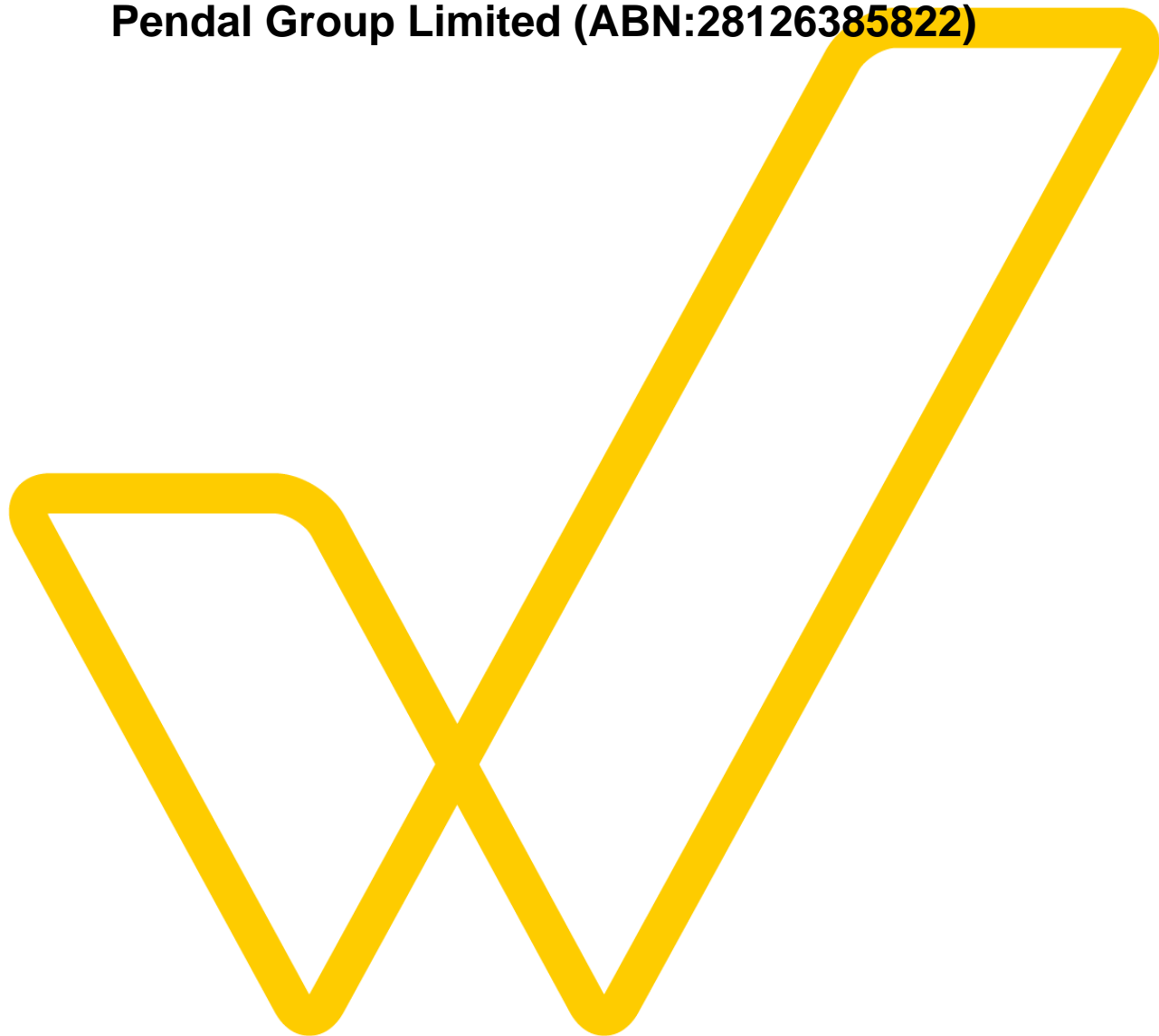


2020 - 21 Compliance Program

Submitted by:

Pendal Group Limited (ABN:28126385822)



Workplace Profile Table

Industry: Auxiliary Finance and Insurance Services

Occupational category*	Employment status	No. of employees		Number of apprentices and graduates (combined)		Total employees**
		F	M	F	M	
Managers	Full-time permanent	12	34	0	0	46
	Part-time permanent	3	2	0	0	5
	Part-time contract	0	1	0	0	1
Professionals	Full-time permanent	36	66	0	0	102
	Full-time contract	4	14	0	0	18
	Part-time permanent	8	3	0	0	11
Clerical And Administrative Workers	Full-time permanent	4	1	0	0	5
	Part-time permanent	1	0	0	0	1

* Categorized using ANZSCO major group codes (this means Professionals who are also Managers are categorised as Professionals)

** Total employees includes Gender X

Workplace Profile Table

Industry: Auxiliary Finance and Insurance Services

Manager category	Level to CEO	Employment status	No. of employees		
			F	M	Total*
CEO	0	Full-time permanent	0	1	1
KMP/HOB	-1	Full-time permanent	0	2	2
HOB	-2	Full-time permanent	0	2	2
GM	-1	Full-time permanent	1	0	1
	-2	Full-time permanent	4	7	11
		Part-time permanent	0	1	1
	-3	Full-time permanent	0	1	1
SM	-2	Full-time permanent	0	1	1
	-3	Full-time permanent	1	4	5
	-4	Full-time permanent	1	0	1
OM	-2	Full-time permanent	1	1	2
	-3	Full-time permanent	4	8	12
		Part-time permanent	2	0	2
		Part-time contract	0	1	1
	-4	Full-time permanent	0	7	7
		Part-time permanent	1	1	2

* Total employees includes Gender X

#Workplace overview

Policies and strategies

1: Do you have a formal policy and/or formal strategy in place that specifically supports gender equality in the following areas?

...Recruitment	Yes(<i>Select all that apply</i>)
...Yes	Policy
...Retention	Yes(<i>Select all that apply</i>)
...Yes	Strategy
...Performance management processes	Yes(<i>Select all that apply</i>)
...Yes	Policy
...Promotions	Yes(<i>Select all that apply</i>)
...Yes	Policy
...Talent identification/identification of high potentials	Yes(<i>Select all that apply</i>)
...Yes	Strategy
...Succession planning	Yes(<i>Select all that apply</i>)
...Yes	Strategy
...Training and development	Yes(<i>Select all that apply</i>)
...Yes	Policy Strategy
...Key performance indicators for managers relating to gender equality	No(<i>Select all that apply</i>)
...No	Other (please specify)
...Other (please specify)	This is currently under development.

2: Do you have formal policy and/or formal strategy in place that support gender equality overall?

Yes(Select all that apply)	
...Yes	Strategy

3: If your organisation would like to provide additional information relating to your gender equality policies and strategies, please do so below.

..

Governing bodies

Pendal Group Limited

1: Does this organisation have a governing body?	Yes(<i>Provide further details on the governing body(ies) and its composition</i>)

1.1: What is the name of your governing body?	Pendal Group Limited Board
1.2: What type of governing body does this organisation have?	Board of directors
1.3: How many members are on the governing body and who holds the predominant Chair position?	
...Chairs	
...Female (F)	0
...Male (M)	1
...Gender X	0
...Members	
...Female (F)	3
...Male (M)	3
...Gender X	0
1.4: Do you have a formal selection policy and/or formal selection strategy for this organisation's governing body members?	Yes(<i>Select all that apply</i>)
	Policy Strategy
1.5: Has a target been set to increase the representation of women on this governing body?	No(<i>Select all that apply</i>)
	Governing body has gender balance (i.e. 40% women / 40% men / 20% either)

2: If your organisation would like to provide additional information relating to governing bodies and gender equality in your workplace, do so below.

Our target is to have a minimum of 40% female representation on the Pendal Group board by FY2023. Currently, we are exceeding this with 43% female representation. As such, we do not have a target expressing the need to increase female representation on the Pendal Group board.

#Action on gender equality

Gender pay gaps

1: Do you have a formal policy and/or formal strategy on remuneration generally?

Yes(*Select all that apply*)

...Yes

Strategy

1.1: Are specific pay equity objectives included in your formal policy and/or formal strategy?

Yes(*Select all that apply*)

...Yes

To achieve gender pay equity
To implement and/or maintain a transparent and rigorous performance assessment process

2: Did your organisation receive JobKeeper payments?

No

3: What was the snapshot date used for your Workplace Profile?

31-Dec-2020

4: If your organisation would like to provide additional information relating to gender pay gaps in your workplace, please do so below.

We are currently working on a formal strategy on remuneration which will be completed by 31 December 2021.

Employer action on pay equity

1: Have you analysed your payroll to determine if there are any remuneration gaps between women and men (e.g. conducted a gender pay gap analysis)?

Yes(*Provide further details on the most recent gender remuneration gap analysis that was undertaken.*)

1.1: When was the most recent gender remuneration gap analysis undertaken?

Within the last 12 months

1.2: Did you take any actions as a result of your gender remuneration gap analysis?

No(*Select all that apply*)

...No

No unexplained or unjustifiable gaps identified

1.3: You may provide details below on the type of gender remuneration gap analysis that has been undertaken (for example like-for-like and/or organisation-wide)

Pendal undertakes a gender remuneration gap analysis each year as part of the annual remuneration review process, using like for like role analysis across the organisation.

2: If your organisation would like to provide additional information relating to employer action on pay equity in your workplace, please do so below.

Employee consultation

1: Have you consulted with employees on issues concerning gender equality in your workplace?
Yes(*Provide further details on the employee consultation process.*)

1.1: How did you consult employees?

Survey
Focus groups
Consultative committee or group

1.2: Who did you consult?

ALL staff

2: If your organisation would like to provide additional information relating to employee consultation on gender equality in your workplace, please do so below.

#Employee work/life balance

Flexible working

1: Do you have a formal policy and/or formal strategy on flexible working arrangements?

Yes(*Select all that apply*)

...Yes	Policy
...A business case for flexibility has been established and endorsed at the leadership level	Yes
...Leaders are visible role models of flexible working	Yes
...Flexible working is promoted throughout the organisation	Yes
...Targets have been set for engagement in flexible work	No(<i>Select all that apply</i>)
...No	Not a priority
...Targets have been set for men's engagement in flexible work	No(<i>Select all that apply</i>)
...No	Not a priority
...Leaders are held accountable for improving workplace flexibility	No(<i>Select all that apply</i>)
...No	Not a priority
...Manager training on flexible working is provided throughout the organisation	No(<i>Select all that apply</i>)
...No	Currently under development(<i>Select the estimated completion date.</i>)
...Currently under development	31-Dec-2021
...Employee training is provided throughout the organisation	No(<i>Select all that apply</i>)
...No	Not aware of the need
...Team-based training is provided throughout the organisation	No(<i>Select all that apply</i>)
...No	Not aware of the need
...Employees are surveyed on whether they have sufficient flexibility	Yes
...The organisation's approach to flexibility is integrated into client conversations	No(<i>Select all that apply</i>)
...No	Not aware of the need

...The impact of flexibility is evaluated (e.g. reduced absenteeism, increased employee engagement)	Yes
...Metrics on the use of, and/or the impact of, flexibility measures are reported to key management personnel	Yes
...Metrics on the use of, and/or the impact of, flexibility measures are reported to the governing body	No(<i>Select all that apply</i>)
...No	Not aware of the need
...Other (provide details)	No

2: Do you offer any of the following flexible working options to MANAGERS in your workplace?

...Flexible hours of work	Yes(<i>Select one option only</i>)
...Yes	SAME options for women and men(<i>Select all that apply</i>)
...SAME options for women and men	Formal options are available Informal options are available
...Compressed working weeks	Yes(<i>Select one option only</i>)
...Yes	SAME options for women and men(<i>Select all that apply</i>)
...SAME options for women and men	Formal options are available Informal options are available
...Time-in-lieu	Yes(<i>Select one option only</i>)
...Yes	SAME options for women and men(<i>Select all that apply</i>)
...SAME options for women and men	Formal options are available Informal options are available
...Telecommuting (e.g. working from home)	Yes(<i>Select one option only</i>)
...Yes	SAME options for women and men(<i>Select all that apply</i>)
...SAME options for women and men	Formal options are available Informal options are available
...Part-time work	Yes(<i>Select one option only</i>)
...Yes	SAME options for women and men(<i>Select all that apply</i>)
...SAME options for women and men	Formal options are available
...Job sharing	Yes(<i>Select one option only</i>)
...Yes	SAME options for women and men(<i>Select all that apply</i>)
...SAME options for women and men	Formal options are available
...Carer's leave	Yes(<i>Select one option only</i>)
...Yes	SAME options for women and men(<i>Select all that apply</i>)

...SAME options for women and men	Formal options are available
...Purchased leave	Yes(<i>Select one option only</i>)
...Yes	SAME options for women and men(<i>Select all that apply</i>)
...SAME options for women and men	Formal options are available
...Unpaid leave	Yes(<i>Select one option only</i>)
...Yes	SAME options for women and men(<i>Select all that apply</i>)
...SAME options for women and men	Formal options are available

3: Are your flexible working arrangement options for NON-MANAGERS the same as the options for managers above?

Yes

4: Were managers in your organisation allowed to make INFORMAL flexible working arrangements with their team members in response to the COVID-19 pandemic?

Yes, ALL managers

5: Did you see an increase, overall, in the approval of FORMAL flexible working arrangements for your workforce compared to pre-COVID-19?

Yes, for both women and men

6: If your organisation would like to provide additional information relating to flexible working and gender equality in your workplace, please do so below.

#Employee support

Paid parental leave

1: Do you provide employer funded paid parental leave regardless of carer's status (i.e. primary/secondary) in addition to any government funded parental leave scheme?

Yes, we offer employer funded parental leave (without using the primary/secondary carer definition)

1.1: Please indicate whether your employer-funded paid parental leave is available to:	All, regardless of gender
1.2: Please indicate whether your employer-funded paid parental leave covers:	Birth Adoption Surrogacy Stillbirth
1.3: How do you pay employer funded paid parental leave?	Paying the employee's full salary
1.4: Do you pay superannuation contribution to your carers while they are on parental leave?	Yes, on employer funded parental leave
1.5: How many weeks (minimum) of employer funded paid parental leave is provided?	13
1.6: What proportion of your total workforce has access to employer funded paid parental leave, including casuals?	91-100%

2: If your organisation would like to provide additional information relating to paid parental leave and gender equality in your workplace, please do so below.

13 weeks primary carer's leave and 2 weeks secondary carer's leave.

Support for carers

1: Do you have a formal policy and/or formal strategy to support employees with family or caring responsibilities?

Yes(*Select all that apply*)

...Yes	Policy
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2: Do you offer any of the following support mechanisms for employees with family or caring responsibilities?

...Employer subsidised childcare	No(<i>You may specify why the above support mechanism is not available to your employees.</i>)
...No	Other (provide details)

...Other (provide details)	Small business, insufficient volume.
...On-site childcare	No(<i>You may specify why the above support mechanism is not available to your employees.</i>)
...No	Other (provide details)
...Other (provide details)	On site space constraints
...Breastfeeding facilities	No(<i>You may specify why the above support mechanism is not available to your employees.</i>)
...No	Other (provide details)
...Other (provide details)	On site space constraints
...Childcare referral services	No(<i>You may specify why the above support mechanism is not available to your employees.</i>)
...No	Other (provide details)
...Other (provide details)	Small business, insufficient volume
...Internal support networks for parents	No(<i>You may specify why the above support mechanism is not available to your employees.</i>)
...No	Other (provide details)
...Other (provide details)	Small business, insufficient volume
...Return to work bonus (only select if this bonus is not the balance of paid parental leave)	No(<i>You may specify why the above support mechanism is not available to your employees.</i>)
...No	Not a priority
...Information packs for new parents and/or those with elder care responsibilities	No(<i>You may specify why the above support mechanism is not available to your employees.</i>)
...No	Insufficient resources/expertise
...Referral services to support employees with family and/or caring responsibilities	No(<i>You may specify why the above support mechanism is not available to your employees.</i>)
...No	Insufficient resources/expertise
...Targeted communication mechanisms (e.g. intranet/forums)	No(<i>You may specify why the above support mechanism is not available to your employees.</i>)
...No	Insufficient resources/expertise
...Support in securing school holiday care	No(<i>You may specify why the above support mechanism is not available to your employees.</i>)
...No	Insufficient resources/expertise
...Coaching for employees on returning to work from parental leave	No(<i>You may specify why the above support mechanism is not available to your employees.</i>)
...No	Other (provide details)
...Other (provide details)	Small business, insufficient volume
...Parenting workshops targeting mothers	No(<i>You may specify why the above support mechanism is not available to your employees.</i>)
...No	Other (provide details)
...Other (provide details)	Small business, insufficient volume
	No(<i>You may specify why the above support</i>

...Parenting workshops targeting fathers	<i>mechanism is not available to your employees.)</i>
...No	Other (provide details)
...Other (provide details)	Small business, insufficient volume
...Other (provide details)	No

3: If your organisation would like to provide additional information relating to support for carers in your workplace, please do so below.

Sex-based harassment and discrimination

1: Do you have a formal policy and/or formal strategy on sex-based harassment and discrimination prevention?

Yes(*Select all that apply*)

...Yes	Policy
1.1: Do you provide a grievance process in any sex-based harassment and discrimination prevention formal policy and/or formal strategy?	Yes

2: Do you provide training on sex-based harassment and discrimination prevention to the following groups?

...All managers	Yes(<i>Please indicate how often is this training provided (select all that apply):</i>)
...Yes	At induction At least annually
...All employees	Yes(<i>Please indicate how often is this training provided (select all that apply):</i>)
...Yes	At induction At least annually

3: If your organisation would like to provide additional information relating to sex-based harassment and discrimination, please do so below.

Family or domestic violence

1: Do you have a formal policy and/or formal strategy to support employees who are experiencing family or domestic violence?

Yes(*Select all that apply*)

...Yes	Policy
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2: Other than a formal policy and/or formal strategy, do you have the following support mechanisms in place to support employees who are experiencing family or domestic violence?

...Employee assistance program (including access to psychologist, chaplain or counsellor)	Yes
...Training of key personnel	No(<i>Select all that apply</i>)
...No	Insufficient resources/expertise Not aware of the need

...A domestic violence clause is in an enterprise agreement or workplace agreement	No(<i>Select all that apply</i>)
...No	Other (provide details) Not a priority
...Other (provide details)	Not applicable
...Workplace safety planning	Yes
...Access to paid domestic violence leave (contained in an enterprise/workplace agreement)	No(<i>Select all that apply</i>)
...No	Other (provide details)
...Other (provide details)	Contained in Policy, no applicable agreements.
...Access to unpaid domestic violence leave (contained in an enterprise/workplace agreement)	No(<i>Select all that apply</i>)
...No	Other (provide details)
...Other (provide details)	Contained in Policy, no applicable agreements.
...Access to paid domestic violence leave (not contained in an enterprise/workplace agreement)	Yes
...Access to unpaid leave	Yes
...Confidentiality of matters disclosed	Yes
...Referral of employees to appropriate domestic violence support services for expert advice	Yes
...Protection from any adverse action or discrimination based on the disclosure of domestic violence	Yes
...Flexible working arrangements	Yes
...Provision of financial support (e.g. advance bonus payment or advanced pay)	Yes
...Offer change of office location	No(<i>Select all that apply</i>)
...No	Other (provide details)
...Other (provide details)	Only two offices, one in Sydney and one in Melbourne.
...Emergency accommodation assistance	No(<i>Select all that apply</i>)
...No	Other (provide details)
...Other (provide details)	Would be managed on a case by case basis.
...Access to medical services (e.g. doctor or nurse)	No(<i>Select all that apply</i>)
...No	Other (provide details)
...Other (provide details)	Would be managed on a case by case basis.
...Other (provide details)	No(<i>Select all that apply</i>)

3: If your organisation would like to provide additional information relating to family and domestic violence affecting your workplace, please do so below.

Workforce Management Statistics Table

Industry: Auxiliary Finance and Insurance Services

Question	Contract Ty..	Employment..	Manager Category	Female	Male	Total*
1. How many employees were promoted?	Full-time	Permanent	CEO, KMPs, and HOBs	0	1	1
			Managers	0	0	0
			Non-managers	0	0	0
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
	Part-time	Permanent	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
	N/A	Casual	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
2. How many employees (including partners with an employment contract) were internally appointed?	Full-time	Permanent	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	1	1	2
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
	Part-time	Permanent	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
	N/A	Casual	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
3. How many employees (including partners with an employment contract) were externally appointed?	Full-time	Permanent	CEO, KMPs, and HOBs	0	0	0
			Managers	2	1	3
			Non-managers	6	9	15
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	1	1
			Non-managers	3	10	13
	Part-time	Permanent	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	1	0	1
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	1	1
			Non-managers	0	1	1
	N/A	Casual	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0

* Total employees includes Gender X

Workforce Management Statistics Table

Industry: Auxiliary Finance and Insurance Services

Question	Contract Ty..	Employment..	Manager Category	Female	Male	Total*
4. How many employees (including partners with an employment contract) voluntarily resigned?	Full-time	Permanent	CEO, KMPs, and HOBs	0	0	0
			Managers	0	1	1
			Non-managers	3	7	10
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	1	1
	Part-time	Permanent	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
	N/A	Casual	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
5. How many employees have taken primary carer's parental leave (paid and/or unpaid)?	Full-time	Permanent	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	2	1	3
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
	Part-time	Permanent	CEO, KMPs, and HOBs	0	0	0
			Managers	1	0	1
			Non-managers	1	0	1
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
	N/A	Casual	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
6. How many employees have taken secondary carer's parental leave (paid and/or unpaid)?	Full-time	Permanent	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	4	4
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
	Part-time	Permanent	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
	N/A	Casual	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0

* Total employees includes Gender X

Workforce Management Statistics Table

Industry: Auxiliary Finance and Insurance Services

Question	Contract Ty..	Employment..	Manager Category	Female	Male	Total*
7. How many employees ceased employment before returning to work from parental leave, regardless of when the leave commenced?	Full-time	Permanent	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
	Part-time	Permanent	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0
		Fixed-Term Contract	CEO, KMPs, and HOBs	0	0	0
			Managers	0	0	0
			Non-managers	0	0	0

* Total employees includes Gender X