

Questionnaire for case studies

This questionnaire is intended to be completed by the consultant after interviewing those involved in the restructuring. It is intended to indicate the issues to be covered and as such to serve as a guide to the more detailed report (of 20-30 pages) to be prepared as well as a self-standing document in itself 'Yes/no' type answers should be elaborated where it is useful to throw additional light on the issues. Questionnaire to be understood with the document on the aims of the research.

Key questions underlined (in blue or black)

Where possible and informative relevant documents (collective agreements, codes of practice, etc) should be included with the report.

1. Describe the main features of the economic environment in which the enterprise/group operates and any major recent developments in these

1.1 In which sector does the enterprise operate?

Please use NACE 2-digit classification attached

1.2 What are the main characteristics of this sector?

- Is the sector in the country growing or declining in terms of sales?
Yes, growing significantly/Yes growing modestly/Not changing/Declining
- Is it characterised by major technological change?
Yes/No, only modest ones/No, few changes in technology at all
- Is the sector characterised by frequent organisational changes (eg frequent mergers or the entry of new businesses) or a process of permanent change ?
Yes to a major extent/Yes to a minor extent/No
- Have any new regulations recently been introduced?
Yes, at the EU level/Yes, at the national level?/No
(If so, please give a brief description of their effects)

1.3 How is the firm organised?

- How many separate business sites does the company have?
In the country
In the rest of the EU
In the rest of the world
- Where is the company undertaking the restructuring located?
Please indicate the NUTS 2 region

- Is the company a subsidiary or branch of a larger company?
Yes, with headquarters in the same region/in another region in the country/in another EU country/in a country outside the EU
- Does the company have a policy of outsourcing?
Yes, for a large part of its production/Yes, for a small part/No, little or none
- Is outsourcing mainly from:
Companies in the same country? Companies in other EU countries? Companies outside the EU?

1.4. How does the company locate itself on the market(s)?

- Is the company:
a market leader at global level?/European level?/national level?/regional level?
one of few companies in the market?/one of many companies?
- Is the company mainly a subcontractor to other enterprises?
Yes/No

1.5. What are the characteristics of the employees?

- How many people are employed in the company?
Please give approximate number
- How many people are employed in the group?
Please give approximate number
- What proportion of the workforce in the company are women?
Please give approximate %
- What proportion of the work force in the company are aged 50 or over?
Please give approximate %
- How many employees are affected or likely to be affected by the restructuring?
Please give approximate number
- What proportion are women?
Please give approximate %
- What proportion are employees of 50 and over?
Please give approximate %
- What is their level of qualification?
 - How many are low-skill? (Please give approximate %)/
 - How many are highly skilled? (Please give approximate %)
 - How many are university graduates or similar (Please give approximate %)

- Do the employees affected have the skills/qualifications needed in the local labour market?

Yes, to a large extent/Yes to a small extent/Not really

1.6 How are worker representatives in the company organised?

- By a trade union/some other body/Not organised
- What proportion of the workforce are members of a trade union?
Please give approximate %
- How many trade unions are there in the company?
Please give number
- To what extent do the trade unions work together?
To a large extent./to a small extent/hardly at all
- Is there a Works Council?
Yes, with strong influence on policy/Yes, with modest influence/Yes, with no influence/No
- Is there a European work council or an other transnational body ?
no/Yes, precise the body and its role

1.7 Have there been other instances of significant restructuring in the company in the recent past?

Yes, takeover or merger/Yes, downsizing/Yes, increased outsourcing/other changes/
permanent process (please describe)

- What are the main reasons/justifications for the restructuring
(eg : link to the changes of the activity of the enterprise /changes of part of the production / for operational reasons ?/Linked to former steps of the firm evolution ?/Linked to an objective industrial decline?/Linked to existing social conflicts? /Linked to reaction of employees or trade unions face to economic changes ?/ to Protest - in relation with the restructuring by employee's representatives before a court /
- According to management (please describe briefly)
- According to employee representatives (please describe briefly)
- According to the interviewer (if different)

2. Describe and explain the process of restructuring (the main underlying forces, the different forms and steps)

2.1 Over what period did restructuring take place?

Beginning-month/End-month

2.2 What form did restructuring take?

Internal reorganisation/increased outsourcing/rationalisation following a merger/
relocation to another region in the country/relocation to another EU15 country/
relocation to a new Member State or accession country/relocation to a country
outside the EU (please specify)/other (please specify)

2.3 How was the restructuring achieved?

Through enforced redundancies/through voluntary redundancies/through early
retirement for older employees/by not replacing employees who leave (please give
approximate % division between these)

Please describe briefly any other significant consequences of the restructuring (such
as a change in contracts of employment, the employment of temporary staff or the
retraining of those who remain in the company)

3. Describe the system in place in the company or group for anticipating change and making forward planning decisions?

3.1 Was it possible to predict the restructuring and with which kind of information, by which strategies?

Please describe briefly and explain if useful the different steps

3.2 Was a system/mechanism/procedure in place for anticipating change and for planning?

Please describe briefly/no explain why if possible

3.3 Were employees or their representatives involved in this either directly or indirectly?

Yes (please describe briefly)/No

3.4 Were other stakeholders involved?

Yes (please describe briefly)/No

3.5 Do you consider that the company could have taken action to avoid the restructuring (such as through better forward planning/better marketing/stronger efforts to develop exports markets/earlier adoption of new technology/ stronger efforts to keep down costs/more aggressive policy on acquisition mergers, etc)

Yes (please describe briefly)/No

4. Describe the relationships between the main actors involved on the management side in the process of restructuring (shareholders, group directors/manager, local managers, etc) and their relations/interactions with the other actors

4.1 How is the management structure of the company organised?

Please give a brief description

4.2 How much autonomy does local company management have over decision making at the site in relation to group management?

A large amount/a moderate amount/Little or none

4.3 Have there been changes in the organisation of the management over the past three years?

Yes (please describe briefly)/No

4.4 How much influence do the shareholders have over the decision-making process?

More than normally/same/less

4.5 What is their role in the restructuring and the form it takes?

Significant (please describe)/Limited or no role

4.6 Does the restructuring involve other stakeholders (such as suppliers/customers/banks) to any significant extent?

Yes (please describe)/No

4.7. Does the company/group have a distinct social culture (eg: US multinational/Japanese multinational)?

Yes (please describe)/No

4.8. Does the company or group appear to attach particular importance to social responsibilities towards its employees?

Yes to a major extent (please describe)/yes but no more than average/no

4.9. Does the company adopt a corporate social responsibility's policy ?

Yes (describe)/no

5. Describe the relationships between employee representatives and management and their role in the restructuring

5.1 How far are trade unions or worker representatives involved in the management of the company and how much influence do they have over the decisions taken?

A great deal (please describe)/some (please describe)/little or none

5.2 Have there been any significant changes in their influence over recent years?

Yes (please describe)/No

5.3 Is the European level important ?

Yes (describe with which actors/for which policies)/no

5.4 Do trade unions have a coordinated response/position as regards the restructuring?

Yes, at the local level (please describe)/Yes, at the group level (please describe)/Yes at the European level/No

5.5 Do trade unions have the possibility of negotiating over the restructuring?

- Yes, about whether it happens at all
- Yes, about the form which it takes and its scale
- Yes, about the social consequences and the action taken to alleviate these

5.6 At what level do/did the negotiations mainly take place?

At local level/at national group or company level/at international group level

5.7 Is there a legal framework in place in respect of the restructuring?

- Is the restructuring bound by legislation, or regulations or a collective agreement in terms of the procedure to be followed?

Yes (please specify)/No

- Is this agreement effective at the local?/national?/European level?

- Is a code of conduct in place with provisions applicable to restructuring?

Yes (please specify)/No

- What aspects of the process does legislation/collective agreement affect?
Please specify (eg the period of notice/consultation/the form of restructuring /associated measures)

5.8 What action did trade unions take in response to the restructuring?

Please briefly describe the main features of the trade union response

5.9 Did other “stakeholders” become involved in the restructuring process in support of or in opposition to trade unions/worker representatives?

Yes (please specify which and in what way)/No

5.10 Were there difficulties in coordinating the actions taken by the different parties involved in the restructuring (such as between Works Councils and trade unions or trade unions and public authorities?)

Yes (please describe)/No

5.11 How were these difficulties resolved? Through mediation (please describe)/through other means (please specify)/not resolved

5.12 What was the role of the experts in the management of the restructuring?

- At the management level
- At the worker representative level
- European/international level

5.13 How was the representatives’ way of communication ? at the internal and external level ? Which importance for the process of the restructuring ?

6. Describe the role of public authorities in the process of restructuring

6.1. Were the public authorities approached and did public authorities become involved in the restructuring?

Yes, company management approached them for assistance/Yes, independently/No

6.2 Which public authorities were involved?

EU level authorities/national/regional/local

6.3 At what stage did this occur?

At the outset/part way through the process (please specify)/not until the end

6.4. For what purpose?

Please describe (eg mediation/subsidies/help with retraining or job search/to alleviate the social consequences/to implement a programme for attracting investment and creating employment in the area)

6.5 Does a specific process of territorial-based social dialogue take place in the region?

Yes (please describe the features and those involved)/No

7. Describe the process of restructuring and assess the social consequences?

7.1 Was a specific procedure followed in respect of the restructuring to try to alleviate the possible social consequences?

Yes (describe the main features, eg provision of information, consultation, formulation of a social plan)/No

7.2 Were there any innovative features in the process followed?

Yes/no

7.3 If yes, what aspects did these relate to?

(eg consultation process/parties involved/form of restructuring/associated measures /action to tackle the consequences).

7.4 What form did the innovative features take?

please describe

7.5 What effect did the innovative features have?

please describe (eg reduced job losses; increased chances of workers finding new jobs, such as through training, guidance, job search support)

7.6 Were more conventional/less innovative measures taken to alleviate the effects of restructuring?

Yes (please describe)/No

7.7 Did legislation, regulations or collective agreements play a role in deciding the measures taken to tackle the consequences of restructuring or their implementation?

Yes (please specify which)/no

7.8 If yes, in what particular respect?

Please describe briefly

7.9 Did the measures taken extend to wider action in the local area or region?

Yes/no

7.10 What form did this action take?

Please describe (eg formulation of regional development plan, increased support from public authorities – please describe)

7.11 Who was involved in formulating and implementing these measures?

Please specify (eg local or regional authorities, national government, non-governmental institutions, private sector – please specify which agencies)

7.12 Were outside experts/consultants involved in advising on the restructuring and tackling its effects?

Yes, at the management level/Yes, at the work representative level/Yes, at some other level/No

7.13 Was industrial action taken by workers against the restructuring?

Yes, by trade unions acting officially/ Yes, by trade unions acting unofficially/Yes by workers acting independently of trade unions/No

7.14 Was an effective system in place to prevent industrial action or litigation?

Yes, through consultation/Yes, through mediation/Yes, through arbitration/Yes, in form of non-strike clause/Yes, by some other means/No

7.15 Was a legal case or litigation brought against management to prevent the restructuring?

Yes/no

7.16 If yes, what was the effect of this?

Please describe

8 General evaluation: assess the results of the restructuring from different perspectives

8.1 Has the company been successful in achieving the objectives of the restructuring (ie has it led to it being able to survive/develop/maintain its operations at the site in question/increase its activity?)

Please give brief indication

8.2 Has the restructuring been followed by the need for further action?

Yes (please specify)/No (or not yet)

8.3 Have workers who lost their jobs generally been successful in finding new ones?

Yes (any evidence on this would be useful)/No

8.4 What has been the effect on the local area or region of the restructuring (ie how far have new activities developed and new jobs been created to replace those lost?)?

8.5 How, in your view, could more positive economic and social results have been achieved (specially by anticipating the restructuring) or adverse effects avoided?