

WERS 2004

THE WORKPLACE EMPLOYMENT RELATIONS SURVEY 2004

INTERVIEWER HANDBOOK VERSION 1

P2336 (Main)
P2400 (Panel)

January 2004

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APPENDIX 1: LIST OF MATERIALS

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SECTION ONE: INTRODUCTION

The National Centre for Social Research (NatCen) has been commissioned to carry out the Workplace Employment Relations Survey 2004 (WERS 2004). This is the fifth in a government-funded series of surveys carried out at British workplaces, which has always been considered to be the most authoritative source of information on employment relations in Great Britain. The other four surveys in the series, in 1980, 1984, 1990 and 1997 were also carried out by NatCen. We are very pleased to have been entrusted with the fifth survey in this series.

The overall purpose of the series is to provide background information on the state of management/employment relations in Britain both for the formulation of new government policies and as an indication of the effects of past and current policies. Additionally the survey data have a more general use among business organisations, trade unions and academic researchers.

The fifth survey is funded by the Department of Trade and Industry (DTI), the Advisory, Conciliation and Arbitration Service (ACAS), the Economic Social and Research Council (ESRC) and the Policy Studies Institute (PSI).

This handbook provides general guidance on the procedures to be followed in data collection, including in particular:

- How the samples for the survey have been obtained
- How establishments are to be defined for the survey, with examples of some issues which can arise in defining the establishment
- An introduction to employment relations, unions and recognition
- Procedures for selecting and contacting respondents, including advance letters
- The address record forms
- Main Survey questionnaires/interviews:
 - Main Survey Management interview (MQ)
 - Self-completion Employee Profile Questionnaire (EPQ)
 - Self-completion Financial Performance Questionnaire (FPQ)
 - Worker Representative interview(s) (WRQ)
 - Self-completion Survey of Employees Questionnaire (SEQ)
- Panel Survey questionnaires/interviews:
 - Panel Survey Management interview (PQ)
 - Self-completion Basic Workforce Data Sheet (BWDS)

The notes provided here and guidance given in the briefing cannot cover every situation that may arise in one of your sampled establishments. Please refer to the principles described in the document and try to work out how they apply in the case of each issued address. Where you are still unsure of the correct procedure, refer to the NatCen research team (see Sections Two and Eleven).

SECTION TWO: THE RESEARCH, FIELD AND DP TEAMS

A number of researchers both from NatCen and from the funding organisations will be concerned with the running of the survey. The teams responsible for the conduct of the survey comprise:

FUNDING RESEARCH TEAM	NatCen
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DTI

Barbara Kersley
Carmen Alpin
John Forth

ACAS

Gill Dix
Sarah Oxenbridge

PSI

Alex Bryson
Helen Bewley

Research Team

Stephen Woodland
Joanna Chaplin
Rory Fitzgerald
Rachel Breman
Jane Mangla
Colin Airey
Norma Havard

Field

Pink Team
Area Managers

Queries relating to the nature and subject matter of the survey should be raised in the first instance with the members of the NatCen research or field teams (who may then refer them to the researchers at DTI, ACAS, PSI).

Further details about the raising of queries are covered in Section Ten.

SECTION THREE: SUMMARY OF SURVEY DESIGN

3.1 There are three separate samples for the survey:

- Main Sample

Approximately 4,000 workplace addresses distributed throughout England, Scotland and Wales have been drawn from the Inter Departmental Business Register (IDBR). (See Section Four for further details.) Each workplace selected in the sample will have been recorded as having **five** or more employees (full or part time) at the time of the last update. These workplaces will cover a complete cross section¹ of the working population in England, Scotland and Wales. They will include manufacturing, service industries, finance, banking and other commercial businesses, as well as the 'public sector' - local government, education and the National Health Service and central government departments.

- Panel Sample

In 1997-8, interviews were achieved in around 2,200 establishments as part of the Main survey (a response rate of 80%). The 2004 Panel Sample is drawn from those establishments interviewed for the Main survey in 1997-8. Not all of the 2,200 will be issued for re-interview; a random subset of almost 1,500 has been selected for interview, and the remainder for screening only. The 2004 panel sample will therefore include establishments of different sizes and activities, in all parts of England, Scotland and Wales. It will not, however, include any duplicates of addresses that form part of the Main sample. There is no overlap between the two samples. The size criteria for inclusion in the 1997-8 survey was that the establishment should have **10** or more employees. Only those establishments identified as still having 10 employees or more now (i.e. in 2004) will be included in the Panel sample.

- Panel screening sample

Those establishments that were interviewed for the main survey in 1997-8 but which have not been selected for the Panel sample form the panel screening sample. These establishments, around 700 of them, are issued for screening only, to establish whether or not they are continuing establishments.

3.2 The survey focuses both on workplaces or establishments and on individuals. At all selected establishments we will be interviewing a management respondent about practices and procedures in their establishments. However, in the Main sample, we shall interview up to two representatives of the employees (where one is present) about their role in the workplace and also undertake a self-completion survey of employees at the establishment.

In more detail, the interviews to be carried out at each establishment are as follows:

- At both Main and Panel addresses an interview will be carried out with the senior manager who deals with personnel and employee/staff relations. The terms 'industrial relations' and 'human and manpower resources' may also form part of their job title. The manager will be responsible for a number of employment practices involving management and workers at that establishment (see Section Six for further details). In the great majority of cases the appropriate person will be available for interview at the site of the establishment. Sometimes the selected respondent may not be able to answer **all** sections of the questionnaire and other on-site management respondents may be called upon. For a small number of cases the interview (either wholly or in part) will need to take place off-site at a Head Office or a Regional/Divisional Office.

¹ Some sectors, notably Agriculture and Mining, have, however, been excluded from the survey.

The interview with the senior manager, which will be in CAPI, will be referred to throughout this document as either **MQ** (Main) or **PQ** (Panel).

- In order to allow the respondent time to refer to records and computer files before the interview (and also in order to shorten the length of the management interviews) you will be sending in advance to all establishments a short questionnaire which collects information about the number and different types of employee at each establishment. This should be completed **before** you arrive at the establishment. You may find it helpful to contact the workplace to ensure that the questionnaire was received and to stress the importance of having it ready at the start of the interview. You will need to key in various details from this document at the start of the interview, and these details will be referred to during the course of the interview.

For the Main sample this paper questionnaire is coloured **blue** and named Employee Profile Questionnaire (**EPQ**).

For the Panel sample the paper questionnaire is coloured **green** and named Basic Workforce Data Sheet (**BWDS**).

- For the Main sample only there are **three** further questionnaires to be administered.
 - Where there are **recognised** unions at an establishment, an interview will be carried out with the **senior** representative of the largest recognised union. This person is likely to be referred to as the ‘senior steward’, ‘senior union rep’, ‘lead union rep’ or ‘works convenor’. The interview will take place with an **on-site** representative but if this union does not have a representative based at the establishment, one based at another establishment will be interviewed.

If there are **no recognised unions** we will **instead** be seeking to carry out interviews with the senior representative of the largest union, even though that union is **not recognised**. Again, the interview will take place with an **on-site** representative but if this union does not have a representative based at the establishment, one based at another establishment will be interviewed.

If there is a **joint consultative committee** comprising both employees and management, we **also** want to interview the senior non-union employee representative² who sits on this committee. This person is likely to be referred to as the ‘lead rep’. If it is not possible to identify a lead rep, the longest serving representative would be interviewed.

If there is no joint **consultative committee** we will **instead** be seeking to carry out interviews with the senior stand-alone non-union representative.

More often than not NON-UNION employee representatives will be in workplaces where there are no UNION representatives. However this is not always so. In almost one in ten workplaces non-union employee representatives will be found to co-exist with union representatives. In these cases we want to interview **both**.

Not all workplaces will have a worker representative (of either sort) to be interviewed. Approximately one in two workplaces will have representatives of recognised unions, only 1% will have representatives of non-recognised unions, over 1 in 10 will have non-union representatives sitting on joint consultative committees and only 6% will have stand-alone non-union representatives.

Obviously these interviews can only be carried out with the consent of the management respondent.

² Note non-union reps may be union members, but they represent a constituency that is not defined by union membership.

A single CAPI questionnaire will be used for interviewing the UNION representative **and** the NON-UNION representative. The CAPI programme determines, on the basis of the answers given in the **MQ**, whether there is an appropriate role holder at the workplace and this is signalled to you at the end of the interview. It is not a decision that you, yourself, have to make.

This CAPI questionnaire will be referred to as the **WRQ**.

- The next questionnaire is a paper self-completion questionnaire which is to be left behind to be completed by someone who is responsible for financial matters at the workplace. In many workplaces this will be the same person you have interviewed for the **MQ**, but in others, this function may be carried out by another manager. The person filling out this short form can either return the questionnaire by post to NatCen, using the reply-paid envelope you will have left with them, or they can leave it for you to pick up when you return to do the **WRQ** or to collect the employee self-completion questionnaires.

This paper questionnaire is coloured yellow and will be referred to as the **FPQ**.

- The final questionnaire is a paper self-completion questionnaire which is to be left behind to be completed by a sample (maximum 25) of employees at the establishment. You have to obtain the co-operation of management in selecting the employees at the workplace who are to participate in this part of the survey. Employees will be given the option of posting the questionnaires directly to NatCen in reply-paid envelopes or leaving them at a workplace collection point. You may be asked to return to the workplace to collect the questionnaires once they have been completed.

This part of the survey deals with employees' attitudes to work and their workplace. The questionnaire is pink, and is referred to as the **SEQ**.

Detailed instructions follow on the definition of an establishment (Section Four), the concept of union 'recognition' in the workplace (Section Five) and the identification of the persons whom you will be interviewing (Section Six).

SECTION FOUR: THE SAMPLE

4A THE SOURCE OF THE ADDRESSES

4A.1 The Main survey

The sample for the Main Survey is randomly selected from the Inter-Departmental Business Register (IDBR). This consists of a register of businesses operating in the UK, maintained by the Office for National Statistics and used as a sampling frame for business surveys carried out by, or on behalf of, central government. The register covers all sectors of employment-manufacturing, service industries, banking and finance, public sector (including the NHS and education) and private sector. The register is compiled from a number of sources, principally the **Customs & Excise VAT** records and the **Inland Revenue PAYE** records. If any employer selected for WERS 2004 should inquire how the name of his company has been identified, you should explain that the Government maintains a register of businesses for VAT and PAYE purposes and that this is the source of our sample.

The units in the IDBR are organised in a number of ways reflecting the different purposes of the register. Relevant to WERS 2004 are three types of unit:

LOCAL UNITS: These are individual establishments (factories, shops, offices), at separate sites. Both private sector and public sector establishments are included.

ENTERPRISES are units that are under common ownership or control. An enterprise usually has a degree of autonomy, but it may be ultimately controlled by a larger organisation - an Enterprise Group.

REPORTING UNITS: These have responsibility for relating details to the IDBR about the local units within an enterprise. Within any enterprise there will be one or more reporting units. Information about the reporting unit is provided on the ARF primarily because these are the only units for which IDBR can provide a telephone number. Sometimes the reporting unit and the local unit are identical. Where they differ, the reporting unit should not be treated as the selected establishment.

The addresses on the Address Record form for the main sample are those of **LOCAL UNITS** drawn from the IDBR.

In addition to the label covering the address of the unit, the Main sample ARFs carry **three** additional labels which contain information which will be useful in helping to define the establishment in certain cases. The information on these labels is discussed in Section Seven.

4A.2 The Panel survey

The sample for the panel is drawn from those establishments interviewed in WERS98.

4B THE DEFINITION OF AN ESTABLISHMENT

4B.1 We define an establishment as

THE ACTIVITIES OF A SINGLE EMPLOYER AT A SINGLE SET OF PREMISES.

The great majority of units drawn from the IDBR are separate establishments (or workplaces³) as defined above and there will be no problems of identification.

In a **minority** of cases, however, the identification of an establishment will **not** be entirely straightforward. The basic principles of sorting out complicated cases are set out below. They are not difficult to grasp but you should keep these instructions to hand to help if problems arise.

Any problems there might be relating to the definition of establishments are different for the Main and Panel samples. For the Main sample you have to match what you find 'on the ground', with the IDBR description. For the Panel sample these problems were initially faced in 1997-8. All the issued addresses were verified as establishments in 1997-8; the problems in 2004 are to do with whether they still continue to exist or not (see Section 7).

4B.2 'A SINGLE SET OF PREMISES'

In most cases this will consist of one address and it will correspond to the local unit address on the Address Record Form. Occasionally there will be variations because the establishment consists of several different buildings. A group of buildings belonging to the same employer will be counted as one establishment provided that they are physically near to one another and that it is not possible to draw up separate lists of staff for each of them.

Example A

The manufacturer's premises might be on a corner with the factory fronting Road A and an office fronting Road B. Both are part of the same site, so both together constitute 'the establishment', regardless of whether they have identical addresses, and regardless of which was the sampled address.

Example B

In its early years NATCEN occupied 16 Duncan Terrace, a converted house. But if the interviewer had called there she would have found NATCEN operating in two houses, side by side (16 and 17). It also 'overflowed' into a couple of rooms a minute away at No. 32 and also at No. 7. All four units of accommodation would be counted as part of the main establishment, even though only '16' appeared in the address.

³ In the survey, the terms "workplace" and "establishment" are used interchangeably.

Example C

The Whittington Hospital in North London is an example of a 'complex' set of buildings linked by being close together and used by employees of the same employer. The buildings in this case are on different sides of major public roads - but most of them are (in principle) only a few minutes apart by foot. Some buildings, used as hospital wards, are further away than this - but they have no separate identity or staff and are administered as part of the hospital. All of them therefore would constitute one establishment, to be interviewed as one unit.

Example D

The City University, near to NatCen's Head Office, is in many ways similar to the Whittington Hospital. It is on an island site surrounded by a number of roads. It has various satellite buildings some very near, some a few minutes away. Some of the buildings house units of the university that have been set up separately, but have their own staff who always work at that building and although, formally, part of the university are administered independently. An example would be the Centre for Arts Administration, housed at a separate address, half a mile away from the main university building. The question of whether a satellite unit should be included as part of the main establishment or not is not simply a matter of distance but function. If information about the number of employees is not separately available for any of the staff at the satellite units, then that unit must be counted as part of the main establishment. This would be the criterion you would use if the sampled address was the City University and it was unclear whether the Centre for Arts Administration was part of the sampled address or whether it should be treated as a separate establishment.

4B.3 THE ACTIVITIES OF A SINGLE EMPLOYER

In the previous paragraph we showed that an establishment might cover more than one building. On the other hand one building could also contain several establishments. For example an office block might contain a number of offices each of which belongs to a different employer. These offices will be counted as different establishments even if they are owned by the same organisation at a higher level.

Example E

We encounter Silver Roadways Limited, operating on one floor of a building. It is a subsidiary of a major holding company, AMTEX. On the other floors in the same building are other AMTEX subsidiaries. Because Silver Roadways Limited is a separate operating company within the organisation and because it was specifically named on your Address Record Form, it constitutes an establishment in its own right. The employer is Silver Roadways, not AMTEX.

However, a different example of there being several distinct units or departments within one building all belonging to the same employer would lead to quite different treatment.

Example F

The address of the sampled establishment is Social Services Department, Town Hall, Islington with between 25 and 49 employees. When you arrive you find that the Social Services Department is only one of several located in the Town Hall. All of the departments make up a total of seven hundred employees, all of whom are employed by the London Borough of Islington. A further complication is that you find that there are two other separate units of the Social Services Department located in other parts of the borough, each employing more than 50 staff.

The correct procedure in this instance is for the interview to be conducted not about the Social Services Department as it is not an employer, but about the entire Town Hall staff - since only this would be accounting for the activities of a single employer on a single site. This is therefore fundamentally different from Silver Roadways Ltd (Example E). The other units of the Social Services Department should be excluded since they were clearly not included at the premises identified by the address on the IDBR return.

4B.4 EMPLOYEES OF THE ESTABLISHMENT

The employees of an establishment are people with a **contract of employment** in its strict sense. They may be full or part-time employees. They may have open-ended 'permanent' contracts or they may have 'fixed term' contracts provided that they do have a contract and are not casual or temporary workers. They need not necessarily work **at** the premises of the sampled unit - but if not, they must be deemed to work **from** those premises. Thus representatives, travelling salesmen and similar employees would count as employees of an establishment, provided it is the one to which they principally report.

Personnel who are away sick, on maternity absence or on secondment would be included as current employees. Their contract of employment is still valid even though they are not currently attending the establishment.

There may often be uncertainty over whether a person is an employee or not. If the employer has a duty to provide work, controls when and how it is done, supplies the tools or other equipment needed to do it and pays tax and national insurance contributions on the worker's behalf, then it is likely that the worker is an employee. If, on the other hand, the worker can decide whether or not to accept work and how to carry it out, makes his or her own arrangements for holidays or sickness absences, pays his or her own tax and national insurance contributions and is free to do the same type of work for more than one employer at the same time, this points towards the person being self-employed. The fact that a worker is described (either by himself or herself or by the employer) as being self-employed does not necessarily mean that this is actually so.

However certain groups, listed below, would **not** count as employees for the purposes of this survey and should not be included in the totals given on the EPQ or BWDS.

Do **NOT** include:

Owners/proprietors of small businesses. Even though they may be working at the establishment if they are the employer they cannot also be an employee. Managing and other directors would generally have a contract of employment and would count as employees.

Freelance or self-employed workers without a contract of employment. This category would include, for example, milk delivery persons who are now 'franchised' to act as independent agents - though some years ago they might have been employees of a dairy.

Homeworkers or outworkers without a contract of employment.

Temporary or casual workers who would be paid on an hourly basis, without any agreed period of notice or other terms and conditions of employment.

Temporary staff from an employment agency.

Subcontracted staff from specialist firms. In some government offices, hospitals and other public sector establishments, the subcontracting of certain functions - eg cleaning, computer support, security, building management - is widespread. The practice is also increasingly found in private sector establishments.

Subcontracted staff will be employees of the firm that is the contractor for the service.

Below are some examples to demonstrate how the rules apply where not all of the people working at an establishment are part of the workforce.

Example G

*A car components factory in the Midlands, LEYPART Ltd, employs a total of 1500 employees, doing different types of jobs: skilled craftsmen, unskilled workers, office and administrative staff and so on. It subcontracts, however, the canteen service to a specialist catering firm, FRESHSERVE Ltd, who have allocated 35 full and part-time staff to work in the canteen. The catering staff would regard the LEYPART factory as their place of work. They are, however, **employees** of FRESHSERVE.*

*The key point for WERS is that the employees of **contractors** are not part of the workforce of LEYPART Ltd. If the sampled establishment is LEYPART Ltd, the WERS questionnaires and interviews should ignore the employees of FRESHSERVE.*

Example H

*Suppose, however, the sampled address were an administrative office of FRESHSERVE Ltd, whose function was to recruit, train and supervise staff to work in various factories, such as LEYPART Ltd. Although the number of FRESHSERVE employees actually working at the sampled address might be 30 or so, the office would be controlling a large number of catering employees, say 500 or so, whose working lives were spent at different canteens in various locations. They are however all **employees** of FRESHSERVE who would be categorised as working 'at or from' the administrative office and would be included in the workforce at the sampled address.*

4B.5 Head Offices

Frequently the sampled address will be one of a number of separately identifiable branches of a large employing organisation, for example a bank or retail chain. If the sampled address should happen to be the Head Office (or an Area or Divisional Office) of such an organisation, interviewers should remember that the interview is conducted only about the Head Office itself and about the staff who are actually employed at those premises. The fact that managers at that Head Office may handle negotiations with the unions covering many branches of the organisation is not relevant to the interview.

Example J

*NATCEN currently has two offices - the Head Office in Northampton Square, London, and the Field/DP Office in Brentwood, Essex. The former office houses about 130 employees, the latter about 100 employees; there are also 10 or so home based employees who report to the Field Office. However there are no senior personnel/admin or pay staff at the Brentwood Office. All these matters are dealt with at the Head Office. NATCEN would therefore comprise **two** local units on the IDBR. However if the sampled address was the Brentwood office, the management respondent would have to be interviewed **at** the Head Office, but **about** the Brentwood Office. The worker representative, however, might still need to be interviewed at the Brentwood office.*

4B.6 'Closed Down'

If 'closing down' amounts to no more than a change of name - that is the establishment is still under the same or under different ownership, but the activity that was previously being carried on still continues at the same address, then an interview should still be sought.

In some cases the address will prove to be a construction site that has now closed down. When this is the case, interviewers should establish the current address of the company responsible for the construction and refer back to the NATCEN research team for further instructions.

If an establishment proves to be in **receivership** or in **liquidation** it may still be continuing to trade. If it still has 5 or more employees (Main)/10 or more employees (Panel) then an interview should be sought in the normal way.

However if 'closing down' is part of an amalgamation, see 4B8 below.

4B.7 Moved

If an establishment has not changed its activity but has simply moved to **new** premises, then it remains eligible for interview. After checking with your Area Manager you should seek an interview if the new address is reasonably near, or send the address back to the Field Office if it is not, for reallocation to another interviewer.

However, if the move is part of an amalgamation, see 4B8 below.

4B.8 Amalgamations (with or without a change of ownership)

Main Sample

The address might prove to be that of a unit that has amalgamated with another unit within its enterprise or enterprise group, after the IDBR return was submitted. Consequently the number of employees (now) might be significantly different from the number on the ARF. Additionally the main activity might have changed or been extended.

This amalgamation might have taken place after a merger of two enterprises or the takeover of one by the other (but not necessarily so).

The basic rule in such cases is that if the sampled unit has moved to another site and merged with another unit which already existed prior to the merger, then the sampled unit should be regarded as having closed down and **no interview attempted**.

If the merger has taken place at the site of the sampled unit and it has expanded its size or range of activities, then an interview should be sought.

If the sampled unit has merged with another unit at a **new** site which came into being at the time of the merger then an interview should be sought in this case also.

A further complication is when the amalgamation is between two units, **both** of which have been selected as part of our sample. You might not of course know this at the time of the interview. If you do (i.e. because both addresses have been issued to you), then carry out the interview, following the usual procedures, and completing Section D on the Main Sample ARF to indicate the serial number of the amalgamated unit.

Panel Sample

The basic rule for amalgamation of panel establishments is as follows:

“If an establishment has amalgamated with another unit since 1998, the test of eligibility for a panel interview would depend largely on what happened to the establishment’s workforce. If a majority of the employees (50% or more) had remained as an entity, then the establishment to be covered in 2004 would be where these people were, whether that was the original location or elsewhere. In particular, if the 1997-8 establishment had been closed and the workforce absorbed into another site, the interview would be conducted at that other site.”

The details of any amalgamation (or merger of organisations) will be gathered during the course of the screening questionnaire that forms part of the Panel ARFs. These are discussed in Sections Six and Seven. Interviewers are to refer all such cases to the research team for advice on how to proceed.

4B.9 Complex establishments

There are various large establishments that can be difficult to define or to identify an appropriate respondent. An example would be a teaching hospital, which may have separate responsibility for management of medical and non-medical staff. (NHS Trust status may have simplified such aspects of management). Similarly, university administrators may have responsibility for central staff, but teaching staff may be recruited and managed by the academic departments or units in which they work. Some other employment matters, such as pay negotiation or pensions, may have no relationship to establishments at all, as is also the case with local government and other educational establishments.

The fundamental problem which may arise in such cases is that no one has overall responsibility for employment throughout the establishment. In such cases, the best advice seems to be that you should identify the person with responsibility for the greatest part of the workforce and explain to this person that in the interview we also need them to provide answers which are valid for parts of the workforce which are not their direct responsibility. This is particularly important in terms of the number of employees in different categories.

In most cases, the arrangements governing the more complex establishments will have been sorted prior to the address being issued to an interviewer. The NatCen and DTI research teams as a rule contact these establishments to get their permission to participate in the study, and in doing so, issues such as defining the establishment are raised and resolved. Therefore, the number of truly complex cases that an interviewer would have to deal with ‘cold’ is likely to be relatively small.

4B.10 To summarise:**◆ THE BASIC PRINCIPLES OF DEFINING AN ESTABLISHMENT ARE:****A SINGLE SET OF PREMISES****THE ACTIVITIES OF A SINGLE EMPLOYER****EMPLOYEES WHO HAVE A CONTRACT OF EMPLOYMENT WITH THE SITE EMPLOYER****◆ THE MAIN PROBLEM CASES ARE COVERED BY:**

- If a single employer carries out **activities within several buildings:**
Include within the establishment:
 - those buildings which are situated close together and
 - those in which staff are administered as a single unit
- If there are a **number of businesses** at those premises:
 - the establishment refers to the employees of the named particular employer
- If the establishment is the **Head office** of an organisation with workplaces elsewhere:
 - the interview is only about the Head Office and not about the way it administers management/employment relations elsewhere in the organisation.
- If the establishment is in **receivership** interview if:
 - it is continuing to trade and
 - it is currently employing 5 or more people (Main Survey)
 - or* it is currently employing 10 or more people (Panel Survey)
- If the establishment has **moved premises** follow up at the new premises and interview.
- If the establishment has **amalgamated with another establishment at a different address,**
 - interview only if the new address constitutes a new unit which did not exist prior to the amalgamation - (Main Survey)
 - refer to research team after completing a screening questionnaire - (Panel Survey)

SECTION FIVE: EMPLOYMENT RELATIONS, UNIONS AND RECOGNITION

5.1 *Employment Relations*

The central interest of this survey is the employment relationship. Each employee, in law, has a ‘contract of employment’ with their employer. The terms of this contract may or may not be written down. Many aspects of the contract are likely to be mutual understandings, which reflect past ‘custom and practice’ in that workplace or, ‘the way things are done around here.’

The parties to the contract are the individual employee and their employer. Typically, in anything other than very small organisations, individual employees do not deal direct with the owners, but with managers, who act as the employer’s agent. Sometimes, third parties become involved in the contract, and the most common form of these are trade unions that negotiate with managers on behalf of a group of employees. Where they do this, the agreement between managers and the union (or unions) spells out matters such as pay rates, holidays and so forth, which then form part of individual employees’ contractual terms.

During the management interviews, we ask the respondent about the following issues:

- Pay or conditions of employment (e.g. hours, holidays, pensions)
- Recruitment or selection of employees
- Training of employees
- Systems of payment
- Grievances and disciplinary matters
- Consultation and information sharing
- Equal opportunities
- Health and safety
- Performance appraisals

The interview is therefore very wide-ranging. And since each of these issues needs to be dealt with in some detail, the interview can sometimes take more than 2 hours to complete. However, if we were to ignore any of these issues, we would obtain only a partial picture of the employment relationship that exists at the workplace.

We consider all of these issues to be ones surrounding the regulation of the employment relationship and, therefore, as being central to employment relations. We use the term ‘employment relations’ in preference to ‘industrial relations’ because it carries fewer connotations about the subject matter. Some people automatically equate ‘industrial relations’ with unions and strikes, but that is not what WERS is about, and these two issues account for a small proportion of the two management interviews. By using ‘employment relations’ we are attempting to convey to respondents that we are interested in all aspects of the employment relationship.

One important feature of employment relations in Britain is that the nature of the employment relationship can differ greatly from one workplace to another. For instance, some workplaces will have a rather formal system of employment relations, overseen by a specialist personnel manager and characterised by the use of written policies or procedures. Others will operate in a more informal manner, with employment relations forming part of the broad responsibilities of a general manager who manages employees in accordance with custom and practice that has built up in that workplace. The employment relationship can also vary greatly between employees doing different jobs within the same workplace, particularly in respect of rates of pay, hours of work, access to training and the like

Mapping these differences, and understanding the reasons that lie behind them, are the main purposes of WERS.

5.2 *Unions and recognition*

As we have already stated, the WERS interviews cover a wide range of topics. However, the topic of trade unions is particularly worthy of note.

Unions act on behalf of the workforce, or a section of the workforce, in collective dealings with management. The dialogue between management and unions is usually about pay, but it often extends to other areas as well. Where management has agreed to negotiate with a union about pay and conditions of employment we say the union is **recognised** by management. In some workplaces, management may refuse to negotiate about pay and conditions, even though some employees might be union members. Here, we say the union is **not** recognised.

In the public sector, and in large private sector companies, negotiations about pay and conditions often take place at a level higher than the workplace, sometimes at head office and sometimes between a union and an employer association representing several companies in an industry. In these cases unions at a particular workplace are still counted as recognised, even if the managers and/or worker representatives at that workplace are not personally involved in negotiations.

Although the questionnaires are designed to capture the details of multi-union arrangements, it is more common for there to be just one union recognised by management at a workplace. However, sometimes several recognised unions join together for negotiating purposes into a bargaining unit. Sometimes in the survey we use the term bargaining unit even where a group includes only one union.

Under a third of all employees in Britain are union members, but because very small workplaces are excluded from the WERS sample overall it is likely to be higher than this in the survey. The level of unionisation in a workplace is associated with employment size: the larger the workplace, the more likely there is to be some union members. Unionisation is also higher in the public sector than the private, and higher in some industries than others - in the utilities (e.g. electricity, gas, water, telephone) union membership is much higher than in some service industries (e.g. retail, hotels).

It is often the case that different unions organise different sorts of workers. Hence, within the one workplace, several unions may have members. It is common, for example, to find skilled manual workers, sometimes known as 'craft workers' in different unions from routine unskilled workers. For example, in manufacturing establishments skilled workers such as maintenance electricians might be in AMICUS, whilst unskilled production workers might be members of the TGWU.

The names of the unions are in some cases long and cumbersome, resulting from amalgamations of smaller unions; hence, they are often referred to by their initials. The most recent merger of note was between the Amalgamated Engineering and Electrical Union (AEEU) and the Manufacturing, Science and Finance Union (MSF), who merged to form AMICUS. Although this is now formally one union, the two parts remain distinct and are often referred to as AMICUS-AEEU and AMICUS-MSF respectively.

We have listed both the names and initials of the larger unions below. These 15 unions account for around four-fifths of all union members in Britain, with the remaining one-fifth spread among 180 smaller unions.

Unions with 100,000 members or more		Members ('000s)
UNISON	The Public Service Union	1,273
AMICUS		1,072
TGWU or 'T&G'	Transport and General Workers Union	848
GMB	General and Municipal Boilermakers	689
RCN	Royal College of Nursing	344
NUT	National Union of Teachers	314
USDAW	Union of Shop Distributive and Allied Workers	310
PCSU or PCS	Public and Commercial Services Union	282
CWU	Communications Workers Union	280
NASUWT	National Association of Schoolmasters and Union of Women Teachers	254
ATL	Association of Teachers and Lecturers	187
GPMU	Graphical Paper and Media Union	170
UNIFI		154
UCATT	Union of Construction Allied Trades and Technicians	119
BMA	British Medical Association	113

All the unions listed above have been **certified** as independent by the government's Certification Officer. He decides if the union is sufficiently independent of management to be awarded a certificate. In the conduct of WERS you may come across examples of in-house unions that are not independent (e.g. Harrods Staff Union). These are often called staff associations but, confusingly, there are several staff associations that once were in-house unions but have since been certified as independent.

5.3 *The Structure of Trade Unions and Bargaining: the NHS and the Education sector*

The NHS

The NHS has a large number of bodies that represent employees. Firstly, there are the trade unions, the main ones being TGWU, GMB, AMICUS-AEEU, UCATT, UNISON (which was formed out of an amalgamation between NALGO, NUPE and COHSE) and AMICUS-MSF.

Also present in the NHS are organisations representing the professional interests of their members, for example, the Royal College of Nurses and the British Medical Association, which in practice operate as independent trade unions. Other professional organisations may be identified within the NHS, which do **not** negotiate their members' pay or otherwise act as unions.

Therefore, some care will be needed when defining the number of unions present.

Pay and conditions for most NHS staff are determined nationally. For *medical* groups such as doctors, dentists, nurses and midwives, these are based on recommendations of independent **pay review bodies**. For other groups, including ambulance staff, scientists, clerical staff and maintenance workers, they are determined through negotiations between managers and unions (also termed **collective bargaining**). However, some NHS trusts have staff on local contracts and determine their own pay and conditions. In addition, managers also have the choice about the forum used to meet staff representatives and the issues to be negotiated/consulted about.

By far the most common model to have emerged is the single table forum where representatives from all the staff organisations present at the trust will collectively negotiate with management. The other style of forum is the multi-table model that will usually have about four or five bargaining units, each covering different groups of employees and usually involving different unions.

Whereas before full-time union officials had responsibility for carrying out negotiations, now much of that responsibility has shifted to union representatives at the workplace. This should mean that worker representatives are identified in most cases.

The Education Sector

Over 400,000 teachers in more than 24,000 schools are distributed unevenly between 6 trade unions, with nearly all classroom teachers belonging to one of the three largest. These are the National Union of Teachers (NUT), the National Association of Schoolmasters and Union of Women Teachers (NASUWT) and the Association of Teachers and Lecturers (ATL). It will be commonplace for a selection of these unions to be present at each school, with the unions often competing for membership.

Statutory pay and conditions for primary and secondary school teachers in England and Wales are **not** negotiated with unions but based on recommendations by the School Teachers Review Body. These apply nationally. The positioning of individual teachers and head teachers on the national pay spine is determined by a number of local discretionary factors such as experience, responsibility, recruitment and retention, and excellence.

Pay for the various groups of staff in sixth form colleges, further education colleges, and higher education (“old” and “new” universities) is negotiated nationally by the relevant employers’ representatives and trade unions.

SECTION SIX: CONTACT PROCEDURES - WHOM TO INTERVIEW

6A *THE MANAGEMENT RESPONDENT*

Our aim is to interview the **SENIOR** manager who deals with **PERSONNEL, STAFF or EMPLOYMENT RELATIONS** at the establishment.

In large industrial establishments there will be specialist employment relations staff and the appropriate person may well have the title **EMPLOYEE RELATIONS MANAGER** or **EMPLOYEE RELATIONS DIRECTOR**. Alternatively, industrial/employment relations may be merged with ‘personnel’ or ‘human resources’ more generally, and the appropriate person would be the **SENIOR PERSONNEL MANAGER** or **SENIOR HUMAN RESOURCES MANAGER**.

In Section 5.1 we listed a number of issues which are central to employment relations. The respondent’s job must cover the majority, if not all, of these issues - insofar as they apply at the establishment.

Only a **senior** person at the establishment will be able to answer the questions we are asking. Appointments should **not** be made with junior members of a department - even though this may initially be suggested. However interviewers should be conscious of the danger of making appointments with individuals who are **so senior** that they will not have immediate access to information about the establishment.

In other establishments, the senior person who deals with **industrial/personnel or employment relations** may not be a specialist and may not have these terms in his or her job title. He or she might be a general manager, managing director or other director (e.g. finance or production director). This will often be the case among establishments with fewer than 100 employees. In very small workplaces, it may even be the owner or proprietor.

In schools the management respondent is likely to be the Head Teacher; in places of higher education the Bursar or Senior Administrator; in hospitals the Senior Administrator.

Although the range of job titles that the respondent may have is wide, our experience in the past is that interviewers have not found determining the right person in the establishment to interview to be a serious problem.

A point of particular relevance for panel interviews is that the 1997-8 respondent, even if they still work at the same establishment, may no longer be the right person to interview. They may have changed jobs, for example, or the establishment may have expanded or been restructured so that another person is now a more appropriate respondent. Notwithstanding this, interviewers working on the previous survey (WERS98) remarked on how helpful it was to have the name of the 1990 respondent when they first made contact.

6B MAKING CONTACT

The contact procedures are divided into a number of stages.

6B1 FIRST STAGES

There are distinct procedures for the Main and Panel samples.

Main sample

The first task is to contact by telephone each of your establishments and identify the NAME AND JOB TITLE of the senior person in charge of personnel/employment relations. It will generally **not** be necessary (or to your advantage) to mention at this stage that you are involved in the conduct of a survey. You simply need to identify the person to whom you should address the letter from the D.T.I. During this telephone contact, however, you should confirm that the establishment has 5 or more employees (full or part time). To the best of our knowledge this is true of all establishments in the sample. However, if it can be established **beyond all reasonable doubt** that the establishment **now** has fewer than 5 employees, you should apologise for the trouble caused, explain that an interview is not required and complete the appropriate entry on the Address Record Form.

Panel sample

The first task with **all** of the panel sample is to check whether the establishment, as defined for the purpose of the Panel Survey, has continued in existence since 1997/98.

In some cases, for example Sainsbury's, Tesco and similar, this will be obvious, and you should contact the respondent following the same procedures as used for the MQ. Other cases will be less clear-cut, and for this reason both of the Panel ARFs contain a screening questionnaire. This has been designed to help you check whether the establishment, as defined for the purpose of the Panel Survey, has continued in existence since 1997/98. It is in the form of a questionnaire, but you should think of it as a checklist of points. How far you probe on any item depends on whether the situation you find is straightforward or not. Always write in notes of incidental comments, etc. which may be useful details.

We recommend that this screening questionnaire should be conducted as a telephone interview for those panel cases where it is not obvious that the establishment is in scope.

Introduce the screening questionnaire by explaining that we just need to check whether the establishment has changed to any significant extent since 1998. The questions are factual and can be asked of anyone available, such as a Director's secretary, an office manager or a member of staff in the Human Resources Department. In general, it will be best to start by asking for the 1998 respondent, as knowing the name of this person may help to establish our credentials for asking these questions.

In most cases, the answers will be very simple and the interview will take only a few minutes. Also, the information about recent changes in ownership, trading name, etc. will often be useful in addressing the advance letter and BWDS as well as in the interview. The more complex decisions, about whether the 1998 establishment still exists, arise with movers, take-overs, mergers and changes of activity.

Further information about the detail of the screening questionnaire is given in Section Seven.

Once you have completed the screening questionnaire, you then need to check through the answers you have been given to see whether it is appropriate for you to proceed to the **SECOND STAGE** of contact procedures for the panel sample, which consists of mailing and the DTI letter and leaflet.

Six of the questions are critical in determining whether you need to seek advice from the research team before proceeding.

If the establishment fails to ‘pass’ **at any one** of these six questions, then you must refer to the research team before proceeding. If the situation is complex there may be a delay of a few days before the research team can come back to you. You should explain to your respondent that you need to check with the research team whether an interview is required and, if so, will recontact them shortly.

The sixth criterion refers to how many employees are **currently** on the payroll at the establishment. If it seems **beyond all reasonable doubt** that there are **fewer than 10 employees**, then you should record the actual number of employees, but the establishment is, without more ado, ineligible for interview. You should apologise for the trouble caused and say an interview is not required. In these cases there is no need to refer to the research team. Simply record the number of employees on the screening questionnaire and return the ARF to the office as Deadwood (Outcome code 799).

THE RULES FOR ‘PASSING’ OR OTHERWISE THE CRITICAL SIX QUESTIONS ARE SET OUT IN SECTION SEVEN, PAGE 35.

For the Panel Sample, once you have established that an interview is required proceed to the **SECOND STAGE** of contact procedures, which consists of mailing and the DTI letter and leaflet.

For the Panel Screening Sample, the first stage contact procedures are all that are required.

The main points that need to be checked are as follows:

RULES FOR CONTINUING ESTABLISHMENTS

- **CHANGE OF NAME**
- **CHANGE OF OWNERSHIP**
- **MOVE TO A DIFFERENT ADDRESS**

None of the above, in themselves, destroy continuity of existence.

- **CHANGE OF ACTIVITY**
- **ACTIVITIES ADDITIONAL TO 1997-8 ACTIVITY**

There must be continuity of activity **of some sort**, between 1997-8 and now. If there has been a break in which there was no activity, then the establishment is **dead**.

- **NUMBERS OF EMPLOYEES**

There can be more (many more) or fewer (many fewer) employees in 2004 than in 1997-8. The tasks they do can be widely different. But at no stage can there have been ZERO employees.

- **SPLITS (WITHOUT CHANGE OF OWNERSHIP)**

A 1997-8 establishment may have split into a number of parts:

- if any part is still at the 1997-8 address then interview there provided there are 10 or more employees
- if all parts are at different addresses then follow the largest part provided there are more than 10 employees.

- **SPLITS INVOLVING A CHANGE OF OWNERSHIP**

A 1997-8 establishment may have been split among two or more employers by the original employer selling off part of the business:

- the part still belonging to the original employer counts as the continuing establishment (providing the basic test of continuity of employment is met) and there are 10 or more employees at the time of interview;
- the part that was sold off is a new establishment and therefore out-of-scope;
- if none of the original 1997-8 establishment remains with the original employer (or another employer who took them over) it counts as 'Closed Down'.

- **AMALGAMATIONS**

- If the amalgamated unit is at the 1997-8 address then interview there, even if those who have moved in out-number the pre-amalgamated staff;
- If the 1997-8 establishment has been amalgamated with one (or more) units at (a) different address(es), then carry out the interview at the address which houses the largest number of 1997-8 employees (or their replacements) provided that the amalgamated unit has 10 or more employees.

Main and Panel sample

For both Main and Panel addresses, if the ARF does not give a telephone number for the sampled address or the reporting unit, you should first turn to the local telephone directories. If these fail you, you should contact Jane Mangla or Rachel Breman at the London office, as they have access to the Internet.

- 6B.2 THE SECOND STAGE** is to send to the person you have identified (i.e. who deals with personnel/employment relations at the establishment) a copy of the letter prepared by the DTI. There are TWO versions of this letter - one for Main addresses and one for Panel addresses. They are identified by the letters M and P in the top left-hand corner.

The letter informs the establishment of the nature and purpose of the survey and seeks co-operation, although not inviting a specific positive response. It includes the information that a NatCen interviewer will shortly be making contact.

Please write carefully and neatly, in CAPITAL LETTERS, the name and title of your respondent, above the address that is printed on the DTI letter for that establishment. Please use a black pen and take particular care to position the words so that they will show clearly in the window of the post-paid envelope that you have been provided with. Fold the letter carefully, with the first fold along the underlining of the words The Workplace Employment Relations Survey 2004 and the second fold enabling the rest of the letter to fit behind. Insert the letter along with the DTI LEAFLET into the envelope, checking the position in the window envelope as you do so. Please note that the DTI leaflet (blue paper) that has been supplied for management respondents, though similar, is **not the same** as the leaflet provided for mailing as part of the material for the Survey of Employees (see Section 8).

YOUR MATERIALS FOR THIS SECOND STAGE ARE:

- the DTI letter marked (M) (= Main), OR
- the DTI letter marked (P) (= Panel)
- the small (DL) post-paid window envelope (white)
- the small DTI leaflet (General Version)

- 6B.3 THE THIRD STAGE** is to recontact by telephone each of your establishments and make an appointment to interview the person already identified as the potential respondent. The timing of the appointment has to allow time for the appointment letter to arrive and the EPQ or BWDS to be completed (see Fourth Stage below). We suggest that about a week will be appropriate.

You may find the following points useful to cover when making your initial contact with the management respondent at each sampled establishment:

- Always introduce yourself and NatCen fully.
- Explain that we are carrying out a study for the Department of Trade and Industry and other organisations on employment relations at the workplace.
- Explain why you are now phoning to make arrangements for an interview.
- You **must** be familiar with the contents of the DTI letter (M) and (P), the DTI leaflet and these instructions so that you are able to give a full explanation of the background and purpose of the study.

It should be possible at this telephone contact stage to establish if more than one respondent will be required for separate sections of the management questionnaire. If this is so, it is clearly preferable to set up both appointments for the same afternoon or morning.

For Main sample establishments with relatively few employees (the great majority), the interviews will be accomplished in about 1½ to 2 hours. Some of the management interviews in the very large establishments with complex organisational structures may take longer (over two hours in extreme cases). It is as well to be frank in stating the length of interview to your respondents.

For Panel sample establishments the interview is much shorter. It will frequently take no more than 40 minutes, and will hardly ever take more than an hour.

You should carry out an interview at all establishments even if there is a strike or other industrial action in progress. You **never** return addresses to the office as ‘Not attempted’ for this reason, though it may be prudent to delay initial contact.

At some establishments you may be referred by the management to a Head or Area Office. Sometimes this may simply be in order to get permission to carry out the interview. You should enlist the aid of the Field office or the NatCen research team (who in turn may enlist the aid of the DTI), if you think it necessary (see Section Ten). On other occasions you may have to conduct the whole of the interview at a Head or Area office. On these occasions, refer back to the Field office if you are unable to complete the interview because of its being out of your area.

6B.4 THE FOURTH STAGE is to carry out a further mailing to that respondent, using the **large** post-paid envelope that you have been supplied with and enclosing a copy of the NatCen appointment letter and either the EPQ - if you are dealing with a Main sample - or the BWDS if you are dealing with the Panel sample. Also to be included is the single sheet STATEMENT ON ANONYMITY PROCEDURES. There are different versions for Panel and Main addresses. Again, in completing the NatCen appointment letter, take care over the clarity and position of the name and title of the addressee. You also are asked to confirm the date and time of your appointment and give your name and contact address (and telephone number if it is convenient for you to receive calls). If you do not wish to give your own telephone number, please give the telephone number of your Area Manager.

The NatCen appointment letter for MAIN addresses refers to the fact that you will need access to a list of employees in order to select a sample for the Survey of Employees.

The establishment address on the ARF and introductory letter includes its SERIAL NUMBER.

You must take care to write the serial number on the EPQ or the BWDS before you send it.

YOUR MATERIALS FOR THE FOURTH STAGE ARE:

- or the NatCen appointment letter marked (M) (M = Main),
- or the NatCen appointment letter marked (P) (P = Panel)
- the large (A4 sized) post-paid window envelope (white)
- the EPQ (Main) (blue)
- or the BWDS (Panel) (green)
- the Statement on Anonymity Procedures (Main) (white)
- or the Statement of Anonymity Procedures (Panel) (green)

6B.5 There is a possible **FIFTH STAGE** in the contact procedures but it may be appropriate only in a minority of cases. It consists of phoning the respondent a day or so before the appointment reminding him/her that it will help greatly if the EPQ or the BWDS are completed before you arrive. The general view of interviewers working on WERS98 was that such a phone call *might* be useful and effective, but also that it *might not*. Some potential respondents might use it as a peg on which to hang a postponement or even a refusal.

It was agreed that only the interviewer herself/himself could decide whether Stage Five would be effective or counterproductive. The decision is therefore up to you.

We have spelt out in detail all of the FOUR (or FIVE) stages of contacting. However, in some cases it might prove practicable to combine the stages. For example, you might find at your Stage 1 phone call that you are able to make an appointment straight away. There is no objection to your collapsing Stages One to Four to one phone call and one mailing if this seems appropriate.

6C *THE WORKER REPRESENTATIVE RESPONDENT*

In establishments that form part of the MAIN sample, we are seeking to interview WORKER REPRESENTATIVES who must be employees either of the establishment in question, or - though this will be relatively rare - the organisation of which the establishment is part. There are two possible types of representatives that might be interviewed:

- *a Union representative*

In the first instance, (s)he would be the representative of the **largest** (i.e. with the most members at the establishment) **recognised** union. Where, in a few cases, the representatives of the largest union cannot for some reason be interviewed, you should contact a member of the NatCen research team for advice on how to proceed. Another scenario might arise where there are several unions that jointly negotiate. Here the most senior steward on these joint negotiations might come from a union that did not have the most members at the establishment – in this circumstance you should interview this senior steward, making a note of this particular circumstance.

In the unlikely event of there being no steward from a recognised trade union at the establishment, but there is a steward from a union that was not recognised by management for negotiations over pay and conditions, the CAPI programme will identify that person as appropriate for interview. However, the more likely situation is that you will be seeking to interview a union representative from a non-recognised trade union, where no unions are recognised by management.

Union representatives are often called ‘shop stewards’, especially among blue-collar workers, and sometimes have other titles (eg convenor, Father of the Chapel). In local or central government, however, (s)he may have the title of Chair or Secretary of the union side of a negotiating committee. Whatever their title, the important point is that they are acknowledged by management to be a representative for their union at a given establishment. Typically, union representatives are elected by the members.

You should note that the person you interview might, in large establishments, work full-time on union affairs, but (s)he will NOT be a FULL TIME UNION OFFICIAL. This is a term that is used to describe an **employee of the union** who will get involved in sorting out disputes at different workplaces. The person you are to interview will generally be an **employee of the establishment**. In the case of large organisations (s)he might be based at another establishment, but have responsibility for the sampled establishment.

- *a non-union representative*

The questionnaire also seeks to identify a non-union employee representative. By non-union we are referring to situations where a representative is speaking on the behalf of the workplace’s employees not through the formalised channel of union representation.

In the first instance, this person will be the most senior non-union employee representative on a committee of managers and employees that consults over a range of issues. These are often called Joint Consultative Committees or JCCs. Note that some JCCs may contain a mixture of union representatives and non-union employee representatives. In such cases, your **non-union representative** interview will be with the most senior **non-union** employee representative on the committee. It is likely that one of the union representatives

on the committee will have already been selected for your interview with the senior union representative at the establishment.

In the absence of a Joint Consultative Committee, there may also be circumstances where there is an employee representative that speaks on the behalf of employees at the workplace, who is, however, not part of a formalised structure (such as a JCC). We refer to these as **stand-alone non-union representatives**.

In both these situations, this person may or may not be a union member.

It will not be possible to determine which representatives (if any) of the workforce are to be interviewed until you have carried out the management interview.

In some cases, the union representative may not work all the time at the sampled establishment. In some large organisations, one person may represent employees at several different establishments. In these cases you should try to make an appointment when the representative next visits the sampled establishment.

AFTER carrying out a management interview, the CAPI system will show you whether it has identified the requirement for a worker representative interview. In such cases, you should explain that there are further stages in the survey. Explain that you would like to talk to a **worker representative** in order to supplement the information obtained from management on matters such as trade union branch organisation which worker representatives will generally be more familiar with, and also, at establishments where there are no recognised unions to gain information on communications between management and the workforce from the representatives' point of view. You will need to enlist the aid of management in order to arrange a suitable time and place for the interviews with the worker representatives. In some instances, however, you may be left to make your own arrangements. The Department of Trade and Industry has also supplied letters for the worker representative respondents outlining the nature and purpose of the survey. Wherever possible you should retain these letters and hand them personally (or post them) to the respondents. If, however, the management respondent offers to pass on the letter, this is an acceptable alternative.

The DTI has also supplied copies of a letter from Brendan Barber, the General Secretary of the TUC. You have been given 2 or 3 copies of this and you should show this to the worker representative if it seems appropriate. We do not envisage that you will want to hand it out in all cases. (You are not being supplied with enough copies for this.)

The worker representative questionnaire covers similar issues to the management questionnaire, often asking identical questions. Irrespective of what they say, you must **never** tell the worker representative anything the management respondent said in their interview, even if you know they are giving very different answers. Not only does this breach confidentiality, but there may be good reasons why managers and worker representatives might differ over an issue. One of the purposes of the survey is to report on these differences.

The interviews with worker representatives should last around 30 minutes. It will generally be possible to complete these on the same visit as the management interview, provided that the respondents agree.

In all instances where management is reluctant to allow contact with the worker representatives, you should refer back in the first instance to the NatCen research team if necessary, via your Area Manager. It is possible that a letter or telephone call from the DTI may help avert a refusal. If a union worker representative is reluctant to participate, show him/her the letter from Brendan Barber of the TUC to remind him/her of the TUC's endorsement of the survey.

SECTION SEVEN: THE ADDRESS RECORD FORMS (ARFS)

There is an individual ARF for each address issued. There are three types of ARF:

- Main sample (MQ) ARF (blue)
- Panel sample (PQ) ARF (green)
- Panel screening ARF (lilac)

In all three cases it is very important that you provide correct address details where there has been any change or where the printed address information is inaccurate. This will help to ensure that the summary of the research findings, which will be sent out in due course, will reach the right person.

7A *Main Sample ARF*

The six sides are headed:

1. Address Record Form
2. Pre Interview Outcomes
3. Summary of Interview Response
4. Reasons for Non Response (continues to side 5)
5. Calls record

Detailed information about the contents follows below.

7A.1 Side One (Address Record Form)

This sheet contains a set of four labels all relating to the sampled address:

Label 1 (Top Left)

The first (top left) label is the sampled address of the establishment where the interview(s) are expected to take place. The serial number is also on this label.

The next three labels all provide information which is likely to be useful in confirming that you are visiting the correct establishment, or solving difficulties over establishment definitions.

If a specific detail is incorrect, write neatly in a red or black pen to correct it. If the establishment has moved or the details have changed write out the whole of the new address in the space on the RHS marked 'For interviewer use'.

Label 2 (Top Middle)

The second label gives details of:

- *Employee numbers*

The total number of employees (full and part time) is as currently recorded on the IDBR at that establishment. The total is broken down into male (full time), female (full time), male (part time), female (part time).

However, bear in mind two things when using this information. First it relates to the last time the IDBR was updated. It should be no more than a year ago, but we can't be absolutely sure of that. Not all

establishments provide data to the Register as regularly as they should. Certain establishments therefore may have altered the size of their workforce since the Register was last changed. Secondly, in a small number of establishments the workforce shown may not correspond to the establishment as defined for this survey. For example, employees who are paid from a different address will be excluded from the numbers stated by IDBR, but in this survey, should be counted as establishment employees. Sometimes the address label or the business description may indicate that the numbers given include only one section of the workforce at the establishment, such as monthly-paid employees.

In a small number of cases the IDBR has **no information** on the number of employees (and therefore prints 00000!). In such cases you should proceed as normal provided that when you make contact with the establishment it has at least 5 employees.

Always remember however that the IDBR employee numbers given on the ARF are only a **guide** to the size of the establishment. The current **actual** size of the establishment will be indicated by the answer to Q1 on the EPQ: 'Currently, how many employees do you have on the payroll at this establishment?'

- ***Main Activity***

These descriptions are computer printed and sometimes very brief or obscure. Nonetheless they should, in most cases, help you identify the required establishment.

- ***Ultimate controlling company***

This is the name of the Enterprise Unit to which the Local Unit (or establishment) belongs. For example, if a NatWest bank is the local unit, the UCC should be The Royal Bank of Scotland. These details were taken from the IDBR and should be current unless some change has occurred since when the sample was selected.

Label 3 (Top Right)

This label contains a number of other pieces of information about the selected unit.

- ***Wave***

This field indicates how the research team is releasing addresses to field to be interviewed. If it is a wave one address (Wave=1), these are cases where on past experience it has been possible for interviewers to make contact directly, that is, without any prior work by the research team. In contrast, it is thought by the research team, that Wave Two addresses require some contact being made with a head office before the address is attempted. In practice, however, things change through out the course of fieldwork, with some wave one cases requiring a head office contact and the converse for some wave two cases. This field is therefore used as a guide (and used more by the research and ops teams). You will be advised if a head office contact has taken place.

- ***Field and point***

These indicate the NatCen field areas and the sample point number.

- ***Telephone number***

This is the telephone number of the selected Local Unit (establishment). Where possible we have tried to provide a number for each establishment, however, this was not always possible (mainly because of time constraints).

Label 4 (Second Row Right)

The fourth label gives details of the establishment that submitted the details to the IDBR. This is called the 'Reporting Unit'. It will often be the same as the sampled establishment, but not always. If NatCen's Brentwood office had been sampled, for example, the London office would be listed on the label as 'Reporting Unit'. In such a situation you could telephone the reporting unit (a telephone number may be printed) and ask for the phone number of the other (Brentwood) establishment.

Remember that whatever the complications arising from defining an establishment, we don't want you to conduct an interview about the Reporting Unit - unless the sampled address itself is a reporting unit.

Other boxes

Elsewhere on Side One of the ARF, you will see that there is space for you to record the name, title and number of the management respondent. The details will also need to be copied into the admin block. We also want to know the name of the Worker Representative(s), but their details are not going in the admin block, so recording it on the ARF is all the more important.

There is a box that says 'For interviewer use'. Please use this as you wish. It may be easier to re-write the address of the establishment here if it has changed. Remember that, in due course, respondents are to be sent a Summary of Findings. If you are in the situation of having to interview two or more managers, then please give us the other manager's details here also.

The final section of side one of the ARF is a space for notes, which you may use to record any information you find useful, or that you think may be relevant.

7A.2 Side Two: Pre Interview Outcomes

Outcome codes 790-740 will very rarely need to be coded by interviewers. This is because we intend to identify such cases before they are issued to interviewers. The odd one or two may slip through and you should ask your Area Manager if you think you have a case of this sort.

The outcomes 410-780 (below) will be used when the establishment contacts the DTI with a refusal after you have mailed out the initial letter, and cannot be persuaded to take part. We will then inform you as soon as possible (hopefully, before you make an approach). It is possible that the establishment may say they have already spoken to the DTI when you first make telephone contact.

Refusal (H.O.) to DTI	410	office will inform you following details provided by DTI
Refusal (Establishment) to DTI	411	ditto
Refusal (Other) to DTI	412	ditto
DTI informed: closed down	798	ditto
DTI informed (less than 5 employees)	780	ditto

The following three outcomes are self-explanatory, but you are asked to check with the Research Team who may have suggestions about how you can double-check that the establishment does not exist.

No trace of address	630
Premises vacant/derelect (no trace of establishment)	720
Premises known to have been demolished (no trace of establishment)	721

Outcome codes 682-799 are self-explanatory. If the establishment has moved outside of your area (code 682), then please obtain the fullest details possible about the new address so that another interviewer can try to

achieve an interview there. Where the respondent is NOT located at the selected address, but at another office some distance away, too far for you to travel, the address needs to be reallocated to another interviewer. Please also use code 682 on the ARF, 'Establishment known to have moved premises', but in section D write "The establishment address IS correct, the RESPONDENT is located at other address". Please give details of the other address and respondent's name to help the other interviewer.

It is possible that the establishment at your sampled address may have merged or amalgamated with another establishment, whose old address was also sampled for the survey. Thus, two selected addresses could lead to one establishment. If you know the serial number of the other address, then please enter it at the foot of the page and tell the office.

7A.3 Sides three and four: Summary of Interview Response, Reasons for Non-Response

Side Three contains two tables of outcome codes. The first, top table, is the one that you will normally use.

Table E: Final Productive outcomes.

Here you record the outcome of your work, when you have finished with the establishment and wish to transmit your work back. If you have had a productive interview with the management respondent you will use a code from 110 - 121.

You can see from the table that a code tells us a number of things. Code 111, for example, tells us that you achieved an interview with the management respondent, you were able to place the self-completion questionnaires for employees, and you also achieved one interview with a worker representative (where only one worker representative interview was required).

If you achieved an interview with the management respondent but were unable to get permission to place the SEQs **or** did not manage to get a Worker rep interview when one was eligible, then codes 116 - 121 apply but you are asked to give reasons why the SEQ or Worker rep was not achieved. Record these in section G or H on the page 4 of the ARF. You should only use codes 116 - 121 when you are quite sure that it will not be possible to obtain a fully productive outcome at the establishment, even with intervention from the DTI or NatCen. (See paragraph below under Intermediate Outcomes.)

Outcome codes 431 - 563 are self-explanatory.

Table F: Intermediate outcomes

The intermediate outcomes are similar to the 'reallocate to other interviewer' codes found on other surveys. With WERS, we want to know just how much you have done, and what remains to be done. The codes can therefore be used when:

- a) you have completed all that you can do in relation to the establishment **but**
- b) other interviews could or should still be possible **and**
- c) holding onto the questionnaires & ARF yourself and waiting will not help

The main reasons why you might use an Intermediate outcome is that you consider that it might be possible to achieve a **better** outcome at the establishment, i.e. you must think that we might **eventually** get permission for an SEQ placement or a Worker Representative interview, but that it is not going to happen without further intervention from the DTI or from the research team at NatCen. In these cases rather than code it as a final outcome that is unproductive in some respect, you put the address 'on hold' - with an intermediate code, explaining the situation on page 4 of the ARF and return your work. On the basis of what you have said on the back page of the ARF, the Field office will then consider further action. The address may be issued to you in due course or to another interviewer.

However, you should only use the intermediate codes when, in your judgement, there is a possibility of a

better outcome. If no such possibility exists, then code a final outcome (205-211) indicating the respect in which you did not manage to achieve a fully productive set of interviews.

The decision over whether to use an intermediate code may not always be clear-cut. That is why we want you always to refer to your Area Manager before using such a code.

7A.4 Side 5 SEQ and FPQ details

Tables M & N are for the details of the SEQ and FPQ placement.

7B THE PANEL ARFS

There are two Address Record Forms for the panel:

1. Panel Sample (8 sides; green (CHECK COLOUR))
2. Panel Screening Sample (6 sides, mauve (CHECK COLOUR))

Both of these have a photocopy of the front page of the **1997-8** ARF stapled to them.

The two ARFs are identical apart from the final outcome codes. Detailed information about the content and procedures relating to each of these ARFs is set out below.

7B.1 Address Record Form

The front pages of both ARFs are identical.

Both Address Record Forms carry four labels.

Label 1 contains the address of the establishment at which we wish you to conduct the interview.

Label 2 contains further information about the establishment, including the total number of employees (from the current IDBR), total number of employees in 1998, a telephone number for the establishment, and industry details.

As with Label 2 on the Main Survey ARF, please bear in mind that this information relates to the last time the IDBR was updated. Although this means the data should not be more than a year old, we cannot be certain of this because of some establishments not providing data to the Register as regularly as they should. Also, as with the Main Survey sample, for a small number of establishments the workforce shown may not correspond to the establishment as defined for this survey

Label 3 contains details of the 1998 respondent, including name and location.

Label 4 lists the details of the reporting unit.

Other boxes are provided for you to write in the name and contact details of the management respondent, the second manager's name (if required) and for updated establishment details such as change of address/ establishment name.

There is also a space for notes.

7B.2 Side Two: Pre Interview Outcomes

This page is identical for both versions of the ARFs.

The outcomes 410-780 (below) will be used when the establishment contacts the DTI with a refusal after you have mailed out the initial letter, and cannot be persuaded to take part. We will then inform you as soon as possible (hopefully, before you make an approach). It is possible that the establishment may say they have already spoken to the DTI when you first make telephone contact.

Refusal (H.O.) to DTI	410	office will inform you following details provided by DTI
Refusal (Establishment) to DTI	411	ditto
Refusal (Other) to DTI	412	ditto
DTI informed: closed down	798	ditto
DTI informed (less than 10 employees)	780	ditto

The following three outcomes are self-explanatory, but you are asked to check with the Research Team who may have suggestions about how you can double-check that the establishment does not exist.

No trace of address	630
Premises vacant/derelict (no trace of establishment)	720
Premises known to have been demolished (no trace of establishment)	721

Outcome codes AAA - 700 are self-explanatory. If the establishment has moved outside of your area (code 682), then please obtain the fullest details possible about the new address so that another interviewer can try to achieve an interview there. Where the respondent is NOT located at the selected address, but at another office some distance away, too far for you to travel, the address needs to be reallocated to another interviewer. Please also use code 682 on the ARF, 'Establishment known to have moved premises', but in section D write "The establishment address IS correct, the RESPONDENT is located at other address". Please give details of the other address and respondent's name to help the other interviewer.

7B.3 Sides three to five: Screening questionnaire

The Screening Questionnaire is discussed in some detail in Section 6B, (Contact Procedures). It consists of a series of 12 questions, which comprise a checklist for determining whether the original establishment has been in continuous existence since 1997/8.

- Q.1 The interview starts by referring to the 1997/8 respondent. This is helpful in that it shows that we are not 'cold calling'. If the name is not on the form, please refer to the copy of the 1997/8 ARF. In the (hopefully infrequent) cases, where no name is given, skip question 1.
- Q.2 Changes in name may be very minor, but we still want to know exactly what the establishment is now called. Note Q.2b code 2 is change of ownership involving the selling of an organisation, while code 3 is change of status.
- Q3 There is no Q3
- Q.4-6 These questions establish whether the establishment has changed address. If the address has changed, please amend the Address Record Form, including the full postcode and the full telephone number. Also note if the telephone number is a direct line to the respondent or is the switchboard number.
- Q7-8 These questions determine whether the establishment has undergone a change in ownership or any mergers or amalgamations.
- Q.9 This is simply to compare with the activity given on the address sheet. It will **not** be used for full SIC coding, so a brief note will be enough.

- Q.10 If the situation is obvious, you need not ask this question, simply code it. E.g. a hospital, school or airport almost certainly still has the same activities as in 1998.
- Q.11 It would be good to get the exact number, but this is only really important if it is just on the borderline of size. This means anything with fewer than 10 employees. If the respondent is vague about the number of employees, the important thing is whether the establishment has under 10 or 10 and over, including people who report to the establishment (see Section 4B).
- Q.12 The person responsible doesn't necessarily have to be working **at** the establishment.

Of the **twelve** questions in the telephone contact questionnaire, **six** are critical in determining whether you need to refer back to the research team before proceeding to interview.

The rules for the checking operation are set out on the following page:

Q2a/b	If same name or 'just a change of name', establishment continues in existence. If simple change in status (e.g. Health Authority to NHS Trust), establishment continues in existence. *OTHER changes refer to research team.
Q4a/b Q5a/b	If transferred whole workforce to the new site - establishment continues in existence. *OTHER changes associated with move to a different site, refer to research team
Q7	If no change in ownership, or if a change in ownership but some employees remained, then establishment continues in existence.
Q8	If no merger (Code 2) - establishment continues in existence. *If merged with another branch or department, refer to research team
Q9/10	If no change in activity (Q10b code 2) - establishment continues in existence. *OTHERS - refer to research team
Q11	If 10 or more employees – establishment in scope. *OTHERS, establishment not in scope

If **ANY** of the asterisked checks apply, then you should contact the research team before proceeding. Also, refer to the research team if you have any uncertainty about how to define the establishment.

7B.4 Final outcome codes

The final outcome codes available differ between the two versions of the ARFs.

If establishment continues in existence and is in scope with 10+ employees

Panel ARF – code X and seek to carry out interview with respondent identified at Q12. Then complete section J or K as appropriate.

Panel screening – code 112 and return ARF to office.

If establishment continues in existence but has less than 10 employees

Panel ARF – interview not required. Code Y in section G and 799 in section H

Panel screening – code 113 and return ARF to office.

If establishment not continuing in existence

Panel ARF – interview not required. Code Z in section G and 798 in section H

Panel screening – code 114 and return ARF to office.

7B.5 Photocopy of front page of 1997-8 ARF

As an additional aid we are giving you a photocopy of part of the 1997-8 ARF - the ADDRESS AND RESPONDENT IDENTIFICATION. This will provide additional information that was not keyed in 1997-8 - for example the name of the parent company.

SECTION EIGHT: THE FINANCIAL PERFORMANCE QUESTIONNAIRE (FPQ)

8.1 *General*

The Financial Performance Questionnaire is a paper self-completion questionnaire which, as the name suggests, collects information about the financial performance of the establishment.

8.2 *Placing the questionnaire*

The FPQ is placed after you have completed the MQ. It is to be completed by someone responsible for financial matters at the establishment. In many workplaces this will be the same person you have interviewed for the MQ, but in others, this function may be carried out by another manager.

During the MQ, the respondent will be asked for the name of the person who is best placed to complete the questionnaire, and this name is entered into the MQ.

The name of the FPQ respondent should be written onto the covering letter for the FPQ. This letter is printed on DTI headed notepaper, and has an "F" in the top left-hand corner. The letter has the serial number of the establishment printed onto it (this can also be found on the ARF) and this serial number should be transferred clearly onto the front of the FPQ in the space provided. The letter and the FPQ should then be inserted into the large A4 post-paid window envelope, along with a reply-paid NatCen envelope.

If possible, please leave the FPQ at the end of the MQ with the person you interviewed for the MQ. However, if this is not possible, you can post the FPQ and accompany letter to the FPQ respondent once you return home (this is why we have provided a post paid envelope for the FPQ).

8.3 *Persuading the Management Respondent to Co-operate*

In the pilot, the response rate for the FPQ was very high, with the vast majority of Management respondents agreeing to complete the questionnaire. However, if the Management Respondent shows signs of hesitation in accepting the questionnaire, it may be useful to draw their attention to the guarantees of confidentiality and anonymity given in the covering letter and on the front of the questionnaire.

8.4 *Returning the FPQ*

The person filling out this short form can either return the questionnaire by post to NatCen, using the reply-paid envelope you will have left with them, or they can leave it for you to pick up when you return to do the WRQ or to collect the employee self-completion questionnaires.

SECTION NINE: SURVEY OF EMPLOYEES (SEQ)

9.1 *General*

The survey of employees (SEQ) is a very important part of the main survey. However we have no independent access to a sample of employees. We need to get the managers' agreement if it is to proceed.

You have of course indicated to the manager that there is to be a survey of employees in the NatCen appointment letter.

Essentially your task is to leave a short paper questionnaire to be completed by a number of **employees** at the establishment. The questionnaire deals with employees' attitudes both to work in general as well as to their current workplace. It will enable the DTI to get a fully rounded and balanced picture of employment in Britain today - from the point of view of management, employee representatives and employees.

In order for the sample of employees to be properly representative of the workforce at each establishment, it is necessary for you, the interviewer, to select the sample of employees from staff records in whatever form they are conveniently available. A maximum of 25 employees will be selected at each establishment; where there are fewer than 25, **all** employees at the establishment will be asked to complete the questionnaire.

9.2 *Persuading the Management Respondent to Co-operate*

You may need to make a number of points in order to persuade the management respondent to agree to the participation of the workforce.

The general outline of the arguments you should use is set out below. These are followed by some questions and answers that may be useful. Note that some managers will want to see the SEQ before they agree, and you should show them a copy in such cases.

- **We want to get a rounded picture - from managers, worker representatives *and* employees - of what goes on at work.**
 - there are some things that only employees know the answer to, like how happy they are in their jobs
 - this will mean that the survey is seen as balanced as all parties will have a say
 - it will give us a complete snapshot picture of Britain at work
 - this was done before in 1997-1998, and got an excellent response from employees.

- **All we want to do is distribute the questionnaires**
 - we ask management to provide a list and we will choose a random sample of employees
 - we then ask management to distribute the questionnaire packs to employees
 - employees can complete the questionnaire in their own time or at home
 - no individual employee or their employer will ever be identified in the results
 - all completed employee questionnaires will be destroyed after the study
 - findings will be presented for different groups of workplaces (manufacturing, service etc.)

-
- **How many employees do you want to take part?**
Up to 25.
 - **How long does the questionnaire take to complete?**
Most people complete the questionnaire in less than 15 minutes, and it is up to you whether employees do it in work time, in their own time, or take it home to complete.
 - **Do employees have to complete the questionnaire?**
No, it is a voluntary survey, but I am sure that they, like you, will appreciate its importance.
 - **My employees are too busy at the moment. Can they do it another time?**
Employees can complete the questionnaire in their own time or at home. We would like the questionnaire back as soon as possible.
 - **Can I see the questionnaire beforehand?**
Yes. As you will see when you read it, there is nothing controversial in it.
 - **Are all workplaces in the survey taking part in this?**
Yes. This will allow us to compare employees' views on work in the private and public sectors, in manufacturing and services and so on.
 - **Can't I just pick a group of employees who I know will complete the questionnaire, rather than having to provide you with a list?**
No, our procedures for choosing employees to take part have been very carefully developed by statisticians to make sure that across all of Britain we get the right number of full and part-timers, office and shop-floor workers and so on. This will only work if everyone follows the procedures.
 - **If I didn't want my employees to take part in this survey, would you still want to interview me?**
Yes, and hopefully you would appreciate from our interview that we are only interested in obtaining a snapshot picture of Britain at work, and might reconsider.
 - **Will I have to complete one of these questionnaires myself?**
You might, if you are one of the employees randomly chosen. An owner/proprietor, however, who would not be included on any list of employees, would not be asked to complete a questionnaire.
 - **What if some of the employees you select are away sick, on maternity absence, on secondment or away for some other reason? Do you want to choose someone else?**
No. Employees who are absent from the workplace for any of these reasons remain as employees. We would be grateful if, by some means or other, our questionnaire could be got to these people. We value what they have to say in the same way as every other employee.
 - **Will I get a report based on what employees at this workplace said?**
No, but you will get a summary of the main findings from all workplaces combined.
 - **Who will get to see the survey results?**
The completed questionnaires will be entered into a computer at NatCen head office, and all the questionnaires will then be destroyed. No one using the information will know the name of anyone who has filled in a questionnaire. Researchers will then use the data to produce reports which will be made publicly available.

9.3 *Drawing the sample*

You will have contacted the establishment to check whether a printed list of employees will be available for you when you arrive. For it to be of use in drawing a sample of employees, the list must:

- include *all* employees at the establishment who are on the pay-roll
- list each employee only once
- cover only those employees at the establishment
- in small establishments, any owners/proprietors should be excluded from the list of employees

but it can be in **any** convenient order.

The requirement is to select a random sample of 25 employees at all establishments with 25 employees or more. At establishments with between 5 and 25 employees, therefore, there is no sampling procedure; **all** employees are included in the survey.

We have extensively piloted the sampling procedures and have established that you will be faced with one of two situations:

- either** a printed or written list has been provided as requested
- or** a computer file is available (on screen) but no printout has been provided.

The procedures for each of these situations are set out below:

A printed/written list has been provided

1. Check with the establishment representative that all employees at the establishment are included, that the list is only of those at the establishment, and that no persons are included more than once. If necessary, amend the list.
2. Find out (either by asking or counting) the number of persons on the list. In all cases, it should equal the total on the EPQ (although you can ignore minor discrepancies). We have provided you with **two** sets of Selection Sheets to enable you to draw a random sample of 25 employees. The first (white) will be applied for the great majority of establishments (i.e. those with fewer than 3000 employees. You will occasionally need to use the second (yellow) set of Selection Sheets for establishments with more than 3000 employees. Find the appropriate line on the first column of your Selection Sheets headed "Number of employees". The 25 numbers given against this line give the number of the employees you should select.
3. Starting from the top of the list count down until you reach the first name on the line. Select this employee by putting a mark next to the name on the list. Continue counting until you get to the second number on the line. Select this employee. Continue in this way until all 25 employees are selected.

Example:

Suppose an establishment has a list with 572 employees. Then the appropriate line from the sample selection sheet is highlighted below. The 25 employees to be selected are the 18th, the 41st, the 63rd, the 85th etc from the list.

NUMBER OF EMPLOYEES	SELECTION NUMBER											..25
	1	2	3	4	5	6	7	8	9	10	11	
480-499	12	31	50	70	89	108	127	146	166	185	204	473
500-519	11	31	51	71	91	111	131	151	171	191	211	491
520-539	14	35	55	76	97	118	139	159	180	201	222	513
540-559	22	43	65	86	108	130	151	173	194	216	238	540
560-579	18	41	63	85	108	130	153	175	197	220	242	556
580-599	7	30	53	76	100	123	146	169	192	216	239	564
600-619	22	46	70	94	118	142	166	190	214	238	262	598
620-639	5	30	55	80	104	129	154	179	204	228	253	600

A computer file is available, but no printed list

Sometimes a computerised file is available, but no printout of the list can be made. Often this will be because the database carries confidential information. The sample will then have to be drawn on your behalf by someone appointed by the management of the establishment. The instructions on drawing the sample are given on the blue sheet headed 'Instructions for the selection of a sample of employees from a computer list'. However, before handing over the instruction sheet you will need to ask the person who is to do the selection some questions and you will need to fill in some numbers.

You should:

1. Check with the establishment representative that all employees at the establishment are included on their computerised list, that the list is only of employees at that establishment, and that no employees are included more than once.
2. Use the white and yellow Selection Sheets as described above. Find the appropriate line on the first column of the selection sheets headed "Number of employees". The 25 numbers given against this line give the numbers of the employees to be selected. Fill these numbers into the grid on the instruction sheet. Also enter the serial number of the establishment in the top right-hand corner of the sheet. (No boxes - sorry!) The sheet can now be handed over.
3. Ask the person drawing the sample to identify the persons selected on the sheet so that you can distribute packs to the right persons.

9.4 Distributing the questionnaire packs

You have been provided with sufficient questionnaire packs and sets of labels to issue 25 at each establishment. Once you have selected your sample of employees, you need to prepare the packs for distribution. This requires you to go through a number of procedures.

- There is one set of labels for each establishment.
- The labels for each establishment are presented in rows of three (LABEL 1, LABEL 2, LABEL 3) in **four** separate sheets.

- The labels are pre-printed with the serial number of the establishment and also with a 2-digit **personal** identity number of the selected individual. These numbers therefore run from 01-25.
- On the middle label in each row of three the serial number is in the form of a BARCODE.
- The top (HEADER) row of labels on Sheet 1 of each set is different from the standard row. You are asked at the start of the sampling exercise to:
 - enter the name of the SEQ contact person (who may be different from the Management Respondent) on Label 2
 - enter the total number of SEQs placed, the date of placement and your Interviewer Number on Label 3.
- An example of the top three rows of labels from SHEET 1 of a set is set out below.

MESSRS JOHNSON & WOOD BAKERS VOE SHETLAND ZE2 9PT SN:11743 P FA:1	SEQ Contact Name:	Total SEQs placed: Date of placement: Int no:
LABELS 1	LABELS 2	LABELS 3
Name: Dept: 11743P /01P 1	11743P01P1 11743P01P1	Name: Dept: 11743P /01P 1

- You have to write the name and department of each selected respondent on Label 1 in each row. These details also have to be entered into the CAPI for that establishment, as this will enable us to automate the reminder procedures. If it is not convenient for you to enter this information as you complete the labels, then it will be necessary to copy over the details from label 1 to label 3 so that you have a record of the selected sample to enter into the CAPI at a more convenient time. This is essential information to enable us to be sure that the questionnaire is directed towards the right person and to enable us to send reminders, if necessary.
- For each respondent:

LABEL 1 should be attached to the outside of the questionnaire pack.

LABEL 2 (will contain only the BARCODE) should be attached to the questionnaire.

The details from **LABEL 1** should be entered into the MQ admin block. These details will be used for booking in the returns and as a guide for sending out reminders. If you happen to be told anything about the selected respondents that might explain the absence of a questionnaire from them (eg long-term absence from the country, or long term secondment), then you should add a note here.

- Once placement is complete you must ensure the SEQ details are entered into the MQ admin block as soon as possible.

9.5 *Returning the questionnaire packs*

- If the management respondent refuses to participate in the employee survey, and you do not wish to use an Intermediate Outcome Code, return the complete set of labels to the office, after marking them 'Refusal'.
- You should arrange for the manager to distribute the questionnaire packs on your behalf. You must stress that the packs must be given to the named individual - otherwise we cannot be sure we have got a representative sample.

Respondents have the option of returning their questionnaires direct to Brentwood in the envelope, or handing them in at a collection point at the workplace for you to collect at a later date.

You therefore need to agree with the manager a suitable collection point. Two methods are possible for those questionnaires collected at the workplace, reaching NatCen at Brentwood:

- the management respondent (or someone nominated by him) may be prepared to send the questionnaires in their sealed envelopes **inside a large reply-paid envelope** 7-10 days or so after your visit.
- if you are making a return visit, in any event, to interview worker representatives, or if the establishment is very conveniently situated, you could call in and collect up the sealed envelopes and return them to Brentwood.

9.6 *Reminders*

The Pink Team at the Brentwood office will send out reminder packs to each establishment, between 2 and 3 weeks after the date of placement. The packs will be addressed to the management respondent (or other SEQ contact person) and will include fresh questionnaires for those employees from whom a return has not been received by that date. The **date** of placement, the **names** (and departments) of the selected staff and the name of the **SEQ contact** will all be taken from the set of label sheets (minus labels 1 and 2) returned by you. That is why it is important that you return them to the office immediately after placement.

In the (we hope unlikely!) event of no completed questionnaires having arrived at Brentwood within 2-3 weeks of placement, the probable cause is some unforeseen hold-up in the questionnaire distribution. Rather than send a reminder pack with a complete set of fresh questionnaires, the office will contact you and ask you to make inquiries at the workplace. Other than this you are not asked to play a part in the reminder procedures.

9.7 *Recording refusals on account of language and literacy problems*

If the circumstance arises that a manager refuses the placement of the SEQ, you are instructed to record on the ARF (section H) details of the reason for this refusal. In particular we are interested in gauging whether reasons of literacy or language difficulties among the employees was a contributing factor. If it was, we would like you to remind the manager of the following (which may help convert the refusal):

- that it is acceptable for a friend, relative or even a work colleague to help the selected employee to complete the questionnaire. This is also made clear to the employee in the translations that appear on the back page of the SEQ.
- that the employee has the option of ringing the WERS 2004 freephone number and asking for assistance. Where practical, we will be offering employees the opportunity to have the interview conducted over the telephone in an appropriate language.

Where possible, we would like you to stress to the manager responsible for approving the distribution of the SEQs, that the decision of whether or not to participate in the employee survey should be left to the employees themselves.

SECTION TEN: THE CAPI QUESTIONNAIRES

10A Management Questionnaire (MQ)

GENERAL

The management questionnaire comprises the EPQ grid and 13 further blocks of questions. Each block is lettered (A to M) and every question name in the block begins with the letter of the block in which it is located, e.g. ASINGLE, BRELATE, CFILLVAC, etc.

Each block relates to a different topic:

BLOCK	TOPIC	JUMP NUMBER
Z	Copy EPQ details into computer	
A	Establishment & organisation characteristics	1
B	Management of personnel & employment relations	2
C	Recruitment, training & organisation of work	3
D	Consultation & communication	4
E	Representation at work	5
F	Payment systems and pay determination	6
G	Collective disputes and procedures	7
H	Grievance & disciplinary procedures	8
I	Fair treatment at work	9
J	Establishment flexibility	10
K	Establishment performance	11
L	Establishment change	12
M	Final questions	End

MQ BLOCK Z

The first section of the questionnaire is a series of questions that ask you to copy the information recorded in the EPQ into the computer. This opening five minutes or so of the interview needs to be handled carefully.

If the respondent has filled in the EPQ with precision, copying the details will be very quick. If the EPQ was completed less precisely, then copying the information could take a little longer. This is because these details are very important and there are several checks to ensure that the basic figures add up.

If the respondent cannot find the EPQ or has not completed it, you can go through it with them on paper first, or choose to enter the details straight onto the computer, but it is important that time is taken, either then or later, to collect accurate figures.

The total number of employees at the establishment

HARD CHECK - Q1:

Make sure that your respondent has read the notes on the EPQ and included only employees **of the establishment**. (If there is a major difference between the respondent's total number of employees and the IDBR totals on your ARF, then you need to have satisfied yourself that there is a reasonable explanation.) Freelancers, Home Workers and Temporary Agency Staff - who do **not** have a contract of employment - are all **EXCLUDED** from the establishment total. Some employees might work at home (wholly or in part) but still have a **contract** of employment with the workplace and would be **INCLUDED**.

See.....EMPLOYEE.....GLOSSARY

YOU CANNOT PROCEED WITH THE INTERVIEW UNLESS YOU HAVE AN ANSWER TO THIS QUESTION.

SOFT CHECK - Q2: The total number of Full-time male workers + Full-time female + Part-time male + Part-time female must equal total employees.

SOFT CHECK - Q3: The total column in which the total number of employees for each occupational group is recorded is very important. When added together, the totals in the column should equal the total number of employees at Q1.

This is a KEY QUESTION. It asks the respondent to classify all of the employees of the workplace into the NINE categories of the government's STANDARD OCCUPATIONAL CLASSIFICATION. This classification is used generally in government surveys to classify employers and will be familiar to many of the managers you are interviewing. The notes on the back of the EPQ set out as clearly as we can, the differences between the nine groups. Not only the respondent, but also you the interviewer, need to familiarise yourself with the basic structure of the classification that will be used very frequently throughout the interview.

Two particular points to remember are

- GROUP 1 Managers and Senior Officials includes all **senior** managers (e.g. works manager, production manager, sales manager) and **senior** administrators - who could be described as 'determining policy, direction and co-ordinating functions'.

- Line managers are classified in the same way as supervisors and foremen. They should be grouped with employees whom they supervise. For example an office manager would be grouped with the clerical/administrative workers whom (s)he supervises.

We use the Standard Occupational Classification not only because we want to know about the breakdown of employment within the workplace, but also because we wish to identify the non-managerial occupation with the most employees in it, the largest (non-managerial) occupational group.

Although **most** of the questions in the survey are asked about the workplace or about the workforce as a whole, **many** of the questions are about the largest occupational group.

There are also some questions about managers and about non-managerial employees.

You should remember two points relating to the identification of the largest SOC group of employees.

- If two or more groups are of equal size, the computer is programmed to select the one that **is highest in numerical sequence, i.e.** closest to the **bottom of the list** as it appears on the screen and the EPQ. For example if there are equal numbers of Process, Plant and Machine Operatives and Drivers (Group 8) and Routine Unskilled Occupations (Group 9) then the computer would identify Group 9 as the largest.

- In the **unlikely** event of Managers and Senior Officials (Group 1) being the largest group on the EPQ, they will not be identified throughout the questionnaire as such. The CAPI programme will substitute the largest group from groups 2-9.

The answers in this column do not accept 'Don't know and refusals'. If inserted, the

message reads: “THIS IS VERY IMPORTANT DATA, IF RESPONDENT IS UNSURE OR UNABLE TO GIVE EXACT FIGURES BUT KNOWS THERE ARE EMPLOYEES IN THIS CATEGORY, PLEASE GET HIM/HER TO GIVE BEST ESTIMATES”.

There are also several other questions in this section that will ask you for a best estimate if the respondent’s initial reply is ‘don’t know’.

Other checks in this section are put in to ensure that certain figures are no larger than the totals given elsewhere on the EPQs.

ZUNIMEM

“How many employees at this establishment are members of a trade union or independent staff association - whether recognised by management or not?”
INTERVIEWER: IF RESPONDENT IS UNSURE, OBTAIN THEIR BEST ESTIMATE.

You will realise that the answers to this question will be very important. It is possible, however, that managers in many workplaces, will not know exactly how many staff are members of unions. We would like you to confirm this figure as you enter it. They may want to revise, given the option to do so.

If the respondent is unable to provide an estimate of the number of union members, they will be prompted to estimate the percentage of union members. Again, if they are unable to estimate the percentage, they will be asked whether there are *any* union members at the establishment.

SeeINDEPENDENCE.....GLOSSARY

SeeTRADE UNION/STAFF ASSOCIATIONGLOSSARY

MQ BLOCK A

ESTABLISHMENT AND ORGANISATION CHARACTERISTICS

General:

This section is used to help us classify workplaces into different categories, such as industry, public and private sector and so on. We need to know if the workplace is a part of a larger organisation or a single independent establishment.

This has important implications for how the establishment is run, including the extent to which external influences are brought to bear on the way work is organised.

There is then a series of questions that ask about the wider organisation of which the workplace is part.

ASICDESC

‘What is the main activity of the establishment?’

It is essential to obtain FULL DETAILS of the establishment’s MAIN activity, since DP have to carry out detailed coding of your answers. Single word answers are not sufficient. If the establishment has more than one activity, probe for the MAIN activity.

ASINGLE

Looking at this card, is this establishment one of a number of establishments in the UK belonging to the same organisation, a single independent organisation or the sole UK establishment of a foreign organisation?

This is a crucial classification question. ‘Don’t know’, ‘Refused’ or ‘Other answer’ are not allowed. The answer to this question determines a significant proportion of the

routing for the rest of the questionnaire.

Single independent establishments will not belong to, or be owned by, any other organisation

Establishments owned by a foreign organisation, when they are **not the only** establishment of that organisation in the UK, should be categorised with the first group (code 1).

Establishments which are part of a multi-establishment organisation **may** operate independently of the parent company, but will ultimately be part of a larger organisation. Public sector establishments generally fall into this latter category.

ASTATUS

This is also a crucial classificatory question - 'Refusal', 'Don't know', 'Other answer' are not permitted.

See **PUBLIC LIMITED COMPANY (PLC)** **GLOSSARY**
 See..... **PRIVATE LIMITED COMPANY** **GLOSSARY**
 See..... **COMPANY LIMITED BY GUARANTEE** **GLOSSARY**
 See **PARTNERSHIP** **GLOSSARY**
 See **SELF PROPRIETORSHIP** **GLOSSARY**
 See..... **TRUST** **GLOSSARY**
 See..... **CHARITY** **GLOSSARY**
 See..... **BODY ESTABLISHED BY ROYAL CHARTER** **GLOSSARY**
 See **CO-OPERATIVE** **GLOSSARY**
 See **MUTUAL** **GLOSSARY**
 See **FRIENDLY SOCIETY** **GLOSSARY**
 See..... **GOVERNMENT-OWNED LIMITED COMPANY**
 **GLOSSARY**
 See..... **NATIONALISED INDUSTRY** **GLOSSARY**
 See..... **TRADING PUBLIC CORPORATION** **GLOSSARY**
 See..... **PUBLIC SERVICE AGENCY** **GLOSSARY**
 See..... **QUANGO** **GLOSSARY**

This question permits up to two codes. In the vast majority of cases, you will need only one. However, it is possible for a Company Limited by Guarantee to also have the status of a Charity, Trust, Co-operative, Mutual or Friendly Society. Two codes should be used in such cases.

AFRANCH

See..... **FRANCHISE** **GLOSSARY**

ACONHEAD

You should note that Head Office should only be coded if the **sampled** establishment is the Head Office. On occasions it may be necessary to conduct an interview at a Head Office **about** a sampled establishment which is part of a larger organisation. This question refers to the sampled establishment, not the location of the interview.

ASUBSID

See..... **SUBSIDIARY COMPANIES**..... **GLOSSARY**

AHOWLONG

'For how many years has the establishment been in operation?'

The respondent may not know exactly how long the establishment has been in operation. In such cases, a follow-up question asks them to choose from one of six ranges.

AHOWCHG

This question deals with any changes there might have been in the name, ownership,

location and size of the establishment.

See..... **MERGER..... GLOSSARY**
 See..... **AMALGAMATION..... GLOSSARY**

ASCALES

The final component of this section is the attitude scales. These are a series of questions that ask what managers think about a number of topics and practices at their workplace. We ask these questions early so responses will not be affected by more structured questions later in the interview. We are interested in the manager's **personal** view, rather than the 'corporate line' or the prevalent view among all managers at their workplace.

See..... **LONG TERM EMPLOYMENT..... GLOSSARY**
 See..... **RECOGNISED UNION..... GLOSSARY**
 See..... **STAFF ASSOCIATION GLOSSARY**
 See..... **CONSULTATION/CONSULT GLOSSARY**
 See..... **VALUES OF ORGANISATION GLOSSARY**

MQ BLOCK B

MANAGEMENT OF PERSONNEL FUNCTION

This section begins by asking a series of questions about the respondent. This is not because we are interested in the respondent him/herself, but about how the backgrounds of employment relations managers differ from one workplace to the next. We ask about their qualifications and experience, their responsibilities, and people working for them.

BYOURJOB See **EQUAL OPPORTUNITY POLICIES GLOSSARY**
 See **APPRAISALS GLOSSARY**

BHAVQUAL See **PERSONNEL QUALIFICATIONS GLOSSARY**

Next we look at the level in an organisation that decisions are made. Are they made in a workplace or at a higher level? Within a workplace are they made by senior managers or by supervisors, line managers or foremen?

Supervisors, foreman and line-managers are terms used to denote people directly concerned with the detailed supervision of work. We want to know whether they have authority to make decisions over hiring, pay rises or dismissals.

BINVMANG See **SUPERVISOR, FOREMAN, LINE MANAGER GLOSSARY**

Note: BINVMANG is the first question that uses the standard showcard of 'workforce percentages', i.e. 'All (100%)', 'Almost all (80-99%)' etc. This showcard is used for a number of different questions throughout the management interview. In some workplaces, respondents may find it easier to give the exact number of employees, rather than converting it to a percentage. For this reason, your CAPI screen gives you the option to use the banded percentage scale, or to enter the precise number of employees.

BPOLICY/ BCONSULT/ BREPORT

For each of the different aspects of employment relations we ask whether the workplace must

- **follow policy or procedure** set by another workplace/organisation.
- is able to make decisions **without consulting** another workplace/organisation

- **regularly reports** to another workplace/organisation

The answers a respondent might give to any of this set of three questions have no necessary implications for the answer (s) he might give to the other two.

For example in respect of 'Training of employees' the workplace might have to **follow a policy/procedure** set by its Head Office. It might nonetheless be permitted to **make decisions without consulting** the Head Office - and it might not have **report regularly** to that Head Office.

BCONSULT **See CONSULTATION/CONSULT GLOSSARY**

BCONMOR,
BREPMOR We also ask whether the establishment has to consult, or report to, another establishment on other facets of its activities, such as the quality of its product or major physical changes in the establishment. Note that this set of questions does not ask whether policies or procedures are followed in respect of these particular issues (i.e. there is no equivalent to BPOLICY).

We also look at whether the establishment seeks advice on employment relations' matters from outside the workplace or organisation. Such advice can be found in a number of quarters including membership of an employers association, trade association, Chamber of Commerce or the Federation of Small Business.

Employers associations also represent employers in pay negotiations with employees or their representatives.

Alternatively, employers may contact ACAS for advice and, if they have done, we find out what it was about.

BMEMBER/
BADVICE /
BAISSUES **See EMPLOYERS ASSOCIATION GLOSSARY**
See ACAS GLOSSARY
See BUSINESS LINK GLOSSARY
See SMALL BUSINESS SERVICE GLOSSARY
**See CHARTERED INSTITUTE OF PERSONNEL AND
DEVELOPMENT GLOSSARY**

This section ends by looking at how important employment relations is in the general management of the workplace. If it is very important they are likely to operate a strategic plan which covers employment relations matters in it, and to have obtained recognition as an *INVESTOR IN PEOPLE*. This is a national scheme that allows organisations to state that it shows a commitment to developing the skills of its employees.

BSTRATEG/
BMANAGE **See FORMAL STRATEGIC PLAN GLOSSARY**

BAWARD **See INVESTORS IN PEOPLE (IIP) GLOSSARY**

MQ BLOCK C **RECRUITMENT, TRAINING AND WORK ORGANISATION**

Recruitment refers to the various means establishments use to select employees. This covers vacancies filled from within or outside the workplace and the means used to sift through applicants; for example, use of personality and competency tests.

CSPECIAL	<p>Some establishments may have special procedures to attract people from disadvantaged groups. This might include placing job advertisements in newspapers that target ethnic minorities, e.g. <i>The Voice</i>, or liaising with local job centres to encourage applications from the long-term unemployed.</p> <p>Personality tests refer to potential recruits' honesty, ability to handle stress and leadership qualities, while competency tests target practical skills needed to perform the job, for example, a mechanic may be asked to dismantle and reconstruct a car engine.</p>
CATESTS/ CTESTWHO	See PERSONALITY OR ATTITUDE TESTS GLOSSARY
CPTESTS/ CWHODO	<p>See PERFORMANCE OR COMPETENCY TESTS GLOSSARY</p> <p>We then ask a series of questions which look at the way work is organised for the largest occupational group (See MQ Section EPQ). This covers the job description, the various techniques managers utilise to get work done, and the degree of control employees exert over their jobs.</p> <p>Questions on training cover everything from induction to specialist training (e.g. courses in computing or communication skills). We seek to discover how many employees are eligible for training and what type of training this is.</p>
CINDUCT/ CLONGH	See INDUCTION GLOSSARY
CHOW	<p>See EQUAL OPPORTUNITIES GLOSSARY</p> <p>Finally, we ask questions about team working. Team working is a term used in a variety of ways, and for the most part we want to leave it up to the respondent to decide for themselves whether they operate a team system or not.</p>
CTEAMS/ CTEAMHOA- CTEAMHOD	See TEAMWORKING TEAMS GLOSSARY
CCOMPUT	Here, we are interested to identify the proportion of employees that use a computer as part of their normal duties. This does not include employees who use electronic tills. It also excludes those who work on computer-controlled machinery, unless they interact with the computer themselves.
MQ BLOCK D	<p>CONSULTATION AND COMMUNICATION</p> <p>Here we look at the ways and methods management use to communicate with employees, which employees they communicate with and over which issues. There are many approaches and the questionnaire explores a number of these in detail.</p>

- DMEET/
DBRIEF Workforce meetings take place between *senior* managers and the whole workforce, either altogether or group by group. In contrast, briefing groups or team briefings take place between line managers or supervisors and all of the employees for whom they are personally responsible, whether that be a section, department or a team. In both instances, managers may use the meeting to relay management decisions and the reasons for them, and may also give employees an opportunity to ask questions.
- See**BRIEFINGS****GLOSSARY**
- DMTOWAY In some cases, the amount of time available for questions may vary, depending upon the number of questions that employees have to ask. In such circumstances, ask the respondent to say how much time is *usually* available.
- DJOINT *'Are there any committees of managers and employees at this workplace, primarily concerned with consultation rather than negotiation? These committees may also be called joint consultative committees, works councils or representative forums?'*
- This is a **key question** in this section of the questionnaire.
- Joint Consultative Committees are bodies made up of management **and** employee representatives, that discuss a range of issues or may be single-issued based (e.g. health and safety). They are for consultation, as distinct from negotiation that involves joint agreements.
- With the general decline in unionisation of workplaces over the past 15 years, groups which are concerned with consultation rather than negotiation have increased in number. However they should not be considered solely as **alternatives** to trade union negotiations. In many establishments consultative committees will be found to co-exist with recognised trade unions.
- See**JOINT CONSULTATIVE COMMITTEE****GLOSSARY**
- There are a number of follow-up questions to find out more about these consultation arrangements such as the range of issues tackled and whether all employees are covered by the consultation process.
- DMWHI/
DBWHI/
DWHICH See**REDUNDANCIES****GLOSSARY**
See**EQUAL OPPORTUNITIES POLICIES**.....**GLOSSARY**
- DCOMLIF *Is this committee intended to exist for a fixed period of time or is it a permanent one?*
- Some Joint Consultative Committees are set up to consult employees about a particular issue, such as a change in the way work is organised at the establishment. In these cases, the committee might cease to exist once the change has taken place. Other committees are permanent features of the workplace (although each employee representative may only serve on the committee for a fixed period of time).
- DCONFID See**COMMERCIALLY SENSITIVE INFORMATION**...**GLOSSARY**
- European works councils are a special form of joint consultative committee operating at a European level. They will only be found in large organisations that have operations in continental Europe.
- DCOUNCIL See**EUROPEAN WORKS COUNCIL**.....**GLOSSARY**

DCIRCLES *'I'd now like to ask you some questions about methods you might use to involve employees in improving performance. Do you have groups at this workplace that solve specific problems or discuss aspects of performance or quality? They are sometimes known as problem solving groups or quality circles or continuous improvement groups?'*

Problem-solving groups or quality circles consist of small groups of employees who meet regularly to solve problems and find ways of improving aspects of their work. You should bear in mind that these bodies may go under many different names, but the questionnaire allows for this.

See QUALITY CIRCLES GLOSSARY

See PROBLEM SOLVING GROUPS GLOSSARY

See CONTINUOUS IMPROVEMENT GROUPS GLOSSARY

**DSURVEY/
DRESULTS** **See ATTITUDE SURVEYS GLOSSARY**

**DINVPLAN-
DSTAFFIN** **See UNION REPRESENTATIVES ETC. GLOSSARY**
See WORKER REPRESENTATIVES GLOSSARY

MQ BLOCK E **REPRESENTATION AT WORK**

We have titled this section 'Representation At Work' because we are interested in exploring the extent to which employees are able to organise themselves collectively in their dealings with management.

The most common form of this is through trade unions or staff associations. These are bodies which are independent of management, and which represent members' interests in dealings with management. If they are genuinely independent the union or staff association will be registered with the government's Certification Office.

It is critical to establish if there are union members at the workplace, which is done earlier in the Employee Profile Questionnaire. The respondent may not know the exact number of members, but should be able to make a good guess. Even if the establishment does not have any employees who are members of a union, there are key questions asked. The structure of the section is set out in the following paragraphs.

The opening questions are all about union membership - which employees are members, what the attitude of managers is to union membership, and so on.

EEMPLOY **See TRADE UNION/STAFF ASSOCIATION GLOSSARY**

We then ask questions about the unions themselves, and you will see when you use the CAPI programme, a very helpful automatic coding scheme to identify the individual unions.

You will see that a list of all the unions and their commonly used abbreviations is stored within the computer. When you begin to type the name of a union, the screen will change to show you a list of the unions. The more that you type, the more the list will be refined. You can type in the full union name, part of it, or the abbreviation (e.g. SOGAT) but do **not** use full stops. When you see the list appear, you are able to use the arrow keys to highlight the correct union.

If the name of a particular union (or staff association) is not on the list, you should use one of the generic codes and then use the Notepad facility to record the full name of the union. There are ten generic codes, as follows:

- Nursing unions - other certified
- Fire service unions- other certified
- Other certified local authority unions
- Other certified unions in universities organising academic staff
- Other certified unions in universities organising non-academic staff
- Hospital doctors' association and other certified doctors' unions
- Other certified unions for paramedical staff and scientific staff attached to medicine
- Secondary heads' association and other certified unions organising staff in primary or secondary education

and a residual code to be used when no other applies:

- Other certified unions

Please be careful to select the most appropriate code and enter the specific name in a note. Do check with the respondent if you are unsure as to whether the union that has been highlighted by the program is the same as the name given by the respondent.

Please also use your Notepad if the respondent offers any explanation of why the union might not be on the list.

Having identified the unions we must then find out whether management recognises them. Recognition means that management acknowledges that the union is a legitimate body for conducting negotiations over pay and conditions of employment for the employees working in those grades where they have members.

It may be that negotiations never occur at the workplace, only at a higher level in the organisation or even at an industry level. This is still to be counted as recognition.

ERECOG/
EFORMAL

See**RECOGNISED UNION ETC.....GLOSSARY**
See**TRADE UNIONS.....GLOSSARY**
See**STAFF ASSOCIATIONSGLOSSARY**

EADDREC/
EOTHREC

In some cases, managers at the workplace or at a higher level may recognise a trade union for negotiating over the pay and conditions of employees at the sampled workplace even though the union has no members there. This situation will be rare, but it may occur in workplaces that are part of larger organisations if a trade union has substantial numbers of members at other sites. Managers may find it more convenient to conduct a single set of negotiations that covers all of their sites, rather than dealing with each site separately.

EJOINT;
EGROUPS

See**JOINT NEGOTIATIONS**.....**GLOSSARY**

*‘Does management negotiate **jointly** with the recognised unions or are there separate negotiations?’*

There are three possible answers.

1. Jointly - all recognised unions negotiate over pay as one unit

All recognised trade unions or independent staff associations present at the workplace form **1 unit** in negotiations over pay. For example, the GMB and T&G are recognised as legitimate representatives of their members at the workplace for negotiations over pay. Both these unions act as **1 body** representing all their members in negotiations with management.

2. Separately - each recognised union negotiates independently over pay

All recognised trade unions or independent staff associations present at the workplace negotiates **independently** with management over pay. For example, the GMB and T&G are recognised as legitimate representatives of their members at the workplace for negotiations over pay. Each union has **separate** meetings with management to negotiate the pay of their own particular members.

3. Separately - at least 2 recognised unions jointly negotiate over pay

Where there are at **least 3** recognised unions or independent staff associations present at the workplace, with **at least 2** forming **1 unit** in negotiations over pay with management. The rest may form other joint units, or negotiate independently with management over pay. For example, the GMB, T&G, AMICUS-AEEU & IPMS are all recognised as legitimate representatives of their members for negotiations over pay. Both the GMB & T&G act as **1 body** representing all their members in negotiations with management, while AMICUS-AEEU & IPMS both have **separate** meetings with management to negotiate the pay of their own particular members.

In most cases where there are recognised unions, the union will have arranged for one or more members to act as trade union representatives at that site. These may go under different titles such as shop steward, convenor or even Father of the Chapel (in printing workplaces). These union representatives act on behalf of their members in dealings with management over a variety of workplace issues.

It is also the case that there are often employee representatives who cover employees where there is no union membership for that grade or occupation. These are sometimes called **non-union employee representatives**. We ask some questions about these representatives, such as how they got the post, and whether they sit on the joint consultative committee (if there is one).

You will find some workplaces where there are both trade union representatives and other employee representatives. For example, shop-floor workers might have union recognition, but office workers do not, and management might ask the office workers to nominate an employee representative.

ESTEWARD/ See **UNION REPRESENTATIVES ETC.** **GLOSSARY**
 EOTHUREP/ See **NON-UNION REPRESENTATIVES** **GLOSSARY**
 EOTHREPS See **EMPLOYEE REPRESENTATIVES** **GLOSSARY**

Note: These are key questions that identify the presence of worker representatives at the workplace and which therefore trigger the need for a worker representative interview. Since it is vital that we identify worker representatives where present, there are a couple of soft checks here. The first comes after EOTHUREP and is triggered if there are union members at the workplace but no union reps have been reported at ESTEWARD, ESTEWEXT or EOTHUREP. The second comes after EOTHREPS and is triggered if there is a joint consultative committee at the workplace (DJOINT=Yes) but no reps (union/non-union) have been reported at ESTEWARD, ESTEWEXT, EOTHUREP or EOTHREPS.

EULR See **UNION LEARNING REP** **GLOSSARY**
 At the end of the interview CAPI will identify if the requirements have been made to conduct a worker representative interview.

The penultimate part of Section E contains a short block of questions asking managers for their views about the employee representatives at the workplace. The questions are asked separately about union representatives and non-union representatives, where each is present.

The section concludes with a block of questions asking about management's dealings with either or both trade union and other employee representatives over standard employment relations matters. We try to establish whether they negotiate, consult or inform the representatives about these matters. If workplace managers do not deal with trade unions themselves, because dealings with trade unions are carried out at a higher level in the organisation, managers are asked to report on how things are dealt with at that level.

EPAYA- See **NEGOTIATIONS** **GLOSSARY**
 APERFORA See **CONSULTATIONS** **GLOSSARY**

This question is an example of **hierarchical** coding. Where a respondent says that management 'negotiates' with the representative, the implication is that they also 'consult' and 'inform'. The respondent may specifically say this. Similarly the answer 'consult' will imply 'inform'. You should only record one response - the one that is **highest** in the hierarchy.

MQ BLOCK F PAYMENT SYSTEMS AND PAY DETERMINANTS

This section is all about pay. It is a very complex topic area and the section is relatively short - shorter than the topic deserves.

We begin by looking at why it is that people doing the same job in the same workplace might earn different amounts. This might arise because of differing hours, or differing qualifications.

FFACTORS see **CORE COMPETENCES** **GLOSSARY**
 see **PERFORMANCE RELATED PAY** **GLOSSARY**
 see **APPRAISALS** **GLOSSARY**

We then ask some detailed questions about particular types of ‘variable-pay’ schemes.

Under these schemes, pay is, as implied, variable, and is usually dependent on some measure of either individual or workplace or organisation performance. A good example is profit-related pay schemes, where employees get an annual profit-related payment, the size of which depends on the level of profit.

We ask about these and other variable pay schemes in some detail, finding out which employees are covered, which employees actually take part, and how payments are determined.

FPERF See **PAYMENT BY RESULTS** **GLOSSARY**
 See **MERIT PAY** **GLOSSARY**

FPROF See **PROFIT-RELATED PAY** **GLOSSARY**

FLEVEL see..... **SUBSIDIARY COMPANY**..... **GLOSSARY**

FSHARE- see..... **EMPLOYEE SHARE OWNERSHIP**..... **GLOSSARY**
 FNONWHO

The next set of questions looks at the use of job evaluation schemes. These are schemes that employers use to work out what the rates of pay should be for different types of job. Some schemes work by giving each job points for a series of different factors, such as the levels of skill and responsibility that the job entails; the rate of pay is then determined by the total number of points the job is awarded in the evaluation. Other schemes involve much less analysis of the content of the job.

FJOBEVAL See **JOB EVALUATION SCHEME** **GLOSSARY**

The next part of this section looks at the last pay settlement or review for the largest occupational group. In most workplaces, there is an annual pay round. We ask a series of questions about this round, looking at the process by which the decision to give 1% or 10% (or something in between!) was arrived at.

This involves finding out who had a say in the process. We are particularly interested in distinguishing between different levels of an organisation, and whether there was any **collective bargaining**. In the previous section we talked about union recognition and negotiation in general terms. Here, we want to know what happened the last time pay was reviewed for the largest occupational group. In particular, we want to know whether managers did actually negotiate about pay to reach a collective agreement, be this at workplace, organisation, or industry level.

Some managers may just say that they set pay for their employees by following the National Minimum Wage. In these circumstances, we consider pay to have been set by management at some level in the organisation, rather than by government, since managers could have set pay higher than the NMW.

FREVIEW See **NEGOTIATIONS**..... **GLOSSARY**

FPAYCUT See **RECOGNISED UNION** **GLOSSARY**

FWHODID See **NEGOTIATIONS**..... **GLOSSARY**
 See **WORKER REPRESENTATIVES**..... **GLOSSARY**
 See **EMPLOYERS ASSOCIATION**..... **GLOSSARY**
 See **RECOGNISED UNION** **GLOSSARY**

FCONSULT **See.....WORKER REPRESENTATIVES.....GLOSSARY**
See.....CONSULTATION.....GLOSSARY
See.....NEGOTIATION.....GLOSSARY

Pay is a very important topic and this is why we then go on to ask a more general question about how pay is determined for each occupational group present at the workplace. This is the only place in the survey where we repeat the same question for each of the occupational groups. The routing for these questions is linked to the EPQ. So if one or more of the nine occupational groups are not present at the workplace, the associated question for this group will not appear on your screen.

FSOC1-FSOC9 **See.....COLLECTIVE BARGAINING.....GLOSSARY**
See.....RECOGNISED UNION.....GLOSSARY
See.....INDEPENDENT PAY REVIEW BODY.....GLOSSARY

The next set of questions look at employment contracts, and other entitlements that are part of the package for employees but are not pay. Examples are holidays, pensions and cars.

FCIDENT **See.....STANDARD EMPLOYMENT CONTRACT.....GLOSSARY**

**FOTHITL/
FENTITLE** **See.....SICK PAY IN EXCESS OF STATUTORY.....REQUIREMENTS**
.....GLOSSARY

Many workplaces operate performance appraisal schemes, and these are usually, but not always, tied in to pay. For example, an employee's annual pay increase may partly be determined by his/her boss's assessment of his/her performance. The section ends by looking at how performance appraisals are undertaken at the workplaces.

FSOCIND **see.....APPRAISALS.....GLOSSARY**

FWHOAPP **see.....SUPERVISOR ETC.....GLOSSARY**

MQ BLOCK G

COLLECTIVE DISPUTES AND PROCEDURES

This section, and the next, looks at disputes that arise about employment matters at the workplace. In some workplaces, disputes arise quite often, whether it is over pay or over such things as bullying at work. Many workplaces operate a formal procedure to be used for resolving disputes. The procedure is a guide for managers and employees about the steps they are to follow in trying to resolve a dispute.

We normally divide disputes into two main groups: collective disputes and individual disputes. At the workplaces there may be a single procedure covering both collective and individual disputes. However we want the respondent always to distinguish between the two. This section (G) concentrates on collective disputes. Many of the questions asked in G are replicated in the following section (H), where we ask about individual disputes.

We want to know what happens when a collective dispute arises - is there a procedure to be followed or not, what types of disputes are covered by a procedure, whether any outside parties like ACAS are called in to help resolve disputes.

GPROCEDU **See.....COLLECTIVE GRIEVANCE.....GLOSSARY**

GISSUES **See.....REDUNDANCIES.....GLOSSARY**

GPROHIB	See.....INDUSTRIAL ACTIONGLOSSARY
GBODY/ GUSED	See.....PROCEDURES.....GLOSSARY See.....ACASGLOSSARY See.....CONCILIATION.....GLOSSARY See.....ARBITRATION.....GLOSSARY See.....MEDIATIONGLOSSARY See.....UNION REPRESENTATIVES ETC.....GLOSSARY See.....EMPLOYERS ASSOCIATIONGLOSSARY

Sometimes collective disputes escalate into industrial action. This might mean strikes, or it might be a ban on overtime working. Before taking any industrial action, unions are required by law to hold ballots of their members to see if a majority are in favour. We have a series of questions asking about ballots, and then about different forms of industrial action. Note that a LOCKOUT is industrial action by the employer rather than the employees!!

GFAVOUR/ GACTION/ GACTYPE	See.....INDUSTRIAL ACTIONGLOSSARY See.....LOCK OUT.....GLOSSARY See.....BLACKINGGLOSSARY See.....WORK TO RULEGLOSSARY See.....SIT-IN/WORK-IN.....GLOSSARY
GPSTYR/ GBALLOT	See.....INDUSTRIAL ACTIONGLOSSARY See.....INDEPENDENCEGLOSSARY See.....BALLOTS ON INDUSTRIAL ACTIONGLOSSARY
GPICKET	See.....PICKETINGGLOSSARY

MQ BLOCK H**GRIEVANCE AND DISCIPLINARY PROCEDURES**

This section covers individual disputes, usually referred to as grievances. There are lots of things that employees grumble about, but it becomes a grievance when they complain to their manager or take some other action about it.

Most, but not all, workplaces operate a grievance procedure to try and resolve these individual complaints. Like collective disputes procedures, this sets out the process to be followed to resolve the dispute. Again, we are interested in how this works, and the sorts of rights employees have under the procedure.

We also want to know what types of grievances have arisen in the past year because it tells us about the sorts of things bothering employees.

HPROCEDU	See.....INDIVIDUAL GRIEVANCE PROCEDURES.....GLOSSARY
HAWARE/ HACCOMP HTYPE	See.....UNION REPRESENTATIVES ETC.....GLOSSARY See.....SUPERVISORS ETC.....GLOSSARY See.....APPRAISALS.....GLOSSARY See.....EQUAL OPPORTUNITY POLICIES.....GLOSSARY

In the remainder of the section, we look at the converse of employee complaints, that is when managers have a problem with the way that an individual employee is going about their work. This is a disciplinary issue, and again most, but not all, workplaces operate a disciplinary procedure.

Again, we want to know how the disciplinary procedure works - who is covered by it, what rights employees have under it (eg. Can they appeal against a decision).

If a manager wants to discipline an employee, they can suspend them, or dock their pay, or, in the worst case, dismiss them. We find out how often this has occurred in the past year, by asking how many employees have been sanctioned.

HOTHAWAR/ See **INDUCTION** **GLOSSARY**
HOTHACCM/ See **SUPERVISORS ETC.** **GLOSSARY**
HAPPEAL

HWARNING/ See **DISCIPLINARY SANCTIONS** **GLOSSARY**
HSUSNUM

Under law, employees can complain to an Employment Tribunal if they feel that they have been dismissed unfairly, or for other breaches of their employment rights (eg. sex discrimination). We want to know whether any employees have done this over the past year.

HCOMPLAI See **EMPLOYMENT TRIBUNAL** **GLOSSARY**

HREVIEW See **INDIVIDUAL GRIEVANCE PROCEDURE** **GLOSSARY**
See **DISCIPLINARY PROCEDURE** **GLOSSARY**

MQ BLOCK I

FAIR TREATMENT AT WORK

We begin by looking at equal opportunities. Under law, employers are not allowed to discriminate in employment by gender, race, disability, union membership, religion or sexual orientation. This body of legislation will soon be expanded to also outlaw discrimination in respect of age. Many workplaces have developed policies to show that they are an equal opportunity employer. In some cases this is called a 'Managing Diversity' policy. Some workplaces don't have policies and because this is an important area, we want to find out why they don't.

As well as finding out about the policies, we want to find out in practice whether the workplace is an equal opportunity employer.

IPOLICY/ See **EQUAL OPPORTUNITIES POLICIES** **GLOSSARY**
IMEASURE/ See **MONITORING** **GLOSSARY**
IPRACTICE See **INDIRECT DISCRIMINATION** **GLOSSARY**

Next there are a series of questions covering practices that enable employees to better balance their work and family responsibilities, for example, flexitime, time off to care for sick children and paternity leave. This is sometimes called family-friendly working.

We find out which employees these practices do not cover.

IFLEX See **PART-TIME / FULL-TIME**..... **GLOSSARY**
 See **JOB SHARING**..... **GLOSSARY**
 See **REDUCED WORKING HOURS**..... **GLOSSARY**
 See **FLEXITIME** **GLOSSARY**
 See **COMPRESSED HOURS** **GLOSSARY**

IMATFULL See **MATERNITY LEAVE**..... **GLOSSARY**

IMALEOFF See **PATERNITY LEAVE**..... **GLOSSARY**

IPARENT See **PARENTAL LEAVE**..... **GLOSSARY**

Finally, we investigate health and safety issues. Under law employees have certain rights to be consulted about health and safety at the workplace, and we find out what happens in practice, and the sorts of training representatives have had.

ICOMMTEE/
 ICONSULT See **CONSULTATION**..... **GLOSSARY**

We then go on to find out if any major injuries or illnesses have arisen at the workplace in the last year. This will be used as an indicator of how safe the workplace is to work in.

MQ BLOCK J

WORKPLACE FLEXIBILITY

This section begins by looking at what is called ‘non-standard employment’. This covers a broad range of different type of working arrangements such as the use of contractors, agency workers, fixed term employees, freelance and home workers. There has been a considerable growth in these types of working arrangements over the last ten years or so, hence our interest.

It is very important here to remember the definition of employees of the establishment. These are people who have a contract of employment with the employer. There may be people working at the establishment who are not employees of that establishment. Temporary agency staff - “temps” - are a good example. These are people who are obtained from a temporary employment agency to work, usually on a short-term basis. The workplace pays the agency that in turn pays the temp. They are not, therefore, an employee of the workplace. However, we want to find out about them because many employers are substituting temps for employees, or putting out to contract work that used to be done by employees. Temps are distinct from *employees* on temporary or fixed-term contracts

JNONEMP/
 JWHYOUT See **CONTRACTORS/CONTRACTING OUT** **GLOSSARY**

JSOCTEM/
 JWHYTEM See **EMPLOYMENT AGENCIES**..... **GLOSSARY**
 See **TEMPORARY AGENCY STAFF** **GLOSSARY**

JSOCFIT/
 JWHYFIT See **TEMPORARY / FIXED TERM CONTRACT**..... **GLOSSARY**

JWRKFREE See **FREELANCE WORKERS**..... **GLOSSARY**

The next bit of this section looks at redundancies, what some people call ‘downsizing’. We identify those establishments that have made redundancies in the past 12 months by referring to data on the Employee Profile Questionnaire.

If a group of people were made redundant, we want to know whether employees were consulted in the process.

JREDREAS See **INDUSTRIAL ACTION** **GLOSSARY**
See **REDUNDANCIES** **GLOSSARY**

JREDCONS/ See **UNION REPRESENTATIVES ETC.** **GLOSSARY**
JWHOCONS/ See **WORKER REPRESENTATIVES** **GLOSSARY**
JISSCONS See **JOINT CONSULTATIVE COMMITTEE ETC.** **GLOSSARY**
See **CONSULTATION** **GLOSSARY**

Finally, we ask some questions about working time. This is quite topical at the moment because of the European Union’s Working Time Directive that offers employees the option of limiting their working week to 48 hours.

JTIME We ask about the usual operating hours of the workplace. This refers to the number of hours that the workplace is active, which might be greater than the number of hours worked by core employees, if the workplace opens early for machinery to be tested or fixed, for example. In some cases, workplaces may operate around the clock through the use of a shift system.

In addition, there are many organisations that are now experimenting with different forms of working arrangements. We ask about some of these.

JTIMEAR See **SHIFT WORKING** **GLOSSARY**
See **ANNUAL HOURS CONTRACT** **GLOSSARY**
See **ZERO HOURS CONTRACT** **GLOSSARY**

MQ BLOCK K

WORKPLACE PERFORMANCE

You might think it odd in a survey of employment relations to be asking a lot of questions about finance and production matters. The reason for this is that many researchers believe that how employment relations are managed has an impact on these things. The questions are not difficult, and should be answered easily by employment relations specialists.

We begin by looking at the market, or commercial environment, in which the workplace operates, only asking this block of questions about workplaces that sell things, either to consumers or other companies.

KPRIVPUB See **PRIVATE SECTOR** **GLOSSARY**
See **PUBLIC SECTOR** **GLOSSARY**

KMARKET/ See **MARKET** **GLOSSARY**
KCOMPET/
KDEGREE/
KPCTSHAR/
KSTAMAR

KPROSAL See **LABOUR COSTS** **GLOSSARY**

KJIT See**JUST-IN-TIME**.....**GLOSSARY**

We then go on to look at how the workplace monitors its own performance, examining such things as quality of goods or services, what type of records they keep, whether any targets are set, and whether they directly compare themselves with other workplaces, which is called ‘benchmarking’.

KRECPE/ See**LABOUR COSTS**.....**GLOSSARY**

KTARGE See**PRODUCTIVITY**.....**GLOSSARY**

See**LABOUR TURNOVER**.....**GLOSSARY**

KRECCON

KTARCON See**UNION REPRESENTATIVES**.....**GLOSSARY**

KEMPINF See**SUPERVISORS, FOREMEN ETC.**.....**GLOSSARY**

See**BENCHMARKING**.....**GLOSSARY**

KBNCHMA

This section ends by asking respondents to assess their performance in different areas compared with other workplaces in the same sector. This is very important information for us, as it enables researchers to test the argument that employment relations make a difference.

KESTPER/ See**LABOUR PRODUCTIVITY**.....**GLOSSARY**

KERFIS See**VALUE ADDED**.....**GLOSSARY**

KLACOST See**LABOUR COSTS**.....**GLOSSARY**

Please note that labour costs refer only to the costs associated with the employees at the selected establishment. Labour costs therefore do not include the costs of contract staff, freelancers or outworkers.

MQ BLOCK L

WORKPLACE CHANGES

The last substantive section looks at changes that may have occurred at the establishment over the past 2 years. It revisits some topics already covered previously.

We take a series of changes and ask whether these have occurred. The most important of these changes for employees is then explored further, where we find out how involved employees were in the process of introducing this change.

LTYPINV1 see.....**NEGOTIATION**.....**GLOSSARY**

LTYPINV2 see.....**CONSULTATION**.....**GLOSSARY**

LTYPINV3 see.....**UNION REPRESENTATIVES**.....**GLOSSARY**

see.....**INDEPENDENCE**.....**GLOSSARY**

see.....**JOINT CONSULTATIVE COMMITTEE**.....**GLOSSARY**

MQ BLOCK M

FINAL SECTION

This is the final block of the questionnaire, and consists of you thanking the respondent for taking part, while also trying to persuade them to take part in further studies, and give their consent to other parts of WERS proceedings, such as the worker representative interview and employee questionnaire.

10B The Worker Representative Questionnaire (WRQ)

At the end of the MQ you will have asked a series of questions that will identify the appropriate respondent for the WRQ. The respondent must be either: a **union representative** of the trade union with the most members present at the workplace; an **non-union representative who sits on a joint consultative committee**; or a **stand-alone non-union employee representative**. You will be asked to conduct separate interviews with a union rep and a non-union rep if both are present.

The Worker Representative questionnaire is similar in structure to the Management questionnaire. It comprises 12 blocks of questions. Like the MQ, each question name begins with the block letter (A-L). Each block relates to a different topic of questions:

BLOCK	TOPIC	JUMP NUMBER
A	Background Information	-
B	Structure of Representation at Workplace –union reps	1
C	Structure of Representation at Workplace –non-union reps	
D	Pay Determination	2
E	Role of Employee Representative	3
F	Collective Disputes and Procedures	4
G	Redundancies, Grievance and Disciplinary Procedures	5
H	Employee Representation - Management Relations	6
I	Contact with External Organisations	7
J	Union Recruitment - Trade Union Representatives Only	8
K	Workplace Change	9
L	Job and personal characteristics	10
		End

Some of the questions are parallel versions of those asked of the management respondent, and a number are identical. Even if you know what the management respondent said at a particular question you must never tell the worker representative.

This would breach confidentiality, and would also undermine one of the purposes of the survey that is to explore these differences.

The other questions are about what the worker representative does, and we ask them rather than the manager as the worker representative is best placed to answer these questions.

WRQ BLOCK A

BACKGROUND INFORMATION

This section asks for background information about the worker representative that is being interviewed. The first question is used to record which type of representative you are interviewing.

WAREPTYP see..... **UNION REPRESENTATIVES** **GLOSSARY**
 see..... **WORKER REPRESENTATIVES** **GLOSSARY**
 see..... **INDEPENDENCE/TRADE UNION** **GLOSSARY**
 see..... **RECOGNISED UNION** **GLOSSARY**
 see..... **JOINT CONSULTATIVE COMMITTEE** **GLOSSARY**
 see..... **NON-UNION EMPLOYEE REPRESENTATIVE** **GLOSSARY**

WAREPSEN This question establishes that you are interviewing the most **senior** union/employee representative of their type. If they aren't the most senior, the following question appears:

“INTERVIEWER: YOUR RESPONDENT SHOULD BE THE MOST SENIOR REPRESENTATIVE OF THE UNION. IF THIS IS NOT SO, ESTABLISH THE REASON FOR HIS/HER BEING THE RESPONDENT AND GIVE FULL INFORMATION.”

On occasions there will be legitimate reasons (e.g. prolonged sickness or absence) for your not being able to interview the most senior representative, but this question is a useful reminder. Remember that seniority in this instance is determined by position and responsibility, not by the number of years of experience, though it may be related.

WAFULLTI This question asks whether your respondent spends all his working time on representative duties, while continuing as an employee of that employer. In **no** case should your respondent be a **full-time union official**, employed by a Trade Union.

For union representatives, we ask whether they hold any official position. An example of this might be someone sitting on a committee at his or her local branch.

From each type of representative, we find out how many years they have worked at the establishment, and of these years, how many have been spent representing employees.

WRQ BLOCK B

STRUCTURE OF REPRESENTATION AT THE WORKPLACE – UNION REPS

This section contains questions that are solely for union representatives. However, it begins with a question for representatives that have been identified by the manager as JCC reps or stand-alone non-union reps, where we try to establish whether they are in fact only representing union members at that workplace. If they are, they are treated as union representatives in the remainder of the questionnaire.

The section contains a number of questions about the members of the union at that workplace. It also asks how the union rep was appointed. At many workplaces there may be more than one worker representative belonging to one or several different unions. In this section we look at how many representatives there are at the workplace and the extent to which they meet together to discuss issues.

WBUNONLY See **UNION REPRESENTATIVES ETC** **GLOSSARY**

Union representatives are asked how many union members there are at the establishment in their own union, and how this has changed in recent years.

When asked about their own union, the respondent should be talking about ALL employees that belong to that trade union at that workplace, not just about the employees they personally represent, such as a particular section or occupation.

Everyone is asked how they became a worker representative and we find out whether there are other representatives at the workplace.

Finally, we ask whether union representatives have planned meetings with managers at the workplace, and how these meetings are organised.

WBSOCME This question uses the same occupational classification that was used on the Employee Profile Questionnaire and throughout the management interview. The worker representative will not have seen this classification before and so you may have to give a brief explanation of the types of employees covered by each group.

WBMAMEET See **NEGOTIATION** **GLOSSARY**
See **CONSULTATION** **GLOSSARY**

WBSELECT See **UNION OFFICIALS** **GLOSSARY**

**WBCOMIT/
WBCOMB** See **REDUNDANCIES** **GLOSSARY**
See **EQUAL OPPORTUNITIES POLICIES** **GLOSSARY**

WRQ BLOCK C STRUCTURE OF REPRESENTATION AT THE WORKPLACE – JCC and NON-UNION REPS

Section C asks very similar questions to Section B, but is directed solely at committee representatives and non-union reps. The order of the questions is slightly different, since we ask first about the rep's involvement in committees and other meetings, and then about the types of employees that they represent.

**WCJCCID/
WCJCCNAM** See **JOINT CONSULTATIVE COMMITTEE** **GLOSSARY**

**WCCOMI/
WCNUCOMI** See **REDUNDANCIES** **GLOSSARY**
See **EQUAL OPPORTUNITIES POLICIES** **GLOSSARY**

WCNUMEET See **NEGOTIATION** **GLOSSARY**
See **CONSULTATION** **GLOSSARY**

WCUREPA See **UNION REPRESENTATIVES ETC** **GLOSSARY**

WCNUOTH See **NON-UNION EMPLOYEE REPRESENTATIVE** **GLOSSARY**

WCSOCME This question uses the same occupational classification that was used on the Employee Profile Questionnaire and throughout the management interview. The worker representative will not have seen this classification before and so you may have to give a brief explanation of the types of employees covered by each group.

WRQ BLOCK D

PAY SYSTEMS AND PAY DETERMINATION

The section on pay covers several different issues. First we ask about employee representatives' involvement in determining pay. We find out who, in addition to themselves, is involved in negotiating pay, as well as getting details on whether any information was requested from management before the commencement of bargaining.

WDPAY See **NEGOTIATION** **GLOSSARY**
See **CONSULTATION** **GLOSSARY**

WDPAY question is an example of **hierarchical** coding. Where a respondent says that management 'negotiates' with the representative, the implication is that they also 'consult' and 'inform'. The respondent may specifically say this. Similarly the answer 'consult' will imply 'inform'. You should only record one response - the one that is **highest** in the hierarchy.

WDINVU See **FULL-TIME OFFICIAL** **GLOSSARY**

WDINVNU See **UNION REPRESENTATIVES ETC** **GLOSSARY**

On the issue of non-pay bargaining, the same approach that was used in the management questionnaire has been adopted (see WDPAY above).

WDEQUOPP/
WDPERFAP See **EQUAL OPPORTUNITIES POLICY** **GLOSSARY**
See **APPRAISALS** **GLOSSARY**

WRQ BLOCK E

ROLE OF EMPLOYEE REPRESENTATIVE

The interview then proceeds with all respondents being asked what they do in their representative duties and how much time these activities take-up.

WEPROTIM See **EQUAL OPPORTUNITIES** **GLOSSARY**
See **APPRAISALS** **GLOSSARY**

WEOFTMEE When asking about meetings and whether they are held in work time, meetings that take place during lunch breaks should not be considered as being held in work time.

We ask whether representatives meet with the employees they represent as well as enquiring about any other methods they use to communicate information.

WEPHONE In some workplaces representatives are provided with facilities such as telephones or meeting rooms, to help them in their representative activities. Please be careful to distinguish between an office that is used specifically by a representative for his or her work, and instances where a room can be used if one is free. We provide separate codes for these.

We also ask about the training of representatives. Training in this instance is defined to exclude that which is related to the respondents' normal job - it must be related to their representative duties.

WEWHATRA See **COLLECTIVE BARGAINING** **GLOSSARY**
See **INDUCTION** **GLOSSARY**

WEORG See **TUC** **GLOSSARY**
See **GENERAL FEDERATION OF TRADE UNIONS** **GLOSSARY**
See **ACAS** **GLOSSARY**

Finally in this section, we ask about management attitudes towards employee representatives.

WRQ BLOCK F

COLLECTIVE DISPUTES AND PROCEDURES

When commencing this section, the respondent should be clear that it refers specifically to disputes of a collective nature - not individual disputes as they are to be dealt with separately. Again, this is the same approach used in the management questionnaire.

Respondents are asked whether there are procedures for dealing with collective disputes, and if so, have they been used and what do they think of them.

WFFORMPR/
WFDISPPA

See.....COLLECTIVE GRIEVANCE PROCEDURES.....GLOSSARY

As in the management questionnaire, information is collected on the incidence of industrial action and the incidence of threatened action. Respondents are asked about their involvement in organising action with details on the incidence and outcomes of balloting.

WFINDA/
WFBALLOT/
WFMAJFAV

See.....INDUSTRIAL ACTION.....GLOSSARY

See.....LOCK OUT.....GLOSSARY

See.....BLACKING.....GLOSSARY

See.....WORK TO RULE.....GLOSSARY

See.....SIT-IN/WORK-IN.....GLOSSARY

See.....BALLOTS ON INDUSTRIAL ACTION.....GLOSSARY

WFPICKET

See.....PICKETING.....GLOSSARY

WRQ BLOCK G

REDUNDANCIES, GRIEVANCE AND DISCIPLINARY PROCEDURES

Section G begins with questions about redundancies that may have occurred at the workplace over the past 12 months, and the extent of consultation with employee representatives that took place as part of that process.

WGEMPRED

See.....REDUNDANCIES.....GLOSSARY

WGCONRED

See.....CONSULTATION.....GLOSSARY

WGWHOCO

See.....JOINT CONSULTATIVE COMMITTEE.....GLOSSARY

This section then asks how an employee deals with a dispute or grievance they may have and, like other sections, it also has an equivalent in the management questionnaire in that we ask how employee representatives get involved in these disputes. We see whether managers inform representatives when a grievance is raised and see if they are allowed to accompany employees at an official hearing.

WGGRIEVPR/

See.....INDIVIDUAL GRIEVANCE PROCEDURES.....GLOSSARY

WGGACC

See.....UNION OFFICIAL.....GLOSSARY

See.....SUPERVISORS etc.....GLOSSARY

Information is also collected on the types of grievances that have occurred and respondents are asked to evaluate the procedures used to resolve these disputes.

WGGRIE See.....**SUPERVISORS ETC..... GLOSSARY**
See..... **APPRAISALS..... GLOSSARY**

WGGREIVO See.....**UNION OFFICIAL GLOSSARY**

The next questions in this section deal with procedures from disciplines and dismissals and the extent to which the worker representative is satisfied with these procedures.

WGDISPRO See.....**DISCIPLINARY SANCTIONS.... GLOSSARY**

The final questions ask about reps' involvement in Employment Tribunal cases.

WGTRAPP See **EMPLOYMENT TRIBUNAL GLOSSARY**

WRQ BLOCK H EMPLOYEE REPRESENTATIVE - MANAGEMENT RELATIONS

Section H is a short section about representatives' relationship with management. It seeks to examine the quality of that relationship. If a respondent finds it difficult to generalise about management at the workplace, ask them to focus on the managers that they have most dealings with.

WRQ BLOCK I CONTACT WITH EXTERNAL ORGANISATIONS

In this Section we ask union representatives and employee reps that are union members whether they have had any contact with full-time union officials and the nature of this contact.

Full-time officials are employed by a union to work on its behalf. They are distinct from a lay official - which is what the respondent is - who acts as a representative while continuing in paid employment.

WIMETOFF See.....**UNION OFFICIALS GLOSSARY**

WIOFFLE See.....**COLLECTIVE BARGAINING GLOSSARY**
See.....**INDUSTRIAL ACTION GLOSSARY**

WIADVIC See.....**ACAS..... GLOSSARY**
See.....**TUC..... GLOSSARY**
See..... **GENERAL FEDERATION OF TRADE UNIONS GLOSSARY**
See...**CHARTERED INSTITUTE OF PERSONNEL AND DEVELOPMENT**
..... **GLOSSARY**

WRQ BLOCK J

UNION RECRUITMENT

The first part of Section J asks all respondents about managers' attitudes towards union membership at the workplace.

The remainder of Section J is only asked of trade union representatives and it seeks to find out about union recruitment and the role played by worker representatives in attracting new recruits.

Where we ask about potential members of the respondent's trade union, we want to include employees who are members of rival or alternative unions at the workplace as well as employees who have no attachment to a union.

WJHELP

SeeTUC.....GLOSSARY

SeeUNION OFFICIALGLOSSARY

WRQ BLOCK K

WORKPLACE CHANGE

The penultimate section of the interview is almost an exact replica of the ending to the management questionnaire focusing on change at the workplace over the past five years.

We are attempting to get a worker representative view on how the workplace has been changing while at the same time getting a feel for their involvement in bringing about these changes.

WKCHATU/
WKNONCH

SeeJOINT CONSULTATIVE COMMITTEE.....GLOSSARY

SeeCONSULTATION.....GLOSSARY

WRQ BLOCK L

PERSONAL AND JOB CHARACTERISTICS

The final section of the interview asks the respondent to provide some personal information about themselves. This includes their age and ethnicity, plus some details about the job that they do at the establishment. This information is extremely useful in telling us what sort of employees become employee representatives.

Many of the questions are direct replicas of those included in the Survey of Employees Questionnaire.

10C The Panel Questionnaire (PQ)

GENERAL

The Panel Questionnaire is much shorter than the main questionnaire and, except for the Basic Workforce Data Sheet (BWDS) which collects employee numbers, there are no other demands on the establishment - i.e. no interviews with worker representatives or the survey of employees!

Since the panel questionnaire focuses on the measurement of change or continuity, it focuses primarily on a number of core topics from the 1998 questionnaire. Mostly it uses exact replicas of 1998 questions.

Be aware that the panel uses the original 1998 questions, which may have been updated or improved in the 2004 Cross Section. Its vital for the panel that you use the 1998 wording on the screen and do not use the cross section wording from memory!!

FEED FORWARD

The panel questionnaire also utilises the benefits of CAPI to **feed forward**, for each of the selected addresses, up to 4 items of information, which comprise the answers given by the 1998 respondent at that establishment.

Items of data fed forward are:

- Total number of employees
- Largest occupational group (LOG)
- Whether *any* union membership;
- Whether *any* unions recognised

At the relevant points in the questionnaire, where the first 3 'feed forward' data is used a check will appear if there is an answer that does NOT correspond closely with that given last time.

A soft check will appear and a note should be made when it is necessary to suppress it. The notepad comments will form part of the final data set for analysis and will be invaluable in helping DP staff and the researchers in untangling complex cases.

Note that the check MAY indicate you are not interviewing at the correct establishment. For example it may be that a 200 employee increase represents an increase in the size of the business. However it may mean that the respondent is NOT answering about the establishment selected in 1998. It is VITAL that this is checked using the rules about continuing establishments.

Examples of the first 3 items above are shown below:

Active Signal

INTERVIEWER: The establishment we interviewed had about 61 employees whilst this time the respondent says there are 900.
Check these figures as they may be referring to a different establishment.
If the figures are correct suppress the check and explain the circumstances in a note.

Questions involved	Value
EPQ.TOTALS.ZALLEMPS	900

Suppress Close Goto

Active Signal

INTERVIEWER: You have entered the largest SOC code as **Routine unskilled employees** but in 1998 the largest group was **Professional employees**.
Check this as the respondent **may** be referring to a different establishment.
If the figures are correct suppress the check and explain the circumstances in a note.

Questions involved	Value
EPQ.EPQGRID.SOC_9.Total	900

Suppress Close Goto

Active Signal

INTERVIEWER: In 1998 there was at least one union recognised at this work place. Now there are no unions recognised.
If this is correct suppress the check and explain the reasons why no union is recognised in a note.

Questions involved	Value
SECTION.EENUMREC	0

Suppress Close Goto

As with the Cross Section MQ / WRQ, the PQ comprises a number of blocks of questions each relating to different topics. Question names (and show cards except in block Z) carry the same identity letter as the block to which they belong.

BLOCK	TOPIC
Z	The basic workforce data sheet
A	Establishment and organisation characteristics
B	Management of personnel and employment relations
C	Recruitment, training and organisation of work
D	Consultation and communication
E	Representation at work
F	Payment systems and pay determination
I	Fair treatment at work
J	Establishment flexibility
K	Establishment performance
M	Final questions and end

Note that there is NO block H, G or L.

PQ BLOCK Z

THE BASIC WORKFORCE DATA SHEET

The first section of the questionnaire is a series of questions that ask you to copy the information recorded in the BWDS into the computer. This opening five minutes or so of the interview needs to be handled carefully.

If the respondent has filled in the BWDS with precision, copying the details will be very quick. If the BWDS was completed less precisely, then copying the information could take a little longer. This is because these details are very important and there are several checks to ensure that the basic figures add up.

If the respondent cannot find the BWDS or has not completed it, you can go through it with them on paper first, or choose to enter the details straight onto the computer, but it is important that time is taken, either then or later, to collect accurate figures.

ZALLEMPS The total number of employees at the establishment

See.....EMPLOYEEGLOSSARY

YOU CANNOT PROCEED WITH THE INTERVIEW UNLESS YOU HAVE AN ANSWER TO THIS QUESTION.

Make sure that your respondent has read the notes on the BWDS and included only employees **of the establishment**. (If there is a major difference between the respondent's total number of employees and the IDBR totals on your ARF, then you need to have satisfied yourself that there is a reasonable explanation.) Freelance, Home workers, Outworkers, Casual workers, Temporary workers - who do **not** have a contract of employment are all EXCLUDED from the establishment total. Some employees might work at home (wholly or in part) but still have a **contract** of employment with the workplace and would be INCLUDED.

SOC_1-9 Note that the SOC categories used are DIFFERENT from the Cross Section MQ. Make sure you are familiar with BOTH schemes.

The total column in which the total number of employees for each occupational group is recorded is very important. When added together, the totals in the column should equal the total number of employees at Q1.

Note that if the largest occupational group has changed since last time, then a check will appear.

ZUNIMEM *"How many employees at this establishment are members of a trade union or independent staff association - whether recognised by management or not?" INTERVIEWER: IF RESPONDENT IS UNSURE, OBTAIN THEIR BEST ESTIMATE.*

You will realise that the answers to this question will be very important. It is possible, however, that managers in many workplaces, will not know exactly how many staff are members of unions. We would like you to confirm this figure as you enter it. They may want to revise, given the option to do so.

If the respondent is unable to provide an estimate of the number of union members, they will be prompted to estimate the percentage of union members. Again, if they are unable to estimate the percentage, they will be asked whether there are *any* union members at the establishment.

See INDEPENDENCE..... GLOSSARY
 See TRADE UNION/STAFF ASSOCIATION.....GLOSSARY

PQ BLOCK A

ESTABLISHMENT AND ORGANISATION CHARACTERISTICS

This section is used to help us classify workplaces into different categories, such as industry, public and private sector and so on. We need to know if the workplace is a part of a larger organisation or a single independent establishment.

This has important implications for how the establishment is run, including the extent to which external influences are brought to bear on the way work is organised.

There is then a series of questions that ask about the wider organisation of which the workplace is part.

ASICDESC *‘What is the main activity of the establishment?’*

It is essential to obtain FULL DETAILS of the establishment’s MAIN activity, since the Pink Team in Brentwood have to carry out detailed coding of your answers. Single word answers are NOT sufficient. If the establishment has more than one activity, probe for the MAIN activity.

ASINGLE *Looking at this card, is this establishment one of a number of establishments in the UK belonging to the same organisation, a single independent organisation or the sole UK establishment of a foreign organisation?*

This is a crucial classification question. ‘Don’t know’, ‘Refused’ or ‘Other answer’ are not allowed. The answer to this question determines a significant proportion of the routing for the rest of the questionnaire.

Single independent establishments will not belong to or be owned by any other organisation

Establishments owned by a foreign organisation, when they are **not the only** establishment of that organisation in the UK, should be categorised with the first group (code 1).

Establishments which are part of a multi-establishment organisation **may** operate independently of the parent company, but will ultimately be part of a larger organisation. Public sector establishments generally fall into this latter category.

ACOMP This is also a crucial classificatory question - 'Refusal', 'Don't know', 'Other answer' are not permitted.

See **PUBLIC LIMITED COMPANY (PLC)**
 See **PRIVATE LIMITED COMPANY**
 See **COMPANY LIMITED BY GUARANTEE**
 See **PARTNERSHIP**
 See **SELF PROPRIETORSHIP**
 See **TRUST**
 See **CHARITY**
 See **BODY ESTABLISHED BY ROYAL CHARTER**
 See **CO-OPERATIVE**
GLOSSARY
 See **MUTUAL**
 See **FRIEDNLY SOCIETY**
 See **GOVERNMENT-OWNED LIMITED COMPANY**
 See **NATIONALISED INDUSTRY**
 See **TRADING PUBLIC CORPORATION**
 See **QUANGO**

This question permits up to two codes. In the vast majority of cases, you will need only one. However, it is possible for a Company Limited by Guarantee to also have the status of a Charity, Trust, Co-operative, Mutual or Friendly Society. Two codes should be used in such cases.

AHOWCHG This question deals with any changes there might have been in the name, ownership, location and size of the establishment.

See..... **MERGER..... GLOSSARY**
 See..... **AMALGAMATION..... GLOSSARY**

ASCALES The final component of this section is the attitude scales. These are a series of questions that ask what managers think about a number of topics and practices at their workplace. We ask these questions early so responses will not be affected by more structured questions later in the interview.

See..... **LONG TERM EMPLOYMENT GLOSSARY**
 See..... **CONSULTATION/CONSULT GLOSSARY**
 See..... **VALUES OF ORGANISATION GLOSSARY**

PQ BLOCK B

MANAGEMENT OF PERSONNEL AND EMPLOYMENT RELATIONS

This section begins by asking a series of questions about the respondent. This is not because we are interested in the respondent himself, but about how the backgrounds of employment relations managers differ from one workplace to the next. We ask about their qualifications and experience, their responsibilities, and people working for them.

This section ends by looking at how important employment relations is in the general management of the workplace. If it is very important they are likely to operate a strategic plan which covers employment relations matters in it.

BSTRATEG / BMANAGE See **FORMAL STRATEGIC PLAN.....** **GLOSSARY**

PQ BLOCK C

RECRUITMENT, TRAINING AND ORGRANISATION OF WORK

Recruitment refers to the various means establishments use to select employees. This covers vacancies filled from within or outside the workplace and the means used to sift through applicants; for example, use of personality and competency tests.

Competency tests target practical skills needed to perform the job, for example, a mechanic may be asked to dismantle and reconstruct a car engine.

CPTESTS See.....**PERFORMANCE OR COMPETENCY TESTS.....** **GLOSSARY**

We then ask a series of questions which look at the way work is organised for the largest occupational group (See MQ Section EPQ). This covers the job description, the various techniques managers utilise to get work done, and the degree of control employees exert over their jobs.

COFFJOB
COTHJOB Questions on training cover everything from induction to specialist training (e.g. courses in computing or communication skills). We seek to discover how many employees are eligible for training and what type of training this is.

Finally, we ask questions about team working. Team working is a term used in a variety of ways, and for the most part we want to leave it up to the respondent to decide for themselves whether they operate a team system or not.

CTEAMS / CTEAMHOA - CTEAMHOD See **TEAMWORKING TEAMS.....** **GLOSSARY**

PQ BLOCK D

CONSULTATION AND COMMUNICATION

Here we look at the ways and methods management use to communicate with employees, which employees they communicate with and over which issues. There are many approaches and the questionnaire explores a number of these in detail.

Briefings consist of groups of employees, whether they are a section, department or the whole workforce called together so that management decisions and the reasons for them can be relayed.

DBRIEF See **BRIEFINGS.....** **GLOSSARY**

DJOINT

'Are there any committees of managers and employees at this workplace, primarily concerned with consultation rather than negotiation? These committees may also be called joint consultative committees, works councils or representative forums?'

This is a **key question** in this section of the questionnaire.

Joint Consultative Committees are bodies made up of management and employee representatives, which discuss a range of issues or may be single-issued based (e.g. health and safety). They are for consultation as distinct from negotiation, which involves joint agreements.

With the general decline in unionisation of workplaces over the past 15 years, groups that are concerned with consultation rather than negotiation have increased in number. However they should not be considered as **alternative** to trade union negotiations. In many establishments consultative committees will be found to co-exist with recognised trade unions.

See **JOINT CONSULTATIVE COMMITTEE.... GLOSSARY**

There are a number of follow-up questions to find out more about these consultation arrangements such as the range of issues tackled and how representatives are appointed to the committee.

DCIRCLES

Problem-solving groups or quality circles consist of small groups of employees who meet regularly to solve problems and find ways of improving aspects of their work. You should bear in mind that these bodies may go under many different names, but the questionnaire allows for this.

See **QUALITY CIRCLES.....GLOSSARY**

See **PROBLEM SOLVING GROUPS.....GLOSSARY**

See **CONTINUOUS IMPROVEMENT GROUPSGLOSSARY**

DINVPLAN-
DSTAFFIN

See **UNION REPRESENTATIVES ETC.....GLOSSARY**

See **WORKER REPRESENTATIVES.....GLOSSARY**

PQ BLOCK E

REPRESENTATION AT WORK

We have titled this section 'Representation At Work' because we are interested in exploring the extent to which employees are able to organise themselves collectively in their dealings with management.

The most common form of this is through trade unions or staff associations. These are bodies which are independent of management, and which represent employees' interests in dealings with management. If they are genuinely independent the union or staff association will be registered with the government's Certification Office.

It is critical to establish if there are union members at the workplace, which is done earlier in the Basic Workforce Datasheet. The respondent may not know the exact number of members, but should be able to make a good guess. Even if the establishment does not have any employees who are members of a union, there are key questions asked. The structure of the section is set out in the following paragraphs.

The opening questions are all about union membership - which employees are members, what the attitude of managers is to union membership, and so on.

EEMPLOY See **TRADE UNION/STAFF ASSOCIATION... GLOSSARY**

We then ask questions about the unions themselves.

We must then find out how many unions are present and whether management recognises them. Recognition means that management acknowledges that the union is a legitimate body for conducting negotiations over pay and conditions of employment for the employees working in those grades where they have members.

It may be that negotiations never occur at the workplace, only at a higher level in the organisation or even at an industry level. This is still to be counted as recognition.

ENUMREC See **RECOGNISED UNION ETC.....GLOSSARY**

See **TRADE UNIONS.....GLOSSARY**

See **STAFF ASSOCIATIONSGLOSSARY**

Note that ENUMREC is asked whether there is a single union or more than one, and is textfilled appropriately. If there are no recognised unions then 0 should be entered.

EJOINT /
EGROUPS See **JOINT NEGOTIATIONS GLOSSARY**

*'Does management negotiate **jointly** with the recognised unions or are there separate negotiations?'*

There are three possible answers.

1. Jointly - all recognised unions negotiate over pay as one unit

All recognised trade unions or independent staff associations present at the workplace form **1 unit** in negotiations over pay. For example, the GMB and T&G are recognised as legitimate representatives of their members at the workplace for negotiations over pay. Both these unions act as **1 body** representing all their members in negotiations with management.

2. Separately - each recognised union negotiates independently over pay

All recognised trade unions or independent staff associations present at the workplace negotiates **independently** with management over pay. For example, the GMB and T&G are recognised as legitimate representatives of their members at the workplace for negotiations over pay. Each union has **separate** meetings with management to negotiate the pay of their own particular members.

3. Separately - at least 2 recognised unions jointly negotiate over pay

Where there are at **least 3** recognised unions or independent staff associations present at the workplace, with **at least 2** forming **1 unit** in negotiations over pay with management. The rest may form other joint units, or negotiate independently with management over pay. For example, the GMB, T&G, AMICUS & IPMS are all recognised as legitimate representatives of their members for negotiations over pay. Both the GMB & T&G act as **1 body** representing all their members in negotiations with management, while the AMICUS & IPMS both have **separate** meetings with management to negotiate the pay of their own particular members.

In most cases where there are recognised unions, the union will have arranged for one or more members to act as trade union representatives at that site. These may go under different titles such as shop steward, convenor or even Father of the Chapel (in printing workplaces). These union representatives act on behalf of their members in dealings with management over a variety of workplace issues.

It is also the case that there are often employee representatives who cover employees where there is no union membership for that grade or occupation. We ask some questions about these representatives, such as how they got the post, and whether they sit on the joint consultative committee (if there is one).

You will find some workplaces where there are both trade union representatives and other employee representatives. For example, shop-floor workers might have union recognition, but office workers do not, and management might ask the office workers to nominate an employee representative.

ESTEWARD/ See **UNION REPRESENTATIVES ETC.** **GLOSSARY**
 EOTHREPS See **NON-UNION REPRESENTATIVES** **GLOSSARY**
 See **EMPLOYEE REPRESENTATIVES** **GLOSSARY**

PQ BLOCK F

PAYMENT SYSTEMS AND PAY DETERMINATION

This section is all about pay. It is a very complex topic area and the section is relatively short.

Most typically, nowadays, it arises because of what are called ‘variable-pay’ schemes.

Under these schemes, pay is, as implied, variable, and is usually dependent on some measure of either individual or workplace or organisation performance. A good example is profit-related pay schemes, where employees get an annual profit-related payment, the size of which depends on the level of profit.

We ask about these and other variable pay schemes in some detail, finding out which employees are covered, which employees actually take part, and how payments are determined.

FVARPAY see..... **PROFIT-RELATED PAY** **GLOSSARY**
 see..... **DEFERRED PROFIT SHARING**..... **GLOSSARY**
 see..... **EMPLOYEE SHARE OWNERSHIP**..... **GLOSSARY**
 see..... **PERFORMANCE RELATED PAY** **GLOSSARY**

FINDPERF see..... **CORE COMPETENCES**..... **GLOSSARY**
 see..... **SUPERVISOR ETC.** **GLOSSARY**

Many workplaces operate performance appraisal schemes, and these are usually, but not always, tied in to pay. For example, an employee’s annual pay increase may partly be determined by his/her boss’s assessment of his/her performance. We look at how performance appraisals are undertaken at the workplaces.

FNOTPAY see..... **APPRAISALS**.....**GLOSSARY**

Pay is a very important topic and this is why we then go on to ask a more general question about how pay is determined for each occupational group present at the workplace. This is the only place in the survey where we repeat the same question for each of the occupational groups. The routing for these questions is linked to the EPQ. So if one or more of the nine occupational groups are not present at the workplace, the associated question for this group will not appear on your screen.

Some managers may just say that they set pay for their employees by following the National Minimum Wage. In these circumstances, we consider pay to have been set by management at some level in the organisation, rather than by government, since managers could have set pay higher than the NMW.

FSOC1- See**COLLECTIVE BARGAINING****GLOSSARY**
 FSOC9 See**RECOGNISED UNION****GLOSSARY**
 See**INDEPENDENT PAY REVIEW BODY****GLOSSARY**

NOTE: THERE IS NO SECTION G OR H.

PQ BLOCK I

FAIR TREATMENT AT WORK

We begin by looking at equal opportunities. Under law, employers are not allowed to discriminate in employment by gender, race or union membership. Many workplaces have developed policies to show that they are an equal opportunity employer. In some cases this is called a 'Managing Diversity' policy. Some workplaces don't have policies and because this is an important area, we want to find out why they don't.

As well as finding out about the policies, we want to find out in practice whether the workplace is an equal opportunity employer.

IABLE/
IPOLICY/
IPRACTICE See **EQUAL OPPORTUNITIES POLICIES.** **GLOSSARY**

IGROUNDS See **DISABILITY** **GLOSSARY**
 See **TRADE UNION** **GLOSSARY**

Next there are a series of questions covering practices that enable employees to better balance their work and family responsibilities, for example, time off to care for sick children or paternity leave. This is sometimes called family-friendly working.

We find out which employees these practices cover and whether there have been benefits or costs to implementing them.

IFAMILY See **FAMILY FRIENDLY POLICIES** **GLOSSARY**

PQ BLOCK J

ESTABLISHMENT FLEXIBILITY

This section begins by looking at what is called 'non-standard employment'. This covers a broad range of different type of working arrangements such as the use of contractors, agency workers, fixed term employees, freelance and home workers. There has been a considerable growth in these types of working arrangements over the last ten years or so, hence our interest.

It is very important here to remember the definition of employees of the establishment. These are people who have a contract of employment with the employer. There may be people working at the establishment who are not employees of that establishment. A good example is temps. These are people who are obtained from a temporary employment agency to work, usually on a short-term basis. The workplace pays the agency who in turn pays the temp. They are not, therefore, an employee of the workplace.

However, we want to find out about them because many employers are substituting temps for employees, or putting out to contract work that used to be done by employees. I am sure you have all heard about local authorities having to contract out their refuse collection services.

JNONEMP	See	CONTRACTORS/CONTRACTING OUT....	GLOSSARY
JAGENCY	See	EMPLOYMENT AGENCIES	GLOSSARY
	See	TEMPORARY	GLOSSARY
JWRKFREE	See.....	FREELANCE WORKERS	GLOSSARY

In addition, there are many organisations that are now experimenting with different forms of working arrangements. We ask about some of these.

JTIMEAR	See.....	SHIFT WORKING	GLOSSARY
	See.....	ANNUAL HOURS CONTRACT	GLOSSARY
	See.....	ZERO HOURS CONTRACT.....	GLOSSARY

PQ BLOCK K

ESTABLISHMENT PERFORMANCE

You might think it odd in a survey of employment relations to be asking a lot of questions about finance and production matters. The reason for this is that many researchers believe that how employment relations are managed has an impact on these things. The questions are not difficult, and should be answered easily by employment relations specialists.

We begin by looking at the market, or commercial environment, in which the workplace operates, only asking this block of questions about workplaces that sell things, either to consumers or other companies.

KMARKET	See	MARKET.....	GLOSSARY
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We then go on to look at how the workplace monitors its own performance, examining such things as quality of goods or services, what type of records they keep, whether any targets are set, and whether they directly compare themselves with other workplaces, which is called 'benchmarking'. This is followed by a number of questions asking respondents to compare the financial performance of their workplace with others in their industry / field since 1998.

KTARGET	See	LABOUR COSTS	GLOSSARY
	See	PRODUCTIVITY	GLOSSARY
	See	LABOUR TURNOVER	GLOSSARY

KBNCEST1	See	BENCHMARKING	GLOSSARY
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KERFIS *'Looking at this card, which of these measures corresponds most closely to your interpretation of financial performance?'*

The questions that follow ask about financial performance. At this question we need to ask the respondent what this means at *their* establishment. For example, in a school financial performance might be seen as sticking to a budget whilst a factory might look to its profit margin. At the questions that follow respondents are asked to keep this in their mind but the questions ask about financial performance generically.

**KOPTB -
KDETI** In these questions, we are asking the respondent to say how the financial performance of other establishments in their industry has changed since 1998 (the date of the last survey), and then to say how their establishment has fared relative to the average. You may need to take your time over these questions, as the concepts are rather complex.

PQ BLOCK M

FINAL QUESTIONS AND END

This is the final block of the questionnaire, and consists of you thanking the respondent for taking part, while also trying to persuade them to take part in further studies.

SECTION ELEVEN: RETURN OF WORK/LIAISON WITH THE OFFICE

11.1 RETURNING YOUR WORK

Questionnaires

We would like you to connect to the host machine at Brentwood via modem **at least** twice a week, regardless of whether any interviews have been achieved. This is because

- a) there could be news messages for you to pick up,
- b) there could be program updates for you to pick up and
- c) the DTI will be receiving regular progress reports that need to be as up to date as possible.

Paper work

The **ARFs** should be returned when you have finished with them, but in a separate envelope from the EPQ and/or BWDS. If you are returning ARFs because they need to be reallocated to another interviewer then please write down all relevant details you may have obtained to help the other interviewer.

The **EPQ & BWDS** need to be returned when you have completed working at an establishment (remember to check that the serial number was written on and that they are fully filled in).

You should keep hold of the **blue Instructions for Sample Selection Sheet** for the employee survey in case we need to ask you to follow up the establishment for some reason. (Make sure you have written onto it the serial number of the workplace.)

You should also keep hold of any **spare materials** that you collect, but please remember to keep the Panel & Main survey materials separate.

11.2 RESEARCH TEAM QUERIES

Where practicable, queries should be raised with the specific individuals, as indicated below, according to the nature of the query:

SAMPLING, ADDRESSES, ESTABLISHMENT DEFINITION	Rachel Breman/ Jane Mangla
CAPI, PROGRAMMING	Stephen Woodland (P2336) Rory Fitzgerald (P2400)
EMPLOYEE SURVEY (SEQ)	Rachel Breman/ Jane Mangla
GENERAL FIELDWORK PROBLEMS	Rachel Breman/ Jane Mangla

However, bear in mind that **all** members of the research team will generally be available to answer queries throughout the course of the project and will stand in for each other as far as they can.

You should not, unless specifically asked to, contact the DTI or the PSI researchers.

11.3 BRENTWOOD OFFICE QUERIES

Routine queries should be raised with the Field Department

NATCEN Field Controller:

Alternatively you can contact (and in particular if you are searching for a telephone number) the Data Processing Department

NATCEN DP Supervisor:

DP Project Team:

Procedures for contacting Area managers and the CAPI helpline are described in the Field Project Administration Note.

APPENDIX 1: LIST OF PAPER MATERIALS

YOUR SAMPLE

Main ARF (5 sides – printed on A4).....	Blue
Panel ARF (3 sides – printed on A4)	Green
Panel screening ARF.....	Lilac

CONTACTING

D.T.I. letters - Main (addressed and blank spares).....	D.T.I. letterhead
D.T.I. letters - Panel (addressed and blank spares).....	D.T.I. letterhead
D.T.I. leaflets (general)	blue (folded)
NatCen appointment letter - Main.....	NatCen letterhead
NatCen appointment letter - Panel	NatCen letterhead
Statement of Anonymity Procedures - Main.....	White
Statement of Anonymity Procedures - Panel.....	Green
Employee Profile Questionnaire (Main)	Blue
Basic Workforce Data Sheet (Panel).....	Green
Large A4 size post-paid window envelopes (Appointment & EPQ)	White
Small DL size post-paid window envelopes (DTI letter).....	White

DOING THE INTERVIEW

SHOW CARDS (Main, WRQ and Panel).....	Yellow ring binder
Financial Performance Questionnaire (FPQ)	Yellow
Financial Manager Letters.....	D.T.I. letterhead
Worker Representative Letters.....	D.T.I. letterhead
Letter from Secretary General of TUC	TUC letterhead
Letter from CIPD.....	CIPD letterhead
Large A4 size post-paid window envelopes (FPQ & letter)	
Return to Brentwood envelopes (for FPQ)	
Small DL size post-paid window envelopes (WR letter)	

THE SURVEY OF EMPLOYEES

Employee envelopes containing	
- Self-completion questionnaire	Pink
- Return to NatCen envelope.....	White
- D.T.I. leaflet (Employee Version)	Pink folded
Sets of labels (4 sheets per establishment).....	White
Sample Selection Numbers (SET A).....	White
Sample Selection Numbers (SET B).....	Yellow
Sample Selection Sheets.....	Blue

GENERAL

Interviewer Handbook (this document)..... White
Large Return of work envelopes
NatCen Standard Leaflets

APPENDIX 2: GLOSSARY OF EMPLOYMENT RELATIONS TERMS USED IN WERS 2004

ACAS: The Advisory, Conciliation and Arbitration Service (ACAS) was set up in 1975 as an independent, non-government agency. Its mission is to “improve organisations and working life through better employment relations”. ACAS provides an independent and impartial service to prevent and resolve disputes and to build harmonious relationships at work. They receive, on average, 1 million calls per year from members of the public seeking advice on various industrial relations issues.

Agency workers: See Employment agency.

Amalgamation: An amalgamation is when two or more establishments within an enterprise or organisation are combined into one with the consequent closing down of one (or more) sites. Often amalgamations take place after there has been a merger (or take over) of organisations - but not necessarily so.

Annual hours contract: A form of employment contract that allows the employer to vary the number of hours worked by the employee in a defined period (day, week, month, quarter), subject to an agreed maximum number of standard working hours for the year. Most commonly found in manufacturing, where annual hours contracts are used to match employees’ working hours to seasonal changes in demand. Also known as ‘annualised hours’.

Appraisals: Appraisals are an assessment of an employee’s performance, potential and development needs. They are an opportunity to take an overall view of work content, loads and volume, to look back on what has been achieved during the reporting period and agree objectives for the next. Appraisals are usually carried out by an employee’s immediate supervisor, foreman or line-manager.

Arbitration: Arbitration is an alternative when conciliation is unsuccessful. An arbitrator will hear both sides of the dispute with the view to making a decision that resolves it. Both sides will agree in advance to accept the arbiter’s decision.

Attitude surveys: These attempt to ascertain what employees think about their work and what they think is desirable within the workplace or organisation. Typically, such a survey will be followed by another a year or more later in order to find out whether any changes introduced after the previous survey have had the desired effect.

Ballots on industrial action: A method of decision taking in trade unions involving an indication of preference by union members on a voting paper. Its essentially secret nature distinguishes it from decision taking through a public show of hands at a union meeting. Ballots may also be used in trade unions to elect union representatives or officials.

Bargaining unit: Refers to a group of employees covered by a particular collective agreement. For example, a single workplace may contain a number of units, such as craft, routine unskilled, professionals, etc., who may be the subject of different agreements. The bargaining unit may be as large as an entire company workforce, for example, in discussions over pension arrangements, or as small as a group of skilled craft workers. In some cases a bargaining unit may exist in name, but negotiations have ceased to take place between the employer and representatives of employees covered by the bargaining unit. In such cases, the broad structure remains intact but the bargaining unit itself is ‘not currently operating’.

Benchmarking: Examining the way things are done at other workplaces and comparing them with one’s own establishment. Comparisons can include financial performance, costs, pay levels, labour productivity, technological innovation, quality procedures, human resource management or a multitude of other factors.

Blacking: A refusal by the workforce to carry out specific tasks or use particular machines.

Body established by Royal Charter: Incorporation by Royal Charter is a prestigious way of acquiring legal status. The charter defines the organization's objectives, constitution and powers to govern its own affairs. It is usually confined to universities and colleges, professional and regulatory bodies, and bodies like the BBC, the British Council and the Research and Sports Councils.

Briefing: Regular meetings between managers / supervisors and the workers for whom they are personally responsible, so that managerial decisions and the reasons for them may be communicated.

BS5750 / ISO9000 (quality standards): The BS5750 is the kite mark award given to workplaces and organisations who have demonstrated that they have attained the quality standard for 'organisational administrative performance' required by the British Standards Institute. The ISO9000 is the European Community equivalent.

Business Link: A service managed by the Department of Trade and Industry that aims to provide objective information and support to businesses on such topics as employment, health and safety, tax, technology and marketing.

Charity: A charity is an organisation created to promote the public good, rather than to benefit any particular individual(s). Charitable status may be conferred on many different types of organisation, including companies limited by guarantee and trusts.

Collective bargaining: The process of negotiation between unions/staff associations and employers in respect of the terms and conditions of employment of employees and about the rights and responsibilities of employees. The term necessarily contains elements of negotiation as distinct from consultation (see **consultation**).

Collective grievance procedures: Method used to resolve grievances where a group of employees are involved. Organisations may have one or several different procedures covering topics such as pay and conditions, health and safety and redundancies. Will often include a provision for the dispute to be referred to an outside body or person in the event of the failure to reach an agreement at the establishment.

Commercially sensitive information: Information that, if made available to an organisation's competitors, could be used to undermine any commercial advantage the organisation may currently have. Such information may relate to pricing strategies, recent or projected financial performance, or product development plans, for example.

Company limited by guarantee: Similar to a conventional company limited by shares, in that its operations are governed by the Company Acts and it has a Board of Directors. However, instead of shareholders it has members, and instead of buying shares and receiving dividends they offer a guarantee - usually a nominal £1 - as the limit of their liability. There is also generally a provision that any surpluses are either reinvested in the company or distributed for charitable purposes.

Compressed hours: A working arrangement in which an employee works the standard number of hours in a week, but over fewer days than would normally be expected. For example, working 37.5 hours over four days rather than five days.

Conciliation: Conciliation is usually the first step when negotiations between employers and employees/unions break down. Conciliators will try to help the parties reach a settlement through discussion and negotiation. The use of conciliation is entirely voluntary and either party is free to bring the process to an end at any stage.

Chartered Institute of Personnel and Development (CIPD): A professional body for those involved in the management of personnel and employment relations. It develops professional standards, sponsors research and contributes to debates over public policy in the field of employment and training.

Contracting out: Employer practice of assigning certain tasks previously done by the establishment's own employees to a sub-contractor. Widespread practice in the public sector associated with pressures to put work out to competitive tender.

Consultation / Consult: Where management elicit the views of employees, often through their representatives before coming to a decision. This is contrasted with **negotiation**, which has the added dimension of a decision arrived at via a process of mutual concessions, bargaining and/or agreements between the parties.

Co-operative: A co-operative is an organisation that is owned jointly by its employees. Profits or surpluses are usually distributed among the employees.

Core competencies: This refers to the level of expertise required to effectively perform a given job or task.

Deferred profit sharing: A system of employee share ownership. Such shares can: [i] result from some profits placed in a trust fund, which are used to buy shares in the employing company for employees. [ii] give special dividend rights, often linked to an entitlement to all profits after a certain percentage has been paid on other classes of shares. [iii] include the option to buy a given number of company shares at the price existing at the time the agreement was made.

De-recognition: The ending of trade union recognition (see Recognised Union).

Disability: Under the Disability discrimination Act 1995 (DDA), "disability" is defined as a "physical or mental impairment which has a substantial and long-term adverse effect on (the disabled person's) ability to carry out normal day-to-day activities". The DDA makes it unlawful for an employer with 20 or more employees to discriminate against a person with a disability in relation to recruitment, terms and conditions of employment, promotion, training, dismissal or by subjecting him or her to any other detriment.

Disciplinary procedure: A procedure that is intended to govern the steps that should be taken when an employee is to be disciplined. The procedure may also indicate the types of misconduct that can be expected to lead to particular disciplinary sanctions. See also **Disciplinary sanction / rules**.

Disciplinary sanction / rules: Disciplinary sanctions are usually applied in relation to a set of pre agreed or imposed rules. These rules lay out sanctions to be imposed if employees' conduct/performance is deemed unsatisfactory. Such sanctions are normally on a sliding scale and follow a set pattern of procedures; e.g. face to face meeting (hearing) with manager(s), verbal warnings, written warnings, suspension and, ultimately, dismissal.

Employee: An employee is a person who works under a contract of employment in exchange for a wage or salary. The term excludes any freelance workers, home or out workers, and casual workers who do not have a contract of employment. Representatives, salesmen and similar employees should be included if this is the establishment to which they principally report.

There may often be uncertainty over whether a person is an employee or not. If the employer has a duty to provide work, controls when and how it is done, supplies the tools or other equipment needed to do it and pays tax and national insurance contributions on the worker's behalf, then it is likely that the worker is an employee. If, on the other hand, the worker can decide whether or not to accept work and how to carry it out, makes his or her own arrangements for holidays or sickness absences, pays his or her own tax and national insurance contributions and is free to do the same type of work for more than one employer at the same time, this points towards the person being self-employed. The fact that a worker is described (either by

himself or herself or by the employer) as being self-employed does not necessarily mean that this is actually so.

Employee buyout: Distinct from a management buy-out. Occurs where employees, either individually or through an employee trust, purchase a controlling interest in a company's equity share capital. Often done as a means of protecting employment when threatened with the possibility of company closure. This form of buy-out has also occurred when the government of the day has privatised an industry - existing employees are sometimes given the right to subscribe for the shares. If done en bloc, the employees end up with a controlling interest.

Employee representative: An employee of the establishment / organisation who has been identified to speak on behalf of employees. This generic term may be used to refer to both union representatives and non-union employee representatives.

Employee share ownership (ESOPs): Schemes designed to encourage employees to identify with the aims of the company. ESOPs work through company trusts which take out loans to buy shares in the company for distribution to employees. A variety of schemes may be used to transfer shares to individual employees.

Employment agency / agency workers: These are private agencies that supply workers to a client, usually for a short time. Agency workers normally work on their client's premises and are typically paid by the agency with the client paying the agency for the services provided.

Employers' association: Organisation of employers almost always within industrial sectors, formed usually for the purposes of negotiation with trade unions or to provide affiliated employers with industrial relations advice and assistance. In some industries employers' associations negotiate industry-wide - multi-employer collective agreements with trade unions. The services that they provide include: advice on the implications of industrial relations legislation; representation at Employment Tribunals; and, local pay levels. Membership is voluntary, and is by subscription.

Employment law: Employment law / labour law regulates employment. Its scope includes the relationship between the employer and individual employee, the collective relationship between management and trade unions and the internal affairs of trade unions.

Employment Tribunals: Formally called Industrial Tribunals. Judicial bodies that hear disputes over a range of individual employment rights such as unfair dismissal and discrimination. They consist of a Chair and two lay members who are drawn from panels of those nominated by employer organisations and those nominated by trade unions or staff associations.

Equal opportunities policy: A policy which aims to ensure that no job applicant or employee receives less favourable treatment on various grounds possibly including sex, race, disability, religion, colour or ethnic or national origins, or is disadvantaged by conditions or requirements which cannot be shown to be justifiable. Some policies also cover wider issues such as age and sexual orientation.

European Works Council: Are used as a method for informing and consulting employees within an organisation at a European level. In 1994 the European Union agreed a directive on European Works Councils. The directive applies to all establishments or organisations that have 1,000 employees with at least 150 in two EU member States.

Family friendly policies: This is a term used to cover policies and/or practices, whereby organisations provide employees with flexible arrangements which help them better cope with family responsibilities. Examples of these would be career breaks, leave to care for elderly relatives, term-time only contracts, job sharing, workplace nursery / crèche facilities and so forth.

Fixed term contract: Some contracts of employment are for a specified length of time as opposed to an indefinite duration. They may be terminated by notice given by the employer or employee.

Flexi-time: Gives an employee the freedom to choose when they start and finish their working day, within certain limits that have been agreed with their employer.

Formal strategic plan: Contains integrated sets of policies outlining future targets and the ways in which they should be met. Plans can be based at either a workplace / establishment or organisational level. Such plans would typically include aspects such as product or service development / improvement, employee development, forecasts of staffing requirements and market strategy.

Franchise: A franchise is a license given by an owner of a product or service (even a brand name) who wishes to restrict the distribution of their product or who wishes that the sales of the product be handled by one person in a given area. An advance payment is normally made for the privilege of making or distributing the goods or service along with an agreement not to purchase from any manufacturer other than the franchiser and not to sell outside the area specified in the franchise. Many fast food outlets (e.g. Kentucky Fried Chicken) are run as a franchise.

Freelance Worker: This is a form of self-employment whereby a worker offers a service to a number of different employers on a fee basis.

Friendly Society: Mutual aid organisations that aim to provide their members with a fund that they can call upon in times of hardship due to illness, accident or death. Many were set up before the existence of the Welfare State, but continue to provide financial services such as insurance and investment products.

Full-time officials: These are employed by a union to work on its behalf. Their responsibilities are likely to cover a number of workplaces. They will **not** be employees of the workplace (unless a union office is the sampled address) and will not be the union representatives who are interviewed as part of WERS.

Full-time / part-time working hours: The official definition of a full-time worker is an employee who works 30 or more hours per week. A part-time worker is one who works less than 30 hours per week.

General Federation of Trade Unions: The GFTU is a federation of specialist trade unions. Like the Trades Union Congress (TUC), it campaigns for better employment conditions on behalf of its member trade unions. It currently has 36 member trade unions and is therefore much smaller than the TUC.

Government-owned limited company: A limited liability company in which all of the share capital is owned by the government, e.g. British Nuclear Fuels (BNFL).

Human resource management: Human resource management generally refers to the policies, procedures and processes involved in the management of people in work organisations. It is a term used to cover many different topics, for example: design of organisations and work; human resource planning; recruitment and selection; appraisal; training and development; management development; motivation and reward; discipline; participation and involvement; health and safety; and management-trade union relations.

Independence (of staff association / trade union): Means that the union / staff association runs its affairs independently of management. To qualify as independent, unions / staff associations must be registered with the Certification Office.

Indirect discrimination: Discrimination that occurs through the use of job requirements that are unnecessary and which disproportionately affect a particular group of people. For example, an unnecessary requirement for shop assistants to be 6ft tall would indirectly discriminate against women.

Individual grievance procedures: Method used to resolve individual employee grievances. They can cover topics such as working conditions, dismissals or discipline. Issues will be systematically processed through different stages and levels. For example, the procedure might require the issue to be dealt with in the first instance by a person's immediate supervisor or line manager. If no agreement were reached it would then be passed on to more senior representatives. The procedure may include arbitration if the issue remains unresolved.

Induction: An induction is a programme used to help a new employee settle into their job by familiarising them with their new colleagues, the organisation and the industry. It may vary in length from a few hours to a few weeks.

Industrial action: Term that refers to all forms of collective action taken by workers against employers in pursuit of their claim or grievances. Examples include strikes, overtime bans, work to rule, lock-outs and go slows. Industrial action in recent years has been at record low levels.

Industrial Tribunals: See Employment Tribunals.

Investors in people (IiP): Investors in People (IiP) is a nationally recognised standard for effective investment in training and development of people in order to achieve organisational goals. An Investors in People organisation has a planned approach to setting and communicating its organisational objectives, developing its people to meet those objectives, and measuring the impact of that development.

Job evaluation scheme: This is concerned with assessing the relative demands of different jobs within an organisation usually to provide a basis relating differences in pay to differences in job requirements.

Job sharing: A working arrangement involving two or more people sharing the responsibilities and tasks of one full-time job. Used to offer flexibility to both employees and the employer. Sharers each have their own contract of employment and share the pay and benefits of a full-time job on a pro rata basis.

Joint consultative committee: A committee made up of management and employees or their representatives in which employers seek views before deciding on a course of action. It is distinct from a negotiating group / bargaining unit, which involves bargaining, compromise and joint agreements. Can be found in both union and non-union settings.

Joint negotiations: Occurs when unions join together to negotiate with management. For example, in an establishment with two recognised unions - GMB representing clerical staff and MSF representing draughtsmen - they join together to negotiate the pay of all workers as one group rather than two separate groups. In some cases unions may jointly negotiate over some matters and separately over others. Where this is so, the criterion for deciding is whether there are joint or separate negotiations over pay.

Just-in-time: A system of production whereby goods are produced 'just-in-time' before stocks run out. Aims to keep inventories to a minimum.

Labour costs: Total financial costs incurred by employers as a consequence of the employment of their employees. Include both pay and benefits such as employers' contributions to pension schemes, sick pay and so on. However the costs of using contract staff, home workers or outworkers would **not** be included. Also see **Unit labour costs**.

Labour turnover: Labour turnover occurs when workers leave an establishment and need to be replaced by new recruits. The main reasons that workers leave are resignation, dismissal and retirement. The 'rate of labour turnover' is usually calculated as the percentage of employees that have left the establishment in the past 12 months.

Labour productivity: The efficiency with which employees produce goods or deliver services. Formally expressed as the value of goods produced, or services delivered, per employee (or per hour).

Lock out: A lock out is an action by management that bars the workforce from the premises.

Long term employment: No expectation that employment for part time and full time employees will be terminated / coming to an end in the foreseeable future (excluding those on fixed term contracts).

Management buyout: A management buy-out occurs when managers or senior executives of a company seek to take over control of the company to which they are employed usually with the help of institutional backing. Often happens when a company is in difficulty or when it faces the possibility of a take-over bid by another company. Done in the belief that with their inside knowledge management can re-organise the company so as to make it profitable.

Maternity leave: An entitlement to give mothers time off from work at or around the time of birth of a child. There is a statutory provision giving mothers up to 26 weeks' paid maternity leave. During that time, mothers receive Statutory Maternity Pay (which may be up to 90% of normal weekly earnings). To improve upon the statutory provisions, employers may offer mothers further time off, or may offer them full pay during their period of leave.

Market: For the purpose of this study the market is the place where the product or service of the workplace is sold / delivered to its customers. Markets can be 'local' (within 1 hours travel of delivery), 'regional' (e.g. North East, Midlands, East Anglia or South East), 'national' (i.e. across multiple regions within Britain) or international.

Market share: The proportion of the total sales of a product or service (usually in terms of value rather than quantity) controlled by any one particular firm or company.

Mediation: Opposing parties in a dispute are brought together and a mediator attempts to find a workable agreement. Used in the workplace either to prevent individual grievances reaching an Employment Tribunal, or to prevent collective disputes from leading to industrial action.

Merger: A merger is a combining of two or more business organisations into one unit. Usually done with the objective of increasing efficiency. Differs from a take-over in that mergers are usually amicable and arranged for the mutual benefit of the companies concerned. Mergers often receive publicity when they are referred to the Monopolies and Mergers Commission for approval.

Merit pay: Pay that is related to a subjective assessment of individual performance by a supervisor or manager. This is distinct from **performance-related pay**, which is directly determined by the amount of work done.

Monitoring: Process by which a workplace takes regular measurements of key indicators, such as **labour productivity** or employee absence.

Mutual: A form of organisational status. A mutual organisation has no shareholders; instead it is owned by its members (which commonly include its customers). Most commonly found in the financial services industry, e.g. insurance.

Nationalised industry: An industry wholly owned by the government, e.g. the Civil Aviation Authority. Few other examples remain, since many formerly-nationalised industries have been privatised (e.g. coal mining, railways).

National Minimum Wage: Introduced in 1999 to set a minimum hourly wage for most employees. Employees aged 17 or under are exempt. Those aged 18-21 or receiving accredited training are entitled to a lesser amount than those aged 22 and over.

Negotiations: See 'Consultations / Consult'.

Non-union employee representatives: Employee representatives who do not represent any particular trade union or its members. They may be union members themselves, but their role as a representative is unrelated.

Overtime: Hours of work done in excess of any standard or basic working week as laid down in a contract of employment and/or collective agreement.

Parental leave: An arrangement that allows parents to take time off work to look after a child or make arrangements for the child's welfare. By law, employees get at least 13 weeks in total for each child; parents of disabled children get at least 18 weeks in total. Employees can take parental leave either in short or long blocks, depending on what has been agreed where they work. Parents can use it to spend more time with children and strike a better balance between their work and family commitments. Distinct from **paternity leave**, which is given to fathers around the time of the birth of their child.

Partnership: A form of legal status for an organisation, in which the partners (also called 'members') have legal ownership of the business. A limited liability partnership offers 'members' of the partnership reduced personal liability if the business gets into financial difficulties, with the liability limited to the amount they have invested in the business and to any personal guarantees they may have given to banks.

Part-time / full-time working hours: See **full-time / part-time working hours**.

Paternity leave: An entitlement to give fathers time off from work at or around the time of birth of his child. There is now a statutory provision giving fathers up to two weeks' paternity leave around the time of birth. During that time, fathers receive Statutory Paternity Pay (£100 per week). To improve upon the statutory provisions, employers may offer fathers further time off, or may offer them full pay during their period of leave. Distinct from **parental leave**.

Pay review body: Independent Pay Review Bodies have been established to make recommendations on the annual pay increases for a number of groups of public sector employees, namely teachers, doctors, nurses and prison officers. Each Pay Review Body consists of employer representatives, employee representatives (trade unions) and independent members (often academics) and takes evidence from all parties. After considering the available evidence, the Pay Review Body makes a recommendation to the Prime Minister and to the relevant Secretary of State regarding the pay increase that it feels is appropriate. The Prime Minister and Secretary of State then have responsibility for making a final decision on the pay increase for that group of workers. This process is distinct from **collective bargaining**, since the Pay Review Body system gives the government unilateral power over the final pay increase.

Payment by results: 'Payment by results' (PBR) includes any method of payment where the pay varies according to the amount done or its value, rather than just the number of hours worked. It would include a productivity or performance bonus (or commission) either at establishment or organisational level. PBR would also cover 'piecework' where the employee is paid an amount for each item of work done or assembled, as well as piecework/incentive bonus schemes where the amount of work done is calculated from the results of previously-conducted work study or time study.

Performance related pay: Performance related pay links part or all of pay to job performance, often in terms of the achievement of agreed objectives and targets. Performance related pay systems may include an element of merit rating, and personal qualities and inputs are assessed in conjunction with outputs. Payouts

may be given as bonuses or incremental pay awards, and may replace part or all general pay increases. Performance related pay schemes differ greatly and may also be referred to as merit pay or performance assessment pay schemes.

Personnel qualifications: Any type of formal qualification that either focuses on, or has a component part relating to personnel management, human resource management or industrial relations. They are often run or accredited by the CIPD (**Chartered Institute of Personnel Development**).

Performance / competency or aptitude tests: Performance or competency tests measure a person's current ability to do the tasks they will be required to perform if their job application is successful. Alternatively, aptitude tests are used to predict what a person could do with training. For example, accountancy firms may test graduates for mathematical acumen.

Personality / attitude tests: Employers use personality tests to see if potential employees will fit in with the organisation culture (e.g. honesty, ability to handle stress, leadership).

Picketing: Picketing occurs where workers congregate outside their place of work during a strike. The legal right to picket is defined in law and subject to the satisfaction of certain conditions, the workers who are picketing are immune from prosecution.

People management skills: Examples of people management skills include: leadership, team building, motivation and co-operation skills; communications skills; counselling; handling discipline and grievance matters; interviewing techniques; effective job organisation; problem analysis and decision making.

Physical working conditions: The immediate environment within which employees work and the facilities made available to them. For example, the physical working conditions of a machine operator may include the machine itself, the noise and fumes it generates; the amount of natural light entering the place of work; the temperature; safety factors; and the canteen and toiletry facilities available.

Private limited company: A privately-owned company in which the owners have limited personal liability if the business gets into financial difficulties.

Private sector: That part of the economy that is under the ownership of private individuals. Includes **public limited companies**, **private limited companies** and **partnerships**. Distinct from the **public sector**, which is under the ownership of the state.

Privatisation / denationalisation: The policy of selling all or part of state-owned companies to the private sector. This includes a) the sale of entire nationalised industries such as BT, British Gas and the electricity supply industry and b) the requirement that agencies such as local government and the National Health Service put out to private contractors work previously done by their own employees.

Productivity: See **labour productivity**.

Profit centre: Profit centre refers to the level(s) in a company at which a profit is calculated based on the sale of goods or services. Profits can be realised either through transactions on the external market or within the same company on the basis of internal transfer pricing. It is thought that profit centres at lower levels of organisations (establishment / division) are designed to encourage local managerial discretion and flexibility.

Profit related pay: A profit related pay scheme is one where part of pay is linked to company profitability. Often a performance measure is selected which reflects employees' contribution to earning the profits. Most profit related pay is paid as a bonus rather than as part of basic pay or as a replacement for annual pay increases, and payments are usually made in cash or shares on an annual basis.

Public limited company (PLC): The Companies Act 1985 defines a public company as a company limited either by its shares or guarantee, which has a share capital and which states in its memorandum that it is a public company.

Public sector: Those areas of industry and commerce owned and controlled by the state. As well as central government (civil service) this covers the local authorities, other government agencies (e.g. Employment Service, Prisons Agency) and the public services (e.g. NHS, schools, Royal Mail).

Public service agency: A body that exercises public functions of a governmental nature, but which is not a government department. Examples include, the Rural Development Agency, the Law Commission or the Royal Fine Arts Commission. Also see **QUANGOs**.

Quality circles: Quality circles are small groups of employees, usually led by a supervisor, who meet regularly to solve problems and find ways of improving aspects of their work. The circle presents recommendations to management and is normally involved in subsequent implementation and monitoring. They are often called by other names (e.g. continuous improvement groups, problem-solving groups).

QUANGO (Quasi-Autonomous Non-Governmental Organisation): QUANGOs are bodies which have a role in respect of government or government policy, but are distanced from government machinery in that they are independent of a government department. For example, the Equal Opportunities Commission, which is an 'executive quango', which employs staff and handles its own budget. Alternatively, 'advisory quangos' (**Public Service Agencies**) are bodies whose expenses are met by the relevant government department, examples of which are the Law Commission or the Royal Fine Arts Commission.

Recognised union for negotiating pay and conditions: Where a number of employees have joined a trade union, a request for recognition may be made to the employer. Recognition normally confers upon the union the right to negotiate (or bargain) on behalf of its members. Negotiation normally takes place under a set of rules, jointly agreed by employers and the unions, which are set out in a collective bargaining agreement.

Reduced working hours: An arrangement whereby an employee decreases their working hours (e.g. from full-time to part-time), either for a short period or permanently. Perhaps most common among women returning from maternity leave.

Redundant / Redundancy: A person is deemed redundant if they are dismissed due wholly or mainly to the fact that: [i] a business is closing down, either completely, or at a particular site; or [ii] there is a diminishing need for employees to carry out work of a particular kind. In this sense it is an economic dismissal where the job is disappearing, rather than an individual dismissal for poor performance / conduct.

Shift work: A pattern of working whereby different groups of employees work over different periods of the day or week. May be used in manufacturing to permit a production line to keep working all day and night, or equivalently in a supermarket.

Sick pay in excess of statutory requirements: Employers are responsible for paying their employees Statutory Sick Pay (SSP), on qualifying days, for up to 28 weeks of sickness. Some employers, however, decide to pay an amount in excess of this minimum limit and / or at a higher rate.

Sit-in/Work-in: This is an occupation of the premises by the workforce that bars the management from access.

Small Business Service: An agency of the **Department of Trade and Industry** that focuses on small businesses. They run a number of initiatives designed to help small businesses in the areas of finance, new technology and efficiency, many of which are delivered through the **Business Link** service.

Special recruitment procedures: In this case ‘special procedures’ refers to policies or practices designed to encourage and / or give preference to applicants from groups of people who are disadvantaged within the labour market. Such groups would include ‘women returning to work after having children’, ‘members of ethnic minorities’, ‘older workers’, ‘disabled people’ and ‘people who have been unemployed for 12 months or more’.

Staff Associations: Sometimes used instead of the word “union” in the names of white collar unions but more usually refers to organisations that confine their recruitment to the employees of one particular organisation e.g. banks. Many staff associations are not independent.

Subsidiary: A company which is controlled by another company if: [i] that other company is a member of it and controls the composition of its board of directors; [ii] the other company holds half (in nominal value) of its equity share capital; or [iii] it is a subsidiary of any company which is a subsidiary of the first company. The parent company is known as the ‘holding company’.

Supervisor / foreman / line-manager: These terms are often used synonymously to denote first-line management: i.e. those directly concerned with the detailed supervision of work. Although varying from company to company, responsibilities can include aspects of work organisation, handling minor disciplinary and grievance issues and acting as a ‘communications channel’ between the workforce and higher management.

Takeover: A take-over occurs when a person(s) or shareholder(s) makes an offer to gain control of another company and the offer is accepted. There is a code of practice covering take-overs, which although it has no legal force, cannot be flouted with impunity.

Team working: Team working is a term that has come to be used in a variety of ways and contexts. For the most part, we want to leave it to the respondent to decide for themselves whether they operate a system of team working. As background, a team is usually thought of as a group of employees coming together from a variety of functions or departments in order to work together to produce a particular product or service.

Temporary agency staff: Staff that are hired on a temporary basis through an employment agency. They are not directly employed by the establishment at which they work, but by the employment agency itself. The establishment pays the agency a fee for their services, out of which the agency pays the employee his/her wages. Temporary agency staff will therefore not have a contract of employment with the establishment, nor appear on its payroll.

Temporary / fixed-term contract: A worker employed for a short duration that may or may not be for a fixed term. Such workers may be used to cover seasonal or cyclical demand or to meet increased demand that is not expected to be permanent.

Trade Union / Staff association: The classic definition is ‘a continuous association of wage earners for the purpose of maintaining and improving the conditions of their working lives’. Unions / Staff Associations may apply to the Certifications Officer to be listed as a certified independent (see **Independence**) Trade Union. Most large unions are affiliated to the **Trades Union Congress**.

Trades Union Congress: An umbrella body representing the majority of trade unions in Britain. Campaigns for better employment conditions on behalf of its member trade unions. The TUC currently has 71 affiliated trade unions, representing nearly seven million working people from all walks of life. Distinct from the **General Federation of Trade Unions**, which is much smaller.

Trading public corporation: An organisation that is wholly owned by the state, but which trades with other organisations or the general public as would a privately owned company. The Post Office and the BBC are perhaps the most prominent examples.

Trust: A legal arrangement, established by private individuals, through which money, property or other assets are given away by their owner, with the intention that others may benefit from them. May be used to describe the organisation that controls the assets and their distribution. Examples include the National Trust and the Terrence Higgins Trust. Distinct from NHS Trusts, which are part of the **public sector**.

TUC: See **Trades Union Congress**.

Ultimate controlling company: Similar to a holding company (e.g. Hansen Trust) in so far that it owns one or more subsidiaries (see Subsidiary), but differs in so far that they are not specifically set up as fund managers to buy shares in a number of different companies with diverse interests. Ultimate Controlling Companies (e.g. Lucas and GEC) tend to own a number of different companies within a single industry, with much more input on a strategic level.

Union learning rep: A trade union representative that has specific responsibility for promoting training and learning within their workplace.

Union representatives / shop stewards / TU representatives: These are workers who act as trade union representatives while continuing in paid employment. Most lay officials are either shop stewards or branch officers. They are distinct from full-time union officials, who are employed by the trade union itself.

Unit labour costs: The labour costs that are incurred when producing one unit of output (e.g. one car), or delivering one unit of a service (e.g. one car wash).

Value added: The value that is added to materials when they are combined to form a product. That is, the difference between the value of goods and services produced and the cost of raw materials and other inputs which are used up in production.

Values of the organisation: The extent to which employees reflect the ‘importance of the values, culture and leadership’ of the organisations / establishment / workplace to which they belong. Examples would be employee commitment to human resource management practices such as team-working, quality circles and joint consultative committees; employees agreement with management that trade unions are a ‘bad thing’; or the degree to which employees share the beliefs and views of management.

Work to rule: A work-to-rule means that employees work strictly according to the working rules laid down by management, rather than taking customary short cuts which may help speed up the job. Note that media coverage of disputes often describes as a ‘work-to-rule’, industrial action that is really a ‘blacking’.

Worker representative: An employee of the establishment / organisation who has been identified to speak on behalf of employees. This generic term may be used to refer to both union representatives and non-union employee representatives.

Zero hours contract: An employment contract under which the employer does not guarantee to provide the employee with work. The employee has no fixed hours and can be called into work for as few or as many hours as the employer requires.