

| Elements | Guidance | Assessment | | | | | Comments | |
|---|--|------------|----|---------|-------------|------------|-----------|-------|
| | | Yes | No | Partial | In Progress | Don't Know | Relevant? | Notes |
| 1. Vision and Strategy <i>Best practices: commitment to CSR is evident, widely demonstrated and incorporated into the firm's vision and strategy.</i> | 1.1 Have board and management agreed on and communicated an explicit commitment to CSR? | - | - | - | - | - | - | - |
| | 1.2 Do board and management share a common definition of CSR as it relates to their company, their sector and broader societal trends? | - | - | - | - | - | - | - |
| | 1.3 Has the board developed a common understanding of the company's business case for CSR? | - | - | - | - | - | - | - |
| | 1.4 Have board and management developed a CSR vision for the company? | - | - | - | - | - | - | - |
| | 1.5 Is CSR incorporated into the company's mission, vision and values? | - | - | - | - | - | - | - |
| | 1.6 Does the company Code of Conduct / Ethics incorporate CSR? | - | - | - | - | - | - | - |
| | 1.7 Is the board aware of CSR issues specific to the industry? | - | - | - | - | - | - | - |
| | 1.8 Are material CSR issues considered in the development of the company's business strategy? | - | - | - | - | - | - | - |
| | 1.9 Are CSR goals incorporated into the company's business plan / strategy? | - | - | - | - | - | - | - |
| 2. Oversight and Accountability <i>Best practices: Leadership / management have accountability for CSR.</i> | 2.1 Is there a committee(s) with responsibility for CSR (e.g. CSR, Audit or Governance Committee)? | - | - | - | - | - | - | - |
| | 2.2 Is there a designated CSR officer with a reporting relationship to the board? | - | - | - | - | - | - | - |
| | 2.3 Does the company have a board-approved CSR policy (either stand-alone policy or incorporated into other policies)? | - | - | - | - | - | - | - |
| | 2.4 Does the board regularly review progress on the company's performance against CSR goals, objectives and targets? | - | - | - | - | - | - | - |

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| | 2.5 Is management's compensation linked to performance on CSR goals and targets? | | | | | | | |
| | 2.6 Is CSR included as a factor in CEO recruitment? | | | | | | | |
| 3. Risk Identification and Management <i>Best practices: CSR risks integrated into management of enterprise risk.</i> | 3.1 Does the company's enterprise risk management program consider material CSR risks? | - | - | - | - | - | - | - |
| | 3.2 Are CSR impacts, issues and opportunities considered when approving major decisions, including mergers and divestitures? | - | - | - | - | - | - | - |
| | 3.3 Does the board have a means to identify the CSR impacts of its decisions? | - | - | - | - | - | - | - |
| | 3.4 Does the board review its own practices to reduce the social and environmental impacts of board meetings? | - | - | - | - | - | - | - |
| | 3.5 Does the board receive unfiltered information on stakeholder issues and concerns related to CSR to inform risk management? | - | - | - | - | - | - | - |
| | 3.6 Are measures in place for the board to assess the extent to which the company's CSR commitments are adhered to across the company, and within its supply chain? | - | - | - | - | - | - | - |
| | 3.7 Does the internal audit process include cross-company compliance with CSR commitments? | - | - | - | - | - | - | - |
| 4. Board Composition and Expertise <i>Best practices: leadership / management are equipped to provide oversight on material CSR issues.</i> | 4.1 Does board composition reflect the cultural and gender diversity of the marketplace? | - | - | - | - | - | - | - |
| | 4.2 Does the Nominating Committee include CSR skills, knowledge and experience as a factor in director recruitment? | - | - | - | - | - | - | - |
| | 4.3 Does the Nominating Committee consider the alignment of company and individual CSR values in director recruitment? | - | - | - | - | - | - | - |
| | 4.4 Does the new director orientation process include a review of the company's CSR commitments and goals? | - | - | - | - | - | - | - |
| | 4.5 Is CSR education provided to directors as part of their ongoing development? | - | - | - | - | - | - | - |
| | 4.6 Is CSR competency included in the board evaluation process? | - | - | - | - | - | - | - |
| 5. External Disclosure <i>Best practices: regular disclosure of information about the company's CSR performance.</i> | 5.1 Does the board provide input into management's assessment of material CSR issues to include in the company's external reporting? | - | - | - | - | - | - | - |
| | 5.2 Does the board review and approve external reporting of CSR issues in compliance with mandatory disclosure requirements (i.e. MD&A, securities reporting, government filings)? | - | - | - | - | - | - | - |
| | 5.3 Does the board approve the CSR report as a record of the company's CSR performance for disclosure to stakeholders? | - | - | - | - | - | - | - |
| | 5.4 Does the CSR report to stakeholders include a message from the Chair? | - | - | - | - | - | - | - |

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