

Form AR21

Trade Union and Labour Relations (Consolidation) Act 1992

Annual Return for a Trade Union

| | | | |
|--|--|--|--------------------------|
| Name of Trade Union: | University & College Union | | |
| Year ended: | 31st August 2020 | | |
| List no: | 792T | | |
| Head or Main Office address: | Carlow Street | | |
| | London | | |
| | | | |
| | | | |
| | | | |
| Postcode | NW1 7LH | | |
| Website address (if available) | www.ucu.org | | |
| Has the address changed during the year to which the return relates? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> | ('X' in appropriate box) |
| General Secretary: | Dr Jo Grady | | |
| Telephone Number: | 020 7756 2500 | | |
| Contact name for queries regarding the completion of this return | David Hales | | |
| Telephone Number: | 020 7756 2500 | | |
| E-mail: | Dhales@ucu.org.uk | | |

Please follow the guidance notes in the completion of this return

Any difficulties or problems in the completion of this return should be directed to the Certification Officer as below or by telephone to: 0330 109 3602

You should send the annual return to the following email address stating the name of the union in subject:

For Unions based in England and Wales: returns@certoffice.org

For Unions based in Scotland: ymw@tcyoung.co.uk

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Return of Members

(see notes 10 and 11)

| | Number of members at the end of the year | | | | |
|--------------|--|------------------|----------------|---|-----------|
| | Great Britain | Northern Ireland | Irish Republic | Elsewhere Abroad (including Channel Islands) | Totals |
| Male | 59,384 | 1,515 | 9 | 66 | 60,974 |
| Female | 66,296 | 1,845 | 12 | 47 | 68,200 |
| Other | | | | | |
| Total | 125,680 | 3,360 | 21 | 113 | A 129,174 |

Number of members at end of year contributing to the General Fund

102,987

Number of members included in totals box 'A' above for whom no home or authorised address is held:

1,626

Change of Officers

Please complete the following to record any changes of officers during the twelve months covered by this return

| Position Held | Name of Officer ceasing to hold Office | Name of Officer Appointed | Date of change |
|------------------------|---|------------------------------|----------------|
| President | Dr Douglas Chalmers | Ms Vicky Blake | 27.5.20 |
| President-Elect | Ms Nita Sanghera | N/A | 16.1.20 |
| President-Elect | N/A | Ms Janet Farrar | 27.5.20 |
| Vice President | Ms Vicky Blake | N/A | 27.5.20 |
| Immediate Past Presid. | N/A | Dr Douglas Chalmers | 27.5.20 |
| Honorary Treasurer | Dr Steve Sangwine | Dr Steve Sangwine | 27.5.20 |

State whether the union is:

a. A branch of another trade union?

Yes

No

If yes, state the name of that other union:

b. A federation of trade unions?

Yes

No

If yes, state the number of affiliated unions:

and names:

Officers in post

(see note 12)

Please complete list of all officers in post at the end of the year to which this return relates.

| Name of Officer | Position held |
|---------------------------------------|---------------|
| | |
| Please see attached pages P2A.1-P2A.4 | |
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OFFICERS OF THE UNIVERSITY AND COLLEGE UNION - 2019/2020

Officers of the Union at 31st August 2019:

| | |
|--------------------------|---------------------|
| President | Dr Douglas Chalmers |
| President Elect | Ms Nita Sanghera* |
| Vice-president | Ms Vicky Blake |
| Honorary Treasurer | Dr Steve Sangwine |
| Immediate Past President | ----- |

Officers of the Union at 31st August 2020

| |
|---------------------|
| Ms Vicky Blake |
| Ms Janet Farrar |
| ----- |
| Dr Steve Sangwine |
| Dr Douglas Chalmers |

Members of the National Executive Committee from 1st September 2019 and at 27 May 2020 (until the end of Congress):

Dr Douglas Chalmers (President)
Ms Nita Sanghera (President elect)*
Ms Vicky Blake (Vice president)
Dr Steve Sangwine (Honorary treasurer)
Ms Maxine Looby
Dr Victoria Showunmi
Ms Elane Heffernan
Ms Lucy Burke
Ms Louise Gooddy**
Mr Ryan Prout
Dr Sue Abbott
Miss Ariane Bogain
Ms Pura Ariza
Ms Carolyn Campbell
Ms Elaine White
Ms Cecily Blyther
Ms Christina Paine
Mr Brian Hamilton
Dr Eleni Michalopoulou
Dr Catherine Prendergast
Mr David Limb
Dr Carlo Morelli
Ms Janice Aitken***
Ms Vida Greaux
Mr Chris Jones
Mr Steve Lui
Dr Joan Harvey
Mr Bruce Baker
Mr Rob Goodfellow
Dr Justine Mercer
Mr Nick Hardy****
Ms Kirsten Forkert
Mr John Paul Sullivan
Ms Ioanna Ioannou
Prof Paul Anderson
Ms Sean Wallis
Dr Amanda Williams
Ms Julia Roberts
Mr Sean Vernell
Dr Philippa Browning

Ms Saira Weiner
Ms Janet Farrar
Ms Deepa Govindarajan Driver
Ms Lesley Kane
Mrs Sally Pellow
Prof Catherine Pope
Ms Alison Chapman
Ms Jacqueline D’Arcy
Ms Anya Cook*****
Ms Margot Hill
Mr Robert Clunas
Ms Mel Stouph
Dr Joanna de Groot
Dr Maria Chondrogianni
Ms Jo McNeill
Mr Mark Abel
Dr Julie Hearn
Dr Marion Hersh
Mr Michael Carley
Ms Lesley McGorrigan
Mr David Harvie*****
Ms Dima CHami*****
Ms Robyn Orfitelli*****

* died 16 January 2020
** resigned February 2020
*** resigned November 2019
**** resigned September 2019
***** resigned October 2019
***** elected March 2020

General Secretary

Dr Jo Grady

Trustees

Mr Philip Burgess
Dr Alastair Hunter
Ms Angela McConnell
Ms Laura Miles
Ms Kathy Taylor

Members of the National Executive Committee from 27 May 2020 (after end of Congress) and at 31st August 2020:

Ms Vicky Blake (President)
Ms Janet Farrar (President Elect)
Dr Douglas Chalmers (Immediate Past President)
Dr Steve Sangwine (Honorary treasurer)
Ms Elane Heffernan
Ms Maxine Looby
Dr Victoria Showunmi
Ms Lucy Burke

Mr Ryan Prout
Ms Pura Ariza
Ms Carolyn Campbell
Ms Cecily Blyther
Ms Christina Paine
Mr Brian Hamilton
Dr Eleni Michalopoulou
Ms Linda Moore
Ms Ann Swinney
Dr Carlo Morelli
Ms Vida Greaux
Mr Chris Jones
Dr Joan Harvey
Dr Justine Mercer
Ms Kirsten Forkert
Mr John Paul Sullivan
Ms Julia Roberts
Mr Sean Vernell
Dr Philippa Browning
Ms Saira Weiner
Ms Deepa Govindarajan Driver
Ms Lesley Kane
Mrs Sally Pellow
Prof Catherine Pope
Ms Alison Chapman
Ms Jacqueline D'Arcy
Dr Joanna de Groot
Dr Maria Chondrogianni
Ms Jo McNeill
Dr Marion Hersh
Ms Lesley McGorrigan
Ms Rachel Minshull
Ms Naina Kent
Mr Richard McEwan
Ms Lauren Mura
Ms Nina Doran
Ms Stephanie Williams
Ms Monica Goligher
Professor Sarah Brown
Ms Annie Goh
Ms Claire Marris
Ms Holly Smith
Mr David Harvie
Ms Kirsten Forkert
Ms Dima Chami
Ms Robyn Orfitelli
Ms Ruth Holliday
Ms Chloé Vitry
Dr Mark Pendleton
Ms Joanne Edge
Dr Adam Ozanne

Dr Leon Rocha
Mr Bruce Baker
Ms Helen Kelsall*

* elected July 2020

General Secretary

Dr Jo Grady

Trustees

Mr Philip Burgess
Dr Alastair Hunter
Ms Angela McConnell
Mr Martin Ralph
Dr Angela Roger

General Fund

(see notes 13 to 18)

| | £ | £ |
|--|--------|------------|
| Income | | |
| From Members: Contributions and Subscriptions | | 21,185,296 |
| From Members: Other income from members (specify) | | |
| Donations | | 249,531 |
| Total other income from members | | 249,531 |
| Total of all income from members | | 21,434,827 |
| Investment income (as at page 12) | | 72,749 |
| Other Income | | |
| Income from Federations and other bodies (as at page 4) | | |
| Income from any other sources (as at page 4) | 89,237 | |
| Total of other income (as at page 4) | | 89,237 |
| Total income | | 21,596,813 |
| Interfund Transfers IN | | |
| Expenditure | | |
| Benefits to members (as at page 5) | | 947,616 |
| Administrative expenses (as at page 10) | | 16,039,114 |
| Federation and other bodies (specify) | | |
| Subscriptions to TUC | | 238,332 |
| Subscriptions to Education International | | 135,143 |
| European Trade Union Committee for Education | | 33,772 |
| Irish Congress of Trade Unions | | 13,985 |
| Education International Europe Region | | 9,585 |
| Other subscriptions | | 16,749 |
| Total expenditure Federation and other bodies | | 447,566 |
| Taxation | | 13,962 |
| Total expenditure | | 17,448,258 |
| Interfund Transfers OUT | | 783,484 |
| Surplus (deficit) for year | | 4,148,555 |
| Amount of general fund at beginning of year | | 34,313,834 |
| Amount of general fund at end of year | | 37,678,905 |

Analysis of income from federation and other bodies and other income

(see notes 19 and 20)

| Description | £ |
|--|---------------|
| Federation and other bodies | |
| Total federation and other bodies | |
| Any Other Sources | |
| Insurance commission | 9,860 |
| Miscellaneous | 5,462 |
| Donations from non-members | 24,088 |
| University facility fees | 41,747 |
| University subventions | 8,080 |
| Total other sources | 89,237 |
| Total of all other income | 89,237 |

Analysis of benefit expenditure shown at the General Fund

(see notes 21 to 23)

| | | | £ |
|---|---------|---|---------|
| Representation – Employment Related Issues | | brought forward | 407,037 |
| | 407,037 | Advisory Services | |
| Representation – Non Employment Related Issues | | Other Cash Payments | |
| | | Education and Training services | 78,444 |
| Communications | | Negotiated Discount Services | |
| Dispute Benefits | | Other Benefits and Grants (specify) | |
| | | Equality, health & safety & pensions events | 74,655 |
| | | Hardship payments | 387,480 |
| carried forward | 407,037 | Total (should agree with figure in General Fund) | 947,616 |

(See notes 21 and 23)

| Fund 4 | | Fund Account | |
|--------------------|---|--------------|-----------|
| Name: | Investment Reserve | £ | £ |
| Income | | | |
| | From members | | |
| | Investment income (as at page 12) | | |
| | Other income (specify) | | |
| | Revaluation of quoted investents | | 66,450 |
| | less deferred tax on unrealised gain | | -12,626 |
| | Total other income as specified | | 53,824 |
| | Total Income | | 53,824 |
| | Interfund Transfers IN | | |
| Expenditure | | | |
| | Benefits to members | | |
| | Administrative expenses and other expenditure (as at page 10) | | |
| | Total Expenditure | | |
| | Interfund Transfers OUT | | |
| | Surplus (Deficit) for the year | | 53,824 |
| | Amount of fund at beginning of year | | 960,904 |
| | Amount of fund at the end of year (as Balance Sheet) | | 1,014,728 |
| | Number of members contributing at end of year | | N/A |

| Fund 5 | | Fund Account | |
|--------------------|---|--------------|---|
| Name: | | £ | £ |
| Income | | | |
| | From members | | |
| | Investment income (as at page 12) | | |
| | Other income (specify) | | |
| | | | |
| | Total other income as specified | | |
| | Total Income | | |
| | Interfund Transfers IN | | |
| Expenditure | | | |
| | Benefits to members | | |
| | Administrative expenses and other expenditure (as at page 10) | | |
| | Total Expenditure | | |
| | Interfund Transfers OUT | | |
| | Surplus (Deficit) for the year | | |
| | Amount of fund at beginning of year | | |
| | Amount of fund at the end of year (as Balance Sheet) | | |
| | Number of members contributing at end of year | | |

Political fund account

(see notes 24 to 33)

£

£

| Political fund account 1 | | To be completed by trade unions which maintain their own political fund | |
|--|---|---|---------|
| | Income | Members contributions and levies | 152,383 |
| | | Investment income (as at page 12) | |
| | Other income (specify) | | |
| | | | |
| | | | |
| | | Total other income as specified | |
| | | Total income | 152,383 |
| Expenditure under section (82) of the Trade Union and Labour Relations (Consolidation) Act 1992 on purposes set out in section (72) (1) where consolidation of expenditures from the political funds exceeds £2,000 during the period | | | |
| | Expenditure A (as at page i) | | |
| | Expenditure B (as at page ii) | | |
| | Expenditure C (as at page iii) | | |
| | Expenditure D (as at page iv) | | |
| | Expenditure E (as at page v) | | |
| | Expenditure F (as at page vi) | | |
| | Non-political expenditure (as at page vii) | | 151,163 |
| | | Total expenditure | 151,163 |
| | | Surplus (deficit) for year | 1,220 |
| | | Amount of political fund at beginning of year | 14,387 |
| | | Amount of political fund at the end of year (as <u>Balance Sheet</u>) | 15,607 |
| | | Number of members at end of year contributing to the political fund | 75,636 |
| | | Number of members at end of the year not contributing to the political fund | 53,538 |
| | | Number of members at end of year who have completed an exemption notice and do not contribute to the political fund | 50,841 |
| Political fund account 2 | | To be completed by trade unions which act as components of a central trade union | |
| Income | Contributions and levies collected from members on behalf of central political fund | | |
| | Funds received back from central political fund | | |
| | Other income (specify) | | |
| | | | |
| | | | |
| | | Total other income as specified | |
| | | Total income | |
| Expenditure | Expenditure under section 82 of the Trade Union and Labour Relations (Consolidation) Act 1992 (specify) | | |
| | | | |
| | Administration expenses in connection with political objects(specify) | | |
| | Non-political expenditure | | |
| | | Total expenditure | |
| | | Surplus (deficit) for year | |
| | | Amount held on behalf of trade union political fund at beginning of year | |
| | | Amount remitted to central political | |
| | | Amount held on behalf of central political fund at end of year | |
| | | Number of members at end of year contributing to the political fund | |
| | | Number of members at end of the year not contributing to the political fund | |
| | | Number of members at end of year who have completed an exemption notice and do not therefore contribute to the political fund | |

**Expenditure from the political fund not falling within section 72 (1) of the trade union & labour relations
(consolidation) act 1992**

For expenditure not falling within section 72 (1) the required information is-

| (a) the nature of each cause or campaign for which money was expended, and the total amount expended in relation to each one | £ |
|--|---|
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Total expenditure

(b) the name of each organisation to which money was paid (otherwise than for a particular cause of campaign), and the total amount paid to each one

£

| | |
|--|---------|
| Trades Union Congress - proportion of affiliation | 107,000 |
| TU Coordinating Group affiliation | 5,675 |
| Fairshare Educational Foundation - Share Action membership | 2,833 |
| Wales TUC | 1,268 |
| Results UK | 500 |
| The Peoples Assembly | 350 |
| Cuba Solidarity Campaign | 200 |
| Abortion Rights | -175 |
| | |
| | |

Total expenditure 117,651

£

(c) the total amount of all other money expended

| | |
|--|--------|
| Conferences | 6,930 |
| DeHavilland - political monitoring service | 17,017 |
| Miscellaneous political lobbying | 25 |
| Justice for Colombia donations | 6,000 |
| IER annual donation | 3,000 |
| Palestine Solidarity Campaign donation | 500 |
| Publiciry advertising | 40 |
| | |
| | |
| | |

Total expenditure 33,512

Total of all expenditures 151,163

Analysis of administrative expenses and other outgoings excluding amounts charged to political fund accounts

(see notes 34 and 35)

| | | £ |
|--|-----------------------|-------------------|
| Administrative Expenses | | |
| Remuneration and expenses of staff | | 9,820,483 |
| Salaries and Wages included in above | 8,734,640 | |
| Auditors' fees | | 36,860 |
| Legal and Professional fees | | 612,667 |
| Occupancy costs | | 1,623,130 |
| Stationery, printing, postage, telephone, etc. | | 453,744 |
| Expenses of Executive Committee (Head Office) | | 122,477 |
| Expenses of conferences | | 216,031 |
| Other administrative expenses (specify) | | |
| Equipment & systems maintenance | | 1,017,551 |
| Campaigns & policy | | 541,531 |
| Bargaining & negotiations | | 139,678 |
| Higher & further education | | 177,798 |
| Ballot | | 473,686 |
| Miscellaneous | | 151,923 |
| Other Outgoings | | |
| Interest on: | | |
| Bank loans (including overdrafts) | | 12 |
| USS Discount unwind | | 102,830 |
| Depreciation | | 524,068 |
| Outgoings on land and buildings (specify) | | |
| Other outgoings (specify) | | |
| Payments to charities | | 7,490 |
| Other donations | | 180,901 |
| Pension scheme | | 132,000 |
| Total | | 16,334,860 |
| Charged to: | General Fund (Page 3) | 16,039,114 |
| | Fighting Fund | 295,746 |
| | Pension Fund | |
| | Investment Reserve | |
| Total | | 16,334,860 |

Analysis of investment income

(see notes 47 and 48)

| | Political Fund £ | | Other Fund(s) £ |
|-----------------------------------|------------------------|-------------------------|-----------------------|
| Rent from land and buildings | | | |
| Dividends (gross) from: | | | |
| Equities (e.g. shares) | | | 7,640 |
| Interest (gross) from: | | | |
| Government securities (Gilts) | | | |
| Mortgages | | | |
| Local Authority Bonds | | | |
| Bank and Building Societies | | | 65,109 |
| Other investment income (specify) | | | |
| | | | 72,749 |
| | | Total investment income | 72,749 |
| | | Credited to: | |
| | | General Fund (Page 3) | 72,749 |
| | | Fighting Fund | |
| | | Pension Fund | |
| | | Investment Reserve | |
| | | | |
| | | | |
| | | Political Fund | |
| | | Total Investment Funds | 72,749 |

Fixed assets account

(see notes 53 to 57)

| | Land and Buildings | | Furniture and Equipment £ | Motor Vehicles £ | Not used for union business £ | Total £ |
|---|--------------------|----------------|------------------------------------|------------------------|--|------------|
| | Freehold £ | Leasehold £ | | | | |
| Cost or Valuation | | | | | | |
| At start of year | 17,484,869 | 89,690 | 2,974,433 | | | 20,548,992 |
| Additions | | | 235,575 | | | 235,575 |
| Disposals | | | -291 | | | -291 |
| Revaluation/Transfers | | | | | | |
| At end of year | 17,484,869 | 89,690 | 3,209,717 | | | 20,784,276 |
| Accumulated Depreciation | | | | | | |
| At start of year | 3,958,233 | 38,567 | 2,456,115 | | | 6,452,915 |
| Charges for year | 349,697 | 1,794 | 172,576 | | | 524,067 |
| Disposals | | | -291 | | | -291 |
| Revaluation/Transfers | | | | | | |
| At end of year | 4,307,930 | 40,361 | 2,628,400 | | | 6,976,691 |
| Net book value at end of year | 13,176,939 | 49,329 | 581,317 | | | 13,807,585 |
| Net book value at end of previous year | 13,526,636 | 51,123 | 518,318 | | | 14,096,077 |

Analysis of investments

(see notes 58 and 59)

| Quoted | All Funds Except Political Funds £ | Political Fund £ |
|--|--|---------------------|
| Equities (e.g. Shares) | 1,248,750 | |
| Government Securities (Gilts) | | |
| Other quoted securities (to be specified) | | |
| Total quoted (as Balance Sheet) | 1,248,750 | |
| Market Value of Quoted Investment | 1,248,750 | |
| Unquoted | | |
| Equities | 180,000 | |
| Government Securities (Gilts) | | |
| Mortgages | | |
| Bank and Building Societies | | |
| Other unquoted investments (to be specified) | | |
| Total unquoted (as Balance Sheet) | 180,000 | |
| Market Value of Unquoted Investments | | |

Summary sheet

(see notes 62 to 73)

| | All funds except Political Funds £ | Political Funds £ | Total Funds £ |
|--|---|----------------------------------|------------------------------|
| Income | | | |
| From Members | 24,788,734 | 152,383 | 24,941,117 |
| From Investments | 72,749 | | 72,749 |
| Other Income (including increases by revaluation of assets) | 1,184,061 | | 1,184,061 |
| Total Income | 26,045,544 | 152,383 | 26,197,927 |
| Expenditure (including decreases by revaluation of assets) | | | |
| Total Expenditure | 20,635,385 | 151,163 | 20,786,548 |
| Funds at beginning of year (including reserves) | 28,849,086 | 14,387 | 28,863,473 |
| Funds at end of year (including reserves) | 34,259,245 | 15,607 | 34,274,852 |
| Assets | | | |
| Fixed Assets | | | 13,807,585 |
| Investment Assets | | | 1,428,750 |
| Other Assets | | | 31,366,719 |
| | | Total Assets | 46,603,054 |
| Liabilities | | Total Liabilities | 12,328,202 |
| Net Assets (Total Assets less Total Liabilities) | | | 34,274,852 |

Ballots & Industrial Action- If you have 6 or more entries for either of these, please complete the Excel Spreadsheet

(see notes 74 to 80)

| | |
|---|--|
| Did the union hold any ballots in respect of industrial action during the return period? | <input type="text" value="Yes"/> |
| If Yes How many ballots were held: <input style="width: 50px;" type="text" value="535"/> | |
| For each ballot held please complete the information below: | |
| Ballot 1 | |
| Number of individual who were entitled to vote in the ballot | <input style="width: 80px;" type="text"/> |
| Number of votes cast in the ballot | <input style="width: 80px;" type="text"/> |
| Number of Individuals answering "Yes" to the question | <input style="width: 80px;" type="text"/> 1 |
| Number of individuals answering "No" to the question | <input style="width: 80px;" type="text"/> 2 |
| Number of invalid or otherwise spoiled voting papers returned | <input style="width: 80px;" type="text"/> 3 |
| | 1-3 should total "Number of votes cast" |
| Were the number of votes cast in the ballot at least 50% of the number of individuals who were entitled to vote in the ballot | <input style="width: 60px;" type="text"/> |
| Does section 226(2B) of the 1992 Act apply in relation to this ballot (see notes 76-80)? | <input style="width: 60px;" type="text"/> |
| If yes, were the number of individuals answering "Yes" to the question (or each question) at least 40% of the number of individuals who were entitled to vote in the ballot | <input style="width: 60px;" type="text"/> |
| Ballot 2 | |
| Number of individual who were entitled to vote in the ballot | <input style="width: 80px;" type="text"/> |
| Number of votes cast in the ballot | <input style="width: 80px;" type="text"/> |
| Number of Individuals answering "Yes" to the question | <input style="width: 80px;" type="text"/> 1 |
| Number of individuals answering "No" to the question | <input style="width: 80px;" type="text"/> 2 |
| Number of invalid or otherwise spoiled voting papers returned | <input style="width: 80px;" type="text"/> 3 |
| | 1-3 should total "Number of votes cast" |
| Were the number of votes cast in the ballot at least 50% of the number of individuals who were entitled to vote in the ballot | <input style="width: 60px;" type="text"/> |
| Does section 226(2B) of the 1992 Act apply in relation to this ballot (see notes 76-80)? | <input style="width: 60px;" type="text"/> |
| If yes, were the number of individuals answering "Yes" to the question (or each question) at least 40% of the number of individuals who were entitled to vote in the ballot | <input style="width: 60px;" type="text"/> |
| Ballot 3 | |
| Number of individual who were entitled to vote in the ballot | <input style="width: 80px;" type="text"/> |
| Number of votes cast in the ballot | <input style="width: 80px;" type="text"/> |
| Number of Individuals answering "Yes" to the question | <input style="width: 80px;" type="text"/> 1 |
| Number of individuals answering "No" to the question | <input style="width: 80px;" type="text"/> 2 |
| Number of invalid or otherwise spoiled voting papers returned | <input style="width: 80px;" type="text"/> 3 |
| | 1-3 should total "Number of votes cast" |
| Were the number of votes cast in the ballot at least 50% of the number of individuals who were entitled to vote in the ballot | <input style="width: 60px;" type="text"/> |
| Does section 226(2B) of the 1992 Act apply in relation to this ballot (see notes 76-80)? | <input style="width: 60px;" type="text"/> |
| If yes, were the number of individuals answering "Yes" to the question (or each question) at least 40% of the number of individuals who were entitled to vote in the ballot | <input style="width: 60px;" type="text"/> |

Ballots & Industrial Action: If you have 6 or more entries for either of these, please complete the Excel Spreadsheet

(see note 81)

***Categories of Nature of Trade Dispute**

- A: terms and conditions of employment, or the physical conditions in which any workers require to work;
- B: engagement or non-engagement, or termination or suspension of employment or the duties of employment, of one or more workers;
- C: allocation of work or the duties of employment between workers or groups of workers;
- D: matters of discipline;
- E: a worker's membership or non-membership of a trade union;
- F: facilities for officials of trade unions;

- G: machinery for negotiation or consultation, and other procedures, relating to any of the above matters, including the recognition by employers or employers' associations of the right of a trade union to represent workers in such negotiation or consultation or in the carrying out of such procedures

Did Union members take industrial action during the return period in response to any inducement on the part of the Union? YES/NO

Yes

If **YES**, for each industrial action taken please complete the information below:

Industrial Action 1

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken: to

3. Number of days of industrial action:

4. Nature of industrial action.

Industrial Action 2

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken: to

3. Number of days of industrial action:

4. Nature of industrial action.

Industrial Action 3

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken: to

3. Number of days of industrial action:

4. Nature of industrial action.

use a continuation page if necessary

Information on Industrial Action Ballots

| Name of Organisation: | | University & College Union | | | Reporting Period | Year ended 31/08/2020 | | |
|--|---|------------------------------------|---|--|---|--|--|--|
| Did the union hold any ballots in respect of industrial action during the return period? | | | | <u>Yes</u> | For each ballot held please complete the information below | | | |
| If yes, how many ballots were held? | | | | <u>536</u> | | | | |
| Ballot | Number of individuals who were entitled to vote in the ballot | Number of votes cast in the ballot | Number of Individuals answering "Yes" to the question | Number of Individuals answering "No" to the question | Number of invalid or otherwise spoiled voting papers returned | Were the number of votes cast in the ballot at least 50% of the number of individuals who were entitled to vote in the ballot? | Does 226(2B) of the 1992 Act apply to this ballot? | If yes, were the number of individuals answering "Yes" to the question (or each question) at least 40% of the number of individuals who were entitled to vote in the ballot? |
| 1 | 602 | 327 | 243 | 81 | 3 | Yes | No | |
| 2 | 602 | 327 | 282 | 40 | 5 | Yes | No | |
| 3 | 823 | 436 | 368 | 68 | 0 | Yes | No | |
| 4 | 341 | 194 | 117 | 72 | 5 | Yes | No | |
| 5 | 341 | 194 | 138 | 52 | 4 | Yes | No | |
| 6 | 403 | 224 | 155 | 66 | 3 | Yes | No | |
| 7 | 403 | 224 | 181 | 40 | 3 | Yes | No | |
| 8 | 50 | 25 | 16 | 9 | 0 | Yes | No | |
| 9 | 50 | 25 | 21 | 4 | 0 | Yes | No | |
| 10 | 349 | 192 | 127 | 64 | 1 | Yes | No | |
| 11 | 349 | 192 | 149 | 43 | 0 | Yes | No | |
| 12 | 1,367 | 713 | 544 | 165 | 4 | Yes | No | |
| 13 | 1,367 | 713 | 601 | 111 | 1 | Yes | No | |
| 14 | 51 | 32 | 20 | 12 | 0 | Yes | No | |
| 15 | 51 | 32 | 23 | 9 | 0 | Yes | No | |
| 16 | 965 | 520 | 379 | 137 | 4 | Yes | No | |

| | | | | | | | |
|----|-------|-----|-----|-----|---|-----|----|
| 17 | 965 | 520 | 445 | 72 | 3 | Yes | No |
| 18 | 353 | 184 | 137 | 46 | 1 | Yes | No |
| 19 | 353 | 184 | 167 | 17 | 0 | Yes | No |
| 20 | 258 | 139 | 96 | 43 | 0 | Yes | No |
| 21 | 258 | 139 | 119 | 19 | 1 | Yes | No |
| 22 | 116 | 79 | 67 | 12 | 0 | Yes | No |
| 23 | 116 | 79 | 74 | 5 | 0 | Yes | No |
| 24 | 355 | 254 | 179 | 72 | 3 | Yes | No |
| 25 | 355 | 254 | 211 | 40 | 3 | Yes | No |
| 26 | 162 | 99 | 89 | 9 | 1 | Yes | No |
| 27 | 162 | 99 | 93 | 4 | 2 | Yes | No |
| 28 | 57 | 31 | 22 | 9 | 0 | Yes | No |
| 29 | 57 | 31 | 28 | 3 | 0 | Yes | No |
| 30 | 632 | 410 | 238 | 169 | 3 | Yes | No |
| 31 | 632 | 410 | 296 | 111 | 3 | Yes | No |
| 32 | 1,207 | 685 | 532 | 152 | 1 | Yes | No |
| 33 | 1,207 | 685 | 590 | 93 | 2 | Yes | No |
| 34 | 1,798 | 958 | 683 | 268 | 7 | Yes | No |
| 35 | 1,798 | 958 | 800 | 153 | 5 | Yes | No |
| 36 | 108 | 65 | 42 | 22 | 1 | Yes | No |
| 37 | 108 | 65 | 55 | 10 | 0 | Yes | No |
| 38 | 271 | 165 | 126 | 38 | 1 | Yes | No |
| 39 | 271 | 165 | 140 | 24 | 1 | Yes | No |
| 40 | 804 | 449 | 338 | 109 | 2 | Yes | No |
| 41 | 804 | 449 | 380 | 67 | 2 | Yes | No |
| 42 | 586 | 328 | 214 | 111 | 3 | Yes | No |
| 43 | 586 | 328 | 243 | 83 | 2 | Yes | No |
| 44 | 659 | 363 | 270 | 92 | 1 | Yes | No |
| 45 | 659 | 363 | 311 | 50 | 2 | Yes | No |
| 46 | 414 | 239 | 168 | 68 | 3 | Yes | No |
| 47 | 414 | 239 | 202 | 36 | 1 | Yes | No |
| 48 | 870 | 440 | 326 | 110 | 4 | Yes | No |
| 49 | 870 | 440 | 365 | 73 | 2 | Yes | No |

| | | | | | | | |
|----|-------|-------|-------|-----|---|-----|----|
| 50 | 1,782 | 1,086 | 811 | 271 | 4 | Yes | No |
| 51 | 1,782 | 1,086 | 902 | 180 | 4 | Yes | No |
| 52 | 2,075 | 1,069 | 839 | 227 | 3 | Yes | No |
| 53 | 2,075 | 1,069 | 929 | 135 | 5 | Yes | No |
| 54 | 1,295 | 691 | 512 | 175 | 4 | Yes | No |
| 55 | 1,295 | 691 | 568 | 119 | 4 | Yes | No |
| 56 | 45 | 32 | 15 | 17 | 0 | Yes | No |
| 57 | 45 | 32 | 18 | 14 | 0 | Yes | No |
| 58 | 1,579 | 950 | 744 | 204 | 2 | Yes | No |
| 59 | 1,579 | 950 | 822 | 124 | 4 | Yes | No |
| 60 | 369 | 208 | 147 | 61 | 0 | Yes | No |
| 61 | 369 | 208 | 155 | 52 | 1 | Yes | No |
| 62 | 2,608 | 1,348 | 1,086 | 258 | 4 | Yes | No |
| 63 | 2,608 | 1,348 | 1,200 | 145 | 3 | Yes | No |
| 64 | 1,131 | 657 | 504 | 147 | 6 | Yes | No |
| 65 | 1,131 | 657 | 560 | 93 | 4 | Yes | No |
| 66 | 285 | 159 | 106 | 52 | 1 | Yes | No |
| 67 | 285 | 159 | 124 | 34 | 1 | Yes | No |
| 68 | 635 | 376 | 283 | 88 | 5 | Yes | No |
| 69 | 635 | 376 | 322 | 53 | 1 | Yes | No |
| 70 | 1,429 | 799 | 578 | 215 | 6 | Yes | No |
| 71 | 1,429 | 799 | 672 | 123 | 4 | Yes | No |
| 72 | 1,134 | 658 | 501 | 155 | 2 | Yes | No |
| 73 | 1,134 | 658 | 583 | 73 | 2 | Yes | No |
| 74 | 1,931 | 1,094 | 864 | 228 | 2 | Yes | No |
| 75 | 1,931 | 1,094 | 978 | 115 | 1 | Yes | No |
| 76 | 548 | 309 | 239 | 70 | 0 | Yes | No |
| 77 | 548 | 309 | 270 | 39 | 0 | Yes | No |
| 78 | 952 | 483 | 368 | 110 | 5 | Yes | No |
| 79 | 952 | 483 | 404 | 75 | 4 | Yes | No |
| 80 | 1,418 | 802 | 563 | 232 | 7 | Yes | No |
| 81 | 1,418 | 802 | 656 | 137 | 9 | Yes | No |
| 82 | 778 | 448 | 350 | 95 | 3 | Yes | No |

| | | | | | | | |
|-----|-------|-----|-----|-----|---|-----|----|
| 83 | 778 | 448 | 380 | 66 | 2 | Yes | No |
| 84 | 785 | 466 | 339 | 127 | 0 | Yes | No |
| 85 | 785 | 466 | 385 | 81 | 0 | Yes | No |
| 86 | 1,190 | 656 | 482 | 172 | 2 | Yes | No |
| 87 | 1,190 | 656 | 543 | 112 | 1 | Yes | No |
| 88 | 599 | 331 | 256 | 74 | 1 | Yes | No |
| 89 | 599 | 331 | 276 | 54 | 1 | Yes | No |
| 90 | 741 | 461 | 388 | 70 | 3 | Yes | No |
| 91 | 741 | 461 | 425 | 32 | 4 | Yes | No |
| 92 | 847 | 443 | 363 | 80 | 0 | Yes | No |
| 93 | 847 | 443 | 398 | 45 | 0 | Yes | No |
| 94 | 517 | 262 | 206 | 55 | 1 | Yes | No |
| 95 | 517 | 262 | 220 | 42 | 0 | Yes | No |
| 96 | 1,233 | 618 | 457 | 158 | 3 | Yes | No |
| 97 | 1,233 | 618 | 536 | 80 | 2 | Yes | No |
| 98 | 711 | 394 | 268 | 126 | 0 | Yes | No |
| 99 | 711 | 394 | 317 | 77 | 0 | Yes | No |
| 100 | 1,126 | 709 | 469 | 235 | 5 | Yes | No |
| 101 | 1,126 | 709 | 553 | 150 | 6 | Yes | No |
| 102 | 559 | 322 | 265 | 56 | 1 | Yes | No |
| 103 | 559 | 322 | 281 | 41 | 0 | Yes | No |
| 104 | 657 | 335 | 242 | 90 | 3 | Yes | No |
| 105 | 657 | 335 | 267 | 66 | 2 | Yes | No |
| 106 | 842 | 571 | 453 | 117 | 1 | Yes | No |
| 107 | 842 | 571 | 500 | 70 | 1 | Yes | No |
| 108 | 23 | 14 | 12 | 1 | 1 | Yes | No |
| 109 | 23 | 14 | 14 | 0 | 0 | Yes | No |
| 110 | 966 | 567 | 433 | 131 | 3 | Yes | No |
| 111 | 966 | 567 | 492 | 73 | 2 | Yes | No |
| 112 | 891 | 473 | 351 | 116 | 6 | Yes | No |
| 113 | 891 | 473 | 397 | 70 | 6 | Yes | No |
| 114 | 373 | 139 | 74 | 63 | 2 | No | No |
| 115 | 373 | 139 | 101 | 36 | 2 | No | No |

| | | | | | | | |
|-----|-------|-----|-----|-----|----|----|----|
| 116 | 324 | 124 | 95 | 28 | 1 | No | No |
| 117 | 324 | 124 | 101 | 23 | 0 | No | No |
| 118 | 62 | 21 | 15 | 6 | 0 | No | No |
| 119 | 62 | 21 | 19 | 2 | 0 | No | No |
| 120 | 252 | 118 | 88 | 28 | 2 | No | No |
| 121 | 252 | 118 | 99 | 19 | 0 | No | No |
| 122 | 368 | 147 | 109 | 35 | 3 | No | No |
| 123 | 368 | 147 | 122 | 24 | 1 | No | No |
| 124 | 100 | 24 | 10 | 13 | 1 | No | No |
| 125 | 100 | 24 | 16 | 8 | 0 | No | No |
| 126 | 346 | 132 | 87 | 44 | 1 | No | No |
| 127 | 346 | 132 | 107 | 24 | 1 | No | No |
| 128 | 243 | 103 | 68 | 33 | 2 | No | No |
| 129 | 243 | 103 | 86 | 17 | 0 | No | No |
| 130 | 582 | 266 | 204 | 61 | 1 | No | No |
| 131 | 582 | 266 | 232 | 32 | 2 | No | No |
| 132 | 151 | 24 | 13 | 8 | 3 | No | No |
| 133 | 151 | 24 | 18 | 3 | 3 | No | No |
| 134 | 534 | 262 | 192 | 70 | 0 | No | No |
| 135 | 534 | 262 | 219 | 43 | 0 | No | No |
| 136 | 24 | 5 | 5 | 0 | 0 | No | No |
| 137 | 24 | 5 | 5 | 0 | 0 | No | No |
| 138 | 99 | 47 | 32 | 13 | 2 | No | No |
| 139 | 99 | 47 | 42 | 5 | 0 | No | No |
| 140 | 79 | 22 | 9 | 13 | 0 | No | No |
| 141 | 79 | 22 | 12 | 10 | 0 | No | No |
| 142 | 662 | 250 | 156 | 81 | 13 | No | No |
| 143 | 662 | 250 | 191 | 46 | 13 | No | No |
| 144 | 379 | 176 | 122 | 53 | 1 | No | No |
| 145 | 379 | 176 | 142 | 33 | 1 | No | No |
| 146 | 1,357 | 661 | 535 | 123 | 3 | No | No |
| 147 | 1,357 | 661 | 574 | 82 | 5 | No | No |
| 148 | 425 | 135 | 101 | 34 | 0 | No | No |

| | | | | | | | |
|-----|-----|-----|-----|-----|---|----|----|
| 149 | 425 | 135 | 116 | 19 | 0 | No | No |
| 150 | 59 | 22 | 18 | 4 | 0 | No | No |
| 151 | 59 | 22 | 19 | 2 | 1 | No | No |
| 152 | 495 | 240 | 167 | 72 | 1 | No | No |
| 153 | 495 | 240 | 186 | 53 | 1 | No | No |
| 154 | 71 | 35 | 20 | 15 | 0 | No | No |
| 155 | 71 | 35 | 26 | 9 | 0 | No | No |
| 156 | 583 | 191 | 115 | 73 | 3 | No | No |
| 157 | 583 | 191 | 145 | 46 | 0 | No | No |
| 158 | 208 | 75 | 57 | 18 | 0 | No | No |
| 159 | 208 | 75 | 58 | 17 | 0 | No | No |
| 160 | 621 | 250 | 214 | 35 | 1 | No | No |
| 161 | 621 | 250 | 227 | 22 | 1 | No | No |
| 162 | 304 | 143 | 93 | 50 | 0 | No | No |
| 163 | 304 | 143 | 121 | 22 | 0 | No | No |
| 164 | 249 | 92 | 74 | 18 | 0 | No | No |
| 165 | 249 | 92 | 84 | 8 | 0 | No | No |
| 166 | 41 | 14 | 11 | 3 | 0 | No | No |
| 167 | 41 | 14 | 12 | 2 | 0 | No | No |
| 168 | 837 | 366 | 257 | 107 | 2 | No | No |
| 169 | 837 | 366 | 301 | 64 | 1 | No | No |
| 170 | 400 | 158 | 121 | 36 | 1 | No | No |
| 171 | 400 | 158 | 142 | 16 | 0 | No | No |
| 172 | 98 | 46 | 28 | 18 | 0 | No | No |
| 173 | 98 | 46 | 35 | 11 | 0 | No | No |
| 174 | 700 | 316 | 218 | 97 | 1 | No | No |
| 175 | 700 | 316 | 263 | 52 | 1 | No | No |
| 176 | 41 | 7 | 5 | 2 | 0 | No | No |
| 177 | 41 | 7 | 6 | 1 | 0 | No | No |
| 178 | 631 | 254 | 181 | 70 | 3 | No | No |
| 179 | 631 | 254 | 206 | 47 | 1 | No | No |
| 180 | 332 | 143 | 99 | 44 | 0 | No | No |
| 181 | 332 | 143 | 115 | 28 | 0 | No | No |

| | | | | | | | |
|-----|-----|-----|-----|----|---|----|----|
| 182 | 27 | 7 | 6 | 1 | 0 | No | No |
| 183 | 27 | 7 | 7 | 0 | 0 | No | No |
| 184 | 20 | 5 | 2 | 3 | 0 | No | No |
| 185 | 20 | 5 | 3 | 2 | 0 | No | No |
| 186 | 15 | 1 | 1 | 0 | 0 | No | No |
| 187 | 15 | 1 | 1 | 0 | 0 | No | No |
| 188 | 57 | 22 | 19 | 3 | 0 | No | No |
| 189 | 57 | 22 | 18 | 4 | 0 | No | No |
| 190 | 90 | 40 | 33 | 6 | 1 | No | No |
| 191 | 90 | 40 | 39 | 1 | 0 | No | No |
| 192 | 21 | 4 | 2 | 2 | 0 | No | No |
| 193 | 21 | 4 | 3 | 1 | 0 | No | No |
| 194 | 21 | 7 | 1 | 6 | 0 | No | No |
| 195 | 21 | 7 | 5 | 2 | 0 | No | No |
| 196 | 28 | 11 | 10 | 1 | 0 | No | No |
| 197 | 28 | 11 | 11 | 0 | 0 | No | No |
| 198 | 205 | 71 | 50 | 21 | 0 | No | No |
| 199 | 205 | 71 | 57 | 14 | 0 | No | No |
| 200 | 112 | 42 | 33 | 9 | 0 | No | No |
| 201 | 112 | 42 | 36 | 6 | 0 | No | No |
| 202 | 194 | 60 | 39 | 21 | 0 | No | No |
| 203 | 194 | 60 | 39 | 20 | 1 | No | No |
| 204 | 683 | 287 | 229 | 58 | 0 | No | No |
| 205 | 683 | 287 | 248 | 39 | 0 | No | No |
| 206 | 107 | 34 | 18 | 16 | 0 | No | No |
| 207 | 107 | 34 | 23 | 11 | 0 | No | No |
| 208 | 126 | 29 | 23 | 6 | 0 | No | No |
| 209 | 126 | 29 | 25 | 4 | 0 | No | No |
| 210 | 418 | 174 | 107 | 65 | 2 | No | No |
| 211 | 418 | 174 | 132 | 42 | 0 | No | No |
| 212 | 551 | 249 | 150 | 93 | 6 | No | No |
| 213 | 551 | 249 | 183 | 65 | 1 | No | No |
| 214 | 254 | 92 | 61 | 30 | 1 | No | No |

| | | | | | | | |
|-----|-----|-----|-----|----|---|----|----|
| 215 | 254 | 92 | 77 | 13 | 2 | No | No |
| 216 | 513 | 255 | 185 | 70 | 0 | No | No |
| 217 | 513 | 255 | 195 | 58 | 2 | No | No |
| 218 | 61 | 23 | 14 | 9 | 0 | No | No |
| 219 | 61 | 23 | 20 | 3 | 0 | No | No |
| 220 | 103 | 23 | 16 | 7 | 0 | No | No |
| 221 | 103 | 23 | 20 | 2 | 1 | No | No |
| 222 | 171 | 66 | 52 | 12 | 2 | No | No |
| 223 | 171 | 66 | 59 | 7 | 0 | No | No |
| 224 | 704 | 241 | 194 | 46 | 1 | No | No |
| 225 | 704 | 241 | 210 | 29 | 2 | No | No |
| 226 | 52 | 9 | 8 | 1 | 0 | No | No |
| 227 | 52 | 9 | 8 | 1 | 0 | No | No |
| 228 | 682 | 283 | 199 | 83 | 1 | No | No |
| 229 | 682 | 283 | 228 | 52 | 3 | No | No |
| 230 | 327 | 117 | 81 | 35 | 1 | No | No |
| 231 | 327 | 117 | 96 | 21 | 0 | No | No |
| 232 | 117 | 46 | 23 | 23 | 0 | No | No |
| 233 | 117 | 46 | 31 | 15 | 0 | No | No |
| 234 | 217 | 76 | 42 | 34 | 0 | No | No |
| 235 | 217 | 76 | 58 | 18 | 0 | No | No |
| 236 | 325 | 77 | 47 | 29 | 1 | No | No |
| 237 | 325 | 77 | 53 | 23 | 1 | No | No |
| 238 | 715 | 357 | 259 | 97 | 1 | No | No |
| 239 | 715 | 357 | 284 | 71 | 2 | No | No |
| 240 | 291 | 144 | 117 | 27 | 0 | No | No |
| 241 | 291 | 144 | 122 | 20 | 2 | No | No |
| 242 | 202 | 55 | 33 | 22 | 0 | No | No |
| 243 | 202 | 55 | 45 | 10 | 0 | No | No |
| 244 | 341 | 165 | 113 | 52 | 0 | No | No |
| 245 | 341 | 165 | 140 | 25 | 0 | No | No |
| 246 | 513 | 186 | 135 | 49 | 2 | No | No |
| 247 | 513 | 186 | 154 | 31 | 1 | No | No |

| | | | | | | | |
|-----|-----|-----|-----|----|---|----|----|
| 248 | 401 | 173 | 122 | 51 | 0 | No | No |
| 249 | 401 | 173 | 143 | 30 | 0 | No | No |
| 250 | 524 | 255 | 187 | 67 | 1 | No | No |
| 251 | 524 | 255 | 207 | 47 | 1 | No | No |
| 252 | 46 | 21 | 7 | 14 | 0 | No | No |
| 253 | 46 | 21 | 15 | 6 | 0 | No | No |
| 254 | 152 | 73 | 52 | 20 | 1 | No | No |
| 255 | 152 | 73 | 63 | 9 | 1 | No | No |
| 256 | 436 | 209 | 168 | 41 | 0 | No | No |
| 257 | 436 | 209 | 180 | 29 | 0 | No | No |
| 258 | 79 | 31 | 21 | 10 | 0 | No | No |
| 259 | 79 | 31 | 24 | 7 | 0 | No | No |
| 260 | 171 | 50 | 38 | 11 | 1 | No | No |
| 261 | 171 | 50 | 44 | 6 | 0 | No | No |
| 262 | 410 | 125 | 77 | 47 | 1 | No | No |
| 263 | 410 | 125 | 93 | 31 | 1 | No | No |
| 264 | 514 | 182 | 129 | 51 | 2 | No | No |
| 265 | 514 | 182 | 140 | 42 | 0 | No | No |
| 266 | 364 | 103 | 70 | 33 | 0 | No | No |
| 267 | 364 | 103 | 81 | 22 | 0 | No | No |
| 268 | 53 | 18 | 8 | 10 | 0 | No | No |
| 269 | 53 | 18 | 13 | 5 | 0 | No | No |
| 270 | 85 | 29 | 19 | 10 | 0 | No | No |
| 271 | 85 | 29 | 22 | 7 | 0 | No | No |
| 272 | 239 | 87 | 56 | 30 | 1 | No | No |
| 273 | 239 | 87 | 65 | 21 | 1 | No | No |
| 274 | 321 | 154 | 95 | 57 | 2 | No | No |
| 275 | 321 | 154 | 126 | 27 | 1 | No | No |
| 276 | 412 | 140 | 97 | 42 | 1 | No | No |
| 277 | 412 | 140 | 117 | 23 | 0 | No | No |
| 278 | 604 | 240 | 188 | 51 | 1 | No | No |
| 279 | 604 | 240 | 200 | 39 | 1 | No | No |
| 280 | 102 | 45 | 40 | 5 | 0 | No | No |

| | | | | | | | |
|-----|-----|-----|-----|----|---|----|----|
| 281 | 102 | 45 | 42 | 3 | 0 | No | No |
| 282 | 225 | 68 | 49 | 19 | 0 | No | No |
| 283 | 225 | 68 | 56 | 12 | 0 | No | No |
| 284 | 138 | 38 | 29 | 9 | 0 | No | No |
| 285 | 138 | 38 | 34 | 4 | 0 | No | No |
| 286 | 448 | 158 | 101 | 57 | 0 | No | No |
| 287 | 448 | 158 | 113 | 44 | 1 | No | No |
| 288 | 502 | 150 | 79 | 71 | 0 | No | No |
| 289 | 502 | 150 | 108 | 42 | 0 | No | No |
| 290 | 239 | 114 | 83 | 30 | 1 | No | No |
| 291 | 239 | 114 | 96 | 18 | 0 | No | No |
| 292 | 207 | 59 | 28 | 31 | 0 | No | No |
| 293 | 207 | 59 | 47 | 12 | 0 | No | No |
| 294 | 73 | 23 | 13 | 10 | 0 | No | No |
| 295 | 73 | 23 | 17 | 6 | 0 | No | No |
| 296 | 204 | 67 | 44 | 23 | 0 | No | No |
| 297 | 204 | 67 | 46 | 21 | 0 | No | No |
| 298 | 218 | 106 | 61 | 45 | 0 | No | No |
| 299 | 218 | 106 | 74 | 29 | 3 | No | No |
| 300 | 707 | 230 | 167 | 62 | 1 | No | No |
| 301 | 707 | 230 | 191 | 38 | 1 | No | No |
| 302 | 510 | 191 | 148 | 42 | 1 | No | No |
| 303 | 510 | 191 | 158 | 33 | 0 | No | No |
| 304 | 690 | 206 | 162 | 44 | 0 | No | No |
| 305 | 690 | 206 | 173 | 33 | 0 | No | No |
| 306 | 149 | 50 | 34 | 15 | 1 | No | No |
| 307 | 149 | 50 | 40 | 9 | 1 | No | No |
| 308 | 319 | 147 | 98 | 49 | 0 | No | No |
| 309 | 319 | 147 | 124 | 23 | 0 | No | No |
| 310 | 101 | 48 | 41 | 6 | 1 | No | No |
| 311 | 101 | 48 | 44 | 3 | 1 | No | No |
| 312 | 213 | 64 | 44 | 20 | 0 | No | No |
| 313 | 213 | 64 | 52 | 11 | 1 | No | No |

| | | | | | | | |
|-----|-------|-----|-----|-----|---|-----|----|
| 314 | 623 | 222 | 197 | 24 | 1 | No | No |
| 315 | 623 | 222 | 203 | 19 | 0 | No | No |
| 316 | 866 | 413 | 291 | 120 | 2 | No | No |
| 317 | 866 | 413 | 331 | 81 | 1 | No | No |
| 318 | 96 | 41 | 29 | 12 | 0 | No | No |
| 319 | 96 | 41 | 35 | 6 | 0 | No | No |
| 320 | 732 | 355 | 258 | 96 | 1 | No | No |
| 321 | 732 | 355 | 299 | 56 | 0 | No | No |
| 322 | 658 | 282 | 217 | 65 | 0 | No | No |
| 323 | 658 | 282 | 229 | 53 | 0 | No | No |
| 324 | 46 | 16 | 7 | 9 | 0 | No | No |
| 325 | 46 | 16 | 12 | 4 | 0 | No | No |
| 326 | 348 | 138 | 105 | 33 | 0 | No | No |
| 327 | 348 | 138 | 118 | 20 | 0 | No | No |
| 328 | 498 | 240 | 169 | 70 | 1 | No | No |
| 329 | 498 | 240 | 192 | 48 | 0 | No | No |
| 330 | 1,321 | 641 | 537 | 103 | 1 | No | No |
| 331 | 1,321 | 641 | 573 | 67 | 1 | No | No |
| 332 | 361 | 171 | 114 | 55 | 2 | No | No |
| 333 | 361 | 171 | 136 | 31 | 4 | No | No |
| 334 | 109 | 48 | 34 | 13 | 1 | No | No |
| 335 | 109 | 48 | 37 | 11 | 0 | No | No |
| 336 | 607 | 235 | 179 | 54 | 2 | No | No |
| 337 | 607 | 235 | 188 | 47 | 0 | No | No |
| 338 | 249 | 110 | 77 | 33 | 0 | No | No |
| 339 | 249 | 110 | 88 | 22 | 0 | No | No |
| 340 | 357 | 154 | 102 | 51 | 1 | No | No |
| 341 | 357 | 154 | 124 | 30 | 0 | No | No |
| 342 | 212 | 145 | 111 | 34 | 0 | Yes | No |
| 343 | 212 | 145 | 124 | 20 | 1 | Yes | No |
| 344 | 484 | 252 | 195 | 56 | 1 | Yes | No |
| 345 | 484 | 252 | 223 | 28 | 1 | Yes | No |
| 346 | 545 | 299 | 231 | 67 | 1 | Yes | No |

| | | | | | | | |
|-----|-------|-----|-----|-----|---|-----|----|
| 347 | 545 | 299 | 253 | 43 | 3 | Yes | No |
| 348 | 351 | 212 | 159 | 52 | 1 | Yes | No |
| 349 | 351 | 212 | 185 | 26 | 1 | Yes | No |
| 350 | 676 | 381 | 320 | 60 | 1 | Yes | No |
| 351 | 676 | 381 | 258 | 122 | 1 | Yes | No |
| 352 | 102 | 74 | 66 | 7 | 1 | Yes | No |
| 353 | 102 | 74 | 69 | 5 | 0 | Yes | No |
| 354 | 72 | 49 | 31 | 17 | 1 | Yes | No |
| 355 | 72 | 49 | 45 | 4 | 0 | Yes | No |
| 356 | 288 | 189 | 164 | 25 | 0 | Yes | No |
| 357 | 288 | 189 | 176 | 13 | 0 | Yes | No |
| 358 | 752 | 416 | 332 | 83 | 1 | Yes | No |
| 359 | 752 | 416 | 345 | 70 | 1 | Yes | No |
| 360 | 692 | 374 | 304 | 68 | 2 | Yes | No |
| 361 | 682 | 374 | 336 | 38 | 0 | Yes | No |
| 362 | 401 | 201 | 164 | 36 | 1 | Yes | No |
| 363 | 401 | 201 | 183 | 18 | 0 | Yes | No |
| 364 | 399 | 206 | 131 | 73 | 2 | Yes | No |
| 365 | 399 | 206 | 160 | 46 | 0 | Yes | No |
| 366 | 241 | 129 | 98 | 31 | 0 | Yes | No |
| 367 | 241 | 129 | 115 | 14 | 0 | Yes | No |
| 368 | 218 | 106 | 61 | 45 | 0 | No | No |
| 369 | 218 | 106 | 74 | 29 | 3 | No | No |
| 370 | 304 | 177 | 156 | 21 | 0 | Yes | No |
| 371 | 304 | 177 | 172 | 5 | 0 | Yes | No |
| 372 | 27 | 22 | 22 | 0 | 0 | Yes | No |
| 373 | 337 | 189 | 130 | 55 | 4 | Yes | No |
| 374 | 337 | 189 | 149 | 36 | 4 | Yes | No |
| 375 | 399 | 220 | 166 | 52 | 2 | Yes | No |
| 376 | 399 | 220 | 186 | 33 | 1 | Yes | No |
| 377 | 1,354 | 700 | 571 | 126 | 3 | Yes | No |
| 378 | 1,354 | 700 | 618 | 81 | 1 | Yes | No |
| 379 | 51 | 31 | 17 | 14 | 0 | Yes | No |

| | | | | | | | |
|-----|-------|-------|-------|-----|---|-----|----|
| 380 | 51 | 31 | 20 | 11 | 0 | Yes | No |
| 381 | 950 | 509 | 405 | 104 | 0 | Yes | No |
| 382 | 950 | 509 | 454 | 55 | 0 | Yes | No |
| 383 | 352 | 252 | 196 | 53 | 3 | Yes | No |
| 384 | 352 | 252 | 219 | 31 | 2 | Yes | No |
| 385 | 78 | 54 | 35 | 19 | 0 | Yes | No |
| 386 | 78 | 54 | 48 | 6 | 0 | Yes | No |
| 387 | 624 | 390 | 240 | 146 | 4 | Yes | No |
| 388 | 624 | 390 | 283 | 103 | 4 | Yes | No |
| 389 | 1,191 | 680 | 574 | 105 | 1 | Yes | No |
| 390 | 1,191 | 680 | 609 | 69 | 2 | Yes | No |
| 391 | 1,794 | 929 | 703 | 221 | 5 | Yes | No |
| 392 | 1,794 | 929 | 792 | 133 | 4 | Yes | No |
| 393 | 584 | 321 | 239 | 80 | 2 | Yes | No |
| 394 | 584 | 321 | 256 | 64 | 1 | Yes | No |
| 395 | 574 | 328 | 260 | 68 | 0 | Yes | No |
| 396 | 574 | 328 | 289 | 38 | 1 | Yes | No |
| 397 | 405 | 229 | 174 | 53 | 2 | Yes | No |
| 398 | 405 | 229 | 198 | 31 | 0 | Yes | No |
| 399 | 1,761 | 1,070 | 832 | 233 | 5 | Yes | No |
| 400 | 1,761 | 1,070 | 909 | 155 | 6 | Yes | No |
| 401 | 2,058 | 1,052 | 864 | 183 | 5 | Yes | No |
| 402 | 2,058 | 1,052 | 938 | 107 | 7 | Yes | No |
| 403 | 1,289 | 684 | 541 | 139 | 4 | Yes | No |
| 404 | 1,289 | 684 | 582 | 97 | 5 | Yes | No |
| 405 | 1,560 | 938 | 780 | 154 | 4 | Yes | No |
| 406 | 1,560 | 938 | 829 | 104 | 5 | Yes | No |
| 407 | 366 | 207 | 164 | 42 | 1 | Yes | No |
| 408 | 366 | 207 | 173 | 33 | 1 | Yes | No |
| 409 | 2,588 | 1,323 | 1,101 | 216 | 6 | Yes | No |
| 410 | 2,588 | 1,323 | 1,187 | 132 | 4 | Yes | No |
| 411 | 1,117 | 647 | 530 | 113 | 4 | Yes | No |
| 412 | 1,117 | 647 | 570 | 75 | 2 | Yes | No |

| | | | | | | | |
|-----|-------|-------|-----|-----|----|-----|----|
| 413 | 287 | 157 | 115 | 41 | 1 | Yes | No |
| 414 | 287 | 157 | 125 | 32 | 0 | Yes | No |
| 415 | 1,405 | 795 | 609 | 184 | 2 | Yes | No |
| 416 | 1,405 | 795 | 683 | 110 | 2 | Yes | No |
| 417 | 1,118 | 642 | 518 | 122 | 2 | Yes | No |
| 418 | 1,118 | 642 | 580 | 59 | 3 | Yes | No |
| 419 | 706 | 355 | 269 | 85 | 1 | Yes | No |
| 420 | 706 | 355 | 290 | 63 | 2 | Yes | No |
| 421 | 1,904 | 1,092 | 905 | 185 | 2 | Yes | No |
| 422 | 1,904 | 1,092 | 992 | 99 | 1 | Yes | No |
| 423 | 536 | 292 | 243 | 48 | 1 | Yes | No |
| 424 | 536 | 292 | 266 | 25 | 1 | Yes | No |
| 425 | 934 | 473 | 390 | 78 | 5 | Yes | No |
| 426 | 934 | 473 | 417 | 52 | 4 | Yes | No |
| 427 | 1,397 | 779 | 566 | 205 | 8 | Yes | No |
| 428 | 1,397 | 779 | 652 | 116 | 11 | Yes | No |
| 429 | 769 | 440 | 365 | 71 | 4 | Yes | No |
| 430 | 769 | 440 | 386 | 51 | 3 | Yes | No |
| 431 | 781 | 456 | 346 | 108 | 2 | Yes | No |
| 432 | 781 | 456 | 382 | 72 | 2 | Yes | No |
| 433 | 1,172 | 645 | 524 | 119 | 2 | Yes | No |
| 434 | 1,172 | 645 | 556 | 88 | 1 | Yes | No |
| 435 | 595 | 324 | 260 | 63 | 1 | Yes | No |
| 436 | 595 | 324 | 276 | 47 | 1 | Yes | No |
| 437 | 725 | 442 | 382 | 58 | 2 | Yes | No |
| 438 | 725 | 442 | 410 | 29 | 3 | Yes | No |
| 439 | 839 | 436 | 367 | 69 | 0 | Yes | No |
| 440 | 839 | 436 | 394 | 42 | 0 | Yes | No |
| 441 | 513 | 257 | 214 | 42 | 1 | Yes | No |
| 442 | 513 | 257 | 222 | 35 | 0 | Yes | No |
| 443 | 706 | 390 | 282 | 108 | 0 | Yes | No |
| 444 | 706 | 390 | 328 | 62 | 0 | Yes | No |
| 445 | 1,114 | 689 | 485 | 197 | 7 | Yes | No |

| | | | | | | | |
|-----|-------|-----|-----|-----|---|-----|----|
| 446 | 1,114 | 689 | 561 | 122 | 6 | Yes | No |
| 447 | 554 | 321 | 268 | 53 | 0 | Yes | No |
| 448 | 554 | 321 | 285 | 36 | 0 | Yes | No |
| 449 | 649 | 331 | 243 | 86 | 2 | Yes | No |
| 450 | 649 | 331 | 265 | 65 | 1 | Yes | No |
| 451 | 832 | 560 | 464 | 92 | 4 | Yes | No |
| 452 | 832 | 560 | 495 | 62 | 3 | Yes | No |
| 453 | 31 | 20 | 13 | 6 | 1 | Yes | No |
| 454 | 31 | 20 | 14 | 6 | 0 | Yes | No |
| 455 | 23 | 13 | 12 | 0 | 1 | Yes | No |
| 456 | 23 | 13 | 13 | 0 | 0 | Yes | No |
| 457 | 944 | 560 | 459 | 101 | 0 | Yes | No |
| 458 | 944 | 560 | 501 | 57 | 2 | Yes | No |
| 459 | 885 | 460 | 380 | 78 | 2 | Yes | No |
| 460 | 885 | 460 | 401 | 57 | 2 | Yes | No |
| 461 | 320 | 155 | 106 | 47 | 2 | No | No |
| 462 | 320 | 155 | 132 | 22 | 1 | No | No |
| 463 | 83 | 29 | 22 | 7 | 0 | No | No |
| 464 | 83 | 29 | 22 | 7 | 0 | No | No |
| 465 | 1,225 | 609 | 459 | 147 | 3 | No | No |
| 466 | 1,225 | 609 | 531 | 76 | 2 | No | No |
| 467 | 79 | 30 | 23 | 7 | 0 | No | No |
| 468 | 79 | 30 | 24 | 6 | 0 | No | No |
| 469 | 434 | 201 | 168 | 33 | 0 | No | No |
| 470 | 434 | 201 | 181 | 20 | 0 | No | No |
| 471 | 148 | 70 | 57 | 12 | 1 | No | No |
| 472 | 148 | 70 | 63 | 6 | 1 | No | No |
| 473 | 46 | 21 | 11 | 10 | 0 | No | No |
| 474 | 46 | 21 | 20 | 1 | 0 | No | No |
| 475 | 518 | 250 | 195 | 55 | 0 | No | No |
| 476 | 518 | 250 | 213 | 37 | 0 | No | No |
| 477 | 507 | 243 | 184 | 58 | 1 | No | No |
| 478 | 507 | 243 | 187 | 53 | 3 | No | No |

| | | | | | | | |
|-----|-------|-----|-----|-----|---|-----|----|
| 479 | 855 | 425 | 339 | 83 | 3 | No | No |
| 480 | 855 | 425 | 373 | 50 | 2 | No | No |
| 481 | 551 | 234 | 148 | 80 | 6 | No | No |
| 482 | 551 | 234 | 185 | 49 | 0 | No | No |
| 483 | 682 | 277 | 232 | 44 | 1 | No | No |
| 484 | 682 | 277 | 244 | 31 | 2 | No | No |
| 485 | 30 | 10 | 9 | 1 | 0 | No | No |
| 486 | 30 | 10 | 10 | 0 | 0 | No | No |
| 487 | 42 | 12 | 11 | 1 | 0 | No | No |
| 488 | 42 | 12 | 11 | 1 | 0 | No | No |
| 489 | 301 | 140 | 106 | 34 | 0 | No | No |
| 490 | 301 | 140 | 120 | 20 | 0 | No | No |
| 491 | 602 | 241 | 206 | 33 | 2 | No | No |
| 492 | 602 | 241 | 219 | 20 | 2 | No | No |
| 493 | 1,343 | 651 | 539 | 110 | 2 | No | No |
| 494 | 1,343 | 651 | 570 | 79 | 2 | No | No |
| 495 | 376 | 177 | 136 | 40 | 1 | No | No |
| 496 | 376 | 177 | 150 | 27 | 0 | No | No |
| 497 | 673 | 323 | 231 | 87 | 5 | No | No |
| 498 | 673 | 323 | 270 | 48 | 5 | No | No |
| 499 | 154 | 57 | 40 | 17 | 0 | No | No |
| 500 | 154 | 57 | 48 | 7 | 2 | No | No |
| 501 | 364 | 144 | 112 | 28 | 4 | No | No |
| 502 | 364 | 144 | 122 | 20 | 2 | No | No |
| 503 | 371 | 135 | 83 | 52 | 0 | No | No |
| 504 | 371 | 135 | 106 | 29 | 0 | No | No |
| 505 | 257 | 257 | 177 | 80 | 0 | Yes | No |
| 506 | 257 | 257 | 221 | 35 | 1 | Yes | No |
| 507 | 308 | 308 | 239 | 69 | 0 | Yes | No |
| 508 | 308 | 308 | 262 | 45 | 1 | Yes | No |
| 509 | 623 | 250 | 215 | 33 | 2 | No | No |
| 510 | 623 | 250 | 220 | 28 | 2 | No | No |
| 511 | 690 | 227 | 181 | 45 | 1 | No | No |

| | | | | | | | | |
|-----|-------|-----|-----|-----|---|-----|-----|-----|
| 512 | 690 | 227 | 193 | 33 | 1 | No | No | |
| 513 | 149 | 55 | 42 | 12 | 1 | No | No | |
| 514 | 149 | 55 | 47 | 7 | 1 | No | No | |
| 515 | 46 | 17 | 8 | 9 | 0 | No | No | |
| 516 | 46 | 17 | 16 | 1 | 0 | No | No | |
| 517 | 510 | 221 | 175 | 45 | 1 | No | No | |
| 518 | 510 | 221 | 183 | 37 | 1 | No | No | |
| 519 | 319 | 158 | 111 | 47 | 0 | No | No | |
| 520 | 319 | 158 | 135 | 22 | 1 | No | No | |
| 521 | 911 | 427 | 351 | 73 | 3 | No | No | |
| 522 | 911 | 427 | 381 | 44 | 2 | No | No | |
| 523 | 676 | 366 | 263 | 100 | 3 | Yes | No | |
| 524 | 676 | 366 | 316 | 50 | 0 | Yes | No | |
| 525 | 484 | 283 | 223 | 59 | 1 | Yes | No | |
| 526 | 484 | 283 | 248 | 34 | 1 | Yes | No | |
| 527 | 361 | 202 | 141 | 57 | 4 | Yes | No | |
| 528 | 361 | 202 | 168 | 28 | 6 | Yes | No | |
| 529 | 1,265 | 641 | 501 | 138 | 2 | Yes | No | |
| 530 | 1,265 | 641 | 582 | 58 | 1 | Yes | No | |
| 531 | 401 | 221 | 186 | 35 | 0 | Yes | No | |
| 532 | 401 | 221 | 202 | 18 | 1 | Yes | No | |
| 533 | 1,321 | 712 | 608 | 102 | 2 | Yes | No | |
| 534 | 1,321 | 712 | 647 | 63 | 2 | Yes | No | |
| 535 | 161 | 96 | 85 | 9 | 2 | Yes | Yes | Yes |
| 536 | 2233 | 976 | 895 | 81 | 0 | No | Yes | Yes |

Industrial Action 4

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken: to

3. Number of days of industrial action:

4. Nature of industrial action.

Industrial Action 5

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken: to

3. Number of days of industrial action:

4. Nature of industrial action.

Industrial Action 6

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken: to

3. Number of days of industrial action:

4. Nature of industrial action.

Industrial Action 7

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken: to

3. Number of days of industrial action:

4. Nature of industrial action.

Industrial Action 8

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken: to

3. Number of days of industrial action:

4. Nature of industrial action.

Ballots & Industrial Action- If you have 6 or more entries for either of these, please complete the Excel Spreadsheet

Information on Industrial Action

| Name of Organisation: | | University & College Union | | Reporting Period | Year ended 31/08/2020 |
|--|--|--------------------------------------|-------------------------------------|---|--|
| Did Union members take industrial action during the return period in response to any inducement on the part of the union? | | | <u>Yes</u> | If YES, for each industrial action taken please complete the information below | |
| Industrial Action | Nature of the trade dispute for which action was taken | Dates of the industrial action taken | Number of days of industrial action | Nature of industrial action | Categories of nature of Trade Dispute |
| 1 | A | 25/11/2019-04/12/2019 | 8 | Strike Action | <p>A: Terms and conditions of employment, or the physical conditions in which any workers are required to work</p> <p>B: Engagement or non-engagement, or termination or suspension of employment or the duties of employment, of one or more workers</p> <p>C: Allocation of work or the duties of employment between workers or groups of workers</p> <p>D: Matters of discipline</p> <p>E: A worker's membership or non-membership of a trade union</p> <p>F: Facilities for officials of trade unions</p> <p>G: Machinery for negotiation or consultation, and other procedures, relating to any of the above matters, including the recognition by employers or employers' associations of the right of a</p> |
| 2 | A | 25/11/2019-29/04/2020 | 8 | Action Short of a Strike | |
| 3 | A | 21/11/2019-04/12/2019 | 5 | Strike Action | |
| 4 | A | 05/12/2019-29/04/2020 | 8 | Action Short of a Strike | |
| 5 | A | 20/02/2020-13/03/2020 | 14 | Strike Action | |
| 6 | A | 20/02/2020-27/07/2020 | 8 | Action Short of a Strike | |
| 7 | A | 24/02/2020-13/03/2020 | 14 | Strike Action | |
| 8 | A | 24/02/2020-27/07/2020 | 8 | Action Short of a Strike | |
| 9 | A | 20/02/2020-11/03/2020 | 14 | Strike Action | |
| 10 | A | 24/02/2020-17/03/2020 | 14 | Strike Action | |
| 11 | A | 25/02/2020-20/03/2020 | 14 | Strike Action | |
| 12 | A | 25/02/2020-27/07/2020 | 8 | Action Short of a Strike | |
| 13 | A | 20/02/2020-10/03/2020 | 14 | Strike Action | |

| | | | | |
|----|---|-----------------------|----|---------------|
| 14 | A | 20/02/2020-19/03/2020 | 14 | Strike Action |
| 15 | A | 02/03/2020-17/03/2020 | 11 | Strike Action |
| 16 | A | 03/12/2019-04/12/2019 | 2 | Strike Action |
| 17 | A | 24/02/2020-13/03/2020 | 12 | Strike Action |

trade union to represent workers in such negotiation or consultation or in the carrying out of such procedures

Notes to the accounts

(see notes 82 and 83)

All notes to the accounts must be entered on or attached to this part of the return.

Please see the attached notes - Pages 22-1 to 22-8

UNIVERSITY AND COLLEGE UNION

**NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31ST AUGUST 2020**

**STATEMENT OF RESPONSIBILITIES OF THE
UNION AND MEMBERS OF THE NATIONAL EXECUTIVE COMMITTEE**

The National Executive Committee is the principal executive committee of the Union and consists of the Officers of the Union (Vice-President; President-elect; President; Immediate Past-President; Honorary Treasurer), the General Secretary and the ordinary members of the Committee elected for constituencies defined in the Union's Rules.

Trade Union law requires the Union and members of the National Executive Committee to prepare financial statements for each financial period which give a true and fair view of the state of affairs of the Union and of the surplus or deficit of the Union for that period. In preparing those financial statements the Union and members of the National Executive Committee are responsible for preparing accounts in accordance with applicable law and United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice). In doing so the National Executive Committee is required to:

- (a) select suitable accounting policies and then apply them consistently;
- (b) make judgements and estimates that are reasonable and prudent;
- (c) state whether applicable UK Accounting Standards, comprising FRS 102, have been followed, subject to any material departures disclosed and explained in the financial statements; and
- (d) prepare the financial statements on the going concern basis unless it is inappropriate to assume that the Union will continue in operation.

The Union and members of the National Executive Committee are responsible for keeping proper accounting records such as are necessary to give a true and fair view of the state of affairs of the Union and to explain its transactions. The Union and members of the National Executive Committee must also establish and maintain a satisfactory system of control of its accounting records, its cash holdings and all its receipts and remittances and hence are responsible for safeguarding the assets and taking reasonable steps for the prevention and detection of fraud and other irregularities.

**NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31ST AUGUST 2020**

1. Taxation

Analysis of charge in year

| | Year ended 31.8.2020 | Year ended 31.8.2019 |
|---|---------------------------------|---------------------------------|
| | £ | £ |
| Current tax | | |
| Provision for UK corporation tax on surplus for the year. | 13,962 | 8,926 |
| Adjustments in respect of previous provision. | -- | -- |
| Total current tax charge. | <u>13,962</u> | <u>8,926</u> |
| Deferred tax | <u>12,626</u> | <u>17,299</u> |
| Total tax charge. | <u>£26,588</u> | <u>£26,225</u> |

Factors affecting the tax charge for the year

| | Year ended 31.8.2020 | Year ended 31.8.2019 |
|--|---------------------------------|---------------------------------|
| | £ | £ |
| Surplus / (deficit) on accumulated funds before taxation. | <u>£4,329,977</u> | <u>£(201,528)</u> |
| Surplus / (deficit) on accumulated funds before taxation multiplied by the main rate of UK corporation tax at 19%. | 822,695 | (38,290) |
| Effects of: | | |
| Income not chargeable to taxation. | (4,755,243) | (4,911,777) |
| Expenses not deductible for tax purposes. | <u>3,946,510</u> | <u>4,958,993</u> |
| Current tax charge. | <u>£13,962</u> | <u>£8,926</u> |

Deferred taxation

| | Year ended 31.8.2020 | Year ended 31.8.2019 |
|--|---------------------------------|---------------------------------|
| | £ | £ |
| At 1st September. | 159,182 | 141,883 |
| Movement in year: deferred tax charge recognised in Investment Reserve Fund. | <u>12,626</u> | <u>17,299</u> |
| At 31st August. | <u>£171,808</u> | <u>£159,182</u> |

The movement in the provision for deferred taxation from 1st September 2019 to 31st August 2020 of £12,626 represents the deferred tax provision on unrealised gains on the revaluation of quoted investments at the year end recognised in Investment Reserve Fund (2019 - charge £17,299).

UNIVERSITY AND COLLEGE UNION

**NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31ST AUGUST 2020
(continued)**

2. Pension Schemes

Introduction:

The University and College Union participates in the Universities Superannuation Scheme (USS) and also operates a defined benefits scheme, the NATFHE Pension and Life Assurance Scheme. Both schemes are described more fully within this note.

The deficit disclosed in these financial statements in respect of the NATFHE Pension and Life Assurance Scheme was evaluated by the scheme's actuary at 31 August 2019 as £7,665,000 and at 31 August 2020 as £6,096,000.

The former NATFHE agreed to pay additional contributions per month for a period of 15 years from 1 June 2006. These additional monthly amounts were payable in accordance with a schedule of contributions agreed between the Trustees of the NATFHE Pension and Life Assurance Scheme and the Employer (NATFHE). The UCU agreed to continue these payments from 1 June 2006 and the payments were revised from 1 July 2009 as part of a recovery plan agreed between the Trustees of the NATFHE Pension and Life Assurance Scheme and UCU.

The recovery plan payments were subsequently amended after the completion of each of the triennial valuations carried out on 1 April 2011, 1 April 2014 and 1 April 2017.

Following completion of the latest triennial valuation of the NATFHE Pension and Life Assurance Scheme on 1 April 2017 a revised recovery plan was agreed between the Trustees of the NATFHE Pension and Life Assurance Scheme and the University and College Union on 10 January 2018. The payments due in accordance with the plan consist of a single payment of £1,500,000 payable by 31 January 2018 and monthly payments of £55,000 from 1 January 2018 to 31 December 2027.

The future accrual of benefits under the NATFHE Pension and Life Assurance Scheme ceased from 1st November 2006.

From 1st November 2006 the former employees of NATFHE commenced payment of contributions to the USS and ceased to make contributions to the NATFHE Pension and Life Assurance Scheme.

**NATFHE PENSION AND LIFE ASSURANCE SCHEME
FRS102 Section 28 - POST-EMPLOYMENT BENEFITS**

The University and College Union "the employer" operates the NATFHE Pension and Life Assurance Scheme which is governed by a Trust Deed dated 1 April 1974, as subsequently amended, and is administered by Trustees, nominated by the UCU (formerly by NATFHE) and by members of the scheme. The scheme is a defined benefit scheme. The scheme is closed to new members.

The NATFHE Pension and Life Assurance Scheme is subject to triennial valuations and the last triennial valuation was carried out as at 1 April 2017. The next valuation is due as at 1 April 2020 and is currently underway.

The valuation carried out as at 1 April 2017 revealed a deficit of £7.321m and that the Scheme had assets sufficient to cover 81% of its technical provisions as at that date.

The scheme's actuary was asked to provide figures relevant to the scheme as at 31 August 2019 and 31 August 2020 for the purposes of complying with FRS102.

The figures provided in these financial statements are based on the following actuarial assumptions:

| | At 31.8.2020 | At 31.8.2019 |
|---|---|---|
| Discount rate * | 1.60% pa | 1.80% pa |
| Inflation assumption (RPI) ** | 3.20% pa | 3.40% pa |
| Rate of increase in salaries | 3.45% pa | 3.65% pa |
| Pension increases: | | |
| Rate of increase in pensions in payment - 5% pa fixed pension increases | 5.00% pa | 5.00% pa |
| Rate of increase in pensions in payment - RPI pension increases | 3.20% pa | 3.40% pa |
| Rate of increase in pensions revaluation in deferment | 3.20% pa | 3.40% pa |
| Standard mortality tables were used as follows: | | |
| Post-retirement mortality | S3PA | 99% S2NA |
| | CMI 2019 projection based on individual year of birth, 1.25% pa long term improvement *** | CMI 2017 projection based on individual year of birth, 1.25% pa long term improvement *** |
| Tax-free cash | No allowance | No allowance |

* Under FRS102 the discount rate should be based upon the yield available on high quality corporate bonds (usually taken as AA rated in the UK) of appropriate term and currency. The discount rate used at the review date in 2019 was based upon an estimate of the cashflows arising with a similar duration to that of the scheme's liabilities using the Merrill Lynch nominal AA corporate bond spot and indicated that a discount rate of between 1.75% and 1.85% was appropriate. The discount rate used at the review date in 2019 was the middle of this range (1.80%). A similar approach has been taken in establishing the discount rate used at the review date in 2020. The yield is based on the Merrill Lynch nominal AA corporate bond spot curve at the review date, using a duration of 18 years for the Scheme's liabilities. A discount rate of between 1.55% and 1.70% is appropriate and the rate used in 2020 of 1.60% falls within this range and is considered appropriate by the scheme's actuary. The fall in the discount rate used from 1.80% in 2019 to 1.60% in 2020 reflects the changes to the yields on bonds of the appropriate term over this period.

UNIVERSITY AND COLLEGE UNION

**NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31ST AUGUST 2020
(continued).**

2. Pension Schemes (continued)

** The Bank of England publishes implied inflation data which has been used in evaluating the single rate of inflation that would arise based on the cashflows arising with a similar duration to that of the scheme's liabilities. Based on this analysis for 2019 an RPI inflation assumption of 3.4% pa was considered to be appropriate. A market-implied inflation rate has been used again in 2020 and this gives an RPI inflation assumption of 3.20%.

***CMI - Continuous Mortality Investigation into the mortality of Self-Administered Pension Schemes.

No allowance was made for withdrawals from active service before normal retirement date. 90% of members were assumed to be married when they die with husbands being three years older than their wives. Members retiring between their 60th and 65th birthdays with accrued service arising before 1 April 2003 will receive an un-reduced pension in respect of that service. Members with pension service accrued after 1 April 2003 will receive a reduced pension derived from the scheme's early retirement factors. The figures provided in these financial statements assume that those members with pre 1 April 2003 service still employed by UCU (known as Special Deferred members) will retire at age 62 years. 90% of deferred members are assumed to be married at retirement. Any other deferred members with pre 1 April 2003 service are assumed to retire at age 60 years. Members who joined the scheme after 1 April 2003 are assumed to retire at age 65. These assumptions are consistent with those used last year.

Under the mortality tables and projections adopted, the assumed future life expectancy at age 65 is as follows:

| | <u>At 31.8.2020</u> | <u>At 31.8.2019</u> |
|--------------------------|---------------------|---------------------|
| Male currently aged 45 | 23.2 years | 23.7 years |
| Female currently aged 45 | 25.7 years | 25.9 years |
| Male currently aged 65 | 21.9 years | 22.3 years |
| Female currently aged 65 | 24.2 years | 24.3 years |

Major asset categories as a percentage of total assets are as follows:

| | <u>At 31.8.2020</u> | <u>At 31.8.2019</u> |
|-------------------|---------------------|---------------------|
| Equities | 41% | 42% |
| Bonds | 41% | 40% |
| Gilts | 18% | 18% |
| Cash (negligible) | 0% | 0% |
| Total | <u>100%</u> | <u>100%</u> |

The actual return on the Scheme's assets net of expenses over the year to the Review Date was £986,000 (2019 - £4,293,000).

The assets do not include any investment in the Employer.

Reconciliation of Assets and Defined Benefit Obligation:

| | <u>At 31.8.2020</u> | <u>At 31.8.2019</u> |
|--|---------------------|---------------------|
| | £'000 | £'000 |
| Fair value of assets at 1st September 2019 | 38,552 | 34,636 |
| Interest on assets | 689 | 930 |
| Contributions from employer* | 660 | 660 |
| Benefits paid | (1,166) | (1,037) |
| Return on plan assets less interest | 297 | 3,363 |
| Fair value of assets at 31st August 2020 | <u>£39,032</u> | <u>£38,552</u> |

* The Employer expects to contribute £660,000 to the Scheme during the year to 31 August 2021.

| | | |
|--|------------------|------------------|
| Defined Benefit Obligation at 1st September 2019 | (46,217) | (39,700) |
| Interest cost | (821) | (1,058) |
| Past service cost | -- | (230) |
| Benefits paid | 1,166 | 1,037 |
| Experience gain on defined benefit obligation | 475 | 266 |
| Changes in demographic assumptions | 923 | -- |
| Changes in financial assumptions | (654) | (6,532) |
| Present value of Defined Benefit obligations at 31st August 2020 | <u>£(45,128)</u> | <u>£(46,217)</u> |

Amounts recognised in the Balance Sheet:

| | | |
|--|-----------------|-----------------|
| Fair value of assets at 31st August 2020 | 39,032 | 38,552 |
| Present value of defined benefit obligations at 31st August 2020 | (45,128) | (46,217) |
| (Deficit) and net defined benefit liability at 31st August 2020 | <u>£(6,096)</u> | <u>£(7,665)</u> |

UNIVERSITY AND COLLEGE UNION

**NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31ST AUGUST 2020
(continued).**

2. Pension Schemes (continued)

Analysis of the amount charged to financial expenses in the Income and Expenditure Account:

| | Year ended 31.8.2020 £'000 | Year ended 31.8.2019 £'000 |
|--|---|---|
| Interest on pension scheme assets | 689 | 930 |
| Interest on pension scheme liabilities | <u>(821)</u> | <u>(1,058)</u> |
| Net financial expense | <u>£(132)</u> | <u>£(128)</u> |

The projected net financial expense for the year to 31st August 2021 amounts to £93,000 (2020 - £132,000). Interest on pension scheme liabilities is projected to be £713,000 (2020 - £823,000) and interest on assets is projected to be £620,000 (2020 - £691,000).

Analysis of the amount credited (or charged) to remuneration and expenses of staff in the Income and Expenditure Account:

| | Year ended 31.8.2020 £'000 | Year ended 31.8.2019 £'000 |
|--------------------|---|---|
| Past service cost* | <u>£ --</u> | <u>£(230)</u> |

* Past service cost reflects the actuary's estimated allowance for the increase in future cost of Guaranteed Minimum Pensions (GMP) required by the equalisation of pension benefits between males and females that accrued since 17 May 1990 and the effect on the NATFHE Pension & Life Assurance Scheme's liabilities at the review date. This estimate follows the court judgement given on 26 October 2018 in the case of Lloyds Banking Group Pensions Trustees Ltd v Lloyds Bank PLC (and others) which provided clarity on the requirement for GMP equalisation.

Detailed calculations will be required in subsequent accounts in evaluating the full cost of GMP equalisation after taking professional advice and in consideration of any follow up court judgements or DWP guidance.

Analysis of amount credited or (charged) in Pension Fund Account (Fund 3) in respect of the actuarial gain / (loss) on the NATFHE Pension and Life Assurance Scheme:

| | Year ended 31.8.2020 £'000 | Year ended 31.8.2019 £'000 |
|---|---|---|
| Gain on scheme assets in excess of interest | 297 | 3,363 |
| Experience gain arising on the scheme liabilities | 475 | 266 |
| Gains from changes to demographic assumptions | 923 | -- |
| (Losses) from changes in financial assumptions | <u>(654)</u> | <u>(6,532)</u> |
| Actuarial gain / (loss) recognised in the Pension Fund Account (Fund 3) | <u>£1,041</u> | <u>£(2,903)</u> |

Movement in scheme deficit during the year:

| | Year ended 31.8.2020 £'000 | Year ended 31.8.2019 £'000 |
|--|---|---|
| Deficit in scheme at 1 September 2019 | (7,665) | (5,064) |
| Movement in year: | | |
| Contributions received from Employer in the year | 660 | 660 |
| Net financial (expense) | (132) | (128) |
| Past service cost | -- | (230) |
| Actuarial gain / (loss) | <u>1,041</u> | <u>(2,903)</u> |
| Deficit in scheme at 31 August 2020 | <u>£(6,096)</u> | <u>£(7,665)</u> |

The asset values are derived from the bid values of the funds invested.

No allowance for deferred taxation or incapacity benefits has been made.

No allowance has been made in these figures for possible effects of the cost that might be incurred in respect of the scheme's liability to pay the Pension Protection Fund Levy.

**USS INSTITUTIONS - ACTUARIAL VALUATION AS AT 31 MARCH 2018
FRS102 Section 28 - POST-EMPLOYMENT BENEFITS**

The University and College Union participates in the Universities Superannuation Scheme (USS). The scheme is a hybrid pension scheme, providing defined benefits (for all members), as well as defined contribution benefits. The assets of the scheme are held in a separate fund administered by the trustee, Universities Superannuation Scheme Limited. The University and College Union is required to contribute a specified percentage of payroll costs to the pension scheme to fund the benefits payable to the Union's employees. Under the scheme trust deed and rules, the employer contribution rate is determined by the trustee, acting on actuarial advice. The employer contribution rate was 16% up until 31 March 2016, 18% up until 31 March 2019, 19.5% up until 30 September 2019 and 21.1% thereafter. The Union is unable to identify its share of the underlying assets and liabilities of the scheme on a consistent and reasonable basis and therefore accounts for the scheme as if it were a defined contribution scheme in accordance with section 28 of FRS102.

UNIVERSITY AND COLLEGE UNION

**NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31ST AUGUST 2020**

(continued).

2. Pension Schemes (continued)

The actuarial valuation of the scheme at 31 March 2018 was carried out using the projected unit method. The next actuarial valuation is due to take place with an effective date no later than 31 March 2021 and the Trustee has undertaken to carry out an earlier valuation as at 31 March 2020. The result of that valuation is unlikely to be available before the middle of 2021.

The 2018 valuation was the fifth valuation for USS under the scheme-specific funding regime introduced by the Pensions Act 2004, which requires schemes to adopt a statutory funding objective, which is to have sufficient and appropriate assets to cover their technical provisions. At the valuation date, the value of the assets of the scheme was £63.7 billion and the value of the scheme's technical provisions was £67.3 billion indicating a shortfall of £3.6 billion and a funding ratio of 95%.

| Past Service Funding Position: Technical Provisions. | Valuation at 31 March 2018 | Valuation at 31 March 2017 |
|---|-----------------------------------|-----------------------------------|
| Scheme assets | £63.7bn | £60.0bn |
| Total scheme liabilities | £67.3bn | £67.5bn |
| FRS 102 total scheme deficit | £3.6bn | £7.5bn |
| FRS 102 total funding level | 95.0% | 89.0% |

The actuarial method to be used in the calculation of the technical provisions is the Projected Unit method with a one-year control period.

Defined benefit liability numbers for the scheme have been produced using the following assumptions as at 31 March 2019 and 2020:

| | 2020 | 2019 |
|---------------------------|-------------|-------------|
| Discount rate | 2.59% | 2.44% |
| Pensionable salary growth | N/A | N/A |
| Price inflation (CPI) | 2.20% | 2.11% |

The current life expectancies on retirement at age 65 are:

| | 2020 | | 2019 | |
|---------|------------------|------------------|------------------|------------------|
| | At age 65 years. | At age 45 years. | At age 65 years. | At age 45 years. |
| Males | 24.4 years | 26.3 years | 24.6 years | 26.6 years |
| Females | 25.9 years | 27.7 years | 26.1 years | 27.9 years |

UCU specific rates used in deficit contribution model:

| | | |
|-----------------------|-------|-------|
| Discount rate | 1.6% | 1.8% |
| Salary inflation rate | 3.45% | 3.65% |

Amounts recognised in the Balance Sheet in respect of the pension scheme liability on the multi-employer defined benefit pension scheme

| | | |
|---|-------------------|-------------------|
| Present value of deficit contributions payable to USS at 1.9.2019. | 5,712,752 | 1,792,980 |
| Interest payable as contribution deficit unwinds | 102,830 | 48,411 |
| Changes in expected contributions to USS | (1,787,216) | 3,955,855 |
| Deficit contributions treated as paid to USS | <u>(152,073)</u> | <u>(84,494)</u> |
| Present value of deficit contributions payable to USS at 31.8.2020. | <u>£3,876,293</u> | <u>£5,712,752</u> |

Following completion of the 2018 valuation, the trustee ascertained, that in order to correct the technical provisions shortfall in assets of £3.6bn, the employers should make deficit contributions of 2% p.a. of total salaries in addition to the contributions towards the accrual of future service benefits including contributions to the Defined Contribution section from 1st October 2019 until 30th September 2021 at which point the rate will increase to 6%. If contributions are payable at this level from 1st October 2019 then, based on the assumptions made for the recovery plan, the deficit would be expected to be corrected by 31st March 2028.

The key assumptions used in calculating the technical provisions as at 31 March 2018 (with comparatives at 31 March 2017) are:

| Financial assumptions: | Valuation at 31 March 2018: | Valuation at 31 March 2017: |
|---|--|--|
| Investment return (discount rate) | Years 1-10: CPI plus 0.14% reducing linearly to CPI less 0.73% Years 11-20: CPI plus 2.52% reducing linearly to CPI plus 1.55% by year 21. Years 21+: CPI plus 1.55% | Years 1-10: CPI less 0.53% reducing linearly to CPI less 1.32% Years 11-20: CPI plus 2.56% reducing linearly to CPI plus 1.7% by year 21. Years 21+: CPI plus 1.7% |
| Market derived price inflation | In line with the difference between the Fixed Interest & Index Linked yield curves | In line with the difference between the Fixed Interest & Index Linked yield curves |
| Inflation risk premium | 0.3% p.a | 0.3% p.a |
| Price inflation - Retail Prices Index | Market derived price inflation less Inflation risk premium | Market derived price inflation less Inflation risk premium |
| RPI / CPI gap | 1.0% p.a | 1.0% p.a |
| Price inflation - Consumer Prices Index | RPI assumption less RPI / CPI gap | RPI assumption less RPI / CPI gap |
| Pension increases in payment | CPI assumption (for both pre and post 2011 benefits) | CPI assumption (for both pre and post 2011 benefits) |

Demographic assumptions:

| | | |
|----------------------------------|--|--|
| Mortality base table | Pre-retirement: Male member's mortality: 71% of AMC00 (duration 0) Female member's mortality: 112% of AFC00 (duration 0) Post-retirement: Male member's mortality: 97.6% of SAPS S1NMA 'light' Female member's mortality: 102.7% of RFV00 | Pre-retirement: Male member's mortality: 71% of AMC00 (duration 0) Female member's mortality: 112% of AFC00 (duration 0) Post-retirement: Male member's mortality: 96.5% of SAPS S1NMA 'light' Female member's mortality: 101.3% of RFV00 |
| Future improvements to mortality | CMI_2017 with a smoothing parameter of 8.5 and a long term improvement rate of 1.8%pa for males and 1.6%pa for females. | CMI_2016 with a smoothing parameter of 8.5 and a long term improvement rate of 1.8%pa for males and 1.6%pa for females. |
| Commutation | No allowance | No allowance |

UNIVERSITY AND COLLEGE UNION

**NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31ST AUGUST 2020
(continued).**

2. Pension Schemes (continued)

| Mortality assumptions: | Valuation at 31 March 2018: | | Valuation at 31 March 2017: | |
|--|-----------------------------|--------|-----------------------------|--------|
| | Cohort | Period | Cohort | Period |
| Life expectancy for a male aged 65 now | 24.4 | 22.5 | 24.5 | 22.5 |
| Life expectancy at 65 for a male aged 45 now | 26.3 | n/a | 26.5 | n/a |
| Life expectancy for a female aged 65 now | 25.9 | 24.0 | 26.0 | 24.1 |
| Life expectancy at 65 for a female aged 45 now | 27.7 | n/a | 27.8 | n/a |

Statement of Funding Principles:

The statutory funding objective is that the scheme has sufficient and appropriate assets to meet the amount required, on actuarial calculation, to make provision for the scheme's liabilities (technical provisions).

The statement of funding principles will be reviewed and, if necessary, revised, before being taken into account at subsequent valuations and it reflects the guiding principles on risk management adopted by the trustee.

If the assets of the scheme are less than the technical provisions at the effective date of any actuarial valuation, a recovery plan will be put in place which may require additional contributions from the employers (and potentially the members) to meet the shortfall. Any shortfall should be met over an appropriate period dependent upon the circumstances.

There is no specific allowance within the 2018 valuation for the effect of equalising Guaranteed Minimum Pensions between 17th May 1990 and 5th April 1997. Any additional funding costs required to uplift benefits will be met by either the Scheme's assets or future contributions from the employer. It is expected that the costs will be immaterial in the context of the scheme as a whole.

Early retirement

Allowance for early retirements will reflect emerging experience of retirements as monitored at each actuarial valuation and any adjustment for future expectations which is considered appropriate. For the 31 March 2018 valuation it has been assumed that ex-final salary active members will retire in line with the following decrement table (with all others assumed to retire at 65). Benefits relating to service accrued prior to 1 October 2011 are assumed to be paid with no reduction, and an allowance has been made for benefits accrued after 30 September 2011 to be reduced from the payable age of 65.

| Age: | | <u>% Leaving</u> |
|------|--|------------------|
| 60 | | 30 |
| 61 | | 10 |
| 62 | | 15 |
| 63 | | 15 |
| 64 | | 20 |

If the assets of the scheme are less than the technical provisions at the effective date of any actuarial valuation, a recovery plan will be put in place, which may require additional contributions from the employers (and potentially the members) to meet the shortfall. The trustee has agreed that any such funding shortfalls should be met over an appropriate period and tailored to both scheme and employer circumstances. Additional contributions payable are expressed as a percentage of pensionable payroll.

The contributions payable under the recovery plan will be calculated using the same assumptions as those used to calculate the technical provisions, with the exception of the following during the period of the recovery plan:

- If, following a review of the investment strategy and any consequential changes to it and the Statement of Investment Principles after completion of the valuation, the assumed rate of investment return may also change at subsequent funding updates to reflect the different expected investment returns from the new asset mix.

- The growth in aggregate payroll of the scheme's membership used in the recovery plan is assumed to be CPI + 2%.

USS is a "last man standing" scheme so that in the event of the insolvency of any of the participating employers in USS, the amount of any pension funding shortfall (which cannot otherwise be recovered) in respect of that employer will be spread across the remaining participant employers and reflected in the next actuarial valuation of the scheme.

The trustee's role is to set risk and return parameters which reflect the strength of the sponsoring employers and the nature of the scheme's liabilities. These parameters, taken together with the anticipated returns, form the basis of the trustee's funding strategy. These parameters are informed by advice from its internal investment team, its investment consultant and the scheme actuary, as well as an independent assessment of the support available from the sponsoring employers. The trustee remains confident that it can continue to take a long-term view of scheme funding, backed as it is by a robust Higher Education (HE) sector.

At 31 March 2018, USS had over 190,000 active members and the UCU had 185 active contributing members participating in the scheme. At 31 August 2020 UCU had 210 active contributing members (2019 - 195 members).

The pension cost (credited) / charged to the General Fund in respect of contributions paid to USS is:

| | Year ended 31.8.2020 | Year ended 31.8.2019 |
|---|---------------------------------|---------------------------------|
| | £ | £ |
| Employers normal pension contributions to USS | 1,570,837 | 1,284,651 |
| Changes in expected contributions to USS | (1,787,216) | 3,955,855 |
| Deficit contributions treated as paid to USS | (152,073) | (84,494) |
| | <u>£(368,452)</u> | <u>£5,156,012</u> |

The contribution rate payable by the University and College Union was 18% of pensionable salaries up until 31 March 2019, 19.5% up until 30th September, 2019 and 21.1% thereafter.

UNIVERSITY AND COLLEGE UNION

**NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31ST AUGUST 2020
(continued).**

3. Operating Leasing Commitments

The operating lease rentals charged in the income and expenditure account were:

| | Year ended 31.8.2020 | Year ended 31.8.2019 |
|-------------------------------------|---------------------------------|---------------------------------|
| | £ | £ |
| Land and buildings. | 274,957 | 259,826 |
| Other leases - Plant and machinery. | 307,301 | 326,276 |
| | £582,258 | £586,102 |

At 31st August, 2020 the University and College Union's future minimum operating lease commitments payable are analysed over the lease term as follows:

| | Land and buildings | | Other | |
|--------------------------|---------------------------|-------------------|-------------------|------------------|
| | 31.8.2020 | 31.8.2019 | 31.8.2020 | 31.8.2019 |
| | £ | £ | £ | £ |
| Within one year | 251,767 | 279,547 | 321,614 | 313,150 |
| Within two to five years | 618,043 | 698,135 | 820,578 | 92,184 |
| Over five years | 192,331 | 327,821 | -- | -- |
| | £1,062,141 | £1,305,503 | £1,142,192 | £405,334 |

4. Capital Commitments

There were no capital commitments contracted for but not provided for at 31 August 2020 (2019 - £nil).

5. Related Party Transactions

UCU is a participating institution of the Universities Superannuation Scheme and makes pension contributions to the scheme in respect of the employee members of UCU. The appointment of directors to the board of the trustee is determined by the trustee company's Articles of Association. Four of the directors are appointed by Universities UK; three are appointed by the University and College Union, of whom at least one must be a USS pensioner member; and a minimum of three and a maximum of five are independent directors appointed by the board. Under the scheme trust deed and rules, the employer contribution rate is determined by the trustee, acting on actuarial advice.

During the year ended 31st August 2020 employers normal pension contributions payable to USS by UCU were £1,570,837 (2019 - £1,284,651) and the balance of contributions payable by UCU to USS as at 31st August 2020 was £232,218 (2019 - £189,563).

Members of the UCU make payments as Gift Aid payments via UCU to Education Support Partnership (ESP) at the same time as they pay their membership subscriptions to the UCU. ESP is a company limited by guarantee and a registered charity (company registration number 09311354 and charity registration number 1161436). ESP was incorporated on 14th November 2014 as Education Sector Support UK (ESSUK). ESSUK changed its name to ESP on 24th July 2015 and was formally launched in September 2015. The objects of the charity are to promote health and wellbeing and to offer benevolence services to the education workforce including those retired from the Education Sector. It also offers a wide range of services to staff working in Further and Higher Education and the education sector in schools. The Trustees and Board of ESP are appointed in accordance with the Articles of Association of the company and up to 21 representatives of member organisations form an Advisory Forum to advise the Board of Trustees.

Members of UCU previously made Gift Aid payments via UCU to "Recourse" (formerly the "College and University Support Network" (CUSN)) at the same time as they paid their subscriptions to the UCU. "Recourse" (formerly CUSN) is a registered charity (charity registration number 1116382) and was incorporated on 12th July 2006. The charity changed its name from CUSN to "Recourse" on 14th July 2010 following a rebranding exercise. "Recourse" was also a Company Limited by Guarantee (company registration number 05874222) and was a wholly owned subsidiary company of the Teachers Support Network (TSN). On 31st March 2015 the activities, assets and liabilities of "Recourse" and TSN were transferred to Education Sector Support UK (ESSUK) at which point "Recourse" and TSN effectively became dormant. The company "Recourse" was dissolved on 18th April 2017. TSN was dissolved on 14th November 2017. "Recourse" was governed and administered by the Trustees and National Council of TSN and UCU had the right to appoint five members to the National Council of TSN (preferably from within the National Executive Committee of UCU) and in addition subscribing members of UCU had the right to elect members of the National Council of TSN.

During the year ended 31st August 2020 Gift Aid payments payable to ESP (formerly "Recourse" and CUSN) were received from members of UCU and amounted to £278,939 (2019 - £283,439). The balance payable by UCU to ESP as at 31st August 2020 was £68,366 (2019 - £43,708).

UCU bears the cost of the professional fees and other costs relating to the administration of the NATFHE Pension and Life Assurance Scheme. During the year ended 31st August 2020 total costs payable by UCU in connection with the administration of the Scheme were £294,366 (2019 - £140,784).

The former General Secretary of UCU, Sally Hunt, was elected President of the Trades Union Congress (TUC) on 13th September 2017 and held office until the end of her term as President on 12th September 2018 at which time Sally Hunt then became first Vice-Chair of the General Council of the TUC for a year. In February 2019, Sally Hunt left the General Council and Executive Committee. In June 2019, Vicky Knight left the General Council. In August 2019 Jo Grady joined the General Council of the TUC as the newly elected General Secretary of UCU. UCU is a member union of the TUC and the UCU's affiliation for 2020 was £345,332 (2019 - £326,304).

UNIVERSITY AND COLLEGE UNION

NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31ST AUGUST 2020
(continued).

6. Future Developments

UCU continues to face significant challenges in the Further and Higher Education sectors in relation to the process of "Brexit" and, more recently, in respect of the effects of the Covid-19 virus. The potential impact of any policies implemented that may derive from the "Brexit" negotiations and the effects of the restrictions imposed as a result of the on-going Covid-19 pandemic are likely to impact employment in both sectors. The Union continues to defend its members' interests in relation to the USS, equality, workload, and job security. The Union has a long term strategy, the formation of which involves the members of the Union and includes the elected representatives of the trade union representing the Union's staff. UCU continues to monitor and update that strategy to address the issues that the Union and its members face in these increasingly uncertain times.

Accounting policies

(see notes 84 and 85)

Please see the attached accounting policies - Pages 23-1 to 23-2

Signatures to the annual return

(see notes 86 & 87)

Including the accounts and balance sheet contained in the return. Please send the return with the original signatures. Copies will not be accepted.

| | | | |
|---------------------------|---|--------------------------|--|
| Secretary's Signature: |  | Chairman's Signature: |  |
| | | | (or other official whose position should be stated) |
| Name: | Dr Jo Grady | Name: | Ms Vicky Blake - President |
| Date: | 5 March 2021 | Date: | 5 March 2021 |

Checklist

(see notes 88 to 89)

(please tick as appropriate)

| | | | | |
|--|----------|-------------------------------------|-----------|-------------------------------------|
| Has the return of change of officers been completed? (see Page 2 and Note 12) | Yes | <input checked="" type="checkbox"/> | No | |
| Has the list of officers in post been completed? (see Page 2 and Note 12) | Yes | <input checked="" type="checkbox"/> | No | |
| Has the return been signed? (see Pages 23 and 25 and Notes 86 and 95) | Yes | <input checked="" type="checkbox"/> | No | |
| Has the auditor's report been completed? (see Pages 20 and 21 and Notes 2 and 77) | Yes | <input checked="" type="checkbox"/> | No | |
| Is a rule book enclosed? (see Notes 8 and 88) | Yes | <input checked="" type="checkbox"/> | No | |
| A member statement is: (see Note 80) | Enclosed | | To follow | <input checked="" type="checkbox"/> |
| Has the summary sheet been completed? (see Page 17 and Notes 7 and 62) | Yes | <input checked="" type="checkbox"/> | To follow | |
| Has the membership audit certificate been completed? (see Page i to iii and Notes 97 and 103) | Yes | <input checked="" type="checkbox"/> | No | |

UNIVERSITY AND COLLEGE UNION
NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31ST AUGUST 2020

1. Principal Accounting Policies

The financial statements comply with relevant accounting standards. The principal accounting policies, which have been consistently applied throughout the year, are set out below.

(a) **Accounting convention**

The financial statements are prepared in accordance with applicable accounting standards including FRS 102 "the Financial Reporting Standard" applicable in the UK and Republic of Ireland. The financial statements have been prepared on the historical cost basis except for the modification to a fair value basis for certain financial instruments as specified in the accounting policies below.

(b) **Going Concern**

The Union meets its day-to-day working capital requirements through its bank facilities. The Union's forecasts and projections, taking account of reasonably possible changes in operational performance, show that the Union should be able to operate within the level of its current facilities. After making enquiries, the Executive have a reasonable expectation that the Union has adequate resources to continue in operational existence for the foreseeable future. The Union therefore continues to adopt the going concern basis in preparing its financial statements.

(c) **Critical Accounting Judgements and Key Sources of Uncertainty**

The preparation of the financial statements requires the Union's management to make significant judgements and estimates. The items in the financial statements where these judgements and estimates have been made include:

Depreciation.

UCU's management considers the depreciation rates used to evaluate the cost of the Union's assets and the useful life of those assets (as set out below under note 1(e)). Any changes to the rates used, the useful life and residual value of those assets may have a significant effect on the book value of those assets and the amounts shown as depreciation in these financial statements. The Union's management reviews the appropriateness of the depreciation policies used annually.

Employee benefits.

The pension scheme liability as at 31st August 2020 in respect of the NATFHE Pension and Life Assurance Scheme has been calculated in accordance with the details provided by the Scheme's actuary and in consideration of the disclosure requirements under FRS102. The Scheme's liabilities have been calculated by updating the valuation calculations carried out for the Scheme's triennial valuation as at 1st April 2017. Any changes in the assumptions used in evaluating the Scheme's liability may have a significant effect on the amount shown in these financial statements.

The deficit contribution liability shown in these financial statements in respect of the Union's share of the contribution funding deficit in the Universities Superannuation Scheme is based on a deficit recovery plan model provided to the USS and made available to participating institutions. The Union's management is required to make appropriate assessments of the rate of salary growth and the discount rate used in determining the Union's share of the deficit contribution liability. Any changes in the parameters used in the model may have a significant effect on the amounts shown in these financial statements in accordance with FRS102 and therefore constitute a material source of uncertainty.

Provisions for liabilities.

Provisions for liabilities included at the year end have been calculated using the best available information at the time of preparing the financial statements, taking account of information received subsequently. An element of estimation is therefore required when calculating the provisions at the year end.

Taxation.

The taxation charge for the year comprises current and deferred tax. An assessment of the provision for deferred taxation is required to be made by the Union's management, taking account of the likely timing and level of future taxable income and expenses in relation to the deferred tax assets and liabilities of the Union.

(d) **Branches and Local Associations**

For the purpose of the Trade Union and Labour Relations (Consolidation) Act 1992 the Union is regarded as a trade union with branches. The "branches" of the Union comprise of Local Associations of UCU or Branches of UCU. The assets, liabilities and transactions of the Local Associations and Branches for the year ended 31st August, 2020 are included in these financial statements.

(e) **Depreciation**

Depreciation is provided on all tangible fixed assets, other than land, at rates calculated to write off the cost, less estimated residual value, of each asset on a straight line basis over its expected useful life, as follows:

| | |
|---------------------------------------|---|
| Freehold and long leasehold property. | 2%. |
| Fixtures and fittings. | 10% or the remaining period of the lease. |
| Plant and machinery. | 25%. |
| Furniture. | 10% to 12.5%. |
| Office equipment. | 20%. |
| Computer equipment and software. | 33%. |
| Motor vehicles (leased). | Over the period of the lease. |

The rate of depreciation is reduced proportionately in the year of acquisition of an asset.

(f) **Subscriptions**

Subscriptions are accounted for on an accruals basis, although no account is taken of individual members' subscriptions that may be in arrears.

UNIVERSITY AND COLLEGE UNION
NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEAR ENDED 31ST AUGUST 2020
(continued)

(g) **Pension costs**

The UCU continued to make payments to the NATFHE Pension and Life Assurance Scheme to reduce the deficit that existed in that scheme from 1st June 2006. FRS 102 requires the sponsoring employer to account for the NATFHE Pension and Life Assurance Scheme deficit as a liability on its balance sheet mirrored by a pension reserve.

The expected return on assets in the NATFHE Pension and Life Assurance Scheme is reflected by the interest on assets item calculated using the discount rate (i.e. the returns available on high quality corporate bonds) with no allowance made for any outperformance expected from the Scheme's actual asset holding.

Movements on the NATFHE Pension and Life Assurance Scheme's asset or liability, to the extent that they arise from the current service cost of pensions or relate to the interest on pension fund assets net of interest charges on pension fund liabilities, are reflected in the Income and Expenditure Account, the former as a component of employee costs and the latter as a component of financial expenses.

Movements on the NATFHE Pension and Life Assurance Scheme assets and liabilities arising from changes in actuarial assumptions including actual returns on pension fund assets net of expected returns and experience gains and losses arising on Fund liabilities are reflected in these financial statements through the Income and Expenditure Account. The pension scheme liability is shown in the Balance Sheet.

The former Association of University Teachers (AUT) became a participating institution of the Universities Superannuation Scheme (USS) from 1st March 2005. The scheme is a hybrid pension scheme, providing benefits (for all members), as well as defined contribution benefits. The scheme is externally funded and was contracted out of the State Second Pension (S2P) until 5 April 2016. The Assets of the scheme are held in a separate trustee-administered fund. The University and College Union (UCU) became a participating institution of USS on 1st June 2006 following the amalgamation of AUT and NATFHE.

Because of the mutual nature of the USS scheme, the scheme's assets are not attributed to individual institutions and a scheme-wide contribution rate is set. The UCU is therefore exposed to actuarial risks associated with other institutions' employees and is unable to identify its share of the underlying assets and liabilities of the scheme on a consistent and reasonable basis. As required by Section 28 of FRS 102 "Employee benefits" UCU therefore accounts for the scheme as if it were a wholly defined contribution scheme. As a result, the amount charged to the Income and Expenditure Account as a component of employee costs represents the contributions payable to the scheme in respect of the accounting year.

Under FRS102 the Union (as a participating institution of the USS) is required to recognise a liability for the contributions payable to the USS because the USS scheme is in deficit and a funding plan (The Recovery Plan) has been agreed. FRS102 requires that where an employer participates in a defined benefit multi-employer plan and there is insufficient information available to use defined benefit accounting and there is an obligation to fund past deficits within the scheme, the institution must recognise a liability for the contractual contributions payable to the scheme to the extent that there is a deficit in the scheme, and account for the resulting movement in the liability in the Income and Expenditure Account. As a result, the amount charged or credited to the Income and Expenditure Account as a component of employee costs represents the movement in the discounted fair value of the contractual contributions payable to the Scheme by UCU under the funding plan agreement in respect of the accounting year.

The Union's share of the deficit arising in the USS Scheme is based upon a deficit recovery plan model made available to participating institutions via the USS. Movements in the employer's share of the deficit contribution liability due to the USS Scheme are charged or credited to the Income and Expenditure Account as part of the costs of remuneration and expenses of staff. The Union's share of the deficit contribution liability due to the USS Scheme is disclosed in the Balance Sheet as the present value of the contributions payable. As the discount rate used in calculating the present value of the deficit contribution liability unwinds this element is shown as part of the finance costs (interest payable) in the applicable period in the Income and Expenditure Account.

(h) **Operating Leases**

Rental payments under operating leases are charged to the Income and Expenditure Account as payments to the lessor fall due on a straight line basis over the lease term.

(i) **Investments**

Quoted investments held are managed by professional investment managers and brokers and transactions are undertaken under powers delegated to them and they are stated at fair value based on current bid prices where quoted on an active market. Movements in fair value are included in the Investment Reserve Fund (Fund 4) as they occur. On disposal, relevant gains and losses recognised previously in the Investment Reserve Fund are transferred to the Income and Expenditure Account. Unquoted investments are stated at cost as there is no active market available, no reliable basis of valuation is available and other valuation techniques are not considered appropriate.

(j) **Value added tax (VAT)**

The figures included in these financial statements are exclusive of VAT to the extent that input VAT is partially or fully recoverable or output VAT is payable.

(k) **Deferred Tax**

Deferred tax is provided on the liability method to take account of timing differences between the treatment of certain items for accounts purposes and their treatment for taxation purposes. Deferred tax is provided for on all relevant material reversing timing differences at the rate of corporation tax applicable to the Union's activities at the financial statement date.

(l) **Holiday Pay Accrual**

FRS 102 requires short term employee benefits, such as holiday pay, to be charged to the Income and Expenditure Account as the employee service is received. As a result holiday pay accruals are recognised and charged to the Income and Expenditure Account as they are received.

Checklist for auditor's report

(see notes 90 and 96)

The checklist below is for guidance. A report is still required either set out overleaf or by way of an attached auditor's report that covers the 1992 Act requirements.

1. In the opinion of the auditors or auditor do the accounts they have audited and which are contained in this return give a true and fair view of the matters to which they related? (See section 36(1) and (2) of the 1992 Act and notes 92 and 93)

Please explain in your report overleaf or attached.

2. Are the auditors or auditor of the opinion that the union has complied with section 28 of the 1992 Act and has:

- a. kept proper accounting records with respect to its transactions and its assets and liabilities; and
- b. established and maintained a satisfactory system of control of its accounting records, its cash holding and all its receipts and remittances. (See section 36(4) of the 1992 Act set out in note 92)

Please explain in your report overleaf or attached

3. Your auditors or auditor must include in their report the following wording:

In our opinion the financial statements:

- **give a true and fair view of the matters to which they relate to.**
- **have been prepared in accordance with the requirements of the sections 28, 32 and 36 of the Trade Union and Labour Relations (consolidation) Act 1992.**

Auditor's report (continued)

Please see the attached auditor's report - Page 25-1

Signature(s) of auditor or auditors:

Knox Cropper LLP

Name(s):

Knox Cropper LLP

Profession(s) or Calling(s):

Chartered Accountants and Statutory Auditor

Address(es):

65 Leadenhall Street

London

Postcode

EC3A 2AD

Date

5 March 2021

Contact name for inquiries and telephone number:

Greg Stevenson
020 7332 6400

N.B. When notes to the account are referred to in the auditor's report a copy of those notes must accompany this return.

**INDEPENDENT AUDITOR'S REPORT TO THE MEMBERS OF THE
UNIVERSITY AND COLLEGE UNION**

Opinion

We have audited the financial statements of the University and College Union for the year ended 31st August 2020 which comprise the Funds Accounts, the Balance Sheet and the notes to the financial statements, including a summary of significant accounting policies. The financial reporting framework that has been applied in their preparation is applicable law and United Kingdom Accounting Standards, including Financial Reporting Standard 102 - The Financial Reporting Standard applicable in the UK and Republic of Ireland (United Kingdom Generally Accepted Accounting Practice).

In our opinion, the financial statements:

- give a true and fair view of the state of the Union's affairs as at 31st August 2020 and of the Union's income and expenditure for the year then ended;
- have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice;
- have been prepared in accordance with the requirements of sections 28, 32 and 36 of the Trade Union and Labour Relations (Consolidation) Act 1992, and the rules of the Union.

Basis for opinion

We conducted our audit in accordance with International Standards on Auditing (UK) (ISAs (UK)) and applicable law. Our responsibilities under those standards are further described in the Auditor's responsibilities for the audit of the financial statements section of our report. We are independent of the Union in accordance with the ethical requirements that are relevant to our audit of the financial statements in the UK, including the FRC's Ethical Standard, and we have fulfilled our other ethical responsibilities in accordance with these requirements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

Conclusions relating to going concern

We have nothing to report in respect of the following matters in relation to which the ISAs (UK) require us to report to you where:

- the Members of the National Executive Committee use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the Members of the National Executive Committee have not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the Union's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue.

Other information

The Members of the National Executive Committee are responsible for the other information. The other information comprises the information included in the Report of Honorary Treasurer.

Our opinion on the financial statements does not cover the other information and we do not express any form of assurance conclusion thereon.

In connection with our audit of the financial statements, our responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or our knowledge obtained in the audit or otherwise appears to be materially misstated. If we identify such material inconsistencies or apparent material misstatements, we are required to determine whether there is a material misstatement in the financial statements or a material misstatement of the other information. If, based on the work we have performed, we conclude that there is a material misstatement of this other information; we are required to report that fact.

We have nothing to report in this regard.

Matters on which we are required to report by exception

We have nothing to report in respect of the following matters in relation to which the Trade Union and Labour Relations (Consolidation) Act 1992 requires us to report to you if, in our opinion:

- proper accounting records have not been kept by Union; or
- the financial statements are not in agreement with the accounting records and returns; or
- a satisfactory system of control has not been maintained over the Union's transactions; or
- we have not received all the information and explanations we require for our audit.

Responsibilities of the Members of the National Executive Committee

As explained more fully in the Statement of Responsibilities of the Union and Members of the National Executive Committee [set out on page 22-1], the Members of the National Executive Committee are responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view, and for such internal control as the Members of the National Executive Committee determine is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the Members of the Executive Committee are responsible for assessing the Union's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the Members of the Executive Committee either intend to liquidate the Union or to cease operations, or have no realistic alternative but to do so.

Auditor's responsibilities for the audit of the financial statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

A further description of our responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website at: www.frc.org.uk/auditorsresponsibilities. This description forms part of our auditor's report.

Use of our report

This report is made solely to the Members of the Union, as a body, in accordance with the Union's rules. Our audit work has been undertaken so that we may state to the Union's Members those matters we are required to state to them in an auditor's report and for no other purpose. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the Union and its Members as a body, for our audit work, for this report or for the opinions we have formed.

**Knox Cropper LLP
Chartered Accountants and Statutory Auditor
65 Leadenhall Street, London, EC3A 2AD**

Knox Cropper LLP is eligible for appointment as auditor of the Union by virtue of its eligibility for appointment as auditor of a company under Section 1212 of the Companies Act 2006.

Membership audit certificate

made in accordance with section 24ZD of the Trade Union and Labour
Relations (Consolidation) Act 1992

(See notes 97 to 103)

At the end of the reporting period preceding the one to which this audit relates was the total membership of the trade union greater than 10,000?

YES

If "YES" please complete SECTION ONE below or provide the equivalent information on a separate document to be submitted with the completed AR21

If "NO" please complete SECTION TWO below or provide the equivalent information on a separate document to be submitted with the completed AR21

Membership audit certificate

Section one

For a trade union with more than 10,000 members, required by section 24ZB of the 1992 Act to appoint an independent assurer

- 1 In the opinion of the assurer appointed by the trade union was the union's system for compiling and maintaining its register of the names and addresses of its members satisfactory to secure, so far as is reasonably practicable, that the entries in its register were accurate and up-to-date throughout the reporting period?

YES

- 2 In the opinion of the assurer has he/she obtained the information and explanations necessary for the performance of his/her functions?

YES

If the answer to **either** questions 1 or 2 above is "NO" the assurer must:

- (a) set out below the assurer's reasons for stating that
- (b) provide a description of the information or explanation requested or required which has not been obtained
- (c) state whether the assurer required that information or those explanations from the union's officers, or officers of any of its branches or sections under section 24ZE of the 1992 Act
- (d) send a copy of this certificate to the Certification Officer as soon as is reasonably practicable after it is provided to the union.

Membership audit certificate (continued)

| | |
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| | |
| Signature of assurer |  |
| Name | Simon Hearn |
| Address | Civica Election Services, 33 Clarendon Road, London N8 0NW |
| Date | 17/12/2020 |
| Contact name and telephone number | Simon Hearn, Managing Director 020 8365 8909 |