

LEVELS	SRI approach	International Standards and frameworks	Exclusion countries	Other Criteria and Exclusions possible	Communication and Policies	Management	Supervision
Mandatory	ESG Screening (90%-100% of stocks and AuM)	Transparency Code	Freedom House ranking	Controversial weapons and components	Public portfolio inventory on yearly basis (TC6.4)	Appropriate Internal or External resources (TC 5.1)	Third party verification
Mandatory	Basic exclusions (worst offenders of the UNGC; Weapons, Tobacco, Coal, Unconventional oil & gas)	UNGC 10 principles and ILO Standards	UN Convention on Biological Diversity non ratification	Nuclear power and components	Publish information?	Impact monitoring of strategy (TC 5.1,6.1)	
Optional	Other SRI strategies (1 or more: BiC, Impact, ST+NB)	OECD guidelines for MNCs	Other climate protection non ratification	Coal power and components	Controversies management policy (see TC3.6)		
Mandatory/ Optional	Engagement mandatory (+ reporting)	Ruggie Framework	Lower 40% TI Corruption Perception Index	Oil sands exploitation	Mandatory ESG management report (inclusive of ESG performance indicators) (see TC3.5;4.1)		
		UNSDGs	Violation of non-proliferation treaty	Hydraulic Fracking technologies	Public voting policy (TC 6.4)		
		Paris Climate Agreement		Labour rights violations	Disclosure of investment policy (see TC3.1;3.3;3.5)		

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				Tax evasions	Transparency on derivatives (TC4.7)		
				Diversity directive violations			