

Form AR21

Trade Union and Labour Relations (Consolidation) Act 1992

Annual Return for a Trade Union

| | | | | | |
|--|--|--------------------------|----|-------------------------------------|--------------------------|
| Name of Trade Union: | Regional Union of Mineworkers (General Office and Staff Area) Region No 4 | | | | |
| Year ended: | 31 December 2020 | | | | |
| List no: | 205 | | | | |
| Head or Main Office address: | 2 Huddersfield Road | | | | |
| | Barnsley | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| Postcode | S70 2LS | | | | |
| Website address (if available) | | | | | |
| 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: | Ken Hollingsworth | | | | |
| Telephone Number: | 0115 9617274 | | | | |
| Contact name for queries regarding the completion of this return | Alistair Allcock | | | | |
| Telephone Number: | 0115 9608412 | | | | |
| E-mail: | ali@rogers-spencer.co.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 | 20 | | | | 20 |
| Female | | | | | |
| Other | | | | | |
| Total | 20 | | | | A 20 |

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

| |
|----|
| 20 |
|----|

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

| |
|--|
| |
|--|

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 |
|---------------|---|------------------------------|----------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

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 |
|-------------------|---------------|
| Ken Hollingsworth | |
| Pat Brown | |
| | |
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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 | |
| | |
| Total other sources | |
| Total of all other income | |

Analysis of benefit expenditure shown at the General Fund

(see notes 21 to 23)

| | | | £ |
|---|--|---|---|
| Representation – Employment Related Issues | | brought forward | |
| | | Advisory Services | |
| | | | |
| Representation – Non Employment Related Issues | | Other Cash Payments | |
| | | | |
| | | Education and Training services | |
| | | | |
| Communications | | | |
| | | | |
| | | Negotiated Discount Services | |
| | | | |
| Dispute Benefits | | | |
| | | Other Benefits and Grants (specify) | |
| | | | |
| carried forward | | Total (should agree with figure in General Fund) | |

(See notes 21 and 23)

| Fund 2 | | 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 | | |

| Fund 3 | | 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 | | |

(See notes 21 and 23)

| Fund 4 | | 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 | | |

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

(See notes 21 and 23)

| Fund 6 | | 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 | | |

| Fund 7 | | 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 | | |

(See notes 21 and 23)

| Fund 8 | | 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 | | |

| 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 | | |

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

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

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

Total expenditure

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

Total expenditure

| (c) the total amount of all other money expended | £ |
|--|---|
| | |
| | |
| | |
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| | |
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| | |
| | |
| | |

Total expenditure

Total of all expenditures

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 | | | | | | |
| Additions | | | | | | |
| Disposals | | | | | | |
| Revaluation/Transfers | | | | | | |
| At end of year | | | | | | |
| Accumulated Depreciation | | | | | | |
| At start of year | | | | | | |
| Charges for year | | | | | | |
| Disposals | | | | | | |
| Revaluation/Transfers | | | | | | |
| At end of year | | | | | | |
| Net book value at end of year | | | | | | |
| Net book value at end of year | | | | | | |
| Net book value at end of previous year | | | | | | |
| Net book value at end of previous year | | | | | | |

Analysis of investments

(see notes 58 and 59)

| 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 | | |

Summary sheet

(see notes 62 to 73)

| | All funds except Political Funds | Political Funds £ | Total Funds £ |
|---|-------------------------------------|--------------------------|---------------------|
| Income | | | |
| From Members | 4,616 | | 4,616 |
| From Investments | 4 | | 4 |
| Other Income (including increases by revaluation of assets) | | | |
| Total Income | 4,620 | | 4,620 |
| Expenditure (including decreases by revaluation of assets) | | | |
| Total Expenditure | 11,729 | | 11,729 |
| Funds at beginning of year (including reserves) | 15,235 | | 15,235 |
| Funds at end of year (including reserves) | 8,126 | | 8,126 |
| Assets | | | |
| Fixed Assets | | | |
| Investment Assets | | | |
| Other Assets | | | 50,515 |
| | | Total Assets | 50,515 |
| Liabilities | | Total Liabilities | 42,389 |
| Net Assets (Total Assets less Total Liabilities) | | | 8,126 |

Summary sheet

(see notes 62 to 73)

| | All funds except Political Funds £ | Political Funds £ | Total Funds £ |
|---|--|--------------------------|---------------------|
| Income | | | |
| From Members | | | |
| From Investments | | | |
| Other Income (including increases by revaluation of assets) | | | |
| Total Income | | | |
| Expenditure (including decreases by revaluation of assets) | | | |
| Total Expenditure | | | |
| Funds at beginning of year (including reserves) | | | |
| Funds at end of year (including reserves) | | | |
| Assets | | | |
| Fixed Assets | | | |
| Investment Assets | | | |
| Other Assets | | | |
| | | Total Assets | |
| Liabilities | | Total Liabilities | |
| Net Assets (Total Assets less Total Liabilities) | | | |

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

(see notes 74 to 80)

| | |
|---|--|
| Did the union hold any ballots in respect of industrial action during the return period? | 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"/> |

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

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

(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.

Checklist for auditor's report

(see notes 90 and 96)

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

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

Please explain in your report overleaf or attached.

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

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

Please explain in your report overleaf or attached

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

In our opinion the financial statements:

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

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 reportign period proceding 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 inforamation 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 | |
| Address | |
| Date | |
| Contact name and telephone number | |

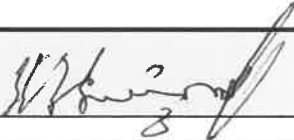
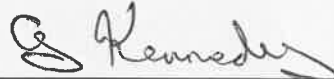
Accounting policies

(see notes 84 and 85)

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:  | Chairman's Signature:  |
| | (or other official whose position should be stated) |
| Name: Ken Hollingsworth | Name: George Kennedy |
| Date: 30/07/21 | Date: 30/07/21 |

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

Auditor's report (continued)

[Large empty rectangular area for auditor's report content]

Signature(s) of auditor or auditors:

A Allcock

[Empty box]

Name(s):

Rogers Spencer Limited

[Empty box]

Profession(s) or Calling(s):

[Empty box]

[Empty box]

Address(es):

Newstead House

Pelham Road

[Empty box]

[Empty box]

Postcode

NG5 1AP

Date

30/07/21

Contact name for inquiries and telephone number:

Alistair Allcock 0115 9608412

[Large empty rectangular area for additional information]

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

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 |  |
| Name | Alistair Allcock |
| Office held | Accountant |
| Date | 30-Jul-21 |

**National Union of Mineworkers
(Colliery Officials and Staffs Area)
Region No. 4**

**Financial Statements
for the year ended 31 December 2020**

National Union of Mineworkers (Colliery Officials and Staffs Area) Region No. 4

Company Information

| | |
|------------------|---|
| Auditors | Rogers Spencer Newstead House Pelham Road Nottingham NG5 1AP |
| Business Address | 2 Huddersfield Road Barnsley S70 2LS |
| Bankers | National Westminster Bank Plc Portland Square Sutton in Ashfield Nottinghamshire NG17 1AS |

National Union of Mineworkers (Colliery Officials and Staffs Area) Region No. 4


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| Income and Expenditure Account | 4 |
| Analysis of Income and Expenditure Account | 5 |
| Balance Sheet | 6 |
| Notes to the Financial Statements | 7 - 8 |

Statement of Committee's Responsibilities

Trade Union legislation requires the committee to prepare financial statements for each financial year which give a true and fair view of the state of affairs of the Union at the end of the financial year and the income and expenditure of the Union for the year ended on that date. In preparing those financial statements suitable accounting policies have been used, framed, to the best of the committee's knowledge and belief, by reference to reasonable and prudent judgements and estimates and applied consistently. Applicable accounting standards have been followed. The committee is also required to indicate where the financial statements are prepared other than on the basis that the Union is a going concern.

The committee is responsible for ensuring that arrangements are made for keeping proper books of account with respect to the Union's transactions and its assets and liabilities and for maintaining a satisfactory system of control over the Union's books of account and transactions. The committee is also responsible for ensuring that arrangements are made to safeguard the assets of the Union and hence for taking reasonable steps for the prevention and detection of fraud and other irregularities.



By order of the committee



National Union of Mineworkers (Colliery Officials and Staffs Area) Region No 4

Independent Auditor's Report to the Members of the National Union of Mineworkers (Colliery Officials and Staffs Area) Region No 4

Opinion

We have audited the financial statements of the National Union of Mineworkers (Colliery Officials and Staffs Area) Region No 4 (the 'society') for the year ended 31 December 2020 which comprise the income and expenditure account, 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).

In our opinion the financial statements:

- give a true and fair view of the state of the society's affairs as at 31 December 2020 and of 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 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 society 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 the provisions available for small entities, in the circumstances set out in note 6 to the financial statements, 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 committee of management's use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the committee of management has not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the society'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.

Matters on which we are required to report by exception

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

- proper books of account have not been kept by the society in accordance with the requirements of the legislation; or
- a satisfactory system of control over transactions has not been maintained by the society in accordance with the requirements of the legislation; or
- the revenue account or the other accounts (if any) to which our report relates, and the balance sheet are not in agreement with the books of account of the society; or
- we have not obtained all the information and explanations necessary for the purposes of our audit.

National Union of Mineworkers (Colliery Officials and Staffs Area) Region No 4

Independent Auditor's Report to the Members of the National Union of Mineworkers (Colliery Officials and Staffs Area) Region No 4) (continued)

Responsibilities of the committee of management

As explained more fully in the committee of management's responsibilities statement set out on page 1, the committee of management is 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 it determines 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 committee of management is responsible for assessing the society'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 committee of management either intends to liquidate the society or to cease operations, or has 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 extent to which our procedures are capable of detecting irregularities, including fraud, is detailed below:

- Ensuring that the Audit Team had the appropriate competence and capabilities to identify or recognise non-compliance with laws and regulations, with specific susceptible areas having been outlined at the planning stage.
- Enquiry of management and those charged with governance around actual and potential litigation and claims and fraudulent transactions.
- Reviewing the structure and content of the financial statement disclosures and testing to supporting documentation to assess compliance with applicable laws and regulations.
- Auditing the risk of management override of controls, including through testing journal entries and other adjustments for appropriateness.

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

Use of our report

This report is made solely to the society'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 society'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 society and the society's members as a body, for our audit work, for this report, or for the opinions we have formed.



Date

30/07/21

Alistair Allcock (FCA) – Senior Statutory Auditor

For and on behalf of Rogers Spencer

Chartered Certified Accountants

National Union of Mineworkers (Colliery Officials and Staffs Area) Region No. 4

Income and Expenditure Account
for the year ended 31 December 2020

| | 2020 | | 2019 | |
|---------------------------------|-------------------|-----------------------|-------------------|------------------------|
| | £ | £ | £ | £ |
| Income | | 4,620 | | 4,201 |
| Expenditure | | | | |
| National expenditure | 1,927 | | 2,072 | |
| Management expenses | 9,802 | | 22,830 | |
| | <u> </u> | 11,729 | <u> </u> | 24,902 |
| Net deficit for the year | | <u><u>(7,109)</u></u> | | <u><u>(20,701)</u></u> |

Continuing operations

None of the Union's activities were acquired or discontinued during the above two financial years.

Total recognised gains and losses

The Union has no recognised gains and losses.

The notes on pages 7 to 8 form an integral part of these financial statements.

National Union of Mineworkers (Colliery Officials and Staffs Area) Region No. 4

**Analysis of Income and Expenditure Account
for the year ended 31 December 2020**

| | 2020 | 2019 |
|--|--------------|---------------|
| | £ | £ |
| Income | | |
| Contributions receivable ²⁸ | 4,616 | 4,193 |
| Bank interest | 4 | 8 |
| | <u>4,620</u> | <u>4,201</u> |
| | | |
| National Expenditure | | |
| Contributions to NUM | 1,927 | 2,072 |
| | | |
| Management Expenses | | |
| Salaries and national insurance | 5,854 | 14,461 |
| Stationery, postage and telephone | 1,015 | 1,191 |
| Motor and travelling expenses | 815 | 1,848 |
| Negotiations, deputations, hospitality & delegates | 308 | 1,006 |
| Audit and accountancy | 1,530 | 4,000 |
| Legal and professional fees | - | - |
| Bank charges and interest | - | 4 |
| Sundry expenses | 280 | 320 |
| | <u>9,802</u> | <u>22,830</u> |

The notes on pages 7 to 8 form an integral part of these financial statements.

National Union of Mineworkers (Colliery Officials and Staffs Area) Region No. 4

Balance Sheet
as at 31 December 2020

| | Notes | 2020 | | 2019 | |
|---|-------|-----------------|--------------|-----------------|---------------|
| | | £ | £ | £ | £ |
| Current Assets | | | | | |
| Debtors | 2 | 39,982 | | 56,276 | |
| Cash at bank and in hand | | 10,533 | | 6,322 | |
| | | <u>50,515</u> | | <u>62,598</u> | |
| Creditors: amounts falling due within one year | 3 | <u>(42,389)</u> | | <u>(47,363)</u> | |
| Net Current Assets | | | 8,126 | | 15,235 |
| Total Assets Less Current Liabilities | | | <u>8,126</u> | | <u>15,235</u> |
| Accumulated Surplus | | | | | |
| Balance at 1 January | | | 15,235 | | 35,936 |
| Deficit for the year | | | (7,109) | | (20,701) |
| Shareholders' Funds | | | <u>8,126</u> | | <u>15,235</u> |

The financial statements were approved by the Committee on

and signed on its behalf by

K R Hollingsworth



G Kennedy



The notes on pages 7 to 8 form an integral part of these financial statements.

National Union of Mineworkers (COSA) Region Number 4

Notes to the Financial Statements
for the year ended 31 December 2020

1. Accounting Policies

1.1. Accounting convention

The financial statements are prepared under the historical cost basis of accounting.

1.2. Tangible fixed assets and depreciation

All the tangible fixed assets have now been fully depreciated leaving a zero net book value.

2. Debtors

| | 2020 | 2019 |
|--------------------------------|---------------|---------------|
| | £ | £ |
| Contributions receivable | - | 718 |
| Other debtors | 39,587 | 55,059 |
| Prepayments and accrued income | 395 | 499 |
| | <u>39,982</u> | <u>56,276</u> |

3. Creditors: amounts falling due within one year

| | 2020 | 2019 |
|------------------------------|---------------|---------------|
| | £ | £ |
| Wages and salaries | 40,819 | 40,819 |
| Other creditors | 320 | 3,344 |
| Accruals and deferred income | 1,250 | 3,200 |
| | <u>42,389</u> | <u>47,363</u> |

National Union of Mineworkers (COSA) Region Number 4

Notes to the Financial Statements for the year ended 31 December 2020

4. Related party transactions

NUM (COSA) Region No. 4 is run on a day to day basis by the Secretary, Mr K Hollingsworth. Mr Hollingsworth is also responsible for the day to day running of the Midland Counties Colliery Officials and Staffs Friendly Society.

At 31st December 2020 £39,587 (2019: £55,059) was owed to Region No. 4 by the Friendly Society.

During early 2018 the Friendly Society was wound up and all reserves distributed to the members. The remaining balance owed to NUM (COSA) Region No. 4 is being held in a separate bank account and transferred as necessary.

The National Union of Mineworkers (Colliery Officials & Staffs Area) is managed on a day to day basis by NUM (COSA) Region No. 4. No transactions have taken place during the year between the two parties.

5. Auditors' Ethical Standards

The relevant circumstances requiring disclosure in accordance with the requirements of APB Ethical Standard - Provisions available for Small Entities are:

In common with many organisations of our size and nature we use our auditors to assist with the preparation of the financial statements.