

Annual
Report
of the
Certification
Officer

1993

Certification Office for
Trade Unions and Employers' Associations

27 Wilton Street
London SW1X 7AZ
071 210 3734

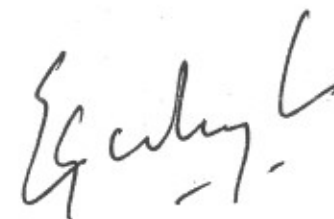
**CERTIFICATION OFFICE
FOR TRADE UNIONS AND EMPLOYERS' ASSOCIATIONS**

**Annual Report
of the Certification Officer
1993**

The Rt Hon David Hunt MBE MP
Secretary of State for Employment
Caxton House
Tothill Street
London SW1H 9NF

J W Hougham Esq
Chairman
Advisory, Conciliation and Arbitration Service
27 Wilton Street
London SW1X 7AZ

I have pleasure in submitting the report on my activities as Certification Officer during 1993 as required by the Trade Union and Labour Relations (Consolidation) Act 1992.



E G WHYBREW
Certification Officer
14 February 1994

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Introduction

This is the eighteenth Annual Report to be published since the post of Certification Officer was established in 1975. It deals with my activities during the calendar year 1993.

During 1993 the Trade Union Reform and Employment Rights Act impacted on my functions in two ways. First it extended my powers particularly in relation to overseeing trade union finances. Secondly it placed new duties on trade unions in relation to matters on which members can lodge complaints for my investigation. Powers were provided which enable me to require a trade union to produce documents relating to its financial affairs at such time and place as may be specified. Further provisions enable me to appoint, in certain circumstances, inspectors to investigate the financial affairs of a particular trade union and to make a report. The Act also provides for additional information to be included in a trade union's annual return and for members to receive a statement about the financial affairs of their trade union. Balloting requirements were also altered in important ways.

After these changes my functions, which stem from the Trade Union and Labour Relations (Consolidation) Act 1992 (as amended) (referred to in this report as "the 1992 Act") include the following responsibilities:

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 principal executive committee;

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 Regulations made by the Secretary of State for Employment;

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.

These functions are discussed in the following chapters.

The volume of work connected with transfers of engagements and amalgamations rose during the year and the amalgamation to form UNISON - The Public Service Union resulted in an organisation accounting for some 17% of total trade union membership. Work on complaints by trade union members also increased; complaints were received concerning trade union elections, political funds and mergers. Six decisions were issued in 1993 following members complaints on various matters and the consideration and investigation of complaints involving four unions were still in progress at the end of the year. Following changes in the legislation concerning trade union ballots a revised set of model rules for political fund ballots was introduced. A revised annual return form for trade unions has also been introduced following the introduction of provisions requiring the disclosure of additional financial information.

The Office receives many enquiries and requests for guidance from trade unions, employers associations and their members. Often we can help but there are constraints on the advice that can be given. It is for example inappropriate to give guidance on or prior approval to (unless the law requires it) a specific course of action in those areas where complaints can be made to me by an individual member. Where a complaint is made I have to investigate it and decide it completely impartially on the facts of the case and in the light of the representations made by the parties concerned. I and my staff have to avoid giving advice which might seem in any way to prejudice that impartiality. That said the Office is happy to assist where it can and guidance booklets (listed in Appendix 11) are also produced.

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

Mr G S Osborne and Mr J L J Craig, WS, continued to hold their appointments as Assistant Certification Officer and Assistant Certification Officer for Scotland respectively. In December 1993 there were 15 staff in post in the Certification Office. The development and training of staff to ensure that the Certification Officer is able to meet his statutory responsibilities is given a high priority and a range of developmental activities were undertaken during the year.

Accounts of the Office prepared under section 258 of the 1992 Act are published separately by order of the House of Commons. In broad terms it is estimated that about 33% of the Office's resources are allocated to work connected with annual returns from trade unions and employers' associations, and the maintenance of the list of trade unions and employers' associations; 38% 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, etc.

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

The net cost of the Office for the year ended 31 March 1993 was £569,000. The Certification Officer's salary at 31 March 1993 was £31,138 for a three day week. This sum is pensionable at an additional cost to the public purse of £5,900 and it is taxed under PAYE.

Where it is necessary to hold a hearing to determine a complaint the Certification Officer can make payment towards the expenses incurred by the complainant and a friend in attending the hearing. During 1993 such payments amounted to £307. Assistance with legal costs is not available.

Contacts for Information

Guidance booklets covering different aspects of the Certification Officer's responsibilities are available free of charge. They are listed in Appendix 11 and 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: 071-210-3734.

* The Certification Officer (Amendment of Fees) Regulations 1993 (S.I. 1993 No. 936).

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 currently on the list at the end of 1993 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 123-126 of the 1992 Act.
- 1.2 Listing is voluntary and any organisation of workers or of employers may apply to be listed. 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 Application must be made on form CO 1, available on request from the Certification Office, and be accompanied by the statutory fee which was set at £291 with effect from 1 May 1993.
- 1.6 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 available for inspection at the office of the Assistant Certification Officer for Scotland, 58 Frederick Street, Edinburgh EH2 1LN.

Removal from the lists

- 1.7 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.

The lists at 31 December 1993

- 1.8 As required by sections 2 and 123 of the 1992 Act this Report includes the lists as at 31 December 1993. They are reproduced as Appendices 1 and 2. The lists at the end of 1993 comprised 287 trade unions and 123 employers' associations.
- 1.9 Changes during 1993 are summarised in the table below:

	On lists at 31 December 1992	Changes between 1 January 1993 and 31 December 1993		On lists 31 December 1993
		Additions	Removals	
Trade Unions	302	7	22	287
Employers' Associations	128	2	7	123

- 1.10 The seven additions to the list of trade unions are shown in *italics* in Appendix 1. Of the 22 unions removed from the list eleven had ceased to exist as a result of mergers, ten had been dissolved, and one is now an unlisted trade union.
- 1.11 Two employers' associations were added to, and seven removed from the list. Of the seven employers' associations removed from the list two had ceased to exist as a result of a merger, four had been dissolved and one was removed by the Certification Officer.
- 1.12 In November 1993 the Attorney General and the Home Secretary brought proceedings against officials of the Prison Officers Association (the POA) seeking to restrain industrial action by members of that union. The ruling on the case by Mr Justice May raised doubts about the status of the POA as a trade union and, at the end of the year, the Certification Officer was reviewing that status and, consequently the POA's inclusion in the list of trade unions. The status of the Prison Governors Association is similarly under review.

Unlisted organisations

- 1.13 Because entry in the lists is voluntary it is difficult to say precisely how many trade unions and employers' associations are in existence at any given time. In addition to the numbers of listed organisations given in paragraph 1.8, at the end of the year there were 23 trade unions and 130 employers' associations which submit annual returns to the Office but 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.

Department of Employment

- 1.14 The information collected by the Office provides the main basis for updating the Department of Employment's *Directory of Employers' Associations, Trade Unions, Joint Organisations, etc.* and for compiling its annual statistics of numbers and membership of trade unions.

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. A union must be listed - see Chapter 1 - before it can apply for a certificate of independence. The Certification Officer must keep a public record of all applications for such certificates and of all decisions reached. He may not take a decision on any application until at least one month after it has been entered in the record and must take into account any relevant information submitted by third parties. 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".

Working methods

- 2.5 The working methods used by the Office in considering applications for certificates of independence remain unchanged. Essentially, they consist of a scrutiny of the applicant union's rules and finances, followed where necessary by detailed investigation of the union's affairs.

Criteria

- 2.6 The principal criteria used by the Certification Officer in determining whether or not an applicant union satisfies the statutory definition are explained in the Office's booklet *Guidance for trade unions wishing to apply for a certificate of independence* under the following headings:

- History
- Membership base
- Organisation and structure
- Finance
- Employer-provided facilities
- 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.

Procedure

- 2.7 An application for a certificate of independence must be made on the appropriate form and be accompanied by the statutory fee. The form - CO 5 - can be obtained on request from the Certification Office. The statutory fee was set at £436 with effect from 1 May 1993.

Applications

- 2.8 Four applications for certificates of independence were received in 1993. In addition work continued on four applications carried over from the previous year. One application, from UNISON - The Public Service Union, was made by a newly formed trade union following an amalgamation where each of the unions involved had held a certificate of independence immediately prior to the date of the merger.

Decisions

- 2.9 During the year four certificates of independence were issued, one of which was in respect of an application carried over from the previous year. Two applications were refused in 1993. Two applications remained outstanding at the end of the year. Fourteen certificates were cancelled because the unions concerned had ceased to exist. Mergers accounted for ten of these cancellations. One other certificate was cancelled because the union concerned requested removal from the list of trade unions. 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 identifies changes in both trade union membership and expenditure between 1991 and 1992.

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.
- 3.3 The Act requires annual returns to be submitted before 1 June in each year and 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. Section 34 contains eligibility provisions for appointment as an auditor to a trade union or employers' association. A person is qualified to act as auditor in this way if he is eligible for appointment as a company auditor under section 25 of the Companies Act 1989. The appointment and removal of auditors is dealt with at section 35 of the 1992 Act, while section 37 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.

- 3.6 Provided the period covered is the same and there is no significant diminution in the degree of disclosure, a trade union or 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 he is not empowered to undertake prosecutions for such offences as embezzlement or fraud which are dealt with under the ordinary criminal law.
- 3.8 All funds maintained for trade union and employers' association purposes must be included in the return made to the Certification Officer.

Trade Union Reform and Employment Rights Act 1993

- 3.9 The Trade Union Reform and Employment Rights Act 1993, gives the Certification Officer powers both to direct an organisation to produce documents relating to its financial affairs and to appoint inspectors to investigate the financial affairs of an organisation where it appears to him that there is impropriety in the conduct of those affairs.
- 3.10 The 1993 Act also provides that a trade union's annual return to the Certification Officer must contain information about the remuneration of its national officers paid from the organisations funds, and a statement both of the number of names on the register of members and of how many of those are not accompanied by an address. The Act contains provisions to ensure that individual members are informed about the conduct of its financial affairs and other related matters during the period to which the annual return to the Certification Officer relates. The provisions of this paragraph relate to all returns received after 31 December 1993 but not to any return covered by this report.

Audit Qualifications

- 3.11 Of the 522 returns received this year 36 contained a qualified audit report. These were mainly of a minor and technical nature and appropriate action was taken to deal with them. One of the audit qualifications dealt with during the year concerned the way in which the unions as employers should account for pension costs. An employer is required to recognise the expected cost of providing pensions on a systematic and rational basis. However in the case of three unions the timing of the employers' contribution to the pension funds were such that

they did not satisfy the guidelines laid down by the professional accountancy bodies. The Certification Officer was satisfied with explanations provided by two of the unions for the way contributions were treated, given that the accounts also showed what the effect of following the guidelines would have been. The matter is still under discussion with the third union.

- 3.12 The Certification Officer was given early notice by the Union of Construction Allied Trades and Technicians that its annual return for 1992 was likely to be qualified. When the return was received it was seen that the qualification was in respect of the union's financial position but did not indicate a breach of the statutory provisions.

CSEU 35 hour week fund

- 3.13 During 1993 the Certification Officer was informed by the Confederation of Shipbuilding and Engineering Unions (CSEU) that it was maintaining a fund to support action concerning the introduction of a 35 hour week (the 35 hour week fund). This fund had been in place since 1988 but, through a misunderstanding of the requirements, had never been included in the returns submitted to the Certification Officer. The Certification Officer held discussions with the trustees of the fund and their financial advisers and the matter was satisfactorily resolved. Accounts for the fund, which at 31 December 1992 stood at over £7 million, have now been provided for all the years in question and will be retained with the annual returns for those years. Also the fund will be properly integrated into the return for CSEU for 1993 which is due to be submitted in 1994.

Late submission of returns

- 3.14 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 1993 approximately 14 per cent of returns were submitted over two months late, however by the end of the year 94% had been received. These covered organisations responsible for over 99.9% of all trade union members. The Office continues to seek stricter compliance with the statutory requirements.

Returns for 1992

- 3.15 Statistical 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 1992.* This is because the Office's information is derived from the annual returns (which include audited accounts) for 1992 which were submitted during 1993, the year covered by this report.
- 3.16 Appendix 4 shows that at the end of 1992 there were 20 trade unions with over 100,000 members.
- 3.17 Appendix 5 shows that at the end of 1992 there were 26 employers' associations with an annual income of over £1,500,000.

3.18 The total of 550 organisations which submitted returns for 1992 was made up as follows:

Listed trade unions	289*
Unlisted trade unions	16
Listed employers' associations	128
Unlisted employers' associations	117

Trade unions

3.19 A summary of statistics concerning the membership and finances of trade unions for 1992 is given in Appendix 4. Details are shown for each union with over 100,000 members.

3.20 *Comparability with 1991 figures.* The statistics in Appendix 4 are based on returns from 305* unions in 1992 compared with returns from 291 unions in 1991. All unions of substantial size are included in both sets of figures, which are therefore broadly comparable.

3.21 *Membership.* The table below groups the trade unions which submitted annual returns for 1992 by membership size; it also shows the number of unions in each size band as a percentage of the total. The smaller unions - those with 5,000 or less members - account for over 73% of the total number of unions.

Analysis of unions by size		
Number of Members	Number of Unions	Percentage
Up to 5,000	224	73.7
5,001 - 10,000	21	6.9
10,001 - 15,000	4	1.3
15,001 - 20,000	8	2.6
20,001 - 25,000	2	0.7
25,001 - 50,000	17	5.6
50,001 - 75,000	4	1.3
75,001 - 100,000	4	1.3
Over 100,000	20	6.6

3.22 The trade unions from which returns were received had a total membership of 8,928,902. The major unions with a membership of over 100,000 accounted for 7,159,233 members or 80 per cent of the total.

* The National Union of Mineworkers has previously been treated as one union. The NUM areas and branches are now being treated as separate unions for the purpose of these statistics.

3.23 The returns show that in 1992 total trade union membership fell by approximately 6%. The total membership of 8.9 million compares with 13.2 million in 1979.

3.24 The following table shows changes of 10,000 or more in the membership of individual unions between December 1991 and December 1992:

Changes in Trade Union Membership

	Membership ('000's)*		
	1991	1992	Changes
Increases			
Association of Teachers and Lecturers	142	153	+ 11
National Association of School Masters and Union of Women Teachers	180	191	+ 11
Decreases			
Amalgamated Engineering and Electrical Union	980	884	- 96
Transport and General Workers Union	1,127	1,037	- 90
Manufacturing Science and Finance Union	604	552	- 52
Union of Construction Allied Trades and Technicians	202	157	- 45
National Communications Union (Engineering and Clerical Groups)	151	126	- 25
Union of Shop Distributive and Allied Workers	341	316	- 25
National Union of Public Employees	551	527	- 24
GMB	863	799	- 14
Union of Communication Workers	192	179	- 13
Graphical Paper and Media Union	282	270	- 12
National Union of Mineworkers	106	94	- 12

* The total membership reported by some trade unions includes a number of special groups (e.g. honorary, retired, unemployed) who are members under the union's rules but who either pay no contribution to the union funds or make a nominal payment only.

3.25 *Income.* 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.

3.26 In 1992 the gross income of trade unions was £623 million an increase of 0.6% over 1991. Income from members rose from £505.1 million to £517.8 million, a 2.5% increase. Investment income rose from £43.7 million to £44.8 million.

3.27 *Expenditure.* Gross expenditure rose from £597.9 million in 1991 to £601.1 million in 1992. Changes in payments on members' benefits and on administration and other expenditure compared with 1991 are shown in the following table:

Changes in Expenditure

	1991 (£ million)	1992 (£ million)	Percentage change
Gross expenditure including:	597.9	601.1	+ 0.5
(a) benefits to members	71.3	72.0	+ 1.0
(b) administration and other expenditure	526.5	529.1	+ 0.5

3.28 The table following shows the average contribution and total income per member in 1992 together with average expenditure on benefits and administration and total expenditure per member. Similar figures are included for 1991. The amounts given are based on total membership which was smaller in 1992 than in 1991. In some unions not all members contribute for every benefit.

Average annual income per member (£)			Average annual expenditure per member (£)		
	Total income per member	Average contribution received	Benefits	Administra- tion and other expenditure	Total expenditure
1992	69.77	57.99	8.06	59.25	67.32
1991	65.29	53.23	7.52	55.49	63.01

3.29 *Funds.* The figures given in Appendix 4 include both general funds and others where applicable, eg. contingency, superannuation and political funds.* At the end of 1992 total funds (net assets) of trade unions amounted to £693 million, an increase of 4.7% over the previous year's figure.

3.30 The distinction between benefits to members and administration and other expenditure, although made in the above tables, is not always clear cut. Certain types of expenditure - for example, the provision of legal and other advisory services - can fall under either heading.

Employers' associations

3.31 A summary of statistics concerning the membership and finances of employers' associations for 1992 is given in Appendix 5. Details are given for each association (including unlisted associations) with total income of more than £1,500,000.

3.32 *Comparability with 1991 figures.* The statistics in Appendix 5 are based on returns from 245 employers' associations compared with returns from 258 associations for 1991. The largest employers' associations, as measured by total income, are included in both sets of figures which are therefore broadly comparable.

3.33 *Income and Expenditure.* In 1992 the gross income of employers' associations was £180.1 million compared with £165.1 million in 1991, an increase of 9.1%. Income from members rose from £92.9 million to £95.9 million. Income from investments stayed broadly the same at £12.5 million. Gross expenditure increased from £157 million to £168 million (7%).

3.34 *Funds.* The figures given in the Appendix include both general funds and, where applicable, funds maintained for specific purposes. At the end of 1992 total funds (net assets) of employers' associations amounted to £133 million an increase of £15.6 million (13.3%) over the previous year's figure.

Public inspection of annual returns

3.35 Copies of the annual returns (and of the rules) of trade unions and employers' associations from 1974 onwards are available for public inspection at the Certification Office or, where appropriate, the Office of the Assistant Certification Officer for Scotland.

* 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

- 4.1 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.

Actuarial reports

- 4.2 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

- 4.3 At the end of the year there were 21 members' superannuation schemes maintained by 13 trade unions. They are listed in Appendix 6 and are mostly small schemes with only four having assets 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.

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

- 4.4 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; eight schemes are currently exempt.

Reports: 1993

- 4.5 Three actuarial reports were due and received in 1993. They were from the Graphical Paper and Media Union (re the NGA - Manchester Graphical Society), the Amalgamated Engineering and Electrical Union and the Manufacturing Science and Finance Union. The Graphical Paper and Media Union applied for one of their schemes (NGA - London Region (LTS)) to be exempted from actuarial examination. The exemption has been granted on a temporary basis and will be reviewed later in the year.

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 1993.

The statutory provisions

- 5.1 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.
- 5.2 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 the amalgamating bodies, which cease to exist.
- 5.3 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.
- 5.4 The Trade Union Reform and Employment Rights Act 1993 introduced the requirement that ballots on union mergers should be fully postal and subject to independent scrutiny. The Act prohibits the inclusion in the notice to members of any statement making a recommendation or expressing an opinion about a proposed amalgamation or transfer, as well as requiring that the voting paper sent to a member should 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. It also contains other requirements relating 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. These requirements now apply to all merger ballots.

- 5.5 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.

- 5.6 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.

- 5.7 Formal documents kept by the Certification Officer relating to mergers under the 1992 Act are available for public inspection.

Advice

- 5.8 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 advice where needed and is always prepared to meet officials of organisations proposing to merge to discuss procedures and timetables.

Procedure

- 5.9 Applications for approval of the instrument and notice and for registration of the instrument must be made on the appropriate forms, and accompanied by the statutory fee. This fee, payable at the approval stage, was set at £1,347 with effect from 1 May 1993.

Mergers: 1993

- 5.10 During 1993 there were nine transfers of engagements and one amalgamation of trade unions, and one amalgamation of employers' associations, using the procedures laid down by the Act. Details are given in Appendix 7.
- 5.11 The ten mergers of trade unions which took place during the year involved a total of 1,555,267 members. The largest merger registered in 1993, involving 1,512,893 members, was the amalgamation between the National and Local Government Officers Association, the National Union of Public Employees and the Confederation of Health Service Employees to form UNISON - The Public

Service Union. This took effect on 1 July 1993 and resulted in the creation of the largest union in the country.

- 5.12 Three proposed transfers of engagements involving trade unions together with two proposed amalgamations of employers' associations were in progress at the end of the year.

Complaints

- 5.13 A member of a trade union may complain to the Certification Officer under section 103 of the 1992 Act about the conduct of a ballot to approve an instrument of amalgamation or transfer. A number of enquiries was received and 49 formal complaints were made during 1993. One complaint concerned the ballot conducted by NALGO as part of the UNISON merger and 48 members complained about the ballot conducted by the British Association of Colliery Management (BACM) in relation to the proposed merger with the Engineers and Managers Association. The Certification Officer dismissed the complaint against NALGO without a formal hearing. The decision is summarised below.* The complaints against BACM were still under consideration at the end of the year.

Complaint against NALGO

- 5.14 A member of NALGO complained to the Certification Officer that not every member was given an opportunity of voting in the ballot of NALGO members. He said that the Association's membership register was incomplete and that therefore not every member would have received a ballot paper. He believed that only around one third of the members voted on the issue because only that percentage had received ballot papers. In later correspondence he supplied the names of fourteen members of his own branch whom he alleged had not received ballot papers. In correspondence the Association gave details of the procedure for maintaining the membership register and of the publicity given to the ballot in union journals. A system of Freephone lines was also publicised, by which a member who had not received a ballot paper could be given appropriate assistance.
- 5.15 Whilst the individual omissions were unsatisfactory, the Certification Officer noted the measures taken by the union to insure against the possibility of faults in the record keeping or other problems leading to some of those entitled to vote not receiving ballot papers; these included the degree of publicity, the extended balloting period and the system of telephone helplines both nationally and in each district. This single complaint involving a relatively small number of members in the one branch who had apparently not received a ballot paper should be seen against the three quarters of a million members entitled to vote in the ballot. In these circumstances, the Certification Officer concluded that "so far as is reasonably possible", all members had been given a fair opportunity of voting (Decision No. CO/1964/11).

* Copies of the decision can be obtained from the Certification Office.

Changes of name

- 5.16 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. Application on the appropriate form - CO 3 - must be accompanied by the statutory fee which was set at £90 with effect from 1 May 1993.

- 5.17 During 1993 approval was given to the changes of name of two trade unions and two employers' associations as shown below:

Trade Unions		Effective Date
From	National Association of Inspectors and Education Advisers	
To	National Association of Educational Inspectors Advisers and Consultants	6.4.93
From	Society of Chiropodists	
To	Society of Chiropodists and Podiatrists	11.6.93
Employers' Associations		
From	Engineering Employers London Association	
To	EEF South	20.1.93
From	National Association of Shopkeepers of Great Britain and Northern Ireland	
To	National Association of Shopkeepers and Self Employed of Great Britain and Northern Ireland	17.8.93

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 1993.

The statutory provisions

(a) General

- 6.1 The 1992 Act enables a trade union or an unincorporated employers' association (whether listed or not) to include the furtherance of political objects, as defined in the Act, among the objects of the organisation and to adopt political fund rules providing for the expenditure of funds on such objects. A resolution to adopt political objects must be passed by a simple majority in a secret postal ballot of the members held under rules approved by the Certification Officer. In this connection new provisions inserted in the 1992 Act by the Trade Union and Employment Rights Act 1993 require, that an independent person must be appointed by the union to oversee the requirements of a ballot. The rules governing the political fund must also be approved by the Certification Officer.

(b) Exemptions

- 6.2 The 1992 Act requires the political fund rules to provide that any members who notify their objection to contributing to the political fund must be exempted from any obligation to contribute to that fund; that such 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); and that contribution to the political fund must not be made a condition for admission to the organisation.
- 6.3 Members wishing to claim exemption must give notice of their objection in the form 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 enabling each member to know what portion, if any, of his contribution is a contribution to the political fund.

(c) Complaints

- 6.4 Any member of a trade union with a political fund who alleges that he is aggrieved by a breach of the political fund rules may complain to the Certification Officer under sections 82(2) to (4). If, after giving the complainant and the union an opportunity to be heard the Certification Officer considers that a breach has occurred, he may make an order for remedying it. Under section 95 an appeal against the decision of the Certification Officer may be made to the Employment Appeal Tribunal on a question of law.
- 6.5 Under sections 79 and 80 of the Act a member of a trade union 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

- 6.6 Section 73(3) and (4) require trade unions and employers' associations which already have a political fund resolution in force and wish to continue to spend money on political objects, 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.

Advice on procedures

- 6.7 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 this 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 1993

- 6.8 No trade union had political fund rules approved for the first time during 1993 following a membership ballot.

Amalgamations of unions already holding a political fund

- 6.9 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 6.6) 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 1993. The union concerned was:

UNISON - The Public Service Union

Political fund resolutions in force

- 6.10 The number of political fund resolutions in force at 31 December 1993 was 48. The 47* trade unions concerned are indicated in Appendix 1. During the year two unions held review ballots as required by section 73(3) and (4) of the Act. The unions were:

Society of Telecom Executives
Amalgamated Engineering and Electrical Union

In both cases the maintenance of a political fund was approved by the members.

As at 31 December 1993 there were no employers' associations maintaining political funds.

Political funds of trade unions at 31 December 1992

- 6.11 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 1992.
- 6.12 Annual returns showed the total income of political funds as £15.5 million in 1992 compared with £16.4 million in 1991, and expenditure £19.0 million as compared with £15.5 million. Total funds at the end of 1992 were £14.6 million compared with £18.1 million at the end of 1991.

Political fund membership

- 6.13 Appendix 8 also gives membership information provided by the unions which maintained political funds at 31 December 1992 and shows comparable information for unions with political funds at 31 December 1991. Annual returns showed that in 1992 the number of union members contributing to a political fund was 5,578,568 compared with 5,990,947 in 1991.

Exemption notices

- 6.14 Exemption notices (see paragraph 6.3) are obtainable from the organisation concerned or from the Certification Office. The Office supplied 19 such notices during 1993.

Amendments to rules

- 6.15 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. Four trade unions had amendments approved in this way in 1993.

Political fund complaints

- 6.16 During 1993 one complaint was made to the Certification Officer under section 82(2) to (4) of the 1992 Act. Enquiries into the complaint were continuing at the end of 1993.

* Within the National Communications Union the Engineering Group and Clerical Group each has a political fund.

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. Detailed conditions for administering the scheme are laid down in regulations. Chapter 7 outlines which ballots qualify for assistance and shows a fall in the level of payments compared with 1992.

The statutory provisions

- 7.1 Section 115 of the 1992 Act and regulations made by the Secretary of State for Employment permit the Certification Officer 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

- 7.2 In February 1993 the Secretary of State made regulations (SI 1993 No. 233) to phase out the scheme over a period of three years from April 1993. In the year April 1993 to March 1994 75% of each qualifying claim under the scheme will 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 from 1 April 1996.

Qualifying purposes for the residual Scheme

- 7.3 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).

- (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

- 7.4 An application for refund will qualify for payment 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 statutory requirements applying in respect of the conduct of the ballot 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.

Guidance

- 7.5 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

- 7.6 During 1993, 70 unions made applications for refund in respect of 380 ballots. This compares with 80 unions which made applications in respect of 644 ballots in 1992. Since the inception of the ballot refund scheme approximately 40% of listed trade unions have made claims for refund.
- 7.7 The Certification Officer made payments in respect of 264 ballots for which applications were made during the year. He also made payments in respect of 102 ballots for which applications were outstanding at the beginning of the year. He was unable to make payments in respect of four ballots which failed to meet the provisions of the Scheme.
- 7.8 Apart from the statutory deductions referred to in paragraph 7.2, in over 60% 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.
- 7.9 The Certification Officer made payments during the year totalling £3,382,803 (as compared with £4,259,860 in 1992). £214,000 of this fall is accounted for by the deduction from claims to the 75% level provided for in the phasing-out regulations. The recipients of payments are listed in Appendix 9.

Secret Postal Ballots for Trade Union Elections

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

The statutory provisions

- 8.1 Part I, Chapter IV of the 1992 Act requires a trade union to ensure that no-one takes up a position as a member of the union's principal executive committee without having been elected to it, or remains in that 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 conditions laid down in Chapter IV. In addition, every trade union must maintain a register of its members' names and addresses and, as far as reasonably practicable, keep the entries accurate and up-to-date.
- 8.2 Section 54 of the Act gives individual trade union members the 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 provisions of Chapter IV of the Act. Where an application is made to the Certification Officer the Act requires him to make such enquiries as he thinks fit and, where he considers it appropriate, to give the applicant and the trade union an opportunity to be heard, before he makes or refuses to make the declaration asked for. In certain circumstances, expenses incurred by persons attending complaint hearings can be reimbursed by the Office.
- 8.3 If the Certification Officer makes a declaration and is satisfied that steps have been taken by the union with a view to remedying the declared failure, or securing that a failure of the same or similar kind does not occur in the future, or that the union has agreed to take such steps, he shall specify those steps. Additionally (whether or not he makes a declaration) the Certification Officer must give reasons for his decision in writing and such reasons may be accompanied by written observations on any matter arising from, or connected with, the proceedings.
- 8.4 The making of an application to the Certification Officer under section 55 does not prevent the applicant, or any other person, from making a subsequent application to the Court under that section in respect of the same matter. Where a subsequent application is made, the Court is required to have due regard to any declaration, reasons or observations of the Certification Officer which are brought to the notice of the Court.

Applications, investigations and decisions

- 8.5 The Certification Officer issued five decisions during 1993. Consideration of two further complaints is continuing.

Declarations

- 8.6 Of the five decisions issued in 1993 one contained a declaration to the effect that the union concerned had failed to comply with the requirements of Chapter IV of the Act. The declaration was in respect of the Association of University Teachers and concerned an apparent failure to ballot some 500 part-time members of the Association in the election of the General Secretary. The Association decided to re-run the ballot although in the event the re-election was not contested. No declarations were made in respect of two other complaints concerning the Association. The Certification Officer, in respect of one of these complaints, held that there was no express requirement for a union to hold a single national register. (Decision No: D/3-5/93).
- 8.7 In a decision in respect of the National Union of Rail, Maritime and Transport Workers the Certification Officer observed that difficulties could arise where a union rule book was silent on important issues. In this instance a lot of time and trouble could have been avoided if the principle that the Executive Committee representatives must be able to complete their term of office before retiring at 65 had been embodied in the rule book. Nevertheless even in the absence of a rule to that effect the Certification Officer held that it was not unreasonable to exclude a member from being a candidate on these grounds (Decision No: D/2/93).
- 8.8 In a further decision in respect of the Graphical Paper and Media Union the Certification Officer observed that, whilst there was no failure by the union to comply with the legislation, a planned rule change in October 1994 would bring certain members of the executive within the requirements of Chapter IV of the Act. (Decision No: D/1/93).
- 8.9 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 1993

Notes:

Trade unions first entered in the list during 1993 are shown in *italics*.

* Denotes a trade union holding a certificate of independence at 31 December 1993.

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 1993.

England and Wales

- *Abbey National Staff Association
- Airport Fire-Fighters Federation
- *Alliance and Leicester Building Society Staff Association
- *Amalgamated Association of Beamers Twisters and Drawers (Hand and Machine)
- *Amalgamated Engineering and Electrical Union (P)
- Artists Union
- *Assistant Chief Probation Officers Association
- *Associated Metalworkers Union
- *Associated Society of Locomotive Engineers and Firemen (P)
- *Association for College Management
- *Association of British Dental Surgery Assistants
- *Association of Cambridge University Assistants
- *Association of Clinical Biochemists Limited
- *Association of Educational Psychologists
- *Association of First Division Civil Servants
- #Association of Football League Referees and Linesmen
- *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 Optometrists
- Association of Plastic Operatives and Engineers
- *Association of Principal Fire Officers
- *Association of Professional Ambulance Personnel
- *Association of Professional Music Therapists in Great Britain
- *Association of Public Service Finance Officers
- Association of Somerset Inseminators
- *Association of Teachers and Lecturers

- *Association of University and College Lecturers
- *Association of University Teachers (P)
- Association of Vice-Principals of Colleges
- *Audit Commission Staff Association
- *Bakers Food and Allied Workers Union (P)
- Balfour Beatty Group Staff Association
- Balfour House Staff Association
- *Banking Insurance and Finance Union
- *Barclays Group Staff Union
- Birmingham Union of Club Stewards
- *Blackburn and District Amalgamated Power Loom Overlookers Association
- *Bradford and Bingley Building Society Staff Association
- *Britannia Building Society 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 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)
- Building Trades Union
- *Cabin Crew 89
- Cadbury Schweppes Representatives Association
- *Card Setting Machine Tenters Society
- Ceram Research Staff Association
- *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 and General Staff Association
- College of Health Care Chaplains*
- *Commercial Union Group Staff Association
- *Communication Managers Association (P)
- *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)
- *Electrical and Plumbing Industries Union (P)
- *Electrical Power Engineers Association
- *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
- English Chiropodists Association
- English Estates Staff Union*
- *Federated Union of Managerial and Professional Officers
- Federation of Professional Organisations (PT "A" Whitley Council)
- *Federation of Professional Railway Staff
- *Film Artistes Association
- Financial Services Staff Federation
- *Fire Brigades Union (P)
- *Furniture Timber and Allied Trades Union (P)
- Gallaher Sales Staff Association
- *Gas Higher Management 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)
- *Guinness (Park Royal) Supervisory Association
- *Halifax Building Society Staff Association
- Harrods Staff Union
- Headmasters Conference
- *Heart of England Building Society Staff Association

Hongkong Bank Group UK Staff Association
 *Hospital Consultants and Specialists Association
 *Hospital Doctors Association
 Huddersfield and Dewsbury Power Loom Overlookers Society
 *Hyde and District Loom Overlookers Association

Ideal Field Staff Association
 *Immigration Service Union
 Independent Union of Owner Operators
 *Inland Revenue Staff Federation (P)
 Institute of Football Management and Administration
Institute of Professional Driving Examiners
 *Institution of Professionals Managers and Specialists (P)
 *Iron and Steel Trades Confederation (P)

Joint Boots Pharmacists Association
 #Jones and Shipman Administrative 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

Managerial Staff Association of the Provincial Insurance Group of Companies
 *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 Cannock Chase Area
 National Association of Colliery Overmen Deputies and Shotfirers Durham Area (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 Head Teachers
 *National Association of Educational Inspectors Advisers and Consultants
 *National Association of Licensed House Managers
 *National Association of NFU Group Secretaries
 National Association of Power Workers
 *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 Communications Union (Engineering and Clerical Groups) (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 (P)
 *National Union of Marine Aviation and Shipping Transport Officers
 *National Union of Mineworkers (P)
 *National Union of Mineworkers (Cannock Chase and Pelsall District Midland Area)
 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 (Durham Enginemen Group No. 1 Area)
 National Union of Mineworkers (Durham Mechanics Group No. 1 Area)
 National Union of Mineworkers (Lancashire 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 (North Western Area)
 St Helens Craftsmens Branch
 *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 Mineworkers (Yorkshire 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
 Portsmouth Building Society Staff Association
 *Power Loom Carpet Weavers and Textile Workers Union (P)
 *Prison Governors Association
 *Prison Officers Association
 *Professional Association of Nursery Nurses
 *Professional Association of Teachers
 #Professional Flight Instructors Association
 Professional Footballers Association
 #Rank Hotels Staff Association
 Rediffusion Simulation Staff 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 London District Managers and Superintendents Association
 Royal Society of Chemistry Staff Association

RSPB Staff Association
 Rumbelows Branch Managers Association
 Rumbelows Retail Staff Association (RRSA)
 Scarborough Building Society Staff Association (SOCASS)
 *Secondary Heads Association
 Self-Employed and Employed Electricians Association
 Sheffield Wool Shear Workers Trade Union
 Shipbuilding Engineering and Aerospace Group
 *Skipton and District Power-Loom Overlookers Association
 *Skipton Staff Association
 #Societe Generale 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 (NUPE)
 *Space and Communications Stevenage Staff Association
 *Stable Lads Association
 Staff Association of Bank of Baroda (European Operations)
 *Staffordshire Building Society Staff Association
 *Star Aluminium Managerial 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)
 *Union of Communication Workers (P)
 *Union of Construction Allied Trades and Technicians (P)
 *Union of Democratic Mineworkers (P)
 Union of Dexion Workers
 *Union of Medical Administrative Staff
 *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
- Wharman Reeve Angel Staff Association
- *Woolwich Independent Staff Association
- *Writers Guild of Great Britain

*Yorkshire Building Society Staff Association

Scotland

*Association of Head Teachers in Scotland

District Nursing Association UK

*Dumfries Building Society Staff Association

*Educational Institute of Scotland (P)

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

*National Union of Mineworkers (Colliery Officials and Staffs Area)

Scottish Region No. 8

*Offshore Industry Liaison Committee

Professional Staff Association of Scottish Woodland Owners Association
(Commercial) Limited

*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 2

(see paragraph 1.8)

List of Employers' Associations at 31 December 1993

Note:

Employers' associations first entered in the list during 1993 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 Brush Manufacturers Association
British Ceramic Manufacturers Federation
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 Paper and Board Industry Federation Limited
British Precast Concrete Federation Limited
British Printing Industries Federation
British Ready Mixed Concrete Association
British Scrap Federation
British Textile By-Products Association
Builders Merchants Federation
Building Employers Confederation

CEF (Colleges Employers Forum)

Central Lancashire Engineering Employers Association

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

Dairy Trade Federation Limited

East Midlands Local Authorities Employers Organisation

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 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

Federation of Staffordshire Clothing and Textile Employers

Footwear Distributors Federation

Grimby 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

Multivall Sack Manufacturers Employers Association

Music Retailers Association Limited

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 Shopkeepers and Self Employed of Great Britain and Northern Ireland

National Engineering Construction Employers Association

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 Association of Small Mines

North East Lancashire Textile Manufacturers Association

North West Lancashire Engineering Employers Association

Oil and Chemical Plant Constructors Association

Polytechnics and Colleges Employers Forum

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

Showmen's Guild of Great Britain

Slag Employers Association

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

Welsh Engineers and Founders Association

Wire and Wire Rope Employers Association

Yorkshire and Humberside Local Authorities Employers Organisation
Yorkshire Glass Manufacturers Association

Scotland

Association of Jute Spinners and Manufacturers

Clydeside Federation of Community Based Housing Associations

Electrical Contractors Association of Scotland

Glasgow and District Retail Fashers Association

Hawick Knitwear Manufacturers Association
Hebridean Spinners Advisory Committee

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
Scottish Woollen Industry

Appendix 3

(see paragraph 2.9)

Decisions on Trade Union Independence during 1993

Certificates of independence issued

Dunfermline Building Society Staff Association
National Association of Colliery Overmen Deputies and Shotfirers (Scottish Area)
National Union of Mineworkers (Colliery Officials and Staffs Area) (Region No. 5)
UNISON - The Public Service Union

Certificates of independence refused

Clerical Medical and General Staff Association
Royal London District Managers and Superintendents Association

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

A. Monk and Company Staff Association
Association of Preparatory Workers
Confederation of Health Service Employees
Hospital Physicists Association
Lancashire Box Packing Case and General Woodworkers Friendly Relief Sick
Superannuation and Burial Society
National and Local Government Officers Association
National Association of Colliery Overmen Deputies and Shotfirers North Western
Area
National Union of Public Employees
National Union of Scalemakers
Yorkshire Association of Power Loom Overlookers

Certificates cancelled because the union was dissolved

Colne and District Textile Warehouse Association
Northern Counties Textile Trades Federation
Rowntree Mackintosh Sales Staff Association
Society of Shuttlemakers

Certificate cancelled because the union requested removal from the list of trade unions

Association of Principals of Colleges

Applications in progress

Gallaher Sales Staff Association
Staff Association of Bank of Baroda (European Operations)

Appendix 4

Summary of Statistics - Trade Unions, 1992

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 position at the end of 1992 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, 1992

(see paragraph 3.19)

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		
																£000s (2)
Unions with 100,000 members or more:-																
Transport and General Workers Union	1,036,586	60,105	3,502	494	64,101	8,547	55,850	64,397	53,089	52,793	34,850	18,281	7,994	61,125	8,332	
Amalgamated Engineering and Electrical Union	884,463	25,232	1,539	953	27,724	3,177	24,027	27,204	25,596	26,116	18,618	10,387	12,617	41,622	15,506	
GMB	799,101	39,387	2,650	1,325	43,362	4,540	39,971	44,511	54,788	53,639	26,429	13,604	16,922	56,955	3,316	
National and Local Government Officers Association	764,062	64,628	3,440	7,713	75,781	9,716	61,928	71,644	70,343	74,480	13,256	44,772	24,600	82,628	8,148	
Manufacturing Science and Finance Union	552,000	22,498	675	140	23,313	3,283	19,590	22,873	12,694(f)	13,134	21,837	2,081	8,182	32,100	18,966	
National Union of Public Employees	527,403	29,996	1,239	205	31,440	3,268	24,986	28,254	18,834	22,020	8,583	5,381	11,336	25,300	3,280	
Union of Shop Distributive and Allied Workers	316,491	14,607	1,088	675	16,370	1,042	13,801	14,843	12,238	13,765	3,237	9,261	1,492	13,990	225	
Royal College of Nursing of the United Kingdom	299,157	10,337	-	-	10,337	321	10,016	10,337	-	-	-	-	3,742	3,742	3,742	
Graphical Paper and Media Union	269,881	22,793	4,190	2,382	29,365	7,530	27,992	35,522	76,349	70,192	5,122	44,303	23,039	72,464	2,272	
National Union of Teachers	213,656	9,801	1,188	769	11,758	970	10,590	11,560	5,473(f)	5,671	2,848	1,760	4,578	9,186	3,515	
Confederation of Health Service Employees	195,519	10,958	495	485	11,938	1,296	11,047	12,343	10,811	10,406	3,270	5,804	2,586	11,660	1,254	
National Association of School Masters and Union of Women Teachers	190,637	5,754	481	1,481	7,716	1,105	5,678	6,783	9,821	10,754	3,809	5,904	1,345	11,058	304	
Union of Communication Workers	178,862	14,220	495	142	14,857	2,082	12,937	15,019	9,651	9,489	2,377	1,947	6,118	10,442	953	
Union of Construction Allied Trades and Technicians	157,201	5,248	14	130	5,392	594	6,843	7,437	2,431	386	2,640	46	692	3,378	2,992	
Banking Insurance and Finance Union	153,562	7,471	256	200	7,927	253	7,262	7,515	4,242(f)	4,654	2,907	1,474	965	5,346	692	
Association of Teachers and Lecturers	152,795	5,933	197	134	6,264	1,146	4,787	5,933	1,953	2,284	2,356	589	679	3,624	1,340	
National Communications Union (Engineering and Clerical Groups)	126,376	11,832	515	131	12,478	1,817	9,682	11,499	12,178	13,157	3,902	506	9,163	13,571	414	
Civil and Public Services Association	124,504	9,139	371	217	9,727	894	8,092	8,986	10,403	11,144	6,706	1,192	4,167	12,065	921	
National Union of Civil and Public Servants	111,831	10,425	59	31	10,515	425	10,539	10,964	5,771	5,322	5,713	128	2,027	7,868	2,546	
National Union of Rail Maritime and Transport Workers	105,146	8,611	1,624	278	10,513	3,564	10,120	13,684	18,502	15,331	9,426	4,939	2,181	16,546	1,215	
Total for above unions with 100,000 members or more	7,159,233	388,975	24,018	17,885	430,878	55,570	375,738	431,308	415,167	414,737	177,886	172,359	144,425	494,670	79,933	
Total for 269 other listed unions with less than 100,000 members	1,764,981	125,150	17,248	19,744	162,142	14,979	129,696	144,675	215,310	232,777	75,764	100,334	105,624	281,722	48,945	
Total for listed unions	8,924,214	514,125	41,266	37,629	593,020	70,549	505,434	575,983	630,477	647,514	253,650	272,693	250,049	776,392	128,878	
Trades Union Congress	-	1,125	750	10,009	11,884	-	11,228	11,228	4,584	5,240	2,739	2,183	2,392	7,314	2,074	
Total for 15 other unlisted unions which have submitted returns	4,688	2,575	2,831	12,665	18,071	1,436	12,418	13,854	36,244	40,461	711	15,481	38,238	54,430	13,969	
Total for all unions 1992	8,928,902	517,825	44,847	60,303	622,975	71,985	529,080	601,065	671,305	693,215	257,100	290,357	290,679	838,136	144,921	
Total for all unions 1991	9,489,034	505,089	43,747	70,732	619,568	71,336	526,552	597,888	640,120	661,800	269,218	253,976	288,213	811,407	149,607	

Notes - see previous page

Appendix 5

Summary of Statistics - Employers' Associations, 1992

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, 1992
(see paragraph 3.31)

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
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	1,926	2,840	433	5,199	3,513	16,101	17,787	381	16,299	1,719	18,399	612	17
EEF West Midlands	1,242	230	2,836	4,308	4,198	2,362	2,472	947	1,176	2,077	4,200	1,728	1,109
EEF South	914	133	614	1,661	1,531	2,057	2,187	1,224	425	831	2,480	293	516
12 Other Engineering Employers Associations in Great Britain	4,262	337	2,263	6,862	6,596	4,103(d)	4,369	1,690	1,573	2,510	5,773	1,404	2,914
Test and County Cricket Board	-	-	20,559	20,559	20,559	-	-	-	-	1,574	1,574	1,574	20
*National Farmers Union	17,428	881	2,123	20,432	18,819	15,319(d)	16,932	13,423	1,866	7,968	23,257	6,325	101,444
*Freight Transport Association Limited	2,038	183	8,434	10,655	10,230	3,525	3,950	3,668	1,545	2,436	7,649	3,699	12,638
Electrical Contractors Association	2,182	1,498	6,341	10,021	6,713	14,122(d)	17,430	313	26,837	3,024	30,174	12,744	1,987
Building Employers Confederation	6,198	183	3,218	9,599	10,099	12,532	12,032	11,689	440	2,014	14,143	2,111	6,890
Heating and Ventilating Contractors Association	1,477	638	5,069	7,184	6,527	3,912(d)	4,569	887	515	5,447	6,849	2,280	1,116
British Printing Industries Federation	3,331	110	2,111	5,552	5,466	942	1,028	854	605	2,162	3,621	2,593	2,955
*Chemical Industries Association Limited	4,387	215	730	5,332	5,332	213	213	106	500	1,209	1,815	1,602	168
Retail Motor Industry Federation Limited	3,193	847	1,181	5,221	4,945	1,341	1,617	2,312	(e)	6,999	9,311	7,694	12,232
National Federation of Retail Newsagents	4,233	76	56	4,365	4,188	2,615	2,792	1,858	546	1,789	4,193	1,401	28,832
Newspaper Society	2,978	180	294	3,452	3,452	1,003	1,003	208	191	2,479	2,878	1,875	241
*Road Haulage Association Limited	1,623	80	1,628	3,331	3,272	3,443	3,502	3,537	8	1,060	4,605	1,103	10,211
Federation of Master Builders	2,219	71	778	3,068	3,121	5,035(d)	4,982	5,054	459	594	6,107	1,125	18,926
National Pharmaceutical Association	1,801	64	585	2,450	2,326	1,243	1,367	1,118	431	1,173	2,722	1,355	6,748
Federation of Civil Engineering Contractors	1,833	141	285	2,259	2,255	959	963	192	242	924	1,358	395	307
*British Jewellery and Giftware Federation Limited	557	984	659	2,200	1,396	4,146	4,950	1,399	4,497	1,024	6,920	1,970	1,768
Vehicle Builders and Repairers Association	1,940	100	14	2,054	1,990	916	980	508	2	1,232	1,742	762	3,329
British Paper and Board Industry Federation Limited	1,160	25	513	1,698	1,694	1,267	1,271	1,481	(e)	301	1,782	511	62
*West End Theatre Managers Limited	1,561	100	9	1,670	1,667	96	99	10	23	1,051	1,084	985	93
National Farmers Union of Scotland	1,164	50	336	1,550	1,349	453	654	56	596	193	845	191	13,504
Producers Alliance for Cinema and Television Limited	1,343	178	27	1,548	1,612	250	186	123	182	550	855	669	1,348
Dairy Trade Federation Limited	1,466	-	56	1,522	1,455	629	696	79	-	943	1,022	326	3,300
*Incorporated National Association of British and Irish Millers Limited	1,459	13	34	1,506	1,468	289	327	28	(e)	784	812	485	35
Total for above Employers' Associations	73,915	10,157	61,186	145,258	135,773	98,873	108,358	53,145	58,958	54,067	166,170	57,812	232,710
Total for 90 other listed Employers' Associations	12,547	1,597	6,285	20,429	18,784	14,737	16,382	6,491	10,291	7,777	24,559	8,177	33,054
Total for 117 other unlisted Employers' Associations	9,481	786	4,173	14,440	13,546	7,541	8,435	3,459	3,331	6,479	13,269	4,834	13,925
Total for all Employers' Associations 1992	95,943	12,540	71,644	180,127	168,103	121,151	133,175	63,095	72,580	68,323	203,998	70,823	279,689
Total for all Employers' Associations 1991	92,871	12,511	59,699	165,081	157,024	109,493	117,550	62,923	67,010	62,617	192,550	75,000	293,144

*Unlisted Employers Associations

Notes - see previous page

Appendix 6

(see paragraph 4.3)

Trade Unions Maintaining Members' Superannuation Schemes at 31 December 1993

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 (7 schemes, one exempt)

*Iron and Steel Trades Confederation

Manufacturing Science and Finance Union (2 schemes)

National Union of Flint Glass Workers

National Union of Knitwear Footwear and Apparel Trades

*National Union of Mineworkers

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

*National Union of Mineworkers (Yorkshire Area)

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

*Transport and General Workers Union

Appendix 7

(see paragraph 5.10)

Mergers Completed in 1993

Trade Union Amalgamation

<i>Amalgamating Trade Unions</i>	<i>Forming</i>	<i>Amalgamation registered on</i>
National and Local Government Officers Association <i>and</i> National Union of Public Employees <i>and</i> Confederation of Health Service Employees	UNISON - The Public Service Union	6.5.93 (effective 1.7.93)

Trade Union Transfers of Engagements

<i>Engagements transferred from</i>	<i>To</i>	<i>Transfer registered on</i>
Yorkshire Association of Power Loom Overlookers	Transport and General Workers Union	22.1.93
Association of Staff of Probation and Bail Hostels	Amalgamated Engineering and Electrical Union	3.2.93
Association of Preparatory Workers	Amalgamated Engineering and Electrical Union	23.4.93
A. Monk and Company Staff Association	Amalgamated Engineering and Electrical Union	13.5.93
National Association of Colliery Overmen Deputies and Shotfirers North Western Area	National Association of Colliery Overmen Deputies and Shotfirers (Yorkshire Area)	3.8.93
Hospital Physicists Association	Manufacturing Science and Finance Union	3.9.93
Lancashire Box Packing Case and General Woodworkers Friendly Relief Sick Superannuation and Burial Society	Transport and General Workers Union	16.9.93
Furniture Timber and Allied Trades Union	GMB	16.11.93 (effective 1.1.94)
National Union of Scalemakers	Manufacturing Science and Finance Union	8.12.93

Employers' Associations Amalgamation

<i>Amalgamating Employers' Associations</i>	<i>Forming</i>	<i>Amalgamation registered on</i>
Eastern Representative Provincial Organisation of Local Authority Employers (for Administrative Professional Technical and Clerical Services and Manual Worker Services) <i>and</i> Essex and Hertfordshire Representative Provincial Organisation of Local Authority Employers (for Administrative Professional Technical and Clerical Services and Manual Worker Services)	Eastern and Essex and Hertfordshire Regional Employers Organisation (Local Authorities)	22.7.93

Appendix 8

Political Funds of Trade Unions, 1992 (see paragraph 6.11)

	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	621,110	214,452	597,000	819,000	659,000	437,000
Associated Society of Locomotive Engineers and Firemen	17,869	743	62,173	61,524	71,169	71,818
Association of Her Majesty's Inspectors of Taxes	2,412	113	7,291	-	15,789	23,080
Association of University Teachers	30,106	894	20,530	710	-	19,820
Bakers Food and Allied Workers Union	30,371	1,851	53,403	48,717	4,865	9,551
Broadcasting Entertainment Cinematograph and Theatre Union	39,903	45	72,106	28,454	34,434	78,086
Ceramic and Allied Trades Union	22,601	521	86,212	61,861	85,085	109,436
Civil and Public Services Association	-	-	-	-	(4,368)	(4,368)
Communication Managers Association	14,930	307	22,471	25,541	65,989	62,919
Confederation of Health Service Employees	180,220	15,299	507,079	505,406	153,283	154,956
Educational Institute of Scotland	44,945	1,758	64,089	11,981	151,882	203,990
Electrical and Plumbing Industries Union	2,040	-	2,050	901	-	1,149
Fire Brigades Union	37,188	11,782	102,339	115,983	135,877	122,233
Furniture Timber and Allied Trades Union	27,293	4,349	37,101	45,788	10,228	1,541
General Union of Associations of Loom Overlookers	342	188	523	676	306	153
GMB	687,236	55,602	2,601,000	3,786,000	2,293,000	1,108,000
Graphical Paper and Media Union	120,796	149,085	334,378	534,198	711,320	511,500
Inland Revenue Staff Federation	54,804	2,256	127,972	287,994	384,019	223,997
Institution of Professional Managers and Specialists	78,521	2,316	47,113	74,261	89,862	62,714
Iron and Steel Trades Confederation	27,810	6,933	90,600	109,126	33,754	15,228
Manufacturing Science and Finance Union	225,691	326,309	442,000	588,000	234,000	88,000
Musicians Union	31,935	1,832	14,974	25,424	21,936	11,486
National and Local Government Officers Association	631,889	45,054	1,873,752	2,452,328	3,874,905	3,296,329
National Association of Colliery Overmen Deputies and Shotfirers	4,775	36	27,003	25,537	49,478(c)	50,944
National Association of Colliery Overmen Deputies and Shotfirers Durham Area	360	-	2,163	601	(836)	726
National Association of Schoolmasters and Union of Women Teachers	108,583	82,054	58,378	60,091	43,325	41,612
National Association of Teachers in Further and Higher Education	65,262	2,888	83,618	25,311	227,615	285,922
National Communications Union (Engineering and Clerical Groups) - Engineering Group	71,268	17,661	306,073	340,098	128,409	94,384
National Communications Union (Engineering and Clerical Groups) - Clerical Group	26,407	3,026	90,962	64,795	168,117	194,284
National League of the Blind and Disabled	1,009	75	3,274	2,532	4,526(c)	5,268

Political Funds of Trade Unions, 1992 *cont.*
(see paragraph 6.11)

Appendix 8

	Number of Members contributing to the Political Fund	Number of Members exempt from contributing to the Political Fund	POLITICAL FUND (a)			
			Income	Expenditure	Fund at Beginning of Year	Fund at End of Year
	(b) (1)	(b) (2)	£ (3)	£ (4)	£ (5)	£ (6)
National Union of Civil and Public Servants	110,714	1,117	138,431	34,109	480,185	584,507
National Union of Domestic Appliances and General Operatives	650	6	873	870	86	89
National Union of Insurance Workers	13,468	2,623	25,588	16,806	66,457	75,239
National Union of Knitwear Footwear and Apparel Trades	49,458	798	145,941	170,159	105,865	81,647
National Union of Lock and Metal Workers	3,925	47	2,206	770	7,991	9,427
National Union of Mineworkers	28,271	65,413	333,387	335,643	519,223(c)	516,967
National Union of Public Employees	512,962	11,941	2,221,941	2,158,960	1,361,056	1,424,037
National Union of Rail Maritime and Transport Workers	103,411	1,735	320,000	509,000	248,000	59,000
National Union of Scalemakers	3	1,051	13	2	305	316
Power Loom Carpet Weavers and Textile Workers Union	1,970	80	2,057	5,470	7,715	4,302
Rosendale Union of Boot Shoe and Slipper Operatives	2,218	21	51	791	2,146	1,406
Scottish Carpet Workers Union	831	-	664	268	930	1,326
Society of Telecom Executives	12,146	9,997	49,441	133,319	169,794	85,916
Society of Union Employees (NUPE)	164	-	506	2,500	2,682	688
Transport and General Workers Union	909,530	14,405	2,978,355	3,971,874	4,765,495	3,771,976
Transport Salaried Staffs Association	35,168	5,706	97,525	115,703	112,702	94,524
Union of Communication Workers	172,601	6,261	485,000	463,000	96,000	118,000
Union of Construction Allied Trades and Technicians	110,673	24,695	200,000	207,000	11,000	4,000
Union of Democratic Mineworkers	10,997	81	8,063	17,442	18,600	9,221
Union of Shop Distributive and Allied Workers	290,088	26,403	773,078	779,337	471,806	465,547
Union of Textile Workers	1,644	60	3,662	4,123	2,344	1,883
Total for the 51 unions with political funds for 1992	5,578,568	1,119,869	15,524,409	19,029,984	18,097,351	14,591,776
Total for the 52 unions with political funds for 1991	5,990,947	1,167,361	16,396,417	15,489,864	17,239,098	18,145,651

Notes:

- (a) The information in the table relates to the position at the end of 1992 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.

Appendix 9

(see paragraph 7.9)

Refunds of Ballot Costs, 1993

Trade Union	Amount Paid £
Amalgamated Engineering and Electrical Union	470,572
Associated Society of Locomotive Engineers and Firemen	18,307
Association of Educational Psychologists	807
Association of First Division Civil Servants	5,002
Association of Her Majesty's Inspectors of Taxes	2,733
Association of Principals of Colleges	332
Association of Professional Ambulance Personnel	2,932
Association of Teachers and Lecturers	40,158
Association of University Teachers	17,083
Banking Insurance and Finance Union	40,382
Barclays Group Staff Union	33,238
British Actors Equity Association	40,689
British Air Line Pilots Association	7,639
British Association of Colliery Management	1,164
British Dental Association	1,342
British Medical Association	9,814
Broadcasting Entertainment Cinematograph and Theatre Union	14,808
Ceramic and Allied Trades Union	8,414
Chartered Society of Physiotherapy	930
Civil and Public Services Association	261,941
Communication Managers Association	10,312
Directors Guild of Great Britain	664
Educational Institute of Scotland	20,602
Electrical Power Engineers Association	15,460
Film Artistes Association	2,208
General Dental Practitioners Association	2,243
GMB	19,040
Halifax Building Society Staff Association	7,038
Immigration Service Union	1,916
Inland Revenue Staff Federation	45,894
Institute of Professionals Managers and Specialists	48,554

Iron and Steel Trades Confederation	16,330
Lloyds Group Union	5,454
Manufacturing Science and Finance Union	283,610
Musicians Union	8,415
National and Provincial Building Society Staff Association	158
National Association of Colliery Overmen Deputies and Shotfirers	619
National Association of Educational Inspectors Advisors and Consultants	1,093
National Association of Head Teachers	15,210
National Association of Licensed House Managers	3,311
National Association of Probation Officers	18,515
National Association of Schoolmasters and Union of Women Teachers	39,476
National Association of Teachers in Further and Higher Education	57,191
National Communications Union	159,997
National Society for Education in Art and Design	954
National Union of Civil and Public Servants	99,676
National Union of Journalists	4,091
National Union of Rail Maritime and Transport Workers	42,572
National Union of Teachers	988
NatWest Staff Association	41,794
Power Loom Carpet Weavers and Textile Workers Union	859
Prison Governors Association	424
Prison Officers Association	10,490
Professional Association of Teachers	9,374
Royal College of Midwives	14,037
Royal College of Nursing of the United Kingdom	87,495
Scottish Prison Officers Association	2,317
Secondary Heads Association	3,245
Society of Chiropodists and Podiatrists	3,959
Society of Radiographers	4,247
Society of Telecom Executives	8,295
Transport Salaried Staffs Association	1,065
Union of Communication Workers	191,872
Union of Democratic Mineworkers	6,427
UNISON - The Public Service Union	1,084,078
United Road Transport Union	2,088
Woolwich Independent Staff Association	275
Writers Guild of Great Britain	931
Total	3,382,803

APPENDIX 10

List of Certification Office Forms

TITLE	Form No:
Application for entry in the list of trade unions	CO 1
Application for entry in the list of employers' associations	CO 2
Application for approval of a change of name	CO 3
Declaration in support of an application for approval of a change of name	CO 4
Application for a certificate of independence	CO 5
Application for formal approval of an instrument of transfer of engagements	CO 6
Application for formal approval of a notice to members in connection with a transfer of engagements	CO 7
Application for formal approval of an instrument of amalgamation	CO 8
Application for formal approval of a notice to members in connection with an amalgamation	CO 9
Application for the registration of an instrument of transfer of engagements	CO 10
Statutory declaration on behalf of the transferor organisation in support of the registration of an instrument of transfer of engagements	CO 11
Statutory declaration on behalf of the transferee organisation in support of the registration of an instrument of transfer of engagements	CO 12
Application for registration of an instrument of amalgamation	CO 13
Statutory declaration in support of an application for the registration of an instrument of amalgamation	CO 14
Application for the refund of cost of secret postal ballot	CO 30
Application for the refund of costs of secret postal ballot - multiple claim	CO 30 (multiple IA)
Application for the approval of amendment(s) to political fund rules	PF 1
Application for approval of rules for political fund on amalgamation	PF 2
Application for approval of rules for political fund ballot or political fund	PF 4

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 amalgamations 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. *Annual Reports of the Certification Officer*