



SME Survey 2016: Botswana

Section A: Interview identifier information

[Section to be completed by enumerator in advance of the interview]

A01 Enumerator name ENM		A07 GPS Coordinates of Business	
A02 Enumerator ID: ENM		A08 Approximate distance of SME from the Gaborone CBD <i>[estimated in kms via the Google Maps shortest route to the Three Dikgosi Monument]</i>	
A03 Questionnaire number			
A04 Date of survey <i>DD-MM-YY</i>			
A05 Survey start time <i>HH:MM</i>		Enumerator's signature:	
A06 Survey end time <i>HH:MM</i>		Supervisors signature:	

Additional Survey Codes (use when relevant):

Does not apply = **N/A**; Not sure/don't know = **UNSURE**; Prefer not to say = **DECLINED**

Section B: Interviewee identifiers and personal details

B01 Name of SME: _____

B02 SME address: _____

B03 Email address (if any): _____

B04	B05	B06	B07	B08
Name (<i>First Name, Surname</i>)	Job Title	Gender	Are you an owner of this business?	What is your highest level of education?
		1= Male 2= Female	1= Yes 2= No	0= No schooling 1= Primary (Grade 1-7) 2= Junior (Form 1-3) 3= Senior secondary (Form 4-5) 4= Tertiary
		B06	B07	B08

Section C: SME identifiers

C01: What is your main business?

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C02	C03	C04
		<i>Ask if C03 = 1</i>
Year business was formed:	Is your business currently registered?	With which regulatory body(ies) are you registered?
<i>Year [If business has been open less than a year, please state the month the business opened]</i>	1= Yes 2= No => If 'no' go to C05	1= Registrar of Companies and Intellectual Properties 2= Registrar of Societies 3= Other (please specify)
C02	C03	C04

C05	C06	C07	C08	C09	C10
				<i>Ask if C08 = >0</i>	
Total number of current permanent employees	Of this number how many are Male	Of this number how many are Female	Total number of seasonal or temporary employees currently employed	Of this number how many are Male	Of this number how many are Female
<i>Number</i>	<i>Number</i>	<i>Number</i>	<i>Number</i>	<i>Number</i>	<i>Number</i>
C05	C06	C07	C08	C09	C10

Permanent employees are those who have been working for the company for 12 months, or are expected to be working for the company for 12 months

Section D: Obstacles to Business Operations

I would now like to discuss the various obstacles that your business faces.

Using the response options on card 1, to what degree is << each obstacle >> an obstacle to the current operations of your business?

[ENUM: Circle one for each obstacle on the list or place 'X' in box. If respondent is illiterate, ask respondent 'how much is <<each obstacle>> an obstacle to business on a scale of 0-4'].

Obstacle	No Obstacle	Minor obstacle	Moderate obstacle	Major obstacle	Very severe obstacle	(Spontaneous)	
						Don't know	Does not apply
D01: Access to finance	0	1	2	3	4		
D02: Access to land	0	1	2	3	4		
D03: Access to appropriate technology and facilities	0	1	2	3	4		
D04: An inadequately educated/under-skilled workforce	0	1	2	3	4		
D05: Business licensing & permits	0	1	2	3	4		
D06: Corruption	0	1	2	3	4		
D07: Crime theft and disorder	0	1	2	3	4		
D08: Customs and trade regulations	0	1	2	3	4		
D09: Electricity	0	1	2	3	4		
D10: Flooding	0	1	2	3	4		
D11: Other climate hazards (excluding flooding)	0	1	2	3	4		
D12: Political instability	0	1	2	3	4		
D13: Practices of competitors in the informal sector	0	1	2	3	4		
D14: Tax administration	0	1	2	3	4		
D15: Tax rates	0	1	2	3	4		
D16: Transport	0	1	2	3	4		
D17: Waste collection/disposal	0	1	2	3	4		
D18: Water supply disruption	0	1	2	3	4		

Section E: Business water usage

E01	E02
Does your business use water for its activities aside from for typical consumption and personal hygiene?	Does your business have <u>access</u> to a piped water supply?
1= Yes 2= No => <i>If 'no' go to section J (p.17)</i>	1= Yes => <i>If 'yes' go to E07</i> 2= No => <i>If 'no' complete questions E03-E06, then go to section J</i>
E01	E02

E03	E04	E05	E06
<i>Ask if E02 = 2</i>			
Using the options on card 2 , what other sources of water does your business use?	Using the options on card 3 , why does your business not have access to a piped water supply?	Do you plan to connect to a piped water supply in future?	Please explain why/why not:
1= Reserve water tank / jojo 2= Harvested rainwater 3= Other recycled water 4= Bottled water / water cooler / water dispenser 5= Bulk water delivery / water bowring / water trucking 6= Own well / borehole 7= Other water source (please specify) <i>[please record all that apply]</i>	1= Piped water is too expensive 2= Piped water supply is too unreliable 3= Connecting to a piped water supply is too difficult 4= Other (please specify) <i>[please record all that apply]</i>	1=Yes 2=No	
E03	E04	E05	
			Now go to SECTION J

	E07	E08
If yes to E02	Is your business' piped water supply shared or private?	Is this business connected to the water meter?
	1= Shared 2= Private 3= a combination of shared and private supplies	1= Yes 2= No
	E07	E08

E09	Which of the activities on card 4 does your business use water for? <i>[Please tick all that apply]</i>	1 – Irrigation / watering	E09-1	
		2 - Washing (laundrying, cleaning etc)	E09-2	
		3 – Food / beverage preparation	E09-3	
		4 – Cooling / heating	E09-4	
		5 - Other uses (please specify: _____	E09-5	

E10	Which of the activities on card 4 is the most important use of water for your business? <i>[Please tick only one]</i>	1 – Irrigation / watering	E10-1	
		2 - Washing (laundrying, cleaning etc)	E10-2	
		3 – Food / beverage preparation	E10-3	
		4 – Cooling / heating	E10-4	
		5 – Other uses (please specify: _____	E10-5	

E11	E12	E13	E14	E15	E16
Over the last 12 months did your business experience insufficient water supply for its activities (either because your water supply was completely cut off or because of decreased water pressure)?	Using the options on card 5 , over the last 12 months how many times in a typical month did this business experience insufficient water supply?	Over the last 12 months, how long did periods of insufficient water supply last on average?	What proportion of these episodes of insufficient water supply resulted in your water supply being cut off entirely?	In the last 12 months, during which month did your business experience the worst water supply disruption?	Please estimate the duration of the longest episode of water supply disruption that your business has experienced over the last 12 months?
1= Yes 2= No => <i>If 'no' go to section J (p.17)</i>	1= Less than once a month 2= 1-5 times/month 3= 6-10 times/month 4= 11-15 times/month 5= 15+ times/month, but not everyday 6= Everyday	Days: Hours: Minutes	Percentage	Month, Year	Days: Hours: Minutes
E11	E12	E13	E14	E15	E16

[ENUM: fill out this page with respondent so they can see and reflect upon the time-series being developed. Place a cross (X) in the intersection between the month and the severity of the disruption]

E17: We'd like to understand how your business' experience of water supply disruption has changed over time. Using the options available on the table below, during which months do you feel you experienced the most severe water supply disruption?

4 - Very severe water shortages												
3 - Severe water shortages												
2 - Moderate water shortages												
1 - Mild water shortages												
0 - No water shortages												
	August 2015	September 2015	October 2015	November 2015	December 2015	January 2016	February 2016	March 2016	April 2016	May 2016	June 2016	July 2016

ENUM: Place a cross (X) in the intersection between water shortage experience and degree of agreement

We'd like to compare your experience of water shortages over the last 12 months, with your experience of water shortages at previous times. Using the options on card 6 please state how much you agree with the following statements:

		1 - Strongly disagree	2 - Disagree	3 - Neither agree nor disagree	4 - Agree	5 - Strongly agree	DECLINED UNSURE or N/A
E18	Over the last 12 months my business has experienced more regular episodes of insufficient water supply than is usual.						
E19	Over the last 12 months the episodes of insufficient water supply that my business has experienced have generally lasted longer than is usual.						

Section F: Business impacts of water shortages

F01	F02	F03	F04	F05
	----- Ask if F01 = 1 -----			
In the last 12 months have business operations/ production processes been halted as a result of insufficient water supply?	Using the options on card 5 , how many days in a typical month have business operations or production processes been halted as a result of insufficient water supply?	Please estimate how long operations were halted on average	Using the options on card 7 , do times of insufficient water supply have any impact on your business' productivity?	In the last 12 months have episodes of insufficient water supply caused any damage to your business inventory or resulted in any other losses of business assets?
1=Yes 2= No => If no go to F04	1= Less than once a month 2= 1-5 times/month 3= 6-10 times/month 4= 11-15 times/month 5= 15+ times/month, but not everyday 6= Everyday	Days: Hours: Minutes	1= Productivity decreases at times of insufficient water supply 2= Productivity increases at times of insufficient water supply 3= Times of insufficient water supply have no impact on productivity	1= Yes 2= No
F01	F02	F03	F04	F05

F06	F07	F08
	<i>Ask if F06 = 1</i>	
In the last 12 months have you been unable to fulfill any obligations to customers or any customer orders as a result of insufficient water supply?	Do you believe that this has resulted in any permanent loss of customers or business?	Using the options on card 8 , please tell me whether you believe that water insufficiencies over the last 12 months have in anyway affected demand for your business services?
1= Yes 2= No => <i>If no go to F08</i>	1= Yes 2= No	1 = Demand has decreased as a result of water shortages 2 = Demand has increased as a result of water shortages 3 = Water shortages have had no impact on demand
F06	F07	F08

F09	F10	F11
	<i>Ask if F09 = 1</i>	<i>Ask if F10 = 1</i>
Apart from your water suppliers, do you think any of your business suppliers have also been affected by water shortages?	Has this had any consequences for your business?	Using the options on card 9 , please specify the consequences your business has experienced as a result of suppliers' water shortages
1= Yes 2= No => <i>If no go to F12</i> 3= My business doesn't have suppliers	1= Yes 2= No => <i>If no go to F12</i>	1 = Supplier has been unable to supply goods or has been delayed supplying goods 2 = Supplier's prices have increased 3 = Supplier has switched to a different commodity, product or crop 4 = Supplier has gone out of business 5 = Supplier has relocated its facilities to cope with water supply insufficiencies 6 = Other (please specify) <i>[Please record all that apply]</i>
F09	F10	F11

Please tell me if the following statements, printed on card 10 are true or false in relation to your business:

F12	F13	F14
STATEMENT 1: My business has already reduced its total number of employees due to water supply insufficiencies	STATEMENT 2: My business might reduce its workforce in the future if water supply insufficiencies continue.	STATEMENT 3: My business has reduced employees hours of work as a result of water supply insufficiencies
1=True 2=False	1=True 2=False	1=True 2=False
F12	F13	F14

F15	F16	F17
	Ask if F15 = 1	
STATEMENT 4 – At times of insufficient water supply my business has temporarily dismissed employees or sent employees home early	Were employees paid for this time?	STATEMENT 5 – Water supply insufficiencies are a factor preventing my business from hiring new employees
1= True 2= False = <i>If 'false' go to F17</i>	1= Yes 2= No 3=Sometimes	1= True 2= False
F15	F16	F17

F18	F19	F20
STATEMENT 6 – Water supply insufficiencies have had no impact on the number of employees in my business	STATEMENT 7 - My business is considering taking on extra employees in response to water supply insufficiencies	STATEMENT 8 - My business has already taken on extra employees in response to water supply insufficiencies
1= True 2= False	1= True 2= False	1= True 2= False
F18	F19	F20

F21	F22	F23
		Ask if F22 = 1
Do you feel your business is at risk of closing down as a result of water supply insufficiencies?	Apart from those we have discussed already, has your business experienced any other (positive or negative) impacts of water supply insufficiencies over the last 12 months?	Please specify:
1= Yes 2= No	1= Yes 2= No	
F21	F22	

Section G: Coping with insufficient water supply

When there is insufficient water supply, does your business rely on any of the alternative sources of water listed on card 2?

G01	G02	G03	G04	G05	G06	G07
Reserve water tank/ jojo	Harvested rainwater	Other recycled water	Bottled water/ water cooler/ water dispenser	Bulk water delivery/ water bowsing/ water trucking	Own well/ borehole	Other water source (please specify)
1 = Yes 2 = No	1 = Yes 2 = No	1 = Yes 2 = No	1 = Yes 2 = No	1 = Yes 2 = No	1 = Yes 2 = No	1 = Yes 2 = No
G01	G02	G03	G04	G05	G06	G07

G08
Approximately what percentage of your businesses water comes from these alternative water sources??
<i>Estimated percentage</i>
G08

G09	G10	G11	G12
Has your business reduced its business hours , or hours of operation, to cope with water shortages over the last 12 months?	Has your business adjusted its business hours , or hours of operation, to cope with water shortages over the last 12 months?	Has your business taken out a LOAN to cope with water shortages over the last 12 months? <i>[Loan may come in various forms including finance/lease]</i>	Has your business taken out INSURANCE to cope with water shortages over the last 12 months?
1= Yes 2= No	1= Yes 2= No	1= Yes 2= No	1= Yes 2= No
G09	G10	G11	G12

G13	G14	G15
	<i>Ask if G13 = 1</i>	
Has your business sold assets to cope with water shortages over the last 12 months?	Did you sell assets at a lower price to cope with water shortages over the last 12 months??	Has your business mortgaged/rented out assets to cope with water shortages over the last 12 months?
1= Yes 2= No => <i>If 'no' go to G15</i>	1= Yes 2= No	1= Yes 2= No
G13	G14	G15

G16	G17	G18
Has your business switched to a different product, service, commodity or crop to cope with water shortages over the last 12 months?	Has your business started trading an additional commodity, service, product or crop to cope with water shortages over the last 12 months?	Has your business relocated any facilities or assets to cope with water shortages over the last 12 months?
1= Yes 2= No	1= Yes 2= No	1= Yes 2= No
G16	G17	G18

G19	G20	G21	G22
	<i>Ask if G19 = 1</i>		<i>Ask if G21 = 1</i>
Has your business adopted any new technologies or upgraded infrastructure, equipment or other company assets to cope with water shortages over the last 12 months?	Please specify:	Has your business collaborated with any other businesses to cope with water shortages over the last 12 months?	Please specify:
1= Yes 2= No=> <i>If 'no' go to G21</i>		1= Yes 2= No=> <i>If 'no' go to G23</i>	
G19		G21	

G23	G24	G25	G26
	Ask if G23 = 1		Ask if G25 = 1
In the last 12 months have water shortages influenced your business investment decisions?	Please specify:	In the last 12 months has your business received or accessed any support to deal with the impacts of water shortages?	Using the options listed on card 11 , from whom did you receive support? (please state all that apply)
1= Yes 2= No => If 'no' go to G25		1= Yes 2= No => If 'no' go to G27	1 = From national government 2 = From local government 3 = From NGOs or from other international institutions (e.g World Bank) 4 = From water provider 5 = From industry associations 6 = From other businesses 7 = From family and friends 8 = From others (please specify)
G23		G25	G26

G27	G28
	Ask if G27 = 1
Has your business taken any steps to reduce its own total water consumption?	Using the options on card 12 , which steps has your business taken to reduce its own water consumption?
1= Yes 2= No => If 'no' go to G28	1= My business has introduced water recycling systems to reuse water 2= My business has installed more water efficient equipment 3= My business turns off taps and hoses when they are not in use 4=My business has switched to a different commodity, service, product or crop that requires less water 5= Other (please specify) [Please record all that apply]
G27	G28

G29
Has your business taken any other steps not yet mentioned to cope with periods of insufficient water supply over the last 12 months? If so please specify:

Section H: Cost of water shortages to business

H01

Using the options on **card 13**, have water shortages had any impact on the price of your services and products?

1= The price I sell at has decreased as a result of water shortages

2 = The price I sell at has increased as a result of water shortages

3 = Water shortages have had no effect on my price of sale

4 = Other (please specify)

H01

ENUM: *Place a cross (X) in the intersection between the water shortage experience and degree of agreement*

Using the options on **card 6**, please state how much you agree with the following statements:

		1 - Strongly disagree	2 - Disagree	3 - Neither agree nor disagree	4 - Agree	5 - Strongly agree	DECLINED UNSURE or N/A
H02	The losses my business has experienced as a result of water shortages have been higher over the last 12 months than is usual.						
H03	Over the last 12 months my business has experienced lower annual profits as a result of water shortages						

H04	<i>Ask if H03 = 4 or 5</i>	By what percentage do you believe your annual profits have decreased as a result of water shortages?	Percentage	H04	
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Section I Awareness and learning

I01	I02	I03
	<i>Interviewer – only ask I02/I03 if respondent did not reference El Niño already in response to I01. If already referenced El Niño, go to I04.</i>	
Why do you think water shortages in Botswana have been particularly bad over the past 12 months? <i>[Interviewer, if respondent does not mention El Niño of own accord, when respondent has finished answering, prompt once more – “Are there any other reasons why you think water shortages in Botswana have been particularly bad over the past 12 months?”]</i>	Are you aware of the El Niño weather phenomenon?	Are you aware that an El Niño weather event occurred recently?
	1= Yes 2= No => If ‘no’ go to I08	1= Yes 2= No => If ‘no’ go to I08
	I02	I03

I04	I05	I06	I07
----- Ask if I03 = 1 -----			
When did you first hear that the recent El Niño was expected or occurring?	Using the options on card 14 , from where did you receive the information that an El Niño was expected or occurring?	Upon learning that El Niño was expected or occurring, did your business make any different decisions to cope with its impacts?	Ask if I06 = 1 Please specify:
Approximate Month, Year	Option from card 14 [Please record all that apply]	1= Yes 2= No => If 'no' go to I08	
I04	I05	I06	

I08
Did you receive warning that a general trend towards more severe water shortages was anticipated over the last 12 months?
1 = Yes => If 'yes' answer questions I09-I12, then go to question I15 2 = No => If 'no' go to I13
I08

I09	I10	I11	I12
----- Ask if I08 = 1 -----			
When did you first receive this warning?	Using the options on card 14 , from where did you receive this warning?	Did receiving advance warning (that more severe water shortages were anticipated) help your business to plan for water shortages?	Please explain/give an example:
Month, year	Option from card 14 [Please record all that apply]	1 = Yes 2 = No	
I09	I10	I11	
			Now go to I15

I13	I14
----- Ask if I08 = 2 -----	
Do you think that if you had received advance warning (that more severe water shortages were anticipated), it would have helped your business to plan for water shortages?	Please explain/give an example:
1=Yes 2=No	
I13	

I15	I16	I17	I18
	<i>Ask if I15 = 1</i>		<i>Ask if I17 = 1</i>
Did your business consult a water rationing timetable?	What percentage of the time did the periods of water insufficiency that your business experienced follow this timetable?	Did you receive advanced notice of water insufficiency events from any other sources?	Using the options on card 14 , please specify from where:
1= Yes, 2= No => <i>If 'no' go to I17</i>	<i>percentage</i>	1= Yes 2= No => <i>If 'no' go to I19</i>	<i>Option from card 14</i> <i>[Please record all that apply]</i>
I15	I16	I17	I18

If the same frequency and intensity of water shortages was forecast to occur again in five years' time, can you tell me which of the strategies listed on card 15 your business would be most likely to implement (please select up to three).

[Enum: Allow respondent to select strategies (I19a, I20a and I21a) first and record these, before probing through follow on question (I19b, I20b and I21b)]

I19a	I19b
1 st strategy chosen	Using the options listed on card 16 , do you foresee your business facing any obstacles to implementing this strategy?
Number from card 15 <i>[if other please specify]</i>	Number from card 16 <i>[Please record all that apply]</i>
STR01	OBS01

I20a	I20b
2 nd strategy chosen	Using the options listed on card 16 , do you foresee your business facing any obstacles to implementing this strategy?
Number from card 15 <i>[if other please specify]</i>	Number from card 16 <i>[Please record all that apply]</i>

I21a	I21b
3 rd strategy chosen	Using the options listed on card 16 , do you foresee your business facing any obstacles to implementing this strategy?
Number from card 15 <i>[if other please specify]</i>	Number from card 16 <i>[Please record all that apply]</i>

Section J: Power outages and floods.

To conclude this survey I would like to just very briefly ask you about your businesses experiences of power outages and of flooding.

Power outages:

J01	J02	J03	J04	J05
	<i>Ask if J01 = 1</i>	<i>----- Ask if J02 = 1 -----</i>		
Is this business connected to the electricity grid?	Over the last 12 months did your business experience power outages?	Using the options on card 5 , over the last 12 months how many times in a typical month did your business experience power outages?	Over the last 12 months, how long did power outages last on average?	In the last 12 months, during which month did your business experience the worst electricity supply disruption?
1= Yes, 2= No => <i>If 'no' go to J09</i>	1= Yes, 2= No => <i>If 'no' go to J09</i>	1= Less than once a month 2= 1-5 times/month 3= 6-10 times/month 4= 11-15 times/month 5= 15+ times/month, but not everyday 6= Everyday	Days:Hours:Minutes	Month, Year
J01	J02	J03	J04	J05

We'd like to compare your experience of power outages over the last 12 months, with your experience of power outages at previous times. Using the options on **card 6**, please state how much you agree with the following statement:

		1 - Strongly disagree	2 - Disagree	3 - Neither agree nor disagree	4 - Agree	5 - Strongly agree	DECLINED UNSURE or N/A
J06	Over the last 12 months my business has experienced more severe episodes of power outages than is usual.						

J07	J08
Has your business adopted any of the strategies listed on card 17 to cope with power outages over the last 12 months? If so please specify:	Using the options on card 17 , what action(s), coping strategy(ies) or form(s) of support would best help your business to cope with power outages in the future?
<i>Number from card 17, [if 'other' please specify and please record all that apply]</i>	<i>Number from card 17, [if 'other' please specify and please select up to three]</i>
J07	J08

Flooding:

J09	J10	J11	J12
----- Ask if J09 = 1 -----			
Over the last 12 months, has your business been impacted by flooding	Over the last 12 months, how many incidents of flooding did this business experience?	On average how long did each incident of flooding last?	In the last 12 months, what was the worst month for your business' experience of flooding?
1= Yes, 2= No => <i>If no, go to J16</i>	Number of incidents	Days, hours	Month, Year
J09	J10	J11	J12

Using the options on card 6 please state how much you agree with the following statement:

		Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	DECLINED UNSURE or N/A
J13	Over the last 12 months, my business has experienced more severe flooding than is typical.						

J14	J15
Has your business adopted any of the strategies listed on card 18 to cope with flooding over the last 12 months? If so please specify:	Using the options on card 18 , what action(s), coping strategy(ies) or form(s) of support would best help your business to cope with the impacts of flooding in future?
Number from card 18 , <i>[if 'other' please specify and please record all that apply]</i>	Number from card 18 , <i>[if 'other' please specify and please select up to three]</i>
J14	J15

J16	Would you consider allowing us to contact you again for a short follow up survey, as we track the ongoing impacts of water shortages in Botswana?	1= Yes, 2= No	J16	
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SURVEY ENDS HERE
THANK YOU VERY MUCH FOR YOUR TIME AND YOUR COOPERATION

FOR ENUMERATORS: PLEASE ANSWER AT THE END OF THE SURVEY

Could you please estimate the respondent's age	1) Under 25 2) 26-39 3) 40-59 4) 60+	
It is my perception that the responses to the questions regarding opinions and perceptions are -	1) Truthful 2) Somewhat truthful 3) Not truthful	
It is my perception that the responses to the questions regarding figures (e.g., business losses; employment numbers) are –	1) Taken directly from establishment records 2) Estimated with some precision 3) Arbitrary and unreliable numbers 4) In some cases taken from the book and in other cases estimated	
Regarding the suitability of the respondent for further participation, it is my perception that –	1) They were highly engaged with the research process and would make an ideal candidate for further participation 2) They were well engaged with the research process and would make a good candidate for further participation 3) They were somewhat engaged with the research process and could potentially be approached for further participation 4) They were less engaged with the research process than would be ideal for further participation	
Any further comments:		

Enumerators, please use this page to offer us some researcher reflections about the survey. E.g. please elaborate on any notes annotated in the margins of this survey. Please offer context to help us to understand the business' experience of water shortage. Where possible also please share with us any personal reflections on how you personally felt during your interaction with this business on this issue. And please share with us any feedback that the business may have given you about their feelings regarding the survey, or any emotional or psychological responses towards the issue they may have expressed (continue on a second sheet if necessary).