

Leicester U3A - Principles, Policies and Procedures

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PRINCIPLES OF THE THIRD AGE MOVEMENT

The U3A movement is non-religious and non-political and has three main principles:

The Third Age Principle

- Membership of a U3A is open to all in their third age, which is defined not by a particular age but by a period in life in which full time employment has ceased.
- Members promote the values of lifelong learning and the positive attributes of belonging to a U3A.
- Members should do all they can to ensure that people wanting to join a U3A can do so.

The Self-help Learning Principle

- Members form interest groups covering as wide a range of topics and activities as they desire; by the members, for the members. ☒
- No qualifications are sought or offered. Learning is for its own sake, with enjoyment being the prime motive, not qualifications or awards. ☒
- There is no distinction between the learners and the teachers; they are all U3A members. The Mutual Aid Principle
- Each U3A is a mutual aid organisation, operationally independent but a member of The Third Age Trust, which requires adherence to the guiding principles of the U3A movement. ☒ No payments are made to members for services rendered to any U3A.
- Each U3A is self-funded with membership subscriptions and costs kept as low as possible.
- Outside financial assistance should only be sought if it does not imperil the integrity of the U3A movement.

EQUAL OPPORTUNITIES POLICY DECLARATION

All affiliated Universities of the Third Age (U3As) pursue an equal opportunities policy and as far as it is within their power to do so, provide equality of treatment to any person in their third age regardless of:-

- Educational background
- Sex (including: sexual orientation; sex; marital status; civil partnership status; and gender reassignment)
- Race or racial group (including colour, nationality and ethnic or national origins)
- Religion or belief
- Disability
- Social status

U3As are committed to the furtherance of fair treatment and the absence of discrimination in all their activities and strive to achieve a membership which reflects the composition of the community they serve.

CODE OF CONDUCT FOR LEICESTER U3A TRUSTEES (see also document 'Leicester U3A Committee Code of Conduct' created January 2020)

Introduction

"Charity trustees are responsible for controlling the management and administration of a charity. They should work together as a team and have collective responsibility for their charity" (Charity Commission).

A trustee code of conduct is an agreement between the organisation and the individual committee member which spells out the standards of behaviour expected.

General

- Trustees must read the Charity Commission leaflet CC3 entitled 'The Essential Trustee – what you need to know' which can be downloaded from the Charity Commission website.
- Trustees must comply with Charity Law and the requirements of the Charity Commission as regulator.
- Trustees are expected to know, follow and promote the Principles of the U3A Movement at every opportunity.
- Trustees must always act in the best interests of Leicester U3A and the U3A Movement, strive to uphold its reputation and never do anything which could bring Leicester U3A or the Movement into disrepute or expose it to undue risk.
- Trustees are expected to reflect the current organisational policy of Leicester U3A, regardless of whether it conflicts with their personal views.
- Trustees are expected to abide by Leicester U3A's governance procedures and practices.
- Trustees must never derive any pecuniary benefit from being a trustee and must notify the Chair of any gifts received.
- Trustees are expected to use Leicester U3A's resources responsibly and only to further its stated charitable objects/purposes.
- Trustees should inform the Chair before accepting an invitation to speak on behalf of the U3A.
- Trustees will respect both the authority of the Chair in the role of meeting leader and accept majority committee votes as final.
- Trustees are expected to treat fellow committee members courteously and maintain a respectful attitude towards the opinions of others.
- Organisational, committee and individual confidentiality must be respected at all times.

SPECIFIC – COMMITTEE MEETINGS

Preparation for and attendance

Trustees are expected to study the agenda and all supporting papers prior to the meeting and strive to attend all meetings.

Conflict of Interest

Trustees must declare a conflict or possible conflict of interest at the start of the committee meeting or at the earliest possible opportunity. The Chair will then decide whether to exclude the trustee from a particular item or even from the whole meeting. In the event that the Chair has a conflict of interest, then the committee should request the Vice-Chair to rule on the matter.

Confidentiality

In order that all trustees feel comfortable expressing their views and ideas it is essential that everybody maintains complete confidentiality outside the committee at all times. The decisions made by the committee are minuted and once approved, the minutes are available on request to members.

Corporate Responsibility

No matter what individual trustees' opinions or voting choices are, once an item is approved by the committee, all trustees must accept it as decisive and final and not comment further outside the committee environment.

Based on Code of Conduct for U3A Trustees (TAT, October 2014)

See Appendix 1 for the procedure to be followed in the case of a breach of the Code of Conduct.

LEICESTER U3A PRIVACY POLICY

INTRODUCTION

Leicester U3A (hereafter 'the U3A') treats your privacy rights seriously. This privacy policy sets out how we will deal with your 'personal information', that is, information that could identify, or is related to the identity of, an individual.

This policy, and the Data Management Policy and Legitimate Interest Assessment, is available on the Members page of our website or by post from the Secretary.

This policy may change from time to time. If we make any material changes we will make members aware of the changes via email or letter. Announcements will also be included in the Newsletter and made at monthly meetings.

Any questions about this policy, any complaints about our privacy practices or requests for the policy in an alternative format should be directed to the Secretary: email: secretary@leicesteru3a.org.uk

WHAT PERSONAL INFORMATION DO WE COLLECT?

When members join the U3A or book for trips and other events they are asked to provide certain information.

This includes:

- Name.
- Home address.
- Email address.
- Telephone number.
- Mobile number.
- Gift Aid entitlement.
- Name of any other Leicester U3A member at the same address.
- Membership of other U3As.
- Group membership.
- (on booking for trips and events) Emergency Contact information. This is collected on the basis that it is provided with the consent of the named emergency contact.
- from committee members, emergency contact information in order to access or retrieve U3A documentation should the individual be incapacitated. This is collected on the basis that it is provided with the consent of the named emergency contact.

HOW DO WE COLLECT YOUR PERSONAL INFORMATION?

All the information collected is obtained directly from you. This is usually at the point of your initial registration. The information will be collected via membership forms or online contact forms. The lawful basis for collecting and storing your information is due to the contractual relationship that you, as a member, have with the U3A. In

order to inform you about the groups, activities and events that you can access as a member we need to store and process a certain amount of personal data.

HOW DO WE USE YOUR PERSONAL INFORMATION?

We use your personal information:

- To provide our U3A activities and services to you.
- For administration, planning and management of our U3A.
- To communicate with you about your group activities.
- To send members general information about the Third Age Trust, the national organisation to which all U3As belong or are affiliated, and the Leicestershire and Rutland Network of U3As.
- To monitor, develop and improve the provision of our U3A activities.
- To send you opportunities to engage in research from bone fide research institutions.

We may send you messages by email, other digital methods, telephone or post to advise you of U3A activities.

WHO DO WE SHARE YOUR PERSONAL INFORMATION WITH?

We may disclose information about you, including your personal information:

- Internally - to committee members, group convenors, Beacon system administrators, and specified post holders authorised by the committee – as required to facilitate your participation in our U3A activities.
- Externally – with your consent, for products or services such as direct mailing for the Trust magazines (Third Age Matters and Sources). Only suppliers scrutinised and approved by the Third Age Trust are used for these purposes.

If we have a statutory duty to disclose it for other legal and regulatory reasons.

Where we need to share your information outside of the U3A we will seek your permission and explain who the information will be shared with and for what purpose.

HOW LONG DO WE KEEP YOUR PERSONAL INFORMATION?

We need to keep information so that we can provide our services to you. In most instances the information will be stored for 7 years for accounting and financial purposes. The exceptions to this are instances where there may be legal or insurance circumstances that require information to be held for longer whilst this is investigated or resolved. Where this is the case then the member/s will be informed as to how long the information will be held for and when it is deleted.

Emergency contact information provided for a trip or other event will be deleted within a fortnight of the event taking place or its cancellation unless there are specific, agreed reasons for it being held for a longer period.

HOW YOUR INFORMATION CAN BE UPDATED OR CORRECTED

To ensure the information we hold is accurate and up to date, members need to inform the U3A as to any changes to their personal information. This can be done at any time by contacting the membership secretary:

Email: membership@leicesteru3a.org.uk Telephone: 0116 2911814

On an annual basis, as part of the renewals process, you will have the opportunity to check the information we hold on you and update it if necessary via the membership renewal form. Privacy Policy LU3A Privacy Policy v1.1 May 2018 Page 3 You can, at any time, request to see the information the U3A holds about you by contacting the Membership Secretary whose details are given above. There may be certain circumstances where we are not able to comply with this request. This would include where the information may contain references to another

individual or for legal, investigative or security reasons. Otherwise we will usually respond within 14 days of the request being made.

HOW DO WE STORE YOUR PERSONAL INFORMATION?

We have in place a range of security safeguards to protect your personal information against loss or theft, as well as unauthorised access, disclosure, copying, use or modification.

Your membership information is held on a secure computer system (“Beacon”) centrally managed by U3A nationally. Access to this system is restricted to specified individuals authorised by the Committee. Members of the committee, the Beacon administrator and group convenors may also hold personal data on password protected spreadsheets.

In addition, all members are made aware of and are expected to comply with our Data Management Policy. This provides general guidance for all members and specific guidance for officers and post-holders on their personal responsibilities for safeguarding members’ personal data.

Approved: 2 May 2018 Reviewed March 2020

LEICESTER U3A DATA PROTECTION POLICY

SCOPE OF THE POLICY This policy applies to the work of Leicester U3A (hereafter ‘the U3A’). The policy sets out the requirements that the U3A has to gather personal information for membership purposes. The policy details how personal information will be gathered, stored and managed in line with data protection principles and the General Data Protection Regulation (GDPR). The policy is reviewed on an ongoing basis by the U3A committee members to ensure that the U3A is compliant. This policy should be read in tandem with Leicester U3A's Privacy Policy.

WHY THIS POLICY EXISTS

This data protection policy ensures that the U3A:

- Complies with data protection law (GDPR) and follows good practice.
- Protects the rights of members.
- Is open about how it stores and processes members’ data.
- Protects itself from the risks of a data breach.

GENERAL GUIDELINES FOR COMMITTEE MEMBERS, CONVENORS AND RESPONSIBLE PERSONS

- The only people able to access data covered by this policy should be those who need to communicate with or provide a service to the members of the U3A.
- The U3A will provide induction training to committee members, group convenors and authorised responsible persons to help them understand their responsibilities when handling personal data.
- Committee Members and group convenors should keep all data secure, by taking sensible precautions and following the guidelines below.
- Strong passwords must be used and they should never be shared.
- Personal data should not be shared outside of the U3A unless with prior consent and/or for specific and agreed reasons. Examples would include Gift Aid information provided to HMRC or information provided to the distribution company for the Trust publications.
- Member information should be refreshed periodically to ensure accuracy, via the membership renewal process or when policy is changed.

Additional support will be support from the Third Age Trust where uncertainties or incidents regarding data protection arise.

DATA PROTECTION PRINCIPLES

The General Data Protection Regulation identifies key data protection principles.

Principle 1 - Personal data shall be processed lawfully, fairly and in a transparent manner

Principle 2 - Personal data can only be collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes; further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall not be considered to be incompatible with the initial purposes.

Principle 3 - The collection of personal data must be adequate, relevant and limited to what is necessary in relation to the purpose(s) data is collected for.

Principle 4 – Personal data held should be accurate and, where necessary, kept up to date. Every reasonable step must be taken to ensure that personal data that are inaccurate are erased or rectified without delay.

Principle 5 – Personal data which is kept in a form which permits identification of individuals shall not be kept for longer than is necessary; personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes subject to implementation of the appropriate technical and organisational measures required by the GDPR in order to safeguard the rights and freedoms of individuals.

Principle 6 - Personal data must be processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

Lawful, fair and transparent data processing

The U3A requests personal information from potential members and members for membership applications and for sending communications about their involvement with the U3A. The forms used to request personal information will contain a privacy statement informing potential members and members as to why the information is being requested and what the information will be used for. The lawful basis for obtaining member information is the contractual relationship that the U3A has with individual members. In addition, members will be asked to provide consent for specific processing purposes such as the taking of photographs. U3A members will be informed as to who they need to contact should they wish for their data not to be used for specific purposes for which they had provided consent. Where these requests are received they will be acted upon promptly and the member will be informed as to when the action has been taken.

Processed for Specified, Explicit and Legitimate Purposes

Members will be informed as to how their information will be used and the Committee of the U3A will seek to ensure that member information is not used inappropriately.

Appropriate use of information provided by members will include:

- Communicating with members about the U3A's events and activities.
- Group convenors communicating with their group members about specific group activities.
- Consent will be sought in order to add members' details to the direct mailing information for the Third Age Trust publications.
- Sending members information about Third Age Trust events and activities.
- Sending members information about relevant educational events and research projects asking for volunteers.
- Communicating with members about their membership and/or renewal of their membership.
- Communicating with members about specific issues that may have arisen during the course of their membership.

The U3A will ensure that group convenors are made aware of what would be considered appropriate and inappropriate communication. Inappropriate communication would include sending U3A members marketing and/or promotional materials from external service providers.

The U3A will ensure that members' information is managed in such a way as to not infringe an individual members rights which include:

- The right to be informed.
- The right of access.
- The right to rectification.
- The right to erasure.
- The right to restrict processing.
- The right to data portability.
- The right to object.

Adequate, Relevant and Limited Data Processing

Members of the U3A will only be asked to provide information that is relevant for membership purposes. This will include:

- Name.
- Postal address.
- Email address.
- Telephone number.
- Mobile number
- Gift Aid entitlement
- Membership of other U3As
- Name of any other Leicester U3A member resident at the same address.
- Emergency contact details (for specific trips or events).

Where additional information may be required, such as health-related information, this will be obtained with the specific consent of the member who will be informed as to why this information is required and the purpose that it will be used for.

Where the U3A organises a trip that requires emergency contact information to be provided, a legitimate interest assessment (see separate document) will have been completed to request this information. Members will be made aware that the assessment has been completed. The U3A will require the member to gain consent from the identified contact. The consent will provide permission for the information to be held for the purpose of supporting and safeguarding the member in question. Were this information to be needed as a one off for a particular trip or event then the information will be deleted once that event or trip has taken place unless it were to be required – with agreement – longer purpose. The same would apply to carers who may attend either a one-off event or on an ongoing basis to support a U3A member with the agreement of the U3A. There may be occasional instances where a member's data needs to be shared with a third party due to an accident or incident involving statutory authorities. Where it is in the best interests of the member or the U3A in these instances where the U3A has a substantiated concern then consent does not have to be sought from the member.

Photographs

Photographs are classified as personal data. Where group photographs are being taken members will be asked to step out of shot if they do not wish to be in the photograph. Otherwise consent will be obtained from members in order for photographs to be taken and members will be informed as to where photographs will be displayed. Should a member wish at any time to remove their consent and to have their photograph removed then they should contact the Secretary to advise that they no longer wish their photograph to be displayed.

Accuracy of Data and Keeping Data up to Date

The U3A has a responsibility to ensure members' information is kept up to date. Members will be informed to let the membership secretary know if any of their personal information changes. In addition, on an annual basis the membership renewal forms will provide an opportunity for members to inform the U3A as to any changes in their personal information and to reconfirm their consent where applicable.

Accountability and Governance

The U3A Committee are responsible for ensuring that the U3A remains compliant with data protection requirements and can evidence that it has. Where consent is required for specific purposes then evidence of this consent (either electronic or paper) will be obtained and retained securely. The U3A Committee shall ensure that new members joining the Committee receive an induction into the requirements of GDPR and the implications for their role.

The U3A will also ensure that group convenors and other authorised responsible persons are made aware of their responsibilities in relation to the data they hold and process. Committee Members shall also stay up to date with guidance and practice within the U3A movement and shall seek additional input from the Third Age Trust National Office should any uncertainties arise. The Committee will review data protection and who has access to information on a regular basis as well as reviewing what data is held. When Committee members, convenors and other authorised responsible persons relinquish their roles, they will be asked to either pass on data to those who need it and/or delete it.

Secure Processing

Access to member information is restricted to committee members, convenors and responsible persons who need it for specified, explicit and legitimate purposes as given above and are authorised by the committee. They have a responsibility to ensure that data is both securely held and processed. This will include:

- Using strong passwords.
- Not sharing passwords.
- Using member information only for those specified, explicit and legitimate purposes authorised by the committee.
- Using password protection on laptops and PCs that contain or access personal information.

Using password protection or secure cloud systems when sharing data between committee members, group convenors and responsible persons.

The committee will endeavour to ensure that all relevant persons have up-to-date anti-virus protection and firewall security on their devices.

The U3A has contracted for services from the following 3rd party data processors:

- the online management system Beacon and Direct Mail for the distribution of Third Age Trust magazines through the Third Age Trust. The committee is responsible for confirming with the Third Age Trust that these suppliers are GDPR compliant.
- NamesCo for forwarding of generic emails. The committee is responsible for satisfying itself that this company is GDPR compliant.

Subject Access Request

U3A members are entitled to request access to the information that is held by the U3A. The request needs to be received in the form of a written request to the Membership Secretary of the U3A. On receipt of the request, the request will be formally acknowledged and dealt with expediently (generally one month) unless there are exceptional circumstances as to why the request cannot be granted. The U3A will provide a written response detailing all information held on the member. A record shall be kept of the date of the request and the date of the response.

Data Breach Notification

Were a data breach to occur action shall be taken to minimise the harm by ensuring all committee members are aware that a breach had taken place and how the breach had occurred. The committee shall then seek to rectify the cause of the breach as soon as possible to prevent any further breaches. The Chair of the U3A shall contact National Office as soon as possible after the breach occurring to notify of the breach. A discussion will take place between the Chair and National Office as to the seriousness of the breach, action to be taken and, where necessary, the Information Commissioner's Office would be notified. The committee shall also contact the relevant U3A members to inform them of the data breach and actions taken to resolve the breach.

Where a U3A member feels that there has been a breach by the U3A, a committee member will ask the member to provide an outline of the breach. If the initial contact is by telephone, the committee member will ask the U3A member to follow this up with an email or a letter detailing their concern. The alleged breach will then be investigated by members of the committee who are not in any way implicated in the breach. Where the

committee needs support or if the breach is serious they should notify National Office. The U3A member should also be informed that they can report their concerns to National Office if they don't feel satisfied with the response from the U3A. Breach matters will be subject to a full investigation, records will be kept and all those involved notified of the outcome.

Approved: 27 May 2018 Reviewed March 2020

LEICESTER U3A DATA MANAGEMENT POLICY

Introduction

This document sets out how our U3A complies with its legal obligations for protection of personal data.

Policy principles

1. We collect and maintain personal data relating to members for the purpose of administering the activities of the U3A; we will not use this data for other purposes, nor will we share it with other organisations or individuals for other purposes except as specified in our Privacy Policy.
2. The personal data we maintain are: name, address, whether address is shared with another member, email address, telephone numbers, membership of other U3As, payment history and, for trips and other events, contact details of someone who can be contacted in the event of an emergency affecting the member.
3. Personal data are obtained directly from members at the time of joining. We ensure the accuracy of the data by asking members to verify it at least once a year. We also ask members to let us know of any changes to their data.
4. We keep this data only for as long as a person remains a member and for a defined period afterwards; this is in line with our obligation to retain financial records for seven years.
5. In addition to point 3 above, we will give a person who requests it the information we hold about them and, if necessary, give them a chance to correct it.
6. We protect personal data by keeping it within a secure computer system ("Beacon") centrally managed by The Third Age Trust. Access to this system is restricted to specific members authorised by the Committee.

Guidance notes

A) For all members

1. Please advise the Membership Secretary (membership@leicesteru3a.org.uk) as soon as possible of any changes to your personal details.
2. Please ask the Membership Secretary if you would like to see the information we hold about you; you will be able to correct any errors in the details.
3. Note that any personal data that you receive as part of your U3A membership should be treated as confidential.

B) For anyone handling personal data

1. You must not reveal data to anyone who is not entitled to see it under this policy.
2. If someone, even a fellow group member, asks for data belonging to another member (e.g. contact information), you should yourself seek the permission of the member concerned to disclose it before doing so.
3. If you keep personal data on a computing device, you must
 - a. ensure that the computer is fully up to date with operating system and anti-malware software;
 - b. ensure that the personal data is not accessible to anyone else. As a minimum, the device must be secured with a password; this is particularly important in the case of mobile devices – laptops, tablets, and mobile phones. If the device is shared with others, you must ensure that only you are able to access the data; one way of doing this is to keep it within a word processing document or spreadsheet that is itself password-protected.

4. If for any reason you send personal data by email, you should seek the permission of the member(s) involved. Email does not in itself offer a secure means of communication; it is safer to place personal data in a password-protected file and attach this to an email, and to let the recipient know the password via phone or text message.
5. If you keep personal data on paper, you must exercise similar care. When you dispose of it, you must destroy the papers or otherwise make them unreadable (eg through shredding). If you send personal data through the post, you must do so in a sealed envelope.

C) For Beacon users

1. Rules on password composition are imposed by Beacon, but it is your responsibility to ensure that your password is of sufficient strength and to keep it secret from others.
2. On any computer used to access Beacon, it is your responsibility to ensure that suitable security measures have been taken to keep that computer free of viruses and other malware which might enable unauthorised access to Beacon.
3. You must not allow anyone else to use your Beacon account.
4. When using a shared computer, you are recommended to only use a Beacon account within a personal logon. If you do not have a personal logon, then you should not tick the 'Local computer' checkbox at login, nor should you allow your browser to autofill the logon screen.
5. A Beacon account must never be accessed on a public computer, e.g. in a library.
6. You should always logout of your account when finished. Beacon will automatically log you out if you make no input for 20 minutes.

D) For Group Convenors

1. You must ensure that the personal data you maintain and use is managed in line with the Policy Principles in Section A on p1 above, even if it's held on paper. You will also need to co-operate with requests from the Membership Secretary to supply what personal data you hold in order to satisfy requests from members under Policy Principle A5 on p1.
2. We are committed to keeping members' personal data private. This means we must not disclose members' email addresses or other contact information, even to one another. The best way to ensure this in email is to use "bcc:" (blind copy).
3. A group or some of its members may decide to share each other's contact details and to use "cc:" in email instead; this makes it easier to have an email discussion among the group, for example. However, this must be done *with the individual agreement of all participating members*.
4. Note that under Policy Principle A1, we must not use members' personal data for any purpose other than running our U3A. Using a member email distribution list to advertise outside events or promotions, for example, is not allowed.
5. If a member of your group is no longer a member of our U3A, then you must destroy any personal data you hold on them.
6. You should advise the Groups Coordinator when people join or leave the group so that group membership may be updated on Beacon.
7. If you cease to be a convenor, you must destroy all copies you hold of the group members' personal data outside Beacon; you should not retain historical records of group membership. [See Deleting Data below.]

E) For Groups Coordinator

1. When a new group is set up or a new convenor is appointed to an existing group, the convenor must be reminded of their obligations under this policy.
2. If a convenor relinquishes their role, they should be reminded of the requirement to destroy all their copies of member records, and confirm that this has been done.

F) For Membership Secretary

1. If a member asks to see the personal information we hold about them, you will need to:
 - (a) Determine to which groups the member belongs and request any data that might be held by the convenors outside Beacon;
 - (b) Extract the member's details from Beacon;
 - (c) Collate this information and supply to the member;
 - (d) Make any corrections requested by the member and pass on to the convenors identified in (a) above for them to correct their information.
2. Convenors should be notified when someone is no longer a member of the U3A and reminded that the corresponding personal data should be deleted from their records.

Deleting personal data

The deletion of personal data is an important activity in data protection, given the fifth data protection principle's requirement that "personal data processed for any purpose or purposes shall not be kept for longer than necessary".

1. Any paper records should be shredded, incinerated or otherwise made unreadable before being put into household rubbish, recycled or otherwise disposed of.
2. Any records kept on computer outside Beacon should be deleted. Also, check the Recycle Bin or equivalent and delete any copies that have been kept there.

Approved June 2018 Reviewed March 2020

LEGITIMATE INTEREST STATEMENT – Emergency Contact

This legitimate interest assessment has been compiled in order to set out the reasons why Leicester U3A requests emergency contact details.

Purpose Test

The reason that Leicester U3A requests contact details for a member's emergency contact is so that the committee, group convenors and/or other authorised responsible persons know who to contact in the event of an emergency. Leicester U3A has a duty of care to its membership and in order to ensure your safety we need to be able to contact someone who can meet your welfare needs in the event of an incident/accident. Leicester U3A requests you to inform the person identified as your emergency contact that you have provided their details to the U3A. For certain events and trips we may need to provide these details to a 3rd party. Leicester U3A will always make you aware where emergency contact information is requested as to who the information will be shared with.

Necessity Test

The emergency contact information provided by members would only be used in the event of a serious incident/accident. Leicester U3A would use the information to contact someone who may need to collect the relevant member, support the relevant member or liaise, on behalf of the relevant member, with a third party provider such as a medical professional. Leicester U3A only requests minimal information regarding members' emergency contact which includes a name, telephone number and the details of their relationship to the member.

Balancing Test

The emergency contact data requested is minimal and is only that which is required to make contact with the individual in question. Leicester U3A relies on its members to provide emergency contact information and to make the individual aware that this information has been passed to the U3A and for what purposes it has been passed to the U3A. Leicester U3A will hold this information securely and it will only be accessed by those who

need to see it. The information provided will only be used to contact the emergency contact where an incident or accident occurs that requires someone to take responsibility for the member in question. The data will not be processed for any other purposes.

Through compilation of this assessment Leicester U3A considers that it has a legitimate interest to collect, hold and process emergency contact information. This document will be held by the Committee and communicated to the membership, as required. The assessment will be reviewed every 2 years in order to ensure that legitimate interest remains the most appropriate lawful basis for gathering this information.

Approved: 27/05/2018 Reviewed March 2020

TERMS AND CONDITIONS OF MEMBERSHIP OF LEICESTER U3A

At the AGM in January 2014, it was agreed that all members must:

1. Abide by the Aims and Guiding Principles of the U3A movement.
2. Always act in the best interests of the U3A and never do anything to bring the U3A into disrepute.
3. Abide by the terms and conditions of the constitution of Leicester U3A.
4. Treat fellow members with respect and courtesy at all times.
5. Comply with and support the decisions of the elected committee.
6. Advise the committee of any change in their personal details.

COMPLAINTS POLICY AND PROCEDURES

Policy statement

The complaints procedure is intended to provide a fair structure for making and dealing with complaints. It embodies the following principles:

- people making complaints have the right to be treated with courtesy and not suffer discrimination;
- people making a complaint are entitled to assistance from a friend to advocate on their behalf;
- complaints are to be treated with an open mind and will be investigated without prejudice;
- complaints are to be treated seriously and to be dealt with in a timely manner;
- there is a general expectation that the matter will be handled confidentially;
- complaints are stressful for both the complainant and those being complained against, all affected should be treated sensitively;
- those being complained against have the right to hear the complaint being made against them as soon as practicable after the event(s) being complained about. They can then respond while events are still fresh in the minds of all those concerned;
- anonymous complaints will not be investigated;
- abusive and offensive comments will not be accepted as complaints.

Procedures for dealing with problems/complaints

These notes should be read in conjunction with TAT Advice Sheet 6, *Sorting Out Problems* and grievances

What to do if you have a complaint

First steps

The first aim should be to try to resolve the matter informally. If you have a complaint then ideally you should speak to the person(s) concerned to see if the matter can be sorted out between you. If this fails or you do not feel able to approach them directly yourself, then the next step depends on whether the problem arose in a group or not.

Complaints within groups

If the problem has arisen in a group, then you could raise the matter with the group convener who may deal with it informally themselves or refer it to the Groups Coordinator, or you could raise the matter directly with the Groups Coordinator yourself. The Groups Coordinator will try to resolve the matter in an informal way.

Complaints that cannot be resolved informally (except those against the committee as a whole)

Except where the complaint is against the committee as a whole, if it has not been possible to resolve the matter informally, then you should raise it with either the Chair or the Secretary who, possibly in consultation with other members of the committee, will appoint a Trustee (the Designated Trustee) to investigate. If the complaint has arisen in a group, then the Designated Trustee will normally be the Groups Coordinator. If the complaint is against a member or members of the committee, then they will be informed that a complaint has been made but will take no part except as determined by the Designated Trustee.

Complaints against the committee as a whole

If the complaint is against the committee as a whole, then a meeting between you, accompanied if you wish by up to two friends, and the committee will be arranged at which you will be able to put your complaint and the meeting will attempt to come to a resolution of the problem.

Subsequent steps by the Designated Trustee

General Principles

The aim should be to resolve the issue as speedily as possible and at as early a stage as possible consistent with fairness to all parties. It is important that written records are kept at each stage, particularly of the precise nature of the complaint and the response of the other party or parties. All those involved need to be aware that the matter has to be treated confidentially.

The procedures to be adopted are at the discretion of the Designated Trustee but normally will comprise the following:

- listening to and recording the nature of the complaint and the outcome desired; ☒ listening to and recording the response of the other people concerned;
- consulting any others who may have knowledge of the facts;
- holding an informal meeting of all those concerned to try to resolve the problem and, if appropriate, reach an agreement on how to avoid it in future.

If the problem can be resolved in this way, the Designated Trustee will make a brief confidential report to the committee with statements of the complaint, the response and its resolution. This will apply to cases of misunderstanding or where there is a case to answer but the issue is relatively minor.

If the Designated Trustee considers that the complaint is a continuation of an earlier one or if a resolution has not been reached, then the matter will be referred to the committee with a report of the reasons for this, again including statements of the complaint and response. The Designated Trustee may, but need not, make a recommendation on the action to be taken.

In this case, the committee must follow the procedure given in TAT Advice Note 6. *'Sorting out problems & grievances'*

Notes for the Designated Trustee are given in Appendix 2. [Committee Meeting, 9th October 2015, Item 2.2.2.]

USE OF DEBIT CARD

Cards A debit card may only be requested with the approval of the committee. Any holder needs to be a signatory to the bank account and therefore also a committee member. The signatories currently are the Treasurer, Chairman, Secretary and Membership Secretary.

Use of Cards

No single transaction may exceed £1,000 unless specifically pre-approved by at least 2 of the signatories to the account. The card can only be used for purchasing on behalf of Leicester U3A and NOT for cash withdrawal. The maximum transaction limit is £1,000. All transactions MUST be notified immediately to the Treasurer so that the account can be checked and reconciled each month. A receipt (electronic or paper) should be obtained for all transactions, and copied to the Treasurer immediately. *[Committee Meeting, 1st October 2010, Item 7.]*

VOLUNTEERS

Volunteers play a vital role in the successful running of an active U3A. They fulfil many roles which enable the majority of the membership to take part in activities. These roles range from convening groups to helping out with specific roles at Monthly Meetings or being an active member of the Committee. As such, all volunteers (no matter how small or large a role they play) must be treated with dignity and respect, regardless of gender, race, colour, disability, religion, age or sexual orientation. Volunteers will receive the support of the Committee in carrying out their agreed role.

Volunteers should:

- treat all Leicester U3A members and visitors with courtesy and respect, respecting any confidential information given to them;
- co-operate with other volunteers;
- be reliable, carrying out their agreed roles and tasks to the best of their ability;
- ask for support when and where it is required, notifying the appropriate person if they are unavailable or unable to fulfil their volunteer role.

VULNERABLE ADULTS POLICY

All adults who may be vulnerable have a right to protection.

Leicester U3A will value, listen to and respect all adults who may be vulnerable and ensure that everybody feels welcomed, accepted and safe.

In addition we will encourage vulnerable adults to be as active as possible and contribute as much as they can to the U3A.

U3As are self-help learning organisations for people in their third age who are no longer in full time employment. Vulnerable adults who require assistance for their needs and wish to attend any U3A meetings and/or Interest Groups must be accompanied by an adult carer of their choice who is capable of assisting them with their needs, thereby ensuring their safety, comfort and well-being.

A carer accompanying a vulnerable adult to meetings does not have to be a U3A member and will not be charged for attending U3A meetings unless there is a commercial charge, and, should not participate in the business of the U3A.

This policy document should be read in conjunction with TAT Advice Sheet 1: *Accessibility for Disabled members.* *[Committee Meeting 5th June 2015 Item 2.2.3]*

FOR COMMITTEE ONLY – SEE ALSO APPENDICES 1 & 2 DEALING WITH DISCIPLINARY MATTERS.

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