

Kazakhstan Enterprise Surveys Data Set

1. Introduction

1. This document provides additional information on the data collected in Kazakhstan during calendar years 2008/2009 as part of the fourth round of the Business Environment and Enterprise Performance Survey (BEEPS IV), a joint initiative of the World Bank Group (“WB”) and the European Bank for Reconstruction and Development (“EBRD”). It is an enterprise survey whose objective is to gain an understanding of firms’ perception of the environment in which they operate. The survey was until now administered three times at three years interval. This has added an important element of dynamics in the study of business environment in transition countries.

The 2008 survey was restructured to improve cross-country comparability and to make it compatible with the Enterprise Surveys the Enterprise Analysis Unit of the World Bank has been implementing in the past two years in other regions of the world.

The objective of the survey is to obtain feedback from enterprises in client countries on the state of the private sector as well as to help in building a panel of enterprise data that will make it possible to track changes in the business environment over time, thus allowing, for example, impact assessments of reforms.

Through interviews with firms in the manufacturing and services sectors, the survey will assess the constraints to private sector growth and create statistically significant business environment indicators that are comparable across countries.

The report outlines and describes the sampling design of the data, the data set structure as well as additional information that may be useful when using the data, such as information on non-response cases and the appropriate use of the weights.

2. Sampling Structure

2. The sample for Kazakhstan was selected using stratified random sampling, following the methodology explained in the Sampling Manual¹. Stratified random sampling² was preferred over simple random sampling for several reasons³:

a. To obtain unbiased estimates for different subdivisions of the population with some known level of precision.

b. To obtain unbiased estimates for the whole population. The whole population, or universe of the study, is the non-agricultural economy. It comprises: all manufacturing sectors according to the group classification of ISIC Revision 3.1: (group D), construction sector (group F), services sector (groups G and H), and transport, storage, and communications sector (group I). Note that this definition excludes the following

¹ The complete text can be found at http://www.enterprisesurveys.org/documents/Implementation_note.pdf

² A stratified random sample is one obtained by separating the population elements into non-overlapping groups, called strata, and then selecting a simple random sample from each stratum. (Richard L. Scheaffer; Mendenhall, W.; Lyman, R., “Elementary Survey Sampling”, Fifth Edition).

³ Cochran, W., 1977, pp. 89; Lohr, Sharon, 1999, pp. 95

sectors: financial intermediation (group J), real estate and renting activities (group K, except sub-sector 72, IT, which was added to the population under study), and all public or utilities-sectors.

c. To make sure that the final total sample includes establishments from all different sectors and that it is not concentrated in one or two of industries/sizes/regions.

d. To exploit the benefits of stratified sampling where population estimates, in most cases, will be more precise than using a simple random sampling method (i.e., lower standard errors, other things being equal.)

e. Stratification may produce a smaller bound on the error of estimation than would be produced by a simple random sample of the same size. This result is particularly true if measurements within strata are homogeneous.

f. The cost per observation in the survey may be reduced by stratification of the population elements into convenient groupings.

3. Three levels of stratification were used in this country: industry, establishment size, and oblast (region). The original sample design with specific information of the industries and regions chosen is described in Appendix E.

4. Industry stratification was designed in the way that follows: the universe was stratified into 23 manufacturing industries, 2 services industries -retail and IT-, and one residual sector as defined in the sampling manual. Each sector had a target of 177 interviews.

5. Size stratification was defined following the standardized definition for the rollout: small (5 to 19 employees), medium (20 to 99 employees), and large (more than 99 employees)⁴. For stratification purposes, the number of employees was defined on the basis of reported permanent full-time workers. This seems to be an appropriate definition of the labor force since seasonal/casual/part-time employment is not a common practice, except in the sectors of construction and agriculture.

6. Regional stratification was defined in five regions. These regions are North, West, East, South, and Central.

3. Sampling implementation

7. Given the stratified design, sample frames containing a complete and updated list of establishments for the selected regions were required. Great efforts were made to obtain the best source for these listings. However, the quality of the sample frames was not optimal and, therefore, some adjustments were needed to correct for the presence of ineligible units. These adjustments are reflected in the weights computation (see below).

8. For most countries covered in BEEPS IV two sample frames were used. The first frame for Kazakhstan was a file of establishments obtained from the Agency of Statistics of the Republic of Kazakhstan. A copy of that frame was sent to the statistical team in London to select the establishments for interview. The second frame, supplied by the

⁴ The panel firms from BEEPS 2005 with less than 5 employees are included in the 5 to 19 strata.

World Bank/EBRD, consisted of enterprises interviewed in BEEPS 2005. The clients required that the attempts should be made to re-interview establishments responding to the BEEPS 2005 survey where they were within the selected geographical regions and met eligibility criteria. That sample is referred to as the Panel.

9. The quality of the frame was assessed at the onset of the project. The frame proved to be useful though it showed positive rates of non-eligibility, repetition, non-existent units, etc. These problems are typical of establishment surveys, but given the impact these inaccuracies may have on the results, adjustments were needed when computing the appropriate weights for individual observations. The percentage of confirmed non-eligible units as a proportion of the total number of contacts to complete the survey was 36% (609 out of 1686 establishments).

Sample Frame Kazakhstan (Fresh)

Source: Agency of Statistics of the Republic of Kazakhstan – 2007.

Region	Employees	Sector			
		Manufacturing	52	Residual	Grand Total
North	5-19	549	373	2,553	3,475
	20-99	402	124	954	1,480
	100+	163	19	251	433
North Total		1,114	516	3,758	5,388
West	5-19	208	107	1,252	1,567
	20-99	163	44	705	912
	100+	79	8	162	249
West Total		450	159	2,119	2,728
East	5-19	199	156	616	971
	20-99	123	41	267	431
	100+	81	11	68	160
East Total		403	208	951	1,562
South	5-19	918	446	2,733	4,097
	20-99	657	163	1,436	2,256
	100+	271	57	343	671
South Total		1,846	666	4,512	7,024
Central	5-19	176	114	609	899
	20-99	125	28	250	403
	100+	67	5	58	130
Central Total		368	147	917	1,432
Grand Total		4,181	1,696	12,257	18,134

Sample Frame Kazakhstan (Panel)

Source: BEEPS 2005

Region	Employees	Sector			Grand Total
		Manufacturing	52	Residual	
North	< 5	6	2	1	9
	5-19	22	6	5	33
	20-99	18	1	4	23
	100+	10	2	5	17
North Total		56	11	15	82
West	< 5				
	5-19				
	20-99		1	1	2
	100+	1		1	2
West Total		1	1	2	4
East	< 5		1		1
	5-19	2	1	3	6
	20-99	1		1	2
	100+			2	2
East Total		3	2	6	11
South	< 5	6	3		9
	5-19	26	2	6	34
	20-99	22	2	15	39
	100+	15		8	23
South Total		69	7	29	105
Central	< 5				
	5-19		6	1	7
	20-99		2	7	9
	100+			2	2
Central Total			8	10	18
Grand Total		129	29	62	220

Sectors included in the Sample:

Original Sectors	<p>Manufacturing D - Manufacturing 15 - Manufacture of food products and beverages 16 - Manufacture of tobacco products 17 - Manufacture of textiles 18 - Manufacture of wearing apparel; dressing and dyeing of fur 19 - Tanning and dressing of leather; manufacture of luggage, handbags, saddlery, harness and footwear 20 - Manufacture of wood and of products of wood and cork, except furniture; manufacture of articles of straw and plaiting materials 21 - Manufacture of paper and paper products 22 - Publishing, printing and reproduction of recorded media 23 - Manufacture of coke, refined petroleum products and nuclear fuel 24 - Manufacture of chemicals and chemical products 25 - Manufacture of rubber and plastics products 26 - Manufacture of other non-metallic mineral products 27 - Manufacture of basic metals 28 - Manufacture of fabricated metal products, except machinery and equipment 29 - Manufacture of machinery and equipment n.e.c. 30 - Manufacture of office, accounting and computing machinery 31 - Manufacture of electrical machinery and apparatus n.e.c. 32 - Manufacture of radio, television and communication equipment and apparatus 33 - Manufacture of medical, precision and optical instruments, watches and clocks 34 - Manufacture of motor vehicles, trailers and semi-trailers 35 - Manufacture of other transport equipment 36 - Manufacture of furniture; manufacturing n.e.c. 37 – Recycling Services G - Wholesale and retail trade; repair of motor vehicles, motorcycles and personal and household goods 52 - Retail trade, except of motor vehicles and motorcycles; repair of personal and household goods 41 Residual F - Construction 45 - Construction G - Wholesale and retail trade; repair of motor vehicles, motorcycles and personal and household goods 50 - Sale, maintenance and repair of motor vehicles and motorcycles; retail sale of automotive fuel 51 - Wholesale trade and commission trade, except of motor vehicles and motorcycles H - Hotels and restaurants 55 - Hotels and restaurants I - Transport, storage and communications 60 - Land transport; transport via pipelines 61 - Water transport 62 - Air transport 63 - Supporting and auxiliary transport activities; activities of travel agencies 64 - Post and telecommunications K - Real estate, renting and business activities 72 - Computer and related activities</p>
Added Sectors	No

4. Data Base Structure:

10. The structure of the data base reflects the fact that 3 different versions of the questionnaire were used. The basic questionnaire, the Core Module, includes all common questions asked to all establishments from all sectors (manufacturing, services and IT). The second expanded variation, the Manufacturing Questionnaire, is built upon the Core Module and adds some specific questions relevant to the sector. The third expanded variation, the Services Questionnaire, is also built upon the Core Module and adds to the core specific questions relevant to either retail or IT. Each variation of the questionnaire is identified by the index variable, *a0*.

11. All variables are named using, first, the letter of each section and, second, the number of the variable within the section, i.e. *a1* denotes section A, question 1. Variable names preceded by a prefix “ECA” indicate questions used in the previous rollout (2005) and, therefore, they may not be found in the implementation of the rollout in other Countries. All other suffixed variables are global and are present in all country surveys over the world. All variables are numeric with the exception of those variables with an “x” at the end of their names. The suffix “x” denotes that the variable is alpha-numeric.

12. There are 2 establishment identifiers, *idstd* and *id*. The first is a global unique identifier. The second is a country unique identifier. The variables *a2* (sampling region), *a6a* (sampling establishment’s size), and *a4a* (sampling sector) contain the establishment’s classification into the strata chosen for each country using information from the sample frame. The strata were defined according to the guidelines described above.

13. As noted above, there are 3 levels of stratification: industry, size and region. Different combinations of these variables generate the strata cells for each industry/region/size combination. A distinction should be made between the variable *a4a* and *d1a2* (*industry expressed as ISIC rev. 3.1 code*). The former gives the establishment’s classification into one of the chosen industry-strata, whereas the latter gives the actual establishment’s industry classification (*four digit code*) in the sample frame.

14. All of the following variables contain information from the sampling frame and were defined with the sampling design. They may not coincide with the reality of individual establishments as sample frames may contain inaccurate information. The variables containing the sample frame information are included in the data set for researchers who may want to further investigate statistical features of the survey and the effect of the survey design on their results.

-*a2* is the variable describing sampling regions (oblasts)

-*a6a*: coded using the same standard for small, medium, and large establishments as defined above.

-*a4a*: coded using ISIC codes for the chosen industries for stratification. These codes include most manufacturing industries (15 to 36), and retail, and IT for services (52, and 72 respectively).

-*id2005*: The variable contains the firm ids of the panel firms

-*id2007*: The variable contains the firm ids of the panel firms interviewed in 2007. (available only in Bulgaria, Albania, and Croatia)

15. The surveys were implemented following a 2 stage procedure. In the first stage a screener questionnaire was applied over the phone to determine eligibility and to make appointments; in the second stage, a face-to-face interview took place with the Manager/Owner/Director of each establishment. The variables *a4b* and *a6b* contain the industry and size of the establishment from the screener questionnaire. Variables *a8* to *a11* contain additional information and were also collected in the screening phase.

16. Note that there are additional variables for location (*a3x*), industry (*d1a2*), and size (*l1*, *l6* and *l8*) that reflect more accurately the reality of each establishment. Advance users are advised to use these variables for analytical purposes.

17. Variable *a3x* indicates the actual location of the establishment. There may be divergences between the location in the sampling frame and the actual location, as establishments may be listed in one place but the actual physical location is in another place.

18. Variable *d1a2* indicates the actual ISIC code of the main output of the establishment as answered by the interviewee. This is probably the most accurate variable to classify establishments by activity.

19. Variables *l1*, *l6* and *l8* were designed to obtain a more accurate measure of employment accounting for permanent and temporary employment. Special efforts were made to make sure that this information was not missing for most establishments.

20. Variables *a17x* gives interviewer comments, including problems that occurred during an interview and extraordinary circumstances which could influence results.

5. Universe Estimates

21. Universe estimates for the number of establishments in each cell were produced for each of the strict, weak and median eligibility definitions. The estimates were the multiple of the relative eligible proportions.

22. Appendix C shows the overall estimates of the numbers of establishments based on the strict, weak and median relative estimates.

6. Weights

23. Since the sampling design was stratified and employed differential sampling individual observations should be properly weighted when making inferences about the population. Under stratified random sampling unweighted estimates are biased unless sample sizes are proportional to the size of each stratum. With stratification the probability of selection of each unit is, in general, not the same. Consequently, individual observations must be weighted by the inverse of their probability of selection (probability weights or *pw* in Stata.)⁵

24. Special care was given to the correct computation of the weights. Considering the varying quality of the sample frames, it was imperative to accurately adjust the totals within each region/industry/size stratum to account for the presence of ineligible units (the firm discontinued businesses or was unattainable, education or government establishments, establishments with less than 5 employees, no reply after having called in different days of the week and in different business hours, out of order, no tone in the phone line, answering machine, fax line, wrong address or moved away and could not get the new references) The information required for the adjustment was collected in the first stage of the implementation: the screening process. Using this information, each stratum cell of the universe was scaled down by the observed proportion of ineligible units within the cell. Once an accurate estimate of the universe cell (projections) was available, weights were computed using the number of completed interviews. Please, note that panel firms with less than 5 employees were also included in the eligible sample and special coded zero was used in *a6a* and *a6b* (sample and screener size) to reflect those cases.

25. For some units it was impossible to determine eligibility because the contact was not successfully completed. Consequently, different assumptions as to their eligibility result in different universe cells' adjustments and in different sampling weights. Three sets of assumptions were considered:

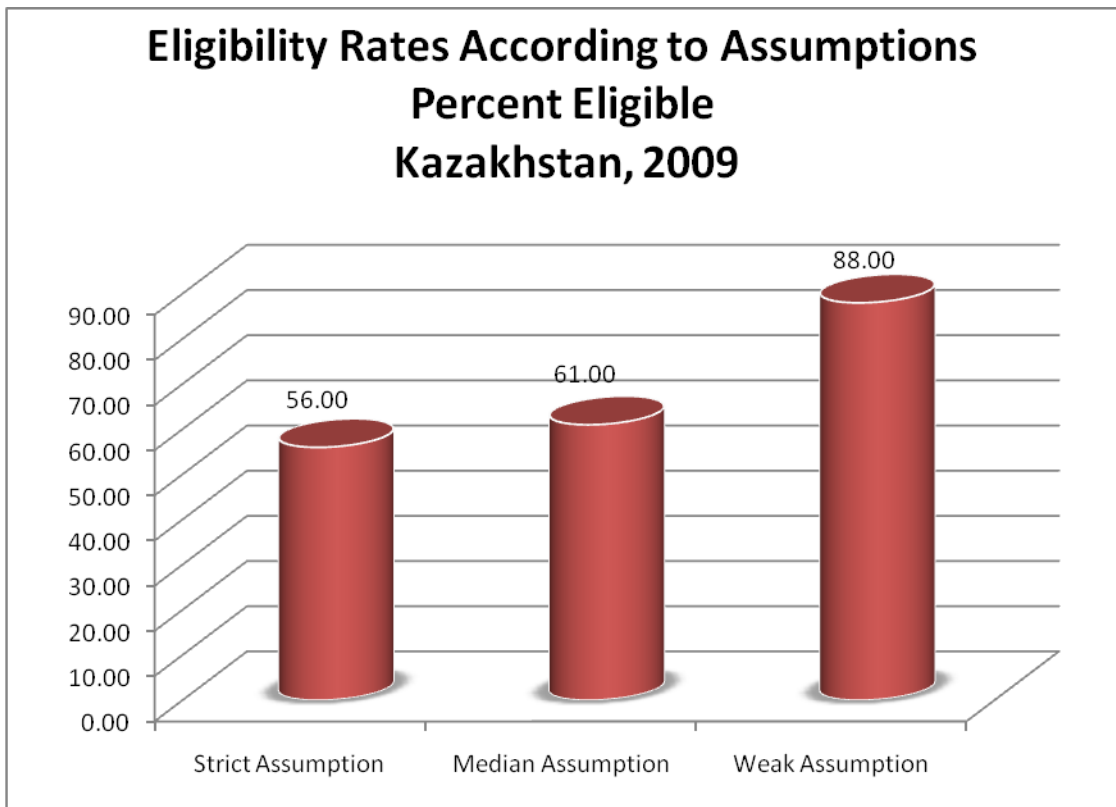
a- Strict assumption: eligible establishments are only those for which it was possible to directly determine eligibility. The resulting weights are included in the variable *w_strict*.

b- Median assumption: eligible establishments are those for which it was possible to directly determine eligibility and those that rejected the screener questionnaire or an answering machine or fax was the only response. The resulting weights are included in the variable *w_median*.

c- Weak assumption: in addition to the establishments included in points a and b, all establishments for which it was not possible to finalize a contact are assumed eligible. This includes establishments with dead or out of service phone lines, establishments that never answered the phone, and establishments with incorrect addresses for which it was impossible to find a new address. The resulting weights are included in the variable *w_weak*. Note that under the weak assumption only observed non-eligible units are excluded from universe projections.

The following graph exhibits the different eligibility rates under each set of assumptions.

⁵ This is equivalent to the weighted average of the estimates for each stratum, with weights equal to the population shares of each stratum.



26. Within each of these assumptions regarding eligibility a pair of weight sets was calculated. The first set of estimates calculated proportions using the raw sample count for each cell. However, the achieved sample numbers in many cells were small. Hence, those eligibility rates, and the adjusted universe cells projections, are subject to relatively large sampling variations. Therefore a second set of more robust estimates (collapsed weights) was also produced. These estimates made use of the multiples of the relative eligibility rates for each industry, size, and region. Those relative rates were based on much larger samples than the individual cells and thus produced values with smaller sampling variations. The data sets include only these robust weights.

Please note that for the purpose of the weights computations all panel firms were considered to be part of the current universe, although technically they are not randomly selected.

7. Appropriate use of the weights

27. As discussed above, under stratified random sampling weights should be used when making inferences about the population. Any estimate or indicator that aims at describing some feature of the population should take into account that individual observations may not represent equal shares of the population.

28. However, there is some discussion as to the use of weights in regressions (see Deaton, 1997, pp.67; Lohr, 1999, chapter 11, Cochran, 1953, pp.150). There is not strong large sample econometric argument in favor of using weighted estimation for a common population coefficient if the underlying model varies per stratum (stratum-specific coefficient): both simple OLS and weighted OLS are inconsistent under regular conditions. However, weighted OLS has the advantage of providing an estimate that is independent of the sample design. This latter point may be quite relevant for the Enterprise Surveys as in most cases the objective is not only to obtain model-unbiased estimates but also design-unbiased estimates (see also Cochran, 1977, pp 200 who favors the used of weighted OLS for a common population coefficient.)⁶

29. From a more general approach, if the regressions are descriptive of the population then weights should be used. The estimated model can be thought of as the relationship that would be expected if the whole population were observed⁷. If the models are developed as structural relationships or behavioral models that may vary for different parts of the population, then, there is no reason to use weights.

8. Non-response

30. Survey non-response must be differentiated from item non-response. The former refers to refusals to participate in the survey altogether whereas the latter refers to the refusals to answer some specific questions. Enterprise Surveys suffer from both problems and different strategies were used to address these issues.

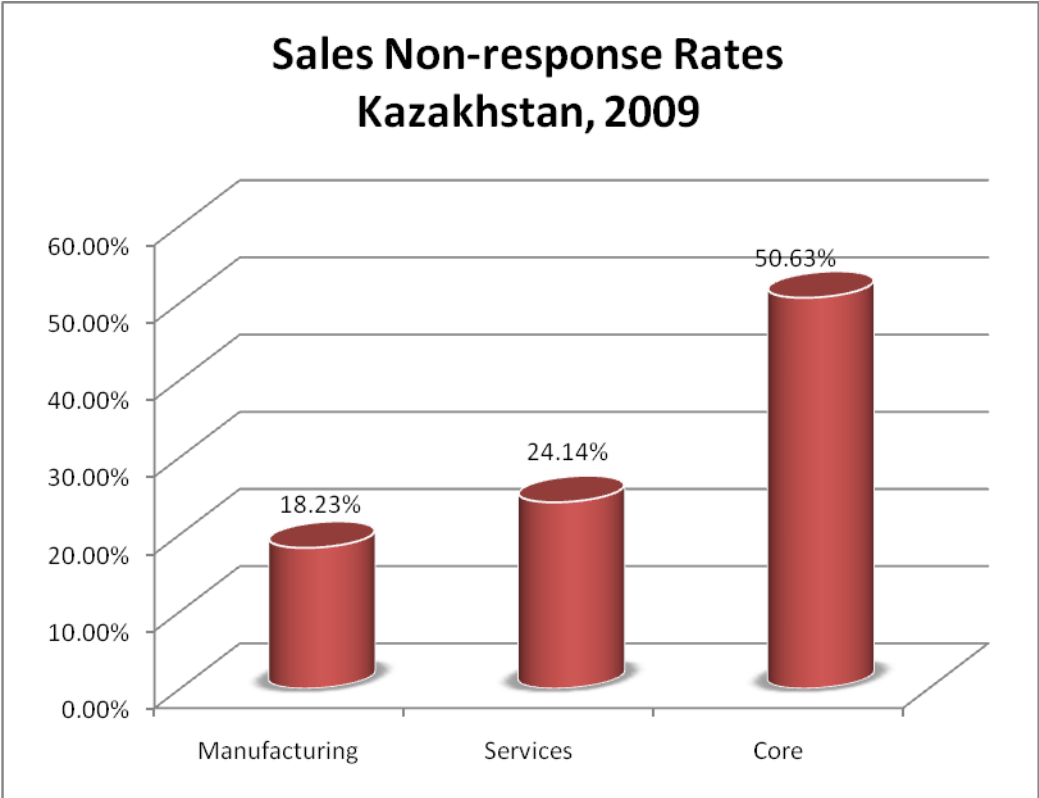
31. Item non-response was addressed by two strategies:

a- For sensitive questions that may generate negative reactions from the respondent, such as corruption or tax evasion, enumerators were instructed to collect the refusal to respond as (-8).

b- Establishments with incomplete information were re-contacted in order to complete this information, whenever necessary. However, there were clear cases of low response. The following graph shows non-response rates for the sales variable, *d2*, by type of questionnaire. Please, note that the coding utilized in this dataset does not allow us to differentiated between “Don’t know” and “refuse to answer”, thus the non-response in the table below reflects both categories (DKs and NAs).

⁶ Note that weighted OLS in Stata using the command regress with the option of weights will estimate wrong standard errors. Using the Stata survey specific commands svy will provide appropriate standard errors.

⁷ The use weights in most model-assisted estimations using survey data is strongly recommended by the statisticians specialized on survey methodology of the JPSM of the University of Michigan and the University of Maryland.



32. Survey non-response was addressed by maximizing efforts to contact establishments that were initially selected for interview. Up to 4 attempts were made to contact the establishment for interview at different times/days of the week before a replacement establishment (with similar strata characteristics) was suggested for interview. Survey non-response did occur but substitutions were made in order to potentially achieve strata-specific goals. Further research is needed on survey non-response in the Enterprise Surveys regarding potential introduction of bias.

33. As the following graph shows, the number of contacted establishments per realized interview was 2.48. This number is the result of two factors: explicit refusals to participate in the survey, as reflected by the rate of rejection (which includes rejections of the screener and the main survey) and the quality of the sample frame, as represented by the presence of ineligible units.



34. Details on rejections rates, eligibility rates, and item non-response are available at the level strata. This report summarizes these numbers to alert researchers of these issues when using the data and when making inferences. Item non-response, selection bias, and faulty sampling frames are not unique to Kazakhstan. All enterprise surveys suffer from these shortcomings but in very few cases they have been made explicit.

References

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Appendix A
Cell Weights – Kazakhstan (Strict)

Individual Cell Weights

Region	Employees	Sector		
		Manufacturing	52	Residual
North	5-19	14	14	118
	20-99	10	3	29
	100+	6	2	13
West	5-19	12	6	62
	20-99	13	3	34
	100+	6	2	7
East	5-19	10	13	47
	20-99	7	2	18
	100+	5	3	4
South	5-19	22	12	113
	20-99	12	6	41
	100+	7	3	15
Central	5-19	22	14	63
	20-99	22	4	14
	100+	6	1	3

Collapsed Cells

Region	Employees	Sector		
		Manufacturing	52	Residual
North	5-19	14	14	89
	20-99	10	3	26
	100+	6	2	13
West	5-19	12	6	88
	20-99	13	3	39
	100+	6	2	7
East	5-19	10	13	89
	20-99	7	2	26
	100+	5	3	4
South	5-19	22	12	88
	20-99	12	6	39
	100+	7	3	15
Central	5-19	22	14	63
	20-99	22	4	14
	100+	6	1	3

Cell Weights – Kazakhstan (Weak)

Individual Cell Weights

Region	Employees	Sector		
		Manufacturing	52	Residual
North	5-19	26	22	221
	20-99	18	5	53
	100+	11	3	23
West	5-19	17	7	88
	20-99	19	4	47
	100+	8	3	10
East	5-19	14	15	63
	20-99	9	2	23
	100+	6	3	5
South	5-19	45	20	226
	20-99	23	9	79
	100+	13	4	28
Central	5-19	38	21	107
	20-99	37	5	23
	100+	10	2	5

Collapsed Cells

Region	Employees	Sector		
		Manufacturing	52	Residual
North	5-19	26	22	148
	20-99	18	5	41
	100+	11	3	23
West	5-19	17	7	151
	20-99	19	4	64
	100+	8	3	10
East	5-19	14	15	148
	20-99	9	2	41
	100+	6	3	5
South	5-19	45	20	151
	20-99	23	9	64
	100+	13	4	28
Central	5-19	38	21	107
	20-99	37	5	23
	100+	10	2	5

Cell Weights – Kazakhstan (Median)

Individual Cell Weights

Region	Employees	Sector		
		Manufacturing	52	Residual
North	5-19	15	15	128
	20-99	12	3	33
	100+	7	2	15
West	5-19	12	6	64
	20-99	15	3	37
	100+	7	2	8
East	5-19	11	13	48
	20-99	7	2	19
	100+	5	3	4
South	5-19	25	12	121
	20-99	13	6	45
	100+	8	3	17
Central	5-19	25	15	69
	20-99	26	4	15
	100+	7	1	4

Collapsed Cells

Region	Employees	Sector		
		Manufacturing	52	Residual
North	5-19	15	15	95
	20-99	12	3	28
	100+	7	2	15
West	5-19	12	6	93
	20-99	15	3	43
	100+	7	2	8
East	5-19	11	13	95
	20-99	7	2	28
	100+	5	3	4
South	5-19	25	12	93
	20-99	13	6	43
	100+	8	3	17
Central	5-19	25	15	69
	20-99	26	4	15
	100+	7	1	4

Appendix B

Status Codes - Total

ELIGIBLES		
Eligible	1. Eligible establishment <i>(Correct name and address)</i>	979
	2. Eligible establishment <i>(Different name but same address - the new firm/establishment bought the original firm/establishment)</i>	0
	3. Eligible establishment <i>(Different name but same address - the firm/establishment changed its name)</i>	5
	4. Eligible establishment <i>(Wrong address - the firm/establishment has changed address and the address could be found)</i>	5
	16. Panel firm - now less than five employees	3
Ineligible	5. The establishment has less than 5 permanent full time employees	2
	6. The firm discontinued businesses	33
	7. Not a business: private household	52
	8. Ineligible activity: education, agriculture, finances, governments...	40
Unobtainable	91. No reply <i>(after having called in different days of the week and in different business hours)</i>	103
	92. Line out of order	11
	93. No tone	133
	10. Answering machine	2
	11. Fax line - data line	3
	12. Wrong address/ moved away and could not get the new references	228
	13. Refuses to answer the screener	85
	14. In process <i>(the establishment is being called/ is being contacted - previous to ask the screener)</i>	89
	151. Out of target - outside the covered regions, firm moved abroad	1
	152. Out of target - firm moved abroad	1
	Total	1,775

Response Outcomes - Total

Complete interviews <i>(Total)</i>	554
Incomplete interviews	0
Eligible in process	33
Refusals	415
Out of target	127
Impossible to contact	480
Ineligible - coop.	2
Refusal to the Screener	85
Total	1,686

PANEL

Complete interviews (<i>Total</i>)	77
Incomplete interviews	0
Eligible in process	6
Refusals	31
Out of target	23
Impossible to contact	57
Ineligible - coop.	0
Refusal to the Screener	8
Total	202

ELIGIBLES		
Eligible	1. Eligible establishment (<i>Correct name and address</i>)	107
	2. Eligible establishment (<i>Different name but same address - the new firm/establishment bought the original firm/establishment</i>)	0
	3. Eligible establishment (<i>Different name but same address - the firm/establishment changed its name</i>)	4
	4. Eligible establishment (<i>Wrong address - the firm/establishment has changed address and the address could be found</i>)	0
Ineligible	16. Panel firm - now less than five employees	3
	5. The establishment has less than 5 permanent full time employees	0
	6. The firm discontinued businesses	3
	7. Not a business: private household	5
Unobtainable	8. Ineligible activity: education, agriculture, finances, governments...	15
	91. No reply (<i>after having called in different days of the week and in different business hours</i>)	24
	92. Line out of order	4
	93. No tone	11
	10. Answering machine	0
	11. Fax line - data line	1
	12. Wrong address/ moved away and could not get the new references	17
	13. Refuses to answer the screener	8
14. In process (<i>the establishment is being called/ is being contacted - previous to ask the screener</i>)	6	
	151. Out of target - outside the covered regions, firm moved abroad	0
	152. Out of target - firm moved abroad	0
Total		208

FRESH

Complete interviews <i>(Total)</i>	467
Incomplete interviews	0
Eligible in process	27
Refusals	384
Out of target	104
Impossible to contact	423
Ineligible - coop.	2
Refusal to the Screener	77
Total	1,484

ELIGIBLES

Eligible	1. Eligible establishment <i>(Correct name and address)</i>	872
	2. Eligible establishment <i>(Different name but same address - the new firm/establishment bought the original firm/establishment)</i>	0
	3. Eligible establishment <i>(Different name but same address - the firm/establishment changed its name)</i>	1
	4. Eligible establishment <i>(Wrong address - the firm/establishment has changed address and the address could be found)</i>	5
Ineligible	16. Panel firm - now less than five employees	0
	5. The establishment has less than 5 permanent full time employees	2
	6. The firm discontinued businesses	30
	7. Not a business: private household	47
Unobtainable	8. Ineligible activity: education, agriculture, finances, governments...	25
	91. No reply <i>(after having called in different days of the week and in different business hours)</i>	79
	92. Line out of order	7
	93. No tone	122
	10. Answering machine	2
	11. Fax line - data line	2
	12. Wrong address/ moved away and could not get the new references	211
	13. Refuses to answer the screener	77
	14. In process <i>(the establishment is being called/ is being contacted - previous to ask the screener)</i>	83
	151. Out of target - outside the covered regions, firm moved abroad	1
	152. Out of target - firm moved abroad	1
	Total	1,567

Appendix C

Eligibility Rules

Status Code	Eligibility Criteria		
	Strict	Weak	Median
1. Eligible establishment (Correct name and address)	1	1	1
2. Eligible establishment (Different name but same address - the new firm/establishment bought the original firm/establishment)	1	1	1
3. Eligible establishment (Different name but same address - the firm/establishment changed its name)	1	1	1
4. Eligible establishment (Wrong address - the firm/establishment has changed address and the address could be found)	1	1	1
16. Panel firm - now less than five employees	1	1	1
5. The establishment has less than 5 permanent full time employees	0	0	0
6. The firm discontinued businesses	0	0	0
7. Not a business: Private household	0	0	0
8. Ineligible activity: education, agriculture, finances, governments...	0	0	0
91. No reply (after having called in different days of the week and in different business hours)	0	1	0
92. Line out of order	0	1	0
93. No tone	0	1	0
10. Answering machine	0	1	1
11. Fax line – data line	0	1	1
12. Wrong address/ moved away and could not get the new references	0	1	0
13. Refuses to answer the screener	0	1	1
14. In process (the establishment is being called/ is being contacted – previous to ask the screener)	0	0	0
151. Out of target – outside the covered regions, firm moved abroad	0	0	0
152. Out of target – firm moved abroad	0	0	0

Strict eligibility

$$= (\text{Sum of the numbers with codes 1,2,3,4,\&16}) / \text{Total}$$

Weak eligibility

$$= (\text{Sum of the numbers with codes 1,2,3,4,16,91,92,93,10,11,12,\&13}) / \text{Total}$$

Median eligibility

$$= (\text{Sum of the numbers with codes 1,2,3,4,16,10,11, \& 13}) / \text{Total}$$

Kazakhstan Establishment Estimates

Cells	Strict	Weak	Median
Un-collapsed Cells	9636	16412	10458
Collapsed Cells	9869	16450	10680

Appendix D

Questionnaires:

Problems for the understanding of questions (write question number)	-
Problems found in the navigability of -questionnaires (for example, skip patterns).	-
Comments on questionnaires length:	A lot of respondents found the questionnaire too long
Suggestions or other comments on the questionnaire:	-

Database

Comments on the data entry program	Data entry program chosen: Perts Comments: no comments. Any problems appeared were solved with TNS opinion before the data entry process started
Comments on the data cleaning	-

Country situation

General aspects of economic, political or social situation of the country that could affect the results of the survey:	The financial crisis: - A lot of people lost their jobs, especially in the finance and construction sectors; - Some enterprises were in liquidation when interviewers contacted them - Interviewers claim that this year there were much more refusals than in other surveys.
Relevant country events occurred during fieldwork:	-
Other aspects:	-

Appendix E

Original Sample Design

Region	Employees	Sector			Grand Total
		Manufacturing	52	Residual	
North	5-19	14	18	14	46
	20-99	14	22	18	54
	100+	13	8	15	36
North Total		41	48	47	136
West	5-19	11	11	16	38
	20-99	11	9	15	35
	100+	11	3	16	30
West Total		33	23	47	103
East	5-19	12	13	11	36
	20-99	12	18	11	41
	100+	13	5	14	32
East Total		37	36	36	109
South	5-19	16	18	9	43
	20-99	16	20	9	45
	100+	15	17	9	41
South Total		47	55	27	129
Central	5-19	6	5	5	16
	20-99	6	7	6	19
	100+	7	3	8	18
Central Total		19	15	19	53
Grand Total		177	177	176	530

Appendix F

Local Agency team involved in the study:

Local Agency	Name: BRIF Research Group LLP Country: Kazakhstan Membership of international organisation: ESOMAR, IRIS Activities since: 1991
Name of Project Manager	Aynur Akhmatullina
Name and position of other key persons of the project:	Rashida Fatihova – Head of Quantitative Department
Enumerators involved:	Enumerators: 57 Recruiters: 57 All interviewers acted as both recruiters and interviewers.
Other staff involved:	Fieldwork Coordinators: Olga Ashaeva – fieldwork supervisor Editing: Morozova Z.F., Kovaleva E., Mahulbekova A. Data Entry: Data Processing: Svetlana Kovaleva – Head of Data Processing Department

Sample Frame:

Characteristic of sample frame used:	<ul style="list-style-type: none"> • Company name • Activity description • ISIC 2-digit code • Number of employees • Region • Phone number • Company address (Oblast, city, street name and number) • Name of the company boss
Source:	Agency of Statistics of RK
Year of publication:	2007
Comments on the quality of sample frame:	<p>More than a half the enterprises were impossible to contact mainly due to the following reasons:</p> <ul style="list-style-type: none"> - the establishment moved away and new contacts were not found - line out of order - nobody replied after calling several times different days and times
Year and organism who conducted the last economic census	Agency of Statistics of RK, 2007
Other sources for companies statistics	None

Sample:

Comments/ problems on sectors and regions selected in the sample:	On sectors: - On regions: in the West we faced some problems as there are a lot of closed establishments where one cannot go in without special permission.
Comments on the response rate:	There were a lot of refusals: almost a half of all eligible establishments
Comments on the sample design:	According to TNS' estimations, the number of establishment that needed to be interviewed in the West should have been less according to its share in the universe.

Fieldwork:

Date of Fieldwork	17 Sep 2008 – 30 Jan 2009
Country	Kazakhstan
Interview number	Total - 544 Manufactures: 194 Services: 170 Core: 180
Problems found during fieldwork:	There were cases when substitutions for firms for a particular record number were in different cities, even though they were in one region. However one region included several big cities and supervisors from different cities had to be in regular communication with each other. This also had an influence on the length of the fieldwork
Other observations:	No

Appendix H.**Survey Universe, Sample Population and Sampling Frames**

The following provides description of the general methodology used in BEEPS 2009.

The survey universe was defined as commercial, service or industrial business establishments with at least five full-time employees. Government departments including military, police, education, health and similar activities were excluded, as were those in primary industries including agriculture, mining, etc.

There are no up to date and reliable statistics relating to this universe in the countries being

surveyed in BEEPS IV. Consequently the universe size and characteristics have to be directly

estimated from the survey results themselves. This requirement increases the emphasis that has to be placed on the quality of the sample frame, because the validity of the results is predominantly a function of coverage and age of the sampling frame.

The criteria used to evaluate the available sampling frame in descending priority were those of:

- Coverage

- ✓ Up to datedness
- ✓ Availability of detailed stratification variables
- ✓ Location identifiers- address, phone number, email
- ✓ Electronic format availability

✓ Contact name(s)

The sample frames used for the surveys must consist of the lists of enterprises in each country that most optimally meet these requirements. The final selection was made by the TNS in collaboration with the World Bank and EBRD. For most countries covered in BEEPS IV two sample frames were used. The first frame was often an official frame of establishments supplied by the national statistical office of the country. The Enterprise Survey conducted for the World Bank in Albania in 2007/8 showed that a suitable frame did not exist for the country. Instead, the design returned to first principles, using a blocks enumeration methodology.