



**south west information
compliance group**

SWICg Constitution

Amended at the AGM on 6th May 2009



**south west information
compliance group**

South West Information Compliance Group ("The Group")

CONSTITUTION

1. Overall Objectives

- 1.1 To operate on a non profit making basis within the South West area of England for the benefit of member organisations
- 1.2 To assist members who have responsibilities associated with information management & compliance to develop their understanding in order to improve fulfilment of their duties
- 1.3 To develop, distribute and review standards of good practice for use in member organisations

2. Aims

- 2.1 To offer the opportunity of networking and open forum discussions for members to share challenges, expertise and solutions
- 2.2 To facilitate networking, mutual support and encouragement for members in their roles within their organisations

3. Membership

- 3.1 Free membership is available to all organisations (both public & private sector) with an interest in information management & compliance

3.2 Geographical area

- 3.2.1 Members of the group from organisations within the geographical area, normally recognised as being bounded to the north east by Gloucestershire, Wiltshire and Dorset
- 3.2.2 Organisations not within this geographical area may seek membership via the Chair, with decisions being agreed by the Executive Committee

3.3 Eligibility

- 3.3.1 Eligible members will include, but not restricted to:
 - Data Protection practitioners
 - Freedom of Information practitioners
 - Information Security specialists
 - Caldicott Guardians
 - Information Managers



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- Compliance Managers
- Governance personnel
- Archivists
- Records Managers

and any other individuals with a close working relationship with these professionals.

3.4 Co-option

3.4.1 Organisations and individuals who are providing specialist services which are within the remit of the group may be co-opted at the discretion of the Executive Committee

4. Executive Committee

4.1 The Executive Committee constitutes members of the group appointed to provide leadership, strategic insight and accountability for the group.

4.2 Elected posts on the Executive shall be:

Chair
Vice-Chair
Treasurer

4.3 At the Chair's discretion, co-opted roles to the Executive shall be:

Secretary to the Executive
Events Coordinator
Membership Secretary
Marketing & Outreach Director
Subgroup Director(s)
Communications Director
Webmaster

4.4 The Executive Committee shall meet as often as required at the discretion of the Chair. It shall take decisions on the casting vote of the Chairman, if necessary.

4.5 The group shall appoint an auditor for the Annual General Meeting (AGM).

5. Annual General Meeting (AGM)

5.1 The elected members of the Executive Committee will be determined by a vote at the Annual General Meeting. This may take place at an annual seminar

5.2 Executive members (as outlined in 4.2) will be elected on a one vote per member basis



6. Quorum

- 6.1 The Quorum of the AGM shall be 5 organisations, to include the Chair, Vice-Chair or a nominated representative of the SWICg Executive.
- 6.2 The Quorum for the Executive Committee shall be 3 members (elected or co-opted), to include the Chair or Vice-Chair or a nominated representative of the Executive.

7. Terms of Reference

- 7.1 To ensure the group is self-financing
- 7.2 To provide annual seminars on a chargeable basis, subject to adequate demand from members. If a member makes a presentation at a seminar no delegate fee (for that individual member) shall be made
- 7.3 Provide appropriate workshops on a chargeable basis, subject to adequate demand from members
- 7.3.1 Waiving of any attendance fees is at the discretion of the Chair, on a case by case basis
- 7.3.2 Any group member will not be paid for speaking or participating in a workshop, sub-group meeting or other event of a similar nature.
- 7.4 Provide sub-groups / forum meetings on a neutral cost basis, subject to adequate demand from members, with all members being given the opportunity of participating
- 7.5 The Group shall reserve the right to charge members who do not attend workshops, sub-groups or forum meetings if cancellations are not received 7 calendar days in advance of the event. A reminder will be issued if payment is not received within 30 days of the event. The chair reserves the right to refuse admittance to future events if payment not received after such a reminder.
- 7.6 Speakers' fees will be paid up to the value of £500 (exclusive of travelling expenses) for visiting speakers (who are not members of the group – 7.3.2) at chargeable events organised by the group, for example the annual seminar.
- 7.7 Travelling expenses incurred by visiting speakers (who are not members of the group – 7.3.2) will be paid up to the value of £250 for speakers at chargeable events organised by the group, for example the annual seminar
- 7.8 Any publication (e.g. Codes of Practice) will be offered for sale when considered appropriate
- 7.9 Develop and maintain an informative group website and portal



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7.10 Maintain a practical working relationship with staff in the Information Commissioner's Office

7.11 Build and establish a working relationship with national and regional Groups which share a common interest and aim

8. Finances and Accounts

8.1 The bank accounts must be maintained under the name of the South West Information Compliance Group. The funds shall be administered by the Executive Committee

8.2 Approved signatories of the group bank account shall be the Chair and Treasurer (two signatories required)

8.3 The Treasurer shall keep the accounts which shall be made up to the 28th February each year

8.4 The Accounts will be subject to independent examination and presented to the AGM

8.5 In the event of the Group ceasing to function, disposal of any remaining funds shall be decided by the Executive Committee



Executive Committee: Roles, Responsibilities & Actions

Chair

Role description & person specification

The Chair has a strategic role to play in representing the vision and purpose of SWICg.

The Chair ensures that the Executive committee functions properly, that there is full participation at meetings, all relevant matters are discussed and that effective decisions are made and carried out.

Ensure the Executive committee functions properly.

- To plan and run meetings in accordance with the constitution.
- To ensure matters are dealt with in an orderly, efficient manner.
- To bring impartiality and objectivity to meetings and decision-making.
- To facilitate change and address conflict within Executive and membership.
- To review governance performance
- To plan for recruitment and renewal of the Executive Committee.

Ensure the organisation is managed effectively.

- To liaise with the Executive Committee, as appropriate, to keep an overview of SWICg's affairs.
- To co-ordinate the committee to ensure responsibilities for particular aspects of management (e.g. financial control, event organisation, publicity etc) are met and specialist expertise is employed as required.
- To facilitate change and address conflict within the organisation, liaising with the Executive Committee to achieve this.

Represent the organisation.

- To communicate effectively the vision and purpose of the organisation.
- To advocate for and represent the organisation at external meetings and events.
- To be aware of current issues that might affect the organisation.

Qualities and Skills Required.

- Good leadership skills.
- Good communication and interpersonal skills.
- Impartiality, fairness and the ability to respect confidences.
- Ability to ensure decisions are taken and followed-up.
- Good time-keeping.
- Tact and diplomacy.
- Understanding of the roles/responsibilities of the Executive committee.
- Experience of organisational and people management.

Time Commitment:

The role of Chair requires an estimated commitment of 4 hours/month taken over a 12 month period. In addition attendance at Executive Committee, SWICg Events and other representational events are estimated at 7 working days per annum.



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Vice-Chair

Role description & person specification

The Vice-Chair acts for the Chair when s/he is not available and undertakes assignments at the request of the Chair. To ensure continuity SWICg will ensure that the chair has a deputy who can assume their responsibility and is familiar with their work should this be necessary.



Treasurer

Role description & person specification

The overall role of a treasurer is to maintain an overview of SWICg's financial affairs, ensuring its viability and ensuring that proper financial records and procedures are maintained. The role and person specification are summarised below.

General financial oversight.

- To oversee and present budgets, accounts and financial statements.
- To liaise with designated executive and SWICg members about financial matters.
- To ensure that appropriate accounting procedures and controls are in place.
- To ensure compliance with relevant legislation.
- To ensure any recommendations of the auditors are implemented.
- To ensure accounts meet the conditions of contractual agreements with external agencies such as statutory bodies.
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Financial planning and reporting.

- To present written financial statements at each meeting of the Executive committee.
- To make a presentation of the accounts at the annual general meeting (AGM).
- To advise on the organisation's reserves and investment policies.
- Ensure all the bank accounts are in the name of the Group
- To advise on the financial implications of the organisation's strategic and operational plans.
- To advise on the funding strategy of SWICg and its associated sub groups
- To ensure that there is no conflict between any investment held and the aims and objectives of SWICg.

Other.

- To chair any meetings of any Finance Sub-group which may be convened

Qualities and Skills Preferred.

- Experience of financial control and budgeting.
- Experience of fundraising and pension schemes.
- Good communication and interpersonal skills.
- A willingness to be contacted on an ad hoc basis.
- Ability to ensure decisions are taken and followed-up.
- Good time-keeping.

Time Commitment Required.

The role of the Treasurer requires an estimated commitment of 4 hours/month taken over a 12 month period. In addition attendance at Executive Committee meetings & events are estimated at 5 working days per annum.



Secretary to the Executive

Role description & person specification

The role of the secretary is to support the chair in ensuring the smooth functioning of the Executive Committee.. The Secretary's tasks include:

Ensure responsible administration.

- To prepare agendas in consultation with the Chair
- To circulate agendas and any supporting papers in good time.
- To receive agenda items from other committee members.
- To check that quorum is present.
- To minute meetings and circulate the draft minutes to all committee members.
- To ensure that the chair signs the minutes once they have been approved.
- To check that committee members and any nominees have carried out action(s) agreed.
- To circulate agendas and minutes of the annual general meeting (AGM) and any special or extraordinary general meetings.
- To ensure up-to-date records are kept of committee membership.
- To ensure any statutory requirements are met, including any DP registration the group may hold.

Make arrangements for meetings.

To ensure arrangements for meetings are met (booking the room, arranging for equipment and refreshments, organising facilities for those with special needs, etc).

Other duties:

- To sit on any other sub-group panels as required.

Qualities and Skills Required.

- Organisational ability.
- Experience of committee work and procedures.
- Minute-taking experience (if this is not being delegated to staff).
- Good communication and interpersonal skills.
- Impartiality, fairness and the ability to respect confidences.
- Approachable and sensitive to the feelings of others.
- Well organised and an eye for detail.
- Ability to work well with the Chair.
- Good time-keeping.

Time Commitment Required

The role of Secretary requires an estimated commitment of 4 hours/month taken over a 12 month period. In addition attendance at Executive Committee meetings & events are estimated at 5 working days per annum.



Events Co-ordinator

Role Description and Person Specification

The role of the Events Co-ordinator is to assume overall responsibility for the organisation of special events such as the annual seminar and any workshops that the executive wish to promote, but excluding the regular meetings of subgroups (see Subgroup Chair/Director & Subgroup Facilitator/Producer) The Events Co-ordinator is also responsible for the production of all event materials. The Events Co-ordinator is a member of the SWICg Executive and as such reports progress of planned events to the committee.

Ensure events are managed effectively

- Contact potential speakers
- Arrange overnight accommodation for speakers / sponsors
- Organise any specific travel arrangements for speakers
- Liaise with the Marketing & Outreach Director regarding sponsorship of events
- Book venues
- Liaise with Treasurer regarding overall cost breakdown of event
- Assemble all event literature
- Ensure the event runs smoothly on the day

Qualities and Skills required

- Good communication and interpersonal skills
- Organisational ability
- Ability to work well with the Executive Committee
- Ability to achieve targets set by the executive committee
- Good time-keeping
- Experience of organisational and people management

Time Commitment required

The role of Events Co-ordinator requires an estimated commitment of 4 hours/month taken over a 12 month period. In addition attendance at Executive Committee and SWICg events are estimated at 5 working days per annum.



Marketing & Outreach Director

Role Description and Person Specification

The role of the Marketing and Outreach Director is to assume overall responsibility for the marketing and promotion of the group, to ensure satisfactory attendance at events and steady growth of the membership of the group, particularly from underrepresented sectors of the information compliance world.

Ensure appropriate outreach of the group

- Liaising with local authorities that are not currently members of the group, including those who historically were members but are not currently represented
- Widening the membership of the group across the Public Sector
- Further outreach to the Private sector
- Establishing reasons for non-attendance at seminars by current members

Ensure appropriate Marketing of the group

- Coordinating promotional and marketing campaigns
- Responsibility for promotional material for particular events (e.g. training, workshops, seminars)
- Support the Executive Committee in producing and updating a promotional information pack for the group
- Coordinate a welcome pack for new members

Ensure Sponsorship for the group

- Support the Events Co-ordinator and Executive Committee with securing sponsorship for events and promotional materials (including members welcome pack).

Qualities and Skills Required

- Good communication and interpersonal skills.
- Impartiality, fairness and the ability to respect confidences.
- Tact and diplomacy.
- An understanding and/or experience of marketing and sales

Time Commitment required

The role of Marketing & Outreach Director requires an estimated commitment of 4 hours/month taken over a 12 month period. In addition attendance at Executive Committee meetings & events are estimated at 5 working days per annum.



Subgroup Chair/Director

Role description and personal specification

The chair of each subgroup ensures that the subgroup functions properly, and assumes overall responsibility for the group. The subgroup chair is a member of the SWICg Executive Committee and represents the subgroup at committee meetings.

Make arrangements for meetings

- Ensure the annual frequency of meetings is adhered to
- Ensure arrangements for meetings are met (booking the room, arranging for equipment and refreshments, organising facilities for those with special needs, etc)
- Make arrangements for collecting payments/invoicing with the SWICg Chair/Treasurer in compliance with the financial procedures of the group.
- Nominate a facilitator and/or speaker for each meeting
- Communicate with subgroup members, details of forthcoming meetings, workshops, training or special events via the SWICg Membership Secretary

Ensure the subgroup is managed effectively

- Point of contact for feedback concerning the function and management of the subgroup
- Report to the Executive Committee, as appropriate, with an overview of the subgroup
- Facilitate change and address conflict within the group, liaising with the SWICg Chair as appropriate

Qualities and Skills Required.

- Good leadership skills.
- Good communication and interpersonal skills.
- Impartiality, fairness and the ability to respect confidences.
- Good time-keeping.
- Tact and diplomacy.

Time commitment required

The role of Subgroup Chair/Director requires an estimated commitment of 4 hours/month taken over a 12 month period. In addition attendance at Executive Committee meetings & events are estimated at 5 working days per annum.



Subgroup facilitator/producer

Role description and personal specification

The Subgroup Chair nominates the facilitator of each subgroup. The facilitator assumes overall responsibility for the running of the meeting for which they have been appointed.

Running of Meetings

- Draft the agenda and any handouts for the meeting
- Responsibility for housekeeping at the meeting
- Organisation of the day
- Arranges the speaker for the meeting as appropriate (the facilitator may not necessarily be the speaker/presenter of the meeting at which they are facilitating)

Qualities and Skills Required.

- Good communication and interpersonal skills.
- Impartiality, fairness and the ability to respect confidences.
- Good time-keeping.
- Tact and diplomacy.

Time commitment required

The only time commitment required of the Subgroup facilitator/producer is 1-3 hours preparing for the meeting, which they are facilitating, and their time in attending that meeting.



Communications Director

Role description & person specification

To act as the Press Officer for the group:

Ensure responsible administration.

- Co-ordinate news and issues provided by the group
- Responsible for all communications with group members
- Draft and publish the member's e-bulletin, in liaison with other members of the Executive Committee
- Liaise with the Marketing & Outreach Director and provide support as required

Qualities and Skills Required.

- Organisational ability.
- Experience of committee work and procedures.
- Good communication and interpersonal skills.
- Impartiality, fairness and the ability to respect confidences.
- Approachable and sensitive to the feelings of others.
- Well organised and an eye for detail.
- Ability to work well with the Chair.
- Good time-keeping.

Time Commitment Required

The role of the Membership Secretary requires an estimated commitment of 4 hours/month taken over a 12 month period. In addition attendance at Executive Committee meetings & events are estimated at 5 working days per annum.



Membership Secretary

Role description & person specification

Similar to those outlined for the post of the Secretary to the Executive. The Secretary's tasks include:

Ensure responsible administration.

- To maintain an up to date Membership Database
- To be the point of contact for enquires from members and the registration of new members
- To be the source from which all member communications are sent
- To liaise with the webmaster and portal developers on membership related issues and information
- To support the Marketing & Outreach Director in promoting the group to potential new members

Qualities and Skills Required.

- Organisational ability.
- Experience of committee work and procedures.
- Good communication and interpersonal skills.
- Impartiality, fairness and the ability to respect confidences.
- Approachable and sensitive to the feelings of others.
- Well organised and an eye for detail.
- Ability to work well with the Chair.
- Good time-keeping.

Time Commitment Required

The role of the Membership Secretary requires an estimated commitment of 4 hours/month taken over a 12 month period. In addition attendance at Executive Committee meetings & events (as appropriate) are estimated at 5 working days per annum.