



Department for
Business, Energy
& Industrial Strategy

LONGITUDINAL SMALL BUSINESS SURVEY YEAR 2 (2016)

Technical Appendix



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1. Introduction

The Longitudinal Small Business Survey (LSBS)

This report details the sampling and methodology of the LSBS Year 2, a large-scale telephone (CATI¹) survey of 9,248 UK small business owners and managers, commissioned by the Department for Business, Energy and Industrial Strategy (BEIS). This survey is the latest in a series of annual and biennial Small Business Surveys dating back to 2003. The Year 2 survey on this occasion was conducted between August 2016 and January 2017 by BMG Research Ltd.

The Year 2 (2016) LSBS follows from the Year 1 (2015) LSBS, which was the largest SBS yet undertaken, comprising 15,502 interviews. The main reason for this large sample size was to allow the survey to have a longitudinal tracking element, establishing a 'panel' of businesses that might be re-surveyed in subsequent years. This allows a detailed analysis of how combinations of factors affect business performance through time. Any panel will have an element of attrition, hence the need for a large sample size in Year 1 which should result in a robust sample size for the Year 4 and 5 analyses.

Therefore, the large majority of those interviewed in Year 2 (2016) LSBS had also been interviewed in Year 1 (2015) LSBS: 7,279 in total. The other 1,969 interviewed were 'top-ups'. These were needed for the following reasons:

- To represent sections of the SME population that were not active in the Year 1 survey, i.e. businesses less than one-year old;
- To represent sectors in the raw data that may be under-represented due to business closure, or the difficulty of securing an interview (e.g. in cases where businesses work away from their main offices);
- To increase the sample size in Scotland and Northern Ireland, to allow for meaningful analysis on a nation basis;
- To ensure a robust sample size for the Year 4 and 5 analyses.

All interviews were conducted with owner/proprietors, Managing Directors or other senior directors in UK-based enterprises. Interviewers were not given named contacts, and needed to screen to find an appropriate respondent. The average interview length was 25 minutes.

There are three main reports based on Year 2 (2016) LSBS, each published separately:

- The **cross-sectional report** based on **SME employers**. A cross-sectional report is a snap shot of the state of SMEs at any particular stage in time, this one being the latter half of 2016;
- A **cross-sectional report** based on businesses with **no employees**;
- A **longitudinal report** based on those that were **SME employers** in Year 1 (2015) LSBS. This looks at the main changes that apply to the 'panelists' from year to year, and what appears to influence these changes.

¹ Computer Assisted Telephone Interviews.

2. Overview of survey method

Questionnaire design

A review of the Year 1 (2015) questionnaire was undertaken through consultations with stakeholders before the Year 2 (2016) survey. This resulted in a substantial number of alterations to questions that existed in the Year 1 LSBS, new question additions and deletions. The changes necessarily reflected the need to balance a desire to meet stakeholders' emergent needs with the longitudinal tracking objective. The consultation was followed up by an extensive round of 15 cognitive tests and a 'live' pilot of 100 interviews of the adjusted 2016 questionnaire.

'Panel' interviews

Of the 15,502 CATI² interviews conducted in Year 1 (2015) LSBS, 12,943 (83 per cent) agreed to a follow-up interview. The objective here was very simple, get as many interviews as possible from these 'panellists' in Year 2 (2016) LSBS.

7,279 were interviewed between August 2016 and January 2017 (56 per cent response rate). Of these, 1,656 had no employees, 27 had become large businesses with 250+ employees, and the remainder (5,596) were SME employers.

Boost interviews

In addition to the panel interviews, 1,969 boost interviews were conducted, for reasons explained in previous section above. This made the total sample size 9,248.

1,301 of these interviews were with SME employers. This made the total sample size for SME employers in Year 2 (2016) LSBS 6,897.

The boosts were sampled using a method consistent with Year 1 (2015) LSBS:

- Within each of the four UK nations the sample was stratified. Targets were set according to the size of enterprises and, within those targets, for sector (SIC 2007). These targets were set to take into account the need to boost the number of interviews in Scotland and Northern Ireland, the need to incorporate businesses registered for the first time in 2015-16 into the panel, and the need to re-balance overall representation due to above average attrition in certain sub-groups;
- The targets over-represented businesses with five to 249 employees substantially in comparison to their actual numbers within the business population;
- For registered businesses, the Inter Departmental Business Register (IDBR) was used as the sample source. For unregistered businesses with zero employees, Dun & Bradstreet's database was used. Dun & Bradstreet contacts were screened out if it was found that they either had employees on their payroll or paid VAT, as these would have duplicated contacts found within the IDBR;

² Computer Assisted Telephone Interviews.

- The IDBR is a record of all UK enterprises that pay VAT or PAYE. As such it has around 2.45 million entries, compared with the estimate from BEIS' Business Population Estimates (BPE), that there are around 5.5 million enterprises in the UK. The difference in the figures is explained by the number of unregistered enterprises that do not pay VAT or PAYE, estimates of which come from the Labour Force Survey (LFS). This is the reason why Dun & Bradstreet was retained as the source for boost businesses with no employees, as it contains records for both registered and unregistered businesses;
- The targets within the sample stratification matrix were informed by the 2015 BPE³, the latest available at the time. However, survey findings were weighted to the 2016 BPE⁴ which had become available towards the end of fieldwork. The 2016 BPE was used for weighting as it more properly represented the IDBR contacts used for the survey, as well as providing a more up-to-date picture of UK small businesses than the 2015 BPE.

A 336-cell sample stratification matrix was devised, the targets within each cell informed by the 2014 BPE. These cells were as follows:

- Fourteen 'one digit' SIC 2007 categories (ABDE, C, F, G, H, I, J, KL, M, N, P, Q, R, S);
- Multiplied by six size categories (unregistered zero employees, registered zero employee, 1-4 employees, 5-9 employees, 10-49 employees, 50-249 employees) = 84;
- Multiplied by four nations (England, Scotland, Wales, Northern Ireland).

Once the sample was drawn, informed by differential likely tele-matching success rates for each cell (based upon experience from the 2014-5 surveys), no quotas were employed on size, sector or any other criteria except for country.

Sampling and tele-matching process – IDBR boost sample

The IDBR consists of all UK registered businesses and is compiled from the following sources:

- HMRC traders registered for VAT purposes;
- HMRC employers operating a PAYE scheme;
- Incorporated businesses registered at Companies House;
- Department for Environment, Food and Rural Affairs (Defra) registered farms;
- Department of Finance and Personnel, Northern Ireland (DFPNI) registered businesses.

Procedures for stratifying and tele matching the IDBR sample were as follows:

- 1) On receipt of the IDBR sample, the following types of enterprises were initially excluded from the dataset:
 - Those indicated to have 250 or more employees;
 - Those indicated to have a legal status of 'PC/Nat Industry, Central Government and Local Authority';

³ www.gov.uk/government/statistics/business-population-estimates-2015. The figures were drawn from a combination of the Inter Departmental Business Register (IDBR) which contains all businesses operating VAT or PAYE schemes or which were registered at Companies House and the household survey-based Labour Force Survey (LFS) which is the main source for estimating the number of the self-employed and very small businesses.

⁴ www.gov.uk/government/statistics/business-population-estimates-2016. Method of data collection as above.

- Those indicated to have zero employees and zero employment⁵ (e.g. dormant businesses, holding companies);
 - Records listed as 'the trustees of...' (not businesses, no contact details as these are collections of individuals);
 - Businesses interviewed in LSBS Year 1, matched by their IDBR number.
- 2) Companies with no employees are counted by the IDBR as having one employee (the working proprietor), whereas businesses with no employees and other legal statuses are counted as having no employees. Therefore, for the purpose of our survey, companies listed as having one employee were counted in the zero-employee category.
 - 3) The sample was sorted by postcode within one digit SIC, within size bands (zero employees, 1-4 employees, 5-9 employees, 10-49 employees, 50-249 employees), within nation.
 - 4) Using pre-set targets within each sample stratification cell for 'initial sample drawn', the sample was drawn on a '1 in n' basis.
 - 5) The inclusion of postcodes as a sorting criterion helped to avoid 'duplicate' records⁶ among those selected. To cope with remaining duplication, de-duplication occurred on the following:
 - Where part of a larger enterprise group (indicated by the reference 'EnterpriseGrp_Wowref')
 - Business name
 - Telephone number. Initially this could only be for the IDBR-supplied telephone number. At later stages telephone number de-duplication also occurred for automated and manual matched numbers.
 - 6) A target was set for 'sample drawn with telephone numbers' within each sample stratification cell. The remaining records sampled (after de-duplication, and excluding records already containing a telephone number) were 'auto-telematched'. This process involved using a variety of telephone look-up agencies that held records of business telephone numbers.
 - 7) For records still lacking telephone numbers, manual telephone matching was used. This involved internet searches to find telephone numbers.
 - 8) The process described above at points 4-8 was repeated until targets for 'sample drawn with telephone numbers' were reached.

⁵ The 'employees' and 'employment' fields in the IDBR can differ. 'Employees' refers to the numbers employed that are not owners/partners. 'Employed' refers to the number within the organisation for whom PAYE is paid, which also includes working owners and partners.

⁶ These records have separate reference numbers in the IDBR from each other and as such are counted as discreet enterprises. In such cases, a number of companies are typically registered by the same people at the same address, with very similar names. Examples include exporters or importers who create companies for each overseas market they deal with, or property developers who create multiple companies for each separate development. For research purposes these are counted as duplicates, as respondents will give answers that relate to their companies overall, and not the sub-units. For various reasons we cannot interview the same individual more than once about different enterprises, nor more than one representative of an overarching business. Sorting by postcode helps to avoid this duplication, as the duplicate businesses are registered at the same address.

Overall, 14,888 records were sampled in order to produce 8,585 records with telephone numbers that could be used for the survey. This represented a matching rate of 57.7 per cent, with the match rate being higher the larger the SME. Full details on matching rates are given in the next section of this report.

In the IDBR sampling, 16 per cent of those telematched were purported to be 0-1 years old according to the IDBR. However, this tag tends to refer to when enterprise first appeared in the IDBR (e.g. official date of registration, or when VAT or PAYE was first paid) rather than when the business first started trading, which is the question asked in LSBS. In the event, only four per cent of IDBR-sourced top-ups claimed to be 0-1 years old.

Sampling process – Dun & Bradstreet sample (unregistered zero employees)

The objective was to obtain a representative sample of unregistered zero employee businesses. In this case ‘registered’ businesses are those that are contained in the IDBR.

Records were supplied by Dun & Bradstreet. All records ordered were presumed to have no employees. Those marked as being registered companies were excluded, as in theory these would appear in the IDBR. All contained telephone numbers.

Targets were set by sector (at the one digit SIC 2007 level), within country.

Enterprises that agreed to interview were screened to ensure that: (a) they were not registered for VAT; and (b) that they did not have employees on their pay roll. If they were VAT registered or had employees, it was assumed they would be contained within the IDBR, and therefore they were screened out of the survey.

Enterprises were de-duplicated against those interviewed in the 2015 (Year 1) LSBS which were sourced from Dun & Bradstreet.

Because of a relatively high screen out rate (24 per cent of all contacts, 77 per cent of those that started an interview), a total of 5,642 contacts were loaded in order to achieve 364 interviews.

Dun & Bradstreet’s UK Trading File contains 2.8 million businesses. It is not absolutely clear how these are populated (a mix of Companies House data, annual account returns, trade directories and other sources), but suffice to say that Dun & Bradstreet does have contact details for unregistered zero employee non-VAT paying businesses that are not included in the IDBR, although it is probable that these are not fully representative of those business identified in the LFS⁷.

⁷ This is because the unregistered businesses contained in the Dun & Bradstreet database are likely to be mainly those that appear in trade directories, i.e. they advertise themselves. In the Labour Force Survey, the bulk of unregistered businesses are self-employed individuals that may only do sub-contract work for one larger business, and therefore these do not appear in trade directories.

Response rate – IDBR and Dun & Bradstreet boosts

Of all contacts with telephone numbers where interviews were attempted (i.e. the contacts loaded into the CATI system), the overall response rate for IDBR contacts was 19 per cent, and seven per cent for Dun & Bradstreet contacts. Full details of outcomes are given in the next section of this report.

Weighting

Although the sample stratification was based on the 2015 BPE, the survey findings were weighted to the 2016 BPE which had become available at the end of fieldwork.

Because the combined dataset contained a mix of panel and boost interviews, it was not possible to use design weights and post strata weights in the weighting, as had been the case in the 2015 LSBS. Instead, the 336-cell matrix was used (sector within size band within nation), the targets within each cell informed by the 2016 BPE. In Wales and Northern Ireland, where the sample sizes were smaller than in Scotland and England, some cells were unpopulated. In these cases, the cells needed to be merged with adjacent cells to create a new combined target.

Comparability with previous SBS surveys

The changes made to the 2016 survey in terms of sampling and questionnaire design mean that there are limitations on the time series comparisons that can be made. These are only presented where the changes are unlikely to have made a material difference on comparability over time.

3. Detailed analysis

Achieved interviews

The table below shows the number of achieved interviews in 2016, according to their source (panel, IDBR or Dun & Bradstreet).

Table 2.1: 2016 (Year 2) achieved interviews – by employment size and sample source

Detailed size	Total	Panel	IDBR top-up	DnB top-up
Zero unregistered	1,077	713	0	364
Zero registered	1,247	943	304	0
1-4 employees (micros)	2,028	1,491	537	0
5-9 employees (micros)	1,019	862	157	0
10-19 employees (small)	1,294	1,098	196	0
20-49 employees (small)	1,193	970	223	0
50-99 employees (medium)	772	659	113	0
100-249 employees (medium)	591	516	75	0
250+ employees (large)	27	27	0	0
Broad size band				
Zero employees	2,324	1,656	304	364
Micros (1-9)	3,047	2,353	694	0
Small (10-49)	2,487	2,068	419	0
Medium (50-249)	1,363	1,175	188	0
Large (250+)	27	20	0	0
Total	9,248	7,279	1,605	364
Total originally sourced from IDBR (with entref)	8,162	6,557	1,605	0

No quotas were employed in the survey (other than on overall sample size, and in Northern Ireland and Scotland where the numbers interviews were boosted).

The table above shows the actual employment size bands in 2016, as confirmed by respondents in the 2016 survey. This is different from indicated employment size bands, i.e. those recorded in LSBS 2015, and those indicated by the IDBR and Dun & Bradstreet database.

The table below shows achieved interviews by sector and nation.

Table 2.2: Achieved interviews – by sector, nation and sample source

Sector (SIC 2007)	Total	Panel	IDBR top-up	DnB top-up
ABDE Primary	416	280	134	2
C Manufacturing	885	703	155	27
F Construction	908	620	211	77
G Wholesale/Retail	1,427	1,005	371	51
H Transport/Storage	366	244	91	31
I Accommodation/Food	655	450	187	18
J Information/Communication	531	412	100	19
KL Financial/Real Estate	425	302	101	22
M Professional/Scientific	1,268	1,191	32	45
N Administrative/Support	728	501	200	27
P Education	345	337	5	3
Q Health/Social Work	713	704	8	1
R Arts/Entertainment	248	217	6	25
S Other Service	333	313	4	16
Nation				
England	7,417	6,274	917	226
Scotland	1,050	523	434	93
Wales	271	242	24	5
Northern Ireland	510	240	230	40
Total	9,248	7,279	1,605	364

The proportion of interviews in each sector that were top-ups varies. This was because of differential response rates in the 2015 (Year 1) LSBS. For example, the response rate among employers in sectors M, P, Q, R and S was much higher than elsewhere in 2015, meaning that fewer employer top-up interviews were required in these sectors in order to achieve an overall representative sample profile.

The proportion of top-up interviews in Scotland and Northern Ireland was higher than in England and Wales, because these nations were boosted in order to achieve minimum sample sizes of 1,000 and 500 respectively.

All imbalances in sector profiles were corrected through the weighting process.

Tele-matching the IDBR

After de-duplication, a total of 14,888 IDBR records were made available for the next stage of tele-matching (see column A in table below).

No IDBR records indicated to have 5-9 employees were selected. This was because there were sufficient numbers of these already within the panel due to differential response rates and size band slippage, and it was predicted that there would be further size band slippage within the 2016 (Year 2) for top-ups indicated to belong in other size bands.

In total, these IDBR records sampled already contained 2,844 telephone number (19 per cent of all available records). By size, this was much more likely to be the case for medium-sized

businesses (64 per cent), and much less likely for those indicated to have no employees (four per cent). There was also a strong correlation by age of business, with only three per cent of businesses aged 0-1 years having numbers on the IDBR, and only 12 per cent of businesses aged 2-5 years, compared with 37 per cent of those aged 21 years or more (see columns B-C in table below).

There was some correlation between size and age here, with older SMEs tending to be larger and therefore being more likely to have IDBR-supplied numbers.

Table 2.3: Tele-matching (IDBR top-ups only) – by employment size and age of business

Size band	A	B	C	D	E	F	G	H	I	J
	All	Number on IDBR	% all	Auto Tele-match	% all	Manual match	% all	No match found	Total number found	% all
Zero	4,281	173	4%	945	22%	165	4%	2,998	1,283	30.0%
One to 4	5,473	432	8%	2,172	40%	196	4%	2,673	2,800	51.2%
Ten to 49	3,874	1,438	37%	1,592	41%	221	6%	623	3,251	83.9%
50 to 249	1,260	801	64%	378	30%	72	6%	9	1,251	99.3%
Age	A	B	C	D	E	F	G	H	I	J
0-1 years	4,669	157	3%	1,061	23%	152	3%	3,299	1,370	29.3%
2-5 years	2,473	285	12%	900	36%	101	4%	1,187	1,286	52.0%
6-10 years	1,857	431	23%	656	35%	105	6%	665	1,192	64.2%
11-15 years	1,361	369	27%	581	43%	76	6%	335	1,026	75.4%
16-20 years	1,064	334	31%	450	42%	64	6%	216	848	79.7%
21+ years	3,464	1,268	37%	1,439	42%	156	5%	601	2,863	82.7%
Total	14,888	2,844	19%	5,087	34%	654	4%	6,303	8,585	57.7%

The second stage of telematching was to use auto-matching. This process involved using a variety of telephone look-up agencies that held records of business telephone numbers.

This method matched a further 5,087 numbers (33 per cent of all available). The process was once again less likely than average to be successful for zero employee businesses (22 per cent of all available matched) and those aged 0-1 years (23 per cent matched). See columns C-D in the table above.

The next stage was to attempt to manually match numbers. This involved internet searches. In total, a further 654 records were matched (four per cent of all matched numbers). See columns F-G in the table above.

Overall, 8,585 records were matched via this three-stage process (58 per cent). There was a great deal of variance by size and age of business. Only 30 per cent of zero employee records were matched, 51 per cent of those with 1-4 employees, 84 per cent of small businesses, and 99 per cent of medium-sized businesses.

Eighty-three per cent of businesses aged 21 years or more were matched, compared to 29 per cent of those aged 0-1 years.

Response rates – Panelists

Of the 15,502 CATI interviews conducted in Year 1 (2015) LSBS, 12,943 (83 per cent) agreed to a follow-up interview. The objective was to get as many interviews as possible from these ‘panelists’ in Year 2 (2016) LSBS.

Table 2.4: Response rates – panellists

	Panelists – All contacts loaded	% of contacted	% of loaded
Completed	7,279	67.6%	56.2%
Appointments	41	0.4%	0.3%
Quits	195	1.8%	1.5%
Refusals	3,148	29.2%	24.3%
Not available during fieldwork	110	1.0%	0.8%
Total contacted	10,773	100.0%	83.2%
Ring backs	1,383		10.7%
Screen outs	4		0.0%
Total live contacts	12,160		94.0%
Business no longer trading	337		2.6%
Wrong number	122		0.9%
Unobtainable number	324		2.5%
Total loaded	12,943		100.0%

Out of the 12,943 panel contacts loaded into CATI, 7,279 interviews were achieved, a response rate of 56.2 per cent based on all records loaded, but 67.6 per cent of all contacted⁸.

The majority of contacts still left at the end of fieldwork were ‘ring backs’, i.e. records where an interview might have been agreed to or refused, but where it had not been possible to pin down an eligible respondent to a time or date for interview. Most of these were calls where answer phones were continually encountered.

A number of businesses (337) were classified as ‘business no longer trading’. This number combines those who took part in a short interview, not counted among the completes, as to why their business had closed (96 cases in total), those who told the interviewer that their business had closed but did not want to take part in the short interview, and wrong numbers/unobtainable numbers that, when the business was looked up on the Companies House website, were shown to have liquidated. In addition to these businesses no longer trading, it is likely that those with an outcome of wrong or unobtainable number have also liquidated, although this could not be verified.

⁸ This refers to outcomes of completed interviews, appointments made for interview, terminations (quits) during the interview, those refusing to take part, and those unavailable to take part in the fieldwork period. In addition, there were 4 that screened out of the questionnaire because their businesses had located out of the UK.

Response rates – Panelists, by sub-groups

The overall response rate for panelists varied by size and sector, as the table below summarises. These figures relate to full interviews gained as a proportion of contacts loaded, i.e. those agreeing to take part in a further interview in LSBS 2015 (Year 1). The size band and sector refer to the situation in 2015.

Table 2.5: Response rates – panelists by size and sector

Sector (SIC 2007)	Employee size band						Total
	Zero unregistered	Zero registered	One to 4	Five to 9	Small	Medium	
ABDE Primary	63%	61%	69%	60%	68%	55%	63%
C Manufacturing	46%	58%	56%	65%	58%	53%	56%
F Construction	39%	55%	49%	64%	55%	50%	50%
G Wholesale/Retail	53%	55%	56%	52%	55%	57%	55%
H Transport/Storage	49%	55%	48%	57%	59%	55%	54%
I Accommodation/ Food Service	44%	46%	55%	54%	51%	48%	51%
J Information/ Communication	52%	60%	57%	51%	58%	39%	55%
K Financial/ Real estate	55%	56%	55%	69%	59%	57%	58%
M Professional/ Scientific	56%	65%	67%	64%	59%	58%	63%
N Administrative	43%	48%	55%	47%	58%	52%	52%
P Education	50%	63%	56%	60%	67%	61%	60%
Q Human Health	51%	47%	59%	63%	61%	60%	59%
R Arts/Entertainment	55%	44%	61%	45%	51%	66%	56%
S Other Services	48%	66%	55%	51%	57%	62%	55%
TOTAL	49%	59%	58%	58%	57%	55%	56%

The overall response rate was lowest for unregistered zero employee businesses (49 per cent), and higher for registered businesses.

By sector, the response rate was highest in the primary and professional/scientific sectors (63 per cent), and lowest in the construction sector (50 per cent).

Response rates by nation were similar (56 per cent in both England and Wales, 57 per cent in Scotland, 58 per cent in Northern Ireland).

Overall, 26 per cent of panelists either refused to take part in the Year 2 survey, or quit the interview. This was the case for 27 per cent of those that were unregistered zero employee businesses in Year 1, 23 per cent of the registered zero employee businesses, 26 per cent of micros with 1-4 employees, 28 per cent of micros with 5-9 employees, 27 per cent of small businesses, and 25 per cent of medium-sized businesses.

The main reasons given for not wanting to take part in the Year 2 survey were lack of time, the interview being too long at 20-25 minutes, lack of interest, the survey not being relevant to their circumstances (this was especially the case in very small businesses), or the named contact having left, and nobody else wanting to do the survey.

It is also noteworthy that the raw refusal rate⁹ was higher during fieldwork in November (35 per cent) and December (34 per cent), than it was in August (19 per cent), September (29 per cent) and October (28 per cent), suggesting that in the run up to the holiday period, certain businesses tend to be busier.

Response rates – IDBR boosts

As shown earlier, 8,585 IDBR boost contacts were loaded into CATI, and out of these 1,605 interviews were achieved, a response rate of 18.7 per cent based on all records loaded, but 57.7 per cent of all contacted.

Table 2.6: Response rates – IDBR

	IDBR – All contacts loaded	% of contacted	% of loaded
Completed	1,605	57.7%	18.7%
Appointments	98	3.5%	1.1%
Quits	71	2.6%	0.8%
Refusals	845	30.4%	9.8%
Not available during fieldwork	162	5.8%	1.9%
Total contacted	2,781	100.0%	32.4%
Ring backs	3,251		37.9%
Screen outs	107		1.2%
Total live contacts	6,139		71.5%
Business no longer trading	195		2.3%
Wrong number	908		10.6%
Unobtainable number	1,344		15.7%
Total loaded	8,585		100.0%

The LSBS Year 2 questionnaire for boost interviews included a screening question to ensure that interviewers were calling the business named in the IDBR, or that it had been called that at some point in the past. This was required as businesses may trade under different names from those listed in the IDBR, and because the telephone numbers supplied within the IDBR could be those of an external accountancy firm (the contact number used by HMRC for VAT and PAYE queries). This explains the relatively high number of wrong numbers.

⁹ This is the refusal rate prior to recoding, 26 per cent overall. It was only eight per cent in January 2017, but this was because the records called in January had been contacted dozens of times over the previous months with no success.

Response rates – Dun & Bradstreet

In total, 5,642 contacts sourced from Dun & Bradstreet were used, in order to gain 364 interviews. This was a response rate of 6.5 per cent of all contacts loaded, and 44.5 per cent of all contacted

This latter response rate does not include those that were screened out because they were either registered for VAT, or had employees on their payroll. This proportion was 23.8 per cent of all contacts loaded.

At 25.8 per cent of all contacted, the refusal rate for the Dun & Bradstreet contacts was lower than for both panelists and IDBR contacts.

Table 2.7: Response rates – Dun & Bradstreet

	Dun & Bradstreet – All contacts loaded	% of contacted	% of loaded
Completed	364	44.5%	6.5%
Appointments	9	1.1%	0.2%
Quits	29	3.5%	0.5%
Refusals	211	25.8%	3.7%
Not available during fieldwork	205	25.1%	3.6%
Total contacted	818	100.0%	14.5%
Ring backs	2,226		39.5%
Screen outs	1,345		23.8%
Total live contacts	4,389		77.8%
Business no longer trading	314		5.6%
Wrong number	356		6.3%
Unobtainable number	583		10.3%
Total loaded	5,642		100.0%

Data weighting (cross-sectional)

Although the sample stratification was based on the 2015 BPE, the cross-sectional survey findings were weighted to the 2016 BPE which had become available at the end of fieldwork.

Because the combined dataset contained a mix of panel and boost interviews, it was not possible to use design weights and post strata weights in the weighting, as had been the case in the 2015 LSBS. Instead, the 336-cell matrix was used (sector within size band within nation), the targets within each cell informed by the 2016 BPE. In Wales and Northern Ireland, where the sample sizes were smaller than in Scotland and England, some cells were unpopulated. In these cases, the cells needed to be merged with adjacent cells to create a new combined target.

Because of the over-sampling of employer businesses, businesses with no employees, particularly the unregistered zero employee enterprises, have relatively high weights compared to SME employers. This is the main reason why there are separate reports for SME employers and businesses with no employees.

Cell weighting occurred within each of the 336 strata (sector within size band within nation). The tables below show the proportions of the whole achieved sample that fell into each cell, unweighted (UW) and weighted (W). For ease of understanding, these are shown at the all UK level, rather than individually within nation:

Table 2.8: Weighted and unweighted proportions of all SME¹⁰ interviews – zero employees and micros (all UK)

	Zero unregistered		Zero registered		Micro 1-4		Micro 5-9	
	UW	W	UW	W	UW	W	UW	W
ABDE - Primary	0.18%	0.43%	1.38%	1.68%	1.44%	0.83%	0.40%	0.17%
C - Manufacturing	0.60%	2.42%	0.74%	0.91%	1.54%	0.77%	1.14%	0.34%
F - Construction	2.15%	12.21%	1.52%	2.64%	2.29%	2.08%	1.15%	0.43%
G - Wholesale/ Retail	1.07%	3.28%	2.24%	2.33%	4.31%	2.63%	1.87%	0.96%
H - Transport/ Storage	0.74%	4.15%	0.41%	0.91%	0.86%	0.50%	0.28%	0.14%
I - Accommodation/ Food	0.35%	0.60%	0.46%	0.26%	1.12%	1.17%	1.12%	0.57%
J - Information/ Communication	0.57%	2.47%	1.38%	2.32%	1.58%	1.05%	0.48%	0.18%
KL - Financial/ Real estate	0.54%	1.29%	0.64%	1.16%	1.20%	0.74%	0.57%	0.24%
M - Professional/ Scientific	1.94%	6.61%	3.23%	4.98%	3.71%	2.39%	1.28%	0.47%
N - Administrative/ Support	0.75%	4.73%	0.76%	1.66%	1.74%	1.30%	0.95%	0.32%
P - Education	0.66%	5.08%	0.20%	0.27%	0.39%	0.19%	0.38%	0.08%
Q - Health/ Social work	0.60%	4.47%	0.04%	0.56%	0.59%	0.48%	0.64%	0.22%
R - Arts/ Entertainment	0.72%	3.47%	0.24%	0.51%	0.36%	0.32%	0.23%	0.08%
S - Other service	0.81%	4.22%	0.29%	0.36%	0.88%	0.87%	0.56%	0.22%
Total	11.7%	55.4%	13.5%	20.6%	22.0%	15.3%	11.1%	4.4%
Average overall weight	x 4.74		x 1.53		x 0.70		x 0.40	

Overall, 12 per cent of interviews were conducted with unregistered zero employee businesses. However, after weighting, this proportion increased to 55 per cent, giving them an overall average weight of x 4.74. For zero registered businesses the average overall weight was x 1.53, for micros with 1-4 employees it was x 0.7, and for micros with 5-9 employees it was x 0.4.

¹⁰ Note that those that became large businesses in 2016 (250+ employees) were not given weights, and do not appear in the cross-sectional reports in 2016. These were retained in the database for longitudinal analysis purposes only.

Table 2.9: Weighted and unweighted proportions of all SME interviews – small, medium-sized and total categories only (all UK)

	Small (10-49 employee)		Medium (50-249 employee)		All SMEs	
	UW	W	UW	W	UW	W
ABDE - Primary	0.80%	0.09%	0.29%	0.01%	4.50%	3.20%
C - Manufacturing	3.52%	0.41%	2.04%	0.11%	9.58%	4.97%
F - Construction	2.10%	0.28%	0.64%	0.03%	9.85%	17.68%
G - Wholesale/ Retail	4.31%	0.66%	1.66%	0.09%	15.45%	9.96%
H - Transport/ Storage	1.13%	0.14%	0.55%	0.03%	3.97%	5.85%
I - Accommodation/ Food	3.05%	0.52%	1.01%	0.05%	7.09%	3.17%
J - Information/ Communication	1.28%	0.16%	0.47%	0.03%	5.76%	6.21%
KL - Financial/ Real estate	1.00%	0.15%	0.62%	0.03%	4.58%	3.59%
M - Professional/ Scientific	2.41%	0.37%	1.15%	0.06%	13.72%	14.88%
N - Administrative/ Support	2.17%	0.28%	1.46%	0.07%	7.83%	8.37%
P - Education	1.01%	0.07%	1.07%	0.01%	3.71%	5.70%
Q - Health/ Social work	3.00%	0.39%	2.84%	0.06%	7.71%	6.18%
R - Arts/ Entertainment	0.54%	0.08%	0.56%	0.01%	2.65%	4.46%
S - Other service	0.65%	0.10%	0.41%	0.01%	3.61%	5.78%
Total	27.0%	3.71%	14.8%	0.61%	100.0%	100.0%
Average overall weight	x 0.14		x 0.04		x 1.00	

Both small and medium-sized businesses are substantially down-weighted in the overall SME dataset, with overall average weights of x 0.14 for the small businesses, and x 0.03 for the medium businesses.

Overall by sector, the highest weights are found in construction (x 1.79), arts/entertainment (x 1.68), other services (x 1.60), education (x 1.54) and transport/storage (x 1.47). These are sectors within which there are higher than average proportions of unregistered zero employee businesses. The lowest overall weights are found in accommodation/food service (x 0.45), manufacturing (x 0.52), wholesale/retail (x 0.65) and health/social work (x 0.80). These are the sectors within which there are higher than average proportions of businesses with 5+ employees.

Data weighting (longitudinal)

Separate longitudinal weights appear in the datasets. These need to be used when undertaking longitudinal analysis of panellists who responded in both the Year 1 and Year 2 surveys.

The datasets contain two sets of longitudinal weights – one based upon 2015 BPE estimates, and one based on 2016 BPE estimates.

The weighting method, and the targets used, were identical for both the cross-sectional Year 2 weights, and the longitudinal (panel only) Year 2 weights. The only difference was that the

achieved sample size for the panel-only sample was smaller than the overall sample size including top-ups. Hence, individual weights on individual records differ between the two weights.

The longitudinal weights based on 2015 BPE estimates differ from 2016 in two respects:

1. BPE estimates for targets are slightly different between the two years;
2. The criteria on which weights were applied in the 2015 longitudinal weights are based on the employment size, sector and nation that applied to a business in Year 1 (2015).

Hence, individual weights on individual records differ between the longitudinal Year 1 and Year 2 types of weight.

4. The questionnaire

PRIVATE & CONFIDENTIAL

**Longitudinal Small
Business Survey 2016
Questionnaire (v5 mainstage)**

Pro_9888
August 10th 2016

SAMPLE SOURCE

Panel	1	INTRODUCTION 1 OR 2
Top up - IDBR	2	INTRODUCTION 3
Top-up – Dun & Bradstreet	3	INTRODUCTION 3

PANEL ONLY - ASK TO SPEAK TO NAMED CONTACT

Speaking to named contact	1	CONTINUE
Named contact not available	2	ARRANGE CALLBACK
Named contact has left business	3	GO TO INTRODUCTION 2

INTRODUCTION 1

(IF TRANSFERRED: **Good morning/afternoon**), my name is XXX and I'm calling from **BMG Research**. We are an independent research company and we're doing some work on behalf of...

(ENGLAND AND WALES) ...the **Department for Business, Energy and Industrial Strategy (previously called BIS)**. We are conducting the **Small Business Survey**, the UK Government's main survey of small businesses.

(SCOTLAND) ...the **Scottish Government**. We are conducting the **Small Business Survey**, the UK's main survey of small businesses.

(NORTHERN IRELAND) ...**Invest NI**. We are conducting the **Small Business Survey**, the UK's main survey of small businesses.

(ALL) You may remember that we interviewed you in [MONTH/YEAR] and on that occasion you kindly said that you might be able to take part in a further survey. This is the Government's **Small Business Survey**, an important piece of work intended to track the progress of UK businesses over a five year period, to inform Government policy and enable institutions such as the **University of Warwick** to analyse how Government interventions or the lack of them affect small businesses. Would you be able to help us? The interview will take about 20-25 minutes for live businesses, and just a couple of minutes if your business has closed.

ADD IF NECESSARY:

- **Your co-operation will ensure that the views expressed are representative of all small businesses**
- **Whether or not you like the government's actions this is your chance to influence them – everyone's views will be taken into account**
- (ADD IF SENT AN EMAIL LINK) **You should have been sent an email link to the 2015 report. (ALL) The results from this year's survey will be available early next year and we can email you a link to the report once it is published on BEIS's website**

- **All information collected will be treated in the strictest confidence. Responses will not be attributed to any individual or company. Results will be reported in the form of aggregated statistics.**
 - **We work strictly within the Market Research Society Code of Conduct**
 - **Contact at BMG Research is xxxy if you would like to find out more about the survey**
 - **If your business has closed since last year, we would still like to ask you just a few questions**
 - **(ENGLAND AND WALES) Contact at Department for Business, Energy and Industrial Strategy is xxx on xxx**
 - **(SCOTLAND) Contact at the Scottish Government is xxx on xxx**
 - **(NORTHERN IRELAND) Contact at Invest NI is xxx on xxx**
-
- Continue 1
 - Transfer to another respondent 2
 - Refused 3
 - Hard appointment 4
 - Soft appointment 5
 - Dead/unobtainable number 6
 - Other (SPECIFY) 7

INTRODUCTION 2

ASK TO SPEAK TO OWNER/PROPRIETOR/MD/OTHER SENIOR DECISION MAKER, IF NOT SPEAKING TO THEM ALREADY

(IF TRANSFERRED: **Good morning/afternoon**), my name is XXX and I'm calling from **BMG Research**. We are an independent research company and we're doing some work on behalf of...

(ENGLAND AND WALES) ...the **Department for Business, Energy and Industrial Strategy (previously called BIS)**. We are conducting the **Small Business Survey**, the UK Government's main survey of small businesses.

(SCOTLAND) ...the **Scottish Government**. We are conducting the **Small Business Survey**, the UK's main survey of small businesses.

(NORTHERN IRELAND) ...**Invest NI**. We are conducting the **Small Business Survey**, the UK's main survey of small businesses.

(ALL) **Back in [MONTH/YEAR] we interviewed [NAME OF 2015 RESPONDENT] for the Government's Small Business Survey** This is an important piece of work intended to track the progress of UK businesses over a five-year period, to inform Government policy and enable institutions such as the University of Warwick to analyse how Government interventions or the lack of them affect small businesses.

I understand that [NAME OF 2015 RESPONDENT] has left the business, but the survey tracks the progress of your business rather than the individual. Would you be able to help us? The interview will take about 20-25 minutes.

ADD IF NECESSARY:

- **Your co-operation will ensure that the views expressed are representative of all small businesses**
- **Whether or not you like the government's actions this is your chance to influence them – everyone's views will be taken into account**

- **The results will be available early next year and we can email you a link to the report once it is published on BEIS’s website**
- **All information collected will be treated in the strictest confidence. Responses will not be attributed to any individual or company. Results will be reported in the form of aggregated statistics.**
- **We work strictly within the Market Research Society Code of Conduct**
- **Contact at BMG Research is xxx if you would like to find out more about the survey**
- **(ENGLAND AND WALES) Contact at Department for Business, Energy and Industrial Strategy is xxx on xxx**
- **(SCOTLAND) Contact at the Scottish Government is xxx on xxx**
- **(NORTHERN IRELAND) Contact at Invest NI is xxx on xxx**
 - Continue 1
 - Transfer to another respondent 2
 - Refused 3
 - Hard appointment 4
 - Soft appointment 5
 - Dead/unobtainable number 6
 - Other (SPECIFY) 7

INTRODUCTION 3

ASK TOP-UP SAMPLE, PERSON ANSWERING PHONE

S1) **Good morning/afternoon, can I check that I’m calling [NAME OF BUSINESS].**

Yes	1
No	2

ASK IF NO AT S1

S2) **Has you business ever been called [NAME OF BUSINESS]? IF YES, RECORD NEW NAME OF BUSINESS**

Yes	1	RECORD NEW NAME OF BUSINESS
No	2	THANK AND CLOSE

ASK TO SPEAK TO OWNER/PROPRIETOR/MD/OTHER SENIOR DECISION MAKER, IF NOT SPEAKING TO THEM ALREADY

(IF TRANSFERRED: **Good morning/afternoon**), my name is XXX and I'm calling from **BMG Research**. We are an independent research company and we're doing some work on behalf of...

(ENGLAND AND WALES) ...the **Department for Business, Energy and Industrial Strategy (previously called BIS)**. We are conducting the **Small Business Survey**, the UK Government's main survey of small businesses.

(SCOTLAND) ...the **Scottish Government**. We are conducting the **Small Business Survey**, the UK's main survey of small businesses.

(NORTHERN IRELAND) ...**Invest NI**. We are conducting the **Small Business Survey**, the UK's main survey of small businesses.

(ALL) I would like to ask your opinion about a range of issues. It will take about 20-30 minutes, depending on your responses.

The results of the survey will be fed back to government and will be used to inform government policy on small business. Is now a convenient time to talk?

ADD IF NECESSARY:

- **Your co-operation will ensure that the views expressed are representative of all small businesses**
- **Whether or not you like the government's actions this is your chance to influence them – everyone's views will be taken into account**
- **The results will be available early next year and we can email you a link to the report once it is published on BIS's website**
- **All information collected will be treated in the strictest confidence. Responses will not be attributed to any individual or company. Results will be reported in the form of aggregated statistics.**
- **We work strictly within the Market Research Society Code of Conduct**
- **Contact at BMG Research is xxx if you would like to find out more about the survey**
- (ENGLAND AND WALES) **Contact at Department for Business, Energy and Industrial Strategy is xxx on xxx**
- (SCOTLAND) **Contact at the Scottish Government is xxx on xxx**
- (NORTHERN IRELAND) **Contact at Invest NI is xxx on xxx**
- (IF SAMPLE SOURCE = IDBR) **Enterprises have been randomly chosen from the Government's Inter-Departmental Business Register**
- (IF SAMPLE SOURCE = DnB) **Enterprises have been randomly chosen from Dun & Bradstreet's commercial database**

- Continue 1
- Transfer to another respondent 2
- Refused 3
- Hard appointment 4
- Soft appointment 5
- Dead/unobtainable number 6
- Other (SPECIFY) 7

ASK TOP UP SAMPLE, AND PANEL IF NOT TALKING TO NAMED CONTACT (THOSE THAT DID INTRODUCTION 2)

S3) **Can I just check, are you one of the most senior people in day-to-day control of [NAME OF BUSINESS]?**

Yes	1	
No/Uncertain	2	ASK TO SPEAK TO SENIOR PERSON IN THE ORGANISATION – TRANSFER, SET APPOINTMENT, REFUSED OR OTHER

ASK TOP-UP DUN & BRADSTREET SAMPLE ONLY

S4) **Before we start, can I just check the following?** READ OUT. MULTICODE 1-2

Are you registered for VAT?	1
Do you have any employees on your payroll?	2
Neither of these	96
Refused	98

IF S4/1-2, THANK AND CLOSE: **Thank you, but we were looking for unregistered businesses with no employees to complete the survey.**

ASK ALL TOP-UP SAMPLE AND WHERE NOT INTERVIEWING THE 2015 RESPONDENT

S5) **Could I please take your name?** RECORD RESPONDENT'S NAME. ASK THEM TO SPELL IT IF NECESSARY. ENTER TWICE

Refused 98

ASK ALL TOP-UP SAMPLE AND WHERE NOT INTERVIEWING THE 2015 RESPONDENT

S6) **And can I take your job title please?** RECORD RESPONDENT'S JOB TITLE

Refused 98

ASK PANEL ONLY.

S7) **Can I check that [NAME OF BUSINESS IN 2015] is still trading?** IF NAME OF BUSINESS WAS WRONG ON CONTACTS, PLEASE CODE 2 AND AMEND IT HERE

Yes	1
No – but trading under a different name (SPECIFY NAME)	2
No – no longer trading at all	3

ASK IF CEASED TRADING (S7/3)

S8) **Which of these, if any, are reasons why the business is no longer trading?** READ OUT. RANDOMISE ORDER OF READING. MULTICODE OK

ASK IF MORE THAN ONE ANSWER GIVEN AT S8/1-9, 95

S9) **And which was the main reason?** READ AGAIN IF NECESSARY. SINGLE CODE ONLY

	S8	S9
Lack of demand for products/services	1	1
The business was unprofitable	2	2
The risks involved were too big	3	3
Finance was unavailable or too expensive	4	4
Another job or business opportunities	5	5
Family or personal reason	6	6
Difficulties finding the right staff	7	7
Retirement	8	8
You sold the business	9	9
Any other reason (SPECIFY)	95	95
Don't know	97	97
Refused	98	98

ASK IF CEASED TRADING (S7/3)

S10) **Could you please describe in more detail the circumstances under which your business ceased trading?** WRITE IN FULL

Refused 98

ASK IF CEASED TRADING (S7/3)

S11) **To what extent do you agree or disagree with the following statements** READ OUT. RANDOMISE ORDER OF READING. SINGLE CODE FOR EACH. FOR EACH PROBE WHETHER (DIS) AGREE STRONGLY OR SLIGHTLY

	Agree strongly	Agree slightly	Neither agree nor disagree	Disagree slightly	Disagree strongly	Don't know
(a) Working in [NAME OF BUSINESS] has made you more confident in your ability to run a successful business	1	2	3	4	5	97
(b) Working in [NAME OF BUSINESS] has made you more likely to start a business in future	1	2	3	4	5	97
(c) Working in [NAME OF BUSINESS] has had a positive effect on your personal finances	1	2	3	4	5	97

ASK IF AGREE OR DISAGREE THAT THEY ARE MORE CONFIDENT (S11a/1-2, 4-5)

S12a) **Why has this experience made you more/less confident in your ability to run a successful business?** WRITE IN FULL

Refused 98

ASK IF AGREE OR DISAGREE THAT THEY ARE MORE LIKELY TO START A BUSINESS IN FUTURE (S11b/1-2, 4-5)

S12b) **Why has this experience made you more/less likely to want to start a business in future?** WRITE IN FULL

Refused 98

ASK IF AGREE OR DISAGREE THAT THE EXPERIENCE HAS HAD A POSITIVE EFFECT ON THEIR PERSONAL FINANCES (S11c/1-2, 4-5)

S12c) **Please describe how the experience of running a business has affected your personal financial position?** WRITE IN FULL

Refused 98

NOW GO TO THANK AND CLOSE

SECTION A: ABOUT THE BUSINESS

ASK PANEL ONLY

A-1) **Since we last interviewed (IF INTRO 1: you; IF INTRO 2: your business), in [MONTH/YEAR] have any of the following changes occurred in your business? READ OUT. MULTICODE OK**

You opened or closed a new branch, site or office	1
You moved your head office	2
You changed your legal status	3
You gained or lost directors in day to day control of the business, that are not working owners or partners	4
You became registered for VAT for the first time	5
You changed the principal activity of your business	6
The ownership structure of the business has changed	7
None of these	96
Don't know	97
Refused	98

ASK TOP-UP SAMPLE, AND PANELISTS IF LEGAL STATUS CHANGED (A-1/3)

A0) (ASK TOP-UPS) **I would like to ask a number of questions about your business or organisation. Firstly, can I check, are you a registered charity?**

(ASK PANELISTS) **Have you become a registered charity since we last interviewed you? SINGLE-CODE**

Yes	1
No	2
Don't know	97

IF CHARITY (A0/1) ADD: **For the rest of the interview I hope you do not mind if I refer to your charity as a business.**

ASK TOP-UP SAMPLE, AND PANEL IF OPENED/CLOSED BRANCHES (A-1/1)

A1) **How many sites in the UK does your business operate from, including your head office?**

ENTER NUMBER (RANGE=1-9,999)_____

Don't know / Uncertain ...97
Refused ... 98

ASK ALL, EXCEPT TOP-UP DNB SAMPLE

A2) **Approximately, how many employees are currently on your payroll in the UK, excluding owners and partners, across all sites?**

- INCLUDE FULL AND PART TIME
- INCLUDE TEMPORARIES/CASUALS, BUT NOT AGENCY STAFF
- EXCLUDE SELF-EMPLOYED
- EXCLUDE OWNERS/PARTNERS, BUT OTHER DIRECTORS COUNT AS EMPLOYEES

ENTER NUMBER (RANGE=0-99,999) _____

TO COMPLETE IF FIGURE GIVEN AT A2

A2i) INTERVIEWERS TO RE-ENTER NUMBER OF EMPLOYEES INTO RANGE. DO NOT ASK. SINGLE CODE ONLY

0-9	1
10-99	2
100-249	3
250 or more	4

IF TOP-UP SAMPLE AND MORE THAN 249 EMPLOYEES, THANK AND CLOSE

A2DUM CATI TO CODE AUTOMATICALLY TO FOLLOWING BANDS FOR QUOTAS:

MONITORING QUOTAS	Top-Up	Panel
None (no employees) - panel	n/a	A2/0
None (no employees) – top-up unregistered	DnB sample	n/a
None (no employees) – top-up registered	A2/0	n/a
1-4 employees (Very small micro)	A2/1-4	A2/1-4
5-9 employees (Larger micro)	A2/5-9	A2/5-9
10-19 employees (Small small)	A2/10-19	A2/10-19
20-49 employees (Larger small)	A2/20-49	A2/20-49
50-249 employees (Medium)	A2/50-249	A2/50-249
250+ employees (Large)	n/a	A2/250-99,999

ASK ALL WITH 1+ EMPLOYEE AT A2

A2b) **How many of those working for the business, if any, are temporary or casual staff?**

ASK ALL

A2c) **And how many, if any, contractor or agency staff or self employed do you have working for you right now that are not on the payroll (ADD IF A CHARITY A0/1: Please include volunteers)?**

	Enter number	DK	REF	N/A
A2b (temporary/casual)		97	98	-
A2c (not on the payroll)		97	98	-

ASK TOP-UP SAMPLE ONLY
 A3) (IF I have [READ OUT SECTOR DESCRIPTION FROM SAMPLE] as a **general classification of your organisation's principal activity**. Bearing in mind this is a **general classification only**, does this sound about right?

Yes	1
No	2

ASK IF SECTOR DESCRIPTION NOT CORRECT AT A3, OR PANEL WHOSE ACTIVITY CHANGED (A-1/6)

A4) **What is the principal activity of your organisation?** PROBE AS NECESSARY:

- **What is the main product or service of this organisation?**
- **What exactly is made or done at this organisation?**

PROBE FULLY. RECORD DETAILS AND CODE BELOW. CODE TO 4 DIGITS

ASK TOP-UP SAMPLE, OR PANEL WHOSE LEGAL STATUS CHANGED (A-1/3)
 A5) **What is the legal status of your organisation?** (ADD IF A CHARITY A0/1: **This is in addition to your charitable status**). DO NOT READ OUT, BUT PROMPT IF NECESSARY. SINGLE CODE ONLY

Sole proprietorship/trader	1
Private limited company, limited by shares (LTD.)	2
Public Ltd Company (PLC)	3
Partnership	4
Limited liability partnership	5
Private company limited by guarantee	6
Community Interest Company (CIC, limited by guarantee or shares)	7
Friendly Society	8
A Co-operative	9
Industrial and Provident Society	10
Private Unlimited Company	11
Foreign Company	12
A trust	13
An unincorporated association	14
Other (SPECIFY)	15
Don't know	97
Refused	98

ASK TOP-UP ONLY

A6) **And how many years has this business been trading? This includes under all ownerships and all legal statuses.** SINGLE-CODE. PROMPT IF NECESSARY.

Less than one year	1
1 years	2
2 years	3
3 years	4
4 years	5
5 years	6
6 – 10 years	7
11 – 20 years	8
More than 20 years	9
Don't know	97

NO A7

ASK TOP-UPS ONLY

A8) **Our records have the following as a postcode for your business [READ OUT POSTCODE FROM DATABASE]? Can I check that this is the postcode of (IF A1/1 your business; IF A1/NOT 1: one of your business's sites in the UK), or your home postcode?** SINGLE-CODE. PROBE WHETHER POSTCODE IS FOR A BUSINESS SITE, OR A HOME POSTCODE

Postcode correct – business site (not home postcode)	1
Postcode correct– home postcode (may also be business site)	2
Postcode correct – won't say if business site or home postcode	3
No - incorrect	4
Refused	98

A8A) ASK IF POSTCODE IS INCORRECT (A8/4), OR PANEL THAT MOVED HEAD OFFICE (A-1/2)
Could you tell me the postcode of your business's main UK site please? WRITE IN

	1
Refused	98

A9) ASK IF POSTCODE NOT CORRECT (A8/4) OR REFUSED (A8/98) OR MOVED OFFICE (A-1/12)
Is your business's main UK site in...? SINGLE-CODE

England	1
Scotland	2
Wales	3
Northern Ireland	4
DO NOT READ OUT: None of the above (E.G. CHANNEL ISLANDS, ISLE OF MAN)	5
Don't know	97

IF NONE OF THESE (CODE 5), CLOSE

DUMA9 USE INFO FROM A9 '1-4' OR, IF A9 'DK OR NOT ASKED', USE INFO FROM SAMPLE

England	1
Scotland	2
Wales	3
Northern Ireland	4

A10) ASK TOP-UPS IF POSTCODE IS NOT CORRECT (A8/4) OR REFUSED (A8/98) OR NOT STATED WHETHER BUSINESS SITE/HOME (A8/3), OR PANEL THAT MOVED HEAD OFFICE (A-1/2)
Does your business have separate business premises to your or someone else's home address? i.e. your business is based somewhere else other than at your or someone else's home.

Yes	1
No	2
Refused	98

A2a) ASK ALL
How many working owners and partners does the business have? Please include yourself if you are a working owner or partner. NB: CODE NOT APPLICABLE IF THIS QUESTION IS NOT RELEVANT

	Enter number	DK	REF	N/A
A2a (owner/partners)		97	98	99

A12) ASK TOP-UPS, AND PANEL IF OWNERSHIP CHANGED (A-1/7), AND IF MORE THAN ONE OWNER/PARTNER (A2a NOT '0-1')
Is your business a family owned business, that is one which is majority owned by members of the same family?

Yes	1
No	2
Refused	98

ASK TOP-UPS ONLY IF FAMILY-OWNED BUSINESS (A12/1), OR IF ONE OWNER ONLY (A2a '1'). DO NOT ASK IF A SOLE PROPRIETOR (A5/1)

A13) **For how many generations has the business been in the control of the same family?**
SINGLE-CODE

1	1
2	2
3	3
4	4
Other [PLEASE SPECIFY]	95
Don't know	97
Refused	98

NO A14-A15

ASK SOLE PROPRIETORS (A5=1), OR PANEL SOLE PROPRIETORS IN 2015 THAT HAVE NOT CHANGED THEIR LEGAL STATUS (NOT A-1/3)

A16) **Can I just confirm that there are no other managers involved in running the business except yourself?** SINGLE-CODE

There are no others involved	1
There are others involved	2

ASK IF SOLE PROPRIETORSHIP WITH OTHER MANAGERS (A16/2), OR PANEL THAT CHANGED NUMBERS OF DIRECTORS (A-1/4)

A17) **Does your business have any directors in day to day control of your business who are not owners or partners? IF YES: How many others?**

ENTER NUMBER (RANGE=1-999,999) _____

No other directors/partners.....96

Don't know ...97

Refused ... 98

ASK TOP-UPS IF NUMBER OF DIRECTORS/PARTNERS AT A17/1+ OR IF A2A/2+, OR PANEL IF CHANGED NUMBER OF DIRECTORS (A-1/4 AND [A17/1+ OR A2A/2+])

A18) **How many, if any, of your directors and partners are women?** ENTER NUMBER (RANGE = ZERO UP TO VALUE AT A17 + A2A)

ASK TOP-UPS IF NUMBER OF DIRECTORS/PARTNERS AT A17/1+ OR IF A2A/2+, OR PANEL IF CHANGED NUMBER OF DIRECTORS (A-1/4 AND [A17/1+ OR A2A/2+])

A19) **How many, if any, of your directors and partners are from ethnic minority groups?** ENTER NUMBER (RANGE = ZERO UP TO VALUE AT A17 + A2A)

	Enter number	DK	REF
A18 (women)		97	98
A19 (ethnic minority)		97	98

ASK IF ANY BELONG TO ETHNIC MINORITY GROUPS (A19>0)

A20) **Which ethnic groups do the owners, partners or directors belong to?** PROMPT AS NECESSARY. MULTICODE.OK

Mixed White and Black Caribbean	1
Mixed White and Black African	2
Mixed White and Asian	3
Any other mixed background [PLEASE SPECIFY]	4
Indian	5
Pakistani	6
Bangladeshi	7
Any other Asian background [PLEASE SPECIFY]	8
Black Caribbean	9
Black African	10
Any other Black background [PLEASE SPECIFY]	11
Chinese	12
Arab	13
Gypsy or Irish Traveller	14
Any other ethnic group [PLEASE SPECIFY]	95
Don't know	97
Refused	98

ASK TOP-UPS IF NUMBER OF OWNERS AT A2a/2+, AND PANEL IF CHANGE IN OWNERSHIP (A-1/7)

A21) **Is more than 50% of the business owned by women?** SINGLE-CODE

Yes	1
No	2
Don't know	97

ASK TOP-UPS IF SOLE PROPRIETORSHIP WITH NO OTHER MANAGERS (A16/1 OR IF ONLY ONE OWNER (A2A=1 AND A17=96 {NONE})); ASK PANEL ON SAME CRITERIA AS ABOVE, BUT ONLY IF NOT ASKED QUESTION IN 2015

A22) **Which ethnic group do you consider you belong to?** PROMPT AS NECESSARY. SINGLE CODE ONLY.

White British (including white English, Scottish, Welsh or Northern Irish)	1
White Irish	2
Any other white background (PLEASE SPECIFY)	3
Mixed White and Black Caribbean	4
Mixed White and Black African	5
Mixed White and Asian	6
Any other mixed background [PLEASE SPECIFY]	7
Indian	8
Pakistani	9
Bangladeshi	10
Any other Asian background [PLEASE SPECIFY]	11
Black Caribbean	12
Black African	13
Any other Black background [PLEASE SPECIFY]	14
Chinese	15
Arab	16
Gypsy or Irish Traveller	17
Any other ethnic group [PLEASE SPECIFY]	95
Don't know	97
Refused	98

SECTION B: EMPLOYMENT

B1) ASK TOP-UP ONLY IF TRADING FOR AT LEAST ONE YEAR (NOT A6/1)
You said earlier that your business currently has [INSERT A2 RESPONSE] employees on the payroll, excluding owners and partners. How many employees did the business have on the payroll 12 months ago across all UK sites (still excluding owners and partners)?

INCLUDE FULL AND PART TIME
 INCLUDE TEMPORARIES/CASUALS, BUT NOT AGENCY STAFF
 EXCLUDE SELF-EMPLOYED
 EXCLUDE OWNERS/PARTNERS, BUT OTHER DIRECTORS COUNT AS EMPLOYEES

Enter Number (RANGE 0-9,999)

Don't know / Uncertain ...97

Refused ...98

B1a) TO COMPLETE IF FIGURE GIVEN AT B1
 INTERVIEWERS TO RE-ENTER NUMBER OF EMPLOYEES INTO RANGE. DO NOT ASK. SINGLE CODE ONLY

0-9	1
10-99	2
100-999	3
1000 or more	4

B2) ASK IF UNCERTAIN HOW MANY EMPLOYEES EMPLOYED 12 MONTHS AGO (B1/X)
Could you please tell me, was it....? READ OUT. SINGLE-CODE

More than currently	1
The same	2
Fewer	3
DO NOT READ OUT: Don't know	97

B3) ASK IF NUMBER OF EMPLOYEES 12 MONTHS AGO IS LESS THAN NUMBER OF EMPLOYEES CURRENTLY EMPLOYED BY TEN OR MORE (B1<A2)

Could I just check that you employed fewer paid staff a year ago than you do now? SINGLE-CODE

Yes	1	CONTINUE
No	2	RE-ASK B1 (BUT THEN SKIP B3 AND B4)

B4) ASK IF NUMBER OF EMPLOYEES 12 MONTHS AGO IS GREATER THAN NUMBER OF EMPLOYEES CURRENTLY EMPLOYED BY TEN OR MORE (B1>A2)
Could I just check that you employed more paid staff a year ago than you do now? SINGLE-CODE

Yes	1	CONTINUE
No	2	RE-ASK B1 (BUT THEN SKIP B3 AND B4)

B5) ASK ALL
How many employees do you expect the business to have on the payroll in the UK in twelve month's time (excluding owners and partners)?

INCLUDE FULL AND PART TIME
 INCLUDE TEMPORARIES/CASUALS, BUT NOT AGENCY STAFF
 EXCLUDE SELF-EMPLOYED
 EXCLUDE OWNERS/PARTNERS, BUT OTHER DIRECTORS COUNT AS EMPLOYEES

Enter Number (RANGE 0-9,999)

Don't know / Uncertain ...97
 Refused ...98

B5a) TO COMPLETE IF FIGURE GIVEN AT B5
 INTERVIEWERS TO RE-ENTER NUMBER OF EMPLOYEES INTO RANGE. DO NOT ASK. SINGLE CODE ONLY

0-9	1
10-99	2
100-999	3
1000 or more	4

B6) ASK IF UNCERTAIN HOW MANY PEOPLE EXPECT TO EMPLOY IN 12 MONTH'S TIME (B5/X)
Could you tell me whether you expect it to be...? READ OUT. SINGLE-CODE

More than currently	1
About the same	2
Fewer	3
DO NOT READ OUT: Don't know	97

SECTION C: EXPORTS

C1) ASK ALL
I'd now like to ask you a few questions about export activity. By this I mean any goods or services sold by you to an individual or organisation based outside of the UK.

[ADD AS NECESSARY] **This includes transactions you might make with any branch or subsidiary that you have that is located outside of the UK.**

[ASK ALL] **In the past 12 months did your business export any SERVICES outside of the UK? This could include commissions, royalties and licences (ADD IF IN NORTHERN IRELAND: This includes sales to the Republic of Ireland). This does not include exports of goods.**

Yes	1
No	2
Don't know	97

C1a) ASK IF EXPORTED ANY SERVICES OUTSIDE OF THE UK (C1/1)
Approximately what percentage of your turnover in the last 12 months was accounted for by service exports? WRITE IN

Enter Proportion (RANGE 0-100%)

Don't know97
 Refused 98

C1b) ASK IF UNCERTAIN/DK AT C1a
Would you say it was....? READ OUT. SINGLE-CODE

Up to 5% of turnover	1
Up to 10%	2
Up to 25%	3
Up to 50%	4
Up to 75%	5
Up to 90%	6
More than 90%	7
Don't know	97

C2) ASK ALL
And in the past 12 months did your business export any GOODS outside of the UK? (ADD IF IN NORTHERN IRELAND: This includes sales to the Republic of Ireland). This does not include any exports of services.

Yes	1
No	2
Don't know	97

C2a) ASK IF EXPORTED ANY GOODS OUTSIDE OF THE UK (C2/1)
Approximately what percentage of your turnover in the last 12 months was accounted for by goods exports? WRITE IN

Enter Proportion (RANGE 0-100%)

Don't know97
 Refused 98

C2b) ASK IF UNCERTAIN/DK AT C2a
Would you say it was....? READ OUT. SINGLE-CODE

Up to 5% of turnover	1
Up to 10%	2
Up to 25%	3
Up to 50%	4
Up to 75%	5
Up to 90%	6
More than 90%	7
Don't know	97

C2c) ASK IF CURRENTLY SELL OUTSIDE UK (C1/1 OR C2/1)
In the past 12 months have you exported to... READ OUT AND MULTICODE 1-2

The European Union?	1
Non-European Union countries?	2
Don't know	97
Refused	98

C2d) ASK IF ANY EXPORTS TO THE EU (C2c/1)
Approximately what percentage of your turnover in the last 12 months was accounted for by exports to the European Union? WRITE IN

Enter Proportion (RANGE 0-100%)

Don't know97
 Refused 98

C2e) ASK IF UNCERTAIN/DK AT C2d
Would you say it was....? READ OUT. SINGLE-CODE

Up to 5% of turnover	1
Up to 10%	2
Up to 25%	3
Up to 50%	4
Up to 75%	5
Up to 90%	6
More than 90%	7
Don't know	97

C2f) ASK ALL IN SCOTLAND ONLY
And do you sell goods or services or licence your product to the rest of the UK, i.e. England, Wales or Northern Ireland?

Yes	1
No	2
Uncertain	3

C2g) ASK ALL
In the past 12 months, have you directly imported goods or services from... READ OUT AND MULTICODE 1-2

The European Union?	1
Non-European Union countries?	2
Neither	3
Don't know	97
Refused	98

C3) ASK IF DO NOT CURRENTLY SELL OUTSIDE UK (C1/2 AND C2/2), EXCEPT PANELISTS THAT EXPORTED LAST YEAR
Do you have plans to start exporting or licensing your goods or services outside the UK? IF YES: Do you think this will be in the next 12 months or further in the future? SINGLE-CODE

Yes - next 12 months	1
Yes – further in the future	2
No	3

ASK PANELISTS THAT WERE PREVIOUSLY EXPORTING IN 2015, BUT NOT NOW (I.E. NOT C1/1 AND NOT C2/1)

C3a) **In the previous survey you said you exported goods or services, but not now. Do you have plans to export again in the next 12 months?**

Yes	1
No	2
Don't know	97
Refused	98
Don't recall saying they exported 12 months before	99

ASK TOP-UPS ONLY IF CURRENTLY SELL OUTSIDE UK (C1/1 OR C2/1)

C4) **How many years has your business been selling goods and services or licensing its products overseas?** SINGLE-CODE. PROMPT IF NECESSARY.

As long as has been trading	1
Less than one year	2
1 years	3
2 years	4
3 years	5
4 years	6
5 years	7
6 – 10 years	8
11 – 20 years	9
More than 20 years	10
Don't know	97

ASK IF CURRENTLY SELL OUTSIDE UK (C1/1 OR C2/1)

C4a) **Do you plan to increase your levels of exports over the next few years?** SINGLE CODE.

Yes	1
No	2
Don't know	97

ASK TOP-UPS ONLY IF HAVE BEEN SELLING OUTSIDE UK FOR MORE THAN TWO YEARS (C4/4-10 OR (C4/1 AND A6/3+))

C5) **During the time you have been selling or licensing products overseas, have you had overseas sales every year or have there been some years where you haven't made any sales at all to overseas customers?**

SINGLE-CODE

Overseas sales every year (since started doing business overseas)	1
Some years with no overseas sales	2
Don't know	97

C5a) ASK TOP-UPS IF SOME YEARS WITH NO OVERSEAS SALES (C5 '2'), OR PANELISTS THAT WERE PREVIOUSLY EXPORTING IN 2015, BUT NOT NOW (I.E. NOT C1/1 AND NOT C2/1)
 (ADD IF PANELISTS; **Why have you not exported in the last 12 months?**)

(ASK TOP UPS) **Why have there have been some years with no overseas sales? DO NOT PROMPT. MULTI-CODE OK**

Don't have the time to pursue exporting	1
Lack knowledge of how best to export	2
Exporting is too risky	3
Exporting is not profitable	4
Prefer to concentrate on UK markets	5
Only have occasional 'one-off' orders from overseas	6
Other (SPECIFY)	95
Don't know	97
Refused	98
Don't recall they were exporting goods or services before	99

C6) ASK IF NOT EXPORTING AND NO PLANS TO DO SO (C3 '3')
Does your business have any goods or services that are suitable for exporting?

Yes	1
No	2
Don't know	97
Refused	98

NO SECTION D

SECTION E: ENERGY USAGE

ASK SECTION OF ALL IN GREAT BRITAIN (NOT NORTHERN IRELAND), EXCEPT....

....TOP-UPS WITH DOMESTIC PREMISES (A8/2 OR A10/2) OR

....PANELISTS WITH DOMESTIC PREMISES IN 2015 (UNLESS THIS HAS CHANGED I.E. A10/1 IN 2016)

E1) **I would now like to ask you some questions about your premises and energy provision. Which of the following describe your organisation's main premises?** READ OUT. SINGLE-CODE

Rented from a private or commercial landlord	1
Owned by you or your business	2
Leased	3
Other (SPECIFY)	4
Don't know	97
Refused	98

FILTER AS E1

E2) **How do you pay your energy bills?** READ OUT. SINGLE-CODE

Directly to energy company (ies)	1
Payment for individual bills is passed to your landlord or management agent	2
Payment is included in the rent or standing charge	3
Other (SPECIFY)	4
Don't know	97
Refused	98

FILTER AS E1, BUT ONLY ASK HALF OF SAMPLE AT RANDOM (OTHERS GET ASKED E4)

E3) **Who decides which heating system is used to heat your premises?** READ OUT. SINGLE-CODE

You or people within your own business	1
The landlord	2
The building manager	3
Other (SPECIFY)	4
Not applicable – do not have heating	5
Don't know	97
Refused	98

E4) FILTER AS E1, BUT ONLY ASK HALF OF SAMPLE AT RANDOM (OTHERS GET ASKED E3)
When was the last time, if ever, that your building was refurbished or improved for heating or energy saving measures? READ OUT. SINGLE-CODE

In the past year?	1
Up to 2 years ago?	2
Up to 3 years ago?	3
Up to 5 years ago?	4
Up to 10 years ago?	5
More than 10 years ago?	6
Never been refurbished/improved for heating/energy saving measures	7
Don't know	97
Refused	98

NO E5

E6) FILTER AS E1
Has your business ever undertaken an energy audit in the last 12 months? This is an assessment by an energy expert of the amount of energy you use, and ways in which energy consumption can be reduced.

Yes	1
No	2
Don't know	97
Refused	98

E7) FILTER AS E1
In the last five years, has your business received energy efficiency advice from Government or other experts such as your energy supplier or the Carbon Trust?

Yes	1
No	2
Don't know	97
Refused	98

FILTER AS E1
 E8) **As far as you are aware, do your main premises have any smart or advanced meters for gas or electricity?**

(ADD AS NECESSARY) **Both smart meters and advanced meters record information on energy usage and send meter readings directly to energy suppliers. This means meter readings are provided automatically and remotely rather than having to be read off manually from the meter.**

SINGLE CODE ONLY. PROBE TYPE OF ENERGY THEY HAVE SMART/ADVANCED METERS FOR

Yes – both gas and electricity	1
Yes – gas only	2
Yes – electricity only	3
No – do not have smart/advanced meters	4
Don't know	97
Refused	98

ASK IF HAVE ANY SMART/ADVANCED METERS (E8/1-3)
 E9) **Does your organisation actively monitor its energy consumption, using energy data available from smart or advanced meters, to help manage its energy use?**

Yes	1
No	2
Don't know	97
Refused	98

SECTION F: TAXATION

NO F1-F4

ASK TOP-UPS AND PANEL WITHOUT A BUSINESS PLAN IN 2015

F5) **Do you have a formal written business plan? IF YES: Is this kept up to date?** SINGLE-CODE

Yes – kept up to date	1
Yes – but not kept up to date	2
No	3
Don't know	97
Refused	98

ASK ALL WITH 0-19 EMPLOYEES (A2/0-19)

F6) **Which of the following UK taxes is your business liable to pay?** READ OUT. MULTICODE 1-3

(DO NOT ASK DNB SAMPLE) VAT	1
(SOLE/PARTNER ONLY ¹¹) Income tax self-assessment	2
(COMPANIES/OTHER ONLY ¹²) Corporation Tax	3
None of the above	4
Don't know	97
Refused	98

ASK IF PAY TAX AT F6/1-3

F7) **Do you pay for the services of external agents, accountants or advisers for any of the following?** READ OUT. MULTICODE 1-9

(IF F6/1) Record keeping or bookkeeping for VAT	1
(IF F6/2) Record keeping or bookkeeping for income tax self assessment	2
(IF F6/3) Record keeping or bookkeeping for Corporation Tax	3
(IF F6/1) To submit HMRC returns for VAT	4
(IF F6/2) To submit HMRC returns for income tax self-assessment	5
(IF F6/2) To submit HMRC returns for Corporation Tax	6
To receive tax advice including tax planning	7
Do not use external agents/accountants/advisers	96
Don't know	97
Refused	98

¹¹ Defined as A5/1, 3 or 4 (or from 2015 survey if legal status unchanged i.e. NOT A-1/3)

¹² Defined as everybody else

ASK IF PAY VAT AT F6/1
 F8) **In which of these ways does your business keep records for VAT purposes?** (ADD IF USE AGENTS FOR VAT F7/1 OR 4: **That is, before you pass these on to agents, accountants or advisers**). **Do you use...** READ OUT. MULTICODE 1-2, OTHERWISE SINGLE CODE

Record keeping software?	1
Spreadsheets e.g. excel?	2
Or do you use paper-based records only?	3
Other (SPECIFY)	4
Don't know	97
Refused	98

ASK IF USE RECORD KEEPING SOFTWARE FOR VAT (F8/1)
 F9) **Is the software that you use for keeping VAT records..** READ OUT. MULTICODE OKAY

A free record keeping and accounting software package?	1
A paid-for off-the-shelf (or ready-made) record keeping and accounting software package?	2
A paid-for bespoke record keeping and accounting software package?	3
Other (SPECIFY)	4
Don't know	97
Refused	98

NO F10

ASK IF PAY VAT AND CORPORATION TAX/SELF ASSESSMENT (F6/1 AND [F6/2-3])
 F11) **Do you keep records for** (IF F6/2: **income tax self assessment**; IF F6/3: **corporation tax**) **in the same way as you keep records for VAT?** READ OUT. MULTICODE 1-3

Yes	1
No	2
Don't know	97

ASK IF PAY CORPORATION TAX OR SELF-ASSESSMENT BUT NOT VAT (F6/2-3 BUT NOT F6/1), OR IF KEEP RECORDS FOR CT/SA IN DIFFERENT WAY FROM VAT (F11/2)
 F12) **In which of these ways does your business keep records for** (IF F6/2: **income tax self assessment**; IF F6/3: **corporation tax**) **purposes?** (ADD IF USE AGENTS FOR CT/SA F7/2-3 OR 5-6: **That is, before you pass these on to agents, accountants or advisers**). **Do you use...** READ OUT. MULTICODE 1-2, OTHERWISE SINGLE CODE

Record keeping software?	1
Spreadsheets e.g. excel?	2
Or do you use paper-based records only?	3
Other (SPECIFY)	4
Don't know	97
Refused	98

F13) ASK IF USE RECORD KEEPING SOFTWARE FOR CT/SA (F12/1)
Is the software that you use for keeping corporation tax/self-assessment records... READ OUT.
 MULTICODE OKAY

A free record keeping and accounting software package?	1
A paid-for off-the-shelf (or ready-made) record keeping and accounting software package?	2
A paid-for bespoke record keeping and accounting software package?	3
Other (SPECIFY)	4
Don't know	97
Refused	98

NO F14

F15) ASK IF PAY SELF-ASSESSMENT (F6/2). DO NOT ASK IF AGENTS SUBMITS RETURN (F7/5)
Do you personally submit your self-assessment return online?

Yes	1
No	2
Don't know	97
Refused	98

SECTION G: OBSTACLES

NO G1

ASK ALL

- G2) **I'd like to ask you now some questions about issues, obstacles or difficulties that your business might face in achieving your business objectives. Which of the following would you say are major obstacles to the success of your business in general?** READ OUT. RANDOMISE CODES 1-8 ONLY. CODES 9-10 MUST ALWAYS BE AFTER CODES 1-8. MULTICODE OK 1-10, 95

Obtaining finance	1	ASK IF MENTION
Taxation, VAT, PAYE, National Insurance, business rates	2	
Staff recruitment and skills	3	
Regulations/red tape	4	
Availability/cost of suitable premises	5	
Competition in the market	6	
Workplace pensions	7	
Late payment	8	
UK exit from the EU	9	
National Living Wage	10	
Any other major issues or obstacles? (SPECIFY)	95	
None of these	96	
Don't know/No opinion	97	
Refused	98	

RECRUITMENT/SKILLS AS A MAJOR OBSTACLE (G2/3)

- G3) **Which of these are the obstacles that affect your business concerning recruitment and skills?** READ OUT 1-5, 95. RANDOMISE ORDER 1-4. MULTICODE OK 1-5

Recruiting staff	1
Shortage of managerial skills/expertise	2
Shortage of skills within the external labour market	3
Shortage of skills within the existing workplace	4
Anything else (SPECIFY)	95
Don't know	97
Refused	98

G4) ASK IF MENTION WORKPLACE PENSIONS AS A MAJOR OBSTACLE (G2/7)
Are workplace pensions an obstacle for your business for any of these reasons?
 READ OUT 1-3. RANDOMISE ORDER 1-2. MULTICODE OK 1-3

You/your business finds it difficult to implement automatic enrolment in workplace pensions	1
You/your business is having or will have difficulty paying pension contributions	2
Or are there other reasons why workplace pensions are a major obstacle (SPECIFY)	3
Don't know	97
Refused	98

G5) ASK IF MENTION REGULATIONS/RED TAPE AS A MAJOR OBSTACLE (G2/4)
Which regulations do you consider to be major obstacles to the success of your business? DO NOT READ OUT. MULTICODE OK 1-11, 95

Building and construction regulations	1
Employment regulations	2
Environmental regulations	3
Financial services regulations	4
Health and safety	5
Local Authority/council regulations	6
Planning applications	7
Providing information/record-keeping	8
Sector specific regulations	9
Tax-related	10
No specific regulations/all regulations	11
Other (SPECIFY)	95
None in particular	96
Don't know	97
Refused	98

G6) ASK ALL
In the next 12 months, do you think that the burdens resulting from regulation will decrease, stay the same or increase? PROBE FOR DECREASE/INCREASE A LOT/A LITTLE. SINGLE CODE ONLY

Decrease a lot	1
Decrease a little	2
Stay the same	3
Increase a little	4
Increase a lot	5
Don't know	97
Refused	98

G7) ASK IF MENTION TAX AS MAJOR OBSTACLE (G2/2)
Is it the level of tax that presents a major obstacle to your business, the effort required in compliance with tax returns, or both of these? SINGLE CODE ONLY

Level of tax	1
Effort required in compliance	2
Both of these	3
None of these	96
Don't know	97
Refused	98

SECTION H: FINANCE

ASK TOP-UPS ONLY

- H1) **I would now like to ask you some questions about finance for your business. Firstly, Is the main bank or building society account you use for business purposes a.... READ OUT**

Current account in the name of the business	1
Or a personal current account	2
Other (SPECIFY)	95
No dealings with banks/building societies	96
Don't know	97
Refused	98

ASK PANEL ONLY

- H1A) **Have you switched the main bank or building society account you ruse for business purposes in the last 12 months?**

Yes	1
No	2
Don't know	97
Refused	98

ASK TOP-UPS WITH CURRENT ACCOUNTS (H1/1-2), AND PANELISTS SWITCHED (H1A/1)

- H2) **Which is the main bank or financial institution used by your business for its current account? ADD IF NECESSARY: Your answer will be treated in the strictest confidence, BIS only want to know this so that they can better understand how banks are meeting the needs of small businesses. DO NOT READ OUT. SINGLE CODE ONLY. NB: NOTE DIFFERENCE BETWEEN BANK OF SCOTLAND AND ROYAL BANK OF SCOTLAND**

Alliance & Leicester	1
Bank of Ireland	2
Bank of Scotland (HBOS)	3
Barclays	4
Clydesdale Bank	5
Co-operative Bank	6
Danske Bank/Northern Bank	7
First Trust	8
Halifax	9
HSBC	10
Lloyds Bank	11
NatWest	12
Royal Bank of Scotland (RBS)	13
Santander	14
TSB	15
Ulster Bank	16
Other (SPECIFY)	95
Don't know	97
Refused	98

H3 ASK ALL
Are you currently using any of these types of external finance for your business? READ OUT.
 RANDOMISE ORDER OF READING 1-9,95. MULTICODE OK

Bank overdraft facility	1
Commercial mortgage	2
Credit cards	3
Equity Finance, e.g. where a share of the business is sold to investors or other people	4
Factoring/invoice discounting	5
Government or local authority grants or schemes	6
Leasing or hire purchase	7
Loan from a bank, building society or other financial institution	8
Loan from family/business partner/directors/owner	9
Loan from a peer to peer platform	10
Other finance (SPECIFY)	95
None of these	96
Don't know	97
Refused	98

H3a) ASK IF EQUITY FINANCE MENTIONED (H3/4)
Who did you obtain your equity finance from? READ OUT 1-7, 95. M/C 1-7, 95

From a Business Angel?	1
From a Venture Capitalist/VC?	2
From any other third party organisation/ another business?	3
From within your business?	4
From a member of family or a friend?	5
From a crowd funding platform?	6
Public equity (e.g issue of shares on public market)	7
Other form of equity (SPECIFY)	95
Don't know	97
Refused	98

H4) ASK ALL
Have you tried to obtain external finance for your business in the past 12 months? NB: THIS CAN INCLUDE LOANS FROM FRIENDS AND FAMILY AND ACTIVE RE-ARRANGEMENT OF OVERDRAFT FACILITY. SINGLE CODE ONLY. IF YES, PROBE WHETHER TRIED TO OBTAIN EXTERNAL FINANCE ONCE OR MORE THAN ONCE IN THE LAST 12 MONTHS

Yes - once	1
Yes – more than once	2
No	3
Don't know	97
Refused	98

ASK ALL THAT APPLIED IN LAST 12 MONTHS (H4/1-2):

H4a) **Did your business apply for external finance for the first time in the last 12 months, or had you sought external finance before this? SINGLE CODE ONLY**

First time in last 12 months	1
Have sought external finance before this	2
Don't know	97
Refused	98

ASK ALL THAT APPLIED IN LAST 12 MONTHS (H4/1-2):

H5) **Please can you tell me all the types of finance that your business sought in the last 12 months? Please include applications for all types of finance including where you failed to obtain it. Please include renewals and extensions to existing facilities, e.g. to overdrafts, credit cards and loans. PROMPT IF NECESSARY. MULTICODE OK**

Bank overdraft facility	1
Commercial mortgage	2
Credit cards	3
Equity Finance, e.g. where a share of the business is sold to investors or other people	4
Factoring/invoice discounting	5
Government or local authority grant or scheme	6
Leasing or hire purchase	7
Loan from a bank, building society or other financial institution	8
Loan from family/business partner/directors/owner	9
Loan from a Peer to peer platform	10
Other finance (SPECIFY)	95
Don't know	97
Refused	98

ASK IF EQUITY FINANCE MENTIONED (H5/4)

H5a) **Who did you seek equity finance from? READ OUT 1-7, 95. M/C 1-7, 95**

From a Business Angel?	1
From a Venture Capitalist/VC?	2
From any other third party organisation/ another business?	3
From within your business?	4
From a member of family or a friend?	5
From a crowd funding platform?	6
Public equity (e.g issue of shares on public market)	7
Other form of equity (SPECIFY)	95
Don't know	97
Refused	98

H6) ASK ALL THAT NAME TYPE OF FINANCE APPLIED FOR IN LAST 12 MONTHS (H5/1-10, 95):
 (ADD IF H5/1-9, 95 MULTI-CODED: **For each the types of finance you sought in the last 12 months), Please tell me whether you obtained all that you applied for, some but not all, or no finance.** SHOW AND READ OUT EACH TYPE OF FINANCE APPLIED FOR AT H5.

	All	Some	None	Decision pending	Don't know	Refused
(a) Bank overdraft facility	1	2	3	4	97	98
(b) Commercial mortgage	1	2	3	4	97	98
(c) Credit cards	1	2	3	4	97	98
(d) Equity Finance	1	2	3	4	97	98
(e) Factoring/invoice discounting	1	2	3	4	97	98
(f) Government or local authority grants	1	2	3	4	97	98
(g) Leasing or hire purchase	1	2	3	4	97	98
(h) Loan from a bank, building society etc.	1	2	3	4	97	98
(i) Loan from family/business partner/directors/owner	1	2	3	4	97	98
(j) Loan from peer to peer platform	1	2	3	4	97	98
(k) Other finance	1	2	3	4	97	98

H7) ASK ALL THAT OBTAINED NO FINANCE FROM A SOURCE (H6A-K/3):
 (ADD IF H6a-k/3 MULTI-CODED: **For each source), Did you not obtain finance because you turned down the terms and conditions on offer, or was this because the finance was not approved.** SHOW AND READ OUT EACH TYPE NOT GAINED AT H6a-k

	Turned down terms	Finance not approved	Other reason	Don't know	Refused
(a) Bank overdraft facility	1	2	3	97	98
(b) Commercial mortgage	1	2	3	97	98
(c) Credit cards	1	2	3	97	98
(d) Equity Finance	1	2	3	97	98
(e) Factoring/invoice discounting	1	2	3	97	98
(f) Government or local authority grants	1	2	3	97	98
(g) Leasing or hire purchase	1	2	3	97	98
(h) Loan from a bank, building society etc.	1	2	3	97	98
(i) Loan from family/business partner/directors/owner	1	2	3	97	98
(j) Loan from peer to peer platform	1	2	3	97	98
(k) Other finance	1	2	3	97	98

H7a ASK ALL THAT APPLIED IN LAST 12 MONTHS (H4/1-2)
In the last 12 months, what did you try to obtain finance for? Was it... READ OUT AND CODE BOTH OPTIONS

	Yes	No	Don't know	Refused
(i) For working capital or cashflow?	1	2	97	98
(ii) For other reasons?	1	2	97	98

H7b ASK ALL THAT SOUGHT FINANCE FOR OTHER REASONS (H7AII/1)
Did you try and obtain finance in the last 12 months for any of these reasons? READ OUT 1-7, 95. MULTICODE OK

Acquisition of capital equipment or vehicles	1
Buying, renting, leasing or improving buildings or land	2
Investment in a new or significantly improved process	3
Investment in a new or significantly improved goods or services	4
Marketing	5
Staff training or development	6
Any other type of investment in your business (SPECIFY)	7
Other reasons (SPECIFY)	95
Don't know	97
Refused	98

H7c ASK ALL THAT SOUGHT FINANCE FOR INVESTMENT (H7B/1-7)
Of all the investments in your business you undertook in the last 12 months, what proportion was being funded by external finance (as opposed to internal funds)? READ OUT. SINGLE CODE ONLY

0-19 per cent	1
20-39%	2
40-59%	3
60-79%	4
80-99%	5
100%	6
Don't know	97
Refused	98

H7d ASK ALL THAT SOUGHT FINANCE FOR INVESTMENT IN NEW PROCESSES (H7B/3)
Were any of these new or significantly improved processes that you planned to invest in new to your industry, or were they just all new to your business SINGLE CODE ONLY

At least some new to the industry	1
All just new to the business	2
Don't know	97
Refused	98

H7e ASK ALL THAT SOUGHT FINANCE FOR INVESTMENT IN NEW GOODS/SERVICES (H7B/4)
Were any of these new or significantly improved goods or service innovations new to the market, or were they just all new to your business SINGLE CODE ONLY

At least some new to the market	1
All just new to the business	2
Don't know	97
Refused	98

H8 ASK IF SOUGHT FINANCE FOR CASHFLOW (H7ai/1)
Which of these describe the reason for seeking external finance for cashflow? READ OUT.
 MULTICODE OK 1-4, 95

To cover a short term gap until funds were received from customers	1
To cover a short term gap due to unexpected expense e.g. late payment from a supplier	2
As a safety net just in case	3
Working capital to fund general growth	4
Other (SPECIFY)	95
Don't know	96
Refused	97

H9a ASK ALL WHO SOUGHT FINANCE IN THE LAST 12 MONTHS (H4/1-2)
In total, how much external finance did you seek in the last 12 months? (ADD IF H5/1: This includes the size of your overdraft facility, even if you do not use it all.)

RECORD EXACT FIGURE BELOW, IF NOT SURE, ASK FOR AN APPROXIMATE FIGURE.
 ALLOWED RANGE £0-£99,999,999

£									
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Don't know 97
 Refused 98

H9b TO COMPLETE IF FIGURE GIVEN AT H9a
 INTERVIEWERS TO RE-ENTER TURNOVER INTO RANGE. DO NOT ASK. SINGLE CODE ONLY

£0-£9	1
£10-£99	2
£100-£999	3
£1,000-£9,999	4
£10,000-£99,999	5
£100,000-£999,999	6
£1,000,000-£9,999,999	7
£10,000,000-£99,999,999	8

ASK IF DK OR REF AT H9A

H9c **Which of these ranges does the amount of finance that you sought fall into?** READ OUT UNTIL ANSWER GIVEN. SINGLE CODE ONLY

Less than £1,000	1
£1,000 to £4,999	2
£5,000 to £9,999	3
£10,000 to £24,999	4
£25,000 to £49,999	5
£50,000 to £99,999	6
£100,000 to £249,999	7
£250,000 to £499,999	8
£500,000 to £999,999	9
£1 million to £1,999,999	10
£2 million to £3,999,999	11
£4 million to £9,999,999	12
£10 million to £19,999,999	13
£20 million or more	14
Don't know	97
Refused	98

H9d ASK ALL WHO OBTAINED FINANCE IN THE LAST 12 MONTHS (H6A-K/1-2)
And in total, how much external finance did you obtain in the last 12 months? (ADD IF H6a/1: This includes the size of your overdraft facility, even if you do not use it all.)

RECORD EXACT FIGURE BELOW, IF NOT SURE, ASK FOR AN APPROXIMATE FIGURE.
 ALLOWED RANGE £0-£99,999,999

£									
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Don't know 97
 Refused 98

H9e TO COMPLETE IF FIGURE GIVEN AT H9d
 INTERVIEWERS TO RE-ENTER TURNOVER INTO RANGE. DO NOT ASK. SINGLE CODE ONLY

£0-£9	1
£10-£99	2
£100-£999	3
£1,000-£9,999	4
£10,000-£99,999	5
£100,000-£999,999	6
£1,000,000-£9,999,999	7
£10,000,000-£99,999,999	8

ASK IF DK OR REF AT H9d

H9f **Which of these ranges does the amount of finance that you got fall into? READ OUT UNTIL ANSWER GIVEN. SINGLE CODE ONLY**

Less than £1,000	1
£1,000 to £4,999	2
£5,000 to £9,999	3
£10,000 to £24,999	4
£25,000 to £49,999	5
£50,000 to £99,999	6
£100,000 to £249,999	7
£250,000 to £499,999	8
£500,000 to £999,999	9
£1 million to £1,999,999	10
£2 million to £3,999,999	11
£4 million to £9,999,999	12
£10 million to £19,999,999	13
£20 million or more	14
Don't know	97
Refused	98

ASK IF SOUGHT FINANCE FOR INVESTMENT (H7b/1-7) AND OBTAINED SOME BUT NOT ALL OF THE FINANCE THEY SOUGHT (H6a-k/2)

H9g **Of the amount of external finance you sought for investment purposes in the last 12 months, approximately what proportion did you end up obtaining from these external sources? READ OUT UNTIL ANSWER GIVEN. SINGLE CODE ONLY**

0-19 per cent	1
20-39%	2
40-59%	3
60-79%	4
80-99%	5
100%	6
Don't know	97
Refused	98

H9h ASK IF SOUGHT FINANCE FOR INVESTMENT (H7b/1-7) AND OBTAINED SOME OR NONE OF THE FINANCE THEY SOUGHT (H6a-k/2-3). DO NOT ASK IF 100% AT H9g
Which of these describe the impact of not receiving all the external finance you needed for your investment plans? READ OUT. MULTICODE OK 1-4, 95

You received finance from internal sources in order to make the investment as planned	1
You went ahead with the investment, but on a smaller scale than planned	2
You went ahead with the investment, but it was delayed	3
You did not go ahead with the investment at all	4
Other (SPECIFY)	95
There was no impact	
Don't know	97
Refused	98

H9i ASK IF SOUGHT FINANCE FOR CASHFLOW (H7a/1 OR 3) AND OBTAINED SOME BUT NOT ALL OF IT (H6a-k/2)
Of the amount of external finance you sought for cashflow purposes in the last 12 months, approximately what proportion did you end up obtaining from these external sources? READ OUT UNTIL ANSWER GIVEN. SINGLE CODE ONLY

0-19 per cent	1
20-39%	2
40-59%	3
60-79%	4
80-99%	5
100%	6
Don't know	97
Refused	98

H9j ASK IF SOUGHT FINANCE FOR CASHFLOW (H7a/1 OR 3) AND OBTAINED SOME OR NONE OF THE FINANCE THEY SOUGHT (H6a-k/2-3). DO NOT ASK IF 100% AT H9i
Which of these describe the impact of not receiving all the external finance you needed for cashflow? READ OUT. MULTICODE OK 1-5

You paid your suppliers late/ later	1
You paid you staff late	2
You used existing Credit cards	3
You used existing agreed overdraft balance	4
You reduced payment terms for customers	5
Other (SPECIFY)	6
No impact	96
Don't know	97
Refused	98

NO H10-H91

H92 ASK ALL
Can I check, has your business had an application for external finance rejected in the past ten years? PROBE WHETHER ONCE OR MORE THAN ONCE. SINGLE CODE ONLY

Yes - once	1
Yes – more than once	2
No	3
Don't know	97
Refused	98

H93 ASK IF PREVIOUSLY TURNED DOWN FOR FINANCE (H92/1-2)
Can I check, on the last occasion this happened, why do you think this happened? Was it for any of the following reasons? READ OUT. RANDOMISE ORDER OF READING. MULTICODE OK

The credit crunch/economic conditions	1
The lender was not interested in your sector or type of business	2
Low credit rating	3
You had not been in business long enough	4
Insufficient security	5
Size of the request was too large for the lender	6
Your business did not meet minimum criteria or was not considered commercially viable	7
Other reason (SPECIFY)	8
Don't know	97
Refused	98

NO H94

H95 ASK ALL
 (IF APPLIED FOR FINANCE IN LAST 12 MONTHS (H4/1-2)) **Apart from the finance you applied for, did you have a need for more finance in the last 12 months that you did not apply for?**

(IF DID NOT APPLY FOR FINANCE IN LAST 12 MONTHS (H4/NOT 1-2) **Although you did not apply for it, have you had a need for finance in the last 12 months?**

Yes	1
No	2
Don't know	97

H96 ASK IF HAD A NEED FOR FINANCE BUT DID NOT APPLY (H95/1)
Which of these, if any, are reasons why you did not apply for this [ADD IF H4/1-2 additional] finance in the last 12 months? READ OUT. MULTICODE OK

H97 ASK IF MORE THAN ONE ANSWER AT H96
And which of these is the main reason for not applying for finance? READ OUT IF NECESSARY. SINGLE CODE ONLY

	H96	H97
You thought you would be rejected	1	1
You thought it would be too expensive	2	2
You don't want to take on additional risk	3	3
Now is not the right time because of economic conditions	4	4
You didn't know where to find the appropriate finance you needed	5	5
Poor credit history	6	6
The decision would have taken too long/too much hassle	7	7
Other (SPECIFY)	95	95
Don't know	97	97
Refused	98	98

SECTION I: NATIONAL LIVING WAGE

NO 11-17

ASK ALL THAT EMPLOY STAFF (A2>0)

18) **I would now like to talk about the National Living Wage. This came into effect in April and is the legal minimum wage for employees aged 25 and over, currently set at £7.20 an hour.**

Has the National Living Wage had an effect on your organisation's wage bill? SINGLE CODE ONLY

Yes	1
No	2
Don't know	97
Refused	98

ASK IF AFFECTED BY NLW (18/1)

19) **Approximately what percentage of your employees were directly affected by the National Living Wage? WRITE IN**

Enter Proportion (RANGE 0-100%):

Don't know97

Refused 98

ASK IF NOT CURRENTLY AFFECTED BY NLW (18/2)

19a) **If the National Living Wage was set at £7.60 an hour from April 2017, would this then have an effect on your organisation's wage bill? SINGLE CODE ONLY**

Yes	1
No	2
Don't know	97
Refused	98

ASK IF NOT CURRENTLY AFFECTED BY NLW, AND NOT AFFECTED IN 2017 (19a/2)

110) **The Government has an ambition to increase the National Living Wage to around £9.00 an hour in April 2020. Do you envisage the National Living Wage will have an effect on your wage bill by then? READ OUT, SINGLE CODE ONLY**

Yes	1
No	2
Don't know	97
Refused	98

ASK IF ALREADY AFFECTED BY NLW (I8/1)

I11. **How has your organisation managed these additional wage costs so far? Have you done any of the following ...?** READ OUT, MULTICODE OK 1-10

Raised prices	1
Absorbed costs through reduced profits	2
Reduced basic pay for the rest of the workforce	3
Reduced overtime or premium pay	4
Reduced hours worked by staff	5
Reduced staff recruitment	6
Reduced the value of non-pay benefits	7
Made redundancies	8
Improved efficiency or productivity	9
Hired more workers aged 24 and under	10
None of these	96
Don't know	97
Refused	98

ASK ALL EMPLOYERS IN SCOTLAND (A2>0)

I12. **Excluding volunteers, apprentices and interns, are all your employees aged 18 or over paid at or above £8.25 an hour?**

Yes	1
No	2
Don't know	97
Refused	98

ASK IF 'YES' OR 'DON'T KNOW' AT I12

I13. **£8.25 per hour is the living wage, as defined by the Living Wage Foundation, which businesses can choose to pay to all their directly employed staff aged 18 or more on a voluntary basis. This is different from the National Living Wage, which is £7.20 per hour.**

Has your business received accreditation as a living wage employer from the Living Wage Foundation?

Yes	1
No	2
Don't know	97
Refused	98

I14 ASK ALL EMPLOYERS IN SCOTLAND (A2>0)
Does your business offer any of the following working hours arrangements for employees?
 READ OUT. MULTICODE 1-8

Flexitime (flexible working hours)	1
An annualised hours contract	2
Term-time working	3
Job sharing	4
A nine day fortnight	5
A four and a half day week	6
Zero hour contracts	7
On-call working	8
None of these	96
Don't know	97
Refused	98

SECTION J: INNOVATION

- J1) ASK ALL
I'd now like you to think about innovation within your business. Has your business introduced any new or significantly improved goods in the last three years? This excludes the resale of goods purchased from other businesses, or changes of a solely aesthetic nature.

Yes	1
No	2
Don't know	97
Refused	98

- J1a) ASK ALL
Has your business introduced any new or significantly improved services in the last three years?

Yes	1
No	2
Don't know	97
Refused	98

- J2) ASK IF INTRODUCED NEW OR SIGNIFICANTLY IMPROVED GOODS OR SERVICES (J1/1 OR J1a/1)
Were any of these new or significantly improved goods and services innovations new to the market, or were they all just new to your business? SINGLE-CODE.

At least some new to the market	1
All just new to the business	2
Don't know	97
Refused	98

- J3) ASK ALL
Has your business introduced any new or significantly improved processes for producing or supplying goods or services in the last three years?

Yes	1
No	2
Don't know	97
Refused	98

- J4) ASK IF INTRODUCED NEW OR SIGNIFICANTLY IMPROVED PROCESSES (J3/1)
Were any of these new or significantly improved processes new to your industry, or were they all just new to your business? SINGLE-CODE.

At least some new to the industry	1
All just new to the business	2
Don't know	97
Refused	98

NO J5

ASK ALL

J6) **Have you applied for or received R&D tax credits in the last 3 years?** SINGLE-CODE.

Applied for, not received	1
Received	2
Neither applied for nor received	3
Don't know	4
Refused	5

ASK ALL IN NORTHERN IRELAND

J7) **And have you applied for or received Innovation Vouchers in the last 3 years?** SINGLE-CODE.

Applied for, not received	1
Received	2
Neither applied for nor received	3
Don't know	4
Refused	5

SECTION K: BUSINESS SUPPORT

NO K1

ASK ALL

K2) **Now I would like to move on to discuss the sources of advice and information you use when running your business. In the last 12 months have you sought external advice or information on matters affecting your business? We are only interested when this has been more than a casual conversation.**

Yes	1
No	2
Don't know	97

ASK ALL RECEIVING ADVICE/INFORMATION IN ENGLAND AND WALES (K2/1)

K3) **Was the assistance or support that you used.. READ OUT 1-3. SINGLE CODE ONLY**

Information relating to the day to day running of your business?	1
Strategic advice to help introduce a stepped change to grow your business in terms of profitability or numbers employed, or to increase productivity?	2
Both of these?	3
Neither of these	96
Don't know	97

K4) ASK ALL WHO HAVE RECEIVED STRATEGIC ADVICE IN ENGLAND AND WALES (K3 '2-3')
What did you seek strategic advice about in the last year? DO NOT READ OUT. MULTICODE 1-17, 95

K5) ASK ALL WHO HAVE RECEIVED INFORMATION IN ENGLAND OR WALES (K3 '1 OR 3'), OR INFORMATION/ADVICE IN SCOTLAND/NI (K2/1)
 (IF K3/1) **What did you seek information about in the last year? (IF K3 '3') And what else, if anything, did you seek information about in the last year? (IF SCOTLAND/NI: What did you seek information or advice about in the last year?)** DO NOT READ OUT. MULTICODE 1-17, 95

	K4	K5
Business growth	1	1
E-commerce/technology	2	2
Employment law/redundancies	3	3
Exporting	4	4
Financial advice e.g. how and where to get finance	5	5
Financial advice e.g. accounting, for general running of business	6	6
Health and Safety	7	7
Improving business efficiency/productivity	8	8
Innovation	9	9
Legal issues	10	10
Management/leadership development	11	11
Marketing	12	12
Regulations	13	13
Relocation	14	14
Tax/national insurance law and payments	15	15
Training/skills needs	16	16
Workplace pensions	17	17
Other (SPECIFY)	95	95
Don't know	97	97

K6) ASK ALL WHO HAVE RECEIVED STRATEGIC ADVICE IN ENGLAND AND WALES (K3 '2-3')
Where have you been for strategic advice during the last 12 months? DO NOT READ OUT. MULTICODE OK

ASK ALL WHO HAVE RECEIVED INFORMATION IN ENGLAND OR WALES (K3 '1 OR 3'), OR INFORMATION/ADVICE IN SCOTLAND/NI (K2/1)

K7) **Where have you been for information on the running of your business in the last 12 months? (IF K3 '3') And where else, if anywhere, have you been for information on the running of your business in the last year? (IF SCOTLAND/NI: Where have you been for information or advice on the running of your business in the last 12 months?) DO NOT READ OUT. MULTICODE OK**

	K6	K7
Accountant	1	1
Bank	2	2
Business networks/trade associations	3	3
Consultant/general business adviser	4	4
Chamber of Commerce	5	5
(Specialist) financial adviser	6	6
Friend or family member	7	7
.GOV website	8	8
Internet search/google/other websites	9	9
(NORTHERN IRELAND ONLY) Inter-Trade Ireland	10	10
(NORTHERN IRELAND ONLY) Invest NI	11	11
Local Council/Authority	12	12
Local Enterprise Partnerships	13	13
(NORTHERN IRELAND ONLY) NI Business Info website	14	14
Solicitor/lawyer	15	15
The Pensions Regulator	16	16
Universities/other education sector	17	17
Work colleagues	18	18
Other (SPECIFY)	95	95
None/have not sought information or advice/will not seek it	96	96
Don't know	97	97

NO K8-K9

K9a) ASK ALL WHO HAVE RECEIVED STRATEGIC ADVICE IN ENGLAND AND WALES (K3 '2-3')
How was the strategic advice mainly delivered? READ OUT. SINGLE CODE ONLY

Face to face	1
Through a website	2
By email	3
On the phone	4
Social media	5
Other (SPECIFY)	95
Don't know	97

NO K9b-c

K9d) ASK ALL WHO HAD INFORMATION ONLY (K3/1') OR INFORMATION/ADVICE IN SCOTLAND/NI (K2/1)
 (IF K3/1; **How did you find the information that you wanted?**)

(IF SCOTLAND/NI: **How as the information or advice mainly delivered to you?**) READ OUT.
 SINGLE CODE ONLY

Face to face	1
Through a website	2
By email	3
On the phone	4
Social media	5
Other (SPECIFY)	95
Don't know	97

K9e) ASK ALL WHO HAD ADVICE IN ENGLAND AND WALES (K3 '2-3")
Over the past 12 months, approximately how many hours worth of advice do you think you have received? READ OUT

Up to 3 hours	1
More than 3 hours, less than 3 days	2
3 days or more	3
Other (SPECIFY)	95
Don't know	97

NO K10a-b

K10c) ASK IF INFORMATION/ADVICE USED IN SCOTLAND (SCOTLAND AND K2 '1).
Overall how satisfied or dissatisfied are you with the advice or information you received?
 PROBE FOR VERY/FAIRLY (DIS) SATISFIED

Very satisfied	1
Fairly satisfied	2
Neither satisfied nor dissatisfied	3
Fairly dissatisfied	4
Very dissatisfied	5
Don't know	6

K10d) ASK ALL IN NORTHERN IRELAND ONLY
Have you ever approached Invest NI for any form of assistance, including information or guidance, to help develop your business?

Yes	1
No	2
Have not heard of Invest NI	3
Don't know	4

K10e) ASK IF NEVER APPROACHED INVEST NI (K10d/2)
Is there any particular reason why you have not approached Invest NI? WRITE IN

No particular reason	1
Other (SPECIFY)	2
Don't know	3

K10f) ASK ALL THAT APPROACHED INVEST NI (K10d/1)
On the last occasion you approached Invest NI, how satisfied or dissatisfied were you with the information or advice you received? PROMPT AS NECESSARY FOR VERY/FAIRLY (DIS) SATISFIED. SINGLE CODE ONLY

Very satisfied	1
Fairly satisfied	2
Neither satisfied nor dissatisfied	3
Fairly dissatisfied	4
Very dissatisfied	5
Not applicable – did not receive information/advice	96
Don't know	97
Refused	98

NO K11-K12

K12a) ASK ALL WHO HAVE RECEIVED ADVICE IN ENGLAND OR WALES (K3/2-3)
(IF K3/2-3: **Did you pay for the external advice you received?**)

(IF NORTHERN IRELAND): **Did you pay for the information or advice you received?** DO NOT ASK IN SCOTLAND

ADD IF NECESSARY **If you received funding or a grant which fully or partially paid for the information or advice this counts as paying for it...** SINGLE CODE ONLY

	K12a
Yes	1
No	2
Don't know	97

K12b) ASK ALL THAT PAID FOR INFORMATION/ADVICE (K12a/1)
Approximately how much have you paid for external (ADD IF NORTHERN IRELAND: information or) advice in the past 12 months? RECORD EXACT FIGURE BELOW, IF NOT SURE, ASK FOR AN APPROXIMATE FIGURE. ALLOWED RANGE £0-999,999

£							
---	--	--	--	--	--	--	--

Don't know 97
Refused 98

K12c) TO COMPLETE IF FIGURE GIVEN AT K12b
INTERVIEWERS TO RE-ENTER TURNOVER INTO RANGE. DO NOT ASK. SINGLE CODE ONLY

£0-£9	1
£10-£99	2
£100-£999	3
£1,000-£9,999	4
£10,000-£99,999	5
£100,000-£999,999	6

ASK IF DK OR REF AT K12b

K12d) **Which of these ranges describes approximately how much you paid for (ADD IF SCOTLAND/NI: information or) advice in the last 12 months? READ OUT UNTIL ANSWER GIVEN. SINGLE CODE ONLY**

Less than £100	1
£100 - £499	2
£500 - £999	3
£1,000 - £2,499	4
£2,500 - £4,999	5
£5,000 – £9,999	6
£10,000 - £49,999	7
£50,000 - £99,999	8
£100,000 or more	9
Don't know	97
Refused	98

ASK ALL IN ENGLAND AND WALES

K13) **Have you had any opportunities or difficulties, or important information or advice needs that you did not get external advice or support for in the last 12 months?**

Yes	1
No	2
Don't know	97

ASK ALL IN ENGLAND ONLY

K14) **Which of the following have you heard of... READ OUT. MULTICODE 1-3. RANDOMISE ORDER OF READING 1-3**

The Tools for Business section on the dot GOV website	1
[NAME of Local Enterprise Partnership ¹³]	2
[NAME of Local Growth Hub ¹⁴]	3
None of these	4
Don't know	97

¹³ Individual LEP is named, based on sampled postcode

¹⁴ Individual Growth Hub is named, based on sampled LEP

K15) ASK FOR THOSE PEOPLE HAVE HEARD OF AT K14
And in the last 12 months, have you sought information or advice from any of these, or otherwise engaged with them... READ OUT THOSE MENTIONED AT K14. MULTICODE 1-3.

The Tools for Business section on the dot GOV website	1
[NAME of Local Enterprise Partnership]	2
[NAME of Local Growth Hub]	3
No – have not engaged	4
Don't know	97

NO K16-K20

K21 ASK ALL IN SCOTLAND ONLY
Are you aware of the Scottish Business Pledge? IF YES: Is your business signed up to this?
 SINGLE CODE ONLY

Yes – signed up	1
Aware, not signed up	2
No – not aware of it	3
Don't know	97

NO K22-K25

K26 ASK ALL IN SCOTLAND ONLY
Do you consider your business to be actively involved in your local community?

Yes	1
No	2
Don't know	97

SECTION L: PUBLIC SECTOR

- L1) ASK ALL
In the past 12 months, have you expressed an interest in, or bid for, any contract advertised by the public sector?
 SINGLE-CODE

Have expressed an interest but not bid	1
Have bid	2
Neither expressed interest nor bid	3
Don't know	4
Refused	5

- L2) ASK ALL
In the past 12 months, have you actually done any business for the public sector?
 SINGLE-CODE

Yes	1
No	2
Don't know	3
Refused	4

- L3) ASK IF HAVE DONE BUSINESS FOR PUBLIC SECTOR (L2/1)
What part of the public sector was your main customer?
 READ OUT. SINGLE-CODE

UK Departments of State, (but not Ministry of Defence), including Central Government and the MoD	1
(WALES ONLY) National Assembly for Wales/Welsh Government	2
(SCOTLAND ONLY) Scottish Government	3
(NI ONLY) Northern Ireland Government Departments	4
Local authorities e.g. local council	5
Health Service, including Primary, secondary trusts etc.	6
Higher/further education institutions	7
Other [PLEASE SPECIFY]	95
Don't know	97
Refused	98

SECTION M: PAYMENT

M1) ASK ALL
Trade credit gives customers time to pay after they have received the goods or services. Can I ask, do you.....? READ OUT. SINGLE CODE FOR EACH

	Yes	No	Don't know
(a) Give your customers trade credit?	1	2	97
(b) Receive trade credit from your suppliers?	1	2	97

M2). ASK IF GIVE OR RECEIVE CREDIT (M1a/1 OR M1b/1), AND HAVE LESS THAN 50 EMPLOYEES (A2/0-49)
Do you feel that you can satisfactorily resolve a payment dispute with a larger business? By larger business, we mean one with 50 or more employees, and by dispute we mean something you consider to be an unfair payment practice.

Yes	1
No	2
Don't know	97
Refused	98

M2a) ASK ALL THAT GIVE CREDIT (M1a/1), AND HAVE LESS THAN 50 EMPLOYEES (A2/0-49)
Are any of your customers that you give credit to larger businesses, i.e. they have 50 or more employees?

Yes	1
No	2
Don't know	97
Refused	98

M3) ASK ALL THAT GIVE CREDIT (M1a/1)
Do you have a problem with customers paying you later than you require them to in your normal terms of business? PROMPT AS NECESSARY.

Big problem	1
Small problem	2
No problem	3
Don't know	97
Refused	98

M4). ASK ALL THAT GIVE CREDIT TO LARGE BUSINESS CUSTOMERS (M2a/1)
Have you experienced one or more late payments from a larger business customer in the last year? ADD AS NECESSARY: By larger, we mean a business with 50 or more employees

Yes	1
No	2
Don't know	97
Refused	98

M5). ASK ALL THAT EXPERIENCED LATE PAYMENT FROM LARGE BUSINESS CUSTOMER (M4/1)
After your larger business customer (s) paid you late, did you raise a dispute with them?

Yes	1
No	2
Don't know	97
Refused	98

M6). ASK ALL IN SCOTLAND THAT RECEIVE CREDIT (M1b/1)
Does your business engage with the prompt payment code?

Yes	1
No	2
Don't know	97
Refused	98

SECTION N: TRAINING

ASK ALL THAT EMPLOY STAFF (A2>0)

- N1) **Over the past 12 months, has your organisation arranged or funded any off-the-job training or development for employees? By off-the-job training we meaning training away from the individual's immediate work position, whether on your premises or elsewhere.**

Yes	1
No	2
Don't know	97

ASK ALL THAT EMPLOY STAFF (A2>0)

- N1a) **And has your organisation arranged or funded any on-the-job or informal training and development over the last 12 months. By this I mean activities that would be recognised as training by the staff, and not the sort of learning by experience which could take place all the time.**

Yes	1
No	2
Don't know	97

ASK IF PROVIDE TRAINING (N1/1 OR N1a/1)

- N2) **Did any of the managers in the business receive this off-the-job or informal on-the-job training or development during the last 12 months? IF YES: PROBE FOR WHETHER FORMAL OFF THE JOB, INFORMAL ON THE JOB, OR BOTH. SINGLE CODE ONLY**

Yes – off the job	1
Yes – informal on the job	2
Yes - Both	3
No	4
Don't know	97

NO N3-N4

ASK WHERE MANAGERS HAVE RECEIVED ON OR OFF-THE-JOB TRAINING (N2 '1-3')

- N5) **Thinking now about the training or development that managers in the business have received in the last 12 months, what subjects or disciplines did that training or development cover? READ OUT. MULTICODE OK 1-6, 95 RANDOMISE 1-6**

Leadership and management skills	1
IT skills	2
Health and Safety	3
Technical, practical or job-specific skills	4
Financial management	5
Team working skills	6
Other (SPECIFY)	95
Don't know	97

NO N6-N8

ASK ALL THAT EMPLOY STAFF (A2>0)

N9) **Has your business offered any formal apprenticeships in the last three years. By apprenticeship, I mean a paid job that includes training towards an approved apprenticeship standard or framework.**

Yes	1
No	2
Don't know	97
Refused	98

ASK ALL THAT OFFERED APPRENTICESHIPS IN LAST 3 YEARS (N9/1)

N9a) **How many apprenticeship starts has your business had in the past 12 months?**

ENTER NUMBER (RANGE=0-99,999)_____

Don't know / Uncertain ...97
Refused ... 98

N9b) TO COMPLETE IF FIGURE GIVEN AT N9a
INTERVIEWERS TO RE-ENTER NUMBER OF APPRENTICESHIPS INTO RANGE. DO NOT ASK. SINGLE CODE ONLY

0-9	1
10-99	2
100-249	3
250 or more	4

N10) ASK ALL THAT OFFERED APPRENTICESHIPS IN LAST 3 YEARS (N9/1)
Compared to 12 months ago, has the number of apprenticeship starts in your business...READ OUT. SINGLE CODE ONLY

(DO NOT SHOW IF N9a/0) Increased	1
Decreased	2
Or remained about the same	3
Don't know	97
Refused	98

N11) ASK ALL THAT OFFERED APPRENTICESHIPS IN LAST 12 MONTHS (N9a/1+)
Over the next 12 months do you intend to increase, decrease or maintain the number of apprenticeship starts in your business? SINGLE CODE ONLY

Increase	1
Decrease	2
Maintain (numbers remain about the same)	3
Don't know	97
Refused	98

ASK ALL EMPLOYERS THAT DID NOT HAVE APPRENTICESHIPS IN LAST 12 MONTHS A2/1+ AND (NOT N9a/1+)

N11a) **Do you intend to have an apprenticeship start in the next 12 months?**

Yes	1
No	2
Don't know	97
Refused	98

ASK ALL WITH APPRENTICESHIPS IN LAST YEAR (N9a/1+)

N12) **Do you currently make any cash contributions to an external provider towards the cost of apprenticeship training?**

Yes	1
No	2
Don't know	97
Refused	98

ASK ALL THAT EMPLOY STAFF (A2>0) IN SCOTLAND

N13) **Does your business engage with any of the following schemes? READ OUT. MULTICODE 1-3**

Modern apprenticeships, with funding through Skills Development Scotland	1
Investors in Young People	2
50/50 by 2020	3
Developing Young Workforce (DYW) Regional Groups	4
None of these	96
Don't know	97
Refused	98

NO SECTION O

SECTION P: TURNOVER

- P1) ASK ALL
Can you please tell me the approximate turnover of your business in the past 12 months across all your UK sites? RECORD EXACT FIGURE BELOW, IF NOT SURE, ASK FOR AN APPROXIMATE FIGURE. ALLOWED RANGE £0-£99,999,999

£									
---	--	--	--	--	--	--	--	--	--

Don't know 97
 Refused 98

- P1a TO COMPLETE IF FIGURE GIVEN AT P1
 INTERVIEWERS TO RE-ENTER TURNOVER INTO RANGE. DO NOT ASK. SINGLE CODE ONLY

£0-£9	1
£10-£99	2
£100-£999	3
£1,000-£9,999	4
£10,000-£99,999	5
£100,000-£999,999	6
£1,000,000-£9,999,999	7
£10,000,000-£99,999,999	8

- P1b) ASK IF DK OR REF AT P1
Which of these ranges does your turnover fall into? READ OUT UNTIL ANSWER GIVEN. SINGLE CODE ONLY

Less than £82,000	1
£82,000 - £99,999	2
£100,000 - £249,999	3
£250,000 - £499,999	4
£500,000 - £999,999	5
£1m – £1.99m	6
£2m - £2.8m	7
£2.81m - £4.99m	8
£5m - £9.99m	8
£10m - £14.99m	10
£15m - £24.99m	11
£25m or more	12
Don't know	97
Refused	98

P2) ASK ALL TRADING FOR AT LEAST ONE YEAR (A6/NOT '1')
Compared with the previous 12 months, has your turnover in the past 12 months increased, decreased or stayed roughly the same? SINGLE-CODE

Increased	1
Decreased	2
Stayed the same	3
Don't know	97
Refused	98

P3) ASK IF TURNOVER HAS INCREASED / DECREASED (P2/1-2)
By approximately what percentage did your turnover (IF P2/1) increase (IF P2/2) decrease in the past 12 months, compared with the previous 12 months?

Enter percentage (IF DECREASED P2 '2', RANGE = 0-100%; IF INCREASED P2 '1', RANGE = 0-999%)

Don't know97

Refused ... 98

P4) ASK IF DECREASED BY MORE THAN 50% (P2 '2' AND P3 '51-100')
You said that your turnover decreased by (ANSWER AT P3)%. That means your turnover decreased by more than half compared with the previous 12 months. Is that correct?

Yes	1
No	2
Don't know	97
Refused	98

IF NO AT P4, REASK P3

P5) ASK IF INCREASED BY MORE THAN 100% (P2 '1' AND P3 '101-999')
You said that your turnover increased by (ANSWER AT P3)%. That means your turnover has more than doubled compared with the previous 12 months. Is that correct?

Yes	1
No	2
Don't know	97
Refused	98

IF NO AT P5, REASK P3

P6) ASK IF DON'T KNOW HOW MUCH TURNOVER INCREASED/DECREASED AT P3 (P3 '97')
Would you say it [TEXT SUBSTITUTION: (IF P2/1) increased (IF P2/2) decreased] by up to 10%, up to 20% or by more than 20%?

Up to 10%	1
Up to 20%	2
More than 20%	3
Don't know	97

P7) ASK ALL
In the next 12 months do you expect your turnover to increase, decrease, stay roughly the same? SINGLE-CODE

Increase	1
Decrease	2
Stay the same	3
Don't know	97
Refused	98

P8) ASK IF EXPECT TURNOVER TO INCREASE / DECREASE (P7/1-2)
By approximately what percentage do you expect your turnover to (IF P7/1) increase (IF P7/2) decrease in the next 12 months? SINGLE-CODE
 INTERVIEWER NOTE: IF DON'T KNOW, PROMPT WITH BANDS

Enter percentage (IF DECREASE P7 '2', RANGE = 0-100%; IF INCREASE P7 '1', RANGE = 0-999%)

Don't know97
 Refused ... 98

P9) ASK IF EXPECT TO DECREASE BY MORE THAN 50% (P7 '2' AND P8 '51-100'). OTHERS GO TO FILTER AT P10
You said that you expect your turnover to decrease by (ANSWER AT P8). That means you expect your turnover to decrease by more than half what it is now. Is that correct?

Yes	1
No	2
Don't know	97
Refused	98

IF NO AT P9, REASK P8

P10) ASK IF EXPECT TO INCREASE BY MORE THAN 100% (P7 '1' AND P8 '101-999')
You said that you expect your turnover to increased by (ANSWER AT P3. That means you expect your turnover to more than doubled compared with what it was in the last 12 months. Is that correct?

Yes	1
No	2
Don't know	97
Refused	98

IF NO AT P10, REASK P8

P11) ASK IF DON'T KNOW HOW MUCH TURNOVER WILL INCREASE/DECREASE AT P8 (P8 '97')
Would you say it will [TEXT SUBSTITUTION: (IF P7/1) increase (IF P7/2) decrease] by up to 10%, up to 20% or by more than 20%?

Up to 10%	1
Up to 20%	2
More than 20%	3
Don't know	4

P12) ASK ALL
Taking into account all sources of income in the last financial year, did you generate a profit or surplus? SINGLE-CODE

Yes	1
No	2
Don't know	97
Refused	98

NO SECTION Q

SECTION R: FUTURE INTENTIONS

- R1) ASK ALL
I would like to finish off by asking a few questions about the plans for your business over the next three years. Over the next three years, do you aim to grow the sales of your business?
 SINGLE-CODE

Yes	1
No	2

- R1a) ASK ALL THAT INTEND TO GROW (R1/1)
By approximately what percentage do you aim to have grown your sales in three years time?
 READ OUT IF NECESSARY. SINGLE-CODE

1-9%	1
10-24%	2
25-49%	3
50-74%	4
75-99%	5
100% or more	6
Don't know	95
Refused	96

- R2) ASK ALL
How likely is it that you will approach external finance providers in the next three years?
 PROBE FOR VERY/FAIRLY/NOT VERY LIKELY/NOT AT ALL LIKELY

Very likely	1
Fairly likely	2
Not very likely	3
Not at all likely	4
Don't know	97

- R3) ASK ALL
Do you anticipate the closure, or a full transfer of the ownership of your business in the next three years? SINGLE-CODE, PROMPT AS NECESSARY

Yes, I anticipate the closure of the business	1
Yes, I anticipate a full transfer of the ownership of my business	2
No	3
Don't know	97

ASK BUSINESSES THAT WILL TRANSFER (R3/2)

R3a) **Will the ownership of your business transfer partly or wholly to somebody within your own family, or to somebody else?** SINGLE-CODE, PROMPT AS NECESSARY

Own family	1
Somebody else	2
Don't know	97
Refused	98

ASK ALL

R4) **Does your business plan to do any of the following over the next three years?** READ OUT. MULTICODE. RANDOMISE ORDER OF ASKING

Increase the skills of the workforce	1
Increase the leadership capability of managers	2
Capital investment (in premises, machinery etc.)	3
Develop and launch new products/services	4
Introduce new working practices	5
Sell to overseas markets that are new for your business	6
None of these	96
Don't know	97
Refused	98

ASK ALL

R5) **Has the result of the EU referendum impacted on plans that you previously had for the business, whether positively or negatively?**

Yes	1
No	2
Don't know	97
Refused	98

ASK ALL AFFECTED BY EU REFERENDUM (R5/1)

R6) **In which of the following areas have your plans been affected by the referendum?** READ OUT 1-6. RANDOMISE ORDER OF READING 1-6. MULTICODE OK

Overseas sales	1
Future employment levels	2
Development or launch of new products/services	4
Staff training	5
Capital investment in your business	6
None of these	96
Don't know	97
Refused	98

R7) ASK ALL AFFECTED BY EU REFERENDUM (R5/1)
Overall, are your plans now...? READ OUT. SINGLE CODE ONLY

Be On the same scale as before the referendum?	1
Be On a larger scale?	2
Be On a smaller scale?	3
Have you abandoned these plans altogether?	4
Don't know	97
Refused	98

R8) ASK ALL AFFECTED BY EU REFERENDUM (R5/1), EXCEPT IF ABANDONED PLANS
 ALTOGETHER (R9/4)
And will your plans occur...? READ OUT. SINGLE CODE ONLY

At about the same time that you had envisaged previously?	1
Sooner than you previously thought?	2
Or later than you previously thought?	3
Don't know	97
Refused	98

R9) ASK ALL
Overall, how beneficial or detrimental would UK exit from the EU be to your business? PROBE
 FOR VERY/FAIRLY BENEFICIAL/DETRIMENTAL

Very beneficial	1
Fairly beneficial	2
Neither beneficial nor detrimental	3
Fairly detrimental	4
Very detrimental	5
Don't know	97
Refused	98

NO SECTIONS S-T

SECTION U: END

U1) ASK ALL
The Department for Business, Energy and Industrial Strategy would like to carry out a further survey in about a year’s time, to see how your business is progressing. Would you be willing to help with that research? SINGLE-CODE

Yes	1
No	2
Maybe	97

U1c) ASK TOP-UPS, OR IF INTERVIEWED DIFFERENT RESPONDENT FROM 2015 (INTRO 2)
Would you like us to email you a link to the survey report when it is published on the internet early next year?

Yes	1
No	2

U1a) ASK TOP-UPS, IF INTERVIEWED DIFFERENT RESPONDENT FROM 2015 (INTRO 2), OR IF DID NOT SUPPLY ALTERNATIVE NUMBER IN 2015 – ONLY ASK IF AGREE TO REINTERVIEW AT U1
Is there an alternative number we might try next year (ADD IF LANDLINE: such as a mobile) in case we can’t reach you on this one?

ENTER NUMBER TWICE. IF DO NOT MATCH, RE-ENTER

No number 96
 Refused 98

U1b) ASK TOP-UPS, IF INTERVIEWED DIFFERENT RESPONDENT FROM 2015 (INTRO 2), OR IF DID NOT SUPPLY EMAIL IN 2015 – ONLY ASK IF AGREE TO REINTERVIEW AT U1
Could I take your email address please? (ADD IF NOT U1c/1: This is so we can give you notice of when the survey takes place next year)

ENTER EMAIL ADDRESS TWICE IF DO NOT MATCH, RE-ENTER

No email 96
 Refused 98

ASK TOP-UPS, IF INTERVIEWED DIFFERENT RESPONDENT FROM 2015 (INTRO 2), OR IF DID NOT AGREE TO LINKAGE IN 2015

U2) **Would it be possible for BEIS to link your responses to other information that you have provided previously to the Government? By this data linkage, we can reduce the burden of our surveys on your business and can improve the evidence that we use.**

ADD IF NECESSARY

Data will only be used to inform research on businesses in aggregate - we will never release information that identifies any individual business - and your survey responses remain strictly confidential. Do you give your consent for us to do this?

Yes	1
No	2

On behalf of the Department for Business, Energy and Industrial Strategy, thank you very much for your time. If you have any queries you can contact Emma Parry at BMG Research

NO U3-U4

ASK TOP-UPS, OR IF INTERVIEWED DIFFERENT RESPONDENT FROM 2015 (INTRO 2)
INTERVIEWER TO RECORD WHETHER THE RESPONDENT IS A MAN OR A WOMAN

U5)

Man	1
Woman	2



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