

The Workplace Employment Relations Survey (WERS) 2004

Technical Report

(Cross-section and Panel Surveys)

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1 INTRODUCTION

This report provides an account of the conduct of the Workplace Employment Relations Survey (WERS) 2004. This is the fifth in a series of surveys carried out at British workplaces for central government and other funders¹. The previous four surveys were conducted in 1980, 1984, 1990 and 1997-8, and the National Centre for Social Research (NatCen)² has been responsible for sampling and statistical consultancy, the conduct of the fieldwork, coding, and preparation of the final data for all five surveys.

For the first three surveys in the series, the survey was conducted among a cross-section of establishments in Great Britain with 25 or more employees, and the achieved sample size for each of these surveys was just under 2000 establishments. The scope of the fourth survey was widened to include establishments with ten or more employees, and the achieved sample size increased to just under 2,200. For WERS 2004 the scope was widened further to include workplaces with 5 - 9 employees, and the achieved sample size increased again to just under 2,300.

As in 1997, the sampling frame used for WERS 2004 was the Inter-Departmental Business Register (IDBR) which is maintained by the Office for National Statistics (ONS). Differential sampling fractions have been used according to the size (i.e. number of employees) and SIC 2003 group of the establishment on the IDBR, with the data being weighted before analysis in order to make the sample properly representative of the designated population.

One or more respondents were interviewed at the selected workplace, each being interviewed as a role holder with specific responsibilities. The management respondent was defined as 'the senior manager dealing with personnel, staff or employment relations' at the establishment. In the great majority of cases this person was identified and interviewed at the sampled establishment, but in cases where there was no appropriate respondent at the establishment, the interview took place elsewhere in the parent organisation, though still focussing on the sampled establishment. Interviews with management respondents were conducted using Computer Assisted Personal Interviewing (CAPI).

Once again, interviews were sought with employee representatives at each establishment at which a management interview took place. However, the selection criteria for employee representative interviews were widened in WERS 2004, with interviews being sought with both a union representative and a non-union representative at each establishment, if present. In WERS 98, interviews were only sought with a non-union representative if an establishment did not recognise unions for the purpose of negotiating pay and conditions for any section of the workforce. In WERS 2004, eligible union representatives were defined as the senior lay representative of the largest recognised union at the establishment or, if no unions were recognised, the largest non-recognised union representative. Eligible non-union representatives were either the senior non-union representative on the most wide-ranging joint consultative committee, or, if there was no committee, the senior stand-alone non-union representative. An establishment's eligibility for the employee representative interviews was defined during the course of the management interview,

¹ The funders for WERS 2004 and WERS 98 were The Department of Trade & Industry, The Economic and Social Research Council, the Policy Studies Institute and the Advisory, Conciliation and Arbitration Service. Prior to the transfer of employment relations to the DTI in 1995, the central government department funding the series was the Employment Department. Acas were not funders in 1980.

² Formerly Social and Community Planning Research (SCPR).

and was derived from the answers to a number of questions. Employee representative interviews were also conducted using CAPI.

In 1997 employees were included in the remit of the survey for the first time, and a Survey of Employees was also conducted in WERS 2004. The method used for the Survey of Employees was identical to WERS 98: a random selection of 25 employees was made at each establishment (provided that management agreed to this further survey) and self-completion questionnaires, along with freepost reply envelopes, were left for the selected employees. At establishments with fewer than 25 employees, all employees were included in the scope of the survey.

A new element was introduced in WERS 2004: the Financial Performance Questionnaire. The Financial Performance Questionnaire (FPQ) comprised a short paper questionnaire that was left after the completion of the management Cross-section interview for someone responsible for financial matters at the workplace to complete. This part of WERS 2004 could only proceed with agreement from the MQ respondent, and his or her willingness and ability to locate a suitable FPQ respondent if not themselves.

In 1984, 1990 and 1997-8 **re-interviews** were carried out with establishments which had taken part in the previous surveys (i.e. 1980, 1984, and 1990 respectively). This '**Panel**' element of the series was repeated in 2004. The issued sample size was 1,479 (randomly selected from the 2,191 productive interviews in 1997-8), and over 950 interviews were achieved.

Only the management respondent, defined in the same terms as above, was interviewed in the Panel Survey; there were no interviews with employee representatives; and there was no employee survey.

A joint steering committee was established by the WERS funding organisations to initiate and supervise the project. A research team from the funding organisations³ was responsible to this committee for the conduct of the survey. From the commissioning of the survey through to the final handover of data, there was a parallel team consisting of researchers from NatCen.

The survey data will be lodged with the UK Data Archive in November 2005. The documentation deposited at the Archive comprises a set of six volumes (of which this is Volume 1) as detailed below;

VOLUME 1	WERS 2004 Technical Report
VOLUME 2	WERS 2004 Cross-section Questionnaire
VOLUME 3	WERS 2004 Panel Questionnaire
VOLUME 4	WERS 2004 Editors' codebook Main Survey Version 4c
VOLUME 5	WERS 2004 Editors' codebook Panel Survey Version 3
VOLUME 6	WERS 2004 Interviewer Handbook.

³ There were seven members. Three were from the DTI (Barbara Kersley, Carmen Alpin and John Forth, the latter seconded to the DTI from the National Institute for Social and Economic Research), two from the Policy Studies Institute (Alex Bryson, Helen Bewley), and two from Acas (Gill Dix, Sarah Oxenbridge).

2 SAMPLE DESIGN AND SELECTION

2.1 Design and selection of the sample for the Cross-section Survey

The WERS 2004 Cross-section Survey is based on a stratified random sample of establishments and a sample of employees at those establishments. The selection of these samples is described below.

2.2 Selection of the Cross-section sample of establishments

The sampling frame used for WERS 2004 is, as in WERS 98, the Inter-Departmental Business Register (IDBR) which is maintained by the Office for National Statistics (ONS). The IDBR is undoubtedly the highest quality sample frame of organisations and establishments in Britain.⁴ The frame is continuously up-dated from VAT and PAYE records and establishments that no longer exist are removed reasonably quickly.

The IDBR has an estimate of workforce size per establishment that is in some instances 'unproven'. The means of 'proving' the size is through the Annual Register Inquiry, which is an annual census of establishments belonging to enterprises with 50 or more employees, covers establishments belonging to enterprises with 10-49 employees every four years, and covers those belonging to smaller establishments on an ad hoc basis.⁵ This sampling of smaller establishments means that small establishments can remain 'unproven' for several years. To ensure that the sample is representative of all establishments within the scope of the survey, both proven and unproven units were included in the sample⁶.

The sampling unit used for WERS is the IDBR 'local unit' which in most instances corresponds with the definition of an establishment used in the survey⁷. The coverage of the sample in WERS 2004 was broader than that in WERS 98 with establishments with 5-9 employees being included for the first time.

As in WERS 98, the sample was restricted to establishments with a Standard Industrial Classification 2003 (SIC(2003)) within Sections D to O inclusive. The survey does not cover establishments in Sections A to C (Agriculture, hunting and forestry; Fishing; and Mining and Quarrying), P (Private households with employed persons) and Q (Extra territorial bodies). Local units located in Northern Ireland were also excluded.

To avoid overlaps with the Panel sample, establishments that formed part of the issued sample for the WERS 98 Cross-section Survey were (where possible) identified on the IDBR and excluded. A total of 1,941 of the 3,192 establishments that formed part of the issued sample in WERS 98 were identified, by matching their IDBR local unit reference

⁴ Further information on the quality of the IDBR is provided in the Annual Quality Reports published by the Office for National Statistics.

⁵ The Annual Register Inquiry also 'proves' other characteristics of the local unit, such as its industrial activity classification, but these other characteristics tend to be less prone to error than employment which, for unproven units, is often imputed from the establishment's contribution to the overall turnover of the enterprise. Even after 'proving', employment size is likely to be prone to some error, as it is liable to change in the short-term.

⁶ The main sample of 3998 includes 291 unproven units.

⁷ The exceptions being local units that cover more than one establishment (termed, in this context, aggregate units) and local units that cover only part of an establishment (termed, in this context partial units).

numbers to the current IDBR population, and were excluded. During fieldwork, a small number of additional WERS 98 establishments were identified in the WERS 2004 Cross-section sample (see Section Five). The likely reason for their non-exclusion at the time of sampling was that their IDBR local unit reference number had changed, e.g. as a result of a change of ownership.

All remaining local units on the sampling frame were divided into strata based on SIC and IDBR recorded employee numbers. The distribution of local units by these strata is shown in Table 2-1. The figures in italics are the IDBR counts before exclusion of the units from WERS 98.

Within each cell of Table 2-1 a simple random sample of local units was selected. Table 2-2 shows the sample size with each cell. The numbers in italics are the sampling fractions. The selected sample thus comprised of 3,998 local units. In addition, a reserve sample of 695 local units was also selected so that further units could be issued in any cell of the sampling matrix if the yield of productive interviews was lower than anticipated. The distribution of the reserve sample matched that of the main sample.

In practice, because of higher losses through 'ineligibles' in the smaller establishments than was anticipated, a reserve sample of 99 establishments with 5-9 employees, 103 with 10-24 employees, and 93 with 25-49 employees was also issued. For the latter two of these reserve samples, only those establishments found (by telephone screen) to be a single independent establishment were issued (reducing the samples to 59 and 37 respectively). This means that the sample sizes and sampling fractions are slightly higher for establishments with 5-9 employees and non-multiple establishments with 10-49 employees than is shown in Table 2-2. The numbers issued in the reserve sample before the telephone screening are shown in Table 2-3.

Table 2-1: IDBR counts before and after exclusion of the WERS 98 sample

Number of local units on IDBR: After exclusion of WERS 98 sample; <i>Before exclusion of WERS 98 sample</i>	Number of employees at the local unit on IDBR									
	SIC(2003) on IDBR	5-9	10-24	25-49	50-99	100-199	200-499	500-999	1000-1999	2000+
D	26,275	23,095	10,876	6,351	3,560	2,154	482	125	39	72,957
	26,279	23,115	10,909	6,406	3,623	2,222	519	135	45	73,253
E	316	366	238	198	114	109	23	5	0	1,369
	316	368	244	203	125	127	26	7	0	1,416
F	17,957	12,111	4,345	1,855	897	357	66	22	4	37,614
	17,962	12,124	4,359	1,877	923	372	71	25	4	37,717
G	87,297	53,823	15,477	6,863	2,745	1,824	340	34	8	168,411
	87,314	53,876	15,530	6,915	2,789	1,901	359	36	8	168,728
H	30,603	24,143	8,041	3,217	857	299	38	16	4	67,218
	30,608	24,167	8,066	3,239	878	307	39	16	4	67,324
I	14,259	9,965	4,363	2,661	1,533	874	232	77	21	33,985
	14,266	9,977	4,380	2,676	1,547	898	243	79	22	34,088
J	11,166	8,520	2,777	1,298	667	515	209	76	34	25,262
	11,167	8,525	2,785	1,306	675	523	220	81	34	25,316
K	57,434	33,529	11,308	6,147	3,228	1,738	366	127	36	113,913
	57,451	33,555	11,355	6,182	3,271	1,785	381	135	39	114,154
L	4,246	6,241	3,340	2,238	1,332	1,044	242	82	34	18,799
	4,249	6,249	3,348	2,258	1,359	1,081	259	83	37	18,923
M	6,778	13,232	12,453	5,254	2,506	697	180	55	41	41,196
	6,780	13,246	12,517	5,291	2,551	731	197	59	48	41,420
N	22,315	25,950	11,450	4,878	1,579	725	166	128	179	67,370
	22,317	25,976	11,502	4,907	1,598	751	180	137	204	67,572
O	25,962	14,306	4,886	2,421	952	347	56	25	6	48,961
	25,969	14,326	4,912	2,444	977	359	63	28	7	49,085
Total	304,608	225,281	89,554	43,381	19,970	10,683	2,400	772	406	697,055
	304,678	225,504	89,907	43,704	20,316	11,057	2,557	821	452	698,996

Table 2-2: Sample sizes and sampling fractions for the WERS 2004 sampling strata

Number selected; <i>sampling fraction</i>	Number of employees at the local unit on IDBR									
	5-9	10-24	25-49	50-99	100-199	200-499	500-999	1000-1999	2000+	Total
D	48 <i>0.00183</i>	58 <i>0.00251</i>	60 <i>0.00552</i>	75 <i>0.0118</i>	81 <i>0.0228</i>	110 <i>0.0511</i>	57 <i>0.118</i>	33 <i>0.264</i>	27 <i>0.692</i>	549
E	4 <i>0.01266</i>	6 <i>0.01639</i>	9 <i>0.03782</i>	14 <i>0.0707</i>	22 <i>0.1930</i>	40 <i>0.3670</i>	20 <i>0.870</i>	5 <i>1</i>	0 <i>0</i>	120
F	49 <i>0.00273</i>	43 <i>0.00355</i>	34 <i>0.00783</i>	30 <i>0.0162</i>	28 <i>0.0312</i>	25 <i>0.0700</i>	10 <i>0.152</i>	8 <i>0.364</i>	3 <i>0.75</i>	230
G	158 <i>0.00181</i>	131 <i>0.00243</i>	85 <i>0.00549</i>	74 <i>0.0108</i>	60 <i>0.0219</i>	91 <i>0.0499</i>	33 <i>0.097</i>	13 <i>0.382</i>	7 <i>0.875</i>	652
H	58 <i>0.00190</i>	59 <i>0.00244</i>	43 <i>0.00535</i>	36 <i>0.0112</i>	19 <i>0.0222</i>	15 <i>0.0502</i>	5 <i>0.132</i>	3 <i>0.188</i>	2 <i>0.5</i>	240
I	26 <i>0.00182</i>	25 <i>0.00251</i>	24 <i>0.00550</i>	29 <i>0.0109</i>	33 <i>0.0215</i>	42 <i>0.0481</i>	25 <i>0.108</i>	21 <i>0.273</i>	12 <i>0.571</i>	237
J	26 <i>0.00233</i>	28 <i>0.00329</i>	21 <i>0.00756</i>	19 <i>0.0146</i>	19 <i>0.0285</i>	34 <i>0.0660</i>	25 <i>0.120</i>	22 <i>0.289</i>	19 <i>0.559</i>	213
K	104 <i>0.00181</i>	82 <i>0.00245</i>	62 <i>0.00548</i>	69 <i>0.0112</i>	69 <i>0.0214</i>	85 <i>0.0489</i>	44 <i>0.120</i>	32 <i>0.252</i>	20 <i>0.556</i>	567
L	8 <i>0.00188</i>	15 <i>0.00240</i>	19 <i>0.00569</i>	26 <i>0.0116</i>	30 <i>0.0225</i>	51 <i>0.0489</i>	24 <i>0.099</i>	17 <i>0.207</i>	17 <i>0.5</i>	207
M	14 <i>0.00207</i>	32 <i>0.00242</i>	68 <i>0.00546</i>	57 <i>0.0108</i>	53 <i>0.0211</i>	32 <i>0.0459</i>	18 <i>0.1</i>	14 <i>0.255</i>	25 <i>0.610</i>	313
N	42 <i>0.00188</i>	61 <i>0.00235</i>	62 <i>0.00541</i>	53 <i>0.0109</i>	34 <i>0.0215</i>	34 <i>0.0469</i>	19 <i>0.114</i>	33 <i>0.258</i>	101 <i>0.564</i>	439
O	58 <i>0.00223</i>	43 <i>0.00301</i>	32 <i>0.00655</i>	32 <i>0.0132</i>	24 <i>0.0252</i>	21 <i>0.0605</i>	8 <i>0.143</i>	7 <i>0.280</i>	6 <i>1</i>	231
Total	595	583	519	514	472	580	288	208	239	3998

Table 2-3: The size of the reserve sample issued in size bands 5-9, 10-24, and 25-49

SIC(2003) on IDBR	Number of employees on the IDBR		
	5-9	10-24	25-49
D	8	10	11
E	1	1	2
F	8	8	6
G	27	23	15
H	10	10	8
I	4	4	4
J	4	5	4
K	17	14	11
L	1	3	3
M	2	6	12
N	7	11	11
O	10	8	6
Total	99	103	93

The main features of the sample design to note are:

- The sampling fractions increase with employment size. This is primarily so that separate analysis by employment size group is possible – the aim being to obtain at least 250 productive interviews in each of the size bands below 500 employees and at least 150 interviews in each of those above. But the exact sampling fractions were chosen so that the standard errors for ‘all establishment’ estimates would be reasonably small, given this primary objective. Similarly, by using larger sampling fractions for larger establishments, employee-based estimates should be more precise than they would be under an equal probability design (since larger establishments employ a disproportionate percentage of all employees).
- The sampling fractions are slightly higher than average for the SIC groups E, F, J and O. This was done with the aim of obtaining at least 85 productive interviews in Section E and at least 120 productive interviews in all other Sections.

The WERS 2004 design differs from the WERS 98 in three key ways:

1. Establishments with 5-9 employees were included for the first time.
2. Relative to WERS 98 the sample size for the 10-24 size group was increased in WERS 2004. This was done because the very small sampling fraction used for this group in WERS 98 meant that standard errors for ‘all establishment’ estimates were inevitably large. By increasing the sampling fraction standard errors based on ‘10+ employee’ estimates would be significantly more precise in WERS 2004.
3. In WERS 98 the same sampling fractions (per SIC group) were used for all establishments with 500 or more employees. In WERS 2004 higher sampling fractions have been used for the 1000-1999 and 2000+ strata respectively. This should improve the precision of employee based estimates.

Table 2-4 below compares the average sampling fractions per employee size band in WERS 98 and WERS 2004.

Table 2-4: Sampling fractions in WERS 98 and WERS 2004

No. of employees in unit	Average sampling interval (1 in...)		
	WERS 98	WERS 2004 – <i>before</i> inclusion of reserve sample	WERS 2004 – <i>after</i> inclusion of reserve sample
5-9	-	512	439
10-24	545	386	328
25-49	126	173	146
50-99	64	84	84
100-199	33	42	42
200-499	16	18	18
500-999	7	8	8
1000-1999	7	4	4
2000+	7	2	2

Note that the sampling intervals for WERS 2004 after the inclusion of the reserve sample have been calculated based on the inclusion of the total issued reserve sample of 295 establishments with 5-49 employees.

2.3 Selection of employees for the Survey of Employees

At each establishment taking part in the survey a random sample of 25 employees (or all employees at establishments found to have between 5-24 employees) was selected to take part in the Survey of Employees. The sample was drawn by interviewers using random number sheets designed specifically for the survey. The process is fully described in the Interviewers' Handbook (WERS 2004 Documentation Volume 6). A copy of the document used in the sampling is included in Section Nine.

The sample design for the employee sample is the same as that adopted in WERS 98. The rationale for the design was set out in the technical report for that survey, but the main points are repeated here:

- a fixed number per establishment (rather than a fixed sampling *fraction*) is simpler for interviewers to administer because they know in advance how many questionnaires to take along;
- establishments could be informed in advance of taking part how many employee questionnaires would be administered;
- there are some analytic advantages in having a fixed sample size per establishment (in the sense that individual establishment level estimates can be derived with broadly equal precision). This is somewhat undermined by differential non-response per establishment, but the basic principle holds.

However, the main disadvantage is that taking a fixed sample number yields probabilities of selection that are negatively correlated with establishment size. All other things being equal, this would require employee questionnaire sampling weights that varied quite considerably by establishment. The variance in the weights is reduced because the establishment-level probabilities of selection are positively correlated with establishment size. But the fact that the IDBR employee size is, in some cases, found

to be very inaccurate, means that there is inevitably more variability in the final employee questionnaire weights than would be the case with a perfect sampling frame⁸. Further detail on weighting is provided in Section Seven.

2.4 Design and selection of the Panel sample

The Panel sample was selected from the WERS 98 achieved sample of 2,191 productive Cross-section interviews using a straightforward stratified random sample. The strata were defined by establishment size at the time of the 1998 interview, and the same sampling fraction (of 0.675) was used per strata. This gave an issued Panel sample of 1479, with the aim being to obtain at least 900 productive interviews. The interpretation of the sample is that it is representative of the population of establishments in 1998 that continued to be in existence up until 2004, and that had at least ten employees at the time of selection.

The 712 WERS 98 establishments *not* selected for the Panel were screened by telephone to check whether they were still in existence. Table 2-5 shows the numbers selected either for the Panel or for the Screen by the employee size in 1998 (as collected by the interviewer).

Table 2-5: WERS 2004 Panel sample

No. of employees in unit IN 1998	Panel sample	Screening sample
10-24	177	85
25-49	267	129
50-99	265	128
100-199	261	126
200-499	308	148
500+	201	96
Total	1479	712

The rules applied by interviewers in seeking to determine whether a Panel establishment had continued to be in existence since 1998 are outlined below and in Section 6B1 of the WERS 2004 Interviewer Handbook (WERS 2004 Documentation Volume 6).

⁸ If the IDBR employee counts were 100% accurate, the fact that the establishment sampling fractions increase broadly in proportion to size for the 10+ establishments means that the employee questionnaire weights would vary only by a factor of about two for establishments in the 10-2000 range: that is, the ratio between the smallest and largest weight would be about two.

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 ten or more employees
 - if all parts are at different addresses then follow the largest part provided there are more than ten 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 ten 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 ten or more employees.

3 DEVELOPMENT WORK

3.1 Introduction

3.1.1 *Scope of development work*

The piloting and development stages of WERS 2004 took place during a four month period, from August to November 2003. They comprised qualitative work for the Cross-section Survey of Managers and Survey of Employees, design work on the paper questionnaires and two pilot surveys. Liaison took place at every stage of the development process with senior members of staff at NatCen, to gain their input. The first pilot was primarily concerned with testing the questionnaires for their content, comprehension, flow and length. The purpose of the second pilot was to cover the final stages of development and design of a number of different data collection instruments and procedures. The instruments and procedures comprised:

- **three** face-to-face questionnaires for:
 - the management respondent (Cross-section Survey) - identified throughout fieldwork and data processing as the **MQ**;
 - the employee representative (Cross-section Survey) - the **WRQ**;
 - the management respondent (Panel Survey) - the **PQ**

These were to be conducted by interviewers using CAPI (Computer Assisted Personal Interviewing);

- **four** paper self-completion questionnaires:
 - the Employee Profile Questionnaire (Cross-section Survey) – **EPQ**;
 - the Basic Workforce Data Sheet (Panel Survey) - **BWDS**

The intention was that these would be filled in by management respondents (or their nominees) **before** the face-to-face interview, thus facilitating any necessary reference to staff records and also reducing the length of the interview;

- the Survey of Employees Questionnaire (Cross-section Survey) - **SEQ**

These were to be distributed to a sample of employees (maximum 25) at co-operating establishments, subject to management agreement. They were to be returned individually, generally by post, directly to the scanning agency;

- the Financial Performance Questionnaire (Cross-section Survey) – **FPQ**

The intention was that these would be filled in by management respondents or by someone responsible for financial matters at the establishment after the

face-to-face interview. They were to be returned generally by post, directly to NatCen's operations office.

- **contact** procedures for the **Cross-section** sample. It was anticipated that these would largely replicate the procedures used on previous surveys in the series. However this presupposition needed to be checked. A suitable procedure for placing the FPQ needed to be developed and tested.
- **contact** procedures for the **Panel** sample. It was important to provide interviewers with an accurate representation of the types of tasks required of them involved in tracing the Panel sample and ensuring that the establishment contacted in 2004 had been in continuous existence since the previous WERS interviews were last carried out (1997 – 98).

3.1.2 Programme of development work

Accordingly the programme of work that was devised comprised a number of discrete activities:

- **qualitative work** on the content and wording of new questions added to the MQ and SEQ since WERS 98. This work was carried out in August 2003, prior to the two pilots.
- **two pilot surveys**, the first including only cross-section addresses and the second pilot including both cross-section and panel addresses. The management and employee representative interviews for both the pilot surveys were conducted in CAPI. Pilot versions of the EPQ, BWDS, SEQ and FPQ were also tested.
- **design work** on the layout of the four paper questionnaires;

The following sections give an account of each of these development stages.

3.2 Qualitative work for the Survey of Employees and Cross-section Survey of Managers

Cognitive interviewing highlights where respondents misunderstand survey questions or key concepts, do not know or cannot recall the needed information from memory, use an inappropriate strategy for making a judgement, or prefer to hide certain information or provide an 'acceptable' answer.

The main aim of the cognitive pilot exercise was to test proposed new questions for the SEQ and MQ to ensure that they were working as the research team intended, that they were understood consistently by respondents, and that the information intended to be captured could be collected by the proposed questions.

Cognitive interviews were carried out between 12th and 29th August 2003. The interviews were conducted by four experienced NatCen cognitive interviewers (two conducting the SEQ and two conducting the MQ) and members of the research team. Interviewers testing the SEQ were asked to recruit up to 15 employees in their local area, and to include a mix of gender, full and part-time workers and employment status. Interviewers testing the MQ were asked to recruit up to five workplaces, and to include a mix in terms of size and type of establishment.

In total 27 self-completion SEQ interviews were conducted. The initial part of the interview was for the respondents to complete the questionnaire by themselves. This took around 20 minutes (ranging from 12 to 35 minutes). Feedback was provided on all of the questions in the draft questionnaire.

Results of the SEQ cognitive testing showed respondents' concern over confidentiality, despite there being reassurances about confidentiality on the front page of the questionnaire. Questions causing particular concern were those relating to how respondents felt about certain aspects of their job, and whether they suffered from any long standing illness.⁹ In the final version of the SEQ confidentiality was more strongly emphasised by using bold text and bullet points. Following on from the cognitive testing there were also a number of changes to the question wording used and the order in which the questions appeared on the SEQ. Certain questions were also deleted, for example, the number of questions relating to overtime or extra hours was reduced.

The MQ was cognitively tested on 11 managers. The interview consisted of a face-to-face interview using a paper questionnaire, followed by a cognitive interview to provide more of an insight into the thought process adopted by respondents when answering the questions. MQ question topics tested included defining the formal status of an establishment, questions on committees within a workplace, workforce characteristics and how pay was set within the workplace. Managers from a range of industries were interviewed, however the resulting sample contained mainly small to medium size workplaces. This is only to be expected in a cognitive test, given that only WERS Wave 1 type workplaces were included in the cognitive sample. The results of the cognitive testing for the Cross-section Survey of Managers led to changes in the wording of questions on consultation and business strategy and the deletion of a draft question on management-union partnerships.

Researchers from the National Centre for Social Research briefed and debriefed the interviewers. This consisted of a briefing in person for most of the interviewers on 11th August and for those interviewers working on the Cross-section Survey of Managers an additional telephone briefing on 15th August. The debriefing took place on 28th August 2003.

3.3 The pilot surveys

3.3.1 Cross-section : Survey of Managers (MQ)

A range of sources was used to provide addresses for the two pilot surveys. Mostly these were addresses of businesses and organisations that were 'unused' from samples drawn from recent NatCen Surveys. The sample was stratified by the number of employees at the workplace within each geographic region. In addition, where possible, workplaces which would be considered to be Wave 2 addresses for the main stage Cross-section Survey were screened out because these would require Wave 2 access procedures (see Section Four: 4.2.2).

Six interviewers participated in the first pilot in September and October; seven interviewers participated in the second pilot in November. The first pilot consisted of day-long personal briefing and debriefing sessions, and the second pilot of a two day briefing session and a day-long debrief.

⁹ Questions A8, A10, A13 and E8 on the SEQ

Forty-three interviews were achieved in total (18 in Pilot 1, 25 in Pilot 2). Contact was made at more workplaces but appointments could not be made within the short fieldwork period allocated for the pilots. A good range of industries was covered. With regard to the size of the workplace, very small and very large workplaces were more difficult to interview. Small workplaces were more difficult to interview within the piloting period due to the pressures of work, and large workplaces were difficult in terms of having to go through secretaries to get to the HR manager and selected respondents being on leave.

The first pilot highlighted some differences in the abilities of small workplaces to answer particular questions in the Cross-section Survey of Managers, compared to larger workplaces. It was found that small workplaces do not always have a formal Board of Directors and the wording of question BBOARD was amended to reflect this. The term 'briefings' was also not found to be generally applicable to small workplaces and amendments were made to the question wording of DBRIEF. Overall, however, the first pilot showed the Cross-section Survey of Managers questions to be well understood and easy to answer for the majority of respondents.

In the second pilot interviewers were questioned closely at the debriefing sessions about the contact procedures that they had used and asked for their recommendations for improvement. The formal system instigating four or five stages of contact (described in Section Four: 4.2.1 and the Interviewer Handbook, Section 6) combining telephone and postal contact used in WERS 98 still seemed to be appropriate. Most of the concerns raised about the contact procedures by individual interviewers related to presentational issues regarding the advance letters, particularly the position of address details on the letters. These issues were noted and corrected prior to main Cross-section fieldwork.

The target interview duration was an average of 110 minutes. In the first pilot nearly all cases ranged between 72 and 170 minutes with an average interview length of 102 minutes. The average interview length for the second pilot was 95 minutes, somewhat below the target interview length of 110 minutes and representing a fall of seven minutes from the first pilot. This was a result of almost all of the interviews taking place in private sector workplaces; from WERS 98 it was seen that public sector workplaces had on average an interview that was 8% longer than for private sector workplaces. In the same way, the distribution of the size of the workplaces in the second pilot (the majority having fewer than 100 employees) would result in a lower average interview length than would be expected in the main Cross-section Survey.

The questionnaire comprised 13 sections (A-M) of varying lengths. Detailed information on the duration of each section was provided to the research team. Interviewers were also asked to record separately (and independently from the computer timings) the length of the interview. This would include any discussion with the respondent about the EPQ prior to commencing the interview, along with any communication made after the trigger point in the interview for the computer timings (this is variable 'MRELATE'). The average interview length from the interviewers themselves was 106 minutes.

Following the pilot surveys, the research team made modifications to the layout and wording of the introductory letters, the wording and layout of the EPQ, and the wording, ordering and routing of the questions in the Cross-section Survey of Managers.

3.3.2 Cross-section: Survey of Employee Representatives (WRQ)

Development work regarding the Survey of Employee Representatives took place in the second pilot only. A total of eight employee representative interviews took place, with five of these being transmitted after the fieldwork period. Eleven of the 25 Cross-section Survey of Managers establishments had a union and of these, eight had a recognised trade union. In most of these (six) only a single union was recognised. Of the eight productive WRQ interviews, four were with union representatives, three were with joint committee representatives and one was with a standalone non-union representative.

The average interview length was 36 minutes and they ranged from 25 to 50 minutes, with a median of 37 minutes. It was not envisaged that the length of the WRQ interview would be problematic in main stage fieldwork.

A small number of changes were made to the working and routing of the Survey of Employee Representatives resulting from interviewer comments in the pilot.

3.3.3 Panel: Survey of Managers (PQ)

The sample for the pilot was drawn from the WERS 1990-98 Panel sample. This was necessary because an essential feature of the Panel questionnaire was to identify change over time, aided by the 'feeding forward' of data from the 1998 questionnaires.

In Pilot 2, in which 13 interviews were achieved, the average length of the PQ was 49 minutes and they ranged from 24 to 86 minutes. The average was significantly above that of the expected interview length (35 minutes). This average was influenced disproportionately by one case that had a very long BWDS section (42 minutes), but even after excluding this case, the average was still 45 minutes.

The inclusion of public sector and larger establishments in the main Panel Survey was likely to increase the average interview length by around ten per cent.

Some questions were removed from the Panel questionnaire as a result of the pilot, but the target number of interviews for the main fieldwork on the Panel was also reduced from 1,000 to 900 to accommodate a longer interview.

3.3.4 The Survey of Employees (SEQ)

For Pilots 1 and 2 the attempt to place the SEQs was successful at 34 establishments (Pilot 1 10/18, Pilot 2 24/25).

In total 629 questionnaires were placed (Pilot 1 119, Pilot 2 510). In only one of the 24 establishments in Pilot 2 where SEQs were placed, was the interviewer required to make a return visit to sample the employees. Sampling was done from a paper list in over half of the cases (15) and in a further four cases, an electronic list was used. Of the remaining cases, the employees' names were commonly provided verbally. In all but one of the workplaces where this occurred, there were fewer than 25 employees.

Interviewers routinely left the SEQ packs with someone at the workplace for their distribution, with the exception of two workplaces where the interviewer distributed the packs themselves.

In terms of the return of the SEQs, for Pilot 2, in 13 out of 24 workplaces, the interviewer had scheduled a return visit to collect the questionnaires. In the remaining workplaces, they were posted back, either collectively by the workplace contact (person responsible for distributing the questionnaires) or individually by each employee.

A total of 70 SEQs were returned following the first pilot representing a response rate of 59% of placed questionnaires. A total of 219 SEQs were returned from the second pilot, representing a response rate of 43% of placed questionnaires, and 54% of questionnaires placed in establishments from which any returns were received. All of the SEQ pilot data was keyed, and a datafile provided to the sponsors.

The establishment declining to co-operate in Pilot 2 had an ongoing problem with line managers at the workplace, which prevented distribution. This was a small (25-49 employees) workplace in the service sector.

The piloting work showed the need to provide workplaces with an envelope large enough to contain the SEQ envelopes if they were returned en masse. It was also found that briefings to interviewers should emphasise that it is the employees' choice whether they fill it in or not, and that if they prefer they can do it at home. If a staff member finds it difficult to fill in due to lack of English then someone at work (not management) can help them to complete the questionnaire.

Both pilots showed there to be very few problems with the questionnaire. As found from the cognitive testing there were some concerns over confidentiality from the first pilot: some respondents asked about the purpose of the survey, and what would happen to the questionnaire afterwards, and others expressed concern that the answers they gave could be easily traced back to them. Concerns over confidentiality were reduced in the second pilot because of the more "official" appearance of the SEQ and the envelope, which contained it. The pilots also indicated that the use of the Census question on occupation could successfully yield data that could be coded to detailed levels of the Standard Occupational Classification. This compared well to the one-digit data obtained in WERS 98.

Informal chasing procedures were implemented to maximise the SEQ response rate from the piloting work, for example asking the interviewers to contact workplaces for which no SEQs had been returned.

3.3.5 The Financial Performance Questionnaire (FPQ)

From the 18 productive Cross-section Survey of Managers interviews in the first pilot, 11 of these establishments returned a FPQ, giving a response rate of 61%. In large workplaces, secretaries usually completed the FPQ whereas in smaller workplaces, the Cross-section Survey of Managers respondent also completed the FPQ. In the first pilot because of limited fieldwork time the majority of the FPQs returned were picked up by the interviewer.

In Pilot 2, 20 FPQs were placed and 11 FPQs returned, giving a response rate of 55%. One of the objectives of the piloting work was to see who would complete the FPQ. In a large majority of cases (16 of the 20) the interviewer expected the FPQ to be completed by the main management respondent. Of the four Cross-section Survey of Managers' respondents not completing the FPQ, three had job titles that implied they were Human Resources specialists. In contrast, only three of the 16 respondents that were expected to complete the FPQ had similar job titles. This finding informed the design of the FPQ reminder procedures at mainstage fieldwork to be tailored to be addressed to either the Cross-section Survey of Managers' respondent or someone else.

3.4 Design of paper questionnaires

The versions of paper questionnaires used in the pilots were documents typed onto standard A4 white paper. While they served their purpose well, as the high response rate achieved in the pilot survey showed, it was always the intention that the final layout of these documents would be created by a professional graphic designer.

The design work, which was subcontracted by NatCen to Wilson Design, was carried out from September to December 2003. The style of all four documents was harmonised; each was colour washed in a different colour, with white boxes for respondents to enter their answers. The BWDS and EPQ were similar in content and arrangements to the ones used in 1990 and 1998. Both the BWDS and EPQ were on 1 x A3 folded to 2 x A4 paper. The SEQ, which was 2 x A3, folded to 4 x A4, was designed in 1998 to facilitate optical scanning of the completed sheets, and this design was retained. The final version of the SEQ, as it had done in 1998, also incorporated typeset paragraphs of information in the six languages most frequently spoken in the UK apart from English: Bengali; Cantonese; Gujarati; Hindi; Punjabi; and Urdu. The FPQ was designed in a similar way to the three documents already described and previously used in 1998. This was on 1 x A3 folded to 2 x A4 paper.

Copies of the final documents are included in Section Nine.

4 CONDUCT OF FIELDWORK

4.1 Briefing and interviewer numbers

A series of 15 two-day briefing conferences was held. Ten briefings took place between 27th January and the end of March 2004. Further briefings took place in May and June with the final briefing at the beginning of August. At these conferences interviewers were briefed on both the Cross-section and Panel Surveys. The briefings involved a description of the sample design and methodology, a full discussion of the problems of establishment definition, a summary of current employee relations structures in the workplace and procedures for contacting establishments and selecting respondents. There was considerable emphasis on the procedures to be adopted and the techniques required for gaining co-operation at the different stages of the survey process. A section of the briefing was devoted to procedures relating to the SEQ and FPQ. Time was also spent working through dummy interviews on the laptop PCs. A copy of the briefing agenda is included in Section Nine of this report.

The briefings were conducted by NatCen's researchers working in conjunction with researchers from the funding organisations.

Eight of the conferences took place in London. The remainder were in Glasgow, Liverpool, Leeds (2), Bristol and Derby (2).

In total 185 interviewers were briefed. All of them were trained and experienced members of NatCen's interviewing panel. Efforts were made to maximise the number of interviewers who had worked on previous WERS surveys.

4.2 Sifting the sample

The practice has been developed throughout the WERS series of surveys of sifting the sample. The purpose of this sifting is two-fold; to identify any potentially problematic addresses before they are issued to field and to divide the sample, prior to allocation to interviewers, into two groups. The two parts of the sample have come to be known as Wave 1 and Wave 2. This is done by NatCen's research team. For the purposes of this sift, cross-section and panel addresses were combined (including reserve units), resulting in 6884 units to be sifted.

The file was sorted to identify units with identical postcodes. There were 125 incidences of pairs of units both with the same postcode. In approximately half of cases the paired units were both from the Cross-section or Reserve sample; in the remainder there were units both from the Panel (including Screener) sample as well as the Cross-section (including Reserve) sample. These cases were then examined by reference to the Reporting Unit and to the Enterprise to which they belonged to see whether they were simply businesses that had adjacent or nearly adjacent locations, but were independent of each other. In the great majority of cases this was so. However the serial numbers in approximately 20 or so cases where the units appeared to belong to the same employer were noted for later consideration before being issued to interviewers.

The procedures used to determine which cases were to be treated as Wave 1 and Wave 2 broadly followed the same procedures as those developed for previous WERS.

Wave 1 addresses are those that are, or seem to be, independent establishments that are not part of a larger organisation or enterprise, plus all other establishments which, in the view of the research team, can reasonably be expected to decide whether or not to participate without referring the decision to a higher level in the organisation. These addresses can be issued directly to interviewers for them to make the first contact with management at the site and carry out the interview process, all being well, from then on.

Wave 2 addresses are establishments that are part of a larger organisation, where there is likely to be little prospect of an interviewer obtaining an interview without prior approval from the Head Office of that organisation. Gaining this approval, which can often be complex and time-consuming has always been the responsibility of the research teams, both at NatCen and the commissioning Department. Once approval has been obtained centrally, it is usually found that managers at the establishment are extremely co-operative. In many cases, their Head Office will have identified the individual best-placed to act as the respondent, and will have copied their correspondence to this individual in advance of an interviewer's approach. However, it is not always easy to establish the organisation to which a sampled unit belongs (or the structure of an organisation) even with reference to the IDBR reporting unit. Problems of this nature lead to contacting Head Offices on more than one occasion seeking permission to contact a succession of establishments. This can be a source of embarrassment (to the asker) and irritation (to the asked).

Part of the rationale for this strategy is that it seems extremely important to avoid a Head Office receiving a number of separate referrals from their branches. It also recognises that a limited number of major employers, accounting for a substantial part of British employment, are constantly being asked to take part in research studies. Their branch network may be so extensive, as with banks and retail organisations, that virtually every national study of employment practices is bound to involve selecting a number of their branches. There is, therefore, a special requirement in these cases to manage the survey in a way that ensures as favourable an impression as possible. A refusal to participate from the Head Office of an organisation of this sort can have a very detrimental effect on the representativeness of a national sample.

It follows from this that only Wave 1 addresses were issued at the initial round of interviewer briefings (although interviewers were fully briefed on issues that may arise from Wave 2 addresses). The reasons are two-fold – that there had been too little time for the research team to carry out significant amounts of access work prior to the briefings and also that it was thought preferable for interviewers to carry out a number of relatively straightforward interviews before getting involved in Wave 2 complexities. Wave 2 addresses were therefore issued piecemeal throughout fieldwork.

For the current WERS much reliance was placed on the ten digit Enterprise reference number, provided by ONS on the IDBR file, for the identification of those units which could be grouped as belonging to the same organisation. In the previous WERS this number had not been present for the complete sample and not at all for the panel sample and was therefore of limited use. On this occasion it was present for all units including the Panel. The full sample was therefore sorted by Enterprise reference number and all units belonging to enterprises with more than one Local unit in the sample were classified as Wave 2. The fact that this was a more comprehensive process than in WERS 98 resulted in a higher than usual proportion of units being classified as Wave 2. In the previous survey the proportion classified was 25%; in the current survey it was 34% overall, with a slightly higher proportion (38%) in the Panel sample.

4.2.1 Wave 1 addresses

Of the total issued sample of 6484 addresses (cross-section, cross-section reserve, panel and panel screen) two-thirds (66%, n=4275) were classified as Wave 1. Of the Cross-section 67% were Wave 1 establishments, of the Cross-section Reserve 81% were Wave 1 and of the Panel 62% were Wave 1.

Included with Wave 1 addresses were those classified as Education, Health and Local Authorities. Consideration had been given in WERS 98 to separate these from other Wave 1 addresses and send a 'courtesy' letter to an appropriate 'Head Office' representative before proceeding to an interviewer contact at establishment level. However early work on this approach had shown it to be relatively unfruitful and therefore as in WERS 98 these addresses were issued to interviewers as Wave 1. Any cases (of which there were very few) where subsequent correspondence with Head Offices was required were referred back to the research team who sent a Wave 2 style approach letter to the Head Office contact.

The contact procedures followed by the interviewers for Wave 1 addresses are described in detail in Section 6 of the Interviewer Handbook (WERS 2004 Documentation Volume 6). In essence they comprised:

Stage one: telephone contact with the establishment by the interviewers to identify the name and job title of the appropriate management respondent. Previous experience had indicated the importance of writing to a named person, rather than a post holder;

Stage two: the sending (by the interviewer) of a letter from the DTI to the respondent identified at stage one to explain the nature of the survey and to ask for co-operation;

Stage three: a further telephone call to make an appointment for the interview with the management respondent;

Stage four: the sending, in advance of the interview, of the Employee Profile Questionnaire (Cross-section sample) **or** the Basic Workforce Data Sheet (Panel sample) and the Statement of Anonymity Procedures, accompanied by a letter confirming the date and time of the appointment.

The telephone number from the sample file for an establishment or its reporting unit was printed on the Address Record Form (ARF) for the interviewers to make initial telephone contact with the establishment. When this information was not present on the sample, interviewers used telephone directories to locate the telephone number. If this failed they contacted the NatCen research team who used internet searching and websites such as Yellow Pages, to locate the number for an establishment.

The materials provided for cross-section and panel contact stages differed in detail, but the procedures were the same - except in one respect. For panel interviews the telephone contact (stage one) was formalised into a brief telephone questionnaire, the purpose of which was to enable the interviewer to determine whether the establishment had truly 'continued' in existence since 1998. The rules developed for determining continuity of existence are discussed in Section Two: 2.4 of this report and in Section 6 of the Interviewer Handbook (WERS 2004 Documentation Volume 6).

To maximise the ability of the field teams to make appointments, the first stages of contact were transferred to the telephone unit for the majority of cases soon after fieldwork had begun. This was because initial feedback from the field interviewers suggested that they were spending a large proportion of their time trying to make

appointments for interviews and were having to leave a large number of voicemail messages for potential respondents and then missing the return calls because they were out interviewing. The telephone unit was responsible for stages one to three of the contact procedures. This worked well as the telephone unit was able to make numerous calls to an establishment and had a very high success rate of securing appointments for the field interviewers.

During these contact stages, interviewers and the telephone unit, were required to refer to the NatCen research team all panel cases where answers to the telephone questionnaire indicated some doubt about whether the establishment had been in continuous existence since 1998 and was, essentially, the 'same' establishment as had been interviewed in 1998. In some cases clarification was also required from the WERS research team at the DTI. More generally for both Panel and Cross-section establishments, interviewers were required to refer back to the research team all cases where difficulties were encountered in gaining co-operation at the contact stages, including those cases where they were not able to make any contact. The research team made extensive use of internet sites such as Companies' House and the Yellow Pages to acquire more up to date contact information for an establishment or in finding out whether it was still in existence. All cases where a potential respondent refused giving the reason as being 'too busy', were referred to the research team to send them a 'busy letter'. This letter (a copy is included in Section Nine of this report) on DTI headed paper explained the importance of the survey and how the interview would take place at a time most convenient for the respondent. These workplaces were contacted once again two weeks after receiving this letter to see if they would like to take part. Overall the sending of this additional letter did not prove to be a very effective method of persuading establishments to take part.

The Brentwood operations team ran a freephone Helpline¹⁰ throughout the course of fieldwork, to deal with queries direct from (potential) respondents.

4.2.2 Wave 2 addresses

Of the total issued sample, 2209 addresses (34%) were categorised in the initial sift as Wave 2 - requiring access to be negotiated at a higher level in the organisation prior to any contact at establishment level. These 2209 addresses belonged to 573 different organisations or enterprises. At the outset, each of the Wave 2 organisations was allocated a 'block' number and each block assigned to one of the 12 Sections of the Standard Industrial Classification (2003) included in the sample. The term 'block', identified by number and sector, was used throughout the conduct of fieldwork. Although the average size of a block was no more than four units, 4% of blocks (23) included 20 units or more, occasionally as many as 40. Not surprisingly these major blocks did not occur haphazardly among the different sectors. Nine of them were in Sector G (Wholesale / Retail), four in J (Finance) and four in L (Central Government). The number of units and blocks in each sector is shown in Table 4-1 below;

¹⁰ The freephone number was included in the Stage 1 DTI letter.

Table 4-1: SIC sector distribution

SIC SECTOR	UNITS	BLOCKS
D	163	75
E	193	32
F	57	19
G	520	87
H	176	35
I	212	44
J	219	43
K	183	64
L	250	78
M	21	10
N	146	62
O	69	24
Totals	2209	573

The responsibility for gaining the co-operation of organisations (or Head Offices) was allocated to different researchers (or teams of researchers) by SIC sectors. The DTI research team took direct responsibility for Central Government departments and other organisations controlled by Central Government. This amounted to 250 units in all, grouped into 25 blocks. These fell mostly into Sector L, with the remainder, the Post Office, being in Sector I (Transport and Communication). The NatCen research team were responsible for the remaining 1959 units, which fell into 548 blocks, including the residual units in Sector L, Police, Fire and Ambulance Services.

The procedures for gaining Head Office co-operation comprised a number of discrete stages. As previously described, the units had already been divided into 'blocks', each representing a particular enterprise or organisation. The names and addresses of the enterprises themselves did not form part of the IDBR file, however the file did include address information and often also telephone numbers for Local and Reporting Units. An examination of these units, grouped into blocks, generally easily identified the controlling organisation of the group. Current address and contact information, however had to be established from directories, particularly the IPM and CIPFA directories. In most cases these directories identified the Chief Executives of organisations and other senior staff, including the Senior Human Resources and Personnel Directors.

Mailing on the basis of information gathered at this stage would, however, have been largely ineffectual. Directory information was a starting point but the staff information in particular was likely to be no longer current. A phone call to each establishment to confirm the most relevant post holder, his/her identity as well as the address was essential. This phone contact was made with administrative, secretarial or reception staff at the organisation. Talking to the proposed addressee at this stage was deliberately avoided (i.e. before (s)he had had the opportunity to read the explanatory material). Generally there was no difficulty in establishing the name of the person to be contacted. At a minority of organisations there was a policy not to reveal staff names over the phone, in which case the correspondence had to be addressed to a post holder. This was less than ideal and was frequently an indication of eventual failure.

The fundamental approach for Wave 2 addresses was for a letter (on DTI heading) to be sent to the Senior Human Resources/Personnel Director, or other similar post holders, at the Head Office of each organisation, explaining the background to and

purpose of the survey, and asking the addressee, provided there was agreement to co-operate, to nominate a respondent or a contact person for each of the establishments selected from that organisation. Accompanying this letter was a list (one or more A4 sheets) identifying all these establishments (Local Units). The list included cross-section, panel, screen and reserve units. The letter referred to the fact that the survey was in part a panel survey but the particular interview protocol for each address was not identified on the list. The inclusion of reserve addresses on these sheets was thought prudent (although at this stage it was not known if any use would be made of the Reserve sample) in that it would obviate any need to go back to organisations later in the survey with additional requests. This is a lesson learned from earlier WERS. The addressee was also sent a pre-paid envelope, addressed to NatCen, for the return of the list. The list of addresses was so laid out that, provided there were no complications, the addressees had simply to write in the names, locations and telephone numbers of the proposed respondent for each establishment and mail (or fax) back the sheet(s). A specimen copy of the Local Unit sheet is provided in Section Nine of this report. Finally the addressee was also sent a copy of the A5 leaflet prepared by the DTI about WERS 2004 and which had been in general use throughout the conduct of fieldwork.

There were a number of outcomes from the sending out of these letters;

- For about 40% of units the outcome of the mailing followed the scheduled pattern. The Local Unit sheets were returned to NatCen, with the required contact information. Sometimes reminder phone calls were needed and sometimes the organisation would ask for more detailed information about the survey, particularly relating to the content of the questionnaire. To deal with this a short (two side) summary document was prepared, giving more information about the reason for and background to the survey and listing the topic areas for the Cross-section and Panel Survey of Managers. Sometimes a further organisation-specific letter would be sent or an organisation would require a series of phone conversations with the research team. In a number of cases (some but not all of the major blocks identified) a visit and presentation by the DTI and NatCen research teams at the Head Office of an organisation was offered, accepted and, without exception, effective. In a handful of these cases the negotiations led to the research team having to reduce the number of establishments approached within an organisation (through random sampling), or led to a reduced set of EPQ data being supplied by head office, with the aim of reducing the amount of time individual establishments spent on the survey.
- In the remainder of cases there was no response to the mailing; nor could the situation be resolved simply by reminder calls. Sometimes there was no trace of the letter having arrived and a complete re-mailing was needed: often a more complex situation was uncovered requiring the correspondence to be sent to a different person at a different place; in spite of the efforts that had been made previously to establish the right addressee.

The work generated from the stages outlined above was considerable for both NatCen and the WERS research team based at the DTI. The process of gaining Head Office co-operation lasted throughout the fieldwork period, from February 2004 just after the start of briefings to interviewers until March 2005, a month before the final fieldwork deadline.

4.2.3 Employee representatives

Contact with employee representatives at Cross-section addresses was only achieved with the consent of the management respondent. The identification of the appropriate employee, whether union or non-union representative, was made by the CAPI program. The request to carry out interviews with employee representatives at the establishment was raised at the end of the management interview. The procedures to be followed and the material prepared for the Survey of Employee Representatives are detailed in Section 6 of the Interviewers Handbook (WERS 2004 Documentation Volume 6).

4.3 Fieldwork progress

Interviewing for the Cross-section and Panel Surveys began in February 2004 immediately after the start of the briefing conferences. Interviewing finished in April 2005. Table 4-2 below sets out the month by which interviews were completed - for each of the two samples.

The table shows that approximately one fifth of Cross-section interviews were completed by end of April 2004 (21%). By the end of July 2004 just over half were completed (51%), and by the end of October 2004 just over three-quarters had been completed (76%). For the Panel sample over half had been completed by the end of June 2004 (52%), and over three-quarters had been completed by the end of September 2004 (78%). By the end of 2004, 87% of Cross-section and 91% of Panel interviews had been completed.

Determined efforts were made by the research teams to reduce the long 'tail' of fieldwork - which had been a characteristic of previous WERS. The difficulty of making speedy progress with Wave 2 addresses proved, yet again, insuperable. The last addresses were not issued to interviewers until March 2005. The median month of interview completion for the Cross-section Survey was July 2004 and for the Panel Survey was June 2004.

Table 4-2: Date of last visit by interviewer to establishment

Interviews completed by end of	Cross-section			Panel		
	No.	%	Cumulative %	No.	%	Cumulative %
2004:						
February	27	1.2	1.2	21	2.2	2.2
March	222	9.7	10.8	149	15.6	17.8
April	243	10.6	21.4	118	12.3	30.1
May	216	9.4	30.8	82	8.6	38.7
June	267	11.6	42.5	125	13.1	51.8
July	205	8.9	51.4	108	11.3	63.1
August	173	7.5	59.0	70	7.3	70.4
September	176	7.7	66.6	75	7.8	78.2
October	206	9.0	75.6	66	6.9	85.1
November	178	7.8	83.4	40	4.2	89.3
December	78	3.4	86.8	17	1.8	91.1
2005:						
January	57	2.5	89.2	14	1.5	92.6
February	79	3.4	92.7	13	1.4	93.9
March	97	4.2	96.9	40	4.2	98.1
April	63	2.7	99.7	16	1.7	99.8
Date not known	8	-	100.0	2	-	100.0
Base: All productives	2295	100.0		956	100.0	

Once contact with an establishment had been completed, the final output relating to that address was transmitted to NatCen's Brentwood office by the interviewers via telephone modem. The outcome code for each address was integrated into one of three databases, created prior to fieldwork, comprising the issued sample for each of the surveys. Thus fieldwork progress information was updated daily, the information being available for printing out, as requested, on NatCen's internal network.

A framework for reporting responses was agreed by the research teams prior to fieldwork. It comprised:

Cross-section and Panel:

- level of 'cover' (i.e. interviews achieved, addresses still with interviewers, addresses not yet issued to interviewers);
- response (i.e. out of scope, non-contact, refusal etc).

Cross-section only:

- presence of employee representative (eligibility and response);
- agreement to participate in SEQ and FPQ procedure.

SEQ and FPQ only:

- number placed, number received (by date of arrival) and refusals.

4.4 Interviewer workload

Of the 185 interviewers who were briefed for the survey, five did not in the event transmit any work back to NatCen's operations department. 171 interviewers worked on both the Panel and Cross-section Surveys. Seven worked only on the Cross-section Survey and two worked only on the Panel Survey.

The mean number of interviews carried out by contributing interviewers was therefore 18.1 (Cross-section and Panel). In 1998, the number of interviewers working on the survey was slightly less ($n = 151$), and consequently the average number of establishments per interviewer higher ($n = 20.4$). It has always been NatCen's policy throughout the WERS series to employ a highly selective policy in allocating interviewers to the survey, with the aim of maximising the volume of each interviewer's work.

The distribution of work is summarised in Table 4-3 below.

Table 4-3: Distribution of interviews among the interviewer panel

Interviews at....	No. of Interviewers
Fewer than 10 establishments	56
Between 10 & 19 establishments	43
Between 20 & 29 establishments	45
30 or more establishments	36

The average **duration** of the interviews is set out below:

		Mean	Median
Cross-section:	Management ¹¹	118 minutes	115 minutes
	Employee Rep (Union) ¹²	52 minutes	45 minutes
	Employee Rep (Non Union)	43 minutes	40 minutes
Panel:	Management ¹³	42 minutes	38 minutes

Just under half (49%) of management interviews at Cross-section establishments lasted two hours or longer; 6% of Panel interviews lasted 75 minutes or longer. The length of the task varied, as would be expected, according to the size of the establishment. Tables 4-4 and 4-6 set out the extent of the variations.

There was some difference in duration between interviews carried out with employee representatives of recognised unions (Mean: 52 minutes) and those carried out with non-union employee representatives (Mean: 43 minutes), as shown in Table 4-5.

Data relating to the **number of visits** required by an interviewer in order to complete all the necessary work at an establishment are only available for productive interviews. In 43% of Cross-section interviews one visit was required; in a further 30% two visits. In 17% of cases more than three visits were necessary. The percentage of interviews requiring one visit is similar to that in 1998 (46%), but there was an increase of approximately 13 points in the percentage requiring more than three visits.

79% of successful Panel interviews were the product of a single visit; 10% required three visits or more (90% and 2% respectively in 1998).

At 94% (n=2147) of productive Cross-section establishments, the interview was conducted with a **single** management respondent. This proportion was only one percentage point lower than in 1998 (95%).

¹¹ Management interview timings exclude cases reported as under 15 minutes or over 480 minutes.

¹² Employee Rep interview timings exclude cases reported as under 5 minutes and over 150 minutes.

¹³ Panel interview timings exclude cases reported over 151 minutes and interviews done over more than 1 day, which did not provide accurate timings.

Table 4-4: Cross-section - length of interviews by size of establishment

Base: All productive workplaces with valid interview length timings	Total 2209	SIZE OF ESTABLISHMENT (NUMBER OF EMPLOYEES)								
		5-9	10-24	25-49	50-99	100-199	200-499	500-999	1000-1999	2000+
		229	407	322	298	277	287	154	94	141
Management Interview:	%	%	%	%	%	%	%	%	%	%
Under 60 minutes	0.6	1.7	1.2	0.6	*	0	0	0	1.1	0
60 – 89 minutes	13.5	32.3	23.8	12.7	9.4	10.5	5.6	3.9	2.1	3.5
90 – 119 minutes	36.9	46.3	45.2	45.3	42.6	33.9	25.1	25.3	18.1	22.0
120 - 149 minutes	29.7	15.7	22.6	24.8	28.2	32.1	40.8	39.6	46.8	37.6
150 minutes plus	19.3	3.9	7.1	16.5	19.5	23.5	28.6	31.2	31.9	36.9
<i>Mean duration (mins)</i>	118	96	103	115	118	123	131	134	137	138
<i>Median duration (mins)</i>	115	90	95	110	110	120	120	120	125	130

Table 4-5: Cross-section WRQ - length of interviews by size of establishment

Base: All productive workplaces with valid interview length timings	Total	SIZE OF ESTABLISHMENT (NUMBER OF EMPLOYEES)								
		5-9	10-24	25-49	50-99	100-199	200-499	500-999	1000-1999	2000+
		11	45	68	73	110	155	88	62	108
Union Rep Interview:										
<i>Mean duration (mins)</i>	52	[46]	[44]	47	49	49	52	57	56	58
<i>Median duration (mins)</i>	45	[45]	[40]	45	45	45	45	58	48	55
Base: All productive workplaces with valid interview length timings	Total	SIZE OF ESTABLISHMENT (NUMBER OF EMPLOYEES)								
		5-9	10-24	25-49	50-99	100-199	200-499	500-999	1000-1999	2000+
		9	11	22	34	42	64	35	15	17
Non-union Rep Interview:										
<i>Mean duration (mins)</i>	43	[37]	[34]	[41]	[44]	[42]	43	[45]	[44]	[49]
<i>Median duration (mins)</i>	40	[30]	[30]	[40]	[45]	[40]	45	[45]	[40]	[50]

Table 4-6: Panel - length of interview by size of establishment

Base: All productive workplaces with valid interview length timings	Total	SIZE OF ESTABLISHMENT (NUMBER OF EMPLOYEES)							
		10-24	25-49	50-99	100-199	200-499	500-999	1000-1999	2000+
		553	61	99	88	95	119	55	20
Panel interview	%	%	%	%	%	%	%	%	%
0 - 29 minutes	23.9	36.1	25.3	21.6	28.4	22.7	12.7	[20.0]	[6.3]
30 - 44 minutes	42.1	37.7	53.5	42.0	42.1	36.1	49.1	[30.0]	[25.0]
45 - 59 minutes	22.4	19.7	12.1	23.9	20.0	27.7	20.0	[35.0]	[56.3]
60 - 74 minutes	6.0	1.6	6.1	4.5	6.3	4.2	12.7	[10.0]	[12.5]
75 - 89 minutes	2.5	3.3	2.0	5.7	1.1	3.4	0	[0]	[0]
90 minutes plus	3.1	1.6	1.0	2.3	2.1	5.9	5.5	[5.0]	[0]
<i>Mean duration (mins)</i>	42	37	39	43	41	46	46	[46]	[47]
<i>Median duration (mins)</i>	38	32	37	39	38	42	41	[45]	[46]

Relatively few interviews took place away from the site of the sampled establishments. The location of the management interview is as set out in Table 4-7 below:

Table 4-7: Location of interview

	Cross-section	Panel
	%	%
At establishment	84.1	84.6
At Head Office	9.2	11.1
At Regional Office	4.3	4.1
At more than 1 site	0.6	0
Location not known	1.9	-
Base: All productives	2295	956

In the 1998 Cross-section survey, 11% of interviews took place, wholly or partly, away from the sampled establishment.

4.5 The Survey of Employees Questionnaire (SEQ)

The Survey of Employees Questionnaire (SEQ) comprised a short paper questionnaire (8 x A4 sides) which was left after the completion of the management interview for a sample of employees to fill in and return by post.

This part of WERS 2004 could also only proceed with the agreement of management. Not only did management have to agree in principle but also they had to make it practicable for the interviewer to draw a sample of employees from staff records.

The aim was to select an equal probability sample of 25 employees at each establishment that employed 25 or more persons; at establishments with **fewer** than 25 employees **all** employees were to be included in the survey. For the purpose of the sampling exercise, employees of the establishment were defined as for the EPQ - persons with a **contract** of employment, even though it might be for a fixed period, not open-ended. Freelancers, casual workers, temporary or agency personnel who did not have such a contract at the selected establishment were excluded.

Interviewers were provided with written instructions for the sampling operation, which took place at the workplace. In most cases the sample was drawn at the same visit at which the management interview took place; in a minority of cases a second visit was necessary.

The instructions covered two types of situation:

- where a list or printout of staff names was available for the interviewer to carry out the sampling him/herself;
- where there were no paper documents available but the information was available on computer screen and the interviewer had to instruct a member of staff in the sampling procedures.

The sampling procedure itself required the interviewer or establishment staff member to refer to look-up tables which set out 25 random numbers for different sizes of establishment (from 26 to 5000 employees)¹⁴. An example page from the look-up tables used in the sampling process is included in Section Nine.

Once the sample had been selected the interviewer prepared packs to be handed out to the sampled employees. The packs consisted of a large envelope, overprinted with instructions and containing:

- a questionnaire;
- an explanatory leaflet, designed by the DTI particularly for the Survey of Employees;
- a Business Return Envelope (Freepost).

The interviewers were required to fix identification labels to the pack envelopes and the questionnaire before handing out the packs. The label attached to the pack envelope included **both** the serial number allocated to the establishment and the selected employee **and** their name and department where they worked; the label attached to the questionnaire contained only the serial number (along with bar code).

The envelope packs were then handed to the management respondent (or in some cases a different 'SEQ contact' person nominated by management) for distribution.

The questionnaires once completed by staff members were put into return envelopes and either posted directly to NatCen's offices by the respondents or left at a central collection point at the workplace. Questionnaires from the collection point were subsequently returned by management to NatCen in a large envelope provided by the interviewer or (in the minority of cases) picked up by the interviewer on a subsequent visit.

A detailed description of the procedures at the workplace is included in the Interviewer Handbook for the survey (WERS 2004 Documentation Volume 6).

A three-stage reminder process was used for all respondents whose questionnaires had not been received at NatCen's Brentwood offices. The reminder process varied slightly for those workplaces that had returned some of their SEQs and those that had returned no SEQs.

Reminder letters were sent three weeks after the interview to all managers or SEQ contacts whose complete set of employee questionnaires had not been received at NatCen's Brentwood offices. This reminder letter asked the manager or SEQ contact to distribute any packs that had not yet been distributed, and to remind employees of the importance of the survey and complete and return their questionnaires. It was accompanied by a list of employees who had been selected to take part in the survey.

¹⁴ If there were more than 5000 employees at a workplace the interviewer contacted the research team who provided the 25 random numbers for SEQ selection.

The second reminder for those workplaces that had returned one or more of their SEQs was sent two weeks after the first reminder letter had been sent. It consisted of fresh envelope packs addressed to non-responding staff members and enclosed a letter explaining to the respondent the need for a high response. A letter was sent to the management respondent to inform them that NatCen were sending a reminder letter and a duplicate pack directly to those employees from whom no SEQ had been received. Two weeks later, a third reminder letter was sent once again to the employees who had not yet returned their SEQs. Again, a letter was sent to the manager informing them that reminders were being sent to their employees and once again explaining the importance of this part of the survey.

Where practicable further contact by the original interviewer was instituted when no SEQs had been returned from a workplace. During fieldwork this was not found to be a very effective method and therefore from January 2005, all those workplaces that had returned no SEQs after receiving the first reminder, were sent a slightly amended version of the first reminder letter along with a complete set of new SEQs, with the rationale being that the original set of SEQs left at the time of interview had never been distributed. These workplaces were then sent the second and third reminder as necessary.

4.6 The Financial Performance Questionnaire (FPQ)

The Financial Performance Questionnaire (FPQ) comprised a short paper questionnaire (4 x A4 sides) which was left after the completion of the management Cross-section interview for someone responsible for financial matters at the workplace to complete. This part of WERS 2004 could only proceed with agreement from the Survey of Managers' respondent, and his/her willingness and ability to locate a suitable FPQ respondent if not themselves.

An accompanying letter was left with the FPQ addressed either to the management respondent or nominated FPQ respondent. This letter gave guarantees of confidentiality and anonymity to the respondent and explained how the FPQ aimed to gather financial data about the establishment to complement the data already provided in the Cross-section Survey of Managers.

There was a three-stage reminder process set in place for the FPQs, with reminder letters being sent to either the management respondent or directly to the individual nominated to complete the FPQ. The first stage consisted of a letter being sent two weeks after the interview, with the address of the selected establishment mail merged within the text of the letter if the FPQ respondent was someone other than the main respondent. Two weeks after the first reminder a duplicate FPQ was sent to the respondent, along with a pre-paid envelope to be returned to NatCen's Operations offices. The third stage (two weeks after the second stage) consisted of a final reminder letter.

Towards the beginning of fieldwork it became apparent that public sector workplaces were not completing question one on the FPQ because they did not realise that their establishment's budget could be entered (the question asked for an establishment's turnover). To remedy this, inserts were included in all FPQs explaining that an establishment's budget could be entered at question one for public sector workplaces. This FPQ insert also listed once again some of the key notes to assist respondents in completing the questionnaire, already written in the notes section on the FPQ (a FPQ insert is included in Section Nine). A letter was sent to those public sector workplaces that had returned FPQs without completing question one asking them to provide their total budget for the same period that their returned FPQ covered (a copy is included in Section Nine). A photocopy of the establishment's returned FPQ was enclosed along with a pre-paid envelope.

4.7 Panel Screening

From the 2191 cases interviewed in the WERS 98 Cross-section Survey, 1479 were issued in WERS 2004 for the Panel Survey. The remaining 712 cases were to be contacted to establish their continuing existence as an establishment with ten or more employees or otherwise, and to collect the number of employees if it was indeed a continuing establishment.

The task of re-contacting the 712 excluded establishments was undertaken by field interviewers and interviewers at NatCen's Telephone Unit. In the vast majority of cases the telephone contact with the Panel Screener establishment was very brief. The recording of name and/or ownership changes and employee numbers was relatively straightforward at 'switchboard level'. The same rules were applied as in the Panel Survey regarding continuity.

4.8 Computer Assisted Personal Interviewing (CAPI)

4.8.1 General

WERS 2004 was the second (the first being WERS 98) in the series in which CAPI procedures were used¹⁵. The basic advantage of this mode of interviewing is that, through the efforts put into programming and questionnaire design **prior** to fieldwork, checks on data quality are performed and resolved **during** the interview itself rather than through a separate and lengthy post fieldwork edit process.

A particular advantage of CAPI for the WERS interviews were that the figures for the workforce that were collected on the self-completion Employee Profile Questionnaire (EPQ) and Basic Workforce Data Sheet (BWDS) forms could be entered into the computer and used in the interview. This avoided a separate keying operation. Another particular advantage was that data from the 1998 Cross-section interview could be fed seamlessly into the 2004 Panel interview without recourse to a separate paper record. Major changes in employment, changes in the identity of the largest non-managerial occupational group or changes in union recognition could then be verified with the respondent during the interview, thus reducing measurement error.

4.8.2 Multi-respondent and multi-site interviews

CAPI incorporates strict routing rules, which prevent the interviewer moving on to a question until the preceding question is answered. This raised a problem for WERS interviewing since there were likely to be situations where some parts of the management interview would need to be completed by a respondent different from the main one; sometimes the different respondents would be at different sites (typically the sampled workplace and the Head Office). On occasions the completion of the required interviews relating to one workplace necessitates the use of two or more interviewers. The most complex cases are 'global' partial interviews where an interviewer collects partial data at the Head Office relating to a number of sampled sites leaving various interviewers in different parts of the country to complete the site interviews.

A number of strategies were devised to cope with these situations:

¹⁵ For CAPI interviewing, the National Centre uses the BLAISE interviewing programs devised and licensed by Statistics Netherlands. Version 4.5 was used for this survey.

- for interviewers with sections needing to be filled-in by a secondary respondent, the device was used of temporarily keying-in DK to the skipped questions;
- a range of 'intermediate' rather than 'final' outcomes was available allowing an interviewer to return (and be paid for) incomplete interviews, which could then be transferred (electronically) for completion by another interviewer.

4.8.3 Program updates

A further particular advantage of CAPI is the facility for incorporating questionnaire (or program) updates while fieldwork is in progress. Additionally, 'news messages' can be issued to interviewers. Both these and program updates are transmitted to the interviewer via the modem.

On the Cross-section Survey there were **three** program updates after the program had been released. On the dataset, the *version* variable indicates whether the interview was conducted after the first release program (I_014_2), the second release (I_014_2b), the third release (I_014_2c) or the fourth release (I_014_2d).

The details of the three updated release programs are:

Update 1 (2nd April 2004)

- Removed D1COMM from condition ' IF (DISSUES IN [RANGE,BOTH] OR (D1WHI.CARDINAL > 1)'
- Removed GPSTYR from condition 'IF (SECTIONE.EUNIONUM>0)'
- Added textfill to WAPROTW
- Brought WEULR onto the route

Update 2 (21st July 2004)

- Change to computation of text fill in WCUREPA

Update 3 (9th November 2004)

- Added textfill to WDHOURS, WDHOL, WDPEN, WDRECRUI, WDTRAINI, WDDISCIP, WDGRIEV, WDMANPLA, WDEQUOPP, WDHEASAF & WDPERFAP

On the Panel Survey there were also **three** program updates after the program had been released. As in the Cross-section, the *version* variable in the Panel dataset indicates whether the interview was conducted after the first release program (I_014_1), the second release (I_024_2), the third release (I_044_1c) or the fourth release (I_044_1d).

The details of the three updated release programs are:

Update 1 (18th February 2004)

- Change to textfill in ACONTROL

Update 2 (6th April 2004)

- Numerous changes to screener questions in Admin block
- Added signals to check previous survey answers (P98RECUN) at ENUMREC, ENEW and EUDREC
- Filter removed from EREQUEST

Update 3 (2nd June 2004)

- Do not do Screener questionnaire if outcome 900

4.9 Retrieval of paper forms

In the Cross-section and Panel Surveys, questions appearing on the EPQ and BWDS were included in the CAPI programming and subject to edit checks along with other questionnaire data.

Interviewers were encouraged throughout fieldwork to ensure that paper copies of both EPQs and BWDSs were retrieved from respondents and returned to Brentwood. However, this was not always possible. By the end of fieldwork for 67% of productive questionnaires from each survey, the paper copy of the EPQ/BWDS had been retrieved and filed.

4.10 Permission to link data

In the Cross-section and Panel Survey, all managers were asked (MLINKDAT) to give their permission for authorised researchers to link the data collected from them to other surveys and datasets to which the researcher would have authorised access. The interviewers assured all respondents that their confidentiality would be respected and that the linked data would be anonymised and used for statistical and analytical purposes only. In the Cross-section 2166 managers agreed and in the Panel 914 managers agreed to this request.

5 RESPONSE

5.1 Cross-section: response among management respondents

5.1.1 Overall response

The overall yield of interviews from the total sample of 4,293 Local Units that were selected from the IDBR, by the methodology described in Section Two: 2.2, was 53.5%. The yield from the original selected sample of 3998 units was 56.4%, and from the Reserve sample of 295 units was 14.2%¹⁶.

Among units classified as having ten or more employees, the yield was 56.8%, which is lower than the yield of 69% achieved in WERS 98. The proportion of units classified as out of scope was smaller, but the proportion of unproductive outcomes, e.g. refusals, non-contacts, etc. was much larger.

However, it is important to note when comparing the yield among establishments with ten or more employees in 2004 and 1998 that the proportions of productive and unproductive interviews (including out of scope cases) are not directly comparable. This is because units found to have 5–9 employees at the time of interview remained in scope to the survey in 2004, but were classified as out of scope in WERS 98.

Only 35.9% of 2004 units classified as having 5-9 employees yielded a productive interview. 38.2% proved to be out-of-scope, mainly because of having fewer than five employees at the time of interview.

Table 5-1 below indicates the differences and similarities in outcome of the two samples.

Table 5-1: Yield from selected samples: WERS 2004 & WERS 98

Units with	1997/8	2004/5	
	...10+ employees	...10+ employees	... 5-9 employees
Initial sample .	3192 (100%)	3599 (100%)	694 (100%)
Ineligible/Out-of-scope	463 (14.5%)	441 (12.2%)	265 (38.2%)
Non-productive addresses	536 (16.8%)	1112 (30.9%)	180 (25.9%)
Interviews achieved	2193 (68.7%)	2046 (56.8%)	249 (35.9%)

¹⁶ For the Reserve sample of establishments with 10-49 employees, only those establishments found (by telephone screen) to be single independent establishments were issued to interviewers. 116 establishments in the Reserve sample were classified as out of scope because they were not single, independent establishments. If these establishments are excluded from the calculation, the yield for the Reserve sample would be 23.5%.

Addresses classified as out of scope fall into a number of categories:

- **Excluded from design:** 116 Reserve sample units were classified as out of scope as they were excluded from the sample on the basis of having 10–49 employees and belonging to an organisation that had more than one establishment.
- **Closed down:** 263 cases were found to have closed down since the last updating of the IDBR and the time of interview.
- **Fewer than five employees:** 229 units fell below the survey threshold of having five or more employees at the time of interview.
- **Not traced:** 32 cases were classified as out of scope because the premises were found to be derelict, vacant or demolished or because the selected establishment had moved and could not be traced. All cases that interviewers were not able to trace were referred back to the research team who used business directories and the internet to try to trace establishments.
- The remaining units classified as out of scope included:
 - two units that had moved out of Great Britain, and were therefore classified as geographical outliers;
 - seven units that were duplicates of other units in the Cross-section sample, or of units in the Panel sample;
 - one unit that had been included in the pilot surveys;
 - twenty-one units that on investigation proved not to relate to the definition of an establishment used in this survey, even though they had been classified in the IDBR as “local units”. Examples of these were units where employee numbers related to a country-wide workforce with no discernible underlying structure of establishments. Again, all such establishments had been referred to the research team for investigation before being classified as out of scope.
 - Thirty units that had amalgamated with another sampled establishment.

Addresses classified as non-productive fell into three main groups:

- refusals to the research team. There were 88 such outcomes;
- refusals to the interviewer. These numbered 805, far higher than the 1997/8 total (320);
- addresses at which effective contact was not established before the end of fieldwork, despite repeated attempts by both interviewers and the research team, numbered 354, compared with 82 in 1997/8. Almost two-thirds of the establishments at which effective contact was not made were wave 2 establishments. NB: in the majority of these cases, contact had been made, either with the establishment or with the head offices of these establishments, but the cases were not resolved before the end of fieldwork, i.e. an interview had not been conducted, nor had a refusal been given. There are many reasons for this, but the most common were cases where:
 - i. the interview was postponed, and/or transferred to another location on so many occasions that fieldwork was cut off before the interviews could be conducted;
 - ii. the head offices gave permission to contact Wave 2 establishments so late on in the fieldwork period that it was not possible to conduct all of the interviews before the fieldwork was cut off;

- iii. the head offices were willing to give permission to contact Wave 2 establishments, but not until after the fieldwork was cut off;
- iv. interviewers were repeatedly asked to call back at a later date in order to arrange an interview, and eventually ran out of time.

The overall response rate for the survey was **64%**. Among establishments sampled as having ten or more employees it was 64.8%.

Details of the response are shown in Table 5-2:

Table 5-2: Cross-section - overall response

	No.	%	No.	%
Selected sample			4293	100
Excluded from design	116	2.7		
Geographic outlier	2	0.1		
Duplicate with Panel sample/ other establishment (∴ withdrawn)	7	0.2		
Interviewed on pilot survey	1	<0.1		
Unit not an establishment	21	0.5		
Not traced	25	0.6		
Closed down	263	6.1		
Premises derelict/ vacant/ demolished	7	0.1		
Amalgamated with other sampled establishment	30	0.7		
Fewer than 5 employees	229	5.3		
Other reasons for ineligibility	5	0.1		
Total ineligible/ out of scope			706	16.4%
TOTAL ELIGIBLE AND IN SCOPE			3587	100
Refusal by establishment to research team	27	0.6		
Refusal by Head office/ regional office: to research team	61	1.4		
Refusal from Head office/ regional office: to interviewer	183	4.3		
Refusal at establishment: to interviewer	622	14.5		
Total refusal			893	24.9%
Ill/ away for duration of survey	1	<0.1		
Broken appointment - no recontact	44	1.0		
Total non contact			45	1.2%
Never available/ no contact	172	4.0		
Other reason (inc. out of time before end of fieldwork)	182	4.2		
Total other reasons			354	9.9%
TOTAL UNPRODUCTIVE CASES			1292	36.0%
TOTAL PRODUCTIVE INTERVIEWS			2295	64.0%

5.1.2 Response by size of establishment

More than 1 in 3 establishments classified by the IDBR as having 5-9 employees proved to be out-of-scope, mostly because of having fewer than five employees when contacted by the interviewer.

There were variations in the response rate by size of establishment; however, unlike in WERS 98, response rates did not vary consistently according to the size of the establishment (Table 5-3).

Table 5-4 cross-tabulates the number of employees as sampled with the number at the time of interview. It indicates a slight decline in the number of employees, overall, between the last updating of the IDBR and the interview in 2004/2005. A similar pattern was seen in WERS 98.

64% of establishments interviewed were found to be in the **same** size band as at sampling.

14% of establishments were in a **higher** size band at the time of interview.

22% of establishments were in a **lower** size band at the time of interview.

Table 5-3: Cross-section - response by size of establishment (IDBR)

	TOTAL	NUMBER OF EMPLOYEES (IDBR)								
		5 – 9	10 – 24	25 – 49	50 – 99	100 – 199	200 – 499	500 – 999	1000 – 1999	2000+
Base: all issued (A)	4293	694	686	612	514	472	580	288	208	239
Out of scope (B)	706	265	133	110	45	39	44	30	19	21
Unproductive (C)	1292	180	215	177	170	164	187	76	71	52
Productive (D)	2295	249	338	325	299	269	349	182	118	166
	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	16.4	38.2	19.4	18.0	8.8	8.3	7.6	10.4	9.1	8.8
$\frac{D \times 100}{(C+D)}$	64.0	58.0	61.1	64.7	63.8	62.1	65.1	70.5	62.4	76.1

Table 5-4: Cross-section - sampled size of establishment by size at time of interview

	TOTAL	NUMBER OF EMPLOYEES AT TIME OF INTERVIEW								
		5 - 9	10 - 24	25 - 49	50 - 99	100 - 199	200 - 499	500 - 999	1000 - 1999	2000+
Base: all productive	2295	233	414	334	308	287	303	168	103	145
Size band (IDBR)										
5 – 9	249	150	86	9	4	-	-	-	-	-
10 – 24	338	52	239	33	6	3	-	3	1	1
25-49	325	7	43	218	37	12	3	2	-	3
50 – 99	299	6	18	50	188	32	2	1	1	1
100 – 199	269	6	9	11	50	163	26	3	1	-
200 – 499	349	7	14	3	9	63	227	21	3	2
500 – 999	182	4	2	4	6	12	37	102	15	-
1000 – 1999	118	1	2	2	6	1	4	30	63	9
2000+	166	-	1	4	2	1	4	6	19	129

5.1.3 Response by industrial classification

Table 5-5 analyses both the yield and the response among the major SIC(2003) groups that were incorporated in the sample design (see Section Two:2.2).

There were substantial differences in the proportion of sampled units that proved to be **out-of-scope**. Particularly high levels were found in:

Hotels and restaurants	25.0%
Construction	24.6%
Other business services	21.0%

Lower levels were found in:

Public administration	8.9%
Education:	10.8%

Response varied also among the SIC(2003) major groups but not substantially.

The highest response rates were found in:

Health	80.0%
Public admin:	73.3%
Other community services	72.9%
Transport and communications	72.0%
Education	71.4%

The lowest response rates were found in:

Electricity, gas & water	44.7%
Hotels and restaurants	53.2%
Wholesale and retail	53.5%

Table 5-5: Cross-section - response by Industrial Classification

	TOTAL	SIC (2003): MAJOR GROUPS											
		D Manufacturing	E Electricity, gas, water	F Construct- ion	G Wholesale & retail	H Hotels & restaurant s	I Transport & communic- ations	J Financial services	K Other business services	L Public admin	M Education	N Health	O Other community services
Base: all issued (A)	4293	578	124	252	717	268	249	226	609	214	333	468	255
Out of scope (B)	706	67	21	62	117	67	49	35	128	19	36	57	48
Unproductive (C)	1292	207	57	76	279	94	56	63	185	52	85	82	56
Productive (D)	2295	304	46	114	321	107	144	128	296	143	212	329	151
	%	%	%	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	16.4	11.6	16.9	24.6	16.3	25.0	19.7	15.5	21.0	8.9	10.8	12.2	18.8
$\frac{D \times 100}{(C+D)}$	64.0	59.5	44.7	60.0	53.5	53.2	72.0	67.0	61.5	73.3	71.4	80.0	72.9

5.1.4 Response by region

Table 5-6 shows the yield and response rates by Government Office Region.

There were differences by Government Office Region in the proportion of sampled units that proved to be **out-of-scope**. Higher levels were found in:

South East	18.1%
North East	17.8%
Scotland	17.6%
London	17.5%

The West Midlands had the lowest level of units that were classified as out of scope, at 12.8%.

There were also variations in the response rate by region. The highest response rate was achieved in Wales, followed by Scotland and the North East.

Wales	72.7%
Scotland	69.8%
North East	68.7%

The lowest response rates were achieved in London and the South of England.

London	56.9%
South West	59.7%
South East	61.1%

Table 5-6: Cross-section - response by Government Office Region

	TOTAL	GOVERNMENT OFFICE REGION										
		1 North East	2 North West	3 Yorkshire & The Humber	4 East Midlands	5 West Midlands	6 East of England	7 London	8 South East	9 South West	10 Scotland	11 Wales
Base: all issued (A)	4293	163	502	349	312	390	395	635	624	348	386	189
Out of scope (B)	706	29	85	51	51	50	65	111	113	55	68	28
Unproductive (C)	1292	42	142	99	91	117	118	226	199	118	96	44
Productive (D)	2295	92	275	199	170	223	212	298	312	175	222	117
	%	%	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	16.4	17.8	16.9	14.6	16.3	12.8	16.5	17.5	18.1	15.8	17.6	14.8
$\frac{D \times 100}{(C+D)}$	64.0	68.7	65.9	66.8	65.1	65.6	64.2	56.9	61.1	59.7	69.8	72.7

5.2 Cross-section: response among employee representatives

Interviewers were required to seek interviews with a union representative (either the senior lay representative of the largest recognised union at the establishment or, if no unions were recognised, the largest non-recognised union) and a non-union representative (either the senior non-union representative on the most wide-ranging joint consultative committee, or if there was no committee, with the senior stand-alone non-union representative). The selection criteria for these respondents are explained in detail in the Interviewer Handbook.

In total, 1,203 eligible employee representatives were identified at 1,072 establishments and interviews were achieved with 985 of the eligible employee representatives, giving a response rate of 81.9% (Table 5-7).

The presence of union and/or non-union representatives was strongly associated with the size of the workplace. Among establishments with 5-9 employees, only 10.3% proved to have an eligible employee representative. In contrast over 80% of workplaces with more than 500 employees offered eligible representatives (Table 5-7).

Of the 985 productive employee representative interviews, 736 were conducted with union representatives, and the remaining 249 with non-union employee representatives. The response rate among union employee representatives was 83.5%, and among non-union representatives 77.3% (Tables 5-8 and 5-9).

Tables 5-10 to 5-12 show the differences in presence of employee representatives by the major SIC groups.

Relatively high levels of union employee representation were found in workplaces in the following SIC 2003 groups:

- Electricity, Gas & Water
- Transport & Communications
- Public administration

Workplaces in the SIC groups listed below had relatively low levels of union employee representation:

- Construction
- Wholesale & Retail
- Hotels and restaurants and Other Business Services

Only 14% of surveyed workplaces had non-union employee representation. Manufacturing, Electricity, Gas & Water, Wholesale and Retail and Transport & Communications workplaces had higher levels than average of non-union employee representation, while those workplaces in the groups Construction, Public Administration and Health had lower levels of non-union representation.

Interviews with employee representatives were only possible if management of the workplace gave permission. The most common reason for failing to obtain employee representative interviews was the refusal by management to agree to interviewers approaching the employee representatives (Table 5-13 and 5-14).

Table 5-7: Cross-section - eligibility for employee representative interviews

	TOTAL	NUMBER OF EMPLOYEES AT TIME OF INTERVIEW								
		5 – 9	10 – 24	25 – 49	50 – 99	100 – 199	200 – 499	500 – 999	1000 – 1999	2000+
Base: all productive (A)	2295	233	414	334	308	287	303	168	103	145
No of workplaces requiring WR interviews (B)	1072	24	65	100	126	172	228	140	83	134
Number of WR interviews required (C)	1203	25	66	107	139	189	271	162	95	149
Number of WR interviews obtained (D)	985	20	56	90	109	154	224	127	81	124
	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	46.7	10.3	15.7	29.9	40.9	59.9	75.2	83.3	80.6	92.4
$\frac{D \times 100}{C}$	81.9	[80.0]	84.8	84.1	78.4	81.5	82.7	78.4	85.3	83.2

Table 5-8: Cross-section - eligibility for employee representative interviews – union

	TOTAL	NUMBER OF EMPLOYEES AT TIME OF INTERVIEW								
		5 – 9	10 – 24	25 – 49	50 – 99	100 – 199	200 – 499	500 – 999	1000 – 1999	2000+
Base: all productive (A)	2295	233	414	334	308	287	303	168	103	145
Total union WR interviews required (B)	881	14	51	80	95	136	194	113	73	125
WR interview obtained (C)	736	11	45	68	77	113	161	90	64	107
WR interview not obtained (D)	145	3	6	12	18	23	33	23	9	18
	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	38.4	6.0	12.3	24.0	30.8	47.4	64.0	67.3	70.9	86.2
$\frac{C \times 100}{B}$	83.5	.	88.2	85.0	81.1	83.1	83.0	79.6	87.7	85.6

Table 5-9: Cross-section - eligibility for employee representative interviews – non-union

	TOTAL	NUMBER OF EMPLOYEES AT TIME OF INTERVIEW								
		5 – 9	10 – 24	25 – 49	50 – 99	100 – 199	200 – 499	500 – 999	1000 – 1999	2000+
Base: all productive (A)	2295	233	414	334	308	287	303	168	103	145
Total non union WR interviews required (B)	322	11	15	27	44	53	77	49	22	24
WR interview obtained (C)	249	9	11	22	32	41	63	37	17	17
WR interview not obtained (D)	73	2	4	5	12	12	14	12	5	7
	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	14.0	4.7	3.6	8.1	14.3	18.5	25.4	29.2	21.4	16.6
$\frac{C \times 100}{B}$	77.3	.	.	[81.5]	[72.7]	77.4	81.8	[75.5]	.	.

Table 5-10: Cross-section - eligibilty for employee representative interviews

	TOTAL	SIC (2003): MAJOR GROUPS											
		D	E	F	G	H	I	J	K	L	M	N	O
		Manufacturing	Electricity, gas, water	Construction	Wholesale & retail	Hotels & restaurants	Transport & communications	Financial services	Other business services	Public admin	Education	Health	Other community services
Base: all productive (A)	2295	304	46	114	321	107	144	128	296	143	212	329	151
No of workplaces requiring WR interviews (B)	1072	179	35	26	98	13	106	60	64	123	142	174	52
Number of WR interviews required (C)	1203	217	42	29	117	15	118	63	72	133	154	187	56
Number of WR interviews obtained (D)	985	164	29	25	101	14	92	48	52	121	134	157	48
	%	%	%	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	46.7	58.9	[76.1]	22.8	30.5	12.1	73.6	46.9	21.6	86.0	67.0	52.9	34.4
$\frac{D \times 100}{C}$	81.9	75.6	[69.0]	[86.2]	86.3	.	78.0	76.2	72.2	91.0	87.0	84.0	85.7

Table 5-11: Cross-section - eligibility for employee representative interviews – union

	TOTAL	SIC (2003): MAJOR GROUPS											
		D Manufacturing	E Electricity, gas, water	F Construct- ion	G Wholesale & retail	H Hotels & restaurants	I Transport & communic- ations	J Financial services	K Other business services	L Public admin	M Education	N Health	O Other community services
Base: all productive (A)	2295	304	46	114	321	107	144	128	296	143	212	329	151
Total union WR interviews required (B)	881	135	34	20	59	3	95	48	31	121	135	159	41
WR interview obtained (C)	736	106	25	17	49	2	74	35	26	111	120	136	35
WR interview not obtained (D)	145	29	9	3	10	1	21	13	5	10	15	23	6
	%	%	%	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	38.4	44.4	[73.9]	17.5	18.4	2.8	66.0	37.5	10.5	84.6	63.7	48.3	27.2
$\frac{C \times 100}{B}$	83.5	78.5	[73.5]	[85.0]	83.1	[66.7]	77.9	[72.9]	[83.9]	91.7	88.9	85.5	[85.4]

Table 5-12: Cross-section - eligibilty for employee representative interviews – non-union

	TOTAL	SIC (2003): MAJOR GROUPS											
		D Manufacturing	E Electricity, gas, water	F Construct- ion	G Wholesale & retail	H Hotels & restaurants	I Transport & communic- ations	J Financial services	K Other business services	L Public admin	M Education	N Health	O Other community services
Base: all productive (A)	2295	304	46	114	321	107	144	128	296	143	212	329	151
Total non union WR interviews required (B)	322	82	8	9	58	12	23	15	41	12	19	28	15
WR interview obtained (C)	249	58	4	8	52	12	18	13	26	10	14	21	13
WR interview not obtained (D)	73	24	4	1	6	0	5	2	15	2	5	7	2
	%	%	%	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	14.0	27.0	[17.4]	7.9	18.1	11.2	16.0	11.7	13.9	8.4	9.4	8.5	9.9
$\frac{C \times 100}{B}$	77.3	70.7	.	.	89.7	.	.	.	[63.4]	.	.	[75.0]	.

Table 5-13: Reasons for not achieving interviews with union employee representatives

Base: All workplaces eligible for Union employee representative Interviews	TOTAL 881	
	No.	%
Interviews achieved:		
- with union rep	736	83.5
Interviews not achieved:		
- Refusal by management at establishment	52	5.9
- Refusal by management at Head/Area Office	6	0.7
- Refusal by respondent	6	0.7
- Respondent ill/away for duration	15	1.7
- No contact	37	4.2
- Other reason	29	3.3

Table 5-14: Reasons for not achieving interviews with non-union employee representatives

Base: All workplaces eligible for non-union employee representative interviews	TOTAL 322	
Interviews achieved:	No.	%
- with non-union rep	249	77.3
Interviews not achieved:		
- Refusal by management at establishment	35	10.9
- Refusal by management at Head/Area Office	4	1.2
- Refusal by respondent	8	2.5
- Respondent ill/away for duration	2	0.6
- No contact	17	5.3
- Other reason	7	2.2

5.3 Cross-section: response to the Survey of Employees (SEQ)

Survey of Employee questionnaires (SEQs) were placed at 85.6% of workplaces from which a management interview was obtained. Table 5-15 shows variations in the placement rates by workplace size, and Table 5-16 shows variations by SIC major groups.

11.8% of the workplaces at which SEQs were placed returned no completed SEQs. This figure is much higher than for WERS 98, and it is difficult to assess why this is so. However, in workplaces with more than ten employees, it is very unlikely that no productive SEQs would be returned if the questionnaires had been distributed. Therefore, it is very likely that in a large number of the workplaces from which no productive SEQs were received, the SEQs were not distributed to employees in the first place.

The fact that some managers agreed to distribute the SEQ but subsequently failed to do so has implications for the response rate calculations. Unfortunately, there is no way of quantifying the number of such workplaces without re-contacting all the relevant respondents.

If the response rate for the Survey of Employees is calculated based on the total number of SEQs distributed by interviewers, the overall response rate is 54.3%. Given

the high probability that some of the SEQs placed by interviewers were not distributed to employees, this is likely to be an underestimate of the true response rate.

The preferred method of calculating the response rate is to base it on the number of SEQs placed in workplaces from which at least one productive SEQ was returned. This gives an overall response rate of 60.7%. Among workplaces with ten or more employees, the Survey of Employees response rate was 60.4%, slightly lower than the comparable response rate of 65.6% achieved in WERS 1998. Table 5-17 shows the variations in response rate for the Survey of Employees by the number of employees, and Table 5-18 variations in the response rate for the Survey of Employees by SIC 2003 major group.

The main reason given for not agreeing to Survey of Employees procedures was that management were unwilling to ask employees to complete the questionnaires (Table 5-19).

Table 5-15: Cross-section - agreement to Survey of Employees procedure by size of establishment

	TOTAL	NUMBER OF EMPLOYEES AT TIME OF INTERVIEW								
		5 – 9	10 – 24	25 – 49	50 – 99	100 – 199	200 – 499	500 – 999	1000 – 1999	2000+
Base: all productive (A)	2295	233	414	334	308	287	303	168	103	145
Management agrees to SEQ procedure (B)	1965	220	385	292	267	246	257	125	78	95
Management AGREES to SEQ procedure (1+ returns) (C)	1733	175	317	257	239	232	238	116	73	86
Management AGREES to SEQ procedures but NIL returns (D)	232	45	68	35	28	14	19	9	5	9
Management DOES NOT AGREE (E)	330	13	29	42	41	41	46	43	25	50
	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	85.6	94.4	93.0	87.4	86.7	85.7	84.8	74.4	75.7	65.5
$\frac{C \times 100}{A}$	75.5	75.1	76.6	76.9	77.6	80.8	78.5	69.0	70.9	59.3
$\frac{D \times 100}{A}$	10.1	19.3	16.4	10.5	9.1	4.9	6.3	5.4	4.9	6.2
$\frac{E \times 100}{A}$	14.4	5.6	7.0	12.6	13.3	14.3	15.2	25.6	24.3	34.5

Table 5-16: Cross-section - agreement to Survey of Employees procedure by SIC major group

	TOTAL	SIC (2003): MAJOR GROUPS											
		D Manufacturing	E Electricity, gas, water	F Construct- ion	G Wholesale & retail	H Hotels & restaurants	I Transport & communic- ations	J Financial services	K Other business services	L Public admin	M Education	N Health	O Other community services
Base: all productive (A)	2295	304	46	114	321	107	144	128	296	143	212	329	151
Management agrees to SEQ procedure (B)	1965	247	37	93	287	99	122	104	251	123	187	282	133
Management AGREES to SEQ procedure (1+ returns) (C)	1733	219	29	78	234	69	112	91	222	118	183	256	122
Management AGREES to SEQ procedures but NIL returns (D)	232	28	8	15	53	30	10	13	29	5	4	26	11
Management DOES NOT AGREE (E)	330	57	9	21	34	8	22	24	45	20	25	47	18
	%	%	%	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	85.6	81.3	[80.4]	81.6	89.4	92.5	84.7	81.3	84.8	86.0	88.2	85.7	88.1
$\frac{C \times 100}{A}$	75.5	72.0	[63.0]	68.4	72.9	64.5	77.8	71.1	75.0	82.5	86.3	77.8	80.8
$\frac{D \times 100}{A}$	10.1	9.2	[17.4]	13.2	16.5	28.0	6.9	10.2	9.8	3.5	1.9	7.9	7.3
$\frac{E \times 100}{A}$	14.4	18.8	[19.6]	18.4	10.6	7.5	15.3	18.8	15.2	14.0	11.8	14.3	11.9

Table 5-17: Cross-section - number of SEQs placed and returned

	TOTAL	NUMBER OF EMPLOYEES AT TIME OF INTERVIEW								
		5 – 9	10 – 24	25 – 49	50 – 99	100 – 199	200 – 499	500 – 999	1000 – 1999	2000+
Base: total number of SEQs placed (A)	41323	1493	5931	7238	6655	6141	6417	3125	1948	2375
Number placed in workplaces from which at least one productive SEQ received (B)	37012	1174	4891	6368	5973	5791	5942	2900	1823	2150
Number placed in workplaces from which no productive SEQs received (C)	4311	319	1040	870	682	350	475	225	125	225
Total productive SEQs received (D)	22451	796	2868	3600	3606	3687	3662	1848	1094	1290
	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	89.6	78.6	82.5	88.0	89.8	94.3	92.6	92.8	93.6	90.5
$\frac{C \times 100}{A}$	10.4	21.4	17.5	12.0	10.2	5.7	7.4	7.2	6.4	9.5
$\frac{D \times 100}{A}$	54.3	53.3	48.4	49.7	54.2	60.0	57.1	59.1	56.2	54.3
$\frac{D \times 100}{B}$	60.7	67.8	58.6	56.5	60.4	63.7	61.6	63.7	60.0	60.0

Table 5-18: Cross-section - agreement to Survey of Employee procedure by SIC major group

	TOTAL	SIC (2003): MAJOR GROUPS											
		D Manufacturing	E Electricity, gas, water	F Construction	G Wholesale & retail	H Hotels & restaurants	I Transport & communications	J Financial services	K Other business services	L Public admin	M Education	N Health	O Other community services
Base: total number of SEQs placed (A)	41323	5545	881	2002	5349	1873	2842	2035	4904	2914	4364	6112	2502
Number placed in workplaces from which at least one productive SEQ received (B)	37012	4994	706	1689	4405	1336	2617	1862	4436	2800	4285	5571	2311
Number placed in workplaces from which no productive SEQs received (C)	4311	551	175	313	944	537	225	173	468	114	79	541	191
Total productive SEQs received (D)	22451	3225	460	1030	2257	540	1422	1331	2727	1970	2764	3362	1363
	%	%	%	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	89.6	90.1	80.1	84.4	82.4	71.3	92.1	91.5	90.5	96.1	98.2	91.1	92.4
$\frac{C \times 100}{A}$	10.4	9.9	19.9	15.6	17.6	28.7	7.9	8.5	9.5	3.9	1.8	8.9	7.6
$\frac{D \times 100}{A}$	54.3	58.2	52.2	51.4	42.2	28.8	50.0	65.4	55.6	67.6	63.3	55.0	54.5
$\frac{D \times 100}{B}$	60.7	64.6	65.2	61.0	51.2	40.4	54.3	71.5	61.5	70.4	64.5	60.3	59.0

Table 5-19: Cross-section - reasons for not agreeing to Survey of Employee procedures

Base:	TOTAL	
All productive workplaces	2295	
	No.	%
Management agrees to SEQ procedures	1965	85.6
Management does not agree	330	14.4
Reason:		
No computer files available	19	0.8
Computer files available but not for complete establishment	7	0.3
Refusal: too much trouble	29	1.3
Refusal: unwilling to ask employees	129	5.6
Refusal: Just done their own staff survey/ about to do staff survey	24	1.0
Refusal: WERS already taken up too much time	24	1.0
Refusal: "data protection" reasons	18	0.8
Refusal: not good time	16	0.7
Other reasons	64	2.8

5.4 Cross-section: response to the Financial Performance Questionnaire (FPQ)

In order to calculate the true response rate for the FPQ it is necessary to know exactly how many FPQs were placed, and how many returned. Unfortunately, for the reasons described below, it is not known exactly how many FPQs were placed, and therefore some assumptions have to be made in order to calculate the response rate.

According to the Cross-section of Managers data, FPQs were placed in 2058 workplaces. However, 11 FPQs were returned from workplaces for which the MQ data indicated that an FPQ had not been placed. (It is possible that there are more workplaces at which FPQs were placed but this fact was not recorded in the MQ data.)

In addition, during fieldwork a number of workplaces returned organisation-level FPQs. This was expected and was specifically provided for, both on the questionnaire itself and in the procedures that allowed head offices to provide a single FPQ for their whole organisation. A small number of these organisation-level FPQs were spotted by the operations team in Brentwood and correctly attributed to all of the participating MQs from that organisation, but a number were not identified until the data had been passed to the sponsors.

A further 17 organisation-level FPQs were identified by sponsors, some of which were from very large organisations that have large numbers of workplaces in the sample. Matching these data to the productive MQs has produced an additional 49 FPQ cases. Seven of these were matched to MQs where an FPQ was not recorded as having been placed, raising the total number of workplaces where FPQs appear to have been placed to 2076.

In order to calculate the response rates, the following assumptions have been made:

Total number of FPQs placed: 2076

This is comprised of the following:

Those identified in MQ data:	2058
Plus eleven additional cases not identified in MQ data:	11
Plus seven additional cases identified by sponsors:	7

NB: It is possible that this figure is an under-estimate of the actual number of FPQs placed.

Total number of FPQs returned: 1070

This is comprised of the following:

Cases received prior to fieldwork cut-off:	1010
Additional cases inadvertently excluded during editing:	9
Additional cases received after fieldwork cut-off:	1
Additional cases arising from organisational-level FPQs identified by sponsors:	50

FPQ response rate based on total number of FPQs placed: 51.5%

FPQ response rate as a proportion of productive MQs: 46.6%

There were variations in the response rate for the FPQ by size: response was higher among those establishments with 5–9 employees, and those with 200 or more employees (Table 5-20). There were also variations in response by industry (Table 5-21).

Table 5-20: Financial Performance Questionnaire - response by size of establishment (IDBR)

	TOTAL	NUMBER OF EMPLOYEES (IDBR)								
		5 – 9	10 – 24	25 – 49	50 – 99	100 – 199	200 – 499	500 – 999	1000 – 1999	2000+
Base: all productive (A)	2295	233	414	334	308	287	303	168	103	145
FPQ placed (B)	2076	230	316	295	267	247	309	164	105	143
Total productive FPQs (C)	1070	123	137	144	132	133	170	89	56	86
	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	90.5	98.7	76.3	88.3	86.7	86.1	102.0	97.6	101.9	98.6
$\frac{C \times 100}{A}$	46.6	52.8	33.1	43.1	42.9	46.3	56.1	53.0	54.4	59.3
$\frac{C \times 100}{B}$	51.5	53.5	43.4	48.8	49.4	53.8	55.0	54.3	53.3	60.1

Table 5-21: Financial Performance Questionnaire - response by SIC major group

	TOTAL	SIC (2003): MAJOR GROUPS											
		D Manufacturing	E Electricity, gas, water	F Construct- ion	G Wholesale & retail	H Hotels & restaurants	I Transport & communic- ations	J Financial services	K Other business services	L Public admin	M Education	N Health	O Other community services
Base: all productive (A)	2295	304	46	114	321	107	144	128	296	143	212	329	151
FPQ placed (B)	2076	287	40	104	287	94	111	102	279	130	202	299	141
Total productive FPQs (C)	1070	154	24	55	136	31	47	49	142	73	125	158	76
	%	%	%	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	90.5	94.4	[87.0]	91.2	89.4	87.9	77.1	79.7	94.3	90.9	95.3	90.9	93.4
$\frac{C \times 100}{A}$	46.6	50.7	[52.2]	48.2	42.4	29.0	32.6	38.3	48.0	51.0	59.0	48.0	50.3
$\frac{C \times 100}{B}$	51.5	53.7	[60.0]	52.9	47.4	33.0	42.3	48.0	50.9	56.2	61.9	52.8	53.9

5.5 Panel: Overall response among management respondents

The overall yield of interviews from the total sample of 1,479 local units that were selected for the Panel sample by the methodology described in Section Two: 2.4, was 64.6%.

Of the issued sample, 232 (15.7%) were classified as out of scope. Of these:

- 138 had closed down
- 37 were not eligible for interview as the number of employees had fallen below the threshold for interview of 10 employees
- 28 were classified as out of scope because the premises were found to be derelict, vacant or demolished or because the selected establishment had moved and could not be traced. As in the Cross-section, all cases that interviewers were not able to trace were referred back to the research team who used business directories and the internet to try to trace establishments.
- 29 cases were ineligible for other reasons, such as not being an establishment.

The total number of cases that were eligible and in scope was therefore 1247. Of these, 956 cases resulted in a productive interview, giving a response rate of 76.7%.

Table 5-22 gives the detailed breakdown of productive and unproductive outcomes for the Panel sample. Table 5-23 shows the variation in response rate by the size of establishment in 1998, Table 5-24 shows the variation in response rate by Government Office Region in 1997/8, and Table 5-25 shows the variation in response rate by industry.

Table 5-26 tabulates the extent to which the size of establishments changed between 1997/8 and 2004/5. Over half (53%) of establishments remained in the same size band. 24.7% of establishments were at least one size band higher in 2004/5, and the remaining 22.3% were at least one size band smaller.

Table 5-22: Panel - overall response

	No.	%	No.	%
Total interviews achieved in 1990	2191			
Excluded from the survey	712			
Selected sample		100%	1479	100
Not traced	9	<0.1%		
Closed down	138	9.3%		
Premises derelict/ vacant/ demolished	19	1.3%		
Fewer than 10 employees	37	2.5%		
Other ineligible (inc. 1998 unit not an establishment)	29	2.0%		
Total ineligible/ out of scope			232	15.7%
TOTAL ELIGIBLE AND IN SCOPE			1247	100
Claimed prior refusal to NatCen / DTI	44	3.5%		
Refusal by Head office/ regional office	34	2.7%		
Contact made, person refused	97	7.8%		
Total refusal			175	14.0%
Never available	39	3.1%		
Broken appointment - no recontact	9	<0.1%		
Total non contact			48	3.8%
Other reason (inc. ran out of time)	68	5.5%		
Total other unproductive			68	5.5%
TOTAL UNPRODUCTIVE CASES			291	23.3%
Productive at selected establishment	860	69.0%		
Productive at head office	96	7.7%		
TOTAL PRODUCTIVE INTERVIEWS			956	76.7%

Table 5-23: Panel - response by size of establishment in 1997/8

	TOTAL	NUMBER OF EMPLOYEES (1997/8)							
		10 - 24	25-49	50-99	100-199	200-499	500-999	1000-1999	2000 +
Base: All issued (A)	1479	176	267	265	261	308	124	49	29
Out of scope (B)	232	49	57	30	36	34	16	6	4
Unproductive (C)	291	28	54	47	52	72	24	12	2
Productive (D)	956	99	156	188	173	202	84	31	23
	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	15.7	27.8	21.3	11.3	13.8	11.0	12.9	[12.2]	[13.8]
$\frac{D \times 100}{(C+D)}$	76.7	78.0	74.3	80.0	76.9	73.7	77.8	[72.1]	[92.0]

Table 5-24: Panel - response by Government Office Region in 1997/8

	TOTAL	GOVERNMENT OFFICE REGION 1997/8										
		1 North East	2 North West	3 Yorkshire & The Humber	4 East Midlands	5 West Midlands	6 East of England	7 London	8 South East	9 South West	10 Scotland	11 Wales
Base: all issued (A)	1479	67	139	118	99	141	158	198	198	120	145	70
Out of scope (B)	232	13	16	17	13	27	24	37	36	15	28	2
Unproductive (C)	291	11	25	26	17	20	31	40	37	28	32	19
Productive (D)	956	43	98	75	69	94	103	121	125	77	85	49
	%	%	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	15.7	19.4	11.5	14.4	13.1	19.1	15.2	18.7	18.2	12.5	19.3	2.9
$\frac{D \times 100}{(C+D)}$	76.7	79.6	79.7	74.3	80.2	82.5	76.9	75.2	77.2	73.3	72.6	72.1

Table 5-25: Response by SIC 92 major groups

	TOTAL	SIC (92): MAJOR GROUPS											
		D Manufacturing	E Electricity, gas, water	F Construct- ion	G Wholesale & retail	H Hotels & restaurants	I Transport & communic- ations	J Financial services	K Other business services	L Public admin	M Education	N Health	O Other community services
Base: all issued (A)	1479	192	62	69	220	93	86	75	155	122	153	164	88
Out of scope (B)	232	35	10	10	35	15	19	18	38	9	3	32	8
Unproductive (C)	291	29	26	12	75	25	11	15	32	16	23	17	10
Productive (D)	956	128	26	47	110	53	56	42	85	97	127	115	70
	%	%	%	%	%	%	%	%	%	%	%	%	%
$\frac{B \times 100}{A}$	15.7	18.2	16.1	14.5	15.9	16.1	22.1	24.0	24.5	7.4	2.0	19.5	9.1
$\frac{D \times 100}{(C+D)}$	76.7	81.5	50.0	79.7	59.5	67.9	83.6	73.7	72.6	85.8	84.7	87.1	87.5

Table 5-26: Change in number of employees 1997/8: 2004/5

	TOTAL	NUMBER OF EMPLOYEES (2004)							
		10 - 24	25-49	50-99	100-199	200-499	500-999	1000-1999	2000 +
Base: all productive	956	100	177	159	177	188	85	36	33
Number of employees in 1998									
10 - 24	99	58	28	5	5	2	1	0	0
25-49	156	26	92	33	4	0	0	1	0
50-99	188	6	46	83	44	6	3	0	0
100-199	173	5	8	34	83	37	4	1	1
200-499	202	5	1	3	36	120	26	6	5
500-999	84	0	1	0	4	20	42	13	3
1000-1999	31	0	0	1	0	3	7	12	8
2000+	23	0	1	0	1	0	2	3	16

5.6 Response to the Panel Screening

84.1% of the establishments in the Panel Screening sample were found to be valid establishments, i.e. they were continuing in existence, and had ten or more employees at the time of screening. 9.7% of the establishments had closed down and 3.1% were continuing with fewer than ten employees. Final outcomes could not be determined for a further 1.4%.

Over half (56.3%) of the Panel Screening sample was under the same ownership and operating at the same address as in 1998. 9.6% of establishments were operating at the same address as in 1998, but had changed ownership, and 10.4% were under the same ownership, but had moved. 3.9% had changed both ownership and address. A further 3.9% of establishments were found to be in existence, but their ownership could not be determined.

Table 5-27, 5-28 and 5-29 show the outcomes of the Panel Screening, broken down by the size of establishment in 1998, and the Government Office Region in 1998, and SIC (92) major group in 1998.

Table 5-27: Panel screening - response by size of establishment in 1997/8

	TOTAL		NUMBER OF EMPLOYEES (1997/8)															
			10 - 24		25-49		50-99		100-199		200-499		500-999		1000-1999		2000 +	
Base: All issued (A)	712		85		129		128		126		148		60		23		12	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
Out of scope:																		
Cannot determine continuity	8	1.1	1	1.2	1	0.8	3	2.3	2	1.6	1	0.7	0	0.0	0	[0.0]	0	.
No trace of establishment	10	1.4	1	1.2	5	3.9	2	1.6	1	0.8	1	0.7	0	0.0	0	[0.0]	0	.
Closed down/ vacant	69	9.7	8	9.4	17	13.2	12	9.4	10	7.9	19	12.8	2	3.3	0	[0.0]	1	.
< 10 employees	22	3.1	10	11.8	5	3.9	2	1.6	3	2.4	1	0.7	1	1.7	0	[0.0]	0	.
Continuing establishments:																		
Same owner and same address	401	56.3	46	54.1	71	55.0	64	50.0	73	57.9	88	59.5	38	63.3	13	[56.5]	8	.
Different owner but same address	68	9.6	7	8.2	9	7.0	24	18.8	13	10.3	8	5.4	4	6.7	1	[4.3]	2	.
Same owner but different address	74	10.4	8	9.4	12	9.3	12	9.4	16	12.7	16	10.8	5	8.3	3	[13.0]	1	.
Different owner and different address	28	3.9	2	2.4	7	5.4	5	3.9	3	2.4	5	3.4	5	8.3	1	[4.3]	0	.
Other valid establishment	28	3.9	2	2.4	1	0.8	4	3.1	5	4.0	8	5.4	4	6.7	4	[17.4]	0	.
All information refused	4	0.6	0	0.0	1	0.8	0	0.0	0	0.0	1	0.7	1	1.7	1	[4.3]	0	.

Table 5-28: Panel screening - response by Government Office Region in 1997/8

	GOVERNMENT OFFICE REGION 1997/8																							
	Total		North East		North West		Yorkshire & The Humber		East Midlands		West Midlands		East of England		London		South East		South West		Scotland		Wales	
Base: All issued (A)	712		38		71		49		63		54		65		113		94		56		69		27	
Out of scope:	No	%	No	%	No	%	No	%	No	%	No	%	No	%	No	%	No	%	No	%	No	%	No	%
Cannot determine continuity	8	1.1	1	[3]	0	0	0	[0]	2	3.2	0	0	1	1.5	2	1.8	2	2.1	0	0	0	0	0	[0]
No trace of establishment	10	1.4	0	[0]	2	2.8	0	[0]	0	0	1	1.9	0	0	2	1.8	2	2.1	0	0	2	2.9	1	[4]
Closed down/vacant	69	9.7	3	[8]	6	8.5	2	[4]	4	6.3	5	9.3	6	9.2	16	14.2	9	9.6	7	12.5	8	11.6	1	[4]
< 10 employees	22	3.1	0	[0]	2	2.8	1	[2]	3	4.8	3	5.6	3	4.6	1	0.9	5	5.3	2	3.6	0	0	2	[7]
Continuing establishments:																								
Same owner and same address	401	56.3	20	[53]	38	53.5	28	[57]	36	57.1	28	51.9	41	63.1	66	58.4	46	48.9	34	60.7	39	56.5	18	[67]
Different owner but same address	68	9.6	5	[13]	8	11.3	5	[10]	5	7.9	6	11.1	5	7.7	10	8.8	11	11.7	6	10.7	5	7.2	1	[4]
Same owner but different address	74	10.4	3	[8]	10	14.1	8	[16]	8	12.7	7	13.0	8	12.3	5	4.4	7	7.4	2	3.6	12	17.4	2	[7]
Different owner and different address	28	3.9	2	[5]	2	2.8	1	[2]	3	4.8	1	1.9	1	1.5	6	5.3	4	4.3	2	3.6	3	4.3	2	[7]
Other valid establishment	28	3.9	4	[11]	2	2.8	3	[6]	1	1.6	3	5.6	0	0.0	5	4.4	7	7.4	3	5.4	0	0	0	[0]
All information refused	4	0.6	0	[0]	1	1.4	1	[2]	1	1.6	0	0	0	0	0	0	1	1.1	0	0	0	0	0	[0]

Table 5-29: Panel screening - response by SIC 92 in 1997/8

Base: All issued (A)	TOTAL		SIC92 (FROM WERS 98 INTERVIEW)																									
			D Manufacturing		E Electricity, gas, water		F Construction		G Wholesale & retail		H Hotels & restaurants		I Transport & communications		J Financial services		K Other business services		L Public admin		M Education		N Health		O Other community services			
	712		85		22		42		114		37		52		28		70		67		83		81		31			
Out of scope:	No	%	No	%	No	%	No	%	No	%	No	%	No	%	No	%	No	%	No	%	No	%	No	%	No	%	No	%
Cannot determine continuity	8	1.1	1	1.2	0	.	0	[0]	1	0.9	2	[5]	0	0	1	[4]	2	2.9	0	0	0	0	0	0	0	0	1	[3]
No trace of establishment	10	1.4	3	3.5	0	.	0	[0]	3	2.6	0	[0]	0	0	1	[4]	2	2.9	0	0	0	0	1	1.2	0	[0]	0	[0]
Closed down/ vacant	69	9.7	16	18.8	7	.	6	[14]	9	7.9	1	[3]	8	15.4	5	[18]	6	8.6	0	0	3	3.6	7	8.6	1	[3]	0	[0]
< 10 employees	22	3.1	2	2.4	1	.	1	[2]	5	4.4	4	[11]	2	3.8	0	[0]	6	8.6	1	1.5	0	0	0	0	0	[0]	0	[0]
Continuing establishments:																												
Same owner and same address	401	56.3	33	38.8	8	.	20	[48]	69	60.5	20	[54]	21	40.4	12	[43]	35	50.0	46	68.7	67	80.7	49	60.5	21	[68]	0	[0]
Different owner but same address	68	9.6	12	14.1	0	.	6	[14]	10	8.8	8	[22]	3	5.8	3	[11]	5	7.1	2	3.0	6	7.2	11	13.6	2	[7]	0	[0]
Same owner but different address	74	10.4	5	5.9	1	.	8	[19]	8	7.0	1	[3]	11	21.2	1	[4]	8	11.4	14	20.9	6	7.2	7	8.6	4	[13]	0	[0]
Different owner and different address	28	3.9	6	7.1	2	.	1	[2]	3	2.6	0	[0]	5	9.6	1	[4]	4	5.7	0	0	1	1.2	4	4.9	1	[3]	0	[0]
Other valid establishment	28	3.9	7	8.2	1	.	0	[0]	4	3.5	1	[3]	2	3.8	4	[14]	2	2.9	4	6.0	0	0	2	2.5	1	[3]	0	[0]
All information refused	4	0.6		0.0	2	.	0	[0]	2	1.8	0	[0]	0	0	0	[0]	0	0	0	0	0	0	0	0	0	[0]	0	[0]

6 CODING & EDITING OF DATA

6.1 Introduction

Coding and editing of the questionnaires was carried out at NatCen's operations offices in Brentwood, by an experienced Data Processing (DP) team. There was continuous involvement from the research team of the funding organisations as well as NatCen's researchers. The Fact Sheets and batches of data on disks were sent to NatCen's London office so researcher editing could take place there. This involved replicating the editing facilities available in Brentwood at the London office, including installing the edit program on a number of laptop PCs and researcher's PCs and ensuring all editing materials were readily available. There was a considerable operation necessary to prepare the data, which involved members of the research team from the funding organisations making regular day-long visits mostly to NatCen's London Office and at the beginning and end of the coding and editing period to Brentwood. This is described under five headings:

- The Fact Sheets and Editing of questionnaires;
- Standard Industrial Classification (SIC) & Standard Occupational Classification (SOC)
- Coding of open and 'other specify' answers;
- Issues concerning interviews with employee representatives;
- Overcodes.

6.2 The Fact Sheets and editing of questionnaires

6.2.1 General

It was important to be alerted at the earliest moment to cases where there was an apparent mismatch between the sampled size or SIC classification of the sampled establishment and the information obtained within the interview. In such cases the interviewer might have interviewed at the wrong establishment or about the wrong set of employees.

Such cases could only be resolved by researchers after investigation. For this reason, as previously used in WERS 98 '**Fact Sheets**' were the main basis and forum for editing the questionnaires. Summary sheets were also used for each batch at the researcher stage of editing to record any checks resolved by researchers or any recodes made. These sheets were also used by NatCen researchers to refer any checks or recodes to researchers from the funding organisations.

A Fact Sheet was created for each productive interview, and used at each stage of the editing process. It contained an array of information taken from the sample set-up files (the IDBR in the case of the Cross-section Survey, or 1998 Survey data in the case of the Panel) and data collected at the interview. Also printed on the Fact Sheet were the Notepad comments keyed in during the interview by the interviewer. Specimen Fact Sheets are included in Section Nine.

The first stage of the editing process consisted of the editing team at Brentwood coding the semi-open questions and recording the codes on the Fact Sheets. Any codes

needing to be checked by the research team or that the editing team could not decide upon, would be flagged to researchers on the Fact Sheets. The Brentwood editors also recorded the SOC(2000) code and SIC(92) and SIC(2003) codes, and once again flagged any cases needing to be checked by the research team on the Fact Sheets.

Stage two of the editing process consisted of the in-house editing of the questionnaires. This consisted of resolving a number of checks that came up in the CAPI called 'Office checks'. These were checks on the internal consistency of the data which could, in most cases, be resolved by the office team at Brentwood. In most cases where they were triggered the Brentwood office team were required to refer to the paper EPQ/BWDS to see whether the discrepancy was due to an answer being incorrectly transferred from the paper document to the CAPI questionnaire. There were also a number of edit checks relating to the coding of the largest occupational group and Standard Industry Classification. Office checks were not programmed to be displayed on the Fact Sheets, however the office team would use the Fact Sheets to flag any queries they could not resolve from office checks to the researchers.

The third stage of the editing process consisted of researchers from NatCen and the funding organisations resolving any outstanding checks from stages 1 and 2, plus any further 'researcher checks'. These were checks on the internal consistency of the data which were likely to need some expert knowledge from researchers. Researcher checks were programmed to be displayed on the Fact Sheets, so that cases which failed the checks were automatically flagged 'Refer to Researcher'. The checks fell into two categories, those based on the EPQ/BWDS and those based on the rest of the questionnaire data. These checks also appeared in the CAPI edit programme during the researcher stage of editing the questionnaire.

6.2.2 Fact Sheet checks based on the EPQ/BWDS

As in WERS 98, the EPQ grid was a 45-cell matrix (see below). The CAPI program itself contained a number of checks to ensure that the data collected were as consistent as possible. There were, however, circumstances when it was not readily possible for the interviewer to resolve the inconsistency that activated the check during the course of the interview, and subsequently the check was suppressed. The Fact Sheet therefore listed those interview checks that had been suppressed.

It is worth commenting on these checks in more detail although full information on all the checks and editing is covered in the WERS 2004 Main Survey Editors codebook V4c and WERS 2004 Panel Survey Editors codebook V3 (WERS 2004 Documentation Volume 4 and Volume 5).

The interview checks, which were visible on the Fact Sheet, were as follows:

- a check if the four subtotals (full-time male and female workers plus part-time male and female workers) did not equal the total number of employees. This was labelled 'Researcher Check 6';
- a check if the nine occupational totals did not sum to the total number of employees. This was labelled 'Researcher Check 5'.

The reasons why these checks might have been suppressed can broadly be placed into two categories: managers completing the EPQ did not have sufficient information, therefore forcing the interviewer to record a 'refusal', 'don't know' or a '1' in the total column of the largest occupational group and zeros in the rest of the grid; and, errors in

transcribing the data from the paper version of the EPQ to the CAPI computer programme.

It was imperative that these discrepancies were resolved as the information in these cells contained what the researchers called 'core information' that was essential for each workplace.

Figure 1- EPQ grid

						TOTAL Employees	
		FULL TIME		PART TIME		Total	
		Male	Female	Male	Female		
		45	15	1	1	62	
		FULL TIME		PART TIME		Total	out
		Male	Female	Male	Female		
Managers		4	3	0	0	7	0
Profes		2	2	1	0	5	0
Ass.		3	0	0	0	3	0
Admin		0	3	0	1	4	0
Skilled		12	0	0	0	12	0
Caring		10	5	0	0	12	3
Sales		5	0	0	0	5	0
Operative		8	0	0	0	8	0
Unskilled		1	0	0	0	1	0
out		0	2	0	0	2	3
						5 OUT	
						SCOREA =8	

For example, it was essential to have the number of part-time employees as this group, as a proportion of the entire workforce, is an important break variable used to analyse the rest of the data. In the few cases where these checks were suppressed, further investigation was carried out by the research team, sometimes by contacting the interviewer responsible for the case or the managerial respondent and the matter resolved.

The Fact Sheet was also used to consider any further discrepancies within the rest of the employment grid. An algorithm was devised to add up each row and column in the matrix, and total the amount that this sum deviated from the numbers in the total boxes. This was defined as 'OUT' and divided by the total number of employees to give 'iScoreA' displayed on page four of the edit program. The value of 'iScoreA' was printed on the Fact Sheet as 'ScoreA', a percentage, along with notification of which row/column did not add up (see 'OUT' in example above). Thus, at the bottom of each column, and the end of each row was a figure that was '0' if the figures in the rows and columns equalled their subtotal. If the figures in one column were two short of the column total, and one of the rows was three greater than the row total, then an OUT score of five was recorded and expressed as a percentage of the total number of employees on the fact sheet (ScoreA). If the total number of employees at the workplace (ZALLEMPS) was less than 100, any ScoreA greater than 20% was automatically referred to researchers; if ZALLEMPS was 100 – 499 any ScoreA greater than 15% was referred to researchers; and if ZALLEMPS was greater or equal to 500 any ScoreA greater than 10% was referred to researchers.

Researchers changed the EPQ data on some occasions, but only if it was fairly clear why the figures did not add up. The 'A score' occasionally pointed to a particular cell where the interviewer may have copied the data into the wrong cell, or, alternatively, transposed some numbers.

The fact sheet checks on the BWDS data in the Panel Survey were much simpler since the occupational grid only contained cells for the total number of employees for each occupational group. There were two such researcher BWDS checks included on the Fact Sheets. Both identified queries that had been suppressed during the course of the interview. The first checked that the male/female and full-time/part-time totals equalled the total number of employees at the establishment (Researcher Check three); the second checked that the sum of employees in each occupational group also equalled the total number employed at the establishment (Researcher Check two).

6.2.3 Fact Sheet checks on the remainder of the interview data

Not only was the Fact Sheet the mechanism to check the internal consistency of the EPQ and BWDS, a number of other answers from the questionnaire were also included. Some of these were simply useful pieces of information to help in the initial edit. Other pieces of information were included because checks had been designed around them. In total there were 33 such checks on the Cross-section Survey (including checks five and six already described) and 11 researcher checks on the Panel Survey (including checks two and three already described). These checks were put on the Fact Sheet and appeared in the CAPI when the researcher editing was switched on because researchers, rather than editors would need to be involved in their resolution. For the Panel Survey there were also three additional checks that were part of the Blaise edit programme and only displayed on the fact sheets rather than also within the CAPI edit. These checks involved comparisons between key data within the 1998 and 2004 interviews.

The checks on the Cross-section questionnaires (management and employee representative) served a variety of purposes. A full list of the checks employed on the Cross-section Survey is contained within the WERS 2004 Main Survey Editors codebook V4c (WERS 2004 Documentation Volume 4). Researcher checks in the MQ were included to ensure that the MQ interview was in scope, taking place at the selected establishment and that its breakdown of employees had been accurately recorded. On the Cross-section Survey virtually all but a handful of cases were 'Referred to researcher'. Many of these were due to 'check two' in the MQ interview, which compared the total number of employees on the EPQ with the figure shown on the IDBR. Plausible explanations for the differences were usually found either by looking at the nature of the industry and at evidence of recent changes in workplace size, checking interviewer notes, the sample file or the organisation's website or, in the last instance, telephoning either the interviewer or the respondent. Overcodes were used to note the findings of the research team, for example XCODE1 which identifies cases where EPQ data was completed with reference to the organisation to which the workplace belonged rather than the workplace itself.

Further MQ checks ensured that the status of the establishment had been correctly recorded, and that the JCC and union(s) recorded in the MQ were legitimate and operated for employees in the selected establishment.

There were also a number of checks for the WRQ, designed to ensure the employee representative interview was taking place with a 'bona fide' lay representative for the union identified in the MQ. When checks were sprung which indicated that this may not be the case e.g. the representative had recorded that he or she had not called a general meeting in the last year, the research team usually found evidence of the representative being active elsewhere in the CAPI and were usually able to suppress such checks.

Cases were referred to the research team for further investigation when the code at WAREPTYP did not match the code the interviewers were instructed to use at the beginning of the employee representative interview. The reasons why this happened could be divided into two categories. Firstly from the answers given by the MQ respondent an employee representative was required however no WRQ had taken place and the slot where it should have been in the CAPI was empty. A member of the NatCen research team determined whether this was empty because the WRQ had been refused or was pending. In many instances employee representative interviews would be pending when the employee representative was based out of the interviewer's (who did the MQ) area and therefore it would be in the process of being reallocated to another interviewer.

If the WRQ was not empty the research team examined the MQ and WRQ data to see whether the interview was conducted with the correct person. In some instances the interview had been conducted with the correct employee representative, but had been conducted in the incorrect slot and the procedure for dealing with these cases is explained in Section Six: 6.5. In other cases further investigation from the research team concluded that the interview had not been conducted with the correct person

The additional checks on the Panel Survey Fact Sheets served two purposes: firstly, to verify that the interviews had been carried out at a consistently defined establishment in both 1998 and 2004, and secondly, to identify outlying values or inconsistent data within the 2004 interview. Similar checks had been imposed on the previous Panel Surveys in the WERS series.

Checks on the validity of the surveyed unit in 2004 consisted of comparisons with the establishment's employment numbers, industry, workforce composition and union status in 1998. Cases were referred to researchers for further examination when the data showed substantial differences between the two time points, such as a large rise or fall in total employment at the establishment or a substantial shift in the balance between manual and non-manual employees. Checks on the internal consistency of the 2004 interview data consisted of tests on the plausibility of the occupational profile, the formal status of the establishment (i.e. public or private sector), the number of unions and the distribution of earnings, among others. A full list of the checks employed on the Panel Survey Fact Sheets is contained within the WERS 2004 Panel Survey Editors codebook V3 (WERS 2004 Documentation Volume 5).

Cases that were referred to the research team because of internal inconsistencies within the 2004 data were subject to further investigation and the data edited where appropriate. Overcodes were added where this editing involved changes to BWDS data. Overcodes were also added to cases in which further investigation generated continued concerns about the consistency of definition of the establishment, in order that the research team might be able to identify such establishments and resolve outstanding doubts about the validity of any comparison before beginning to analyse the data. The full range of overcodes used at this stage of the Panel Survey are outlined later in this Section (Six): 6.7.3.

Once the problems which had caused the case to be referred to the research teams were resolved, it was 'signed off' and sent back to the editors in the Data Processing team. Editing is a much simpler process in CAPI surveys because so much of the potential for error is removed at the design and testing stage. Whereas in a paper questionnaire it is difficult to correct internal inconsistencies at the time of the interview, within the CAPI programme such checks were possible. For example, if a management respondent said at one point in the interview that there was a consultative committee at the workplace, but elsewhere did not refer to it, at the relevant point in the

interview the interviewer would be made aware of this inconsistency and asked to clarify. This feature of CAPI, combined with the way that the Fact Sheets were used as the major medium for editing the questionnaires, resulted in a highly efficient editing process being applied to all productive cases. Even the notes and remarks left by an interviewer in the questionnaire were printed on the Fact Sheet and looked at whilst editing the questionnaire. Where relevant, rules and guidance were adopted in the light of such comments. For example it was noticed early on in the editing process that a significant number of interviewer notes at the variable IMATWKS¹⁷ said something similar to “whatever the statutory entitlement is” but the respondent had already answered “Yes” at the variable IMATFULL¹⁸. NatCen researchers were instructed to flag such cases to the researchers from the funding organisations to recode outside of the edit programme.

6.3 Standard Industrial Classification (SIC) & Standard Occupational Classification (SOC)

All addresses sampled by the Office for National Statistics and issued for the Cross-section Survey had already been classified according to the UK Standard Industrial Classification of Economic Activities (SIC 2003). Five digit codes had been used.

Cross-section Survey respondents were asked at the beginning of the interview about the ‘main activity’ at their establishments. Their answers were printed out on the Fact Sheets and independently coded at Brentwood to SIC(92) and SIC(2003). Discrepancies between the ONS classification and NatCen’s coding at the 2-digit level were investigated by researchers as part of the editing process. The most common cause of discrepancy was that the IDBR classification referred to the organisation’s activity, which could differ markedly from the activity of the local establishment that was the subject of the interview. Where a plausible explanation could not be found from looking at the Fact Sheet, the activity of the establishment was further investigated on the internet and in a small number of cases interviewers were telephoned for further explanation, or respondents were telephoned and asked to clarify the nature of their activity. In these cases it was not unusual to find an establishment involved in more than one activity and internet searching and probing brought about the clarification needed.

In WERS 98 the Panel sample had been coded to the then previous Standard Industrial Classification - SIC(92). In WERS 2004 the interview Panel data was coded to SIC(92) and SIC(2003). Any discrepancies between the SIC(92) codes recorded in 1998 and 2004 were given particular attention as part of the editing process.

The classification of employees in the Cross-section Survey (the EPQ) was based on the Standard Occupational Classification (SOC)2000. Managers were asked to classify the employees of the establishment into the nine ‘Major Groups’ (1. Managers and Senior Officials9. Routine Unskilled Occupations). The computer automated certain sections of the questionnaire so that they related to whichever of these groups was the largest (i.e. most numerous) at the establishment - apart from management. In addition, computer checks ensured that respondents could not, for example, answer ‘the sales staff’ to a particular question, if on the EPQ, no sales staff had been entered. Managers were also asked to describe the main tasks and activities of the largest occupational group identified at the workplace and their answers were coded to SOC

¹⁷ IMATWKS ‘How many weeks of maternity leave would be paid at the employee’s normal, full rate of pay?’

¹⁸ IMATFULL ‘Would any female employees going on maternity leave from this workplace receive their normal, full rate of pay?’

2000. Any SOC code not corresponding with the placement of the largest occupational group on the EPQ was investigated by the research team. Considerable effort was made to ensure consistency between the SOC 2000 code and the placement of the largest occupational group on the EPQ.

In WERS 98, the classification of employees on the BWDS used the nine Major Groups of the 1990 SOC. The BWDS in WERS 2004 retained this classification. The detailed description of the work undertaken by the largest occupational group (at ZSOCDESC) was coded to both SOC90 and SOC2000. Any discrepancies between the SOC90 codes given for the largest occupational group in 1998 and 2004 were investigated as part of the editing process.

6.4 Coding of open and 'other specify' questions

Apart from the SOC and SIC coding the number of verbatim questions to be coded was as follows:

	Cross-section	Panel
'Other specify'	69	8
'Open'	5	1

The frames for coding these answers were developed by the research teams from the funding organisations from complete listings printed out from the Blaise program for substantial numbers of questionnaires (133 Cross-section; 248 Panel). During the preparation of the frame, discussions were held with the NatCen research team. The two code frame books, listing the code frames in complete detail, are included in the WERS 2004 Documentation (Volumes 4 and 5).

Coding of open text questions was not done 'inside' the Blaise questionnaire edit program. The methodology involved the stripping of all relevant answers from the questionnaires and assembling them in Excel files, one file per question. This was advantageous because coding could be done intensively, one question at a time, rather than one questionnaire at a time. But unlike in WERS 98, this procedure was not used to code 'other specify' text, the coding of which was done in the Blaise edit programme, one questionnaire at a time. On the Cross-section and Panel Survey doing the coding in the edit programme worked well, and it enabled the coder to consult other answers in the questionnaire to aid the back coding of the less straight forward cases. Numerical information could if necessary be considered and amended in tandem with verbatim answers.

Coding of 'other specify' text was conducted by the editing team at Brentwood. In another departure from WERS 98, the codes deriving from this process were not back-coded into the originating variable. Instead, they were stored in new variables (beginning with the letter X and placed immediately after the originating question in the data sets). It is thus possible to distinguish those codes arising from 'other specify' responses from responses coded by the interviewer during the interview.

The coding of the three MQ and two WRQ open questions was carried out by the research and DP team. Once it was complete, the Excel files containing the codes were reintegrated with the main body of the questionnaire data.

6.5 Issues concerning interviews with employee representatives

There were nine WRQ checks performed in the Blaise edit programme which were designed to ensure the interview had taken place with the 'correct' employee representative and that the employee representative interviewed was active. On the opening screen of the employee representative interview the interviewer was given instructions as to which type of employee representative they should be interviewing, and instructed in the programme to enter a code 1-4¹⁹ to indicate who the WRQ would be with. If the code they were instructed to enter did not match the code they actually entered, the case was flagged for further investigation by the research team.

This mis-match of the expected and actual code to indicate the type of WRQ which took place was further investigated by the research team, and for 56 cases it was found that the interview had been conducted with the correct employee representative but, because of mis-coding at WAREPTYP, had been conducted in the wrong slot (e.g. a union rep interviewed as if they were a non-union rep). These cases were noted and towards the end of the editing period recoded into the correct slots. Members of the funding organisations transferred all of the WRQ data to the correct slot in one go for each case in turn. The majority of such cases were done over a 2-day period at Brentwood. Details of these recodes are provided in the list of overcodes in Section Six: 6.6.2.2. In hindsight, a check on WAREPTYP may have avoided some of these cases.

Another factor that was identified as a cause of some difficulty for interviewers was when the management respondent simply led the interviewer to the wrong employee representative. If interviewers did feel that the wrong employee representatives had been interviewed, it was often not until the end of the interview that this concern was expressed (evidenced by a comment on the Fact Sheet). These workplaces or the interviewers who had conducted the WRQ were contacted in order to provide further explanatory information and, where practicable, the problems resolved. In some cases, there was no alternative but to discard the interview.

6.6 Overcodes

6.6.1 General

Overcodes are variables that serve two purposes in the WERS datasets. They identify cases where a (major) change has been made to an interview after its completion, or where the research team had reason to be concerned about a particular set of responses. These overcodes were decided during the editing of the data and were added after the National Centre for Social Research handed over the data by the funding research teams. Researchers using either the Cross-section or Panel datasets should take note of the codes, and it is left to their own discretion whether or not they chose to use the data in these cases.

¹⁹ 1 – Representative of the largest recognised trade union; 2 – Representative of the largest non-recognised trade union; 3 – Representative of joint committee dealing with widest range of issues ; 4 – Standalone, non-union employee representative.

6.6.2 Overcodes for the Cross-section sample

6.6.2.1 Overcodes for the Cross-section Survey of Managers

For the Cross-section Survey of Managers, **five** overcodes were used. They appear in the deposited data sets as XCODE1 to XCODE5.

XCODE1 identifies cases where EPQ data was completed with reference to the organisation to which the workplace belonged rather than the workplace itself. After the interview, the management respondent was re-contacted and asked to again complete the EPQ. Workplace data was only asked for questions 1,2,3 (total numbers of employees at each occupational group only) and 8. In addition, the research team checked that the data collected in the MQ interview referred to the workplace and not the organisation. 3 cases

XCODE2 identifies cases with the same problem as those with a XCODE1 flag, but where it was not possible to obtain EPQ data from the management respondent mainly because attempts at re-contacting them were unsuccessful within the allowed period of time. The research team checked the rest of the interview data to ensure it referred to the workplace and not the organisation, and then imputed site-level data from the IDBR for selected questions on the EPQ. 18 cases

XCODE3 identifies cases where the research team concluded off-site employees who were thought to report to the sampled establishment had been omitted from the EPQ (e.g. employees of a cleaning company who conduct their work at clients' sites) 9 cases

XCODE4 identifies cases where question 3 from the EPQ was not completed prior to the interview and where the largest occupational group of non-managerial employees (LOG) of the establishment was therefore not correctly identified. In these cases, responses to questions about the LOG within the main body of the interview were set to missing..... 4 cases

XCODE5 identifies cases where question 3 from the EPQ was once again not completed prior to the interview, however the LOG was correctly identified and therefore the LOG questions were retained..... 7 cases

6.6.2.2 Overcodes for WRQ

For the Survey of Employee Representatives **two** overcodes were used:

XCODE10 identifies cases where the employee representative interview took place with the second largest union of the establishment because the largest union had no employee representatives..... 2 cases

XCODE 11 identifies cases where WAREPTYP was incorrectly coded at the beginning of the interview, but recoded during editing by the funding research team. It takes the following values:

12 identifies cases where WAREPTYP was recoded from 1 to 2..... 9 cases

14 identifies cases where WAREPTYP was recoded from 1 to 4 2 cases

31 identifies cases where WAREPTYP was recoded from 3 to 1.....	8 cases
32 identifies cases where WAREPTYP was recoded from 3 to 2.....	1 case
34 identifies cases where WAREPTYP was recoded from 3 to 4	6 cases
41 identifies cases where WAREPTYP was recoded from 4 to 1.....	3 cases
43 identifies cases where WAREPTYP was recoded from 4 to 3.....	27 cases

6.6.3 Overcodes for Panel Survey

For the Panel Survey **eleven** overcodes were used:

XCODE1 identifies cases where the research team suspect the 1998 EPQ included employees not at the sampled establishment	8 cases
XCODE2 identifies cases where the research team suspect the 1998 EPQ excluded some employees at the sampled establishment.....	0 cases
XCODE3 identifies cases where the research team suspect the 2004 EPQ included employees not at the sampled establishment.....	7 cases
XCODE4 identifies cases where the research team suspect the 2004 EPQ excluded some employees at the sampled establishment.....	0 cases
XCODE5 identifies cases where the LOG was assigned to the incorrect SOC Major Group on the 1998 EPQ	18 cases
XCODE6 identifies cases where ZSCODE was incorrectly coded in 1998	3 cases
XCODE7 identifies cases where ASINGLE should have been coded 1 in 1998....	1 case
XCODE8 identifies cases where ASINGLE should have been coded 2 in 1998..	2 cases
XCODE9 identifies cases where ASIC was incorrectly coded in 1998	11 cases
XCODE10 identifies cases where ASTATUS should have been coded Private sector in 1998.....	5 cases
XCODE11 identifies cases where ASTATUS should have been coded Public sector in 1998.....	1 case

6.7 Editing of FPQs and SEQs

In addition to the main editing tasks described for Cross-section and Panel data, the FPQs and SEQs also underwent an editing process to ensure the data were as accurate and consistent as possible. For example there were a number of range checks used to ensure any data such as the number of hours an employee reported to work, which fell outside an expected range were referred to the editors. Editing of these questionnaires was carried out at NatCen's operations office in Brentwood, who checked against the paper questionnaires for scanning errors (SEQ) or punching errors (FPQ). Any editing queries which could not be resolved were referred to the research team, summarised in excel spreadsheets. Researchers from NatCen resolved SEQ queries and reviewed FPQ queries, referring any that they could not resolve to researchers from the funding organisations. Once the editing queries had been resolved, the research team instructed the editors at operations whether the data should be amended or left unchanged.

7 WEIGHTING THE CROSS-SECTION AND PANEL SAMPLES

The WERS samples (as described in Section Two) are *not* based on equal probability designs. The sampling fractions for selection of the Cross-section sample of establishments differ by IDBR employment size and SIC group, and the sampling fraction used to select the employee sample differs from establishment to establishment dependent on the actual (i.e. not IDBR) number of employees at the establishment.

The varying sampling fractions mean that the data has to be weighted if the survey is to give unbiased estimates, different sampling weights being needed for the Cross-section sample of establishments, the SEQ and the Panel Survey. In this section the calculation of these four sets of weights is described. In each case the weights are calculated as the inverse of the probability of selection. For the FPQ, SEQ and the Panel these 'inverse probability weights' are further adjusted in an attempt to reduce non-response bias.

In addition, for reasons set out in Section 7.1.3 below, the Cross-section Survey has been 'post-stratified' so that it matches the IDBR population distribution. To allow for comparison with WERS 98 a similar post-stratification has now been carried out with the WERS 98 Cross-sectional data. This is described in Section 7.1.5.

7.1 Weighting the Cross-section sample

7.1.1 *Weights for the sample of establishment – The basic 'Probability of selection'*

As was described in Section Two, the WERS 2004 sample of establishments was selected as a stratified random sample with a simple random sample being selected from strata defined in terms of employment size and SIC (as recorded on the IDBR). This means that the probability of selection per establishment can be selected very simply as:

$$P(\text{selection}) = (\text{number selected in stratum}) / (\text{IDBR records in stratum})$$

In principle, this is not strictly correct because, rather than selecting from the whole of the IDBR records per stratum, the WERS 98 sample was firstly excluded. This means that the strictly correct approach would be to calculate the probability, per 2004 IDBR record, that it was *not* selected for the WERS 98 survey and then to calculate:

$$P(\text{selection}) = (\text{number selected in stratum}) / (\text{IDBR records remaining after WERS 98 exclusions}) * p(\text{not selected for WERS 98})$$

Although this calculation *could* be done, in practice it would be complex yet would lead to only very tiny differences in the probabilities. The first approach has been adopted instead. This is equivalent to assuming that the WERS 98 exclusions per strata are essentially random.

7.1.2 *The probability of selection for establishments that are not IDBR local units*

Previous experience on WERS suggests that when selecting local units from IDBR there will be occasions when the establishment 'found' by the WERS interviewer will not match the IDBR local unit. Two scenarios were expected:

- cases where the IDBR local unit represented two or more establishments (aggregate units);
- cases where the IDBR local unit represented only a sub-section of an establishment (partial units).

In WERS 2004 18 aggregate units were identified, two during fieldwork (and with both declining to give an interview) and 16 during data editing. Because no sub-sampling was possible at this stage there was no change in the probability of selection. In practice this means that establishments that were not listed separately on the IDBR but were only represented on the IDBR through another establishment within their organisation could not have made it into the WERS sample. This is because only the address listed in the IDBR had any chance of being selected from among the establishments within the organisation. This will lead to a small bias in the WERS estimates.

A total of 44 partial units were identified. These were 'found' by checking all local units on the IDBR that were at the same postcode as a selected local unit and that were part of the same IDBR enterprise group. For those at the same postcode an assessment was made as to which (if any) of the extra local units needed to be added to the selected local unit to create 'the establishment'.

In these 44 cases, the establishment clearly had several chances of selection for WERS 2004. Based on the strata for each of the 'added' local units, the true probability of selection for the establishment was calculated accordingly.

As noted earlier, having estimated the probability of selection for each establishment, the (initial) establishment weight was calculated as the inverse of this probability.

7.1.3 *Trimming the extreme weights*

In some instances the IDBR local unit was found to equate to an actual establishment but the number of employees was found to be very different to the number recorded on the IDBR. In these the inverse probability weight for an establishment would be very different to the weights applied to establishments of similar size. For example, an establishment with 1,000 employees in SIC major group D would have an inverse probability weight of four if the IDBR employee count was similar, but would have an inverse probability weight of 44 if the IDBR gave an employee count of between 100 and 199. Although the use of inverse probability weights gives unbiased estimates, the effect of this potentially large variation in weights within SIC and size groups is to increase standard errors to a greater degree (thus potentially increasing the mean square error). To avoid this, the following formula for trimming relatively large or small weights was applied:

if inverse probability weight > expected weight

applied weight = min(inverse probability weight, 3*expected weight);

and if inverse probability weight <= expected weight

applied weight = max(inverse probability weight, expected weight/3).

where the expected weight is the inverse probability weight that would have been applied if the IDBR record matched the survey record. The trimming was not applied to any establishments for which the calculation of the inverse probability weight was non-standard (i.e. where the IDBR local unit was judged not to be an establishment).

This trimming of the weights potentially introduces some bias into the WERS survey estimates, but the reduction in standard errors should be enough to compensate. In other words the mean squared error is expected to be smaller with the trimming.

7.1.4 Post-stratification of the establishment sample to the IDBR population

The WERS series of surveys has, historically, been inconsistent in its use of post-stratification. In 1990 (when the sampling frame was the 1987 census of employment) the achieved sample weights were adjusted so that the final weighted sample matched the estimated 1990 population (based on the 1989 census of employment) in terms of employment size. In other words, the sample was post-stratified by employment size. The rationale was that the age of the sampling frame meant that, without post-stratification, the WERS sample was somewhat at odds with the then current profile of establishments, largely because new, post-87 establishments were absent from the sampling frame.

In WERS 98 the fact that the IDBR was considered to be far more up to date meant that the case for post-stratification was far less clear. At that time a decision was made not to use it. However, compared to the IDBR, WERS 98 appears to under-represent establishments with 10-24 employees. This is most likely explained by the facts that: very new establishments in this size band were absent from the selected sample (because they did not appear on the IDBR quickly enough); those that had recently passed the minimum size threshold of ten employees were absent (for the same reason); and those erroneously recorded on the IDBR as having less than 10 employees were also not selected.

The inclusion of the 5-9s in WERS 2004 meant this position needed to be re-assessed. An early assessment of the situation suggested that simply applying inverse probability weights would leave WERS 2004 looking very light on 5-9 establishments compared to the IDBR (at about 26% of the total compared to an IDBR percentage of 44%). This is most probably because of inaccuracies in the recording of employment for unproven units on the IDBR (which tend to be smaller than proven units); a proportion of units with at least five employees on the sampling frame are found to have fewer than five employees when approached for interview, thus yielding out of scope rates that are inversely associated with workplace size. It is also likely to be partly due to the very high 'churn' in this size-band (so that small new and growing establishments are excluded from WERS), exacerbated by a lower than average response rate.

The *strictly* correct interpretation of the sample is that it represents establishments that are thought to have five or more employees by ONS, but that seems a rather clumsy

interpretation for analysts. Instead, after consideration, the view which has been taken is that:

- (i) in each size and SIC band (as recorded by interviewers), the WERS sample is *reasonably* representative of all establishments from that size and SIC band (even though very new establishments are excluded from WERS); and,
- (ii) the IDBR gives fairly reliable *counts* of establishments by size and SIC, even if, at a micro-level, some establishments may be mis-classified.

For these reasons, WERS 2004 has been post-stratified so that it matches the IDBR on size and 'collapsed' SIC groups (the collapsing of the SIC groups being done because of small WERS sample sizes). This is achieved by applying a multiplier to the inverse probability weights per size/SIC group so that the weighted WERS 2004 count per group equals the IDBR count. Note that the WERS size/SIC groups used in this calculation are based on the interviewer-collected data rather than on the IDBR data that was supplied with the sample. This means that interviewer-collected 'size by SIC' matches the IDBR counts.

The post-stratification totals for the WERS 2004 sample are provided in Table 7-1. The totals are those that were supplied by ONS at the time of drawing the WERS 2004 sample.

Table 7-1: Post-stratification totals for WERS 2004

SIC GROUP	NUMBER OF EMPLOYEES								
	5 – 9	10 – 24	25 – 49	50 – 99	100 – 199	200 – 499	500 – 999	1000 – 1999	2000+
D,E,F,I	58,823	45,584	19,892	11,162	6,218	3,619	859	246	71
G,H	117,922	78,043	23,596	10,154	3,667	2,208	398	52	12
J,K	68,618	42,080	14,140	7,488	3,946	2,308	601	216	73
L,M,N,O	59,315	59,797	32,279	14,900	6,485	2,922	699	307	296

7.1.5 Post-stratification of WERS 98

Having made the decision to post-stratify WERS 2004 this raises the issue of how to ensure comparability between WERS 2004 and WERS 98 (which, as noted above, was not post-stratified). The difficulty here is that, compared to the IDBR, WERS 98 appears to under-represent establishments with 10-24 employees. Having post-stratified WERS 2004, to leave WERS 98 without any post-stratification would leave analysts with the constant need to check whether change since WERS 98 is due to genuine population change or due to the change in the weighting strategy (which gives the 10-24 group 'more weight' in WERS 2004).

To address this, and to make comparisons over time more robust, new post-stratification weights for WERS 98 have been calculated that adjust the WER 98 distribution to the IDBR size/SIC distribution current at the time the WERS 98 sample was selected. The distribution used is shown in the table below and is derived from Table 2A in the WERS 98 Technical Report:

Table 7-2: Post-stratification totals for WERS 98

SIC GROUP	NUMBER OF EMPLOYEES							
	10 – 24	25 – 49	50 – 99	100 – 199	200 – 499	500 – 999	1000 – 1999	2000+
D,E,F,I	42,934	18,643	10,673	6,572	3,841	955	265	93
G,H	68,927	18,999	7,250	3,403	1,788	222	49	15
J,K	32,629	11,254	5,846	3,345	1,776	420	169	45
L,M,N,O	52,868	27,191	12,235	5,381	2,427	644	335	217

Having done the post-stratification, there is reason to believe that the two surveys are still not strictly comparable. The problem arises from the fact that, in 1998, the only establishments selected were those that had ten or more employees according to the IDBR, whereas in 2004 the sample included establishments with five or more employees (according to the IDBR). This means that WERS 2004 included establishments in the 10-24 interviewer-recorded group that ONS had reason to believe were slightly smaller than this. The equivalent establishments were excluded in WERS 98.

The net result of this is that the 10-24 group on WERS 2004 is more skewed towards the bottom of this distribution than in WERS 98 (because a lot of the 5-9s on the IDBR are found by interviewers to fall into the lower segment of the 10-24 group). To aid comparability the WERS 98 10-24 group has been re-weighted so that the 'within-group' size distribution is the same as the WERS 2004 10-24 group across three segments: 10-14 employees; 15-19 employees and 20-24 employees.

This is obviously a fairly crude adjustment, and if there has been genuine change in the 10-24 size profile between 1998 and 2004 this re-weighting *may* have increased bias. However, on balance, it is expected that the adjustment made has led to a reduction in bias, rather than an increase.

7.2 Weights for employee estimates derived from the establishment questionnaire

The count data for employees collected from the MQ can be used to generate employee-based estimates (such as the percentage of employees working in establishments with a particular characteristic). To generate these estimates the establishment weight needs to be multiplied by the number of employees. This has been done on behalf of users of the data and added to the archived dataset (EMPWTNR).

7.3 Weights for the Survey of Employee Representatives and Financial Performance Questionnaire

The WRQ dataset uses the MQ establishment weight, as there is no sample selection bias, and the non-response bias is considered to be small given the high response rates.

In contrast, a fairly high percentage of establishments declined to take part in the FPQ. Furthermore there is some evidence that those that did take part were not a random sample of all WERS participating establishments, with a lower than average response rate for establishments with shares listed on the stock exchange (a 31% FPQ response rate compared to a 47% response rate for other establishments).

Rather than simply use the establishment weights to the FPQ dataset, a non-response adjusted set has been calculated that attempts to bring the FPQ more into line with the total WERS establishment sample.

The adjustment is achieved by estimating the probability of responding to the FPQ for establishments that take part in WERS and then multiplying the establishment weight by the inverse of this response probability. The result is that the types of establishments that are less likely to respond to the FPQ get a higher non-response weight, and vice versa.

The probability of responding was estimated using a logistic regression model. The possible predictors of response included in the model were:

alist	Shares in the organisation are listed on a stock exchange
nhowc	Establishment has changed ownership in past 2 years
ncomput	Percentage of staff using computers
nproser	Output comprises different products or services
nstamar	Market for main product or service is declining or turbulent
nfinrec	Establishment keeps records of sales, total costs, profits, labour costs or productivity
nfintarg	Establishment sets targets for sales, total costs, profits, labour costs or productivity
mqloc	Management interview took place at sampled workplace (rather than at a regional or head office)
nsingle	Single, independent establishment
bassist	MQ respondent has staff to assist them with employment relations matters
gdispute	Collective dispute at the establishment within the past 12 months
redund	Redundancies at the establishment within the past 12 months
Mlinkdat	Management respondent agrees that WERS data may be linked to other surveys or datasets
finmeet	Financial issues are discussed at workforce meetings, team briefings or by a joint consultative committee
fininfo	Managers regularly give employees or their representatives information about investment plans or the financial position of the workplace/organisation
nanyseq	Number of questionnaires completed and returned in the Survey of Employees (1=None distributed; 2=None returned; 3=1 or more)
nstatus5	Legal status (1=public limited company (PLC); 2=private limited company; 3=other private sector; 4=public sector (except local/central government); 5=local/central government)
ntitle	Job title of management respondent (1=Personnel specialist; 2=non-specialist; 3=Financial manager/company secretary)
nrepmor	Range of non-ER items managers must report on to a higher level in the organisation (0=Four; 1=Three; 2=Two; 3=One; 4=None; 5=Not part of a larger organisation)
ncompet	Number of competitors for main product or service (1=None; 2=5 or less; 3=More than 5)
nerfis	Management respondent consider financial performance to relate to: (1=profit/value-added/sales/stock market indicators; 2=fees/budget/costs/expenditure; 3=other measures)
nempsize	Number of employees at the establishment (5-9 employees; 10-24; 25-49; 50-99; 100-199; 200-499; 500-999; 1000-1999; 2000+)
nbranch	Establishment's location in wider organisation (1=branch site; 2=head office; 3=single independent establishment)
kestper1	Management respondent's subjective assessment of financial performance relative to industry average (1=Lot better than average; 2=better than average; 3=average; 4=below average/lot below average; 6=no comparison)
Kestper2	Management respondent's subjective assessment of labour productivity relative to industry average (1=Lot better than average; 2=better than average; 3=average; 4=below average/lot below average; 6=no comparison)
kestper3	Management respondent's subjective assessment of quality or product or service relative to industry average (1=Lot better than average; 2=better than average; 3=average; 4=below average/lot below average; 6=no comparison)

mrelate	Management respondent's assessment of relationship between managers and employees (1=very good; 2=good; 3='neither good nor poor'; 4=poor/very poor)
kprice	Management respondent's rating of extent to which demand for product or service relies on price (1=not at all; 5=heavily)
nsicode	Industry sector (Manufacturing; Electricity, gas and water; Construction; Wholesale and retail; Hotels and restaurants; Transport and communications; Financial services; Other business services; Public administration; Education; Health; Other community services)

The model was fitted in SPSS, with variables being entered forward stepwise. The variables 'entered' in the model were: nanyseq, nbranch, nsicode, ntitle,mlinkdat, alist, and nempsize. The details of the final model, containing all significant predictors, are given in Table 7-3.

Table 7-3: Logistic regression model of response to the FPQ

Variable category	Logistic regression coefficient	Standard error
Are shares listed on a stock exchange? (ALIST)		
No	-	
Yes	-0.367	0.139
Permission given to link to other datasets (MLINKDAT)		
No	-	
Yes	0.570	0.210
Job Title of management respondent (NTITLE)		
Personnel specialist	-0.723	0.269
Non-specialist	-0.762	0.262
Financial manager/company secretary	-	
Establishment size (NEMPSIZE)		
5-9	-0.460	0.259
10-24	-0.533	0.233
25-49	-0.760	0.235
50-99	-0.496	0.234
100-199	-0.209	0.232
200-499	-0.527	0.233
500-999	-0.273	0.252
1000-1999	-0.273	0.282
2000+	-	
Organisational status (NBRANCH)		
Branch site	-0.595	0.119
Head office	-0.102	0.156
Single site	-	
SIC code (NSICODE)		
Manufacturing	0.210	0.215
Electricity, gas and water	-0.107	0.385
Construction	0.176	0.268
Wholesale and retail	-0.329	0.215
Hotels and restaurants	-0.559	0.282
Transport and communications	-0.570	0.258
Financial services	-0.501	0.278
Other business services	-0.152	0.216
Public administration	0.005	0.255
Education	0.250	0.231
Health	-0.173	0.212
Other community services	-	
Number of SEQs returned (NANYSEC)		
None distributed	-1.011	0.140
None returned	-1.510	0.185
At least 1 returned	1.213	0.425
Constant	-	

This model generated probabilities of responding ranging from below 0.2 to above 0.7. Simply inverting these predicted probabilities and then multiplying them by the establishment weight would have given FPQ weights with an extremely large variance. Since variance in the weights usually leads to inflation of standard errors, the modelled probabilities were trimmed to the 10th and 90th percentiles (namely 0.2 and 0.66 respectively).

7.4 Weights for the sample of employees

As with the establishment sample, to derive unbiased estimates about the population of employees based on data from the SEQ, the sample has to be weighted by the inverse of the probability of selection. In this instance the probability of selection for an employee is given by:

$$p(\text{selection of employee}) = p(\text{selection of establishment}) \times p(\text{selection of employee within the establishment}).$$

The probability of selection of the employee within the establishment is given as

$$\text{min}(25, \text{number of employees})/\text{number of employees}$$

The numerator in the above takes account of the fact that at establishments with 25 or fewer employees all employees were selected.

Following this, the employee weight can be calculated as

$$\text{employee weight} = \text{establishment weight} \times \text{number of employees} / \text{min}(25, \text{number of employees})$$

The establishment weight is the trimmed and post-stratified version of the inverse probability weight described in Section 7.1.3.

In practice some establishments did not agree to co-operate with the employee survey, and some employees, although they received an SEQ, failed to return it. A non-response analysis was undertaken, the objective being to estimate the probability of response, and to adjust the employee weight accordingly.

(As in WERS 98) the probability that an employee returned an SEQ was assumed to break down as follows:

$$\begin{aligned} p(\text{employee returns SEQ}) &= p(\text{establishment selected}) \\ &\quad \times p(\text{establishment takes part}) \\ &\quad \times p(\text{employee sampled}) \\ &\quad \times p(\text{employee returns SEQ once sampled}). \end{aligned}$$

The employee weight is then calculated as the inverse of this probability.

To calculate the weights, estimates were needed of:

- (1) $p(\text{establishment takes part})$; and
- (2) $p(\text{employee returns SEQ once sampled})$.

The survey does not include a definitive indicator of whether or not an establishment took part in the Survey of Employees. Some establishments claimed they would take part but no questionnaires were returned from employees so it seems plausible they were never distributed in the first place. The indicator used is to define an establishment as taking part if one or more completed employee questionnaires were returned to NatCen.

The probability of an establishment taking part was estimated using a logistic regression model. The possible predictors of response included in the model were:

title	MQ respondent is a personnel specialist
majrep	Establishment has to regularly report on employment relations issues to managers at a higher level in the organisation
ptarg	Establishment sets targets for unit labour costs, productivity, labour turnover, absenteeism, training or job satisfaction
mqloc	Management interview took place at sampled workplace (rather than at a regional or head office)
eomon	Workplace monitors recruitment and selection or promotions by gender, ethnicity, disability or age
bumanage	MQ respondent is the senior manager responsible for employment relations at the establishment
ptime	MQ respondent spends more than 50% of their time on employment relations
bassist	MQ respondent has staff to assist them with employment relations matters
strat1	Establishment has a strategic plan that covers employee development, job satisfaction, diversity or staffing requirements
ownman	Establishment owners are actively involved in day-to-day management
dsurvey	Establishment has carried out a formal survey of employees' attitudes in the past 2 years
overtime	At least 60% of core employees regularly work overtime
fixpc	More than 25% of the employees at the establishment are on fixed-term or temporary contracts
ethnic	More than 10% of the employees at the establishment are from non-white ethnic groups
nprivate	Private sector establishment
mrelate	The relationship between managers and employees is rated as either 'neither good nor poor', 'poor' or 'very poor' (as opposed to 'very good' or 'good')
gdispute	Collective dispute at the establishment within the past 12 months
baward	Establishment accredited as an Investor in People
aphras10	Manager agrees that most decisions at the workplace are taken without consulting employees
redund	Redundancies at the establishment within the past 12 months
recog	Establishment recognises trade unions for negotiations over pay and conditions for at least some employees
nempsiz7	Number of employees at the establishment (5-9 employees; 10-24; 25-49; 50-99; 100-199; 200-499; 500+)
nsicode	Industry sector (Manufacturing; Electricity, gas and water; Construction; Wholesale and retail; Hotels and restaurants; Transport and communications; Financial services; Other business services; Public administration; Education; Health; Other community services)

The model was fitted in SPSS, with variables being entered forward stepwise. The variables 'entered' in the model were: mqloc, bumanage, bassist, dsurvey, ethnic, gdispute, baward, recog, nempsize, nsicode. The details of the model are given in Table 7-4.

Table 7-4: Logistic regression model for establishment taking part in Employee Questionnaire Survey

Variable category	Logistic regression coefficient	Standard error
Where management interview took place (MQLOC)		
Not at workplace	-	
At workplace	0.353	0.134
Manager primarily responsible for employment relations (BUMANAGE)		
No		
Yes	0.299	0.137
Staff to assist in managing personnel (BASSIST)		
No	-	
Yes	0.260	0.121
Survey of employees in last 2 years (DSURVEY)		
No	-	
Yes	0.251	0.117
More than 10% of employees from minority ethnic groups (ETHNIC)		
No	-	
Yes	-0.431	0.125
Collective dispute in last 12 months (GDISPUTE)		
No	-	
Yes	-0.424	0.170
Investor in People (BAWARD)		
No	-	
Yes	0.215	0.109
Union recognised (RECOG)		
No	-	
Yes	0.428	0.136
Establishment size (NEMPSIZE)		
5-9	0.969	0.216
10-24	0.928	0.182
25-49	0.801	0.185
50-99	0.824	0.187
100-199	1.024	0.194
200-499	0.857	0.185
500+	-	
SIC code (NSICODE)		
Missing	-0.826	1.257
Manufacturing	-0.508	0.262
Electricity, gas and water	-1.461	0.389
Construction	-0.726	0.306
Wholesale and retail	-0.471	0.260
Hotels and restaurants	-0.830	0.306
Transport and communications	-0.239	0.307
Financial services	-0.673	0.304
Other business services	-0.168	0.269
Public administration	-0.190	0.328
Education	0.117	0.308
Health	-0.113	0.264
Other community services	-	
Constant	-0.262	0.331

In a very small number of establishments the employee count is extremely large and, using the approach described above gives a small number of SEQs with extremely large weights. To avoid these employees having too great an influence on the survey estimates (which would inflate standard errors) these weights trimmed to the top of the weight distribution for other employees.

In WERS 98 the probability that an employee returned a completed SEQ was estimated by comparing numbers of full-time and part-time workers by sex, and numbers by occupation group from the returned SEQs, with the numbers that would have been expected if all had responded (based on the profile of employees given in the MQ). This comparison was done at a 'population' level, rather than at the level of each individual establishment. The profiles of employment indicated by the SEQ and the MQ in this respect were sufficiently different in 1998 to suggest that part-time workers (particularly men) and some occupation groups were less likely than others to respond. Weights were adjusted accordingly.

A similar comparison was made for WERS 2004, the assumption being that the same approach would be adopted in this survey. However, although similar differences were found between the MQ and the SEQ as in 1998, the MQ profiles for full-time/part-time and occupation were sufficiently different from the expected distributions (as derived from the Labour Force Survey) to suggest that any non-response adjustment based on the MQ profiles could increase, rather than reduce, the degree of bias. However, the MQ profile of employment by gender was more in line with expectations (and could also be expected to be less prone to mis-classification on the part of the MQ respondent). Consequently, the SEQ data has been adjusted to take account of non-response so that it matches the MQ on this variable at an aggregate level. But the mismatch in terms of part-time/full-time and occupation has *not* been adjusted for in WERS 2004.

7.5 Weights for the Panel Sample

The weights to be applied to the Panel data were calculated as the inverse of the probability of being selected for *and* agreeing to take part in the survey. This probability can be broken down as follows:

$$P(\text{in survey and responding}) = P(\text{being in WERS 98}) \times P(\text{selected for Panel}) \times P(\text{responding}),$$

and the Panel weight is then estimated as:

$$\begin{aligned} \text{panel weight} &= \frac{1}{P(\text{being in WERS98})} \times \frac{1}{P(\text{selected for panel})} \times \frac{1}{P(\text{responding})} \\ &= (\text{WERS98 weight}) \times \frac{2191}{1479} \times \frac{1}{P(\text{responding})}. \end{aligned}$$

To estimate the probability of responding to the Panel Survey, a logistic regression model was fitted to the data using independent variables selected from the WERS 98 establishment questionnaire. The following variables were tested in the model:

nperspec	Management respondent is a personnel specialist
nptars	Establishment sets targets for quality, labour turnover, absenteeism, workforce training
noassist	Management respondent has no staff to assist them with employment relations matters
mqloc	Management interview took place at sampled workplace (rather than at a regional or head office)
nsingle	Single, independent establishment
aconhead	Establishment is the controlling head office, where part of a larger organisation
bumanager	Management respondent is the person primarily responsible for ER matters at the establishment
nstrat2	Someone with ER responsibilities sits on Board of Directors
aownman	Establishment owners are actively involved in day-to-day management
djoint	Establishment has a joint consultative committee
nea	Establishment is a member of an employers association, trade association, chamber of commerce or the Federation of Small Businesses
bhavqual	Management respondent has formal qualifications in personnel management
gdispute	Collective dispute at the establishment within the past 12 months
baward	Establishment accredited as an Investor in People
ncontro1	Establishment is wholly UK owned
nempsize	Number of employees at the establishment (5-9 employees; 10-24; 25-49; 50-99; 100-199; 200-499; 500+)
nmajrep	Range of ER issues managers must regularly report on to a higher level in the organisation (0=None; 1=Some; 2=Majority)
nmajcon	Range of ER issues managers can make decisions on without consulting higher level in the organisation (0=None; 1=Some; 2=Majority)
nptime	Time spent by management respondent on ER issues (1=More than 90%; 2=51%-90%; 3=11%-50%; 4=10% or less)
nrecog	Recognition of trade unions (1=No unions present; 2=Unions present, none recognised; 3=recognised unions)
eviews	Management's attitude towards trade union membership (1=in favour; 2=not in favour; 3=neutral)
kestper1	Management respondent's subjective assessment of financial performance relative to industry average (1=Lot better than average; 2=better than average; 3=average; 4=below average/lot below average; 6=no comparison)
mrelate	Management respondent's assessment of relationship between managers and employees (1=very good; 2=good; 3='neither good nor poor'; 4=poor/very poor)
nredtype	Nature of recent workforce reductions (1=None; 2=Reductions but no redundancies; 3=redundancies)
aphras10	Whether most decisions at the workplace are taken without consulting employees (2=Manager agrees; 3=Neither agrees nor disagrees; 4=Disagrees)
Gor	Government office region (1=East; 2=East Mids; 3=London; 4=N East; 5=N West; 6=Scotland; 7=S East; 8=S West; 9=Wales; 10=W Mids; 11=Yorks & Humber)
Nethbd	Proportion of employees from ethnic minorities (1=None; 2=1-4%; 3=5-9%; 4=10% or more)
asic	Industry sector (Manufacturing; Electricity, gas and water; Construction; Wholesale and retail; Hotels and restaurants; Transport and communications; Financial services; Other business services; Public administration; Education; Health; Other community services)

The model was fitted in SPSS, with variables being entered forward stepwise. The variables 'entered' in the model were: aconhead, nstrat2, nptime, asic. The details of the model are given in Table 7-5.

Table 7-5: Logistic regression model for response to Panel Survey

Variable category	Logistic regression coefficient	Standard error
Head office (ACONHEAD)		
No	-	
Yes	-1.0	0.296
Integration of ER in business strategy (NSTRAT2)		
No	-	
Yes	0.576	0.174
Time spent on ER issues (NPTIME)		
More than 90%	0.927	0.314
50%-90%	0.390	0.205
10% to 50%	0.455	0.183
10% or less	-	
SIC code (ASIC)		
Manufacturing	-0.050	0.392
Electricity, gas and water	-1.862	0.452
Construction	-0.227	0.473
Wholesale and retail	-1.121	0.379
Hotels and restaurants	-0.816	0.417
Transport and communications	-0.134	0.466
Financial services	-0.681	0.454
Other business services	-0.754	0.388
Public administration	0.083	0.445
Education	-0.098	0.400
Health	0.126	0.421
Other community services	-	
Constant	-0.262	0.331

7.6 Scaling the weights

All the WERS 2004 weights have been scaled to sum to 100. The weighted base for any statistic thus indicates the percentage of the population of establishments to which that statistic applies.

The archived dataset has the following weights:

<i>MQ: ESTWTNR</i>	The standard establishment weight to be applied to the Cross-section Survey of Managers
<i>MQ: EMPWTNR</i>	To be applied to the Cross-section Survey of Managers when one wants to produce analyses reflecting the proportion of employees to whom a particular workplace characteristic pertains
<i>FPQ: FPQWTNR</i>	Weight to be applied to the data based on the Financial Performance Questionnaire
<i>WRQ: WRQWTNR</i>	The weight to be applied to the data from the Survey of Employee Representatives, the NR here signifying that it incorporates the MQ non-response adjustment

<i>SEQ: SEQWTNR</i>	The employee weight variable to be applied to the Survey of Employees
<i>PQ: PQWTNR</i>	The establishment weight to be applied to the Panel Survey

8 OTHER ISSUES

8.1 Sampling errors

8.1.1 Cross-section: sample of establishments

The standard errors of survey estimates are affected by the sample design, particularly by the effect of sampling weights, clustering, and stratification. As already described (Section Two), the WERS 2004 sample design for the Cross-section Survey is a one-stage *stratified* design with unequal selection probabilities per establishment (which are dealt with by applying sampling weights). These factors (sampling weights and stratification) have to be taken into account when calculating standard errors (and, as a consequence, p-values and confidence intervals) for survey estimates. Ignoring the sample design (i.e. assuming simple random sampling and taking into account only sample size and population variance) gives estimated standard errors that will be almost always be too small.

In principle, the design features that need to be accounted for in calculating the standard errors are:

- (i) the stratification;
- (ii) the sampling fraction used per strata (i.e. the finite population correction);
- (iii) the survey weights; and
- (iv) the post-stratification to the IDBR size and SIC distribution.

In practice, most statistics software packages do not allow for all of these to be taken into account and in these instances the best that can be done is to 'declare' the sub-set of design features that (a) the software can handle and (b) have the greatest impact on standard errors. In STATA, for instance, it is, in principle, possible to take the stratification and the survey weights into account. In addition, if the fact that the sampling fraction per stratum is not entirely constant (because of aggregate returns) is overlooked, then the finite population correction can also be taken into account although in practice it makes very little difference to the standard errors of 'all establishment' estimates. In the latest version of STATA (version 9.0), the post-stratification can also be taken into account for some estimates, although difficulties arise for estimates that are not based on the whole of the achieved sample size²⁰. Again, in practice, the post-stratification appears to make very little difference to standard errors.

Table 8-1 shows the estimated complex standard errors (that is, the standard errors taking the design features into account) as calculated in STATA, for a range of survey estimates. These have been calculated *without* the finite population correction and *without* declaring that the sample is post-stratified. The initial stratification and the survey weights *are* declared.

²⁰ The problem for sub-group analysis is that STATA post-stratifies each sub-group to the control (IDBR) totals. This creates a new set of survey weights each time, so the estimates derived are different to the weighted estimates intended. This applies even to sub-groups defined as the 'whole sample minus any missing data'.

The table shows a range of means and percentages, firstly for all the WERS 2004 population (namely establishments with five or more employees) and secondly for establishments with ten or more employees (a population comparable to the WERS 98 population). The figures given are: the sample size, the weighted estimate, the complex standard error, and the design factor (DEFT). The design factor is the ratio of the complex standard error to the simple random sample standard error, and is a measure of the inflation in the standard error attributable to the complex design. For example, a DEFT of 1.3 would mean that the design features have increased the standard error by 30%.

As can be seen from Table 8-1, the design of the WERS sample almost always leads to larger standard errors than would be achieved with a simple random sample of the same overall size. This was anticipated at the design stage and should not be interpreted as a design flaw. The main reason for the standard error inflation is the over-sampling of large establishments relative to small ones: a simple random sample of equivalent size would have given far too few establishments in any but the smallest size bands for separate analysis by size.

Note that, had the post-stratification been taken into account the standard errors for the workplace size estimates of Table 8-1 would, in fact, be zero (that is, there is no random error for an estimate that is 'controlled'). The standard errors ignoring the post-stratification are included for reference only.

Based on Table 8-1 the *average (mean)* design factor for 5+ establishments is 1.45, and for 10+ establishments is 1.34, although the range around these averages is very large. The medians are 1.57 and 1.45 respectively. The values of 1.45 and 1.34 *can* be used as a very rough indicator of the design factor in exploratory analyses: however, it is strongly recommended that the correct standard error is calculated for any published analyses.

Note that the mean design factor for the MQ can also be used as a reasonable approximation to the mean for the WRQ because the sample design and weights are the same.

Table 8-1: Complex Standard Errors and DEFTs for a range of Cross-sectional (MQ) estimates

VARIABLE	Establishments with 5+ employees				Establishments with 10+ employees			
	N (unweighted)	Estimate	Complex S.E	DEFT	N (unweighted)	Estimate	Complex S.E	DEFT
Workplace size (NEMPSIZ1)								
5 to 9 employees	233	43.6%	1.6%	1.56	-			
10 to 24 employees	414	32.3%	1.4%	1.40	414	57.2%	1.1%	1.04
25 to 49 employees	334	12.9%	0.7%	0.97	334	22.8%	1.1%	1.21
50 to 99 employees	308	6.3%	0.4%	0.70	308	11.1%	0.6%	0.87
100 to 199 employees	287	2.9%	0.2%	0.52	287	5.2%	0.3%	0.65
200 to 499 employees	303	1.6%	0.1%	0.31	303	2.8%	0.1%	0.38
500 or more employees	416	0.5%	0.0%	0.19	416	1.0%	0.05%	0.24
Organisation size (NORGSIZE)								
Less than 100 employees	500	46.2%	1.7%	1.60	382	41.5%	1.5%	1.42
100 to less than 1000 employees	426	13.2%	1.2%	1.55	400	15.1%	1.1%	1.39
1000 to less than 10000 employees	718	21.5%	1.4%	1.68	664	20.6%	1.3%	1.47
10000 employees or more	638	19.1%	1.2%	1.50	604	22.9%	1.3%	1.40
Sector (NPRIVATE)								
Private	1706	87.0%	0.8%	1.10	1489	82.0%	0.8%	0.98
Public	589	13.0%	0.8%	1.10	573	18.0%	0.8%	0.98
Organisational status (NSINGLE)								
Stand-alone workplace	522	34.5%	1.6%	1.65	436	0.32%	1.5%	1.51
Part of a wider organisation	1773	65.5%	1.6%	1.65	1626	0.68%	1.5%	1.51
Industry (NSICODE)								
Manufacturing	310	11.1%	0.7%	1.04	295	12.2%	0.5%	0.72
Electricity, gas and water	45	0.1%	0.0%	0.49	43	0.1%	0.0%	0.06
Construction	113	4.9%	0.4%	0.99	100	4.3%	0.3%	0.72
Wholesale and retail	321	24.9%	0.7%	0.72	256	20.9%	0.5%	0.58
Hotels and restaurants	111	8.9%	0.3%	0.50	89	9.0%	0.3%	0.44
Transport and communications	144	4.8%	0.5%	1.15	139	5.6%	0.3%	0.67
Financial services	130	5.2%	0.3%	0.67	115	4.4%	0.1%	0.26
Other business services	280	14.9%	0.8%	1.06	236	13.6%	0.7%	0.88
Public administration	137	2.2%	0.3%	1.03	134	2.8%	0.3%	0.84
Education	208	4.9%	0.3%	0.59	204	7.7%	0.3%	0.57
Health	353	11.6%	0.5%	0.76	332	14.1%	0.5%	0.61
Other community services	143	6.5%	0.5%	0.95	119	5.2%	0.3%	0.65
Occupation (NHIOCC)								
Professional	292	7.5%	0.7%	1.28	282	10.1%	0.8%	1.22
Associate professional and technical	313	7.9%	0.8%	1.49	296	9.2%	0.9%	1.40
Administrative and secretarial	319	14.2%	1.2%	1.58	273	12.2%	1.0%	1.37
Skilled trades	178	10.2%	1.0%	1.63	155	9.2%	1.0%	1.52
Caring, leisure and personal services	227	9.7%	0.8%	1.34	211	11.8%	0.8%	1.13
Sales	362	24.4%	1.3%	1.45	293	20.0%	1.2%	1.37
Operative and assembly	278	11.5%	1.1%	1.72	256	12.0%	1.1%	1.50
Routine unskilled manual	307	14.6%	1.0%	1.34	277	15.5%	1.0%	1.19
Proportion of part-time workers (NPTPROP)								
No part-time employees	280	21.0%	1.5%	1.78	219	16.6%	1.3%	1.58
10% or less	646	11.4%	0.8%	1.19	646	20.2%	1.3%	1.41
More than 10% to 25%	409	19.5%	1.5%	1.78	348	14.9%	1.2%	1.53
More than 25% to 50%	450	18.9%	1.3%	1.64	406	18.7%	1.3%	1.54
More than 50% to 75%	324	16.6%	1.2%	1.60	288	17.4%	1.2%	1.47
More than 75%	176	12.7%	1.1%	1.64	145	12.1%	1.1%	1.57
Percentage of workers part time (cont.) (NPRTPROP)	2285	32.9	9.8	1.54	2052	32.5	9.0	1.35

Table 8-1: Complex Standard Errors and DEFTs for a range of Cross-sectional (MQ) estimates - Cont.

VARIABLE	Establishments with 5+ employees				Establishments with 10+ employees			
	N (unweighted)	Estimate	Complex S.E	DEFT	N (unweighted)	Estimate	Complex S.E	DEFT
Proportion of women employed (NFPROP)								
10% or less	239	9.1%	1.0%	1.66	226	11.6%	1.1%	1.57
More than 10% to 25%	355	16.9%	1.4%	1.72	315	14.9%	1.2%	1.55
More than 25% to 50%	486	21.0%	1.5%	1.73	438	20.8%	1.4%	1.55
More than 50% to 75%	617	19.9%	1.3%	1.57	569	20.8%	1.3%	1.42
More than 75% to 90%	354	16.0%	1.3%	1.64	315	16.4%	1.2%	1.52
More than 90%	234	17.1%	1.3%	1.66	189	15.5%	1.2%	1.45
Percentage of women employed (cont.) (NFEMPROP)	2285	54.4	1.0	1.55	2052	53.0	0.9	1.28
Union density (NDENS)								
No union members	969	70.5%	1.3%	1.37	785	63.4%	1.2%	1.17
1% to less than 25%	355	8.1%	0.9%	1.52	342	9.9%	0.9%	1.31
25% to less than 50%	288	6.5%	0.8%	1.57	278	7.9%	0.8%	1.34
50% to less than 90%	453	9.6%	0.8%	1.37	438	12.5%	0.9%	1.25
90% to less than 100%	92	1.4%	0.2%	0.95	92	2.5%	0.4%	1.19
100% union members	48	2.9%	0.6%	1.60	38	2.3%	0.5%	1.44
Members present	90	0.9%	0.2%	1.14	89	1.3%	0.3%	1.09
Union density (cont.) (NDENSITY)	2205	14.3	0.77	1.28	1973	17.4	0.77	1.14
Rate of dismissals (NPRODIS)	2143	1.71	0.20	2.10	1917	2.14	0.23	1.55
Rate of IT claims (NITRATE)	2263	3.21	0.99	1.91	2032	2.65	0.68	1.45
Industrial action during the last 12 months (NSTRIKE)								
Yes	153	2.0%	0.4%	1.25	151	3.0%	0.5%	1.34
No	2140	98.0%	0.4%	1.25	1909	97.0%	0.5%	1.34
Proportion of employees from a non-white ethnic group (NETHNICB)								
None	830	68.4%	1.5%	1.48	637	55.6%	1.6%	1.43
1% to less than 5%	617	7.6%	0.5%	0.88	617	13.5%	0.8%	1.10
5% to less than 10%	269	6.9%	0.7%	1.22	269	12.3%	1.1%	1.47
10% to less than 25%	276	8.4%	1.0%	1.63	256	9.0%	1.0%	1.48
More than 25%	218	8.7%	0.9%	1.58	198	9.5%	1.0%	1.53
Percentage of employees from a non-white ethnic group (cont.) (NETHNIC)	2210	6.28	0.52	1.57	1977	7.53	0.60	1.59
Age of workplace at present and any previous address (NAGE)								
Less than 5 years	197	10.9%	1.2%	1.82	169	9.3%	1.0%	1.55
5 to 9 years	299	15.1%	1.3%	1.75	264	14.8%	1.2%	1.58
10 to 24 years	650	34.3%	1.7%	1.70	570	34.5%	1.7%	1.58
25 or more years	1141	39.7%	1.7%	1.66	1054	41.4%	1.7%	1.52
UK or foreign ownership (NCONTROL)								
N/A (public sector)	589	13.1%	0.8%	1.10	573	18.1%	0.8%	0.98
Wholly UK owned	1211	71.1%	1.5%	1.55	1034	66.6%	1.4%	1.37
Partly foreign owned	184	5.7%	0.8%	1.68	171	5.8%	0.8%	1.52
Predominantly or wholly foreign owned	295	10.1%	1.1%	1.72	272	9.5%	1.0%	1.54
Is this establishment accredited as an Investor in People? (BAWARD)								
Yes	1037	36.7%	1.6%	1.61	959	38.2%	1.6%	1.43
No	1174	63.3%	1.6%	1.61	1030	61.8%	1.6%	1.43

Table 8-1: Complex Standard Errors and DEFTs for a range of Cross-sectional (MQ) estimates – Cont.

VARIABLE	Establishments with 5+ employees				Establishments with 10+ employees			
	N (unweighted)	Estimate	Complex S.E	DEFT	N (unweighted)	Estimate	Complex S.E	DEFT
What proportion of experienced LOGs have had formal off-... (COFFJOB)								
All (100%)	683	29.1%	1.5%	1.59	618	31.3%	1.5%	1.48
Almost all (80-99%)	304	6.1%	0.8%	1.52	293	7.2%	0.7%	1.29
Most (60-79%)	236	7.2%	0.9%	1.57	220	7.9%	0.9%	1.49
Around half (40-59%)	221	8.2%	1.0%	1.72	202	8.2%	0.9%	1.51
Some (20-39%)	265	9.6%	1.0%	1.56	249	11.9%	1.1%	1.58
Just a few (1-19%)	307	14.9%	1.3%	1.67	281	17.1%	1.3%	1.59
None (0%)	233	23.3%	1.6%	1.78	159	15.6%	1.3%	1.62
Exact figure given	12	1.5%	0.5%	2.11	7	0.8%	0.4%	1.88
On average, how much time did these experienced LOGs spend ... (CTRAIN)								
Not applicable	245	23.6%	1.6%	1.76	171	15.9%	1.3%	1.60
No time	21	1.3%	0.4%	1.54	19	1.7%	0.5%	1.73
Less than one day	101	4.2%	0.7%	1.74	93	4.3%	0.7%	1.50
1 to less than 2 days	452	19.7%	1.4%	1.67	411	20.9%	1.4%	1.57
2 to less than 5 days	794	27.8%	1.5%	1.61	735	30.2%	1.6%	1.51
5 to less than 10 days	350	12.6%	1.1%	1.53	322	14.1%	1.2%	1.47
10 days or more	234	10.7%	1.1%	1.64	216	12.8%	1.1%	1.51
What proportion, if any, of LOGs work in formally designated... (CTEAMS)								
All (100%)	890	37.7%	1.7%	1.66	796	36.7%	1.6%	1.48
Almost all (80-99%)	510	9.3%	0.9%	1.42	501	13.3%	1.0%	1.37
Most (60-79%)	202	4.3%	0.5%	1.29	200	6.8%	0.8%	1.45
Around half (40-59%)	105	3.8%	0.7%	1.63	98	4.4%	0.7%	1.55
Some (20-39%)	96	3.5%	0.6%	1.46	92	4.8%	0.7%	1.48
Just a few (1-19%)	90	3.0%	0.5%	1.35	89	5.0%	0.8%	1.61
None (0%)	386	3.8%	1.7%	1.71	270	28.4%	1.6%	1.59
Exact figure given	4	0.3%	0.2%	1.51	4	0.5%	0.3%	1.91
System of briefings for any section or sections of the... (DBRIEF)								
Yes	1856	60.4%	1.8%	1.72	1740	70.6%	1.6%	1.62
No	437	39.6%	1.8%	1.72	320	29.4%	1.6%	1.62
Any committees of managers and employees primarily... (DJOINT)								
Yes	823	8.7%	0.6%	1.05	819	14.3%	1.0%	1.17
No	1468	91.3%	0.6%	1.05	1240	85.7%	1.0%	1.17
Any consultative committee in your organisation that operate... (DHIGHLEV)								
Not applicable	832	44.7%	1.7%	1.61	724	42.9%	1.6%	1.46
Yes	818	31.7%	1.6%	1.65	742	30.5%	1.5%	1.46
No	610	23.5%	1.5%	1.63	563	26.6%	1.5%	1.54
Do you have groups that solve specific problems... (DCIRCLES)								
Yes	776	17.3%	1.2%	1.49	748	22.0%	1.3%	1.38
No	1507	82.7%	1.2%	1.49	1302	78.0%	1.3%	1.38

Table 8-1: Complex Standard Errors and DEFTs for a range of Cross-sectional (MQ) estimates - Cont.

VARIABLE	Establishments with 5+ employees				Establishments with 10+ employees			
	N (unweighted)	Estimate	Complex S.E	DEFT	N (unweighted)	Estimate	Complex S.E	DEFT
Any employees who are a member of a trade union (EANYEMP)								
Yes	1326	29.5%	1.3%	1.37	1277	36.5%	1.2%	1.17
No	969	70.5%	1.3%	1.37	785	63.5%	1.2%	1.17
Do the members of the recognised unions have any representatives... (ESTEWARD)								
Not applicable	1240	79.0%	1.1%	1.30	1042	73.3%	1.2%	1.18
Yes	769	7.8%	0.6%	1.14	764	12.0%	0.8%	1.05
No	272	13.3%	1.0%	1.45	243	14.6%	1.1%	1.36
Any employees get paid by results (FPERF1)								
Payment by results	717	31.3%	1.6%	1.63	643	30.2%	1.5%	1.47
Merit pay	353	9.1%	0.9%	1.58	331	9.5%	0.9%	1.42
Neither	1224	59.7%	1.7%	1.65	1087	60.3%	1.6%	1.48
Any employees get profit-related pay/bonuses (FPROF)								
Yes	729	30.1%	1.6%	1.66	659	30.4%	1.5%	1.51
No	1564	69.9%	1.6%	1.66	1401	69.6%	1.5%	1.51
Employee share schemes (FSHARE1)								
Not applicable	538	11.8%	0.7%	1.04	524	16.5%	0.8%	0.93
SIP	193	5.7%	0.7%	1.44	178	6.0%	0.7%	1.42
SAYE	244	7.3%	0.9%	1.61	227	7.2%	0.8%	1.38
EMI	4	0.2%	0.1%	1.24	4	0.3%	0.2%	1.57
CSOP	59	2.6%	0.6%	1.77	52	2.0%	0.4%	1.32
Other scheme	49	1.6%	0.4%	1.53	46	2.1%	0.5%	1.66
None of these	1196	71.0%	1.3%	1.42	1021	66.0%	1.3%	1.28
What types of issues are covered by the procedures (GISSUES1)								
Not applicable	1002	59.4%	1.7%	1.64	861	57.4%	1.6%	1.47
Pay and conditions	1046	33.4%	1.7%	1.63	967	34.4%	1.5%	1.46
Redundancy	63	1.9%	0.5%	1.91	58	1.3%	0.3%	1.08
Organisation of work	113	3.4%	0.6%	1.53	109	4.7%	0.7%	1.51
Health and Safety	32	1.5%	0.4%	1.68	30	1.8%	0.5%	1.68
Other specific answer, not codeable to 1-4	24	0.4%	0.2%	1.54	23	0.4%	0.2%	1.05
Is there a formal procedure for dealing with individual... (HPROCEDU)								
Yes	2156	83.0%	1.5%	1.86	1975	88.5%	1.2%	1.74
No	138	17.0%	1.5%	1.86	86	11.5%	1.2%	1.74
Is there a formal procedure for dealing with discipline... (HOTHPRO)								
Yes	2178	85.6%	1.4%	1.92	1990	90.9%	1.1%	1.80
No	113	14.4%	1.4%	1.92	69	9.1%	1.1%	1.80
Does this workplace have a formal written policy on equal... (IPOLICY)								
Yes	1944	67.2%	1.7%	1.71	1802	73.2%	1.5%	1.57
No	337	32.8%	1.7%	1.71	251	26.8%	1.5%	1.57

Table 8-1 Complex Standard Errors and DEFTs for a range of Cross-sectional (MQ) estimates -Cont.

VARIABLE	Establishments with 5+ employees				Establishments with 10+ employees			
	N (unweighted)	Estimate	Complex S.E	DEFT	N (unweighted)	Estimate	Complex S.E	DEFT
Are employees entitled to any of the following (IFAMILY1)								
Working only during school term-time	657	13.6%	1.0%	1.26	641	19.4%	1.1%	1.22
Workplace nursery	54	0.9%	0.2%	1.18	53	1.4%	0.4%	1.49
Financial help with child-care	137	3.7%	0.7%	1.65	125	3.0%	0.5%	1.20
Financial help with the care of older adults	1	0.1%	0.1%	1.58	1	0.2%	0.2%	2.00
Specific period of leave for carers of older adults	75	3.1%	0.6%	1.70	64	2.1%	0.5%	1.55
None of these	1360	78.6%	1.2%	1.39	1170	73.8%	1.2%	1.26
Has there been any redundancies in... (NANYRED)								
Yes	619	8.8%	0.8%	1.28	609	12.8%	1.0%	1.28
No	1618	91.2%	0.8%	1.28	1401	87.2%	1.0%	1.28
Over the past five years, has this establishment benchmarked ... (KBNCHMA)								
Yes	1147	35.7%	1.7%	1.64	1073	39.2%	1.6%	1.47
No	1094	64.3%	1.7%	1.64	939	60.8%	1.6%	1.47
How would you rate the relationship between management and ... (MRELATE)								
Very good	810	49.2%	1.8%	1.69	683	46.8%	1.7%	1.56
Good	1234	44.3%	1.8%	1.69	1139	46.2%	1.7%	1.55
Neither good nor bad	198	5.5%	0.8%	1.74	188	5.7%	0.8%	1.48
Poor	34	0.9%	0.3%	1.48	33	1.3%	0.4%	1.53
Very poor	2	0.0%	0.0%	0.43	2	0.0%	0.0%	0.54

8.1.2 Cross-section: sample of employees

To derive complex standard errors for the SEQ data, the clustering of the sample within the WERS 2004 establishments has to be taken into account, as well as the establishment stratification and the SEQ survey weights. This is achieved in a package such as STATA by declaring the establishment to be the 'primary sampling unit'.

Table 8-2 shows complex standard errors and DEFTs for a range of estimates derived from the SEQ. Again, results are shown separately for establishments with five or more employees and for the sub-set of establishments with ten or more employees.

The mean values of the DEFT from Table 8-2 are 1.79 for employees in establishments with five or more employees, and 1.78 for employees in establishments with ten or more employees. The respective medians are 1.59 and 1.55.

Table 8-2: Complex Standard Errors and DEFTs for a range of SEQ estimates

VARIABLE	Establishments with 5+ employees				Establishments with 10+ employees			
	N (unweighted)	Estimate	Complex S.E	DEFT	N (unweighted)	Estimate	Complex S.E	DEFT
Years working at organisation (A1)								
Less than 1 year	3535	17.6%	0.5%	2.02	3350	17.0%	0.5%	2.09
1 < 2 years	2871	13.3%	0.3%	1.44	2754	13.0%	0.3%	1.42
2 < 5 years	5987	26.4%	0.5%	1.58	5752	26.0%	0.5%	1.54
5 < 10 years	4159	17.9%	0.4%	1.46	4031	18.2%	0.4%	1.42
10+ years	5815	24.8%	0.6%	2.07	5686	25.8%	0.6%	2.10
Job status (A2)								
Permanent	20591	92.0%	0.3%	2.04	19868	92.1%	0.3%	1.67
Temporary (no agreed end date)	1006	5.0%	0.3%	1.75	949	4.6%	0.2%	1.68
Fixed period	750	3.1%	0.2%	1.52	737	3.2%	0.2%	1.55
Satisfaction with level of influence (A8c)								
Very satisfied	2778	13.1%	0.3%	1.48	2625	12.3%	0.3%	1.31
Satisfied	9911	45.2%	0.4%	1.28	9555	45.3%	0.4%	1.26
Neither	6197	28.1%	0.4%	1.24	5983	28.2%	0.4%	1.14
Dissatisfied	2469	10.7%	0.3%	1.29	2421	11.1%	0.3%	1.28
Very dissatisfied	665	2.9%	0.1%	1.25	652	3.1%	0.1%	1.25
Satisfaction with pay (A8e)								
Very satisfied	953	4.6%	0.2%	1.36	906	4.4%	0.2%	1.34
Satisfied	6940	31.0%	0.5%	1.55	6698	31.0%	0.5%	1.51
Neither	5232	24.0%	0.4%	1.39	5026	23.7%	0.4%	1.31
Dissatisfied	6128	27.3%	0.4%	1.33	5937	27.7%	0.4%	1.31
Very dissatisfied	2893	13.2%	0.4%	1.59	2799	13.2%	0.3%	1.49
How much training (B4)								
None	7638	36.7%	0.7%	2.12	7301	35.7%	0.7%	2.15
Less than 1 day	2076	9.5%	0.3%	1.31	2017	9.7%	0.3%	1.30
1 < 2 days	3389	14.7%	0.3%	1.37	3276	14.8%	0.3%	1.36
2 < 5 days	4928	21.3%	0.4%	1.53	4779	21.7%	0.4%	1.55
5 < 10 days	2303	9.6%	0.3%	1.45	2233	9.7%	0.3%	1.44
10+ days	1947	8.2%	0.3%	1.49	1889	8.3	0.3%	1.48
Relations between managers and employees (C3)								
Very good	4144	21.4%	0.5%	1.94	3786	18.6%	0.5%	1.81
Good	9116	40.4%	0.5%	1.44	8846	41.1%	0.5%	1.42
Neither good nor poor	5398	23.3%	0.4%	1.39	5286	24.4%	0.4%	1.39
Poor	2495	10.8%	0.3%	1.46	2467	11.7%	0.3%	1.48
Very poor	908	4.0%	0.2%	1.55	893	4.2%	0.2%	1.52
Member of TU/staff association (D1)								
Yes	8220	31.6%	0.8%	2.61	8102	33.7%	0.9%	2.71
No, but have been in past	3707	17.1%	0.4%	1.48	3569	17.0%	0.4%	1.49
No, never	10402	51.3%	0.8%	2.37	9869	49.3%	0.8%	2.47
Management attitudes to TU membership (D3)								
In favour	4077	33.5%	0.9%	1.99	3998	34.1%	0.9%	1.97
Not in favour	2727	26.7%	0.9%	2.19	2661	26.6%	0.9%	2.22
Neutral	4463	39.8%	0.7%	1.53	4329	39.3%	0.7%	1.51

Table 8-2: Complex Standard Errors and DEFTs for a range of SEQ estimates- Cont.

VARIABLE	Establishments with 5+ employees				Establishments with 10+ employees			
	N (unweighted)	Estimate	Complex S.E	DEFT	N (unweighted)	Estimate	Complex S.E	DEFT
Occupation group (ESOC1)								
Managers and senior officials	2499	11.8%	0.4%	1.69	2356	11.0%	0.4%	1.69
Professional occupations	2663	10.9%	0.5%	2.18	2630	11.7%	0.5%	2.24
Associate prof/technical	3704	14.9%	0.5%	1.93	3600	15.4%	0.5%	1.97
Admin and secretarial	4219	18.2%	0.5%	2.06	4048	18.1%	0.5%	2.08
Skilled trades	1490	7.2%	0.4%	2.42	1436	7.0%	0.4%	2.38
Personal service	1971	7.4%	0.4%	2.02	1928	7.6%	0.4%	1.99
Sales/consumer service	1521	9.4%	0.5%	2.78	1377	8.1%	0.5%	2.89
Process, plant and machine operatives	1650	8.2%	0.5%	2.52	1616	8.6%	0.5%	2.59
Elementary occupations	2483	12.0%	0.5%	2.46	2427	12.5%	0.6%	2.59
Hours worked (mean) (A3)	22114	35.8	0.19	2.27	21329	36.1	0.20	2.33
Employee has access to flexi- time (B1a)								
Yes	8479	49.0%	0.8%	2.23	8144	48.4%	0.9%	2.29
No	9131	51.0%	0.8%	2.23	8856	51.6%	0.9%	2.29
Employee could reduce their working hours (B1c)								
Yes	7151	46.6%	0.8%	1.96	6881	46.4%	0.8%	1.97
No	8203	53.4%	0.8%	1.96	7933	53.6%	0.8%	1.97

8.1.3 Panel Survey: estimates of change between 1998 and 2004

To derive complex standard errors for change between 1998 and 2004 based on the Panel Survey, the 1998 stratification has to be taken into account, alongside the WERS 2004 Panel Survey weights.

To deal with the fact that difference estimates are based on paired observations (rather than independent samples) the simplest approach is to set up a difference score per establishment and then calculate the mean of these differences. For example, to calculate the standard error around the difference in two percentages (say, the percentage of establishments with a recognised trade union), this can be done by creating a variable equal to: -100 for establishments moving from a positive response in 1998 to a negative one in 2004; 0 for establishments giving the same response each time; and 100 for establishments moving from a negative response in 1998 to a positive response in 2005. Taking the mean of these scores will give the percentage change between 1998 and 2005.

This approach has been used to generate the estimates and complex standard errors of Table 8-3, which shows change estimates, and their associated standard errors and DEFTs for a range of estimates from the Panel.

The mean DEFT from Table 8-3 is 1.76, although as was the case for Table 8-1 and 8-2, there is considerable variation around this average. So, although using the 1.76 as a 'likely' DEFT figure for some explanatory analysis might be useful, it cannot replace direct calculation of the standard error. The median value for the DEFT is 1.95.

Table 8-3: Complex Standard Errors and DEFTs for a range of difference estimates from the Panel Survey

VARIABLE	N (unweighted)	1998 (%)	2005 (%)	Difference (%)	Complex S.E	DEFT
Workplace size	938					
10 to 24 employees		51.9	42.1	-9.9	2.8	1.99
25 to 49 employees		22.1	28.1	6.0	2.7	1.73
50 to 99 employees		14.6	14.9	0.3	1.8	1.35
100 to 199 employees		6.8	8.8	2.1	1.4	1.39
200 to 499 employees		3.4	4.4	1.0	0.6	0.88
500 or more employees		1.1	1.7	0.5	0.2	0.52
Industry	938					
Manufacturing		11.9	11.9	0.0	0.2	0.75
Electricity, gas and water		0.3	0.3	0.0	0.0	0.54
Construction		3.8	3.7	-0.1	0.1	0.56
Wholesale and retail		15.6	15.6	-0.0	0.3	0.86
Hotels and restaurants		9.7	10.5	0.8	0.6	1.88
Transport and communications		4.5	4.7	0.3	0.2	0.92
Financial services		4.8	4.8	-0.0	0.1	0.83
Other business services		13.1	11.8	-1.3	1.0	2.14
Public administration		4.1	5.6	1.5	1.0	2.53
Education		13.4	13.2	-0.1	0.1	0.87
Health		13.5	13.4	-0.2	0.4	1.38
Other community services		5.2	4.4	-0.8	0.6	1.66
Sector	938					
Private manufacturing		11.8	11.9	0.1	0.2	0.75
Private services		62.4	64.1	1.7	0.8	1.62
Public		25.8	24.0	-1.8	0.8	1.72
Organisational status	938					
Stand-alone workplace		29.9	28.2	-1.7	2.4	2.14
Part of a wider organisation		70.1	71.8	1.7	2.4	2.14
Branch, head office, or single site	923					
Branch site of multi		58.4	56.9	-1.5	3.1	2.26
Head office of multi		9.9	12.9	3.0	2.3	2.09
Single site/sole UK site of foreign organisation		31.7	30.1	-1.5	2.4	2.10
UK or foreign ownership	581					
Wholly UK owned		86.8	82.5	-4.3	1.9	1.39
Some foreign ownership		13.2	17.5	4.3	1.9	1.39
Percentage of employees female	925					
25% or less		22.8	24.6	1.8	1.8	1.99
25% - 75%		47.2	44.6	-2.6	2.4	1.99
75% or more		30.0	30.7	0.8	1.6	1.95
Establishment has more than 50% employees part-time	927					
No		72.8	73.3	-0.5	2.9	2.41
Yes		27.2	26.7	0.5	2.9	2.41
Whether respondent is a personnel specialist	934					
Yes		19.5	23.4	3.9	1.6	1.47
No		80.5	76.6	-3.9	1.6	1.47
Use performance/competency tests when filling vacancies	936					
Yes		47.3	59.8	12.4	4.2	2.20
No		52.7	40.2	-12.4	4.2	2.20

Table 8-3: Complex Standard Errors and DEFTs for a range of difference estimates from the Panel Survey- Cont.

VARIABLE	N (unweighted)	1998 (%)	2005 (%)	Difference (%)	Complex S.E	DEFT
Any employees member of a trade union	938					
Yes		47.9	51.5	3.6	2.5	2.16
No		52.1	48.5	-3.6	2.5	2.16
Whether any recognised unions at the establishment	916					
Yes		63.0	57.1	-5.8	1.6	1.53
No		37.0	42.9	5.8	1.6	1.53
Total number of recognised unions	508					
One		59.3	45.8	-13.5	4.8	2.16
Two		28.5	26.7	-1.7	5.5	2.29
Three		7.0	12.6	5.5	2.8	1.77
Four or more		5.2	14.9	9.7	2.7	1.65
Workplace JCC	927					
No workplace JCC		77.2	72.8	-4.4	2.9	1.71
Single issue JCC(s) only		3.3	3.9	0.7	1.4	1.73
Multi-issue JCC(s)		19.6	23.3	3.7	2.9	1.74
Any profit-sharing?	936					
Yes		35.5	32.2	-3.3	3.2	1.97
No		64.5	67.8	3.3	3.2	1.97
Any share ownership schemes?	936					
Yes		14.7	15.3	0.6	2.9	2.34
No		85.3	84.7	-0.6	2.9	2.34
Formal written policy on equal ops or managing diversity	933					
Yes		68.2	81.8	13.6	2.6	2.03
No		31.8	18.2	-13.6	2.6	2.03
Respondent's rating of management/employee relations at the establishment	935					
Very good		42.0	46.3	4.3	4.3	2.05
Good		50.1	47.5	-2.6	4.2	1.92
Neither good nor bad		4.2	5.4	1.2	1.3	1.35
Poor		3.2	0.8	-2.4	1.9	3.01
Very poor		0.5	0.0	-0.5	0.5	2.10
Some non-managerial employees have access to parental leave	938					
Yes		37.6	72.4	34.8	4.7	2.24
No		62.4	27.6	-34.8	4.7	2.24
Some non-managerial employees can switch from full-time to part-time employment	938					
Yes		45.9	64.1	18.3	4.4	2.32
No		54.1	35.9	-18.3	4.4	2.32

8.2 Archiving of data and confidentiality restrictions

8.2.1 Changes to dataset prior to depositing: general comments

The National Centre for Social Research handed over to the funding organisations data files comprising fully edited and coded records of the final achieved samples in May 2005 (Cross-section : 2, 295 cases, Employee Representative : 985 cases, Panel : 956 cases).

In the months prior to the hand over of data, members of the funding research team had worked closely with NatCen's researchers and operations staff, in the structural analysis of virtually all cases and particularly of 'problem' interviews. This led to the deletion of a number of cases, in which interviews had been carried out but were deemed to be unsound, and also to the application of a number of overcodes (see Section Six: 6.6).

8.2.2 Changes to the Panel files prior to archiving

Access to the 1998 Panel data enabled the research team to scrutinise the Panel data files in considerable detail. The outcome was that, of the 956 productive cases handed over by the National Centre for Social Research:

- Ten were classified as having been carried out at valid workplaces in 2004, but it seemed, retrospectively, that the 1998 interview had not been with a valid workplace; and,
- Eight were judged not to have been carried out at a valid workplace in 2004, although the 1998 interview was valid.

8.2.3 Confidentiality of data and restrictions of access

The obligations to respondents of both the funding organisations and the National Centre for Social Research are documented in the letters sent by the DTI to the selected workplaces prior to interview and the Statement of Anonymity Procedures issued on behalf of all the organisations involved. (Copies of these are included in Section Nine.)

The letters stated that the information given by respondents would remain confidential in accordance with the Data Protection Act and be used solely for research purposes. The letters also stated that the identity of individuals or workplaces would never be revealed.

The Statement of Anonymity repeated the points on confidentiality made in the letters. In addition the statement explained how for administrative purposes it was necessary that each questionnaire and questionnaire record had a unique identification number, however the key for this sequence would at all times be kept separate from the data. It would remain confidential to the project researchers within the Department of Trade and Industry, the Policy Studies Institute and the National Centre for Social Research, and to the Office for National Statistics.

The statement also specified that, 'to further minimise the risk of identification information, such as the region in which each establishment is located or the detailed industry sector in which it operates, will also be withheld from the deposited data until two years after interviewing'.

The guarantee to the employees sending in a completed Survey of Employees questionnaire was that 'everything that you say in this questionnaire will remain confidential. ...After the answers have been entered into a computer, the questionnaire will be destroyed.' The guarantee to the individuals sending in a completed Financial Performance questionnaire was that 'the information you provide will be used solely for statistical purposes and will be treated in strict confidence in accordance with the Data Protection Act'.

8.2.4 Accessing WERS data

The WERS 2004 data is available for bone fide research purposes from the UK Data Archive. The previous surveys in the WERS series are also available from the Archive (see www.data-archive.ac.uk). Data from the Financial Performance Questionnaire are available from the ONS Microdata Lab (see www.statistics.gov.uk/about/bdl/) until April 2007, after which time they will be made available via the UK Data Archive.

Given the points made in the Statement of Anonymity made in paragraph four in section 8.2.3 above the WERS sponsors agreed that the regional identifiers and detailed industry data would be withheld from the data deposited in the UK Archive until April 2007.

9 PAPER DOCUMENTS – FIELDWORK AND OTHER

CROSS-SECTION SURVEY

- Briefing Agenda
- Address Record Form
- DTI Letters to Respondents (Managers, Wave 1 & 2)
- DTI Letters to Employee Representatives and FPQ respondents
- DTI Leaflets (Management and Employee)
- Specimen Local Unit Sheet (Wave 2 establishments)
- Letter from Secretary General of TUC
- Letter from CIPD
- NatCen Letter to potential refusals ('busy' letter)
- Wave 2 Reminder Letter to Managers
- NatCen Appointment Letter
- Statement of Anonymity Procedures
- Employee Profile Questionnaire
- Survey of Employees Questionnaire
- Financial Performance Questionnaire
- Financial Performance Questionnaire Insert
- Survey of Employees Sampling Document
- Survey of Employees Reminder Letters
- FPQ Reminder Letters
- FPQ Budget letter
- Specimen Fact Sheet

**WERS 2004 – BRIEFING AGENDA
DAY 1.**

Time of day	No	Topic	Presented by;
10:00		Coffee & load computers	
10:30	1	Introduction, outline of briefing, introduction of who's who.	NatCen
10:35	2	Nature & purpose of WERS5 <ul style="list-style-type: none"> ■ background to series ■ publications & results from earlier surveys 	Funders
10.50	3	Structure of WERS5 <ul style="list-style-type: none"> ■ Main survey - sample selection & overview ■ Panel survey - ditto 	NatCen
11:00	4	Main sample <ul style="list-style-type: none"> ■ identifying, defining, difficulties ■ sample waves 	NatCen
11:20	5	Before you visit – contact procedure <ul style="list-style-type: none"> ■ whom to interview + appointment making ■ sending letter & materials ■ ideas to get co-operation 	NatCen
11:30		COFFEE	
11:35	6	Survey concepts <ul style="list-style-type: none"> ■ overview of topics ■ key concepts in employee relations ■ unions & staff associations, recognition & negotiation (point out overlap with panel) 	Funders
12.15	7	EPQ <ul style="list-style-type: none"> ■ look at it ■ SOC Groups 	NatCen
12:30		LUNCH	
13:00	8	MQ: on Laptop <ul style="list-style-type: none"> ■ look at EPQ grid + go through dummy questionnaire ■ point out key checks ■ change largest SOC group and see effects ■ enter details for EPQ Dummy 2 	NatCen
14.30		TEA	
14.45	9	MQ: on Laptop (complete remainder of questionnaire)	Funders
15:45	9A	Questions	NatCen/Funders
16:00		Finish	

DAY 2.

10:00		COFFEE	
10:30	10	Overview of topics covered on day 1	NatCen
10:40	11	Worker Rep: <ul style="list-style-type: none"> ■ identify respondent ■ overview of topics & features 	NatCen (+ Funder)
11:00		Worker rep on Laptops (Section A)	
11:25		COFFEE	
11:30	12	Survey of Employees <ul style="list-style-type: none"> ■ purpose, AWIRS ■ sampling ■ distribution & collection ■ reminders 	
12:00	13	Financial Performance Questionnaire <ul style="list-style-type: none"> ■ overview 	NatCen
12:05	14	Panel Survey <ul style="list-style-type: none"> ■ 1997 Survey ■ Panel sample ■ definitions – 10 emps. threshold, Bargaining groups 	Funders
12:30		LUNCH	Funders
13:00	15	Panel Questionnaire <ul style="list-style-type: none"> ■ overview of topics ■ key concepts 	NatCen
13:15		PQ dummy questionnaire	NatCen/Funders
14:15	16	BWDS <ul style="list-style-type: none"> ■ overview 	NatCen
14:30	17	ARFs and Admin Outputs <ul style="list-style-type: none"> ■ Main ARF ■ Panel ARF ■ Intermediate outcomes ■ Resolving queries 	NatCen
15:00		TEA	
15:10	17	ARFs and Admin Outputs (cont)	NatCen
15:30	18	Review of tasks <ul style="list-style-type: none"> ■ Main sample contacting ■ Main sample interview ■ Worker Rep interview ■ Sampling employees ■ Contacting Panel ■ Panel interview ■ Check materials and how to use ■ Timetable ■ Numbers achieved/response rates 	NatCen
15:45		Field Admin	NatCen Field Rep
16:00		Questions (& Answers !?)	NatCen/Funders

**5TH Workplace Employment Relations Survey
Cross Section Sample (MQ)**

P.2336

ADDRESS RECORD FORM (ARF)

	ASSIGNMENT/SLOT NAME:	
	TRIP/RETURN NO:	
	FINAL OUTCOME:	

PINK TEAM

INTERVIEWER NO.

--	--	--	--	--	--	--	--

INTERVIEWER NAME _____

<p>Label 1 Establishment address from current IDBR</p>	<p>Label 2 Current IDBR summary 2003, workplace details, industry, UCC</p>	<p>Label 3 Wave #, field area,</p>
<p>Management Respondent</p> <p>Name: Title: Tel.No.</p>		<p>Label 4 [Details of reporting unit only]</p>
<p>First Worker Representative</p> <p>Name: Title: Tel.No.</p>		<p>Second Worker Representative</p> <p>Name: Title: Tel.No.</p>
<p>For interviewer use: e.g.2nd manager's name</p>		<p>For interviewer use: e.g. New address</p>

NOTES

<p>RE-ALLOCATED : If this establishment is being reallocated to another interviewer before you have completed it, code here</p>	900	END
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SUMMARY OF INTERVIEW RESPONSE FINAL PRODUCTIVE OUTCOME

E: WORK AT ESTABLISHMENT COMPLETE	Outcome Code	Also Complete
MQ productive; SEQ placement made; Two productive WRQ	110	
MQ productive; SEQ placement made; One productive WRQ (only one present)	111	END
MQ productive; SEQ placement made; WRQ not required	112	
MQ productive; SEQ placement made; Two WRQ required, both not productive	113	→ G
MQ productive; SEQ placement made; Two WRQ required, one not productive	114	→ G
MQ productive; SEQ placement made; One WRQ required, not productive	115	→ G
MQ productive; no SEQ placement; Two productive WRQ	116	→ H
MQ productive; no SEQ placement; One productive WRQ (only one present)	117	→ H
MQ productive; no SEQ placement; WRQ not required	118	→ H
MQ productive; no SEQ placement; Two WRQ required, both not productive	119	→ G + H
MQ productive; no SEQ placement; Two WRQ required, one not productive	120	→ G + H
MQ productive; no SEQ placement; One WRQ required, not productive	121	→ G + H
FINAL UNPRODUCTIVE OUTCOME (MQ)		
Contact made/ management respondent refused	431	
Management respondent never available/ no contact.....	432	
Refusal by Head Office/Area Office.....	433	
Claimed prior refusal to DTI.....	434	END
Broken appointment, no recontact.....	450	
Ill/away for duration of survey	510	
Other (SPECIFY) _____	563	

INTERMEDIATE OUTCOMES only use with permission from Area Manager or Office

F: work at establishment not yet complete <i>Partially done, transmit to office for reallocation to another interviewer</i>	Outcome Code	Also Complete
MQ complete; SEQ placement made; WRQ not done, still possible	212	→ L
MQ complete; SEQ not placed, still possible; WRQ done	213	→ K
MQ complete; SEQ not placed, still possible; WRQ not done, still possible	214	→ K + L
MQ complete; SEQ not placed, still possible; WRQ not required	215	→ K
MQ <u>not</u> complete; SEQ placement made; WRQ not done, still possible	216	→ J + L
MQ <u>not</u> complete; SEQ placement made; WRQ done	217	→ J
MQ <u>not</u> complete; SEQ placement made; WRQ not required	218	→ J
MQ <u>not</u> complete; SEQ not placed, still possible; WR not done, still possible	219	→ J + K + L
MQ <u>not</u> complete; SEQ not placed, still possible; WRQ done	220	→ J + K
MQ <u>not</u> complete; SEQ not placed, still possible; WRQ not required	221	→ J + K

REASONS FOR NON RESPONSE

G WORKER REP	WR1	WR2	H SEQ	
Never available/no contact	1	1	No computer files/lists available	1
Broken appointment/no contact	2	2	Files/lists available but not for complete establishment; full list not available	2
Contact made/person refused	3	3	Files/list available but for larger unit than establishment; impossible to proceed	3
Refusal by management at establishment	4	4	Refused: sampling too much trouble	4
Refusal by Head Office/Area Office	5	5	Refused: unwilling to ask employees	5
Refusal by own union (outside establishment)	6	6	Other (SPECIFY) _____	6
Ill/away for duration of survey	7	7	_____	
Other (SPECIFY) _____	8	8	_____	
_____			_____	
_____			_____	

J. REASONS WHY MQ NOT COMPLETE	
FURTHER SECTIONS TO BE COMPLETED AT SAME SITE	200
FURTHER SECTIONS TO BE COMPLETED AT DIFFERENT SITE	201
SPECIFY DETAILS	

K. REASONS WHY SEQ PLACEMENT CONSIDERED POSSIBLE BUT NOT YET DONE
SPECIFY DETAILS

L. REASONS WHY WRQ INTERVIEW CONSIDERED POSSIBLE BUT NOT YET DONE
SPECIFY DETAILS

M. SURVEY OF EMPLOYEES (SEQ)

No of SEQs placed:

CONTACT PERSON - if different from MQ respondent.

Name:

Title:

Tel.No.

N. FINANCIAL PERFORMANCE QUESTIONNAIRE (FPQ)

N1. Was the FPQ distributed?	YES	1	→	N2
	NO	2	→	N5

N2. Who do you expect the FPQ to be completed by?	Respondent	1	→	N4
	Someone else	2	→	N3

N3. Record details of who is completing the FPQ.

Name:

Title:

Tel.No.

N4. How do expect the FPQ to be returned? (Please code)

(Plan is) to post it at the same time as transmitting the interview	1
(Plan is) to collect it yourself and return it separately	2
(Plan is) to ask the respondent to post it back to the office	3

N5. Why was the FPQ not distributed?

Call No.	Date DD/MM	Day of week	Call Start Time (24hr)	CALLS RECORD (Note all calls, including telephone calls)	*Call Status (Enter codes only)	Call end Time (24hr)
1	/		:			:
2	/		:			:
3	/		:			:
4	/		:			:
5	/		:			:
6	/		:			:
7	/		:			:
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13	/		:			:
14	/		:			:
15	/		:			:
16	/		:			:
17	/		:			:

Call Status Codes:1=No Reply, 2=Contact Made, 3=Appointment Made, 4=Any Interviewing done, 5=Any Other Outcome (describe in calls record)

Dear

The Workplace Employment Relations Survey 2004

The Department of Trade and Industry has invited the National Centre for Social Research (NatCen), an independent research institute, to carry out a survey of employment relations practices in all sectors of industry, commerce and the public services. The survey is jointly funded by the Department, the Advisory, Conciliation and Arbitration Service (ACAS), the Economic and Social Research Council and the Policy Studies Institute.

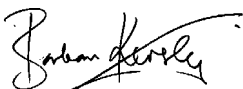
The aim of the survey is to produce information that truly reflects current employment relations practices throughout Britain. We will use the information to publish a report to aid public debate about employment relations policy and practice. The last survey of this nature was carried out in 1997-98 and the report, *Britain at Work*, generated widespread interest and comment. This new survey in the series has been developed in consultation with a wide range of bodies, and has the support of the Chartered Institute of Personnel and Development and the Trades Union Congress.

A NatCen interviewer will shortly contact you to seek your co-operation in the current survey. I very much hope that you will agree to be interviewed. The value of the survey depends very much on the co-operation of all those selected. All those participating will be provided with a summary of the main survey findings.

The information you provide will be used solely for research purposes and will be treated in strict confidence in accordance with the Data Protection Act. Neither individuals nor their workplace will ever be identified in the published results.

If you would like any further information about the survey then please visit the WERS web-site (www.dti.gov.uk/WERS2004). Alternatively you may call the WERS Freephone number (0800 652 4574) to speak to a member of the WERS Research Team at NatCen. With many thanks in anticipation of your help.

Yours sincerely,



Barbara Kersley
Principal Research Officer

WERS Research Team (NatCen)
Freephone: 0800 652 4574
Fax: 020 7250 1524
E-mail: WERS2004@natcen.ac.uk

**Department of Trade and
Industry**
Employment Relations Directorate
UG100
1 Victoria Street
London SW1H 0ET

www.dti.gov.uk/WERS2004

Dear

The Workplace Employment Relations Survey 2004

The Department of Trade and Industry is currently carrying out the 2004 Workplace Employment Relations Survey – the fifth in the series that began in 1980. This is a very significant undertaking for the Department, and provides the basis for most of what is known about developments in workplace employment relations.

One part of the sample has been selected to be representative of current employment throughout Britain. The other is a follow-up of establishments at which interviews were conducted in the 1998 WERS, to chart change and stability in employment relations practices. The enclosed leaflet outlines the survey's design and aims.

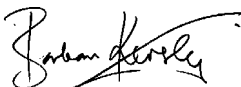
I am writing now to let you know that X establishments in your organisation have been selected as part of the sample for the 2004 WERS. These are identified on the attached sheet(s). I am sure that you will appreciate that the value of the research depends on the co-operation of all those selected.

The survey covers a range of topics relating to the practice of employment relations. This means that the interview is best conducted with a manager at each selected establishment, probably a personnel or employee relations specialist or a local manager. The interview would take place at a time convenient for the respondent. In addition, we would like to distribute a short self-completion questionnaire on attitudes to work to a random sample of up to 25 employees at each establishment. Arrangements for this employee survey would be made through the manager interviewed at the establishment.

The DTI has commissioned the National Centre for Social Research (NatCen), an independent research institute, to conduct the interviewing. I would therefore be very grateful if you could advise NatCen whom it would be most appropriate for their local interviewer to approach at each establishment, by writing the name and telephone number next to the addresses on each of the enclosed sheets. These should be returned to the WERS research team at NatCen in the envelope provided or by fax [NUMBER].

If this presents any difficulty, please contact [NAME] of the WERS Research Team at NatCen on [NUMBER] within the next week or so. With many thanks in anticipation of your help.

Yours sincerely,



Barbara Kersley
Principal Research Officer

WERS Research Team (NatCen)
Freephone: 0800 652 4574
Fax: 020 7250 1524
E-mail: WERS2004@natcen.ac.uk

**Department of Trade and
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Employment Relations Directorate
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1 Victoria Street
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www.dti.gov.uk/WERS2004

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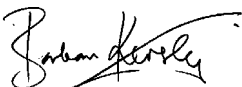
An interviewer from NatCen has recently interviewed one of the management here about the way employment relations are dealt with at this establishment. The aim of the survey is to produce information that truly reflects current employment relations practices throughout Britain. The last survey of this nature was carried out in 1997-98 and the published report, *Britain at Work*, generated widespread interest and comment. This new survey in the series has the support of the Trades Union Congress and the Chartered Institute of Personnel and Development.

Naturally, it is important to collect information from employee representatives as well as management. Your name has been given to the NatCen interviewer as someone in a very good position to help us complete our information for the place where you work. I hope very much that you will agree to be interviewed. All those participating will be provided with a summary of the main survey findings.

The information you provide will be used solely for research purposes and will be treated in strict confidence in accordance with the Data Protection Act. Neither individuals nor their workplace will ever be identified in the published results.

If you would like any further information about the survey then please visit the WERS web-site (www.dti.gov.uk/WERS2004). Alternatively you may call the WERS Freephone number (0800 652 4574) to speak to a member of the WERS Research Team at NatCen. With many thanks in anticipation of your help.

Yours sincerely,



Barbara Kersley
Principal Research Officer

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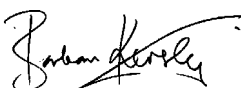
An interviewer from NatCen has recently interviewed one of the management here about the way employment relations are dealt with at this establishment. The aim of the survey is to produce information that truly reflects current employment relations practices throughout Britain. The last survey of this nature was carried out in 1997-98 and the published report, *Britain at Work*, generated widespread interest and comment. This new survey in the series has the support of the Trades Union Congress and the Chartered Institute of Personnel and Development.

We would like to obtain financial data about the establishment to complement the data already collected on employment relations, and your name has been given to the NatCen interviewer as someone in a very good position to help us. I hope very much that you will be able to complete the enclosed questionnaire. All those participating will be provided with a summary of the main survey findings.

The information you provide will be used solely for statistical purposes and will be treated in strict confidence in accordance with the Data Protection Act. Neither individuals nor their workplace will ever be identified in the published results.

If you would like any further information about the survey then please visit the WERS web-site (www.dti.gov.uk/WERS2004). Alternatively you may call the WERS Freephone number (0800 652 4574) to speak to a member of the WERS Research Team at NatCen. With many thanks in anticipation of your help.

Yours sincerely,



Barbara Kersley
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**Department of Trade and
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Employment Relations Directorate
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1 Victoria Street
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www.dti.gov.uk/WERS2004

How and when will I be able to hear about the results?

The National Centre for Social Research (NatCen) has been commissioned to conduct the interviews for the sponsors between January and October 2004. A summary report of the findings will be provided to all participating workplaces in early 2005. A full report will be published in early 2006. Survey results will also be made publicly available in anonymised form for non-commercial research by academics, employer associations, business and trade union researchers.

Final thoughts

The ethos of the study is to produce information that truly reflects employment practices throughout British workplaces. It has been designed in a spirit of openness, a spirit we hope will be reflected in your willingness to take part.

Further information

If you have any queries, please call the WERS **Freephone number (0800 652 4574)** to speak to a member of the Research Team at NatCen.

Alternatively, you may contact Barbara Kersley, WERS Project Manager, at the following address:

**Employment Relations Directorate
Department of Trade and Industry
UG 100
1 Victoria Street
London
SW1H 0ET**

If you would like further information about the survey then please visit the WERS web-site at:
www.dti.gov.uk/WERS2004

The Workplace Employment Relations Survey

2004

What is WERS 2004?

WERS 2004 is a national survey of people at work. It follows in the acclaimed footsteps of earlier surveys conducted in 1980, 1984, 1990 and 1997/8.

The survey is jointly sponsored by ACAS, the Department of Trade and Industry, the Economic and Social Research Council, and the Policy Studies Institute.

Its only purpose is to provide an account of current employment relations practices throughout Britain. For this reason, the survey is supported and endorsed by leading organisations like the Chartered Institute of Personnel and Development and the Trades Union Congress. It has no hidden agenda.

Aims of the survey

We have consulted extensively with business, unions and academics to ensure that the survey will be relevant to all who wish to use the information.

Like its predecessors, WERS 2004 will significantly contribute to our understanding of:

- how management organise work to increase productivity and quality
- how managers inform, consult or negotiate with their employees.

The survey will also help to assess and develop government policy in the field of employment relations.

Who will be surveyed?

MANAGERS: an interview with the senior workplace manager dealing with personnel issues. In addition, surviving workplaces from the 1997/8 survey will be re-contacted and the senior manager dealing with personnel issues interviewed.

WORKER REPRESENTATIVES: an interview with the senior worker representative of the union with the most members at the workplace, a representative from a joint consultative committee or a non-union employee representative.

EMPLOYEES: in each workplace a small group of employees will be asked to complete a short questionnaire about their work and their workplace.

All workplaces in Britain with 5 or more employees are eligible for the survey, be they schools, shops, offices or factories. The focus of the questions is about what goes on at the workplace, not head office, so interviews are conducted with people at their workplace.

Areas the survey will cover

- Recruitment & training
- Consultation & communication
- Employee representation
- Payment systems
- Equal opportunities
- Health & safety
- Flexibility & performance
- Employee attitudes to work

Why everyone should participate

There is one chance in a hundred that your workplace is one of the 3,500 asked to take part. Workplaces have been chosen at random from the government's register of businesses. It is important that you take part as:

- it is a rare opportunity to contribute to the most extensive survey of its kind in Britain
- your experiences and situation might well be distinctive, and without that distinctiveness the survey findings would not be representative
- substantial time, effort and public funds would otherwise have been wasted.

Total confidentiality and anonymity

The sponsors guarantee the confidentiality and anonymity of the information provided in accordance with the Data Protection Act. No workplace, manager, worker representative or employee will be identifiable from the findings. The same undertakings have been given and observed in each of the four earlier surveys.

Final thoughts

The reason for the study is to produce information that truly reflects employees' views about their work. It has been designed in a spirit of openness, a spirit we hope will be reflected in your willingness to take part.

Further information

If you have any queries, please call the WERS **Freephone number (0800 652 4574)** to speak to a member of the Research Team at NatCen.

Alternatively, you may contact Barbara Kersley, WERS Project Manager, at the following address:

**Employment Relations Directorate
Department of Trade and Industry
UG 100
1 Victoria Street
London
SW1H 0ET**

If you would like further information about the survey then please visit the WERS web-site at: www.dti.gov.uk/WERS2004

The Workplace Employment Relations Survey

2004

FURTHER INFORMATION
Freephone 0800 652 4574

What is WERS 2004?

WERS 2004 is a national survey of people at work: employees, managers and worker representatives. It follows earlier surveys conducted in 1980, 1984, 1990 and 1997/8. These formed the background for government policy affecting many areas of working life.

The survey is sponsored by the Government's Department of Trade and Industry, the Advisory, Conciliation and Arbitration Service (ACAS), the Economic and Social Research Council, and the Policy Studies Institute.

We have developed a specially designed questionnaire for employees. It is a very important part of WERS 2004, involving 50,000 employees. We want to know what you think about your job and how changes at your workplace affect you.

Who will be asked for their help?

Employees in all types of workplaces including schools, shops, offices and factories in Britain will take part.

It is important that, if chosen, you take part because:

- it is a rare and exciting opportunity to contribute to the biggest survey of its kind in Britain
- your experience is vital, and without that special knowledge we would not have a true picture of how work is organised
- a great deal of time, effort and public money would have otherwise been wasted.

Who thinks WERS 2004 is a good idea?

The Chartered Institute of Personnel and Development (CIPD) and the Trades Union Congress (TUC) enthusiastically support the survey.

Total confidentiality and anonymity

Confidentiality and anonymity is totally guaranteed in accordance with the Data Protection Act. No person will be identified from the findings. We gave and kept the same promise in the four earlier surveys.

What will happen next?

The National Centre for Social Research (NatCen) has been hired to distribute the questionnaires. Please return the completed questionnaire within the next two weeks.

A summary report of the findings will be provided to all participating workplaces in early 2005.

2004 WORKPLACE EMPLOYMENT RELATIONS SURVEY

Conducted for: Department of Trade and Industry, Employment Relations Directorate.

www.dto.gov.uk/WERS2004

By: National Centre for Social Research, 35 Northampton Square, London, EC1V 0AX

Email: WERS2004@natcen.ac.uk

Tel: 020 75499514

Fax: 020 72501524

ESTABLISHMENT(S) SELECTED FOR THE SURVEY

**PLEASE WRITE IN NAME AND TELEPHONE OF CONTACT
(If the address is incorrect, please update it)**

NatCen Ref. No:

Contact name:

Sample Ref. No:

Contact address:

Establishment Name

&

Address

Tel. No.

NatCen Ref. No:

Contact name:

Sample Ref. No:

Contact address:

Establishment Name

&

Address

Tel. No.



Trades Union Congress

**To All Trade Union Interviewees
For The Fifth Workplace Employment
Relations Survey**

Dear Colleague,

The Workplace Employment Relations Survey 2004

I am writing to encourage you to participate in the Fifth Workplace Employment Relations Survey. As you have no doubt been told, this is a joint project involving the Department of Trade and Industry, ACAS, the Economic and Social Research Council and the Policy Studies Institute. The most recent survey was conducted in 1998 and proved to be a valuable source of information about trends in collective bargaining, the changing role of trade unions and employer attitudes. I would expect the 2004 survey to be equally useful.

The Government has introduced major changes to employment law in recent years, including the new right to trade union recognition, the National Minimum Wage and new rights for working parents. Further changes are forthcoming in the area of information and consultation. The results of the survey will be useful to the trade union movement in continuing to make the case for fairness at work and will assist the Government in drafting legislation that best addresses the problems faced by working people.

The survey has been designed following consultation with the TUC. All responses are entirely confidential and no information will be supplied to your employer.

I do hope that you will be able to spare the small amount of time necessary to take part in the survey.

Yours sincerely,

A handwritten signature in black ink that reads 'Brendan Barber'. The signature is written in a cursive, flowing style.

Brendan Barber
General Secretary

Congress House, Great Russell Street, London WC1B 3LS
telephone: 020 7636 4030 fax: 020 7636 0632

General Secretary: *Brendan Barber* Deputy General Secretary: *Frances O'Grady*
Assistant General Secretary: *Kay Carberry*



INVESTOR IN PEOPLE



**To All Management Interviewees for the
Fifth Workplace Employment Relations Survey**

Dear Colleague,

The Workplace Employment Relations Survey 2004

I am writing to encourage you to participate in the Fifth Workplace Employment Relations Survey. As you have no doubt been told, this is a joint project involving the Department of Trade and Industry, ACAS, the Economic and Social Research Council and the Policy Studies Institute. The most recent survey was conducted in 1998 and proved to be a valuable source of information about trends in the management of employees, changing forms of employee representation and employee attitudes. I would expect the 2004 survey to be equally useful.

The Government has introduced major changes to employment law in recent years, including the new right to trade union recognition, the National Minimum Wage and new rights for working parents. Further changes are forthcoming in the area of information and consultation. The results of the survey will help inform debate about the regulation of the employment relationship. The survey results will also help us to identify the most effective means of managing and developing employees within the workplace.

The survey has been designed following consultation with the CIPD, who are encouraging managers to take part. All responses are entirely confidential and neither you, nor your organisation, will be identified in any of the results.

I do hope that you will be able to spare the time necessary to take part in the survey.

Yours sincerely,

A handwritten signature in black ink that reads 'Duncan I Brown'.

Duncan Brown
Assistant Director General

Dear

The Workplace Employment Relations Survey 2004

I have been informed by our survey contractors, the National Centre for Social Research (NatCen), that you are very busy at present and feel unable to participate in the Workplace Employment Relations Survey 2004.

We understand and appreciate that your time is scarce and that you are working in a demanding environment. However, I would say, in support of the survey, that without the co-operation of businesses such as yours, the way in which we advise on policy issues would be based on incomplete information. I am sure you will appreciate that the value of the research depends upon the co-operation of all those selected to participate.

Can I further point out that the fieldwork period for the survey will continue until September 2004. If you were to agree to be interviewed as part of the survey, any appointment could be arranged at your discretion within this time frame. Hopefully this will provide you with sufficient flexibility to arrange a suitable time for an interview with NatCen.

With these points in mind, the WERS Research Team at NatCen will contact you again after a few weeks have passed in order to seek your agreement to participate in the survey. Should you not wish to be contacted again, you may call the WERS Freephone number (0800 652 4574) to opt out of this process.

This survey is the most important of its kind in Britain and is the fifth survey in a series that began in 1980. I enclose an information leaflet giving a brief outline of the structure and content of the survey. The results form the basis for much of what is known about developments in employment relations, which is why the survey is funded by a consortium of government and non-government organisations – the DTI, ACAS, the Economic and Social Research Council and the Policy Studies Institute. It is also enthusiastically supported by the Chartered Institute for Personnel and Development.

I do hope that you will be able to find the time to participate in this important survey. With many thanks in anticipation of your help.

Yours sincerely,

Barbara Kersley
Principal Research Officer

WERS Research Team (NatCen)
Freephone: 0800 652 4574
Fax: 020 7250 1524
E-mail: WERS2004@natcen.ac.uk

**Department of Trade and
Industry**
Employment Relations Directorate
UG100
1 Victoria Street
London SW1H 0ET
www.dti.gov.uk/WERS2004

Dear

The Workplace Employment Relations Survey 2004

A few weeks ago, I wrote to you about the 2004 Workplace Employment Relations Survey, which is currently being carried out by the Department of Trade and Industry. This survey of employment practices is the fifth in a series of surveys that began in 1980. It is a very significant undertaking for the Department and provides the basis for most of what is known about developments in workplace employment relations.

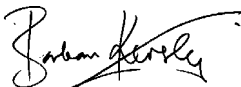
I wrote to you because X establishments in your organisation have been selected as part of the sample for the 2004 WERS. As I mentioned in my previous letter, one part of the sample has been chosen to be representative of workplaces throughout Britain, and the other is a follow-up of establishments at which interviews were conducted in the 1998 WERS. Enclosed is a leaflet that explains the survey's design and aims in more detail.

The survey covers a range of topics relating to the practice of employment relations. This means that the interview is best conducted with a manager at each selected establishment, probably a personnel or employee relations specialist or a local manager. The interview would take place at a time convenient for the respondent. In addition, we would like to distribute a short self-completion questionnaire on attitudes to work to a random sample of up to 25 employees at some of these establishments. Arrangements for this employee survey would be made through the manager interviewed at the establishment.

The DTI has commissioned the National Centre for Social Research (NatCen), an independent research institute, to conduct the interviewing. My original letter identified those establishments in your organisation that have been selected as part of the survey sample, and asked if you would kindly advise NatCen whom it would be most appropriate for them to approach in respect of the Survey at each establishment. I am re-sending the list of selected establishments in case you did not receive the original. I would be very grateful if you would write the name and telephone number of the appropriate contact at each establishment next to the addresses on the enclosed sheets. The completed sheets may then be returned to the WERS research team at NatCen in the envelope provided or by fax [NUMBER].

If this presents any difficulty, please contact [NAME] of the WERS Research Team at NatCen on [NUMBER] within the next week. I am sure you will appreciate that the value of the research depends on the co-operation of all those selected. With many thanks in anticipation of your help.

Yours sincerely,



Barbara Kersley
Principal Research Officer, DTI

WERS Research Team (NatCen)
Freephone: 0800 652 4574
Fax: 020 7250 1524
E-mail: WERS2004@natcen.ac.uk

**Department of Trade and
Industry**
Employment Relations Directorate
UG100, 1 Victoria Street
London SW1H 0ET
www.dti.gov.uk/WERS2004

M

Dear

THE WORKPLACE EMPLOYMENT RELATIONS SURVEY 2004

Following our recent discussion I am writing to confirm the date and time of our appointment and to provide my name and means of contact with me.

Date of appointment _____ **Time of day** _____

Name of interviewer:

Contact:

It will significantly reduce the length of the interview if some basic information about the size and structure of the workforce at your establishment is available at the beginning of the interview. I am therefore writing to you with the enclosed Employee Profile Questionnaire and very much hope that it can be completed prior to my visit.

In order to gain a complete picture of the workplace, the DTI would also like us to distribute a short questionnaire to a small number of your employees. To facilitate the selection, it would be helpful if a list of employees were to be available at the time of my visit.

With thanks in anticipation of your co-operation.

Yours sincerely,



Department of Trade and Industry

WORKPLACE EMPLOYMENT RELATIONS SURVEY 2004

STATEMENT OF ANONYMITY PROCEDURES

Throughout the survey and reporting process, measures will be taken to protect the anonymity of respondents in accordance with the Data Protection Act. The project researchers will use the data solely to generate aggregate tables and statistical analyses for published reports. No individual establishments or respondents will be identified or identifiable in the published reports.

For administrative purposes it is necessary that each questionnaire and questionnaire record has a unique identification number. The key to this sequence of numbers will, at all times, be kept separate from the data. It will remain confidential to the project researchers within the Department of Trade and Industry, the Policy Studies Institute and the National Centre for Social Research, and to the Office for National Statistics.

Most of the survey data will be made available in an anonymous form to academic and other bona fide researchers via The UK Data Archive at the University of Essex in Spring 2005. The deposited data will not include a list of cooperating establishments. To further minimize the risk of identification information, such as the region in which each establishment is located or the detailed industry sector in which it operates, will also be withheld from the deposited data until two years after interviewing.

All users of the deposited data will be required to give a written undertaking to the Department of Trade and Industry, via the UK Data Archive, to use the data solely for the purposes of non-commercial research or teaching and to preserve the anonymity of respondents.

Issued on behalf of the four sponsoring bodies – the Department of Trade and Industry, the Economic and Social Research Council, the Policy Studies Institute and the Advisory, Conciliation and Arbitration Service – and the National Centre for Social Research.



Definitions of occupational groups

A Managers and senior officials

Managers and senior officials head government, industrial, commercial and other establishments, organisations or departments within such organisations. They determine policy, direct and coordinate functions, often through a hierarchy of subordinate managers and supervisors. Occupations included are: general managers, works managers, production managers, marketing or sales managers, directors of nursing, catering managers and bank managers. This group also includes police inspectors and *senior* officers in the fire, ambulance and prison services.

This group does not include supervisors or foremen. These employees should be grouped within their skill base e.g. a clerical worker supervising other clerical workers would be grouped with them. A fitter and turner acting as a supervisor or foreman would be classified as a craft or skilled worker.

B Professional occupations

Professionals perform analytical, conceptual and creative tasks that require a high level of experience and a thorough understanding of an extensive body of theoretical knowledge. They research, develop, design, advise, teach and communicate in their specialist fields. The specialist fields include: science, building, engineering, health and social sciences. Occupations include professionals in the above fields, as well as lecturers and teachers, doctors, lawyers and accountants.

C Associate professional and technical occupations

Employees in this group perform complex technical tasks requiring the understanding of a body of theoretical knowledge and significant practical skills. Technicians in medical, scientific, engineering, building, entertainment and transport industries are included in this group. This occupational group includes police, fire service and prison officers (other than senior officers), registered nurses, IT support technicians, insurance underwriters, artists and designers.

D Administrative and secretarial occupations

Clerical workers gather, record, order, transform, store and transmit information on paper or electronic media and require moderate literacy and numeracy skills. The main occupations covered in this group include civil service and local government clerical officers; data processing and business machine operators; accounting, insurance and broking clerks; filing and mail clerks; production and transport clerks; and receptionists, secretaries and storekeepers.

E Skilled trades occupations

Employees in this group perform complex physical tasks. They apply a body of trade-specific technical knowledge requiring initiative, manual dexterity and other practical skills. Trades in metal fitting and machining, motor mechanics, electrical and electronics, building, printing, vehicle production, food preparation and other recognised apprenticeship trades are included in this group. Trade apprentices and trainees are also to be included in this group.

F Caring, leisure and other personal service occupations

Employees in this group include care assistants, child carers, assistant auxiliary nurses, travel agents, hairdressers, domestic staff and undertakers.

G Sales and customer service occupations

This group includes all employees engaged in buying (wholesale or retail), broking and selling. Included are sales representatives, sales assistants, till operators, call centre agents, roundsmen and garage forecourt attendants.

H Process, plant and machine operatives and drivers

Plant and machine operators and drivers operate vehicles and other large equipment to transport passengers and goods, move materials, generate power, and perform various agricultural and manufacturing functions. Some of the occupations covered include bus, truck and locomotive drivers; excavator, forklift and tractor drivers; boiler, chemical plant, crane and furnace operators as well as packers and machinists (including metal press or casting operators, sewing machinists, yarn or fabric manufacturing machine operators and food processing machine operators).

I Routine unskilled occupations

Workers in this group perform routine tasks, either manually or using hand tools and appliances. The group includes such occupations as factory hands, cleaners, construction and mining labourers, shelf fillers, postal workers and mail sorters, caretakers, waiters, kitchen hands and porters, car park attendants, traffic wardens, security guards and messengers.

dti

Department of Trade and Industry

The Workplace Employment Relations Survey

2004

Carried out for the Department of Trade and Industry*

EMPLOYEE PROFILE QUESTIONNAIRE

It would be of great help if this form could be completed before the interviewer's visit and available at the beginning of the interview.

Thank you for your help.

*In collaboration with the Advisory, Conciliation and Arbitration Service (ACAS), the Economic and Social Research Council and the Policy Studies Institute.

Serial No.

P2336

 **NatCen**
National Centre for Social Research

Operations Department
100 Kings Road
Brentwood CM14 4LX
Freephone 0800 652 4574

The purpose of this questionnaire is to gather information about the size and structure of the workforce at your establishment.

- Workforce data refer to the employees of a single employer at that establishment only. They should relate to the time at which you complete the data sheet. There are no questions on seasonal variations.
- **'Establishment'** refers to the premises indicated by the address on the covering letter. It does not include any other premises that may belong to your organisation or to establishments different and separate from yours.
- **'Employees'** should be understood in its strict sense: people with a contract of employment. 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.

Please give best estimates if you don't have exact data.
Write NIL if you have no employees in a category.
If you need to clarify any of the information you give, use the space provided at the bottom of the opposite page.

1 Currently how many employees do you have on the payroll at this establishment? Total

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2

	Full-time		Part-time		Total
	Male	Female	Male	Female	
(a) How many of these work full-time (30 hours or more per week)? Please show males and females separately.					
(b) How many work part-time (fewer than 30 hours per week)? Please show males and females separately.					

This should be the same as Question 1

3 For each of the above groups of employees, how many are in each of the following occupational groups?
Definitions of occupational groups are set out on the back page.

	Full-time		Part-time		Total
	Male	Female	Male	Female	
Managers and senior officials					
Professional					
Associate professional and technical					
Administrative and secretarial					
Skilled trades					
Caring, leisure and other personal service					
Sales and customer service					
Process, plant and machine operatives and drivers					
Routine unskilled					

4 In total, how many employees (full and part-time) were on the payroll at this establishment 12 months ago?

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5 And how many of these stopped working here because they...

left or resigned voluntarily?	
were dismissed?	
were made redundant?	
had some other reason (e.g. retirement)?	

6 In total, how many employees (full and part-time) were on the payroll at this establishment in 1998?

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7 Of those currently employed here, how many...

are aged 16 or 17?	
are aged 18-21?	
are aged 50 or over?	
are from a non-white ethnic group?	
have a long-term disability that affects the amount or type of work they can do?	

A 'long-term disability' is an illness, health problem or disability that can be expected to last for more than one year.

8 How many employees at this establishment are members of a trade union or independent staff association – whether recognised by management or not?

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9 How many employees at this establishment aged 22 or over are currently paid...

	Males aged 22 or over	Females aged 22 or over
	Full and part-time	Full and part-time
£4.50 per hour or less		
£4.51 - £5.00 per hour		
£5.01 - £14.99 per hour		
£15.00 per hour or more		

10 Over the last 12 months what percentage of work days was lost through employee sickness or absence at this establishment?

Please exclude authorised leave of absence, employees away on secondment or courses, or days lost through industrial action.

	%
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11 How many of the employees at this establishment are working here on temporary or fixed-term contracts?

Do not include employees who are working through a probationary period that might lead to a permanent contract of employment.

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12 How many temporary agency staff are presently working at this establishment?

Temporary agency staff are people that you hire on a temporary basis from an employment agency. These members of staff should not be included in the totals given elsewhere in this questionnaire.

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Thank you for completing this form. Please keep it to give to the NatCen interviewer.

Thank you for taking the time to complete this questionnaire.

Please now seal the questionnaire in the freepost envelope provided and either leave it at the workplace collection point or, if you prefer, post it directly yourself.

Please try to return the completed questionnaire in the next two weeks.

The Workplace Employment Relations Survey is an important source of information on working life in Britain. We would like to hear your views. If you need a copy of this questionnaire in large print, please call Freephone 0800 652 4574.

કૃપા કરી આ પ્રશ્નાવલી ભરી.

ધ વર્કપ્લેસ એમ્પ્લોયમેન્ટ રીલેશન્સ સર્વે (કામની જગાએ નોકરી સંબંધિત અવલોકન), એ બ્રિટનમાં કામ કરતી જાણીતા પર આપતી માહિતીનો એક અગત્યનો સ્ત્રોત છે. અમને તમારા વિચાર જાણવાની ઘણી જ ઈચ્છા છે, માટે કૃપા કરીને આ પ્રશ્નાવલી ભરી. અમારી ઈચ્છા છે કે દરેક કામ કરનાર, પછી એ જે કામ કરતા હો, બધાં જ લોકો આ પ્રશ્નાવલી ભરીને પાછું મોકલાવે એ ચોકકસ કરવું છે. જો તમને કોઈ મદદની જરૂર હોય, તો કૃપા કરીને તમારા મિત્ર અથવા કુટુંબીજનને પૂછો. અને તમને જો વધુ માહિતી અથવા મદદની જરૂર હોય, તો અમને મફત 0800 652 4574 પર ફોન કરી શકો છો. અમે તમારા જવાબને ખાનગી રીતે રાખીશું. ઘણો આભાર.

दयाकरे এই প্রশ্নপত্রটি পূরণ করুন

ওয়ার્કપ્લેસ એમ્પ્લોયમેન્ટ રિલેશન્સ સર્વે હોવા વૃદ્ધિને કર્મજીવન સંબંધિત તথ্য જાનાર એક ઊંચાત્મક સૂત્ર. આમરા આપનાર મતામત જાનાર જન્ય અતાજ આશ્રી સૂતરાં દયાકરે એઈ પ્રશ્નપત્ર પૂરણ કરરણ. ગોત્ર-વર્ણ નિર્વિશેષે સકલ કર્મચારી-કર્મકર્તા યાતે એઈ ફરમટિ પૂરણ કરે ફેરત પાઠાન આમરા સે વિષયટિ નિશ્ચિત કરતે ઠાઈ. આપની યદિ એ બ્યાપારે કોન સાહાય ચાન તાહલે દયાકરે આપનાર કોન વક્ષુ વા પરિવારેર સદસ્યકે વલુન. એહાડા આરો વિસ્તારિત તથ્ય વા સાહાયેર જન્ય ફોન કરરણ, ફ્રિફોનઃ 0800 652 4574. આમરા સવ ધરનેર ઉત્તરેર સકલ ધરનેર ગોપનીયતા વજાય રાખવો. અસંત્ય ધન્યવાદ.

請填寫下列問卷

工作環境僱傭關係調查(Workplace Employment Relations Survey)是關於英國工作環境的重要資訊。我們非常希望聆聽你的意見，因此，請填寫這份問卷。我們希望確保所有雇員，無論其屬何背景，均填寫並交還問卷。若有必要，你可請親戚朋友幫助你填寫。或者，你可致電免費電話 0800 652 4574，以獲得更詳細資訊。我們會對所有回應保密。非常感謝。

ਕਿਰਪਾ ਕਰਕੇ ਇਹ ਸਵਾਲਨਾਮਾ ਭਰੋ।

ਵਰਕਪਲੇਸ ਐਂਪਲਾਇਮੈਂਟ ਰੀਲੇਸ਼ਨਸ ਸਰਵੇਅ (ਕੰਮ ਦੀ ਥਾਂ 'ਤੇ ਨੌਕਰੀ ਦੇ ਸੰਬੰਧਾਂ ਬਾਰੇ ਸਰਵੇਅ) ਤੋਂ ਬਰਤਾਨੀਆ ਵਿਚ ਕੰਮ ਦੀ ਥਾਂ 'ਤੇ ਨਿੰਦਰੀ ਬਾਰੇ ਬਹੁਤ ਸਾਰੀਆਂ ਗੱਲਾਂ ਦਾ ਪਤਾ ਲਗਦਾ ਹੈ। ਅਸੀਂ ਤੁਹਾਡੇ ਵਿਚਾਰ ਸੁਣਨ ਦੇ ਬਹੁਤ ਈਛੁਕੇ ਹਾਂ, ਇਸ ਲਈ ਕਿਰਪਾ ਕਰਕੇ ਇਹ ਸਵਾਲਨਾਮਾ ਜ਼ਰੂਰ ਭਰੋ। ਅਸੀਂ ਇਹ ਯਕੀਨੀ ਬਣਾਉਣਾ ਚਾਹੁੰਦੇ ਹਾਂ ਕਿ ਸਭ ਕਰਮਚਾਰੀ ਇਹ ਸਵਾਲਨਾਮਾ ਭਰ ਕੇ ਭੇਜਣ, ਭਾਵੇਂ ਉਹਨਾਂ ਦਾ ਪਿਛੋਕੜ ਕੋਈ ਵੀ ਹੋਵੇ। ਜੇ ਤੁਹਾਨੂੰ ਕਿਸੇ ਮਦਦ ਦੀ ਲੋੜ ਹੈ, ਤਾਂ ਕਿਸੇ ਦੋਸਤ ਜਾਂ ਪਰਿਵਾਰ ਦੇ ਜੀਅ ਤੋਂ ਮਦਦ ਮੰਗੋ। ਜਾਂ ਫਿਰ ਤੁਸੀਂ ਫ੍ਰੀਫੋਨ ਨੰਬਰ 0800 652 4574 'ਤੇ ਫੋਨ ਕਰੋ। ਸਾਡੇ ਕੋਲ ਆਏ ਕੋਈ ਵੀ ਜਵਾਬ ਅਸੀਂ ਕਿਸੇ ਹੋਰ ਨੂੰ ਨਹੀਂ ਦੱਸਾਂਗੇ। ਬਹੁਤ ਬਹੁਤ ਸ਼ੁਕਰੀਆ।

कृपया यह प्रश्नावली भरें।

वर्कप्लेस एम्प्लॉयमेंट रिलेशन्स सर्वे (काम के स्थान पर नौकरी के सम्बंधों के बारे में सर्वेक्षण) से बर्तानिया में काम के स्थान पर जीवन के बारे में बहुत सी बातें मालूम होती हैं। हम आपके विचार जानने के बहुत इच्छुक हैं, इस लिए कृपया यह प्रश्नावली भर कर अवश्य भेजें। हम यह सुनिश्चित करना चाहते हैं कि सभी कर्मचारी यह प्रश्नावली भर कर भेजें, चाहे उनकी पृष्ठभूमि कैसी भी हो। यदि आपको किसी से मदद लेने की ज़रूरत है, तो आप किसी मित्र या सम्बंधी से मदद लें। या फिर आप फ्रीफोन नम्बर 0800 652 4574 पर फ़ोन करें। हमारे पास आए कोई भी उत्तर हम किसी और को नहीं बताएंगे। बहुत धन्यवाद।

براه کرم سوالناے کو پُر کریں

ورک پلےس ایمپلائمنٹ ریلیشنس سروے برطانیہ میں کام کرنے کی زندگی کے بارے میں معلومات فراہم کرنے کا ایک اہم ذریعہ ہے۔ ہم آپ کی رائے کی بہت زیادہ تمنا رکھتے ہیں اس لئے براہ کرم سوالناے کو پُر کریں۔ ہم اس بات کو یقینی بنانا چاہتے ہیں کہ تمام ملازمین، چاہے ان کا پس منظر کوئی بھی ہو، فارم کو پُر کر کے لوٹا دیں۔ اگر آپ کو کوئی مدد درکار ہو، تو براہ کرم کسی دوست و احباب یا گھرانے کے رکن سے پوچھیں۔ بصورت دیگر، معلومات یا مدد کیلئے براہ کرم مفت فون (فری فون) 0800 652 4574 پر فون کریں۔ ہم تمام جوابات سے رازداری کے ساتھ پیش آئیں گے۔ بہت شکریہ۔

dti

Department of Trade and Industry

The Workplace Employment Relations Survey

2004

This is a national survey of people at work. We are interested in your views about your job and your workplace.

We are asking a group of people at this workplace to complete this questionnaire. Names have been selected randomly from a list of all the people who work here and your name is among the random selection. We have chosen people in this way so that we cover the full range of employees, from management to the most junior. There is no special reason why you were picked to fill in the survey or why others that you work with were not picked. However, now that your name has come up, we would like you to complete the questionnaire. Please do not pass it on to anyone else.

Everything that you say in this questionnaire will remain confidential.

- Completed forms will not be shown to managers or anyone else at your workplace.
- There is a serial number on the questionnaire – this is simply there so that we know who has replied and do not send out reminders unnecessarily.
- After the answers have been entered into a computer, the questionnaire will be destroyed.

The questionnaire should take no more than 15 minutes to fill in, and can be completed either at work or at home. Please return the completed questionnaire within the next two weeks.

If you need any help or want to know more about the survey, please call NatCen on: Freephone 0800 652 4574.

Please use a blue or black pen to complete the questionnaire, and try to answer every question.

Many thanks for your help.

 **NatCen**
National Centre for Social Research

A. ABOUT YOUR JOB

A1 How many years in total have you been working at this workplace? By workplace we mean the site or location at, or from, which you work.

Tick one box only

- Less than 1 year
- 1 to less than 2 years
- 2 to less than 5 years
- 5 to less than 10 years
- 10 years or more

A2 Which of the phrases below best describes your job here?

Tick one box only

- Permanent
- Temporary – with no agreed end date
- Fixed period – with an agreed end date

A3 How many hours, including overtime or extra hours, do you usually work in your job each week?

Exclude meal breaks and time taken to travel to work.

Hours per week (to nearest hour)

A4 How many overtime or extra hours do you usually work each week, whether paid or unpaid?

If you do not usually work overtime or extra hours, please write 0 in the box below.

Overtime/extra hours per week (to nearest hour)

A5 In the last 12 months, how often have you worked more than 48 hours a week?

Tick one box only

- Every week
- Two or three times a month
- Once a month
- Less often than once a month
- Never

A6 Do you agree or disagree with the following statements about your job?

Tick one box in each row

	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Don't know
My job requires that I work very hard	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I never seem to have enough time to get my work done	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I feel my job is secure in this workplace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I worry a lot about my work outside working hours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

A7 In general, how much influence do you have over the following?

Tick one box in each row

	A lot	Some	A little	None	Don't know
What tasks you do in your job	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The pace at which you work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
How you do your work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The order in which you carry out tasks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The time you start or finish your working day	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

A8 How satisfied are you with the following aspects of your job?

Tick one box in each row

	Very satisfied	Satisfied	Neither satisfied nor dissatisfied	Dissatisfied	Very dissatisfied	Don't know
The sense of achievement you get from your work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The scope for using your own initiative	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The amount of influence you have over your job	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The training you receive	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The amount of pay you receive	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Your job security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The work itself	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

A9 Thinking of the past few weeks, how much of the time has your job made you feel each of the following?

Tick one box in each row

	All of the time	Most of the time	Some of the time	Occasionally	Never
Tense	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Calm	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Relaxed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Worried	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Uneasy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Content	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B. ABOUT YOUR WORKPLACE

B1 If you personally needed any of the following arrangements, would they be available to you?

Tick one box in each row

	Yes	No	Don't know
Flexi-time	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Job sharing (sharing a full-time job with someone else)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The chance to reduce your working hours (eg full-time to part-time)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The chance to increase your working hours (eg part-time to full-time)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Working at or from home in normal working hours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Changing working patterns including shifts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Working the same number of hours per week across fewer days (eg 37 hours in four days instead of five)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B2 Thinking about arrangements for looking after children or family members, if you needed to take a day off work at short notice, eg to look after a sick relative, how would you *usually* do it?

Tick one box only

- Use paid holiday
- Use special paid leave
- Take time off and make it up later
- Go on leave without pay
- Take sick leave
- Some other way
- Couldn't take time off
- Doesn't apply to me

B3 If you personally needed any of the following, would they be available to you?

Tick one box in each row

	Yes	No	Don't know
Working only during school term times	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Paid parental leave (blocks of paid time off work to care for young children)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workplace nursery, or help with child care costs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B4 Apart from health and safety training, how much training have you had during the last 12 months, either paid for or organised by your employer?

Please only include training where you have been given time off from your normal daily work duties to undertake the training.

Tick one box only

- None
- Less than 1 day
- 1 to less than 2 days
- 2 to less than 5 days
- 5 to less than 10 days
- 10 days or more

B5 How well do the work skills you personally have match the skills you need to do your present job?

Tick one box only

My own skills are

- Much higher
- A bit higher
- About the same
- A bit lower
- Much lower

B6 In general how good would you say managers at this workplace are at keeping employees informed about the following?

Tick one box in each row

	Very good	Good	Neither good nor poor	Poor	Very poor	Don't know
Changes to the way the organisation is being run	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Changes in staffing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Changes in the way you do your job	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial matters, including budgets or profits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B7 How helpful do you find the following in keeping you informed about this workplace?

Tick one box in each row

	Helpful	Not helpful	Don't know	Not used here
Notice boards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E-mail	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workplace Intranet	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workplace newsletter or magazine	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Meetings between managers and employees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Union or other employee representatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B8 Overall, how good would you say managers at this workplace are at...

Tick one box in each row

	Very good	Good	Neither good nor poor	Poor	Very poor	Don't know
Seeking the views of employees or employee representatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Responding to suggestions from employees or employee representatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Allowing employees or employee representatives to influence final decisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B9 Overall, how satisfied are you with the amount of involvement you have in decision-making at this workplace?

Tick one box only

Very satisfied

Satisfied

Neither satisfied nor dissatisfied

Dissatisfied

Very dissatisfied

C. YOUR VIEWS ON WORKING HERE

C1 To what extent do you agree or disagree with the following statements about working here?

Tick one box in each row

	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Don't know
I share many of the values of my organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I feel loyal to my organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I am proud to tell people who I work for	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C2 Now thinking about the managers at this workplace, to what extent do you agree or disagree with the following?

Tick one box in each row

	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Don't know
Managers here						
Can be relied upon to keep to their promises	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are sincere in attempting to understand employees' views	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Deal with employees honestly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Understand about employees having to meet responsibilities outside work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Encourage people to develop their skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Treat employees fairly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C3 In general, how would you describe relations between managers and employees here?

Tick one box only

Very good

Good

Neither good nor poor

Poor

Very poor

D. REPRESENTATION AT WORK

D1 Are you a member of a trade union or staff association?

Tick one box only

Yes

No, but have been in the past

No, have never been a member

D2 Ideally, who do you think would best represent you in dealing with managers here about the following?

Tick one box in each row

	Myself	Trade Union	Employee representative (non-union)	Another employee	Somebody else
Getting increases in your pay	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Getting training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If you wanted to make a complaint about working here	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If a manager wanted to discipline you	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D3 How would you describe management's general attitude towards trade union membership among employees here?

Tick one box only

Is management

...in favour of trade union membership?

...not in favour of trade union membership?

...neutral about it?

Don't know

D4 Has anyone ever asked you to join a union or staff association at your current workplace?

Yes

No

D5 Is there a trade union or staff association at this workplace?

Yes

No

Don't know

} go to E1

D6 Do you agree or disagree with the following statements about unions or staff associations at this workplace?

Tick one box in each row

	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Don't know
Unions/staff associations here						
...take notice of members' problems and complaints	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...are taken seriously by management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...make a difference to what it is like to work here	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E. FINALLY, ABOUT YOURSELF

E1 Are you male or female?

Tick one box only

Male

Female

E2 How old are you?

Tick one box only

16 – 17

18 – 19

20 – 21

22 – 29

30 – 39

40 – 49

50 – 59

60 – 64

65 or more

E3 Which of the following describes your current status?

Tick one box only

Single

Widowed

Divorced/separated

Married or living with a partner

E4 Do you have any dependent children in the following age groups?

Tick all that apply

No dependent children

Children aged 0 – 2 years

Children aged 3 – 4

Children aged 5 – 7

Children aged 8 – 11

Children aged 12 – 18

E5 Do you look after or give help or support to any family members or friends who have a long-term physical or mental illness or disability, or who have problems related to old age?

Tick one box only

- No
- Yes, 0 – 4 hours a week
- Yes, 5 – 9 hours a week
- Yes, 10 – 19 hours a week
- Yes, 20 – 34 hours a week
- Yes, 35 or more hours a week

E6a Do you have any long-term illness, health problem or disability? By long-term, we mean that it can be expected to last for more than one year.

Yes go to E6b No go to E7

E6b Does this illness or disability affect the amount or type of work you can do?

Yes No

E7 Which, if any, of the following academic qualifications have you obtained?

Tick all that apply

- GCSE grades D-G/CSE grades 2-5
SCE O grades D-E/SCE Standard grades 4-7
- GCSE grades A-C, GCE 'O'-level passes, CSE grade 1
SCE O grades A-C, SCE Standard grades 1-3
- 1 GCE 'A'-level grades A-E
1-2 SCE Higher grades A-C
AS levels
- 2 or more GCE 'A'-levels grades A-E
3 or more SCE Higher grades A-C
- First degree,
eg BSc, BA, BEd, HND, HNC, MA at first degree level
- Higher degree,
eg MSc, MA, MBA, PGCE, PhD
- Other *academic* qualifications
- No *academic* qualifications

E8 And which, if any, of the following vocational or professional qualifications have you obtained?

Tick all that apply

- Level 1 NVQ or SVQ, Foundation GNVQ or GSVQ
- Level 2 NVQ or SVQ, Intermediate GNVQ or GSVQ
- Level 3 NVQ or SVQ, Advanced GNVQ or GSVQ
- Level 4 NVQ or SVQ
- Level 5 NVQ or SVQ
- Completion of trade apprenticeship
- Other vocational or pre-vocational qualifications,
eg City and Guilds, RSA, OCR, BTEC
- Other professional qualifications
eg qualified teacher, accountant, nurse
- No vocational or professional qualifications

E9 Do you use a computer for any of the following tasks as part of your work?

Tick all that apply

- Word processing
- Sending or receiving e-mail
- Checking stock movements, availability or pricing
- Record keeping
- Ordering or purchasing
- Controlling or monitoring processes or machinery
- Data entry
- Data analysis
- Desk-top publishing
- Computer-aided design
- Programming or compiling syntax
- Any other task
- I do not use a computer as part of my work

E10 Thinking about the type of work you personally do, is it done at this workplace...

Tick one box only

- Only by men
- Mainly by men
- Equally by men and women
- Mainly by women
- Only by women
- I am the only person doing this type of work

E11 What is the full title of your main job, eg Primary School Teacher, State Registered Nurse, Car Mechanic, Television Service Engineer, Benefits Assistant. If you are a civil servant or local government officer, please give your job title, not your grade or pay band.

E12 Describe what you do in your main job. Please describe as fully as possible.

E13 Do you supervise any other employees? A supervisor, foreman or line manager is responsible for overseeing the work of other employees on a day to day basis.

Yes No

E14 To which of these groups do you consider you belong?

Tick one box only

- White** British
- Irish
- Any other white background
- Mixed** White and Black Caribbean
- White and Black African
- White and Asian
- Any other mixed background
- Asian or Asian British** Indian
- Pakistani
- Bangladeshi
- Any other Asian background
- Black or Black British** Caribbean
- African
- Any other Black background
- Chinese or other ethnic group** Chinese
- Any other ethnic group

E15 How much do you get paid for your job here, *before* tax and other deductions are taken out? If your pay before tax changes from week to week because of overtime, or because you work different hours each week, think about what you earn on average.

Tick one box only

- £50 or less per week
£2,600 or less per year
- £51 - £80 per week
£2,601 - £4,160 per year
- £81 - £110 per week
£4,161 - £5,720 per year
- £111 - £140 per week
£5,721 - £7,280 per year
- £141 - £180 per week
£7,281 - £9,360 per year
- £181 - £220 per week
£9,361 - £11,440 per year
- £221 - £260 per week
£11,441 - £13,520 per year
- £261 - £310 per week
£13,521 - £16,120 per year
- £311 - £360 per week
£16,121 - £18,720 per year
- £361 - £430 per week
£18,721 - £22,360 per year
- £431 - £540 per week
£22,361 - £28,080 per year
- £541 - £680 per week
£28,081 - £35,360 per year
- £681 - £870 per week
£35,361 - £45,240 per year
- £871 or more per week
£45,241 or more per year

E16 It would be helpful if you could also tell us about your hourly pay. How much do you get paid per hour, before tax and other deductions are taken out?

Tick one box only

- £4.50 or less per hour
(£180 or less per week for a 40-hour week)
- £4.51 - £5.00 per hour
(£181 - £200 per week for a 40-hour week)
- £5.01 - £14.99 per hour
(£201 - £599 per week for a 40-hour week)
- £15.00 or more per hour
(£600 or more per week for a 40-hour week)

E17 Do you have any final comments you would like to make about your workplace, or about this questionnaire?

4 Capital expenditure

What was the total capital expenditure over this period?

Total cost of acquisitions £ 000

2192-2199

Total proceeds from disposals £ 000

2203-2210

- Include:**
- Building work
 - Purchase or sale of land and buildings
 - Motor vehicles and other transport equipment
 - Computer hardware and software
 - Other plant, machinery and equipment

Exclude: ● Any allowances for depreciation

5 Purchases of goods, materials and services

What was the total value of purchases of goods, materials and services over this period?

Total purchases £ 000

2214-2221

- Exclude:**
- Employment costs
 - Bad debts or depreciation
 - Interest payments
 - Amounts paid for capital items
 - Capitalised building repairs

6 Employment costs

What were the total employment costs over this period?

Total employment costs £ 000

2225-2232

- Include:**
- Gross wages and salaries (in cash or kind)
 - Employers' National Insurance contributions
 - Contributions to pension funds (including lump sum contributions)
 - Redundancy and severance payments

7 Research and Development

Research and development is creative work undertaken on a systematic basis in order to increase your stock of knowledge, and the use of knowledge to devise new applications

a) Is any research and development activity carried out at this establishment?

2236

Please tick

Yes

No

IF YES: Approximately what percentage of total current expenditure is spent on research and development?

%

2237-2239

b) Is any research and development activity carried out elsewhere in this organisation?

2240

Please tick

Yes

No

Thank you for taking the time to complete this form. Please keep it to hand to the NatCen interviewer or, if you prefer, post it directly yourself using the reply-paid envelope provided.

The Workplace Employment Relations Survey

2004

Carried out for the Department of Trade and Industry*

FINANCIAL PERFORMANCE QUESTIONNAIRE

Please complete and return this questionnaire within two weeks. You may keep it to hand to the NatCen interviewer or, if you prefer, return it directly by post in the reply-paid envelope provided.

The information you provide will be used solely for statistical purposes and will be treated in strict confidence in accordance with the Data Protection Act. Neither individuals nor their workplace will ever be identified in the published results.

Thank you for your help.

***In collaboration with the Advisory, Conciliation and Arbitration Service (ACAS), the Economic and Social Research Council and the Policy Studies Institute.**

Serial No.

P2336

Notes for the completion of this form

1 Please give best estimates if you do not have exact data.

2 Where possible, figures should relate only to the establishment indicated by the address on the accompanying letter. If the figures provided do not relate solely to this establishment, please specify the scope of your return below.

Scope of this return:

2017

Please tick

- This establishment only
 Other (please specify)

..... 2018-2100

Number of establishments covered by this return: 2101-2104

Approximate share of turnover accounted for by establishment indicated on accompanying letter: % 2105-2107

3 Where possible, figures should cover the calendar year 1st January – 31st December 2003. If no figures are available for that period, please provide information on the most recent business year for which figures are available.

Period covered by the return:

2108

Please tick

- 1st January – 31st December 2003
 Other (please specify)

From

Day	Month	Year
<input type="text"/>	<input type="text"/>	<input type="text"/>

 2109-2116

To

<input type="text"/>	<input type="text"/>	<input type="text"/>
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 2117-2124

4 Financial amounts should be rounded up or down to the nearest £1,000, as below.

For example, if your answer is £576,326, round this to £576,000 and fill in the boxes as indicated:

£

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	5	7	6	000
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If your answer is £672, round this to £1,000 and fill in the boxes as indicated:

£

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	1	000
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If your answer is less than £500, write NIL in the boxes as indicated:

£

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	N	I	L	000
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1 Turnover (excluding VAT)

What was the total amount received in respect of sales of goods and services during the period stated above?

Total turnover £

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	000
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2125-2132

Include: ● Sales of goods of own production
● Work done on customers' materials
● Income from services provided
● Sales of goods purchased and resold without further processing, including retail turnover
● Progress payments on work in progress

Exclude: ● VAT
● Sales of fixed assets
● Output for own final use
● Grants

2 Employment

How many employees were employed, on average, over the period?

Please give separate figures for those working full-time (30 hours or more per week) and those working part-time (fewer than 30 hours per week)

Number of full-time employees

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
----------------------	----------------------	----------------------	----------------------	----------------------	----------------------

2136-2141

Number of part-time employees

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
----------------------	----------------------	----------------------	----------------------	----------------------	----------------------

2142-2147

Include: ● Employees on permanent, temporary and fixed-term contracts
● Staff hired on a temporary basis from an employment agency
● Freelance staff

3 Value of assets

What is the approximate value of buildings, machinery and equipment?

For owned or rented/leased buildings, please estimate their current market value if sold.

Total value of owned buildings £

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	000
----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	-----

2148-2155

Total value of rented/leased buildings £

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	000
----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	-----

2159-2166

For all other assets, whether owned or rented/leased, please estimate the cost of purchasing **equivalent items**, not the cost of replacing them with new, improved items.

Total value of other owned assets £

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	000
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2170-2177

Total value of other rented/leased assets £

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	000
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2181-2188

Include: ● Motor vehicles and other transport equipment
● Computer hardware and software
● Other plant, machinery and equipment

Questions continue overleaf...

Additional information for completing the Financial Performance Questionnaire

1. If you are not able to give exact figures for the establishment, then please give best estimates.
2. Please write the word NIL in the boxes when a figure for your establishment is zero.
3. If you do not know the answer then please write DK in the relevant boxes.
4. If your workplace is in the **public sector**^{*}, then at Question 1 (Turnover) please give the budget for the establishment.

If you have any queries on completing the Questionnaire please do not hesitate to call the WERS Freephone number (0800 652 4574) to speak to a member of the Research Team at NatCen, or send an email to WERS2004@NatCen.ac.uk

* **Public sector workplaces** are those owned and controlled by the state. The public sector includes: central government (civil service); local authorities; government agencies (e.g. Prison Service Agency); and the public services (e.g. NHS, schools).

SEQ Sampling Document: Specimen Sheet

	Selection number																								
Number of employees	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25
37	2	3	5	6	8	9	10	12	13	15	16	18	19	21	22	24	25	27	28	30	31	33	34	36	37
38	2	3	5	6	8	9	11	12	14	15	17	18	20	21	23	24	26	27	29	30	32	33	35	37	38
39	1	3	4	6	8	9	11	12	14	15	17	19	20	22	23	25	26	28	29	31	33	34	36	37	39
40	1	2	4	5	7	9	10	12	13	15	17	18	20	21	23	25	26	28	29	31	33	34	36	37	39
41	1	3	4	6	7	9	11	12	14	16	17	19	21	22	24	25	27	29	30	32	34	35	37	39	40
42	1	3	5	6	8	10	11	13	15	16	18	20	21	23	25	26	28	30	31	33	35	36	38	40	41
43	1	3	4	6	8	10	11	13	15	16	18	20	22	23	25	27	29	30	32	34	35	37	39	41	42
44	1	2	4	6	8	9	11	13	15	16	18	20	22	23	25	27	29	31	32	34	36	38	39	41	43
45	1	3	5	7	9	10	12	14	16	18	19	21	23	25	27	28	30	32	34	36	37	39	41	43	45
46	1	2	4	6	8	10	12	13	15	17	19	21	23	24	26	28	30	32	34	35	37	39	41	43	45
47	1	3	4	6	8	10	12	14	16	18	20	21	23	25	27	29	31	33	35	36	38	40	42	44	46
48	1	3	5	6	8	10	12	14	16	18	20	22	24	26	28	30	31	33	35	37	39	41	43	45	47
49	1	3	5	7	9	11	13	15	17	19	21	23	25	27	29	31	32	34	36	38	40	42	44	46	48
50	1	3	5	7	9	11	13	15	17	19	21	23	25	27	29	31	33	35	37	39	41	43	45	47	49
51	3	5	7	9	11	13	15	17	19	21	23	25	27	29	31	33	35	37	39	41	43	45	47	49	51
52	1	3	5	7	9	11	13	15	17	20	22	24	26	28	30	32	34	36	38	40	42	45	47	49	51
53	1	4	6	8	10	12	14	16	18	21	23	25	27	29	31	33	35	37	40	42	44	46	48	50	52
54	2	4	6	8	11	13	15	17	19	21	24	26	28	30	32	34	37	39	41	43	45	47	49	52	54
55	3	5	7	9	11	14	16	18	20	22	25	27	29	31	33	36	38	40	42	44	47	49	51	53	55
56	1	3	6	8	10	12	15	17	19	21	24	26	28	30	33	35	37	39	42	44	46	48	50	53	55
57	1	3	6	8	10	12	15	17	19	21	24	26	28	31	33	35	37	40	42	44	47	49	51	53	56

Dear

The Workplace Employment Relations Survey 2004

Within the last month or so you very kindly agreed to be interviewed as part of the Workplace Employment Relations Survey 2004. At the same time you gave permission for the interviewer from the National Centre for Social Research (NatCen), to distribute questionnaires for the Survey of Employees.

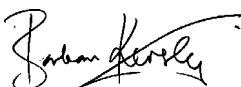
I am writing to you now about the survey amongst employees. The interviewer left with you a number of packs containing questionnaires to be handed out to specified employees. The employees were **either** to post the questionnaires directly to NatCen, **or** leave them at a central workplace point, to be collected or sent off at a later date.

NatCen informs me that we have not received replies from some of these employees (they know this from the serial numbers of the questionnaires received).

I am therefore enclosing with this letter a list of the employees selected to participate in the survey of employees. The names are copied down by the interviewer onto the original questionnaire packs. If the packs have not yet been distributed to these employees, I would be grateful if you could arrange for this to be done as soon as possible. If the packs have already been distributed, then I would be most grateful if you could ask these employees to complete and return their questionnaires as soon as possible, if they have not already done so.

It is, of course, possible that some replies have crossed with this letter in the post. If so, please accept my apologies and, in any event, my thanks in anticipation for your help. If you would like any further information about the survey then please visit the WERS web-site (www.dti.gov.uk/WERS2004). Alternatively you may call the WERS Freephone number (0800 652 4574) to speak to a member of the WERS Research Team at NatCen.

Yours sincerely,



Barbara Kersley
Principal Research Officer, DTI

WERS Research Team (NatCen)
Freephone: 0800 652 4574
Fax: 020 7250 1524
E-mail: WERS2004@natcen.ac.uk

**Department of Trade and
Industry**
Employment Relations Directorate
UG100
1 Victoria Street
London SW1H 0ET
www.dti.gov.uk/WERS2004

Dear

The Workplace Employment Relations Survey 2004

About two weeks ago I contacted you about the Survey of Employees element of the above survey. I understand from NatCen that we have still not received replies from some of the employees selected to take part.

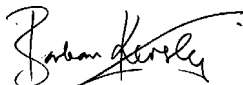
The Survey of Employees is a very important part of the Workplace Employment Relations Survey 2004, and it is essential that we receive back as many completed questionnaires as possible so that the results of the survey will be fully representative of all employees in Great Britain.

NatCen are therefore sending a reminder letter and a fresh questionnaire pack to each of the employees from whom they have not yet received replies, in case the originals have been mislaid.

I greatly appreciate your co-operation in this study, and hope that the remaining employees will find time to fill in the questionnaire and return it to us. Without these questionnaires, an important part of the picture will be missing.

Thank you once again for all your help.

Yours sincerely,



Barbara Kersley
Principal Research Officer - DTI

WERS Research Team (NatCen)
Freephone: 0800 652 4574
Fax: 020 7250 1524
E-mail: WERS2004@natcen.ac.uk

**Department of Trade and
Industry**
Employment Relations Directorate
UG100
1 Victoria Street
London SW1H 0ET

www.dti.gov.uk/WERS2004

The Workplace Employment Relations Survey 2004

Survey of Employees

Have your say!

We are conducting a national survey of people at work in workplaces across Great Britain on behalf of the Department of Trade and Industry. Within the last month or so we conducted an interview about employment relations practices with one of the managers at your workplace. At the same time an employee survey was distributed for you to complete. So that we are able to form a balanced picture about employment relations we are interested to hear your views about your job and your workplace.

It is important that we receive back as many completed questionnaires as possible so that the results of the survey will be fully representative of all employees in Great Britain. We are therefore contacting you again to ask for your co-operation.

To date we have not received your questionnaire and are therefore enclosing a second copy in case the first has been mislaid or is not to hand. We would be most grateful if you would complete this and return it in the envelope provided.

If this second copy has crossed in the post with your completed questionnaire, please accept our thanks for sending it off and forgive us for writing to you again. If you have already returned the first copy of the questionnaire, it would be very helpful if you could return this second copy, unmarked, in the envelope provided.

Thank you very much for your help with this survey.

Dear

The Workplace Employment Relations Survey 2004

Within the last few weeks you very kindly agreed to be interviewed as part of the Workplace Employment Relations Survey 2004. At the same time you gave permission for the interviewer from the National Centre for Social Research (NatCen), to distribute questionnaires for the Survey of Employees.

I am writing to you now about the survey amongst employees. The interviewer left with you a number of packs containing questionnaires to be handed out to specified employees. The employees were **either** to post the questionnaires directly to NatCen, **or** leave them at a central workplace point, to be collected or sent off at a later date.

NatCen informs me that we have not received replies from any of these employees (they know this from the serial numbers of the questionnaires received).

I am therefore enclosing with this letter a list of those employees selected to take part in the survey and a fresh questionnaire pack for each employee in case the originals have been mislaid. I would be most grateful if you could distribute these and ask your employees to complete and return their questionnaires as soon as possible. If this presents any difficulty please phone the WERS Freephone number (0800 652 4574) within the next week.

It is, of course, possible that some replies have crossed with this letter in the post. If so, please accept my apologies and, in any event, my thanks in anticipation for your help. If you would like any further information about the survey then please visit the WERS web-site (www.dti.gov.uk/WERS2004). Alternatively you may call the WERS Freephone number (0800 652 4574) to speak to a member of the WERS Research Team at NatCen.

Yours sincerely,



Barbara Kersley
Principal Research Officer, DTI

WERS Research Team (NatCen)
Freephone: 0800 652 4574
Fax: 020 7250 1524
E-mail: WERS2004@natcen.ac.uk

**Department of Trade and
Industry**
Employment Relations Directorate
UG100
1 Victoria Street
London SW1H 0ET
www.dti.gov.uk/WERS2004

Dear

The Workplace Employment Relations Survey 2004

About two weeks ago I contacted you about the Survey of Employees element of the above survey. I understand from NatCen that we have not received replies from some of the employees selected to take part.

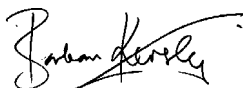
The Survey of Employees is a very important part of the Workplace Employment Relations Survey 2004, and it is essential that we receive back as many completed questionnaires as possible so that the results of the survey will be fully representative of all employees in Great Britain.

NatCen are therefore sending a reminder letter to each of the employees from whom they have not yet received replies.

I greatly appreciate your co-operation in this study, and hope that the remaining employees will find time to fill in the questionnaire and return it to us. Without these questionnaires, an important part of the picture will be missing.

Thank you once again for all your help.

Yours sincerely,



Barbara Kersley
Principal Research Officer, DTI

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The Workplace Employment Relations Survey 2004

Survey of Employees

Have your say!

We recently wrote to you about a national survey of people at work that we are conducting on behalf of the Department of Trade and Industry.

It is important that we receive back as many completed questionnaires as possible so that the results of the survey will be fully representative of all employees in Great Britain. We are therefore contacting you again to ask for your co-operation.

To date we have not received your questionnaire. We would be most grateful if you would complete this and return it in the pre-paid envelope provided.

If you have returned your questionnaire in the last few days, please accept our thanks for sending it off and forgive us for writing to you again.

Thank you very much for your help with this survey.

Dear

The Workplace Employment Relations Survey 2004

Within the last few weeks you very kindly agreed to be interviewed as part of the Workplace Employment Relations Survey 2004. At the end of the interview, the interviewer from the National Centre for Social Research (NatCen) left a Financial Performance Questionnaire for you to complete and post back directly to NatCen.

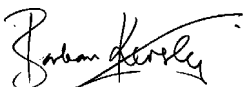
The purpose of the Financial Performance Questionnaire is to obtain financial data about the establishment to complement the data already collected on employment relations. Currently there is much debate as to whether specific employment relations practices can contribute to workplace performance. Together these data will help us to understand much more about these issues than has thus far been the case. It is therefore essential that we receive back as many completed questionnaires as possible so that the results of our analyses are fully representative of all workplaces in Great Britain.

NatCen informs me that we have not yet received your Financial Performance Questionnaire. I would be most grateful if you could complete and return the questionnaire as soon as possible. It is, of course, possible that your reply has crossed with this letter in the post. If so, please accept my apologies and, in any event, my thanks in anticipation for your help.

I should reassure you that the information you provide will be treated in strict confidence in accordance with the Data Protection Act. The project researchers will use the data solely to generate aggregate tables and statistical analyses. Neither individuals nor their workplace will ever be identified in the published results.

If you would like any further information about the survey then please visit the WERS web-site (www.dti.gov.uk/WERS2004). Alternatively you may call the WERS Freephone number (0800 652 4574) to speak to a member of the WERS Research Team at NatCen.

Yours sincerely,



Barbara Kersley
Principal Research Officer, DTI

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Freephone: 0800 652 4574
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**Department of Trade and
Industry**
Employment Relations Directorate
UG100
1 Victoria Street
London SW1H 0ET
www.dti.gov.uk/WERS2004

Dear

The Workplace Employment Relations Survey 2004

Within the last few weeks, your colleague [NAME, JOB TITLE] was interviewed about [ESTABLISHMENT NAME, ADDRESS] as part of the Workplace Employment Relations Survey 2004. At the end of the interview, the interviewer from the National Centre for Social Research (NatCen) left a Financial Performance Questionnaire, which your colleague indicated you would complete and post back directly to NatCen.

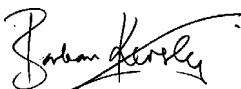
The purpose of the Financial Performance Questionnaire is to obtain financial data about the establishment to complement the data already collected on employment relations. Currently there is much debate as to whether specific employment relations practices can contribute to workplace performance. Together these data will help us to understand much more about these issues than has hitherto been the case. It is therefore essential that we receive back as many completed questionnaires as possible so that the results of our analyses are fully representative of all workplaces in Great Britain.

NatCen informs me that we have not yet received your Financial Performance Questionnaire. I would be most grateful if you could complete and return the questionnaire as soon as possible. It is, of course, possible that your reply has crossed with this letter in the post. If so, please accept my apologies and, in any event, my thanks in anticipation for your help.

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Yours sincerely,



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Principal Research Officer, DTI

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Fax: 020 7250 1524
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1 Victoria Street
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Dear

The Workplace Employment Relations Survey 2004

About two weeks ago I contacted you about the Financial Performance Questionnaire for the above study. I understand from NatCen that we have not yet received your completed questionnaire.

The Financial Performance Questionnaire is a very important part of the Workplace Employment Relations Survey 2004, and it is essential that we receive back as many completed questionnaires as possible so that the results of the survey are fully representative of all workplaces in Great Britain.

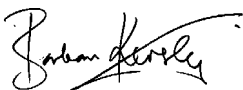
I am therefore enclosing a replacement questionnaire with this letter in case you have misplaced the original. Please complete this in respect of the establishment listed above.

I should reassure you that the information you provide will be treated in strict confidence in accordance with the Data Protection Act. Neither individuals nor their workplace will ever be identified in the published results.

I greatly appreciate your co-operation in this study, and hope that you will find time to fill in the questionnaire and return it to us in the reply-paid envelope. Without these questionnaires, an important part of the picture will be missing.

Thank you once again for all your help.

Yours sincerely,



Barbara Kersley
Principal Research Officer, DTI

WERS Research Team (NatCen)
Freephone: 0800 652 4574
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**Department of Trade and
Industry**
Employment Relations Directorate
UG100
1 Victoria Street
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www.dti.gov.uk/WERS2004

Dear

The Workplace Employment Relations Survey 2004

About two weeks ago I contacted you about the Financial Performance Questionnaire for the above study. I understand from NatCen that we have not yet received your completed questionnaire in respect of [ESTABLISHMENT NAME, ADDRESS].

The Financial Performance Questionnaire is a very important part of the Workplace Employment Relations Survey 2004, and it is essential that we receive back as many completed questionnaires as possible so that the results of the survey are fully representative of all workplaces in Great Britain.

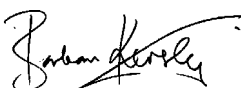
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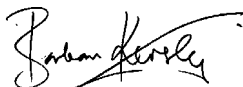
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I should reassure you that the information you provide will be treated in strict confidence in accordance with the Data Protection Act. Neither individuals nor their workplace will ever be identified in the published results.

I greatly appreciate your co-operation in this study, and hope that you will find time to fill in the questionnaire in respect of the above establishment. Without these questionnaires, an important part of the picture will be missing.

Thank you once again for all your help.

Yours sincerely,



Barbara Kersley
Principal Research Officer, DTI

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Dear

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The Financial Performance Questionnaire is a very important part of the Workplace Employment Relations Survey 2004, and it is essential that we receive back as many completed questionnaires as possible so that the results of the survey are fully representative of all workplaces in Great Britain.

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**Department of Trade and
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Employment Relations Directorate
UG100
1 Victoria Street
London SW1H 0ET

www.dti.gov.uk/WERS2004

Dear

The Workplace Employment Relations Survey 2004

Within the last few months, you very kindly completed a Financial Performance Questionnaire about [ESTABLISHMENT NAME, ADDRESS] as part of the Workplace Employment Relations Survey 2004. Firstly, may I thank you on behalf of both NatCen and the Department of Trade and Industry for returning the questionnaire. Your participation in the Survey is greatly appreciated.

On receiving your completed questionnaire, however, we noticed that you opted not to complete Question 1: Turnover. A copy of your completed questionnaire is enclosed with this letter. As your establishment is part of the public sector, it seems likely that you left this question blank because you operate to a budget, rather than engaging in the sale of goods or services. If this is the case, we would be extremely grateful if you would please complete the question on the enclosed sheet, which asks about your establishment's budget. The enclosed sheet may then be returned to us in the reply-paid envelope provided.

I should reassure you that the information you provide will be treated in strict confidence in accordance with the Data Protection Act. The project researchers will use the data solely to generate aggregate tables and statistical analyses. Neither individuals nor their workplace will ever be identified in the published results.

If you would like any further information about the survey then please visit the WERS website (www.dti.gov.uk/WERS2004). Alternatively you may call the WERS Freephone number (0800 652 4574) to speak to a member of the WERS Research Team at NatCen. With many thanks in anticipation of your help.

Yours sincerely,

Joanna Chaplin
Research Director - WERS Research Team, NatCen

35 Northampton Square London EC1V 0AX

Tel: 020 7250 1866 Fax: 020 7250 1524

Email: info@natcen.ac.uk www.natcen.ac.uk

The Workplace Employment Relations Survey 2004

Financial Performance Questionnaire

SN:

Please enter the establishment's **total budget** for the period X/X/X to X/X/X this being the period for which your original Financial Performance Questionnaire was completed.

Total budget £

--	--	--	--	--	--	--	--	--

,000

Please round your answer up or down to the nearest £1,000.

Once completed, please return this sheet in the reply-paid envelope to:

Sandra Laver
WERS Research Team (Pink)
National Centre for Social Research
100 Kings Road
Brentwood
Essex
CM14 4ZP

35 Northampton Square London EC1V 0AX

Tel: 020 7250 1866 Fax: 020 7250 1524

Email: info@natcen.ac.uk www.natcen.ac.uk

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Chief Executive Norman Glass CB Chair of Trustees Sir Howard Newby CBE
Trustees Neville Bain Lynne Berry Sir Robert Culpin Janet Finch CBE Denise Lievesley David McCrone Lord Moser KCB CBE FBA David Walker

 MenuNote: completed
 Date of FIRST visit to establishment:
 Int Num :
 OutCome : 111
 Version : I_014_2

Zallemps : 60
 Zmalfull : 54
 Zfemfull : 6
 Zmalprt : 0
 Zfemprt : 0

	Full-time		Part-time		Total	Out
	Male	Female	Male	Female		
	54	6	0	0	60	
Managers	8	6	0	0	14	0
Professionals	0	0	0	0	0	0
Associate prof	0	0	0	0	0	0
Admin	0	4	0	0	4	0
Skilled trades	0	0	0	0	0	0
Caring	0	0	0	0	0	0
Sales	0	0	0	0	0	0
Operatives	23	1	0	0	24	0
Unskilled	18	0	0	0	18	0
Out	-5	5	0	0		10

ScoreA = 17 %

 SOC/SIC coding answers.

ASICDESC: demolition of buildings domestic and industrial/reprocessing
 materials//
 EPQ.EPQMAIN.ZSOCDESC: hgv drivers,collecting matl from demolition sites for reproce
 essing
 CLASDESC (from SAMPLE):Site preparation
 CLASS (from SAMPLE):45110

 Questions relating to the background of the case.

LUNAME1 (from SAMPLE):
 EMPLOYEE (from SAMPLE):64
 MFULLEMP (from SAMPLE):52
 FFULLEMP (from SAMPLE):4
 MPARTEMP (from SAMPLE):0
 FPARTEMP (from SAMPLE):0
 ASINGLE: Single independent establishment not belonging to another bo
 dy
 ASTATUS (1) Private limited company
 ZUNIMEM: 0

DJOINT: NO
EOTHREPS: YES
WAREPTYP: Standalone non-union employee representative
ADMIN.AddOK: YES
ADMIN.MQLOC: At workplace only

Checks for researcher only.

Check 22 fail.

Worker representative questionnaire checks.

BACK CODING

SECTIONB.BTITLO: director and company secretary
SECTIONI.ICONSOH: safety officer would inform

PANEL SURVEY AND PANEL SCREENER

- Panel Address Record Form
- DTI Letter to Managers
- NatCen Appointment Letter
- Basic Workforce Data Sheet
- Specimen Fact Sheet
- Panel Screener Address Record Form

**5TH Workplace Employment Relations Survey
Panel Sample (PQ)**

P.2400

ADDRESS RECORD FORM (ARF)

	ASSIGNMENT/SLOT NAME:	
	TRIP/RETURN NO:	
	FINAL OUTCOME:	

PINK TEAM

INTERVIEWER NAME _____

INTERVIEWER NO.

--	--	--	--	--	--	--	--

<p>Label 1 Establishment address from current IDBR</p>	<p>Label 2 Current IDBR summary 2003, workplace details, industry, UCC</p>	<p>Label 3 WERS98 contact name, address of WERS98 establishment</p>
<p>Management Respondent</p> <p>Name:</p> <p>Title:</p> <p>Tel.No.</p>		<p>[Details of reporting unit only – current IDBR]</p>
<p>For interviewer use: e.g. 2nd manager's name</p>		<p>For interviewer use: e.g. New address / Name of est.</p>

NOTES

RE-ALLOCATED : If this establishment is being reallocated to another interviewer before you have completed it, code here

900 END

PRE INTERVIEW OUTCOMES

A. OUT OF SCOPE/WITHDRAWN PRIOR TO FIELDWORK

Office (DTI/NatCen) Refusal from Head Office	410	END
Office (DTI/NatCen) Refusal from Establishment	411	
Office (DTI/NatCen) Refusal from other	412	
Office (DTI/NatCen) informed: Closed down	798	
DTI Informed: less than 10 employees	780	

B. CONTACT AT ADDRESS

Address traceable and occupied

YES Go to Sect. C

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

If no trace of establishment, please describe your attempts to establish the status of the address.

.....

.....

.....

C. CONTACT AT ESTABLISHMENT

Respondent agrees to screening questionnaire	AAA	Go to Sect. F
Establishment known to have moved premises - some information on new address	682	Go to Sect. D
Establishment known to have moved premises - no trace of new address	681	END
Establishment known to be no longer in existence/in business	700	END
Contact made, but all information refused	420	Go to Sect. E
No contact made, other reason	421	Go to Sect. E

D. If establishment has moved and information is available about new address, record this information on front page. If within sample area please follow-up and go to Section B, otherwise return address record form to office.

E. REASON FOR REFUSAL OF SCREENING INFORMATION / NON CONTACT

Please record why you were refused any information about the establishment and why the screening questionnaire was not completed.

.....

.....

.....

..... **END**

F. SCREENING QUESTIONNAIRE

INTRODUCE YOURSELF AND NatGen.

We are conducting a research study for the Department of Trade and Industry to look at changes in workplace employment relations since 1998. Your organisation took part in the previous survey in 1998 when we conducted an interview at **[ADDRESS ON LABEL 3]** with **[NAME ON LABEL 3]**. The aim of this call is to ask a small number of questions about the current establishment to see whether it would be possible to make comparisons with the data collected in 1998. In some cases we would then like to proceed to a full interview for which I would need to visit your workplace in person.

Q.1. Can I check, is **[NAME OF WERS98 RESPONDENT]** still working at this establishment?

- Yes, and is current respondent 1
 Yes, but some other person is current respondent 2
 No, moved to another establishment within the organisation 3
 No, left organisation 4

Q.2a In 1998, the interview was concerned with **[NAME OF ESTABLISHMENT ON LABEL 3]**. Is this still the **name** of the establishment?

- Yes, same name 1 **Go to Q.4a**
 No, name has changed (WRITE ON FRONT OF ARF) 2 **Go to Q.2b**

Q.2b Why has it changed?

- Just a change of name / new image 1
 Changed ownership 2
 Change in status e.g. privatised utility / NHS Hospital to Trust 3
 Organisation merged with another organisation 4
 Split off from organisation (e.g. management buyout) 5
 Other answers 6

(WRITE IN) _____

Q.3 There is no question 3.

Q.4a. In 1998 the **postal address** of the establishment we interviewed about was **[ADDRESS OF ESTABLISHMENT ON LABEL 3]**. Is the **whole** of the establishment as it was in 1998 still at this address?

- Yes 1 **Go to Q.7a**
 No 2 **Go to Q.4b**

Q.4b Has the establishment (or any branch or department of it that was at that address in 1998) moved to new premises?

- Whole of 1998 establishment moved to a new address 1 **Go to Q.5a**
 All parts of 1998 establishment moved, but to different addresses 2 **Go to Q.6**
 Part of 1998 establishment moved, but part remained *in situ* 3 **Go to Q.7a**

IF **WHOLE** ESTABLISHMENT MOVED TO NEW ADDRESS, ASK

Q.5a Why did you move to these premises?

- Needed more space / business expanded 1
- Needed less space / business contracted 2
- End of lease 3
- Change of ownership 4
- Other answers 5
- (WRITE IN) _____
- Can't say 8

Go to Q.5b

Q.5b At the time of the move, did any of the employees working at the 1998 address transfer to the new site?

- Yes, all employees transferred 1
- Yes, some employees transferred 2
- No, no employees moved to the new site 3
- (Can't say) 8

Q.5c What is your current address?

ENTER ON FRONT OF THE ARF REMEMBERING TO INCLUDE THE FULL POSTCODE AND PHONE NUMBER. THEN **GO TO Q.7a**

IF **ALL PARTS** OF ESTABLISHMENT MOVED TO NEW ADDRESSES, ASK

Q.6 Which of the addresses contains the largest part of the activities of the establishment covered by the 1998 interview?

ENTER ON FRONT OF THE ARF REMEMBERING TO INCLUDE THE FULL POSTCODE AND PHONE NUMBER. THEN **GO TO Q.7a**

Q.7a Can I just check, has the establishment that we interviewed about in 1998 had any **changes in ownership** since that date?

- Yes 1 **Go to Q.7b**
- No 2 **Go to Q.8**

Q.7b When the ownership of the establishment changed hands, was the whole workforce replaced or did at least some employees continue working for the new owners?

- All employees remained 1
- Some employees remained 2
- No employees remained 3
- (Can't say) 8

Q.8 Has another branch or department of your organisation **merged or amalgamated** with this establishment since 1998?

- Yes 1
- No 2

Q.9 What is the main activity of the establishment at present?

.....

.....

.....

Q.10 Can I just check, has the main activity of this establishment changed since 1998?

Yes 1

No 2

Identify the continuing establishment and ask following questions about that address

This is the name and address on the front of the ARF (which you may have updated)

Q.11 How many people are currently employed at this establishment?

If don't know, ASK Is it more or less than 10 employees?

Enter number

10 or more employees 1

Less than 10 employees 2

Q.12 We may be contacting your organisation shortly about carrying out a further interview. Please can you tell me the name of the Senior Manager responsible for Personnel and Employee Relations at this establishment.

(WRITE IN NAME AND JOB TITLE ON THE FRONT OF THE ARF)

G. SCREENING OUTCOME

INTERVIEWER: REFER TO THE RESPONDENT'S ANSWERS TO THE QUESTIONS IN SECTION F AND TO THE INTERVIEWER HANDBOOK TO DETERMINE WHETHER THERE HAS BEEN CONTINUITY OF EXISTANCE FOR THIS ESTABLISHMENT SINCE 1998.

THEN ALLOCATE ONE OF THE FOLLOWING CODES. IF CANNOT ALLOCATE TO CODE PLEASE CONTACT A MEMBER OF THE NATCEN WERS RESEARCH TEAM.

A. Establishment **continues in existence** and is in-scope with **10+ employees**: X

INTERVIEWER: You should seek to carry out interview with the respondent identified at Q.12 on the screening questionnaire.

B. Establishment **continues in existence** but not in-scope: Y

INTERVIEWER: You do not need to carry out an interview. Code 799 at Section H.

C. Establishment not **continuing in existence**: Z

INTERVIEWER: You do not need to carry out an interview. Code 798 at Section H.

H: INELIGIBLE ESTABLISHMENT

	Outcome Code
Workplace now has fewer than 10 employees	799
Workplace is NOT a continuing establishment	798 END

J: SUMMARY OF INTERVIEW RESPONSE FINAL PRODUCTIVE OUTCOME

J: WORK AT ESTABLISHMENT COMPLETE	Outcome Code
FINAL PRODUCTIVE OUTCOME	
Interview at selected establishment	110
Interview at head office	111 END

K: REASONS FOR NON RESPONSE

K: WORK AT ESTABLISHMENT COMPLETE	Outcome Code
FINAL UNPRODUCTIVE OUTCOME	
Contact made/ management respondent refused.....	431
Management respondent never available/ no contact	432
Refusal by Head Office/Area Office	433
Claimed prior refusal to DTI / NatCen	434 END
Broken appointment, no recontact	450
Ill/away for duration of survey.....	510
Other (SPECIFY).....	563
.....	
.....	
.....	

Call No.	Date DD/MM	Day of week	Call Start Time (24hr)	CALLS RECORD (Note all calls, including telephone calls)	*Call Status (Enter codes only)	Call end Time (24hr)
1	/		:			:
2	/		:			:
3	/		:			:
4	/		:			:
5	/		:			:
6	/		:			:
7	/		:			:
8	/		:			:
9	/		:			:
10	/		:			:
11	/		:			:
12	/		:			:
13	/		:			:
14	/		:			:
15	/		:			:
16	/		:			:
17	/		:			:

Call Status Codes:1=No Reply, 2=Contact Made, 3=Appointment Made, 4=Any Interviewing done, 5=Any Other Outcome (describe in calls record)

Dear

The Workplace Employment Relations Survey 2004

In 1997/8, a representative of management in your organisation kindly gave an interview about your establishment as part of the fourth Workplace Employment Relations Survey. The surveys in this series have been conducted by the National Centre for Social Research (NatCen), an independent research institute, on behalf of the Department of Trade and Industry, the Advisory, Conciliation and Arbitration Service (ACAS), the Economic and Social Research Council and the Policy Studies Institute.

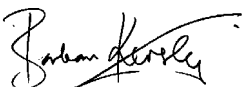
We have now decided to conduct a further survey in the series and, once again, have invited NatCen to undertake it for us. The surveys are designed to chart change and stability in employment relations. For that reason we are returning to establishments surveyed in 1997/8 to identify how much change has occurred. As with the earlier surveys in the series, we will use the information to publish a report to aid public debate about employment relations policy and practice. The report from the 1997/8 survey, *Britain at Work*, generated widespread interest and comment. We very much hope that you will be able to participate again in this important project, which has the support of the Chartered Institute of Personnel and Development and the Trades Union Congress.

A NatCen interviewer will shortly contact you to seek your co-operation in the current survey. I very much hope that you will agree to be interviewed. The value of the survey depends very much on the co-operation of all those selected. All those participating will be provided with a summary of the main survey findings.

The information you provide will be used solely for research purposes and will be treated in strict confidence in accordance with the Data Protection Act. Neither individuals nor their workplace will ever be identified in the published results.

If you would like any further information about the survey then please visit the WERS web-site (www.dti.gov.uk/WERS2004). Alternatively you may call the WERS Freephone number (0800 652 4574) to speak to a member of the WERS Research Team at NatCen. With many thanks in anticipation of your help.

Yours sincerely,



Barbara Kersley
Principal Research Officer

WERS Research Team (NatCen)
Freephone: 0800 652 4574
Fax: 020 7250 1524
E-mail: WERS2004@natcen.ac.uk

**Department of Trade and
Industry**
Employment Relations Directorate
UG100
1 Victoria Street
London SW1H 0ET
www.dti.gov.uk/WERS2004

P

Dear

THE WORKPLACE EMPLOYMENT RELATIONS SURVEY 2004

Following our recent discussion I am writing to confirm the date and time of our appointment and to provide my name and means of contact with me.

<p>Date of appointment _____ Time of day _____</p> <p>Name of interviewer:</p> <p>Contact:</p>
--

It will significantly reduce the length of the interview if some basic information about the size and structure of the workforce at your establishment is available at the beginning of the interview. I am therefore writing to you with the enclosed Basic Workforce Data Sheet and very much hope that it can be completed prior to my visit.

With thanks in anticipation of your co-operation.

Yours sincerely,



Department of Trade and Industry

The Workplace Employment Relations Survey

2004

Carried out for the Department of Trade and Industry*

BASIC WORKFORCE DATA SHEET

It would be of great help if this form could be completed before the interviewer's visit and available at the beginning of the interview.

Thank you for your help.

*In collaboration with the Advisory, Conciliation and Arbitration Service (ACAS), the Economic and Social Research Council and the Policy Studies Institute.

Serial No.

P2400

The purpose of this questionnaire is to gather information about the size and structure of the workforce at your establishment.

- Workforce data refer to the employees of a single employer at that establishment only. They should relate to the time at which you complete the data sheet. There are no questions on seasonal variations.
- **'Establishment'** refers to the premises indicated by the address on the covering letter. It does not include any other premises that may belong to your organisation or to establishments different and separate from yours.
- **'Employees'** should be understood in its strict sense: people with a contract of employment. 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.

Please give best estimates if you don't have exact data.

Write NIL if you have no employees in a category.

If you need to clarify any of the information you give, use the space provided on the back page.

1 Currently how many employees do you have on the payroll at this establishment? Total

2

	Full-time		Part-time		Total
	Male	Female	Male	Female	
(a) How many of these work full-time (30 hours or more per week)? Please show males and females separately.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
(b) How many work part-time (fewer than 30 hours per week)? Please show males and females separately.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

This should be the same as Question 1

3 How many employees are in each of the following occupational groups?
Definitions of occupational groups are set out on the opposite page.

	Total
Managers and senior administrative	<input type="text"/>
Professional	<input type="text"/>
Technical	<input type="text"/>
Clerical and secretarial	<input type="text"/>
Craft and skilled services	<input type="text"/>
Protective and personal services	<input type="text"/>
Sales	<input type="text"/>
Operative and assembly	<input type="text"/>
Routine unskilled	<input type="text"/>

4 How many employees at this establishment are from a non-white ethnic group?

5 How many employees at this establishment are members of a trade union or independent staff association – whether recognised by management or not?

Definitions of occupational groups

A Managers and senior administrative occupations

Managers and senior administrators head government, industrial, commercial and other establishments, organisations or departments within such organisations. They determine policy, direct and co-ordinate functions, often through a hierarchy of subordinate managers and supervisors. Occupations included are: general managers, works managers, production managers, marketing or sales managers, directors of nursing, catering managers and bank managers.

This group does not include supervisors or foremen. These employees should be grouped within their skill base e.g. an office manager supervising clerical workers would be grouped with them. A fitter and turner acting as a supervisor or foreman would be classified as a craft or skilled worker.

B Professional occupations

Professionals perform analytical, conceptual and creative tasks that require a high level of experience and a thorough understanding of an extensive body of theoretical knowledge. They research, develop, design, advise, teach and communicate in their specialist fields. The specialist fields include: science, building, engineering, health and social sciences. Occupations include professionals in the above fields, as well as lecturers and teachers, doctors, lawyers and accountants.

C Technical occupations

Employees in this group perform complex technical tasks requiring the understanding of a body of theoretical knowledge and significant practical skills. Technicians in medical, scientific, engineering, building, entertainment and transport industries are included in this group. This occupational group includes registered nurses, computer analysts, insurance underwriters, artists and designers.

D Clerical and secretarial occupations

Clerical workers gather, record, order, transform, store and transmit information on paper or electronic media and require moderate literacy and numeracy skills. The main occupations covered in this group include civil service and local government clerical officers; data processing and business machine operators; accounting, insurance and broking clerks; filing and mail clerks; production and transport clerks; and receptionists, typists, secretaries and storekeepers.

E Craft and skilled service occupations

Employees in this group perform complex physical tasks. They apply a body of trade-specific technical knowledge requiring initiative, manual dexterity and other practical skills. Trades in metal fitting and machining, motor mechanics, electrical and electronics, building, printing, vehicle production, food preparation, hairdressing and other recognised apprenticeship trades are included in this group. Trade apprentices and trainees are also to be included in this group.

F Protective and personal service occupations

Employees in this group include police, prison and fire service officers, customs and excise officers, traffic wardens, security guards and other similar occupations. Included under personal services are cooks, waiters, care assistants, child carers, assistant auxiliary nurses, domestic staff and undertakers.

G Sales occupations

This group includes all employees engaged in buying (wholesale or retail), broking and selling. Included are sales representatives, sales assistants, till operators, roundsmen and garage forecourt attendants.

H Operative and assembly occupations

Plant and machine operators and drivers operate vehicles and other large equipment to transport passengers and goods, move materials, generate power, and perform various agricultural and manufacturing functions. Some of the occupations covered include bus, truck and locomotive drivers; excavator, forklift and tractor drivers; boiler, chemical plant, crane and furnace operators as well as packers and machinists (including metal press or casting operators, sewing machinists, yarn or fabric manufacturing machine operators and food processing machine operators).

I Routine unskilled occupations

Workers in this group perform routine tasks, either manually or using hand tools and appliances. The group includes such occupations as factory hands, cleaners, construction and mining labourers, shelf fillers, postal workers and mail sorters, caretakers, kitchen hands and porters, car park attendants and messengers.

Thank you for completing this form. Please keep it to give to the NatCen interviewer.

Date of FIRST visit to establishment:

Int Num :
OutCome : 110
Version : I_044_1d

Zallemps : 180
Zmalfull : 96
Zfemfull : 64
Zmalprt : 3
Zfemprt : 17

ZSOC_1 : 26
ZSOC_2 : 26
ZSOC_3 : 12
ZSOC_4 : 61
ZSOC_5 : 0
ZSOC_6 : 0
ZSOC_7 : 0
ZSOC_8 : 0
ZSOC_9 : 55

SOC/SIC coding answers.

ASICDESC: preserving and making available public records/registers of 1
and/legal deeds/court records/govt depts/-
EPQ.EPQMAIN.ZSOCDESC: provide support services to managers and professional staff/a
number deal directly with the public/accounts/legal serches
/-
CLASDESC (from SAMPLE):Administration of the State and the economic and social poli
cy of the community
CLASS (from SAMPLE):75140
W4CLASS (from SAMPLE):75140

Questions relating to the background of the case.

LUNAME1 (from SAMPLE):
EMPLOYEE (from SAMPLE):133
P98Emps : 132
P98LOG : 9
P98Union : Yes
P98Recun : Yes

ASINGLE: Single independent establishment not belonging to another body
AComp(1) Public service agency
ZUNIMEM: 112
DJOINT: YES - More than one.
D1COMM:
EUNIONUM:2
ENUMREC: 0
EOTHREPS:YES

Checks for researcher only.

Check 9 fail.
Check 10 fail.

BACK CODING

EPQ.TOTALS.OZAllEmp: increased responsibilities/-
EPQ.EPQGRID.OSOCChg: also because there is a shift in patterns of working/more people under clerical now than unskilled/-
SECTIONB.BTITLE:
SECTIOND.DCONSOTH: intranet/oracle/-
SECTIONE.OEnumRec: there are none recognised for negotiating pay/-
SECTIONF.FINDPOTH: by managers against individual objectives/-

5TH Workplace Employment Relations Survey
Panel Screening Sample (PQ)
P.2400
ADDRESS RECORD FORM (ARF)

	ASSIGNMENT/SLOT NAME:	
	TRIP/RETURN NO:	
	FINAL OUTCOME:	

PINK TEAM

INTERVIEWER NAME _____

INTERVIEWER NO.

--	--	--	--	--	--	--	--

<p>Label 1 Establishment address from current IDBR</p>	<p>Label 2 Current IDBR summary 2003, workplace details, industry, UCC</p>	<p>Label 3 WERS98 contact name, address of WERS98 establishment</p>
<p>Management Respondent</p> <p>Name:</p> <p>Title:</p> <p>Tel.No.</p>		<p>[Details of reporting unit only – current IDBR]</p>
<p>For interviewer use: e.g.2nd manager's name</p>		<p>For interviewer use: e.g. New address / Name of est.</p>

NOTES

<p>RE-ALLOCATED : If this establishment is being reallocated to another interviewer before you have completed it, code here</p>	900	END
--	------------	------------

PRE INTERVIEW OUTCOMES

A. OUT OF SCOPE/WITHDRAWN PRIOR TO FIELDWORK

Office (DTI/NatCen) Refusal from Head Office	410	END
Office (DTI/NatCen) Refusal from Establishment	411	
Office (DTI/NatCen) Refusal from other	412	
Office (DTI/NatCen) informed: Closed down	798	
DTI Informed: less than 10 employees	780	

B. CONTACT AT ADDRESS

Address traceable and occupied

YES Go to Sect. C

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

If no trace of establishment, please describe your attempts to establish the status of the address.

.....

.....

.....

C. CONTACT AT ESTABLISHMENT

Respondent agrees to screening questionnaire	AAA	Go to Sect. F
Establishment known to have moved premises - some information on new address	682	Go to Sect. D
Establishment known to have moved premises - no trace of new address	681	END
Establishment known to be no longer in existence/in business	700	END
Contact made, but all information refused	420	Go to Sect. E
No contact made, other reason	421	Go to Sect. E

D. If establishment has moved and information is available about new address, record this information on front page. If within sample area please follow-up and go to Section B, otherwise return address record form to office.

E. REASON FOR REFUSAL OF SCREENING INFORMATION / NON CONTACT

Please record why you were refused any information about the establishment and why the screening questionnaire was not completed.

.....

.....

.....

..... **END**

F. SCREENING QUESTIONNAIRE

INTRODUCE YOURSELF AND NatGen.

We are conducting a research study for the Department of Trade and Industry to look at changes in workplace employment relations since 1998. Your organisation took part in the previous survey in 1998 when we conducted an interview at **[ADDRESS ON LABEL 3]** with **[NAME ON LABEL 3]**. The aim of this call is to ask a small number of questions about the current establishment to see whether it would be possible to make comparisons with the data collected in 1998. In some cases we would then like to proceed to a full interview for which I would need to visit your workplace in person.

Q.1. Can I check, is **[NAME OF WERS98 RESPONDENT]** still working at this establishment?

- Yes, and is current respondent 1
- Yes, but some other person is current respondent 2
- No, moved to another establishment within the organisation 3
- No, left organisation 4

Q.2a In 1998, the interview was concerned with **[NAME OF ESTABLISHMENT ON LABEL 3]**. Is this still the **name** of the establishment?

- Yes, same name 1 **Go to Q.4a**
- No, name has changed (WRITE ON FRONT OF ARF) 2 **Go to Q.2b**

Q.2b Why has it changed?

- Just a change of name / new image 1
- Changed ownership 2
- Change in status e.g. privatised utility / NHS Hospital to Trust 3
- Organisation merged with another organisation 4
- Split off from organisation (e.g. management buyout) 5
- Other answers 6

(WRITE IN) _____

Q.3 There is no Q.3.

Q.4a. In 1998 the **postal address** of the establishment we interviewed about was **[ADDRESS OF ESTABLISHMENT ON LABEL 3]**. Is the **whole** of the establishment as it was in 1998 still at this address?

- Yes 1 **Go to Q.7a**
- No 2 **Go to Q.4b**

Q.4b Has the establishment (or any branch or department of it that was at that address in 1998) moved to new premises?

- Whole of 1998 establishment moved to a new address 1 **Go to Q.5a**
- All parts of 1998 establishment moved, but to different addresses 2 **Go to Q.6**
- Part of 1998 establishment moved, but part remained *in situ* 3 **Go to Q.7a**

IF **WHOLE** ESTABLISHMENT MOVED TO NEW ADDRESS, ASK

Q.5a Why did you move to these premises?

- Needed more space / business expanded 1
- Needed less space / business contracted 2
- End of lease 3
- Change of ownership 4
- Other answers 5
- (WRITE IN) _____
- Can't say 8

Go to Q.5b

Q.5b At the time of the move, did any of the employees working at the 1998 address transfer to the new site?

- Yes, all employees transferred 1
- Yes, some employees transferred 2
- No, no employees moved to the new site 3
- (Can't say) 8

Q.5c What is your current address?

ENTER ON FRONT OF THE ARF REMEMBERING TO INCLUDE THE FULL POSTCODE AND PHONE NUMBER. THEN **GO TO Q.7a**IF **ALL PARTS** OF ESTABLISHMENT MOVED TO NEW ADDRESSES, ASK

Q.6 Which of the addresses contains the largest part of the activities of the establishment covered by the 1998 interview?

ENTER ON FRONT OF THE ARF REMEMBERING TO INCLUDE THE FULL POSTCODE AND PHONE NUMBER. THEN **GO TO Q.7a**Q.7a Can I just check, has the establishment that we interviewed about in 1998 had any **changes in ownership** since that date?

- Yes 1 **Go to Q.7b**
- No 2 **Go to Q.8**

Q.7b When the ownership of the establishment changed hands, was the whole workforce replaced or did at least some employees continue working for the new owners?

- All employees remained 1
- Some employees remained 2
- No employees remained 3
- (Can't say) 8

Q.8 Has another branch or department of your organisation **merged or amalgamated** with this establishment since 1998?

- Yes 1
- No 2

Q.9 What is the main activity of the establishment at present?

.....

.....

.....

Q.10 Can I just check, has the main activity of this establishment changed since 1998?

Yes 1

No 2

Identify the continuing establishment and ask following questions about that address.

This **continuing establishment** is the name and address on the front of the ARF
(which you may have updated).

Q.11 How many people are currently employed at this establishment?

If don't know, ASK Is it more or less than 10 employees?

Enter number

10 or more employees 1

Less than 10 employees 2

Q.12 We may be contacting your organisation shortly about carrying out a further interview. Please can you tell me the name of the Senior Manager responsible for Personnel and Employee Relations at this establishment.

(WRITE IN NAME AND JOB TITLE ON THE FRONT OF THE ARF)

FINAL PRODUCTIVE OUTCOME FROM SCREENING

INTERVIEWER: Refer to the respondent's answers to the questions in section F and to the interviewer handbook to determine whether there has been continuity of existence for this establishment since 1998. THEN ALLOCATE ONE OF THE FOLLOWING CODES.	Outcome Code
FINAL PRODUCTIVE OUTCOME	
Establishment continues in existence and is in-scope with 10+ employees	112
Establishment continues in existence but <u>not</u> in-scope	113 END
Establishment not continuing in existence	114
Cannot determine continuity (please specify)	119
.....	
.....	
.....	

Call No.	Date DD/MM	Day of week	Call Start Time (24hr)	CALLS RECORD (Note all calls, including telephone calls)	*Call Status (Enter codes only)	Call end Time (24hr)
1	/		:			:
2	/		:			:
3	/		:			:
4	/		:			:
5	/		:			:
6	/		:			:
7	/		:			:
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13	/		:			:
14	/		:			:
15	/		:			:
16	/		:			:
17	/		:			:

Call Status Codes:1=No Reply, 2=Contact Made, 3=Appointment Made, 4=Any Interviewing done, 5=Any Other Outcome (describe in calls record)