




| Discretionary Mandatory LEA 02 | | Gateway |
|--------------------------------|--|---|
| Type of engagement | Individual/ internal staff engagements | Reason for interaction |
| Collaborative engagements | | <input checked="" type="checkbox"/> To support investment decisionmaking in & company related ESG issues <input checked="" type="checkbox"/> To enhance corporate practice or identify the need to enhance corporate practice <input checked="" type="checkbox"/> To engage investor ESG disclosure <input type="checkbox"/> Other - specify |
| Service provider engagements | | <input type="checkbox"/> To support investment decisionmaking in & company related ESG issues <input type="checkbox"/> To enhance corporate practice or identify the need to enhance corporate practice <input type="checkbox"/> Other - specify |

RI TRANSPARENCY REPORT

2019

CARE Super

About this report

The PRI Reporting Framework is a key step in the journey towards building a common language and industry standard for reporting responsible investment (RI) activities. This RI Transparency Report is one of the key outputs of this Framework. Its primary objective is to enable signatory transparency on RI activities and facilitate dialogue between investors and their clients, beneficiaries and other stakeholders. A copy of this report will be publicly disclosed for all reporting signatories on the [PRI website](#), ensuring accountability of the PRI Initiative and its signatories.

This report is an export of the individual Signatory organisation's response to the PRI during the reporting period specified above. It includes their responses to mandatory indicators, as well as responses to voluntary indicators the signatory has agreed to make public. The information is presented exactly as it was reported. Where an indicator offers a response option that is multiple-choice, all options that were available to the signatory to select are presented in this report. Presenting the information exactly as reported is a result of signatory feedback which suggested the PRI not summarise the information.

PRI disclaimer

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| | | | |
|-------|-----------|-----------------|---------|
| OO 01 | Mandatory | Gateway/Peering | General |
|-------|-----------|-----------------|---------|

OO 01.1 Select the type that best describes your organisation or the services you provide.

- Non-corporate pension or superannuation or retirement or provident fund or plan
- Corporate pension or superannuation or retirement or provident fund or plan
- Insurance company
- Foundation
- Endowment
- Development finance institution
- Reserve - sovereign or government controlled fund
- Family office
- Other, specify

| | | | |
|-------|-----------|---------|---------|
| OO 02 | Mandatory | Peering | General |
|-------|-----------|---------|---------|

OO 02.1 Select the location of your organisation's headquarters.

Australia

OO 02.2 Indicate the number of countries in which you have offices (including your headquarters).

- 1
- 2-5
- 6-10
- >10

OO 02.3 Indicate the approximate number of staff in your organisation in full-time equivalents (FTE).

105

| | | | |
|-------|-----------|-------------|---------|
| OO 03 | Mandatory | Descriptive | General |
|-------|-----------|-------------|---------|

OO 03.1 Indicate whether you have subsidiaries within your organisation that are also PRI signatories in their own right.

- Yes
- No

| | | | |
|-------|-----------|-----------------|---------|
| OO 04 | Mandatory | Gateway/Peering | General |
|-------|-----------|-----------------|---------|

OO 04.1 Indicate the year end date for your reporting year.

30/06/2018

OO 04.2 Indicate your total AUM at the end of your reporting year.

Total AUM

14,761,515,477 AUD

10,886,577,453 USD

OO 04.5 Additional information. [Optional]

AUM is taken as net assets from audited financial statements.

| | | | |
|-------|--|---------|---------|
| OO 05 | Mandatory to Report, Voluntary to Disclose | Gateway | General |
|-------|--|---------|---------|

OO 05.1 Provide an approximate percentage breakdown of your AUM at the end of your reporting year using the following asset classes and investment strategies:

| | Internally managed (%) | Externally managed (%) |
|----------------|------------------------|------------------------|
| Listed equity | 0 | 10-50% |
| Fixed income | 0 | <10% |
| Private equity | 0 | <10% |
| Property | 0 | 10-50% |
| Infrastructure | 0 | <10% |
| Commodities | 0 | 0 |
| Hedge funds | 0 | <10% |

| | | |
|--------------------------|------|------|
| Fund of hedge funds | 0 | 0 |
| Forestry | 0 | 0 |
| Farmland | 0 | 0 |
| Inclusive finance | 0 | 0 |
| Cash | <10% | <10% |
| Money market instruments | 0 | 0 |
| Other (1), specify | 0 | <10% |
| Other (2), specify | 0 | 0 |

Externally managed 'Other (1)' description
Credit

OO 06 Mandatory Descriptive General

OO 06.1 Select how you would like to disclose your asset class mix.

- as percentage breakdown
- as broad ranges

OO 06.3 Indicate whether your organisation has any off-balance sheet assets [Optional].

- Yes
- No

OO 06.5 Indicate whether your organisation uses fiduciary managers.

- Yes, we use a fiduciary manager and our response to OO 5.1 is reflective of their management of our assets.
- No, we do not use fiduciary managers.

OO 07 Mandatory to Report, Voluntary to Disclose Gateway General

Private

OO 08 Mandatory to Report, Voluntary to Disclose Peering General

Private

OO 09 Mandatory Peering General

OO 09.1 Indicate the breakdown of your organisation's AUM by market.

93

Developed Markets

7

Emerging Markets

0

Frontier Markets

0

Other Markets

OO 10 Mandatory Gateway General

OO 10.1 Select the active ownership activities your organisation implemented in the reporting year.

Listed equity – engagement

- We engage with companies on ESG factors via our staff, collaborations or service providers.
- We require our external managers to engage with companies on ESG factors on our behalf.
- We do not engage directly and do not require external managers to engage with companies on ESG factors.

Listed equity – voting

- We cast our (proxy) votes directly or via dedicated voting providers
- We require our external managers to vote on our behalf.
- We do not cast our (proxy) votes directly and do not require external managers to vote on our behalf

Fixed income SSA – engagement

- We engage with SSA bond issuers on ESG factors via our staff, collaborations or service providers.
- We require our external managers to engage with SSA bond issuers on ESG factors on our behalf.
- We do not engage directly and do not require external managers to engage with SSA bond issuers on ESG factors. Please explain why you do not.

Fixed income Corporate (financial) – engagement

- We engage with companies on ESG factors via our staff, collaborations or service providers.
- We require our external managers to engage with companies on ESG factors on our behalf.
- We do not engage directly and do not require external managers to engage with companies on ESG factors. Please explain why you do not.

Fixed income Corporate (non-financial) – engagement

- We engage with companies on ESG factors via our staff, collaborations or service providers.
- We require our external managers to engage with companies on ESG factors on our behalf.
- We do not engage directly and do not require external managers to engage with companies on ESG factors. Please explain why you do not.

Fixed income Corporate (securitised) – engagement

- We engage with companies on ESG factors via our staff, collaborations or service providers.
- We require our external managers to engage with companies on ESG factors on our behalf.
- We do not engage directly and do not require external managers to engage with companies on ESG factors. Please explain why you do not.

| | | | |
|-------|-----------|---------|---------|
| 00 11 | Mandatory | Gateway | General |
|-------|-----------|---------|---------|

00 11.1 Select the internally managed asset classes in which you addressed ESG incorporation into your investment decisions and/or your active ownership practices (during the reporting year).

Cash

- We address ESG incorporation.
- We do not do ESG incorporation.

00 11.2 Select the externally managed assets classes in which you and/or your investment consultants address ESG incorporation in your external manager selection, appointment and/or monitoring processes.

| Asset class | ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes |
|--|--|
| Listed equity | <p style="background-color: #0070c0; color: white; padding: 2px;">Listed equity - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process <input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process <input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process <input type="checkbox"/> We do not do ESG incorporation |
| Fixed income - SSA | <p style="background-color: #0070c0; color: white; padding: 2px;">Fixed income - SSA - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process <input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process <input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process <input type="checkbox"/> We do not do ESG incorporation |
| Fixed income - corporate (financial) | <p style="background-color: #0070c0; color: white; padding: 2px;">Fixed income - corporate (financial) - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process <input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process <input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process <input type="checkbox"/> We do not do ESG incorporation |
| Fixed income - corporate (non-financial) | <p style="background-color: #0070c0; color: white; padding: 2px;">Fixed income - corporate (non-financial) - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process <input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process <input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process <input type="checkbox"/> We do not do ESG incorporation |

| | |
|----------------------------|--|
| Fixed income - securitised | <p>Fixed income - securitised - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process</p> <p><input type="checkbox"/> We do not do ESG incorporation</p> |
| Private equity | <p>Private equity - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process</p> <p><input type="checkbox"/> We do not do ESG incorporation</p> |
| Property | <p>Property - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process</p> <p><input type="checkbox"/> We do not do ESG incorporation</p> |
| Infrastructure | <p>Infrastructure - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process</p> <p><input type="checkbox"/> We do not do ESG incorporation</p> |
| Hedge funds | <p>Hedge funds - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process</p> <p><input type="checkbox"/> We do not do ESG incorporation</p> |
| Cash | <p>Cash - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process</p> <p><input type="checkbox"/> We do not do ESG incorporation</p> |
| Other (1) | <p>Other (1) - ESG incorporation addressed in your external manager selection, appointment and/or monitoring processes</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager selection process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager appointment process</p> <p><input checked="" type="checkbox"/> We incorporate ESG into our external manager monitoring process</p> <p><input type="checkbox"/> We do not do ESG incorporation</p> |

OO 11.4 Provide a brief description of how your organisation includes responsible investment considerations in your investment manager selection, appointment and monitoring processes.

CareSuper integrates ESG into the investment process via selecting, monitoring and engaging with outsourced investment managers. At the stage of assessing new managers for inclusion in an asset class, potential investment managers need to demonstrate to CareSuper how ESG issues are incorporated into their investment processes such as investment idea generation, stock selection and risk management. Potential managers will also be made aware that CareSuper has been a PRI signatory since 2006. For any manager that is not currently a PRI signatory, CareSuper would ask them to explain why they are not a signatory as CareSuper believes it is a great framework to help investors implement ESG.

At the stage of manager appointment, CareSuper works with investment managers to incorporate ESG into mandate schedules as well as in side letters.

In regards to manager monitoring, CareSuper incorporates ESG into annual asset class reviews. Managers across asset classes need to complete a formal ESG survey (tailored for each asset class) and discuss with CareSuper's ESG and investment specialist on their ESG integration in addition to answers provided in the survey. CareSuper's dedicated ESG Specialist also engages with investment managers on specific ESG issues with the support of asset class specialists.

In addition, specifically related to Australian equity investments, as a member of Australian Council of Superannuation Investors (ACSI), CareSuper monitors and reviews critical ESG issues of major ASX listed companies and engages with these companies to improve their ESG practices via ACSI. Any company identified by ACSI on ESG issues would be raised with relevant investment managers to ascertain their view and action taken.

| | | | |
|-----------|--|---------|---------|
| OO 12 | Mandatory | Gateway | General |
| OO 12.1 | Below are all applicable modules or sections you may report on. Those which are mandatory to report (asset classes representing 10% or more of your AUM) are already ticked and read-only. Those which are voluntary to report on can be opted into by ticking the box. | | |
| | Core modules | | |
| | <input checked="" type="checkbox"/> Organisational Overview <input checked="" type="checkbox"/> Strategy and Governance | | |
| | RI implementation directly or via service providers | | |
| | Direct - Listed Equity active ownership | | |
| | <input checked="" type="checkbox"/> Engagements <input checked="" type="checkbox"/> (Proxy) voting | | |
| | RI implementation via external managers | | |
| | Indirect - Selection, Appointment and Monitoring of External Managers | | |
| | <input checked="" type="checkbox"/> Listed Equities <input type="checkbox"/> Fixed income - SSA <input type="checkbox"/> Fixed income - Corporate (financial) <input type="checkbox"/> Fixed income - Corporate (non-financial) <input type="checkbox"/> Fixed income - Securitised <input type="checkbox"/> Private Equity <input checked="" type="checkbox"/> Property <input checked="" type="checkbox"/> Infrastructure | | |
| | Closing module | | |
| | <input checked="" type="checkbox"/> Closing module | | |
| OO SAM 01 | Mandatory to Report, Voluntary to Disclose | Gateway | General |
| Private | | | |

SG 01.1 Indicate if you have an investment policy that covers your responsible investment approach.

Yes

SG 01.2 Indicate the components/types and coverage of your policy.

| Policy components/types | Coverage by AUM |
|---|---|
| <input checked="" type="checkbox"/> Policy setting out your overall approach <input type="checkbox"/> Formalised guidelines on environmental factors <input type="checkbox"/> Formalised guidelines on social factors <input type="checkbox"/> Formalised guidelines on corporate governance factors <input type="checkbox"/> Fiduciary (or equivalent) duties <input type="checkbox"/> Asset class-specific RI guidelines <input type="checkbox"/> Sector specific RI guidelines <input checked="" type="checkbox"/> Screening / exclusions policy <input checked="" type="checkbox"/> Engagement policy <input checked="" type="checkbox"/> (Proxy) voting policy <input type="checkbox"/> Other, specify (1) <input type="checkbox"/> Other, specify(2) | <input checked="" type="checkbox"/> Applicable policies cover all AUM <input type="checkbox"/> Applicable policies cover a majority of AUM <input type="checkbox"/> Applicable policies cover a minority of AUM |

SG 01.3 Indicate if the investment policy covers any of the following

- Your organisation's definition of ESG and/or responsible investment and it's relation to investments
- Your investment objectives that take ESG factors/real economy influence into account
- Time horizon of your investment
- Governance structure of organisational ESG responsibilities
- ESG incorporation approaches
- Active ownership approaches
- Reporting
- Climate change
- Understanding and incorporating client / beneficiary sustainability preferences
- Other RI considerations, specify (1)

Other description (1)

CareSuper has stand-alone Responsible Investing Policy and Proxy Voting Policy (both publicly available) which cover the Fund's overall approaches to ESG integration, active ownership practices and reporting. Responsible investing is also referenced in the Fund's Investment Policy Statement and Corporate Responsibility & Sustainability Policy (publicly available).

Other RI considerations, specify (2)

SG 01.4 Describe your organisation's investment principles and overall investment strategy, interpretation of fiduciary (or equivalent) duties, and how they consider ESG factors and real economy impact.

The Trustee is committed to identifying and managing a full range of risks. To fulfil this requirement, the Trustee is committed to the Principles for Responsible Investment (PRI) and integrates the consideration of ESG issues into its investment decision making and active ownership practices, which will help the Fund achieve better risk management and improve long term risk-adjusted returns to members. The Fund's approach to ESG is outlined in its Responsible Investing Policy, available at:
https://www.caresuper.com.au/sites/default/files/2018-11/Responsible_Investing_Policy%20Sep18_final_%20web_1542865958.pdf

SG 01.5 Provide a brief description of the key elements, any variations or exceptions to your investment policy that covers your responsible investment approach. [Optional]

CareSuper has stand-alone Responsible Investing Policy and Proxy Voting Policy that outline the Fund's approach to ESG and active ownership practices. Responsible investment is also covered at a high level in the Fund's Investment Policy Statement as well as in Corporate Responsibility and Sustainability Policy (publicly available: https://www.caresuper.com.au/sites/default/files/2018-12/11.%20CareSuper_Corporate_Responsibility_and_Sustainability_Policy_Jun18.pdf).

The policies and the Fund's approach to management of ESG risks is consistent with the Investment Philosophy of the Fund which includes outsourcing investment management and investment decision making to external parties across all asset classes. The Fund manages risk, including ESG risks, through proactive monitoring and assessment of the risk management processes of its appointed managers.

The policies aim to achieve proactive consideration of ESG risks, primarily via integration in investment decision making and fundamental investment analysis. The Trustee recognises that addressing the consequences of ESG risks after they have impacted return or in an ad hoc manner does not produce quality risk control or help achieve the objectives of the policies.

Similarly, the Fund's consideration of the ESG processes of investment managers is an integral part of the initial due diligence undertaken as well as the ongoing monitoring and review process undertaken on all managers by the Fund and the Asset Consultant.

No

SG 02.1 Indicate which of your investment policy documents (if any) are publicly available. Provide a URL and an attachment of the document.

- Policy setting out your overall approach

| URL/Attachment |
|--|
| <input checked="" type="checkbox"/> URL https://www.caresuper.com.au/sites/default/files/2018-11/Responsible_Investing_Policy%20Sep18_final_%20web_1542865958.pdf |
| <input type="checkbox"/> Attachment (will be made public) |

Screening / exclusions policy

| URL/Attachment |
|--|
| <input checked="" type="checkbox"/> URL https://www.caresuper.com.au/sites/default/files/2018-11/Responsible_Investing_Policy%20Sep18_final_%20web_1542865958.pdf |
| <input type="checkbox"/> Attachment (will be made public) |

Engagement policy

| URL/Attachment |
|--|
| <input checked="" type="checkbox"/> URL https://www.caresuper.com.au/sites/default/files/2019-02/3.%20CareSuper%20Proxy%20Voting%20Policy%20Dec18%20final_WEB.PDF |
| <input type="checkbox"/> Attachment (will be made public) |

(Proxy) voting policy

| URL/Attachment |
|--|
| <input checked="" type="checkbox"/> URL https://www.caresuper.com.au/sites/default/files/2019-02/3.%20CareSuper%20Proxy%20Voting%20Policy%20Dec18%20final_WEB.PDF |
| <input type="checkbox"/> Attachment (will be made public) |

We do not publicly disclose our investment policy documents

SG 02.2 Indicate if any of your investment policy components are publicly available. Provide URL and an attachment of the document.

Your organisation's definition of ESG and/or responsible investment and it's relation to investments

| URL/Attachment |
|--|
| <input checked="" type="checkbox"/> URL https://www.caresuper.com.au/sites/default/files/2018-11/Responsible_Investing_Policy%20Sep18_final_%20web_1542865958.pdf |
| <input type="checkbox"/> Attachment |

Your investment objectives that take ESG factors/real economy influence into account

| URL/Attachment |
|--|
| <input checked="" type="checkbox"/> URL https://www.caresuper.com.au/sites/default/files/2018-11/Responsible_Investing_Policy%20Sep18_final_%20web_1542865958.pdf |
| <input type="checkbox"/> Attachment |

Time horizon of your investment

| URL/Attachment |
|--|
| <input checked="" type="checkbox"/> URL https://www.caresuper.com.au/sites/default/files/2018-11/Responsible_Investing_Policy%20Sep18_final_%20web_1542865958.pdf |
| <input type="checkbox"/> Attachment |

Governance structure of organisational ESG responsibilities

| URL/Attachment |
|--|
| <input checked="" type="checkbox"/> URL https://www.caresuper.com.au/sites/default/files/2018-11/Responsible_Investing_Policy%20Sep18_final_%20web_1542865958.pdf |
| <input type="checkbox"/> Attachment |

ESG incorporation approaches

| URL/Attachment |
|--|
| <input checked="" type="checkbox"/> URL https://www.caresuper.com.au/sites/default/files/2018-11/Responsible_Investing_Policy%20Sep18_final_%20web_1542865958.pdf |
| <input type="checkbox"/> Attachment |

Active ownership approaches

| URL/Attachment |
|----------------|
| |

URL
https://www.caresuper.com.au/sites/default/files/2019-02/3.%20CareSuper%20Proxy%20Voting%20Policy%20Dec18%20final_WEB.PDF

Attachment

Reporting

URL/Attachment

URL
https://www.caresuper.com.au/sites/default/files/2018-11/Responsible_Investing_Policy%20Sep18_final_%20web_1542865958.pdf

Attachment

Climate change

URL/Attachment

URL
https://www.caresuper.com.au/sites/default/files/2018-11/Responsible_Investing_Policy%20Sep18_final_%20web_1542865958.pdf

Attachment

Understanding and incorporating client / beneficiary sustainability preferences

URL/Attachment

URL
https://www.caresuper.com.au/sites/default/files/2018-11/Responsible_Investing_Policy%20Sep18_final_%20web_1542865958.pdf

Attachment

Other RI considerations, specify (1)

Other description (1)

The Fund has a Corporate Responsibility and Sustainability Policy that covers the Fund's overall approach to sustainability including high level commitment to responsible investment.

URL/Attachment

URL
https://www.caresuper.com.au/sites/default/files/2018-12/11.%20CareSuper_Corporate_Responsibility_and_Sustainability_Policy_Jun18.pdf

Attachment

We do not publicly disclose any investment policy components

SG 02.3 Additional information [Optional].

We have an Investment Governance Framework and Investment Policy Statement but they are not publicly available.

CareSuper's stand-alone Responsible Investing Policy and Proxy Voting Policy (both publicly available) cover the Fund's approach to ESG integration. In addition, CareSuper is working on a Climate Change Position Statement and a Stewardship Statement which are focused on the Fund's practices on managing climate change and stewardship responsibilities.

SG 03 **Mandatory** Core Assessed General

SG 03.1 Indicate if your organisation has a policy on managing potential conflicts of interest in the investment process.

Yes

SG 03.2 Describe your policy on managing potential conflicts of interest in the investment process.

The Conflicts Management Policy defines CareSuper's totality of systems, structures, policies and controls within the business operations of the Fund that identify, assess, mitigate, manage and monitor all conflicts. Full details of the policy can be found at: https://www.caresuper.com.au/sites/default/files/2019-02/CareSuper_ConflictsManagementPolicyDec18-web.pdf

No

SG 04 Voluntary Descriptive General
 Private

SG 05 **Mandatory** Gateway/Core Assessed General

SG 05.1 Indicate if and how frequently your organisation sets and reviews objectives for its responsible investment activities.

Quarterly or more frequently

Biannually

Annually

Less frequently than annually

Ad-hoc basis

It is not set/reviewed

SG 06 Voluntary Descriptive General

| | | | |
|-------|-----------|---------------|---------|
| SG 07 | Mandatory | Core Assessed | General |
|-------|-----------|---------------|---------|

SG 07.1 Indicate the internal and/or external roles used by your organisation, and indicate for each whether they have oversight and/or implementation responsibilities for responsible investment.

Roles

- Board members or trustees
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment
- Internal Roles (triggers other options)

Select from the below internal roles

- Chief Executive Officer (CEO), Chief Investment Officer (CIO), Chief Operating Officer (COO), Investment Committee
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment
- Other Chief-level staff or head of department, specify
- Portfolio managers
- Investment analysts
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment
- Dedicated responsible investment staff
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment
- Investor relations
- Other role, specify (1)
- Other role, specify (2)

- External managers or service providers
 - Oversight/accountability for responsible investment
 - Implementation of responsible investment
 - No oversight/accountability or implementation responsibility for responsible investment

SG 07.2 For the roles for which you have RI oversight/accountability or implementation responsibilities, indicate how you execute these responsibilities.

The Trustee Board and Investment Committee have oversight on ESG amongst other risk factors. In addition, the Fund's ESG Specialist works very closely with the CIO and the investment team to incorporate ESG into the investment process, which include engagement with investment managers and the Fund's asset consultant on ESG.

SG 07.3 Indicate the number of dedicated responsible investment staff your organisation has.

1

| | | | |
|-------|-----------|---------------------|---------|
| SG 08 | Voluntary | Additional Assessed | General |
|-------|-----------|---------------------|---------|

| | | | |
|-------|-----------|---------------|---------|
| SG 09 | Mandatory | Core Assessed | PRI 4,5 |
|-------|-----------|---------------|---------|

SG 09.1 Select the collaborative organisation and/or initiatives of which your organisation is a member or in which it participated during the reporting year, and the role you played.

- Principles for Responsible Investment

Your organisation's role in the initiative during the reporting period (see definitions)

Moderate

Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional]

CareSuper has been a signatory to the PRI since 2006. Participation in this survey enables us to report on activities and progress towards incorporating ESG issues into our investment program. In monitoring and measuring our progress, it is an expectation of the Trustee board that CareSuper's rating in this survey shows continual improvement against our peer group. CareSuper believes that putting the six Principles into practice, and encouraging our service providers to do the same, can assist in achieving better long-term financial returns for our members.

CareSuper is closely involved in the activities run by the PRI in Australia. In addition, CareSuper's ESG Specialist, Dr Xinting Jia, has spoken at events

hosted by the PRI to share knowledge on ESG integration as well as provided feedback to the PRI on its research and report.

- Asian Corporate Governance Association
- Australian Council of Superannuation Investors

| |
|--|
| Your organisation's role in the initiative during the reporting period (see definitions) |
| Advanced |
| Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional] |
| CareSuper is a founding member of ACSI and is represented on its board and Member Council. |

- AFIC – La Commission ESG
- BVCA – Responsible Investment Advisory Board
- CDP Climate Change

| |
|---|
| Your organisation's role in the initiative during the reporting period (see definitions) |
| Basic |
| Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional] |
| CareSuper is a signatory to CDP (previously the Carbon Disclosure Project) and supports its activities in demanding better disclosure of carbon emissions of listed companies, among other things. In addition, the data collected by CDP is useful in helping CareSuper with its investment decision-making. |
| CareSuper also participates in the Asset Owners Disclosure Project annual survey. |

- CDP Forests
- CDP Water
- CFA Institute Centre for Financial Market Integrity
- Code for Responsible Investment in SA (CRISA)
- Code for Responsible Finance in the 21st Century
- Council of Institutional Investors (CII)
- Eumedion
- Extractive Industries Transparency Initiative (EITI)
- ESG Research Australia

| |
|---|
| Your organisation's role in the initiative during the reporting period (see definitions) |
| Moderate |
| Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional] |
| As a member of ESG RA, CareSuper encourages brokers to research into the impact of environmental, social and governance issues on company performance. CareSuper's ESG specialist was also on the judging panel for annual selection of the best broker research and the best brokerage firm. |

- Invest Europe Responsible Investment Roundtable
- Global Investors Governance Network (GIGN)
- Global Impact Investing Network (GIIN)
- Global Real Estate Sustainability Benchmark (GRESB)
- Green Bond Principles
- Institutional Investors Group on Climate Change (IIGCC)
- Interfaith Center on Corporate Responsibility (ICCR)
- International Corporate Governance Network (ICGN)
- Investor Group on Climate Change, Australia/New Zealand (IGCC)
- International Integrated Reporting Council (IIRC)

| |
|--|
| Your organisation's role in the initiative during the reporting period (see definitions) |
| Basic |
| Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional] |
| CareSuper is a member of the Integrated Reporting Pension Fund Network. |

- Investor Network on Climate Risk (INCR)/CERES
- Local Authority Pension Fund Forum
- Principles for Sustainable Insurance
- Regional or National Social Investment Forums (e.g. UKSIF, Eurosif, ASRIA, RIAA), specify
Responsible Investment Association Australasia (RIAA)

| |
|--|
| Your organisation's role in the initiative during the reporting period (see definitions) |
| Moderate |
| Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional] |

CareSuper participates in RIAA's asset owner benchmarking survey as well as its ESG working groups.

- Responsible Finance Principles in Inclusive Finance
- Shareholder Association for Research and Education (Share)
- United Nations Environmental Program Finance Initiative (UNEP FI)
- United Nations Global Compact
- Other collaborative organisation/initiative, specify

Global Investor Statement on Climate Change

| Your organisation's role in the initiative during the reporting year (see definitions) |
|--|
| Basic |

| Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional] |
|---|
| CareSuper has first signed the Global Investor Statement on Climate Change in 2014 and is contributing to the low carbon registry managed by the Global Investor Coalition on Climate Change (GIACC). Subsequently, CareSuper endorsed the 2018 Global Investor Statement to Governments on Climate Change and supported its engagement activities. |

- Other collaborative organisation/initiative, specify
- 30% Club

| Your organisation's role in the initiative during the reporting year (see definitions) |
|--|
| Basic |

| Provide a brief commentary on the level of your organisation's involvement in the initiative. [Optional] |
|--|
| CareSuper is a member of 30% Club which promotes gender diversity on the boards of ASX listed companies. |

- Other collaborative organisation/initiative, specify
- Other collaborative organisation/initiative, specify

| | | | |
|---------|--|-------------|-------|
| SG 09.2 | Mandatory to Report, Voluntary to Disclose | Descriptive | PRI 1 |
| Private | | | |

| | | | |
|-------|-----------|---------------|-------|
| SG 10 | Mandatory | Core Assessed | PRI 4 |
|-------|-----------|---------------|-------|

| | |
|---------|--|
| SG 10.1 | Indicate if your organisation promotes responsible investment, independently of collaborative initiatives. |
|---------|--|

Yes

| | |
|---------|--|
| SG 10.2 | Indicate the actions your organisation has taken to promote responsible investment independently of collaborative initiatives. Provide a description of your role in contributing to the objectives of the selected action and the typical frequency of your participation/contribution. |
|---------|--|

- Provided or supported education or training programmes (this includes peer to peer RI support) Your education or training may be for clients, investment managers, actuaries, broker/dealers, investment consultants, legal advisers etc.)
- Provided financial support for academic or industry research on responsible investment

| Description |
|--|
| CareSuper supports academic research on responsible investment through its membership of ACSI. ACSI commissions ESG research on behalf of its members. For example, one of the recent research commissioned by ACSI for members focused on Shareholder Resolutions in Australia (available at: https://www.acsi.org.au/images/stories/ACSIDocuments/generalresearchpublic/Shareholder-resolutions-in-Australia.Oct17.pdf) |

| Frequency of contribution |
|---|
| <input type="radio"/> Quarterly or more frequently <input type="radio"/> Biannually <input checked="" type="radio"/> Annually <input type="radio"/> Less frequently than annually <input type="radio"/> Ad hoc <input type="radio"/> Other |

- Provided input and/or collaborated with academia on RI related work

| Description |
|---|
| Our ESG specialist (Dr Xinting Jia) has collaborated with a few academics and produced a book focusing on corporate governance, climate change, food safety and water security in China. For further information, please go to: https://www.bookdepository.com/Resource-Security-and-Governance-Xinting-Jia-Professor-Roman-Tomasic/9781138680555?ref=bd_ser_1_1 |

| Frequency of contribution |
|--|
| <input type="radio"/> Quarterly or more frequently <input type="radio"/> Biannually <input type="radio"/> Annually <input type="radio"/> Less frequently than annually <input checked="" type="radio"/> Ad hoc |

Other

Encouraged better transparency and disclosure of responsible investment practices across the investment industry

| Description |
|-------------|
|-------------|

Engagement with CareSuper's investment managers to improve their ESG integration.

| Frequency of contribution |
|---------------------------|
|---------------------------|

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

Spoke publicly at events and conferences to promote responsible investment

| Description |
|-------------|
|-------------|

CareSuper's Chair, CEO and CIO often speak at industry events and member seminars to promote responsible investment. Our ESG Specialist, Dr Xinting Jia, has spoken at a PRI event in Melbourne on ESG integration in February 2018.

| Frequency of contribution |
|---------------------------|
|---------------------------|

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

Wrote and published in-house research papers on responsible investment

Encouraged the adoption of the PRI

| Description |
|-------------|
|-------------|

When CareSuper engages with its investment managers on ESG, one of the questions we ask investment managers is whether they are a PRI signatory and if not, why not?

| Frequency of contribution |
|---------------------------|
|---------------------------|

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

Responded to RI related consultations by non-governmental organisations (OECD, FSB etc.)

Wrote and published articles on responsible investment in the media

| Description |
|-------------|
|-------------|

Our ESG Specialist (Dr Xinting Jia) has edited a book in collaboration with Professor Roman Tomasic, a Law Professor from University of South Australia, focusing on ESG risks in Chinese natural resources companies. The book's title: 'Resource Security and Governance: the Globalisation and China's Natural Resources Companies', published by Routledge New York in 2018. Link to the news/story: http://w3.unisa.edu.au/unisanews/2018/June/story15.asp#Resource_Security

| Frequency of contribution |
|---------------------------|
|---------------------------|

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

A member of PRI advisory committees/ working groups, specify

On the Board of, or officially advising, other RI organisations (e.g. local SIFs)

| Description |
|-------------|
|-------------|

One of CareSuper's board members sits on the board of Australian Council of Superannuation Investors (ACSI).

| Frequency of contribution |
|---------------------------|
|---------------------------|

- Quarterly or more frequently
- Biannually
- Annually
- Less frequently than annually
- Ad hoc
- Other

Other, specify

| specify description |
|---|
| CareSuper promotes responsible investment on its website, in presentations to members/employers and through its membership of ACSI. |

| Description |
|--|
| CareSuper discloses its responsible investment policy and practices on its website. In addition, ESG topics are incorporated into member and employer presentations. Furthermore, CareSuper publicly discloses its membership of a few collaborative initiatives (such as the PRI, ACSI and RIAA), which demonstrates CareSuper's commitment to responsible investing. |

| Frequency of contribution |
|---|
| <ul style="list-style-type: none"> <input checked="" type="radio"/> Quarterly or more frequently <input type="radio"/> Biannually <input type="radio"/> Annually <input type="radio"/> Less frequently than annually <input type="radio"/> Ad hoc <input type="radio"/> Other |

No

| SG 10.3 | Describe any additional actions and initiatives that your organisation has taken part in during the reporting year to promote responsible investment [Optional] |
|---------|---|
| | To further promote ESG integration within the investment industry, CareSuper has partnered with ACSI and created the Michael O'Sullivan ESG Rising Star award, in commemoration of the late CareSuper chair. The biennial award was established to recognise professionals within the profit-for-members super industry who have demonstrated commitment to the advancement of ESG considerations in managing retirement funds. |

| SG 11 | Voluntary | Additional Assessed | PRI 4,5,6 |
|----------------|-----------|---------------------|-----------|
| <i>Private</i> | | | |

| SG 12 | Mandatory | Core Assessed | PRI 4 |
|-------|-----------|---------------|-------|
|-------|-----------|---------------|-------|

| SG 12.1 | Indicate whether your organisation uses investment consultants. |
|---------|--|
| | <input checked="" type="checkbox"/> Yes, we use investment consultants |

| SG 12.2 | Indicate how your organisation uses investment consultants in the selection, appointment and/or monitoring of external managers. |
|---------|--|
| | <input checked="" type="checkbox"/> We use investment consultants in our selection and appointment of external managers |

| Asset class |
|--|
| <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Listed Equity (LE) <input checked="" type="checkbox"/> Infrastructure (INF) <input checked="" type="checkbox"/> Property (PR) <input checked="" type="checkbox"/> Other asset classes |

We use investment consultants in our monitoring of external managers

| Asset class |
|--|
| <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Listed Equity (LE) <input checked="" type="checkbox"/> Infrastructure (INF) <input checked="" type="checkbox"/> Property (PR) <input checked="" type="checkbox"/> Other asset classes |

We do not use investment consultants for selection, appointment and monitoring of external managers.

| SG 12.3 | Indicate if your organisation considers responsible investment in the selection, appointment and/or review processes for investment consultants. |
|---------|---|
| | <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Responsible investment is considered when evaluating investment consultants' investment beliefs, strategies and policies in the selection process. <input checked="" type="checkbox"/> Responsible investment is considered when evaluating investment consultants' public commitment to, and promotion of, responsible investment in the selection process. <input checked="" type="checkbox"/> Responsible investment is considered when reviewing investment consultants' approach to investment manager ratings, research and recommendations in the monitoring process. <input checked="" type="checkbox"/> Consultants' responsibilities in terms of responsible investment in manager selection, appointment and monitoring processes are included in our |

contractual agreements with the investment consultants.

We do not consider responsible investment in the selection, appointment and/or review processes for investment consultants.

SG 12.4 Indicate whether you use investment consultants for any the following services. Describe the responsible investment components of these services.

- Custodial services
- Investment policy development
- Strategic asset allocation

Describe how responsible investment is incorporated

Responsible investment is considered by our consultant when determining strategic asset allocation.

- Investment research

Describe how responsible investment is incorporated

Our investment consultant JANA produces bespoke ESG research for clients from time to time. For example, JANA has researched sustainability themed investment strategies for CareSuper.

- Other, specify (1)
- Other, specify (2)
- Other, specify (3)
- None of the above

No, we do not use investment consultants.

SG 13 **Mandatory** **Descriptive** **PRI 1**

SG 13.1 Indicate whether the organisation undertakes scenario analysis and/or modelling and provide a description of the scenario analysis (by asset class, sector, strategic asset allocation, etc.).

- Yes, to assess future ESG factors
- Yes, to assess future climate-related risks and opportunities
- No, not to assess future ESG/climate-related issues

SG 13.3 Additional information. [OPTIONAL]

While CareSuper does not conduct formal ESG/climate change related scenario analysis, the Fund has specified key ESG risks in its Responsible Investing Policy and Climate Change is listed as one of the major ESG risks. CareSuper expects its investment managers to integrate ESG and climate change into their investment processes.

In addition, CareSuper has engaged with an ESG and carbon data provider to assess ESG and carbon characteristics of the Fund's Australian and Overseas Shares investments at an asset class, investment strategy and company level. We are using the analysis generated to engage with our investment managers on specific ESG issues such as climate change (E) and labour practices (S).

SG 14 **Mandatory to Report, Voluntary to Disclose** **Additional Assessed** **PRI 1**

Private

SG 15 **Mandatory to Report, Voluntary to Disclose** **Descriptive** **PRI 1**

Private

SG 16 **Mandatory** **Descriptive** **General**

SG 16.1 Describe how you address ESG issues for internally managed assets for which a specific PRI asset class module has yet to be developed or for which you are not required to report because your assets are below the minimum threshold.

| Asset Class | Describe what processes are in place and the outputs or outcomes achieved |
|-------------|--|
| Cash | CareSuper invests in cash mainly via outsourced investment managers. Specifically related to ESG, CareSuper surveys the manager on ESG as part of the Fixed Interest asset class review. CareSuper also engages with its Cash investment manager on ESG from time to time. |

SG 17 **Mandatory** **Descriptive** **General**

SG 17.1 Describe how you address ESG issues for externally managed assets for which a specific PRI asset class module has yet to be developed or for which you are not required to report because your assets are below the minimum threshold.

| Asset Class | Describe what processes are in place and the outputs or outcomes achieved |
|--|--|
| Fixed income - SSA | ESG is incorporated into formal asset class review of the Fixed Interest asset class. In addition, ESG forms part of the discussion with fund managers to understand the risks inherent in the portfolio and how each manager manages those risks. |
| Fixed income - Corporate (financial) | ESG is incorporated into formal asset class review of the Fixed interest asset class. In addition, ESG forms part of the discussion with fund managers to understand the risks inherent in the portfolio and how each manager manages those risks. |
| Fixed income - Corporate (non-financial) | ESG is incorporated into formal asset class review of the Fixed Interest asset class. In addition, ESG forms part of the discussion with fund managers to understand the risks inherent in the portfolio and how each manager manages those risks. |

| | | | |
|--|--|--|--|
| Fixed income - Securitised | ESG is incorporated into formal asset class review of the Fixed Interest asset class. In addition, ESG forms part of the discussion with fund managers to understand the risks inherent in the portfolio and how each manager manages those risks. | | |
| Private equity | ESG is incorporated into formal asset class review for the Private Equity asset class. In addition, CareSuper - Seeks comfort that each manager addresses any ESG issue that may prevail on the performance of each asset held in the portfolio. - Ensures each manager can address and explain all risks that are within the portfolio. | | |
| Hedge funds - DDQ | Select whether you use the PRI Hedge Fund DDQ <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | | |
| Hedge funds | PRI Hedge Fund DDQ has been incorporated into CareSuper's ESG survey for hedge fund, which was sent to the Fund's hedge fund managers at the time of the asset class review. | | |
| Cash | ESG is incorporated into formal asset class review of the Fixed Interest asset class. In addition, ESG forms part of discussion with the Cash investment manager to understand the risks inherent in the portfolio and how the manager manages those risks. | | |
| Other (1) [as defined in Organisational Overview module] | Seek comfort that managers of the Credit asset class address any ESG issues relevant to the investment. It is important that managers understand the risks and that these risks are either priced in or are being remediated. In addition, ESG is fully incorporated into Credit asset class review, manager selection and monitoring. | | |

| | | | |
|---------|-----------|-------------|---------|
| SG 18 | Voluntary | Descriptive | General |
| Private | | | |

| | | | |
|-------|-----------|---------------|----------|
| SG 19 | Mandatory | Core Assessed | PRI 2, 6 |
|-------|-----------|---------------|----------|

SG 19.1 Indicate whether your organisation typically discloses asset class specific information proactively. Select the frequency of the disclosure to clients/beneficiaries and the public, and provide a URL to the public information.

Selection, Appointment and Monitoring

Do you disclose?

- We do not disclose to either clients/beneficiaries or the public.
- We disclose to clients/beneficiaries only.
- We disclose to the public

The information disclosed to clients/beneficiaries is the same

- Yes
- No

Disclosure to public and URL

Disclosure to public and URL

- How responsible investment considerations are included in manager selection, appointment and monitoring processes
- Details of the responsible investment activities carried out by managers on your behalf
- E, S and/or G impacts and outcomes that have resulted from your managers' investments and/or active ownership
- Other

Quarterly or more frequently

https://www.caresuper.com.au/sites/default/files/ResponsibleInvestingPolicy_Sept_2016_final_20161028.pdf
https://www.caresuper.com.au/sites/default/files/2019-01/CareSuper_PRL_Transparency_Report_2018.pdf

Listed equity - Engagement

Do you disclose?

- We do not disclose to either clients/beneficiaries or the public.
- We disclose to clients/beneficiaries only.
- We disclose to the public

The information disclosed to clients/beneficiaries is the same

- Yes
- No

Disclosure to public and URL

| Disclosure to public and URL | |
|---|---|
| <input checked="" type="checkbox"/> | Details on the overall engagement strategy |
| <input checked="" type="checkbox"/> | Details on the selection of engagement cases and definition of objectives of the selections, priorities and specific goals |
| <input checked="" type="checkbox"/> | Number of engagements undertaken |
| <input checked="" type="checkbox"/> | Breakdown of engagements by type/topic |
| <input type="checkbox"/> | Breakdown of engagements by region |
| <input checked="" type="checkbox"/> | An assessment of the current status of the progress achieved and outcomes against defined objectives |
| <input checked="" type="checkbox"/> | Examples of engagement cases |
| <input checked="" type="checkbox"/> | Details on eventual escalation strategy taken after the initial dialogue has been unsuccessful (i.e. filing resolutions, issuing a statement, voting against management, divestment etc.) |
| <input type="checkbox"/> | Details on whether the provided information has been externally assured |
| <input checked="" type="checkbox"/> | Outcomes that have been achieved from the engagement |
| <input type="checkbox"/> | Other information |
| Annually | |
| https://www.caresuper.com.au/sites/default/files/2019-01/CareSuper_PRL_Transparency_Report_2018.pdf | |

| Listed equity – (Proxy) Voting | |
|--|---|
| Do you disclose? | |
| <input type="radio"/> | We do not disclose to either clients/beneficiaries or the public. |
| <input type="radio"/> | We disclose to clients/beneficiaries only. |
| <input checked="" type="radio"/> | We disclose to the public |
| The information disclosed to clients/beneficiaries is the same | |
| <input checked="" type="radio"/> | Yes |
| <input type="radio"/> | No |
| Disclosure to public and URL | |
| Disclosure to public and URL | |
| <input checked="" type="radio"/> | Disclose all voting decisions |
| <input type="radio"/> | Disclose some voting decisions |
| <input type="radio"/> | Only disclose abstentions and votes against management |
| Biannually | |
| https://www.caresuper.com.au/sites/default/files/2018-10/4.%20Voting%20Report%20Jun18.pdf https://www.caresuper.com.au/sites/default/files/2018-07/CareSuper_Voting_Report_2H17_31Dec17_20180727.pdf | |

SG 19.2 Additional information [Optional]

General principles on how ESG is incorporated into manager selection, monitoring and engagement is included in CareSuper's Responsible Investing policy, URL: https://www.caresuper.com.au/sites/default/files/2018-11/Responsible_Investing_Policy%20Sep18_final_%20web_1542865958.pdf

SAM 01.1 Indicate which of the following ESG incorporation strategies you require your external manager(s) to implement on your behalf for all your listed equity and/or fixed income assets:

Active investment strategies

| Active investment strategies | Listed Equity |
|------------------------------|-------------------------------------|
| Screening | <input checked="" type="checkbox"/> |
| Thematic | <input checked="" type="checkbox"/> |
| Integration | <input checked="" type="checkbox"/> |
| None of the above | <input type="checkbox"/> |

Passive investment strategies

| Passive investment strategies | Listed Equity |
|-------------------------------|-------------------------------------|
| Screening | <input checked="" type="checkbox"/> |
| Thematic | <input type="checkbox"/> |
| Integration | <input checked="" type="checkbox"/> |
| None of the above | <input type="checkbox"/> |

SAM 01.2 Additional information. [Optional]

ESG is integrated across the Fund's investment program. Managers are expected to incorporate ESG into investment processes including investment idea generation, portfolio modelling and construction as well as active ownership practices. In regards to passive managers while the manager has limited scope to work with in terms of stock selection, active ownership is the main focus for responsible investing.

In addition, CareSuper has adopted a Fund level screening policy. Currently, the Fund excludes tobacco manufacturing companies across its investments where possible. CareSuper also screens out, for example, controversial weapons, thermal coal (based on a very low revenue threshold) and animal testing (based on a very low revenue threshold) for most of its Sustainable Australian and Sustainable Overseas Shares investment mandates.

SAM 02.1 Indicate what RI-related information your organisation typically covers in the majority of selection documentation for your external managers

| | LE | Property | Infrastructure |
|---|-------------------------------------|-------------------------------------|-------------------------------------|
| Your organisation's investment strategy and how ESG objectives relate to it | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| ESG incorporation requirements | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| ESG reporting requirements | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Other | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| No RI information covered in the selection documentation | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

SAM 02.2 Explain how your organisation evaluates the investment manager's ability to align between your investment strategy and their investment approach

Strategy

| | LE | Property | Infrastructure |
|---|-------------------------------------|-------------------------------------|-------------------------------------|
| Assess the time horizon of the investment manager's offering vs. your/beneficiaries' requirements | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Assess the quality of investment policy and its reference to ESG | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Assess the investment approach and how ESG objectives are implemented in the investment process | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Review the manager's firm-level vs. product-level approach to RI | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Assess the ESG definitions to be used | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Other | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| None of the above | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

ESG people/oversight

| | LE | Property | Infrastructure |
|--|----|----------|----------------|
| | | | |

| | | | |
|--|-------------------------------------|-------------------------------------|-------------------------------------|
| Assess ESG expertise of investment teams | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Review the oversight and responsibilities of ESG implementation | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Review how is ESG implementation enforced /ensured | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Review the manager's RI-promotion efforts and engagement with the industry | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Other | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| None of the above | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Process/portfolio construction/investment valuation

| | LE | Property | Infrastructure |
|---|-------------------------------------|-------------------------------------|-------------------------------------|
| Review the process for ensuring the quality of the ESG data used | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Review and agree the use of ESG data in the investment decision making process | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Review and agree the impact of ESG analysis on investment decisions | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Review and agree ESG objectives (e.g. risk reduction, return seeking, real-world impact) | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Review and agree manager's ESG risk framework | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Review and agree ESG risk limits at the portfolio level (portfolio construction) and other ESG objectives | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Review how ESG materiality is evaluated by the manager | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Review process for defining and communicating on ESG incidents | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Review and agree ESG reporting frequency and detail | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Other, specify | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| None of the above | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

SAM 02.3 Indicate the selection process and its ESG/RI components

- Review ESG/RI responses to RfP, RfI, DDQ etc.
- Review responses to PRI's Limited Partners' Responsible Investment Due Diligence Questionnaire (LP DDQ)
- Review publicly available information on ESG/RI
- Review assurance process on ESG/RI data and processes
- Review PRI Transparency Reports
- Request and discuss PRI Assessment Reports
- Meetings with the potential shortlisted managers covering ESG/RI themes
- Site visits to potential managers offices
- Other, specify

SAM 02.4 When selecting external managers does your organisation set any of the following:

| | LE | Property | Infrastructure |
|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|
| ESG performance development targets | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ESG score | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ESG weight | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Real world economy targets | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other RI considerations | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| None of the above | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

If you select any 'Other' option(s), specify

We do not score our managers/potential managers on ESG as the methods for ESG integration might not be comparable across managers with different investment approaches, sector focus and style. Instead, for managers in the same asset class, their ESG practices are reviewed and compared. With the support of CareSuper's asset class specialists, our ESG specialist engages with managers on ESG as part of our manager review and monitoring process. Summary and comparison of ESG integration across managers are reported to the Trustee Board and Investment Committee. Our qualitative assessment of the strength of manager ESG integration is considered as a key factor in any decision on manager appointment.

SAM 02.5 Describe how the ESG information reviewed and discussed affects the selection decision making process.[OPTIONAL]

Managers' ESG approaches are reviewed in association with their investment processes. At the stage of manager selection for a specific asset class, an investment manager with better ESG approach is more likely to be selected than its peers (i.e. managers with similar investment coverage, philosophy and style etc.).

| | |
|----------|---|
| SAM 03.1 | Indicate how your organisation typically evaluates the manager's active ownership practices in the majority of the manager selection process. |
|----------|---|

| |
|------------|
| Engagement |
|------------|

| | LE |
|--|-------------------------------------|
| Review the manager's engagement policy | <input checked="" type="checkbox"/> |
| Review the manager's engagement process (with examples and outcomes) | <input checked="" type="checkbox"/> |
| Ensure whether engagement outcomes feed back into the investment decision-making process | <input checked="" type="checkbox"/> |
| Other engagement issues in your selection process specify | <input type="checkbox"/> |

| |
|----------------|
| (Proxy) voting |
|----------------|

| | LE |
|---|---|
| Review the manager's voting policy | <input checked="" type="checkbox"/> Review the manager's voting policy - LE |
| Review the manager's ability to align voting activities with clients' specific voting policies | <input checked="" type="checkbox"/> Review the manager's ability to align voting activities with clients' specific voting policies - LE |
| Review the manager's process for informing clients about voting decisions | <input checked="" type="checkbox"/> Review the manager's process for informing clients about voting decisions - LE |
| Ensure whether voting outcomes feed back into the investment decision-making process | <input checked="" type="checkbox"/> Ensure that voting outcomes feed back into the investment decision-making process - LE |
| Review the number of votes cast as a percentage of ballots/AGMs or holdings and available rationale | <input type="checkbox"/> Review the number of votes cast as a percentage of ballots/AGMs or holdings and available rationale - LE |
| Other active ownership voting issues in your selection process; specify | <input checked="" type="checkbox"/> Other active ownership voting issues in your selection process; specify - LE |

| |
|--|
| If you select any 'Other' option(s), specify |
|--|

When appointing a fund manager, the Trustee gives consideration to the voting policy and practices of the manager to ensure consistency with CareSuper's Policy.

| | |
|----------|--|
| SAM 03.2 | Describe how you assess if the manager's engagement approach is effective. |
|----------|--|

- Impact on investment decisions
- Financial impact on target company or asset class
- Impact on ESG profile of company or the portfolio
- Evidence of changes in corporate practices(i.e. ESG policies and implementation activities)
- Other, specify
- None of the above

| | |
|----------|---|
| SAM 03.3 | Describe how you assess if the manager's voting approach is effective/appropriate |
|----------|---|

- Impact on investment decisions
- Impact on ESG profile of company or the portfolio
- Evidence of changes in corporate practices(i.e. ESG policies and implementation activities)
- Other, specify
- None of the above

| | |
|----------|--|
| SAM 04.1 | Indicate if in the majority of cases and where the structure of the product allows, your organisation does any of the following as part of the manager appointment and/or commitment process |
|----------|--|

- Sets standard benchmarks or ESG benchmarks
- Defines ESG objectives and/ or ESG related exclusions/restrictions
- Sets incentives and controls linked to the ESG objectives
- Requires reporting on ESG objectives
- Requires the investment manager to adhere to ESG guidelines, regulations, principles or standards
- Other, specify (1)
- Other, specify (2)
- None of the above

| | |
|----------|---|
| SAM 04.2 | Provide an example per asset class of your benchmarks, objectives, incentives/controls and reporting requirements that would typically be included in your managers' appointment. |
|----------|---|

Asset class

Listed equity (LE)

Benchmark

- Standard benchmark
- ESG benchmark, specify

ESG Objectives

- ESG related strategy, specify
- ESG related investment restrictions, specify

As a principle, CareSuper excludes tobacco manufacturing companies across its investments where possible. Further ESG restrictions such as thermal coal and animal testing (with a very low revenue threshold) are also applied to most managers in Sustainable Australian and Sustainable Overseas shares asset classes
- ESG integration, specify

We expect our managers to have ESG policies; incorporate ESG into stock selection and portfolio construction as well as report on ESG considerations.
- Engagement, specify

We expect our managers to engage with investee companies on material ESG issues on our behalf.
- Voting, specify

When appointing a fund manager, the Trustee gives consideration to the voting policy and practices of the manager to ensure consistency with CareSuper's policy. Only those managers who demonstrate such consistency are appointed by the Trustee.
- Promoting responsible investment
- ESG specific improvements
- ESG guidelines/regulation, principles/standards, specify

Investment managers are required to comply with CareSuper's Responsible Investing policy; it is also preferable that our investment managers are PRI signatories.
- Other, specify

Incentives and controls

- We do not set incentives and controls

Reporting requirements

- Monthly
- Quarterly
- Bi-annually
- Annually
- Ad-hoc/when requested

Property

Benchmark

- Standard benchmark, specify

MSCI/Mercer Australia Core Wholesale Monthly Property Fund Index
- ESG benchmark, specify

In addition to qualitative assessment of managers' ESG practices, investment managers' ESG performance are also assessed using ratings such as NABERS and Global Real Estate Sustainability Benchmark (GRESB).

ESG Objectives

- ESG related strategy, specify
- ESG related investment restrictions, specify
- ESG integration, specify

We expect our property managers to integrate ESG into the design and operations of buildings including taking 'social' factors into building management.
- Engagement, specify

We frequently engage with our property managers on ESG integration using concrete benchmarks such as NABERS and GRESB.
- Voting, specify
- Promoting responsible investment
- ESG specific improvements

CareSuper's property investment managers have improved their ESG ratings such as GRESB and NABERS rankings.
- ESG guidelines/regulation, principles/standards, specify

Investment managers are required to comply with CareSuper's Responsible Investing policy; it is also preferable that our investment managers are PRI signatories.

Other, specify

Incentives and controls

We do not set incentives and controls

Reporting requirements

- Monthly
- Quarterly
- Bi-annually
- Annually
- Ad-hoc/when requested

Infrastructure

Benchmark

Standard benchmark, specify

CPI plus 3%

ESG benchmark, specify

ESG Objectives

- ESG related strategy, specify
- ESG related investment restrictions, specify
- ESG integration, specify
- Engagement, specify
- Voting, specify
- Promoting responsible investment
- ESG specific improvements
- ESG guidelines/regulation, principles/standards, specify

Investment managers are required to comply with CareSuper's Responsible Investing policy; it is also preferable that our investment managers are PRI signatories.

Other, specify

While we do not have a specific ESG benchmark and ESG objectives for our infrastructure investment asset class, across our infrastructure investments, we have invested in community and social infrastructures such as schools for kids with special needs, aged care and student accommodation.

Incentives and controls

We do not set incentives and controls

Reporting requirements

- Ad-hoc/when requested
- Annually
- Bi-annually
- Quarterly
- Monthly

SAM 04.3 Indicate which of these actions your organisation might take if any of the requirements are not met

- Discuss requirements not met and set project plan to rectify
- Place investment manager on a "watch list"
- Track and investigate reason for non-compliance
- Re-negotiate fees
- Failing all actions, terminate contract with the manager
- Other, specify
- No actions are taken if any of the ESG requirements are not met

SAM 05 Mandatory Core Assessed PRI 1

SAM 05.1 When monitoring managers, indicate which of the following types of responsible investment information your organisation typically reviews and evaluates

| | LE | Property | Infrastructure |
|--|-------------------------------------|-------------------------------------|-------------------------------------|
| ESG objectives linked to investment strategy (with examples) | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |

| | | | |
|---|-------------------------------------|-------------------------------------|-------------------------------------|
| Evidence on how the ESG incorporation strategy(ies) affected the investment decisions and financial / ESG performance of the portfolio/fund | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Compliance with investment restrictions and any controversial investment decisions | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| ESG portfolio characteristics | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| How ESG materiality has been evaluated by the manager in the monitored period | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Information on any ESG incidents | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Metrics on the real economy influence of the investments | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| PRI Transparency Reports | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| PRI Assessment Reports | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| RI-promotion and engagement with the industry to enhance RI implementation | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Changes to the oversight and responsibilities of ESG implementation | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other general RI considerations in investment management agreements; specify | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| None of the above | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

SAM 05.2 When monitoring external managers, does your organisation set any of the following to measure compliance/progress

| | LE | Property | Infrastructure |
|-----------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|
| ESG score | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ESG weight | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ESG performance minimum threshold | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Real world economy targets | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other RI considerations | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| None of the above | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

If you select any 'Other' option(s), specify

We do not score our managers/potential managers on ESG as the approaches for ESG integration might not be comparable across managers with different investment approaches, sector focus and style. Instead, for managers in the same asset class, their ESG practices are reviewed and compared. With the support of the asset class specialists, our ESG specialist engages with managers on ESG as part of our manager review and monitoring process. Summary and comparison of ESG integration across managers are reported to the Investment Committee and the Trustee Board.

SAM 06 **Mandatory** **Additional Assessed** **PRI 1**

SAM 06.1 When monitoring managers, indicate which of the following active ownership information your organisation typically reviews and evaluates from the investment manager in meetings/calls

Engagement

| | LE |
|---|-------------------------------------|
| Report on engagements undertaken (summary with metrics, themes, issues, sectors or similar) | <input checked="" type="checkbox"/> |
| Report on engagement ESG impacts (outcomes, progress made against objectives and examples) | <input checked="" type="checkbox"/> |
| Information on any escalation strategy taken after initial unsuccessful dialogue | <input checked="" type="checkbox"/> |
| Alignment with any eventual engagement programme done internally | <input type="checkbox"/> |
| Information on the engagement activities' impact on investment decisions | <input checked="" type="checkbox"/> |
| Other RI considerations relating to engagement in investment management agreements; specify | <input checked="" type="checkbox"/> |
| None of the above | <input type="checkbox"/> |

If you select any 'Other' option(s), specify

Engagement with listed companies are included in the Investment Management Agreement for some managers; regardless, the Fund expect its investment managers to engage with its underlying investments on ESG issues. In addition, CareSuper actively monitors managers' engagement activities via channels such as manager meetings and formal asset class reviews.

(Proxy) voting

| | LE |
|--|---|
| Report on voting undertaken (with outcomes and examples) | <input checked="" type="checkbox"/> Report on voting undertaken (with outcomes and examples) - LE |

| | |
|---|---|
| Report on voting decisions taken | <input checked="" type="checkbox"/> Report on voting decisions taken - LE |
| Adherence with the agreed upon voting policy | <input checked="" type="checkbox"/> Adherence with the agreed upon voting policy - LE |
| Other RI considerations relating to (proxy) voting in investment management agreements; specify | <input type="checkbox"/> Other RI considerations relating to (proxy) voting in investment management agreements; specify - LE |
| None of the above | <input type="checkbox"/> None of the above - LE |

| | | | |
|--------|-----------|---------------|-------|
| SAM 07 | Mandatory | Core Assessed | PRI 2 |
|--------|-----------|---------------|-------|

| | |
|----------|---|
| SAM 07.1 | For the listed equities for which you have given your external managers a (proxy) voting mandate, indicate the approximate percentage (+/- 5%) of votes that were cast during the reporting year. |
|----------|---|

Votes cast (to the nearest 5%)

100%

| |
|---|
| Specify the basis on which this percentage is calculated. |
|---|

Of the total number of ballot items on which they could have issued instructions

Of the total number of company meetings at which they could have voted

Of the total value of your listed equity holdings on which they could have voted

We do not collect this information.

| | |
|----------|---|
| SAM 07.2 | For the listed equities for which you have given your external managers a mandate to engage on your behalf, indicate the approximate percentage (+/- 5%) of companies that were engaged with during the reporting year. |
|----------|---|

341

40Proportion (to the nearest 5%)

| | | | |
|--------|--|-------------|-------|
| SAM 08 | Mandatory to Report, Voluntary to Disclose | Descriptive | PRI 1 |
|--------|--|-------------|-------|

Private

| | | | |
|--------|-----------|---------------------|---------|
| SAM 09 | Mandatory | Additional Assessed | PRI 1,6 |
|--------|-----------|---------------------|---------|

| | |
|----------|---|
| SAM 09.1 | Provide examples of how ESG issues have been addressed in the manager selection, appointment and/or monitoring process for your organisation during the reporting year. |
|----------|---|

Add Example 1

| | |
|-------------------|--|
| Topic or issue | Incorporation of ESG assessment into formal asset class reviews |
| Conducted by | Internal staff |
| Asset class | All asset classes |
| Scope and process | ESG is incorporated into formal asset class reviews with a focus on ESG integration as well as assessment of ESG thematic investments. |
| Outcomes | In addition to incorporating ESG assessment into asset class reviews across all asset classes, CareSuper has conducted due diligence on a range of ESG thematic managers in Australian shares and Overseas shares asset classes, and subsequently appointed new ESG thematic managers. |

Add Example 2

| | |
|-------------------|--|
| Topic or issue | Manager monitoring |
| Conducted by | Internal staff |
| Asset class | Listed Equity |
| Scope and process | CareSuper engaged with an ESG data provider to conduct ESG and carbon analysis on the Fund's Australian and overseas share investments at an asset class, investment strategy and company level. |
| Outcomes | The investment team used the analysis to engage with investment managers on a range of ESG issues related to the underlying investee companies. |

Add Example 3

Add Example 4

Add Example 5

Add Example 6

Add Example 7

We are not able to provide examples

LEA 01.1 Indicate whether your organisation has an active ownership policy.

Yes

LEA 01.2 Attach or provide a URL to your active ownership policy.

Attachment provided:

URL provided:

https://www.caresuper.com.au/sites/default/files/2019-02/3.%20CareSuper%20Proxy%20Voting%20Policy%20Dec18%20final_WEB.PDF

LEA 01.3 Indicate what your active engagement policy covers:

General approach to active ownership

- Conflicts of interest
- Alignment with national stewardship code requirements
- Assets/funds covered by active ownership policy
- Expectations and objectives
- Engagement approach

Engagement

- ESG issues
- Prioritisation of engagement
- Method of engagement
- Transparency of engagement activities
- Due diligence and monitoring process
- Insider information
- Escalation strategies
- Service Provider specific criteria
- Other specify;

Engagement with listed companies is carried out by CareSuper's outsourced investment managers as well as by the Fund's outsourced service provider - ACSI .

(Proxy) voting approach

Voting

- ESG issues
- Prioritisation and scope of voting activities
- Methods of voting
- Transparency of voting activities
- Regional voting practice approaches
- Filing or co-filing resolutions
- Company dialogue pre/post-vote
- Decision-making processes
- Securities lending processes
- Other specify;

Different proxy voting approaches are adopted for Australian Shares and Overseas Shares investments. For further detail, please refer to our Proxy Voting Policy (publicly available).

Other

None of the above

No

LEA 01.4 Do you outsource any of your active ownership activities to service providers?

Yes

LEA 01.5 Where active ownership activities are conducted by service providers, indicate whether your active ownership policy covers any of the following.

- Outline of service providers role in implementing organisation's active ownership policy
- Description of considerations included in service provider selection and agreements
- Identification of key ESG frameworks service providers must follow
- Outline of information sharing requirements of service providers
- Description of service provider monitoring processes
- Other, specify

- None of the above
- No

| | |
|--|-----------------------------------|
| LEA 01.6 | Additional information [optional] |
| <p>While CareSuper does not have a stand-alone Engagement Policy, engagement is covered in the Fund's Responsible Investing Policy and Proxy Voting Policy. Engagement is conducted via investment managers, ACSI (CareSuper is a founding member), and CareSuper's ESG Specialist (occasionally).</p> | |

| | | | |
|--------|-----------|---------------|-----------|
| LEA 02 | Mandatory | Core Assessed | PRI 1,2,3 |
|--------|-----------|---------------|-----------|

| | |
|----------|--|
| LEA 02.1 | Indicate the method of engagement, giving reasons for the interaction. |
|----------|--|

| Type of engagement | Reason for interaction |
|---|--|
| Individual / Internal staff engagements | <input checked="" type="checkbox"/> To influence corporate practice (or identify the need to influence) on ESG issues <input checked="" type="checkbox"/> To encourage improved/increased ESG disclosure <input checked="" type="checkbox"/> To gain an understanding of ESG strategy and/or management <input type="checkbox"/> We do not engage via internal staff |
| Collaborative engagements | <input checked="" type="checkbox"/> To influence corporate practice (or identify the need to influence) on ESG issues <input checked="" type="checkbox"/> To encourage improved/increased ESG disclosure <input type="checkbox"/> To gain an understanding of ESG strategy and/or management <input type="checkbox"/> We do not engage via collaborative engagements |
| Service provider engagements | <input checked="" type="checkbox"/> To influence corporate practice (or identify the need to influence) on ESG issues <input checked="" type="checkbox"/> To encourage improved/increased ESG disclosure <input checked="" type="checkbox"/> To gain an understanding of ESG strategy and/or management <input type="checkbox"/> We do not engage via service providers |

| | |
|----------|--|
| LEA 02.2 | Indicate whether your organisation plays a role in the engagement process that your service provider conducts. |
|----------|--|

Yes

| | |
|----------|--|
| LEA 02.3 | Indicate the role(s) you play in engagements that your service provider conducts on your behalf. |
|----------|--|

- Discuss the topic (or ESG issue(s)) of engagement
- Discuss the rationale for engagement
- Discuss the objectives of the engagement
- Select the companies to be engaged with
- Discuss the frequency/intensity of interactions with companies
- Discuss next steps for engagement activity
- Participate directly in certain engagements with your service provider
- Other; specify
- We play no role in engagements that our service provider conducts.

No

| | |
|----------|------------------------------------|
| LEA 02.4 | Additional information. [Optional] |
|----------|------------------------------------|

Interactions are delegated to the Fund's advisor, ACSI in the belief that:

- The short-term outlook of many actors in the investment system means that today's market prices may not capture all of the risks and opportunities inherent in the value of companies.
- Responsible exercise of ownership rights by long-term asset owners can assist in improving that value and consequent investment return outcomes for their members.
- The financial system is not always set up in the best long term interests of beneficiaries.

ACSI's mission is, therefore, to enhance sustainable long term value for the retirement savings that are entrusted to ACSI Members as fiduciary institutional investors. ACSI achieves this by representing the collective rights and interests of Members through influencing companies, investors, government and opinion leaders.

| | | | |
|--------|-----------|---------------|-------|
| LEA 03 | Mandatory | Core Assessed | PRI 2 |
|--------|-----------|---------------|-------|

| | |
|----------|---|
| LEA 03.1 | Indicate whether your organisation has a formal process for identifying and prioritising engagements. |
|----------|---|

- Yes
- No

| | | | |
|--------|-----------|---------------|-------|
| LEA 04 | Mandatory | Core Assessed | PRI 2 |
|--------|-----------|---------------|-------|

| | |
|----------|--|
| LEA 04.1 | Indicate whether you define specific objectives for your organisation's engagement activities. |
|----------|--|

| | |
|-----------------------------------|--|
| Individual / Internal engagements | <input checked="" type="checkbox"/> All engagement activities <input type="checkbox"/> Majority of engagement activities <input type="checkbox"/> Minority of engagement activities <input type="checkbox"/> We do not define specific objectives for engagement activities carried out by internal staff. |
| Collaborative engagements | <input checked="" type="checkbox"/> All engagement activities <input type="checkbox"/> Majority of engagement activities <input type="checkbox"/> Minority of engagement activities <input type="checkbox"/> We do not define specific objectives for engagement activities carried out through collaboration |
| Service provider engagements | <input checked="" type="checkbox"/> All engagement activities <input type="checkbox"/> Majority of engagement activities <input type="checkbox"/> Minority of engagement activities <input type="checkbox"/> We do not define specific objectives for engagement activities carried out by our service providers. |

LEA 04.2 Additional information. [Optional]

For ACSI's priority engagement companies, specific engagement issues are defined at the start of the year. For all other companies, ACSI outlines key engagement topics and objectives prior to the meeting.

LEA 05 **Mandatory** **Core Assessed** **PRI 2**

LEA 05.1 Indicate if you monitor and/or review engagement outcomes.

| | |
|-----------------------------------|---|
| Individual / Internal engagements | <input checked="" type="checkbox"/> Yes, in all cases <input type="checkbox"/> Yes, in majority of cases <input type="checkbox"/> Yes, in a minority of cases <input type="checkbox"/> We do not monitor, or review engagement outcomes carried out by our internal staff. |
| Collaborative engagements | <input type="checkbox"/> Yes, in all cases <input checked="" type="checkbox"/> Yes, in a majority of cases <input type="checkbox"/> Yes, in a minority of cases <input type="checkbox"/> We do not monitor, or review engagement outcomes via collaborative engagement activities. |
| Service provider engagements | <input checked="" type="checkbox"/> Yes, in all cases <input type="checkbox"/> Yes, in majority of cases <input type="checkbox"/> Yes, in minority of cases <input type="checkbox"/> We do not monitor, or review engagement outcomes carried out by our service providers. |

LEA 05.2 Indicate if you do any of the following to monitor and review the progress of engagement activities.

| | |
|---|--|
| Individual / Internal staff engagements | <input type="checkbox"/> Define timelines/milestones for your objectives <input type="checkbox"/> Track and/or monitor progress against defined objectives and/or KPIs <input type="checkbox"/> Track and/or monitor the progress of action taken when original objectives are not met <input type="checkbox"/> Revisit and, if necessary, revise objectives on continuous basis <input checked="" type="checkbox"/> Other; specify <p>Internal staff engagements are carried out in collaboration with the Fund's engagement provider - ACSI, and sometimes with the Fund's investment managers.</p> |
| Collaborative engagements | <input type="checkbox"/> Define timelines/milestones for your objectives <input type="checkbox"/> Track and/or monitor progress against defined objectives and/or KPIs <input type="checkbox"/> Track and/or monitor the progress of action taken when original objectives are not met <input type="checkbox"/> Revisit and, if necessary, revise objectives on continuous basis <input checked="" type="checkbox"/> Other; specify <p>Collaborative engagement is mainly in the area of engaging with policy makers on ESG such as climate change.</p> |
| Service provider engagements | <input checked="" type="checkbox"/> Define timelines/milestones for your objectives <input checked="" type="checkbox"/> Track and/or monitor progress against defined objectives and/or KPIs <input checked="" type="checkbox"/> Track and/or monitor the progress of action taken when original objectives are not met <input checked="" type="checkbox"/> Revisit and, if necessary, revise objectives on continuous basis <input type="checkbox"/> Other; specify |

LEA 05.3 Additional information [Optional]

In addition to engagement carried out by the Fund's investment managers, engagement is also carried out collectively via ACSI. As a founding member of ACSI, CareSuper is represented at ACSI board and member council. CareSuper contributes to setting priorities/material ESG issues for engagement at ACSI. Fund staff also attends engagement meetings with ACSI from time to time.

| | | | |
|--------|-----------|---------------------|---------|
| LEA 06 | Mandatory | Additional Assessed | PRI 2,4 |
|--------|-----------|---------------------|---------|

| | |
|----------|--|
| LEA 06.1 | Indicate whether your organisation has an escalation strategy when engagements are unsuccessful. |
|----------|--|

Yes

| | |
|----------|--|
| LEA 06.2 | Indicate the escalation strategies used at your organisation following unsuccessful engagements. |
|----------|--|

- Collaborating with other investors
- Issuing a public statement
- Filing/submitting a shareholder resolution
- Voting against the re-election of the relevant directors
- Voting against the board of directors or the the annual financial report
- Submitting nominations for election to the board
- Seeking legal remedy / litigation
- Reducing exposure (size of holdings)
- Divestment
- Other, specify

No

| | |
|----------|------------------------------------|
| LEA 06.3 | Additional information. [Optional] |
|----------|------------------------------------|

ACSI members, together with ACSI management, identify issues for engagement on an annual basis. Monitoring and review are done semiannually via progress reports and presentations.

ACSI members also attend a number of engagements each year alongside ACSI staff. In many cases, several members attend a single meeting.

| | | | |
|--------|-----------|---------------------|---------|
| LEA 07 | Voluntary | Additional Assessed | PRI 1,2 |
|--------|-----------|---------------------|---------|

| | |
|----------|---|
| LEA 07.1 | Indicate whether insights gained from your organisation's engagements are shared with investment decision-makers. |
|----------|---|

| Type of engagement | Insights shared |
|--|---|
| Individual / Internal staff engagements | <input type="radio"/> Yes, systematically <input checked="" type="radio"/> Yes, occasionally <input type="radio"/> No |
| Collaborative engagements | <input type="radio"/> Yes, systematically <input checked="" type="radio"/> Yes, occasionally <input type="radio"/> No |
| Service provider engagements | <input checked="" type="radio"/> Yes, systematically <input type="radio"/> Yes, occasionally <input type="radio"/> No |

| | |
|----------|--|
| LEA 07.2 | Indicate the practices used to ensure information and insights collected through engagements are shared with investment decision-makers. |
|----------|--|

- Involving investment decision-makers when developing engagement programme
- Holding investment team meetings and/or presentations
- Using IT platforms/systems that enable data sharing
- Internal process that requires portfolio managers to re-balance holdings based on interaction and outcome levels
- Other; specify
- None

| | |
|----------|---|
| LEA 07.3 | Indicate whether insights gained from your organisation's engagements are shared with your clients/beneficiaries. |
|----------|---|

| Type of engagement | Insights shared |
|--|---|
| Individual/Internal staff engagements | <input type="radio"/> Yes, systematically <input checked="" type="radio"/> Yes, occasionally <input type="radio"/> No |
| Collaborative engagements | <input type="radio"/> Yes, systematically <input checked="" type="radio"/> Yes, occasionally <input type="radio"/> No |

| | |
|-------------------------------------|---|
| Service provider engagements | <input type="radio"/> Yes, systematically <input checked="" type="radio"/> Yes, occasionally <input type="radio"/> No |
|-------------------------------------|---|

LEA 07.4 Additional information. [Optional]
 Engagement insights are shared with external investment managers and beneficiaries on a case-by-case basis.

LEA 08 Mandatory Gateway PRI 2

LEA 08.1 Indicate if you track the number of your engagement activities.

| Type of engagement | Tracking engagements |
|--|--|
| Individual / Internal staff engagements | <input checked="" type="radio"/> Yes, we track the number of our engagements in full <input type="radio"/> Yes, we partially track the number of our engagements <input type="radio"/> We do not track |
| Collaborative engagements | <input checked="" type="radio"/> Yes, we track the number of our engagements in full <input type="radio"/> Yes, we partially track the number of our engagements <input type="radio"/> We do not track |
| Service provider engagements | <input checked="" type="radio"/> Yes, we track the number of our engagements in full <input type="radio"/> Yes, we partially track the number of our engagements <input type="radio"/> We do not track |

LEA 08.2 Additional information. [OPTIONAL]
 ACSI tracks all formal company engagement meetings and provides semiannual engagement updates to members.

LEA 09 Mandatory to Report, Voluntary to Disclose Core Assessed PRI 2

Private

LEA 10 Voluntary Additional Assessed PRI 2

Private

LEA 11 Voluntary Descriptive PRI 2

Private

LEA 12 Mandatory Descriptive PRI 2

LEA 12.1 Indicate how you typically make your (proxy) voting decisions.

| Approach | | |
|---|----------|--|
| <input type="radio"/> We use our own research or voting team and make voting decisions without the use of service providers. <input checked="" type="radio"/> We hire service provider(s) who make voting recommendations and/or provide research that we use to guide our voting decisions. | | |
| <table border="1"> <thead> <tr> <th>Based on</th> </tr> </thead> <tbody> <tr> <td> <input type="radio"/> the service provider voting policy we sign off on <input checked="" type="radio"/> our own voting policy <input type="radio"/> our clients' requests or policies <input type="radio"/> other, explain </td> </tr> </tbody> </table> | Based on | <input type="radio"/> the service provider voting policy we sign off on <input checked="" type="radio"/> our own voting policy <input type="radio"/> our clients' requests or policies <input type="radio"/> other, explain |
| Based on | | |
| <input type="radio"/> the service provider voting policy we sign off on <input checked="" type="radio"/> our own voting policy <input type="radio"/> our clients' requests or policies <input type="radio"/> other, explain | | |
| <input type="radio"/> We hire service provider(s) who make voting decisions on our behalf, except for some pre-defined scenarios where we review and make voting decisions. <input type="radio"/> We hire service provider(s) who make voting decisions on our behalf. | | |

LEA 12.2 Provide an overview of how you ensure your voting policy is adhered to, giving details of your approach when exceptions to the policy are made.

We use the voting reports and recommendations provided by ACSI, which covers the ASX200.
 We actively contribute to setting the ACSI Governance Guidelines which are used by ACSI's management to inform their voting recommendations and by us in exercising our voting rights. The Guidelines are co-written and approved by members via working groups and ACSI Member Council.
 Link to ACSI's Governance Guidelines:
<https://www.acsi.org.au/publications-1/acsi-governance-guidelines.html>

LEA 12.3 Additional information.[Optional]

We use the voting reports and recommendations provided by ACSI, which covers the ASX200. It is based on a set of Governance Guidelines which were specifically and collaboratively created by ACSI members to represent their interests. The Guidelines are used by ACSI to arrive at their voting recommendations.
 As a Full members of ACSI, CareSuper can participate in biennial revisions of the Governance Guidelines.

In addition, on scenarios which require review and/or for voting on stocks not covered by ACSI's service, provisions have been made in CareSuper's Proxy Voting policy, which is available on the Fund's website.

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| LEA 14 | Voluntary | Additional Assessed | PRI 2 |
| Private | | | |
| LEA 15 | Mandatory | Descriptive | PRI 2 |
| LEA 15.1 | Indicate the proportion of votes where you or the service providers acting on your behalf have raised concerns with companies ahead of voting. | | |
| <input type="radio"/> 100% <input checked="" type="radio"/> 99-75% <input type="radio"/> 74-50% <input type="radio"/> 49-25% <input type="radio"/> 24-1% <input type="radio"/> Neither we nor our service provider(s) raise concerns with companies ahead of voting | | | |
| LEA 15.2 | Indicate the reasons for raising your concerns with these companies ahead of voting. | | |
| <input type="checkbox"/> Vote(s) for selected markets <input type="checkbox"/> Vote(s) for selected sectors <input checked="" type="checkbox"/> Vote(s) relating to certain ESG issues <input checked="" type="checkbox"/> Vote(s) on companies exposed to controversy on specific ESG issues <input type="checkbox"/> Vote(s) for significant shareholdings <input type="checkbox"/> On request by clients <input type="checkbox"/> Other | | | |
| LEA 15.3 | Additional information. [Optional] | | |
| <p>Our external provider ACSI, provides analysis of shareholder resolutions on a case-by-case basis in the Australian market.</p> <p>ACSI will generally favour those proposals that result in the disclosure of information that is useful to shareholders and not overly prejudicial to their commercial interests. Resolutions should be linked to improved governance or transparency within the relevant company.</p> <p>For all companies covered by ACSI's voting service that CareSuper subscribes to, ACSI usually corresponds either via meetings or teleconferences around the time of company meetings; or writes to each company to express their concerns and rationale where there is an 'against' recommendation. Companies that ACSI have more material concerns will become Corporate Governance engagement priorities and ACSI typically holds face to face meetings with those companies seeking a change of its practices.</p> <p>ACSI does not vote on behalf of its members.</p> | | | |
| LEA 16 | Mandatory | Core Assessed | PRI 2 |
| LEA 16.1 | Indicate the proportion of votes participated in within the reporting year in which, you and/or the service provider(s) acting on your behalf, have communicated to companies the rationale for abstaining or voting against management recommendations. | | |
| <input checked="" type="radio"/> 100% <input type="radio"/> 99-75% <input type="radio"/> 74-50% <input type="radio"/> 49-25% <input type="radio"/> 24-1% <input type="radio"/> We do not communicate the rationale to companies <input type="radio"/> Not applicable because we and/or our service providers do not abstain or vote against management recommendations | | | |
| LEA 16.3 | In cases where your organisation does communicate the rationale for the abstention or the vote against management recommendations, indicate whether this rationale is made public. | | |
| <input type="radio"/> Yes <input checked="" type="radio"/> No | | | |
| LEA 16.4 | Additional information. [Optional] | | |
| <p>Rationales for the abstention or the vote against management recommendations are always shared with company management. In most cases, these are not made public; in doing so, it helps with building trust with investee companies and supports on-going constructive dialog with these companies. An exception is in 'gender diversity'. CareSuper's service provider ACSI has a formal policy (access via this link: https://acsi.org.au/images/stories/ACSIDocuments/MediaReleases/ACSI-toughens-Gender-Diversity-Policy-FINAL-7-March-2019.pdf) on gender diversity and ACSI has been vocal about its rationale of voting against management due to lack of gender diversity. Further information is available at: https://www.smh.com.au/business/workplace/shareholders-begin-voting-against-asx200-directors-for-having-no-women-on-their-boards-acsi-20171107-gzgnr9.html</p> | | | |
| LEA 17 | Mandatory | Core Assessed | PRI 2 |
| LEA 17.1 | For listed equities where you and/or your service provider have the mandate to issue (proxy) voting instructions, indicate the percentage of votes cast during the reporting year. | | |
| <input checked="" type="checkbox"/> We do track or collect this information | | | |

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| | Votes cast (to the nearest 1%) |
| | 99% |
| | Specify the basis on which this percentage is calculated |
| | <input checked="" type="checkbox"/> of the total number of ballot items on which you could have issued instructions <input type="checkbox"/> of the total number of company meetings at which you could have voted <input type="checkbox"/> of the total value of your listed equity holdings on which you could have voted <input type="checkbox"/> We do not track or collect this information |

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| LEA 17.2 | Explain your reason(s) for not voting on certain holdings |
| | <input type="checkbox"/> Shares were blocked <input type="checkbox"/> Notice, ballots or materials not received in time <input type="checkbox"/> Missed deadline <input type="checkbox"/> Geographical restrictions (non-home market) <input type="checkbox"/> Cost <input type="checkbox"/> Conflicts of interest <input type="checkbox"/> Holdings deemed too small <input checked="" type="checkbox"/> Administrative impediments (e.g., power of attorney requirements, ineligibility due to participation in share placement) <input type="checkbox"/> Client request <input checked="" type="checkbox"/> Other |
| | <p>According to CareSuper's Proxy Voting Policy, for Australian Shares, CareSuper votes all resolutions if possible and in principle, votes in accordance with ACSI's recommendations. For Overseas Shares investments held in individually managed accounts, investment managers are expected to vote all companies resolutions in line with each manager's proxy voting policy. For CareSuper's Overseas Sares investments held in pooled trusts, there is a very limited ability of the Fund to influence the voting decisions of the manager. However, CareSuper encourages the relevant Fund Manager to exercise voting rights in accordance with their voting policy.</p> |

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| LEA 18 | Voluntary | Additional Assessed | PRI 2 |
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| LEA 18.1 | Indicate if you track the voting instructions that you and/or your service provider on your behalf have issued. |
| | <input checked="" type="checkbox"/> Yes, we track this information |
| LEA 18.2 | Of the voting instructions that you and/or third parties on your behalf issued, indicate the proportion of ballot items that were: |
| | <p>Voting instructions Breakdown as percentage of votes cast</p> <p>For (supporting) management recommendations 90%</p> <p>Against (opposing) management recommendations 8%</p> <p>Abstentions 2%</p> |
| | <input type="checkbox"/> No, we do not track this information |
| LEA 18.3 | In cases where your organisation voted against management recommendations, indicate the percentage of companies you have engaged. |
| | 100 |

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| LEA 19 | Mandatory | Core Assessed | PRI 2 |
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| LEA 19.1 | Indicate whether your organisation has a formal escalation strategy following unsuccessful voting. |
| | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| LEA 19.2 | Indicate the escalation strategies used at your organisation following abstentions and/or votes against management. |
| | <input checked="" type="checkbox"/> Contacting the company's board <input type="checkbox"/> Contacting the company's senior management <input type="checkbox"/> Issuing a public statement explaining the rationale <input checked="" type="checkbox"/> Initiating individual/collaborative engagement <input type="checkbox"/> Directing service providers to engage <input type="checkbox"/> Reducing exposure (holdings) / divestment <input type="checkbox"/> Other |
| LEA 19.3 | Additional information. [Optional] |
| | <p>We engage with companies via our service provider ACSI as well as through our investment managers. Through ACSI, we engage companies and undertake a series of escalation steps before and post-AGM. The level of escalation recommended by ACSI is dependent upon the nature and materiality of an issue and responsiveness of a company to engagement.</p> <p>Generally, where ACSI recommends a vote in opposition to the board, depending on the materiality, the company may be put onto ACSI's engagement priority list for the following year. Further escalation can include:</p> <ul style="list-style-type: none"> - Further engagement with board members and/or Chair |

- Expressing concerns to alternative company representatives (i.e. management, other non-executive directors)
- Working collectively with asset managers/other asset owners and holding discussions with other equity or bondholders
- Recommending additional votes against management on relevant proposals at general meetings (eg: ACSI's women on Boards policy (<https://acsi.org.au/images/2017WomenonBoardsVotingPolicy.pdf>))
- Speaking to regulators, industry bodies and advocating for policy change
- Expressing concerns publicly
- Encourage ACSI's members and other industry participants to take up more pro-active stance

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| LEA 20 | Voluntary | Descriptive | PRI 2 |
| <i>Private</i> | | | |
| LEA 21 | Voluntary | Descriptive | PRI 2 |
| <i>Private</i> | | | |

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| CM1 01 | Mandatory | Additional Assessed | General | | | | | | |
| CM1 01.1 | Indicate whether the reported information you have provided for your PRI Transparency Report this year has undergone: | | | | | | | | |
| <input type="checkbox"/> Third party assurance over selected responses from this year's PRI Transparency Report <input type="checkbox"/> Third party assurance over data points from other sources that have subsequently been used in your PRI responses this year <input type="checkbox"/> Third party assurance or audit of the correct implementation of RI processes (that have been reported to the PRI this year) <input type="checkbox"/> Internal audit of the correct implementation of RI processes and/or accuracy of RI data (that have been reported to the PRI this year) <input checked="" type="checkbox"/> Internal verification of responses before submission to the PRI (e.g. by the CEO or the board) <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Whole PRI Transparency Report has been internally verified <input type="checkbox"/> Selected data has been internally verified <input type="checkbox"/> Other, specify <input type="checkbox"/> None of the above | | | | | | | | | |
| CM1 02 | Mandatory | Descriptive | General | | | | | | |
| CM1 02.1 | We undertook third party assurance on last year's PRI Transparency Report | | | | | | | | |
| <input type="radio"/> Whole PRI Transparency Report was assured last year <input type="radio"/> Selected data was assured in last year's PRI Transparency Report <input checked="" type="radio"/> We did not assure last year's PRI Transparency report <input type="radio"/> None of the above, we were in our preparation year and did not report last year. | | | | | | | | | |
| CM1 03 | Mandatory | Descriptive | General | | | | | | |
| CM1 03.1 | We undertake confidence building measures that are unspecific to the data contained in our PRI Transparency Report: | | | | | | | | |
| <input type="checkbox"/> We adhere to an RI certification or labelling scheme <input type="checkbox"/> We carry out independent/third party assurance over a whole public report (such as a sustainability report) extracts of which are included in this year's PRI Transparency Report <input type="checkbox"/> ESG audit of holdings <input checked="" type="checkbox"/> Other, specify <p style="margin-left: 20px;">CareSuper's CIO has reviewed the PRI Transparency Report.</p> <input type="checkbox"/> None of the above | | | | | | | | | |
| CM1 04 | Mandatory | Descriptive | General | | | | | | |
| CM1 04.1 | Do you plan to conduct third party assurance of this year's PRI Transparency report? | | | | | | | | |
| <input type="radio"/> Whole PRI Transparency Report will be assured <input type="radio"/> Selected data will be assured <input checked="" type="radio"/> We do not plan to assure this year's PRI Transparency report | | | | | | | | | |
| CM1 07 | Mandatory | Descriptive | General | | | | | | |
| CM1 07.1 | Indicate who has reviewed/verified internally the whole - or selected data of the - PRI Transparency Report . and if this applies to selected data please specify what data was reviewed | | | | | | | | |
| <input checked="" type="checkbox"/> CEO or other Chief-Level staff <table border="1" style="margin-left: 20px;"> <tr> <td></td> <td>Sign-off or review of responses</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Sign-off</td> </tr> <tr> <td><input checked="" type="checkbox"/></td> <td>Review of responses</td> </tr> </table> <input type="checkbox"/> The Board <input type="checkbox"/> Investment Committee <input type="checkbox"/> Compliance Function <input checked="" type="checkbox"/> RI/ESG Team <input type="checkbox"/> Investment Teams <input type="checkbox"/> Legal Department <input type="checkbox"/> Other (specify) | | | | | Sign-off or review of responses | <input type="checkbox"/> | Sign-off | <input checked="" type="checkbox"/> | Review of responses |
| | Sign-off or review of responses | | | | | | | | |
| <input type="checkbox"/> | Sign-off | | | | | | | | |
| <input checked="" type="checkbox"/> | Review of responses | | | | | | | | |