

Northern Ireland
Certification Officer
For trade unions and
Employers' associations:

Annual Report

2001

Covering period 1 April 2000 to 31 March 2001

Certification Office

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I am required under Article 69(7) of the Industrial Relations (NI) Order 1992 to submit to the Department for Employment and Learning a report on my activities as Certification Officer during the previous year. I have pleasure in submitting my report for the period 1 April 2000 to 31 March 2001.

S McELREA
Certification Officer for Northern Ireland

28 February 2002

DISCLAIMER

This booklet provides general guidance only and should not be regarded as a complete or authoritative statement of the law; authoritative interpretation of the law can only be given by the courts. Although great care has been taken in the compilation and preparation of this document to ensure accuracy, the Certification Office cannot in any circumstances accept responsibility for any errors or omissions.

This report deals with my activities during the period 1 April 2000 to 31 March 2001. It is the ninth Annual Report to be published since the post of Certification Officer was established in 1992. My functions are contained in the Industrial Relations (Northern Ireland) Order 1992 and in the Trade Union and Labour Relations (Northern Ireland) Order 1995. Both Orders were amended by the Employment Relations (Northern Ireland) Order 1999 in a number of significant ways. In particular my powers were extended to deal with a range of additional complaints that had previously been in the High Court jurisdiction, and I now have the power to make an Order to remedy any breach that I find to have occurred.

Mr Patrick McCartan
Chairman
Labour Relations Agency
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I am required under Article 69(7) of the Industrial Relations (NI) Order 1992 to submit to the Labour Relations Agency a report on my activities as Certification Officer during the previous year. I have pleasure in submitting my report for the period 1 April 2000 to 31 March 2001.

S McELREA
Certification Officer for Northern Ireland

28 February 2002

My statutory powers include responsibility for :

Under the 1992 Order -
under Part II, Articles 5 and 6 - maintaining lists of trade unions and employers' associations, and for determining the independence of trade unions;

under Part II, Articles 11, 12 and 13 - ensuring that trade unions and employers' associations keep proper accounting records, have their accounts properly and independently audited and submit annual returns; the investigation of the financial affairs of trade unions and employers' associations; and ensuring that statutory requirements concerning the appointment and duties of auditors and the actuarial examination of members' superannuation schemes are observed; dealing with complaints by members that a trade union has failed to secure that members of its executive committee, its president and general secretary do not hold a position in the union, if they have been convicted of certain offences connected with (or related to) duties as to records and returns;

under Part II, Article 37 - dealing with complaints by members that a trade union has failed to permit access to its accounting records;

Under the 1995 Order -
under Part II, Article 3 - dealing with complaints by members that a trade union has failed to maintain an accurate register of members;

under Part III, Article 22 - dealing with complaints by members that a trade union has failed to comply with one or more of the provisions of the 1995 Order requiring it to hold secret postal ballots for electing members of its executive committee, president and general secretary;

under Part V, Articles 45, 54 and 71 - ensuring observance by Northern Ireland based trade unions

of the statutory procedures governing the setting up, operation and review of political funds, approving the "contracting-in" rule and amendments for Northern Ireland members of trade unions based elsewhere, and for dealing with trade union members' complaints about political fund balloting procedures and political funds, or the application of general funds for political objects;

under Part VI, Article 73 to 90 - ensuring that the statutory procedures for amalgamations, transfers of engagements and changes of name of trade unions and employers' associations are complied with, and dealing with complaints by members about the conduct of merger ballots;

under Part VIA, Article 90A - dealing with complaints by members that there has been a breach or threatened breach of the rules of a trade union relating to: the appointment, election or removal of an office holder; disciplinary proceedings; ballots of members other than in respect of industrial action and the constitution or proceedings of an executive committee or decision-making meeting.

These functions are discussed more fully in the following chapters.

The Industrial Relations (Northern Ireland) Order 1992 was amended by the Employment Relations (Northern Ireland) Order 1999 and requires me to make provisions about the disclosure and restriction of disclosure of the identity of a complainant. Prior to this amendment the 1992 Order provided that the identity of a complainant would only be revealed with the consent of the individual concerned. I am now required to disclose a complainant's identity to the union unless I think the circumstances are such that it should not be disclosed. To ensure openness where possible the presumption will be that a complainant's identity will be revealed and only in exceptional cases will anonymity be required. Full details of the provisions about disclosure

and restriction of disclosure can be obtained from my Office.

The volume of work on complaints by trade union members continues to grow and this is particularly evident in relation to my jurisdiction to hear breaches of union rule complaints. This jurisdiction, which accompanied the abolition of the Northern Ireland Commissioner for Rights of Trade Union Members, came into effect in December 1999. The Commissioner had power to finance members wishing to take their union to court over alleged breaches of its rules relating to certain matters, however, unlike the Commissioner who had a discretion over which cases are supported, I have to determine any valid complaint that is made to me. This entails putting it to the union and sending their response to the complainant. It also entails me providing for a hearing. It is my view that I have no discretion to preclude cases where the papers may fail to demonstrate an arguable case for a breach. Furthermore, unlike the courts I have no power to turn away cases which I regard as frivolous or vexatious; although under Article 70A I have limited power to refuse to entertain an application where an order is in force that the applicant is vexatious. As anticipated, the extension of my powers by the 1999 Order brought with it a significant increase in the number of enquiries to my Office by members with a grievance against their union.

In many instances a considerable amount of staff time is required to determine whether a case falls within my jurisdiction. To assist in this matter my Office has prepared an application form, with explanatory notes, for the registration of a complaint. During the period of this report, two cases received fell within my new powers. The 1999 Order also requires me to be satisfied that applicants have taken all reasonable steps to resolve their grievance by the use of any internal complaints procedure of the union before I become involved. Each complaint has to be determined by me, within six months, if possible, and I must offer the parties an opportunity to be heard in a formal hearing. This has led to a significant increase in the Office's workload.

There was an increase in the number of enquiries concerning the financial affairs of trade unions and employers' associations referred to me compared to the previous reporting period. In one case, regarding an employers' association, I found it necessary to appoint a member of my staff and, subsequently, a chartered, forensic accountant as inspectors. My report in this matter was referred to the Director of Public Prosecutions. The DPP was considering the report at 31 March 2001.

In my last report, I recorded that the review being carried out into the 13 GB unions which allowed their NI members to contribute to the unions' Political Funds (see chapter 7 -

Political Funds) was continuing. The need for this review arose because inappropriate practices had been identified by my predecessor in a number of cases. I am now able to report that this review was concluded to my satisfaction during the period of this report.

FINANCE AND SUPPORT SERVICES

The Labour Relations Agency (LRA) 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 LRA and the Department for Employment and Learning.

Accounts relating to the activities of the Office, prepared under Paragraph 15(2) of Schedule 4 to the 1992 Order, are published separately by the LRA. The total expenditure of the Office for the year ended 31 March 2001 was £99,471. My salary at 31 March 2001 was £14,063 excluding Employers NI contribution, for a two-day week. This sum is not pensionable and is taxed under PAYE. On 31 March 2001 there were three staff in post in the Certification Office. The development and training of staff to ensure that I am able to meet my statutory responsibilities is given a high priority and a range of developmental activities were undertaken during the year.

My Office is committed to the prompt payment of bills for goods and services received in accordance with the Confederation of British Industry's Prompt Payment Code. Unless otherwise stated in the contract, payment is due within 30 days of the receipt of goods or services on presentation of a valid invoice or similar demand, whichever is the later. During the period of this report 100% of bills were paid to this standard.

Where it is necessary to hold a formal hearing to determine any application, the Certification Officer can make payment towards the expenses incurred by the applicant and a friend in attending the hearing. During the period of this report no payments were made. Assistance with legal costs is not available.

COMPLAINTS AND HEARINGS

The Office receives many enquiries and requests for guidance from trade unions, employers' associations, their members and the general public. Often it can help, but there are constraints on the advice that can be given. It is, for example, inappropriate (unless the law requires it) to give guidance on, or prior approval to, a specific course of action in those areas where complaints can be made to the Certification Officer by an individual member.

It would also be clearly inappropriate for my Office to comment on the merits of a possible complaint. Where a complaint is made, I have to investigate it and decide it

impartially on the facts of the case and in the light of representations made by the parties concerned. I and my staff have to avoid giving advice which might seem in any way to prejudice that impartiality.

ADVICE AND CONTACTS FOR INFORMATION

My Office is happy to assist where it can and guidance booklets covering different aspects of the Certification Officer's responsibilities are available free of charge. They are listed in Appendix 11. Requests for the booklets and for further information on any aspect of the Certification Officer's duties should be made to the Certification Office, 27-29 Gordon Street, Belfast BT1 2LG, telephone 028 90 237773, fax 028 9023 2271, e-mail: cert_office@nicertoffice.fsnet.co.uk. The booklets, application forms, the Office's Equality Scheme, the Certification Officer's annual reports and decisions may be obtained by visiting the Office website at www.nicertoffice.com. For those with hearing difficulties a text phone is available - 9023 8411.

EQUALITY SCHEME FOR THE NORTHERN IRELAND CERTIFICATION OFFICE

The Certification Office is designated a "Public Authority" for the purposes of section 75 of the Northern Ireland Act 1998 and in carrying out all its functions relating to Northern Ireland it will seek to promote equality of opportunity and good relations as required under this legislation.

The Office prepared a draft scheme and submitted it to the Equality Commission for Northern Ireland on 30 June 2000. Formal approval was still awaited at the close of the period of this report (31 March 2001).

As Certification Officer, I am committed to the allocation of resources including people, time and finance necessary to ensure my Office effectively complies with its statutory duties and to this end I have put in place the necessary internal arrangements to ensure my Office's Equality Scheme is fully implemented on time and that policies and progress are monitored and reviewed.

I will also ensure that training and public awareness raising is carried out by my Office, so as to meet the requirements of section 75 in all its functions, powers and duties.

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9. Statutory fees applicable from 14 September 1997
10. List of Certification Office Forms
11. Certification Office Publications

Any trade union or employers' association may apply to have its name included in the public lists maintained by the Certification Officer. This chapter sets out the background to that process. The lists of Northern Ireland organisations are set out in full in Appendices 1 and 4.

Entry in the lists, its significance and their inspection by the public

- 1.1 The Certification Officer maintains a list of trade unions and a list of employers' associations in accordance with the provisions of Article 5 of the 1992 Order. The current lists are available for inspection, free of charge, at the Office and the Office website.
 - 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 Order he must enter its name in the relevant list. Entry in the list is usually straightforward and means no more than that the body concerned satisfies the statutory definition. The 1992 Order does not impose any test of size, effectiveness or viability.
 - 1.3 Any organisation aggrieved by the refusal of the Certification Officer to enter its name in the relevant list may appeal to the High Court.
 - 1.4 For trade unions, listing is an essential preliminary to any application for a certificate of independence under Article 6 of the 1992 Order. It is also one of the requirements for obtaining tax relief in respect of expenditure on provident benefits.
 - 1.5 There are no corresponding advantages for employers' associations. However, once a name is entered on the list it may not be used by another organisation.
 - 1.6 Application must be made on the appropriate form and be accompanied by the statutory fee (Appendix 9). The form CO(NI)1 can be obtained on request from the Certification Office and on the Office website.
 - 1.7 There were no applications for listing during the period of this report.
- Removal from the lists**
- 1.8 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 nor 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 High Court against removal of a name from a list. The Certification Officer must also remove the name of an organisation from the list if he is satisfied that it no longer exists or if the organisation requests that he should do so.

- 1.9 The lists of Northern Ireland trade unions and employers' associations remained unchanged during the period of this report.
- 1.10 The GB Certification Officer removed the following three bodies, which had Northern Ireland members, from his lists. The two trade unions ceased to exist by virtue of mergers. The third body was dissolved or deemed to be no longer an employers' association.

<i>Trade Unions</i>	<i>Effective Date</i>
*AXIS the AXA Sun Life Staff Association	13/11/00
*Hambro Staff Association	16/8/00

<i>Employers' Associations</i>	
National Master Tile Fixers Association	31/3/00

Additions to the Lists

- 1.11 There were no additions to the Northern Ireland lists during the period of the report.
- 1.12 The GB Certification Officer added the following body, which has Northern Ireland members, to his list.

<i>Trade Unions</i>	<i>Effective Date</i>
The Ambulance Service Union	16/11/99

Special register bodies

- 1.13 Under GB law (the Industrial Relations Act 1971) a special register was established in 1971 which allowed organisations which were either registered companies or incorporated by charter or letters patent and which took part in collective bargaining on behalf of their members to be registered. These were usually professional bodies.
- 1.14 Subsequent legislation in 1974 (the Trade Union & Labour Relations Act 1974) resulted in trade unions no longer being allowed to have corporate status, although an exception was built into the legislation to preserve the corporate status of those bodies which were already on the special register. Bodies which are removed from the special register for

whatever reason are not subsequently allowed to re-enter the register.

- 1.15 The statutory requirements affecting trade unions in the 1992 and 1995 Orders are, therefore, adapted to take account of the corporate status of these bodies and their other activities. Special register bodies are also exempt from the requirement to conduct elections for the posts of president and general secretary; the voting members of the executive must, however, be elected in accordance with the statutory provisions. A full list of such bodies was recorded in the 2000 Annual Report at paragraph 1.15. There are no changes to the list.

Unlisted organisations

- 1.16 Because entry in the lists is voluntary, it is not possible to say precisely how many trade unions and employers' associations are in existence at any given time. There may be others meeting the statutory definition of which this Office is unaware. Being unlisted does not limit an organisation's statutory responsibilities in relation to trade union law, and returns from unlisted bodies of which this office is aware are available for inspection along with those of listed organisations.

Definitions of a trade union and an employers' association

- 1.17 These were given in full in the 2000 Annual Report at paragraph 1.17.

A trade union which is on the Certification Officer's list of trade unions may apply for a certificate of independence. This chapter discusses independence and explains how such applications are dealt with and their outcome.

The statutory provisions

- 2.1 Article 2(1) of the 1992 Order 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 trade union independence is laid down in Article 6 of the 1992 Order. A union must be listed (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. A notice of each application is published in the Belfast Gazette at the time. 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 High Court.
- 2.3 The Certification Officer may withdraw a certificate at any time if, in his opinion, 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 High Court.
- 2.4 Once the Certification Officer has determined that a trade union is independent and issued a certificate, that certificate remains valid until it is withdrawn by the Certification Officer or is cancelled. Duplicate certificates are not issued.
- 2.5 Where a question as to the independence of a particular union arises in proceedings before the courts, industrial tribunals, the Industrial Court or certain other bodies, and no certificate has been issued or refused, the 1992 Order provides that the proceedings may not continue further until the

Certification Officer decides that question.

Determining 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*. Consideration is given under the following criteria: history, membership base, organisation and structure, finance, employer-provided facilities and negotiating record. Copies of the booklet are available on request from the Certification Office or on the Office website. The Certification Officer reaches his decision on the basis of the criteria as a whole and, in doing so, 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 form CO(NI)5 and be accompanied by the statutory fee (Appendix 9). The form is available, on request, from the Certification Office and the Office website.

Applications/Decisions

- 2.8 Concerns were raised about the independence of one Northern Ireland trade union during the reporting period. Discussions with the union concerned were ongoing at 31 March 2001 to determine if a formal review is required.
- 2.9 There were no applications for certificates of independence during the period of this report and no decisions were made relating to earlier applications.

G.B. Certification Officer Decisions

- 2.10 During the year the G.B. Certification Officer made the following decisions concerning trade unions with Northern Ireland members :

Certificates of independence issued	Date of Issue
None	
Certificates refused	
None	

Certificates cancelled because the union ceased to exist as a result of a merger
None

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

AXIS the AXA Sun Life Staff Association	23/10/00
Hambro Staff Association	13/8/00

Certificates cancelled because the union was dissolved.

None

The requirements for trade unions and employers' associations to keep proper accounting records and to submit annual returns to the Certification Officer are set out in this chapter. It also deals with provisions relating to the investigation of the financial affairs of trade unions and employers' associations; Northern Ireland registered addresses; provisions relating to jurisdiction in respect of access to accounting records and the duty to secure that certain offenders do not hold positions on a trade union's executive committee.

The statutory provisions

- 3.1 Article 10 of the 1992 Order provides that every trade union and employers' association whose head or main office is situated in Northern Ireland (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 Those organisations headquartered in Northern Ireland and Great Britain must submit an annual return to the Certification Officer in the form prescribed, unless they have been in existence for less than 12 months. Also, any trade union or employers' association carrying on business in Northern Ireland but having its head or main office outside the United Kingdom is required to send to the Certification Officer a statement setting forth, in relation to business carried on in Northern Ireland, such particulars of its receipts and payments, and such other information, as the Certification Officer may require (Articles 11 & 12 of the 1992 Order).
- 3.3 There are currently four Republic of Ireland based trade unions with Northern Ireland members making returns to the Office. The Office is not aware of any Republic of Ireland employers' associations with Northern Ireland members.
- 3.4 In every case the returns must provide details of all funds maintained for trade union and employers' association purposes, including revenue and other accounts and a balance sheet which must give a true and fair view of the matters to which they relate. A consolidation summary must also be completed. Any changes in the organisation's officers, or in the address of its head office, must be shown on the return and must be accompanied by a copy of the rules in force at the end of the period covered by the return, regardless of whether those rules were altered

or not.

- 3.5 The Certification Officer must ensure that clear accounts, covering all funds administered by the organisation, are available for public inspection.
- 3.6 The 1992 Order requires each trade union and employers' association to submit a return of its financial affairs before 1 June in each year covering the year ending the preceding 31 December. However, the Certification Officer may, on application, direct that the return is to relate to a different annual period, if the statutory period would cause serious inconvenience to the organisation concerned. 80% of trade unions and 70% of employers' associations use 31 December as their year ending.
- 3.7 The accounting records must be such as are necessary to allow an auditor or auditors to prepare a report and carry out such investigations to enable him or them to form an opinion on whether the organisation has kept proper accounting records (Article 10), whether it has maintained a satisfactory system of control over its transactions (Article 10) and whether the accounts to which the report refers are in agreement with the accounting records.
- 3.8 The annual return must include a copy of the auditor's report on the accounts. The auditor must state in his report whether, in his opinion, the accounts give a true and fair view of the matters to which they relate. If, in his opinion, the statutory requirements have not been satisfied, or if the accounts to which the report relates are not in agreement with the accounting records, or he fails to obtain all the necessary information and explanations, he must state these facts in his report by way of qualification. Most qualifications are of a minor technical nature and the Office takes appropriate steps to ensure that such qualifications are not required in future.
- 3.9 Of all the returns received by the Office in the year to 31 March 2001, three were qualified by the auditors under a category of audit qualification

which relates to returns not complying with the statement of standard accounting practice (SSAP24) which requires pension costs to be accounted for on an accruals basis. However, as full details showing what effect compliance would have had on these accounts were given in the notes to these accounts (and in the statutory statement to members) I decided to take no further action.

- 3.10 A special register body (paras 1.13 - 1.15) or an employers' association incorporated under the Companies Orders may submit with its return, in lieu of the prescribed accounts, a copy of its accounts prepared under the Companies Orders thereby avoiding the duplication of broadly similar financial statements; however there must be no significant diminution in the degree of disclosure, the period covered must be the same and a consolidation summary must be completed. In such circumstances, and notwithstanding anything in the Companies Orders, an auditor's report is still required to be made and this report must comply with the requirements of the 1992 Order.
- 3.11 Schedule 1 of the 1992 Order sets out the qualifications, appointment and removal of auditors, the rights of auditors, including access to information and the entitlement to attend and speak at general meetings of the organisation. A person is qualified to act as auditor to a trade union or employers' association if he is eligible for appointment as a company auditor under Article 28 of the Companies (NI) Order 1990.
- 3.12 A trade union - other than a special register body - or an employers' association may use auditors who are not eligible for appointment under the Companies Orders provided its receipts and payments do not in aggregate exceed £5,000, the value of its assets are less than £5,000 and it has less than 500 members. If any one of these conditions is not satisfied, it must use Companies Orders auditors. During the period of this Report two organisations submitted returns under this criteria.
- 3.13 With the exceptions already noted, the duties imposed by Articles 10, 11 and by Schedule 1 apply to all trade unions and employers' associations, whether listed under Article 5 of the 1992 Order 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 and for hearing complaints under Article 13 of the 1992 Order, but does not generally undertake

prosecutions for such offences as embezzlement or fraud which are dealt with by other prosecuting authorities. However, the Certification Officer is empowered to appoint inspectors to investigate allegations of financial irregularities in the affairs of a trade union or employers' association, and the decision to instigate legal proceedings in such cases is a matter for the Certification Officer (para 3.22).

Prosecutions

- 3.14 I instigated legal proceedings against one employer's association for failing to submit an annual return of the financial affairs under Article 10 of the 1992 Order. The annual return for the calendar year 1999 had not been submitted. These proceedings were ongoing on 31 March 2001.

Northern Ireland Resident Address

- 3.15 Every trade union or employers' association carrying on business in Northern Ireland which has its head or main office outside Northern Ireland must, on an annual basis, provide the Certification Officer with the name and address of at least one Northern Ireland resident authorised to accept on its behalf service of process and any notices required to be served on it. The resident does not have to be a member of the organisation.

- 3.16 Every trade union and employers' association headquartered outside Northern Ireland which has submitted a return to the Office has complied with this requirement.

Late submission of annual returns

- 3.17 The 1992 Order requires an organisation to submit its annual return to the Certification Officer within five months of its financial year end. In 2000 - 2001 the Office anticipated the receipt of a total of 165 annual returns from trade unions and employers' associations. By the end of November all but 1 of these returns[†] had been received. 8% of these returns were submitted over two months late. The Office continues to seek full compliance with the statutory requirements, and will take appropriate steps to improve the performance of persistent offenders.

Public inspection of annual returns

- 3.18 Copies of the annual returns and the appropriate rules in force of trade unions and employers' associations with Northern Ireland members are available for public inspection at the Certification Office. Whilst the returns include detailed and comprehensive financial information, a one-page financial consolidation summary is also included with each return for ease of interpretation.

Statement to members

- 3.19 Northern Ireland headquartered trade unions must issue a statement containing specific information to all members within eight weeks of the submission of the annual return to the Certification Officer. He is required to ensure total compliance with this requirement. The statement must specify :

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

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

- 3.20 The 1995 Order is specific about how this must be done; the exact wording of the statement is reproduced below :

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

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

Where a member believes that the financial affairs of the union have been or are being conducted in breach of the law or in breach of rules of the union and contemplates bringing civil proceedings against the union or responsible officials or trustees, he should

consider obtaining independent legal advice."

- 3.21 During the period of this report every Northern Ireland trade union complied with this statutory requirement. The Office will continue to ensure that full compliance with the Order is maintained.

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

- 3.22 The 1992 Order allows the Certification Officer to investigate the financial affairs of virtually every trade union and employers' association. Under the provisions, he may, if he thinks there is good reason to do so, give a direction to the organisation concerned to produce relevant documents and explanations of them and to specify the date by which such information is to be provided. In addition, he may appoint inspectors to investigate the organisation's financial affairs and to report to him on them. He may only appoint inspectors if one or more of the following circumstances are suggested: *that the financial affairs of the trade union or employers' association have been or are being conducted fraudulently or unlawfully; that those managing those affairs have been guilty of fraud, misfeasance or other misconduct in connection with that management; that the organisation concerned has failed to comply with a duty under the Order relating to its financial affairs or that a rule of the organisation relating to its financial affairs has not been complied with.* A member may complain to the Certification Officer that there are circumstances suggesting any of the foregoing. The Certification Officer must then consider whether it is appropriate to exercise any of the powers conferred on him by the 1992 Order (para 3.13).

- 3.23 Information suggesting circumstances where one or more of the situations described in paragraph 3.22 have occurred may come to the Certification Officer's attention from a variety of sources including, for example, as a result of a member querying information supplied by a trade union in its statement to members, or from other approaches by members. In addition, the Certification Officer's staff monitor the press / media for reports of situations which suggest that such circumstances may exist in the financial affairs of a trade union or employers' association.

Investigations

- 3.24 The investigation into the financial affairs of the Hospitality Association for Northern Ireland was still ongoing at the end of the period covered by my previous report. My final report was passed to the DPP's office and is now with the RUC fraud office.

[†]At time of printing only the Seamen's Union of Ireland had not submitted a return.

**Seamen's Union of Ireland and Ulster Launderers Association.

3.25 In relation to the Northern Ireland Musician's Association my enquiries were continuing at 31 March 2001 to determine if it will be necessary to appoint an inspector. There was no financial irregularities reported during the period of this report.

Access to Accounting Records

3.26 The Employment Relations (Northern Ireland) Order 1999 extended the Certification Officer's powers to deal with a range of complaints (see Chapter 9 of this Report). Such powers now include claims made by a member that a trade union has refused the member access to the trade union's accounting records under Article 37 of the 1992 Order. Under the provisions of the 1999 Order, a trade union member has the option of applying to the Certification Officer or to the High Court in this matter.

The Certification Officer may not consider an application if the applicant has applied to the High Court in respect of the same matter. Similarly once an application has been made to the Certification Officer the same matter may not be put to the High Court even if the applicant withdraws his/her application to the Certification Officer.

3.27 If, the Certification Officer accepts an application he is required to make such enquires as he thinks fit and, before reaching a decision on the application, provide the applicant and the trade union with an opportunity to be heard. Should a hearing be held, in certain circumstances, expenses incurred by applicants attending the hearings can be reimbursed by the Office. Such hearings are also open to the general public.

3.28 Where the Certification Officer is satisfied that the claim is well-founded he shall make an Order as he considers appropriate for ensuring that the applicant is allowed to -

- (a) inspect the records requested;
- (b) be accompanied by an accountant when making the inspection of those records; and
- (c) take, or is supplied with, such copies of, or of extracts from, the records as he may require.

3.29 Where the Certification Officer requests a person to furnish information to him in connection with enquiries made by him, he shall specify the date by which that information is to be furnished and, unless

he considers it inappropriate, shall proceed with his determination of the application notwithstanding that the information has not been furnished to him by the specified date.

3.30 In exercising these functions, the Certification Officer is required to ensure that, so far as is reasonably practicable, an application made to him is determined within six months of being made. An Order made by the Certification Officer may be enforced in the same way as an Order of the High Court.

3.31 The Office has received a number of enquiries from trade union members, but no formal complaints had been received by 31 March 2001.

Branch Funds

3.32 Trade unions are required to include details of funds held at branch level. Only one trade union, the Irish National Teachers' Organisation (INTO), had not complied with this requirement. I held discussion with the union's representatives and they agreed to provide details of Northern Ireland branch funds. I expect this information will be included in its annual returns from 31 December 2000.

This Chapter identifies trade union membership income and expenditure and employers' association income and expenditure at 31 December 2000. It also details jurisdiction for the Certification Officer to determine complaints about the maintenance of trade unions' membership registers.

Financial Information - 2000 Returns

4.1 Financial information derived from the annual returns of trade unions and employers' associations is given at Appendices 1-7. That information and the following comments in this Chapter relate to the year ended 31 December 2000, unless otherwise indicated.

Salaries and benefits

4.2 The 1995 Order provides that a trade union's annual return to the Certification Officer must contain information about the salaries and benefits paid to certain of its national officers and executive members from the organisation's funds. Employer pension contributions make up a significant, if not major, proportion of the benefits paid. Employer's national insurance contributions are excluded from the information in Appendix 6.

4.3 The General Secretary is usually the highest paid elected official in any trade union. However, in some cases, such as redundancy or retirement, elected officials may receive substantial payments from trade union funds. In those cases where such

payments are equal to or exceed the amount paid in salary and benefits to the General Secretary, that additional information is also provided in Appendix 6 of this report.

4.4 The 1995 Order does not define what constitutes a benefit. For the purposes of making returns, benefits are taken to have the same meaning as that applied by the Inland Revenue when calculating "taxable" benefits, pensions and superannuation contributions and redundancy/ termination payments. Therefore benefits with a value of £100 or more in any accounting period are included.

4.5 Employers' associations are not required to provide the Certification Officer with details of officers' salaries and benefits.

Northern Ireland Trade Unions

4.6 The following table gives, in the third and fourth columns, the amount paid in salary and benefits to officers of four trade unions headquartered in Northern Ireland. The benefits consist mainly of superannuation contributions. Employer's national insurance contributions are not included.

UNION	TITLE	2000	
		(£) Salary	(£) Benefits excluding NI contribution
Belfast Airport Police Association (31/3/01)	Chairman	Nil	Nil
Northern Ireland Musicians' Association	NIMA Organiser	6,000	Nil
Northern Ireland Public Service Alliance	General Secretary	47,046	6,351
Ulster Teachers' Union	General Secretary	41,858	3,076

2001

Republic of Ireland Trade Unions with NI Members

- 4.7 The following table gives, in the third and fourth columns, the amount paid in salary and benefits in Irish punts to chief officers of trade unions headquartered in the Republic of Ireland with Northern Ireland members. Pay related social insurance (PRSI) contributions are not included.

UNION	TITLE	2000	
		(IR£) Salary	(IR£) Benefits excluding PRSI
Irish Bank Officials Association	General Secretary	83,525	61,152 ¹
Irish National Teachers Organisation	General Secretary	81,941	Nil ²
Seamen's Union of Ireland	General Secretary	Nil	Nil
Services, Industrial, Professional and Technical Union (SIPTU)	General President	69,776	2,253 ³

¹ Part of this figure represents amounts paid to a pension scheme to cover a shortfall in funding.

² INTO operates a defined benefit pension scheme. Contributions are made to it in accordance with recommendations of independent actuaries. The funding of the scheme is based on total salary roll. The current funding level is 6%.

³ As well as the benefits listed above, SIPTU operates a defined benefit pension scheme. Contributions are made to it in accordance with recommendations of independent actuaries. The funding of the scheme is based on total salary roll. The current funding level is 20%.

GB Trade unions with NI Members

- 4.8 The amounts paid in salary and benefits to the chief officers of 100 trade unions headquartered in Great Britain and which have Northern Ireland members are given in Appendix 6. The benefits returned consist mainly of superannuation contributions. Employer's national insurance contributions are excluded from the table.

Membership register

- 4.9 Under Article 3(3) of the 1995 Order, a trade union has a duty to maintain a register of the names and addresses of its members, and so far as reasonably practicable, to ensure that entries in the register are accurate and kept up-to-date. The 1995 Order provides that a trade union shall allow any member, on request, with reasonable notice, to have information relating to them, which is held on the register, free of charge. The member may also request a copy of any entry on the register, related to him, from the union and this is to be provided either free of charge or on payment of a reasonable fee.
- 4.10 Applications that a trade union has failed to comply with the requirements of Article 3(3) can be made to the Certification Officer or the High Court. The Certification Officer may not consider an application if the applicant has applied to the High Court in respect of the same matter. Similarly once an application has been made to the Certification

Officer the same matter may not be put to the High Court even if the applicant withdraws his/her application to the Certification Officer.

- 4.11 Where an application to the Certification Officer is made by a different person under Article 3(3), the Certification Officer is required to have due regard to any declaration, order, observations or reasons made or given by the High Court which is brought to his notice.
- 4.12 Where the Certification Officer makes a declaration he shall also, unless he considers that to do so would be inappropriate, make an enforcement order imposing on the union one or both of the following requirements:
- to take such steps to remedy the declared failure, within such period, as may be specified in the order;
 - to abstain from such acts as may be so specified with a view to securing that a failure of the same or a similar kind does not occur in future.
- 4.13 A declaration made by the Certification Officer may be relied on as if it were a declaration made by the High Court.
- 4.14 An enforcement order made by the Certification Officer may be enforced in the same way as an order of the High Court. There were no applications concerning the maintenance of the register of members' names and addresses during the period of this report.

Trade unions - Membership, Financial and Benefits Information

- 4.15 The annual returns submitted by unions to the Certification Officer require the union to provide figures for both total membership under the rules of the union, and for members who pay contributions. There may be significant differences between these sets of figures, usually because figures can include student membership, retired and unemployed members, members on long term sick leave and maternity/child care leave and those on career breaks.
- 4.16 Last year's report indicated that the Office expected to have better information on trade unions' expenditure on benefits to members. My Office's inspection of returns suggest substantial inconsistencies in the way unions analyse and report their expenditures. Efforts will continue to harmonise this but no information on this can be included in this year's report.
- 4.17 The total Northern Ireland membership of all trade unions at 31 December 2000 was 244,158. 76% of all NI trade union members belong to GB based trade unions with 18% and 6% respectively being members of NI and ROI based trade unions.
- 4.18 Trade union income derives mainly from membership subscriptions and investment income. There may also be additional income and assets arising if, for example, a union accepts the transfer of engagements of another union. In 2000 the gross income of Northern Ireland trade unions was approximately £3.1 million; gross expenditure was £2.7 million. Total assets (net) of these unions amounted to £4.9million.
- 4.19 A summary of statistics concerning the membership and finances for 2000 of Northern Ireland based trade unions, and Republic of Ireland trade unions with Northern Ireland members, is given in Appendix 1. This shows a total of 43,953 members of Northern Ireland unions providing an annual contribution of approximately £2.8 million, while there were 14,407 Northern Ireland members of Republic of Ireland unions providing an annual contribution of approximately £1.4 million. In 2000 the gross income of these unions was approximately
- IR £30 million, gross expenditure was approximately IR £30 million Total assets (net) of these unions amounted to IR £44.7 million.
- 4.20 Financial and membership details of 51 Great Britain based unions with 100 or more Northern Ireland members are given in Appendix 2. This shows a total of 184,216 Northern Ireland members making an annual contribution of £13.2 million. In 2000 the gross income of these unions was approximately £654.8 million, gross expenditure was approximately £625.5 million. Total assets (net) of these unions amounted to £776.9 million.
- 4.21 Membership details of a further 49 Great Britain based trade unions with less than 100 Northern Ireland members are listed in Appendix 3. These show a total of 1,582 Northern Ireland members contributing just over £142,300. In 2000 the gross income of these unions was approximately £31.3 million, gross expenditure was approximately £24.5 million. Total assets (net) of these unions amounted to approximately £69.2 million.

Employers' associations - Membership and Financial Information Northern Ireland

- 4.22 Employers' associations are not required to provide the Certification Officer with details of officers' salaries and benefits.
- 4.23 A summary of statistics concerning the membership and finances of 17 Northern Ireland employers' associations for 2000 is given in Appendix 4. The figures given in the Appendix include both general funds and, where applicable, funds maintained for specific purposes. In 2000 the total income of these organisations was approximately £3.6 million, expenditure was approximately £3.4 million. Total assets (net) of these associations amounted to approximately £5 million.

Great Britain

- 4.24 Details of 40 Great Britain based employers' associations with Northern Ireland members is given in Appendix 5. In 2000 Northern Ireland members of these organisations contributed approximately £816,650. The total income of these organisations was approximately £92.3 million, expenditure was approximately £95.1 million. Total assets (net) of these associations amounted to approximately £176.6 million.

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

The statutory provisions

- 5.1 The 1992 Order requires that any superannuation scheme maintained by a Northern Ireland based trade union or employers' association* for its members 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

- 5.2 The statutory provisions require that the report by the actuary following his examination of any scheme shall state whether in his opinion the premium or contribution rates are adequate, whether the accounting or funding arrangements are suitable and whether the separately maintained superannuation fund is adequate.

Schemes maintained - Northern Ireland Trade Unions

- 5.3 During the period of this report no trade union based in Northern Ireland operated a superannuation scheme for its members.

Schemes maintained - GB Based Trade Unions

- 5.4 The following four GB based trade unions maintain superannuation schemes which have Northern Ireland members :

Amalgamated Engineering and Electrical Union - Report Dated 31 December 1997
Graphical, Paper and Media Union (Two schemes: Platepreparers and Lithographers)

MSF - Craft Fund
National Union of Rail, Maritime and Transport Workers - Workers Orphan Fund Report
Dated 1 September 1998.

- 5.5 The most recent actuarial reports for the AEEU and RMT unions were received by the Certification Officer during the year. The reports from GPMU and MSF are still outstanding, and the Office is in discussion with these unions to ensure compliance with the legislation.

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

Mergers between trade unions and between unincorporated employers' associations must be conducted under the relevant statutory procedures; these procedures allow for members to complain to the Certification Officer about particular aspects of the balloting process. This chapter deals with the statutory background.

The statutory provisions

- 6.1 The 1995 Order and the Trade Unions and Employers' Associations (Amalgamations, etc) Regulations 1965 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 at no direct cost to themselves.
- 6.2 Under a *transfer of engagements* the transferring organisation ('the transferor') loses its legal identity whilst the organisation to which it transfers ('the transferee') continues in being with its legal identity unchanged. An *amalgamation* produces a new organisation replacing the amalgamating bodies, which cease to exist.
- 6.3 Organisations proposing to enter into a transfer of engagements or an amalgamation must prepare an instrument setting out the proposed terms of the merger and an explanatory notice to members. They must submit these documents to the Certification Officer and the documents must have his approval before a ballot of members can be held to approve the instrument. The statutory fee payable is shown in Appendix 9.
- 6.4 Ballots must be postal* and subject to independent scrutiny. The inclusion in the notice to members of any statement making a recommendation or expressing an opinion about a proposed amalgamation or transfer is prohibited; also, the voting paper sent to a member may not be accompanied by any material other than the notice to members, an addressed pre-paid envelope and a document giving instructions for the return of the ballot paper. Other requirements relate to storage, distribution and counting of votes by independent persons and the availability of a union's membership register and the circumstances of its inspection by an independent scrutineer. For mergers involving

employers' associations, the provisions are slightly different. Details can be found in the guidance booklet (para 6.10 of this chapter)

- 6.5 In a transfer of engagements, only the members of the transferor organisation vote on the resolution to approve the instrument. An amalgamation requires a favourable vote by the members of each amalgamating organisation. If the required majority of votes recorded in each ballot is in favour of the merger an application to register the instrument may be made to the Certification Officer. Such an application must be preceded by the despatch of a copy of the scrutineer's report to every member of the union or their being notified of its contents by other means. Members must also be told that they will, on request, be provided with a copy of the scrutineer's report - either free or subject to a reasonable specified charge. The Certification Officer has power to direct an organisation to publicise its application to register a merger.
- 6.6 In the case of both a transfer and an amalgamation, an interval of six weeks must elapse between the application for registration and registration itself; and before the expiry of the six-week period any member of the transferring organisation or of any amalgamating organisation may complain to the Certification Officer on the grounds that one or more of the statutory conditions governing the ballot arrangements have not been observed.
- 6.7 The Certification Officer, after giving the parties an opportunity to be heard may dismiss the complaint or, if he finds it 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 Court of Appeal on a point of law.

Mergers involving GB Trade Unions

- 6.8 Although the merger provisions of the 1995 Order do not extend to Great Britain, the Order does apply with certain modifications to a transfer of engagements or amalgamation between a Northern Ireland union and a union in Great Britain.
- 6.9 Formal documents kept by the Certification Officer

*Northern Ireland law contains provisions, in relation to voting in a ballot, which provide for reasons of personal safety that a trade union member may request his union to send him a voting paper by some means other than by post.

relating to mergers under the 1995 Order are available for public inspection. The statutory fee payable is shown in Appendix 9.

Advice on procedures

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

Applications

- 6.11 Although no formal proposals to enter into a transfer of engagements or an amalgamation were received from any Northern Ireland based union during the period of this report, a number of informal talks were continuing.

Complaints

- 6.12 No complaints were received during the period of this report.

Changes of name

- 6.13 Article 88 of the 1995 Order stipulates that a change of name of a listed trade union or employers' association must be approved by the Certification Officer before it can take effect (see Appendix 9 for the statutory fee). The Northern Ireland Certification Officer did not receive any applications for a name change during the period of this report. The GB Certification Officer approved the changes of name of four trade unions with Northern Ireland members; these are listed below :

Trade Unions

From Woolwich Independent Staff Association
To WISA - The Union for Woolwich Staff (3/8/00)

From Guinness Brewing Staff Association (UK)
To Guinness Staff Association (14/9/00)

From CGU Staff Association
To CGNU Staff Association (23/12/00)

From Union for Bradford and Bingley Staff
To UBAC (23/1/01)

The 1995 Order enables trade unions and unincorporated employers' associations to establish separate funds in furtherance of political objects as part of their activities. Under the terms of the Order a resolution to adopt political objects must be passed by a ballot of the members. The Certification Officer is the statutory authority for approving the establishment and continuance of such funds. This chapter also explains the statutory provisions relating to the statutory exemption of Northern Ireland members and complaints by trade union members about breaches of political fund rules.

The statutory provisions for Northern Ireland based organisations

General

- 7.1 A trade union or an unincorporated employers' association, whether listed or not, can include the furtherance of political objects among the activities of the organisation. In which case, it must adopt political fund rules providing for the expenditure of funds on such objects. Those rules must be approved by the Certification Officer. A resolution to adopt political objects must be approved by the members in a postal ballot[†] held under rules which again require approval by the Certification Officer. An independent scrutineer must always be appointed to oversee the requirements of the ballot.
- 7.2 Trade unions and employers' associations which already have a political fund resolution in force and wish to continue to spend money on political objects are required to pass a political fund resolution again by a further ballot of their members (*a review ballot*) at least once every 10 years. The review ballot must also be held in accordance with rules approved by the Certification Officer.

Exemption

"contracting-in"

- 7.3 Unlike trade union members in Great Britain, it is a statutory requirement that members in Northern Ireland must provide a written authority to their trade union before any deduction for political purposes may be made from their membership subscription. This is colloquially referred to as "contracting-in".
- 7.4 Where a Northern Ireland trade union member does not "contract-in" or, having "contracted-in" subsequently decides to "contract-out", he is exempt from contributing to the political fund and any such deduction by a trade union, in these circumstances, would be unlawful. Any Northern Ireland trade union member who finds himself or herself in this position

may complain to the Certification Officer. Details on how to complain are dealt with below.

- 7.5 Those members not contributing to the political fund 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. Contribution to the political fund must not be made a condition for admission to the organisation.
- 7.6 Northern Ireland members wishing to "contract-in" must do so in writing by using an approved application form (Article 59 of the 1995 Order) or apply in a form to the same effect. Unless contributions are collected by a separate levy, those statutorily exempt members of the organisation must be relieved from the payment of the political fund element of the normal periodical contributions. Trade union rules must also provide for each member to know what portion, if any, of his contribution is a contribution to the political fund. These rules must be approved by the Certification Officer. If the rules do not have his approval any deductions would be unlawful and a member may complain to the Certification Officer.

"contracting-out"

- 7.7 Any Northern Ireland member having initially "contracted-in" who wishes subsequently to "contract-out" must also do so in writing. Such "notice of withdrawal" may be given to the union by being delivered at the head office or a branch office of the union or being delivered personally or by any authorised agent or by post. Where a member "contracts-out", having initially "contracted-in", the law makes provision for the withdrawal to take effect as from 1st January next, following the giving of that notice to the union and any deduction after that date would be unlawful and a member may complain to the Certification Officer.

[†]Northern Ireland law contains provisions, in relation to voting in a ballot, which provide for reasons of personal safety that a trade union member may request his union to send him a voting paper by some means other than by post.

Members of GB and ROI-based trade unions

7.8 The statutory requirement that Northern Ireland trade union members must "contract-in" to a political fund in their union applies to every Northern Ireland trade union member, regardless of where his union is headquartered. The requirements and conditions outlined in paras 7.3 to 7.7 therefore apply also to Northern Ireland members of unions headquartered in Great Britain or the Republic of Ireland.

Political Fund Model Rule

7.9 A political fund model rule, covering Northern Ireland members, has been agreed with the GB Certification Officer for use by Great Britain unions with members in Northern Ireland, and is included in the booklet "*Guidance for trade unions and employers' associations wishing to establish a political fund (2000)*" issued by the GB Certification Office. However, approval for its use, or proposed amendment, is required from the Northern Ireland Certification Officer before any lawful political fund deduction may be made regardless of whether the union has a signed authority from a member. GB trade unions should contact the Northern Ireland Certification Office before including it, or amending its existing Northern Ireland political fund rules, in their rule book.

Republic of Ireland

7.10 Only two Republic of Ireland trade unions with NI members operate political funds. The unions concerned, Services, Industrial, Professional and Technical Union (SIPTU) and the Irish National Teachers Organisation (INTO) have given the Certification Officer an assurance that they do not deduct political fund subscriptions from NI members.

Complaints**The spending of money on political objects without a political fund resolution being in force**

7.11 The 1995 Order provides that a member of a trade union who claims that his or her trade union has spent money on political objects without a political fund resolution being in force, or without approved political fund rules, may apply to the Certification Officer, under Article 46A, for a declaration that it has done so.

7.12 The Certification Officer may not consider an application if the applicant has applied to the High Court in respect of the same matter. Similarly once an application has been made to the Certification Officer the same matter may not be put to the High Court even if the applicant withdraws his/her

application to the Certification Officer.

7.13 On any such application the Certification Officer is required to make such enquiries as he thinks fit and, before reaching a decision on an application, provide the applicant and the trade union with an opportunity to be heard. Should a hearing be held, in certain circumstances, expenses incurred by applicants attending the hearings can be reimbursed by the Office. Such hearings are also open to the general public.

7.14 In exercising these functions the Certification Officer is required to ensure that, where reasonably practicable, an application made to him is determined within six months of being made.

7.15 Where the Certification Officer requests a person to furnish information to him in connection with his enquiries, he must specify the date by which that information is to be furnished and, unless he considers it inappropriate, shall proceed with his determination of the application notwithstanding that the information has not been furnished to him by the specified date.

7.16 The Certification Officer must give reasons for his decision in writing and, where he makes the declaration sought, he may make such order for remedying the breach as he thinks just in the circumstances. Where he makes a declaration he shall specify in it -

- (a) the provisions of Article 45 (restriction on use of funds for political objects) breached, and
- (b) the amount of the funds applied in breach.

7.17 An enforcement order made by the Certification Officer may be enforced, through the Enforcement of Judgements Office, in the same way as an order of the High Court.

7.18 An appeal against any decision of the Certification Officer may be made to the Court of Appeal on a question of law by way of Case Stated.

Breaches of political fund ballot rules

7.19 A person who is a member of a trade union and, where the ballot has been held, was a member at the time it was held, who considers that the union has held a ballot on a political resolution otherwise than in accordance with political fund ballot rules approved by the Certification Officer, or has failed in relation to a proposed ballot on a political fund resolution to comply with political ballot rules so

approved, may apply to the Certification Officer for a declaration to that effect and an Enforcement Order.

7.20 Such complaints are time-limited and 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. The Certification Officer may not consider an application if the applicant has applied to the High Court in respect of the same matter. Similarly once an application has been made to the Certification Officer the same matter may not be put to the High Court even if the applicant withdraws his/her application to the Certification Officer.

7.21 Where an application to the Certification Officer is made by a different person, the Certification Officer is required to have due regard to any declaration, order, observations or reasons made or given by the High Court which are brought to his notice.

7.22 On an application under this Article the Certification Officer is required to make such enquiries as he thinks fit and, before reaching a decision on an application, provide the applicant and the trade union with an opportunity to be heard. Should a hearing be held, in certain circumstances, expenses incurred by applicants attending the hearings can be reimbursed by the Office. Such hearings are also open to the general public.

7.23 In exercising these functions the Certification Officer is required to ensure that, where reasonably practicable, an application made to him is determined within six months of being made.

7.24 Where the Certification Officer requests a person to furnish information to him in connection with his enquiries, he may specify the date by which that information is to be furnished and, unless he considers it inappropriate, shall proceed with his determination of the application notwithstanding that the information has not been furnished to him by the specified date.

7.25 The Certification Officer must give reasons for his decision in writing and, where he makes the declaration sought, is required unless he considers it inappropriate, to make an enforcement order imposing one or more of the following requirements -

- (a) to secure the holding of a ballot in accordance with the order ;
- (b) to take such other steps to remedy the declared failure as may be specified in the order ;

(c) to abstain from such acts as may be so specified with a view to securing that a failure of the same or similar kind does not occur in future.

7.26 The Certification Officer shall in any order imposing the requirement(s) mentioned in sub paragraph (a) or (b) of paragraph 7.25 specify the period within which the union must comply with the requirements of the order. Where the Certification Officer makes an Order requiring the union to hold a fresh ballot, he shall unless he considers it inappropriate, require the ballot to be conducted in accordance with the union's political ballot rules and such other provisions as may be made in the Order. An appeal against any decision of the Certification Officer may be made to the Court of Appeal on a question of law by way of Case Stated.

Unlawful deductions of political fund contributions from members - NI, GB and ROI trade unions

7.27 Any Northern Ireland trade union member who considers that political fund deductions are being deducted without his or her written consent may complain to the Certification Officer. On a complaint being made to him the Certification Officer shall make such enquiries as he thinks fit.

7.28 Where the Certification Officer requests a person to furnish information to him in connection with his enquiries, he must specify the date by which that information is to be furnished and, unless he considers it inappropriate, shall proceed with his determination of the application notwithstanding that the information has not been furnished to him by the specified date.

7.29 Where, after giving the member and a representative of the union an opportunity of being heard, the Certification Officer considers that a breach has been committed, he may make an order for remedying it. An appeal against any decision of the Certification Officer may be made to the Court of Appeal on a question of law by way of Case Stated.

Breaches of political fund rules - Northern Ireland trade unions

7.30 Any member of a NI headquartered union who considers that political fund rules of his or her trade union are being breached may complain to the Certification Officer. On a complaint being made to him the Certification Officer shall make such enquiries as he thinks fit and shall deal with it in a similar manner to that outlined in paragraphs 7.28/29 above.

Breaches of political fund rules - Great Britain trade unions

7.31 Any Northern Ireland member of a GB headquartered trade union who considers that its political fund rules have been breached, other than in relation to his or her political fund deductions, may complain to the GB Certification Officer, 180 Borough High Street, London, SE1 1LW. Any enquiries should be made to his office: 0207 210 3734.

Advice on Procedures

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

Northern Ireland organisations with political fund rules at 31 December 2000

7.33 None.

Great Britain based organisations with political fund rules at 31 December 2000

7.34 There were 25 GB based trade unions with Northern Ireland members operating political funds at 31 December 2000. Of these, 18 had contributing members in Northern Ireland.

7.35 The returns show that in 2000, 40,942 Northern Ireland members - representing 17% of the total Northern Ireland trade union membership - contributed £143,902 towards political funds. A detailed list of the unions, their Northern Ireland membership and their financial contributions is given at Appendix 7. Appendix 8 contains details of those 7 Great Britain unions with Northern Ireland members who did not contribute to the unions' political funds in 2000.

Approval of Political Fund Rules/Amendments

7.36 No trade union had political fund rules or rule amendments formally approved during the period of this report. Draft political fund rules were received from two Great Britain unions and this work is progressing. In addition, UNIFI - a GB-based union with Northern Ireland members - held a ballot on a resolution to establish a political fund during 2000. The Certification Office was notified on 23 October 2000 that the members of UNIFI had voted against the resolution.

Political Funds Review

7.37 The review, which was begun in 1998 by my predecessor, of 13 Great Britain unions which allow their Northern Ireland members to contribute to the unions' Political Funds has now been concluded. Its purpose was to ensure that those unions follow Northern Ireland law with regard to the political fund contributions. Where inappropriate practices were identified, discussions were started for the purposes of agreeing how difficulties arising from these practices could be resolved and the requirements of Northern Ireland law fully complied with. This involved meetings in GB with the relevant general secretary, finance officer, auditors and solicitors etc.

7.38 The review proved to be a long and complex process. However, I am now satisfied with the Northern Ireland political fund rules, and administrative procedures in place in all of the thirteen GB unions.

The 1995 Order requires that certain officers† and all members of a trade union's executive committee must be elected to it by secret postal‡ ballot; if they remain in that position for more than five years they must be re-elected. This chapter deals with the statutory provisions governing elections. As explained in chapter 9 the Certification Officer now has powers to deal with breaches of a union's own rules governing elections and certain other matters.

The statutory provisions

8.1 Trade unions must ensure that no-one takes up a position as a member of the union's principal executive committee, president or general secretary, except in limited circumstances, without having been elected to it. Nor may anyone remain in such a position for more than five years without having been re-elected to it. There are exceptions in respect of officers facing retirement, amalgamations and newly formed unions. Elections must be by secret postal (ballot of the members of the union, conducted in accordance with the provisions in the 1995 Order).

8.2 Under the 1995 Order individual trade union members have a statutory right to apply to the Certification Officer for a declaration that their trade union has failed to comply with one or more of the relevant provisions of the Order. If after giving the parties an opportunity to be heard, the Certification Officer may make a declaration but no Order or make an Order imposing on the union one or more of the following requirements -

- to hold the election in accordance with the order
- to take such other steps to remedy the declared failure as the Certification Officer may specify in the order
- to abstain from such acts as the Certification Officer specifies with a view to ensuring that a failure of the same, or similar kind, does not occur in the future.

8.3 The 1995 Order also provides that an appeal on any question of law arising in proceedings before or arising from a determination by the Certification Officer, may be made to the Court of Appeal.

8.4 The Certification Officer may not consider an application if the applicant has applied to the High Court in respect of the same matter. Similarly once an application has been made to the Certification Officer the same matter may not be put to the High Court even if the applicant withdraws his/her application to the Certification Officer. Where an application to the Certification Officer is made by a different person, the Certification Officer is required

to have due regard to any declaration, order, observations or reasons made or given by the High Court which are brought to his notice.

Applications, investigations, hearings and decisions

8.5 During the period of this report investigations were carried out into the two applications made by two members of the Northern Ireland Musician's Association (NIMA).

8.6 In the first application, it was claimed that NIMA had failed to appoint a scrutineer in accordance with the legislation in relation to the election of its President in 1999. I held a formal hearing on 23rd August 2000 and issued my decision on 25th September 2000 in which I upheld the complaint. I considered it inappropriate to make an enforcement Order in this case because the President had resigned and a subsequent election had taken place (case reference D/1/2000).

8.7 In the second application it was claimed that NIMA's general secretary held the post unlawfully. I held a formal hearing on 18th October 2000 and was still considering my decision at 31 March 2001.

8.8 Copies of my decisions are available free of charge from the Certification Office and are also available by accessing the Office website.

8.9 In addition, the GB Certification Officer made the following noteworthy decisions in respect of GB headquartered trade unions with Northern Ireland members -

- Application made by a member of the Broadcasting, Entertainment, Cinematograph and Theatre Union (BECTU) that the election of the union's President from and by the National Executive Committee had breached the requirements of the 1992 Act. The Certification Officer declared that the union had breached the requirements of the Act and issued an enforcement order requiring the union, by 31st May 2001, to secure that rule changes have been put in place to ensure the union's President is elected in accordance with the requirements of the Act and

†See para. 1.15 on special register bodies.

‡Northern Ireland law contains provisions, in relation to voting in a ballot, which provide for reasons of personal safety a trade union member may request his union to send him a voting paper by some means other than by post.

further to secure that the post of President (of the union) is filled under the new arrangements by 31st May 2002 (GB Decision D23 - 24/00).

- An application was received from a member of the Fire Brigades Union that the election process adopted by the union in an election for a seat on the union's executive council was, although conducted in accordance with the rules of the union, not a fully postal ballot as required by the 1992 Act. The GB Certification Officer investigated the complaint without disclosing the applicant's name and, in upholding the complaint, decided that the union had failed to comply with the Act in respect of the election in failing to conduct a postal ballot. (GB Decision D/10/00).
- 8.10 On 27th March 2000 the GB Certification Officer had decided that a member of the Musicians' Union had been unreasonably excluded from standing as a candidate in the union's election for the post of General Secretary (see GB Certification Officer's Annual Report 1999-2000 Chapter 8 para 8.10). In respect of two other complaints arising out of the same originating application the GB Certification Officer decided, on 1st June 2000, that the union had failed before the election was held, to appoint a qualified independent person (the scrutineer) to carry out the functions in relation to the election as required by the 1992 Act. The other complaint against the union was dismissed. (GB Decision D/13 -14/00 (see also GB Decision D2 - 3/00)).
- 8.11 In respect of an enforcement order issued on 27th March 2000 to the Musician's Union, (ordering the union to hold a fresh election for the post of General Secretary which had to comply with the requirements of the Trade Union and Labour Relations (Consolidation) Act 1992, and that the union must publish the result before 1 January 2001) (see GB Certification Officer's Annual Report 1999-2000 Chapter 8 para 8.10), the Musicians' Union notified the GB Certification Officer on 14 December 2000 that the election had been re-run and the result notified to the members in compliance with the enforcement order.

The 1995 Order provides that a member of a trade union who claims that there has been a breach or threatened breach of the rules of a trade union relating to certain matters as set down in the Order, may apply to the Certification Officer for a declaration to that effect.

The statutory provisions

- 9.1 Article 28 of and Schedule 6 to the Employment Relations Order (Northern Ireland) Order 1999 amends the 1995 Order by extending the Certification Officer's powers to deal with a range of additional complaints that had previously been presented to the High Court.
- 9.2 A member of a trade union now has the right to apply to the Certification Officer if there has been a breach or threatened breach of a trade union's rules relating to any of the matters set out in Article 90A (2) of the 1995 Order (as inserted by Schedule 6 to the 1999 Order). The matters are -
- "(a) the appointment or election of a person to, or the removal of a person from, any office;
 - (b) disciplinary proceedings by the union (including expulsion);
 - (c) the balloting of members on any issue other than industrial action;
 - (d) the constitution or proceedings of any executive committee of any decision-making meeting;
 - (e) such other matters as may be specified in an order made by the Department for Employment and Learning".
- 9.3 The applicant must be a member of the union, or have been a member at the time of the alleged breach or threatened breach. Such complaints are time-limited and normally must be made to the Certification Officer within a period of six months starting with the day on which the breach or threatened breach is alleged to have taken place; however, in certain circumstances where any internal complaints procedure of the union is invoked to resolve the claim, the period is longer. My staff will be available to advise on an individual case basis. The Certification Officer may not consider an application if the applicant has applied to the High Court in respect of the same matter. Similarly once an application has been made to the Certification Officer the same matter may not be put to the High Court even if the applicant withdraws his/her application to the Certification Officer.
- 9.4 A feature of breach of rule trade union complaints has been that many of the complaints received and determined by the Certification Officer are multiple applications by members of the union alleging breaches of various union rules.
- 9.5 The Certification Officer may refuse to accept an application unless he is satisfied that the applicant has taken all reasonable steps to resolve the claim by the use of any internal complaints procedure of the union.
- 9.6 If the Certification Officer accepts an application he is required to make such enquiries as he thinks fit and, before reaching a decision on the application, provide the applicant and the trade union with an opportunity to be heard. Should a hearing be held, in certain circumstances, expenses incurred by applicants attending the hearings can be reimbursed by the Office. Such hearings are also open to the public.
- 9.7 The Certification Officer must give reasons for his decision in writing and, where he makes the declaration sought, is required unless he considers that to do so would be inappropriate, make an enforcement order imposing on the union one or more of the following requirements -
- (a) to take such steps to remedy the breach, or withdraw the threat of a breach, as may be specified in the order;
 - (b) to abstain from such acts as may be so specified with a view to securing that a breach or threat of the same or similar kind does not occur in future.
- Where an order imposes a requirement on the union as in sub paragraph (a) above, the order must specify the period within which the union must comply with the requirements of the order.
- 9.8 An enforcement order made by the Certification Officer may be enforced in the same way as an order of the High Court. An appeal on any question of law arising in proceedings before or arising from a

determination by the Certification Officer, may be made to the Court of Appeal.

Applications, investigations and decisions

- 9.9 One decision has been issued in the period of this Report. At the close of the period three further applications against two unions are being considered.
- 9.10 Enquiries were made under my new powers, to investigate alleged breaches of certain trade union rules, which led to an application (on 12th April 2000) from a member of the Transport and General Workers Union (T&G) claiming that the T&G had wrongly declared him ineligible for nomination in an election to the Belfast District Committee. I held a formal hearing on 6th September 2000 and issued my decision on 25th September 2000 in which I upheld the complaint. I also made an enforcement Order ordering the T&G to hold a fresh election and for members to be informed of the result by 31st December 2000 (reference D/2/2000). Moreover, at the hearing, I was informed that there were several other instances where Northern Ireland members of the T&G were similarly affected by the misapplication of unions rules and the T&G assured me that it would remedy this.
- 9.11 A copy of my decision is available, free of charge, from my Office and is available by accessing the Office website.
- 9.12 As regards the provisions of the 1999 Order relating to the powers of the Certification Officer, a total of 86 enquiries were received as at 31st March 2001. The analysis of these enquiries is as follows :

General advice on the role of the Certification Officer	29
Appointment, election or dismissal from any office in the union	6
Disciplinary proceedings within the union	7
Balloting of union members (other than industrial action)	1
Constitution or proceedings of a unions executive or certain other meetings	9
Inadequate representation of members by their union	27
Union benefits or membership issues ¹	2
Others	5
Total	86

¹These are not matters within the Certification Officer's jurisdiction.

LIST OF TRADE UNIONS WITH HEADQUARTERS IN NORTHERN IRELAND AND WITH HEADQUARTERS IN THE REPUBLIC OF IRELAND - AT 31 DECEMBER 2000 (UNLESS OTHERWISE INDICATED)

	Total Members	NI Subscription Contributions £	Total Income £000's	Total Expenditure £000's	Funds At The End Of The Year £000's	Total Assets At The End Of The Year £000's	Total Liabilities At The End Of The Year £000's
Northern Ireland Unions							
Belfast Airport Police Association (31/3/01)*	42	5,330	9	5	26	26	-
Northern Ireland Musicians' Association*	500	11,424	12	25	9	18	9
Northern Ireland Public Service Alliance*	37,893	2,381,670	2,593	2,229	4,025	4,038	13
Ulster Teachers Union*	5,518	427,196	468	433	776	786	10
TOTALS	43,953	2,825,620	3,082	2,692	4,836	4,868	32
Republic Of Ireland Unions							
Irish Bank Officials' Association*	4,706	743,000	3,139	2,953	9,546	13,586	4,040
Irish National Teachers' Organisation*	7,025	492,437	4,803	4,745	7,273	7,345	72
Seamen's Union of Ireland ^{††*}	15	1,070	32	59	44	100	56
Services, Industrial, Professional and Technical Union*	2,661	153,458	22,153	22,042	20,590	23,750	3,160
TOTALS	14,407	1,389,965	30,127	29,799	37,453	44,781	7,328

* Denotes a trade union holding a certificate of independence at 31 December 2000.

†† Denotes an unlisted union.

** The above figures for the Seamen's Union of Ireland are those for year ending 31 December 1999. The Union has not yet made figures for year ending 31 December 2000 available to the Certification Officer.

G.B. TRADE UNIONS WITH 100 OR MORE NI MEMBERS AT 31 DECEMBER 2000 (UNLESS OTHERWISE INDICATED)

	NI	GB	ROI	Elsewhere (incl. Channel Islands)	NI Subscription Contributions	Total Income	Total Expenditure	Funds at the End of the Year	Total Assets at the End of the Year	Total Liabilities at the End of the Year
					£	£000s	£000s	£000s	£000s	£000s
Abbey National Staff Association (at 31/8/00)	228	8,856	5	3	11,108	606	543	529	573	44
Amalgamated Engineering & Electrical Union	23,078	692,143	12,254	736	1,239,000	46,077	38,201	65,708	77,792	12,084
Association of First Division Civil Servants	267	9,685	-	58	44,688	1,663	1,631	695	842	147
Association of Teachers & Lecturers	3,547	174,092	50	1,008	194,661	10,782	10,568	7,873	9,631	1,758
Association of University Teachers (at 31/8/00)	1,730	41,576	-	-	135,935	3,972	3,797	4,105	5,637	1,532
Bakers, Food and Allied Workers Union	794	27,813	882	-	41,216	2,534	2,586	738	1,008	270
British Actors Equity Association	241	34,969	36	-	15,665	5,363	4,105	12,955	15,902	2,947
British Association of Occupational Therapists (at 30/9/00)	524	16,924	30	530	48,921	2,847	2,847	-	1,484	1,484
British Dental Association (at 30/9/00)	721	19,264	60	342	96,720	5,508	5,471	1,682	3,273	1,591
British Dietetic Association (at 28/2/01)	175	4,267	117	267	24,975	171	207	121	125	4
British Medical Association	3,175	103,717	189	3,974	613,441	63,655	62,566	57,591	80,654	23,063
Broadcasting, Entertainment, Cinematograph & Theatre Union	480	25,293	17	9	64,000	3,834	3,534	1,281	1,758	477
Ceramic and Allied Trades Union	216	15,180	-	-	14,034	1,395	1,077	7,557	7,639	82
Chartered Society of Physiotherapy	938	35,976	184	815	155,704	8,897	8,858	4,428	5,966	1,538
Communication Workers Union	6,426	227,569	-	427	587,465	34,243	27,799	24,531	30,946	6,415
Community and District Nursing Association (at 31/3/01)	108	4,090	-	6	10,692	353	351	98	118	20
Connect - The Union for Professionals in Communications	434	17,142	5	35	83,136	2,884	2,986	4,224	5,542	1,318
Engineers and Managers Association	894	27,868	7	388	106,048	3,601	3,504	7,171	8,037	866
Fire Brigades Union	1,879	56,589	-	-	224,797	10,106	8,321	7,367	8,044	677
G M B	16,473	667,339	48	-	1,257,952	44,866	46,089	50,170	54,560	4,390
General Dental Practitioners Association	133	2,025	10	8	8,094	189	213	157	181	24
Graphical, Paper and Media Union (at 30/9/00)	2,656	192,990	4,836	194	179,065	25,821	20,752	38,220	44,586	6,366
Guinness Staff Association	119	460	-	-	5,190	27	28	33	45	12
Independent Union of Halifax Staff	559	23,416	4	16	15,589	1,551	1,337	1,034	1,579	545
Institution of Professionals, Managers & Specialists	284	73,254	18	1,229	35,216 (e)	8,425	7,387	22,107	22,791	684
Manufacturing Science and Finance Union	8,839	325,739	16,018	378	689,843	26,981	27,105	14,239	19,815	5,576

G.B. TRADE UNIONS WITH 100 OR MORE NI MEMBERS AT 31 DECEMBER 2000 (UNLESS OTHERWISE INDICATED)

	NI	GB	ROI	Elsewhere (incl. Channel Islands)	NI Subscription Contributions	Total Income	Total Expenditure	Funds at the End of the Year	Total Assets at the End of the Year	Total Liabilities at the End of the Year
					£	£000s	£000s	£000s	£000s	£000s
National Association of Head Teachers	914	38,976	-	265	126,911	6,294	5,939	3,715	4,159	444
National Association of Probation Officers	117	6,409	-	-	25,076	1,344	1,195	656	761	105
National Association of Schoolmasters & UWT	15,153	238,608	-	2007	804,369	16,328	16,170	21,038	22,840	1,802
National Association of Teachers in F & HE	2,081	62,853	-	97	191,611	6,521	6,285	4,063	4,750	687
National Federation of Sub-Postmasters	546	11,643	-	35	28,466	1,730	1,544	3,224	3,400	176
National Union of Journalists (at 30/9/00)	790	29,383	4,089	696	90,543	3,861	3,715	96	2,246	2,150
National Union of Knitwear, Footwear & Apparel Trades	165	20,458	-	-	13,424	2,502	2,730	9,202	9,344	142
National Union of Marine, A & ST Officers (NUMAST)	387	17,270	348	807	39,078	2,527	2,331	4,672	5,200	528
National Union of Rail, Maritime & Transport Workers	163	57,338	98	270	10,003	7,928	7,628	18,038	20,452	2,414
Nationwide Group Staff Union	186	10,832	-	-	8,711	681	669	427	497	70
Prison Officers Association	1,560	31,845	-	-	234,700	5,160	5,473	924	1,815	891
Professional Association of Teachers	818	33,927	-	42	8,500	1,770	1,812	568	1,119	551
Public and Commercial Services Union	1,722	261,391	30	4,501	137,645	25,038	22,964	27,847	28,600	753
Retained Firefighters Union	154	4,089	-	-	8,769	229	217	88	103	15
Royal College of Midwives (31/8/00)	1,234	33,074	45	474	162,765	4,586	4,581	321	323	2
Royal College of Nursing of the UK (at 31/3/01)	11,228	319,370	346	3,470	505,815	15,536	15,536	-	7,108	7,108
Secondary Heads Association	165	9,302	1	64	28,230	2,414	2,204	784	1,557	773
Society of Chiropractors and Podiatrists	269	6,966	124	746	487,770	1,841	1,869	2,280	2,631	351
Society of Radiographers (at 30/9/00)	518	14,119	-	311	72,650	2,571	2,564	191	362	171
Transport & General Workers Union	31,664	796,698	19,695	10,747	2,178,000	73,812	73,329	88,799	94,604	5,805
Transport Salaried Staff Association	487	29,669	1,338	-	53,327	3,994	4,149	19,178	19,998	820
UNIFI	26 (e)	160,241	-	-	2,100	11,252	12,247	3,700	7,803	4,103
Union of Construction Allied Trades & Technicians	1,992	100,366	12,496	-	67,000	5,098	4,491	2,334	3,883	1,549
UNISON	29,000	1,243,470	-	-	1,566,834	112,627	112,349	90,521	100,650	10,129
Union of Shop, Distributive & Allied Workers	7,959	302,263	-	-	485,426	22,857	21,614	23,620	24,248	628
TOTALS	184,216	6,668,796	73,380	34,955	13,240,878	654,852	625,468	660,900	776,981	116,081

GB TRADE UNIONS WITH LESS THAN 100 NI MEMBERS - AT 31 DECEMBER 2000 (UNLESS OTHERWISE INDICATED)

Trade Union	MEMBERS BASED IN:							Total Income	Total Expenditure	Funds at End of Year	Total Assets	Total Liabilities
	NI	GB	ROI	Elsewhere (inc. Channel Islands)	N.I. Subscriptions	£	£					
AEGIS - The Aegon UK Staff Association (30/6/01)	8	2,989	-	-	144	50,000	26,000	74,000	74,000	74,000	-	
Alliance and Leicester Group Union of Staff	88	2,629	-	-	2,038	233,000	246,000	247,000	264,000	17,000	17,000	
Ambulance Service Union (The)	93	662	-	-	-	39,056	40,239	(1,183)	5,756	6,939	-	
Association of Clinical Biochemists	46	1,471	48	310	1,196	38,000	38,000	-	450,608	153,552	-	
Association for College Management	41	3,175	-	12	7,380	552,603	609,654	297,056	1,169,000	141,000	-	
Association of Educational Psychologists	71	2,415	7	27	10,482	677,000	468,000	1,028,000	1,169,000	141,000	-	
Association of HM Inspector of Taxes	33	2,113	-	3	469	125,000	144,000	474,000	490,000	16,000	16,000	
Association of Local Authority Chief Executives	27	353	-	36	478	29,813	24,474	28,254	39,248	10,994	10,994	
Association of Principal Fire Officers	4	182	-	-	720	60,490	57,787	24,330	25,905	1,575	1,575	
Association of Professional Ambulance Personnel	13	2,762	-	1	1,404	242,854	260,487	4,234	58,290	54,056	-	
Association of Professional Music Therapists	7	414	8	21	520	41,709	37,883	9,399	16,218	6,819	6,819	
Axis - The Axa Sun Life Staff Association (1/1/00 - 23/10/00) *	8	2,818	-	-	245	127,000	99,000	228,000	235,000	7,000	7,000	
Boots Pharmacists' Association (BPA)	5	583	3	1	160	18,000	19,000	8,000	9,000	1,000	1,000	
Britannia Field Staff Association	16	1,050	-	5	1,884	177,745	208,906	373,454	373,454	-	-	
Britannia Staff Union	6	2,347	-	-	282	125,878	99,258	230,511	238,711	8,200	8,200	
British Airline Pilots Association	69	7,505	-	-	31,050	4,897,764	3,700,780	5,660,187	5,979,247	319,060	319,060	
British Association of Advisors & Lecturers in PE (31/3/01)	1	419	2	3	75	98,000	102,000	147,000	212,000	65,000	65,000	
British Association of Dental Nurses	92	3,878	-	-	2,760	186,448	173,409	101,627	110,831	9,204	9,204	
British Orthoptic Society	24	1,311	20	41	4,104	21,500	21,124	877	3,442	2,565	2,565	
British Association of Journalists	10	794	-	15	870	78,000	75,000	27,000	29,000	2,000	2,000	
British Union of Social Work Employees (31/5/01)	40	1,733	-	-	2,438	106,208	103,558	78,650	87,208	8,558	8,558	
CGNU Staff Association	70	4,217	-	10	247	236,000	272,000	312,000	332,000	20,000	20,000	
Community and Youth Workers Union	90	3,527	6	10	4,613	358,962	354,064	71,736	118,810	47,074	-	
Gallaher Sales Staff Association	11	185	-	-	528	10,884	5,969	91,681	91,681	-	-	
Guild of Professional Teachers of Dancing	14	994	2	-	350	27,000	26,000	28,000	30,000	2,000	2,000	
Hambro Staff Association ** (1/1/00 - 13/8/00)	4	123	-	-	144	4,529	5,534	-	1,186	1,186	-	
Headmasters and Headmistresses' Conference (31/3/01)	7	236	2	79	9,100	527,942	585,954	1,032,356	1,525,925	493,569	493,569	
Hospital Consultants & Specialists Association (30/9/00)	36	2,183	-	-	4,236	251,996	226,709	125,745	227,908	102,163	102,163	

GB TRADE UNIONS WITH LESS THAN 100 NI MEMBERS - AT 31 DECEMBER 2000 (UNLESS OTHERWISE INDICATED)

Trade Union	MEMBERS BASED IN:							Total Income	Total Expenditure	Funds at End of Year	Total Assets	Total Liabilities
	NI	GB	ROI	Elsewhere (inc. Channel Islands)	N.I. Subscriptions	£	£					
Institute of Journalists	8	826	24	108	1,360	54,003	59,747	(6,168)	1,001	7,169	-	
Iron and Steel Trades Confederation	30	35,223	-	-	741	10,596,000	5,614,000	36,248,000	36,678,000	430,000	-	
Leeds & Holbeck Building Society Staff Association	4	363	-	-	78	6,955	7,820	22,235	23,071	836	-	
Lloyds Register (UK) Staff Association *** (1/1/00-11/9/00)	1	727	2	96	20	15,000	13,000	26,000	30,000	4,000	-	
Managerial and Professional Officers' Union (31/1/01)	31	8,253	-	3	8,287	1,893,394	2,078,056	411,608	687,003	275,395	-	
Musicians' Union	20	30,830	-	341	1,558	5,398,027	4,849,663	10,843,159	15,456,645	4,613,486	-	
National Association of Co-operative Officials	9	2,541	-	17	1,221	462,741	426,964	944,049	1,038,869	94,820	-	
National Assn of Educational Inspectors, Advisors and Consultants	78	2,537	-	11	11,517	505,000	448,000	382,000	424,000	42,000	-	
National Association of Group Secretaries to NFU	67	530	-	-	8,770	106,000	111,000	83,000	106,000	23,000	-	
National Society for Education in Art & Design (30/9/00)	22	2,077	4	52	1,920	294,065	294,040	20,786	81,553	60,767	-	
Offshore Industry Liaison Committee	7	1,384	3	92	840	157,000	166,000	31,000	34,000	3,000	-	
Prison Service Union	57	4,103	-	-	965	225,523	249,880	(48,163)	26,813	74,976	-	
Prison Governors Association	23	1,012	-	3	7,072 (e)	150,000	138,000	62,000	71,000	9,000	-	
Retired Officers Association (30/6/01)	33	1,258	-	152	108	20,566	11,322	174,452	181,038	6,586	-	
Royal Society for the Protection of Birds Staff Association (31/3/01)	17	590	-	-	95	10,603	9,074	22,445	22,445	-	-	
Society of Authors Ltd	27	6,368	26	449	1,890	641,000	701,000	574,000	980,000	406,000	-	
Society of Union Employees (UNISON)	15	256	-	-	1,110	19,287	13,193	33,446	33,446	-	-	
UBAC	10	2,793	-	-	564	226,400	200,277	161,189	171,176	9,987	-	
Union of Finance Staff	92	4,904	-	29	5,188	561,000	493,000	116,000	215,000	99,000	-	
WISA - The Union for Woolwich Staff	88	5,020	-	-	367	305,210	300,819	494,557	527,570	33,013	-	
Writers Guild of Great Britain	9	1,841	14	64	785	311,216	271,536	98,796	279,156	180,360	-	
TOTALS	1,582	166,258	171	1,991	142,373	31,302,371	24,487,180	61,396,305	69,266,214	7,869,909	-	

* Axis transferred its engagements to UNIFI on 24/10/00
 ** Hambro transferred its engagements to Nationwide Group Staff Union on 14/8/00
 *** Lloyd's Register (UK) Staff Association transferred its engagements to MSF on 12/9/00
 (e) estimated

NORTHERN IRELAND EMPLOYERS' ASSOCIATIONS - 31 DECEMBER 2000 (UNLESS OTHERWISE INDICATED)

NI Employers' Associations	Members	Total Income £	Total Expenditure £	Total Assets £	Total Liabilities £
1 Anglo-North Irish Fish Producers Organisation (at 31/7/00)	83	157,938	200,906	661,171	318,294
2 Association of Local Authorities of Northern Ireland (at 31/3/01)	26	222,005	262,504	93,085	-
3 Belfast County Vintners' Association (at 31/8/00)	99	1,394	2,416	19,242	6,418
4 Construction Employers Federation Ltd	435	507,000	506,000	661,000	212,000
5 Engineering Employers Federation NI Association	135	444,001	419,096	447,521	27,676
6 Hospitality Association of Northern Ireland	-	-	116	2,660	6,313
7 The Lough Neagh Fishermen's Association	378	85	15	4,678	297
8 Northern Ireland Bakery Council (at 31/3/01)	4	28,000	28,000	15,000	13,000
9 Northern Ireland Fish Producers Organisation Ltd	144	784,627	664,423	1,485,898	358,605
10 Northern Ireland Grain Trade Association Ltd	30	21,633	21,492	11,256	10,339
11 Northern Ireland Hotels Federation Ltd	90	174,576	142,890	86,696	43,670
12 Northern Ireland Textiles and Apparel Association Ltd	56	113,000	113,000	44,000	44,000
13 Northern Ireland Timber Trade Association	24	13,006	11,414	8,603	222
14 Retail, Electrical and Television Retailers Association of NI	2	-	-	10,000	9,000
15 Ulster Chemists Association (at 30/9/00)	491	86,905	61,509	179,955	13,316
16 Ulster Farmers' Union	12,300	1,079,000	1,016,000	1,338,000	112,000
17 Ulster Launderers Association (at 31/10/00)	6	420	372	2267	252
TOTALS	14,303	3,633,590	3,450,153	5,071,032	1,175,402

GB EMPLOYERS' ASSOCIATIONS WITH NI MEMBERS - 31 DECEMBER 2000 (UNLESS OTHERWISE INDICATED)

GB Employers' Associations with NI Members	NI Members	NI Members Contributions £	Total Members (inc. Channel Islands and ROI)	Total Income £	Total Expenditure £	Total Assets £	Total Liabilities £
1 Association of Newspapers and Magazine Wholesalers (31/3/01)	2	8,256	27	384,000	389,000	188,000	146,000
2 British Amusement Catering Trades Association (30/9/00)	2	4,338	576	1,603,760	1,082,330	1,516,187	131,361
3 British Clothing Industry Association Ltd	8	17,941	129	420,000	777,000	7,256,000	249,000
4 British Jewellery and Giftware Federation	8	1,711	2,483	1,948,948	2,140,023	9,276,067	1,266,735
5 British Metals Federation	7	5,815	186	307,000	306,000	421,000	56,000
6 British Pre-Cast Concrete Federation Ltd	2	9,148	71	371,000	357,000	206,000	110,000
7 British Soft Drinks Association	1	10,756	105	1,068,880	1,070,143	495,164	166,878
8 Chemical Industries Association (30/6/01)	1	Nil	166	6,229,000	6,275,000	1,763,000	1,268,000
9 Cinema Exhibitors' Association	6	2,278	170	247,175	224,103	391,325	35,802
10 Construction Plant Hire Association (30/6/01)	3	1,515	1,110	723,735	536,342	764,785	215,602
11 Electrical Contractors' Association	27	50,000	2,025	7,904,000	9,644,000	61,105,000	17,242,000
12 Engineering Employers' Federation	1	97,690	16	3,760,000	6,505,000	29,531,000	1,469,000
13 Federation of Master Builders	378	23,176	13,450	3,762,817	3,519,847	4,249,826	1,575,924
14 Freight Transport Association	280	56,736	10,996	15,346,000	14,788,000	8,000,000	3,478,000
15 Glass and Glazing Federation	28	22,176	538	1,376,921	1,221,483	1,631,269	297,507
16 Heating & Ventilating Contractors' Association (28/2/01)	56	62,194	1,342	8,000,000	8,303,000	7,697,000	3,956,000
17 Mastic Asphalt Council (31/1/01)	1	1600	74	285,408	221,889	289,365	69,267
18 National Association of Self Employed	246	17,015	730	53,000	53,000	67,000	4,000
19 National Bed Federation	2	520	112	242,000	225,000	144,000	22,000
20 National Federation of Master Window and General Cleaners	13	439	2176	182,003	130,141	343,153	29,852
21 National Federation of Retail Newsagents	736	136,150	21,855	4,641,000	4,907,000	5,788,000	2,212,000
22 National Federation of Roofing Contractors Limited (31/1/01)	17	7,593	707	655,000	594,000	276,000	102,000
23 National Hairdressers Federation	19	1,957	5,418	782,684	705,739	1,102,093	390,225
24 National Pharmaceutical Association	322	71,162	4,987	3,447,000	3,535,000	8,921,000	5,985,000
25 National Sawmilling Association	4	Nil	36	1,300	4,000	32,100	500
26 Producers Alliance for Cinema and Television Ltd (30/9/00)	20	30,000	1,043	2,073,000	2,024,000	1,846,000	374,000
27 Publishers Association	2	500	163	1,883,000	1,974,000	634,000	379,000
28 Radio, Electrical and Television Retailers' Association (31/10/00)	2	280	1,480	501,087	571,417	1,003,908	105,269
29 Retail Motor Industry Federation Ltd	293	86,655	9,710	16,795,000	15,929,000	12,080,000	5,827,000
30 Scottish Association of Master Bakers	1	155	567	467,895	445,443	1,597,509	291,126

GB Employers' Associations with NI Members	NI Members	NI Contributions £	Total Members (inc. Channel Islands and ROI)	Total Income £	Total Expenditure £	Total Assets £	Total Liabilities £
31 Scottish & NI Plumbing Employers' Federation	118	33,680	895	723,929	573,146	797,786	338,298
32 Screen Printing Association (UK) Ltd (31/10/00)	5	1,953	217	102,000	102,000	57,000	39,000
33 Society of Master Shoe Repairers 1/10/99 - 31/8/00	3	216	284	31,247	34,025	22,800	1,572
34 The Incorporated Guild of Hairdressers, Wigmakers and Perfumers	1	100	283	21,441	24,547	62,969	25,693
35 The Newspaper Society	4	35,391	159	3,664,000	3,617,000	4,309,000	2,296,000
36 The Made Up Textiles Association	3	1,086	273	149,450	151,507	194,691	70,679
37 Theatrical Management Association	6	5,247	384	523,000	537,000	302,000	207,000
38 Thermal Insulation Contractors Association	6	3,592	213	847,000	836,000	931,000	368,000
39 UK Jute Goods Association	1	135	21	2,613	3,067	8,985	7,073
40 Vehicle Builders & Repairers Association Ltd	20	7,501	1,362	765,000	722,000	1,344,000	297,000
TOTALS	2,655	816,657	86,539	92,292,303	95,058,192	176,645,982	51,105,363

SALARIES AND BENEFITS OF THE CHIEF OFFICERS OF ALL TRADE UNIONS WITH NI MEMBERS - AT 31 DECEMBER 2000 (unless otherwise indicated)

NORTHERN IRELAND	OFFICE HELD	SALARY	BENEFITS (excluding NI Contributions)
Belfast Airport Police Association (31/3/01)	Chairman	Nil	Nil
Northern Ireland Musician's Association	NIMA Organiser	6,000	Nil
Northern Ireland Public Service Alliance	General Secretary	47,046	6,351
Ulster Teachers' Union	General Secretary	41,858	3,076
REPUBLIC OF IRELAND	OFFICE HELD	(IR£) Salary	(IR£) Benefits excluding PRSI
Irish Bank Officials Association ††	General Secretary	83,525	61,152
Irish National Teachers Organisation††	General Secretary	81,941	Nil
Seamen's Union of Ireland	General Secretary		
Services, Industrial, Professional and Technical Union (SIPTU) ††	General President	69,776	2,253
GREAT BRITAIN	OFFICE HELD	SALARY £	BENEFITS (excluding NI Contributions) £
Abbey National Staff Association	General Secretary	1,107	4,243
AEGIS - The Aegon UK Staff Association (30/6/01)	General Secretary	Nil	Nil
Alliance & Leicester Group Union of Staff †	Chairperson	3,335	Nil
Amalgamated Engineering & Electrical Union ¹	General Secretary	68,504	33,011
The Ambulance Service Union †	General Secretary	1,000	Nil
Association of Clinical Biochemists	General Secretary	Nil	Nil
Association for College Management	General Secretary	58,350	4,668
Association of Educational Psychologists	General Secretary	40,227	4,866
Association of First Division Civil Servants	General Secretary	61,299	12,382
Association of HM Inspector of Taxes	General Secretary	Nil	Nil
Association of Local Authority Chief Executives†	Honorary Secretary	1,000	Nil
Association of Principal Fire Officers (31/3/01)	General Manager	Nil	Nil
Association of Professional Ambulance Personnel	General Secretary	Nil	Nil
Association of Professional Music Therapists †	Chairperson	1,440	Nil
Association of Teachers & Lecturers	General Secretary	90,231	21,457
Association of University Teachers (31/8/00)	General Secretary	65,951	11,871
AXIS - The Axa Sun Life Staff Association	General Secretary	Nil	Nil
Bakers, Food & Allied Workers Union	General Secretary	31,597	7,983
Boots Pharmacists' Association (BPA)	General Secretary	5,000	Nil
Britannia Staff Union ²	General Secretary	Nil	Nil
Britannic Field Staff Association ³	National Secretary	29,346	7,001
British Actors Equity Association	General Secretary	51,705	6,952
British Airline Pilots Association	General Secretary	85,042	25,513
British Association of Advisors & Lecturers in PE (31/3/01)	General Secretary	11,078	Nil
British Association of Dental Nurses	Executive Secretary	17,598	1,431
British Association of Journalists	General Secretary	16,916	544
British Association of Occupational Therapists (30/9/00)	Chairman	15,978	Nil
British Dental Association(30/9/00)	Chief Executive	88,058	5,312
British Dietetic Association(28/2/01)	General Secretary	Nil	Nil
British Medical Association	General Secretary	124,886	19,672
British Orthoptic Society	General Secretary	Nil	Nil
British Union of Social Work Employees (31/5/01)	General Secretary	5,824	802
Broadcasting, Entertainment, Cinematograph & Theatre Union	General Secretary	43,026	8,648
Ceramic & Allied Trades Union	General Secretary	32,118	14,002
Chartered Society of Physiotherapy	Chief Executive	70,354	11,819

SALARIES AND BENEFITS OF THE CHIEF OFFICERS OF ALL TRADE UNIONS WITH NI MEMBERS - AT 31 DECEMBER 2000 (unless otherwise indicated)

GREAT BRITAIN	OFFICE HELD	SALARY	BENEFITS (excluding NI Contributions)
		£	£
CGNU Staff Association ⁴	General Secretary	(a) 38,911 (b) 17,972	137,269 2,141
Communication Workers Union	General Secretary	68,250	24,988
Community & District Nursing Association(31/3/01)	General Secretary	Nil	Nil
Community and Youth Workers Union	General Secretary	35,999	2,861
Connect – The Union for Professionals in Communication ⁵	General Secretary	64,803	13,920
Engineers & Managers Association	General Secretary	72,609	21,110
Fire Brigades Union ⁶	General Secretary	(a) 20,467	10,211
	Nat Off / Gen. Sec	(b) 48,273	29,736
Gallaher Sales Staff Association	General Secretary	Nil	Nil
General Dental Practitioners Association †	General Secretary	25,235	Nil
GMB	General Secretary	65,000	19,000
Graphical Paper & Media Union (30/9/00)	General Secretary	65,921	12,350
Guinness Staff Association	None	Nil	Nil
Guild of Professional Teachers of Dancing †	General Secretary	6,750	Nil
Hambro Staff Association	General Secretary	Nil	Nil
Headmasters & Headmistresses' Conference (31/3/01) ⁷	General Secretary	(a) 24,879 (b) 37,917	49,123 7,352
Hospital Consultants & Specialists Association (30/9/00)	Admin Director	38,072	5,711
Independent Union of Halifax Staff ⁸	General Secretary	73,215	13,300
Institute of Journalists	General Secretary	22,460	Nil
Institution of Professionals Managers & Specialists	General Secretary	74,189	10,232
Iron and Steel Trades Confederation	General Secretary	53,561	12,671
Leeds & Holbeck Building Society Staff Association	General Secretary	Nil	Nil
Lloyd's Register (UK) Staff Association	General Secretary	Nil	Nil
Managerial and Professional Officers' Union ⁹	General Secretary	51,885	3,517
Manufacturing Science & Finance Union	General Secretary	74,135	9,356
Musicians' Union	General Secretary	59,075	19,609
National Association of Co-operative Officials	General Secretary	55,297	9,291
National Association of Educational Inspectors, Advisors and Consultants	General Secretary	49,512	Nil
National Association of Group Secretaries to the NFU ¹⁰	General Secretary	6,000	Nil
National Association of Head Teachers	General Secretary	86,266	14,464
National Association of Probation Officers	General Secretary	43,667	8,262
NASUWT	General Secretary	71,377	20,796
National Association of Teachers in F & HE .	General Secretary	51,480	9,382
National Federation of Sub-Postmasters	General Secretary	57,520	18,185
National Society for Education in Art & Design (30/9/00)	General Secretary	38,953	Nil
National Union of Journalists (30/9/00)	General Secretary	45,936	2,882
National Union of Knitwear, Footwear and Apparel Trades	General Secretary	38,210	14,725
NUMAST	General Secretary	58,366	10,518
National Union of Rail Maritime & Transport Workers	General Secretary	56,760	15,102
Nationwide Group Staff Union	General Secretary	60,072	8,484
Offshore Industry Liaison Committee	General Secretary	24,679	Nil
Prison Service Union	General Secretary	30,000	12,552
Prison Governors Association	General Secretary	Nil	Nil
Prison Officers Association	General Secretary	49,859	13,046
Professional Association of Teachers	General Secretary	52,719	8,114
Public and Commercial Services Union ¹¹	Joint General Secretaries	(a) 58,015 (b) 60,682	200 13,107
Retained Firefighters Union	General Secretary	29,349	2,935
Retired Officers Association (30/6/01)†	General Secretary	2,000	Nil
Royal College of Midwives (31/8/00) ¹²	General Secretary	73,738	15,666

SALARIES AND BENEFITS OF THE CHIEF OFFICERS OF ALL TRADE UNIONS WITH NI MEMBERS - AT 31 DECEMBER 2000 (unless otherwise indicated)

GREAT BRITAIN	OFFICE HELD	SALARY	BENEFITS (excluding NI Contributions)
		£	£
Royal College of Nursing of UK (31/3/01) ¹³	General Secretary	37,139	13,315
Royal Society for the Protection of Birds (31/3/01)	General Secretary	Nil	Nil
Secondary Heads Association	General Secretary	63,675	8,739
Society of Authors Ltd ¹⁴	General Secretary	73,500	62,680
Society of Chiroprodists and Podiatrists	Chief Executive	51,912	3,640
Society of Radiographers (30/9/00)	General Secretary	27,447	3,926
Society of Union Employees (UNISON)	General Secretary	Nil	Nil
Transport & General Workers Union ¹⁵	General Secretary	73,776	11,909
Transport Salaried Staffs Association	General Secretary	51,625	Nil
UBAC	General Secretary	36,225	7,313
UCATT	General Secretary	52,294	11,645
UNIFI ¹⁶	General Secretary	(a) 48,007 (b) 66,183	9,693 13,866
Union of Finance Staff	General Secretary	62,937	12,149
UNISON	General Secretary	72,584	24,089
USDAW	General Secretary	64,963	16,083
WISA – The Union for Woolwich Staff ¹⁷	General Secretary	16,263	4,028
Writers Guild of Great Britain ¹⁸	General Secretary	10,200	Nil

† Indicates the payment of an honorarium

†† Please refer to pages 9 and 10

Notes

- The General Secretary's benefits include a bridging loan of £13,719.
- The General Secretary's salary is met by Britannia Building Society.
- Treasurer received a salary of £29,346 and benefits of £9898 excluding NIC.
- CGNU Staff Association (a) Mr J G F Middleton (Gen. Sec 1/1/00 - 31/8/00) Mr Middleton's benefits include £92,294 redundancy & termination payments of which £39,027 is met by the Company. (b) Mr S J Nutting (Gen. Sec 1/9/00 - 31/12/00)
- Connect. The General Secretary benefits from a Life Assurance and Disability Scheme. In 2000 the annual premium paid by the society was Life Assurance; £8,861; and Disability; £15,647.
- Fire Brigades Union. (a) Mr K Cameron (Gen. Sec 1/1/00 - 30/5/00) (b) Mr A Gilchrist (Gen. Sec 1/6/00 - 31/12/00).
- (a) Mr V S Anthony, (Gen. Sec 1/4/00 - 31/8/00). (b) Mr G Lucas (Gen. Sec 1/9/00 - 31/3/01).
- The General Secretary's salary includes a bonus of £5580. (Independent Union of Halifax Staff).
- The General Secretary's salary is for the period 1/1/00 - 31/1/01 - Managerial and Professional Officers' Union merged with GMB on 31/1/01.
- The Administrative Officer received a salary of £15,000.
- (a) Mr B Reamsbottom (b) Mr John Sheldon
- The Royal College of Midwives is a special register body and as such 74% of the General Secretary's salary of £73,738 and benefits of £15,666 are in respect of trade union activities.
- The Royal College of Nursing of the United Kingdom is a special register body and as such 40% of the General Secretary's salary of £92,848 is in respect of trade union activities. The General Secretary also received a total of £22,339 in benefits, of which £15,040 is in respect of trade union activities. This sum is made up of £6,016 superannuation (at 40%) and £7,299 other benefits (at 100%).
- The General Secretary's benefits include a top up of £44,478 pension contributions made on actuarial advice. Following independent actuarial advice the General Secretary's pension contributions were increased to meet Trade Union pension obligations.
- The General Secretary's salary includes previous year's arrears of £4,378 and previous year's benefits of £237. Following a salary review the General Secretary was awarded arrears of salary and benefits.
- (a) Mr E Sweeney (b) Mr R Murphy
- The General Secretary's salary was for the period 1/1/00 - 26/5/00. In addition to the General Secretary's salary, £12,000 was paid to the Woolwich PLC for Trade Union duties carried out by the Vice-President.
- The General Secretary, Mr B Corbett, was appointed on 2/10/00.

LIST OF GB UNIONS WITH NORTHERN IRELAND MEMBERS WHO HAVE "CONTRACTED-IN" TO
POLITICAL FUNDS - 31 DECEMBER 2000 (unless otherwise indicated)

	NI Members	NI Contributions £
Amalgamated Engineering and Electrical Union	4,914	17,942
Association of Her Majesty's Inspector of Taxes	6	18
Association of University Teachers (31/8/00)	567	522
Communication Workers' Union	3,192	16,633
Connect The Union for Professionals in Communication	92	284
Fire Brigades Union	658	2,816
GMB	46	255
Graphical Paper and Media Union (30/9/00)	231	1,213
Institute of Professionals, Managers and Specialists	55	33
MSF	1,046	1,028
Musicians' Union	9	13
National Association of School Masters and Union of Women Teachers	9,606	1,703
National Association of Teachers in Further and Higher Education	414	497
National Union of Rail Maritime and Transport Workers	28	87
Prison Officers' Association	1,520	3,505
Transport and General Workers' Union	15,898	89,000
Transport Salaried Staffs' Association	75	287
Union of Shop Distributive and Allied Workers	2,585	8,066
TOTALS	40,942	143,902

LIST OF GB UNIONS WITH NORTHERN IRELAND MEMBERS WHO DO NOT CONTRIBUTE TO POLITICAL
FUNDS - 31 DECEMBER 2000 (unless otherwise indicated)

Bakers, Food and Allied Workers Union

Broadcasting, Entertainment, Cinematograph & Theatre Union

Ceramic & Allied Trades Union

Iron and Steel Trades Confederation

National Union of Knitwear, Footwear and Apparel Trades

Union of Construction, Allied Trades and Technicians

UNISON

STATUTORY FEES APPLICABLE FROM 14 SEPTEMBER 1997
Fees are calculated to represent the full cost of providing each service

	Current Fee
Application for entry in the list of trade unions	£55
Application for entry in the list of employers' associations	£55
Application for approval of a change of name	£50
Application for a certificate of independence	£760
Application for formal approval of an instrument of transfer of engagements or an instrument of amalgamation	£1,005
Inspection of merger documents	£35

LIST OF CERTIFICATION OFFICE FORMS

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

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 and employers' associations wishing to establish a political fund.*
 4. *A guide to political fund review ballots.*
 5. *Financial Irregularities in Trade Unions and Employers' Associations*
 6. *Annual Reports of the Certification Officer.*
 7. *Equality Scheme.*
 8. *D/2/2000 – T&G v. A.Thompson – Breach of Trade Union Rules.*
 9. *D/1/2001 – NIMA v. I. Gilliland & J. Wilson – Failure to hold an election for the post of General Secretary.*
 10. *D/2/2001 – NIPSA v. Mr. Welsh – Breach of Election Regulations.*
 11. *D/3/2001 – T&G v. Mr. Irvine – Breach of Trade Union Rules.*
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