



Group Leader Handbook

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1 Overview

These guidance notes replace those previously updated in October 2017. The intention is to bring our practices into line with requirements of our parent body The Third Age Trust, of the Charity Commission and of new legal rules in the field of data protection.

Charities are required to conform to more rigorous standards of governance with particular regard to financial transparency, health and safety, and data protection. While most of the burden for this falls on the members of the management committee, who are the trustees, as a failure to provide due diligence could invalidate the terms of our trustee indemnity insurance, there is a requirement that group leaders also assume some responsibility for assuring compliance to the standards.

The trustees are mindful of the need to balance the need to preserve a trusting environment which encourages people to volunteer to support others with the need to be diligent in providing a duty of care.

I hope that these guidance notes will be seen as a support to group leaders in meeting their responsibilities. All group leaders are encouraged to read the guidelines; those who lead large groups involving booking venues, holding significant amounts of money, and leading trips are urged to give special attention to the finance and insurance sections and the relevant appendices.

Do not hesitate to seek advice from the trustees if there are issues that need clarifying.

On behalf of the trustees and the members we thank you for the valuable work you do in offering a diverse range of activities for the members.

Chris Forse
Chairman
June 2018

2 Finance

WDu3a is required to comply with the rules and regulations of the Third Age Trust under whose Public Liability Insurance we fall. As a registered charity, we must also be compliant with the requirements of the Charity Commission who hold the right to audit the WDu3a accounts. Our independent examiner is charged with ensuring that we meet the standards set by these bodies. The ultimate sanction for non-compliance could be closing down of a group, something we should avoid at all costs.

Group Leaders are required to follow the guidelines below:

- A group is required to be self-financing i.e. the GL should arrange the group's operation such that it covers its costs.
- ALL transactions **must** be recorded in the group's accounts, including from petty cash.
- ALL purchases require a receipt. Where appropriate purchases of items such as refreshments supplies or stationery, a partial till receipt from your general shopping is acceptable.
- At the end of the WDu3a year (31st August) group leaders will be required to complete a 'group accounts' form, which is a summary of all income and expenditure that passes through the group's records – that is, all room hire for year as one item, all refreshments ditto, etc.
 - Invoices/receipts (or copies thereof) are to be attached.
 - It will also need to show the opening balance (as of 1st September), which must match the closing balance from the previous year's accounts on 31st August. (It is suggested that you keep a copy for your own records!)
- **No money should pass through a personal bank account. This is strictly prohibited by The Third Age Trust.**
- **Individual groups may hold cash up to a limit of £150.** There will always be a need for groups to hold some cash from time to time, however, this should be kept to a workable minimum. It is obviously not advisable to keep large amounts of cash in your house. We have confirmed with TAT that our insurance policy covers a small amount of cash in transit and held in members' homes. We have therefore set a maximum cash limit of £150 **which must not be exceeded.**
- **Surplus funds to be paid into the WDu3a Activity bank account.** A group **must** pay in any funds in excess of the £150 petty cash limit into the WDu3a Activity bank account (details below). A group may, of course, at any time arrange to pay in cash/cheques to the account. It does not need to wait until it reaches £150. In this case the amounts to be paid in must be passed to a member of the Treasurer team who will ensure payment into the bank. However, if a group needs to regularly pay in cash/cheques to the Activity A/c it will need its own pre-printed book of paying in slips. In this case the GL should contact the Treasurer who will arrange this. Unfortunately, this is necessary as most banks no longer provide a facility to easily pay in cash/cheques to a third-party account. In all cases where money is paid in an accompanying email from the GL (or group member paying in the funds) to the WDu3a Treasurer confirming the date and amount paid in (or handed to the treasurer team) must also be sent to ensure

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accurate recording in the WDu3a accounts. ***Details of the WDu3a Activity bank account are shown in Annex A below.***

- **Purchases of major items.** Where major items such as room hire are paid from a group's petty cash, receipts/invoices for each separate payment **must be** obtained. These should have sufficient detail to identify the expenditure, to whom the payment was made, & the date. As an alternative to payment from petty cash, an email request (with invoice attached) by the GL to the WDu3a treasurer team can be made for the payment to be made directly from the WDu3a Activity bank account, assuming of course the group has sufficient funds in the account.
- **Group member purchases.** On the rare occasion where a group member has purchased items on behalf of the group which is in excess of an amount able to be reimbursed from the group's available petty cash, the group member must submit a WDu3a expenses claim (approved by the GL) with receipts attached. Again, as long as sufficient funds are available in the WDu3a Activity account for that group, the amount will be reimbursed.
- **All funds will be recorded against the individual group.** All group amounts held in the Activity bank a/c will be separately reported at the monthly MC meeting. A group may at any time request from the treasurer an up-to-date balance of their funds held in the WDu3a Activity bank account.
- **Individual groups must not open their own bank accounts.** As well as being strictly and expressly prohibited by TAT, we find no reason that by adopting these rules a separate bank account is necessary for the smooth running of a group. If there are any groups which have their own bank account, their GL must contact the treasurer team, who will work with them to ensure an orderly closure of the account.
- **In all cases cheques should be made payable to Warwick District U3A.** Cheques should be either sent to the treasurer/deputy treasurer for banking or paid directly into the Activity Account (details below) in accordance with the process outlined above.

Annex A – WDu3a Activity Bank Account Details

Bank: Unity Trust Bank, Four Brindley Place, Birmingham B1, 2JB

Account Name: Warwick District U3A

Sort Code: 60-83-01

Account No: 20412500

Reference (where applicable): Include the Group and the initials of the person paying in. e.g. Ramblers-RP

Note: Payments in using pre-printed paying in slips can be made at any branch of Nat West.

3 Members wishing to join “full” groups*

No group should state “Group now full”. No mention should be made in the newsletter of waiting lists as this discourages members from contacting that group.

If the group is unable to accommodate the member there are various actions the GL can take, the first one being to invite them to a group meeting so that they can decide whether or not it is a group they actually wish to join!

The GL can place the member on a waiting list if there is some hope of there being a space in the group in the near future. The GL should then contact the member fairly regularly to see if they are still interested in the group and to let them know where they are in the queue.

New Groups

If there is no realistic possibility of the member joining or if there are several members waiting to join a group (or similar groups) it may be better to encourage them to form a new group. New groups can be set up by the GL or by the Group Co-ordinator or by a combination of both. You could invite prospective members to a meeting so that they meet each other, and offer help to get a new group going. Practical assistance could be provided by:

- drafting an advert for our newsletter
- encouraging members from the established group to attend the first one or two meetings of the new group to help them get established
- giving support/advice if they run into problems

Whenever you have members waiting to join your group, please inform the Group Co-ordinator who will offer help. It is important that we continue to make members feel welcome in the groups and that we do our best to accommodate them.

4 Inclusion of members from other u3as in WDu3a groups

Members of other u3as are welcome to attend Warwick District group meetings providing that they show a *current* membership card of their u3a.

Only one membership fee (for their own u3a) is required.

Participation is dependent on there being no waiting list of WDu3a members for that group. If, after an outside member has joined, a WDu3a member applies to join a full group, the outside member would be required to leave or be given the option of becoming a fully-paid-up member of WDu3a and thereby retain their membership of the group.

WDu3a has a reciprocal agreement with Kenilworth u3a confirming this arrangement, but we apply the same rule for all u3as.

Inclusion of non-members of any u3a

A non-member can attend a group meeting as a taster, provided that it is a one-off. Further attendance would require the guest becoming a member. The GL need not seek committee approval for this.

A spouse or friend could participate on an outing, with prior committee approval.

5 Use of external tutors

The following is an extract from the Finance FAQs doc on the U3A website dated July 2022

(<https://www.u3a.org.uk/advice>):

Can we pay external tutors where we have no group leader from the membership?

The Trust is against having paid tutors in principle but u3as are independent charities and it does happen. Paid tutors must not be a member of any u3a.

The Trustees must ensure that the tutor is self-employed, pay their own tax and have Public Liability insurance. HMRC will have issued them with a UTR (Unique Tax Reference) number which a paid tutor should be able to produce along with a copy of their Public Liability Insurance certificate as evidence that the tutor is not an employee. A once-a-year check to ensure that these measures are still in place is essential. It is the Trustees' responsibility, not the members.

The group using a paid tutor cannot be subsidised by the u3a. If members want to have a group with a paid tutor but the committee do not agree, an option is to make the group a non u3a activity.

6 Insurance

In return for our capitation payment, WDU3a is covered by the Third Age Trust's policy (Aviva/ 24988677CCI) which provides:

Public and Products Liability Insurance Policy

Money Cover policy

All Risks Equipment Insurance

Home Contents Cover, and

Tour Operators' Liability Insurance (Catlin TOL499004)

See Appendix C on page 16 for a summary of the protections (and exclusions) offered by these policies.

The TAT's public liability insurance policy (PLI) covers damage to persons or property occasioned by the actions of other members of the u3a. The product insurance covers damage to equipment but not for general wear and tear.

For group leaders the important details are:

1. The public liability insurance (PLI) policy does not cover activities provided by a paid tutor. Activities involving a paid tutor must have received prior agreement from the trustees, and the tutor will be required to provide their public liability insurance policy, their National Insurance number and their Unique Tax Reference.
2. The TAT policy covers all activities in approved venues. Group leaders will be expected annually to complete a venue assessment form (Appendix D on page 17). If venues do not meet the required standard the management committee may require you to find an alternative venue. Appendix B is an accident report form for you to use in case of an incident.
3. Group Leaders should check whether the room hiring organisation has their own PLI. On no account should a GL agree to waive the hirer's obligations by transferring their risk on to the TAT PLI.
4. Incidents occurring during activities run at a member's home are covered, including damage to property.
5. Most outdoor activities are covered but not those involving extreme sports or dangerous equipment (e.g. outboard motors).
6. Group trips involving overnight stays are covered by the TAT's Tour Operator's Liability Insurance (see Appendix C). Personal property loss is not covered. Members on longer tours (especially overseas) are recommended to take out travel insurance.
7. Cash held at home and in transit is covered subject to certain exclusions.

Group leaders should familiarise themselves with the policies in Appendix C on page 16 and contact a trustee if you have any queries.

7 Health and Safety

Group Leaders are required to conduct a risk assessment of venues (other than homes) at the time the venue is hired, and at the beginning of each annual renewal. This is to ensure that the venue has adequate provision for allowing members (including those with special needs) to access the group activity in a safe and healthy environment, and to assist in making group leaders aware of the safety facilities at the venue. If, on conducting the risk assessment you assess the venue to lack adequate provision you should contact a trustee for advice. If the venue is unsuitable for u3a activities it will be necessary to find an alternative one.

Group leaders need also to be aware of their responsibility to report accidents.

Please forward a completed form to a member of the management committee as soon as possible after the incident.

An Accident Report form is provided in Appendix B on page 15 and the TAT Risk Assessment checklist as Appendix D on page 17.

Also included as Appendix A on page 14 is the u3a Fire Emergency Plan, to be applied where relevant to the venue, and group leader's (temporary responsible person's) duties with regard to fire safety.

Portable Appliance Testing (PAT)

The [government website](#) provides information on the requirements for this testing.

Visual inspection of input cables, the connection to the device, plugs and sockets, connectors should be routine when you use the kit, but to quote directly from the HSE website:

The Electricity at Work Regulations 1989 require that any electrical equipment that has the potential to cause injury is maintained in a safe condition. However, the Regulations do not specify what needs to be done, by whom or how frequently (ie they don't make inspection or testing of electrical appliances a legal requirement, nor do they make it a legal requirement to undertake this annually). The frequency of inspection and testing depends upon the type of equipment and the environment it is used in. For example, a power tool used on a construction site should be examined more frequently than a lamp in a hotel bedroom.

The person doing testing work needs to be competent to do it. In many low-risk environments, a sensible (competent) member of staff can undertake visual inspections if they have enough knowledge and training.

There is no legal requirement to label equipment with the date of the last test, nor to keep a record of such testing.

However, we recommend that leaders of groups that use our own electrical equipment do carry out appropriate testing and keep a record of it. If the equipment is stored at a frequently used WDu3a venue such as the Gap, it would be worth asking for our kit to be included with their own,

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contributing to the cost. Such testing should be carried out every three/four years unless the visual inspections raise doubts.

8 Copyright

Our licences and copies of the TAT ones are kept in OneDrive and can be accessed by members of the IT Team. Below is a summary of the main points:

Photocopying

We have cover for normal photocopying, **but this does not cover multiple copies of maps, charts, newspapers or printed sheet music including the words.**

We have an Ordnance Survey licence for copying annotated maps used by the walking groups.

Copying from newspapers requires the purchase of a licence from the Newspaper Licensing Agency – 01892 525273 – www.nla.co.uk.

There is no blanket licence available for multiple copying of sheet music; this is always illegal unless it is no longer in copyright. If you would like help and advice on obtaining copyright clearance you can look at Frequently Asked Questions on The Music Publishers' Association website (www.mpaonline.org.uk) or contact them on 020 7580 0126.

There is also some free sheet music available on the internet at Choral Public Domain Library (www.cpd.org) and this will give you links to other useful sites.

Digital Images

You should only use images with the permission of the owner (and of parents for images of children) or provided for public use - use Google's advanced image search to find files "free to use or share".

Recorded Music

TAT provides a licence for u3as to play recorded music in public as part of their interest/activity groups.

DVDs/Videos

There are two commercial companies which between them license films from all the production studios: Motion Picture Licensing Corporation (MPLC) and Filmbank Media. TAT has a licence for MPLC and we do not require the Filmbank one. [John Wilks, 180504]

Performance – PRS Licence

This covers the use of the actual lyrics and composed music in any public performance of music. It is the sole responsibility of the proprietor/manager of the premises you are using to have a licence arranged.

Further information can be obtained from the UK Copyright Service at www.copyrightservice.co.uk.

9 Data Protection

Group leaders need to be familiar with the WDu3a Data Protection and Privacy Policies and aware of their own obligations to comply with the law.

As a minimum, any Group Leader who holds any contact details for WDu3a members who attend their group, or any other personal information about group members/attendees, must:

1. Ensure that only information that is genuinely necessary is held. Information which is not necessary in order for the member/attendee to be able to participate in the group, should not be held.
2. Ensure that any information that is held is accurate and up to date. Group Leaders are advised to review the information they hold annually, in September or October, after members have renewed. Any information about group members/attendees, such as contact details or other personal information, must be destroyed/deleted when the person ceases to attend the group, or on request from the member concerned.
3. Keep information, including paper lists, securely. If information is held on a computer, use strong passwords on files.
4. Not share the information with anyone else, nor use it for any purpose other than the running of the group. If it should be necessary to supply members'/attendees' information to another member of the group (for example in order to arrange a particular activity of the group) then the information must be shared in a secure format, such as a password-protected Excel or Word file. When emailing group members/attendees, the 'blind copy' option should be used, so that email addresses are not visible to all recipients.

The WDu3a Data Protection and Privacy Policies are available on the Information page of our website, under Data Protection.

Appendix A. Fire Emergency Plan

Emergency plan for the temporary responsible person:

As the responsible person for the event/function, etc. you have legal duties with regards to the safety of those persons assisting or attending the event.

Before the event or function, you should be aware of:

- what fire protection systems are present;
- how a fire will be detected;
- how people will be warned if there is a fire;
- what staff should do if they discover a fire;
- how the evacuation of the premises should be carried out;
- where people should assemble after they have left the premises and procedures for checking whether the premises have been evacuated;
- identification of key escape routes and exits, how people can gain access to them and escape to a place of safety;
- arrangements for fighting fire;
- specific arrangements, if necessary, for high-fire-risk areas;
- how the fire and rescue service and any other necessary services will be called;
- procedures for meeting the fire and rescue service on their arrival and notifying them of any special risks, e.g. the location of highly flammable materials;
- what instruction employees or helpers need and the arrangements for ensuring that this training is given;
- limitations on numbers of people;
- any chains or padlocks which need removing from fire exits, etc.;
- exit doors which are required to be in the open position are secure; and
- checking that all escape routes are clear of obstructions and combustibles.

Before the event or function, you should decide:

- the arrangements for fighting fire;
- the arrangements for means of escape for disabled persons;
- the duties and identity of staff who have specific responsibilities if there is a fire;
- the arrangements for the safe evacuation of people identified as being especially at risk, such as contractors, those with disabilities, children, members of the public and visitors;
- how you will proceed if life safety systems are out of order, e.g. fire-detection and alarm systems, sprinklers or smoke control systems;
- who will be responsible for calling the fire and rescue service and any other necessary services;
- who will meet the fire and rescue service on their arrival and notifying them of any special risks, e.g. the location of highly flammable materials; and
- your plans to deal with people once they have left the premises, especially children.

During the event or function you should ensure that:

- escape routes and exits do not become blocked;
- your smoking policy is adhered to;
- no naked flames are started (unless authorised, e.g. candles);
- where naked flames are present that combustible material is kept clear;
- rooms do not become overcrowded;
- noise levels cannot drown out the fire alarm; and
- if necessary, the number of persons in your premises is limited or controlled.

The above list is for example only and will need to be specific to any particular venue or premises.

Appendix B. Accident Report Form

A stand-alone version of this form is available on the website Information page.

This form is for the Group Leader to record any accidents and should be retained by the GL. The form provides proof that the GL has taken action in case of comeback, but if any guidance or reassurance is required, please contact the Group Coordinator.

Name of Injured party/address/telephone number:

Name/address/telephone number of others involved:

Date/Time of Accident:

Location:

Nature of Accident/Circumstances:

Injury Details/Property Damage:

Name/address/telephone number of person causing injury/damage:

Witnessed by:

Address:

Telephone number:

Action taken:

Was any specialised assistance required at the scene? If so give details.

Was medical advice sought afterwards? If so give details.

Name of Group Leader:

Telephone no:

Signed: (injured party)

Signed: (group leader)

Date:

Appendix C. Insurance Overview

As this information is subject to annual changes, please see the document Insurance Overview.docx in the same OneDrive folder as this. That is taken from <https://www.u3a.org.uk/component/edocman/insurance-overview?highlight=WyJpbN1cmFuY2UiXQ==> which has the correct date for creation and last update – don't believe the date at the bottom of the doc! The discrepancy was reported to TAT on 220717.

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Appendix D. Venue Risk Assessment Checklist

u3a Name:		Warwick District			
Location:					
Date:					
u3a Interest Group:					
Description of Activity:					
Hazard		Yes	No	N/A	Comments
1	Is the access suitable for the group attending the activity?				
2	Is wheelchair access adequate?				
3	Is the area free from obstructions and trip hazards?				
4	Is adequate means of escape in an emergency provided?				
5	Are there appropriate direction signs to aid escape?				
6	Is there a fire alarm?				
7	Is there emergency lighting?				
8	Is there a designated assembly point? Where is it?				
9	Is there an emergency procedure for the building?				
	Do you have a copy?				
10	Is seating always laid out?				
	Is it a u3a responsibility to lay out seating before and after the event?				
11	Is food being provided/prepared?				
	Is the kitchen adequate and hygienic?				
	Are food-safe cleaning materials available?				
	Visual safety check on kettles etc.				
12	Are the toilet facilities adequate and accessible?				
13	Is equipment being brought to the venue?				
	Has it been safety checked?				
14	Is there a First Aid Box or is the u3a to provide?				
	If provided, where is it?				
15	Other (define)				
16	Other (define)				
Additional information:					

Signature

Position

Date