

# PERIODIC TABLE of GLOBAL FIDUCIARY PRACTICES

for INVESTMENT STEWARDS

**PRACTICE**

**1.1**

The Investment Steward demonstrates an awareness of fiduciary duties and responsibilities.

**PRACTICE**

**1.2**

Investments and investment services under the oversight of the Investment Steward are consistent with applicable governing documents.

**PRACTICE**

**1.3**

The roles and responsibilities of all involved parties (fiduciaries and non-fiduciaries) are defined and documented.

**PRACTICE**

**1.4**

The Investment Steward identifies conflicts of interest and addresses conflicts in a manner consistent with the duty of loyalty.

**PRACTICE**

**1.5**

The Investment Steward requires agreements with service providers to be in writing and consistent with fiduciary standards of care.

**PRACTICE**

**1.6**

Portfolio assets are protected from theft and embezzlement.

**PRACTICE**

**4.1**

Periodic reports are used to compare investment performance against appropriate index, peer group, and investment policy statement objectives.

**PRACTICE**

**4.2**

Periodic reviews are made of qualitative and/or organizational changes of Investment Advisors, Investment Managers, and other service providers.

**PRACTICE**

**4.4**

Periodic reviews are conducted to ensure that investment-related fees, compensation, and expenses are fair and reasonable for the services provided.

**PRACTICE**

**4.3**

Control procedures are in place to periodically review policies for trading practices and proxy voting.

**PRACTICE**

**4.5**

There is a process to periodically review the Steward's effectiveness in meeting its fiduciary responsibilities.

**PRACTICE**

**2.1**

An investment time horizon has been identified for each investment portfolio.

**PRACTICE**

**2.3**

An expected return to meet each investment objective for the portfolio has been identified.

**PRACTICE**

**2.5**

Selected asset classes are consistent with implementation and monitoring constraints.

**PRACTICE**

**2.2**

An appropriate risk level has been identified for the portfolio.

**PRACTICE**

**2.4**

Selected asset classes are consistent with the portfolio's time horizon and risk and return objectives.

**PRACTICE**

**2.6**

The investment policy statement contains sufficient detail to define, implement, and monitor the portfolio's investment strategy.

**PRACTICE**

**2.7**

When socially responsible investment strategies are elected, the strategies are structured appropriately.

**PRACTICE**

**3.1**

A reasonable due diligence process is followed to select each service provider in a manner consistent with obligations of care.

**PRACTICE**

**3.3**

Decisions regarding investment strategies and types of investments are documented and made in accordance with fiduciary obligations of care.

