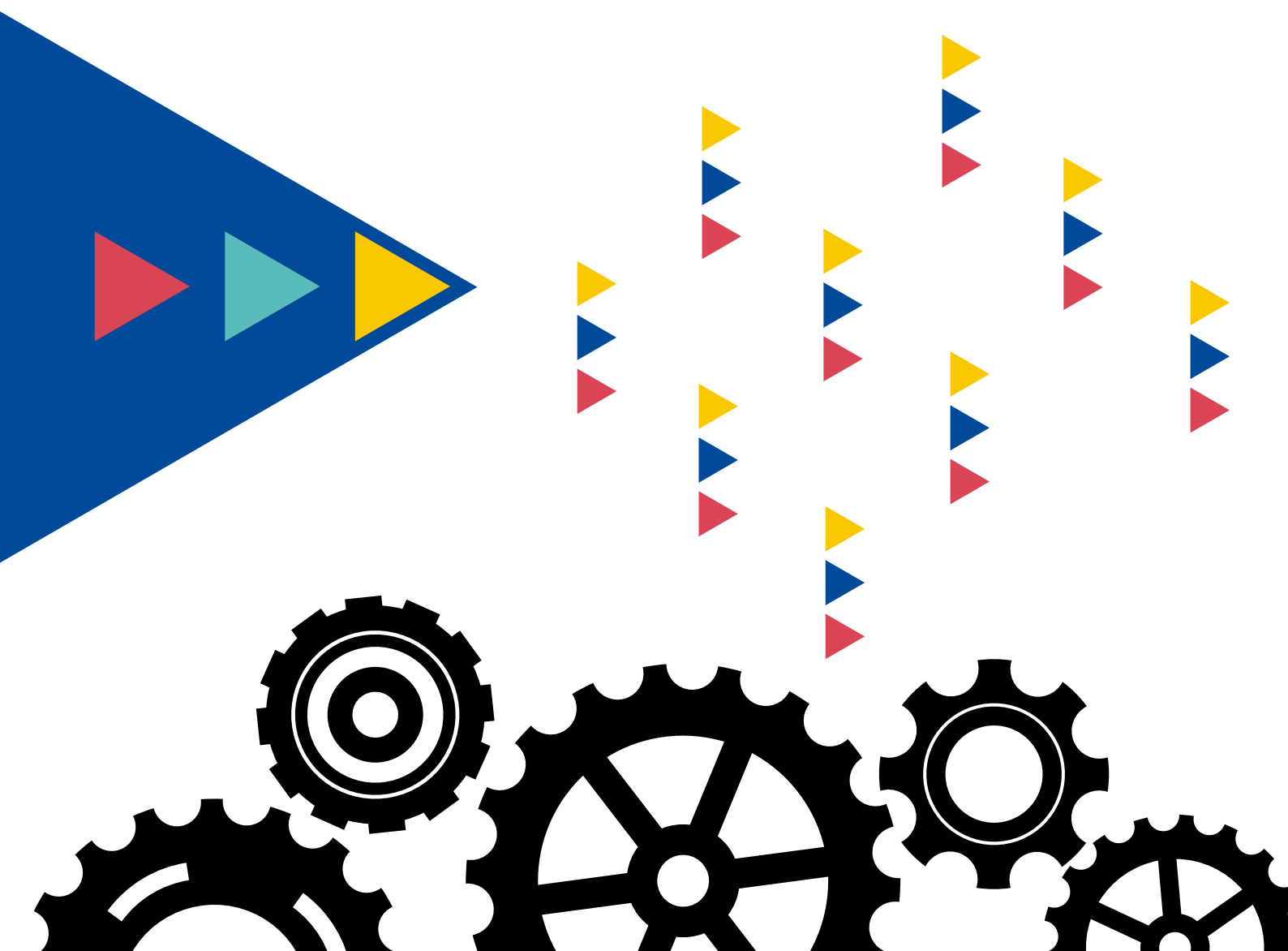


Guidebook on  
▶ **How and why  
to collect and use data  
on industrial relations**



## Guidebook on how and why to collect and use data on industrial relations

This guidebook is intended to support the ILO's tripartite constituents – i.e. governments, and employers' and workers' organizations – in the collection of data on industrial relations, including on trade union membership, on the coverage of collective bargaining agreements and on strikes and lockouts. It also aims at contributing to improvements in the quality and comparability of those data. It provides insights regarding the data sources that can be used as well as examples from countries that already collect such data.

# Guidebook on how and why to collect and use data on industrial relations



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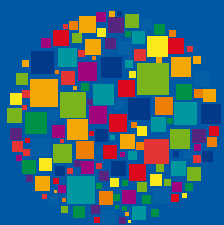
Garment workers in Ethiopia, 2017. © ILO

## Why is it important to collect data on industrial relations?

1

- The collection of data on trade union membership, on the coverage of collective bargaining and on strikes and lockouts provides governments and social partners with information enabling them to better understand the evolution of trends in industrial relations, with a view to adopting policies that promote collective bargaining and sound industrial relations; they also enable those policies to be evaluated.
- Considered in the context of national laws and conditions, data on industrial relations can also help in assessing progress made towards the realization of freedom of association and the effective recognition of the right to collective bargaining – principles that lie at the core of decent work (see box 1 and box 5).
- The ILO collects national statistics on industrial relations through an annual questionnaire which is submitted by the Department of Statistics to member States. That questionnaire asks member States for data about trade union membership; about the coverage of collective bargaining; and about strikes and lockouts (see Annex 1).
- The ILO's work in collecting and compiling industrial relations data has enabled it to create a database (IRData) that includes statistics on trade union density rates; on collective bargaining coverage rates; and on strikes and lockouts for around 100 countries. IRData is embedded in the ILO's central statistical database, ILOSTAT (available at <https://ilostat.ilo.org>).
- IRLex, another ILO database on industrial relations, summarizes legal frameworks in a wide array of member States. IRLex is available at <https://www.ilo.org/irlex>.

1





Workers at a fruit processing station, Tunisia, 2016. © ILO

## Trade union membership

# 2

### 2.1. Data to be collected

3

- Trade union membership is defined as the number of employed persons<sup>1</sup> who currently belong to a trade union. To calculate indicators relating to trade union membership (see box 3), the following data are needed, broken down by status in employment (i.e. employees and self-employed workers<sup>2</sup> separately) and sex:
  - number of employed persons who belong to a trade union;
  - total number of employed persons.
- In order that labour market data can be analysed from a gender perspective, it is necessary to collect data and report trade union membership for men and women separately, regardless of whether the data sources are household/labour force surveys, administrative registers or establishment surveys.
- In addition, data can also be collected and reported broken down by status in employment to give separate numbers for employees (and if possible within this category for formal and informal employees) and for self-employed persons.
- Disaggregation by age could also be of interest, enabling analysis of union membership trends across different age groups.
- Similarly, to capture differences in trade union membership rates across different segments of the labour force, data could be collected and reported separately for the public and private sectors and by economic activity.

<sup>1</sup> For definitions of employed persons, see Annex 2 below, “Additional concepts and definitions”.

<sup>2</sup> The International Classification of Status in Employment (ICSE-18) adopted by the 20th International Conference of Labour Statisticians (ICLS), 2018, introduced a number of groups that are intended to gradually replace the concept of “self-employed workers” introduced in the earlier ICSE-93. These include “own-account workers in household market enterprises without employees” and “dependent contractors”.

### Box 1. Freedom of association as a fundamental principle and right at work

- The effective recognition of freedom of association is one of the fundamental principles and rights at work, and is enshrined as such in one of the ILO's eight fundamental Conventions, namely the Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87).
- Article 2 of Convention No. 87 states that “Workers and employers, without distinction whatsoever, shall have the right to establish and, subject only to the rules of the organisation concerned, to join organisations of their own choosing without previous authorisation”. Article 10 of the same Convention refers to trade unions as “any organisation of workers ... for furthering and defending the interests of workers”.
- In the view of the ILO's Committee of Experts on the Application of Conventions and Recommendations, member States may require certain (registration) formalities for the establishment of employers' and workers' organizations, “provided that they do not in practice impose a requirement of ‘previous authorization’ ... or give the authorities discretionary power to refuse the establishment of an organization; nor must they constitute such an obstacle that they amount in practice to a pure and simple prohibition” (ILO, 2012a, para. 82).

## 2.2. Data sources

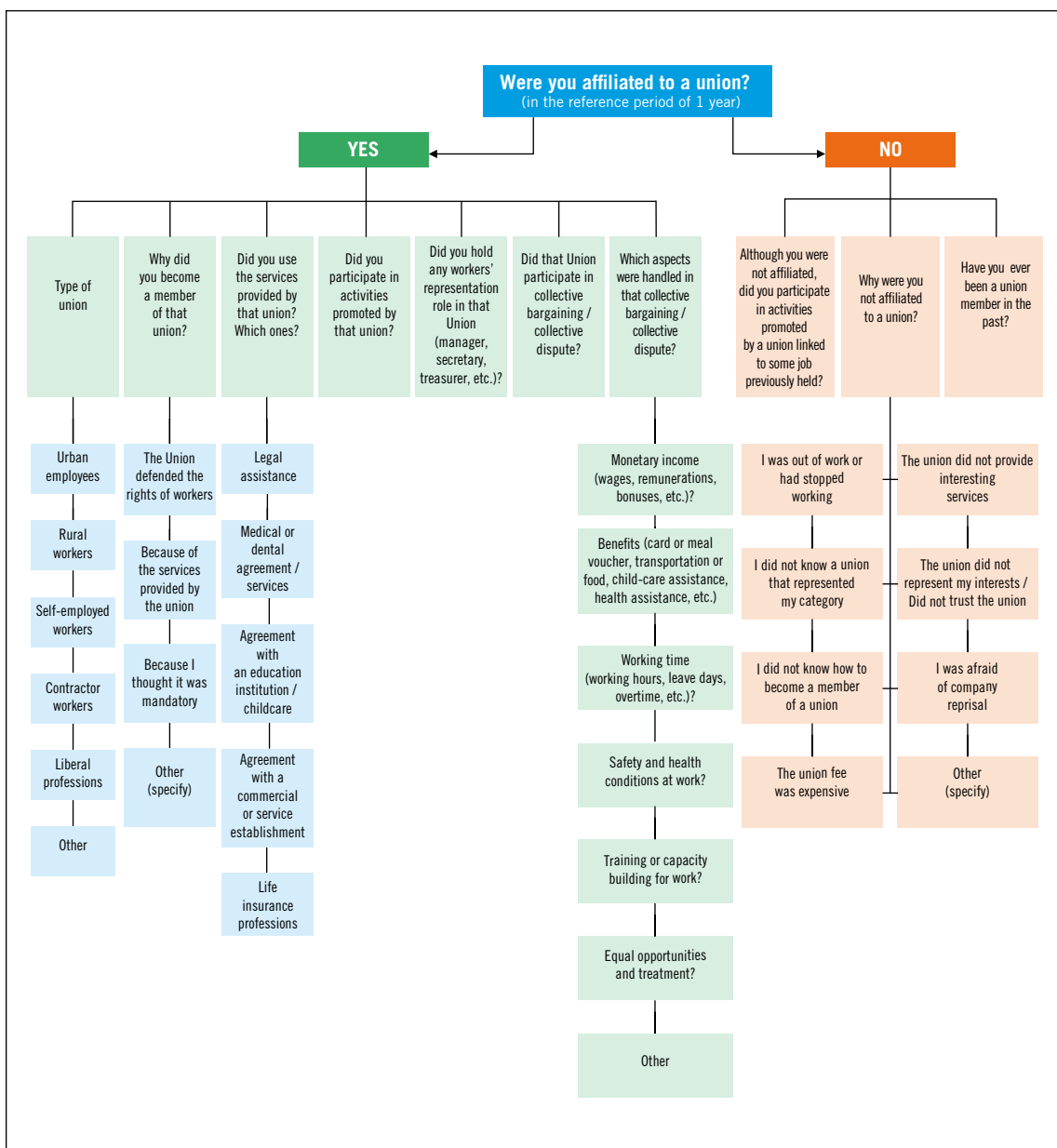
### 2.2.1. Labour force or other household surveys

- The labour force surveys that collect data on trade union membership do it across all employed persons, separately for employees and self-employed workers and by sex, at national level, including formal and informal employees.
- An advantage of this type of survey is that the unit of analysis is the individual, and therefore each person is only counted once. This avoids double-counting of union members in cases where, for instance, one person is a member of more than one union.
- Labour force or other household surveys provide additional information which may also be of interest, including for example individuals' labour market status and socio-economic situation.
- In countries where a labour force survey is already in place or about to be introduced, one or more questions on trade union membership could be included. Such a question or questions should be carefully worded, preferably with the participation of tripartite constituents and pilot testing prior to inclusion in the survey, to ensure that respondents will understand what is being asked of them, given that one person in the household usually provides the information requested in such surveys for all household members.
- The ILO Microdata Repository currently contains data for around 60 countries that have collected data on trade union membership in their household-based surveys in the past ten years.
- The country examples of Brazil (1), Cabo Verde (2) and South Africa (3) below provide information about labour force or other household surveys that collect data on trade union membership and/or collective bargaining.

### Country example 1. Special survey on unionization, Brazil

In Brazil, data on the unionization of workers, including the types of unions to which workers are affiliated, have been collected since 1992 by the National Household Survey (Pesquisa Nacional por Amostra de Domicílios) implemented by the Brazilian Institute of Geography and Statistics (Instituto Brasileiro de Geografia e Estatística). In 2015 two additional qualitative surveys on unionization and on labour relations were carried out in partnership with the ILO and the then Ministry of Work and Employment. They aimed at gaining additional knowledge about the labour market that could contribute to the development of public policies related to decent work. The survey on unionization included qualitative questions both for workers who were affiliated to a union and for those who were not affiliated to a union. An adapted translated summary of these questions can be found in figure 1.

Figure 1. Special survey on unionization, Brazil: Questions on union membership



### Country example 2. Multi-Objective Continuous Survey, Cabo Verde

The **Multi-Objective Continuous Survey** (Inquérito Multi-objetivo Contínuo, **IMC**) is a nationwide household survey carried out by the Cabo Verde National Institute of Statistics with the purpose of making available to public and private authorities and other users a set of important indicators for monitoring and evaluating policies and programmes, including the national Strategic Programme for Sustainable Development and the United Nations Sustainable Development Goals. That set of **indicators** covers the socio-demographic characteristics of the population, the labour **market**, living conditions and vocational training. The **2018 IMC** included two questions on trade unionism, of which a simplified translated summary can be found in figure 2.

#### Figure 2. Cabo Verde's household survey: Questions on union membership

**Do you belong to a trade union or professional organization that upholds the rights of workers?**

- Yes, to a union
- Yes, to a professional organization
- To both
- To neither

**Is the trade union or professional organization to which you belong represented in the enterprise/establishment where you carry out your main activity?**

- Yes
- No
- Does not know/does not answer

### Country example 3. Quarterly Labour Force Survey, South Africa

The **Quarterly Labour Force Survey** (QLFS) is a household-based sample survey that has been conducted by Statistics South Africa (Stats SA) which collects data on the labour market activities of individuals aged 15 years or older, including those who are employed, those who are unemployed and those who are not economically active. The QLFS elicits information on both trade union membership and collective bargaining coverage; in each case the data are disaggregated by sex. An excerpt showing two of the questions included in the **questionnaire** – which are put to employees only – can be found in figure 3.

#### Figure 3. Quarterly Labour Force Survey, South Africa: Questions relating to union membership and pay

**Are you a member of a trade union or other workers' organization?**

- Yes
- No
- Don't know

**Who determines your annual salary increase?**

- Negotiation between myself and employer at company
- Negotiation between union and employer
- Bargaining council or other sector bargaining arrangement
- Employer only
- No regular annual salary increase
- Other (specify)

### 2.2.2. Administrative registers

- The most commonly available sources for the collection of data on trade union membership are administrative registers. Trade union confederations, ministries of labour and national statistics offices may all construct and keep administrative registers on trade unions that include information on union membership. Data in these registers are based on reports from trade unions. In order for trade unions to report on membership numbers, they will keep their own administrative registers: this register is usually a file containing a list of members with additional information about each one of them, such as name, sex, activity status (i.e. whether they are employed, unemployed, retired, student), status in employment (i.e. whether they are employees, self-employed), the date when they joined the trade union and the amounts and dates of fees they have paid (see box 2).
- Administrative registers are created to serve administrative and legislative requirements rather than statistical purposes, and so do not usually conform to statistical standards. This means that use of this data source is attended by a number of caveats: (1) coverage of trade unions may be limited to those that are registered; (2) there may be double-counting of trade union members where the same employed person is affiliated to more than one union; (3) registers may not be up-to-date and/or regularly updated; (4) data may not be consistently gathered or presented over time if new regulations concerning the scope and reporting of trade union membership are introduced; (5) membership numbers may be over- or under-reported by trade unions. In addition, when administrative registers do not include information about the sex or employment status of members, the resulting statistics cannot be disaggregated according to these factors.

#### Box 2. How are data on trade union membership collected in administrative registers?

- In countries in which the national competent authority (usually the agency that handles the registration of enterprises in general, or another designated agency, such as the ministry of labour) maintains an administrative register of trade unions, this will usually also list each union's characteristics, including such details as its name, the enterprise(s) in which its members work, the industry or industries within which it operates, the names of its leaders, the date it started operating, the number of members by type (e.g. employees, self-employed workers, retired persons, unemployed persons, students), etc.
- Once registered, trade unions can be requested to submit reports regarding any change in their administrative structure, such as the election of leaders, changes in internal regulations, mergers or splits, changes of name, etc. As the information provided in these reports is received, it is incorporated in the register of trade unions, helping to keep the register up to date. These reports are useful to identify, for example, trade unions that are no longer active, as those would not submit such reports. Unions identified as inactive in this way can either be removed from the register or at least flagged as inactive. Reports on the election of trade union leaders can also enable information on the number of members in each union to be updated, using information on the numbers of votes cast.



- Trade unions may also be expected to submit an annual report to the competent authority giving information about their finances and the number of members at a certain date. This information is also added to the register of trade unions and can be used to arrive at the total number of trade union members in the country by aggregating the numbers of members of individual unions. See country examples 4 (Ireland) and 5 (Cyprus) below.
- Unions may also report on the employment status of their members (e.g. how many are employees, self-employed workers, former employees currently unemployed or retired, students), as for instance in Finland (see country example 6). To do so trade unions need to keep such information about each member in their own registers, along with personal details such as name, sex and date of birth.
- When such annual reporting by trade unions is not mandatory, or when trade unions are not able to report on a regular basis, statistics on the number of trade union members can be produced by making direct enquiries to those active trade unions found in the register of trade unions. These enquiries may be informal, sometimes simply consisting of a phone call or email from the competent authority to those trade unions for which no up-to-date information exists asking them to report the numbers of their members.
- Such enquiries can also be made formally, addressed to all active trade unions using a standard questionnaire. These may be more complex, taking the form of a census of trade unions, perhaps carried out at regular intervals, to collect information on many topics relating to the organization and context of trade unions (see e.g. country example 6 on Finland). When their objective is solely to produce statistics on the subject, these special enquiries should be considered as censuses of relevant units (in this case, trade unions) that have been identified through an administrative register.
- Information on the number of trade union members may be complemented by information found in reports prepared by labour inspectors when visiting enterprises in the course of their duties. The competent authority, which is generally the ministry of labour, can create an administrative register using information from such reports, which may include for each enterprise visited whether a trade union exists and how many employees are members. Information on numbers of trade union members provided in these reports may be used to validate or supplement other existing data, in particular when trade unions are unable to report on a regular basis. Finally, statistics on numbers of trade union members may also be produced by national federations of trade unions. Such federations may ask their affiliated unions to submit reports that include information on their numbers of members. The statistics on trade union membership from the most relevant federations can be aggregated by a competent authority such as the ministry of labour to obtain a total for the country. However, that total may not cover all the trade unions in the country.

### Country example 4. Reporting of trade union members, Ireland

In Ireland, trade union membership is reported by trade unions to the Companies Registration Office using a **form** that requests information at the beginning and end of the year, disaggregated by sex, and identifying members who are over 65 years of age.<sup>3</sup> An extract of that form is shown in figure 4.

**Figure 4. Extract from form used to report trade union membership in Ireland**

Return of members	Year to which return refers ( )	Figures from previous year's return ( )
Number of members at beginning of year		
Number of members admitted during year		
Number of members whose membership ceased during the year		
Number of members at end of year		

Breakdown of members	Year to which return refers ( )	Figures from previous year's return ( )
Number of males at end of year		
Number of females at end of year		
Number of members contributing to political fund		
Number of members over 65 years age		
Number of widows/widowers contributing for funeral benefits		

### Country example 5. Reporting of trade union members, Cyprus

In Cyprus, trade unions report their membership, disaggregated by sex and age group, to the Department of Labour Relations using a **form**. A translated extract of that form is shown in figure 5.

**Figure 5. Extract from form used to report trade union membership in Cyprus**

Status of members	Men	Women	Total
Number of members in the register at the beginning of the year			
Number of members enrolled during the year			
Number of members who left during the year for any reason			
Total number of members in the register on 31 December			
BY AGE GROUP			
16–20 years			
21–30 years			
31–40 years			
41–50 years			
51–60 years			
61 years and over			
Total			

<sup>3</sup> Annual return form, trade union, form A.R. 21, Companies Registration Office, Ireland.



## Country example 6. Reporting of trade union members, Finland

The Ministry of Economic Affairs and Employment of Finland sends a **questionnaire** to all trade unions, including those not belonging to any federation, on an ad hoc basis. The questionnaire sent in March 2017 included questions on the union's membership structure. A simplified translation of that questionnaire is shown in figure 6.

**Figure 6. Questionnaire used to report trade union membership in Finland**

**1. Name of the union** \_\_\_\_\_

**2. Is your union a member of a federation? If so, which?**

2.1 AKAVA (Confederation of Unions for Professional and Managerial Staff in Finland)

2.2 SAK (Central Organization of Finnish Trade Unions)

2.3 STTK (The Finnish Confederation of Professionals)

2.4 The union is not a member of a federation

### Member information

**3. What was the total number of your members on 31 December 2017?**

\_\_\_\_\_

**4. How was your membership split on 31 December 2017?**

4.1 Retirees \_\_\_\_\_

4.2 Unemployed \_\_\_\_\_

4.3 Entrepreneurs \_\_\_\_\_

4.4 Students \_\_\_\_\_

4.5 Other atypical members (free members, etc.) \_\_\_\_\_

**5. How many members were working abroad on 31 December 2017?**

\_\_\_\_\_

**6. How many members paid your membership fees on 31 December 2017?**

\_\_\_\_\_

**7. How many female members did your union have on 31 December 2017?**

\_\_\_\_\_

**8. Membership age structure on 31 December 2017:**

\_\_\_\_\_

Please indicate the age structure of those in employment. If there is no information for 2017/18, please indicate the date of the information:

Year of birth	Men	Women
1988		
1978–87		
1968–77		
1958–67		
1957 or earlier		

**9. How much of your membership is working:**

- 9.1 In industry \_\_\_\_\_ % (metal, construction, forestry, etc.)
- 9.2 In private services \_\_\_\_\_ % (trade, accommodation and catering, banking and insurance, transport, etc.)?
- 9.3 Public service sectors \_\_\_\_\_ %
- State \_\_\_\_\_ %
- Municipalities \_\_\_\_\_ %
- Churches \_\_\_\_\_ %
- In primary production (agriculture and forestry, mining, etc.) \_\_\_\_\_ %

**10. What is the degree of unionization on 31 December 2017?**

*(estimated number of members out of total number of potential members)*

- Membership \_\_\_\_\_
- Number of potential members \_\_\_\_\_
- Degree of unionization \_\_\_\_\_ %

**2.2.3. Establishment surveys**

- Establishment surveys that measure production or employment are usually carried out by the national statistics office or by the ministry of labour. These can also be a source of information on the number of employed persons belonging to trade unions, if they include questions about the existence of one or more trade unions in the establishment. For a description of an establishment survey carried out in the Philippines that includes a set of questions regarding trade union membership see country example 12 below.
- Statistics derived from establishment surveys are usually based on information taken directly from the establishment's payroll and provided by the employer.
- The use of establishment surveys as a source for trade union membership may be subject to certain limitations:
  - establishment surveys tend to be limited to employees from the non-agricultural formal sector and/or to enterprises employing above a certain number of employees; thus, employees in micro- and small enterprises, many of which are in the informal economy, will generally not be included;
  - they will also exclude employees provided by an agency to perform their work at – and under the supervision of – a user company;
  - they usually provide aggregated information for each establishment which may give little scope for further analysis regarding sex, age and other characteristics of union members.

### Box 3. Trade union density rate

- The trade union density rate reflects the employed persons who are members of a trade union (numerator) as a percentage of all employed persons (denominator).
- For the purpose of calculating the trade union density rate at national level, labour force surveys are able to provide data about the number of employed persons who belong to a trade union and about the total number of employed persons for the same reference group – which offers the advantage of consistency. On the other hand, administrative registers provide data about the number of employed persons who belong to a trade union; however, the total number of employed persons will come from a different source, usually a household/labour force survey. This means that when using administrative registers to calculate the national trade union density rate two different sources will be used and therefore two different reference groups of people, which may detract from the statistical soundness of the result. Finally, establishment surveys are able to provide data about the number of employees who belong to a trade union and about the total number of employees, which allows the calculation of a trade union density rate at the firm level. However, if the purpose is to calculate the trade union density rate at national level, the workers covered will have a more limited scope than that those provided by a nationwide household/labour force survey that covers all employed persons.
- In countries (e.g. Denmark and Sweden) where unions manage unemployment benefit funds, unemployed people remain on union membership rolls (Chang and Sorrentoni, 1991). In others (e.g. Italy), a high proportion of union members are retired people (Blanchflower, 2007). In order to facilitate comparisons across countries, it is important to use the same reference group for both the numerator and the denominator of the calculation to generate the trade union density rate. Given that the union membership in many countries is mainly composed of employees, comparisons across countries may better be made on the basis of the trade union density rate of employees. In that case, trade union members who are unemployed, who are students or who are retired should be excluded from the trade union density rate.
- Article 9(1) of the Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87), states that “The extent to which the guarantees provided for in this Convention shall apply to the armed forces and the police shall be determined by national laws or regulations.” In those member States where the armed forces and/or the police are excluded from trade union membership, information on the number of those workers can be used to calculate an adjusted trade union density rate. Such an adjusted rate would exclude these workers from the denominator, as illustrated for country B in box 4.
- The published statistics on trade union density should provide as a minimum brief details concerning the source(s) of the statistics, their coverage and the concepts and definitions used, as well as a website or published reference where methodological information can be obtained.

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### Box 4. Calculating the trade union density rate: Two hypothetical examples

#### Country A

Suppose that in a fictional Country A there were 1,200,000 trade union members in 2019. This total was arrived at by the country’s ministry of labour, based on reports submitted by trade unions. Of those 1,200,000 trade union members, 1,060,000 were employees and the remaining 140,000 were self-employed workers.

In order to calculate the trade union density rate, it is necessary to obtain statistics on the number of employed persons in the country. To arrive at the number of employed persons, the ministry of labour of Country A uses estimates from the national statistics office, which are based on a 2019 labour force survey, as shown in table 1 below.



**Table 1. Numbers employed in Country A, by employment status, 2019 (000s)**

a	Total employment	8,400
b	Employers	375
c	Self-employed workers	1,830
d	Employees in the private sector	4,800
e	Employees in the public sector	1,000
f	Domestic employees	300
g	Contributing family workers	95

In Country A, all workers have the right to join a union, including those in the armed forces and the police. Therefore it is not necessary to exclude those workers from the trade union density rate. We see from table 1 that the number of employed persons is 8,400,000.

The trade union density rate is therefore equal to:

$$= \frac{\text{Number of employed persons who belong to a trade union}}{\text{Total number of employed persons (= rows b + c + d + e + f + g, table 1)}} \times 100$$

$$= \frac{1,200,000}{8,400,000} \times 100 = \mathbf{14.3\%}$$

Based on table 1, the number of employees is equal to the sum of lines d, e and f (= 6,100,000). It is thus also possible to calculate the trade union density rate for employees only:

$$= \frac{\text{Number of employees who belong to a trade union}}{\text{Total number of employees (= rows d + e + f, table 1)}} \times 100$$

$$= \frac{1,060,000}{6,100,000} \times 100 = \mathbf{17.4\%}$$

### Country B

In Country B there were 1,500,000 trade union members in 2018. They were all employees. The total number of employees was 15,100,000, of whom 570,000 did not have the right to join a union. This means that the number of employees who did have the right to join a union was 14,530,000 (i.e. = 15,100,000 – 570,000). The trade union density rate for employees in Country B can be calculated as follows:

$$= \frac{\text{Number of trade union members who are employees}}{\text{Total number of employees}} \times 100$$

$$= \frac{1,500,000}{15,100,000} \times 100 = \mathbf{9.9\%}$$

Because not all employees have the right to join a trade union, an “adjusted” trade union density rate can also be calculated in which the denominator will include only those employees who have the right to join a trade union and exclude those who do not have that right, as follows:

$$= \frac{\text{Number of trade union members who are employees}}{\text{Number of employees who have the right to join a union}} \times 100$$

$$= \frac{1,500,000}{14,530,000} \times 100 = \mathbf{10.3\%}$$



Bipartite meeting in a local garment factory, part of the Better Work Programme, Indonesia, 2014. © ILO

## Collective bargaining coverage

# 3

### 3.1. Data to be collected

- The collective bargaining coverage conveys the number of employed persons whose working conditions are determined by one or more collective agreements currently in force, including those concluded in previous years. Employed persons covered by a collective agreement through the application of an extension provision should also be included. An extension provision generalizes the terms and conditions of employment agreed between organized firms and workers, represented through their association(s) and union(s), to the non-organized firms within a sector, occupation or territory (Hayter and Visser, 2018, p. 2). Box 5 provides further information about collective bargaining.
- To calculate indicators relating to collective bargaining coverage (see box 7), the following data are needed, disaggregated by sex and status in employment (i.e. employees and self-employed workers):
  - number of employed persons whose working conditions are determined by one or more collective agreement(s) currently in force, including those workers covered by extension provisions;
  - total number of employed persons.
- Care should be taken to avoid the double-counting of workers. This may be done in the following ways: (1) where multi-level bargaining structures are in place, workers covered by more than one collective agreement negotiated at different levels should be counted only once (ILO, 2013a); and (2) the number used for the calculation should refer to workers covered by at least one collective agreement in force – regardless of its date of conclusion – and not to the cumulative sum of workers covered by all agreements.
- Data from all sources, including household/labour force surveys, administrative registers and establishment surveys, should be collected and reported, as far as possible, disaggregated by sex, to enable the analysis of gender patterns in labour markets. Also, to enable differences in collective bargaining across different labour market segments to be captured, data could be collected and reported separately for the public and private sectors, by economic activity and, if possible, by informal/formal nature of work.

### Box 5. What is collective bargaining?

- The effective recognition of the right to collective bargaining is one of the fundamental principles and rights at work, and is enshrined as such in one of the ILO's eight fundamental Conventions, namely the Right to Organise and Collective Bargaining Convention, 1949 (No. 98).
- Collective bargaining is defined in Article 2 of the Collective Bargaining Convention, 1981 (No. 154), as “all negotiations which take place between an employer, a group of employers or one or more employers’ organisations, on the one hand, and one or more workers’ organisations, on the other, for: (a) determining working conditions and terms of employment; and/or (b) regulating relations between employers and workers; and/or (c) regulating relations between employers or their organisations and a workers’ organisation or workers’ organisations”.
- According to the ILO's Collective Agreements Recommendation, 1951 (No. 91), “collective agreements means all agreements in writing regarding working conditions and terms of employment concluded between an employer, a group of employers or one or more employers’ organizations, on the one hand, and one or more representative workers’ organizations, or, in the absence of such organizations, the representatives of the workers duly elected and authorised by them in accordance with national laws and regulations, on the other”. Agreements can be concluded at the enterprise level, at regional level for a single sector, at regional level for multiple sectors, at national level for a single sector or at national level for multiple sectors.
- The level at which the bargaining takes place, and the degree of coordination between levels, tends to be linked to the coverage and inclusiveness of collective agreements in terms of the proportion of workers included. Multi-employer bargaining that takes place at the sectoral or national level is the most inclusive form of collective bargaining (Visser, Hayter and Gammarano, 2017, p. 6).
- The ILO's Collective Agreements Recommendation, 1951 (No. 91), states that, where appropriate, having regard to national practice, “measures ... should be taken to extend the application of all or certain stipulations of a collective agreement to all the employers and workers included within the industrial and territorial scope of the agreement”.

## 3.2. Data sources

### 3.2.1. Labour force or other household surveys

- Labour force surveys collect data across all employed persons at national level, including formal and informal employees. When those surveys include questions on whether the worker is covered by a collective agreement they can be used as a data source for the collective bargaining coverage. Country examples 7 (Malawi) and 8 (United Kingdom) present questions used in labour force surveys in those countries to collect information on trade union membership and on collective bargaining coverage.
- Labour force or other household surveys have the following advantages as sources for the calculation of the collective bargaining coverage rate:
  - The unit of analysis is the individual, and therefore each employed person is only counted once; this avoids the double-counting of employed persons whose pay and working conditions are determined by more than one collective agreement.

- These sources also provide additional information about the individuals' labour market and socio-economic situation which may be of interest. In particular, labour force or other household surveys provide data which enables numbers to be disaggregated by sex and employment status.
- However, household surveys have potential limitations regarding the collection of data on collective bargaining coverage: respondents may not always know whether or not their pay and/or working conditions are determined by a collective agreement, especially when one person responds to the survey on behalf of all household members.

### Country example 7. Labour Force Survey, Malawi

In response to the demand for detailed labour market statistics, the National Statistical Office of Malawi, the Ministry of Labour and the Ministry of Industry and Trade conducted a nationwide **labour force survey in 2013** with technical support from the ILO. The survey was designed to provide **information** on a wide range of issues related to employment and unemployment and collected data on, among other things, trade union membership, the reasons for not joining trade unions and the existence of collective bargaining at the place of work. Data were disaggregated by sex and by occupation. A sample of the questions included in the **survey** is shown in figure 7.

#### Figure 7. Excerpt from survey used to collect trade union-related data in Malawi

**In this job, are you a member of a trade union or a similar employee association?**

- Yes, trade union
- Yes, employees' association
- No

**If "no", why not?**

- Have a negative view of trade unions
- Not aware of any unions to join in my workplace/area
- Don't know trade union
- It is discouraged by my employer
- Not sure what a union can do to help me
- Never been approached to join
- Never considered joining
- Do not have time
- Not interested in public affairs
- Too expensive
- Other (specify)

**Is there any collective bargaining agreement at your workplace?**

- Yes
- No
- Don't know

### Country example 8. Labour Force Survey, United Kingdom

The UK **Office for National Statistics** conducts the **Labour Force Survey**. This is carried out four times a year and is the largest household study in the country, providing the official data from which employment and unemployment statistics are compiled. Figure 8 presents an excerpt from the questionnaire for the first quarter of 2019, showing questions on union representation and on collective bargaining.

**Figure 8. Excerpt from UK Labour Force Survey questionnaire relating to trade union membership**

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

- 1. Yes
- 2. No

**Are any of the people at your place of work members of a trade union or staff association?**

- 1. Yes
- 2. No

**Are your pay and conditions of employment directly affected by agreements between your employer and any trade union(s) or staff association(s)?**

- 1. Yes
- 2. No

### 3.2.2. Administrative registers

- The most common sources for statistics on collective bargaining coverage are administrative registers of collective agreements kept by national ministries of labour, by trade unions and by employers' organizations. More general administrative registers of enterprises may also contain information on whether workers are covered by a collective agreement (as e.g. in Portugal: see country example 9). As discussed in section 2 above on trade union membership, the quality of administrative registers will depend on legal and/or administrative procedures and stipulations, notably whether the registration of collective agreements is compulsory (see box 6).
- In considering the use of an administrative register of collective bargaining agreements as a source for the collective bargaining coverage, it should be borne in mind that such registers do not usually make reference to the number of workers that each agreement covers. More usually, they state that the agreement is applicable to the workers in a particular enterprise, sector or industry, or those within a specified geographical area; also, in each case the number of workers covered may vary over the duration of the agreement.
- Care should be taken to capture the coverage of agreements which have been registered in previous year(s) but are still valid.



### Box 6. How are data on collective bargaining coverage collected in administrative registers?

- The registration of collective agreements may be required by legislative provisions in member States to establish a record of applicable regulations. The collection of reliable information can help public authorities to follow developments in collective bargaining, to encourage cooperative labour relations, and to be better prepared to deal with any disputes arising from the interpretation or non-application of a collective agreement. Administrative data of this kind can also help public authorities to identify vulnerable sectors where no collective bargaining is taking place and to allocate resources more efficiently (ILO, 2015).
- In countries where collective agreements are registered with the competent authority by the employer and/or trade union (such as Spain: see country example 10 below), they may be expected to report the number of workers covered by the agreement at its commencement (date of signature).
- Another approach is to use the administrative register of collective agreements to identify those enterprises and/or trade unions covered by a collective agreement and to send them a questionnaire requesting information about the number of workers covered by the agreement on a specific date. When their objective is solely to produce statistics on the subject, these special enquiries should be considered as censuses of relevant units (employers, unions) that have been identified through an administrative register.

### Country example 9. Quadros de pessoal (personnel records), Portugal

An administrative register called Quadros de pessoal (personnel records) has been compiled annually in Portugal since 1981. It covers all firms and a wide range of labour law provisions. The public administration, public institutions and employers of domestic workers are not covered.

The data collected include information on each establishment, such as size, location, economic activity and number of workers, as well as information on each worker, such as gender, age, education, skills, occupation, tenure, type of contract, monthly wages and hours worked. The register also provides information on the type of collective agreement that covers each worker, including (1) any collective agreement between one or more employers' associations and one or more trade unions (collective labour contract); (2) any collective agreement between several employers and one or more trade union organizations (collective labour agreement); (3) any collective agreement between one employer for one firm only and one or more trade unions (enterprise agreement); and (4) any collective instruments of an administrative nature, including extension provisions.

This administrative register is managed by the Strategy and Planning Office of the Ministry of Labour, Solidarity and Social Security. An adapted translated excerpt from the form used to gather the information is shown in figure 9. (see the next page)





### Country example 10. Statistical forms at two levels, Spain

In Spain, the number of workers covered by a collective agreement must be reported using specific statistical forms – one form for collective agreements at the enterprise level and another for collective agreements at the sectoral level – by the negotiating parties once the agreement is signed. These forms are established by law and must be included among the documents submitted when the agreement is registered in the Collective Agreement Register kept by the Ministry of Labour.<sup>1</sup>

### Country example 11. Estimations using external data, Sweden

The National Mediation Office in Sweden keeps an administrative register of collective agreements, which records details of all collective agreements in force in any given year, including those newly signed in that year. The total number of employees covered by collective agreements is calculated by adding together the numbers of employees working in enterprises covered by a collective agreement. In Sweden, when a trade union signs a collective agreement with an employer, that agreement covers all employees in the enterprise, not just union members. Numbers of employees are reported by employers' associations for each of their member enterprises, or directly by those enterprises that do not belong to an employers' association.<sup>2</sup>

#### 3.2.3. Establishment surveys

- Establishment surveys can be used to collect data on the number of employees covered by a collective agreement. These surveys may include questions on whether employed persons are covered by a collective agreement, on the number of employed persons covered and also on the type of the agreement (e.g. whether applicable at enterprise level, at regional level for a single sector, at regional level for multiple sectors, at national level for a single sector or at national level for multiple sectors). See country examples 12 (Philippines) and 13 (European Union).
- In general, the advantages/disadvantages associated with the use of establishment surveys for the calculation of the collective bargaining coverage rate are similar to those noted in section 2 above on trade union membership.

<sup>1</sup> Royal Decree 713/2010 of 28 May 2010, on registration and filing of collective agreements, sets out in its annexes the information and data to be provided at the registration and filing of collective agreements. See Boletín Oficial de Estado, 12 June 2010, available at: <http://sid.usal.es/idocs/F3/LYN15535/3-15535.pdf>.

<sup>2</sup> For further detail, see Kjellberg, 2019, Table F, “Share of workers covered by collective agreements”, which contains a methodological note in English.

### Country example 12. Integrated Survey on Labor and Employment, Philippines

The **Integrated Survey on Labor and Employment (ISLE)** is a nationwide survey of all establishments employing 20 or more workers carried out by the Philippine Statistics Authority every two years. It consists of at least three modules covering topics on employment, conditions of work and industrial relations – in particular unionism and collective bargaining. The ISLE aims to provide inputs to studies on industry trends and practices, and statistical foundations for the formulation of labour policies. The survey gathers information on a range of matters including the trade union density rate, the coverage of collective bargaining (disaggregated by sex) and the proportion of women union officers in establishments. An extract from Part I (the module on unionism and collective bargaining) from the **2015–16 ISLE** is shown in figure 10.

**Figure 10. Extract from Philippines Integrated Survey on Labor and Employment**

#### Part I: Unionism and collective bargaining

Reference period: 30 June 2016

1. With union? <i>(Registered or under process as to reference date)</i>	<input type="checkbox"/> Yes		<input type="checkbox"/> No <i>(go to item 6)</i>	
1.1. If yes, please specify scope of bargaining unit <i>(Please check as applicable)</i>	<input type="checkbox"/> Supervisors only	<input type="checkbox"/> Rank & file only	<input type="checkbox"/> Rank & file including supervisors	
2. Number of unions? <i>(Registered or under process as to reference date)</i>				
3. Union membership				
3.1. Female members				
3.2. Union officers including members of the board				
3.2.1. Female officers				
3.2.1.1. Female presidents				
4. With collective bargaining agreement? <i>(Please check as applicable)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Workers covered by collective bargaining agreement including those paying agency fees				
5.1. Female workers covered				
6. Do you have an operating labor management cooperation/committee/council?	<input type="checkbox"/> Yes		<input type="checkbox"/> No	

### Country example 13. Structure of Earnings Survey, European Union

The **Structure of Earnings Survey (SES)** is an enterprise survey harmonized across the European Union (EU). It is conducted in the Member States of the EU and also in candidate countries and those belonging to the European Free Trade Association.

The SES is an employer–employee matched data set that provides information on the relationships between the level of remuneration and individual characteristics of employees and the characteristics of their employer for enterprises with at least ten employees. There is also some participation by enterprises with fewer than ten employees.

Although participant States are not obliged to submit data on the public sector, many voluntarily supply such information. The public sector aside, the survey covers enterprises in all areas of the economy except for the agricultural sector.

All EU countries are required to supply information on the type of collective pay agreement that applies at each enterprise (see the list below). If an enterprise does not have a collective pay agreement, this is reported as “no collective pay agreement”.

The types of collective pay agreements specified in the survey are as follows:

- i) agreement at national or interconfederal level (covering employees of more than one industry, and usually signed by one or more trade union confederations and by one or more national employers' organizations);
- ii) industry agreement (setting the terms and conditions of employment for all or most workers and employees in an individual industry or economic sector);
- iii) agreement for individual industries in individual regions;
- iv) enterprise or single-employer agreement (covering only those employees with the same employer, regardless of size; the agreement may cover only certain local units or groups of employees within the enterprise);
- v) agreement applying only to employees in the local unit;
- vi) any other type of agreement not covered above;
- vii) no collective pay agreement.

#### Box 7. Collective bargaining coverage rate

- The collective bargaining coverage rate reflects the employed persons whose working conditions are determined by a collective agreement (numerator) as a percentage of all persons employed (denominator).
- For computing the collective bargaining coverage rate at national level, labour force or other household surveys can provide data about the number of employed persons who are covered by a collective agreement and about the total number of employed persons for the same reference group, which is conducive to a statistically sound result. Administrative registers can provide data about the number of employed persons covered by a collective agreement. However when using administrative registers to calculate the collective bargaining coverage rate at national level, the total number of employed persons will come from a different source usually a household/labour force survey and thus two different reference groups of people will be used, which is a disadvantage regarding the statistical soundness of the result. Finally, establishment surveys can provide data about the number of employees who are covered by a collective agreement and about the total number of employees for the same reference group enabling the calculation of the collective bargaining coverage rate at the firm level. However, if the purpose is to calculate the collective bargaining coverage rate at national level, that reference group will have a more limited scope than the one provided by a nationwide household/labour force survey that will cover all employed persons.
- According to the Right to Organise and Collective Bargaining Convention, 1949 (No. 98), the right to collective bargaining applies to all workers in both the public and the private sector, the only exceptions being the armed forces and the police, and public servants engaged in the administration of the State (Articles 5 and 6). In those member States where the armed forces and/or the police and/or public servants engaged in the administration of the State are excluded, information on the number of those workers can be used to calculate an adjusted collective bargaining coverage rate. Such an adjusted rate would exclude these workers from the denominator.<sup>3</sup>
- The published statistics on collective bargaining coverage should provide as a minimum brief details concerning the source(s) of the statistics, their coverage and the concepts and definitions used, as a website or published reference where methodological information can be obtained.

<sup>3</sup> For further information on how “public servants engaged in the administration of the State” are defined, see ILO, 2013b.



Steelworkers in the United States of America, 2014. © Espen Rasmussen/Panos Pictures

## Strikes and lockouts

# 4

### 4.1. Data to be collected

- The ILO's Voluntary Conciliation and Arbitration Recommendation, 1951 (No. 92), states that free and expeditious voluntary conciliation machinery should be made available to assist in the prevention and settlement of labour disputes. Recommendation No. 92 adds that if a dispute has been submitted to a conciliation or arbitration procedure with the consent of all the parties concerned, those parties should be encouraged to abstain from strikes and lockouts while conciliation or arbitration is in progress, and in relation to the latter, to accept the award. The Recommendation also notes that this may not be interpreted as limiting the right to strike.
- To calculate indicators relating to strikes and lockouts (see box 9), the following data are needed, disaggregated by status in employment (employees and self-employed workers separately) and economic activity:
  - number of strikes and lockouts;
  - number of days not worked due to strikes and lockouts;
  - number of workers implicated directly or indirectly at any time during a strike or lockout;
  - total number of workers.
- The number of workers involved in a strike or lockout<sup>1</sup> is the sum of those in the establishment concerned who (1) participated directly in that strike or lockout by stopping work (workers directly involved) and those who (2) were unable to work because of the strike (workers indirectly involved). Workers in other establishments who were unable to work as a result of the secondary effects<sup>2</sup> of strikes or lockouts should not be included.

<sup>1</sup> See Resolution concerning statistics of strikes, lockouts and other action due to labour disputes, 15th ICLS, 1993, para. 4. (For online access details for this and other international statistical guidelines, see bibliography and further reading.)

<sup>2</sup> Resolution concerning statistics of strikes, lockouts and other action due to labour disputes, 15th ICLS, 1993, para. 9. For further details on secondary effects of strikes or lockouts, see Annex 2.

- The number of days not worked owing to strikes and lockouts is the total number of working days during which work would normally have been carried out by each worker involved had there been no stoppage. Weekly rest days should be excluded, as well as any public holidays on which work was not scheduled.

#### Box 8. A few notes on the comparability and reliability of data on strikes and lockouts

As with other data on industrial relations, at present, data on strikes and lockouts are not internationally comparable. This box outlines some ways in which such comparisons can be facilitated.

- There are differences in the way countries calculate the number of workers involved in strikes and lockouts. When analysing figures from different countries, it is therefore important to keep in mind the following:
  - whether the number of workers involved (in each strike or lockout) refers to the total maximum number of workers involved, as recommended by the international definition,<sup>3</sup> or to the average number of workers involved, obtained – for each strike or lockout – by adding the number of workers involved on each day of the strike or lockout and dividing that figure by the number of days for which the strike or lockout lasted;
  - whether they cover all workers involved or only those directly involved;
  - whether workers who were unable to work as a result of secondary effects of strikes or lockouts have been excluded;
  - whether all strikes or lockouts are included, or only legal or official strikes;
  - whether workers other than employees, workers not at work during the strike (because of sickness, vacation or any other reason) and/or part-time workers and casual workers are included.
- To facilitate analysis, it is useful if the data relating to workers directly involved and those relating to workers indirectly involved are collected and presented separately.
- Separate reporting for lockouts and for strikes allows for better analysis; however, most data sources do not make a distinction between the two types of industrial action.
- Disaggregation by economic activity is desirable in order to identify the distribution of loss of working time owing to strikes and lockouts across sectors.<sup>4</sup>
- The published statistics should provide as a minimum brief details concerning (1) source(s), coverage and concepts, and definitions used, as well as information on where a more detailed description of these factors can be obtained; (2) the economic sectors included/excluded; (3) the type(s) of industrial action covered (strikes and/or lockouts); (4) workers included/excluded; (5) whether the coverage includes only workers directly involved or all workers, whether directly or indirectly involved; (6) whether only legal strikes and lockouts are included, or all strikes and lockouts; and (7) any thresholds for the inclusion/exclusion of the industrial action in the statistics.

<sup>3</sup> Resolution concerning statistics of strikes, lockouts and other action due to labour disputes, 15th ICLS, 1993, para. 35(b).

<sup>4</sup> Resolution concerning statistics of strikes, lockouts and other action due to labour disputes, 15th ICLS, 1993, para. 30.

## 4.2. Data sources

### 4.2.1. Administrative registers

- The most common data sources for statistics on the number of workers involved in strikes and lockouts and the days not worked owing to these actions are administrative registers. These may be kept by the ministry of labour, by the national statistical office or by workers' or employers' organizations.
- In countries where the reporting of strikes and lockouts is mandated by law, the competent authority will usually use the reports by trade unions and/or employers to maintain a register of all work stoppages. Such reports generally provide information about the date of the action, the reason for the labour dispute, the enterprises involved, the trade unions involved, the number of workers involved, the duration of the work stoppage, and other relevant details.
- In some countries, trade unions may also be mandated to report such information to the federation of trade unions to which they are affiliated, and employers may be mandated to report to their respective employers' federation. In all these cases, federations of workers and/or employers may use these reports to maintain administrative registers. They can then produce statistics on the number of workers involved, the number of strikes and the number of days not worked owing to work stoppages, on the basis of the data kept in these registers. Such statistics may be produced by the agency that owns and keeps the administrative registers, or by another agency, such as the national statistical office, on the basis of administrative files submitted to them.
- Where such reporting is not mandatory, ministries of labour or other competent authorities may collect information by undertaking direct enquiries after being informed about the work stoppage. Such enquiries are usually directed to all employers where it is known that a work stoppage has occurred, but can also be directed to unions involved in a strike or lockout, or to local representatives of the government. To collect this information a standard questionnaire may be used, as illustrated in country examples 14 (Poland) and 15 (Japan). When the objective is solely to produce statistics on the subject, such a questionnaire should be considered as a census of relevant units (employers, unions) that have been identified through an administrative register.
- In a few countries it is the workers' or employers' federations that collect information about strikes and lockouts from their members using a standard form. Often this information is supplemented with information obtained through other (informal) sources, information kept in administrative registers by mediation and conciliation services of the ministry of labour, and information from labour inspection reports and/or enquiries addressed to employers' organizations or unions.

#### Country example 14. Administrative records on strikes and lockouts, Poland

The national statistical office in Poland (Statistics Poland) sends a questionnaire entitled "Statistical card on strikes" to enterprises where it is known that a strike or a lockout has occurred to obtain information such as the number of workers involved.

An English translation of part of the questionnaire is shown in figure 11. The original Polish version also enquires about the number of women workers in the establishment, the number of women workers involved in strikes and the number of hours not worked by women workers who participated in the strike.



Figure 11. Questionnaire used in Poland to collect information on strikes and lockouts

<b>CENTRAL STATISTIC OFFICE</b>			
Establishment stamp	<b>STATISTICAL CARD ON STRIKES</b>		Statistical Office
Identification number			The card must be sent within three days of the termination of the strike
Economic activity			

1. The card covers strike: started    year month day terminated    year month day

2. Employees in the establishment

21. total.....  persons

211. of which production workers.....  persons

3. Type of labour dispute:

31.  - headquarters of trade unions

32.  - branch trade unions

33.  - regional trade unions

34.  - established trade unions

35.  - group of employees

7. Duration:

71.  less than 24 hours  
in hours

72.  one day and more  
in days

4. Strike was declared in line: with the conflict - solving procedure:

	Yes	No
11. Employer opinion	<input type="text"/>	<input type="text"/>
12. Trade union opinion	<input type="text"/>	<input type="text"/>

8. Number of persons participating in strike:

81. total .....  persons

811. of which production workers  persons

5. Type of strike:

51.  waring

52.  regular

521.  of which occupation

9. Time not worked: workhours    workdays

91. total .....

911. of which production workers

6. Reasons for strike:

61.  economic

62.  solidarity

63.  participation in general strike

64.  other.....

10. Major demands

101.....

102.....

103.....

11. Number of employees who did not participate directly in the strike but failed to perform work due to the strike  persons

12. Time not worked by employees indicated in position 11.  workhours

### Country example 15. Survey on Labour Disputes, Japan

In Japan, a **Survey on Labour Disputes** was carried out by the Statistics and Information Department of the Minister's Secretariat in the Ministry of Health, Labour and Welfare each year between 2009 and 2013. This **nationwide survey** covering all industries was sent by the Statistics and Information Department directly to prefectural offices in charge of labour administration, which filled them out and returned them to the department.

The survey gathered information about (1) the number of regular employees of the establishment where the dispute occurred; (2) the name of the trade union involved and the number of union members; (3) the nature of the dispute; (4) the dates of occurrence and resolution of the dispute; and (5) the demands underlying the dispute.

This survey also gathered data about collective action, provided separately for strikes and for lockouts, including the date of the collective action, the number of total and active participants in the collective action and the number of working days lost. The underlying questionnaire is shown in figure 12.



Figure 12. Questionnaire used in Japan to gather data about strikes and lockouts

General Statistical Survey based on the Statistics Act

**Questionnaire of the Survey on Labour Disputes**

Date (mm/yyyy):

Report type	1 Dispute resolved	2 Dispute not resolved	3 Carried-forward	4 Carried-forward	Labour Policy Office No. Reference No.
Name of establishment and number of regular employees	Persons			Name of labour union and number of union members	Persons
Main products or services of establishment				Date of occurrence of dispute	dd/mm/yyyy):
				Date of resolution of dispute	dd/mm/yyyy):
Nature of dispute	1 Independent dispute 2 Associated dispute Name of highest level union issuing strike ( )			Date of united action	United action on (day, dd/mm/yyyy):
					United action on (day, dd/mm/yyyy):

39  
40  
Please indicate the method of resolution

Prefecture No.	Reference No.	* Associated dispute	Industrial classification	Size of Enterprise	Organizational Classification	Demands	New or carried-forward	Method	3 <sup>rd</sup> party	* Duration	* United action	* No. of cases by prefecture
1	2	3	4	5	6	7	8	9	10	11	12	13
Total participants			Active participants			* Work stoppage dispute						
						Days	Active participants			Working days lost		
14	15		16			17	18					

Please indicate the specific form of action below.

Strike for half a day or more			Lockout		
Days	Active participants	Working days lost	Days	Active participants	Working days lost
19	20	21	22	23	24

Strike for less than half a day		Slowdown		Others	
Days	Active participants	Working days lost	Days	Active participants	Working days lost
25	26	27	28	29	30

(Note 1) Columns with an asterisk (\*) is to be filled out by the MHLW.  
 (Note 2) Shaded areas should not be filled out for carried-forward disputes.  
 (Note 3) For total participants, please indicate the number of regular employees at said establishment who were members of the labour union.  
 (Note 4) Fill out the "Date of united action" and "Active participants" columns only if dispute action took place in the relevant month.

*	* Number of enterprise						Type
	Total	Half ≥	Close	Half <	Slow	Other	

→

Figure 12. Questionnaire used in Japan to gather data about strikes and lockouts (Concl.)

Date (mm/yyyy): <input style="width: 100px; height: 20px;" type="text"/>	Prefecture No.	Reference No.	Associated dispute				
<p><b>Total number of regular employees in enterprise</b></p> <p>1 5,000 or more 2 1,000 - 4,999 3 500 - 999 4 300 - 499 5 100 - 299 6 30 - 99 7 29 or less 8 Other 9 Government-managed</p> <p><small>(Note) Number of regular employees in the whole enterprise (including all head offices, branch offices, branches, plants, 39 agencies, etc.)</small></p>	<b>Third party involvement</b>						
	<b>Type of third party</b>	<b>Method of involvement</b>	<b>Date of receipt</b>				
	1 Central Labour Relations Commission	Mediation	dd/mm/yyyy:				
	2 Prefectural Labour Relations Commission	Conciliation	No.				
		Arbitration	dd/mm/yyyy:				
	3 Labour Policy Officer	<b>Date of involvement</b>					
	4 Others	dd/mm/yyyy:	dd/mm/yyyy:				
	<b>Law applicable</b>	<b>Demands</b>					
	1 Labour Union 2 Specified Agencies 3 Public Enterprises 4 National Public 5 Local Public	01 Union security and union activities 02 Conclusion, revision and effectuation of collective agreement 03 Wage system 04 Revision of wage amount (Basic wage and several allowances) 05 Revision of wage amount (Bonus and lump sum payment) 06 Wage amount of individual union member 07 Retirement allowance (including retirement pension) 08 Other matters related to wage 09 Change of prescribed working hours 10 Overtime work or day-off work 11 Days off and holidays (include weekly two days off, and consecutive days off) 12 Other matters related to working hours 13 Child care leave and family care leave system 14 Education and training	15 Work environment and health management 16 Welfare benefit 17 Objection to dismissal and reinstatement of dismissed employee 18 Suspension, abolishment and rationalization of business 19 Personnel evaluation system (including experimental system) 20 Personnel plan and recruitment plan 21 Reallocation and dispatch 22 Solicitation for voluntary retirement 23 Mandatory retirement age system (including extension of employment and re-employment) 24 Effective use of part-time employees, contract employees and dispatched employees 25 Working conditions of part-time employees and contract employees 26 Other matters related to management and personnel affairs 27 Others				
	<b>Category</b>	<b>Method of resolution</b>					
	1 Japanese Trade Union Confederation 2 National Confederation of Trade Unions 3 National Trade Union Council 4 Others [ ]	1 Resolved, no involvement of the parties 2 Resolved, involvement of the parties 3 Resolved by third party 4 Others 5 Policy strike	1 Mediation 2 Conciliation 3 Arbitration 4 Labour Policy Officer 5 Others				
<b>Details of demands</b>		<b>Details of resolution</b>					
<b>Status of dispute action in relevant month</b>							
Duration (dd/mm/yy)	Form	No. of participants	Working days lost	Duration (dd/mm/yy)	Form	No. of participants	Working days lost
From: To:	Half ≥ Half < Lock Slow Other			From: To:	Half ≥ Half < Lock Slow Other		
From: To:	Half ≥ Half < Lock Slow Other			From: To:	Half ≥ Half < Lock Slow Other		
From: To:	Half ≥ Half < Lock Slow Other			From: To:	Half ≥ Half < Lock Slow Other		
From: To:	Half ≥ Half < Lock Slow Other			From: To:	Half ≥ Half < Lock Slow Other		
From: To:	Half ≥ Half < Lock Slow Other			From: To:	Half ≥ Half < Lock Slow Other		
From: To:	Half ≥ Half < Lock Slow Other			From: To:	Half ≥ Half < Lock Slow Other		
From: To:	Half ≥ Half < Lock Slow Other			From: To:	Half ≥ Half < Lock Slow Other		
<b>Circumstances of occurrence, progress and resolution of labour dispute</b>							
.....							
.....							
.....							
.....							
.....							
.....							
.....							

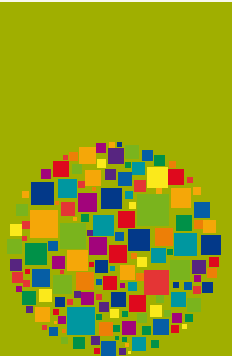
Columns with an asterisk (\*) is to be filled out by the MHLW.

**Box 9. Indicators relating to strikes and lockouts**

- The number of workers involved in strikes and lockouts per 1,000 workers reflects the number of workers involved in a strike or lockout during the reference period as a permillage of all workers.
- The number of days not worked due to strikes and lockouts per 1,000 workers reflects the number of working days during which work would normally have been carried out by all workers involved had there been no stoppage as a permillage of all workers.
- Administrative registers are able to provide data about the number of workers involved in strikes and lockouts as well as on the number of days not worked; however, to calculate indicators at national level the total number of workers will come from a different source, usually a household/labour force survey. This means that those indicators will be computed using two different sources and therefore two different reference groups of people, which may detract from the statistical soundness of the result.
- For consistency purposes, these indicators should be calculated using the same coverage both for economic sectors and for the reference group of workers. For example, if agriculture is excluded from the coverage of days not worked (numerator), the total number of workers (denominator) should also exclude agriculture.

## Challenges and considerations

# 5

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- As noted in section 1, “Why is it important to collect data on industrial relations?” collection of data on trade union membership, on the coverage of collective bargaining and on strikes and lockouts may inform policy decisions by the tripartite constituents with a view to promoting collective bargaining and sound industrial relations. The ILO has been providing guidance to assist in improving the quality and comparability of industrial relations data. This guidebook is part of that effort.
  - The resolution concerning statistics of collective agreements, adopted by the 3rd International Conference of Labour Statisticians (ICLS) in 1926, and the resolution concerning statistics of strikes, lockouts and other action due to labour disputes, adopted by the 15th ICLS in 1993, are the main international guidelines for the collection of statistics on collective bargaining and on industrial disputes, respectively.
  - Owing to national specificities concerning legal, regulatory and institutional frameworks, as well as differences in sources, reporting techniques, definitions and coverage of the data, comparative analysis across countries and over time should be made with caution (Chang and Sorrentino, 1991).
  - The interpretation of indicators on industrial relations such as the trade union density rate and the collective bargaining coverage rate should take into consideration the coverage of the statistics they refer to including the reference group, the time period and the geographic area. When that coverage is less than comprehensive - and even more so if it excludes a significant share of the employed persons – the interpretation of the indicators on industrial relations should be particularly cautious.
  - Complementary, often qualitative, information may be needed to obtain a fuller picture of the quality of industrial relations in a particular country. This may include e.g. (1) information on the provisions and content of collective agreements; (2) information about the level at which collective bargaining predominantly takes place and about coordination between levels; (3) data on dispute prevention and resolution, such as the number and nature of disputes filed with the legal system and those resolved through mediation; (4) information about the existence and functioning of dispute prevention/resolution institutions and mechanisms; (5) the number of

establishments where labour–management councils or workers’ councils or committees exist; (6) whether, and to what extent, workers participate in management; (7) the number of establishments with occupational safety and health committees; and (8) information about the involvement of social partners in policy-making and advocacy.

- Statistics on employer organization density could also be of interest since employers are a crucial actor in social dialogue and in collective bargaining.
- In some countries, it could be the case that few or none of the data sources explored in this guidebook (labour force surveys, administrative registers and establishment surveys) are available or considered reliable. Depending on the availability of labour force surveys, administrative data and/or establishment surveys, other methods could also be considered to derive indicators on industrial relations. Such “special data” can be derived from (1) appropriate statistical estimations based on national legislation and regulatory frameworks; (2) the combination of multiple sources to obtain comprehensive data series or to cancel out the disadvantages of each source; and (3) special data collections from potential informants (e.g. trade unions, employers’ organizations, large establishments, etc.).

# Annex 1.

The ILO's annual questionnaire on labour statistics: Questions on industrial and labour relations and on strikes and lockouts

## INDUSTRIAL AND LABOUR RELATIONS

### [162] Trade union membership of persons employed and employees by sex (Persons)

**TARGET:** Persons employed (i.e. employees and self-employed) and employees who currently belong to a trade union, which is defined as an independent workers' organization, constituted for the purpose of furthering and defending the interests of workers.

Source

Status	Sex	COMPLETE IF DATA WERE REVISED												
		2018	2017	2016	2015	2014	2013	2012	2011	2010	2009			
Total employment	Total													
	Male													
	Female													
Employees	Total													
	Male													
	Female													

Notes (optional)

**INDUSTRIAL AND LABOUR RELATIONS**

**[161] Trade union membership by type of member (Persons)**

**TARGET:** Persons who currently belong to a trade union, which is defined as an independent workers' organization, constituted for the purpose of furthering and defending the interests of workers. Data should be provided by labour force status of the union members.

Source

Type	COMPLETE IF DATA WERE REVISED									
	2018	2017	2016	2015	2014	2013	2012	2011	2010	2009
Total										
Employed										
Employed : employees										
Employed : self-employed										
Unemployed										
Persons outside of labour force										

Notes (optional)

**[165] Trade union density rate of persons employed and employees by sex (Percentage)**

**TARGET:** Persons employed (i.e. employees and self-employed) and employees who currently belong to a trade union, as a percentage of the total number of persons employed or employees, respectively.

Source

Status	Sex	COMPLETE IF DATA WERE REVISED											
		2018	2017	2016	2015	2014	2013	2012	2011	2010	2009		
Total employment	Total												
	Male												
	Female												
Employees	Total												
	Male												
	Female												

Notes (optional)



## INDUSTRIAL AND LABOUR RELATIONS

### [168] Persons employed and employees covered by collective bargaining by sex (Persons)

**TARGET:** Persons employed (i.e. employees and self-employed) and employees covered by all collective agreements currently in force (including those concluded in previous years), including those covered by extension.

Source

Status	Sex	COMPLETE IF DATA WERE REVISED												
		2018	2017	2016	2015	2014	2013	2012	2011	2010	2009			
Total employment	Total													
	Male													
	Female													
Employees	Total													
	Male													
	Female													

Notes (optional)

### [171] Collective bargaining coverage rate of persons employed and employees by sex (Percentage)

**TARGET:** Persons employed (i.e. employees and self-employed) and employees covered by all collective agreements currently in force (including those concluded in previous years), including those covered by extension, as a percentage of the total number of persons employed or employees, respectively.

Source

Status	Sex	COMPLETE IF DATA WERE REVISED												
		2018	2017	2016	2015	2014	2013	2012	2011	2010	2009			
Total employment	Total													
	Male													
	Female													
Employees	Total													
	Male													
	Female													

Notes (optional)

**Notes related to the topic**

**TARGET:** Strikes and lockouts, excluding secondary effects. If there is a lower limit on coverage (e.g., days or workers involved), it should be as low as possible.

Labour dispute actions coverage

Lower limit on coverage of strikes and lockouts

Notes (optional)

**STRIKES AND LOCKOUTS**

**(67) Number of strikes and lockouts by economic activity (Cases)**

Source

COMPLETE IF DATA WERE REVISED

ISIC-Rev.4	2018	2017	2016	2015	2014	2013	2012	2011	2010	2009
Total										
A. Agriculture; forestry and fishing										
B. Mining and quarrying										
C. Manufacturing										
D. Electricity, gas, steam and air conditioning supply										
E. Water supply; sewerage, waste management and remediation activities										
F. Construction										
G. Wholesale and retail trade; repair of motor vehicles and motorcycles										
H. Transportation and storage										
I. Accommodation and food service activities										
J. Information and communication										
K. Financial and insurance activities										
L. Real estate activities										
M. Professional, scientific and technical activities										
N. Administrative and support service activities										
O. Public administration and defence; compulsory social security										
P. Education										
Q. Human health and social work activities										
R. Arts, entertainment and recreation										
S. Other service activities										
T. Activities of households as employers; undifferentiated goods- and services-producing activities of households for own use										
U. Activities of extraterritorial organizations and bodies										
X. Not elsewhere classified										

Notes (optional)

## STRIKES AND LOCKOUTS

### ([69] Days not worked due to strikes and lockouts by economic activity (Days)

TARGET: Number of working days not worked as a result of strikes and lockouts.

ISIC-Rev.4	Source	Time unit for measuring time lost	COMPLETE IF DATA WERE REVISED																	
			2018	2017	2016	2015	2014	2013	2012	2011	2010	2009								
Total																				
A. Agriculture, forestry and fishing																				
B. Mining and quarrying																				
C. Manufacturing																				
D. Electricity, gas, steam and air conditioning supply																				
E. Water supply; sewerage, waste management and remediation activities																				
F. Construction																				
G. Wholesale and retail trade; repair of motor vehicles and motorcycles																				
H. Transportation and storage																				
I. Accommodation and food service activities																				
J. Information and communication																				
K. Financial and insurance activities																				
L. Real estate activities																				
M. Professional, scientific and technical activities																				
N. Administrative and support service activities																				
O. Public administration and defence; compulsory social security																				
P. Education																				
Q. Human health and social work activities																				
R. Arts, entertainment and recreation																				
S. Other service activities																				
T. Activities of households as employers; undifferentiated goods- and services-producing activities of households for own use																				
U. Activities of extraterritorial organizations and bodies																				
X. Not elsewhere classified																				

Notes (optional)

## STRIKES AND LOCKOUTS

### [68] Workers involved in strikes and lockouts by economic activity (Persons)

**TARGET:** Number of workers implicated directly or indirectly at any time during a strike or lockout.

ISIC-Rev.4	Source Workers involved	COMPLETE IF DATA WERE REVISED												
		2018	2017	2016	2015	2014	2013	2012	2011	2010	2009			
Total														
A. Agriculture, forestry and fishing														
B. Mining and quarrying														
C. Manufacturing														
D. Electricity, gas, steam and air conditioning supply														
E. Water supply; sewerage, waste management and remediation activities														
F. Construction														
G. Wholesale and retail trade; repair of motor vehicles and motorcycles														
H. Transportation and storage														
I. Accommodation and food service activities														
J. Information and communication														
K. Financial and insurance activities														
L. Real estate activities														
M. Professional, scientific and technical activities														
N. Administrative and support service activities														
O. Public administration and defence; compulsory social security														
P. Education														
Q. Human health and social work activities														
R. Arts, entertainment and recreation														
S. Other service activities														
T. Activities of households as employers; undifferentiated goods- and services-producing activities of households for own use														
U. Activities of extraterritorial organizations and bodies														
X. Not elsewhere classified														

Notes (optional)



# Annex 2.

## Additional concepts and definitions

### Employed persons

Persons in employment are defined by the 19th ICLS (2013) as all those of working age who, during a short reference period, were engaged in any activity to produce goods or provide services for pay or profit. They comprise: (a) employed persons “at work”, i.e. who worked in a job for at least one hour; (b) employed persons “not at work” owing to temporary absence from a job, or to working-time arrangements (such as shift work, flexitime and compensatory leave for overtime).<sup>1</sup>

Employed persons on “temporary absence” are those who, having already worked in their present job, were “not at work” for a short duration but maintained a job attachment during their absence.

The term “employed persons” includes: (a) persons who work for pay or profit while on training or skills-enhancement activities required by the job or for another job in the same economic unit (these people are considered to be employed “at work”); (b) apprentices, interns or trainees who work for pay in cash or in kind; (c) persons who work for pay or profit through employment promotion programmes; (d) persons who work in their own economic units to produce goods intended mainly for sale or barter, even if part of the output is consumed by the household or family; (e) persons with seasonal jobs during the off-season, if they continue to perform some tasks and duties of the job; (f) persons who work for pay or profit payable to the household or family; (g) regular members of the armed forces and people on military or alternative civilian service who perform this work for pay in cash or in kind. The term does not include people in “own-use” production who produce goods or services mainly for their own final use and unpaid trainees.

### Employees

The International Classification of Status in Employment (ICSE-18<sup>2</sup>) adopted by the 20th ICLS (2018), revised the definition of “employees” to refer to workers employed for pay, on a formal or informal basis, who do not hold controlling ownership of the economic unit in which they are employed. According

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<sup>1</sup> Resolution concerning statistics of work, employment and labour underutilization, 19th ICLS, 2013.

<sup>2</sup> For further details, see the International Classification of Status in Employment (ICSE-18) in the Resolution concerning statistics on work relationships, 20th ICLS, 2018.

to the ICSE-18 definition, they are remunerated in cash or in kind in return for time worked or, in some cases, for each task or piece of work done (piece-work) or for services provided, including sales (commission). Payment for time worked is the typical mode of remuneration. Payment in kind is generally received in the form of goods. Where payment is received in the form of services, this is generally complementary to payment in cash.

The new classification also mentions that “employees” may be employed in market units, non-market units and households producing goods and/or services mainly for own consumption.

Employees may be further disaggregated according to the nature of the contractual arrangements for employment, the degree of permanency of the employment relationship and the stability of the working time available to the employee, to form the following groups: (a) permanent employees; (b) fixed-term employees; (c) short-term and casual employees; and (d) paid trainees, apprentices and interns.

### **Labour dispute**

A labour dispute is a state of disagreement over a particular issue or group of issues giving rise to conflict between workers and employers, or about which grievance is expressed by workers or employers, or about which workers or employers support other workers or employers in their demands or grievances.<sup>3</sup>

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### **Lockout**

A lockout is a total or partial temporary closure of one or more places of employment, or the hindering of the normal work activities of employees, by one or more employers with a view to enforcing or resisting demands or expressing grievances, or supporting other employers in their demands or grievances.<sup>4</sup>

For statistical purposes, one lockout is distinguished from another lockout on the basis of the labour dispute that caused it. As long as a lockout is due to the same labour dispute, it can occur in a single establishment or in several establishments at the same time, or at different times, as long as the period between stoppages is not more than two months.

### **Own-account workers in household market enterprises without employees**

Own-account workers in household market enterprises without employees are workers who operate an unincorporated market enterprise for profit, alone or with one or more partners or contributing family workers, and do not employ anyone to work in the enterprise on a regular basis as an employee.<sup>5</sup>

### **Secondary effects of action due to labour disputes**

The secondary effects of action due to labour disputes are the effects on other establishments where workers are prevented from working or their work is disrupted, or the effects on groups of self-employed people who are prevented from working or whose work is disrupted.<sup>6</sup>

Data on secondary effects affecting other workers or establishments beyond those involved could include, for instance, the amounts of materials or services not received, the duration of any idle periods or the number of workers unable to work as a result of lack of materials or services (ILO, 1993).

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<sup>3</sup> Resolution concerning statistics of strikes, lockouts and other action due to labour disputes, 15th ICLS, 1993, para. 4(a).

<sup>4</sup> Resolution concerning statistics of strikes, lockouts and other action due to labour disputes, 15th ICLS, 1993, paras 4(c), 13.

<sup>5</sup> For further details, see the International Classification of Status in Employment (ICSE-18) in the Resolution concerning statistics on work relationships, 20th ICLS, 2018.

<sup>6</sup> Resolution concerning statistics of strikes, lockouts and other action due to labour disputes, 15th ICLS, 1993, para. 4(k).

### **Strike**

A strike is a temporary work stoppage carried out by one or more groups of employees with a view to enforcing or resisting demands or expressing grievances, or supporting other workers in their demands or grievances.<sup>7</sup>

For statistical purposes, one strike is distinguished from another strike on the basis of the labour dispute that caused it. As long as a strike is due to the same labour dispute, it can occur in a single establishment or in several establishments at the same time, or at different times, as long as the period between stoppages is not more than two months.

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<sup>7</sup> Resolution concerning statistics of strikes, lockouts and other action due to labour disputes, 15th ICLS, 1993, paras 4(b), 13.



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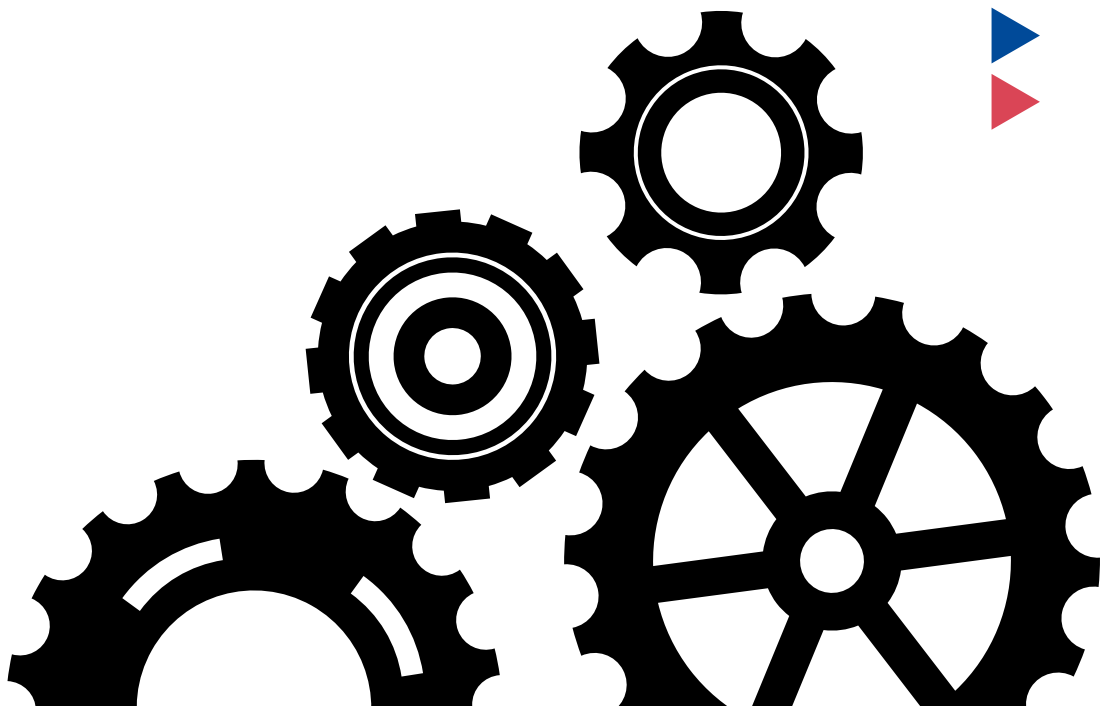
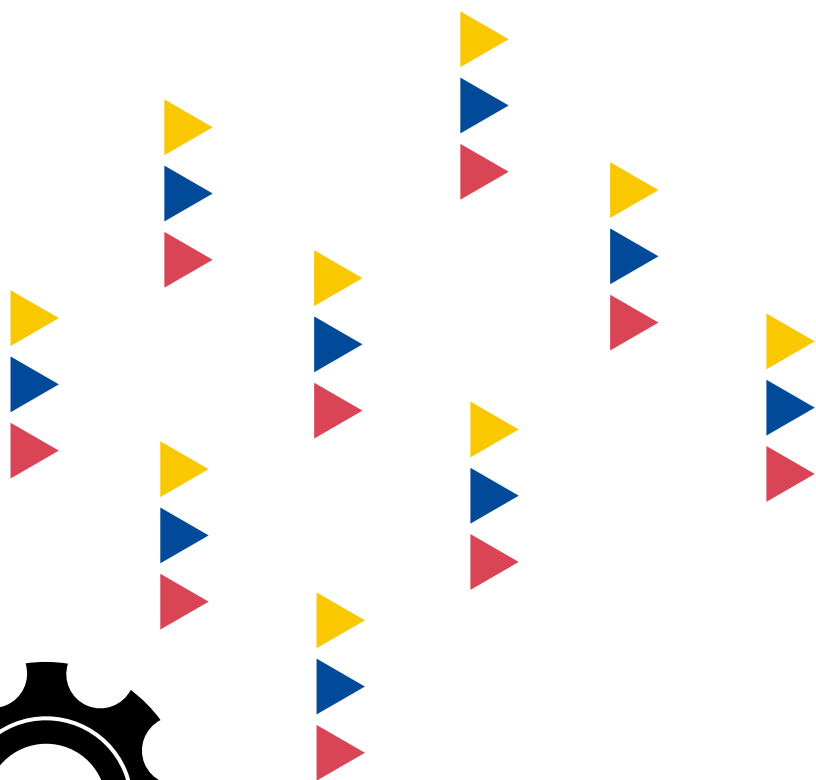
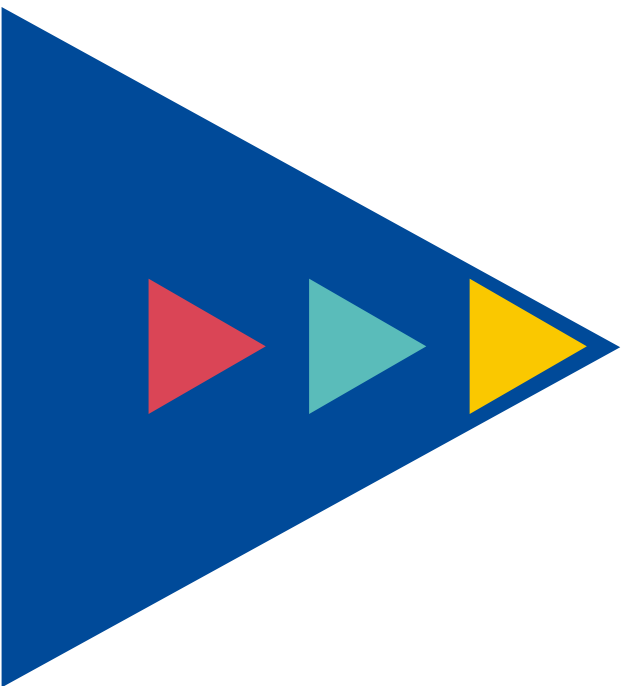
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