NatCen
National Centre for Social Research

Workplace Employment Relations Study 2011 (WERS6)

Editors' codebook
Main Survey

Version 1.6
23/4/12

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Introduction

The National Centre *for* Social Research (NatCen) has been commissioned to carry out the 2011 Workplace Employment Relations Survey (WERS). This is the sixth in a government-funded series of surveys carried out at British workplaces, which is considered to be the most authoritative source of information on employment relations in Great Britain. The other five surveys in the series, in 1980, 1984, 1990, 1998, and 2004 were also carried out by NatCen. We are very pleased to have again been entrusted with the next survey in this series.

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

The sixth survey is funded by the Department for Business, Innovation and Skills (BIS), the Advisory, Conciliation and Arbitration Service (Acas), the Economic Social and Research Council (ESRC), UK Commission of Employment and Skills (UKCES), and the National Institute of Economic and Social Research (NIESR).

This codebook provides general guidance on the procedures to be followed in data coding and editing.

There are three general stages to this process.

1. **The coding of open-ended questions (to be done by the coding staff/freelancers), SOC and SIC coding.**
2. **The in-house editing of questionnaires, to be done by the office team.**
3. **Researcher edits to be done by NatCen and researchers from the sponsors.**

Coding

The coding of responses is by and large taken care of within CAPI through the use of fully closed questions. There are, however, a number of questions where all possible responses could not be envisaged prior to the interview or where the interviewer was not confident enough to code the responses to existing code frames (these are semi-open questions). In these cases respondents are given the opportunity to offer other answers which are transcribed by interviewers.

In many instances it will be possible to code these responses back into the existing code frame. This should always be the coder's first response. However, this will not always be possible, as new, distinct group(s) of responses may emerge. The researchers at NatCen and BIS have looked at some early returns from the field and decided where new codes might be necessary. Coders should use these where the existing code frame is not appropriate. Any other difficult cases should be referred to the researchers with a note being made on the fact sheet.

Editing

As in the case of coding, most of the editing is carried out by interviewers in the field. Interviewer checks in the Blaise program mean that interviewers can clarify and query any data discrepancies directly with the respondent. The Blaise program ensures that the correct routing is followed through the interview questionnaire and applies range and consistency error checks. Consistency errors comprise soft and hard checks. Soft checks can be suppressed by the interviewer but hard checks must be resolved.

However, some data checking is too complex to be carried out in the field. More complex checks based on several questions have the effect of slowing down the Blaise program, to the detriment of both the interviewer and the respondent. As a result, a separate in–house editing process is required to complete the data set. All the edit checks to be carried out are agreed with the client department (BIS).

Editing is to be done in Blaise in CAPI mode for editing. Errors in the data are identified or error checks are triggered for the editor to action as you move through the questionnaire. To aid this process, editors will have access to fact sheets for each workplace. The fact sheets contain summary data that should be used to indicate solutions to inconsistencies and errors.

The editor's role is to tidy up the data when it arrives from the field in order to improve the data quality and accuracy for the client. In this project, the main tasks will be to interpret interviewer notes, to rid the data of any errant codes, and to resolve any inconsistencies. It is important that you only make changes to the data according to the rules written down in the editing instructions. Where a situation has not been covered, you should always consult your supervisor. It is important that one person keeps a general overview of the editing process and decision-making. The supervisor will know if another editor is encountering a similar difficulty or omission.

Unless specified, all editing is to be undertaken by the office team at Brentwood.

Please note that you should NEVER delete a case unless you have been instructed to do so by the research team.

This document should be used in conjunction with the WERS 2011 questionnaire.

Interviewer notes

An important stage of the 2011 WERS edit is to interpret **all** notes made by interviewers using the Blaise notepad facility. These are listed on the fact sheet. The presence of a note in Blaise is indicated by a small paper clip symbol that appears beside the answer field where the note was made. Interviewers are instructed to make a note at the precise question concerned, but sometimes they might be at an adjacent question instead.

Using these notes, it may be possible to establish what the correct response should have been and subsequently code a response into an existing code frame. However, only backcode such information when you are certain which code to use. If you are unsure about which code should be used, tab the remark for referral to the researchers.

Navigating the edit program

For the first stage coding exercise, on entering the questionnaire you will be presented with the following question:

Which stage of the coding / editing process are you doing?
1. **Stage 1 – Back coding of verbatim responses**
2. **Stage 2 – In-house Office editing**
3. **Stage 3 – Research editing**

If you are undertaking stage 1 – that is, the coding of open-ended questions, SOC and SIC coding – you need to code '1' at this question.

If you are undertaking stage 2 – that is, the in-house editing of the questionnaires – you need to code '2' – at this question.

If you are undertaking stage 3 – that is, the researcher edit – you need to code '3' at this question.

In each case, pressing the 'end' key takes you to the next variable requiring editing. You should be automatically taken to the appropriate 'Tryback', which provides instructions on the text requiring coding and the variable name you should code it into. Alternatively, you will be taken to an edit check where you will be instructed on how to resolve the query.

How to backcode 'Other – please specify' type questions

- Pressing the 'end' key will take you to the 'tryback' question. The graphic below shows an example of this. The 'tryback' question indicates which question the verbatim response needs to be coded into (in this case **XIFLXGR**); gives the text response ('**bank tellers**'); and, instructs the coder to 'ArrowUp twice' to get to the relevant question. In this programme it is standard practice to code the verbatim response into a new variable.

```
P2336 - WERS5 MQ - EDIT - E_014_2b
Forms  Answer  Navigate

EDITOR: GO BACK and try to back code verbatim answer below into question XIFLXGR:
'bank tellers'
(This is also printed on the fact sheet.)

Press <ArrowUp> twice to get to XIFLXGR. Else, enter code 3 or 5 and then press <End>.


  3. Leave for later.
  5. Back coding attempted, leave as is.
     You will need to leave and re-enter this case before
     coding EdDone as 'Yes'.


IOUTCOM     1           Yes          TryBack3
IADJUST     1           Yes          IFLXELIG      2             rest
IFLEXIN     1           Continue     IFLXGRP       10
IFLEX       1-2-3-4-5-6-7            XIFLXGR
IPTELIG     1           all          IFLGPOTH      bank tellers
IPTGRP                               TryBack4
XIPTGRP                              ILVEINTR      1             Continue
IPTGPOTH                             IMATFULL      1             Yes



57/134    WERS5    30184    SECTIONI.BackCode4<219>.TryBack4   23/06/2004   10:46:54
```

- The new variable (e.g. **XIFLXGR**) will in most cases contain both the original code frame along with new options. This covers two possible situations. In some cases new and distinct responses to the question will have emerged through the 'other' option, and as a result researchers will have specified new codes. However, because interviewers are often unsure about whether an answer should be coded into an original code, it will be possible in many instances to code text back into the codes used in the original question.

- To help with the coding, the new variable (e.g. **XIFLXGR**) will show the text response that needs to be coded. If you need to see the full question text you can either refer to the questionnaire that you will have received with this document, otherwise you can 'ArrowUp once' to see the original question.

- In most cases we have limited the number of codes that can be entered in the new variable to **three**. If you need to enter more than three codes when backcoding, please tab the case for referral to the researchers.

- You can differentiate between old and new codes in the codebook. The old codes are always presented in a text box, with the new codes directly afterwards.

- Always backcode a response into the original codes if you can.

- Any remaining difficult cases should tabbed for referral to the researchers.

Standard codes

At the end of each code frame, you will find three standard codes to cover instances where recorded responses do not adequately fit elsewhere within the code frame. These are code 94 (spare), code 95, for 'other specific answer not in codeframe', code 96 for 'vague or irrelevant answer' and code 97 for 'Editor can't deal with'.

Code 94 is a spare code, and is not to be used at this stage. It has been included in case the need arises to expand the code frames.

Code 95 is for any answer given by the respondent that *answers the original question*, but is not covered by any of the codes. This can occur because so few respondents have given that particular answer that it's not worth having a specific code for it.

Code 96, on the other hand, is for recorded responses that *don't really answer the question* and cannot be coded into any of the other codes.

Code 97 is for cases that the editor feels cannot be coded, including don't know and refusals.

However, although these codes means that theoretically all recorded responses can be backcoded, they should only be used as a last resort if the response does not fit into any of the specific codes.

Stage 1, Part 1: Coding Instructions for the Management Questionnaire (MQ)

Back coded questions

Variable to be coded: **ZSOCDESC**
New variables: **SOC2010**
SOC2000

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Please note:

You should only use the text recorded at ZSOCDESC to complete the SOC coding. If ZSOCDESC is missing, flag for the research team

If more than one occupation is mentioned, check which major groups the occupations are from.

If the different occupations fall into the **same major group**, code the first one mentioned.

If the occupations fall into **different major groups**, flag for the research team.

If a SOC code falls into the first major group (Managers and Senior Officials), flag for the research team.

If you are unable to assign a SOC code, please flag for the office editor.

OFFICE EDITOR: If you are unable to assign a SOC code based on ZSOCDESC please flag for the research team.

Variable to be coded:	**ASICDESC**
New variables	*ASIC2007*
	ASIC2003
	ASIC1992
	ASIC1980

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Code to the full detail of SIC classification (i.e. 4/5 digits).

If a SIC2007 code is assigned that falls outside the scope of the survey (i.e. <10.110 or >=96.090), flag for research team.

Variable to be coded:	**AHEADOTH**
NEW VARIABLE	**'AHEADOF2'**.
Type of question:	Other (please specify)
Question text:	Where is the controlling head office of your organisation?
Routing:	{If multi & private sector & not head office, or soleuk & private sector (ASINGLE=1 and ASTATUS =1-7 and ACONHEAD=2) or (ASINGLE=3 and ASTATUS=1-7)}

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Code only one of the following

00	There is no controlling head office
	No controlling head office
	There is no head office
01	United Kingdom
02	USA
03	Germany
04	France
05	Italy
06	Japan
07	Canada
08	Original 'Other please specify' code, (NO LONGER VALID)

09   Other European Union member state

Austria
Belgium
Bulgaria
Cyprus
Czech Republic
Denmark
Estonia
Finland
Greece
Hungary
Ireland
Latvia
Lithuania
Luxembourg
Malta
Netherlands/Holland
Poland
Portugal
Romania
Slovakia
Slovenia
Spain
Sweden

11   Other non-EU country

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE

96   Vague / irrelevant answer

97   EDITOR CANNOT DEAL WITH

Variable to be coded: **BTITLO**
New variable: **XBTITLE**
Type of question: Other (please specify)
Question text: What is the title of your job?
Routing: {Asked of all}

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Code only one of the following: priority code

---

01   Personnel Manager / Officer
            Director of ...
            Head of ...
            Acting head of ...
            Assistant Director / Manager of ...

02   Human Resources Manager / Officer
            Director of ...
            Head of ...
            Acting head of ...
            Assistant Director / Manager of
            HR Business Partner

03   Proprietor / Owner
            Managing Director
            Partner
            Company Director
            Chairman
            Chief Executive

04   General Manager (not including specialist personnel / HR / ER / IR)
            Administration manager, Area manager
            Commercial Director, Branch manager, Delivery manager
            Head Teacher, Publican
            Matron, Office manager
            Payroll manager, Practice manager
            Retail manager, Store manager
            Projects Co-ordinator, Operations Manager

05   Original 'Other please specify' code, (NO LONGER VALID)

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06   Employee Relations ~ Industrial Relations ~ Staff Relations ~ Manager / Officer
            Director of ...
            Head of ...
            Acting head of ...
            Assistant Director / Manager of…

07   Financial Manager / Company Secretary
            Company accountant
            Club secretary, Treasurer
            Finance Director, Financial Controller

15

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded: **BADVOTH**
New variable: **XBADVICE**
Type of question: Other (please specify)
Question text: From what other government department or agency did you seek advice?
Routing: {Asked of all}

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Enter at most three values

01	ACAS
02	Department for Business, Innovation and Skills (*BIS)* *DTI, BERR* *Department of Employment*
03	Business Link / Enterprise Directorate (formerly Small Business Service)
04	Original 'Other government department or agency' code (NO LONGER VALID)
05	Management consultants *Firm of employment specialists*
06	External Lawyers *Employment law specialists*
07	External Accountants
08	Employers' association *Confederation of British Industry (CBI)* *Institute of Directors (IoD)* *Trade associations* *Federation of Small Businesses* *NHS Employers*
09	Citizens Advice Bureau
10	Other professional bodies (e.g. Chartered Institute of Personnel and Development) *Chartered Institute of Personnel and Development* *CIPD* *British Psychological Society* *Freight Trade Association*
11	None of these (EXCLUSIVE CODE)

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12	Criminal Records Bureau

13   Other Government agency (recoded from 04)
Benefits Agency
Care Quality Commission (CQC)
Equality and Human Rights Commission (EHRC)
Department for Culture, Media and Sport (DCMS)
Department for Education (DfE)
Department of Energy and Climate Change (DECC)
Department for Environment, Food and Rural Affairs (DEFRA)
Department of Health
Department for Work and Pensions (DWP)
Direct Gov website
Criminal Records Bureau
Environment Agency
Health and Safety Executive (HSE)
Home Office / Immigration Service
Inland Revenue / Tax Office (HMRC)
Job Centre / Job Centre Plus
Learning and Skills Council (LSC)
Office for Standards in Education (OfSted)
The Pension Service
Ministry of Defence (MoD)
Regional Development Agencies (RDA)
Scottish Executive
UK Border Agency
Welsh Assembly

14   *Local Authority*
Planning department
Local Councils

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded: **CFACTOTH**
New variable: **XCFACT**
Type of question: Other (please specify)
Question text: Which of the following factors are important when recruiting new employees?
Routing: {Asked of all}

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Enter at most three values

01	References
	Vetting
02	Availability
	Work permit
	International mobility
03	Recommended by another employee
04	Skills
	Ability to work as part of a team
	People skills
	Ability to do the job
05	Age
06	Qualifications
	Professional registration
07	Experience
	Industry experience
08	Motivation
	Attitude
	Enthusiasm
09	Original 'Other, please specify' code (NO LONGER VALID)

10   Personality or 'team fit'
          Personality
          Results of psychometric tests
          How well they will fit in
          Character

11   Commitment to the values of the organisation
        Adopt company values
        An understanding or appreciation of the ethos of the organisation
        Political allegiance
        Empathy with the client group
        Match the culture of the organisation

12   Criminal Records Bureau checks
        Security clearance
        Police checks / clearance
        CRB checks
        "Positive vetting" (government jobs only)

13   Health
        Fitness
        Medical or health checks
        Sick record

14   None

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
        Flexibility
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**COTHCHN**	
New variable:	**XCCHAX**	
Type of question:	Other (please specify)	
Question text:	What other recruitment channels were used when trying to fill these vacancies?	
Routing:	{If any vacancies in the largest non-managerial occupational group in the past 12 months (CLOGVAC=Yes)}	

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Enter at most three values

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01   Local or regional newspapers

02   Trade, professional or specialist press

03   Internal notices
                Company newsletter inc. newsletters sent by email

04   Notice in office or shop window
                Noticeboard at factory entrance
                Poster in shop window

05   Jobcentre / Employment Service office

06   Careers Service (School/College/University)

07   Fee charging, private employment or recruitment agency
                Temping agency
                Professional research consultants
                Recruitment agency inc. paid head hunters

08   Direct approach to potential recruit(s)
                Approach employees in other, competing organisations
                Direct approach from within the same organisation

09   Replying to speculative applications
                People send in CVs, which we keep on file
                People registered on database
                People approach us

10   Recommendation or enquiry by existing employee

11   Word of mouth

12   Intranet or own website

13   Internet – external website(s)

14   Some other way (please specify **COTHCHN**) (NO LONGER VALID)

---

15   Internet – unspecified whether own or external
16   Job fairs / Open days
        Open evening

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded: **DMWHOTH**
New variable: **XDMWHX**
Type of question: Other (please specify)
Question text: What other issues are discussed?
Routing: {If any meetings with whole workforce (DMEETING=Yes)

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Enter at most three values

01	Production issues
	Level of production or sales
	Product quality
	Levels of customer service
	Service delivery issues
	Service issues at shift handover
	Operational matters
02	Employment issues
	Avoiding redundancies
	Labour turnover
	Recruitment
03	Financial issues
	Financial performance
	Profitability
	Budgets
04	Future plans
	Future expansion or contraction
	Investment plans
05	Pay issues
	Wage or salary reviews
	Bonuses
	Re-grading
06	Leave and flexible working arrangements, including working time
	Holiday entitlements
	Hours of work
	Flexitime
	Time off for caring for children or dependants
07	Welfare services and facilities
	Child care facilities
	Rest rooms
	Car parking
	Canteens
	Social events

08   Government regulations
                EU Directives
                Local Authority regulations
                National curriculum

09   Work organisation
                Improvements / Changes in working practices
                Allocation of work between employees
                Shift patterns
                Multi-skilling
                Planning of work

10   Health and safety

11   Equal opportunities and diversity

12   Training

13   Other (please specify **DMWHOTH**) (NO LONGER VALID)

14   Anything that arises
                Any current issue
                Any other matter that people want to discuss
                No limit
                No set format

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**DBWHOTH**	
New variable:	**XDBWHX**	
Type of question:	Other (please specify)	
Question text:	What other issues are discussed?	
Routing:	{If any meetings between line managers/supervisors and the employees they manage (DBRIEF=Yes)	

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Enter at most three values

---

01   Production issues
               Level of production or sales
               Product quality
               Levels of customer service
               Service delivery issues
               Service issues at shift handover
               Operational matters

02   Employment issues
               Avoiding redundancies
               Labour turnover
               Recruitment

03   Financial issues
               Financial performance
               Profitability
               Budgets

04   Future plans
               Future expansion or contraction
               Investment plans

05   Pay issues
               Wage or salary reviews
               Bonuses
               Re-grading

06   Leave and flexible working arrangements, including working time
               Holiday entitlements
               Hours of work
               Flexitime
               Time off for caring for children or dependants

07   Welfare services and facilities
               Child care facilities
               Rest rooms
               Car parking
               Canteens
               Social events

08	Government regulations	
		EU Directives
		Local Authority regulations
		National curriculum
09	Work organisation	
		Improvements / Changes in working practices
		Allocation of work between employees
		Shift patterns
		Multi-skilling
		Planning of work
10	Health and safety	
11	Equal opportunities and diversity	
12	Training	
13	Other (please specify **DBWHOTH**) (NO LONGER VALID)	

14   Anything that arises

         Any current issue
         Any other matter that people want to discuss
         No limit
         No set format

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**DWHICOTH**
New variable:	**XDWHIC**
Type of question:	Other (please specify)
Question text:	What other issues are discussed?
Routing:	{If more than one joint consultative committees (DHOWMANY>1)

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Enter at most three values

---

01   Production issues
          Level of production or sales
          Product quality
          Levels of customer service
          Service delivery issues
          Service issues at shift handover
          Operational matters

02   Employment issues
          Avoiding redundancies
          Labour turnover
          Recruitment

03   Financial issues
          Financial performance
          Profitability
          Budgets

04   Future plans
          Future expansion or contraction
          Investment plans

05   Pay issues
          Wage or salary reviews
          Bonuses
          Re-grading

06   Leave and flexible working arrangements, including working time
          Holiday entitlements
          Hours of work
          Flexitime
          Time off for caring for children or dependants

07   Welfare services and facilities
          Child care facilities
          Rest rooms
          Car parking
          Canteens
          Social events

08	Government regulations
	EU Directives
	Local Authority regulations
	National curriculum
09	Work organisation
	Improvements / Changes in working practices
	Allocation of work between employees
	Shift patterns
	Multi-skilling
	Planning of work
10	Health and safety
11	Equal opportunities and diversity
12	Training
13	Other (please specify **DWHICOTH**) (NO LONGER VALID)

14   Anything that arises
            Any current issue
            Any other matter that people want to discuss
            No limit
            No set format

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded: **D1WHOTH**
New variable: **XD1WHX**
Type of question: Other (please specify)
Question text: What other issues are discussed by the committee?
Routing: {If any joint consultative committee at the workplace (DJOINT=Yes)}

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Enter at most three values

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01   Production issues
                Level of production or sales
                Product quality
                Levels of customer service
                Service delivery issues
                Service issues at shift handover
                Operational matters

02   Employment issues
                Avoiding redundancies
                Labour turnover
                Recruitment

03   Financial issues
                Financial performance
                Profitability
                Budgets

04   Future plans
                Future expansion or contraction
                Investment plans

05   Pay issues
                Wage or salary reviews
                Bonuses
                Regrading

06   Leave and flexible working arrangements, including working time
                Holiday entitlements
                Hours of work
                Flexitime
                Time off for caring for children or dependents

07   Welfare services and facilities
                Child care facilities
                Rest rooms
                Car parking
                Canteens
                Social events

08	Government regulations
	    EU Directives
	    Local Authority regulations
	    National curriculum

09	Work organisation
	    Improvements / Changes in working practices
	    Allocation of work between employees
	    Shift patterns
	    Multi-skilling
	    Planning of work

10	Health and safety
11	Equal opportunities and diversity
12	Training
13	Other (please specify **D1WHOTH**) (NO LONGER VALID)

14   Anything that arises
            Any current issue
            Any other matter that people want to discuss
            No limit
            No set format

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded: **DSELOTH**
New variable: **XDSELEC**
Type of question: Other (please specify)
Question text: Who else selects employee representatives for the
                           consultation committee?
Routing: {If employee representatives are not elected to the
                           consultative committee (DELECT = No)}

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Enter at most three values

01	Employees
	Staff choose reps, but there is no election
	Staff nominate people
02	Existing committee representatives
03	Unions or staff associations
04	Managers
	Area managers
05	No selection - e.g. volunteers (EXCLUSIVE CODE)
	Self-selection: they volunteer
	Depends on availability
06	Other answer (please specify **DSELOTH**) (NO LONGER VALID)

07   Goes with the job
        Goes with the appointment
        By status, e.g. Head of Year Teacher, All managers

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer (e.g. *Open committee*)
97   EDITOR CANNOT DEAL WITH

Note: If response is something like 'All employees are members' then code 97 for
Researcher to check and deal with. Needs to be examined to determine whether it is in
fact a real JCC. As a JCC needs to have representative structure.

Variable to be coded:	**DCONSOTH**
New variable:	**XDCONS**
Type of question:	Other (please specify)
Question text:	In what other ways does management communicate or consult with employees at this workplace?
Routing:	{Asked of all}
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Enter at most three values:

01	Notice boards
02	Systematic use of management chain/cascading of information
03	Suggestion schemes
04	Regular newsletters distributed to all employees *Company newspaper* *Staff magazine*
05	Regular use of email to all employees
06	Information posted on company intranet, accessible to all employees
07	Other (please specify **DCONSOTH**) (NO LONGER VALID)
08	None of these, no other ways (EXCLUSIVE CODE)

09   Regular meetings with entire workforce present
                A meeting to which all staff are invited but don't necessarily come
                Regular meetings for all employees

10   Regular team meetings
                Team briefings
                Lunch or breakfast meetings with the team

11   Other individual personal communication
                One to one meetings with line managers
                Managers talk to employees everyday, informal chats
                By telephone
                Word of mouth
                Face-to-face
                Open door policy

12   Other written communication
                Memos
                Inserts in wage packets / pay slips
                Writing directly to staff / Personal letters / by letter
                Write in diary/book at end of shift
                Guidance / procedure sheets
                Notes in pigeon holes
                Communication book
                Texting

13   Other meetings
                Meetings with large sections of the workforce but not the entire
                workforce together
                Meetings with staff and internal memos
                Communications meetings
                Briefing session at the start of each day
                Any other business after meetings

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**ESELOTH**
New variable:	**XESELEC**
Type of question:	Other (please specify)
Question text:	Who else selects these non-union employee representatives?
Routing:	{If non-union employee representatives are not elected (EELECT = No)}

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Enter at most three values

01	Employees
	Staff choose reps, but there is no election
	Staff nominate people
02	Managers
	Area managers
03	No selection - e.g. volunteers (EXCLUSIVE CODE)
	Self-selection: they volunteer
	Depends on availability
04	Other answer (please specify **ESELOTH**) (NO LONGER VALID)

05   A part of an employee's job description
            Goes with the appointment
            By status, e.g. Head of Year Teacher, All managers

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**FMEASOTH**
New variable:	**XFMEASU**
Type of question:	Other (please specify)
Question text:	What measures of performance are used to determine the amount of performance-related pay that employees receive?
Routing:	{If employees receive performance-related pay (FPERF=1)}
Page in edit programme:	45/123

Enter at most three values

1	Individual performance/output
2	Group or team performance/output
3	Workplace-based measures *Individual branch performance (where branch means the workplace, i.e. the branch of a bank/shop.*
4	Organisation-based measures *General company performance* *Profit*
5	Original 'other' code (NO LONGER VALID)

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
         Inflation
         Negotiated between management and union
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**FLEVELO**
New variable:	**XFLEVEL**
Type of question:	Other (please specify)
Question text:	For what other part of your organisation is the amount of profit-related pay calculated?
Routing:	{If employees receive profit-related pay and workplace is part of a larger organisation (FPROF=1 and ASINGLE=1 or 3)}

Page in edit programme: 45/123

Code **one** only of the following:

1	Workplace
2	Division/Subsidiary company
3	Organisation as a whole
4	Original 'other' code (NO LONGER VALID)

5   More than one part
            Division/group/organisation
            Both workplace and whole organisation
            Some of each

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**FSETTLEOTH**
New variable:	**XFSET**
Type of question:	Other (please specify)
Question text:	Which other factors influenced the size of the pay settlement or review for [the largest occupational group]?
Routing:	{Asked of all}
Page in edit programme:	46/123

Enter at most three values

---

01   Changes in the cost of living
          Inflation / Retail Price Index / CPI

02   Your ability to recruit or retain employees
          Industry standards
          Look at what other employers are paying
          Market rates / market data
          Motivating staff

03   The financial performance of the organisation or workplace
          Turnover / Reduction or increase in turnover

04   Productivity levels within the organisation or workplace

05   Industrial action threatened or taken

06   National Minimum Wage (NMW)

07   Original 'other' code (NO LONGER VALID)

08   None of these (EXCLUSIVE CODE)

---

09   National agreements / pay awards
          Determined at the national level
          National agreement
          NHS recommendations

10   Reduction in funds available
          Budget cuts
          Funding

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
          Pay freeze
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**FWHEROTH**
New variable:	**XFWHERX**
Type of question:	Other (please specify)
Question text:	Was the decision over the size of the settlement for the largest occupational group made at this workplace, at a higher level in the organisation or elsewhere?
Routing:	If pay review had taken place and workplace is part of a larger organisation (FUPDOWN=1 or 2 or 3 and ASINGLE=1 or 3)
Page in edit programme:	47/123

Code **one only** of the following:

01	Workplace
02	Higher level in this organisation
	Recommended here and approved by Head Office.
	Head office
	Personnel manager based at another site
	Board of Directors
	Within the company, at similar office but MD is there
	Head office decision.
	Governing body
03	National / industry-level / multi-employer
	Determined nationally / National level
	Part of a national agreement
	National pay award
	NHS central pay structure
	National joint council / Industry joint council
	Joint industries board
	National federation / Employer association
	UCNS, the collective negotiating bodies for universities
04	Independent Pay Review Body
	Pay review bodies
	Review body in London
05	Original 'other' code (NO LONGER VALID)

06   Government
                 Central Government
                 Home Office
                 Scottish Office
                 Department for Education
                 Her Majesty's Government
                 Teachers pay and conditions advisory board
                 Westminster
                 Her Majesty's Treasury

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
                 National Minimum Wage (NMW)
97   EDITOR CANNOT DEAL WITH

Note: If response is 'Local government' then
If workplace is known to be part of local government then use code 3, as most local government settlements are national.

If workplace is known NOT to be part of local government then code 97 for Researcher to check and deal with.

If you are unsure whether workplace is part of local government or not, then code 97 for Researcher to check and deal with.

Variable to be coded: **FWHE2OTH**
New variable: **XFWHE2X**
Type of question: Other (please specify)
Question text: Was the decision over the size of the settlement for the largest occupational group made at this workplace or elsewhere?
Routing: If pay review had taken place and workplace is a single independent establishment (FUPDOWN=1 or 2 or 3 and ASINGLE=2)

Page in edit programme: 47/123

Code **one only** of the following:

<div style="border:1px solid">

01   Workplace
          Board of directors
          AGM
          National Minimum Wage
          Legislation
          Collective bargaining

02   THIS CODE NOT USED

03   National / industry-level / multi-employer
          Determined nationally / National level
          Part of a national agreement
          National pay award
          NHS central pay structure
          National joint council / Industry joint council
          Joint industries board
          National federation / Employer association
          UCNS, the collective negotiating bodies for universities

04   Independent Pay Review Body
          Pay review bodies
          Review body in London

05   Original 'other' code (NO LONGER VALID)

</div>

06   Government
          Central Government
          Home Office
          Scottish Office
          Department for Education
          Her Majesty's Government
          Teachers pay and conditions advisory board
          Westminster
          Her Majesty's Treasury

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Note: If response is 'Local authority' then
If workplace is known to be part of local authority then use code 3, as most local authority settlements are national.

If workplace is known NOT to be part of local authority then code 97 for Researcher to check and deal with.

If you are unsure whether workplace is part of local authority or not, then code 97 for Researcher to check and deal with.

Note: if the response mentions any Head Office located abroad, or any regional or head office located in the UK belonging to the same organisation then code 97 for Researcher to check and deal with.

Variables to be coded:	**FSOC1OTH to FSOC9OTH**
New variables:	**XFSOC1 to XFSOC9**
Type of question:	Other (please specify)
Question text:	Which other ways characterises the way that pay is set for this occupational group?
Routing:	{If there are employees in this occupational group mentioned in the EPQ e.g. for FSOC1 IF Total number of Managers and Senior Officials >0}

Page in edit programme: 47/123

Enter at most three values

---

01   Collective bargaining for more than one employer (e.g. industry-wide agreement)
        Trade association
        Determined nationally / National level
        Part of a national agreement
        National pay award
        NHS central pay structure
        National joint council / Industry joint council
        Joint industries board
        National federation / Employer association
        UCNS, the collective negotiating bodies for universities

02   Collective bargaining at an organisation level

03   Collective bargaining at this workplace

04   Set by management at a higher level in this organisation

05   Set by management at this workplace

06   Negotiation with individual employees

07   Independent Pay Review Body
        Pay review bodies
        Review body in London

08   Original 'other' code (NO LONGER VALID)

---

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Note: If the response is 'nationally determined' or similar, then code 97 for Researcher to check and deal with.

The coding of the following are contingent on ASINGLE. This needs to be flagged for an office edit? These would be code 4 if the workplace is part of a larger organisation, and code 5 if it is a single site workplace.

Board of Governors
Director(s)/ Negotiation between directors

Research, the action is:
IF ASINGLE=2, code XFSOC1-9 = 5
IF (ASINGLE=1 or 3) and (FWhereX or FWhere2x=1), XFSOC=5
IF (ASINGLE=1 or 3) and FWhereX=2, XFSOC=4
ELSE Refer to sponsors

The following have to be flagged for researcher edits, as the job evaluation / benchmarking process could be part of a collective agreement (e.g. NHS), so not necessarily code 6.

Job evaluation scheme
Benchmarking and job grades

Variable to be coded:	**FFACTOTH**
New variable:	**XFRISE**
Type of question:	Other (please specify)
Question text:	What other factors enable employees in the largest non-managerial occupational group to bring about an increase in their pay if they remain in the same job?
Routing:	{Asked of All}
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Enter at most three values

---

01   Years of service
           Honorarium after two years' service

02   Acquiring an academic or vocational qualification

03   Acquiring job-related skills

04   Taking on additional tasks
           Suggestions for improvements and putting them in place

05   Taking on supervisory responsibilities

06   Performing beyond normal expectations
           Appraisal
           Individual pay review
           Job evaluation scheme
           The amount of work they do / income produced /commission

07   Increase their basic contractual hours

08   Work more overtime

09   Work shifts or unsociable hours

10   Good attendance

11   Original 'other' code (NO LONGER VALID)

12   There are no opportunities to increase pay in the same job (EXCLUSIVE CODE)
           None

---

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Note: Answers that refer to the whole workplace (e.g. 'depends on what firm makes and can afford', 'they have a pay rise when the finances allow it', 'market changes') should be coded as 96-vague/irrelevant as they are not answering the question about differences *within* the occupational group.

Variable to be coded: **GISSUOTH**
New variable: **XGPROCI**
Type of question: Other (please specify)
Question text: Are there any formal procedures for dealing with collective disputes, that might be raised by a group of non-managerial employees?
Routing: {Asked of All}

Page in edit programme: 53/123

Enter at most three values

00	Do not have collective dispute procedure (EXCLUSIVE CODE)

01	Pay and conditions
	    Call out payment
	    Anything to do with terms & conditions of employment
	    Hours worked & allowances paid

02	Redundancy
	    Redeployment
	    TUPE

03	Organisation of work
04	Health and Safety
05	Original 'other' code (NO LONGER VALID)

06	Any issue raised by employees
	    Any area of collective dispute
	    Whatever they don't like

95	Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96	Vague / irrelevant answer
97	EDITOR CANNOT DEAL WITH

If GPROCIS = 5 and the text refers to **an individual grievance or disciplinary issue**, and does NOT mention any collective or group dispute procedures, then re-code XGPROCI to 00 and Tab for supervisor referral.

45

Variable to be coded:	**GBODYOTH**	
New variable:	**XGBODY**	
Type of question:	Other (please specify)	
Question text:	To which other outside body are issues raised under the disputes procedure referred?	
Routing:	If the disputes procedure has provision for issues to be referred to an outside body (GREFERAL = Yes)	
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Enter at most three values

---

01   Acas Conciliation

02   Acas Arbitration

03   Independent arbitrator

04   Independent mediator

05   Management at a higher level in the organisation
            Governors
            Diocese

06   Union officials/National officer of union

07   Employers' Association
            Association of colleges
            London Joint Committee of Councils

08   Original 'other' code (NO LONGER VALID)

---

00   Do not have collective dispute procedures (EXCLUSIVE CODE)

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
            Local Social Partnership[1]
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

NOTE: If respondent refers to a named individual refer to earlier in questionnaire to see if their job title has been mentioned.

---

[1] A monitoring group for schools. There should be one in each local authority. Previously known as the workforce agreement monitoring group.

Variable to be coded:	**HRESOTH**
New variable:	**XHRESOX**
Type of question:	Other (please specify)
Question text:	How else do employees resolve grievances at work?
Routing:	{If there is no grievance procedure (HPROCEDU=2)}
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Enter at most three values

00	No grievances raised (EXCLUSIVE CODE)
01	Through discussions with managers
	Talk With / Go To 'Big Boss' / the boss
	Managing director / Director(s)/ Senior managers
	Heads of department / Head teachers
	Talk With / Go To Immediate Boss / line manager
	Supervisor / Team leader
	Foreman / forewomen
	Matron / Charge wards
	Discussions / Negotiations with Management
02	Through discussion with specialist human resources/personnel managers
	HR/Personnel director/manager/officer
	HR/Personnel department
	Consult our HR adviser at Head Office
03	Through discussion with the parties concerned[2]
	They sort out between themselves
04	Discussions between union/employee reps and managers
	Have an argument/discuss with the unions
	Through the unions
05	Through mediation by an impartial third party
06	Passed up/referred up the management chain (e.g. to Head Office)
	i.e. managers outside the workplace
	Pass to Higher Authority / Referred to Head Office
	Cascade Dispute Upwards
	Refer it to the County
	Refer to Governing Body
07	Original 'other please specify' (NO LONGER VALID)

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

<u>NOTE</u>: If response is **'through grievance procedure' / 'activate procedure' etc.** then flag for supervisor and as a change in the Blaise questionnaire.   …../cont

---

[2] Please note, the wording of this response option has been changed slightly since WERS5.

Researcher check: The following types of answers will require reference to BTITLE to determine whether they fall into code 1 or 2.

'Bring it to <u>me</u> / they come to <u>me</u>';

'<u>I</u> would make a decision and that would be final'.

Variable to be coded:	**HTYPEOTH**
New variable:	**XHTYPX**
Type of question:	Other (please specify)
Question text:	What other types of grievances have been raised in the past year?
Routing:	{Asked of all}

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Enter at most three values

<div>

00   No grievance raised (EXCLUSIVE CODE)

01   Pay, terms and conditions issues
        Holiday entitlements
        Allowances
        Sick pay
        Resistance to training

02   Promotion, Job grading and career development
        Access to training

03   Physical working conditions, health and safety
        An injury at work
        Staff accommodation

04   Working time
        Reduced hours
        Shift patterns
        Flexible working

05   Discrimination
        Racial discrimination
        Sex discrimination

06   Unfair treatment, relations with line managers or supervisors (i.e. unfair treatment, victimisation)

07   Bullying at work and harassment (including from colleagues, managers, sex, race)
        Racial harassment

08   Selection for redundancy

09   Original 'other' code (NO LONGER VALID)

</div>

10   Relations with work colleagues (not supervisors or managers – see code 06)
        Two employees not getting on with each other
        Two managers at odds
        Personal conflict between two workers
        Issues with colleagues' performance

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

NOTE: If response is **a disciplinary matter**, for example, dismissal, gross misconduct, or performance, and the disciplinary matter is the only thing that has been mentioned here, then flag for supervisor and as a change in the Blaise questionnaire (anything relating to a disciplinary matter should be deleted from this question, because this question refers to *grievances*).

Variable to be coded: **HSUSOTH**
New variable: **XHSUSTX**
Type of question: Other (please specify)
Question text: What were the other reasons for taking disciplinary action?
Routing: {If any sanctions (HSANCT<8)}

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Enter at most three values

01	Poor timekeeping or unauthorised absence
	Persistent poor attendance
02	Poor performance
	Incapacity to do the job
	Poor attitude
03	Disobedience
	Insubordination
	Gross misconduct?
	Misuse of management authority
04	Personal use of premises or equipment, theft or dishonesty
	Misuse of the telephone or computer
	Completion of expenses form
	Lying about work matters
	Failure to disclose criminal convictions
	Fraud
05	Health and safety breaches
	Smokers caught in non-smoking area
06	Abusive or violent behaviour, bullying or harassment
	Aggressive behaviour towards a child
	Sexual harassment
	Abuse of client
07	Alcohol or drug use
08	Original 'other please specify' (NO LONGER VALID)

09   Negligence
          Failure to adhere to company policy
          Falling asleep on the job
          Failure to follow company procedures
          Breached Code of conduct

10   Security breaches
          Data protection
          Divulging confidential information

11   Long-term sickness absence or health problem
            Extended sickness
            Long-term sick
            'Non-performance of duties' due to long-term health problem

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
            Bringing the company into disrepute
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**ILESFLXOTH**	
New variable:	**XIFLEXC**	
Type of question:	Other, please specify	
Question text:	What are the other constraints in providing flexible working arrangements for employees at this workplace?	
Routing:	{Asked of All}	

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Enter at most three values

01	There are no constraints (EXCLUSIVE CODE)
02	Not feasible because of the size of the workplace
03	Incompatible with nature of work / operating hours *Based on operational requirements* *Incompatible with part of the workforce's working arrangements and fairness* *is hard* to achieve
04	Puts pressure on other employees and managers
05	Cost
06	No demand from employees
07	Original 'Other please specify' (NO LONGER VALID)

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

53

Variable to be coded:	**IEROTH**	
New variable:	**XIFMOFF**	
Type of question:	Other, please specify	
Question text:	If an employee needed to take a day off at short notice, for example if they had a problem with child or family member, how would they usually take this time off?	
Routing:	{Asked of all}	
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Enter at most three values

<div style="border:1px solid black; padding:10px">

01   Take time off but make it up later
               Flexitime
               Accrued time
               As flexi leave
               Flexi-time arrangement
               Time off in lieu/flexi-time arrangement
               Organise own swap

02   As leave without pay
               As unpaid leave
               Unpaid emergency leave

03   As sick leave

04   As special paid leave
               Paid emergency leave
               Compassionate leave / Paid compassionate leave
               They have 3 days compassionate leave per year
               Special leave policy provides a maximum of five days a year
               Every employee given 1 weeks pro rata care leave per year
               Dependants' leave
               Paid leave if employee at work and got called away
               Just paid normally / Just let them take the time off

05   As annual leave

06   Original 'Other please specify' code (NO LONGER VALID)

07   Never been asked (EXCLUSIVE CODE)

08   Not allowed (EXCLUSIVE CODE)

</div>

09   Depends on individual/circumstances
               By arrangement/discretion used
               Judge each case on its merits
               Discretionary - based on circumstances / situation
               Up to employee

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer

97   EDITOR CANNOT DEAL WITH

<u>NOTE</u>: If a mixture of paid and unpaid leave, enter multiple codes as appropriate.

Variable to be coded:	**ISELCOTH**
New variable:	**XISELCO**
Type of question:	Other, please specify
Question text:	Who selects employee representatives for the health and safety committee?
Routing:	{If no elections to appoint employee representatives to the health and safety committee (IELCOM = No)}
Page in edit programme:	66/123

Enter at most three values

<table>
<tr><td>01</td><td>Employees
<i>Staff choose reps but there is no election</i>
<i>Staff nominate people</i>
<i>The employees appoint the shop steward who serves on the H.S.
    Committee</i></td></tr>
<tr><td>02</td><td>Existing committee representatives</td></tr>
<tr><td>03</td><td>Unions or staff associations
<i>By agreement with union (multi-code)</i></td></tr>
<tr><td>04</td><td>Managers
<i>Area managers</i>
<i>Governors</i>
<i>By agreement with union (multi-code)</i></td></tr>
<tr><td>05</td><td>No selection - e.g. volunteers (EXCLUSIVE CODE)
<i>Self-selection: they volunteer</i>
<i>Depends on availability</i></td></tr>
<tr><td>06</td><td>Original 'Other please specify' code (NO LONGER VALID)</td></tr>
</table>

07   Part of job description
        Goes with the appointment
        By status, e.g. Head of Year Teacher, All managers
        It's a paid job
        Rota from the staff

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded: **ISELROTH**
New variable: **XISELRE**
Type of question: Other, please specify
Question text: Who selects employee health and safety representatives?
Routing: {If no elections to appoint health and safety representatives,
                               where there is no H&S committee (IELREP = No)}

Page in edit programme: 66/123

Enter at most three values

01	Employees
	Staff choose reps but there is no election
	Staff nominate people
	The employees appoint the shop steward who serves on the H.S.
	Committee
02	Existing committee representatives
03	Unions or staff associations
	By agreement with union (multi-code)
04	Managers
	Area managers
	Governors
	By agreement with union (multi-code)
05	No selection - e.g. volunteers (EXCLUSIVE CODE)
	Self-selection: they volunteer
	Depends on availability
06	Original 'Other please specify' code (NO LONGER VALID)

07   Part of job description
         Goes with the appointment
         By status, e.g. Head of Year Teacher, All managers
         It's a paid job
         Rota from the staff

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

57

Variable to be coded:	**ICONSOTH**
New variable:	**XICONSU**
Type of question:	Other, please specify
Question text:	If a health and safety issue arises at this workplace, what steps, if any, do you take to inform and consult with employees?
Routing:	{If no committee and no reps (ICOMMTEE=0 OR IOTHREP=2)}
Page in edit programme:	66/123

Enter at most three values

---

01   No steps(EXCLUSIVE CODE)
            None

02   Newsletters/notice board/e-mail
            Memo
            Intranet
            Communication book
            Health and safety book
            I put it in writing
            Updating staff handbook
            Special Health and Safety website

03   Communicate through management chain/cascade
            Told in the course of their work
            Toolbox talks

04   Management-staff meetings/consult directly with workforce
            Have a meeting and communicate directly with the workforce
            Convene meeting to discuss/resolve issue
            Just tell employees about anything relevant
            They just come and talk to us
            Talk to them
            Talk to and inform them

05   Original 'Other please specify' code (NO LONGER VALID)

---

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
            E.g. *inform safety officer*
97   EDITOR CANNOT DEAL WITH

Note: Answers in Code 3 must reflect some kind of 'chain' or 'cascade' flow of information.
Any kind of direct communication should be Code 4.
(This presents a slight change in approach to WERS5).

Variable to be coded: **JWHYOUOTH**
New variable **XJWHYOU**
Type of question: Other (please specify)
Question text: Why was this activity or service contracted-out?
Routing: {If sub-contracted work was originally done by employees of the workplace (JYR5EMP=1)}

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Enter at most three values

01	Cost savings
02	Improved service
	To make sure it was actually done (e.g. cleaning)
	It is better/they can devote more time to it than we can
	More professional service
	More efficient
	Specialist knowledge
	Inability to provide service in-house
03	Able to focus more on core business activities
	At my request as didn't have time to do the payroll
04	Greater flexibility
	Flexibility
05	Original 'Other, please specify' code (NO LONGER VALID)

06   Compulsory competitive tendering/government regulations
            Government policy
            Compulsory competitive tendering
            Government contract enforced on the workplace
            Act of parliament
            Government legislation
            Statutory requirement
            Government brought in competitive tendering
            Government legislation forced to put catering out
            Changes in the law I think
            Because of tendering regulation brought in by the Government
            Government privatisation
            Legislation
            CCT arrangement
            PFI scheme

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
            Change in the lease of the building (e.g. meaning that cleaning is now included in the rent)
96   Vague / irrelevant answer
            For security reasons
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**JWHYINO**
New variable	**XJWHYIN**
Type of question:	Other (please specify)
Question text:	Why (were these activities / was this activity) or service brought in-house?
Routing:	{If work brought in house (JCONIN<12)}

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Enter at most three values:

<table>
<tr><td>01</td><td>Cost savings
Cheaper</td></tr>
<tr><td>02</td><td>Improved service
Better standards
Provider did not deliver
Greater control and flexibility
Dissatisfaction with outsourced service
Impossible to get people with right commitment
Proved unsuccessful</td></tr>
<tr><td>03</td><td>Original 'Other, please specify' code (NO LONGER VALID)</td></tr>
</table>

04   Union/staff pressure
         Pressure from staff representatives
         Staff preferred it

05   Sufficient in-house capability
         Reduced need and can do more ourselves
         The site was not busy to justify it
         Staff capable of doing it
         The organisation had trained its own trainers
         Had time to do it in house
         Because we took over and this is how we did it
         To give employees opportunity to earn more money
         Using bespoke skills internally

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
         To cope with business growth
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**JWHYTEOTH**
New variable	**XJWHYTE**
Type of question:	Other (please specify)
Question text:	Why are you using temporary agency staff?
Routing:	{If agency temps (EPQ.ZAGENCY>0 or ZANYAGY=1) }

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Enter at most three values

<div style="border:1px solid">

01   Matching staff to peaks in demand
Uncertainty or variability in demand for permanent posts
Waiting to see if we need a full time post
To avoid redundancies by avoiding permanent contracts
Not really economic to run our own pool of people on a floating basis
Flexibility
Peak workload
Unsure of future workload

02   Short-term cover for staff absence/vacancies

03   Cover for maternity leave or annual leave
Cover for people on secondment

04   Unable to fill vacancies

05   Obtain specialist skills
Need for new PC system to convert to dollar currency

06   Freeze on permanent staff numbers

07   Original 'Other, please specify' code (NO LONGER VALID)

</div>

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
We are going through change
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded: **JWHYFIOTH**
New variable   **XJWHYFI**
Type of question: Some other reason (please specify)
Question text: Why are you using fixed-term contracts?
Routing: {If fixed-term employees (EPQ.ZFIXTERM>0 or ZANYTEM=1)}

Page in edit programme: 71/123

Enter at most three values

01	Spur to improved performance
02	Obtain specialist skills
	Specialised teacher in subject needed
	Specialist contract which has a fixed time
03	As a trial for a permanent job
	Hiring in advance of new sales to allow time for training if it does not work they can be let go
	Trainee solicitors are on 2 yr contracts as part of their training
	Doubts as to suitability of person
	Apprentices
	Standard with industry doctors on training posts
	Everybody starts with a 12-month contract
	Uncertain of the benefits that will come from the post
04	Freeze on permanent staff numbers
05	Temporary increase in demand
	To cover a short notice vacancy
	Gives flexibility
06	To cover for maternity leave/long-term absence
	Maternity / Maternity cover
	Sickness of permanent employees
	To cover for leave or absence
07	Original 'Some other reason, please specify' code (NO LONGER VALID)

08   Time-limited funding
                Allocated funding for a fixed period
                Because work is project funded
                Short-term funding
                Funding limitations
                They are employed by external grants/ externally funded posts

09   Budget restrictions or financial constraints
            Budget restrictions
            Budget uncertainty
            Financial constraints
            Inability to forecast the financial future
            Don't know whether we can afford the post
            Financial uncertainty

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
            Requirement of degree
            Personal choice of individual
            To match staff requirement industry standard
            Pending restructuring / reorganisation
96   Vague / irrelevant answer
            Re evaluation of department
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**JREDREOTH**	
New variable	**XJREDR**	
Type of question:	Some other reason (please specify)	
Question text:	You mentioned at the beginning of the interview (that ZREDUND / that some) employees had been made redundant from this workplace in the last 12 months. What have been the main reasons for the redundancies?	
Routing:	{If any redundancies (ZREDUND>0 or ZREDDK=1) }	
Page in edit programme:	71/123	

Enter at most three values

01	Lack of demand for products/services
	Variation in demand for work
	End of work/service contract
	Reduced workload
	Loss of client contracts
	Skills no longer required
	Service no longer provided
02	Shortage of materials
03	Automation/mechanisation/new equipment
	New computer
	Developments in IT / software / technology
04	Reorganised working methods
	Re-structuring
	Re-organisation
05	Improved competitiveness/efficiency/cost reduction
06	Merger with another establishment or organisation
	Consolidating two small businesses into one
07	Industrial disputes
	Management dispute
08	Reductions in budget/cash limits
	Reduction in NHS management costs
	Expiry of time-limited funding
	Reduction in funding
09	Original 'Some other reason, please specify' code (NO LONGER VALID)

10	Subcontracting of work
	Transfer of our service to private sector
	Outsourcing

11   Impending closure of workplace
            Going into administration
            Closures in division of workplace

12   Relocation of work to another site
            Moved work overseas
            Relocation abroad

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded: **JISSOTH**
New variable   **XJISSCO**
Type of question: Other issues (please specify)
Question text: What issues did the redundancy consultation cover?
Routing: {If consultation took place through union, JCC or employee
                             reps (JWHOCON=1, 2 or 3)}

Page in edit programme: 72/123

Enter at most three values

01   Options for reducing the number of redundancies
   Number of employees affected
   Early retirement
   Natural wastage
   Reduction in hours
   New areas of work
   Retraining
   Redeployment / Opportunities for redeployment
   Transfer to other sites
 	
02   Criteria for selection
   Voluntary redundancies
   Methods of selection
   Areas target
   How they were picked
 	
03   Redundancy payments
   Redundancy package
 	
04   Original 'Other issues, please specify' code (NO LONGER VALID)

05   Reasons for Redundancies
   We explained reasons for redundancies
   Justification for the redundancies

06   Details of applying redundancies:
   Period of notice
   Timing

07   Preparing Employees for Redundancy:
   Help with CV's & application forms/interview technique
   Counselling / support services
   Information about benefit system
   Time off for job interviews
   Making facilities available e.g. Job shops

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**JCHANOTH**
New variable	**XJCHANX**
Type of question:	Other changes (please specify)
Question text:	Did the consultation lead to any of the following changes in managers' original proposals?
Routing:	{If consultation (JREDCON1 = Yes)}
Page in edit programme:	72/123

Enter at most three values

---

01   Reduction in the number of redundancies
        Alternative jobs identified
        Increase in number of posts
        Re-deployment
        Transfers within the group
        Moved to another available job

02   Changes in the criteria for selection

03   Increase in redundancy payments

04   Alternatives to redundancy

05   Preparing employees for redundancy

06   Strategies for redeployment

07   Original 'Other changes, please specify' code (NO LONGER VALID)

08   None of these (EXCLUSIVE CODE)

---

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**JUHOTH**
New variable	**XJUHOUR**
Type of question:	Other (please specify)
Question text:	I now want to ask you about working hours at this workplace. Which of the following describes the usual operating days of this workplace?
Routing:	{Asked of all}

Page in edit programme: 72/123

Code **only one** of the following:

---

01   Monday to Friday
        (*Including a nine day fortnight*)

02   Six days a week

03   Seven days a week

04   Original 'Other, please specify' code (NO LONGER VALID)

---

05   Monday to Friday with occasional (but regular) weekend working
                Five and a half days a week
                Mon-Fri and every other weekend
                Mostly Mon-Fri but enquiry office opens Sat affecting a few staff

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Note: If answer is along the lines of different days for different employees, we are after the operating hours for the entire workplace. So if some employees work 7 days a week Code 03.

Variable to be coded:	**KREQOTH**	
New variable:	**XKREQUI**	
Type of question:	Other (please specify)	
Question text:	When providing goods or services to other organisations, are you ever required to give those organisations information about any of the following employment conditions at this workplace?	
Routing:	{If trading sector and trading externally to other organisations ASTATUS= 1 to 8 and (KACTIVS = 2 or KACTIVM = 2)}	
Page in edit programme:	76/123	

Enter at most three values

00	No, not required to give any information (EXCLUSIVE CODE)
01	Rates of pay
02	Working hours
03	Holiday entitlements
04	Pension entitlements
05	Training provision *Training undertaken by staff*
06	Grievance or disciplinary procedures *Employment Tribunal claims*
07	Equal opportunities and diversity
08	Health and safety
09	Original 'Other, please specify' code (NO LONGER VALID)

95 Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
        For absence
96 Vague / irrelevant answer
        Experience of staff
        Qualifications of Staff
97 EDITOR CANNOT DEAL WITH

NOTE: A number of verbatims refer to items that are not related to employment conditions, e.g. *environmental policy, quality certification, public liability insurance, ability to fulfil the contract (such as experience and qualifications of staff)*. These should be coded as a '96 – vague / irrelevant answer[3].

---

[3] It will be at the analysts discretion how these are used. If this code appears without any other codes, recommendation would be to recode entire question to a code '00 – no, not required to give any information'.

Variable to be coded: **KHOWMOTH**
New variable   **XKHOWMX**
Type of question: Some other way (please specify)
Question text: How do you monitor the quality of the work undertaken at
                           this workplace?
Routing: {Asked of all}

Page in edit programme: 76/123

Enter at most three values

---

01   Managers/supervisors monitor quality
                My wife and I keep an eye on things/everyone helps each other
                I check it myself
                Supervision
                All jobs reviewed by partner
                Appraisals

02   Inspectors in a separate department/section monitor quality
                Internal quality check on all products leaving the factory
                We have a quality assured personnel person to check products
                Internal audit team
                Company inspectors
                Self-Assessment Report

03   Individual employees monitor quality
                Annual review with anonymous information from colleagues

04   Keep records on level of faults, complaints, customer feedback
                Help desk statistics
                Customer complaints
                Refunds through customer service desk
                Through customers reaction or complaints
                Warrantee returns

05   Customer surveys
                Residents committee
                Have user voice
                Have constant dialogue with customers
                Customer feedback
                Visits to clients
                Feedback from companies we do work for
                Client evaluations

---

06   External auditing, e.g. third party inspections, mystery shoppers
           External audit or inspection
           Quality audit by an external body (e.g. the Higher Education Funding Council of England –HEFCE-, the Department for Education DfE, research sponsors, the Legal Services Commission, the Law Society, Social Services Inspectorate, OFSTED, the Arts Council, etc.)
           Teaching and quality assessment nationally
           HM inspector of schools
           Mystery visitor/auditor
           Mystery guests/customers/visitors
           External quality control
           External assessors
           Star awards schemes (e.g. AA, Michelin)
           An external target set by a national body (e.g. the NHS)

07   Original 'Some other way, please specify' code (NO LONGER VALID)

08   None, quality not monitored (EXCLUSIVE CODE)

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
           National care standards (says nothing of how they monitor quality against these standards).
97   EDITOR CANNOT DEAL WITH

Variable to be coded: **KPERFIOTH**
New variable: **XKERFIS**
Type of question: Other (please specify)
Question text: Which of these measures corresponds most closely to your interpretation of financial performance?
Routing: {Asked of all}

Page in edit programme: 76/123

Code **only one** of the following:

01	Profit
	Surplus
02	Value added
03	Sales
	Turnover
	Income from selling our services
04	Fees
05	Budget
	Level of funding
06	Costs
07	Expenditure
08	Stock market indicators (e.g. share price)
09	Original 'Other, please specify' code (NO LONGER VALID)

10   Cash position
          Balancing the books
          Cash flow
          Solvency

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

If any of the following responses have been recorded - *not applicable, does not feel able to answer, not a meaningful question, not relevant, not measured by financial performance –* please code these as code 97.

NOTE: A number of verbatims cite non-financial measures, e.g. *education, health and wellbeing of patients, good OFSTED report, patient satisfaction, quality of service, combination of student numbers and achievement levels.* These should be coded as a '96 – vague / irrelevant answer[4].

---

[4] It will be at the analysts' discretion how these are used.

Variable to be coded: **LRECACTOTH**
New variable   **XLREAC**
Type of question: Other (please specify)
Question text: Which other actions were taken by your workplace in response to the most recent recession?
Routing: {Asked of all}

Page in edit programme: 79/123

Enter at most three values

01	Compulsory redundancies
02	Voluntary redundancies
03	Temporary freeze on recruitment to fill vacant posts
	Not replacing staff who leave
	Not able to recruit
	Tight controls on recruitment / Vacancy control
04	Postponement of plans for expanding the workforce
05	Freeze or cut in wages
06	Reduction in non-wage benefits
	Taken away company cars
	No longer provide meals
	Reduction in paid leave (e.g. first 2 days of sick leave unpaid)
07	Reduction in basic hours
	Employees work 4 days instead of 5
08	Reduction in paid overtime
09	Employees required to take unpaid leave
10	Reduction in the use of agency staff or temporary workers
11	Increase in the use of agency staff or temporary workers
12	Reduction in training expenditure
13	Change in the organisation of work
14	Original 'Other, please specify' code (NO LONGER VALID)
15	No action taken affecting workforce (EXCLUSIVE CODE)

16   Employees required to increase workload
        Employees expected to take on more work
        Employees have to work longer hours for same pay

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE

96   Vague / irrelevant answer
          TUPE (e.g. staff being TUPEd)
97   EDITOR CANNOT DEAL WITH

Note: Question specifically asks about actions that affect the workforce. So answers like 'cut in budgets' or 'gaining new business' should be coded '96-Vague answer'.

Stage 1, Part 2: Coding Instructions for the Worker Representative Questionnaire (WRQ)

The same rules apply for the coding of the Worker Representative questionnaire. If there is to be any backcoding, you will be taken directly to these questions simply by pressing the 'End' key.

Variable to be coded: **WAPROTH**
New variable: **XWAPRX**
Type of question: Other (please specify)
Question text: In the last 12 months, which of these issues have you spent any time on in your job as (a union representative / an employee representative)?
Routing: {Asked of All}

Page in edit programme: 3/15

Code as many as apply

<div style="border:1px solid black; padding:10px">

01   Rates of pay
            Job evaluation
            Equal pay
            Bonuses

02   Hours of work
            Meal breaks and being late off from work
            Shift patterns
            Short-term working

03   Holiday entitlements

04   Pension entitlements

05   Recruitment or selection of employees

06   Training of employees
            Learning
            Lifelong learning
            Staff development career review

07   Disciplinary matters or grievances
            Bullying and harassment

08   Staffing levels
            Redundancies / Redundancy policy
            Redeployment
            Job retention during a school amalgamation
            TUPE (Transfer of Undertakings Protection of Employment)
            Closure or cessation of services

09   Equal opportunities and diversity

10   Health and safety

11   Performance appraisals
            Probation

</div>

12	Original 'Other please specify' code (NO LONGER VALID)

13   Absence or staff sickness
            Absence management

14   Working practices
            Change in working practices
            Curriculum issues / Cutting courses
            Effective working
            People's questions as to what they should do as a nurse
            Production or service issues

15   Work-life balance arrangements
            Maternity leave
            Paternity rights

95   Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
            Reorganisation of workplace
            Uniforms
            Car parking, toilets
            Personal contracts

96   Vague / irrelevant answer
97   EDITOR CANNOT DEAL WITH

Variable to be coded:	**WGEMPROT**	
New variable:	**XWGEMPX**	
Type of question:	Some other reason (please specify)	
Question text:	Which other changes have taken place in the workplace in the last two years?	
Routing:	{Asked of All}	

Page in edit programme: 10/15

Enter at most three values

01	Redundancies
02	Change in the use of agency staff or temporary workers
03	Freeze or cut in wages *Re-grading jobs to a lower grade so that they are paid less*
04	Introduction of performance related pay
05	Changes in working time arrangements *Overtime restrictions*
06	Changes in the organisation of work, work techniques or procedures
07	Original 'Other please specify' code (NO LONGER VALID)
08	None of these (EXCLUSIVE CODE)

95	Other specific answer: EDITOR: PLEASE USE CODES ABOVE IF POSSIBLE
96	Vague / irrelevant answer
97	EDITOR CANNOT DEAL WITH

<u>NOTE</u>: if original code used = 07 and back-coding possible into code 01- 06, please transfer codes given at WGCONRE7 and WGCHANG7 to appropriate WGCONRE and WGCHANG questions.

Stage 1, Part 3: Coding Instructions for Questions referred to Research

DSELOTH

If response is 'All employees are members' then:

- Examine the case to determine whether it is in fact a real JCC. As a JCC needs to have representative structure and cannot consist of 'all employees'.

FWHEROTH

If response is 'Local government' then:

If workplace is known to be part of local government then use code 3, as most local government settlements are national.

If workplace is known NOT to be part of local government then find out who the workplace and LOG are to help you interpret this for back-coding.

FWHE2OTH

If response is 'Local authority' then:

If workplace is known to be part of local authority then use code 3, as most local authority settlements are national.

If workplace is known NOT to be part of local authority then find out who the workplace and LOG are to help you interpret this for back-coding.

If the response mentions any Head Office located abroad, or any regional or head office located in the UK belonging to the same organisation then:

Check the response at ASINGLE. If they have a head office at home or abroad they should be ASINGLE=1 or 3. Recode ASINGLE (See Stage 3 Check 16 for further details on this), and code FWHEREX=2.

FSOC1OTH-9

If the response is 'nationally determined':

Find out the type of workplace and the occupational group to assist you in coding correctly. E.g. if it was teachers in a state school, we would code to 7; if it was a construction trade covered by an industry agreement, we would code to 1. Some will inevitably go to code 96.

Workplace Employment Relations Study 2011 (WERS6)

Stage 2: Editing Instructions for the Office Edit

Version 1.4
26/04/12

Edit checks to be resolved by the office team

All the following checks have been programmed into the Blaise edit programme. In most cases where checks 1 to 24 are triggered, the office team is required to refer to the paper EPQ document to see whether the discrepancy is due to an answer being incorrectly transferred from the paper document to the CAPI questionnaire. If the office team is satisfied that it has been correctly transferred, the check should be suppressed. There are also a number of edit checks that relate to the coding of the largest occupation group and the standard industrial classification.

First you need to code the following as a code '2' – office edits on.

Switch the Research only edits on?
1. **Yes**
2. **Office**
3. **No**

Edit checks requiring reference to the paper EPQ
There are 25 checks on the EPQ. The same generic rules apply when trying to resolve each of these checks. The basic protocol is to check the paper EPQ to look for transcription errors on the part of the interviewer. The rules are listed below using bullet points. The rules are followed by a list of the checks. Any additional rules or comments that are specific to a particular edit check are noted with the description of that check.

Rules for Office EPQ checks 1-25

- Check figures / information against paper EPQ to see if data has been entered correctly.
- If figures / information have been entered correctly note that you have checked EPQ on the Fact sheet and suppress check.
- Look for interviewer notes that comment on the problem (there should always be a note when this check could not be resolved).
- If figures / information have been entered incorrectly amend the CAPI data and see if this corrects the problem.
- If after amending a check is still appearing, write the original and changed figures / information onto the Fact sheet and suppress the check.
- If none of the above apply, and the errors appears to have arisen merely through reporting errors on the part of the respondent, the check should be suppressed.
The EPQ figures should not be changed arbitrarily simply to make them all internally consistent.

EPQ Edit Checks

Check 1. **If the total number of managers and senior officials given at EPQ.Q2 does not equal the total number of managers and senior officials given at EPQ.Q3.**
There is a soft check in the interview CAPI programme for this, but if the interviewer has suppressed it and continued without sorting out the mis-match in figures this check will come up in the edit.

Check 2. **If the total number of employees in all other occupations (i.e. not managers and senior officials) given at EPQ.Q2 does not equal the total number of employees given in all other occupations given at EPQ.Q3.**

There is a soft check in the interview CAPI programme for this, but if the interviewer has suppressed it and continued without sorting out the mis-match in figures this check will come up in the edit.

- Take great care where editing EPQ.Q2 – changing the figures should NOT lead to a change in the identity of the Largest Occupational Group (LOG) at the workplace. If you think that the figures need to be changed in such a way that will change the LOG for that workplace, flag for a Researcher.

Check 3. **If the total number of full-time employees plus total part-time employees does not equal ZALLEMPS.**
There is a soft check in the interview CAPI programme for this, but if the interviewer has suppressed it and continued without sorting out the mis-match in figures this check will come up in the edit.

Check 4. **If the number of employees aged under 18 is greater than 20% of total employees at the workplace (Z16T17 / ZALLEMPS) (Paper EPQ Q6).**

Check 5. **If the number of employees aged 18-21 is greater than 30% of total employees at the workplace (Z18T21 / ZALLEMPS) (Paper EPQ Q6).**

Check 6. **If the number of employees 50 or over is greater than 50% of total employees at the workplace (Z50PLUS / ZALLEMPS) (Paper EPQ Q6).**

Check 7. **If the number of employees from a non-white ethnic group is greater than 65% of total employment at the workplace (ZETHNIC / ZALLEMPS). (Paper EPQ Q6).**

Check 8. **If the number of disabled employees is greater than 10% of total employees at the workplace (ZDISAB / ZALLEMPS). (Paper EPQ Q6).**

Check 9. **If the number employees on fixed term contracts is great than 90% of total employees at the workplace (ZFIXTERM / ZALLEMPS) (Paper EPQ Q7)**

Check 10. **If the number of employees earning £5.93 is greater than 95% of total employees at the workplace (ZWAGEA / ZALLEMPS) (Paper EPQ Q8).**

xEPQQ **For version I_101_1a or any of the previous versions, listed below, use code 93 "check not triggered/not answered"**
I_011_1a
I_021_1a
I_021_1b
I_031_1a
I_041_1a
I_051_1a
I_101_1a

Check 11. **If the total number of employees at ZWAGEA to ZWAGEF does not equal the total number of employees at the workplace (ZWAGEA, ZWAGEB, ZWAGEC, ZWAGED, ZWAGEE, ZWAGEF / ZALLEMPS) (Paper EPQ Q8).**
There is a soft check in the interview CAPI programme for this, but if the interviewer has suppressed it and continued without sorting out the mis-match in figures this check will come up in the edit.

Check 12. **If the number of union members is more than the total number of employees in the workplace (ZUNIMEM/ZALLEMPS) (Paper EPQ Q9).**
There is a soft check in the interview CAPI programme for this, but if the interviewer has suppressed it and continued without sorting out the mis-match in figures this check will come up in the edit.

Check 13. **All of the names of the 'other' trade unions have been coded by interviewers using the 'look-up' table during the interview. (Paper EPQ Q11).**
  a. ALL coded 'other' unions need to be checked to ensure that the Union selected in the lookup table matches the name that has been entered by the interviewer at the OTHUNI question. Each OTHUNI response should match the DVOUNm variable that immediately follows it in the CAPI programme. If it matches then proceed, if it DOES NOT MATCH then please press the space bar at the relevant DVOUNm question and use the lookup table to search and ensure the correct union name is selected. **Be cautious – many unions have very similar names or acronyms.**

  b. Checks will appear where a non-specific/generic union code is entered i.e. 997, 9998, 9999.

  • Check the name that has been entered at OTHUNI or look for an interviewer note that might give the actual name of the union.

  • Try this specific name in the look-up table to see if you can find an exact match.

  • If Police Federation or Police Association has been recorded, please code 'Police Association / Federation' (code 79) from the look up table.

  • If the coded union changes, we need to ensure that the associated CAPI derived variables (such as DVOUNm, FWHIUCD7, DVAbb etc in the MQ and WUNMICODE, WUNICOD2, WDVAbb and WDVAbb2 in the WRQ are all changed in line with the newly corrected coded union.

  • Otherwise refer to Research.

Check 14. **If the absence rate is equal to or greater than 20% (ZABSENCE). (Paper EPQ Q12).**

Check 15. **If the number of agency workers (ZAGENCY) is greater than 50% of ZALLEMPS. (Paper EPQ Q13).**

  • Check ASICDESC to see if the establishment is a recruitment agency: it may have inadvertently recorded its employees as temps. If this appears to be the case, refer the case to the research team.
  Note: Most recruitment agencies will have a small number of employees, then lots of temps on their books. In these cases, the employees should be classified as employees and the temps should be wholly ignored (unless they are actually temping at the sampled workplace). However, some recruitment agencies, such as Manpower, have their 'temps' on employee contracts. So may need to refer to researcher with name of the workplace.

- Also look at the industry sector. Some sectors, such as care work, use a lot of temps (in nursing these are usually called bank staff). If this is the case, the check can be suppressed.

- If none of the above apply, and there is no reason to be suspicious, the check can be suppressed.

Check 16. **If the number of employees compared with 12 months ago has been reported to be less than 0.5 or greater than 2 (ZEMP1AGO / ZALLEMPS). (Paper EPQ Q14).**

Check 17. **If ZEMP1AGO ='0'. Check AHOWLONG to see if the workplace was not in operation a year ago.**

Check 18. **If there has been a large number of resignations in the past 12 months (ZRESIGNED / ZEMP1AGO > 0.65). (Paper EPQ Q15).**

Check 19. **If there has been a large number of dismissals in the past 12 months (ZDISMISS / ZEMP1AGO > 0.20). (Paper EPQ Q15).**

Check 20. **If there has been a large number of redundancies in the past 12 months (ZREDUND / ZEMP1AGO > 0.30). (Paper EPQ Q15).**

Check 21. **If there has been a large number of other leavers in the past 12 months (ZOTHER / ZEMP1AGO > 0.30). (Paper EPQ Q15).**

Check 22. **If the total number of leavers as a proportion of all employees present 12 months ago is large (ZSTILL or ZSTILL2 / ZEMP1AGO <0.20). (This question is not in the paper EPQ, but is in the CAPI EPQ).**

Check 23. **If a very large or small change in the number of employees compared with 2004 has been reported (ZEMP6AGO / ZALLEMPS <0.10 or >5.0 and ≠0). (Paper EPQ Q16).**

Check 24. **If there were no employees in 2004 (ZEMP6AGO ='0') and the workplace is seven or more years old (AHOWLONG and AHOWEST).**
AHOWLONG>=7 or AHOWEST>=2

- If scanning errors not identified suppress the check

Check 25. **If there were employees in 2004 (ZEMP6AGO ≠'0') and the workplace is less than seven years old (AHOWLONG and AHOWEST).**
AHOWLONG<7 or AHOWEST<3

- If scanning errors not identified suppress the check.

FPQ Edit Checks
Check 26. **FPQ editing will be conducted as a separate exercise. This has been moved to the FPQ edit instruction document.**

MQ Edit checks
Checks 27-44

Check 27. **If SType is blank.**
A technical problem has resulted in a handful of cases where SType was blank for the interviewer. For these, certain questions would not have come on route during the interview. The factsheet will read "Sample type information (SType) is empty in Interview. There are questions Routed in Edit." SType has been populated post-interview for these cases.

- Please select code 7 "Routed in Edit at "Amalg1" & "Amalg2" and in the Admin Block at "Screen"

Check 28. **If ASTATUS has been multi-coded the check should be triggered unless the multicode is 3 [guar] and 5 [trust].**
To resolve the check:

- Check LUNAME or the organisation's web-site to see if the dual coding is plausible. If it is, leave it and suppress the check.

- If the dual coding does not look plausible, remove the least plausible code. The sample file may provide some guidance here as to the most plausible code: the variable LEGALST indicates the legal status of the enterprise according to the information provided to the IDBR. The full code frame for LEGALST is as follows:
  1 - Company (incl. Building Society)
  2 - Sole Proprietor
  3 - Partnership
  4 - Public Corporation/Nationalised Body
  5 - Central Government
  6 - Local Authority
  7 - Non-profit Body or Mutual Association

- If you need to recode a workplace from Public to Private sector on ASTATUS, the following questions may come onto the route:

  - AUCC   Compare AORGNAME with EUNAME on sample file
  - AUCCNAME   Code from sample file (EUNAME)
  - ALIST   Code 'Not answered' (CTRL + R)
  - AFRANCH   Code 'Not answered' (CTRL + R)
  - ACONIN25   Code 'Not answered' (CTRL + R)
  - ACONIN50   Code 'Not answered' (CTRL + R)
  - AOWNMAN   Code 'Not answered' (CTRL + R)
  - ACONTROL   Code 'Not answered' (CTRL + R)
  - AHEADOFF   Code from sample file (Compare LUADDR & EUADD)
  - ASUBSID   Code 'Not answered' (CTRL + R)
  - BBOARD   Code 'Not answered' (CTRL + R)
  - FSHARE   Code 'Not answered' (CTRL + R)
  - KINTTEXT to KREQUIRE   Code 'Not answered' (CTRL + R)

6

- MFPQ   Code 'Not answered' (CTRL + R)

- Otherwise refer to Research.

Check 29.   **If AHOWCX = 4-10 [AggT..EmpB], ASTATUS should be in range 1-7 [PubC..Coop].**
If it isn't the check should be triggered. *(A workplace currently in the public sector has reported a recent takeover, merger, sale, privatisation or buy-out.)*
This is impossible. Either the takeover / merger / sale / privatisation / buy-out did not occur, or the workplace is now in the private sector.

To resolve the check:

- Refer to the Fact Sheet. The variable LEGALST indicates the legal status of the enterprise according to the information provided to the IDBR. Values 4, 5 and 6 indicate that the local unit is part of the public sector. A full code frame for LEGALST is provided under Check 28 (above).

- FOR PANEL CASES: Refer to the 2004 data.

- Check organisation's web-site to see if a mistake was made in coding of ASTATUS.

- If ASTATUS is correct, delete the mention of takeover / merger / sale / privatisation / buy-out at AHOWCNG.

- If ASTATUS is incorrect, and needs to be recoded from Public to Private sector, questions that come on to the route or need to be changed are listed under Check 16 above.

- Otherwise refer to Research.

Check 30.   **If the respondent has been in the job longer than the workplace has been in existence (BLENGTH/AHOWLONG).**
There is a soft check in the interview CAPI programme for this, but if the interviewer has suppressed it and continued without sorting out the mis-match in figures this check will come up in the edit.

- If similar number of years (±2 years) suppress the check.

- Please refer to interviewer notes, which may assist with the resolution.

- It could be that the respondent maybe including years in a job elsewhere in the wider organisation, not at that workplace. If ASINGLE = 1 (MULTI- one of a number of different workplaces in the UK belonging to the same organisation) this is likely to be the case. Refer this information to BIS.

- Otherwise refer to BIS, who will decide if the inconsistency should be addressed by coding BLENGTH to missing or to equal to AHOWLONG if the respondent has worked elsewhere in the organisation.

Check 31.   **If number of employees in largest occupational group who are formally trained to do a job other than their own is greater than the number of employees in this group (COTHJOBT/ LOGTOT)**

There is a soft check against number of all employees but this question refers to largest occupational group.

- It is possible that the respondent forgot exactly how many employees are in the largest occupational group. If the number is similar (i.e. within 20%) adjust COTHJOBT and suppress check.

Check 32. **If number of employees in largest occupational group who are doing jobs other than their own is greater than the number of employees in this group (COTHDOT/ LOGTOT)**
There is a soft check against number of all employees but this question refers to largest occupational group.

Check 33. **If number of employees in largest occupational group who work in formally designated teams is greater than the number of employees in this group (CTEAMST/ LOGTOT)**
There is a soft check against number of all employees but this question refers to largest occupational group.

Check 34. **If the percentage of employees who work on computers is greater than 100 and does not equal 997 (CCOMPUT).**

Check 35. **If the number of recognised unions with members is greater than the number of unions present at the workplace (ETOTREC2/ZUNIONUM).**

- Is likely to be a typo (because the question states the number of unions present).
- Check notes and EPQ for keying error? If not an obvious keying error then refer to research.

Check 36. **If the number of recognised unions without members at the workplace is greater than one and equals the number of recognised unions with members minus one (EADDNUM>1 and EADDNUM=ETOTREC2-1).**
The respondent may have confused the question to be asking how many other recognised unions are there with members (or members and no members).

- Examine ETOTREC2 and EADDNUM and try to reconcile the figures.

- If panel examine previous variables.

Check 37. **If HRAISEDX > ZALLEMPS. (The number of employees who raised grievances in the last 12 months is greater than the current number of employees at the workplace).**

- This is possible if employees who had raised grievances in the last 12 months are no longer employed at the workplace. If HRAISEDX=ZEMP1AGO suppress the check.

Check 38. **If HCOMNUM > ZALLEMPS. (The number of employees who have made an application to an Employment Tribunal in the last 12 months is greater than the current number of employees at the workplace).**

- This is possible if employees who had made an application to the Employment Tribunal in the last 12 months are no longer employed at the workplace. If HCOMNUM=ZEMP1AGO suppress the check.

Check 39. **If ASTATUS is in range [Gov..Local] and KERFIS is [profit] the check should be triggered.** *(A workplace currently in the public sector has reported that profit most closely corresponds to their interpretation of financial performance.)*
This is not possible, as public sector organisations do not make profits.

To resolve the check:

- FOR PANEL CASES: Refer to the 2004 data in 'additional data.xls'.

- FOR CROSS-SECTION CASES: Refer to the IDBR legal status code.

- Also, check organisation's web-site to see if a mistake was made in coding of ASTATUS.

- If ASTATUS is correct, suppress the check.

- If ASTATUS is incorrect, and needs to be recoded from Public to Private sector, questions that come on to the route or need to be changed are listed under Check 16 above.

- Otherwise refer to Research.

Edit checks relating to the SOC and SIC coding.

Check 40. **ZSOCDESC:**
The coded occupational classification (SOC2010) should match the occupation that was identified as the largest occupational group (the LOG) in the interview. The LOG is worked out by the CAPI programme from the data entered from the EPQ. Check appears when SOC2010 falls outside of the largest non- managerial group on EPQ. **Check triggered if LOG does not match the first digit of SOC2010**.

- Check ZSOCDESC has been coded correctly, if not change. (Note: If respondent mentions more than one occupation at ZSOCDESC, the SOC2010 coding should relate to first occupation mentioned at ZSOCDESC.)

- If ZSOCDESC is coded correctly, and the SOC2010 code begins with a '1' (i.e. falls under the 'Managers and other senior officials' group), refer to BIS.

- If ZSOCDESC coded correctly, check interviewer notes to see if respondent insisted on talking about group other than largest non-managerial occupational group (LOG). Might happen if another group functionally, if not numerically, the most important. If so, tab for Researchers (Researchers – add an overcode).

- If ZSOCDESC coded correctly and no interviewer notes look to see whether employees described in ZSOCDESC placed in wrong category by respondent in EPQ. (E.g. Estate agents in 'Sales' rather than 'Associate professional and technical', or Bar

staff in 'Caring, personal service and leisure' rather than 'Routine unskilled'.) If so, tab for Researcher. (Researchers – EPQ and FSOC will need to be re-coded).

- Researchers, please refer to further instructions on page 16.

Check 41. **ASICDESC not coded to full detail of SIC classification (i.e. 4/5 digits).**
Please check whether the Standard Industrial Classification has been correctly coded.

- Check ASICDESC to see if more detailed code can reasonably be assigned from the verbatim.

- Look at LUsic07_IDBR10 (the SIC on the IDBR on factsheet) to see if it is consistent at the level of aggregation ASICDESC has been coded to. If it is, assess whether it can be used as a reliable guide to what the more detailed classification for ASICDESC should be.

- Look at workplace name (LUNAME) – if it is a well-known company this may help you to assign a better code.

- Otherwise refer to Research.

Check 42. **FOR CROSS-SECTION CASES AND PANEL CASES WHICH COULD BE TRACED ONTO THE IDBR IN LATE 2010: SIC v IDBR: First two digits of SIC2007 should match.**
This is a check against the sample from which the WERS6 workplace was drawn. We would expect that the first 2 digits of the SIC2007 that has been coded, should match the SIC2007 from the sample file. The IDBR SIC2007 is identified on the factsheet (the fields LUsic07_IDBR10 and CLASSDESC). The first two digits of the SIC code assigned from ASICDESC should match LUsic07_IDBR10 (the SIC code from the IDBR on the factsheet)

- Check ASICDESC, LUsic07_IDBR10, CLASSDESC and LUNAME to see if a mistake was made in the SIC coding.

- Check for ambiguities in the response at ASICDESC – the precise meaning may have become clear when you look against LUsic07_IDBR10 / CLASSDESC.

- If the inconsistency cannot be resolved, tab for Researchers.

Note: It is sometimes the case that an establishment does a number of activities, with LUsic07_IDBR10 and ASICDESC recording different ones. Both should record the main activity, but respondents may differ in their interpretation of what is the main activity.

Note: CLASSDESC should override ASICDESC only when ASICDESC provides scant information and LUNAME confirms CLASSDESC to be accurate.

Check 43. **PANEL CASES ONLY. SIC v WERS5.**
First two digits of SIC2003 from current interview should match the SIC2003 from WERS2004 (W5CLASS on the Factsheet). This is a check against the sample from which the WERS6 Panel establishment was drawn – that is, the WERS 2004

interview. We would expect that the first 2 digits of the SIC2003 that has been coded, should match SIC2003 from the 2004 interview.

- Check ASICDESC, W5CLASS and LUNAME to see if a mistake was made in the SIC coding.

- Check for ambiguities in the response at ASICDESC – the precise meaning may have become clear when you look against W5CLASS.

- If the inconsistency cannot be resolved, tab for researchers.

Note: It is sometimes the case that an establishment does a number of activities, with W5CLASS and ASICDESC recording different ones. Both should record the main activity, but respondents may differ in their interpretation of what is the main activity

Note: W5CLASS should override ASICDESC only when ASICDESC provides scant information and LUNAME confirms W5CLASS to be accurate.

The following check moved to Stage 3:

Check 44.   ASTATUS v SIC2007: If ASTATUS=1-8, SIC2007 should NOT be in range 84.000-84.300. If ASTATUS>=9, SIC2007 should be in ranges 10.000-82.990 or 94.000-96.090.
This check relates to how the SIC has been classified, and whether a value has been given that is inconsistent with the answer given at the question ASTATUS. Values of ASTATUS from 1 to 8, are only applicable to private sector workplaces, therefore if the industry classification is, for example, applicable to the public sector, the check will appear.
Some allowable exceptions to the second check above include 49.311 (Underground) 53.100 (Post Office), 60.100 or 60.200 (BBC), 64,110 (Bank of England).

- Look at the workplace's name (LUNAME) to see if this indicates an error in the coding of ASTATUS (e.g. BT incorrectly coded as 'Public service agency' because it provides service to the public)

- Check ASICDESC, CLASSDESC and LUNAME to see if a mistake was made in the SIC coding.

- Some banks now may have some Government ownership. See notes:

- Code ASTATUS to both 1 and 8 if any of the following:
The Bank of England
Northern Rock
National Savings and Investments (NS&I)
RBS
Bradford and Bingley

Workplace serial numbers affected:
1040007
2041027
1063014

11

1066016
1071006
1082007
1002011
1005007
1016010
1026014
1029008
1061009
1071007
1075006
1114007
2019017
2047011
2062024
2097016
2110010
2116015
2116016
2118015
2118018
3057002
3109002
4014008
4021003
4096002

- Code ASTATUS to 1 only if Lloyds Banking Group

Workplace serial numbers affected:
1014007
1015009
1015010
1015011
1016009
1020006
1039014
1052007
1057013
1061008
1069008
1076004
1090009
1091010
1094009
1098006
1103003
1109004
1111013
2015010
2018023
2040012

2052015
2059030
2062023
2067011
2078008
2078009
2085019
2091021
2103010
2103011
2109015
2113018
2116013
3018002
3040002
3081002
3100001
3103002
4018005
4078004
4112006
- Otherwise refer to Research.

Check 45.   **WAUNOTH**
All of the names of the 'other' trade unions (WAUNOTH) have been coded by interviewers using the 'look-up' table during the interview.

  a. ALL coded 'other' unions need to be checked to ensure that the Union selected in the lookup table matches the name that has been entered by the interviewer at the WAUNOTH question. Each WAUNOTH response should match the WDVOUNm variable that immediately follows it in the CAPI programme. If it matches then proceed, if it DOES NOT MATCH then please press the space bar at the relevant WDVOUNm question and use the lookup table to search and ensure the correct union name is selected.
Be cautious – many unions have very similar names or acronyms.

  b. Checks will appear where a non-specific/generic union code is entered

  - Check the name that has been entered at WAUNOTH or look for an interviewer note that might give the actual name of the union.

  - Try this specific name in the look-up table to see if you can find an exact match. Be cautious – many unions have very similar names or acronyms

  - Otherwise refer to Research

  c. If the coded union changes, we need to ensure that the associated CAPI derived variables (such as DVOUNm, FWHIUCD7, DVAbb etc in the MQ and WUNMICODE, WUNICOD2, WDVAbb , WDVOUN2 and WDVAbb2 in the WRQ are all changed in line with the newly corrected coded union.

Check 46.   **If the hours spent on representative activities is greater than the total hours spent on representative activites and the job (WAHRSALL/WAHRSWRK).**
There is a soft check in the interview CAPI programme for this, but if the interviewer has suppressed it and continued without sorting out the mis-match in figures this check will come up in the edit.

  - Check the notes to see if there is an explanation as to why this is the case.

Check 47.   **If the respondent started being a worker rep at less than 18 years of age (WLAGE – WAREPYRS <18).**

  - There may be a typo at either WLAGE or WAREPYRS.

Check 48.   **WRQ: WDASKMEM.**
After WERS went live, a change was made to the routing of this question and an amendment to the program was implemented in the field. The program was amended and updated 26 October 2011 which should prevent the need for editing after this date.

For interviews prior to this when editing the data, we now have some cases where

(a) this question should have been asked by the interviewer (but wasn't) and this question is routed in Edit. In these cases please select code 7 "Routed in Edit"
(b) the routing isn't quite working in the interview program, because the question is on route, when it shouldn't be.

Editing instructions for researchers resolving office checks

The guidelines below are in addition to those already stipulated above for office checks, and should be used by researchers to help resolve outstanding office queries.

Check 40. **ZSCODE falls outside of the largest non-managerial group on the EPQ.**
The most likely explanation for a failure at Office Check 40 is that the respondent has either placed the LOG in the wrong category on the EPQ or ZSOCDESC has been incorrectly coded.

- First, double-check that ZSOCDESC has been given the correct SOC code by coders. Note: the SOC code should not be manipulated just to achieve a match with the placement of the LOG on the EPQ.
  If the description at ZSOCDESC is vague and could conceivably fit into various SOC groups please refer to BIS. BIS will then use the placement of the LOG, as this may provide further information that may assist in the coding decsion.

- Second, look for interviewer notes that explain the discrepancy. If interviewer notes indicate that the respondent has insisted on talking about group other than the largest non-managerial group (LOG) an overcode will need to be added. Please mark such cases for recoding at the end of fieldwork by writing the letter R, enclosed within a circle, in the 'signed off' column on the pink sheet.

- Third, if ZSCODE indicates that the respondent has placed the LOG in the wrong category at Q2 on the EPQ, these employees may need to be moved to the correct category on the EPQ (e.g. moved from SOC7 to SOC8).

  The decision to move them will depend on the difference between the two SOC groups. If the SOC groupings are adjacent (e.g. moving from SOC7 to SOC8), then follow instructions a) to c) below.
  If the SOC groupings are further apart (e.g. moving from SOC7 to SOC5), the case should be referred to BIS.

a) If the category they are being moved to (SOC8 in this example) is empty, this involves simply transferring all responses given about SOC 7 to the codes/questions relating to SOC8. Specifically:

  - The employment numbers for SOC7 would be moved to the SOC8 row in the EPQ grid.

  - Any references to FSOC7 need to be changed to refer to FSOC8 instead.

b) If the category they are being moved to is NOT empty, the employment numbers will be combined on the EPQ. Through the remainder of the questionnaire, we will assume that the responses for the new, combined group would have been the same as for the old LOG (since the old LOG will inevitably represent a majority of the new combined group). Specifically, if SOC3 were not empty in our example:

  - The employment numbers for SOC7 would be added to those already present in SOC8.

- The answers given for SOC7 on questions using the occupational code frame (e.g. CLOGVAC) would take precedence over answers given in respect of SOC8. Caution should *only* be exercised when the groups being combined are very similar in size (such that the old LOG does not represent a clear majority of the new group); in these cases researchers should make their own judgement on a question-by-question basis as to whether answers can be reliably inferred, or whether Don't Knows should be coded.

c) Questions referring to the LOG are listed here: ZSOCDESC; CLOGVAC; CINDUCT; CSTUCKIN; COFFJOB; COFFCHK; CTRAIN; COTHJOB; COTHJOBT; COTHDO; COTHDOT; CVARIETY; CDISCRETE; CONTROL; CDESIGN; CTEAMS; CTEAMST; CTEAMHOA; CTEAMHOC; CTEAMHOD; FSAMPAY; FREVIEW; FUPDOWN; FSET; FWHEREX; FWHERE2X; FCONS; FSOC1-FSOC9; FRISE; FCIDENT; FOTHTITL.

- However, FSOC1-FSOC9 are the only questions where data needs to be changed. Note: one must write down the FSOC code for the group being moved before they are reassigned on the EPQ. So, in the example, one must take a note of the response to FSOC7 so that one can fill in FSOC3 when it appears on the route. This is because FSOC7 will disappear from the route when the employees are moved out of SOC7 on the EPQ.

Check 41.   **ASICDESC not coded to full detail of SIC classification (i.e. 4/5 digits)**

- Look at the workplace name (LUNAME) – if it is a well-known company this may help you to assign a better code. Searching for the organisation on the internet may yield further information about the activities undertaken at the workplace in question.

Workplace Employment Relations Study 2011 (WERS6)

Stage 3: Researcher Checks

Version 2.5 – (7/3/12)

Researcher checks

The following is a list of researcher checks that have been added to the edit programme. These are only activated if the question ResEdOn is switched to 'yes'. All of these checks appear on the fact sheet if they have been triggered. The coder/editor will not record that a case has been fully edited until these have been dealt with by a researcher.

FOR PANEL CASES: There are some additional checks involving the comparison of the total number of employees, the Largest Occupational Group (LOG – identified as the group with the largest total in Paper EPQ.Q2) and union presence and recognition (as described below at check4 to the data collected in 2004. In order to help resolve the researcher checks, an additional spreadsheet has been created called 'Additional Data.xls.' This spreadsheet contains 2004 information such as Asingle, Astatus, Aconhead, Djoint, (to name a few) – and overcodes.

For WERS6, the Stage 3 researcher edits are to be undertaken by NatCen researchers. Unless specified otherwise, where the NatCen researcher is unsure about an editing decision, the case should be referred to the sponsors for resolution.

NOTE: The first two checks are checking the same thing – check 1 relates to Panel cases and check 2 to cross section cases. They are therefore mutually exclusive.

Check 1.   **PANEL CASES ONLY – ZALLEMPS**
Comparison of total number of employees in 2004 and 2011
Purpose of check: *This check is to establish whether the workplace unit for which the interview has taken place is correct; and that it hasn't included other workplaces.*

W5ZALLEMPS: employees in 2004
ZALLEMPS: employees in 2011

Check triggered:
If less than "10-24" employees in 2004 AND ZALLEMPS>=(2*W5ZALLEMPS)

Else if "25-49" employees in 2004 AND (ZALLEMPS <=0.5* W5ZALLEMPS OR ZALLEMPS >=1.5* W5ZALLEMPS)

Else if "50+" employees in 2004 AND (ZALLEMPS <=0.8* W5ZALLEMPS OR ZALLEMPS >=1.2* W5ZALLEMPS)

AND (if ZALLEMPS> W5ZALLEMPS AND (Amalg1/ScnQ8 ≠ 'yes' or AHOWCX ≠ 12))
OR (if ZALLEMPS < W5ZALLEMPS and AHOWCH ≠11))

To resolve the check:

- Are there any interviewer notes at **ZALLEMPS**?
    - Has the interviewer recorded anything which might explain the discrepancy? For example did the MQ have any problems defining the workplace? Have they included additional sites / employees?
    - If the note seems plausible for a consistently-defined workplace, the check can be ignored.
    - If the note arouses suspicion that workplace has not been consistently defined, check further by following steps below.

- Look at **Amalg1/ScnQ8** and **AHOWCX**.

  - In cases where **ZALLEMPS** is greater than W5ZALLEMPS:

    – If Amalg1/ScnQ8 is 'yes', suppress.
    – If AHOWCX is 12, suppress.

  - In cases where **ZALLEMPS** is less than W5ZALLEMPS, suppress if AHOWCX is 11.

- The profile of the workforce may differ in 2004 compared to 2011 if the workplace has not been consistently defined. Compare profile of male/female (**ZTOTMEN/ZTOTWOM**), full-time/part-time (**ZALLFTE/ZALLPTE**) employees in 2004 and 2011 (using 'Additional data.xls'). There may have been a change in the number of employees due to a change in the full-time/part-time composition. Also check profile by SOC group (**ZMGR_TOT, ZPRO_TOT, ZTEC_TOT, ZADM_TOT, ZSKL_TOT, ZPER_TOT, ZSAL_TOT, ZOPE_TOT, ZROU_TOT**). Check to see if the overall occupational profile has substantially altered.

- Consider whether the nature of the industry (**ASICDESC**) might give rise to routine fluctuations in employment numbers (e.g. seasonal variations in the hospitality industry; project-related variations in construction).

- Look to see whether the workplace was the head office of its organisation (**ACONHEAD**) in 2004 or 2011 (using 'Additional data.xls'). Head offices are most prone to reporting organisation employment, rather than workplace employment. Suppress if ACONHEAD is 1 and AUKTOTX is more than **ZALLEMPS.**

- Look to see whether the 2004 or 2011 interviews were conducted *at* the head office (**Admin.MQLoc**) rather than at the sampled workplace (using 'Additional data.xls'). Again, this may lead the respondent to report organisation employment.

- Determine whether the identity of the workplace may have changed. To do this, look for changes in address (**Admin.ADDOK)**, workplace name (**Admin.ScnQ2a**), ownership status (W5 ASTATUS) or W5 SIC code (ASIC2003) since 2004, each of which may indicate that we have not got the right workplace (bearing in mind that changes in these characteristics don't necessarily break the rules for a continuing establishment).

- Look at **ZEMP6AGO** (number of employees in 2004). If this is similar to W5ZALLEMPS we know that the respondent is referring to the same workplace. Also look at **ZEMP1AGO** to determine if there has been a notable change in the number of employees at the workplace in the last year.

- If there is good reason to suspect that the workplace was not correctly defined in 2004 or 2011, the case should be marked for an overcode (stating which year is in error).

- Otherwise, the check can be suppressed.

Check 2. **CROSS SECTION CASES ONLY - ZALLEMPS as proportion of IDBR employment (LUEMPLOYEES on the sample file) is outside accepted ranges:**
Purpose of check: *This check is to establish whether the workplace unit for which the interview has taken place matches the unit on the IDBR.*

Checks flagged if
*For fewer than 100 employees.
(((LUEMPLOYEES <= 99) AND ((ZALLEMPS < (0.5*LUEMPLOYEES)) AND (ZEMP1AGO~=MISSING AND ZEMP1AGO < (0.5*LUEMPLOYEES))
OR (LUEMPLOYEES <= 99) AND ((ZALLEMPS < (0.5*LUEMPLOYEES)) AND (ZEMP1AGO = MISSING)) and AHOWCX ≠ 11)
OR (((LUEMPLOYEES <= 99) AND ((ZALLEMPS > (1.5*LUEMPLOYEES)) AND (ZEMP1AGO~=MISSING AND ZEMP1AGO > (1.5*LUEMPLOYEES))
OR (LUEMPLOYEES <= 99) AND ((ZALLEMPS > (1.5*LUEMPLOYEES)) AND (ZEMP1AGO =MISSING)) and AHOWCX ≠ 12)

*For 100-499 employees.
(((LUEMPLOYEES =100 to 499) AND ((ZALLEMPS < (0.65*LUEMPLOYEES)) AND (ZEMP1AGO~=MISSING AND ZEMP1AGO < (0.65*LUEMPLOYEES))
OR (LUEMPLOYEES =100 to 499) AND ((ZALLEMPS < (0.65*LUEMPLOYEES)) AND (ZEMP1AGO = MISSING)) and AHOWCX ≠ 11)
OR (((LUEMPLOYEES =100 to 499) AND ((ZALLEMPS > (1.35*LUEMPLOYEES)) AND (ZEMP1AGO~=MISSING AND ZEMP1AGO > (3.5*LUEMPLOYEES))
OR (LUEMPLOYEES =100 to 499) AND ((ZALLEMPS > (3.5*LUEMPLOYEES)) AND (ZEMP1AGO =MISSING)) and AHOWCX ≠ 12)

*For 500 or more employees.
(((LUEMPLOYEES >=500) AND ((ZALLEMPS < (0.8*LUEMPLOYEES)) AND (ZEMP1AGO~=MISSING AND ZEMP1AGO < (0.8*LUEMPLOYEES))
OR (LUEMPLOYEES >=500)) AND ((ZALLEMPS < (0.8*LUEMPLOYEES)) AND (ZEMP1AGO = MISSING)) and AHOWCX ≠ 11)
OR (((LUEMPLOYEES >=500) AND ((ZALLEMPS > (1.2*LUEMPLOYEES)) AND (ZEMP1AGO~=MISSING AND ZEMP1AGO > (1.2*LUEMPLOYEES))
OR (LUEMPLOYEES >=500) AND ((ZALLEMPS > (1.2*LUEMPLOYEES)) AND (ZEMP1AGO =MISSING)) and AHOWCX ≠ 12)

First steps in all cases:
- First, the nature of the industry (**ASICDESC** on the factsheet) may explain the discrepancy. Staffing levels at construction sites and in recruitment agencies can vary considerably over time. If this seems feasible, the check can be suppressed.
- Second, staffing in some workplaces (e.g. Retail, tourism) may also vary seasonally – look for such explanations in the interviewer notes/respondent verbatim. If seasonal variations can explain the difference, the check can be suppressed.

If none of the steps above enable you to suppress the check, proceed as follows:

If ZALLEMPS<LUEMPLOYEES:
- If **ZALLEMPS**<**LUEMPLOYEES ('EMPLOYEES (SAMP)' on factsheet)** it is possible that the entry on the IDBR is wrong and refers to the whole organisation.
- First, check interviewer notes and respondent verbatim for evidence that the IDBR employment figure (**LUEMPLOYEES**) refers to the whole organisation. If so, and **ZALLEMPS** appears to refer only to the sampled establishment, the check can be suppressed.

- Compare **AESTNUM** and **AUKTOTX** with the LU information on the IDBR. If they match, this would suggest that the IDBR local unit covers the whole organisation. Suppress the check and flag the case as an aggregate unit and in need of a case-specific weight.
- A further possibility is that **LUEMPLOYEES** includes agency workers, whereas these are (properly) excluded from ZALLEMPS. Check to see if the response at ZAGENCY explains the discrepancy. If it does, the check can be suppressed.
- Third, look at the sample file. It is possible that the IDBR local unit is the amalgam of two separate workplaces. The **LUTRADSTYLE (TradStyle** in factsheets – section on Questions relating to the background of the case) field on the sample file may indicate this (e.g. "Shop A and Shop B"). Equally, the entry on the IDBR may be recent and therefore have been estimated – this will be the case if the IDBR Local Unit Reference Number (**RULUREF/RUREF1)** begins with the digits 499 (and is 11 digits as opposed to the usual 8 digits) and **EULIVELU** (from LUSAMEPCD629_200912.xls)=0. Also, check **EUEmps** to see if it is the same as **LUEMPLOYEES**, this will indicate the entry is for the whole organisation.

  If so, ONS may have entered one local unit onto the register for the whole organisation. In such cases, we need to decide who has followed the WERS definition of an establishment: the respondent or the IDBR. If the respondent has applied the WERS definition correctly, the interview data is valid, but the case must be flagged as it may need a case-specific weight at the end of fieldwork (see p89 of WERS98 Tech Report).
- If the ratio of ZALLEMPS to LUEMPLOYEES is close to the range (see the following), and there is no reason to be suspicious of ZALLEMPS after taking the steps outlined above, the check can be suppressed.

  'Close to the permitted range' means:
    - For workplaces with fewer than 100 employees.
    ZALLEMPS more than 0.3 of LUEMPLOYEES
    - For workplaces with 100-499 employees.
    ZALLEMPS more than 0.5 of LUEMPLOYEES
    - For workplaces with 500 or more employees.
    ZALLEMPS more than 0.7 of LUEMPLOYEES
- There may have recently been redundancies or some other reduction in headcount at the establishment. If ZEMP1AGO falls within the permitted range (above) for LUEMPLOYEES, then suppress the check.

If ZALLEMPS>LUEMPLOYEES:
- If ZALLEMPS>LUEMPLOYEES it is possible that the interview has taken place for workplaces in addition to the sampled unit.
- First, check interviewer notes and respondent verbatim text for evidence that ZALLEMPS (or the whole interview) refers to the whole organisation. Also look at **ASICDESC** and **ZSOCDEC**. And look at **ACONHEAD** and **MQLOC** (in the admin block) - respondents are most likely to speak about the whole organisation if they are located at head office.
- The respondent may have grouped together two local units from the same enterprise that are located at the same address (a common problem in local authorities, where separate departments in the town hall might be distinct local units on the IDBR). It will first be helpful to look at **LUNAME1-3_IDBR10**, **ENTNAME1-3_IDBR10** and **LUADD1-5 _IDBR10**, and SIC code (**LUSIC07_IDBR10**). The **LU_TRADSTYLE_IDBR10** field on the sample file may help to distinguish between the different units. Second, obtain postcode (**LUPCODE_IDBR10**) from sample file then look at the postcode file (LUSAMEPCD629_200912.xls) to see if there are other local units from the same enterprise that are located at the same address as the sampled unit.

  In such cases, we need to decide who has followed the WERS definition of an

establishment: the respondent or the IDBR. In some enterprises staff at one workplace are incorrectly split across multiple local units (LUs) and the WERS interview may have correctly grouped them. If the respondent has applied the WERS definition correctly, the interview data is valid, but the case must be flagged as a partial unit because it will need a case-specific weight at the end of fieldwork (see Section 7 WERS04 Tech Report). Also extract the information needed for weighting (details to be confirmed).

- Third, look at the sample file. If **ZALLEMPS** is approximately the same as (see above for acceptable ranges) the enterprise employment **EUEMPS** from(LUSAMEPCD629_200912.xls) and the enterprise has more than one local unit (**EULIVELU**>1 from (LUSAMEPCD629_200912.xls), this indicates that the respondent has talked about the whole organisation rather than the sampled workplace. In these cases, we will need to consider the integrity of the interview data (see below).
- Fourth, if the ratio of **ZALLEMPS** to **LUEMPLOYEES_IDBR10** is close to the permitted range (see the following), and there is no reason to be suspicious of ZALLEMPS after taking the steps outlined above, the check can be suppressed.
  'Close to the permitted range' means:
  - For workplaces with fewer than 100 employees.
  ZALLEMPS less than 1.7 of LUEMPLOYEES
  - For workplaces with 100-499 employees (ZALLEMPS).
  ZALLEMPS less than 1.5 of LUEMPLOYEES
  - For workplaces with 500 or more employees (ZALLEMPS).
  ZALLEMPS less than 1.3 of LUEMPLOYEES

If uncertain after following steps outlined above:
- Refer to sponsors who will determine if it may be helpful to look at the CCT records or speak to the interviewer to see if they picked up on any hints that the respondent may not have defined the establishment in the correct way.
- If this does not help, it may be necessary to speak to the respondent to find out how they defined the establishment.

If the interview has been conducted about the wrong unit:
- We may be able to salvage the interview by re-contacting the establishment to get new EPQ data, but if the interview is also about a substantially larger or smaller unit than the workplace we may need to reject the whole interview.
- The impact on the remainder of the questionnaire will depend on whether the staff that were erroneously excluded from, or included on, the EPQ are same as those as sampled establishment (e.g. more cleaners), or different (e.g. teachers). The consequences are more serious if it is the latter, as we will then doubt whether the same responses would have been given if the establishment had been defined correctly (and questions which use the listing of occupational groups may refer to occupations which are not actually present at the sampled workplace). The impact will also depend on what proportion of the EPQ is represented by the sampled establishment. If it is a very large proportion, the consequences are less serious than if it is a small proportion.
- Refer to the sponsors.

Check 3.   **PANEL CASES ONLY - Comparison of largest non-managerial occupational group (LOG)**
Variable names on factsheets: W5LOG (2004), LOG (2011)
If W5LOG>=2 and LOG>=2:   Check triggered if W5LOG is not equal to LOG

To resolve the check:

- Suppress if the 2011 LOG and the occupation that was the W5LOG jointly have the largest number of employees in 2011.

- Verify the **SOC2000 / SOC2010** code for the 2011 LOG (written on the factsheet by coders) using the verbatim at **EPQ.ZSOCDESC**. If it is incorrect, change the EPQ SOC group data and FSOC accordingly if the major SOC group has changed (see instructions for resolving office checks on page 14 of Stage 2 instructions). Then assess whether this check would still be triggered: if not, the original check can be ignored.

- Verify that the 2011 LOG has been placed in the correct SOC group on the 2011 EPQ, given its SOC2000 / SOC2010 code. If it has been placed in the wrong group, move it on the factsheet and in the CAPI (see instructions for resolving office checks on page 14 of Stage 2 instructions). You will also need to change FSOC accordingly.

- As far as possible, seek to verify the SOC2000 coding for the 2004 LOG (Using the look up file saved here: I:\Workdocs\P3016\Shared\SECURE\Look up file for edit - SIC SOC and Occ breakdown.xls). If the 2004 coding appears to be at fault, the case should be marked for an overcode (stating that we suspect errors in the SOC coding for the 2004 LOG).

- If you still haven't traced a plausible explanation:
    - Compare the size of the occupational groups for 2004 and 2011 using **ZMGR_TOT to ZROU_TOT** using the look up file saved here: I:\Workdocs\P3016\Shared\SECURE\Look up file for edit - SIC SOC and Occ breakdown.xls).
    If the 2004 and 2011 LOGs are of similar size, it is feasible that the LOG has changed through relatively minor changes in the composition of the workforce at the establishment. The check can be ignored in these cases if there is no other reason to be suspicious.
    - Look at **ZALLEMPS** (in CAPI interview) to see if they also suggest that the workplace has not been consistently defined.
    - Look for changes in address (**Admin.ADDOK**), workplace name (**Admin.SCn2QA**), ownership status (**ASTATUS**) or SIC code since (**ASIC2003**) 2004, each of which may indicate that we have not got the right workplace (bearing in mind that changes in these characteristics don't necessarily break the rules for a continuing establishment).

- If there is good reason to suspect that the workplace was not correctly defined in 2004 or 2011, the case should be marked for an overcode (stating which year is in error).

- Otherwise, the check can be suppressed.

Check 4. **PANEL CASES ONLY - Comparison of union presence and recognition in 2004 and 2011.**
W5Recun: Whether any recognised unions in 2004
EANYEMP: Whether any union members in 2011
ETOTREC: Number of recognised unions in 2011 (where union members)
Derived variable ANYREC "any recognised unions in 2011 where
ANYREC=1 "yes" if (ETOTREC1=Yes, ETOTREC2>0, EADDREC=Yes or
EOTHREC=Yes) otherwise ANYREC=2 "no"
If W5Recun=Yes:
Check triggered if EANYEMP=No or ANYREC=no
If W5Recun=No:
Check triggered if ETOTREC>0

- It is very unusual for the recognition status of a union to change at a workplace. Once a union is recognised it is highly unusual for this to be undone ('derecognised'). Unions that are present at a workplace can apply to be 'recognised' at the workplace to negotiate pay and conditions.

To resolve the check:

- Look at the 2004 EOTHREC code to see if the workplace recognised any unions in 2004 although none of the workforce at the workplace were members.

- Look at the names of the unions reported to be present together with their recognition status (where available) in 2004 (**EUNIONA01-10, ERECOG01-10, EOTHREC and EADDREC**) and 2011 (**ZUNIONA01-11, OthUni01-40, EUNIONREC, EOTHREC and EADDREC**). Consider whether the recognition data look suspicious in either year.
  - If the union names are the same, it is very unlikely that they would have become 'derecognised'. Therefore, it could be that the recognition status is incorrect.
  - If there are different unions at the workplace. Consider whether differences between 2004 and 2011 can be explained by new recognised or non-recognised unions or respondent error. For example, have the staff mix changes so that employees that could have been covered by a union in 2004 are not there in 2011 or vice versa.

- For the cases where the check has been triggered because there are no union members in one year but recognised unions are present, look at the list of company-level and industry-level agreements for examples where recognised unions with no members may exist (see check 12). If the case falls under one of these descriptions suppress the check.

- You can tell whether a union is indeed recognised if the MQ reports to 'negotiate' with the union, particularly when it comes to pay. Look at FCOVER, EPAYA, FPAYCUT, FCONS and FSOC to see if unions are involved in pay bargaining or negotiation. If unions aren't involved in pay bargaining for any occupations and not negotiated with about pay, then unions at the workplace are not recognised to negotiate pay. Make a decision as to whether there are or aren't recognised unions at the workplace and follow the instructions below.
  - NOTE: If relying on FSOC for your decision, check to see if Checks 22-26 have been triggered to see if there is some ambiguity over whether unions negotiate over pay (i.e. collectively bargain). Both these checks can be dealt with on a holistic basis. Also check FWHEREX or FWHERE2X for verification.

- If the 2011 data appears to be in error, some responses will need to be changed.

    - If unions at the workplace aren't recognised: Firstly, make a note of the answers at EUNIONREC, ESTEWARD and ESTEWNUM (you will need this for the additional variables that will come on route). Change the relevant variable – either ETOTREC1 to '2' (no) or ETOTREC2 to '0' on the factsheet and in the CAPI. The following variables will then come on to route:
        - ENONREC – take answer from EUNIONREC and insert here.
        - EOTHUREP — take answer from ESTEWARD and insert here.
        - ENUMOTHU – take answer from ESTEWNUM and insert here.

    - If unions at the workplace are recognised: Firstly, make a note of the answers at ENONREC, EOTHUREP and ENUMOTHU.

        - EUNIONREC – take answer from ENONREC and add here.
        - ESTEWARD — take answer from EOTHUREP and add here.
        - ESTEWNUM – take answer from ENUMOTHU and add here.
        - Other variables that may come on to route include EJOINT, ESTEWTIM and FCONS, for which 'Refused' (Ctrl R) should be entered.

- If the 2004 data appears to be in error, the case should be marked for an overcode (stating that we suspect errors in the reporting of union recognition in 2004):

    - Look for changes in address (**ADDOK**), workplace name (**SCn2QA**), ownership status (**ASTATUS**) or SIC code (**ASIC2003**) since 2004, each of which may indicate that we have not got the right workplace (bearing in mind that changes in these characteristics don't necessarily break the rules for a continuing workplace).

    - If there is good reason to suspect that the workplace was not correctly defined in 2004 and 2011, the case should be marked for an overcode (stating which year is in error).

- Otherwise, the check can be suppressed.

Check 5. **IF ASTATUS is [Gov, Pubser, Nontr, Quang, Local], ASINGLE must not be [soleuk].**
A public sector workplace has coded itself as the sole UK establishment of a foreign organisation.
(IF ASTATUS = 8,9,10,11,12 AND ASINGLE = 3)

- This is highly unlikely to be valid (except for embassies and foreign tourist boards). Suppress if the workplace is an embassy or a foreign tourist board. Otherwise, refer to sponsors.

To resolve the check:

- Check LUNAME for clues as to how ASINGLE and ASTATUS should have been coded.
- Refer to the sample file. The variable **RULEGALSTATUS** indicates the legal status of the enterprise according to the information provided to the IDBR. Values 4, 5 and 6 indicate that the local unit is part of the public sector. The full code frame for **RULEGALSTATUS** is as follows:

1 - Company (incl. Building Society)
2 - Sole Proprietor
3 - Partnership
4 - Public Corporation/Nationalised Body
5 - Central Government
6 - Local Authority
7 - Non-profit Body or Mutual Association

- On the sample file, the variable **EULIVELU** indicates the number of local units in the enterprise in the UK. Values of 2 or more indicate that the local unit is part of a larger organisation (therefore, ASINGLE=1).
- If the enterprise is small (**EUEMPS**<100), it is very likely that ONS have never verified the information on the IDBR. In these cases, the enterprise's website is the best source of information. The same applies if **EULIVELU**=0.

If you need to recode an establishment from Public to Private sector on ASTATUS, the following questions may come onto the route:

- AUCC   Compare **AORGNAME** with **ENTNAME1-3_IDBRR10x** on sample file
- AUCCNAME   Code from sample file (**ENTNAME1-3_IDBRR10x**)
- ALIST   Code 'Refused' (CTRL + R)
- AFRANCH   Code 'Refused' (CTRL + R)
- ACONIN25   Code 'Refused' (CTRL + R)
- ACONIN50   Code 'Refused' (CTRL + R)
- AOWNMAN   Code 'Refused' (CTRL + R)
- ACONTROL   Code 'Refused' (CTRL + R)
- AHEADOFF   Code from sample file (Compare LUADD1-5 & **ENTADD1-5** from LUSAMEPCD629_200912.xls)
- ASUBSID   Code 'Refused' (CTRL + R)
- BBOARD   Code 'Refused' (CTRL + R)
- FSHARE   Code 'Refused' (CTRL + R)
- KINTTEXT to KSTAMAR   Code 'Refused' (CTRL + R)
- KCOMPSUC to KREQUIRE   Code 'Refused' (CTRL + R)
- MFPQ   Code 'Refused' (CTRL + R)

If you need to recode an establishment from SoleUK (code 3) to Multi (code 1) on ASINGLE, the following questions may come onto the route:

- AESTNUM   Code from sample file (**EULIVELU**)
- AUKTOTX   Code from sample file (**EUEMPS**)
- ACONHEAD   Code from sample file (compare **LUADDR1-5_IDBR** & **ENTADDR1-5_IDBR**). ACONHEAD=1 if LUADDR and ENADDR are the same. ACONHEAD =2 if LUADDR is different to ENTADDR.
- ASUBSID   Code 'Refused' (CTRL + R)
- BBOARD   Code 'Refused' (CTRL + R)
- ESTEWEXT   Code 'Refused' (CTRL + R)
- JYR5EMP, JPREEMP where no code as 'Refused', where 'yes' keep as 'yes'

If you need to recode an establishment from SoleUK (code 3) to Single (code 2) on ASINGLE, the following questions may come onto the route:

- BBOARD   Code 'Refused' (CTRL + R)
- FWHERE2X   Code from FWHEREX
- KACTIVS   Code from KACTIVM
- KPROSER to KSTAMAR   If not already answered, code 'Refused' (CTRL+R)
- KCOMPSUC to KREQUIRE   If not already answered, code 'Refused' (CTRL+R)

Researchers to instruct Data Unit to implement these recodes.

Check 6.   **If a private sector Wave 2 workplace has not been coded as 'MULTI' at ASINGLE (WAVE2 AND ASTATUS=1-7 and ASINGLE ≠ 1)**

- This could be bona fide, in the case where the workplace may have split from its parent since sampling. Check AHOWCX, **nickswavecode (**the procedural variable which flags the way NatCen has treated a workplace for administrative purposes) and any correspondence with the Wave 2 Head Office contact to see if there are any reasons why the workplace may be coded as a single independent establishment in the interview. If the workplace is a bona fide single independent establishment, the check can be suppressed.

- If it is clear that the workplace is part of a larger organisation (this can be verified by checking Wave 2 contact records), change ASINGLE from 'Single' (code 2) to 'Multi' (code 1) on the factsheet and in the CAPI. The following questions may come on route and data can be imputed from the sample file as follows:

  - AORGNAME: RUNAME1_IDBR10x
  - AUCC: refer to sponsors who will compare RUNAME1_IDBR10x with ENTNAME1_IDBR10x
  - AUCCNAME: ENTNAME1_IDBR10x
  - AESTNUM: EULIVELU
  - AUKTOTX: EUEMPS
  - ACONHEAD: refer to sponsors who will compare LUADDR with ENTADDR1-5_IDBR10x.
  - AHEADOFF: ENTADDR1-5_IDBR10x

  In addition:
    - **FWHEREX** could be coded from **FWHERE2X** - the decision whether or not to make the change should be made using wider contextual information such as size of workplace and other bargaining information. Make a note of the answer at FWHERE2X before recoding **ASINGLE**.
    - If **ACONDHEAD** = 1 then **FCONSULX** should be coded to 'Refused' with a note made on the fact sheet.
    - **KACTIVM** could be coded from **KACTIVS** - the decision whether or not to make the change should be made using wider contextual information such as knowledge of workplace purpose and operations (e.g. **ASICDESC**). Make a note of the answer at KACTIVS before recoding ASINGLE.
    - Enter 'Refused' (CRTL+R) at other questions that come onto route (e.g. **DHIGHLEV**, **DCOUNTCIL**, **DWHOLEFIN**, **ESTEWEXT**, **FLEVEL**) where you are unable to impute a reliable answer.

Check 7.   **IF AUKTOTX <= ZALLEMPS**
If part of a larger organisation in the UK and total number of employees in the UK is LESS THAN OR EQUAL TO the total number of employees at the workplace.

Any attempts to resolve this will probably require reference to the IDBR sample file (**EUEMPS**) in order to corroborate AUKTOTX, and then some judgement will need to be made as to whether it is AUKTOTX or ZALLEMPS that is wrong. If it is the latter, we could be dealing with an interview about the whole organisation.

To resolve the check:
- For Panel cases – check for interviewer notes. If there are no notes, recode AUKTOTX to 'don't know' unless you can find a figure.

- Check to see if there are any interviewer notes or comments relating to the respondents answer at AUKTOTX.
- Check to see if there are any notes explaining the discrepancy.
- For cross-section cases, examine **EUEMPS** from the IDBR in order to corroborate **AUKTOTX**, and then some judgement will need to be made as to whether it is **AUKTOTX** or **ZALLEMPS** that is wrong.
- As a last resort, you may want to check any information collected by the CCT that may provide to clues as to the definition of the workplace.

If ZALLEMPS is correct*:*
- Code AUKTOTX from sample file (**EUEMPS**).

If AUTOTX is correct*:*
- It means that ZALLEMPS is incorrect and the EPQ has been filled in for more than just that workplace.
- We may be able to salvage the interview by re-contacting the establishment to get new EPQ data, but if the interview is also about a substantially larger unit than the workplace we may need to reject the whole interview.
- The impact on the remainder of the questionnaire will depend on whether the staff that were erroneously included on the EPQ are same as those as sampled establishment (e.g. more cleaners), or different (e.g. teachers). The consequences are more serious if it is the latter, as we will then doubt whether the same responses would have been given if the establishment had been defined correctly (and questions which use the listing of occupational groups may refer to occupations which are not actually present at the sampled workplace). The impact will also depend on what proportion of the EPQ is represented by the sampled establishment. If it is a very large proportion, the consequences are less serious than if it is a small proportion.
- Refer to sponsors.

Check 8.   **IF ZNOTLEFT>ZEMP1AGO**
If number of employees who were working at workplace 1 year ago who are still there now is GREATER THAN the number of employees present at the workplace 1 year ago.

To resolve the check:

- **ZNOTLEFT** should be equal to ZEMP1AGO – ZRESIGNED – ZDISMISS – ZREDUND – ZOTHER.

- Check to see if there are any interviewer notes or comments relating to the respondents answer at ZNOTLEFT. Then check to see if there are interviewer notes on ZEMP1AGO, ZRESIGNED, ZDISMISS, ZREDUND and ZOTHER. Take appropriate action.

- Suppress if there are no notes.

Check 9. **If DMEETN =1 [All staff meetings held daily] and ZALLEMPS>200 or DMEETN=2 [All staff meetings held weekly] and ZALLEMPS>1000**
(Large all staff meetings occur more frequently than expected).

- It is unlikely that meetings with large groups of staff occur on a frequent basis due to the logistics involved. The respondent may have misinterpreted the question or there may be a note clarifying.

- Check interviewer notes to see if there is an explanation and the respondent is in fact referring to all staff meetings.

- If no interviewer note the check can be suppressed.

Check 10. **If DHOWMANY (number of JCCs) as a proportion of ZALLEMPS > 20%**
If there is more than 1 JCC for every 5 employees at the workplace.

- There may be notes which indicate whether they really are JCCs and not just work teams. Other data which may indicate this includes **D1COMM, DWHICH, DISSUES, DMEET** and **ASICDESC. Also check the name to see if it sounds like a consultative committee. Meetings of work teams tends to have names like 'programme team', 'team meetings' or 'meeting of staff'.**

- If they are bona fide JCCs, suppress the check.

- If they are work teams and not JCCs refer to the sponsors.

Check 11. **IF DMEET > 26**
A JCC is said to have met more than once a fortnight over the past year.

- Look at the name of the JCC (**D1COMM**): could the respondent have been talking about a regular management meeting or staff meeting? Management meetings tend to have names like meeting of 'senior leadership team', 'management team', 'board of directors', 'general staff meeting'. Also check if DMEETING is coded.
- If you can ascertain that the respondent was talking about a general staff meeting rather than a meeting of the JCC, check the code for DMEETING. If DMEETING is coded 'no', transfer the data to the questions on general staff meeting.

- If D1COMM does appear to be a bona fide JCC, the check can be suppressed.

- If D1COMM is found to refer to something that is not a JCC, we must delete all record of that body from the JCC questions. If it is the only JCC reported (**DHOWMANY**=1), this can be achieved by recoding **DJOINT** from 1 to 2. But if DHOWMANY>1, must reduce DHOWMANY by 1 and consider possible recodes to DWHICH and all following JCC questions (likely that most will have to be recoded DK).
- If you can ascertain that the respondent was talking about a management meeting, delete the whole section and associated worker rep data.
- If not clear then refer to sponsors.

Check 12.   **If EADDREC = 1 (Yes)**
A union is recognised but has no members at the workplace (in a situation where other unions do have members at the workplace).

Check should not be triggered for workplaces with industry-level agreements:
IF (ASTATUS1=12 and (ASIC2007 = 85200 or 85310 or 85320) and GOR ≠ Scotland or Wales) (*School Support Staff Negotiating Body applies to all school support staff employed by local authorities in England*.)
IF (ASTATUS1= 12 and (ASIC2007 = 85200 or 85310 or 85320) and GOR = Scotland) (Scottish Negotiating Committee for Teachers. Applies to all primary and secondary schools in Scotland)
IF (ASTATUS1 >= 8 and ASIC2007 = 85410) *(National Joint Forum for Further Education (and the equivalent in Scotland). Applies to all FE colleges.)*
IF (ASTATUS1 >= 8 and ASIC2007 = 85421 or 85422) *(Joint National Committee for Higher Education Staff (and the equivalent in Scotland). Applies to all HE institutions.)*
IF(ASIC2007 = 41100 to 43999) (*Construction Industry Joint Council. Any employer in the construction industry may sign up to this)*
IF (ASIC2007 = 43210) (*Joint Industry Board for Electrical Contractors. Any electrical contractor may sign up to this)*
IF (ASIC2007 = 42110 to 42990) (*National Joint Council for the Engineering Construction Industry. Any employer in the engineering construction industry may sign up to this)*

- EADDREC = 1 (yes) indicates that the workplace has an agreement with at least one union for the purposes of determining some employees' terms and conditions (i.e. recognises), yet that union (or those unions) have no members at the workplace.

- Suppress if the workplace belongs to the NHS.

- The organisation may have a recognition agreement which covers all of its establishments, even ones without union members. A selection of the largest organisations with company-level agreements is listed below. If check 12 is triggered in any of these organisations, it can be suppressed without further investigation.

  - BBC
  - Inland Revenue
  - Royal Mail
  - Post Office Counters
  - Parcelforce
  - Tesco supermarkets
  - Sainsburys supermarkets
  - The Co-operative Group

- Scottish Prison Service (Note that the pay of prison officers in England and Wales is set by a pay review body – see Check 33. The check should not be suppressed if the workplace is part of the Prison Service in England and Wales.)

- The establishment may recognise unions through a national agreement. This agreement will apply to the workplace whether it has union members or not. A selection of the largest industry-level agreements is listed below, along with the types of workplace they cover. If check 12 is triggered in these types of workplace, it can be suppressed without further investigation.

  - Local Authority Single Status National Agreement. Applies to every local authority (check $$workplace name$$ or AORGNAME to see if the workplace belongs to a local authority). (Internet search has revealed that GMB and Unison are recognised at local authorities).

  - Police Negotiating Board and Police Staff Council. These apply to all Police Forces (check $$workplace name$$ or AORGNAME to see if the workplace belongs to a police force)

  - National Joint Council for Local Authority Fire and Rescue Services. Applies to all Fire Brigades (check $$workplace name$$ or AORGNAME to see if the workplace belongs to a fire brigade).

  - If the workplace is a member of an employers' association (**BMEMBER** = 1) and national collective bargaining has been mentioned at **FSOC** (ie. Any one of **FSOC1 – 9** = 1) then the check can be suppressed.
  - If the workplace is part of a larger organisation (**ASINGLE** = 1 or 3) and some organisation-level collective bargaining is reported at **FSOC** (ie. Any one of **FSOC1 – 9** = 2) then the check can be suppressed. Be aware if Checks 22-24 have been triggered and there are potential mistakes in FSOC.
  - All other cases should be referred to BIS, who must judge whether it is feasible that there are recognised unions without members. This is unlikely unless the respondent has made mistakes at FSOC. Check **FREVIEW** and other similar items.

Check 13. **If EOTHREC = 1 (Yes)**
A union is recognised but has no members at the workplace (in a situation where there are no other unions with members present).

Check should not be triggered for workplaces with industry-level agreements:
IF (ASTATUS1=12 and (ASIC2007 = 85200 or 85310 or 85320) and GOR ≠ Scotland or Wales) (*School Support Staff Negotiating Body applies to all school support staff employed by local authorities in England*.)
IF (ASTATUS1= 12 and (ASIC2007 = 85200 or 85310 or 85320) and GOR = Scotland) (Scottish Negotiating Committee for Teachers. Applies to all primary and secondary schools in Scotland)
IF (ASTATUS1 >= 8 and ASIC2007 = 85410) (*National Joint Forum for Further Education (and the equivalent in Scotland). Applies to all FE colleges.*)
IF (ASTATUS1 >= 8 and ASIC2007 = 85421 or 85422) (*Joint National Committee for Higher Education Staff (and the equivalent in Scotland). Applies to all HE institutions.*)
IF(ASIC2007 = 41100 to 43999) (*Construction Industry Joint Council. Any employer in the construction industry may sign up to this*)

IF (ASIC2007 = 43210) (*Joint Industry Board for Electrical Contractors. Any electrical contractor may sign up to this*)

IF (ASIC2007 = 42110 to 42990) (*National Joint Council for the Engineering Construction Industry. Any employer in the engineering construction industry may sign up to this*)

- See check 12.

- If can't suppress, refer to sponsors who will check **EOTHNUM** to ensure that it is a feasible number of recognised unions without members. (Although range is 1..10 so should be fine).

Check 14.   **IF ESTEWNUM >=30**
The number of union representatives is greater or equal to 30.

- Refer to interviewer note and attempt to resolve.

- Check the size of the workplace (**ZALLEMPS**) in relation to the number of union representatives (**ESTEWNUM**). If ESTEWNUM as a proportion of ZALLEMPS is less than or equal to 0.1 then suppress the check.

- If you cannot suppress the check refer to sponsors who will check the number of unions present at the workplace (**ETOTREC** on factsheet). If there several unions present and each have several representatives present this will contribute to the large number of reps. If this appears to be the case suppress the check.

Check 15.   **IF ESITNUM > ENUMREPS**
The number of non-union representatives sitting on the main JCC is greater than the number of non-union representatives at the workplace.

- There is a soft check where this occurs. If the check is suppressed the interviewer has been asked to add a note. Refer to note and attempt to resolve.

- If there are no notes refer to sponsors.

Check 16.   **If ASINGLE = 2 [single] and FMEASURE = 4 (Organisation-based measures)**
A single, independent workplace has said that organisation-based measures of performance are used to determine the amount of payment-by-results.

PROGRAM RECODE: FMEASURE = 3

- **No researcher action required.** Code 4 on **FMEASURE** is intended to be used only by establishments that are part of a larger organisation, in cases where payments are determined by the performance of the whole organisation rather than just the performance of the sampled establishment. Therefore, FMEASURE is recoded to 3.

Check 17.   **IF ASTATUS in [Pubser, Nontr, Quang, Local] and FPROF does not equal [no].**
(IF ATSTATUS= 9,10,11,12 and FPROF≠2)

A public sector workplace has said that that it operates a profit-sharing scheme.

- This is not possible as public sector organisations do not make profits.

To resolve the check:

- For Cross-section cases only: Refer to the sample file to see if the workplace has been incorrectly reported as being in the public sector. The variable **RULEGALSTATUS** indicates the legal status of the enterprise according to the information provided to the IDBR. Values 4, 5 and 6 indicate that the local unit is part of the public sector; other codes indicate that it is part of the private sector. A full code frame for **RULEGALSTATUS** is provided under Check 5.

- Check organisation's website to see if a mistake was made in coding of ASTATUS. Use other information about the workplace to determine if it is public or private sector such as workplace name (**LUNAME**), **ASICDESC** and **ZSOCDESC**.

- If ASTATUS is correct, recode **FPROF** to No.

- If ASTATUS is incorrect, and needs to be recoded from Public to Private sector, questions that come on to the route or need to be changed are listed under Check 5 above.

Check 18.   **If ASTATUS = 1-7 [PubC..Coop] and either FWHEREX or FWHERE2X = 4 [Independent Pay Review Body]**
A private sector workplace has said that pay is set by an Independent Pay Review Body.

- This is impossible, given that we are referring to official Independent PRBs, which are set up by the government to review pay for certain groups of public sector workers. The official Independent PRBs cover: teachers in state schools; doctors, dentists, nurses and professions allied to medicine (mostly therapists) working in the NHS; senior civil servants and prison officers working in state prisons. Either the workplace is actually part of the public sector, or they are talking about a body that reviews pay (i.e. not an official Independent PRB as we mean it).

To resolve the check:

- Refer to the sample file. The variable **RULEGALSTATUS** indicates the legal status of the enterprise according to the information provided to the IDBR. Values 4, 5 and 6 indicate that the local unit is part of the public sector; other codes indicate that it is part of the private sector. A full code frame for **RULEGALSTATUS** is provided under Check 5.

- Check organisation's website to see if a mistake was made in coding of **ASTATUS**. (Please note that a school may have recently become an academy, and this information may not be updated in the IDBR but will be on their website.)

- Watch out for NHS health centres, GP surgeries and state schools. Some may code themselves as private sector, as ownership may lay with the GPs themselves or, in the case of schools, with a charitable trust. If the workplace is an NHS establishment

change ASTATUS to 12. Otherwise, refer all other cases to the sponsors, who will implement a consistent solution.

- If ASTATUS is correct, the respondent may be referring to an independent pay-setting committee within the organisation (e.g. a committee that involves outsiders) or a decision-making body that does not involve managers (e.g. the Board of Directors). Other codes on **FWHEREX** or **FWHERE2X**, and responses at **FCONS**, **FCONSULX**, **FSOC1 to FSOC9** may give clues. Action required will depend on the specifics of the case, but it may be appropriate to remove the Pay Review Body code at FWHEREX or FWHERE2X.

- Another possibility is that the private sector workplace may be operating in an industry, such as health and education, where the vast majority of employees are employed by public sector workplaces and covered by a PRB. Here, the private sector workplace may decide to follow the recommendations of the PRB to keep things simple, even though it is *not bound* by the PRB's decisions. **ASICDESC** and **ZSOCDESC** may give clues, as may other codes on **FWHEREX** or **FWHERE2X** and responses at **FCONS**, **FCONSULX**, and **FSOC1 to FSOC9** may give clues. Action required will depend on the specifics of the case but, again, it may be appropriate to remove the Pay Review Body code at FWHEREX or FWHERE2X.

- If ASTATUS is incorrect, and needs to be recoded from Private to Public sector, no new questions will come onto the route.

Check 19.   **If ASTATUS = 1-7 [PubC..Coop] and if FSOC1-9 = 7 [Independent Pay Review Body].**
A private sector workplace has said that pay is set by an Independent Pay Review Body at FSOC.

- See Check 18.

- If ASTATUS is correct, and the 'Independent Pay Review Body' code has been used for the LOG, it may be possible to infer the actual pay setting arrangement in place for the LOG by referring to **FREVIEW-FCONS**. Where this is possible, and the PRB code has also been used for other occupations, one can assume that the respondent has made a consistent mistake across the FSOC grid and recode all FSOCs using the PRB to the new code that has been determined for the LOG. You may also need to change FCOVER accordingly.

Check 20.   **IF ASINGLE = 2 [single] and FSOC1-9 = 2 OR 4 [Collective bargaining at an organisation level] or [Set by management at a higher level in this organisation].**
A single independent workplace has said pay setting occurs at a higher level in the organisation.

- Codes 2 and 4 on **FSOC** are intended to be used only by workplaces that are part of a larger organisation, in cases where managers at another establishment higher up in the organisation (e.g. the regional office, or head office) are involved in pay determination.

It is unlikely that ASINGLE is incorrect (but to check see overleaf). To resolve the check:

- IF ASINGLE is correct, recode FSOC1-9 from 2 to 3, or from 4 to 5.
- Be aware that FSOC1-9 maybe flagged in Checks 23 to 26 also.
- Please note: recode FSOC1-9 (not XXFSOC1-9). XXFSOC variables are only to be used in checks 22-26.

To check if ASINGLE is incorrect:

- (CROSS-SECTION CASES ONLY) Refer to the sample file. The variable **EULIVELU** indicates the number of local units in the enterprise. Values of 2 or more indicate that the local unit is part of a larger organisation.

- (CROSS-SECTION CASES ONLY) If **EULIVELU** =1 and the enterprise is small (**EUEMPS**<100), it is very likely that ONS have never verified the number of local units in the enterprise. In these cases, a value of 1 is the default on the IDBR, but may not be correct. The enterprise's website is the best source of information in these circumstances. Also check CCT records for any clues. The same applies **EULIVELU** =0.

  (FOR PANEL CASES ONLY) Compare ASINGLE with **W5ASINGLE** to see if the code is consistent over the two years. If it was a single independent in 2004 (W5ASINGLE=2) and says that it is in 2011 (ASINGLE=2), then the 2011 code is probably right.

  If it was a multi in 2004 (W5ASINGLE =1 or 3) and now says it is a single (ASINGLE=2), then **AHOWX**=7,8,9,10 would explain why it has changed. If AHOWCX is 7, 8, 9 or 10, ASINGLE is correct.

  If ASINGLE is correct, change code 4 on FMEASURE to code 3. AHOWCX refers to the last two years and it is possible that these changes occurred prior to this and since 2004. Check the internet to see if there is any information to confirm this.

- If ASINGLE is not correct, and you need to recode an establishment from single to multi/soleuk, values for AORGNAME, AUCC, AUCCNAME, AESTNUM, AUKTOT, ACONHEAD and AHEADOFF **may come on to route** (you will need to check by going through the CAPI) and can be imputed from the sample file as follows:

  - AORGNAME: **RUNAME**
  - AUCC: Compare **RUNAME** with **ENTNAME.** If RUNAME is the same as ENTNAME, then AUCC=Yes (AORGNAME is the ultimate controlling company). If RUNAME isn't the same as ENTNAME, then AUCC=No.
  - AUCCNAME: **ENTNAME**
  - AESTNUM: **EULIVELU**
  - AUKTOTX: can be inferred from **EUEMPS** (Note: AUKTOTX is grouped).
  - ACONHEAD: Compare **LUADDR** with **ENTADDR**. If **LUADDR** is the same as **ENTADDR**., then ACONHEAD=1 (Yes). If **LUADDR** isn't the same as **ENTADDR**, then ACONHEAD=2 (No).
  - AHEADOFF: **ENTADDR**

  In addition:
  - **KACTIVM** could be coded from **KACTIVS** - the decision whether or not to make the change should be made using wider contextual information such as size of

workplace and other bargaining information. Make a note of the answer at KACTIVS before recoding **ASINGLE**).

- **FWHEREX** could be coded from **FWHERE2X** - the decision whether or not to make the change should be made using wider contextual information such as knowledge of workplace purpose and operations (e.g. **ASICDESC**). Make a note of the answer at FWHERE2X before recoding ASINGLE).
- If **ACONDHEAD** = 1 then **FCONSULX** should be coded to 'Refused' with a note made on the fact sheet.
- Enter 'Refused' (CTRL+R) at other questions that come onto the route (e.g. **ASUBSID**, **BCONSULT**, **DHIGHLEV**, **DCOUNTCIL**, **DWHOLEFIN**, **ESTEWEXT**, **FLEVEL**), where you are unable to impute a reliable answer.

Check 21. **If ASINGLE = 2 [single] OR ACONHEAD = 1 [controlling head office] and GBODY = 5 [management at a higher level in the organisation]**
A single, independent workplace or head office has said that the disputes procedure refers to managers at a higher level in the organisation.

RESEARCHER TO SPECIFY THE FOLLOW DATA UNIT CHANGE: Delete code 5 from answers given at GBODY.
IF no other answers at GBODY DATA UNIT TO RECODE GREFERRAL=2 (No)

- **No researcher action required other than to specify changes to Data Unit.** Code 5 on **GBODY** is intended to be used only by workplaces that are part of a larger organisation, in cases where disputes are referred to managers at another workplace higher up in the organisation (e.g. the regional office, or head office).

Note re Checks 22-26: These checks should be resolved after all the other checks have been resolved. The checks look for inconsistencies between ETOTREC/EADDREC/EOTHNUM and FSOC1-9 and FCOVER. These are new edit checks (not part of Stage 3 in 2004) and we need to be able to separately identify any data changes. So all recoding that follows from Checks 22-26 is being done into three sets of new variables: XXETOTREC, XXFSOC1-9 and XXFCOVER. The steps for resolving the checks also suggest that other related variables are consulted but those variables are not being edited.

Check 22. **IF ETOTREC+EADDNUM+EOTHNUM=0 and FSOC1-9 = 1, 2 or 3 [Collective bargaining for more than one employer / Collective bargaining at the organisation level / Collective bargaining at this workplace]**
No unions are recognised but pay is set by collective bargaining.

The following are generic instructions for resolving Check 22, and any of Checks 23, 24 or 25 when the workplace has no recognised unions (i.e. ETOTREC+EADDNUM+EOTHNUM=0):
- First seek to resolve any failures on Check 33. If some occupations have their pay setting recoded from collective bargaining to PRB under check 33, this may resolve Checks 22, 23, 24 or 25.
- Otherwise, look across the case to assess whether the presence of unions, or some engagement with unions, has been mentioned in any of the following:
    - ZUNIMEM (any union members)
    - ZUNION (which unions have members)
    - ESTWARD, ESTEWEXT or EOTHUREP (any union reps)
    - FCONS (consultation or negotiation with unions over pay setting for the LOG)

- FCOVER (% of employees with pay set by collective bargaining)
- Or any mention of national / industry-level / multi-employer bargaining at FWHEREX / FWHERE2X
  - If you find that: (i) collective bargaining has been mentioned ONLY on FSOC1-9 or ONLY on FCOVER (not on both); and (ii) there is no mention of the presence of, or engagement with, unions on any of the variables listed above; and (iii) the workplace is in the private sector (ASTATUS<8) then: if FSOC=1/2 code XXFSOC as 4; if FSOC=3 code XXFSOC as 5; code XXFCOVER=7.
  - If you find that: (i) unions are present but not recognised ZUNIONUM>0 and ETOTREC=0; and (ii) collective bargaining is mentioned once at any of FSOC1-9 AND FCOVER, then: change XXETOTREC accordingly. If ZUNIONUM=1 this will be simple. If ZUNIONUM>1 and it is difficult to determine which unions are recognised (after looking at interview notes and a quick search on the internet) refer to sponsors.
- Otherwise refer to sponsors.

Check 23. **IF FCOVER = 1 [All] or FCOVERT=ZALLEMPS and all nominated occupational groups (FSOC1-9) not equal to 1/2/3 [Collective bargaining for more than one employer / Collective bargaining at the organisation level / Collective bargaining at this workplace]**
Collective bargaining reported to cover all employees but not all occupational groups.

- If the workplace has recognised unions (ETOTREC + EADDNUM + EOTHNUM > 0) then refer to instructions under Check 26.
- If the workplace has no recognised unions (ETOTREC + EADDNUM + EOTHNUM = 0) then refer to instructions under Check 22.

Check 24. **IF (FSOC1-9) = 1/2/3 [Collective bargaining for more than one employer / Collective bargaining at the organisation level / Collective bargaining at this workplace] and FCOVER =7 [None].**
Collective bargaining reported in one or more occupational groups but not reported as a proportion of all employees.

- If the workplace has recognised unions (ETOTREC + EADDNUM + EOTHNUM > 0) then refer to instructions under Check 26.
- If the workplace has no recognised unions (ETOTREC + EADDNUM + EOTHNUM = 0) then refer to instructions under Check 22.

Check 25. **IF (FSOC1-9) = 1/2/3 [Collective bargaining for more than one employer / Collective bargaining at the organisation level / Collective bargaining at this workplace] then add the SOC_1-9 (for codes 1-3) and take as a proportion of ZALLEMPS [all employees].**
If this proportion is more than +/- 20% compared to FCOVER or equivalent at FCOVERT.
Collective bargaining reported to cover a proportion of all employees that is not approximately reflected across the occupational groups.

- If the workplace has recognised unions (ETOTREC + EADDNUM + EOTHNUM > 0) then refer to instructions under Check 26.

- If the workplace has no recognised unions (ETOTREC + EADDNUM + EOTHNUM = 0) then refer to instructions under Check 22.

Check 26.	**IF ETOTREC>0 [at least one recognised union with members at the workplace] and FCOVER =7 [no employees have their pay set through negotiations with trade unions].**
Collective bargaining not reported at a workplace with a recognised union.

ETOTREC computed in interview as follows:
IF ETOTREC1=YES THEN ETOTREC:=1
ELSEIF ETOTREC2>0 THEN ETOTREC:=ETOTREC2
ELSEIF ETOTREC1=NO OR ETOTREC2=0 THEN ETOTREC:=0
ENDIF

- NOTE: If ETOTREC is amended to '0' in Check 4, this check will no longer apply.

The following are generic instructions for resolving Check 26, and any of Checks 23, 24, 25 when the workplace has at least one recognised union (ETOTREC>0):
- First seek to resolve any failures on Checks 12, 33 and 34. If some occupations have their pay setting recoded to collective bargaining under checks 12 or 34 or to pay review bodies under check 33, this may resolve Checks 23, 24, 25 or 26.
- Checks 23 and 25 may have sprung simply because code 8 was chosen in FSOC. XFSOC will contain the code assigned from the verbatim. If the code 8 in FSOC was the cause of the check, and the check would pass if the XFSOC code were used instead, then the check can be suppressed.
- Check 4 may have also sprung due to confusion over whether the unions present are indeed recognised to negotiate pay and conditions. These checks are related, if a union is not recognised then collective bargaining (FSOC=1,2,3 and FCOVER) would not cover employees at the workplace.
- If you find that: (i) unions are recognised (ETOTREC / EADDREC / EOTHNUM); (ii) collective bargaining is mentioned on FCOVER, but not on FSOC; and:
  - If the workplace is one of the types listed under Check 33 or 34, code XXFSOC1-9 in accordance with the instructions on Check 33 or 34.
  - If the workplace belongs to a local authority BUT IS NOT A SCHOOL, code XXFSOC1-9 =1. (Schools are covered in the bullet above.)
  - If the workplace belongs to a fire brigade (check AORGNAME), code XXFSOC1-9 =1.
  - If the workplace belongs to any of the organisations mentioned at dot point 2 under Check 12, code XXFSOC1-9=2.
- Otherwise, look across the case to assess whether the presence of unions, or some engagement with unions, has been mentioned in any of the following:
  - ZUNIMEM (any union members)
  - ZUNION (which unions have members)
  - ESTWARD, ESTEWEXT or EOTHUREP (any union reps)
  - EPAYA to EHEALTHA, FPAYCUT (whether engage with unions over specific issues)
  - FCONS (consultation or negotiation with unions over pay setting for the LOG)
  - FSOC (how pay is set for each occupational group)
  - FCOVER (% of employees with pay set by collective bargaining)
  - Or any mention of national / industry-level / multi-employer bargaining at FWHEREX / FWHERE2X

  NOTE: You may find that this check has been triggered because FSOC=4 or 5 ('set by management') and either recognised unions or collective bargaining (under FCOVER) have been reported. This is because these answers aren't mutually

exclusive from the respondent's perspective– that is, management sets pay by collective bargaining. However, the data we want captured is whether collective bargaining occurs.

o **FCOVER** is used as a check for FSOC, as employers often refer to collective bargaining in different ways. If **FCOVER** =1 and there are recognised unions (edited **ETOTREC**>0) then it is likely FSOC is wrong. For further confirmation check to see if negotiation is mentioned somewhere else (such as EPAYA, FPAYCUT, or FCONS). If negotiation is mentioned at least once, then, change XXFSOC1-9 to equal 1, 2 or 3 depending on where negotiation takes place, that is:

- Where (edited) FWHEREX or FWHERE2X=1, XXFSOC1-9=3.
- Where (edited) FWHEREX or FWHERE2X=3, XXFSOC1-9=1.
- Where (edited) FWHEREX =2, XXFSOC1-9=2.

o If the same conditions apply as the above dot point but FCOVER ≠1 and <7, then you will need to work out which employees are covered by collective bargaining by looking at SOC and FSOC, and code XXFSOC1-9 accordingly.

- In the cases where FCOVER=2, it is often because managers have their pay set by other means, check the proportions of managers at the workplace and then code XXFSOC1 accordingly.

o If you find that: (i) recognised unions have been mentioned ONLY on ETOTREC / EADDREC / EOTHNUM; and (ii) there is no mention of the presence (ZUNIMEM, ZUNION, ESTEWARD, EOTHUREP) of, or negotiation (EPAYA, FPAYCUT, FCONS) with, unions on any of the variables listed above; and (iii) the workplace is not one of the types listed under Check 12 then code XXETOTREC to 0.

- Otherwise refer to BIS.

Check 27 is covered in Check 21. Check 27 to remain in edit program. Researchers to ignore this check and resolve any queries under Check 21.

~~**Check 27.**   **If ASINGLE = 2 [single] and GBODY = 5 [Manage].**~~
~~*A single, independent workplace has said that disputes are referred to management at a higher level in the organisation*.~~

- ~~Code 5 on GBODY is intended to be used only by workplaces that are part of a larger organisation, in cases where disputes are referred to managers at another workplace higher up in the organisation (e.g. the regional office, or head office).~~

~~To resolve the check:~~

- ~~Follow the steps outlined under Check 16.~~

- ~~If ASINGLE is correct, delete code 5 from GBODY.~~

Note re: Checks 28-30. These are testing for unusual values – but don't mean they are wrong. It is more just a check to ensure there are no obvious typos.

Check 28.   **If (GACTYR01 or GACTYR23 or GACTYR04 or GACTYR05) >30.**
A particular type of industrial action has taken place more than 30 times in the workplace in the last 12 months).

- Industrial action is generally infrequent.

- Determine what type of industrial action is reported to have taken place so frequently. Action like overtime bans or work to rule may occur more frequently than strikes.

- If a workplace has encountered a significantly high level of industrial action (particularly strikes) it is possible that it has been reported in the media. Do an internet search to see if you can get confirmation of a high level of industrial action activity.

- Otherwise, refer to sponsors.

Check 29. **IF ISELCOM =3 [unions or staff associations selects employee representatives for the health and safety committee] and EANYEMP=2 [no union members present at the workplace].**
AND EOTHREC ≠ 1 (Check should not be triggered where there are no union members present at the workplace.)

EANYEMP computed in interview as follows:
IF ZUNIMEM>0 or ZUNIPC>0 or ZANYMEM=1 EANYEMP=Yes (1)
ELSE EANYEMP=No (2)
END IF

- Refer to sponsors who will check if the respondent may have misinterpreted 'staff associations' to mean other representative structures such as JCCs. Check at **DJOINT** and **DHOWMANY** to see if there are JCCs present. Check IJOINT and DSELECT to see how other reps are recruited to the JCC.

Check 30. **IF INUMINJ as a proportion of ZALLEMPS is greater than 20%**
More than one in five employees have sustained a significant injury during work hours in the last 12 months.
AND ZALLEMPS ≥ 15 (check should not be triggered for workplaces with less than 15 employees).

- There is no soft check in the CAPI here, so typos are possible.

- IF the workplace is a manufacturing/construction site or a police station and the interviewer has not left a note, suppress. Otherwise, refer to sponsors who will check **IINJURY** to determine what injuries have taken place and whether this seems plausible according to **ASICDESC**.

Check 31. ~~**IF ILLNUM as a proportion of ZALLEMPS is greater than 40%**~~
~~*More than two in five employees have suffered from an illness or disability that has been made worse by work, in the last 12 months.*~~
~~**AND ZALLEMPS ≥ 15 (check should not be triggered for workplaces with less than 15 employees).**~~

- ~~There is no soft check in the CAPI here, so typos are possible.~~

Check 32. **IF the number of agency workers (ZAGENCY) is greater than 50% of ZALLEMPS. (Paper EPQ Q13).**

- If the workplace is part of Manpower or another agency who have their temps on employee contracts (BIS to supply the details), refer to sponsors. It is likely that the agency workers cited at ZAGENCY should be added to ZALLEMPS. <BIS to insert list>.

- If the workplace is another temp agency (check ASICDESC), set ZAGENCY to 0.

- If the workplace is one where we expect it to hire agency temps, for example, event organisers, hospitality, caterers, construction, suppress.

Check 33. **Possible errors in coding of FSOC for occupations covered by Pay Review Bodies in the public sector**
IF (ASTATUS1>=8 and <13) and (ASIC2007 = 86101 or 86102) and (any of FSOC1 to 9 ≠ 7)
IF (ASTATUS=9) and (ASIC2007=84230) and (GOR~=Scotland) and (any of FSOC1 to 8 = 1, 2 or 3)
IF (ASTATUS>=8 and <13) and (ASIC2007 = 85200 or 85310 or 85320) and (GOR~=Scotland) and (FSOC1 or 2 ≠ 7)

ASTATUS is a multi-coded variable recording up to 2 values. ASTATUS1 is first-mentioned code, ASTATUS2 is the second mentioned code.

- To account for the NHS Pay Review Body: In NHS establishments (**ASTATUS1**>=8 and <13 and **ASIC2007** =86101 or 86102) **FSOC1 to 9** should be recoded to 7.

- The Prison Serve Pay Review Body covers governors and operational managers, prison officers and support grades in the England and Wales Prison Service. In state prisons in England and Wales (ASTATUS=9 and ASIC2007=84230 and GOR~=Scotland) where FSOC1 to FSOC8=1 or 2 or 3 should be recoded to 7. Check organisation name (**AORGNAME, AUCCNAME**) to verify that it is a prison.

- The School Teachers Pay Review Body covers teachers in all state-funded schools in England and Wales, with the apparent exception of academies and free schools. (However, we have no easy way of identifying academies or free schools so this aspect is ignored unless you have picked this up when resolving Checks 18 and 19). In state schools in England and Wales (ASTATUS>=8 and <13 and ASIC2007 = 85200 or 85310 or 85320 and GOR~="X"), FSOC1 and FSOC2 should be recoded to 7.

Check 34. **Possible errors in coding of FSOC for occupations <u>not</u> covered by Pay Review Bodies**

IF (ASTATUS>=8 and <13) and (ASIC2007 = 85200 or 85310 or 85320) and (GOR~=Scotland or Wales) and (any of FSOC3 to 9 = 7)
IF (ASTATUS1>=8) and (ASIC2007= 84240) and (any of FSOC1 to 9 = 7)

- In State schools in England (ASTATUS>=8 and <13 and ASIC2007 = 85200 or 85310 or 85320 and GOR~=Scotland or Wales) support staff are not covered by a PRB - FSOC3-FSOC9=7 should be recoded to 1.
  - The School Support Staff Negotiating Board covers all support staff employed by local education authorities in England. The body was established in 2009 but will be abolished in January 2012. However, due to the pay freeze up until 2013 any new arrangements will not take hold during fieldwork.

- Police officers have their pay set by a negotiating board. The settlement is primarily a negotiated one, in contrast to the 'evidence gathering' process of IPRBs. The Police Authority can choose whether support staff come under this agreement. Therefore, if FSOC1 to 9=7 in public sector workplaces classified to public order and safety activities (ASTATUS1>=8 and SIC2007= 84240), it should be recoded to national collective bargaining (FSOC1 to 9=1)
  - If a code other than 7 had been assigned to FSOC it should be left in place in case the workplace is not a police station or equivalent.

Stage 2 Check 44: ASTATUS v ASIC2007:
If ASTATUS=1-8, ASIC2007 should NOT be in range 84.000-84.300.
If ASTATUS>=9, SIC2007 should NOT be in ranges 10.000-82.990 or 94.000-96.090.
A public sector workplace has an industry code associated with the private sector.

- This check relates to how the SIC has been classified, and whether a value has been given that is inconsistent with the answer given at the question ASTATUS. Values of ASTATUS from 9 and above, are only applicable to public sector workplaces, therefore if the industry classification is, for example, applicable to the private sector, the check will appear.
  Some allowable exceptions include 49.311 (Underground) 53.100 (Post Office), 60.100 or 60.200 (BBC), 64,110 (Bank of England) and the following local authority services.

SIC2007	Activity
96040	Local authority baths (hot water and sauna)
52220	Local authority canal services
52219	Local authority car parks
96030	Local authority cemeteries
42990	Local authority civil engineering department
96030	Local authority crematoriums
52220	Local authority docks and harbours
37000	Local authority drainage services
42990	Local authority engineer's department
50400	Local authority freight ferry services on rivers, canals and lakes
96030	Local authority funeral services
42110	Local authority highways construction and maintenance
41202	Local authority house building and maintenance
52220	Local authority lighthouse service

52230	Local authority municipal airport
41202	Local authority or new town direct labour department (domestic dwellings)
50300	Local authority passenger ferry services on rivers, canals and lakes
38210	Local authority refuse disposal
56102	Local authority restaurants, cafes, snack bars, etc. (unlicensed)
42110	Local authority road construction and major repairs
49319	Local authority road passenger transport services
56290	Local authority school meals service
37000	Local authority sewage services

To resolve the check:

- Look at the workplace's name (LUNAME) to see if this indicates an error in the coding of ASTATUS (e.g. BT incorrectly coded as 'Public service agency' because it provides service to the public)

- Check ASICDESC, CLASSDESC and LUNAME to see if a mistake was made in the SIC coding.

- Some banks now may have some Government ownership. See notes:

    - Code ASTATUS to both 1 and 8 if any of the following:
    The Bank of England
    Northern Rock
    National Savings and Investments (NS&I)
    RBS
    Bradford and Bingley
    Workplace serial numbers affected:

1040007	2019017	3057002
2041027	2047011	3109002
1063014	2062024	4014008
1066016	2097016	4021003
1071006	2110010	4096002
1082007	2116015	
1002011	2116016	
1005007	2118015	
1016010	2118018	
1026014		
1029008		
1061009		
1071007		
1075006		
1114007		

    - Code ASTATUS to 1 only if Lloyds Banking Group

Workplace serial numbers affected:

1014007	2015010	3018002
1015009	2018023	3040002
1015010	2040012	3081002
1015011	2052015	3100001
1016009	2059030	3103002
1020006	2062023	4018005
1039014	2067011	4078004
1052007	2078008	4112006
1057013	2078009	
1061008	2085019	
1069008	2091021	
1076004	2103010	
1090009	2103011	
1091010	2109015	
1094009	2113018	
1098006	2116013	
1103003		
1109004		
1111013		

- Otherwise refer to Research.

Worker Representative Questionnaire (WRQ) checks

WCheck 1.   **If the code at WAREPTYP does not match the code they are instructed to use. Fails:**
IF MWR1=1 or 2 AND WAREPTYP[1]= -1 or is empty AND WRQNR / WRQNR2 =1, 2, 6, or 97 (i.e. not a refusal)

IF MWR2=3 or 4 AND WAREPTYP[2]= -1 or is empty AND WRQNR / WRQNR2 =1, 2, 6, or 97 (i.e. not a refusal)

Also need to check that correct interview was conducted with the Worker Rep with regard to union/non-union route through the interview.

IF MWR1 NOT EQUAL TO WARETYP[1]

IF MWR1 NOT EQUAL TO WARETYPE[2]

IF MWR2 (non union rep interview) NOT EQUAL TO WARETYPE[1]

IF MWR2 NOT EQUAL TO WARETYPE[2]

- This check will fail if a worker rep interview is required but has not been completed. The action you need to take depends on whether the WRQ is empty or not.

- If the WRQ is <u>empty</u>, check whether the WRQ is unproductive or is pending (perhaps because the worker rep is located in another area).
  - ➤ If the WRQ is unproductive and there is good reasons given at WRQNR / WRQNROTH / WRQNR2 / WRQNROT2, the check can be suppressed.
  - ➤ If the WRQ is pending, make a note on the factsheet but <u>do not</u> sign off the check, as it will be necessary to take the WRQ data through the edit when the data comes into the office.

  If the WRQ is <u>not empty</u>, you will need to examine the MQ and WRQ data to see whether the interview was conducted with the correct person. The selection rule for worker reps is based on questions ESTEWARD, ESTEWEXT, EOTHUREP, EOTHREPS and ESITON. There are two possible scenarios:
  - ➤ The interview has been conducted with the correct worker representative, but has been conducted in the wrong slot. Please do <u>not</u> change WAREPTYP as all of the WRQ data needs to be transferred to the correct slot in one go. Refer to funders.
  - ➤ The interview has not been conducted with the correct person. In these cases, the WRQ data is unlikely to be valid and may have to be deleted. Refer to funders.

WCheck 2.   **WAUNION code should match EUNIONREC or ENONREC union code from the MQ.**
Union rep belongs to a union that is not the largest union at the establishment.

- The check will identify cases where the manager and worker rep cite a *different* union; these cases should continue to be investigated.

- Look for interviewer notes that might explain why this is the case.

- Use data from the WRQ to determine if the MQ has incorrectly identified the largest union. Look at WBPROPPC or dividing WBPROPME by ZUNIMEM to check if the union referred to in WAUNION is likely to be the largest union at the workplace. If that is the case, flag the case with an overcode that MQ has incorrectly identified the largest recognised union.

- Otherwise, refer to sponsors who will compare union names/acronyms to assess whether a mistake may have been made in the coding at **WAUNION** or **EUNIONREC**/**ENONREC**.

- If the manager and the worker rep are found to be referring to different unions, refer to funders for decision as to whether union rep interview should be retained.

WCheck 3. **IF WAREPSEN = 2 [No] or WAWREPSE = 2 [No].**
The rep that has been interviewed was not the most senior rep of his/her type at the establishment.)

- Look at response to **WAUREPCH/WAWREPCH**. If most senior rep not available because currently off work (e.g. ill, on leave), and interviewed rep has at least one year's experience (**WAREPYRS**>1), the check can be suppressed.

- In all other cases, refer to funders for decision as to whether interviewed rep is sufficiently well-informed to act as respondent.

WCheck 4. **IF WBUNONLY = 1 [member].**
A non-union rep has reported that they only represent union members.

- This may indicate that the *non-union* rep is actually a *union* rep.

- Look at other responses (e.g. **WATITLE, WAWREPSE, WAWREPCH, WOTHRUN**), MQ data (e.g. **ZUNIONA01-11, ESTEWARD, EOTHUREP, EOTHREPS, DJOINT, ESITON, EUJCC**) and interviewer notes for clues.

- If the non-union rep does appear to be a union rep, refer to funders for decision as to whether the interview should be retained.

WCheck 5. **IF WBPROPME OR WCPROPME > ZALLEMPS**
The number of union members/employees represented is greater than the number of employees at the workplace.

- There is no soft check in the CAPI programme but the question includes the number of employees, so it is likely that the answer could be a typo or they have misinterpreted 'workplace' or 'employees'. If it is clear it is a typo, adjust WBRPOPME or WCPROPME accordingly.

- Check interviewer notes and **ZAGENCY** to see if they may have included non-employees as well.

- If it cannot be resolved, refer to sponsors.

WCheck 6. **IF WBSELEC = 4 only [manage and this is the only response]**
A union rep reports that they were appointed by management.

- May indicate that the *union* rep is actually a *non-union* rep.

- Look at other responses (e.g. **WAUNION, WAREPSEN, WBPROPME**) and associated interviewer notes, and MQ data (e.g. **EUNIONREC/ENONREC, ESTEWNUM, DJOINT, D1COMM, DELECT, DSELECT**) for clues. Union reps should have an idea about the number of employees they represent rather than just say that they represent everyone.

- If the union rep does appear to be a non-union rep, refer to sponsors for decision as to whether the interview should be retained.

WCheck 7. **IF WAREPTYP = 3 [NONUNION] AND WCJCCID = 2 [No]**
JCC rep does not sit on JCC that discusses the widest range of issues (as cited at D1COMM in MQ).

- May indicate that we have the wrong rep.

- Look at other responses (esp. **WCJCCNAM, WCCOMX**), MQ data (esp. **D1COMM, D1WHIX**) and interviewer notes for clues. Those data can indicate whether the rep was talking about the same committees as the MQ.

- If the JCC rep does not appear to sit on the JCC cited at **D1COMM**, refer to funders for decision as to whether the interview should be retained.

WCheck 8. **IF the ratio of WCJCCNUM to total employment at the workplace (ZALLEMPS from MQ) is greater than 0.2.**
More than 20% of the workforce sit on the JCC.

- Look at the name of the committee at **DICOMM**.
- See MQ Check 10 to see that the JCC data has not already been edited.
- There may be typos. Check what the MQ respondent has said about the number of reps sitting on the JCC (ESITNUM, EUJCCNUM). These figures should correspond to WCJCCNUM .

WCheck 9. ~~**IF ASINGLE=2 [SINGLE] and WDWHERE=2 [ANOTHER]**~~
~~*The rep has said pay decisions are made elsewhere in the organisation but it is a single site).*~~

- ~~This check is dropped because the information needed to resolve it is not collected in 2011.~~
- ~~It is unlikely that ASINGLE is wrong as the management data has already been edited. So there is a chance that **WDWHERE** has been misinterpreted or entered incorrectly. Check notes and answers to the other questions regarding pay determination (e.g. **WDINVORE, WDINVU, WDINVNU**) and change **WDWHERE** to 1~~

~~if you can ascertain that the respondent has misinterpreted WDWHERE or that the interviewer has keyed 2 instead of 1.~~

WCheck 10. **Specification for programming: If WEGENMEE = 5 [notatal] AND (WAPRWX = 12 or DK or Ref) AND (WAHRSWRK =DK or Ref) AND (WEADDME = 0)**
The rep has not called a general meeting of members in the last year and has been inactive.

- If the rep has not called a meeting in the last year (particularly if they are a union rep) there could be a question as to whether we are indeed talking to a bona fide worker representative.

- Further context is provided by **WAINDIV** - if it equals 1 (they are spending most of their time on individual activities) this may explain why they haven't called a members meeting.

- Equally, if the rep appears active in other sections of the questionnaire (e.g. Sections B or C when discussing interaction with management, or in Section D when discussing involvement in consultation or negotiation), the check can be suppressed.

- If neither of these scenarios seem to apply, it might indicate that the rep is not really such. Refer to funders.

~~**WCheck 11.** **If WEADDME = 0 [none]**
The rep has not communicated with members in the last year.~~

- ~~This check is dropped because the information needed to resolve it is not collected in 2011.~~

- ~~If rep is clearly active (**WAPRWX** or **WAHRSWK** ≠ 0) and is communicating with members through meetings (WEGENMEE ≠ 0), then the check can be suppressed.~~

- ~~Equally, if the rep appears active in other sections of the questionnaire (e.g. Sections B or C when discussing interaction with management: **WBMAMEET, WBMAOFT, WCMANCON**; or in Section D when discussing involvement in consultation or negotiation: **WDPAY, WDHOURS to WDHEASAF**), the check can be suppressed.~~

- ~~If neither of these scenarios seem to apply, it might indicate that the rep is not really such. Refer to funders.~~

WCheck 12. **IF WAREPTYP=1 or 2 or 3 or 4 AND THANK1 = -1 or is empty**

- If the rest of the WRQ had been completed (i.e. **WRQMODE** has a response even though **THANK1** doesn't), ensure that a '1' has been entered at the end of the WRQ in THANK1. Then check through the Admin block and for any questions that come on-route (e.g. **WRQNmT to WRQLen**) that cannot be imputed from interviewer comments / other information, then code 'Refused' (CTRL + R).

- If the WRQ interview broke off part way through then suppress the check.

WCheck 13. **WRRq is NOT EQUAL to WRPr AND (WRQNR / WRQNR2 =1, 2, 6, or 97 (i.e. not a Refusal.**
Number of WRQs required does not equal the number of productive WRQs.

- If there is a valid reason given in the admin block / interviewer notes regarding why the required WRQ(s) were not productive then suppress the check.

- Check verbatims and interviewer notes to make sure none of these titles indicated they have been incorrectly coded at WARETYP? That is, ensure none of the titles indicate union affiliation.

Financial Performance Questionnaire (FPQ) checks.
These will be conducted as a separate exercise. See FPQ edit checks for details.

2. Further instructions for resolving interviewer notes.

Interviewer notes should be checked for each case to ensure that there are no outstanding issues that need to be resolved.

The following are some further instructions on how some of these notes can be resolved. Most are not checks that are programmed into the edit, but are comments that have arisen from previous WERS editing. Further issues may be added as they arise.

Admin MQlen: If the length of the interview is less than 30 mins (Admin MQlen <30). If the answer has clearly been given in hours then change the figure to minutes.

Acontrol : If the owners live abroad establishment is foreign owned.

Bmember :
1. If member of CECA (Civil Engineering Contractors Association) should be coded to 2.

2. If vague whether member of trade association, try to establish this by looking at the website.

Researcher to check back coding from fact sheet

Baward : If part of the organisation is accredited this can be coded to Yes

CTEAMHOA & CTEAMHOC: Respondent said 'Both apply' or 'sometimes'- should code Yes

Fapppay : If verbatim note similar to 'not necessarily but can do' but respondent has answered question no further action is required.

Greferal : A note reading 'only ACAS' should be coded to 'Yes'.

IMATFULX: An interviewer note may have been added to say 'Whatever the statutory entitlement is'. Go back to IMATPAY and recode to 1 (SMP).

IPATFULX: An interviewer note may have been added to say "Whatever the statutory entitlement is". Go back to IPATPAY and recode to 1 SMP.

Illnum: Respondent should be answering about all types of illnesses not just one. If answering about 1 code DK.

Zabsence : If two different figures given for different sets of people e.g. for different shifts should take average of the figures.

3. Researcher Proving of Union names (OTHUNI and DVOUNm)

ZUNIONA/OTHUNI/DVOUNm :

Triggered if OTHUNI or DVOUNm = 997, 33 , 35, 36, 58, 77, 78, 75, 91, 92 or 96

In all cases where the interviewer cannot find a match for the union name in the look-up table, they should enter the name given by the respondent in the relevant 'OTHUNI' question verbatim, and then choose a generic code (e.g. 'Other Union / Staff Association, not listed elsewhere, code 997) from the look-up table. In some circumstances, the interviewer will find the closest match, rather than using a generic code, but they should still enter the precise name at OTHUNI.

Brentwood should refer all such cases to Research. Research can then:
  (a) verify that the body mentioned is an trade union or independent staff association;
  (b) if it <u>is</u>: choose the appropriate code from the union look-up table;
  (c) if it is <u>not</u>: remove the union (and its members) from the data.

To help in this process, you can refer to the lists of trade unions and staff associations held by the Certification Officer on 31 March 2010. If a body is not on either of these lists, it does not meet the statutory definition of a trade union / staff association. The trade unions list further indicates whether each of the unions / staff associations holds a certificate of independence (where this has been applied for).

If a body mentioned in the EPQ / Section A of the WRQ is not on the Certification Officer's list, that body should be deleted from the data. This means removing the 'members' from ZUNIMEM on the EPQ and deleting all references to those members or their 'union' in the EPQ / Section E of the MQ / Section A of the WRQ.

We should be aware, however, that respondents will not always state the name of the union precisely. In some instances, they may give an historic name for the union (e.g. MSF or AMICUS, rather than Unite the Union). To help with these cases, a large proportion of historic union names are listed in the look-up table and will assign the code of the new union name when selected. For example, searching the look-up table for 'Amicus' will allow you to select Amicus, but the code recorded is '289' which applies to Unite the Union. In other instances, the respondent may give an abbreviated name (e.g. ACM – Association for College Management). Many abbreviations are included in the look-up list but these will be less easy to deal with on the day, unless you are familiar with the abbreviation, and may need to be taken away for investigation.

You may also wish to refer to the union code list used in the MQ and WRQ. There are two versions of the same list available: one is ordered alphabetically by abbreviation and union name; the other is ordered numerically by union code.

Note: BASWA is British Ass. Of Social Workers, this is not a union so if has been coded as such would have to change EUNIONUM to not include this as union.

Note that the union code list that we use in the interview was correct as of 31st March 2010 and now may not include all of the trade unions or independent staff associations currently listed by the Certification Office. If the union you are looking at can be verified as a trade union or independent staff association, but does not have its own code on our union code list, you should use the most appropriate generic code. The generic codes are as follows:

Regional or district certified unions	33
Other certified union in universities organising non-academic staff	35
Other certified staff in universities organising academic staff	36
Clearing bank union	58
Association of Nurse Administrators; Health Visitors Association; and other certified nursing unions	77
British Association of Occupational Therapists; British Orthoptic Society; Chartered Society of Physiotherapists; Society of Chirpodists and Podiatrists; Society of Radiographers; and other certified unions for paramedical staff and scientific staff attached to hospitals.	78
Hospital Doctors Association and other certified doctors' unions	75
Staff associations: certified but not identified elsewhere	91
Uncertified organisations	92
Other certified local authority unions	95
Certified Scottish unions (not local authority or education)	96
Other certified unions	997

Finally please note that, for the purposes of Check 23, collective bargaining *can* take place with a trade union or staff association that is not independent. This means that, in the very rare case of the workplace recognising a non-independent union or staff association, which must be deleted from Section E, they are still permitted to report collective bargaining at FSOC. Failures at Check 23 can be suppressed in this situation. Note, however, that there is only one non-independent union or staff association on the Certification Officer's list: the News International Staff Association So this situation will be very rare indeed.

3. Other general points in respect of Researcher Editing:

Backcoding: If an 'Other, please specify' verbatim answer is to be back-coded into a code that has already been used (e.g. Verbatim at CFACTOTH refers to qualifications, and Qualifications - code 6 - has already been used in the interview), the verbatim should be coded 96. This is because it can be considered irrelevant.

Sample file: You will have access to sample file information provided on each local unit from the IDBR, including: employment at local unit level (LUEMPLOYEES) and enterprise level (EEMPLOYEES/EUEMPS); and the number of local units within the enterprise (ELIVE_LU/EULIVELU). In addition, for Panel cases, this file holds all of the information provided from WERS 04 on each panel establishment, including: employment in 2004 (P04EMPS in column EP); whether single or multi in 2004 (SINGLE in column EE); and the identity of the LOG in 2004 (P04LOG in columns EQ and ER). This file can be extremely useful in resolving researcher checks. All columns are labelled, but some of the most important data items in the sample file are cited below:

Column:	Name:	Description:
A	SERIAL	WERS serial number
C	TYPE	Whether cross-section or panel
	LEMPLOYMENT/LUEMPMENT	IDBR local unit employment (including owners)
Y	LUEMPLOYEES	IDBR Total number of employees at the Local Unit
	RULUREF	IDBR Local Unit reference number
	ENTREF	IDBR Enterprise reference number
	RUREF	IDBR Reporting Unit reference number
	LSIC2007/LUSIC2007	IDBR Industrial classification
AO-AQ	LUTRADSTYLE1-LUTRADSTYLE3	Trading style (sometimes describes the nature of the local unit, e.g. works department)
AV	RULEGALSTATUS	Legal status of the local unit
CB	EEMPLOYEES/EUEMPS	Total number of employees in the enterprise
CF	ELIVE_LU/EULIVELU	Number of local units in the enterprise
DH-DP	W4LUNAME1 – W4PCODE	PANEL ONLY: Name and address of WERS 04 workplace from IDBR
ET	P04RECUN	PANEL ONLY: Whether any recognised unions in WERS04
EU	P04UNION	PANEL ONLY: Whether any unions present in WERS 04

Postcode file: The CD also contains a file listing all local units on the IDBR that share the same postcode as local units selected to participate in the WERS cross-section. The columns in this file are not labelled, but a key is provided below. This file can also be useful in resolving researcher checks.

Column:	Name:	Description:
A.	RULUREF	IDBR Local Unit reference number
B.	ENTREF	IDBR Enterprise reference number
C.	RUREF	IDBR Reporting Unit reference number
D.	SIC2003	Industrial classification

E.	EMPLOYMENT	LU employment (including owners)
F.	EMPLOYEES	LU employees
G.	MFULLEMP	Male full-time employees
H.	MPARTEMP	Male part-time employees
I.	FFULLEMP	Female full-time employees
J.	FPARTEMP	Female part-time employees
K.	NAMELINE1	LU name
L.	NAMELINE2	LU name
M.	NAMELINE3	LU name
N.	TRADSTYLE1	LU trading style (sometimes describes the nature of the local unit, e.g. works department)
O.	TRADSTYLE2	LU trading style
P.	TRADSTYLE3	LU trading style
Q.	ADDRESS1	LU address
R.	ADDRESS2	LU address
S.	ADDRESS3	LU address
T.	ADDRESS4	LU address
U.	ADDRESS5	LU address
V.	POSTCODE	LU post code
W.	CONTACT	LU contact name
X.	TELEPHONE	LU phone number
Y.	RUNAME1	RU name
Z.	RUNAME2	RU name
AA.	RUNAME3	RU name

'Additional data.xls':

We have also compiled a spreadsheet containing additional data items that might be helpful in the editing of Panel cases. Columns B to AX contain additional items of WERS 04 interview data, including data on the workforce profile in 2004 and the location of the 2004 interview. Columns AY to BP then contain additional items of 2011 interview data, including data from AHOWCX and data on the location of the 2011 interview.

Appendix: list of amendments made to codebook