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FORM AR21

Trade Union and Labour Relations (Consolidation) Act 1992

ANNUAL RETURN FOR A TRADE UNION

Name of Trade Union:

THE SOCIAL WORK UNION

Year ended:

30 SEPTEMBER 2017

List no:

809T

Head or Main Office:

WELLESLEY HOUSE
37 WATERLOO STREET
BIRMINGHAM
B2 5PP

Website address (if available)

www.basw.co.uk/swu

Has the address changed during the year to which the return relates?

Yes



No



(Click the appropriate box)

General Secretary:

JOHN MCGOWAN

Telephone Number:

0121 622 3911

Contact name for queries regarding

JOHN MCGOWAN

Telephone Number:

0121 622 3911

E-mail:

j.mcgowan@swu-union.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

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
Lower Ground Floor, Fleetbank House, 2-6 Salisbury Square, London EC4Y 8JX**

For Unions based in Scotland:

**Certification Office for Trade Unions and Employers' Associations
Melrose House, 69a George Street, Edinburgh EH2 2JG**



(Revised November 2017)

SWU EXECUTIVE COMMITTEE

TITLE / COUNTRY	NAME OF OFFICER APPOINTED	DATE APPOINTED
Wales Representative	Keith Drury	22/09/2017
Scotland Representative	Silvio Gigante	22/09/2017
England Representative	Eleanor Cabbage	23/09/2016
NI Representative	Gerry Madden	22/09/2017
UK Representative	James Birchall	23/09/2016
UK Representative	Angi Naylor	23/09/2016
UK Representative	Malcolm Jordan	23/09/2016
UK Representative	Vacant	
UK Representative	Vacant	

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	2,233	50			2,283
FEMALE	8,932	204			9,136
TOTAL	11,165	254			A 11,419

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

11,419

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

1

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 person's office.

RETURN OF CHANGE OF OFFICERS

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

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:

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		200,068
From Members: Other income from members (specify)		
Total other income from members		
Total of all income from members		200,068
Investment income (as at page 12)		
Other Income		
Income from Federations and other bodies (as at page 4)		
Income from any other sources (as at page 4)		
Total of other income (as at page 4)		
	TOTAL INCOME	200,068
EXPENDITURE		
Benefits to members (as at page 5)		98,231
Administrative expenses (as at page 10)		18,027
Federation and other bodies (specify)		
Total expenditure Federation and other bodies		
Taxation		
	TOTAL EXPENDITURE	116,258
Surplus (deficit) for year		83,810
Amount of general fund at beginning of year		86,054
Amount of general fund at end of year		169,864

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		
Other income		
TOTAL OTHER INCOME		
TOTAL OF ALL OTHER INCOME		

ANALYSIS OF BENEFIT EXPENDITURE SHOWN AT GENERAL FUND

(see notes 21 to 23)

	£		£
Representation – Employment Related Issues GFTU Membership fee	11,078	brought forward Education and Training services	19,363
Representation – Non Employment Related Issues		Negotiated Discount Services	
Communications Advertising and marketing costs	8,285	Salary Costs Officials' salary	60,740
Advisory Services		Other Benefits and Grants (specify) AGM costs	15,453
Dispute Benefits		Awards and donations	2,675
Other Cash Payments			
carried forward	19,363	Total (should agree with figure in General Fund)	98,231

(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		

(See notes 24 and 25)

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		
	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 fund	
		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	

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		13,734
Salaries and Wages included in above	£	
Auditors' fees		2,980
Legal and Professional fees		
Occupancy costs		
Stationery, printing, postage, telephone, etc.		
Expenses of Executive Committee (Head Office)		
Expenses of conferences		
Other administrative expenses (specify)		
Bank charges		113
Sundry		1,200
Other Outgoings		
Interest payable:		
Bank loans (including overdrafts)		
Mortgages		
Other loans		
Depreciation		
Taxation		
Outgoings on land and buildings (specify)		
Other outgoings (specify)		
	Total	18,027
Charged to:	General Fund (Page 3)	18,027
	Fund (Account)	
	Fund (Account)	
	Fund (Account)	
	Fund (Account)	
	Total	18,027

ANALYSIS OF OFFICIALS SALARIES AND BENEFITS

(see notes 34 to 44 below)

Office held	Gross Salary £	Employers N.I. contributions £	Pension Contributions £	Benefits		Total £
				Description	Value £	
General secretary	58,166					58,166
President	2,574					2,574

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)			
Interest (gross) from:			
Government securities (Gilts)			
Mortgages			
Local Authority Bonds			
Bank and Building Societies			
Other investment income (specify)			
		Total investment income	
Credited to:		General Fund (Page 3)	
		Fund (Account)	
		Fund (Account)	
		Fund (Account)	
		Fund (Account)	
		Fund (Account)	
		Political Fund	
		Total Investment Income	

BALANCE SHEET as at

(see notes 47 to 50)

Previous Year		£	£
	Fixed Assets (at page 14)		
	Investments (as per analysis on page 15)		
	Quoted (Market value £)		
	Unquoted		
	Total Investments		
	Other Assets		
	Loans to other trade unions		
86,054	Sundry debtors		84,032
	Cash at bank and in hand		90,171
	Income tax to be recovered		
	Stocks of goods		
	Others (specify)		
86,054	Total of other assets		174,203
	TOTAL ASSETS		174,203
86,054	Fund (Account)		169,864
	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		4,339
	Accrued expenses		
	Provisions		
	Other liabilities		
86,054	TOTAL LIABILITIES		174,203

86,054

TOTAL ASSETS

174,203

FIXED ASSETS ACCOUNT

(see notes 51 to 55)

	Land and Buildings		Furniture and Equipment £	Motor Vehicles £	Not used for union business £	Total £
	Freehold old £	Leaseh £				
Cost or Valuation						
At start of year						
Additions						
Disposals						
Revaluation/Transfer s						
At end of year						
Accumulated Depreciation						
At start of year						
Charges for year						
Disposals						
Revaluation/Transfer s						
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)		
	Government Securities (Gilts)		
	Other quoted securities (to be specified)		
	TOTAL QUOTED (as Balance Sheet)		
	Market Value of Quoted Investment		
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 type="checkbox"/>	NO <input checked="" type="checkbox"/>
If YES name the relevant companies:			
COMPANY NAME	COMPANY REGISTRATION NUMBER (if not registered in England & Wales, state where registered)		
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	200,068		200,068
From Members			
From Investments			
Other Income (including increases by revaluation of assets)			
Total Income			
EXPENDITURE (including decreases by revaluation of Total Expenditure			
	116,258		116,258
 Funds at beginning of year (including reserves)	 86,054		 86,054
Funds at end of year (including reserves)	169,864		169,864
 ASSETS			
Fixed Assets			
Investment Assets			
Other Assets			174,203
Total Assets			174,203
 LIABILITIES			
Total Liabilities			(4,339)
 NET ASSETS (Total Assets less Total Liabilities)			 169,864

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.

Based on the accounts no provision for corporation tax has been made.

ACCOUNTING POLICIES

(see notes 74 and 75)

Basis of Financial Statements

The financial statements have been prepared on a historical basis and in accordance with applicable accounting standards.

Subscriptions

Members' subscriptions are brought into the Revenue Account on the basis of subscriptions due for the year ended 30 September 2017. Amounts not received as at 30 September 2017 are included in current assets under the heading of Debtors.

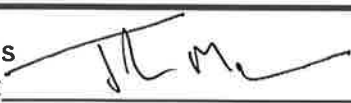
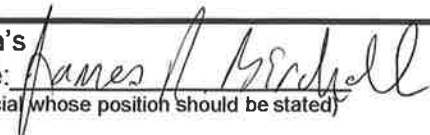
Expenditure

Expenditure is accounting for on an accruals basis. All amounts of irrecoverable VAT are added to expenditure incurred.

SIGNATURES TO THE ANNUAL RETURN

(see notes 76 and 77)

including the accounts and balance sheet contained in the return.

Secretary's Signature: 	Chairman's Signature:  <small>(or other official whose position should be stated)</small>
Name: John McGowan	Name: James Birchall
Date: <u>8 February 2018</u>	Date: <u>8 February 2018</u>

CHECK LIST

(see notes 78 to 80)

(please tick as appropriate)

IS THE RETURN OF OFFICERS ATTACHED? <small>(see Page 2 and Note 12)</small>	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
HAS THE RETURN OF CHANGE OF OFFICERS BEEN COMPLETED? <small>(see Page 2 and Note 12)</small>	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
HAS THE RETURN BEEN SIGNED? <small>(see Pages 19 and 21 and Notes 76 and 77)</small>	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
HAS THE AUDITOR'S REPORT BEEN COMPLETED? <small>(see Pages 20 and 21 and Notes 2 and 77)</small>	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
IS A RULE BOOK ENCLOSED? <small>(see Notes 8 and 78)</small>	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
A MEMBER'S STATEMENT IS: <small>(see Note 80)</small>	ENCLOSED	<input type="checkbox"/>	TO FOLLOW	<input checked="" type="checkbox"/>
HAS THE SUMMARY SHEET BEEN COMPLETED <small>(see Page 17 and Notes 7 and 59)</small>	YES	<input checked="" type="checkbox"/>	NO	<input type="checkbox"/>
IS A MEMBERSHIP AUDIT CERTIFICATE PROVIDED <small>(See Pages 23 and 24 and Notes 88 to 94)</small>	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)

AUDITOR'S REPORT (section one)

Independent Auditor's Report to the Members of The Social Workers Union

Opinion

We have audited the financial statements of The Social Workers Union (the 'union') for the year ended 30 September 2017 which comprise the income and expenditure account, the balance sheet and 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).

This report is made solely to the union's members, as a body. Our audit work has been undertaken so that we might 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 the union's members as a body, for our audit work, for this report, or for the opinions we have formed.

In our opinion the financial statements:

- give a true and fair view of the state of the union's affairs as at 30 September 2017, and of its surplus for the year then ended;
- have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice.

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 officers' use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the officers 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 officers are responsible for the other information. The other information comprises the information included in the officers report, other than the financial statements and our auditor's report thereon. Our opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in our report, 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

In the light of our knowledge and understanding of the union and its environment obtained in the course of the audit, we have not identified material misstatements in the officers' report.

We have nothing to report in respect of the following matters in relation to which The Trade Union and Labour Relations (Consolidation) Act 1992 and the Trade Union Reform and Employment Rights Act 1993 requires us to report to you if, in our opinion:

- adequate accounting records have not been kept, or returns adequate for our audit have not been received from branches not visited by us; or
- the financial statements are not in agreement with the accounting records and returns; or
- certain disclosures of officers' remuneration specified by law are not made; or
- we have not received all the information and explanations we require for our audit.

Responsibilities of officers

As explained more fully in the officers' responsibilities statement, the officers 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 officers 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 officers 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 officers 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: <https://www.frc.org.uk/Our-Work/Audit/Audit-and-assurance/Standards-and-guidance/Standards-and-guidance-for-auditors/Auditors-responsibilities-for-audit/Description-of-auditorsresponsibilities-for-audit.aspx>. This description forms part of our auditor's report.

Dains LLP
 Statutory Auditor
 Chartered Accountants
 Birmingham
 8 February 2018

Signature(s) of auditor or auditors:		
Name(s):	Dains LLP	
Profession(s) or Calling(s):	Statutory Auditor Chartered Accountants	
Address(es):	15 Colmore Row Birmingham B3 2BH	
Date:	8 February 2018	
Contact name and telephone number:	Andrew Morris FCA 0845 555 8844	

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

MEMBERSHIP AUDIT CERTIFICATE

(see notes 88 to 94)

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

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/~~NO~~

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/~~NO~~


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

YES/~~NO~~

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)

Signature of assurer	
Name	PAUL SCHOLEY
Address	C/O MORRISH SOLICITORS LLP OXFORD HOUSE, OXFORD ROW LEEDS LS1 3BE
Date	12 / 04 / 2018
Contact name and telephone number	PAUL SCHOLEY 033 3344 9600 (QUOTE: SWU/MAC)

**MEMBERSHIP AUDIT REPORT for
The Social Workers Union
April 2018**

INTRODUCTION

There is a duty under section 24 of the Trade Union & Labour Relations (Consolidation) Act 1992 (as amended by The Transparency of Lobbying, Non-party Campaigning and Trade Union Administration Act 2014) to supply an annual assurance to the Certification Officer in relation to Trade Unions' membership systems.

SWU's rules do not currently reflect the requirements of section 24 but an amendment is in draft form and will be passed at the SWU AGM in 2018.

The annual assurance takes the form of a "Membership Audit Certificate" ("MAC").

Unions with over 10,000 members must ensure that the MAC is provided by an independent "Assurer".

By an agreement dated 19th March 2018 I was appointed as SWU's Assurer.

The first MAC is to be provided to the Certification Officer in April 2018.

The MAC takes the form of a certificate that is contained within and forms part of the union's annual return to the Certification Officer.

The Assurer's certificate must state:

(a) whether, in the Assurer's opinion, the trade union's system for compiling and maintaining the register of the names and addresses of its members was satisfactory for the purposes of complying with the union's duties under section 24(1) throughout the reporting period, and

(b) whether, in the Assurer's opinion, the Assurer has obtained the information and explanations which the Assurer considers necessary for the performance of the Assurer's functions.

Section 24 only requires that the Assurer should provide a MAC to the Certification Officer. It does not provide that any formal report should be drawn up by the Assurer. It seemed to me, however, that if the MAC is to be defended as a reasonable and proper certificate, the appropriate way to proceed was to prepare a report setting out my approach to the audit process,

methodology, evidence gathered and findings. The report that follows is intended to do all those things. In the event that the Certification Officer seeks to challenge the validity of the MAC it is hoped that this report will suffice to establish that it is in fact valid and prepared in accordance with the legal requirements that apply to SWU.

Process/Methodology

The steps taken by me include:-

Interviews (in person, by email and by telephone) with the union's General Secretary, John McGowan; their membership team officers Bharat Pandya and Donna Cowley ("DC") and their CRM project manager Philip Thorman.

I have had direct and unlimited access to **the union's membership database** itself. I have been able to access the system at my convenience and without limitation.

I have been provided with a "dump" in CSV format of the **membership data records** for current SWU members, consisting of names, addresses and email addresses.

I was able to arrange and supervise the conduct of a **check via email** in relation to 100 records identified randomly from the data dump provided.

I was also able to conduct a **"live" check** of the database in person.

More details about those checks follow later in the report.

Cooperation and Transparency

Under the 19th March agreement mentioned above, the union agreed that I would be afforded a "right of access at all reasonable times to the register of the names and addresses of SWU's members and to all other documents which [I considered] may be relevant to whether the union has complied with any of the requirements [of the law]". It was further provided that I should "be entitled to require from SWU's officers, or the officers of any of its branches or sections, such information and explanations as [I considered] necessary for the performance of [my] functions."

I can confirm that I have had access (as described above), on what I regard to be a transparent, unlimited and unrestricted basis, to all of the information that I felt that I reasonably required for the performance of my duties under that agreement.

I believe that the officers and employees of SWU have been frank, thorough and straightforward in supplying information to me throughout the process.

I am satisfied that the information made available to me has been complete and accurate within the limits of reasonable practicability.

Findings

The Membership Database

SWU utilises an SQL-based computerised membership data system called "Subscriber". It provides the sort of functionality one would expect in relation to the members of the union.

SWU is in a possibly unique position in that it was formed by a professional organisation – the British Association of Social Workers ("BASW") to provide Union-based representation to BASW members.

BASW currently holds all of the membership data for SWU members.

The BASW Subscriber Database identifies SWU members as follows:

One record exists on the database for every member of BASW. Each record contains various fields. For example, fields for the member's name, address, telephone number, email address, job title and membership number appear together in a separate record for each and every member.

There are some 20,000 BASW members. As of my visit to BASW's offices to access their live database on 29th March 2018, there were 11925 members of SWU identified on the system.

The system shows a list of "subscriptions" that will show for example that somebody subscribes to BASW and to SWU and to various other services. So it is obvious from the subscriptions whether a member of BASW is a SWU member.

In addition there is an "opt in" section on each record, and one can see the SWU opt in date there and it shows whether people declined to join SWU when they joined BASW, whether they have opted out or opted in and when they did so and for most people that is going to be October 2015 when a £20.00 fee was introduced and there was a "blitz" then to try to persuade BASW members to join SWU. At this time thousands of records were updated – relevant since the update included name and address details.

A 5-strong Membership Team ("MT") is day to day responsible for Membership Services.

Members have access to a BASW/SWU website and can update their own information via a username/password system. Currently the system requires manual intervention. A member updating e.g. address details on the website completes a form. The MT uses the "Memberfy" section of the website to see amended user data. A "Web Synch" function on the Database imports Memberfy information into the Subscriber system. The MT then manually checks each field (e.g. for obvious address errors, relevance of qualifications and so on) – with any necessary follow up direct with the member joining or amending details (usually by email) and finally the changes are saved to updated the system.

A new CRM system to be introduced in about May 2018 will automate a great deal of the current system. Members will be able to make direct changes to the underlying membership database through the web front-end. MT involvement will be reduced. "Ownership" of data will be handed positively to members.

Significantly, all procedures that apply to BASW members apply by definition to members of SWU. In so far as I identified good practice in BASW, it can be demonstrated that the same good practice applies equally to all SWU members – since BASW membership is a prerequisite, currently, to SWU membership. No data can appear on the Subscriber Database for a SWU member that does not also appear there in their capacity as a BASW member.

Initial Impressions

A general overview of the "dump" of data provided to me (a file in Excel format totalling some 12,000 individual entries) revealed what appeared to be an intact, clean set of records with details recorded as one would expect and no obvious "junk" data.

It was not practicable to review every one of those records in detail or to check all of them against the "live" membership database.

My initial impressions were confirmed by discussions with DC. Her level of confidence in the accuracy and currency of the database is high.

DC reports that membership data is regularly updated and checked.

What is most important here is that members tend to receive an email inviting them each September to renew membership in October and I have a sample of a September 2017 email headed "renewal enclosed" and it can be seen that this includes an express invitation to review contact details and so on.

This letter goes out from the Chief Exec of BASW in September and apart from contact details they ask members to update changes in status e.g. from student to newly qualified or if their payment amount changes e.g. because they have subscribed to some new services.

Likewise if a credit card is to be used for payment, those details are requested since credit card details are not kept.

If somebody is not paying by direct debit and if they do not change their status or anything else, they won't get a letter – there has to be some “trigger” for the letter to go out. Many members will have such a trigger.

That said, a general email goes out in addition to all members at least once a year which says basically “please review your membership and update your details and look at your participation level”.

Members without email of course would not get these things but a very high proportion of members have email addresses.

Also important here is the BASW magazine. I have a sample copy called Professional Social Work from February 2018 and one can see that that contains contact details for the organisation and so on and so forth.

DC says this is one of the most useful ways by which members' details are kept up to date. The magazine is one of the main member benefits that people subscribe to BASW for. Just about everyone gets it, and it goes out by post hard copy, which means that if someone has moved address and not told BASW then they will get the thing returned to them and the membership team has a standard practice of following up anything returned in the post. They will do that by email or telephone but they will even go as far, if they cannot get hold of the member as contacting the member's bank if they have e.g. direct debit details, to ask the bank to forward a letter to the member to try and get them to get back in touch.

This means that even members without email addresses tend to have good up to date contact details on the system.

Further Investigation

I think it is reasonable to conclude that a very small percentage of the union's current membership records have addresses that are missing/out of date/unverifiable, given the system mentioned above.

I took the view that it would be proportionate to select a small number of membership records to seek to verify the information currently held by SWU in the membership database.

I took the view that an appropriate proportion would be 100 members.

Proportionality again dictated that it would make sense to look to contact members with email addresses who might be contacted then both quickly and at reasonable cost.

I provided the MT with 100 membership records that I selected on a random basis from the subset of the large "dump" of 12,000 records that contained email addresses. The MT emailed those 100 members. The results were as follows:-

Responses 16

Addresses confirmed as accurate 16

Corrections 0

OoO/no information 0

A (roughly) 16% response rate is not unusual for this sort of mass email exercise. The exercise was limited to asking them to confirm their name and address details.

Further, during my visit to BASW's offices on 29/3/18, I personally undertook an audit of a random sampling of membership details from the live database system, having been logged in by DC for that purpose.

I began by thinking that 25 member records might give a reasonable indication of data accuracy and completeness.

I conducted a random audit on the live membership system

I selected members purely at random and my handwritten notes (not reproduced here) identify each record by member initials.

Despite the occasional missing email address or telephone number, every record I looked at without fail at least included the member's name and address which of course is all that is required for the purposes of the MAC certificate.

I saw nothing broken or obviously invalid or typographically wrong or simply gibberish (on the usual "garbage in, garbage out" basis).

Indeed the overwhelming impression was of complete information for name, address, email, landline, mobile and work details and position and so on.

I decided to extend the audit to a further 25 members for a total of 50.

The results were identical.

It seems to me this is really quite an exceptional result for completely random sampling and I did feel that 50 was more than enough given that by the time I had got to 50 I had not come across a single issue with the name and address data reviewed.

Other Systems for Updating and Maintaining Data Accuracy

I have dealt, above, with the magazine returns system.

Data is also updated by the MT which is charged with maintaining the accuracy of the membership system when updated information arrives from various sources. That might be provided from members via email, phone calls, by letter or in person. The union's MT telephone line is available daily and members often contact it to provide details of updated membership data e.g. changes of address or banking details.

Conclusions

I am satisfied, following the processes and findings described above, that the union's systems are good. There are a number of improvements that the union/BASW plan to make in the coming months such that I expect that the integrity, currency and accuracy of the union's membership database will continue to improve across the board.

It is plain that the database can only ever be accurate up to a point. The requirements of section 24 are requirements subject to "reasonable practicability".

The resources dedicated by the union/BASW to the task of dealing with membership data seem to me to be adequate and appropriate. The individuals interviewed by me are, it is clear, committed to ensuring that the integrity and accuracy of the whole of the organisation's information is maintained.

I am satisfied that it is appropriate to sign the MAC for the 2017 Annual Return in accordance with SWU's legal duty and confirm for the record that as appointed Assurer I am prepared to commit my signature to that certificate to state:

(a) that, in my opinion, SWU's system for compiling and maintaining the register of the names and addresses of its members was satisfactory for the purposes of complying with the union's duties under section 24(1) throughout the reporting period, and

(b) in my opinion, I have obtained the information and explanations which I consider necessary for the performance of my functions.

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