



The 2011 Workplace Employment Relations Study (WERS)

Interview Handbook

**Main stage
VERSION 6**



The
Workplace
Employment
Relations
Study

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1 Introduction and overview

1.1 What is WERS?

The Workplace Employment Relations Study (WERS) is Great Britain's most rigorous and influential study of employment relations.

WERS has been running for over 30 years and presents a robust record of change in the field of employment relations. The National Centre for Social Research (NatCen) has been involved in all of the five studies in the WERS series to date, and has been commissioned to carry out the sixth in 2011 (WERS6).

The study explores employment practices across almost every industry sector in the British economy, and sheds light on a range of issues, such as how management practices are changing over time and the influence of trade unions in the modern workplace. WERS6 will have a particular focus on the recession and the impact this has had on workplace relations.

1.2 Who sponsors WERS?

WERS6 is sponsored by the Department of Business, Innovation and Skills (BIS), Acas (the Advisory, Conciliation and Arbitration Service), the UK Commission for Employment and Skills (UKCES), the Economic and Social Research Council (ESRC) and the National Institute for Economic and Social Research (NIESR), whose involvement is made possible through funding from the Nuffield Foundation.

Furthermore, a wealth of professional, public sector and academic organisations, as well as those representing industry, strongly support the study including the Confederation of British Industry (CBI), the Chartered Institute of Personnel and Development (CIPD), the Trades Union Congress (TUC) and the Federation of Small Businesses (FSB).

1.3 Why does WERS matter?

The results of WERS6 will shape government policy, and influence practice and debate among employers and workers, their organisations, the academic community and beyond. It also provides employers with a chance to benchmark their practice against others in their sector.

Most of the employment legislation introduced in Britain in the past 20 years has been informed to some degree by WERS. The results of the study enable policy-makers to make an impartial assessment of how policy can be used to maximum affect and where it isn't needed. For example:

- National Minimum Wage (NMW) laws – before the NMW was implemented WERS provided information on the types of workplaces that paid low wages to help understand what the impact of the new laws would be.

- Equal Opportunity laws – in 2003 a law was made to extend equal opportunities to cover religion belief, and sexual orientation. WERS was the only survey that could provide information on how many workplaces already had equal opportunities policies in place and the extent of their coverage. This provided useful information on where equal opportunities needed to be strengthened and where it was already being sufficiently addressed in workplaces.
- Work-life balance – this is a policy area that has seen frequent change including the introduction of the Right to Request Flexible Working, changes to paid maternity and paternity leave, and time off for emergencies. WERS provides useful information to government, employer organisations and unions about how these legislative changes have filtered down to actual practice in the workplace – that is, what flexible working and work-life policies are in place and which employees have access to them.

See also Section 8, ‘Selling WERS to respondents’.

1.4 Study timetable

Following two successful pilots, main stage fieldwork for WERS6 will launch on 28th January 2011, with briefings taking place between 27th January and 15th February 2011.

The Central Contacting Team (CCT) began contacting workplaces in November to establish contact with main management respondents and to try and set up appointments for you.

Activity	Date
CCT start contacting workplaces	November 2010
Interviewer briefing	January – February 2011
Begin interviews	28 th January 2011
Complete interviews	30 th August 2011

1.5 The sample

Workplaces have been randomly selected to participate from a current list of British employers. The list is called the Inter-Departmental Business Register (IDBR). It is the official register of employers in Britain and is maintained by the Office for National Statistics (ONS). These are known as “cross-section” cases.

WERS also includes interviews with a number of workplaces that participated in the previous study (WERS5, in 2004) to measure the extent of any change in their employment relations practices. These are known as “panel” cases.

To ensure that the WERS sample is fully representative of the range of employers in Britain - whether large, small, public or private sector - once a workplace is selected they cannot be replaced by another. Gaining participation from as many workplaces as possible will make the data more reliable.

A detailed description of what constitutes a ‘workplace’ in the context of this study can be found in Appendix A. Please familiarise yourself with these definitions.

1.6 What do respondents have to do?

WERS has several key elements. In summary, for each sampled workplace, we will aim to:

- Interview a main management respondent.
- Interview up to two worker representatives.
- Survey up to 25 employees (using self-completion questionnaires).
- Workplaces will also be asked to provide information (on self-completion questionnaires) about their employee profile and (for some) their financial performance.

1.7 Overview of your responsibilities

During the briefing, you will be provided with a detailed description of the procedures and specifications you will follow while contacting and interviewing respondents. An overview of your responsibilities as a WERS interviewer is summarised below.

- **To carry out a face-to-face interview (lasting 90 minutes on average) with a management respondent at the selected workplace.** Appointments will in many cases have been set up for you in advance by a Central Contacting Team, based in NatCen's Telephone Unit.
- **To interview up to two worker representatives per workplace.** These interviews will take place after you have spoken to the main management respondent. They will be conducted either face-to-face (ideally, during the same visit as your main management interview) or over the phone. The Central Contacting Team will identify eligible worker representatives (where possible), and then you will be responsible for arranging your own appointments.
- **To arrange for up to 25 employees to undertake a self-completion survey.** This will involve sampling employees from a list, entering basic information about the sampled respondents into CAPI (including name, gender and email address) and preparing and labelling questionnaires to be distributed to employees. Employees will return their completed questionnaires by post.
- **To leave a financial performance questionnaire with the main management respondent.** The questionnaire will be completed by the main management respondent (or someone else at the workplace) at a later date.

1.8 The research and funding teams

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

FUNDING RESEARCH TEAM

BIS

Dr Hülya Hooker

Acas

Dr Brigid van Wanrooy (Project Leader)

NatCen

Research Team

Martin Wood (020 7549 8571)

Nicholas Gilby (020 7549 8538)

Zoë Lancaster (020 7549 8559)

Yvette Prestage (020 7549 7031)

Field (Brentwood Office)

Pauline Burge (01277 690070)

Emma Fenn (01277 690071)

Karen Quinlan (01277 690055)

Field (Areas)

Project Managers

Telephone Unit

Chris Massett (01277 235204)

Sonia Shrivington (01277 235202)

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

2 The sample

WERS6 is a survey of workplaces, not organisations. Large organisations such as Tesco have many individual workplaces (e.g. their supermarkets, distribution centres etc.). WERS is a survey of the local workplaces.

The sample of workplaces is divided into two types – the “cross-section” sample and the “panel” sample.

To ensure that the WERS6 sample is fully representative of the range of employers in Britain - whether large, small, public or private sector - once a workplace is selected they cannot be replaced by another. Getting information from as many workplaces as possible will make the data more reliable.

In this chapter reference is made to the CCT (Central Contacting Team) whose main task is to establish contact with workplaces to identify the main management respondents and set up appointments with them on your behalf. Further detail can be found in section 3.5.

2.1 Cross-section sample

The “cross-section” sample comprises workplaces that have been randomly selected to participate from a list of British employers. The list is called the Inter-Departmental Business Register (IDBR) and is maintained by the Office for National Statistics (ONS). The sample was drawn in 2010. It is highly unlikely, though not impossible, that these workplaces will have ever participated in WERS before.

The sample is drawn so that it covers a representative cross-section of British workplaces with 5 or more employees.

The cross-section sample provides us with an accurate snapshot of employment relations in all types of workplace in Britain at the time of the survey. It includes new workplaces as well as those that have been in existence for some time. So it tells us about the wide variety of practice across a representative sample of British workplaces.

2.2 The Panel sample

The “panel” sample comprises workplaces that participated in WERS5 in 2004. These workplaces were originally selected from the Inter-Departmental Business Register (IDBR) in 2004.

The purpose of the Panel survey is to identify change (or stability) in workplace relations. To do this we return to workplaces that participated in the previous WERS study, and ask them to take part in the study again. When we compare this new data on the employment relations at the workplace in 2011 with the data obtained seven years ago, in 2004, we will be able to see what has changed and what has remained the same at that workplace.

This can be very useful information. For example, our new WERS cross-section survey might find that a similar proportion of workplaces recognise trade unions now as did in 2004. And so it might look as

though nothing has changed at all in this area. However, there may be many workplaces that are beginning to recognise trade unions for the first time. If these “new recognitions” are balanced out by workplaces that are ceasing to negotiate with trade unions, the aggregate picture will show no change. The “panel” sample, however, will show that considerable change is still taking place beneath the surface.

Some of the workplaces we interviewed at in 2004 will no longer be in operation. But, as we will be looking to find out what has happened to each of the workplaces from WERS5 (2004), the first task with the **entire** panel sample is to check that the workplace is what we call a “continuing workplace”.

There are two essential criteria to a “continuing workplace”:

- The workplace must have participated in WERS5 in 2004. (You will need to conduct interviews that cover the same workplace, even if it has moved premises since 2004.)
- The workplace must also have continued in operation throughout the seven year period that separates the two interviews. Employment numbers may have fluctuated, even falling below five employees on some occasions, but at no point can employment have fallen to zero. In this case, operations are deemed to have ceased and for our purposes the workplace is considered to have closed down.

In fact, a number of different things may have happened to the workplace. It may have changed its name, moved location, changed its principal activity or even changed ownership. Further, the original workplace may have been split or been amalgamated with other workplaces. None of these things necessarily destroy the concept of a “continuing workplace”, as long as at least one employee at the workplace made the transition to the new name, location, activity or ownership. In this case, we say there has been continuity of employment – the key test of a “continuing workplace”.

Sometimes there will not be a “continuing workplace”. Sometimes an owner will close a workplace down and then open up another business at the same address a short time later. The owner may even re-hire some of the staff who worked at the previous business. But in such cases continuity is destroyed because there was some point at which the original workplace ceased to employ workers and hence ceased to exist.

Although we want to determine what has happened to each of the workplaces in the panel sample, we will not need to ask all workplaces to participate in the full study again – we have selected a group at random which will be complemented by the cross-section workplaces to provide a representative sample of employers in 2011. Therefore the panel sample is divided into two groups:

a) Full interview panel sample

This batch will contain about two thirds of all panel cases. ‘Continuing workplaces’ in this group will be asked to repeat all aspects of the study again. The CCT will try to determine whether a workplace is ‘continuing’ before setting up an appointment with the main management respondent (see section 3.5 for more information on the role of the CCT), and in some cases, this may even be the same individual we interviewed in 2004. You will be expected to complete the screening questionnaire to assess the eligibility of the panel workplace for participating in a full interview.

b) Panel screening sample

The remaining third of panel workplaces will form a second group. These workplaces will be asked to take part in a **screening questionnaire only** to determine whether they are a continuing workplace (following the same criteria as described below). This will be conducted by the CCT.

The next section describes your role in respect of category a) above.

Screening for the full interview panel sample

The CCT will try and provide some information to help you complete the screening, but they do not do it themselves. It is your responsibility to confirm eligibility using the screening questions on the ARF. See section 3.6 for more information on how to do this.

To be eligible for WERS6, the workplace must also be eligible **now** i.e, like every other workplace, the workplace must have five or more employees at the present time.

In most cases the 2004 workplace will still be at the same address and little else will have changed. However, you need to be prepared for cases where this is not the case. You may come across some complex situations – **if you are unsure please consult your Project Manager.**

For some workplaces, it will be obvious whether they are continuing or not (e.g. a local Tesco supermarket which has been in the same location for many, many years), but for others, it will not be so clear-cut. To help determine whether a workplace is 'continuing' or not, each workplace will be asked to complete a screening questionnaire. The screening questionnaire is contained within the Panel ARF and is designed to cover all the relevant scenarios and will help determine whether they are eligible for WERS6. It is in the form of a questionnaire, but you should think of it as a checklist of points. How far you probe on any item depends on whether the situation you find is straightforward or not. Always write in notes of incidental comments etc, which may be useful details.

When introducing the screening questionnaire you should explain that we just need to check whether the workplace has changed to any significant extent since 2004. The questions are factual and can be asked of anyone available, such as a Director's secretary, an office manager or a member of staff in the Human Resources Department. In general, it will be best to start by asking for the 2004 respondent, as knowing the name of this person may help to establish our credentials for asking these questions.

In most cases, the answers will be very simple and the interview will take only a few minutes. Where the CCT has been successful in arranging an appointment, they will have resolved the fundamental questions regarding any changes in trading name or address. They will also have made efforts to establish eligibility in more complex cases – for instance they will have identified the eligible workplace where the original workplace has split and moved from the original location.

Further information about the details of the screening questionnaire can be found in section 7.

Once you have completed the screening questionnaire, you then need to check through the answers you have been given to see whether it is appropriate for you to continue to secure an interview with the main management respondent.

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

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

THE RULES FOR 'PASSING' OR OTHERWISE - THE CRITICAL SIX QUESTIONS ARE SET OUT IN SECTION SEVEN.

RULES FOR CONTINUING WORKPLACES

1. CHANGE OF NAME / CHANGE OF OWNERSHIP / MOVE TO A DIFFERENT ADDRESS

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

2. CHANGE OF ACTIVITY / ACTIVITIES ADDITIONAL TO 2004 ACTIVITY

There must be continuity of activity **of some sort**, between 2004 and now. If there has been a break in which there was no activity, then the workplace is **dead**.

3. NUMBERS OF EMPLOYEES

There can be more (many more) or fewer (many fewer) employees in 2011 than in 2004. The tasks they do can be very different. But at no stage can there have been ZERO employees.

4. SPLITS (WITHOUT CHANGE OF OWNERSHIP)

A 2004 workplace may have split into a number of parts:

- if any part is still at the 2004 address then interview there provided there are 5 or more employees;
- if none of the addresses are the 2004 address, go to the address where the largest number of employees from the 2004 workplace ended up (provided there are now more than 5 employees).

5. SPLITS INVOLVING A CHANGE OF OWNERSHIP

A 2004 workplace 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 workplace (providing the basic test of continuity of employment is met) and there are 5 or more employees at the time of interview;
- the part that was sold off is a new workplace and therefore out-of-scope;

- if none of the original 2004 workplace remains with the original employer (or another employer who took them over) it counts as 'Closed Down'.

6. AMALGAMATIONS

- If the amalgamated workplace is at the 2004 address then interview there, even if those who have moved in outnumber the pre-amalgamated staff.
- If the 2004 workplace 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 2004 employees (or their replacements) provided that the amalgamated workplace has 5 or more employees.
- If none of the addresses are the 2004 address, go to the address where the largest number of employees from the 2004 workplace ended up (must be 5+).

For more information on the different types of ARF, see Section 7.

2.3 Wave 1 workplaces

All workplaces, whether "cross-section" or "panel" are divided into two types – "Wave 1" or "Wave 2" workplaces.

Wave 1 workplaces are those that can reasonably be expected to decide whether or not to participate without referring the decision to a higher level in the organisation. These workplaces will have been issued to the CCT directly.

2.4 Wave 2 workplaces

Wave 2 workplaces are those where there are two or more from the same organisation within the sample, **and** it is anticipated that the decision to participate will be referred to Head Office level. The initial contact with these workplaces will be directed at Head Office level, and will be handled directly by the Research Team (i.e. researchers from NatCen and BIS), before being passed to the CCT to set up appointments.

The first contact is via an introductory letter signed by Bill Wells, the Director of the Labour Market Analysis Branch at BIS. The Research Team follow this up to answer queries about the study, provide details of the sampled workplaces and ask for the name of the relevant person to contact at each selected workplace. When the form is returned by the organisation, the details of the workplaces are provided to the CCT, who try and set up appointments. This part of the process means that the Head Office contact is willing for the workplace to be approached to participate in WERS but the Head Office have not instructed them to take part – their participation is still voluntary and you will still need to make sure you "sell" WERS to the respondents.

The task for you will be the same for both Wave 1 and Wave 2 cases, although clearly your initial approach will take account of these differences where an appointment has not already been arranged (for example you will be able to explain NatCen has had cooperation from the Head Office for the study).

3 The main management interview (MQ)

3.1 Introduction

Your first task as an interviewer will be to carry out a face-to-face interview of 90 minutes (on average) with a main management respondent at a workplace. Appointments will in many cases have been set up for you in advance by a Central Contacting Team (CCT), based in NatCen's Telephone Unit. This chapter provides more information about the MQ. Prior to the interview, respondents will be asked to complete a self-completion questionnaire about the profile of employees at the sampled workplace; this element is covered in Section 3.4 below.

Despite the efforts of the CCT, WERS demands considerable patience. Workplaces will naturally have higher priorities than taking part in the study, and they will often feel under pressure for business reasons. It is essential that you are sensitive to the situation they are facing and behave appropriately. Even when appointments are set up, some time may be spent waiting in reception. The key is patience and persistence to ensure a good relationship is maintained with the main management respondent so that maximum co-operation is received for all parts of the study.

3.2 About the respondent

The respondent will be the **most senior manager** who deals with **employment relations, human resources or personnel and staff** at the workplace.

In large workplaces there will be specialist employment relations staff and the appropriate person may well have the title **Employee Relations Manager** or **Employee Relations Director**. Alternatively, industrial/employment relations may be merged with 'personnel' or 'human resources' more generally, and the appropriate person would be the **Senior Personnel Manager, Senior Human Resources Manager**, or **HR Director**.

Examples of the issues central to employment relations are listed below. The respondent's job must cover the majority, if not all, of these issues – insofar as they apply at the workplace:

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

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

We want to speak to the person responsible for the school on the ARF; in places of higher education the Bursar or Senior Administrator; in hospitals the Senior Administrator.

In schools the management respondent is likely to be the Head Teacher but in very large schools it may be a senior administrator. Some schools may have an “executive head” who is responsible for several schools; and in some instances a number of schools might be linked under a ‘federated school’ arrangement, again with one head teacher.

Primary Care Trusts (PCTs) present another unusual situation. PCTs are split into provider and commissioning functions. The commissioning functions are often based at a head office and employees (such as administrative and managerial staff) tend to have a contract of employment at that workplace. However, the situation with provider functions can cause confusion, as these include things such as community services, health centres, etc. In these cases you should regard employees working in a residential home, or, say, a counsellor who is employed by several GP practices as working “from” the head office which supplies the “provider” functions. Please bear in mind some PCTs are undergoing considerable re-organisation and any problematic cases should be referred to the Brentwood Office in the first instance.

Generally, the interviewee will be responsible for a number of employment practices involving management and workers at that workplace. Sometimes the selected respondent may not be able to answer all sections of the questionnaire and other on-site management respondents may be called upon. You should allow the respondent discretion in deciding this; though you may suggest it to them if you feel this is useful.

In some workplaces, the employment relations functions may have been outsourced to another company or may be managed from head office. The outsourced company will often deal only with administrative processes (such as organising the payroll) or provide advice (e.g. if an employee needs to be disciplined). In such cases, a senior manager at the sampled workplace will be better able to answer the questions in the survey, rather than someone who works at the outsourced company. However, if the outsourced company has very extensive and direct involvement in managing employment relations issues at the workplace, a senior manager at the sampled workplace may be unable to answer many of our questions. In these cases, it would be advantageous if both a representative of the outsourced company and a senior manager at the sampled workplace can be present for the interview.

In some instances the interview may take place at Head Office if this is where the person with most relevant knowledge is based. In these cases, it will be important to remind the respondent, as appropriate, that his/her answers should only refer to the sampled workplace.

In the interview, if there are some questions that the respondent can not answer, they will be able to refer the interviewer to the person with the relevant knowledge.

3.3 About the questionnaire

The topics covered in the main management questionnaire are as follows. The letters correspond to the letters of the CAPI blocks:

Z Employee Profile Questionnaire (EPQ): Please see Section 3.4 for more information about this section. The EPQ asks about the characteristics of the people employed at the workplace. It focuses on employees but also asks about other types of workers such as agency workers. In this section we determine the largest occupational group at the workplace (excluding managers). Specific questions will be asked about this group of employees in later questions in the interview.

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

B Management of Personnel and Employment Relations: This section looks at the types of management structures and processes that exist within the workplace to manage employment relations issues.

C Recruitment, training and organisation of work: This section considers how vacancies are filled, while questions on training cover induction and specialist training. We also ask a series of questions which look at the way work is organised for the largest occupational group. This covers the various techniques managers utilise to get work done, and the degree of control employees exert over their jobs.

D Consultation and communication: In this section, we look at the methods management use to communicate with employees, and over which issues. There are many approaches and the questionnaire explores a number of these.

E Representation at work: This section explores the extent to which employees organise themselves collectively in their dealings with management, for example, through trade unions or staff associations.

F Payment systems and pay determination: This section looks at the issue of pay, covering a range of topics including variable-pay schemes, job evaluation schemes, pay settlements, other entitlements and appraisal schemes.

G Collective disputes and procedures: This section, and the next, look at disputes that arise about employment matters at the workplace. In this section, we want to find out what happens when a collective dispute (involving all or a group of employees) over such things as pay and conditions of work arises. Is there a procedure to be followed or not, what types of disputes are covered by a procedure and are any outside parties like Acas called in to help resolve disputes?

H Grievance and disciplinary procedures: This section covers disputes that affect individual employees, usually referred to as grievances. Most, but not all, workplaces operate a grievance

procedure to try and resolve these individual complaints. We also want to know how the disciplinary procedure works - who is covered by it and what rights employees have under it e.g. can they appeal against a decision.

I Fair treatment at work: In this section, we look at equality and diversity, family friendly policies and health and safety issues.

J Workplace flexibility: This section begins by looking at what is called 'non-standard employment'. This covers a broad range of working arrangements which depart from the standard open-ended, full-time employee contract. These include the use of sub-contractors, agency workers, fixed-term employees, and freelance and home workers.

K Workplace performance: This section explores the commercial environment in which the workplace operates. It looks at how the workplace monitors its own performance, examining such things as quality of goods or services, whether any targets are set, and whether they directly compare themselves with other workplaces.

L Workplace change: The last substantive section looks at changes that may have occurred at the workplace over the past two years. It also asks whether the workplace has been affected by the recession.

M General information: The final block of the questionnaire consists of you thanking the respondent for taking part, while also trying to persuade them to take part in further studies. This is an important part of the interview as you will be seeking their consent to other parts of WERS proceedings, such as the worker representative interview and employee questionnaire.

Detailed information about the questionnaire can be found in Appendix B. Please read this carefully.

In some cases the respondent may query whether their response should focus on their official policies, or what happens in practice. You should inform the MQ respondent that the focus of the MQ instrument is on the actual practice of the workplace.

Some of the respondents you will be interviewing will often be quite senior and experienced business people. To build rapport and win their respect it is important that you can explain all concepts in the MQ instrument. You **must take** the glossary of terms (Appendix C) with you to all interviews, as this will be invaluable as a reference. Because this is a substantial document, you will find a separate copy of the glossary has been provided in your packs, so that you do not need to take the entire interviewer handbook with you.

Related to this, you should be cautious about using techniques used on many surveys to "move respondents through the questionnaire" as this may give the impression you are not treating the respondent with respect. You can acknowledge the respondent's time is valuable and say you would like to make faster progress. You can also point out that the showcards mean you do not have to read out the options to some questions. This issue needs careful handling and no hard or fast rules can be given.

3.4 Employee Profile Questionnaire

Prior to the main management interview, the respondent is asked to fill in a questionnaire about the number and different types of employees at the workplace. This is called the Employee Profile Questionnaire (EPQ). In most cases it will be sent to the respondent by a Central Contacting Team at NatCen before the date of your interview, and they will have been asked to complete it before the interview. Respondents can complete the questionnaire either on paper or online. (A login and password will be available on the EPQ to allow respondents to complete the questionnaire securely online, should they choose this option).

Where respondents complete the questionnaire **online**, you will be able to download their responses onto your laptops before the main management interview. Responses will then be fed forward automatically into the CAPI programme for the main management interview. We will request that respondents should complete the online questionnaire 48 hours before the main management interview is scheduled to take place, to ensure that data can be received and transmitted in advance of the interview. However, you are asked to attempt to download EPQ data as close to the interview as possible (ideally, on the morning of your main management interview) to ensure that you receive data where it is available.

Where the EPQ responses have been successfully downloaded, you will be required to confirm this information through the CAPI program. If the respondent has specified the names of any unions you will also be required to code these.

Where respondents complete the online questionnaire, but have not left enough time for you to download responses onto your laptop prior to the main management interview, they will be able to access their responses online for you to enter manually onto your laptop (in Section Z of the CAPI).

Where questionnaires are completed on **paper**, you will be required to enter EPQ data manually at the start of the main management interview. If the respondent has filled in the EPQ with precision, copying the details will be very quick. If the EPQ was completed less precisely, then copying the information could take a little longer. This is because these details are very important and there are several checks to ensure that the basic figures add up.

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

Under no circumstances should you fill in the EPQ in the CAPI programme prior to arrival at the workplace, even if you can make a reasonable guess as to what the answers will be. You should involve and engage the respondent, enabling you to check any anomalies in the figures they have provided. Where the respondent has completed the paper version of the EPQ, you should ask the respondent to read out their responses, which should prevent any problems arising from illegible answers as well as avoid them becoming restless at the start of the interview.

Under no circumstances should respondents be allowed to use fictitious EPQ data in the main management interview and then complete the EPQ online at a later date. If the exact data is not

available, the respondent can provide a 'best estimate', but if they are unable to complete the EPQ section of the CAPI during the interview, an alternative time for an appointment should be made for the entire interview.

When you go through the EPQ with the respondent, ensure they are looking at showcard A1 which contains the details of the occupational groups for Question 2. This will help maximise data quality.

Once you have finished going through the EPQ with the respondent, please collect any completed EPQs from them, and return them to the Brentwood Office. We will use these in the editing process.

3.5 Initial contacts/ setting up an interview – the CCT role

Wherever possible, appointments with management contacts will be made by the CCT at NatCen. This is intended to allow you to have more time to concentrate on the substantial task of delivering high-quality interviews. Even where an appointment is not successfully arranged, in most cases the CCT will have resolved issues surrounding changes in trading names and addresses and will have established the contact details of the manager you are to interview. Materials will also have been sent out to these contacts giving the background to the study.

Although you will not generally be responsible for making initial contact with the main management respondents, it is vital that you understand who is eligible to take part in the main management interview. Please read section 3.2 carefully, along with Appendix A (which provides further details about the definition of a workplace).

Prior to allocation to an interviewer, the nature of the contact made with each workplace will depend on its status within the sample i.e. whether it is a wave 1 or wave 2 workplace.

Wave 1 workplaces

For Wave 1 cross-section and panel cases, contact will depend on how far in advance the appointment has been made. It is expected that most appointments will be made at least four calendar weeks in advance. These will follow the 'normal' contact procedure outlined below:

- First, an initial approach letter, signed by Bill Wells, the Director of the Labour Market Analysis Branch at BIS, is sent to respondents to introduce WERS. (Where email addresses are available, emails will also be sent out.) An example approach letter is available in your briefing packs.
- Second, workplaces are contacted by phone by the CCT, who check that the workplace is eligible, provide information to the respondent about WERS and set up an interview with the main management respondent (and, where possible, attempt to determine whether there are worker representatives present and identify them – see Section 4 for more information about the worker representative interviews).
- Third, appointment confirmation letters are sent out to contacts. These letters contain the contact name of the interviewer responsible for carrying out the main management interview. A copy of an appointment confirmation letter is available in your briefing packs.
- Fourth, the CCT will attempt to contact the MQ respondent by phone two to three weeks before the interview to confirm the appointment. During phone conversations, the CCT will introduce the respondent to the Employer Profile Questionnaire (EPQ), requesting that they fill this in before the date of the interview (see Section 2.4 for more details about the EPQ). The team will also remind the management respondent about the Survey of Employees, and ask them to have a printed list of employees available for you at the main management interview (see Section 6 for more details about the Survey of Employees).

- Following these phone conversations, a copy of the EPQ is sent out to management respondents, along with a covering letter. They are also provided with a web address for the on-line version, and unique login details. A copy of the EPQ cover letter is available in your briefing packs.

Where an appointment has been made between ten working days and four calendar weeks in advance, an 'Intermediate' contacting process will follow. These workplaces will receive the EPQ and cover letter only. Although they will not have the individual appointment confirmation letter and phone call, the EPQ cover letter will confirm the time and date of their appointment, and reminds respondents about the SEQ and the need to have a printed list of employees available for you.

Where an appointment has been made between four and nine working days in advance, a 'fast track' contacting process will follow. This is similar to the 'Intermediate' process discussed in the previous paragraph, but main management respondents will be sent an email version of the EPQ cover letter (where an email address has been obtained). This will also include a link to the online EPQ. If they do not have an email address, we will not be able to get them a paper EPQ in time, and you will have to do the EPQ with them from scratch at the start of the interview, which is not ideal. This is why we have asked the CCT to minimise the number of 'fast track' appointments.

Wave Two workplaces

As mentioned in section 2.4, initial contact for Wave 2 workplaces (whether cross-section or panel) will have been directed at Head Office level by the Research Team or BIS as follows:

- The Research Team or BIS will have identified the Head Office for the workplace (BIS have responsibility for contacting workplaces belonging to central government and large Quangos; the NatCen Research Team have responsibility for all other Wave 2 workplaces);
- The Research Team/BIS will have identified a Head Office contact and sent them a letter to introduce WERS to them.
- The Research Team/BIS will have followed up this letter with a telephone call to explain more about the study, and advised them of the number of workplaces within their organisation that appear in the sample.
- The Head Office will have provided the Research Team/BIS with the contact details of the main management respondent for each sampled workplace, including their job title. They will have also accounted for any workplaces that they no longer control (either because they have sold the workplace to another controlling organisation, or because the workplace is no longer eligible).
- Each identified main management respondent will have been sent an initial approach letter introducing them to the study, and advising that their Head Office has identified them as the most appropriate respondent, and provided their contact details.

Copies of the letters referred to above are in your briefing packs.

They will then be contacted by the CCT, who will initiate the appropriate contacting process as outlined above for wave 1 cases, albeit from the second step.

Before the start of fieldwork, regardless of whether it is a Wave 1 or Wave 2 workplace or part of the cross-section or panel sample, you will be given as many details about your respondents as the CCT

have been able to establish (including names, job titles, addresses, email addresses and phone numbers). If the CCT have arranged an appointment, you will be given information about the time, date and location of the interview.

Should the respondent need to change the details of an appointment for any reason, they will be requested to get in touch with the CCT, who will alert you to the situation as soon as possible. Unless you hear otherwise, you should assume that an interview has been confirmed.

If you need to change the interview time or date, please get in touch with your Project Manager, who will consult with the Field and Research teams as to the most appropriate way forward.

3.6 Initial contacts/ setting up an interview – your role

The CCT will be very active in trying to establish appointments for you, but a very important part of your role will be to make contact and set up appointments with those workplaces where this was not possible. There will be particular reasons for not obtaining an appointment (it will be made clear to you how far in the process the CCT got for each case issued to you):

- No contact with the workplace, but it was not possible to establish that it has closed down or moved
- Contact with the workplace, but no contact with the appropriate MQ contact (this may be concentrated in particular industries, such as those where appointments do not fit in well with the day to day working pattern)
- 'Soft refusals' to the appointment – commonly where the response was that the contact did not have time or could not commit to a specific date (some of these cases will stay in the CCT to be tried at a later point in fieldwork)

If no contact has been possible through the CCT, then your local knowledge could be invaluable in helping to determine whether the workplace has closed down or moved. You may be able to visit the workplace en route to another appointment. Someone in a neighbouring shop or office may be able to tell you what happened to the workplace.

If no MQ respondent has been identified, there is probably no point ringing before a visit – if the CCT had no success it is unlikely you will. The best approach is to pay a visit to the workplace to try and identify a relevant contact and leave behind a letter and a copy of the MQ leaflet (MQLM). Make sure you leave behind the correct letter – Panel respondents should receive MQPAM1 and cross-section respondents should receive MQXAM1. The key here is to come across as professional and serious as possible. Please dress appropriately and tell them you are conducting an important study on behalf of the Department of Business, Innovation and Skills (many respondents will not recognise the acronym BIS) and that you would like to leave some correspondence for the relevant person. It may help to show the BIS letterhead to aid recognition, and the signature of Bill Wells, the Director of the Labour Market Analysis Branch at BIS, to demonstrate authority. Mentioning the study is also sponsored by Acas may prompt some recognition too. Make sure to put the letter in an envelope and address it to the main management respondent by name before handing it over (this makes it more likely it will get to the MQ

contact). Make sure you take a note of the name and contact details of anyone you speak to, as well as the main management respondent. If you can speak to the main management respondent right there and then and they are happy to do the interview, seize the moment! So it's important if you do "doorstep" them that you leave enough time to conduct an MQ interview if they suddenly agree there and then. (Please bear in mind that the respondent will not have had an opportunity beforehand to complete the EPQ).

Have a think about the sort of business it is as that may give you an idea of the best time to call. People may be more receptive at the start of the day rather than the end when they may have deadlines.

Once you have handed the letter over, give them a week's grace and then phone to persuade them to take part. Remember you need to sell the survey at this point (see section 8 for more on this):

- It has impact;
- It is personally rewarding and looks good;
- It is their chance to benchmark performance against others;
- It is widely endorsed;
- They will be given a copy of the findings and possibly access to networking opportunities.

Remember, if the workplace is part of the panel sample, you will need to check that they are a 'continuing workplace' before conducting the interview. Use the screening questionnaire contained in the panel ARF to help you decide, along with any information that the CCT has gathered (provided on the Contact Information Sheet). Contact your Project Manager or Brentwood if you are unsure. (See section 2.2 and 7.4 for more information on the screening questionnaire). You do not have to wait for an appointment with the main management respondent to complete the screening questionnaire. If you feel that the manager's personal assistant, or another relevant contact at the workplace can answer the screening questionnaire adequately, then you can complete it with them.

Once you have set up an appointment with the main management respondent, we would like you to check with them whether there are any eligible worker representatives at the workplace. Use the guidance in Appendix E. If the main management respondent is losing enthusiasm or pushed for time, and as long as they have given consent, you can ask them to refer to a person who could help you identify the appropriate worker representatives. Once you have identified a worker representative or someone who can tell you who they are, you need to phone them to set up an appointment. This should ideally be fixed for the same day as the main management interview. If this does not happen it is likely the WRQ will be conducted by telephone – but we want to maximise face-to-face interviews.

Remember to be wary about setting up WRQ appointments if there is a danger you will lose the MQ interview. The MQ is the lynchpin to the survey and so it is important not to put it in jeopardy; WRQ appointments can be set up after the MQ interview if necessary.

Before you close the conversation with the main management respondent, we would like you simply to introduce the Survey of Employees. By the time you get to this point in your telephone conversation, the main management respondent will have already taken in quite a bit of information – and will probably be quite ready to get you off the phone! As such, we do not want to give them much more information here. However, we do think that it's important for the Survey of Employees to be mentioned up front, so that we

do not get any complaints further down the line. Use the guidance in Appendix E. Please then follow up with an appointment confirmation letter (MQCM).

If the MQ respondent is identified but no appointment has been made, again, there is probably no point in making further telephone calls. The best approach is to pay a visit to the workplace to try and secure an interview. If you cannot establish a good time to return, see if you can establish a convenient time to call back or, if not, remember to leave a few weeks before visiting again. It is a good idea to leave them an approach letter and leaflet with the time you will call back, as they will likely have forgotten about or destroyed previous correspondence sent to them by the CCT.

4 The worker representative interview (WRQ)

4.1 Introduction

After the main management interview, you will (where applicable) interview up to two worker representatives in each workplace. These will be conducted either face-to-face (ideally, during the same visit as your main management interview) or over the phone. The Central Contacting Team will identify eligible worker representatives (where possible), and then you will be responsible for arranging your own appointments. This chapter provides more information about the worker representative interviews.

4.2 About the respondents

As well as interviews with the main management respondent, we are seeking to interview **worker representatives**. **The eligible worker representatives will be employees of the workplace** in question who speak on behalf of employees. There are two possible types of representatives that might be interviewed:

- ***a union / independent staff association representative***

In the first instance, the respondent would be the representative of the **largest** (i.e. with the most members at the workplace) **recognised** union/independent staff association. A union is recognised by management where they have agreed to negotiate with the union about pay and conditions of employment. Where, in a few cases, the representatives of the largest union cannot for some reason be interviewed (e.g. long-term sickness or away for an extended period of time), you should contact a member of the NatCen research team for advice on how to proceed.

If there is not a recognised union, the respondent would be the representative of the largest non-recognised union at the workplace.

The representative must be the **most senior** representative that is an employee at that workplace.

Unions are also sometimes known as 'staff associations' particularly among white-collar unions. Thus, we are after the largest union/independent staff association, as long as the staff association is **independent** of management (see the Glossary in Appendix C).

Where there are a number of union representatives who share equal responsibility (i.e. no one union representative is more senior than any other), we wish to interview the respondent who is most knowledgeable about the topics covered (see Section 4.3 or Appendix E).

In the unlikely event that the largest union is **not** recognised by management for negotiations over pay and conditions, but still has a representative at the workplace, that person is appropriate for interview.

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

You should note that the person you interview might, in large workplaces, work full-time on union affairs, but they will NOT be a FULL-TIME UNION OFFICIAL. A full-time official is an **employee of the union** who will fulfil a range of roles on behalf of the union, including sorting out disputes at different workplaces. The person you are to interview will generally be an **employee of the workplace**. In the case of large organisations they might be based at another workplace, but have responsibility for the sampled workplace. As stated above, in some large workplaces, representative activities may be all that they do (i.e. they are a full-time representative). The employer will have agreed to this and will continue to pay their wages. A full-time union official, on the other hand, is a paid employee of the union itself.

You can find more information about trade unions in Appendix A (Section D). Please familiarise yourself with this information before fieldwork.

- ***a non-union representative***

We are also seeking to identify a non-union employee representative, if there is one at the workplace. By non-union we are referring to situations where a representative is speaking on behalf of the workplace's employees, not through the formalised channel of union representation.

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

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

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

Where there are a number of non-union representatives who share equal responsibility (i.e. no one non-union representative is more senior than any other), we wish to interview the respondent who is most knowledgeable about the topics covered (see Appendix E).

4.3 About the questionnaire

Interviews will be carried out either face-to-face or over the phone. Many of the questions in the WRQ are the same for both union **and** non-union respondents.

Some of the questions are parallel versions of those asked of the management respondent, and a number are identical. Even if you know what the management respondent said at a particular question **you must never tell the worker representative**. Not only would this breach confidentiality, but it would also undermine one of the purposes of the survey, which is to uncover these differences. The other questions are about what the worker representative does, and we ask them rather than the manager as the worker representative is best placed to answer these questions.

In summary, the topics covered in the worker representative questionnaire are as follows. More detail can be found in Appendix B:

A Background Information: This section asks for background information about the worker representative who is being interviewed, including their occupation and the types of issues they deal with as a representative at the workplace.

B Structure of Representation at Workplace: This section contains questions about representation at the workplace including how the worker representative was appointed and the presence of other representatives.

C Joint Consultative Committees: This section relates to joint consultative committees, the issues they discuss and the regularity with which they meet, as well as other informal meetings with management.

D Negotiation, Consultation, and Information Provision: This section examines the representatives' role in decisions that are made about pay and working conditions. We ask about representatives' involvement in determining pay and about any information requests that were made to management for bargaining. Representatives are then asked whether they negotiate with management, or are consulted, informed or not informed in relation to other employment conditions.

E Role of Employee Representative: In this section, respondents are asked how they communicate with the employees they represent and about any training they may have received for their representative role.

F Collective Disputes and Procedures: Respondents are asked whether any collective disputes over matters such as pay or working condition, have taken place in the last 12 months.

G Workplace Change, Grievance and Disciplinary Procedures: This section begins with questions about workplace changes that may have occurred at the workplace over the past two years, whether any of these were a result of the recession and the extent of consultation with employee representatives about the changes. It then asks how individual employees go about resolving disputes or grievances, and about disciplinary procedures and dismissals.

H Employee Representative and Management Relations: This short section (of only two questions) asks representatives about their relationship with management, seeking to examine the quality of that relationship.

I Contact with External Organisations: In this section, we ask union representatives and employee reps that are union members whether they have had any contact with full-time union officials and the nature of this contact.

J Union Recruitment – Trade Union Representatives Only: This section looks at union recruitment and the role played by worker representatives in attracting new recruits.

L Job and personal characteristics: The final section of the interview is brief and asks the respondent to provide some basic information about themselves.

4.4 Initial contact/ setting up an interview

Where possible, the CCT should have already identified the appropriate WRQ respondent(s). If they have, the contact details of the worker representative(s) will appear on the ARF and the CIS (names, titles, telephone numbers and email addresses).

On the basis of the answers given in the MQ, the CAPI programme will also determine whether there are eligible worker representative respondents at the workplace. This is signalled to you at the end of the interview.

There may be some instances where the CAPI programme contradicts the CCT. **It is very important that the representative interviewed is the one identified by the CAPI programme.** Where you identify a different worker representative respondent – or if you identify an additional worker representative respondent where initially only one had been identified by the CCT – you will be required to set up an interview with this respondent. (Please also remember to enter updated contact details onto the ARF; see Section 7 for more details on the ARF.)

You should explain to the management respondent that there are further stages in the study. Explain that you would like to talk to a worker representative in order to supplement the information obtained from management on matters such as employee consultation and trade union organisation and activity, which worker representatives will generally be more familiar with. At workplaces where there are no recognised unions, the worker representative interview will help you to gain information on communications between management and the workforce from the representatives' point of view.

To set up an appointment, you may be able to enlist the help of the management respondent in order to arrange a suitable time for the interviews with the worker representatives although, in other instances, you may be left to make your own arrangements. (You may be able to approach the worker representative in person, during your visit to the office. Alternatively, you may need to get in touch with them via phone or email.)

In your packs, you will have copies of an initial approach letter and leaflet for worker representative respondents (WRQAM and WRQLM respectively - see your briefing packs for a copy of this). Wherever possible, you should hand these personally (or post them) to the respondents. If, however, the management respondent offers to pass on the letter, this is an acceptable alternative. You will also find appointment confirmation letters for worker representatives in your packs (WRQCM - see your briefing packs for a copy of this). You may find these useful in arranging your interviews.

In all instances, where management is reluctant to allow contact with the worker representatives, you should refer back in the first instance to someone working on WERS in the Brentwood Office if necessary, via your Project Manager. Remember the key is to do nothing that would jeopardise the MQ interview.

Please see Section C in Appendix E for a description of the correct procedure for setting up an appointment.

4.5 CAPI or CATI?

The interviews with worker representatives should last around 30 minutes and, ideally, we would like to interview worker representatives face-to-face.

Preferably, the worker representative interview should take place during the same visit as the main management interview, so that you do not have to make two journeys to the workplace. In some cases, you may find that you have to visit the workplace more than once, for example to finish off the MQ interview or to distribute the Survey of Employees (see Section 6). In these instances, you may be able to schedule the worker representative questionnaire for this second visit. Alternatively, if you are in the vicinity of the workplace on another day (for example, to conduct another interview at a nearby location) you may be able to arrange a face-to-face worker representative interview to coincide with this.

However, where none of these scenarios are possible, you are advised to interview the worker representative by phone, rather than visit the workplace for this purpose alone. In these cases, you will need to ensure that the respondent has a copy of the showcards required for the interview. This is covered in Section 4.6 below.

4.6 Use of showcards

Where worker representative interviews are carried out by phone, it will be your responsibility to ensure that the respondent has a copy of the showcards required for the interview. You are advised to do this in the following ways:

- Leave a copy of the showcards at the workplace after the MQ interview. (Where possible, you should give the showcards to the worker representative respondent in person; otherwise, they should be left with the main management respondent, with the instruction to pass them on);
- Send a copy of the showcards to the worker representative by post; and/or
- Send a copy of the showcards to the worker representative via email.

Please remember that it is preferable that the worker representative receives **more than one copy** of the showcards than none at all! Even if you have left a copy of the showcards at the workplace, you might want to send a version via email as well.

It is vital that the worker representative has access to the showcards at the time of the interview. If this is not the case, you are advised to attempt to carry out the interview regardless, by reading out the options on the showcards over the phone. You should be aware that conducting the interview without the showcards will significantly increase its length.

5 Financial Performance Questionnaire (FPQ)

5.1 Introduction

The Financial Performance Questionnaire (FPQ) is a self-completion questionnaire which collects information about the financial performance of the workplace.

It has proved a useful tool for analysts to explore the impact of employment relation strategies on workplace performance and productivity. Whilst the interview with the main management respondent explores managers overall perceptions of their workplace in terms of progress, the FPQ provides hard evidence on company turnover and other measures.

The FPQ can be completed online or on paper.

5.2 Placing the questionnaire

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

Towards the end of the MQ interview the CAPI will identify whether the workplace should complete an FPQ (using responses received at ASTATUS). The respondent will be asked to identify who is best placed to complete the questionnaire. This name (and email address, where applicable) is entered into the CAPI. There is also a space on the ARF (section N) for you to enter their details. Please note that you will only be prompted by the CAPI to collect these details for private and trading sector workplaces as only they are required to complete an FPQ.

Each FPQ respondent should receive a covering letter to accompany the FPQ. You will have copies of this letter in your packs (FPQAM). As this is a generic letter there are no personal details included, so you will need to write the name of the FPQ respondent at the top of the letter. The letter and the FPQ should then be inserted into the plain A4 size pre-paid envelope, along with a reply-paid NatCen envelope.

Please note that respondents can also complete the FPQ online. You should alert the respondent to the option of filling the questionnaire out online when you are introducing the FPQ to them. The covering letter will provide them with instructions as to how to do this, and their login details (username and password) will be written on the label attached to the front of the questionnaire. The FPQ label can be found on the same sheet of labels as the SEQ labels.

Please leave the FPQ with the correct respondent as indicated by the CAPI. If this is not possible, you can post the FPQ and accompanying letter to the FPQ respondent once you return home (this is why we have provided the plain A4 prepaid envelope for the FPQ).

5.3 Persuading the management respondent to co-operate

The FPQ was first introduced to WERS in 2004. The response rate for this part of the survey was in the mid-range (around 50 per cent). Both pilots have indicated that greater emphasis on the significance of this part of WERS should be stressed to increase response rates for the FPQ. If the management respondent shows signs of hesitation in accepting the questionnaire, it may be useful to draw their attention to the guarantees of confidentiality and anonymity given in the covering letter/information sheet and on the front of the questionnaire.

Since 2004, analysts have used the FPQ to address a number of interesting research issues. We have included some below, and you can use these to convince workplaces of the value of the FPQ if necessary.

- **Do workplaces which use performance related pay schemes have higher productivity than those which don't?**
Workplaces where such schemes extend beyond managerial roles to non-managerial employees do experience higher productivity.
- **Are workplaces with team-working and problem-solving groups more productive than those without?**
Workplaces with permanent team-working or problem solving groups are more productive. Workplaces with temporary team-working or problem solving groups are not any more productive.
- **Are workplaces with equal opportunities policies more profitable than those without?**
Findings indicate that equal opportunities policies do not influence profitability. It is suggested that this may be due to the associated costs of implementing the policies outweighing the benefits.

5.4 Returning the FPQ

If the FPQ respondent chooses to complete the paper-based version of the questionnaire, they are requested to return it to NatCen, using the reply-paid envelope you will have left with them. Online FPQs will be submitted automatically.

Where FPQ questionnaires are not returned to us, the office will send a reminder letter/email to the FPQ respondent (a copy of this can be found in your briefing packs). As interviewers, you should not chase respondents to fill in the FPQ.

6 Survey of Employees Questionnaire (SEQ)

6.1 Introduction

The Survey of Employees Questionnaire (SEQ) is a very important part of the main study, and should be completed by a sample (maximum 25) of employees at the workplace. The questionnaire deals with employees' attitudes both to work in general as well as to their current workplace. It will enable BIS and the other sponsors to get a fully rounded and balanced picture of employment in Britain today – from the point of view of management, employee representatives and employees.

Essentially your task is to leave short paper questionnaires (with an explanatory SEQ leaflet) to be completed by a number of employees at the workplace. In order for the sample of employees to be properly representative of the workforce at each workplace, it will be necessary for you, the interviewer, to select a sample of employees from staff records in whatever form they are conveniently available. You will also be required to enter basic data about the selected employees (e.g. gender) into the CAPI programme, where possible.

A maximum of 25 employees will be selected at each workplace; where there are fewer than 25, **all** employees at the workplace will be asked to complete the questionnaire.

After making the selection, you will need to consult the main management respondent on whether any of the respondents require a translated version of the questionnaire. Translated SEQs are available in six languages. These are Polish, French, Welsh, Bengali, Urdu, and Punjabi (Shahmukhi). There is also a translated page inserted in the SEQ leaflet which contains information in additional languages.

More information about the Survey of Employees process is provided below.

6.2 Persuading the management respondent to co-operate

Although the Central Contacting Team will have introduced the Survey of Employees to management respondents, you may need to play a role in encouraging them to agree to the participation of the workforce.

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

During the first pilot and the dress rehearsal, the key reasons for management respondents refusing to distribute the SEQ were the perceived burden on employees' time, concerns about confidentiality and a reluctance to let interviewers return to collect the questionnaire.

Here are some suggested arguments to use if the respondent perceives this is a burden on employees' time:

- **My employees are too busy at the moment. Can they do it another time?**

Employees can complete the questionnaire in their own time or at home. We would like the questionnaire back as soon as possible.

- **How long does the questionnaire take to complete?**

Most people complete the questionnaire in less than 15 minutes, and it is up to you whether employees do it in work time, in their own time, or take it home to complete.

If you are interviewing in a large organisation you may want to suggest that you only want a small minority to get involved:

- **How many employees do you want to take part?**

Up to 25.

Here are some suggested arguments to use if the respondent has concerns about confidentiality:

- **Why do you need to take down details about the employees?**

We would like to send out personal reminders to employees, and where possible, send them an email with a direct link to the online version of the questionnaire. We would like to record the gender of the selected employees so that we can see who has and has not responded to the survey to ensure that the employees are representative of all employees at work in Britain.

- **Will I get a report based on what employees at this workplace said?**

No, but you will get a summary of the main findings from all workplaces combined.

- **Who will get to see the survey results?**

The completed questionnaires will be entered into a computer at NatCen head office, and all the questionnaires will then be destroyed. No one using the information will know the name of anyone who has filled in a questionnaire. Researchers will then use the data to produce reports which will be made publicly available.

Here are some suggested arguments to use if the respondent is worried about the collection of questionnaires:

- **All we want to do is distribute the questionnaires – they do not have to (and should not) collect completed questionnaires**

- we ask management to provide a list and we will choose a random sample of employees
- we then ask management to distribute the questionnaire packs to employees
- employees can complete the questionnaire in their own time or at home
- employees can return the questionnaire themselves in the reply paid envelope provided or by completing it online
- no individual employee or their employer will ever be identified in the results

- all completed employee questionnaires will be destroyed after the study
- findings will be presented for different groups of workplaces (manufacturing, service etc.)

Here are some other arguments you may find useful:

- **We want to get a rounded picture - from managers, worker representatives *and* employees - of what goes on at work.**

- this will mean that the survey is seen as balanced as all parties will have a say
- it will give us a complete picture of Britain at work
- there are some things that only employees know the answer to, like how happy they are in their jobs
- this was done before in 1998 and 2004, and got an excellent response from employees.

- **Do employees have to complete the questionnaire?**

No, it is a voluntary survey, but I am sure that they, like you, will appreciate its importance.

- **Can I see the questionnaire beforehand?**

Yes. As you will see when you read it, there is nothing controversial in it.

- **Are all workplaces in the survey taking part in this?**

Yes. This will allow us to compare employees' views on work in the private and public sectors, in manufacturing and services and so on.

- **Can't I just pick a group of employees who I know will complete the questionnaire, rather than having to provide you with a list?**

No, our procedures for choosing employees to take part have been very carefully developed by statisticians to make sure that across all of Britain we get the right number of full- and part-timers, office and shop-floor workers and so on. This will only work if everyone follows the procedures.

- **If I didn't want my employees to take part in this survey, would you still want to interview me?**

Yes, and hopefully you would appreciate from our interview that we are only interested in obtaining a complete picture of Britain at work, and might reconsider.

- **Will I have to complete one of these questionnaires myself?**

You might, if you are one of the employees randomly chosen. An owner/proprietor, however, who would not be included on any list of employees would not be asked to complete a questionnaire.

- **What if some of the employees you select are away sick, on maternity absence, on secondment or away for some other reason? Do you want to choose someone else?**

No. Employees who are absent from the workplace for any of these reasons remain as employees. We would be grateful if, by some other means, our questionnaire could be distributed to these people. We value what they have to say in the same way as every other employee.

- **What if some of the employees you select will have trouble completing the questionnaire, due to language or literacy problems. Do you want to choose someone else?**

No. We would still like to hear from them. Copies of the SEQ are available in Polish, French, Welsh, Bengali, Urdu, and Punjabi (Shahmukhi). Friends and family can also help complete the questionnaire on paper or online, or alternatively respondents can call a member of the WERS Research Team on the free-phone number 0800 783 5890.

- **We are doing our own employee survey and your survey will distract from it.**

Employees can complete our survey in their own time. We can also delay distribution of the survey by a week or two if you prefer to ensure they are not distracted.

6.3 Drawing the sample

The CCT will have been in touch with the main management respondent to ask them to provide a printed list of employees for you when you arrive. Of course, in some cases, this list will not have been prepared, and you will have to request it after the main management interview.

In all cases, you will have to double check with the main management respondent (or another relevant contact) that the list adheres to the eligibility criteria specified below. For the list to be of use to you in drawing a sample of employees, it must:

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

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

A full definition of the term 'employees' is provided in Appendix A. Please read this before you start your interviews, as it is vital that you understand these definitions to ensure that eligible samples are drawn.

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

From our past experience of delivering WERS, we have established that you will be faced with one of two situations:

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

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

A printed/written list has been provided

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

Example:

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

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

A computer file is available, but no printed list

Sometimes a computer file is available, but no printout of the list can be made. Often this will be because the database contains confidential information. The sample will then have to be drawn on your behalf by someone appointed by the management of the workplace.

You should:

1. Check that: all employees at the workplace are included on their computer list; that the list is only of employees at that workplace; and that no employees are included more than once. In all cases, the total number of employees on the computer list should equal the total on the EPQ (although you can ignore minor discrepancies).
2. Use the white and yellow Selection Sheets as described above. Find the appropriate line on the first column of the selection sheets headed "Number of employees". The 25 numbers given against this line give the numbers of the employees to be selected.
3. Ask the person drawing the sample to identify the employees so that you can distribute packs to the right employees.

If the workplace has more than 5,000 employees, please contact someone working on WERS in the Brentwood Office for advice.

6.4 Recording information about selected individuals on CAPI

Once you have selected the sample or the person drawing the sample has provided you with the employee names, you are asked to record the following individual-level data into the CAPI programme:

- Name of selected respondent;
- Gender of selected respondent – in many cases this will be obvious. Some lists may include a title (Mr/Ms/Mrs/Miss). However, if you are in any doubt you should ask the person from the workplace who is assisting you. If there is still any doubt do not record any gender information for this particular employee;
- Email address of selected respondent; and
- Whether the respondent is expected to need a version of the SEQ in another language.

If you happen to be told anything about the selected respondents that might explain the absence of a questionnaire from them (e.g. long-term absence from the country, or long term secondment), then you should make a note of this in the CAPI.

If the management respondent does not want a sampled respondent to take part, then please encourage them to relax their attitude by assuring that all information will be completely confidential. But ultimately if they refuse to agree to the employee receiving a copy of the questionnaire, we must accept this. In these cases you should not record the names of the selected respondents in the CAPI, and make a note that the management respondent has refused to allow this employee to receive a copy of the SEQ. **You should not replace this employee with an alternative person.**

When you are gathering email addresses, it may be that you can ask, firstly, whether everyone has the same details in their email address *ie name@organisation.x.x* (e.g. name@natcen.ac.uk). If this is the case,

you only need to collect the details for each person that appear before the @ sign in the email address. A question will appear in the CAPI asking if the domain name (e.g. @natcen.ac.uk) is the same for all employees. If you answer yes then you will not need to enter the domain name subsequently.

These details will allow us to conduct a more detailed analysis of non-response and will be necessary for sending out reminders.

6.5 Distributing questionnaire packs

You have been provided with sufficient questionnaire packs and sets of labels to issue 25 SEQs and SEQ leaflets at each workplace. Once you have selected your sample of employees, you need to prepare the packs for distribution. Please do not prepare packs in advance as some workplaces will not have 25 employees and it is important to avoid unnecessary wastage of documents. This requires you to go through a number of procedures.

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

LABEL 1 should be attached to the outside of the questionnaire pack. You have to write the name and department of each selected respondent on Label 1 in each row. As specified in the section above, these details also have to be entered into the CAPI for that workplace (along with information about the respondent's gender and email address).

If it is not convenient for you to enter this information into CAPI while you are at the workplace, then it will be necessary to enter details into Label 3 so that you have a record of the selected sample to record in CAPI at a more convenient time. (Otherwise, you can leave label 3 blank.)

LABEL 2 should be attached to the questionnaire on the front page below the sentence “thank you for your help”. Label 2 contains the questionnaire barcode, along with login and password details should the respondent wish to complete the SEQ online, see below. With the SEQ enclose one copy of the SEQ leaflet and a language insert too.

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

A copy of the SEQ and the introduction letter is available in your briefing packs. A demonstration of how to prepare the SEQs will be given at the briefing. Note the SEQ labels are on the same sheet of labels as the FPQ label.

If the main management respondent refuses to distribute the SEQs, ask if there is someone else at the sampled workplace who can do that on their behalf. If this is not possible complete the admin block and let the Brentwood office know there is a problem. They may be able to post questionnaires to respondents direct (including translated versions). However, please make every effort to get someone at the sampled workplace to place the questionnaires, as we do not want to get involved with SEQ placement.

6.6 Online questionnaires

All sampled respondents can complete the SEQ online. They will be informed about the option of completing the questionnaire online in the covering letter provided with the paper version of the questionnaire. This would refer them to unique login and password details to be printed on a label on the paper version (see Label 2).

6.7 Languages other than English

In your pack you will find an A5 double-sided language insert to go with the SEQ leaflets (the insert instructs those who speak Polish, French, Welsh, Bengali, Urdu, and Punjabi (Shahmukhi) that a questionnaire is available in those languages and how to get hold of it, and instructs those who speak Gujarati, Punjabi (Gurmukhi), Hindi and Cantonese how to get help with the questionnaire). Because relatively few employees will need an SEQ in a language other than English, we have not included a large number of translated SEQs in your packs. If you need more translated SEQs please get in touch with someone working on WERS at the Brentwood Office and they will send you supplies. Please use your local knowledge and if you suspect some translated SEQs will be needed, please call the Brentwood office in advance.

Although many employees who do not have English as a first language will have a reasonable working knowledge of English which enables them to live day-to-day and perform their job tasks, some may struggle with the concepts expressed in some of the SEQ questions. When you hand the questionnaire packs over to the management respondent, make sure to include the SEQ leaflets **with the language insert inside**. This will ensure that the Survey of Employees is as inclusive as possible of those without English as a first language.

If you do place a translated SEQ, you will need to ensure that along with the SEQ leaflet and language insert, that an English version of the SEQ (with label) is included along with the translated SEQ. Please copy the label details from the English version on to the translated SEQ by hand. This way we can ensure that we can book in the translated questionnaires in the office.

6.8 Returning the questionnaire packs

You should arrange for the manager to distribute the questionnaire packs on your behalf. You must stress that the packs must be given to the named individual – otherwise we cannot be sure we have got a representative sample.

You must also make clear to management respondents that they cannot force respondents to complete the SEQ; participation is on a voluntary basis only.

If respondents choose not to complete the survey online, they are asked to return their questionnaires direct to the Brentwood Office, using prepaid envelopes in their questionnaire packs.

If the management respondent refuses to participate in the employee survey, and you do not wish to use an Intermediate Outcome Code, return the complete set of labels to the office, after marking them 'Refusal'.

6.9 Reminders

The reminder process will be carried out by someone working on WERS at the Brentwood Office. As interviewers, you will not be involved in chasing SEQ responses. However, it may be worth mentioning to the worker representative (if applicable) that you are also carrying out a survey of employees, as they may be inclined to encourage employees to respond.

You need to ensure you tell the management respondent that we will be sending reminders to individuals directly for each respondent where we record a name in the CAPI.

6.10 Recording refusals on account of language and literacy problems

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

- It is acceptable for a friend, relative or even a work colleague to help the selected employee to complete the questionnaire.
- There are translated versions of the questionnaire available in Polish, French, Welsh, Bengali, Urdu and Punjabi (Shahmukhi).
- Employees can seek assistance from a member of the WERS Research Team by using the freephone number or email address detailed on the covering letter.

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

7 Address Record Forms and Contact Information Sheet

7.1 Introduction

There is an individual ARF for each address issued. There are two different types of ARF.

- The cross-section ARF
- The panel sample ARF

Detailed information about the contents of each ARF follows below.

There is also a Contact Information Sheet.

7.2 The Contact Information Sheet

The Contact Information Sheet (CIS) contains all relevant details from the Central Contacting Team. Updates will be sent to you via email.

It will include:

- **Administrative information.** The serial number, field area and point number.
- **Sampled workplace information:**
 - The **address** of the sampled workplace that the interview will be concerned with.
 - **Name** of the workplace and its '**trading style**' – on occasion the trading style will give more of an indication of the type of business of the workplace e.g. "Arcadia Group Limited" trades as "Top Shop", "BHS", "Dorothy Perkins" etc. An advantage over previous WERS is that the CCT should have clarified details surrounding the definition of the workplace and provided you with a name that clearly identifies it.
 - **Telephone number.**
 - **Total number of employees.** As recorded in the original sample data and updated by the CCT where possible. Always remember however that the information on employee numbers is only a guide to the size of the workplace. The current actual size of the workplace will be indicated by the answer to Q1 on the EPQ: 'Currently, how many employees do you have on the payroll at this workplace?'
 - **Industry type.** The industry type descriptions are sometimes very brief or obscure. Nonetheless they should, in most cases, help you double check that you are at the required workplace.
 - **Type of sample.** This tells you whether the workplace is from the panel or cross-section sample, and whether a Wave 1 or Wave 2 case.

- **Number of other workplaces at postcode.** In more complex cases, it may be the case that several workplaces are located at the same postcode that are connected to the same overall organisation. The number of these is provided to give you an indication that there may be issues to resolve surrounding the definition of the workplace (although in most cases these should have been resolved by the CCT).
- **Stage of process reached by the CCT.** The final stage that the CCT will have reached will be an appointment with the main management respondent, but where this was not achieved, the stage that was reached will be recorded
- **Appointment details.** Time and date of the appointment with the main management respondent where one was made.
- **Main management respondent contact details.**
 - The name, job title, telephone, address and email address of the MQ respondent. Where there is no address information provided here, the MQ respondent's address is that of the workplace. Where the address is different, this will be the location of the interview, although it will be important to be clear that the interview is concerned with the workplace address.
 - Details of a secondary MQ contact may also be recorded on rare occasions. This is where it is known that more than one person will need to answer the MQ.
- **WRQ information.** Whether the CCT believe the WRQ is applicable and whether a WRQ interview was completed in 2004.
- **Worker representative(s) contact details.** In some cases the CCT will have established the name of the person or people who they believe are eligible for the WRQ. If they have lined this person up to meet you (typically following the MQ interview) then this will be noted in the notes section.
- Whether the **SEQ** has been mentioned by the CCT.
- **General notes from the CCT.** These will include anything that might be relevant to your task. It will include information gathered about panel eligibility, details of discussions about WRQ or SEQ involvement as well as information about access and parking where this was provided.
- **Appointment notes.** In addition to the general notes, notes specifically relating to the appointment may have been recorded.
- **Panel case information from 2004.** For panel cases, the name of the MQ respondent and the name and address of the workplace are recorded.
- **Panel case outcomes.** In addition, there is an indication of whether the FPQ or any SEQ questionnaires were returned to NatCen. If there was an eligible WRQ, also listed is whether an

interview was achieved last time. It may be useful to mention positive responses in your approach to these elements with the MQ respondent.

- **Wave 2 head office information.** The name and address of the Wave 2 contact at the head office will be recorded for Wave 2 cases.
- **Other head office details.** The address of the 'reporting unit' and 'enterprise' will be listed where applicable. These are details provided in the original IDBR sample information and may be useful for tracking down workplaces that have moved or potentially closed or for obtaining permissions (the CCT may be able to help here). The 'reporting unit' will often be a regional head office (it is a reporting unit in the sense that this is the address that provided the information to the IDBR about the workplace). The enterprise is the main head office of the organisation.
- **Original sample address.** This is the original address as provided in the IDBR. During the CCT stage this will sometimes have been amended, for instance where it was established that the workplace had moved. This information is provided for background information when discussing changes that the workplace may have been through.

7.3 Cross-section ARF

7.3.1 Side one (Address Record Form)

This gives you space to write notes. Where contact information is not available on the CIS or needs to be updated, please record this here.

7.3.2 Side Two (Address Record Form): Pre-Interview outcomes

Outcome codes at Section A (790 down to 550) will very rarely need to be coded by interviewers. This is because we intend to identify such cases before they are issued to interviewers. The odd one or two may slip through and you should discuss with your Project Manager if you think you have a case of this sort.

The outcome code 410 will be used when the workplace contacts the office with a refusal (after initially agreeing to be interviewed) and cannot be persuaded to rearrange the interview.

Outcome code 798 will be used when the office is informed that the workplace has closed down.

The code 780 will be used when the office is informed that the workplace now employs fewer than five employees.

You will be informed of these outcomes as soon as possible.

At Section B, outcome code 612 will be used when the workplace needs to be reallocated for any reason except that it has moved (see 682).

The following three outcomes are self-explanatory, but you are asked to check with someone working on WERS in the Brentwood Office who may have suggestions about how you can double-check that the workplace does not exist.

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

Outcome codes 682 down to 799 at Section C are self-explanatory. Where the respondent is NOT located at the selected address, but at another office some distance away, too far for you to travel to (e.g. at Head Office instead), the address needs to be reallocated by the Brentwood Office. Please also use code 682 on the ARF, 'Workplace known to have moved premises', but in section D write "The workplace address IS correct, the RESPONDENT is located at other address".

7.3.3 Sides Three and Four (Address Record Form): Summary of Interview Response, Reasons for Non-Response

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

Table E: Final Productive outcomes

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

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

If you achieved an interview with the main management respondent but were unable to get permission to place the SEQs **or** did not manage to get a worker representative interview when one was eligible, then codes 113 - 121 apply but you are asked to give reasons why the SEQ or worker representative was not achieved. Record these in section G or H on the page 4 of the ARF. You should only use codes 113 - 121 when you are quite sure that it will not be possible to obtain a fully productive outcome at the workplace, even with intervention from the Research Team at NatCen. (See paragraph below under Intermediate Outcomes.)

Outcome codes 420 - 563 are self-explanatory.

Table F: Intermediate outcomes

The intermediate outcomes are similar to the 'reallocate to other interviewer' codes found on other

surveys. With WERS, we want to know just how much you have done, and what remains to be done. The codes can therefore be used when:

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

The main reasons why you might use an intermediate outcome is that you consider that it might be possible to achieve a **better** outcome at the workplace, i.e. you must think that we might **eventually** get permission for an SEQ placement or a worker representative interview, but that it is not going to happen without further intervention from the research team at NatCen. In these cases rather than code it as a final outcome that is unproductive in some respect, you put the address 'on hold' - with an intermediate code, explaining the situation on in the CAPI admin block. On the basis of your comments, the Brentwood office will then consider further action. The address may be issued to you in due course or to another interviewer.

However, you should only use the intermediate codes when, in your judgment, there is a possibility of a better outcome. If no such possibility exists, then code a final outcome indicating the respect in which you did not manage to achieve a fully productive set of interviews.

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

7.3.4 Side Five (Address Record Form): SEQ and FPQ details

Tables M and N are for the details of the SEQ and FPQ placement. It is very important that you record the number of SEQs placed and the details of the FPQ respondent.

7.4 Panel ARF

7.4.1 Side One (Address Record Form)

This gives you space to write notes. Where contact information is not available on the CIS or needs to be updated, please record this here.

7.4.2 Side Two (Address Record Form): Pre-Interview Outcomes

At Section A, outcome codes 790 down to 550 will very rarely need to be coded by interviewers. This is because we intend to identify such cases before they are issued to interviewers. The odd one or two may slip through and you should discuss with your Project Manager if you think you have a case of this sort.

The outcome code 410 will be used when the workplace contacts the office with a refusal (after initially agreeing to be interviewed) and cannot be persuaded to rearrange the interview.

Outcome code 798 will be used when the office is informed that the workplace has closed down.

The code 780 will be used when the office is informed that the workplace now employs fewer than five employees.

You will be informed of these outcomes as soon as possible.

At Section B, outcome code 612 will be used when the workplace needs to be reallocated for any reason except that it has moved (see 682).

The following three outcomes are self-explanatory, but you are asked to check with someone working on WERS in the Brentwood Office who may have suggestions about how you can double-check that the workplace does not exist.

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

At Section C, outcome codes 682 down to 631 are self-explanatory. Where the respondent is NOT located at the selected address (e.g. at Head Office instead), but at another office some distance away, too far for you to travel, the address needs to be reallocated by the Brentwood Office. Please also use code 682 on the ARF, 'Workplace known to have moved premises', but write "The workplace address IS correct, the RESPONDENT is located at other address".

Outcome code 420 and the remainder of section E is self-explanatory. You should use the information provided on the CIS to decide whether you need to complete the screening questionnaire and proceed accordingly. When using outcome code 420, you should record as much information as possible.

7.4.3 Sides Three, Four and Five (Address Record Form): Screening Questionnaire

The Screening Questionnaire is discussed in some detail in Section 2.2. It consists of a series of 12 questions, which comprise a checklist for determining whether the original workplace has been in continuous existence since 2004.

You should use the information contained in the CIS to determine what information has already been established, and how much information remains outstanding. Although the screening questionnaire is in the form of a questionnaire, you should think of it as a checklist of points.

Q.1 The questionnaire starts by referring to the 2004 respondent. This is helpful in that it shows that we are not 'cold calling'. If the name is not on the form, please refer to the CIS. In the (hopefully infrequent) cases where no name is given, skip question 1.

- Q.2 Changes in name may be very minor, but we still want to know exactly what the workplace is now called. Note Q.2b code 2 is change of ownership involving the selling of an workplace, while code 3 is change of status.
- Q3 There is no Q3.
- Q.4-6 These questions establish whether the workplace has changed address. If the address has changed, please amend the Address Record Form, including the full postcode and the full telephone number. Also note if the telephone number is a direct line to the respondent or is the switchboard number.
- Q7-8 These questions determine whether the workplace has undergone a change in ownership or any mergers or amalgamations.
- Q.9 This is simply to compare with the activity given on the address sheet. It will **not** be used for full SIC coding, so a brief note will be enough.
- Q.10 If the situation is obvious, you need not ask this question, simply code it. E.g. a hospital, school or airport almost certainly still has the same activities as in 2004.
- Q.11 It would be good to get the exact number, but this is only really important if it is just on the borderline of eligibility. This means anything with fewer than 5 employees. If the respondent is vague about the number of employees, the important thing is whether the workplace has under 5 or 5 and over, including people who report to the workplace (see Appendix A, section B).
- Q.12 The person responsible doesn't necessarily have to be working **at** the workplace.

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

The rules for the checking operation are set out below:

Q2a/b	If same name or 'just a change of name', workplace continues in existence . If simple change in status (e.g. Health Authority to NHS Trust), workplace continues in existence . *OTHER changes refer to someone working on WERS in the Brentwood Office.
Q4a/b Q5a/b	If transferred whole workforce to the new site - workplace continues in existence . *OTHER changes associated with move to a different site, refer to someone working on WERS in the Brentwood Office
Q7	If no change in ownership, or if a change in ownership but some employees remained, then workplace continues in existence .

Q8	If no merger (Code 2) - workplace continues in existence. *If merged with another branch or department, refer to someone working on WERS in the Brentwood Office
Q9/10	If no change in activity (Q10 code 2) - workplace continues in existence. *OTHERS - refer to someone working on WERS in the Brentwood Office
Q11	If 5 or more employees – workplace in scope. *OTHERS, workplace not in scope

If **ANY** of the asterisked checks apply, then you should contact someone working on WERS in the Brentwood Office before proceeding. Also, refer to someone working on WERS in the Brentwood Office if you have any uncertainty about how to define the workplace. Any problematic cases will be referred by the team in Brentwood to the Research Team for further consideration.

7.4.4 Side Six (Address Record Form): Screening outcome codes

You should use the answers to the screening questionnaire to determine whether the workplace is 'continuing'.

If the workplace is a 'continuing' workplace and is in scope with 5 or more employees - Code X.
You should continue to carry out an interview with the main management respondent.

If the workplace is a 'continuing' workplace but has less than 5 employees – Code Y.
You do not need to carry out an interview, and should use outcome code 799 at section H.

If the workplace is not a 'continuing' workplace – Code Z.
You do not need to carry out an interview, and should use outcome code 793 at section H.

7.4.5 Sides Seven and Eight (Address Record Form): Summary of Interview Response, Reasons for Non-Response

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

Table J: Final Productive outcomes

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

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

representative (where only one worker representative interview was required).

If you achieved an interview with the main management respondent but were unable to get permission to place the SEQs **or** did not manage to get a worker representative interview when one was eligible, then codes 113 - 121 apply but you are asked to give reasons why the SEQ or worker representative was not achieved. Record these in section G or H on the page 4 of the ARF. You should only use codes 113 - 121 when you are quite sure that it will not be possible to obtain a fully productive outcome at the workplace, even with intervention from the Research Team at NatCen. (See paragraph below under Intermediate Outcomes.)

Outcome codes 431 - 563 are self-explanatory.

Table K: Intermediate outcomes

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

- d) you have completed all that you can do in relation to the workplace; but
- e) other interviews could or should still be possible; and
- f) holding onto the questionnaires & ARF yourself and waiting will not help

The main reasons why you might use an intermediate outcome is that you consider that it might be possible to achieve a **better** outcome at the workplace, i.e. you must think that we might **eventually** get permission for an SEQ placement or a worker representative interview, but that it is not going to happen without further intervention from the research team at NatCen. In these cases rather than code it as a final outcome that is unproductive in some respect, you put the address 'on hold' - with an intermediate code, explaining the situation on in the CAPI admin block. On the basis of your comments, the Bretnwood office will then consider further action. The address may be issued to you in due course or to another interviewer.

However, you should only use the intermediate codes when, in your judgment, there is a possibility of a better outcome. If no such possibility exists, then code a final outcome indicating the respect in which you did not manage to achieve a fully productive set of interviews.

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

7.4.6 Side Nine (Address Record Form): SEQ and FPQ details

Tables R and S are for the details of the SEQ and FPQ placement. It is very important that you record the number of SEQs placed and the details of the FPQ respondent.

8 Selling WERS to respondents

8.1 Introduction

Although you will generally not be tasked with setting up the main management interviews, you will need to play a role in convincing employers as to the value of the study and persuading them to take part in the FPQ and SEQ. During our development work for WERS6, we have spoken to a number of employers about what factors might convince them to take part in studies like WERS. Based on what they have told us, we have set out below what we want you to say. These are based on recommendations from the development work.

8.2 What is the value of WERS? Seeing the bigger picture....

When trying to persuade someone to take part in a study like WERS, the tendency is to focus on the logistics of conducting the interview rather than the bigger picture.

Employers are extremely busy and will make a decision about the value of taking part in the study very swiftly. We have found that the potential value of – and value of taking part in – the study is of greater importance to employers than issues around logistics and will have a greater bearing on whether they decide to take part. Convincing, credible and tangible reasons why people should take part need to be given.

WERS has impact

WERS is the most important study of its kind in Great Britain. The results shape government policy and influence practice and debate among employers and workers, their organisations, the academic community and beyond. Most of the employment legislation introduced in Britain in the past 20 years has been informed to some degree by WERS. The results of the study enable policy-makers to make an impartial assessment of how policy can be used to maximum affect and where it isn't needed. For example:

- National Minimum Wage (NMW) laws – before the NMW was implemented WERS provided information on the types of workplaces that paid low wages to help understand what the impact of the new laws would be.
- Equal Opportunity laws – in 2003 a law was made to extend equal opportunities to cover religion and sexual orientation. WERS was the only study that could provide information on how many workplaces already had equal opportunities policies in place and the extent of their coverage. This provided useful information on where equal opportunities needed to be strengthened and where it was already being sufficiently addressed in workplaces.
- Work-life balance – this is a policy area that has seen frequent change including the introduction of the Right to Request Flexible Working, changes to paid maternity and paternity leave, and time off for emergencies. WERS provides useful information to government, employer organisations and unions about how these legislative changes have filtered down to actual practice in the workplace – that is, what flexible working and work-life policies are in place and which employees have access to them.

The scale, sampling and design of WERS makes it a rigorous study, which is recognised internationally for its quality, and contribution to the employment relations field.

- *“WERS is the most rigorous and influential study of employment relations in Great Britain. We listen to 3,000 large and small businesses across the UK, gathering crucial intelligence to shape Government employment relations policy.”*

WERS is personally rewarding and ‘looks good’

WERS gives employers the chance to share insights and reflect on their practices. Taking part in the study also ‘looks good’ to staff – it can demonstrate that organisations have an interest in employment relations and a commitment to staff welfare and development.

- *“By taking part, you and your colleagues will have the opportunity to reflect on your workplace and employment relations and demonstrate your commitment to staff welfare and development.”*

How is my organisation doing?

When trying to persuade employers to take part, let them know that they will be able to benefit from the insights uncovered by WERS. By taking part in the study, organisations will be given a copy of the study findings providing them with the opportunity to benchmark their practices against other workplaces in their sector; and possibly be invited to any events along with other managers to share their experiences and reflect on the findings.

- *“WERS will help you compare your workplace employment relations performance and practices with other organisations in your sector and nationally.”*

WERS is supported by a wide range of organisations

Employers suggested that they would be more likely to participate in WERS if the study was supported by an organisation with whom they were familiar and already engaged, such as the Federation of Small Businesses (FSB) or the Chartered Institute of Professional Development (CIPD). As there was no single organisation that worked for everyone, we are aiming to position WERS6 as endorsed by a wide range of organisations. These organisations support WERS because they appreciate WERS can be used to help identify the most effective ways of managing organisations.

- *“WERS is supported by a large number of professional, public sector and academic organisations including the British Chambers of Commerce (BCC), the Chartered Institute of Personnel and Development (CIPD), the Federation of Small Businesses, the Alliance of Sector Skills Council and the Confederation of British Industry (CBI)”*

‘Study’ has greater currency than ‘survey’

The word ‘survey’ has negative associations with ‘quick and dirty’ market research for most of the employers we spoke to whereas ‘study’ appeared to have greater credibility and weight. Please refer to WERS as the ‘Workplace Employment Relations **Study**’.

If it is a Panel workplace

It may be helpful to make respondent aware that the workplace participated last time.

If it is a Wave 2 workplace

It may be helpful to name the head office respondent and say that they have received information about the survey and have been happy to pass on your name as the most appropriate person to talk to about this workplace.

This might help defuse any suspicion about the credentials of the survey.

9 Field materials

This chapter provides you with a description of all the materials you will be using. It also provides you with a checklist of materials you should have with you when you go into the field to complete your assigned cases.

This project is unusual in that you will have a “core” workpack of materials rather than a separate pack for each assignment. The “core” workpack should contain sufficient materials for you, but if you are very successful it is possible you may require more documents. You should keep careful track of your stock levels relative to your confirmed appointments and get in touch with the Brentwood office in a timely fashion so you do not find yourself short.

Below we list the contents of your Briefing and Work Packs.

This chapter provides you with a list of all the materials you will be using. It also provides you with a checklist of materials you should have with you when you go into the field to complete your assigned cases. In your homework pack you should already have received the glossary (GLOSP2), the Quiz of WERS terms, MQ scenarios, EPQ information sheet, EPQ paper questionnaire, FPQ paper questionnaire and the SEQ paper questionnaire.

Below we list the contents of your Briefing and Work Packs.

Briefing pack	Total
W1 MQ approach letter – Cross-section (MQXAM1)	
W1 MQ approach letter – Panel (MQPAM1)	1
W1 MQ appointment confirmation letter (MQCM)	1
W2 Approach letter – HO contact (MQAHO)	1
W2 info request – HO contact (MQIRHO)	1
MQ leaflet (MQLM)	1
EPQ cover letter (EPQAM)	1
FPQ cover letter (FPQAM)	1
WRQ approach letter (WRQAM)	1
WRQ appointment letter (WRQCM)	1

Core Work pack	Total
MQ Approach Letter -Cross section (MQXAM1)	1
MQ Approach Letter – Panel (MQPAM1)	1
MQ Leaflet (MQLM)	2
MQ Appointment confirmation Letter (MQCM)	7
MQ Show Cards	2
EPQ Cover Letter	7
EPQ Information Sheet	7
EPQ Paper Questionnaire	7
WRQ Approach letter	12
WRQ Appointment confirmation letter	12

WRQ leaflet (WRQLM)	1
SEQ introduction letter (SEQAM)	1
SEQ respondent selection sheet (DUMMY) (DSELM)	1
Blank ARF – Cross Section (ARFXM)	1
Blank ARF – Panel (ARFPM)	
Dummy Contact Information Sheet (CIS)	1
Briefing agenda (FIBAM)	1
Field Interviewer instructions (II)	1

WRQ Leaflet	12
WRQ Show Cards	9
SEQ Selection sheet – White	1
SEQ Selection sheet – Yellow	1
SEQ Paper Questionnaire (English)	350
SEQ Introduction Letter	350
SEQ Leaflet	350
SEQ translated leaflet insert	350
SEQ translated	2 for each of 6 languages
Pens	350
FPQ Cover letter	15
FPQ Paper Questionnaire	15
Field Interviewer Instructions	1
Glossary	1
EPQ Issuing Envelope – Plain C4 1 st Class Queen's Head	7
FPQ Issuing Envelope – Plain C4 2 nd Class Queen's Head	3
FPQ Return Envelope – C4 Reply-paid 2 nd Class add to NatCen	15
SEQ Issuing Envelope – C4 Plain Brown	350
SEQ Return Envelope – C4 Reply-paid 2 nd Class add to NatCen	350
WRQ Approach Letter Envelope – Plain C5 1 st Class Queen's Head	12
MQ Approach Letter Envelope – Plain C5 1 st Class Queen's Head	2
MQ Appointment Conf Envelope – Plain DL 1 st Class Queen's Head	7
WRQ Appointment Conf Envelope – Plain DL 1 st Class Queen's Head	12

On an ad hoc basis, as appointments are confirmed, you will be sent an ARF, CIS, SEQ labels and FPQ labels for each serial number.

10 Return of work/ liaison with the office

Questionnaires

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

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

Paper work

The **ARFs** should be destroyed when you have finished with them. (All details on the ARF must be entered into the CAPI admin block).

The **EPQ** needs to be returned when you have completed working at a workplace (remember to check that the serial number was written on and that they are fully filled in).

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

You should also keep hold of any **spare materials** that you collect.

Procedures

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

It is important to keep in regular contact with your team leader. In your weekly call with them, you should update them about your progress on the study, in particular how many workplaces you have been in contact with and how many interviews you have achieved. You may be required to give more detail on individual cases including SEQ placement and WRQ interview information.

Be prepared to discuss any problems you may be having with response to the survey. If you have any refusals or unproductive cases, you should consult with your team leader about selling the survey and any changes that can be made to your approach.

Appendix A – Definition of ‘workplace’ and ‘employee’

Section A – Definition of ‘workplace’

For the purposes of WERS, we define a workplace as “the activities of a single employer at a single set of premises”. This definition is explored in more detail below.

“The activities of a single employer”

One building could contain several workplaces. For example an office block might contain a number of offices each of which belongs to a different employer. These offices will be counted as different workplaces even if the different organisations to which they belong are all ultimately owned by the same holding company at a higher level.

However, several distinct departments or units within one building all belonging to the same employer would be treated as a single workplace.

Example A

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

“A single set of premises”

In most cases, the sample will consist of one address, which will appear on the Address Record Form.

If a single employer carries out **activities within several buildings** that are situated close together (e.g. next door or across the road), you should only include those buildings that are at the sampled address (i.e. the other buildings should not have their own separate address). If, however, staff cannot be separately identified and listed for this subset they may be included in the sampled workplace.

Example B

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

Example C

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

Other circumstances to consider when defining a workplace are as follows:

'Closed Down'

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

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

If a workplace proves to be in receivership or in liquidation it may still be continuing to trade. If it still has 5 or more employees, then an interview should be sought in the normal way.

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

Moved

If a workplace has simply moved to new premises, then it remains eligible for interview. However, if the workplace has amalgamated with another workplace at a different location, please refer to the following.

Amalgamations (with or without a change of ownership)

The address might prove to be that of a workplace that has amalgamated with another workplace, and could have expanded its size or range of activities. In these cases we will seek an interview at the amalgamated workplace.

Complex workplaces

There are various large workplaces that can be difficult to define or to identify an appropriate respondent. An example would be a teaching hospital, which may have separate responsibility for management of medical and non-medical staff. (NHS Trust status may have simplified such aspects of management). Similarly, university administrators may have responsibility for central staff, but teaching staff may be recruited and managed by the academic departments or units in which they work. Some other employment matters, such as pay negotiation or pensions, may be wholly determined at national level, as is also the case with local government and other educational workplaces.

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

Section B – Definition of ‘employee’

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

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

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

However certain groups, listed below, would not count as employees for the purposes of this survey:

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

- **Freelance or self-employed workers** without a contract of employment. This category would include, for example, milk delivery persons who are now 'franchised' to act as independent agents - though some years ago they might have been employees of a dairy.
- **Home workers or outworkers without a contract of employment.** The typical case is of a worker who works in their own home to code answers to open-ended questions on a survey (which are supplied to them by the head office of the survey organisation) and is paid for each batch of coding completed. Note that home workers should not be confused with the concept of home working which is a flexible working arrangement that may be available to some employees.
- **Temporary or casual workers** who are paid on an hourly basis, without any agreed period of notice or other terms and conditions of employment.
- **Temporary staff from an employment agency.** Agency workers have an employment relationship with the employment agency, not the workplace to which they are deployed. In the case that the sampled workplace is an employment agency, the employees will be those workers that have employment contracts. In most agencies, the agency workers who work at other workplaces do not have a contract of employment with the agency. However, the exception is Manpower who have employment contracts with all their agency workers who are deployed to other workplaces.
- **Subcontracted staff from specialist firms.** In some government offices, hospitals and other public sector workplaces, the subcontracting of certain functions – e.g. cleaning, computer support, security, building management - is widespread. The practice is also increasingly found in private sector workplaces. Subcontracted staff will be employees of the firm that is providing the service (the contractor), rather than employees of the sampled workplace.

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

Example F

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

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

Example G

Suppose, however, the sampled address were an administrative office of FRESHSERVE Ltd, whose function was to recruit, train and supervise staff to work in various factories, such as LEYPART Ltd. Although the number of FRESHSERVE employees actually working at the sampled address is 30, the office manages 500 catering employees, whose working lives are spent at different canteens in various locations.

They are however all employees of FRESHSERVE who would be categorised as working 'at or from' the administrative office and would be included in the workforce at the sampled address. So for the purposes of WERS FRESHSERVE would have 530 employees at the sampled workplace.

Section C – Summary

THE BASIC PRINCIPLES OF DEFINING A WORKPLACE ARE:

- **The activities of a single employer**
- **At a single set of premises**
- **Employees who have a contract of employment with the site employer**

THE MAIN PROBLEM CASES ARE COVERED BY:

- If a respondent includes all of the workplaces within the organisation. This is particularly likely if the sampled workplace is the head office. In these situations it is critical to keep reminding the respondent we are interested in the sampled workplace only, not the whole organisation.
- If a single employer carries out **activities within several buildings** that are situated close together (e.g. on opposite sides of the road). Include within the workplace only those buildings which are at the sampled address, unless staff cannot be separately identified and listed for this subset.
- If there are a **number of businesses** at the same address (e.g. within the same office block):
 - the workplace refers to the employees of the named particular employer.
- If the workplace is in **receivership** interview if:
 - it is continuing to trade; and
 - it is currently employing 5 or more people.
- If the workplace has **moved premises** follow up at the new premises and interview.
- If the workplace has **amalgamated with another workplace at a different address** we will always seek an interview.

Section D – Background information about unions

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

In the public sector, and in large private sector companies, negotiations about pay and conditions often take place at a level higher than the workplace, sometimes at head office and sometimes between a union and an employer association representing several companies in an industry. In these cases, the unions that are involved in these higher-level negotiations are said to be 'recognised' at each of the workplaces covered by the resulting agreement, even if the managers and/or worker representatives at those workplaces are not personally involved in negotiations.

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

Around a quarter (27 per cent) of all employees in Britain are union members, but because very small workplaces are excluded from the WERS sample overall it is likely to be higher than this in the survey (over 30 per cent). The level of unionisation in a workplace is associated with employment size: the larger the workplace, the more likely there is to be some union members. Unionisation is also higher in the public sector than the private, and higher in some industries than others - in the utilities (e.g. electricity, gas, water, telephone) union membership is much higher than in some service industries (e.g. retail, hotels).

It is often the case that different unions organise different sorts of workers. Hence, within the one workplace, several unions may have members. It is common, for example, to find skilled manual workers, sometimes known as 'craft workers' in different unions from routine unskilled workers. For example, in manufacturing workplaces skilled workers such as maintenance electricians might be in GMB, whilst unskilled production workers might be members of Unite (which was formed following the merger of Amicus and TGWU).

The names of the unions are in some cases long and cumbersome, resulting from amalgamations of smaller unions; hence, they are often referred to by their initials.

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

Unions with 100,000 members or more		Members ('000s)
Unite	Unite the union (merged from Amicus and TGWU)	1,558
UNISON	The Public Service Union	1,362
GMB	General and Municipal Boilermakers	601
RCN	Royal College of Nursing of the United Kingdom	400
USDAW	Union of Shop Distributive and Allied Workers	370
PCSU or PCS	Public and Commercial Services Union	300
NUT	National Union of Teachers	294
NASUWT	National Association of Schoolmasters and Union of Women Teachers	274
CWU	Communications Workers Union	230
ATL	Association of Teachers and Lecturers	206
BMA	British Medical Association	140
UCATT	Union of Construction Allied Trades and Technicians	130
Prospect	Union for professionals	120
UCU	University and College Union	117

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

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

The NHS

The NHS has a large number of bodies that represent employees. As well as various unions, there are organisations representing the professional interests of their members, for example, the Royal College of Nurses and the British Medical Association, which in practice operate as independent trade unions. Other professional organisations may be identified within the NHS, which do not negotiate their members' pay or otherwise act as unions.

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

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

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

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

The Education Sector

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

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

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

Appendix B – The CAPI Questionnaires

Section A – The Management Questionnaire (MQ)

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

Each block relates to a different topic:

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

MQ BLOCK Z The first section of the questionnaire is a series of questions that reviews the information given by the respondent in the EPQ. Respondents can complete the questionnaire either on paper or online.

Where respondents complete the EPQ **online**, you will be able to download their responses onto your laptops before the main management interview. Responses will then be fed forward automatically into the CAPI programme for you to review with the respondent.

Where the EPQ is completed on **paper**, you will be required to enter the information recorded in the EPQ into the computer. This opening five minutes or so of the interview needs to be handled carefully. You should involve and engage the respondent whilst you do this – they could read out the answers to you as you ask the questions.

If the respondent has filled in the EPQ with precision, going through the details will be very quick. If the EPQ was completed less precisely, then confirming the information

could take a little longer. This is because these details are very important and there are several checks to ensure that the basic figures add up.

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

See Section 2.4 INTERVIEWER INSTRUCTIONS

Q1: ZALLEMPS The total number of employees at the workplace

HARD CHECK - Q1: Make sure that your respondent has read the notes on the EPQ and included only employees **of the selected workplace**. (If there is a major difference between the respondent's total number of employees and the IDBR totals on your ARF, then you need to have satisfied yourself that there is a reasonable explanation – it could be that the manager is incorrectly talking about the whole organisation.) Freelancers, Home Workers and Temporary Agency Staff - who do **not** have a contract of employment - are all **EXCLUDED** from the workplace total. Some employees might work at home (wholly or in part) but still have a **contract** of employment with the workplace and would be **INCLUDED**.

Ensure that any staff employed on zero hours contracts are **included** at the total given here.

See EMPLOYEE GLOSSARY

See ZERO HOURS CONTRACT GLOSSARY

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

Q2 This is a KEY QUESTION. It asks the respondent to classify all of the employees of the workplace by gender into the NINE categories of the government's STANDARD OCCUPATIONAL CLASSIFICATION (SOC). This classification is used generally in government surveys to classify employers and will be familiar to many of the managers you are interviewing. The notes on the EPQ information sheet set out as clearly as we can, the differences between the nine groups. Not only the respondent, but also you the interviewer, need to familiarise yourself with the basic structure of the classification that will be used very frequently throughout the interview.

Two particular points to remember are

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

2. Line managers are classified in the same way as supervisors and foremen. They should be grouped with employees whom they supervise. For example an office

manager would be grouped with the clerical/administrative workers whom (s)he supervises.

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

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

There are also some questions about managers and about non-managerial employees. You should remember two points relating to the identification of the largest SOC group of employees.

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

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

The answers in these columns do not accept 'Don't knows and refusals'. If inserted, the message reads: "THIS IS VERY IMPORTANT DATA, IF RESPONDENT IS UNSURE OR UNABLE TO GIVE EXACT FIGURES BUT KNOWS THERE ARE EMPLOYEES IN THIS CATEGORY, PLEASE GET HIM / HER TO GIVE BEST ESTIMATES".

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

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

SOFT CHECK – Q2: The total column in which the total number of employees for each occupational group is recorded is very important. When added together, the totals in the column should equal the total number of employees at Q1.

SOFT CHECK - Q3: The total number of Full-time managers and senior officials + all other Full-time employees + Part-time managers and senior officials + all other Part-time employees must equal the total employees given at Q1.

ZSOCDESC As mentioned above, from the numbers you enter at Q2, the CAPI programme will work

out which is the *largest occupational group*.

At this question you will need to record the main tasks and activities of this largest group. If there is more than one specific job type within the largest occupational group, please encourage the respondent to think about the **most common type of job** within that occupational group.

Q6: Z16T17 to
Z50PLUSP

If respondents use / record employee dates of birth rather than age, the years of birth that apply to each question are as follows:

Question	Relevant Years of Birth
Z16T17 / Z16T17PC	1993 to 1995
Z18T21 / Z18T21PC	1989 to 1993
Z22T49 / Z22T49PC	1961 to 1989
Z50PLUS / Z50PLUSP	1961 or before

Please note, for those employees born in 1993, 1989 or 1961 you will need to factor in their exact date of birth at the date of interview in order to correctly calculate their age and count them in the correct question total.

Q9: ZUNIMEM

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

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

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

See INDEPENDENCE GLOSSARY

See TRADE UNION/STAFF ASSOCIATION GLOSSARY

Q11:ZUNIONA /
OTHUNI /
DVOUNM

We then ask about the names of the union(s) with members at the workplace.

You will see that there are 10 pre-defined codes listing some of the larger unions, and an ‘others’ option if the union(s) at the workplace are not on the pre-defined list. If you select the ‘other (specify)’ option you will then be prompted to enter the name of the ‘other’ union (at OthUni) – please type this in **FULL**, and you can include an abbreviation / acronym in brackets if required. The information you type here will be used later on in the questionnaire, so it is very important that you record as much information about the union name as you can, as accurately as possible. Please do not use any punctuation marks such as full stops, exclamation marks or question marks because the look up

table at DVOUNm will not work.

If the respondent does not know the name of the union, please enter 'unknown union' here, and if they refuse to give the name of the union, please enter 'refused union'.

You will then be prompted to code the union name (at DVOUNm) you have just entered and to press the space bar to access the coding table. You will see that a list of all the unions and their commonly used abbreviations is stored within the table. When you press the space bar, a new box will open to show you a list of the unions that might match the name you have already typed in. When you see the list appear, you are able to use the arrow keys to highlight the correct union. If you can't see the Union name you need on the list then amend what is typed in the search box – and the more you type, the more the list will be refined. You can type in the full union name, part of it, or the abbreviation (e.g. SOGAT) but do not use full stops.

If the name of a particular union (or staff association) is not on the list, you should delete any text from the 'Search' box at the bottom of the lookup table, type 'other' into the 'Search' box, and code to 997 'Other Union / Staff Association, not listed elsewhere'.

If the respondent does not know the name of the union (or staff association), you should have 'unknown union' in the 'Search' box, and code to 9999 'Union name unknown'.

If the respondent refused to disclose the name of the union (or staff association), you should have 'refused union' in the 'Search' box, and code to 9998 'Union name refused'.

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

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

This same lookup procedure should be used in the WRQ Section A for WAUNION and WOTHRUN.

Q12

This question asks about the percentage of work days lost to sickness absence over the last 12 months.

If the respondent only knows the total *number* of work days lost to sickness absence (A), they should multiply this by 100 and then divide the new number into the total number of work days at their site in the last 12 months (D) (i.e. 100 times A, divided by D).

The respondent may have to estimate D in particular. As a guide, an employee working a five-day week would typically have 225 work days in a year after allowing for holiday entitlements.

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

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

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

ASICDESC *'What is the main activity of the workplace?'*

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

ASINGLE *Is this workplace one of a number of workplaces in the UK belonging to the same organisation, a single independent establishment or the sole UK workplace of a foreign organisation?*

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

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

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

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

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

See **PUBLIC LIMITED COMPANY (PLC)** **GLOSSARY**
 See **PRIVATE LIMITED COMPANY** **GLOSSARY**
 See **COMPANY LIMITED BY GUARANTEE** **GLOSSARY**
 See **PARTNERSHIP** **GLOSSARY**
 See **TRUST** **GLOSSARY**
 See **CHARITY** **GLOSSARY**
 See **BODY ESTABLISHED BY ROYAL CHARTER** **GLOSSARY**

See **CO-OPERATIVE** **GLOSSARY**
 See **MUTUAL** **GLOSSARY**
 See **FRIENDLY SOCIETY** **GLOSSARY**
 See **GOVERNMENT-OWNED LIMITED COMPANY** **GLOSSARY**
 See **NATIONALISED INDUSTRY** **GLOSSARY**
 See **TRADING PUBLIC CORPORATION** **GLOSSARY**
 See **PUBLIC SERVICE AGENCY** **GLOSSARY**
 See **QUANGO** **GLOSSARY**

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

Academy schools should be coded to option 12 'Local / Central Government (inc. NHS and Local Education Authorities).

AFRANCH **See FRANCHISE GLOSSARY**

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

ASUBSID **See SUBSIDIARY GLOSSARY**

AHOWLONG *'For how many years has this workplace been in operation? Please include time spent at other addresses.'*

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

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

See MERGER GLOSSARY
See AMALGAMATION GLOSSARY
See MANAGEMENT BUY OUT GLOSSARY
See EMPLOYEE BUY OUT GLOSSARY

ASCALES – The final component of this section is the attitude scales. These are a series of
 APHRAS08 questions that ask what managers think about a number of topics and practices at their workplace. We ask these questions early so responses will not be affected by more structured questions later in the interview. We are interested in the manager's **personal** view, rather than the 'corporate line' or the prevalent view among all managers at their workplace.

All 4 questions use the same show card (A8), so once you have been through the response options for the first time at APHRAS04, you can refer the respondent to the show card for the remaining 3 questions.

When going through these questions emphasise the words **in bold**:

APHRAS04: It is up to individual employees to **balance** their work and family responsibilities

APHRAS06: Unions help find ways to **improve** workplace performance

APHRAS07: We would rather consult **directly** with employees than with unions

APHRAS08: We do not introduce any changes here without first **discussing** the implications with employees

See **TRADE UNION** **GLOSSARY**

See **STAFF ASSOCIATION** **GLOSSARY**

See **CONSULTATION/CONSULT** **GLOSSARY**

MQ BLOCK B

MANAGEMENT OF PERSONNEL FUNCTION

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

BTITLEX

Here, we ask the respondent what their job title is. It is not necessary to record their exact title – just code the most appropriate answer using the 4 pre-defined options where appropriate, and the 'other (specify)' option if their title can not reasonably be included elsewhere.

BYOURJOB

This question asks whether or not the respondent or someone reporting to them is responsible for a range of different employment relations matters. Even if the respondent or their staff are only *partially* responsible for a particular matter, these should still be coded here.

See **DISCIPLINARY PROCEDURE** **GLOSSARY**

See **EQUALITY AND DIVERSITY POLICY** **GLOSSARY**

See **APPRAISALS** **GLOSSARY**

See **CONSULTATION/CONSULT** **GLOSSARY**

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

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

BCONSULT For each of the different aspects of employment relations we ask whether the workplace is able to make decisions **without consulting** another workplace within the organisation

SeeCONSULTATION/CONSULT GLOSSARY

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

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

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

BMEMBER/
BADVICE **SeeEMPLOYERS ASSOCIATION GLOSSARY**
SeeACAS GLOSSARY
SeeBUSINESS LINK GLOSSARY
SeeENTERPRISE DIRECTORATE GLOSSARY
**SeeCHARTERED INSTITUTE OF PERSONNEL AND
DEVELOPMENT GLOSSARY**

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

BSTRATEG/
BMANAGE **SeeFORMAL STRATEGIC PLAN GLOSSARY**

BAWARD **SeeINVESTORS IN PEOPLE (IIP) GLOSSARY**

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

CSPECIX Some workplaces may have special procedures to attract people from disadvantaged groups. This might include placing job advertisements in newspapers that target ethnic minorities, e.g. *The Voice*, or liaising with local job centres to encourage applications from the long-term unemployed.

Personality tests refer to potential recruits' honesty, ability to handle stress and leadership qualities, while competency tests target practical skills needed to perform the job, for example, a mechanic may be asked to dismantle and reconstruct a car engine.

CATESTW See**PERSONALITY OR ATTITUDE TESTS**..... **GLOSSARY**

See**PERFORMANCE OR COMPETENCY TESTS** **GLOSSARY**

CPTESTW

We then ask a series of questions which look at the way work is organised for the largest occupational group (See MQ Section EPQ). This covers their recruitment, training, and the degree of control employees exert over their jobs.

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

CINDUCT See**INDUCTION** **GLOSSARY**

COFFJOB **Note:** COFFJOB is the first question that uses the standard show card of 'workforce percentages', i.e. 'All (100%)', 'Almost all (80-99%)' etc. This show card is used for a number of different questions throughout the management interview. In some workplaces, respondents may find it easier to give a "yes they do" / "no they don't" response or tell you the exact number of employees, rather than converting it to a percentage. For this reason, some of the questions using this show card give you the option to use the banded percentage scale, or to enter the precise number of employees or answer yes or no to a 'Did they...' type follow on question..

At all questions of this type, if the respondent is unable to give a precise figure, then please ask them to give an estimate.

CTRAIN If the respondent is unable to give a precise figure, then please ask them to give an estimate

CHOW See**EQUALITY AND DIVERSITY** **GLOSSARY**

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

CTEAMS/
CTEAMHOA -
CTEAMHOD

SeeTEAM WORKING GLOSSARY

CCOMPUT

Here, we are interested to identify the proportion of employees that use a computer as part of their normal duties. This does not include employees who use electronic tills. It also excludes those who work on computer-controlled machinery, unless they interact with the computer themselves.

If the respondent gives you an exact number as a response, you are able to code '997' at this question, and then enter the exact number at the following question CCOMPUTT.

MQ BLOCK D

CONSULTATION AND COMMUNICATION

DMEETING/
DBRIEF

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

Workforce meetings take place between *senior* managers and the whole workforce, either altogether or group by group. In contrast, briefing groups or team briefings take place between line managers or supervisors and all of the employees for whom they are personally responsible, whether that be a section, department or a team. In both instances, managers may use the meeting to relay management decisions and the reasons for them, and may also give employees an opportunity to ask questions.

SeeBRIEFING GLOSSARY

DMTOWWAY/
DBTOWWAY

In some cases, the amount of time available for questions may vary, depending upon the number of questions that employees have to ask. In such circumstances, ask the respondent to say how much time is *usually* available.

DJOINT

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

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

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

With the general decline in unionisation of workplaces over the past 15 years, groups

which are concerned with consultation rather than negotiation have increased in number. However they should not be considered solely as **alternatives** to trade union negotiations. In many workplaces consultative committees will be found to co-exist with recognised trade unions.

SeeJOINT CONSULTATIVE COMMITTEE..... GLOSSARY

There are a number of follow-up questions to find out more about these consultation arrangements such as the range of issues tackled and whether all employees are covered by the consultation process.

DMWHIX/ **SeeREDUNDANCIES GLOSSARY**

DBWHIX/ **SeeLABOUR TURNOVER..... GLOSSARY**

DWHICH/ **SeeEQUALITY AND DIVERSITY POLICY..... GLOSSARY**

DIWHIX

European works councils are a special form of joint consultative committee operating at a European level. They will only be found in large organisations that have operations in continental Europe.

DCOUNCIL **SeeEUROPEAN WORKS COUNCIL GLOSSARY**

DCIRCLES *'Do you have groups of non-managerial employees at this workplace that solve specific problems or discuss aspects of performance or quality? They are sometimes known as problem-solving groups or continuous improvement groups?'*

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

SeeQUALITY CIRCLES..... GLOSSARY

DSURVEY **SeeATTITUDE SURVEYS GLOSSARY**

DINVPLAN - **SeeUNION REPRESENTATIVES ETC. GLOSSARY**

DSTAFFIN **SeeEMPLOYEE REPRESENTATIVE GLOSSARY**

MQ BLOCK E

REPRESENTATION AT WORK

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

The most common form of this is through trade unions or staff associations. These are

bodies which are independent of management, and which represent members' interests in dealings with management. If they are genuinely independent the union or staff association will be registered with the government's Certification Office.

It is critical to establish if there are union members at the workplace, which is done earlier in the Employee Profile Questionnaire (Q9 / Q10). The respondent may not know the exact number of members, but should be able to make a good guess. Even if the workplace does not have any employees who are members of a union, there are key questions asked. The structure of the section is set out in the following paragraphs.

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

Having earlier identified the union(s) with members at the workplace in the EPQ, we must now find out whether management recognises them. Recognition means that management acknowledges that the union is a legitimate body for conducting negotiations over pay and conditions of employment for the employees working in those grades where they have members.

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

ETOTREC1 /
ETOTREC2

These questions determine how many, if any, of the unions and / or staff associations with members at the workplace are recognised by management for negotiating pay and conditions for any sections of the workforce.

See**RECOGNISED UNION** **GLOSSARY**
See**TRADE UNION** **GLOSSARY**
See**STAFF ASSOCIATION**..... **GLOSSARY**
See**NEGOTIATION** **GLOSSARY**

ENONREC/
EUNIONREC

If there is more than one union that is recognised by management, or if there is more than one union present and none are recognised – you will need to identify from the list of unions present- which is the largest *recognised* union and / or which is the largest *non-recognised* union in terms of having the most members at the workplace.

The response options you see here will be the names of the unions you identified in the EPQ (Q11: ZUNIONA). If you had to type in the name of a union in the EPQ because it wasn't on the pre-defined list at Q11, the details of the name you recorded will be shown at these questions.

It is VERY IMPORTANT that you record the correct union at these questions, as they determine which union is asked about further on in the questionnaire, and which union representative should be interviewed for the WRQ.

If there is only one union with members present at the workplace, these questions will be automatically coded by the CAPI programme and you will not have to ask them.

EADDREC/
EOTHREC

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

EJOINT

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

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

There are three possible answers.

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

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

2. Each recognised union negotiates independently over pay

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

3. At least 2 recognised unions jointly negotiate over pay

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

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

It is also the case that there are often employee representatives who cover employees where there is no union membership for that grade or occupation. These are sometimes

called **non-union employee representatives**. We ask some questions about these representatives, such as how they got the post, and whether they sit on the joint consultative committee (if there is one).

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

ESTEWARD/	SeeUNION REPRESENTATIVES ETC. GLOSSARY
EOTHUREP/	SeeNON-UNION EMPLOYEE REPRESENTATIVES GLOSSARY
EOTHREPS	SeeEMPLOYEE REPRESENTATIVE GLOSSARY

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

EULRNUM	SeeUNION LEARNING REP GLOSSARY
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At the end of the interview CAPI will identify if the requirements have been made to conduct a worker representative interview.

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

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

EPAYA -	SeeNEGOTIATIONS GLOSSARY
EHEALTHB	SeeCONSULTATIONS GLOSSARY

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

This section is all about pay - a very complex topic area.

We ask some detailed questions about particular types of 'variable-pay' schemes.

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

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

FPERF **SeePAYMENT BY RESULTS..... GLOSSARY**
 SeeMERIT PAY..... GLOSSARY

FPROF **SeePROFIT-RELATED PAY GLOSSARY**

FLEVEL **SEE.....SUBSIDIARY GLOSSARY**

FSHARE- **SEE.....EMPLOYEE SHARE OWNERSHIP GLOSSARY**
 FSHARWHT

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

FJOBEVAL **SeeJOB EVALUATION SCHEME..... GLOSSARY**

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

This involves finding out who had a say in the process. We are particularly interested in distinguishing between different levels of an organisation, and whether there was any **collective bargaining**. In the previous section we talked about union recognition and

negotiation in general terms. Here, we want to know what happened the last time pay was reviewed for the largest occupational group. In particular, we want to know whether managers did actually negotiate about pay to reach a collective agreement, be this at workplace, organisation, or industry level.

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

FREVIEW SeeNEGOTIATION GLOSSARY

FPAYCUT SeeRECOGNISED UNION GLOSSARY

FCONSULX SeeCONSULTATION..... GLOSSARY
SeeNEGOTIATION GLOSSARY

**FWHEREX –
FWHERE2X**

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

Remember to be careful about coding this question. If for instance the place where you are interviewing the MQ respondent is NOT at the workplace the interview is about, you need to remember that “this workplace” actually refers to the “selected workplace” not where you are carrying out the interview. So if you are interviewing at “head office” and the selected workplace is head office, you would not use answer code 2 “at a higher level in the organisation”. However, if you are interviewing at “head office” about a branch office or store elsewhere code 1 “workplace” would refer to the branch office or store and code 2 “at a higher level in the organisation” would refer to the “head office”.

If you are interviewing at a central or local government workplace and the respondent refers to national pay bargaining you would use codes 3 “national/industry-level/multi-employer” or 4 “Independent Pay review Body”.

FSOC1-FSOC9 Note that code 7 – ‘independent pay review body’ should only apply to workplaces in the public sector.

SeeCOLLECTIVE BARGAINING GLOSSARY
SeeRECOGNISED UNION GLOSSARY
SeePAY REVIEW BODY GLOSSARY

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

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

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

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

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

SeeEMPLOYERS ASSOCIATION GLOSSARY

GUSED SeeCOLLECTIVE DISPUTE PROCEDURE..... GLOSSARY

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

GACT SeeINDUSTRIAL ACTION..... GLOSSARY

SeeOVERTIME GLOSSARY

SeeWORK TO RULE GLOSSARY

SeeSIT-IN GLOSSARY

GTHREAT SeeINDUSTRIAL ACTION..... GLOSSARY

SeeOVERTIME GLOSSARY

SeeWORK TO RULE GLOSSARY

GBALLOT SeeBALLOTS ON INDUSTRIAL ACTION GLOSSARY

MQ BLOCK H

GRIEVANCE AND DISCIPLINARY PROCEDURES

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

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

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

HPROCEDU SeeINDIVIDUAL GRIEVANCE PROCEDURES..... GLOSSARY

SeeDISCIPLINARY PROCEDURES GLOSSARY

HGRVWRTE This question refers to all grievances - formal and informal - we want to assess whether all grievances are made formal by the requirement for them to be put in writing

HACCOMP SeeUNION REPRESENTATIVES ETC GLOSSARY

SeeFULL TIME OFFICIALS GLOSSARY

SeeEMPLOYEE REPRESENTATIVE GLOSSARY
 SeeSUPERVISORS ETC..... GLOSSARY

HTYPEX SeeEQUALITY ACT 2010 GLOSSARY
 SeeSUPERVISORS ETC..... GLOSSARY
 SeeAPPRAISALS..... GLOSSARY
 SeeREDUNDANCY GLOSSARY

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

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

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

HOTHPRO SeeDISCIPLINARY PROCEDURES GLOSSARY

HOTHACCM SeeUNION REPRESENTATIVES ETC GLOSSARY
 SeeFULL TIME OFFICIALS GLOSSARY
 SeeEMPLOYEE REPRESENTATIVE GLOSSARY
 SeeSUPERVISORS ETC..... GLOSSARY

HSANCT/
 HSUSNUM SeeDISCIPLINARY SANCTIONS GLOSSARY

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

HCOMPLAI SeeEMPLOYMENT TRIBUNAL..... GLOSSARY

MQ BLOCK I

FAIR TREATMENT AT WORK

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

Diversity' policy. Some workplaces don't have policies and because this is an important area, we want to find out why they don't.

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

IPOLICY **SeeEQUALITY AND DIVERSITY POLICY..... GLOSSARY**
 SeeINDIRECT DISCRIMINATION GLOSSARY

IPRACT1 – **SeeMONITORING GLOSSARY**
 IPRACT5 **SeeSPECIAL RECRUITMENT PROCEDURES..... GLOSSARY**

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

We find out which employees these practices cover.

IFLEXX **SeePART-TIME WORKING HOURS..... GLOSSARY**
 SeeFULL-TIME WORKING HOURS GLOSSARY
 SeeJOB SHARING GLOSSARY
 SeeREDUCED WORKING HOURS GLOSSARY
 SeeFLEXI TIME GLOSSARY
 SeeCOMPRESSED HOURS..... GLOSSARY

IMATPAY / **SeeMATERNITY LEAVE GLOSSARY**
 IMATFULX

IPATPAY / **SeePATERNITY LEAVE..... GLOSSARY**
 IPATFULX

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

ICOMMTEE - **SeeCONSULTATION..... GLOSSARY**
 ICONSULT **SeeJOINT CONSULTATIVE COMMITTEE..... GLOSSARY**
 SeeEMPLOYEE REPRESENTATIVE GLOSSARY

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

IWRKRISK / Ensure the respondent has grasped the rating scale correctly for these questions – the
 IWRKCONT show card should help with this.

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

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

SeeEMPLOYMENT AGENCY / AGENCY STAFF GLOSSARY

SeeTEMPORARY AGENCY STAFF GLOSSARY

SeeFIXED TERM CONTRACT GLOSSARY

SeeTEMPORARY OR FIXED TERM CONTRACT..... GLOSSARY

JNONEMP/
JWHYOUT

SeeCONTRACTING OUT GLOSSARY

JEMPTM/
JWHYTEM

SeeEMPLOYMENT AGENCY / AGENCY STAFF GLOSSARY

SeeTEMPORARY AGENCY STAFF GLOSSARY

JEMPFIT/
JWHYFIT

SeeTEMPORARY / FIXED TERM CONTRACT GLOSSARY

JWRKFREE

SeeFREELANCE WORKER..... GLOSSARY

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

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

JREDREAS

SeeINDUSTRIAL ACTION..... GLOSSARY

SeeREDUNDANCY / REDUNDANT GLOSSARY

JWITHDRW – See**REDUNDANCY / REDUNDANT**..... **GLOSSARY**
 JEFFECT See**UNION REPRESENTATIVE ETC.**..... **GLOSSARY**
 See**EMPLOYEE REPRESENTATIVE** **GLOSSARY**
 See**JOINT CONSULTATIVE COMMITTEE ETC.**..... **GLOSSARY**
 See**CONSULTATION**..... **GLOSSARY**

Finally, we ask some questions about working time.

JUHOURS We ask about the usual operating days of the workplace. This refers to the days that the workplace is active, which might be greater than the days worked by core employees, if the workplace opens early for machinery to be tested or fixed, for example. In some cases, workplaces may operate 7 days a week through the use of a shift system.

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

JTIMEARR See**SHIFT WORKING** **GLOSSARY**
 See**ANNUALISED HOURS**..... **GLOSSARY**
 See**ZERO HOURS CONTRACT** **GLOSSARY**

MQ BLOCK K

WORKPLACE PERFORMANCE

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

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

KMARKET - See**MARKET** **GLOSSARY**
 KSTAMAR

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

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

KPRICE / These questions ask respondents to rate the importance of certain factors to the
 KQUAL competitive success of the main product or service, when compared with those provided by others in the same industry. Please ensure that the respondent understands the

rating scale shown on the show card.

KRECPER/ **SeeLABOUR COSTS GLOSSARY**
 KTARGET **SeeLABOUR PRODUCTIVITY GLOSSARY**
 SeeLABOUR TURNOVER..... GLOSSARY

KBNCHMA **SeeBENCHMARKING GLOSSARY**

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

KERFIS - **SeeLABOUR PRODUCTIVITY GLOSSARY**
 KESTPER3/ **SeeVALUE ADDED GLOSSARY**

MQ BLOCK L **WORKPLACE CHANGES**

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

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

LMANCHX / **SeePERFORMANCE RELATED PAY GLOSSARY**
 LIMPCHX

LTYPINV1 **SeeNEGOTIATION GLOSSARY**
 LTYPINV2 **SeeCONSULTATION..... GLOSSARY**
 LTYPINV3 **SeeUNION REPRESENTATIVES GLOSSARY**
 SeeINDEPENDENCE..... GLOSSARY
 SeeJOINT CONSULTATIVE COMMITTEE..... GLOSSARY

This section ends with some questions about how the workplace experienced the recent recession.

LRECACT **SeeREDUNDANCY..... GLOSSARY**
 SeeTEMPORARY AGENCY STAFF GLOSSARY

MQ BLOCK M **FINAL SECTION**

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

their consent to other parts of WERS proceedings, such as the worker representative interview, financial and employee questionnaire.

MWREP

When recording the name(s) of the worker representative(s) on the front of the ARF, try and obtain contact details that would allow you to send the worker representative(s) information prior to the interview, if you have not already contacted them.

Section B – The Worker Representative Questionnaire (WRQ)

At the end of the MQ you will have asked a series of questions that will identify the appropriate respondent for the WRQ. The respondent must be either:

- a **union representative** of the trade union with the most members present at the workplace;
- a **non-union representative who sits on a joint consultative committee**;
- or a **stand-alone non-union employee representative**.

You will be asked to conduct separate interviews with a union rep and a non-union rep if both are present.

The Worker Representative questionnaire is similar in structure to the Management questionnaire. It comprises 11 blocks of questions. Like the MQ, each question name begins with the block letter (A-L). Please note, there is no section K – this has been deliberately omitted. Each block relates to a different topic of questions:

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

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

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

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

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

WAREPTYP It is very important that you code the respondent correctly at this first question, as it will impact on the rest of the questions asked in the interview. The first screen of the interview tells you who the respondent should be. If your answer to WAREPTYP does not match the expected type of respondent, a soft check will appear. If you decide to over-ride the soft check, please include a note explaining why.

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

See**EMPLOYEE REPRESENTATIVES** **GLOSSARY**

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

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

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

See**NON-UNION EMPLOYEE REPRESENTATIVES** **GLOSSARY**

WAUNION /These questions use the union lookup table , as seen previously in the EPQ at
WOTHRUN Q11:ZUNIONA / OTHUNI / DVOUNM. Please see MQ Section Z for further information on using the lookup table.

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

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

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

In **no** case should your respondent be a **full-time union official**, employed by a Trade Union.

WAREPYRS From each type of representative, we find out how many years they have been representing employees while employed at that workplace.

This section contains questions that relate to the structure of employee representation at

WBUNONLY SeeUNION REPRESENTATIVES ETC GLOSSARY

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

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

WBSELEC SeeUNION OFFICIALS..... GLOSSARY

WBNUMEET SeeNEGOTIATION GLOSSARY

SeeCONSULTATION.....GLOSSARY

WBNAMEET SeeNEGOTIATION GLOSSARY

SeeCONSULTATION.....GLOSSARY

WRQ BLOCK C JOINT CONSULTATIVE COMMITTEES

WCJCCID/ SeeJOINT CONSULTATIVE COMMITTEE..... GLOSSARY

WCJCCNAM

WCCOMI SeeREDUNDANCIES GLOSSARY

SeeEQUALITY AND DIVERSITY POLICY..... GLOSSARY

WRQ BLOCK D	NEGOTIATION, CONSULTATION AND INFORMATION PROVISION
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WDPAY SeeNEGOTIATION GLOSSARY
 SeeCONSULTATION..... GLOSSARY

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

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

WDDISGRIE SeeDISCIPLINARY PROCEDURE..... GLOSSARY

ROLE OF EMPLOYEE REPRESENTATIVES

WEOFTMEE	When asking about meetings and whether they are held in work time, meetings that take place during lunch breaks should not be considered as being held in work time.
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WEPHONE In some workplaces representatives are provided with facilities such as telephones or meeting rooms, to help them in their representative activities. Please be careful to distinguish between an office that is used specifically by a representative for his or her work, and instances where a room can be used if one is free. We provide separate codes for these.

Finally in this section, we ask about how closely management work with representatives when introducing changes in the workplace.

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

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

WFDISPPA **SeeCOLLECTIVE DISPUTE PROCEDURES GLOSSARY**

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

WFINDAX / **SeeINDUSTRIAL ACTION..... GLOSSARY**

WFBALLOT / **SeeWORK TO RULE GLOSSARY**

WFMAJFA1 / **SeeSIT-IN / WORK-IN..... GLOSSARY**

WFMAJFA2 **SeeBALLOTS ON INDUSTRIAL ACTION GLOSSARY**

WFPICKET **SeePICKETING..... GLOSSARY**

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

WGEMPRX **SeeREDUNDANCIES GLOSSARY**

WGCONRE **SeeCONSULTATION..... GLOSSARY**

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

WGGREVPR/ **SeeINDIVIDUAL GRIEVANCE PROCEDURES.... GLOSSARY**

Information is also collected on the types of grievances that have occurred and

WGGRIEX SeeSUPERVISORS ETC..... GLOSSARY
 SeeAPPRAISALS..... GLOSSARY
 SeeEQUALITY AND DIVERSITY..... GLOSSARY

WGDISPRO SeeDISCIPLINARY SANCTION / RULES..... GLOSSARY

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

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

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

WJHELPX

SeeTRADES UNION CONGRESS (TUC) GLOSSARY
SeeUNION OFFICIAL GLOSSARY

The final section of the interview asks the respondent to provide some personal information about themselves, including their age and ethnicity. This information is extremely useful in telling us what sort of employees become employee representatives.

Appendix C - Glossary

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

Agency workers: See *Employment agency staff* and *Temporary agency staff*.

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

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

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

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

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

Ballots on industrial action: A method of decision-taking in trade unions involving an indication of preference by union members on a voting paper on whether or not to support a proposal for industrial action. Its essentially secret nature distinguishes it from decision taking through a public show of hands at a union meeting. Ballots may also be used in trade unions to elect union representatives or officials.

Bargaining unit: Refers to a group of employees covered by a particular collective agreement. For example, a single workplace may contain a number of units, such as craft, routine, professionals, etc., who may be the subject of different agreements. The bargaining unit may be as large as an entire company workforce, for example, in discussions over pension arrangements, or as small as a group of

skilled craft workers. In some cases a bargaining unit may exist in name, but negotiations have ceased to take place between the employer and representatives of employees covered by the bargaining unit. In such cases, the broad structure remains intact but the bargaining unit itself is 'not currently operating'.

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

Body established by Royal Charter: Incorporation by Royal Charter is a prestigious way of acquiring legal status. The charter defines the organisation's objectives, constitution and powers to govern its own affairs. It is usually confined to universities and colleges, professional and regulatory bodies, and includes organisations such as the BBC, the British Council and the Research Councils and the Sports Council (for UK Sport).

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

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

Certification Officer: The Certification Officer is responsible for maintaining a list of *Trade Unions* and *Employers' Associations* and certifying the independence of trade unions. To be recognised as being *independent*, a union must undergo a rigorous inspection to confirm its independence from employers.

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

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

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

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

Company limited by guarantee: Similar to a conventional company limited by shares, in that its operations are governed by the Company Acts and it has a Board of Directors. However, instead of

shareholders, it has members; and instead of buying shares and receiving dividends they offer a guarantee - usually a nominal £1 - as the limit of their liability. There is also generally a provision that any surpluses are either reinvested in the company or distributed for charitable purposes.

Compressed hours: A working arrangement in which an employee works the standard number of hours in a week, but over fewer days than would normally be expected. For example, working 37 hours over four days rather than five days.

Conciliation: Conciliation is usually the first step when negotiations between employers and employees / unions break down. Conciliators will try to help the parties reach a settlement over a dispute via discussion and negotiation. The use of conciliation is entirely voluntary and either party is free to bring the process to an end at any stage, with or without an agreement.

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

Continuous improvement groups: See *Quality circles*.

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

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

Core competencies: Refers to the abilities or skills required to effectively perform a given job or task.

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

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

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

Disciplinary sanction / rules: Disciplinary sanctions are usually applied in relation to a set of pre-agreed or imposed rules. These rules lay out sanctions to be imposed if employees' conduct / performance is deemed unsatisfactory. Such sanctions are normally on a sliding scale and follow a set pattern of

procedures e.g. face to face meeting (hearing) with manager(s), verbal warnings, written warnings, suspension and, ultimately, dismissal.

Diversity: Workplace diversity can be broadly defined as the attempt to respect, value, and incorporate the unique backgrounds, talents, perspectives, identities and ideas each employee brings to an organisation. Diversity encompasses visible and non-visible individual differences. It is also the act of organising respect and understanding for all people in the workplace, regardless of race, ethnicity, gender, sexual orientation, religion, disability, age or background.

Employee: An employee is a person who works under a contract of employment in exchange for a wage or salary. The term excludes any freelance workers, agency and casual workers who do not have a contract of employment. Representatives, salesmen and similar employees who may work principally away from the workplace but nonetheless hold a contract of employment should be included if the selected workplace is the one to which they principally report.

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

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

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

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

Employers' association: An organisation of employers almost always within industrial sectors, formed usually for the purposes of negotiation with trade unions or to provide affiliated employers with industrial relations advice and assistance. In some industries employers' associations negotiate industry-wide multi-employer collective agreements with trade unions. The services that they provide include: advice on the

implications of industrial relations legislation; representation at Employment Tribunals; and, local pay levels. Membership is voluntary and is by subscription.

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

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

Employment Tribunals (ET): Formally called Industrial Tribunals, they are judicial bodies that hear disputes over a range of individual employment rights such as unfair dismissal and discrimination.

Enterprise Directorate (formerly Small Business Service): An agency of the Department of Business, Innovation and Skills (BIS) that focuses on small businesses. They run a number of initiatives designed to help small businesses in the areas of finance, new technology and efficiency, many of which are delivered through the Business Link service.

Equality Act 2010: The Equality Act became law in October 2010. It replaces previous legislation (such as the Race Relations Act 1976 and the Disability Discrimination Act 1995) and ensures consistency in what employers need to do to make the workplace a fair environment and to comply with the law. The Equality Act covers the same groups that were protected by existing equality legislation - age, disability, gender reassignment, race, religion or belief, sex, sexual orientation, marriage and civil partnership and pregnancy and maternity - but extends some protections to groups not previously covered, and also strengthens particular aspects of equality law.

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

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

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

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

Flexi-time: Gives an employee the freedom to choose when they start and finish their working day, within certain limits that have been agreed with their employer. An example is that employees are required to be on site between the core hours of 10am and 3pm.

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

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

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

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

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

Full-time working hours: The official definition of a full-time worker is someone who works 30 or more hours per week.

General Federation of Trade Unions (GFTU): The GFTU is a federation of specialist trade unions. Like the *Trades Union Congress (TUC)*, it campaigns for better employment conditions on behalf of its member trade unions. It currently has 32 member trade unions and is therefore much smaller than the TUC.

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

Guaranteed job security: An expectation that employment for part-time and full-time employees will not be terminated / coming to an end in the foreseeable future (excluding those on fixed-term contracts).

Human Resource Management (HRM): Human resource management generally refers to the policies, procedures and processes involved in the management of people in work organisations. It is a term used to cover many different topics, for example: design or organisation of work; human resource planning;

recruitment and selection; performance appraisal; training and development; motivation and reward; discipline; participation and involvement; health and safety; and management-trade union relations.

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

Indirect discrimination: Refers to a working condition or rule that disadvantages one group of people more than another. An example is an unnecessary requirement for shop assistants to be 6ft tall would indirectly discriminate against women; or saying that an applicant for a job must be clean-shaven puts members of some religious groups at a disadvantage.

Individual grievance procedures: A document that outlines the methods to be used to resolve employees' individual grievances. Typical grievances might include dissatisfaction with treatment by a colleague or manager, over pay, or working conditions. Issues will be systematically processed through different stages and levels. For example, the procedure might require the issue to be dealt with, in the first instance, by an employee's immediate supervisor or line manager. If no agreement were reached it may be that the individual concerned will be asked to put their grievance in writing, or meet with a more senior representative of the organisation. The procedure may include reference to mediation.

Induction: A programme used to help a new employee settle into their job by familiarising them with their new colleagues, the organisation and the industry. It may vary in length from a few hours to a few weeks.

Industrial action: Term that refers to all forms of collective action taken by workers against employers in pursuit of their claim or grievances. Examples include strikes, overtime bans, work to rule and go slows. Industrial action in recent years has been at record low levels.

Investors in People (IiP): Investors in People (IiP) is a nationally recognised standard for effective investment in training and development of people in order to achieve organisational goals. To be IiP accredited, an organisation has to be assessed to have a planned approach to setting and communicating its organisational objectives, developing its people to meet those objectives, and measuring the impact of that development.

Job evaluation scheme: A program that assesses the relative demands of different jobs within an organisation usually to provide a basis for relating differences in pay to differences in job requirements.

Job sharing: A working arrangement involving two or more people sharing the responsibilities and tasks of one full-time job. It can offer flexibility to both employees and the employer. Sharers each have their own contract of employment and share the pay and benefits of a full-time job on a pro-rata basis.

Joint Consultative Committee (JCC): A committee made up of management and employee representatives in which employers seek views before deciding on a course of action. It is distinct from a negotiating group / bargaining unit, which involves bargaining, compromise and joint agreements. JCCs can be found in both union and non-union settings.

Joint negotiations: Occur when unions join together to negotiate with management. For example, in a workplace with two recognised unions – GMB representing clerical staff and Unite the Union representing professional staff – they join together to negotiate the pay of all workers as one group rather than two separate groups. In some instances unions may jointly negotiate over some matters and separately over others. In these cases, the criterion for ‘joint negotiations’ is whether they jointly negotiate over pay.

Just-in-time: A system of production whereby goods are produced ‘just-in-time’ before stocks run out. The aim of this approach is to keep inventories or stock supplies to a minimum to reduce costs.

Labour costs: Total financial costs incurred by employers in the employment of their employees. Include both pay and benefits such as employers’ contributions to pension schemes, sick pay and so on. However the costs of using non-employees (such as contract staff, agency workers or outworkers) would not be included. Also see *Unit labour costs*.

Labour productivity: The efficiency with which employees produce goods or deliver services. Calculated as the value of goods produced, or services delivered, per employee (or per hour worked).

Labour turnover: Labour turnover occurs when workers leave a workplace and need to be replaced by new recruits. The main reasons that workers leave are resignation, dismissal and retirement. The rate of labour turnover is usually calculated as the percentage of employees that have left the workplace in the past 12 months.

Management buy-out: A management buy-out occurs when managers or senior executives of a company take control of the company to which they are employed usually with the help of institutional backing. A buy-out often happens when a company is in difficulty or when it faces the possibility of a take-over bid by another company.

Market: For the purpose of this study, the market is the place where the product or service of the workplace is sold / delivered to its customers. Markets can be ‘local’ (within 1 hours travel of delivery), ‘regional’ (e.g. North East, Midlands, East Anglia or South East), ‘national’ (i.e. across multiple regions within Britain), or ‘international’.

Market share: The proportion of the total sales of a product or service (usually in terms of value rather than quantity) controlled by any one particular firm or company. i.e. $\text{Market share} = \frac{\text{Organisation's sales}}{\text{Total market sales}}$. Market share can be measured in several ways, such as by sales value (price multiplied by number sold or served), or by sales volume (the number of units sold or customers served).

Maternity leave: An entitlement to give mothers time off from work at or around the time of birth of a child. There is a statutory provision giving mothers up to 39 weeks’ paid maternity leave. During that time, mothers receive Statutory Maternity Pay (which may be up to 90% of normal weekly earnings). To improve upon the statutory provisions, employers may offer mothers further time off, or may offer them full pay during their period of leave.

Mediation: Opposing parties in a dispute are brought together and an impartial third party (mediator) attempts to find a workable agreement. The mediator can be internal or external to the organisation as long as they are impartial. Examples of when workplace mediation may be used are to prevent individual

grievances reaching an *Employment Tribunal*, or to prevent collective disputes from leading to industrial action.

Merger: A merger is a combining of two or more business organisations into one unit, usually done with the objective of increasing efficiency. Mergers differ from *takeovers* in that mergers are usually amicable and arranged for the mutual benefit of the companies concerned.

Merit pay: Pay that is related to a subjective assessment of individual performance by a supervisor or manager. This is distinct from performance-related pay, which is directly determined by the amount of work done.

Monitoring: Process by which a workplace takes regular measurements of key indicators, such as *labour productivity* or employee absence.

Mutual: A form of organisational status. A mutual organisation has no shareholders; instead it is owned by its members (which commonly include its customers). Most commonly found in the financial services industry, e.g. insurance.

National Minimum Wage: Introduced in 1999 to set a minimum hourly wage for most employees. There are different minimum wage rates for employees aged 16 to 17, and 18 to 21. Employees in these age groups or those receiving accredited training are entitled to a lesser amount than those aged 22 and over.

Nationalised industry: An industry wholly owned by the government, e.g. British Nuclear Fuels Limited. Few other examples remain, since many formerly-nationalised industries have been *privatised* (e.g. coal mining, railways).

Negotiation: Management and employee representatives enter into negotiations with the aim of arriving at a decision through a process of mutual concessions, bargaining and / or agreements. See also *Consultation / Consult*.

Non-union employee representatives: Employee representatives who do not represent any particular trade union or its members. They may be union members themselves, but their role as a representative is unrelated.

Overtime: Extra hours of work done in excess of the standard or basic working week. (Standard or basic working hours are specified in a contract of employment and / or collective agreement).

Parental leave: An arrangement that allows parents to take time off work to look after a child or make arrangements for the child's welfare. By law, employees get 13 weeks unpaid leave for each child within the first five years of the child's life or the first 18 years of a disabled child's life. Parents of children entitled to the disability living allowance are entitled to 18 weeks unpaid leave. Employees can take parental leave either in short or long blocks, depending on what has been agreed where they work. Parental leave is distinct from *paternity leave*, which is given to fathers around the time of the birth of their child.

Part-time working hours: A part-time worker is someone who works less than 30 hours per week.

Partnership: A form of legal status for an organisation, in which the partners (also called 'members') have legal ownership of the business. A limited liability partnership offers 'members' of the partnership reduced personal liability if the business gets into financial difficulties, with the liability limited to the amount they have invested in the business.

Paternity leave: An entitlement to give fathers time off from work at or around the time of birth of their child. By law, fathers are entitled to two weeks' paternity leave and Statutory Paternity Pay. If the father's average weekly earnings are £97 or more (before tax), they will receive £124.88 per week (or 90 per cent of earnings if this is less) for that period. To improve upon the statutory provisions, employers may offer fathers further time off, or may offer them full pay during their period of leave. (Distinct from *parental leave*).

Pay Review Body: Independent Pay Review Bodies have been established to make recommendations on the annual pay increases for a number of groups of public sector employees, namely teachers, doctors, nurses and prison officers. Each Pay Review Body consists of employer representatives, employee representatives (trade unions) and independent members (often academics) and takes evidence from all parties. The Pay Review Body makes a recommendation to the Prime Minister and to the relevant Secretary of State regarding the pay increase. The Prime Minister and Secretary of State then make a final decision on the pay increase for that group of workers. This process is distinct from collective bargaining, since the government has unilateral power over the final pay increase.

Payment by results: 'Payment by results' (PBR) includes any method of payment where the pay varies according to the amount done or its value, rather than just the number of hours worked. It would include a productivity or performance bonus (or commission) either at workplace or organisational level; and 'piecework' where the employee is paid an amount for each item of work done.

Performance-related pay: Performance-related pay links part or all of pay to job performance, often in terms of the achievement of agreed objectives and targets. Performance-related pay systems may include an element of merit rating, and personal qualities and inputs are assessed in conjunction with outputs. Payouts may be given as bonuses or incremental pay awards, and may replace part or all general pay increases. Performance-related pay schemes differ greatly and may also be referred to as merit pay or performance assessment pay schemes.

Performance or competency tests: Performance or competency tests measure a person's current ability to do the tasks they will be required to perform if their job application is successful. This also includes aptitude tests which are used to predict what a person could do with training.

Personality or attitude tests: Employers use personality tests to see if potential employees will fit in with the organisation culture (e.g. honesty, ability to handle stress, leadership).

Personnel qualifications: Any type of formal qualification that either focuses on, or has a component relating to personnel management, human resource management or industrial relations. They are often accredited by the *CIPD (Chartered Institute of Personnel Development)*.

Physical working conditions: The immediate environment within which employees work and the facilities made available to them. For example, the physical working conditions of a machine operator may include the machine itself, the noise and fumes it generates; the amount of natural light entering the place of work; the temperature; safety factors; and the canteen and toilet facilities available.

Picketing: A picket is where workers congregate outside their place of work during a strike. The legal right to picket is defined in law and subject to the satisfaction of certain conditions.

Private limited company: A privately-owned company in which the owners have limited personal liability if the business gets into financial difficulties.

Private sector: That part of the economy that is under the ownership of private individuals. Includes public limited companies, private limited companies and partnerships. Distinct from the *public sector*, which is under the ownership of the State.

Privatisation / denationalisation: Where all or part of state-owned companies are sold to the private sector. This includes a) the sale of entire nationalised industries such as BT, British Gas and the electricity supply industry; and b) where agencies such as local government and the National Health Service contract out work previously done by their own employees.

Productivity: See *labour productivity*.

Profit-related pay: A profit-related pay scheme is one where part of pay is linked to company profitability. Often a performance measure is selected which reflects employees' contribution to earning the profits. Most profit-related pay is paid as a bonus rather than as part of basic pay or as a replacement for annual pay increases, and payments are usually made in cash or shares on an annual basis.

Public limited company (PLC): The Companies Act 1985 defines a public company as a company limited either by its shares or guarantee, which has a share capital and which states in its memorandum that it is a public company.

Public sector: Those areas of industry and commerce owned and controlled by the State. As well as central government (civil service) this covers local authorities, other government agencies (e.g. Job Centre Plus, Prisons Service) and the public services (e.g. NHS, schools, Royal Mail).

Public service agency: A body that exercises public functions of a governmental nature, but which is not a government department. Examples include Acas, the Environment Agency, the Law Commission or the Arts Council for England. Also see *QUANGOs*.

Quality circles: Quality circles are small groups of employees, usually led by a supervisor, who meet regularly to solve problems and find ways of improving aspects of their work. The circle presents recommendations to management and is normally involved in subsequent implementation and monitoring. They are often called by other names (e.g. continuous improvement groups, problem-solving groups).

QUANGO (Quasi-Autonomous Non-Governmental Organisation): QUANGOs are bodies which have a role in respect of government or government policy, but are independent of a government department and government machinery. For example, the Equality and Human Rights Commission is an 'executive quango' that employs staff and handles its own budget. Alternatively, 'advisory quangos' (*Public Service Agencies*) are bodies whose expenses are met by the relevant government department, for example the Law Commission.

Recognised union: Where a number of employees have joined a trade union, a request for recognition may be made to the employer. Recognition normally confers upon the union the right to negotiate (or bargain) pay and conditions on behalf of its members. Negotiation normally takes place under a set of rules, jointly agreed by employers and the unions, which are set out in a collective bargaining agreement.

Reduced working hours: An arrangement whereby an employee decreases their working hours (e.g. from full-time to part-time), either for a short period or permanently. Perhaps most common among women returning from maternity leave.

Redundancy / Redundant: A person is deemed redundant if they are dismissed due wholly or mainly to the fact that: [a] a business is closing down, either completely, or at a particular site; or [b] there is a diminishing need for employees to carry out work of a particular kind. In this sense, it is an economic dismissal where the job is disappearing, rather than an individual dismissal for poor performance or conduct.

Shift work: A pattern of working whereby different groups of employees work over different periods of the day or week. May be used in manufacturing to permit a production line to keep running, or in a supermarket to allow longer opening times.

Sick pay in excess of statutory requirements: Employers are responsible for paying their employees Statutory Sick Pay (SSP) on qualifying days, for up to 28 weeks of sickness. Some employers, however, decide to pay an amount in excess of this amount.

Sit-in / Work-in: A type of industrial action where employees occupy the premises, barring management from access.

Small Business Service: See *Enterprise Directorate*.

Special recruitment procedures: In this case 'special procedures' refers to policies or practices designed to encourage and / or give preference to applicants from groups of people who are disadvantaged within the labour market. Such groups would include 'women returning to work after having children', 'members of ethnic minorities', 'older workers', 'disabled people' and 'people who have been unemployed for 12 months or more'.

Staff associations: Sometimes used instead of the word "union" in the names of white collar unions but more usually refers to organisations that confine their recruitment to the employees of one particular organisation e.g. banks. Many staff associations are not independent, and therefore can not be classified as a union.

Subsidiary: A company which is controlled by another company if: [a] that other company is a member of it and controls the composition of its board of directors; [b] the other company holds half (in nominal value) of its equity share capital; or [c] it is a subsidiary of any company which is a subsidiary of the first company. The parent company is known as the 'holding company'.

Supervisor / foreman / line-manager: These terms are often used interchangeably to denote first-line management: i.e. those directly concerned with the detailed supervision of work. Although varying from organisation to organisation, responsibilities can include aspects of day-to-day work organisation, handling minor disciplinary and grievance issues and acting as a 'communications channel' between employees and higher management.

Takeover: A takeover occurs when a person(s) or shareholder(s) makes an offer to gain control of another company and the offer is accepted.

Team working: Team working is a term that is used in a variety of ways and contexts. For the most part, we want to leave it to respondents to decide for themselves whether they operate a system of team working. As background, a team is usually thought of as a group of employees coming together from a variety of functions or departments in order to work together to produce a particular product or service.

Temporary agency staff: Staff that are hired on a temporary basis through an employment agency. They are not directly employed by the workplace at which they work, but by the employment agency itself. The workplace pays the agency a fee for their services, out of which the agency pays the employee his / her wages. Temporary agency staff will therefore not have a contract of employment with the workplace, nor appear on its payroll. See also: *Employment Agency*.

Temporary or fixed-term contract: An employment contract for a short duration that may or may not be for a fixed term. Such workers may be used to cover seasonal or cyclical demand or to meet increased demand that is not expected to be permanent.

Trade Union / Staff association: An organisation of employees for the purpose of collectively maintaining and improving their working conditions. Unions / Staff Associations may apply to the Certifications Officer to be listed as a certified independent Trade Union. Most large unions are affiliated to the *Trades Union Congress (TUC)*. See also: *Independence*.

Trades Union Congress (TUC): An umbrella body representing the majority of trade unions in Britain that campaigns for better employment conditions on their behalf. The TUC currently has 58 affiliated trade unions, representing nearly 6.2 million workers. See also: *General Federation of Trade Unions (GFTU)*.

Trading public corporation: An organisation that is wholly owned by the state, but which trades with other organisations or the general public as would a privately owned company. For example, The Post Office and the BBC.

Tribunal: See *Employment Tribunal*.

Trust: A legal arrangement, established by private individuals, through which money, property or other assets are given away by their owner, with the intention that others may benefit from them. A trust may be

the organisation that controls the assets and their distribution. Examples include the National Trust and the Terrence Higgins Trust. Distinct from NHS Trusts, which are part of the public sector.

TUC: See *Trades Union Congress*.

Ultimate Controlling Company: Similar to a holding company in so far that it owns one or more subsidiaries (see also *Subsidiary*), but differs in that it is not specifically set up as a fund manager to buy shares in various companies. Ultimate Controlling Companies tend to own a number of different companies within a single industry, with much more input on a strategic level (e.g. GEC).

Union learning rep: A trade union representative that has specific responsibility for promoting training and learning within their workplace.

Union representatives / shop stewards / TU representatives: These are workers who act as representatives of the trade union / independent staff association while continuing in paid employment. Also known as 'lay officials' they can be either shop stewards or branch officers. They are distinct from full-time union officials, who are employed by the trade union itself. In some instances employees may work full-time on union duties, not to be confused with Full-time Officials who are employed by the Union.

Unit labour costs: The labour costs that are incurred when producing one unit of output (e.g. one car), or delivering one unit of a service (e.g. one car wash).

Value added: The value that is added to materials when they are combined to form a product. That is, the difference between the value of goods and services produced and the cost of raw materials and other inputs which are used up in production.

Work to rule: Commonly refers to a type of industrial action where employees do no more than the minimum required by the rules of their workplace or job (also known as blacking of work).

Worker representative: See *Employee representative*.

Workplace: For the purposes of WERS, a workplace is defined as "the activities of a single employer at a single set of premises". See *Interviewer Handbook Appendix A* for a detailed definition.

Zero hours contract: An employment contract under which the employer does not guarantee to provide the employee with work. The employee has no fixed hours, but instead there is a requirement that the employee will work hours as set by the employer and the employee can be called into work for as few or as many hours as the employer requires. These hours may alter from day to day, or week to week. For example, a worker may work 35 hours one week, and none the following week, whilst at the same time remaining an employee.

Appendix D – Occupational groups

A. Managers, directors and senior officials

Managers and senior officials determine policy, direct and coordinate functions, often through a hierarchy of subordinate managers and supervisors. They head government, industrial, commercial and other establishments, organisations or departments within such organisations.

Occupations include: general 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 line managers or supervisors. These employees should be grouped within their skill base e.g. a clerical worker supervising other clerical workers would be grouped with them.

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, registered nurses, 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.

Occupations include: police, fire service and prison officers (other than senior officers), 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.

Occupations include: civil service and local government clerical officers; data processing and business machine operators; accounting, insurance and broking clerks; filing and mail clerks; transport and distribution 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.

F. Caring, leisure and other 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.

Occupations include: sales representatives, sales assistants, till operators, and call centre agents.

H. Process, plant and machine operatives

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.

Occupations 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. Elementary occupations

Workers in this group perform routine tasks, either manually or using hand tools and appliances.

Occupations include: 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.

Appendix E – Further guidance on the WERS process where you have to set up MQ appointments

Once you have set up an appointment with the main management respondent, we would like you to check with them whether there are any eligible worker representatives at the workplace. (Where possible, you should do this during the same telephone conversation as when you are setting up the appointment with them for the main management interview.)

By identifying any eligible worker representatives prior to the interview, you will increase your chances of conducting the WRQ interview face to face, on the same day as the main management interview. This has both methodological and financial benefits for the study.

Please remember that the CAPI programme for the main management interview will confirm the identity of the correct worker representative(s). Where the worker representative(s) identified by the CAPI programme differs to the respondent(s) that you have identified, you should **always** seek to interview the worker representative(s) identified by the CAPI programme.

Section A – Introducing the worker representative interview

After thanking the main management respondent for taking part in the study, we would like you to introduce the worker representative interview and to ask the main management respondent whether they would be happy for us to contact a worker representative about this.

Please remember that, at this stage, the interview with the management respondent is our priority. We are committed to telling managers about the rest of the study requirements, but if introducing the WRQ appears to jeopardise the main management interview you have just set up, then do not persist. Use your judgement. Of course, if the main management respondent was also part of the previous WERS study, they may remember the other elements that are involved.

- *“Thanks so much for agreeing to take part in the study – I’m sure you’ll find the experience really worthwhile..... Can I just check, are there any employee representatives at this workplace...? Might I be able to ask a representative to take part in the study too...?”*

Identifying eligible worker representatives

Where there are worker representatives at the workplace, you will need to ensure that the correct representatives are identified. There is some guidance below on how to do this.

- *“I just need to check that we get the most relevant person to take part in the study”*

Q1	<p><i>“Are there any unions or independent staff associations at this workplace?”</i></p> <ul style="list-style-type: none"> • Yes → Go to Q2 • No → Go to Q3
Q2	<p><i>“Could you tell me the name of the most senior representative of the union (or independent staff association) with the most members at your workplace, and how I might be able to contact them?”</i></p> <p>INTERVIEWER: IF POSSIBLE RECORD NAME, TELEPHONE NUMBER, EMAIL ADDRESS AND POSTAL ADDRESS (IF DIFFERENT FROM MAIN RESPONDENT) → Go to Q3</p>
Q3	<p><i>“And, are there any employees at your workplace who act as representatives of other employees in dealings with management but are not union representatives? For example, they could be a representative on a consultative committee.”</i></p> <p>INTERVIEWER: THE STAFF ASSOCIATION SHOULD NOT BE A UNION. SEE CHAPTER 4 FOR GUIDANCE.</p> <p>Yes → Q4 No → END</p>
Q4	<p><i>“Could you tell me the name of the most senior employee representative at this workplace, and how I might be able to contact them?”</i></p> <p>INTERVIEWER: THIS RESPONDENT SHOULD BE THE MOST SENIOR EMPLOYEE REPRESENTATIVE. THE REP MAY OR MAY NOT BE A MEMBER OF A UNION.</p> <p>INTERVIEWER: IF POSSIBLE RECORD NAME, TELEPHONE NUMBER, EMAIL ADDRESS AND POSTAL ADDRESS (IF DIFFERENT FROM MAIN RESPONDENT)</p>

We really want the main management respondent to agree to the worker representative interview. If they question why we are looking to speak to a worker representative, you could say something like:

- *“We are trying to make sure that the study is as balanced as possible and that a variety of people have a say in it.”*

It might also help to point out that the interview with the worker representative will be quite short:

- *“The interview would just take half an hour and we could hold it at a time that’s convenient”.*

If you think the main management respondent is not averse to the idea of the WRQ, but has not got time to identify the most relevant person, you can offer to speak to a colleague instead.

- *“Rather than take up more of your time, is there someone else who could help me identify the most relevant person?”*

You will then need to contact them, advise them that the main management respondent has given their permission, and go through the eligibility questions above.

- *“Hello XXXX, I’m calling from the National Centre for Social Research. I’ve just been speaking to XXXX about ABC Ltd’s involvement in the Workplace Employment Relations Study. I’m looking to identify a worker representative to take part in the study, and XXXX has said that you would be able to help me do this”.*

Please note that we would still like to interview the main management respondent even if they do not agree to the worker representative interview.

Section B – Introducing the Survey of Employees

Before you close the conversation with the main management respondent, we would like you to introduce the Survey of Employees. This is a very important part of the study and looks at employees’ attitudes both to work in general as well as to their current workplace. It will enable us to get a fully rounded and balanced picture of employment in Britain today – from the point of view of management, employee representatives and employees. A maximum of 25 employees will be selected at each workplace to take part in this part of the study.

By the time you get to this point in your phone conversations, the main management respondent will have already taken in quite a bit of information – and will probably be quite ready to get you off the phone! As such, we do not want to give them much more information here. However, we do think that it is important for the Survey of Employees to be mentioned up front, so that we do not get any complaints further down the line.

You could simply say the following:

- *“Before I go, I just want to let you know that when I come to speak to you, I would like to leave a short questionnaire for some of your members of staff to fill in. I can explain more about this at the interview, and you can decide on the day if this is something that you’d like to get involved in.”*

As with the WRQ, if the main management respondent took part in the last WERS study, they may remember this aspect of the study, and you can incorporate this by saying:

- *“Before I go, I just want to let you know that when I come to speak to you, I would like to leave a short questionnaire for some of your members of staff to fill in. You may remember this from last time, but I can explain more about this at the interview, and you can decide on the day if this is something that you’d like to get involved in.”*

As with the worker representative interviews, we are still very keen to interview the main management respondent even if they do not agree to the Survey of Employees.

If you do get asked for more information about the Survey of Employees, some useful questions and answers can be found in section 6.2.

Section C – Contacting the worker representative

Identifying eligible contacts

Where you do manage to identify a worker representative, you should contact them by phone. The contact name you have been given may or may not be the person that we want to interview. As such, your first objective will be to find out who the correct worker representative(s) are at the workplace in question.

Start by introducing the study and mentioning that you are also speaking to the main management respondent:

- *“Hello, I’m calling from the National Centre for Social Research. Your workplace has agreed to take part in the Workplace Employment Relations Study. It’s the most rigorous and influential study of employment relations in Britain.*
- *“Hello XXXX, I’m calling from the National Centre for Social Research. I’ve just been speaking to XXXX about ABC Ltd’s involvement in the Workplace Employment Relations Study. I’m looking to identify a worker representative to take part in the study, and XXXX has said that you would be able to help me do this”.*

Next you’ll need to ask a variety of screening questions to check who the correct respondent(s) would be.

- *“I’ve got a few questions, just to check who might eligible to take part.”*

Eligibility check for union representative	
Q1	<p><i>“Are there any unions at this workplace that are recognised by management, that is, for negotiating pay and conditions for employees?”</i></p> <ul style="list-style-type: none"> • Yes → Go to Q2 • No → Go to Q3

Q2	<p><i>"What is the name of the recognised union with the most members at this workplace?"</i></p> <ul style="list-style-type: none"> • UNION NAME GIVEN → Go to Q5.
Q3	<p><i>"Are there any unions at this workplace that are not recognised by management?"</i></p> <ul style="list-style-type: none"> • Yes → Go to Q4 • No → Go to eligibility check for non-union rep – next section
Q4	<p><i>"What is the name of the union with the most members at this workplace?"</i></p> <ul style="list-style-type: none"> • UNION NAME GIVEN → Go to Q5
Q5	<p><i>"Are you the most senior representative of this union at the workplace?"</i></p> <ul style="list-style-type: none"> • Yes → SET UP APPOINTMENT • No → Go to Q6
Q6	<p><i>"Can you tell me who the most senior representative is?"</i></p> <ul style="list-style-type: none"> • CONTACT NAME GIVEN <p>IF POSSIBLE RECORD NAME, TELEPHONE NUMBER, EMAIL ADDRESS AND POSTAL ADDRESS (IF DIFFERENT FROM DETAILS GIVEN BY MAIN RESPONDENT).</p> <p>You will need to conduct the non-union eligibility check with the person you are currently speaking to, as they may be the most senior non-union representative.</p> <p>You will also need to contact the person identified as the most senior representative and repeat the eligibility check with them.</p>

Eligibility check for non-union (employee) representative	
Q1	<p><i>"Does your workplace have a committee of employees and managers which is primarily concerned with consultation?"</i></p> <ul style="list-style-type: none"> • Yes → Go to Q2 • No → Q4
Q2	<p><i>"And are you the most senior non-union employee representative on this committee, from this workplace?"</i></p> <ul style="list-style-type: none"> • Yes → Set up appointment • No → Q3
Q3	<p><i>"Can you tell me who the most senior non-union employee representative on this committee is?"</i></p>

	<ul style="list-style-type: none"> CONTACT NAME GIVEN → CLOSE <p>IF POSSIBLE RECORD NAME, TELEPHONE NUMBER, EMAIL ADDRESS AND POSTAL ADDRESS (IF DIFFERENT FROM MAIN RESPONDENT). You will need to contact this person and repeat the eligibility check.</p>
Q4	<p><i>“Are you the most senior non-union representative of employees at your workplace in dealings with management?”</i></p> <ul style="list-style-type: none"> CONTACT NAME GIVEN No → Q5 Don’t know → <i>“Is there someone else I could speak to about this?”</i> <p>IF POSSIBLE RECORD NAME, TELEPHONE NUMBER, EMAIL ADDRESS AND POSTAL ADDRESS (IF DIFFERENT FROM DETAILS GIVEN BY MAIN RESPONDENT) You will need to contact this person and repeat the eligibility check.</p>
Q5	<p><i>“Can you tell me who is the most senior non-union representative of employees is?”</i></p> <ul style="list-style-type: none"> CONTACT NAME GIVEN Don’t know → <i>“Is there someone else I could speak to about this?”</i> <p>IF POSSIBLE RECORD NAME, TELEPHONE NUMBER, EMAIL ADDRESS AND POSTAL ADDRESS (IF DIFFERENT FROM DETAILS GIVEN BY MAIN RESPONDENT) You will need to contact this person and repeat the eligibility check.</p>

Sometimes, the person that you have spoken to will turn out to be an eligible respondent themselves. In these cases, please try to set up an interview with them. The recommended procedure is set out in the section below.

It is your responsibility to contact the worker representative to set up an appointment with them – the procedure for doing this is set out below.

Setting up appointments

Ideally, we would like to interview the worker representative(s) on the same day as interviewing the main management respondent (please leave at least two hours for the main management interview). A worker representative interview will take around half an hour, and should always come **after** the main management interview – there are no exceptions here!

- “I will be interviewing XXXX (name of management respondent) at your workplace on Friday 28th January Would I be able to see you on this day also?”*

Where this is not possible, please schedule another time for the interview. Tell the respondent that this interview might take place over the phone rather than face-to-face, and that you will confirm this nearer

the time. Ask them if they would have any issues with doing the interview over the phone, and record any difficulties that they mention.

If none of these times are possible, tell the worker representative that you will be in touch with them directly at a later date to try to schedule an interview. This will be during the fieldwork period (28th January – 30th August 2011).

As with the main management interview, worker representative respondents will probably ask you about what the study involves, where the interview will take place and how long it will last. Again, while we encourage you to be open and honest about these logistical issues, please remember to emphasise the benefits of the study too.

- *“We’d like to speak to you about employment relations at your workplace. We cover all sorts of interesting issues – things like the quality of management relations in your workplace and a bit about your role as a representative.”*
- *“The interview can be held at a time that’s convenient to you. The interview itself is quite short”.*
- *“We have already spoken to a manager in your organisation. This is a chance for you to provide your perspective so we get a balanced picture”.*

Please see chapter 4 if you would like more information about the topics covered in the interview with the worker representative.

Please reassure the respondents that all the answers they give will be used for research purposes only and will be kept strictly confidential, in line with the Data Protection Act.