IFF Research

Business data survey - technical report

Prepared by IFF Research for The Department for Digital, Culture, Media and Sport

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Contents

1 Introduction

1.1 The Department for Digital, Culture, Media and Sport (DCMS) commissioned IFF Research to conduct a survey to explore the processing and transfer of personal data by UK businesses.

1.2 In 2018, the UK introduced the Data Protection Act (DPA). This represented a significant step forward in terms of legal rights it afforded individuals in controlling information about themselves. The focus of previous research in this area had been on consumers. However, as it is organisations who bear the weight of implementing this legislation, DCMS saw it as a priority to fill that knowledge gap in order to enable economic growth and technological advance while at the same time protecting the rights of individual consumers.

1.3 The core objectives of the research were as follows:

- Examine the processing of personal data by UK businesses, and the role of personal data in their business functions;

- Understand the domestic and international transfers of personal data carried out by UK businesses; and

- Explore the awareness of data protection legislation and policy among UK businesses, and attitudes towards compliance with this legislation.

1.4 The research was conducted over two phases: a quantitative telephone survey with 4,500 UK businesses; and 20 follow-up qualitative interviews to explore responses to the telephone survey in more detail. While this report focuses mainly on the quantitative research, a summary of the qualitative research methodology can be found in Chapter 6.

2 Sampling

2.1 Sample for the survey was provided by Market Location.[1] We obtained a total of 54,600 business records (600 for the pilot phase and 54,000 for the main phase of fieldwork), allowing for a 12:1 ratio of records to interviews required. The sample provided was at organisation level (rather than site level) which meant we could access the head office of larger organisations.

2.2 To ensure the sample was representative of UK businesses whilst also providing sufficient base sizes for analysis, the sample profile for the mainstage survey was designed using a modified Probability Proportionate to Size (PPS) approach. This is a two-stage approach whereby:

- At sector level, half the sample was drawn equally across the 16 sectors, with the remainder distributed in proportion to the population;

- This process was then repeated within sector, so that half the sample was distributed equally by size, and the other in proportion to the size distribution within that sector.

2.3 This approach was used to provide an appropriate balance between overall representation and subgroup analysis. Due to the smaller sample needed for the pilot fieldwork and cognitive testing, it was not possible to follow this approach exactly. Instead, the approach was modified to allow businesses to be selected randomly according to sector but broadly in proportion to the mainstage sample for business size. Table 2.1 and Table 2.2 present the sample profile received from Market Location.

Table 2.1 Sample profile for pilot fieldwork and cognitive testing

	Sole traders	1 to 9	10 to 19	20 to 49	50 to 249	250+	Total
All sectors - randomly selected	150	150	100	100	50	50	**600**

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[1] This is a commercially available database of UK businesses.

Table 2.2 Sample profile for mainstage fieldwork

	Sole traders	1 to 9	10 to 19	20 to 49	50 to 249	250+	Total
Agriculture, Forestry and Fishing	1015	581	221	367	209	45	2438
Manufacturing	1321	571	323	304	288	262	3069
Mining, Energy, Water	856	311	187	174	209	114	1851
Construction	3190	1023	572	550	929	147	6411
Wholesale and Retail, Repair of Motor Vehicles	1586	1135	460	408	381	366	4335
Transport and Storage	1651	461	293	284	277	272	3238
Hotel/Catering	579	899	353	287	276	179	2573
Information and Communication	1599	624	313	301	298	281	3416
Finance and Insurance	953	394	200	188	186	179	2100
Real Estate	879	561	226	197	291	89	2243
Professional, Scientific, Technical	2585	1045	515	490	477	467	5578
Administrative and Support Service	1837	760	379	358	352	340	4027
Education	1666	333	268	260	257	254	3038
Human, Health and Social Work	1698	456	340	323	301	286	3403
Arts, Entertainment and Recreation	1607	365	266	259	331	176	3003
Other Service Activities	1577	576	296	280	405	143	3276
Total	**24596**	**10094**	**5211**	**4875**	**4681**	**4542**	**54000**

2.4   The sample was then cleaned and de-duped so that it contained no duplicate businesses and business information was in the right format to allow monitoring of business characteristics during fieldwork and including those as variables in the final SPSS file.

3   Questionnaire development

Initial drafting

3.1   The questionnaire was developed collaboratively between DCMS and IFF Research, and refined during cognitive testing and pilot fieldwork phases. The initial drafting was informed by a list of evidence gaps identified by DCMS. This initial drafting phase involved an iterative approach of multiple rounds of drafting and review, during which evidence priority areas were agreed. This prioritisation exercise allowed ensuring that the questionnaire gathered the evidence of highest priority to DCMS, whilst also ensuring the survey would not be too long and cumbersome for businesses to respond to.

3.2   The areas of priority evidence identified during this phase were as follows:

- The types of personal and non-personal data used by businesses;

- How businesses capture and process this data;

- Whether the business has staff members whose job role includes leading on data use;

- Understanding of the requirements of DPA 2018;

- The impacts of complying with DPA 2018 on the business;

- Awareness of and engagement with the Information Commissioner's Office (ICO);

- Whether the business transfers data internationally, and how important international data transfer is to the business;

- Any barriers to transferring data internationally;

- Usage of safeguards when transferring personal data internationally; and

- Where it had been identified that a business does not handle data in digital form, the reasons for this.

Cognitive testing

3.3   As the first survey of its kind with UK businesses, the questionnaire was cognitively tested to ensure the approach was right. The cognitive testing involved taking respondents through the questionnaire, followed by a set of questions to gather respondent feedback on how they found answering the questions. These responses were used to identify areas for improvement ahead of the pilot phase.

3.4   A total of five cognitive interviews were conducted between 12th-26th February 2020. The interviews included a range of businesses in terms of size and sector, and all potential routes through the survey were tested. The topic guide used in these interviews can be found in the Appendix.

3.5   As a result of the cognitive testing, the following amendments were made to the questionnaire in preparation for the pilot phase:

Amended approach to identifying the right person in the business to participate in the survey

3.6   Initial calls to invite businesses to take part revealed that 'gatekeepers' answering the phone (e.g. receptionists) were often unsure of who in the business would be relevant to take part in the survey based on the original description provided ("*someone with responsibility for making decisions about how your organisation handles data. This would be someone with oversight of how you handle, transfer and use data*").

3.7   This proved to be the most challenging for medium sized businesses, as these were more likely to have multiple individuals sharing responsibility for different aspects of data oversight. It was less challenging for micro and small businesses, because the owner or proprietor was usually able to answer about all topics on the businesses, and for the largest business, because they were more likely to have a specific person taking overall responsibility for data oversight.

3.8   Two approaches were trialled throughout recruitment for the cognitive interviews:

1.   Asking to speak to the Finance Director - because this is a role that will exist in all businesses, and are likely to have oversight of data (and if not, are senior enough to be able to identify who in the business would be);

2.   Asking to speak to the person in the business responsible for General Data Protection Regulation (GDPR) – because GDPR was a term that gatekeepers were familiar with at least in a general sense, and all businesses are required to have a named individual responsible for ensuring they comply with GDPR requirements.

3.9   The second approach was found to be more successful, because the questionnaire asked more questions about personal data than non-personal. That meant that, on balance, the individual responsible for GDPR were best placed to answer the questions overall (even where others in the organisation might be more knowledgeable of handling of non-personal data).

Reducing overall survey length

3.10   The average length of the survey was intended to be a maximum of 20 minutes. However, during the cognitive testing it took around 25-30 minutes to take respondents through all of the questions relevant to them.

3.11   Ahead of the pilot phase, some questions were removed from the questionnaire, either because they had previously been identified as lower priority by DCMS or because they proved to be particularly difficult or time consuming for the respondent to answer. Question areas removed or simplified for these reasons include:

- Impact on business if not able to store or process personal data in any way;

- Costs of complying with GDPR to business;

- Reducing follow up questions about sharing data internationally to only ask about the region most important to the business (rather than asking about all regions); and

- Impact on awareness of adequate countries on the number of international data sharing arrangements.

Identifying whether or not a business uses data in digital form

3.12 The questionnaire was designed so that where a business reported they did not use data in digital form, they would be asked the series of questions about why this was. Later questions were then used to confirm whether the business did indeed not use any digital data. If that was found not to be the case (i.e. they did in fact use digital data) the survey would route those respondents through to the core survey that focussed on use of digital data. The cognitive testing highlighted that these questions should be asked earlier in the survey (i.e. before the questions about why they did not use digital data) to identify as quickly as possible so that respondents could be re-routed to the correct questions for them without taking them through any questions potentially irrelevant to them.

3.13 One of the responses that would route businesses back into the main survey was accepting card payments from customers. However, one respondent whose business did accept card payments (but used no other form of digital data) explained that they did not have access to any of that data, they simply had a card machine to accept the payments. Because they had no access to any of the digital data, they struggled to provide answers to the core survey. A change to the questionnaire was then made so that if card payments was the *only* form of digital data processed, respondents would not be routed to the core survey.

Amendments for clarity

3.14 A few amendments were also identified to ensure that respondents understood questions correctly. Examples of such changes include:

- When asking about sources of data received by the businesses, the term 'individuals' was not always clear so was amended to 'Employees, customers or other individuals';

- Clarifying a timeframe for questions that asked respondents to compare current with past experiences; and

- Splitting questions respondents found confusing into two, for example splitting a question with five answer options into two questions with two and three answer options respectively.

Pilot fieldwork

3.15 Similar to the cognitive testing phase, the pilot was used to ensure the questionnaire was working well ahead of the mainstage fieldwork. However, the pilot involved speaking to a larger number of businesses, and the interviews were conducted in the same way they would be during the mainstage fieldwork (i.e. did not provide the same opportunity for 'freeform' thoughts on the survey as the cognitive testing did, but rather provided a closer read of how the survey would perform 'in reality').

3.16 A total of 50 interviews were completed during the pilot phase, which took place between 17th-24th March 2020. Table 3.1 presents a breakdown of completed interviews by sector and number of employees; and Table 3.2 presents a breakdown by UK region.

Table 3.1 Completed pilot interviews by sector and size

	Sole traders	Micro (1-9)	Small (10-49)	Medium (50-249)	Large (250+)	Total
Manufacturing	1	1	--	--	--	2
Construction	3	1	--	--	--	4
Wholesale and Retail Repair of Motor Vehicles	2	2	3	--	--	7
Hotel/Catering	--	1	--	--	--	1
Information and Communication	1	1	--	--	--	2
Professional, Scientific, Technical	1	1	3	--	--	5
Administrative and Support Service	2	1	3	--	1	7
Education	2	1	1	--	1	5
Human, Health and Social Work	1	--	1	2	--	4
Arts, Entertainment and Recreation	4	2	--	--	1	7
Other Service Activities	5	1	--	--	--	6
Total	**22**	**12**	**11**	**2**	**3**	**50**

Table 3.2 Completed pilot interviews by region

	Number of interviews
North East	1
North West	3
Yorkshire and Humber	3
East Midlands	5
West Midlands	3
East of England	5
London	10
South East	6
South West	7
Wales	2
Scotland	4
Northern Ireland	1
Total	**50**

3.17   The following amendments were made to the questionnaire as a result of the pilot phase:

Reducing overall survey length

3.18 The average length of the survey was 20 minutes and 52 seconds, meaning it was a small amount over the target average length of 20 minutes. However, some interviews were much longer with a maximum length of 43 minutes and 8 seconds.

3.19 Responses for all interviews that took longer than 30 minutes to complete were reviewed to identify the routes taken through the survey. Alongside this analysis, feedback on questions that had proved to be found repetitive or 'off-putting' to respondents was taken into account. Question areas removed or simplified for these reasons include:

- Reduction of information given to respondents to introduce the survey; and

- Reduction of the number of follow-up questions about reasons for not transferring data internationally for businesses that did not feel international data transfer was relevant to their business.

Amendments for clarity

3.20 As was completed following the cognitive testing, a few amendments were also identified after the pilot to ensure that respondents understood questions correctly. Examples of such changes include:

- Moving a question about number of staff employed by the business from the demographics section at the end of the survey, to the initial screening section. This change allowed routing so that sole traders were not asked questions irrelevant to businesses that do not employ staff, or so that question wording could be amended to ensure sole traders were able to answer;

- Ensuring all questions which involved answer options on a scale were asked in the same 'direction' (i.e. starting from the most negative response, such as 'strongly disagree', and moving to the most positive response, such as 'strongly agree'); and

- Reducing the length of answer options where respondents had found these to be too long and confusing.

COVID-19 pandemic

3.21 Due to the COVID-19 pandemic and the introduction of the UK's first period of 'lockdown', the research was paused in March 2020 shortly before the mainstage fieldwork had been due to start. The project was restarted in Autumn 2020. Given the change in situation because of the pandemic, a new question was added to understand the impact of COVID-19 on the amount of personal data businesses collect and process.

3.22 The final version of the questionnaire can be found in the Appendix.

4   Fieldwork approach

Total completed interviews

4.1   A total of 4,500 interviews were conducted by telephone using computer-assisted telephone interviewing (CATI). Fieldwork took place between 10th November 2020 and 29th January 2021.

4.2   Table 4.1 and Table 4.2 presents a breakdown of completed interviews by region, business size and industry sector.

Table 4.1 Total completed interviews by region

East Midlands	300
East of England	450
London	732
North East	130
North West	435
South East	690
South West	430
West Midlands	350
Yorkshire and The Humber	318
Northern Ireland	96
Scotland	353
Wales	216
Total	*4,500*

Table 4.2 Total completed interviews by size and sector

	Sole traders	Micro (1-9)	Small (10-49)	Medium (50-249)	Large (250+)	Don't know/ refused	Total
Administrative and Support Service	320	49	23	2	0	0	**394**
Agriculture, Forestry and Fishing	80	19	16	2	0	0	**117**
Arts, Entertainment and Recreation	194	22	14	1	0	3	**234**
Construction	496	137	105	5	1	0	**744**
Education	184	29	27	1	1	2	**244**
Finance and Insurance	44	17	7	1	0	0	**69**
Hotel/Catering	117	35	14	1	0	0	**167**
Human, Health and Social Work	207	37	34	3	1	2	**284**
Information and Communication	236	35	15	1	0	0	**287**
Manufacturing	165	30	19	2	1	0	**217**
Mining, Energy, Water	11	9	9	1	0	0	**30**
Other Service Activities	240	24	5	2	0	1	**272**
Professional, Scientific, Technical	540	85	26	2	1	0	**654**
Real Estate	61	25	8	1	0	0	**95**
Transport and Storage	208	31	19	1	0	0	**259**
Wholesale and Retail, Repair of Motor Vehicles	314	67	31	2	0	0	**414**
Public administration and defence	3	0	0	0	0	0	**3**
Don't know/refused	9	2	2	0	0	1	**14**
Total	**3429**	**653**	**374**	**28**	**5**	**9**	

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4.3   As tested in the cognitive and pilot phases, the interviews were conducted with the person in the businesses responsible for GDPR. Reassurances were provided to respondents prior to the survey, including confirmation that data would be reported in a way that would not allow them or their organisation to be identifiable.

4.4   If after the first contact the respondent or gatekeeper wanted more information about the survey a reassurance email was sent. This reassurance email included contact details for individuals working on the project both at IFF Research and DCMS, where the respondents could direct any queries or verify the authenticity of the research.

Response rate

4.5   The overall response rate for the survey was 16%, calculated as 'achieved interviews' as a proportion of all businesses called where a definite outcome could be reached. Table 4.3 provides a detailed breakdown of survey outcomes.

Table 4.3 Total completed interviews by region, size and sector

Outcome	Number of contacts made	% of total sample called (53,277)	% of businesses with definite outcome
Total sample called	53,277	100%	
'Live': no answer	24,519	46%	
All records called and definite outcome recorded	28,758	54%	100%
Respondent refusal / opt-out	6,955	13%	24%
Not contactable/available due to COVID-19	2,728	5%	9%
Unobtainable / invalid number / max tries	13,781	26%	48%
Public sector	56	0.1%	0.2%
Overquota	738	1%	3%
Achieved interviews	4,500	8%	16%

4.6   As the survey neared the end of the fieldwork period it was necessary to adjust some of the quota targets in order to meet the required total number of interviews, as some quotas proved unachievable with the given sample (specifically, businesses in Northern Ireland). To allow for completion of fieldwork within the timeframe required, but while continuing to aim for the best representation of businesses possible, when it became clear the Northern Ireland quota was unachievable the Scotland and Wales quotas were increased to compensate. This allowed the research to cover the required number of businesses across the devolved nations.

5 Analysis

Coding

5.1   The survey contained open-ended questions, allowing respondents to offer any additional relevant codes. These responses were coded by IFF Research's in-house coding team and incorporated into the final SPSS data file.

5.2   Two types of coding were undertaken:

- Partial open-end questions: these questions offer respondents the opportunity to say 'other' and offer a response that is not covered by the pre-coded list of options that they are presented with; and

- Full open-ended questions: there were three full open-ended questions asked to businesses that did not use data in digital form. These questions covered: types of non-digital data used by the business; ways in which the business could benefit from the use of digital data; and what help could be given to their businesses to support them using digital data. The responses to the questions were reviewed by the coding team and a code frame created to group the types of responses given.

5.3   The research team carried out checks on both the code frame and the coding by the coding team.

Weighting

5.4   Survey data were weighted to ensure that results were reflective of the population of UK businesses according to industry sector and number of employees. The weighting profile was based on the 2020 Business Population Estimates (BPE) as published by the Department for Business, Energy and Industrial Strategy (BEIS).[2]

5.5   Random Iterative Method (RIM) weighting was chosen over other methods (for example, weighting to interlocking targets), as it allowed for weighting to the overall population on two key characteristics but without the need to set a cap on the weighting of individual responses (which would have been necessary using other techniques, such as setting interlocking weighting targets).

5.6   RIM weighting allows for multiple characteristics to be adjusted simultaneously, whilst distorting the overall dataset as little as possible. The technique works by using an iterative process to achieve the 'best fit' for the weighted variables. The process starts by applying the weighting factors for the first variable (in this case, sector). Once this has been calculated, the weighting is then applied for the second variable (in this case, business size). As this second step will likely mean the profile will no longer match the first variable targets, the process then involves iteratively weighting getting increasingly closer to the targets for each variable with each iteration. This is repeated until the profile is as close as possible to the targets.

5.7   Table 5.1 shows the demographic profile achieved in the survey, the weighting targets, and then the post-weighted profile. The weighting targets were calculated starting from the BPE data, and adjusting those to take into account the proportion of respondents to the survey that selected 'Don't know' or preferred not to answer the questions on sector and/or business size. This was done because it would

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[2] https://www.gov.uk/government/statistics/business-population-estimates-2020

not be possible to know how to weight their responses, so instead their responses would remain unweighted. Responses from businesses in the industry sector 'Public Administration and defence' were also not weighted because information on these were not included in the BPE data.

5.8   The weighted profile shows the proportions in the final dataset after the weighting had been applied. As Table 5.1 shows, it was possible to meet all the weighting targets set.

Table 5.1 Weighting profile

	Profile category	Survey percentage	Weighting targets	Weighted profile
Sector	Agriculture, Forestry and Fishing	4.47%	2.59%	2.59%
	Mining and Quarrying; Electricity, Gas and Air Conditioning Supply; Water Supply; Sewerage, Waste Management and Remediation Activities	2.13%	0.66%	0.66%
	Manufacturing	6.91%	4.80%	4.80%
	Construction	8.96%	16.53%	16.53%
	Wholesale and Retail Trade; Repair of Motor Vehicles and Motorcycles	7.93%	9.21%	9.21%
	Transportation and Storage	4.64%	5.77%	5.77%
	Hotel / Catering	3.91%	3.71%	3.71%
	Information and Communication	6.36%	6.36%	6.36%
	Financial and Insurance Activities	3.20%	1.54%	1.54%
	Real Estate Activities	3.96%	2.11%	2.11%
	Professional, Scientific and Technical Activities	13.78%	14.54%	14.54%
	Administrative and Support Service Activities	7.44%	8.77%	8.77%
	Public Administration and defence	0.07%	0.07%	0.07%
	Education	8.02%	5.41%	5.41%
	Human Health and Social Work Activities	6.60%	6.33%	6.33%
	Arts, Entertainment and Recreation	6.27%	5.20%	5.20%
	Other Service Activities	5.02%	6.07%	6.07%
	Don't know	0.13%	0.13%	0.13%
	Refused	0.20%	0.20%	0.20%
Business size	Sole trader	42.13%	76.19%	76.19%
	1-49	47.22%	22.83%	22.83%
	50-249	7.07%	0.60%	0.60%
	250+	3.33%	0.13%	0.13%
	Don't know / not sure	0.200%	0.20%	0.20%
	Refused	0.04%	0.04%	0.04%

6   Qualitative phase

Following completion of the quantitative telephone survey, qualitative in-depth interviews were carried out with 20 participants to explore business' use of data in more detail, with a focus on personal data.

Aims

The qualitative phase of the research sought to:

- Understand more about how businesses use and process personal data;

- Explore business' awareness and understanding of data protection legislation;

- Understand the impact of data use (both personal and non-personal) on the business; and

- Understand business' use of international data transfers and legal safeguards.

Sampling and recruitment

In collaboration with DCMS, it was agreed that businesses who met the following criteria would be eligible to participate in the qualitative research, in order to best answer the research aims. Eligibility was determined through responses to the telephone survey, with businesses that provided the following answers being eligible:

- Handles personal data (digitally processes, collects, store or uses in some other way);

- Transfers (sends or receives) personal data (or both personal and non-personal data) with other organisations or people based outside of the UK; and

- Has a minimum of 10 employees (ranging to 250+).

In all, 54 businesses with the above characteristics (and who agreed to be re-contacted for follow-up research) were identified from the telephone survey, from which to recruit 20 participants for the qualitative phase.

During recruitment, efforts were made to ensure there was a good mix of businesses by region, size, and industry. In addition, consideration was given to ensure there was a good spread by 'volume of international data transfers'.[3]

Tables 6.1 – 6.4 show the profile of businesses who participated in the qualitative phase, by region, size, sector, and volume of international data transfers.

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[3] The measure of volume of international data transfers was defined in relation to response at question D4 in the quantitative survey: lower volume of international transfers = the business transfers data with between 1-3 other regions; higher volume of international transfers = the business transfers data with at least 4 other regions.

Table 6.1 Profile of businesses by region

Region	Number of interviews
East Midlands	1
London	4
North East	1
North West	4
South East	1
South West	4
West Midlands	1
Yorkshire and The Humber	2
Scotland	2
Total	**20**

Table 6.2 Profile of businesses by size

Size	Number of interviews
10-49	6
50-249	6
250+	8
Total	**20**

Table 6.3 Profile of businesses by industry

Sector	Number of interviews
Arts, Entertainment and Recreation	1
Construction	2
Education	2
Finance and Insurance	2
Human, Health and Social Work	3
Information and Communication	1
Manufacturing	1
Other Service Activities	2
Professional, Scientific, Technical	2
Real Estate	1
Wholesale and Retail, Repair of Motor Vehicles	3
Total	**20**

Table 6.4 Profile of businesses by volume of international data transfers

Volume of international data transfers	Number of interviews
Lower volume	11
Higher volume	9
Total	**20**

Fieldwork

All interviews were carried out by IFF's senior interviewers, experienced in carrying out interviews among business audiences. Qualitative fieldwork took place between Monday 22nd February and 3rd March 2021.

Each interview took between 45 minutes to 1hr 30 minutes to complete.

Incentive

To thank participants for their time, each participant was compensated with £30. Participants had the option of receiving the payment via PayPal, Amazon e-voucher, or through a charity donation of their choice.

Topic guide

The topic guide was developed in collaboration with DCMS, and structured around the following themes:

- **Section A Business overview:** brief context to the participant's business and in particular their role in how their business handles personal data.

- **Section B Uses of personal data within organisation:** this section focussed on the business's use of personal data. It explored why the business handles each type of personal data they said they do (in the telephone survey), how it is acquired/ generated, and whether they send or receive it to/from outside of the UK. Finally, the section covered whether the business uses personal data to generate revenue for their business.

- **Section C International personal data transfers:** the focus here was international personal data transfers. This section explored how well they / their business understood the safeguards they reported using in the initial survey, and whether any guidance could be improved. This section also asked how the business finds using legal rules more generally, and whether they create any barriers to transferring personal data internationally. It also explored whether having an 'adequacy decision' makes it easier for the participant / their business to do business with another country, as well as whether the business has made any changes to their data protection policies when dealing with businesses abroad.

- **Section D Data protection and UK GDPR:** the focus of this section was data protection and UK GDPR, in particular personal data that is sent/received or handled within the UK only. Confidence in employees' proficiency in handling personal data was explored, as well as the extent to which the participant / their business understands the legal basis for collecting the types of personal data they use. The impacts (both positive and negative) of UK GDPR and the DPA 2018 on the business were also explored.

- **Section E Uses of other, non-personal data within organisation:** the use of non-personal data was explored, including how it is accessed and generated.

- **Section F Impact of data use (personal and non-personal) within organisation:** this section explored the impacts of both personal and /or non-personal data on their business. This included whether the business uses data to change or develop strategies, costs or savings, and how much of these effects were enabled by personal versus non-personal data. We also explored whether these effects were enabled by personal data transfers outside of the UK.

A modular approach to the topic guide was taken in order to achieve a balance between breadth and depth of content, within the 45 minutes allocated for each interview. Participants were allocated to either group 1 or group 2, with each group covering different modules (C, D, E, F). More participants were allocated to group 1 (n=14) compared to group 2 (n=6) as sections D (Data protection and UK GDPR) and F (Impact of data use) were of greater importance to DCMS.

Table 6.5 below shows how the topic guide modules were split by group 1 and group 2.

Table 6.5 Module allocations per participant group

Group 1 (n=14)	Group 2 (n=6)
Introduction	Introduction
A – Business overview	A – Business overview: ask all 5 mins
B – Uses of personal data within organisation	B – Uses of personal data within organisation: ask all 12 mins
D – Data protection and UK GDPR (MODULE)	C – International personal data transfers (MODULE)
F – Impact of data use (personal and non-personal) within organisation (MODULE)	E – Uses of other, non-personal data within organisation (MODULE)
E – [TIME PERMITTING]: Uses of other, non-personal data within organisation (MODULE)	F – TIME PERMITTING]: Impact of data use (personal and non-personal) within organisation (MODULE)
G – Wrap up and close interview	G – Wrap up and close interview

Analysis framework

Each interview was summarised in an Excel analysis framework. The analysis framework was structured around the topic guide content, with each row corresponding to a participant.

The format and content of the framework was agreed with DCMS in advance.

All framework entries were reviewed by the (Senior) Research Managers to ensure level of detail and quality of the summaries, as well as to maintain anonymity of participants.

7   Appendix

Topic guide for cognitive testing interviews

Business Data Survey Cognitive Interviews Guide

J10421   Date 22/6/21 Face to face

Introduction and Warm-up (2-3 minutes)

- **Interviewer introduction**

- **Thank respondent for agreeing to participate**

- **Background to the research:** My company, IFF Research – an independent market research agency – have been commissioned by the Department for Digital, Media & Sport (DCMS) to conduct a survey of UK businesses to understand how businesses use and process personal and non-personal data, any domestic or international data transfers they make, and awareness and understanding of, and compliance with, data protection legislation. We're currently developing the questionnaire and to help us get it right, we want to speak to a small number of businesses to make sure our survey questions are relevant. Our discussion today will last around 45 minutes, and as a thank you for your time we will make you a payment of £35 payable by PayPal or Amazon – I'll collect details for this at the end of the interview

- **The cognitive testing:** Cognitive interviewing is a technique used to understand the way in which respondents react to, respond to and understand a survey/questionnaire. Today this will involve taking you through the questionnaire and asking some follow-up questions about how you found it. We will also explore your views on the design of the questionnaire and its flow.

- **MRS Code of Conduct and Confidentiality:** IFF Research is an independent market research company, operating under the strict guidelines of the Market Research Society's Code of Conduct. This means that anything you tell us will be treated in the strictest confidence, and none of your answers will be attributed to you unless you give explicit permission for us to do so. Additionally, under data protection law (GDPR), you have the right to have a copy of your data, change your data, or withdraw from the research at any point. Further information about this can be found on our website: iffresearch.com/gdpr.

- **Permission to record:** We like to audio record all interviews, so we don't have to take a lot of notes. Is this ok? At the end we will ask if you are happy to have the recording passed on to DCMS – no obligation to agree, absolutely up to you. If you decline this, the recording will be used internally for analysis and quality checking purposes only.

    INTERVIEWER START RECORD (IF PERMISSION GIVEN).

B Full review of questionnaire (30 mins)

I'm now going to take you through the questions currently in the draft questionnaire. Please answer the questions as you would if you were answering the survey 'for real', although if there are any questions that you really do not understand or are struggling to answer please let me know and I will make a note and we can move on to the next question.

Once we've finished, I'll then ask you some follow up questions about specific elements of the questionnaire, as well as ask you about any overall feedback you have on the questionnaire.

INTERVIEWER: TAKE RESPONDENT THROUGH THE DRAFT QUESTIONNAIRE MAKING A NOTE OF THEIR ANSWERS AND ANY QUESTIONS WHERE THEY STRUGGLED TO UNDERSTAND OR ANSWER

C Follow up questions (15 mins)

C1 **Overall how did you find answering the questions?**

- Were there any particular questions or sections that you found more difficult to answer? Which ones?

    o What was difficult about that question/those questions?

    o Can you suggest anything we could do to make the questions easier for you to answer?

- Were there any others that might need rewording or rethinking? Which ones?

    o Why do you say that?

C2 **What do you think of the definition of data that we have used throughout the survey?**

IF NEEDED: **The definition we used is: "By data I mean any raw, digitised information that your organisation may hold, for example things such as financial records and names and addresses of employees and customers"**

- How helpful or unhelpful did you find the definition?

- *IF UNHELPFUL:* Could you make any suggestions how to improve the definition that would make it easier to understand?

C3 **What do you think of the way we have explained the difference between personal and non-personal data?**

IF NEEDED: **In the survey we explained it as: "personal data is information that relates to an identified or identifiable individual, and non-personal data is any other data**

- How helpful or unhelpful did you find this explanation?

- *IF UNHELPFUL:* Could you make any suggestions how to improve the explanation that would make it easier to understand?

ASK IF ASKED SECTION B IN QUESTIONNAIRE

C4   **To what extent did you feel comfortable answering honestly about your businesses' compliance with GDPR/Data Protection Act (DPA) 2018?**

- *IF UNCOMFORTABLE:* Is there anything we can do to further encourage you to answer honestly?

ASK IF ASKED QUESTION B5 IN QUESTIONNAIRE

C5   **How did you find answering the question about the cost to your business overall to comply with GDPR/DPA 2018?**

- How easy or difficult did you find it to answer this question?

- *IF DIFFICULT:* Why do you say that?

- *IF PROMPTED WITH RANGES:* What were thoughts on the cost ranges we asked you about? To what extent do you feel they were appropriate?

- If we split up the question in a way that meant we asked you about specific different types of cost (e.g. external support, staff training, etc.) would that make the question easier or more difficult to answer?

ASK IF DO NOT USE ANY DATA/ASKED SECTION F IN QUESTIONNAIRE

C6   **The end of the questionnaire included some questions about whether you keep or collect certain types of data. What were your thoughts on being asked those questions after previously telling me that your business does not handle any digitised data?**

ASK ALL

C7   **Do you think that you are the best person in your organisation to answer this survey?**

- *IF NO:* Why do you say that? Who do you think would be better placed?

- Do you have any advice on what we should say when we invite organisations to take part in the survey when it launches to make sure we get through to the right person?

THANK RESPONDENT AND CLOSE INTERVIEW

Incentive information (Amazon, PayPal or charity of their choice) £35:

Amazon or PayPal _____

Details _____

Inform the respondent that incentives will be processed on a rolling 3-week cycle. If there are any issues, please contact IFF.

And would you be happy for us to pass a recording to DCMS?

Yes	
No	

- **Full close:**
  - Your name, IFF Research, client name

  Make sure the complete close is on the recording before switching off the recorder.

Declaration box to be completed after the interview. We do not need to read this out, just complete it for Quality Control purposes:

I declare that this survey has been carried out under IFF instructions and within the rules of the MRS Code of Conduct.		
Interviewer signature:	Date:	
Finish time:	Interview Length	Mins

Questionnaire for CATI survey

DCMS Business Data Survey

J10421   Date 5/12/19

Telephone

S Screener

ASK TELEPHONIST

S1   **Good morning / afternoon. My name is NAME and I'm calling from IFF Research, an independent research company working on behalf of the Department for Digital, Culture, Media**

& Sport (DCMS). Please can I speak to someone who has responsibility for data and GDPR in your organisation? (*INTERVIEWER:* should be <COMPANY>)**.]**

IF UNSURE WHO IS RESPONSIBLE FOR GDPR: **Please could I speak to your Finance Director, or someone senior who would have oversight of decision making in your organisation?**

IF NEEDED: **By data I mean any raw, digitised information that your organisation may hold, for example things such as financial records and names and addresses of employees and customers. All businesses use data in some form, and we are interested in speaking with all businesses even if you only deal with a small amount of digitised data**

Transferred	1	CONTINUE
Hard appointment	2	MAKE APPOINTMENT
Soft Appointment	3	
Engaged	4	CALL BACK
WFH NO DETAILS	8	CALL BACK
WFH EMAIL SENT	9	CALL BACK
Refusal	5	CLOSE
Refusal – company policy	6	
Refusal – Taken part in recent survey	7	
Nobody at site able to answer questions	8	
Not available in deadline	9	
Fax Line	10	
No reply / Answer phone	11	
Residential Number	12	
Dead line	13	
Company closed	14	
Request reassurance email		COLLECT EMAIL ADDRESS THEN CONTINUE OR MAKE APPOINTMENT (SEE APPENDIX FOR EMAIL TEXT)

ASK ALL

S2 **Good morning / afternoon, my name is NAME, calling from IFF Research, an independent research company. We're conducting a survey on behalf of the Department for Digital, Culture, Media & Sport (DCMS) to understand how businesses use and process personal and non-personal data, any domestic or international data transfers they make, and awareness and understanding of, and compliance with, data protection legislation.**

IF NEEDED: **By data I mean any raw, digitised information that your organisation may hold, for example things such as financial records and names and addresses of employees and customers. All businesses use data in some form, and we are interested in speaking with all businesses even if you only deal with a small amount of digitised data**

Continue	1	CONTINUE
Referred to someone else at establishment NAME_____ JOB TITLE_____	2	TRANSFER AND RE-INTRODUCE
Hard appointment	3	MAKE APPOINTMENT
Soft appointment	4	
Refusal	5	THANK AND CLOSE
Refusal – company policy	6	
Refusal – taken part in recent survey	7	
Not available in deadline	8	
Request reassurance email	9	COLLECT EMAIL ADDRESS THEN CONTINUE OR MAKE APPOINTMENT (SEE APPENDIX FOR EMAIL TEXT)

S3 **Please note that DCMS will not be able to identify the businesses that take part, or their individual answers, as answers are anonymised.**

Before we begin, I need to read out a quick statement regarding GDPR legislation.

I want to reassure you that all information collected will be treated in the strictest confidence. You have the right to a copy of your data, change your data or withdraw from the research at any point. In order to guarantee this, and as part of our quality control procedures, all interviews are recorded. Is that OK?

Yes – agree to continue	1	CONTINUE
No – refuse to continue	2	THANK AND CLOSE

ASK ALL

S4   **Excluding yourself, how many people does your business employ?**

WRITE IN		
DO NOT READ OUT: Don't know	1	
DO NOT READ OUT: Refused	2	

Is it …?

READ OUT.

0	1	
1-9	2	
10-49	3	
50-249	4	
250+	5	
DO NOT READ OUT: Don't know/not sure	10	
DO NOT READ OUT: Refused	11	

ASK IF EMPLOY STAFF S4RAN=2-5

S5   **Does your business digitally process, collect, store or in some way use personal or non-personal data from its employees, staff or personnel? This might have been collected for HR purposes, and used for things like payroll or communications purposes.**

   SINGLE CODE. DO NOT READ OUT

Yes	1	
No	2	

ASK ALL

S6   Now thinking about data your business may collect or use, [IF EMPLOY STAFF (S4RAN=2-5): **in any way** <u>**other than data on your own employees or personnel for HR or related purposes (for example customer profiles, web analytics, stock monitoring)]...**</u>

Does your business handle digitised personal data, digitised non-personal data, or both?

Just to remind you, personal data is information that relates to an identified or identifiable individual, and non-personal data is any other data

MULTI CODE. DO NOT READ OUT

Personal data	1	
Non-personal data	2	
None of these	3	EXCLUSIVE

ASK IF (S6=3 AND S4RAN=1) OR (S5=2 AND S6=3)

S7 **Just to confirm, you've said your business does not handle any digitised data [IF S3=2: including data on employees/ personnel]. By 'data', we include data on sales, marketing, customers, purchases or anything else.**

SINGLE CODE. DO NOT READ OUT

Yes, correct – business does not process any digitised data	1	GO TO SECTION F
No, incorrect – business does process digitised data	2	IF S4=1 ASK S6 AGAIN OTHERWISE ASK S5 AGAIN

IF [S5=2 OR S4RAN=1] AND S6=3 PROCEED TO SECTION F

S5Dum **DUMMY VARIABLE FOR FUNCTION DO NOT ASK**			
Personal Data (employees only)	1	IF S5 =1 AND S7 =1 OR IF S5 =1 OR IF F1=1	PROCEED TO A1
Personal Data (other (or other+employee))	2	IF S6=1 OR IF F3 =1 OR F6=1 OR F8=2 OR F9=1	PROCEED TO A1
Non-Personal Data	3	IF S6=2 OR F3=2 OR F6=2	PROCEED TO A1
Does not use any data	4	IF S5=2 AND S6=3 OR IF S4RAN=1 AND S6=3	ONLY ASK SECTION F

REASSURANCES TO USE IF NECESSARY
● IFF Research is an independent market research company, operating under the strict guidelines of the Market Research Society's Code of Conduct. This means that anything you tell us will be treated in the strictest confidence, and none of your answers will be attributed to you unless you give explicit permission for us to do so.
● The survey will take around 20 minutes
● Under data protection law that you have the right to have a copy of your data, change your data, or withdraw from the research at any point. If you'd like to do this, you can consult our website at iffresearch.com/gdpr.
● We obtained your company name and telephone number from Market Location, a database of businesses currently active in the UK

If respondent wishes to confirm validity of survey or get more information about aims and objectives, they can call:
● MRS: Market Research Society on 0207 490 4911
● IFF: Louisa Pakenham-Walsh on 0207 250 3035 or by email on UKbusinesssurvey@iffresearch.com
● DCMS: Rob Palmer: UKbusinessdatasurvey@culture.gov.uk

A   How the business handles data

READ OUT IF USE DIGITISED DATA (S5DUM=1-3)

In the following questions I am going to ask you about how your business handles data. We will ask questions about both personal data, which is information that relates to an identified or identifiable individual, and non-personal data, which is any other data.

We are interested in the processes your business has in place, however small or significant the amount of data your business handles. We are not here to "check-up" on your compliance with any regulation, and your responses to the survey will remain completely anonymous.

ASK IF USE DIGITISED DATA (S5DUM=1-3)

A1   **I am going to read out a list of statements, and I would like you to answer yes or no as to whether the statement is applicable to your organisation. Your organisation…**

SINGLE CODE PER ROW. READ OUT ROWS

	YES	NO	[DON'T READ OUT] Don't Know	[DON'T READ OUT] Refused
[IF S5Dum=2] _1 Acquires personal data from individuals through them volunteering information (for example if a new customer registers with you)	1	2	3	4
[IF S5DUM=2] _2 Acquires personal data from individuals through observing their behaviour (for example their actions on your website)	1	2	3	4
[IF S5DUM=2] _3 Acquires or collects personal data about individuals through some other means (e.g. purchasing data from other businesses)	1	2	3	4
[IF S5DUM=2] _4 Shares personal data with other organisations or businesses (e.g. suppliers, distributors)	1	2	3	4
[IF S5DUM=3] 5 Acquires or generates non-personal data (e.g. sales or stock level data)	1	2	3	4
[IF S5DUM=3] _6 Shares non-personal data externally (e.g. selling insights to other businesses)	1	2	3	4
[IF S5DUM=2 OR 3] _7 Analyses data (personal, non-personal or in combination) to generate new insights or knowledge (e.g. developing new products, inferring personal information)	1	2	3	4

ASK IF S5DUM = 1 OR 2 [PROCESS PERSONAL DATA]

A2   **From which of the following sources does your business <u>receive personal data</u>?**
MULTICODE CODE. READ OUT

Other businesses	1
Other branches of your own business or corporate group	2
Employees, customers or other individuals	3
Public bodies	4
Charities or non-profit organisations	5
DO NOT READ OUT: Don't know	6
DO NOT READ OUT: Refused	7

ASK IF PROCESS ANY DATA S5DUM = 1 / 2 / 3

A3 **To what extent do you feel data has become more readily available to your business within the past 10 years – for example, in terms of website metrics, customer information, targeted marketing?**
SINGLE CODE. READ OUT

A great deal	1
A fair amount	2
Not very much	3
Not at all	4
DO NOT READ OUT: Don't know	5
DO NOT READ OUT: Refused	6

ASK IF FEEL DATA HAS BECOME MORE READILY AVAILABLE (A3=1/2)

A4   **How much do you agree or disagree with the following statements:**
      SINGLE CODE PER ROW. READ OUT ROWS

	Strongly disagree	Tend to disagree	Neither agree nor disagree	Tend to agree	Strongly agree	DO NOT READ OUT: Don't know	DO NOT READ OUT: Refused
Increased availability of data has led my business to perform the same functions more efficiently, without changing our core business model	1	2	3	4	5	6	7
Increased availability of data has led my business to innovate and perform new functions, without changing our core business model	1	2	3	4	5	6	7
Increased availability of data has led my business to fundamentally alter our core business model	1	2	3	4	5	6	7
My business model was originally designed to capitalise on the increased availability of data	1	2	3	4	5	6	7

ASK ALL

A5   **Has the COVID-19 pandemic changed the amount of personal data your business collects and processes?**
      READ OUT. SINGLE CODE.

[IF S5DUM=1 OR 2] Yes, we have started using personal data for the first time	1
[IF S5DUM=1 OR 2] Yes, it has increased the amount of personal data we use	2
[IF S5DUM=1 OR 2] Yes, it has decreased the amount of personal data we use	3
[IF S5DUM=3 OR 4] Yes, we have stopped using personal data	4
No, it has not changed	5
DO NOT READ OUT: Don't know	6

ASK IF S5DUM=2

A6 **You said your business processes personal data. Some types of personal data are classified as especially sensitive What type(s), if any, of this personal data does your business process?**
MULTI CODE. READ OUT

Children and young people's data (personal data for under 18s)	1	
Data classified as 'Special Category'(e.g. data revealing information on health, racial or ethnic origin, and political opinions)	2	
Criminal convictions & offences data	3	
Other (please specify)	4	
DO NOT READ OUT: Don't know	5	EXCLUSIVE
DO NOT READ OUT: None of these	6	EXCLUSIVE
DO NOT READ OUT: Refused	7	EXCLUSIVE

ASK IF S5DUM=2

A7 **Does your business seek consent from your customers to <u>collect and store their personal data, or share their personal data externally with third parties,</u> in any of the following ways?**
MULTI CODE. READ OUT.

Signed consent statement/form	1	
Verbal agreement	2	
Opt in by checking a tick box on the website/online	3	
Opt out by unchecking a tick box on the website/online	4	
Opt out via email	5	
Other (specify)	7	
We do not seek consent	8	
DO NOT READ OUT: Don't know	9	EXCLUSIVE
DO NOT READ OUT: Refused	10	EXCLUSIVE

ASK IF S5DUM=2

A8 **Does your business have a privacy management framework or data protection strategy in place?**
SINGLE CODE. DO NOT READ OUT

PROMPT IF NECESSARY: I.E. A SYSTEM FOR MANAGING PERSONAL DATA USED TO COMPLY WITH THE GENERAL DATA PROTECTION REGULATION (GDPR)

Yes	1	
No	2	
Don't know	3	
Refused	4	

ASK IF S5DUM=2 AND EMPLOY STAFF (S4RAN=2-5)

A9 **Have you recruited or tried to recruit staff in any of the following roles, since the implementation of GDPR and the Data Protection Act (DPA) 2018?**

MULTI CODE. READ OUT.

Data analyst	1	
Data management specialist	2	
Data Protection Officer	3	
Data Protection lawyer	4	
Chief Information Security Officer (CISO)	5	
Any other data-specific role (specify)	6	
None of these	7	EXCLUSIVE
DO NOT READ OUT: Don't know	8	EXCLUSIVE
DO NOT READ OUT: Refused	9	EXCLUSIVE

ASK IF S5DUM=2 AND EMPLOY STAFF (S4RAN=2-5)

A10 **Do you have someone in your organisation whose job role includes leading on…**
SINGLE CODE PER ROW

	YES	NO	[DO NOT READ OUT] Don't Know	[DO NOT READ OUT] Refused
_1 Data protection compliance, (e.g. Information Commissioners Office (ICO) compliance, wider GDPR compliance, awareness of other countries' laws)	1	2	3	4
_2 Data use for internal R&D (e.g. developing new products and services)	1	2	3	4
_3 Data use to improve marketing or sales performance	1	2	3	4

ASK IF S5DUM=2 AND EMPLOY STAFF (S4RAN=2-5)

A11 **And how confident are you that your business's employees are proficient in handling personal data?**

SINGLE CODE. READ OUT SCALE

Very confident	Quite confident	Neither confident nor unconfident	Not very confident	Not at all confident	[DO NOT READ OUT] Don't Know	[DO NOT READ OUT] Refused
1	2	3	4	5	6	7

B   Data protection regulation/GDPR

READ OUT IF USE DIGITISED DATA (S5DUM=1-3)
Thanks for your answers so far. I am now going to ask you some questions around data protection and GDPR.

The UK's Data Protection Act (DPA) 2018 came into effect in the UK in May 2018. It is based on the EU's General Data Protection Regulation ("GDPR"). Please be reassured that all your answers throughout the survey will be completely anonymous and not attributable to you as an individual or to your business.

 ASK IF S5DUM=1 OR 2

B1 **To what extent do you agree or disagree with the following statements surrounding GDPR and DPA 2018?**

SINGLE CODE PER ROW. READ OUT OPTIONS

	Strongly disagree	Tend to disagree	Neither agree nor disagree	Tend to agree	Strongly agree	[DON'T READ OUT] Don't Know	[DON'T READ OUT Refused
My business understands its requirements under the GDPR regulation and DPA 2018	1	2	3	4	5	6	7
My business finds the regulatory GDPR and DPA 2018 guidance published by the ICO clear and easy to understand	1	2	3	4	5	6	7
I feel confident the business is complying with data subjects' rights under GDPR and DPA 2018 (for example Subject Access Requests)	1	2	3	4	5	6	7

IF B1_2 = 1 OR 2

B2 **You said you don't agree that regulatory GDPR and DPA 2018 guidance is clear or easy to understand. Have you experienced any of the following in your business as a result?**
MULTICODE.

Disproportional time spent working out the requirements of GDPR and/or DPA	1	
Outsourced compliance with data protection regulation to specialist staff	2	
Stopped or reduced international trade because of worries around compliance	3	
Prevented the implementation of a new or significantly improved product, process or business model	4	
DO NOT READ OUT: None of these	5	EXCLUSIVE
DO NOT READ OUT: Don't know	6	EXCLUSIVE
DO NOT READ OUT: Refused	7	EXCLUSIVE

ASK ALL

B3 **Which elements of GDPR do you feel could be clearer?**
MULTI CODE. READ OUT. PROMPT IF NECESSARY

Data Protection Impact Assessments (a process to identify and minimise the data protection risks of a project)	1	
What people's data rights are (e.g. right to be forgotten)	2	
How and when to report a data breach	3	
When is a dataset anonymous (i.e. not personal data)	4	
The lawful bases that allow data processing	5	
The definitions of 'special category' data	6	
International transfers of personal data	7	
Other (specify)	8	
I do not know specific elements of GDPR	9	
DO NOT READ OUT: Don't know	10	EXCLUSIVE
DO NOT READ OUT: Refused	11	EXCLUSIVE

ASK IF S5DUM=1 OR 2

B4 **Has your business done any of the following as a result of the GDPR and DPA 2018?**
MULTI CODE. READ OUT OPTIONS

[IF EMPLOY STAFF (S4RAN=2-5): Hired new staff or] outsourced specialist staff to handle GDPR requirements	1	
[IF EMPLOY STAFF (S4RAN=2-5)] Run training for existing staff	2	
Sought legal advice	3	
Introduced new processes to implement data protection measures, e.g. produced a record of processing activities, implemented data retention policies	4	
[IF S5DUM=2] Introduced opt-in consent mechanisms	5	
Rewritten terms and conditions	6	
Rewritten or introduced a privacy notice	7	
Rewritten or introduced a cookie policy	8	
[IF S5DUM=2] Respond to Subject Access Requests	9	
Purchased specialist software for data protection	10	
Other (specify)	11	
DO NOT READ OUT: Don't know	12	EXCLUSIVE
DO NOT READ OUT: None of these	13	EXCLUSIVE
DO NOT READ OUT: Refused	14	EXCLUSIVE

ASK IF B4=MORE THAN ONE CODE SELECTED [CODES 1-11]

B5 **And thinking about different actions your business has had to make as a result GDPR and DPA 2018, what one action has been most costly for your business?**

SINGLE CODE. DO NOT READ OUT. PROMPT IF NECESSARY

SHOW CODES SELECTED AT B4 1-11	1	
DO NOT READ OUT: Don't know	3	
DO NOT READ OUT: None of these	4	
DO NOT READ OUT: Refused	5	

ASK IF S5DUM=1 OR 2

B6 **Which, if any, of the following potential benefits of GDPR and the DPA 2018 do you feel your business has experienced?**
MULTI CODE. READ OUT.

Accountability	1	
Enhanced businesses reputation	2	
[IF S5DUM=2] Increased consumer trust	3	
[IF S5DUM=2] Increased other businesses' trust	4	
Increased awareness of data protection at a senior level	5	
Improved awareness of data as a business asset	6	
Improved our internal processes for sharing data	7	
Other (specify)	8	
There have been no benefits	9	EXCLUSIVE
DO NOT READ OUT: Don't know	10	EXCLUSIVE
DO NOT READ OUT: Refused	11	EXCLUSIVE

ASK IF S5DUM=2

B7 **Now thinking about your customers, GDPR and Data Protection Act 2018… To what extent do you agree or disagree with the following statements…?**
SINGLE CODE PER TOW. READ OUT ROWS AND OPTIONS.

	Strongly disagree	Tend to disagree	Neither agree nor disagree	Tend to agree	Strongly agree	DO NOT READ OUT: Don't Know	*DO NOT READ OUT*: Refused
Your customers understand their rights	1	2	3	4	5	6	7
The more well-informed your customers are about data protection, the more willing they are to share personal data	1	2	3	4	5	6	7
Your customers make active choices based on their trust of a company	1	2	3	4	5	6	7
Your customers make active choices based on data protection considerations	1	2	3	4	5	6	7

C ICO

READ OUT IF USE DIGITISED DATA (S5DUM=1-3)
I will now ask you some questions about your awareness of the Information Commissioner's Office (ICO).

ASK IF USE DIGITISED DATA (S5DUM=1-3)

C1 **Which of the following statements most closely applies to your awareness of the Information Commissioner's Office (ICO)?**

SINGLE CODE. READ OUT OPTIONS

I have heard of the Information Commissioner's Office (ICO) and I know what it is	1	
I have heard of it but I don't know what it is	2	
I haven't heard of it	3	
DO NOT READ OUT: Refused	4	

IF AWARE C1= 1 OR 2

C2 **Has your business used any of the following ICO services?**
MULTI CODE. READ OUT OPTIONS

Online guidance / Data Protection Hub	1	
Called the helpline / used Live Chat	3	
Applied for a scheme	4	
Voluntary audit	5	
Responded to a consultation	6	
Reported a data breach	7	
Other (please specify)	8	
DO NOT READ OUT: Don't know	9	EXCLUSIVE
DO NOT READ OUT: None of these	10	EXCLUSIVE

ASK IF C2 = 1-8

C3 **On a scale from 1 to 5, where 1 is not useful at all and 5 is very useful, how would you rate each of the ICO services that you used?**
SINGLECODE.

	Not useful at all				Very useful	[DO NOT READ OUT] DON'T KNOW	[DO NOT READ OUT] REFUSED
	1	2	3	4	5	6	7
SHOW OPTIONS SELECTED AT C2							

D   International data transfer

READ OUT IF USE DIGITISED DATA (S5DUM=1-3)

I am now going to ask you some questions about any data transfers outside of the UK your business might make.

ASK IF USE DIGITISED DATA (S5DUM=1-3)

D1   **Does your business transfer (send or receive) data with other organisations or people based outside of the UK?**

By data sharing outside of the UK, we mean personal and/or non-personal data you send to or receive from organisations or people abroad. This includes data which your business processes in another country (e.g. through cloud computing, web-services).

DO NOT READ OUT. SINGLE CODE

Yes	1	
No – we do not share data outside of the UK	2	
Don't know	3	
Refused	4	

ASK IF DOES NOT SHARE DATA INTERNATIONALLY D1=2

D2   **For which of the following reasons, if any, does your business not share data with organisations or people outside of the UK?**

READ OUT. MULTICODE.

My business has no need to share data with organisations or people outside of the UK	1
My business does not operate Internationally	2
My business is concerned about the legal risks or uncertainty of transferring data internationally	3
My business does not have the resources to share data internationally	4
My business has experienced some concerns or barriers relation to GDPR or DPA 2018	5
Other (please specify)	6
DO NOT READ OUT: Don't know	7
DO NOT READ OUT: Refused	8

ASK IF USE DIGITISED DATA (S5DUM=1-3)

D3 **To what extent do you feel that GDPR and the DPA 2018, which regulate personal data, are a <u>barrier</u> or an <u>enabler</u> to trading with businesses based in the following?**

ADD IF NECESSARY: **Personal data refers to information that can be used to identify a specific individual. As well as name and contact details, this also includes other identifiers such as an IP address or a cookie identifier.**

READ OUT. SINGLE CODE PER ROW.

	A large barrier	Some what of a barrier	Neither a barrier nor an enabler	Somewhat of an enabler	A large enabler	*DO NOT READ OUT:* Don't know	*DO NOT READ OUT:* Refused
UK	1	2	3	4	5	6	7
EU	1	2	3	4	5	6	7
Rest of World	1	2	3	4	5	6	7

ASK IF SHARES DATA OUTSIDE OF THE UK (D1=1)

D4   **Does your business transfer (send or receive) data with organisations or people based in any of the following?**

READ OUT. MULTICODE.

Africa	1	
Asia-Pacific	2	
Europe	3	
Middle East	4	
North America	5	
South America	6	
DO NOT READ OUT: Don't know	6	SINGLE CODE
DO NOT READ OUT: Refused	7	SINGLE CODE

ASK IF D4=1-6

D5 **Please can you let me know the names of up to three countries that you transfer (send or receive) data with organisations that are most essential to your business?**

WRITE IN	1	
WRITE IN	2	
WRITE IN	3	
DO NOT READ OUT: Don't know	4	
DO NOT READ OUT: Refused	5	

ASK IF SHARE DATA INTERNATIONALLY D1=1

D6 **How essential is it for the functions of your business to transfer (send and/or receive) data internationally, to other organisations or people in ...**

*ADD IF NECESSARY: **Please consider both personal and non-personal data.***

 READ OUT. SINGLE CODE PER ROW.

	Completely essential	Fairly essential	Not very essential	Not at all essential	*DO NOT READ OUT*: Don't know	*DO NOT READ OUT*: Refused
PULL THROUGH COUNTRY SPECIFIED AT D5_1	1	2	3	4	5	6
PULL THROUGH COUNTRY SPECIFIED AT D5_2	1	2	3	4	5	6
PULL THROUGH COUNTRY SPECIFIED AT D5_3	1	2	3	4	5	6

ASK IF SHARE DATA INTERNATIONALLY D1=1

D7 **How much would you say you know about the legal compliance necessary to transfer <u>personal</u> data with organisations or people based outside of the UK?**

Just to remind you, personal data is any information that relates to an identified or identifiable individual and can be used to identify that individual on its own.

READ OUT. SINGLE CODE.

A great deal	A fair amount	Not very much	Nothing at all	*DO NOT READ OUT*: Don't know	*DO NOT READ OUT*: Don't know
1	2	3	4	5	6

ASK IF SHARE DATA INTERNATIONALLY D1=1

D8 **Does your business send or receive personal data only, non-personal data only, or both personal and non-personal data with organisations or people based outside of the UK**?
READ OUT. SINGLE CODE.

Personal data only	Non-personal data only	Both personal and non-personal data	*DO NOT READ OUT*: Don't know	*DO NOT READ OUT*: Refused
1	2	3	4	5

ASK IF SHARE DATA INTERNATIONALLY D1=1

D9 Has your business been prevented from sharing data with organisations or people internationally due to barriers regarding the transfer of personal data?

READ OUT. SINGLE CODE .

Yes	No	DO NOT READ OUT: Don't know	*DO NOT READ OUT*: Refused
1	2	3	4

ASK IF BEEN PREVENTED SHARING DATA INTERNATIONALLY (D9=1)

D9a Please can you let me know the names of up to three countries that you have been prevented from sharing data with due to barriers regarding the transfer or personal data?

WRITE IN	1	
WRITE IN	2	
WRITE IN	3	
DO NOT READ OUT: Don't know	4	
DO NOT READ OUT: Refused	5	

ASK IF COUNTRY IDENTIFIED AT D9A_1

D10 **Thinking about these personal data transfer barriers, for what reasons has your business been prevented from trading with businesses based in [**PULL THROUGH COUNTRY SPECIFIED AT D9A_1**]**

READ OUT. MULTICODE

Data localisation: A requirement that data would have to be stored or processed within that country/region as a condition for doing business	1	
The cost of implementing legal safeguards to transfer personal data (e.g. Standard Contractual Clauses etc.)	2	
Lack of trust in a country's/region's data protection standards	3	
Lack of transparency in a country's/region's local data protection standards	4	
Other (please specify)	5	
Not applicable - my business has never been prevented from doing business in a country/ region due to data transfer barriers	6	EXCLUSIVE
DO NOT READ OUT: Don't know	7	EXCLUSIVE
DO NOT READ OUT: Refused	8	EXCLUSIVE

ASK IF COUNTRY IDENTIFIED AT D9A_2

D10b **Thinking about these personal data transfer barriers, for what reasons has your business been prevented from trading with businesses based in [**PULL THROUGH COUNTRY SPECIFIED AT D9A_2**]**

READ OUT. MULTICODE

Data localisation: A requirement that data would have to be stored or processed within that country/region as a condition for doing business	1	
The cost of implementing legal safeguards to transfer personal data (e.g. Standard Contractual Clauses etc.)	2	
Lack of trust in a country's/region's data protection standards	3	
Lack of transparency in a country's/region's local data protection standards	4	
Other (please specify)	5	
Not applicable - my business has never been prevented from doing business in a country/ region due to data transfer barriers	6	EXCLUSIVE
DO NOT READ OUT: Don't know	7	EXCLUSIVE
DO NOT READ OUT: Refused	8	EXCLUSIVE

ASK IF COUNTRY IDENTIFIED AT D9A_3

D10c **Thinking about these personal data transfer barriers, for what reasons has your business been prevented from trading with businesses based in [**PULL THROUGH COUNTRY SPECIFIED AT D9A_3**]**

READ OUT. MULTICODE

Data localisation: A requirement that data would have to be stored or processed within that country/region as a condition for doing business	1	
The cost of implementing legal safeguards to transfer personal data (e.g. Standard Contractual Clauses etc.)	2	
Lack of trust in a country's/region's data protection standards	3	
Lack of transparency in a country's/region's local data protection standards	4	
Other (please specify)	5	
Not applicable - my business has never been prevented from doing business in a country/ region due to data transfer barriers	6	EXCLUSIVE
DO NOT READ OUT: Don't know	7	EXCLUSIVE
DO NOT READ OUT: Refused	8	EXCLUSIVE

E   International transfer tools

ASK IF TRANSFER DATA INTERNATIONALLY (D1=1)

E1   **Does your business use any of the following legal safeguards to transfer personal data or non-personal data to organisations or people based outside of the UK?**

READ OUT. MULTICODE.

Standard Contractual Clauses (SCCs)	1	
Adherence to a code of conduct	2	
Binding Corporate Rules (BCRs)	3	
Privacy Shield	4	
Adequacy	5	
Certification	6	
Exceptions for specific circumstances	7	
Other (please specify)	8	
None of these	11	SINGE CODE
DO NOT READ OUT: Don't know	9	SINGLE CODE
DO NOT READ OUT: Refused	10	SINGLE CODE

ASK IF E1=1-8

E2 **To what extent do you agree or disagree that those legal safeguards facilitate adherence to safe handling of personal data in practice?**

READ OUT. SINGLE CODE.

	Strongly disagree	Tend to disagree	Neither agree nor disagree	Tend to agree	Strongly agree	*DO NOT READ OUT*: Don't know	*DO NOT READ OUT*: Refused
PULL THROUGH OPTIONS SELECTED E1_1-8	5	4	3	2	1	6	7

ASK IF USES ANY OF THE LEGAL SAFEGUARDS AT E1

E3 **How easy or difficult do you find it to use <**TEXT SUB IF MORE THAN ONE AT E1**: these safeguards** TEXT SUB IF ONLY ONE AT E1: **this safeguard>**

READ OUT. SINGLE CODE

Very easy	1	
Fairly easy	2	
Neither easy nor difficult	3	
Fairly difficult	4	
Very difficult	5	
DO NOT READ OUT: Don't know	6	
DO NOT READ OUT: Refused	7	

.

ASK IF E3 = CODE 4 OR 5, FOUND DIFFICULT TO USE

E4 **You mentioned that you found <**TEXT SUB**: these safeguards /this safeguard> difficult to use. Please could you tell me what you found difficult in particular?**

WRITE IN		
Don't know	1	
Refused	2	

F Reasons for not handling, processing, transferring data

ASK IF DO NOT USE DATA AND EMPLOY STAFF ([S5=2 OR S4RAN=1] AND S6=3) AND S4RAN=2-5

F1 Does your business keep records on its staff, such as addresses, performance, bank details?
READ OUT. MULTI CODE

Yes – digitally stored	1	
Yes – not stored digitally	2	
No	3	
DO NOT READ OUT: Don't know	4	SINGLE CODE
DO NOT READ OUT: Refused	5	SINGLE CODE

ASK IF BUSINESS DOES NOT USE DATA S4RAN=1 AND S6=3 AND S7=1

F2 Does your business have a website?
DO NOT READ OUT. SINGLE CODE

Yes	1	
No	2	
DO NOT READ OUT: Don't know	3	SINGLE CODE
DO NOT READ OUT: Refused	4	SINGLE CODE

ASK IF BUSINESS DOES NOT USE DATA (S5DUM=4) AND HAS A WEBSITE (F2=1)

F3 Does your business track visitors to its website, example via cookies?

READ OUT. MULITCODE

We collect website analytics, which includes information about visitors (e.g. gender, age, IP address)	1	
We collect analytics, but it gives no information about individual visitors (e.g. only website traffic data)	2	
We do not collect analytics	3	
DO NOT READ OUT: Don't know	4	SINGLE CODE
DO NOT READ OUT: Refused	5	SINGLE CODE

ASK IF BUSINESS DOES NOT USE DATA (S5DUM=4)

F4   **Does your business market its products or services?**

READ OUT. MULTICODE

Yes - online (e.g. emails, adwords, advertising)	1	
Yes - offline (e.g. leaflets, letters, market stalls)	2	
No	3	SINGLE CODE
DO NOT READ OUT: Don't know	4	SINGLE CODE
DO NOT READ OUT: Refused	5	SINGLE CODE

ASK IF BUSINESS DOES NOT USE DATA (S5DUM=4) AND MARKETS PRODUCTS/SERVICES (F4=1 AND/OR2)

F5   **Is any of your marketing targeted (i.e. directed towards audiences with certain traits)?**

READ OUT. SINGLECODE

[IF F4=1] Yes, our online marketing	1	
[IF F4=2] Yes, our offline marketing	2	
[IF F4=1 AND 2] Yes, both our online and offline marketing	3	
No	4	
DO NOT READ OUT: Don't know	5	
DO NOT READ OUT: Refused	6	

ASK IF BUSINESS DOES NOT USE DATA (S5DUM=4) AND MARKETS PRODUCTS/SERVICES (F4=1 AND/OR2)

F6   **Does your business <u>collect and store data digitally</u> on these marketing activities?**

READ OUT. MULTICODE

Yes, we store personal data on this (e.g. age, email addresses)	1	
Yes, we store data but it is not personal data (i.e. cannot identify an individual)	2	
No we do not collect data	3	EXCLUSIVE
DO NOT READ OUT: Don't know	4	EXCLUSIVE
DO NOT READ OUT: Refused	5	EXCLUSIVE

ASK IF BUSINESS DOES NOT USE DATA (S5DUM=4)

F7   **Does your business sell directly to customers?**
DO NOT READ OUT. SINGLE CODE

Yes	1	
No	2	
Don't know	3	
Refused	4	

ASK IF BUSINESS DOES NOT USE DATA (S5DUM=4) AND SELLS TO CUSTOMERS F7=1

F8   **Does your business accept card payments, e.g. debit or credit cards?**
READ OUT. SINGLE CODE

Yes – but we have no access to/do not process the data that arises from the payments	1	
Yes – and we store or process the data that arises from the payments	2	
No	3	
DO NOT READ OUT: Don't know	4	
DO NOT READ OUT: Refused	5	

ASK IF BUSINESS DOES NOT USE DATA (S5DUM=4) AND SELLS TO CUSTOMERS F7=1

F9 **Does your business keep digital information on its customers, for example addresses or delivery information?**

DO NOT READ OUT. SINGLE CODE

Yes	1	
No	2	
Don't know	3	
Refused	4	

READ OUT IF F1=1 OR F3=1 OR F6=1 OR F6=2 OR F9 =1 OR F8=2

It sounds like your business handles, transfers, or uses data in digital form so I am going to take you through to the main survey about your business's use of digitised data. ROUTE TO A1

ASK IF BUSINESS DOES NOT USE DATA (S5DUM=4)

F10 **You've mentioned that your business does not handle, transfer or use any data in digital form. What are your reasons for this? Please let me know all that apply.**

READ OUT. MULTICODE.

My business is fully functional without digital forms of data	1	
We don't have the necessary equipment or connectivity (for example computers or internet)	2	
We do use data, but this is non-digital (i.e. paper records and filing)	3	
We don't have the skills or confidence to work with digital data	4	
We don't have the time or resources to begin working with digital data	5	
We are concerned about the specific legal risks of working with digital data	6	
We find data protection regulations too complicated for our business to understand and comply with	7	
Other (please specify)	8	
DO NOT READ OUT: Don't know	9	
DO NOT READ OUT: Refused	10	

READ OUT IF F10=9

It sounds like your business handles, transfers, or uses data in digital form so I am going to take you through to the main survey about your business's use of digitised data. ROUTE TO A1

ASK IF S5DUM=4 [DO NOT USE DATA]

F11 **What sorts of non-digital data or information does your business use (e.g. written customer records, written correspondence)?**

WRITE IN		
DON'T KNOW	1	
REFUSED	2	

ASK IF S5DUM=4 [DO NOT USE DATA]

F12 **Do you think your business could benefit from using digital data?**

Yes	1	
No	2	
DO NOT READ OUT: Don't know	3	
DO NOT READ OUT: Refused	4	

ASK IF S5DUM=4 [DO NOT USE DATA] AND F12=1

F13 **How could your business benefit from using digital data?**

WRITE IN		
DON'T KNOW	1	
REFUSED	2	

ASK IF S5DUM=4 [DO NOT USE DATA]

F14 **What could help you begin to use digital data?**

WRITE IN		
DON'T KNOW	1	
REFUSED	2	

G   Business demographics

SHOW TO ALL

I just have a couple of questions left about your business…

ASK ALL

G1   **What is the business' annual turnover?**

PROBE FOR BEST ESTIMATE AND RECORD NUMBER.

WRITE IN		
DO NOT READ OUT: Don't know	1	
DO NOT READ OUT: Refused	2	

ASK IF DON'T KNOW OR REFUSED (G1=1 or 2)

G2   **Could you let me know the approximate range that your business's annual turnover falls into?**

PROMPT WITH RANGES IF NECESSARY. SINGLE CODE.

Less than £1000	12	
£1,001 to £5,000	13	
£5,000 to £10,000	14	
£10,000 to £20,000	15	
£20,000 to £30,000	16	
£30,000 to £40,000	17	
£40,000 to £50,000	18	
£50,000 to £85,000	1	
£85,001 to £100,000	2	
£100,000 - £249,999	3	
£250,000 - £499,999	4	
£500,000 - £999,999	5	
£1m - £4,999,999	6	

£5m-£9,999,999	8	
£10m+	9	
DO NOT READ OUT: Prefer not to say	10	
DO NOT READ OUT: Don't know	11	

ASK ALL

G3 **I have [SIC DESCRIPTION FROM SAMPLE] as a broad classification for your business. Does this sound about right?**

DO NOT READ OUT. SINGLE CODE.

Yes	1	
No	2	
Don't know	3	
Refused	4	

ASK IF DO NOT AGREE WITH SIC DESCRIPTION (G3=2-4)

G4 **How would you describe the main activity of this business?**

INTERVIEWER PROBE *FOR the following – start with first probe and only use the others if necessary to get clear information*

- **What would you type into a search engine to find an organisation like yours online?**
- **What is the main product or service of this business?**
- **What exactly is made or done?**

WRITE IN. TO BE CODED TO 4-DIGIT 2007 SIC.		
Don't know	1	
Refused	2	

ASK ALL

G5 **Has your business carried out any international trade with businesses based in the following, in the last 12 months? By international trade, we mean all imports or international purchases as well as exports or international sales.**

READ OUT. MULTICODE CODE 1 AND 2

The EU	1	
Rest of World	2	
No, we have only traded with the UK in the last 12 months	3	EXCLUSIVE
DO NOT READ OUT: Don't know	4	EXCLUSIVE
DO NOT READ OUT: Refused	5	EXCLUSIVE

ASK IF BUSINESS DOES NOT USE DATA (S5DUM=4)

G6 **Does your business have any part-time or temporary workers?**
DO NOT READ OUT. SINGLE CODE

Yes	1	
No	2	
DO NOT READ OUT: Don't know	3	EXCLUSIVE
DO NOT READ OUT: Refused	4	EXCLUSIVE

H   Thank and close

ASK ALL

H1   **Thank you very much for taking the time to speak to us today. Would you be willing for us to call you back regarding:**

This particular study – if we need to clarify any of the information	1	
Other research studies which may be relevant to you	2	
Neither of these	3	

ASK ALL

H2   **As part of this research we are also conducting some video call interviews to further explore some of the answers you gave today. It would involve speaking with an IFF researcher on Zoom, Teams or on the telephone at a time convenient to you. The interview would last up to an hour, and we will pay you £30 as a thank you for your time, payable by Amazon voucher or PayPal.**

Would you be willing to be contacted by IFF Research in the next few weeks to discuss taking part in a follow-up interview?

Yes	1	
No	2	
Don't know	3	

IF CONSENT TO RECONTACT (H1 OR F2 = 1)

H3   **And could I just check, is [NUMBER] the best number to call you on?**

Yes	1	
No - write in number	2	

IF CONSENT TO RECONTACT (H1 OR F2 = 1)

H4   **Please may I take your e-mail address? This will be used only for the purpose of informing you about the follow-up interview.**

[WRITE IN EMAIL ADDRESS]	1	
Refused	2	

IF CONSENT TO RECONTACT (H1 OR F2 = 1) SHOW ON SAME SCREEN AS H4

H5 **INTERVIEWER NOTE: RECORD RESPONDENT'S NAME IF DIFFERS FROM THE NAMED CONTACT IN SAMPLE**

[WRITE IN RESPONDENT'S NAME IF DIFFERS FROM NAMED CONTACT]	1	
Name same as named contact	2	

ASK ALL

THANK RESPONDENT AND CLOSE INTERVIEW

Finally I would just like to confirm that this survey has been carried out under IFF instructions and within the rules of the MRS Code of Conduct. Thank you very much for your help today.

Reassurance email for CATI survey

Reassurance Email

Dear [NAME],

We are writing to ask for your help with an important piece of Government research for the Department for Digital, Culture, Media & Sport (DCMS).

The aim of this research is to understand how businesses use and process personal data, any domestic or international data transfers they make, and awareness and understanding of, and compliance with, data protection legislation. This will be the first survey on this topic conducted with UK businesses, so your responses will be very valuable to DCMS.

By data we are referring to any raw information that your organisation may hold, for example things such as financial records and names and addresses of employees and customers. All businesses use data in some form, and we are interested in speaking with all businesses even if you only deal with a small amount of data.

DCMS has appointed IFF Research, an independent research agency, to contact a selection of businesses to take part in the research. Representatives from IFF Research will be conducting telephone interviews between November 2020 and January 2021, which will last around 20 minutes and can be booked at a time convenient for you.

All answers will be kept completely confidential, and DCMS will not be able to identify the businesses that take part, or their individual answers. Your contact details will also be held securely at all times. Please be assured that any information you provide for this study will be used for research purposes only. Under data protection law you will have the right to a copy of your data, change your data, or withdraw from the research at any point. For more information, please see the IFF research website, at http://www.iffresearch.com/gdpr/.

If you have any queries about the research you can contact us via email at UKbusinesssurvey@iffresearch.com or telephone Louisa Pakenham-Walsh or Zainab Hazel on: 020 7250 3035. If you would like to verify the authenticity of this research please contact Rob Palmer at DCMS via email: UKbusinessdatasurvey@culture.gov.uk

Thank you in advance for your help.

Yours sincerely,

Topic guide for qualitative interviews

IFF Research

Department for Digital, Culture Media & Sport

UK Business Data
Depth Interview Topic Guide

J10421
Date 22/6/21

Tele depth

Introduction (3 mins)

My name is [NAME] and I work for IFF Research, an independent market research organisation. We've been commissioned by the Department for Digital, Culture, Media and Sport (DCMS) to conduct this research into businesses views about data use.

Thank you very much for participating in our previous telephone survey. The survey covered 4,500 UK businesses including your own. We are now in the second phase of the research, conducting 20 depth interviews with businesses such as yours. Today I would like to talk about some of the topics you will have covered in the previous survey, but we would like to understand your answers in more detail.

The study aims to understand more about how businesses use and process personal data, which businesses transfer data internationally, and what businesses think about data protection. This research will help the DCMS improve current guidance and shape future policies, and support their aim to make the UK a great place to do business and a safe place to share data.

The interview today will take around 45 minutes.

To thank you for your time, you will be compensated with £30 (either through Amazon e-vouchers, PayPal or a charity donation of your choice).

READ OUT TO ALL:

IFF Research is an independent market research company, operating under the strict guidelines of the Market Research Society's Code of Conduct. We will not pass any of your details on to any other organisation. It will not be possible to identify any individual or organisation in the findings that we report to DCMS. Participation is entirely voluntary, and you can stop / withdraw at any time.

Under data protection law, I'm required to tell you that you have the right to have a copy of your data, change your data, or withdraw from the research at any point. If you'd like to do this, or find out more, you can consult our website at iffresearch.com/GDPR. Could you confirm if you're happy to continue on this basis?

IFF Research

Finally, all our calls are recorded – the recording will be used for analysis purposes only and will not be passed to DCMS or any other organisation and will be destroyed within 12 months after the end of the project which is scheduled for April 2021. Are you happy to continue on this basis?

REASSURANCES IF NEEDED:

By data we are referring to any raw information that your organisation may hold, for example things such as financial records and names and addresses of employees and customers. All businesses use data in some form, and we are interested in speaking with all businesses even if you only deal with a small amount of data. Personal data is information that relates to an identified or identifiable individual.

We are not 'checking up' on your practices, your answers will be anonymised. DCMS will not be able to identify the businesses that take part. We want to understand how businesses really operate and what you think about data protection.

CONTACT DETAILS IF REQUESTED:

- MRS: Market Research Society on 0800 975 9596
- IFF: Louisa Pakenham Walsh at UKbusinesssurvey@iffresearch.com
- DCMS: Rob Palmer at UKbusinessdatasurvey@culture.gov.uk

A   Business overview – ASK ALL (5 mins)

INTERVIEWER NOTE: Keep this section as brief as possible, the purpose is to establish business context and a rapport with the participant.

To start I would like to just understand a bit more about your business/organisation, the types of data your business deals with and your role.

A1   **I understand that broadly your business is in [SECTOR], you have around [SIZE] employees and an approximate annual turnover of [TURNOVER]. Could you just briefly explain to me the nature [IF 250+ EMPLOYEES: and structure] of your business?**

A2   *[F JOB TITLE PRESENT]* **I understand that you are the [JOB TITLE]. Could you just briefly explain to me your responsibilities, especially those around how your business handles personal data?**

  [IF JOB TITLE NOT PRESENT – ESTABLISH PARTICIPANT'S ROLE] "I understand that you have responsibility for how your business handles data."

  IF NEEDED: Personal data is information that relates to an identified or identifiable individual.

  INTERVIEWER TO PROBE FOR THE FOLLOWING:

- How long have you had these responsibilities?

- Do you have sole responsibility for HOW data is handled? (NB not for the actual handing, but procedures)? Do you have responsibility for overseeing HOW any internal individuals handles data? If not, whose role does it come under?

- Any there any external individuals / organisations they work with on HOW business handles data (e.g. lawyer, data processing agency)? If so: probe for who and what role they play

B Uses of personal data within organisation – ASK ALL (12 mins)

INTERVIEWER NOTE: All participants indicated their business handles personal data in the quant survey (S6=1).

Thank you. I'd like to move on to talk specifically about the PERSONAL data your business handles, that's information that relates to an identified or identifiable individual.

INTERVIEWER: REPEAT QUESTIONS B1 AND B2, FOR EACH TYPE OF PERSONAL DATA USED AT A1 [QUANT SURVEY] – PERSONAL DATA RESPONSES ONLY

During the previous survey you told us that your business [RESPONSE FROM A1]. Could you briefly describe . . .

B1 **For what purpose does your business handle this type of personal data? What or who is the data about?**

IF NOT MENTIONED, PROBE:

- To sell on to other businesses along supply chain
- To share with other businesses
- Data on customers or clients
- Data on employees, such as address or personal information
- ENSURE ASK AND CLEARLY RECORD: **Which of these types of data are sent and / or received from outside the UK? NOTE FOR SECTION C INTERNATIONAL DATA TRANSFERS**

B2 **Where do you receive this type of personal data from or how do you generate it? What are the main sources?**

IF NOT MENTIONED, PROBE:

- Gained through consent or purchased e.g. from databases or lists used for outreach or direct marketing?
- In-house/website e.g. observed?
- External/third parties e.g. data processors, online platforms
- ENSURE ASK AND CLEARLY RECORD: **Which of these types of data are sent and / or received from outside the UK? NOTE FOR SECTION C INTERNATIONAL DATA TRANSFERS**

B3   **Does your business use personal data to generate revenue, or has it in the past?**

- IF YES: How do you use it to generate revenue? Would these revenue streams be possible without access to this personal data?

- ALL: Do you have any future plans or strategies for new revenue streams reliant on personal data? What are these? Would these revenue streams be possible without access to this personal data?

C International personal data transfers – MODULE (12 mins) GROUP 2

INTERVIEWER NOTE: All participants indicated in the quant survey that they transfer data to regions outside of the UK.

Thank you. I'd like to ask a few questions focussed on international data transfers of personal data.

C1 **During the earlier survey you told us that you use the following legal safeguards to transfer personal data or non-personal data to organisations or people based outside of the UK. . .**

FROM E1 AS RELEVANT:

- Use Standard Contractual Clauses (SCCs)
- Adherence to a code of conduct
- Binding Corporate Rules (BCRs)
- Privacy Shield
- Adequacy
- Certification
- Exceptions for specific circumstances

C2 **How well do you feel you / your business understands the legal rules and mechanisms for these transfers? Why is that?**

IF NOT MENTIONED, PROBE: **How well do you feel you understand …**

- How to comply with UK GDPR when transferring internationally
- ICO guidance
- New obligations following Schrems II
- EDPB guidelines[4]

C3 **What might help to improve your understanding? Is there any guidance which could be made clearer?**

C4 **How does your business find using these legal rules and mechanisms [IDENTIFIED AT E1] in general? Do they create any barriers to businesses trying to transfer data internationally? If so: How / why?**

---

[4] The European Data Protection Board is an independent European body whose purpose is to ensure consistent application of GDPR and to promote cooperation among the EU's data protection authorities.

IF NOT MENTIONED, PROBE:

- Any financial costs involved – approximate cost?

- Any resource costs involved – approximate hours?

- Whether sufficient tools/mechanisms / options for transferring data internationally

- Is EU/EDPB approach unpragmatic?

- Privacy Shield invalidated following Schrems II

- Schrems II decision on SCCs; development of the new EU SCCs.

C5   How could Standard Contractual Clauses (SCCs) /Binding Corporate Rules (BCRs)/other mechanisms be improved?

C6   Does a country having an adequacy decision make it easier for you to do business with them? Why is this? How has this influenced any decisions your business has made?

PROBE IF NOT MENTIONED:

- Decreased risks,

- Increase certainty

C7   Have you made any changes to your data protection or data policies when dealing internationally in order to comply with frameworks used by other countries?

IF YES: What types of changes have you made? Why?

D   Data protection and UK GDPR – MODULE (10 mins) GROUP 1

Thank you. I'd like to move on to talk about data protection and UK GDPR. For now please focus just on personal data you send, receive or handle within the UK only.

UK GDPR: As the UK left the EU on 31st January 2020, the EU's General Data Protection Regulation (GDPR) no longer applies domestically to the UK. A new domestic data privacy law called the UK-GDPR took effect on 31st January and – alongside the Data Protection Act of 2018 – governs all processing of personal data from individuals located inside the United Kingdom.

The UK GDPR is almost word-for-word completely identical to the EU's GDPR.

D1   **You said during the earlier survey that you are [A11: CONFIDENCE] that your business's employees are proficient in handling personal data. Why did you say that? What makes you feel [confident / not confident / unsure]?**

D2   **How well does your business understand the legal basis on which your business collects or uses the types of personal data you use? IF YES: What is this? Why is it this basis?**

INTERVIEWER NOTE: PROMPT WITH PERSONAL DATA USED A1 WHERE NEEDED

RECORD SPONTANEOUS ANSWER, THEN IF NOT MENTIONED PROBE IF AWARE OF FOLLOWING, AND WHICH THEY MAY BELIEVE APPLY

(a) Consent
(b) Contract
(c) Legal obligation
(d) Vital interests
(e) Public task
(f) Legitimate interests

D3   **Have the data protection rules set out in the UK GDPR, or the UK Data Protection Act 2018 POSITIVELY affected your business? Why do you say this? How significant have any benefits been?**

INTERVIEWER NOTE: BELOW ARE SOME EXAMPLES OF POTENTIAL BENEFITS. USE AS EXAMPLES OR TO PROMPT IF NEEDED:

● Hired specific staff? IF YES: What roles?

● Sought professional advice? IF YES: Advice from where?

● Improved trust / company reputation (with other businesses along the supply chain or consumers?)

● Improved policies / lower risk of data breaches

● Higher quality data

● Use data more effectively / more likely to develop new data-dependent products or services,

D4 **Have the data protection rules set out in the UK GDPR, or the UK Data Protection Act 2018 NEGATIVELY affected your business? Why do you say this? How significant an issue has it been for your business?**

INTERVIEWER NOTE: BELOW ARE SOME EXAMPLES OF POTENTIAL NEGATIVES. USE AS EXAMPLES OR TO PROMPT IF NEEDED:

- Hired specific staff? IF YES: What roles?

- Sought professional advice? IF YES: Advice from where? Other additional costs

- Created uncertainties or increased risks

- Changed business model or particular functions with respect to personal data

- Spent time responding to data breaches or data protection impact assessments. IF YES: How much time do you spend on this per year?

D5 **Have these data protection rules (UK GDPR and Data Protection Act 2018) had any impact on your business strategies? How?**

IF NOT MENTIONED, PROBE

- Have they prevented you doing anything you wanted to do or used to do?

- Have they improved the conditions for innovation with personal data?

D6 **Overall, what has been the [net] impact of UK GDPR on your business? Why do you say this?**

Probe for any positive impact on other businesses they share data with, or with consumers.

IF NOT MENTIONED, PROBE:

- [Compare / contrast relevant points raised earlier questions] e.g. Overall trust - supply chain and customers – better or worse?

- Availability of data

- Business practices, i.e. best practice data management/handling

- Has it added any costs to the business IF YES: What nature and scale?

- How does situation now compared to when first implemented?

- To what extent do you feel that better data governance have resulted in improved business outcomes and / or increased revenue?

E Uses of other, non-personal data within organisation (5-10 mins) MODULE GROUP 2

And now thinking about any other data, that is NON-PERSONAL data,

INTERVIEWER NOTE: REFER TO USE OF NON-PERSONAL DATA MENTIONED AT QUANT SURVEY A1

READ OUT, E1-E2 FOR EACH MARKED AS APPLICABLE FROM QUANT AT A1.

READ OUT: **During the previous survey you told us that your business [NON PERSONAL DATA INDICATED AT A1]. Could you briefly describe . . .**

What types of internal, official or commercial datasets does your business access or use for this purpose?

- **PROBE: Own internal business data** – e.g. non-personal organisational trends, sales data
- **Any official statistics** – e.g. data on population or census, on the COVID-19 pandemic, on the EU Exit, on geospatial or areas. This could be data from the Office for National Statistics (ONS), government departments, governmental bodies or local government, from official EU sources or those of other overseas governments or governmental organisations.
- **Data from other commercial sources** – e.g. databases, online data platforms, industrial data such as information on machines
- **Online analytics** – e.g. google, search engine data, supply chain data
- **Data from sector / competitors** – e.g. revenue, annual reports
- **Data from academic sources** – e.g. research institutes or universities
- Any other sources?

E1 **How is this data accessed or generated?**

- Do you pay for such datasets? (If no, how much would they be willing to pay for them?)
- Do you charge others to access these?
- If you generate data internally, are you able to say how much it costs to do so?

F   Impact of data use (personal and non-personal) within organisation - MODULE (10 mins) GROUP 1

F1   And now thinking more widely about all the uses of personal and / or non-personal data your business uses, **Does your business use data to change or develop business strategies, or has it in the past? Has it enabled cost or time savings?**

IF NOT MENTIONED, PROBE: Has it prompted changes to . . .? / Does it feed into . . .?

- Decision-making about how to adapt within your core business models
- The goods or services you offer
- advertising or marketing strategies **ESTABLISH WHICH DATA IS USED [Personal / non-personal, and which specific types)**
- ENSURE ASK: **How much of this has been enabled by personal data versus non-personal data?**
- ENSURE ASK: **How much of this has been enabled by personal data received or sent outside the UK?**

F2   **Does your business use data to change or develop internal operations, or has it in the past? Has it enabled cost or time savings?**

IF NOT MENTIONED, PROBE: Has it prompted changes to . . .? / Does it feed into . . .?

ESTABLISH WHICH DATA IS USED [Personal / non-personal, and which specific types at A1)

- recruitment practices, equality or inclusion policies (e.g. based on demographic data)
- people strategy or organisational structure
- internal or administrative processes
- ENSURE ASK: **How much of this has been enabled by personal data versus non-personal data?**
- ENSURE ASK: **How much of this has been enabled by personal data received or sent outside the UK?**

F3   **Now just thinking about your overall uses of personal data you have told me about, how critical are these uses of personal data to the business? Why?**

IF NOT MENTIONED, PROBE:

- Which do you consider to be essential/critical to the business? Why?
- Which have a lesser role? Why?

G   Wrap up (3 mins) ASK ALL

Thank you so much for all your input so far, we are almost finished, I just wanted to wrap up by asking ….

G1   **Thinking about everything we've discussed today, in summary, what are the main issues you think DCMS should consider when reviewing policies on data protection, specifically with regard to how your business uses personal data?**

G2   **Is there anything else you would like to add that you haven't had a chance to discuss?**

G3   **Do you have any questions about the research?**

G4   **Thank you. Please can you let me know your preference for the £30 compensation:**

Record preference for ONE OF THE FOLLOWING, including relevant information:

Amazon e-voucher: Confirm email address

PayPal: Confirm email address

Charity donation: Please note choice from one of the following options:

- British Heart Foundation
- MacMillan Cancer Support
- Shelter
- Great Ormond Street Hospital
- Celia Hammond Animal Trust

The charity donation will be made online on the charity's website, on behalf of the participant.

THANK RESPONDENT AND CLOSE INTERVIEW

I declare that this survey has been carried out under IFF instructions and within the rules of the MRS Code of Conduct.	
Interviewer signature:	Date:
Finish time:	Interview Length Mins

"

IFF Research illuminates the world for organisations businesses and individuals helping them to make better-informed decisions."

Our Values:

1. Being human first:

Whether employer or employee, client or collaborator, we are all humans first and foremost. Recognising this essential humanity is central to how we conduct our business, and how we lead our lives. We respect and accommodate each individual's way of thinking, working and communicating, mindful of the fact that each has their own story and means of telling it.

2. Impartiality and independence:

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