

ENTERPRISE NO.		

WAVE NO.
2

Code 01

AFRICA

CODEBOOK
WAVE 2

Regional Program on Enterprise Development

Wave II

Tanzania Replacements Questionnaire
(For New Firms Only Which Were Not in the Original Wave I Sample)

October 1994

The World Bank
Confederation of Tanzania Industries and University of Dar es Salaam, Tanzania
Center for International Business Research, Helsinki School of Economics, Finland
FINNIDA

ENTERED BY: <u>VODEO</u>			
CHECKED BY DATA ENTRY OPERATOR			
REVIEWED, NOT OK: CHECK WITH INTERVIEWERS			
CHECKED WITH INTERVIEWERS: ENTER CORRECTIONS			
REVIEWED AND APPROVED			

VODEO = date of entry

SECTOR: Food.....1
Textile.....2
Wood.....3
Metal.....4

INDU

LOCATION: Dar es Salaam.....1
Morogoro.....2
Tanga.....3
Arusha.....4
Mwanza.....5
Iringa.....6

LOCA

IS THIS FIRM...?

FORMAL.....1
INFORMAL.....2
SERVICE INSTITUTION.....3

SECT

NAME OF THE FIRM: VONAME1

ADDRESS: VOADD

VOADDB (BOX Address)

VOADDT (Town Address)

TELEPHONES: VOTEL1 VOTEL2 VOTEL3

TELEFAX: VOFAX

OWNER OF THE FIRM: VCOWN1

IF INFORMAL, GET HOME ADDRESS: VCHOM1

RESPONDENT: VORES

PERSON TO CONTACT: VCON

Have there been any changes in the firm information on this page since last year?

YES.....1
NO.....2

VOCHAN

INTERVIEWER CODES

AL-OBADI.....1
BLANC.....2
DAHLSTEDT.....3
KAUKO.....4
KAKURU.....5
KAIJAGE.....6
LEINONEN.....7
LUOSTARINEN.....8
LUVANGA.....9
LUTEGE.....10
OKOSO-AMAA.....11
RUTASHOBYA.....12
ZUBERI.....13

VOINT1 VOINT2

LANGUAGE: ENGLISH.....1
SWAHILI.....2

VLANG

REPORT REQUESTED?

YES.....1
NO.....2

VOREP

IN CASE THIS FIRM WAS HARD TO LOCATE, PLEASE DRAW A MAP OR WRITE DOWN IN THE SPACE BELOW ALL INDICATORS THAT MAY HELP TO LOCATE IT NEXT YEAR.

Sze
GROC = ?
GROW
WAGIT

FIRST VISIT

DATE AND TIME PROPOSED FOR THE VISIT

DAY	MONTH	TIME

DATE OF THE INTERVIEW

DAY	MONTH	YEAR

TIME BEGUN	TIME FINISHED
VOTBEG1	VOTFIN1

VODINT1

RESULT: COMPLETED 1
UNCOMPLETED 2
NO CONTACT 3

VOTRES1

IF NOT COMPLETED, WHICH SECTIONS ARE NOT COMPLETED:

NONE

SECOND VISIT

DATE AND TIME PROPOSED

DAY	MONTH	TIME

DATE OF THE INTERVIEW

DAY	MONTH	YEAR

TIME BEGUN	TIME FINISHED
VOTBEG2	VOTFIN2

VODINT2

RESULT: COMPLETED 1
UNCOMPLETED 2
NO CONTACT 3

VOTRES2

PLEASE MAKE SURE THE TABLE ON THE NEXT PAGE IS FILLED IN COMPLETELY TO DOCUMENT THE STATUS OF THE INTERVIEW(S) AND DATA COLLECTED.

DATA ENTRY

DATA ENTRY OPERATOR: _____

CODE:

--

DAY	MONTH	YEAR

SECTION TITLE	PAGES	UNCOMPLETED SECTIONS	ORDER OF IMPLEMENTATION (IF NOT IN ORDER)	RESPONDENT'S POSITION OR FUNCTION	COOPERATIVENESS OF RESPONDENT GOOD..... 1 MODERATE.... 2 POOR..... 3
1. Entrepreneurship	1-9		V00IR1	V0RPR1	V0CRR1
2. General Firm	10-15				V0CRR2
3. Competition	16-18				V0CRR3
4. Technology	19-20				
5. Labor Markets	21-25				
6. Financial Markets	26-38				
7. Infrastructure	39-41				
8. Regulation	42-45				
9. Adjustment	46-47				
10. Investor Confidence	48				
11. Business Support Services	49-51				
12. Labor Market Appendix	52-59		V00IR12	V0RPR11	V0CRR11
General Assessment of the quality of the data (1. Good, 2. Moderately good, 3. Bad)					
VGG-A					

OBSERVATIONS: V00B

AFRICA REGIONAL PROGRAM ON ENTERPRISE DEVELOPMENT WAVE 2 TANZANIA REPLACEMENTS QUESTIONNAIRE (OCTOBER 1994)

BEFORE BEGINNING THE INTERVIEW, THANK THE RESPONDENT FOR HIS PARTICIPATION AND REMIND HIM/HER OF THE REASONS FOR THE INTERVIEW AND THE IMPORTANCE OF THE DATA WHICH WILL RESULT (SEVERAL POINTS THAT SHOULD BE MADE ARE LISTED BELOW). ALSO MAKE SURE THE RESPONDENT UNDERSTANDS THAT ALL INFORMATION GATHERED IN THESE QUESTIONNAIRES IS CONFIDENTIAL. NO FIRM NAMES WILL BE USED IN FINAL REPORTS OR IN INFORMATION RELEASED TO OUTSIDERS.

SEVERAL IMPORTANT POINTS TO STRESS IN EXPLAINING THE REASONS FOR THE INTERVIEW:

- The World Bank and other donors are interested in supporting the private sector more directly. Information on the problems of local business will be helpful in these efforts.
- In order to know what specific policies and programs will assist the businesses in your industry, we have to ask rather detailed questions. Thank you for taking the time to talk to us.
- We would be happy to give you a final report of the results of this study.
- We will come back to see how your company is doing and whether or not you face the same problems next year.

IN RECORDING RESPONSES, PLEASE REMEMBER THE TWO FOLLOWING STANDARD CODINGS THAT APPLY THROUGHOUT THE QUESTIONNAIRE: (1) WHERE THE RESPONDENT ANSWERS *DON'T KNOW* THE RESPONSE SHOULD BE WRITTEN DOWN AS *DK*; AND (2) WHERE THE QUESTION *DOES NOT APPLY* TO THE FIRM OR RESPONDENT, THE ANSWER SHOULD BE WRITTEN DOWN AS *NA*. USE THE NUMBER ZERO OR NIL (0) ONLY IF THAT ANSWER IS REALLY VALID OR IS ONE OF THE CHOICES ALLOWED IN THE CODING.

APPENDIX TO LABOR MARKET QUESTIONNAIRE: SURVEY FOR A SUB-SAMPLE OF APPRENTICES

[illegible]

APPENDIX TO LABOR MARKET QUESTIONNAIRE: SURVEY FOR A SUB-SAMPLE OF APPRENTICES

[illegible]

APPENDIX TO LABOR MARKET QUESTIONNAIRE: SURVEY FOR A SUB-SAMPLE OF WORKERS

NOTE: JOB/LABOR CATEGORIES (QUESTIONS 12-14) MUST MATCH THOSE IN THE LABOR MARKET QUESTIONNAIRE.

W O R K E R N U M B E R	33. How much did you get last year? ALAP-2 AMOUNT	34. How many hours per week do you actually work for this firm? The number of hours actually worked, not the legal number of hours per week HOURS-2 HOURS	35. Do you currently receive any on-the-job training? WITHIN THIS FIRM 1 OUTSIDE THIS FIRM... 2 NO 3 TRNOW-2	36. Did you receive training in the past? WITHIN THIS FIRM 1 OUTSIDE THIS FIRM... 2 NO 3 TRPAS-2
1		15034R		
2				
3				
4				
5				
6				
7				
8				
9				
10				

APPENDIX TO LABOR MARKET QUESTIONNAIRE: SURVEY FOR A SUB-SAMPLE OF WORKERS

NOTE: JOB/LABOR CATEGORIES (QUESTIONS 12-14) MUST MATCH THOSE IN THE LABOR MARKET QUESTIONNAIRE.

[illegible]

NOTE: JOB/LABOR CATEGORIES (QUESTIONS 14-16) MUST MATCH THOSE IN THE LABOR MARKET QUESTIONNAIRE.

WORKER NUMBER	10.	11.	12.	13.	14.	15.	16.	17.	18.	19.		20.	
	How many years work experience did you have before you started working in this firm?	Are you a permanent full-time employee? YES 1 NO 2	Are you a relative of the firm owner or manager? YES 1 NO 2	Are you a member of a labor union? YES 1 NO 2	What is your job now? CODE USING THE LABOR CATEGORIES BELOW FOR 17 TO 20, REFER TO CODING USED ON PAGE 22	What was your job last year? CODE USING THE LABOR CATEGORIES BELOW FOR 17 TO 20, REFER TO CODING USED ON PAGE 22	What was your job when you started in this firm? CODE USING THE LABOR CATEGORIES BELOW FOR 17 TO 20, REFER TO CODING USED ON PAGE 22	How are you currently paid? TIME RATE 1 PIECE RATE 2 PERCENT OF FIRMS' SALES 3	Are you paid for overtime work? YES 1 NO 2	What is your total current or usual wage/salary (excluding allowances and overtime pay, if any)?		What was your wage/salary last year (excluding allowances and overtime pay, if any)?	
	WEXP-2 YEARS	PERM-2	REL-2	OTU-2	JOBN-2	JOBL-2	JOBS-2	PAYN-2	POVER-2	TIME UNIT: HOUR 1 DAY 2 WEEK 3 MONTH 4 YEAR 5 SALNU-2 SALN-2		TIME UNIT: HOUR 1 DAY 2 WEEK 3 MONTH 4 YEAR 5 SALLU-2 SALV-2	
										TIME UNIT	AMOUNT	TIME UNIT	AMOUNT
1													
2													
3													
4													
5													
6													
7													
8													
9													
10													

Managers
 Employed Managers 01
 Proprietors (as Managers) 02

Professionals (Require University Degree)
 Engineers 03
 Physical Scientists (i.e., chemists, physicists) 04
 Accountants, economists, programmers, etc. 05
 Technicians 06

Office Workers
 Skilled Office (i.e., stenographer, typists, word processors) 07
 Unskilled Office (i.e., messengers, helpers) 08

Sales Workers
 Specialized Sales 09
 Sales Assistants 10

Service Workers (i.e. cleaners, guards, servers) 11

Production Workers
 Foremen and Supervisors 12
 Electricians, Plumbers, Welders 13
 Machine Maintenance and repair 14
 Machine operators and assemblers, drivers of equipment .. 15
 Laborers, helpers 16
 Industry Specific 1 (Skilled) 17
 Industry Specific 2 18
 Industry Specific 3 19
 Industry Specific 4 20

NOTE: JOB/LABOR CATEGORIES (QUESTIONS 14-16) MUST MATCH THOSE IN THE LABOR MARKET QUESTIONNAIRE.

1. PLEASE ENTER THE NAMES OF THE WORKERS INTERVIEWED HERE	2. Did we interview you last year? YES..... 1 (⇒ 14) NO 2	3. ETHNIC ORIGIN? AFRICAN.....1 EUROPEAN... 2 ASIAN.....3 OTHER.....4	4. SEX MALE..... 1 FEMALE 2	5. What is your age?	6. When did you leave school?	7. What is the highest level of education you completed? NONE.....1 PRIMARY.....2 (Sl. 1-4, 1-7 after 1964) MIDDLE SCHOOL.....3 (Sl. 5-8, only before 1964) SECONDARY (O Level, Fo. 1-4).....4 (A Level, Fo. 5-6).....5 VOCATIONAL SCHOOL.....6 TECHNICAL/POLYTECHNICAL COLLEGE.....7 PROFESSIONAL SCHOOL.....8 UNIVERSITY, TECHNICAL.....9 UNIVERSITY, NON-TECHNICAL..10 POSTGRADUATE (DOMESTIC)..11 POSTGRADUATE (ABROAD).....12	8. What is the highest standard or form you reached? Standard.....1 Form.....2		9. How long have you been working for this firm?	
WNB-2 NAME-2	INT-2	ORI-2	SEX-2	AGE-2 YEARS	YEASCH-2 YEAR	EDU-2	EFor-2	EFNB-2	NY-2	NBM-2
							Sl. or Form	Sl/Form No.	YEARS	MONTHS
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										

APPENDICES TO LABOR MARKET QUESTIONNAIRE: SURVEYS FOR SUB-SAMPLES OF WORKERS AND APPRENTICES

Wave 2

INSTRUCTIONS FOR INTERVIEWERS

WE SUGGEST YOU INTERVIEW 10 WORKERS FROM EACH FIRM (OR AS MANY AS ARE AVAILABLE). PLEASE OBSERVE THE FOLLOWING GUIDELINES IN SELECTING WORKERS TO INTERVIEW:

1. INTERVIEW AT LEAST ONE WORKER FROM EACH CATEGORY IN WHICH THE FIRM SHOWS EMPLOYEES IN PART A, QUESTION 5 OF THE LABOR MARKET QUESTIONNAIRE. BE SURE TO INTERVIEW AT LEAST ONE MANAGER. THESE CATEGORIES ARE:

Manager		Sales Workers	
Employed manager.....	1	Specialized sales	9
Proprietors (as manager).....	2	Sales assistants	10
Professional (Requires University Degree)		Service Workers	
Engineer	3	(i.e., cleaners, guards, food prep. and servers)	11
Physical scientists (i.e., chemists, physicists)	4	Production Worker	
Accountants, economists, programmers	5	Foremen and supervisors	12
Technicians		Electricians, plumbers, welders	13
	6	Machine maintenance and repair	14
Office Workers		Machiner operators, assemblers, equip. drivers	15
Skilled office (i.e., stenographer, s typists, word proc.) ..	7	Laborers, helpers	16
Unskilled office (i.e., messengers, helpers)	8	Industry Specific 1 (Skilled)	17
		Industry Specific 2	18
		Industry Specific 3	19
		Industry Specific 4	20

2. USE THE WORKERS SURVEY FOR ALL WORKERS, **EXCEPT APPRENTICES**, FOR WHOM THERE IS A SEPARATE APPENDIX IN COUNTRIES WHERE THEY EXIST.
3. IF THE FIRM EMPLOYS CASUAL WORKERS, ASK TO INTERVIEW AT LEAST ONE CASUAL WORKER.

11. BUSINESS SUPPORT SERVICES

SERVICE #3

- (a) Name the organization which provided the service.
PLEASE USE THE CODES IN THE RIGHT COLUMN OF PAGE
49.

V45023A

SPECIFY (IF REQUESTED BY CODE):

V45023AN

- (b) What was the service provided?

DESCRIBE:

023B

- (c) Was the service provided to your firm useful?

YES 1
NO 2

V45023C

If yes, describe the benefits to your firm's operations?

DESCRIBE:

V45023CY

If no, what should the service do to make it more useful to your firm?

DESCRIBE:

V45023CN

11. BUSINESS SUPPORT SERVICES

2. If the answer is yes to one or more of the services above in question 1, answer the following questions for each of the **THREE MOST IMPORTANT** services:

SERVICE #1

- (a) Name the organization which provided the service.
PLEASE USE THE CODES IN THE RIGHT COLUMN OF PAGE 49.

V44021A

SPECIFY (IF REQUESTED BY CODE): 021AN

- (b) What was the service provided?

DESCRIBE: 021B

- (c) Was the service provided to your firm useful?

YES 1
NO 2

021C

If yes, describe the benefits to your firm's operations?

DESCRIBE: 021CY

If no, what should the service do to make it more useful to your firm?

DESCRIBE: 021CN

SERVICE #2

- (a) Name the organization which provided the service.
PLEASE USE THE CODES IN THE RIGHT COLUMN OF PAGE 49.

V44022A

SPECIFY (IF REQUESTED BY CODE): V44022AN

- (b) What was the service provided?

DESCRIBE: 022B

- (c) Was the service provided to your firm useful?

YES 1
NO 2

022C

If yes, describe the benefits to your firm's operations?

DESCRIBE: 022CY

If no, what should the service do to make it more useful to your firm?

DESCRIBE: 022CN

11. BUSINESS SUPPORT SERVICES

R1. Has your firm ever had any assistance or information services from government programs or agencies, foreign donor programs or NGOs in any of the following areas? (MULTIPLE ANSWERS ALLOWED)

YES 1
NO 2

- (a) Technical consulting and engineering services
- (b) Managerial consulting (except export assistance)
- (c) Export assistance
- (d) Technical training
- (e) Managerial training
- (f) Financial assistance (including assistance with loan feasibility studies)
- (g) Infrastructure facilities
- (h) Manufacturing services
- (i) Pressure group
- (j) Assistance for legal formalities

V4301A
V4301B
C
D
E
F
G
H
I
J

LIST OF ORGANIZATIONS (FOR USE IN QUESTION 2 – FOR ALL SERVICES)

Board of External Trade	1
Centre for Agricultural Mechanization and Rural Technology Centre (CARMATEC) or Appropriate Technology Centre	2
Chamber of Commerce	3
High Precision Technological Centre (HPTC)	4
Institute of Development Management (IDM)	5
Institute of Finance Management	6
Institute of Production Innovation (IPI)	7
Investment Promotion Centre (IPC)	8
Metal Engineering and Industries Development Association (MEIDA)	9
Ministry of Industry and Trade	10
Other Industry Association (Specify.)	11
Small Industries Development Organization (SIDO)	12
Tanzania Association of Employers (TAE)	13
Tanzania Bureau of Standards (TBS)	14
Tanzania Engineering Manufacturing and Designing Organization (TEMDO)	15
Tanzania Food and Nutrition Centre (TFNC)	16
Tanzania Industrial Research and Development Organization (TIRD0)	17
University of Dar es Salaam (UDSM, other than IDM or IFM – Specify which Institute.)	18
Other (Please specify)	19

10. INVESTOR CONFIDENCE QUESTIONNAIRE

EXPLAIN TO THE RESPONDENT THAT WE ARE INTERESTED IN HIS EXPECTATIONS FOR THE FUTURE.
IF THE RESPONDENT DOES NOT KNOW, DK SHOULD BE WRITTEN AS THE ANSWER.

1. What do you expect your firm's sales to be compared with today?

- Lower than today1
- Same as today2
- Higher than today3

One year from now: V4201A

Three years from now: V4201B

2. What do you expect your firm's access to credit to be compared with today?

- Lower than today1
- Same as today2
- Higher than today3

One year from now: 02A

Three years from now: 02B

3. What do you expect the cost of credit to be compared with today?

- Lower than today1
- Same as today2
- Higher than today3

One year from now: 03A

Three years from now: 03B

4. What do you expect access to foreign exchange to be compared with today?

- Lower than today1
- Same as today2
- Higher than today3

One year from now: 04A

Three years from now: 04B

5. What do you expect the exchange rate of the US Dollar (in local currency) will be?

- Lower than today1
- Same as today2
- Higher than today3

One year from now: 05A

Three years from now: 05B

9. ADJUSTMENT QUESTIONNAIRE

3. What are your three biggest problems this year?

NOTE: DO NOT READ OFF THESE CATEGORIES. LET THE RESPONDENT ANSWER, THEN CODE. IF RESPONDENT CANNOT ANSWER, HAVE A DISCUSSION.

OWNERSHIP REGULATIONS 1
 TAXES 2
 GOVERNMENT RESTRICTIONS ON ACTIVITIES 3
 GAINING INVESTMENT BENEFITS 4
 LABOR REGULATIONS 5
 DIFFICULTY IN OBTAINING LICENSES 6
 CORRUPTION 7
 LACK OF SERVICED INDUSTRIAL SITES 8
 LACK OF BUSINESS SUPPORT SERVICES 9
 LACK OF INFRASTRUCTURE 10
 ACCESS TO IMPORTED RAW MATERIALS 11
 COST OF IMPORTED RAW MATERIALS 12
 ACCESS TO DOMESTIC RAW MATERIALS 13
 COST OF DOMESTIC RAW MATERIALS 14
 UTILITY PRICES 15
 ACCESS TO CREDIT 16
 HIGH INTEREST RATES 17
 INFLATION 18

INSUFFICIENT DEMAND 19
 ACCESS TO FOREIGN EXCHANGE 20
 HIGH EXCHANGE RATES 21
 COMPETITION FROM IMPORTS 22
 COMPETITION FROM LOCAL FIRMS 23
 UNCERTAINTY ABOUT GOV'T INDUSTRY POLICIES 24
 LACK OF SKILLED LABOR 25
 SECURITY PROBLEMS 26
 LACK OF SPARE PARTS 27
 LACK OF WORKING CAPITAL 28
 LIQUIDITY PROBLEMS 29
 COST OF RENTS 30
 OTHER 31

(SPECIFY: V4103A#)

B#

C#

FIRST	SECOND	THIRD
V4103A	V4103B	V4103C

9. ADJUSTMENT QUESTIONNAIRE

ASK THE FOLLOWING TWO QUESTIONS ABOUT THE BUSINESS FACTORS LISTED BELOW:

	1. How have the following things changed in the last year? Improved..... 1 No Change 2 Worsened 3	2. How severe a problem are these factors for your firm? Not a problem..... 1 Slight problem 2 Moderate problem ... 3 Large Problem..... 4 Severe Problem..... 5
(a) Export opportunities	V4001A	V4002A
(b) Access to foreign exchange	B	B
(c) Cost of foreign exchange	C	C
(d) Competition from imports	D	D
(e) Competition from local firms	E	E
(f) Access to imported raw materials	F	F
(g) Cost of imported raw materials	G	G
(h) Opportunities to buy foreign machinery and equipment not available before the reform program	H	H
(i) Business support services	I	I
(j) Infrastructure	J	J
(k) Utility Prices	K	K
(l) Demand for product	L	L
(m) Other SPECIFY: V4001MN	M	M

8. REGULATION QUESTIONNAIRE

ASK QUESTIONS 14 AND 15 ABOUT THE FOLLOWING REGULATION CATEGORIES	14. How have the following factors affecting firm operations changed in the last year? Lessened 1 No Change 2 Worsened 3	15. How severe a problem are these factors for your firm? Not a problem 1 Slight problem 2 Moderate problem 3 Large Problem 4 Severe Problem 5
(a) Ownership Regulations	V3914A	V3915A
(b) Taxes	V3914B	B
(c) Government Restrictions On Activities	C	C
(d) Gaining Investment Benefits	D	D
(e) Wage Costs	E	E
(f) Labor Regulations	F	F
(g) Difficulty In Obtaining Licenses	G	G
(h) Corruption	H	H
(i) Other V3914IN, (Specify: I)	I	I

8. REGULATION QUESTIONNAIRE

ASK QUESTIONS 8 AND 9 ABOUT EACH REGULATION AFFECTING FIRM OPERATION LISTED BELOW	8. How have the following regulations affecting firm operation changed in the last year? Improved 1 No Change 2 Worsened 3	9. How severe a problem are these regulations for your firm now? Not a problem 1 Slight problem 2 Moderate problem 3 Large Problem 4 Severe Problem 5
(a) joint venture restrictions?	V 3808A	09A
(b) restrictions on repatriation of profits?	B	B
(c) restrictions on foreign exchange for business travel?	C	C
(d) approval of foreign loans?	D	D
(e) restrictions on payment of fees to non-residents?	E	E
(f) restrictions on payment of technology licenses and royalties?	F	F

ASK QUESTIONS 10 AND 11 REGARDING OBSTACLES AFFECTING FIRMS' ABILITY TO TEMPORARILY REDUCE PRODUCTION	10. How have the following obstacles affecting your ability to temporarily reduce production changed in the last year? Improved 1 No Change 2 Worsened 3	11. How severe a problem are these obstacles for your firm now? Not a problem 1 Slight problem 2 Moderate problem 3 Large Problem 4 Severe Problem 5
(a) Trade union rules regarding layoffs	V 3810A	V 3811A
(b) Government rules	B	B
(c) High financial costs for layoffs	C	C
(d) Other (Specify: V 3810DN)	D	D

ASK QUESTIONS 12 AND 13 REGARDING FACTORS AFFECTING ENTERPRISES' ABILITY TO CLOSE DOWN	12. How have the following factors affecting your ability to close down changed in the last year? Improved 1 No Change 2 Worsened 3	13. How severe a problem are these factors for your firm now? Not a problem 1 Slight problem 2 Moderate problem 3 Large Problem 4 Severe Problem 5
(a) Government restrictions on selling the enterprise or transferring assets	V 3812A	V 3813A
(b) The legal process of bankruptcy or liquidation	B	V 3813B

8. REGULATION QUESTIONNAIRE

R1. How severe is each of the following problems as an obstacle to expansion of your firm?
(On a scale of 1 to 5)

NOT AT ALL1
MODERATE OBSTACLE3
SEVERE OBSTACLE5

- (a) Ownership regulations?
- (b) Taxes?
- (c) Gaining investment benefits?
- (d) Government restrictions on activities?
- (e) Labor regulations?
- (f) Difficulty in obtaining licenses?
- (g) Price controls?
- (h) Foreign exchange controls?
- (i) Lack of business support services?
- (j) Lack of infrastructure?
- (k) Utility prices?
- (l) Lack of credit?
- (m) No demand?
- (n) Location regulations?

V3800A
3800B
C
D
E
F
G
H
I
J
K
L
M
N

(o) Competition from imports?

(p) Other? (SPECIFY: _____)

8. REGULATION QUESTIONNAIRE

1. How much corporate tax did you pay last year?

Central Government

V3701

2. How much sales tax did you pay last year?

Central Government

V3702

3. What was the total import duty paid last year on:

Imported Capital Equipment

V3703C

Imported Inputs

V3703I

ASK QUESTIONS 4 TO 7 ABOUT EACH LICENSE LISTED:

	4. Did you obtain or renew any of these licenses in the past year? OBTAIN.....1 RENEW.....2 NOT APPLICABLE.....3 (⇒ NEXT LINE)	5. How much did the government charge in total to obtain or renew these license? AMOUNT	6. How much in total did you pay for these licenses if you include fees for assistance, agents' fees and extraordinary payments? AMOUNT	7. How long did it take to acquire ...[...]. ...? WEEKS DAYS	
				WEEKS	DAYS
Industrial License (Ministry of Industry and Trade)	V3704R1	SR1	GR1	7R1W	7R1D
Trade/business License (City Council)					
Import License					
Export License					
Industry Specific License #1 (Specify) V3704R5N		SR5	GR5	7R5W	7R5D
Industry Specific License #2 (Specify) V3704R6N		SR6	GR6	7R6W	7R6D
Other (1) (Specify) V3704R7N	04R7	SR7	GR7	7R7W	7R7D
Other (2) (Specify) V3704R8N	04R8	SR8	GR8	7R8W	7R8D

7. INFRASTRUCTURE QUESTIONNAIRE

2. In the last year, have you acquired or constructed any of the following items or begun doing any of the following activities?

YES1
NO2

- (a) generators?
- (b) wells/cisterns?
- (c) freight transport?
- (d) transportation for workers?
- (e) roads?
- (f) CB/Walkie-talkie/Radio
- (g) loading/unloading labor for the ports?
- (h) waste disposal?
- (i) security?
- (j) other?

V3602A
B
C
D
E
F
G
H
I
J

(SPECIFY: V3602J N)

7. INFRASTRUCTURE QUESTIONNAIRE

R6. Transport for workers is a problem because...

- NOT AVAILABLE AT ALL.....1
- NOT FREQUENT ENOUGH.....2
- NOT RELIABLE.....3
- TOO EXPENSIVE.....4
- OTHER.....5

(SPECIFY: _____)

R7. Roads are a problem because...

- NOT AVAILABLE.....1
- NOT IN GOOD CONDITION.....2
- NOT IN ALL WEATHER.....3
- CONGESTION.....4
- OTHER.....5

(SPECIFY: _____)

R8. Telephones are a problem because...

- NOT AVAILABLE.....1
- THEY DO NOT WORK.....2
- TOO EXPENSIVE.....3
- OTHER.....4

(SPECIFY: _____)

R9. Ports are a problem because...

- PORT CHARGES TOO HIGH.....1
- DIFFICULT TO GET GOODS THROUGH.....2
- NOT ENOUGH CONTAINERS.....3
- SLOW HANDLING.....4
- OTHER.....5

SPECIFY: _____

R10. Waste disposal is a problem because...

- NOT AVAILABLE.....1
- TOO EXPENSIVE.....2
- OTHER.....3

SPECIFY: _____

R11. Security is a problem because of...

- THIEVES.....1
- ARMED ROBBERY.....2
- KIDNAPPING OF EXECUTIVES.....3
- THREATS BY POLICE OR ARMY.....4
- OTHER.....5

SPECIFY: _____

R12. Does the firm provide its own...

- YES.....1
- NO.....2

(a) generators?

(b) wells/cisterns?

(c) CB/Walkie-talkie/Radio

(d) roads?

(e) transportation for workers?

(f) waste disposal?

(g) loading/unloading labor for the ports?

(h) freight transport?

(i) security?

(j) other?

(SPECIFY: YES/NO)

<u>YES/NO</u>
<u>A</u>
<u>E</u>
<u>P</u>
<u>E</u>
<u>F</u>
<u>G</u>
<u>H</u>
<u>I</u>
<u>J</u>

7. INFRASTRUCTURE QUESTIONNAIRE

R1. How serious a problem for your firm is the provision of:

NO PROBLEM 1
BIG PROBLEM 5

(ON A SCALE OF 1 TO 5)

- (a) electricity?
- (b) water?
- (c) freight transport (railroads, barges, trucks)?
- (d) transport for workers?
- (e) roads?
- (f) telephones?
- (g) air and sea ports?
- (h) waste disposal?
- (i) security?
- (j) other (Specify: V3601JN)

V3601A
B
C
D
E
F
G
H
I
J

R2. Which of the above is the greatest problem?

ELECTRICITY 1
WATER 2
FREIGHT TRANSPORT 3
TRANSPORT FOR WORKERS 4
ROADS 5
TELEPHONES 6
AIR AND SEA PORTS 7
WASTE DISPOSAL 8
SECURITY 9
OTHER 10

FOR EACH OF THE PROBLEMS IDENTIFIED ABOVE, ASK THE FIRM THE APPROPRIATE QUESTION(S) BELOW:

R3. Electricity is a problem because of ...

POWER OUTAGES/UNSTABLE 1
NOT SUPPLIED TO THE AREA 2
TOO EXPENSIVE 3
OTHER 4

(SPECIFY: _____)

R4. Water is a problem because of ...

UNSTABLE SUPPLY 1
NOT SUPPLIED TO THE AREA 2
TOO EXPENSIVE 3
OTHER 4

(SPECIFY: _____)

R5. Freight transport is a problem because ...

NOT AVAILABLE AT ALL 1
NOT FREQUENT ENOUGH 2
NOT RELIABLE 3
TOO EXPENSIVE 4
OTHER 5

(SPECIFY: _____)

IF THE ANSWERS TO ALL OF THE ABOVE ARE 1,
THEN GO TO THE REGULATION QUESTIONNAIRE.

Part VII: Deposits in Institutions

THE FOLLOWING QUESTIONS APPLY TO ACCOUNTS AND ASSETS OF THE ENTERPRISE OR, IF THOSE ARE NOT SEPARABLE, THE ACCOUNTS OF THE OWNER. AS A RULE OF THUMB: IN CASE OF A SOLE PROPRIETOR THE ACCOUNTS AND ASSETS OF THE ENTERPRISE AND OWNER CAN NOT BE SEPARATED.

1. Do you have any of the following accounts?

YES 1
NO 2

(a) Current?

(b) Savings

(c) Foreign Currency Account

(d) Foreign Bank Account

V3501A
B
C
D

2. Have you acquired any of the following financial assets in the last year?

YES 1
NO 2

(a) shares in other enterprises?

(b) deposit accounts in foreign institutions?

(c) treasury bills?

(d) bonds

(e) Other (SPECIFY: _____)

V3502 EN

V3502A
B
C
D
E

6. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part VI Informal Lending

SUMMARY OF LOAN BALANCES GRANTED BY THE ENTERPRISE OR ENTERPRISE OWNER, EXCLUDING FINANCIAL TRANSACTIONS FOR PURCHASE OR SALE (I.E. TRADE CREDIT), BY LOAN RECIPIENT. MAKE IT EXPLICIT THAT INFORMAL LOANS INCLUDE IN-KIND LOANS AS WELL, E.G. RAW MATERIALS.

	1. What are the current cash balances due from ... [] ... TSHS	2. What are the current balances due in-kind from ... [] ... TSHS
Relatives/Friends ¹ ...01	V3401R1	V3402R1
Suppliers ²02	V3401R2	R2
Clients ²03	3	R3
Employees ³04	4	R4
Other enterprises....05	5	R5
Other.....06	6	R6

- 1 Relatives/Friends who are not also suppliers, clients, employees, or other enterprises.
 2 Excluding Trade Credit
 3 Loans other than simple advances on salary

Part V: Informal Borrowing

SUMMARY OF LOANS OR ADVANCES IN THE LAST YEAR FROM NON-INSTITUTIONAL SOURCES (i.e. FRIENDS, RELATIVES, MONEYLENDERS AND FIRMS EXCLUDING TRANSACTIONS FOR PURCHASE OR SALE (I.E. TRADE CREDIT). MAKE IT EXPLICIT THAT INFORMAL LOANS INCLUDE IN-KIND LOANS, E.G. RAW MATERIALS.

1. Have you borrowed from friends, relatives, moneylenders or firms (excluding trade credit) in the last year?

YES 1
NO 2

V3301

IF THE ANSWER TO QUESTION 1 IS NO, THEN LOOK AT THE INFORMATION SHEET. IF THE FIRM HAD AN OUTSTANDING BALANCE IN INFORMAL LOANS LAST YEAR THEN SKIP TO QUESTION 3. OTHERWISE, SKIP TO QUESTION 6.

2. Why did you choose to borrow from this informal source? (MULTIPLE ANSWERS ALLOWED)

More favorable interest rate ... 1
Easier formalities 2
No collateral required 3
Flexible payback 4
Other 5

(Specify: V3302N)

V3302

5. What were your total interest costs on these loans?

Total Interest Costs (TSHS)

V3305C

Period

Monthly 1
Annual 2

V3305P

6. Are you currently a member of an informal group?

YES 1
NO 2

(⇒ PART VI)

V3306

7. What is the amount of individual contributions each time?

TSHS:

V3307

8. How much did you borrow from the group in the last year?

TSHS:

V3308

Sources	3. What are the current cash balances due on loans from [...]? TSHS	4. What is the amount due in kind on loans from [...]? TSHS
1. Relatives/Friends	V3303R1	V3304R1
2. Moneylender	2	V3304R2
3. Informal Group	3	3
4. Suppliers	4	4
5. Clients	5	5
6. Other Enterprises	6	6
7. Other (Describe) V3303R7 #	7	7

Part IV: Borrowing from Formal Institutions

14. If no, what institution rejected the application and why was it rejected?

(a) INSTITUTION: V 3 2 1 4 A 1

REJECTION REASON: V 3 2 1 4 A 2

(b) INSTITUTION: 1 4 B 1

REJECTION REASON: 1 4 B 2

⇒ PART V — INFORMAL BORROWING

15. Why did the firm not apply for a loan last year?

INADEQUATE COLLATERAL 1
DON'T WANT TO INCUR DEBT 2
PROCESS TOO DIFFICULT 3
DIDN'T NEED ONE 4
DIDN'T THINK I'D GET ONE 5
INTEREST RATE TOO HIGH 6
ALREADY HEAVILY INDEBTED 7
OTHER 8

(SPECIFY V 3 2 1 5 N)

V 3 2 1 5

Part IV: Borrowing from Formal Institutions

INSTITUTION TYPE FROM WHICH THE LOAN CAME	7. How many loans do you have outstanding? IF NONE ⇒ NEXT LINE	8. What is the total current outstanding balance of loans due? TSHS	9. For all loans outstanding, what was the total value of the collateral required? TSHS	10. What was this collateral? (MULTIPLE ANSWERS PERMITTED) LAND/BUILDINGS.....1 EQUIPMENT.....2 COMPANY ASSETS.....3 (SUCH AS STOCK) OTHER.....4 (SPECIFY: <u>V 3110 R₁ N</u> R ₂ N...
1. Banks	V 3107 R ₁	V 3108 R ₁	09 R ₁	10 R ₁
2. Non-bank financial institutions (e.g., credit unions, etc.)	V 3107 R ₂	V 3108 R ₂	09 R ₂	10 R ₂
3. Government Programs and Similar Facilities	R ₃	R ₃	R ₃	R ₃
4. Foreign Bank Loans (e.g., from IFC)	R ₄			
5. Other. (Specify: <u>V 3107 R₅ N</u>)	R ₅			

11. Do you have any loans denominated in a foreign currency?

YES1
NO2

V 3211

13. Was the application approved?

YES1 (⇒ 15)
NO2
DON'T KNOW YET3 (⇒ 15)

V 3213

12. Has the enterprise applied to an institution for a loan in the last year?

YES1
NO2 (⇒ 15)

V 3212

Part IV: Borrowing from Formal Institutions

ASK THE FOLLOWING QUESTIONS, MAKING A CLEAR DISTINCTION BETWEEN OVERDRAFT FACILITIES AND LOANS FROM FORMAL FINANCIAL INSTITUTIONS:

1. Does the enterprise currently have any overdraft facilities?

YES 1
NO 2 (⇒ R1)

V3101

2. In how many banks do you have overdraft facilities?

NO:

V3102

3. What is the current balance owed in all overdrafts?

TSHS:

V3103

4. What is the current annual interest rate on overdrafts?

PERCENT:

V3104

5. What is the maximum amount of your overdraft facility?

TSHS:

V3105

6. How often do you have to renew the overdraft facility?

Monthly 1
Annually 2
Other 3

(SPECIFY: V3106N)

V3106

R1. Has the enterprise ever received a loan from an institution (bank, credit union, government project, etc.)?

YES 1
NO 2 (⇒ R4)

V3212

V3107R1

R2. Has the firm ever applied for a loan?

YES 1
NO 2 (⇒ R4)

FR2

R3. Why has the firm never applied for a loan?

INADEQUATE COLLATERAL 1
DON'T WANT TO INCUR DEBT 2
PROCESS TOO DIFFICULT 3
DIDN'T NEED ONE 4
DIDN'T THINK I'D GET ONE 5
INTEREST RATE TOO HIGH 6
ALREADY HEAVILY INDEBTED 7
OTHER 8

FR3

(SPECIFY: FR3N)

R4. Has the firm ever leased any building or equipment?

YES 1
NO 2

FR4

IF THE ANSWER TO BOTH R1 AND R2 ABOVE ARE NO, THEN THEN SKIP TO 12 OTHERWISE, CONTINUE TO QUESTION 7 ON THE NEXT PAGE.

Part III: Credit

R4. During the past year, have you had any problem with late payment by a client?

YES 1
NO 2

R6. During the past year, have you had any problem with late/non delivery of inputs/services?

YES 1
NO 2

R5. During the past year, have you had any problem with non-payment by a client?

YES 1
NO 2

R7. During the past year have you had any problem with deficient quality of inputs/services?

YES 1
NO 2

For each of the sources of credit below and in terms of all the credit one could obtain (not necessarily that you have obtained), please answer Question 5, then rank each source of credit using the scale provided in terms of access and cost in Questions 6 and 7:

	5. How has the situation changed since last year? Improved 1 Worsened 2 No Change 3	6. Access Very Easy 1 Easy 2 Moderate 3 Difficult 4 Very difficult 5 Impossible 6	7. Cost Very Low 1 Low 2 Moderate 3 High 4 Very high 5 Prohibitively high 6
(a) Bank sources			
1. Overdrafts	V 3005A1	6A1	7A1
2. Loans	5A2	6A2	7A2
3. Other (Specify: V 3005A3#)	5A3	6A3	7A3
(b) Trade credit			
1. Supplier credit	V 3005B1	6B1	7B1
2. Prepayments from clients	5B2	6B2	7B2
(c) Informal Groups	V 3005C	6C	7C
(d) Friends and Relatives	45D	6D	7D

NOTE: TRADE CREDIT IS NOT THE SAME AS TRADE DISCOUNTS FOR LARGE VOLUME ORDERS OR GOOD CLIENTS. IT IS ACCOUNTS PAYABLE AND RECEIVABLE FROM SUPPLIERS AND CLIENTS.

1. What is your current outstanding balance owed to all suppliers (accounts payable), including suppliers of capital equipment?

TSHS:

V3001

2. What is the current amount due to you from all suppliers (prepayments made for goods or services to be delivered later)?

TSHS:

V3002

3. What is the current outstanding balance due to you from all clients (accounts receivable)?

TSHS:

V3003

4. What is the current amount owed to all clients (prepayments for goods or services to be delivered later)?

TSHS:

V3004

IDENTIFY AND CHARACTERIZE THE RELATIONSHIPS WITH THE PRINCIPAL CLIENTS OF THE ENTERPRISE IN THE LAST YEAR, BY THE FOUR MAIN TYPES SPECIFIED BELOW:

R1. Type of Client	R2. What was the primary form of sales? (MULTIPLE ANSWERS ALLOWED) CREDIT 1 CONSIGNMENT 2 CASH 3 ADVANCE PAYMENT 4	R3. Do you ever make written agreements with clients (excluding receipts for cash transactions)? YES 1 NO 2
1. End User, private		
2. End User, public		
3. Retailer or wholesaler, private		
4. Retailer or wholesaler, public		
5. Foreign		
6. Other		

6. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part II(B): Contractual Relations with Suppliers/Subcontractors

IDENTIFY AND CHARACTERIZE THE RELATIONSHIPS WITH THE SUPPLIERS AND SUBCONTRACTORS OF THE THREE MAIN RAW MATERIALS, INTERMEDIATE INPUTS OR SUBCONTRACTED GOODS USED LAST YEAR:

R1. WRITE THE THREE MOST IMPORTANT RAW MATERIALS, INTERMEDIATES OR INPUTS, AND THEN ASK QUESTIONS 2 TO 9 FOR EACH ITEM LISTED. RAW MATERIALS, INTERMEDIATES OR INPUTS	R2. What is the proportion of raw materials, intermediates, or inputs supplied by the <u>primary</u> supplier in each category? PERCENT	R3. What type of company is this primary supplier? PUBLIC ENTERPRISE, DOMESTIC..... 1 PUBLIC ENTERPRISE, FOREIGN..... 2 PRIVATE DOMESTIC..... 3 PRIVATE FOREIGN..... 4 OTHER..... 5	R4. How long have you had a relationship with this supplier? YEARS	R5. What form of payment is required by this supplier? (MULTIPLE ANSWERS PERMITTED) CREDIT..... 1 CASH..... 2 ADVANCE PAYMENT..... 3 RUNNING ACCOUNT..... 4	R6. What is the frequency of these purchases? DAILY..... 0 WEEKLY..... 1 MONTHLY..... 2 QUARTERLY..... 3 YEARLY..... 4 HALF-YEARLY..... 5 FORTNIGHTLY..... 6 OCCASIONALLY..... 7 DEPENDING ON ORDERS FROM CLIENTS..... 8	R7. What is your relationship with the person you normally deal with? FAMILY..... 1 FRIEND..... 2 BUSINESS ONLY..... 3	R8. Is the person you deal with a member of the same tribe or ethnic group? YES..... 1 NO..... 2
1.							
2.							
3.							

R9. Is this the only supplier available for this raw material or input? YES..... 1 NO..... 2	R10. Can this relationship be characterized as subcontracting? YES..... 1 NO..... 2	R11. How much trade discount does this supplier give? %
1.		
2.		
3.		

Part II(A): Liquidity/Cash Flow

1. All firms have cash flow (liquidity problems) at some time. Have you had any cash flow (liquidity) problems in the last year?

YES 1
NO 2

(⇒ PART III)

V2901

2. What did you do about it? (MULTIPLE ANSWERS ALLOWED)

SOLD OFF RAW MATERIALS 1
SOLD SOME EQUIPMENT 2
BORROWED FROM BANK (OVERDRAFT) 3
BORROWED FROM BANK (LOAN) 4
USED PERSONAL CASH RESERVES 5
BORROWED INFORMALLY 6
TOOK CASH ADVANCES FROM CLIENTS 7
OBTAINED SUPPLIER CREDIT 8
OTHER 9

V2902A

V2902B

(SPECIFY: V2902N)

Part I: Acquisition of Capital Stock

10. Have you sold part of your land, buildings or equipment since 1985?

YES 1

NO 2

(⇒ PART II OF QUESTIONNAIRE)

V2810

For the most recent sale:

11. What year did it take place?

YEAR:

V2811

12. Was the sale...?

Land 1

Buildings 2

Equipment 3

V2812

13. What was the selling price?

TSHS:

V2813

14. If the sale was equipment, why was it sold?

EXCESS CAPACITY 1

REPLACEMENT 2

LIQUIDITY NEED 3

CHANGE OF OUTPUT MIX 4

NO DEMAND FOR PRODUCT 5

OTHER 6

V2814

(SPECIFY: V2814N)

Part I: Acquisition of Capital Stock

LOOK BACK AT QUESTION 2 ON THE PREVIOUS PAGE. IF ANY EQUIPMENT PURCHASES WERE MADE THEN ANSWER THE QUESTIONS ON THIS PAGE. OTHERWISE SKIP TO QUESTION 10.

4. If the equipment was purchased with a currency other than that of this country, what currency was it and how much did you pay? IF NO FOREIGN CURRENCY EQUIPMENT PURCHASE TOOK PLACE THEN ⇒ 5.

US\$ 1
GERMAN MARK 2
FRENCH FRANC 3
JAPANESE YEN 4
BRITISH POUND 5
CFA 6
SWISS FRANC 7
OTHER 8

SPECIFY: V2704 CUN

AMOUNT: V2704 AM CURRENCY: V2704 CV

5. Was the equipment new or used?

NEW 1
USED 2
MIXED 3

V2705

6. Was the equipment imported or locally produced?

Foreign 1
Local 2
Mixed 3

V2706

7. What was the purpose of the investment in equipment?

PRODUCE SAME PRODUCT,
IMPROVE PROCESS 1
PRODUCE SAME PRODUCT,
ADD TO CAPACITY 2
INTRODUCE NEW PRODUCTS 3
PRODUCE DIFFERENT VARIETY
OF SIMILAR PRODUCT 4
REPLACE OLD EQUIPMENT WITH
SIMILAR ONE 5
OTHER 6

(⇒ 10)

(SPECIFY: V2707 N)

V2707

8. How has the cost of production (per unit of output) changed with the new equipment?

IT IS HIGHER THAN BEFORE 1
IT IS ABOUT THE SAME AS BEFORE 2
IT IS LOWER THAN BEFORE 3

V2708

9. How has the quality of the product changed with the new equipment?

IT IS HIGHER THAN BEFORE 1
IT IS ABOUT THE SAME AS BEFORE 2
IT IS LOWER THAN BEFORE 3

V2709

6. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part I: Acquisition of Capital Stock

1. Last year and this year, we have discussed some of your investments. Now we would like to complete the record and discuss any investments you made in the last four years. We would also like to know about investments in your firm made by a holding company or parent company (e.g., if you leased land or buildings from a holding company). What was the amount of investment in land, buildings and equipment made in each of the following years since 1990 in TSHs?

	Land	Buildings	Equipment
1990	V2601L90	V2601B90	V2601E90
1991	V2601L91	B91	E91
1992	L92	B92	E92
1993	L93	B93	E93

PLEASE OBTAIN THE FOLLOWING INFORMATION FOR THE LAST MAJOR 1993 INVESTMENTS IN EACH OF THESE THREE CATEGORIES:

2. What was the form of this acquisition? Purchase.....1 Lease.....2 (⇒ PART II)	Land	Buildings	Equipment
3. What were the sources of funds, and what proportion came from each of the following categories? (MAKE SURE THE TOTAL OF EACH COLUMN ADDS TO 100)	V2602L	V2602B	V2602E
(a) Company retained earnings	Percent of total funds spent? %	Percent of total funds spent? %	Percent of total funds spent? %
(b) Personal savings	V2603LA	V2603BA	
(c) Borrowed from Friends or Relatives	LB		
(d) Bank Loan	LC		
(e) Bank overdraft	D		
(f) Supplier Credit	E		
(g) Borrowed from Money Lender	F		
(h) Holding company or parent company	G		
(i) Sale of equity	H		
(j) New partner	I		
(k) Other (Specify: V2603 LKN)	J		
	K	BK	EK

V2603TL
= TOTAL

V2603TB
= TOTAL

V2603TK

5. LABOR MARKET QUESTIONNAIRE

Part B: Activity in the Last Year

8. Please make a list of all the permanent workers in your firm who died in the past year. IF RESPONDENT IS RELUCTANT TO MENTION NAMES, LIST AS PERSON #1, ETC.	9. What was the sex of this worker? MALE 1 FEMALE 2	10. What type of work did this person do? READ DESCRIPTIONS BELOW AND CODE ACCORDINGLY	11. How old was this worker when he/she died?	12. How many years had he/she been working for your firm? GET NUMBER OF MONTHS IF LESS THAN 2 YEARS		13. How much did your firm pay to this person's family in the form of death benefits or funeral costs? IF NOTHING, PUT 0.	14. Have you hired someone else to do this person's job? YES 1 NO 2 (⇒ 16)	15. How long did it take you to find and hire the replacement (since the person's death) (⇒ NEXT ROW)	16. Do you intend to hire a replacement? YES 1 NO 2
NAMES	SEX		AGE	YEARS	MONTHS	TSHS		WEEKS	
1. 1/2508R1	V2509R1	10R1	11R1	12R1	12R1M	13R1	14R1	15R1	16R1
2.									
3.									
4.									
5.									
6.									
7.									
8.									
9. 1/2508R9	09R9								V 2516R9

WORKER CODES:

Manager
 Employed manager 1
 Proprietor (as manager) 2
Professional (Requires University Degree)
 Engineer 3
 Physical scientist 4
 Accountant, economist, programmer 5
 mathematician 5
Technician 6

Office Worker
 Skilled office worker 7
 Unskilled office worker 8
Sales Worker
 Specialized sales worker 9
 Sales assistant 10
Service Worker 11
 (i.e., cleaners, guards, food prep and servers)

Production Worker
 Foreman and supervisor 12
 Electrician, plumber, welder 13
 Machine maintenance and repair 14
 Machiner operator or assembler 15
 Laborer, helper 16
 Industry Specific 1 (Skilled) 17
 Industry Specific 2 18
 Industry Specific 3 19
 Industry Specific 4 20

(FOR 17 TO 20, REFER TO CODING USED ON PAGE 23)

5. LABOR MARKET QUESTIONNAIRE

Part B: Activity in the Last Year

1. How many permanent employees did you hire last year?

NO. OF WORKERS:

V2401

2. How many permanent workers did you fire or lay off last year?
IF NONE \Rightarrow 4

NO. OF WORKERS:

V2402

3. How much severance pay did you have to pay in total to these workers?

TSHS:

3

4. How many permanent workers quit or absconded last year?

NO. OF WORKERS:

4

5. How many permanent workers retired last year?

NO. OF WORKERS:

5

6. How many permanent workers left because of illness?

NO. OF WORKERS:

6

7. How many workers died last year?

NO. OF WORKERS:

V2407

IF THE ANSWER TO QUESTION 7 IS NOT 0, THEN FILL IN THE TABLE
ON THE NEXT PAGE (QUESTIONS 8-16). OTHERWISE, SKIP TO
SECTION 6.

9. LABOR MARKET QUESTIONNAIRE

Part A: Current Labor Force Structure

	Food	Housing Allowance	Clothing	Transportation Allowance	Bonus for Christmas, 13th month bonus or permanent bonus	Bonus for Productivity, Merit or Profitability	Other
	TSHS/MONTH	TSHS/MONTH	TSHS/MONTH	TSHS/MONTH	TSHS/YEAR	TSHS/MONTH	SPECIFY: <u>V2308G</u>
8. What is the total amount allocated to each of these spending categories?	<u>V2308A</u>	<u>V2308B</u>					TSHS/MONTH
							<u>V2308G</u>

9. Are any of your employees members of a labor union?

YES 1
NO 2

(⇒ PART B)

V2309

10. What fraction?

(%)

V2310

Part A: Current Labor Force Structure

THIS TABLE SHOULD BE USED ONLY FOR NORMAL SEASON, FULL-TIME WORKERS.
IN THE CASE OF INFORMAL FIRMS, PLEASE MAKE SURE THAT THE CATEGORIZATION USED FOR A WORKER IS THE SAME AS WOULD BE USED IN A LARGER FIRM
(E.G. AN EMPLOYEE DESCRIBED AS A 'SKILLED' EMPLOYEE BY THE INFORMAL ENTREPRENEUR MIGHT IN FACT BE CONSIDERED 'UNSKILLED' IN A LARGER FIRM.)

FOR EACH TYPE OF WORKER, ASK QUESTION 7. IF THE FIRM IS A COOPERATIVE, THEN SEE INSTRUCTIONS IN THE HANDBOOK
WHEN THIS QUESTION IS ASKED, THE INTERVIEWER SHOULD **EXPLAIN** EACH OF THE CATEGORIES TO THE RESPONDENT

7. Of your total labor force, how many of the following types of workers are currently employed?

(IF NONE, WRITE ZERO AND GO TO NEXT TYPE)

	NUMBER OF WORKERS			NUMBER OF WORKERS	
	MEN	WOMEN		MEN	WOMEN
Managers¹			Service Workers 11 (i.e. cleaners, guards, food preparers and servers)		
Employed Managers01	V2207M1	V2207W1		V2207M11	V2207W11
Proprietors (as Managers).....02	V2207M2	V2207W2	Production Workers		
Professionals (Require University Degree)			Foremen and Supervisors..... 12		
Engineers.....03			Electricians, Plumbers, Welders 13		
Physical Scientists (i.e., chemists, physicists).....04			Machine Maintenance and repair 14		
Accountants, economists, programmers, etc.05			Machine operators and assemblers, drivers of equipment..... 15		
Technicians²06			Laborers, helpers ³ 16		
Office Workers			Industry Specific 1 (Skilled) ⁴ V220717# 17		
Skilled Office (i.e., stenographer, typists, word processors)07			Industry Specific 2 V220718N 18		
Unskilled Office (i.e., messengers, helpers)08			Industry Specific 3 V220719N 19		
Sales Workers			Industry Specific 4 V220720N 20	V2207M20	V2207W20
Specialized Sales.....09			TOTAL	V2207MT	V2207WT
Sales Assistants10	V2207M10	V2207W10	SPECIFY (if used) Industry Specific 1:	Industry Specific 3:	
			Industry Specific 2:	Industry Specific 4:	

¹A manager heads the small manufacturing business or a section of a larger business and, on his/her own behalf or that of the proprietor, plans, directs and coordinates the activities of the business. Tasks include: planning, making budgetary estimates, negotiating with suppliers and customers, hiring of personnel and managing daily operations.
²A technician applies technical knowledge and principles to identify and solve problems arising in the course of work. He/she organizes maintenance and repair work, and installation of machinery.
³Laborers and helpers perform simple and routine tasks which require the use of simple hand-held tools, or they undertake product sorting and simple hand assembling of components. Tasks usually consist of lifting, loading, unloading, washing, polishing, packing by hand, etc.
⁴These workers would include specifically skilled employees, such as carvers for the furniture industry, a masterchef for food processing, or a highly skilled tailor for clothing.

Part A: Current Labor Force Structure

1. What is the total number of workers currently employed by this firm?

NUMBER:

V2101

2. Of these how many are:

Full-time (permanent)

Full-time (casual)

Part-time (casual)

Total
V2102R1
R2
R3

3. Do you have a peak season?

YES 1
NO 2

(= 7)

V2103

4. How many months does your peak season last?

MONTHS:

V2104

5. How many more workers do you hire during peak season?

Additional Full-time:

Additional Part-time:

V2105R1
V2105R2

6. Is it your peak season right now?

YES 1
NO 2

V2106

FOR THE GENERAL MANAGER AND THE PRODUCTION OR PLANT MANAGER, ASK QUESTIONS 8 TO 10..		8. How many years in the present business? YEARS	9. Highest completed level of education? NONE.....1 PRIMARY.....2 (St. 1-4, 1-7 after 1984) MIDDLE SCHOOL.....3 (St. 5-8, only before 1984) SECONDARY (O Level, Fo. 1-4).....4 (A Level, Fo. 5-8).....5 VOCATIONAL SCHOOL.....6 TECHNICAL/POLYTECHNICAL COLLEGE.....7 PROFESSIONAL SCHOOL.....8 UNIVERSITY, TECHNICAL.....9 UNIVERSITY, NON-TECHNICAL...10 POSTGRADUATE (DOMESTIC)....11 POSTGRADUATE (ABROAD).....12	10. Nationality? TANZANIA.....1 OTHER.....2
General manager	01	V2008R1	V2009R1	V2010R1
Production or plant manager	02	V2008R2	V2009R2	V2010R2

R1. When was the initial plant investment initiated and how much did it cost? (IF ACQUIRED, THEN VALUE AT THE TIME INHERITED OR PURCHASED)

- LOCAL CURRENCY.....1
- US\$.....2
- GERMAN MARK.....3
- FRENCH FRANC.....4
- JAPANESE YEN.....5
- BRITISH POUND.....6
- CFA.....7
- SWISS FRANC.....8
- OTHER.....9

SPECIFY:

YEAR:

AMOUNT:

CURRENCY:

R2. Was it new or used equipment?

- NEW.....1
- USED.....2
- MIXED.....3

R3. Was your original plant equipment imported or locally produced?

- Foreign (100%).....1
- Mostly Foreign/Some Local....2
- Local (100%).....3
- Mostly Local/Some Foreign....4

QUESTIONS DELETED

R1. Do you presently hold any foreign licenses?

YES 1
NO 2

(⇒ 3)

V190A

R2. Do you have a foreign technical assistance contract at present?

YES 1
NO 2

IF THE ANSWER TO BOTH R1 AND R2 IS NO THEN SKIP TO QUESTION 5

1. Have you dropped or added any foreign licenses in the last year?

DROPPED 1
NO CHANGE 2
ADDED 3

V190

2. How much did you spend on royalties and fees for foreign licenses last year?

TSHS 1
US\$ 2
GERMAN MARK 3
FRENCH FRANC 4
JAPANESE YEN 5
BRITISH POUND 6
CFA 7
SWISS FRANC 8
OTHER 9

SPECIFY: V1902CUN

CURRENCY: V1902CU AMOUNT:

V1902AM

3. Have you signed or terminated any foreign technical assistance contract in the last year?

DROPPED 1
ADDED 2
NO CHANGE 3

V1903

4. How much did you spend on foreign technical assistance last year?

TSHS 1
US\$ 2
GERMAN MARK 3
FRENCH FRANC 4
JAPANESE YEN 5
BRITISH POUND 6
CFA 7
SWISS FRANC 8
OTHER 9

SPECIFY: V1904CUN

CURRENCY: V1904CU AMOUNT:

V1904AM

5. How many expatriates do you have in your employment now?

NO. OF EXPATRIATES:
(IF 0, ⇒ 7)

V1905

6. Where do they come from? MULTIPLE ANSWERS ALLOWED

OTHER AFRICAN COUNTRIES 1
MIDDLE EAST 2
EUROPE 3
EAST ASIA 4
OTHER 5

(SPECIFY:)

V1906

7. In what capacity? (MULTIPLE ANSWERS ALLOWED)

MANAGERIAL 1
TECHNICAL 2
ADMINISTRATIVE 3
OPERATIVE 4
OTHER (EXPLAIN:) 5

V1907

V1907N

3. COMPETITION QUESTIONNAIRE

13. Have there been any important competitors which exited the market within the last year?

YES1
NO2
(⇒ SECTION 4)

V1813

14. How many?

NUMBER:

V1814

15. Were these exits...?

YES1
NO2

(a) State-owned firms?

V1815A

(b) Domestic private firms producing in this town?

B

(c) Domestic private firms producing outside this town?

C

(d) Foreign or international (multinational) firms producing locally?

D

(e) Domestic private firms importing their goods from abroad?

E

(f) Foreign or international (multinational) firms importing their goods from abroad?

F

16. Compared to your firm, were they mostly...

Smaller?1
Roughly the same size?2
Larger?3

V1816

17. Compared to your firm, were they...

More diversified?1
In a similar line of products?2
Less diversified?3

V1817

18. How did these exits affect you?

It allowed us to increase market share1
It allowed us to increase prices2
It did not change anything3
Other4

V1818

SPECIFY: V1818N

19. According to you, what motivated their exit? (MULTIPLE ANSWERS ALLOWED)

Mismanagement1
Lack of demand2
Death or departure of owner or manager3
Bad products or services4
Non-competitive prices5
Unreliable labor force6
Other7

V1819

(SPECIFY: V1819N)

3. COMPETITION QUESTIONNAIRE

5. What percentage of your total sales is accounted for by your most important client?

- Less than 5 percent1
- 5-10 percent2
- 10-25 percent3
- 25-50 percent4
- 50-99 percent5
- 100 percent6

V1705

6. By using the scale below, indicate how important the following factors are for the way you set your prices:

- Not important1
- Somewhat important2
- Important3
- Very important4

(a) Cost of finance, raw materials, and utilities	V1706 A	
(b) To compete with other firms producing domestically	B	
(c) To compete with imports	C	

7. Has there been any entry of new important competitors within the last year?

- YES1
- NO2 (⇒ 13)

V1707

8. How many?

NUMBER:

V1708

9. Were these new competitors...

- YES1
- NO2

(a) State-owned firms?

V1709 A

(b) Domestic private firms producing in this town?

V1709 B

(c) Domestic private firms producing outside this town?

C

(d) Foreign or international (multinational) firms producing locally?

D

(e) Domestic private firms importing their goods from abroad?

E

(f) Foreign or international (multinational) firms importing their goods from abroad?

F

10. Compared to your firm, were they mostly...

- Smaller?1
- Roughly the same size?2
- Larger?3

V1710

11. Compared to your firm, were they...

- More diversified?1
- In a similar line of products?2
- Less diversified?3

V1711

12. How did this entry affect you?

- It reduced our market share1
- It forced us to reduce prices2
- It did not change anything3
- Other4

V1712

(SPECIFY: V1712 #)

3. COMPETITION QUESTIONNAIRE

THESE QUESTIONS APPLY TO THE FIRM'S DOMESTIC SALES ONLY

1. Approximately, how many competitors are there for your principal product or product range?

NONE1
 ONE2
 2-53
 6-104
 MORE THAN 105

(⇒ 6)

V1601

2. Among these competitors, how many are ...

NONE1
 ONE2
 2-53
 6-104
 MORE THAN 105

- (a) State-owned firms?

V1602A

- (b) Domestic private firms producing in this town?

B

- (c) Domestic private firms producing outside this town?

C

- (d) Foreign or international (multinational) firms producing locally?

D

- (e) Domestic private firms importing their goods from abroad?

E

- (f) Foreign or international (multinational) firms importing their goods from abroad?

F

3. What is the approximate size of your two main competitors?
 (SAME ANSWER ALLOWED FOR MAIN AND SECOND COMPETITORS)

Microenterprise (1-4 employees) 1
 Small enterprise (5-19 employees) 2
 Medium enterprise (20-99 employees) 3
 Large enterprise (100-250 employees) 4
 Very large enterprise (>250 employees) 5

Main Competitor:

V1603A

Second Competitor:

V1603B

4. What are your two most important competitive advantages over your most important competitors?

DO NOT READ OUT THIS LIST; CODE AFTER THEY ANSWER

LOWER INPUT PRICES 1
 LOWER PRODUCT PRICES 2
 HIGHER QUALITY PRODUCT 3
 DIFFERENTIATED PRODUCTS 4
 BETTER PRODUCT REPUTATION 5
 WELL-ESTABLISHED RELATIONS WITH
 REGULAR CLIENTS 6
 BETTER LOCATION 7
 MORE RELIABLE SUPPLIERS 8
 BETTER DISTRIBUTION NETWORK 9
 BETTER FINANCIAL SITUATION 10
 BETTER ACCESS TO/COST OF CREDIT 11
 FEWER PROBLEMS WITH REGULATIONS 12
 MORE EFFECTIVE ADVERTISING 13
 MORE EFFECTIVE SALES PERSONNEL 14
 BETTER AFTER-SALE SERVICES 15
 OTHER 16

Principal Advantage

V1604A

Secondary Advantage

V1604B

(SPECIFY: V1604AN, V1604BN)

2. GENERAL FIRM QUESTIONNAIRE

R1. Does this firm have more than one manufacturing location? ~~V1552~~

Yes 1
No 2

~~V1552~~

~~Added there last yr.~~

R2. Does this firm have sales, distribution or administrative offices located separately from plants? ~~V1553~~

Yes 1
No 2

~~V1553~~

~~Added there last year?~~

R3. What legal rights does this firm have to the business site?

TITLE DEED 1
LEASE 2
OTHER 3

~~V1552~~

QUESTIONS DELETED

(SPECIFY _____)

52. Have you added any manufacturing locations in the last year?

Yes 1
No 2

V1552

53. Have you added any sales, distribution or administrative offices located separately from plants in the last year?

Yes 1
No 2

V1553

2. GENERAL FIRM QUESTIONNAIRE

47. Please rank the following obstacles to capacity utilization using the following scale:

Not an obstacle 1
 Moderate obstacle 2
 Severe obstacle 3

- (a) Shortage of local raw materials and intermediate inputs
- (b) Shortage of imported raw materials and intermediate inputs
- (c) Shortage of skilled labor
- (d) Equipment breakdowns
- (e) Lack of working capital
- (f) Lack of demand
- (g) Lack of power
- (h) Other (SPECIFY: V1547 H1)

V1547A
 V1547B

 V1547g
 V1547H

48. What proportion/fraction of your domestic sales do you sell through the following marketing channels?

- (a) End user, private (except private manufacturers) (%)
 - (b) End user, public (except public manufacturers) (%)
 - (c) Retailer or wholesaler, private (%)
 - (d) Retailer or wholesaler, public (%)
 - (e) Other manufacturer, for use as an input (%)
 - (f) Other (%)
- (SPECIFY: V1548F #)

V1548A
 V1548B

 V1548E
 V1548F

V15TOT = TOTAL(100%)

49. Do you export your products?

YES 1
 NO 2

(⇒ 52)

V1549

50. What percent of your output is exported . .

(a) within Africa?

(%) V1550A

(b) outside Africa

(%) V1550B

51. What proportion/fraction of your exports are sold through the following marketing channels?

(a) Direct to foreign buyer

(%) V1551A

(b) Through government trading agency

(%) V1551B

(c) Through a local trading agency

(%) V1551C

(d) Through a foreign trading agency

(%) V1551d

(e) Other

(%) V1551e

(SPECIFY: V1551 Fh)

V1551TOT = TOTAL (100%)

2. GENERAL FIRM QUESTIONNAIRE

36. What were the indirect costs of your business, for example, rent and utilities, in the last [PERIOD]?

(a) Rent

TSHS:

V1436A

(b) Electricity

TSHS:

V1436B

(c) Water

TSHS:

(d) Telephone

TSHS:

(e) Liquid fuel (excluding electricity)

TSHS:

(f) Solid fuel and gas

TSHS:

(g) Transportation costs (other than for fuel)

TSHS:

(h) Security (other than that included in the wage bill)

TSHS:

37. What did you spend on promotion and advertising last [PERIOD]?

TSHS:

V1437

38. What were your other indirect costs, if any last [PERIOD]?

TSHS:

SPECIFY: V1438 #

V1438

39. How much were your total interest payments last [PERIOD]?

TSHS:

V1439

40. What were your gross profits last [PERIOD]?
(before depreciation and tax)

TSHS:

V1440

41. What were your depreciation expenses last [PERIOD]?

TSHS:

V1441

42. What were your other expenditures, if any last [PERIOD]?

TSHS:

SPECIFY: V1442 #

V1442

43. What were your other returns, if any, last [PERIOD]?

TSHS:

SPECIFY: V1443 #

V1443

44. What were your dividend payments last [PERIOD]?

TSHS:

V1444

45. What is your usual mode of operation?

One-shift1
Two-shift2
Three-shift3
Other4

(Specify: V1445 #)

V1445

46(a). In this mode, what is your actual production (in number of units)?

UNITS:

V1446A

46(b). In this mode, what is your current production capacity? (or how much could you produce if you had enough orders and all inputs without more equipment?)

UNITS:

V1446B

2. GENERAL FIRM QUESTIONNAIRE

21. What was the value of the inventories of your raw materials at the beginning of the last [PERIOD]?

TSHS:

V1321

22. What was the value of the inventories of your raw materials at the end of the last [PERIOD]?

TSHS:

V1322

23. What was the value of your work in progress inventory at the beginning of the last [PERIOD]?

TSHS:

V1323

24. What was the value of your work in progress inventory at the end of the last [PERIOD]?

TSHS:

V1324

25. What was the value of your finished goods inventory at the beginning of the last [PERIOD]?

TSHS:

V1325

26. What was the value of your finished goods inventory at the end of the last [PERIOD]?

TSHS:

V1326

27. What was the total cost of raw materials used, excluding energy, last [PERIOD]?(SKIP THIS QUESTION IF QUESTION 15 WAS ANSWERED)

TSHS:

V1327

28. What proportion of your raw materials was sourced from businesses you own?

(%)

V1328

29. What proportion of your raw materials was imported?

(%)

V1329

30. What was your total wage bill last [period], excluding all allowances, benefits and social charges?

TSHS:

V1330

31. What was the total labor cost last period, including wages, all allowances, benefits and social charges?

TSHS:

V1331

32. What is the estimated total current replacement value of your:

Land and Buildings?	Equipment (new, similar equipment)?
V1332A	V1332B

33. What is the sale value of your:

Land and Buildings?	Equipment?
V1333A	V1333B

FOR SMALL FIRMS THAT DON'T HAVE AGGREGATE NUMBERS, ASK QUESTIONS 34-35 TO GET INFORMATION ON INDIVIDUAL ITEMS OF LAND, BUILDINGS AND EQUIPMENT:

LIST THE FIRM'S MAJOR PIECES OF LAND, BUILDINGS, AND EQUIPMENT AND ASK:	34. What would it cost to replace Item No. [...] now?	35. How much could you sell Item No. [...] for now?
Land	V1334R1	V1335R1
Building	V1334R2	V1335R2
Equipment 1	V1334R3	V1335R3
Equipment 2		
Equipment 3		
Remaining Items		
Total	V1334R7	V1335R7

V1334R7

V1335R7

2. GENERAL FIRM QUESTIONNAIRE

INSTRUCTIONS FOR QUESTION 12: FOR FIRMS THAT **DO** HAVE ANNUAL ACCOUNTS, ASK THE FIRM WHAT ITS FIVE MOST IMPORTANT PRODUCTS ARE THIS YEAR IN RANK ORDER OF IMPORTANCE, LIST THEM IN THE FIRST COLUMN OF THE WORKSHEET BELOW THEN SKIP TO QUESTION 16.

FOR FIRMS THAT **DO NOT** HAVE PROPER ACCOUNTS, ASK THE FIRM WHAT ITS FIVE MOST IMPORTANT PRODUCTS ARE, LIST THEM IN THE FIRST COLUMN, THEN FILL IN THE REST OF THE TABLE, THEN SKIP TO 18. NOTE: TRY TO AGGREGATE PRODUCTS. WE DON'T NEED RED SHIRTS AND BLUE SHIRTS; JUST SHIRTS. WE ARE TRYING TO GET A SENSE HERE OF HOW DIVERSIFIED THE FIRM IS.

12. PLEASE FOLLOW INSTRUCTIONS ABOVE CAREFULLY FOR THIS QUESTION.	13. What was the quantity of [PRODUCT] sold in the last [PERIOD]?		14. What was the value of that [PRODUCT] sold last [PERIOD]?	15. What was the cost of the raw material used to produce [PRODUCT] last [PERIOD]?
	Quantity	Unit Used (Kilos, Dozens, etc.)		
V1212R1	1213R1Q	V1213R1V	V1214R1	V1215R1
V1212R2	1213R2Q	1213R2U	1214R2	1215R2
V1212R5	1213R5Q	1213R5U	1214R5	1215R5

16. What was the value of output last [PERIOD]? (SHOULD BE VALUED AT THE CURRENT MARKET PRICE)

TSHS:

V1216

19. What was your income from services, if any, last [PERIOD]?

TSHS:

V1219

17. What was the value of sales of manufactures last [PERIOD]?

TSHS:

V1217

20. If you had any additional income, such as subsidies, etc., what was that income last [PERIOD]?

TSHS:

V1220

18. What was your income from trading, if any (value of sales - value of purchases and including any inventories variation), last [PERIOD]?

TSHS:

V1218

SPECIFY: V1220N

2. GENERAL FIRM QUESTIONNAIRE

1. Does your firm keep accounts on an annual basis?

Yes 1
No 2

1

DISCUSS WITH ENTREPRENEUR WORKING FROM ONE YEAR DOWN:

2. What is the easiest time period this year for you to use in discussing the inputs and outputs related to your production process?

1 YEAR 1
6 MONTHS 2
1 MONTH 3
2 WEEKS 4
1 WEEK 5
OTHER 6

(SPECIFY _____)

1

3. What is the last period for which you have data (for example from April 1993 to March 1994)?

FROM:

Jan -93

TO:

Dec. -93

4(a). Can the last [PERIOD] be considered as an average period?

YES 1 (⇒ 5)
NO, BELOW AVERAGE 2
NO, ABOVE AVERAGE 2

1

4(b). Why has the last [PERIOD] not been average?

SPECIFY: _____

READ THE ROUND 1 FACT SHEET TO THE FIRM TO REMIND THE RESPONDENT OF THE PRODUCTS THE FIRM WAS PRODUCING LAST YEAR.

5. Have you added, eliminated or changed any of the firm's products since our visit last year? (MULTIPLE ANSWERS ALLOWED)

NO CHANGE 1
ADDED 2
ELIMINATED 3
CHANGED 4

2

COMMENTS:

+ cotton picking & baling sacs

6. How would you compare your profits this year to that of last year?

HIGHER 1
LOWER 2
THE SAME 3

(⇒ 8)

2

7. By what percentage did your profits change?

(not an operational loss due to the loan reorganization which had to be accounted as a loss.)

PERCENT:

-50%

8. How would you compare the value of total manufactured sales this year to that of last year?

HIGHER 1
LOWER 2
THE SAME 3

(⇒ 10)

1

9. By what percentage did the value of total manufactured sales change?

PERCENT:

15

10. How would you compare the quantity of manufactured goods sold this year (units) to that of last year?

HIGHER 1
LOWER 2
THE SAME 3

(⇒ 12)

2

11. By what percentage did the quantity of manufactured goods sold change?

PERCENT:

9

1. ENTREPRENEURSHIP QUESTIONNAIRE

Part C: Additional Questions for Owners Interviewed Previously

7. Did you start any other business this year?

YES1
NO2

8. Did you acquire any other business this year?

YES1
NO2

9. Did you exit any other business this year?

YES1
NO2

IF THE ANSWER TO EITHER QUESTION 7 OR 8 WAS YES, THEN ANSWER THE QUESTIONS 10 AND 11. OTHERWISE, SKIP TO THE NEXT PAGE.

10. Are any of your newly started or acquired businesses in the same line as this firm?

YES1

(SPECIFY: _____)

NO2

11. Did this firm receive inputs from, or supply inputs to, any of your newly started or acquired businesses?

YES, SUPPLIES INPUTS1 (SPECIFY BELOW)
YES, RECEIVES INPUTS2 (SPECIFY BELOW)
NO3

Specify what kind of inputs, proportion of that input supplied or received, approximate yearly amount, etc:

1. ENTREPRENEURSHIP QUESTIONNAIRE

Part C: Additional Questions for Owners Interviewed Previously

ASK THE QUESTIONS IN PART C ONLY TO OWNERS WHO WERE INTERVIEWED LAST YEAR. IF THIS IS THE FIRST TIME THIS OWNER HAS BEEN INTERVIEWED (AND PART B HAS BEEN COMPLETED THIS YEAR), THEN SKIP TO THE NEXT SECTION OF THE QUESTIONNAIRE.

	1. Have you received training in the last year from [...]? YES..... 1 NO 2 (⇒ NEXT INSTITUTION)	2. Of what did this training consist? MANAGEMENT 1 TECHNICAL 2 ACCOUNTING 3 OTHER 4 SPECIFY: (MULTIPLE ANSWERS ALLOWED)	3. What institution(s) provided this training? (MULTIPLE ANSWERS ALLOWED)	3. How long did this training last? MONTHS (MULTIPLE ANSWERS ALLOWED)	5. Was this training local or overseas? MAINLY OR FULLY LOCAL 1 MAINLY OR FULLY OVERSEAS 2 BOTH LOCAL AND OVERSEAS 3
1. Government?					
2. Donor?					
3. Foreign firm?					
4. Local firm?					
5. N.G.O.?					
6. Military Training					
7. Other?					

6. Have you acquired any of the following in the past year?

YES 1
NO 2

(a) a house backed by title?

(b) a motor vehicle?

(c) a farm?

(d) other real estate?

1. ENTREPRENEURSHIP QUESTIONNAIRE

Part B: Personal History of the Owner

31. Does this firm receive inputs from, or supply inputs to, any of your other businesses?
(MULTIPLE ANSWERS ALLOWED)

YES, SUPPLIES INPUTS1 (SPECIFY BELOW)
YES, RECEIVES INPUTS.....2 (SPECIFY BELOW)
NO3

Specify what kind of inputs, proportion of that input supplied or received, approximate yearly amount, etc:

32. Excluding your current businesses, have you ever owned any other business?

YES1
NO2
(⇒ NEXT SECTION)

33. What type of business was it? Food.....1 Textile.....2 Wood.....3 Metal.....4 Other manufacturing.....5 Construction.....6 Trade.....7 Services.....8 Agriculture and mining.....9	34. How long were you in that business?	35. Why do you no longer own that business? CLOSED IT1 SOLD IT2 WENT BANKRUPT3 OTHER (SPECIFY)4

IF THE ANSWER TO QUESTION 35 IS 1 (CLOSED IT), ASK QUESTION 36. OTHERWISE SKIP TO THE NEXT SECTION

36. Why did you close your old business/businesses?

SKIP PART C AND GO DIRECTLY TO THE NEXT SECTION

Part B: Personal History of the Owner

21. Did you establish this business?

YES 1
NO 2 (⇒ 23)

V0721

22. How did you acquire this business?

BOUGHT IT 1
INHERITED IT 2
OTHER 3

(SPECIFY: V0722n)

V0722

23. Did you have previous experience in this industry?

YES 1
NO 2 (⇒ 26)

V0723

24. What form did this experience take?

YES 1
NO 2

(a) Did you work for this firm?

V0724A

(b) Did you work for another firm?

V0724B

(c) Were your parents in this business?

V0724c

(d) Did you work and learn at home?

D

(e) Were you self-employed?

E

(f) Other?

(SPECIFY: V0724Fn)

F

25. How many years of experience did you have in this industry prior to acquiring this business?

YEARS:

V0725

26. What were you doing immediately prior to acquiring this business?

UNEMPLOYED 1 (⇒ 28)
WORKING FOR THIS FIRM 2 (⇒ 28)
WORKING FOR ANOTHER FIRM IN THIS INDUSTRY 3
WORKING IN A FIRM IN ANOTHER INDUSTRY 4
SELF-EMPLOYMENT/BUSINESS OWNERSHIP 5 (⇒ 28)
APPRENTICESHIP/SCHOOLING 6 (⇒ 28)
CIVIL SERVANT/GOVERNMENT WORK/PUBLIC SERVICE 7 (⇒ 28)
MILITARY SERVICE 8 (⇒ 28)
OTHER 9 (⇒ 28)

V0726

(SPECIFY: V0726n)

27. Was this other firm foreign owned or foreign managed?

YES 1
NO 2

V0727

28. Do you currently own any other businesses?

YES 1
NO 2 (⇒ 32)

V0728

29. Is this business your main business?

YES 1
NO 2

V0729

30. Are any of your other businesses in the same sector as this firm?

YES 1

(SPECIFY: V0730n)

NO 2

V0730

1. ENTREPRENEURS QUESTIONNAIRE

Part B: Personal History of the Owner

FOR EACH OF THE FOLLOWING INSTITUTIONS, ASK QUESTIONS 14 TO 19	14. Have you ever received training (after school) from [...]? YES..... 1 NO..... 2 (= NEXT INSTITUTION)	15. Of what did this training consist? MANAGEMENT..... 1 TECHNICAL..... 2 ACCOUNTING..... 3 OTHER..... 4 SPECIFY: V0615R1# (MULTIPLE ANSWERS ALLOWED)	16. When did you have this training? YEAR (MULTIPLE ANSWERS ALLOWED)	17. How long did this training last? MONTHS (MULTIPLE ANSWERS ALLOWED)	18. What institution(s) provided this training? (MULTIPLE ANSWERS ALLOWED)	19. Was this training local or overseas? MAINLY OR FULLY LOCAL..... 1 MAINLY OR FULLY OVERSEAS..... 2 BOTH LOCAL AND OVERSEAS..... 3
1. Government?	V0614R1	V0615R1	V0616R1/2/3	V0617R1/2/3	V0618R1/2/3	V0619R1
2. Donor?	V0614R2	R2	R2/2/3	R2/2/3		
3. Foreign firm?	V0614R3	R3				
4. Local firm?		R4				
5. N.G.O.?		R5				
6. Military Training		R6				
7. Other? V0614R7#	V0614R7	V0615R7	V0616R7/1/2/3	V0617R7/1/2/3	V0618R7/1/2/3	V0619R7

20. Do you own any of the following?

YES..... 1
NO..... 2

(a) a house backed by title?

V0620A

(b) a motor vehicle?

V0620B

(c) a farm?

20C

(d) other real estate (e.g. land)?

20d

Part B: Personal History of the Owner

10. What year did you leave school/vocational program/university?

V0510

11. What did you study at the university?

(SKIP TO 12 IF THE OWNER DID NOT ATTEND UNIVERSITY)

HUMANITIES.....1
SCIENCES.....2
ENGINEERING.....3
MEDICAL.....4
LAW.....5
OTHER.....6

(SPECIFY V0511#)

V0511

12. Were you an apprentice?

YES.....1
NO.....2

(⇒ 14)

V0512

13. Were you an apprentice in your firm's field?

YES.....1
NO.....2

V0513

1. ENTREPRENEURSHIP QUESTIONNAIRE

Part B: Personal History of the Owner

1. THESE QUESTIONS ARE TO BE ANSWERED BY THE OWNER OF THE FIRM. IN THE CASE OF A COOPERATIVE, THESE QUESTIONS SHOULD BE ASKED OF THE CHAIRMAN OF THE COOPERATIVE.
2. IF THE OWNER IS NOT AVAILABLE, TRY TO MAKE AN APPOINTMENT WITH THE OWNER/CHAIRMAN LATER TO ASK THESE QUESTIONS. IF YOU CANNOT SEE THE OWNER/CHAIRMAN, OR IF THE FIRM IS A FOREIGN OWNED OR PUBLIC ENTERPRISE, SKIP THIS SECTION AND PART C.

1. Gender

MALE 1
FEMALE 2

V0401

2. How old are you?

YEARS:

V0402

3. Were you born in this town?

YES 1
NO 2 (⇒ 5)

V0403

4. How long have you lived here?

YEARS:

V0404

5. What was the main occupation of your father?

OWN BUSINESS, MANUFACTURING 1
OWN BUSINESS, TRADING 2
OWN BUSINESS, FARMING 3
EMPLOYEE, PUBLIC SECTOR ENTERPRISE 4
EMPLOYEE, GOVERNMENT ADMINISTRATION 5
EMPLOYEE, PRIVATE SECTOR ENTERPRISE 6
TEACHER 7
OTHER 8

V0405

(SPECIFY: V0405N)

6. What was the main occupation of your mother?

OWN BUSINESS, MANUFACTURING 1
OWN BUSINESS, TRADING 2
OWN BUSINESS, FARMING 3
EMPLOYEE, PUBLIC SECTOR ENTERPRISE 4
EMPLOYEE, GOVERNMENT ADMINISTRATION 5
EMPLOYEE, PRIVATE SECTOR ENTERPRISE 6
TEACHER 7
HOUSEWIFE 8
OTHER 9

V0406

(SPECIFY: V0406N)

7. Was this business owned by your parents or other family members?

YES 1
NO 2

V0407

8. What is the highest level of formal education you reached?

NONE 1 (⇒ 12)
PRIMARY (ST. 1-4, 1-7 AFTER 1964) 2
MIDDLE SCHOOL (ST. 5-8, ONLY BEFORE 1964) 3
SECONDARY (O LEVEL, FO. 1-4) 4
SECONDARY (A LEVEL, FO. 5-8) 5
VOCATIONAL 6
TECHNICAL/POLYTECHNIC 7
PROFESSIONAL 8
UNIVERSITY 9 (⇒ 10)

V0408

9. What was the highest form/grade you completed?
(REFERS TO QUESTION 8 ABOVE)

St. or Fo.?

V0409A

St. or Fo. No.:

V0409B

1. ENTREPRENEURSHIP QUESTIONNAIRE

Part A: General Business: Startup and History

3. Is this firm ...

YES 1
NO 2

(a) a subsidiary of a domestic firm or holding company?

V0303A

(b) a subsidiary of a multinational corporation?

V0303B

4. What were your firm's sales of manufactures in ...

(a) 1990?

TSHS:

V0304A

(b) 1991?

TSHS:

V0304B

(c) 1992?

TSHS:

V0304C

5. How many employees (including full-time, part-time and casual employees) did your firm have in total in ...

(a) 1990?

NUMBER:

V0305A

(b) 1991?

NUMBER:

V0305B

(c) 1992?

NUMBER:

V0305C

6. When was this business originally set up?

YEAR:

V0306

7. If you did not start this firm originally, when was this firm acquired by you?

YEAR:

V0307

IF THIS FIRM HAS SHAREHOLDERS (THAT IS, IF THE FIRM IS A PARTNERSHIP, LIMITED LIABILITY ENTERPRISE, CORPORATION OR PARASTATAL CORPORATION) THEN ANSWER THE FOLLOWING QUESTIONS. OTHERWISE, SKIP TO PART B.

8. How many major shareholders (owning more than 10 percent of the shares) other than spouses are there?

NUMBER:

V0308

9. How many of these major shareholders are working in this firm?

NUMBER:

V0309

1. ENTREPRENEURSHIP QUESTIONNAIRE

Part A: General Business: Startup and History

R6. What is the percent of foreign ownership?

(%)

R7. When the firm started, what was the ...

(a) total number of full-time, part-time and casual employees?

(b) What were your annual sales?

AMOUNT:

R8. And in 1981, what was the ...

(a) total number of full-time, part-time and casual employees?

(b) What were your annual sales?

AMOUNT:

(c) value of major investments in that year?

AMOUNT:

R9. And in 1986, what was the ...

(a) total number of full-time, part-time and casual employees?

(b) What were your annual sales?

AMOUNT:

(c) value of major investments in that year?

AMOUNT:

R10. How was the startup financed?

(a) Own Savings:

(%)

(b) Borrowing From Friends or Relatives:

(%)

(c) Loan from a Foreign Bank or Donor Agency

(%)

(d) Loan from a Local Bank:

(%)

(e) Loan from a Money Lender:

(%)

(f) Loan from Supplier:

(%)

(g) Other (SPECIFY: _____)

(%)

1. ENTREPRENEURSHIP QUESTIONNAIRE

Part A: General Business: Startup and History

R1. When was this business founded?

YEAR:

110306

WRITE A SHORT HISTORY OF THE FIRM FROM STARTUP TO PRESENT DAY.
QUESTIONS TO BE ASKED MIGHT INCLUDE, BUT ARE NOT LIMITED TO, THE
FOLLOWING:

- WHO STARTED THE FIRM
- ETHNIC ORIGIN OF THE ORIGINAL OWNERS
- PREVIOUS EXPERIENCE OF THE OWNERS
- MAJOR CHANGES IN INVESTMENT (YEARS)
- CAPITAL AT STARTUP

R2. If you did not start this firm originally, when when this firm acquired by you?

YEAR:

110307

R3. What is the legal status of this firm?

- SOLE PROPRIETORSHIP.....1
- PARTNERSHIP.....2
- LIMITED LIABILITY ENTERPRISE.....3
- CORPORATION (NOT PARASTATAL).....4
- CORPORATION (PARASTATAL).....5
- COOPERATIVE.....6
- SUBSIDIARY OF LOCAL FIRM.....7
- SUBSIDIARY OF MULTINATIONAL
CORPORATION.....8

1103LEBAN

R4. What is the ownership structure?

- PRIVATE OWNERS ONLY,
LOCAL OWNERS.....1
- PRIVATE OWNERS ONLY,
FOREIGN OWNERS.....2
- PRIVATE OWNERS,
LOCAL AND FOREIGN JOINT.....3
- STATE & PRIVATE JOINT,
LOCAL PRIVATE OWNERS.....4
- STATE & PRIVATE JOINT,
FOREIGN PRIVATE OWNERS.....5
- STATE & PRIVATE JOINT, LOCAL
AND FOREIGN PRIVATE OWNERS..6
- STATE.....7

(⇒ GENERAL FIRM QUESTIONNAIRE)

R5. What is the racial origin of the local owners?

- AFRICAN.....1
- ASIAN.....2
- EUROPEAN.....3
- MIDDLE EASTERN.....4
- OTHER.....5

(SPECIFY: _____)

1

APPENDIX TO LABOR MARKET QUESTIONNAIRE: SURVEY FOR A SUB-SAMPLE OF APPRENTICES

[illegible]