

## Roles and Responsibilities in Relation to Working Groups

### Summary

Below are outlined the various interactions between, and responsibilities of, the Working Group(WG) Executive Sponsors, the Operating Committee(OC) Chair and the Working Group(WG) Chairs with the ISSA CEO Office. Through their disciplined application, it is anticipated that the WGs will become more efficient and able to produce faster and more focussed output.

### WG Executive Sponsor

- To guide the WG Chair in co-operation with the OC Chair and the ISSA CEO Office, on the direction of the WG and its alignment with ISSA's Objectives
- To assist the WG Chair, the OC Chair and the ISSA CEO Office in recruiting experts from the ISSA Membership to participate in the WGs
- To help to identify relevant research, or other available information, relevant to the WG activities
- To review drafts of WG reports, as requested by the WG Chairs, before the draft reports are provided for further discussion to the OC Members and the ISSA Board
- To share, periodically, with the WG Chair their opinion with respect to the scope and the milestones set and to recommend any amendments

### OC Chair

- To contribute to, and have a strong vision of, both the current and future ISSA strategy
- To choose, with input from OC Members, the key topics to be picked up and addressed within the WGs and propose them to the ISSA Board for approval
- To evaluate the work items to be proposed, against a set of defined criteria, prior to the ISSA Board submission
- To take stock of the work in progress in the various WGs and evaluate, on a semi-annual basis, whether the issues log needs reprioritization
- To report the results of the WG and OC discussions to the ISSA Board, e.g. on the occasion of a Board meeting
- To assist the WG Chair and ISSA CEO Office in recruiting experts from the ISSA Membership; including the OC and ISSA Board
- To engage with the WG Executive Sponsors as needed
- To draft the agenda, provide rooms and chair OC meetings with the assistance of the ISSA CEO Office
- To manage, with the assistance of the ISSA CEO Office, the WGs and overall direction of the whole effort
- To create the glue between all WGs, partially via the six-monthly call, but also through ongoing discussions with the WG Chairs
- To ensure the deliverables are met and arbitrate discussions as necessary
- To help with the Symposium, by advising the ISSA CEO Office on ideas and content
- To act as a critical friend to the ISSA CEO Office

## WG Chair

- To be accountable for the content & creation of WG papers and actively chair the meetings
- To approve or edit the minutes within five working days
- To own recruiting the right experts to join each WG from the ISSA Membership; with help from the WG Executive Sponsor, OC Chair, and ISSA CEO Office
- To ensure the running of an inclusive WG, including all of the regions of the world where possible
- To provide quarterly updates on WG progress, within 10 working days of the quarter end, to the ISSA CEO Office to publish
- Furnish the CEO Office with the final draft of any papers to be published

## ISSA CEO Office

- To be responsible for maintaining a dynamic list of potential WG topics to be addressed, which will be updated with major changes, on behalf of the OC Chair
- To create, in conjunction with the submitting ISSA Member, the proposal for approval for any new topic by the OC and the ISSA Board
- To create the project plan with the WG chair, once a new WG is approved
- To assist the WG Chairs in recruiting experts from the ISSA Membership
- To provide Project Management for the WGs, with the assistance of the WG Chairs, including:
  - Preparation of meeting agendas and any advance documentation:
  - Preparation and distribution of invitations as well as handling of feedback, inquiries and correspondence
  - Coordination of reservations for premises and dinner locations, where required
  - Preparation of WG documentation (draft documents, slide presentations, advance discussion papers, research, etc.)
  - Administration of the WGs through maintaining and updating lists of WG Members, solicitation of GDPR forms and posting of lists to the CUG
  - Attendance at WG meetings and calls
  - Creation and maintenance of the WG issue log
  - Production of the draft minutes within 48 hours
  - Coordination of monthly update calls, with the WG Chairs, to ensure that follow up actions are completed, next steps agreed and issues are actively addressed
  - Finalization of WG reports and other documentation ready for publication after the final draft has been received
- To actively promote ISSA's branding through:
  - The preparation of regular WG updates and other related content for the ISSA website and periodic Newsletters; with input and feedback from the WG Chair
  - The coordination and submission of press releases upon the release of WG reports and any other report-worthy WG items

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## International Securities Services Association