

Appendix D
 Screener Questionnaire

2003 Survey of Small Business Finances

Screeners – Final Version Survey Questionnaire

Division of Research and Statistics
Board of Governors of the Federal Reserve System
Washington, DC 20551

National Opinion Research Center
Chicago, Illinois 60603

QUESTION BY QUESTION (QXQS) NOTES

- A1.** Identifies the owner of the firm for purposes of interviewing that person. For firms with more than one owner, we'd like the owner that has the largest ownership share of the firm.

Generally, you must ask three times to speak to an owner before asking to speak to a qualified proxy. However, if you are told that an owner will not be available for at least two weeks, you should record "OWNER NEVER AVAILABLE"; you will then be allowed to ask for a qualified proxy. You may need to negotiate with a GK to get to an owner. You may need to overcome objections, including convincing the GK or owner that this is a legitimate, scientific study that will benefit small businesses.

Be positive, polite and persistent, but not pushy, in getting to an owner. We do not want to burn any bridges with the company. Never say you are calling FROM the Federal Reserve Board - that is not a true statement. But feel free to say you are calling on behalf of the Federal Reserve Board. Sometime it is effective to say you are calling on behalf of the United States Federal Reserve Board, or the United States Federal Reserve Board located in Washington, DC.

- A1.2** A qualified proxy must have some basic knowledge about the firm. Typically, an administrative assistant, secretary or receptionist is not qualified to be a proxy.

Make sure the person you are talking to understands the information you need, and work with him or her to help you get to a qualified proxy for the owner that would know this information. In larger firms, a knowledgeable proxy may be a comptroller, CEO, vice-president of finances or accountant. In smaller firms, a qualified proxy may be a bookkeeper or office manager. In very small firms, sometimes any full-time employee or relative who works for the firm may qualify as a proxy.

SCREENER QUESTIONNAIRE

A1. Hello, may I speak with ([OWNER]/the owner of [FIRM NAME])?

PROMPT1: (My name is _____) I’m calling from the University of Chicago.

PROMPT2: Last week my office sent the owner some information from the (United States) Federal Reserve Board, including a letter from Alan Greenspan, and (he/she) may be expecting my call today.

PROMPT3: I’m calling (simply) to verify some basic information about your business, as requested by the Federal Reserve Board. It takes less than five minutes. This is not a sales call. Again it is important that I speak with the owner.

- OWNER SPEAKING - PROCEED WITH INTERVIEW1 → **GO TO INTRO2**
- OWNER NOT AVAILABLE2 → **GO TO PROXY RULES**
- WRONG NAME/NO LONGER WITH FIRM3 → **GO TO A1.1**
- OWNER NEVER AVAILABLE FOR SURVEY4 → **GO TO A1.2**
- OWNER NOT AVAILABLE, OTHER OWNER AVAILABLE...5 → **GO TO A1.1**
- OWNER-DESIGNATED PROXY OR PREVIOUSLY APPOINTED; PROXY AVAILABLE.....6 → **GO TO INTRO 2**
- OWNER-DESIGNATED PROXY OR PREVIOUSLY APPOINTED; PROXY NOT AVAILABLE.....7 → **GO TO A1.4**

PROGRAMMER NOTE FOR A1.1

IF A1=3, THEN FILL [CURRENTLY THE]; IF A1=5, THEN FILL [ANOTHER]

A1.1 Who is (currently the/another) owner of [FIRM]?

UPDATE PRELOADED OWNER NAME INFORMATION

NAME: _____

→ **GO BACK TO A1**

PROXY RULES

- IF OWNER NOT AVAILABLE 1 TO 2 TIMES → **GO TO A1.5**
- IF OWNER NOT AVAILABLE 3 TIMES → **GO TO A1.2**

QUESTION BY QUESTION (QXQS) NOTES

SCREENER QUESTIONNAIRE

A1.2 Is there someone other than the owner who can verify information such as the name and address of the business and tell us some basic facts such as the number of employees, ownership status and the fiscal year end date?

IF R IS HESITANT OR ASKS WHAT CALL IS ABOUT, SAY: I’m calling on behalf of the Federal Reserve Board. We are conducting a scientific research study with a select number of businesses. The call takes five minutes. Is there someone other than the owner who can-verify some basic facts about the firm, such as the number of employees, ownership status and the fiscal year end date?

- YES, OWNER PROXY SPEAKING NOW1 → GO TO INTRO2
- YES, BEING TRANSFERRED TO OWNER PROXY2 → GO TO INTRO2
- YES, BUT OWNER PROXY NOT AVAILABLE NOW3 → GO TO A1.4
- NO OWNER PROXY4 → GO TO A1.5

A1.4 Could you please tell me (his/her) name and business title?

PROXY NAME: _____

PROXY BUSINESS TITLE: _____ → GO TO A1.5

QUESTION BY QUESTION (QXQS) NOTES

A1.5 Identify a time when the owner will be available and reschedule an appointment for that time. For hard-to-reach owners, such as physicians, lawyers and other professionals, you may want to consider getting on the owner's calendar - scheduling a specific date and time - for a callback.

SCREENER QUESTIONNAIRE

PROGRAMMER NOTE FOR A1.5

IF A1=7 OR A1.2=3 THEN FILL [PROXY], ELSE FILL [OWNER]

A1.5 Please tell me when [OWNER/PROXY] will be available and I'll call back later.

UPDATE TNMS WITH DATE AND TIME FOR CALL BACK

IF R IS A PROFESSIONAL (LAWYER, PHYSICIAN, ETC.), CONSIDER: (Rather than keep calling) I would like to schedule a time on [OWNER/PROXY]'s calendar when I can call back, and (he/she) will be expecting my (five-minute) call.

IF NECESSARY, READ: I am just trying to verify some basic information about the firm for the (United States) Federal Reserve Board (in Washington D.C.). It takes five minutes. I'm not selling anything and this is not a marketing survey.

READ: Thank you very much. Good-bye.

INTRO2: (Hello, my name is _____. I'm calling from the National Opinion Research Center, on behalf of the Federal Reserve Board.) Last week we mailed the owner some materials describing the Survey of Small Business Finances, including a letter from Chairman Alan Greenspan. Your firm has been randomly chosen to participate in this national, scientific study. The interview takes five minutes; participation is voluntary and you may skip any question you choose.

IWER INFO: IF YOU HAVE ALREADY INTRODUCED YOURSELF TO R, OR MENTIONED THE FRB, YOU MAY SKIP THE FIRST 2 SENTENCES.

PROGRAMMER NOTE FOR A1.6

IF A1.2=1 OR 2 OR A1=6
ELSE

➔ GO TO A1.6
➔ GO TO A2

A1.6 For our records, please tell me your name and business title.

PROXY NAME: _____

PROXY BUSINESS TITLE: _____

A2. First of all, let me verify the name of the business. Is [FIRM NAME] the correct name of (your/this) business?

YES1
NO2
DK OR RF3

➔ GO TO A3

➔ PROMPT FOR A YES/NO RESPONSE BEFORE ACCEPTING DK OR RF

QUESTION BY QUESTION (QXQS) NOTES

SCREENER QUESTIONNAIRE

A2.1 What is the correct name of (your/this) business?

EDIT BUSINESS NAME BELOW. ONLY UPPERCASE ALPHA, NUMERIC, DASHES, COMMAS, APOSTROPHES, SPACES ALLOWED.

UPDATE PRELOADED BUSINESS INFORMATION

BUSINESS NAME: _____

A2.2 INTERVIEWER CHECKPOINT: IS THE BUSINESS NAME SO DIFFERENT FROM THE PRELOADED NAME THAT WE MAY HAVE CALLED THE WRONG BUSINESS?

YES1
NO2 → GO TO A3

A2.3 Was this business ever called [FIRM]?

YES1
NO2 → GO TO ELIGIBILITY FLAG
DK OR RF DK or RF → PROMPT FOR YES/NO RESPONSE BEFORE ACCEPTING DK/RF; PROXY CASES GO TO A3; OWNER CASES GO TO ELIGIBILITY FLAG

A3. During December 2003, was the business in operation under one or more of its current owners?

IF R ASKS WHAT “IN OPERATION” MEANS, SAY: The business was in operation if it was generating expenses or revenue during December 2003.

YES1
NO2 → GO TO ELIGIBILITY FLAG
DK or RFDK or RF → PROMPT FOR YES/NO RESPONSE BEFORE ACCEPTING DK/RF; PROXY CASES GO TO A3.1; OWNERS CASES GO TO ELIGIBILITY FLAG

A3.1 Is the business currently in operation?

IF R ASKS WHAT “IN OPERATION” MEANS, SAY: The business is in operation if it is generating expenses or revenue.

YES1
NO2 → GO TO ELIGIBILITY FLAG
DK or RFDK or RF → PROMPT FOR YES/NO RESPONSE BEFORE ACCEPTING DK/RF; PROXY CASES GO TO A5; OWNERS CASES GO TO ELIGIBILITY FLAG

QUESTION BY QUESTION (QXQS) NOTES

A3. Some of the owners may be different. For example, an owner may have died or sold his share to someone else. As long as AT LEAST ONE owner is the same, the firm is eligible.

A5. This question tries to establish if the firm is an independently operated business.

NOTE: A firm would be eligible for the study even if it is a subsidiary of another firm, as long as the other firm does not own 50% or more of the sampled business.

NOTE: A franchise is a right granted by a large business chain (e.g. fast-food company), allowing an investor to operate an outlet for its product or service by using its chain name and management know-how.

Being franchised does NOT necessarily mean over 50% ownership by another company. Therefore, franchised firms should be included in the survey if otherwise eligible.

NOTE: A firm is INELIGIBLE for the survey if a holding company owns 50% or more of the firm. A holding company is a corporation that owns enough stock in another corporation to influence its board of directors, and therefore control its policies and management.

A6. Most businesses are “for-profit” firms. For-profit firms may report either profits (revenues are larger than expenses) or losses (expenses are larger than revenues) in any given year. Even if a firm has losses, it is probably a for-profit enterprise. The key factor is whether profits go to the owners. If so, the firm is for-profit.

In order to be a non-profit or not-for-profit firm, the business must be recognized by the IRS as non-profit.

Examples of non-profit firms are membership organizations such as business associations, labor organizations, civic and social organizations, religious groups, political groups, and collective or cooperative organizations.

However, do NOT assume without asking that a firm of one of these types is non-profit. Sometimes these organizations are for-profit and therefore eligible for this study.

A7. Firms owned by local (city, county), state, or federal governments or by government agencies are to be excluded from the sample. Examples of such firms might include fire departments, police departments, sewage or public utilities such as gas and electric companies. However, be sure that the firm is owned by a government entity. There are firms such as those above that are privately owned (although they may hold a government contract or charter to provide these services), and if privately owned, they are eligible for the study.

Private firms that do work for, or have business contracts, with government agencies ARE eligible.

A8.1 This question establishes the number of owners actively working at the firm, not the number of people who own the firm. A firm may have multiple owners, only some of which work at the firm. Other businesses are run by hired employees and none of the owners actually work at the firm themselves.

SCREENER QUESTIONNAIRE

A5. Does another company own 50% or more of [FIRM]?

IF R IS NOT SURE, SAY: That is, is [FIRM] a majority-owned subsidiary of another business?

YES.....1
NO.....2
DK or RF.....DK or RF

➔ GO TO ELIGIBILITY FLAG

➔ PROMPT FOR YES/NO RESPONSE BEFORE ACCEPTING DK OR RF; PROXY CASES GO TO A6; OWNER CASES GO TO ELIGIBILITY FLAG.

A6. Is [FIRM] a for-profit or not-for-profit organization?

IF R IS NOT SURE, SAY: Not-for-profit firms have a special designation from the IRS. I understand that [FIRM] does not have this special designation or recognition from the IRS as a not-for-profit organization. Is that correct?

FOR-PROFIT.....1
NOT-FOR-PROFIT2
DK or RF.....DK or RF

➔ GO TO ELIGIBILITY FLAG

➔ PROMPT FOR RESPONSE BEFORE ACCEPTING DK/RF; PROXY CASES CONTINUE TO A7; OWNER CASES GO TO ELIGIBILITY FLAG.

A7. Is [FIRM] owned by a local, state, or federal government agency?

YES.....1
NO.....2
DK or RF.....DK or RF

➔ GO TO ELIGIBILITY FLAG

➔ PROMPT FOR YES/NO RESPONSE BEFORE ACCEPTING DK OR RF; PROXY CASES CONTINUE TO READ2; OWNER CASES GO TO ELIGIBILITY FLAG

READ2: We would like to know the total number of individuals that worked at [FIRM] during a typical pay period in 2003. First, I'm going to ask about the owners:

A8.1 How many owners worked in [FIRM] during a typical pay period in 2003?

NUMBER: _____
DK or RF.....DK or RF

QUESTION BY QUESTION (QXQS) NOTES

A8.1 (Continued) Full-time and part-time owners - as long as they actively worked for the firm during a typical pay period in 2003 - each count as one owner. If R says there are 3 and 1/2 owners, for example, ask R if there are 3 or 4 owners. Do not accept fractions.

A8.2 Include workers whose taxes and FICA contributions were deducted from gross pay, and workers who received profits, sales commissions or payment in the form of other non-monetary goods and services, such as room and board, from the firm.

Contractors, leased employees and people provided by a temp agency, even if they work on the premise of the firm, are generally NOT considered employees.

Full-time and part-time employees are counted in the same way. For example, one full-time and three part-time individuals is equal to four employees (1 + 3).

If R responds with an answer like “three and a half” (3 1/2), FORCE CHOICE with PROMPT: “Was that closer to three, or closer to four, individuals in total?”

A8.3 If an owner or proxy refuses, or doesn't know the exact number of workers, encourage him or her to report a range. If R will not give a range, but indicates that there are fewer than 500 workers, select “Eligible, Other” and record the explanation.

SCREENER QUESTIONNAIRE

A8.2 Other than owners, how many individuals worked for [FIRM] during a typical pay period in 2003?

IWER INFO: PART-TIME & FULL-TIME WORKERS ARE EACH COUNTED AS “ONE” INDIVIDUAL WORKER

IF R ASKS ABOUT UNPAID WORKERS, SAY: Individuals working for the firm should be counted whether or not they were on the payroll, including friends and family.

IF R ASKS WHICH EMPLOYEES TO INCLUDE, SAY: Please include foreign offshore employees and dependent children who work without pay. Do not include leased employees. For seasonal employees, please use a typical pay period.

NUMBER: _____
 DK or RF.....DK or RF

RANGE CHECK: A8.1 and A8.2 >= 0

CALCULATE: TOTAL EMPLOYEES = A8.1 + A8.2

TOTAL EMPLOYEES <500 & >0	→	GO TO A9
TOTAL EMPLOYEES = DK OR RF	→	GO TO A8.3
TOTAL EMPLOYEES = 0	→	GO TO A8.4
TOTAL EMPLOYEES >=500	→	GO TO ELIGIBILITY FLAG

A8.3 I understand that you may not be able to tell me the exact number of workers, however, can you tell me the approximate number of individuals, including owners, that worked for [FIRM] during a typical pay period in 2003, was it (**READ RANGES**)...

- | | | | |
|-----------------------------------|---|---|-------------------------------|
| Less than 5 | 1 | → | GO TO A9 |
| Between 5 and 9..... | 2 | → | GO TO A9 |
| Between 10 and 13..... | 3 | → | GO TO A9 |
| Between 14 and 49..... | 4 | → | GO TO A9 |
| Between 50 and 99..... | 5 | → | GO TO A9 |
| Between 100 and 499..... | 6 | → | GO TO A9 |
| Greater than or equal to 500..... | 7 | → | GO TO ELIGIBILITY FLAG |
| OTHER | 8 | | |

READ: Please explain: _____
 DK or RF.....DK or RF

QUESTION BY QUESTION (QXQS) NOTES

A8.4 Generally, most firms will have at least one individual working for the firm (owner or employee) during a typical pay period. One possible reason for zero workers could be that the firm was inactive during that time period.

Another possibility is that the respondent is thinking of times when the owner might have worked for the firm, but there were no individuals on the payroll who received pay in any form including sales commissions and non-monetary payment in the form of goods and services, such as room and board.

Please carefully record the explanation for zero workers provided by the respondent.

A9. Most firms will have a single location.

A9.1 Read question exactly as worded. We do not want to talk to branch locations, regardless of whether the R is an owner or proxy. This study is with HQ and main locations only. If the address was formerly the firm's HQ or main office, the firm is still eligible.

A9.2 Read question exactly as worded. We do not want to talk to branch locations, regardless of whether the R is an owner or proxy. This study is with HQ and main locations only.

A10 Asks for the last month and day of the firm's fiscal year. A fiscal year can begin and end at any time during the course of a year. Fiscal years are generally equivalent to the period of time for which taxes are reported. When the fiscal year ending date is equal to December 31, the fiscal year is equivalent to the calendar year. DK and RF responses here will not disqualify the business.

QUESTION BY QUESTION (QXQS) NOTES

A10.1 Classifies the firm into one of four major types. It is important to obtain a correct answer to this question, because later questions will depend on the response. If R is unsure, start with these tax-form-based definitions:

- Sole proprietorships file a 1040 tax form. They report the firm’s taxes along with the owner’s personal taxes.
- Partnerships file a 1065 tax form.
- C-Corporations file an 1120 or an 1120A tax form.
- S-Corporations file a 1120S tax form.
- Limited Liability Companies or LLCs can file as a partnership, c-corporation or sole proprietorship. Most LLCs file as partnerships.
- Limited Liability Partnerships or LLPs can file as a partnership or C-Corporation. Most LLPs file as partnerships.

Generally, owners or respondents will have no difficulty in determining whether the firm is a sole proprietorship (the firm is owned by a single individual), a partnership (there are multiple owners), or a corporation (the firm has been “incorporated” for purposes of limiting the potential liability of the owners).

MORE ON S-CORPS: A fourth response is whether the corporation is an S-type corporation. This may pose difficulty for some Rs. Generally, owners will know whether they are an S-corporation or not, since that is how they have to file their taxes. Once in a while an individual may not recall that the firm filed as an S-corporation, unless probed.

An S corporation does not pay taxes on the corporation’s income. Instead, the firm’s income and expenses are divided among the shareholders, who report them on their own individual income tax returns.

An S-corporation is a corporation with limited liability. If the firm is a US corporation with only one class of stock, and no more than 75 shareholders, and does not have organizations or non-US citizens as shareholders, then the IRS allows the owners to elect S-corporation status for tax purposes.

SCREENER QUESTIONNAIRE

A10. What is the last day of [FIRM]’s fiscal or tax year?

IF R DOES NOT UNDERSTAND THE QUESTION, SAY: When filing annual taxes, what is the last day of the [FIRM]’s reporting period?

MONTH: _____ DAY: _____
 DK or RF.....DK or RF

PROGRAMMER NOTE FOR A10.1

IF A10=DK/RF, USE “FOR THE MOST RECENT FISCAL YEAR”
 IF A10=[MONTH][DAY], USE “FOR THE FISCAL YEAR ENDING [MONTH][DAY][YEAR]”
 IF [MONTH][DAY] FROM 1/1 THRU 4/30, YEAR=2004
 IF [MONTH][DAY] FROM 5/1 THRU 12/31, YEAR=2003

A10.1. (For the most recent fiscal year/For the fiscal year ending [DATE]), was [FIRM] considered to be a sole proprietorship, a partnership, an S-corporation, or a C-corporation?

IF R IS UNSURE, PRESS [F1] FOR DEFINITIONS

IF R VOLUNTEERS LLC, READ3: Do you file your taxes as a partnership, a corporation or a sole proprietor? (IF R DOESN’T KNOW, CODE AS “LLC, FILED AS PARTNERSHIP”)

IF R VOLUNTEERS LLP, READ4: Do you file your taxes as a partnership or a corporation? (IF R DOESN’T KNOW, CODE AS “LLP, FILED AS PARTNERSHIP”)

- SOLE PROPRIETORSHIP 1
- PARTNERSHIP..... 2
- LIMITED LIABILITY PARTERNSHIP, TAX FILED AS PARTNERSHIP 3
- LIMITED LIABILITY PARTERNSHIP, TAX FILED AS CORPORATION 4
- S-CORPORATION..... 5
- C-CORPORATION 6
- LIMITED LIABILITY COMPANY, TAX FILED AS PARTNERSHIP 7
- LIMITED LIABILITY COMPANY, TAX FILED AS CORPORATION 8
- LIMITED LIABILITY COMPANY, TAX FILED AS SOLE PROPRIETOR 9
- DK OR RFDK or RF

→ PROMPT FOR A YES/NO RESPONSE BEFORE ACCEPTING DK OR RF; PROXY CASES TO CONTINUE TO A10.2; OWNER CASES TO GO TO ELIGIBILITY FLAG.

QUESTION BY QUESTION (QXQS) NOTES

A11. Verify physical address of firm. This is the actual physical location of the firm – it may or may not be the same address as the firm’s mailing address.

Prompt R for a yes/no response before accepting a DK or RF.

PO boxes and rural routes are generally NOT considered to be physical addresses. Prompt R for another address in these situations.

A11.1 Enter correct physical address of firm. You may need to ask the respondent to spell the street address or city.

PO boxes and rural routes are generally NOT considered to be physical addresses. Prompt R for another address in these situations.

A11.1.6 We want an address to which Federal Express will deliver a package. Generally, Fedex will NOT deliver to PO boxes or rural routes. Try to get a physical street address. The firm’s Fedex address may be the same as the firm’s physical address, or it may be an owner’s home address.

Be clear that we are sending materials by Federal Express, and that we need the correct address to get the package to the right person.

We do NOT want to send materials to a proxy. We want an owner to take the main interview, and so it is important that the materials, which are used to prepare for the main interview, are sent to an owner.

SCREENER QUESTIONNAIRE

A10.2 What is the single most important problem facing your business today?

- TAXES.....1
 - INFLATION.....2
 - POOR SALES.....3
 - FINANCING AND INTEREST RATES.....4
 - COST OF LABOR.....5
 - GOVERNMENT REGULATIONS/RED TAPE.....6
 - COMPETITION FROM LARGER FIRMS.....7
 - QUALITY OF LABOR.....8
 - COST AND AVAILABILITY OF INSURANCE.....9
 - OTHER.....10
- READ:** Please specify _____
 DK or RF.....DK or RF

ALL RESPONSES → READ 7

READ7: I would like to verify the physical location of [FIRM]’s main office.

A11. Is [FIRM]’s physical location [ADDRESS, CITY, STATE, ZIP]?

IF STREET ADDRESS CONTAINS A P.O. BOX OR RURAL ROUTE, SAY: Just to confirm, is this the correct address for the firm’s physical location?

- YES.....1 → GO TO A11.1.6
- NO.....2
- DK or RF.....DK or RF → PROMPT FOR YES/NO RESPONSE BEFORE ACCEPTING DK OR RF; GO TO A11.1.6

A11.1 What is the street address of the physical location of [FIRM’S] main office?

IF STREET ADDRESS CONTAINS A P.O. BOX OR RURAL ROUTE, SAY: Just to confirm, is this the correct address for the firm’s physical location? IF R SAYS NO, ASK A11.1 AGAIN.

UPDATE PRELOADED PHYSICAL ADDRESS INFORMATION

ADDRESS: _____

A11.1.1 What is the zip code of [FIRM’S] physical address?

- ZIP CODE: _____ (CITY & STATE FILL FROM LOOK UP TABLE)
- DK or RF.....DK or RF → GO TO A11.1.4

QUESTION BY QUESTION (QXQS) NOTES

SCREENER QUESTIONNAIRE

ZIP CODE LOOK-UP

USE ZIP CODE TO LOOK UP CITY & STATE:

IF NO MATCH

➔ **GO TO A11.1.3**

IF MATCH

➔ **GO TO A11.1.2**

A11.1.2 Is that in [CITY], [STATE]?

YES1

➔ **GO TO COUNTY/
MSA UPDATE (1)**

NO2

A11.1.3 I need to verify, was the zip code [A11.1.1]?

YES1

➔ **GO TO A11.1.1**

NO2

A11.1.4 What is the correct city and state for the physical location of [FIRM]?

CITY: _____ STATE: _____

UPDATE PRELOADED PHYSICAL ADDRESS INFORMATION

A11.1.5 In what [county/borough/parish] is the firm’s main office located?

USE “COUNTY” UNLESS STATE=LA (SUBSTITUTE “PARISH”) OR STATE=AK OR NY (SUBSTITUTE “COUNTY OR BOROUGH”)

IF NOT LOCATED IN A COUNTY ENTER “NONE”

COUNTY: _____
DK or RF.....DK or RF

COUNTY & MSA STATUS UPDATE (1)

UPDATE COUNTY & MSA STATUS OF PHYSICAL ADDRESS

PROGRAMMER NOTE FOR A11.1.6 TO CLOSE1

IF A1=1 (SPEAKING WITH OWNER), THEN FILL [YOU] OR [YOUR], ELSE FILL [OWNER]

QUESTION BY QUESTION (QXQS) NOTES

QUESTION BY QUESTION (QXQS) NOTES

- A13.** Verify owner’s correct title. Prompt respondent for a Yes/No response before accepting a “Don’t Know” or “Refused” response. If title of owner is correct, go to A14. If incorrect, go to A13.1 to update preloaded title for owner.
- A14.** We will accept phone numbers for mobile phones – whatever is the best number to reach the owner. Since the main interview can take half an hour or more, however, it is often easier for R to do the interview on a regular land-line phone.
- A15.** The email address can be for a business account or personal account, it does not matter. We would like an email address that the owner accesses regularly, in case we need to contact the owner by email. Do not pressure R into providing an email address. The main interview cannot be done by email or online. If asked, explain to R that a trained, professional interviewer is required to ask the questions and record responses. A phone interview is the fastest, most efficient way to conduct the interview.
- A15.1** Read prompt if necessary. Do not push for email address. If we can get an email address, that’s great, but it is not critical to the study’s success to have an email address.

SCREENER QUESTIONNAIRE

A12.1 What is the correct spelling of (your/the owner’s) name?

UPDATE PRELOADED OWNER’S NAME

OWNER’S NAME: _____

A13. I have (you/[OWNER]) listed as the owner. Is that (your/his/her) correct title?

YES.....1

➔ **GO TO A14**

NO.....2

DK or RF.....DK or RF

➔ **PROMPT FOR YES/NO RESPONSE BEFORE ACCEPTING DK OR RF; GO TO A14**

A13.1 What is (your/[OWNER’S]) correct title?

UPDATE PRELOADED TITLE

TITLE: _____

A14. And, is the best telephone number to reach (you/[OWNER]): [TELEPHONE NUMBER]?

YES.....1

➔ **GO TO A15**

NO.....2

DK or RF.....DK or RF

➔ **PROMPT FOR YES/NO RESPONSE BEFORE ACCEPTING DK OR RF; GO TO A15**

A14.1 What is the best telephone number to reach (you/[OWNER])?

UPDATE PRELOADED TELEPHONE NUMBER

NUMBER: _____

A15. (Do you/Does [OWNER]) use e-mail?

OWNER INFO: IF R INDICATES DK OR RF, DO NOT PROBE. PLEASE CODE RESPONSE F7 OR F8 AND CONTINUE.

YES.....1

NO, NO EMAIL ACCOUNT.....2

NO, DO NOT WANT EMAIL USED.....3

DK or RF.....DK or RF

➔ **GO TO ELIGIBILITY FLAG**

➔ **GO TO ELIGIBILITY FLAG**

➔ **GO TO ELIGIBILITY FLAG**

QUESTION BY QUESTION (QXQS) NOTES

SCREENER QUESTIONNAIRE

A15.1 May I please have (your/[OWNER’S]) e-mail address?

IF R IS HESITANT OR ASKS WHY HE OR SHE SHOULD PROVIDE E-MAIL ADDRESS, SAY: We have found it is sometimes more efficient or easier to reach people by email. We will not give out your e-mail address to anyone else, and we will not email you frequently or without an important reason.

IWER INFO: IF R INDICATES DK OR RF, DO NOT PROBE. PLEASE CODE RESPONSE F7 OR F8 AND CONTINUE.

E-MAIL ADDRESS: _____

DK or RF.....DK or RF

→ GO TO ELIGIBILITY FLAG

A15.2 I’d like to confirm that address. I have [EMAIL]. Is that correct?

YES.....1

→ GO TO ELIGIBILITY FLAG

NO.....2

→ GO TO A15.1

DK or RF.....DK or RF

→ GO TO ELIGIBILITY FLAG

QUESTION BY QUESTION (QXQS) NOTES

- CLOSE1:** Closes out the interview after the firm has been determined eligible. The case is complete and will be coded as eligible. The firm will be sent by Federal Express a worksheet package and then be recontacted to take the main Interview. The close provides the R with important information about what happens next. Read it completely and at an adequate pace. Use this close to end the interview on a positive note! Thank the respondent; we are very appreciative of his/her help.
- CLOSE2:** Closes out the interview after the business has been determined ineligible. The case is complete and will be coded as ineligible and removed from circulation.
- CLOSE3:** Closes out the interview when the owner refuses or is unable to answer one of the six eligibility questions. These cases will be filed as ineligible.
- CLOSE4:** Closes out the interview after it has been determined that we have contacted a business that should not be part of the sample. These firms are ineligible to participate in the survey.

SCREENER QUESTIONNAIRE

ELIGIBILITY FLAG		
CONDITION	FLAG VALUE	GO TO
If (A3=2 or A3.1=2 or A5=1 or A6=2 or A7=1 or (A8.1+A8.2)≥500 or A8.3=7 or A8.3.1=1 or A9.1 = 2 or A9.2 = 2) & A1=1	1 -- Ineligible/Owner Screened	CLOSE2
If (A3=2 or A3.1=2 or A5=1 or A6=2 or A7=1 or (A8.1+A8.2)≥500 or A8.3=7 or A8.3.1=1 or A9.1 = 2 or A9.2 = 2) & (A1.2=(1 or 2) OR A1=6)	2 -- Ineligible/Proxy Screened	CLOSE2
If (A2.3=DK or A3=DK or A3.1=DK or A5=DK or A6=DK or A7=DK or A8.3.1=DK or A9=DK or A10.1=DK) & A1=1	3 – Ineligible/DK Response/Owner Screened	CLOSE3
If (A2.3 = DK or A3=DK or A3.1=DK or A5=DK or A6=DK or A7=DK or A8.3.1=DK or A9=DK or A9.2=DK or A10.1=DK) & (A1.2= (1 or 2) OR A1=6)	4 – Eligible/DK Response/Proxy Screened	CLOSE1
If (A2.3 = RF or A3=RF or A3.1=RF or A5=RF or A6=RF or A7=RF or A8.3.1=RF or A9=RF or A10.1=RF) & A1=1	5 – Ineligible/RF Response/Owner Screened	CLOSE3
If (A2.3 = RF or A3=RF or A3.1=RF or A5=RF or A6=RF or A7=RF or A8.3.1=RF or A9=RF or A9.2=RF or A10.1=RF) & (A1.2=(1 or 2) OR A1=6)	6 – Eligible/RF Response/Proxy Screened	CLOSE1
If A2.3 = 2	9 - Unconfirmed Firm Name	CLOSE4
If A1=1 & ELSE	7 - Eligible/Owner Screened	CLOSE1
If (A1.2=(1 or 2) OR A1=6) & ELSE	8 - Eligible/Proxy Screened	CLOSE1

QUESTION BY QUESTION (QXQS) NOTES

SCREENER QUESTIONNAIRE

INTERVIEWER COMMENT FIELD: ENTER COMMENTS REGARDING YOUR EXPERIENCE WITH THIS RESPONDENT, BUSINESS OR WITH THE SCREENER THAT WILL AID IN INTERVIEWING:

CLOSE1: Thank you for your help. Let me explain what happens next. In the next week (you/[OWNER]) will receive a Federal Express package from NORC. The package contains important information about the main interview. After (you/[OWNER]) [receive(s)] the package, another NORC interviewer will call (you/[OWNER]) to go through the main interview, which will then complete the firm's participation in the study. As a token of our appreciation for taking the main interview, (you/[OWNER]) will receive either fifty dollars or the Dun and Bradstreet Small Business Solutions package, which retails for \$199. Again, thank you. Good bye.”

~~~~~ **SCREENER ENDS** ~~~~~

**CLOSE2:** This is a survey of headquarter locations of independent, privately owned, for-profit small businesses that were in business in 2003. Unfortunately, your business does not qualify for this survey. However, I appreciate your taking the time to talk with me. Thank you. Goodbye.

~~~~~ **SCREENER ENDS** ~~~~~

CLOSE3: Thank you very much for your help. This is a survey of headquarter locations of independent, privately owned, for-profit small businesses that were in business in 2003. We need to be certain that [FIRM] qualifies in this way before we proceed. Since we were unable to verify that your business meets all of the necessary qualifications, I'll have to thank you for your time for now. Goodbye.

~~~~~ **SCREENER ENDS** ~~~~~

**CLOSE4:** Thank you very much, but it appears that I've called the wrong business. However, I appreciate you taking the time to talk to me. Good bye.

~~~~~ **SCREENER ENDS** ~~~~~