

SERIAL NUMBER

THE WORLD BANK

Indicator Survey (2010)
Non-Manufacturing Version

GPS Coordinates **[TO BE COMPLETED BY GOOGLE MAPS]**

Degrees North (Latitude)

Degrees East (Longitude)

A. CONTROL INFORMATION [TO BE COMPLETED BEFORE INTERVIEW]

A.0 Questionnaire

Module

Indicator, non-manufacturing

5

A.1 Country

A.1a Language

ENG

A.2

Sampling Region

Region A

1

Region B

2

A.3a

**Screener Region
(coded ex post)**

Region A

1

Region B

2

A.3x Name of city/town/village

A.3 Size of locality

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

A.4 Industry

	Sampling sector	Screener sector
Manufacturing	1	1
Service	2	2

A.5 Sector match between screener information and sample frame

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

A.6 Size

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

A.7 Establishment is part of a larger firm

Yes	1
No, a firm on its own	2

A.7a

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

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

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

Yes	1
No	2
DOES NOT APPLY	-7

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

Yes	1
No	2
DOES NOT APPLY	-7

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

Yes	1
No	2
DOES NOT APPLY	-7

A.11a

Number of establishments, including the headquarters, included in the financial statements kept in the headquarters	
DOES NOT APPLY	-7

A.12 Interviewer code

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A.13 Supervisor code

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A.14 TIME FACE-TO-FACE INTERVIEW BEGINS:

DAY (DD)	MONTH(MM)	YEAR(YYYY)	HOURL (00 TO 23)	MINUTES (00 TO 59)

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING.

The goal of this survey is to gather information and opinions about the business environment inXXXX. The information gathered here will help the World Bank and the Inter-American Development Bank to develop new policies and programs that enhance employment and economic growth.

The information obtained here will be held in the strictest confidentiality. Neither your name nor the name of your business will be used in any document based on this survey.

B. GENERAL INFORMATION

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

The first few questions apply to the firm which your establishment is part of.

B.1 What is this firm's current legal status? **SHOW CARD 1**

Shareholding company with shares trade in the stock market	1
Shareholding company with non-traded shares or shares traded privately	2
Sole proprietorship	3
Partnership	4
Limited partnership	5
OTHER (SPONTANEOUS - SPECIFY) _____	6
DON'T KNOW (SPONTANEOUS)	-9

SKIP TO B.2

B.3 What percentage of this firm does the largest owner or owners own?

	Percent
Percentage held by largest owner or owners	%
DON'T KNOW (SPONTANEOUS)	-9

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

	Percent	DON'T KNOW (SPONTANEOUS)
Private domestic individuals, companies or organizations	%	-9
Private foreign individuals, companies or organizations	%	-9
Government/State	%	-9
Other	%	-9
	100%	

IF 100% END INTERVIEW

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

B.4 Amongst the owners of the firm, are there any females?

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

JRB1 Are you the founder or one of the founders of this establishment?

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

**GO TO QUESTION B5
GO TO QUESTION B5**

JRB2 Prior to starting this establishment's business, what was your previous occupation?
SHOW CARD 3

Employed in an establishment owned by your family in a managerial position	1
Employed in an establishment owned by your family in a non-managerial position	2
Employed in an establishment owned by someone else outside your family in a managerial position	3
Employed in an establishment owned by someone else outside your family in a non-managerial	4
Self-employed	5
Unemployed	6
DON'T KNOW (SPONTANEOUS)	-9

**GO TO QUESTION JRB5
GO TO QUESTION JRB5**

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JRB3	When you left the prior establishment, how many full-time employees did the establishment have?
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	Number	DON'T KNOW (SPONTANEOUS)
Full-time employees in the previous occupation establishment		-9

JRB4	Was your prior establishment formally registered?
-------------	---

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

JRB5	Did you start this establishment's business due to lack of better employment opportunities?
-------------	---

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

JRB6	Choosing from the following list, which best describes the idea that motivated this establishment's business? SHOW CARD 4
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You replicated a product or idea encountered in your previous occupations	1
You modified a product or idea encountered in your previous occupations	2
You replicated a product or idea developed by other firms outside your previous occupations	3
You modified a product or idea developed by other firms outside your previous occupations	4
You developed a new product or idea	5
DON'T KNOW (SPONTANEOUS)	-9

READ ONLY IF A7=1 (yes)
I want to proceed by asking you about this establishment only.

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

	Year
Year establishment began operations	
DON'T KNOW (SPONTANEOUS)	-9

INTERVIEWER: PROVIDE FOUR DIGITS FOR YEAR

B.6 How many full-time employees did this establishment employ when it started operations? Please include all employees and managers **(INTERVIEWER: INCLUDE RESPONDENT WHEN APPLICABLE)**

	Number
Full-time employees at start-up	
DON'T KNOW (SPONTANEOUS)	-9

JRB7 How many full-time employees at start-up were family members of the founder?

	Number
Family members employees at start-up	
DON'T KNOW (SPONTANEOUS)	-9

B.6a Was this establishment formally registered when it began operations?

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

B.6b In what year was this establishment formally registered?

	Year
Year establishment formally registered	
DON'T KNOW (SPONTANEOUS)	-9
NEVER REGISTERED (SPONTANEOUS)	-7

INTERVIEWER: PROVIDE FOUR DIGITS FOR YEAR.

JR.B8	By looking at the card, please indicate which of the following is the most important factor that motivated your decision to register SHOW CARD 5
--------------	--

Less gifts or informal payments to officials	1
More access to government programs or services	2
Better access to financing	3
Better access to skilled workers	4
Customers or suppliers only deal with registered firms	5
Comply with the law	6
Other reasons not included above	7
DON'T KNOW (SPONTANEOUS)	-9

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

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

B.7a	Is the Top Manager female?
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Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

B.8	Does this establishment have an internationally-recognized quality certification? (INTERVIEWER: IF THERE IS NEED FOR CLARIFICATION, SOME EXAMPLES ARE: ISO 9000, 9002, 14000, HAPCC)
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Yes	1
No	2
STILL IN PROCESS	-6
DON'T KNOW (SPONTANEOUS)	-9

C. INFRASTRUCTURE AND SERVICES

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING.

Now, we turn to the establishment's operations in fiscal year **2009**.

C.FY	What was your fiscal year-end in 2009?	DAY (DD)	MONTH(MM)

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

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

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

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

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

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

C.6	Over fiscal year 2009 , did this establishment experience power outages?
------------	---

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

C.7	In a typical month, over fiscal year 2009 , how many power outages did this establishment experience?
------------	--

	Number
Average number of power outages per month	
DON'T KNOW (SPONTANEOUS)	-9

IF 0, GO TO QUESTION C.10

C.8	How long did these power outages last on average?
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	Hours
Average duration of power outages	
LESS THAN ONE HOUR	1
DON'T KNOW (SPONTANEOUS)	-9

C.9	Please estimate the losses that resulted from power outages either as a percentage of total annual sales or as total annual losses.
------------	---

	Percent
Loss as percentage of total annual sales due to power outages	%
NONE	0
DON'T KNOW (SPONTANEOUS)	-9

PROVIDE EITHER ONE OR THE OTHER, NOT BOTH

	SRDs
Annual losses due to power outages	
NONE	0
DON'T KNOW (SPONTANEOUS)	-9

C.10	Over the course of fiscal year 2009 , did this establishment own or share a generator?
-------------	---

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

GO TO QUESTION C.12
GO TO QUESTION C.12

C.11	In fiscal year 2009 , what percentage of this establishment's electricity came from a generator or generators that the establishment owned or shared?
-------------	--

	Percent
Percentage electricity from generators	%
DON'T KNOW (SPONTANEOUS)	-9

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

Yes	1
No	2
DON'T KNOW	-9

GO TO QUESTION C.19

GO TO QUESTION C.19

C.13 In reference to that application for a water connection, approximately how many days did it take to obtain it from the day of the application to the day the service was received?

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

C.14 In reference to that application for a water connection, was an informal gift or payment expected or requested?

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

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 (SPONTANEOUS)	-9

GO TO QUESTION C.22a

GO TO QUESTION C.22a

C.20 In reference to that application for a telephone connection, approximately how many days did it take to obtain it from the day of the application to the day the service was received?

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

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C.21	In reference to that application for a telephone connection, was an informal gift or payment expected or requested?
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Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9
REFUSED (SPONTANEOUS)	-8

C.22a	At the present time, does this establishment use e-mail to communicate with clients or suppliers?
--------------	---

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

C.22b	At the present time, does this establishment use its own website?
--------------	---

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

C.28	Does this establishment currently use cell phones for the operations of the establishment?
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Yes	1
No	2
DON'T KNOW (SPONTANEOUS)	-9

C.30	Is electricity No Obstacle, a Minor Obstacle, a Moderate Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment? SHOW CARD 6 Is Telecommunications No Obstacle, a Minor Obstacle, a Moderate Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment? SHOW CARD 6
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	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	(SPONTANEOUS) DON'T KNOW	DOES NOT APPLY
Electricity	0	1	2	3	4	-9	-7
Telecommunications	0	1	2	3	4	-9	-7

D. SALES AND SUPPLIES

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

The next topic to be covered is how and where this establishment makes its sales.

D.1a1 In fiscal year **2009**, what was this establishment's main product, that is, the product that represented the largest proportion of annual sales?

Description

D.1a2 PLEASE CHOOSE THE 4-DIGIT CODE THAT BEST APPLIES TO THE MAIN PRODUCT OF THIS ESTABLISHMENT.

	CODE
CODE OF MAIN PRODUCT	d1a2
DON'T KNOW (SPONTANEOUS)	-9

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

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

D.2 In fiscal year **2009**, what were this establishment's total annual sales?

INTERVIEWER: PLEASE BE SURE THAT THE ANSWER IS FOR TOTAL SALES AND NOT JUST THOSE OF THE MAIN PRODUCT

	SRDs
Fiscal year 2009's total sales	
DON'T KNOW (SPONTANEOUS)	-9
PLEASE ALSO WRITE OUT THE NUMBER (I.E. 50,000 AS FIFTY THOUSAND)	

JRD2 In fiscal year **2009**, what percentage of this establishment's total annual sales were paid in cash?

	%
Percentage of sales paid in cash	
DON'T KNOW (SPONTANEOUS)	-9

D.3	In fiscal year 2009 , what percentage of this establishment's sales were: (INTERVIEWER: THESE MUST BE ASKED IN THE ORDER THEY APPEAR ON THE TABLE) SHOW CARD 7
------------	--

	Percent	DON'T KNOW (SPONTANEOUS)	
National sales	%	-9	<i>IF 100, GO TO QUESTION D.30</i>
Indirect exports (sold domestically to third party that exports products)	%	-9	<i>IF 100, GO TO QUESTION D.30</i>
Direct exports	%	-9	<i>IF 0, GO TO QUESTION D.30</i>
	100%		

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

D.4	In fiscal year 2009 , when this establishment exported goods directly, how many days did it take on average from the time this establishment's goods arrived at their main point of exit (e.g., port, airport) until the time these goods cleared customs?
------------	---

	Days
Average number of days to clear customs	
LESS THAN ONE DAY	1
DON'T KNOW (SPONTANEOUS)	-9
DOES NOT APPLY (SPONTANEOUS)	-7

D.6	In fiscal year 2009 , what percentage of the value of the products exported directly was lost while in transit because of theft?
------------	---

	Percent
Losses due to theft as percentage of value products	%
NO LOSSES	0
DON'T KNOW (SPONTANEOUS)	-9
DOES NOT APPLY (SPONTANEOUS)	-7

D.7	In fiscal year 2009 , what percentage of the value of the products exported directly was lost while in transit because of breakage or spoilage?
------------	--

	Percent
Losses due to breakage or spoilage as percentage of value of products	%
NO LOSSES	0
DON'T KNOW (SPONTANEOUS)	-9
DOES NOT APPLY (SPONTANEOUS)	-7

D.30	<p>Is transport No Obstacle, a Minor Obstacle, a Moderate Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment?</p> <p>SHOW CARD 8</p> <p>Are customs and trade regulations No Obstacle, a Minor Obstacle, a Moderate obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment?</p> <p>SHOW CARD 8</p>
-------------	--

						(SPONTANEOUS)	
	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	DON'T KNOW	DOES NOT APPLY
Transport	0	1	2	3	4	-9	-7
Customs and trade regulations	0	1	2	3	4	-9	-7

E. INNOVATION AND DEGREE OF COMPETITION

E.11 Does this establishment compete against unregistered or informal firms?

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

JRE.12 Does this establishment compete against registered firms selling goods or services without records or receipt?

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

JRE.13 Does this establishment compete against registered firms hiring workers without formal contracts?

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

E.30 Are **practices of competitors in the informal sector** No Obstacle, a Minor Obstacle, a Moderate Obstacle, Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment?
SHOW CARD 8

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

G. LAND AND PERMITS

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

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

GO TO QUESTION G.30

GO TO QUESTION G.30

G.3	In reference to that application for a construction-related permit, approximately how many days did it take to obtain it from the day of the application to the day the permit was granted?
------------	---

	Days
Wait for a construction-related permit	
LESS THAN ONE DAY	1
STILL IN PROCESS	-6
APPLICATION DENIED	-5
DON'T KNOW (SPONTANEOUS)	-9

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

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

G.30	Is access to land No Obstacle, a Minor Obstacle, a Moderate Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment? SHOW CARD 8
-------------	---

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

I. CRIME

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

We now turn to another topic.

I.1 In fiscal year **2009**, did this establishment pay for security, for example equipment, personnel, or professional security services?

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

GO TO QUESTION I.3

GO TO QUESTION I.3

I.2 In fiscal year **2009**, what percentage of this establishment's total annual sales was paid for security, or what was the total annual cost of security?

	Percent
Percentage of total annual sales for security	%
DON'T KNOW (SPONTANEOUS)	-9

PROVIDE EITHER ONE OR THE OTHER, NOT BOTH

	SRDs
Total annual cost of security	
DON'T KNOW (SPONTANEOUS)	-9

I.3 In fiscal year **2009**, did this establishment experience losses as a result of theft, robbery, vandalism or arson?

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

GO TO QUESTION I.30

GO TO QUESTION I.30

I.4	In fiscal year 2009 , what were the estimated losses as a result of theft, robbery, vandalism or arson that occurred on this establishment's premises either as a percentage of total annual sales or as total annual losses?
------------	--

	Percent
Losses as percentage of total annual sales	%
DON'T KNOW (SPONTANEOUS)	-9

PROVIDE EITHER ONE OR THE OTHER, NOT BOTH

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

I.30	Are crime, theft and disorder No Obstacle, a Minor Obstacle, a Moderate Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment? SHOW CARD 8
-------------	---

						(SPONTANEOUS)	
	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	DON'T KNOW	DOES NOT APPLY
Crime, theft and disorder	0	1	2	3	4	-9	-7

K. FINANCE

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

We now turn to another topic.

K.1 In fiscal year **2009**, what percentage, as a proportion of the value of total annual purchases of material inputs or services, were: paid for after delivery?

	Percent	DON'T KNOW (SPONTANEOUS)
Paid for after delivery?	%	-9

K.2 In fiscal year **2009**, what percentage of this establishment's total annual sales of its goods or services were: paid for after delivery?

	Percent	DON'T KNOW (SPONTANEOUS)
Paid for after delivery?	%	-9

K.3 Over fiscal year **2009**, please estimate the proportion of this establishment's working capital that was financed from each of the following sources?

INTERVIEWER: SHOW CARD 9

	Percent	DON'T KNOW (SPONTANEOUS)
Internal funds/Retained earnings	%	-9
Borrowed from banks private and state-owned	%	-9
Borrowed from non-bank financial institutions which include microfinance institutions, credit cooperatives, credit unions, or finance companies	%	-9
Purchases on credit from suppliers and advances from customers	%	-9
Other moneylenders, friends, relatives, etc.	%	-9
	100%	

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

K.4 In fiscal year **2009**, did this establishment purchase any fixed assets, such as machinery, vehicles, equipment, land or buildings?

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

GO TO QUESTION K.6
GO TO QUESTION K.6

K.5	Over fiscal year 2009 , please estimate the proportion of this establishment's total purchase of fixed assets that was financed from each of the following sources: SHOW CARD 10
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	Percent	DON'T KNOW (SPONTANEOUS)
Internal funds or retained earnings	%	-9
Owners' contribution or issued new equity shares	%	-9
Borrowed from banks (private and state-owned)	%	-9
Borrowed from non-bank financial institutions	%	-9
Purchases on credit from suppliers and advances from customers	%	-9
Other (moneylenders, friends, relatives, bonds, etc)	%	-9
	100%	

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

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

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

K.7	At this time, does this establishment have an overdraft facility?
------------	---

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

K.8	At this time, does this establishment have a line of credit or a loan from a financial institution?
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Yes	1	GO TO QUESTION K.16 GO TO QUESTION K.16
No	2	
DON'T KNOW (SPONTANEOUS)	-9	

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K.9	Referring to the most recent line of credit or loan, what type of financial institution granted this loan? SHOW CARD 11
------------	--

Private commercial banks	1
State-owned banks or government agency	2
Non-bank financial institutions	3
Other	4
DON'T KNOW (SPONTANEOUS)	-9

K.10	Referring only to this most recent line of credit or loan, in what year was the most recent line of credit or loan approved?
-------------	--

	Year
Year most recent loan/line of credit approved	
DON'T KNOW (SPONTANEOUS)	-9

INTERVIEWER: PROVIDE FOUR DIGITS FOR YEAR

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

	SRDs
Size of most recent loan/line of credit approved	
REFUSED (SPONTANEOUS)	-8
DON'T KNOW (SPONTANEOUS)	-9

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

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

GO TO QUESTION K.16

GO TO QUESTION K.16

K.14	Referring only to this most recent loan or line of credit, what type of collateral was required? INTERVIEWER: READ OUT
-------------	--

Collateral	Yes	No	DON'T KNOW (SPONTANEOUS)
Land, buildings under ownership of the establishment	1	2	-9
Machinery and equipment including movables	1	2	-9
Accounts receivable and inventories	1	2	-9
Personal assets of owner (house, etc.)	1	2	-9
Other forms of collateral not included in the categories above	1	2	-9

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

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

K.16	Referring again to the last fiscal year 2009 , did this establishment apply for any loans or lines of credit?
-------------	--

Yes	1	GO TO QUESTION K.21
No	2	
DON'T KNOW (SPONTANEOUS)	-9	GO TO QUESTION K.21

K.17	What was the main reason why this establishment did not apply for any line of credit or loan? SHOW CARD 12
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No need for a loan - establishment has sufficient capital	1
Application procedures for loans or lines of credit are complex	2
Interest rates are not favorable	3
Collateral requirements are too high	4
Size of loan and maturity are insufficient	5
Did not think it would be approved	6
Other	7
DON'T KNOW (SPONTANEOUS)	-9

K.21	In fiscal year 2009 , did this establishment have its annual financial statements checked and certified by an external auditor?
-------------	--

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

K.30	Is access to finance , which includes availability and cost, interest rates, fees and collateral requirements, No Obstacle, a Minor Obstacle, a Moderate Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment? SHOW CARD 13
-------------	--

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

P. BUSINESS DEVELOPMENT SERVICES

LAC.P1	Over the last three years, did this establishment use any services or programs to improve quality control or training to obtain quality certification?
---------------	--

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

*GO TO QUESTION LAC.P3
GO TO QUESTION LAC.P3*

LAC.P2	How were these services and programs financed? READ OPTIONS
---------------	--

Entirely financed by this establishment's internal resources or other private firm resources	1
Partially financed by public sector support resources	2
Entirely financed by public sector support resources	3
DON'T KNOW (SPONTANEOUS)	-9

LAC.P3	In the next three years, does this establishment envisage using any services or programs to improve quality control or training to obtain quality certification?
---------------	--

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

LAC.P4	Over the last three years, did this establishment use any services or programs to make business alliances with other suppliers or clients?
---------------	--

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

*GO TO QUESTION LAC.P6
GO TO QUESTION LAC.P6*

LAC.P5	How were these services and programs financed? READ OPTIONS
---------------	--

Entirely financed by this establishment's internal resources or other private firm resources	1
Partially financed by public sector support resources	2
Entirely financed by public sector support resources	3
DON'T KNOW (SPONTANEOUS)	-9

LAC.P6	In the next three years, does this establishment envisage using any services or programs to make business alliances with other suppliers or clients?
---------------	--

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

LAC.P7	Over the last three years, did this establishment use any services or programs to support innovation?
---------------	---

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

GO TO QUESTION LAC.P9
GO TO QUESTION LAC.P9

LAC.P8	How were these services and programs financed? READ OPTIONS
---------------	--

Entirely financed by this establishment's internal resources or other private firm resources	1
Partially financed by public sector support resources	2
Entirely financed by public sector support resources	3
DON'T KNOW (SPONTANEOUS)	-9

LAC.P9	In the next three years, does this establishment envisage using any services or programs to support innovation?
---------------	---

Yes	1
No	2
Don't know (spontaneous)	-9

LAC.P10	Over the last three years, did this establishment use any services or programs to promote exports?
----------------	--

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

GO TO QUESTION LAC.P12
GO TO QUESTION LAC.P12

LAC.P11	How were these services and programs financed? READ OPTIONS
----------------	--

Entirely financed by this establishment's internal resources or other private firm resources	1
Partially financed by public sector support resources	2
Entirely financed by public sector support resources	3
DON'T KNOW (SPONTANEOUS)	-9

LAC.P12	In the next three years, does this establishment envisage using any services or programs to promote exports?
----------------	--

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

LAC.P13	Over the last three years, did this establishment use any programs, technical assistance or training on information technology, management, accounting or other functions as marketing, logistics etc
----------------	---

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

*GO TO QUESTION LAC.P15
GO TO QUESTION LAC.P15*

LAC.P14	How were these programs financed? READ OPTIONS
----------------	---

Entirely financed by this establishment's internal resources or other private firm resources	1
Partially financed by public sector support resources	2
Entirely financed by public sector support resources	3
DON'T KNOW (SPONTANEOUS)	-9

LAC.P15	In the next three years, does this establishment envisage using any programs, technical assistance or training on information technology, management, accounting or other functions as marketing, logistics etc.?
----------------	---

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

SERIAL NUMBER

INTERVIEWER: ASK QUESTION LAC.P16 ONLY IF THE ESTABLISHMENT USES ANY OF THE SERVICES OR PROGRAMS LISTED ABOVE (AT LEAST ONE ANSWER “YES” TO THE FOLLOWING FIVE QUESTIONS):

**LAC.P1
LAC.P4
LAC.P7
LAC.P10
LAC.P13**

IF NOT (ANSWER IS “NO” TO QUESTIONS LAC.P1 , - LAC.P4 , - LAC.P7 , - LAC.P10 , - LAC.P13),GO TO THE NEXT SECTION.

LAC.P16	Have any of the programs and services used in the last three years by this establishment had any of the following impacts? READ OPTIONS
----------------	--

	Yes	No	DON'T KNOW (SPONTANEOUS)
Increased number of goods or services offered by this establishment	1	2	-9
Opened new foreign markets	1	2	-9
Increased sales in domestic market	1	2	-9
Improved quality of goods or services	1	2	-9
Reduced unit production costs	1	2	-9
Reduced energy consumption (electricity, gas, etc)	1	2	-9
Obtained quality certification or export certification	1	2	-9

J. BUSINESS-GOVERNMENT RELATIONS

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

The following questions assess how establishments, such as this one, deal with government officials and their agencies.

J.1 I am going to read some statements that describe the courts system and how it could affect business. For each statement, please tell me if you Strongly disagree, Tend to disagree, Tend to agree, or Strongly agree. **SHOW CARD 14**

	Strongly disagree	Tend to disagree	Tend to agree	Strongly agree	DON'T KNOW (SPONTANEOUS)
"The court system is fair, impartial and uncorrupted."	1	2	3	4	-9

J.2 In a typical week over the last year, what percentage of total senior management's time was spent on dealing with requirements imposed by government regulations?

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

	Percent
Senior management's time spent on dealing with regulations	%
NO TIME WAS SPENT	0
DON'T KNOW (SPONTANEOUS)	-9

J.3 Over the last year, was this establishment visited or inspected by tax officials?

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

GO TO QUESTION J.6a
GO TO QUESTION J.6a

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

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

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

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

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

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

GO TO QUESTION J.7
GO TO QUESTION J.7

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

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

J.7 It is said that establishments are sometimes required to make gifts or informal payments to public officials to "get things done" with regard to customs, taxes, licenses, regulations, services etc. On average, what percentage of total annual sales, or estimated total annual value, do establishments like this one pay in informal payments or gifts to public officials for this purpose?

	Percent
Percentage of total annual sales paid as informal payment	%
NO PAYMENTS/GIFTS ARE PAID	0
DON'T KNOW (SPONTANEOUS)	-9
REFUSAL (SPONTANEOUS)	-8

PROVIDE EITHER ONE OR THE OTHER, NOT BOTH

	SRDs
Total annual informal payment	
NO PAYMENTS/GIFTS ARE PAID	0
DON'T KNOW (SPONTANEOUS)	-9
REFUSAL (SPONTANEOUS)	-8

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

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

GO TO QUESTION J.13

GO TO QUESTION J.13

J.11 Approximately how many days did it take to obtain this import license from the day of the application to the day it was granted?

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

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

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

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

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

GO TO QUESTION J.30

GO TO QUESTION J.30

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

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

SERIAL NUMBER

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

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

J.30	As I list some factors that can affect the current operations of a business, please look at this card and tell me if you think that each factor is No Obstacle, a Minor Obstacle, a Moderate Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment. SHOW CARD 15
-------------	--

ROTATE OPTIONS						(SPONTANEOUS)	
	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	DON'T KNOW	DOES NOT APPLY
Tax rates	0	1	2	3	4	-9	-7
Tax administration	0	1	2	3	4	-9	-7
Business licensing and permits	0	1	2	3	4	-9	-7
Political instability	0	1	2	3	4	-9	-7
Corruption	0	1	2	3	4	-9	-7
Courts	0	1	2	3	4	-9	-7

--

L. LABOR

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

Now I would like to ask you a few questions about this establishment's labor force.

- L.1** At the end of fiscal year **2009**, how many permanent, full-time individuals worked in this establishment? Please include all employees and managers. **INTERVIEWER: INCLUDE INTERVIEWEE IF APPLICABLE.**
- (Permanent, full-time 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 a complete shift or more per day)

	Number
Permanent, full-time workers end of fiscal year 2009	
DON'T KNOW (SPONTANEOUS)	-9

- L.2** Three fiscal years ago, at the end of fiscal year **2007**, how many permanent, full-time employees did this establishment employ? Please include all employees and managers (**INTERVIEWER: INCLUDE INTERVIEWEE IF APPLICABLE**).

	Number
Permanent, full-time employees fiscal year 2007	
IF ESTABLISHMENT WAS NOT IN BUSINESS THREE YEARS AGO	-7
DON'T KNOW (SPONTANEOUS)	-9

- L.5** At the end of fiscal year **2009**, how many permanent full-time employees of this establishment were female?

	Number	DON'T KNOW (SPONTANEOUS)
Female permanent full-time employees		-9

- L.6** How many full-time temporary employees did this establishment employ in fiscal year **2009**?
- (INTERVIEWER: Full-time, temporary workers are all paid short-term (i.e. for less than a fiscal year) employees with no guarantee of renewal of contract employment and work a complete shift or more per day)

	Number
Full-time seasonal/temporary workers employed fiscal year 2009	
DON'T KNOW (SPONTANEOUS)	-9

IF 0, GO TO QUESTION LAC9C

L.8	What was the average length of employment of all full-time temporary employees in fiscal year 2009 ?
------------	---

	Months
Average length full-time seasonal/temporary employment fiscal year 2009	
LESS THAN ONE MONTH	1
DON'T KNOW (SPONTANEOUS)	-9

LAC.L9C	What is the percentage of full time permanent workers who has at least a bachelor degree at the end of fiscal year 2009 ?
----------------	--

	Percent
Labor force with a bachelor degree or more	
NO ONE HAVE BACHELOR DEGREE OR MORE	0
DON'T KNOW (SPONTANEOUS)	-9

LACL.10a	Does this establishment currently have any unfilled vacancies?
-----------------	--

Yes	1	GO TO QUESTION LACL.10d GO TO QUESTION LACL.10d
No	2	
DON'T KNOW (SPONTANEOUS)	-9	

LACL.10b	How many unfilled vacancies does this establishment currently have?
-----------------	---

	Number	DON'T KNOW (SPONTANEOUS)
Establishment current unfilled vacancies		-9

LACL.10c	Have any of these unfilled vacancies being vacant for more than four months?
-----------------	--

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

LACL.10d Please estimate which of the two is the most difficult skill to find when filling vacancies?
READ OPTIONS

Social skills such as communication skills, customer handling skills, or teamwork skills	1
Technical skills such as foreign language skills, problem solving skills, administrative skills, operational skills	2
DON'T KNOW (SPONTANEOUS)	-9

LACL.10e Throughout the next 12 months, how many unfilled vacancies does this establishment expect to have?

	Number	DON'T KNOW (SPONTANEOUS)
Unfilled vacancies within the next 12 months		-9

L.10 Over fiscal year **2009**, did this establishment have formal training programs for its permanent, full-time employees?

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

GO TO QUESTION LAC.L18
GO TO QUESTION LAC.L19

LAC.L12 Referring to the training programs run over fiscal year **2009**, did this establishment offer any **external training** partially or fully funded by the government?

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

GO TO QUESTION LAC.L14
GO TO QUESTION LAC.L14

LAC.L13 Referring to the external training programs partially or fully funded by the government, can you please estimate how many hours were spent on average during the last fiscal year **2009**?

	Hours	DON'T KNOW (SPONTANEOUS)
External training funded by the government		-9

LAC.L14	Referring to the training programs run over fiscal year 2009 , did this establishment offer any external training partially or fully funded by this establishment?
----------------	--

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

*GO TO QUESTION LAC.L16
GO TO QUESTION LAC.L16*

LAC.L15	Referring to the external training programs partially or fully funded by this establishment, can you please estimate how many hours were spent on average during the last fiscal year 2009 ?
----------------	---

	Hours	DON'T KNOW (SPONTANEOUS)
External training funded by this establishment		-9

LAC.L16	Referring to the training programs run over fiscal year 2009 , did this establishment offer any internal training programs?
----------------	---

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

*GO TO QUESTION LAC.L19
GO TO QUESTION LAC.L19*

LAC.L17	Referring to the internal training program, can you please estimate how many hours were spent on average during the last fiscal year 2009 ?
----------------	--

	Hours	DON'T KNOW (SPONTANEOUS)
Internal training program		-9

GO TO QUESTION LAC.L19

LAC.L18	What was the main reason why this establishment did not run any training programs during fiscal year 2009 ? SHOW CARD 16
----------------	--

The benefits of training are smaller than the costs	1
The firm cannot afford the optimal level of training	2
The firm is afraid of investing in workers that after the training may leave the firm	3
The firm does not have enough information about training programs	4
Other	5
DON'T KNOW (SPONTANEOUS)	-9

LAC.L19	Please estimate which of the following categories requires the most to be trained? READ OPTIONS
----------------	--

Professional and managers	1
Technicians	2
Both categories require the same amount of training	3
DON'T KNOW (SPONTANEOUS)	-9

LAC.L20	Over the last three years, did this establishment receive any public support (financial or other types of assistance) for training-related activities?
----------------	--

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

L.30	<p>Are labor regulations No Obstacle, a Minor Obstacle, a Moderate Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment?</p> <p>INTERVIEWER: SHOW CARD 17</p> <p>Is an inadequately educated workforce No Obstacle, a Minor Obstacle, a Moderate Obstacle, a Major Obstacle, or a Very Severe Obstacle to the current operations of this establishment?</p> <p>INTERVIEWER: SHOW CARD 17</p>
-------------	---

	No obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very Severe Obstacle	(SPONTANEOUS) DON'T KNOW	DOES NOT APPLY
Labor regulations	0	1	2	3	4	-9	-7
Inadequately educated workforce	0	1	2	3	4	-9	-7

--

M. BUSINESS ENVIRONMENT

READ THE FOLLOWING TO THE RESPONDENT BEFORE PROCEEDING:

M.1	By looking at card [insert card number] can you tell me which of the elements of the business environment included in the list, if any, currently represents the biggest obstacle faced by this establishment SHOW CARD 18
------------	---

INTERVIEWER: DO NOT READ OPTIONS

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

Biggest obstacle	
DON'T KNOW (SPONTANEOUS)	-9
DOES NOT APPLY (SPONTANEOUS)	-7

Rotation (option A, B or C)	
-----------------------------	--

N. PERFORMANCE

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. The individual data are treated as confidential – the identity of your establishment will not be revealed at any point. Please provide the following information from the financial statements of this establishment.

N.2 For fiscal year **2009**, please provide the following information about this establishment by referring directly to your income statement: **SHOW CARD 19**

READ OUT

	SRDs	(SPONTANEOUS)	
		DON'T KNOW	DOES NOT APPLY
Total annual cost of labor including wages, salaries, bonuses, social payments		-9	
Total annual cost of finished goods and materials purchased to resell		-9	-7
Total annual costs of electricity		-9	

N.3 In fiscal year **2007**, three fiscal years ago, what were total annual sales for this establishment?

	SRDs
Total annual sales fiscal year 2007	
IF ESTABLISHMENT WAS NOT IN BUSINESS THREE YEARS AGO	-7
DON'T KNOW (SPONTANEOUS)	-9

SERIAL NUMBER

A.15a PLEASE COMPLETE THE FOLLOWING INFORMATION ABOUT THE INTERVIEWEE(S)

	POSITION IN THE FIRM	YEARS WITH THE FIRM	GENDER
MAIN RESPONDENT			
SECOND RESPONDENT			
THIRD RESPONDENT			

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

A.15 TIME FACE-TO-FACE INTERVIEW ENDS:

DAY (DD)	MONTH(MM)	YEAR(YYYY)	HOURL (00 TO 23)	MINUTES (00 TO 59)

INTERVIEWERS PLEASE ANSWER AT END OF THE INTERVIEW:

A.16	It is my perception that the responses to the questions regarding opinions and perceptions are:
-------------	---

Truthful	1
Somewhat truthful	2
Not truthful	3

A.17	The responses to the questions regarding figures (productivity and employment numbers):
-------------	---

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

SERIAL NUMBER

INTERVIEWER COMMENTS:

--

(Problems occurred/extraordinary circumstances which could influence results)

SUPERVISORS PLEASE ANSWER:

A.18	This questionnaire was completed in:
-------------	--------------------------------------

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

STOP HERE

--

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

hour	minutes