

Annual
Report
of the
Certification
Officer

1995

Certification Office for
Trade Unions and Employers' Associations

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CERTIFICATION OFFICE
FOR TRADE UNIONS AND EMPLOYERS' ASSOCIATIONS

**Annual Report
of the Certification Officer
1995**

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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 1995.

E G WHYBREW
Certification Officer

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Introduction

This report deals with my activities during the calendar year 1995. It is the twentieth Annual Report to be published since the post of Certification Officer was established and it is the first report to be made since responsibility for the legislation governing my functions transferred to the Secretary of State for Trade and Industry. These 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 I, Chapter IX - for reimbursing certain expenditure incurred by independent trade unions in conducting secret postal ballots for specified purposes in accordance with The Funds for Trade Union Ballots Regulations 1984 (as amended).

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

In my last report I noted a high level of work arising on complaints by trade union members and a steep increase from the previous year in the number of ballots for which refund applications were received. During 1995 ballot refund applications remained at a very high level but work will run down when the scheme from which they

stem ends in April 1996. Complaints have continued to give rise to a great deal of work but the nature of the complaints has altered. I had to issue decisions on just two complaints about elections, political funds and mergers - compared with 11 last year. However a small number of individual complainants, sometimes also using the press to air their grievances, gave rise to a considerable amount of work investigating the financial affairs of trade unions. I was usually able to deal with these without exercising my powers to require documents or to launch a formal investigation. I have issued a separate guidance note* on how I exercise these powers which are both new (they came into force on 30 August 1993) and potentially expensive.

These changes in the balance of my activities have come about largely as a result of changes in legislation (the 1993 Trade Union Reform and Employment Rights Act) and in issues raised by members. Other changes I have instigated. For example I have focused attention on those unions and employers' associations who have been persistently late in sending their annual returns. Also in areas where I have to approve documents or ballot papers I have sought to ensure not just that they satisfied the law but that they were presented in a way that made them intelligible to members who had to take decisions on them. There is a long way to go in this regard but the start made with political fund ballots will be followed through. My aim in pressing for the clear presentation of issues is to reduce the chance of voting being unduly influenced by activists or the media.

One addition to this year's report is the publication of the names of those trade unions and employers' associations who have not sought to be 'listed'. Some of these organisations are required to make returns which are available for public inspection and this step means that a full published record now exists of all the organisations which were required to submit returns in 1995.

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 1995 there were 15 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 shown in the accounts prepared by ACAS and published separately by order of the House of Commons. In broad terms it is estimated that about 39% of the Office's resources are 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; 36% to work arising from the refund of costs of trade unions' secret postal ballots; and the remainder to other matters including trade union election complaints, trade union mergers, political funds and trade union finances.

The statutory fees to be paid for certain items of work undertaken by the Office were changed by Regulations† made by the Secretary of State for Employment. The fees are reviewed annually and any change normally becomes effective from 1 April.


* See Appendix 11.

† The Certification Officer (Amendment of Fees) Regulations 1995 (S.I. 1995 No. 483).

The net cost of the Office for the year ended 31 March 1995 was £548,000. My salary as Certification Officer at 31 March 1995 was £34,210 for a three day week. This sum is pensionable at an additional cost to the public purse of £5,815 and it is taxed under PAYE.

Advice and contacts for information

Although for the reasons given in the report for 1993 it can sometimes be inappropriate to give advice when asked, the Office is happy to assist where it can and guidance booklets covering different aspects of my responsibilities are available free of charge. They are listed in Appendix 11. Requests for further information on any aspect of the Certification Officer's duties should be made to the Certification Office, 27 Wilton Street, London, SW1X 7AZ, 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 1995 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 10 for statutory fee). If the Certification Officer is satisfied that the organisation falls within the appropriate definition in the 1992 Act - either section 1 for trade unions or section 122 for employers' associations (reproduced in full in the 1992 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, 27 Wilton Street, London SW1X 7AZ. 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 1LN.

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 Set out below are the names of the trade unions and employers' associations removed from the list during 1995.

Trade Unions

Artists Union
Association of Vice Principals of Colleges

Electrical and Plumbing Industries Union
English Estates Staff Union

Film Artistes Association

National Communications Union (Engineering and Clerical Groups)
National Union of Mineworkers (Cannock Chase and Pelsall District Midland Area)
National Union of Mineworkers (Durham Mechanics Group No. 1 Area)
National Union of Mineworkers (Lancashire Area)

Professional Association of Nursery Nurses
Professional Staff Association of Scottish Woodland Owners Association
(Commercial) Ltd

Rediffusion Simulation Staff Association
Rumbelows Branch Managers Association
Rumbelows Retail Staff Association (RRSA)

Union of Communication Workers
Union of Medical Administrative Staff

Employers' Associations

British Brush Manufacturers Association
British Ceramic Manufacturers Federation

Federation of Staffordshire Clothing and Textile Employers

Polytechnics and Colleges Employers Forum

Yorkshire and Humberside Local Authorities Employers Organisation

The lists at 31 December 1995

- 1.8 As required by sections 2 and 123 of the 1992 Act this Report includes the lists as at 31 December 1995. They are reproduced as Appendices 1 and 2. The lists at the end of 1995 comprised 256 trade unions and 114 employers' associations.

Changes during 1995 are summarised in the table below:

	On lists at 31 December 1994	Changes between 1 January 1995 and 31 December 1995		On lists 31 December 1995
		Additions	Removals	
Trade Unions	267	6	17	256
Employers' Associations	117	2	5	114

1.9 The six additions to the list of trade unions are shown in italics in Appendix 1. Of the 17 unions removed from the list six had ceased to exist as a result of mergers, 10 had been dissolved and one was removed by the Certification Officer because it was not a trade union within the meaning of the Act.

1.10 Two employers' associations were added to, and five removed from the list. All five employers' associations removed from the list had been dissolved.

Unlisted organisations

1.11 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 25 trade unions and 115 employers' associations which have 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 in relation to trade union law, 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.

Central Statistical Office

1.12 During the year changes to the machinery of government resulted in the Central Statistical Office being made responsible for the production of the *Directory of Employers' Associations, Trade Unions, Joint Organisations, etc.*. The main basis for updating this and for compiling its annual statistics of numbers and membership of trade unions is provided from information collected by the Office.

2

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".*

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 10 for statutory fee). The Certification Officer must keep a public record of all applications for such certificates and of all decisions reached. A notice of each application is published in the London Gazette at the time. He may not take a decision on any application until at least one month after it has been entered in the record and must take into account any relevant information submitted to him by any person. He is required to give his 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, industrial tribunals 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.

*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".

Criteria

- 2.5 The principal criteria used by the Certification Officer in determining whether or not an applicant union (other than in the prison service where separate statutory provisions apply) satisfies the statutory definition are explained in the Office's booklet *Guidance for trade unions wishing to apply for a certificate of independence*. Consideration is given 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 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 and Reviews

- 2.6 Four applications for certificates of independence were received in 1995. In addition work continued on two applications carried over from the previous year. Two certificates were reviewed during the year as a result of complaints that the unions concerned were no longer independent. One review, carried over from the previous year, was completed and the union's independent status was confirmed. The second review was continuing at the end of the year.

Decisions

- 2.7 During the year six certificates of independence were issued, two of which were in respect of applications carried over from the previous year. No applications were refused in 1995. There were no applications outstanding at the end of the year. Seven 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 shows how the changes relating to financial affairs introduced by the Trade Union Reform and Employment Rights Act 1993 were administered.

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, and 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 the 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 The Act requires a return to be submitted before 1 June in each year and to cover 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.
- 3.4 The annual return must include a copy of the auditor's report on the accounts. Under section 34 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.
- 3.5 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. This year 2.6% of the annual returns received by the Office contained a qualified audit report. These qualifications were mainly of a minor, technical nature and appropriate action has been taken to deal with them.

- 3.6 Provided the period covered is the same and there is no significant diminution in the degree of disclosure, a special register body (see 1994 Annual Report, paras 1.10-1.12) 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.
- 3.7 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 would not normally consider undertaking prosecutions for such offences as embezzlement or fraud which would be dealt with by the other prosecuting agents under the ordinary criminal law. However, the Certification Officer is empowered to appoint inspectors to investigate allegations of financial irregularities in the affairs of a trade union or employers' association, and in such circumstances it would be open to the Certification Officer to instigate legal proceedings. (see para 3.17)

Late submission of returns

- 3.8 The 1992 Act requires an organisation to submit an annual return to the Certification Officer within five months of the year end (para 3.3). In 1995 approximately 17% of returns were submitted over two months late; however by the end of the year 98% had been received. The returns from trade unions covered 99.9% of all trade union members. The Office continues to seek stricter compliance with the statutory requirements, and will take steps to improve the performance of persistent offenders.

Legal Proceedings

- 3.9 During 1995 legal proceedings were initiated against the Union of Dexion Workers for failing to submit an annual return of its financial affairs as required by section 32 of the 1992 Act. Neither the 1993 or the 1994 return had been received. The case was listed to be heard in November 1995 but, following the submission of the 1993 return, a postponement was sought and granted. The 1994 return was submitted towards the end of December.

Salaries and benefits

- 3.10 Financial information derived from the annual returns of trade unions and employers' associations is given at Appendices 4, 5 and 8. *That information and the following comments in this Chapter relate to the year 1994.* This is because the Office's information is derived from the annual returns (which include audited accounts) for 1994 which were submitted during 1995, the year covered by this report.
- 3.11 The Trade Union Reform and Employment Rights Act 1993 ("the 1993 Act") amended the 1992 Act and provided, amongst other things, that a trade union's annual return to the Certification Officer must contain information about the salaries and benefits paid to its national officers and executive members from the organisation's funds. Information from the annual returns received from trade unions showed that nearly two thirds of unions paid a salary or honorarium to their general secretary. Of these 34% paid over £40,000 and 31% paid between £20,000 and £40,000.
- 3.12 At the end of 1994 the Office was in contact with the National Union of Mineworkers (NUM) and its solicitors regarding the disclosure of superannuation contribution payments as part of the overall requirement to provide figures for benefits in respect of the president, general secretary and members of the executive committee. The outcome was that the Certification Officer decided not to press for a financial value to be put on contributions made to a *defined benefits* superannuation scheme. However, in order to meet the statutory requirements, unions contributing to this type of scheme in respect of the specified officials may alternatively provide a description or summary of the pension benefit to which the relevant officers are entitled. Where a formula relating to final salary and years of service is used to calculate the pension and lump sum payment then this formula should be shown. Currently only three unions other than the NUM contribute to this type of scheme.
- 3.13 The following table gives, in the fifth and sixth columns, the amount paid in salary and benefits to chief officers of the ten trade unions making the largest payments for 1994; the third and fourth columns give the amounts paid by the same unions for 1993 in respect of the holder of that particular office. The benefits returned consist mainly of superannuation contributions; employers national insurance contributions are excluded from both sets of figures in the table this year.

Union	Title	1993		1994	
		(£) Salary	(£) Benefits excluding NI contri- bution	(£) Salary	(£) Benefits excluding NI contri- bution
Professional Footballers Association	Chief Executive	158,084	112,367	166,284	112,499
British Medical Association	General Secretary	71,928*	15,906	76,218	17,500
Royal College of Nursing of United Kingdom	General Secretary	71,418	15,803	74,262#	9,239
Association of Teachers and Lecturers	General Secretary	71,270	14,559	71,270	14,559
UNIFI (previously called Barclays Group Staff Union)	General Secretary	72,615*	31,813	68,671	17,659
National Association of Head Teachers	General Secretary**	67,014*	8,302	68,640	10,311
National Union of Teachers	General Secretary	64,680	4,327	66,247	3,942
British Dental Association	Chief Executive	67,252	430	65,610	10,255
UNISON - The Public Service Union#	General Secretary	-	-	64,143	7,302
Institution of Professionals Managers and Specialists	General Secretary	56,022	11,112	60,037	3,462

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:

- the total income and expenditure of the union;
- how much of the income consisted of payments in respect of membership;
- the total income and expenditure of any political fund of the union, and
- the salary and other benefits paid to each member of the executive, the president and the general secretary.

*The figure for salaries and benefits used for 1993 has been changed from last year's report due to later information.

#The Royal College of Nursing of the United Kingdom is a special register body and as such only £29,705 of the general secretary's salary is in respect of trade union activities.

**The General Secretary also acts as the union's solicitor.

***UNISON - The Public Service Union was formed following the amalgamation of NALGO NUPE and COHSE; there were therefore no comparable figures available for 1993.

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. Although some unions initially issued statements that were deficient in some degree, following discussions with the Office the position was rectified through the circulation of amendments which ensured that the statutory requirements were met. The Office will endeavour 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 trade unions and employers' associations. Under the new 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 During the year the Certification Officer received separate approaches from a number of union members expressing concern about particular aspects of the conduct of the financial affairs of their trade unions. Of these, four involved the Transport and General Workers Union (TGWU) and others concerned the Union of Construction Allied Trades and Technicians (UCATT), the Union of Shop, Distributive and Allied Workers (USDAW), the Prison Officers Association (POA) and the Royal College of Midwives (RCM). Generally these matters were resolved either through correspondence between the Office and the parties concerned or by means of informal meetings with the union or the individual or a combination of these methods.

3.19 One case, carried over from last year, involved Region 6 of the TGWU. Following discussions with the union and the members concerned the Certification Officer was satisfied that the union had dealt with the original concern satisfactorily. However several other members of the TGWU made allegations concerning the misuse of union funds for election purposes. The individuals concerned were asked to supply evidence and a meeting was held with the union. The Certification Officer has since written to the union indicating that although certain aspects of the matter seemed unsatisfactory and the position might usefully be clarified in the union's rules, in the main he was content that this was not something on which he should exercise his powers under section 37B of the 1992 Act. His letter to the union giving the reasons for his decision is held on the public record. The provision of mortgages to full-time officials of the TGWU allegedly in breach of union rules gave rise to another complaint and at the end of the year the Certification Officer was evaluating the issues raised and reviewing the documentation provided before deciding on a course of action.

3.20 A slightly more formal approach was taken in two other cases. One of these involved UCATT and concerned the administration of branch funds. Following an interview with the complainant the union was asked to provide papers relating to the collection of branch contributions. The Certification Officer met officers of the union to discuss the issues and, following this meeting, Certification Office staff visited the union's office to examine records and documents relating to the financial administration procedures. The union had clearly made substantial changes to rectify the concerns raised but this matter was not finally resolved at the year end.

3.21 The case involving the POA was dealt with in a similar manner. Following an approach from a member regarding expenses paid to members of the executive committee, documents were requested from the union. The Certification Officer met officials from the union and their representatives to discuss the issues raised. In these discussions the union agreed to supply further information once it was available. It is clear from this case, and a similar one mentioned in last years report that the issue of credit cards to union officials has the potential for

misunderstanding and misuse. In this and the other two cases specified above the Office continues to be in contact with the parties and expects to resolve the issues early in 1996.

3.22 In all of these cases the Certification Officer has relied on his own powers of investigation under section 37A. He has not so far launched a formal investigation under section 37B. There are no requirements to publish reports on 37A investigations but in significant cases the Certification Officer has written to the union concerned recording the facts and the conclusion of his enquiries and has placed a copy of that letter on the publicly available file containing the union's annual returns.

Public inspection of annual returns

3.23 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.

Financial and Membership Information

This Chapter identifies changes in both trade union membership and expenditure and employers' association income and expenditure between 1993 and 1994.

Returns for 1994

- 4.1 As was indicated in Chapter 3 the information and comments in this chapter relate to the year 1994, and the information derived from the annual returns of trade unions and employers' associations is given at Appendices 4, 5 and 8.
- 4.2 Appendix 4 shows that at the end of 1994 there were 17 trade unions with over 100,000 members.
- 4.3 Appendix 5 shows that at the end of 1994 there were 29 employers' associations with an annual income of over £1,500,000.
- 4.4 The total of 501 organisations which submitted returns for 1994 was made up as follows:

Listed trade unions	260
Unlisted trade unions	13
Listed employers' associations	114
Unlisted employers' associations	114

Trade unions

- 4.5 A summary of statistics concerning the membership and finances of trade unions for 1994 is given in Appendix 4. Details are shown for each union with over 100,000 members.
- 4.6 *Comparability with 1993 figures.* The statistics in Appendix 4 are based on returns from 273 unions in 1994 compared with returns from 297 unions in 1993. All unions of substantial size are included in both sets of figures, which are therefore broadly comparable (exceptions to this comparability are noted where they are significant).
- 4.7 The trade unions from which returns were received had a total membership of 8,230,545. The major unions with a membership of over 100,000 accounted for 6,517,464 members or 79% of the total.
- 4.8 The returns show that in 1994 total trade union membership fell by approximately 5% from the previous year. The total membership of 8.2 million compares with the peak of 13.2 million in 1979.
- 4.9 The following table shows changes of 10,000 or more in the total membership of individual unions between December 1993 and December 1994:

Changes in Trade Union Membership

	Total Membership (000's)		
	1993	1994	Changes
<i>Increases</i>			
National Union of Teachers	232	245	+ 13
<i>Decreases</i>			
Amalgamated Engineering and Electrical Union	835	781	- 54
Transport and General Workers Union	949	914	- 35
Manufacturing Science and Finance Union	516	482	- 34
Graphical Paper and Media Union	250	225	- 25
GMB	809	790	- 19
Union of Shop Distributive and Allied Workers	299	283	- 16

Membership figures

- 4.10 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 1994 provided figures indicating that the total number of contributing members was 8% less than the figure for total membership.

Finance

- 4.11 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.
- 4.12 In 1994 the gross income of trade unions was £724 million an increase of 17.5% over 1993 whilst income from members rose to £603.8million. However these figures are distorted by particular sets of circumstances. The formation of UNISON-The Public Service Union on 1 July 1993 meant that the figures for that union in this year's report are for an eighteen month period, whilst the 1993 report figures in respect of the three unions which amalgamated to form UNISON were for periods of between six and nine months. Thus the 1994 figure overstates the apparent increase. Additionally, changes in the presentation of the accounts of some unlisted unions for this year's report has resulted in figures indicating an apparent increase in membership income. If allowance is made for

each of these factors, the resulting calculations show that the total income of trade unions for 1994 rose by 4.1% while income from members stayed almost static at just over £424 million.

- 4.13 After making the same allowances in calculating expenditure, as for income, the gross expenditure of trade unions rose from £484.5 million in 1993 to £512.3 million in 1994, whilst the total funds (net assets) of trade unions rose to £568.1 million an increase of 4.4% over the previous year. These total fund figures as with those given at Appendix 4 include both general funds and others where applicable, e.g. contingency, superannuation and political funds*.

Employers' associations

- 4.14 A summary of statistics concerning the membership and finances of employers' associations for 1994 is given in Appendix 5. Details are given for each association (including unlisted associations) with total income of more than £1,500,000.
- 4.15 The statistics in Appendix 5 are based on returns from 228 employers' associations compared with returns from 232 associations for 1993. The largest employers' associations, as measured by total income, are included in both sets of figures which are therefore broadly comparable.
- 4.16 In 1994 the gross income of employers' associations was £195.4 million compared with £201.6 million in 1993, a decrease of 3.1%. Income from members rose from £94.2 million to £97.7 million. Income from investments fell from £11.9 million to £9.9 million. Gross expenditure increased from £179 million to £188 million (5%).
- 4.17 The figures given in the Appendix include both general funds and, where applicable, funds maintained for specific purposes. At the end of 1994 total funds (net assets) of employers' associations amounted to £159.6 million an increase of £8.9 million (5.9%) over the previous year's figure.

*Separate figures for political funds are given in Appendix 8.

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' association* 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.
- 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 four 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.

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

Reports: 1995

- 5.5 One report was due in 1995 and four were outstanding from 1994. All of these were received during the year. The 1995 report and three of those outstanding were received from the Graphical, Paper and Media Union (GPMU). Each of these reports concerned schemes carried over from the merger in 1991 of the Society of Graphical and Allied Trades 1982 and the National Graphical Association (1982) to form GPMU. The other report was received from the National Union of Flint Glassworkers.
- 5.6 One scheme operated by the former Association of Pattern Makers (APAC) - now part of the Manufacturing, Science and Finance Union (MSF) - was closed to further contributions during 1988. During 1995 MSF applied to the Certification Officer for an exemption from submitting an actuarial report on the grounds that the fund held no assets, with all obligations being guaranteed by MSF, and that no further contributions were being made to the fund. The Certification Officer met the union and their auditors and it was agreed that before he made any decision about exemption the union would take action to ensure that the actuaries held a full membership list for the scheme; that the executive committee of the union would formalise the undertaking to meet all the obligations of the scheme and finally that a separate system was put in place for the payment of benefits. By the end of the year the union had been in contact with the actuaries regarding the membership list and had undertaken to print information on the scheme in the January 1996 issue of the union journal. This would ensure that a member would know whom they should contact if they felt their name should be on the membership list and had been omitted. The union confirmed that the November 1995 meeting of the national executive committee agreed to meet any call on the fund by pensioners. These issues will be reviewed at the beginning of 1996.

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 during the year. Appendix 7 lists the mergers registered during 1995.

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 ("the transferor") loses its legal identity whilst the organisation to which it transfers ("the transferee") 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 10 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 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.
- 6.5 In a transfer of engagements only the members of the transferor 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 following 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.

- 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 transferor 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 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 10 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: 1995

- 6.9 During 1995 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 287,309 members. The largest merger registered in 1995 involving 280,811 members, was the amalgamation between the Union of Communication Workers and the National Communications Union (Engineering and Clerical Groups) to form the Communication Workers Union. The merger took effect on 25.1.1995. One amalgamation and three proposed transfers of engagements involving trade unions were in progress at the end of the year.

Complaints against BACM

- 6.11 The Certification Officer's 1994 Annual Report, at paragraphs 6.12 to 6.14, reported the receipt of a number of complaints concerning the conduct of the ballot in a proposed transfer of the engagements of the British Association of

Colliery Management (BACM) to the Engineers and Managers Association (EMA). The Certification Officer dismissed the complaints but subsequently BACM indicated that, although the ballot had been favourable, it wished to withdraw from the proposed merger. The Certification Officer took the view that the process had passed the point at which it was possible for one party unilaterally to proceed in this way and that he was bound to register the merger. BACM was granted leave to seek judicial review of this decision and an order was granted preventing registration until the outcome of the proceedings was known.

- 6.12 Early in 1995, following agreement between BACM and EMA, the Certification Officer was approached on behalf of both unions with a view to a joint withdrawal from the merger being agreed by the Certification Officer. Following receipt of a formal application for withdrawal signed by the general secretary and three members of the executive of each union, the Certification Officer notified the parties that he had agreed not to register the instrument of transfer of engagements. The judicial review proceedings were subsequently withdrawn.

Legal rulings

- 6.13 An action heard in the High Court in Manchester* in July 1995 clearly confirmed the Certification Officer's view that a consequence of amalgamation is that the amalgamating unions and their rule books cease to exist on the vesting day of the new union. Interestingly this case also established that there were circumstances under which disciplinary action being initiated against members of a union which later amalgamated could be continued after the amalgamation had taken place even though no express provision had been made for this in the instrument of amalgamation.
- 6.14 The decision of the Employment Appeal Tribunal which overturned the Certification Officer's decision in case number CO1964/B relating to the NUM (Yorkshire Area) referred to in last year's annual report was fully reported in [1995] ICR 482 and [1996] IRLR 411.

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 10 for statutory fee). During 1995 approval was given to the changes of name of five trade unions and two employers' associations as shown over page:

*McVitae and others v UNISON [1996] IRLR 33

Trade Unions

<i>From</i> Clerical Medical and General Staff Association	
<i>To</i> Clerical Medical Staff Association	26.1.95
<i>From</i> Barclays Group Staff Union	
<i>To</i> UNIFI	31.3.95
<i>From</i> District Nursing Association UK	
<i>To</i> Community and District Nursing Association	4.4.95
<i>From</i> Yorkshire Building Society Staff Association	
<i>To</i> Yorkshire Independent Staff Association	19.10.95
<i>From</i> Association of Football League Referees and Linesmen	
<i>To</i> Association of Premier League and Football League Referees and Linesmen	24.10.95
<i>From</i> Star Aluminium Managerial Staff Association	
<i>To</i> Lawson Mardon Star Ltd Managerial Staff Association	3.11.95
Employers' Associations	
<i>From</i> National Association of Shopkeepers and Self Employed of Great Britain and Northern Ireland	
<i>To</i> National Association of Self Employed of Great Britain and Northern Ireland	22.5.95
<i>From</i> Dairy Trade Federation Ltd	
<i>To</i> Dairy Industry Federation Ltd	23.5.95

Effective
Date

7

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 1995.

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 by the union 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 in a form to the same effect. 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 a trade union 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 under the Act make an order for remedying it. Any appeal against the decision of the Certification Officer may be made to the Employment Appeal Tribunal on a question of law.

- 7.5 A trade union 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 political fund rules approved for the first time during 1995

- 7.8 One trade union had political fund rules approved for the first time during 1995 following a membership ballot. The union concerned was the Prison Officers' Association.

Amalgamations of unions already holding a political fund

- 7.9 Where two or more trade unions, each qualified to operate a political fund, 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. One union was so treated during 1995. The union concerned was Communication Workers Union.

Political fund resolutions in force

- 7.10 The number of political fund resolutions in force at 31 December 1995 was 43. The trade unions concerned are indicated in Appendix 1. During the year 12 unions held review ballots 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 their political fund were:

Broadcasting Entertainment Cinematograph and Theatre Union	79%
Ceramic and Allied Trades Union	78%
Communication Workers Union	86%
General Union of Associations of Loom Overlookers	89%
Manufacturing Science and Finance Union	83%

Musicians Union	84%
National Association of Colliery Overmen Deputies and Shotfirers	85%
National Union of Domestic Appliances and General Operatives	89%
National Union of Knitwear Footwear and Apparel Trades	84%
Power Loom Carpet Weavers and Textile Workers Union	65%
Union of Shop Distributive and Allied Workers	82%
UNISON: The Public Service Union	75%

The National Union of Lock and Metal Workers decided to close their political fund at their conference on 24 May 1995.

Political funds of trade unions at 31 December 1994

- 7.11 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 1994.

- 7.12 Annual returns showed the total income of political funds as £18.1 million in 1994 compared with £13.7 million in 1993, and expenditure £18.4 million as compared with £12.9 million. Total funds at the end of 1994 were £15.2 million compared with £15.5 million at the end of 1993.

Political fund membership

- 7.13 Appendix 8 also gives membership information provided by the unions which maintained political funds at 31 December 1994 and shows comparable information for unions with political funds at 31 December 1993. Annual returns showed that in 1994 the number of union members contributing to a political fund was 5,079,654 compared with 5,407,760 in 1993.

Exemption notices

- 7.14 Exemption notices (see paragraph 7.3) are obtainable from the organisation concerned or from the Certification Office. The Office supplied 54 such notices during 1995.

Amendments to rules

- 7.15 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. Ten trade unions had amendments approved in this way in 1995.

- 7.16 Unions have been told that the Certification Officer is unwilling to give approval after 31 December 1995 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 (following in part from decision CO/1913/13 reported in the last annual report) to ensure that members have ready access to the rules currently governing the use of political funds.

Political fund complaints

7.17 During 1995 two complaints were made to the Certification Officer under section 82(2) of the 1992 Act. These complaints involved UNISON and GMB respectively and were resolved as a result of action by the two unions.

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

Sec Funds for Trade Union Ballots

The 1992 Act provides for a scheme to be made for independent trade unions to claim refund from the Certification Officer for certain costs of holding secret postal ballots for specified purposes held before 1 April 1996. Detailed conditions for administering the scheme are laid down in regulations. Chapter 8 outlines which ballots qualify for assistance and shows a fall in the level of payments compared with 1994.

The statutory provisions

8.1 Under a statutory scheme the Certification Officer is permitted to refund certain costs incurred by independent trade unions in holding secret postal ballots for specified purposes. The conditions to be observed are laid down in the Scheme.*

Future of the Scheme

8.2 In February 1993 the Government decided that the statutory scheme should be phased out over a period of three years starting in April 1993. In the year April 1993 to March 1994 75% of each qualifying claim under the scheme would be refunded and in 1994/95 and 1995/96 the levels will be reduced to 50% and 25% respectively. The scheme will cease to operate for ballots held on or after 1 April 1996, and to qualify for any refund the last day of voting in a ballot must be before that date.

Qualifying purposes for the residual Scheme

8.3 The Regulations provide that *in order to qualify for refund of certain costs* the ballot must be held for one or more of the following purposes:

- (i) obtaining a decision or ascertaining the views of members of a trade union as to the calling or ending of a strike or other industrial action;
- (ii) carrying out an election either under the rules of the union, or to satisfy legislative requirements, to the position of president, chairman, secretary or treasurer of the union, or member of the union's principal executive committee by whatever name it is known, or to any position which the person elected will hold as an employee of the union;
- (iii) amending the rules of a trade union;
- (iv) obtaining a decision on a resolution to approve an instrument of amalgamation or transfer;
- (v) obtaining a decision on a political fund resolution (this applies only in cases where a political fund resolution is already in force, that is to say, only in respect of a political fund review ballot);

*The Funds for Trade Union Ballots Regulations 1984 (SI 1984 No. 1654) as subsequently revised to take account of certain changes in the law made by the Employment Act 1988 (SIs 1988 No. 1123 and No. 2116), the Employment Act 1990 (SI 1990 No. 2379), and the Funds for Trade Union Ballots Regulations (Revocation) Regulations 1993 (SI 1993 No. 233). The above Regulations are drawn up by authority given in Section 115 of the 1992 Act.

- (vi) obtaining a decision or ascertaining the views of members of a trade union as to the acceptance or rejection of a proposal made by an employer which relates in whole or in part to remuneration, hours of work, level of performance, holidays or pensions.

Conditions

- 8.4 An application for refund will be payable only if the ballot is secret and postal and if it is held for one or more of the qualifying purposes. Payments are conditional on the Certification Officer being satisfied that all relevant statutory requirements have been complied with. The ballot must also satisfy certain detailed conditions set out in the Regulations some of which are applicable to all ballots whilst others are applicable only to particular ballots. The Certification Officer may not make any payments under the Scheme if he considers that any of the conditions have not been met or if any assurances asked for about observance of the conditions have not been given by the trade union concerned.

Time limits and guidance

- 8.5 Applications under the Scheme must be made within six months of the end of the voting period. The procedure for making an application is set out in the Office's booklet *Guidance for trade unions applying for refund of costs of a secret postal ballot* which is available from the Certification Office free of charge.

Applications

- 8.6 During 1995, 71 unions made applications for refund in respect of 1,644 ballots. This compares with 69 unions which made applications in respect of 1,469 ballots in 1994. Over the last three years 42% of listed trade unions have made claims for refund.
- 8.7 The Certification Officer made payments in respect of 358 ballots for which applications were made during the year. He also made payments in respect of 739 ballots for which applications were outstanding at the beginning of the year. He was unable to make payments in respect of 26 ballots which failed to meet the provisions of the Scheme. Although there was a 59% increase in the number of ballots dealt with in the course of the year there was an increase from 99 to 191 in the number of applications outstanding at the end of the year.
- 8.8 Apart from the statutory deductions referred to in paragraph 8.2, in 68% of the cases where a payment was made the amount refunded was less than the total applied for. Common reasons for reductions by the Certification Officer were: the claim included items outside the scope of the Scheme eg. scrutineers' fees, nomination forms, result sheets and election literature other than that enclosed with voting papers; ineligible postal costs; excessive printing and stationery costs.
- 8.9 The Certification Officer made payments during the year totalling £1,095,236 (as compared with £1,899,995 in 1994). The individual payments are listed at Appendix 9. Paragraph 8.2 explains the Government's decision to phase-out the ballot refund scheme and how that would be achieved. During 1995 a total of £1,022,588 was deducted from claims as a result of the statutory phasing-out reductions.

Secret Postal Ballots for Trade Union Elections

The 1992 Act requires that 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

- 9.1 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 is a limited exception 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.
- 9.2 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, give the applicant and the trade union an opportunity to be heard, before he makes a decision on the complaint. In certain circumstances, expenses incurred by persons attending complaint hearings can be reimbursed by the Office.
- 9.3 If the Certification Officer decides that there has been a breach of the statutory provisions he may take into account steps or proposed steps, taken by the union 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.
- 9.4 Making a complaint to the Certification Officer does not prevent the applicant, or any other person, from making a subsequent 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.

Declarations and decisions

9.5 Brief details of the two decisions issued in 1995 are:

- (i) In a complaint involving the Civil and Public Services Association, it was alleged that by including a list giving the political groupings of some of the candidates in the 1994 NEC election together with a voting paper listing all the candidates, the union had failed to comply with the statutory requirements. The complaint was not upheld by the Certification Officer who held that where the voting paper, by listing all the candidates, satisfied the statutory requirements there was no restriction under the provisions of the Act on the material that could be included with the ballot paper. (Decision D/1/95).
- (ii) In another decision concerning the Civil and Public Services Association the Certification Officer upheld a complaint that the union had failed to supply two members, on request, with copies of the scrutineer's reports of certain executive committee elections contrary to the statutory requirements. The breaches did not affect the outcome of the elections and in the opinion of the Certification Officer were essentially procedural infringements. (D/2/95).

9.6 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 1995

Notes:

Trade unions first entered in the list during 1995 are shown in italics.

*Denotes a trade union holding a certificate of independence at 31 December 1995.

#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 1995.

England and Wales

- *Alliance and Leicester Building Society Staff Association
- *Amalgamated Association of Beamers Twisters and Drawers (Hand and Machine)
- *Amalgamated Engineering and Electrical Union (P)
- *Amalgamated Power Loom Overlookers Association
- *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 Premier League and Football League Referees and Linesmen
- *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 University and College Lecturers
- *Association of University Teachers (P)
- *Audit Commission Staff Association

- *Bakers Food and Allied Workers Union (P)
- Balfour Beatty Group Staff Association
- *Banking Insurance and Finance Union
- Birmingham Union of Club Stewards
- *Bradford and Bingley Building Society Staff Association
- *Britannia Staff Association
- *Britannic Field Staff Association
- *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 Hospital Doctors Federation
- *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 Association (P)
- #Clerical Medical Staff Association
- College of Health Care Chaplains
- *Commercial Union Group Staff Association
- *Communication Managers Association (P)
- *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

- Eagle Star Staff Union (1988)
- *Ellington Branch of the North East Area of the National Union of Mineworkers
- *Engineering and Fasteners Trade Union
- *Engineering Craft Association
- *Engineering Officers Technical Association
- *Engineers and Managers Association
- *Federated Union of Managerial and Professional Officers
- Federation of Professional Organisations (PT "A" Whitley Council)
- *Federation of Professional Railway Staff
- Financial Services Staff Federation
- *Fire Brigades Union (P)
- *Fire Officers Association
- *Gallaher Sales Staff Association
- *Gas Managers Association
- Gatwick Handling Staff Association
- *General Dental Practitioners Association
- General Federation of Trade Unions
- *General Union of Associations of Loom Overlookers (P)
- Girobank Senior Managers Staff Association
- *GMB (P)
- #Government Communications Staff Federation
- *Graphical Paper and Media Union (P)
- *Guild of Professional Teachers of Dancing
- *Guild of Textile Supervisors
- *Guinness Brewing Staff Association (UK)
- Hambro Staff Association*
- Harrods Staff Union
- Headmasters Conference
- Hongkong Bank Group UK Staff Association
- *Hospital Consultants and Specialists Association
- *Hospital Doctors Association
- Huddersfield and Dewsbury Power Loom Overlookers Society
- *Hyde and District Textile (Technicians and Operatives) Association
- *Immigration Service Union
- *Independent Union of Halifax Staff
- *Inland Revenue Staff Federation (P)
- 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)

Joint Boots Pharmacists Association
 #Jones and Shipman Administrative Staff Association

 *Lawson Mardon Star Ltd Managerial Staff Association
 *Leeds Permanent Building Society Staff Association
 Leek United Building Society Staff Association
 Leicestershire Overmen Deputies and Shotfirers Association
 *Lloyds Group Union
 Lloyds Register (UK) Staff Association
 *London Society of Tie Cutters
 *Lufthansa Staff Association United Kingdom

 *Manufacturing Science and Finance Union (P)
 *Military and Orchestral Musical Instrument Makers Trade Society
 *Musicians Union (P)

 *National and Provincial Building Society Staff Association
 *National Association of Colliery Overmen Deputies and Shotfirers (P)
 *National Association of Colliery Overmen Deputies and Shotfirers Midland Area
 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 Licensed House Managers
 *National Association of NFU Group Secretaries
 *National Association of Probation Officers
 National Association of Professional and Technical Theatre Personnel
 *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 Owner Drivers Association UK
 *National Society for Education in Art and Design
 *National Union of Civil and Public Servants (P)
 *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. 3)
 *National Union of Mineworkers (Colliery Officials and Staffs Area) (Region No. 4)
 *National Union of Mineworkers (Colliery Officials and Staffs Area) (Region No. 5)
 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 (Northumberland Mechanics Group No. 1 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 Mineworkers (Warwickshire District Midlands Area)
 *National Union of Rail Maritime and Transport Workers (P)
 *National Union of Teachers
 *Nationwide Group Staff Association
 *NatWest Staff Association
 NCH Promotional Services Staff Association
 *Nelson and District Clothlookers and Warehouse Association
 New Towns Chief Officers Association
 Nielsen Staff Association
 *North-East Coast Tug-Boatmens Association
 *Northern Carpet Trades Union
 *Northern Colliery Officials and Staffs Association

 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 Flight Instructors Association
 Professional Footballers Association

 *Retail Book Stationery and Allied Trades Employees Association
 *Retained Firefighters Union (P)
 *Retired Officers Association

- *Rossendale Union of Boot Shoe and Slipper Operatives (P)
- *Royal College of Midwives
- *Royal College of Nursing of the United Kingdom
- #Royal Lancaster Hotel Staff Association
- #Royal London District Managers and Superintendents 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 and District Power-Loom Overlookers Association
- *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
- Sun Alliance Staff Union
- *Sun Life Staff Association

- *Teston Independent Society of Cricket Ball Makers
- *Thorn EMI Electronics Limited Junior and Middle Management Staff Association
- *Transport and General Workers Union (P)
- *Transport Salaried Staffs Association (P)

- *Undeb Cenedlaethol Athrawon Cymru (National Association of Teachers of Wales)
- *UNiFI
- *Union of Construction Allied Trades and Technicians (P)
- *Union of Democratic Mineworkers (P)
- Union of Dexion Workers
- *Union of Shop Distributive and Allied Workers (P)
- *Union of Textile Workers (P)
- *UNISON - The Public Service Union (P)
- *United Association of Power Loom Overlookers
- *United Friendly Agents Association
- #United Friendly Head Office Management 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 General and Public Service Workers*
- *National Union of Mineworkers (Colliery Officials and Staffs Area) Scottish Region
- No. 8

- *Offshore Industry Liaison Committee

- *Scottish Carpet Workers Union (P)
- Scottish Equitable Staff Association
- *Scottish Further and Higher Education Association
- *Scottish Health Visitors Association
- *Scottish Prison Officers Association
- *Scottish Secondary Teachers Association
- *Scottish Union of Power Loom Technicians

Appendix 1a

(see paragraph 1.11)

Unlisted Trade Unions at 31 December 1995

England and Wales

Amalgamated Textile Warehousemen (Padiham Branch)
Association of Chiropodists and Podiatrists

British Seafarers Joint Council
British Telecommunications Union Committee

Civil Service Staff Federation
Commercial Union Group Managers Association
Confederation of Insurance Trade Unions
Confederation of Shipbuilding and Engineering Unions
Cricketers Association

Federation of Entertainment Unions
Friends Provident Line Managers Association

International Transport Workers Federation

Joint Committee of Light Metal Trades Union (1992)

Leeds and Holbeck Building Society Staff Association

National Affiliation of Carpet Trade Unions
National Federation of Carding Engineers
National Federation of Furniture Trade Unions
National Union of Mineworkers (North East Area)
NFU Headquarters Staff Association

Post Office Union Committee

Society of Local Council Clerks
Society of Registration Officers (Births, Deaths and Marriages)
Sun Alliance and London Office Managers Association

Trades Union Congress

Scotland

National Union of Mineworkers - Scottish Area

Appendix 2

(see paragraph 1.8)

List of Employers' Associations at 31 December 1995

Note:

Employers' associations first entered in the list during 1995 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
Blackburn District Textile Manufacturers 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 Lace Federation
British Leavers Lace Manufacturers Association
British Lock Manufacturers Association
British Metals Federation
British Precast Concrete Federation Limited
British Printing Industries Federation
British Ready Mixed Concrete Association
British Textile Fibres Association
Builders Merchants Federation
Building Employers Confederation

CEF (Colleges Employers Forum)
China Clay Association
Cinema Exhibitors Association
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 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 Association of South Lancashire Cheshire and North Wales
 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

 Federation of Bakers
 Federation of Civil Engineering Contractors
 Federation of Dredging Contractors
 Federation of Master Builders
 Federation of Master Organ Builders
 Footwear Distributors Federation

 Glass and Glazing Federation
 Grimsby Fishing Vessel Owners Association

 Heating and Ventilating Contractors Association
 Hinckley and District Knitting Industry Association

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

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

 National Association of Farriers Blacksmiths and Agricultural Engineers
 National Association of Glove Manufacturers
 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
 North East Lancashire Textile Manufacturers Association

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

Representative National Organisation of Employers of Local Authority Staff
 Representative National Organisation of Employers of New Towns 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

Test and County Cricket Board
 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

Clydeside Federation of Community Based Housing Associations
 Electrical Contractors Association of Scotland
 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 Glass Association

Scottish Grocery Trade Employers Association

Scottish Newspaper Publishers Association

Scottish Pharmaceutical Federation

Scottish Print Employers Federation

Appendix 2a

(see paragraph 1.11)

Unlisted Employers' Associations at 31 December 1995

England and Wales

Association of Master Lightermen and Barge Owners

Association of Post Production Companies

Association of Street Lighting Contractors

Bacon and Meat Manufacturers Association

B F M Limited

British Ball Clay Producers Federation Ltd

British Ceramic Confederation

British Fibreboard Packaging Association

British Footwear Manufacturers Federation

British Jewellery and Giftware Federation Ltd

British Leather Goods Manufacturers Association

British Narrow Fabrics Association

British Secondary Metals Association

British Shoe Repair Association

British Soft Drinks Association Ltd

British Timber Merchants Association (England and Wales)

Chemical Industries Association-Ltd

Coach Operators Federation

Confederation of British Wool Textiles Limited

Covent Garden Tenants Association Limited

Cutlery and Silverware Manufacturers Association of the United Kingdom

Federation of Engineering Design Companies Ltd

Federation of Merchant Tailors

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

Incorporated National Association of British and Irish Millers Limited

Industrial Leathers Federation

Kidderminster District Carpet Manufacturers and Spinners Association

Knitting Industries Federation Limited

Leicester and County Footwear Manufacturers Association
Lighter Trades Industrial Section
London Association of Funeral Directors Association Limited
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 Western Local Authorities Employers Organisation
North Wales Provincial Council for Local Authorities Administrative, Professional,
Technical and Clerical Services
North Wales Provincial Council for Local Authorities Services (Manual Workers)
North West Timber Trades Association
Northern Brick Federation
Northamptonshire Footwear Manufacturers Association
Norwich Footwear Manufacturers Association

Oldham and Rochdale Textile Employers Association Ltd

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

Sand and Gravel 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 Wales Provincial Council for Local Authorities Services (Administrative,
Professional, Technical and Clerical Staff)
South Wales Provincial Council for Local Authorities Services (Manual Workers)
South Western Roadstone Employers Federation
Spitalfields Market Tenants Association Ltd

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

United Kingdom Fellmongers Association
United Kingdom Jute Goods Association Ltd

Universities and Colleges Employers Forum

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

Scotland

Aberdeen and District Building Trades Employers Association
Aberdeen Fish Curers and Merchants Association Limited
Angus and Kincardine Master Plumbers Association
Argyll Building Trades Employers Association
Ayrshire Master Builders and Joiners Association

Banff & Moray Master Plumbers Association
Brewers Association of Scotland

Central Counties Plumbing and Mechanical Association
Clydesdale Wrights and Builders

Dumbarton and District Master Wrights and Builders Association
Dundee and District Master Plumbers Association
Dundee Building Trades (Employers) 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

Inverness and District Master Builders Association
Inverness and Northern District Master Plumbers Association

Jute Importers Association Limited

Lanarkshire Master Plumbers and Domestic Engineers Employers Association
Lochabar Building Employers Association

National Farmers Union of Scotland
National Metal Trades Federation

Paisley and District Trades Employers Association
Perth and District Building Trades Employers Association
Perth and District Master Plumbers Association

Ross-shire Building Trades Employers Association

Scottish Association of Master Bakers
 Scottish Association of Master Blacksmiths
 Scottish Association of Meat Wholesalers
 Scottish Building Employers Federation
 Scottish Employers Council for the Clay Industries
 Scottish Furniture Manufacturers Association
 Scottish Knitwear Association
 Scottish Leather Producers Association
 Scottish Master Slaters and Roof Tilers Association
 Scottish Master Wrights and Builders Association
 Scottish Pre-cast Concrete Manufacturers Association
 South West Scotland Building Trades (Employers) Association

Western Isles Building Employers Association
 Wholesale Grocers Association of Scotland

Appendix 3

(see paragraph 2.7)

Decisions on Trade Union Independence during 1995

Certificates of independence issued

British Association of Journalists
 Communication Workers Union
 Community and District Nursing Association
 Fire Officers Association
 Irish Bank Officials Association - in respect of the GB members only
 Prison Service Union

Certificates of independence refused

None

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

Electrical and Plumbing Industries Union
 Film Artistes Association
 National Communications Union (Engineering and Clerical Groups)
 Professional Association of Nursery Nurses
 Union of Communication Workers

Certificates cancelled because the union was dissolved

National Union of Mineworkers (Cannock Chase and Pelsall District Midland Area)
 Union of Medical Administrative Staff

Review in progress

Immigration Service Union

Completed Review

National Association of Colliery Overmen, Deputies and Shotfirers Midland Area

Appendix 4

Summary of Statistics - Trade Unions, 1994

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 1994 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) The distinction between benefits to members and administration and other expenditure is not always clear cut. Certain types of expenditure - for example, the provision of legal and other advisory services - can fall under either heading.
- (e) Investment assets are shown at cost.
- (f) This figure has been changed from last year's report due to later information.

Summary of Statistics - Trade Unions, 1994
(see paragraph 4.5)

Appendix 4

	Number of Members (a)	GROSS INCOME				GROSS EXPENDITURE			TOTAL FUNDS		GROSS ASSETS				Total Liabilities
		From Members	From Investments	Other Income	Total Income	Benefits to Members	Administration and other expenditure	Total expenditure	Beginning of the Year	End of the Year	Fixed Assets	Investments	Other Assets	Total Assets	
	(1)	£000s (2)	(b) £000s (3)	£000s (4)	(c) £000s (5)	(d) £000s (6)	(d) £000s (7)	(c) £000s (8)	£000s (9)	£000s (10)	£000s (11)	(e) £000s (12)	£000s (13)	£000s (14)	£000s (15)
Unions with 100,000 members or more:-															
#UNISON - The Public Service Union	1,368,796	155,881	3,216	4,678	163,775	10,868	162,276	173,144	89,451	80,082	24,794	11,504	61,471	97,769	17,687
Transport and General Workers Union	913,823	58,597	2,216	98	60,911	7,829	51,787	59,616	56,306	57,601	35,375	15,112	15,998	66,485	8,884
GMB	789,672	40,297	2,323	6,657	49,277	4,141	41,518	45,659	56,647	60,265	26,654	20,389	17,682	64,725	4,460
Amalgamated Engineering and Electrical Union	781,137	37,244	3,099	6,964	47,307	4,054	33,982	38,036	33,521(f)	42,792	19,113	18,567	13,437	51,117	8,325
Manufacturing Science and Finance Union	482,000	21,919	440	344	22,703	3,398	20,697	24,095	13,516(f)	12,124	18,804	1,780	8,098	28,682	16,558
Royal College of Nursing of the United Kingdom	300,127	12,208	-	-	12,208	522	11,686	12,208	-	-	-	-	4,907	4,907	4,907
Union of Shop Distributive and Allied Workers	282,816	14,753	1,059	1,073	16,885	1,177	14,432	15,609	15,867	17,143	3,018	12,631	1,869	17,518	375
National Union of Teachers	244,669	12,142	1,265	587	13,994	3,573	9,793	13,366	5,826	6,454	2,668	1,298	4,391	8,357	1,903
Graphical Paper and Media Union	225,458	20,625	1,978	4,472	27,075	2,830	28,803	31,633	43,338(f)	38,780	4,690	9,441	25,979	40,110	1,330
National Association of Schoolmasters and Union of Women Teachers	213,266	7,746	480	939	9,165	1,006	6,444	7,450	11,997	13,712	4,388	8,300	1,459	14,147	435
Association of Teachers and Lecturers	169,729	7,283	197	127	7,607	1,882	5,060	6,942	3,220	3,885	2,283	364	1,835	4,482	597
*Union of Communication Workers	158,417	18,133	359	403	18,895	4,246	16,737	20,983	12,850(f)	10,762	3,138	3,941	4,319	11,398	636
Banking Insurance and Finance Union	134,012	6,774	221	194	7,189	298	7,589	7,887	4,776	4,078	2,832	1,137	831	4,800	722
Civil and Public Services Association	125,801	9,768	448	19	10,235	615	8,437	9,052	12,380	13,563	6,521	1,192	8,087	15,800	2,237
*National Communications Union (Engineering and Clerical Groups)	112,077	10,226	346	74	10,640	1,599	9,867	11,466	14,878	14,058	4,664	933	9,092	14,689	631
National Union of Civil and Public Servants	110,076	10,032	18	146	10,196	383	9,006	9,389	5,467	6,274	5,921	128	2,250	8,299	2,025
Union of Construction Allied Trades and Technicians	105,588	4,161	1	425	4,587	338	4,880	5,218	682	51	2,383	17	320	2,720	2,669
Total for above unions with 100,000 members or more	6,517,464	447,789	17,666	27,200	492,655	48,759	442,994	491,753	380,722	381,624	167,246	106,734	182,025	456,005	74,381
Total for 243 other listed unions with less than 100,000 members	1,708,122	132,418	15,594	52,134	200,147	23,124	170,541	193,665	260,091	266,572	83,317	134,122	113,143	330,583	64,010
Total for listed unions	8,225,586	580,207	33,260	79,334	692,802	71,883	613,535	685,418	640,813	648,196	250,563	240,856	295,168	786,588	138,391
Trades Union Congress	10,222	1,069	2,758	14,147	17,992	-	13,268	13,268	5,549	6,330	3,059	2,687	2,945	8,691	2,361
Total for 12 other unlisted unions which have submitted returns	4,959	13,447	1,938	2,116	17,517	610	12,444	13,055	41,688	46,135	3,725	18,627	37,969	60,321	14,186
Total for all unions 1994	8,230,545	603,876+	36,267	84,208	724,351	72,493	639,247	711,741	688,050	700,661	257,347	262,170	336,082	855,600	154,938
Total for all unions 1993	8,665,944	498,801	36,403	80,780	615,311	71,682	530,648	602,330	675,038	688,692	259,467	263,451	311,845	834,763	146,071

Notes - see previous page
#These figures relate to an 18 month period (see paragraphs 4.12 & 4.13)
*These unions amalgamated on 25 January 1995 to form the Communication Workers Union
+Before comparing with previous years see note # above.

Appendix 5

Summary of Statistics - Employers' Associations, 1994

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

- (a) 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, 1994

(see paragraph 4.14)

Appendix 5

	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		
	(a)	(b)	(c)	(d)		(e)	(f)	(g)	(h)	(i)	(j)		
	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	(13)
Employers' Associations with over £1,500,000 total income:-	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)
Engineering Employers Federation	1,758	2,303	802	4,863	4,171	18,531	19,223	875	17,576	1,804	20,255	1,032	17
EEF West Midlands	1,206	162	2,973	4,341	4,126	2,811	3,026	1,399	1,485	1,892	4,776	1,750	1,125
Engineering Employers Western Association	758	28	916	1,702	1,673	362(d)	391	228	315	383	926	535	306
Engineering Construction Industry Association	1,145	66	440	1,651	1,368	1,064	1,347	94	409	3,111	3,614	2,267	325
EEF South	913	108	527	1,548	1,557	2,272	2,263	1,322	770	580	2,672	409	529
9 Other Engineering Employers Associations in Great Britain	2,867	144	2,872	5,883	5,724	3,205	3,364	1,606	1,290	1,826	4,722	1,358	2,285
Test and County Cricket Board	-	-	26,195	26,195	26,195	-	-	-	-	2,089	2,089	2,089	20
*National Farmers Union	19,546	1,450	1,926	22,922	21,711	32,144(d)	33,355	14,156	12,000	15,964	42,120	8,765	112,265
*Freight Transport Association Limited	2,346	118	9,428	11,892	11,707	3,957(d)	4,142	3,950	1,877	2,487	8,314	4,172	11,473
Electrical Contractors Association	1,942	1,781	7,453	11,176	7,728	22,341(d)	25,789	367	33,143	5,014	38,524	12,735	1,930
Heating and Ventilating Contractors Association	1,329	504	6,514	8,347	8,134	5,543	5,756	875	1,624	5,073	7,572	1,816	1,152
Building Employers Confederation	4,994	175	3,136	8,305	8,209	5,585	5,681	5,067	407	2,846	8,320	2,639	5,336
British Printing Industries Federation	3,203	75	2,485	5,763	5,676	1,085	1,172	743	734	2,324	3,801	2,629	3,118
Retail Motor Industry Federation Limited	3,331	367	1,575	5,273	5,306	1,505	1,472	2,326	1	4,732	7,059	5,587	12,741
*Chemical Industries Association Limited	3,979	123	908	5,010	5,031	215	194	33	960	856	1,849	1,655	176
National Federation of Retail Newsagents	4,444	266	25	4,735	4,580	2,558	2,713	1,922	626	1,759	4,307	1,594	27,238
*Road Haulage Association Limited	1,692	55	2,003	3,750	3,648	3,466	3,568	3,113	14	1,736	4,863	1,295	9,604
Newspaper Society	3,198	129	321	3,648	3,619	1,042	1,071	127	232	3,218	3,577	2,506	235
Federation of Master Builders	2,331	25	932	3,288	3,433	2,455(d)	2,310	3,420	350	624	4,394	2,084	16,701
National Pharmaceutical Association Limited	2,158	82	627	2,867	2,662	1,536	1,741	1,069	491	1,329	2,889	1,148	6,743
*BFM Limited	292	19	2,011	2,322	2,260	1,028	1,090	1,051	86	1,195	2,332	1,242	252
*British Jewellery and Giftware Federation Limited	531	269	1,454	2,254	2,564	5,959	5,649	1,263	5,207	1,153	7,623	1,974	1,899
Federation of Civil Engineering Contractors	1,634	85	349	2,068	2,163	845	750	195	441	429	1,065	315	286
Vehicle Builders and Repairers Association Limited	1,198	39	673	1,910	2,001	816(d)	725	467	7	698	1,172	447	2,896
Paper Federation of Great Britain Limited	1,179	14	671	1,864	1,869	1,265	1,260	1,382	(e)	611	1,993	733	58
Colleges Employers Forum	1,721	84	-	1,805	1,551	564	818	71	-	2,022	2,093	1,275	342
*Society of London Theatre 'SOLT'	1,720	39	4	1,763	1,767	77	73	9	416	1,695	2,120	2,047	86
Producers Alliance for Cinema and Television Limited	1,503	35	104	1,642	1,550	254	346	34	241	752	1,027	681	1,205
Dairy Industry Federation	1,501	-	58	1,559	1,487	784	856	51	-	4,248	4,299	3,443	69
*Incorporated National Association of British and Irish Millers Limited	1,517	9	29	1,555	1,520	363	398	43	(e)	593	636	238	33
Total for above Employers' Associations	75,936	8,554	77,411	161,901	154,990	123,632	130,543	47,258	80,702	73,043	201,003	70,460	220,445
Total for 84 other listed Employers' Associations	12,199	914	7,039	19,622	19,716	19,720	20,167	10,440	7,336	9,515	27,292	7,125	31,501
Total for 106 other unlisted Employers' Associations	9,607	485	3,968	13,914	13,449	8,291	8,901	2,845	4,014	6,645	13,503	4,568	23,405
Total for all Employers' Associations 1994	97,742	9,953	88,418	195,437	188,155	151,645	159,611	60,543	92,052	89,203	241,798	82,153	275,351
Total for all Employers' Associations 1993	94,168	11,889	95,567	201,624	178,941	128,085	150,768	59,203	78,502	98,096	235,801	85,033	278,135

* Unlisted Employers' Associations

Notes - see previous page

Appendix 6

(see paragraph 5.3)

Trade Unions Maintaining Members' Superannuation Schemes at 31 December 1995

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 Glassworkers

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 1995

Trade Union Amalgamation

<i>Amalgamating Trade Unions</i>	<i>Forming</i>	<i>Amalgamation registered on</i>
Union of Communication Workers and National Communications Union (Engineering and Clerical Groups)	Communication Workers Union	25.1.95

Trade Union Transfers of Engagements

<i>Engagements transferred from</i>	<i>To</i>	<i>Transfer registered on</i>
Electrical and Plumbing Industries Union	Transport and General Workers Union	9.6.95
Film Artistes Association	Broadcasting Entertainment Cinematograph and Theatre Union	7.7.95
National Union of Mineworkers (Lancashire Area)	National Union of Mineworkers	10.8.95
Professional Association of Nursery Nurses	Professional Association of Teachers	1.9.95

Appendix 8

Political Funds of Trade Unions, 1994

(see paragraph 7.11)

	Number of Members contributing to the Political Fund (b) (1)	Number of Members exempt from contributing to the Political Fund (b) (2)	POLITICAL FUND (a)			
			Income	Expenditure	Fund at Beginning of Year	Fund at End of Year
			£ (3)	£ (4)	£ (5)	£ (6)
Amalgamated Engineering and Electrical Union	503,505	106,603	1,568,000	1,229,000	490,000	829,000
Associated Society of Locomotive Engineers and Firemen	15,676	463	60,070	61,407	83,404	82,067
Association of Her Majesty's Inspectors of Taxes	2,385	128	7,296	-	30,461	37,757
Association of University Teachers	28,898	285	18,844	11,591	37,536	44,789
Bakers Food and Allied Workers Union	27,647	-	57,151	77,294	15,920	(4,223)
Broadcasting Entertainment Cinematograph and Theatre Union	24,759	94	46,964	82,501	85,071	49,534
Ceramic and Allied Trades Union	22,403	137	85,238	62,399	137,797	160,636
Civil and Public Services Association	-	-	-	-	(4,368)	(4,368)
Communication Managers Association	12,306	857	17,850	44,650	52,404	25,604
Educational Institute of Scotland	46,254	2,004	67,708	6,026	266,036	327,718
Electrical and Plumbing Industries Union	1,000	1	1,715	89	1,402	3,028
Fire Brigades Union	41,097	13,158	153,432	107,528	174,290	220,194
General Union of Associations of Loom Overlookers	290	203	574	705	398	267
GMB	725,889	63,783	2,724,000	3,481,000	1,142,000	385,000
Graphical Paper and Media Union	92,301	133,157	312,990	345,163	667,555	635,382
Inland Revenue Staff Federation	51,119	1,892	121,418	151,973	194,677	164,122
Institution of Professionals Managers and Specialists	70,192	1,995	42,115	35,669	54,060	60,506
Iron and Steel Trades Confederation	27,066	4,474	157,842	134,801	43,571	66,612
Manufacturing Science and Finance Union	194,710	287,290	528,000	483,000	48,000	93,000
Musicians Union	28,463	1,354	29,622	30,054	3,859	3,427
National Association of Colliery Overmen Deputies and Shotfirers	1,819	83	9,552	12,405	47,240(c)	44,387
National Association of Colliery Overmen Deputies and Shotfirers Durham Area	-	-	-	1,381	1,381	-
National Association of Schoolmasters and Union of Women Teachers	125,128	88,138	61,920	29,629	79,209	111,500
National Association of Teachers in Further and Higher Education	61,035	10,395	84,508	250,783	360,956	194,681
National Communication Union (Engineering and Clerical Groups)-Engineering Group	61,197	14,892	267,464	260,673	114,260	121,051

Political Funds of Trade Unions, 1994 *cont.*
(see paragraph 7.11)

Appendix 8

	Number of Members contributing to the Political Fund (b) (1)	Number of Members exempt from contributing to the Political Fund (b) (2)	POLITICAL FUND (a)			
			Income	Expenditure	Fund at Beginning of Year	Fund at End of Year
			£ (3)	£ (4)	£ (5)	£ (6)
National Communications Union (Engineering and Clerical Groups)-Clerical Group	24,672	2,998	76,880	69,077	213,010	220,813
National League of the Blind and Disabled	1,101	1,125	3,102	1,970	7,773	8,905
National Union of Civil and Public Servants	108,959	1,117	238,238	289,735	700,262	648,765
National Union of Domestic Appliances and General Operatives	615	8	1,117	1,107	1,289	1,299
National Union of Insurance Workers	8,274	2,412	15,907	12,871	75,461	78,497
National Union of Knitwear Footwear and Apparel Trades	45,773	768	111,099	119,592	84,118	75,625
National Union of Lock and Metal Workers	4,109	40	2,548	219	11,210	13,539
National Union of Mineworkers	8,442	400	96,313	130,009	322,382(c)	288,686
National Union of Rail Maritime and Transport Workers	66,961	1,020	229,000	240,000	85,000	74,000
Power Loom Carpet Weavers and Textile Workers Union	1,794	2	1,970	351	5,434	7,053
Retained Firefighters Union	-	-	-	-	5	5
Rosendale Union of Boot Shoe and Slipper Operatives	-	15	3	-	1,387	1,390
Scottish Carpet Workers Union	779	-	614	21	1,922	2,515
Society of Telecom Executives	11,325	9,107	42,441	10,014	110,616	143,043
Transport and General Workers Union	842,522	12,191	2,453,000	2,676,000	3,801,000	3,578,000
Transport Salaried Staffs Association	32,647	4,286	95,325	110,815	107,844	92,354
Union of Communication Workers	144,273	14,144	841,135	858,274	99,670	82,531
Union of Construction Allied Trades and Technicians	78,799	19,360	35,000	34,000	5,000	6,000
Union of Democratic Mineworkers	3,048	-	2,253	2,806	9,540(c)	8,987
Union of Shop Distributive and Allied Workers	257,834	24,982	825,930	658,374	670,894	838,450
Union of Textile Workers	1,540	40	3,070	3,239	1,980	1,811
Unison-The Public Service Union	1,271,048	97,748	6,622,000(d)	6,283,000	5,044,000	5,383,000
Total for the 47 unions with political funds for 1994	5,079,654	983,715	18,121,218	18,401,195	15,486,916	15,206,939
Total for the 50 unions with political funds for 1993	5,407,760	894,282	13,709,507	12,964,818	14,768,614	15,513,303

Notes:

- (a) The information in the table relates to the year 1994 and therefore to unions which were in existence at that time.
 (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.
 (d) This figure relates to an 18 month period.

Appendix 9

(see paragraph 8.9)

Refunds of Ballot Costs, 1995

Trade Union	Amount Paid £
Amalgamated Engineering and Electrical Union	93,449
Associated Society of Locomotive Engineers and Firemen	6,119
Association of First Division Civil Servants	2,186
Association of Licensed Aircraft Engineers	295
Association of Professional Ambulance Personnel	433
Banking Insurance and Finance Union	18,348
Barclays Group Staff Union	85
British Actors Equity Association	15,894
British Air Line Pilots Association	2,067
British Association of Colliery Management	5,748
British Dental Association	662
Broadcasting Entertainment Cinematograph and Theatre Union	5,404
Ceramic and Allied Trades Union	7,882
Chartered Society of Physiotherapy	299
Civil and Public Services Association	126,825
Communication Managers Association	7,727
Community and Youth Workers Union	938
Directors Guild of Great Britain	440
Engineers and Managers Association	193
GMB	114,227
Graphical Paper and Media Union	97,441
Immigration Service Union	1,147
Inland Revenue Staff Federation	16,578
Institute of Professionals Managers and Specialists	1,921
Iron and Steel Trades Confederation	6,562
Manufacturing Science and Finance Union	62,122
Musicians Union	4,008
National Association of Colliery Overmen Deputies and Shotfirers	393
National Association of Head Teachers	18,984
National Association of Probation Officers	260
National Association of Schoolmasters and Union of Women Teachers	15,263

National Association of Teachers in Further and Higher Education	61,398
National Communications Union	86,531
National Society for Education in Art and Design	450
National Union of Civil and Public Servants	34,649
National Union of Domestic Appliances and General Operatives	434
National Union of Knitwear Footwear and Apparel Trades	263
National Union of Rail Maritime and Transport Workers	29,719
National Union of Teachers	41,157
Nationwide Group Staff Association	1,535
NatWest Staff Association	5,654
Royal College of Nursing of the United Kingdom	41,564
Scottish Prison Officers Association	4,724
Scottish Secondary Teachers Association	2,503
Society of Chiropodists and Podiatrists	2,840
Staff Association of Bank of Baroda (UK Region)	130
Transport and General Workers Union	18,059
Transport Salaried Staffs Association	14,111
Union of Communication Workers	96,133
Union of Construction Allied Trades and Technicians	15,342
Union of Shop Distributive and Allied Workers	1,154
Union of Textile Workers	53
United Road Transport Union	2,558
Writers Guild of Great Britain	375
Total	1,095,236

Appendix 10

Current statutory fees applicable from 1 April 1995

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

	Current Fee
Application for entry in the list of trade unions	£132
Application for entry in the list of employers' associations	£132
Application for approval of a change of name	£89
#Application for a certificate of independence	£2,583
Application for formal approval of an instrument of transfer of engagements or an instrument of amalgamation	£1,543
Inspection of merger documents	£43

#The current fee for an application for a certificate of independence represents 70% recovery rate and will increase to full cost recovery in 1996/97.

Appendix 11

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 applying for refund of costs of a secret postal ballot (1994)*
5. *Guidance for trade unions and employers' associations wishing to establish a political fund (1994)*
6. *A guide to political fund review ballots (1993)*
7. *Financial Irregularities in Trade Unions and Employers' Associations (1995)*
8. *Annual Reports of the Certification Officer*