

**SERIAL NUMBER**

**idstd**  
**idstd\_2003 (only panel firms)**

THE WORLD BANK -Entreprise Survey  
Questionnaire **MANUFACTURING** - 2006

Special codes used throughout the questionnaire:	
-9	Don't know
-8	Refuse to respond
-7	Does not apply
-6	In process
-5	Application denied in questions of applications or; Indefinite term to maturity of a loan in k12 or; Undefined product in d1b2 and d1b3

**A Control information (to be completed before interview)**

a.0 Questionnaire	a0
Manufacturing	1

a.1 Country	a1
Argentina	1
Bolivia	2
Colombia	3
México	4
Panamá	5
Perú	6
Paraguay	7
Uruguay	8
Venezuela	9
Chile	10
Ecuador	11
El Salvador	12
Honduras	13
Guatemala	14
Nicaragua	15

Sampling Industry ind_sample	
2	Residual
15	Food
17	Textiles
18	Garments
19	Leather
20	Wood products
21	Paper products
24	Chemicals
25	Rubber and plastics
26	Non-metallic mineral products
28	Fabricated metal products
29	Machinery and equipment
31	Electronics
34	Motor vehicles
36	Furniture
51	Retail
52	Wholesale
72	IT

region_sample	Sampling Region
See sample design sheet for a list of the regions in each country	1
	2
	3
	4

a.3 City/town/village	a3x

		Screener Sector <b>a4b</b>
MANU- FAC- TURING	Foods	1
	Garments	2
	Textiles	3
	Machinery and equipment	4
	Chemicals	5
	Electronics	6
	Non-metallic minerals	7
	Other manufacturing	8
SER- VICES	Retail sale	9
	IT	10
	Other services (Hotels and restaurants. Wholesale and ISIC G50)	11
OTHER S	Construction and Transport	12

**a.5 Match between sample and filter**

**a5**

Match	1
Don't match, but carry out both activities	2
Don't match, other situation	3

**a.6 Size**

	<b>size_sample</b>	Screener Size <b>a6b</b>
Small >=5 y <=19	1	1
Medium=20 y <=99	2	2
Large >=100	3	3

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

**a7**

Yes, part of a larger firm	1
No, is a unique firm	2

**a.8 Type of establishment**

**a8**

HQ without production/sales in this location	1
HQ with production and sales in this location	2
Establishment physically separated from HQ and other establishments of the same firm	3
Establishment physically separated from HQ but with other establishments of the same firm	4

**a.9 Are financial statements prepared  
independently of financial statements of  
HQ?**

**a9**

Yes	1
No	2

**a.10 Are financial statements prepared  
independently of other establishments of the  
same firm?**

**a10**

Yes	1
No	2

**a.11 (If HQ ) Are financial statements  
independent of the other establishments?**

**a11**

Yes	1
No	2

**a.12 Interviewer code:**

**a12**

--

**a.13 Supervisor code:**

**a13**

--

**a.14 Date and time face-to-face interview begins:**

Month	Hour	Minutes	AM/PM

**a14**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**  
 This survey documents changes in the investment climate and how they affect job creation and firm-level productivity. The goal is to advise The World Bank and Inter-American Development Bank about new policies and programs to foment economic growth.  
 Please note that the information obtained here will be treated confidentially. Neither your name nor the name of your business will be used in any document based on this survey.

**B. GENERAL INFORMATION**

**INTERVIEWER: THE FOLLOWING QUESTIONS (B1 TO B4) ARE FOR ALL ESTABLISHMENTS. HOWEVER, READ THE FOLLOWING INTRODUCTION ONLY IF THE ESTABLISHMENT IS PART OF A LARGER FIRM:**  
 Please keep in mind that the following four questions apply to the firm, not the establishment. After these four questions, the rest of the questionnaire is directed solely to establishment-level issues.

**b.1** What is this firm's current legal status? **SHOW CARD 1 – ONLY ONE ANSWER**

Publicly listed shareholding company (open)	1	<b>Lb1</b>
Privately held shareholding company (closed)	2	
Limited liability company by quotas	3	
Sole proprietorship	4	
Limited partnership (simple or with shares))	5	
Partnership	6	
<b>Other (SPECIFY) _____ b1x</b>	7	

a. Publicly listed company	1	<b>b1</b>
b. Private held, limited liability company	2	
c. Sole proprietorship	3	
d. Partnership	4	
e. Limited partnership	5	
f. <b>Other</b>	6	

**b.2** What percent of this firm is owned by each of the following: **SHOW CARD 2**

a. Private domestic owners: (individuals, companies or organizations)	<b>b2a</b> %
b. Private foreign individuals, companies or organizations	<b>b2b</b> %
c. Government/State	<b>b2c</b> %
d. Other	<b>b2d</b> %
	<b>100%</b>

**INTERVIEWER: CHECK TOTAL ADDS UP TO 100%**

**b.3** What percent of this firm does the largest shareholder(s) own?

	<b>Percent</b>
Percent held by largest shareholder	<b>b3</b>

**b.4** Are any of the principal owners female?

Yes	1	
No	2	
<b>Don't know</b>	<b>-9</b>	<b>b4</b>

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**  
**Now, I want to ask you a couple of questions about when and how operations in this establishment began.**

**b.5** In what year did this establishment begin operations in this country?

	<b>Year</b>
Year establishment began operations	<b>b5</b>

**b.6** How many **full-time employees** did this establishment employ when it started operations?

	<b>At Start up</b>
Number full-time employees	<b>b6</b>

**Lb.6a** What proportion of the investment needed to start the establishment was financed from each of the following sources?

	<b>Percent of Investment needed to start the establishment</b>	
Loans from private commercial banks	<b>Lb6a1</b>	%
Loans from state-owned banks and/or government agency	<b>Lb6a2</b>	%

**Lb.6b** Did this establishment formally register when it started operations? **Lb6b**

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**GO TO QUESTION b.7**

<b>Lb.6c</b>	When did this establishment formally register?	<b>Lb6c</b>
--------------	--	-------------

Year of registration	<b>Year</b>
----------------------	-------------

**INTERVIEWER: IF THE RESPONDENT DOES NOT KNOW, WRITE -9,  
IF THE ESTABLISHMENT WAS NEVER REGISTERED, WRITE -7**

<b>b.7</b>	How many years of experience working in this sector does the top manager have?
------------	--

Manager's years of experience in sector	<b>Years</b>
	<b>b7</b>

<b>b.8</b>	Does this establishment have an internationally-recognized quality certification?
------------	---

**INTERVIEWER: If there is need for clarifications, some examples are: ISO 9000, 9002 or 14000**

Yes	1	
No	2	<b>GO TO QUESTION c.3</b>
<b>Don't know</b>	<b>-9</b>	<b>GO TO QUESTION c.3</b>
<b>b8</b>		

<b>Lb.8a</b>	In particular, what certifications do you have?
--------------	---

	Yes	No	<b>Don't know</b>
ISO 9001 <b>Lb8a1</b>	1	2	<b>-9</b>
QS 9000 <b>Lb8a2</b>	1	2	<b>-9</b>
ISO/TS 16949 <b>Lb8a3</b>	1	2	<b>-9</b>

**C. INFRASTRUCTURE AND SERVICES**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**

**The next theme is the infrastructure**

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

Yes	1	<b>GO TO QUESTION C.6</b> <b>GO TO QUESTION C.6</b>
No	2	
<b>Don't know</b>	<b>-9</b>	

**c3**

**c.4** What was the wait, in days, experienced to obtain that connection from the day this establishment applied for it to the day it received the service?

Wait for connection (days) **c4**

**INTERVIEWER: IF THE RESPONDENT SAID LESS THAN ONE DAY, WRITE 1  
IF STILL IN PROCESS, WRITE -6  
IF DENIED, CODE IS -5**

**c.5** Was an informal gift or payment expected or requested to obtain the electrical connection?

Yes	1	<b>c5</b>
No	2	
<b>Don't know</b>	<b>-9</b>	
<b>REF</b>	<b>-8</b>	

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

Yes	1	<b>GO TO QUESTION C.10</b> <b>GO TO QUESTION C.10</b>
No	2	
<b>Don't know</b>	<b>-9</b>	

**c6**

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

Average number (incidents/month) **c7** **IF 0, GO TO QUESTION C.10**

**c.8** How long did the average power outage last?

Average duration (hours/day) **c8**

**INTERVIEWER: IF THE RESPONDENT SAID LESS THAN ONE HOUR, WRITE 1**

**c.9** Please estimate the losses as percent of annual sales that resulted because of power outages or estimate total annual losses as a result of power outages?

Estimated loss as a percent of total annual sales due to power outages **c9a**

**PROVIDE EITHER ONE OR THE OTHER, NOT BOTH**

Estimated annual loss due to power outages .....(LCUs) **c9b**

**INTERVIEWER: IF THE RESPONDENT SAID NONE, WRITE 0**

**c.10** Over the course of fiscal year **[insert last complete fiscal year]**, did this establishment own or share a generator?

Yes	1	<b>GO TO QUESTION C.12</b> <b>GO TO QUESTION C.12</b>
No	2	
<b>Don't know</b>	<b>-9</b>	

**c10**

**c.11** In fiscal year **[insert last complete fiscal year]**, what percent of this establishment's electricity came from a generator or generators that the establishment owned or shared?

	<b>Percent</b>
Percent electricity from generators	<b>c11</b>

**c.12** Over the last two years, did this establishment submit an application to obtain a water connection?

Yes	1	<b>GO TO QUESTION C.15</b> <b>GO TO QUESTION C.15</b>
No	2	
<b>Don't know</b>	<b>-9</b>	

**c12**

**c.13** What was the wait, in days, experienced to obtain that connection from the day this establishment applied for it to the day it received the service?

Wait for connection (days) **c13**

**INTERVIEWER: IF THE RESPONDENT SAID LESS THAN ONE DAY, WRITE 1,  
IF STILL IN PROCESS, WRITE -6  
IF DENIED, CODE IS -5**

**c.14** Was an informal gift or payment expected or requested to obtain the water connection?

Yes	1	<span style="border: 1px solid black; padding: 2px;"><b>c14</b></span>
No	2	
<b>Don't know</b>	<b>-9</b>	
<b>REF</b>	<b>-8</b>	

**c.15** Over fiscal year [insert last complete fiscal year], did this establishment experience insufficient water supply for production?

Yes	1
No	2
Don't know	-9

**GO TO QUESTION C.18**  
**GO TO QUESTION C.18**

**c15**

**c.16** In a typical month, over fiscal year [insert last complete fiscal year], how many incidents of water shortages does this establishment experience?

Average number (incidents/month) **c16** **IF 0, GO TO QUESTION C.18**

**c.17** How long did the average water shortage last?

Average duration (hours/day) **c17**

**INTERVIEWER: IF THE RESPONDENT SAID LESS THAN ONE DAY, WRITE 1**

**c.18** In fiscal year [insert last complete fiscal year], what percent of this establishment's water supply, used in the production process, was from public sources?

	%
Percent water from public sources	<b>c18</b>

**INTERVIEWER: IF THE RESPONDENT SAID NONE, WRITE 0**

**c.19** Over the last two years, did this establishment submit an application to obtain a telephone connection?

Yes	1
No	2
Don't know	-9

**GO TO QUESTION C.22**  
**GO TO QUESTION C.22**

**c19**

**c.20** What was the wait, in days, experienced to obtain that connection from the day this establishment applied for it to the day it received the service?

Wait for connection (days) **c20**

**INTERVIEWER: IF THE RESPONDENT SAID LESS THAN ONE DAY, WRITE 1,  
IF STILL IN PROCESS, WRITE -6  
IF DENIED, CODE IS -5**

<b>c.21</b>	Was an informal gift or payment expected or requested to obtain the telephone connection?
-------------	---

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>
<b>REF</b>	<b>-8</b>

<b>c21</b>
------------

<b>c.22</b>	Now turning to the current situation. Thinking about at the present time, does this establishment use any of the following in its communications with clients and suppliers?
-------------	--

		Yes	No	<b>Don't know</b>
a. E-mail	<b>c22a</b>	1	2	<b>-9</b>
b. Its own website	<b>c22b</b>	1	2	<b>-9</b>

<b>c.30</b>	Is <b>electricity</b> No Obstacle, a Minor Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment?. <b>SHOW CARD 3. READ THE SCALE.</b> <b>SCALE:</b> No obstacle, Minor obstacle, Moderate obstacle, Mayor obstacle, Very severe obstacle.
-------------	---

		No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	<b>Don't Know</b>	<b>Does Not Apply</b>
Electricity	<b>c30a</b>	0	1	2	3	4	<b>-9</b>	<b>-7</b>

**D. SALES AND SUPPLIES**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**

**The next questions refer to sales and purchases of this establishment.**

**d.1** In fiscal year [insert last complete fiscal year], what were this establishment’s two main products represented by the largest proportion of annual sales?  
**FOR “CODE” SHOW LISTS OF ISIC-REV3, 4-DIGITS CODE OF THE CORRESPONDING SECTOR TO WHICH THE ESTABLISHMENT BELONGS. SHOW CARD 4**

	Description	Code	% of total revenue
a. First	<b>d1a1x</b>	<b>d1a2</b>	<b>d1a3</b>
b. Second	<b>d1b1x</b>	<b>d1b2</b>	<b>d1b3</b>

**INTERVIEWER: TOTAL DOES NOT NECESSARILY ADD UP TO 100% IF SECOND PRODUCT IS UNDEFINED CODE IS -5**

**d.2** In fiscal year [insert last complete fiscal year] ¿what were the total annual sales of this establishment?

Total annual sales	\$ <b>d2</b>
--------------------	--------------

**d.3** In fiscal year [insert last complete fiscal year], what percent of this establishment’s revenue was from: **SHOW CARD 5**

**INTERVIEWER: COMPLETE THE TABLE HORIZONTALLY, BEGINNING WITH LOCAL SALES, THEN INDIRECT EXPORTS, AND FINALLY DIRECT EXPORTS. TAKE INTO ACCOUNT THE SKIP PATTERN ACCORDING TO THE ORDER OF THE QUESTION. CHECK THAT TOTAL ADDS UP TO 100**

a. National sales	<b>d3a %</b>	<b>IF 100, GO TO QUESTION Ld.8</b>
b. Indirect exports (sold domestically to third party that exports products)	<b>d3b %</b>	<b>IF 100, GO TO QUESTION d.8</b>
c. Direct exports	<b>d3c %</b>	<b>IF 0, GO TO QUESTION d.8</b>
	<b>100%</b>	

**INTERVIEWER: CHECK TOTAL ADDS UP TO 100%**

In fiscal year [insert last complete fiscal year], when this establishment **exported goods directly**, what was the average number of days that it took from the time this establishment’s goods arrived to their **main point of exit** (e.g., port, airport) until the time these goods cleared customs? And what was the longest number of days?

		Días
<b>d.4</b>	Average number of days to clear customs	<b>d4</b>
<b>d.5</b>	Longest number of days to clear customs	<b>d5</b>

**INTERVIEWER: IF THE RESPONDENT SAID LESS THAN ONE DAY, WRITE 1**

**d.6** In fiscal year **[insert last complete fiscal year]**, what percent of the consignment value of the products shipped for **direct export** was lost while in transit because of **theft**?

	<b>as % of consignment value</b>
Losses due to theft	<b>d6</b> %

**INTERVIEWER: IF THE RESPONDENT SAID NO LOSSES, WRITE 0**

**d.7** In fiscal year **[insert last complete fiscal year]**, what percent of the consignment value of the products shipped for **direct export** was lost while in transit because of **breakage or spoilage**?

	<b>as % of consignment value</b>
Losses due to breakage or spoilage	<b>d7</b> %

**INTERVIEWER: IF THE RESPONDENT SAID NO LOSSES, WRITE 0**

**d.8** In what year did this establishment first export directly or indirectly?

	<b>Year</b>
When began exporting directly or indirectly	<b>d8</b>

**Ld.8** For fiscal year **[insert last complete fiscal year]**, domestic and foreign, what percent of this establishment's sales was subcontracted to other firms or individuals?

	<b>%</b>
Percent of sales subcontracted to other firms or individuals	<b>Ld8</b>

**d.9** In fiscal year **[insert last complete fiscal year]**, the main buyer of your output was? **SHOW CARD**  
**6** **d9**

Headquarters or affiliated establishments	1
Large private firms with more than 100 workers	2
Medium private firms with 20 to 100 workers	3
Small private firms with less than 20 workers	4
Individuals	5
Government or government agencies (including state-owned enterprises)	6
Other	7
Don't know	-9

**d.10** In fiscal year [insert last complete fiscal year], what percent of the consignment value of products this establishment shipped to supply domestic markets was lost while in transit because of theft?

	<b>as % of consignment value</b>
Losses due to theft	<b>d10</b> %

**INTERVIEWER: IF THE RESPONDENT SAID NO LOSSES, WRITE 0**

**d.11** In fiscal year [insert last complete fiscal year], what percent of the consignment value of products this establishment shipped to supply domestic markets was lost while in transit because of breakage or spoilage?

	<b>as % of consignment value</b>
Losses due to breakage or spoilage	<b>d11</b> %

**INTERVIEWER: IF THE RESPONDENT SAID NO LOSSES, WRITE 0**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**  
The next questions are about the input and materials purchases, done the complete last fiscal year.

**Ld.11** In fiscal year [insert last complete fiscal year], what percent of this establishment's material inputs and supplies was purchased from small firms (less than 50 workers)?

	<b>Percent</b>
Percent material inputs and supplies purchased from small firms	<b>Ld11</b> %

**d.12** In fiscal year [insert last complete fiscal year], as a proportion of all of the material inputs and/or supplies purchased that year, what percent of this establishment's material inputs and/or supplies were:

	<b>% of total annual purchases of material inputs and/or supplies</b>
a. Of domestic origin	<b>d12a</b> %
b. Of foreign origin	<b>d12b</b> %
	<b>100%</b>

**IF 0 OR DON'T KNOW, GO TO QUESTION d.16**

**INTERVIEWER: CHECK THAT THE TOTAL IS 100%**

**d.13** Of the material inputs and/or supplies purchased in fiscal year [insert last complete fiscal year], were any of these imported directly?

Yes	1
No	2
Don't know	-9

**GO TO QUESTION D.16**

**GO TO QUESTION D.16**

**d13**

In fiscal year **[insert last complete fiscal year]**, when this establishment **imported goods**, what was the average number of days that it took from the time goods arrived to their point of **entry** (e.g. port, airport) until the time these goods could be claimed from customs? And what was the longest time?

		<b>Days</b>
<b>d.14</b>	Average number of days to clear customs	<b>d14</b>
<b>d.15</b>	Longest number of days to clear customs	<b>d15</b>

**INTERVIEWER: IF THE RESPONDENT SAID LESS THAN ONE DAY, WRITE 1**

**d.16** Now thinking about your *current* experience, at the time this establishment receives delivery of its most important input, how many days of stock, measured in days of production, is available?

	<b>Days</b>
Days of inventory of main input	<b>d16</b>

**INTERVIEWER: IF RESPONDENT REQUIRES CLARIFICATION, DEFINE AS STOCK ON HAND. IF DON'T HAVE STOCK, WRITE CERO.**

**d.30b** The **customs and trade regulations** are No Obstacle, a Minor Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment? **SHOW CARD 7. READ THE SCALE.**  
**SCALE:** No obstacle, Minor obstacle, Moderate obstacle, Mayor obstacle, Very severe obstacle.

	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	Don't Know	Does Not Apply
Customs and trade regulations <b>d30b</b>	0	1	2	3	4	<b>-9</b>	<b>-7</b>

## T. TRANSPORT

### READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

The next topic is transport. The first four questions refer to the last complete fiscal year, after that the questions will focus in the last shipping of the most important product of the establishment.

**Lt.1** In fiscal year [insert last complete fiscal year], did this establishment use its own transport to make shipments to its customers? **c1**

Yes	1
No	2
Don't know	-9

**GO TO QUESTION Lt.3**

**GO TO QUESTION Lt.3**

**Lt.2** In fiscal year [insert last complete fiscal year], what percent, in terms of annual revenue, of shipments to its customers were transported by this establishment's own transport?

Percent shipped with own transport

**c2**

%

**IF 100%, GO TO QUESTION Lt.4**

**Lt.3** In fiscal year [insert last complete fiscal year], did this establishment transport the main product to the primary destination using third party providers? **Lt3**

Yes	1
No	2
Don't know	-9

**Lt.4** In fiscal year [insert last complete fiscal year], what is the primary destination of this establishment's main product? (main destination: place where is sold the main share of the product)

Name of the city:	<b>Lt4ax</b>
Country:	<b>Lt4bx</b>

**INTERVIEWER: IF THE PRODUCT IS SOLD IN THE SAME PLACE WHERE IS PRODUCED, WRITE -7 AND GO TO QUESTION Lt.30**

**INTERVIEWER: REGISTER IF THE PRIMARY DESTINATION OF THIS ESTABLISHMENT'S MAIN PRODUCT IS DIFFERENT FROM THE COUNTRY WHERE THE ESTABLISHMENT IS LOCATED**

YES	1
NO	2

**Lt4c**

**GO TO QUESTION Lt.6**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**

The following questions refer to the last shipment of this establishment's main product to its primary destination

**Lt.5** What is the name of the point of exit for the last shipment of the main product?

Exit point	<b>Lt5x</b>
------------	-------------

**Lt.6** For the last shipment of the main product to the primary destination, what was the mode of transportation used to deliver the establishment's main product to the mentioned primary destination? **Lt6**

Terrestrial: cars, trucks, etc.	1
Terrestrial: Train	2
Air	3
Transport by river	4
Transport by ocean	5
Combination of mentioned options.	6
<b>SPECIFY</b> _____ <b>Lt6x</b>	

**INTERVIEWER: ONLY ONE ANSWER**

**Lt.7** For the last shipment to the primary destination of the establishment's main product, what was its size (volume or weight)?

Size of last shipment of main product	<b>Lt7a</b>
---------------------------------------	-------------

**SPECIFY UNIT OF MEASURE Lt7b**

Tons	1
Kilograms	2
Cubic meters	3
Pounds	4
Other <b>SPECIFY</b> _____ <b>Lt7bx</b>	5

**Lt.8** What was the *transportation cost* for the last shipment of the establishment's main product to its primary destination?

	<b>Local currency</b>
Cost of transportation of last shipment of <i>main product to its primary destination</i>	\$ <b>Lt8</b>

**INTERVIEWER: IF THE PRIMARY DESTINATION IS OUTSIDE THE COUNTRY, PLEASE INDICATE THE TRANSPORTATION COST NET OF ANY FEES CHARGED AT THAT PORT OF EXIT (E.G. CUSTOMS FEES, PORT OR AIRPORT FEES, CARGO HANDLING FEES, ETC.).**

<b>Lt.9</b>	What was the <i>total value</i> of the last shipment of the establishment's main product to its primary destination?
-------------	--

	<b>Local currency</b>
Value of last shipment of <i>main product to its primary destination</i>	\$ <b>Lt9</b>

**INTERVIEWER: PLEASE INDICATE THE VALUE OF THE LAST SHIPMENT AT THE POINT OF DELIVERY TO THE CLIENT.**

**MAKE THE NEXT QUESTION ONLY IF THE PRIMARY DESTINATION IS OUTSIDE THE COUNTRY ACCORDING TO Lt.4**

<b>Lt.10</b>	What's included in that value?	<b>Lt10</b>
--------------	--------------------------------	-------------

FAS	1
FOB	2
CIF	3
<b>Does not apply</b>	<b>-7</b>
<b>Don't know</b>	<b>-9</b>

<b>Lt.11</b>	For the last shipment, how long did it take to transport the last shipment of the establishment's main product to its primary destination, from the time the product left the establishment until it was delivered to the client?
--------------	---

	<b>Time (hours)</b>
Time to transport last shipment of <i>main product to its primary destination</i>	<b>Lt11</b>

**INTERVIEWER:IF TIME TO TRANSPORT IS LESS THAN ONE HOUR, WRITE 1**

<b>t.30</b>	Is <b>transportation</b> , of goods, supplies, inputs and workers, No Obstacle, a Minor Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment? <b>SHOW CARD 8. READ THE SCALE.</b> <b>SCALE:</b> No obstacle, Minor obstacle, Moderate obstacle, Major obstacle, Very severe obstacle
-------------	--

		No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	<b>Don't Know</b>	<b>Does Not Apply</b>
Transport	<b>d30a</b>	0	1	2	3	4	<b>-9</b>	<b>-7</b>

**E. DEGREE OF COMPETITION AND INNOVATION**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**

The next questions are about competition and innovation.

**e.1** From the beginning to the end of fiscal year **[insert last complete fiscal year]**, please characterize the main market in which this establishment sells its main product line or main line of services.

Type of market	Code
Local – (products sold mostly in same municipality where establishment is located)	1
National – (products sold mostly across nation where establishment is located)	2
International – (products sold mostly to nations outside country where establishment is located)	3
<b>Don't know</b>	<b>-9</b>

**GO TO QUESTION e.5**

**GO TO QUESTION e.5**

**e1**

**e.2** For fiscal year **[insert last complete fiscal year]**, for the main market in which this establishment sold its main product, how many competitors did this establishment's main product/product line face? **READ THE OPTIONS**

	Code
None	1
One	2
2-5	3
More than 5	5
<b>Don't know</b>	<b>-9</b>

**e2**

**e.3** Have sales of this establishment's main product increased, remained the same, or decreased in fiscal year **[insert last complete fiscal year]**?

	Code
Increased	1
Remained the same	2
Decreased	3
<b>Don't know</b>	<b>-9</b>

**e3**

**e.4** Have prices of this establishment's main product increased, remained the same, or decreased in fiscal year **[insert last complete fiscal year]**?

	Code
Increased	1
Remained the same	2
Decreased	3
<b>Don't know</b>	<b>-9</b>

**e4**

**e.5** How important or unimportant are the following factors on production costs of existing products?  
**SHOW CARD 9**

		Not at all important	Slightly important	Important	Very important	<b>Do Not Know</b>	<b>Does Not Apply</b>
a. Pressure from domestic competitors	<b>e5a</b>	1	2	3	4	<b>-9</b>	<b>-7</b>
b. Pressure from foreign competitors	<b>e5b</b>	1	2	3	4	<b>-9</b>	<b>-7</b>

**e.6** Does this establishment at present use technology licensed from a foreign-owned company? **e6**

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**e.7** During the last three years, did this establishment introduce onto the market any new or significantly improved products? **e7**

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**e.8** During the last three fiscal years, has this establishment introduced any new or significantly improved production processes including methods of supplying services and ways of delivering products? **e8**

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**Le.8a** In fiscal year **[insert last complete fiscal year]**, did this establishment spend on research and development activities, within the establishment or other companies contracted? **Le8a**

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**GO TO QUESTION e.30**  
**GO TO QUESTION e.30**

In fiscal year **[insert last complete fiscal year]**, how much did this establishment spend on research and development activities performed within this establishment? And, how much in activities with other companies contracted?

		Last Complete Fiscal Year
<b>Le.8b</b>	Expenditures of R&D performed within this establishment (include personal cost, materials and investment)	\$ <b>Le8b</b>
<b>Le.8c</b>	Expenditures of R&D performed by other companies contracted	\$ <b>Le8c</b>

In the last three year, has this establishment received assistance from any of the following public or private programs?

Program		Yes	No
<b>Le.8d1b</b>	Export promotion <span style="float: right;"><b>Le8d1</b></span>	<b>1</b>	<b>2</b>
<b>Le.8d2</b>	Training programs <span style="float: right;"><b>Le8d2</b></span>	<b>1</b>	<b>2</b>
<b>Le.8d3</b>	Technology update <span style="float: right;"><b>Le8d3</b></span>	<b>1</b>	<b>2</b>
<b>Le.8d4</b>	Business development services <span style="float: right;"><b>Le8d4</b></span>	<b>1</b>	<b>2</b>

**E.30** Do you think that the **practices of competitors in the informal sector** are No Obstacle, a Minor Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment? **SHOW CARD 10**

<b>e30</b>	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	<b>Do Not Know</b>	<b>Does Not Apply</b>
Practices of competitors in the informal sector	0	1	2	3	4	<b>-9</b>	<b>-7</b>

**F. CAPACITY**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**  
 We now turn to the topic of this establishment's capacity utilization in fiscal year [insert last complete fiscal year].

**f.1** In fiscal year [insert last complete fiscal year], what was this establishment's current output in comparison with the maximum output possible using its facilities at the time?

Capacity Utilization Last Complete Fiscal Year	
Level of utilization of facilities	<b>f1</b> %

**f.2** In fiscal year [insert last complete fiscal year], how many hours per week did this establishment normally operate?

Hours per week Last Complete Fiscal Year	
Typical hours of operation in a week	<b>f2</b>

**G. LAND AND ENVIRONMENT**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**

We change topics and we would like to ask you a couple of questions about land issues.

**g.1** Of the land occupied by this establishment, what percent is:

Owned by this establishment	<b>g1a</b> %
Leased by this establishment	<b>g1b</b> %
	<b>100%</b>

**INTERVIEWER: UNLESS RESPONDENT DOES NOT KNOW, CHECK TOTAL SUMS TO 100%  
IF IT IS A FLOOR IN A BUILDING, WRITE -7**

**Lg.1a** Does this establishment have any of the following instruments regarding Corporate Social and Environmental Responsibility? **CHOOSE ONE OPTION** **Lg1a**

Formal declaration (written)	1
Informal instructions (orals)	2
None	3
<b>Don't know</b>	<b>-9</b>

**GO TO QUESTION Lg.1c  
GO TO QUESTION Lg.1c**

**Lg.1b** In your personal opinion. Do you believe that being socially and environmentally responsible affects this establishment's competitiveness? **Lg1b**

Positively	1
Negatively	2
No effect	3
<b>Don't know</b>	<b>-9</b>

**Lg.1 c** Does this establishment have any of the following programs to address environmental issues?

		<b>Yes</b>	<b>No</b>	<b>Don't know</b>
Optimization for the use of energy	<b>Lg1c1</b>	1	2	<b>-9</b>
Optimization for the use of water	<b>Lg1c2</b>	1	2	<b>-9</b>
Recycling	<b>Lg1c3</b>	1	2	<b>-9</b>

**Lg.1d** Did this establishment use air and water pollution control systems that meet established standards? **Lg1d**

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**Lg1.e** Does your establishment have formal programs for supporting the community, for example on education, health, sports, community development and/or donations? **Lg1e**

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**Lg.1f** Does this establishment get pressure from stakeholders, such as buyers, customers, society, financiers, to be socially and environmentally responsible? **Lg1f**

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

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

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**GO TO QUESTION g.30**  
**GO TO QUESTION g.30**

**g2**

**g.3** In reference to the application for a construction-related permit, approximately what was the wait, in days, experienced to obtain that permit from the day this establishment applied for it to the day it was granted?

Wait for license (days)

**g3**

**INTERVIEWER: IF THE RESPONDENT SAID LESS THAN ONE DAY, WRITE 1  
IF STILL IN PROCESS, WRITE -6  
IF DENIED, CODE IS -5**

**g.4** In reference to that application for a construction-related permit, was an informal gift or payment expected or requested?

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>
<b>REF</b>	<b>-8</b>

**g4**

**g.30** Please tell me if you think that **access to land** is No Obstacle, a Minor Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment. **SHOW CARD 11**

	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	Do Not Know	Does Not Apply
Access to land <b>g30a</b>	0	1	2	3	4	<b>-9</b>	<b>-7</b>
Environmental regulations <b>Lg30b</b>	0	1	2	3	4	<b>-9</b>	<b>-7</b>

## H. COURTS

### READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

The next set of questions address payment disputes that this establishment may have had with clients. The questions are designed to get an idea of how establishments like this one resolve these disputes. By dispute I mean a situation where it was necessary to take some action to collect the money this establishment was owed.

**h.1** In the last two years, did this establishment have a dispute with clients over payments owed to it, in which the establishment had to engage a third party such as arbiters, collecting agency or judicial system?

Yes	1
No	2
Don't know	-9

GO TO QUESTION h.7

GO TO QUESTION h.7

h1

**h.2** In reference to such a payment dispute, was the court system used to resolve it?

Yes	1
No	2
Don't know	-9

GO TO QUESTION h.7

GO TO QUESTION h.7

h2

**h.3** In reference to this payment dispute where the court system was used to resolve it, was a court judgment made?

Yes	1
No	2
Still in process	-6
Don't know	-9

GO TO QUESTION h.7

GO TO QUESTION h.7

GO TO QUESTION h.7

h3

**h.4** In reference to the most recent resolved dispute for which the court system was used and a court judgment was made, how many weeks did it take the courts to come to judgment on this dispute? Calculate time to reach a judgment from the day the establishment first took court action until the moment a judgment was made.

Weeks

Weeks for courts to reach judgment

h4

IF RESPONDENT GIVES THE ANSWER IN DAYS, MONTHS OR YEARS WRITE THE ANSWER HERE \_\_\_\_\_ AND TRANSLATE INTO WEEKS LATER

**h.5** In reference to the most recent resolved dispute for which a legal proceeding was initiated and a court judgment was made, was the decision of the court enforced?

Yes	1	<b>GO TO QUESTION h.7</b> <b>GO TO QUESTION h.7</b> <b>GO TO QUESTION h.7</b>
No	2	
Still in process	-6	
<b>Don't know</b>	<b>-9</b>	
<b>h5</b>		

**h.6** In reference to the most recent resolved dispute for which a legal proceeding was initiated, a court judgment was made, and judgment was enforced, how many weeks did the enforcement (execution) of the court judgment take (from the moment of the issuance of the court decision until the moment payment was resolved)?

	<b>Weeks</b>
Weeks for court enforcement to take place	<b>h6</b>
<b>NO ENFORCEMENT- ESTABLISHMENT LOST CASE</b>	<b>-7</b>

IF RESPONDENT GIVES THE ANSWER IN DAYS, MONTHS OR YEAR WRITE THE ANSWER HERE \_\_\_\_\_ AND TRANSLATE INTO WEEKS LATER

**h.7** Please tell me if you agree, according to the scale of the card (**SHOW CARD 12**). Sentences are about how the court system handles business disputes between private parties, including matters of payment for goods or services, liability, and property right enforcement, but not labor disputes. The court system is (**READ EACH DESCRIPTION**).

	Strongly disagree	Tend to disagree	Tend to agree	Strongly agree	<b>Don't know</b>
Fair, impartial and uncorrupted <b>h7a</b>	1	2	3	4	<b>-9</b>
Quick <b>h7b</b>	1	2	3	4	<b>-9</b>
Affordable <b>h7c</b>	1	2	3	4	<b>-9</b>
Able to enforce its decisions <b>h7d</b>	1	2	3	4	<b>-9</b>

**h.30** Please tell me if you think that the **functioning of the courts** is No Obstacle, a Minor Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment. **SHOW CARD 13**

<b>h30</b>	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	<b>Do Not Know</b>	<b>Does Not Apply</b>
Functioning of the courts	0	1	2	3	4	<b>-9</b>	<b>-7</b>

**I. CRIME**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**  
**We now turn to questions on the issue of crime and how crime affects the operations of this establishment.**

**i.1** In fiscal year **[insert last complete fiscal year]**, did this establishment pay for security, for example equipment, personnel, or professional security services?

Yes	1	<b>GO TO QUESTION i.3</b>
No	2	
<b>Don't know</b>	<b>-9</b>	

**i1**

**i.2** In fiscal year **[insert last complete fiscal year]**, what percent of its total annual sales is paid for security, or what is the total annual cost of security?

Percent of total annual sales for security **i2a**

**PROVIDE EITHER ONE OR THE OTHER, NOT BOTH**

Total annual cost of security .....(LCUs) **i2b**

**i.3** In fiscal year **[insert last complete fiscal year]**, has this establishment experienced losses as a result of theft, robbery, vandalism or arson?

Yes	1	<b>GO TO QUESTION Li.4</b>
No	2	
<b>Don't know</b>	<b>-9</b>	

**i3**

**i.4** For fiscal year **[insert last complete fiscal year]**, what are the estimated losses as a result of theft, robbery, vandalism or arson that occurred on establishment's premises calculated as a percent of annual sales or the total annual value of the losses?

Percent of total annual sales % **i4a** %

**PROVIDE EITHER ONE OR THE OTHER, NOT BOTH**

Annual losses .....(LCUs) **i4b** LCUs

**Li.4** For fiscal year **[insert last complete fiscal year]**, has this establishment experienced increases in worker absenteeism as a result of crime and insecurity (for example, workers unwilling to work the night shift, or workers unable to work as a result of having been victims of crimes, etc.)? **Li4**

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**i.30** Please tell me if you think that **crime, theft and disorder** is No Obstacle, a Minor Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment. **SHOW CARD 14**

<b>i30</b>	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	<b>Do Not Know</b>	<b>Does Not Apply</b>
Crime, theft and disorder	0	1	2	3	4	<b>-9</b>	<b>-7</b>

**J. BUSINESS-GOVERNMENT RELATIONS**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**

The following questions assess how establishments, such as this one, deal with government officials, their agencies, and the rules and regulations these agencies are designed to implement and enforce.

**j.1** I am going to read some statements that describe business-government relations. For each statement, please tell me if you agree or disagree, according to this scale **SHOW CARD 15**.

	Strongly disagree	Tend to disagree	Tend to agree	Strongly agree	Don't know	Refuses to Answer	Does Not Apply
“Government officials’ interpretations of the laws and regulations affecting this establishment are consistent and predictable.” <b>j1a</b>	1	2	3	4	-9	-8	
“It is common for establishments in this line of business to have to pay informal payments/gifts to get things done with regard to customs, taxes, licenses, and regulations, etc.” <b>j1b</b>	1	2	3	4	-9	-8	
“Establishments in this line of business know in advance about how much this informal payment/gift is to get things done.” <b>j1c</b>	1	2	3	4	-9	-8	-7

**j.2** In a typical week over **the last 12 months**, what percentage of total senior management's time was spent in dealing with requirements imposed by government regulations?

(By senior management I mean managers, directors, and officers above direct supervisors of production/sales workers. Some examples of government regulations are taxes, customs, labor regulations, licensing and registration, including dealings with officials and completing forms)

	<b>Percent</b>
Percent of total senior management's time	<b>j2</b> %

**INTERVIEWER: IF THE RESPONDENT SAID NO TIME WAS SPENT, WRITE 0**

**j.3** Over **the last 12 months**, was this establishment visited and or inspected by tax officials?

Yes	1	<b>GO TO QUESTION j.6</b> <b>GO TO QUESTION j.6</b>
No	2	
<b>Don't know</b>	<b>-9</b>	

**j3**

**j.4** Over **the last 12 months**, How many times was this establishment either inspected by tax officials or required to meet with them?

	<b>Number of meetings</b>
Times inspected or met with tax officials	<b>j4</b>

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

Yes	1	<b>j5</b>
No	2	
<b>Don't know</b>	<b>-9</b>	
<b>REF</b>	<b>-8</b>	

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

	<b>Percent</b>
Percent of the contract value	<b>j6</b> %

**INTERVIEWER: IF THE RESPONDENT SAID NO PAYMENTS/GIFTS ARE PAID, WRITE 0**  
**IF RESPONDENT REFUSES TO RESPOND, WRITE -8, IF DON'T KNOW WRITE -9, AND IF NO CONTRACTS WITH THE GOVERNMENT -7**

**j.7** We've heard that establishments are sometimes required to make gifts or informal payments to public officials to "get things done" with regard to customs, taxes, licenses, regulations, services etc. On average, what percent of total annual sales, or estimated total annual value, do establishments like this one pay in informal payments or gifts to public officials for this purpose?

percent of total annual sales %

**PROVIDE EITHER ONE OR THE OTHER, NOT BOTH**

Estimated value .....(LCUs)

**INTERVIEWER: IF THE RESPONDENT SAID NO PAYMENTS/GIFTS ARE PAID, WRITE 0  
IF RESPONDENT REFUSES TO RESPOND, WRITE -8, IF DON'T KNOW -9**

**j.8** Recognizing the difficulties many business establishments face in fully complying with taxes and regulations, what **percent of total annual sales** would you estimate the typical firm in this establishment's line of business declares for tax purposes?

	<b>Percent</b>
Percent of total annual sales reported	<b>j8</b> %

**IF RESPONDENT REFUSES TO RESPOND, WRITE -8,  
IF DON'T KNOW WRITE -9**

**j.9** Recognizing the difficulties that many business establishments face in fully complying with labor regulations, what **percent of total workforce** would you estimate the typical firm in your line of business declares for tax purposes?

	<b>Percent</b>
Percent of total workforce reported	<b>j9</b> %

**IF RESPONDENT REFUSES TO RESPOND, WRITE -8,  
IF DON'T KNOW WRITE -9**

**j.10** Over the last two years, did this establishment submit an application to obtain an import license?

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**GO TO QUESTION j13  
GO TO QUESTION j.13**

**j.11** In reference to the application for an import license, approximately what was the wait, in days, experienced to obtain that license from the day this establishment applied for it to the day it was granted?

Wait for license (days)

**INTERVIEWER: IF THE RESPONDENT SAID LESS THAN ONE DAY, WRITE 1  
IF STILL IN PROCESS, WRITE -6  
IF DENIED, CODE IS -5**

**j.12** In reference to that application for an import license, was an informal gift or payment expected or requested?

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>
<b>REF</b>	<b>-8</b>

**j12**

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

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**GO TO QUESTION j.30**  
**GO TO QUESTION j.30**

**j13**

**j.14** In reference to the application for an operating license, approximately what was the wait, in days, experienced to obtain that license from the day this establishment applied for it to the day it was granted?

Wait for license (days)

**j14**

**INTERVIEWER: IF THE RESPONDENT SAID LESS THAN ONE DAY, WRITE 1**  
**IF STILL IN PROCESS, WRITE -6**  
**IF DENIED, CODE IS -5**

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

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>
<b>REF</b>	<b>-8</b>

**j15**

**j.30** What is the level of obstacle of the next items to the functioning of this establishment? **READ EVERY CATEGORY - SHOW CARD 16**

	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	<b>Do Not Know</b>	<b>Does Not Apply</b>
Tax rates <b>j30a</b>	0	1	2	3	4	<b>-9</b>	<b>-7</b>
Tax administration <b>j30b</b>	0	1	2	3	4	<b>-9</b>	<b>-7</b>
Business licensing and permits <b>j30c</b>	0	1	2	3	4	<b>-9</b>	<b>-7</b>
Macroeconomic instability <b>j30d</b>	0	1	2	3	4	<b>-9</b>	<b>-7</b>
Political instability <b>j30e</b>	0	1	2	3	4	<b>-9</b>	<b>-7</b>
Corruption <b>j30f</b>	0	1	2	3	4	<b>-9</b>	<b>-7</b>

**K. FINANCE**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**

**I would like to ask you a few questions about how you finance the operations of this establishment.**

**k.1** In fiscal year **[insert last complete fiscal year]**, what percent, as a proportion of the value of **total annual purchases** of material inputs or services, were:

Paid for before the delivery?	<b>k1a</b> %
Paid for on delivery?	<b>k1b</b> %
Paid for after delivery?	<b>k1c</b> %
	<b>100%</b>

**INTERVIEWER: CHECK THAT TOTALS ARE 100%**

**k.2** In fiscal year **[insert last complete fiscal year]**, what percent of this establishment's **total annual sales** of its goods or services were:

Paid for before the delivery?	<b>k2a</b> %
Paid for on delivery?	<b>k2b</b> %
Paid for after delivery?	<b>k2c</b> %
	<b>100%</b>

**INTERVIEWER: CHECK THAT TOTALS ARE 100%**

**k.3** Over fiscal year **[insert last complete fiscal year]**, please estimate the proportion of this establishment's working capital that was financed from each of the following sources? **(SHOW CARD 17)**

	<b>Percent Sources of Working Capital</b>
Internal funds/Retained earnings	<b>k3a</b>
Borrowed from private commercial banks	<b>k3b</b>
Borrowed from state-owned banks and/or government agency	<b>k3c</b>
Borrowed from family/friends	<b>k3d</b>
Borrowed from non-bank financial institutions	<b>k3e</b>
Purchases on credit from suppliers and advances from customers	<b>k3f</b>
Borrowed from informal sources (e.g., moneylenders)	<b>k3g</b>
Other	<b>k3h</b>
	<b>100%</b>

**INTERVIEWER: CHECK THAT TOTALS ARE 100%**

**k.4** In fiscal year **[insert last complete fiscal year]**, did this establishment purchase fixed assets, such as machinery, vehicles, equipment, land or buildings?

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**GO TO QUESTION k.6**  
**GO TO QUESTION k.6**

**k4**

**k.5** Over fiscal year **[insert last complete fiscal year]**, please estimate the proportion of this establishment's purchase of fixed assets that was financed from each of the following sources?  
**(SHOW CARD 18)**

	<b>Percent Sources of Investment</b>
Internal funds/Retained earnings	<b>k5a</b>
Issued new equity shares	<b>k5i</b>
Issued new debt (including commercial paper and debentures)	<b>k5j</b>
Borrowed from private commercial banks	<b>k5b</b>
Borrowed from state-owned banks and/or government agency	<b>k5c</b>
Borrowed from family/friends	<b>k5d</b>
Borrowed from non-bank financial institutions	<b>k5e</b>
Purchases on credit from suppliers and advances from customers	<b>k5f</b>
Borrowed from informal sources (e.g., moneylenders)	<b>k5g</b>
Other	<b>k5h</b>
	<b>100%</b>

**INTERVIEWER: CHECK THAT TOTALS ARE 100%**

**k.6** Now let's talk about the establishment's current position. At this time, does this establishment have a checking and/or saving account?

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**k6**

**k.7** At this time, does this establishment have an overdraft facility?

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**k7**

**k.8** At this time, does this establishment have a line of credit or loan from a financial institution?

Yes	1
No	2
Don't know	-9

**GO TO QUESTION k.16**  
**GO TO QUESTION k.16**

**k8**

**k.9** Referring to this a line of credit or loan what type of financial institution granted this loan? (**SHOW CARD 19**)

	Institution
Private commercial banks	1
State-owned banks and/or government agency	2
Non-bank financial institutions which include microfinance institutions, credit cooperatives, credit unions, or finance companies	3
Other	4

**k9**

**k.10** Referring only to this most recent line of credit or loan, on what year was the most recent line of credit or loan approved?

Year most recent loan approved **k10**

**k.11** Referring only to this most recent line of credit or loan, what was the value at the time of approval?

Size of loan (LCU) **k11**

**INTERVIEWER: IF RESPONDENT REFUSES TO RESPOND, WRITE -8**

**k.12** Referring only to this most recent line of credit or loan, how much time (in months) was this establishment granted to pay off the loan or line of credit when it was received?

Months: **k12**

**IF TERM TO MATURITY IS UNDEFINED, CODE IS -5**

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

Yes	1
No	2
Don't know	-9

**GO TO QUESTION k.16**  
**GO TO QUESTION k.16**

**k13**

**k.14** Referring only to this most recent line of credit or loan, what type of collateral was required?  
**SHOW CARD 20**

Collateral	Yes	No
Land, buildings <b>k14a</b>	1	2
Machinery and equipment including movables <b>k14b</b>	1	2
Accounts receivable and inventories <b>k14c</b>	1	2
Personal assets of owner (house etc.) <b>k14d</b>	1	2
Collateral not included in categories above <b>k14e</b>	1	2

**k.15** Referring only to this most recent line of credit or loan, what was the approximate value of the collateral required as a percentage of the loan value or the value of the line of credit?

Percent:

**k15**

**k.16** Going back to the past, in fiscal year **[insert last complete fiscal year]**, did this establishment apply for loans or lines of credit?

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**GO TO QUESTION k.18**

**k16**

**k.17** If in fiscal year **[insert last complete fiscal year]**, this establishment did not apply for line of credit or loan, what was the main reason? (**SHOW CARD 21**)

No need for a loan - establishment has sufficient capital	1
Application procedures for loans or line of credit are complex	2
Interest rates are not favorable	3
Collateral requirements for loans or line of credit are unattainable	4
Size of loan and maturity are insufficient	5
Did not think it would be approved	6
Other	7

**GO TO QUESTION k.21**

**k17**

**k.18** In fiscal year **[insert last complete fiscal year]**, how many times did this establishment apply for new loans or new lines of credit?

Number of applications submitted

**k18**

**IF DON'T KNOW, GO TO QUESTION K.21**

**k.19** How many of those loan or line of credit applications were rejected?

Number of applications rejected

**k19**

**IF 0 OR DON'T KNOW, GO TO QUESTION k.21**

**k.20** In fiscal year **[insert last complete fiscal year]** what was the reason given for the last loan or line of credit rejection? **(SHOW CARD 22)**

Lender cited collateral or cosigners as unacceptable	1
Lender cited profitability as insufficient	2
Lender cited problems with credit history/report	3
Lender cited incompleteness of loan application	4
Lender cited concerns about level of debt already incurred	5
Lender cited objections not listed above	6
<b>Don't know</b>	<b>-9</b>

**k20**

**k.21** In fiscal year **[insert last complete fiscal year]**, did this establishment have its annual financial statement checked and certified by an external auditor? **k21**

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**k.30** Is **access to financing**, which includes availability and cost (interest rates, fees and collateral requirements), No Obstacle, a Minor Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment? **SHOW CARD 23**

**k30**

	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	<b>Do Not Know</b>	<b>Does Not Apply</b>
Access to financing (availability and cost)	0	1	2	3	4	<b>-9</b>	<b>-7</b>

**L. LABOR**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**

Now I would like to ask you a few questions about this establishment's employees. I'm going to ask you for levels of employment at different points in time.

**1.1** How many **permanent, full-time employees** did this establishment employ fiscal year **[insert last complete fiscal year]**?

**INTERVIEWER: Permanent employees are defined as all paid employees that are contracted for a term of one or more fiscal years and/or have a guaranteed renewal of their employment contract and that work 8 or more hours per day.**

	<b>Last Complete Fiscal Year</b>
Number permanent, full-time employees	<b>11</b>

**1.2** How many **permanent, full-time employees** did this establishment employ three fiscal years ago year **[insert complete fiscal year 3 ago]** ?

	<b>Three Fiscal Years Ago</b>
Number permanent, full-time employees	<b>12</b>

**INTERVIEWER: IF ESTABLISHMENT WAS NOT IN BUSINESS THREE YEARS AGO, WRITE -7. IF DON'T KNOW, WRITE -9**

**1.3** At the present time, how many **permanent, full-time employees** are **(READ EACH CATEGORY):**

	<b>Permanent, full-time employees</b>
a. Production workers	<b>13a</b>
b. Non-production workers (e.g., managers, administration, sales)	<b>13b</b>

**1.4** At the present time, how many **permanent, full-time employees** of production are **(READ EACH CATEGORY):**

	<b>Permanent, full-time employees</b>
a. Skilled production workers	<b>14a</b>
b. Unskilled production workers	<b>14b</b>

**1.5** At the present time, how many **permanent full-time production** workers of each category are female?

	Number female
# permanent full-time production workers female	<b>15a</b>
# permanent full-time non-production workers female	<b>15b</b>

**1.6** How many **full-time seasonal or temporary employees** did this establishment employ in fiscal year **[insert last complete fiscal year]**?

**INTERVIEWER: Temporary/seasonal are defined as all paid short-term (i.e. for less than a fiscal year) employees with no guarantee of renewal of contract employment contract and that work 8 or more hours per day.**

Number full-time seasonal (temporary) workers	<b>16</b>	<b>IF 0 GO TO 1.9</b>
---	-----------	-----------------------

**1.7** In fiscal year **[insert last complete fiscal year]**, what percentage of all **full-time seasonal or temporary employees** were female?

	Last Complete Fiscal Year
% female full-time temporary employees	<b>17</b>

**1.8** What was the average length of employment of all **full-time temporary employees** in fiscal year **[insert last complete fiscal year]**?

	Last Complete Fiscal Year
Average length of employment (months)	<b>18</b>

**INTERVIEWER: IF LESS THAN ONE MONTH, WRITE 1**

**1.9** What is the average educational attainment of a typical **production worker** employed in this establishment? **(SHOW CARD 24)**

0-3 years of education	1
4-6 years of education	2
7-12 years of education	3
13 years and above of education	4
<b>Don't know</b>	<b>-9</b>
	<b>19</b>

**THIS IS THE ONLY COUNTRY-SPECIFIC QUESTION. 19 IS A MATCHED VERSION OF THE ORIGINAL QUESTION ASKED IN EACH COUNTRY. FOR A LIST OF THE QUESTIONS USED IN EACH COUNTRY (19\_country name) SEE LIST AT THE END.**

**l.10** Over fiscal year **[insert last complete fiscal year]**, did this establishment run formal training programs for its **permanent, full-time employees**?

Yes	1
No	2
<b>Don't know</b>	<b>-9</b>

**GO TO QUESTION L.12**  
**GO TO QUESTION L.12**

**110**

**l.11** Referring to the training programs run over fiscal year **[insert last complete fiscal year]**, what percent of **permanent, full-time employees** of each category received formal training?

	<b>Percent Trained</b>
Production full-time permanent employees	<b>111a</b> %
Non-production full-time permanent employees (directors, administration employees, sales, etc.)	<b>111b</b> %

**INTERVIEWER: IF NO EMPLOYEES IN A CATEGORY WERE TRAINED, WRITE 0**

**l.12** At the present time, what percent of this establishment's workforce is unionized?

	<b>Percent Unionized</b>
Percent workforce unionized	<b>112</b> % of workforce

**l.13** Over fiscal year **[insert last complete fiscal year]**, as decisions about hiring or firing permanent workers were being considered, did labor regulations affect those decisions in a significant way?

Yes, hire	1
Yes, fire	2
Both	3
No	4
<b>Don't know</b>	<b>-9</b>

**GO TO QUESTION L.14b**  
**GO TO QUESTION L.14b**

**113**

**l.14** In fiscal year **[insert last complete fiscal year]**, would this establishment have hired or fired permanent workers had it not been for having to comply with labor regulations?

<b>Permanent Workers</b>	<b>How many?</b>
Hire	<b>114a</b>
Fire	<b>114b</b>

**L1.14a** **ONLY FOR THOSE WHO SAY AFFECT TO HIRING (COD 1 OR 3 IN L.13)**  
 Which of the following aspects of labor regulations constitute the biggest obstacle in hiring workers for this establishment? **ONLY ONE ANSWER – SHOW CARD 25** **L114a**

Retirement benefits	1
Cost of health insurance	2
Restrictions on hours worked	3
Restrictions on temporary workers	4
Severance pay	5
Others (SPECIFY) _____ <b>L114ax</b>	6

**L1.14b** Does this establishment have an explicit personnel policy on any of the following issues:

	Yes	No	Don't Know
Hiring of women and disadvantaged persons(handicapped, minorities) <b>L114b1</b>	1	2	-9
Balance work and family <b>L114b2</b>	1	2	-9

**I.30** Are **labor regulations** No Obstacle, a Minor Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment? **SHOW CARD 26**

	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	Do Not Know	Does Not Apply
Labor regulations <b>I30a</b>	0	1	2	3	4	-9	-7
Inadequately educated workforce <b>I30b</b>	0	1	2	3	4	-9	-7

**M. INVESTMENT CLIMATE CONSTRAINTS TO THE ESTABLISHMENT AND REFORMS**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**

The next set of questions is designed to get a general picture of your opinion about the investment climate that affects your operations.

**m.1** You have indicated that several obstacles affect the operation of this establishment. Here is a card with the obstacles I mentioned throughout the interview (**HAND RESPONDENT CARD 27 LISTING ALL FACTORS**). Please tell me the three that you think are currently the biggest problem, beginning with the worst of all three.

OBSTACLES
1-Access to finance (availability and cost)
2-Access to land
3-Business licensing and permits
4-Corruption
5-Crime, theft and disorder
6-Customs and trade regulations
7-Electricity
8-Functioning of the courts
9-Inadequately educated workforce
10-Labor regulations
11-Macroeconomic instability
12-Political instability
13-Practices of competitors in the informal sector
14-Tax administration
15-Tax rates
16-Transportation

**INTERVIEWER: WRITE THE CORRESPONDENT CODE**

Most serious obstacle	<b>m1a</b>
Second most serious obstacle	<b>m1b</b>
Third most serious obstacle	<b>m1c</b>

**INTERVIEWER: WRITE THE TOTATION OF CARDS**

**m1d**

Rotation	A	B	C
	1	2	3

**N. PRODUCTIVITY**

**READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:**

The purpose of the following questions is to allow us to estimate the productivity of establishments like this one. Estimates are made at the aggregate level so the information you provide below will be compiled with the information from other establishments. It is important that this information be as accurate as possible.

Please provide the following information from the financial statements of this establishment.

**n.1** In fiscal year **[insert last complete fiscal year]**, what percent of this establishment’s total annual sales came from the following activities:

a. Manufacturing	<b>n1a</b>	%
b. Services	<b>n1b</b>	%
c. Other	<b>n1c</b>	%
	<b>100%</b>	

**n.2** For fiscal year **[insert last complete fiscal year]**, please provide the following information about this establishment:

	Last Complete Fiscal Year	
Total annual cost of labor (including wages, salaries, bonuses, social payments)	<b>n2a</b>	LCUs
Total annual cost of raw materials and intermediate goods used in production	<b>n2e</b>	LCUs
Total annual costs of electricity	<b>n2b</b>	LCUs
Total annual costs of communications services	<b>n2c</b>	LCUs
Total annual costs of fuel	<b>n2f</b>	LCUs
Total annual costs of transport for goods (not including fuel)	<b>n2g</b>	LCUs
Total annual costs of water	<b>n2h</b>	LCUs
Total annual cost of rental of land/buildings, equipment, furniture	<b>n2d</b>	LCUs

**n.3** In fiscal year **[insert from last complete fiscal year three years back]**, three complete fiscal year’s ago, what was total annual sales for this establishment?

	Three Fiscal Years Ago
Total annual sales	<b>n3</b> LCUs

**INTERVIEWER: IF ESTABLISHMENT WAS NOT IN BUSINESS THREE YEARS AGO, WRITE -7**

**n.4** Approximately, in fiscal year **[insert last complete fiscal year]**, what was the average monthly compensation, including benefits when applicable, for each type of full-time worker?

	b. Production worker	c. Non-production worker (for ex. administrative)
Average monthly compensation	<b>n4a</b> LCUs	<b>n4b</b> LCUs

**n.5** In fiscal year **[insert last complete fiscal year]**, what was the total annual expenditure for purchases of:

	Last Complete Fiscal Year
Machinery, vehicles and equipment (new and/or used)	<b>n5a</b> LCUs
Land and buildings	<b>n5b</b> LCUs

**n.6** What was the net book value, the value of assets after depreciation, of the following at the end of fiscal year **[insert last complete fiscal year]**?

	Last Complete Fiscal Year
Machinery and equipment (including vehicles)	<b>n6a</b> LCUs
Land and buildings	<b>n6b</b> LCUs

**n.7** If this establishment had to hypothetically purchase **its own** land and buildings, and machinery and equipment in use now, as they are in their current condition, how much would it cost to purchase each of the following?

	Last Complete Fiscal Year
Machinery and equipment (including vehicles)	<b>Ln7a</b> LCUs
Land and buildings	<b>Ln7b</b> LCUs

**THE SURVEY ENDS HERE**  
**THANK YOU VERY MUCH FOR YOUR COOPERATION.**

**a.15 Time face-to-face interview ends:**

Date (mm/dd)	Hour	Minutes	AM/PM

**a15**

**INTERVIEWERS PLEASE ANSWER AT END OF THE INTERVIEW:**

**a.16** It is my perception that the questions regarding opinions and perceptions: **a16**

Truthful (reflect real opinions)	1
Somewhat truthful	2
Not truthful	3

**a.17** The questions regarding figures (productivity and employment numbers): **a17**

Are taken directly from establishment records	1
Are estimates computed with some precision	2
Are arbitrary and unreliable numbers	3

**INTERVIEWER COMMENTS: a17x**

(Problems occurred/extraordinary circumstances which could influence results)

**SUPERVISORS PLEASE ANSWER:**

**a.18** This questionnaire was completed in: **a18**

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

**a.19** If option 1 or 2 in a.12 estimate duration of the whole interview

<b>Hour</b>	<b>Minutes</b>

**a19**

## LIST OF **I9\_country name** QUESTIONS USED IN EACH COUNTRY

### ARGENTINA:

Sin estudios	1 <input type="checkbox"/>
Primaria incompleta	2 <input type="checkbox"/>
Primaria completa	3 <input type="checkbox"/>
Secundaria incompleta	4 <input type="checkbox"/>
Secundaria completa	5 <input type="checkbox"/>
Terciario no universitario incompleto	6 <input type="checkbox"/>
Universitario incompleto	7 <input type="checkbox"/>
Terciario no universitario completo	8 <input type="checkbox"/>
Universitario completo	9 <input type="checkbox"/>
Postgrado	10 <input type="checkbox"/>
<b>No sabe</b>	<b>-9</b> <input type="checkbox"/>
<b>I9_argentina</b>	

### BOLIVIA:

Sin educación	1
Primaria incompleta	2
Primaria completa	3
Secundaria incompleta	4
Secundaria completa	5
Técnico incompleto	6
Universitario incompleto	7
Técnico completo	8
Universitario completo	9
Postgrado	10
<b>No sabe</b>	<b>-9</b>
<b>I9_bolivia</b>	

### CHILE

NO HA ASISTIDO/NINGUNA EDUCACIÓN ESCOLAR	1
EDUCACIÓN BÁSICA INCOMPLETA	2
EDUCACIÓN BÁSICA COMPLETA	3
EDUCACIÓN MEDIA INCOMPLETA	4
EDUCACIÓN MEDIA COMPLETA	5
TÉCNICA INCOMPLETA	6
TÉCNICA COMPLETA	7
UNIVERSIDAD INCOMPLETA	8
UNIVERSIDAD COMPLETA	9
ESTUDIOS DE POST GRADO	10
NO REPORTA	11
<b>No sabe</b>	<b>-9</b>
<b>I9_chile</b>	

### COLOMBIA

Primaria incompleta	1
Primaria completa	2
Bachillerato incompleto	3
Bachillerato completo	4
Tecnológico incompleto	5
Tecnológico completo	6
Universidad incompleta	8
Universidad completa	9
Especialización - Postgrado	10
Doctorado	11
Sin estudios - no ha estudiado	12
Otros	13

No sabe	-9
<b>19_colombia</b>	

ECUADOR:

Primaria incompleta	1
Primaria completa	2
Secundaria incompleta	3
Secundaria completa	4
Superior incompleta	5
Superior completa	6
Post-Grado	7
No sabe	-9
<b>19_ecuador</b>	

GUATEMALA, EL SALVADOR, HONDURAS AND NICARAGUA

Primaria incompleta	1
Primaria completa	2
Secundaria incompleta	3
Secundaria completa	4
Universitaria incompleta	5
Universitaria completa	6
Ninguna	7
Otra	8
No sabe	-9
<b>19_centroamerica</b>	

MEXICO

No estudió	1
Primaria incompleta	2
Primaria completa	3
Secundaria incompleta	4
Secundaria completa	5
Carrera comercial	6
Carreta técnica	7
Preparatoria incompleta	8
Preparatoria completa	9
Educación superior completa	10
Educación superior incompleta	11
Maestrías /Diplomados	12
Doctorados	13
No sabe	-9
<b>19_mexico</b>	

PANAMA

Analfabeto	1
Primaria incompleta	2
Primaria completa	3
Secundaria incompleta	4
Secundaria completa	5
Diversificado incompleto	6
Diversificado completo	7
Universidad incompleta	8
Universidad completa	9
Maestría – Doctorado	10
No sabe	-9
<b>19_panama</b>	

PARAGUAY

Analfabeto: Sin estudios	1
Primaria incompleta	2
Primaria completa	3
Secundaria – Escuela técnica incompleta	4
Secundaria – Escuela técnica completa	5
Superior incompleta: Universitario incompleto	6
Superior completa: Universitario completo	7
<b>No sabe</b>	<b>-9</b>
<b>19_paraguay</b>	

PERU

Sin educación formal	1
Escuela primaria incompleta	2
Escuela primaria completa	3
Escuela secundaria incompleta	4
Escuela secundaria completa	5
Instituto técnico incompleta	6
Instituto técnico completa	7
Universitaria incompleta	8
Universitaria completa	9
Postgrado	10
Otros Especificar	11
<b>No sabe</b>	<b>-9</b>
<b>19_peru</b>	

URUGUAY

Analfabeto: Sin estudios	1
Primaria incompleta	2
Primaria completa	3
Secundaria – Escuela técnica incompleta	4
Secundaria – Escuela técnica completa	5
Superior incompleta: Universitario incompleto	6
Superior completa: Universitario completo	7
<b>No sabe</b>	<b>-9</b>
<b>19_uruguay</b>	

VENEZUELA

Primaria Incompleta	1
Primaria Completa	2
Secundaria Incompleta	3
Secundaria Completa	4
INCE	5
Técnico	6
Universitario	7
<b>No sabe</b>	<b>-9</b>
<b>19_venezuela</b>	

wb174438  
R:\FPDEA\Jorge\LAC-info\Questionnaires English\Manufacturing\_Sector\_Module\_09\_11\_06.doc  
11/16/2006 7:27:00 AM