RI TRANSPARENCY REPORT
2014/15
Global Crop Diversity Trust
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 2014-15 reporting cycle. 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. As a result, the reports can be extensive. However, to help easily locate information, there is a Principles index which highlights where the information can be found and summarises the indicators that signatories complete and disclose.

Understanding the Principles Index

The Principles Index summarises the response status for the individual indicators and modules and shows how these relate to the six Principles for Responsible Investment. It can be used by stakeholders as an ‘at-a-glance’ summary of reported information and to identify particular themes or areas of interest.

Indicators can refer to one or more Principles. Some indicators are not specific to any Principle. These are highlighted in the ‘General’ column. When multiple Principles are covered across numerous indicators, in order to avoid repetition, only the main Principle covered is highlighted.

All indicators within a module are presented below. The status of indicators is shown with the following symbols:

<table>
<thead>
<tr>
<th>Symbol</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓</td>
<td>The signatory has completed all mandatory parts of this indicator</td>
</tr>
<tr>
<td>☐</td>
<td>The signatory has completed some parts of this indicator</td>
</tr>
<tr>
<td>⚪</td>
<td>This indicator was not relevant for this signatory</td>
</tr>
<tr>
<td>-</td>
<td>The signatory did not complete any part of this indicator</td>
</tr>
<tr>
<td>⚫</td>
<td>The signatory has flagged this indicator for internal review</td>
</tr>
</tbody>
</table>

Within the table, indicators marked in blue are mandatory to complete. Indicators marked in grey are voluntary to complete.
## Principles Index

<table>
<thead>
<tr>
<th>Organisational Overview</th>
<th>Principle</th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicator</td>
<td>Short description</td>
<td>Status</td>
</tr>
<tr>
<td>OO 01</td>
<td>Signatory category and services</td>
<td>✓</td>
</tr>
<tr>
<td>OO 02</td>
<td>Headquarters and operational countries</td>
<td>✓</td>
</tr>
<tr>
<td>OO 03</td>
<td>Subsidiaries that are separate PRI signatories</td>
<td>✓</td>
</tr>
<tr>
<td>OO 04</td>
<td>Reporting year and AUM</td>
<td>✓</td>
</tr>
<tr>
<td>OO 05</td>
<td>Breakdown of AUM by asset class</td>
<td>✓</td>
</tr>
<tr>
<td>OO 06</td>
<td>How would you like to disclose your asset class mix</td>
<td>✓</td>
</tr>
<tr>
<td>OO 07</td>
<td>Segregated mandates or pooled funds</td>
<td>✓</td>
</tr>
<tr>
<td>OO 08</td>
<td>Breakdown of AUM by market</td>
<td>✓</td>
</tr>
<tr>
<td>OO 09</td>
<td>Additional information about organisation</td>
<td>✓</td>
</tr>
<tr>
<td>OO 10</td>
<td>RI activities for listed equities</td>
<td>✓</td>
</tr>
<tr>
<td>OO 11</td>
<td>RI activities in other asset classes</td>
<td>✓</td>
</tr>
<tr>
<td>OO 12</td>
<td>Modules and sections required to complete</td>
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</table>
## Overarching Approach

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Short description</th>
<th>Status</th>
<th>Disclosure</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
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<tbody>
<tr>
<td>OA 01</td>
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<td>Public</td>
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<td></td>
<td></td>
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<td></td>
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</tr>
<tr>
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<td></td>
<td></td>
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<td></td>
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<tr>
<td>OA 03</td>
<td>Policy components and coverage</td>
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<td>Public</td>
<td></td>
<td></td>
<td></td>
<td>✓</td>
<td>✓</td>
<td></td>
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<tr>
<td>OA 04</td>
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<td></td>
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<td></td>
<td>✓</td>
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<tr>
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<td>RI goals and objectives</td>
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<td></td>
<td></td>
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</tr>
<tr>
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<td>Main goals/objectives this year</td>
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</tr>
<tr>
<td>OA 07</td>
<td>Governance, management structures and RI processes</td>
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<td></td>
<td></td>
<td></td>
<td></td>
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<td>OA 08</td>
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<td></td>
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<td></td>
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<tr>
<td>OA 09</td>
<td>RI in performance management, reward and/or personal development</td>
<td>¶</td>
<td>n/a</td>
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<td></td>
<td></td>
<td></td>
<td></td>
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<td>Collaborative organisations / initiatives</td>
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<td></td>
<td>✓</td>
<td>✓</td>
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<td>Promoting RI independently</td>
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<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>OA 12</td>
<td>Dialogue with public policy makers or standard setters</td>
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<td>ESG issues in strategic asset allocation</td>
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<td>Allocation of assets to environmental and social themed areas</td>
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<td>RI/ESG in execution and/or advisory services</td>
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<tr>
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<td>RI factors in selection, appointment and monitoring across asset classes</td>
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<td>SAM 05</td>
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</tr>
<tr>
<td>SAM 06</td>
<td>Selection processes (listed assets)</td>
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<td>n/a</td>
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<tr>
<td>SAM 07</td>
<td>Appointment considerations (listed assets)</td>
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<td>Monitoring processes (listed assets)</td>
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<tr>
<td>SAM 09</td>
<td>Percentage of (proxy) votes cast</td>
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<td>n/a</td>
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<td>SAM 10</td>
<td>Selection processes (non-listed assets)</td>
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<tr>
<td>SAM 11</td>
<td>Appointment considerations (non-listed assets)</td>
<td>☐</td>
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<td>SAM 12</td>
<td>Monitoring processes (non-listed assets)</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>SAM 13</td>
<td>Description of RI considerations in 'other' asset classes</td>
<td>☐</td>
<td>n/a</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SAM 14</td>
<td>Percentage of externally managed assets managed by PRI signatories</td>
<td>✓</td>
<td>Private</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
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<td>SAM 15</td>
<td>Examples of ESG issues in selection, appointment and monitoring processes</td>
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<td>Private</td>
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<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>SAM 16</td>
<td>Disclosure of RI considerations</td>
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<td>Public</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Global Crop Diversity Trust

Reported Information
Public version

Organisational Overview

PRI disclaimer
This document presents information reported directly by signatories. This information has not been audited by the PRI Secretariat or any other party acting on their behalf. While this information is believed to be reliable, no representations or warranties are made as to the accuracy of the information presented, and no responsibility or liability can be accepted for any error or omission.
### Basic Information

<table>
<thead>
<tr>
<th>OO 01</th>
<th>Mandatory</th>
<th>Gateway/Peering</th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OO 01.1</strong></td>
<td>Select the category which best represents your primary activity.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Non-corporate pension or superannuation or retirement or provident fund or plan</td>
<td>☐ Corporate pension or superannuation or retirement or provident fund or plan</td>
<td>☐ Insurance company</td>
<td>☐ Foundation or endowment</td>
</tr>
<tr>
<td>☐ Development finance institution</td>
<td>☐ Reserve - sovereign or government controlled fund</td>
<td>☐ Other, specify</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>OO 02</th>
<th>Mandatory</th>
<th>Peering</th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OO 02.1</strong></td>
<td>Select the location of your organisation’s headquarters.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Germany</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>OO 02.2</strong></td>
<td>Indicate the number of countries in which you have offices (including your headquarters).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ 1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ 2-5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ 6-10</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ &gt;10</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| **OO 02.3** | Indicate the approximate number of staff in your organisation in full-time equivalents (FTE). | | |
| FTE |
| 22.5 |

<table>
<thead>
<tr>
<th>OO 03</th>
<th>Mandatory</th>
<th>Descriptive</th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OO 03.1</strong></td>
<td>Indicate whether you have subsidiaries within your organisation that are also PRI signatories in their own right.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Yes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ No</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>OO 04</th>
<th>Mandatory</th>
<th>Gateway/Peering</th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OO 04.1</strong></td>
<td>Indicate the year end date for your reporting year.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>31/12/2014</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### OO 04.2
Indicate your total AUM at the end of your reporting year, excluding subsidiaries you have chosen not to report on, and advisory/execution only assets.

<table>
<thead>
<tr>
<th></th>
<th>trillions</th>
<th>billions</th>
<th>millions</th>
<th>thousands</th>
<th>hundreds</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total AUM</td>
<td></td>
<td></td>
<td>169</td>
<td>677</td>
<td>502</td>
</tr>
<tr>
<td>Currency</td>
<td>USD</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assets in USD</td>
<td></td>
<td></td>
<td>169</td>
<td>677</td>
<td>502</td>
</tr>
</tbody>
</table>

### OO 04.5
Indicate the level of detail you would like to provide about your asset class mix.

- ⊗ Approximate percentage breakdown to the nearest 5% (e.g. 45%)
- ○ Broad ranges breakdown (i.e. <10%; 10-50%; >50%)

### OO 06
**Mandatory** | **Descriptive** | **General**

### OO 06.1
To contextualise your responses to the public, indicate how you would like to disclose your asset class mix.

- ⊗ Publish our asset class mix as percentage breakdown

<table>
<thead>
<tr>
<th></th>
<th>Internally managed (%)</th>
<th>Externally managed (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Listed equity</td>
<td>0</td>
<td>32.7</td>
</tr>
<tr>
<td>Fixed income – corporate</td>
<td>0</td>
<td>6.3</td>
</tr>
<tr>
<td>Fixed income – government</td>
<td>0</td>
<td>9.6</td>
</tr>
<tr>
<td>Fixed income – other</td>
<td>0</td>
<td>3.9</td>
</tr>
<tr>
<td>Private debt</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Private equity</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Property</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Infrastructure</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Commodities</td>
<td>0</td>
<td>2.4</td>
</tr>
<tr>
<td>Hedge funds</td>
<td>0</td>
<td>24.7</td>
</tr>
<tr>
<td>Forestry</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Asset Class</td>
<td>Segregated mandate(s)</td>
<td>Pooled fund(s)</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>-----------------------</td>
<td>----------------</td>
</tr>
<tr>
<td>Farmland</td>
<td>0%</td>
<td>10.3</td>
</tr>
<tr>
<td>Inclusive finance</td>
<td>0%</td>
<td>&lt;10%</td>
</tr>
<tr>
<td>Cash</td>
<td>0%</td>
<td>&lt;10%</td>
</tr>
<tr>
<td>Other (1), specify</td>
<td>0%</td>
<td>&gt;50%</td>
</tr>
<tr>
<td>Other (2), specify</td>
<td>0%</td>
<td>&gt;50%</td>
</tr>
</tbody>
</table>

'Other (1)' specified

Multi-Asset Managers (Risk Parity / GTAA)

'Other (2)' specified

Global Inflation Linked Bonds

- Publish our asset class mix as broad ranges
- Publish our asset class mix as per attached file (the following image formats can be uploaded: .jpg, .jpeg, .png, .bmp and .gif)

**OO 07.1** Provide a breakdown of your organisation’s externally managed assets between segregated mandates and pooled funds.

<table>
<thead>
<tr>
<th>% of externally managed assets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Segregated mandate(s)</td>
</tr>
<tr>
<td>0%</td>
</tr>
<tr>
<td>&lt;10%</td>
</tr>
<tr>
<td>10-50%</td>
</tr>
<tr>
<td>&gt;50%</td>
</tr>
<tr>
<td>Pooled fund(s)</td>
</tr>
<tr>
<td>0%</td>
</tr>
<tr>
<td>&lt;10%</td>
</tr>
<tr>
<td>10-50%</td>
</tr>
<tr>
<td>&gt;50%</td>
</tr>
</tbody>
</table>

**OO 07.2** Indicate the proportion of your externally managed assets in fund-of-funds.
OO 08 Mandatary to Report Voluntary to Disclose Peering General

OO 08.1 Indicate the breakdown of your organisation’s AUM by market.

<table>
<thead>
<tr>
<th>Market breakdown</th>
<th>% of AUM</th>
</tr>
</thead>
<tbody>
<tr>
<td>Developed Markets</td>
<td>○ 0%</td>
</tr>
<tr>
<td></td>
<td>○ &lt;10%</td>
</tr>
<tr>
<td></td>
<td>○ 10-50%</td>
</tr>
<tr>
<td></td>
<td>☐ &gt;50 %</td>
</tr>
<tr>
<td>Emerging, Frontier and Other Markets</td>
<td>○ 0%</td>
</tr>
<tr>
<td></td>
<td>○ &lt;10%</td>
</tr>
<tr>
<td></td>
<td>○ 10-50%</td>
</tr>
<tr>
<td></td>
<td>○ &gt;50 %</td>
</tr>
</tbody>
</table>

Gateway asset class implementation indicators

OO 10 Mandatory Gateway General

OO 10.1 Select the responsible investment activities your organisation implemented, directly and/or indirectly, for listed equities in the reporting year.

☐ We engage with companies on ESG issues via our staff, collaborations or service providers
☐ We cast our (proxy) votes directly or via service providers
☐ We address ESG incorporation, engagement and/or (proxy) voting in our external manager selection, appointment and/or monitoring processes
☐ None of the above

OO 10.3 Additional information. [Optional]

We address ESG engagement by proactively writing to our investment managers about UN PRI and the importance of UN PRI to the Crop Trust. We have incorporated the principles of responsible investment into our Board-approved Investment Policy Statement.
Indicate if in the reporting year you addressed ESG incorporation and/or active ownership in your external manager selection, appointment and/or monitoring processes in the following externally managed asset classes.

- Fixed income – corporate
- Fixed income – government
- Fixed Income – other
- Commodities
- Hedge funds
- Cash
- Other (1)
- Other (2)
- None of the above

'Other (1)' [as defined in OO 05]

Multi-Asset Managers (Risk Parity / GTAA)

'Other (2)' [as defined in OO 05]

Global Inflation Linked Bonds

A responsible investment policy is included in our Board-approved investment policy statement. In addition, we have sent letters to each of our external investment managers affirming our commitment to the principles of UNPRI and encouraging them to consider ESG factors in their own business and investment approach.

The modules and sections that you will be required to complete are listed below.

- Organisational Overview
- Overarching Approach (including assets which do not have a separate module)

RI implementation via external managers

- Listed Equities

This list is based on the percentages provided in your AUM breakdown and your responses to the gateway indicators. You are only required to report on asset classes that represent 10% or more of your AUM. You may report voluntarily on any applicable modules or sections by selecting them from the list. Fixed Income and Infrastructure are voluntary.
Closing module

☐ Closing module
Global Crop Diversity Trust

Reported Information

Public version

Overarching Approach

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## Responsible investment policy

**OA 01**  Mandatory  
**Gateway/Core Assessed**  General

<table>
<thead>
<tr>
<th>OA 01.1</th>
<th>Indicate if you have a responsible investment policy.</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ Yes</td>
<td></td>
</tr>
<tr>
<td>☐ No</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>OA 01.2</th>
<th>Indicate if you have other guidance documents or more specific policies related to responsible investment.</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Yes</td>
<td></td>
</tr>
<tr>
<td>☑ No</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>OA 01.3</th>
<th>Provide a brief description of the key elements of your responsible investment policy or, if you do not have a policy, of your overall approach to responsible investment. [Optional]</th>
</tr>
</thead>
</table>

Our Board of Directors have ratified a revised responsible investment policy which incorporates the principle of responsible investment.

**OA 02**  Mandatory  
**Core Assessed**  PRI 6

<table>
<thead>
<tr>
<th>OA 02.1</th>
<th>Indicate if your responsible investment policy is publicly available.</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ Yes</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>OA 02.2</th>
<th>Provide a URL to your responsible investment policy.</th>
</tr>
</thead>
<tbody>
<tr>
<td>URL</td>
<td><a href="http://www.croptrust.org">http://www.croptrust.org</a></td>
</tr>
<tr>
<td>☐ No</td>
<td></td>
</tr>
</tbody>
</table>

**OA 03**  Mandatory  
**Core Assessed**  PRI 1,2

<table>
<thead>
<tr>
<th>OA 03.1</th>
<th>Indicate the components/types and coverage of your responsible investment policy and guidance documents.</th>
</tr>
</thead>
</table>

Select all that apply
### Policy components/types

<table>
<thead>
<tr>
<th>Policy components/types</th>
<th>Coverage by AUM</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ Policy setting out your overall approach</td>
<td>☑ Applicable policies cover all AUM</td>
</tr>
<tr>
<td>☐ (Proxy) voting policy</td>
<td>☐ Applicable policies cover a majority of AUM</td>
</tr>
<tr>
<td>☐ Engagement/active ownership policy</td>
<td>☐ Applicable policies cover a minority of AUM</td>
</tr>
<tr>
<td>☐ Specific guidelines on corporate governance</td>
<td></td>
</tr>
<tr>
<td>☐ Specific guidelines on environmental issues</td>
<td></td>
</tr>
<tr>
<td>☐ Specific guidelines on social issues</td>
<td></td>
</tr>
<tr>
<td>☐ Asset class-specific guidelines</td>
<td></td>
</tr>
<tr>
<td>☐ Screening/exclusion policy</td>
<td></td>
</tr>
<tr>
<td>☐ Other, specify</td>
<td></td>
</tr>
<tr>
<td>☐ Other, specify</td>
<td></td>
</tr>
</tbody>
</table>

### OA 04

**Mandatory**

**OA 04.1** Indicate if your organisation has a policy on managing potential conflicts of interest in the investment process.

- ☑ Yes
- ☐ No

### Objectives and strategies

**OA 05**

**Mandatory**

**OA 05.1** Indicate if your organisation sets objectives for its responsible investment activities.

- ☐ Yes
- ☑ No

### Governance and human resources

**OA 08**

**Mandatory**

**OA 08.1** Indicate the roles present in your organisation and for each, indicate whether they have oversight and/or implementation responsibilities for responsible investment.
### Roles present in your organisation

<table>
<thead>
<tr>
<th>Role</th>
<th>Oversight/accountability</th>
<th>Implementation</th>
<th>Responsibility for Responsible Investment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board members or trustees</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
<tr>
<td>Chief Executive Officer (CEO), Chief Investment Officer (CIO), Investment Committee</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
<tr>
<td>Other Chief-level staff or head of department, specify</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
<tr>
<td>Director of Finance</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
<tr>
<td>Portfolio managers</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
<tr>
<td>Investment analysts</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
<tr>
<td>Dedicated responsible investment staff</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
<tr>
<td>External managers or service providers</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
<tr>
<td>Other role, specify</td>
<td>![ ]</td>
<td>![ ]</td>
<td>![ ]</td>
</tr>
</tbody>
</table>

**OA 08.2**  
Indicate the number of dedicated responsible investment staff your organisation has. [Optional]

<table>
<thead>
<tr>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
</tr>
</tbody>
</table>

**OA 08.3**  
Additional information. [Optional]

The governance structure relating to responsibilities for responsible investments is currently being reviewed.

### Promoting responsible investment

**OA 10**  
Mandatory  |  Core Assessed  | PRI 4,5

**OA 10.1**  
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.

Select all that apply

- Principles for Responsible Investment

---

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

- Basic
- Moderate
- Advanced

- Asian Corporate Governance Association
- Association for Sustainable & Responsible Investment in Asia
- Australian Council of Superannuation Investors
- CDP Climate Change
- CDP Forests
- CDP Water
- CFA Institute Centre for Financial Market Integrity
- Council of Institutional Investors (CII)
- Eumedion
- Extractive Industries Transparency Initiative (EITI)
- Global Investors Governance Network (GIGN)
- Global Real Estate Sustainability Benchmark (GRESB)
- 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)
- Investor Network on Climate Risk (INCR)/CERES
- Local Authority Pension Fund Forum
- Regional or National Social Investment Forums (e.g. UKSIF, Eurosif, ASRIA, RIAA), specify
- Shareholder Association for Research and Education (Share)
- United Nations Environmental Program Finance Initiative (UNEP FI)
- United Nations Global Compact
- Other collaborative organisation/initiative, specify
- Other collaborative organisation/initiative, specify
- Other collaborative organisation/initiative, specify
- Other collaborative organisation/initiative, specify

<table>
<thead>
<tr>
<th>OA 11</th>
<th>Mandatory</th>
<th>Core Assessed</th>
<th>PRI 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>OA 11.1</td>
<td>Indicate if your organisation promotes responsible investment, independently of collaborative initiatives.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☑ Yes</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
OA 11.2 Indicate which of the following actions your organisation has taken to promote responsible investment, independently of collaborative initiatives.

☐ Provided or supported education or training programmes for clients, investment managers, broker/dealers, investment consultants, legal advisers or other investment organisations
☐ Provided financial support for academic or industry research on responsible investment
☐ Encouraged better transparency and disclosure of responsible investment practices across the investment industry
☐ Spoke publicly at events and conferences to promote responsible investment
☐ Wrote and published in-house research papers on responsible investment
☒ Encouraged the adoption of the PRI
☐ Other, specify

☐ No
Global Crop Diversity Trust

Reported Information

Public version

Indirect – Manager Selection, Appointment and Monitoring

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Overview

**SAM 02**  
**Mandatory**  
**Core Assessed**  
**PRI 4**

**SAM 02.1**  
Indicate if your organisation uses investment consultants and/or fiduciary managers in the selection, appointment and/or monitoring of external managers.

Yes

**SAM 02.2**  
Indicate how your organisation uses investment consultants and/or fiduciary managers in the selection, appointment and/or monitoring of external managers. [Optional]

- We use investment consultants in our selection and appointment of external managers
  - Asset class
    - Listed Equity (LE)
  - We use investment consultants in our monitoring of external managers
  - Asset class
    - Listed Equity (LE)
  - We use fiduciary managers

**SAM 02.3**  
Indicate if your organisation considers responsible investment in the selection, appointment and/or review processes for investment consultants and/or fiduciary managers.

- Responsible investment is included in the selection process for investment consultants
- Consultants’ responsibilities in relation to responsible investment in manager selection, appointment and monitoring processes are included in our contractual agreements with them
- Responsible investment is considered when reviewing investment consultants’ advice on manager selection and performance monitoring
  - We do not consider responsible investment in the selection, appointment and/or review processes for investment consultants.

No

**SAM 03**  
**Mandatory**  
**Gateway**  
**General**

**SAM 03.1**  
Indicate for which of the following externally managed asset classes your organisation, and/or your investment consultants, consider responsible investment factors in investment manager: (a) Selection, (b) Appointment (investment management agreements/contracts), and (c) Monitoring

Select all that apply
### Listed equity (LE), fixed income corporate (FIC) and fixed income government (FIG)

#### Overview

<table>
<thead>
<tr>
<th>SAM 05</th>
<th>Mandatory</th>
<th>Gateway</th>
<th>PRI 1,2</th>
</tr>
</thead>
<tbody>
<tr>
<td>SAM 05.1</td>
<td>Indicate which of the following ESG incorporation strategies you encourage or require your external manager(s) to implement on your behalf:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Active investment strategies

<table>
<thead>
<tr>
<th>Active investment strategies</th>
<th>LE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Screening</td>
<td></td>
</tr>
<tr>
<td>Thematic</td>
<td></td>
</tr>
<tr>
<td>Integration</td>
<td>✔</td>
</tr>
<tr>
<td>None of the above</td>
<td></td>
</tr>
</tbody>
</table>

#### Passive investment strategies

<table>
<thead>
<tr>
<th>Passive investment strategies</th>
<th>LE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Screening</td>
<td></td>
</tr>
<tr>
<td>Thematic</td>
<td></td>
</tr>
<tr>
<td>Integration</td>
<td>✔</td>
</tr>
<tr>
<td>None of the above</td>
<td></td>
</tr>
</tbody>
</table>

### SAM 05.2

Indicate if - on your externally managed assets - you engage directly, via service providers, or via your external manager.
### SAM 05.3

Indicate if - on your externally managed listed equities - you cast your (proxy) votes directly, via service providers, or via your external manager.

<table>
<thead>
<tr>
<th>LE</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>We engage directly or via service providers on our externally managed assets</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐</td>
<td>We require our external managers to engage on our behalf</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐</td>
<td>None of the above</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Monitoring

#### SAM 08

<table>
<thead>
<tr>
<th>SAM 08</th>
<th>Mandatory</th>
<th>Core Assessed</th>
<th>PRI 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>SAM 08.1</td>
<td>Indicate whether your organisation, and/or your investment consultant, in the dialogue and monitoring of your external manager typically do any of the following:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td>LE</td>
<td></td>
</tr>
<tr>
<td>☐</td>
<td>We cast our (proxy) votes directly or via service providers on our externally managed assets</td>
</tr>
<tr>
<td>☑</td>
<td>We require our external managers to cast our (proxy) votes on our behalf</td>
</tr>
<tr>
<td>☐</td>
<td>None of the above</td>
</tr>
<tr>
<td>LE</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>Include responsible investment as a standard agenda item at performance review meetings</td>
<td>□</td>
</tr>
<tr>
<td>Highlight examples of good responsible investment practice by other managers</td>
<td>□</td>
</tr>
<tr>
<td>Review the manager’s responsible investment reporting, for example PRI-generated responsible investment reports</td>
<td>□</td>
</tr>
<tr>
<td>Encourage your managers to consider joining responsible investment initiatives/organisations or participate in collaborative projects with other investors</td>
<td>☒</td>
</tr>
<tr>
<td>Include responsible investment criteria as a formal component of overall manager performance evaluation</td>
<td>□</td>
</tr>
<tr>
<td>Request information on whether your manager’s approach to ESG issues has impacted financial performance</td>
<td>□</td>
</tr>
<tr>
<td>Request information on whether your manager’s approach to ESG issues has impacted risk or volatility</td>
<td>□</td>
</tr>
<tr>
<td>Request information on whether your manager’s approach to ESG issues has impacted ESG performance</td>
<td>□</td>
</tr>
<tr>
<td>Other general aspects of your monitoring, specify</td>
<td>□</td>
</tr>
<tr>
<td>None of the above</td>
<td>□</td>
</tr>
</tbody>
</table>

**ESG incorporation**

| LE | 
|---|---|
| Request information on ESG incorporation in specific investment decisions | ☒ |
| Other ways you monitor ESG incorporation, specify | □ |
| None of the above | □ |

**Proxy voting**

None of the above
<table>
<thead>
<tr>
<th>LE</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Review the number or percentage of votes cast</td>
<td>□</td>
</tr>
<tr>
<td>Request an explanation of reasons for votes cast</td>
<td>□</td>
</tr>
<tr>
<td>Discuss whether companies were informed of the reasons for votes against management recommendations or abstentions/withheld votes</td>
<td>□</td>
</tr>
<tr>
<td>Review the number of resolutions on ESG issues filed or co-filed</td>
<td>□</td>
</tr>
<tr>
<td>Discuss the changes in company practice (outcomes) that have been achieved from voting activities</td>
<td>□</td>
</tr>
<tr>
<td>Other ways you monitor (proxy) voting activities, specify</td>
<td>□</td>
</tr>
<tr>
<td>None of the above</td>
<td>☒</td>
</tr>
</tbody>
</table>

**Communication**

<table>
<thead>
<tr>
<th>SAM 16</th>
<th>Mandatory</th>
<th>Core Assessed</th>
<th>PRI 6</th>
</tr>
</thead>
<tbody>
<tr>
<td>SAM 16.1</td>
<td>Indicate if your organisation proactively discloses any information about responsible investment considerations in your indirect investments.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Yes, we disclose information publicly</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Yes, we disclose information to clients/beneficiaries only</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ We do not proactively disclose information to the public and/or clients/beneficiaries</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>