

QUESTIONNAIRE NUMBER **id**

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THE WORLD BANK ENTERPRISE SURVEY
Peru Manufacturing (2017)

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
Panel	panel

A. CONTROL INFORMATION [TO BE COMPLETED FROM SCREENER BEFORE INTERVIEW]

A.4 Industry		Screener sector a4b	Questionnaire a0 FROM A4B
Manufacturing	Food	15	1 - manufacturing
	Tobacco	16	
	Textiles	17	
	Garments	18	
	Leather	19	
	Wood	20	
	Paper	21	
	Publishing, printing, and Recorded media	22	
	Refined petroleum product	23	
	Chemicals	24	
	Plastics & rubber	25	
	Non metallic mineral products	26	
	Basic metals	27	
	Fabricated metal products	28	
	Machinery and equipment (29-30)	29	
	Electronics (31-32)	31	
	Precision instruments	33	
Transport machines (34-35)	34		
Furniture	36		
Recycling	37		
Retail	Retail	52	2 - retail
Other Services	Wholesale	51	3 - other services
	IT	72	
	Hotel and restaurants: section H	55	
	Services of motor vehicles	50	
	Construction Section F:	45	
	Transport Section I: (60-64)	60	

A.3a	Screener Region a3a	A.6	Screener Size a6b
Lima	1	Small ≥ 5 and ≤ 19	1
Arequipa	2	Medium ≥ 20 and ≤ 99	2
Chiclayo	3	Large ≥ 100	3
Trujillo	4		
Piura	5		

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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

A.12 Interviewer code **a12** A.1A Language **a1a** A.1c Frame level **a1c**

	Establishment	1
	Firm	2

A.3x Name of City/town/village

a3x

INTERVIEWR

UPDATE IF INCORRECT

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING.

The goal of this survey is to gather information and opinions about the business environment in **Peru**. 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

A7D ONLY APPLIES TO FIRM-LEVEL SAMPLE FRAMES

A.7d	INTERVIEW THE ESTABLISHMENT THAT REPRESENTS THE LARGEST SHARE OF PRODUCTION OR SALES, WHICH ALSO MAINTAINS ITS OWN SALES, EMPLOYMENT, AND COST RECORDS.
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Address and name of the establishment	a7dx	GO TO A.20
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A.7	Is this establishment part of a larger firm? (larger firms include several distinct locations or establishments, including branch offices or production, distribution, or sales sites)
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Yes	1	SKIP TO A.20
No	2	
		a7

QUESTIONNAIRE NUMBER **id**

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A.7a How many establishments are part of the firm?

Number of establishments	a7a
DON'T KNOW (SPONTANEOUS)	-9

A.7b Is this establishment the headquarters location?

Yes	1	SKIP TO A9
No	2	
		a7b

A.11 Are the financial statements of the headquarters location separate from the rest of the other establishments?

		<u>ESTABLISHMENT-LEVEL FRAME:</u>	<u>FIRM-LEVEL FRAME:</u>
Yes	1	SKIP TO A.20	SKIP TO A.20
No	2		
		a11	

A.7c Does this headquarters location engage in production or sales at this location?

		<u>ESTABLISHMENT-LEVEL FRAME:</u>	<u>FIRM-LEVEL FRAME:</u>
Yes	1	SKIP TO A.20	SKIP TO A.20
No	2	TERMINATE	
		a7c	

A.9 Are this establishment's financial statements prepared separately from headquarters' statements?

		<u>ESTABLISHMENT-LEVEL FRAME:</u>	<u>FIRM-LEVEL FRAME:</u>
Yes	1	TERMINATE	ENSURE THAT EMPLOYMENT, SALES, AND COST NUMBERS ARE AT THE ESTABLISHMENT LEVEL
No	2		INTERVIEW HQ
		a9	

A.20 On which calendar date did the last completed fiscal year end?

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**

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) ___ b1x ___	6
DON’T KNOW (SPONTANEOUS)	-9

SKIP TO B.2

b1

INTERVIEWER: PLEASE NOTE WHEN b1 IS 3 (SOLE PROPRIETORSHIP), WRITE 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.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
DON’T KNOW (SPONTANEOUS)	-9

SKIP TO B.5
SKIP TO B.5

b4

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INTERVIEWER: PLEASE NOTE WHEN b1 IS 3 (SOLE PROPRIETORSHIP) and b4 is 1 (FIRM HAS A FEMALE OWNER), WRITE 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

READ ONLY IF A7=1 (yes) AND A1C=1 (establishment)
 I want to proceed by asking you about this establishment only.

READ ONLY IF A7=1 (yes) AND A1C=2 (firm)
 I want to proceed by asking you about the establishment representing the largest amount of sales or production.

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 employees did this establishment employ when it started operations? Please include all employees and managers **(INTERVIEWER: INCLUDE RESPONDENT WHEN APPLICABLE)**

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

B.6a Was this establishment formally registered when it began operations?

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

b6a

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.

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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

B.8 Does this establishment have an internationally-recognized quality certification?
(INTERVIEWER: SOME EXAMPLES ARE ISO 9000 or 14000, or HACCP)

Yes	1	
No	2	SKIP TO C.3
STILL IN PROCESS	-6	
DON'T KNOW (SPONTANEOUS)	-9	SKIP TO C.3
		b8

B.8x Please specify the internationally-recognized quality certifications

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

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

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 QUESTION C.9 GO TO QUESTION C.9</i>
DON'T KNOW (SPONTANEOUS)	-9	

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
Loss as percentage of total annual sales due to power outages	c9a %
NONE	0
DON'T KNOW (SPONTANEOUS)	-9

PROVIDE EITHER ONE OR THE OTHER, NOT BOTH

	Dollars
Annual losses due to power outages	c9b
NONE	0
DON'T KNOW (SPONTANEOUS)	-9

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

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

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

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

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

GO TO QUESTION C.15
GO TO QUESTION 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?

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

c14

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

Yes	1
No	2
The establishment does not use water for production	-7
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION C.22a
GO TO QUESTION C.22a
GO TO QUESTION C.22a

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

GO TO QUESTION C.22a

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.22a At the present time, does this establishment use e-mail to communicate with clients or suppliers?

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

c22a

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

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

c22b

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**

Using the response options on the card; To what degree is **Telecommunications** 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	c30a	0	1	2	3	4	-9	-7
Telecommunications	c30b	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?
ENUMERATOR: PLEASE SPECIFY THE ACTIVITY AND PRODUCT IN DETAIL, FOR EX., “LEATHER SHOE MANUFACTURING” NOT JUST SHOES’ MANUFACTURING

	d1a1a	DETAILED DESCRIPTION OF MAIN ACTIVITY AND PRODUCT
Manufacturing of	1	d1a1x
Retail trade of	2	
Wholesale trade of	3	
Construction of	4	
Hotel or restaurant	5	
Provide services of	6	

INTERVIEWER: IF D1A1A IS SERVICES CODE (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 product or activity	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?

	Dollars
Last complete fiscal year’s total sales	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 at the end of fiscal year [insert last complete fiscal year minus two], what were total annual sales for this establishment?

	Dollars
Total annual sales three years ago	n3
IF ESTABLISHMENT WAS NOT IN BUSINESS THREE YEARS AGO	-7
DON'T KNOW (SPONTANEOUS)	-9

ASC.N3 From the beginning of fiscal year [insert last complete fiscal year minus two] through the end of fiscal year [insert last complete fiscal year], did the price this establishment charges for its main good or service increase, decrease, or stay the same

Increase	1	
Decrease	2	
Stay the same	3	GO TO QUESTION D.3
DON'T KNOW (SPONTANEOUS)	-9	GO TO QUESTION D.3
		ASCn3

ASC.N4 In percentage terms, how much did this price change?

	Percent	
Percentage change	%	
DON'T KNOW (SPONTANEOUS)	-9	
		ASCn4

ASC.N5 Please indicate the **main** reason for this change
SHOW CARD 4

Changes in the costs of supplies or material inputs	1	
Change in demand	2	GO TO QUESTION D.3
Changes in taxes or the cost of regulation	3	GO TO QUESTION D.3
Pressures from domestic competitors	4	GO TO QUESTION D.3
Pressures from foreign competitors	5	GO TO QUESTION D.3
Events disrupting typical operations	6	GO TO QUESTION D.3
Other	7	GO TO QUESTION D.3
DON'T KNOW (SPONTANEOUS)	-9	GO TO QUESTION D.3
		ASCn5

ASC.N5b In percentage terms, how much did the price of supplies or material inputs change?

	Percent	
Percentage change	%	
DON'T KNOW (SPONTANEOUS)	-9	
		ASCn5b

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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 100, GO TO QUESTION D.10

IF 100, GO TO QUESTION D.8

IF 0, GO TO QUESTION D.8

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

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	-7

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

d5a

D.6 In fiscal year **[insert last complete fiscal year]**, what percentage of the value of the products exported directly was lost while in transit because of theft?

	Percent
Losses due to theft as percentage of the value of the products	d6 %
NO LOSSES	0
DON'T KNOW (SPONTANEOUS)	-9
DOES NOT APPLY	-7

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D.7 In fiscal year **[insert last complete fiscal year]**, what percentage of the value of the products exported directly 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	d7 %
NO LOSSES	0
DON'T KNOW (SPONTANEOUS)	-9
DOES NOT APPLY	-7

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: WRITE YEAR USING 4 DIGITS

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 QUESTION D.12

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

D.12 In fiscal year **[insert last complete fiscal year]**, as a proportion of all material inputs or supplies purchased that year, what percentage of this establishment's material inputs or supplies were: **SHOW CARD 5**

	Percent	DON'T KNOW (SPONTANEOUS)
Material inputs or supplies of domestic origin	d12a %	-9
Material inputs or supplies of foreign origin	d12b %	-9
	100%	

IF 0, GO TO QUESTION ASC.D5

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

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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 QUESTION ASCD.5

GO TO QUESTION ASCD.5

d13

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

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 (SPONTANENOUS)	-8

d15a

INTERVIEWER READ THE FOLLOWING BEFORE PROCEEDING: I would now like to ask about this establishment's relationships and interactions with all of its suppliers.

ASCD.5 In fiscal year **[insert last complete fiscal year]**, what percentage of material inputs or supplies were obtained from suppliers from whom this establishment receives **inputs or supplies more than once a year**?

	Percent
Percent	ASCd5
DON'T KNOW (SPONTANEOUS)	-9

ASCD.6 In fiscal year **[insert last complete fiscal year]**, what percentage of material inputs or supplies were **tailored to the specific needs** of this establishment to the extent that finding a new supplier would entail **substantial time and costs**?

	Percent
Percent	ASCd6
DON'T KNOW (SPONTANEOUS)	-9

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ASCD.7 In fiscal year **[insert last complete fiscal year]**, what percentage of this establishment's material inputs or supplies were provided as mutually agreed, that is without problems, disputes, or delays?

Percent	
Percent	ASCD7 %
DON'T KNOW (SPONTANEOUS)	-9

ASCD.8 Please indicate to what degree this establishment's suppliers are prevented from fulfilling 7 agreements because of circumstances beyond their control. **SHOW CARD 7**

	Not at all	Slightly	Moderately	Very much	Extremely	DON'T KNOW (SPONTANEOUS)
ASCD8	1	2	3	4	5	-9

ASCD.9 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 8**

	Not at all	Slightly	Moderately	Very much	Extremely	DON'T KNOW (SPONTANEOUS)
Personal relationship and trust ASCD9a	1	2	3	4	5	-9
Mutual interest in maintaining business relationship, without involving others ASCD9b	1	2	3	4	5	-9
Paid, private dispute resolution ASCD9d	1	2	3	4	5	-9
Assistance of government officials ASCD9e	1	2	3	4	5	-9
Intervention of other third-parties (excluding paid, private dispute resolution and government officials) ASCD9c	1	2	3	4	5	-9
Legal system ASCD9f	1	2	3	4	5	-9

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INTERVIEWER READ THE FOLLOWING BEFORE PROCEEDING: I would now like to ask about this establishment's relationships and interactions with all of its customers.

ASCD.14	In fiscal year [insert last complete fiscal year] , what percentage of goods or services were provided to customers to whom this establishment provides goods or services more than once a year?
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	Percent
Percent	ASCD14
DON'T KNOW (SPONTANEOUS)	-9

ASCD.15	In fiscal year [insert last complete fiscal year] , what percentage of goods or services were tailored to the specific needs of customers to the extent that finding new customers would entail substantial time and costs?
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	Percent
Percent	ASCD15
DON'T KNOW (SPONTANEOUS)	-9

ASCD.16	In fiscal year [insert last complete fiscal year] , what percentage of goods or services were provided to customers as mutually agreed, that is without problems, disputes, or delays?
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	Percent
Percent	ASCD16 %
DON'T KNOW (SPONTANEOUS)	-9

ASCD.17	Please indicate to what degree this establishment's customers are prevented from fulfilling agreements because of circumstances beyond their control. SHOW CARD 7
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	Not at all	Slightly	Moderately	Very much	Extremely	DON'T KNOW (SPONTANEOUS)
ASCD17	1	2	3	4	5	-9

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ASCD.18 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 8

	Not at all	Slightly	Moderately	Very much	Extremely	DON'T KNOW (SPONTANEOUS)
Personal relationship and trust ASCd18a	1	2	3	4	5	-9
Mutual interest in maintaining business relationship, without involving others ASCd18b	1	2	3	4	5	-9
Paid, private dispute resolution ASCd18d	1	2	3	4	5	-9
Assistance of government officials ASCd18e	1	2	3	4	5	-9
Intervention of other third-parties (excluding private dispute resolution and government officials) ASCd18c	1	2	3	4	5	-9
Legal system ASCd18f	1	2	3	4	5	-9

D.30 Using the response options on the card; To what degree is/are **[INSERT OPTION]** an obstacle to the current operations of this establishment? **SHOW CARD 3**

	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

R. MANAGEMENT PRACTICES

INTERVIEWER: PLEASE READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

And now I would like to ask you about management practices in this establishment.

R.1 Over the last complete fiscal year **[insert last complete fiscal year]**, what best describes what happened at this establishment when a problem in the production process or provision of services arose?
SHOW CARD 9

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

ASCr1

R.2 Over the last complete fiscal year **[insert last complete fiscal year]**, how many production or service provision performance indicators were monitored at this establishment?
SHOW CARD 10

1-2 production performance indicators	1
3-9 production performance indicators	2
10 or more production performance indicators	3
No production performance indicators	4
DON'T KNOW (SPONTANEOUS)	-9

ASCr2

R.7 Over the last complete fiscal year **[insert last complete fiscal year]**, how easy or difficult was it for this establishment to achieve its production or service provision targets? Examples of production or service provision targets are: production, quality, efficiency, waste, on-time delivery.
SHOW CARD 11

Possible to achieve without much effort	1
Possible to achieve with some effort	2
Possible to achieve with normal amount of effort	3
Possible to achieve with more than normal effort	4
Only possible to achieve with extraordinary effort	5
No production or service provision targets	6
DON'T KNOW (SPONTANEOUS)	-9

ASCr7

0									
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R.8 Over the last complete fiscal year **[insert last complete fiscal year]**, who was aware of the production or service provision targets at this establishment?
SHOW CARD 12

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

ASCr8

ASC.ROT.R11	SELECTED FOR FILTER TREATMENT	
	Selected	1
	Not selected	2
		GO TO E1
		ASCr11

ANSWER IF ASC.ROT.R11=1 (SELECTED)

R.11.1 Does this establishment offer performance bonuses to managers?

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

GO TO E1
GO TO E1
ASCr111

ANSWER IF ASC.ROT.R11=1 (SELECTED)

R.11.2 Over the last complete fiscal year **[insert last complete fiscal year]**, what were managers' performance bonuses usually based on?
INTERVIEWER: INCLUDE ANY TYPE OF TARGET, INCLUDING TARGETS BASED ON PRODUCTION, SALES, THE FIRM'S STOCK PRICE, ETC.
SHOW CARD 13

Their own performance as measured by targets	1
Their team or shift performance as measured by targets	2
Their establishment's performance as measured by targets	3
Their company's performance as measured by targets	4
DON'T KNOW (SPONTANEOUS)	-9
DOES NOT APPLY (SPONTANEOUS)	-7

ASCr112

0									
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ANSWER IF ROT.R11=2 (NOT SELECTED)

R.11	<p>Over the last complete fiscal year [insert last complete fiscal year], what were managers' performance bonuses usually based on?</p> <p>INTERVIEWER: INCLUDE ANY TYPE OF TARGET, INCLUDING TARGETS BASED ON PRODUCTION, SALES, THE FIRM'S STOCK PRICE, ETC.</p> <p>SHOW CARD 14</p>
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Their own performance as measured by targets	1
Their team or shift performance as measured by targets	2
Their establishment's performance as measured by targets	3
Their company's performance as measured by targets	4
No performance bonuses	5
DON'T KNOW (SPONTANEOUS)	-9
DOES NOT APPLY (SPONTANEOUS)	-7

ASCr11

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 15

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 QUESTION E.6

GO TO QUESTION 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 firms?

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

GO TO ASCe13

e11

ASC.E12 Which of the following practices of unregistered or informal firms affects your establishment the most? **SHOW CARD 16**

No effects from informal or unregistered firms	0
Copyright, trademark, or patent infringement	1
Fraudulent product certifications	2
Tax avoidance	3
Hiring of informal labor	4
Undercutting prices	5
Other effect (Specify _____ASCe12x)	6
DON'T KNOW (SPONTANEOUS)	-9

ASCe12

0									
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ASCE.13 Does this establishment compete against registered firms selling goods or services without records or receipt?

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

ASCe13

ASCE.14 Does this establishment compete against registered firms hiring workers without formal contracts?

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

ASCe14

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 3**

	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 significantly improved products or services?

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

GO TO QUESTION H.5
GO TO QUESTION H.5

h1

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

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

h2

ASCH.2 Were any of the new or significantly improved products or services introduced because of specific customer requests or direct demands?

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

ASCh2

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

0								
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H.4 Please describe in detail how the **main** new or significantly improved product or service is different than the most similar product or service, if any, previously produced by this establishment.
IF THERE IS NOTHING SIMILAR WRITE “COMPLETELY NEW”

Description

DESCRIPTION SHOULD BE AS DETAILED AS POSSIBLE
h4x

H.5 During the last three years, has this establishment introduced any new or significantly 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
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION H8
GO TO QUESTION H8

h5

H.6 Please describe in detail the main new or significantly 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

H.7 Please describe in detail how the **main** new or significantly improved process is different than the most similar process that is or was used by this establishment
IF THERE IS NOTHING SIMILAR WRITE “COMPLETELY NEW”

Description

DESCRIPTION SHOULD BE AS DETAILED AS POSSIBLE
h7x

0									
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H.8 During last fiscal year, did this establishment spend on formal research and development activities, either in-house or contracted with other companies, excluding market research surveys?

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

GO TO QUESTION ASC.H10

GO TO QUESTION ASC.H10

h8

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

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

ASC.H10 During last fiscal year, did this establishment spend on any of the following?
READ OPTIONS

	Yes	No	DON'T KNOW (SPONTANEOUS)
Software development and database activities ASCh10a	1	2	-9
Intellectual property related activities ASCh10b	1	2	-9
Design and other creative work ASCh10c	1	2	-9
Marketing and branding of new products or services ASCh10d	1	2	-9
Organizational development ASCh10e	1	2	-9

F. CAPACITY

F.1	In fiscal year [insert last complete fiscal year] , what was this establishment’s output produced as a proportion of the maximum output possible if using all the resources available (capacity utilization)?
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	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)
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	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 and what percentage is rented or leased? **SHOW CARD 17**

	Percent	DON'T KNOW (SPONTANEOUS)
Owned by this establishment	g6a %	-9
Rented or leased by this establishment	g6b %	-9
Other	g6c %	-9
	100%	

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

G.1 Of the **land** occupied by this establishment, what percent is: **SHOW CARD 17**

	Percent	DON'T KNOW (SPONTANEOUS)	DOES NOT APPLY IS A FLOOR IN A BUILDING (SPONTANEOUS)
Owned by this establishment	g1a %	-9	-7
Rented or leased by this establishment	g1b %	-9	-7
Other	g1c %	-9	-7
	100%		

INTERVIEWER: CHECK THAT TOTAL SUMS TO 100% UNLESS RESPONDENT DOES NOT KNOW OR IF ESTABLISHMENT OCCUPIES A FLOOR IN A BUILDING

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 QUESTION G.30
DON'T KNOW (SPONTANEOUS)	-9	GO TO QUESTION 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	-6
APPLICATION DENIED	-5
DON'T KNOW (SPONTANEOUS)	-9

0								
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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

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 3**

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

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?

	Percent
Percentage of total annual sales for security	i2a %
DON'T KNOW (SPONTANEOUS)	-9

PROVIDE EITHER ONE OR THE OTHER, NOT BOTH

	Dollars
Total annual cost of security	i2b
DON'T KNOW (SPONTANEOUS)	-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 internet fraudulent transactions?

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

i3

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

	Percent
Losses as percentage of total annual sales	i4a %
DON'T KNOW (SPONTANEOUS)	-9

PROVIDE EITHER ONE OR THE OTHER, NOT BOTH

	Dollars
Total annual value of losses	i4b
DON'T KNOW (SPONTANEOUS)	-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 3
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	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	(SPONTANEOUS)	
						DON'T KNOW	DOES NOT APPLY
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.1 In fiscal year **[insert last complete fiscal year]**, what percentage, as a proportion of the value of total annual purchases of material inputs or services was purchased on credit?

	Percent	DON'T KNOW (SPONTANEOUS)
Purchased on credit	k1c %	-9

K.2 In fiscal year **[insert last complete fiscal year]**, what percentage of this establishment's total annual sales of its goods or services was sold on credit?

	Percent	DON'T KNOW (SPONTANEOUS)
Sold on credit	k2c %	-9

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 18**

	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	
DON'T KNOW (SPONTANEOUS)	-9	GO TO QUESTION K.4b
		GO TO QUESTION K.4b
		k4

0									
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N.5A In fiscal year **[insert last complete fiscal year]**, how much did this establishment spend on purchases of:
INTERVIEWER: READ OUT

	Dollars	DON'T KNOW (SPONTANEOUS)
New or used machinery, vehicles, and equipment	n5a	-9

IF 0, GO TO QUESTION N.5B **GO TO QUESTION N.5B**

ASCN.6 Were any of these purchases for upgrading machinery, vehicles, and equipment spent on upgrades or for acquiring new technology associated with new or significantly improved products or services?

Yes	1	
No	2	SKIP N.5B
DON'T KNOW (SPONTANEOUS)	-9	SKIP N.5B

ASCn6

ASCN.7 What percent of total purchases of new or used machinery, vehicles, and equipment, was spent on upgrades or acquiring new technology associated with new or significantly improved products or services?

	%	DON'T KNOW (SPONTANEOUS)
Percent	ASCn7	-9

N.5B In fiscal year **2015**, how much did this establishment spend on purchases of and buildings, including expansion and renovations of existing structures?

	Dollars	DON'T KNOW (SPONTANEOUS)
Land and buildings, including expansion and renovations of existing structures?	n5b	-9

0									
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K.5 Over fiscal year **[insert last complete fiscal year]**, please estimate the proportion of this establishment’s total purchase of fixed assets that was financed from each of the following sources:
SHOW CARD 19

	Percent	OR	Amount Dollars	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:
In the following questions, we are inquiring about the second last complete fiscal year.

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

k4b

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

	Dollars	DON'T KNOW (SPONTANEOUS)
New or used machinery, vehicles, and equipment	n5c	-9
Land and buildings, including expansion and renovations of existing structures?	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
No	2
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION K.15d
GO TO QUESTION K.15d

k8

K.9 Referring to the most recent line of credit or loan, what type of financial institution granted this loan? **SHOW CARD 20**

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

GO TO QUESTION ASC.K9
GO TO QUESTION ASC.K9
GO TO QUESTION ASC.K9

k9

0									
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ASCK.8 Which bank provided the most recent line of credit or loan?
SHOW CARD 21

BCP	1
BBVA	2
InterBank	3
Scotiabank	4
Mi Banco	5
De Comercio	6
Financiero	7
Banbif	8
Saga	9
Ripley	10
OTHER (SPONTANEOUS - SPECIFY)	11
DON'T KNOW (SPONTANEOUS)	-9

ASCK8

OTHER	ASCK8ax
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ASCK.9 Referring to the most recent line of credit or loan, was the loan granted as part of a government-supported program?

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

ASCK9

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

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

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

0									
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ASCK.13 Referring only to this most recent line of credit or loan, what was the maturity (in months) agreed at the time of approval?

	months
Maturity (in months) of most recent line of credit or loan approved	ASCK13
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
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION K.15b

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

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

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

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

GO TO QUESTION K.15d

K.15c What is the total value of open lines of credit or outstanding loans held by this establishment?

	Dollars
Total value of open lines of credit or outstanding loans	k15c
REFUSAL (SPONTANEOUS)	-8
DON'T KNOW (SPONTANEOUS)	-9

0									
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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 the last fiscal year **[insert last complete fiscal year]**, did this establishment apply for any lines of credit or loans?

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

GO TO QUESTION ASC.K18

GO TO QUESTION ASC.K.22

k16

K.17 What was the **main** reason why this establishment did not apply for any line of credit or loan?
SHOW CARD 22

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

GO TO QUESTION ASC.K22

k17

ASC.K17 Did this establishment consider completing application steps for a loan or line of credit online?

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

GO TO QUESTION ASC.K.19

GO TO QUESTION ASC.K22

GO TO QUESTION ASC.K22

ASCk17

ASC.K18 Referring only to this most recent application for a line of credit or loan, was the application completed partially or entirely online?

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

GO TO QUESTION K.20

GO TO QUESTION K.20

ASCk18

0								
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ASCK.19	What was the main reason for not completing the application online? SHOW CARD 23
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Option to complete application online was not available	1
The process was too complex	2
Lack of a reliable or secure internet connection	3
Uncertainty about the legal status of this financing mechanism	4
Reluctance to share the required business or personal data online	5
Other	7
DON'T KNOW (SPONTANEOUS)	-9

ASck19

ENUMERATOR: IF K16 IS "NO" GO TO ASC.K22

K.20	Referring only to this most recent application for a line of credit or loan, what was the outcome of that application?
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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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ASCK.22 In fiscal year **[insert last complete fiscal year]**, did this establishment lease any fixed assets, such as machinery, vehicles, equipment, land or buildings?

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

ASCK22

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 3**

							(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 24

(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. Some examples of government regulations are taxes, customs, labor regulations, licensing and registration, including dealings with officials and completing forms)

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

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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ASC. ROT.J5	SELECTED FOR SELF-REPORTED ANSWER EXPERIMENT
Selected	1
Not selected	2
ASCrotj5	

J.5	In any of these inspections or meetings was a gift or informal payment expected or requested?
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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?
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Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9
j6a	

GO TO QUESTION J.7
GO TO QUESTION J.7

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

0									
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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?

	Percent
Percentage of total annual sales paid as informal payment	j7a %
NO PAYMENTS OR GIFTS ARE PAID	0
DON'T KNOW (SPONTANEOUS)	-9
REFUSAL (SPONTANEOUS)	-8

PROVIDE EITHER ONE OR THE OTHER, NOT BOTH

	Dollars
Total annual informal payment	j7b
NO PAYMENTS OR GIFTS ARE PAID	0
DON'T KNOW (SPONTANEOUS)	-9
REFUSAL (SPONTANEOUS)	-8

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

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

j10

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

0									
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J.13 Over the last two years, did this establishment submit an application to obtain an operating license?

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

GO TO QUESTION ASC.J16
GO TO QUESTION ASC.J16

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

ASC.J16 Does this establishment currently belong to an industry organization or business association?

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

SKIP TO J.30
SKIP TO J.30

ASCj16

ASC.J17 Please indicate which of the following describes **the main** industry organization or business association **SHOW CARD 25**

National chamber of commerce	1
Local chamber of commerce	2
Industry-specific trade association	3
Labor union	4
Other	5
DON'T KNOW (SPONTANEOUS)	-9

ASCj17

0								
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ASC.J18 Does this establishment (or the firm to which it belongs) make regular financial contributions to this association?

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

ASCj18

ASC.J19 Does the senior management of this establishment (or the firm to which it belongs) make regularly spend time interacting with this association?

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

ASCj19

ASC.J20 Please indicate if this association:
READ OPTIONS

	Yes	No	(SPONTANEOUS)	
			DON'T KNOW	DOES NOT APPLY
Provides information to members about market trends, new technologies or new products ASCj20a	1	2	-9	-7
Provides information to members about laws, regulations and judicial decisions ASCj20b	1	2	-9	-7
Offers members networking opportunities ASCj20c	1	2	-9	-7
Engage in lobbying and other political activity to influence laws and regulations that affect your industry ASCj20d	1	2	-9	-7

J.30 Using the response options on the card; To what degree is/are **[INSERT OPTION]** an obstacle to the current operations of this establishment?
SHOW CARD 3

ROTATE OPTIONS		No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	(SPONTANEOUS)	
							DON'T KNOW	DOES NOT APPLY
Tax rates j30a	0	1	2	3	4	-9	-7	
Tax administration j30b	0	1	2	3	4	-9	-7	
Business licensing and permits j30c	0	1	2	3	4	-9	-7	
Political instability j30e	0	1	2	3	4	-9	-7	
Corruption j30f	0	1	2	3	4	-9	-7	
Courts h30	0	1	2	3	4	-9	-7	

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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 employees and managers (Permanent, full-time employees are defined as all employees that are employed 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 INTERVIWEE IF APPLICABLE).**

	Number
Permanent, full-time workers 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 employees and managers **(INTERVIEWER: INCLUDE INTERVIWEE 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., managers, administration, sales]	13b	-9

L.4 At the end of fiscal year **[insert last complete financial year]**, how many permanent, full-time individuals working in this establishment were: **INTERVIEWER: READ EACH CATEGORY**

	Number	DON'T KNOW (SPONTANEOUS)
Highly skilled production workers, professionals whose tasks require extensive theoretical and technical knowledge	14a1	-9
Semi-skilled production workers, technicians whose tasks require some level of mechanical or technical knowledge	14a2	-9
Unskilled production workers, whose tasks involve no specialized knowledge	14b	-9

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L.5 At the end of fiscal year **[insert last complete fiscal year]**, how many permanent full-time individuals working in this establishment in the following categories were female?
READ OPTIONS

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

L.6 How many full-time seasonal or temporary employees did this establishment employ during **[insert last complete fiscal year]**?
(Full-time, temporary workers are all short-term (i.e. for less than a year) employees 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
DON'T KNOW (SPONTANEOUS)	-9

GO TO QUESTION L.9b

GO TO QUESTION L.9b

L.6a How many full-time seasonal or temporary employees employed during **[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

L.8 What was the average length of employment of all full-time temporary employees 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 is the percentage of full-time permanent workers who completed secondary school?

	Percent
Percentage of full time permanent workers who completed secondary school	19b
DON'T KNOW (SPONTANEOUS)	-9

0									
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L.10 Over fiscal year **[insert last complete fiscal year]**, did this establishment have formal training programs for its permanent, full-time employees?

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

GO TO QUESTION I30a
GO TO QUESTION I30a

110

L.11 Referring to the training programs run over fiscal year **[insert last complete fiscal year]**, what percentage of permanent, full-time employees 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 EMPLOYEES IN A CATEGORY WERE TRAINED	DON'T KNOW (SPONTANEOUS)
Production full-time permanent employees trained	I11a %		I11a1	0	-9
Non-production full-time permanent employees trained	I11b %		I11b1	0	-9

L.30 Using the response options on the card; To what degree are **Labor Regulations** an obstacle to the current operations of this establishment? **SHOW CARD 3**

Using the response options on the card; To what degree is **an Inadequately Educated Workforce** an obstacle to the current operations of this establishment? **SHOW CARD 3**

	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	(SPONTANEOUS) DON'T KNOW	DOES NOT APPLY
Labor regulations I30a	0	1	2	3	4	-9	-7
Inadequately educated workforce I30b	0	1	2	3	4	-9	-7

0									
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M. BUSINESS ENVIRONMENT

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

M.1 By looking at **options on the tablet** can you tell me which of the elements of the business environment included in the list, if any, currently represents the biggest obstacle faced by this establishment
INTERVIEWER: DO NOT READ OUT

- | |
|---|
| 1-Access to finance |
| 2-Access to land |
| 3-Business licensing and permits |
| 4-Corruption |
| 5-Courts |
| 6-Crime, theft and disorder |
| 7-Customs and trade regulations |
| 8-Electricity |
| 9-Inadequately educated workforce |
| 10-Labor regulations |
| 11-Political instability |
| 12-Practices of competitors in the informal sector |
| 13-Tax administration |
| 14-Tax rates |
| 15-Transport |

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

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. Please provide the following information from the financial statements of this establishment.

N.2 From this establishment’s Income Statement for fiscal year [insert last complete fiscal year], please provide the following information: **SHOW CARD 26**

	Dollars	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 SALES SHOULD INCLUDE ALL ABOVE COSTS AND OTHER COSTS NOT LISTED ABOVE		
Total cost of sales	n2p	-9

ASC.N8 From the beginning of fiscal year [insert last complete fiscal year minus two] through the end of fiscal year [insert last complete fiscal year], did the total cost of sales of this establishment increase, decrease, or stay the same?

Increase	1	GO TO QUESTION N6 GO TO QUESTION N6 ASCn8
Decrease	2	
Stay the same	3	
DON'T KNOW (SPONTANEOUS)	-9	

ASC.N9 In percentage terms, how much did the cost of sales change?

	Percent
Percentage change	%
DON'T KNOW (SPONTANEOUS)	-9

ASCn9

N.6 From this establishment’s Balance Sheet for fiscal year **2015**, what was the net book value, that is the value of assets after depreciation, of the following:

	Dollars	DON'T KNOW (SPONTANEOUS)
Machinery, vehicles, and equipment	n6a	-9

QUESTIONNAIRE NUMBER **id**

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N.7	Hypothetically, if this establishment were to purchase the assets 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?
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	Dollars	DON'T KNOW (SPONTANEOUS)
Machinery, vehicles, and equipment	n7a	-9

QUESTIONNAIRE NUMBER **id**

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

	Position in the firm	Years with the firm	Gender
Main respondent	a15a1ax	a15a2a	a15a3
Second respondent	a15a1bx	a15a2b	a15b3
Third respondent	a15a1cx	a15a2c	a15c3

ENTER 1 WHEN YEARS WITH THE FIRM IS LESS THAN ONE. FOR GENDER 1: MALE, 2: FEMALE

**THE SURVEY ENDS HERE
THANK YOU VERY MUCH FOR YOUR COOPERATION.**

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

INTERVIEWERS PLEASE ANSWER AT END OF THE INTERVIEW:

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

Truthful	1
Somewhat truthful	2
Not truthful	3

a16

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

Are taken directly from establishment records	1
Are estimates computed with some precision	2
Are arbitrary and unreliable numbers	3
Are in some case taken from books in some case estimates	4

a17

INTERVIEWER COMMENTS:

a17x

(Problems occurred/extraordinary circumstances which could influence results)

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SUPERVISORS PLEASE ANSWER:

PLEASE ENSURE THAT ALL VALUES ARE VERIFIED. REVIEW SALES VALUES, ACCOUNTING FIGURES, AND DESCRIPTIONS TO ENSURE ACCURACY.

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

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

INTERVIEWER: THE FOLLOWING QUESTION IS NOT PART OF THE INTERVIEW. IT WILL BE FILLED OUT IN THE OFFICE

D.1a2	PLEASE CHOOSE THE 4-DIGIT ISIC REV. 3.1 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

PLEASE ENSURE ALL VALUES ARE VERIFIED BY SUPERVISOR AND MANAGEMENT. REVIEW SALES AND ACCOUNTING FIGURES AND DESCRIPTIONS FOR ACCURACY.

A.13 Supervisor code **a13**

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