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FORM AR21

Trade Union and Labour Relations (Consolidation) Act 1992

ANNUAL RETURN FOR A TRADE UNION

Name of Trade Union:

Year ended:

List no:

Head or Main Office:

Website address (if available)

Has the address changed during the year to which the return relates? Yes No *(Click the appropriate box)*

General Secretary:

Telephone Number:

Contact name for queries regarding

Telephone Number:

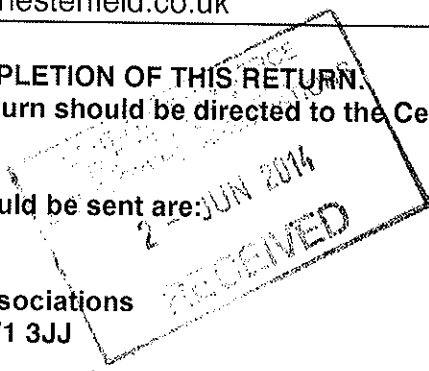
E-mail:

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: 020 7210 3734

The address to which returns and other documents should be sent are:

For Unions based in England and Wales:
Certification Office for Trade Unions and Employers' Associations
22nd Floor, Euston Tower, 286 Euston Road, London NW1 3JJ

For Unions based in Scotland:
Certification Office for Trade Unions and Employers' Associations
Melrose House, 69a George Street, Edinburgh EH2 2JG



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	4				4
FEMALE					
TOTAL	4				A 4

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

0

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

4

OFFICERS IN POST

(see note 12)

Please attach as an annexe to this form a complete list of all officers in post at the end of the year to which this form relates, with the title of each persons office.

RETURN OF CHANGE OF OFFICERS

Please complete the following to record any changes of officers during the twelve months covered by this return. No changes

Title of Office	Name of Officer ceasing to hold office	Name of Officer Appointed	Date

State whether the union is:

a. A branch of another trade union?

Yes

No

If yes, state the name of that other union:

National Union of Mineworkers (a constituent part thereof)
--

b. A federation of trade unions?

Yes

No

If yes, state the number of affiliated unions:

--

and names:

--

GENERAL FUND

(see notes 13 to 18)

	£	£
INCOME		
From Members: Contributions and Subscriptions		804
From Members: Other income from members (specify)		
Total other income from members		0
Total of all income from members		804
Investment income (as at page 12)		46,440
Other Income		
Income from Federations and other bodies (as at page 4)	326	
Income from any other sources (as at page 4)	196,652	
Total of other income (as at page 4)		196,978
		TOTAL INCOME
		244,222
EXPENDITURE		
Benefits to members (as at page 5)		37,695
Administrative expenses (as at page 10)		312,530
Federation and other bodies (specify)		
National Union of Mineworkers	674	
Grants	947	
Total expenditure Federation and other bodies		1,621
Taxation (included in administrative expenses per Page 10)		
		TOTAL EXPENDITURE
		351,846
Surplus (deficit) for year		(107,624)
Amount of general fund at beginning of year		599,196
Amount of general fund at end of year		491,572

ANALYSIS OF INCOME FROM FEDERATION AND OTHER BODIES AND OTHER INCOME

(see notes 19 and 20)

DESCRIPTION	£	£
Federation and other bodies		
National Union of Mineworkers for Area expenses	326	
TOTAL FEDERATION AND OTHER BODIES		326
Other income		
Surplus on realisation of investments	195,150	
Refund of pneumoconiosis costs	1,500	
Refund from Miners' Knee litigation Fund	2	
TOTAL OTHER INCOME		196,652
TOTAL OF ALL OTHER INCOME		196,978

ANALYSIS OF BENEFIT EXPENDITURE SHOWN AT GENERAL FUND

(see notes 21 to 23)

	£		£
Representation – Employment Related Issues Miners’ Knee litigation	37,695	brought forward Education and Training services	37,695
Representation – Non Employment Related Issues		Negotiated Discount Services	
Communications		Salary Costs	
Advisory Services		Other Benefits and Grants (specify)	
Dispute Benefits			
Other Cash Payments			
carried forward	37,695	Total (should agree with figure in General Fund)	37,695

(See notes 24 and 25)

FUND 2		Fund Account	
Name:		£	£
Income	From members		
	Investment income (as at page 12)		
	Other income (specify)		
	Total other income as specified		
	Total Income		
Expenditure	Benefits to members		
	Administrative expenses and other expenditure (as at page 10)		
	Total Expenditure		
	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		

FUND 3		Fund Account	
Name:		£	£
Income	From members		
	Investment income (as at page 12)		
	Other income (specify)		
	Total other income as specified		
	Total Income		
Expenditure	Benefits to members		
	Administrative expenses and other expenditure (as at page 10)		
	Total Expenditure		
	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		

(See notes 24 and 25)

FUND 4		Fund Account	
Name:		£	£
Income			
	From members		
	Investment income (as at page 12)		
	Other income (specify)		
	Total other income as specified		
	Total Income		
Expenditure			
	Benefits to members		
	Administrative expenses and other expenditure (as at page 10)		
	Total Expenditure		
	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		

FUND 5		Fund Account	
Name:		£	£
Income			
	From members		
	Investment income (as at page 12)		
	Other income (specify)		
	Total other income as specified		
	Total Income		
Expenditure			
	Benefits to members		
	Administrative expenses and other expenditure (as at page 10)		
	Total Expenditure		
	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		

FUND 6		Fund Account	
Name:		£	£
Income			
From members			
Investment income (as at page 12)			
Other income (specify)			
	Total other income as specified		
	Total Income		
Expenditure			
Benefits to members			
Administrative expenses and other expenditure (as at page 10)			
	Total Expenditure		
	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		

FUND 7		Fund Account	
Name:		£	£
Income			
From members			
Investment income (as at page 12)			
Other income (specify)			
	Total other income as specified		
	Total Income		
Expenditure			
Benefits to members			
Administrative expenses and other expenditure (as at page 10)			
	Total Expenditure		
	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		

(see notes 26 to 31)

POLITICAL FUND ACCOUNT 1		To be completed by trade unions which maintain their own fund	
		€	€
Income	Members contributions and levies		
	Investment income (as at page 12)		
	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 of political fund at beginning of year	
		Amount of political fund at the end of year (as Balance Sheet)	
		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	

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		56
	Other income (specify)		
		Total other income as specified	0
		Total income	56
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	0
		Surplus (deficit) for year	
		Amount held on behalf of trade union political fund at beginning of year	
		Amount remitted to central political fund	56
		Amount held on behalf of central political fund at end of year	0
		Number of members at end of year contributing to the political fund	4
		Number of members at end of the year not contributing to the political fund	0
		Number of members at end of year who have completed an exemption notice and do not therefore contribute to the political fund	0

ANALYSIS OF ADMINISTRATIVE EXPENSES AND OTHER OUTGOINGS EXCLUDING AMOUNTS CHARGED TO POLITICAL FUND ACCOUNTS

(see notes 32 and 33)

		£
Administrative Expenses		
Remuneration and expenses of staff		247,254
Salaries and Wages included in above	£143,939	
Auditors' fees		27,600
Legal and Professional fees		12,149
Occupancy costs		11,792
Stationery, printing, postage, telephone, etc.		5,001
Expenses of Executive Committee (Head Office)		
Expenses of conferences		910
Other administrative expenses (specify)		
Bank charges		480
Investment management fees		3,000
Sundry expenses		1,448
Other Outgoings		
Interest payable:		
Bank loans (including overdrafts)		
Mortgages		
Other loans		
Depreciation		
Taxation		2,896
Outgoings on land and buildings (specify)		
Other outgoings (specify)		
Total		312,530
Charged to:	General Fund (Page 3)	312,530
	Fund (Account)	
	Fund (Account)	
	Fund (Account)	
	Fund (Account)	
Total		312,530

ANALYSIS OF INVESTMENT INCOME

(see notes 45 and 46)

	Political Fund £		Other Fund(s) £
Rent from land and buildings			
Dividends (gross) from:			
Equities (e.g. shares)			31,545
Interest (gross) from:			
Government securities (Gilts)			5,220
Mortgages			
Local Authority Bonds			
Bank and Building Societies			13
Other investment income (specify)			
Other bond funds			9,662
		Total investment income	46,440
		Credited to:	
		General Fund (Page 3)	46,440
		Fund (Account)	
		Fund (Account)	
		Fund (Account)	
		Fund (Account)	
		Fund (Account)	
		Political Fund	
		Total Investment Income	46,440

BALANCE SHEET as at 31 December 2013

(see notes 47 to 50)

Previous Year		£	£
	Fixed Assets (at page 14)		
	Investments (as per analysis on page 15)		670,634
	Quoted (Market value £ 951,522)		
	Unquoted		
	Total Investments		670,634
	Other Assets		
	Loans to other trade unions		
	Sundry debtors	16,239	
	Cash at bank and in hand	136,079	
	Income tax to be recovered	1,024	
	Stocks of goods		
	Others (specify)		
	Total of other assets		153,342
	TOTAL ASSETS		823,976
	Fund (Account)		491,572
	Fund (Account)		
	Fund (Account)		
	Superannuation Fund (Account)		
	Political Fund (Account)		
	Revaluation Reserve		
	LIABILITIES		
	Amount held on behalf of central trade union political fund		
	Loans: From other trade unions		
	Loans: Other		
	Bank overdraft		
	Tax payable		
	Sundry creditors		332,404
	Accrued expenses		
	Provisions		
	Other liabilities		
	TOTAL LIABILITIES		332,404
	TOTAL ASSETS		823,976

FIXED ASSETS ACCOUNT

(see notes 51 to 55)

	Land and Buildings		Furniture and Equipment £	Motor Vehicles £	Not used for union business £	Total £
	Freehold	Leasehold £ £				
Cost or Valuation						
At start of year						
Additions						
Disposals						
Revaluation/Transfers						
At end of year						
Accumulated Depreciation						
At start of year						
Charges for year						
Disposals						
Revaluation/Transfers						
At end of year						
Net book value at end of year						
Net book value at end of previous year						

ANALYSIS OF INVESTMENTS

(see notes 56 and 57)

QUOTED	All Funds Except Political Funds £	Political Fund £
Equities (e.g. Shares)		
Equities	357,454	
Government Securities (Gilts)		
Treasury stock	135,697	
Other quoted securities (to be specified)		
	177,483	
TOTAL QUOTED (as Balance Sheet)	670,634	
Market Value of Quoted Investment	951,522	
UNQUOTED		
Equities		
Government Securities (Gilts)		
Mortgages		
Bank and Building Societies		
Other unquoted investments (to be specified)		
TOTAL UNQUOTED (as Balance Sheet)		
Market Value of Unquoted Investments		

ANALYSIS OF INVESTMENT INCOME (CONTROLLING INTERESTS)

(see notes 58 and 59)

Does the union, or any constituent part of the union, have a controlling interest in any limited company?		YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>
If YES name the relevant companies:			
COMPANY NAME Derbyshire Miners Investments Limited (a company limited by guarantee not having a share capital)	COMPANY REGISTRATION NUMBER (if not registered in England & Wales, state where registered) 01201586		
Are the shares which are controlled by the union registered in the names of the union's trustees?		YES <input type="checkbox"/>	NO <input type="checkbox"/>
If NO, state the names of the persons in whom the shares controlled by the union are registered.			
COMPANY NAME	NAMES OF SHAREHOLDERS		

SUMMARY SHEET

(see notes 60 to 71)

	All funds except Political Funds £	Political Funds £	Total Funds £
INCOME			
From Members	804	56	860
From Investments	46,440		46,440
Other Income (including increases by revaluation of assets)	196,978		196,978
Total Income	244,222		244,278
EXPENDITURE (including decreases by revaluation of			
Total Expenditure	351,846	56	351,902
 Funds at beginning of year (including reserves)	599,196	0	599,196
Funds at end of year (including reserves)	491,572	0	491,572
 ASSETS			
Fixed Assets			
Investment Assets			670,634
Other Assets			153,342
		Total Assets	823,976
LIABILITIES		Total Liabilities	332,404
NET ASSETS (Total Assets less Total Liabilities)			491,572

NOTES TO THE ACCOUNTS

(see notes 72 and 73)

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

Litigation

Along with a number of other NUM Areas, Derbyshire Area was involved in litigation on behalf of a number of former members in respect of Osteoarthritis claims. The action proved unsuccessful and substantial costs were incurred in pursuing it. The Union's share of the total costs has been settled after the year end at £846,654, which has been included as an expense in the accounts over this and the previous year. Of this amount, £546,554 has already been paid and £300,100 is included within creditors at 31 December 2013.

ACCOUNTING POLICIES

(see notes 74 and 75)

Accounting convention

The accounts have been prepared under the historical cost convention.

Basis of accounting

Investment income is accounted for when received. Other than this, the accounts are prepared on the accruals basis.

Fixed assets

Expenditure on fixtures and fittings and equipment is charged to revenue as and when incurred.

Deferred taxation

Deferred taxation is provided on timing differences such as accrued investment income, to the extent that it is not covered by unused reliefs from earlier years.

Investments

Investments are shown in the accounts at cost.

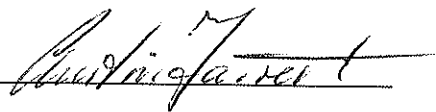
The market value of quoted investments is as valued by the Union's stockbrokers.

SIGNATURES TO THE ANNUAL RETURN

(see notes 76 and 77)

including the accounts and balance sheet contained in the return.


Secretary's
Signature:



Name: Austin Fairest

Date: 28 April 2014

Chairman's

Signature: 
(or other official whose position should be stated)

Name: Alan Gascoyne (Area President)

Date: 28 April 2014

CHECK LIST

(see notes 78 to 80)

(please tick as appropriate)

IS THE RETURN OF OFFICERS ATTACHED? (see Page 2 and Note 12)	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
HAS THE RETURN OF CHANGE OF OFFICERS BEEN COMPLETED? (see Page 2 and Note 12)	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
HAS THE RETURN BEEN SIGNED? (see Pages 19 and 21 and Notes 76 and 77)	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
HAS THE AUDITOR'S REPORT BEEN COMPLETED? (see Pages 20 and 21 and Notes 2 and 77)	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
IS A RULE BOOK ENCLOSED? (see Notes 8 and 78)	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
A MEMBER'S STATEMENT IS: (see Note 80)	ENCLOSED	<input checked="" type="checkbox"/>	TO FOLLOW	<input type="checkbox"/>
HAS THE SUMMARY SHEET BEEN COMPLETED (see Page 17 and Notes 7 and 59)	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>

AUDITOR'S REPORT

(see notes 81 to 86)

made in accordance with section 36 of the Trade Union and Labour Relations (Consolidation) Act 1992.

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 relate?
(See section 36(1) and (2) of the 1992 Act and notes 83 and 84)

YES/NO

If "No" please explain below.

2. Have the auditors or auditor carried out such investigations in the preparation of their audit report as will enable them to form an opinion as to:
- (a) whether the trade union has kept proper accounting records in accordance with section 28 of the 1992 Act;
 - (b) whether it has maintained a satisfactory system of control over its transactions in accordance with the requirements of that section; and
 - (c) whether the accounts to which the report relates agree with the accounting records?
(See section 36(3) of the 1992 Act, set out in note 83)

YES/NO

If "No" please explain below.

3. 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 rule 83)

YES/NO

If "No" please explain below.

4. Please set out a copy of the report made by the auditors or auditor to the union on the accounts to which this AR21 relates. The report is to set out the basis upon which the audit has been conducted and/or such other statement as the auditor considers appropriate. Such a statement may be provided as a separate document.
(See note 85)

NATIONAL UNION OF MINeworkERS (DERBYSHIRE AREA)

INDEPENDENT AUDITOR'S REPORT TO THE MEMBERS OF THE NATIONAL UNION OF MINeworkERS (DERBYSHIRE AREA)

We have audited the financial statements of NUM (Derbyshire Area) for the year ended 31 December 2013 on pages 4 to 22. The financial reporting framework that has been applied in their preparation is applicable law and United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice).

This report is made solely to the Union's members, as a body, in accordance with the rules of the Union. Our audit work has been undertaken so that we might state to the Union's members those matters which we are required to state to them in an audit 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 the Union's members as a body, for our audit work, for this report, or for the opinions that we have formed.

Respective responsibilities of Union and auditor

As explained more fully in the Union's Responsibilities Statement below, the Union is responsible for preparing financial statements which give a true and fair view. Our responsibility is to audit and express an opinion on the financial statements in accordance with applicable law and International Standards on Auditing (UK and Ireland). Those standards require us to comply with the Auditing Practices Board's Ethical Standards for Auditors.

Scope of the audit of the financial statements

An audit involves obtaining evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. This includes an assessment of whether the accounting policies are appropriate to the Union's circumstances and have been consistently applied and adequately disclosed, and the reasonableness of significant accounting estimates made by the Union.

Opinion on the financial statements

In our opinion the financial statements give a true and fair view, in accordance with UK Generally Accepted Accounting Practice, of the state of the Union's affairs as at 31 December 2013 and of its income and expenditure for the year then ended.

Matters on which we are required to report by exception

We have nothing to report in respect of the following matters where 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; or
- a satisfactory system of control of the accounting records, cash holdings, and receipts and remittances has not been maintained; or
- the financial statements are not in agreement with the accounting records.

AUDITOR'S REPORT (continued)

STATEMENT OF THE UNION'S RESPONSIBILITIES IN RELATION TO THE FINANCIAL STATEMENTS

The Union is responsible for the preparation of financial statements for each financial year which give a true and fair view of the state of affairs of the Union and of its surplus or deficit for that period. In preparing those financial statements the Union is required to:

- (i) select suitable accounting policies and then apply them consistently;
- (ii) make judgments and estimates that are reasonable and prudent; and
- (iii) prepare the financial statements on the going concern basis unless it is inappropriate to presume that the Union will continue to operate.

The Union is responsible for keeping proper accounting records which disclose with reasonable accuracy at any time its financial position. The Union is also responsible for establishing and maintaining a system of control for safeguarding its assets and hence for taking reasonable steps for the prevention and detection of fraud and other irregularities.

Signature(s) of auditor or auditors:	<i>Shorts</i>	
Name(s):	Shorts	
Profession(s) or Calling(s):	Chartered accountants and statutory auditor	
Address(es):	2 Ashgate Road Chesterfield Derbyshire S40 4AA	
Date:	28 April 2014	
Contact name and telephone number:	H K Freeman 01246 559955	

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