERd7

PERD.8 [insert name] operates a business. Many people come to the neighborhood to do their shopping due to the high level of security and cleanliness. Public spaces and parks are well maintained. Generally, water supply to the area arrives without outages. Trash is collected daily including on the weekends.

Please could you tell me, how much confidence do you have in public administration as a provider of services for the operations of [insert name]'s business?

INTERVIEWER: READ OUT

No confidence at all	1
Very low confidence	2
Low confidence	3
High confidence	4
Very high confidence	5
Complete confidence	6
DON'T KNOW (SPONTANEOUS)	-9

PERd8

PERD.5 Please could you tell me, how much confidence do you have in public administration as a provider of services for the operations of your business?

INTERVIEWER: READ OUT

No confidence at all	1
Very low confidence	2
Low confidence	3
High confidence	4
Very high confidence	5
Complete confidence	6
DON'T KNOW (SPONTANEOUS)	-9

PERd5

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 16

	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

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	GO TO H.5
DON'T KNOW (SPONTANEOUS)	-9	GO TO H.5
		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

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

Yes	1	
No	2	GO TO H.8
DON'T KNOW (SPONTANEOUS)	-9	GO TO H.8
		h5

H.6	<p>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.</p>
------------	--

Description

DESCRIPTION SHOULD BE AS DETAILED AS POSSIBLE	h6x
--	------------

H.7	<p>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.</p>
------------	--

IF THERE IS NOTHING SIMILAR ENTER "COMPLETELY NEW"

Description

DESCRIPTION SHOULD BE AS DETAILED AS POSSIBLE	h7x
--	------------

H.8	<p>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?</p>
------------	--

Yes	1	
No	2	GO TO F.1
DON'T KNOW (SPONTANEOUS)	-9	GO TO F.1
		h8

H.9	<p>How much did this establishment spend on research and development activities that year, either in-house or contracted with other companies?</p>
------------	--

	[Insert LCUs]
Cost of research and development activities	h9
DON'T KNOW (SPONTANEOUS)	-9

F. CAPACITY**ASK IF MANUFACTURING**

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

ASK IF MANUFACTURING

F.2	And, 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

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(SPONT ANEOUS)
Owned by this establishment	g1a %	-9	-7

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

Yes	1	
No	2	GO TO G.31
DON'T KNOW (SPONTANEOUS)	-9	GO TO G.31
	g2	

G.3 In reference to that application, 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, was an informal gift or payment expected or requested?

Yes	1	
No	2	
DON'T KNOW (SPONTANEOUS)	-9	
REFUSAL (SPONTANEOUS)	-8	
	g4	

G.31	Over the last two years, did this establishment apply for an occupancy permit, certifying a building as compliant with applicable laws and code?
-------------	--

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

IF NOT RETAIL, GO TO G.30 (RETAIL GO TO G.5)
IF NOT RETAIL, GO TO G.30 (RETAIL GO TO G.5)

IF NOT RETAIL, GO TO G.30 (RETAIL GO TO G.5)

g31

G.32	In reference to the most recent application, approximately how many days did it take to obtain the occupancy permit from the day of the application to the day the permit was granted?
-------------	--

	Days
Wait for occupancy permit	g32
LESS THAN ONE DAY	1
STILL IN PROCESS	-6
APPLICATION DENIED	-5
DON'T KNOW (SPONTANEOUS)	-9

G.33	What was the total cost to obtain that occupancy permit, including, application, inspection, and other required fees?
-------------	---

	[LCU]
Cost of obtaining an occupancy permit	g33
DON'T KNOW (SPONTANEOUS)	-9

ASK THE FOLLOWING QUESTION ONLY FOR RETAIL ESTABLISHMENTS. OTHERWISE GO TO G.30

G.5	What is the total selling area of this establishment?
------------	---

Area		
DON'T KNOW (SPONTANEOUS)	-9	GO TO G30
		g5a

SPECIFY UNITS

Square Feet	1
Square Yards	2
Square Meters	3
OTHER (SPECIFY) <u>g5bx</u>	4

g5b

0								
---	--	--	--	--	--	--	--	--

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 16
-------------	---

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

GE. GREEN ECONOMY**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**

And now I would like to ask you about climate practices in this establishment over fiscal year **[Insert last complete fiscal year]**

GE.1 In fiscal year **[Insert last complete fiscal year]**, did this firm have strategic objectives that mention environmental or climate change issues?

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

ge1

GE.2 In fiscal year **[Insert last complete fiscal year]**, how many times has this establishment been impacted by: **INTERVIEWER: READ OUT OPTIONS**

	Number of events	DON'T KNOW (SPONTANEOUS)
Floods	ge2a	-9
Hurricanes or Tornados	ge2b	-9
Earthquakes	ge2c	-9
Other Natural Disasters	ge2d	-9

GE.3 In fiscal year **[Insert last complete fiscal year]**, did this establishment experience damage of physical assets due to extreme weather events such as storms, floods, droughts or landslides?

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

GO TO GE.4
GO TO GE.4
 ge3

GE.3a Please estimate the monetary damage of physical assets that resulted from extreme weather events.

	[Insert LCUs]	DON'T KNOW (SPONTANEOUS)
Monetary damage of assets	ge3a	-9

GE.4 Does the establishment have any early warning systems for extreme weather events?

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

ge4

GE.5 Does the establishment have any insurance for damages from extreme weather?

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

ge5

GE.6 Over the last three years, did this establishment monitor its energy consumption?

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

GO TO GE.7

GO TO GE.7

ge6

GE.6a Over the last three years, did this establishment have targets for energy consumption?

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

GO TO GE.7

GO TO GE.7

ge6a

GE.6b Over the last three years, what sort of targets for energy consumption did this establishment have?
SHOW CARD 22

Quantity targets only	1
Expenditure targets only	2
Both quantity and expenditure targets	3
DON'T KNOW (SPONTANEOUS)	-9
REFUSAL (SPONTANEOUS)	-8

ge6b

GE.7 Over the last three years, did this establishment monitor its CO₂ emissions?

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

GO TO GE.8

GO TO GE.8

ge7

GE.7a	Over the last three years, did this establishment have targets for CO₂ emissions ?
--------------	--

Yes	1	GO TO GE.8 GO TO GE.8
No	2	
DON'T KNOW (SPONTANEOUS)	-9	
		ge7a

GE.7b	Over the last three years, what sort of targets for CO ₂ emissions did this establishment have? SHOW CARD 23
--------------	---

Only quantity per unit of output targets	1	ge7b
Only absolute quantity targets	2	
Absolute and per unit of output quantity targets	3	
DON'T KNOW (SPONTANEOUS)	-9	
REFUSAL (SPONTANEOUS)	-8	

GE.8	Over the last three years, did this establishment adopt any of the following measures with the aim to reduce emissions, waste or pollution? INTERVIEWER: READ OUT
-------------	---

	(SPONTANEOUS)				
	Yes	No	DOES NOT APPLY	DON'T KNOW	
Heating and cooling improvements	1	2	-7	-9	ge8a
More climate-friendly energy generation on site	1	2	-7	-9	ge8b
Machinery and equipment upgrades	1	2	-7	-9	ge8c
Energy management	1	2	-7	-9	ge8d
Waste minimization, recycling and waste management	1	2	-7	-9	ge8e
Air pollution control measures	1	2	-7	-9	ge8f
Water management	1	2	-7	-9	ge8g
Upgrades of vehicles	1	2	-7	-9	ge8h
Improvements to lighting systems	1	2	-7	-9	ge8i
Other pollution control measures	1	2	-7	-9	ge8j

GE.9	Which of the following goods and technologies have been adopted and currently used by this establishment? INTERVIEWER: READ OUT
-------------	--

QUESTIONNAIRE NUMBER **id**

0								
---	--	--	--	--	--	--	--	--

			(SPONTANEOUS)		
	Yes	No	DOES NOT APPLY	DON'T KNOW	
Energy Star rated appliances	1	2	-7	-9	ge9a
LEED certified building	1	2	-7	-9	ge9b
Energy efficient lighting	1	2	-7	-9	ge9c
Programmable thermostats	1	2	-7	-9	ge9d
Cogeneration (combined heat and power)	1	2	-7	-9	ge9e
Energy efficient manufacturing equipment	1	2	-7	-9	ge9f

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	GO TO I.3
DON'T KNOW (SPONTANEOUS)	-9	GO TO I.3
		i1

I.2 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	[Insert LCUs]	DON'T KNOW (SPONTA NEOUS)
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	GO TO I.30
DON'T KNOW (SPONTANEOUS)	-9	GO TO I.30
		i3

I.4 Please estimate those losses either as a percentage of total annual sales or as total annual losses?

	As a percentage of sales	OR	[Insert LCUs]	DON'T KNOW (SPONTAN EOUS)
Annual losses	i4a %		i4b	-9

QUESTIONNAIRE NUMBER **id**

0								
---	--	--	--	--	--	--	--	--

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 14
-------------	--

						(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 were financed from each of the following sources?
SHOW CARD 17

	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 those purchases of:
INTERVIEWER: READ OUT

	[Insert LCUs]	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

K.5	Over fiscal year [Insert last complete fiscal year] , please estimate the proportion or [Insert LCU] amount of this establishment's total purchases of fixed assets that were financed from the following sources: SHOW CARD 18
------------	---

	Percent	OR	Amount [Insert LCU]	DON'T KNOW (SPONT ANEOU S)
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**

ASK THE FOLLOWING QUESTION ONLY FOR MANUFACTURING ESTABLISHMENTS. OTHERWISE GO TO K.6

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 those purchases of: INTERVIEWER: READ OUT
----------------------------	---

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

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** Does this establishment have an overdraft facility?

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

k7**(BASELINE ONLY)****K.8** Does this establishment have a line of credit or a loan from a financial institution?

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

GO TO K.15d**GO TO K.15d****k8****K.8.2** Does this establishment have a line of credit or a loan from a financial institution?
INTERVIEWER: READ OUT

Yes, a loan only	1
Yes, a line of credit only	2
Yes, both a line of credit and a loan	3
No	4
DON'T KNOW (SPONTANEOUS)	-9

GO TO K.15d**GO TO K.15d****k82****K.9** Referring to the most recent line of credit or loan, what type of financial institution granted this loan?
SHOW CARD 19

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 In what year was this 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

K.11 What was its value at the time of approval?

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

K.13 Did this financing require collateral?

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

k13

K.14 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 What was the approximate value of the collateral required?

	[Insert LCUs]
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

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

	[Insert LCUs]
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

(BASELINE ONLY)

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	GO TO K.21
DON'T KNOW (SPONTANEOUS)	-9	GO TO K.21

k16

K.16.2 Referring again to fiscal year [Insert last complete fiscal year], did this establishment apply for any lines of credit or loans?
INTERVIEWER: READ OUT

Yes, a loan only	1	GO TO K.20
Yes, a line of credit only	2	GO TO K.20
Yes, both a line of credit and a loan	3	GO TO K.20
No	4	GO TO K.21
DON'T KNOW (SPONTANEOUS)	-9	GO TO K.21

k162

K.17	What was the main reason why this establishment did not apply for any line of credit or loan? SHOW CARD 20
-------------	---

No need for a loan - establishment had enough 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 the 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**ASK IF K.16.2 IS 1 OR 3 (AT LEAST ONE APPLICATION FOR A LOAN)**

K.31	What was the total cost of all fees paid to apply for the loan, including origination, service, processing, and insurance fees?
-------------	---

	LCUs
Cost of applying for the loan	k31
DON'T KNOW (SPONTANEOUS)	-9

ASK IF K.16.2 IS 1 OR 3 (AT LEAST ONE APPLICATION FOR A LOAN) AND k20 IS NOT "STILL IN PROCESS"

K.32	How many days did it take from the moment the application was submitted until the decision was communicated?
-------------	--

	Days
Days to review loan application and receive a decision	k32
DON'T KNOW (SPONTANEOUS)	-9

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.33	What percentage of total sales for a typical month does this establishment receive from its customers through electronic payments, that is other than cash or check payments?
-------------	---

	Percentage
Percentage of sales through e-payments	k33 <i>IF 0, GO TO K.38</i>
DON'T KNOW (SPONTANEOUS)	-9 <i>GO TO K.38</i>

K.34	In a typical month, which of the following electronic payment methods accounts for the largest proportion of this establishment's sales in value? SHOW CARD 21
-------------	--

Internet and mobile banking, including direct debit transfer	1
Debit cards	2
Credit cards	3
E-money and e-wallet, excluding mobile money	4
Mobile money	5
Other electronic payment methods	6
DON'T KNOW (SPONTANEOUS)	-9 <i>GO TO K.38</i>

k34

K.35	How many days does it take on average from when payment is made until the money is received using [insert the e-payment method to receive a payment identified in K.34] ?
-------------	--

	Days
Days to receive money	k35
PAYMENT RECEIVED IN LESS THAN A DAY	0
DON'T KNOW (SPONTANEOUS)	-9

K.36	As a percentage of a typical transaction, how much does it cost to accept payments, using [insert the e-payment method to receive a payment identified in K.34] ?
-------------	--

	As a percentage of payments	DON'T KNOW (SPONTANEOUS)
Cost per transaction	k36 %	-9

K.37	What is the cost per month to accept payments using [insert the e-payment method to receive a payment identified in K.34] ? Please include all monthly fees, subscription costs, point of sales terminal costs, maintenance and other costs. INTERVIEWER: IF COSTS ARE ON AN ANNUAL BASIS, PLEASE DIVIDED BY 12
-------------	--

	[Insert LCUs]	DON'T KNOW (SPONTANEOUS)
Monthly fees, subscription costs, POS terminal cost, maintenance, and other costs.	k37	-9

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:
Now let's talk about how this establishment makes payments, including to suppliers.

K.38	What percentage of the total payments that this establishment makes in a typical month is done through electronic payments, that is other than cash or check payments, excluding payments to government and payroll?
-------------	--

	Percentage	
Percentage of purchases through e-payments	k38	IF 0, GO TO K.30
DON'T KNOW (SPONTANEOUS)	-9	GO TO K.30

K.39	In a typical month, which of the following electronic payment methods accounts for the largest proportion of this establishment's payments in value? SHOW CARD 21
-------------	---

Internet and mobile banking, including direct debit transfer	1	
Debit cards	2	
Credit cards	3	
E-money and e-wallet, excluding mobile money	4	
Mobile money	5	
Other electronic payment methods	6	
DON'T KNOW (SPONTANEOUS)	-9	GO TO K.30
		k39

K.40	As a percentage of a typical transaction, how much does it cost to make payments, using [Insert most important e-payment method to make a payment (option identified in K.39)]?
-------------	--

	As a percentage of payments	DON'T KNOW (SPONTANEOUS)
Cost per transaction	k40 %	-9

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 22
-------------	--

						(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 20**(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.31

Please tell me if you strongly disagree, tend to disagree, tend to agree, or strongly agree with the statement: "In resolving commercial disputes, courts are independent and impartial".

SHOW CARD 23**(SPONTANEOUS)**

	Strongly disagree	Tend to disagree	Tend to agree	Strongly agree	DON'T KNOW	DOES NOT APPLY
"In resolving commercial disputes, courts are independent and impartial" j31	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.34
DON'T KNOW (SPONTANEOUS)	-9	GO TO J.34
	j3	

J.4 How many times over the last year?

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

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.32 Did any of these visits or meetings consist of an external tax audit?

Yes	1	
No	2	GO TO J.34
DON'T KNOW (SPONTANEOUS)	-9	GO TO J.34
		j32

J.33 How many weeks did it take between the first interaction with the auditors and when the final audit report was received?

	Weeks
Duration of audit in weeks	j33
ONE WEEK OR LESS	1
AUDIT IS ONGOING	-5
DON'T KNOW (SPONTANEOUS)	-9

J.34 In fiscal year **[Insert last complete fiscal year]**, did this establishment outsource any tax-related activities, including the preparation, filing, or payment of profit taxes, labor taxes, VAT, GST, or sales taxes?
INTERVIEWER: READ OUT OPTIONS

Yes, fully	1
Yes, partially	2
No	3
DON'T KNOW (SPONTANEOUS)	-9
	j34

If tax_select==1

J.35a	What was the total annual number of hours required for the preparation, filing, and payment of all taxes (profit taxes, labor taxes, VAT, GST, or sales taxes) for this establishment in fiscal year [Insert last complete fiscal year] ?
--------------	---

	Hours
Total hours to prepare, file, and pay taxes	j35a
ONE HOUR OR LESS	1
DON'T KNOW (SPONTANEOUS)	-9

If tax_select==0

J.35b	What was the average number of hours per month required for the preparation, filing, and payment of all taxes (profit taxes, labor taxes, VAT, GST, or sales taxes) for this establishment in fiscal year [Insert last complete fiscal year] ?
--------------	---

	Hours
Average number of hours to prepare, file, and pay taxes	j35b
ONE HOUR OR LESS	1
DON'T KNOW (SPONTANEOUS)	-9

J.36	In fiscal year [Insert last complete fiscal year] , did this establishment file its taxes electronically? INTERVIEWER: READ OUT OPTIONS
-------------	---

Yes, fully	1
Yes, partially	2
No	3
DON'T KNOW (SPONTANEOUS)	-9

j36

J.37	In fiscal year [Insert last complete fiscal year] , did this establishment pay its taxes electronically? INTERVIEWER: READ OUT OPTIONS
-------------	--

Yes, fully	1
Yes, partially	2
No	3
DON'T KNOW (SPONTANEOUS)	-9

j37

If vat_applicable==1

J.38	In the last three years, has this establishment applied for a VAT refund?
-------------	---

Yes	1	
No	2	GO TO J40
VAT REFUND NOT AVAILABLE	-6	GO TO J.6a
NOT VAT ELIGIBLE	-7	GO TO J.6a
DON'T KNOW (SPONTANEOUS)	-9	GO TO J.6a

j38

If vat_applicable==1

J.39	In reference to the most recent VAT refund, how many weeks did it take from when the establishment submitted its application until the refund was received?
-------------	---

	Weeks	
Weeks to receive VAT refund	j39	<i>GO TO J.6a</i>
ONE WEEK OR LESS	1	<i>GO TO J.6a</i>
REFUND STILL OUTSTANDING	-5	<i>GO TO J.6a</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO J.6a</i>

If vat_applicable==1

J.40	What was the main reason this establishment did not apply for a VAT refund? SHOW CARD 24
-------------	--

VAT refunds take too long to receive	1
The application for a VAT refund is too complicated	2
The establishment did not need to apply for a VAT refund	3
Other	4
DON'T KNOW (SPONTANEOUS)	-9

j40

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

Yes	1	
No	2	<i>GO TO J.42</i>
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO J.42</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.41 How difficult does this establishment find the administrative requirements to participate in a public tender? Please consider the time and resources that the establishment used in order to prepare a bid.
SHOW CARD 25

Very difficult	1
Moderately difficult	2
Somewhat difficult	3
Not difficult at all	4
DON'T KNOW (SPONTANEOUS)	-9

j41

J.42 Over the last three years, has this establishment held a government contract?

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

j42

J.43 Approximately, how many days does it take for this establishment to receive payment under a government contract after it has delivered an invoice to the relevant authority? If this establishment has received multiple payments or contracts, please provide the time of the largest payment.

	Days
Wait for payment	j43
ONE DAY OR LESS	1
DON'T KNOW (SPONTANEOUS)	-9

J.7 It is said that establishments are sometimes required to make gifts or informal payments to public officials to “get things done” regarding 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	[Insert LCUs]	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 apply to obtain an import license?

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

j10

J.11	Approximately how many days did it take to obtain it 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, 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 apply to obtain an operating license?
-------------	---

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

GO TO J.30
GO TO J.30
j13

J.14	Approximately how many days did it take to obtain it 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, was an informal gift or payment expected or requested?
-------------	--

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

j15

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 21**

							(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

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 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**

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

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

L.2	<p>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.</p> <p>INTERVIEWER: INCLUDE INTERVIEWEE IF APPLICABLE</p>
------------	---

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

ASK IF MANUFACTURING

L.3	<p>At the end of fiscal year [Insert last complete fiscal year], how many permanent, full-time individuals worked in this establishment were:</p> <p>INTERVIEWER: READ EACH CATEGORY</p>
------------	--

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

ASK IF MANUFACTURING

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 27
------------	---

	Number	DON'T KNOW (SPONTANEOUS)
In highly skilled jobs, that is professionals or technicians whose tasks require extensive theoretical and technical knowledge	l4a1	-9
In semi-skilled jobs, that is workers whose tasks require some level of mechanical or technical knowledge	l4a2	-9
In low-skilled jobs, those whose tasks involve no specialized knowledge	l4b	-9

ASK IF SERVICES

L.4	At the end of fiscal year [Insert last complete fiscal year] , how many permanent, full-time workers in this establishment were: SHOW CARD 27
------------	--

	Number	DON'T KNOW (SPONTANEOUS)
In highly skilled jobs, that is professionals or technicians whose tasks require extensive theoretical and technical knowledge	l4a1	-9
In semi-skilled jobs, that is workers whose tasks require some level of mechanical or technical knowledge	l4a2	-9
In low-skilled jobs, those whose tasks involve no specialized knowledge	l4b	-9

ASK IF MANUFACTURING

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

	Number	DON'T KNOW (SPONTANEOUS)
Production workers	l5a	-9
Non-production workers	l5b	-9

0								
---	--	--	--	--	--	--	--	--

ASK IF SERVICES

L.5	At the end of fiscal year [Insert last complete fiscal year] , in this establishment how many permanent, full-time individuals were female ?
------------	--

	Number	DON'T KNOW (SPONTANEOUS)
Female permanent full-time workers	15	-9

L.9b	What percentage or how many of the full-time permanent individuals 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

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 L.31
DON'T KNOW (SPONTANEOUS)	-9	GO TO L.31
		110

ASK IF MANUFACTURING

L.11	Referring to those training programs, 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). INTERVIEWER: READ EACH CATEGORY
-------------	---

	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

L.12	Referring to those training programs, what percentage of female, permanent, full-time workers received formal training? If easier, please provide the total numbers (provide one or the other but not both).
-------------	--

	Percent	OR	Number	IF NO FEMALE WORKERS WERE TRAINED	DON'T KNOW (SPONTANEOUS)
Female full-time permanent workers trained	112a %		112a1	0	-9

L.31	During fiscal year [insert the last fiscal year] , how many new permanent full-time workers did the establishment need to hire?
-------------	--

	Workers
Number of permanent full-time workers needed	131
NO NEED TO HIRE ANY NEW PERMANENT FULL-TIME WORKERS	0
DON'T KNOW (SPONTANEOUS)	-9

GO TO L.34

GO TO L.34

L.32	During fiscal year [insert the last fiscal year] , how many permanent full-time workers were hired?
-------------	--

	Workers
Number of permanent full-time workers hired	132
NO HIRES	0
DON'T KNOW (SPONTANEOUS)	-9

GO to L.33 if L32 is below L31

GO TO L.34

L.33	During fiscal year [insert the last fiscal year] , what was the main reason why this establishment did not hire more permanent full-time workers? SHOW CARD 28
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Non-wage labor costs were too high	1
Legally required minimum wage or cost of dismissal were too high	2
Lack of skilled labor	3
Competitive labor costs and benefits were too high	4
Not enough budget or headquarters did not authorize the hiring	5
Other	6
DON'T KNOW (SPONTANEOUS)	-9

133

L.34	In the last three years, has this establishment dismissed any permanent, full-time workers?
-------------	---

Yes	1	
No	2	GO TO L.1a
DON'T KNOW (SPONTANEOUS)	-9	GO TO L.1a
		134

L.35	How many weeks did it typically take, from the time the notice of dismissal was provided to the worker until the worker was removed from the establishment's payroll? Please include all pre-notice requirements, notifications, and wait times.
-------------	--

	Weeks
Weeks to dismiss permanent, full-time worker	135
ONE WEEK OR LESS	1
STILL IN PROCESS	-6
DON'T KNOW (SPONTANEOUS)	-9

L.36	How many weeks of salary was the typical severance payment for a dismissed permanent, full-time worker? Please include pay and benefits but exclude unpaid salaries for time already worked.
-------------	--

	Weeks
Weeks of salary paid for severance	136
NO SEVERANCE WAS PAID	0
DON'T KNOW (SPONTANEOUS)	-9

L.1a	At the end of fiscal year [Insert last complete fiscal year] , how many permanent, part-time individuals worked in this establishment? Please include all workers and managers. Permanent, part-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 for less than a full shift.
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	Number
Part-time workers employed last fiscal year	11a
NO PART-TIME WORKERS	0
DON'T KNOW (SPONTANEOUS)	-9

L.6	<p>How many full-time seasonal or temporary workers did this establishment have during fiscal year [Insert last complete fiscal year]?</p> <p>Full-time, seasonal or 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.</p>
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	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 were female?
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	Number
Full-time female seasonal or temporary workers employed last fiscal year	16a
DON'T KNOW (SPONTANEOUS)	-9

L.8	What was the average length of employment of all full-time temporary workers in fiscal year [Insert last complete fiscal year] ?
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	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.37	Over the last three years, has this establishment been involved in any labor disputes? Labor disputes include any formal disagreements over salary, benefits, health and safety, dismissal, or other labor-related issue. Labor disputes could involve individual workers or a group of workers (collective dispute).
-------------	---

Yes	1	
No	2	GO TO L.40
DON'T KNOW (SPONTANEOUS)	-9	GO TO L.40
		137

L.38 How many months did it typically take from the moment the dispute arose until it got resolved, whether through an agreement, court decision, or other means?

	Months
Time to resolve a labor dispute	138
ONE MONTH OR LESS	1
NO DISPUTE HAS BEEN RESOLVED	-7
DON'T KNOW (SPONTANEOUS)	-9

GO TO L.40

L.39 How much did the resolution of the dispute typically cost this establishment, including all fines or dues to either party, if any?

	[Insert LCUs]
Cost to resolve a labor dispute	139
DON'T KNOW (SPONTANEOUS)	-9

L.40 During fiscal year **[insert the last fiscal year]**, in reference to workplace health and safety, was this establishment visited or inspected by a government labor inspector or has it been required to meet with one?

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

GO TO L.30

GO TO L.30

140

L.41 As a result of these inspections, was a report issued to the establishment by the inspectorate?
If there has been more than one inspection, please consider the latest **completed** inspection.

Yes	1
No	2
NO INSPECTION HAS BEEN CONCLUDED	-5
DON'T KNOW (SPONTANEOUS)	-9

141

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 29
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						(SPONTANEOUS)	
	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	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 anonymized, 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 (INCLUDING 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. All information you provide will be anonymized, and neither your name nor the name of your establishment will be used in any document based on this survey.

N.2	From this establishment's Income Statement for fiscal year [Insert last complete fiscal year] , please provide the following in [LCUs] : SHOW CARD 30
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INTERVIEWER: READ OUT	[Insert LCUs]	(SPONTANEOUS)	
		DON'T KNOW	DOES NOT APPLY
Total annual cost of labor including wages, salaries, bonuses, social security payments	n2a	-9	
Of which total annual costs of social security payments and employment-based taxes, excluding employee taxes that were withheld	n2a2	-9	
Total annual cost of electricity	n2b	-9	
Total annual cost of water	n2k	-9	
Total annual cost of high-speed, fixed broadband internet	n2l	-9	-7

INTERVIEWER: ONLY ASK THE FOLLOWING QUESTION TO MANUFACTURING ESTABLISHMENTS:

Total annual cost of raw materials and intermediate goods used in production	n2e	-9
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INTERVIEWER: ONLY ASK THE FOLLOWING QUESTION TO RETAIL ESTABLISHMENTS:

Total annual cost of finished goods and materials purchased to resell	n2i	-9
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N.2.1	Looking back to this establishment's Income Statement for fiscal year [Insert last complete fiscal year minus one] , please provide the following information: SHOW CARD 31
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	[Insert LCUs]	DON'T KNOW (SPONTANEOUS)	DOES NOT APPLY
Total annual cost of labor including wages, salaries, bonuses, social security payments	n2a1	-9	-7

ASK IF MANUFACTURING

Total annual cost of raw materials and intermediate goods used in production	n2e1	-9	-7
--	-------------	-----------	-----------

ASK IF MANUFACTURING

N.7	Hypothetically, if this establishment were to purchase all the machinery, vehicles, and equipment it <u>uses now</u> , in their current condition and regardless of whether the establishment owns them or not, how much would they cost?
------------	---

	[Insert LCUs]	DON'T KNOW (SPONTANEOUS)
Machinery, vehicles, and equipment	n7a	-9

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

Continuing in reference to fiscal year [Insert last complete fiscal year].

N.11	For fiscal year [Insert last complete fiscal year] as a share of total annual gross profits, what was the cost of <u>annual income-based taxes</u> ? Please exclude any tax credits or deductions. (If taxes have not yet been paid, please include the expected tax payments.)
-------------	--

	Percent	DON'T KNOW (SPONTANEOUS)	REFUSAL (SPONTANEOUS)
Effective rate of income-based taxes	n11 %	-9	-8

N.12	For fiscal year [Insert last complete fiscal year] as a share of total sales, what was the cost of <u>all consumption taxes</u> ? Please exclude any amounts that were (or are expected to be) refunded or credited. (If taxes have not yet been paid, please include the expected tax payments.)
-------------	--

	Percent	DON'T KNOW (SPONTANEOUS)	REFUSAL (SPONTANEOUS)
Effective rate of consumption taxes	n12 %	-9	-8

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**

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

**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

INTERVIEWER COMMENTS:

a17x

(Problems occurred/extraordinary circumstances which could influence results)

A.18 This questionnaire was completed in:

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
-------------	--

Hour	Minutes
a19h	a19m

SUPERVISOR SECTION

A.13 Supervisor code **a13**

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_v4

D.1a2	PLEASE CHOOSE THE 4-DIGIT ISIC REV. 4.0 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_v4