

## Terms of Reference:

### Regulator Outreach Committee

#### *Effective Date:*

**November 2020**

#### **Purpose:**

- **Regulatory engagement:** Liaise with regulators in South Africa on a strategic level, as well as regarding specific matters
- **Advocacy:** Develop CFA Society South Africa to become a recognised and significant role player in setting and implementing industry regulation, conduct codes and governance by building four pillars of advocacy:
  - Ethics training (through the Ethics project team);
  - Adoption of standards and codes of conduct at institutions;
  - Provide support to regulators
  - Responsible Investing (through the RI project team)
- **Member Support and Representation:**
  - Promote highest member standards
  - Advocate on behalf of members where relevant necessary
  - Represent the members in policy formation
  - Be a voice for CFA charterholders in South Africa when it comes to regulatory matters

#### **Tasks:**

1. **Ethics:** Promote the CFA Code of Standards and Ethics through the Ethics Project team
  - a. Facilitate, provide and promote Standards and Ethics learnings
  - b. Guide country-level guidance on Standards and Ethics in Southern Africa
  - c. Become the leader in Ethics training in the industry
2. **Advocacy:** Take action to promote Advocacy
  - a. Proactively inform Regulatory and Best Practice policy
  - b. Represent member interests in policy debate within the CFA SA Advocacy Framework
3. **Regulatory support and stakeholder engagement:**
  - a. Be a recognised support structure for regulators that is called upon for input into setting and implementing regulatory framework(s)
4. **Member support:**
  - a. Establish a support system for members in case of bullying tactics by companies and employers\*

*\*Collaborate with Employer Outreach committee*

#### **2020 Measurable KPIs:**

1. Attend relevant FSCA forums/workshops/meetings and ensure that our voice is heard and recognised.
2. Have formal representation on relevant industry associations and steering committees including ASISA, MCRF, IRFA, ABSIP, UNPRI, ASSA, JSE and ASEA.
3. Advocacy outreach efforts to regulators in Southern Africa including South Africa: 2-4 (including participation in ASEA events)
4. Number of Ethics training workshops offered in South Africa: 2

## Committee Structure & Operations:

### *1 – Chair*

Raazia Ganie

### *2 – Committee Members*

Lwando Moni

Delphine Govender –Responsible Investing Project Team

Caroline Cremen - Ethics Project Team

### *3 – Volunteers*

Vuyolwethu Nzube (Responsible Investing Project Team)

### *4 – Meeting Frequency (at least 2 p.a.)*

2 x year

### *5 – Preferred Board Feedback Dates (select 4 in order of preference)*

Feb

November

May

September