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## Introduction

Anyone organising a strike or other industrial action would be liable to legal proceedings by employers, and others such as their customers and suppliers, who are damaged by such action, if they were not given special protection. This protection is provided by statutory immunities from legal liability.

This document is designed to give employers, and their customers and suppliers, a general understanding of the law relating to industrial action. In particular, it describes legal remedies against certain forms of industrial action. The document will also assist trade unions, and workers, to understand the protections afforded them by the law if they organise or take industrial action. It may also be useful for individuals contemplating proceedings under the "Citizen's Right" to restrain the unlawful organisation of industrial action (i.e. inducement of industrial action which is unprotected by statutory immunity).

The legislative and underlying common law provisions are dealt with only in outline and details which might be significant in any particular case may not be covered. This document gives general guidance only, and is not a substitute for professional legal advice.

Authoritative interpretations of the law can only be given by the courts.

The contents of this document apply equally to men and to women but, for simplicity, the masculine pronoun is used throughout. "Court" means the High Court in England and Wales and the Court of Session in Scotland.

## What are the "statutory immunities"?

When workers go on strike or take other forms of industrial action they will usually, by doing so, be in breach of their contracts of employment or their contracts for services. This means that when trade unions or trade union officials, or others, call for, or otherwise organise, industrial action they are in practice calling for breach, or interference with the performance, of contracts. They may also be interfering with the ability of the employer of those taking the industrial action, and of other employers, to fulfil commercial contracts.

Under the common law, which is basically case-law developed by the courts as opposed to statute law passed by Parliament, it is unlawful to induce people to break a contract or to interfere with the performance of a contract, or to threaten to do either of these things. This means, for example, that without some special protection, trade unions or trade union officials would face the possibility of legal action being taken against them for inducing breaches of contract every time they called a strike.

The "statutory immunities" were introduced into legislation to stop this happening. They have the effect that trade unions and individuals can, in certain circumstances, organise industrial action without fear of being sued in the courts. It should be noted that the immunities protect principally those who call for, threaten to call for, or otherwise organise industrial action. They do not protect individuals who take industrial action from legal proceedings by their employer for breaking their contracts, although they can in certain circumstances protect them from dismissal.

The available immunities are subject to a number of restrictions, so as to provide an effective remedy against some of the most damaging and disruptive industrial action. It is also a condition of immunity that before calling a strike or other industrial action a trade union must first obtain the support of its members through a properly conducted ballot, and that it must provide at least seven days' notice to an employer of official industrial action to be taken against him.

## Tests for determining whether there is "statutory immunity"

When a trade union or individual calls for, threatens to call for, or otherwise organises industrial action a number of tests must be satisfied if the union, or other person, calling for or organising the action are to have the protection of the statutory immunities. In summary, immunity will apply only where:

- There is a **trade dispute**, and **the action is called in contemplation or furtherance** of that dispute.
- A trade union which calls for, or otherwise organises, the action has first held a **properly conducted secret ballot**.
- A trade union which calls for, or otherwise organises, the action has provided the required **notice of official industrial action to employers** likely to be affected, following the ballot.
- The action is not "**secondary action**" (unless the act is a call for such industrial action made in the course of peaceful picketing at a picket's own place of work as the law allows).
- The action is not intended to **promote union closed shop practices**, or to **prevent employers using non-union firms** as suppliers.
- The action is not in support of any employee dismissed while taking **unofficial industrial action**.
- The action does not involve **unlawful picketing**.

These conditions are each examined separately and in more detail in sections [When is there a trade dispute?](#)

## How the law works when the "statutory immunities" do not apply

### Who can bring proceedings?

Where immunity for organising industrial action does not apply, employers and others (such as their customers and suppliers)<sup>1</sup> who are damaged, or likely to be damaged, by the action may take civil proceedings in the courts against the responsible union or individual.

It is, of course, still necessary for the person wishing to bring civil proceedings to show that an unlawful, unprotected, act has been done or is threatened; that he is party to a contract which will be (or has been) broken or interfered with by the unlawful act; and that he is likely to suffer loss, or has done so, as a result.

In addition, an individual deprived of goods or services because of the unlawful organisation of industrial action (i.e. inducement of industrial action which is not protected by statutory immunities) can also bring proceedings to stop this happening. For this purpose, it is not necessary for the individual to show that he is party to a contract which will be (or has been) broken or interfered with by the unlawful act.

### Who can be sued?

Civil proceedings will normally be taken against the trade union or individual organising the industrial action. In the case of picketing it may be possible to sue the individual pickets who are inducing interference with the performance of contracts, as well as the organisers of the unlawful picketing.

The fact that a union is responsible for organising industrial action for which there is no immunity does not prevent legal proceedings from being brought against the individual organisers.

### Trade union liability

The law lays down the circumstances in which a trade union is to be held responsible for a relevant act (such as inducing, or threatening to induce, a breach, or interference with the performance, of a contract). Where these circumstances apply, a union will be held responsible for a relevant act regardless of any term or condition to the contrary in its own rules, or in any other contractual provision or rule of law.

Under the law, a union will be liable for any relevant act which is done (or authorised or endorsed) by:

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<sup>1</sup> However, as explained in the section Secret ballots on "official" industrial action above and Notice to employers of "official" industrial action (in Part B), if there is no immunity because of a union's failure to provide an employer with notice of its intent to conduct an industrial action ballot, sample voting paper, or notice of official industrial action, only the employer of the workers concerned (or an individual deprived of goods or services by the action) can bring proceedings.

- its Principal Executive Committee;
- its General Secretary or President;
- any person given power under the union's own rules to do; or
- any other committee of the union or any official<sup>2</sup> of the union, including those who are employed by the union and those, like shop stewards, who are not.

For these purposes:

- a "committee of the union" is any group of persons constituted in accordance with the rules of the union; and
- a relevant act will be taken to have been done (or authorised or endorsed) by an official if it was done (or authorised or endorsed) by a group of persons, or any member of a group, to which an official belonged at the relevant time if the group's purposes include organising or co-ordinating industrial action.

However, if a relevant act which is done (or authorised or endorsed) by such a committee or official is "effectively repudiated" by the union's Principal Executive Committee, General Secretary or President, the union will not be held liable.

In order to avoid liability in this way, the Principal Executive Committee, President or General Secretary of the union must repudiate the act as soon as reasonably practicable after it has come to the knowledge of any of them, and the union must, **without delay**:

- give written notice of the repudiation to the committee or official in question; and
- do its best to give individual written notice of the fact and date of the repudiation to (i) every member of the union who it has reason to believe is taking part - or might otherwise take part - in industrial action as a result of the act; and (ii) the employer of every such member.

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<sup>2</sup> An 'official' is any person who is an officer of the union or of a branch or section of the union or any person who is elected or appointed in accordance with the unions rules to be a representative of its members, including any person so elected or appointed who is an employee of the same employer as the members, or one or more of the members, he is elected to represent - e.g. a shop steward.

The written notice of repudiation given to the union's members must contain the following statement:

"Your union has repudiated the call (or calls) for industrial action to which this notice relates and will give no support to unofficial industrial action taken in response to it (or them). If you are dismissed while taking unofficial industrial action, you will have no right to complain of unfair dismissal."

However, even if it takes these steps a union will not be considered to have "effectively repudiated" an act if:

- the Principal Executive Committee, President or General Secretary subsequently behave in a way which is inconsistent with the repudiation; or
- at any time up to three months after the repudiation, a party to a commercial contract which has been, or may be, interfered with by the relevant act requests the union's Principal Executive Committee, President or General Secretary to confirm that the act has been repudiated, and written confirmation is not given forthwith.

### **Remedies**

Where immunity does not apply, those party to contracts which are broken, or the performance of which is interfered with, by the organisation (or a threat to organise) industrial action may seek an injunction from the courts.

An injunction may be granted on an interim basis pending a full hearing of the case, but the union or individual against whom the order is sought will have the legal right to be given a chance to put their case.

If an injunction is not obeyed, those who sought it can go back to court and ask to have those concerned declared in contempt of court. Anyone found to be in contempt of court may face heavy fines or other penalties which the court may consider appropriate. For example, a union may be deprived of its assets through sequestration (where the funds are placed in the control of a person appointed by the court who may, in particular, pay any fines or legal costs arising from the court proceedings).

It is also possible to claim damages for losses suffered (which may, but need not, be preceded by an application for an injunction) if the basis of the proceedings is a claim that an act involved breach, or interference with the performance, of contracts. There are upper limits on the amounts which can be awarded by way of damages in any proceedings against a trade union.



These limits depend on the size of the union and are currently as follows:

<b>Members</b>	<b>Amount</b>
Fewer than 5000	£10,000
5,000 - 24,999	£50,000
25,000 - 99,999	£125,000
100,000 or more	£250,000

### **Other unlawful acts**

Where there is legal immunity for those who organise industrial action, this protects only those organisers from legal action for a relevant act (such as inducing breaches, or interference with the performance, of contracts). There is no immunity for strikers or their organisers who commit *other civil wrongs or criminal offences*.

To give two possible examples:

If strikers or their organisers commit an unlawful trespass, for example by entering premises without authority or by staging a "sit-in", they are liable to be sued for that and any other unlawful acts involved just like any other members of the public who occupy premises unlawfully.

If strikers or their organisers commit a criminal offence, such as intentional damage to property, they are liable to be arrested and prosecuted by the police in the same way as anyone else who commits such an offence.

It should also be noted that the union has immunity only if the **sole ground** of liability is a relevant act (such as inducing breach of contract). If some other ground of liability exists then immunity will be lost.

## When is there a "trade dispute"?

A person or trade union who calls for, threatens to call for, or otherwise organises industrial action has legal immunity only if acting **in contemplation or furtherance of a "trade dispute"**.

This means that if immunity is to apply - for example, to any call for industrial action - those concerned must be able to show: (i) that there is a "trade dispute", or that a "trade dispute" is imminent; and (ii) that the action is being called for in contemplation, or in furtherance, of that dispute.

The law provides a detailed definition of what constitutes a "trade dispute" for this purpose. In general, however, there are two main conditions which normally must be satisfied:

- there must be a dispute between **workers and their own employer**; and
- the dispute must be **wholly or mainly about employment related matters** such as their pay and conditions, jobs, allocation of work, discipline, negotiating machinery or trade union membership.

The relevant definition does **not** cover disputes:

- between groups of workers or between trade unions, where no employer is involved in the dispute;
- between workers and an employer other than their own employer;
- between a trade union and an employer, where none of that employer's workforce are in dispute with him;
- which are not wholly or mainly about employment related matters like pay and conditions;
- which relate to matters occurring overseas (except where workers taking action in this country in support of the dispute are likely to be affected by its outcome).

## Secret ballots on "official" industrial action

If a trade union decides to call on its members to take or continue industrial action, it will have no immunity unless it first holds a properly-conducted secret ballot.<sup>3</sup> The circumstances in which a trade union is regarded as being responsible for organising such action, and the remedies available if a union calls for industrial action without having immunity, are described in sections [Tests for determining whether there is "statutory immunity"](#) and [How the law works when the "statutory immunities" do not apply](#).

The law prescribes certain requirements which must be satisfied in relation to such a ballot. These requirements are as follows:

### Independent Scrutiny

For a ballot where more than 50 members are given entitlement to vote,<sup>4</sup> the union must appoint a qualified<sup>5</sup> person as the scrutineer of the ballot<sup>6</sup> whose terms of appointment must include the production of a report on the conduct of the ballot. This report must be produced as soon as reasonably practicable after the date of the ballot, and in any event not later than four weeks after that date.

The union must provide a copy of the scrutineer's report to any union member who was entitled to vote in the ballot, or any employer of such a member, who requests one within six months of the date of the ballot. The copy must be

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<sup>3</sup> The law also gives union members a statutory right to restrain their union from inducing them and others to take any industrial action without the support of a properly conducted ballot. This statutory right is described more fully in the section Industrial action ballots of Industrial action and the law: a guide for employees and trade union members - Regulatory Guidance.

<sup>4</sup> Entitlement to vote in the ballot must be given to all the union's members who it is reasonable at the time of the ballot for the union to believe will be induced by the union to take part in or continue with the industrial action, and to no other members.

<sup>5</sup> The Trade Union Ballots and Elections (Independent Scrutineer Qualifications) Order 1993 specifies conditions which must be satisfied in order for an individual or partnership to qualify for appointment as a scrutineer. It also specifies certain bodies by name as being qualified.

The Trade Union Ballots and Elections (Independent Scrutineer Qualifications) Order 1993 (Amendment) Order 2010. (Statutory Instrument No 437) amends the 1993 order by replacing the list of bodies specified by name as being qualified for appointment. In broad terms, the current order covers practising solicitors, qualified accountants and six named bodies: the Association of Electoral Administrators, DRS Data Services Limited, Electoral Reform Services Limited, the Involvement and Participation Association, Opt2Vote Limited, and Popularis Limited. Contact details are listed in the document Trade union executive elections: a guide for trade unions, their members and others.

<sup>6</sup> Where separate workplace ballots are required, the scrutiny procedures must be followed in respect of each separate ballot if the number of members given entitlement to vote aggregated across all of the ballots is more than 50.

supplied as soon as reasonably practicable, and free of charge (or on payment of a reasonable fee specified by the union).

### **Notice of the ballot and sample voting paper for employers**

The union must take such steps as are reasonably necessary to ensure that any employer who it is reasonable for the union to believe will be the employer of any of its members who will be entitled to vote receives certain information in advance of the intended opening day of the ballot (i.e. the first day when a voting paper is sent to any person entitled to vote), as follows:

- Not later than the seventh day before the intended opening day, written notice
  - stating that the union intends to hold the ballot;
  - specifying the date which the union reasonably believes will be the opening day of the ballot;
  - provides a list of the categories of employee to which the affected employees belong, figures on the number of employees in each category, figures on the numbers of employees at each workplace, the total number of affected employees; together with an explanation of how these figures were arrived at. However, these lists and figures do not necessarily need to be supplied in full in situations where some or all of the employees pay their union subscriptions by deduction from pay at source e.g. through “check off” or “DOCAS “ systems. In such circumstances, the notice must contain either:
    - i. those same lists, figures and explanations as set out above; or
    - ii. such information as will enable the employer to readily deduce the total number of employees affected, the categories of employee to which they belong, the number of employees concerned in each of those categories, the workplaces at which the employees concerned work and the number of them at each of these workplaces.

The “employees affected” are those whom the union reasonably believes will be entitled to vote in the ballot.

But a notice will not fail to satisfy the requirements simply because it does not name any employees. Not later than the third day before the intended opening day, a sample of the voting paper (and any variants of it) which will be sent to his employees.

### **Timing of the ballot and related action**

If the inducement of industrial action to which the ballot relates is to be protected by the law, some part of the action must be induced and start to take place within four weeks from the date of the ballot. This period may be

extended to *eight* weeks if the union and employer agree<sup>7</sup>. (To reduce the risk of misunderstanding, both parties may find it helpful for such agreements to be in writing.) If a ballot results in a "Yes" vote for both a strike and action short of a strike and action short of a strike is induced and starts to take place within the relevant period, the ballot would also continue to protect strike action subsequently, and vice versa.

A union cannot avoid liability merely by holding a properly conducted secret ballot after previously calling for industrial action without one.

### **Entitlement to vote?**

All those members who it is reasonable at the time of the ballot for the union to believe will be induced by the union, to take part in or continue with the industrial action<sup>8</sup> must be given the opportunity to vote. No one else may be given a vote without invalidating the ballot.

The ballot will also be invalidated if anyone denied entitlement to vote is subsequently called on to take part in the action by the union with the exception of union members who were not members at the time of the ballot or who were members but who it was not reasonable for the union to expect would be called upon to take action (for example because they changed jobs after the ballot).

Where the members of a union with different workplaces are to be balloted, a separate ballot will be necessary for each workplace unless one of the conditions set out below is met. It will be unlawful for the union to organise

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<sup>7</sup> A union may be allowed to make its first call for industrial action more than four weeks after the date of the ballot if either (a) the employer and union agree on an extension, for example to enable talks which are making progress to continue, of up to eight weeks after the date of the ballot or (b) an injunction granted by a court or an undertaking given by the union to the court prohibits the union from calling for industrial action during some part, or the whole, of the four weeks following the date of the ballot, and the injunction subsequently lapses or is set aside or the union is released from its undertaking. In the latter case, a union may forthwith apply to the court for an order which, if granted, would provide that the period during which the prohibition had effect would not count towards the four week period for which ballots are normally effective. However, if the court believes that the result of a ballot no longer represents the views of union members, or that something has happened or is likely to happen which would result in union members voting against taking, or continuing with, action if there were a fresh ballot, it may not make such an order. In any case, a ballot can never be effective if a union's first call for industrial action is made more than eight weeks after the date of the ballot.

<sup>8</sup> The union may choose whether or not to give a vote to "overseas members" (i.e. members other than merchant seamen and offshore workers who are outside Great Britain at the time of the ballot). However, members who are in Northern Ireland throughout the voting period for an industrial action ballot and who will be called upon to take part in, or continue with, the industrial action must be given entitlement to vote in the ballot if (i) their place of work is in Great Britain and the ballot is of members at their place of work; or (ii) the industrial action to which the ballot relates will involve members in Great Britain as well as Northern Ireland and the ballot is a general one covering workplaces in both Great Britain and Northern Ireland. Members required to be given entitlement to vote by either of these requirements do not count as "overseas members" for the purposes of the law on industrial action balloting.

industrial action at any such workplace where a majority of those voting in the ballot for that workplace have not voted "Yes" in response to the relevant required question (or questions). (If an employee works at or from a single set of premises, his workplace is those premises. If not, it is the premises with which his employment has the closest connection.)

In summary, the conditions for holding a single ballot for more than one workplace are:

- at each of the workplaces covered by the single ballot there is at least one member of the union affected<sup>9</sup> by the dispute; or
- entitlement to vote in the single ballot is given, and limited, to all of a union's members who, according to the union's reasonable belief, are employed in a particular occupation or occupations by one employer or any of a number of employers with whom the union is in dispute; or
- entitlement to vote in the single ballot is given, and limited, to all of a union's members who are employed by a particular employer or any of a number of employers with whom the union is in dispute.

It is possible for a union to hold more than one ballot on a dispute at a single workplace. If the conditions above are met, some or all of those ballots may also cover members in other workplaces.

### **Voting procedures**

Voting must be by the marking of a voting paper.

The voting paper must:

- state the name of the independent scrutineer;
- clearly specify the address to which, and the date by which, it is to be returned;
- be marked with a number, which is one of a series of consecutive numbers used to give a different number to each voting paper.
- make clear whether voters are being asked if they are prepared to take part in industrial action which consists of a strike, or in industrial action short of a strike, which for this purpose includes overtime bans and call-out bans; and
- specify the person or persons (and/or class or classes of person/s) whom the union intends to have authority to make the first call for industrial

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<sup>9</sup> Section 228A(5) of the 1992 Act defines for this purpose which members are affected by a dispute.

action to which the ballot relates, in the event of a vote in favour of industrial action<sup>10</sup>.

Those voting must be allowed to do so without interference from or constraint imposed by the union or any of its members, officials or employees. So far as reasonably practicable every member properly entitled to vote must be:

- able to vote in secret;
- sent a voting paper by post to his home address (or any other address which he has requested the union, in writing, to treat as his postal address); and
- given a convenient opportunity to vote by post at no direct cost to himself.<sup>11</sup>

While the question (or questions) may be framed in different ways, the voter must be asked to say by answering "Yes" or "No" whether he is willing to take part in or continue with the industrial action. If the union has not decided whether the industrial action would consist of a strike or action short of a strike (including overtime bans or call-out bans), separate questions in respect of each type of action must appear on the voting paper.

Where the industrial action commenced on or after the 6 April 2005 the following statement must appear on every voting paper<sup>12</sup>: "If you take part in a strike or other industrial action, you may be in breach of your contract of employment. However, if you are dismissed for taking part in a strike or other industrial action which is called officially and is otherwise lawful, the dismissal will be unfair if it takes place fewer than twelve weeks after you started taking part in the action, and depending on the circumstances may be unfair if it takes place later." That statement must not be qualified or commented upon by anything else on the voting paper.

The voting paper must specify the person, persons, or description of persons who the union intends to have authority to call for industrial action to which the ballot relates, in the event of a vote in favour of industrial action. For this purpose, anyone so specified need not be authorised under the union's rules

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<sup>10</sup> Where a person who has not been specified on the voting paper calls industrial action before it is first called by a specified person, then - in order to be certain that the ballot will give protection against legal proceedings - the union should if possible ensure that the call by the unspecified person is effectively repudiated.

<sup>11</sup> There is a limited exception to these rules for the balloting of union members who are merchant seamen where the union reasonably believes that they will be employed in a ship at sea (or outside Great Britain) at some time in the period during which votes may be cast and that it will be convenient for them to vote while on the ship or where the ship is.

<sup>12</sup> This statement was also required to appear on every voting paper prior to 6 April 2005, referring to the protected period for lawfully-organised industrial action as being 8 weeks, rather than the now extended 12 weeks.

to call on members to take industrial action, but must be among those for whose acts the union is responsible in law - on which see section [How the law works when the "Statutory immunities" do not apply](#).

### **Majority support**

Majority support must be obtained in response to the question (or questions) on the voting paper which are appropriate to the type of industrial action concerned, ie:

- In the case of a strike, majority support must be obtained in response to a question on the voting paper which asks if members are prepared to take part in (or continue with) strike action;
- In the case of action short of a strike, majority support must be obtained in response to a question on the voting paper which asks if members are prepared to take part in (or continue with) action short of a strike;
- If the action consists or may consist of a strike and other industrial action, majority support must be obtained for each type of action in response to separate questions on the voting paper asking if members are prepared to take part in (or continue with) each type.

### **Announcement of ballot results**

A union must, as soon as reasonably practicable after holding an industrial action ballot, take steps to inform all those entitled to vote<sup>13</sup>, and their employer(s), of the number of:

- votes cast in the ballot;
- individuals answering "Yes" to the required question (or questions);
- individuals answering "No" to the required question (or questions); and
- spoiled voting papers.

Where separate workplace ballots are required these details must be notified separately for each such workplace to those entitled to vote there.

### **Features of the application of the balloting requirements**

The following material deals with the application of particular features of these balloting requirements.

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<sup>13</sup> If overseas members of a trade union have been given entitlement to vote in an industrial action ballot the detailed information about its result need not be sent to them, but the information supplied to non-overseas members in accordance with the statutory requirements must distinguish between votes cast, individuals voting, and spoiled ballot papers to show which details relate to overseas, and which to non-overseas, members. (For these purposes members in Northern Ireland given entitlement to vote do not count as "overseas" members.)



### ***What if any particular requirement is not satisfied?***

Apart from certain small accidental failures that are unlikely to affect the result, a failure to satisfy the statutory requirements<sup>14</sup> relating to the ballot or giving employers notice of industrial action will give grounds for proceedings against a union by an employer, a customer or supplier of an employer, or an individual member of the public claiming that an effect or likely effect of the industrial action would be to prevent or delay the supply of goods or services to him or to reduce the quality of goods or services so supplied. With the exception of failures to comply with the requirements to give notice to employers, these will also give grounds for action by the union's members.

If a union, fails only to provide the required notice of intent to ballot, or the sample voting paper, to a particular employer who should have received it, only: (i) that employer or (ii) any individual deprived of goods or services because of the industrial action, can bring proceedings. Failure to satisfy any other balloting requirements will expose the union to proceedings brought by others (for example by its own members).

### ***What happens if there is a call for industrial action by a person not specified on the voting paper, but no call from any person so specified?***

A ballot will not give a union protection against legal proceedings if industrial action is called by a person not specified on the voting paper (or by a person of a description not so specified). So if there is a call for action by someone - for whose act the union was responsible in law - other than a specified person, and no call is made by a specified person, the union would be at risk of proceedings being brought against it unless it effectively repudiated the call. (The section [How the law works when the "statutory immunities" do not apply](#) describes this "repudiation" process).

### ***Statutory Code of Practice on industrial action balloting***

The Secretary of State has issued a statutory Code of Practice to promote good practice in the conduct of trade union industrial action ballots. (see Code of Practice - Industrial action ballots and notice to employers).

Failure to observe the provisions of the statutory Code does not in itself render a union, or anyone else, liable to any legal proceedings. However, where proceedings are brought against a union the provisions of the Code are admissible in evidence, and may be taken into account by a court if they appear relevant to any question before it. (Its status is thus similar to, for example, the Highway Code in relation to legal proceedings in connection with offences under Road Traffic Acts.)

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<sup>14</sup> Set out in sections 226-232A and section 234A of the Trade Union and Labour Relations (Consolidation) Act 1992 as amended by the Trade Union Reform and Employment Rights Act 1993 and the Employment Relations Act 1999.

## Notice to employers of "official" industrial action

In order to be protected against proceedings by: (i) an employer party to contacts of employment or services which would be broken or interfered with by the action; or (ii) an individual deprived of goods or services because of the action, a union's call for industrial action will need to be covered by adequate notice of official industrial action.

To provide such notice, the union will have to take such steps as are reasonably necessary to ensure that the employer of workers which the union believes have been, or will be, called upon to take part in (or continue with) official industrial action receives a written notice from the union which:

- reaches the employer after the union has taken steps to notify the employer of the result of the ballot relating to the industrial action, but no less than seven days before the day (or the first of the days) specified in the notice;
- specifies: (i) whether the union intends the industrial action to be "continuous" or "discontinuous" (14); and (ii) the date on which any of the affected employees will be called on to begin the action (where it is continuous action), or the dates on which any of them will be called on to take part (where it is discontinuous action);
- provides a list of the categories and workplaces of the employees that the union is going to ballot, figures on the numbers of employees in each category, figures on the numbers of employees at each workplace, the total numbers of affected employees; together with an explanation of how the figures provided were arrived at. However, these lists and figures do not necessarily need to be provided in full in situations where the employees pay their union subscriptions by deduction from pay at source e.g. where some or all of the employees pay through the "check-off" or "DOCAS" systems. In such circumstances, the notice must contain either:
  - (iii) those same lists, figures and explanations as set out in (a); or
  - (iv) such information as will enable the employer to readily deduce the total number of employees concerned, the categories of employee to which they belong, the number of employees concerned in each of those categories, the workplaces at which the employees concerned work and the number of them at each of these workplaces

Where only some of the employees concerned pay their union contributions by the "check off", the union's notice may include both types of information. That is, the lists, figures and explanations should be provided for those who do not pay their subscriptions through the check off whilst information relating to check off payments may suffice for those who do.

The "employees concerned" are those whom the union reasonably believes will be entitled to vote in the ballot

The lists and figures or information supplied should be as accurate as is reasonably practicable in the light of the information in the union's possession at the time when it complied with this requirement of the law.

- states that it is a notice given for the purposes of section 234A of the Trade Union and Labour Relations (Consolidation) Act 1992; and
- is given by any officer, official or committee of the union for whose act of inducing industrial action the union is responsible in law (as described in section on [How the law works when the "statutory immunities" do not apply](#))

**Changes in the union's intentions, for example as to the dates on which action is to be taken, require further notices to be given accordingly.**

With the exception of the requirements relating to continuous and discontinuous action and to the need to give further notices in the event of changes in the union's intentions, the statutory requirements applying to notice of industrial action are for the most part the same as those applying to notice of industrial action ballots, although the content may differ from that given at the earlier because of changes in circumstances.

Where continuous industrial action is suspended, for example for further negotiations between the employer and union, the union must normally give the employer a further notice before resuming the action. The exception to this requirement is where the union agrees with the employer that the industrial action will cease to be authorised or endorsed with effect from a date specified in the agreement but may be authorised or endorsed again on or after another date specified in the agreement and the union:

- ceases to authorise or endorse the action with effect from the specified date; and
- subsequently re-authorises or re-endorses the action from a date on or after the originally specified date or such later date as may be agreed with the employer.

For this exception to apply, the resumed industrial action must be of the same kind as covered in the original notice. That will not be so if, for example, the later action is taken by different or additional descriptions of workers. In order to avoid misunderstanding, both parties may find it helpful for such agreements to be in writing.

## Secondary industrial action

It is unlawful to call for, threaten to call for, or otherwise organise secondary industrial action. Such an act by any person or trade union, does not have the protection of the "statutory immunities" described in earlier Sections of this booklet.

Secondary action - which is sometimes referred to as "sympathy" action, or "solidarity" action - is defined as industrial action by workers whose employer is not a party to the trade dispute to which the action relates. Secondary action can be taken by those working under contracts of employment, or any contract under which one person personally does work or performs services for another.

For these purposes:

- where more than one employer is in dispute with his workers, the dispute between each employer and his workers is treated as a separate dispute;
- industrial action which is "primary" action (i.e. in contemplation or furtherance of a dispute between workers and their own employer) is not regarded as "secondary" action simply because it has some effect on another dispute between workers and a different employer;
- calls on workers to breach, or interfere with the performance of, contracts will not be regarded as calls to take secondary action if made in the course of attendance for the purpose of peaceful picketing as the law allows (see section on [Picketing](#)).

## Industrial action to promote closed shop practices or against non-union firms

### Closed shop practices

There is no immunity for any call for, threat to call for, or other organisation of industrial action to establish or maintain any sort of union closed shop practice.

Statutory immunity is not available where the reason, or one of the reasons, for the industrial action is:-

- that an employer employs, has employed or might employ a person who is not a member of any trade union, of a particular trade union, or of one of a number of particular trade unions; or
- to pressurise an employer into discriminating against a person on the grounds of non-membership of any trade union, of a particular trade union, or of one of a number of particular trade unions.

An employer discriminates against a person who is not a union member if his conduct in relation to people who are or may be employed by him is:

- different according to whether or not the people are or are not members; and
- more favourable to those people who are members.

### Non-union firms

In addition, there is no immunity for a relevant act (such as calling for, threatening to call for, or otherwise organising industrial action) which is either:

designed to exert pressure on an employer to persuade him to impose union labour only or recognition requirements on contractors <sup>15</sup>; or

taken by the employees of one employer and interferes with the supply (whether or not under a contract) of goods or services by a second employer, or can reasonably be expected to have that effect, where the reason, or **one of the reasons** for the action is that the supplier of the goods or services does not recognise, negotiate, or consult with trade unions or trade union officials.

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<sup>15</sup> It should be noted that the law also prohibits companies, local authorities and others from imposing on contractors requirements that make it a condition of a contract, or of obtaining a contract, that the contractor employs only trade union members or recognises, negotiates or consults with trade unions. These related provisions are set out in detail in a separate document Union membership and non-membership rights - Regulatory Guidance.

## **Industrial action in support of an employee dismissed while taking "unofficial" industrial action**

There is no immunity for any call for, threat to call for, or other organisation of industrial action where the reason, or one of the reasons, for that action is the fact or belief that an employer has dismissed any employee in circumstances where the employee has no right to complain of unfair dismissal because he was dismissed while taking "unofficial" industrial action.

For these purposes:

- an "employer" in relation to an employee includes, in the case where the employment has ceased, the employer for whom he used to work;
- an employee who was a member of a union (other than for purposes unconnected with his employment) when he began to take the industrial action, or at the time he was dismissed, will be regarded as having been dismissed while taking "unofficial" industrial action if, at the time of his dismissal, the act of calling for, threatening to call for, or otherwise organising the industrial action was not the act of the union either: (i) because it was done by a person for whose acts the union was not responsible in law (see section How the law works when the "statutory immunities" do not apply - Industrial action and the law Part A); or (ii) because, although done by a person for whose acts the union was responsible in law, the act has been "effectively repudiated" by the union's Principal Executive Committee, President or General Secretary (see also the section How the law works when "statutory immunities" do not apply in Part A). (However, where the relevant act of the union because it has been so "repudiated", an employee is not regarded as taking "unofficial" industrial action until a full "working day"<sup>16</sup> has passed since the day on which the repudiation took place.)
- an employee who was not a union member when he began to take the industrial action in the course of which he was dismissed, nor when he was dismissed, will not be regarded as having been dismissed while taking "unofficial" action unless, at the time of dismissal, there were others also taking the action who were members of a union which had not authorised or endorsed the action.

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<sup>16</sup> A "working day" for these purpose means any day other than a Saturday, Sunday, Christmas Day, Good Friday or a bank holiday under the Banking and Financial Dealings Act 1971.

## Picketing

When pickets try to persuade people not to go into work, or not to deliver or collect goods, they may in effect be inducing them to break, or interfere with the performance of, their contracts of employment. They may also be interfering with the ability of the employers of those people to fulfil their commercial contracts.

Inducement in the course of picketing is not itself lawful simply because the industrial action supported by the picketing is lawfully organised. For such inducement to be lawful it must satisfy certain conditions laid down by the law.

These conditions include the following:

that the picketing is at or near the pickets' own place of work; and

that the purpose of the picketing is **peacefully** to obtain or communicate information, or **peacefully** to persuade a person to work or not to work.

There are, however, three exceptions to the rule that an inducement in the course of picketing has immunity only if it is done at or near the pickets' own place of work.

First, a trade union official may accompany a member of his union whom he represents so long as the member is picketing at his own place of work. Secondly, a person (for example, a mobile worker) who does not normally work at one particular place, or for whom it is impracticable to picket at his actual place of work, may picket at the premises of the employer from which he works or from which the work is administered. Thirdly, a person who is not in employment may picket at his former place of work in contemplation or furtherance of a trade dispute, but only if the termination of his employment gave rise to or is connected with the dispute in support of which he is picketing.

It should be noted that picketing which is not peaceful and which, for example, leads to violent or abusive behaviour, intimidation or obstruction of the highway is likely to involve offences under the criminal law. The law gives no protection to people who commit such offences in the course of picketing and they may be arrested and prosecuted by the police (see also section How the law works when the "statutory immunities" do not apply in Part A).

More detailed information is contained in a statutory Code of Practice on picketing. The Code outlines the law on picketing and gives practical guidance on its conduct. In particular, it recommends that pickets and their organisers should ensure that in general the number of pickets does not exceed six at any entrance to a workplace.

As with the Code of Practice on trade union industrial action balloting described in the section Secret ballots on "official" industrial action (Part A), failure to observe the provisions of the statutory Code on picketing does not in itself render a union, or anyone else, liable to any legal proceedings. However, where proceedings are brought against a union, the provisions of

the Code are admissible in evidence, and may be taken into account by a court if they appear relevant to any question before it. (Its status is thus similar to, for example, the Highway Code in relation to legal proceedings in connection with offences under Road Traffic Acts.)



## **Dismissal of employees taking industrial action**

An employer may take various measures, up to and including dismissal, against any employee who takes industrial action. An employee who is dismissed by his employer while taking industrial action may lose his right to claim unfair dismissal.

### **How does taking industrial action affect an employee's right to claim unfair dismissal?**

With certain exceptions, the law prevents an employment tribunal from considering a claim of unfair dismissal on its merits if the employee was dismissed while taking part in industrial action. This means that the employment tribunal cannot find the dismissal of the employee to be unfair. The courts have interpreted this legislation as applying to any industrial action - whether or not it involves breach, or interference with, the performance of the employee's contract of employment. The exceptions are as follows.

### **Dismissal for taking part in "protected" industrial action starting on or after 24 April 2000**

Where an employee starts taking "protected" industrial action on or after 24 April 2000, it will be unfair to dismiss him for this reason unless his industrial action lasts for more than eight weeks and the employer has taken such procedural steps as are reasonable to try to resolve the dispute.

The Employment Relations Act 2004 introduces a new provision which changes the length and scope of the protected period for industrial action. For industrial action commencing on or after 6 April 2005, the length of "protected" industrial action is extended from eight to twelve weeks. Lock-out days, where an employer prevents striking employees from returning to work, are disregarded when determining this twelve week period. For example, where an employer locks out employees taking "protected" industrial action, for ten days, during the twelve week period, the twelve week period will be extended by ten days.

Employees who believe they have been unfairly dismissed in this way have the right to complain to an employment tribunal, regardless of their length of service or age.

If the tribunal finds that an employee has been unfairly dismissed, it can make an award of compensation comprising a basic award, based on the employee's age, length of service and weekly pay and calculated in a similar way to a redundancy payment, and a compensatory award, which is an amount the tribunal considers just and equitable for the loss which the employee has suffered as a result of the dismissal, subject to a limit of £50,000<sup>17</sup>. If no employees are still taking protected industrial action over the relevant dispute and if the employee so wishes, the tribunal may make an order for the employee to be re-instated or re-engaged. If the employer

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<sup>17</sup> This figure is revised annually in line with the retail prices index.

refuses to comply with the order, the tribunal may make an award of compensation consisting of the basic and compensatory awards mentioned above and an additional award of between 26 and 52 weeks' pay (subject to a maximum of £11,960)<sup>18</sup>. For more details, see Unfairly dismissed? - Regulatory Guidance.

*What is "protected" industrial action?*

Industrial action is "protected" if an employee is induced to take it by his union and the union in doing so complies with the legal requirements governing the organisation of industrial action set out elsewhere in this booklet. If the union repudiates the industrial action (see section How the law works when the "statutory immunities" do not apply), it ceases to be protected after the working day following the day of the repudiation. (For example, if the union repudiates the action on a Monday, industrial action taken on or after the Wednesday will not be protected.)

*What are "reasonable procedural steps"?*

It is for the tribunal in considering a claim for unfair dismissal to decide whether the employer has taken such procedural steps as are reasonable to resolve the dispute to which the industrial action relates. In doing so, the tribunal will not consider the merits of the dispute but will have regard to whether the employer and union had complied with the procedures in any applicable collective or other agreement and whether, after the protected industrial action had begun, they had:

- offered or agreed to start or restart negotiations;
- unreasonably refused a request to make use of conciliation services; or
- unreasonably refused a request to make use of mediation services in relation to the procedures to be used to resolve the dispute.

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<sup>18</sup> This is because for the purposes of this calculation a week's pay is subject to a limit of £230, revised annually in line with the retail prices index.

### **Selective dismissal or re-engagement during industrial action**

A tribunal may also entertain claims of unfair dismissal on their merits if the employer discriminates between those taking part in industrial action - other than "unofficial" industrial action - by:

- dismissing some of those taking part in the action, but not others; or <sup>19</sup>
- offering re-engagement to any employee dismissed while taking part in industrial action within three months of his dismissal, but not to all those dismissed. <sup>20</sup>

An employee dismissed while taking "unofficial" industrial action (see section [Industrial action in support of an employee dismissed while taking "unofficial" industrial action](#)) will not generally be able to claim unfair dismissal, regardless of whether the employer has discriminated between those taking such action by dismissing, or re-engaging, only some of them. In addition, the law recognises certain cases of dismissal as requiring special protection. Further details of cases where an employee who is dismissed during the course of industrial action will always be able to make a claim for unfair dismissal can be found in sections 237(1) and 238(2A) of the Trade Union and Labour Relations (Consolidation) Act 1992. These cases, generally, relate to family reasons, health and safety, employee representation and whistle blowing. More information can be found in 'Unfairly dismissed? - Regulatory Guidance'

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<sup>19</sup> To avoid such a claim of unfair dismissal from a person dismissed while taking part in industrial action, the employer needs to treat in the same way only all those who were taking part in the industrial action on the date of his dismissal and who work at the same establishment.

<sup>20</sup> However, after a three month period, the employer may offer re-engagement to any of the employees dismissed while taking part in industrial action, without a tribunal being able to hear a claim of unfair dismissal from employees not offered re-engagement.

