

Form AR21

Trade Union and Labour Relations (Consolidation) Act 1992

Annual Return for a Trade Union

Name of Trade Union:	National Union of Mineworkers		
Year ended:	31 December 2020		
List no:	199T		
Head or Main Office address:	Miners' Offices		
	2 Huddersfield Road		
	Barnsley		
	South Yorkshire		
Postcode	S70 2LS		
Website address (if available)	www.num.org.uk		
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:	Christian James Ronald Kitchen		
Telephone Number:	01226 215555		
Contact name for queries regarding the completion of this return	Christian James Ronald Kitchen		
Telephone Number:	01226 215555		
E-mail:	chris.kitchen@num.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	191				191
Female	8				8
Other					
Total	199				A 199

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

95

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

8

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
NEC Member		Alan Mardghum	01 June 2020

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
Nicolas Garson Wilson	President & NEC Member
Christian James Ronald Kitchen	Secretary & NEC Member
Wayne Thomas	Member, National Executive Committee (NEC)
Dennis Howard	Member, National Executive Committee (NEC)
Carl Parkinson	Member, National Executive Committee (NEC)
Alan Spencer	Member, National Executive Committee (NEC)
Alan Mardghum	Member, National Executive Committee (NEC)
Ian Lavery M.P.	Member, National Executive Committee (non voting)
Sir David Hamilton	Trustee
Nigel Kemp	Trustee
Kenneth Robert Hollingsworth MBE	Trustee & NEC Member

General Fund

(see notes 13 to 18)

	£	£
Income		
From Members: Contributions and Subscriptions		8,392
From Members: Other income from members (specify)		
Total other income from members		
Total of all income from members		8,392
Investment income (as at page 12)		263,056
Other Income		
Income from Federations and other bodies (as at page 4)		
Income from any other sources (as at page 4)	273,794	
Total of other income (as at page 4)		273,794
Total income		545,242
Interfund Transfers IN		
Expenditure		
Benefits to members (as at page 5)		39,102
Administrative expenses (as at page 10)		281,027
Federation and other bodies (specify)		
TUC		707
Other affiliations and grant & donations		494
Total expenditure Federation and other bodies		1,201
Taxation		
Total expenditure		321,330
Interfund Transfers OUT		52,241
Surplus (deficit) for year		223,912
Amount of general fund at beginning of year		2,714,020
Amount of general fund at end of year		2,885,691

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	
Memorabilia	388
NUM Superannuation Fund administration charge	25,000
Royal London Asset Management rebate	1,182
Gain on sale of investments	3,970
Change in market value of investments	10,930
Government grants including furlough payments	13,959
Court order for attachment of earnings	6,395
Court order for award of costs - IEMO dispute	211,970
Total other sources	273,794
Total of all other income	273,794

Analysis of benefit expenditure shown at the General Fund

(see notes 21 to 23)

			£
Representation – Employment Related Issues		brought forward	
		Advisory Services	
		Member benefits & surgeries	
Representation – Non Employment Related Issues		Other Cash Payments	
NUM Superannuation Fund advice		Education and Training services	
Communications		Negotiated Discount Services	
Dispute Benefits		Other Benefits and Grants (specify)	
		Superannuation benefits	11,135
		Fuel benefits	27,967
carried forward		Total (should agree with figure in General Fund)	39,102

(See notes 21 and 23)

Fund 2		Fund Account	
Name:	NUM Nottingham Area	£	£
Income			
	From members		543
	Investment income (as at page 12)		
	Other income (specify)		
	Donations and sale of memorabilia		108
	Contributions to rent of office		4,659
	Government grant including furlough payments		11,919
	Total other income as specified		16,686
	Total Income		17,229
	Interfund Transfers IN		22,300
Expenditure			
	Benefits to members		3,076
	Administrative expenses and other expenditure (as at page 10)		24,049
	Total Expenditure		27,125
	Interfund Transfers OUT		
	Surplus (Deficit) for the year		-9,896
	Amount of fund at beginning of year		1,368
	Amount of fund at the end of year (as Balance Sheet)		13,772
	Number of members contributing at end of year		4

Fund 3		Fund Account	
Name:	NUM South Derbyshire Area	£	£
Income			
	From members		
	Investment income (as at page 12)		93
	Other income (specify)		
	Total other income as specified		
	Total Income		93
	Interfund Transfers IN		
Expenditure			
	Benefits to members		
	Administrative expenses and other expenditure (as at page 10)		1,300
	Total Expenditure		1,300
	Interfund Transfers OUT		
	Surplus (Deficit) for the year		-1,207
	Amount of fund at beginning of year		29,653
	Amount of fund at the end of year (as Balance Sheet)		28,446
	Number of members contributing at end of year		

(See notes 21 and 23)

Fund 4		Fund Account	
Name:	NUM Yorkshire Area	£	£
Income			
	From members		1,184
	Investment income (as at page 12)		
	Other income (specify)		
	Recharge of administration costs to YAMHS		4,000
	Grant from Yorkshire Area Trust Fund		359,807
	Government grants including furlough payments		10,872
	Total other income as specified		374,679
	Total Income		375,863
	Interfund Transfers IN		
Expenditure			
	Benefits to members		20,767
	Administrative expenses and other expenditure (as at page 10)		355,096
	Total Expenditure		375,863
	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		95

Fund 5		Fund Account	
Name:	NUM Lancashire Area	£	£
Income			
	From members		673
	Investment income (as at page 12)		
	Other income (specify)		
	Total other income as specified		
	Total Income		673
	Interfund Transfers IN		
Expenditure			
	Benefits to members		
	Administrative expenses and other expenditure (as at page 10)		673
	Total Expenditure		673
	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		7

(See notes 21 and 23)

Fund 6		Fund Account	
Name:	NUM North East Area	£	£
Income			
	From members		962
	Investment income (as at page 12)		
	Other income (specify)		
	Transfer in		1,172
	Amount s due to Political Fund w/o on closure		12,395
		Total other income as specified	13,567
		Total Income	14,529
		Interfund Transfers IN	
Expenditure			
	Benefits to members		
	Administrative expenses and other expenditure (as at page 10)		-373
		Total Expenditure	-373
		Interfund Transfers OUT	
		Surplus (Deficit) for the year	14,902
		Amount of fund at beginning of year	-14,687
		Amount of fund at the end of year (as Balance Sheet)	215
		Number of members contributing at end of year	10

Fund 7		Fund Account	
Name:	NUM Scotland Area	£	£
Income			
	From members		577
	Investment income (as at page 12)		
	Other income (specify)		
		Total other income as specified	
		Total Income	577
		Interfund Transfers IN	29,941
Expenditure			
	Benefits to members		555
	Administrative expenses and other expenditure (as at page 10)		23,748
		Total Expenditure	24,303
		Interfund Transfers OUT	
		Surplus (Deficit) for the year	-23,726
		Amount of fund at beginning of year	22,887
		Amount of fund at the end of year (as Balance Sheet)	29,102
		Number of members contributing at end of year	7

(See notes 21 and 23)

Fund 8		Fund Account	
Name:	NUM Pension Reserve - NUM Superannuation Fund	£	£
Income			
	From members		
	Investment income (as at page 12)		
	Other income (specify)		
	Interest on pension scheme assets		640,000
	Employer contributions (£29k) & actuarial gain on scheme (£10k)		39,000
	Change in impact on asset ceiling		652,000
		Total other income as specified	1,331,000
		Total Income	1,331,000
		Interfund Transfers IN	
Expenditure			
	Benefits to members		
	Administrative expenses and other expenditure (as at page 10)		1,358,000
		Total Expenditure	1,358,000
		Interfund Transfers OUT	
		Surplus (Deficit) for the year	-27,000
		Amount of fund at beginning of year	27,000
		Amount of fund at the end of year (as Balance Sheet)	
		Number of members contributing at end of year	

Fund 9		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	1,350
		Investment income (as at page 12)	
Other income (specify)			
		Total other income as specified	
		Total income	1,350
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)		3,414
		Total expenditure	3,414
		Surplus (deficit) for year	-2,064
		Amount of political fund at beginning of year	21,785
		Amount of political fund at the end of year (as <u>Balance Sheet</u>)	19,721
		Number of members at end of year contributing to the political fund	95
		Number of members at end of the year not contributing to the political fund	104
		Number of members at end of year who have completed an exemption notice and do not contribute to the political fund	0
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	

The following pages 9i to 9vii relate to the Political Fund Account Expenditure

Political fund account expenditure (a)

Expenditure under section 72 (1) (a) of the Trade Union and Labour Relations (consolidation) Act.

To be completed where total expenditure from the political fund exceeds £2,000 during the period to which return relates.

Contribution to the funds of, or on the payment of expenses incurred directly or indirectly by a political party	
Name of political party in relation to which money was expended	Total amount spent during the period £
Total	

Political fund account expenditure (b)

Expenditure under section 72 (1) (a) of the Trade Union and Labour Relations (consolidation) Act.

To be completed where total expenditure from the political fund exceeds £2,000 during the period to which return relates

Expenditure of money on the provision of any services or property for use by or on behalf of any political party	
Name of political party to which payment was made	Total amount paid during the period
	£
Total	

Political fund account expenditure (c)

Expenditure under section 72 (1) (a) of the Trade Union and Labour Relations (consolidation) Act.

To be completed where total expenditure from the political fund exceeds £2,000 during the period to which return relates.

Expenditure in connection with the registration of electors, the candidature of any person, the selection of any candidate or the holding of any ballot by the union in connection with any election to a political office

Title and Date of election	Name of political party/organisation	Name of candidate, organisation or political party (see 33(iii))	£
		Total	

Political fund account expenditure (e)

Expenditure under section 72 (1) (a) of the Trade Union and Labour Relations (consolidation) Act.

To be completed where total expenditure from the political fund exceeds £2,000 during the period to which return relates.

The expenditure of money on the holding of any conference or meeting by or on behalf of a political party or of any other meeting the main purpose of which is the transaction of business in connection with a political party

Name of political party	£
Total	

Political fund account expenditure (f)

Expenditure under section 72 (1) (a) of the Trade Union and Labour Relations (consolidation) Act.

To be completed where total expenditure from the political fund exceeds £2,000 during the period to which return relates

On the production, publication or distribution of any literature, document, film, sound recording or advertisement the main purpose of which is to persuade people to vote for a political party or candidate or to persuade them not to vote for a political party or candidate

Name of organisation or political party	£
Total	

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	£
Campaign for Nuclear Disarmament	250
Justice for Colombia	400
Cuba Solidarity Campaign	100
Other donations less than £100 each	224

Total expenditure 974

(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	£
Labour Party - Affiliation Fee	778
Scottish Labour Party - Affiliation Fee	1,180
Welsh Labour Party - Affiliation Fee	400

Total expenditure 2,358

(c) the total amount of all other money expended	£
Bank charges	82

Total expenditure 82

Total of all expenditures 3,414

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		406,988
Salaries and Wages included in above	327,341	
Auditors' fees		18,720
Legal and Professional fees		100,561
Occupancy costs		12,256
Stationery, printing, postage, telephone, etc.		38,443
Expenses of Executive Committee (Head Office)		4,690
Expenses of conferences		3,552
Other administrative expenses (specify)		
Official duties		29,942
Deputations & travel		2,327
Miners strike anniversary, memorials & memorabilia		85
Bank charges and sundry expenses		4,347
Other Outgoings		
Depreciation - furniture & equipment		2,003
Outgoings on land and buildings (specify)		
Depreciation - land & buildings		
Other outgoings (specify)		
Grants, donations & affiliations		4,457
Utilities, light, heat & power		14,434
Rates and insurance		42,715
Pension Reserve - FRS102 costs (various)		1,358,000
Total		2,043,520
Charged to:		
	General Fund (Page 3)	281,027
	NUM Nottingham Area	24,049
	NUM South Derbyshire Area	1,300
	NUM Yorkshire Area	355,096
	NUM Lancashire Area	673
	NUM North East Area	-373
	NUM Scotland Area	23,748
	NUM Pension Reserve - NUM Superannuation Fund	1,358,000
Total		2,043,520

Analysis of officials' salaries and benefits

(see notes 36 to 46 below)

Office held	Gross Salary	Employers N.I. contributions	Benefits			Total
			Pension Contributions	Other Benefits		
				Description	Value	
£	£	£		£	£	
N G Wilson - President						
C J R Kitchen - Secretary	37,129	4,726	7,543	Travel, fuel, phone #	1,350	50,748
W Thomas - NUM South Wales ^						
K Hollingsworth - NUM COSA ^						
A Spencer - NUM Nottingham Area						
D Howard - NEC Member						
C Parkinson - NEC Member						
A Mardghum NUM North East * (from 1 June 2020)						
* appointed 1 June 2020						
^ paid by NUM Area Fund; refer to Area AR21						
# includes life assurance at annual rate of £70						

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)			19,756
Interest (gross) from:			
Government securities (Gilts)			
Mortgages			
Local Authority Bonds			
Bank and Building Societies			93
Other investment income (specify)			
Rents receivable			243,300
			263,149
		Total investment income	263,149
Credited to:			
		General Fund (Page 3)	263,056
		NUM Nottingham Area	
		NUM South Derbyshire Area	93
		NUM Yorkshire Area	
		NUM Lancashire Area	
		NUM North East Area	
		NUM Scotland Area	
		NUM Pension Reserve - NUM Superannuation Fund	
		Political Fund	
		Total Investment Funds	263,149

Balance sheet as at

31 December 2020

(see notes 49 to 52)

Previous Year		£	£
1,909,729	Fixed Assets (at page 14)		1,909,131
	Investments (as per analysis on page 15)		
10,586	Quoted (Market value £ (8,645)		8,645
793,832	Unquoted		760,673
	Total Investments		769,318
	Other Assets		
	Loans to other trade unions		
111,084	Sundry debtors		163,178
145,608	Cash at bank and in hand		318,649
	Income tax to be recovered		
	Stocks of goods		
	Others (specify)		
27,000	Pension Fund Asset		
	Total of other assets		481,827
	Total assets		3,160,276
2,714,020	General fund (page 3)		2,885,691
1,368	NUM Nottingham Area		13,772
29,653	NUM South Derbyshire Area		28,446
	NUM Yorkshire Area		
	NUM Lancashire Area		
-14,687	NUM North East Area		215
22,887	NUM Scotland Area		29,102
27,000	NUM Pension Reserve - NUM Superannuation Fund		
21,785	Political Fund Account		19,721
	Liabilities		
	Amount held on behalf of central trade union political fund		
£195,813	Sundry creditors		183,329
£195,813	Total liabilities		183,329
£2,997,839	Total assets		3,160,276

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			76,629		2,552,770	2,629,399
Additions			1,405			1,405
Disposals						
Revaluation/Transfers						
At end of year			78,034		2,552,770	2,630,804
Accumulated Depreciation						
At start of year			68,248		651,422	719,670
Charges for year			2,003			2,003
Disposals						
Revaluation/Transfers						
At end of year			70,251		651,422	721,673
Net book value at end of year						
Net book value at end of year			7,783		1,901,348	1,909,131
Net book value at end of previous year						
Net book value at end of previous year			8,381		1,901,348	1,909,729

Analysis of investments

(see notes 58 and 59)

		All Funds Except Political Funds £	Political Fund £
Quoted	Equities (e.g. Shares)		
	Barclays Bank plc	8,645	
	Government Securities (Gilts)		
	Other quoted securities (to be specified)		
	Total quoted (as Balance Sheet)	8,645	
	Market Value of Quoted Investment	8,645	
Unquoted	Equities		
	Government Securities (Gilts)		
	Mortgages		
Bank and Building Societies			
Unity Trust Bank (valued at cost)	632,000		
National Savings Bank	10,000		
Other unquoted investments (to be specified)			
Royal London Asset Management	118,673		
Total unquoted (as Balance Sheet)	760,673		
Market Value of Unquoted Investments	Not known		

Analysis of investment income (controlling interests)

(see notes 60 and 61)

<p>Does the union, or any constituent part of the union, have a controlling interest in any limited company?</p>	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)

<p>Are the shares which are controlled by the union registered in the names of the union's trustees?</p>	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 62 to 73)

	All funds except Political Funds	Political Funds £	Total Funds £
Income			
From Members	12,331	1,350	13,681
From Investments	263,149		263,149
Other Income (including increases by revaluation of assets)	2,009,726		2,009,726
Total Income	2,285,206	1,350	2,286,556
Expenditure (including decreases by revaluation of assets)			
Total Expenditure	2,108,221	3,414	2,111,635
Funds at beginning of year (including reserves)	2,780,241	21,785	2,802,026
Funds at end of year (including reserves)	2,957,226	19,721	2,976,947
Assets			
Fixed Assets			1,909,131
Investment Assets			769,318
Other Assets			481,827
		Total Assets	3,160,276
Liabilities		Total Liabilities	183,329
Net Assets (Total Assets less Total Liabilities)			2,976,947

(see notes 74 to 80)

Did the union hold any ballots in respect of industrial action during the return period?	No
If Yes How many ballots were held: <input style="width: 50px;" type="text"/>	
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"/>

Ballot 4

Number of individual who were entitled to vote in the ballot

Number of votes cast in the ballot

Number of Individuals answering "Yes" to the question 1

Number of individuals answering "No" to the question 2

Number of invalid or otherwise spoiled voting papers returned 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

Does section 226(2B) of the 1992 Act apply in relation to this ballot (see notes 76-80)?

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

Ballot 5

Number of individual who were entitled to vote in the ballot

Number of votes cast in the ballot

Number of Individuals answering "Yes" to the question 1

Number of individuals answering "No" to the question 2

Number of invalid or otherwise spoiled voting papers returned 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

Does section 226(2B) of the 1992 Act apply in relation to this ballot (see notes 76-80)?

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

Ballot 6

Number of individual who were entitled to vote in the ballot

Number of votes cast in the ballot

Number of Individuals answering "Yes" to the question 1

Number of individuals answering "No" to the question 2

Number of invalid or otherwise spoiled voting papers returned 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

Does section 226(2B) of the 1992 Act apply in relation to this ballot (see notes 76-80)?

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

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

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

No

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

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

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.

AS ATTACHED

Accounting policies

(see notes 84 and 85)

AS ATTACHED

Signatures to the annual return

(see notes 86 & 87)

Including the accounts and balance sheet contained in the return. Please copy and paste your electronic signature here

Secretary's Signature:	<i>C J Kitchen</i>	President's Signature:	<i>Nicolas Wilson</i>
			(or other official whose position should be stated)
Name:	Christian James Ronald Kitchen	Name:	Nicolas Garson Wilson
Date:	27 May 2021	Date:	27 May 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	X	No	
Has the list of officers in post been completed? (see Page 2 and Note 12)	Yes	X	No	
Has the return been signed? (see Pages 23 and 25 and Notes 86 and 95)	Yes	X	No	
Has the auditor's report been completed? (see Pages 20 and 21 and Notes 2 and 77)	Yes	X	No	
Is a rule book enclosed? (see Notes 8 and 88)	Yes		No	X
A member statement is: (see Note 80)	Enclosed	X	To follow	
Has the summary sheet been completed? (see Page 17 and Notes 7 and 62)	Yes	X	To follow	
Has the membership audit certificate been completed? (see Page i to iii and Notes 97 and 103)	Yes	X	No	

NATIONAL UNION OF MINeworkERS

General Fund

Notes

(forming part of the financial statements)

for the year ended 31 December 2020

1 **Statutory information**

The National Union of Mineworkers is a trade union registered with the Certification Office under reference number 199T. The principal address is Miners' Offices, 2 Huddersfield Road, Barnsley, South Yorkshire, S70 2LS.

The financial statements are presented in sterling which is the functional currency of the Union and rounded to the nearest pound.

2 (a) **Accounting policies**

The following accounting policies have been applied consistently in dealing with items which are considered material in relation to the Union's financial statements.

(b) **Basis of preparation**

The financial statements have been prepared in accordance with the provisions of Section 1A "small entities" of Financial Reporting Standard 102 "The Financial Reporting Standard applicable in the UK and Republic of Ireland" and the Trade Union and Labour Relations (Consolidation) Act 1992. The financial statements have been prepared under the historical cost convention, with the exception of investment properties and investments which are carried at fair value.

The financial statements summarise the transactions and net assets of the Union.

(c) **Significant Judgements and Estimates**

A significant judgement has been made in the assessment of the valuation of investment properties. The NEC considers that the current value of investment properties in the financial statements is a reasonable representation of its actual market value.

There are no key assumptions concerning the future and other key sources of estimation uncertainty at the reporting date that have had significant risk of causing material adjustment to the carrying amounts of assets and liabilities within the next financial year.

(d) **Area income and expenditure**

With the exception of Nottingham, South Derbyshire, Yorkshire, Lancashire, North East and Scotland, the financial statements do not include the funds and the income and expenditure of the Constituent Associations, as they are separately constituted Unions and prepare their own financial statements. Nottingham, South Derbyshire, Yorkshire, Lancashire, North East and Scotland are no longer Constituent Associations and are a direct part of the National Union. The net assets of these Areas are therefore incorporated in these financial statements.

NATIONAL UNION OF MINEWORKERS

General Fund

Notes

*(forming part of the financial statements)
for the year ended 31 December 2020*

(e) Contributions

In accordance with the Union's rules, Areas deduct an agreed amount before paying the remaining net contributions for the full 52 weeks to the General Fund. In accordance with Rule 31, the General Fund pays to the Political Fund the equivalent of four weeks contributions. The Political Fund in turn repays the contributions of those members who are exempt from the Political Fund.

(f) Investment income

Income from investments is included in the Income and Expenditure Account in the year in which it is receivable.

(g) Government grants including furlough payments

Grants which are received for compensation for expenses or losses which have already been incurred are recognisable in income when the grant is received or receivable.

(h) Fixed assets

Tangible fixed assets are stated at cost (or deemed cost) or valuation less accumulated depreciation and accumulated impairment losses. Cost includes costs directly attributable to making the asset capable of operating as intended.

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

Office furniture and equipment	-	10% per annum on diminishing value.
Computer and other electrical equipment	-	25% per annum on straight line basis.

The current headquarters of the National Union of Mineworkers are based in Barnsley and are owned by the National Union of Mineworkers Yorkshire Area Trust Fund.

(i) Investment Property

Holly Street investment property is included in the financial statements at net book value. This treatment does not comply with the requirements of the Financial Reporting Standard 102 (FRS102) which requires investment properties to be stated at market value. The NEC considers the current valuation of the Investment properties at 31 December 2020 to be equivalent to market value.

NATIONAL UNION OF MINeworkERS

General Fund

Notes (continued)

for the year ended 31 December 2020

(j) **Investments**

Investments are shown in the financial statements at market value, with the exception of the Unity Trust Bank shares, which are held at cost.

(k) **Deferred taxation**

Deferred tax is recognised in respect of all timing differences that have originated but not reversed at the balance sheet date where transactions or events have occurred at that date that will result in an obligation to pay more, or a right to pay less or to receive more, tax.

Deferred tax is measured on an undiscounted basis at the tax rates that are expected to apply in the periods in which timing differences reverse, based on tax rates and laws enacted or substantively enacted at the balance sheet date.

(l) **Pension costs**

Defined Benefit Pension Scheme

The cost of funding pensions is charged to the income and expenditure account on a systematic and rational basis designed to spread the cost over the useful service lives of employees.

The Union, together with associated areas, operates a funded defined benefit pension scheme for the benefit of its employees. The assets of the scheme are administered by the Trustees in a fund independent from the Union. Service costs and gains and other pension scheme finance costs and income are charged or credited to the income and expenditure account. Actuarial gains and losses are credited or charged to the statement of total recognised gains and losses in the year in which they arise.

The pension scheme figures included in the financial statements of the Union under the above policy relate to the total scheme as the National Union of Mineworkers is the principal employer and it is considered impractical and onerous to separate other individual area employer amounts. Accordingly, the pension scheme asset included in these financial statements incorporates the assets and liabilities of the other area employers.

Defined Contribution Pension Scheme

The Union also made contributions to Employees' Private Pension Schemes. The annual contributions payable are charged to the income and expenditure account.

(m) **VAT**

Income and expenditure are stated gross of value added tax.

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.

AUDIT REPORT 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

AUDIT REPORT 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)

AUDIT REPORT ATTACHED

Signature(s) of auditor or auditors:

Gibson Booth Limited

Name(s):

Gibson Booth Limited

Profession(s) or Calling(s):

Chartered Accountants

Address(es):

12 Victoria Road

Barnsley

Postcode

S70 2BB

Date

27 May 2021

Contact name for inquiries and
telephone number:

Scott Mell
01226 213131

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

NATIONAL UNION OF MINEWORKERS

Year ended 31 December 2020

Independent Auditors' Report to the members of National Union of Mineworkers

Opinion

We have audited the financial statements of National Union of Mineworkers (the 'Union') for the year ended 31 December 2020 which comprise specify the titles of the primary statements and notes to the financial statements, including 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 31 December 2020, and of its incoming resources and application of resources, including its income and expenditure, for the year then ended;
- have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice; and
- 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.

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.

Emphasis of matter – defined benefit pension scheme

In forming our opinion, which is not qualified, we have considered the adequacy of the disclosures within the Union's financial statements, and inclusion in the financial statements of the total defined benefit scheme activities and net pension asset, as the Union is principal employer. The financial statements incorporate assets and liabilities relating to the defined benefit pension scheme for the other area employers which have not been quantified due to the circumstances outlined in accounting policy note 2(I).

Conclusions relating to going concern

In auditing the financial statements, we have concluded that the officials' use of the going concern basis of accounting in the preparation of the financial statements is appropriate.

Based on the work we have performed, we have not identified any material uncertainties relating to events or conditions that, individually or collectively, may cast significant doubt on the Union's ability to continue as a going concern for a period of at least twelve months from when the financial statements are authorised for issue.

Our responsibilities and the responsibilities of the National Executive Committee with respect to going concern are described in the relevant sections of this report.

NATIONAL UNION OF MINeworkERS

Year ended 31 December 2020

Independent Auditors' Report to the members of National Union of Mineworkers (continued)

Other information

The other information comprises the information included in the National Executive Committee's annual report, other than the financial statements and our auditor's report thereon. The officials are responsible for the other information contained within the annual report. 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. 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 course of 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 this gives rise to a material misstatement in the financial statements themselves. 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.

Opinions on other matters prescribed by the Trade Union and Labour Relations (Consolidation) Act 1992

In our opinion, based on the work undertaken in the course of the audit:

- the information given in the National Executive Committees report (incorporating the strategic report and the secretary's report) for the financial year for which the financial statements are prepared is consistent with the financial statements; and
- the strategic report and the secretary's report have been prepared in accordance with applicable legal requirements.

Matters on which we are required to report by exception

In the light of the knowledge and understanding of the Union and its environment obtained in the course of the audit, we have not identified material misstatements in the National Executive Committees 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 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 directors' remuneration specified by law are not made; or
- we have not received all the information and explanations we require for our audit; or
- the Union was not entitled to prepare the financial statements in accordance with United Kingdom Generally Accepted Accounting Practice.

NATIONAL UNION OF MINeworkERS

Year ended 31 December 2020

Independent Auditors' Report to the members of National Union of Mineworkers (continued)

Responsibilities of National Union of Mineworkers

As explained more fully in the National Union's responsibilities statement set out on page 1, the National Union of Mineworkers officials 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 officials 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 officials 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 officials 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.

Irregularities, including fraud, are instances of non-compliance with laws and regulations. We design procedures in line with our responsibilities, outlined above, to detect material misstatements in respect of irregularities, including fraud. The specific procedures for this engagement and the extent to which these are capable of detecting irregularities, including fraud is detailed below:

We gained an understanding of the legal and regulatory framework applicable to the Union and the industry in which it operates, and considered the risk of acts by the Union that were contrary to applicable laws and regulations, including fraud. We design audit procedures to respond to the risk, recognising that the risk of not detecting a material misstatement due to fraud is higher than the risk of not detecting one resulting from error, as fraud may involve deliberate concealment by, for example, forgery or intentional misrepresentations, or through collusion.

We focussed on laws and regulations which could give rise to a material misstatement in the financial statements, including, but not limited to the Trade Union and Labour Relations (Consolidation) Act 1992. Our tests included agreeing the financial statement disclosures to underlying supporting documentation and enquiries with management. There are inherent limitations in the audit procedures described above and, the further removed non-compliance with laws and regulations is from the events and transactions reflected in the financial statements, the less likely we would become aware of it. We did not identify any key audit matters relating to irregularities, including fraud. As in all our audits, we also addressed the risk of management override of internal controls, including testing journals and evaluating whether there was evidence of bias by the members that represented a risk of material misstatement due to fraud.

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 Report of the Auditors.

NATIONAL UNION OF MINEWORKERS

Year ended 31 December 2020

Independent Auditors' Report to the members of National Union of Mineworkers (continued)

Because of the inherent limitations of an audit, there is a risk that we will not detect all irregularities, including those leading to a material misstatement in the financial statements or non-compliance with regulation. This risk increases the more that compliance with a law or regulation is removed from the events and transactions reflected in the financial statements, as we will be less likely to become aware of instances of non-compliance. The risk is also greater regarding irregularities occurring due to fraud rather than error, as fraud involves intentional concealment, forgery, collusion, omission or misrepresentation.

A further description of our responsibilities is available 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-auditors-responsibilities-for-audit.aspx>. This description forms part of our auditor's report.

Use of our report

This report is made solely to the Union's members, as a body, in accordance with the Trade Union and Labour Relations (Consolidation) Act 1992. 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 members as a body, for our audit work, for this report, or for the opinions we have formed.

Gibson Booth Limited

Gibson Booth Limited
Chartered Accountants
Statutory Auditor
12 Victoria Road
Barnsley
South Yorkshire
S70 2BB

27 May 2021

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?

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?
- 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)

Signature of assurer	
Name	
Address	
Date	
Contact name and telephone number	

Membership audit certificate

Section two

For a trade union with no **more than 10,000 members** at the end of the reporting period preceding the one to which this audit relates.

To the best of your knowledge and belief has the trade union during this reporting period complied with its duty to compile and maintain a register of the names and addresses of its members and secured, so far as is reasonably practicable, that the entries in the register are accurate and up-to-date?

YES

If "No" Please explain below:

Signature	<i>C J Kitchen</i>
Name	Christian James Ronald Kitchen
Office held	General Secretary
Date	27 May 2021