

Documentation of the Small and Medium Scale Enterprise (SME) Survey in Vietnam for the Year 2002

By

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1. Overview

Vietnam has come a long way since the *doi moi* reform process was initiated in 1986. The past 15 years have witnessed one of the best performances in the world in terms of both economic growth and poverty reduction. People's living standards have improved significantly, and the country's socio-economic achievements are also impressive from a human development perspective. Wide-ranging institutional reform has been introduced, including a greater reliance on market forces in the allocation of resources and the determination of prices. A shift from an economy dominated by the state and cooperative sectors to a situation where the private sector account for a relatively high proportion of GDP can also be noted. Important strides have been made over a relatively short time span to further the transition from a centrally planned to a socialist market economy.

However, unemployment and underemployment is a growing problem in Vietnam and broad based economic development, including in particular employment and income generation stand out as perhaps the most crucial challenge facing policy makers in Vietnam in the coming years. This is so in urban areas where an increasing share of the population live and work as well as in the rural economy where diversification, including growth of labour-intensive industry, is crucial to sustainable livelihoods. Small and medium scale enterprises (SME) have been a dynamic force for labour intensive rural growth in other Asian countries, and they have been valuable not only in creating employment but also in increasing competition in local markets and in generating much needed savings. However, Vietnam is still to tap this potential and it is widely accepted that the SMEs should be a critically important vehicle in rural transformation and in creating off-farm employment opportunities. In urban areas, SMEs have ever since the launching of the Doi Moi played an increasingly important role in economic transformation and will no doubt have to continue doing so as evidenced by the spurt in establishing new enterprises following the approval of the new Enterprise Law in 2000.

The potential and significance of SMEs in Vietnam stand in contrast with the evident lack of understanding of the characteristics, dynamics and constraints faced by this sector. Two surveys carried out in collaboration between the Institute of Labour Science and Social Affairs (ILSSA) in the Ministry of Labour, Invalids and Social Affairs (MOLISA) and the Stockholm School of Economics (SSE) with funding from Sida partly remedied this situation during the first years of the Doi Moi period. These surveys included (i) a comprehensive survey from 1991 of some 1,000 non-state manufacturing enterprises in three major cities, Ha Noi, Hai Phong and Ho Chi Minh City (HCMC), and five provinces (Ha Sonh Binh, Vinh Phu, Quang Ninh, Long An and Cuu Long); (ii) a repeat survey in 1997 of some 400 of the same enterprises;¹ and (iii) a parallel

¹ The 1997 survey covered the same three urban centres (Hanoi, Haiphong and HCMC) as well as Ha Tay (formerly Ha Sonh Binh) and Long An. For a variety of reasons Cuu Long, Vinh Phu and Quang Ninh were left out.

survey in the same year of a further 500 enterprises not previously studied. These surveys brought to light a highly dynamic and often dramatic process of change, not captured by more aggregate analyses. For additional details on the 1991 and 1997 surveys see (Ronnås and Ramamurthy, 2001).

The approval of a new Enterprise Law in 2000 provided – as already noted – further impetus to the development of the non-state enterprise sector, and a firmer legal basis for SME operations was created. The period covered by the 1991 and 1997 surveys was characterized by a move from market fragmentation towards market integration and gradually increasing competition. In this initial stage towards the establishment of an incipient market economy SMEs faced a rapidly changing environment full of challenges, but also of opportunities for windfall gains. Due to the exceptional circumstances of this period, it cannot be used in any simple way as a basis for understanding and addressing the challenges and constraints faced by Vietnamese SMEs at the beginning of the 21st century.

On the other hand, the existence of information about enterprises that had been followed over a period of six years, and which could be revisited, provided a unique possibility for obtaining deeper insights into the dynamics of the sector and the possibilities of supporting its further development in an effective manner. It was therefore decided to carry out a third survey round during the year of 2002, covering some 1,600 enterprises in the three urban areas (Hanoi, Haiphong and HCMC) in addition to Ha Tay and Long An, adding as well Quang Nam and Phu Tho to ensure a broader national coverage. The survey was implemented by ILSSA with financial support from Sida in collaboration with the Institute of Economics at the University of Copenhagen and the European Institute of Japanese Studies at the Stockholm School of Economics.

This document provides background information on the third round of the “Small and Medium Scale Enterprise Survey in Vietnam” and selected summary statistics from the survey conducted during 2002. Information is provided on the survey design and implementation, the content of the questionnaire, data processing activities, the different data-sets available and how to obtain permission to use the data.

2. Survey Questionnaire

In the third round of the SME Survey two questionnaires were used: One for previously surveyed and new enterprises (Questionnaire A) and one for enterprises sampled, but closed down (Questionnaire B). Questionnaire A contains 14 sections all of which are listed in Table 1.

[Table 1 about here]

There were some changes in the 2002 questionnaire compared to the 1991 and 1997 surveys. In particular the section regarding “Assets, liabilities and credit” was expanded significantly to include more detailed information about issues concerning access to credit. Additional questions regarding direct exports were also included in the section on “Revenues and Costs”. Finally, questions related to issues of globalisation and knowledge of government laws were included in the section “Constraints and potentials”. Other minor changes compared to the 1997 survey were also carried out. However, the structure of the questions was in general kept unchanged, and the essential core remained the same for analytical reasons. Appendix Table A1 gives the complete list of changes between the 1991, 1997 and 2002 surveys. Questionnaires A and B as well as the manual for the enumerators are available on request.

3. Definitions, Sampling and Implementation

Our definition of a small and medium scale enterprise follow current World Bank and Vietnamese Government definitions. The World Bank SME Department operates with three groups of small and medium-sized enterprises: micro-, small-, and medium-scale firms. Micro-enterprises have up to 10 employees, small-scale enterprises up to 50 employees, and medium-sized enterprises up to 300 employees. These definitions are broadly accepted by the Vietnamese Government (see Government decree no. 90/2001/CP-ND on “Supporting for Development of Small and Medium Enterprises”).

Table 2 documents how the 1991, 1997 and 2002 surveys are linked with regard to the enterprises sampled. Some 500 enterprises surveyed in 2002 were repeat enterprises from the 1997 survey, whereas 242 of the enterprises surveyed in 1991 were sampled for the 2002 survey. In Ha Noi, Hai Phong, HCMC, Ha Tay and Long An the 2002 survey was generally carried out in the same districts as in the 1991 and the 1997 survey. The survey was only extended to a neighboring district in cases where the total number of eligible enterprises in a particular district proved insufficient. In repeat cases, all enterprises were followed even if some moved to new locations. As a result the number of survey districts in 2002 is almost double the number in the 1991 and 1997 surveys.

[Table 2 about here]

In all areas the samples were stratified by ownership forms to ensure the inclusion of all non-state types of enterprises, including household, private, partnership and co-operative firms. According to the national enterprise survey conducted by the General Statistical Office (GSO, 2004), in which there are no household enterprises, establishments are mostly concentrated in HCMC (23%), Hanoi (15%) and Hai Phong (9%). GSO also reports that state enterprises

comprise 9% compared to the non-state sector share of 88%.² On the other hand, a recent SME survey for Vietnam (Sakai and Takada, 2000) documents that the main part of their companies is characterized as household enterprises.

In establishing our stratification, we combined these two sources to suggest, first, that household enterprises account for about 70% of the enterprises (Sakai and Takada, 2000), and second, that the 30% non-household (and non-state) enterprises can be divided as follows (GSO, 2004): Private enterprises (39%), co-operatives (7%), limited companies (37%), joint-stock companies (4%) and foreign invested (4%). Finally, one of the challenges in terms of stratification was to capture the transformation of the private sector that took place during the 1990s. New categories of private enterprises (especially limited liability companies) appeared and the nature of co-operatives changed fundamentally. These changes had to be taken into account in the design of the 2002 survey, so the shares of the various enterprise categories were adjusted.

For reasons of implementation the surveys were confined to specific areas in each province/city. Subsequently, the samples were drawn randomly from a complete list of enterprises, where the stratified sampling procedure was used to ensure the inclusion of an adequate number of enterprises with different ownership forms. As household enterprises register with the local district or commune authorities, while all other types of enterprises have to register with the city/province authorities, our list of enterprises had to be obtained from three different sources. A small sample selection bias may be present as samples were not selected exactly proportional to the (unknown) number of enterprises in the country. Furthermore due to the partial sampling nature of the panel data set, and because the sampling was based on a pre-existing sample from 1991 and 1997, it is likely there is a slight bias against young, newly established enterprises.

Prior to the actual survey a Pilot survey including some 20 enterprises (repeat and new) was organized in the city of Ha Noi, and in the provinces of Ha Tay and Phu Tho. The pilot was conducted by a joint task force involving staff from ILSSA and the University of Copenhagen. Experience from this pilot survey was analysed and discussed at a workshop in Hanoi during January 2002, and questionnaires and the instructions to the enumerators were revised as appropriate. A two day training course of the enumerators was held in Hanoi prior to the implementation of the survey in October 2002. This provided an occasion to identify and clear out remaining ambiguities and possible sources of misinterpretation. As enumerators had considerable prior experience, the training course in effect took the form of a joint discussion and yielded much valuable feedback.

² Note that GSO (2004) only captures enterprises registered under the Enterprise Law or State-owned Enterprise Law; cooperatives registered under the Cooperative Laws; and household businesses if they meet the requirements under Decree No.91/2001/CP-ND.

The actual survey was carried out by seven survey teams. The interviewers included researchers from ILSSA, staff from different departments of MOLISA and seven representatives from DOLISA. Each team was composed of one team leader (supervisor) and several interviewers. The number of interviewers in each team depended on the size of the sample in each area. The actual survey was undertaken in two stages. First, enumerators went to the survey areas to identify the repeat enterprises and to obtain the complete list of enterprises from the local authorities. In some cases enterprises had changed location or owner since the last survey in 1997, and determining whether the enterprises were still in existence often involved considerable work. Based on these visits, updated lists of the repeat enterprises were prepared and random samples of the new enterprises were drawn. Second, the survey was launched in October 2002, and lasted for two and a half months. Implementation was carried out through personal visits and direct interviews. Initial checking and cleaning of the data was undertaken in the field. Following data entry, a second round of data cleaning was undertaken and the 2002 data were merged with data files from the 1991 and 1997 surveys to check consistency. This involved considerable time and effort on the side of ILSSA and the University of Copenhagen.

Table 3 shows the actual number of respondents during the 2002 survey. Some 1,573 enterprises were identified and of these 182 were shut down prior to the interview. Table 3 furthermore documents the number of enterprises surviving from the 1991 and 1997 surveys, respectively.

[Table 3 about here]

It is strongly recommended that the data be used with the questionnaires. The questionnaires contain the exact wording of the questions and interviewer instructions. Since the questionnaires used to collect the data were in Vietnamese, it is also advisable to check the Vietnamese version of the questionnaire in case of doubt regarding a particular question. The questionnaire is also necessary when interpreting the codes. All codes are contained in the questionnaire itself. For more details on coding see the questionnaire and the interviewer manual. The most important reason to consult the questionnaire is that extensive use is made of skip patterns.

Copies of questionnaires (English and Vietnamese) and the interviewer manual are as already noted available on request, and the same goes for the data which are available in Excel.

4. Summary Tables

In this section we provide a sample of the summary statistics that can be gathered from the data. The following statistics have been constrained to analysis concerning enterprises with less than 300 employees.

The mean enterprise establishment year for enterprises in the 2002 survey was 1990 with a standard deviation of 8.3 years. This figure does not vary much across regions. Approximately 78% of the enterprises are owned by men. However, there are differences between rural and urban areas. In HCMC 63% of the enterprises are male owned, whereas 89% are male owned in both Ha Tay and Quang Nam. In urban areas the premises housing the enterprise is exclusively or mainly used for non-residential purposes (80% in HCMC and 83% in Hanoi), whereas 30-50% of the enterprises interviewed in rural areas are primarily used for residential purposes. Table 4 provides an overview of the distribution of enterprises by location and form of ownership. Most of the enterprises are characterised as being “Household”, and this is more so in rural (85%) than in urban areas (55%). “Private” enterprises and “Limited Companies” comprise the second and third largest groups, respectively, which is in good accordance with the figures reported in GSO (2004).

[Table 4 about here]

Table 5 provides information on the distribution of enterprises by location and form of ownership. The focus of the survey was manufacturing enterprises, and 84% of the responding enterprises had manufacturing as their main activity. Approximately 12% were engaged in the processing of agricultural produce.

[Table 5 about here]

Of the enterprises surveyed for the first time in 2002, 51% answered that previous experience in the line of business was the most important reason for starting in this line of business, and 74% of the enterprise owners had experience in the same line of business prior to establishing the firm. Moreover, constraints during start-up are often found to be an important determinant of such important matters as investment scale, legal status and the future success and growth potential of the firm. Half of the enterprises interviewed for the first time in 2002 answered that they had severe difficulties in getting adequate capital to start up a business. This certainly suggests that it is justified to be concerned about the influence of non-availability of credit on the business environment for SMEs in Vietnam.

Table 6 shows the main economic characteristics of the firms. Both the mean and the median revenue (mill. VND) is much larger in urban areas than in rural provinces. This also holds relative to the number of employees. Size, measured as total assets, gives the same picture. However, profits relative to total revenue are distinctly higher in rural areas than in the major cities. In HCMC the profits to revenue ratio was only 11% as compared to 22-23% in Ha Tay, Long An and Phu Tho.

[Table 6 about here]

Table 7 lists two indicators of the innovative capacity of firms which have been found to be very important for firm dynamics. Firms in Hanoi seem to be highly innovative. Some 60% of the enterprises improved existing products, combined with 42% introducing new products. Moreover, there is an indication of firms being more innovative in urban areas than in rural provinces, Ha Tay being the exception.

[Table 7 about here]

In terms of supply diversification 77% of the enterprises report that they sell their goods to 10 or more customers, ranging from 54% in Ha Tay to 92% in Hai Phong. Other production characteristics include that approximately 30% of the enterprises have never produced goods on advance order.

Table 8 shows how the income of the household of the owner has developed during the last five years according to the owner's perception. In urban areas, household income has declined for 20-30% of the households, compared to fewer than 10% of the households in most rural areas. Moreover, 25-30% of the enterprise owners in Phu Tho and Quang Nam report that household income has increased more than 50%.

[Table 8 about here]

Looking at Table 9 gives an indication of the degree of capital intensity in the firms. Enterprises that only use hand tools in their production are more common in rural provinces than in urban cities. However, over 50% of the enterprises in both rural and urban areas use both manually and power driven machinery.

[Table 9 about here]

Table 10 documents by how much the enterprise would be able to increase production with existing production facilities. Especially Phu Tho stands out. On average 23% of the enterprises said they could more than double their production with existing capital stock. Otherwise there is no clear cut difference between rural and urban areas.

[Table 10 about here]

Regarding inputs to production most firms believe that raw materials are available in sufficient quantity (90%). However 87% of the enterprises indicate there are difficulties in obtaining the desired qualities of raw materials. Moreover, enterprises hire workers either through personal contacts or through recommendations by friends, family and other workers. Costs due to

informal factors are documented in Table 11. Costs due to theft or natural disasters relative to total tax payments lie between 0.1% (HCMC and Quang Nam) and 565% (Ha Tay), averaging 140% in total. “Communication fees” or corruption are often thought of as being relatively high in Vietnam, and Table 11 confirms this by documenting that on average total corruption payments are approximately 1.8 times as high as total tax payments. All in all, total informal payments are on average 3.2 times as high as total tax payments.

[Table 11 about here]

Turning to some specific employment statistics, Table 12 reports how many firms offer “special” employment benefits. It is more common to have employment benefits such as sick leave and maternity (with and without pay) and annual leave with pay in urban areas than in rural provinces. For example between 12% (Hai Phong) and 25% (HCMC) of the enterprises offer maternity leave with pay in urban cities as compared to 0-5% in rural areas.

[Table 12 about here]

Well functioning credit markets are often an important component of innovative capacity and thereby for firm dynamics, and Table 13 reports how many enterprises tried getting a bank loan. Somewhat surprisingly only some 20% of urban enterprises in our sample have applied for a bank loan during the entire existence of the firm. This should be compared to on average of around 60% applying for loans in rural areas. Taken together with the fact that urban enterprises have more difficulties in obtaining the required credit than rural firms, this could lead to a conclusion that urban SMEs in Vietnam are more credit constrained than their rural counterparts.

[Table 13 about here]

The competitive pressure in major cities has been a major issue among policy makers in Vietnam. Table 14 shows that approximately 14% of the enterprises face severe competition from state enterprises, 10% from the non-state sector, 9% from imports and some 6% from smuggling. Competition from smuggling seems to be most severe in HCMC and Hanoi, and there is some indication of competition from state enterprises being more severe in urban than in rural areas, Ha Tay being the exception.

[Table 14 about here]

When firms are asked whether they have received any form of government assistance and which form of assistance that has benefited the enterprise the most, fulfilling procedures of application during start-up was considered the most important form of government assistance (Table 15).

When asked about government assistance during operation 22% answered that this had been the most important factor for firm existence and growth. Only 8% of the enterprises did not get any form of government assistance during start-up, whereas 57% received no help from government authorities during operation. A complete analysis of the effects of government assistance on firm dynamics can be found in Hansen, Rand and Tarp (2004).

[Table 15 about here]

Table 16 reports firm perception of how the authorities can help the enterprise to expand and increase its profits. Providing access to credit is thought of as being the best way the government can assist firms, whereas 16% thinks that providing suitable premises and infrastructural facilities are more important. Only 17% think that the government should play no role in improving the business environment.

[Table 16 about here]

Since the launch of the New Enterprise Law in 2000 the effects of the law in terms of making life easier for firms has been an area of interest, and Table 17 reports enterprise perception of the effect of the New Enterprise Law. It appears that firms in urban areas have benefited more, ranging from 17% in HCMC to 34% in Hanoi. However, 53% do not know which effects the Law has had on their enterprise.

[Table 17 about here]

Taking this a step further, Table 18 shows the number of firms that have no knowledge about various laws and government regulations. Knowledge about the New Enterprise Law is less pronounced in rural than in urban areas. This is a common feature regarding most of the laws and government regulations considered.

[Table 18 about here]

Another important question is whether the enterprises think they will benefit or loose from the opening up of international trade. Table 19 provides firm perception of this question and the general picture is that firms are very unsure about the effects (62% answered “don’t know”). Tabulations across ownership type (not reported) show that 35% of the “Limited Liability Companies” think they will benefit, whereas only 7% of the “Household” enterprises think they will benefit.

[Table 19 about here]

Finally the enterprises were asked whether the firm is taking steps to face increasing globalization (Table 20).

[Table 20 about here]

Here it is clear that enterprises in urban areas are to a larger extent preparing their enterprises towards increasing globalization. In Hanoi 39% of the enterprises had started preparing themselves, as compared to 22% in Hai Phong and 17% in HCMC.

5. Final Comments

The 2002 SME survey documented in this set of notes was the third consecutive survey implemented by ILSSA with five year intervals. Major socio-economic changes have taken place in Vietnam during this period, and they are clearly reflected in the data. This also means that sampling and analytical focus have to be adapted. However, understanding the growth experiences and the many constraints faced by Vietnamese Small and Medium Scale Enterprises cannot be adequately analysed without data over time. Panel data are becoming increasingly available in developing countries, but it is still rare that they are available for a 15 year period as in the present case. We therefore hope that our work with the 2002 survey has prepared the ground for further work along these lines in the future. It goes without saying that the more the present data can be used for a variety of purposes both within and outside Vietnam, the more we can learn about this potentially very dynamic sector in the Vietnamese economy to the benefit of those many Vietnamese who merit a better future.

References

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Tables

Table 1: Questionnaire Sections

Group	Section	Questions
1	Identification particulars	1 - 9
2	General characteristics	10 - 15
3	Enterprise history	16 - 20
4	Enterprise development	21 - 26
5	Household characteristics	27 - 33
6	Production characteristics	34 - 45
7	Revenues and costs	46 - 72
8	Fees and taxes	73 - 74
9	Employment	75 - 85
10	Assets, liabilities and credit	86 - 114
11	Economic environment	115 - 120
12	Subcontracting	121 - 128
13	Government assistance	129 - 130
14	Constraints and potentials	131 - 139
15	Links with agriculture	140 - 141

Table 2: Survey Sample

		Surveyed 1991	Surveyed 1997	Not previously	Total
Urban	Ha Noi	42	119	125	286
	Hai Phong	50	101	125	276
	HCMC	62	117	125	304
Rural	Ha Tay	46	83	125	254
	Long An	42	83	125	250
	Quang Nam	0	0	125	125
	Phu Tho	0	0	125	125
Total		242	503	875	1620

Table 3: Actual Number of Enterprises Identified

		Total 2002 survey			Repeat from 1991		Repeat from 1997		Surveyed only 2002
		Respondents	Closed down	Total	Operating	Closed	Operating	Closed	Operating
Urban	Ha Noi	236	32	268	43	12	65	20	128
	Hai Phong	213	61	274	27	19	55	42	131
	HCMC	223	45	268	33	19	65	26	125
Rural	Ha Tay	246	14	260	42	5	69	9	135
	Long An	225	30	255	29	18	64	12	132
	Quang Nam	125	0	125	0	0	0	0	125
	Phu Tho	123	0	123	0	0	0	0	123
Total		1391	182	1573	174	73	318	109	899

Table 4: Distribution by Ownership

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total
Household	144	125	111	227	186	110	83	986
Private	19	23	21	12	25	1	39	140
Cooperative	1	3	8	5	3	0	2	22
Collective	12	33	33	0	2	5	0	85
Limited Company	44	22	56	1	7	5	1	136
Share Holding	0	2	6	0	2	1	0	11
State Enterprise	2	5	1	0	0	0	0	8
Total	222	213	236	245	225	122	125	1388

Table 5: Distribution by Activity

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total
Agricultural Processing	5	18	3	36	51	16	34	163
Manufacturing	207	186	223	205	153	106	84	1164
Repair shops	0	2	0	1	3	0	0	6
Commerce/Trade	3	3	6	1	8	0	0	21
Hotel, Restaurant and Cafe	1	0	1	0	1	0	0	3
Transport	0	2	1	0	1	0	0	4
Other	6	1	1	2	6	1	7	24
Total	222	212	235	245	223	123	125	1385

Table 6: Main Economic Characteristics

	HCMC		Hai Phong		Ha Noi		Ha Tay		Long An		Phu Tho		Quang Nam		Total	
	Mean	Median	Mean	Median	Mean	Median	Mean	Median	Mean	Median	Mean	Median	Mean	Median	Mean	Median
Revenue (mill. VND)	2413	481	1426	237	3754	430	461	142	1313	172	569	80	240	148	1602	211
Costs (mill. VND)	2298	422	1351	180	3668	390	417	127	1228	135	500	66	211	126	1528	174
Inputs (mill. VND)	1954	328	1112	150	3419	264	354	78	1078	99	435	49	175	102	1351	130
Wages (mill. VND)	210	65	156	41	162	68	60	12	87	21	44	11	32	22	1161	30
Taxes (mill. VND)	124	18	82	5	87	12	3	0	58	5	22	0	3	2	59	4
Profits (mill. VND)	126	39	74	26	87	34	45	19	93	30	68	15	29	22	78	26
Costs to Revenue	0.89	0.91	0.85	0.87	0.87	0.89	0.78	0.83	0.77	0.81	0.78	0.79	0.83	0.85	0.83	0.85
Profits to Revenue	0.11	0.09	0.15	0.13	0.13	0.11	0.22	0.17	0.23	0.19	0.22	0.21	0.17	0.15	0.17	0.15
Inputs to Costs	0.75	0.79	0.79	0.81	0.75	0.78	0.83	0.90	0.80	0.83	0.85	0.87	0.79	0.80	0.79	0.82
Wages to Costs	0.18	0.15	0.16	0.15	0.20	0.16	0.17	0.09	0.15	0.13	0.14	0.10	0.19	0.18	0.17	0.14
Taxes to Costs	0.07	0.06	0.04	0.03	0.05	0.04	0.01	0.00	0.05	0.03	0.01	0.00	0.02	0.01	0.04	0.02
Total Assets (mill. VND)	2594	793	1511	494	5461	1310	431	178	1265	162	377	87	185	92	1902	330
Employees	17	8	18	7	19	10	11	5	9	6	10	6	6	5	13	6
Revenue/employment	106	57	50	36	140	39	49	21	80	36	39	16	39	30	77	33
Assets/employment	160	94	91	56	280	120	48	31	84	36	32	20	30	19	114	48

Table 7: Innovations

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total
Introduced new product	32.9	21.3	41.7	35.1	16.4	10.6	22.4	27.4
Improved existing product	40.6	40.3	59.2	49.4	30.7	25.2	18.4	40.3

Table 8: Estimated Income Change of Owner Household during the Last 5 Years

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total
Declined	21.4	24.5	31.8	9.2	29.1	8.2	2.5	18.5
Unchanged	18.2	14.3	23.5	14.6	17.1	9.9	4.1	15.0
0<25% increase	50.9	34.7	26.5	47.7	31.4	29.7	31.4	37.4
25-50% increase	7.6	15.0	8.3	15.1	10.0	24.3	36.4	15.5
50-100% increase	0	8.2	6.1	8.0	3.3	19.8	14.1	7.6
>100% increase	0	2.7	3.8	5.0	9.1	8.1	10.7	5.5
Don't know	1.9	0.6	0	0.4	0	0	0.8	0.5

Table 9: Capital Intensity

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total
Hand tools	3.7	4.3	5.1	22.9	20.4	13.0	3.2	10.9
Manually operated machinery	7.3	4.7	3.0	3.7	4.0	6.5	7.2	4.9
Power driven machinery	28.3	23.7	31.2	18.0	20.4	4.9	20.8	22.2
Manually and power machinery	60.7	67.3	60.7	55.5	55.1	75.6	68.8	61.9

Table 10: Capacity Utilization

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total
Not at all	21.4	20.3	18.1	14.3	14.5	21.9	10.8	17.5
0-10%	25.7	13.9	17.2	18.5	11.2	10.5	6.7	15.8
10-25%	28.6	24.8	25.8	25.9	23.5	21.9	51.7	28.0
25-50%	18.6	18.3	22.2	25.9	31.8	12.4	25.0	22.4
50-100%	4.3	18.3	5.4	13.2	14.5	10.5	5.0	10.3
>100%	1.4	4.5	11.3	2.1	4.5	22.9	0.8	6.0

Table 11: Informal Costs

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total
Costs due to theft or natural disaster	0.009	0.119	0.295	5.651	0.031	3.615	0.009	1.404
"Communication" fees	0.444	1.471	0.415	5.956	0.214	1.900	1.423	1.762
Total informal payments	0.503	1.590	0.710	11.607	0.245	5.515	1.432	3.173

Note: All figures are relative to total tax payments

Table 12: Employment Benefits

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total
Sick leave	48	23	31	4	17	2	4	21
Maternity leave with pay	25	12	19	0	5	2	3	10
Maternity leave without pay	14	24	21	12	4	3	12	14
Annual leave with pay	32	14	20	0	10	1	3	13

Note: All figures are in percentages

Table 13: Credit Constraints

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total
Tried getting a bank loan	19	23	20	56	48	79	57	40
Problems in obtaining loan	28	52	48	12	17	6	25	21

Table 14: Competition

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total	Percent
Non-state	14	11	18	22	22	28	24	139	10,0
State	45	29	32	44	16	17	7	190	13,7
Foreign/Imports	29	13	30	17	11	13	9	122	8,8
Smuggling	21	8	21	8	6	6	8	78	5,6
Other	5	1	4	1	5	6	1	23	1,7
Total	109	61	101	91	55	64	48	529	

Table 15: Government Assistance

	Most important Gov. Ass.
Government Assistance: Establishment	
Fulfilling procedures of application	35.0
Credit	17.0
Tax exemption	24.1
No assistance	8.3
Government Assistance: Operation	
Credit	22.2
Finding workers	9.2
Legal Advice	6.7
No assistance	56.5

Table 16: What Government Intervention Would be Most Beneficial

Type of Assistance	Obs.	Percent
Remove bureaucratic restrictions	90	6.6
Provide premises and infrastructural facilities	216	15.9
Provide access to credit	440	32.3
Restrict competition from imported goods	36	2.6
Liberalize imports of inputs	9	0.7
Distribute raw materials	20	1.5
Provide assistance in tech. know-how	25	1.8
Improve training facilities	12	0.9
Assistance with marketing	147	10.8
Clarifying long term government policies	50	3.7
Improve macro-economic policies	18	1.3
Other	71	5.2
None	228	16.7
Total	1362	100.0

Table 17: What has the New Enterprise Done for the Business Environment

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total
Easier	16.6	32.9	34.0	6.2	9.3	4.1	4.8	16.8
No impact	27.2	29.5	29.8	19.3	21.8	19.0	61.6	28.1
More difficult	4.1	1.0	3.8	0.8	4.9	0.8	0.8	2.5
Don't know	52.1	36.7	32.3	73.7	64.0	76.0	32.8	52.5

Table 18: Knowledge of Laws

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total
Enterprise Law	22	29	14	57	63	48	23	37
Labor code	20	23	12	49	64	36	20	33
Customs law	60	74	50	74	89	76	60	69
Insurance law	58	55	33	72	84	55	38	58
Tax law	11	7	2	43	37	30	10	20
Environmental law	56	41	10	58	79	45	17	45
Land law	47	32	9	40	53	30	10	33

Table 19: Will Firms Benefit from Increasing Internatinalization

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total
Benefit	8	21	16	17	7	5	5	12
No change	21	22	10	11	19	5	39	17
Loose	9	7	23	4	1	4	2	8
Don't Know	61	50	50	68	72	86	55	62

Table 20: Are Firms Taking Steps to Face Increasing Globalization

	HCMC	Hai Phong	Ha Noi	Ha Tay	Long An	Phu Tho	Quang Nam	Total
Yes	17	22	39	12	8	11	6	18
Obs	(38)	(47)	(92)	(29)	(19)	(13)	(8)	(246)

Appendix Table A1: Are Firms Taking Steps to Face Increasing Globalization

Questions not included in 1991, 1997 and 2002A Questionnaires (text in a cell imply that the information was not collected, whereas blank cells signal that the relevant information was actually collected for the year in reference)			
Abbreviations: Enterprise: E Questionnaire: Q Household: HH General Comments: <ul style="list-style-type: none"> ➤ YEAR: refers to the year of the last survey; 1991 in the 1997 Questionnaire (Q) and 1997 in the 2002 Q. It is obvious that such a reference does not make sense in the 1991-column (year of the first survey). Thus when YEAR is mentioned in the 1991-column this means that no similar question was posed. ➤ If there is an entry in all three year-columns the entry is not lacking from the Q but instead the entry is as it is in the Q. 			
1991	1997	2002A	Comments
IDENTIFICATION PARTICULARS			
Number of E			
Address of E	Address of E		
Telephone and Fax	Telephone and Fax		
E established	E established		
		Name of owner	Except when owner is the respondent
Position of respondent			
Gender of owner	Gender of owner		
Type of E			The question refers to the current situation of the business (in business, out of business or not surveyed before) compared to the time of the previous survey.
Has the E changed owner(s) since YEAR?			In the 1997 Q: It is specified: "That is the previous owner no longer has any share in the business".
Has the E since YEAR: a) been closed for more than a year or b) been declared bankrupt.			
GENERAL CHARACTERISTICS			
Form of ownership: i) Limited company or ii) Share holding company			The question is retrospective for the year(s) 1990, 1996 and 2001.
Does the E have any of the following facilities? i) Fax, ii) Mobil phone, iii) E-mail/internet or iv) Car.	Does the E have any of the following facilities? i) Car.		In the 1997 Q it is not specified whether the E has E-mail, only internet.
ENTERPRISE HISTORY			
Previous form of E, if any: a) Household, b) Private, c) partnership, d) Collective, e) "Limited company", f) Share holding company, g) State E or h) Other.	Previous form of E, if any: e) "Limited company" or f) Share holding company,		In the 1991 Q no specific choices for this question was given, just the question it self.
	Investment and source of finance at the time of establishment: gold or dong	Investment and source of finance at the time of establishment: gold or dong	In the 1997 Q and the 2002 Q only 1.000 of dong is feasible (not gold). In 1991 Q and 1997 Q the second choice of fund is: "Interest free capital from friends and relatives" where as in 2002 Q it is just "capital from friends and relatives".
ENTERPRISE DEVELOPMENT			
Has the E changed location since YEAR			The 2002 Q also asks if E has established new premises
Has the E developed any new products since YEAR and			

how successful was the change			
Has the E made any significant improvements in the existing products since YEAR and how successful was the change			
Has the E stopped production of any product/service since YEAR			
Investment into fixed capital or equipment at time of establishment: gold or dong. 1) own capital, 2) Bank loan or 3) Other for the year a) before 1988, b) 1988, c) 1989, d) 1990 or e) 1991.	Has the enterprise made any major investment in machinery/equipment since 1997? If yes, which year (list only largest investment)? Total cost of the largest investment (1,000 dong) of which: a) Total cost, b) Own capital, c) Borrowed from bank/credit institute, d) Borrowed against interest from other sources, e) Borrowed from friends and relatives without interest or f) Other source, specify	Has the enterprise made any major investment in machinery/equipment since 1997? If yes, which year (list only largest investment)? Total cost of the largest investment (1,000 dong) of which: a) Total cost, b) Own capital, c) Borrowed from bank/credit institute, d) Borrowed against interest from other sources, e) Borrowed from friends and relatives without interest or f) Other source, specify	The three entries are the exact entries as they are in the Q's
Economic history: Fees and taxes paid.			
HH CHARACTERISTICS			In 2002 Q questions in this category were only posed if the respondent is owner of the E.
Number of members in the HH below 12.			In 1997 Q and 2002 Q there are three age brackets. In 1991 Q only one.
Activity status of HH member age 12 or more: i) Agriculture, ii) Restaurant, iii) HH production, iv) Self-employment and off-farming activity, v) wage earner, vi) house worker, vii) studying, viii) not working or ix) too old and/or longtime sickness	Activity status of HH member age 13 or more: a) agriculture, b) in the E, c) elsewhere, for wage or d) elsewhere, self-employed.	Activity status of HH member age 13 or more: a) agriculture, b) in the E, c) elsewhere, for wage or d) elsewhere, self-employed.	The three entries are the entries as they are in the Q's
Characteristics of the owner: a) Sex, b) Age in full years, c) Education in completed years, d) Other professional or vocational training, months, e) Previous work status. f) Main previous occupation, g) Other experience/positions, h) Has Owner previously owned any other enterprise, i) Owner has more than one enterprise, j) Does the owner own 2; 3-5; more than 5 enterprises?	Characteristics of the owner: j) Does the owner own 2; 3-5; more than 5 enterprises?		
Characteristics of E HH: f) Investment in home construction in past X years			In 1991 Q is X=3. In 1997 Q and 2002 Q is X=5.
Major durables: a) Car, van, b) Motorcycle, c) Bicycle, d) Sewing-machine, e) Fan, f) Washing machine, g) Refrigerator, h) Cassette/Radio, i) Television, j) Camera, k) Video, l) Air conditioner, m) Furniture, n) Other	Major durables: a) Car, van, b) Motorcycle, c) Bicycle, d) Sewing-machine, e) Fan, f) Washing machine, g) Refrigerator, h) Radio, i) Television, j) Camera, k) Video, l) Air conditioner, m) Other	Major durables: a) Car, van, b) Motorcycle, c) Bicycle, d) Sewing-machine, e) Fan, f) Washing machine, g) Refrigerator, h) Radio, i) Television, j) Camera, k) Video, l) Air conditioner, m) Computer, n) Gas-oven, o) Telephone, p) Mobile phone, q) Other	The three entries are the entries as they are in the Q's. The 1991 Q also gives information of i) year of purchase and ii) price

PRODUCTION CHARACTERISTICS			
		Did the E operate throughout last year? c) no, established during last year	Only a part of the question (c) is not in the 2002 Q.
How many days per week does the enterprise operate last month?	How many days per week does the enterprise operate at present?	How many days per week does the enterprise operate at present?	The three entries are the entries as they are in the Q's.
How many hours per day does the enterprise operate last month?	How many hours per day does the enterprise operate at present?	How many hours per day does the enterprise operate at present?	The three entries are the entries as they are in the Q's.
How many shifts per day does the enterprise operate last month?	How many shifts per day does the enterprise operate at present?	How many shifts per day does the enterprise operate at present?	The three entries are the entries as they are in the Q's.
What was the main source of supply of machinery? d) Import.			Only a part of the question (d) is not in the 1991 Q.
	Cost for purchasing owned assets (time of purchasing) a) building, b) machinery and c) hand tools	Cost for purchasing owned assets (time of purchasing) a) building, b) machinery and c) hand tools	
REVENUES			
Sales structure last year: h) Foreign invested company. Sales structure is not disaggregated on rural and urban buyers.	Sales structure last year: h) Foreign invested company.		Only a part of the disaggregation (h) is not in the 1991 Q and 1997 Q. Only 1991 Q is not disaggregated.
When (year) did your company start producing for direct export?	When (year) did your company start producing for direct export?		
List three export countries in order of importance	List three export countries in order of importance		
How many foreign buyers do you have for your export products?	How many foreign buyers do you have for your export products?		
Do you receive orders for export production?	Do you receive orders for export production?		
Do you have long-term relations (more than one year) with your export product buyers?	Do you have long-term relations (more than one year) with your export product buyers?		
Sales of most important services: 1) Type of service.			Only a part of the question (1) is not in the 1991 Q.
	Type of buyer of three most important services	Type of buyer of three most important services	
	Cost of raw materials: last month	Cost of raw materials: i) last month	Only a part of the question (i) is not in the 1997 Q and 2002 Q.
Origin of raw materials: f) Imported. Origin of raw materials is not disaggregated on rural and urban buyers.	Origin of raw materials: f) Imported.		Only a part of the disaggregation (f) is not in the 1991 Q and 1997 Q. Only 1991 Q is not disaggregated.
How does the enterprise pay for raw materials and services? b) In foreign currency or gold			Only a part of the question (b) is not in the 1991 Q.
	Cost of power and fuel: i) last month	Cost of power and fuel: i) last month	Only a part of the question (i) is not in the 1997 Q and 2002 Q.
FEES AND TAXES			
Fees and taxes paid last year: b) VAT and e) property tax	Fees and taxes paid last year: b) VAT		
	Fees and taxes: i) last month	Fees and taxes: i) last month	Only a part of the question (i) is not in the 1997 Q and 2002 Q.
EMPLOYMENT			
Details on work force: 1) name, 2) relation to owner, 12) remuneration			Only a part of the question (1, 2 and 12) is not in the 1991 Q.
Have you ever resorted to wage reductions or	Did you during last year ever resort to wage reductions or	Did you during last year ever resort to wage reductions or	The three entries are the entries as they are in the Q's.

postponements?	postponements?	wage postponements?	
Stability of labour force.	Stability of labour force	Stability of labour force	In the 1991 Q the question refers to the years 1988-91 where as in the 1997 Q and 2002 Q the question only refers to last year. In the 1997 Q and 2002 Q to sub questions has been added: e) Number of wagedworkers hired during the year, f) Number of wagedworkers at the end of the year.
Difficulty in recruiting workers with appropriate skills? If yes: Solution	Difficulty in recruiting workers with appropriate skills? If yes: Reason	Difficulty in recruiting workers with appropriate skills? If yes: Reason	Only a part of the question (If yes: Solution/Reason) is different within the Q's; the 1991 Q asks what the E did to solve the problem where as the 1997 Q and 2002 Q asks why the problem arose.
ASSETS, LIABILITIES AND CREDIT			
Present situation: ae) Finished goods	Present situation: ae) Finished goods		Only a part of the question (about finished goods) is not in the 1991 Q and 1997 Q.
Situation of present liability	Specification of current liabilities and loans: 1) Source, 2) Amount, 3) Term month and 4) Interests rate by a) bank, b) credit co-operative, c) private moneylender, d) workers, e) other E, private, f) other E, state, g) friends and relatives, h) other	Specification of five most important current liabilities: 1) Source, 2) Amount originally borrowed, 3) Current liability, 4) Term month and 5) Interests rate by a) Private moneylender, b) Relative to owner, c) Other individuals, d) Credit fund, e) Private banks, f) Other government banks, g) Cooperatives, h) Poverty alleviation programmes, i) Job creation programmes, j) Enterprise, non-state, k) Enterprise, state, l) Other programmes or m) Other sources	
Did your E pay back any loans during last year whether borrowed last year or previous years?	Did your E pay back any loans during last year whether borrowed last year or previous years?		
What do you think are major problems in starting up new projects?	What do you think are major problems in starting up new projects?		
Has your E ever tried getting a bank loan or other formal credit?	Has your E ever tried getting a bank loan or other formal credit?		
Did you experience any problems in obtaining the loan?	Did you experience any problems in obtaining the loan?		
How many formal loans (short and long term) has your E obtained since YEAR?	How many formal loans (short and long term) has your E obtained since YEAR?		
How many formal loans (short and long term) have been denied since YEAR?	How many formal loans (short and long term) have been denied since YEAR?		
Are you currently in need of a loan?	Are you currently in need of a loan?		
Would you consider selling part of your company assets in order to raise financial capital?	Would you consider selling part of your company assets in order to raise financial capital?		
What is the relationship of the creditor with your enterprise?	What is the relationship of the creditor with your enterprise?		
Did your enterprise ever extend a loan to the creditor?	Did your enterprise ever extend a loan to the creditor?		
Has your enterprise ever borrowed from the creditor before?	Has your enterprise ever borrowed from the creditor before?		
Where is the creditor located?	Where is the creditor located?		
How much did your	How much did your enterprise borrow		

enterprise borrow from the creditor under this loan?	from the creditor under this loan?		
In what month and year did your enterprise borrow this money or these goods from the creditor?	In what month and year did your enterprise borrow this money or these goods from the creditor?		
Why did your enterprise have to contract this loan?	Why did your enterprise have to contract this loan?		
For what production sector was this loan?	For what production sector was this loan?		
Was a rate of interest specified for this loan?	Was a rate of interest specified for this loan?		
Did your enterprise have to offer assets as collateral for this loan?	Did your enterprise have to offer assets as collateral for this loan?		
Is there a guarantor for this loan?	Is there a guarantor for this loan?		
Is there a fixed repayment period for this loan?	Is there a fixed repayment period for this loan?		
How many regular payments on your loan have your enterprise made so far?	How many regular payments on your loan have your enterprise made so far?		
If any regular payments, what is the amount (in 1,000 VND) of the regular payment?	If any regular payments, what is the amount (in 1,000 VND) of the regular payment?		
Up till the present, how much (in 1,000 VND) has your enterprise paid back including both principal and interest?	Up till the present, how much (in 1,000 VND) has your enterprise paid back including both principal and interest?		
If the loan had to be repaid today, what amount (in percent) would have to be paid?	If the loan had to be repaid today, what amount (in percent) would have to be paid?		
When does your enterprise expect to finish paying back this debt?	When does your enterprise expect to finish paying back this debt?		
Is there a possibility that your enterprise won't be able to pay back this loan, or will your enterprise have difficulties paying back this loan?	Is there a possibility that your enterprise won't be able to pay back this loan, or will your enterprise have difficulties paying back this loan?		
ECONOMIC ENVIRONMENT			
Do you have long term (more than one year) cooperation with foreign firms?	Do you have long term (more than one year) cooperation with foreign firms?		
How do you assess the performance of the cooperation with the foreign firm(s)?	How do you assess the performance of the cooperation with the foreign firm(s)?		
How do you assess the competitiveness of your firm after the cooperation compared to your domestic competitors?	How do you assess the competitiveness of your firm after the cooperation compared to your domestic competitors?		
SUBCONTRACTING			
Did the enterprise produce goods/services using subcontract arrangements with other enterprises in 1991? If yes, how many subcontracts?			Only a part of the question (If yes, how many subcontracts?) is not in the 1991 Q.
With whom? e) Foreign company: e1) foreign firm in Vietnam, e2) foreign firm located abroad	With whom? e) Foreign company: e1) foreign firm in Vietnam, e2) foreign firm located abroad		Only a part of the question (e1 and e2) is not in the 1991 Q and 1997 Q.
Apart from the subcontracts listed above, did the			These three questions are related and concern the E as a subcontractor.

enterprise itself produce as subcontractor on advance order on a regular basis or under a long term contract during last year?			
What was the total income (1,000 VND) under such contract last year?			
Information on longest subcontract still active. a) Which year was the latest subcontracting begun? b) Duration of present contract? (months)			
GOVERNMENT ASSISTENCE			
What assistance, if any, did your enterprise receive from the authorities when it was established? h) Assistance in obtaining land/premises and i) other.		What assistance, if any, did your enterprise receive from the authorities when it was established? j) no assistance	Only a part of the question (h) and i)) is not in the 1991 Q and question j) is not in the 2002 Q.
What assistance, if any, has been/is given by the authorities to the operation of your enterprise? g) Assistance with finding workers, h) Legal advice, j) No assistance			Only a part of the question (g, h) and j)) is not in the 1991 Q
CONSTRAINTS AND POTENTIALS			
What are the major constraints to the growth of the enterprise, if any? k) Inadequate premises/space, n) Difficult to get licences/permissions from authorities and p) No constraints	What are the major constraints to the growth of the enterprise, if any? p) No constraints		Only a part of the question (k, n) and p)) is not in the 1991 Q and question p) is not in the 1997 Q.
How can the authorities help the enterprise to expand and increase its profits? m) none			Only a part of the question (m)) is not in the 1991 Q
Has the new Enterprise Law changed your ease of business	Has the new Enterprise Law changed your ease of business		
How would you characterize your knowledge about the laws and government regulations	How would you characterize your knowledge about the laws and government regulations		
Does your enterprise plan to change its labour force in the coming year	Does your enterprise plan to change its labour force in the coming year		
Do you expect your enterprise will benefit/loose from the opening of international trade?	Do you expect your enterprise will benefit/loose from the opening of international trade?		
Is your enterprise taking concrete steps to face increasing globalisation?	Is your enterprise taking concrete steps to face increasing globalisation?		
LINKS WITH AGRICULTURE			
No questions in this category	Farm assets, present situation: 1) Number, 2) Year of purchase and 3) Cost of a) buffaloes, b) Mini-tractor, c) Hand tractor, d) Plough, e) Seed drill, f) Sprayers, g) Transplanting machine, h) Vehicle or i) Other, specify	Farm assets, present situation: 1) Number and 2) Total present value of a) Water buffaloes and other cattle, b) Tractor, incl. hand tractor, c) Sheller, d) Water pump, e) Plough, f) Seed drill, g) Sprayers, h) Transplanting machine, i) Vehicle, j) Power generator or k) Other, specify	The three entries are the entries as they are in the Q's.

