

## QUESTIONNAIRE FOR PERFORMANCE ASSESSMENT IN RSEE

Dear Sir or Madam,

This questionnaire is part of the doctoral research of Leomara Battisti Telles, a student in the Graduate Program in Production Engineering (PPGEP), at the Federal Technological University of Paraná (UTFPR), Ponta Grossa Campus, conducted under the supervision of Professor Juliana Vitória Messias Bittencourt.

The objective of this questionnaire is to assess the performance of rural solidarity economy enterprises in the Southwest region of Paraná, as well as to weigh the criteria used to conduct the evaluation. The information used in this survey will be treated with the utmost secrecy and confidentiality to protect the entity and the respondent. Other than those responsible for completing the survey, no volunteers will be identified.

By agreeing to participate in the research, you acknowledge that all explanations were provided by the responsible researcher, enabling you to freely make a decision regarding your participation in the research, acting autonomously, consciously, freely and clearly, as determined by the protocol of Item IV of CNS Resolution number 466 of 2012.

If you have any questions or require clarifications, please contact us at leomarabattisti@ifpr.edu.br or by phone at (46) 99102-3132. We ask you to answer the questions with care and sincerity so as not to compromise the results of the research. Your participation is extremely relevant to the results of this research.

Thank you for your cooperation!

### SECTION I - ENTITY CHARACTERISTICS

In this section we intend to collect information on the characteristics of your enterprise and data for follow-up, if necessary.

Name of the enterprise:

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Year of incorporation:

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Respondent Name:

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Position / Function of Respondent:

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E-mail / telephone for contact:

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Products and activities developed by members/associates:

Grains

Greens

Fruit

Meat and/or eggs

Processed products

Others: \_\_\_\_\_

Does the enterprise have volunteers? (non-salaried employees)

No

Yes

If yes, how many?

Women: \_\_\_\_\_

Men: \_\_\_\_\_

### SECTION II - WEIGHT OF SELECTED CRITERIA

In this section, we intend to identify, with your input, the weight (level of importance) of each criterion selected to carry out the performance evaluation based on principles of the Solidarity Economy. In the following questions, please indicate the importance of each criterion, using a scale from 1 to 5, where 1 is the least relevant (1 - Not important) and 5 is the most relevant (5 - Extremely important).

	Considering <b>Democratic management and legalization</b> , assign a level of importance for the following criteria:	1 Not Important	2 Somewhat important	3 Important	Very Important	5 Extremely Important
1	What is the view of the enterprise about associates also being employees of the enterprise?					
2	What is the weight attributed by the enterprise to internal transparency? (accessibility by all associates and employees to clear information about processes, economic situation, etc.)					
3	What is the view of the enterprise in relation to the participation of all associates in relevant decisions of the enterprise?					
4	What is the weight attributed to updating and maintaining records and legal documents necessary for the proper operation of the enterprise? (CNPJ, state registration, municipal registration, permits, health inspection, internal statute and by-laws, records, etc.)					
5	How important is periodical renewal of Council members to the enterprise? (Fiscal, Administration, etc.)					
6	What is the weight assigned to participatory planning?					
	Considering <b>Valuing human labor</b> , assign a degree of importance to the following criteria:	1 Not Important	2 Somewhat Important	3 Important	4 Very Important	5 Extremely Important
7	What is the weight attributed to investment in training of employees of the enterprise?					
8	What is the view of the enterprise in relation to offering theoretical and practical training to prevent of occupational accidents?					
9	How important to the enterprise is reducing the difference between the highest and lowest salaries in the enterprise?					
10	How important to the enterprise is paid time-off /leave for emergency care of loved ones? (without deducting salary or paying back working hours)					
11	What is the weight attributed to investment in theoretical and practical training of associates in relation to their production activities?					

12	How important to the enterprise is offering incentives for culture and leisure activities for associates and employees?					
	Considering <b>Technological and Economic Viability</b> , assign a degree of importance to the following criteria:	1 Not Important	2 Somewhat Important	3 Important	4 Very Important	5 Extremely Important
13	What is the weight attributed to understanding the source of the enterprise's gross revenue? (sales of goods and services, subsidies and/or agreements with the public administration, other revenue)					
14	How important to the enterprise is the allocation of excess revenue?					
15	How important to the enterprise is the periodic presentation of management reports to associates and employees?					
16	What is the position of the enterprise in relation to offering rural property management courses to its associates?					
17	What is the weight attributed to the existence of a debt negotiation policy?					
18	What is the weight attributed to the existence of planning to avoid decapitalization?					
	Considering <b>Commitment to minorities</b> , attach a degree of importance to the following criteria:	1 Not Important	2 Somewhat Important	3 Important	4 Very Important	5 Extremely Important
19	How important to the enterprise is gender equity?					
20	What is the enterprise's position in relation to narrowing the gender pay gap? (employees)					
21	How important to the enterprise is social inclusion of minorities, both associates and employees?					
22	What is the position of the enterprise regarding the presence of women on the Board of Directors and Fiscal Council?					
23	How important to the enterprise is the presence of women among associates?					
24	What is the weight given to actions to combat prejudice? (be it social, racial, cultural, religious, gender, etc.)					
	Regarding <b>Environmental sustainability</b> , attach a degree of importance to the following criteria:	1 Not Important	2 Somewhat Important	3 Important	4 Very Important	5 Extremely Important
25	How important to the enterprise is the inclusion of environmental sustainability values in your mission? (i.e., the raison d'être of your organization, or its main purposes)					
26	What is the position of the enterprise regarding activities to reduce energy consumption?					

27	What is the importance attributed to the habit of recycling and/or reusing products?					
28	How important to the enterprise is organic/agroecological production?					
29	What is the importance given to incentives and promotion of organic production?					
30	What is the vision of the enterprise in relation to offering courses/workshops to raise awareness of proper land and water use?					
	Regarding <b>Cooperation and solidarity</b> , attach a degree of importance to the following criteria:	1 Not Important	2 Somewhat Important	3 Important	4 Very Important	5 Extremely Important
31	What is the position of the enterprise in relation to inter-cooperation between solidarity economy entities? (cooperatives, associations, etc.)					
32	How important is the choice of financial institution the enterprise works with? (credit union, cooperative, banks, etc.)					
33	What is the importance given to supporting local initiatives and/or making technologies available to the community? (assignment of infrastructure, audiovisual material, economic resources, posters, etc.)					
34	How important to the enterprise is offering democratic spaces? (Assemblies/debates/conversations on various topics, such as the solidarity economy and/or cooperation and associations, self-management, etc.)?					
35	What is the importance attributed to consumer welfare?					
36	What is the position of the enterprise in relation to initiatives promoting family farming products and the solidarity economy?					

### SECTION III - PERFORMANCE IN SELECTED CRITERIA

This section evaluates the performance of your enterprise in each of the selected criteria. Please evaluate the following questions and answer considering the current operations of your enterprise. For each question choose only one answer.

#### Dimension I: Democratic management and legalization

**37** Regarding your employees, please answer the following \*:

How many of your associates work in the enterprise?

Women: \_\_\_\_\_

Men: \_\_\_\_\_

How many non-associates work in the enterprise?

Women: \_\_\_\_\_

Men: \_\_\_\_\_

\* From this question we will calculate the percentage of employees who are also associates.

**38** What is the approximate percentage of people involved (employees and associates) who have access to the economic accounts of the enterprise, as well as the information about remuneration and internal procedures, etc.?

- (1) Up to 25%
- (2) From 26% to 50%
- (3) From 51% to 75%
- (4) More than 75%

**39** How often do members meet for decision-making?

- (1) Once a year
- (2) At least once every 6 months
- (3) At least three times per semester
- (4) Once a month

**40** Does the enterprise have all the necessary legal records and documents for its operation? (CNPJ, state enrollment, municipal enrollment, permits, health inspection, internal statute and by-laws, record books, etc.).

- (1) No, none
- (2) Yes, but only some of what is necessary
- (3) Yes, all required documents

**41** How often do you renew the Fiscal Council and Board of Directors?

- (1) Not defined
- (2) A period exceeding 4 years
- (3) At least every 4 years

**42** Do associates and employees participate in internal planning?

- (1) No internal planning is performed
- (2) No, only Council members are invited to participate
- (3) Yes, associates are invited to participate
- (4) Yes, all associates and employees are invited to participate

## **Dimension II: Valuing human labor**

**43** Are measures in place to promote the education and/or training of employees?

- (1) No, none
- (2) Schedules are adapted to facilitate training
- (3) Training hours are included in working hours and/or we help cover the cost of training

**44** Do you offer sufficient and adequate theoretical and practical training to prevent occupational accidents?

- (1) No, the entity cannot yet perform this training
- (2) Yes, only for employees
- (3) Yes, for employees and associates

**45** List in R\$ the highest gross salary and the lowest gross salary of your enterprise based on the 2017 fiscal year \*:

Highest gross salary: \_\_\_\_\_

Lowest gross salary: \_\_\_\_\_

\* From this question we will calculate the difference between the highest and lowest salary.

**46** Does the enterprise offer time/leave for emergency situations (illness, etc.) (without deducting from salary or paying back working hours)?

- (1) No
- (2) Yes, only for urgent child care
- (3) Yes, for urgent extended family care (mother, father, grandmother, partner, roommate, etc.)

**47** Is sufficient and adequate theoretical and practical training offered for the activities conducted by your associates?

- (1) No, never offered
- (2) Yes, less than once a year
- (3) Yes, at least once a year

**48** Do you offer incentives for cultural and leisure activities for associates and employees?

- (1) No
- (2) Yes, only for associates or only for employees
- (3) Yes, for associates and employees

**Dimension III: Technological and economic feasibility**

**49** What is your enterprise's gross revenue \*?

Total annual revenue from receipts (R \$)

- From sales of goods and services: \_\_\_\_\_
- From grants and/or agreements with public administration: \_\_\_\_\_
- Other income: \_\_\_\_\_

\* In this question the percentage from each source will be calculated as: revenue from each individual source/total revenue.

**50** How does your enterprise allocate excess revenue?

- (1) We did not accrue any profit in the last two years (2016 and 2017)
- (2) Reserves are maintained by law and the balance is generally returned to members proportional to their activities
- (3) Reserves are maintained by law and the balance is generally invested to increase the capital of members proportional to their activities and/or other forms of reinvestment in the enterprise

**51** Does your enterprise regularly submit a management report to associates and employees?

- (1) No, we believe that there is no need
- (2) Yes, only to the fiscal and administrative councils
- (3) Yes, only to associates
- (4) Yes, to associates and employees

**52** Does your enterprise offer rural management courses to associates?

- (1) No, never offered
- (2) Yes, less than once a year
- (3) Yes, at least once a year

**53** Does your enterprise have a debt negotiation policy?

- (1) No, not yet defined
- (2) Yes, informally (verbally, without documentation)
- (3) Yes, formally defined (documented in by-laws, procedures and/or minutes)

**54** Does the enterprise have planning to avoid decapitalization?

- (1) No planning on decapitalization
- (2) We are in the planning phase
- (3) We have well-defined plan and actions to prevent decapitalization of the enterprise

**Dimension IV: Commitment to minorities**

**55** How many people are employed in your enterprise \*?

Women: \_\_\_\_\_

Men: \_\_\_\_\_

LGBT (Lesbian, Gay, Bisexual, Transsexual, and Transgender): \_\_\_\_\_

\* In this question gender equity will be calculated.

**56** List in R\$ the value of the average salary of men and the average salary of women in the enterprise based on the 2017 fiscal year \*: (add up all salaries and divide by number of people)

Men's average salary: \_\_\_\_\_

Women's average salary: \_\_\_\_\_

\* In this question, the gender pay gap will be calculated.

**57** How many workers can be included in the following situations \*:  
Workers (associates or not) with disabilities: \_\_\_\_\_  
Immigrants (associates or not): \_\_\_\_\_  
Ethnic minorities (associates or not) (Indigenous, black descendants of quilombos): \_\_\_\_\_  
Federal Government Social Programs Registry (associates or not): \_\_\_\_\_  
\* In this question we will calculate the diversity of workers.

**58** How many associates participate in the Fiscal Council and Board of Directors \*?  
Women: \_\_\_\_\_  
Men: \_\_\_\_\_  
LGBT (Lesbian, Gay, Bisexual, Transsexual, and Transgender): \_\_\_\_\_  
\* In this question gender equality on councils will be assessed.

**59** How many associates does the enterprise have \*?  
Women: \_\_\_\_\_  
Men: \_\_\_\_\_  
LGBT (Lesbian, Gay, Bisexual, Transsexual, and Transgender): \_\_\_\_\_  
\* In this question, gender equity in relation to the associated members will be calculated.

**60** Are there activities in the enterprise to combat prejudice? (female empowerment, lectures/debates on gender equality (including LGBT) and respect for diversity, whether social, racial, cultural, religious, gender, etc.)?  
(1) No  
(2) Yes, but informally and indirectly, with activities less than once a year  
(3) Yes, direct and formally registered, with activities at least once a year

#### **Dimension V: Environmental sustainability**

**61** What is the mission of the enterprise \*?  
( ) We do not yet have a clearly defined mission  
If the enterprise has a clearly defined mission, please describe it here:  
\_\_\_\_\_  
\_\_\_\_\_

\* This question will be used to assess the presence of environmental sustainability values in the mission.

**62** Does your enterprise have a plan to reduce energy consumption?  
(1) Not currently  
(2) Traditional efficiency mechanisms (efficient outlets and lightbulbs, turning off lights)  
(3) Major changes in electrical system or strategies to increase efficiency

**63** Does your enterprise recycle and/or reuse products?  
(1) Never or almost never, less than 10% of products are recycled and/or reused  
(2) Sometimes, between 11% and 40% of products are recycled and/or reused  
(3) Often, between 41% and 75% of products are recycled and/or reused  
(4) Always or nearly always, more than 75% of products are recycled and/or reused

**64** What is the approximate percentage of your associate producers working with organic/agroecological products?  
(1) Up to 25%  
(2) From 26% to 50%  
(3) From 51% to 75%  
(4) More than 75%

**65** Do you offer initiatives to promote organic production?  
(1) No  
(2) Yes, informally, through informal conversations or activities less than once a year  
(3) Yes, formally, with activities at least once a year

**66** Does your enterprise offer courses/workshops to raise awareness of the need to protect soil and water?

- (1) No
- (2) Yes, less than once a year
- (3) Yes, at least once a year

**Dimension VI: Cooperation and solidarity**

**67** Does your enterprise work with other cooperatives or Solidarity Economy entities (Forums and/or Councils, social movements or other solidarity economy enterprises)?

- (1) No, not related to any other Solidarity Economy cooperatives or entities
- (2) Yes, only with central cooperative or association
- (3) Yes, with at least one more Solidarity Economy cooperative/association or entity besides the central

**68** What type of financial institution does your enterprise normally deal with?

- (1) Only with banks (e.g., Banco do Brasil, Caixa Econômica Federal, Bradesco, Itaú, etc.)
- (2) Banks and cooperatives
- (3) Credit unions (e.g., Sicoob, Sicredi, etc.)
- (4) Credit unions (e.g., Cresol, etc.), community banks (e.g., Banco Palmas, etc.) and/or other forms of credit for specific funds (e.g., Caritas, Fundos perdidas, etc.)

**69** Does your enterprise support local initiatives and/or make resources available to the community? (assignment of infrastructure, audiovisual material, economic resources, posters, etc.)?

- (1) No, we do not support local initiatives
- (2) Yes, but it is not often requested
- (3) Yes, often

**70** Do you offer training/lectures/debates/conversations about the solidarity economy and/or cooperation, associations, and self-management?

- (1) No, never offered
- (2) Yes, less than once a year
- (3) Yes, at least once a year

**71** Does your enterprise have initiatives to raise awareness of the importance of consumer welfare? (Organic products with necessary health benefits, etc.)

- (1) No
- (2) Yes, informally (through informal conversations) and/or activities less than once a year
- (3) Yes, with formally defined activities and/or activities at least once a year

**72** Does your enterprise have an initiative to promote family farming products and the solidarity economy? (Marketing, product packaging, promotional events, lectures, etc.)

- (1) No
- (2) Yes, informally (through informal conversations) and/or activities less than once a year
- (3) Yes, with formally defined activities and/or activities at least once a year

Please include below any comments about the questionnaire or others points that you consider important.