

AFRICA  
REGIONAL PROGRAM ON ENTERPRISE DEVELOPMENT

GHANA - 1992  
WAVE 1 QUESTIONNAIRE

This questionnaire covers both the firm and employee information sought from the sample of firms selected for the first wave of the RPED survey. The interviews were conducted in August-September 1992. The firm level data refers to the calendar year 1991. The wage and allowances information collected from employees refers to 1992.

The World Bank  
Department of Economics, University of Ghana, Legon  
Centre for the Study of African Economies, University of Oxford  
Overseas Development Administration, London.

X. REC 01

SECTOR: \_\_\_\_\_

SEC

LOCATION: \_\_\_\_\_

LOC

NAME OF THE FIRM: NAM1

ADDRESS: ADR1

TELEPHONES: TEL

OWNER OF THE FIRM: OWNER

PERSON TO CONTACT: CONTACT

INTERVIEWER: INT1/INT2

DATE AND TIME PROPOSED FOR THE VISIT

DAY	MONTH

DATEP1

TIME
HourP1/MINP1

ENTERPRISE NO.

WAVE NO.

--	--	--

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### FIRST VISIT

DATE OF THE INTERVIEW

DAY	MONTH	YEAR

DATE1

TIME BEGUN		TIME FINISHED	
HourB1	MINB1	HourF1	MINF1

RESULT: COMPLETED..... 1  
UNCOMPLETED ..... 2  
NO CONTACT ..... 3

RES1

### SECOND VISIT

DATE AND TIME PROPOSED

DAY	MONTH

TIME
HourP2/MINP2

DATE OF THE INTERVIEW DATEP2

DAY	MONTH	YEAR

DATE2

TIME BEGUN		TIME FINISHED	
HourB2	MINB2	HourF2	MINF2

RESULT: COMPLETED..... 1  
UNCOMPLETED ..... 2  
NO CONTACT ..... 3

RES2

### DATA ENTRY

DATA ENTRY OPERATOR: \_\_\_\_\_

CODE:

DECODE

DAY	MONTH	YEAR

OE DATE

X. RECØ3

1. ENTREPRENEURSHIP QUESTIONNAIRE

Part A: General Business and Employment History

1. When was this business founded?

YEAR:

R3QØ1

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

(a) total number of paid employees?

R3QØ2A

(b) total number of apprentices?

R3QØ2B

(c) What were your annual sales?

CEDIS:

R3QØ2C

3. And in 1983, what was the ...

(a) total number of paid employees?

R3QØ3A

(b) total number of apprentices?

R3QØ3B

(c) What were your annual sales?

CEDIS:

R3QØ3C

4. And in 1988, what was the ...

(a) total number of paid employees?

R3QØ4A

(b) total number of apprentices?

R3QØ4B

(c) What were your annual sales?

CEDIS:

R3QØ4C

5. How did you finance your startup...?

(A) OWN SAVINGS:

(%)

R3QØ5A

(B) BORROWING FROM FRIENDS OR RELATIVES:

(%)

R3QØ5B

(C) LOAN FROM A FOREIGN BANK OR DONOR AGENCY:

(%)

R3QØ5C

(D) LOAN FROM A LOCAL BANK:

(%)

R3QØ5D

(E) LOAN FROM A MONEY LENDER:

(%)

R3QØ5E

(F) LOAN FROM SUPPLIER:

(%)

R3QØ5F

(G) OTHER (SPECIFY \_\_\_\_\_):

(%)

R3QØ5G

X. RECØ3

1. ENTREPRENEURSHIP QUESTIONNAIRE

Part A: General Business and Employment History

1. When was this business founded?

YEAR:

R3QØ1

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

(a) total number of paid employees?

R3QØ2A

(b) total number of apprentices?

R3QØ2B

(c) What were your annual sales?

CEDIS:

R3QØ2C

3. And in 1983, what was the ...

(a) total number of paid employees?

R3QØ3A

(b) total number of apprentices?

R3QØ3B

(c) What were your annual sales?

CEDIS:

R3QØ3C

4. And in 1988, what was the ...

(a) total number of paid employees?

R3QØ4A

(b) total number of apprentices?

R3QØ4B

(c) What were your annual sales?

CEDIS:

R3QØ4C

5. How did you finance your startup...?

(A) OWN SAVINGS:

(%)

R3QØ5A

(B) BORROWING FROM FRIENDS OR RELATIVES:

(%)

R3QØ5B

(C) LOAN FROM A FOREIGN BANK OR DONOR AGENCY:

(%)

R3QØ5C

(D) LOAN FROM A LOCAL BANK:

(%)

R3QØ5D

(E) LOAN FROM A MONEY LENDER:

(%)

R3QØ5E

(F) LOAN FROM SUPPLIER:

(%)

R3QØ5F

(G) OTHER (SPECIFY \_\_\_\_\_):

(%)

R3QØ5G

X. RECØ4

1. ENTREPRENEURSHIP QUESTIONNAIRE

Part B: Personal History

1. Gender

MALE ..... 1  
FEMALE ..... 2

R4QØ1

2. How old are you?

YEARS:

R4QØ2

3. Were you born in this town?

YES ..... 1  
NO ..... 2 (⇒ 5)

R4QØ3

4. How long have you lived here?

YEARS:

R4QØ4Y

MONTHS:

R4QØ4M

5. What was the main occupation of your father?

OWN BUSINESS, PRODUCTION ..... 1  
OWN BUSINESS, TRADING .. ..... 2  
OWN BUSINESS, FARMING... ..... 3  
EMPLOYEE, PUBLIC SECTOR..... 4  
EMPLOYEE, PRIVATE SECTOR..... 5  
TEACHER..... 6  
OTHER ..... 7

R4QØ5

6. What was the main occupation of your mother?

OWN BUSINESS, PRODUCTION ..... 1  
OWN BUSINESS, TRADING .. ..... 2  
OWN BUSINESS, FARMING... ..... 3  
EMPLOYEE, PUBLIC SECTOR..... 4  
EMPLOYEE, PRIVATE SECTOR..... 5  
TEACHER..... 6  
HOUSEWIFE ..... 7  
OTHER ..... 8

R4QØ6

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

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

R4QØ7

8. What is the highest level of education you <sup>reached</sup> ~~achieved~~?

NONE ..... 1 (⇒ 12)  
PRIMARY ..... 2  
MIDDLE SCHOOL ..... 3  
SECONDARY (O LEVEL) ..... 4  
VOCATIONAL ..... 5  
TECHNICAL/POLYTECHNIC.. 6  
PROFESSIONAL ..... 7  
UNIVERSITY ..... 8 (⇒ 10)

1-4, 8 5, 6, 7

↑ ↑  
R4QØ81 R4QØ82

9. What was the highest form/standard you completed? <sup>refers to</sup> 1st box

R4QØ9

10. What year did you leave school?

YEAR:  
(⇒ 12)

R4Q1Ø

11. What did you study at the university?

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

R4Q11

(SPECIFY: \_\_\_\_\_)

12. Were you an apprentice?

YES ..... 1  
NO ..... 2 (⇒ 1Ø)

R4Q12

# 1. ENTREPRENEURSHIP QUESTIONNAIRE

## Part B: Personal History (continued)

13. For how long were you an apprentice?

YEARS:

R4Q13Y

MONTHS:

R4Q13M

14. Were you an apprentice in this field?

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

R4Q14

FOR EACH OF THE FOLLOWING INSTITUTIONS, ASK QUESTIONS 15 TO 18	15. Have you ever received training from [...]?  YES..... 1 NO ..... 2  (= NEXT INSTITUTION)	16. When did you have this training?  YEAR	17. How long did this training last?  MONTHS	18. Of what did this training consist?  MANAGEMENT ..... 1 TECHNICAL ..... 2 ACCOUNTING ..... 3 OTHER ..... 4 MGMT. & TECHNICAL ..... 5 MGMT & ACCNTG ..... 6 TECH/ACCTNG ..... 7  (MULTIPLE ANSWERS ALLOWED)
R5INSTA 1. Government?	R5Q15A	R5Q16A	R5Q17A	R5Q181A, R5Q182A, R5Q183A, R5Q184A
R5INSTB 2. Donor?	R5Q15B	R5Q16B	R5Q17B	R5Q181B, R5Q182B, R5Q183B, R5Q184B
R5INSTC 3. Foreign firm?	R5Q15C	R5Q16C	R5Q17C	R5Q181C, R5Q182C, R5Q183C, R5Q184C
R5INSTD 4. Local firm?	R5Q15D	R5Q16D	R5Q17D	R5Q181D, R5Q182D, R5Q183D, R5Q184D
R5INSTE 5. N.G.O.?	R5Q15E	R5Q16E	R5Q17E	R5Q181E, R5Q182E, R5Q183E, R5Q184E
R5INSTF 6. Other?	R5Q15F	R5Q16F	R5Q17F	R5Q181F, R5Q182F, R5Q183F, R5Q184F

X. RECDS

X. REC06

1. ENTREPRENEURSHIP QUESTIONNAIRE

Part C: Owner Specific History

1. Did you found this business?

YES ..... 1 (⇒ 3)  
NO ..... 2

R6Q01

2. How did you acquire this business?

BOUGHT IT ..... 1  
INHERITED IT ..... 2  
MERGER ..... 3  
OTHER ..... 4

(SPECIFY: \_\_\_\_\_)

R6Q02

3. Did you have previous experience in this industry?

YES ..... 1  
NO ..... 2 (⇒ 6)

R6Q03

4. What form did this experience take?

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

(a) Did you work for this firm?

R6Q04A

(b) Did you work for another firm?

R6Q04B

(c) Were your parents in this business?

R6Q04C

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

YEARS:

R6Q05

6. Excluding your current businesses, have you owned any other businesses?

YES ..... 1  
NO ..... 2 (⇒ 10)

R6Q06

7. Type of business 4-Digit Code	8. How long were you in that business?	9. Why do you no longer own that business? INSUFFICIENT DEMAND ..... 1 FOUND A BETTER BUSINESS ..... 2 ILLNESS/INCAPACITY ..... 3 OTHER (SPECIFY) ..... 4
R6Q071	R6Q081	R6Q091
R6Q072	R6Q082	R6Q092
R6Q073	R6Q083	R6Q093

10. What were you doing immediately prior to opening this business?

UNEMPLOYED ..... 1 (⇒ 12)  
WORKING FOR ANOTHER FIRM IN THIS INDUSTRY ..... 2  
WORKING IN A FIRM IN ANOTHER INDUSTRY ..... 3 (⇒ 12)  
SELF-EMPLOYMENT/BUSINESS OWNERSHIP ..... 4 (⇒ 12)  
APPRENTICESHIP/SCHOOLING ..... 5 (⇒ 12)  
CIVIL SERVANT/GOVERNMENT WORK/ PUBLIC SERVICE ..... 6 (⇒ 12)  
OTHER ..... 7 (⇒ 12)

(SPECIFY: \_\_\_\_\_)

R6Q10

X. REC06 cont'd

1. ENTREPRENEURSHIP QUESTIONNAIRE

Part C: Owner Specific History (continued)

11. Was this other firm foreign owned?

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

R6Q11

12. Do you currently own any other businesses?

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

(⇒ NEXT QUESTIONNAIRE)

R6Q12

13. What are these businesses?

4-Digit Code

OFFICE USE

R6Q131

R6Q132

R6Q133



X. REC07

## 2. GENERAL FIRM QUESTIONNAIRE

1. What is the legal status of this firm?

- SOLE PROPRIETORSHIP .....1  
 PARTNERSHIP .....2  
 LIMITED LIABILITY ENTERPRISE .....3  
 CORPORATE .....4  
 SUBSIDIARY OF MULTINATIONAL  
 CORPORATION .....5

R7Q01

2. What is the ownership structure?

- PRIVATE OWNERS ONLY,  
 GHANAIAI OWNERS .....1 (⇒ 4)  
 PRIVATE OWNERS ONLY,  
 FOREIGN OWNERS .....2  
 PRIVATE OWNERS, GHANAIAIS  
 AND FOREIGN JOINT .....3  
 STATE & PRIVATE JOINT,  
 GHANAIAI PRIVATE OWNERS .....4 (⇒ 4)  
 STATE & PRIVATE JOINT,  
 FOREIGN PRIVATE OWNERS .....5  
 STATE & PRIVATE JOINT, GHANAIAI  
 AND FOREIGN PRIVATE OWNERS .....6  
 STATE .....7 (⇒ 4)

R7Q02

3. What is the percent of foreign ownership?

(%)

R7Q03

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

- Yes .....1  
 No .....2

R7Q04

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

- 1 YEAR .....1  
 6 MONTHS .....2  
 1 MONTHS .....3  
 2 WEEKS .....4  
 1 WEEK .....5  
 OTHER .....6  
 (SPECIFY) \_\_\_\_\_

R7Q05

6. What was the value of sales last [period]?

CEDIS:

R7Q06

7. What was the value of output last [period]?

CEDIS:

R7Q07

8. What was the value of the inventories of your product at the end of 1991?

CEDIS:

R7Q08

8a. What was the value of the change in inventories of your product over the last [period]?

CEDIS:

R7Q08A

9. What was the total cost of raw materials last [period]?

CEDIS:

R7Q09

10. Did you import some of your raw materials last year?

- YES .....1  
 NO .....2 (⇒ 12)

R7Q10

11. What percent of your raw materials were imported?

(%)

R7Q11

X. RECØ7 cont'd

2. GENERAL FIRM QUESTIONNAIRE

12. What was your total wage bill last [period]?

CEDIS: R7Q12

15. What are the indirect costs of your business, for example, rent and utilities, as a percentage of the sales values in the last [period]?

(%) R8Q15

12a. What was your working capital requirement last [period]?  
average, how much working capital do you  
need to complete the operations?

CEDIS: R7Q12A

16. What were your <sup>gross</sup> profits last [period]?

X. RECØ8 ↑

CEDIS: R8Q16

13a. What was the replacement value of your plant and equipment at the end of last year?

and would it cost to buy new equipment? CEDIS: R8Q13A

17. What did you spend on promotion and advertising last [period]?

CEDIS: R8Q17

IF THE RESPONDENT CANNOT ANSWER THEN PROCEED TO THE FOLLOWING QUESTION GRID:

Match w/ 13B  
Column 1

13b. LIST THE FIRM'S MAJOR PIECES OF EQUIPMENT AND ASK:	What was the replacement value for Equipment No. [...]?	What could you sell Equipment No. [...] for today?
Equipment No. 1	R8Q13B11	R8Q13B12
Equipment No. 2	R8Q13B21	R8Q13B22
Equipment No. 3	R8Q13B31	R8Q13B32
Equipment No. 4	R8Q13B41	R8Q13B42
Equipment No. 5	R8Q13B51	R8Q13B52
Total	R8Q13B61	R8Q13B62

17a. What did you spend on investment in 1991?

14. What was the replacement value of the land and buildings? (SPECIFY IF CURRENT OR HISTORICAL VALUE)

Current  
CEDIS: R8Q14

X. REC09

2. GENERAL FIRM QUESTIONNAIRE

FOR THE LAST PERIOD OF ACTIVITY, LIST UP TO 5 PRODUCTS AND THEN ASK QUESTIONS 18 TO 21 ABOUT EACH PRODUCT		18.		19.	20.	21.	22.
		Quantity	Unit Used				
R9LNA	R9NAMEA	R9Q18QA	R9Q18UA	R9Q19A	R9Q20A	R9Q21A	R9Q22A
R9LNB	R9NAMEB	R9Q18QB	R9Q18UB	R9Q19B	R9Q20B	R9Q21B	R9Q22B
R9LNC	R9NAMEC	R9Q18QC	R9Q18UC	R9Q19C	R9Q20C	R9Q21C	R9Q22C
R9LND	R9NAMED	R9Q18QD	R9Q18UD	R9Q19D	R9Q20D	R9Q21D	R9Q22D

23. Was the output for this period?

- Significantly below average.....1  
 Below average.....2  
 Significantly above average.....3  
 Above average.....4  
 Average.....5

X. REC10

R10Q23

27. Do you export some of your products?

- YES .....1  
 NO .....2  
 (= 29)

R10Q27

28. What percent of your production is exported?

(%)

R10Q28

24. What percent of the time do you produce below this amount?

(%)

R10Q24

25. What percent of the time do you produce more than this amount?

(%)

R10Q25

26. How much more output could be produced by your firm without any further investment in plant and equipment on ...

(a) a one-shift basis?

(%)

R10Q26A

(b) a two-shift basis?

(%)

R10Q26B

Capacity Utilization =

$$\frac{\text{Actual Output}}{\text{Potential Output}} \times 100$$

X. RECIØ cont'd

## 2. GENERAL FIRM QUESTIONNAIRE

29. What is your main source of competition in the markets where you sell?

- Domestic ~~LOCAL~~ FIRMS ..... 2  
 FIRMS FROM OTHER REGIONS ..... 3  
 IMPORTS ..... 4  
 Foreign Competitors in Export Markets ..... 3

30. Which of the following statements best describes how you set prices for your products?

- I always take the market price as given ..... 1  
 I set my price as a markup over costs ..... 2  
 I adjust my price to keep it in line with the price of imports ..... 3  
 I tend to follow the lead of my one or two largest competitors ..... 4  
 The government sets my price ..... 5  
 I negotiate my price with the buyer ..... 6

R1Ø29

R1Ø3ØA R1Ø3ØB

(a) Government regulations

R1Ø31G

(h) Location of competitors

R1Ø31H

32. Do you have more than one manufacturing location?

- Yes ..... 1  
 No ..... 2

R1Ø32

33. Do you have sales, distribution or administrative offices located separately from plants?

- Yes ..... 1  
 No ..... 2

R1Ø33

31. How important were each of the following in choosing your current location?

- NOT IMPORTANT ..... 1  
 MODERATELY IMPORTANT ..... 2  
 VERY IMPORTANT ..... 3

} Scale of 1 to 5

(a) Availability of land

R1Ø31A

(b) Availability of infrastructure

R1Ø31B

(c) Access to workers

R1Ø31C

(d) Access to raw materials

R1Ø31D

(e) Close to clients

R1Ø31E

(f) Close to family

R1Ø31F

### 3. LABOR MARKET QUESTIONNAIRE

#### Section 1/Part A: Current Labor Force Structure

1. In 1991, how many workers did this firm have in total? X. REC11

R11Q01

NUMBER OF WORKERS:

X. REC12

FOR EACH TYPE OF WORKER, ASK QUESTIONS 2 TO 7	2. How many permanent workers of this type were employed last year?  (IF NONE, WRITE ZERO AND GO TO NEXT TYPE)  NO. OF WORKERS  Total Employment	3. What type of contract did they have?  TIME RATE..... 1 PIECE RATES..... 2 PERCENT OF FIRM'S SALES..... 3	4. How frequently were workers paid?  DAILY..... 1 WEEKLY..... 2 FORTNIGHTLY..... 3 MONTHLY..... 4 OTHER..... 5	5. How many hours per week did these workers work on average?  HOURS	6. What was the average base wage in this category, excluding any in-kind payment or allowances?  CEDIS	7. What is the average level of education of workers of this type?  NONE..... 1 PRIMARY..... 2 MIDDLE SCHOOL..... 3 SECONDARY..... 4 ( <del>COLLEGE</del> )..... 4 VOCATIONAL..... 5 TECHNICAL/ POLYTECHNIC..... 6 PROFESSIONAL..... 7 UNIVERSITY..... 8
R12WRKA Management..... 01	R12Q02A	R12Q03A	R12Q04A	R12Q05A	R12Q06A	R12Q07A R12Q072A
R12WRKB Administ/Clerical..... 02	R12Q02B	R12Q03B	R12Q04B	R12Q05B	R12Q06B	R12Q07B R12Q072B
R12WRKC Commercial/Sales..... 03	R12Q02C	R12Q03C	R12Q04C	R12Q05C	R12Q06C	R12Q07C R12Q072C
R12WRKD Production..... 04	R12Q02D	R12Q03D	R12Q04D	R12Q05D	R12Q06D	R12Q07D R12Q072D
R12WRKE Maintenance..... 05	R12Q02E	R12Q03E	R12Q04E	R12Q05E	R12Q06E	R12Q07E R12Q072E
R12WRKF Supervisors/Foreman..... 06	R12Q02F	R12Q03F	R12Q04F	R12Q05F	R12Q06F	R12Q07F R12Q072F
R12WRKG Masters..... 07	R12Q02G	R12Q03G	R12Q04G	R12Q05G	R12Q06G	R12Q07G R12Q072G
R12WRKH Apprentices..... 08	R12Q02H	R12Q03H	R12Q04H	R12Q05H	R12Q06H	R12Q07H R12Q072H
TOTAL						

### 3. LABOR MARKET QUESTIONNAIRE

#### Section 1/Part A: Current Labor Force Structure (continued)

X. REC12

FOR EACH TYPE OF WORKER, ASK QUESTIONS 8 TO 11	8. In addition to their wages, did these workers receive any in-kind payment?  YES ..... 1 NO ..... 2    (⇒ 10)	9. In addition to their wages, did these workers receive any cash allowances? YES ..... 1 NO ..... 2	10. What was the value (in Cedis) of these in-kind payments per pay period, and allowances, per pay period, for each of the following items?  IF NOTHING, WRITE ZERO						11. How many <del>What percent</del> of the workers were members of the owner's family?  Number Adherent
			FOOD (CEDIS)	HOUSING (CEDIS)	CLOTHING (CEDIS)	TRANSPORTATION (CEDIS)	LEAVE (CEDIS)	OTHER (CEDIS)	
Management..... 01	R12Q08A	R12Q09A	R12Q10AA	R12Q10BA	R12Q10CA	R12Q10DA	R12Q10EA	R12Q10FA	R12Q11A
Adminst/Clerical..... 02	R12Q08B	R12Q09B	R12Q10AB	R12Q10BB	R12Q10CB	R12Q10DB	R12Q10EB	R12Q10FB	R12Q11B
Commercial/Sales..... 03	R12Q08C	R12Q09C	R12Q10AC	R12Q10BC	R12Q10CC	R12Q10DC	R12Q10EC	R12Q10FC	R12Q11C
Production..... 04	R12Q08D	R12Q09D	R12Q10AD	R12Q10BD	R12Q10CD	R12Q10DD	R12Q10ED	R12Q10FD	R12Q11D
Maintenance..... 05	R12Q08E	R12Q09E	R12Q10AE	R12Q10BE	R12Q10CE	R12Q10DE	R12Q10EE	R12Q10FE	R12Q11E
Supervisors/Foreman..... 06	R12Q08F	R12Q09F	R12Q10AF	R12Q10BF	R12Q10CF	R12Q10DF	R12Q10EF	R12Q10FF	R12Q11F
Masters..... 07	R12Q08G	R12Q09G	R12Q10AG	R12Q10BG	R12Q10CG	R12Q10DG	R12Q10EG	R12Q10FG	R12Q11G
Apprentices..... 08	R12Q08H	R12Q09H	R12Q10AH	R12Q10BH	R12Q10CH	R12Q10DH	R12Q10EH	R12Q10FH	R12Q11H
TOTAL									

X. REC13

3. LABOR MARKET QUESTIONNAIRE

Section 1/Part A: Current Labor Force Structure (continued)

12. Are your wage payments consolidated

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

R13Q12

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

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

(⇒ 15)

R13Q13

14. What fraction?

(%)

R13Q14

15. How many of your workers are women?

NUMBER:

R13Q15

16. Do you employ casual workers?

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

(⇒ 18)

R13Q16

17. How many casual workers do you have right now?

NUMBER:

R13Q17

X. REC14

ASK QUESTIONS 18 TO 20 ABOUT EACH BENEFIT LISTED:	18.	19.	20.
	Do you provide the employee with this [BENEFIT]?	Is this [BENEFIT] required by law?	Is this [BENEFIT] required by union contracts?
	YES ..... 1 NO ..... 2	YES ..... 1 NO ..... 2	YES ..... 1 NO ..... 2
1. Health care? R14BENA	R14Q18A	R14Q19A	R14Q20A
2. Health care for workers' families? R14BENB	R14Q18B	R14Q19B	R14Q20B
3. Overtime pay? R14BENC	R14Q18C	R14Q19C	R14Q20C
4. Paid leave? R14BEND	R14Q18D	R14Q19D	R14Q20D
5. Paid public holidays? R14BENE	R14Q18E	R14Q19E	R14Q20E
6. Pension funds? R14BENF	R14Q18F	R14Q19F	R14Q20F

X. REC15

3. LABOR MARKET QUESTIONNAIRE

Section 1/Part A: Current Labor Force Structure (continued)

21. What is the dominant way of finding workers?

- Relative or friend of owner.....1
- Relative or friend of current employee.....2
- Suggestion from supplier or business associate.....3
- Word of mouth.....4
- Formal advertising.....5
- Labor Office.....6
- Trade or technical schools.....7
- Other.....8

R1521A

(Specify: \_\_\_\_\_)



X. REC16

3. LABOR MARKET QUESTIONNAIRE

Section 1/Part B: Apprentices and Trainees

LOOK BACK TO PART A, QUESTION 2. IF THE FIRM HAS APPRENTICES IN LINE 08 OF THE TABLE, ASK THE FOLLOWING QUESTIONS, IF NOT GO TO PART C

1. When did you start training apprentices?

YEAR:

R1601

2. What is the initial fee for apprentices?

CASH PAYMENTS  
CEDIS:

R16Q02C

IN-KIND PAYMENTS  
VALUE IN CEDIS:

R16Q02K

3. What is the fee per month?

CASH PAYMENTS  
CEDIS:

R16Q03C

IN-KIND PAYMENTS  
VALUE IN CEDIS:

R16Q03K

4. What is the payment when the apprenticeship is completed?

CASH PAYMENTS  
CEDIS:

R16Q04C

IN-KIND PAYMENTS  
VALUE IN CEDIS:

R16Q04K

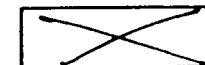
5. Since what year have you been charging these fee amounts?

YEAR:

R16Q05

6. Did you pay the same fee for your apprenticeship?

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



7. How long does the apprenticeship last?

YEARS:

R16Q07Y

MONTHS:

R16Q07

8. Do apprentices provide their own tools and equipment?

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

R16Q08

9. How many apprentices finished their apprenticeships last year?

NUMBER:

R16Q09

X. REC 17

3. LABOR MARKET QUESTIONNAIRE

Section 1/Part B: Apprentices and Trainees (continued)

10. How many of them did each of the following upon completion?

(a) continued working in this firm?

NUMBER:

R17Q10A

(b) worked for another firm in the industry?

NUMBER:

R17Q10B

(c) worked for firms in other industries?

NUMBER:

R17Q10C

(d) started their own business?

NUMBER:

R17Q10D

(e) school?

NUMBER:

R17Q10E

(f) unemployed?

NUMBER:

R17Q10F

(g) don't know?

NUMBER:

R17Q10G

11. When was the last time you <sup>took on</sup> ~~added~~ apprentices?

YEAR:

R17Q11

12. How many people did you <sup>take</sup> ~~add~~ on?

NUMBER:

R17Q12

13. How many people applied for these apprenticeships?

NUMBER:

R17Q13

14. Is there a probation period for apprentices?

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

R17Q14

15. Do all apprentices finish the program?

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

<sup>17</sup>  
(= 88)

R17Q15

16. On average, what percentage complete the program?

(%)

R17Q16

17. Do your apprentices have to take a test in order to complete their apprenticeship?

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

R17Q17

18. Do you provide your apprentices with written testimonials when they complete their apprenticeships?

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

R17Q18

19. Do you belong to a trade association that sets rules and regulations for apprenticeships?

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

(= SECTION II)

R17Q19

20. Have these regulations changed in the past 5 years?

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

R17Q20

X. REC 18

3. LABOR MARKET QUESTIONNAIRE

Section 2: Activity in the Last Year

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

NO. OF WORKERS:

R18Q01

2. How many workers did you sack last year?

NO. OF WORKERS:

R18Q02

3. How many workers quit last year?

NO. OF WORKERS:

R18Q03

4. How many workers retired last year?

NO. OF WORKERS:

R18Q04

X. REC19

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

W O R K E R  N U M B E R	1. SEX MALE.....1 FE- MALE...2	2. What is your age?	3. When did you leave school?	4. How long have you been working for this firm?		5. What is the highest level of education you completed?	6. What is the highest standard or form you reached?	7. What was your job when you started in this firm?	8. What is your job now?	9. How were you paid when you started here?	10. How are you currently paid?	11. Is this a fixed percentage of sales?
				YEARS	MONTHS	NONE.....1 PRIMARY.....2 MIDDLE SCHOOL.....3 SECONDARY <del>(ALL 50%)</del> .....4 VOCATIONAL...5 TECHNICAL/ POLYTECH- NIC.....6 UNIVERSITY.....8 Professional...7		MANAGEMENT...1 ADMINIST/ CLERICAL.....2 COMMERCIAL/ SALES.....3 PRODUCTION...4 MAINTENANCE...5 SUPERVISOR/ FOREMAN.....6 MASTER.....7 Apprentice...8	MANAGEMENT...1 ADMINIST/ CLERICAL.....2 COMMERCIAL/ SALES.....3 PRODUCTION...4 MAINTENANCE...5 SUPERVISOR/ FOREMAN.....6 MASTER.....7	TIME RATE.....1 PIECE RATE.....2 PERCENT OF FIRMS' SALES.....3	TIME RATE.....1 (≥ 12) PIECE RATE.....2 (≥ 12) PERCENT OF FIRMS' SALES.....3	YES.....1 NO.....2
WID	R19Q001	R19Q002	R19Q003	R19Q004			R19Q006	Apprentice...8 R19Q007	R19Q008	R19Q009	R19Q010	R19Q011
1						R19Q005/R19Q0052						
2												
3												
4												
5												
6												
7												
8												
9												
10												

14.8 5,6,7

X. REC 20

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

W O R K E R  N U M B E R	12. What is your current or usual wage/income?		13. What was your wage/income when you started?			14. How many hours per week do you currently work?	15. Were you an apprentice in this industry or this firm?	16. How long did the apprenticeship last?		17. Did you or your family pay a fee for your apprenticeship??	18. How much was this fee?	19. How did you know about this job?
	CEDIS	TIME UNIT	AMOUNT OF MONEY	CURRENCY	TIME UNIT	HOURS		YEARS	MONTHS		CEDIS	
1	R20Q12A	R20Q12U	R20Q13A	R20Q13C	R20Q13U	R20Q14	R20Q15	R20Q16Y	R20Q16M	R20Q17	R20Q18	R20Q19
2												
3												
4												
5												
6												
7												
8												
9												
10												

X. REC21

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

W O R K E R  N U M B E R  WID	20. Have you ever been laid off?  YES.....1 NO.....2 (⇒ 22)	21. When was this layoff?		22. How long did the layoff last?		23. Have you ever worked for another firm in this industry?  YES.....1 NO.....2 ⇒ NEXT QUESTIONNAIRE	24. Which one?
		YEAR	MONTH	YEAR	MONTH		DESCRIPTION
1	R21Q20	R21Q21Y	R21Q21M	R21Q22Y	R21Q22M	R21Q23	R21Q24
2							
3							
4							
5							
6							
7							
8							
9							
10							

X. REC22

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

W O R K E R  N U M B E R  WID	1. SEX MALE....1 FE- MALE...2	2. What is your age?	3. How long have you been working for this firm?			4. What is the highest level of education you completed?  NONE.....1 PRIMARY.....2 MIDDLE SCHOOL.....3 SECONDARY (O LEVEL) .....4 VOCATIONAL .5 TECHNICAL/ POLYTECH- NIC.....6 UNIVERSITY.....7	5. What is the highest standard or form you reached?	6. When did you leave school?	7. Do you receive meals from the firm?	8. Do you receive housing from the firm?	9. Do you receive clothing from the firm?	10. Do you receive pocket money or an allowance from the firm?	11. Do you receive support, in the form of money, housing or food, from parents or other family members?	12. Do you send money to family members?	13. Did you live in this town before you became an apprentice?
		YEARS	YEARS	MONTHS		LEVEL	YEAR								
1	R22Q01	R22Q02	R22Q03	R22Q03M	R22Q04	R22Q05	R22Q06	R22Q07	R22Q08	R22Q09	R22Q10	R22Q11	R22Q12	R22Q13	
2															
3															
4															
5															
6															
7															
8															
9															
10															

X. REC22 cont'd

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

W O R K E R  N U M B E R	14. Why did you pick this industry?	15. Did you apply to other masters?  YES..... 1 NO..... 2	16. How did you find this master?  MASTER IS A RELATIVE OR FRIEND..... 1 RECOMMENDATION OF RELATIVE OR FRIEND..... 2 RECOMMENDATION OF BUSINESS ASSOCIATE..... 3 WORD OF MOUTH..... 4 SCHOOL PROGRAM..... 5 Don't Know..... 6
	DESCRIPTION		
1	R22Q14	R22Q15	R22Q16
2			
3			
4			
5			
6			
7			
8			
9			
10			



X. REC22 cont'd

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

W O R K E R  N U M B E R	17. Why did you pick this master?	18. What do you intend to do when you finish your apprenticeship?	19. Did you apply to other masters?
	DESCRIPTION	CONTINUE WORKING HERE ..... 1 WORK FOR ANOTHER FIRM ..... 2 START OWN FIRM ..... 3 GO TO SCHOOL ..... 4 Don't know ..... 5	YES ..... 1 NO ..... 2
1	R22Q17	R22Q18	
2			
3			
4			
5			
6			
7			
8			
9			
10			

X. REC23

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part I: Acquisition of Capital Stock

1. What was the most recent acquisition?

LAND ..... 1  
BUILDINGS ..... 2  
EQUIPMENT ..... 3  
OTHER ..... 4

R23Q01

2. What is the date of this most recent acquisition?

DATE:

R23Q02

3. What was the form of this acquisition?

PURCHASE ..... 1  
LEASE ..... 2

(⇒ PART 2)

R23Q03

4. What were the sources of funds?

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

(a) PROFITS

R23Q04A

(b) PERSONAL SAVINGS

R23Q04B

(c) BORROWED FROM FRIENDS OR RELATIVES

R23Q04C

(d) BORROWED FROM BANK

R23Q04D

(e) BORROWED FROM SUPPLIER

R23Q04E

(f) BORROWED FROM MONEY LENDER

R23Q04F

5. What percent of the funds were borrowed?

(%)

R23Q05

X. REC24

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part II: Contractual Relations with Suppliers

IDENTIFY AND CHARACTERIZE THE RELATIONSHIPS WITH THE SUPPLIERS OF THE THREE MAIN RAW MATERIALS OR INTERMEDIATE INPUTS LAST YEAR:

1. WRITE THE THREE MOST IMPORTANT RAW MATERIALS OR INPUTS, AND THEN ASK QUESTIONS 2 TO 9 FOR EACH ITEM LISTED.  RAW MATERIAL NAME	2. What is the name and location of the main supplier of this... [RAW MATERIAL]...?  SUPPLIER'S NAME AND LOCATION	3. What is the type of this supplier?  PUBLIC ENTERPRISE ..... 1 PRIVATE NATIONAL ..... 2 PRIVATE FOREIGN ..... 3 OTHER ..... 4	4. What is the frequency of these purchases?  Daily - . . . . 0 WEEKLY ..... 1 MONTHLY ..... 2 QUARTERLY ..... 3 OCCASIONALLY ..... 4 Yearly - . . . . 5 Half-Yearly . . . 6 Fortnightly . . . 7	5. What is the form of purchases?  CASH ..... 1 CONSIGNMENT ..... 2 CREDIT ..... 3 ADVANCE PAYMENT ..... 4	6. How long have you had a commercial relationship with this supplier?  MONTHS
1. R24LNA R24Q01A		R24Q03A	R24Q04A	R24Q05A	R24Q06A
2. R24LNB R24Q01B		R24Q03B	R24Q04B	R24Q05B	R24Q06B
3. R24LNC R24Q01C		R24Q03C	R24Q04C	R24Q05C	R24Q06C

7. Is the supplier a relative?  YES ..... 1 NO ..... 2	8. Is this the only supplier available for this raw material or input?  YES ..... 1 NO ..... 2	9. Do you ever use written contracts (or agreements) to purchase raw materials on credit from suppliers?  YES ..... 1 NO ..... 2
1. R24Q07A	R24Q08A	R24Q09A
2. R24Q07B	R24Q08B	R24Q09B
3. R24Q07C	R24Q08C	R24Q09C

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part II: Contractual Relations with Suppliers

(a) MOST RECENT PURCHASE ON CREDIT

LOOK BACK AT QUESTION 5. IF THERE IS AT LEAST ONE PURCHASE ON CREDIT, ASK QUESTIONS 10 TO 19 ABOUT THE MOST RECENT PURCHASE ON CREDIT. IF NOT, GO TO (b) (QUESTIONS 20 TO 29).

10. What was the supplier's name and location?

NAME: \_\_\_\_\_

LOCATION: \_\_\_\_\_

11. What was the raw material or input purchased on credit?

DESCRIPTION: \_\_\_\_\_

12. What was the total value of this credit purchase?

CEDIS: R25Q12

13. What was the down payment on delivery or on order?

CEDIS: R25Q13

14. What was the payment at the end of the credit period?

CEDIS: R25Q14

15. What was the time elapsed between taking delivery of the raw material and full repayment?

DAYS: R25Q15

16. Was a guarantee required?

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

R25Q16

17. If you had made the same purchase on a cash basis, what would you have paid?

CEDIS: R25Q17

18. Are there special conditions in the credit or supplier-delivery contracts (e.g., penalties for late delivery, inadequate quality or for late payment of credit)?

PLEASE EXPLAIN TO RESPONDENT THAT CONTRACTS (OR AGREEMENTS) CAN BE WRITTEN OR ORAL

YES ..... 1  
NO ..... 2 (⇒ 20)

R25Q18

19. What are those special conditions?

(a) Credit Contract: (DESCRIBE)

R25Q19A

(b) Supplier-delivery Contract: (DESCRIBE)

R25Q19B

Codes For 19(a) and 19(b):

- 01 - Penalties For Late Delivery
- 02 - Inadequate Quality
- 03 - Late Payment of Credit
- 04 - Purchase Based on Previous Credit
- 05 - Postdated Check
- 06 - Staggered Payments
- 07 - Credit Revoked For Late Payment
- 08 - Guarantee Required

X. REC26

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part II: Contractual Relations with Suppliers

(b) MOST RECENT PURCHASE ON CONSIGNMENT

LOOK BACK AT QUESTION 5. IF THERE IS AT LEAST ONE PURCHASE ON CONSIGNMENT, ASK QUESTIONS 20 TO 29 ABOUT THE MOST RECENT PURCHASE ON CONSIGNMENT. IF NOT, GO TO (c) (QUESTIONS 30 TO 34).

20. What was the suppliers name and location?

NAME: \_\_\_\_\_

LOCATION: \_\_\_\_\_

21. What was the raw material or input purchased on consignment?

DESCRIPTION: \_\_\_\_\_

22. What was the total value of the consignment purchase?

CEDIS:

R26Q22

23. What was the payment on delivery or on order?

CEDIS:

R26Q23

24. What was the payment at closing (return of unsold/unused merchandise)?

CEDIS:

R26Q24

25. What was the time elapsed between taking delivery and closing?

DAYS:

R26Q25

26. Was a guarantee required?

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

R26Q26

27. If you had made this same purchase on a cash basis, what would you have paid?

CEDIS:

R26Q27

28. Are there special conditions in the consignment contract (e.g., penalties for late delivery or late return of products, etc.)?

PLEASE EXPLAIN TO RESPONDENT THAT CONTRACTS (OR AGREEMENTS) CAN BE WRITTEN OR ORAL

YES ..... 1  
NO ..... 2 (⇒ 30)

R26Q28

29. What are those special conditions? Describe:

R26Q29

Codes for Q29:

01 - Penalties For Late Delivery

02 - Late Return of Products

03 - Penalties For Non-Standard Measurement

04 - Over Payment Required

99 - Other

#### 4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

##### Part II: Contractual Relations with Suppliers

###### (c) MOST RECENT CASH PURCHASE

LOOK BACK AT QUESTION 5. IF THERE IS AT LEAST ONE CASH PURCHASE, ASK QUESTIONS 30 TO 34 ABOUT THE MOST RECENT CASH PURCHASE. IF NOT, GO TO (d) (QUESTIONS 35 TO 43).

30. What was the suppliers name?

NAME: \_\_\_\_\_

LOCATION: \_\_\_\_\_

31. What was the raw material or input purchased?

DESCRIPTION: \_\_\_\_\_

32. What was the total value of this cash purchase?

CEDIS:

33. Was there a cash discount?

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

(⇒ 35)

34. How much was the discount?

(%)

###### (d) MOST RECENT PURCHASE WITH ADVANCE PAYMENT

LOOK BACK AT QUESTION 5. IF THERE IS AT LEAST ONE PURCHASE WITH ADVANCE PAYMENT, ASK QUESTIONS 35 TO 43 ABOUT THE MOST RECENT CASH PURCHASE. IF NOT, GO TO SECTION III.

35. What was the suppliers name?

NAME: \_\_\_\_\_

LOCATION: \_\_\_\_\_

36. What was the raw material or input purchased with payment in advance?

DESCRIPTION: \_\_\_\_\_

37. What was the total value of purchases paid in advance?

CEDIS:

38. What was the payment when placing order (if not full payment)?

CEDIS:

39. What was the payment upon delivery?

CEDIS:

40. What was the time elapsed between first payment and delivery?

DAYS:

41. Was a guarantee received?

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

42. Are there special conditions in the advance payment contract (e.g., penalties for late delivery, for example)?

PLEASE EXPLAIN TO RESPONDENT THAT CONTRACTS (OR AGREEMENTS) CAN BE WRITTEN OR ORAL

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

(⇒ PART III)

43. What are those special conditions? Describe:

X. REC29

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part III: Contractual Relations with Clients

IDENTIFY AND CHARACTERIZE THE RELATIONSHIPS WITH THE PRINCIPAL CLIENTS OF THE ENTERPRISE IN THE LAST YEAR. IF THERE ARE NO PRINCIPAL CLIENTS, USE THE THREE MOST RECENT:

1. WRITE THE THREE PRINCIPAL CLIENTS DURING THE LAST YEAR, AND THEN ASK QUESTIONS 2 TO 8	2. What type of client is this?  PUBLIC ENTERPRISE.....1 PRIVATE NATIONAL.....2 PRIVATE FOREIGN.....3 OTHER.....4	3. What was the product or service sold?	4. What was the frequency of sales?  Daily.....0 WEEKLY.....1 MONTHLY.....2 QUARTERLY.....3 OCCASIONALLY.....4 Yearly.....5 Half-Yearly..6	5. What was primary form of sales?  CASH.....1 CONSIGNMENT.....2 CREDIT.....3 ADVANCE PAYMENT.....4	6. How long have you had a commercial relationship with this client?  MONTHS	7. Is the client a relative?  YES.....1 NO.....2	8. Was this the only purchaser of this product or service offered by the enterprise?  YES.....1 NO.....2	9. Do you ever make written contracts (or agreements) with clients?  YES.....1 NO.....2
1. <del>R29LNA</del>	R29Q02A	R29Q03A	Fortnightly...7 R29Q04A	R29Q05A	R29Q06A	R29Q07A	R29Q08A	R29Q09A
2. <del>R29LNB</del>	R29Q02B	R29Q03B	R29Q04B	R29Q05B	R29Q06B	R29Q07B	R29Q08B	
3. <del>R29LNC</del>	R29Q02C	R29Q03C	R29Q04C	R29Q05C	R29Q06C	R29Q07C	R29Q08C	R29Q09C

X. REC 30

1X. REC 31 1

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part III: Contractual Relations with Clients

(a) MOST RECENT SALE ON CREDIT

LOOK BACK AT QUESTION 5. IF THERE IS AT LEAST ONE SALE ON CREDIT, ASK QUESTIONS 9 TO 15 ABOUT THE MOST RECENT SALE ON CREDIT. IF NOT, GO TO (b) (QUESTIONS 16 TO 22).

9. What was the client's name?

NAME: \_\_\_\_\_

LOCATION: \_\_\_\_\_

10. What was the product or service sold on credit?

DESCRIPTION: R30Q10

11. What was the total value of this sale on credit?

CEDIS:

R30Q11

12. What was the down payment on delivery or on order?

CEDIS:

R30Q12

13. What was the payment at the end of the credit period?

CEDIS:

R30Q13

14. What was the time elapsed between delivery and full repayment?

DAYS:

R30Q14

15. Was a guarantee required?

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

R30Q15

(b) MOST RECENT SALE ON CONSIGNMENT

LOOK BACK AT QUESTION 5. IF THERE IS AT LEAST ONE SALE ON CONSIGNMENT, ASK QUESTIONS 16 TO 22 ABOUT THE MOST RECENT SALE ON CONSIGNMENT. IF NOT, GO TO (c) (QUESTIONS 23 TO 27).

16. What was the client's name?

NAME: \_\_\_\_\_

LOCATION: \_\_\_\_\_

17. What was the product or service sold on consignment?

DESCRIPTION: R31Q17

18. What was the total value of consignment sales?

CEDIS:

R31Q18

19. What was the down payment on delivery or on order?

CEDIS:

R31Q19

20. What was the payment at closing (return of unsold/unused merchandise)?

CEDIS:

R31Q20

21. What was the time elapsed between delivery and closing?

DAYS:

R31Q21

22. Was a guarantee required?

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

R31Q22



X. REC32

X. REC33

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part III: Contractual Relations with Clients

(c) MOST RECENT CASH SALE

LOOK BACK AT QUESTION 5. IF THERE IS AT LEAST ONE CASH SALE, ASK QUESTIONS 23 TO 27 ABOUT THE MOST RECENT CASH SALE. IF NOT, GO TO (d) (QUESTIONS 28 TO 34).

23. What was the client's name?

NAME: \_\_\_\_\_

LOCATION: \_\_\_\_\_

24. What was the product or service sold?

DESCRIPTION: R32Q24

25. What was the total value of this cash sale?

CEDIS:

R32Q25

26. Was there a cash discount?

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

(⇒ 26)

R32Q26

27. How much was the discount?

(%)

R32Q27

(d) MOST RECENT SALE WITH ADVANCE PAYMENT

LOOK BACK AT QUESTION 5. IF THERE IS AT LEAST ONE SALE WITH ADVANCE PAYMENT, ASK QUESTIONS 28 TO 34 ABOUT THE MOST RECENT SALE WITH ADVANCE PAYMENT. IF NOT, GO TO SECTION IV.

28. What was the client's name?

NAME: \_\_\_\_\_

LOCATION: \_\_\_\_\_

29. What was the product or service sold?

DESCRIPTION: R33Q29

30. What was the total value of sales paid in advance?

CEDIS:

R33Q30

31. What was the payment when placing order (if not full payment)?

CEDIS:

R33Q31

32. What was the payment upon delivery?

CEDIS:

R33Q32

33. What was the time elapsed between first payment and delivery?

DAYS:

R33Q33

34. Was a guarantee received?

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

R33Q34

X. REC 34

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part IV: Informal Lending

SUMMARY OF LOANS GRANTED BY THE ENTERPRISE IN THE LAST YEAR, EXCLUDING TRANSACTIONS FOR PURCHASE OR SALE, BY LOAN RECIPIENT.

FOR EACH TYPE OF RECIPIENT LISTED, ASK QUESTIONS 1 TO 3	1. Excluding transactions for purchase or sale discussed above, did you give any loans to ... [ ] ... in the last year?  YES ..... 1 NO ..... 2 (⇒ NEXT RECIPIENT)	2. How many loans have you given to ... [ ] ... in the last year?  NO. OF LOANS	3. What was the total amount granted?  CEDIS
R34RCA Suppliers ..... 01	R34Q01A	R34Q02A	R34Q03A
R34RCB Clients ..... 02	R34Q01B	R34Q02B	R34Q03B
R34RCC Employees ..... 03	R34Q01C	R34Q02C	R34Q03C
R34RCD Other enterprises ..... 04	R34Q01D	R34Q02D	R34Q03D
R34RCE Relatives/Friends ..... 05	R34Q01E	R34Q02E	R34Q03E
R34RCF Other ..... 06	R34Q01F	R34Q02F	R34Q03F

TERMS AND CONDITIONS OF LOANS GRANTED

X. REC 35

4. Date of the most recent loan transaction not to an employee.

YEAR:

R35Q04Y

MONTH:

R35Q04M

If none (⇒ Part V)

5. Was this loan to ...?

SUPPLIERS ..... 1  
CLIENTS ..... 2  
OTHER ENTERPRISES ..... 3  
RELATIVES/FRIENDS ..... 4  
OTHER ..... 5

R35Q05

6. What was the amount lent in cash?

CEDIS:

R35Q06

7. What was the value of the amount lent in-kind?

CEDIS:

R35Q07

8. What was the maturity, in days?

DAYS:

R35Q08

9. How much did/will you receive in cash as repayment?

CEDIS:

R35Q09

10. What is the value of what you did/will receive in-kind or repayment?

CEDIS:

R35Q10

X. REC 35 Cont'd

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part IV: Informal Lending

11. Was collateral required?

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

(= 14)

R35Q11

12. What was the collateral?

LAND/BUILDINGS ..... 1  
EQUIPMENT ..... 2  
LIVESTOCK ..... 3  
OTHER ..... 4

R35Q12

(DESCRIBE \_\_\_\_\_)

13. What is the value of the collateral?

CEDIS:

R35Q13

14. Other conditions (e.g., third party guarantee, witnesses, penalties)?

DESCRIBE: \_\_\_\_\_

R35Q14

15. Was this the first loan granted to the recipient?

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

R35Q15

16. How long have you known this recipient?

YEARS:

R35Q16Y

MONTHS:

R35Q16M

Codes for Q14:

01 - Third Party Guarantee

02 - Witnesses

03 - Penalties

04 - Payment Taken From Commissions

05 - Contract

06 - Factory Inspection

## 4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

## Part V: Borrowing from Formal and Semi-Formal Institutions

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

1. Did the enterprise receive any overdraft facilities last year?

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

(= 5)

R36Q01

WRITE THE INSTITUTIONS FROM WHICH THE FIRM HAS RECEIVED OVERDRAFTS AND THEN ASK QUESTIONS 2 TO 4

2. What was the total amount of the overdraft facility received from ... [ ] ... last year?

CURRENCY UNIT:

CEDIS ..... 1  
US DOLLAR ..... 2  
POUND/STLG ..... 3  
DM ..... 4

CFA . . . . . 5

3. What percent of the facility received from ... [ ] ... did you use?

4. What rate of interest did you pay on the overdraft facility?

INSTITUTION NAME	AMOUNT	CODE	PERCENT	PERCENT
1. R37LNA	R37Q02AA	R37Q02UA	R37Q03A	R37Q04A
2. R37LNB	R37Q02AB	R37Q02UB	R37Q03B	R37Q04B
3. R37LNC	R37Q02AC	R37Q02UC	R37Q03C	R37Q04C
4. R37LND	R37Q02AD	R37Q02UD	R37Q03D	R37Q04D
5. R37LNE	R37Q02AE	R37Q02UE	R37Q03E	R37Q04E

X. REC 37

## 4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

## Part V: Borrowing from Formal and Semi-Formal Institutions

5. Did the enterprise receive any loans last year?

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

(⇒ 24)

X. REC 38

R38Q05

WRITE THE INSTITUTIONS FROM WHICH  
THE FIRM HAS RECEIVED LOANS AND  
THEN ASK QUESTIONS 6 TO 8

6.

What was the total amount borrowed from ... [ ] ...  
last year?

## CURRENCY UNIT:

CEDIS ..... 1  
US DOLLAR ..... 2  
POUND/STLG ..... 3  
DM ..... 4

CFA ..... 5

7.

What was the interest rate  
charged?

8.

What is the amount  
due on the loan?

X. REC 39

INSTITUTION NAME	AMOUNT	CODE	PERCENT	PERCENT
1. R39LNA	R39Q06AA	R39Q06UA	R39Q07A	R39Q08A
2. R39LNB	R39Q06AB	R39Q06UB	R39Q07B	R39Q08B
3. R39LNC	R39Q06AC	R39Q06UC	R39Q07C	R39Q08C
4. R39LND	R39Q06AD	R39Q06UD	R39Q07D	R39Q08D
5. R39LNE	R39Q06AE	R39Q06UE	R39Q07E	R39Q08E

ASK QUESTIONS 9 TO 21 ABOUT THE MOST RECENT TRANSACTION LISTED ABOVE.

10. What was the date of loan approval?

9. For the latest of these loan transactions, what was the date of application?

YEAR:

R40Q10Y

MONTH:

R40Q10M

YEAR:

R40Q09Y

MONTH:

R40Q09M

X. REC 40

X. REC48

Cont'd

## 4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

## Part V: Borrowing from Formal and Semi-Formal Institutions

11. What was the date of loan disbursement?

YEAR:

R48Q114

MONTH:

R48Q11M

12. What was the amount received in cash?

CEDIS:

R48Q12

13. What was the amount received in-kind?

CEDIS:

R48Q13

14. What was the maturity, in days?

DAYS:

R48Q14

15. What was the interest rate (percent per year)?

(%)

R48Q15

16. Was there collateral?

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

(⇒ 19)

R48Q16

17. What was this collateral?

LAND/BUILDINGS ..... 1  
EQUIPMENT ..... 2  
LIVESTOCK ..... 3  
OTHER ..... 4

R48Q17

(DESCRIBE: \_\_\_\_\_)

18. What is the value of the collateral?

CEDIS:

R48Q18

19. Other conditions (e.g., fees, compensating balances, penalties)

R48Q19

20. Distance to the loan source:

KM:

R48Q20

21. Number of meetings required to negotiate and obtain the loan:

NUMBER:

R48Q21

22. Duration of the commercial relationship with the bank?

MONTHS:

R48Q22

23. How many other possible loan sources of the same type did you contact before securing this one?

NUMBER:

R48Q23

⇒ PART VI

Code for Q19:

01 - Fees

02 - Compensating Balances

03 - Penalties

04 - Payment Guarantee

05 - Company Must Be Limited Liability

99 - Other

X. REC41

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part V: Borrowing from Formal and Semi-Formal Institutions

24. Did the enterprise apply to an institution for a loan last year?

YES ..... 1  
NO ..... 2 (⇒ 26)

R41Q24

25. From which institutions?

(a) INSTITUTION: \_\_\_\_\_

REJECTION REASON: \_\_\_\_\_

R41Q251

(b) INSTITUTION: \_\_\_\_\_

REJECTION REASON: \_\_\_\_\_

R41Q252

(c) INSTITUTION: \_\_\_\_\_

REJECTION REASON: \_\_\_\_\_

R41Q253

⇒ PART VI

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

NO COLLATERAL ..... 1  
DON'T WANT TO INCUR DEBT ..... 2  
PROCESS TOO DIFFICULT ..... 3  
DIDN'T NEED ONE ..... 4  
OTHER ..... 5

R41Q26

(SPECIFY \_\_\_\_\_)

27. Has the firm ever applied for a loan?

YES ..... 1 (⇒ PART VI)  
NO ..... 2

R41Q27

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

NO COLLATERAL ..... 1  
DON'T WANT TO INCUR DEBT ..... 2  
PROCESS TOO DIFFICULT ..... 3  
DIDN'T NEED ONE ..... 4  
OTHER ..... 5

R41Q28

(SPECIFY \_\_\_\_\_)

Codes for 25(a), 25(b), and 25(c):

- 01- Loan Being Processed
- 02- Asked For Postponement
- 03- Don't Know
- 04- Didn't Have Updated Assets
- 05- Missed Deadline
- 06- Not Enough Collateral
- 07- Bank Collapsed
- 08- Firm Has Loan Already
- 09- Irregular Banking Practices
- 10- Firm Output Too Low

X. REC42

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part VI: Informal Borrowing

THIS SECTION ASKS QUESTIONS ON LOANS OR ADVANCES FROM NON-INSTITUTIONAL SOURCES (i.e. FRIENDS, RELATIVES, MONEYLENDERS, INFORMAL GROUPS AND FIRMS OTHER THAN SUPPLIERS OR CLIENTS).

1. Did you borrow from friends, relatives, moneylenders, informal groups and firms other than suppliers or clients in the last year?

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

19  
(= 20)

R42Q01

LIST UP TO THREE SOURCES AND THEN ASK QUESTIONS 2 TO 3	2.	3.
	What was ... [ ] ... ?  FRIEND/RELATIVE ..... 1 MONEYLENDER ..... 2 INFORMAL GROUPS ..... 3 OTHER ..... 4	What is the total amount borrowed in the last year?  CEDIS
NAME		
1. R43LNA	R43Q02A	R43Q03A
2. R43LNB	R43Q02B	R43Q03B
3. R43LNC	R43Q02C	R43Q03C

ASK QUESTIONS 4 TO 19 ABOUT THE MOST RECENT TRANSACTION LISTED ABOVE:

4. For the latest of these informal loan transactions, what was the date of the loan?

YEAR:

R44Q04Y

MONTH:

R44Q04M

5. What was the source of the loan?

FRIEND/RELATIVE ..... 1  
MONEYLENDER ..... 2

R44Q05

6. What was the amount received in cash?

CEDIS:

R44Q06

7. What was the value of the amount received in-kind?

CEDIS:

R44Q07

8. What was the maturity, in days?

DAYS:

R44Q08

9. How much did/will you repay in cash?

CEDIS:

R44Q09

10. What is the value of what you did/will repay in-kind?

CEDIS:

R44Q10

11. Was there collateral?

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

(= 16)

R44Q11

12. What was the collateral?

LAND/BUILDINGS ..... 1  
EQUIPMENT ..... 2  
LIVESTOCK ..... 3  
OTHER ..... 4

R44Q12

← X. REC44 →



X. REC44

cont'd

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part VI: Informal Borrowing

13. What is the value of the collateral?

CEDIS:

R44Q13

14. Other conditions (e.g., third-party guarantee, witnesses, penalties)?

R44Q14

Codes for Q14:

01 - Third Party Guarantee

02 - Witnesses

03 - Penalties

04 - Personal Guarantee

15. Distance to the informal loan sources:

KM:

R44Q15

16. Number of meetings required to negotiate the loan?

Abroad = 9999

NUMBER:

R44Q16

17. How long have you known the lender?

YEARS:

R44Q17Y

MONTHS:

R44Q17M

18. How many other possible loan sources of the same type did you contact before securing this one?

NUMBER:

R44Q18

19. Did the enterprise apply for an informal loan last year?

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

R44Q19

X. REC 45

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part VII: Deposits in Institutions

1. Does the enterprise or the entrepreneur hold deposit accounts at financial institutions?

YES ..... 1  
NO ..... 2 (⇒ 10)

R45Q01

2. How many current (checking) accounts does the enterprise or entrepreneur hold?

NUMBER:

R45Q02

3. For how long have you held these accounts?

YEARS:

R45Q03Y

MONTHS:

R45Q03M

4. How many checks did you write last month?

NUMBER:

R45Q04

5. How many times did you make deposits or withdrawals from these checking accounts at the bank last month?

NUMBER:

R45Q05

6. How many savings accounts (or time deposits) does the enterprise or the entrepreneur hold?

NUMBER:

R45Q06

7. For how long have you held these accounts?

YEARS:

R45Q07Y

MONTHS:

R45Q07M

8. How many times did you use these savings accounts last month (deposits, withdrawals, funds transfers)?

NUMBER:

R45Q08

9. What is the distance to this depository institution?

Abroad = 9999

KM:

R45Q09

10. Do you hold a foreign exchange account?

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

R45Q10

11. Do you hold treasury bills?

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

R45Q11

12. Do you hold other financial assets such as:

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

(a) deposits in other enterprises?

R45Q12A

(b) deposit accounts in foreign institutions?

R45Q12B

X. REC 46

4. FINANCIAL MARKETS AND CONTRACTUAL RELATIONS QUESTIONNAIRE

Part VIII: Deposits and Contributions in Informal Groups or with Individual Intermediaries

1. Does the enterprise or the entrepreneur make deposits or contributions to informal groups?

YES ..... 1  
NO ..... 2 (⇒ 8)

R46Q01

2. For how long have you participated in this group?

MONTHS:

R46Q02

3. How many members are in this group?

NUMBER:

R46Q03

4. What is the frequency of contributions?

TIMES PER MONTH:

R46Q04

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

CEDIS:

R46Q05

6. How is the collective fund allocated?

IN ROTATING ORDER ..... 1  
THROUGH BIDDING ..... 2  
BOTH THROUGH ROTATION  
AND BIDDING ..... 3  
ACCORDING TO MEMBER DEMAND ..... 4

R46Q06

7. Does the group operate all through the year?

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

R46Q07

8. Does the enterprise or the entrepreneur use safekeeping/deposit services of individual intermediaries (money keepers, collectors)?

YES ..... 1  
NO ..... 2 (⇒ Questionnaire V)

R46Q08

9. For how long have you used these services?

MONTHS:

R46Q09

10. What is the frequency of deposits?

TIMES PER MONTH:

R46Q10

11. What is the cost of these services?

CEDIS/MONTH:

R46Q11

X. REC47

# 5. TECHNOLOGY QUESTIONNAIRE

## Part A: Technology Acquisition

Have you had foreign licenses or technical assistance

1. Did you use foreign technology or know-how in the last 10 years?

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

(= PART B)

R47Q01

2. How many foreign licenses (know-how, patents, trademarks) have you had in the past 10 years?

NO.

R47Q02

3. How many foreign licenses do you hold now?

NO.

R47Q03

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

VALUE  
IN CEDIS:

R47Q04

PERCENT  
OF SALES:



5. Do you have a technical assistance contract at present?

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

R47Q05

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

CEDIS:

R47Q06

7. Did you use the services of a foreign engineering or consulting firm during the last three years?

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

(= PART B)

R47Q07

8. How much did the services of the foreign firm cost?

YEAR(S)  
OF USE:

R47Q08

CEDIS:

R47Q08

9. How many expatriates did you employ last year?

NO. OF EXPATRIATES:  
(IF 0, = PART B)

R47Q09

10. In what capacity? DESCRIBE:

R47Q10

Codes for Q10:

01- Managerial

02- Engineering | Technical

03- Accounting | Financial

04- Other

X. REC48

## 5. TECHNOLOGY QUESTIONNAIRE

## Part B: Initial Investment in Plant and Equipment

1. What was the date and cost of the initial plant investment?

YEAR:

CEDIS:

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

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

R48Q02

3. On the basis of what factors did you select your original equipment? RANK THE THREE MOST IMPORTANT, WITH FIRST BEING HIGHEST.

- FAMILIARITY..... 1  
 PRICE ..... 2  
 DURABILITY ..... 3  
 AFTER SALES SUPPORT ..... 4  
 EASY TO OPERATE ..... 5  
 OTHER ..... 6

FIRST:

R48Q031

SECOND:

R48Q032

THIRD:

R48Q033

(SPECIFY: \_\_\_\_\_)

4. What were the most important sources of information for the initial investment in plant and equipment? RANK THE FIVE MOST IMPORTANT, WITH FIRST BEING HIGHEST.

- INDEPENDENT FOREIGN  
 SUPPLIER OF PLANT  
 AND EQUIPMENT..... 1  
 FOREIGN JOINT VENTURE  
 PARTNER/PARENT COMPANY ..... 2  
 FOREIGN BUYERS ..... 3  
 FOREIGN TECHNICAL  
 CONSULTANTS..... 4  
 PUBLICATIONS..... 5  
 FOREIGN TRIPS..... 6  
 TRADE FAIRS..... 7  
 BUSINESS ASSOCIATIONS ..... 8  
 OTHER LOCAL FIRMS..... 9  
 TECHNOLOGY INSTITUTIONS ..... 10  
 OTHER ..... 11

FIRST:

R48Q041

SECOND:

R48Q042

THIRD:

R48Q043

FOURTH:

FIFTH:

(SPECIFY: \_\_\_\_\_)

5. Was training required after setting up the plant?

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

(⇒ PART C)

R48Q05

6. Who provided training after setting up the plant and equipment?

R48Q06

7. How many weeks of training were provided for...

(a) engineers?

(b) production workers

(c) other personnel

8. Where was the training provided?

AT OUR FIRM..... 1  
 ABROAD..... 2  
 LOCALLY, ELSEWHERE..... 3

9. Has your firm made any major additions to production capacity since the initial investment?

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

(⇒ PART C)

R48Q09

Code for Q6:

- 01 - Foreign Partner  
 02 - Foreign Tech Assistance  
 03 - Local Tech Assistance  
 04 - In-house Training  
 05 - Foreign Supplier  
 06 - Foreign & Local

## 5. TECHNOLOGY QUESTIONNAIRE

### Part B: Initial Investment in Plant and Equipment

10. What were the three main reasons for not expanding capacity? RANK IN ORDER OF IMPORTANCE WITH FIRST BEING HIGHEST.

- COMPETITION FROM LOCAL PRODUCERS (LOCAL OR FOREIGN SUBSIDIARIES)..... 1
- COMPETITION FROM IMPORTS ..... 2
- DIFFICULTIES IN OBTAINING FINANCE FOR INVESTMENT ..... 3
- HIGH COST OF FINANCE ..... 4
- INSUFFICIENT GROWTH IN DEMAND ..... 5
- UNCERTAINTY ABOUT GOVERNMENT POLICIES ON INDUSTRY ..... 6
- LACK OF ACCESS TO RAW MATERIALS AND COMPONENTS ..... 7
- LACK OF ACCESS TO EQUIPMENT ..... 8
- LACK OF ACCESS TO FOREIGN TECHNOLOGY (LICENSES) ..... 9
- LACK OF SKILLED MANPOWER ..... 10
- LACK OF TECHNICAL/ SUPERVISORY STAFF ..... 11
- UNRELIABLE INFRASTRUCTURE (POWER, TRANSPORT, AND COMMUNICATIONS) ..... 12
- HIGH COSTS OF INFRASTRUCTURE (POWER, TRANSPORT, AND COMMUNICATIONS) ..... 13

FIRST:

SECOND:

THIRD:

X. REC49

## 5. TECHNOLOGY QUESTIONNAIRE

Three Most Recent

1983

Part C: Major Additions or Changes in Plant and Equipment Since ~~1980~~

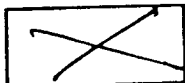
(USE A COPY OF THIS SECTION FOR EACH MAJOR ADDITION OR CHANGE IN PLANT EQUIPMENT)

1. When did the investment(s) take place?

YEAR:

R49Q01

MONTH:



2. How much did it cost?

CEDIS:

R49Q02

3. Was the equipment new or used?

NEW ..... 1  
USED ..... 2

R49Q03

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

PRODUCE SAME PRODUCT,  
IMPROVE PROCESS ..... 1  
PRODUCE SAME PRODUCT,  
ADD TO CAPACITY ..... 2  
INTRODUCE NEW PRODUCTS ..... 3 (⇒ 7)  
PRODUCE DIFFERENT VARIETY  
OF SIMILAR PRODUCT ..... 4 (⇒ 7)  
OTHER ..... 5

R49Q04

(SPECIFY: \_\_\_\_\_)

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

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

R49Q05

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

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

R49Q06

7. What were the most important sources of information on the equipment? RANK THE FIVE MOST IMPORTANT, WITH FIRST BEING HIGHEST.

INDEPENDENT FOREIGN  
SUPPLIER OF PLANT  
AND EQUIPMENT ..... 1  
FOREIGN JOINT VENTURE  
PARTNER/PARENT COMPANY ..... 2  
FOREIGN BUYERS ..... 3  
FOREIGN TECHNICAL  
CONSULTANTS ..... 4  
PUBLICATIONS ..... 5  
FOREIGN TRIPS ..... 6  
TRADE FAIRS ..... 7  
BUSINESS ASSOCIATIONS ..... 8  
OTHER LOCAL FIRMS ..... 9  
TECHNOLOGY INSTITUTIONS ..... 10  
OTHER ..... 11

FIRST:

R49Q071

SECOND:

R49Q072

THIRD:

R49Q073

FOURTH:



FIFTH:



(SPECIFY: \_\_\_\_\_)

8. How long did it take for the plant to reach its new rated capacity?

99 = never

MONTHS:

R49Q08

9. Did you carry out any technical adaptation to the equipment?

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

(⇒ 14)

R49Q09

X. REC50

5. TECHNOLOGY QUESTIONNAIRE

Part C: Major Additions or Changes in Plant and Equipment Since the Initial Investment  
(USE A COPY OF THIS SECTION FOR EACH MAJOR ADDITION OR CHANGE IN PLANT EQUIPMENT)

10. What was the purpose of the adaptation? Respond yes to all that apply.

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

(a) To adapt to local materials?

R50Q101

(b) To adapt to smaller size?

R50Q102

(c) To adapt to lower speed?

R50Q103

(d) To reduce maintenance needs?

R50Q104

(e) To adapt to local climate?

R50Q105

(f) To reduce need for skilled operators?

R50Q106

(g) Other?

R50Q107

(SPECIFY: \_\_\_\_\_)

11. Who carried out the adaptation?

Cods From Pg. 44 Q6 R50Q11

12. Was technical assistance provided for the adaptation?

YES ..... 1  
NO ..... 2 (⇒ 14)

R50Q12

13. Who provided the technical assistance?

Cods From Pg. 44 Q6 R50Q13

14. Was there any training for the addition to plant equipment?

YES ..... 1  
NO ..... 2 (⇒ PART D)

R50Q14

15. Who provided the training?

Cods From Pg. 44 Q6 R50Q15

16. How long did the training take?

MONTHS:

R50Q16M

WEEKS:

R50Q16W

17. Where was the training conducted?

IN THE PLANT ..... 1  
ABROAD ..... 2  
LOCALLY, ELSEWHERE ..... 3

R50Q17

(SPECIFY: \_\_\_\_\_)



X. REC51

5. TECHNOLOGY QUESTIONNAIRE

Part D: In-house Technological Efforts

1. Does your firm carry out research and development activities? DO NOT COUNT QUALITY CONTROL OR MAINTENANCE ACTIVITIES EVEN IF ENGINEERS AND SCIENTISTS ARE EMPLOYED IN THEM.

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

(= 5)

R51Q01

2. How many scientists and engineers did your firm employ during the last three years?

	1989	1990	1991
Total No. of Scientists			R51Q02A
Total No. of Engineers			R51Q02B
% of Scientists in Research and Development			R51Q02C
% of Engineers in Research and Development			R51Q02D

3. How much money have you spent on research and development during the last three years?

	1989	1990	1991
CEDIS			R51Q03A
US DOLLARS			

X. REC52

4. <sup>What is</sup> Rank your firm's ~~three~~ main achievements in research and development. ~~Rank~~ <sup>Rank</sup> ~~the~~ <sup>the</sup> ~~highest~~ <sup>HIGHEST</sup>.

INTRODUCTION OF NEW PRODUCTS ..... 1

FIRST:

R51Q04

IMPROVEMENT IN PRODUCT QUALITY ..... 2

SECOND:

X

LOWERED COST OF PRODUCTION ..... 3

THIRD:

X

(SPECIFY IN WHAT WAY: \_\_\_\_\_)

IMPROVEMENT IN PROCESS QUALITY (LOWER REJECT RATES) ..... 4

OTHER ..... 5

(SPECIFY: \_\_\_\_\_)

FOR THE GENERAL MANAGER AND THE PRODUCTION OR PLANT MANAGER, ASK QUESTIONS 5 TO 8	5. How many years has [...] been in the present business?  YEARS	6. How many years have [...] been in the previous business?  YEARS <i>How many years of work experience did you have prior to this job?</i>	7. Highest level of education?  NONE ..... 1 PRIMARY ..... 2 SECONDARY ..... 3 UNIVERS/ NON-TECHNIC ..... 4 UNIVERS/ TECHNICAL ..... 5 POSTGRADUATE (GHANA) ..... 6 POSTGRADUATE (ABROAD) ..... 7	8. Origin of ... [...] ... ?  GHANA ..... 1 OTHER ..... 2
General manager 01	R52Q05A	R52Q06A	R52Q07A	R52Q08A
Production or plant manager 02	R52Q05B	R52Q06B	R52Q07B	R52Q08B

R52LNA

R52LNB

X. REC53

5. TECHNOLOGY QUESTIONNAIRE

Part D: In-house Technological Efforts

ASK QUESTIONS 9 TO 11 ABOUT EACH PARTICULAR TECHNOLOGY INSTITUTION LISTED BELOW			
	9. How many times did you use [...] last year?  TIMES	10. How much did it cost?  CEDIS	11. How do you rate the quality of service provided by [...]?  VERY POOR .....1 POOR.....2 SATISFACTORY .....3 GOOD.....4 VERY GOOD.....5
R53LNA Food Research Institute 01	R53	R53Q10A	R53Q11A
R53LNB Industrial Research Institute 02	R53Q09B	R53Q10B	R53Q11B
R53LNC Ghana Instrumentation Centre 03	R53Q09C	R53Q10C	R53Q11C
R53LND Ghana Standards Board 04	R53Q09D	R53Q10D	R53Q11D
U.S.T. R53LNE Kumasi Technical University 05	R53Q09E	R53Q10E	R53Q11E
GRATIS R53LNF 06	R53Q09F	R53Q10F	R53Q11F
ITTU R53LNG 07	R53Q09G	R53Q10G	R53Q11G
Other R53LNH, 08 (Specify:)	R53Q09H	R53Q10H	R53Q11H

12. Does your plant have a unit, or personnel, permanently assigned to the improvement of plant productivity?

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

(⇒ PART E)

R54Q12

X. REC54

13. What are the <sup>3</sup> most important constraints to improve productivity? RANK FROM FIRST TO ~~LAST~~ WITH FIRST THE HIGHEST.  
*Third*

AVAILABILITY OF INFORMATION  
ON TECHNOLOGY .....1

FIRST: R54Q131

AVAILABILITY OF FINANCE .....2

AVAILABILITY OF ENGINEERING  
MANPOWER .....3

SECOND: R54Q132

AVAILABILITY OF TECHNICIANS  
AND SKILLED WORKERS .....4

THIRD: R54Q133

AVAILABILITY OF IMPORTS OF  
TECHNOLOGY .....5

~~FOURTH:~~

AVAILABILITY OF EXTERNAL  
TRAINING FACILITIES .....6

~~FIFTH:~~

AVAILABILITY OF LOCAL  
CONSULTANTS .....7

SUPPORT OF SCIENCE AND  
TECHNOLOGY INSTITUTIONS .....8

SUPPORT FROM STANDARDS  
INSTITUTIONS .....9

LEVEL OF DEMAND (SIZE) .....10

OTHER

(SPECIFY: \_\_\_\_\_)

X. REC55

# 5. TECHNOLOGY QUESTIONNAIRE

## Part E: Procurement

3 most recent changes in plant and equipment?

1. State the sources of your equipment acquisitions in the last three years, by percentage of value:

	1st 1990	2nd 1990	3rd 1990
In-house manufacture	R55Q01A1	R55Q01B1	R55Q01C1
Imported	R55Q01A2	R55Q01B2	R55Q01C2
Locally produced	R55Q01A3	R55Q01B3	R55Q01C3

Wrong

2. State the sources of your spare parts and components acquisitions in the last three years, by percentage of value expenditure:

	1989	1990	1991
In-house manufacture			R55Q02A1
Imported			R55Q02B1
Locally produced			R55Q02C1

1991 or most recent

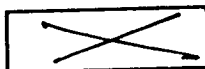
3. What percentage of your spare parts and components were subcontracted locally (i.e. purchased on a long-term contract basis) last year?

(%) R55Q03

4. Would you like to be able to sub-contract a larger proportion of these parts?

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

(= 0)



Why don't you subcontract more?

5. If you answered yes to question 4, state below the reasons why you are unable to do so.

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

- (a) Lack of reliable suppliers  
(b) Quality problems  
(c) Prefer imports  
(d) Other

(SPECIFY: \_\_\_\_\_)

R55Q05

6. How frequently do you provide your main suppliers of materials, parts and components with the following types of technical assistance?

NEVER ..... 1  
OCCASIONALLY ..... 2  
OFTEN ..... 3

- (a) product designs and blueprints  
(b) visits to their plants by your engineers  
(c) undertaking joint product development with them  
(d) their engineers and technicians receive training in your plant  
(e) other

(SPECIFY: \_\_\_\_\_)

R55Q06A

R55Q06B

R55Q06C

R55Q06D

R55Q06E

## 6. INFRASTRUCTURE QUESTIONNAIRE

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

NO PROBLEM.....1  
 SMALL PROBLEM.....2  
 BIG PROBLEM.....5 } Scale of 1-5

(a) electricity?

R56Q01A

(b) water?

R56Q01B

(c) public transport?

R56Q01C

(d) roads?

R56Q01D

(e) telephones?

R56Q01E

(f) air and sea ports?

R56Q01F

(g) waste disposal?

R56Q01G

(h) other (Specify: \_\_\_\_\_)

R56Q01H

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

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

2. Which of the above is the greatest problem?

ELECTRICITY.....1  
 WATER.....2  
 PUBLIC TRANSPORT.....3  
 ROADS.....4  
 TELEPHONES.....5  
 AIR AND SEA PORTS.....6  
 WASTE DISPOSAL.....7

R56Q02

3. Electricity is a problem because of...

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

(SPECIFY: \_\_\_\_\_)

R56Q03

4. Water is a problem because of...

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

(SPECIFY: \_\_\_\_\_)

R56Q04

5. Public transport is a problem because...

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

(SPECIFY: \_\_\_\_\_)

R56Q05

6. Telephones are a problem because...

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

(SPECIFY: \_\_\_\_\_)

R56Q06

6a. Roads are a Problem because...

Not Available.....1  
 Not in Good Condition.....2  
 Not all-weather.....3  
 Congestion.....4

R56Q06A

X. REC 56

cont'd

6. INFRASTRUCTURE QUESTIONNAIRE

7. Ports are a problem because...

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

R56Q07

SPECIFY: \_\_\_\_\_

8. Waste disposal is a problem because...

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

R56Q08

SPECIFY: \_\_\_\_\_

9. Does the firm provide its own...

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

(a) generators?

R56Q09A

(b) wells/cisterns?

R56Q09B

(c) CB/Walkie-talkie/Radio

R56Q09C

(d) roads?

R56Q09D

(e) transportation for workers?

R56Q09E

(f) waste disposal?

R56Q09F

(g) loading/unloading labor for the ports?

R56Q09G

X. REC57

7. REGULATORY QUESTIONNAIRE

Part A: Ownership

1. Has your firm been affected by government regulations concerning ownership?

YES .....1  
NO .....2 (⇒ 4)

R57Q01

2. Have you...

INCREASED THE PERCENTAGE  
OF LOCAL OWNERSHIP .....1

REDUCED THE PERCENTAGE  
OF LOCAL OWNERSHIP .....2

R57Q02

3. Have you...

INCREASED STATE OWNERSHIP .....1  
REDUCED STATE OWNERSHIP .....2

R57Q03

Part B: ~~Ownership~~ TAXES

4. What rate of corporate tax are you subject to?

X. REC58

(%) R58Q04

5. What rate of sales tax are you subject to?

(%) R58Q05

6. What rate of excise tax are you subject to?

CEDIS:

R58Q06A

per

R58Q06U

(unit of measure)

7. What rate of duty do you pay on your imported inputs?

3 most important

INPUT 1

(%)

R58Q071

INPUT 2

(%)

R58Q072

INPUT 3

(%)

R58Q073

8. Do you receive any tax rebates, apart from the duty drawback scheme?

YES .....1  
NO .....2 (⇒ 10)

R58Q08

9. How much of a rebate do you receive?

(%)

R58Q09

10. Does your firm receive a capital allowance for tax purposes?

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

R58Q10

11. Are you subject to the Selective Alien Employment Tax?

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

R58Q11

12. Has the firm ever applied for duty drawback?

YES .....1  
NO .....2 (⇒ 15)

R58Q12

13. Did you receive the duty drawback?

YES .....1  
NO .....2 (⇒ 15)

R58Q13

# 7. REGULATION QUESTIONNAIRE

14. How long did it take your firm to receive the duty drawback?

X. REC 58  
Cont'd

YEARS:

R58Q14Y

MONTHS:

R58Q14M

## Part C: Investment Code

15. Has your firm applied to the Ghana Investment Centre for Benefits under the Investment Code?

YES .....1  
NO .....2 (⇒ 19)

R59Q15

16. Has your firm received benefits under the Investment Code?

YES .....1  
NO .....2 (⇒ 19)

R59Q16

17. How long did it take for your application to the G.I.C. to be processed?

YEARS:

R59Q17Y

MONTHS:

R59Q17M

18. Which of the following have your received?

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

(a) Exemptions from duties on imported machinery?

R59Q18A

(b) Reductions in company tax rates?

R59Q18B

(c) Rebates on tax due?

R59Q18C

(d) Deferrals and/or reductions in income tax?

R59Q18D

(e) Accelerated Depreciation?

R59Q18E

(f) Regional tax deductions?

R59Q18F

(g) Other (SPECIFY: \_\_\_\_\_)

R59Q18G

19. How important are the following regulations for the operation of your firm?

NOT IMPORTANT .....1  
MODERATELY IMPORTANT .....2  
VERY IMPORTANT .....5

} Scale of 1-5

(a) restrictions on the activities in which you can participate?

R59Q19A

(b) capital requirements?

R59Q19B

(c) joint venture restrictions?

R59Q19C

(d) restrictions on access to domestic capital?

R59Q19D

(e) restrictions on repatriation of profits?

R59Q19E

X. REC 59

X. REC60

7. REGULATION QUESTIONNAIRE

Part D: Labor Regulations

ASK QUESTIONS 20 AND 21 FOR EACH LABOR REGULATION LISTED BELOW:

	20. Are you subject to this labor regulation?  YES ..... 1 NO ..... 2	21. Has the labor regulation raised your costs, decreased your revenues or constrained your activities?  NOT AT ALL ..... 1 MODERATELY ..... 2 SEVERELY ..... 5
1. Minimum wage legislation? R601RCA	R60Q20A	R60Q21A
2. Hiring restrictions R601RCB	R60Q20B	R60Q21B
3. Limits on temporary hiring? R601RCC	R60Q20C	R60Q21C
4. Layoff restrictions? R601RCD	R60Q20D	R60Q21D
5. Layoff benefit requirements? R601RCE	R60Q20E	R60Q21E
6. Other? R601RCF Specify:	R60Q20F	R60Q21F

← On a scale of 1 to 5, how has the labor regulation affected you?



X. REC61

## 7. REGULATION QUESTIONNAIRE

## Part E: Licenses

ASK QUESTIONS 22 TO 23 ABOUT EACH LICENSE LISTED:

22.

Are you required to obtain . . . [....] . . ?

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

23.

How long did it take to acquire . . . [....] . . ?

WEEKS

DAYS

24.

How often do you have to renew . . . [....] . . ?

EVERY 2 YEARS ..... 1  
YEARLY ..... 2  
EVERY 6 MONTHS ..... 3  
NEVER ..... 4  
OTHER ..... 5

25.

Did you have to pay for the assistance of an agent or anyone else to help you with . . . [....] . . ?

YES ..... 1  
NO ..... 2  
(⇒ PART F)

26.

How much did you pay for the license, plus fees for assistance?

CEDIS

20

Registrar General's Office

R61LCA

R61Q22A

R61Q23WA

R61Q23DA

R61Q24A

R61Q25A

R61Q26A

01

MIST 1 : commencement

R61LCB

02

MIST 2 : expansion

R61LCC

03

MIST 3 : other (specify)

R61LCD

04

MIST 4 : other (specify)

R61LCE

License to Manufacture

300

Ghana Investment Centre (1)

R61LCF

400

Ghana Investment Centre (2)

R61LCG

500

Ghana Standards Board

R61LCH

500

Industry Specific License

R61LCI

701

Other (1) (Specify:

R61LCJ

702

Other (2) (Specify:

R61LCK

703

Other (3) (Specify:

R61LCF

R61LCP

X. REC 62

7. REGULATION QUESTIONNAIRE

Part F: Price Controls

27. Is your business affected by any of the following?

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

(a) Price controls on inputs?

R62Q27A

(b) Price controls on outputs?

R62Q27B

(c) Controls on access to foreign exchange?

R62Q27C

28. What outputs are price controlled? List:

R62Q28

Code 01 = lumber

02 = telephone poles

29. What inputs are price controlled? List:

R62Q29

X. REC63

7. REGULATION QUESTIONNAIRE

Part G: Firm Expansion

30. What problems do foreign exchange controls create:

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

(a) Delays in obtaining foreign exchange?

R63Q30A

(b) Availability of foreign exchange?

R63Q30B

(c) Paperwork required?

R63Q30C

(d) Other? (Specify: \_\_\_\_\_)

R63Q30D

After 30 (Questionnaire 8)

31. How severe is each of the following problems as an obstacle to expansion of your firm?

NOT AT ALL .....1  
MODERATE OBSTACLE .....2  
SEVERE OBSTACLE .....5 } Scale of 1-5

(a) Ownership regulations?

R63Q31A

(b) Taxes?

R63Q31B

(c) Gaining investment benefits?

R63Q31C

(d) Government restrictions on activities?

R63Q31D

(e) Labor regulations?

R63Q31E

(f) Difficulty in obtaining licenses?

R63Q31F

(g) Price controls?

R63Q31G

(h) Foreign exchange controls?

R63Q31H

(i) Lack of business support services?

R63Q31I

(j) Lack of infrastructure?

R63Q31J

(k) Utility prices?

R63Q31K

(l) Lack of credit?

R63Q31L

(m) No demand?

R63Q31M

(n) Location regulations

R63Q31N

(o) Competition from Imports

R63Q31O

(p) Other? (SPECIFY: \_\_\_\_\_)

R63Q31P

32. What are the three greatest constraints on expansion of your firm?

OWNERSHIP REGULATIONS.....1  
TAXES.....2  
GOVERNMENT RESTRICTIONS ON  
ACTIVITIES.....3  
GAINING INVESTMENT BENEFITS.....4  
LABOR REGULATIONS.....5  
DIFFICULTY IN OBTAINING LICENSES.....6  
PRICE CONTROLS.....7  
LACK OF BUSINESS SUPPORT SERVICES.....8  
LACK OF INFRASTRUCTURE.....9  
UTILITY PRICES.....10  
LACK OF CREDIT.....11  
NO DEMAND.....12  
~~OTHER~~ Foreign Exchange.....13

Competition From Imports.....14

Competition From Local Firms...15

Uncertainty about Govt industry policies...16

Lack of Skilled Manpower...17

Other (Specify: \_\_\_\_\_) 18

FIRST

R63Q321

SECOND

R63Q322

THIRD

R63Q323

X. REC 64

8. BUSINESS SUPPORT SERVICES

1. Have you ever received assistance or information services from ... ?

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

(a) MIST?

R64SCA

If yes, specify type of assistance: \_\_\_\_\_

(b) Ghana Investment Centre?

R64SCB

If yes, specify type of assistance: \_\_\_\_\_

(c) NBSSI?

R64SCC

If yes, specify type of assistance: \_\_\_\_\_

(d) GRATIS/I.T.T.U.'s?

R64SCD

If yes, specify type of assistance: \_\_\_\_\_

(e) Association of Ghana Industries?

R64SCE

If yes, specify type of assistance: \_\_\_\_\_

(f) Assoc. for S.S.I.?

R64SCF

If yes, specify type of assistance: \_\_\_\_\_

(g) Industry Association?

R64SCG

If yes, specify type of assistance: \_\_\_\_\_

(h) Chamber of Commerce?

R64SCH

If yes, specify type of assistance: \_\_\_\_\_

(i) Trade Fairs?

R64SCI

If yes, specify type of assistance: \_\_\_\_\_

(j) Export Promotion Council

R64SCJ

If yes, specify type of assistance: \_\_\_\_\_

(k) Ghana Employer's Association?

R64SCK

If yes, specify type of assistance: \_\_\_\_\_

X. REC65

9. CONFLICT RESOLUTION QUESTIONNAIRE

Part A: Frequency of Conflict

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

YES ..... 1  
NO ..... 2 (⇒ 3)

R65Q01

2. How many times in the past year have you had problems with late payment by a client?

NO. OF TIMES:

R65Q02

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

YES ..... 1  
NO ..... 2 (⇒ 5)

R65Q03

4. How many times in the past year have you had problems with non-payment by a client?

NO. OF TIMES:

R65Q04

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

YES ..... 1  
NO ..... 2 (⇒ 7)

R65Q05

6. How many times in the past year have you had problems with late delivery of inputs/services?

NO. OF TIMES:

R65Q06

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

YES ..... 1  
NO ..... 2 (⇒ 9)

R65Q07

8. How many times in the past year have you had any problem with deficient quality of inputs/services?

NO. OF TIMES:

R65Q08

9. During the past year have you had any labor disputes?

YES ..... 1  
NO ..... 2 (⇒ 11)

R65Q09

10. How many times in the past year have you had labor disputes?

NO. OF TIMES:

R6510

11. During the last year have you had any disputes with your competitors?

YES ..... 1  
NO ..... 2 (⇒ 13)

R6511

12. How many times in the last year have you had any disputes with your competitors?

NO. OF TIMES:

R6512

13. Have you ever gone to court to settle a business dispute?

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

R6513

X. REC66

9. CONFLICT RESOLUTION QUESTIONNAIRE

Part B: Most Recent Conflict

14. Describe the most recent case of dispute among those listed in Part A:

R66Q14

21. Did you use private arbitration?

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

R66Q21

15. In this most recent case of dispute, which of the following best describes the other party?

INDIVIDUAL ..... 1  
SMALL FIRM ..... 2  
LARGE FIRM (>100 EMPLOYEES) ..... 3  
GOVERNMENT ..... 4  
UNION ..... 5

(⇒ 17)  
(⇒ 17)

R66Q15

PRIVATE INDIVIDUAL ..... 1  
PUBLIC OFFICIAL ..... 2  
BUSINESS ASSOCIATION ..... 3  
TRADITIONAL AUTHORITY ..... 4  
OTHER ..... 5

(SPECIFY: \_\_\_\_\_)

R66Q22

16. Was the other party a relative of yours?

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

R66Q16

23. Did you hire a lawyer to resolve the conflict?

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

R66Q23

17. Was this your first transaction with this party?

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

(⇒ 19)

R66Q17

24. Did you go to court?

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

R66Q24

18. How long had you had a business relationship with this party?

YEARS:

R66Q18Y

MONTHS:

R66Q18M

25. Was the dispute settled?

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

(⇒ 24)

R66Q25

19. Was the other party a public agency?

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

R66Q19

26. Are you satisfied with the outcome?

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

R66Q26

20. Did you use direct bargaining with the other party?

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

R66Q20

27. Are you still doing business with this party?

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

R66Q27