

THE WORLD BANK
Enterprise Survey
Manufacturing Module (2012)

A. CONTROL INFORMATION [TO BE COMPLETED BEFORE INTERVIEW]

A.0 Questionnaire a0	Module
Manufacturing	1

A.1 Country

Lao PDR

A.1a Language

a1a

A.2

Sampling Region
a2

VTE capital	1
Savannakhet	2
Champasak	3
Luang Prabang	4
Luang Namtha	5
Khammouane	6

A.3a

Screener Region
(coded ex post)
a3a

VTE capital	1
Savannakhet	2
Champasak	3
Luang Prabang	4
Luang Namtha	5
Khammouane	6

A.3x Name of village and district

a3x

A.3 Size of locality **a3**

District with population over 1 million – other than capital	2
Over 250.000 to 1 million	3
50.000 to 250.000	4
Less than 50.000	5

A.4 Industry

		Sampl g sector a4a	Screener sector a4b
Manufacturing :Section D	Food	15	15
	Tobacco	16	16
	Textiles	17	17
	Garments	18	18
	Leather	19	19
	Wood	20	20
	Paper	21	21
	Recorded media	22	22
	Refined petroleum product	23	23
	Chemicals	24	24
	Plastics & rubber	25	25
	Non metallic mineral products	26	26
	Basic metals	27	27
	Fabricated metal products	28	28
	Machinery and equipment	29	29
	Electronics (31 & 32)	31	31
	Precision instruments	33	33
Transport machines (34 & 35)	34	34	
Furniture	36	36	
Recycling	37	37	
Retail	Retail	52	52
Other Services	Wholesale	51	51
	IT	72	72
	Hotel and restaurants:	55	55
	Services of motor vehicles	50	50
	Construction	45	45
Transport storage and communications (60-64)	60	60	
Other	Mining and extractive industry (10 through 14)	10	10
	Electricity (40 & 41)	40	40
	Financial (65 & 67)	65	65
	Real estate, renting and business activities (70 through 74)	70	70
	Education	80	80

A.5 Sector match between screener information and sample frame **a5**

Yes, screener and sample frame info match	1
No, screener and sample frame do not match but establishment still does activities that match sample frame	2
No, does not match	3

A.12 Interviewer code **a12**

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A.13 Supervisor code **a13**

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A.6 Size

	Sampling size a6a	Screener Size a6b
Small ≥ 5 and ≤ 19	1	1
Medium ≥ 20 and ≤ 99	2	2
Large ≥ 100	3	3

A.7 Establishment is part of a larger firm **a7**

Yes	1
No, a firm on its own	2

A.7a

Number of establishments that form the firm	a7a
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A.8 Type of establishment **a8**

HQ without production and/or sales in this location	1
HQ with production and/or sales in this location	2
Establishment physically separated from HQ and other establishments of the same firm	3
Establishment physically separated from HQ but with other establishments of the same firm	4
DOES NOT APPLY	-7

A.9 Are establishment's financial statements prepared separately from HQ's statements? **a9**

Yes	1
No	2
DOES NOT APPLY	-7

A.10 Are establishment's financial statements prepared separately from other establishments of the same firm?

a10

Yes	1
No	2
DOES NOT APPLY	-7

A.11 If HQ, are financial statements independent from the rest of establishments?

a11

Yes	1
No	2
DOES NOT APPLY	-7

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

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

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING.

The goal of this survey is to gather information and opinions about the business environment in [insert country name]. The information gathered here will help the World Bank 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.

B. GENERAL INFORMATION

READ OUT THE FOLLOWING INTRODUCTORY SENTENCE ONLY IF A7 = 1 (yes):

The first few questions apply to the firm which your 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) <u> b1x </u>	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

b4

READ ONLY IF A7=1 (yes)

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

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

	Year	Answer from previous round
Year establishment began operations	b5	Answer from previous round
DON'T KNOW (SPONTANEOUS)	-9	Answer from previous round

INTERVIEWER: PROVIDE FOUR DIGITS FOR YEAR

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	Answer from previous round
Year establishment formally registered	b6b	Answer from previous round
DON'T KNOW (SPONTANEOUS)	-9	Answer from previous round

NEVER REGISTERED (SPONTANEOUS) **-7** 

INTERVIEWER: PROVIDE FOUR DIGITS FOR YEAR.

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

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

B.7a Is the Top Manager female?

Yes	1	b7a
No	2	
DON'T KNOW (SPONTANEOUS)	-9	

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

Yes	1	b8
No	2	
STILL IN PROCESS	-6	
DON'T KNOW (SPONTANEOUS)	-9	

C. INFRASTRUCTURE AND SERVICES

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING.
 Now, we turn to the establishment's operations

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

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

c3

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

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

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

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

c5

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

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

c6

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

	Number
Average number of power outages per month	c7 <i>IF 0, GO TO QUESTION C.9</i>

DON'T KNOW (SPONTANEOUS)	-9
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GO TO QUESTION C.9

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

	Hours
Average duration of power outages	c8
LESS THAN ONE HOUR	1
DON'T KNOW (SPONTANEOUS)	-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

	LCUs
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	GO TO QUESTION C.12 GO TO QUESTION C.12
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	GO TO QUESTION C.15 GO TO QUESTION C.15
No	2	
DON'T KNOW (SPONTANEOUS)	-9	

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	
REFUSE (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	
DON'T KNOW (SPONTANEOUS)	-9	
		c15

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

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	
Average number of incidents of water insufficiency per month	c16	<i>IF 0, GO TO QUESTION C.22a</i> <i>GO TO QUESTION C.22a</i>
DON'T KNOW (SPONTANEOUS)	-9	

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

D. SALES AND SUPPLIES

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

D.1a1 In fiscal year [insert last complete fiscal year], what was this establishment’s main activity and product, that is, the activity and product that represented the largest proportion of annual sales?
ENUMERATOR: PLEASE SPECIFY THE ACTIVITY AND PRODUCT, FOR EX., SHOES’ MANUFACTURING, NOT JUST THE NAME OF THE PRODUCT

Description **d1a1x**

D.1a2 PLEASE CHOOSE THE 4 DIGIT CODES THAT BEST APPLIES TO THE ESTABLISHMENT’S MAIN ACTIVITY AND PRODUCT. ---coded after interview---

	Code
CODE OF THE MAIN PRODUCT AND ACTIVITY	d1a2
DON’T KNOW (SPONTANEOUS)	-9

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

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

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

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

	LCUs
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)	
DON’T KNOW (SPONTANEOUS)	d2x

N.3 In fiscal year [insert last complete fiscal year minus three], three fiscal years ago, what were total annual sales for this establishment?

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

D.3 In 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 11

	Percent	DON'T KNOW (SPONTANEOUS)	
National sales	d3a %	-9	<i>IF 100, GO TO QUESTION D.10</i> <i>IF 100, GO TO QUESTION D.10</i> <i>IF 0, GO TO QUESTION D.10</i>
Indirect exports (sold domestically to third party that exports products)	d3b %	-9	
Direct exports	d3c %	-9	
	100%		

**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.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

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.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	-7

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	-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 12

	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 D.16

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

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

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

*GO TO QUESTION D.16
GO TO QUESTION D.16*

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.16	At the present time, when this establishment receives delivery of its most important input, on average, how many days of inventory, measured in days of production, does this establishment keep? (INTERVIEWER: IF RESPONDENT REQUIRES CLARIFICATION, DEFINE AS STOCK ON HAND)
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	Days
Days of inventory of most important input	d16
DON'T KNOW (SPONTANEOUS)	-9

D.30	Using the response options on the card; To what degree is Transport an obstacle to the current operations of this establishment? SHOW CARD 13 Using the response options on the card; To what degree is Customs and Trade Regulation an obstacle to the current operations of this establishment? SHOW CARD 13
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						(SPONTANEOUS)		
		No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	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

E. DEGREE OF COMPETITION

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

e11

E.30 Using the response options on the card; To what degree are **Practices of Competitors in the Informal Sector** an obstacle to the current operations of this establishment? **SHOW CARD 14**

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

H. INNOVATION

LaoH.1 In the past 3 years, has this establishment introduced any new technologies within the establishment?

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

Laoh1

LaoH.2 In the past 3 years, has this establishment introduced any new processes within the establishment?

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

Laoh2

LaoH.3 In the past 3 years, has this establishment introduced any new products on the market?

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

Laoh3

LaoH.4 In the past 3 years, has this establishment introduced any new services on the market?

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

Laoh4

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

G. LAND AND PERMITS

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

Yes	1	<i>IF NO, SKIP TO I.1</i>
No	2	
DON'T KNOW (SPONTANEOUS)	-9	

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

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
REFUSE (SPONTANEOUS)	-8

g4

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?

Yes	1	<i>GO TO QUESTION I.3</i> <i>GO TO QUESTION I.3</i>
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

	LCUs
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 or arson on this establishment's premises?

Yes	1	<i>GO TO QUESTION I.30</i> <i>GO TO QUESTION I.30</i>
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 or arson 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

	LCUs
Total annual value of losses	i4b
DON'T KNOW (SPONTANEOUS)	-9

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 15**

						(SPONTANEOUS)		
		No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	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.2 In fiscal year **[insert last complete fiscal year]**, what percentage of this establishment's total annual sales of its goods or services were 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 its day-to-day operations, that was financed from each of the following sources? **SHOW CARD 16**

	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 fixed assets, such as machinery, vehicles, equipment, land or buildings?

Yes	1	
No	2	GO TO QUESTION K.6
DON'T KNOW (SPONTANEOUS)	-9	GO TO QUESTION K.6
	k4	

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

	LCUs	DON'T KNOW (SPONTANEOUS)
Machinery, vehicles, and equipment (new or used)	n5a	-9
Land and buildings	n5b	-9

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 17**

	Percent	DON'T KNOW (SPONTANEOUS)
Internal funds or retained earnings	k5a%	-9
Owners' contribution or issued new equity shares	k5i %	-9
Borrowed from banks: private and state-owned	k5bc%	-9
Borrowed from non-bank financial institutions	k5e %	-9
Purchases on credit from suppliers and advances from customers	k5f %	-9
Other, moneylenders, friends, relatives, bonds, etc	k5hdj%	-9
	100%	

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

K.6 Now let's talk about the establishment's current situation. At this time, does this establishment have a checking or savings account?

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

k6

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.16
GO TO QUESTION K.16

k8

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

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

GO TO QUESTION K.16
GO TO QUESTION K.16

k13

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

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

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

SERIAL NUMBER

Yes	1	<i>GO TO QUESTION K.20</i>
No	2	
DON'T KNOW (SPONTANEOUS)	-9	<i>GO TO QUESTION K.21</i>

k16

K.17 What was the **main** reason why this establishment did not apply for any line of credit or loan?
SHOW CARD 18

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

k17

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

Application was approved	1	
Application was rejected	2	
APPLICATION STILL IN PROCESS	-6	
DON'T KNOW (SPONTANEOUS)	-9	

k20a

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 19**

	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	(SPONTANEOUS) 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 I am going to read one statement describing the courts system and how it could affect business. Please tell me if you Strongly disagree, Tend to disagree, Tend to agree, or Strongly agree. **SHOW CARD 20**

					(SPONTANEOUS)					
					DON'T KNOW	DOES NOT APPLY				
					Strongly disagree	Tend to disagree	Tend to agree	Strongly agree		
“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?

Yes	1	
No	2	GO TO QUESTION J.6a
DON'T KNOW (SPONTANEOUS)	-9	GO TO QUESTION J.6a
		j3

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

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

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

Yes	1	
No	2	

DON'T KNOW (SPONTANEOUS)	-9	
REFUSE (SPONTANEOUS)	-8	
		j5

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

Yes	1	<i>GO TO QUESTION J.7</i>
No	2	
DON'T KNOW (SPONTANEOUS)	-9	
		j6a

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

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

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

	LCUs
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	<i>GO TO QUESTION J.13</i>
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	
REFUSE (SPONTANEOUS)	-8	

j12

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

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

j13

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

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

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

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

j15

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 21

ROTATE OPTIONS		(SPONTANEOUS)						
		No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	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
Corruption	j30f	0	1	2	3	4	-9	-7
Courts	h30	0	1	2	3	4	-9	-7

M. BUSINESS ENVIRONMENT

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

M.1 By looking at card **[insert card number]** 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 **SHOW CARDS 22,23,24**
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

Rotation (option 1, 2 or 3)	m1d
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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 25**

	LCUs	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 costs of fuel	n2f	-9
Total annual costs of electricity	n2b	-9
Total rental cost of machinery, vehicles and equipment	n2ra	-9
Total rental cost of land and buildings	n2rb	-9
Other cost of production not included above	n2j	-9

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

	LCUs	DON'T KNOW (SPONTANEOUS)
Machinery, vehicles, and equipment	n6a	-9
Land and buildings	n6b	-9

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?

	LCUs	DON'T KNOW (SPONTANEOUS)
Machinery, vehicles, and equipment	n7a	-9
Land and buildings	n7b	-9

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

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

a17

INTERVIEWER COMMENTS:

a17x

(Problems occurred/extraordinary circumstances which could influence results)

SUPERVISORS PLEASE ANSWER:

A.18 This questionnaire was completed in:

SERIAL NUMBER

One visit in face-to-face interview with one person	1
One visit in face-to-face interview with different managers/staff	2
Several visits	3

STOP HERE

a18

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

Hour	Minutes

a19h

a19m