

**WORLD BANK
INVESTMENT CLIMATE SURVEY**

For Senior Managers of an establishment
2003

industry code: code11
city code: code12
district code: code13
firm id: code4
interviewer code: code14

INTERVIEWER NOTE : In answering this survey please do NOT leave ANY entries blank. If a quantity is requested and the amount is zero, then please record "0." If a question is asked which is not applicable, then please respond with "N.A." If they refuse to answer, please code "REF". If it is a multiple choice question, please use checks where it is proper to do so.

A. GENERAL INFORMATION

A1 In what year was this firm established? _____ Year ma1

Following are questions concerning your plant's main line of business. For the purpose of this survey a business line is a type of business activity that is defined more narrowly than an industry subsector. For example, producing oil pumps for diesel engines can be the main business line for an engine parts manufacturer.

A2 What is your main business line? _____ ma2a

A3 In 2002 what percentage of the total sales are from your main business line? ma3____ %.

A4 Circle the extent of major market for your main product: (1) your city, (2) your province, (3) China, (4) China and overseas. Ma4_new

A5 In 2002, is the percentage of the total sales in the domestic market supplied by your firm less than 1 percent?
(1) yes, (2) no. ma5_new

If not, what is the percentage? _____% ma4

What is the percentage of the total sales in your major market (see A4)? ____% ma4b

A6 Is your main competitor's share in the domestic market for your most important product less than 1 percent?
(1) yes, (2) no. Ma6

If no, what's the percentage? ma6x ____%

What is the percentage of the total sales in your major market? ____% Ma6bx

A7 In 2002 what percentage of the total sales in the domestic market are supplied by imports? ____% ma5
what percentage of the total sales in your major market are supplied by imports? ____% ma5b

A8 In 2002 how many competitors do you have within your main business line in domestic market?

(1) 1-3, (2) 4-6, (3) 7-15, (4) 16-100, (5) more than 100. ____ma6a

In 2002 how many competitors do you have within your main business line in your major market?

(1) 1-3, (2) 4-6, (3) 7-15, (4) 16-100, (5) more than 100. ____ma6ab

A9 Considering all your competitors, what percentage (in terms of output) have located their plants:

- | | | |
|---|---|-------------|
| 1 | In the same district as your plant | _____ma81 % |
| 2 | Outside your district but in the same city area as your plant | _____ma82 % |
| 3 | Outside your city area but in the same province as your plant | _____ma83 % |
| 4 | Outside your province but in the same country as your plant | _____ma83b% |
| 5 | Overseas | _____ma84 % |
| | | 100% |

A10 Do you have a foreign partner? (1) yes, (2) no. ma12

A11 (*manufacturing only*) What was your plant's capacity utilization in

- | | |
|---------------------------|---------------------------|
| 1. year 2002 ____% ma16aa | 2. year 2001 ____% ma16ab |
| 3. year 2000 ____% ma16ac | 4. year 1999 ____% ma16ad |

B. INNOVATION

B1 What types of innovation have you introduced in your plant since the beginning of 1999?

- | | | |
|--|--------------------------------------|------|
| (1) Introduced new products (or services) in existing business | 1=yes, 2=no
if yes go to (2), (3) | mb11 |
| (2) Entered new business line | 1=yes, 2=no
if yes go to (3)(4) | mb12 |
| (3) New process improvements | 1=yes, 2=no if yes to (4) | mb13 |
| (4) New management techniques | 1=yes, 2=no | mb14 |
| (5) New quality controls in production | 1=yes, 2=no | mb15 |

B2 Within your main business line, how many new products have you introduced since the beginning of 1999? _____ number mb2a

B3 The sale and exports of new business line and new products (including new services).

year		new products	sale of new products as % of total sale	export of new product as % of total sale
2000	1	1=yes 2= no mb3a	mb3a1	mb3a2
2001	2	1=yes 2= no mb3b	mb3b1	mb3b2
2002	3	1=yes 2= no mb3c	mb3c1	mb3c2

B4 Within your main business line, how many types of products have you terminated since January 1999? ____ Mb4.

B5 About patents: have your firm acquired patents in China in the past 3 years? (1) yes, (2) no. **mb6b.**

	2002	2001	2000	Total for all years
1. Number of patents applied for in China	mb6c1	mb6d1	mb6e1	mb6f1
2. Number of patents granted in China	mb6c2	mb6d2	mb6e2	mb6f2
3. Average time taken to receive a decision on a patent filed this year in China (in months)	mb6c4	mb6d4	mb6e4	No need to ask

B6 About patents: have your firm acquired patents in United States in the past 3 years? (1) yes, (2) no. mb7b.

	2002	2001	2000	Total for all years
1. Number of patents applied for in U.S.	mb7b1	mb7c1	mb7d1	mb7e1
2. Number of patents granted in U.S.	mb7b2	mb7c2	mb7d2	mb7e2
3. Average time taken to receive a decision on a patent filed this year in U.S. (in months)	mb7b4	mb7c4	mb7d4	no need to ask

B7 Did you have a contractual or long-standing relationship with any of the following in the following year?

Organization	2002	2001	2000
1. Local university	Mb8a11	Mb8b11	Mb8c11
2. Research institution	Mb8a22	Mb8b22	Mb8c22
3. Firms	Mb8a44	Mb8b44	Mb8c44

C. CERTIFICATION OF PRODUCTS OR SERVICES

C1 Please tell us about the number of your products (or systems) that have been certified by different standard setting bodies. Please code "N.A." if no such certification exists for your business.

Certified products or system?		
	Since establishment of firm	Since Jan. 1, 2000
ISO 9000 (or 9001, 9002, 9003, or 9004) certification	1. yes, 2 no. Mc1a1_new	1. yes, 2 no. Mc1b1_new
Other forms of internationally-agreed certification	1. yes, 2 no. Mc1a2_new	1. yes, 2 no. Mc1b2_new
Certification by a national body	1. yes, 2 no. Mc1a3_new	1. yes, 2 no. Mc1b3_new

C2 Roughly what percent of the number of your products are certified? Mc2_____ %

C3 Are you required to get certificates for your products or services in accordance to Chinese standards?

(1) Yes (2) No. Mc3

C4 If the market share of your main product is more than 1 percent, did your major competitors also obtain product certification?

- | | |
|--|--------------------------------|
| 1. ISO 9000 (or 9001, 9002, 9003, or 9004): | 1 yes, 2 no, 3 DK. 4. na. Mc4a |
| 2. other forms of internationally-agreed certification | 1 yes, 2 no, 3 DK 4. na. Mc4b |
| 3. Certification by a national body | 1 yes, 2 no, 3 DK. 4. na. Mc4c |

D. MARKET ENVIRONMENT

D1 Considering your main business line, on average and relative to the average of the last year, how much have you changed prices over a year?

(CIRCLE THE RELEVANT CODE FOR 'raised' OR 'lowered')

- | | |
|---|-------|
| 1. 2002mc1a1 (1) raised prices %; (2) lowered prices _____ % (3) not change, (4) not comparable | mc1b1 |
| 2. 2001mc1a2 (1) raised prices %; (2) lowered prices _____ % (3) not change, (4) not comparable | mc1b2 |
| 3. 2000mc1a3 (1) raised prices %; (2) lowered prices _____ % (3) not change, (4) not comparable | mc1b3 |

D2 In promoting your company and products, do you advertise

- | | |
|--------------------|------------------|
| 1. On the internet | 1=yes, 2=no mc21 |
| 2. In newspapers | 1=yes, 2=no mc22 |
| 3. On billboards | 1=yes, 2=no mc23 |
| 4. In magazines | 1=yes, 2=no mc24 |
| 5. On TV | 1=yes, 2=no mc25 |
| 6. On radio | 1=yes, 2=no mc26 |

D3 In 2002, what's the percent of revenue that is spent on advertising in your company__ % of sales. ? Md3

D4 Is your firm a member of a business association? (1) yes, (2) no. mc5

If yes, does the business association provide the following services?

(1) provide product certification (1) yes, (2) no.Md41

(2) provide market information (1) yes (2) no Md42

(3) provide information to association members on client or supplier reputation . (1) yes, (2) no. Md43

E. RELATIONS WITH CLIENTS

E1 *Please provide information on the buyers of the products in your main business line during the fiscal year of 2002.*

Total number of clients (retailers, distributors) : md1____ clients

E2 Measured by sales, where are the purchasers of the products in your main business line located:

Within the same district as your plant _____% md21

Outside the same district as your plant but within the same city _____% md22

Outside the same city as your plant but within the same province _____% md22b

Outside the same province as your plant but within the country _____% md23

Overseas _____% md24

100%

E3 Is the percent of your total sales normally that goes to your largest customer less than 1%? (1) yes, (2) no.

Me3

If no, _____% Me3b

E4 On average, how long has your firm done business with clients in your main business line? md4

(1) less than 1 year; (2) 1 year to less than 2 years; (3) 2 years to less than 3 years;

(4) 3 years to less than 4 years; (5) 4 or more years.

E5 *Generally, do you enter into written contracts with your clients? (1) yes, (2) no.* md5

E6 *How many clients have you had a business dispute with during the year 2002?* _____ clients md6

E7 *For such disputes, what share were finally resolved through court action, arbitration and negotiation over the last three years? and how long did it take on average?*

	Share in %	Time to resolve conflicts (months)
1.Court Action	Md71	Md71x
2.Arbitration	Md72	Md72x
(1)By local government	Md72a	Md72ax
(2)By central government	Md72b	Md72bx
(3)By business association	Md72c	Md72cx
3.Negotiation	Md73	Md73x

E8 For the type of goods/services you sell them, how many suppliers does your largest customer use? _____

Me8

E9 What percent of your sales are made to your clients' unique specification (i.e. you cannot sell to other clients)?Me9____%

E10 What % of your sales carries a warranty? Me10____%

E11 If one of your main clients deceives another firm (for example, it does not pay even with ability), would you find out? (1).yes; (2).No Me11

How do you know? 1.From same type of firm ___ Me11a

2.From enterprises association___ Me11b

3.From government agencies ___ Me11c

4.From other source ___Me11d

E12 What's the percentage of client payment that is paid in cash? Me12__ %

E13 Does your firm sell products to other provinces? (1) Yes, (2) No. Me13

If yes, circle all the provinces to which your firm sells product, and answer whether regional protectionalism of a province adversely reduce the amount your firm sells to those provinces:

1=no bad effects,2=moderate bad effects, 3=serious bad effects)

Province	Sell there?	No bad Effects	Moderate bad effects	Serious bad effects	Province	Sell there?	No bad effects	Moderate bad effects	Serious bad effects
Beijing	1.yes 2.no Me13a	Me13ax			Henan	1.yes 2.no Me13p	Me13px		
Tianjin	1.yes 2.no Me13b	Me13bx			Hubei	1.yes 2.no Me13q	Me13qx		
Hebei	1.yes 2.no Me13c	Me13cx			Hunan	1.yes 2.no Me13r	Me13rx		
Shanxi	1.yes 2.no Me13d	Me13dx			Guangdong	1.yes 2.no Me13s	Me13sx		
Neimenggu	1.yes 2.no Me13e	Me13ex			Guangxi	1.yes 2.no Me13t	Me13tx		
Liaoning	1.yes 2.no Me13f	Me13fx			Hainan	1.yes 2.no Me13u	Me13ux		
Jilin	1.yes 2.no Me13g	Me13gx			Sichuan	1.yes 2.no Me13w	Me13wx		
Heilongjiang	1.yes 2.no Me13h	Me13hx			Guizhou	1.yes 2.no Me13x	Me13xx		
Shanghai	1.yes 2.no Me13i	Me13ix			Yunnan	1.yes 2.no Me13y	Me13yx		
Jiangsu	1.yes 2.no Me13j	Me13jx			Shaanxi	1.yes 2.no Me13aa	Me13aax		
Zhejiang	1.yes 2.no Me13k	Me13kx			Gansu	1.yes 2.no Me13ab	Me13abx		
Anhui	1.yes 2.no Me13l	Me13lx			Qinghai	1.yes 2.no Me13ac	Me13acx		
Fujian	1.yes 2.no	Me13mx			Ningxia	1.yes 2.no	Me13adx		

	Me13m					Me13ad			
Jiangxi	1.yes 2.no Me13n	Me13nx			Xinjiang	1.yes 2.no Me13ae	Me13aex		
Shandong	1.yes 2.no Me13o	Me13ox			Tibet	1.yes 2.no Me13z	Me13zx		
Chongqing	1.yes 2.no Me13v	Me13vx							

F. RELATIONS WITH SUPPLIERS OF RAW MATERIALS

Please provide information on the suppliers of the raw materials that you spent the most money on and regularly purchased during 2002

F1 *Total number of main suppliers of this raw material (or key services) that you bought from:*

_____ suppliers me1

F2 *Measured by expenditures, where are your plant's suppliers located?*

Please give the percentage between the following 4 locations:

Within the same district as your plant

_____ % me21

Outside the same district as your plant but within the same city

_____ % me22

Outside the same city as your plant but within the same province

_____ % **me22b**

Within your country but outside the city where your plant is located

_____ % me23

Overseas

_____ % me24

100%

F3 *On average, how long has your firm done business with the major suppliers of your most costly non-labor inputs? (select one only) me4*

- (1) less than 1 year. (2) 1 year but less than 2 years. (3) 2 years but less than 3 years. (4) 3 years but less than 4 years.
(5) 4 or more years.

F4 *Generally do you enter into written contracts with your suppliers? (1) yes, (2) no. me5*

F5 *How many suppliers have you had a business dispute with during the year 2002? _____ suppliers me6*

F6 *If you had disputes with suppliers over the last 3 years, what share were finally resolved through court action, arbitration and negotiation?*

	Share in %	Time to resolve conflicts (months)
1.Court Action	Me71	Me71x
2.Arbitration	Me72	Me72x
(1)By local government	Me72a	Me72ax
(2)By central government	Me72b	Me72bx
(3)By business association	Me72c	Me72cx
3.Negotiation	me73	Me73x

F7 (manufacturing only) Please provide information on your two most important inputs or parts (in the order of importance)

Please enter the name of the raw material	Total number of suppliers you use	How many suppliers of this input are in the market ?	Is this input made to your unique specification?	What percent of this input comes from your largest supplier?
Input 1: Mf7a_____	Mf7a1	Mf7a2	1=yes,2=no Mf7a3	Mf7a4
Input 2:Mf7b_____	Mf7b1	Mf7b2	1=yes, 2=no Mf7b3	Mf7b4

F8 (manufacturing only) Relationships with main supplier for each of two main inputs (same inputs listed above)

Name of Raw material	How many times a year do you get a delivery?	Is your firm the most important customer of this supplier? (1)Yes, (2)No	How long is your relation-ship? (years)	% of inputs (from this supplier) that you pay for before delivery	% of inputs (from this supplier) you buy on credit	If you buy on credit - number of days before supplier will impose penalties
Mf8a	Mf8a1	1=yes, 2=no Mf8a2	Mf8a3	Mf8a4	Mf8a5	Mf8a6
Mf8b	Mf8b1	1=yes, 2=no Mf8b2	Mf8b3	Mf8b4	Mf8b5	Mf8b6

F9 (manufacturing only) If your main supplier of your 2 major inputs failed to deliver, how long would it take you to obtain replacement supplies?

	Input 1	Input 2
Total days	Mf9a	Mf9b

F10 Do friends and relatives of the owners of your plant own any of the suppliers of your plant's most important production materials?(manu only)

Name of most important production materials	Owned by friends and relatives of owners of your plant
1 Mf10a	(1) yes (2) No Mf10a1
2. Mf10b	(1) yes (2) No. Mf10b1

F11 What percentage of supplies you purchase are lower than expected quality? Mf11 _____%

F12 What percentage of the shipments you receive do you return because of inadequate quality? Mf12_____%

F13 When you receive a new delivery from your main supplier, how much inventory of these inputs do you still have in stock, generally? *(Please answer in number of days of production)*

Input 1 Mf13a_____ (days of production)

Input 2 Mf13b_____ (days of production)

F14 For the domestic inputs, what % comes from the same province where your plant is located? Mf14_____%

F15 What's the share of your payment for materials and parts that are paid in cash? Mf15__%

F16 What percentage of sales in the last year were lost due to delivery delays from suppliers? Mf16_____ %

G. SALES AND SUPPLIES

G1 (1) What percentage of your output (in value) that you sell to other firms correspond to intermediate products or services used by these firms in their _____ production process? _____% Mg1a

(2) Do you subcontract? _____ Yes (go to 3) _____ No Mg1b

(3) What percent of your costs are represented by hiring subcontracting firm? Mg1c

(4) What is the percentage of parts used by the firm that are produced within firm (measured by the value of parts)? _____%. Mg1d

G2. If there are absolutely no informal payments, will the revenue of the firm change? Mg2a

(1) increase, _____% (2) decrease, _____%, (3) no change. Mg2b

G3. What is the share of sales to the government? Mg3a_new_____%

What is the share of sales to state-owned enterprises? Mg3b_new _____%

H. RELATIONS WITH GOVERNMENT

H1. How many business days of senior management's time per month are spent in dealing with requirements imposed by government regulations [e.g. taxes, customs, labor regulations, licensing and registration] including dealings with officials, completing forms, etc.? Mh1_new_____ business days.

H2 *During the year 2002 did any government agency or official assist you in ...*

		Yes	No	
1	Identifying foreign investors	1	2	mg3a
2	Locating foreign technology to license	1	2	mg3b
3	Identifying potential foreign clients	1	2	mg3c
4	Identifying potential foreign suppliers	1	2	mg3d
5	Obtaining bank financing	1	2	mg3e
6	Identifying potential domestic clients	1	2	mg3f

H3. What is the share of government officials that deliver efficient services (e.g. public utilities, public transportation, security, education and health)? _____%Mh3

H4. What's the predictability of laws or regulations that materially affect the operation and growth of your business? _____% Mh4_new

H5. What's the likelihood that the legal system will uphold my contract and property rights in business disputes? _____% Mh5

H6. What is the share of competent officials among the government officials that your firm regularly interact with? _____%. Mh6

H7. Among the government officials that your firm regularly interacts with, what is the share that is oriented toward helping rather than hindering firms? _____%. Mh7

I. LABOR

- I1. Do you offer formal training to your employees? ____ (1)Yes(2)No Mi1_new
- I2. About labor demand.
Does the firm have labor redundancy? (1) redundancy, (2) shortage, (3) normal. Mi2_new
(1)The percentage of redundancy in total employees ____% Mi2x
Classified by skill level:
Skilled employees: _____% Mi21
Unskilled employees: _____% Mi22
Classified by duration:
Permanent employees: _____% Mi23
Temporary employees: _____% Mi24
(2) If the firm has labor shortage, the percentage of labor shortage: ____% Mi25
Classified by skill level:
Skilled employees: _____% Mi26
Unskilled employees: _____% Mi27
Classified by duration:
Permanent employees: _____% Mi28
Temporary employees: _____% Mi29

J. INFRASTRUCTURE AND SERVICES

- J1 How long does it take (in days) to obtain a new telephone connection? _____ days Mg5
- J2. What percent of your workforce regularly uses a computer in their jobs? _____% Mj2
- J3. What percentage of the total value of your plant's sales were ordered over the internet or by email:
2002 _____%, mg7a; 2001 _____%, mg7b; 2000, _____%, mg7c.
- J4 How many times in 2002 do you lose power from the public services? _____ times Mg10
- J5 What percent of your production or merchandise value is lost due to power outages or surges from the public grid? (Please include losses due to lost production time from the outage, time needed to reset machines, and production that may be ruined due to processes being interrupted.) _____ % Mj5
- J6 1.What is your average cost of a kilowatt-hour (KwH) of electricity from the public grid? Mj6__(in yuan)
2.Does your establishment own or share a generator? _____ 1 = Yes, 2 = No Mg9
3.If YES, _____ % of your electricity comes from your own or a shared generator. Mj63
4.If YES, what was the generator's initial cost? __(in 1,000 yuan) Mj641 ____year of purchase Mj642
- J7 What percentage of your average shipment is lost due to breakage, theft, or spoilage? ____%Mj7
- J8 For each of the following business services, please assess, for your establishment, whether it is available and affordable and evaluate the quality on a 1-4 scale where 1 is very good and 4 is very poor. (Quality: 1 = very good, 2 = somewhat good, 3 = somewhat poor, 4 = very poor, N/A=not applicable to my establishment)

Item	Line number	Available?	Affordable?	Quality ?
R&D services	1	1=Yes 2=No Mj8a1	1=Yes 2=No Mj8a2	1 2 3 4 N/A Mj8a3
Management	2	1=Yes 2=No	1=Yes 2=No	1 2 3 4

consultants		Mj8b1	Mj8b2	N/A Mj8b3
Marketing	3	1=Yes 2=No Mj8c1	1=Yes 2=No Mj8c2	1 2 3 4 N/A Mj8c3
Accounting	4	1=Yes 2=No Mj8d1	1=Yes 2=No Mj8d2	1 2 3 4 N/A Mj8d3
Legal services	5	1=Yes 2=No Mj8e1	1=Yes 2=No Mj8e2	1 2 3 4 N/A Mj8e3
Insurance	6	1=Yes 2=No Mj8f1	1=Yes 2=No Mj8f2	1 2 3 4 N/A Mj8f3
IT services	7	1=Yes 2=No Mj8g1	1=Yes 2=No Mj8g2	1 2 3 4 N/A Mj8g3

K. INTERNATIONAL TRADE

K1. Is your plant located in an industrial park, or science parks, or export processing zone?

(1) yes, (2) no. mh1

If yes, is the firm re-located from another location? (1) yes, (2) no. Mka

If yes, when did the re-location happen? ____ Year. Mkb

If yes, re-located from where? (1) this city, (2) other cities in the province, (3) other provinces. Mkc

K2. In 2002 on average how many days did it take for your shipments of exports to clear local customs?
_____ days mh4

K3. If you have imported in the past 2 years, on average how many days did it take for consignments of a major imported raw material to clear local customs? (Fill NA if the firm does not import) _____ days mh8

K4. Does your firm have the right to export its products/service directly? (1) Yes, (2) No. Mk4

If yes, a. How long did it take for you to get this right/permit? _____ days. Mk4a

b. How much did you pay for it? _____ Yuan Mk4b

K5. Does the firm have full autonomy in setting the price of your exports? (1) Yes, (2) No. Mk5

If no, how would having full autonomy affect the level of exports: (1) increase, (2) decrease, (3) no effect.
Mk5a

L. FINANCE

L1. What share of your total borrowing (loans, accounts payable) is denominated in foreign currency? ____% Ml1
If has foreign borrowings, what's the average interest rate? Ml1a ____%.

L2. Do you have an overdraft facility or line of credit? 1=Yes 2=No Ml2

IF YES: 1) what is the amount of the line of credit? Ml2a____1,000 yuan

2) what percent is currently unused? Ml2b____%

3) Do you have a loan from a bank or financial institution? Ml2c (1) Yes (2) No

L3. For the most recent loan or overdraft (please fill NA if no loan or overdraft):

1. When was this financing approved (year)? ____c229a

2. Did the financing require collateral or a deposit? 1=yes 2=no ____c229b

3. If yes, what share of collateral was:

(1) Land and buildings? ____%c229c1

(2) Machinery? ____%c229c2

(3) Intangible assets (accounts receivable, inventory)? ____%c229c3

(4) Personal assets of owner/manager (e.g. house)? ____%c229c4

4. What was the approximate value of collateral required as a percentage of the loan value? c229d__ %
5. What is the loan's approximate annual rate of interest? c229e__ %
6. Is the interest rate based on: (1) declining balance (i.e., remaining principal), (2) the original amount of the loan? Mf6
7. Were you charged a fee for the loan? (1) Yes, (2) no. Mf7
8. If so, what is the total fee over the annual average of loan outstanding? __%. mf8
9. What is the duration (term) of long-term loan? ____months c229fb
10. What is the duration (term) of short-term loan? ____months c229fa
11. How long did it take from application to getting the money for long-term loan? ____ weeks c229gb
12. How long did it take from application to getting the money for short-term loan? ____ weeks c229ga
13. Was the loan guaranteed by a provincial or local government credit guarantee agency?
(1) yes (2) no Mf10
14. Were you required to make a deposit in order to get the loan? (1) yes (2) no Mf11_new
15. If so, what was the size of the deposit as a percentage of the loan? Mf11a
16. Is the principal amount of the loan (1) payable at one time at maturity, or (2) payable in installments? Mf11b
17. If in installments, with what frequency? (1) weekly, (2) monthly, (3) quarterly, (4) semi-annually. Mf11c

L4. If you do not have a bank loan, what is the reason? Circle one choice: ml4

(1) Not applied for a bank loan (Go to A), (2) application for bank loan(s) was turned down (Go to B)

A. If you have *not applied for a bank loan* what is the reason? (circle all that apply)

- | | |
|---|------------------|
| 1) Do not need loans | 1=Yes 2=No Ml41a |
| 2) Application procedures for bank loans are too cumbersome | 1=Yes 2=No Ml41b |
| 3) Collateral requirements of bank loans are too stringent | 1=Yes 2=No Ml41c |
| 4) Interest rates are too high | 1=Yes 2=No Ml41d |
| 5) Corruption in the allocation of bank credit | 1=Yes 2=No Ml41e |
| 6) Did not expect to be approved | 1=Yes 2=No Ml41f |
| 7) Other (specify) | Ml4g |

B. If an *application for a loan was rejected*, what was the reason given to you when the application was turned down the last time?

- | | |
|---|------------------|
| 1) lack of collateral | 1=yes 2=no Ml42a |
| 2) incompleteness of application | 1=yes 2=no Ml42b |
| 3) perceived lack of feasibility of project | 1=yes 2=no Ml42c |
| 4) other | Ml42d |

L5. How many banks or financial institutions do you do business with? _____ banks Ml5

L6. What is the credit rating of the firm in the bank? Ml6

L7. What is the length of time you have done business with your primary financial institution/bank? ____yrs Ml7

L8. Are audited financial statements necessary to obtain bank credit? (1) Yes (2) No Ml8

L9. Has the firm benefited from a loan guarantee program offered by loan guarantee companies? (1) Yes, (2) no. Ml9

L10. In your dealings with bank officials and loan officers, was a gift or informal payment expected? (1) Yes, (2) No. Ml10

L11. Is your enterprise publicly-listed? (1) Yes, (2) no. M11

If no, is your enterprise interested in going public? (1) yes, (2) no. M11a

If one of the answers are yes, what are the motivations to do that?

(1) visibility, (2) valuation (i.e. to gauge the value of the firm), (3) current and future financing needs (4) broadening of shareholder base, (5) reducing leverage, (6) government founders or sponsors want to reduce their equity shares, (7) private founders want to reduce their ownership shares. (Select three items) M11b1 M11b2 M11b3

L12. In your view, what is the major impediments to go public? Circle all important answers (1) yes (2) no.

(1) tax burden, M1121 (2) fear of losing control, M1122 (3) public scrutiny/disclosure M1123
(4) restrictive listing requirements, M1124 (5) government listing restrictions M1125
(6) opposition of management M1126 (7) opposition of employees M1127
(8) opposition of existing shareholders. M1128 (9) others M1129

L13. Are you using supplier credit (i.e. accounts payable) to purchase your inputs? Yes No ML13
IF YES, what percent of inputs is purchased on credit? (based on period avg.) ____% M113a
IF NO, is it offered to you by your suppliers? Yes No M113b

L14. Regarding the repayment of trade credit (average over all your trade creditors for all inputs):

1) Average number of days before supplier will impose penalties ____days M114a
2) Average number of days before you pay off your credit ____days M114b
3) Percent of total input cost paid due to the overdue penalty ____% M114c
4) Are you offered a discount on early prepayments of your credit? 1=yes 2=no M114d
5) IF YES, what percent of times do you take this discount? ____% M114e

L15. What percent of your monthly sales is: 1) paid before delivery ____% M115a
2) paid at delivery ____% M115b
3) sold on credit ____% M115c
of which, never paid ____% M115d
100%

L16. Do you offer credit to your customers (i.e. accounts receivable): 1=Yes 2=No M116
1. IF YES, do you offer discount to customers who pay in cash 1=yes 2=no M116a
if yes, how *big is the* discount as a percentage of total credit ____% M116a1
2. How long you *allow* your customer to use the credit ____days M116b
3. On average, how fast you get the *actual* payment ____days M116c
4. What % of your annual sales involves overdue payments from customers? ____% M116d

M. INFORMATION ABOUT THE GENERAL MANAGER AND BOARD OF DIRECTORS

(Note: This Section Refers To The General Manager -- Not The Respondent If He Or She Is Not The General Manager)

M1. What is the highest level of education completed by the General Manager? mi1

(1) postgraduate education at home, (2) postgraduate education abroad
(3) undergraduate education at home, (4) undergraduate education abroad
(5) high-school education, (6) secondary education
(7) primary school education (8) no education

M2 What is the nationality of the General Manager? _____ mi2

M3 How many years has the General Manager held this position? _____ years mi3

Before becoming General manager in this firm, what was his/her position? mi3a

- (1) ordinary employees of the firm, (2) deputy general manager
- (3) General manager of other firms, (4) government officials
- (5) others.

M4 What's the position of the General Manager in the party? Mm4

- (1) party secretary, (2) deputy party secretary,
- (3) party committee member or executive member,
- (4) party member (5) not a party member

M5. When did the General manager becomes a general manager (in any firm or company)?Mm5
_____year.

M6. How was the General Manager appointed? Mm6

- (1) The firm nominate, the governing government agency approval,
- (2) government appointment, (3) appointed by the board of directors
- (4) decided by shareholders' meeting, (5) appointed by employees meeting
- (6) others.

M7. Does the firm have a board of directors? (1) Yes (2) No.Mm7

If yes, (1) Is the General Manager also the chairman of the Board? (1) yes (2) no Mm7a

(2) Is the membership allocation in the Board consistent with the distribution of ownership (for instance, the largest owner has the most of seats; non-owners do not take any seats)? (1) Yes, (2) No. Mm7b

(3) Are employees represented in the Board? (1) Yes, (2) No. Mm7c

(4) Is the government (including state shareholding company) represented in the Board?
Mm7d (1) Yes, (2) No.

(5) The number of board members: _____ persons Mm7e
of which: from the firm _____ persons Mm7f
independent board members _____persons Mm7g

(6) Among board members, what is the percentage that are over 70 years old? ____ % Mm7h

(7) Are there retired executives in the board? (1) yes, (2) no. Mm7i

(8) Is there a requirement of mandatory retirements for directors after certain years of age? (1) yes, (2) no.Mm7j

(9) How many times a year on average does the board have meetings?____ times. Mm7k

(10) Has the board fired any board members because of the lack of attendance to board meetings? Mm7l

(11) What percent of board members have ownership shares in the firm? _____% Mm7m

(12) Has any executives of the firm been fired due to decisions of the board of directors? Mm7o

M8. Is the General Manager's wage paid annually (i.e., Nian Xin Zhi)? (1) yes, (2) no. Mm8

M9. The ratio of the General Manager's wage and bonus to those of middle-level managers is Mm9.

The ratio of wages and bonus of middle-level managers to most employees (i.e. those employees below middle-level) is _____Mm9b.

M10. Does the General Manager has any incentive plans linking his/her income to firm performance? (1) Yes, (2) No.Mm10

If Yes:

the most important performance measure is: (1) profits, (2) sales, (3) investment, (4) stock prices, (5) safety, (6) others. Mm10a

the second most important performance measure is: (1) profits, (2) sales, (3) investment, (4) stock prices, (5) safety, (6) others. Mm10b

The income of the General Manager would increase_____ % if the most important performance measure increases by 1%. (fill 0 if there is no explicit link). Mm10c

The income of the General Manager would increase _____ % if the second most performance measure increases by 1%. (fill 0 if there is no explicit link).Mm10d

The income of the General Manager would decrease _____ % if the most important performance measure decrease by 1%. (fill 0 if there is no explicit link). Mm10e

The income of the General Manager would decrease% if the second most performance measure decrease by 1%. (fill 0 if there is no explicit link).Mm10f

M11. What is the tenure for the general manager? _____ year.Mm11

M12. Did the general manager post security deposit? (1) yes, (2) no.Mm12

If so, what is the amount? _____ yuan Mm12a

M13. If the company is a shareholding company:

Does the General Manager own company stocks? (1) Yes, (2) No. Mm13

If yes, what's the percentage of stock held by the General Manager? _____ % Mm13a.

M14. Is your firm a member of a group company or a holding company? (1) Yes, (2) no.Mm14

If so, (1) does the group/holding company provide loan for your firm? (1) yes, (2) no.Mm14a

(2) does your firm subsidize other members of the group/holding company? (1) yes (2) no.

Mm14b

(3) does your firm benefit from R&D programs of other member companies? (1)yes (2)

no. Mm14c

M15. Autonomy of the General Manager: please circle one of the three choices.

degree of autonomy (percentage)	Production decisions (output, quantity, quality, investment, and so on) Mm15a1	Investment decision Mm15a2	Labor flexibility (hiring, firing, wage) Mm15a3
100%	1	1	1
90-99%	2	2	2
80-89%	3	3	3
70-79%	4	4	4
60-69%	5	5	5
40-59%	6	6	6
20-39%	7	7	7
0-19%	8	8	8

N. INFORMATION ON TAXATION

N1. Does the firm have tax exemption? (1) Yes, (2) No. Mn1

	2002	2001	2000	1999
income tax rate after exemption	Mn1a1 %	Mn1a2 %	Mn1a3 %	Mn1a4 %
income tax rate after exemption due to being located in industrial/science parks or export zone	Mn1b1 %	Mn1b2 %	Mn1b3 %	Mn1b4 %

N2. Please rank the following possible obstacles you may face in your effort to comply with tax laws and regulations

(1=No problem, 2=Minor, 3=Moderate, 4=Major, 5=Very Severe Problem)

1)Tax accounting	1 2 3 4 5 Mn2a
2)Tax forms/filing	1 2 3 4 5 Mn2b
3)Payment methods	1 2 3 4 5 Mn2c
4)Frequency of reporting	1 2 3 4 5 Mn2d
5)Frequency of payments	1 2 3 4 5 Mn2e
6)Inspections, audits	1 2 3 4 5 Mn2f
7)Frequency of changes in rules and rates	1 2 3 4 5 Mn2g
8)Requirements for advance payment of taxes	1 2 3 4 5 Mn2h

N3. How many different tax forms do you fill annually?__Mn3

N4. Do you submit any of the following tax forms/ reports (check all that apply)? (1)YES, (2)NO

VAT	Exercise (consumption)	business taxes	resource Tax	corporate income tax	pension payment	property tax	land tax	Other Taxes
1.Mn4a (1)yes(2)no	1. Mn4b (1)yes(2)no	3.Mn4c (1)yes(2)no	2. Mn4d (1)yes(2)no	3. Mn4e (1)yes(2)no	6.Mn4f (1)yes(2)no	7. Mn4g (1)yes(2)no	8. Mn4h (1)yes(2)no	9. Mn4i (1)yes(2)no

N5. If all contacts with tax inspectors are considered to be 100%, please give the approximate proportions of your dealings with:

	Proportion
1.Local Tax Directorate	Mn5a %
2.Central Tax Directorate	Mn5b %

100%

N6. Please rank the following possible problems:

(1=No problem, 2=Minor, 3=Moderate, 4=Major, 5=Very Severe Problem)

	Local Taxes.	Central Taxes
1. Availability of information and updates on tax requirements	1 2 3 4 5 Mn6a1	1 2 3 4 5 Mn6a2
2.Assessing your future tax liability	1 2 3 4 5 Mn6b1	1 2 3 4 5 Mn6b2

N7. In preparation of your accounting and tax returns do you rely on the services of:

	1=YES	2=NO	3=N/A	
1.Full time employed external accountants/lawyers	1	2	3	Mn7a
2.Part time employed external accountants/lawyers	1	2	3	Mn7b
3.Hire accountants/lawyers or firms on "as needed" basis	1	2	3	Mn7c

N8. How would you rate the following possible problems in your dealings with the State Tax Inspectorate?
(1=No problem, 2=Minor, 3=Moderate, 4=Major, 5=Very Severe)

Problem	Local Taxes	Central Taxes
1.Unfriendly or impolite treatment	1 2 3 4 5 Mn8a	1 2 3 4 5 Mn8a1
2.Artificial complications	1 2 3 4 5 Mn8b	1 2 3 4 5 Mn8b1
3.Excessive paperwork	1 2 3 4 5 Mn8c	1 2 3 4 5 Mn8c1
4.Explicit or implicit requirement to give gifts	1 2 3 4 5 Mn8d	1 2 3 4 5 Mn8d1
5.Lengthy delays in or nonpayment of refunds	1 2 3 4 5 Mn8e	1 2 3 4 5 Mn8e1
6.Lack of competence of officials	1 2 3 4 5 Mn8f	1 2 3 4 5 Mn8f1

N9. According to your reporting requirements do you have to use a cash register or other electronic devices? (1)YES (2) Mn9

If so, how much did it cost you over the last 12 months: Mn9a_____ 1,000yuan

O. ACCESS TO MARKET AND TECHNOLOGY

O1. In a scale of 1 to 5, state whether you're satisfied with the availability/accessibility of information on the following aspects: (1=not satisfied, 2=somewhat unsatisfied, 3=moderately satisfied, 4=largely satisfied, 5=very satisfied)

	not satisfied	somewhat unsatisfied	moderately satisfied	largely satisfied	very satisfied	
1.supply of input/services	1	2	3	4	5	Mo1a
2.demand for your product	1	2	3	4	5	Mo1b
3.export market and import sources	1	2	3	4	5	Mo1c
4.Technical standards	1	2	3	4	5	Mo1d
5.product/technology development	1	2	3	4	5	Mo1e
6.Laws and regulations	1	2	3	4	5	Mo1f

O2. Where do your firm obtain the following information? 1=yes, 2=no

Information	media	business association	employee's personal connection	government agencies	professional services firms	fairs, exhibitions
supply of input/services	Mo2a1	Mo2a2	Mo2a3	Mo2a4	Mo2a5	Mo2a6
demand for your product	Mo2b1	Mo2b2	Mo2b3	Mo2b4	Mo2b5	Mo2b6
export market and import sources	Mo2c1	Mo2c2	Mo2c3	Mo2c4	Mo2c5	Mo2c6
technical standards	Mo2d1	Mo2d2	Mo2d3	Mo2d4	Mo2d5	Mo2d6
product/technology development	Mo2e1	Mo2e2	Mo2e3	Mo2e4	Mo2e5	Mo2e6
laws and regulations	Mo2f1	Mo2f2	Mo2f3	Mo2f4	Mo2f5	Mo2f6

O3. Costs of information

Item	Paid fees?	Total fees(1,000 yuan)	reception fees(1,000 yuan)	do you consider them too high for your company?
supply of input/services	1=yes,2=no Mo3a1	Mo3a2	Mo3a3	1=yes, 2=no Mo3a4
demand for your product	1=yes,2=no Mo3b1	Mo3b2	Mo3b3	1=yes,2=no Mo3b4
export market and import sources	1=yes,2=no Mo3c1	Mo3c2	Mo3c3	1=yes,2=no Mo3c4
technical standards	1=yes,2=no Mo3d1	Mo3d2	Mo3d3	1=yes, 2=no Mo3d4
product/technology development	1=yes,2=no Mo3e1	Mo3e2	Mo3e3	1=yes, 2=no Mo3e4
Laws and regulations	1=yes,2=no Mo3f1	Mo3f2	Mo3f3	1=yes, 2=no Mo3f4

WORLD BANK

INVESTMENT CLIMATE SURVEY

Questions for the Firm's Accountant and/or Personnel Manager

Firm's name: _____ code4 (for firm id)

Interviewer ID: _____ code14

INTERVIEWER NOTE : In answering this survey please do NOT leave ANY entries blank. If a quantity is requested and the amount is zero, then please record "0." If a question is asked which is not applicable, then please respond with "N.A." If they refuse to answer, please code "REF". If it is a multiple choice question, please use checks where it is proper to do so.

A. OWNERSHIP

A.1. Is your current **legal status** one of the following? (CIRCLE ALL THAT APPLY) (M)

Publicly traded or listed company	1 ua11
Non publicly-traded shareholding companies	2 ua121
Private, non-listed company	3 ua122
Subsidiary/division of a domestic enterprise	4 ua13
Subsidiary/division of a multinational firm	5 ua14
Joint venture of a domestic enterprise (domestic investment scheme)	6 ua15
Joint venture of a multinational firm (foreign investment scheme)	7 ua16
State owned company	8 ua17
Cooperative/collective	9 ua18
Others (please specify) ua1x	10ua19

A.2. What percentage of your firm is **owned by** each of the following categories:
Please report each percent relative to total ownership (not as a share of a particular ownership category).

1. Private sector

	Privately held		Publicly held		Total
a domestic top manager or family	ua21a1%	+	ua21b1%	=	ua21c1%
b other domestic individuals	ua21a2%	+	ua21b2%	=	ua21c2%
c domestic institutional investors	ua21a3%	+	ua21b3%	=	ua21c3%
d domestic firms	ua21a4%	+	ua21b4%	=	ua21c4%
e domestic banks	ua21a5%	+	ua21b5%	=	ua21c5%
f foreign individuals	ua21a6%	+	ua21b6%	=	ua21c6%
g foreign institutional investors	ua21a7%	+	ua21b7%	=	ua21c7%
h foreign firms	ua21a8%	+	ua21b8%	=	ua21c8%
i foreign banks	ua21a9%	+	ua21b9%	=	ua21c9%

TOTAL PRIVATE SECTOR
(please sum columns)

_____ % + _____ % = %
ua21a10 ua21b10 ua21c10

_____ + _____ = 100%

2. Government

<input type="text"/> a national government	_____ %	ua2a
<input type="text"/> b state/provincial government	_____ %	ua2b
<input type="text"/> c local/municipal government	_____ %	ua2c
<input type="text"/> d other government, including cooperatives and collective enterprises	_____ %	ua2d

TOTAL GOVERNMENT
(please sum column)

%
ua2e



A3. Did the company in 1999 have the same ownership status as it does now? (1) yes, (2) no. ua3

If yes, go to part "B".

If no, the year of ownership restructured: (1) 1999, (2) 2000, (3) 2001 (4) 2002 ua3a_new

the ownership structure in 1999

(adding government share and non-government share should lead to 100%)

1. Private sector

	Privately held		Publicly held		Total
a domestic top manager or family	ua31a1	+	ua31b1	=	ua31c1
b other domestic individuals	ua31a2	+	ua31b2	=	ua31c2
c domestic institutional investors	ua31a3	+	ua31b3	=	ua31c3
d domestic firms	ua31a4	+	ua31b4	=	ua31c4
e domestic banks	ua31a5	+	ua31b5	=	ua31c5
f foreign individuals	ua31a6	+	ua31b6	=	ua31c6
g foreign institutional investors	ua31a7	+	ua31b7	=	ua31c7
h foreign firms	ua31a8	+	ua31b8	=	ua31c8
I foreign banks	ua31a9	+	ua31b9	=	ua31c9

TOTAL PRIVATE SECTOR

(please sum columns)

ua31a10_ %+ ua31b10_ %= ua31c10_ %

2. Government

a national government	ua3a
b state/provincial government	ua3b
c local/municipal government	ua3c
d other government, including cooperatives	ua3d
and collective enterprises	

TOTAL GOVERNMENT

(please sum column)

ua3e

B. FINANCES AND ACCOUNTING

B.1. Please provide the following information for the plant for the following fiscal years. code "N.A." if a category is not applicable.
(1,000 yuan)

		2002	2001	2000	1999
Value of total sales (products and services, including exports)	1	Ua4a1	Ua4b1	Ua4c1	Ua4d1
Of which: value of total exports (products and services)	2	Ua4a3	Ua4b3	Ua4c3	Ua4d3
total costs of production sold	3	Ub1a1	Ub1b1	Ub1c1	Ub1d1
total labor compensation	4	Ub1a2	Ub1b2	Ub1c2	Ub1d2
total material costs (including raw materials, energy and others)	6	Ub1a3	Ub1b3	Ub1c3	Ub1d3
tax for main business	7	Ubfa1	Ubfa2	Ubfa3	Ubfa4
profit for main businesses	8	Ubga1	Ubga2	Ubga3	Ubga4
profit for other businesses	9	Ubha1	Ubha2	Ubha3	Ubha4
operating expenses	10	Ubia1	Ubia2	Ubia3	Ubia4
management expenses	11	Ubja1	Ubja2	Ubja3	Ubja4
Financial expenses	12	Ubka1	Ubka2	Ubka3	Ubka4
Total interest payments	13	Ubla1	Ubla2	Ubla3	Ubla4
Operating profits	14	Ubma1	Ubma2	Ubma3	Ubma4
Total profits	15	Ubna1	Ubna2	Ubna3	Ubna4

B2. Please enter the following information about taxes :
yuan)

(1,000

		2002	2001	2000	1999
total taxes paid	1	Ub2xa1	Ub2xa2	Ub2xa3	Ub2xa4
VAT paid	2	Ub2xb1	Ub2xb2	Ub2xb3	Ub2xb4
consumption taxes paid	3	Ub2xc1	Ub2xc2	Ub2xc3	Ub2xc4
business tax paid	4	Ub2xd1	Ub2xd2	Ub2xd3	Ub2xd4
resource tax paid	5	Ub2xe1	Ub2xe2	Ub2xe3	Ub2xe4
corporate income taxes paid	6	Ub2xf1	Ub2xf2	Ub2xf3	Ub2xf4
land tax	7	Ub2xg1	Ub2xg2	Ub2xg3	Ub2xg4
housing tax	8	Ub2xh1	Ub2xh2	Ub2xh3	Ub2xh4
other taxes	9	Ub2xi1	Ub2xi2	Ub2xi3	Ub2xi4

B3. What's the total travel and entertainment costs spent in 2002 by the firm? ub3_____ 1,000 yuan.

B4. Please report the following costs to your plant, as the actual figure.

If a category is not applicable for your plant, please code '0'. (1,000 yuan)

		Total payments 2002	Total payments 2000
Rent for land or buildings (if owned, enter value of depreciation)	1	Ub2a1	Ub2c1
Transport services (including freight outward)	2	Ub2a3	Ub2c3
Advertising & marketing	3	Ub2a5	Ub2c5
Research & development	4	Ub2a6	Ub2c6
Contract manufacturing (assembly and sub-assembly)	5	Ub2a8	Ub2c8
Insurance	6	Ub2a9	Ub2c9
Legal and Accounting	7	Ub2a10	Ub2c10
Fees, Taxes, and Levies	8	Ub2a11	Ub2c11
pension payment	9	Ub2a12	Ub2c12

B5. Please indicate the following liabilities (in1,000 yuan, at the end of the fiscal year):

			2002	2001	2000
	TOTAL LIABILITIES	1	Ub5a1_new	Ub5a2_new	Ub5a3_new
Long-term liabilities (one year or more)	Long-term liabilities	2	Ub5b1_new	Ub5b2_new	Ub5b3_new
Short-term liabilities	Total short-term liabilities	3	Ub5c1_new	Ub5c2_new	Ub5c3_new
	accounts payable	4	Ub5d1_new	Ub5d2_new	Ub5d3_new

(one year or less)	wage payable	5	Ub5e1_new	Ub5e2_new	Ub5e3_new
	welfare payable	6	Ub5f1_new	Ub5f2_new	Ub5f3_new
	tax payable	7	Ub5g1_new	Ub5g2_new	Ub5g3_new
Equity	Total equity	8	Ub5h1_new	Ub5h2_new	Ub5h3_new

B6 Approximately what share of net profits were re-invested in your establishment in 2002 (that is, not distributed to owners, the state, or shareholders)? _____% c252 (fill NA if negative profits)

B.7 Please report the book value of your firm's fixed assets in the last three fiscal years. If an asset category does not apply to your firm, please code "N.A.".

(1,000 yuan)

Fixed Asset		Net value of assets in 2002	Book value in 2002	Book value in 2001	Book value in 2000
Total fixed assets	1	Ma11b0	ub3a0	ub3b0	ub3c0
Buildings	2	Ma11b1	ub3a1	Ub3b1	ub3c1
Production machinery and equipment, excluding IT	3	Ma11b2	ub3a2	Ub3b2	ub3c2
Cars, vans, and trucks	4	Ma11b5	ub3a5	Ub3b5	ub3c5
Other (please specify)	5	Ma11b6	ub3a6	Ub3b6	ub3c6

B.8. Please report the value of new investments made by the plant in the following fiscal years. For those categories where investments were not made, please code "0".

Investment	2002 (1,000 yuan)	2001 (1,000 yuan)	2000 (1,000 yuan)
1.Total	ub4a0	ub4b0	ub4c0
2.Buildings	ub4a1	ub4b1	ub4c1
3.Production machinery and equipment, excluding IT	ub4a2	ub4b2	ub4c2
4.Cars, vans, and trucks	Ub4a5	ub4b5	ub4c5
5.Other (please specify)	Ub4a6	ub4b6	ub4c6

B9. Please identify in year of 2002 the contribution of each of the following sources of financing for your establishment's

working capital (i.e. inventories, accounts receivable and cash),new investments (i.e. new land, buildings, machinery and equipment)

Item	Line number	Working Capital	New Investments
Local commercial banks (loan, overdraft)	1	C227b1 %	C227b2 %
state-owned commercial banks	2	Ub9a1 %	Ub9a2 %
other commercial bank	3	Ub9b1 %	Ub9b2 %
urban credit cooperative	4	Ub9c1 %	Ub9c2 %
rural credit cooperative	5	Ub9d1 %	Ub9d2 %
Foreign owned commercial banks	6	C227c1 %	C227c2 %
Investment Funds/Special Development Financing/ Or Other State Services	7	C227e1 %	C227e2 %
Trade credit (supplier or customer credit)	8	C227f1 %	C227f2 %
Loans from family, friends	9	C227i1 %	C227i2 %
Other informal sources (e.g. money lender, informal bank)	10	C227j1 %	C227j2 %
Internal funds or Retained earnings	11	C227a1 %	C227a2 %
Equity, sale of stock to employees	13	C227h1%	C227h2%
Of which: Equity, sale of stock to the management	14	Ub9l1%	Ub9l2%
Equity, sale of stock to legal-persons	15	Ub9m1%	Ub9m2 %
Equity, public issue of marketable share to outside investors	16	Ub9n1%	Ub9n2 %
Other	17	ub9o1%	ub9o2%
Total	18	100%	100%

B10. If you issue or placed debt securities (bonds) or equity securities (shares) that are tradeable on exchanges, what is the distribution of buyers: in %

Buyer	Line number	debt securities	equity securities
Employees	1	Ub10a1	Ub10a2
Of which: management	2	Ub10b1	Ub10b2
External individual investors	3	Ub10c1	Ub10c2
Legal persons	4	Ub10d1	Ub10d2
Government agencies	5	Ub10e1	Ub10e2
Other	6	Ub10f1	Ub10f2
Total	7	100%	100%

B11. Please report the value of the inventory stocks of the plant at the end of the following fiscal years (manufacturing only)

Stock of Inventories of	End 2002 (1,000 yuan)	End 2001 (1,000 yuan)	End 2000 (1,000 yuan)	End 1999 (1,000 yuan)
1.Raw materials, inputs	Ub5a1	Ub5b1	Ub5c1	Ub5d1
2. Final goods	Ub5a2	Ub5b2	Ub5c2	Ub5d2

B12. Please estimate the cost to you of certification in the last 2 years: (1,000yuan)

Certification criteria	Official fee	Required equipment or training	Gifts, banqueting, etc.
1. ISO 9000 (or 9001, 9002, 9003, or 9004) certification	Ub12a1	Ub12b1	Ub12c1
2. Other forms of internationally-agreed certification	Ub12a2	Ub12b2	Ub12c2
3. Quality certification by a national body	Ub12a3	Ub12b3	Ub12c3

B13. In the last two years, has your firm obtained an license or registration?

(1,000 yuan)

item	Line number	whether obtained	Total waiting time (days)	Total costs(incl. Fees, fines, etc.)	Unofficial payment (gifts, bribes, etc)
import license	1	1=yes, 2=no Ub13a1	Ub13a2	Ub13a3	Ub13a4
Business registration	2	1=yes, 2=no Ub13b1	Ub13b2	Ub13b3	Ub13b4
.new registration (last 3 yrs)	3	1=yes, 2=no Ub13c1	Ub13c2	Ub13c3	Ub13c4
renew registration	4	1=yes, 2=no Ub13d1	Ub13d2	Ub13d3	Ub13d4

B14. In 2002, on average, how many days last year were spent in contact (i.e. in inspections, meetings) with each of the following agencies in the context of regulation of your business? And what were the costs associated with these interactions?

(1,000 yuan)

Department	Line number	Total number of days spent in contact with agency dealing with regulation of the business.	Total Cost of Fines or seized goods	Total Gifts, Bribes Required
Tax Inspectorate	1	Ub14a1	Ub14a2	Ub14a3
Labor and Social Security	2	Ub14b1	Ub14b2	Ub14b3
Fire and Building Safety	3	Ub14c1	Ub14c2	Ub14c3
Sanitation/Epidemiology	4	Ub14d1	Ub14d2	Ub14d3
Police	5	Ub14e1	Ub14e2	Ub14e3
Environment	6	Ub14f1	Ub14f2	Ub14f3
technical supervision bureau	7	Ub14g1	Ub14g2	Ub14g3

B15 The days and expenditure to accomplish following activities and to complete the forms in 2002: (1,000 yuan)

Items	Line number	Days worked by managers and professionals	Consultant fee and lawyer fee	Fee for certification	Fee for public relation	Other expenditures
Tax form	1	Ub15a1	Ub15a2	Ub15a3	Ub15a4	Ub15a5
Form for Tax quota	2	Ub15b1	Ub15b2	Ub15b3	Ub15b4	Ub15b5
Form for Tax auditing	3	Ub15c1	Ub15c2	Ub15c3	Ub15c4	Ub15c5
Form for Tax sue	4	Ub15d1	Ub15d2	Ub15d3	Ub15d4	Ub15d5
Others	5	Ub15e1	Ub15e2	Ub15e3	Ub15e4	Ub15e5
Total	6	Ub15f1	Ub15f2	Ub15f3	Ub15f4	Ub15f5

B16 Was company financial statement audited every year? 1 yes, 2 no. Ub15

B17 For how long your company has done that with audit agency? ____Year Ub16

B18. Did your firm import any machinery? (1) yes, (2) no. ub9a

B.19. Please provide the following information on your plant's research and development activities (manufacturing only) (in 1,000 yuan)

Item	2002	2001	2000
1. Total R&D expenditure	Ub11a1	Ub11b1	Ub11c1
Of which:			
2.Labor compensation	Ub11a2	Ub11b2	Ub11c2
3.Capital expenditure	Ub11a3	Ub11b3	Ub11c3
4. Purchase of technology from outside sources	Ub11a4	Ub11b4	Ub11c4
5. Other	Ub11a5	Ub11b5	Ub11c5

C. LABOR FORCE STATISTICS AND TRAINING PROGRAM

The coding for education (for C3) is as follows: 1: master or Ph.D., 2: university, 3:college, 4:high school, 5:middle school, 6:primary school, 7: less primary school.

C.1. what is the average number of total employees (including contractual employees) that work at a given time in your plant?

1. 2002_____number uc1a

2. 2001_____number uc1b

3. 2000_____number uc1c

4.1999_____number uc1d

C.2. Please fill in the table below with the number of employees in each category that work at your plant. If the plant does not hire a category of worker, please code "0" for that category.

item	Line number	Total at the end of 2002	Total at the end of 2001
classified by work types:	1		
Basic production workers	2	Uc2a1	Uc2d1
auxiliary production workers	3	Uc2a2	Uc2d2
engineering and technical personnel	4	Uc2a3	Uc2d3
managerial personnel	5	Uc2a4	Uc2d4
of which: sales	6	Uc2a5	Uc2d5
service personnel	7	Uc2a6	Uc2d6
Other employees	8	Uc2a7	Uc2d7
classified by technical titles:	9		
advanced technical titles:	10	Uc2a8	Uc2d8
Intermediate technical titles	11	Uc2a9	Uc2d9
preliminary technical titles:	12	Uc2a10	Uc2d10
classified by contract type	13		
permanent workers	14	Uc2a11	Uc2d11
temporary workers, interns/apprentices/seasonable workers	15	Uc2a12	Uc2d12

C.3. Please provide the total cost to your plant of the following types of full-time employees in 2002:

item	Line number	compensation in year 2002 (1,000 yuan)	average Education	Average Age
classified by work types:	1			
basic production workers	2	Uc4a	Uc3a1	Uc3b1
auxiliary production workers	3	Uc4b	Uc3a2	Uc3b2
Engineering and technical personnel	4	Uc4c	Uc3a3	Uc3b3
managerial personnel	5	Uc4d	Uc3a4	Uc3b4
of which: sales	6	Uc4e	Uc3a5	Uc3b5
service personnel	7	Uc4f	Uc3a6	Uc3b6
other employees	8	Uc4g	Uc3a7	Uc3b7
classified by technical titles:	9			
advanced technical titles:	10	Uc4h	Uc3a8	Uc3b8
Intermediate technical titles:	11	Uc4i	Uc3a9	Uc3b9
preliminary technical titles	12	Uc4j	Uc3a10	Uc3b10

C.4. Please provide these information on the personnel in your plant's research and development activities.
(manufacturing only)

item	Line number	2002	2001	2000
Total R&D personnel	1	Uc8a1	Uc8b1	Uc8c1
Of which: Scientists and engineers	2	Uc8a2	Uc8b2	Uc8c2

C.5. Please indicate the number of employees receiving formal training during the fiscal year of 2002 in each type of setting (ie. attended classroom or seminar room training, but not including on-the-job training).

Item	Line number	in-house training agencies	universities	corporate partners	government agencies	vocational / technical schools
classified by work types:	1					
basic production workers	2	Uc9a1	Uc9b1	Uc9c1	Uc9d1	Uc9e1
auxiliary production workers	3	Uc9a2	Uc9b2	Uc9c2	Uc9d2	Uc9e2
engineering and technical personnel	4	Uc9a3	Uc9b3	Uc9c3	Uc9d3	Uc9e3
managerial personnel	5	Uc9a4	Uc9b4	Uc9c4	Uc9d4	Uc9e4
of which: sales	6	Uc9a5	Uc9b5	Uc9c5	Uc9d5	Uc9e5
service personnel	7	Uc9a6	Uc9b6	Uc9c6	Uc9d6	Uc9e6
other employees	8	Uc9a7	Uc9b7	Uc9c7	Uc9d7	Uc9e7