Group: 1 2 3 4 5 Treatment Offered: 1. Yes 2. No Registered Within Project: 1. Yes 2. No S	SHENO:
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# SRI LANKA INFORMAL ENTERPRISES FOLLOWUP SURVEY (MARCH 2011) ROUND 3

BN	: Business Name	e.														
NB	: Nature of the I			••••••	••••••		••••••	••••••	••••••		•••••	•••••	••••••	••••		
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ON	: Owner's Name	e (with ini			_											
ONB	: Comparison w	ith previo	us Round's o	wner	1. Sar	ne per	son	2. A fa	mily	member	3. An	other	non-fan	nily pers	on	
HAD1	: Owners Reside	ential Add	ress :													
HAD2	: Address		:													
HAD3	: Address		:													
OG	: Ownership		1. Ma	le	2. Jo	ointly o	owned by	husbar	nd an	d wife	3. 1	Female	e			
BRAD1	: Registered Bus	siness Ado	dress ::			-	-									
BRAD2	: Address		:													
BRAD3	: Address		:													
ABAD	: Actual Busines	ss Addres	s 1. Sai	me as I	Busines	s regis	tration ac	dress	2. Sa	me as busines	s ow	ners re	sidentia	al addres	s 3.	Other
ABAD1	: Address		:													
ABAD2	: Address		:													
ABAD3	: Address															
TN	: Telephone nun	nber:	Land TN1							Mobile (TN2)						
CN	: By what name	are vou c		own in	this are	-1 ea?										
LN	: Language:		1. Sin			amil				rk language i					cond	ducted)
Use codes													<u> </u>			
(PR) Pı	ovince						(DS)	DS	Divi	sion						
(DI) D	istrict						(GN)	G.N	I. Di	vision Name	;					
(TO) To	own						(GN)	G.N	I. Di	vision Num	ber					
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Interviewe										Nun	ıber	:				
	ime of the Interv	iew: Us	e 24 hour sy	vstem	for tim	ie.										
First Interv							From			To:						
Second Into	erview: Date				. Т	ime:	From			To:						
Third Inter	view: Date				Т	ime:	From			To:						
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	tch of the locat		usiness pre	mises	(if the	e busi	ness is I	ocated	l in	the househo	old p	remis	ses itse	li, sket	ch o	t the
location of	household prei	mises)														

#### SECTION 1: CURRENT SITUATION OF THE BUSINESS

SECTION 1: CURRENT SITUATION OF THE BUSINESS
Interviewer: Note down the nature of the business indicated on the cover of the baseline survey in August 2010. (Use the cover of the December 2008 survey for those who were not interviewed in August 2010 survey.)
We first interviewed your business in December 2008. Subsequently in August 2010 we interviewed/tried to interview your business again. We have just a few quick questions today to further understand how your business has fared over the past 6 months and what difficulties you faced during the business's growth. The results of this interview will be kept confidential.
<ul> <li>1.1a. Are you currently engaged in the same line of business that you were engaged in when we last interviewed you in August 2010? (Mention the line of business during the August 2010 survey. Mention business activity during December 2008 survey for interviewees who didn't participate in August 2010 survey.)</li> <li>1. Yes</li> <li>Go to 1.2</li> <li>2. No</li> <li>Go to 1.1b</li> </ul>
<b>1.1b.</b> If not, what business activity are you currently engaging in?
1. Description
3. Sector: 1.Production 2.Services 3.Retail/Sales Go to 1.2 OR
4. Not engaged in any business activity Go to 1.1c
1.1c. When did you stop the business? y. Year:
<ul> <li>1.1d What was the main reason for stopping the business? (SA)</li> <li>1. The business was making a loss</li> <li>2. Sickness or health reasons</li> <li>3. I found a better paying employment</li> <li>4. To take care of family matters</li> <li>5. Other (Specify):</li></ul>
<ul> <li>1.2. Has your business changed the location where it operates since August 2010?</li> <li>1. Yes</li> <li>2. No</li> <li>3. Don't know</li> </ul>
<ul> <li>1.3. What type of accounts do you maintain for income, expenses, assets etc. of your business? (SA)</li> <li>1. Formal accounting (using the services of a professional within the firm)</li> <li>2. Formal accounting (using the services of a professional outside the firm (e.g. accountant))</li> <li>3. Personal record-keeping or other daily records</li> <li>4. Does not do any accounting</li> </ul>
<b>1.4.</b> How many hours a week do you personally spend working in the business?
a. Hours worked last week (Days*hours) b. Hours work in a normal week
D. HOURS WORK III & HOLIHAR WEEK
<b>1.5.</b> How many employees under following categories are currently employed in your business? (Do not include yourself for this)
Permanent employees who get salaries or wages
Daily-paid temporary employees  Rusiness partners
Business partners Family members/unpaid trainee employees
Total number of employees (sum of 1-4)
<b>1.6.</b> Have you recruited any new workers for your business since August 2010?  1. Yes
2. No Go to Section 2

**1.7.** If Yes, How many new workers have you recruited?

# SECTION 2 – ASSETS, INCOME, EXPENSES, AND PROFITS

Interviewer: If the business has been stopped before December 2010, go to section 3. If the business is still running or it has been closed in December 2010 or after, ask the questions in this section for the months it was open. In this section, we ask about assets, expenses, income and profits of your business.

In th	uis section, we ask about assets, expenses, income and profits of your b	pusiness.	-
2.1.	Now I am going to ask you about the characteristics of any utensile	s, tools, machinery	and equipment, vehicle
	and other property currently used in your business or activity. Think	of the value as how	much it would cost yo
	to purchase the assets in similar condition.		
	Item	(a) Value if	(b) Monthly rental
	1. Tools and utensils	owned (Rs.)	if rented (Rs.)
	Machinery and Equipment (gas cookers, ovens, refrigerators)		
	3. Furniture		
	4. Vehicles used in the business		
	5. Site (including land and buildings)		
	6. Other physical assets (exclude Inventories)		
	7. Total value of assets and rents in business		
2.1a	During the past six months—that is, since we surveyed you in A assets for your business or sold any business assets which you amount you spent on purchases in each of the categories, and the categories?	had at that time. If amount you receive	so, can you tell me the
	Item	(a) Purchased (Rs.)	(b) Sold (Rs.)
	1. Tools and utensils		
	2. Machinery and Equipment (gas cookers, ovens, refrigerators)		
	<ul><li>3. Furniture</li><li>4. Vehicles used in the business</li></ul>		
	5. Site (including land and buildings)		
	6. Other physical assets (exclude Inventories)		
	7. Total value of above assets in the business		
2.2.	Are there any inventories in stock, products for sale, raw materials such materials currently held at the business?  1. Yes  Go to Qn. 2.3  2. No  Go to Qn. 2.4	s, products in progre	ess, spare parts, or othe
2.3.	At market prices, what is the value that can be calculated of the above	ve current inventorie	es? Rs:
2.4	Have you or your firm paid any taxes or fees to any government or last survey in August 2010?  1. Yes	rganization in the pa	ast six months, since of
	2. No <b>Go to Qn. 2.6</b>		
	Can you tell me the total tax payments you or your business has made following institutions?	during the past six	months to any of the
	a. Land/Assessment tax	Rs: _	
	b. Pradeshiya Sabha / Urban Council /Municipal Council (incl. Tr		
	c. Business income tax d. Personal income tax		<del></del>
	e. Other taxes (please specify)		
	c. Other taxes (pieuse specify)	1\(\)5	<u> </u>
2.6	Can you tell me the total monthly income/sales from all sources, include	ding manufacturing	, trade and services
(	during the last three months (for December, January and February) of	•	
	a. For the month of December 2010?	Rs:	

b. For the month of January 2011?c. For the month of February 2011?

999. Do not know/ Cannot say/ Refuse answer

Rs:\_\_\_\_

Rs:\_\_

2.7.	wages of emplo	yees, but not i	ncluding any ionths? (Note: 1	income you paid y If you paid yoursel	three months after yourself. That is, <b>w</b> <i>f a</i> salary, add that	hat were the	profits of your profits.)
		he month of Ja		•		Rs:	
		he month of Fe				Rs:	
		now/ Cannot sa		swer			
2.8.	any services to t 1. Yes		t or to any gove	ust 2010 have you ernment agencies?	sold any manufactu	ured/sales item	or provided
	2. No						
2.8a	If yes, what perc	entage of your	sales are made	e to the governmen	nt/government agen	cy?	%
			SECTIO	ON 3 – FORMA	LITY		
2.1	TT 1 '						1 1 1
3.1.	business registrati			al Secretariat (D.S.	)/Provincial Registra	r of Companie	es and obtained a
			submitted but h	nas not received BRO	Cyet		
3.2.	1. Yes	ss have a receipt	book / bill book	k for recording incom	me/expenses of your b	business?	
	2. No						
3.3.	Has an electricity	connection beer	n obtained in the	business name?			
	1. Yes 2. No						
<b>3.4.</b> I		aid any taxes or	fees to any gove	ernment agency in th	ne past 6 months?		
	1. Yes 2. No						
3.5. I	n the past 6 months	have you ever a	applied to obtain	any government co	ntract or tender?		
	1. Yes						
	2. No						
3.6. I	Has any insurance b 1. Yes	een made in the	business name?	,			
	2. No						
<b>3.7.</b> I	s there a bank accor	unt in the busine	ess name?				
	1. Yes 2. No						
	After the last surve organization? 1. Yes	ey (since Augus	t 2010), has yo	our business applied	for any business loa	an from a banl	c or microfinance
	2. No						
3.9.	After the last survey 1. Yes	(since August 2	2010), have you	applied for any pers	onal loan from a banl	k or microfinan	ce organization?
	2. No						
3.10.	After the last sur such as a training 1. Yes		ust 2010), has y	our firm participate	ed in any Governmen	nt program for	small enterprises,

2. No

#### **SECTION 4 – MARKETING AND ATTITUDES**

- **4.1** In the last six months have you done any form of advertising?
  - 1. Yes
  - 2. No
- **4.2** As you believe, what is the best way to be successful? Is it working on your own or working as a large group that supports each other?
  - 1. It is possible to be successful working on your own
  - 2. It is possible to be successful working as a large group that supports each other
- **4.3** To what extent do you think money is important for happiness?
  - 1. Money is indispensable for happiness
  - 2. Money is very important for happiness
  - 3. Money is important for happiness
  - 4. Money is not important for happiness
- **4.4** As you believe, what status in life in general is achieved by people who put an effort for work compared to those who do not put an effort for work?
  - 1. Much better than those who do not put an effort
  - 2. Better than those who do not put an effort
  - 3. Worse than those who do not put an effort
  - 4. Much worse than those who do not put an effort
- **4.5** Could you tell me whether you think that people in our country can be trusted or not in general?
  - 1. I can trust others
  - 2. I cannot trust others

Interviewer: And answer the following question only by observing the enterprise and not inquiring from the enterprise owner.

- **4.6** Is there a sign in front of the business place, which is clearly and easily visible to indicate the type of business?
  - 1. Yes
  - 2. No

## SECTION BRC - BUSINEES REGISTRATION

**Interviewer:** If the Business Registration Certificate (BRC) has been obtained from the Divisional Secretariat (D.S.)/Provincial Registrar of Companies (that is if Qn 3.1 was answered as 1) this section is relevant. If not registered through the survey (that is if 'Registered within Project=2' on the cover) proceed from Qn BRC.1. If registered through the survey (that is if 'Registered within Project=1' on the cover) proceed from Qn BRC.16.

As the final step of our survey, a lottery will be drawn for the business firms which have completed their business registrations. You can enter into the lottery as a registered firm by providing a copy of your business registration certificate (which is mandatory). That will enable us to confirm your registration and to include you into the lottery. Also, showing or providing of copies of any other documents which affirm your registration will increase your chances to win the lottery. We will award you with a prize worth of Rs. 1000 for producing copies of BRC and other related documents of business registration.

**Interviewer:** Refer to BRC to answer the following questions.

er. Rejet to DRC to unswer the	e jouowing questions.		
BRC Number			
Date issued	Year:	Month:	Date:
Name of the institution /			
authority by which it was			
issued			
Name of the business**			
General nature of the			
business**			
Main location of the			
business (address)**			
Date of commencement of	Year:	Month:	Date:
the business			
Name/s of owner/s**			
Owner's residential			
location (address)**			
	BRC Number Date issued Name of the institution / authority by which it was issued Name of the business** General nature of the business** Main location of the business (address)** Date of commencement of the business Name/s of owner/s**	BRC Number  Date issued Year:  Name of the institution / authority by which it was issued  Name of the business**  General nature of the business**  Main location of the business (address)**  Date of commencement of the business  Name/s of owner/s**  Owner's residential	Date issued Year: Month:  Name of the institution / authority by which it was issued  Name of the business**  General nature of the business**  Main location of the business (address)**  Date of commencement of the business  Name/s of owner/s**  Owner's residential

*Interviewer:* Compare the BRC information marked by \*\* against information mentioned on the cover of the questionnaire. Please mention the differences if there are any.

<b>BRC.10</b>	Business	name as	mentioned	in	the	BRC
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1. Same as the current business name

2. Different to the current business name

#### **BRC.11** Nature of the business as mentioned in the BRC:

1. Same as the current business nature

2. Different to the current business nature

#### **BRC.12** Location of the business as mentioned in the BRC:

- 1. Same as the current business location
- 2. Same as the current household address
- 3. Different to the current business address or current household address

#### **BRC.13** Owner's name as mentioned in the BRC:

1. Same as the current respondent

- 2. Spouse of the respondent
- 3. A close family member of the respondent
- 4. Other relative of the respondent

5. Other individual

#### **BRC.14** Residential location as mentioned in the BRC:

- 1. Same as the current household location
- 2. Same as the current business address
- 3. Different to the current business address or current household address

further details from the respondent.							

Interviewer If the growing for the above PDC 10 PDC 11 PDC 12 PDC 12 or PDC 14 are not 1 places obtain

## BRC.15 Interviewer: The above information was completed

- 1. With reference to the copy of the BRC provided to you
- 2. By observing the BRC shown. A copy was not given.
- 3. With reference to the copy of the BRC available at the Research Office (for 'Registered Within Project=1' firms)

**BRC.16** We would like to confirm whether you used the Business Registration to take any kind of action concerning the business after obtaining the Business Registration. The Research Project is planning to hold a lottery drawing for the firms which have completed their registration. If you have taken any actions for the business following the registration, it will increase the chances of winning the lottery. Therefore would you be able to provide copies of following documents?

	Documents		ovide a copy, o have obtaine		vide a copy
1.	A receipt book / bill book in the name of the business	1	2	3	4
2.	An electricity bill in the name of the business	1	2	3	4
3.	Application for government contract or tender in the name of the business	1	2	3	4
4.	Has obtained any kind of insurance in the name of the business	1	2	3	4
5.	Maintaining a bank account in the name of the business	1	2	3	4
6.	Has applied for any business loan from a bank or microfinance organization in the name of the business	1	2	3	4

Additional Remarks:	Thank the respondent and terminate the interview