

**DRAFT**

**MICRO AND SMALL ENTERPRISE BASELINE SURVEY  
IN CENTRAL AND NORTHERN MOZAMBIQUE**

**Summary of Survey Objectives,  
Methodology and Contents  
Working Paper No. 20**

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## I. INTRODUCTION AND SURVEY OBJECTIVES

This summary provides information about some basic aspects of the Mozambique's Micro and Small Enterprise (MSE) Baseline Survey carried out in the fall of 1996. It presents in more detail the Survey Approach Section of the Baseline Research Results Paper: "Micro and Small Enterprises in Central and Northern Mozambique: Preliminary Results of a 1996 Survey". The topics covered are:

- . Survey Objectives;
- . Survey Sampling Procedures;
- . Fieldwork and Data Management; and
- . Contents of the Survey Instruments.

The MSE concept have been defined in many ways. For the proposes of this survey, bearing in mind that one of the major goals is to uncover the part of the rural and urban economies that is not revealed in the Agricultural Sector Survey, we defined it in the following strict way:

**Micro and Small Enterprises (MSEs)** are all activities or businesses, employing 50 or fewer people (1-10 workers is Micro and 11-50 is Small), engaged in non-farm, non-livestock, cash (or in-kind) income generating activities. These businesses are usually owned by single or multiple individuals (members of the same household or not), and are classified in four major types: 1) Manufacturing/Processing of goods for sale; 2) Trade, i.e., purchase and sale of goods; 3) Provision of services; and 4) Fishing and Extraction activities<sup>1</sup>.

The **general objective** of this survey is to improve the knowledge about the structure and performance of the Micro and Small Enterprise sector in the urban and rural areas of central and northern Mozambique to better recommend policy measures and direct interventions that promote their growth and impact in economic development.

**Specific objectives** include:

- a. Estimate the number of MSEs operating in the survey areas, and the types of activities that are performed by these MSEs;
- b. Evaluate the growth rates of these firms, identifying which types had the highest growth and the reasons behind it, to promote the future growth of the sector;

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<sup>1</sup> The description of the economic activity was very detailed in the data collection process, i.e., a classification that captures type of product, sector of activity, and level of marketing transaction (annexes 3 and 7). For analytical proposes, however, we used the International Standard Industrial Classifications (ISIC) of All Economic Activities, and worked with 4, 2, and 1 digit ISICs depending on the level of detail needed.

- c. Identify the structure of the MSE sector, regarding gender, type of ownership, and the employment generated, i.e., how many are owned by women? how many consist of only one person working alone? how many people are employed in each enterprise? Is there any causal relationship across these dimensions? Is there any relationship between the type of activity and the number of employees?
- d. Evaluate the contribution of the MSE sector to the household and the national income, the importance of this income in the overall household income generation and its uses;
- e. Identify the types of assistance that the MSEs have received and their sources, as well as their future need for technical, managerial and financial assistance;
- f. Identify the general problems (access to inputs, output and credit markets, etc) and problems related to the economic policy environment faced by the MSE sector (government regulations, tax burdens, etc).

## II. SURVEY SAMPLING METHODS

The survey was undertaken in both rural and urban areas of central and northern Mozambique. A different sampling approach was used in rural and urban areas, as follows.

### A. Rural Areas

This part of the survey was implemented along with the Ministry of Agriculture Annual Agricultural Sector Household Survey. The sampling procedures presented here, up to the level of household selection, are essentially those used in that survey. Starting from that point, the survey in rural areas followed the **Household-Member-Enterprise Approach (HHMEA)**.

#### 1. Selection of Districts Villages and Households

The Agricultural Sector Survey in Mozambique was undertaken in the 10 provinces, covering 60 districts. The MSE Survey covered only 5 provinces and a **total of 34 districts**. The distribution of districts among these provinces was the following: Nampula (11), Zambezia (13), Tete (1), Manica (4) and Sofala (5).

The following Table summarizes the sampling procedures for the selection of districts, villages and households nationwide.

**Table 1. District, Village and Household Selection Procedures in Rural Areas**

Unit of Selection	Sampling Method	Weighting Factors
Districts	Weighted Random Sampling	. Total Population/district
Villages	Weighted Random Sampling	. Total Population or HHs/village
Households	Systematic Sampling	. None

As indicated above, the total number of districts in the 5 provinces was 34, as a result of the weighted random sampling procedure. Then, in each of these districts, 12 villages were identified using weighted random sampling. **The survey covered primarily the first 8** of those 12 in each district. The other 4 were substitute villages, to be picked up in case any of the eight become unreachable. So, in total the Agricultural and MSE Survey in the 5 provinces covered **272 Villages** (34 Districts \* 8 Villages/District).

For each of the selected villages, lists of households were available. In each village, 12 households were selected using **systematic sampling**, and **the first 8 of those 12 Households listed were subject to the survey instruments**. In total, the Survey covered, in the 5 provinces, **2,176 Rural Households** (272 Villages \* 8 Households/Village).

Each of these households was subject to the standard Agricultural Sector Survey (see details below).

## **2. MSE Survey Household-Member-Enterprise Approach (HHMEA)**

In the **Household Characteristics Section of the Agricultural Survey - Part D (annex 1)**, after getting the household composition and the basic information about each member, a crucial question connects it with the MSE Survey HHMEA: **Does this household member run a non-agricultural activity on his/her own account?**

In contrast to the Business Site/Location Approach (BSA), which consists of visits to business sites, both houses and non-residential places of business, the HHMEA starts from this question at the household level, and then traces those who have a MSE in each household. Still in the Agricultural Survey, for those members who have MSEs, the following question is asked: **How many activities does this member own?**

This information is passed on to the **Village Level Control Sheet (annex 4)**, and a summary of Household, Member and Activity Type Identification and Current Operating Status is registered in the **Household Level MSE Instrument (annex 5)**.

Once the household members and the types of activities are identified and reported, a detailed **Member/Enterprise Questionnaire (annex 6)** was administered for each activity reported, being the interview conducted with the member that owns it, or with someone else close to the business in case the owner was not available.

This approach, while taking advantage of targeting the households covered by the Agricultural Survey which may allow a richer and integrated analysis of the household economy, provides data at the Individual/Enterprise level and will allow us to better estimate the incidence and importance of MSEs for the household: each enterprise is connected to a member of a household selected and interviewed in the Agricultural Survey.

The main concern in using this approach is that, since it is not always based on a physical identification at a business site, it requires a very careful probing to investigate the existence of businesses in the household that qualify for the MSE survey. The MSE definition needs to be very clear and enumerators must be very well trained to carry out this search. To help the field teams, a sheet was prepared providing "**Tips for Household/Member MSE Identification**" (annex 2).

Up to the level of the household, it was possible to anticipate the number of units of observation (households) for the Agricultural Survey. The number of households with at least one member owning a MSE and the total number of MSEs to be interviewed could only be determined ex-post. The results of this sampling procedure are presented in the table below.

**Table 2. Rural Areas Sample Size Definition and MSE Incidence**

Province/District	Number of Villages	Number of Households	Number of Households with MSEs	Total Number of MSEs
03 Nampula	88	704	247	287
306 Malema	8	64	26	30
308 Meconta	8	64	17	18
311 Mogovolas	8	64	38	49
312 Moma I & II	16	128	50	65
313 Monapo	8	64	20	21
317 Murrupula	8	64	27	27
318 Nacala-a-velha	8	64	15	15
319 Nampula	8	64	23	23
320 Ribaué	8	64	20	27
322 Namapa	8	64	11	12
04 Zambezia	104	832	273	315
401 Alto Molocue	8	64	28	39
405 Ile	8	64	29	33
406 Inhassunge	8	64	17	18
407 Lugela	8	64	14	16
408 Maganja da Costa	8	64	19	19
409 Milange	8	64	10	10
410 Mocuba	8	64	16	16
411 Mopeia	8	64	15	17
412 Murrumbala	8	64	26	31
413 Namacurra	8	64	26	27
414 Namarroi	8	64	15	15
415 Pebane	8	64	25	25
416 Nicoadala	8	64	33	49
05 Tete	8	64	29	42
510 Mutarara	8	64	29	42
06 Manica	32	256	106	146
602 Gondola	8	64	33	44
603 Guro	8	64	20	27
607 Sussundenga	8	64	37	57
608 Tambara	8	64	16	18
07 Sofala	40	320	111	158
701 Buzi	8	64	28	44
703 Chemba	8	64	25	34
704 Cheringoma	8	64	18	21
705 Chibabava	8	64	19	26
708 Marromeu	8	64	21	33
<b>Total</b>	<b>272</b>	<b>2,176</b>	<b>766</b>	<b>948</b>

## B. Urban Areas

In Urban areas, the MSE traditional approach - the Business Site/Location approach - was used. In total, the survey covered 8 cities, 2 in each (the capital city and one secondary city) of the 4 provinces (Nampula, Zambezia, Manica and Sofala). Tete province was not included in the urban survey. For each of these cities, population data were available. A list of *Quarteiroes* (the smallest sampling unit) by Bairro (Neighborhood) by City was used to proceed with the selection. Two types of *Quarteiroes* (QRTs) were selected, namely:

- . Residential *Quarteiroes*; and
- . City Market *Quarteiroes*.

The sampling approach for each of these segments was considerably different.

### 1. Residential *Quarteiroes*

Overall, 60 residential QRTs were surveyed. The selection process used the following procedures:

#### Determination of the Number of Residential QRTs to be Enumerated in Each City

To define the number of Residential QRTs to be covered in each city, the following steps were completed:

- a. List of number of QRTs in each city  $j$  ( $j$  from 1 to 8);
- b. From this data the following information was collected:
  - . Number of residential QRTs by city ( $Q_j$ )
  - . Total number of QRTs in the 8 cities (TQ)
  - . Share of QRTs for each city in the total,  $WC_j=Q_j/TQ$
- c. Total number of residential QRTs to be surveyed (TEQ=60)
- d. Number of QRTs to be surveyed in each city,  $CEQ_j=WC_j*TEQ=WC_j*60$

Table 3 gives the summary of results for this procedure.<sup>2</sup>

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<sup>2</sup> **Determination of number of residential *quarteiroes* to be surveyed:** Consider  $Q_{ij}$  to be *quarteirao*  $i$  in city  $j$ . The total number of existing *quarteiroes* in city  $j$  is  $Q_j=\sum_{i=1}^n Q_{ij}$ . The total number of *quarteiroes* in the 8 cities is given by  $TQ=\sum_{j=1}^8 \sum_{i=1}^n Q_{ij}=\sum_{j=1}^8 Q_j$ . Then the weight of each city is  $WC_j=Q_j/TQ$ . Provided that the pre-determined number of *quarteiroes* to be surveyed is TEQ=60, the number of *quarteiroes* to be selected for enumeration in each city is  $CEQ_j=WC_j*TEQ=WC_j*60$ .

**Table 3. Determination of Total Number of Residential *Quarteiroes* Enumerated/City**

City	Number of Residential QRTs (Q <sub>j</sub> )	% of Q <sub>j</sub> in TQ (WC <sub>j</sub> )	# of Sampled QRTs/City (CEQ <sub>j</sub> )
Beira	704	21	13
Dondo	313	10	6
Chimoio	278	8	5
Manica (*)	63	2	1
Quelimane	471	14	9
Mocuba	157	5	3
Nampula	962	29	18
Nacala	337	10	6
Total	3,285	100	60

(\*) Unlike another cities, Manica is not organized in QRTs. The city is organized by groups of 10 houses. Based on the Average number of houses/QRT in other cities, it was assumed that 1 QRT = 6 groups of 10 houses, i.e., 60 houses/QRT.

### **Selection of Residential QRTs to be Covered by the Survey in Each City**

After defining the number of QRTs to be covered in each city, QRTs in each city were numbered from 1 to n, and the actual selection process was made through the lists for each city, using **Systematic Sampling**, as follows:

- a. Definition of Sampling Intervals (SI). Sampling Interval for City j (SI<sub>j</sub>) is given by:  $SI_j = CEQ_j / Q_j$
- b. For each city, the first QRT to be selected in its list is obtained by choosing a random number between 1 and its SI<sub>j</sub>. The corresponding QRT in the ordering list is picked up.
- c. Then the process continues by systematically picking up every "+ SI<sub>j</sub> QRT" in the list, until the desired number of QRTs for each city (CEQ<sub>j</sub>) is reached. This process allows a selection of QRTs uniformly distributed along the city list.<sup>3</sup>

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<sup>3</sup> **Selection of quarteiroes (Systematic Sampling):** The sampling interval for each city (SI<sub>j</sub>) is given by  $SI_j = CEQ_j / Q_j$ . Consider Q<sub>s</sub><sub>j</sub> as quarteirao s selected in city j. In each city s quarteiroes are selected, where s = 1, 2, ..., CEQ<sub>j</sub>. The selection process is as follows: Q<sub>1j</sub> = Random number between 1 and SI<sub>j</sub> (1 < Q<sub>1j</sub> < SI<sub>j</sub>); Q<sub>2j</sub> = Q<sub>1j</sub> + SI<sub>j</sub>; ...; Q<sub>s</sub><sub>j</sub> = Q<sub>(s-1)j</sub> + SI<sub>j</sub>.

## Data Collection Process in the Selected Residential Quarteiroes

For every selected QRT, then, there was a complete enumeration of houses and/or business sites (locations), following the MSE Survey Business Site Approach.

- . In every house visited, we inquired about any business that takes/have taken place at that location over the past 12 months, or business that had been closed or liquidated in the period between October/92 and 30th of November 1995 (Closed Enterprise definition). This information is entered in a **Control Sheet for Urban Residential QRTs (annex 8)**.
- . For business sites (business locations other than houses), the process was much easier. Existing business are visually identified. After filling out the **Control Sheet**, they were interviewed right away, using the **Enterprise Level Questionnaire (annex 10)**.
- . For households, an **Enterprise Level Questionnaire (annex 10)** was administered for every enterprise that had operated, at that location, anytime over the past 12 months, whether it was currently operating, was closed but not liquidated, or was closed and liquidated in that period.
- . A **Closed Enterprise Questionnaire (annex 11)** was filled out on every location where there was a business that had previously operated but that had closed (liquidated or not) between October of 1992 and November of 1995.

In using this approach, a serious concern was the risk of double counting. Potential double counting was identified for businesses that have the manufacturing plant in one place and the sales branch somewhere else, inside or outside the same QRT. For example, beer brewing in one place and sales of the brewed beer in another place. To avoid double counting, the business site approach needed to be very strict and clearly defined. This question was addressed in the control sheet: For all businesses that have sales of manufactured products it was asked the question: Is this a place of sales only, with manufacturing somewhere else by the same business? Three outcomes are possible:

- . This is only the place of sales, we manufacture it in other place => **Don't interview**
- . This is the place for both manufacturing and sales => **Interview**
- . We bought this product from someone else (traders) => **Interview**

The first of these cases was registered on the control sheet, to keep a record of its frequency, although the questionnaire was not administered.

The number of enterprises identified in *quarteiroes* in each city/province is as follows:

**Table 4. Frequency of Micro and Small Enterprises in Residential QRTs by City/Province**

Province/City	Number of Sampled QRTs by City/Province	Frequency of Enterprises in the Survey Areas
Sofala	19	220
Beira	13	140
Dondo	6	80
Manica	6	108
Chimoio	5	48
Manica	1	60
Zambezia	12	143
Quelimane	9	121
Mocuba	3	22
Nampula	24	502
Nampula	18	402
Nacala	6	100
Total	60	973

Note: Market Interviews not Included.

## 2. City Market *Quarteiroes*

The inclusion of city market QRTs as separate sampling units was due to the fact that markets are places of **high concentration of MSEs**, so that if a market falls into the sample in a given city and complete enumeration is done, there will be over estimation of MSEs for that city, while if it does not fall into the sample there will be under estimation.

Given that, in general, **there is a small number of market QRTs relative to the total number of QRTs in a given city, the probability of selection for those market QRTs is very low.** This means that the **likelihood of underestimating the numbers is, for any city, quite high.**

### Determination of Number of Interviews per City Market

To avoid this potential sampling error, we added to those 60 residential QRTs, another set of approximately 40 market *quarteiroes* (the 5 major markets in each of the 8 cities). Then, the following procedures were followed in each of the cities<sup>4</sup>.

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<sup>4</sup> Consider  $O_{ij}$  as the number of operators in market  $i$  of city  $j$ . The total number of operators in city  $j$  is  $O_j = \sum_{i=1}^5 O_{ij}$ . The total number of operators in the 8 cities is given by

- a. List of the 5 major markets in each city, based on the knowledge on their relative size in terms of number of operators;
- b. In each of these 5 markets, counting the number of operators:
  - . Number of operators by business type (Manufacturing, trade and services);
  - . Total number of operators.
- c. Get total number of market operators in the 8 cities;
- d. Get the share of each market in the total in terms of number of number of market operators;
- e. Determination of the total number of operators to be interviewed in the 8 cities. A feasible number, given the time and other resource constraints, was 273 interviews. Given the high degree of homogeneity and the incidence of similar activities in these markets, this number is reasonable to make inference to this sampling set.
- f. The number of interviews in each market is defined simply by multiplying the market operators share for that market (from point d, above), by 273.

Table 5 shows the results of this procedure, with the numbers aggregated at the city and province levels.

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$TO = \sum_{j=1}^8 \sum_{i=1}^5 O_{ij} = \sum_{j=1}^8 O_j$ . Then the weight of each market in the urban universe is  $WM_i = O_{ij}/TO$ . Given that the pre-determined number of market operators to be surveyed is  $TEO=273$ , the number of operators in each market is  $MEO_i = WM_i * TEO = WM_i * 273$ . Alternatively, one could have calculated shares for each city in the universe and then determine the share for each city market, which yields exactly the same result.

**Table 5. Census of Operators and Determination of Number of Interviews in City Markets**

Market	Types of business			Total number of operators	Share of the city markets relative to total (%)	# of market Interviews in each city
	Production/ Manufacturing	Trading	Services			
03. Nampula	78	3,764	175	4,017	18.08	50
03. Nampula	42	2,171	111	2,324	10.46	29
13. Nacala	36	1,593	64	1,693	7.62	21
04. Zambezia	144	6,654	371	7,169	32.28	88
04. Quelimane	33	2,995	162	3,190	14.36	39
14. Mocuba	111	3,659	209	3,979	17.92	49
06. Manica	93	3,207	103	3,403	15.32	42
06. Chimoio	75	2,456	41	2,572	11.58	32
16. Manica	18	751	62	831	3.74	10
07. Sofala	226	6,921	473	7,620	34.31	93
07. Beira	208	6,268	423	6,899	31.06	84
17. Dondo	18	653	50	721	3.25	9
Total Number/Sector	541	20,546	1,122	22,209	100.00	273
Sector Share	2.44	92.51	5.05	100.00	100.00	1.23

**Data Collection Process in Selected Market Quarteiros**

Once the number of interviews was defined for each market, the enumerators were spread around the market, each with an area of coverage assigned and a number of interviews to complete. Given the obvious predominance of trading activities over other types, no proportional definition was assumed. It was up to the enumerators to decide, each one on his area of coverage, what activities to interview. For every case, the enumerators applied the Enterprise Level Questionnaire, and also asked whether the person had any Closed Business, as defined before.

### III. FIELDWORK AND DATA MANAGEMENT

#### A. Rural Survey

##### 1. Sample Preparation

The selection of districts to be covered by the survey was done in June 1996, using official population data. Once the districts had been selected, field visits were undertaken by Staff from the Ministry of Agriculture and Fisheries/Economics Department, FSP and Provincial Departments of Agriculture, to get detailed village level population data to be used in the village selection. The staff in Maputo received the information from the provinces and undertook the village selection. With the villages selected, household lists were obtained.

##### 2. Fieldwork Organization

During the sample preparation visits, there was a **preliminary selection of enumerators**, both at the provincial and district levels. Preference was given to candidates with standard 9, or higher levels of schooling, who were fluent in both portuguese and the local language. It was not possible to find such persons in some locations. The **standard structure of the field team** in each province was as follows:

- . 1 Field Assistant from MAP/Department of Economics/Maputo;
- . 1 Food Security Project Researcher;
- . 1 Provincial Supervisor/Head of the Provincial Department of Economics at the DPAP;
- . 2 provincial (mobile) enumerators; and
- . 4 district enumerators, usually local residents working for the Department of Agriculture at the district level.

**Training sessions** were undertaken in two stages:

- a. **Supervisor training.** This training involved all provincial supervisors, central level MAP/Department of Economics Assistants, and was held in Inhambane province. Training session were lead by FSP and MAP/Department of Economics staff. A careful presentation/revision of the Agricultural and the MSE instruments, followed by a pre-test, was done. This allowed for some changes in the instruments. Important sampling and field work strategies were also discussed in these sessions.
- b. **Enumerator and supervisor training.** With the instruments modified and the sampling strategy refined, this training was held in three groups: In Beira city (Sofala, Manica and Tete provinces); Nampula city (Nampula province); and Quelimane city (Zambezia province). The participants were all supervisors and enumerators selected for the field work and the sessions lead by FSP and MAP/Department of Economics staff. A pre-test was also done in a nearby district in every location.

In practice, in the **fieldwork**, undertaken in July October, 1996, the team structure was not strictly followed, especially in places where availability of trained staff was a problem. The solution found in many cases was the introduction of additional mobile enumerators selected among the best district enumerators. We were lucky to have in some provinces very capable teams with considerable field work experience.

In Manica (4 districts), Sofala (5 districts) and Tete (1 district), the work was done progressively by a single provincial team, working with the district teams, one at a time. In the other provinces, Nampula (11 districts) and Zambezia (13 districts), the team was divided into two groups, one led by the provincial supervisor and another by the MAP/Department of Economics Assistant. The FSP staff members involved worked with all teams in each province.

## **B. Urban Survey**

### **1. Sample Preparation**

The experience and knowledge gained in the rural survey was very helpful for the urban phase. During the last stage of the rural data collection, FSP staff started collecting data and making preliminary contacts with Municipal Authorities. City population data by neighborhood and *Quarteirao* was obtained along with detailed city maps.

### **2. Fieldwork Organization**

The best enumerators out of the rural survey teams were selected to form four provincial teams. **Training sessions** were held in Nampula city (enumerators from Nampula, Sofala and Manica provinces). Zambezia enumerators were trained separately in Quelimane City, in November 1996. During these sessions, the urban survey instrument, based on household member enterprise questionnaire, was discussed and pre-tested. Sampling procedures and specific aspects of the field work were also part of the training.

The field work took place in December, 1996. In each city, physical identification of QRTs and preparation contacts with local authorities was done in advance. A count of all market operators in the five major markets of each city was also done, to determine the number of interviews in each of the five city markets. Capital cities were the first areas to be covered in each province, followed by the secondary city selected.

## **C. Data Entry and Cleaning**

Prior to the field work, Data entry forms were prepared by a Specialist from the U.S. Bureau of the Census. Following the completion of the field work, data entry and initial cleaning was done in Maputo by a joint team of Data Entry Specialists from the FSP/Maputo and MAP/Department of Economics/Statistics Division.

Since the survey had no post-coded open-ended questions, the process was highly facilitated. Final data cleaning was done in East Lansing, Michigan, in consultation with the FSP/Maputo office staff. Data analysis for the "Preliminary Research Results Paper" was undertaken in May, 1997, at Michigan State University, East Lansing, Michigan.

#### D. MSE Survey File Documentation

The MSE Study is part of a much bigger effort of data collection that also includes the Agricultural Sector Survey of 1996 and the Cashew Preliminary Study. Data from these other studies are still in the cleaning process. In this section, we present only the file documentation subdirectory structure for the MSE Survey. It is worth noting, however, that all the studies are under c:\MZ96.

The MSE subdirectory structure distinguishes between files related to the data archive (C:\MZ96\ARCH) and those related to data analysis (C:\MZ96\ANAL). Table 6 describes these two sets of files.

**Table 6. MSE Study Subdirectory Structure**

Subdirectory	Description
C:\MZ96\ARCH\DATA_AG\...	Cleaned original data files from the Agricultural Sector Household Survey
C:\MZ96\ARCH\DATA_MSE\...	Cleaned original data files from the Micro and Small Enterprise Survey
C:\MZ96\ARCH\SYNTAX\...	SPSS Syntax files used to make transformations in the data files prior to use. The generated data files are sent to C:\MZ96\ANAL\DATA_MSE
C:\MZ96\ARCH\OUTPUT\...	SPSS Output files generated in the process of data cleaning and diagnosis of the original data files.
C:\MZ96\ARCH\QUEST\...	All survey questionnaires, control sheets and code sheets
C:\MZ96\ANAL\DATA_AG\...	Working data files from the Agricultural Survey generated for data analysis and transformed in the process.
C:\MZ96\ANAL\DATA_MSE\...	Working data files from the MSE Survey generated for data analysis and transformed in the process.
C:\MZ96\ANAL\SYNTAX\...	SPSS Syntax files which perform data analysis.
C:\MZ96\ANAL\OUTPUT\...	SPSS output files generated by the SPSS syntax files. They contain MSE Survey analysis results used in research papers.
C:\MZ96\ANAL\WP\...	Analysis Word Processing files, including Research Papers.

Table 7 presents the data files in C:\MZ96\ARCH\DATA\_MSE\.

**Table 7. Micro and Small Enterprise Baseline Survey Data Files**

Questionnaire	File Name (*.SAV)	Description	Key variables (and sort order)
Rural Ficha I	F1VR	HH level questions	PROV-DIST-ALD-AF
Rural Ficha I	T1R	HH members owning MSEs	PROV-DIST-ALD-AF-MEM
Rural Ficha I	T2R	HH members who left and closed MSEs	PROV-DIST-ALD-AF-MEM <sup>5</sup>
Rural Ficha I	T3R	HH members currently resident and with closed MSEs from 1992-1995	PROV-DIST-ALD-AF-MEM
Rural Ficha II	F2VR	Rural enterprise level questions	PROV-DIST-ALD-AF-MEM-ACT
Rural Ficha II	T4R	Work force composition of MSE by year	PROV-DIST-ALD-AF-MEM-ACT-IV1(ANO)
Rural Ficha II	T5R	Sales of goods and services	PROV-DIST-ALD-AF-MEM-ACT-V1(ANO-MES)
Rural Ficha II	T6R	Operating expenses (for trading enterprises only)	PROV-DIST-ALD-AF-MEM-ACT-INP
Rural Ficha II	T7R	Operating expenses (for non-trading enterprises)	PROV-DIST-ALD-AF-MEM-ACT-INP
Rural Ficha II	T8R	Value of assets owned currently	PROV-DIST-ALD-AF-MEM-ACT-VIII1(Asset type)
Rural Ficha II	T9R	Funding source for assets owned currently	PROV-DIST-ALD-AF-MEM-ACT-IX1(Asset type)
Control Sheet Urban Residential	CTRL-URB	Control sheet for urban residential quarteiroes	PROV-CID-QRT-LOC
Control Sheet Urban Market	CTRL-MKT	Control sheet for urban market quarteiroes	PROV-CID-QRT-M(mercado)
Urban Enterprise	F2VU	Urban enterprise level questions	PROV-CID-QRT-LOC-EMP
Urban Enterprise	T4U	Work force composition of MSE by year	PROV-CID-QRT-LOC-EMP-IV1(ANO)
Urban Enterprise	T5U	Sales of goods and services	PROV-CID-QRT-LOC-EMP-V1(ANOMES)
Urban Enterprise	T5XU	Marketing margins (only for trading enterprises)	PROV-CID-QRT-LOC-EMP-PROD
Urban Enterprise	T6XU	Typical operating expenses	PROV-CID-QRT-LOC-EMP-INP
Urban Enterprise	T7XU	Other operating expenses	PROV-CID-QRT-LOC-EMP-VIIX1(input)
Urban Enterprise	T8U	Value of assets owned currently	PROV-CID-QRT-LOC-EMP-VIII1(Asset type)
Urban Enterprise	T9U	Funding source for assets owned currently	PROV-CID-QRT-LOC-EMP-IX1(Asset type)
Urban Closed Enterprise	T3XU	Closed urban enterprises between 1992-1995	PROV-CID-QRT-LOC-EMP

Note: All data files in C:\MZ96\ARCH\DATA\_MSE

**All questionnaires and Code Sheets are in c:\mz96\arch\quest\...:**

<sup>1</sup>Member numbers begin with 50, 51...These members, by definition, do not appear in the DEMOG file from the Agricultural Survey because they had already left.

**English:**

Rural Ficha 1=ficha-I.eng  
Rural Ficha 2=ficha-II.eng  
Urban Residential Control Sheet=cont-urb.eng  
Urban Market Control Sheet=cont-mkt.eng  
Urban Enterprise=urban-qs.eng  
Urban Closed Enterprise=closedqs.eng  
Code Sheet for Rural Survey=cod-rur.eng  
Code Sheet for Urban Survey=cod-urb.eng

**Portuguese:**

Rural Ficha 1=ficha-I.por  
Rural Ficha 2=ficha-II.por  
Urban Residential Control Sheet=cont-urb.por  
Urban Market Control Sheet=cont-mkt.por  
Urban Enterprise=urban-qs.por  
Urban Closed Enterprise=closedqs.por  
Code Sheet for Rural Survey=cod-rur.por  
Code Sheet for Urban Survey=cod-urb.por

## IV. SURVEY INSTRUMENTS CONTENT

This chapter describes the content of the instruments used in this survey. It summarizes the actual instruments presented in the various annexes to this document.

### A. Rural areas

Four types of instruments were used in rural areas. Each survey was designed to collect data at a different data level. The instruments for rural areas were:

- . The Agricultural Sector Survey
- . The MSE Control Sheet
- . The MSE Ficha I
- . The MSE Ficha II

#### 1. Agricultural Sector Survey

This instrument collects household level data and some information at the household member and household field levels. The interview was primarily conducted with the head of the household.

Contents:

- . **Household Characteristics: Household composition, gender, education, age, MSEs ownership/Member over the past Ag Season**
- . Production/Consumption/Marketing of food crops, cash crops, fruits and Vegetables
- . Use of Ag inputs: Source of seeds and tools by type
- . Land use and ownership/measurement of crop fields
- . Supply and demand of on-farm labor
- . Supply of Labor off-farm

\* See **Annex 1** for details.

#### 2. MSE Control Sheet

One of these sheets was filled out in each visited village. It is basically a summary of the MSE incidence in each village with the data collected for each selected household in the village.

Contents:

- . # of HH Members owning at least one MSE
- . # of MSEs owned/Member/HH
- . # of MSEs/HH

\* See **Annex 4**.

### 3. The MSE Ficha I

Each HH with at least one member owning a MSE was subject to this instrument. It collects basic information about the current and past involvement of HH members in MSEs. The questions here were answered by the head of the HH. Some information collected is at the HH level and other at the HH member level.

Contents:

- . Identification of HH members with MSEs over the past 12 months (last Ag season)
- . Identification of type of enterprise owned by HH Members (detailed classification - see Code List)
- . Operating status of each MSE: currently operating or closed
- . Reason of closure
  
- . Identification of HH members who have left the HH during the last Ag season and had an enterprise that closed in that period;
- . For each of these members: gender, type of activity, when left, number of workers at closure, destination of the person and current activity;
  
- . Identification of HH members with businesses that closed in the period between the end of the armed conflict (October 1992) and the beginning of the Ag season (August 1995)
- . For each of these members: type of business, year of closure, # of workers employed, reason of closure.

\* See **Annex 5**.

### 4. The MSE Ficha II

Each HH member owning an enterprise was interviewed about his or her MSE. One Ficha II questionnaire was filled out for each MSE in the household. The number of Fichas II to be completed in each HH was equal to the number of MSEs identified.

Contents:

#### **General Information**

- . Who's being interviewed: Owner, employee, other
- . Type of enterprise
- . Gender and type of ownership
- . Starting year and month
- . Location

## **Working Patterns**

- . # of months of operation over the past 12 months
- . # of days of operation during the last month of operation
- . AVG # of hours of operation/day during the last week of operation
- . Close for lunch?

## **Work Force Composition Over Time**

**\* The periods considered are: at the start, last month of operation in 1994, 1995 and 1996**

- . Composition of the work force by category: # of Working owners, paid workers, unpaid workers, apprentices and total
- . # of female workers
- . # of workers under 15 years of age
- . # of part-time workers by work force category during the last month of operation
  
- . Use of seasonal labor: Use it or not? If yes, # of people in the most active period

## **Migration and Acquisition of Working Abilities**

- . Always lived here?
- . If no, when moved (Year/month) and reason; where lived previously; Have ever lived in a refugee camp? If yes, where?
- . Main source of personal Income during the war period
- . Have plans to move elsewhere soon?
- . Acquired working abilities during the conflict? If yes, describe.

## **Formal Education, Technical Training and Non-financial Assistance**

- . Level of formal education achieved? General or technical?
- . Did the enterprise receive non-financial assistance? If yes, which type?
- . Is the owner wishing to receive non-financial assistance? If yes, which type? Best period for training assistance? Is the owner willing to pay for part of the training costs?

## **Participation in Formal/Informal Mutual Help Business Groups and Access to Credit**

- . Is the entrepreneur member of a formal/informal business group/association? If yes, types of benefits received?
- . Did the business receive any credit? If yes, from which source?

## **Financial Data**

### **Sales and Cash Revenues**

- . Months with and without Sales over the past year?
- . If the business had sales => Monthly amount. If it had no sales => Reason/month

### **Operating Costs**

- . Itemized current expenses during the last month of operation
- . For Trading enterprises: Costs of the purchased goods + other current expenses per time period
- . For Production/Transformation, Services and Extraction/Fisheries: Cost of inputs and other expenses per time period

### **Start up Investment: Fixed Assets, Operating Costs and Sources of Funding**

- . Total amount spent on Fixed Assets to start the enterprise (in current Meticaïis)
- . Total amount spent on Working Capital to start the enterprise (in current Meticaïis)
- . Main source of funding to start the business?

### **Valuation of Existing Fixed Assets and Operating Items and Sources for their Acquisition**

- . Entrepreneur's Valuation of existing fixed assets and operating items (in current Meticaïis)
- . Main source of funding for the acquisition of existing items

### **Profits and Their Application**

- . Amount of net profits earned in the last month of operation? (in current Meticaïis)
- . Ranking of the three main uses for the enterprise's profits.

### **Other Sources of Income, Their Ranking and the Proportion of this Enterprise's in Total Income**

- . Identification of other sources of income over the past 12 months
- . Identification of the first two main sources, including this business
- . Proportion of this business in total income earned

### **Markets for Outputs and Inputs**

- . Identification of the main clients for the final goods/services sold
- . Identification of the main suppliers of inputs/goods/services

## Main Problems Faced and Legal Status

- . Identification of the two main problems faced by the enterprise
- . Identification of the two main problems related to government regulations and practice faced by the enterprise
- . Does the entrepreneur have a license to operate?

\* See **Annex 6**.

## B. Urban Areas

There were three instruments used in urban areas, namely:

- . Residential QRTs Control Sheet
- . Enterprise Level Instrument
- . Closed Enterprise Questionnaire

### 1. Residential QRTs Control Sheet

One of these sheets was filled out in every visited residential QRT. For each location visited, some information was collected, and the assigned location (LOC) and enterprise (EMP) #s were passed to the enterprise level instrument filled out for the businesses operating at that location.

Contents:

- . Type of location: House or other business site
- . Identification of the location: Address or other
- . Are there people at the location?
- . Is/Was there any one operating a MSE at this location any time over the past 12 months?
- . For Production/Manufacturing enterprises: Does the production process take place at this location, or this is just the sales place? (If it's only the sales place, don't interview).
- . Number of MSEs identified by location
- . For each, what's the current operating status: 1) Is currently operating, 2) Is not operating but was not liquidated, and 3) Is not operating and was liquidated.

\* See **Annex 8**.

### 2. Enterprise Level Instrument

This questionnaire is very similar to FICHA II used in rural areas. Some questions were added to adjust it to the urban setting. All questions that were not changed keep the same variable name, and those added are followed by an X on the variable names that were attributed to them. All the new and modified questions in the list that follows will be **bolded**.

One of these instruments was filled out for each enterprise that operated any time over the last 12 months. The number of questionnaires to be filled out in each location, for example, a house, corresponds to the # of activities performed at that location.

Contents:

### **General Information**

- . Who's being interviewed: Owner, employee, other
- . Type of enterprise
- . Gender and type of ownership
- . **Age of the owner**
- . Starting year and month
- . **Before starting this business, was the owner employed by someone in the same business?**
- . Location

### **Working Patterns**

- . # of months of operation over the past 12 months
- . # of days of operation during the last month of operation
- . AVG # of hours of operation/day during the last week of operation
- . Close for lunch?

### **Work Force Composition Overtime**

**\* The periods considered are: at the start, last month of operation in 1994, 1995 and 1996**

- . Composition of the work force by category: # of Working owners, paid workers, unpaid workers, apprentices and total
- . # of female workers
- . # of workers under 15 years of age
- . # of part-time workers by work force category during the last month of operation
- . Use of seasonal labor: Use it or not? If yes, # of people in the most active period

### **Migration and Acquisition of Working Abilities**

- . **Was the activity always operating at this place?**
- . **If no, when moved the business to this place (Year/month), where was operating before and reason for moving?**
- . Main source of personal Income during the war period
- . Have plans to move elsewhere soon?
- . Did acquire working abilities during the conflict? If yes, describe?

## **Formal Education, Technical Training and Non-financial Assistance**

- . Level of formal education achieved? General or technical?
- . Did the enterprise receive non-financial assistance? If yes, which type?
- . Is the owner willing to receive non-financial assistance? If yes, which type? Best period for training assistance? Is the owner willing to pay for part of the training costs?

## **Participation in Formal/Informal Mutual Help Business Groups and Access to Credit**

- . Is the entrepreneur member of a formal/informal business group/association? If yes, types of benefits received?
- . Did the business receive any credit? If yes, from which source?

## **Financial Data**

### **Sales and Cash Revenues**

- . Months with and without Sales over the past year?
- . If the business had sales => Monthly amount. If it had no sales => Reason/month

### **Sales and Marketing Margins (only for Trading Firms)**

#### **\* For the 5 most important goods traded:**

- . **Unit sales price and quantity sold per time period during the most recent month of operation;**
- . **Unit price paid for each unit when purchasing each good;**
- . **# of sales units in each purchased unit.**

### **Operating Costs**

- . Itemized current expenses during the last month of operation;
- . **For all enterprises: Costs of current expenses per time period (cost of purchased goods not included for trading enterprises);**
- . **# of time periods that the purchase was done over the last month of operation.**
- . **If the item was purchased only once during that month, for how long it's going to last?**

### **Non-frequent Current Expenses Not Made Last Month**

- . **Itemized Non-frequent current expenses not made last month;**
- . **Value spent in the most recent payment for each item;**
- . **How many months it's going to cover?**

### **Start up Investment: Fixed Assets, Operating Costs and Sources of Funding**

- . **Total amount spent to start up the business**
- . Amount spent in Fixed Assets to start the enterprise (in current Meticais)
- . Amount spent in Operating Items to start the enterprise (in current Meticais)
- . Main source of funding to start the business?

### **Valuation of Existing Fixed Assets and Operating Items and Sources for their Acquisition**

- . Entrepreneur's Valuation of existing fixed assets and operating items (in current Meticais)
- . Main source of funding for the acquisition of existing items

### **Profits and Their Application**

- . Amount of net profits earned in the last month of operation? (in current Meticais)
- . Ranking of the three main application given to the enterprise profits.

### **Other Sources of Income, Their Ranking and the Proportion of this Enterprise's in Total Income**

- . Identification of other sources of income over the past 12 months
- . Identification of the first two main sources, including this business
- . Proportion of this business in total income earned

### **Markets for Outputs and Inputs**

- . Identification of the main clients for the final goods/services
- . Identification of the main suppliers of inputs/goods/services

### **Main Problems Faced and Legal Status**

- . Identification of the two main general problems faced by the enterprise
- . Identification of the two main problems related to government regulations and practice faced by the enterprise
- . Does the entrepreneur have a license to operate?

### **Prospective Business Expansion and Self-Evaluation of the Business**

- . Are you planning future investments in this business? Why?
- . Do you consider this as a good business nowadays?
- . Would you advise your son (or someone else) to be involved in this type of business? If "no", what business would you advise instead?

\* See **Annex 10**

### 3. Closed Enterprise Sheet

This instrument is a single sheet, designed to collect basic information about closed businesses, as previously defined, at every single visited location.

Contents:

- . Was there any enterprise that was operating in this place (LOC) closed, between October 1992 and 30th of November 1995?
- . For each enterprise closed in that period, the following questions were addressed:
  - . Type of activity
  - . Starting and closing years
  - . # of workers employed in the beginning and at closure
  - . Reason for the closure
  - . What's the current employment status of the owner

\* See **Annex 11**.

### 4. City Market Operators Census

This sheet collects basic input data for the sampling procedures for the city market QRTs survey. One of these sheets was filled out in every city with census data for the five major markets.

Contents:

#### **Existing # of Enterprises**

- . # of enterprises by type of business/activity: Production/Manufacturing, Trading and Services
- . Total # of Enterprises by City Market
- . Examples of the most frequent activities by type of business
- . General observation on each city market

#### **# of Interviews**

- . Total # of interviews by market (the # was defined based on the sampling procedures previously presented)
- . # of interviews by type of activity (the number is registered ex-post after the random selection of entrepreneurs in each market)

\* See **Annex 9**.

## V. ANNEXES

### **Rural Areas**

- Annex 1. Agricultural Sector Survey
- Annex 2. Tips for HH/Member MSE Identification
- Annex 3. Code Sheet for Rural Areas
- Annex 4. Control Sheet for Rural Areas
- Annex 5. Ficha I (Rural)
- Annex 6. Ficha II (Rural)

### **Urban Areas**

- Annex 7. Code List for Urban Areas
- Annex 8. Control Sheet for Urban Areas Residential QRTs
- Annex 9. City Market Operators Census
- Annex 10. Enterprise Level Questionnaire for Urban Areas
- Annex 11. Closed Enterprise Questionnaire for Urban Areas

**A. RURAL AREAS: INSTRUMENTS AND CODE SHEETS**

## **ANNEX 1: Agricultural Sector Survey**

## ANNEX 2: Tips for HH Member MSE Identification

### Técnicas para Identificar Actividades por Conta Própria (MPE's) dos Membros dos Agregados Familiares (AF)

A. Ter em atenção ao facto de que:

1. É pouco provável que uma família viva durante toda a campanha agrícola apenas da agricultura e pecuária. Assim, pretendemos identificar **qualquer actividade, não-agrícola, não-pecuária por conta própria que tenha sido efectuada por membros do AF em algum momento durante a campanha agrícola;**

2. Pretendemos identificar, mesmo aquelas actividades que não são efectuadas com frequência, mas que em algum momento durante a campanha foram desenvolvidas. **Mesmo que a actividade tenha sido encerrada durante a campanha,** queremos inquirir sobre ela, falando com o próprio membro ou uma outra pessoa da família.

B. **Uma vez terminada a entrevista do módulo agrícola, já sabemos a composição da família, o que a família produz consome e vende em termos de produtos agro-pecuários e outras informações chave.** Esta informação permite melhor investigar, mais uma vez, sobre a existência de actividades por conta própria no AF dentro de uma série de estratégias que os membros do AF possivelmente adoptam. Assim, pretende-se que os inquiridores investiguem, de entre outros, os seguintes pontos para saber com mais segurança sobre que actividades o AF desenvolve:

1. Depois da preparação e sementeira, i.e., nos períodos com menos trabalho na machamba, o que é que cada membro tem feito durante o dia?

2. Antes de efectuar a colheita e venda da sua produção como tem feito cada membro para ajudar a família a ter dinheiro para comprar sabão, óleo, açúcar e outros produtos básicos?

3. Quando as vendas da machamba/criação de animais são insuficientes, o que cada membro fez durante a campanha para ajudar com algum dinheiro nas necessidades da família?

4. Com base no conhecimento que tem da zona onde o trabalho está a ser feito, no que se refere as principais actividades por conta própria, pergunte ao entrevistado se durante a campanha, ele ou membros da família se tem dedicado a alguma daquelas actividades. **Por exemplo,** se se tratar de uma zona em que há cana de açúcar e caniço em abundância e as pessoas normalmente fazem bebida e esteiras, na sua pergunta inclua estas actividades e outras sugestivas.

C. Outras Considerações:

1. Há actividades que, dada a sua pouca frequência e o seu muito baixo rendimento, os entrevistados não tem considerado como MPEs. **Para o nosso trabalho, mesmo essas actividades interessa incluir e efectuar entrevistas.**

2. Ao longo das entrevistas (Módulo Agrícola ou uma Ficha II), pode ser que o entrevistado se refira a uma MPE como actividade alternativa que não tenha sido anteriormente declarada. Nesse caso, essa actividade deve ser incluída na Tabela I e efectuada a respectiva entrevista da ficha II.

Micro and Small Enterprise Baseline Survey

Code List for Rural Areas

1. Type of Business

\* Questions: EF-3 and EF-21 (Ficha II)

\* Tables: Table I, Table II and Table III (Ficha I)

**A. Manufacturing and Processing**

- |   |   |
|---|---|
| 1) Maize Mill                                 | 35) Other Chemicals Production                      |
| 2) Other Grain Mill                           | 36) Rubber Products                                 |
| 3) Bakery Production                          | 37) Plastic Shoe Production                         |
| 4) Dairy Products                             | 38) Other Plastic Works                             |
| 5) Meat Slaughtering/Processing               | 39) Cordage/Rope/Twine Production                   |
| 6) Fish preserving/Processing                 | 40) Basket/" <b>esteiras</b> " Production           |
| 7) Animal oils/fats Processing                | 41) Charcoal Production                             |
| 8) Vegetable Oils Processing                  | 42) Sawmills/woodmills                              |
| 9) Fresh Vegetable Processing                 | 43) Paper/Pulp Products                             |
| 10) Fresh Fruit Processing                    | 44) Non-Metal Furniture Making                      |
| 11) Fresh Flower Processing                   | 45) Wood Crate production                           |
| 12) Sugar Processing                          | 46) Wood Construction Materials Production          |
| 13) Other Sugar Products                      | 47) " <b>Tapetes e cestos de sisal</b> " Production |
| 14) Tobacco Processing/Packaging              | 48) Wood Furniture and other wood Products          |
| 15) Tea Processing/Packaging                  | 49) Cement/Lime/Plaster Production                  |
| 16) Coffee Processing/Packaging               | 50) Brick/Block Making                              |
| 17) Preparing Ready to Eat Food               | 51) Roof Tile Making                                |
| 18) Other Agro-Industries                     | 52) Stone Mason                                     |
| 19) Animal Feed Production                    | 53) Pottery/Earthenware                             |
| 20) Sugar Cane Beer Production                | 54) Metal Furniture/Grills Production               |
| 21) Cashew Beer Production                    | 55) Metal Electrical Machine Production             |
| 22) "Sura" Beer Production                    | 56) Metal Non-Electric Machine Production           |
| 23) Sorghum Beer Production                   | 57) Household Metal Goods                           |
| 24) Other spirits Production                  | 58) Other Tinsmiting                                |
| 25) Wearing apparel production                | 59) Other Blacksmithing                             |
| 26) Weaving/Spinning                          | 60) Other Welding                                   |
| 27) Other textile activities                  | 61) Other Metal Work                                |
| 28) Leather Tanning/Finishing                 | 62) Printing/Publishing                             |
| 29) Leather Shoe Production                   | 63) Jewelry Production                              |
| 30) Other Leather Work                        | 64) Wood Carving                                    |
| 31) Fertilizer/Pesticide Production           | 65) Other Art Production                            |
| 32) Paint/Varnish Production                  | 66) Recycling Activities                            |
| 33) Drug/Medicine Production                  | 67) All Other Manufacturing Activities              |
| 34) Soap, Cosmetics and Toiletries Production |   |

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## B. Trading Activities

- 68) Wholesale of Food, Drink, Tobacco
- 69) Wholesale of Agricultural Products
- 70) Wholesale of Livestock
- 71) Wholesale of Fish and Other Sea Foods
- 72) Wholesale of New Clothes
- 73) Wholesale of Used Clothes
- 74) Wholesale of Other Textiles
- 75) Wholesale of Building Materials
- 76) Wholesale of Domestic Hardware
- 77) Wholesale of Machinery, Tools
- 78) Wholesale of **Scrap**
- 79) Wholesale of Seeds and Chemical Products
- 80) All Other Wholesale Trade
- 81) Retail of Livestock
- 82) Butchery
- 83) Retail of Fish and Other Sea Foods
- 84) Retail of Food, Drinks, Tobacco
- 85) Retail of Agricultural Products
- 86) Retail of Fuel, Charcoal
- 87) Retail of Domestic Hardware
- 88) Retail of Building Materials
- 89) Retail of Machinery, Tools
- 90) Retail of New Clothes
- 91) Retail of Used Clothes
- 92) Retail of Other Textiles
- 93) Retail of Leather Shoes and Other Leather Items
- 94) Retail of Art/Artifacts
- 95) Retail of grass products
- 96) Retail Newspapers
- 97) General Kiosk/Grocery Shop
- 98) Stationers/Bookstore
- 99) Filling Station
- 100) Pharmacy/Retail of Drug/Medicine
- 101) Retail of Animal Feed
- 201) **Banca de vendas a retalho de produtos diversos**
- 102) All Other Retail Trade

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## C. Repairing and Service Activities

- 103) Restaurant/Bar/Pub/Take-away
  - 104) Entertainment Services
  - 105) Short-Term Lodging
  - 106) Room/Guest House
  - 107) Storage/Warehousing of Grains
  - 108) Storage/Warehousing of Other Products
  - 109) Boat Hire
  - 110) Bus/Public Transport
  - 111) Taxi Service
  - 112) Hand Cart ("Tchova Xita Duma Cart"), Animal Cart
  - 113) Livestock Transport
  - 114) Fresh Fruits/Vegetables/Flowers Transport
  - 115) Private Daily Transport "Chapa 100"
  - 116) Timber, Forest Products Transport
  - 117) Construction Materials Transport
  - 118) Transport of clothes
  - 119) Other Goods Transport
  - 120) Laundry/Dry Cleaner
  - 121) Hairdresser/Barber
  - 122) Private Clinic
  - 123) Herbalist/Medicine Man
  - 124) Veterinary Services
  - 125) Hunting/Guide Services
  - 126) Funeral Services
  - 127) Legal Services
  - 128) Accounting/Bookkeeping Services
  - 129) Data Processing Services
  - 130) Daycare/Nursery Services
  - 131) Other Professional Services
  - 132) Building Construction/Painting
  - 133) Plumber
  - 134) Electrician
  - 135) Other Construction/Building Repairs Services
  - 136) Motor Vehicle Repair
  - 137) Bicycle Repair
  - 138) Electrical Equipment Repair
  - 139) Clock/Watch Repair
  - 140) Shoe/Leather Work Repair
  - 141) Other Repairs
  - 142) Photo Studio
  - 143) Sign Painting
  - 144) Real Estate/Landlord
  - 145) All Other Services
-

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**D. Fishing and Extraction Activities**

146) **Gathering and Sale of Grass and Firewood**

147) **Gathering and Sale of Water**

148) Fishing and Sale of Fish or Other Sea Food

149) Mineral Extraction

150) Other Extraction Activities

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## 2. Reasons for Enterprise Closure

\* Tables: Table I and Table III (Ficha I)

- 1) Lack of Demand
- 2) Lack of Raw Materials/Labor
- 3) Raw Materials/Spare Parts/Labor Expensive
- 4) Lack of Spare Parts/Broken Machinery
- 5) Lack of Operating Funds
- 6) Lack of transport
- 7) Lack of Water/Electricity
- 8) Water/Electricity Expensive
- 9) Theft
- 10) Animals Getting Sick
- 11) Accidents
- 12) Personal Health
- 13) Problem with Authorities/Government Involvement/Harassment
- 14) High Taxes/Fees/Lack of License to Operate
- 15) Other Reasons

## 3. Reason for Moving to this Place (Village)

\* Questions: EF-17 (Ficha II)

- 1) Family reasons
- 2) Offers better conditions for agriculture
- 3) Offers better conditions to run this business
- 4) It is closer to basic infra-structures (Road, Hospital, School, etc)
- 5) It is my homeland/I had to leave because of the war
- 6) Other Reasons

## 4. Abilities Acquired During The Civil War

\* Questions: EF-24 (Ficha II)

- 1) Technical knowledge to operate equipment
- 2) Work with new type of equipment
- 3) Learned new technique that is being useful on the business
- 4) Learned new language from other place that facilitates way of doing business now (communication)
- 5) Other Abilities

## 5. Reasons For Not Having Sales

\* Tables: Table V (Ficha II)

- 
- 
- |   |                                   |
|---|-----------------------------------|
| 1) Lack of Demand                       | 10) Lack of water/electricity     |
| 2) Orders not picked up                 | 11) Telephone service unavailable |
| 3) Lack of raw materials/labor          | 12) Water/electricity expensive   |
| 4) Raw materials/Spares/labor expensive | 13) Bad Weather                   |
| 5) Lack of spare parts/Broken machinery | 14) Theft                         |
| 6) Seasonal Activity                    | 15) Animals getting sick          |
| 7) Lack of operating funds              | 16) Accidents                     |
| 8) Deterioration of stored products     | 17) Personal care                 |
| 9) Lack of transport                    | 18) Other problems                |
- 
-

## 6. General Problems Faced By The Enterprises

\* Questions: EF-51A and EF-51B (Ficha II)

---

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- 1) Lack of investment funds
  - 2) Lack of operating funds
  - 3) High interest rates
  - 4) Unavailable credit
  - 5) Clients not repaying debts
  - 6) Other financial problems
  - 7) Tools/machinery unavailable
  - 8) Machinery tools/spare parts expensive
  - 9) Maintenance/repairs expensive
  - 10) Spare parts unavailable
  - 11) Repair services unavailable
  - 12) Other problems with spares/machinery
  - 13) Lack of clients
  - 14) Too many competitors
  - 15) Market too far
  - 16) Being underpriced
  - 17) Suppliers cheat us
  - 18) Low prices received
  - 19) **Shoplifting**
  - 20) Orders not picked up
  - 21) Lack of effective demand
  - 22) Prices fluctuating
  - 23) Other market Problems
  - 24) High taxes
  - 25) Problems with business licenses
  - 26) Government Involvement/harassment
  - 27) City Council fees too high
  - 28) Other Government problems
  - 29) Shop space unavailable
  - 30) Rent expensive
  - 31) Shop space and inadequate and unsuitable
  - 32) Poor location
  - 33) Zoning problems
  - 34) Lack of shelter
  - 35) Lack of storage
  - 36) Other shop/space problems
  - 37) Lack of raw materials
  - 38) Raw materials too expensive
  - 39) Raw materials stocks unavailable
  - 40) Bad quality of purchased raw materials
  - 41) Raw materials deterioration (stock goes bad)
  - 42) Other problems with raw materials/inputs
  - 43) Public transport unavailable
  - 44) Public transport expensive
  - 45) Public transport inefficient
  - 46) Need own transport vehicle
  - 47) Roads are bad
  - 48) Traffic congestion
  - 49) Other transport problems
  - 50) Skilled labor unavailable
  - 51) Skilled labor expensive
  - 52) Unskilled labor unavailable
  - 53) Unskilled labor expensive
  - 54) Lack of loyalty
  - 55) Other labor problems
  - 56) Water/electricity unavailable
  - 57) Telephone service unavailable
  - 58) Unreliable supply of water/electricity
  - 59) Water/electricity expensive
  - 60) Other problems with water/electricity/telephone
  - 61) Access to training unavailable
  - 62) Management problems
  - 63) Other technical problems
  - 64) Personal health problems
  - 65) Old age
  - 66) Child care
  - 67) Household responsibilities
  - 68) Currency devaluation
  - 69) Bad weather
  - 70) Theft
  - 71) Animals getting sick
  - 72) Accidents
  - 73) Losses in the business
  - 74) Difficult to conciliate with other activities
  - 75) Other problems
- 
- 

## 7. Problems Related To Government Regulations And Actions

\* Questions: EF-53A and EF-53B (Ficha II)

- 1) Taxes too high

- 2) Difficult to get license to operate legally
- 3) Government Involvement/Harassment
- 4) City Council fees too high
- 5) Other problems with authorities

## ANNEX 4: Control Sheet for MSE Rural Survey

### CONTROL SHEET FOR RURAL AREAS

Province \_\_\_\_\_  
 District \_\_\_\_\_  
 Village \_\_\_\_\_

Name and Household #		Number of HH members with Enterprise(s)	Number of Enterprises owned by each household member												Total number of Enterprises per HH
Name	No.		Mem 01	Mem 02	Mem 03	Mem 04	Mem 05	Mem 06	Mem 07	Mem 08	Mem 09	Mem 10	Mem 11	Mem 12	

**Instructions:**

1. After completing the Agricultural Module for each Household, use the information on Table D (question D9) to fill out the name of the HH head and the number of members with at least one activity;
2. For each of these members, still based on D9, write the number of activities owned. Then, add up the activities owned by these individual members and fill out the last column with the total number of activities in the household. This number corresponds to the total number of FICHA II questionnaires to be filled out in a particular HH;
3. For the households that have at least one member with an enterprise, fill out the household level questionnaire - FICHA I - to get information on the types of activities and their current operational status, and information on the past household members ownership of Micro/Small Enterprises - **FICHA I** (Tables I, II and III);
4. Prepare the necessary number of questionnaires for the Enterprise Level interviews (**FICHA II**) to be completed with each household member about his/her business and organize the interviews. Pay special attention to the codification of the headers in every questionnaire.

ANNEX 5: HH/Member/MSE Questionnaire

MINISTRY OF AGRICULTURE AND FISHERIES OF MOZAMBIQUE  
and  
Michigan State University /USAID

Micro and Small Enterprise Baseline Survey

August 1996

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**Note on confidentiality:** *"Please note that your participation in this survey is voluntary and please be assured that the information you and other households provide in this survey will be strictly confidential. At the analysis stage of the study, specific names will not be attached to any results and the information you provide will be used only for statistical reporting purposes."*

**Objectives of this survey:** *"This survey is designed to obtain information about how households like yours decide on what non-agricultural/livestock production enterprises members of this household decide to operate for their own account. The information will be used to learn about the problems household members face in producing, using and selling products and services from these enterprises. We appreciate your willingness to talk with us and help us meet these objectives."*

---

MODULE FOR RURAL AREAS

FICHA I

AF ____	Household Number	_____
VIL ____	Village	_____
DIST ____	District	_____
PROV ____	Province	_____
INQ ____	Enumerator	_____
SUP ____	Field Supervisor	_____
Observations:		_____

---

---

**Note:** This Questionnaire needs to be filled out for The Households that have at least one member who owns a Micro or Small Enterprise (MSE). After the identification of household members with MSEs (Question D9 in the Agricultural Survey Module), ask the questions on the next two pages. Don't forget to complete the headers (Identification numbers). After filling out these pages, use FICHA II to get information about each activity owned by the identified household members.



**II. Background on the Participation of Household Members in Businesses on Their Own Account**

H-1 \_\_\_ During the last agricultural season, did any household member leave this place and closed an enterprise by then?

1 = Yes --> Complete the questions on Table II for each of these members.  
 0 = No --> Skip Table II

**Table II. Household Members Who Left and Closed a Business**

No.	Gender 1=Male 2=Female	Type of activity that was developed?  (see Code List)		When did this person leave?  (Year)	How many people were employed in this activity when it was closed?	Where did this household member go?		What is this member doing now?	
		II-2	II-3			1) Other area of this District 2) Other District of this Province 3) Other Province 4) Other Country	II-5	1) Nothing 2) Agriculture 3) Micro/Small Enterprise 4) Working for someone else 5) Don't know	II-6
MEM	II-1	Activity	II-2	II-3	II-4	Destination	II-5	Activity	II-6

See Code List for question: II-2.

H-2 \_\_\_ Between the end of the Civil War and the beginning of the last agricultural season, did any of the current household members owned an activity that has been closed in that period?

1 = Yes --> In Table III, indicate the household member ID # (from Table D in the Agricultural Survey, and ask the questions in the subsequent columns.  
 0 = No --> Skip Table III and start with Ficha II.

**Table III. Household Members Who Had a Business That Was Closed Between the End of the War and Beginning of the Last Agricultural Season**

No.	Type of Activity  (see Code List)		When was the business closed?  (Year)	How many people were employed in the business when it was closed?	Why was this activity closed?  (see Code List)	
	III-1	III-2			Reason of Closure	III-4
MEM	Activity	III-1	III-2	III-3	Reason of Closure	III-4

See Code List for questions: III-1 and III-4.

**ANNEX 6: Member/Enterprise Questionnaire**

**Ministry of Agriculture and Fisheries of Mozambique  
and  
Michigan State University/USAID**

**Micro and Small Enterprise Baseline Survey**

**August 1996**

**MODULE FOR RURAL AREAS**

**FICHA II**

**Enterprise Level Survey to Household Members with MSEs**

PROV ___	Province	_____
DIST ___	District	_____
ALD ___	Village	_____
AF ___	Household ID Number	_____
MEM ___	HH Member ID Number	_____
ACT ___	Member Activity Number	_____
INQ ___	Enumerator	_____
Observations:		_____
		_____
		_____

**Note:** After completing **FICHA I**, use this instrument to interview each household member identified about each of his/her enterprise. Note that the number of these instruments to be filled out in each HH depends on the total number of activities identified in that HH, being each interview held with the member who owns it. In case, the member is not available, talk to someone who can provide basic information about the business.

## INSTRUCTIONS

The next part of the questionnaire is to be repeated for each of the household members who have undertaken on their own account small enterprise/business income earning activities in 1995 and/or 1996 (I-5=1 in Table I). If at all possible, the best person to interview to obtain the information desired is the actual member who is the owner and operator of this enterprise. If this household member is not present at the time of the interview, then the enumerator should ask to speak with another person in the household who can answer a few questions about this specific enterprise owned and operated by this member.

## PART I

### FOR ALL TYPES OF ENTERPRISES

EF-1 \_\_\_\_ Is the person being interviewed the owner of the business?

1 = Yes --> Skip to EF-3.

0 = No --> Ask EF-2.

EF-2 \_\_\_\_ Is the interview being conducted with a member/person who works in the business?

1 = Yes

0 = No

EF-3 \_\_\_\_ What is the enterprise/business type? \_\_\_\_\_ (see Code List)

EF-4 \_\_\_\_ What is the ownership arrangement?

1) Female, one proprietor

4) Multiple proprietors - blood relatives

2) Male, one proprietor

5) Multiple proprietors - non-family

3) Multiple proprietors-husband and wife

6) Other

#### EF-5. When did the Enterprise/Business first get started?

EF-5A \_\_\_\_ In which year did the enterprise/business start?

EF-5B \_\_\_\_ In which month did the enterprise/business start? (1=January, 2=February, ..., 12=December)

EF-6 \_\_\_\_ What is the location of the enterprise?

1) In the owners home

5) At a mobile location

2) In a local market

6) At home and in the local market

3) In a commercial district shop

7) Along a roadside and in the local market

4) Along a roadside

8) At home and along a roadside

9) Other place

#### Enterprise working patterns

EF-7 \_\_\_\_ How many months has the enterprise/business operated since August of 1995, i.e., out of the last 12 months?

(code 99 if activity is < 1 year old).

EF-8 \_\_\_ How many days did the enterprise/business operate the last month that it operated? (code 99 if activity is < 1 month old)?

**Enumerator:** Write the number of days the respondent says. Note that:

- All days of the month = 30
- All days except sundays = 25
- Mondays through fridays = 20

EF-9 \_\_\_ How many hours per day did the enterprise/business operate the last week that it operated?

EF-10 \_\_\_ Does the this enterprise usually close over lunch?

- 1 = Yes
- 0 = No

**We would now like to ask you some questions about the WORK FORCE you use in your enterprise/business.**

**Enumerator:** Start this part by asking: **How many people were working in this business in the LAST MONTH of operation this year (1996)? Plug the number in the first line - Column for total # of workers (IV-6).** Then proceed completing the cells for the different categories of workers in the same period. After this, using the same method, ask about the periods.

**Table IV. Work Force Used by the Enterprise/Business**

Employment Period	Number of Workers					# of Female Workers	# of Workers Under 15	
	# of Working Owners	# of Paid Workers	# of Unpaid Workers	Apprentices	Total			
Period	IV-1	IV-2	IV-3	IV-4	IV-5	IV-6	IV-7	IV-8
Last Month of operation in 1996	96							
The end of 1995	95							
The end of 1994	94							
In the beginning	01							

EF-11 \_\_\_ Did any of the workers EMPLOYED IN THE LAST MONTH OF OPERATION IN 1996, work **Part-Time**, i.e., less hours than the total hours/day that the business was normally operating?

- 1 = Yes
- 0 = No --> Skip to question EF-13.

**EF-12. How many of the workers in each of the following categories work part-time?**

- EF-12A \_\_\_ How many part-time working owners
- EF-12B \_\_\_ How many part-time paid workers
- EF-12C \_\_\_ How many part-time unpaid workers
- EF-12D \_\_\_ How many part-time apprentices

EF-13 \_\_\_ Do you sometimes hire casual workers?

- 1 = Yes
- 0 = No --> Skip to question EF-15

EF-14 \_\_\_ If yes, how many casual workers were hired during the most busy time of the year?

**Migration and Acquisition of Skills during the War**

EF-15 \_\_\_ Have you always lived in this village?

- 1 = Yes --> skip to question EF-20  
0 = No

**EF-16. When did you (the owner of the business) settle down here for the last time?**

EF-16A \_\_\_ In which year did you come here the last time?

EF-16B \_\_\_ In which month did you come here the last time?

EF-17 \_\_\_ Why did you come here? (see Code List)

EF-18 \_\_\_ Where did you live before coming here?

- 1) Other village of this District
- 2) Other District of this Province
- 3) Outside this Province
- 4) Outside Mozambique

EF-19 \_\_\_ Have you ever lived in a Refugee Camp?

- |                                  |                  |
|----------------------------------|------------------|
| 1) Never lived in a Refugee Camp | 5) In Swaziland  |
| 2) In Zimbabwe                   | 6) In Zambia     |
| 3) In Malawi                     | 7) In Tanzania   |
| 4) In South Africa               | 8) In Mozambique |

EF-20 \_\_\_ What was the main source of income for you (the owner of these enterprise) during the armed conflict?

- |                                 |  |
|---------------------------------|--|
| 1) Agriculture                  | 6) Relief assistance                         |
| 2) Paid employment - government | 7) Soldering                                 |
| 3) Paid employment - other      | 8) This enterprise                           |
| 4) Pensions/retirement          | 9) Other enterprise (indicate type in EF-21) |
| 5) Remittances                  | 10) Other source                             |

EF-21 \_\_\_ If EF-20=9, what type of business was that? \_\_\_\_\_ (see Code List)

EF-22 \_\_\_ Are you contemplating moving soon?

- 1) Expect to move soon
- 2) May possibly move soon
- 3) Do not expect to move soon

EF-23 \_\_\_ Did you acquire some skills during the time of the conflict that contribute to your ability to operate a this business?

- 1 = Yes

0 = No --> Skip to EF-25

EF-24 \_\_\_\_ If yes, please describe the skill acquired (see Code List)

---



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**Education and Training**

EF-25 \_\_\_\_ What level of formal education did you (the owner) receive?

- |                           |                                   |
|---------------------------|-----------------------------------|
| 0) None --> Skip to EF-27 | 3) 3rd grade,...., 12) 12th grade |
| 1) 1st grade              | 13) Some University attendance    |
| 2) 2nd grade              | 14) Completed University degree   |

EF-26 \_\_\_\_ Was this a technical or academic program?

- 1) Technical
- 2) Academic

EF-27 \_\_\_\_ Did this enterprise receive any kind of NON-FINANCIAL ASSISTANCE?

- 1 = Yes
- 0 = No --> Skip to EF-29

**EF-28. If yes, what kind of NON-FINANCIAL ASSISTANCE did this enterprise receive?**

**Enumerator:** Answer for each kind indicated below:

- 1 = Yes
- or 0 = No

- EF-28A \_\_\_\_ Management training
- EF-28B \_\_\_\_ Technical training/advice
- EF-28C \_\_\_\_ Marketing assistance
- EF-28D \_\_\_\_ Other advice/training from formal institutions
- EF-28E \_\_\_\_ Informal advice/training assistance
- EF-28F \_\_\_\_ Multiple assistance
- EF-28G \_\_\_\_ Other types of Non-Financial assistance

**EF-29. What type(s) of non-financial assistance would you like to receive?**

**Enumerator:** Answer for each type indicated below:

- 1 = Yes
- or 0 = No

- EF-29A \_\_\_\_ Management training
- EF-29B \_\_\_\_ Technical training/advice
- EF-29C \_\_\_\_ Marketing assistance
- EF-29D \_\_\_\_ Other advice/training from formal institutions
- EF-29E \_\_\_\_ Informal advice/training assistance
- EF-29F \_\_\_\_ Multiple assistance

EF-29G \_\_\_ Other types of Non-Financial assistance

**Enumerator:** If the respondent is not interested in any type non-financial assistance (i.e., EF-29A through EF-29G, all=0), **SKIP TO QUESTION EF-32).**

EF-30 \_\_\_ If assistance is to be provided, would you prefer this assistance to be offered:

- |                                    |                                       |
|------------------------------------|---------------------------------------|
| 1) One half day or evening session | 4) Longer training sessions           |
| 2) One full day session            | 5) Opportunities to consult as needed |
| 3) One week of training            | 6) Other options                      |

EF-31 \_\_\_ Would you (the owner) be willing to pay part of the cost for such training/advice?

- 1 = Yes
- 0 = No
- 2 = Not sure

**Participation in Enterprise/Business Groups and Access to Credit**

EF-32 \_\_\_ Do you (the owner) belong to any business support group or informal business network such as a women’s group, trade association, cooperative, or informal business group?

- 1 = Yes
- 0 = No --> Skip to EF-35

EF-33 \_\_\_ If yes, have you (the owner) received any benefits from such membership?

- 1 = Yes
- 0 = No --> Skip to EF-35

**EF-34. If yes, what type(s) of benefits did you (the owner) received?**

**Enumerator:** Answer for each type indicated below:

- 1 = Yes
- or 0 = No

- EF-34A \_\_\_ Exchange of information
- EF-34B \_\_\_ Purchased inputs jointly
- EF-34C \_\_\_ Sold output jointly
- EF-34D \_\_\_ Received credit through association/group
- EF-34E \_\_\_ Access to Non-financial assistance
- EF-34F \_\_\_ Worked together to change rules or policies
- EF-34G \_\_\_ Other benefits

EF-35 \_\_\_ Has this enterprise ever received any type of credit for operating and/or investment purposes?

1 = Yes  
 0 = No --> Skip to EF-37

**EF-36. If this enterprise has received credit, from which of the following sources was it obtained?**

**Enumerator:** For each of the cases below, answer:

1 = Yes  
 or 0 = No

- EF-36A \_\_\_ Loan from family or friends
- EF-36B \_\_\_ Moneylender
- EF-36C \_\_\_ Formal Credit Institution
- EF-36D \_\_\_ Rotating Savings and Credit Association (Xitique)
- EF-36E \_\_\_ Other sources

**Cash Receipts**

Now, we would like to ask you some questions about the Cash Receipts generated in your business over the past 12 months?

**EF-37 \_\_\_ Over the past 12 months, has this enterprise sold any products or services?**

1 = Yes --> Go to Table V  
 0 = No --> Skip Table V

**Table V. Sales of Goods and Services**

Month of Sales		Did this enterprise have sales this month  1 = Yes 0 = No	What is your estimate of the approximate value of sales during each of these months?  (think in terms of summing over all days worked in each of these months)	If the business did not have sales this month (V-2=0), what was the reason?  (see Code List)	
Month/Year	V-1	V-2	V-3	Reason why the business had no sales	V-4
July 1996	9607				
June 1996	9606				
May 1996	9605				
April 1996	9604				
March 1996	9603				
February 1996	9602				

January 1996	9601				
December 1995	9512				
November 1995	9511				
October 1995	9510				
September 1995	9509				
August 1995	9508				

See Code List for question: V-4

**INSTRUCTIONS**

. If this is a trading enterprise --> Ask questions EF-38 and complete Table VI.

. If this is a manufacturing, repair or service enterprise --> Ask question EF-39 and complete Table VII.

**PART II**

**TRADING ENTERPRISES**

EF-38 \_\_\_ Can you please tell us something about the current expenses (i.e., purchase of products for sale, payment of salaries, transport, etc) associated with the operation of this trading business? That is, some information on the most important costs of doing business in the recent past.

1 = Yes --> Go to Table VI

0 = No --> Skip to question EF-40 in Part IV

We would like to ask a few questions about the costs of operation of this enterprise/business in the most recent month in the past that the business has been operating.

**Enumerator:** Ask each question in the Table below in terms of costs during the last month of operation. If they can only respond in terms of costs per week, or per day, then obtain this data, and make the proper coding in variable VI-2. Record an answer for each item. Enter 999 if the business does not have a cost in the listed category. Do not include the wages paid to the owner.

**Table VI: Trade Operating Expenses**

Cost Item		Cost per time period (Meticais)	Time Period: 1) Day 2) Week 3) Month
Item	INP	VI-1	VI-2
Purchase Cost of Product 1:	21		
Purchase Cost of Product 2:	22		
Purchase Cost of Product 3:	23		
Purchase Cost of Product 4:	24		
Purchase Cost of Product 5:	25		
Paid labor: Salaries	1		
Paid labor: Piece workers	2		
Paid labor: Other	3		
Water for business	5		
Transport: Inputs	7		
Transport: Outputs	8		
Transport: Other	9		
Rent of shop/storage space	10		
Taxes/Fees	12		
Cost of credit (interest payments)	13		
Repairs or service of machines	14		
Other Costs 1	15		
Other Costs 2	16		
Other Costs 3	17		

**PART III**

**MANUFACTURERS, REPAIR OR SERVICE ENTERPRISES**

EF-38 \_\_\_\_ Can you please tell us something about the current expenses (i.e., purchase of inputs, payment of salaries, transport, etc) associated with the operation of this business? That is, some information on the most important costs of doing business in the recent past.

- 1 = Yes --> Go to Table VII
- 0 = No --> Skip to question EF-40 in Part IV

We would like to ask a few questions about the costs of operation of this enterprise/business in the most recent month in the past that the business has been operating.

**Enumerator:** Ask each question in the Table below in terms of costs during the last month of operation. If they can only respond in terms of costs per week, or per day, then obtain this data, and make the proper coding in variable VII-2. Record an answer for each item. Enter 999 if the business does not have a cost in the listed category. Do not include the wages paid to the owner.

**Table VII: Manufacturer, Repair or Service Enterprise Operating Expenses**

Cost Item		Cost per time period (Meticais)	Time period: 1) Day 2) Week 3) Month
Item	INP	VII-1	VII-2
Inputs/...: 1	21		
Inputs/...: 2	22		
Inputs/...: 3	23		
Inputs/...: 4	24		
Inputs/...: 5	25		
Inputs/...: 6	26		
Inputs/...: 7	27		
Paid labor: Salaries	1		
Paid labor: Piece workers	2		
Paid labor: Other	3		
Water for business	5		
Transport: Inputs	7		
Transport: Outputs	8		
Transport: Other	9		
Rent of shop/storage space	10		
Taxes/Fees	12		
Cost of credit (interest payments)	13		
Repairs or service of machines	14		
Other Costs 1	15		
Other Costs 2	16		
Other Costs 3	17		
Other Costs 4	18		

**PART IV****FOR ALL TYPES OF ENTERPRISES****Starting Up Investment, Working Capital and Funding Sources**

EF-40 \_\_\_\_\_ Mts      How much money did you spend, in the beginning of this business, for the investment in **Fixed Assets** (i.e., infra-structures, machinery/equipment/working tools, etc)?

EF-41 \_\_\_\_\_ Mts      How much money did you spend in **Working Capital to start up this (first cycle)** (i.e., purchase of goods for sale, payment of workers, transport, etc)?

EF-42 \_\_\_\_      What was the principal source of funds used to start the business?

- 1) Own savings, including salary, terminal benefits or profits from another business
- 2) Funds lent by others in family or friends
- 3) Funds offered by others in the family or friends
- 4) ROSCAS (XITIQUE) and loans from savings associations at work place
- 5) Loans from employers
- 6) Borrowing from other informal sources
- 7) Borrowing from formal financial institutions
- 8) Receipts from sale of another business that closed
- 9) Other sources

**Enumerator:** In Table VIII, below, indicate the value that the respondent attributes to each of the items he/she currently has, if they were to be sold today. For Raw Materials (01), Furniture/Fittings (02) and Machinery, Equipment and Hand Tools (03) list below each group the items that currently exist under that group. Then, in the second column indicate individual values attributed to each. After that, add this individual values (for each group) and plug the totals for each category: Raw Materials (01), Furniture/Fittings (02), and so on. For Infra-structures (04), Land (05) and Stored Outputs (06), plug directly the attributed value.

**Table VIII: Value of Current Business Items**

ITEM	For how much would you sell today?	
	VIII-1	VIII-2
Raw Materials	01	
.		
.		
.		
.		
Furniture/Fittings	02	
.		
.		
.		
.		
Machinery, Equipment and Hand Tools	03	
.		
.		
.		
.		
Infra-structure (if owned by proprietor)	04	
Land (if owned by proprietor and used in the business)	05	
Stored Outputs	06	

EF-43 \_\_\_\_\_ Mts      What was the total amount spent in Current Expenses during the LAST MONTH that the business worked?

**Table IX: Sources of Funding for the Current Assets**

ITEM	PD	Sources of Funding (see Codes below)
	IX-1	IX-2
Raw Materials	01	
Furniture/Fittings	02	
Machinery, Equipment and Hand Tools	03	
Infra-structure (if owned by proprietor)	04	
Land (if owned by proprietor and used for business)	05	

**Codes for Sources of Funding: IX-2**

- |  |   |
|--|---|
| 1) Reinvested profits from the business itself                                       | 6) Loans from employers                               |
| 2) Own savings, including salary, terminal benefits or profits from another business | 7) Borrowing from other informal sources              |
| 3) Funds lent by others in family or friends   | 8) Borrowing from formal financial institutions       |
| 4) Funds given by others in family or friends  | 9) Receipts from sale of another business that closed |
| 5) ROSCAS (XITIQUE) and loans from savings associations at work place                | 10) Other sources of funding                          |



**Profits Earned and Their Uses**

EF-44 \_\_\_\_\_ Mts            How much profits (Total Monthly Revenues minus Total Monthly Current Expenses) were earned by this business in the last month of operation?

**EF-45. What are the most important things that you (the owner of this business) normally do with the profits from this business (List in decreasing order of importance)**

- 1) Add a new business                      6) Give to family/rural areas
- 2) Reinvest in this business              7) Put into savings
- 3) Invest in Agriculture    8) Use for entertainment
- 4) Use for household needs              9) Medical expenses
- 5) Children's education    10) Other uses

EF-45A \_\_\_\_    First most important application of the profits  
 EF-45B \_\_\_\_    Second most important application of the profits  
 EF-45C \_\_\_\_    Third most important application of the profits

**EF-46. Aside from this enterprise, since August 1995, have you (the owner) received income (in cash or kind) from any or all of the following sources? Enumerator: For each case answer:**

1 = Yes  
 or    0 = No

- EF-46A \_\_\_\_    Agriculture
- EF-46B \_\_\_\_    Wage employment - government
- EF-46C \_\_\_\_    Wage employment - other
- EF-46D \_\_\_\_    Another (or other) small enterprise(s)
- EF-46E \_\_\_\_    Pensions
- EF-46F \_\_\_\_    Remittances
- EF-46G \_\_\_\_    Other sources

**Enumerator:** If there are no alternative sources of income (i.e., EF-46A through EF-46G, all=0), **SKIP TO QUESTION EF-49.**

**EF-47. Over the past year, which of these provided the first and second most important contributions to your (the owner) income (in cash and in kind)? (Enumerator: If the respondent answers "this business, code it as 7.**

- 1) Agriculture    5) Pensions
- 2) Wage employment - government                      6) Remittances
- 3) Wage employment - other    7) This enterprise
- 4) Another (or other) small enterprise(s)    8) Other source

EF-47A \_\_\_\_    First most important income source  
 EF-47B \_\_\_\_    Second most important income source

EF-48 \_\_\_\_    What proportion of your (the owner) total income is provided by this business?

- 1) Provides all or almost all income    4) Provides less than half of the income
- 2) Provides more than half    5) Provides negligible part of the total income
- 3) Provides about half of the total income

**Output and Input Markets**

EF-49 \_\_\_\_ Who are your principal customers, for the products or services that this business sells?

- 1) Final consumers living in the immediate neighborhood
- 2) Final consumers, from other areas
- 3) Traders, who come to buy at my work place
- 4) Traders - I transport the product to them
- 5) Other businesses (not traders)
- 6) Government institutions
- 7) Other clients

EF-50 \_\_\_\_ What is the principal source of inputs for this business?

- 1) collected/gathered/grown by myself or my family
- 2) purchased from neighbors who collect/gather/grow them
- 3) purchased locally from retailers
- 4) purchased locally from wholesalers
- 5) purchased from retailers - I go to town to buy them
- 6) purchased from wholesalers - I go to town to buy them
- 7) other sources

**Problems faced by the Enterprises**

**EF-51. What were the two biggest problems this business has faced over the last year? (Enumerator: If person says CREDIT, ask what kind of problem credit would solve).**

EF-51A \_\_\_\_ First problem faced by the business (see Code List)

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---

EF-51B \_\_\_\_ Second problem faced by the business (see Code List)

---



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EF-52 \_\_\_\_ Have you faced any problems from government regulations, government controls, or other actions of local or central government authorities?

- 1 = Yes
- 0 = No

**EF-53. If so (EF-52=1), please describe them:**

EF-53A \_\_\_\_ First problem faced from government regulations/other actions (see Code List)

---



---

EF-53B \_\_\_\_ Second problem faced from government regulations/other actions (see Code List)

---



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EF-54 \_\_\_\_ Do you have a license to operate this business?

- 1 = Yes
- 0 = No

YOU VERY MUCH FOR YOUR TIME AND COOPERATION

THANK

**B. URBAN AREAS: INSTRUMENTS AND CODE SHEETS**

Micro and Small Enterprise Baseline Survey

Code List for Urban Areas

1. Type of Business

\* Questions: EF-3, EF-21 and EF-59X

\* Tables: Tables IIIIX (Closed Enterprise Questionnaire)

---

**A. Manufacturing and Processing**

- |   |   |
|---|---|
| 1) Maize Mill                                 | 35) Other Chemicals Production                    |
| 2) Other Grain Mill                           | 36) Rubber Products                               |
| 3) Bakery Production                          | 37) Plastic Shoe Production                       |
| 4) Dairy Products                             | 38) Other Plastic Works                           |
| 5) Meat Slaughtering/Processing               | 39) Cordage/Rope/Twine Production                 |
| 6) Fish preserving/Processing                 | 40) Basket/"esteiras" Production                  |
| 7) Animal oils/fats Processing                | 41) Charcoal Production                           |
| 8) Vegetable Oils Processing                  | 42) Sawmills/woodmills                            |
| 9) Fresh Vegetable Processing                 | 43) Paper/Pulp Products                           |
| 10) Fresh Fruit Processing                    | 44) Non-Metal Furniture Making                    |
| 11) Fresh Flower Processing                   | 45) Wood Crate production                         |
| 12) Sugar Processing                          | 46) Wood Construction Materials Production        |
| 13) Other Sugar Products                      | 47) <b>"Tapetes e cestos de sisal"</b> Production |
| 14) Tobacco Processing/Packaging              | 48) Wood Furniture and other wood Products        |
| 15) Tea Processing/Packaging                  | 49) Cement/Lime/Plaster Production                |
| 16) Coffee Processing/Packaging               | 50) Brick/Block Making                            |
| 17) Preparing Ready to Eat Food               | 51) Roof Tile Making                              |
| 18) Other Agro-Industries                     | 52) Stone Mason                                   |
| 19) Animal Feed Production                    | 53) Pottery/Earthenware                           |
| 20) Sugar Cane Beer Production                | 54) Metal Furniture/Grills Production             |
| 21) Cashew Beer Production                    | 55) Metal Electrical Machine Production           |
| 22) "Sura" Beer Production                    | 56) Metal Non-Electric Machine Production         |
| 23) Sorghum Beer Production                   | 57) Household Metal Goods                         |
| 24) Other spirits Production                  | 58) Other Tinsmiting                              |
| 25) Wearing apparel production                | 59) Other Blacksmithing                           |
| 26) Weaving/Spinning                          | 60) Other Welding                                 |
| 27) Other textile activities                  | 61) Other Metal Work                              |
| 28) Leather Tanning/Finishing                 | 62) Printing/Publishing                           |
| 29) Leather Shoe Production                   | 63) Jewelry Production                            |
| 30) Other Leather Work                        | 64) Wood Carving                                  |
| 31) Fertilizer/Pesticide Production           | 65) Other Art Production                          |
| 32) Paint/Varnish Production                  | 66) Recycling Activities                          |
| 33) Drug/Medicine Production                  | 67) All Other Manufacturing Activities            |
| 34) Soap, Cosmetics and Toiletries Production |   |
-

---

**B. Trading Activities**

- |  |  |
|--|--|
| 68) Wholesale of Food, Drink, Tobacco        | 86) Retail of Fuel, Charcoal                               |
| 69) Wholesale of Agricultural Products       | 87) Retail of Domestic Hardware                            |
| 70) Wholesale of Livestock                   | 88) Retail of Building Materials                           |
| 71) Wholesale of Fish and Other Sea Foods    | 89) Retail of Machinery, Tools                             |
| 72) Wholesale of New Clothes                 | 90) Retail of New Clothes                                  |
| 73) Wholesale of Used Clothes                | 91) Retail of Used Clothes                                 |
| 74) Wholesale of Other Textiles              | 92) Retail of Other Textiles                               |
| 75) Wholesale of Building Materials          | 93) Retail of Leather Shoes and Other Leather Items        |
| 76) Wholesale of Domestic Hardware           | 94) Retail of Art/Artifacts                                |
| 77) Wholesale of Machinery, Tools            | 95) Retail of grass products                               |
| 78) Wholesale of <b>Scrap</b>                | 96) Retail Newspapers                                      |
| 79) Wholesale of Seeds and Chemical Products | 97) General Kiosk/Grocery Shop                             |
| 80) All Other Wholesale Trade                | 98) Stationers/Bookstore                                   |
| 81) Retail of Livestock                      | 99) Filling Station  |
| 82) Butchery                                 | 100) Pharmacy/Retail of Drug/Medicine                      |
| 83) Retail of Fish and Other Sea Foods       | 101) Retail of Animal Feed                                 |
| 84) Retail of Food, Drinks, Tobacco          | 201) <b>Banca de vendas a retalho de produtos diversos</b> |
| 85) Retail of Agricultural Products          | 102) All Other Retail Trade                                |

---

**C. Repairing and Service Activities**

- |   |   |
|---|---|
| 103) Restaurant/Bar/Pub/Take-away                     | 125) Hunting/Guide Services                       |
| 104) Entertainment Services                           | 126) Funeral Services                             |
| 105) Short-Term Lodging                               | 127) Legal Services                               |
| 106) Room/Guest House                                 | 128) Accounting/Bookkeeping Services              |
| 107) Storage/Warehousing of Grains                    | 129) Data Processing Services                     |
| 108) Storage/Warehousing of Other Products            | 130) Daycare/Nursery Services                     |
| 109) Boat Hire  | 131) Other Professional Services                  |
| 110) Bus/Public Transport                             | 132) Building Construction/Painting               |
| 111) Taxi Service                                     | 133) Plumber                                      |
| 112) Hand Cart ("Tchova Xita Duma Cart"), Animal Cart | 134) Electrician                                  |
| 113) Livestock Transport                              | 135) Other Construction/Building Repairs Services |
| 114) Fresh Fruits/Vegetables/Flowers Transport        | 136) Motor Vehicle Repair                         |
| 115) Private Daily Transport "Chapa 100"              | 137) Bicycle Repair                               |
| 116) Timber, Forest Products Transport                | 138) Electrical Equipment Repair                  |
| 117) Construction Materials Transport                 | 139) Clock/Watch Repair                           |
| 118) Transport of clothes                             | 140) Shoe/Leather Work Repair                     |
| 119) Other Goods Transport                            | 141) Other Repairs                                |
| 120) Laundry/Dry Cleaner                              | 142) Photo Studio                                 |
| 121) Hairdresser/Barber                               | 143) Sign Painting                                |
| 122) Private Clinic                                   | 144) Real Estate/Landlord                         |
| 123) Herbalist/Medicine Man                           | 145) All Other Services                           |
| 124) Veterinary Services                              |   |
-

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## **D. Fishing and Extraction Activities**

146) **Gathering and Sale of Grass and Firewood**

147) **Gathering and Sale of Water**

148) Fishing and Sale of Fish or Other Sea Food

149) Mineral Extraction

150) Other Extraction Activities

---

### 2. Reasons for Enterprise Closure

\* Tables:        Tables IIIX (**Closed Enterprise Questionnaire**)

- 1) Lack of Demand
- 2) Lack of Raw Materials/Labor
- 3) Raw Materials/Spare Parts/Labor Expensive
- 4) Lack of Spare Parts/Broken Machinery
- 5) Lack of Operating Funds
- 6) Lack of transport
- 7) Lack of Water/Electricity
- 8) Water/Electricity Expensive
- 9) Theft
- 10) Animals Getting Sick
- 11) Accidents
- 12) Personal Health
- 13) Problem with Authorities/Government Involvement/Harassment
- 14) High Taxes/Fees/Lack of License to Operate
- 15) Other Reasons

### 3. Why Did You Decide to Set Up The Business at This Location

\* Questions:    EF-18X

- 1) Family reasons
- 2) It is close to my agricultural/livestock field
- 3) It is close to my residence
- 4) It is close to basic infra-structures (road, hospital, school, Etc...)
- 5) It is my home land
- 6) I was forced by local authorities
- 7) It is closer to consumer markets
- 8) It is closer to input markets
- 9) It is more secure
- 10) It has better sanitation
- 11) It has more space for sales (less congested)
- 12) The taxes/fees charged are lower
- 13) There are no taxes/fees
- 14) Other reasons

#### 4. Abilities Acquired During The Civil War

\* Questions: EF-24

- 1) Technical knowledge to operate equipment
- 2) Work with new type of equipment
- 3) Learned new technique that is being useful on the business
- 4) Learned new language from other place that facilitates way of doing business now (communication)
- 5) Other Abilities

#### 5. Reasons For Not Having Sales

\* Tables: Table V

- 
- |   |                                   |
|---|-----------------------------------|
| 1) Lack of Demand                       | 10) Lack of water/electricity     |
| 2) Orders not picked up                 | 11) Telephone service unavailable |
| 3) Lack of raw materials/labor          | 12) Water/electricity expensive   |
| 4) Raw materials/Spares/labor expensive | 13) Bad Weather                   |
| 5) Lack of spare parts/Broken machinery | 14) Theft                         |
| 6) Seasonal Activity                    | 15) Animals getting sick          |
| 7) Lack of operating funds              | 16) Accidents                     |
| 8) Deterioration of stored products     | 17) Personal care                 |
| 9) Lack of transport                    | 18) Other problems                |
- 

#### 6. General Problems Faced By The Enterprises

\* Questions: EF-51A and EF-51B

- 
- 
- |  |   |
|--|---|
| 1) Lack of investment funds                  | 39) Raw materials stocks unavailable                |
| 2) Lack of operating funds                   | 40) Bad quality of purchased raw materials          |
| 3) High interest rates                       | 41) Raw materials deterioration (stock goes bad)    |
| 4) Unavailable credit                        | 42) Other problems with raw materials/inputs        |
| 5) Clients not repaying debts                | 43) Public transport unavailable                    |
| 6) Other financial problems                  | 44) Public transport expensive                      |
| 7) Tools/machinery unavailable               | 45) Public transport inefficient                    |
| 8) Machinery tools/spare parts expensive     | 46) Need own transport vehicle                      |
| 9) Maintenance/repairs expensive             | 47) Roads are bad                                   |
| 10) Spare parts unavailable                  | 48) Traffic congestion                              |
| 11) Repair services unavailable              | 49) Other transport problems                        |
| 12) Other problems with spares/machinery     | 50) Skilled labor unavailable                       |
| 13) Lack of clients                          | 51) Skilled labor expensive                         |
| 14) Too many competitors                     | 52) Unskilled labor unavailable                     |
| 15) Market too far                           | 53) Unskilled labor expensive                       |
| 16) Being underpriced                        | 54) Lack of loyalty                                 |
| 17) Suppliers cheat us                       | 55) Other labor problems                            |
| 18) Low prices received                      | 56) Water/electricity unavailable                   |
| 19) <b>Shoplifting</b>                       | 57) Telephone service unavailable                   |
| 20) Orders not picked up                     | 58) Unreliable supply of water/electricity          |
| 21) Lack of effective demand                 | 59) Water/electricity expensive                     |
| 22) Prices fluctuating                       | 60) Other problems with water/electricity/telephone |
| 23) Other market Problems                    | 61) Access to training unavailable                  |
| 24) High taxes                               | 62) Management problems                             |
| 25) Problems with business licenses          | 63) Other technical problems                        |
| 26) Government Involvement/harassment        | 64) Personal health problems                        |
| 27) City Council fees too high               | 65) Old age   |
| 28) Other Government problems                | 66) Child care                                      |
| 29) Shop space unavailable                   | 67) Household responsibilities                      |
| 30) Rent expensive                           | 68) Currency devaluation                            |
| 31) Shop space and inadequate and unsuitable | 69) Bad weather                                     |
| 32) Poor location                            | 70) Theft   |
| 33) Zoning problems                          | 71) Animals getting sick                            |
| 34) Lack of shelter                          | 72) Accidents                                       |
| 35) Lack of storage                          | 73) Losses in the business                          |
| 36) Other shop/space problems                | 74) Difficult to conciliate with other activities   |
| 37) Lack of raw materials                    | 75) Other problems                                  |
| 38) Raw materials too expensive              |   |
- 
- 

## 7. Problems Related To Government Regulations And Actions

\* Questions: EF-53A and EF-53B

- 1) Taxes too high
- 2) Difficult to get license to operate legally
- 3) Government Involvement/Harassment
- 4) City Council fees too high
- 5) Other problems with authorities

## 8. Reasons For Investing/Not Investing In The Near Future

\* Questions: EF-55X

### . **Reasons To Invest**

- 1) Increase supply to meet demand needs
- 2) Substitute obsolete equipment
- 3) Update technology to face competition
- 4) Take advantage of cheap credit
- 5) It is a profitable business/expansion is worthwhile
- 6) Local authorities are providing facilities
- 7) I had access to foreign investment
- 8) I had access to foreign markets
- 9) Other reasons to invest

### . **Reasons For Not Investing**

- 30) Machinery/tools and other investment goods unavailable
- 31) Investment goods expensive
- 32) Lack of own investment funds
- 33) Credit unavailable
- 34) High interest rates
- 35) Lack of clients (market demand)
- 36) Business not profitable/not feasible (in the short/medium run)
- 37) Business not profitable/not feasible (in the long run)
- 38) Lack of security in the area (Thefts, etc)
- 39) Zoning problems
- 40) Skilled labor unavailable
- 41) Raw materials/spare parts unavailable
- 42) Raw materials/spare parts expensive
- 43) Maintenance/repairs unavailable/expensive
- 44) Personal health problems
- 45) Old age
- 46) Currency devaluation
- 47) Other reasons for not investing

# ANNEX 8: Control Sheet for Urban Residential Areas Quarteiroes

## BASELINE SURVEY TO MICRO AND SMALL ENTERPRISES

### CONTROL SHEET FOR URBAN AREAS

\_\_\_\_\_ PROV \_\_\_\_\_  
 \_\_\_\_\_ CID \_\_\_\_\_  
 \_\_\_\_\_ QRT \_\_\_\_\_

Location Number	Type of Location:  Is this location a home or a place of business?  1) Home 2) Business Site	Description of location (# of house, if available)	Are there people in the place?  1 = Yes 0 = No	Is/was there a business activity taking place at this location, over the past 12 months?  <b>Enumerator:</b> If C-4=0, skip to the <b>Closed Enterprise Questionnaire</b>		How many enterprises are/were operating at this location?	Enterprise Number  (EMP)	Result:  * Operated during the reference period:  1 = It is currently operating --> <b>Interview</b> 2 = It is not operating/was not liquidated -> <b>Interview</b> 3 = It is not operating/was liquidated --> <b>Interview</b>
				Is/was there in <b>this place</b> activities of:  . Manufacturing . Trading  . Services/repairs . Sales after extraction /fishing <b>(If yes go to the next column)</b> 1 = Yes 0 = No	For the manufacturing businesses ask: Is this only the sales place with the production taking place in other location?  1 = Yes --> Don't interview 0 = No			
LOC	C-1	C-2	C-3	C-4	C-5	C-6	EMP	C-7
							1	
							2	
							3	
							4	
							1	
							2	
							3	
							4	

							1	
							2	
							3	
							4	
							1	
							2	
							3	
							4	
							1	
							2	
							3	
							4	
							1	
							2	
							3	
							4	

\_\_\_ Was Sub-sampling used?

1 = Yes

0 = No

If yes, indicate the total number of households in this *Quarteirão*: \_\_\_\_\_

## ANNEX 9: City Market Operators Census

### MICRO AND SMALL ENTERPRISE BASELINE SURVEY IN URBAN AREAS COUNTING OF OPERATORS AND NUMBER OF INTERVIEWS IN THE MAJOR CITY MARKETS CID

Market Name and Location			Manufacturing/Processing		Trade		Services	
			# Total	# Interviews	# Total	# Interviews	# Total	# Int
QRT	MARKET	MC	PT	PE	CT	CE	ST	
	Bairro: Unidade/Célula: Quarteirão:		Examples: . . .		Examples: . . .		Examples: . . .	
	Bairro: Unidade/Célula: Quarteirão:		Examples: . . .		Examples: . . .		Examples: . . .	
	Bairro: Unidade/Célula: Quarteirão:		Examples: . . .		Examples: . . .		Examples: . . .	
	Bairro: Unidade/Célula: Quarteirão:		Examples: . . .		Examples: . . .		Examples: . . .	
	Bairro: Unidade/Célula: Quarteirão:		Examples: . . .		Examples: . . .		Examples: . . .	
	Bairro: Unidade/Célula: Quarteirão:		Examples: . . .		Examples: . . .		Examples: . . .	

**ANNEX 10: MSE Urban Survey Enterprise Level Questionnaire**

**MINISTRY OF AGRICULTURE AND FISHERIES OF MOZAMBIQUE**

**and**

**Michigan State University/USAID**

**Micro and Small Enterprise Baseline Survey**

**December 1996**

**Note on confidentiality:** *"Please note that your participation in this survey is voluntary and please be assured that the information you and other households provide in this survey will be strictly confidential. At the analysis stage of the study, specific names will not be attached to any results and the information you provide will be used only for statistical reporting purposes."*

**Objectives of this survey:** *"This survey is designed to obtain information about how households like yours decide on what non-agricultural/livestock production enterprises members of this household decide to operate for their own account. The information will be used to learn about the problems household members face in producing, using and selling products and services from these enterprises. We appreciate your willingness to talk with us and help us meet these objectives."*

**MODULE FOR URBAN AREAS**

PROV ___	Province	_____
CID ___	City/Town	_____
QRT ___	Quarteirão	_____
LOC ___	Location	_____
EMP ___	Enterprise Number	_____
Name of the Owner		_____
INQ ___	Enumerator	_____
SUP ___	Field Supervisor	_____
Observations		_____

**Quality Control**

Activity	Check "Yes" when the activity is done	Date
Interview	Yes No	
Field Revision	Yes No	
Office Revision	Yes No	
Cleaning	Yes No	
Post-Coding	Yes No	
Ready for Data Entry?	Yes No	
Data Entered	Yes No	
Data Entry Specialist	Sign	

## INSTRUCTIONS

If possible, the following questions should be answered by the owner of the business. If the owner is not available at the time of the visit, the enumerator can ask someone else that is familiar with the business to provide some information about the enterprise.

### PART I

#### FOR ALL TYPES OF ENTERPRISES

EF-1 \_\_\_ Is the person being interviewed the owner of the business?

1 = Yes --> Skip to EF-3.  
0 = No --> Ask EF-2.

EF-2 \_\_\_ Is the interview being conducted with a member/person who works in the business?

1 = Yes  
0 = No

EF-3 \_\_\_ What is the enterprise/business type? \_\_\_\_\_ (see Code List)

EF-4 \_\_\_ What is the ownership arrangement?

1) Female, one proprietor	4) Multiple proprietors - blood relatives
2) Male, one proprietor	5) Multiple proprietors - non-family
3) Multiple proprietors-husband and wife	6) Other

EF-4X \_\_\_ How old is the owner of this enterprise?

#### **EF-5. When did the Enterprise/Business first get started?**

EF-5A \_\_\_ In which year did the enterprise/business start?

EF-5B \_\_\_ In which month did the enterprise/business start? (1=January, 2=February, ..., 12=December)

EF-5X \_\_\_ Before starting this business, did you (the owner) work (as paid worker, unpaid worker or apprentice) for someone in this same type of activity?

1 = Yes  
0 = No

EF-6 \_\_\_ What is the location of the enterprise?

1) In the owners home	5) At a mobile location
2) In a local market	6) At home and in the local market
3) In a commercial district shop	7) Along a roadside and in the local market
4) Along a roadside	8) At home and along a roadside
9) Other place	

#### **Enterprise working patterns**

EF-7 \_\_\_ How many months has the enterprise/business operated since December 1995, i.e., out of the last 12 months?

(code 99 if activity is < 1 year old).

EF-8 \_\_\_ How many days did the enterprise/business operate the last month that it operated? (code 99 if activity is < 1 month old)?

**Enumerator:** Write the number of days the respondent says. Note that:

- All days of the month = 30
- All days except sundays = 25
- Mondays through fridays = 20

EF-9 \_\_\_ How many hours per day did the enterprise/business operate the last week that it operated?

EF-10 \_\_\_ Does the this enterprise usually close over lunch?

- 1 = Yes
- 0 = No

**We would now like to ask you some questions about the WORK FORCE you use in your enterprise/business.**

**Enumerator:** Start this part by asking: **How many people were working in this business in the LAST MONTH of operation this year (1996)? Plug the number in the first line - Column for total # of workers (IV-6).** Then proceed completing the cells for the different categories of workers in the same period. After this, using the same method, ask about the periods.

**Table IV. Work Force Used by the Enterprise/Business**

Employment Period		Number of Workers					# of Female Workers	# of Workers Under 15
		# of Working Owners	# of Paid Workers	# of Unpaid Workers	Apprentices	Total		
Period	IV-1	IV-2	IV-3	IV-4	IV-5	IV-6	IV-7	IV-8
Last Month of operation in 1996	96							
The end of 1995	95							
The end of 1994	94							
In the beginning	01							

EF-11 \_\_\_ Did any of the workers EMPLOYED IN THE LAST MONTH OF OPERATION IN 1996, work **Part-Time**, i.e., less hours than the total hours/day that the business was normally operating?

- 1 = Yes
- 0 = No --> Skip to question EF-13.

**EF-12. How many of the workers in each of the following categories work part-time?**

- EF-12A \_\_\_ How many part-time working owners
- EF-12B \_\_\_ How many part-time paid workers
- EF-12C \_\_\_ How many part-time unpaid workers
- EF-12D \_\_\_ How many part-time apprentices

EF-13 \_\_\_ Do you sometimes hire casual workers?

- 1 = Yes
- 0 = No --> Skip to question EF-15X

EF-14 \_\_\_ If yes, how many casual workers were hired during the most busy time of the year?

**Migration and Acquisition of Skills during the War**

EF-15X \_\_\_ Was this business always based at this location?

- 1 = Yes --> Skip to EF-20
- 0 = No

**EF-16X When did you settle down this activity here for the last time?**

EF-16AX \_\_\_ Year of last establishment here?

EF-16BX \_\_\_ Month of last establishment here? (1=January, 2= February,...., 12=December)

EF-17X \_\_\_ Where were you operating this business prior to this last move?

- 1) Another location in this neighborhood
- 2) Another neighborhood of this City
- 3) In other urban area of this Province
- 4) In a rural area of this Province
- 5) In a City outside this province
- 6) In a rural area outside this Province
- 7) Another City outside Mozambique
- 8) In a rural area outside Mozambique

EF-18X \_\_\_ Why did you move your business to this location (see Code List)

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EF-20 \_\_\_ What was the main source of income for you (the owner of these enterprise) during the armed conflict?

- |                                 |  |
|---------------------------------|--|
| 1) Agriculture                  | 6) Relief assistance                         |
| 2) Paid employment - government | 7) Soldering                                 |
| 3) Paid employment - other      | 8) This enterprise                           |
| 4) Pensions/retirement          | 9) Other enterprise (indicate type in EF-21) |
| 5) Remittances                  | 10) Other source                             |

EF-21 \_\_\_ If EF-20=9, what type of business was that? \_\_\_\_\_ (see Code List)

EF-22 \_\_\_ Are you contemplating moving soon?

- 1) Expect to move soon
- 2) May possibly move soon
- 3) Do not expect to move soon

EF-23 \_\_\_ Did you acquire some skills during the time of the conflict that contribute to your ability to operate a this business?

1 = Yes  
 0 = No --> Skip to EF-25

EF-24 \_\_\_ If yes, please describe the skill acquired (see Code List)

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**Education and Training**

EF-25 \_\_\_ What level of formal education did you (the owner) receive?

- |                           |                                   |
|---------------------------|-----------------------------------|
| 0) None --> Skip to EF-27 | 3) 3rd grade,...., 12) 12th grade |
| 1) 1st grade              | 13) Some University attendance    |
| 2) 2nd grade              | 14) Completed University degree   |

EF-26 \_\_\_ Was this a technical or academic program?

- 1) Technical
- 2) Academic

EF-27 \_\_\_ Did this enterprise receive any kind of NON-FINANCIAL ASSISTANCE?

1 = Yes  
 0 = No --> Skip to EF-29

**EF-28. If yes, what kind of NON-FINANCIAL ASSISTANCE did this enterprise receive?**

**Enumerator:** Answer for each kind indicated below:

1 = Yes  
 or 0 = No

- EF-28A \_\_\_ Management training
- EF-28B \_\_\_ Technical training/advice
- EF-28C \_\_\_ Marketing assistance
- EF-28D \_\_\_ Other advice/training from formal institutions
- EF-28E \_\_\_ Informal advice/training assistance
- EF-28G \_\_\_ Other types of Non-Financial assistance

**EF-29. What type(s) of non-financial assistance would you like to receive?**

**Enumerator:** Answer for each type indicated below:

1 = Yes  
 or 0 = No

- EF-29A \_\_\_ Management training
- EF-29B \_\_\_ Technical training/advice
- EF-29C \_\_\_ Marketing assistance
- EF-29D \_\_\_ Other advice/training from formal institutions
- EF-29E \_\_\_ Informal advice/training assistance
- EF-29G \_\_\_ Other types of Non-Financial assistance

**Enumerator:**If the respondent is not interested in any type non-financial assistance (i.e., EF-29A through EF-29G, all=0),

**SKIP TO QUESTION EF-32).**

EF-30 \_\_\_ If assistance is to be provided, would you prefer this assistance to be offered:

- |                                    |                                       |
|------------------------------------|---------------------------------------|
| 1) One half day or evening session | 4) Longer training sessions           |
| 2) One full day session            | 5) Opportunities to consult as needed |
| 3) One week of training            | 6) Other options                      |

EF-31 \_\_\_ Would you (the owner) be willing to pay part of the cost for such training/advice?

- 1 = Yes
- 0 = No
- 2 = Not sure

**Participation in Enterprise/Business Groups and Access to Credit**

EF-32 \_\_\_ Do you (the owner) belong to any business support group or informal business network such as a women's group, trade association, cooperative, or informal business group?

- 1 = Yes
- 0 = No --> Skip to EF-35

EF-33 \_\_\_ If yes, have you (the owner) received any benefits from such membership?

- 1 = Yes
- 0 = No --> Skip to EF-35

**EF-34. If yes, what type(s) of benefits did you (the owner) received?**

**Enumerator:** Answer for each type indicated below:

- 1 = Yes
- or 0 = No

- EF-34A \_\_\_ Exchange of information
- EF-34B \_\_\_ Purchased inputs jointly
- EF-34C \_\_\_ Sold output jointly
- EF-34D \_\_\_ Received credit through association/group
- EF-34E \_\_\_ Access to Non-financial assistance
- EF-34F \_\_\_ Worked together to change rules or policies
- EF-34G \_\_\_ Other benefits

EF-35 \_\_\_ Has this enterprise haver received any type of credit for operating and/or investment purposes?

- 1 = Yes

0 = No --> Skip to EF-37

**EF-36. If this enterprise has received credit, from which of the following sources was it obtained?**

**Enumerator:** For each of the cases below, answer:

1 = Yes  
or 0 = No

- EF-36A \_\_\_ Loan from family or friends  
 EF-36B \_\_\_ Moneylender  
 EF-36C \_\_\_ Formal Credit Institution  
 EF-36D \_\_\_ Rotating Savings and Credit Association (Xitique)  
 EF-36E \_\_\_ Other sources

**Cash Receipts**

**Now, we would like to ask you some questions about the Cash Receipts generated in your business over the past 12 months?**

**EF-37 \_\_\_ Over the past 12 months, has this enterprise sold any products or services?**

1 = Yes --> Go to Table V  
 0 = No --> Go to question EF-39X

**Enumerator:** The Auxiliary Table below is intended to support in the estimation of the revenues generated by this business in its most recent month of operation. The total amount estimated for that month is then transferred to the line of Table V that corresponds to the last month of operation (in column V-3). Based in this exercise, for the last month of operation, you can proceed with the estimation of the values for the previous months, asking about variations in unit sales prices and quantities across months (if the respondent finds difficult to give straight answers on the revenues. You are not asked to limit your calculations to the lines inclosed in this tables, but instead, to take into account all sales of goods and services. You can create groups of goods/services and register the total revenue for each.

**Auxiliary Table: Estimation of The Sales of Goods and Services in the LAST MONTH OF OPERATION**

PRODUCT	Do you know the total revenues you obtained with the sales of this product/service during your last month of operation?  0=No 1=Yes (plug the amount in the last column and go to the next good/service)	Quantity Sold per Time Period		Number of periods that sold this product during that month	Unit Sales Price  (Meticais)	Revenues obtained during the last month of operation  (Meticais)
		Quantity Sold	1 = Per Day 2 = Per Week			
<b>Total</b>						

In case you had to use more products than the number of lines in the table above, complete your calculations and indicated in this space ahead what was the total value for the last month and transfer it to Table V: \_\_\_\_\_

**Table V. Sales of Goods and Services Over the Last 12 Months**

Month of Sales		Did this enterprise have sales this month  1 = Yes 0 = No	What is your estimate of the approximate value of sales during each of these months? (think in terms of summing over all days worked in each of these months)	If the business did not have sales this month (V-2=0), what was the reason?  (see Code List)	
Month/Year	V-1	V-2	V-3	Reason why the business had no sales	V-4
November 1996	9611				
October 1996	9610				
September 1996	9609				
August 1996	9608				
July 1996	9607				
June 1996	9606				
May 1996	9605				
April 1996	9604				

March 1996	9603				
February 1996	9602				
January 1996	9601				
December 1995	9512				

See Code List for question: V-4

**INSTRUCTIONS**

- . If this is a trading enterprise --> Ask questions EF-38 and complete Table VI.
- . If this is a manufacturing, repair or service enterprise --> Ask question EF-39 and complete Table VII.

**PART II**

**TRADING ENTERPRISES**

Could you please tell us what are the five more important products that this business sells?

**Enumerator:** Complete the first column of the Table below, writing the names of the five products indicated by the respondent. Then, ask the questions on the subsequent columns for each product

**Table VX: Sales, Costs of Purchased Goods and Gross Marketing Margins**

Most Important Goods Traded by the Enterprise		Thinking back to the most recent sales period, for each product, what was the <b>quantity sold</b> ?			What was the unit sales price of this product? (Meticais)	What was the purchase price (per unit) of this product? (Meticais)		How many times a sales unit fit in one purchased unit?
		Quantity	Unit (A) (Codes)*	Period 1=Day 2=Week 3=Month	Unit Price (Meticais)	Unit Price (Unit cost) (Meticais)	Unit (B) (Codes)*	(How many units of A are in one unit of B?)  (B/A)*
Product	PRO D	VX-1	VX-2	VX-3	VX-4	VX-5	VX-6	VX-7
	1							
	2							
	3							
	4							
	5							

\* Specify in an auxiliary Table in the space below the exact units identified and the calculation for the conversion asked in the last column.

**Codes for units:**

1 - 100 kgs bag  
2 - 90 kgs bag  
3 - 60 kgs bag  
4 - 50 kgs bag  
5 - 25 kgs bag  
6 - 12,5 kgs bag  
8 - Grams  
9 - Units  
10 - 1 Kgs

11 - 25 lts can  
12 - 20 lts can  
13 - 5 lts can  
14 - 2 lts can  
15 - Liters

**PART III**

**FOR ALL TYPES OF ENTERPRISES**

\* You told us before (**Table V**), that you had have a **Monthly Revenue** of \_\_\_\_\_ Meticaïs in the last month of sales.

**Enumerator:** Transfer the total amount of sales for the last month from Table V to the space above. Use this information to start talking about costs in the table below.

EF-39X \_\_\_ Did you have current expenses in the last month of operation (for example, purchase of inputs, payments of salaries or other labor costs, transport, etc)?

- 1 = Yes -----> Go to Table VIX
- 0 = No -----> Skip to Table VIIX
- 2 = Don't know ---> Skip to question EF-40 in Part IV

We would like to ask a few questions about the costs of operation of this enterprise/business in the most recent month in the past that the business has been operating.

**Enumerator:** Ask each question in the Table below in terms of costs during the last month of operation. If they can only respond in terms of costs per week, or per day, then obtain this data, and make the proper coding in variable VIX-2. Record an answer for each item. Enter 999 if the business does not have a cost in the listed category. Do not include the wages paid to the owner and cost of the purchased products by trading enterprises.

**Table VIX: Current Expenses for all Types of Businesses**

Cost Item		Cost per time period (Meticaïs)	Time Period: 1) Day 2) Week 3) Once --> VIX-4	Number of periods the expense was made	If the item was purchased <b>only once</b> , for how many months is it used for?
Item	INP	VIX-1	VIX-2	VIX-3	VIX-4
Inputs/...: 1	21				
Inputs/...: 2	22				
Inputs/...: 3	23				
Inputs/...: 4	24				
Inputs/...: 5	25				
Paid labor: Salaries	1				
Paid labor: Piece workers	2				
Paid labor: Other	3				
Electricity for the business	4				
Water for the business	5				
Telephone	6				
Transport: Inputs	7				
Transport: Outputs	8				
Transport: Others	9				
Rent of shop/storage space	10				
License (type? _____)	11				
Taxes/fees	12				
Cost of credit (interest payments)	13				
Repairs or service of machines	14				
Other costs 1	15				
Other costs 2	16				
Other costs 3	17				

Other costs 4	18			
---------------	----	--	--	--

**Enumerator:** In the Table below, you should include non-regular expenses made over the past 12 months, **but not during the last month of operation.**

**Table VIIX: Non-Regular Expenses Over the Past Year (NOT During the Last Month of Operation)**

Expense Item	Did you have any of these expenses over the past 12 months? 1 = Yes 0 = No	Amount spent for this item in the most recent payment/purchase  (Meticais)	For how many months is it going to be used?	
Expense	VIIX-1	VIIX-2	VIIX-3	VIIX-4
Rents	30			
Taxes/fees	31			
Purchase of inputs	32			
Repairs	33			
Other non-regular expenses 1:	34			
Other non-regular expenses 2:	35			
Other non-regular expenses 3:	36			
Other non-regular expenses 4:	37			

**PART IV**

**FOR ALL TYPES OF MICRO AND SMALL ENTERPRISES**

**Starting Up Investment, Working Capital and Funding Sources**

EF-40X \_\_\_\_\_ Mts How much money did you need, in total, to start up this business?  
 EF-40Y \_\_\_\_\_ Mts Out of the total amount, how much money did you spent for **Fixed Assets** (for example, infra-structures, machinery/tool, etc)?

EF-41X \_\_\_\_\_ Mts Out of the total amount, how much money did you spend in **Working Capital to start up this (first cycle)** (i.e., purchase of goods for sale, payment of workers, transport, etc)?

EF-42 \_\_\_\_ What was the principal source of funds used to start the business?

- 1) Own savings, including salary, terminal benefits or profits from another business
- 2) Funds lent by others in family or friends
- 3) Funds offered by others in the family or friends
- 4) ROSCAS (XITIQUE) and loans from savings associations at work place
- 5) Loans from employers
- 6) Borrowing from other informal sources
- 7) Borrowing from formal financial institutions
- 8) Receipts from sale of another business that closed

PROV \_\_\_ CID \_\_\_ QRT \_\_\_ LOC \_\_\_ EMP \_\_\_

9) Other sources

**Enumerator:** In Table VIII, below, indicate the value that the respondent attributes to each of the items he/she currently has, if they were to be sold today. For Raw Materials (01), Furniture/Fittings (02) and Machinery, Equipment and Hand Tools (03) list below each group the items that currently exist under that group. Then, in the second column indicate individual values attributed to each. After that, add this individual values (for each group) and plug the totals for each category: Raw Materials (01), Furniture/Fittings (02), and so on. For Infra-structures (04), Land (05) and Stored Outputs (06), plug directly the attributed value.

**Table VIII: Value of Current Business Items**

ITEM	For how much would you sell today?	
	VIII-1	VIII-2
Raw Materials	01	
.		
.		
.		
.		
Furniture/Fittings	02	
.		
.		
.		
.		
Machinery, Equipment and Hand Tools	03	
.		
.		
.		
.		
Infra-structure (if owned by proprietor)	04	
Land (if owned by proprietor and used in the business)	05	
Stored Outputs	06	

**Table IX: Sources of Funding for the Current Assets**

ITEM	PD	Sources of Funding (see Codes below)
	IX-1	IX-2
Raw Materials	01	
Furniture/Fittings	02	
Machinery, Equipment and Hand Tools	03	
Infra-structure (if owned by proprietor)	04	
Land (if owned by proprietor and used for business)	05	

**Codes for Sources of Funding: IX-2**

- |  |   |
|--|---|
| 1) Reinvested profits from the business itself                                       | 6) Loans from employers                               |
| 2) Own savings, including salary, terminal benefits or profits from another business | 7) Borrowing from other informal sources              |
| 3) Funds lent by others in family or friends   | 8) Borrowing from formal financial institutions       |
| 4) Funds given by others in family or friends  | 9) Receipts from sale of another business that closed |

PROV \_\_\_ CID \_\_\_ QRT \_\_\_ LOC \_\_\_ EMP \_\_\_

5) ROSCAS (XITIQUE) and loans from savings associations at work place

10) Other sources of funding



**Output and Input Markets**

EF-49 \_\_\_ Who are your principal customers, for the products or services that this business sells?

- 1) Final consumers living in the immediate neighborhood
- 2) Final consumers, from other areas
- 3) Traders, who come to buy at my work place
- 4) Traders - I transport the product to them
- 5) Other businesses (not traders)
- 6) Government institutions
- 7) Other clients

EF-50 \_\_\_ What is the principal source of inputs for this business?

- 1) collected/gathered/grown by myself or my family
- 2) purchased from neighbors who collect/gather/grow them
- 3) purchased locally from retailers
- 4) purchased locally from wholesalers
- 5) purchased from retailers - I go to town to buy them
- 6) purchased from wholesalers - I go to town to buy them
- 7) other sources

**Problems faced by the Enterprises**

**EF-51. What were the two biggest problems this business has faced over the last year? (Enumerator: If person says CREDIT, ask what kind of problem credit would solve).**

EF-51A \_\_\_ First problem faced by the business (see Code List)

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EF-51B \_\_\_ Second problem faced by the business (see Code List)

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EF-52 \_\_\_ Have you faced any problems from government regulations, government controls, or other actions of local or central government authorities?

- 1 = Yes
- 0 = No

**EF-53. If so (EF-52=1), please describe them:**

EF-53A \_\_\_ First problem faced from government regulations/other actions (see Code List)

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EF-53B \_\_\_ Second problem faced from government regulations/other actions (see Code List)

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EF-54 \_\_\_ Do you have a license to operate this business?

- 1 = Yes
- 0 = No

EF-55X \_\_\_ Do you have plans to make new investments in this business in the near future?

- 1 = Yes
- 0 = No
- 2 = Don't know (**Skip to EF-57X**)

EF-56X \_\_\_ Why? (**see Code List**)

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EF-57X \_\_\_ Do you consider this to be a good business to be undertaken nowadays?

- 1 = Yes
- 0 = No
- 2 = Don't know

EF-58X \_\_\_ Would you advice your son (or someone younger) to get involved in this business?

- 1 = Yes -----> End of the interview
- 0 = No
- 2 = Don't know ---> End of the interview

EF-59X \_\_\_ If not, what type of business would you recommend? \_\_\_\_\_ (**see Code List**)

THANK YOU VERY MUCH FOR YOUR TIME AND COOPERATION!

**ANNEX 11: MSE Urban Survey Closed Enterprise Questionnaire**

**MICRO AND SMALL ENTERPRISE BASELINE SURVEY  
 URBAN AREAS OF CENTRAL AND NORTHERN MOZAMBIQUE  
 ENTERPRISES CLOSED BETWEEN OCTOBER 1992 AND SEPTEMBER 1995**

EE-1 \_\_ Was there any enterprise at this location that was closed between **THE END OF THE WAR (October 1992) and 1st of SEPTEMBER 1995?**

1 = Yes --> Complete the Table below.  
 0 = No --> End of the visit

**Table IIIX. Businesses Closed at this Location Between the End of the War and 1st of September 1995**

No.	Type of Enterprise  (see Code List)	When was this business started?  (Year)	When was this business closed?  (Year)	How many people were employed in this business when it started?	How many people were employed in this business when it closed?	Why was this business closed?  (see Code List)	What is the owner of this business doing now?			
		92	93	94	95	1) Nothing	2) Agriculture	3) Micro/Small Enterprise	4) Working for someone else	5) Don't know
EMP	Type of Activity	III X-1	III X-2	III X-3	III X-4	III X-5	Reason of Closure	III X-6	Activity	III X-7
1										
2										
3										
4										
5										
6										

PROV \_\_ CID \_\_ QRT \_\_ LOC \_\_

7										
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