



2016 **GRESB Infrastructure Fund Assessment**

April 1, 2016

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Entity & Reporting Characteristics

ER1 Entity legal name

Common name _____

Legal name _____

Fund manager _____

ER2 Business location

☐ Fund Registered Office:

Street address: _____

City: _____

Postcode: _____

Country: _____

☐ Fund Manager Office¹:

Street address: _____

City: _____

Postcode: _____

Country: _____

ER3 Reporting period

☐ Calendar year

☐ Fiscal year

Specify the starting month _____

¹ The office principally responsible for the management of this entity.

ER4 Reporting currency

Values are reported in:

- | | |
|--|--|
| ☐ Euro (EUR) | ☐ Japanese Yen (JPY) |
| ☐ Pound Sterling (GBP) | ☐ Malaysian Ringgit (MYR) |
| ☐ United States Dollar (USD) | ☐ Mexican Peso (MXN) |
| ☐ Australian Dollar (AUD) | ☐ Singapore Dollar (SGD) |
| ☐ Brazilian Real (BRL) | ☐ South African Rand (ZAR) |
| ☐ Canadian Dollar (CAD) | ☐ South Korean Won (KRW) |
| ☐ Chinese Yuan (CNY) | ☐ Swedish Krona (SEK) |
| ☐ Danish Krone (DKK) | ☐ Swiss Franc (CHF) |
| ☐ Hong Kong Dollar (HKD) | ☐ Other _____ |
| ☐ Indian Rupee (INR) | |

ER5 Nature of the fund entity

The fund is a:

- ☐ Listed Fund
 - ☐ ISIN: _____
 - ☐ Other identifier: _____
- ☐ Private Fund
 - ☐ Open end fund
 - ☐ Closed end fund
 - ☐ Other: _____

ER6 Sectoral Focus

- ☐ Diversified
- ☐ Sector specific
 - ☐ Energy, conventional
 - ☐ Energy, renewable
 - ☐ Telecommunications
 - ☐ Water Resources
 - ☐ Waste
 - ☐ Transportation
 - ☐ Social
 - ☐ Other: _____

ER7**Geographic Focus**

Select all that apply:

- ☐ North America
- ☐ Europe
- ☐ Australia
- ☐ Asia
- ☐ Central America (including Mexico)
- ☐ South America
- ☐ Middle East
- ☐ Africa
- ☐ Other: _____

ER8**Capital commitment and asset value**

Primary measure(s) of the economic size of the entity:

- ☐ Committed capital: _____ Currency ▼
- ☐ Invested capital: _____ Currency ▼
- ☐ Net asset value: _____ Currency ▼
- ☐ Other: _____ Currency ▼

Fund Management & Investment Process

FUND1 Does the organization have an ESG policy or policies that apply to this entity?

☐ Yes

Policies (select all that apply):

- ☐ Environmental issues
- ☐ Social issues
- ☐ Governance issues

Can the entity provide evidence as an UPLOAD or URL?

☐ Yes

UPLOAD supporting evidence OR provide URL: _____

Reference: _____

☐ No

☐ No

Provide additional context for the answer provided (maximum 250 words)

FUND2 Has the organization made a commitment to ESG leadership standards or groups that applies to investments in this entity?

☐ Yes

Formal commitments include (select all that apply):

- ☐ UN Global Compact
- ☐ PRI
- ☐ Equator Principles
- ☐ Internal Labour Organization (ILO) Standards
- ☐ Other: _____

Can the entity provide evidence as an UPLOAD or URL?

☐ Yes

UPLOAD supporting evidence OR provide URL: _____

Reference: _____

☐ No

☐ No

Provide additional context for the answer provided (maximum 250 words)

FUND3 Does the entity have an individual with responsibility for ESG issues?

☐ Yes

- ☐ Name: _____
- ☐ Job title: _____
- ☐ E-mail: _____
- ☐ LinkedIn profile (optional): _____

The individual is part of

- ☐ Board of Directors
- ☐ Senior management team
- ☐ Investment committee
- ☐ Investment team
- ☐ Asset management
- ☐ Other: _____

☐ No

Provide additional context for the answer provided (maximum 250 words)

FUND4 Does the organization formally include ESG risks and/or opportunities in its investment processes?

☐ Yes

Elements of the investment process including ESG factors:

- ☐ Sourcing
- ☐ Screening
- ☐ Due diligence
- ☐ Investment proposal
- ☐ Approval
- ☐ Asset management
- ☐ Other: _____

Can the entity provide evidence as an UPLOAD or URL?

☐ Yes

UPLOAD supporting evidence OR provide URL: _____

Reference: _____

☐ No

☐ No

Provide additional context for the answer provided (maximum 250 words)

FUND5 Does the organization collect information about the ESG management and performance for the assets in this entity?

☐ Yes²

- ☐ Periodically ask investments about ESG management and policy
- ☐ Periodically ask investments about operational performance, including:
 - ☐ Environmental performance indicators
 - ☐ Social performance indicators
 - ☐ Governance performance indicators
 - ☐ Other: _____

Can the entity provide evidence as an UPLOAD or URL?

☐ Yes

UPLOAD supporting evidence OR provide URL: _____

Reference: _____

☐ No

☐ No

Provide additional context for the answer provided (maximum 250 words)

FUND6 Does the organization analyze ESG data from this entity?

☐ Yes

- ☐ Analyze trends over time
- ☐ Compare performance to peers or benchmarks
- ☐ Track performance against targets
- ☐ Other: _____

Can the entity provide evidence as an UPLOAD or URL?

☐ Yes

UPLOAD supporting evidence OR provide URL: _____

Reference: _____

☐ No

☐ No

Provide additional context for the answer provided (maximum 250 words)

² Aligned with UNEP Finance Initiative

FUND7 Does the organization engage with its investments to improve the ESG performance of this entity?

☐ Yes

- ☐ Integrate ESG-related issues into business plans
- ☐ Discuss ESG-related issues during Board meetings
- ☐ Incorporate ESG-related factored in the investment review process
- ☐ Other actions: _____

Can the entity provide evidence as an UPLOAD or URL?

☐ Yes

UPLOAD supporting evidence OR provide URL: _____

Reference: _____

☐ No

☐ No

Provide additional context for the answer provided (maximum 250 words)

FUND8 Does the organization communicate about the ESG performance of this entity?

☐ Yes

Select all of the following applicable to the entity:

- ☐ Section in Annual Report, indicate applicable reporting level
 - ☐ Organization
 - ☐ Investment manager or business unit
 - ☐ Fund
 - ☐ Aligned with third-party standard: (Guideline name)
- ☐ Stand-alone sustainability report, indicate applicable reporting level
 - ☐ Organization
 - ☐ Investment manager or business unit
 - ☐ Fund
 - ☐ Aligned with third-party standard: (Guideline name)
- ☐ Integrated report, indicate applicable reporting level
 - ☐ Organization
 - ☐ Investment manager or business unit
 - ☐ Fund
 - ☐ Aligned with third-party standard: (Guideline name)

- ☐ Section on organizational website, indicate applicable reporting level
 - ☐ Organization
 - ☐ Investment manager or business unit
 - ☐ Fund
 - ☐ Aligned with third-party standard: (Guideline name)
- ☐ Other, indicate applicable reporting level
 - ☐ Organization
 - ☐ Investment manager or business unit
 - ☐ Fund
 - ☐ Aligned with third-party standard: (Guideline name)
 - ☐ Reporting interval

Can the entity provide evidence as an UPLOAD or URL?

☐ Yes

UPLOAD supporting evidence OR provide URL: _____

Reference: _____

☐ No

☐ No

Provide additional context for the answer provided (maximum 250 words)

FUND9 Does a third party review the organization's ESG disclosures?

☐ Yes

Select all of the following applicable to the entity:

☐ Section in Annual Report

☐ Externally checked by: _____

☐ Externally verified by: _____

☐ Externally assured by: _____

☐ Stand-alone sustainability report

☐ Externally checked by: _____

☐ Externally verified by: _____

☐ Externally assured by: _____

☐ Integrated report

☐ Externally checked by: _____

☐ Externally verified by: _____

☐ Externally assured by: _____

☐ Entity reporting to investors

☐ Externally checked by: _____

☐ Externally verified by: _____

☐ Externally assured by: _____

☐ Section on organizational website, indicate applicable reporting level

☐ Externally checked by: _____

☐ Externally verified by: _____

☐ Externally assured by: _____

☐ Other

☐ Externally checked by: _____

☐ Externally verified by: _____

☐ Externally assured by: _____

Can the entity provide evidence as an UPLOAD or URL?

☐ Yes

UPLOAD supporting evidence OR provide URL: _____

Reference: _____

☐ No

☐ No

Provide additional context for the answer provided (maximum 250 words)

FUND10 Does the organization communicate information about ESG-related misconduct or penalties associated with the entity?

☐ Yes

Communication process

- ☐ Entity informs investors about misconduct or penalties
- ☐ Entity informs the public about misconduct or penalties
- ☐ Entity informs other stakeholders about misconduct or penalties
- ☐ No communications

Application of the communication process

- ☐ The entity has used one or more of these communication processes during the reporting period.
- ☐ The entity did not use any of these communication processes during the reporting period.

Can the entity provide evidence as an UPLOAD or URL?

☐ Yes

UPLOAD supporting evidence OR provide URL: _____

Reference: _____

☐ No

☐ No

Provide additional context for the answer provided (maximum 250 words)

Summary of Entity Assets

Please list the entity's holdings:

Asset Name	Asset Sector (1)	Asset Weight (2)	Nature of Investment (3)	Ownership (4) ³	Contact Name (5)	Email (6)
Asset 1						
⊕ Add an asset						

Classify basis for weighting assets:

- ☐ Fraction of asset value
- ☐ Even weights
- ☐ Other: _____

(1) Classification of primary business activity(ies) of the asset (select all that apply)

- ☐ Energy, conventional
- ☐ Energy, renewable
- ☐ Telecommunications
- ☐ Water Resources
- ☐ Waste
- ☐ Transportation
- ☐ Social
- ☐ Other: _____

(2) Asset Weight

Assign weight for each asset: _____%

(3) Classify nature of investment:

- ☐ Equity investment
- ☐ Debt
- ☐ Other: _____

(4) Classify ownership

- ☐ > 0, <25%
- ☐ ≥25, <50%
- ☐ ≥50, <75%
- ☐ ≥75, <100%
- ☐ 100%

³ Percentage ownership

(5) Contact name

List the name of the individual primarily responsible for ESG issues for the asset

(6) Email

Contact email for the individual primarily responsible for ESG issues for the asset.

Provide additional context for the answer provided (maximum 250 words)
