



Longitudinal Small Business Survey: technical report

30 September 2021

What you need to know about this report

This report contains technical details about the Longitudinal Small Business Survey, focusing on the sixth wave that was conducted in 2020. Technical reports have been published for the previous five waves and are available with the rest of the reports in the [small business survey collection page](#) on the BEIS statistics website.

There is information on the sampling process, response rates, weighting, sampling uncertainty (including standard errors and design effects) and the definition of some key derived variables.

The questionnaire used in the 2020 survey is also included in full.

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Overview of survey method

Questionnaire design

A review of the 2020 questionnaire was undertaken through consultations with stakeholders before the 2020 survey. This resulted in several alterations to existing questions from previous surveys, new question additions and deletions. The changes were informed by the requirement to balance stakeholders' emergent needs in particularly in relation to the coronavirus (COVID-19) pandemic with the desire to exploit the longitudinal power of the survey. The consultation was followed up by a 'live' pilot of 50 interviews of the adjusted year six questionnaire.

'Panel' interviews

Of the 11,002 interviews conducted in 2019, 9,378 (85%) agreed to a follow-up interview. The objective was to obtain the highest possible number of repeat interviews with these panellists. 4,764 were interviewed between September 2020 and April 2021 (51% response rate, down from 53% in the 2019 survey, which was also down from 68% in the 2018 survey). Of these, 1,264 had no employees, 14 were large businesses with 250+ employees, and the remainder (3,486) were SME employers. This group is known as the 'full panel'.

In addition, 4,830 businesses interviewed from 2015 to 2018 but not in 2019 could be re-approached for interview (they had given permission for re-interview and had not refused to take part between 2015 and 2018 and had not ceased trading). 617 of these were interviewed in 2020, a response rate of 13% (down from 21% in 2019), of which 424 were SME employers, and 3 were large businesses with 250+ employees. This group is known as the 'past panel'.

Top-up interviews

In addition to these, 2,255 'top-up' interviews were conducted (1,687 of which were SME employers). As a result, the total sample size in the 2020 survey was 7,636, of which 5,597 were SME employers:

The top-ups were sampled using a method consistent with the 2015 to 2019 surveys:

- within each of the four UK nations the sample was stratified. Targets were set according to the employment size of enterprises and, within those targets, by 1 digit sector (SIC 2007)
- 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 no employees, a database from the commercial database provider Experian was used. These contacts were screened out if they either had employees on their payroll or paid VAT, as these would have duplicated

contacts found within the IDBR

- the IDBR is a record of all UK enterprises that pay VAT or PAYE, which contains around 2.65 million unique entries for enterprises. The BEIS Business Population Estimates (BPE) publication estimates around 6 million enterprises in the UK in total. The difference in the figures is explained by the number of unregistered enterprises that do not pay VAT or PAYE, estimates of which derive from the Labour Force Survey (LFS). This is the reason why an alternative database was retained as the source for top-up 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 2019 Business Population Estimates (BPE)¹, the latest available at the time. However, survey findings were weighted to the 2020 BPE² which became available towards the end of fieldwork. The 2020 BPE was used for weighting as it more accurately represented the IDBR contacts used for the survey, as well as providing a more up-to-date picture of UK small businesses than the 2019 BPE
- A 336-cell sample stratification matrix was devised, the targets within each cell informed by the 2019 BPE. These cells were as follows:
 - 14 '1-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 employees, 1-4 employees, 5-9 employees, 10-49 employees, 50-249 employees) = 84
 - multiplied by four nations (England, Scotland, Wales, Northern Ireland) = 336

Once the sample was drawn, informed by differential likely tele-matching success rates for each cell (based upon experience from the 2015 to 2019 surveys), no quotas were employed on size, sector or any other criteria except for country, where Northern Ireland was boosted above its actual proportion in the business population.

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

¹ <https://www.gov.uk/government/statistics/business-population-estimates-2019>. 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.

² <https://www.gov.uk/government/statistics/business-population-estimates-2020>. Method of data collection as above.

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 'Public Corporation or Nationalised Industry, Central Government and Local Authority'
 - those indicated to have zero employees and zero employment³ (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 Years 1 to 5, 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) and 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' records⁴ among those selected. To cope with remaining duplication, de-duplication occurred on the following:
 - Where the business was 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.

³ The 'employees' and 'employment' fields in the IDBR can differ. 'Employees' refers to the numbers employed that are not owners/partners. 'Employment' refers to the number within the organisation for whom PAYE is paid, which also includes working owners and partners.

⁴ These records have separate reference numbers in the IDBR from each other and as such are counted as discrete 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 tend to be registered at the same address.

- 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-tele matched’. 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 in points 4 to 7 was repeated until targets for ‘sample drawn with telephone numbers’ were reached.

Overall, 149,667 records were sampled to produce 70,604 records with telephone numbers that could be used for the survey. This represented a matching rate of 47%, with the match rate being higher the larger the SME. Full details on matching rates are given in the next section of this report.

Sampling process – Unregistered zero employees’ sample

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 Experian, a commercial database provider. 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 (by trading name, telephone number, and address) against those interviewed in the 2015 to 2019 LSBS surveys. There was also de-duplication against the IDBR, based on name and postcode of enterprise.

A total of 9,619 contacts were loaded to achieve 253 interviews, a response rate of 2.6%.

It is not clear how these are populated (a mix of Companies House data, annual account returns, trade directories and other sources), but suffice to say that Experian does have contact details for unregistered zero employee non-VAT paying businesses that are not included in the IDBR.

Sample cohorts

One of the main reasons given by respondents who do not want to participate in LSBS is that the interview length is too long. In 2018, BEIS made a commitment to bring down the average interview length and this procedure was again used in year six.

To help boost response rates and reduce the burden on respondents, three cohorts (A, B and C) were created. Each cohort was exclusively asked a series of non-key questions. For example, only cohort A was asked questions on business energy usage, awareness and usage of LEPs, credit and late payment and apprenticeships. Cohorts were selected at random upon reaching a point in the interview after section C. The use of this system helped to bring down the overall average interview length to 19 minutes for panellists and 25 minutes for top-ups.

Detailed analysis

Achieved interviews

The table below shows the number of achieved interviews in 2020, according to their source (full panel, past panel⁵, IDBR or unregistered zeros).

Table 1: 2020 achieved interviews – by employment size and sample source

Detailed size	Total	Full Panel	Past Panel	IDBR Top-up	Unreg zeros top-up
Zero unregistered	727	413	6	-	254
Zero registered	1,295	851	130	314	-
1-4 employees (micros)	1,743	1,171	145	427	-
5-9 employees (micros)	1,031	677	64	290	-
10-19 employees (small)	1,043	612	79	352	-
20-49 employees (small)	886	520	77	289	-
50-99 employees (medium)	570	315	30	225	-
100-249 employees (medium)	324	191	29	104	-
250+ employees (large) ⁶	17	14	3	-	-
Broad size band					
Zero employees	2,022	1,264	190	314	254
Micros (1-9)	2,774	1,848	209	717	-
Small (10-49)	1,929	1,132	156	641	-
Medium (50-249)	894	506	59	329	-
Large (250+)	17	14	3	0	-
Total	7,636	4,750	614	2,001	254

No quotas were employed in the survey (other than on overall sample size, and in Scotland and Northern Ireland where it was intended that the number of interviews were to be boosted).

The table above shows the actual employment size bands in 2020, as confirmed by respondents in the 2020 survey. This is different from indicated employment size bands, that is, those recorded in 2019 for the full panel, 2015 to 2019 for the past panel, and those indicated by the IDBR and Experian databases for the top-ups.

The table below shows achieved interviews by sector and nation.

⁵ Past panel = Interviewed in 2015-18, but not in 2019. 'Full panel' refers to those interviewed in both 2018 and 2019.

⁶ These businesses had less than 250 employees when first interviewed in 2015-19. They were interviewed in 2020 for longitudinal purposes. Their data does not appear in the cross-sectional 2020 reports.

Table 2: 2020 achieved interviews – by sector, nation and sample source

Sector (SIC 2007)	Total	Full Panel	Past Panel	IDBR top-up	Unreg zeros top-up
ABDE Primary	314	209	21	83	1
C Manufacturing	735	504	71	156	4
F Construction	773	427	75	261	10
G Wholesale and Retail	1,187	709	95	367	16
H Transport and Storage	270	165	27	76	2
I Accommodation and Food	615	315	46	248	6
J Information and Communication	441	302	34	101	4
KL Financial and Real Estate	353	219	25	107	2
M Professional and Scientific	1,155	778	86	231	60
N Administrative and Support	616	388	39	170	19
P Education	207	153	16	18	20
Q Health and Social Work	471	303	43	84	41
R Arts and Entertainment	209	121	17	43	28
S Other Service	290	171	22	56	41
Nation					
England	6,205	3,945	535	1,493	232
Scotland	667	456	41	163	7
Wales	271	183	16	68	4
Northern Ireland	493	180	25	277	11
Total	7,636	4,764	617	2,001	254

The proportion of interviews in each sector that were top-ups varies. This was because of differential response rates in the 2019 survey. For example, the 2019 response rate was lower than average in sectors F (construction), I (accommodation and food), N (administrative and support) and R (arts and entertainment), meaning that there were fewer panellists available in these sectors in 2020, and this means higher targets for top-ups.

Furthermore, due to temporary (and permanent) business closures during the coronavirus (Covid-19) pandemic, which particularly affected retail, hospitality and leisure-centred sectors, the 2020 response rate was lower than average in sectors I (accommodation and food), H (transport and storage), R (arts and entertainment) and S (other services).

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

Tele-matching the IDBR

After de-duplication, a total of 149,667 IDBR records were made available for the next stage of tele-matching (see column 2 in table below).

In total, these IDBR records sampled already contained 24,892 telephone numbers (17% of all available records). By size, this was much more likely to be the case for medium-sized businesses (50%), and much less likely for those indicated to have no employees (3%)⁷. See table 3 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 3: Tele-matching (IDBR top-ups only) – by employment size

Size band	All	Number on IDBR	% all	Auto Tele-match	% all	Manual match	% all	No match found	Total number found	% all
Zero	48,410	1,461	3	9,607	20	0	0	37,342	11,068	23
One to 4	28,485	1,651	6	8,095	28	0	0	18,739	9,746	34
Five to 9	13,459	1,227	9	5,512	41	0	0	6,720	6,739	50
Ten to 49	40,078	11,002	27	15,972	40	0	0	13,104	26,974	67
50 to 249	19,235	9,551	50	6,526	34	0	0	3,158	16,077	84
Total	149,667	24,892	17	45,712	31	0	0	79,063	70,604	47

The second stage of tele-matching 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 45,712 numbers (31% of all available).

Overall, 70,604 records were matched via this three-stage process (47%). There was a great deal of variation in matching success rates by size. This year 23% of zero employee records were matched, 34% of those with 1-4 employees, 50% of those with 5-9 employees, 67% of small businesses, and 84% of medium-sized businesses.

⁷ In previous LSBS surveys a strong correlation by age of business was also evident, e.g. in 2017 only 4% of IDBR top-up businesses aged 0-1 years had numbers on the IDBR and only 16% of businesses aged 2-5 years, compared with 38% of those aged 16 years or more. As age of business does not form part of the sampling process, and there is now a requirement to delete the IDBR on completion of fieldwork. The fieldwork in 2020 was carried out later and went beyond the allowed retention period; it was therefore not possible to do this analysis for the 2020 survey.

Compared with 2019, the overall matching process appeared less successful (78% in 2019). While in 2019 technological and automation improvements in the auto searching process resulted in an almost doubling of the numbers matched compared with 2018, the proportion that were actually wrong or unobtainable numbers increased significantly. The 2020 tele-matching process returned to stricter criteria (the company name had to be a close match and the postcode also a close match for the system to return a number). Although fewer records were tele-matched, there was a higher level of accuracy. Due to the larger number of IDBR records available, even with a lower proportion of tele-matching, there were sufficient records available following automated matching. The proportion with phone numbers in the IDBR was similar in 2020 (17%, compared with 16% in 2019), but the absolute number available exceeded that of 2019 (24,892, compared with 16,743).

Table 4: Tele-matching (IDBR top-ups only) – by sector

Sector	All	Number on IDBR	% all	Auto Tele-match	% all	Manual match	% all	No match found	Total number found	% all
ABDE Primary	10,382	468	5	1,928	19	0	0	7,986	2,396	23
C Manufacturing	8,367	2,903	35	2,907	35	0	0	2,557	5,810	69
F Construction	20,440	2,374	12	6,816	33	0	0	11,250	9,190	45
G Whole/Retail	20,875	4,368	21	7,974	38	0	0	8,533	12,342	59
H Trans.	7,129	919	13	1,389	19	0	0	4,821	2,308	32
I Accom/Food	17,204	3,217	19	5,571	32	0	0	8,416	8,788	51
J Info/Com	10,834	940	9	2,537	23	0	0	7,357	3,477	32
KL Fin/RE	7,612	1,468	19	2,265	30	0	0	3,879	3,733	49
M Professional	16,203	2,224	14	4,816	30	0	0	9,163	7,040	43
N Admin.	13,883	2,138	15	4,154	30	0	0	7,591	6,292	45
P Educ.	1,411	404	29	354	25	0	0	653	758	54
Q Health	7,279	2,013	28	2,232	31	0	0	3,034	4,245	58
R Arts	3,746	795	21	1,157	31	0	0	1,794	1,952	52
S Other	4,302	661	15	1,612	37	0	0	2,029	2,273	53
Total	149,667	24,892	17	45,712	31			79,063	70,604	47

By sector, tele-matching was most successful in C (manufacturing), G (wholesale and retail) and Q (health). This correlates with higher-than-average proportions of small and medium businesses within these sectors. Matching was least successful in ABDE (primary), H (transport and storage) and J (information and communication) sectors.

Response rates – Full panellists

Of the 11,002 interviews conducted in 2019, 9,378 (85%) agreed to a follow-up interview. The objective was to obtain the highest possible number of repeat interviews with these 'full' panellists in the 2020 LSBS.

Table 5: Response rates – full panel

	Panellists – All contacts loaded	% response rate
Completed - telephone (CATI)	4,580	48.8
Completed – online (CAWI)	196	2.1
Total completed	4,776	50.9
Appointments	65	0.7
Quits	252	2.7
Refusals	1,950	20.8
Refusals relating to Covid-19	366	3.9
Not available during fieldwork	28	0.3
GDPR request to remove contact	82	0.9
Total contacted	7,519	80.2
Ring backs	1,400	14.9
Screen outs	86	0.9
Total live contacts	9,005	96.0
Business no longer trading	89	0.9
Wrong number	107	1.1
Unobtainable number	177	1.9
Total loaded	9,378	100

Out of the 9,378 full panel contacts loaded into CATI, 4,776 interviews were achieved, a response rate of 51%. This was lower than in 2019 (53%) and compares to a significantly higher response rate in 2018 of 67%. In 2019 the reduced response rate was attributed to the number of new panellists made available after the large boost of top up records conducted in 2018 (Year 4), while the 2020 response rate reflects difficulties in reaching named panel contacts during the coronavirus (Covid-19) pandemic. 'Gatekeeper' refusals represented more than half of all refusals (54%; 11% of contact outcomes). In these cases, it was not possible to give the person who had agreed to further interviews the opportunity to do so by telephone. Where possible email invitations were issued to these contacts and 196 surveys were completed online.

The majority of contacts still left at the end of fieldwork were 'ring backs', that is 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.

Some 158 businesses were classified as ‘business no longer trading’. This number combines those who told the interviewer that their business had closed but did not want to take part in the short interview, and incorrect and unobtainable numbers that, when the business was looked up on the Companies House website, were shown to have been liquidated. In addition to these businesses no longer trading, it is likely that at least some of those with an outcome of wrong or unobtainable number have also liquidated, though this could not be verified in many cases.

Response rates – Full panellists, by sub-groups

The overall response rate for panellists varied by size and sector, as the table below summarises. These figures relate to full interviews gained as a proportion of contacts loaded, that is those agreeing to take part in a further interview in LSBS 2020 (Year 6). The size band and sector refer to the situation in 2020.

Table 6: Response rates – full panellists by size and sector

Sector (SIC 2007)	Employee size band						% Total
	% Zero unreg-istered	% Zero reg-istered	% Micro 1 to 4	% Micro 5 to 9	% Small 10 to 49	% Medium 50 to 249 (inc. Large 250+)	
ABDE Primary	67	69	78	63	45	39	64
C Manufacturing	50	80	54	60	52	42	53
F Construction	49	50	47	50	44	31	46
G Wholesale and Retail	41	66	51	46	45	37	47
H Transport and Storage	40	67	44	56	48	22	44
I Accommodation and Food Service	44	73	57	45	37	25	42
J Information and Communication	62	59	68	61	46	20	55
K Financial and Real estate	48	69	73	52	47	27	56
M Professional and Scientific	62	74	71	59	39	36	59
N Administrative	44	76	62	60	44	34	51
P Education	44	87	63	96	55	62	61
Q Human Health	40	67	77	53	48	45	49
R Arts and Entertainment	44	68	61	45	38	27	46
S Other Services	36	66	48	57	30	45	44
TOTAL	48	68	59	53	44	36	51

The overall response rate was lower in all sectors during 2020 when compared to the previous year.

Medium-sized businesses saw the lowest response rate of 36%, a 12 percentage point reduction from 2019.

By sector, the response rate was highest in the education (61%) and professional and scientific sectors (59%). Accommodation and Food service sector recorded the lowest panellist response rate with 42%, a reduction of 5 percentage points from 2019.

In 2020, 99% of full panel interviews were conducted with the same person that took part in the 2019 LSBS. The 1% conducted with different individuals occurred mainly because the previous respondent had left the business.

Overall, 12.3% of full panellists either refused to take part in the 2020 LSBS or quit the interview. This refusal rate was similar to that of the 2019 LSBS (12.8%). A further 11.2% of full panellists were not able to be directly contacted and a 'gatekeeper' refused on their behalf.

Response rates – Past panel

In addition, 4,817 businesses interviewed between 2015 and 2018 but not in 2019 could be re-approached for interview (that is, they had given permission for re-interview and had not refused to take part in 2015 to 2018 and had not ceased trading). Of these, 618 were interviewed in 2020, a response rate of 13%, (down from 20% in 2019 and 27% in 2018), of which 427 were SME employers.

Table 7: Response rates – Past panel

	Past panel	% Response rate
Completed - telephone (CATI)	618	12.8
Total completed	618	12.8
Appointments	21	0.4
Quits	46	1.0
Refusals	317	6.6
Refusals relating to Covid-19	228	4.7
Not available during fieldwork	15	0.3
GDPR request to remove contact	23	0.5
Total contacted	1,268	26.3
Ring backs	3172	65.9
Screen outs	15	0.3
Total live contacts	4,455	92.5
Business no longer trading	94	2.0
Wrong number	66	1.4
Unobtainable number	202	4.2
Total loaded	4,817	100

Because it was not possible to interview this group in 2019, the overall response rate for past panellists was lower than for full panellists.

The number of ring backs, most of which were occasions when nobody picked up the phone or answerphones were encountered, was much higher for the past panel (66%), than for the full panel (15%).

Response rates – IDBR top-ups

As described earlier, 70,604 IDBR boost contacts were loaded into CATI, and out of these 2,007 interviews were achieved, a response rate of 2.8%. In comparison to 2019, this is around one-percentage point lower. This, coupled with the higher proportion of ring backs in 2020 compared with 2019, can be attributed to the difficulties in reaching businesses, and the right person within businesses, during the coronavirus (Covid-19) pandemic. During the pandemic some businesses have been temporarily closed, while others have been operating from another location – generally a home.

Table 8: Response rates – IDBR top-ups

	IDBR top-ups – All contacts loaded	% Response rate
Completed - telephone (CATI)	2,007	2.8
Total completed	2,007	2.8
Appointments	84	0.1
Quits	1,556	2.2
Refusals	9,035	12.8
Refusals relating to Covid-19	2,504	3.5
Not available during fieldwork	1,282	1.8
GDPR request to remove contact	251	0.4
Total contacted	16,719	23.7
Ring backs	43,796	62.0
Screen outs	1,343	1.9
Total live contacts	45,139	63.9
Business no longer trading	2,272	3.2
Wrong number	1,874	2.7
Unobtainable number	4,600	6.5
Total loaded	70,604	100.0

The LSBS questionnaire for top-up 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 why there are screen outs and wrong numbers.

In comparison to 2019, the refusal rate was similar (down 0.5%), but a further 3.5% of interview requests were refused for reasons relating to coronavirus (Covid-19) pandemic. This included (although not limited to) being unwell (and requesting no further contact), working remotely and not able to contact, and being furloughed – with the possibility of contact in the future. A relatively small proportion of contacts were with businesses that were no longer trading. However, this number is likely to have been higher than this, but ‘hidden’ amongst ring backs and unobtainable numbers.

It should be noted that, due to the uneven impact of the coronavirus (Covid-19) pandemic and the varying degrees to which social and trading restrictions were applied to businesses by sector, the number of achieved interviews was capped within those sectors less likely to be subject to reduced and suspended trading. This was to ensure the ongoing representativeness of the sample and safeguard the integrity of the panel profile for future years. As a result, some records were ‘retired’ from calling earlier than would normally be the case, and this has increased the proportion of live contacts in the final call outcomes.

Response rates – Unregistered businesses without employees

In total, 9,619 contacts sourced from Experian (a commercial database provider) were used, in order to gain 253 interviews. This was a response rate of 2.6% of all contacts loaded, down from 5.8% in 2019, the lowest response rate recorded for this source of contact sample in the past four years.

Table 9: Response rates – Unregistered zeros - top-ups

	Unregistered zeros – All contacts loaded	% Response rate
Completed - telephone (CATI)	253	2.6
Total completed	253	2.6
Appointments	0	0.0
Quits	2	0.0
Refusals	1,312	13.6
Refusals relating to Covid-19	96	1.0
Not available during fieldwork	28	0.3
GDPR request to remove contact	59	0.6
Total contacted	1,750	18.2
Ring backs	5,692	59.2
Screen outs	464	4.8
Total live contacts	6,156	64.0
Business no longer trading	262	2.7
Wrong number	218	2.3
Unobtainable number	1,233	12.8
Total loaded	9,619	100.0

Compared with 2019, the proportion of unobtainable numbers was higher, increasing from 2.8% to 12.8%, but wrong numbers and businesses no longer trading outcomes were lower (2.3% and 2.7% respectively compares with 3.5% and 4.7% respectively in 2019). This suggests that unobtainable numbers may include businesses that are no longer trading or have moved location either temporarily or permanently, perhaps relocating because of the coronavirus (Covid-19) pandemic.

The higher number of records obtained for the unregistered zero employees sample compared with previous years, supports the decision taken to acquire contacts from Experian rather than from Dun and Bradstreet (as in the past).

Records for unregistered businesses were subject to the same quota caps as the IDBR top ups. Thus, some ring backs were suspended from calling and 'parked'.

Data weighting (cross-sectional)

Although the sample stratification was based on the 2019 [Business Population Estimates](#) (BPE), the cross-sectional survey findings were weighted to the 2020 BPE which had become available by 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, which had been the weighting method in the 2015 LSBS. Instead, as was also the case in the 2016, 2017, 2018 and 2019 surveys, the 336-cell matrix was used (sector within size band within nation), the estimate within each cell informed by the 2020 BPE. In Wales, Scotland and Northern Ireland, where the sample sizes were smaller than in England, some cells were unpopulated. In these cases, the cells needed to be merged with adjacent sector cells to create a new combined target.

Because of the over-sampling of SME employers, 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.

In 2020, high weighting factors (10+) were mitigated by merging the equivalent sample/population cells with an adjacent cell, thus reducing extreme values and more evenly distributing them. This was generally limited to zero unregistered and zero registered businesses; but there was one incidence relating to micro 1-4 /micro 5-9 employers. This strategy has eliminated the need for capping the weights, which is how high weighting factors had been addressed in previous surveys.

Cell weighting occurred within each of the 336 strata (sector within size band within nation). Table 10 shows 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 all UK level, rather than individually within nation.

Table 10: Weighted and unweighted proportions of all SME⁸ interviews – businesses without 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	0.1	0.5	1.3	1.7	1.2	0.8	0.4	0.2
C - Manufacturing	0.4	2.4	1.1	0.8	1.4	0.7	1.3	0.3
F - Construction	0.8	4.1	2.0	9.6	2.9	2.2	1.5	0.5
G - Wholesale and Retail	0.7	2.8	2.1	2.5	3.4	2.4	2.8	0.9
H – Transport and Storage	0.2	1.5	0.6	3.3	0.7	0.5	0.4	0.2
I - Accommodation and Food	0.2	1.1	0.4	0.3	1.7	1.2	1.6	0.6
J - Information and Communication	0.6	2.4	1.7	2.4	1.6	1.1	0.6	0.2
KL - Financial and Real estate	0.3	1.2	0.9	1.4	1.4	0.8	0.7	0.2
M - Professional and Scientific	2.1	6.9	4.1	4.6	3.9	2.4	1.4	0.5
N – Administrative and Support	0.7	5.0	1.2	1.7	2.1	1.5	1.1	0.4
P - Education	0.7	4.7	0.3	0.3	0.3	0.2	0.4	0.1
Q - Health and Social work	1.0	4.8	0.3	0.4	0.6	0.4	0.6	0.2
R - Arts/ Entertainment	0.8	4.1	0.4	0.6	0.4	0.3	0.3	0.1
S - Other service	1.0	4.7	0.4	0.4	1.3	0.8	0.6	0.2
Total	9.5	46.2	17.0	30.0	22.9	15.2	13.5	4.4
Average overall weight	\bar{x} 4.8		\bar{x} 1.77		\bar{x} 0.66		\bar{x} 0.33	

⁸ Note that those that were large businesses in 2020 (250+ employees) were not given weights, and do not appear in the cross-sectional report. These were retained in the database for longitudinal analysis purposes only.

Table 11: 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	0.7	0.1	0.3	0.0	4.1	3.3
C - Manufacturing	3.0	0.4	2.4	0.1	9.6	4.7
F - Construction	2.3	0.3	0.7	0.0	10.1	16.8
G - Wholesale and Retail	4.7	0.6	1.9	0.1	15.6	9.3
H - Transport and Storage	1.1	0.1	0.5	0.0	3.5	5.7
I - Accommodation and Food	3.4	0.5	0.8	0.1	8.0	3.8
J - Information and Communication	0.9	0.2	0.3	0.0	5.8	6.3
KL - Financial and Real estate	1.0	0.1	0.4	0.0	4.6	3.7
M - Professional and Scientific	2.6	0.4	1.2	0.1	15.2	14.8
N - Administrative and Support	1.7	0.3	1.2	0.1	8.0	8.9
P - Education	0.6	0.1	0.3	0.0	2.7	5.3
Q - Health and Social work	2.3	0.3	1.4	0.1	6.1	6.1
R - Arts and Entertainment	0.5	0.1	0.3	0.0	2.7	5.2
S - Other service	0.5	0.1	0.1	0.0	3.8	6.2
Total	25.3	3.6	11.7	0.6	100.0	100.0
Average overall weight	\bar{x} 0.14		\bar{x} 0.01		\bar{x} 1.00	

Overall, 9.5% of interviews were conducted with unregistered zero employee businesses. However, after weighting, this proportion increased to 46.2%, giving them an overall average weight of x 4.8. For medium-sized businesses the average weight was x 0.01.

As described earlier, certain questions in the 2020 survey were only asked of a sub-sample. Respondents were randomly split into three cohorts (A, B and C), each cohort consisting of approximately 2,500 cases. Separate weights were created for each cohort, using 2020 BPE targets. These weights were the ones used in the report when analysing these questions.

Because each cohort had a sample size a third of the total, there were uninhabited cells outside of England. Therefore, while the weighting grid remained the same in England as it did for the overall weights (14 sectors within six size bands), in the other nations a simplified grid was adopted (four broad sectors within six size bands for each nation).

Data weighting (longitudinal)

A decision was taken in 2020 to base the longitudinal analysis on panellists who had responded to each of the surveys in 2018, 2019 and 2020. This was to ensure a larger cohort of respondents; to counteract panel attrition, as the number of panellists that have responded to the survey each year decreases. Separate longitudinal weights are used when undertaking longitudinal analysis of the 3,497 panellists who responded in all three surveys between 2018 and 2020. The longitudinal weighting method was identical to the cross-sectional one, except that 2018 firmographics (size, sector, and nation) and BPE targets were used rather than 2020 ones.

Some of the records with longitudinal weights have increased their employment levels to become large businesses with 250+ employees, but also, because some of the records pre-date 2018, a small number of panellists based on their 2018 firmographics are classified as large. These panellists have been re-classified as medium sized businesses for the purpose of the longitudinal analysis. They have been included as medium sized businesses and weighted accordingly.

Because of the (relatively to the total) small sample size, there were uninhabited cells in each country. Therefore, a simplified weighting grid was adopted (four broad sectors within four broad size bands, within each nation).

Note that because the number of panellists responding to all three surveys is a sub-section of the whole, individual weights on individual records differ between the longitudinal and cross-sectional weights.

Sampling uncertainty

In the reports published on SME employers and non-employers in August 2021, we published tables giving typical confidence intervals for estimates based on the survey. We reproduce those tables here, with a column added to each table containing estimated *design effects*. Design effects are another way of describing how the weighting used in the survey impacts on the standard errors and confidence intervals. We have explanations of how to interpret the tables in the reports themselves, but the design effects have been included in this technical report as they are likely to be of interest to more technically minded users only, who might be interested in seeing the impact of our stratification on the precision of the survey. The design effects given here are measures of the amount that the variance of an estimate has been inflated in our stratified survey, compared to a similar estimate based on the same sample size under simple random sampling. The *design factors*, which give the amount of inflation of the standard errors, are the square root of the design effects.

Table 12: SME employers – 95% confidence intervals in survey findings and design effects and factors – nation, size band and sector⁹

	Sample size	Confidence interval for an estimate of 10% or 90%	Confidence interval for an estimate of 30% or 70%	Confidence interval for an estimate of 50%	Design effect	Design factor
UK	5,597	+/-1.0	+/-1.5	+/-1.6	1.7	1.3
England	4,487	+/-1.1	+/-1.6	+/-1.8	1.6	1.3
Scotland	505	+/-3.7	+/-5.4	+/-5.9	1.9	1.4
Wales	220	+/-5.3	+/-7.6	+/-8.3	1.7	1.3
Northern Ireland	385	+/-4.3	+/-6.3	+/-6.8	2.0	1.4
Micros (1 to 9 employees)	2,774	+/-1.2	+/-1.8	+/-2	1.2	1.1
Small businesses (10 to 49 employees)	1,929	+/-1.3	+/-2.1	+/-2.3	1.1	1.0
Medium-sized businesses (50-249 employees)	894	+/-2.0	+/-3.1	+/-3.4	1.1	1.0
ABDE. Primary	203	+/-5.1	+/-7.8	+/-8.2	1.5	1.2
C. Manufacturing	621	+/-3.2	+/-4.9	+/-5.3	1.9	1.4
F. Construction	559	+/-3.1	+/-4.7	+/-5.2	1.6	1.3
G. Retail and wholesale	971	+/-2.4	+/-3.7	+/-4.1	1.7	1.3
H. Transport and storage	205	+/-6.1	+/-8.9	+/-9.7	2.1	1.4
I. Accommodation and food service	565	+/-3.1	+/-4.7	+/-5.1	1.6	1.3
J. Information and communication	265	+/-4.2	+/-6.3	+/-6.9	1.3	1.2
KL. Financial and real estate	259	+/-4.1	+/-6.4	+/-7.1	1.3	1.2
M. Professional and scientific	684	+/-2.6	+/-4.1	+/-4.5	1.4	1.2
N. Administration and support	466	+/-3.5	+/-5.1	+/-5.7	1.6	1.3
P. Education	129	+/-6.4	+/-10.8	+/-11.2	1.7	1.3
Q. Human health	372	+/-4.0	+/-6.6	+/-7.2	1.9	1.4
R. Arts and entertainment	111	+/-6.9	+/-11.1	+/-12.3	1.7	1.3
S. Other services	187	+/-5.0	+/-7.5	+/-8.2	1.3	1.2

For cohort questions, the margins of error increase by about 70% - for example +/- 2.0% becomes +/- 3.4% (to increase a number by 70%, multiply it by 1.7) This table applies to estimates of proportions.

⁹ See the uncertainty section in the report on businesses with employees for an explanation of how to use this table, available at <https://www.gov.uk/government/collections/small-business-survey-reports#2020>

Table 13: businesses with no employees – 95% confidence intervals in survey findings and design effects and factors – nation, registration, and sector¹⁰

	Sample size	Confidence interval for an estimate of 10% or 90%	Confidence interval for an estimate of 30% or 70%	Confidence interval for an estimate of 50%	Design effect	Design factor
UK	2,022	+/-1.6	+/-2.4	+/-2.7	1.3	1.3
England	1,705	+/-1.7	+/-2.6	+/-2.8	1.6	1.3
Scotland	158	+/-6.1	+/-10.9	+/-10.9	1.4	1.4
Wales	51	+/-7.0	+/-15.5	+/-15.5	1.3	1.3
Northern Ireland	108	+/-7.5	+/-12.7	+/-12.7	1.4	1.4
Zeros - unregistered	727	+/-2.2	+/-3.4	+/-3.8	1.1	1.0
Zeros - registered	1,295	+/-2.1	+/-3.3	+/-3.5	1.1	1.1
ABDE. Primary	111	+/-6.3	+/-10.3	+/-11.4	1.1	1.0
C. Manufacturing	113	+/-7.4	+/-13.8	+/-13.8	1.5	1.2
F. Construction	214	+/-3.9	+/-6.2	+/-6.8	1.9	1.4
G. Retail and wholesale	214	+/-4.5	+/-7.1	+/-8.1	1.6	1.3
H. Transport and storage	65	+/-7.7	+/-11.9	+/-12.9	1.7	1.3
I. Accommodation and food service	47	+/-11.6	+/-16.4	+/-21.0	2.1	1.4
J. Information and communication	176	+/-5.4	+/-7.8	+/-8.5	1.6	1.3
KL. Financial and real estate	93	+/-7.3	+/-11.3	+/-12.3	1.3	1.2
M. Professional and scientific	471	+/-3.2	+/-4.8	+/-5.2	1.3	1.2
N. Administration and support	145	+/-5.5	+/-9.7	+/-10.4	1.4	1.2
P. Education	76	+/-7.6	+/-12.5	+/-13.4	1.6	1.3
Q. Human health	96	+/-6.6	+/-9.6	+/-10.5	1.7	1.3
R. Arts and entertainment	98	+/-7.0	+/-10.1	+/-11	1.9	1.4
S. Other services	103	+/-6.7	+/-9.7	+/-10.7	1.7	1.3

For cohort questions, the margins of error increase by about 70% - for example +/- 2.0% becomes +/- 3.4% (to increase a number by 70%, multiply it by 1.7) This table applies to estimates of proportions.

¹⁰ See the uncertainty section in the report on businesses with no employees for an explanation of how to use this table, available at <https://www.gov.uk/government/collections/small-business-survey-reports#2020>

Derived variables

Within the LSBS reports there are some measures which are derived from multiple questions, that require further explanation.

Legal status

The legal status of a company is determined by the self-reported response to the A5 question series. Historically, this categorisation has required substantial recoding due to a lack of respondent understanding as to which specific business type their company falls into.

To simplify coding of legal status, question changes in 2019 were implemented to draw as much background information as possible from existing sources to help direct the respondent. If the business's name in the IDBR had suffixes such as PLC, LLP, CIC or CIO then they were not asked to self-classify in the interview.

This change vastly reduced the amount of 'other' codes such as IPS (industrial or provident society), CIC (community interest company) trust, mutual, friendly society, co-operative or unincorporated associations and aided the allocation of companies with a charitable status.

Where legal status was still unclear, substantial validation was conducted by creating automated look ups to the Companies House API to ascertain the most recent legal status¹¹.

These changes were retained for 2020, and it is worth noting that the change in legal status codes in 2019 and 2020, means that direct comparisons to years 2015 to 2018 should be treated with caution.

Women-led businesses

The number of working owners or partners within an organisation was determined at question A11. At A17 the survey asked how many, if any, other directors there were in day-to-day control of the organisation who were *not* owners or partners. The two numbers were then added¹².

If there was more than one owner, partner or director, A18 asked how many of these were women. To qualify as a women-led business, the number had to be more than 50% of the total.

For those with just a single owner or director, the gender of the respondent determined whether the organisation was a women-led business or not.

This method is consistent with that used in previous BEIS Small Business Surveys.

¹¹ <https://beta.companieshouse.gov.uk/>

¹² Note that these questions were not asked of panellists who earlier in the interview said that there had been no changes in the ownership or number of directors within the business. The number and composition of owners/partners/directors was assumed to be the same as in the previous LSBS survey.

Minority Ethnic Group-led businesses (MEG-led)

The number of working owners and partners and directors was calculated in the same way from answers at questions A11 and A17 as for women-led businesses.

If there was more than one owner, partner or director, A19 asked how many of these were from ethnic minority groups. A20 then asked which ethnic minority groups they were from. Those classified as being from mixed race backgrounds¹³, Indian, Pakistani, Bangladeshi, other Asian background, black Caribbean, black African, other Black background, Chinese, Arab, or Gypsy or Irish traveller were counted as ethnic minorities. To qualify as a MEG-led business, the number of owners and partners and directors from an ethnic minority background had to be 50% or more of the total.

For those with just a single owner or director, the ethnicity of the respondent determined whether the organisation was a MEG-led business or not.

This method is also consistent with that used in previous BEIS Small Business Surveys.

Family Businesses

If an enterprise claimed that it did not have any owners, which was common among certain types of enterprises (for example, those which are not-for-profit or public limited companies), then it was automatically assumed that they were not a family business.

If an enterprise had only one owner, it was automatically assumed to be a family business.

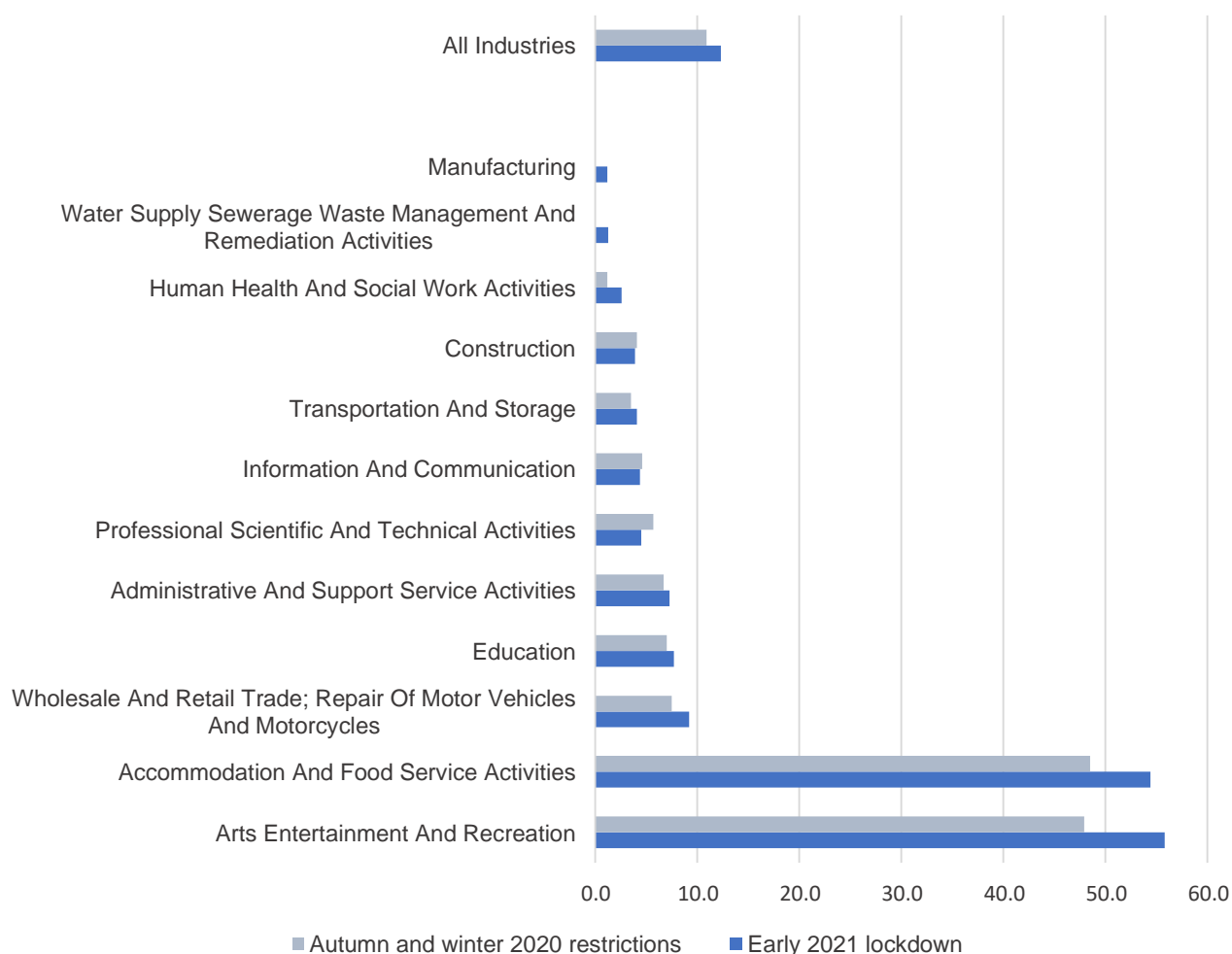
If they had two or more owners, all top-ups and past panellists were asked if they were a family- owned business, that is one which was majority owned by members of the same family. Panellists were only asked this question if they had previously mentioned that the ownership structure of their business had changed.

¹³ Mixed white and black Caribbean, mixed white and black African, mixed white and Asian, other mixed background.

Coronavirus (Covid-19) pandemic: Impact on fieldwork

Fieldwork for the 2020 survey was conducted between September 2020 and April 2021. The fieldwork was significantly impacted by the coronavirus (Covid-19) pandemic and the associated social and trading restrictions which resulted in businesses in consumer-facing industries in particular operating at much reduced levels or temporarily closing. UK COVID-19 lockdowns during the fieldwork were constantly changing, and there were various levels of lockdown affecting countries and regions as well as business sectors at different times, Further details <https://commonslibrary.parliament.uk/coronavirus/coronavirus-restrictions/>

Figure 1: Proportion of UK businesses that were temporarily closed across a two-week period during the Autumn/Winter 2020 restrictions and early 2021 lockdown, by industry (all UK)¹⁴

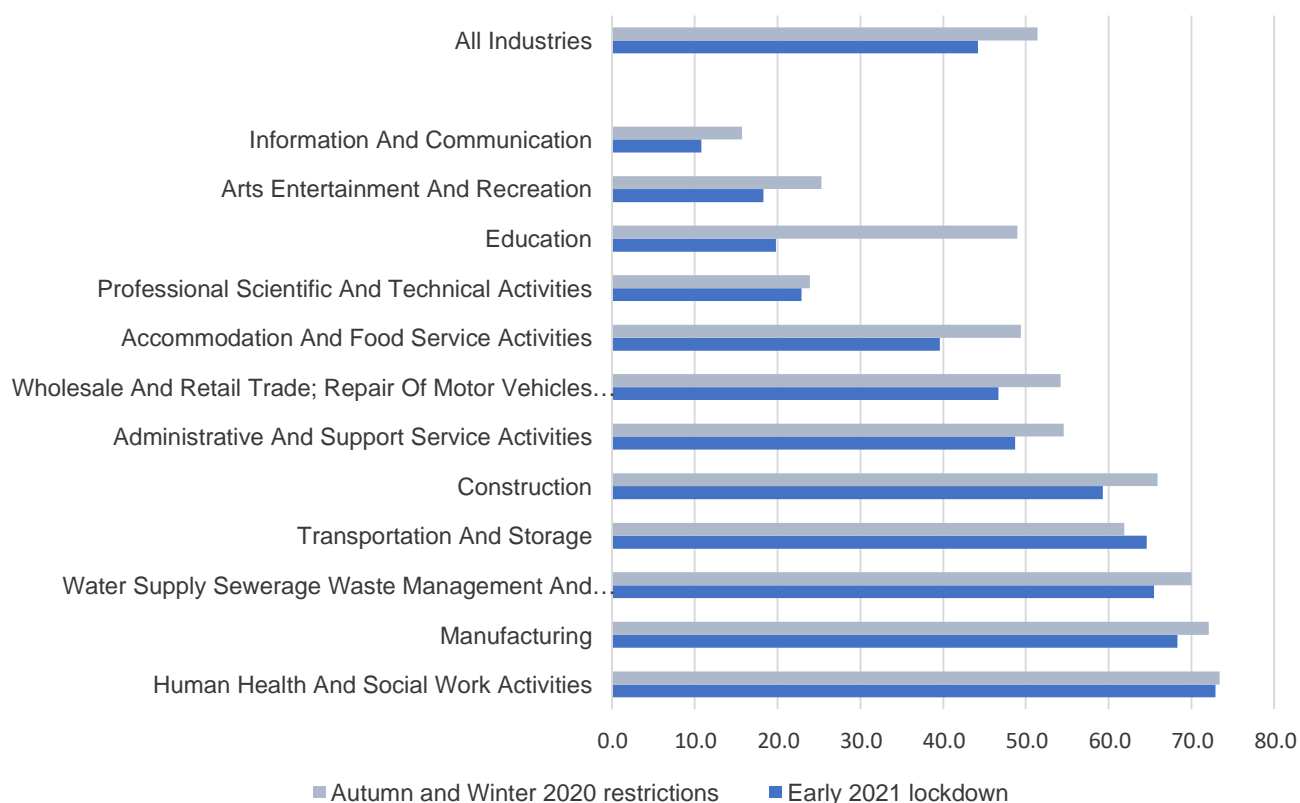


¹⁴ Source: Office for National Statistics – Business Insights and Conditions Survey <https://www.ons.gov.uk/economy/economicoutputandproductivity/output/articles/coronavirushowpeopleandbusinesseshaveadaptedtolockdowns/2021-03-19>

Overall, around one in ten businesses were temporarily closed during these periods, and the sectors of accommodation and food service activities and arts, entertainment and recreation were particularly heavily impacted, with more than half of these businesses closed for at least a two-week period from 5th January 2021 until the end of the survey fieldwork period (31st March 2021) and beyond.

The next figure, also taken from the Business Insights and Conditions Survey, summarises the proportion of businesses within each industry sector working at their normal place of work for at least a two-week period during the Autumn and Winter 2020 restrictions and early 2021 lockdown.

Figure 2: Proportion of UK businesses working at normal place of work across a two-week period during the Autumn/Winter 2020 restrictions and early 2021 lockdown, by industry (all UK)¹⁵



Overall, around half of all businesses operated away from their normal place of work during these periods, with those in service sectors, particularly information and communication, arts, entertainment and recreation, education, and professional, scientific, and technical activities, particularly likely to have done so.

¹⁵ Source: Office for National Statistics – Business Insights and Conditions Survey
<https://www.ons.gov.uk/economy/economicoutputandproductivity/output/articles/coronavirushowpeopleandbusinesseshaveadaptedtolockdowns/2021-03-19>

Questionnaire

The remainder of this report comprises the questionnaire used for the 2020 survey.

PRIVATE & CONFIDENTIAL

**Longitudinal Small
Business Survey Year 6 2020
Questionnaire Main V5**

Pro_2041
December 1st
2020

SAMPLE SOURCE

Panel	1	INTRODUCTION 1 OR 2
Top up - IDBR	2	INTRODUCTION 3
Top-up – Experian (unregistered)	3	INTRODUCTION 3
Previous panelist – did not do interview in 2019	4	INTRODUCTION 1 OR 2

INFORMATION NEEDED FROM PANEL IN CONTACTS TO INFORM YEAR 6 FILTERS

Information		Taken from (2019) – variable or Q no.	Affects (2020)
Name of respondent	1	S5	INTRODUCTION 1 OR 2
Month interviewed in 2019	2	S6	INTRODUCTION 1 OR 2
Whether emailed a report	3	U1c/1	INTRODUCTION 1
Name of business	4	Source	S7
Type of organisation	5	A_2_2019	THROUGHOUT
Country		NATION_2019	Various places in questionnaire e.g. Section K
Number of owners/directors		A17A2A_2019	A22/A23
Number of owners		A2A_2019	A22/A23
Number of directors		A17_2019	A22/A23
Exporter		C1_C2_2019	C3b, C5a
No plans to export		C3_2019/3	C6
No product/service suitable for export		C6/2	C0
Legal status		A5SUM_2019	F6
Whether a charity		A0_2019	F12
Previous cohort		COHORT_2019	H1
Year first interviewed		YEAR	H1
Applied for finance in 2019		H4A_2019	H4a
Previously approached NI Invest		K10DN_2019	K10d
Does not have an alternative number		U1a/96 or 98	U1a
Did not supply email address		U1b/96 or 98	U1b
Did not agree to data linkage		U2/2	U2

PANEL AND PREVIOUS PANELIST 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

NB: IF NAME IS SPELLED INCORRECTLY ON DATABASE, CORRECT HERE

INTRODUCTION 1 (PANEL AND PREVIOUS PANELIST – PREVIOUS RESPONDENT)

Good morning/afternoon), my name is XXX and I'm calling on behalf of....

(ENGLAND AND WALES) **...the Department for Business, Energy and Industrial Strategy...**

(SCOTLAND) **...the Scottish Government...**

(NORTHERN IRELAND) **...Invest NI...**

...from BMG Research. We're conducting the UK's Small Business Survey, the Government'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. The UK Government Small Business Survey is an important piece of work intended to track the progress of UK businesses over time, to inform Government policy and to help the Government understand which interventions best support small businesses. Would you be able to help us again?

(ALL) The interview will take about 20 minutes depending on your responses.

(IF THEY MENTION THE BUSINESS HAS PERMANENTLY CLOSED) If your business has closed we'd still like to ask you a few brief questions which will only take a couple of minutes.

IF NECESSARY: We understand that this is an extremely difficult time and that businesses are facing very challenging conditions, but it is particularly important at this time to gather information from businesses so that the crucial, right support for businesses can be provided in the difficult months and years ahead.

SEND REASSURANCE EMAIL IF NECESSARY

- IF RESPONDENT WANTS FURTHER REASSURANCE GIVE THEM EMMA'S CONTACT DETAILS, SAY:

I understand your concerns, if you'd like to email the project manager, Emma Osborne at emma.osborne@bmgresearch.com she will be happy to provide more information.

IF RESPONDENT SAYS THEY WANT TO BE PAID FOR THEIR TIME SAY:

I appreciate that your time is valuable but paying people to help us with the survey would make it too expensive to undertake and might influence how people answer the questions. Gathering this feedback can benefit UK business as a whole and ultimately benefit you.

IF NECESSARY: The results of previous Small Business Surveys are available to view on the .gov.uk website and this survey's report will also be published next summer.

ADD IF NECESSARY:

- **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 Emma Osborne if you would like to find out more about the survey - 0121 333 6006 – or emma.osborne@bmgresearch.com**

(ALL) You can find out more information about our surveys and what we do with the information we collect in our Privacy Notice which is on our website.

INTERVIEWER TO DETERMINE IF RESPONDENT WANTS WEBSITE ADDRESS BEFORE PROVIDING IT OR IF IT IS TO BE SENT VIA EMAIL (EMAIL TO BE SET UP WITHIN SCRIPT). (www.bmgresearch.co.uk/privacy)

Please note that this call may be monitored or recorded for training purposes.

Can I confirm that you are happy to participate in the survey? IF YES, RECORD ON SCRIPT

INTRODUCTION 2 (PANEL AND PREVIOUS PANELISTS – NEW RESPONDENT)

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

Good morning/afternoon), my name is XXX and I'm calling on behalf of....

(ENGLAND AND WALES) ...the Department for Business, Energy and Industrial Strategy...

(SCOTLAND) ...the Scottish Government...

(NORTHERN IRELAND) ...Invest NI...

(ALL)...from BMG Research. We're conducting the UK's Small Business Survey, the Government's main survey of small businesses.

(ALL) Back in [MONTH/YEAR] we interviewed [NAME OF 2019 RESPONDENT] for the Government's Small Business Survey. This is an important piece of work intended to track the progress of UK businesses over time, to inform Government policy and to help the Government understand which interventions best support small businesses.

(ALL) I understand that [NAME OF 2019 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?

IF NECESSARY: We understand that this is an extremely difficult time and that businesses are facing very challenging conditions, but it is particularly important at this time to gather information from businesses so that the crucial, right support for businesses can be provided in the difficult months and years ahead.

IF NECESSARY: Your participation will ensure that your business' views are represented to the Government.

IF NECESSARY: The survey findings are widely used across Government departments and by other public bodies to plan and provide targeted support to different industries.

IF NECESSARY – IF ASKED WHAT THE SURVEY IS ABOUT: There are a range of issues about which the UK Government wants to hear from small and medium sized businesses, including how you trade, both within the UK and overseas, business objectives and plans for growth, obstacles to business

success, including how the coronavirus pandemic has impacted you, business support and finance needs, and so on.

IF NECESSARY: Whether or not you like the government’s actions this is your chance to influence them – everyone’s views will be taken into account.

IF RESPONDENT SAYS THEY WANT TO BE PAID FOR THEIR TIME SAY:

I appreciate that your time is valuable but paying people to help us with the survey would make it too expensive to undertake and might influence how people answer the questions. Gathering this feedback can benefit UK business as a whole and ultimately benefit your business.

SEND REASSURANCE EMAIL IF NECESSARY

- IF RESPONDENT WANTS FURTHER REASSURANCE GIVE THEM EMMA’S CONTACT DETAILS, SAY:

I understand your concerns, if you’d like to email the project manager, Emma Osborne at emma.osborne@bmgresearch.com she will be happy to provide more information.

ALL: It will take about 20 minutes, depending on your responses. Is it convenient to go through it now or I can call back at a time and date that is more suitable for you?

IF NECESSARY: The results of previous Small Business Surveys are available to view on the .gov.uk website and this survey’s report will also be published next summer.

ADD IF NECESSARY:

- 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 Emma Osborne if you would like to find out more about the survey - 0121 333 6006 – or emma.osborne@bmgresearch.com

(ALL) You can find out more information about our surveys and what we do with the information we collect in our Privacy Notice which is on our website.

INTERVIEWER TO DETERMINE IF RESPONDENT WANTS WEBSITE ADDRESS BEFORE PROVIDING IT OR IF IT IS TO BE SENT VIA EMAIL (EMAIL TO BE SET UP WITHIN SCRIPT). (www.bmgresearch.co.uk/privacy)

Please note that this call may be monitored or recorded for training purposes.

Can I confirm that you are happy to participate in the survey? IF YES, RECORD ON SCRIPT

INTRODUCTION 3 (TOP-UPS)

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 your 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

May I please speak to someone who is in a senior role there? The owner, managing director or someone else in a director-level position.

(IF TRANSFERRED: **Good morning/afternoon**), my name is XXX and I'm calling on behalf of....

(ENGLAND AND WALES) ...the **Department for Business, Energy and Industrial Strategy**...

(SCOTLAND) ...the **Scottish Government**...

(NORTHERN IRELAND) ...**Invest NI**...

(ALL)...from **BMG Research**. We're conducting the **UK's Small Business Survey**, the **Government's main survey of small businesses**.

(ALL) **I would like to ask for your feedback on behalf of your business.**

IF NECESSARY – IF ASKED WHAT THE SURVEY IS ABOUT: **There are a range of issues about which the UK Government wants to hear from small and medium sized businesses, including how you trade, both within the UK and overseas, business objectives and plans for growth, obstacles to business success, including how the coronavirus pandemic has impacted you, business support and finance needs, and so on.**

IF NECESSARY: **Your participation will ensure that your business' views are represented to the Government.**

IF NECESSARY: **The survey findings are widely used across Government departments and by other public bodies to plan and provide targeted support to different industries.**

IF NECESSARY: **Whether or not you like the government's actions this is your chance to influence them – everyone's views will be taken into account.**

IF NECESSARY: **We understand that this is an extremely difficult time and that businesses are facing very challenging conditions, but it is particularly important at this time to gather information from businesses so that the crucial, right support for businesses can be provided in the difficult months and years ahead.**

SEND REASSURANCE EMAIL IF NECESSARY

- IF RESPONDENT WANTS FURTHER REASSURANCE GIVE THEM EMMA'S CONTACT DETAILS, SAY:

I understand your concerns, if you'd like to email the project manager, Emma Osborne at emma.osborne@bmgresearch.com she will be happy to provide more information.

IF RESPONDENT SAYS THEY WANT TO BE PAID FOR THEIR TIME SAY:

I appreciate that your time is valuable but paying people to help us with the survey would make it too expensive to undertake and might influence how people answer the questions. Gathering this feedback can benefit UK business as a whole and ultimately benefit your business.

(ALL) **It will take about 20 minutes, depending on your responses. Is it convenient to go through it now or I can call back at a time and date that is more suitable for you?**

IF NECESSARY: **The results of previous Small Business Surveys are available to view on the .gov.uk website and this survey's report will also be published next summer.**

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www.bmgresearch.co.uk/privacy

Please note that this call may be monitored or recorded for training purposes.

Can I confirm that you are happy to participate in the survey? IF YES, RECORD ON SCRIPT

ASK IF TOP UP SAMPLE AND ZERO EMPLOYEES (DATABASE)
 S2b **Are you the owner or person in overall charge there?**

Yes
 No

ASK PANEL IF NOT TALKING TO NAMED CONTACT AND TOP UP SAMPLE WITH EMPLOYEES
 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 UNREGISTERED 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 PANELISTS WHERE NOT INTERVIEWING THE PREVIOUS YEAR'S 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 PANELISTS WHERE NOT INTERVIEWING THE PREVIOUS YEAR'S RESPONDENT

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

--

Refused 98

ASK ALL

S7) **What is the current trading status of** [NAME OF BUSINESS FROM DATABASE] ? READ OUT AND CODE ONE ONLY. IF NAME OF BUSINESS WAS WRONG ON DATABASE, PLEASE CODE 2 AND AMEND IT HERE

NOTE: ONLY READ OUT CODE 2 IF NAME OF BUSINESS WAS WRONG ON DATABASE

Trading	1
MULTI CODE: Trading under a different name (SPECIFY NAME)	2
Not trading/closed	3

IF NOT TRADING/CLOSED (S7/3)

S7a) Is this closure temporary or permanent?

Temporary	1
Permanent	2
Not sure at the moment	3

ASK IF CEASED TRADING PERMANENTLY (PERMANENTLY) (S7a/2)

S8) **I would like to ask you just a few questions about** [NAME OF BUSINESS]. **These will help in our analysis of why businesses close. Please be assured that all answers will be treated in the strictest confidence.**

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 S8/1-11, 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
Could not get external finance¹⁶	4	4
External finance was too expensive	5	5
Another job or business opportunities	6	6
Family or personal reason	7	7
Difficulties finding the right staff	8	8
Retirement	9	9
You sold the business	10	10
Coronavirus – COVID 19 pandemic	11	11
Any other reason (SPECIFY)	95	95
Don't know	97	97
Refused	98	98

ASK IF CEASED TRADING PERMANENTLY (S7a/2)

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 PERMANENTLY (S7a/2)

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

ASK IF CEASED TRADING TEMPORARILY (S7a/1)

S13 **Is this closure due to the trading restrictions imposed as a result of the coronavirus pandemic or for another reason?**

Coronavirus – COVID 19 pandemic	1
Any other reason – what is the reason?	95
Don't know	97
Refused	98

ASK IF CEASED TRADING TEMPORARILY (S7a/1)

S14 **When do you expect to reopen?** PROBE FOR ESTIMATE AND CODE ONE ONLY

In the next 2-3 weeks	1
In the next 1-2 months	2
In the next 3-4 months	3
In the next 5-6 months	4
Not for at least 6 months	5
Don't know when will open again but is certain they will	6
Don't know if they will open again	7
Refused	8

IF CEASED TRADING TEMPORARILY (S7a/1) READ OUT: **I would appreciate it if you would answer the questions on the basis of when you were last trading.**

SECTION A: ABOUT THE BUSINESS

ASK TOP-UPS ONLY

A-2) **I would like to start by asking a number of questions about [NAME OF BUSINESS]. Which of these best describe [NAME OF BUSINESS]?** READ OUT. SINGLE CODE ONLY

A business?	1
An organisation?	2
A sole proprietorship?	3
Other (SPECIFY)	95
Don't know	97

IF DON'T KNOW, USE 'BUSINESS' AS TEXT SUB

ASK PANEL ONLY

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

You opened or closed a new branch, site or office	1
ASK IF MULTI-SITE (PAST): You moved your head office	2
You changed your legal status	3
You gained or lost directors in day to day control of the [ANSWER AT A-2], that are not working owners or partners	4
ASK IF NOT REGISTERED (PAST): You became registered for VAT for the first time	5
You changed the principal activity of your [ANSWER AT A-2]	6
The ownership structure of the [ANSWER AT A-2] has changed	7
None of these	96
Don't know	97
Refused	98

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

A0) (ASK TOP-UPS) **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

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

A1) **How many sites in the UK does your [ANSWER AT A-2] operate from, including your head office?**

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

Don't know / Uncertain ...97

Refused ... 98

ASK ALL, EXCEPT TOP-UP EXPERIAN SAMPLE

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

READ OUT: Please...

- 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 OR PREVIOUS PANEL 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	Experian 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 EMPLOYEES AT A2

A2b) **How many of those working for the [ANSWER AT A-2], if any, are temporary or casual staff? (RANGE 0-ANSWER AT A2)**

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)? (RANGE 0-999)**

	Enter number	DK	REF
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 [ANSWER AT A-2]'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 [ANSWER AT A-2]? PROBE AS NECESSARY:**

- **What is the main product or service of this [ANSWER AT A-2]?**
- **What exactly is made or done at this [ANSWER AT A-2]?**

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

ASK TOP-UP IDBR SAMPLE¹⁷, IF LEGAL STATUS LISTED AS COMPANY/SOLE PROPRIETORSHIP OR PARTNERSHIP

A5a) **Our records show that the legal status of your [ANSWER AT A-2] is a [LEGAL STATUS FROM DATABASE]? Is this correct?**

Yes	1
No	2
Don't know	97
Refused	98

¹⁷ Do not ask previous panelists

ASK IF YES AT A5a, AND LEGAL STATUS IS 'COMPANY'

A5b) **What type of company is it? Is it a...** READ OUT. SINGLE CODE ONLY

Private limited company, limited by shares (LTD.)	1
Private company limited by guarantee	2
Or another form of company (SPECIFY)	3
Don't know	97
Refused	98

ASK PANEL WHOSE LEGAL STATUS CHANGED (A-1/3)

A5c) **You mentioned that your legal status has changed. What is your legal status now?** 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

ASK IF EXPERIAN TOP-UP, PREVIOUS PANELIST, OR IF 'NO' AT A5a

What is the legal status of your [ANSWER AT A-2]? (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
Private company limited by guarantee	3
Partnership	4
Limited liability partnership	5
Charitable Incorporated Organisation	6
Other (SPECIFY)	95
Don't know	97
Refused	98

ASK TOP-UPS ONLY (NOT PREVIOUS PANEL)

A6) **In which year did your [ANSWER AT A-2] first start trading? This includes under all ownerships and all legal statuses?**

	Enter Year (4 DIGITS STARTING 10-20)	DK	REF
A6 (first started trading)		97	98

ASK IF DON'T KNOW (97) AT A6

A7) **Did it first start trading.....** READ OUT. SINGLE CODE ONLY

In the last five years?	1
6 – 10 years ago?	2
11 – 20 years ago?	3
More than 20 years ago?	4
Don't know	97

ASK TOP-UPS ONLY (NOT PREVIOUS PANEL)

A8) **Our records have the following as a postcode for your [ANSWER AT A-2] [READ OUT POSTCODE FROM DATABASE]? Is this the postcode of your main UK site?**

Yes	1
No	2
Don't know	97
Refused	98

ASK IF POSTCODE IS INCORRECT (A8/2), OR PANEL THAT MOVED HEAD OFFICE (A-1/2)

A8A) **Could you tell me the postcode of your [ANSWER AT A-2]'s main UK site please? WRITE IN**

	1
Refused	98

ASK IF POSTCODE IS INCORRECT (A8/2), DON'T KNOW (A8/97) OR REFUSED (A8/98) OR PANEL THAT MOVED OFFICE (A-1/2)

A9) **Can I check, is your [ANSWER AT A-2]'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), THANK AND CLOSE

Thank you for your time, but the survey is only for organisations that have their main UK sites in England, Scotland, Wales and Northern Ireland.

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

SK ALL

A10) **Does your [ANSWER AT A-2] have separate business premises to your or someone else's home address? i.e. your [ANSWER AT A-2] is based somewhere else other than at your or someone else's home. If you are working at home I mean the premises at which your business is registered**

Yes, I have separate business premises	1
No, do not have separate business premises, they are my/someone' else's home	2
Refused	98

ASK TOP-UPS, OR PANEL IF OWNERSHIP CHANGED (A-1/4, 7)

A11) **How many working owners and partners does the [ANSWER AT A-2] 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
A11 (owner/partners)		97	98	99

ASK TOP-UPS, OR PANEL IF OWNERSHIP CHANGED (A-1/7), AND IF MORE THAN ONE OWNER/PARTNER (A11 '2+')

A12) **Is your establishment part of a business that is majority-owned by the person or family who set it up? INTERVIEWER: THIS INCLUDES DESCENDANTS**

Yes	1
No	2
Don't know	3
Refused	98

ASK IF A12/1

A14¹⁸) **Is the person or family that majority-owns your [ANSWER AT A-2] actively involved in the day-to-day management of the business?**

SINGLE-CODE

Yes	1
No	2
Don't know	3
Refused	98

NO A14-A16

ASK ALL TOP-UPS, OR PANEL THAT CHANGED NUMBERS OF DIRECTORS (A-1/4, 7)

A17) **Does your [ANSWER AT A-2] have any directors in day to day control of your [ANSWER AT A-2] who are not owners or partners? IF YES: How many?**

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

No other directors/partners.....96

Don't know ...97

Refused ... 98

ASK TOP-UPS IF VALUE AT A11 PLUS A17 IS TWO OR GREATER. ASK PANEL IF (A-1/4 OR A-1/7)

A18) **How many, if any, of your directors and partners are women? ENTER NUMBER (RANGE FOR TOP-UPS = ZERO UP TO VALUE AT A17 + A11)**

FILTER AS A18

A19) **How many, if any, of your directors and partners are from ethnic minority groups? ENTER NUMBER (RANGE FOR TOP-UPS = ZERO UP TO VALUE AT A17 + A11)**

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

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

A20)

The following question will only be used to analyse business ownership at an aggregated level, and if you prefer not to answer it please say so. Which ethnic groups do the owners, partners or directors belong to? PROMPT AS NECESSARY. MULTICODE.OK

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

ASK TOP-UPS IF NUMBER OF OWNERS AT A11/2+, OR PANEL IF CHANGE IN OWNERSHIP (A-1/7)

A21)

Is more than 50% of the [ANSWER AT A-2] owned by women?

Yes	1
No	2
Don't know	97

ASK TOP-UPS IF ONLY ONE OWNER OR DIRECTOR (A11 PLUS A17). ASK PANEL IF PREVIOUSLY ONLY ONE OWNER/DIRECTOR (UNLESS A18 WAS ANSWERED)

A22) **The following question will only be used to analyse business ownership at an aggregated level, and if you prefer not to answer it please say so. Which ethnic group [IF S2B/1: you; IF A11/1: does the owner; IF A17/1: does the director in charge] 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

FILTER AS A22 IF S2B/1 DO NOT ASK

A23) **And is the [IF A11/1: owner; IF A17/1: director in charge] a man or a woman?**

Man	1
Woman	2
Don't know	97
Refused	98

SECTION B: EMPLOYMENT

B1) ASK TOP-UP ONLY IF TRADING FOR AT LEAST ONE YEAR (NOT A6=2020) AND PREVIOUS PANEL
You said earlier that your [ANSWER AT A-2] currently has [INSERT A2 RESPONSE] employees on the payroll, excluding owners and partners. How many employees did the [ANSWER AT A-2] 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 TOP UPS AND PREVIOUS PANEL IF UNCERTAIN HOW MANY EMPLOYEES EMPLOYED 12 MONTHS AGO (B1/X)
Could you please tell me, was it...? READ OUT. SINGLE-CODE

ASK ALL PANEL
How many employees did the [ANSWER AT A-2] have on the payroll 12 months ago across all UK sites (still excluding owners and partners)? Was it...?

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)

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

B4) **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)

IF EMPLOYED MORE PAID STAFF A YEAR AGO (B4/1)

B4a) **To what extent has the coronavirus COVID-19 pandemic been a factor in this reduction in staff? Was it...** READ OUT. SINGLE CODE

The main factor	1
One of many factors	2
Not a factor	3
DO NOT READ OUT: Don't know	97

ASK ALL

B5) **How many employees do you expect the [ANSWER AT A-2] to have on the payroll in the UK in twelve months' 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

TO COMPLETE IF FIGURE GIVEN AT B5

B5a) 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

ASK IF UNCERTAIN HOW MANY PEOPLE EXPECT TO EMPLOY IN 12 MONTH'S TIME (B5/97)

B6) **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

IF FEWER EMPLOYEES EXPECTED IN 12 MONTHS TIME (B5<A2; B5a<A2; B6/3)

B6a) **To what extent will the coronavirus COVID-19 pandemic be a factor in this reduction in staff? Was it... READ OUT. SINGLE CODE**

The main factor	1
One of many factors	2
Not a factor	3
DO NOT READ OUT: Don't know	97

SELECT COHORT AT RANDOM (AFFECTS FILTERING IN REST OF QUESTIONNAIRE)

Cohort		Answers questions at
Cohort A	1	C2f, C2g, C2h, E1-E12. K14-K15-M1a, M1b, . M2-M3. .
Cohort B	2	G2-G8. R4, R4a, R8a
Cohort C	3	C3b, C4, C5, C4a, C5a, C7, F8a-F13b, H1, H2, J3-J9.

SECTION C: EXPORTS

ASK ALL PANEL/PAST PANEL WHERE C6/2 IN PREVIOUS INTERVIEW

C0) **When we spoke to [you] [NAME OF 2019 RESPONDENT] back in [MONTH/YEAR] we were told that your [ANSWER AT A-2] did not provide goods or services suitable for exporting. Is that still the case?**

Yes	1
No	2
Don't know	97

WHERE YES GO TO C2f IF COHORT A; SECTION F IF COHORT B OR C; IF NO/DON'T KNOW CONTINUE

ASK TOP UPS, AND PANEL/PAST PANEL WHERE C0/2, 97

C1) **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 [ANSWER AT A-2] 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
------------	----

ASK IF EXPORTED ANY SERVICES OUTSIDE OF THE UK (C1/1)

C1a) **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

ASK IF UNCERTAIN/DK AT C1a

C1b) **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

ASK TOP UPS, AND PANEL/PAST PANEL WHERE C0/2, 97

C2) **And in the past 12 months did your [ANSWER AT A-2] 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

ASK IF EXPORTED ANY GOODS OUTSIDE OF THE UK (C2/1)

C2a) **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

ASK IF UNCERTAIN/DK AT C2a

C2b) **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

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

C2c) **In the past 12 months have you exported to... READ OUT AND MULTICODE 1-2**

IF NECESSARY: **In which overseas geographical areas do you have customers?**

The European Union?	1
The USA?	2
EFTA Countries? (IF ASKED, THESE ARE SWITZERLAND, ICELAND, LIECHTENSTEIN AND NORWAY)	3
Canada?	4
Turkey?	5
South Korea?	6
China?	7
India?	8
The rest of the world?	9
Don't know	97
Refused	98

ASK

IF ANY EXPORTS TO THE EU (C2c/1)

C2d) **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

ASK IF UNCERTAIN/DK AT C2d

C2e) **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

COHORT A - ASK ALL

C2f) **Do you sell goods or services or licence your product or services to the rest of the UK, i.e.**

(IF IN ENGLAND) **Scotland, Wales and Northern Ireland?**

(IF IN SCOTLAND) **England, Wales and Northern Ireland?**

(IF IN WALES) **England, Scotland and Northern Ireland?**

(IF IN NORTHERN IRELAND) **England, Scotland and Wales?**

Yes	1
No	2
Don't know	97
Refused	98

COHORT A - ASK ALL

C2g) **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

COHORT A - ASK ALL

C2h) **Do you buy in goods or services from other countries in the UK, i.e.**

(IF IN ENGLAND) **Scotland, Wales and Northern Ireland?**

(IF IN SCOTLAND) **England, Wales and Northern Ireland?**

(IF IN WALES) **England, Scotland and Northern Ireland?**

(IF IN NORTHERN IRELAND) **England, Scotland and Wales?**

Yes	1
No	2
Don't know	97
Refused	98

NO C3a

COHORT C - ASK ALL TOP-UPS AND PREVIOUS PANEL CURRENTLY SELLING OUTSIDE UK (C1/1 OR C2/1), OR ASK PANEL THAT EXPORT NOW (C1/1 OR C2/1), BUT DID NOT EXPORT IN 2019

C3b) **In which year did your [ANSWER AT A-2] first sell goods or services, or license its products overseas?**

	Enter Year (4 DIGITS STARTING 10-20)	DK	REF
C3b (first started exporting)		97	98

COHORT C - ASK IF DON'T KNOW (97) AT C3b

C4) **Was it..... READ OUT. SINGLE CODE ONLY**

In the last five years?	1
6 – 10 years ago?	2
11 – 20 years ago?	3
More than 20 years ago?	4
Don't know	97

COHORT C - ASK TOP-UPS AND PREVIOUS PANEL ONLY IF HAVE BEEN SELLING OUTSIDE UK FOR MORE THAN TWO YEARS (VALUE OR DK/REF AT C3b WHICH IS NOT 2018-19)

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

COHORT C - 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 IF TOP UP, PREVIOUS PANEL OR PANEL NON-EXPORTERS (C1/NOT 1 AND C2/NOT 1)

C5_a) **Which of the following statements applies to your business regarding exporting?** READ OUT. SINGLE-CODE

I have exported but not within the last 12 months	1
I have never exported but have a suitable product or service that could be developed for export	2
I have never exported and do not have a product or service suitable for export	3
DO NOT READ OUT: Don't know	97

COHORT C - ASK IF DO NOT CURRENTLY SELL OUTSIDE UK (NOT C1/1 AND NOT C2/1) AND HAVE A SUITABLE PRODUCT (C5_a/1,2)

C7) **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

SECTION E: ENERGY USAGE

SECTION E IS ASKED OF COHORT A ONLY
 ASK IN GREAT BRITAIN ONLY (NOT NORTHERN IRELAND), EXCEPT (DO NOT ASK)
ALL WITH DOMESTIC PREMISES (A10/2)

E1) **I would now like to ask you some questions about your premises and energy provision. These are on behalf of the Business Energy team within BEIS. If you are currently working at home we want you to think about your main business premises and not your home premises when answering. Which of the following describe your [ANSWER AT A-2]'s main premises? READ OUT. SINGLE-CODE**

Rented from a private or commercial landlord	1
Owned by you or your [ANSWER AT A-2]	2
Leased	3
Other (SPECIFY)	4
Or it's a home	5
Don't know	97
Refused	98

NO E2-E6

ASK IN GREAT BRITAIN ONLY (NOT NORTHERN IRELAND), EXCEPT (DO NOT ASK)
TOP-UPS WITH DOMESTIC PREMISES (A8/2 OR A10/2) OR
ALL PANELISTS (UNLESS A10/1 IN 2019)
 ...ALL PREVIOUS PANELISTS (UNLESS A10/1 PREVIOUSLY)

E6a) **Has your business installed any energy efficiency measures in the last 12 months? READ OUT. SINGLE-CODE**

Yes	1
No	2
Don't know	97
Refused	98

(ASK if 'yes' to E6a)

E6b2) **What prompted you to take action? DO NOT PROMPT. MULTI-CODE OK**

To reduce my energy costs	1
To reduce costs for my tenants	2
Equipment needed replacing	3
Recommendation from third party (e.g. energy supplier, energy services contractor, Carbon Trust etc)	4
An energy efficiency audit / meet internal targets	5
Moved premises	6
Climate change/environmental/reputational concerns	7
To improve Energy Performance Certificate (EPC) rating and or to comply with the Private Rented Sector Regulations	8
To improve the working conditions for staff (e.g. better temperature control)	9
Other (SPECIFY)	95
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)

E9a) **Does your [ANSWER AT A-2] make use of any technologies that use smart/advanced meter data to help control your energy use? This could include an energy management app, online platform/portal or smart energy management service that provides frequent access to your energy data to inform decision making¹⁹?**

Yes	1
No	2
Don't know	97

Refused	98
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ASK ALL COHORT A IN GB

E10) (ADDITIONAL SCRIPT IF NOT ASKED E8 IN 2019) **I would now like to ask you a question about your main premises and energy provision. This is on behalf of the Business Energy team within BEIS.**

(ALL IN FILTER) **Which, if any, of the following energy schemes are you aware of?** READ OUT. MULTICODE OK

The Energy Technology List?	1
Enhanced Capital Allowances?	2
(ENGLAND AND WALES ONLY) The Private Rented Sector Energy Efficiency Regulations?	3
The Renewable Heat Incentive?	4
(SCOTLAND ONLY) Resource Efficient Scotland?	5
(SCOTLAND ONLY) The Resource Efficient Scotland SME Loan Scheme?	6
Smart meter roll out to small businesses	7
Energy Savings Opportunity Scheme	8
Workplace Charging Scheme for electric vehicle charge points	9
None of these	96
Don't know	97
Refused	98

FILTER AS E8, BUT ALSO INCLUDE E10/1-4

E11) **Which of the following energy-related activities has your [ANSWER AT A-2] done to date?** READ OUT. MULTICODE OK

(ASK IF E10/1) Used the Energy Technology List to purchase a product?	1
(ASK IF E10/2) Claimed Enhanced Capital Allowances to get tax relief for energy efficient products?	2
(ASK IF E10/3) Made or experienced changes to buildings as a result of the Private Rented Sector Energy Efficiency Regulations?	3
(ASK IF E10/4) Received payments under the Renewable Heat Incentive?	4
(ALL IN FILTER) Installed a low carbon heating system e.g. heat pumps, biomass, solar thermal?	5
(ALL IN FILTER) Installed an electric vehicle chargepoint?	6
(ALL IN FILTER) Made or experienced changes to buildings as a result of the Energy Savings Opportunity Scheme?	7
None of these	96
Don't know	97
Refused	98

ASK ALL COHORT A IN GB. DO NOT ASK IF E11/5

E12) **Are you planning to install a low carbon heating system, e.g. heat pumps, biomass or solar thermal, in any of your premises in the next 12 months?**

Yes	1
No	2
Don't know	97
Refused	98

SECTION F: TAXATION

NO F1-F4

ASK TOP-UPS ONLY

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

F6) **Which of the following UK taxes is your [ANSWER AT A-2] liable to submit returns to HMRC for? READ OUT. SINGLE CODE FOR EACH**

	YES	No	DK	REF
a. (DO NOT ASK EXPERIAN SAMPLE) VAT	1	2	97	98
b. (SOLE/PARTNER ONLY) Income tax self-assessment for the self-employed or partnerships	1	2	97	98
c. (COMPANIES/OTHER ONLY) Company tax, also known as Corporation Tax	1	2	97	98

NO F7

ASK COHORT C ONLY, IF PAY VAT (F6a/1)

F8a) **In which of these ways does your [ANSWER AT A-2] keep records for VAT? READ OUT. MULTICODE 1-3, 95**

ASK COHORT C ONLY, IF PAY SELF-ASSESSMENT (F6b/1)

F8b) **In which of these ways does your [ANSWER AT A-2] keep records for income tax self-assessment? READ OUT. MULTICODE 1-3, 95**

ASK COHORT C ONLY, IF PAY VAT (F6c/1)

F8c) **In which of these ways does your [ANSWER AT A-2] keep records for company tax?** READ OUT. MULTICODE 1-3, 95

	F8A. VAT	F8B SELF-ASSESSMENT	F8C COMPANY TAX
Record keeping software?	1	1	1
Spreadsheets e.g. excel?	2	2	2
Paper-based records?	3	3	3
Other (SPECIFY)	95	95	95
(DNRO) Do not keep records for tax	96	96	96
(DNRO) Don't know, accountant handles this for them	99	99	99
(DNRO) Don't know	97	97	97
Refused	98	98	98

ASK COHORT C ONLY, IF PAY VAT (F6a/1) AND ACCOUNTANT DOESN'T DO IT FOR THEM (F8c/1-98)

F8d) **Do you make your VAT submissions via 'Making Tax Digital for VAT'?** PROBE. SINGLE CODE

Yes – use MTD for VAT	1
No – use the Business Tax Account	2
No – Other	3
Don't know	97
Refused	98

ASK ALL in COHORT C ONLY

F10) **Do you use any technologies or web-based software to ...?** READ OUT AND MULTI CODE 1, 2 SINGLE CODE 3, 97, 98

Sell to customers online	1
Manage the business	2
Neither	3
Don't know	97
Refused	98

ASK ALL WHO USE TECHNOLOGIES (F10/1, 2)

F11) **Which of the following, if any, do you use?** READ OUT 1-5. MULTICODE OK

(DO NOT ASK IF F8a-c/1) Accountancy software	1
HR management software	2
Enterprise Resource Planning (ERP) software	3
Artificial Intelligence, Robotics or Automation	4
Virtual Reality and Augmented Reality	5
None of these	96
Don't know	97
Refused	98

ASK IF USE TECHNOLOGY TO SELL TO CUSTOMERS (F10/1)

F11a) **Has your business started selling online as a result of the coronavirus COVID-19 pandemic or were you selling online prior to this?** SINGLE CODE

As a result of COVID-19	1
Selling online previously	2
Don't know	97
Refused	98

ASK ALL IN SCOTLAND WITH NON-DOMESTIC PREMISES (A10/1)

F12²⁰) **Do you receive any of the following non-domestic rates relief?** READ OUT 1-5. MULTICODE OK

Small Business Bonus Scheme (SBBS)	1
(ASK IF CHARITY A0/1) Charity rate relief	2
Transitional relief	3
Business Growth Accelerator	4
Unoccupied Property	5
Fresh start	6
Coronavirus COVID-19 relief	7
Other rate relief (SPECIFY WHICH)	95
None of these	96
Not applicable – business premises is a home	99
Don't know	97
Refused	98

ASK IF RECEIVE SBBS RELIEF (F12/1)
 F13) **Approximately what percentage relief do you get from the Small Business Bonus Scheme? WRITE IN**

Enter Proportion (RANGE 0-100%)

Don't know97
 Refused 98

ASK IF RECEIVE COVID-19 RELIEF (F12/7)
 F13b) **Approximately what percentage relief do you get from the coronavirus COVID-19 Scheme? WRITE IN**

Enter Proportion (RANGE 0-100%)

Don't know97
 Refused 98

SECTION G: OBSTACLES

NO G1

ASK ALL COHORT B ONLY

G2) **I'd like to ask you now some questions about issues, obstacles or difficulties that your [ANSWER AT A-2] might face in achieving your business objectives. Which of the following would you say are major obstacles to the success of your [ANSWER AT A-2] in general? READ OUT. RANDOMISE CODES 1-8, 11 ONLY. CODES 9-10 MUST ALWAYS BE AFTER CODES 1-8. MULTICODE OK 1-11, 95**

Obtaining finance	1
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
Coronavirus COVID-19 pandemic	11
Any other major issues or obstacles? (SPECIFY)	95
None of these	96
Don't know/No opinion	97
Refused	98

NO G3-G7

ASK IF MENTION UK EXIT FROM THE EU AS A MAJOR OBSTACLE (G2/9)

G8) **I am going to read out a list of potential reasons why your [ANSWER AT A-2] faces major obstacles because of the UK’s forthcoming exit from the EU. For each, please tell me whether you have experienced this already, whether you expect to experience it in future, or whether it is not an issue.** READ OUT. RANDOMISE ORDER a-e. SINGLE CODE ONLY FOR EACH.

IF NECESSARY, PROMPT AFTER EACH: **Have you experienced this already, expect to experience it, or is it not an issue?**

		Experienced already	Expect to experience	Not an issue	Don't know	Ref-used
a	Difficulty in recruiting/retaining skilled EU labour	1	2	3	97	98
b	Difficulty in recruiting/retaining unskilled EU labour	1	2	3	97	98
c	Decrease in investment/greater difficulty in raising capital	1	2	3	97	98
d	Increase in cost of imports from the EU	1	2	3	97	98
e	Increase in cost of exports to the EU	1	2	3	97	98
f	Other major obstacles not mentioned already (SPECIFY)	1	2	3	97	98

SECTION GC: COVID-19

READ OUT: **I’d now like to ask you some questions about how the coronavirus COVID-19 pandemic may have impacted on your business.**

ASK ALL

GC1) **Which of the following statements best describes how your [ANSWER AT A-2] adapted during the lockdown restrictions from the end of March to the middle of June 2020?** READ OUT. SINGLE CODE

Your [ANSWER AT A-2] closed down completely (temporarily)	1
Operations were reduced	2
Your [ANSWER AT A-2] were unaffected by Covid-19 restrictions	3
Operations were increased	4
DO NOT READ OUT: Don't know	97
DO NOT READ OUT: Refused	98

ASK BUSINESSES WITH EMPLOYEES (A2/>0)

GC2) **At any stage since the outbreak of coronavirus - COVID-19, which of the following measures relating to your workforce has your [ANSWER AT A-2] taken to cope with the impacts of coronavirus - COVID 19?** READ OUT. RANDOMISE CODES 1-10 MULTICODE

Increased staff working hours i.e. more hours for one or more or across all	1
Reduced staff working hours i.e. fewer hours for one or more or across all	2
Furloughed staff	3
Laid off staff in the short-term without furlough	4
Laid off staff permanently/made staff redundant	5
Recruited staff for the short term	6
Recruited staff for the longer term	7
Provided facilities for remote working	8
Moved staff to new or different roles	9
Asked staff to take on additional tasks	10
Other SPECIFY	95
No measures taken	96
DO NOT READ OUT: Don't know	97
DO NOT READ OUT: Refused	98

ASK BUSINESSES WITH EMPLOYEES (A2/>0)

GC3) **Approximately what proportion of your staff are currently working from home?** WRITE IN

Enter Proportion (RANGE 0-100%)

Don't know97

Refused 98

ASK IF DK OR REF AT GC3

GC3a) **Which of these ranges does the proportion of your workforce that are currently working from home fall into?** READ OUT UNTIL ANSWER GIVEN. SINGLE CODE ONLY

Some but no more than 10%	1
No more than 25%	2
No more than 50%	3
No more than 75%	4
More than 75% but not all	5
All/100%	6
Don't know	97
Refused	98

ASK ALL

- GC6) **At any stage since the outbreak of coronavirus - COVID-19, which of the following measures, if any, has your [ANSWER AT A2] taken to mitigate the impacts of the pandemic and any associated trading restrictions?** READ OUT. RANDOMISE CODES 1-8 MULTICODE

Increased borrowing	1
Drawn on reserves	2
Postponed investment	3
Built up stock of supplies	4
Changed services/products provided	5
Changed processes/ways of working	6
Changed methods of selling	7
Other SPECIFY	95
No measures taken	96
DO NOT READ OUT: Don't know	97
DO NOT READ OUT: Refused	98

SECTION H: FINANCE

COHORT C - TOP-UPS, AND PANELISTS WHO WERE INTERVIEWED FOR THE FIRST TIME IN 2019 IN COHORTS A AND B

- H1) **I would now like to ask you some questions about finance for your [ANSWER AT A-2]. Firstly, Is the main bank or building society account you use for business purposes a...READ OUT**

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

ASK ALL

H3) **Are you currently using any of these types of external finance for your [ANSWER AT A-2]? READ OUT. RANDOMISE ORDER OF READING 1-11,95. 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 not including any directly related to coronavirus	6
Leasing or hire purchase	7
Loan from a bank, building society or other financial institution not directly related to coronavirus	8
Loan from family/friend	9
Loan from business partner/directors/owner	10
Loan from a peer to peer platform	11
Other finance (SPECIFY)	95
None of these	96
Don't know	97
Refused	98

ASK ALL

H4) **Have you tried to obtain external finance for your [ANSWER AT A-2] in the past 12 months? We don't want you to include any coronavirus Government backed grant or loan or any contribution your [ANSWER AT A-2] has received from the furlough scheme 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):

H5) **Please can you tell me all the types of finance that your [ANSWER AT A-2] 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 NB. CORONAVIRUS LOANS AND GRANT LEFT IN TO NOTE IF MENTIONED BUT SHOULD NOT REALLY BE INCLUDED AND DEFINITELY NOT TO BE PROMPTED

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
Leasing or hire purchase	7
Loan from a bank, building society or other financial institution	8
Loan from family/friend	9
Loan from business partner/directors/owner	10
Loan from a Peer to peer platform	11
DNRO: coronavirus COVID-19 Government-backed accredited loans or finance agreements such as Coronavirus Business Interruption Loan and Bounce Back Loan	12
DNRO: Coronavirus COVID-19 business grants funded by government or local authority	13
Other government or local authority finance grants or schemes	14
Other finance (SPECIFY)	95
Don't know	97
Refused	98

SCOTLAND WHERE APPLIED FOR GRANT (H5/13/14)

H5C_a) **Which of the following scheme(s) did you apply for?** READ OUT. MULTICODE

Business Support Fund	1
Small Business Grant	2
Retail, Hospitality and Leisure Grant	3
Newly Self-employed Hardship Fund	4
Creative, Tourism and Hospitality Hardship Fund	5
Pivotal Enterprise Resilience Fund	6
Another sector specific scheme SPECIFY	7
None of these	96
Don't know	97

SCOTLAND WHERE APPLIED FOR ANY (H5C_a/1-7)

H5C_b) **Which scheme(s) did you receive funds from?** READ OUT. MULTICODE

(H5C_a /1) Business Support Fund	1
(H5C_a /2) Small Business Grant	2
(H5C_a /3) Retail, Hospitality and Leisure Grant	3
(H5C_a /4) Newly Self-employed Hardship Fund	4
(H5C_a /5) Creative, Tourism and Hospitality Hardship Fund	5
(H5C_a/6) Pivotal Enterprise Resilience Fund	6
(H5C_a /7) Another sector specific scheme SPECIFY	7
None of these	96
Don't know	97

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 [ANSWER AT A-2]?	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
Coronavirus Future Fund	8
Other Government equity scheme (SPECIFY)	9
Other form of equity (SPECIFY)	95
Don't know	97
Refused	98

ASK ALL WHO SOUGHT FINANCE IN THE LAST 12 MONTHS (H4/1-2)

H9a) **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

TO COMPLETE IF FIGURE GIVEN AT H9a

H9b) INTERVIEWERS TO RE-ENTER AMOUNT OF FINANCE SOUGHT INTO RANGE. DO NOT ASK. SINGLE CODE ONLY

£0-£9	1	Zero to ten pounds
£10-£99	2	Ten or more, less than a hundred pounds
£100-£999	3	One hundred or more, less than a thousand pounds
£1,000-£9,999	4	One thousand or more, less than ten thousand pounds
£10,000-£99,999	5	Ten thousand or more, less than one hundred thousand pounds
£100,000-£999,999	6	One hundred thousand or more, less than a million pounds
£1,000,000-£9,999,999	7	One million pound or more, less than ten million pounds
£10,000,000-£99,999,999	8	Ten million pounds or more

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 £5,000	1
£5,000 to £24,999	2
£25,000 to £99,999	3
£100,000 to £499,999	4
£500,000 to £999,999	5
£1 million to £4,999,999	6
£5 million to £9,999,999	7
£10 million or more	8
Don't know	97
Refused	98

ASK ALL WHO SOUGHT FINANCE IN THE LAST 12 MONTHS (H4/1-2)

H9d) **And in total, how much external finance did you obtain 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

TO COMPLETE IF FIGURE GIVEN AT H9d

H9e) INTERVIEWERS TO RE-ENTER AMOUNT OF FINANCE OBTAINED INTO RANGE. DO NOT ASK. SINGLE CODE ONLY

£0-£9	1	Zero to ten pounds
£10-£99	2	Ten or more, less than a hundred pounds
£100-£999	3	One hundred or more, less than a thousand pounds
£1,000-£9,999	4	One thousand or more, less than ten thousand pounds
£10,000-£99,999	5	Ten thousand or more, less than one hundred thousand pounds
£100,000-£999,999	6	One hundred thousand or more, less than a million pounds
£1,000,000-£9,999,999	7	One million pound or more, less than ten million pounds
£10,000,000-£99,999,999	8	Ten million pounds or more

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 £5,000	1
£5,000 to £24,999	2
£25,000 to £99,999	3
£100,000 to £499,999	4
£500,000 to £999,999	5
£1 million to £4,999,999	6
£5 million to £9,999,999	7
£10 million or more	8
Don't know	97
Refused	98

NO H10-H91

NO H94

ASK ALL

H95 (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

READ OUT: I'm now going to ask you about Government Coronavirus COVID-19 schemes designed to support businesses through the pandemic crisis.

H98) ASK ALL
Has your [ANSWER AT A-2] applied for any of the following coronavirus COVID-19 schemes? READ OUT. MULTICODE

BUSINESSES WITH EMPLOYEES (A2/>0): Coronavirus Job Retention (otherwise known as Furlough) Scheme	1
Self-employment Income Support Scheme	2
None of these	96
Don't know	97

H99) IF APPLIED (H98/1-2)
Has your [ANSWER AT A-2] received funds from...? READ OUT. MULTICODE

(H98/1) the Coronavirus Job Retention Scheme	1
(H98/2) the Self-employment Income Support Scheme	2
None of these	96
Don't know	97

ASK ALL

H100) **Is your [ANSWER AT A-2] using, or has it used, any of the following initiatives?** READ OUT. MULTICODE

Business rates holiday	1
Deferring VAT payments	2
HMRC Time to Pay scheme	3
None of these	96
Don't know	97

IF H5/NOT 12 OR NOT 13

H100a) **Has your [ANSWER AT A-2] used any ...?** READ OUT. MULTICODE

		Yes	No	Don't know	Refused
i	IF H5/NOT 12: Coronavirus COVID-19 Government-backed accredited loans or finance agreements such as Coronavirus Business Interruption Loan and Bounce Back Loan	1	2	3	4
ii	IF H5/NOT 13: Coronavirus COVID-19 business grants funded by government or local authority	1	2	3	4

IF USED THE CORONAVIRUS JOB RETENTION SCHEME (H99/1)

H103) **At its highest level, roughly what proportion of your workforce was furloughed?** PROMPT FOR AN APPROXIMATION. WRITE IN

%	
DO NOT READ OUT: Don't know	97
DO NOT READ OUT: Refused	98

ASK IF DK OR REF AT H103

H104) **Which of these ranges does the proportion of your workforce that was furloughed fall into?** READ OUT UNTIL ANSWER GIVEN. SINGLE CODE ONLY

No more than 10%	1
No more than 25%	2
No more than 50%	3
No more than 75%	4
More than 75% but not all	5
All/100%	6
Don't know	97
Refused	98

NO SECTION I

SECTION J: INNOVATION

ASK ALL

- J1) **I'd now like you to think about innovation within your [ANSWER AT A-2]. Has your [ANSWER AT A-2] 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

ASK ALL

- J1a) **Has your [ANSWER AT A-2] introduced any new or significantly improved services in the last three years?**

Yes	1
No	2
Don't know	97
Refused	98

ASK IF INTRODUCED NEW OR SIGNIFICANTLY IMPROVED GOODS OR SERVICES (J1/1 OR J1a/1)

- J2) **Were any of these new or significantly improved goods and services innovations new to the market, or were they all just new to your [ANSWER AT A-2]? SINGLE-CODE.**

At least some new to the market	1
All just new to the [ANSWER AT A-2]	2
Don't know	97
Refused	98

ASK ALL IN COHORT C

- J3) **Has your [ANSWER AT A-2] 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

ASK IF INTRODUCED NEW OR SIGNIFICANTLY IMPROVED PROCESSES (J3/1)

J4) **Were any of these new or significantly improved processes new to your industry, or were they all just new to your [ANSWER AT A-2]? SINGLE-CODE.**

At least some new to the industry	1
All just new to the [ANSWER AT A-2]	2
Don't know	97
Refused	98

ASK ALL IN COHORT C

J5) **Has your [ANSWER AT A-2] invested in R&D in the last three years?**

NB: 'R&D' STANDS FOR RESEARCH AND DEVELOPMENT

Yes	1
No	2
Don't know	97
Refused	98

ASK ALL WHO INVESTED IN R&D (J5/1)

J5a) **How much have you invested in R&D in the last 3 years?**

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

TO COMPLETE IF FIGURE GIVEN AT J5a

J5b) INTERVIEWERS TO RE-ENTER EXPENDITURE INTO RANGE. DO NOT ASK. SINGLE CODE ONLY

£0-£9	1	Zero to ten pounds
£10-£99	2	Ten or more, less than a hundred pounds
£100-£999	3	One hundred or more, less than a thousand pounds
£1,000-£9,999	4	One thousand or more, less than ten thousand pounds
£10,000-£99,999	5	Ten thousand or more, less than one hundred thousand pounds
£100,000-£999,999	6	One hundred thousand or more, less than a million pounds
£1,000,000-£9,999,999	7	One million pound or more, less than ten million pounds
£10,000,000-£99,999,999	8	Ten million pounds or more

ASK IF DK OR REF AT J5a

J5c) **Which of these ranges does the amount of R&D expenditure in the last 3 years fall into? READ OUT UNTIL ANSWER GIVEN. SINGLE CODE ONLY**

Less than £5,000	1
£5,000 to £24,999	2
£25,000 to £99,999	3
£100,000 to £499,999	4
£500,000 to £999,999	5
£1 million to £4,999,999	6
£5 million to £9,999,999	7
£10 million or more	8
Don't know	97
Refused	98

ASK ALL IN COHORT C

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

COHORT C WHERE APPLIED OR RECEIVED (J6/1, 2)

J6a) **Have you applied for or received an R&D grant from any of the following at any time? READ OUT. SINGLE-CODE.**

	Applied for but not received	Received	DO NOT READ OUT: Don't know	DO NOT READ OUT: Refused
UK Research and innovation (including Innovate UK, Research Councils, for example...)	1	2	3	4
UK government department	1	2	3	4
European Union	1	2	3	4
Local Enterprise Partnership/Growth Hubs	1	2	3	4

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

ASK ALL IN COHORT C

J8) **Thinking about any current or planned R and D projects your business has, if any, how as COVID-19 affected them? Please tell me the extent of the negative or positive impact, if any or if it's not applicable please say so** PROBE. SINGLE-CODE.

Not applicable	1
No impact	2
A significant negative impact	3
A moderate negative impact	4
A moderate positive impact	5
A significant positive impact	6
Don't know	7
Refused	8

ASK IF INTRODUCED NEW OR SIGNIFICANTLY IMPROVED GOODS OR SERVICES (J1/1 OR J1a/1 OR J3/1)

J10) **Has the Coronavirus Covid-19 pandemic played a role in your business introducing these new or significantly improved [J1/1: goods] [J1a/1: services] [J3/1: processes]?** PROBE. SINGLE-CODE.

No	1
Yes, a significant role	2
Yes, a small role	3
Don't know	7
Refused	8

ASK IF INTRODUCED NEW OR SIGNIFICANTLY IMPROVED GOODS OR SERVICES (J1/1 OR J1a/1 OR J3/1)

J11) **Were any of the following factors in the decision to innovate?** READ OUT. MULTIPLE CODE.

Opportunity	1
Business survival/necessity	2
Future mitigation	3
Were there other factors driving the decision to innovate? What were these?	4
Don't know	5
Refused	6

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 [ANSWER AT A-2]. In the last 12 months have you sought external advice or information on matters affecting your [ANSWER AT A-2]? 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 [ANSWER AT A-2]?	1
Strategic advice to help introduce a stepped change to grow your [ANSWER AT A-2] in terms of profitability or numbers employed, or to increase productivity?	2
Both of these?	3
Neither of these	96
Don't know	97

NO K4

ASK ALL WHO HAVE RECEIVED INFORMATION/ADVICE (K2/1)

K5) **(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 [ANSWER AT A-2]	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
Business survival or operation through Coronavirus COVID-19 pandemic and beyond	18	18
Other (SPECIFY)	95	95
Don't know	97	97

NO K6

ASK ALL WHO HAVE RECEIVED INFORMATION/ADVICE (K2/1)

K7) **Where have you been for information or advice on the running of your [ANSWER AT A-2] 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
Tax agent	16	16
The Pensions Regulator	17	17
Universities/other education sector	18	18
Work colleagues	19	19
Find business support website	20	20
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

NO K9b-c

ASK ALL WHO INFORMATION/ADVICE (K2/1)

K9d) **(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

NO K10a-c

ASK ALL IN NORTHERN IRELAND ONLY. DO NOT ASK PANEL IF APPROACHED IN 2019

K10d) **Have you ever approached Invest NI for any form of assistance, including information or guidance, to help develop your [ANSWER AT A-2]?**

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

ASK IF NEVER APPROACHED INVEST NI (K10d/2)

K10e) **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

ASK ALL THAT APPROACHED INVEST NI (K10d/1). ASK PANEL IF PREVIOUSLY APPROACHED NI INVEST

K10f) **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

ASK ALL WHO HAVE RECEIVED INFORMATION/ADVICE IN ENGLAND OR WALES OR NORTHERN IRELAND (K2/1)

K12a) **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**

Yes	1
No	2
Don't know	97

ASK ALL THAT PAID FOR INFORMATION/ADVICE (K12a/1)

K12b) **Approximately how much have you paid for external 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

£						
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Don't know 97
Refused 98

TO COMPLETE IF FIGURE GIVEN AT K12b

K12c) INTERVIEWERS TO RE-ENTER AMOUNT SPENT INTO RANGE. DO NOT ASK. SINGLE CODE ONLY

£0-£9	1	Zero to ten pounds
£10-£99	2	Ten or more, less than a hundred pounds
£100-£999	3	One hundred or more, less than a thousand pounds
£1,000-£9,999	4	One thousand or more, less than ten thousand pounds
£10,000-£99,999	5	Ten thousand or more, less than one hundred thousand pounds
£100,000-£999,999	6	One hundred thousand or more

ASK IF DK OR REF AT K12b

K12d) **Which of these ranges describes approximately how much you paid for 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

NO K13

ASK ALL IN COHORT A IN ENGLAND ONLY

K14) **Which of the following have you heard of...** READ OUT. MULTICODE 1-2. RANDOMISE ORDER OF READING 1-3

[NAME of Local Enterprise Partnership]	1
[NAME of Local Growth Hub]	2
Neither of these	96
Don't know	97

ASK FOR THOSE PEOPLE HAVE HEARD OF AT K14/1-2

K15) **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 1-2.

[NAME of Local Enterprise Partnership]	1
[NAME of Local Growth Hub]	2
No – have not engaged with either	96
Don't know	97

NO K16-K20

ASK ALL IN SCOTLAND ONLY

K21) **Are you aware of the Scottish Business Pledge?** IF YES: **Is your [ANSWER AT A-2] 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

ASK ALL EMPLOYERS IN SCOTLAND (A2>0)

K22) **Excluding volunteers, apprentices and interns, are all your employees aged 18 or over paid at or above £9.50 an hour?**

Yes,	1
No	3
Don't know	97
Refused	98

NO K23

ASK ALL EMPLOYERS IN SCOTLAND (A2>0)

K24) **Does your [ANSWER AT A-2] 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

NO K25

ASK ALL IN SCOTLAND ONLY

K26) **Do you consider your [ANSWER AT A-2] to be actively involved in your local community?**

Yes	1
No	2
Don't know	97

SECTION M: PAYMENT

COHORT A - ASK ALL

M1) **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

ASK COHORT A ONLY IF GIVE OR RECEIVE CREDIT (M1a/1 OR M1b/1), AND HAVE LESS THAN 50 EMPLOYEES (A2/0-49)

M2) **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
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ASK COHORT A ONLY THAT IF GIVE CREDIT (M1a/1)

M3) **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

NO M4-M5

ASK ALL IN SCOTLAND THAT RECEIVE CREDIT (M1b/1)

M6) **Does your [ANSWER AT A-2] 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 [ANSWER AT A-2] arranged or funded any formal off-the-job, or informal on-the-job, training or development for employees?** By off-the-job training we mean training away from the individual's immediate work position, whether on your premises or elsewhere. Please also think about any training that you've arranged or funded relating to coronavirus COVID-19. IF YES: PROBE FOR WHETHER FORMAL OFF THE JOB, INFORMAL ON THE JOB, OR BOTH. SINGLE CODE ONLY

Yes – formal off the job	1
Yes – informal on the job	2
Yes - Both	3
No	4
Don't know	5

NO N3-N4

COHORT B - ASK ALL THAT EMPLOY STAFF (A2>0)

N5a) **Has coronavirus COVID-19 impacted the training and development of your employees at all?** SINGLE CODE ONLY

Yes	1
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No	2
Don't know	3

ASK IF IMPACTED (N5a/1)

N5b) **Has coronavirus COVID-19 impacted in any of the following ways? READ OUT. CODE ALL THAT APPLY**

It's reduced the amount of formal off the job training	1
WHERE N1/1, 3: It's increased the amount of formal off the job training	2
It's reduced the amount of informal on the job training	3
WHERE N1/2, 3: It's increased the amount of informal on the job training	4
Some training has been cancelled or postponed	5
All training since around March 2020 has been cancelled or postponed	6
Other SPECIFY	7
Don't know	7

ASK COHORT B - ASK IF PROVIDE TRAINING (N1/1-3)

N5c) **Have you made changes to staff training and development as a result of COVID-19? PROBE. MULTI CODE**

Yes – introduced online/virtual training	1
Yes – increased online/virtual training	2
Yes – made changes to how on-the-job training is delivered to comply with physical/social distancing	3
Yes – other SPECIFY	4
No	5
Don't know	6

ASK COHORT B - ASK IF PROVIDE TRAINING (N1/1-3)

N5d) **Approximately how much of the training that has been funded or arranged since March 2020 been related to how to perform job roles so that there is compliance with physical/social distancing and to meet the required levels of safety and hygiene? Please provide an estimate based on how much staff time has been spent in training. PROMPT FOR AN ESTIMATE AND CODE ONE ONLY**

All training	1
More than three-quarters	2
More than half	3
More than a quarter	4
Less than a quarter	5
None/negligible	6
Don't know	97

NO N6-N12

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

N13) **Does your [ANSWER AT A-2] engage with any of the following schemes or practices? READ OUT. MULTICODE 1-5**

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

ASK EMPLOYERS ONLY (A2>0) IN SCOTLAND

N15) **In the past 12 months, have you involved your staff in the decision-making process regarding the operation and future of your business? Which of the following apply? READ OUT. MULTICODE 1-4**

You have directly consulted staff via email, phone call, letter or similar	1
You have consulted staff via trade unions or staff associations	2
You have chosen not to consult staff	3
You have not been able to consult staff	4
None of these	96
Don't know	97
Refused	98

NO SECTION O

SECTION P: TURNOVER

ASK ALL

P1) **Can you please tell me the approximate turnover of your [ANSWER AT A-2] 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**

£									
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Don't know 97

TO COMPLETE IF FIGURE GIVEN AT P1

P1a INTERVIEWERS TO RE-ENTER TURNOVER INTO RANGE. DO NOT ASK. SINGLE CODE ONLY

£0-£9	1	Zero to ten pounds
£10-£99	2	Ten or more, less than a hundred pounds
£100-£999	3	One hundred or more, less than a thousand pounds
£1,000-£9,999	4	One thousand or more, less than ten thousand pounds
£10,000-£99,999	5	Ten thousand or more, less than one hundred thousand pounds
£100,000-£999,999	6	One hundred thousand or more, less than a million pounds
£1,000,000-£9,999,999	7	One million pound or more, less than ten million pounds
£10,000,000-£99,999,999	8	Ten million pounds or more

ASK IF DK OR REF AT P1

P1b) **Which of these ranges does your turnover fall into?** READ OUT UNTIL ANSWER GIVEN. SINGLE CODE ONLY

Less than £85,000	1
£85,000 - £249,999	2
£250,000 - £499,999	3
£500,000 - £999,999	4
£1m – £1.99m	5
£2m - £4.99m	6
£5m - £9.99m	7
£10m - £14.99m	8
£15m - £24.99m	9
£25m or more	10
Don't know	97
Refused	98

ASK ALL TRADING FOR AT LEAST ONE YEAR (A6/NOT 2020)

P2) **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

ASK IF EXPECT TURNOVER TO INCREASE / DECREASE (P7/1-2)

P8) **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

ASK IF EXPECT TO DECREASE BY MORE THAN 50% (P7 '2' AND P8 '51-100'). OTHERS GO TO FILTER AT P10

P9) **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

ASK IF EXPECT TO INCREASE BY MORE THAN 100% (P7 '1' AND P8 '101-999')

P10) **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

ASK IF DON'T KNOW HOW MUCH TURNOVER WILL INCREASE/DECREASE AT P8 (P8 '97')

P11) **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

ASK ALL

P12) **Taking into account all sources of income in the last financial year, did you generate a profit or surplus?**

Yes	1
No	2
Don't know	97
Refused	98

NO SECTION Q

SECTION R: FUTURE INTENTIONS

ASK ALL

R1) **I would like to finish off by asking a few questions about the plans for your [ANSWER AT A-2] over the next three years. Over the next three years, do you aim to grow the sales of your [ANSWER AT A-2]? SINGLE-CODE**

Yes	1
No	2

ASK ALL THAT INTEND TO GROW (R1/1)

R1a) **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

ASK ALL

- R2) **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

ASK ALL IN COHORT B ONLY

- R4) **Does your [ANSWER AT A-2] plan to do any of the following over the next three years?**
 READ OUT. MULTICODE. RANDOMISE ORDER OF ASKING

BUSINESSES WITH EMPLOYEES (A2/>0): Increase the skills of the workforce	1
BUSINESSES WITH EMPLOYEES (A2/>0): Increase the leadership capability of managers	2
Capital investment (in premises, machinery etc.) in the UK	3
Capital investment (in premises, machinery etc.) in overseas markets	4
Develop and launch new products/services	5
Introduce new working practices	6
Invest in R&D	7
Increase export sales or begin selling to new overseas markets	8
BUSINESSES WITH EMPLOYEES (A2/>0): Recruitment of new staff in the UK	9
BUSINESSES WITH EMPLOYEES (A2/>0): Recruitment of new staff in overseas offices	10
BUSINESSES WITH EMPLOYEES (A2/>0): Transfer of existing staff from UK to overseas offices	11
ASK IF EXPORT (C1/1, 97 OR C2/1 97); Decrease export sales or reduce the number of overseas markets you sell to	12
None of these	96
Don't know	97
Refused	98

COHORT B - ASK IF HAVE ANY PLANS AT R4/1-12

R4a) **Have any of these plans been affected by the coronavirus COVID-19 pandemic? IF YES: Which plans?**

SHOW THOSE MENTIONED AT R4. READ AGAIN IF NECESSARY. MULTICODE.

Increase the skills of the workforce	1
Increase the leadership capability of managers	2
Capital investment (in premises, machinery etc.) in the UK	3
Capital investment (in premises, machinery etc.) in overseas markets	4
Develop and launch new products/services	5
Introduce new working practices	6
Invest in R&D	7
Increase export sales or begin selling to new overseas markets	8
Recruitment of new staff in the UK	9
Recruitment of new staff in overseas offices	10
Transfer of existing staff from UK to overseas offices	11
Decrease export sales or reduce the number of overseas markets you sell to	12
No – none of these have been affected	96
Don't know	97
Refused	98

NO R5-R8

COHORT B - ASK IF HAVE ANY PLANS AT R4/1-12

R8a) **Have any of these plans been affected by the UK exit from the EU? IF YES: Which plans?**

SHOW THOSE MENTIONED AT R4. READ AGAIN IF NECESSARY. MULTICODE.

Increase the skills of the workforce	1
Increase the leadership capability of managers	2
Capital investment (in premises, machinery etc.) in the UK	3
Capital investment (in premises, machinery etc.) in overseas markets	4
Develop and launch new products/services	5
Introduce new working practices	6
Invest in R&D	7
Increase export sales or begin selling to new overseas markets	8
Recruitment of new staff in the UK	9
Recruitment of new staff in overseas offices	10
Transfer of existing staff from UK to overseas offices	11
Decrease export sales or reduce the number of overseas markets you sell to	12
No – none of these have been affected	96
Don't know	97
Refused	98

NO SECTIONS S-T

SECTION U: END

ASK ALL

U1) **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 [ANSWER AT A-2] is progressing. Would you be willing to help with that research? SINGLE-CODE**

Yes	1
No	2
Maybe	97

ASK TOP-UPS, OR IF INTERVIEWED DIFFERENT RESPONDENT FROM 2017/2018/2019 (INTRO 2)

U1c) **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

ASK TOP-UPS, IF INTERVIEWED DIFFERENT RESPONDENT FROM 2017/2018/2019 (INTRO 2), OR IF DID NOT SUPPLY ALTERNATIVE NUMBER IN 2017 – ONLY ASK IF AGREE TO REINTERVIEW AT U1

U1a) **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

ASK TOP-UPS, IF INTERVIEWED DIFFERENT RESPONDENT FROM 2017/2018/2019/ (INTRO 2), OR IF DID NOT SUPPLY EMAIL IN 2017 – ONLY ASK IF AGREE TO REINTERVIEW AT U1

U1b) **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 2017/2018/2019 (INTRO 2), OR IF DID NOT AGREE TO LINKAGE IN 2017

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 [ANSWER AT A-2] 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...

(ENGLAND AND WALES) ...the Department for Business, Energy and Industrial Strategy

(SCOTLAND) ...the Scottish Government

(NORTHERN IRELAND) ...Invest NI

...thank you very much for your time. If you have any queries you can contact Emma Osborne at BMG Research on 0121 333 6006

NO U3-U4

U5 DELETED



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