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# Statistical Business Register Guide - Excel

Subject Matter Guide

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## 1. Introduction

The Government of Canada was funding a statistical capacity building initiative for the Caribbean region, the Project for the Regional Advancement of Statistics in the Caribbean (PRASC). As part of the Business Survey Infrastructure component of PRASC, the Statistical Business Register (SBR) was developed in order to improve data quality and implement internationally recognized methods and tools across their economic survey programs. PRASC SBR is a relational database developed by Statistics Canada in response to this need. The software package and its accompanying concepts and procedures can be used by different countries as a basis for their own SBRs.

A statistical business register (SBR) is a database that contains a complete list of businesses and related key attributes within a given country required for statistical purposes. There is also usually a user-friendly interface that accompanies the database to facilitate browsing and updating of records. SBRs can be built by combining different data sources as a base, including economic censuses or surveys of establishments. An administrative SBR combines data from different administrative sources to produce a complete, up-to-date list of businesses and business operations within a given country. The PRASC SBR is intended to be used as an administrative SBR.

**Administrative data** are files of data collected by organizations outside of the NSO. Administrative data commonly refers to data collected by other government bodies for the purpose of administering their respective government programs. For example, the files maintained in order to perform taxation of businesses within a given country can be referred to as administrative data. By entering into formal agreements with various administrative partners, NSOs can gain access to administrative data files on a predetermined basis. These files can be processed and used in statistical programs and consumed by the SBR.

Before SBR initialization, an NSO should determine what combination of administrative data would result in complete coverage of the business population in their country, as well as the frequency at which they can process and load the files. These decisions will depend on the resources available to the NSO and the selected **administrative partners** to prepare the data.

The purpose of this document is to explain the SBR's core concepts and provide steps for processing manual updates to the database in its current Excel format.

## 2. Concepts

The concepts section will present the different concepts that compose the base of the Excel SBR.

Outline:

- 2.1 Statistical Identifiers
- 2.2 Legal and Operating Information
- 2.3 Survey Eligibility
  - 2.3.1 Enterprise
  - 2.3.2 Establishment
- 2.4 Simple vs Complex Structures
  - 2.4.1 Simple Structures
  - 2.4.2 Complex Structures
    - Complex Operating Structures
    - Complex Legal Structures

## 2.1 Statistical Identifiers

Each record on the SBR is assigned a unique Statistical Identifier (ID) which is important for the purpose of communication, analysis, and record linkage. The primary reason for this is confidentiality. Referring to a record's Statistical ID in lieu of its actual legal name in notes and communications with other NSO staff is more secure and prevents accidental disclosure of information. Using Statistical IDs also allows the statistical office to manipulate data without confidential data that could identify a business. For example, an analysis could be done on employment data using working files containing the Statistical ID and excluding names, administrative data IDs, addresses and other confidential information.

The Statistical ID stays consistent despite changes to other identifying information such as the record's name and address, as well as Administrative IDs. Not all records on the SBR are registered with Central Registrar Department (Registrar) and, throughout its life, a business or company may open and close various accounts with other government entities like TAX, VAT or Social Security Department (Social Security). While one business might be registered with Registrar and Social Security, another may only be registered for VAT. The Statistical ID ensures that a consistent, unique identifier is available for each record.

## 2.2 Legal and Operating Information

We can think of the SBR as being able to simultaneously offer both a legal and operating picture of a business population. Generally speaking, legal information tells how a company is registered and who owns it while looking at operating information shows what the company does and where it operates.

An entity is considered to be a legal entity when it registers with the Central Registrar Department or another administrative department. A registered legal entity will have a Registered Identification Number, a legal name and a legal type. Legal entities can register for other government programs if they meet specific criteria, such as Social Security Department (Social Security) or Tax Department (TAX) or Value-Added Tax (VAT). Variables on the SBR that pertain to the legal attributes of a record include the legal name and the identifiers from administrative data sources. More legal variables will be added as they become available from administrative data.

Information on the database related to the day-to-day activities of a business is considered the operating information. This includes the trade name, operating address, ISIC code, etc.

## 2.3 Survey Eligibility

On the Excel SBR there are two statistical indicators used for survey purposes that pertain to the types of information available from different types of records: Enterprise and Establishment. Business surveys are designed to seek either high level information about a business or company overall, or they seek lower-level information about a location's day-to-day operations. Most records on the SBR are eligible for both enterprise and establishment level surveys. Other records represent one or the other and would only be eligible for the applicable type of survey. Only businesses with active business statuses are eligible for surveys.

### 2.3.1 Enterprise

Enterprise level information includes variables pertaining to the legal attributes of an entity, as well as variables that offer a summary of the legal entities' operations overall. Enterprises can be incorporated or unincorporated. As discussed in the previous section, legal information includes the business' ID numbers, legal name and legal type. Information about the company's overall operations include details about the entity's revenues and number of employees overall. An enterprise record should be able to provide complete financial statements if asked.

### 2.3.2 Establishment

Establishment level information includes information about a specific location and business activity such as information like the location of the business activity, the business activity, and the name the activity is marketed as.

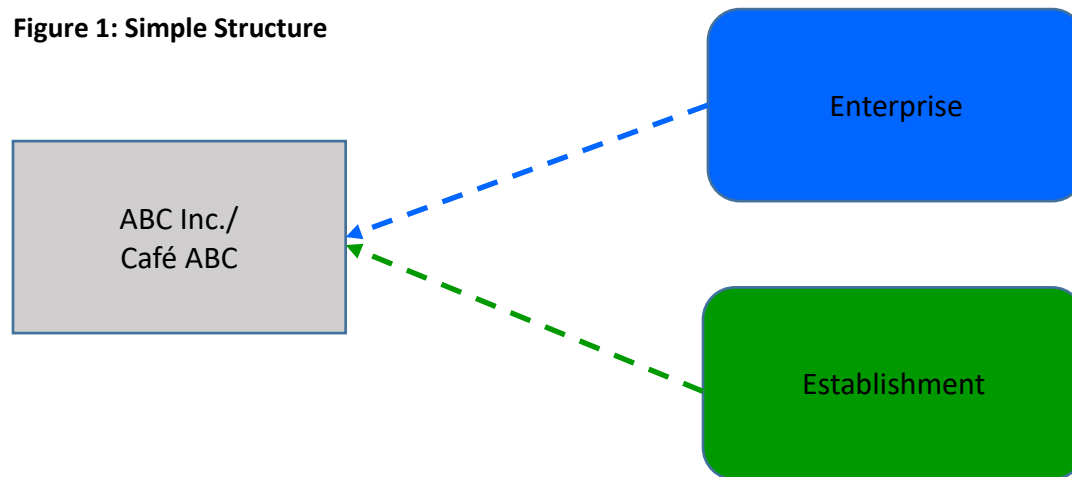
## 2.4 Simple vs Complex Structures

### 2.4.1 Simple Structures

It is important to note that most records on the SBR are single records that are not related to any other records on the SBR. These single records are referred to as simple structures. Simple structures are eligible for both enterprise and establishment level surveys. The business or company is composed of one legal entity with only one business operation (one activity at one location). An example of a simple operating structure would be a business or company that operates a single store.

Figure 1 is an example of a simple structure. ABC Inc., operates a single Café in a single location (Café ABC). ABC Inc. is therefore represented by one record on the SBR that has both operating and legal characteristics and is eligible for surveys seeking both the enterprise and establishment level of information.

**Figure 1: Simple Structure**



### 2.4.2 Complex Structures

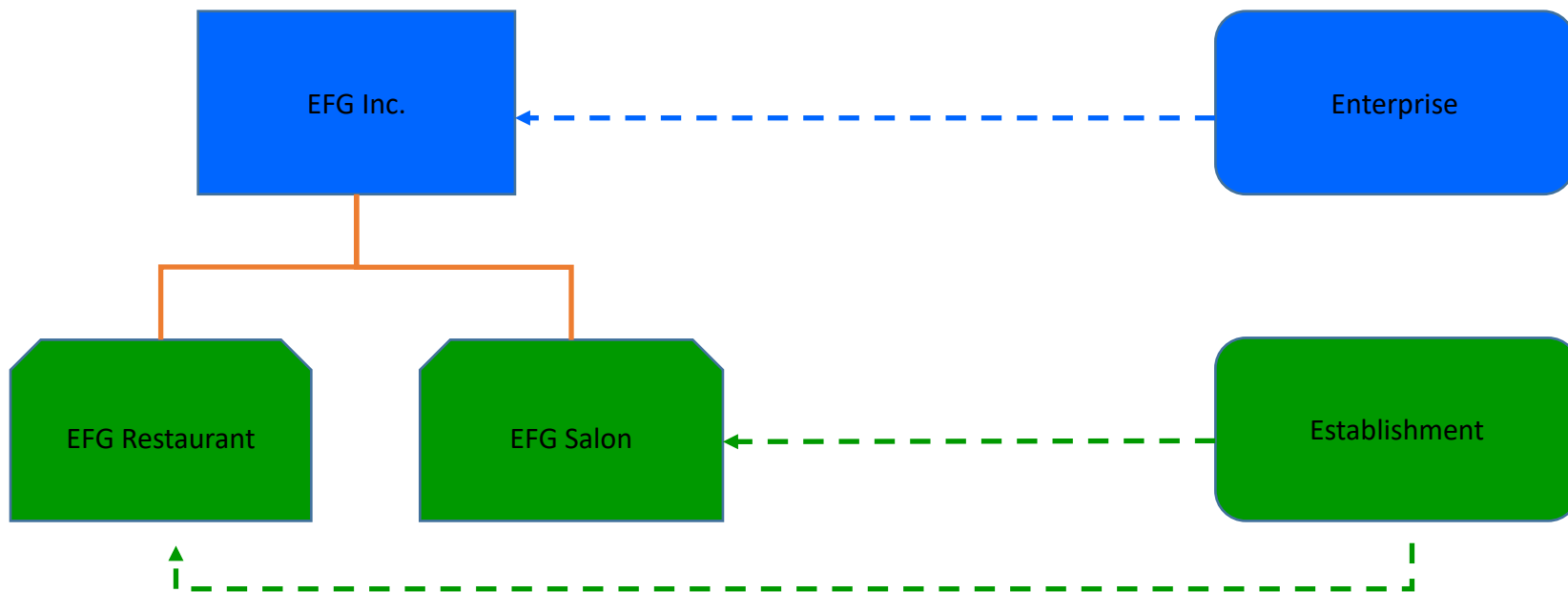
Complex Structures are situations where one record on the SBR has recorded relationships with other SBR records. There are two levels of complexity incorporated into the SBR: Legal and Operational. Operating structures are composed of one enterprise record that has more than one corresponding establishment, and legal structures represent situations where enterprise records are related to other enterprise records on the SBR. On the SBR, all Enterprises and Establishments within complex structures are highlighted. Enterprises are highlighted in blue and Establishments are highlighted in green. The following examples follow this colour scheme.

#### Complex Operating Structures

One enterprise can have two or more establishments, and on the SBR these are represented by separate records. This is referred to as a Complex Operating Structure. In other words: the same legal operating entity has more than one day-to-day operation or location. An example of a complex operating structure would be a single legal entity that operates three restaurants.

Another example of a Complex Operating Structure is represented in Figure 2. EFG Inc. is one legal entity with two different business operations. One record “EFG Inc.” represents the enterprise level information, and an establishment level record is created to represent each of the business operations: one restaurant and one salon.

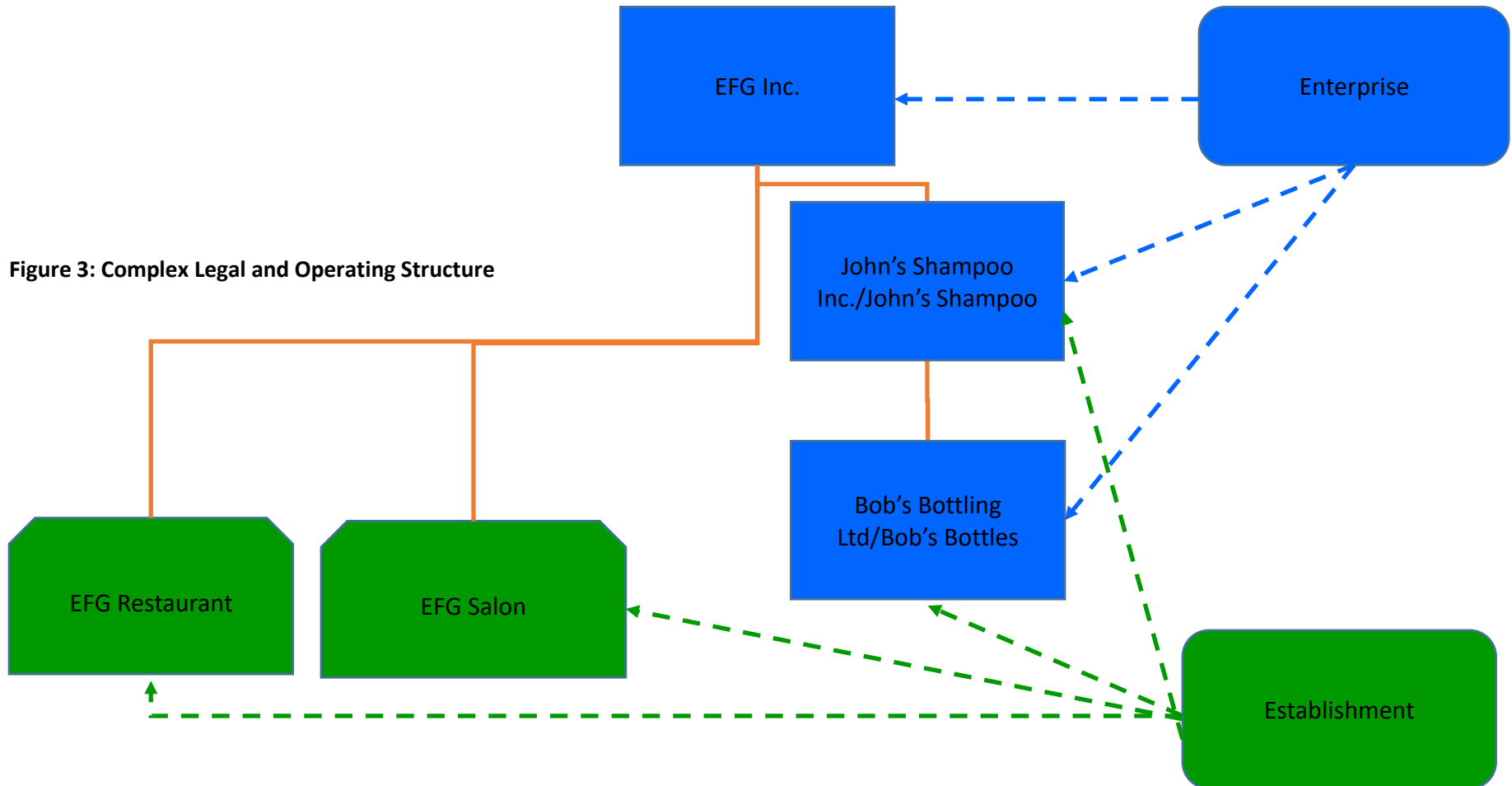
**Figure 2: Complex Operating Structure**



*Complex Legal Structures*

A Complex Legal Structure is created when one company is legally linked to others through ownership. If one company owns the majority of the shares in another company (more than 50% of the shares), a legal link should be represented on the SBR. We refer to the company that owns the majority of the other as the parent, and the company that is owned as the subsidiary or child. The parent at the very top of the legal structure is referred to as the top enterprise.

Figure 3 is an example that combines operating and legal complexity in one structure. EFG Inc. is a Complex Operating Structure, as it is one enterprise record with two establishments underneath it. At the same time, it is a parent of John’s Shampoo Inc. John’s Shampoo Inc. is also a parent of Bob’s Bottling Ltd. Both John’s Shampoo Inc. and Bob’s Bottling are simple operating structures that are both enterprise and establishment units. In this example, EFG Inc. is the top enterprise as it is the very top enterprise in the legal structure.



### 3. Contents of the SBR

In 2015, the United Nations Economic Commission for Europe (UNECE) produced a document intended to guide the development of future statistical business registers. The Guidelines on Statistical Business Registers (SBRs), states that records found on an SBR should have characteristics that “identify the units, indicate how they can be contacted, and provide economic and geographic information,” as well as “contain links between different types of units within the SBR and across multiple sources.” (pg. 53, 2015). The variables on the SBR have been carefully thought out to fulfill this basic criteria, as well as the more advanced needs of its users. Business rules have been implemented in order to derive new variables using existing information and avoid many manual updates.

The contents section will describe some of the information available on the SBR, as well as provide an explanation of the business rules implemented in the background of the SBR and how they relate to SBR concepts. For more information about the specific variables found on the SBR and the business rules, consult the full Data Dictionary tab on the SBR.

Outline:

- Contents of the SBR
  - 3.1 Types of Variables
    - 3.1.1 Identification and Contact Variables
    - 3.1.2 Business Status and Related Variables

- 3.1.3 Industrial Activity and Size
- 3.1.4 Relationship Links
- 3.1.5 Information by Record Type
- 3.2 Business Rules
  - 3.2.1 Statistical Identifiers
  - 3.2.2 Legal Code and Legal Code Overwrite
  - 3.2.3 Business Status
  - 3.2.4 Survey Eligibility
  - 3.2.5 ISIC

### 3.1 Types of Variables

The variables on the SBR can be organized by theme. There is information on the SBR that could be used to identify and contact an entity, variables to record the business status, and variables intended to convey an entity's industrial activity and size. There are also linking variables used to link SBR units with other SBR records and other external databases. It is important to keep in mind that slightly different variables are present on enterprise and establishment records. The variables available for each are summarized in the 3.1.5 Information by Record Type section.

#### 3.1.1 Identification and Contact Variables

Due to a SBR's nature as a survey frame, some of the most important SBR variables are characteristics that identify a business and its contact information. Every unit on the SBR is assigned a statistical ID number for the purpose of identification. Other identifying information includes the business name, trade name and operating or mailing address. One of the most important contact variables is what level of information an entity can provide when it is contacted. The Enterprise (ENT) Code and Establishment (EST) Code on the SBR identify whether an entity is eligible for enterprise level surveys, establishment level surveys or both.

The SBR stores contact information for each record such as a telephone number, contact name, email address and website. The best contact to provide enterprise level and establishment level information for a business or company could be different. Contacts for related enterprise and establishment records should be entered separately.

Most contact information can be adjusted manually with the exception of the Statistical IDs, the legal name (except in special cases), and the ENT and EST Codes.

### 3.1.2 Business Status and Related Variables

The business status is a very important variable on the SBR because it is the basis of several business rules. On the SBR, a business can be a new business, active, inactive, closed or amalgamated. Business status date is also recorded in order to facilitate longitudinal analysis. An entity's business status, among other things, dictates whether or not it is eligible for surveys. Only active businesses are eligible for surveys. New businesses with "New Business" status are also referred to as prospects and will have a prospect flag of 1 for easy identification. The variable is to be maintained manually, so updaters should be familiar with the different business statuses and the impact of this variable. Full procedures for updating a records' business status will be discussed in the Business Status Updates portion of this manual.

### 3.1.3 Industrial Activity and Size Variables

Economic variables such as an entity's industrial activity or size variables are very important for sample selection. A survey's target population might include businesses or companies within a certain industry or above a certain number of employees. To facilitate these types of stratification, each record on the SBR has an up-to-date ISIC Code and the available size variables such as number of employees or sales. ISIC is assigned at both the enterprise and establishment levels. Size variables are only found at the enterprise level. ISIC is assigned manually, while most size variables on the SBR are from administrative sources and should not be adjusted manually.

### 3.1.4 Relationship Links

One final key group of information on the SBR are the linking variables. Using the Parent ID and Top ENT ID fields, it is possible to determine how a record relates to other SBR entities. The SBR also stores identifiers for administrative data sources such as Registrar, TAX, VAT and Social Security. These Administrative IDs are available at the enterprise level and serve record linkage purposes, as well as factor into the business rules. All of these IDs can be adjusted manually.

### 3.1.5 Information by Record Type

A summary of the different types of variables and their availability by type of record is provided in Figure 4. A guide is also provided to determine whether or not the variable can be adjusted manually. A comprehensive list of variables found on the SBR can be found in the Data Dictionary tab on the SBR. In this figure Y represents "Yes" and N indicates "No"

**Figure 4: Information by Record Type**

<i>Variables</i>	<i>Enterprise</i>	<i>Establishment</i>	<i>Updated Manually</i>
<i>Identification and Contact Information Variables</i>			
Statistical ID	Y	Y	N
Legal Name	Y	N	Y
Trade Name	N	Y	Y
Operating Address	N	Y	Y
Mailing Address	Y	N	Y
Contact Name and Title	Y	Y	Y
Phone number/Fax Number/Email	Y	Y	Y
Website	Y	Y	Y
ENT Code	Y	Y	N
EST Code	Y	Y	N
<i>Business Status and Related Variables</i>			
Business Status Code	Y	Y	Y
Prospect Flag	Y	Y	N
<i>Industrial Activity and Size of Business Variables</i>			
ISIC and ISIC Description	Y	Y	Y
Number of Employees	Y	N	Y
Revenue	Y	N	Y
Sales	Y	N	Y
<i>Relationship Link Variables</i>			
Parent ID	Y	Y	Y
Top ENT ID	Y	Y	Y
Registrar ID; TAX ID; VAT ID, Social Security ID	Y	Unknown *	Y

\*It all depends if the administrative data source provides information at the establishment-level

Note: Simple records contain both enterprise and establishment-level information

## 3.2 Business Rules

The Excel Statistical Business Register (SBR) has several integrated business rules. Many fields on the SBR are derived automatically based on one or more variables from the same record or other records within the SBR. The business rules are also used to enhance the simplicity and accuracy of manual updates on the SBR.

The business rules are summarized below. Full information about the business rules can be found in the SBR's Data Dictionary.

### 3.2.1 Statistical Identifiers

Statistical Identifiers (ID) are static, pre-assigned numbers used to identify a unique record on the SBR. Links between records are recorded using the Parent ID and Top ENT ID columns. The Parent ID and Top ENT ID columns are updated manually, but are set to only accept valid Statistical ID values as entries. If an updater attempts to enter an invalid Statistical ID, they will receive an error message and be prevented from making the incorrect update.

### 3.2.2 Legal Code and Legal Code Overwrite

The Legal Code field is derived based on a record's legal characteristics. If a record on the SBR has a Registrar ID, TAX ID, VAT ID or Social Security ID, it qualifies as a legal entity and its Legal Code is automatically set to 1. This rule is based on the fact that legal entities can register for government programs if they meet specific criteria, such as Social Security if they have employees. As such, the presence of one of these government program IDs can be considered evidence that the record is a legal entity.

Since the availability and timeliness of administrative data can vary, there is a clause to this business rule that allows the Statistical Office to force a unit to be a legal entity. If the Legal Overwrite Code Column is manually adjusted to 1, the Legal Code is also automatically set to 1, regardless of whether it has a government program ID or not. This is useful in cases where a business has been identified as a legal entity by the statistical office, but no administrative data has been received yet from other government organizations to confirm its status.

### 3.2.3 Business Status

The Business Status Code is a field that will be updated manually. That being said, the business status factors into the business rules of several other fields.

Business status is the basis of a record's survey eligibility. Hence, a business can only be regarded as eligible for surveys if it has an "Active" business status.

Also, the business status is tied to the Prospect Flag Field. The purpose of the prospect flag is to allow the statistical office to easily identify businesses that need to be investigated in order to confirm their business status and survey eligibility. Businesses with no administrative data IDs (Registrar, TAX, VAT, Social Security) and a business status of "New Business", are automatically given a Prospect Flag of 1. The prospect flag is removed automatically when the business status is manually changed, an Administrative ID is added to the record, or the Legal Code is

adjusted to 1, whichever comes first. If an Administrative ID is added, the prospect flag is removed automatically, but a manual update is required to change the business status to active. A periodic check of the SBR for businesses with “New Business” status and no prospect flag should be done so these entity’s business statuses can be changed to active.

#### 3.2.4 Survey Eligibility

There are two fields on the SBR used to record an entity’s survey eligibility: ENT Code and EST Code. Each of these codes pertain to the level of information available from an entity, and they are derived based on a complex set of business rules.

In order for a record to have an enterprise code of 1 and be eligible for enterprise level surveys, it must have an “active” business status, and a Legal Code of 1 indicating that it is an active legal entity. Records with ENT Codes of 1, and EST codes of 0 are automatically coloured blue so they are easily recognizable as being part of a complex operating structure.

Most records with active business statuses are eligible for establishment level surveys. In order to lose its eligibility and have an EST Code of 0, a record has to be a parent with at least one active child that is an establishment. Records with ENT Codes of 0, and EST Codes of 1 are automatically coloured green once a parent and Top ENT ID has been entered so they are easily recognizable as being part of a complex operating structure and having establishment-only eligibility.

#### 3.2.5 ISIC

Business rules are used to prevent classification errors on the SBR. When an ISIC code is entered into the ISIC field, the 4-digit code is validated against an up-to-date list of valid ISIC Codes (the SBR uses ISIC Rev.4). If a valid code is entered, the ISIC description field is automatically populated with the correct standard description. This prevents users from entering an invalid ISIC, making a typo, or entering an ISIC and description that do not correspond to one another.

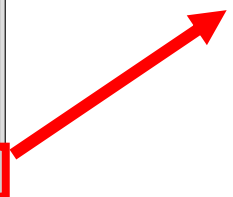
## 4. Navigating the SBR

Using the SBR will be easy for anyone familiar with Microsoft Excel. Each SBR record is represented by an individual row. A record's values for each variable are found column by column across the sheet. The SBR has been adjusted so that the appropriate labels are visible at all times. Figure 5 shows an example of 1 record on the SBR.

Figure 5: A Record on the SBR

PRASC - GENERIC BUSINESS						
Statistical ID	Parent ID	Top ENT ID	Legal Name	Business St	Business Statu	Operating Address
S5571		S5571	Sunrise Hotels Inc.	1 - Active	01/01/2019	123 Ocean Street
S6159	S5571	S5571		1 - Active	03/05/2016	23 Main Street, Old
S3624	S5571	S5571		1 - Active	04/22/1992	120 Ocean St
S4200			ABC Construction	2 - Inactive	05/06/2013	99 Brick road
S9054		S9054	CRB Outlets LTD	1 - Active	11/19/1974	1010 Main Rd.
S3010	S9054	S9054		1 - Active	11/27/1973	900 main road
S7702	S9054	S9054		1 - Active	09/30/1971	750 Main road
S3502			John's Café	3 - Closed	02/18/2001	12 Market Street
S1828			Tina's Hair Salon	1 - Active	08/22/1999	PO Box 348

In this example, S4273 is one record. Its values for each variable are found in the appropriate column of row 7129 on the excel sheet



Each column has a filter box which allows a user to filter by values. Filters are not only useful for defining samples, they can also be used to search through SBR records to find a particular record or group of records a user might be looking for.

For example, when seeking a particular record for which the Statistical ID was already known, a user could simply click on the filter box and type the Statistical ID into the search bar. This will bring up the record in question. If an entire structure is being looked for, you could bring up all related entities quickly by filtering by the group's Top ENT ID. You can also do text searches. You can type in the beginning of a known legal name or trade name into the filter search box. If the exact name is not known, the user can use "text filters" for enhanced searching options. Using text filters can allow you to search for matches beginning with or containing a particular string. For example, you could search for legal names containing travel which will bring up all legal names that have the word travel in them.

To remove any individual filter simply open the filter box again and hit "select all". It is important to note that you should always keep track of what filters you apply as they will need to be removed individually once you've finished with them. Figure 6 highlights shows where filters can be accessed on the SBR.

**Figure 6: Filtering columns on the SBR**

The screenshot shows an Excel spreadsheet titled "Montserrat - Business Register Demo.xlsm - Excel". The spreadsheet displays a table of business records under the heading "PRASC - GENERIC BUSINESS". The table has columns for Statistical ID, Parent, Top ENT, Legal Name, Business St, Business St, and Operating Address. Red circles highlight the filter arrows on the Parent, Top ENT, and Business St columns. Red lines point from a text box on the right to these filter arrows.

Statistical ID	Parent	Top ENT	Legal Name	Business St	Business St	Operating Address
S5571		S5571	Sunrise Hotels Inc.	1 - Active	01/01/2019	123 Ocean Street
S6159	S5571	S5571		1 - Active	03/05/2016	23 Main Street, Old
S3631	S5571	S5571		1 - Active	04/22/1982	120 Ocean St.
S4200			ABC Construction	2 - Inactive	05/06/2013	99 Brick road
S9054		S9054	CRB Utilities LTD	1 - Active	12/19/1974	1010 Main rd.
S3010	S9054	S9054		1 - Active	11/27/1973	900 main road
S7702	S9054	S9054		1 - Active	09/30/1971	750 Main road
S3502			John's Café	3 - Closed	02/18/2001	12 Market Street
S1828			Tina's Hair Salon	1 - Active	08/22/1999	PO Box 348

Click the filter drop down on any column to reveal the sorting and filtering options. The most useful of which is the text box you can use to search for keywords or Statistical IDs (on certain columns)

## 5. Procedures for Updates

Procedures for updates will discuss what types of updates will be required and the correct procedures for processing updates to variables that should be updated manually. Keep in mind that size variables on the SBR (revenue, sales and number of employees) are updated using administrative data and should not be updated manually.

Outline:

- Procedures for Updates
  - 5.1 Low Impact vs High Impact Updates
  - 5.2 Documenting Changes
  - 5.3 Verification of Updates
  - 5.4 Low Impact Updates

- 5.5 High Impact Updates
  - 5.5.1 Updating Legal Information
  - 5.5.2 Updating Business Rule Variables
    - ISIC Updates
    - Business Status Updates
    - Legal Code Updates
    - Administrative ID Updates
    - Survey Eligibility Codes
  - 5.5.3 Maintaining Complex Structures
    - Using the Statistical ID, Parent ID and Top ENT ID Columns
    - Maintaining Complex Operating Structures
      - Creating Complex Operating Structures
      - Adding New Establishments to an Existing Complex Structure
      - Removing Establishments from Complex Operating Structures
      - Correcting Invalid Structures
    - Maintaining Complex Legal Structures
      - Confirming Legal Ownership
      - Foreign Ownership
  - 5.6 Adding a Missing Enterprise Record
  - 5.7 Duplication

## 5.1 Low Impact vs High Impact Updates

Certain updates to the SBR have a higher impact on the SBR overall than others. Processing all updates with caution and quality is important, but an updater should spend more time verifying updates to variables with more impact on the SBR.

The first factor influencing the level of impact an update has, is the level of information that is being updated. Recall from the concepts section that there are two different levels of information available on the SBR: Enterprise and Establishment. Similar updates on the SBR can look different at each of these levels. For example, updating a business or company name may seem straightforward, but it is important to know whether you are processing an enterprise-level legal name update or an establishment-level trade name update. Establishment level information is composed of information regarding a company or business' day-to-day operations. Day-to-day business operations change often and can be confirmed quickly using online information or general familiarity with the business. Enterprise level updates have more to do with the legal aspects of a company or business and its overall economic impact. Legal information is more stable, and organizations need to register with the Central Registrar and continue to report any changes of legal information to Central Registrar. Because legal information is official and well documented by Registrar, changes to legal information should be verified with Registrar data before being processed on the SBR.

A second factor influencing the level of impact from an update is whether or not the update has an impact on more than one variable. Some examples of low impact updates that do not affect multiple variables include manual corrections to identification and contact information variables such as the names, addresses, phone numbers and contact information. Due to the business rules, updates to certain variables trigger automatic updates to other fields. Business rule variables include Legal Code, business status, enterprise code, establishment code and ISIC. Updates to these variables are considered high impact. Updates on complex structures also involve updating several interrelated variables at once. Any updates made within a complex structure are considered to be high impact.

Specific procedures are outlined in this document for making these types of changes to guide updaters and ensure consistency on the database. Figure 7 summarizes which updates are low impact and which updates are high impact. It also illustrates the differences between updates done at the enterprise level and the establishment level. High impact variables are highlighted in orange.

**Figure 7: High-impact and low impact updates grouped by information level and variable type**

Variable type	Enterprise Level Updates	Establishment Level Updates
<i>Identification and Contact info variables</i>	Legal Name	Trade name
	Mailing Address	Operating Address
	Best enterprise contact information	Best establishment contact information
<i>Business Status and related variables</i>	Changing from new business to alive	
	Inactivation	
	Closure	
	Amalgamation	

<i>Industrial activity</i>	Enterprise ISIC	Establishment ISIC
<i>Relationship link variables</i>	Change of ownership	New operation

High Impact Updates are highlighted in orange

## 5.2 Documenting Changes

Before discussing the particulars of processing updates on the SBR, it is important to discuss documentation. Any time an update is made to a record on the SBR, the updater should fill in the “Notes” and “Last Update Date” columns. This process will help future updaters keep track of what has been done to a record and let them know if a record is out of date. Updaters should follow a consistent format when entering notes. They should include the “3 W’s”: when, what, and who. You should always start with the date of your entry, because some records may be updated more than one time, and the record last update date field only records the most recent update. It is also important to state what update was made and who or what the source was that confirmed the update. Notes should always be as brief as possible while covering these 3 themes.

When a newer note is being added to a record that has previous notes, the updater should enter the newest information at the beginning of the note and keep the older note text at the end. This will preserve the history of changes made to the record but ensure that the newest, most relevant information is most visible.

In complex structures, notes should all be kept on the enterprise record and not on the linked establishments. When changes are made to establishments under an enterprise-only record, the updater should still update the “Record Last Update Date” column with the date of the

change, but record any relevant notes in the enterprise record’s “Notes” column. When making notes on complex operating structures, it is also important to include the Statistical ID of the establishment the change was made on when stating “what” change was made. For example, “updated ISIC code on S111 from 1111 to 2222”. This will ensure that all of the relevant information about a business or company can be found easily in one place, but that it is still clear what changes were made on which records.

#### Summary of Steps

- Update “Record Last Update Date” with the date the update was made (DD/MM/YYYY)
- Start note in “notes” column with the date, as well (when)
  - If there is already a note in the column, add the new note before the older ones
  - If the change was made to an establishment under an enterprise record, make sure to enter the note on the enterprise’s “notes” column and include the establishment Statistical ID
- Explain what update was made
- State what source(s) confirmed the change (who)

Some examples of case notes can be found in Figure 8. The Figure 8 example follows one business or company through several months of changes and demonstrates how a record’s notes will look as new information is added. The newest information is readily accessible, but older information remains there for reference.

**Figure 8: Case Notes Examples**

<i>Type of Update Made</i>	<i>Record Last Update Date</i>	<i>Notes</i>
<b>ISIC</b>	01/04/2017	01/04/2017 (when): Updated ISIC code from 0122 to 7500 (what) as per respondent Adam Smith’s feedback from employment survey 2018 (who).
<b>Phone number</b>	01/06/2017	01/06/2017: Updated phone number on record from 555-5555 to 111-1111 as per findyello.com. 01/04/2017: Updated ISIC code from 0122 to 7500 as per respondent Adam Smith’s feedback from employment survey 2018.

<b>Business status</b>	11/01/2018	11/01/2017: Updated business status from active to inactive. Confirmed during visit to TAX Department. 01/06/2017: Updated phone number on record from 555-5555 to 111-1111 as per findyello.com. 01/04/2017: Updated ISIC code from 0122 to 7500 as per respondent Adam Smith's feedback from employment survey 2018.
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### 5.3 Verification of Updates

When making updates to the SBR, it is important to verify any changes using accurate, reliable, up-to-date information. Some examples of good sources for SBR updates include information from a representative of the company, administrative partners, news articles or company websites.

It is also important to confirm that the information being referred to is as recent as possible. Webpages or news articles can be out of date. A good rule of thumb would be to only make changes where the information is newer than the "Record Last Update Date" on the SBR. Information from the respondent or from administrative sources (Registrar, TAX, VAT, Social Security) should be considered to be the most reliable and accurate sources for information. The detailed procedures for each update type will outline what types of sources are best to consult for particular updates. Remember that the source used to confirm a change should always be noted in the "Notes" column when documenting an update.

### 5.4 Low Impact Updates

With both simple and complex structures, low impact updates are updates that are processed in a few simple steps. As was illustrated in Figure 7, all of the low impact updates on the SBR are identification and contact variables. This includes any non-legal identifying information like the operating address or trade name. This also includes contact information.

Updating contact information can be a bit tricky. In simple structures, there should be one contact identified on the SBR that is knowledgeable about both legal and operating characteristics of a business or company that can respond to surveys. In complex structures, contact information can be split between the enterprise and establishment level records. Because one enterprise has multiple establishments that might not be related to one another, the enterprise-only record should have a contact that is knowledgeable about the operations of the business or company overall, as well as its legal information. Each establishment can also be assigned a specific contact most knowledgeable about the day-to-day operations of that establishment on its own.

With any of these updates, the updater would need to verify the update using online research, a news article or knowledge of the company. Then, they would be expected to fill in the “Record Last Update Date” and “Notes” columns following the procedures outlined for documentation. Finally, they would update the variable on the SBR by simply typing in the new information.

#### Complex structure contact example

A company has three restaurants, each with a dedicated manager. The company’s accountant might not be able to answer establishment-level questions about daily operations at a particular restaurant like how much fryer oil is used in a month. The managers know more about the day-to-day operations of their particular restaurant, but might not be able to answer enterprise-level questions about the combined financials of the three restaurants or the legal ownership of the company. The solution to this problem is to make each manager the contact for their restaurant’s establishment record, and the accountant the contact for the enterprise record.

## 5.5 High Impact Updates

The following section will give step-by-step explanations of how to process more complex, high impact updates such as: updating legal information, updating business rule variables and updates made to maintain complex structures.

### 5.5.1 Updating Legal Information

As implied previously, enterprise-level legal information should only be updated if changes are confirmed by Registrar data. The Central Registrar maintains a Registrar of Companies, which contains legal information about incorporated businesses, as well as a registrar of business names which contains legal information about all companies or individual(s) carrying on business under a name that is different than their own. Organizations registered with Registrar must file a Notice of Change of Particulars if there are any changes to business names, addresses, or business activities. Once a change to the legal name is confirmed using Registrar data, a change can be made to the respective field.

Legal updates to the business status and the filings that should be examined will be discussed in the Business Status Updates section of this document.

### 5.5.2 Updating Business Rule Variables

The following section will describe the process for updating business rule variables.

#### *ISIC Updates*

Recall that ISIC (acronym for International Standard Industrial Classification of All Economic Activities) is a 4-digit code assigned to a business or company based on its activity. ISIC code updates can also be referred to as activity changes. Updates to a company's ISIC should be treated with caution. The correct ISIC rev. 4 code should be entered as per procedures. Classification is an important SBR variable because it is used in survey sample selection. Classifying something incorrectly could mean it will be out of scope for surveys it should be selected for. It could also mean that it could be selected for surveys that are not appropriate for its activity resulting in unnecessary response burden. For that reason, updaters should always consult a reference document when assigning an ISIC code, such as the United Nations Publication "International Standard Industrial Classification of All Economic Activities, Revision 4, 2008" ([https://unstats.un.org/unsd/publication/seriesm/seriesm\\_4rev4e.pdf](https://unstats.un.org/unsd/publication/seriesm/seriesm_4rev4e.pdf)).

To update the industry code, the appropriate 4-digit ISIC rev. 4 code is entered in the "ISIC" column. Once the 4-digit code is entered, the description is updated automatically to match. Updaters should always double check that the code and the ISIC description match properly and are correct for the business they are updating.

On the SBR, ISIC updates can be made at the enterprise or establishment level. On simple structures, codes are considered establishment-level information because the ISIC is assigned based on the day-to-day operations of the entity. In complex operating structures, one enterprise has more than one establishment. Each establishment is assigned an ISIC code based on its day-to-day activities. The enterprise represents the overall impact of a business or company. The enterprise-only record should have an ISIC code that matches the dominant activity of the establishments below it. As changes are made to the establishments below it, such as updating the ISIC or updating the business status, a check should be made to ensure the enterprise-level ISIC code still corresponds to the dominant activity of the business or company overall.

#### Summary of Steps:

##### Simple Structures:

- Confirm business activity using administrative data, online research or knowledge of company
- Look up appropriate ISIC code in the ISIC Rev. 4 document:  
[https://unstats.un.org/unsd/publication/seriesm/seriesm\\_4rev4e.pdf](https://unstats.un.org/unsd/publication/seriesm/seriesm_4rev4e.pdf)
- Enter 4-digit code in the “ISIC” column
- Confirm description matches the code entered
- Update “Record Last Update Date” and enter details in Notes column

##### Complex Structures:

- Confirm business activity of each establishment using administrative data, online research or knowledge of company
- Look up appropriate ISIC code in the ISIC Rev. 4 document:  
[https://unstats.un.org/unsd/publication/seriesm/seriesm\\_4rev4e.pdf](https://unstats.un.org/unsd/publication/seriesm/seriesm_4rev4e.pdf)
- Enter 4-digit code in the “ISIC” column of each establishment
- Confirm description matches the code entered
- Update “Record Last Update Date” and enter details in “Notes” column
- Considering the structure as a whole, determine the dominant activity
- Fill in the enterprise record's ISIC to match the dominant establishment ISIC selected
- Confirm the entered ISIC and description match the selected establishment

### *Business Status Updates*

Business status is a reflection of the actual legal situation of an incorporated or unincorporated entity and is therefore an enterprise-level update. Business status is a variable that has an impact on several other variables thanks to the business rules. Most of this stems from the fact that only records with an active business status are eligible for surveys. Business status can be changed easily using a drop-down menu. There are five different business statuses a record can have on the SBR that reflect the actual legal or operating state of a company or business:

- 0 - New Business
- 1 - Active
- 2 - Inactive
- 3 - Closed
- 4 - Amalgamated

When the business status of a company is modified, the “Business Status Code Date” column should also be updated with the effective date of the change. This is not necessarily the date the change was applied to the record, but rather the date that the change to the business status is presumed to have happened based on information from various sources. Business statuses of Closed and Amalgamated should be confirmed by an administrative source such as the Central Registrar because they have to do with the legal status of a company. A closed business or company is a legal status where the entity essentially unregisters with the Central Registrar. If a business is closed permanently, they must file a Notice of Cessation of the Business or be dissolved on the Registrar of Companies. An amalgamation is the legal joining of two or more companies to form a single new company. Companies are also required to file Articles of Amalgamation if they amalgamate with another company or companies.

Updaters should also be aware that when updating the business status of a record, other variables may be affected or need updating. Different business status updates require different accessory changes to be made. Additionally, before making business status updates to enterprises within complex operating structures, an updater should make any required changes to its linked establishments. For more information about those types of updates refer to the section Removing Establishments from Complex Operating Structures.

Figure 9 on the following page summarizes the different updates to the business status that are possible, when they should be applied and a summary of the steps for applying them.

**Figure 9: Business Status Updates, When to apply them and Steps**

Update	When to Apply	Steps
0 - New Business to 1 - Active	Applied when a business has lost its prospect flags (a record will lose its prospect flags when it gains Administrative IDs, but the business status requires a manual update)	<ul style="list-style-type: none"> <li>• Confirm the prospect flag was removed automatically</li> <li>• Update the business status using the drop down to 1 - Active</li> <li>• Update the business status date with the date of the change</li> <li>• Confirm other changes have been made automatically in order for the entity to become eligible for surveys</li> </ul>
1 - Active to 2 - Inactive	Applied when a business is no longer engaged in any kind of economic production	<ul style="list-style-type: none"> <li>• Update the status using the drop down to 2 - Inactive</li> <li>• Update the business status date with the date of the change</li> <li>• Confirm the record lost its survey eligibility</li> <li>• If the record is enterprise-only, confirm the status of any linked establishments was also updated to inactive</li> </ul>
1 - Active OR 2 - Inactive to 3 - Closed	Applied when a business has been officially closed by filing a notice of cessation of business to the Central Registrar or been dissolved on the Registrar of Companies	<ul style="list-style-type: none"> <li>• Confirm the entity has closed by confirming "Notice of Cessation of the Business" was filed with the Central Registrar or been dissolved on the Registrar of Companies</li> <li>• Update the status using the drop down to 3 - Closed</li> <li>• Update the business status date with the date of the change recorded by the Central Registrar</li> <li>• Confirm the record lost its survey eligibility</li> <li>• If the record is enterprise-only, confirm the status of any linked establishments was also updated to inactive</li> </ul>
1 - Active OR 2 - Inactive to 4 - Amalgamated	Applied when it can be confirmed using Registrar data that the company has been amalgamated	<ul style="list-style-type: none"> <li>• Confirm an amalgamation occurred by confirming the record has filed "articles of Amalgamation" with the Central Registrar, record the amalgamation date, the companies that will not be continuing and the new resulting company information</li> <li>• If the non-continuing enterprise is part of a complex operating structure, remove the linked establishments (consult "removing establishments from complex operating structure")</li> <li>• Update the status of the non-continuing company using the drop down to 4 – Amalgamated</li> <li>• Update the business status date with the date of the change recorded by the Central Registrar</li> <li>• Confirm the non-continuing record lost its survey eligibility.</li> <li>• Record the new resulting company's name and Administrative IDs in the notes, and try to locate the new record on the SBR in order to add its Statistical ID to the note               <ul style="list-style-type: none"> <li>○ If there is no record on the SBR for the new company, consider creating one by following 5.6 Adding a Missing Enterprise Record</li> </ul> </li> </ul>

### Legal Code Updates

The Legal Code indicates whether or not a record is a legal entity. Basically, this update allows an updater to distinguish if a record is enterprise-level even if it does not meet the criteria of having Administrative IDs. While the Legal Code column itself cannot be updated, using the “Legal Code Overwrite” column will allow a user to make changes to a company’s Legal Code when required. Legal Code updates should only be made to prospects, and never to establishment records that are active and missing Administrative IDs.

The “Legal Code Overwrite” column is to be used specifically in cases where a business might not have the necessary Administrative ID on the SBR to qualify as a legal (no Registrar, VAT, TAX or Social Security ID). Without these variables, the business rules automatically update the Legal Code to 0, and the record will have a prospect flag.

In some cases, informal businesses may operate without formal registration with the Central Registrar or other administrative data sources. If for whatever reason it is known a business should be eligible for enterprise-level surveys, but no Administrative ID can be found for the record, the legal overwrite column can be used to change the Legal Code from 0 to 1. After the update to the Legal Code is made, the prospect flag will automatically be removed from the record. Additional changes will be required for a record to become eligible for surveys such as updates to the business status.

### Summary of Steps

- Confirm validity of informal business as a legal entity
- Add 1 to Legal Code overwrite column
- Confirm Legal Code updated to 1
- Confirm prospect flag was removed

*Proceed to updating the record’s business status*

### Administrative ID Updates

Administrative IDs are identifiers used by other government entities such as Registrar, VAT, TAX or Social Security to identify a business or company within their own programs. In general, Administrative IDs will be updated in “batches” once administrative data is received from administrative partners.

There are two scenarios where an updater might consider manually updating Administrative IDs on the SBR. Either the record is missing one of its Administrative IDs or all of its Administrative IDs. In cases where the record has some Administrative IDs completed on the SBR, but another

previously missing ID becomes known, the new ID can easily be added. For example, if a record is accessed for which we know the VAT ID, and when accessing VAT records, the updater notices there is an accompanying Registrar ID number for that company or business, this Registrar ID number should be added to the record on the SBR to support future record linkage activities.

In cases where all the Administrative IDs are missing, there are a few more steps to keep in mind when adding one. Recall that when a record on the SBR has no Administrative IDs, its business status is automatically defaulted to 0- New Business. Once an Administrative ID is identified and added to the record, the prospect flag of the record will disappear due to the business rules. Business status, on the other hand, is a manual field. For that reason, it is important that the updater also remember to change the record's business status from 0 – New Business to 1 - Active. Please see the Business Status Updates section of this document for more information about adjusting a record's business status from 0 to 1.

Updaters should avoid other updates to the Administrative IDs such as removing Administrative IDs or changing IDs that have already been recorded on the database. These types of changes could result in duplication or invalid information. Additionally, it is very important that updaters only update Administrative IDs based on direct sources such as from consulting administrative partner records.

#### Summary of Steps:

##### **Adding administrative IDs to active records:**

- Confirm the administrative ID number with primary source information
- Add the administrative ID to the appropriate column

##### **Adding administrative IDs to records with new business status:**

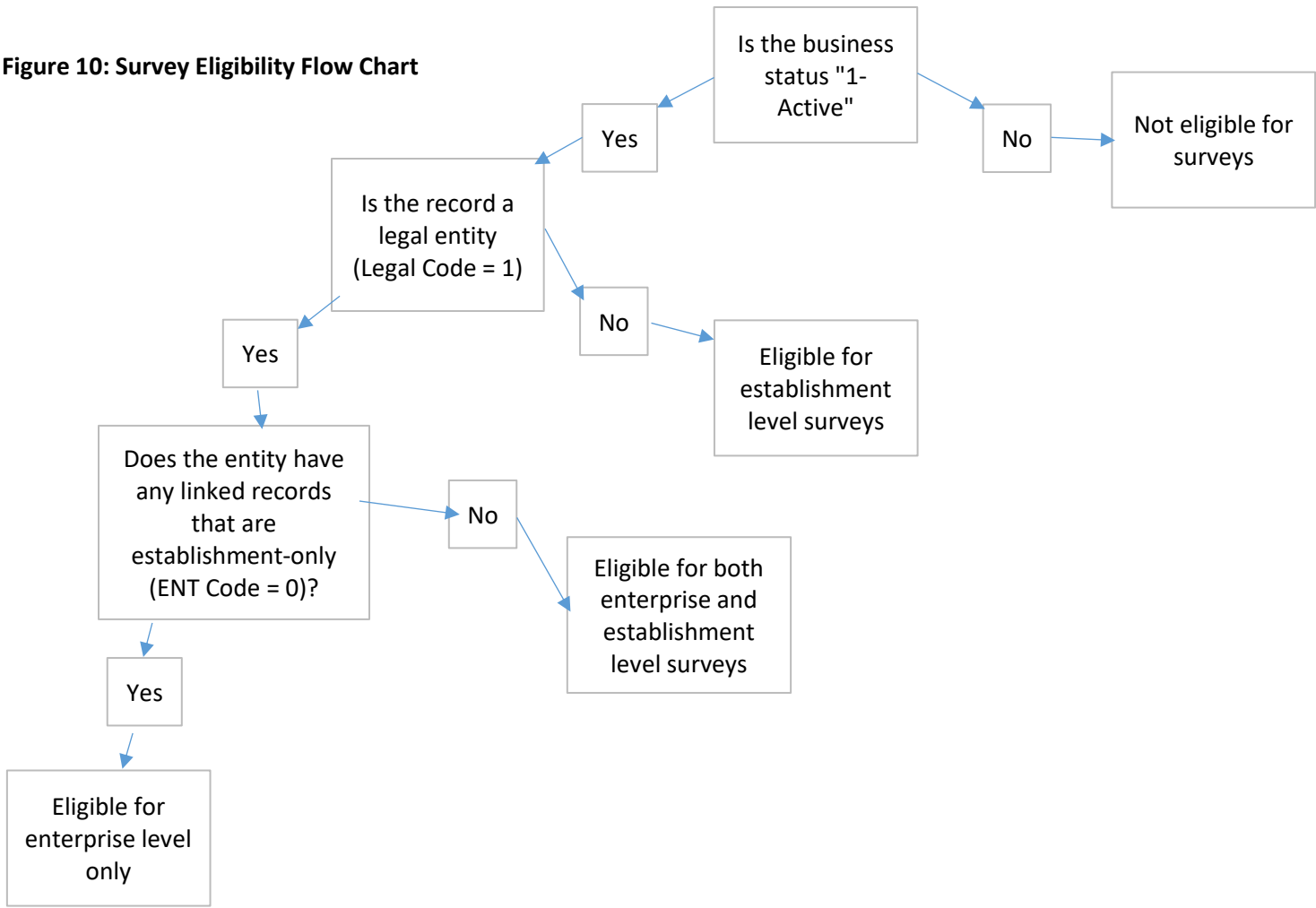
- Confirm the administrative ID number with primary source information
- Add the administrative ID to the appropriate column
- Confirm prospect flag was removed
- Update business status from 0 – New Business to 1 – Active (see steps for Business Status Updates)

#### *Survey Eligibility Codes*

The enterprise and establishment code fields (ENT Code and EST Code on the SBR) are both derived fields that do not require manual intervention. It is still important that an updater understand what other variables these codes are based on, and what updates need to be made to a record for it to gain survey eligibility. In order for a record to be eligible for surveys it must have an active business status. Whether something is eligible for enterprise-level only, establishment-level only or both is determined by the record's Legal Code and whether or not the entity has any children that are only eligible for establishment level surveys.

Figure 10 is a flow-chart that demonstrates how survey eligibility is determined.

**Figure 10: Survey Eligibility Flow Chart**



### 5.5.3 Maintaining Complex Structures

There are two types of complex structures on the SBR: Complex Operating Structures and Complex Legal Structures. The following section will provide details for updating each of these types of structures.

#### *Using the Statistical ID, Parent ID and Top ENT ID Columns*

As discussed in the Concepts section of this document, there are two types of complex structures: operating structures and legal structures. On the SBR, the links between records that are part of each of these types of structures are represented using the Statistical ID, Parent ID and Top ENT ID columns.

Thinking about the records hierarchically can help with the understanding of how these columns work. Parent ID is always the record that is directly above a particular record and Top ENT ID is the record at the very top of a structure the record falls within.

Most records on the SBR have simple structures, this means that they are not related to any other enterprise or establishment records on the SBR. These records always have blank Parent ID and Top ENT ID columns. A complex operating structure can be pictured as one enterprise record with two or more establishment records under it. With complex operating structures, the Parent ID entered on each of the establishments is the Statistical ID of their matching enterprise record. In cases where the enterprise does not have any legal relationships, the enterprise record itself would not have a parent above it. Therefore, it would also be the Top ENT ID of the structure that would be entered for each establishment. Because there is no parent above it, the enterprise record would have blank Parent ID, but would have its own ID in the Top ENT ID column. This is done so that a SBR user can easily identify all of the units in the structure by filtering by Top ENT ID.

Cases where the enterprise record has legal relationships with other enterprises are complex legal structures. With complex legal structures, the Parent ID column is used to record the Statistical ID of the parent above the record, and the Top ENT ID is used to record the enterprise at the very top of the legal structure.

Legal and operating relationships can be recorded simultaneously as illustrated by Figure 11 and Figure 12. Figure 11 is an example of a complex legal and operating structure. ABC Ltd is the top enterprise of a legal structure. ABC Ltd is the parent of Mark's Inc., which is in turn the parent of XYZ Ltd. ABC Ltd. is also the enterprise in a complex operating structure with two establishments: Beach Restaurant and Highway Restaurant.

Figure 12 is a table illustrating the way these relationships would be represented on the SBR using the Statistical ID, Parent ID and Top ENT ID fields.

Figure 11: Example Complex Legal and Operating Structure

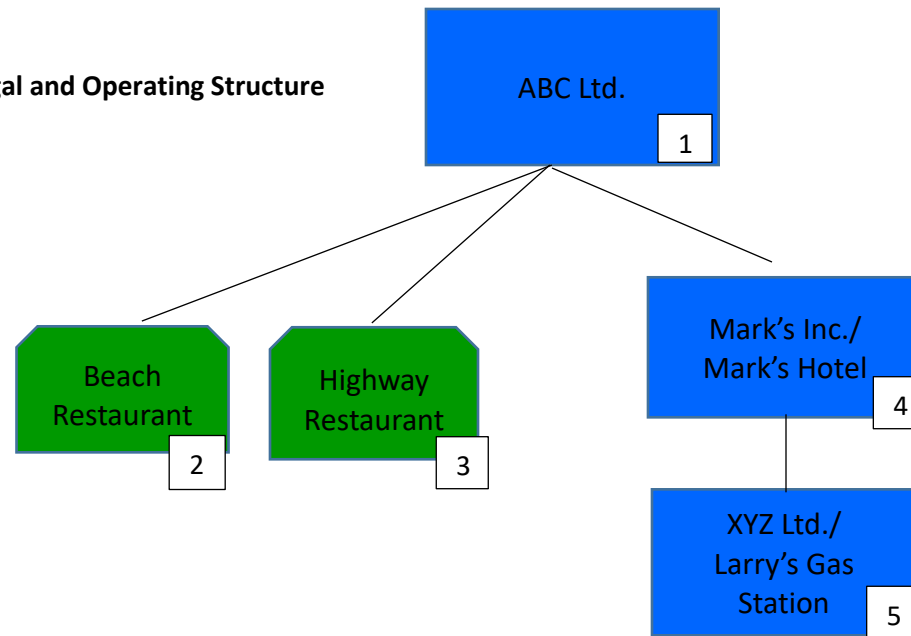


Figure 12: Statistical ID, Parent ID and Top ENT ID columns for example structure

Statistical ID	Parent ID	Top ENT ID
1		1
2	1	1
3	1	1
4	1	1
5	4	1

### *Maintaining Complex Operating Structures*

On the SBR, complex operating structures are represented by three or more separate records, one enterprise-only level parent and two or more establishment-only level children. Complex operating structures are created in situations where it becomes known that a single legal entity is engaged in more than one economic activity or has more than one permanent location. The enterprise record represents the legal aspects of the company or business, while the establishments represent its operations. Establishment records are added and maintained manually on the SBR.

### *Creating Complex Operating Structures*

Complex operating structures are created when one enterprise is engaged in more than one industry or operating in more than one location. The analyst's first task when faced with a potentially complex operating structure is to decide whether it should be complex or not. In some cases, it may be difficult to distinguish when an enterprise should have a complex operating structure. In order for an enterprise to have a complex operating structure, it must have two or more business operations that meet the following criteria to be created as an establishment record:

- 
- **Dedicated Capital:** There must be some kind of investments in the location the establishment operates from such as equipment, buildings, inventory, etc.
  - **Dedicated labour (employees):** Should have one or more employees that report to the establishment as their primary place of employment
  - **Process:** There needs to be a business activity carried out at the establishment. There needs to be a combination of resources (like capital and labour) coming together to produce either a good or service.
- 

If the updater determines an enterprise has more than one establishment, new records need to be added to the SBR to represent the new operating information, and changes should be made to the existing record so that it represents the enterprise-only record.

An important step to highlight when adding records is to confirm that the information is not already on the SBR. This can be done by searching for parts of the name, the phone number, the address, or other unique characteristics in the pre-existing database. It is possible the operation is owned by a different business or company and is already recorded on the SBR. Checking the existing records reduces the chance of creating duplicates on the SBR. Once it has been confirmed that there are no pre-existing records for the entity, the next step is to create it.

There are several steps to creating a complex operating structure from a simple structure:

- Confirm there are no other SBR records that match information for the new establishment.
- Record relevant information from existing SBR record (trade name, address and contact information).
- Add last update date and comment to notes. Remember to include the Statistical IDs of the new establishments in your comments in order to help the next updater better understand what specific changes you made.
- Select the next available blank row with a Statistical ID from the list.
  - Create establishment for new operation by filling in: last update date, Parent ID completed with the enterprise Statistical ID, Top ENT ID with applicable top parent (if the company is part of a legal structure the Top ENT ID could be something other than the enterprise record, if not it should also be completed with the enterprise record’s Statistical ID), active business status, trade name, operating address, applicable contact info, and ISIC code.
- Select the next available blank row with a Statistical ID.
  - Create “copy” establishment with operating information previously recorded on the enterprise (fill in same info as previous step).
- Remove operating attributes from the enterprise (trade name, etc). Determine the best ISIC code for enterprise level based on what is considered to be the main business activity of the company or business overall.
- Note that establishments should have contact information applicable to their specific location, enterprises should have proper contact information for the business as a whole.

Once the establishments have been completed with the enterprise info entered in the Parent ID column, the SBR will automatically update the colours of each record. The establishments will be green, and the enterprise record will be blue. This helps updaters recognize quickly when a record is part of a complex operating structure. Figure 13 demonstrates how a complex structure appears on the SBR. Notice which fields are completed only on the enterprise record and which are completed only on the establishments. The enterprise record has the legal information and legal contact whereas the establishment records have operating information and contacts knowledgeable about the day-to-day operations of those particular establishments.

**Figure 13: Example of a complex operating structure on the SBR**

Statistical ID	Parent ID	Top ENT ID	Legal Name	Business St	Business Start	Operating Address	Mailing Address	Contact Name	Contact Title	Phone Number	Fax Number	Contact
S9054		S9054	CRB Utilities LTD	1 - Active	12/19/1974	1010 Main rd.	1010 Main rd.	Miguel Miggs	Accountant	555-9965	555-9966	
S3010	S9054	S9054		1 - Active	11/27/1973	900 main road				555-1222		
S7702	S9054	S9054		1 - Active	09/30/1971	750 Main road						

### Adding New Establishments to an Existing Complex Structure

In order to add an establishment to an already complex structure, only the following steps are required:

- Check for other records existing on the SBR with similar information.
- Select the next available blank row with Statistical ID from the list.
  - Create establishment for new operation by filling in: last update date, Parent ID completed with the enterprise Statistical ID, Top ENT ID with applicable top parent (if the company is part of a legal structure the Top ENT ID could be something other than the enterprise record, if not it should also be completed with the enterprise record's Statistical ID), updated business status, trade name, operating address, applicable contact info, and ISIC code.

### Removing Establishments from Complex Operating Structures

After knowing how to add records to complex operating structures, it is also important to know how to remove them. While enterprises can have many different businesses statuses related to their operational or legal standing, establishments should only exist with Business Status 1 – Active or 2 – Inactive. One thing an updater should think about when closing an establishment is whether the entire business or company is still operating, or if only the one establishment has closed.

1. In cases where the entire business or company has stopped operating, the updater should:
  - a. Add a note on the linked enterprise record to explain which establishment was closed.
  - b. Update the business status of each of the establishments to 2-Inactive.
  - c. Add a business status date to each establishment (should be the date the change occurred).
  - d. Remove any linkage information in the Parent ID and Top ENT ID columns.
  - e. Confirm the record has lost its green colour on the SBR.
  - f. Proceed with the steps outlined in the Business Status Updates section of this document for updating the establishment's business status.
2. In cases where only one establishment has closed while others remain, follow the same steps a) through e) above. Once these changes have been made:
  - If there is more than one remaining establishment under the enterprise, no additional changes are required.
  - If there is only one remaining establishment under the enterprise, the structure is invalid.
    - See Correcting Invalid Structures

Figure 14 shows an example of an inactive establishment and how it should appear on the database. Inactive establishments should have no linkage information and updated business statuses. Inactive establishments will lose their green highlight when their business status and linkage information are updated.

**Figure 14: Inactive Establishment Example**

Statistical ID	Parent ID	Top ENT ID	Legal Name	Business St	Business Stat	Operating Address	Mailing Address	Contact Name	Contact Title	Phone Number	Fax Number	Con
S3502			John's Café	3 - Closed	02/18/2001	12 Market Street		John McCain		222-3456		Sunr

**Correcting Invalid Structures**

Invalid Structures are created when a change to the operating structure results in a structure with a single establishment record under an enterprise record. This means there are two records on the database when there could just be one simple structure. As such, Invalid Structures should be simplified by moving any operating information from the establishment to the enterprise record. The business status of the single establishment should be updated to inactive. It is also important to remove the Parent ID and Top ENT ID information from the establishment record. Once the establishment variables have been moved and the linking variables have been removed, the enterprise's survey eligibility should automatically adjust to being eligible for enterprise and establishment surveys. Figure 15 depicts the process of correcting an Invalid Structure. The establishment level information such as the trade name and operating address are moved up to the enterprise level, after which the establishment only record is closed by updating the business status to inactive and removing the linking information in the Parent ID and Top ENT ID columns. Once these changes are made, the green and blue highlights on each record disappear as there is no longer a complex structure that requires emphasis.

**Figure 15: Correcting an Invalid Structure**

Statistical ID	Parent ID	Top ENT ID	Legal Name	Trade Name	ENT	EST	Legal	Legal	CIPO	TAX	VAT	NIC	Prospec	Business Statu	Business Status	Operating Address	Ma
S5571		S5571	Sunrise Hotels Inc.		1	0	1			1234				0 1 - Active	01/01/2019		
S6159	S5571	S5571		Old Town Inn	0	1	0							0 1 - Active	03/05/2016	23 Main Street, Old Town	

Statistical ID	Parent ID	Top ENT ID	Legal Name	Trade Name	ENT	EST	Legal	Legal	CIPO	TAX	VAT	NIC	Prospec	Business Statu	Business Status	Operating Address	Ma
S5571			Sunrise Hotels Inc.	Old Town Inn	1	1	1			1234				0 1 - Active	01/01/2019	23 Main Street, Old Town	
S6159				Old Town Inn	0	0	0							0 2 - Inactive	25/04/2019	23 Main Street, Old Town	

## *Maintaining Complex Legal Structures*

### Confirming Legal Ownership

Complex legal structures are built between enterprises on the SBR when it is known that one entity owns the majority of the common shares of another incorporated entity. Legal ownership links can only be formed between incorporated entities and not between unincorporated businesses. Incorporated entities have shares, and when these shares are owned more than 50% by another entity, an ownership link should be created between the two. Ownership links between incorporated entities can be confirmed by consulting the Central Registrar Department. Each file with the Registrar should specify a parent entity if applicable, or whether it is foreign owned. Once the parent of an enterprise is confirmed, a short process is required in order to create the complex legal structure. The updater will need to search the database for the parent and top enterprise records and note their respective Statistical IDs. The Parent ID and Top ENT ID columns will need to be completed as described in the Using the Statistical ID, Parent ID and Top ENT ID Columns section.

Legal ownership is not static. For this reason, legal relationships should be confirmed periodically and updated if necessary. A change to the legal structure should not impact anything on a record apart from the Parent ID and Top ENT ID columns. It simply reflects the fact that the ownership of the entity's shares has changed and is not likely to impact its day-to-day operations. When a change of legal ownership is processed, it is important to remember to update the Top ENT ID on all records within the structure. This is done so that an updater can quickly view an entire structure by filtering by Top ENT ID.

### Foreign Ownership

If a company's file with the Central Registrar indicates that it is foreign owned, its parent may not be on the SBR. It is still important to do a quick search for the parent and create the ownership link if needed. Regardless of whether the foreign parent was located on the SBR, the updater should complete the SBR variables SBR Foreign Ownership Code with a 1 and SBR Country of Ownership with the spelled-out name of the country the company's parent is registered in. This will indicate to data users and future SBR updaters that the company is part of a larger corporate structure that is not currently present on the database.

## 5.6 Adding a Missing Enterprise Record

Due to the fact that administrative sources have not been fully integrated into the SBR, it is possible that some registered businesses or companies are missing from the current SBR population. An updater might come across an Administrative ID on a file from an administrative partner that does not have a corresponding SBR record. In such a case, it is important to first make sure that no existing SBR records match the missing information. Search for parts of the name, the phone number, the address or other unique characteristics in the pre-existing database. It is possible the business or company is already recorded on the SBR, but is simply missing the Administrative ID. Checking the existing records reduces the chance of creating duplicates on the SBR. If another suitable record is found, the updater might simply need to add the missing Administrative ID (see Administrative ID Updates). In cases where the entity's Administrative IDs are unknown, but the updater is aware the business or company exists and would like to add it to the database, they should begin by consulting administrative partners' records to locate an Administrative ID before beginning the process of adding it to the SBR.

Once an Administrative ID has been located and it has been confirmed that there are no pre-existing records with the same information, the new enterprise record can be created. Select the next available blank row with a Statistical ID record from the list of pre-assigned Statistical IDs and complete the manual identification and contact information fields, and ISIC. Add any Administrative IDs that are known (Registrar, TAX, VAT or Social Security IDs). Complete the identification and contact variables with information found in administrative partner files or online.

The business status also needs to be updated. If it is known that the business is active, update the business status and business status date accordingly and add an ISIC code corresponding to the day-to-day activities of the company (consult the section ISIC Updates for more information). Other derived variables should populate once the business status is changed to active and the ISIC is assigned. If it is not known whether or not the business is active and has day to day operations, the business status should be updated to 0 – New Business. No ISIC code should be assigned to the New Businesses. New businesses will not gain survey eligibility until their business status is updated to active and they are assigned an ISIC code.

Other fields on the record are meant to be updated automatically or by administrative data such as revenue, sales or number of employees. Leave these fields blank until they can be collected from the applicable source.

*Summary of Steps:*

- Confirm administrative IDs with administrative partners.
- Search database for records containing any matching information (names, phone number, address, etc.).
- Select next available blank record from pre-assigned Statistical IDs.
- Enter known Administrative IDs.
- Update identification and contact information.
- Update business status
  - Update to 1 – Active if it is known that the business has day-to-day operations.
    - Update ISIC code.
    - Confirm the appropriate derived fields have been updated (prospect flag removed, Legal Code updated to 1, survey eligibility updated to 1 for enterprise and establishment).
  - Update to 0 – New Business if it is not known whether the business has day-to-day operations.
    - Confirm the record is still ineligible for surveys.

## 5.7 Duplication

In rare cases, an updater may encounter duplicate records that were mistakenly created on the SBR. Duplicate records are two SBR records that represent the exact same actual entity. For example, two SBRS records that represent 123 INC. with the same VAT and Registrar identifiers. This is undesirable because it can result in a business or company being overrepresented in a survey sample.

In order to qualify as duplicates, the records must have the same survey eligibility (both records are establishments, or both enterprises). Identifying information like names and addresses should match, but do not necessarily have to match exactly. If they are enterprise records their Administrative IDs should match. In cases where an updater has determined where two records are in fact duplicates, the updater must select a record to close. The updater should select the less completed record to close if there is a difference in the level of completeness between the two records. For example, if there are two records with the same name, address and Social Security ID, but one of the records also has a Registrar ID, the record with the Registrar ID should be kept active and the other record should be closed. To close the record, the business status of the record should be updated to 3 - Closed following the procedures outlined in Business Status Updates. A standard note should be entered in the "Notes" column of the closed record stating that it is a duplicate and giving the Statistical ID of the continuing record, "Duplicate of S\_\_\_\_\_".

### Summary of Steps:

- Compare duplicates information and confirm.
  - Same survey eligibility.
- Similar names and addresses.
- Decide which record to close.
- Update business status of closed record as per procedures in Business Status Updates.
- Enter standardized note on notes column of closed record: "duplicate of S\_\_\_\_\_".

## List of Acronyms

SBR – Statistical Business Register

ENT – Enterprise

EST – Establishment

ISIC Rev. 4 – International Standard Industrial Classification of All Economic Activities, Revision 4

ID - Identifier

Social Security – National Insurance Service / National Insurance Corporation / Social Security

SNA – System of National Accounts

VAT – Value Added Tax

UNECE – United Nations Economic Commission for Europe

## Definitions

*For additional definitions, please refer to the Data Dictionary.*

Active: Records with Active business statuses are engaged in an economic activity. This business status applies to both enterprises and establishments.

Administrative Data: Files of data collected by other government bodies such as Registrar, TAX VAT or Social Security for the purpose of administering their own respective government programs.

Administrative Identifier (ID): ID used by a particular administrative source to identify a company or business in its own records.

Administrative Source: Term referring to other government bodies that share administrative data with the SBR (Registrar, TAX VAT, or Social Security).

Amalgamation: The legal process of joining two or more companies to form a single new company. This process is overseen by the Registrar of Companies within the Central Registrar Department. Companies must file “Articles of Amalgamation” with Registrar in order to undergo an amalgamation.

Statistical Business Register (SBR): A comprehensive, structured list of businesses and companies engaged in economic activity. The SBR is used as a frame for economic surveys, and as a source of information for demography of the business population.

Business Status: Term used to reflect the actual legal or operating state of a business or company. There are 5 business statuses on the SBR: New Business, Active, Inactive, Closed or Amalgamated.

Business Rules: Specifications incorporated into the SBR excel file that dictate the value of certain fields based on the values of other variables within the Statistical Business Register.

Closed: Business status indicating that a legal entity has filed a Notice of Cessation of Business with the Central Registrar Department or be dissolved with the Registrar of Companies. This means that it is no longer engaged in any economic production and that it is no longer considered to be a registered legal entity.

Confidentiality: Within the context of the SBR, confidentiality refers to the concept of protecting sensitive statistical information that could result in disclosing information identifying or about a particular business or company.

Complex Structure: A group of related records on the SBR make up a complex structure. There are two types of complex structures: complex operating and complex legal structures. Enterprises within complex structures are highlighted in blue and establishments within complex structures are highlighted in green.

Complex Legal Structure: A group of SBR enterprise records that are linked to one another through majority legal ownership.

Complex Operating Structure: A group of SBR records representing a single business or company with multiple locations and/or activities. On the SBR this is made up of one enterprise with two or more linked establishment records.

Duplication: Caused when two (or more) records are mistakenly created on the SBR to represent the same entity. For example, two enterprises with very similar legal names or two establishments at the same address with the same ISIC code.

Enterprise: Record on the SBR that represents a legal unit producing economic goods and services. Enterprises can be incorporated or unincorporated entities. Enterprise level information consists of legal information, as well as information about the economic activities of the entity as a whole. Highlighted in blue on the SBR when part of a complex structure (legal or operating).

Establishment: A record on the SBR representing a part of an enterprise that is characterised as having a single business activity and location. Highlighted in Green on the SBR.

Filter: Function in Excel that allows you to display only rows containing a specific string (of letters or numbers), while hiding rows that do not contain that particular string.

Incorporated Entity: A legal entity created through incorporation, which has the capacity, the rights, powers and privileges of an individual. The process of incorporation is administered by the Registrar of Companies within the Central Registrar Department.

Informal: Term describing an entity that is engaged in economic activity but is not a registered legal entity with the Central Registrar Department or any other Administrative Source. Informal businesses can have “active” business statuses on the SBR but will be missing Administrative IDs like their Registrar, TAX ID, Social Security ID and VAT ID.

Inactive: Business status indicating that a record is no longer engaged in any economic activity. This business status applies to both enterprises and establishments.

Invalid Structure: A complex structure on the SBR made up of one enterprise record with a single linked establishment. This is invalid and should be corrected.

ISIC Code: 4-digit code used to classify all economic activities.

Legal Entity: A person or body corporate (partnerships, companies, or corporations) that have registered their business name on the Registrar of Business Names or the Registrar of Companies.

Legal Information: Information about the legal aspects of a business or company such as the legal name or address that a company has registered with the Central Registrar Department.

Manual Update: An update made to the SBR by an updater and not through an automatic process of uploading administrative data.

New Business: Business Status assigned to a business or company on the SBR when it is known to exist in some form, but its legal registration and state of economic activity is not yet known.

Operating Information: Information about the day-to-day economic activities of a business or company at a particular location.

Majority Ownership: When more than 50% of the common shares of a company are owned by a shareholder. A shareholder can be a person or another company. When a company owns the majority shares of another company, a complex legal structure is built between the corresponding enterprise records on the SBR.

Parent: Within a legal structure, the parent is the enterprise that owns the majority shares of another enterprise.

Prospect: On the SBR, a prospect is a record from an original SBR that still has no legal identifiers after the record linkage process (Registrar ID, TAX ID, VAT ID, or Social Security ID). The business is presumed to exist but it has not yet been confirmed to exist through administrative sources and is therefore ineligible for statistical sampling. All prospects have a Prospect Flag of 1, New Business as a Business Status and Legal Code of 0.

Record: The word record in reference to the SBR refers to one entity represented by one row on the current database. A record can contain enterprise level information only, establishment level information only, or both.

Record Linkage: Process of finding records that represent the same entity across different data sources. For example, on the SBR, record linkage could have been performed between the original SBR, files from Social Security and files from VAT.

Simple Structure: One enterprise with one establishment, represented by one record on the SBR.

Size Variables: Variables that indicate the economic impact of a business such as “Number of Employees”, “Revenue”, “Gross Wages” and “Sales”. See SBR Data Dictionary tab for more information.

Statistical Identifier (ID): A unique number that is assigned to each record on the SBR to serve the purpose of identifying the unit.

Subsidiary (or child): Within a legal structure a subsidiary is an establishment that is majority owned by another company.

Survey Eligibility: Concept describing whether or not a record can be surveyed, and what types of surveys can be sent to it. There are two levels of survey eligibility on the SBR: Enterprise and Establishment.

Survey Frame: A subset of units that match the specification of a survey's target population.

Top Enterprise: Enterprise at the top of a legal structure. It is not owned by any other company within the business population.

Unincorporated entity: Refers to a business that is a registered legal entity, but has not undergone the process of incorporation. One or more individuals can register a business name to carry on business in their private capacity, under a name that is different from their own. This is also referred to as operating a proprietorship or firm under a business name.