

2016-2017 Annual Report

of the Certification Officer for Northern Ireland

(Covering Period 1 April 2016 to 31 March 2017).

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**CERTIFICATION OFFICER FOR NORTHERN IRELAND
ANNUAL REPORT FOR THE YEAR ENDED 31 MARCH 2017**

Laid before the Northern Ireland Assembly under paragraph 69(7) of the Industrial Relations
(Northern Ireland) Order 1992 by the Department for the Economy

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Article 69(7) of the Industrial Relations (NI) Order 1992 requires the Certification Officer, as soon as reasonably practicable after the end of each financial year, to make a report of her activities during that year to the Department for the Economy. I have pleasure in submitting my report for the period 1 April 2016 to 31 March 2017.



Sarah Havlin LLB
Certification Officer for Northern Ireland

March 2018

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Sarah Havlin LLB
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CONTENTS

INTRODUCTION	7
EQUALITY STATEMENT	13
LISTS OF TRADE UNIONS AND EMPLOYERS' ASSOCIATIONS	14
Entry in the lists and its significance	14
Removal from the lists	15
Additions to the lists	16
Special Register bodies	16
Changes of name.....	17
Unlisted organisations	18
Definitions of a trade union and an employers' association	18
TRADE UNION INDEPENDENCE	20
The statutory provisions	20
Criteria of independence	21
Procedure.....	22
Applications/Decisions.....	22
Great Britain Certification Officer decisions on trade unions with Northern Ireland members.....	22
ANNUAL RETURNS AND ACCESS TO ACCOUNTING RECORDS	23
The statutory provisions	23
Late submission of annual returns.....	26
Prosecutions.....	26
Authorised Northern Ireland resident	26
Public inspection of annual returns	26
Statement to members of a trade union	27
Financial affairs of trade unions and employers' associations - use of statutory powers	28
Access to accounting records.....	30
FINANCIAL AND MEMBERSHIP INFORMATION AND MEMBERSHIP REGISTER	32
Information from 2016 returns.....	32
Trade unions - salaries and benefits	32
Trade unions - membership register	32
Trade unions - membership and financial information	33
Employers' associations - membership and financial information.....	36
SUPERANNUATION SCHEMES	37
The statutory provisions	37
Schemes maintained – Northern Ireland.....	38
Schemes maintained – Great Britain	38
Actuarial reports	38

MERGERS	39
The statutory provisions	39
Advice on procedures	41
Mergers proposed or completed	41
Mergers of Great Britain unions with Northern Ireland members.....	41
POLITICAL FUNDS	42
The statutory provisions for Northern Ireland organisations.....	42
General.....	42
Exemption	42
Great Britain and Republic of Ireland organisations.....	43
Political fund model rule for Great Britain organisations.....	44
Complaints	44
Advice on procedures	45
Northern Ireland organisations with political fund rules	45
Great Britain organisations with political fund rules approved by the Northern Ireland Certification Officer.....	45
Great Britain organisations with new political fund rules approved for the first time in this reporting period.....	46
Amendments to rules of Great Britain organisations.....	46
Requirements of the Trade Union Act 2016 in relation to political funds	46
Political fund review ballots held by Great Britain organisations	46
Political fund complaints by Northern Ireland members to the Great Britain Certification Officer .	46
SECRET POSTAL BALLOTS FOR TRADE UNION ELECTIONS	47
The statutory provisions	47
Disclosure of applicant's identity, hearings, appeals etc.....	48
Applications and decisions.....	49
APPLICATIONS CONCERNING BREACHES OF TRADE UNION RULES	50
The statutory provisions	50
Applications and decisions.....	51
PUBLIC INTEREST DISCLOSURES	54
The statutory provisions	54
Advice on procedures	55
Public interest disclosures	55

APPENDICES	56
Appendix 1 (a) List of Northern Ireland trade unions, (b) Republic of Ireland trade unions with NI members, (c) Schedule of unlisted trade unions	57
Appendix 2 Great Britain trade unions with 100 or more NI members	58
Appendix 3 Great Britain trade unions with under 100 NI members	61
Appendix 4 List of NI employers’ associations.....	63
Appendix 5 Great Britain employers’ associations with NI members.....	64
Appendix 6 Salaries and Benefits of the chief officers of trade unions with NI members	66
Appendix 7 Great Britain trade unions with NI members who have “contracted in” to the political fund	69
Appendix 8 Great Britain trade unions whose NI members do not contribute to the political fund ..	70
Appendix 9 Statutory fees	71
Appendix 10 Certification Office forms	72

INTRODUCTION

This is the twenty fifth Annual Report to be published since the post of Certification Officer for Northern Ireland was established in 1992. It deals with my activities during the period 1 April 2016 to 31 March 2017.

The statutory functions of the Certification Officer are contained in the Industrial Relations (Northern Ireland) Order 1992 as amended, The Employment Rights (Northern Ireland) Order 1996 as amended and the Trade Union and Labour Relations (Northern Ireland) Order 1995 as amended.

The Certification Officer's functions, which are explained more fully in the following chapters, include:

Under the 1992 Order -

Articles 5 and 6 - maintaining lists of trade unions and employers' associations, and determining the independence of trade unions;

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; investigating the financial affairs of trade unions and employers' associations; ensuring that statutory requirements concerning the appointment and duties of auditors and the actuarial examination of members' superannuation schemes are observed; and dealing with complaints that a trade union has failed in its duty to secure that positions in the union are not held by certain offenders;

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

Under Article 70ZA of the 1992 Order (inserted by the Employment Relations (Northern Ireland) Order 2004) the Certification Officer has power to strike out any application or complaint made to her on specified grounds, for example that it is scandalous, vexatious or has no reasonable prospect of success, or that there has been excessive delay in proceeding with it. She must give the party against whom a striking out order is to be made an opportunity to show why it should not be made.

Under the 1995 Order -

Article 5 - dealing with complaints by members that a trade union has failed to maintain an accurate register of members;

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 its president, general secretary and members of its executive committee;

Articles 45 to 72 - 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 (including Great Britain and the Republic of Ireland), and dealing with complaints about breaches of political fund rules or the conduct of political fund ballots, or the application of general funds for political objects;

Articles 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; and

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 or election of a person to, or removal of a person from, any office; disciplinary proceedings including expulsion; balloting of members (other than in respect of industrial action); and the constitution or proceedings of an executive committee or decision-making meeting.

Under the 1996 Order -

Article 67F - receiving information from employees/workers of trade unions or employers’ associations about fraud or other irregularities relating to the financial affairs of these organisations.

Recorded membership of Northern Ireland trade unions decreased by 2,576 members since the last reporting period. Northern Ireland membership of Republic of Ireland unions increased by 55 members whilst that of Great Britain unions decreased by 5,239 members.

There were no removals from or additions to the list of Northern Ireland unions during the year. There were no removals from or additions to the list of Republic of Ireland unions with Northern Ireland members. No Great Britain union with Northern Ireland members was added to the Great Britain Certification Officer's list. Three Great Britain unions with Northern Ireland members were removed from the Great Britain Certification Officer's list. This is recorded in paragraph 1.10 of this report.

During the year nine breaches of rule complaints, made by five trade union members, were determined. Details of these cases are in Chapter 9. Three complaints were being processed by the Office at 31 March 2017.

As was reported in last year's Annual Report in Great Britain the Trade Union Act 2016 received royal assent on 4 May 2016. The Act, when fully implemented, will significantly impact on the role and work of the Great Britain Certification Office. To date three sections of the Act, which relate to the work of the Great Britain Certification Officer, have been implemented, these are:-

- Section 11: Opting in by union members to contribute to political funds;
- Section 12: Union's annual return to include details of political expenditure; and
- Section 7: Information to the Certification Officer about industrial action etc. All of these provisions were commenced on 1 March 2017.

However, the duty relates to reporting periods that commence after that date. The remaining provisions, which are those that have the greatest impact on the role of the Certification Officer, have yet to be commenced, this includes the investigation and determination of breaches of statutory provisions without a complaint from a member and increased penalty and enforcement powers.

The collapse of the Northern Ireland Executive in January 2017 has meant there have been no further discussions regarding the introduction of equivalent legislation in Northern Ireland.

No requests were received under the Freedom of Information Act 2000 during the period covered by this report.

Finance and Support Services

The Labour Relations Agency (LRA) is responsible under Article 69 of the 1992 Order for providing me with finance and support services. I am however an independent statutory office holder, independent of both the LRA and its sponsor, the Department for the Economy, in the performance of my duties.

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. I would refer to the Annual Report of the Labour Relations Agency for the year ended 31 March 2017 and to the Accounts of the Labour Relations Agency and the Certification Officer for Northern Ireland therein. These are the audited accounts for this Office.

At 31 March 2016 the Office had a complement of four staff. Mr Neill Wallace was appointed as the Assistant Certification Officer for Northern Ireland on 12 September 2016. Mrs Patricia M^cQuillan continued to hold her appointment as Assistant Certification Officer for Northern Ireland during the period prior to Mr Wallace's appointment covered by this report until her retirement on 31 May 2016.

During the period covered by this report the work programme of the Office included processing Annual Returns from trade unions and employers' associations ensuring compliance of all trade unions and employers' associations with the requirements of the legislation, processing complaints and aspects of trade union finances, trade union political fund issues, independence, mergers and other statutory obligations as well as general office administration, governance and financial management. Planning also began during this reporting period for a new IT strategy. This will involve the development of the website and online presence and the introduction of a dedicated internal electronic case management system. These initiatives will be launched during the next reporting period.

The Certification Officer may make payment towards the expenses incurred by complainants and their witnesses in attending hearings to determine complaints. The scheme governing such payments is published in the “Documents” section of the Office website: www.nicertoffice.org.uk. During the period of this report no expenses were paid. Assistance with legal costs for complainants is not available.

Advice and Contacts for Information

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 the Office to comment on the merits of a possible complaint. Where a complaint is made, I have to investigate it and decide impartially in the light of the facts of the case and the representations made by the parties concerned. My staff and I do not give advice which might seem in any way to prejudice that impartiality.

However, the Office will assist where it can and guidance booklets covering different aspects of the Certification Officer’s responsibilities are available on the website (www.nicertoffice.org.uk) and free of charge on request from the Office. Requests for the booklets and for further information on any aspect of the Certification Officer’s duties should be made to the Certification Office, 10-16 Gordon Street, Belfast BT1 2LG, telephone: 028 9023 7773, fax: 028 9023 2271, e-mail: info@nicertoffice.org.uk.

All of our forms listed in Appendix 10 can be accessed in the “Documents” section of the website, as can the annual returns of Northern Ireland trade unions and employers’ associations and of Republic of Ireland trade unions with Northern Ireland members. Comments on the website are welcome.

Sarah Havlin LLB

Certification Officer for Northern Ireland

EQUALITY STATEMENT

The Office of the Certification Officer for Northern Ireland is defined as a “Public Authority” for the purposes of Section 75 of the Northern Ireland Act 1998. The Office is exempt from Section 75 as approved by the Equality Commission for Northern Ireland.

LISTS OF TRADE UNIONS AND EMPLOYERS' ASSOCIATIONS

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

Entry in the lists and its significance

- 1.1 The Certification Officer maintains a list of trade unions and a list of employers' associations in accordance with the provisions of Article 5 of the 1992 Order. As required by Article 5(9) the current lists are included in this report (Appendices 1 and 4). They are available for inspection, free of charge, at the Office.
- 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 (given in full at paragraphs 1.20 and 1.21 below), she must enter its name in the relevant list. 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, or by a decision of hers to remove its name from that list, may appeal to the High Court on a point of law only (Article 5(8) of the 1992 Order, as amended by the Employment Relations (Northern Ireland) Order 2004).
- 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. A certificate of independence, in turn, is essential for any union that wishes to apply for statutory recognition to conduct collective bargaining with an employer on behalf of its members (see paragraph 2.6 below).
- 1.5 Listed trade unions and listed unincorporated employers' associations enjoy certain procedural advantages in connection with the devolution of property following a change of trustees under Article 7 of the 1992 Order. There are other benefits of listing which are shared by trade unions and both incorporated and unincorporated employers' associations. Being on the list is one of the requirements for obtaining tax relief in respect of expenditure on provident benefits (Section 467 of the Income and Corporation Taxes Act 1988). It is also (non-conclusive) evidence that an organisation is a trade union or employers' association. Finally,

the name of a trade union or employers' association is protected by the provision that no organisation shall be entered in the relevant list if its name so nearly resembles the name of an organisation already on that list as to be likely to deceive the public.

- 1.6 Application for listing must be made on the appropriate form, CO(NI)1, and be accompanied by the statutory fee (Appendix 9). The form can be obtained on request from the Certification Office, or downloaded from the Office website www.nicertoffice.org.uk.
- 1.7 On the amalgamation of two or more listed organisations, the amalgamated organisation is automatically listed from the date when the instrument of amalgamation takes effect. Within six weeks of that date (or such longer period as the Certification Officer may specify), the rules of the organisation, a list of its officers and the address of its head or main office must be sent to the Certification Officer. If any of these requirements is not met, the organisation must be removed from the list.

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 or an employers' association, she may, after giving the organisation concerned the opportunity to make representations, remove its name from that list. There is a right of appeal on a point of law to the High Court against removal of a name from a list (see paragraph 1.3). The Certification Officer must also remove the name of an organisation from the list if she is satisfied that it no longer exists or if the organisation requests that she should do so.
- 1.9 There were no removals from the list of Northern Ireland trade unions in 2016-17.
- 1.10 During the period of this report, the Great Britain Certification Officer removed three trade unions with Northern Ireland members from his list. These were:
- Broadcasting, Entertainment, Cinematograph and Theatre Union which ceased to exist on 1 January 2017 as a result of a Transfer of Engagements to Prospect.
 - UFS which ceased to exist on 1 January 2017 as a result of a Transfer of Engagements to Community.
 - Union of Construction, Allied Trades and Technicians which ceased to exist on 1 January 2017 as a result of a Transfer of Engagements to Unite the Union.

The Great Britain Certification Officer maintains a schedule of trade unions which are known to him but which have not applied to be entered on his list. In 2016-17 there were no trade unions with Northern Ireland members removed from this schedule.

No employers' associations with Northern Ireland members were removed from the Great Britain Certification Officer's list during the period covered by this report.

Additions to the lists

1.11 There were no additions to the Northern Ireland lists during the period of this report.

1.12 No trade union with Northern Ireland members was added to the Great Britain Certification Officer's list. No union with Northern Ireland members was added to the Great Britain Certification Officer's schedule of unlisted unions during the period.

1.13 No employers' association with Northern Ireland members was added to the Great Britain Certification Officer's list or schedule.

Special Register bodies

1.14 Under Great Britain law (the Industrial Relations Act 1971) a special register was established for organisations which were either companies or incorporated by charter or letters patent and which took part in collective bargaining on behalf of their members. These were usually professional bodies.

1.15 Subsequent legislation (the Trade Union & Labour Relations Act 1974) provided that trade unions were no longer allowed to have corporate status, but an exception was made for bodies already on the special register. Bodies which are removed from the special register for any reason are not subsequently allowed to re-enter it.

1.16 The statutory requirements affecting trade unions in the Trade Union and Labour Relations Act 1992 take account of the corporate status of special register bodies and their other activities. These bodies are also exempt from the requirement to conduct elections for the posts of president and general secretary; but the voting members of the executive must be elected in accordance with the statutory provisions. Great Britain headquartered special register bodies with Northern Ireland members are as follows:

- Association for Clinical Biochemistry & Laboratory Medicine
- British Association of Occupational Therapists Ltd
- British Dental Association
- British Dietetic Association
- British Medical Association
- Chartered Society of Physiotherapy
- Headmasters and Headmistresses' Conference
- Royal College of Midwives
- Royal College of Nursing of the United Kingdom
- Society of Authors
- Society of Chiropodists and Podiatrists
- Society of Radiographers

There are no Northern Ireland headquartered special register bodies.

Changes of name

1.17 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 Certification Officer did not receive any applications for a name change during the period of this report.

1.18 During the reporting period approval was given to the change of name of one employers' association with Northern Ireland members

Effective Date

From: Cinema Exhibitors' Association

22 August 2016

To: UK Theatre Association

No trade union with Northern Ireland members applied to the Great Britain Certification Officer to change its name during the reporting period.

Unlisted organisations

1.19 As 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 some which meet the statutory definition but have not sought listing, and others of which this Office is unaware. Being unlisted does not relieve an organisation of its statutory responsibilities, including the requirement to make an annual return. Returns from unlisted bodies must be made available for public inspection in the same way as those from listed organisations. An unlisted trade union may not apply for a certificate of independence or for statutory recognition as a body entitled to conduct collective bargaining (see paragraph 2.6 below). ICTU is the only unlisted trade union in Northern Ireland of which the Office is aware. It operates through its Northern Office: Irish Congress of Trade Unions (the Northern Ireland Committee).

Definitions of a trade union and an employers' association

1.20 The definition of a trade union given in Article 3 of the 1992 Order is as follows:

- 3.—(1)** *In this Order "trade union" means an organisation (whether permanent or temporary) which either -*
- (a) consists wholly or mainly of workers of one or more descriptions and is an organisation whose principal purposes include the regulation of relations between workers of that description or those descriptions and employers or employers' associations; or*
 - (b) consists wholly or mainly of -*
 - (i) constituent or affiliated organisations which fulfil the conditions specified in sub-paragraph (a) (or themselves consist wholly or mainly of constituent or affiliated organisations which fulfil those conditions); or*
 - (ii) representatives of such constituent or affiliated organisations;*

and in either case is an organisation whose principal purposes include the regulation of relations between workers and employers or between workers and employers' associations, or include the regulation of relations between its constituent or affiliated organisations.

1.21 The definition of an employers' association given in Article 4 of the 1992 Order is as follows:

4.—(1) *Subject to paragraph (2), in this Order “employers' association” means an organisation (whether permanent or temporary) which either -*

(a) consists wholly or mainly of employers or individual proprietors of one or more descriptions and is an organisation whose principal purposes include the regulation of relations between employers of that description or those descriptions and workers or trade unions; or

(b) consists wholly or mainly of—

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

(ii) representatives of such constituent or affiliated organisations;

and in either case is an organisation whose principal purposes include the regulation of relations between employers and workers or between employers and trade unions, or include the regulation of relations between its constituent or affiliated organisations.

(2) *References in this Order to an employers' association include references to a combination of employers and employers' associations.*

TRADE UNION INDEPENDENCE

A trade union which is on the Certification Officer's list of trade unions may apply for a certificate of independence. Independence is defined as meaning independence from an employer or group of employers. 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 (see Chapter 1) before it can apply for a certificate of independence. The Certification Officer keeps a public record of all such applications and of all decisions reached. A notice that an application has been received is published in the Belfast Gazette at the time. The Certification Officer may not take a decision on any application until at least one month after it has been entered in the record and she must take into account relevant information submitted by any person. She is required to give her reasons if she refuses a certificate of independence. A union whose application is refused has a right of appeal to the High Court on a point of law.

2.3 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.

2.4 The Certification Officer may withdraw a certificate at any time if, in her opinion, the trade union concerned is no longer independent. A trade union aggrieved by a decision to withdraw its certificate has a right of appeal to the High Court on a point of law.

- 2.5 When a new union is formed by the amalgamation of two or more listed unions, it is automatically entered on the list; and if each of the amalgamating unions held a current certificate of independence, the new union is automatically issued with a certificate of independence. Both the listing and the certificate are effective from the date on which the instrument of amalgamation takes effect. The new union must send a copy of its rules, a list of its officers and the address of its head or main office, together with the prescribed fee (see Appendix 9) within six weeks of the date on which the amalgamation takes effect, or such longer period as the Certification Officer may specify. If it fails to meet any of these requirements, its name will be removed from the list and its certificate of independence withdrawn.
- 2.6 Where a question as to the independence of a particular union arises in proceedings before the courts, the 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 until the Certification Officer decides that question. The granting of a certificate by the Certification Officer, or its refusal, is conclusive evidence for all purposes that the union is, or is not, independent. Only a union that has a certificate of independence may seek statutory recognition to be entitled to conduct collective bargaining on behalf of a group of workers (paragraph 6 of Schedule 1 to the Employment Relations (Northern Ireland) Order 1999).

Criteria of independence

- 2.7 The principal criteria used by the Certification Officer to determine whether or not an applicant union satisfies the statutory definition are history, membership base, organisation and structure, finance, employer-provided facilities and negotiating record. These are explained further in the Office's booklet *Guidance for trade unions wishing to apply for a certificate of independence*, which is available on request from the Office and is on the website. The Certification Officer reaches her decision strictly on the basis of the statutory definition, having regard to the criteria as a whole. Other considerations, such as the effect the issue of a certificate might have on employment relations, may not be taken into account.

Procedure

2.8 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.

Applications/Decisions

2.9 During the period of this report no certificates of independence were issued and none were refused or withdrawn.

Great Britain Certification Officer decisions on trade unions with Northern Ireland members

2.10 No certificates of independence were issued by the Great Britain Certification Officer during the period.

Three certificates of independence were cancelled because the union concerned ceased to exist as the result of a Transfer of Engagements. The cancelled certificates were:-

- Broadcasting, Entertainment, Cinematograph and Theatre Union which ceased to exist when it had a Transfer of Engagements to Prospect on 1 January 2017;
- UFS which ceased to exist when it had a Transfer of Engagements to Community on 1 January 2017;
- Union of Construction, Allied Trades and Technicians which ceased to exist when it had a Transfer of Engagements to Unite the Union on 1 January 2017.

ANNUAL RETURNS AND ACCESS TO ACCOUNTING RECORDS

This chapter deals with the requirements for trade unions and employers' associations to keep proper accounting records and to submit annual returns to the Certification Officer. It also deals with provisions relating to the investigation of the financial affairs of trade unions and employers' associations; Northern Ireland registered addresses; provisions giving union members a right 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 – see paragraphs 1.19 and 1.20 above) 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 Organisations headquartered in Northern Ireland, and those headquartered in Great Britain which have Northern Ireland members, must submit an annual return to the Certification Officer in the form prescribed, unless they have been in existence for less than 12 months. (Organisations consisting wholly or mainly of representatives of constituent or affiliated organisations are exempt from this duty). 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). At 31 March 2016 six Republic of Ireland based trade unions were listed as having Northern Ireland members. The Office is not aware of any Republic of Ireland based employers' associations with Northern Ireland members.

- 3.3 The period to be covered by annual returns is the calendar year, and they are to be submitted before 1 June of the following year. However, the Certification Officer may, if she considers it appropriate in any particular case, direct that the return is to cover a 12-month period other than the calendar year, and may specify a date other than 1 June before which a return must be sent to her. This is usually done if the normal period or date would cause serious inconvenience to the organisation concerned. For most organisations (approximately 80% of trade unions and 70% of employers' associations) the financial year is the calendar year.
- 3.4 The returns must cover all funds maintained for trade union and employers' association purposes, and include revenue and other accounts and a balance sheet which give a true and fair view of the matters to which they relate. A summary sheet must also be completed. The Certification Officer may require trade unions and employers' associations to provide such other documents relating to those accounts and such further particulars as she may specify. Any changes in the organisation's officers, or in the address of its head office, must be shown on the return, which must be accompanied by a copy of the rules in force at the end of the period it covers, whether or not those rules were altered during the period.
- 3.5 The annual return must include a copy of the auditor's report on the accounts. Under Schedule 1 to the 1992 Order a person is qualified to act as auditor to a trade union or employers' association if he or she is eligible for appointment as a company auditor under Article 28 of the Companies (Northern Ireland) Order 1990. 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 Order if its receipts and payments do not in aggregate exceed £5,000, the value of its assets is less than £5,000 and it has fewer than 500 members. If any one of these conditions is not satisfied, it must use an auditor eligible under the Companies Order. A body corporate may act as an auditor of a trade union or an unincorporated employers' association. The auditor has a duty to carry out such investigations as will enable an opinion to be formed on whether proper accounting records have been kept, whether a satisfactory system of control has been maintained and whether the accounts are in agreement with the accounting records (Article 10). The 1992 Order sets out the rights of auditors, including access to information and the entitlement to attend and speak at general meetings of the organisation.

The auditor must state in the report whether, in his or her opinion, the accounts give a true and fair view of the matters to which they relate. If, in the auditor's opinion, the statutory requirements have not been satisfied or the accounts are not in agreement with the accounting records, or if all necessary information and explanations have not been supplied, the auditor must state these facts in the report by way of qualification. Most qualifications are of a minor technical nature and the Office takes appropriate steps to ensure that they are not required in future.

- 3.6 None of the returns received in this reporting year contained a qualified opinion by the auditors.
- 3.7 In order to avoid the duplication of broadly similar financial statements, the Certification Officer allows a special register body (paragraphs 1.14 - 1.16) or an employers' association incorporated under the Companies Orders to submit with its return a copy of its accounts prepared under the Companies Orders, instead of the accounts prescribed in the return form. There must, however, be no significant diminution in the degree of disclosure, the period covered must be the same and a summary sheet must be completed. Notwithstanding anything in the Companies Orders, an auditor's report complying with the requirements of the 1992 Order is still required.
- 3.8 With the exceptions already noted, the duties imposed by Articles 10 and 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, but does not generally undertake prosecutions for other offences, such as theft or fraud. Any evidence of such offences in the affairs of a trade union or employers' association that came to the notice of the Certification Officer would normally be referred to the appropriate prosecuting authorities.

Late submission of annual returns

3.9 The 1992 Order requires an organisation to submit an annual return to the Certification Officer before 1 June following the calendar year to which the return relates. (For most organisations the calendar year is also the financial year). In this reporting period the Office anticipated the receipt of a total of 126 annual returns from trade unions and employers' associations. All but one of these returns was submitted on time. The outstanding return was due from the National Federation of Roofing Contractors who ceased to have any Northern Ireland members with effect from 26 April 2016. They submitted Northern Ireland specific information only and did not submit a complete final return to this Office by the time this report went to print. The Office continues to seek full compliance with the statutory requirements, and will take appropriate steps to improve the performance of organisations which consistently submit late returns.

Prosecutions

3.10 There were no prosecutions during the period of this report for failure to submit a return.

Authorised Northern Ireland resident

3.11 Every trade union or employers' association carrying on business in Northern Ireland which has its head or main office outside Northern Ireland must provide the Certification Officer each year 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.

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

Public inspection of annual returns

3.13 Copies of the annual returns and the rules of trade unions and employers' associations with Northern Ireland members from 1992 onwards are available for public inspection at the Certification Office. While the returns provide detailed and comprehensive financial information, a one-page financial summary is also included for ease of interpretation.

3.14 The Office continued its review to establish whether certain Great Britain headquartered trade unions and employers' associations, which were not sending annual returns to it, had Northern Ireland members and was therefore required by statute to submit such returns. No further Great Britain headquartered trade unions and employers' associations with Northern Ireland members were identified during this reporting period.

Statement to members of a trade union

3.15 Trade unions headquartered in Northern Ireland must issue a statement containing specific information to all members within eight weeks of the submission of the annual return to the Certification Officer. The statement must specify:

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

The statement must give the name and address of the auditor, set out the auditor's report in full and not contain anything which is inconsistent with the contents of the annual return.

3.16 The statement must also tell members how they can complain should they be concerned that some irregularity is occurring or has occurred in the financial affairs of the trade union. Article 11A(6) of the 1992 Order specifies exactly what the statement must say on this matter, and the prescribed wording 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 the Economy) 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 the rules of the union and contemplates bringing civil proceedings against the union or responsible officials or trustees, he should consider obtaining independent legal advice.”

3.17 It is not a requirement that the statement to members be distributed individually; unions may “use any other means...which it is the practice of the union to use when information of general interest to all its members needs to be provided to them” (Article 11A(2)).

3.18 Trade unions have in the main readily complied with the requirements to provide members with a statement which contained the required information and met the statutory timescale. The Office will endeavour to ensure that full compliance with the Order is maintained.

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

3.19 Under the 1992 Order (Articles 12A to 12E) the Certification Officer has power to investigate the financial affairs of trade unions and employers’ associations. She may, if she thinks there is good reason to do so, give a direction to the organisation concerned to produce relevant documents and explanations of them and specify the date by which these are to be provided. In addition, she may appoint inspectors to investigate the organisation’s financial affairs and to report to her on them. Under Article 12B(2) she may appoint inspectors only if there are circumstances suggesting one or more of the following:

- (a) *that the financial affairs of the trade union or employers’ association have been or are being conducted fraudulently or unlawfully;*
- (b) *that those managing those affairs have been guilty of fraud, misfeasance or other misconduct in connection with that management;*
- (c) *that the organisation concerned has failed to comply with a duty under the Order relating to its financial affairs; or*
- (d) *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 such circumstances and the Certification Officer must then consider whether it is appropriate to exercise her powers to give a direction and/or appoint an inspector.

- 3.20 Information suggesting that one or more of the situations described in the previous paragraph has occurred may come to the Certification Officer's attention from a variety of sources including, for example, members who query information supplied by a trade union in its statement to members, or have evidence of some other kind.
- 3.21 Not all the information received by the Office is of sufficient merit to warrant an approach to the body concerned. Where an approach is warranted, the matter may often be resolved through correspondence or informal meetings, or both.
- 3.22 No enquiries into the financial affairs of an employers' association were in progress during this reporting period. The Certification Officer did not have occasion to use her powers to require any trade union or employers' association to produce documents during the reporting period.
- 3.23 At the end of the last reporting year 2015-16 one enquiry was in progress concerning allegations of financial irregularity in a Great Britain based trade union with members in Northern Ireland, the Union of Construction, Allied Trades & Technicians (UCATT). By the end of this period the Great Britain Certification Officer had concluded his enquiries into the concerns raised about UCATT. In this case the G Great Britain REAT BRITAIN Certification Officer did not consider it necessary to appoint an inspector to investigate.

In last years' annual report it was wrongly reported that the Great Britain Certification Officer had made enquiries of Accord in relation to concerns raised about the conduct of its financial affairs. In fact the Great Britain Certification Officer decided that the issues, which had been brought to his attention anonymously, did not merit contact with the union.

In addition to the enquiry mentioned above that continued during the 2016-17 reporting period, new concerns were raised about the conduct of financial affairs in one other Great Britain based trade unions with Northern Ireland members, the Fire Brigades Union (FBU). The Great Britain Certification Officer made enquiries of the FBU in relation to the matters raised and in this case was satisfied with the response of the Union and did not consider it appropriate to use his statutory powers.

Access to accounting records

3.24 Article 37 of the 1992 Order gives members of a trade union a right of access to any accounting records which the union has available for inspection (under this Article unions have a duty to keep records available for six years). A member who claims that a trade union has failed to comply with his or her request for access to its accounting records may apply 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.

3.25 On application to her, the Certification Officer is required to make such enquires as she thinks fit and give the applicant and the trade union an opportunity to be heard. So far as is reasonably practicable, applications are to be determined within six months of being made. An applicant's expenses in attending a hearing may in certain circumstances be reimbursed by the Office.

3.26 Where the Certification Officer is satisfied that the claim is well-founded she is required to make such an order as she considers appropriate for ensuring that the applicant -

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

An order made by the Certification Officer may be enforced in the same way as an order of the High Court.

3.27 Where the Certification Officer requests a person to furnish information in connection with enquiries made by her under Article 37, she must specify the date by which she is to receive the information and may proceed to determine the application if the information has not been provided by that date.

3.28 No applications concerning access to accounting records were received in the period of this report.

3.29 The Great Britain Certification Officer concluded one complaint, carried over from the previous reporting period 2015-16, in respect of a Great Britain based union with members in Northern Ireland:-

Fernandez Castillio and Ors v Unite the Union (D/35-19/16-17) Following two hearings, one in April 2016 and one in February 2017 the Certification Officer dismissed the complaint.

The decision on **Mills v Unite the Union (D/38/15-16)**, a case from the previous reporting period 2015-16, was appealed by the Union to the EAT (**UKEAT/0148/16/LA**). Although upholding the decision and dismissing a cross-appeal the EAT did make a point significant to this decision. At paragraph 60 of their decision the EAT stated: *“we disagree with this [the Certification Officer] observation “that accounting records are those that are created or kept principally for the purpose of accounting”. Whether something is an accounting record an objective test is to be applied. It may be that invoices and receipts are retained for the purpose of accounting. They may need to be made available to the auditor for checking the accounts. The fact that documents are kept for the purposes of accounting does not transform them into accounting records within the meaning of TULRCA Section 28(1)(a) and (2). The EAT goes on to say at paragraph 61: Proper accounting records within the meaning of Section 28 are those which are “necessary to give a true and fair view of the state of affairs of the trade union and explain its transactions”.*

3.30 Copies of all decisions of the Certification Officer for Great Britain are available on the Certification Officer’s website: www.gov.uk/certificationofficer

FINANCIAL AND MEMBERSHIP INFORMATION AND MEMBERSHIP REGISTER

This chapter is about the membership, income and expenditure of trade unions and employers' associations in the year ending 31 December 2016. It also describes the Certification Officer's jurisdiction to determine complaints about the maintenance of trade unions' membership registers.

Information from 2016 returns

4.1 Appendices 1-7 give information derived from annual returns of trade unions and employers' associations submitted to the Certification Office by June 2017. That information and the following comments in this chapter relate to organisations whose financial year ended on 31 December 2016, unless otherwise indicated.

Trade Unions - salaries and benefits

4.2 Trade unions are required to include in their annual return information about the salaries and benefits paid from their funds to certain of their national officers and executive members. For the purposes of the returns, "benefits" means benefits designated taxable by the Inland Revenue, pension/superannuation contributions, and redundancy/other termination payments. Benefits with a value of £100 or more in any accounting period are included.

4.3 Appendix 6 gives details of the salary and benefits paid by trade unions with Northern Ireland members to their general secretary. The information covers trade unions headquartered in Northern Ireland, the Republic of Ireland and Great Britain. There is no requirement on unions to provide information about the salary or benefits of employees other than the general secretary, even if (as may occasionally happen) they are paid more than the general secretary. Employer's pension contributions make up a significant proportion of the benefits paid. Employer's national insurance contributions are excluded from the information in Appendix 6.

Trade unions - membership register

4.4 Under Article 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 up-to-date. A trade union must allow any member, on request, with reasonable notice, to ascertain from the register free of charge whether there is an entry on it relating to him or her. The member may request from the union a copy of any such entry, and this is to be provided either free of charge, or on payment of a reasonable fee.

- 4.5 An application that a trade union has failed to comply with the requirements of Article 3 may be made to the Certification Officer or the High Court, but the same applicant may not apply to both in respect of the same alleged failure.
- 4.6 Where the Certification Officer makes a declaration, she is required, unless she considers that to do so would be inappropriate, to make an enforcement order imposing on the union one or both of the following:
- (a) to take such steps to remedy the declared failure, within such period, 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 failure of the same or a similar kind does not occur in future.
- 4.7 A declaration made by the Certification Officer may be relied on as if it were a declaration made by the High Court. An enforcement order made by the Certification Officer may be enforced in the same way as an order of the High Court.

Trade Unions - membership and financial information

- 4.8 The annual returns of trade unions must provide figures for both total membership and members who pay contributions. There may be significant differences between these two figures, usually because total membership figures can include student members, retired and unemployed members, members on long-term sick leave and maternity/childcare leave and those on career breaks.

4.9 The total Northern Ireland membership of all trade unions since 2011 is outlined in Figures 1 and 2. Total Northern Ireland trade union membership at 31 December 2016 was recorded as 235,228.

74% of all Northern Ireland trade union members belong to Great Britain based trade unions with 21% and 5% respectively being members of Northern Ireland and Republic of Ireland based trade unions (see Figure 3).

Total Northern Ireland Trade Union Membership 2011 - 2017								
Year	2010	2011	2012	2013	2014	2015	2016	2017
Membership	259,794	237,971	243,235	244,330	241,875	240,811	242,988	235,228

Figure 1.

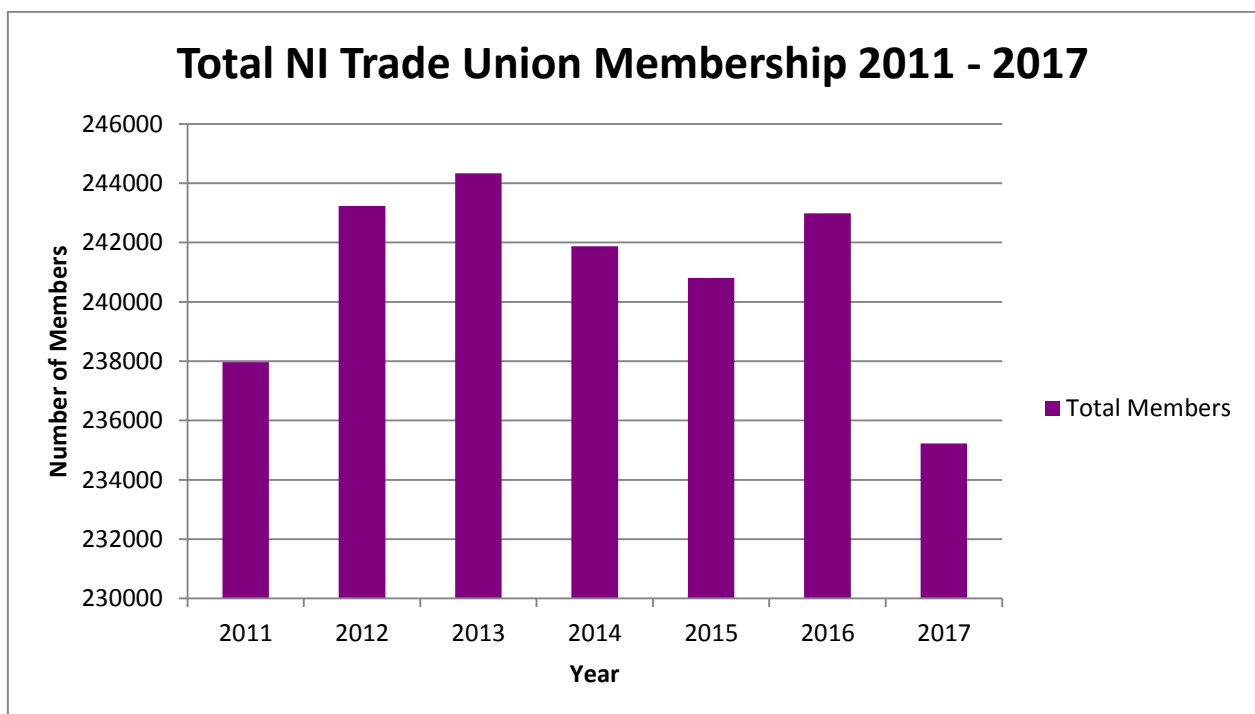


Figure 2.

Total Northern Ireland Membership of Trade Unions at 31 December 2016

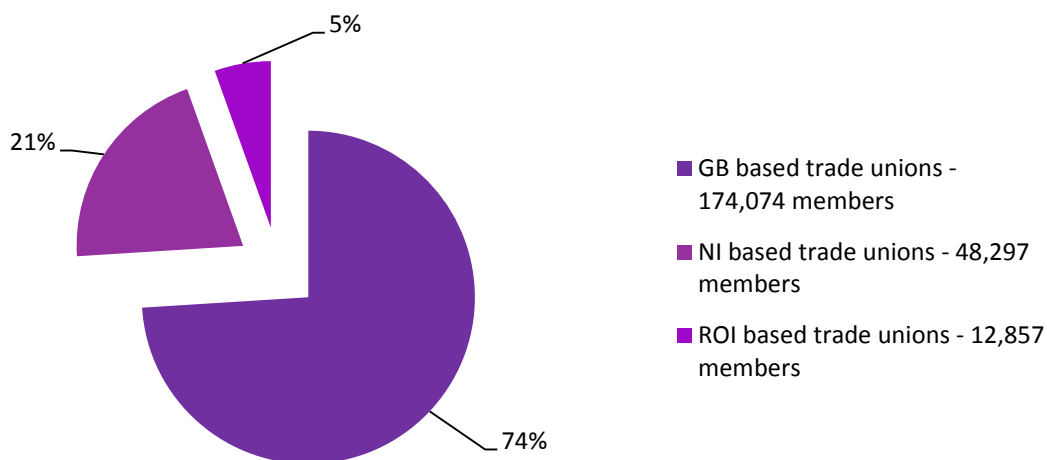


Figure 3.

4.10 Trade union income derives mainly from membership subscriptions and investments. There may also be additional income and assets arising if, for example, a union accepts the transfer of engagements of another union. In 2016 the total income of Northern Ireland based trade unions was £4.9 million, total expenditure was £8.7 million, and net assets were £3.5 million.

4.11 Appendix 1 gives a summary of membership and finance statistics for Northern Ireland trade unions and Republic of Ireland trade unions with Northern Ireland members for the reporting period 2016-17. This shows a total of 48,336 members of Northern Ireland unions providing an annual contribution of £4.8 million; while there were 12,857 Northern Ireland members of Republic of Ireland unions providing an annual contribution of €2.4 million. In 2016 the total income of the Republic of Ireland unions was €69.5 million, total expenditure was €69.5 million and net assets were €165 million.

4.12 Financial and membership details of 45 Great Britain unions with 100 or more Northern Ireland members are given in Appendix 2. In 2016-17, 173,100 Northern Ireland members of these unions contributed £23 million. The total income of these unions in the year was £1,042 million, total expenditure was £973 million and net assets were £868 million.

4.13 Membership details of a further 33 Great Britain based trade unions with under 100 Northern Ireland members are listed in Appendix 3. This records a total of 974 Northern Ireland members contributing £153,632. In 2016-17 the total income of these unions was £18 million, total expenditure was £17 million and net assets were £23 million.

Employers' associations - membership and financial information

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

4.16 A summary of statistics on the membership and finances of 9 Northern Ireland employers' associations for 2016-17 is given in Appendix 4. These figures include both general funds and, where applicable, funds maintained for specific purposes. The total Northern Ireland membership of employers' associations since 2011 is outlined in Figure 4. In 2016–2017 the total income of these organisations was £6.7 million, expenditure was £6.5 million and net assets were £12.5 million.

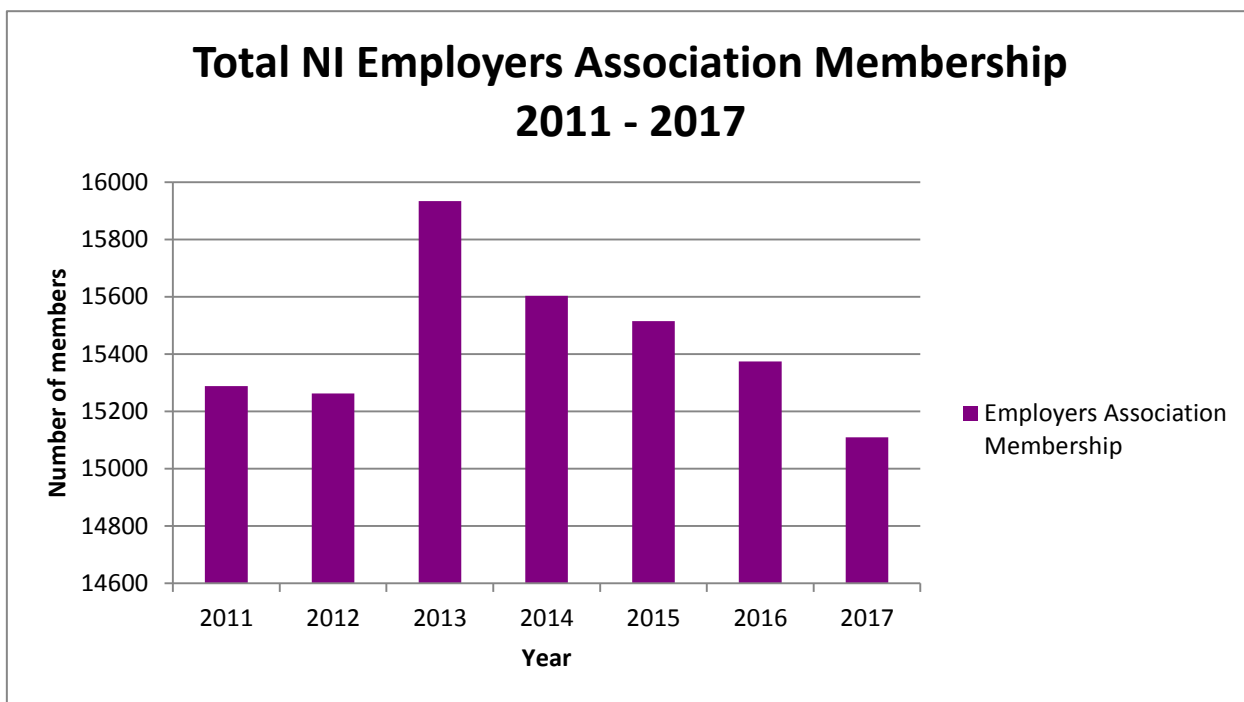


Figure 4.

4.17 Details of 31 Great Britain employers' associations with Northern Ireland members are given in Appendix 5. In 2016-17 these organisations received contributions amounting to £1.5 million from their Northern Ireland members. Their total income was £126 million, expenditure was £121 million, and net assets were £182 million.

SUPERANNUATION SCHEMES

It is a legal requirement that any superannuation scheme maintained by a trade union or an employers' association for the benefit of members be actuarially examined at least every five years and a copy of the actuary's report 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 Schedule 1 to the 1992 Order requires that any superannuation scheme maintained by a Northern Ireland based trade union or employers' association¹ 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 she may specify. The Certification Officer also has power to exempt a members' superannuation scheme from actuarial examination if it applies only to a small number of members or for any other special reasons. 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 trade union or employers' association must supply a copy of any actuarial report made under Schedule 1 free of charge to any member on request.
- 5.2 Schedule 1 requires that the report by the actuary following his or her examination of any scheme shall state whether in his or her 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.

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

Schemes maintained - Northern Ireland

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

Schemes maintained – Great Britain

5.4 Three Great Britain based trade unions which have Northern Ireland members maintained members' superannuation schemes at 31 March 2017:

- General Municipal Boilermakers (GMB);
- National Union of Rail, Maritime and Transport Workers (RMT),
- Unite the Union (6 schemes).

5.5 No Great Britain based employers' association operated a members' superannuation scheme.

Actuarial reports

5.6 The Great Britain Certification Officer was due and received three actuarial reports during this reporting period from Great Britain based trade unions with Northern Ireland members. The actuarial reports were on the Unite the Union BAeSSA Superannuation Fund – a members' superannuation scheme operated by Unite the Union, the RMT Orphan Fund operated by the National Union of Rail, Maritime and Transport Workers and the GMB – BMS Section Members' Superannuation Fund operated by the GMB. There were no outstanding reports due at the end of the period. Unite the Union – AEEU Section Superannuation Fund is due to provide an actuarial report in the following period. This scheme is due to report to the Certification Officer by 31 December 2017.

MERGERS

Mergers between trade unions and between unincorporated employers' associations must be conducted under the relevant statutory procedures, which include a ballot of members. The 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, as amended, lay down procedures governing two types of merger between trade unions and between unincorporated employers' associations. The procedures apply, with certain modifications, to mergers between Northern Ireland organisations and organisations in Great Britain and to both listed and unlisted organisations. Their main purposes are to facilitate the merger process and, at the same time, to safeguard the rights of members affected by the terms of a merger by ensuring that they are fully informed about the proposal and have the opportunity to vote on it.
- 6.2 The two types of merger are a *transfer of engagements* and an *amalgamation*. Under a transfer of engagements a transferring organisation loses its legal identity whilst the organisation to which it transfers continues in being with its legal identity unchanged. An amalgamation produces a new organisation replacing 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 who must approve them before a ballot of members on the merger proposal can be held. The statutory fee payable for approval of the instrument is shown in Appendix 9.

6.4 Ballots must be postal¹ 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. 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 voting 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 (see paragraph 6.9 below).

6.5 In a transfer of engagements, only the members of the transferring organisation vote on the instrument of transfer. In an amalgamation, the members of each amalgamating organisation vote. If the required majority of votes recorded in the ballot is in favour of the transfer or amalgamation, an application to register the instrument may be made to the Certification Officer. Before making such an application, the union must send a copy of the scrutineer's report to every member, or notify them 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 transfer or amalgamation.

6.6 An interval of six weeks must elapse between the application for registration of an instrument and registration itself; and before the expiry of the six week period any member of a 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 has not been observed. If, after giving the parties an opportunity to be heard, the Certification Officer finds the complaint justified, she must make a declaration to that effect, and she may make an order specifying the steps which must be taken before she 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.

¹The 1995 Order provides that a trade union member may for reasons of personal safety request his union to send him a voting paper by some means other than post.

6.7 Article 82A of the 1995 Order provides for automatic listing of a new organisation formed by the amalgamation of organisations on the list at the time of amalgamation (see paragraph 1.7), and for automatic issue of a certificate of independence to a new union formed by amalgamation of unions which held a certificate at the time of amalgamation (see Chapter 2, paragraph 2.5).

6.8 Formal documents kept by the Certification Officer relating to mergers under the 1995 Order are available for public inspection. The statutory fee payable is shown in Appendix 9.

Advice on procedures

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

Mergers proposed or completed

6.10 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.

Mergers of Great Britain unions with Northern Ireland members

6.11 During this reporting period, there were three registered transfers of engagements involving Great Britain based unions with Northern Ireland members; these were:

- Broadcasting, Entertainment, Cinematograph and Theatre Union to Prospect;
- UFS to Community; and
- Union of Construction, Allied Trades and Technicians to Unite the Union.

Full details have been given in paragraph 1.10 of this report.

POLITICAL FUNDS

The 1995 Order enables trade unions and unincorporated employers' associations to establish separate funds for the furtherance of political objects. They can only do so if a resolution adopting the political objects has been passed by a ballot of the members. The Certification Officer is the statutory authority for approving the establishment and continuance of such funds. This chapter explains the statutory provisions, including those relating to the exemption of Northern Ireland members and to complaints by trade union members about breaches of political fund rules.

The statutory provisions for Northern Ireland organisations

General

- 7.1 A trade union or an unincorporated employers' association, whether listed or not, can include the furtherance of political objects among its objects. A resolution to adopt political objects ("a political resolution") must be passed by the members in a postal¹ ballot held under rules ("political ballot rules") which have been approved by the Certification Officer. An independent scrutineer must be appointed to oversee the ballot. If political objects are adopted, rules governing the expenditure of funds on them must also be adopted. These "political fund rules" must be approved by the Certification Officer.
- 7.2 Trade unions and employers' associations are required to periodically renew their authority to spend money on political objects. They must pass a political resolution by ballot of their members ("a review ballot") at least once in every 10 years. Each new ballot must be held in accordance with rules approved by the Certification Officer.

Exemption

"Contracting-in"

- 7.3 Unlike members of trade unions and employers' associations in Great Britain, members in Northern Ireland must provide a written authority (Article 59(1) of the 1995 Order) to their organisation before any contribution to the political fund may be taken from them, whether by way of deduction from their normal membership subscription or through a separate levy. This statutory requirement is colloquially known as "contracting-in". The rules of trade unions and employers' associations must provide for each member to know what portion, if any, of his or her normal contribution is a contribution to the political fund. These rules must be approved by the Certification Office.

¹ See footnote to Chapter 6.

7.4 A member who does not “contract-in” to the political fund is exempt from contributing to it and any deduction or levy for that purpose would be unlawful. Any Northern Ireland member of a trade union or employers’ association who believes an unauthorised deduction or levy has been made may complain to the Certification Officer.

7.5 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.

“Contracting-out”

7.6 Any member who having initially “contracted-in” to a political fund wishes subsequently to “contract-out” of it must give a written “notice of withdrawal” (Article 59(2) of the 1995 Order). This may be delivered at the head office or a branch office of the organisation by the member in person or by any authorised agent or by post. The withdrawal takes effect from the 1 January next following the giving of the notice. If any deduction is made after that date the member may complain to the Certification Officer.

Great Britain and Republic of Ireland organisations

7.7 The statutory requirement that Northern Ireland members of trade unions and unincorporated employers’ associations must “contract-in” to a political fund applies regardless of where their organisation is headquartered. The requirements and conditions outlined in paragraphs 7.3 to 7.6 therefore apply also to Northern Ireland members of trade unions and employers’ associations headquartered in Great Britain or the Republic of Ireland.

7.8 Two Republic of Ireland trade unions with Northern Ireland 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 take political fund contributions from Northern Ireland members.

Political fund model rule for Great Britain organisations

7.9 A political fund model rule covering Northern Ireland members has been agreed with the Great Britain Certification Officer for use by Great Britain based unions. It is included in the booklet *“Guidance for trade unions and employers’ associations wishing to establish a political fund”* issued by the Great Britain Certification Office. Approval for use of the model rule, and for any proposed amendment of it, must be obtained from the Northern Ireland Certification Officer before any lawful political fund contribution may be levied on a Northern Ireland member, even if the member has provided a written authority. Great Britain trade unions and employers’ associations which are intending to adopt or amend the model rule should contact the Northern Ireland Certification Office in advance.

Complaints

7.10 Any member of a trade union or employers’ association who considers that its political fund rules have been breached may complain to the Certification Officer. If, after investigating the complaint, the Certification Officer considers that a breach has occurred, she may make an order requiring the organisation to remedy it.

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

7.12 A member who claims that money has been spent on political objects without a political fund resolution being in force or without approved political fund rules may apply to the Certification Officer for a declaration to that effect. If the Certification Officer makes a declaration she may also make such order for remedying the breach as she thinks just in the circumstances. Appeals against decisions of the Certification Officer may be made to the Court of Appeal on a question of law.

7.13 As mentioned earlier, Northern Ireland members who consider that political fund contributions are being taken from them without their written authority may complain to the Certification Officer. If she upholds a complaint, the Certification Officer may make an order to remedy the breach. Appeal is as in paragraph 7.12 above.

7.14 Northern Ireland members of a Great Britain headquartered trade union or employers' association who consider that its political fund rules have been breached, other than in relation to their political fund contributions, may complain to the Great Britain Certification Officer, Certification Office, Lower Ground Floor, Fleetbank House, 2-6 Salisbury Square, London EC4Y 8JX. Enquiries should be made to this Office, tel: 0330 109 3602, e-mail: info@certoffice.org.

Advice on procedures

7.15 On request, the Office will give advice on the procedures for establishing political funds and for holding review ballots. Guidance booklets which include model rules are available free of charge from the Office. A 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

7.16 No Northern Ireland organisation had political fund rules in force at 31 March 2017.

Great Britain organisations with political fund rules approved by the Northern Ireland Certification Officer

7.17 There were 18 Great Britain trade unions with Northern Ireland members operating political funds at 31 March 2017. This is a decrease of two from the number that was reported last year. This is because the Broadcasting, Entertainment, Cinematograph and Theatre Union (BECTU) ceased to exist as a result of its transfer of engagements to Prospect and the Union of Construction, Allied Trades and Technicians (UCATT) ceased to exist as a result of its transfer to Unite the Union. Of these, 16 had Northern Ireland members "contracting-in".

7.18 The 2016 returns show that 35,257 recorded Northern Ireland members of these trade unions - representing some 26.4% of the total Northern Ireland membership - contributed £113,733 towards political funds. A list of the 16 unions, showing the number of Northern Ireland members and the amount of their financial contributions, is given at Appendix 7. The two Great Britain unions whose Northern Ireland members did not contribute to their political funds in 2016 are listed in Appendix 8.

Great Britain organisations with new political fund rules approved for the first time in this reporting period

7.19 No new political funds were approved in 2016-17.

Amendments to rules of Great Britain organisations

7.20 Amendments to the political fund rules of Great Britain organisations require the approval of the Great Britain Certification Officer. To the extent that they relate to the contributions of Northern Ireland members, they also require the approval of the Northern Ireland Certification Officer. No trade union had amendments approved during 2016-17 by the Certification Officers except those applying as outlined in paragraph 7.21 below.

Requirements of the Trade Union Act 2016 in relation to political funds

7.21 The Trade Union Act 2016 (the 2016 Act) is to bring in new requirements as to political funds. Broadly this will mean that from 1 March 2018 new trade union members will be exempted from contributing to a political fund unless they have given notice of their willingness to contribute to that fund. A transition period began on 1 March 2017 which will end on 28 February 2018. This period is to enable trade unions to amend their rules to meet the requirements of the 2016 Act. As of 31 March 2017 six trade unions had submitted amended political fund rules for preliminary approval by the Certification Officers. Preliminary approval had been given to two of these unions.

Political fund review ballots held by Great Britain organisations

7.22 During the reporting period no Great Britain unions with Northern Ireland members held a political fund review ballot (see paragraph 7.20).

Political fund complaints by Northern Ireland members to the Great Britain Certification Officer

7.23 There were no such complaints in this reporting period.

SECRET POSTAL BALLOTS FOR TRADE UNION ELECTIONS

The 1995 Order requires that certain officers and all members of a trade union's executive committee must be elected by secret postal¹ ballot. No one may continue to hold one of those positions for more than five years without being re-elected. This chapter deals with the statutory provisions governing elections. As explained in Chapter 9, the Certification Officer also has powers to deal with breaches of a union's own rules governing elections and certain other matters.

The statutory provisions

- 8.1 A trade union must ensure that no one takes up a position as a member of its principal executive committee or as its president or general secretary, without having been elected to that position. 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 amalgamations, special register bodies, newly formed unions and officers nearing retirement. Elections must be by secret postal ballot of the members of the union, conducted in accordance with the provisions in the 1995 Order (Articles 12 to 28).
- 8.2 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. After giving the applicant and the union an opportunity to be heard, the Certification Officer may make or refuse the declaration asked for. Where she makes a declaration she must also, unless she considers it inappropriate, make an order imposing on the union one or more of the following requirements -
- (a) to hold the election 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 specified with a view to ensuring that a failure of the same or a similar kind does not occur in future.

¹ See footnote to Chapter 6.

Disclosure of applicant's identity, hearings, appeals, etc

- 8.3 Article 70 of the 1992 Order requires the Certification Officer to make provision about the disclosure or otherwise of the identity of an individual who has made, or is proposing to make, any application, or complaint.
- 8.4 The Certification Officer has accordingly made provision that the identity of an individual who makes or is proposing to make an application or complaint relating to a trade union will not generally be disclosed to the union unless or until the application or complaint is accepted. When an application or complaint is accepted, the Certification Officer will generally disclose the individual's identity to the union (and to such others as he thinks fit); unless she decides that the circumstances are such that it should not be disclosed. The Certification Officer makes that decision on a case by case basis. Fear of denigration will not of itself normally justify non-disclosure. The provision made by the Certification Officer under Article 70 of the 1992 Order is on the Office website: www.nicertoffice.org.uk.
- 8.5 When a hearing is held on any application or complaint, expenses incurred by applicants and their necessary witnesses in attending the hearing may in certain circumstances be reimbursed by the Office at the discretion of the Certification Officer. All hearings before the Certification Officer are held in public.
- 8.6 Appeals on any question of law arising in proceedings before, or from a determination by, the Certification Officer may be made to the Court of Appeal.
- 8.7 If the Certification Officer decides that there has been a breach of the statutory provisions she must state in her declaration any steps which the union has taken or has agreed to take to remedy the breach or prevent such a breach occurring in the future.

8.8 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, alleging the same failures which have been considered and determined by the High Court, 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 her notice.

Applications and decisions

8.9 During the period covered by this report the Certification Officer made no decisions relating to alleged breaches of the statutory provisions.

8.10 During this reporting period the Great Britain Certification Officer received multiple applications regarding the election of the General Secretary of Unison. These applications were outstanding at the end of this reporting period. The Great Britain Certification Officer made the following decision relating to elections in Great Britain trade unions with Northern Ireland members –

Henderson v GMB (D/39-43/15-16) The Certification Officer determined an application relating to the election of the General Secretary of the GMB. Mr Henderson alleged four breaches of Section 47(1) of the 1992 Act and one breach of the rules of the GMB. The Certification Officer dismissed all five complaints. Mr Henderson has appealed this decision to the EAT.

The full text of these decisions is available on the Great Britain Certification Office website: www.gov.uk/certificationofficer.

APPLICATIONS CONCERNING BREACHES OF TRADE UNION RULES

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 set out in Article 90A(2) of the 1995 Order may apply to the Certification Officer for a declaration to that effect. This chapter explains breach of rule applications and how they are dealt with.

The statutory provisions

- 9.1 Individual trade union members have the right to apply to the Certification Officer if they believe 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. These 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 or of any decision-making meeting; and
 - (e) such other matters as may be specified in an order made by the Department for the Economy.
- 9.2 The applicant must be a member of the union, or have been a member at the time of the alleged breach or threatened breach. 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.
- 9.3 The Certification Officer may refuse to accept an application if she is not satisfied that the applicant has taken all reasonable steps to resolve the claim by the use of any internal complaints procedure of the union.
- 9.4 If the Certification Officer accepts an application she must make such enquiries as she thinks fit and, before reaching a decision on the application, provide the applicant and the trade union with an opportunity to be heard. Article 70ZA of the 1992 Order gives the Certification Officer the power to strike out certain applications or complaints.

- 9.5 The Certification Officer must give reasons for her decision in writing and, where she makes a declaration that there has been a breach or threatened breach of rule, she is required to make an enforcement order unless she considers that to do so would be inappropriate. The enforcement order may impose on the union one or both 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; and
 - (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 (a) above, it must specify the period within which the union is to comply with the requirement.

- 9.6 An order made by the Certification Officer may be enforced (by any person who is a member of the union and was a member at the time the order was made) in the same way as an order of the High Court.
- 9.7 An appeal may be made to the Court of Appeal on any question of law arising in proceedings before, or from a determination by, the Certification Officer. Appeal is by way of notice of appeal and rehearing, under Order 59 of the Rules of the Supreme Court (Northern Ireland) 1980.

Applications and decisions

- 9.8 During the period of this report the Certification Officer issued five decisions on applications by five trade union members:-

Lilley v Unite the Union (D/10/16) Mr Lilley made one complaint under Article 90A of the 1995 Order alleging a breach of union rule relating to the inactivity and lack of accountability to members regarding a branch of the Union. The application was dismissed upon withdrawal by the applicant

McCrea v Unite the Union (D/11/16) Mr McCrea made one complaint under Article 90A of the 1995 Order alleging a breach of union rule relating to the inactivity and lack of accountability to members regarding a branch of the Union. The application was dismissed upon withdrawal by the applicant.

Murphy v Unite the Union (D/12/16) Mr Murphy made one complaint under Article 90A of the 1995 Order alleging a breach of union rule relating to the inactivity and lack of accountability to members regarding a branch of the Union. The application was dismissed upon withdrawal by the applicant.

Fleck v NIPSA (D/13/16) Ms Fleck made the following three complaints of breaches of Union rules under Article 90A (2) (a) of the 1995 Order relating to alleged unlawful removal from office, alleged unlawful expulsion from the Union and alleged defects in the proceedings of an executive or decision making body. The application was dismissed upon withdrawal by the applicant.

Mackle v NIPSA (D/14/16) Mr Mackle made the following three complaints of breaches of Union rules under Article 90A (2) (a) of the 1995 Order relating to alleged unlawful removal from office, alleged unlawful expulsion from the Union and alleged defects in the proceedings of an executive or decision making body. The application was dismissed upon withdrawal by the applicant.

9.9 Copies of the Certification Officer's decisions are available free of charge from the Office, and are published on the Office website: www.nicertoffice.org.uk.

9.10 The Certification Officer does not have power to determine every kind of complaint that a union member may wish to make. The jurisdiction of the Certification Officer is strictly defined by the statutory provisions. General grievances or complaints about a trade union may not fall within her jurisdiction and may not be accepted by her.

9.11 The Great Britain Certification Officer made the following decisions in cases of alleged breach of rule by Great Britain trade unions with Northern Ireland members:-

Chapman v Community (D/1-5/16-17) Mr Chapman made five complaints relating to disciplinary proceedings by the union. Mr Chapman alleged that the union breached a number of its own rules during disciplinary proceedings against him and in handling a complaint by him against another union member. The Certification Officer refused four of the claimant's applications but declared in the claimant's favour on the fifth complaint. The Certification Officer did not make an enforcement order.

Brough v UCATT (No 3) (D/6/16-17) Mr Brough made two complaints alleging the union had breached its rules relating to disciplinary matters. Following correspondence, the Certification Officer struck out both complaints under Section 256ZA(1) (a) of the Trade Union and Labour Relations (Consolidation) Act 1992 on the grounds that they had no reasonable prospect of success and/or were otherwise misconceived.

Beaumont v Unite the Union (No 5) (D/16-22/16-17) The claimant made seven complaints that the union had allegedly breached its rules in relation to eligibility to hold lay office on its Executive Council, and related issues. The Certification Officer dismissed all the complaints.

Abrahams & Ors v URTU (D/23-25/16-17) The applicants made three complaints relating to the 2016 Election for General Secretary of the union. These included two alleged breaches of Chapter IV of the Trade Union and Labour Relations (Consolidation) Act 1992 and one alleged breach of one of the union's rules. The Certification Officer upheld all three complaints and made a single enforcement order in relation to the breach of Section 47(1) of the 1992 Act.

Fernandez Castillio & Ors v Unite (D/35-39/16-17) The claimants made four complaints that the union breached its rules in relation to branch officer elections in the union's LE/2000 Branch and one complaint of a breach of Section 30 (2) of the 1992 Act in relation to the request for access to accounting records. The Certification Officer upheld one complaint of breach of rule and dismissed the other complaints. No enforcement order was made.

The full text of these decisions is available on the Great Britain Certification Office website www.gov.uk/certificationofficer.

PUBLIC INTEREST DISCLOSURES

The Certification Officer for Northern Ireland is authorised to receive information about fraud or other irregularities relating to the financial affairs of trade unions or employers' associations from "whistle-blowers" who are employees/workers of these organisations.

The statutory provisions

10.1 The Public Interest Disclosure (Northern Ireland) Order 1998 gives protection to workers who "blow the whistle" on wrongdoing. It makes it unlawful for employers to subject their employees/workers to a detriment if they make disclosures about certain types of wrongdoing to persons or bodies that are authorised to receive such information (known as "prescribed persons"). The Certification Officer for Northern Ireland is designated a prescribed person by the Public Interest Disclosure (Prescribed Persons) Order (Northern Ireland) 1999 (Statutory Rule No. 401). The relevant provisions of the Public Interest Disclosure Order are incorporated, by amendment, in Part VA of the Employment Rights (Northern Ireland) Order 1996. Disclosures to prescribed persons are covered at Article 67F of the latter Order.

10.2 The provisions of the Public Interest Disclosure Order apply only to employees or workers of trade unions or employers' associations. They do not apply to members of trade unions or employers' associations, unless those members are also employees of the organisation concerned. Members of trade unions or employers' associations who believe that there has been fraud or other misconduct in the management of their organisation's financial affairs may make a complaint to the Certification Officer under Article 12E of the Industrial Relations (NI) Order 1992.

10.3 For a disclosure to the Certification Officer to qualify for protection it must meet certain requirements. The employee/worker must:-

- (a) make the disclosure in good faith;
- (b) reasonably believe that the disclosure concerns the matters for which the Certification Officer is prescribed (i.e. fraud or other irregularities relating to the financial affairs of trade unions or employers' associations); and
- (c) reasonably believe that the information disclosed, and any allegation contained within it, are substantially true.

Advice on procedures

10.4 If you wish to make a protected disclosure to the Certification Officer about fraud or other irregularities in the financial affairs of the trade union or employers' association for which you work, you can contact the Office by e-mail: info@nicertoffice.org.uk

or by post at:

The Northern Ireland Certification Officer
for Trade Unions and Employers' Associations
10-16 Gordon Street
Belfast BT1 2LG

10.5 The Department for the Economy has produced a guide to the provisions of the Public Interest Disclosure Order, which can be downloaded at www.economy-ni.gov.uk. A guidance note is also available on the Northern Ireland Certification Officer's website www.nicertoffice.org.uk. Certification Office staff are also always available to offer advice on the statutory provisions relating to public interest disclosures.

Public interest disclosures

10.6 During the period of this report the Northern Ireland Certification Officer received no public interest disclosures from employees/workers of a trade union or employers' association.

APPENDICES
(SHOWING THE POSITION AT 31 DECEMBER 2016)

**APPENDIX 1 (SEE PARA 4.11) - (a) LIST OF NORTHERN IRELAND TRADE UNIONS (b) REPUBLIC OF IRELAND TRADE UNIONS WITH NI MEMBERS (AT 31 DECEMBER 2016
UNLESS OTHERWISE INDICATED)**

(a) List of Northern Ireland Unions	NI Members	Total Members (inc. Rol)	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
			£'s	£'s	£'s	£'s	£'s	£'s
Belfast Airport Police Association (March 17) *	16	16	1,860	1,872	483	25,736	26,156	420
Lough Neagh Fisherman's Association *	62	62	0	0	201	1,907	1,907	0
Northern Ireland Public Service Alliance*	42,016	42,016	4,167,570	4,184,187	8,081,203	2,373,651	3,836,338	1,462,687
Ulster Teachers Union*	6,203	6,242	670,281	707,887	663,895	1,097,592	1,145,541	47,949
TOTALS	48,297	48,336	4,839,711	4,893,946	8,745,782	3,498,886	5,009,942	1,511,056

(b) Republic of Ireland Unions	NI Members	Total Members	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
			£'s	€000's	€000's	€000's	€000's	€000's
Financial Services Union*	3,388	13,266	921,115	5,425,004	5,742,873	37,095,579	42,298,431	5,202,852
Irish National Teachers' Organisation *	7,019	42,604	1,224,669	13,867,765	11,828,287	12,059,314	21,859,810	9,800,496
IMPACT*	53	56,706	10,919	16,887,440	18,841,294	71,167,594	74,043,203	2,875,609
Independent Workers Union*	135	1,033	3,423	110,826	103,977	0	25,977	25,977
Services, Industrial, Professional & Technical Union *	2,262	209,085	198,731	33,211,788	33,026,385	44,684,339	48,872,991	4,188,652
TOTALS	12,857	322,694	2,358,857	69,502,823	69,542,816	165,006,826	187,100,412	22,093,586
(c) Schedule of unlisted Trade Unions								
Irish Congress of Trade Unions ²	196,928	723,976	0	3,945,512	4,062,269	1,295,891	3,412,452	2,116,561
TOTALS								

* Denotes a trade union holding a Certificate of Independence at 31 December 2017

² See Paragraph 1.19 [The total membership shown covers fifty unions recorded as affiliated to the ICTU in 2016, headquartered in NI, ROI and GB]

APPENDIX 2 (SEE PARA 4.12) - GB TRADE UNIONS WITH 100 OR MORE NI MEMBERS - AT 31 DECEMBER 2016 (UNLESS OTHERWISE INDICATED)

	NI Members	GB Members	Rol Members	Elsewhere (incl. Channel Islands)	NI Subscription Contributions £'s	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
ACCORD	1,720	21,485	2	8	131,532	2,758,384	2,472,554	5,627,883	5,844,863	2,16,980
Advance	319	6,562	3	12	24,254	857,705	531,831	2,369,587	2,445,246	75,659
Aegis the Union (June 16)	150	4,687			8,500	804,823	809,162	634,360	693,478	59,118
Association of Educational Psychologists	117	3,255	5	17	30,327	1,011,363	1,015,440	1,340,889	1,485,897	145,008
Association of School and College Leaders	171	17,889	1	76	52,305	6,240,866	6,602,904	3,293,049	4,682,105	1,389,056
Association of Teachers and Lecturers	4,468	187,486	28	664	345,996	17,642,000	17,138,000	21,143,000	25,589,000	4,446,000
Bakers, Food & Allied Workers Union	610	18,059	385		79,130	3,243,257	4,584,853	-2,984,333	2,193,832	5,178,165
British Airline Pilots' Association	219	12,496	88	1,074	95,453	7,455,241	5,659,960	13,546,694	14,191,970	645,276
British Association of Occupational Therapists Ltd	1,035	30,004	64	155	253,649	7,856,713	7,856,713	0	702,053	702,053
British Dental Association	750	17,642		127	282,230	15,905,994	15,884,582	-2,761,270	7,775,204	10,536,474
British Dietetic Association (Feb 17)	294	8,411	47	116	11,998	243,481	243,481	361,913	362,488	575
British Medical Association	5,585	153,222	140	2,761	1,556,148	136,011,000	-26,190,000	78,092,000	174,438,000	96,346,000
Broadcasting, Entertainment, Cinematograph and Theatre Union (Final Return)	457	27,218	38		68,550	5,229,278	8,366,594	-4,657,903	5,324,259	9,982,162
Chartered Society of Physiotherapy	1,877	52,912	197	1,057	511,434	18,260,555	24,232,599	2,051,593	24,291,461	22,239,868
Community	176	23,299			23,178	14,387,000	13,522,000	72,044,000	91,853,000	19,809,000

APPENDIX 2 (SEE PARA 4.12) - GB TRADE UNIONS WITH 100 OR MORE NI MEMBERS - AT 31 DECEMBER 2016 (UNLESS OTHERWISE INDICATED)

	NI Members	GB Members	NI Members	Elsewhere (incl. Channel Islands)	Subscription Contributions £'s	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
Communication Workers' Union	4726	185,514	388	668,703	31,006,195	36,366,574	21,460,285	45,423,449	23,963,164	
Equity	432	40545	96	53,534	99,32,809	10,061,589	11,947,292	28,638,059	16,690,767	
FDA	313	15,835	356	62,714	4,355,650	5,122,514	2,397,592	10,261,083	7,863,491	
Fire Brigades Union	1,644	32,198	391,408	11,077,610	12,163,607	5,677,297	10,281,830	4,604,533		
GMB	12,045	604,379	314	1,366,909	93,577,000	60,129,000	93,586,000	99,839,000	6,253,000	
Hospitals Consultants and Specialists Association (Sep16)	134	2,868	33,500	691,608	707,117	765,125	786,481	21,356		
Musicians' Union	286	30,197	14	53,953	9,207,629	9,280,827	17,543,503	18,560,300	1,016,797	
National Association of Schoolmasters Union of Women Teachers (NASUWT)	12,107	304,458	2,135	1,568,428	33,132,616	29,901,845	37,269,436	56,521,886	19,252,450	
National Association of Head Teachers	932	40,116	980	223,088	10,372,000	11,796,000	5,172,000	5,656,000	484,000	
National Union of Journalists	837	23,451	2,544	157,000	8,121,822	8,973,153	1,051,878	13,641,852	12,589,974	
National Union of Rail, Maritime & Transport Workers	106	78,560	71	25,309	21,639,000	27,340,000	41,888,000	57,753,000	15,865,000	
Nationwide Group Staff Union	164	12,476	15,555	1,408,450	1,266,052	1,285,541	1,432,668	147,127		
Nautilus International	310	13,000	283	7,239	7,855,946	6,651,701	17,079,597	19,257,184	2,177,587	
PDA Union	491	25,105	7,365	389,118	365,139	138,418	357,730	219,312		
POA	1,185	28,836	201,289	4,861,883	4,987,852	4,408,133	5,076,354	668,221		

APPENDIX 2 (SEE PARA 4.12) - GB TRADE UNIONS WITH 100 OR MORE NI MEMBERS - AT 31 DECEMBER 2016 (UNLESS OTHERWISE INDICATED)

	NI Members	GB Members	Rol Members	Elsewhere (incl. Channel Islands)	NI Subscription Contributions £'s	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
Prospect	1,668	106,075	15	4,818	229,000	19,043,000	34,116,000	18,700,000	46,019,000	27,319,000
Public and Commercial Services Union	1,595	183,981		209	183,097	39,816,746	46,263,782	8,972,065	24,022,683	15,050,618
Royal College of Midwives	1,643	44,849	13	354	325,208	9,846,174	8,958,065	6,150,517	6,955,339	804,822
Royal College of Nursing of the UK	14,378	435,461	505	2,325	2,435,140	51,331,000	44,173,000	32,979,000	43,461,000	10,482,000
Society of Chiropractors & Podiatrists	465	8,660	147	230	179,041	4,437,739	5,104,688	5,203,841	6,465,821	1,261,980
Society of Radiographers	915	25,480	20	241	209,238	6,949,324	7,171,000	3,473,245	5,155,481	1,682,236
The Social Workers Union (Sept 16)	178	9,677			2,426	134,306	48,252	86,054	86,054	0
Transport Salaried Staff Association	296	17,588	610		5,446	5,537,082	5,537,082	25,013,309	26,462,690	1,449,381
Union of Construction Allied Trades & Technicians (Final return)	524	50,149			42,428	4,905,000	9,716,000	1,191,000	8,804,000	7,613,000
Union of Shop, Distributive and Allied Workers	18,026	416,763			1,499,000	46,242,000	40,831,000	36,838,000	87,168,000	50,330,000
UNISON	37,579	1,212,894			3,808,937	173,042,000	263,099,000	53,486,000	262,986,000	209,500,000
Unite the Union	38,927	1,203,501	25,109	15,134	5,060,000	183,833,000	175,367,000	205,110,000	323,651,000	118,541,000
University and College Union (Aug 16)	3,246	101,131	16	119	633,001	21,248,817	24,893,686	19,337,594	36,926,982	17,589,388
TOTALS	173,100	5,838,374	30,755	43,037	22,985,087	1,041,970,375	973,122,198	868,312,184	1,613,523,782	745,211,598

APPENDIX 3 (SEE PARA 4.13) - GB TRADE UNIONS WITH UNDER 100 NI MEMBERS - AT 31 DECEMBER 2016 (UNLESS OTHERWISE INDICATED)

ORGANISATION	NI Members	GB Members	ROI Members	Elsewhere (incl. Channel Islands)	NI Subscriptions Contributions £'s	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
Affinity	14	30,122	2	634	1,544	2,778,842	2,744,699	1,425,487	1,622,228	196,741
Association for Clinical Biochemistry & Laboratory Medicine	40	1,230	46	112	7,511	1,000,416	946,270	2,559,592	3,074,856	515,264
Association of Revenue and Customs	78	2,292		3	18,924	215,259	187,536	309,799	321,643	11,844
Boots Pharmacist Association	60	1,193			5,040	100,025	98,343	24,377	37,327	12,950
British Association of Dental Nurses	75	8,402	1	26	3,195	368,206	226,998	398,467	413,960	15,493
British Association of Journalists	1	773	19		126	109,409	111,516	3,932	16,998	13,066
British Orthoptic Society Trade Union	25	964	36		1,702	75,000	79,172	23,635	23,635	0
Currys Supply Chain Staff Assoc. (CSCSA) (April 17)	26	3,730	15	0		308,989	308,989	0	19,441	-19,441
Guild of Professional Teachers of Dance, Movement to Music & Dramatic Arts	47	763	15	0	2,820	50,589	52,847	87,906	92,283	4,377
Headmasters and Headmistresses Conference (Mar 17)	8	275	3	58	31,524	3,002,664	2,606,561	4,848,940	6,034,452	1,185,512
Immigration Service Union (ISU)	42	2,847		89	4,956	348,641	366,488	983,207	1,018,195	34,988
Independent Democratic Union	23	6,009			2,098	532,357	583,731	597,526	829,307	231,781
Independent Pilots Association (Jun 16)	11	583		29	2,780	90,740	81,363	56,537	123,147	65,190
Institute of Journalists	8	900	19	154	1,365	69,300	67,840	21,022	22,637	1,615
Leeds Building Society Staff Association	2	683	2	1	20	12,895	5,509	65,550	68,364	2,814
National Association of Co-Operative Officials	3	1,218		20	683	402,149	448,355	1,042,654	1,082,819	40,165
National Association of Group Secretaries to NFU (Oct 16)	53	540			12,120	238,350	209,453	240,678	289,696	49,018

APPENDIX 3 (SEE PARA 4.13) - GB TRADE UNIONS WITH UNDER 100 NI MEMBERS - AT 31 DECEMBER 2016 (UNLESS OTHERWISE INDICATED)

ORGANISATION	NI Members	GB Members	ROI Members	Elsewhere (incl. Channel Islands)	NI Subscription Contributions £'s	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
National Crime Officers Association	68	2,218		48	1,010	348,889	317,805	84,222	102,429	18,207
National House Building Council Staff Association	17	714		1	432	17,188	12,433	108,533	112,129	3,576
National Association of Probation Officers	90	5,171			24,856	1,220,598	1,515,180	1,283,649	1,380,748	97,099
National Society for Education in Art and Design (Sept 16)	14	1,899	6	46	819	257,047	258,120	74,583	299,068	224,485
Prison Governors' Association	36	983		4	5,904	163,376	153,631	201,457	211,536	10,079
R&C Trade Union	3	97			642	21,534	27,855	-6,321	846	7,167
Retained Firefighters Union	32	2,015			2,709	214,978	132,405	200,073	206,724	6,651
Royal Society for Protection of Birds Staff Association (Mar 17)	33	1,117			396	24,836	23,761	97,011	97,011	0
Sales Staff Association	11	181			660	17,737	12,331	147,944	153,108	5,164
Society of Authors	59	9,001	75	703	5,369	1,386,804	1,304,502	4,189,245	5,294,577	1,105,332
Society of Union Employees	4	358			491	38,860	16,766	132,650	135,632	2,982
Solidarity	4	168			312	19,224	18,855	-1,845	373	2,218
UFS (Final Return)	17	1,577		3	2,239	608,618	510,363	256,034	285,228	29,194
United Road Transport Union	20	10,138			3,657	1,593,061	1,570,730	1,695,598	2,031,898	336,300
Voice	38	21,461		23	6,312	1,869,369	1,954,731	1,116,070	1,381,899	265,829
Writers Guild of Great Britain	12	2,106	7	61	1,416	708,113	427,776	455,430	593,427	137,997
TOTALS	974	121,728	246	2,015	153,632	18,214,063	17,382,914	22,723,642	27,377,621	4,613,657

APPENDIX 5 (SEE PARA 4.16) - GB EMPLOYERS' ASSOCIATIONS WITH NI MEMBERS - 31 DECEMBER 2016 (UNLESS OTHERWISE INDICATED)

GB EMPLOYERS' ASSOCIATIONS WITH NI MEMBERS	NI		GB	ROI		Elsewhere	Contributions		NI	Total		Total	Total	Funds at the End of the Year	Total Assets at the End of the Year	Total Liabilities at the End of the Year
	Members	Members		Members	Members		£	£		Income £000's	Expenditure £000's					
Association of Circus Proprietors	1	16					2,000	17		28,320	26,485	11,359	14,629	3,270		
Assoc of Newspaper & Magazine Wholesalers (March 17)	1	2		3			3,134	6		125,203	124,899	47,811	127,419	79,608		
British Amusement Catering Trade Association (June 16)	8	489					7,029	497		869,239	1,859,728	17,323,414	25,191,793	7,868,379		
BFM Ltd	1	135		1			472	137		406,965	428,859	3,891,294	4,111,411	220,117		
British Allied Trades Federation	24	2,995		41			8,632	3,086		5,399,312	2,549,200	14,774,266	17,575,666	2,801,400		
British Printing Industries Federation Limited (March 17)	26	1,108		1			66,480	1,136		2,287,925	2,287,925	0	515,880	515,880		
Builders Merchants Federation (March 17)	12	563		5			20,572	580		2,549,705	1,807,388	4,147,969	5,816,575	1,668,606		
Building & Engineering Services Association (Feb 17)	40	1,199		1			137,118	1,240		9,899,033	14,925,771	1,353,517	19,850,733	18,497,216		
Construction Plant Hire Association (June 16)	11	1,596		5			5,752	1,614		1,237,962	1,039,688	2,780,963	3,187,479	406,516		
Dairy UK Limited	5	213		2			112,930	220		1,998,584	2,233,257	7,273,824	9,088,078	1,814,254		
Electrical Contractors' Association	23	2,671		1			55,000	2,730		25,283,103	24,793,871	50,948,396	90,403,882	39,455,486		
Engineering Construction Industry Association	1	195		7			1,930	203		2,595,776	2,398,393	5,214,550	6,896,436	1,681,886		
Federation of Master Builders	252	7,897					124,645	8,149		4,775,967	4,814,420	8,047,169	10,081,674	2,034,505		
Federation of Window Cleaners	20	910		1			2,144	932		155,640	118,839	357,714	445,430	87,716		
Fencing Contractors Association Ltd	1	119					1,156	120		98,285	97,179	51,876	65,502	13,626		
Freight Transport Association	394	15,588		12			488,998	16,007		28,051,000	27,462,000	4,063,000	13,685,000	9,622,000		
Glass & Glazing Federation	5	408		13			6,451	426		6,883,634	3,801,241	10,837,620	12,824,047	1,986,427		

APPENDIX 5 (SEE PARA 4.16) - GB EMPLOYERS' ASSOCIATIONS WITH NI MEMBERS - 31 DECEMBER 2016 (UNLESS OTHERWISE INDICATED)

GB EMPLOYERS' ASSOCIATIONS WITH NI MEMBERS	NI Members		GB Members		ROI	Elsewhere	Contributions	NI £ (incl. Channel Islands and Rol)	Total Members	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
	NI Members	GB Members	NI Members	GB Members										
National Federation of Retail Newsagents	597	13,411	294	44	167,135	14,346	4,587,273	4,301,330	8,011,016	8,849,655	838,639			
National Federation of Roofing Contractors Ltd (Final Return) *	24				743									
National Hairdressers' Federation Ltd	16	5,222	2	31	3,613	5,271	1,805,866	1,538,485	3,185,479	3,562,424	376,945			
Producers Alliance for Cinema and Television Ltd	17	510			12,495	527	2,753,972	2,768,193	2,189,035	3,530,149	1,341,114			
Radio, Electrical and Television Retailers' Association	47	741			12,242	788	614,675	564,481	1,832,589	1,900,807	68,218			
Road Haulage Association Ltd	180	6,744	10	7	106,564	6,941	10,000,006	9,360,110	3,725,801	6,377,161	2,651,360			
Scottish & NI Plumbing Employers' Association	69	688			38,853	757	865,564	971,609	1,733,272	1,934,815	201,543			
Scottish Association of Master Bakers	1	288			183	289	1,968,001	1,767,729	2,708,632	3,065,853	357,221			
Retail Motor Industry Fed Ltd	323	10,445			55,508	10,768	7,821,000	6,116,000	24,367,000	29,045,000	4,678,000			
UK Theatre Association	2	241			5,555	243	901,506	917,615	326,958	740,201	413,243			
Thermal Insulation Contractors' Association	2	260		1	1,690	263	1,408,400	1,302,994	1,652,674	2,068,269	415,595			
UK Cinema Association Ltd	7	143			8,200	150	431,062	509,380	239,412	1,368,614	1,129,202			
TOTALS	2,110	74,797	385	175	1,457,223	77,443	125,802,978	120,887,069	181,096,610	280,256,313	101,226,972			

* Complete final return not received for period 1 February to 26 April 2016 (see Paragraph 3.9)

**APPENDIX 6 (PARA 4.3) – SALARY AND BENEFITS OF THE CHIEF OFFICERS OF TRADE UNIONS WITH NI MEMBERS –
AT 31 DECEMBER 2016 (UNLESS OTHERWISE INDICATED)**

NORTHERN IRELAND	OFFICE HELD	SALARY	BENEFITS
		£'s	(Excluding NI Contributions) £'s
Belfast Airport Police Association	Chairman	Nil	Nil
Lough Neagh Fishermen's Association	General Secretary	Nil	Nil
Northern Ireland Public Service Alliance	General Secretary ^(to Jan 2016)	1,638	644
	General Secretary ^(from Jan 2016)	56,213	22,091
Ulster Teachers' Union	General Secretary	40,870	35,459
REPUBLIC OF IRELAND	OFFICE HELD	SALARY	BENEFITS
		€'s	(Excluding PRSI) €'s
Financial Services Union	General Secretary	135,104	66,654
Irish Congress of Trade Unions	General Secretary	Nil	Nil
IMPACT	General Secretary	152,062	51,860
Irish National Teachers' Organisation	General Secretary	143,535	52,964
	General Treasurer	106,526	39,308
Services, Industrial, Professional & Technical Union (SIP)	General Secretary	108,384	5,120
Independent Workers Union	National Secretary	Nil	Nil
GREAT BRITAIN	OFFICE HELD	SALARY	BENEFITS
		£'s	(Excluding NI Contributions) £'s
Accord	General Secretary	118,518	20,828
Advance	General Secretary	15,699	3,959
Aegis the Union ^(30/6/16)	General Secretary	65,414	12,736
Affinity	General Secretary	84,000	29,250
Association for Clinical Biochemistry & Laboratory Medicine	General Secretary	Nil	Nil
Association of Educational Psychologists	General Secretary	65,132	7,040
Association of Revenue and Customs	President	Nil	Nil
Association of Schools and College Leaders (interim)	General Secretary	103,366	14,406
Association of Teachers & Lecturers	General Secretary	123,765	18,358
Bakers, Food & Allied Workers Union	General Secretary	47,384	16,708
	National President	47,384	18,487
Boots Pharmacists' Association (BPA)	Chief Executive	20,280	Nil
	Treasurer	6,300	Nil
British Airline Pilots Association	General Secretary	121,434	18,614
British Association of Dental Nurses	Chief Executive	Nil	Nil
British Association of Journalists	General Secretary	25,708	Nil
British Association of Occupational Therapists ^(30/9/16)	Chairman	Nil	Nil
British Dental Association ^(30/9/16)	General Secretary	75,000	Nil
British Dietetic Association ^(28/2/17)	Head of Employment Relations	46,556	6,216

**APPENDIX 6 (PARA 4.3) – SALARY AND BENEFITS OF THE CHIEF OFFICERS OF TRADE UNIONS WITH NI MEMBERS –
AT 31 DECEMBER 2016 (UNLESS OTHERWISE INDICATED)**

GREAT BRITAIN	OFFICE HELD	SALARY	BENEFITS
		£'s	(Excluding NI Contributions) £'s
British Medical Association	Chairman	40,348	Nil
British Orthoptic Society Trade Union	General Secretary	Nil	Nil
Broadcasting, Entertainment, Cinematograph & Theatre Union ^(Final return)	General Secretary	70,806	8,039
	Asst. General Secretary	61,999	7,040
	Asst. General Secretary	61,999	6,455
Chartered Society of Physiotherapy	Chief Executive	120,000	28,814
Communication Workers Union	General Secretary	89,933	26,640
Community	General Secretary	109,003	31,471
Curry's Supply Chain Staff Association	General Secretary	28,676	5,535
Equity	General Secretary	107,650	Nil
FDA	General Secretary	102,987	28,903
Fire Brigades Union	General Secretary	72,848	52,964
	Asst. General Secretary	73,945	50,702
GMB	General Secretary	81,000	24,000
Guild of Professional Teachers of Dance to Movement and Dramatic Arts	General Secretary	14,868	Nil
Headmasters & Headmistresses' Conference ^(31/3/17)	General Secretary	114,754	20,244
	Membership Sec	124,545	10,512
Hospital Consultants & Specialists Association ^(30/9/16)	Chief Executive	85,872	8,935
Immigration Service Union	General Secretary	66,001	Nil
Independent Pilot's Association	General Secretary	37,642	1,400
Independent Democratic Union	National Secretary	52,625	10,063
Institute of Journalists	General Secretary	37,089	2,776
Leeds Building Society Staff Association	General Secretary	Nil	Nil
Musicians Union	General Secretary	120,731	34,997
National Association of Co-operative Officials	General Secretary	66,003	25,077
National Association of Group Secretaries to the NFU	Chairman	8,496	Nil
		10,534	Nil
National Association of Head Teachers	General Secretary	138,214	23,334
National Crime Officers Association	President	34,186	Nil
	National Secretary	38,000	Nil
NAPO-The Trade Union and Professional Association for Family Court and Probation Staff	General Secretary	70,924	1,500
NASUWT	General Secretary	103,565	35,790
National House Building Council Staff Association	General Secretary	Nil	Nil
National Society for Education in Art & Design ^(30/9/16)	General Secretary	45,225	Nil
National Union of Journalists	General Secretary	67,660	7,229
National Union of Rail, Maritime & Transport Workers	General Secretary	98,086	39,263
	Sen Asst. Gen. Secretary	55,243	23,236
	Asst. Gen. Secretary	76,028	20,030
Nationwide Group Staff Union	General Secretary	125,988	27,027
Nautilus International	General Secretary	94,798	19,288

**APPENDIX 6 (PARA 4.3) – SALARY AND BENEFITS OF THE CHIEF OFFICERS OF TRADE UNIONS WITH NI MEMBERS –
AT 31 DECEMBER 2016 (UNLESS OTHERWISE INDICATED)**

GREAT BRITAIN	OFFICE HELD	SALARY	BENEFITS
		£'s	(Excluding NI Contributions) £'s
PDA Union	General Secretary	Nil	5,000
Prison Governors Association	General Secretary	Nil	Nil
POA	General Secretary	78,899	29,836
	Dep General Secretary	72,192	27,822
Prospect	General Secretary	112,000	17,000
Public and Commercial Services Union	General Secretary	93,810	13,978
	Asst. General Secretary	80,358	9,321
Retained Firefighters Union	Chief Executive	44,836	3,960
Royal College of Midwives	General Secretary	122,566	24,573
Royal College of Nursing of the UK ^(31/3/17)	Chief Executive	104,113	11,973
Royal Society for the Protection of Birds Staff Association ^(31/3/17)	Chairperson	1,200	Nil
Sales Staff Association	General Secretary	Nil	Nil
Society of Authors	Secretary	101,488	6,877
Society of Chiropractors and Podiatrists	General Secretary	128,045	10,243
Society of Radiographers	Chief Executive Officer	53,771	9,550
Society of Union Employees (UNISON) Solidarity	National Secretary	Nil	Nil
	General Secretary	7,432	706
Social Workers Union	General Secretary	11,429	5,417
Transport Salaried Staffs' Association	General Secretary	82,488	15,038
UCATT ^(Final return)	General Secretary	81,453	17,872
UFS ^(Final return)	General Secretary	83,197	11,847
UNISON	General Secretary	101,075	16,542
Unite the Union	General Secretary	74,802	15,717
Union of Shop, Distributive & Allied Workers	General Secretary	104,294	34,289
United Road Transport Union	General Secretary	61,697	53,891
University and College Union	General Secretary	104,440	21,137
Voice	General Secretary	64,652	1,853
Writers Guild of Great Britain	General Secretary	46,974	4,228

APPENDIX 7 (SEE PARA 7.18) - GREAT BRITAIN TRADE UNIONS WITH NORTHERN IRELAND MEMBERS WHO HAVE “CONTRACTED IN” TO POLITICAL FUNDS – AT 31 DECEMBER 2016 (UNLESS OTHERWISE INDICATED)

	NI Members Contracted-in	% of total NI Members	NI Contributions £
Association of Revenue and Customs	52	66.7%	156
Communication Workers Union	2,392	50.6%	24,972
Community	78	44.3%	814
Fire Brigades Union	754	45.9%	6,190
GMB	23	1%	176
Musician’s Union	39	13.6%	161
National Association of Schoolmasters Union of Women Teachers (NASUWT)	854	7.1%	989
National Union of Rail, Maritime and Transport Workers	91	85.8%	284
POA	1,185	100%	1,870
Prospect	284	17%	14
PCS	1,595	100%	568
Transport Salaried Staffs’ Association	173	58.4%	1,628
Union of Shop, Distributive and Allied Workers	7,131	39.6%	34,000
UNISON	4,951	13.2%	20,450
Unite the Union	15,023	38.6%	20,000
University and College Union	632	19.5%	1,461
TOTALS	35,257	26.4%	113,733

Bakers, Food and Allied Workers Union
Unity

APPENDIX 9 - STATUTORY FEES

Fees are set by the Department for the Economy. They were revised by the Certification Officer (Fees) Regulations (Northern Ireland) 2008 (SR 2002 No.95), under the powers conferred on the Department by Articles 5, 6 and 107 of the Industrial Relations (Northern Ireland) Order 1992 and Article 89 of the Trade Union and Labour Relations (Northern Ireland) Order 1995. The Regulations came into effect on 6 April 2008.

	Current Fee
Application for entry in the list of trade unions or the list of employers' associations	£45
Application for approval of change of name	£45
Application for a certificate of independence	£885
Application for a certificate of independence by an amalgamated trade union where each amalgamating union already had a certificate	£45
Application for formal approval of an instrument of transfer of engagements or an instrument of amalgamation	£1120
Inspection of merger documents	£45

APPENDIX 10 – CERTIFICATION OFFICE FORMS

TITLE OF FORM	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 transferring organisation in support of the registration of an instrument of transfer of engagements	CO(NI)11
Statutory declaration on behalf of the receiving 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

