

Trade Union's details

Name of Trade Union:

NATIONAL UNION OF MINeworkERS

Year ended:

31 December 2018

List number:

199T

Head or Main Office address:

Miners' Offices
2 Huddersfield Road
Barnsley
South Yorkshire
S70 2LS

Has the address changed during the year to which the return relates?

Yes

No



(Tick as appropriate)

Website address (if available)

www.num.org.uk

General Secretary:

Christian James Ronald Kitchen

Telephone Number:

01226 215555

Contact name for queries regarding the completion of this return:

Christian James Ronald Kitchen

Telephone Number:

01226 215555

E-mail:

chris.kitchen@num.org.uk

Please follow the guidance notes in the completion of this return. Any difficulties or problems in the completion of this return should be directed to the Certification Officer as below or by telephone to: 0330 109 3602.

The address to which returns and other documents should be sent are:

-For Unions based in England and Wales: Certification Office for Trade Unions and Employers' Associations, Lower Ground Floor, Fleetbank House, 2-6 Salisbury Square, London EC4Y 8JX.

-For Unions based in Scotland: Certification Office for Trade Unions and Employers' Associations, Melrose House, 69a George Street, Edinburgh EH2 2JG.



Return of members

(see notes 10 and 11)

Number of members at the end of the year					
	Great Britain	Northern Ireland	Irish Republic	Elsewhere Abroad (including Channel Islands)	Totals
Male	303				303
Female	8				8
Total	311				A 311

Number of members at end of year contributing to the General Fund

119

Number of members included in totals box 'A' above for whom no home or authorised address is held:

11

Change of officers

Please complete the following to record any changes of officers during the twelve months covered by this return.

Position held	Name of Officer ceasing to hold office	Name of Officer Appointed	Date of change

State whether the union is:

a. A branch of another trade union?

Yes

No

If yes, state the name of that other

b. A federation of trade unions?

Yes

No

If yes, state the number of affiliated

and names:

Officers in post

(see note 12)

Please insert a complete list of all officers in post at the end of the year to which this return relates.

Name of Officer	Position held
Nicolas Garson Wilson	President ¹
Christian James Ronald Kitchen	Secretary ¹
Wayne Thomas	National Executive Committee Member
Alan Cummings ²	National Executive Committee Member
Dennis Howard	National Executive Committee Member
Carl Parkinson	National Executive Committee Member
Alan Spencer	National Executive Committee Member
Ian Lavery MP	National Executive Committee Member ³
Sir David Hamilton	Trustee
Nigel Kemp	Trustee
Kenneth Robert Hollingsworth MBE	Trustee ¹

¹ Also National Executive Committee Member

² Resigned on 30 April 2019

³ National Executive Committee Member but not entitled to vote

General fund
(see notes 13 to 18)

	£	£
Income		
From Members: Contributions and Subscriptions		9,011
From Members: Other income from members (specify)		
Total other income from members		-
Total of all income from members		9,011
Investment income (as at page 12)		279,297
Other Income		
Income from Federations and other bodies (as at page 4)		
Income from any other sources (as at page 4)	33,251	
Total of other income (as at page 4)		33,251
		Total income
		321,559
Expenditure		
Benefits to members (as at page 5)	90,288	
Administrative expenses (as at page 10)	535,676	
Federation and other bodies (specify)		
TUC	888	
Other affiliations and Grants & donations	904	
Change in market value of investments	11,551	
Total expenditure Federation and other bodies		
Taxation		
		Total expenditure
		639,307
		Surplus (deficit) for year
		(317,748)
		Amount of general fund at beginning of year
		3,092,448
		Amount of general fund at end of year
		2,774,700

Analysis of income from federation and other bodies and other income
(see notes 19 and 20)

Description	£	£
Federation and other bodies		
Total federation and other bodies		
Other income		
Memorabilia	434	
Political Fund administration charge	500	
NUM Superannuation Fund administration charge	25,000	
Royal London Asset management rebate	3,765	
Gain on sale of investments	3,552	
Total other income		33,251
Total of all other income		33,251

Analysis of benefit expenditure shown at general fund

(see notes 21 to 23)

	£		£
Representation – Employment Related Issues		brought forward	
		Education and Training services	
Representation – Non Employment Related Issues			
Miners' Pension Scheme advice	23,298		
NUM Superannuation Fund advice	9,600	Negotiated Discount Services	
Communications			
		Salary Costs	
Advisory Services			
Member benefits & surgeries	8,705		
		Other Benefits and Grants (specify)	
		Superannuation benefits	17,950
Dispute Benefits		Fuel benefits	30,735
Other Cash Payments			
carried forward		Total (should agree with figure in General Fund)	90,288

Accounts other than the revenue account/general fund

[\(see notes 21 to 23\)](#)

Fund 2		Fund Account	
Name:	NUM Nottingham Area	£	£
Income			
	From members		1,357
	Investment income (as at page 12)		
	Other income (specify)		
	Donations	20,356	
	Total other income as specified		20,356
			Total income
			21,713
Expenditure			
	Benefits to members	3,182	
	Administrative expenses and other expenditure (at page 10)	18,475	
	Total Expenditure		21,657
	Surplus (Deficit) for the year		56
	Amount of fund at beginning of year		986
	Amount of fund at the end of year (as Balance Sheet)		1,042
	Number of members contributing at end of year		10

Fund 3		Fund Account	
Name:	NUM South Derbyshire Area	£	£
Income			
	From members		115
	Investment income (as at page 12)		
	Other income (specify)		
	Compensation received	400	
	Total other income as specified		400
			Total Income
			515
Expenditure			
	Benefits to members		
	Administrative expenses and other expenditure (as at page 10)	1,000	
	Total Expenditure		1,000
	Surplus (Deficit) for the year		(485)
	Amount of fund at beginning of year		31,014
	Amount of fund at the end of year (as Balance Sheet)		30,529
	Number of members contributing at end of year		NIL

[\(See notes 21 to 23\)](#)

Fund 4		Fund Account	
Name:	NUM Yorkshire Area	£	£
Income			
	From members		1,236
	Investment income (as at page 12)		
	Other income (specify)		
	Grant from Yorkshire Area Trust Fund	438,299	
	Total other income as specified		438,299
	Total Income		439,535
Expenditure			
	Benefits to members	42,058	
	Administrative expenses & other expenditure (as at page 10)	397,477	
	Total Expenditure		439,535
	Surplus (Deficit) for the year		Nil
	Amount of fund at beginning of year		Nil
	Amount of fund at the end of year (as Balance Sheet)		Nil
	Number of members contributing at end of year		207

Fund 5		Fund Account	
Name:	NUM Lancashire Area	£	£
Income			
	From members		604
	Investment income (as at page 12)		
	Other income (specify)		
	Total other income as specified		
	Total Income		604
Expenditure			
	Benefits to members		
	Administrative expenses and other expenditure (as at page 10)	604	
	Total Expenditure		604
	Surplus (Deficit) for the year		Nil
	Amount of fund at beginning of year		Nil
	Amount of fund at the end of year (as Balance Sheet)		Nil
	Number of members contributing at end of year		7

(See notes 21 to 23)

Fund 6		Fund Account	
Name:	NUM North East Area	£	£
Income			
	From members		998
	Investment income (as at page 12)		
	Other income (specify)		
	Transfer from NUM North East (list no. 1236T)	(15,890)	
		Total other income as specified	(15,890)
		Total Income	(14,892)
Expenditure			
	Benefits to members		
	Administrative expenses & other expenditure (as at page 10)	887	
		Total Expenditure	887
		Surplus (Deficit) for the year	(15,779)
		Amount of fund at beginning of year	Nil
		Amount of fund at the end of year (as Balance Sheet)	(15,779)
		Number of members contributing at end of year	10

Fund 7		Fund Account	
Name:	NUM Scotland Area	£	£
Income			
	From members		564
	Investment income (as at page 12)		
	Other income (specify):		
	Contribution from National Union of Mineworkers	28,720	
	Transfer from NUM Scotland (list no. 5080T)	25,369	
		Total other income as specified	54,089
		Total Income	54,653
Expenditure			
	Benefits to members	1,351	
	Administrative expenses & other expenditure (as at page 10)	32,070	
		Total Expenditure	33,421
		Surplus (Deficit) for the year	21,232
		Amount of fund at beginning of year	Nil
		Amount of fund at the end of year (as Balance Sheet)	21,232
		Number of members contributing at end of year	7

(See notes 21 to 23)

Fund 8		Fund Account	
Name:	Pension Reserve	£	£
Income			
	Employer contributions		160,000
	Other income (specify)		
	Interest on pension scheme assets	874,000	
	Actuarial gain	-	
	Change in impact on asset ceiling	292,000	
		Total other income as specified	1,166,000
		Total Income	1,326,000
Expenditure			
	Current service costs of Scheme	154,000	
	Administrative costs	400,000	
	Interest on pension scheme liabilities	815,000	
	Actuarial loss	64,000	
	Change in impact of asset ceiling	-	
	Interest on asset ceiling	38,000	
		Total Expenditure	1,471,000
		Surplus (Deficit) for the year	(145,000)
		Amount of fund at beginning of year	1,021,000
		Amount of fund at the end of year (as Balance Sheet)	876,000
		Number of members contributing at end of year	Not applicable

Political fund account

(see notes 24 to 33)

Political fund account 1		To be completed by trade unions which maintain their own political fund	
	Income	Members contributions and levies	£ 1,349
		Investment income (as at page 12)	£
		Other income (specify)	£
		Total other income as specified	
		Total income	1,349
Expenditure under section (82) of the Trade Union and Labour Relations (Consolidation) Act 1992 on purposes set out in section (72) (1) where consolidation of expenditures from the political funds exceeds £2,000 during the period			
	Expenditure A (as at page i)	£	1,256
	Expenditure B (as at page ii)	£	60
	Expenditure C (as at page iii)	£	
	Expenditure D (as at page iv)	£	
	Expenditure E (as at page v)	£	
	Expenditure F (as at page vi)	£	
	Non-political expenditure (as at page vii)	£	909
		Total expenditure	2,225
		Surplus (deficit) for year	(876)
		Amount of political fund at beginning of year	36,455
		Amount of political fund at the end of year (as Balance Sheet)	35,579
		Number of members at end of year contributing to the political fund	98
		Number of members at end of the year not contributing to the political fund	213
		Number of members at end of year who have completed an exemption notice and do not therefore contribute to the political fund	23
Political fund account 2		To be completed by trade unions which act as components of a central trade	
	Income	Contributions and levies collected from members on behalf of central political fund	£
		Funds received back from central political fund	£
		Other income (specify)	£
		Total other income as specified	
		Total income	
Expenditure	Expenditure under section 82 of the Trade Union and Labour Relations (Consolidation) Act 1992 (specify)	£	
	Administration expenses in connection with political objects (specify)	£	
	Non-political expenditure	£	
		Total expenditure	
		Surplus (deficit) for year	
		Amount held on behalf of trade union political fund at beginning of	
		Amount remitted to central political fund	
		Amount held on behalf of central political fund at end of year	
		Number of members at end of year contributing to the political fund	
		Number of members at end of the year not contributing to the political fund	
		Number of members at end of year who have completed an exemption notice and do not therefore contribute to the political fund	

The following pages 9i to 9vii relate to the Political Fund Account Expenditure

Political fund account expenditure (a)

Expenditure under section 72 (1) (a) of the Trade Union and Labour Relations (consolidation) Act.

To be completed where total expenditure from the political fund exceeds £2,000 during the period to which return relates.

Contribution to the funds of, or on the payment of expenses incurred directly or indirectly by a political party

Name of political party in relation to which money was expended	Total amount spent during the period £
Total	

Political fund account expenditure (b)

Expenditure under section 72 (1) (b) of the Trade Union and Labour Relations (Consolidation) Act.

To be completed where total expenditure from the political fund exceeds £2,000
during the period to which return relates.

Expenditure of money on the provision of any services or property for use
by or on behalf of any political party

Name of political party to which payment was made	Total amount paid during the period £
Total	

Political fund account expenditure (c)

Expenditure under section 72 (1) (c) of the Trade Union and Labour Relations (Consolidation) Act.

To be completed where total expenditure from the political fund exceeds £2,000
during the period to which return relates.

Expenditure in connection with the registration of electors, the candidature of any person, the selection of any candidate or the holding of any ballot by the union in connection with any election to a political office

Title and Date of election	Name of political party/organisation	Name of candidate, organisation or political party (see note 33(iii))	£
Total			

Political fund account expenditure (d)

Expenditure under section 72 (1) (d) of the Trade Union and Labour Relations (consolidation) Act.

To be completed where total expenditure from the political fund exceeds £2,000
during the period to which return relates.

Expenditure on the maintenance of any holder of political office
--

Name of office holder	£
Total	

Political fund account expenditure (e)

Expenditure under section 72 (1) (e) of the Trade Union and Labour Relations (consolidation) Act.

To be completed where total expenditure from the political fund exceeds £2,000
during the period to which return relates.

The expenditure of money on the holding of any conference or meeting by or on behalf of a political party or of any other meeting the main purpose of which is the transaction of business in connection with a political party

Name of political party	£
Total	

Expenditure from the political fund not falling within section 72(1) of the trade union & labour relations (consolidation) act 1992

For expenditure not falling within section 72(1) the required information is-

(a) the nature of each cause or campaign for which money was expended, and the total amount expended in relation to each one	£
Total Total expenditure	
(b) the name of each organisation to which money was paid (otherwise than for a particular cause or campaign), and the total amount paid to each one	£
Total Total expenditure	
(c) the total amount of all other money expended	£
Administration charged by National Union of Mineworkers	500
Audit fee recharged by National Union of Mineworkers	240
Bank charges	67
Sundry expenses	2
Movement in other Areas	100
Total Total expenditure	909

Analysis of administrative expenses and other outgoings excluding amounts charged to political fund accounts

(see notes 34 and 35)

		£
Administrative Expenses		
Remuneration and expenses of staff		592,583
Salaries and Wages included in above	£381,778	
Auditors' fees		21,691
Legal and Professional fees		112,841
Occupancy costs		13,309
Stationery, printing, postage, telephone, etc.		34,576
Expenses of Executive Committee (Head Office)		9,826
Expenses of conferences		22,177
Other administrative expenses (specify)		
Official duties		57,440
Deputations & travel		17,991
Bank charges & sundry expenses		3,632
Miners strike anniversary, memorials & memorabilia		9,406
Ballots		
Other Outgoings		
Interest payable:		
Bank loans (including overdrafts)		
Mortgages		
Other loans		
Depreciation		2,190
Taxation		
Outgoings on land and buildings (specify)		
Other outgoings (specify)		
Grants, donations and affiliations		28,291
Utilities, light heat & power		22,029
Rates and insurance		38,207
	Total	986,189
Charged to:		
General Fund (Page 3)		535,676
Fund Account 2 – NUM Nottingham Area (page 6)		18,475
Fund Account 3 – NUM South Derbyshire Area (page 6)		1,000
Fund Account 4 – NUM Yorkshire Area (page 7)		397,477
Fund Account 5 – NUM Lancashire Area (page 7)		604
Fund Account 6 – NUM North East Area (page 8)		887
Fund Account 7 – NUM Scotland Area (page 8)		32,070
Fund Account 8 – NUM Pensions Reserve (page 9)		N / A
	Total	986,189

Analysis of officials' salaries and benefits

(see notes 36 to 46)

Position held	Gross Salary £	Employers N.I. contributions £	Pension Contributions £	Benefits		Total £
				Other Benefits		
				Description	Value £	
N G Wilson - President						
C J R Kitchen – National Secretary	35,530	5,936	Refer to note ⁴	Travel, fuel, phone & car allowance ⁵	11,392	52,858
W Thomas – NUM South Wales ⁶						
K Hollingsworth – NUM COSA Area ⁶						
A Spencer – NUM Nottingham Area						
A Cummings – NUM North East Area ⁷						
D Howard						
C Parkinson						

⁴ Pension benefits are provided in accordance with the Rules of the NUM Officials and Permanent Employees Superannuation Fund and are based on an accrual rate of ¹/_{80ths} per annum and ³/_{80ths} lump sum. In the event of death, widow / dependant benefits, if applicable, are payable

⁵ All NUM officials who are nationally employed are covered under a Life Assurance protection plan for which the National Union pays an annual premium of £70. This premium covers non-NEC members as well as NEC members.

⁶ NEC member paid from NUM Area Fund. For further details see the AR21 return filed for the relevant area

⁷ Resigned on 30 April 2019

Analysis of investment income

(see notes 47 and 48)

	Political Fund £		Other Fund(s) £
Rent from land and buildings			261,000
Dividends (gross) from:			
Equities (e.g. shares)			18,292
Interest (gross) from:			
Government securities (Gilts)			
Mortgages			
Local Authority Bonds			
Bank and Building Societies			120
Other investment income (specify)			
			279,412
		Total investment income	279,412
		Credited to:	
		General Fund (p 3)	279,297
Fund Account 2		NUM Nottingham Area (p 6)	-
Fund Account 3		NUM South Derbyshire Area (p 6)	115
Fund Account 4		NUM Yorkshire Area (p 7)	-
Fund Account 5		NUM Lancashire Area (p 7)	-
Fund Account 6		NUM North East Area (p 8)	-
Fund Account 7		NUM Scotland Area (p 8)	-
Fund Account 8		NUM Pensions Reserve (p 9)	-
		Political Fund	-
		Total Investment Income	279,412

Balance sheet as at

31 December 2018

(see notes 49 to 52)

Previous Year		£	£
2,070,982	Fixed Assets (at page 14)		2,080,637
	Investments (as per analysis on page 15)		
11,938	Quoted (Market value £ 8,852)	8,852	
1,243,321	Unquoted	838,408	
1,255,259	Total Investments		847,260
	Other Assets		
	Loans to other trade unions		
19,159	Sundry debtors	16,536	
108,604	Cash at bank and in hand	173,085	
	Income tax to be recovered		
1,021,000	Others – Pension Fund Asset	876,000	
1,148,763	Total of other assets		1,065,621
4,475,004	Total assets		3,993,518
3,092,448	General Fund		2,774,700
986	NUM Nottingham Area (p 6)		1,042
31,014	NUM South Derbyshire Area (p 6)		30,529
NIL	NUM Yorkshire Area (p 7)		NIL
NIL	NUM Lancashire Area (page7)		NIL
NIL	NUM North East Area (page 8)		(15,779)
NIL	NUM Scotland Area (page 8)		21,232
36,455	NUM Political Fund		35,579
1,021,000	Pension Scheme Reserve		876,000
4,181,903			3,723,303
	Liabilities		
	Amount held on behalf of central trade union political fund		
	Loans: Other / from other trade unions		
	Tax payable		
293,101	Sundry creditors		270,215
	Accrued expenses		
	Provisions		
	Other liabilities		
293,101	Total liabilities		270,215
4,475,004	Total assets		3,993,518

Fixed assets account

(see notes 53 to 57)

	Land and Buildings		Furniture and Equipment £	Motor Vehicles £	Not used for union business £	Total £
	Freehold £	Leasehold £				
Cost or Valuation						
At start of year			68,445		2,061,348	2,129,793
Additions			1,471		9,920	11,391
Disposals						
Revaluation/Transfers ⁸			5,748			5,748
At end of year			75,664		2,071,268	2,146,932
Accumulated Depreciation						
At start of year			58,811			58,811
Charges for year			2,190			2,190
Disposals						
Revaluation/Transfers ⁸			5,294			5,294
At end of year			66,295			66,295
Net book value at end of year			9,369		2,071,268	2,080,637
Net book value at end of previous year			9,634		2,601,348	2,070,982

⁸ Transfer of Fixed assets from NUM Scotland Area (register number 5080T) with effect from 1 January 2018

Analysis of investments

(see notes 58 and 59)

Quoted	All Funds Except Political Funds £	Political Fund £
Equities (e.g. Shares)		
Barclays Bank plc	8,852	
Government Securities (Gilts)		
Other quoted securities (to be specified)		
Total quoted (as Balance Sheet)	8,852	
Market Value of Quoted Investment	8,852	
Unquoted		
Equities		
Government Securities (Gilts)		
Mortgages		
Bank and Building Societies		
Unity Trust Bank shares at cost	632,000	
National Savings Bank	10,000	
Other unquoted investments (to be specified)		
Royal London Asset Management (at market value)	196,408	
Total unquoted (as Balance Sheet)	838,408	
Market Value of Unquoted Investments	N / A	

Analysis of investment income (controlling interests)

(see notes 60 and 61)

Does the union, or any constituent part of the union, have a controlling interest in any limited company?		YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>
If YES name the relevant companies:			
Company name	Company registration number (if not registered in England & Wales, state where registered)		
Are the shares which are controlled by the union registered in the names of the union's trustees?		YES <input type="checkbox"/>	NO <input type="checkbox"/>
If NO, state the names of the persons in whom the shares controlled by the union are registered.			
Company name	Names of shareholders		

Summary sheet

(see notes 62 to 73)

	All funds except Political Funds £	Political Funds £	Total Funds £
Income			
From Members	13,770	1,349	15,119
From Investments	279,412		279,412
Other Income (including increases by revaluation of assets)	1,847,026 56,565		1,847,026 56,565
Total Income	2,140,208	1,349	2,141,557 151,036
Expenditure (including decreases by revaluation of assets)	2,607,431	2,225	2,609,636
Total Expenditure	2,607,431	2,225	2,609,636
Transfer in - NUM North East (page 8)	(15,890)	-	(15,890)
Transfer in - NUM Scotland (page 8)	25,369	-	25,369
Funds at beginning of year (including reserves)	4,145,448	36,455	4,181,903
Funds at end of year (including reserves)	3,687,704	35,579	3,723,303
Assets			
	Fixed Assets		2,080,637
	Investment Assets		847,260
	Other Assets		1,065,621
		Total Assets	3,993,518
Liabilities			
		Total Liabilities	(270,215)
Net assets (Total Assets less Total Liabilities)			3,723,303

Information on Industrial action ballots

(see notes 74 to 80)

Did the union hold any ballots in respect of industrial action during the return period?

~~YES~~ NO

If Yes How many ballots were held:

For each ballot held please complete the information below:

Ballot 1

Number of individuals who were entitled to vote in the ballot

Number of votes cast in the ballot

Number of Individuals answering "Yes" to the question 1

Number of Individuals answering "No" to the question 2

Number of invalid or otherwise spoiled voting papers returned 3

* 1-3 should total "Number of votes cast in the ballot"

Were the number of votes cast in the ballot at least 50% of the number of individuals who were entitled to vote in the ballot Y / N

Does section 226(2B) of the 1992 Act apply in relation to this ballot (see notes 76-80)? Y / N

If yes, were the number of individuals answering "Yes" to the question (or each question) at least 40% of the number of individuals who were entitled to vote in the ballot Y / N

Ballot 2

Number of individuals who were entitled to vote in the ballot

Number of votes cast in the ballot

Number of Individuals answering "Yes" to the question 1

Number of Individuals answering "No" to the question 2

Number of invalid or otherwise spoiled voting papers returned 3

* 1-3 should total "Number of votes cast in the ballot"

Were the number of votes cast in the ballot at least 50% of the number of individuals who were entitled to vote in the ballot Y / N

Does section 226(2B) of the 1992 Act apply in relation to this ballot (see notes 76-80)? Y / N

If yes, were the number of individuals answering "Yes" to the question (or each question) at least 40% of the number of individuals who were entitled to vote in the ballot Y / N

For additional ballots please continue on next page

Ballot 3

Number of individuals who were entitled to vote in the ballot

Number of votes cast in the ballot

Number of Individuals answering "Yes" to the question [] 1

Number of Individuals answering "No" to the question [] 2

Number of invalid or otherwise spoiled voting papers returned [] 3

*** 1-3 should total "Number of votes cast in the ballot"**

Were the number of votes cast in the ballot at least 50% of the number of individuals who were entitled to vote in the ballot Y / N

Does section 226(2B) of the 1992 Act apply in relation to this ballot (see notes 76-80)? Y / N

If yes, were the number of individuals answering "Yes" to the question (or each question) at least 40% of the number of individuals who were entitled to vote in the ballot Y / N

Ballot 4

Number of individuals who were entitled to vote in the ballot

Number of votes cast in the ballot

Number of Individuals answering "Yes" to the question [] 1

Number of Individuals answering "No" to the question [] 2

Number of invalid or otherwise spoiled voting papers returned [] 3

*** 1-3 should total "Number of votes cast in the ballot"**

Were the number of votes cast in the ballot at least 50% of the number of individuals who were entitled to vote in the ballot Y / N

Does section 226(2B) of the 1992 Act apply in relation to this ballot (see notes 76-80)? Y / N

If yes, were the number of individuals answering "Yes" to the question (or each question) at least 40% of the number of individuals who were entitled to vote in the ballot Y / N

Ballot 5

Number of individuals who were entitled to vote in the ballot

Number of votes cast in the ballot

Number of Individuals answering "Yes" to the question [] 1

Number of Individuals answering "No" to the question [] 2

Number of invalid or otherwise spoiled voting papers returned [] 3

*** 1-3 should total "Number of votes cast in the ballot"**

Were the number of votes cast in the ballot at least 50% of the number of individuals who were entitled to vote in the ballot Y / N

Does section 226(2B) of the 1992 Act apply in relation to this ballot (see notes 76-80)? Y / N

If yes, were the number of individuals answering "Yes" to the question(or each question) at least 40% of the number of individuals who were entitled to vote in the ballot Y / N

Use a continuation sheet if necessary

Information on Industrial action

(see note 81)

*Categories of Nature of Trade Dispute :

A: terms and conditions of employment, or the physical conditions in which any workers are required to work;

B: engagement or non-engagement, or termination or suspension of employment or the duties of employment, of one or more workers;

C: allocation of work or the duties of employment between workers or groups of workers;

D: matters of discipline;

E: a worker's membership or non-membership of a trade union;

F: facilities for officials of trade unions;

G: machinery for negotiation or consultation, and other procedures, relating to any of the above matters, including the recognition by employers or employers' associations of the right of a trade union to represent workers in such negotiation or consultation or in the carrying out of such procedures

Did Union members take industrial action during the return period in response to any inducement on the part of the Union? ~~YES~~ **NO**

If **YES**, for each industrial action taken please complete the information below:

Industrial Action 1

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken:

3. Number of days of industrial action:

4. Nature of industrial action. Strike Action / Action Short of a Strike (delete one as appropriate)

Industrial Action 2

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken:

3. Number of days of industrial action:

4. Nature of industrial action. Strike Action / Action Short of a Strike (delete one as appropriate)

Industrial Action 3

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken:

3. Number of days of industrial action:

4. Nature of industrial action. Strike Action / Action Short of a Strike (delete one as appropriate)

use a continuation page if necessary

Industrial Action 4

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken:
3. Number of days of industrial action:
4. Nature of industrial action. Strike Action / Action Short of a Strike (delete one as appropriate)

Industrial Action 5

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken:
3. Number of days of industrial action:
4. Nature of industrial action. Strike Action / Action Short of a Strike (delete one as appropriate)

Industrial Action 6

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken:
3. Number of days of industrial action:
4. Nature of industrial action. Strike Action / Action Short of a Strike (delete one as appropriate)

Industrial Action 7

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken:
3. Number of days of industrial action:
4. Nature of industrial action. Strike Action / Action Short of a Strike (delete one as appropriate)

Industrial Action 8

1. please tick the nature of the trade dispute for which industrial action was taken using the categories* below:

A B C D E F G

2. Dates of the industrial action taken:
3. Number of days of industrial action:
4. Nature of industrial action. Strike Action / Action Short of a Strike (delete one as appropriate)

Notes to the accounts

(see notes 82 and 83)

All notes to the accounts must be entered on or attached to this part of the return.

AS ATTACHED



Accounting policies

(see notes 84 and 85)

Signatures to the annual return

(see notes 86 and 87)

including the accounts and balance sheet contained in the return. Please send the return with the original signatures. Copies will not be accepted.

Secretary's Signature:  Name: Christian J R Kitchen Date: 29 May 2019	Chairman's Signature: (or other official whose position should be stated)  Name: Nicolas G Wilson Date: 29 May 2019
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Checklist

(see notes 88 and 89)

(please tick as appropriate)

Has the return of change of officers been completed? (see Page 2 and Note 12)	Yes	✓	No	
Has the list of officers in post been completed? (see Page 2a and Note 12)	Yes	✓	No	
Has the return been signed? (see Pages 23 and 25 and Notes 86 and 95)	Yes	✓	No	
Has the auditor's report been completed? (see Pages 24 and 25 and Notes 2 and 92)	Yes	✓	No	
Is a rule book enclosed? (see Notes 8 and 88)	Yes	✓	No	
A member's statement is: (see Note 104)	Enclosed		To follow	✓
Has the summary sheet been completed? (see Page 17 and Notes 7 and 62)	Yes	✓	No	
Has the membership audit certificate been completed? (see Page i to iii and Notes 97 to 103)	Yes	✓	No	

NATIONAL UNION OF MINEWORKERS

General Fund

Notes

*(forming part of the financial statements)
for the year ended 31 December 2018*

(a) **Accounting policies**

The following accounting policies have been applied consistently in dealing with items which are considered material in relation to the Union's financial statements.

(b) **Basis of preparation**

The financial statements have been prepared in accordance with the provisions of Section 1A "small entities" of Financial Reporting Standard 102 "The Financial Reporting Standard applicable in the UK and Republic of Ireland" and the Trade Union and Labour Relations (Consolidation) Act 1992. The financial statements have been prepared under the historical cost convention.

The financial statements summarise the transactions and net assets of the Union.

(c) **Significant Judgements and Estimates**

No judgements have been made in the process of applying the below accounting policies that have had the most significant effect on amounts recognised in the financial statements.

There are no key assumptions concerning the future and other key sources of estimation uncertainty at the reporting date that have had significant risk of causing material adjustment to the carrying amounts of assets and liabilities within the next financial year.

(d) **Area income and expenditure**

With the exception of Nottingham, South Derbyshire, Yorkshire and Lancashire the financial statements do not include the funds and the income and expenditure of the Constituent Associations, as they are separately constituted Unions and prepare their own financial statements. Nottingham, South Derbyshire, Yorkshire and Lancashire are no longer Constituent Associations and are a direct part of the National Union. The net assets of these Areas are therefore incorporated in these financial statements.

(e) **Contributions**

In accordance with the Union's rules, Areas deduct an agreed amount before paying the remaining net contributions for the full 52 weeks to the General Fund. In accordance with Rule 31, the General Fund pays to the Political Fund the equivalent of four weeks contributions. The Political Fund in turn repays the contributions of those members who are exempt from the Political Fund.

(f) **Investment income**

Income from investments is included in the Income and Expenditure Account in the year in which it is receivable.

NATIONAL UNION OF MINEWORKERS

General Fund

Notes

(forming part of the financial statements)

for the year ended 31 December 2018

(g) Fixed assets

Tangible fixed assets are stated at cost (or deemed cost) or valuation less accumulated depreciation and accumulated impairment losses. Cost includes costs directly attributable to making the asset capable of operating as intended.

Depreciation is provided on all tangible fixed assets, at rates calculated to write off the cost, less estimated residual value, of each asset on a systematic basis over its expected useful life as follows:

Office furniture and equipment	-	10% per annum on diminishing value.
Computer and other electrical equipment	-	25% per annum on straight line basis.

The current headquarters of the National Union of Mineworkers are based in Barnsley and are owned by the National Union of Mineworkers Yorkshire Area Trust Fund.

(h) Investment Property

Holly Street investment property is included in the financial statements at net book value. This treatment does not comply with the requirements of the Financial Reporting Standard 102 (FRS102) which requires investment properties to be stated at market value. The NEC considers the cost incurred in undertaking such a valuation would outweigh any benefits. The NEC considers the valuation of the Investment properties at 31 December 2018 to be worth not less than £1,901,348.

Springvale Avenue is shown at the most recent valuation plus subsequent costs incurred. Market valuation has been determined by Butcher Residential Limited, a firm of independent chartered surveyors.

(i) Investments

Investments are shown in the financial statements at market value.

(j) Deferred taxation

Deferred tax is recognised in respect of all timing differences that have originated but not reversed at the balance sheet date where transactions or events have occurred at that date that will result in an obligation to pay more, or a right to pay less or to receive more, tax.

Deferred tax is measured on an undiscounted basis at the tax rates that are expected to apply in the periods in which timing differences reverse, based on tax rates and laws enacted or substantively enacted at the balance sheet date.

NATIONAL UNION OF MINeworkERS

General Fund

Notes *(continued)*

for the year ended 31 December 2018

(k) Pension costs

Defined Benefit Pension Scheme

The cost of funding pensions is charged to the income and expenditure account on a systematic and rational basis designed to spread the cost over the useful service lives of employees.

The Union, together with associated areas, operates a funded defined benefit pension scheme for the benefit of its employees. The assets of the scheme are administered by the Trustees in a fund independent from the Union. Service costs and gains and other pension scheme finance costs and income are charged or credited to the income and expenditure account. Actuarial gains and losses are credited or charged to the statement of total recognised gains and losses in the year in which they arise.

The pension scheme figures included in the financial statements of the Union under the above policy relate to the total scheme as the National Union of Mineworkers is the principal employer and it is considered impractical and onerous to separate other individual area employer amounts. Accordingly, the pension scheme asset included in these financial statements incorporates the assets and liabilities of the other area employers.

(l) Pension costs (cont'd)

Defined Contribution Pension Scheme

The Union also made contributions to Employees' Private Pension Schemes. The annual contributions payable are charged to the income and expenditure account.

(m) VAT

Income and expenditure are stated gross of value added tax.

Checklist for auditor's report

(see notes 90 to 96)

The checklist below is for guidance. A report is still required either set out overleaf or by way of an attached auditor's report that covers the 1992 Act requirements.

1. In the opinion of the auditors or auditor do the accounts they have audited and which are contained in this return give a true and fair view of the matters to which they relate?
(See section 36(1) and (2) of the 1992 Act and notes 92 and 93)

Please explain in your report overleaf or attached.

2. Are the auditors or auditor of the opinion that the union has complied with section 28 of the 1992 Act and has:
 - a. kept proper accounting records with respect to its transactions and its assets and liabilities; and
 - b. established and maintained a satisfactory system of control of its accounting records, its cash holding and all its receipts and remittances.
(See section 36(4) of the 1992 Act set out in note 92)

Please explain in your report overleaf or attached.

3. Your auditors or auditor must include in their report the following wording:

In our opinion the financial statements:

- give a true and fair view of the matters to which they relate to.
- have been prepared in accordance with the requirements of the section 28 to 36 of the Trade Union and Labour Relations (consolidation) Act 1992.

Auditor's report (continued)

AS ATTACHED

Signature(s) of auditor or auditors:	Gibson Booth Limited	
Name(s):	Gibson Booth Limited	
Profession(s) or Calling(s):	Chartered Accountants	
Address(es):	12 Victoria Road Barnsley S70 2BB	
Date:	29 May 2019	
Contact name for enquiries and telephone number:	Scott Mell 01226 213131	

N.B. When notes to the accounts are referred to in the auditor's report a copy of those notes must accompany this return.

NATIONAL UNION OF MINeworkERS

Year ended 31 December 2018

Independent Auditors' Report to the members of National Union of Mineworkers

Opinion

We have audited the financial statements of the General Fund on pages 7 to 21 (together with the appendices on pages 22 to 41), of the Political Fund on pages 42 to 47 (together with the appendices on pages 48 to 53), and of the Nottingham Benevolent Fund on pages 54 to 56, which have been prepared in accordance with the accounting policies set out on pages 9 to 11, page 44 and page 56 respectively. The financial reporting framework that has been applied in their preparation is applicable law and United Kingdom Accounting Standards, including FRS102 "The Financial Reporting Standard applicable in the UK and Republic of Ireland" (United Kingdom Generally Accepted Accounting Practice).

In our opinion, the financial statements:

- give a true and fair view of the state of the General Fund's, Political Fund's and Nottingham Benevolent Fund's affairs at 31 December 2018 and of their results for the year then ended; and
- have been prepared in accordance with the Trade Union and Labour Relations (Consolidation) Act 1992; and
- have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice.

Basis for opinion

We conducted our audit in accordance with International Standards on Auditing (UK) (ISAs (UK)) and applicable law. Our responsibilities under those standards are further described in the Auditor's responsibilities for the audit of the financial statements section of our report. We are independent of the Union in accordance with the ethical requirements that are relevant to our audit of the financial statements in the UK, including the FRC's Ethical Standard, and we have fulfilled our other ethical responsibilities in accordance with these requirements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

Emphasis of matter – defined benefit pension scheme

In forming our opinion, which is not qualified, we have considered the adequacy of the disclosures within the Union's financial statements, and inclusion in the financial statements of the total defined benefit scheme activities and net pension asset, as the Union is principal employer. The financial statements incorporate assets and liabilities relating to the defined benefit pension scheme for the other area employers which have not been quantified due to the circumstances outlined in accounting policy note 2(k).

NATIONAL UNION OF MINeworkERS

Year ended 31 December 2018

Independent Auditors' Report to the members of National Union of Mineworkers (continued)

Conclusions relating to going concern

We have nothing to report in respect of the following matters in relation to which the ISAs (UK) require us to report to you where:

- the officials' use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the officials have not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the Union's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue.

Other information

The officials are responsible for the other information. The other information comprises the information included in the report of the National Executive Committee, other than the financial statements and our auditor's report thereon. Our opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in our report, we do not express any form of assurance conclusion thereon.

In connection with our audit of the financial statements, our responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or our knowledge obtained in the audit or otherwise appears to be materially misstated. If we identify such material inconsistencies or apparent material misstatements, we are required to determine whether there is a material misstatement in the financial statements or a material misstatement of the other information. If, based on the work we have performed, we conclude that there is a material misstatement of this other information, we are required to report that fact.

We have nothing to report in this regard.

Matters on which we are required to report by exception

We have nothing to report in respect of the following matters where the Trade Union and Labour Relations (Consolidation) Act 1992 requires us to report to you if, in our opinion:

- adequate accounting records have not been kept, or returns adequate for our audit have not been received from branches not visited by us; or
- the financial statements are not in agreement with the accounting records and returns; or
- we have not received all the information and explanations we require for our audit; or
- the Union was not entitled to prepare the financial statements in accordance with United Kingdom Generally Accepted Accounting Practice.

NATIONAL UNION OF MINeworkERS

Year ended 31 December 2018

Independent Auditors' Report to the members of National Union of Mineworkers (continued)

Responsibilities of National Union of Mineworkers

As explained more fully in the statement of National Union's responsibilities statement set out on page 1, the officials are responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view, and for such internal control as the officials determine is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the officials are responsible for assessing the Union's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the officials either intend to liquidate the charitable company or to cease operations, or have no realistic alternative but to do so.

Auditor's responsibilities for the audit of the financial statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

As part of an audit in accordance with ISAs (UK), we exercise professional judgment and maintain professional scepticism throughout the audit. We also:

- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the charitable company's internal control.
- Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by the officials.
- Conclude on the appropriateness of the officials' use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the Union's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our auditor's report to the related disclosures in the financial statements or, if such disclosures are inadequate, to modify our opinion. Our conclusions are based on the audit evidence obtained up to the date of our auditor's report. However, future events or conditions may cause the Union to cease to continue as a going concern.

NATIONAL UNION OF MINEWORKERS

Year ended 31 December 2018

Independent Auditors' Report to the members of National Union of Mineworkers (continued)

- Evaluate the overall presentation, structure and content of the financial statements, including the disclosures, and whether the financial statements represent the underlying transactions and events in a manner that achieves fair presentation.

We communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that we identify during our audit.

Use of report

This report is made solely to the members of the National Union of Mineworkers (the 'Union'), as a body, in accordance with Trade Union and Labour Relations (Consolidation) Act 1992. Our audit work has been undertaken so that we might state to the Union's members those matters we are required to state to them in an auditors' report and for no other purpose. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the Union and their members as a body, for our audit work, for this report, or for the opinions we have formed.

Gibson Booth Limited

Gibson Booth Limited
Chartered Accountants
Statutory Auditor
12 Victoria Road
Barnsley
South Yorkshire
S70 2BB

29 May 2019

Membership audit certificate
made in accordance with section 24ZD of the
Trade Union and Labour Relations (Consolidation) Act 1992
(See notes 97 to 103)

At the end of the reporting period preceding the one to which this audit relates was the total membership of the trade union greater than 10,000?

■/NO

If "YES" please complete SECTION ONE below or provide the equivalent information on a separate document to be submitted with the completed AR21.

If "NO" please complete SECTION TWO below or provide the equivalent information on a separate document to be submitted with the completed AR21

Membership audit certificate
Section one

For a trade union with more than 10,000 members, required by section 24ZB of the 1992 Act to appoint an independent assurer

1. In the opinion of the assurer appointed by the trade union was the union's system for compiling and maintaining its register of the names and addresses of its members satisfactory to secure, so far as is reasonably practicable, that the entries in its register were accurate and up-to-date throughout the reporting period?

YES/NO

2. In the opinion of the assurer has he/she obtained the information and explanations necessary for the performance of his/her functions?

YES/NO

If the answer to **either** questions 1 or 2 above is "NO" the assurer must:

- (a) set out below the assurer's reasons for stating that
- (b) provide a description of the information or explanation requested or required which has not been obtained
- (c) state whether the assurer required that information or those explanations from the union's officers, or officers of any of its branches or sections under section 24ZE of the 1992 Act
- (d) send a copy of this certificate to the Certification Officer as soon as is reasonably practicable after it is provided to the union.

Membership audit certificate

Section two

For a trade union with no **more than 10,000 members** at the end of the reporting period preceding the one to which this audit relates.

To the best of your knowledge and belief has the trade union during this reporting period complied with its duty to compile and maintain a register of the names and addresses of its members and secured, so far as is reasonably practicable, that the entries in the register are accurate and up-to-date?

YES

If "NO" Please explain below:

Signature	<i>C J R Kitchen</i>
Name	C J R Kitchen
Office held	Secretary
Date	29 May 2019