

**CERTIFICATION OFFICE
FOR TRADE UNIONS AND EMPLOYERS' ASSOCIATIONS**

**Annual Report
of the Certification Officer
1998**

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I am required by the Trade Union and Labour Relations (Consolidation) Act 1992 to submit to you both a report on my activities as Certification Officer during the previous calendar year. I have pleasure in submitting such a report for 1998.

E G WHYBREW
Certification Officer
4 February 1999

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Introduction

This report deals with my activities during the calendar year 1998. It is the twenty third Annual Report to be published since the post of Certification Officer was established in 1975. My functions are contained in the Trade Union and Labour Relations (Consolidation) Act 1992 (as amended) (referred to in this report as "the 1992 Act" or "the Act"). They include responsibility:

under Part I, Chapter I - for maintaining a list of trade unions, and for determining the independence of trade unions;

under Part I, Chapter III - for dealing with complaints by members that a trade union has failed to maintain an accurate register of members; for seeing that trade unions keep proper accounting records, have their accounts properly audited and submit annual returns; for the investigation of the financial affairs of trade unions, and for ensuring that the statutory requirements concerning the actuarial examination of members' superannuation schemes are observed;

under Part I, Chapter IV - for dealing with complaints by members that a trade union has failed to comply with one or more of the provisions of the Act requiring a trade union to hold secret postal ballots for electing members of its executive committee, president and general secretary;

under Part I, Chapter VI - for ensuring observance of the statutory procedures governing the setting up, operation and review of political funds; and for dealing with complaints about breaches of political fund rules or about the conduct of political fund ballots;

under Part I, Chapter VII - for seeing that the statutory procedures for amalgamations, transfers of engagements and changes of name are complied with, and for dealing with complaints by members about the conduct of merger ballots;

under Part II - for maintaining a list of employers' associations; for ensuring that the statutory requirements concerning accounting records, auditors, annual returns, financial affairs, political funds and the statutory procedures for amalgamations and transfers of engagements in respect of employers' associations are complied with.

These functions are discussed in the following chapters.

The high volume of work arising on complaints by trade union members noted in my last report continued during the year resulting in the issue of thirteen decisions in 1998. The appeals to the Employment Appeal Tribunal arising from my decisions in respect of a series of complaints concerning a proposed merger were heard and, following the fulfilling of an undertaking given to the Employment Appeal Tribunal by one of the unions, the merger was duly registered. Whilst there was

a slight fall in the number of cases concerning the financial affairs of trade unions, I published the final report of the first inspector appointed under my powers to investigate a trade union. Following the successful prosecution of one trade union for failure to submit annual returns, I subsequently appointed inspectors to investigate the financial affairs of that union.

In making investigations into members complaints it is often necessary to consider the trade union's rule book. It is evident in some instances that the printed version of the rules is neither current, consistent with the law nor consistent within itself. It is clearly desirable that rule books available for members' use should be current and in a clear and consistent format. It is not satisfactory for members when rule books are not and, given the proposals in the Fairness at Work White Paper to extend my powers to deal with breach of rule complaints, such circumstances may well add unnecessary complications to the determination of these complaints. Trade unions contemplating a merger are also likely to encounter difficulties and delays if they do not have an up-to-date rule book.

Whilst the ballot refund scheme closed in March 1996 there remained, at the end of 1997, outstanding refund claims in respect of 61 industrial action ballots where industrial action was continuing. During the year I approved payments amounting to £2,722 in respect of 52 ballots. A payment of £10 was made to the Manufacturing Science and Finance Union in respect of one ballot, the remaining £2,712 in respect of the other ballots being paid to the National Association of Teachers in Further and Higher Education. By the end of the year £52,303 remained outstanding in respect of nine industrial action ballot refund applications submitted by four unions and where industrial action was ongoing. The scheme does not permit the refund of any costs until any industrial action arising from a ballot has ended.

The Advisory, Conciliation and Arbitration Service is responsible for providing me with the finance and support services necessary for the performance of my statutory duties but this in no way affects the exercise of my functions independently both of the Service and of the Secretary of State. The Office continued to receive professional advice on superannuation matters from the Government Actuary's Department.

Mr G S Osborne and Mr J L J Craig, WS, continued to hold their appointments as Assistant Certification Officer and Assistant Certification Officer for Scotland respectively. In December 1998 there were nine staff in post in the Certification Office. The development and training of staff to ensure that I am able to meet my statutory responsibilities is given a high priority and a range of developmental activities were undertaken during the year. The Office has adopted fully the principles of the Code of Practice on Access to Government Information.

Accounts of the Office prepared under section 258 of the 1992 Act are published separately by order of the House of Commons. In broad terms it is estimated that about 68% of the Office's resources were allocated to work connected with annual returns from trade unions and employers' associations, and the maintenance of the lists of trade unions and employers' associations; 18% to work arising

from trade union mergers; and the remainder to other matters including trade union election complaints, political funds and trade union finances.

The statutory fees to be paid for certain items of work undertaken by the Office are reviewed annually and any increase normally becomes effective from 1 April. During 1998 there was no increase in the fees.

The net cost of the Office for the year ended 31 March 1998 was £482,000. My salary as Certification Officer at 31 March 1998 was £38,190 for a three day week. This sum is pensionable at an additional cost to the public purse of £6,683 and it is taxed under PAYE.

Where it is necessary to hold a hearing to determine a complaint, the Certification Officer can make payment towards the expenses incurred by the complainant and a friend in attending the hearing. During 1998 such payments amounted to £774.20. Assistance with legal costs is not available.

Advice and contacts for information

The Office receives many enquiries and requests for guidance from trade unions, employers' associations and their members. Often we can help but there are constraints on the advice that can be given. It is for example inappropriate (unless the law requires it) to give guidance on, or prior approval to, a specific course of action in those areas where complaints can be made to me by an individual member. Where a complaint is made, I have to investigate it and decide it completely impartially on the facts of the case and in the light of the representations made by the parties concerned. I and my staff have to avoid giving advice which might seem in any way to prejudice that impartiality. That said the Office is happy to assist where it can and guidance booklets covering different aspects of the Certification Officer's responsibilities are available free of charge. They are listed in Appendix 10 and requests for further information on any aspect of the Certification Officer's duties should be made to the Certification Office, Brandon House, 180 Borough High Street, London, SE1 1LW, tel: 0171-210-3734.

E G WHYBREW

Lists of Trade Unions and Employers' Associations

Any trade union or employers' association may apply to have its name included in the public lists maintained by the Certification Officer. This Chapter sets out the background to that process and gives the numbers on the lists at the end of 1998 and the changes that have occurred during the year. The lists are set out in full in Appendices 1 and 2.

Entry in the lists and its significance

- 1.1 The Certification Officer maintains a list of trade unions and a list of employers' associations in accordance with the provisions of sections 2-4 and sections 123-125 of the 1992 Act.
- 1.2 Listing is voluntary and any organisation of workers or of employers may apply to be listed. (See Appendix 9 for statutory fee). If the Certification Officer is satisfied that the organisation falls within the appropriate definition in the 1992 Act (reproduced in full in the 1997 report paragraphs 1.13 and 1.14) he must enter its name in the relevant list. Entry in the list is usually a simple process and means no more than that the body concerned satisfies the statutory definition. The Act does not impose any test of size or effectiveness.
- 1.3 Any organisation aggrieved by the refusal of the Certification Officer to enter its name in the relevant list may appeal to the Employment Appeal Tribunal.
- 1.4 For trade unions, listing is an essential preliminary to any application for a certificate of independence under section 6 of the 1992 Act. It is also one of the requirements for obtaining tax relief in respect of expenditure on provident benefits. There are no corresponding advantages for employers' associations.
- 1.5 The current lists are available for inspection free of charge at the Certification Office, Brandon House, 180 Borough High Street, London SE1 1LW. The lists for organisations having their

head office in Scotland are also available for inspection at the office of the Assistant Certification Officer for Scotland, 58 Frederick Street, Edinburgh EH2 ILN.

Removal from the lists

- 1.6 If at any time it appears to the Certification Officer that an organisation whose name is entered on the relevant list is not a trade union or an employers' association he may, after giving the organisation concerned the opportunity to make representations, remove its name from that list. There is a right of appeal to the Employment Appeal Tribunal against removal of a name from a list. The Certification Officer must also remove the name of an organisation from the list if he is satisfied that it no longer exists or if the organisation requests that he should do so.
- 1.7 The table below gives the names of the trade unions and employers' associations removed from the lists during 1998. * Denotes those who ceased to exist as a result of mergers. The others were dissolved or deemed no longer to be trade unions or employers' associations.

Trade Unions; England and Wales

*Amalgamated Association of Beamers Twisters and Drawers (Hand and Machine)

*Civil and Public Services Association

*Clerical Medical Staff Association

*Communication Managers Association

Federation of Professional Organisations (PT "A" Whitley Council)

*Gas Managers Association

Guild of Textile Supervisors

National Union of Mineworkers (Northumberland Mechanics Group No 1 Area)

National Union of Mineworkers (Warwickshire District Midlands Area)

Northern Colliery Officials and Staffs Association

*Public Services Tax and Commerce Union

Skipton and District Power-Loom Overlookers Association

Employers' Associations; England and Wales

British Ready Mixed Concrete Association

National Association of Glove Manufacturers

Representative National Organisation of Employers of New Towns Staff

The lists at 31 December 1998

- 1.8 As required by sections 2 and 123 of the 1992 Act this report includes the lists as at 31 December 1998. They are reproduced as Appendices 1 and 2. The lists at the end of 1998 comprised 224 trade unions and 106 employers' associations.

Unlisted organisations

- 1.9 Because entry in the lists is voluntary it is difficult to say precisely how many trade unions and employers' associations are in existence at any given time. In addition to the numbers of listed organisations given in paragraph 1.8, at the end of the year there were 23 trade unions and 101 employers' associations which had not sought to be listed. There may be others meeting the statutory definition of which the Office is unaware. Being unlisted does not limit an organisation's statutory responsibilities, and returns from unlisted bodies are available for inspection along with those of listed organisations. Those organisations known to the Office but who have not applied to be included in the lists of trade unions or employers' associations are given at Appendices 1a and 2a respectively.

1.10 During the year the Office approached 11 organisations which it was thought might be trade unions or employers' associations but of which it was previously unaware. In two case, returns are now expected. In three cases, enquires continue.

Trade Union Independence

A trade union which is on the list of trade unions may apply for a certificate of independence. Chapter 2 discusses independence and explains how such applications are dealt with and their outcome.

The statutory provisions

2.1 Section 5 of the 1992 Act defines an independent trade union as:

"... a trade union which -

(a) is not under the domination or control of an employer or a group of employers or of one or more employers' associations; and

(b) is not liable to interference by an employer or any such group or association (arising out of the provision of financial or material support or by any other means whatsoever) tending towards such control".¹

2.2 The procedure for determining the independence of trade unions is laid down in section 6 of the 1992 Act. A union must be listed - see Chapter 1 - before it can apply for a certificate of independence. (See Appendix 9 for statutory fee). The Certification Officer must keep a public record of all applications for such certificates and of all decisions reached. He may not take a decision on any application until at least one month after it has been entered in the record; notification is published in the London Gazette or Scottish Gazette as appropriate. He must take into account any relevant information submitted by third parties. He is required to give his

¹ In *Squibb UK Staff Association v Certification Officer* ([1979] 2 All ER 452, [1979] IRLR 75, CA) it was held that the word "liable" in this context should be interpreted as implying "vulnerability to interference" rather than "likelihood of interference".

reasons if he refuses a certificate of independence and the union concerned has a right of appeal to the Employment Appeal Tribunal.

- 2.3 The Certification Officer may withdraw a certificate at any time if he is of the opinion that the trade union concerned is no longer independent. As in the case of a refusal, a trade union aggrieved by a decision to withdraw its certificate has a right of appeal to the Employment Appeal Tribunal.
- 2.4 Where a question as to the independence of a particular union arises in proceedings before the courts, employment tribunals, Central Arbitration Committee or certain other bodies, and no certificate has been issued or refused, the Act provides that the proceedings may not continue further until that question has been decided by the Certification Officer.

Criteria

- 2.5 The principal criteria used by the Certification Officer in determining whether or not an applicant union satisfies the statutory definition are explained in the Office's booklet *Guidance for trade unions wishing to apply for a certificate of independence* under the following headings: History, Membership Base, Organisation and Structure, Finance, Employer-provided Facilities and Negotiating Record. Copies of the booklet are available on request from the Certification Office. The Certification Officer is required by statute to disregard certain criteria in respect of prison service unions. He reaches his decision on the basis of the criteria as a whole and in doing so he is strictly bound by the statutory definition. He is not empowered to take into account other considerations such as the effect the issue of a certificate might have on industrial relations.

Applications

- 2.6 One application for a certificate of independence was received in 1998. It was from the Public and Commercial Services Union.

Decisions

- 2.7 During the year one certificate of independence was issued. This was to the Public and Commercial Services Union - a new union formed in 1998 following an amalgamation where each of the unions involved had held a certificate of independence prior to the date of the merger.
- 2.8 Ten certificates were cancelled because the unions concerned had ceased to exist. Mergers accounted for five of these cancellations. Details are given in Appendix 3.

Annual Returns and Accounts

The requirements for trade unions and employers' associations to keep proper accounting records and to submit annual returns to the Certification Officer are set out in this Chapter. It also deals with the provisions relating to the investigation of the financial affairs of trade unions and employers' associations.

The statutory provisions

- 3.1 Sections 28 and 131 of the 1992 Act provide respectively that every trade union and every employers' association (except those which consist wholly or mainly of representatives of constituent or affiliated Organisations) must keep proper accounting records in respect of its transactions, assets and liabilities. It must establish and maintain a satisfactory system of control of its accounting records, its cash holdings and all its receipts and remittances. The accounting records kept must be such as are necessary to give a true and fair view of the state of affairs of the Organisation and to explain its transactions.

- 3.2 Under sections 32 and 131 of the Act such an Organisation (unless it has been in existence for less than 12 months) is also required to submit an annual return to the Certification Officer in the form prescribed. The return is to include revenue and other accounts and a balance sheet, which must give a true and fair view of the matters to which they relate. Any changes in the Organisation's officers or in the address of its head office, must be shown on the return and it must be accompanied by a copy of the rules in force at the end of the period covered by the return. All funds maintained for trade union and employers' association purposes must be included in the return made to the Certification Officer.

- 3.3 Organisations which consist wholly or mainly of constituent or affiliated organisations or representatives of such organisations, are referred to within the Act as "Federated" trade unions or employers' associations and are described fully within sections 118 and 135 of the Act. Such organisations which consist wholly or mainly of representatives of constituent or affiliated

organisations are exempted from several provisions of the Act, including the duty to supply a copy of the rules; duty to keep accounting records and to submit annual returns. There are five trade unions that come into this category; they are indicated in appendices 1 and 1a.

- 3.4 It is not for the Certification Officer to decide whether an Organisation is viable but it is his responsibility to ensure that clear accounts covering all funds administered by the Organisation are available for public inspection.
- 3.5 The Act requires trade unions and employers' associations to submit before 1 June each year a return of its financial affairs covering the year ending the preceding 31 December. However, the Certification Officer may direct that the return is to relate to a different annual period, and this is usually done if the normal timetable would cause serious inconvenience to the Organisation concerned.
- 3.6 The annual return must include a copy of the auditor's report on the accounts. Under section 34 of the Act a person is qualified to act as auditor to a trade union or employers' association if he is eligible for appointment as a company auditor under section 25 of the Companies Act 1989. Section 37 of the 1992 Act sets out the rights of auditors including access to information and the entitlement to attend and speak at general meetings of the Organisation.
- 3.7 A trade union (other than a special register body as described in Chapter 1 of the 1997 report, paras 1.9 - 1.11) or an employers' association may use auditors who are not eligible for appointment under the Companies Act 1989 provided its receipts and payments do not in aggregate exceed £5,000, the value of its assets is less than £5,000 and it has less than 500 members. If any of these conditions is not satisfied it must use Companies Act auditors.
- 3.8 The auditor must state whether, in his opinion, the accounts give a true and fair view of the matters to which they relate. He has a duty to carry out such investigations as will enable him to form an opinion on whether proper accounting records have been kept, whether a

satisfactory system of control has been maintained and whether the accounts are in agreement with the accounting records. If, in his opinion, the statutory requirements have not been satisfied, or he fails to obtain all the necessary information and explanations, he must say so in his report, by way of qualification.

3.9 Of all the returns received by the Office, 3.2% were qualified by the auditors. Of those returns which were qualified, most were of a minor, technical nature and appropriate action has been taken to ensure such qualifications are not required in the future. Three qualifications received were of some concern, two on trade union returns and the other on an employers' association return. One of the audit qualifications on the trade union return related to an outstanding court order, which if enforced the trade union would have insufficient funds to meet the debt. The other qualification related to the union's failure to keep proper accounting records and action taken by the officials of this trade union in light of the qualification is being considered by the Certification Officer. The employers' association concerned had its audit qualification added as a result of 'unapproved payments made from company funds'. The employers' association has handed this matter over to the police. The remaining qualifications fall into two categories. The first category relates to returns not complying with the statement of standard accounting practice which requires pension costs to be accounted for on an accruals basis. However, as full details showing what effect compliance would have had on the accounts were given in the notes to those accounts and, as in previous years, these qualifications had been fully reviewed by the Office, the Certification Officer took no further action in the case of these qualified returns. The second category arose as a result of the action taken by the Certification Officer the previous year (see Chapter 3 para 3.11 of the 1997 report) reminding unions that branch funds should be accounted for within the annual return. The Certification Officer has sought to obtain assurances that appropriate action will be taken to ensure such qualifications are not placed on future returns.

3.10 Provided the period covered is the same and there is no significant diminution in the degree of disclosure, a special register body (see Chapter 1 of the 1997 report, paras 1.9 to 1.11) or an

employers' association incorporated under the Companies Acts may submit with its return, in lieu of the prescribed accounts, a copy of its accounts prepared under the Companies Acts and so avoid the duplication of broadly similar financial statements. In such circumstances, however, and notwithstanding anything in the Companies Acts, an auditor's report is still required to be made and this report must comply with the requirements of the 1992 Act.

- 3.11 With the exceptions already noted, the duties imposed by sections 28, 32 and 131 of the Act apply to all trade unions and employers' associations, whether listed under sections 2 or 123 or not. Refusal or wilful neglect to perform any of them is an offence for which the Organisation concerned may be prosecuted and fined. The Certification Officer is responsible for enforcing these provisions, but does not generally undertake prosecutions for offences such as theft or fraud which would normally be dealt with by other prosecuting authorities. However, the Certification Officer is able to appoint inspectors to investigate allegations of financial irregularities in the affairs of a trade union or employers' association.

Late submission of returns

- 3.12 The 1992 Act requires an Organisation to submit an annual return to the Certification Officer within five months of the year end (para 3.5). In 1998 approximately 12% of returns were submitted more than two months late; however by the end of the year 98.9% had been received. The annual returns due by June 1998 for the following trade unions and employers' associations were still outstanding at the end of the year.

Trade unions

Leicestershire Overmen Deputies and Shotfirers Association
National Association of Colliery Overmen, Deputies and Shotfirers
(Northumberland Area)
Union of Dexion Workers

Employers' Associations

National Metal Trades Federation
West of England Wool Textile Employers Association

This Office continues to seek full compliance with the statutory requirements, and will take steps to improve the performance of those organisations who consistently submit late annual returns. The returns received from trade unions covered 99.9% of all trade union members.

Prosecution

- 3.13 During 1998, legal proceedings were completed against the Leicestershire Overmen Deputies and Shotfirers Association for failing to submit annual returns of its financial affairs as required by section 32 of the 1992 Act. Neither the 1995 nor 1996 returns had been received. The case was heard on 23 March 1998. The trade union was found guilty of two offences and was fined £1000 for each. The trade union's secretary was also found guilty of two offences and was fined £300 for each. Costs of £1100 were awarded against the union.

Statement to members

- 3.14 A statement containing specific information must be issued to all members within eight weeks of the submission of the annual return to the Certification Officer. The statement must specify:
- (i) the total income and expenditure of the union;
 - (ii) how much of the income consisted of payments in respect of membership;
 - (iii) the total income and expenditure of any political fund of the union, and
 - (iv) the salary and other benefits paid to each member of the executive, the president and the general secretary.

The statement must also give the name and address of the auditor, set out in full the auditor's report and should not contain anything which is inconsistent with the contents of the annual return. Members must also be told how they can complain should they be concerned that some irregularity is occurring or has occurred in the financial affairs of the trade union.

- 3.15 The Act is specific about how this must be done; the exact wording of the statement to be issued is reproduced below:

"A member who is concerned that some irregularity may be occurring, or have occurred, in the conduct of the financial affairs of the union may take steps with a view to investigating further, obtaining clarification and, if necessary, securing regularisation of that conduct.

The member may raise any such concern with such one or more of the following as it seems appropriate to raise it with: the officials of the union, the trustees of the property of the union, the auditor or auditors of the union, the Certification Officer (who is an independent officer appointed by the Secretary of State) and the police.

Where a member believes that the financial affairs of the union have been or are being conducted in breach of the law or in breach of rules of the union and contemplates bringing civil proceedings against the union or responsible officials or trustees, he may apply for material assistance from the Commissioner for the Rights of Trade Union Members and should, in any case, consider obtaining independent legal advice."

- 3.16 Trade unions have in the main readily complied with the requirement to provide members with a statement which contained the required information and met the statutory timescale. The Office will continue to ensure that the high level of compliance is maintained.

Financial affairs of trade unions and employers' associations - use of statutory powers

- 3.17 The 1993 Act amended the Trade Union and Labour Relations (Consolidation) Act 1992 in such a way as to allow the Certification Officer to investigate the financial affairs of virtually every trade union and employers' association. Under the provisions, the Certification Officer may, if he thinks there is good reason to do so, give a direction to the Organisation concerned to produce relevant documents and explanations of them; in addition, he may appoint inspectors to investigate the Organisation's financial affairs and to report on them. He may only appoint inspectors if one or more of the following circumstances are suggested: *that the financial affairs of the trade union or employers' association have been or are being conducted fraudulently or unlawfully; that those managing those affairs have been guilty of fraud, misfeasance or other misconduct in connection with that management; that the Organisation concerned has failed to comply with a duty under the Act relating to its financial affairs or that a rule of the Organisation relating to its financial affairs has not been complied with.* A member may complain to the Certification Officer that there are circumstances suggesting any of the foregoing. The Certification Officer must then consider whether it is appropriate to exercise any of the powers conferred on him by the Act in that respect.
- 3.18 Information suggesting circumstances where one or more of the situations described in paragraph 3.17 have occurred may come to the Certification Officer's attention as a result of a member querying information supplied by the union in its statement to members, or from other approaches by members. In addition the Certification Officer's staff watch for references in the media to situations which suggest that such circumstances may exist in the financial affairs of a trade union or employers' association.
- 3.19 In 1998 concerns were raised about particular aspects of the conduct of the financial affairs of five trade unions and of one employers' association. These were taken up with the relevant Organisations. The unions involved were the Graphical Paper and Media Union, UNISON - The Public Service Union, Leicestershire Overmen Deputies and Shotfirers' Association, Public and Commercial Services Union and National Union of Mineworkers (Derbyshire Area) and the BFM Limited, an employers' association. In addition work continued on four cases carried over from the previous year, three of which were concluded.

- 3.20 In the case of the Prison Officers Association (see para 3.19 of the 1997 report) the inspector's final report was published on 19 May 1998. The report contained a number of findings including that a previous National Chairman of the Association had over a number of years, contrary to the Association's instructions, failed to supply details and receipts in respect of expenditure incurred. The report also included the inspector's findings and comment on MasterCard expenditure by officials of the Association, the financing of officials attending meetings of Eurofedop and on the Association's system of controlling expenditure.
- 3.21 The Certification Officer accepted the report's findings. In particular that the National Chairman, and some others in the Association had conducted their financial affairs in a way that was clearly inconsistent with the Association's rules on expenses and had come to see expenses, in the inspector's words, "...as one of the perks of Office." However as the inspector had found no evidence of any fraud or other misfeasance the Certification Officer stated that in the circumstances it was not appropriate for him to instigate court proceedings against anyone.
- 3.22 Copies of the inspector's report, including the Certification Officer's response of 11 May 1998, are available from the Certification Office free of charge.
- 3.23 During 1998 the Certification Officer used his powers under section 37B(1) of the 1992 Act (as amended) on the 25 March 1998 to appoint inspectors to launch a formal investigation into the financial affairs of the Leicestershire Overmen Deputies and Shotfirers Association during the period from 1995. This investigation arose out of the union's failure to submit annual returns for 1995 and 1996 to the Certification Officer and the Certification Officer's successful prosecution of the union on 23 March 1998 (see para 3.13). At the end of the year the investigation is, the Certification Officer understands, drawing to a close and the inspector's report is expected early in 1999.
- 3.24 The Certification Officer also used his powers under section 37A of the 1992 Act (as amended) to require documents to be produced by the National Union of Mineworkers (Derbyshire Area). The union readily complied with the Certification Officer's direction to

produce documents and or explanations of them and have since fully co-operated with his enquiries which, at the years' end, are drawing to a conclusion.

- 3.25 In the case of BFM Limited, an employers' association, a financial irregularity was reported by the Association in its annual return to the Certification Officer. The Association commissioned it's own investigation, and subsequently handed the matter to the Police who have since charged an ex-member of staff.
- 3.26 Not all references received were of merit or warranted any approach to the body concerned, where it did, generally these matters were resolved either through correspondence between the Office and the parties concerned or by means of informal meetings with the body or the individual or a combination of these methods. In all cases the unions, and others, have been open and wholly cooperative with Certification Office staff.
- 3.27 At the end of 1998 three cases (including two mentioned above), have enquiries or investigations continuing with the Certification Officer in contact with the unions, other parties and members concerned.

Public inspection of annual returns

- 3.28 Copies of the annual returns and the rules of trade unions and employers' associations from 1974 onwards are available for public inspection at the Certification Office and, where appropriate, the Office of the Assistant Certification Officer for Scotland. Also available for public inspection (with notification of one week) are the annual returns, accounts, copies of rules and other documents submitted for the purposes of:
- (a) the Trade Union Act 1871 - 1964
 - (b) the Industrial Relations Act 1971, and
 - (c) the Trade Union and Labour Relations Act 1974

Where the Certification Officer concludes his enquiries into a financial investigation by issuing a findings letter to the organisation concerned, a copy of that letter is placed on the public file containing the annual returns of that organisation.

Financial and Membership Information

This Chapter identifies changes in both trade union membership and expenditure and employers' association income and expenditure between 1996 and 1997.

Returns for 1997

4.1 Financial information derived from the annual returns of trade unions and employers' associations is given at Appendices 4, 4(a), 5 and 8. *That information and the following comments in this Chapter relate to the year 1997.* This is because the Office's information is derived from the annual returns (which include audited accounts) for 1997 which were submitted during 1998, the year covered by this report.

4.2 The total of 462 organisations which submitted returns for 1997 was made up as follows:

234	Listed trade unions
18	Unlisted trade unions
108	Listed employers' associations
102	Unlisted employers' associations

There are presently five organisations not required to submit annual returns (Chapter 3 para 3.3 explains).

Trade unions: numbers and membership

4.3 A summary of statistics concerning the membership and finances of trade unions for 1997 is given in Appendix 4. Details are shown for the 17 trade unions with more than 100,000 members. This year the column showing the figures relating to the amount paid in benefits has been excluded. It was brought to the attention of the Certification Officer that unions were interpreting in different ways, what benefits should be included. Having looked at this in some detail the Certification Officer concluded that the summary figures do not provide a

meaningful basis of comparison between unions. The Office has begun a review of this issue and hopes to develop more meaningful definitions during the course of 1999.

4.4 *Comparability with 1996 figures.* The statistics in Appendix 4 are based on returns from 252 unions in 1997 compared with returns from 259 unions in 1996. All unions of substantial size are included in both sets of figures, which are therefore broadly comparable.

4.5 The trade unions from which returns were received had a total membership of 7,801,315. The major unions with a membership of over 100,000 accounted for 6,384,926 members or 82% of the total. A table of trade union membership by size of union at the end of 1997 is shown below

Trade unions: distribution by size

Number of Members	Number of Unions (1)	Membership (000's) (2)	Number of Unions		Membership of all Unions	
			Per cent (3)	Cumulative Per cent (4)	Per cent (5)	Cumulative Per cent (6)
Under 100	39	1	15.5	15.5	0	0
100-499	57	12	22.6	38.1	0.2	0.2
500-999	31	20	12.3	50.4	0.3	0.4
1,000-2,499	37	65	14.7	65.1	0.8	1.3
2,500-4,999	20	74	7.9	73.0	0.9	2.2
5,000-9,999	14	98	5.5	78.6	1.3	3.5
10,000-14,999	7	90	2.8	81.3	1.1	4.6
15,000-24,999	6	103	2.4	83.7	1.3	5.9
25,000-49,999	18	599	7.1	90.9	7.7	13.6
50,000-99,999	6	354	2.4	93.3	4.5	18.2
100,000-249,999	8	1,201	3.2	96.4	15.4	33.5
250,000 and over	9	5,184	3.6	100	66.5	100
Total	252	7,801	100		100	

4.6 The returns show that in 1997 total trade union membership fell by approximately 1.7% from the previous year. The total membership of 7.8 million compares with 8.75 million in 1969 and a peak of 13.2 million in 1979.

- 4.7 The following table shows changes of 10,000 or more in the total membership of individual unions between December 1996 and December 1997:

Trade Union: Changes in Membership

	<i>Total Membership (000's)</i>		
	<i>1996</i>	<i>1997</i>	<i>Changes</i>
<i>Decreases</i>			
UNISON - The Public Service Union	1,375	1,300	-75
Association of Teachers and Lecturers	167	153	-14

- 4.8 The annual return submitted by unions to the Certification Officer requires the union to provide figures of both total membership and of members who pay contributions. There can be significant differences between these sets of figures usually as a result of total membership figures including retired and unemployed members, members on long term sick and maternity/child care leave and those on career breaks. The returns submitted by unions for 1997 provided figures indicating that the total number of contributing members was 6.8% less than the figure for total membership.

Finance

- 4.9 Trade union income derives mainly from membership subscriptions and income from investments. There may also be additional income and/or assets arising if, for example, a union accepts the transfer of engagements of another union. The figures given at Appendix

4 include both general funds and others where applicable, eg contingency, superannuation and political funds.¹

- 4.10 In 1997 gross income of trade unions was £724.1 million an increase of 5.9% from 1996. Income from members rose by 2.8% to £576.6 million while investment and other income rose by 19.6%.
- 4.11 Gross expenditure rose by 4.9% to £682.1 million, while at the end of 1997 total funds (net assets) amounted to £778 million an increase of 5.6% over the previous year.

Salaries and benefits

- 4.12 Trade unions are required to include in their annual return to the Certification Officer information about the salaries and benefits paid to certain of its national officers and executive members from the organisation's funds. Information from the annual returns received from trade unions showed that 25% paid a salary to their general secretary of over £40,000; 20% paid between £20,000 and £40,000; 16% paid up to £20,000, while the general secretaries of the remaining 39% did not receive a salary (nine unions (3.6%), although paying no salary to their general secretary, do provide various benefits).
- 4.13 In last year's report, the Certification Officer provided information on the salary or benefits paid by trade unions to their chief executive, where this was in excess of £500. This year the list has not been subjected to a cut off point, therefore all unions who make a payment to their chief executive have been included (see Appendix 4a). It has come to the notice of the Office that, in a few trade unions, local or section officers are paid more than the Chief Executive but there is no requirement for these sums to be disclosed.

¹Separate figures for political funds are given at appendix 8.

Employers' associations

- 4.14 A summary of statistics concerning the membership and finances of employers' associations for 1997 is given in Appendix 5. Details are given for each of the 21 associations (including unlisted associations) with total income of more than £2,000,000.
- 4.15 The statistics in Appendix 5 are based on returns from 210 employers' associations the same number as in 1996. The largest employers' associations, as measured by total income, are included in both sets of figures which are therefore broadly comparable.
- 4.16 In 1997 the gross income of employers' associations was £235.8 million compared with £216.3 million in 1996, an increase of 9%. Income from members rose from £94.7 million to £99.4 million. Income from investments rose from £10.7 million to £12 million. Other income rose by £13.5 million to £124.4 million. Gross expenditure increased from £207 million to £222 million (7.2%).
- 4.17 The figures given in the Appendix include both general funds and, where applicable, funds maintained for specific purposes. At the end of 1997 total funds (net assets) of employers' associations amounted to £201.4 million an increase of £17.2 million (9.3%) over the adjusted figure for the previous year.
- 4.18 Employers' associations are not required to provide the Certification Officer with details of officers' salaries and benefits.

Superannuation Schemes

It is a legal requirement that any superannuation scheme maintained by a trade union or an employers' association covering members must be subject to periodic actuarial examination and that a copy of the actuary's report must be sent to the Certification Officer. An explanation of the statutory provisions is given in this Chapter together with information on the number of schemes maintained and the number of reports received.

The statutory provisions

- 5.1 Sections 38-42 and 131 of the 1992 Act require that any superannuation scheme maintained by a trade union or employers' association¹ covering members (as opposed to staff) must be examined periodically by a qualified actuary and a copy of each actuarial report sent to the Certification Officer. The actuarial examination is required to be made not later than five years after the effective date of the preceding examination, but the Certification Officer has power to direct that in any particular case the period of five years may be reduced to such shorter period as he may specify. The Certification Officer also has power to exempt a members' superannuation scheme from actuarial examination in certain circumstances. No trade union or employers' association may maintain a members' superannuation scheme unless it also maintains a separate fund for the payment of benefits in accordance with the scheme. A copy of the actuarial report made under the above provisions must be supplied free of charge to any member of the trade union or employers' association on application to the organisation concerned.

¹ In practice the requirements affect trade unions only; the Office is not aware of any schemes maintained by employers' associations.

- 5.2 The statutory provisions require that the report by the actuary following his examination of any scheme shall state whether in his opinion the premium or contribution rates are adequate, whether the accounting or funding arrangements are suitable, and whether the separately maintained superannuation fund is adequate. The Office continues to ensure that these requirements are not overlooked.

Schemes maintained

- 5.3 At the end of the year there were 20 members' superannuation schemes maintained by 12 trade unions. They are listed in Appendix 6 and are mostly small schemes with only five having assets of over £250,000. The Amalgamated Engineering and Electrical Union and the National Union of Rail Maritime and Transport Workers are the only unions with a scheme covering more than 25,000 pensioners.
- 5.4 The Certification Officer may grant exemption from actuarial examination on the grounds that the scheme is only applicable to a small number of members or for any other special reasons; seven schemes are currently exempt.

Reports: 1998

- 5.5 Three reports were received during 1998, from the Graphical Paper and Media Union (Central London) and those for the Manufacturing Science and Finance Union (Association of Pattern Makers) and National Union of Rail Maritime and Transport Workers. The report on the RMT scheme had been outstanding from 1996. The National Union of Knitwear Footwear and Apparel Trades was granted an extension of time to 31 December 1998 to submit its report. It had not been received by that date.
- 5.6 All reports received are sent to the Government Actuaries Department (GAD) for their specialist views on the acceptability of the valuation reports submitted. Comments made by the GAD on the reports submitted during this year varied from highlighting that a specific comment had not been made by the actuary examining the scheme, for example, whether the

actuary was satisfied with the suitability of the accounting or funding arrangements of the scheme, to an observation that assets appear to be part of the union's general fund which may be in contravention of section 38 of the Act. The Certification Officer was awaiting the views of the Manufacturing Science and Finance Union (Association of Pattern Makers) and the Amalgamated Engineering and Electrical Union on points made by GAD before considering what further action, if any, needed to be taken.

Mergers

Mergers between trade unions and between unincorporated employers' associations must be carried out under the relevant statutory procedures; these procedures also allow for members to complain to the Certification Officer about particular aspects of the balloting process. This Chapter details the statutory background together with the number of merger applications and complaints received. It also shows changes of name registered in 1998. Appendix 7 lists the mergers registered during the year.

The statutory provisions

- 6.1 The 1992 Act and the Trade Unions and Employers' Associations (Amalgamations, etc.) Regulations 1975, as amended, lay down procedures governing two types of merger - *transfers of engagements* and *amalgamations* - between trade unions and between unincorporated employers' associations. The procedures apply to listed and unlisted organisations. Their main purposes are to facilitate the processes of transfer and amalgamation and, at the same time, to safeguard the rights of members affected by the terms of a merger by ensuring that they are fully informed about the proposal and have the opportunity to vote on it.
- 6.2 Under a *transfer of engagements* the transferring organisation loses its legal identity whilst the organisation to which it transfers continues in being with its legal identity unchanged. An *amalgamation* produces a new organisation replacing each of the amalgamating bodies, which cease to exist.
- 6.3 Organisations proposing to enter into a transfer of engagements or an amalgamation must prepare an instrument setting out the proposed terms of the merger and an explanatory notice to members. They must submit these documents to the Certification Officer and the documents must have his approval before a ballot of members can be held to approve the instrument. (See Appendix 9 for statutory fee).

- 6.4 Ballots must be fully postal and subject to independent scrutiny. The inclusion in the notice to members of any statement making a recommendation or expressing an opinion about a proposed amalgamation or transfer is prohibited; also, the voting paper sent to a member may not be accompanied by any material other than the notice to members, an addressed, pre-paid envelope and a document giving instructions for the return of the ballot paper. Other requirements relate to the storage, distribution and counting of votes by independent persons and the availability of a union's membership register and the circumstances of its inspection by an independent scrutineer. For mergers involving employers' associations, the provisions are slightly different. Details can be found in the guidance booklet (see para 6.8 of this chapter)
- 6.5 In a transfer of engagements only the members of the transferring organisation vote on the resolution to approve the instrument. An amalgamation requires a favourable vote by the members of each amalgamating organisation. If the required majority of votes recorded in each ballot is in favour of the merger an application to register the instrument may be made to the Certification Officer. Such an application must be preceded by the despatch of a copy of the scrutineer's report to every member of the union or their being notified of its contents by other means. Members must also be told that they will on request be provided with a copy of the scrutineer's report - either free or subject to a reasonable specified charge. The Certification Officer has power to direct an organisation to publicise its application to register a merger.
- 6.6 In the case of both a transfer and an amalgamation an interval of six weeks must elapse between the application for registration and registration itself; and, before the expiry of the six-week period, any member of the transferring organisation or of any amalgamating organisation may complain to the Certification Officer on the grounds that one or more of the statutory conditions governing the ballot arrangements have not been observed. The Certification Officer may dismiss the complaint or, if after hearing both sides he finds the complaint justified, he may either make a declaration but no order, or make an order

specifying the steps which must be taken before he will register the instrument. There is a right of appeal against the Certification Officer's decision to the Employment Appeal Tribunal (EAT) on a question of law.

- 6.7 Formal documents kept by the Certification Officer relating to mergers under the 1992 Act are available for public inspection. (See Appendix 9 for statutory fee).

Guidance

- 6.8 The Office has produced two booklets, one on the statutory requirements for transfers of engagements and amalgamations between trade unions and the other for employers' associations. These explain the merger procedures in detail and set out, with explanatory notes, the matters to be included in an instrument of transfer or amalgamation. Copies may be obtained free of charge from the Office. The Office will offer guidance where needed on the statutory provisions and staff are always prepared to meet officials of organisations proposing to merge to discuss procedures and timetables.

Mergers: 1998

- 6.9 During 1998, one amalgamation and four transfers of engagements involving trade unions took place using the procedures laid down by the Act. Details are given in Appendix 7.
- 6.10 The five mergers of trade unions which took place during the year involved a total of 282,120 members. The largest merger registered in 1998, involving 265,902 members, was the amalgamation of the Public Services Tax and Commerce Union with the Civil and Public Services Association. The merger took effect on 10 March. At the end of the year one amalgamation of three trade unions and eight transfer of engagements were in progress.
- 6.11 As stated in last year's report, on 30 December 1997 the Certification Officer was notified that an appeal to the EAT had been lodged against one of his decisions in respect of a complaint concerning the amalgamation of the Public Services Tax and Commerce Union with the Civil

and Public Services Association. A second appeal was lodged on 6 January 1998. The amalgamation had been due to be registered on 31 December 1997 following an affirmative ballot by the members of both unions in October 1997. The appeal was heard on 18/19 February 1998.

- 6.12 The EAT dismissed the first appeal (EAT/24/98). This appeal sought to overturn the Certification Officer's decision that he did not have jurisdiction to hear the complaint made under section 103(1)(b) concerning the alleged breach of union rules.
- 6.13 In the second appeal (EAT/25/98) it was the view of the EAT that the Certification Officer erred in his decision in relation to the contents of the scrutineer's report. The Public Services Tax and Commerce Union undertook to distribute a full copy of the scrutineer's report within an agreed time limit. The EAT chose not to require the Certification Officer to review his decision not to make an order under section 103(3)(b), nor to delay the registration further once the union's undertaking had been fulfilled.
- 6.14 The amalgamation of the Public Services Tax and Commerce Union with the Civil and Public Services Association was duly registered on 10 March 1998.

Changes of name

- 6.15 Section 107 of the 1992 Act stipulates that a change of name of a listed trade union or employers' association must be approved by the Certification Officer before it can take effect. (See Appendix 9 for statutory fee). During 1998 approval was given to the changes of name of seven trade unions and five employers' association as shown below.

Trade Unions

Effective Date

From Sun Alliance Staff Union

<i>To</i>	Union of Royal and Sun Alliance Staff	9.4.98
<i>From</i>	Sun Life Staff Association	
<i>To</i>	AXIS The AXA Sun Life Staff Association	19.5.98
<i>From</i>	Eagle Star Staff Union (1988)	
<i>To</i>	Union of Finance Staff	30.6.98
<i>From</i>	NCH Promotional Services Staff Association	
<i>To</i>	NCH Marketing Services Ltd Staff Association	21.7.98
<i>From</i>	Engineering Craft Association	
<i>To</i>	Engineering Craft and Technicians Association	10.8.98
<i>From</i>	Federated Union of Managerial and Professional Officers	
<i>To</i>	Managerial and Professional Officers Union	18.8.98
<i>From</i>	Commercial Union Group Staff Association	
<i>To</i>	CGU Staff Association	25.11.98
Employers' Associations		
<i>From</i>	Blackburn District Textile Manufacturers Association	
<i>To</i>	Lancashire Textile Manufacturers Association	1.1.98
<i>From</i>	Engineering Employers Association of South Lancashire Cheshire and North Wales	
<i>To</i>	EEF North West	23.1.98
<i>From</i>	Building Employers Confederation	
<i>To</i>	Construction Confederation	23.1.98

<i>From</i>	Mastic Asphalt Council and Employers Federation Limited	
<i>To</i>	Mastic Asphalt Council	23.4.98
 <i>From</i>	 Employers in Voluntary Housing	
<i>To</i>	Employers in Voluntary Housing Limited	30.10.98

Political Funds

The 1992 Act enables trade unions and unincorporated employers' associations to establish separate funds in furtherance of political objectives as part of their aims. Under the terms of the Act a resolution to adopt the political objects must be passed by a ballot of the members. The Certification Officer is the statutory authority for approving the establishment and continuance of such funds. This Chapter explains the statutory provisions and reports developments in 1998.

The statutory provisions

(a) General

- 7.1 A trade union or an unincorporated employers' association (whether listed or not) can include the furtherance of political objects among the objects of the organisation. In which case it must adopt political fund rules providing for the expenditure of funds on such objects. Those rules must be approved by the Certification Officer. A resolution to adopt political objects must be passed by the members in a postal ballot held under rules which again require approval by the Certification Officer. An independent scrutineer must be appointed to oversee the requirements of the ballot.

(b) Exemptions

- 7.2 It is a statutory requirement that members who notify their objection to contributing to the political fund must be exempted. These exempt members must not be excluded from any benefits of the organisation or placed under any disability or disadvantage compared with other members (except in relation to the control or management of the political fund). Also, contribution to the political fund must not be made a condition for admission to the organisation.
- 7.3 Members wishing to claim exemption should use an approved application form as laid down in the Act or make an application giving the same information. Unless contributions to the political fund are collected by a separate levy, exempt members of the organisation must be relieved from the payment of the political fund element of the normal periodical contributions.

The rules must provide for such relief to be given as far as possible to all exempt members on the occasion of the same periodical contribution. They must also provide for each member to know what portion, if any, of his contribution is a contribution to the political fund.

(c) *Complaints*

7.4 Any member of an organisation with a political fund who considers that the political fund rules have been breached may complain to the Certification Officer. If, after investigating the complaint, the Certification Officer considers that a breach has occurred he may make an order for remedying it. An appeal against the decision of the Certification Officer may be made to the Employment Appeal Tribunal but only on a question of law.

7.5 A member can complain to the Certification Officer if a political fund ballot has been held, or is proposed to be held, in a way that does not comply with the rules for holding the ballot. Any complaint must be made within the period of one year beginning with the day on which the result of the ballot is announced by the union.

(d) *Review ballots*

7.6 Trade unions and employers' associations which already have a political fund resolution in force and wish to continue to spend money on political objects are required to pass a political fund resolution again by a further ballot of their members (a review ballot) at least once every ten years. The review ballot must be held in accordance with rules approved by the Certification Officer.

Guidance on procedures

7.7 On request, the Office gives advice on the procedures for establishing political funds and for holding review ballots. Guidance booklets which include model rules are available from the Office free of charge. Any trade union or employers' association wishing to ballot its members on a political fund resolution should contact the Office at an early stage.

Organisations with mandates for a political fund but political fund rules not yet approved

- 7.8 In December 1997 the Society of Radiographers balloted it's members and the resolution to establish a political fund was approved. Draft political fund rules were received from the union but application for formal approval of the political fund rules has not been received.

Organisations with new political fund rules approved for the first time during 1998

- 7.9 One trade union had political fund rules approved during 1998. The union concerned was the Institution of Professional Managers and Specialists. The Institution had had a political fund but the resolution lapsed on 30 March 1998. Following a ballot of the membership, under political fund ballot rules approved by the Certification Officer, a political fund resolution was approved and the Certification Officer subsequently approved the rules for the union's political fund on 12 November 1998.

Amalgamations of unions already holding a political fund

- 7.10 Where two or more trade unions, each with a political fund in force, amalgamate, the amalgamated union will be treated under the provisions of section 97 of the 1992 Act as having passed a political fund resolution, provided that the rules of the union in force immediately after the amalgamation include political fund rules. The review ballot cycle (see paragraph 7.6) of such a newly constituted union will count from the earliest of the political fund review dates of the amalgamating unions involved. During 1998 there were no such amalgamations registered.

Political fund resolutions in force

- 7.11 The number of political fund resolutions in force at 31 December 1998 was 38. The trade unions concerned are indicated in Appendix 1 and 1a. During the year three unions held a review ballot as required by section 73(3) and (4) of the Act. The unions concerned and the percentage of those members who voted and who favoured retaining the political fund were:-

National Association of Teachers in Further and Higher Education	77%
National Union of Insurance Workers	73%
Union of Democratic Mineworkers	65%

- 7.12 As a result of the amalgamation between the Civil and Public Services Association and the Public Services Tax and Commerce Union, the political fund of the Public Services Tax and Commerce Union lapsed on 10 March 1998 as the Civil and Public Services Association did not have a political fund in force at the time of the amalgamation (see para 7.10). As a result of a transfer of engagements to the Manufacturing Science and Finance Union, the political fund of the Communication Managers Association lapsed on 8 May 1998.

Political funds of trade unions at 31 December 1997

- 7.13 Detailed statistical information about the political funds of trade unions is derived from the unions' annual returns. The latest available information is given in Appendix 8 which is derived from returns made by trade unions maintaining political funds at the end of 1997.
- 7.14 Annual returns showed the total income of political funds as £16.0 million in 1997 compared with £16.2 million in 1996, and expenditure £18.2 million as compared with £15.8 million. Total funds at the end of 1997 were £13.1 million compared with £15.2 million at the end of 1996.

Political fund membership

- 7.15 Appendix 8 also gives membership information provided by the unions which maintained political funds at 31 December 1997 and shows comparable information for unions with political funds at 31 December 1996. Annual returns showed that in 1997 the number of union members contributing to a political fund was 4,740,514 compared with 4,893,762 in 1996.

Exemption notices

- 7.16 Exemption notices (see paragraph 7.3) are obtainable from the organisation concerned or from the Certification Office. The Office supplied ten such notices during 1998. The majority of these requests came from members of a union who had held a ballot, to retain its political fund, during the course of the year.

Amendments to rules

- 7.17 Amendments to political fund rules require the Certification Officer's approval. Such approval is given provided that the amendments have been adopted in accordance with, and satisfy the requirements of, the 1992 Act. Four trade unions had amendments approved in this way during 1998.
- 7.18 During 1998, instances came to the notice of the Certification Officer, where unions holding a political fund had altered aspects of their political fund rules but had not sought the Certification Officer's approval of the amendment as required by section 71 of the Trade Union and Labour Relations (Consolidation) Act 1992. Two unions had levied political fund contributions from members at a rate specified in their rules but not approved by the Certification Officer. The unions concerned were required by the Certification Officer to transfer funds from their political fund to their general fund to redress this error. In one case the transfer amounted to more than £650,000. In April, the Certification Officer wrote to all unions with a political fund resolution in force to remind them that all changes to political fund rules, including changes in the rate of contribution to the political fund, have to be approved by the Certification Officer.
- 7.19 Unions have been told that the Certification Officer is unwilling to give approval to **any** amendments to political fund rules unless they already contain the current political objects, as given in section 72(1) of the 1992 Act, or the proposed amendments include an amendment to the political objects. Unions must also amend any references to the 1913 Act in the political fund rules. These changes are designed to ensure that members have ready access to the rules currently governing the use of political funds. There are now just three unions who continue to refer to the 1913 Act.

Political fund complaints

- 7.20 During 1998 a series of three complaints was made to the Certification Officer under section 80 of the 1992 Act by a member of the Civil and Public Services Association concerning that

union's ballot held in 1997 which failed to support the establishment of a political fund (see 1997 report Chapter 7 para 7.10). The Certification Officer upheld one complaint, that the union had failed either to send a copy of the scrutineer's report to every member of the union or taken all such other steps for notifying the contents of the report to the members within the period of three months after the union received the report, and a declaration was issued. The Union agreed to publish the report in full in its journal. The Certification Officer declined to make declarations in respect of the other two complaints relating to the notification to members of the name of the scrutineer before the scrutineer began to carry out his functions and an alleged failure to ensure that entitlement to vote in the ballot was accorded equally to all members of the union. (Decision CO/1913/17 (Political Fund Ballots)).

- 7.21 Copies of decisions are available from the Certification Office free of charge.

Secret Postal Ballots for Trade Union Elections

The 1992 Act requires that certain officers and all members of a trade union's executive committee must be elected to it by secret postal ballot; if they remain in that position for more than five years they must be re-elected. Unions must also maintain a register of members and keep it up to date.

The statutory provisions

- 8.1 Trade unions must ensure that no-one takes up a position as a member of the union's executive committee, president or general secretary, except in limited circumstances, without having been elected to it. Nor may anyone remain in such a position for more than five years without having been re-elected to it. There are exceptions in respect of officers facing retirement. Elections are required to be by secret postal ballot of the members of the union, conducted in accordance with the relevant conditions in the 1992 Act. In addition, every trade union must maintain a register of its members' names and addresses and, as far as reasonably practicable, keep the entries accurate and up-to-date.
- 8.2 Individual trade union members have the statutory right to apply to the Certification Officer, or to the High Court, for a declaration that their trade union has failed to comply with one or more of the relevant provisions of the Act. Where such an application is made to him, the Certification Officer will make such enquiries as he thinks fit and, where he considers it appropriate, before he makes a decision on the complaint, give the applicant and the trade union an opportunity to be heard. In certain circumstances, expenses incurred by persons attending complaint hearings can be reimbursed by the Office.
- 8.3 If the Certification Officer decides that there has been a breach of the statutory provisions he may take into account steps which the union has taken or proposes to take to remedy the breach. Additionally the Certification Officer must give reasons for his decision in writing and

such reasons may be accompanied by written observations on any matter arising from, or connected with, the proceedings.

- 8.4 Making a complaint to the Certification Officer does not prevent the applicant, or any other person, from making an application to the Court in respect of the same matter. Where a subsequent application is made, the Court is required to have due regard to any declaration, reasons or observations of the Certification Officer which are brought to the notice of the Court.

Applications, investigations and decisions

- 8.5 The Certification Officer issued twelve decisions during 1998. At the close of the year complaints against three unions remain outstanding.

- 8.6 Of the twelve decisions issued in 1998 the following are noteworthy:-

- (i) In a series of five complaints made jointly by three members of the Manufacturing Science and Finance Union arising out of the union's 1997 elections for Regional Seats on its National Executive Committee, the Certification Officer issued a declaration in respect of one of the complaints made, that the union had failed to secure, so far as was reasonably practicably, that the entries in its register of the names and addresses of its members were accurate and kept up-to-date contrary to section 24(1) of the 1992 Act. In respect of four other complaints relating to the security of the register during the ballot and in respect of the election process, the Certification Officer declined to make declarations. (Decision D/1-5/98)
- (ii) In respect of a series of five complaints from a member of the Public and Commercial Services Union arising out of the union's 1998 elections for its National Executive Committee, the Certification Officer declined to make any declarations. The complainant claimed that he had been unreasonably excluded as a candidate in the

election, that the union had failed to distribute his submitted election address and made three further complaints relating to aspects of the scrutineer's functions or report. (Decision D/8-12/98)

- 8.7 Two complaints, against the Association of First Division Civil Servants (D/6/98) and the Associated Society of Locomotive Engineers and Fireman (D/7/98), were dismissed on withdrawal of the applications by the complainants.
- 8.8 Copies of all decisions are available free of charge from the Certification Office.

Appendix 1

(see paragraph 1.8)

List of Trade Unions at 31 December 1998

Notes:

Trade unions first entered in the list during 1998 are shown in italics.

* Denotes a trade union holding a certificate of independence at 31 December 1998.

Denotes a trade union which has been refused a certificate of independence.

(P) Denotes a trade union with a political fund resolution in force at 31 December 1998.

◇ Denotes a trade union exempted from submitting an annual return

England and Wales

- *Alliance and Leicester Group Union of Staff
- *Amalgamated Engineering and Electrical Union (P)
- *ANSA
- *Associated Metalworkers Union
- *Associated Society of Locomotive Engineers and Firemen (P)
- *Association for College Management
- *Association of Cambridge University Assistants
- *Association of Clinical Biochemists Limited
- *Association of Educational Psychologists
- *Association of First Division Civil Servants
- *Association of Her Majesty's Inspectors of Taxes (P)
- *Association of Licensed Aircraft Engineers (1981)
- *Association of Local Authority Chief Executives

- *Association of Magisterial Officers
- Association of Management and Professional Staffs
- Association of Plastic Operatives and Engineers
- *Association of Principal Fire Officers
- *Association of Professional Ambulance Personnel
- *Association of Professional Music Therapists in Great Britain
- *Association of Public Service Finance Officers
- Association of Somerset Inseminators
- *Association of Teachers and Lecturers
- Association of Theatre Personnel Nationwide
- *Association of University Teachers (P)
- *Audit Commission Staff Association
- *AXIS The AXA Sun Life Staff Association

- *Bakers Food and Allied Workers Union (P)
- Balfour Beatty Group Staff Association
- *Banking Insurance and Finance Union
- Benefits Agency Sessional Doctors Association
- Birmingham Union of Club Stewards
- Boots Pharmacists Association (JBPA)
- *Britannia Staff Union
- *Britannic Field Staff Association
- Britannic Supervisory Union
- *British Actors Equity Association incorporating the Variety Artistes Federation
- *British Aerospace Senior Staff Association
- *British Air Line Pilots Association
- British Association of Advisers and Lecturers in Physical Education
- *British Association of Colliery Management
- *British Association of Dental Nurses
- *British Association of Journalists
- *British Association of Occupational Therapists Limited
- *British Dental Association
- *British Dietetic Association
- *British Medical Association
- *British Orthoptic Society

- *British Union of Social Work Employees
- *Broadcasting Entertainment Cinematograph and Theatre Union (P)

- *Cabin Crew 89
- *Card Setting Machine Tenters Society
- *Ceramic and Allied Trades Union (P)
- *Chartered Society of Physiotherapy
- *Cheshire Building Society Staff Association
- Church and Oswaldtwistle Power-Loom Overlookers Society
- Civil and Public Services Union (1998)*
- *CGU Staff Association
- *Communication Workers Union (P)
- *Community and District Nursing Association
- *Community and Youth Workers Union
- *Corporation of London Staff Association
- ◇Council of Civil Service Unions

- *Derbyshire Building Society Staff Association
- #Dexion Staff Association
- *Diplomatic Service Association
- *Directors Guild of Great Britain

- *Ellington Branch of the North East Area of the National Union of Mineworkers
- *Engineering and Fasteners Trade Union
- *Engineering Craft and Technicians Association
- *Engineering Officers Technical Association
- *Engineers and Managers Association

- *Federation of Professional Railway Staff
- *Fire Brigades Union (P)
- *Fire Officers Association

- *Gallaher Sales Staff Association
- *General Dental Practitioners Association

General Federation of Trade Unions

*General Union of Loom Overlookers (P)

Girobank Senior Managers Staff Association

*GMB (P)

*Graphical Paper and Media Union (P)

*Guild of Professional Teachers of Dancing

*Guinness Brewing Staff Association (UK)

Hambro Staff Association

Harrods Staff Union

Headmasters and Headmistresses Conference

Hongkong Bank Group UK Staff Association

*Hospital Consultants and Specialists Association

*Hyde and District Textile (Technicians and Operatives) Association

*Immigration Service Union

*Independent Union of Halifax Staff

Institute of Football Management and Administration

*Institute of Journalists (Trade Union)

Institute of Professional Driving Examiners

*Institution of Professionals Managers and Specialists (P)

*Irish Bank Officials Association

*Iron and Steel Trades Confederation (P)

#Jones and Shipman Administrative Staff Association

*Lawson Mardon Star Ltd Managerial Staff Association

Lecturers Employment Advice and Action Fellowship

Leek United Building Society Staff Association

Leicestershire Overmen Deputies and Shotfirers Association

Lloyds Register (UK) Staff Association

*Lloyds TSB Group Union

*Lufthansa Staff Association United Kingdom

*Managerial and Professional Officers Union

- *Manufacturing Science and Finance Union (P)
- *Midland Area Association of Colliery Officials (P)
- *Military and Orchestral Musical Instrument Makers Trade Society
- *Musicians Union (P)

- *National Association of Colliery Overmen Deputies and Shotfirers (P)
- National Association of Colliery Overmen Deputies and Shotfirers (Northumberland Area)
- *National Association of Colliery Overmen Deputies and Shotfirers (South Wales Area)
- *National Association of Colliery Overmen Deputies and Shotfirers (Yorkshire Area)
- *National Association of Co-operative Officials
- *National Association of Educational Inspectors Advisers and Consultants
- *National Association of Head Teachers
- *National Association of NFU Group Secretaries
- *National Association of Probation Officers
- *National Association of Schoolmasters and Union of Women Teachers (P)
- *National Association of Teachers in Further and Higher Education (P)
- *National Federation of Sub-Postmasters
- National House Building Council Staff Association
- *National League of the Blind and Disabled (P)
- *National Society for Education in Art and Design
- *National Union of Club Stewards
- *National Union of Domestic Appliances and General Operatives (P)
- *National Union of Flint Glass Workers
- *National Union of Insurance Workers (P)
- *National Union of Journalists
- *National Union of Knitwear Footwear and Apparel Trades (P)
- *National Union of Lock and Metal Workers
- *National Union of Marine Aviation and Shipping Transport Officers
- *National Union of Mineworkers (P)
- National Union of Mineworkers (Cokemens Area)
- *National Union of Mineworkers (Colliery Officials and Staffs Area)
- National Union of Mineworkers (Colliery Officials and Staffs Area) (Region No. 2)
- *National Union of Mineworkers (Colliery Officials and Staffs Area) (Region No. 4)
- National Union of Mineworkers (Derbyshire Area)
- National Union of Mineworkers (Durham Area)

- *National Union of Mineworkers (Leicester Area)
- National Union of Mineworkers (Midland Area)
- National Union of Mineworkers (North Stafford Federation Midland Area)
- National Union of Mineworkers (Northumberland Area)
- National Union of Mineworkers (North Wales Area)
- *National Union of Mineworkers (Power Group Area)
- National Union of Mineworkers (South Wales Area)
- *National Union of Rail Maritime and Transport Workers (P)
- *National Union of Teachers
- *Nationwide Group Staff Union
- *NatWest Staff Association
- NCH Marketing Services Ltd Staff Association
- Nielsen Staff Association
- *Northern Carpet Trades Union

Organisation of CPL Technicians

- *Pattern Weavers Society
- *Portman Staff Association
- *Power Loom Carpet Weavers and Textile Workers Union (P)
- *Prison Governors Association
- *Prison Officers Association (P)
- *Prison Service Union
- *Professional Association of Teachers
- Professional Cricketers Association
- #Professional Flight Instructors Association
- Professional Footballers Association
- * *Public and Commercial Services Union*
- Public Transport (Staff) Consortium
- *Retail Book Stationery and Allied Trades Employees Association
- *Retained Firefighters Union
- *Retired Officers Association
- *Royal College of Midwives
- *Royal College of Nursing of the United Kingdom

#Royal Lancaster Hotel Staff Association
Royal Society of Chemistry Staff Association
RSPB Staff Association

Scarborough Building Society Staff Association (SOCASS)

*Secondary Heads Association

Self-Employed and Employed Electricians Association

Sheffield Wool Shear Workers Trade Union

*Skipton Staff Association

*Society of Authors Limited

*Society of Chief Officers of Probation

*Society of Chiropodists and Podiatrists

*Society of Radiographers

*Society of Telecom Executives (P)

*Society of Union Employees (UNISON)

*Stable Lads Association

*Staff Association of Bank of Baroda (UK Region)

*Staffordshire Building Society Staff Association

*Teston Independent Society of Cricket Ball Makers

*Transport and General Workers Union (P)

*Transport Salaried Staffs Association (P)

*Undeb Cenedlaethol Athrawon Cymru (National Association of Teachers of Wales)

*UNIFI

*Union for Bradford and Bingley Staff

*Union of Construction Allied Trades and Technicians (P)

*Union of Democratic Mineworkers (P)

Union of Dexion Workers

*Union of Finance Staff

*Union of Shop Distributive and Allied Workers (P)

*Union of Royal and Sun Alliance Staff

*Union of Textile Workers (P)

*UNISON - The Public Service Union (P)

*United Friendly Agents Association

*United Road Transport Union

*West Bromwich Building Society Staff Association

Whatman Reeve Angel Staff Association

*Woolwich Independent Staff Association

*Writers Guild of Great Britain

*Yorkshire Independent Staff Association

Scotland

*Association of Head Teachers in Scotland

*Dunfermline Building Society Staff Association

*Educational Institute of Scotland (P)

Independent Federation of Nursing in Scotland

*National Association of Colliery Overmen Deputies and Shotfirers (Scottish Area)

*National Union of Mineworkers (Colliery Officials and Staffs Area) Scottish Region No. 8

*Offshore Industry Liaison Committee

Prison Staff Association

*Scottish Carpet Workers Union

Scottish Equitable Staff Association

*Scottish Further and Higher Education Association

*Scottish Prison Officers Association

*Scottish Secondary Teachers Association

*Scottish Union of Power Loom Technicians

Appendix 1a

(see paragraph 1.9)

Unlisted Trade Unions at 31 December 1998

(P) Denotes a trade union with a political fund resolution in force at 31 December 1998.

◇ Denotes a trade union exempted from submitting an annual return

England and Wales

Association of Chiropodists and Podiatrists

Association of Flight Attendants (Council 07)‡

Basketball Players Association

◇British Seafarers Joint Council

◇British Telecommunications Union Committee

Commercial Union Group Managers Association

◇Confederation of Insurance Trade Unions

Confederation of Shipbuilding and Engineering Unions

Federation of Entertainment Unions

Finance Managers Association

Friends Provident Line Managers Association

International Federation of Actors

International Transport Workers Federation

Joint Committee of Light Metal Trades Union (1992)

‡ a branch of an independent American trade union

Leeds and Holbeck Building Society Staff Association

National Union of Mineworkers (North East Area)

National Union of Mineworkers North Western Cheshire and Cumbria Miners Association (P)

NFU Staff Association

◇Post Office Union Committee

Society of Local Council Clerks

Society of Registration Officers (Births, Deaths and Marriages)

Trades Union Congress

Scotland

National Union of Mineworkers - Scottish Area

Appendix 2

(see paragraph 1.8)

List of Employers' Associations at 31 December 1998

Note:

Employers' associations first entered in the list during 1998 are shown in italics.

England and Wales

Advertising Film and Videotape Producers Association
Anglian Marine Industries Association
Association of British Orchestras
Association of Circus Proprietors of Great Britain
Association of Indian Banks in the United Kingdom
Association of Midland Advertising Agencies
Association of Newspaper and Magazine Wholesalers
Association of Northern Advertising Agencies
Association of Scottish Advertising Agencies

Birmingham Wholesale Fresh Produce Association
Bolton and District Textile Employers Association
British Amusement Catering Trades Association
British Box and Packaging Association
British Clothing Industry Association Limited
British Decorators Association
British Exhibition Contractors Association
British Glove Association
British Lace Federation
British Leavers Lace Manufacturers Association
British Lock Manufacturers Association
British Metals Federation
British Precast Concrete Federation Limited

British Printing Industries Federation
British Textile Fibres Association
Builders Merchants Federation

China Clay Association
Cinema Exhibitors Association
Construction Confederation
Construction Plant-Hire Association
Co-operative Employers Association

Dairy Industry Federation Limited

East Midlands Local Authorities Employers Organisation
Eastern and Essex and Hertfordshire Regional Employers Organisation (Local Authorities)
EEF Lancashire
EEF Northern Association
EEF South
EEF North West
EEF West Midlands Association
Electrical Contractors Association
Employers Federation of Textile Finishers
Engineering and Shipbuilding Employers Association - Yorkshire and Humberside
Engineering Construction Industry Association
Engineering Employers East Anglian Association
Engineering Employers East Midlands Association
Engineering Employers Federation
Engineering Employers Sheffield Association (South Yorkshire and North Midlands)
Engineering Employers Western Association
England and Wales Cricket Board Limited

Federation of Dredging Contractors
Federation of Master Builders
Footwear Distributors Federation

Glass and Glazing Federation

Greater London Employers Association Limited

Heating and Ventilating Contractors Association
Hinckley and District Knitting Industry Association

Lancaster Morecambe and South Lakeland Master Plumbers Association
Lancashire Textile Manufacturers Association
Leather Producers Association
London Association of Shore Gang Contractors

Mastic Asphalt Council
Mid-Anglian Engineering Employers Association
Multiwall Sack Manufacturers Employers Association

National Association of Farriers Blacksmiths and Agricultural Engineers
National Association of Master Bakers
National Association of Plumbing Heating and Mechanical Services Contractors
National Association of Self Employed of Great Britain and Northern Ireland
National Farmers Union
National Federation of Master Window and General Cleaners
National Federation of Retail Newsagents
National Fillings Trade Association
National Hairdressers Federation
National Master Tile Fixers Association
National Pharmaceutical Association Limited
National Sawmilling Association
National Trainers Federation
Natural Slate Quarries Association
Newspaper Society

Paper Federation of Great Britain Ltd
Producers Alliance for Cinema and Television
Publishers Association

Representative National Organisation of Employers of Local Authority Staff

Representative Northern and North Eastern Provincial Organisation of
Employers of Local Authorities Staff
Retail Motor Industry Federation Ltd

Showmens Guild of Great Britain
Smithfield Market Tenants Association London
South East Employers
South Western Provincial Employers Organisation
Stourbridge Crystal Glass Manufacturers Association

Thermal Insulation Contractors Association

Vehicle Builders and Repairers Association Limited

Welsh Engineers and Founders Association
Wire and Wire Rope Employers Association

Yorkshire and Humberside Local Authorities Employers Forum
Yorkshire Glass Manufacturers Association

Scotland

Electrical Contractors Association of Scotland
Employers in Voluntary Housing Limited

Glasgow and District Retail Fleshers Association

Hawick Knitwear Manufacturers Association

Malt Distillers Association of Scotland

Scottish and Northern Ireland Plumbing Employers Federation
Scottish Decorators Federation
Scottish Engineering
Scottish Grocery Trade Employers Association

Scottish Newspaper Publishers Association
Scottish Pharmaceutical Federation
Scottish Print Employers Federation

Appendix 2a

(see paragraph 1.9)

Unlisted Employers' Associations at 31 December 1998

England and Wales

Association of Colleges

Association of Master Lightermen and Barge Owners

Association of Post Production Companies

Association of Street Lighting Electrical Contractors

B F M Limited

British Ball Clay Producers Federation Ltd

British Ceramic Confederation

British Cutlery and Silverware Manufacturers Association

British Footwear Association

British Jewellery and Giftware Federation Ltd

British Luggage and Leather Goods Manufacturers Association

British Narrow Fabrics Association

British Secondary Metals Association

British Soft Drinks Association Ltd

Chemical Industries Association Ltd

Confederation of British Wool Textiles Limited

Corrugated Packaging Association

Covent Garden Tenants Association Limited

Federation of Engineering Design Companies Ltd

Felt Roofing Contractors Employers Association

Fencing Contractors Association

Food Manufacturers Industrial Group

Freight Transport Association

Heywood and District Cotton Employers Association Limited

Incorporated Guild of Hairdressers Wigmakers and Perfumers
Industrial Leathers Federation

Kidderminster District Carpet Manufacturers and Spinners Association
Knitting Industries Federation Limited

Leicester and County Footwear Manufacturers Association
Lighter Trades Industrial Section
Local Government Management Board - Welsh Region
London Association of Funeral Directors
London Fish Merchants Association (Billingsgate) Limited

Made-up Textiles Association Ltd
Master Carvers Association
Master Tanners Association
Metal Packaging Manufacturers Association

National Bedding Federation Limited
National Federation of Roofing Contractors Ltd
North West Timber Trades Association
North Western Local Authorities Employers Organisation
Northamptonshire Footwear Manufacturers Association
Northern Brick Federation
Norwich Footwear Manufacturers Association

Oldham and Rochdale Textile Employers Association Ltd

Radio Electrical and Television Retailers Association (RETRA) Ltd
Refractory Users Federation
Road Haulage Association Limited

Screen Printing Association (UK) Ltd

Sheffield Spoon and Fork Blank Manufacturers Association
Society of Master Shoe Repairers Ltd
Society of London Theatre “SOLT”
South Western Roadstone Employers Federation
Spitalfields Market Tenants Association Ltd

Textile Recycling Association
Textile Services Association Ltd
Theatrical Management Association Ltd
Tobacco Industry Employers Association

United Kingdom Jute Goods Association Ltd
Universities and Colleges Employers Association

Wall Covering Manufacturers Association of Great Britain Ltd
West of England Wool Textile Employers Association
West Midlands Local Government Association

Scotland

Aberdeen Fish Curers and Merchants Association Limited
Angus and Kincardine Master Plumbers Association
Argyll Building Trades Employers Association
Ayrshire and South West Association of the Scottish Building Employers Federation

Banff & Moray Master Plumbers Association
Brewers and Licensed Retailers Association of Scotland

Central Counties Plumbing and Mechanical Association
Civil Engineering Contractors Association (Scotland)
Clydesdale Wrights and Builders Employers Association

Dumbarton and District Master Wrights and Builders Association

Dundee and District Master Plumbers Association

Edinburgh and District Master Builders Association

Edinburgh and District Plumbing Employers Association

Fife and Kinross Master Plumbers Association

Forth Valley Building Trades Employers Association

Glasgow and West of Scotland Plumbing Employers Association

Grampian Building Employers Association

Highland Building Employers Association

Inverness and Northern District Master Plumbers Association

Lanarkshire Master Plumbers Association

Moray Banff and Nairn Building Trades Employers Association

National Farmers Union of Scotland

National Metal Trades Federation

Orkney Building Employers Association

Perth and District Building Trades Employers Association

Perth and District Master Plumbers Association

Renfrewshire Master Builders

Scottish Association of Master Bakers

Scottish Association of Meat Wholesalers

Scottish Building Employers Federation

Scottish Employers Council for the Clay Industries

Scottish Knitwear Association

Scottish Master Slaters and Roof Tilers Association

Scottish Master Wrights and Builders Association
Scottish Pre-cast Concrete Manufacturers Association

Tayside Association of Construction Employers

Western Isles Building Employers Association
Wholesale Grocers Association of Scotland

Appendix 3

(see paragraph 2.7)

Decisions on Trade Union Independence during 1998

Certificates of independence issued

Public and Commercial Services Union

Certificates of independence refused

None

Certificates cancelled because the union ceased to exist as a result of a merger

Amalgamated Association of Beamers Twisters and Drawers (Hand and Machine)

Civil and Public Services Association

Communication Managers Association

Gas Managers Association

Public Services Tax and Commerce Union

Certificates cancelled because the union was dissolved

Guild of Textile Supervisors

National Union of Mineworkers (Northumberland Mechanics Group No. 1 Area)

National Union of Mineworkers (Warwickshire District Midlands Area)

Northern Colliery Officials and Staffs Association

Skipton and District Power-Loom Overlookers Association

Appendix 4

Summary of Statistics - Trade Unions, 1997

The annual returns completed by trade unions for the Certification Office require the accounts to be shown in a particular way. The figures used in this Appendix are taken from these annual returns and provide a simple analysis. Copies of individual annual returns are available from the Office. Individual unions publish their own accounts with considerable variations in format. It may be difficult therefore to correlate the figures in the Appendix with those in any published accounts of individual trade unions. *The information in the table relates to the year 1997 and therefore to unions which were in existence at that time.*

Notes

- (a) The total membership reported by some trade unions includes a number of special categories (eg. honorary, retired, unemployed) who are members under the union's rules but who either pay no contribution to union funds or make a nominal payment only.
- (b) Investment income is shown net of certain items such as outgoings on property held as an investment, but not, for most unions, net of tax paid on that income.
- (c) Total income and total expenditure include receipts, outgoings and all other items which increased or decreased a union's total funds during the year. It is not confined to normal revenue income and expenditure. Tax recoveries and provisions no longer required are therefore included in total income, and tax paid is included in total expenditure.
- (d) Investment assets are shown at cost.
- (e) This figure has been changed from last year's report due to later information.
- (f) This figure includes some £8.6 million from net exceptional gains, mainly from property disposals.
- (g) Excludes eight sub-group returns which were not received before the end of the year.

Summary of Statistics - Trade Unions, 1997
(see paragraph 4.3)

Appendix 4

	Number of Members (a) (1)	GROSS INCOME				GROSS EXPENDITURE	TOTAL FUNDS		GROSS ASSETS				Total Liabilities £000s (13)
		From Members	From Investments	Other Income	Total Income	Total expenditure	Beginning of the Year	End of the Year	Fixed Assets	Investments	Other Assets	Total Assets	
		(b)	(b)		(c)	(c)				(d)			
		£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	
		(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)
UNISON: The Public Service Union	1,300,451	105,891	2,020	2,993	110,904	109,949	80,626 (e)	81,581	27,603	11,929	52,189	91,721	10,140
Transport and General Workers Union	881,357	60,275	3,178	8,808	72,261 (f)	61,038	66,188	77,411	46,870	23,501	13,157	83,528	6,117
Amalgamated Engineering and Electrical Union (g)	720,296	37,703	2,640	2,581	42,924	40,548	44,246 (e)	46,622	14,733	35,832	11,489	62,054	15,432
GMB	709,708	40,370	1,810	1,790	43,970	47,686	56,967	53,251	25,058	20,114	12,133	57,305	4,054
Manufacturing Science and Finance Union	416,000	23,511	130	626	24,267	22,572	8,811 (e)	10,506	13,559	1, 196	6,530	21,285	10,779
Royal College of Nursing of the United Kingdom	312,141	12,925	-	127	13,052	13,052	-	-	-	-	5,720	5,720	5,720
Union of Shop Distributive and Allied Workers	293,470	16,272	1,533	801	18,606	18,356	19,019	19,269	2,760	15,460	1,662	19,882	613
National Union of Teachers	276,819	14,917	1,184	1,374	17,475	15,769	9,046	10,752	3,827	3,646	5,686	13,159	2,407
Communication Workers Union	273,814	25,203	718	1,944	27,865	27,188	23,583	24,260	15,118	6,729	9,328	31,175	6,915
National Association of Schoolmasters and Union of Women Teachers	245,932	10,462	641	1,847	12,950	11,006	16,254 (e)	18,198	7,291	9,373	2,263	18,927	729
Graphical Paper and Media Union	204,822	18,529	3,269	5,571	27,369	27,336	39,982	40,015	3,429	14,458	24,901	42,788	2,773
Public Services Tax and Commerce Union	154,245	12,849	587	346	13,782	14,030	12,350 (e)	12,102	8,044	2,960	1,958	12,962	860
Association of Teachers and Lecturers	153,343	8,604	498	123	9,225	8,234	5,614	6,605	3,557	512	3,740	7,809	1,204
Union of Construction Allied Trades and Technicians	113,555	4,136	42	217	4,395	3,777	336 (e)	954	1,537	17	436	1,990	1,036
Banking Insurance and Finance Union	112,972	6,692	222	460	7,374	7,498	3,626	3,502	2,623	892	682	4,197	695
Civil and Public Services Association	111,657	8,518	655	55	9,228	7,893	16,379 (e)	17,714	6,443	480	11,302	18,225	511
British Medical Association	104,344	19,120	2,007	35,700	56,827	52,806	43,106	47,127	5,498	36,128	27,388	69,014	21,887
Total for above unions with 100,000 members or more	6,384,926	425,977	21,134	65,363	512,474	488,738	446,133	469,869	187,950	183,227	190,564	561,741	91,872
Total for 217 other listed unions with less than 100,000 members	1,410,363	122,727	14,768	36,572	174,067	162,348	234,004	245,723	73,233	129,310	85,068	287,611	41,888
Total for listed unions	7,795,289	548,704	35,902	101,935	686,541	651,086	680,137	715,592	261,183	312,537	275,632	849,352	133,760
Trades Union Congress	-	10,675	873	3,016	14,564	14,231	5,564	5,897	3,836	1,875	3,956	9,667	3,770
Total for 17 other unlisted unions which have submitted returns	6,026	17,259	3,463	2,262	22,984	16,804	50,294	56,474	4,735	35,736	35,660	76,131	19,657
Total for all unions 1997	7,801,315	576,638	40,238	107,213	724,089	682,121	735,995	777,963	269,754	350,148	315,248	935,150	157,187
Total for all unions 1996	7,938,213	560,676	38,679	84,567	683,922	650,013	703,088	736,997	250,991	321,758	309,688	882,437	145,440

Notes - see previous page

Appendix 4(a)

(see paragraph 4.13)

Salary and Benefits of Trade Union Chief Executives

England and Wales

	£	£
<i>Title</i>	<i>Salary</i>	<i>Benefits</i>
(General Secretary unless stated)		
Amalgamated Association of Beamers Twisters and Drawers (Hand and Machine)	19,872	2,038
Amalgamated Engineering and Electrical Union	56,199	14,254
ANSA	10,074	2,823
Associated Metalworkers Union	35,221	2,448
Associated Society of Locomotive Engineers and Firemen	52,980	13,305
Association for College Management	50,583	4,000
Association of Chiropodists and Podiatrists	6,612	-
Association of Educational Psychologists	36,097	4,332
Association of First Division Civil Servants	53,071	10,920
Association of Local Authority Chief Executives	-	2,500(a)
Association of Magisterial Officers	38,694	-
Association of Professional Music Therapists in Great Britain	Chairman -	1,154(a)
Association of Teachers and Lecturers	79,592	15,322
Association of University Teachers	53,346	9,602
Bakers Food and Allied Workers Union	27,223	6,050
Banking Insurance and Finance Union	43,480	8,794
Boots Pharmacists Association (JBPA)	5,000	-
British Actors Equity Association incorporating the Variety Artistes Federation	46,056	5,277
British Air Line Pilots Association	69,500	11,416
British Association of Advisers and Lecturers in Physical Education	11,806	-
British Association of Colliery Management	42,860	3,345
British Association of Dental Nurses	15,412	1,431
British Association of Journalists	9,900	439
British Dental Association	Chief Executive 73,290	416
British Medical Association	98,017	20,293
British Union of Social Work Employees	5,208	802
Brittanic Field Staff Association	National Secretary 21,632	5,675
Broadcasting Entertainment Cinematograph and Theatre Union	38,162	7,878
Cabin Crew 89	9,765	-
Ceramic and Allied Trades Union	30,689	13,615
Chartered Society of Physiotherapy	Chief Executive 30,805(b)	4,173
Civil and Public Services Association	50,271	-
Clerical Medical Staff Association	-	3,674
Church and Oswaldtwistle Power Loom Overlookers Society	70	-
CGU Staff Association	48,402	5,324
Communication Managers Association	45,049	17,266
Communication Workers Union	Joint General Secretaries 49,718(c) 61,713	20,559 8,743
	57,077(d)	24,350
Community and District Nursing Association	36,083	-
Community and Youth Workers Union	28,319	1,674

Confederation of Shipbuilding and Engineering Unions		44,601	13,826
Corporation of London Staff Association	Chief Executive	33,108	-
Ellington Branch of the North East Area of the National Union of Mineworkers		15,399	-
Engineering and Fasteners Trade Union		200	-
Engineers and Managers Association		63,870	13,437
Fire Brigades Union		43,864	16,582
Fire Officers Association		19,819	4,727
Gas Managers Association		34,567	4,532
General Dental Practitioners Association		23,158(a)	-
General Federation of Trade Unions		41,092	14,587
General Union of Loom Overlookers		14,101	-
Girobank Senior Managers Staff Association		-	200(a)
GMB		57,000	14,000
Government Communications Staff Federation		2,062	-
Graphical Paper and Media Union		59,183	15,350
Guild of Professional Teachers of Dancing		5,500	-
Hambro Staff Association		5,258	795
Headmasters and Headmistresses Conference		51,508	6,811
Hospital Consultants and Specialists Association	Chief Executive	41,310	12,112
Hyde and District Textile (Technicians and Operatives) Association		399	-
Immigration Service Union		-	625(a)
Independent Union of Halifax Staff		59,763	10,515
Institute of Football Management and Administration		19,100	-
Institute of Journalists (Trade Union)		22,460	-
Institution of Professionals Managers and Specialists		73,735	14,698
International Transport Workers Federation		49,913	11,267
Irish Bank Officials Association		72,060(IR£)	63,354(IR£)(e)
Iron and Steel Trades Confederation		48,631	7,974
Lloyds TSB Group Union		56,800	21,791
Managerial and Professional Officers Union		44,290	10,193
Manufacturing Science and Finance Union		65,499	7,912
Midland Area Association of Colliery Officials		17,327	8,849
Musicians Union		52,333	13,412
National Association of Colliery Overmen Deputies and Shotfirers		31,228	-
National Association of Colliery Overmen Deputies and Shotfirers (Northumberland Area)		-	1,453
National Association of Colliery Overmen Deputies and Shotfirers (South Wales Area)		11,073	-
National Association of Colliery Overmen Deputies and Shotfirers (Yorkshire Area)		32,514	-
National Association of Co-operative Officials		49,025	11,472
National Association of Educational Inspectors Advisers and Consultants		25,807	-
National Association of Head Teachers		75,487(f)	11,041
National Association of Licensed House Managers		23,719	7,327
National Association of NFU Group Secretaries		-	5,540
National Association of Probation Officers		40,330	7,266
National Association of Schoolmasters and Union of Women Teachers		63,340	16,270
National Association of Teachers in Further and Higher Education		23,560(g)	82,002
National Federation of Sub-Postmasters		53,753	15,982
National League of the Blind and Disabled		20,398	3,256
National Society for Education in Art and Design		35,192	2,833
National Union of Club Stewards		19,356	-
National Union of Domestic Appliances and General Operatives		22,154	5,074
National Union of Flint Glass Workers		1,750	-
National Union of Insurance Workers		36,105	19,428
National Union of Journalists		38,183	1,972
National Union of Knitwear Footwear and Apparel Trades		33,884	12,986

National Union of Lock and Metal Workers		23,237	9,104
National Union of Marine Aviation and Shipping Transport Officers		52,148	9,084
National Union of Mineworkers	President	69,642(h)	1,066(i)
National Union of Mineworkers (Cokemens Area)		38,785	1,060(i)
National Union of Mineworkers (Colliery Officials and Staffs Area) (Region No. 2)		24,248	-
National Union of Mineworkers (Colliery Officials and Staffs Area) (Region No. 4)		15,563	16,390
National Union of Mineworkers (Derbyshire Area)		38,645	5,347
National Union of Mineworkers (Durham Area)		6,948	-
National Union of Mineworkers (Leicester Area)		25,369	1,600
National Union of Mineworkers (Midland Area)		34,686	9,518
National Union of Mineworkers (Northumberland Area)		11,079	2,700
National Union of Mineworkers (Northumberland Mechanics Group No. 1 Area)		8,941	-
National Union of Mineworkers (North Wales Area)		16,023	4,551
National Union of Mineworkers (Power Group Area)		14,027	-
National Union of Mineworkers (South Wales Area)		26,882	74,049(i)
National Union of Mineworkers (Warwickshire District Midlands Area)		87,854(j)	4,272
National Union of Rail Maritime and Transport Workers		51,123	15,891
National Union of Teachers		72,249	6,309
Nationwide Group Staff Union		47,320	7,154
NatWest Staff Association		53,733	11,548
Northern Carpet Trades Union		20,124	8,530
Pattern Weavers Society		145	-
Power Loom Carpet Weavers and Textile Workers Union		22,100	3,359
Prison Officers Association		42,017	19,340
Professional Association of Teachers		37,636	121,054(k)
Professional Cricketers Association		35,000	7,119
Professional Footballers Association	Chief Executive	252,704	119,895
Public Services Tax and Commerce Union	Joint General Secretaries	59,221	7,083
		50,953	-
Retail Book Stationery and Allied Trades Employees Association		32,636	3,155
Retained Firefighters Union		26,160	10,742
Retired Officers Association		1,000	1,500
Royal College of Midwives		56,612	10,978
Royal College of Nursing of the United Kingdom		82,243(l)	17,227
Royal London District Managers Association		600	-
Secondary Heads Association		58,778	9,012
Sheffield Wool Shear Workers Trade Union		40	-
Skipton and District Power-Loom Overlookers Association		600	-
Society of Authors Limited		58,500	18,683
Society of Chiropodists and Podiatrists		31,313(g)	42,579
Society of Local Council Clerks		9,500	-
Society of Radiographers		23,625	453
Society of Registration Officers (Births, Deaths and Marriages)		-	440(a)
Society of Telecom Executives		59,005	8,842
Stable Lads Association		14,642	-
Trades Union Congress		58,181	9,188
Transport and General Workers Union		58,615	14,681
Transport Salaried Staffs Association		40,681	8,340
Undeb Cenedlaethol Athrawon Cymru (National Association of Teachers of Wales)		29,717	6,871
UNIFI		83,589	20,544
Union for Bradford and Bingley Staff		32,412	4,846
Union of Construction Allied Trades and Technicians		31,181	7,061
Union of Democratic Mineworkers		11,858	200
Union of Finance Staff		50,245	9,332
Union of Shop Distributive and Allied Workers		64,739(g)	11,918
Union of Textile Workers		21,292	4,952

Union of Royal and Sun Alliance Staff	46,293	5,256
UNISON - The Public Service Union	64,840(m)	19,129
United Friendly Agents Association	22,442	3,485
United Road Transport Union	36,745	7,808
Woolwich Independent Staff Association	31,076	7,854
Writers Guild of Great Britain	40,000	3,000

Scotland

Association of Head Teachers in Scotland	10,750	-
Educational Institute of Scotland	54,576	8,289
Independent Federation of Nursing in Scotland	2,400	-
National Union of Mineworkers (Scotland Area)	3,360	-
Offshore Industry Liaison Committee	22,472	-
Scottish Carpet Workers Union	20,408	2,021
Scottish Further and Higher Education Association	25,146	-
Scottish Prison Officers Association	33,409	8,931
Scottish Secondary Teachers Association	49,598	8,035
Scottish Union of Power Loom Technicians	-	100(a)

Notes:

- (a) Honorarium.
- (b) Payments are in respect of the period 1/04/97 to 14/10/97.
- (c) Payments are in respect of the period 1/01/97 to 24/04/97.
- (d) Payments made to the Acting Joint General Secretary for the period 24/04/97 to 31/12/97
- (e) Includes substantial exceptional payments into a pension fund.
- (f) The General Secretary also acts as the union's solicitor.
- (g) Total paid in respect of two people who held this post during 1997 and is not the sum paid to any one individual.
- (h) Includes arrears of £7,907
- (i) Pension benefits are provided in accordance with the rules of the NUM Officials and Permanent Employees Superannuation Fund.
- (j) Payments are in respect of the period 01/01/97 to 24/04/98 and include a back pay award and redundancy payment.
- (k) Includes past service deficit pension contributions and a termination payment.
- (l) These figures include payments made in respect of the General Secretary's role in the associated charitable trust.
- (m) Previous year's figures did not relate to a full year.

Appendix 5

Summary of Statistics - Employers' Associations, 1997

Appendix 5 provides a simple analysis of the annual returns made by employers' associations to the Certification Office. Copies of individual annual returns are available from the Office. It may be difficult to correlate these figures with those in an association's published accounts. Where an association has functions outside the field of industrial relations the return may relate to its activities as a whole and not merely to its industrial relations functions.

Notes

- (n) Income from investments includes interest on short term deposits.
- (b) Total income and gross expenditure include receipts, outgoings and all other items which increased or decreased an employers' association's funds during the year. It is not confined to normal revenue income and expenditure. Tax recoveries and provisions no longer required are therefore included in total income, and tax paid is included in total expenditure.
- (c) Investment assets are shown at cost.
- (d) This figure has been changed from last year's report due to later information.
- (e) Below £500.

Summary of Statistics - Employers' Associations, 1997

Appendix 5

(see paragraph 4.14)

	GROSS INCOME					GROSS EXPENDITURE		TOTAL FUNDS		GROSS ASSETS				Total Liabilities	Number of Members
	From Members	From Investments	Other Income	Total Income				Beginning of the Year	End of the Year	Fixed Assets	Investment Assets	Other Assets	Total Assets		
	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s
Employers' Associations with over £2,000,000 total income:-	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)		
EEF West Midlands Association	1,462	282	5,023	6,767	6,090	3,525	4,202	3,908	1,293	3,248	8,449	4,247	1,201		
Engineering Employers Federation	2,197	2,874	956	6,027	4,865	21,640	22,802	2,229	20,349	1,854	24,432	1,630	17		
EEF South	1,266	112	949	2,327	2,311	2,223(d)	2,239	1,444	1,012	469	2,925	686	580		
Engineering Employers East Midlands Association	475	50	1,700	2,225	2,106	737	856	468	518	270	1,256	400	380		
10 Other Engineering Employers Associations in Great Britain	5,352	423	3,824	9,599	9,149	4,965	5,415	1,801	1,671	5,130	8,602	3,187	2,887		
England and Wales Cricket Board Limited	-	-	43,982	43,982	43,901	-	81	236	-	5,430	5,666	5,585	39		
National Farmers Union	21,299	1,030	3,699	26,028	24,570	43,655(d)	45,113	27,721	15,640	12,733	56,094	10,981	127,024		
*Freight Transport Association Limited	2,618	123	10,526	13,267	12,916	4,066(d)	4,417	4,001	-	4,224	8,225	3,808	11,767		
Retail Motor Industry Federation Limited	3,401	279	9,034	12,714	11,866	3,016(d)	3,864	3,288	497	4,500	8,285	4,421	11,424		
Electrical Contractors Association	2,154	2,008	5,411	9,573	7,450	33,183(d)	35,306	396	41,920	7,322	49,638	14,332	1,970		
Heating and Ventilating Contractors Association	1,646	1,187	5,078	7,911	7,338	5,629	6,202	679	1,853	6,240	8,772	2,570	1,159		
British Printing Industries Federation	3,820	102	2,959	6,881	6,402	1,236	1,715	650	1,698	2,191	4,539	2,824	2,971		
Construction Confederation	1,372	66	4,341	5,779	5,677	5,769	5,871	4,185	435	7,386	12,006	6,135	8		
*Road Haulage Association Limited	1,934	122	3,347	5,403	5,365	3,909	3,947	4,000	21	1,413	5,434	1,487	9,687		
*Chemical Industries Association Limited	4,179	158	957	5,294	5,294	197	197	86	1,250	1,017	2,353	2,156	175		
National Federation of Retail Newsagents	4,720	244	17	4,981	4,450	2,941	3,472	1,949	1,453	1,809	5,211	1,739	24,886		
Newspaper Society	2,913	156	1,080	4,149	3,536	1,117	1,730	180	273	3,378	3,831	2,101	216		
*British Jewellery and Giftware Federation	693	447	2,818	3,958	2,754	7,191	8,395	1,189	8,618	756	10,563	2,168	1,996		
Federation of Master Builders	2,549	66	706	3,321	3,245	2,257	2,333	3,124	1,100	183	4,407	2,074	14,830		
National Pharmaceutical Association Limited	2,314	131	625	3,070	2,858	2,226	2,438	1,151	690	2,156	3,997	1,559	5,771		
Paper Federation of Great Britain Limited	1,315	12	1,264	2,591	2,600	1,218	1,209	1,334	(e)	606	1,940	731	57		
*Society of London Theatre 'SOLT'	2,214	54	11	2,279	2,281	184	182	2,376	-	1,836	4,212	4,030	94		
Total for above Employers' Associations	69,893	9,926	108,307	188,126	177,024	150,884	161,986	66,395	100,291	74,151	240,837	78,851	219,139		
Total for 82 other listed Employers' Associations	17,267	1,300	10,069	28,636	27,358	24,679	25,957	12,024	8,566	14,991	35,581	9,624	43,955		
Total for 97 other unlisted Employers' Associations	12,280	736	6,011	19,027	17,670	12,092	13,449	4,703	2,811	13,082	20,596	7,147	10,743		
Total for all Employers' Associations 1997	99,440	11,962	124,387	235,789	222,052	187,655	201,392	83,122	111,668	102,224	297,014	95,622	273,837		
Total for all Employers' Associations 1996	94,730	10,720	110,898	216,348	207,056	174,901	184,193	79,648	103,007	83,444	266,099	81,906	268,294		

*Unlisted Employers' Associations
Notes - see previous page

Appendix 6

(see paragraph 5.3)

Trade Unions Maintaining Members' Superannuation Schemes at 31 December 1998

Note: * Denotes unions maintaining schemes exempted from the need for actuarial examination.

Amalgamated Engineering and Electrical Union

*Associated Society of Locomotive Engineers and Firemen

GMB

Graphical Paper and Media Union (6 schemes)

*Iron and Steel Trades Confederation

Manufacturing Science and Finance Union (2 schemes)

National Union of Flint Glass Workers

National Union of Knitwear Footwear and Apparel Trades

*National Union of Mineworkers (2 schemes, both exempt)

*National Union of Mineworkers (North Stafford Federation Midland Area)

*National Union of Rail Maritime and Transport Workers (2 schemes, 1 exempt)

*Transport and General Workers Union

Appendix 7

(see paragraph 6.9)

Mergers completed in 1998

Trade Union Amalgamation

<i>Amalgamating Trade Unions</i>	<i>Forming</i>	<i>Amalgamation registered on</i>
Civil and Public Services Association <i>and</i> Public Services Tax and Commerce Union	Public and Commercial Services Union	10.3.98

Trade Union Transfers of Engagement

<i>Engagements transferred from</i>	<i>To</i>	<i>Transfer registered on</i>
Amalgamated Association of Beamers Twisters and Drawers (Hand and Machine)	National Union of Knitwear Footwear and Apparel Trades	23.1.98
Clerical Medical Staff Association	Independent Union of Halifax Staff	31.3.98
Communication Managers Association	Manufacturing Science and Finance Union	8.5.98
Gas Managers Association	GMB	29.10.98

Appendix 8

Political Funds of Trade Unions, 1997

(See Paragraph 7.13)

	Number of Members contributing to the Political Fund	Number of Members exempt from contributing to the Political Fund	POLITICAL FUND (a)			
			Income	Expenditure	Fund at Beginning of Year	Fund at End of Year
	(b) (1)	(b) (2)	£ (3)	£ (4)	£ (5)	£ (6)
Amalgamated Engineering and Electrical Union	429,421	98,579	931,000	1,829,000	1,267,000	369,000
Associated Society of Locomotive Engineers and Firemen	13,940	315	65,084	96,223	77,668	46,529
Association of Her Majesty's Inspectors of Taxes	2,144	91	6,408	-	51,593	58,001
Association of University Teachers	32,551	-	27,048	21,544	70,805	76,309
Bakers Food and Allied Workers Union	28,731	12	60,153	48,843	1,486	12,796
Broadcasting Entertainment Cinematograph and Theatre Union	28,555	95	49,579	34,675	38,489	53,393
Ceramic and Allied Trades Union	20,259	219	95,674	55,623	194,178	234,229
Civil and Public Services Association	-	-	4,368	-	(4,368)	-
Communication Managers Association	12,956	630	16,231	22,527	20,449	14,153
Communication Workers Union	231,748	31,005	1,208,272	1,250,741	480,361	437,892
Educational Institute of Scotland	47,812	1,816	82,615	264,241	474,080 (c)	292,454
Fire Brigades Union	41,374	10,052	166,412	165,874	187,776	188,314
General Union of Loom Overlookers	225	106	450	721	565	294
GMB	662,446	47,262	2,838,000	2,832,000	72,000	78,000
Graphical Paper and Media Union	72,771	132,051	417,878	584,570	739,427	572,735
Institution of Professionals Managers and Specialists	63,191	1,302	37,714	9,004	93,513	122,223
Iron and Steel Trades Confederation	26,832	5,467	147,098	147,822	54,381	53,657
Manufacturing Science and Finance Union	167,294	248,706	613,000	470,000	396,000	539,000
Midland Area Association of Colliery Officials	317	3	1,699	1,600	3,454	3,553
Musicians Union	27,657	920	34,892	45,174	22,036	11,754

	Number of Members contributing to the Political Fund	Number of Members exempt from contributing to the Political Fund	POLITICAL FUND (a)			
			Income	Expenditure	Fund at Beginning of Year	Fund at End of Year
	(b) (1)	(b) (2)	£ (3)	£ (4)	£ (5)	£ (6)
National Association of Colliery Overmen Deputies and Shotfirers	781	2	4,144	6,447	33,437 (c)	31,134
National Association of Schoolmasters and Union of Women Teachers	136,882	35,970	74,358	126,234	167,919	116,043
National Association of Teachers in Further and Higher Education	53,054	2,864	67,959	73,185	35,327	30,101
National League of the Blind and Disabled	882	1,260	2,713	4,135	8,754	7,332
National Union of Domestic Appliances and General Operatives	2,247	3	1,251	1,190	1,412	1,473
National Union of Insurance Workers	7,773	2,574	10,985	10,390	84,544	85,139
National Union of Knitwear Footwear and Apparel Trades	37,484	591	113,477	86,652	60,031	86,856
National Union of Mineworkers	5,543	392	83,063	97,976	261,450 (c)	246,537
National Union of Rail Maritime and Transport Workers	55,655	682	225,000	241,000	134,000	118,000
Power Loom Carpet Weavers and Textile Workers Union	1,413	-	1,800	2,575	9,206	8,431
Public Services Tax and Commerce Union	139,788	8,182	258,489	204,830	713,637	767,296
Scottish Carpet Workers Union	620	-	7	-	3,258	3,265
Society of Telecom Executives	9,689	7,273	32,407	82,871	62,162	11,698
Transport and General Workers Union	809,373	24,157	2,405,000	2,469,000	3,895,000	3,831,000
Transport Salaried Staffs Association	27,211	3,912	92,788	135,523	90,149	47,414
Union of Construction Allied Trades and Technicians	81,644	9,289	213,000	212,000	7,000	8,000
Union of Democratic Mineworkers	2,387	-	1,692	4,649	11,474	8,517
Union of Shop Distributive and Allied Workers	271,984	21,486	988,009	1,399,223	1,001,902	590,688
Union of Textile Workers	1,547	12	3,203	-	3,247	6,450
Unison: The Public Service Union	1,184,333	93,589	4,660,000	5,148,000	4,407,000	3,919,000
Total for the 40 unions with political funds for 1997	4,740,514	790,869	16,042,920	18,186,062	15,231,802	13,088,660
Total for the 42 unions with political funds for 1996	4,893,762	875,311	16,209,560	15,774,642	14,782,256	15,217,174

Notes:

- (a) The information in the table relates to the position at the end of 1997 and therefore to unions which were in existence at that times.
- (b) It should be noted that columns (1) and (2) do not necessarily add up to a union's total membership. This is because, in the case of some trade unions, total membership includes various classes of special category members (eg honorary, retired, unemployed) who are members under the union's rules but who are neither required to pay the political levy nor to seek formal exemption.
- (c) This figure has been changed from last year's report due to later information.

Appendix 9

Current statutory fees applicable from 1 April 1998

Fees are calculated to represent the full cost of providing each service.

	Current Fee
Application for entry in the list of trade unions	£139
Application for entry in the list of employers' associations	£139
Application for approval of a change of name	£ 87
Application for a certificate of independence	£3,891
Application for formal approval of an instrument of transfer of engagements or an instrument of amalgamation	£1,950
Inspection of merger documents	£ 46

Note: Details of refund of ballot costs shown as Appendix 9 in previous years are now included in the introduction

Appendix 10

Certification Office Publications

The following Certification Office booklets are available free of charge on request:

1. *Mergers: a guide to the statutory requirements for transfers of engagements and amalgamations of trade unions (1994)**
2. *Mergers: a guide to the statutory requirements for transfers of engagements and amalgamation of employers' associations (1994)**
3. *Guidance for trade unions wishing to apply for a certificate of independence (1992)**
4. *Guidance for trade unions and employers' associations wishing to establish a political fund (1994)**
5. *A guide to political fund review ballots (1993)**
6. *Financial Irregularities in trade unions and employers' associations. The approach of the Certification Officer in exercising his powers of investigation (1995)**
7. *Annual Reports of the Certification Officer*

* These publications are under review and will be reissued during 1999

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