

Annual  
Report  
of the  
Certification  
Officer

1992

Certification Office for  
Trade Unions and Employers' Associations

27 Wilton Street  
London SW1X 7AZ  
071 210 3734

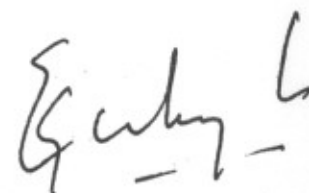
CERTIFICATION OFFICE  
FOR TRADE UNIONS AND EMPLOYERS' ASSOCIATIONS

**Annual Report**  
**of the Certification Officer**  
**1992**

The Rt Hon Gillian Shephard 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 the activities of the Certification Officer during 1992 as required by the Trade Union and Labour Relations (Consolidation) Act 1992.



E G WHYBREW  
*Certification Officer*  
12 February 1993

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## Introduction

This is the seventeenth Annual Report to be published since the post of Certification Officer was established under section 7 of the Employment Protection Act 1975. It deals with my activities from my appointment as Certification Officer on 6 October 1992 to the end of the calendar year. It also covers the activities from 1 January 1992 of my predecessor, Matthew Wake, who served as Certification Officer for over 7 years.

During 1992 the duties of the Certification Officer remained unchanged. On 16 October 1992 the Trade Union and Labour Relations (Consolidation) Act 1992, which draws together a number of statutes containing legislation concerning trade unions and employers' associations, came into force. Amongst the measures consolidated were the provisions covering my functions in relation to 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 accounting records, have their accounts properly audited and submit annual returns, 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.

Although the volume of work connected with transfers of engagements and amalgamations fell slightly during 1992 the number of members involved in such mergers rose. This figure was the highest since 1982 reflecting the trend towards amalgamations between major unions. During the year a decision on a political fund complaint was issued following a hearing. This was the first political fund decision to be issued since 1984. The scrutiny and payment of claims towards the cost of secret postal ballots continued to form a major part of the workload of the Office and there was also no lessening in the monitoring of annual returns from trade unions and employer's associations.

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 1992 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 Trade Union and Labour Relations (Consolidation) Act 1992 are published separately by order of the House of Commons. In broad terms it is estimated that about 34% of the Office's resources are allocated to work connected with the receipt, scrutiny and follow-up of annual returns from trade unions and employers' associations; 39% 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 subject to an annual review and any increase normally becomes effective from 1 April. The net cost of the Office for the year ended 31 March 1992 was £526,000.

### Contacts for Information

A series of 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 1992 (S.I. 1992 No. 461).

## Lists of Trade Unions and Employers' Associations

### 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 Trade Union and Labour Relations (Consolidation) Act 1992.
- 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 - 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. Sections 1 and 122 are reproduced in full at paragraphs 1.13 and 1.14.
- 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 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 accompanied by the statutory fee which was set at £288 with effect from 1 April 1992.
- 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 1992

1.8 As required by sections 2 and 123 of the Act this Report includes the lists as at 31 December 1992. They are reproduced as Appendices 1 and 2. The lists at the end of 1992 comprised 302 trade unions and 128 employers' associations.

1.9 Changes during 1992 are summarised in the table below:

	On lists at 31 December 1991	Changes between 1 January 1992 and 31 December 1992		On lists 31 December 1992
		Additions	Removals	
Trade Unions	309	9	16	302
Employers' Associations	131	2	5	128

1.10 The nine additions to the list of trade unions are shown in italics in Appendix 1. Of the 16 unions removed from the list five had ceased to exist as a result of mergers, nine had been dissolved, one was removed by the Certification Officer and one is now an unlisted trade union.

1.11 Two employers' associations were added to and five were removed from the list. Of the five employers' associations removed from the list one had ceased to exist as a result of a merger, three had been dissolved and one was removed by the Certification Officer.

### Unlisted organisations

1.12 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 21 trade unions and 134 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.

### Definition of a trade union

1.13 Section 1 of the Trade Union and Labour Relations (Consolidation) Act 1992 reads as follows:

*'In this Act, a "trade union" means an organisation (whether temporary or permanent) -*

- (a) which consists wholly or mainly of workers of one or more descriptions and whose principal purposes include the regulation of relations between workers of that description or those descriptions and employers or employers' associations; or*

*(b) which consists wholly or mainly of -*

- (i) constituent or affiliated organisations which fulfil the conditions specified in paragraph (a) (or themselves consist wholly or mainly of constituent or affiliated organisations which fulfil those conditions), or*
- (ii) representatives of such constituent or affiliated organisations,*

*and whose principal purposes include the regulation of relations between workers and employers or between workers and employers' associations, or the regulation of relations between its constituent or affiliated organisations.'*

### Definition of an employers' association

1.14 Section 122 of the Trade Union and Labour Relations (Consolidation) Act 1992 reads as follows:

*'In this Act, an "employers' association" means an organisation (whether temporary or permanent) -*

- (a) which consists wholly or mainly of employers or individual owners of undertakings of one or more descriptions and whose principal purposes include the regulation of relations between employers of that description or those descriptions and workers or trade unions; or*

*(b) which consists wholly or mainly of -*

- (i) constituent or affiliated organisations which fulfil the conditions in paragraph (a) (or themselves consist wholly or mainly of constituent or affiliated organisations which fulfil those conditions), or*

- (ii) representatives of such constituent or affiliated organisations,*

*and whose principal purposes include the regulation of relations between employers and workers or between employers and trade unions, or the regulation of relations between its constituent or affiliated organisations.*

*References in this Act to employers' associations include combinations of employers and employers' associations.'*

### Department of Employment

1.15 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

### The statutory provisions

- 2.1 Section 5 of the Trade Union and Labour Relations (Consolidation) Act 1992 defines an independent trade union as:

*'a trade union which -*

- (a) is not under the domination or control of an employer or a group of employers or of one or more employers' associations; and*
- (b) is not liable to interference by an employer or any such group or association (arising out of the provision of financial or material support or by any other means whatsoever) tending towards such control'.\**

- 2.2 The procedure for determining the independence of trade unions is laid down in section 6 of the Act. 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.

### 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.

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

### Criteria

- 2.6 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 £448 with effect from 1 April 1992.

### Applications

- 2.8 Nine applications for certificates of independence were received in 1992, four more than in 1991. In addition work continued on one application carried over from 1991. One application, that from the Amalgamated Engineering and Electrical Union, was made by the 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 six certificates of independence were issued, one of which was in respect of an application carried over from the previous year. No applications were refused in 1992. Four applications remained outstanding at the end of the year. Eight certificates were cancelled because the unions concerned had ceased to exist. Mergers accounted for five of these cancellations. Details are given in Appendix 3.

- 2.10 The appeal lodged by the Government Communications Staff Federation at the Employment Appeal Tribunal (EAT) against the Certification Officer's decision in December 1989 to refuse the Federation a certificate of independence was heard in October 1992. The EAT, on a re-hearing of the application, ruled that the Federation did not satisfy the statutory definition of an independent trade union and that a certificate of independence should be refused.

## Annual Returns and Accounts

### The statutory provisions

- 3.1 Sections 28 and 131 of the Trade Union and Labour Relations (Consolidation) Act 1992 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, 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.

- 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 Trade Union and Labour Relations (Consolidation) Act 1992.
- 3.7 With the exceptions already noted, the duties imposed by sections 28, 32 and 131 apply to all trade unions and employers' associations, whether listed under sections 2 or 123 of the Act 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 carry out detailed investigations into the finances of trade unions or employers' associations or to undertake prosecutions for such offences as embezzlement or fraud which are dealt with under the ordinary criminal law.

### Trade Union Reform and Employment Rights Bill

- 3.8 The Trade Union Reform and Employment Rights Bill, currently before Parliament, proposes to give 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.
- 3.9 The Bill also provides that a trade union's annual return to the Certification Officer must contain information about the remuneration of its leaders 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 Bill 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.

### Late submission of returns

- 3.10 The Act requires an organisation to submit an annual return to the Certification Officer within five months of the year end (para 3.3). In 1992 approximately 15 per cent of returns were submitted over two months late, however by the end of the year 92% had been received. These covered organisations responsible for over 99% of all trade union members. The Office continues to seek stricter compliance with the statutory requirements.

## Returns for 1991

3.11 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 1991.* This is because the Office's information is derived from the annual returns (which include audited accounts) for 1991 which were submitted during 1992, the year covered by this report.

3.12 Appendix 4 shows that at the end of 1991 there were 23 trade unions with over 100,000 members.

3.13 Appendix 5 shows that at the end of 1991 there were 34 employers' associations with an annual income of over £1,000,000.

3.14 The total of 548 organisations which submitted returns for 1991 was made up as follows:

Listed trade unions	276
Unlisted trade unions	15
Listed employers' associations	132
Unlisted employers' associations	125

## Trade unions

3.15 A summary of statistics concerning the membership and finances of trade unions for 1991 is given in Appendix 4. Details are shown for each union with over 100,000 members.

3.16 *Comparability with 1990 figures.* The statistics in Appendix 4 are based on returns from 291 unions in 1991 compared with returns from 306 unions in 1990. All unions of substantial size are included in both sets of figures, which are therefore broadly comparable.

3.17 *Membership.* The trade unions from which returns were received had a total membership of 9,489,034. The major unions with a membership of over 100,000 accounted for 7,702,855 members or 81 per cent of the total.

3.18 The returns show that in 1991 total trade union membership fell for the eleventh consecutive year since 1979 when it stood at 13.2 million.

3.19 The following table shows changes of 10,000 or more in the membership of individual unions between December 1990 and December 1991:

Changes in Trade Union Membership

	Membership (000's)*		
	1990	1991	Changes
<b>Increases:</b>			
National and Local Government Officers Association	744	760	+16
National Association of School Masters and Union of Women Teachers	169	180	+11
<b>Decreases:</b>			
Transport and General Workers Union	1,224	1,127	-97
Amalgamated Engineering Union	702	623	-79
Manufacturing Science and Finance Union	653	604	-49
National Union of Public Employees	579	551	-28
Union of Shop Distributive and Allied Workers	362	341	-21
Society of Graphical and Allied Trades 1982 (SOGAT)	169	157	-12
Electrical Electronic Telecommunication and Plumbing Union	367	357	-10
Union of Communication Workers	202	192	-10
National Union of Mineworkers	116	106	-10

3.20 *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.

\* The total membership reported by some trade unions includes a number of special categories (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.



3.21 In 1991 the gross income of trade unions was £619.6 million an increase of 10.3% over 1990. Income from members rose from £462.7 million to £505.1 million, (9.2%). There was a decrease in income from investments which fell from £45.2 million to £43.7 million.

3.22 *Expenditure.* Gross expenditure rose from £554.9 million in 1990 to £597.9 million in 1991. Changes in payments on members' benefits and on administration and other expenditure compared with 1990 are shown in the following table:

**Changes in Expenditure**

	1990 (£ million)	1991 (£ million)	Percentage change
Gross expenditure including:	554.9	597.9	+7.7
(a) benefits to members	65.8	71.3	+8.3
(b) administration and other expenditure*	489.1	526.5	+7.6

3.23 The table following shows the average contribution and total income per member in 1991 together with average expenditure on benefits and administration and total expenditure per member. Similar figures are included for 1990. The amounts given are based on total membership which was smaller in 1991 than in 1990. 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	Adminis- tration and other expenditure*	Total expenditure
1991	65.29	53.22	7.5	55.4	63.0
1990	57.26	47.2	6.7	49.86	56.56

\*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

3.24 *Funds.* The figures given in Appendix 4 include both general funds and others where applicable, eg. contingency, superannuation and political funds.\* During 1991 total funds increased from £636 million to £662 million.

3.25 *Assets.* At the end of 1991 net assets of trade unions amounted to £661.8 million, an increase of £26.1 million (4%) over the previous year's figure.

#### **Employers' associations**

3.26 A summary of statistics concerning the membership and finances of employers' associations for 1991 is given in Appendix 5. Details are given for each association (including unlisted associations) with total income of more than £1,000,000.

3.27 *Comparability with 1990 figures.* The statistics in Appendix 5 are based on returns from 257 employers' associations compared with returns from 275 associations for 1990. The largest employers' associations, as measured by total income, are included in both sets of figures which are therefore broadly comparable.

3.28 *Income and Expenditure.* In 1991 the gross income of employers' associations was £165.1 million compared with £150.8 million in 1990, an increase of 9.5%. Income from members rose from £83 million to £93 million but income from investments fell from £13 million to £12.5 million. Gross expenditure increased from £143.7 million to £157 million (9.5%).

3.29 *Funds.* The figures given in the Appendix include both general funds and, where applicable, funds maintained for specific purposes. During 1991 total funds increased from £109.7 million to £117.5 million.

3.30 *Assets.* At the end of 1991 net assets of employers' associations amounted to £117.5 million, an increase of £7.9 million (7.2%) over the previous year's figure.

#### **Public inspection of annual returns**

3.31 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

### The statutory provisions

- 4.1 Sections 38-42 and 131 of the Trade Union and Labour Relations (Consolidation) Act 1992 require that any members' superannuation scheme maintained by a trade union or employers' association\* 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 14 trade unions. They are listed in Appendix 6. Eight of these schemes are exempt from actuarial examination. 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.

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

### Reports: 1992

- 4.4 Four actuarial reports were due and received in 1992. Three of the reports were from the National Union of Knitwear, Footwear and Apparel Trades, the Graphical Paper and Media Union (re the SOGAT Printing Machine Branch Fund) and the National Union of Rail Maritime and Transport Workers. The fourth report was received from the Associated Society of Locomotive Engineers and Firemen and the union also applied for and was granted an exemption from future actuarial examinations. The Graphical Paper and Media Union (re the NGA Superannuation and Pension Fund) scheme, in respect of which a report was outstanding at the end of 1991, was wound up during the year.

## Mergers

### The statutory provisions

- 5.1 The Trade Union and Labour Relations (Consolidation) Act 1992 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 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 is made to the Certification Officer.
- 5.5 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.

\*The Trade Union Reform and Employment Rights Bill (currently before Parliament) proposes that ballots on union mergers should be fully postal and subject to independent scrutiny. 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.

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

### Advice

- 5.7 The Office's booklet *Mergers: a guide to the statutory requirements for transfers of engagements and amalgamations of trade unions and employers' associations* explains the merger procedures in detail and sets 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

- 5.8 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 £1,241 with effect from 1 April 1992.

### Mergers: 1992

- 5.9 During 1992 there were three transfers of engagements and one amalgamation of trade unions, and four transfers of engagements of employers' associations, using the procedures laid down by the Act. Details are given in Appendix 7.
- 5.10 The four mergers of trade unions which took place during the year involved a total of 949,376 members. The largest merger registered in 1992, involving 944,009 members, was the amalgamation between the Amalgamated Engineering Union and the Electrical Electronic Telecommunication and Plumbing Union to form the Amalgamated Engineering and Electrical Union. This took effect on 1 May 1992.
- 5.11 One proposed amalgamation of employers' associations was in progress at the end of the year. One proposed amalgamation involving NUPE, NALGO and COHSE and three proposed transfers of engagements involving trade unions were also in progress.

### Complaints

- 5.12 A member of a trade union may complain to the Certification Officer under section 103 of the Act about the conduct of a ballot to approve an instrument of amalgamation or transfer. A number of enquiries were received, but no formal complaints were made during 1992.

## Changes of name

5.13 Section 107 of the 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 £71 with effect from 1 April 1992.

5.14 During 1992 approval was given to the changes of name of four trade unions and four employers' associations as shown below:

Trade Unions		Effective Date
From Guild of Medical Secretaries		
To Union of Medical Administrative Staff		12.2.92
From Association of Polytechnic and College Teachers		
To Association of University and College Lecturers		18.2.92
From Assistant Masters and Mistresses Association		
To Association of Teachers and Lecturers		6.5.92
From Nationwide Anglia Building Society Staff Association		
To Nationwide Group Staff Association		6.8.92
Employers' Associations		
From Engineering Employers West Midlands Association		
To EEF West Midlands Association		30.1.92
From National Federation of Master Window Cleaners		
To National Federation of Master Window and General Cleaners		2.6.92
From Scottish Newspaper Proprietors Association		
To Scottish Newspaper Publishers Association		19.8.92
From Society of Master Printers of Scotland		
To Scottish Print Employers Federation		19.8.92

## Political Funds

### The statutory provisions

- 6.1 The Trade Union and Labour Relations (Consolidation) Act 1992, 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 ballot of the members held under rules approved by the Certification Officer. The rules governing the political fund must also be approved by the Certification Officer.
- 6.2 The Act requires the political fund rules to provide, among other things, that any payments in the furtherance of the political objects set out in the Act must be made out of a separate political fund; that 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 1992 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.
- 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) of the 1992 Act. 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 of the 1992 Act an appeal against the decision of the Certification Officer may be made to the Employment Appeal Tribunal on a question of law.



6.5 Section 73(3) and (4) of the 1992 Act 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.

6.6 Under sections 79 and 80 of the 1992 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.

#### Advice on procedures

6.7 On request the Office gives advice on the procedures for establishing political funds and for holding review ballots. An information pack including model rules is available 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 at 31 December 1992

6.8 One trade union had political fund rules approved for the first time during 1992 following a membership ballot. The union concerned was:

Electrical and Plumbing Industries Union

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. Two unions were so treated in 1992:

Amalgamated Engineering and Electrical Union  
Graphical Paper and Media Union

6.10 The number of political fund resolutions in force at 31 December 1992 was 51. The 50\* trade unions concerned are indicated in Appendix 1. During the year one union failed to hold a review ballot as required by section 73(3) and (4) of the Act. It no longer has the right to operate a political fund. The union is:-

Society of Union Employees (NUPE)

As at 31 December 1992 there were no employers' associations maintaining political funds.

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

#### Political funds of trade unions at 31 December 1991

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 1991.

6.12 Annual returns showed the total income of political funds as £16.4 million in 1991 compared with £15.6 million in 1990, and expenditure £15.5 million as compared with £12.7 million. Total funds at the end of 1991 were £18.1 million compared with £17.3 million at the end of 1990.

#### Political fund membership

6.13 Appendix 8 also gives membership information provided by the unions which maintained political funds at 31 December 1991 and shows comparable information for unions with political funds at 31 December 1990. Annual returns showed that in 1991 the number of union members contributing to the political fund was 5,990,947 compared with 6,113,457 in 1990.

#### Exemption notices

6.14 Exemption notices (see paragraph 6.3) are obtainable from the organisation concerned or from the Certification Office. The Office supplied fifty such notices during 1991.

#### 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. Two trade unions had amendments approved in this way in 1992.

#### Political fund complaints

6.16 During 1992 three complaints were made to the Certification Officer under section 82(2) to (4) of the 1992 Act. After consideration by the complainant one was not pursued further. The other two cases involved the National Union of Public Employees. One was resolved by correspondence and the other by a formal hearing in which the Certification Officer found that the union had been in breach of its political fund rules.

## Funds for Trade Union Ballots

### The statutory provisions

- 7.1 Section 115 of the Trade Union and Labour Relations (Consolidation) Act 1992 empowers 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 a Scheme contained in Regulations made by the Secretary of State for Employment.\*

### Qualifying purposes

- 7.2 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);
- (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.

\*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) and the Employment Act 1990 (SI 1990 No. 2379).

†The Regulations were not included in the consolidation although provision was made in the 1992 Consolidation Act for references to enactments repealed by the Act to continue to have effect.

### Conditions

- 7.3 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. 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

- 7.4 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

- 7.5 During 1992, 80 unions made applications for refund in respect of 644 ballots. This compares with 78 unions which made applications in respect of 716 ballots in 1991.
- 7.6 The Certification Officer made payments in respect of 531 ballots for which applications were made during the year. He also made payments in respect of 169 ballots for which applications were outstanding at the beginning of the year. He was unable to make payments to two unions in respect of two ballots which failed to meet the provisions of the Scheme.
- 7.7 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 were:
- refund claimed for 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;
- 7.8 The Certification Officer made payments during the year totalling £4,259,859.63 (as compared with £4,082,382.75 in 1991). The recipients are listed in Appendix 9.

### Future of the Scheme

- 7.9 In December the Government announced that the Scheme would be phased out over three years from April 1993. In the year 1993/94 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.



## Secret Postal Ballots for Trade Union Elections

### The statutory provisions

- 8.1 Part I, Chapter IV of the Trade Union and Labour Relations (Consolidation) Act 1992, 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. 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 of the Act 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 no decisions during 1992. Investigation of two complaints is continuing. Copies of previous decisions are available free of charge from the Certification Office.

(see paragraph 1.8)

## List of Trade Unions at 31 December 1992

### Notes:

Trade unions first entered in the list during 1992 are shown in *italics*.

\*Denotes a trade union holding a certificate of independence at 31 December 1992.

(P) Denotes a trade union with a political fund resolution in force at 31 December 1992.

### 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)*
- \*A. Monk and Company Staff Association
- 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 Career Teachers
- \*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 Preparatory Workers
- \*Association of Principal Fire Officers
- \*Association of Principals of Colleges
- \*Association of Professional Ambulance Personnel
- \*Association of Professional Music Therapists in Great Britain

- \*Association of Public Service Finance Officers
- \*Association of Somerset Insurers
- \*Association of Staff of Probation and Bail Hostels
- \*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 Artists 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 Teniers 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

- \*Colman Association of Staff
- \*Colne and District Textile Warehouse Association
- \*Commercial Union Group Staff Association
- \*Communication Managers Association (P)
- \*Community and Youth Workers Union
- \*Confederation of Health Service Employees (P)
- \*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 Chiropractors Association

- \*Federated Union of Managerial and Professional Officers
- \*Federation of Professional Organisations (PT 'A' Whitley Council)
- \*Federation of Professional Railway Staff
- \*Film Artists Association
- \**Financial Services Staff Federation*
- \*Fire Brigades Union (P)
- \*Furniture Timber and Allied Trades Union (P)

- \*Gallagher 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
- \*Hospital Physicists 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
- \*Institution of Professionals Managers and Specialists (P)
- \*Iron and Steel Trades Confederation (P)
- Joint Boots Pharmacists Association
- Jones and Shipman Administrative Staff Association
- \*Lancashire Box Packing Case and General Woodworkers Friendly Relief Sick Superannuation and Burial Society
- \*Leeds Permanent 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 Local Government Officers Association (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 North Western 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 Inspectors and Educational Advisers
- \*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 (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 Public Employees (P)  
 \*National Union of Rail Maritime and Transport Workers (P)  
 \*National Union of Scalemakers (P)  
 \*National Union of Teachers  
 \*Nationwide Group Staff Association  
 \*NatWest 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  
 \*Northern Counties Textile Trades Federation  
 Nottingham and District Federation of Club Stewards

#### 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 Association of Workers in Education  
 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)

\*Rowntree Mackintosh Sales Staff Association  
 \*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  
 \*Society of Radiographers  
 \*Society of Shuttlemakers  
 \*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  
 Sutton Manor Branch of Miners

\*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)
- \*United Association of Power Loom Overlookers
- \*United Friendly Agents Association
- United Friendly Head Office Management Association
- \*United Road Transport Union

- \*West Bromwich Building Society Staff Association
- Whatman Reeve Angel Staff Association
- \*Woolwich Independent Staff Association
- \*Writers Guild of Great Britain

- \*Yorkshire Association of Power Loom Overlookers
- \*Yorkshire Building Society Staff Association

#### Scotland

- \*Association of Head Teachers in Scotland

District Nursing Association UK  
Dunfermline Building Society Staff Association

- \*Educational Institute of Scotland (P)

- National Association of Colliery Overmen Deputies and Shotfirers (Scottish Area)
- \**National Union of Mineworkers (Colliery Officials and Staffs Area)*  
*Scottish Region No. 8*

- \**Offshore Industry Liaison Committee*

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

- Scottish Association of Amenity Supervisory Staffs
- \*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 1992

#### Note:

Employers' associations first entered in the list during 1992 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

Central Lancashire Engineering Employers Association  
China Clay Association

Cinema Exhibitors Association  
Clothing Manufacturers Federation (1987)  
Construction Plant-Hire Association  
Co-operative Employers Association

Dairy Trade Federation Limited

Eastern Representative Provincial Organisation of Local Authority Employers for  
Administrative Professional Technical and Clerical Services and Manual  
Worker Services

East Midlands Local Authorities Employers Organisation

EEF Northern Association

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 London Association

Engineering Employers Sheffield Association (South Yorkshire and North Midlands)

Engineering Employers Western Association

Essex and Hertfordshire Representative Provincial Organisation of Local Authority  
Employers (for Administrative Professional Technical and Clerical Services and  
Manual Worker Services)

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

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

Multiple Shoe Retailers Association  
Multiwall 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 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

Society of British Printing Ink Manufacturers Limited

*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

Flax and Linen Association (GB)

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 Lace and Window Furnishing Association

Scottish Newspaper Publishers Association

Scottish Pharmaceutical Federation

Scottish Woollen Industry

Scottish Print Employers Federation

## Appendix 3

(see paragraph 2.9)

### Decisions on Trade Union Independence during 1992

#### Certificates of independence issued

Amalgamated Engineering and Electrical Union  
Directors Guild of Great Britain

Ellington NUM Branch of the North East Area of the National Union of  
Mineworkers

National Association of Colliery Overmen Deputies and Shofifers (Yorkshire Area)  
National Union of Mineworkers (COSA) Scottish Region No. 8  
Offshore Industry Liaison Committee

#### Certificates of independence refused

None

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

Amalgamated Engineering Union

Association of National Health Service Officers

British Cement Staffs Association

Electrical Electronic Telecommunication and Plumbing Union

Town and Country Building Society Staff Association

#### Certificates cancelled because the union was dissolved

British Aerospace (Dynamics Group) Employees Association

Foremens Association of the British Aerospace Public Limited Company - Warton  
Division

National Association of Whole-time Hospital Chaplains

#### Applications in progress

Clerical Medical and General Staff Association

Dunfermline Building Society Staff Association

Royal London District Managers and Superintendents Association

Staff Association of the Bank of Baroda (European Operations)

## Appendix 4

### Summary of Statistics - Trade Unions, 1991

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 1991 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, 1991**  
(see paragraph 3.15)

**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	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	
Unions with 100,000 members or more:-															
Transport and General Workers Union	1,126,631	57,202	3,171	1,021	61,394	10,263	63,064	73,327	65,022	53,089	37,784	10,216	11,819	59,819	6,730
GMB	862,785	38,534	3,247	13,086	54,867	4,819	37,266	42,085	42,006	54,788	25,427	13,224	20,763	59,414	4,626
National and Local Government Officers Association	759,735	57,201	4,004	7,094	68,299	7,058	54,882	61,940	63,984	70,343	12,945	43,670	22,611	79,226	8,883
Amalgamated Engineering Union	622,622	23,587	(952)	1,910	24,545	3,772	21,723	25,495	14,328	13,378	8,418	8,719	6,935	24,072	10,694
Manufacturing Science and Finance Union	604,000	22,588	428	471	23,487	1,784	21,053	22,837	16,961 (f)	17,611	26,962	1,943	7,767	36,672	19,061
National Union of Public Employees	551,165	28,509	727	363	29,599	2,996	22,185	25,181	14,416	18,834	8,704	1,904	13,582	24,190	5,356
Electrical Electronic Telecommunication and Plumbing Union	357,175	13,843	1,141	186	15,170	1,638	12,878	14,516	18,820 (f)	19,474	14,604	4,735	2,650	21,989	2,515
Union of Shop Distributive and Allied Workers	341,349	12,508	1,053	770	14,331	943	12,916	13,859	11,766	12,238	3,373	7,363	1,720	12,456	218
Royal College of Nursing of the United Kingdom	293,193	10,133	-	-	10,133	391	9,742	10,133	-	-	-	-	3,735	3,735	3,735
National Union of Teachers	214,675	8,090	381	1,180	9,651	571	10,873	11,444	6,677	4,884	2,822	2,093	3,780	8,695	3,811
Union of Construction Allied Trades and Technicians	202,334	6,154	(65)	115	6,204	570	6,947	7,517	3,744	2,431	1,855	555	762	3,172	741
Confederation of Health Service Employees	201,993	9,422	461	375	10,258	1,093	8,774	9,867	10,420 (f)	10,811	4,999	5,483	1,290	11,772	961
Union of Communication Workers	191,622	13,140	442	403	13,985	1,930	12,500	14,430	10,096 (f)	9,651	2,198	2,368	5,992	10,558	907
National Association of School Masters and Union of Women Teachers	179,937	5,188	564	696	6,448	919	5,114	6,033	9,406	9,821	3,673	4,055	2,377	10,105	284
Banking Insurance and Finance Union	162,429	7,128	122	296	7,546	149	7,238	7,387	4,036	4,195	2,927	1,174	378	4,479	284
Society of Graphical and Allied Trades 1982 (SOGAT)	157,341	12,139	1,962	2,841	16,942	1,933	14,699	16,632	21,176	21,486	6,999	6,938	10,093	24,030	2,544
National Communications Union (Engineering and Clerical Groups)	150,703	12,255	480	64	12,799	1,672	9,477	11,149	10,528 (f)	12,178	3,988	520	8,115	12,623	445
Assistant Masters and Mistresses Association	141,504	5,152	229	139	5,520	1,189	4,567	5,756	2,189	1,953	2,346	648	430	3,424	1,471
Civil and Public Services Association	124,566	8,707	328	53	9,088	1,616	7,160	8,776	10,091	10,403	6,945	1,401	2,599	10,945	542
National Graphical Association (1982)	124,178	12,503	2,443	3,020	17,966	5,656	11,428	17,084	33,651	34,533	2,411	20,598	12,765	35,774	1,241
National Union of Rail Maritime and Transport Workers	114,138	8,826	1,561	40	10,427	2,779	10,816	13,595	21,671	18,503	9,731	7,870	6,980	24,581	6,078
National Union of Civil and Public Servants	112,761	9,799	31	1,424	11,254	1,229	10,464	11,693	6,210	5,771	5,881	128	2,276	8,285	2,514
National Union of Mineworkers	106,019	7,251	1,695	1,652	10,598	1,262	8,381	9,643	20,248 (f)	21,203	5,086	4,780	13,838	23,704	2,501
Total for above unions with 100,000 members or more	7,702,855	389,859	23,453	37,199	450,511	56,232	384,147	440,379	417,446	427,578	200,078	150,385	163,257	513,720	86,142
Total for 253 other listed unions with less than 100,000 members	1,782,128	111,930	16,485	15,331	143,746	13,369	119,862	133,231	190,373	200,888	65,567	94,284	90,792	250,643	49,755
Total for listed unions	9,484,983	501,789	39,938	52,530	594,257	69,601	504,009	573,610	607,819	628,466	265,645	244,669	254,049	764,363	135,897
Trades Union Congress	-	1,188	649	8,737	10,574	-	9,524	9,524	3,534	4,584	2,713	2,161	1,769	6,643	2,059
Total for 14 other unlisted unions which have submitted returns	4,051	2,112	3,160	9,465	14,737	1,735	13,019	14,754	28,767	28,750	860	7,146	32,395	40,401	11,651
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
Total for all unions 1990	9,810,019	462,746	45,198	53,816	561,760	65,787	489,153	554,940	628,911	635,731	272,267	258,524	246,299	777,091	141,360

Notes - see previous page

## Appendix 5

### Summary of Statistics - Employers' Associations, 1991

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, 1991

(see paragraph 3.26)

## 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)		(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)
Employers' Associations with over £1,000,000 total income:-	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	
Engineering Employers Federation	1,859	2,107	364	4,330	3,349	15,120	16,101	384	14,298	2,238	16,920	819	15
Engineering Employers West Midlands Association	1,197	221	2,213	3,631	3,550	2,281	2,362	1,002	1,097	1,449	3,548	1,186	1,122
Engineering Employers London Association	911	131	360	1,402	1,387	2,042	2,057	1,309	232	691	2,232	175	507
Engineering Employers Western Association	576	63	692	1,331	1,328	587	590	264	313	191	768	178	350
11 Other Engineering Employers Associations in Great Britain	3,366	367	1,330	5,063	5,073	3,533	3,523	1,504	1,415	1,974	4,893	1,370	2,382
*National Farmers Union	15,363	673	4,482	20,518	16,859	11,371 (d)	15,030	12,419	1,802	5,523	19,744	4,714	100,004
Test and County Cricket Board	-	85	14,565	14,650	14,650	-	-	-	-	1,400	1,400	1,400	19
Building Employers Confederation	6,785	651	4,185	11,621	12,500	13,410	12,531	12,504	506	2,344	15,354	2,823	7,871
*Freight Transport Association	1,968	218	8,039	10,225	10,140	3,440 (d)	3,525	3,523	75	3,793	7,391	3,866	12,869
Retail Motor Industry Federation Limited	3,192	1,060	1,168	5,420	5,378	1,299	1,341	2,302	(e)	6,461	8,763	7,422	12,169
British Printing Industries Federation	3,378	125	1,781	5,284	5,299	957	942	823	539	2,388	3,750	2,808	3,154
*Chemical Industries Association Limited	4,039	265	740	5,044	5,035	204	213	119	1,900	1,160	3,179	2,966	159
Electrical Contractors Association	2,180	1,751	1,010	4,941	4,770	13,678	13,849	999	24,999	4,864	30,862	17,013	2,412
National Federation of Retail Newsagents	3,965	95	35	4,095	3,775	2,295	2,615	1,903	489	1,022	3,414	799	29,000
British Clothing Industry Association Limited	423	348	3,024	3,795	1,182	1,892	4,505	7	5,760	1,075	6,842	2,337	234
Newspaper Society	2,678	237	488	3,403	3,332	932	1,003	259	150	1,797	2,206	1,203	266
*Road Haulage Association Limited	1,514	99	1,653	3,266	3,273	3,450	3,443	3,596	8	961	4,565	1,122	10,535
Federation of Master Builders	2,151	94	631	2,876	2,966	5,104 (d)	5,014	5,001	500	625	6,126	1,112	20,491
Heating and Ventilating Contractors Association	1,778	858	129	2,765	2,803	520	482	222	530	1,483	2,235	1,753	1,237
Federation of Civil Engineering Contractors	1,900	161	349	2,410	2,399	948	959	238	262	878	1,378	419	319
National Pharmaceutical Association Limited	1,698	100	555	2,353	2,307	1,197	1,243	1,163	430	1,213	2,806	1,563	6,848
Vehicle Builders and Repairers Association	1,818	96	12	1,926	1,781	771	916	480	2	1,053	1,535	619	3,456
British Paper and Board Industry Federation Limited	1,141	17	432	1,590	1,583	1,260	1,267	1,525	(e)	247	1,772	505	66
*Incorporated National Association of British and Irish Millers Limited	1,516	17	34	1,567	1,586	308	289	43	(e)	549	592	303	37
*British Jewellery and Giftware Federation Limited	402	231	873	1,506	1,186	3,826	4,146	1,499	3,232	647	5,378	1,232	1,825
Publishers Association	1,177	43	259	1,479	1,371	(39)	69	79	-	484	563	494	178
Dairy Trade Federation Limited	1,387	-	84	1,471	1,414	572	629	85	-	1,001	1,086	457	3,300
Independent Programme Producers Association Limited	309	77	1,076	1,462	1,381	367	448	14	474	152	640	192	720
Producers Association Limited	627	196	633	1,456	1,779	344	21	89	186	470	745	724	636
*West End Theatre Managers Limited	1,357	69	2	1,428	1,423	91	96	15	84	1,019	1,118	1,022	79
National Farmers Union of Scotland	1,141	65	124	1,330	1,206	329	453	128	299	192	619	166	12,966
South Western Provincial Employers Organisation	231	74	961	1,266	1,226	548	588	245	800	175	1,220	632	129
*Glass and Glazing Federation	1,055	97	112	1,264	1,153	985 (d)	1,096	719	(e)	668	1,387	291	655
Representative National Organisation of Employers of Local Authority Staff	1,188	-	72	1,260	1,339	225	146	-	-	853	853	707	38
National Hairdressers Federation	381	44	732	1,157	1,152	1,052 (d)	1,057	367	587	287	1,241	184	6,180
Total for above Employers' Associations	74,651	10,735	53,199	138,585	130,935	94,899	102,549	54,829	60,969	51,327	167,125	64,576	242,228
Total for 87 other listed Employers' Associations	10,113	966	3,161	14,240	14,189	7,973	8,024	5,492	3,126	5,269	13,887	5,863	28,351
Total for 125 other unlisted Employers' Associations	8,107	810	3,339	12,256	11,900	6,621	6,977	2,602	2,915	6,021	11,538	4,561	22,565
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
Total for all Employers' Associations 1990	82,985	12,979	54,838	150,802	143,696	102,564	109,670	62,415	56,340	63,383	182,138	72,468	302,911

\*Unlisted Employers' Associations  
Notes - previous page

## Appendix 6

(see paragraph 4.3)

### Trade Unions Maintaining Members' Superannuation Schemes at 31 December 1992

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

Amalgamated Engineering Union

\*Associated Society of Locomotive Engineers and Firemen

\*Colne and District Textile Warehouse Association

GMB

Graphical Paper and Media Union (6 schemes)

\*Iron and Steel Trades Confederation

Manufacturing Science and Finance Union (2 schemes)

National Union of Flint Glass Workers

National Union of Knitwear Footwear and Apparel Trades

\*National Union of Mineworkers

\*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 5.9)

### Mergers Completed in 1992

Chapter VII of the Trade Union and Labour Relations (Consolidation) Act 1992

#### Trade Union Amalgamations

Amalgamating Trade Unions	Forming	Amalgamation registered on
Amalgamated Engineering Union and Electrical Electronic Telecommunication and Plumbing Union	Amalgamated Engineering and Electrical Union	1.5.92

#### Trade Union Transfers of Engagements

Engagements transferred from	To	Transfer registered on
British Cement Staffs Association	Electrical Electronic Telecommunication and Plumbing Union	30.3.92
Association of National Health Service Officers	National and Local Government Officers Association	7.4.92
Town and Country Building Society Staff Association	Woolwich Independent Staff Association	4.12.92



# Employers' Association Transfers of Engagements

Engagements transferred from	To	Transfer registered on
Midlands and North West Furniture Manufacturers Association	British Furniture Industry Association	21.12.92
West of England and South Wales Furniture Manufacturers Association	British Furniture Industry Association	21.12.92
Northern Furniture Manufacturers Association	British Furniture Industry Association	21.12.92
British Furniture Manufacturers Association (Southern)	British Furniture Industry Association	21.12.92

# Appendix 8

Political Funds of Trade Unions, 1991 (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 Union	397,071	225,551	941,066	974,581	114,161	80,646
Associated Society of Locomotive Engineers and Firemen	18,055	811	59,932	48,524	59,761	71,169
Association of Her Majesty's Inspectors of Taxes	2,406	113	7,167	-	8,622	15,789
Bakers Food and Allied Workers Union	33,419	909	50,106	51,801	6,560	4,865
Broadcasting Entertainment Cinematograph and Theatre Union	5,879	9 (c)	12,379	43,454	65,509	34,434
Ceramic and Allied Trades Union	25,214	69	85,236	57,836	57,685	85,085
Civil and Public Services Association	1	-	1	-	(4,369)	(4,368)
Communication Managers Association	16,782	510	26,554	29,841	69,276	65,989
Confederation of Health Service Employees	186,267	15,726	434,760	428,501	147,024	153,283
Educational Institute of Scotland	44,610	1,605	65,172	9,974	96,684	151,882
Electrical Electronic Telecommunication and Plumbing Union	267,921	42,396	367,562	328,515	296,265	335,312
Fire Brigades Union	36,693	11,530	108,617	76,056	103,316	135,877
Furniture Timber and Allied Trades Union	30,346	4,439	37,515	36,350	9,063	10,228
General Union of Associations of Loom Overlookers	334	341	-	575	881	306
GMB	735,033	63,915	2,607,000	3,000,000	2,686,000	2,293,000
Inland Revenue Staff Federation	52,995	2,298	124,765	59,338	318,592	384,019
Institution of Professionals Managers and Specialists	78,995	2,402	47,397	21,030	63,495	89,862
Iron and Steel Trades Confederation	30,758	7,930	84,116	96,256	45,894	33,754
Manufacturing Science and Finance Union	274,307	329,693	493,000	601,000	342,000	234,000
Musicians Union	33,442	1,903	16,476	18,915	24,375	21,936
National and Local Government Officers Association	630,109	46,806	1,915,596	984,359	2,943,668	3,874,905
National Association of Colliery Overmen Deputies and Shotfirers	5,696	54	23,259	18,064	44,485(d)	49,680
National Association of Colliery Overmen Deputies and Shotfirers Durham Area	478	-	2,990	2,475	(1,351)	(836)
National Association of Schoolmasters and Union of Women Teachers	100,285	58,795	53,401	10,246	170	43,325
National Association of Teachers in Further and Higher Education	63,711	2,796	79,048	8,984	157,551	227,615
National Communications Union (Engineering and Clerical Groups) - Engineering Group	86,151	22,801	326,353	308,211	110,267	128,409
National Communications Union (Engineering and Clerical Groups) - Clerical Group	31,754	3,131	73,945	35,871	130,043	168,117
National Graphical Association (1982) (e)	57,790	43,102	236,877	154,826	575,427	657,478
National League of the Blind and Disabled	1,601	73	2,782	2,952	4,921	4,751
National Union of Civil and Public Servants	111,644	1,117	140,470	15,004	354,719	480,185



# Political Funds of Trade Unions, 1991 *cont.*

(see paragraph 6.11)

## Appendix 8

	Number of Members contributing to the Political Fund (b) (1)	Number of Members exempt from contributing to the Political Fund (b) (2)	POLITICAL FUND (a)			
			Income	Expenditure	Fund at Beginning of Year	Fund at End of Year
			£ (3)	£ (4)	£ (5)	£ (6)
National Union of Domestic Appliances and General Operatives	650	12	1,091	1,087	82	86
National Union of Insurance Workers	15,631	3,025	26,384	7,504	47,577	66,457
National Union of Knitwear Footwear and Apparel Trades	52,500	849	98,020	76,593	84,438	105,865
National Union of Lock and Metal Workers	4,646	46	2,763	555	5,783	7,991
National Union of Mineworkers	40,703	65,316	378,801	860,560	995,482	513,723
National Union of Public Employees	535,406	15,759	2,111,746	1,693,695	943,005	1,361,056
National Union of Rail Maritime and Transport Workers	112,104	2,034	346,363	403,984	305,666	248,045
National Union of Scalemakers	2	1,039	17	1	289	305
National Union of Tailors and Garment Workers (f)	56,395	10,235	-	10,433	128,509	118,076
Power Loom Carpet Weavers and Textile Workers Union	2,149	18	2,051	546	6,210	7,715
Rosendale Union of Boot Shoe and Slipper Operatives	2,252	21	107	51	2,090	2,146
Scottish Carpet Workers Union	760	-	664	213	479	930
Society of Graphical and Allied Trades 1982 (SOGAT) (e)	82,731	74,610	180,577	198,525	250,248	232,300
Society of Telecom Executives	13,712	11,315	55,993	13,100	126,901	169,794
Society of Union Employees (NUPE)	164	-	78	-	2,604 (d)	2,682
Transport and General Workers Union	997,182	21,786	3,286,916	3,260,499	4,739,078	4,765,495
Transport Salaried Staffs Association	34,150	5,880	81,380	74,479	105,801	112,702
Union of Communication Workers	179,634	11,988	407,060	534,408	223,397	96,049
Union of Construction Allied Trades and Technicians	171,947	23,013	240,000	198,087	(31,126)	10,787
Union of Democratic Mineworkers	14,690	82	10,050	9,770	18,320	18,600
Union of Shop Distributive and Allied Workers	311,905	29,444	738,837	719,268	452,237	471,806
Union of Textile Workers	1,887	64	3,977	2,967	1,334	2,344
<b>Total for the 52 unions with political funds for 1991</b>	<b>5,990,947</b>	<b>1,167,361</b>	<b>16,396,417</b>	<b>15,489,864</b>	<b>17,239,098</b>	<b>18,145,651</b>
<b>Total for the 54 unions with political funds for 1990</b>	<b>6,113,457</b>	<b>1,207,470</b>	<b>15,639,595</b>	<b>12,709,976</b>	<b>14,331,580</b>	<b>17,261,199</b>

### Notes:

(a) The information in the table relates to the position at the end of 1991 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 (e.g. 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. The number of members exempt from contributing to the Political Fund relates to those members who have completed a political fund exemption notice.

(c) This figure is a transitional one.

(d) This figure has been changed from last year's report due to later information.

(e) These unions amalgamated on 30/9/91 to form the Graphical Paper and Media Union.

(f) This union transferred its engagements to GMB on 1/3/91.

## Appendix 9

(see paragraph 7.8)

### Refunds of Ballot Costs, 1992

Trade Union	Amount Paid £
Abbey National Staff Association	3,553.36
Amalgamated Engineering and Electrical Union	684,396.55
Assistant Masters and Mistresses Association	72,611.92
Associated Society of Locomotive Engineers and Firemen	1,251.06
Association of Educational Psychologists	1,240.45
Association of First Division Civil Servants	4,552.33
Association of Her Majesty's Inspectors of Taxes	2,247.70
Association of Polytechnic and College Teachers	1,128.10
Association of Professional Ambulance Personnel	1,113.86
Association of University Teachers	14,814.10
Banking Insurance and Finance Union	151,170.31
Barclays Group Staff Union	18,544.96
Bradford and Bingley Building Society Staff Association	1,382.10
Britannic Field Staff Association	181.26
British Actors Equity Association	45,481.53
British Air Line Pilots Association	3,374.69
British Association of Colliery Management	2,654.68
British Cement Staffs Association	255.43
British Medical Association	38,692.50
Broadcasting Entertainment Cinematograph and Theatre Union	42,815.79
Cabin Crew 89	9,729.58
Ceramic and Allied Trades Union	26,281.52
Chartered Society of Physiotherapy	16,353.69
Civil and Public Services Association	31,729.35
Communication Managers Association	16,701.62
Confederation of Health Service Employees	13,076.93
Derbyshire Building Society Staff Association	193.25
Directors Guild of Great Britain	1,412.70
Educational Institute of Scotland	22,192.50
Electrical Power Engineers Association	15,295.07
Film Artistes Association	945.80

GMB	289,421.04
Guild of Professional Teachers of Dancing	471.73
Halifax Building Society Staff Association	9,609.56
Immigration Service Union	1,119.98
Inland Revenue Staff Federation	41,476.27
Institution of Professional Managers and Specialists	72,091.50
Iron and Steel Trades Confederation	2,231.30
Lloyds Group Union	27,169.96
Manufacturing Science and Finance Union	37,003.19
Musicians Union	8,070.53
National and Provincial Building Society Staff Association	315.78
National Association of Colliery Overmen Deputies and Shotfirers	4,193.04
National Association of Inspectors and Educational Advisers	2,084.17
National Association of Licensed House Managers	5,022.93
National Association of Schoolmasters and Union of Women Teachers	36,424.84
National Association of Teachers in Further and Higher Education	65,599.40
National Communications Union	146,385.80
National Federation of Sub-Postmasters	928.02
National Union of Civil and Public Servants	83,629.68
National Union of Club Stewards	1,442.89
National Union of Insurance Workers	3,196.20
National Union of Journalists	15,691.38
National Union of Knitwear Footwear and Apparel Trades	70,089.54
National Union of Lock and Metal Workers	2,108.16
National Union of Marine Aviation and Shipping Transport Officers	7,901.01
National Union of Public Employees	209,128.30
National Union of Teachers	109,319.30
Nationwide Group Staff Association	6,740.08
NatWest Staff Association	27,503.49
Power Loom Carpet Weavers and Textile Workers Union	1,598.03
Prison Governors Association	1,351.70
Prison Officers Association	18,893.98
Professional Association of Teachers	15,591.14
Retail Book Stationery and Allied Trades Employees Association	1,462.19
Royal College of Midwives	13,967.43
Royal College of Nursing of the United Kingdom	33,685.99
Scottish Further and Higher Education Association	943.36
Scottish Prison Officers Association	4,374.98
Scottish Secondary Teachers Association	1,644.36
Secondary Heads Association	3,451.96
Society of Radiographers	5,677.81



Transport and General Workers Union  
Transport Salaried Staffs Association

1,057,501.20  
18,163.72

Union of Communication Workers

346,975.08

Union of Construction Allied Trades and Technicians  
Union of Democratic Mineworkers

171,745.34

Union of Shop Distributive and Allied Workers

4,265.48

United Road Transport Union

10,769.38

Writers Guild of Great Britain

14,952.42

**Total** 4,259,859.63

## 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 of a change of name	CO 4
Application for a certificate of independence	CO 5
Application for formal approval of 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 approval of amendment(s) to political fund rules	PF 1
Application for approval of rules for political fund	PF 2
Application for approval of rules for political fund ballot or political fund	PF 4
Return of result of political fund ballot	PF 5

## 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 and employers' associations*
2. *Guidance for trade unions wishing to apply for a certificate of independence*
3. *Guidance for trade unions applying for refund of costs of a secret postal ballot*
4. *Guidance for trade unions and employers' associations wishing to establish a political fund*
5. *A guide to political fund review ballots*
6. *Annual Reports of the Certification Officer*