



2016 **GRESB Infrastructure** **Reference Guide**

April 1, 2016

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Introduction

About GRESB

GRESB is an industry-driven organization committed to assessing the environmental, social, and governance (ESG) performance of real assets globally, including real estate portfolios (public, private and direct), real estate debt portfolios, and infrastructure. Almost 200 members, including 60 pension funds and their fiduciaries, use GRESB data in their investment management and engagement process, with a clear goal to optimize the risk/return profile of their investments. For more information, visit www.gresb.com.

This Guide accompanies the 2016 GRESB Infrastructure Assessment (referred to as "the Assessment"). Guidance is included for all Assessment indicators that comprise GRESB Infrastructure's Aspects on asset and fund level. This Guide provides:

- Technical instructions for each indicator;
- Information about changes relative to previous versions of the Assessment;
- Details about validation, scoring, and documentation requirements.

This Guide should provide all the basic information needed to complete the 2016 Assessment. More information is always available from GRESB, please contact info@gresb.com for assistance.

GRESB Infrastructure

GRESB Infrastructure provides systematic assessment, objective scoring, and peer benchmarking for the environmental, social, and governance (ESG) performance of infrastructure assets and funds. GRESB Infrastructure enables institutional investors to request standardized ESG reporting from investments and provides tools to analyze critical aspects of management, policy, implementation, and operational performance. GRESB Infrastructure provides companies and funds with unique comparative business intelligence, including information about relative strengths and weaknesses.

Purpose

GRESB Infrastructure seeks to establish the global standard for ESG reporting and benchmarking for infrastructure investments. GRESB Infrastructure provides:

- A common language for the collection of ESG information from companies and funds around the world.
- A framework for objective scoring of ESG management and performance.
- Practical tools for investment monitoring, due diligence, and comparative analysis.

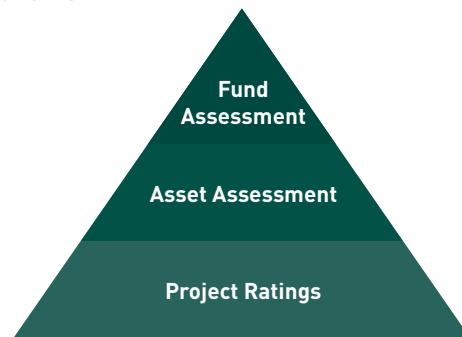
These services are described in this document and supported by data and tools available on www.gresb.com.

Structure

GRESB Infrastructure is one Assessment with two complementary components:

- Fund Assessment
- Asset Assessment

The GRESB Infrastructure Assessment does not rate, score, or certify individual infrastructure projects. The GRESB Infrastructure Assessment recognizes project-focused leadership standards, such as BREEAM, CEEQUAL, ENVISION, SuRe, Infrastructure Sustainability and others, to establish and certify project-level management and performance.



The **Fund Assessment** contains ten indicators focused on management and investment processes. These indicators address foundational ESG plans and policies, leadership and accountability, engagement strategies, communications processes and other factors.

The **Asset Assessment** is organized around eight core Aspects, including Management, Policy & Disclosure, Risks & Opportunities, Implementation, Monitoring & Environmental Management Systems, Stakeholder Engagement, Performance Indicators, and Certifications & Awards. These Aspects include 32 indicators addressing asset-level plans and policies, implementation actions and operational performance. The Asset Assessment provides the information needed to understand efforts to maximize beneficial outputs, such as energy production, mobility, or access to clean water, while minimizing social and environmental impacts.

Energ generation	Water resources	Toll roads
Energy distribution	Waste management	Railroads
Energy storage	Airports	Rolling stock
Flood control	Ports	Social infrastructure

Each of these infrastructure sub-sectors is recognized separately in the GRESB Infrastructure Assessment, defined by specific output measures and identifying characteristics.

Participation

The GRESB Infrastructure Assessment opens in the GRESB Portal on April 1, 2016. The submission deadline is July 1, 2016 (midnight, Pacific Time). This provides participants with a three-month window to complete the Assessment. Entities with questions about the submission deadline should contact GRESB at info@gresb.com.

Results will be published in the fourth quarter of 2016 and distributed to:

- **Participants:** Participants receive a Scorecard free of charge, containing their individual Assessment scores compared to the performance of their peers. On payment of a fee of €2,500 (VAT exclusive) for non-members, participants are also able to obtain a Benchmark Report containing an in-depth analysis of their ESG performance.
- **Members:**
 - Companies, fund managers and operators that are GRESB Members receive Benchmark Reports for all of their Assessment submissions and, in the case of funds, assessments for assets listed as part of submitted funds. GRESB Members have access to the member section of the GRESB Portal, which provides additional analytical tools.
 - Investors: Infrastructure investors may use tools available in the GRESB Portal to request participation and data access for their asset and fund investments. This includes access to the member section of the GRESB Portal, which provides additional analytical tools, including the ability to create and analyze customized portfolios.

Participation scenarios

There are many ways to participate in GRESB Infrastructure. Three common examples include:

- Single asset operators
- Multi asset operators
- Infrastructure fund managers

These scenarios are described below. Note that these scenarios are only illustrative and many other scenarios are possible. Participants with questions about specific circumstances are encouraged to contact info@gresb.com for guidance.

Single Asset Operators

The first participation scenario is a single infrastructure asset operator. This may be a company or similar entity dedicated to the operation of an infrastructure asset. Single assets come in many forms. They may be large and complex, or small and narrowly focused. Examples of entities that should consider using a single asset assessment include:

- A large, centralized water supply system operator
- An airport
- A telecommunications company

In any case, a single asset operator for the purpose of the GRESB Assessment represents a single infrastructure investment vehicle and a clear level to aggregate management and performance information. This entity may have one or multiple infrastructure-related business activities, and the approximate fraction of each activity should be expressed in the Entity & Reporting Characteristics section of the Asset Assessment. Single asset operators do not complete the Fund Assessment.

Multi Asset Operators

In some cases, multiple assets may be operated by a single operating entity, a multi-asset operator. Examples of multi asset operators include:

- An entity that operates several toll roads that lack local ESG management
- An entity that operates a portfolio of small wind farms
- An entity that operates a collection of distributed solar projects

In this scenario, it may be practical for the multi-asset operator to report on the assets individually or in aggregate. A multi-asset operator has the option to report on its operations as a group using a single Asset Assessment. Alternatively, the operator may complete an Asset Assessment on behalf of each asset.

In any case, multi-asset operators only complete one or multiple single Asset Assessments. Multi-asset operators do not complete the Fund Assessment.

Fund Managers

Fund managers represent an important and different participation scenario. Infrastructure fund managers allocate capital into multiple investments on behalf of institutional investors. Common examples of infrastructure funds include:

- A sector-focused fund with investments in toll roads
- A geographic-focused fund with investments in a specific region, such as North America or Australia
- A globally diversified fund offering exposure to many sectors and locations around the world

Fund managers must complete the Fund Assessment to describe their investment management and engagement process. Fund managers have options for how to report on their asset investments:

1. The preferred option is for fund managers to report information about their assets with individual Asset Assessments – one Asset Assessment per asset. These Asset Assessments can be completed by the fund manager, requested from asset operators, or delegated to third parties, such as consultants. In many cases, larger, more capable assets owned by multiple investors will complete the asset assessment themselves and provide access upon request through the GRESB Portal.
2. Alternatively, fund managers can report information about multiple assets in aggregate with one or more Asset Assessment. This situation may be practical when the fund includes many small assets, such as relatively small wind farms or distributed solar operations. Aggregated assets must be in comparable sub-sectors (e.g., transportation, telecommunications). Assets should not be aggregated across non-comparable sub-sectors (e.g., energy generation and ports).

Response Check

A Response Check is a high-level pre-submission review of a participant's Assessment response by the GRESB team. It reduces the risk of errors that could adversely impact Assessment results. The Response Check fee for non-members is €750 (VAT exclusive). Members may request a complimentary Response Check as one of their membership benefits. Fund manager members who submit the Assessment for multiple entities are entitled to a maximum of three Response Checks as part of their membership benefits.

Validation

Information provided by funds or assets is subject to GRESB's multi-level validation process. GRESB's validation process encourages the submission of high quality data and is an important element of GRESB's roadmap to investment-grade data. The ultimate goal is to ensure that ESG data can be used alongside financial information to inform and guide investment decisions.

The validation process starts upon receipt of the first submission and continues through August 2016. The validation process includes:

- Automated data checks for all participants
- Risk-based sampling of evidence for a sub-set of entities
- Site visits for a small fraction of entities

GRESB Infrastructure does not require evidence; however, the elective provision of evidence will contribute positively to the entity's GRESB Score. Evidence is subject to validation. This includes examining the provided URL or upload to determine whether information supports the claimed response. Validators open and inspect evidence and consider any internal reference. Validators use their professional judgment to determine whether the information supports the claimed response. The validator's decision to accept or reject evidence is final.

General Requirements

The following basic requirements apply to all indicators in both the Asset and Fund Assessments:

A basic yes or no response. If “yes” is selected, the participant then has the option to further classify the response by selecting one or more sub-options. The participant is not required to select additional criteria. If “no” is selected, the participant may not select any additional criteria; however, it can provide additional context or explanation in the open text box. Information in the open text box is provided to investors, but it is not scored or validated.

Additional criteria. Most indicators provide the opportunity to refine the basic “yes or no” response by selecting additional criteria. These additional criteria are optional, and they serve to refine or classify the response. Participants should select additional criteria that accurately describe the entity and for which the entity can provide evidence. Selecting more criteria will create the opportunity for higher scores.

Evidence. Almost every indicator provides the opportunity to provide evidence. Evidence is optional. Evidence is information that can be used to validate the overall answer to the indicator and support any additional selected criteria. GRESB does not have a prescriptive standard for evidence, rather the expectation is that a validator with reasonable domain expertise can review the evidence and find support for the overall response and selected criteria. The evidence should not require extensive interpretation or inference, and participants are strongly encouraged to provide the simplest evidence that supports their claim. It is the responsibility of the reporting entity to provide clear and concise information that can be understood by the validator. The validator will reject claimed answers or individual criteria not supported by evidence. The provision of acceptable evidence has a positive impact on the entity’s GRESB Score.

Reference. Every request for evidence includes the opportunity to provide an internal reference. This is information about where the validator can find the supporting evidence within the document or URL provided. A reference can be a line number, page number, paragraph, figure number, etc. A specific reference will increase the chance that the validator will find the intended support for the response. An inadequate reference may make it impossible for the validator to find supporting evidence and result in the rejection of a response.

Hyperlink. If a hyperlink is provided, ensure that the relevant page can be accessed within two steps. In order to qualify as valid supporting evidence, the evidence provided must demonstrate the existence of the relevant topic relating to each of the criteria selected. The participant has the obligation to ensure that the hyperlink is functioning. Broken links are the responsibility of the reporting entity and will be interpreted as the absence of evidence.

“Other” answers. Other answers must be outside the options listed in the indicator.

Reporting period. Answers must refer to the reporting period identified in ER4 in the Asset Assessment and ER3 in the Fund Assessment if the indicator does not specify an alternate reporting period. A response to an indicator must be true at the close of the reporting period; however, the response does not need to have been true for the entire reporting period.

The preceding requirements apply to all indicators. The following sections provide additional information for the two primary types of indicators: core questions and performance indicators.

Participants are strongly encouraged to provide the simplest, most concise evidence that clearly supports their answer and selected criteria.

Additional Information About Core Indicators

Core indicators address fundamental aspects of ESG management, policy, implementation actions, or related issues. The basic structure for core indicators is:

MA1

Does the entity specifically address ESG issues in its long-term strategic plan(s)?

Yes

Elements addressed in the entity's long-term strategic plan(s)

Environment performance

Social performance

Governance performance

Can the entity provide evidence as an UPLOAD or URL?

Yes

No

No

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

» Word count: 0 out of 250 words

- (1) Each Indicator starts with a basic question.
- (2) Each question is answered as "Yes or No".
- (3) The following options allow the participant to categorize the response, in this example, indicating whether the entity's strategic plan address environment, social, and/or governance issues. Typically, the reporting entity should select all that apply.
- (4) The reporting entity has the option to provide supporting evidence. The evidence should be sufficient for an independent subject matter expert to see support for the overall answer and the selected criteria.
- (5) Finally, the participant has the option to provide additional narrative context. This information is shared with investors to provide clarification or explanation.

Additional Information About Performance Indicators

Performance Indicators have a different purpose and structure. Performance Indicators are reported in flexible tables:

The screenshot shows the GRESB PI4 form interface. At the top right are links for 'Guidance' and 'Ask GRESB'. Below is a question: 'Can the entity report on greenhouse gas emissions over time?'. A radio button labeled 'Yes' is selected. The next section, 'Emissions generated', contains a table with columns for Indicator, Units, Baseline, History (years 2013-2015), and Targets (years 2013-2015). Rows are provided for Scope 1 and Scope 2. An 'Add metric' button is at the bottom. The 'Emissions avoided' section is similar. Below these are sections for 'Supporting Information and Performance Interpretation' and 'Types of information included in evidence'. Under 'Evidence', three options are listed: 'Methods and calculations underlying output metrics' (selected), 'Interpretation of output metrics and targets', and 'Other'. The final sections ask if evidence can be provided as an upload or URL, with 'Yes' selected. A large text area for additional context is at the bottom.

- (1) Each Performance Indicator addresses a different category of environmental or social impacts.
- (2) Each metric appears as a row. Recommended metrics are in gray. Participant may add additional metrics. They are not required to answer the recommended metrics; however, these cannot be removed and the absence of data for the recommended metrics will be indicated to investors.
- (3) Columns are used to provide a history of annual performance for each metric and targets for future years. Participants must specify a year for each target. They may add additional columns to represent up to five (5) years of historic performance data or three (3) target years. The baseline column should be used to communicate a metric value that is not based on a specific year (e.g., an absolute performance baseline).
- (4) The participant has the opportunity to provide supporting information describing its calculation methods or the interpretation of performance history or targets. This information will be available to investors.
- (5) As with the other question types, the reporting entity has the opportunity to provide additional narrative information or explanation for its response. This option is most useful if the participant answers "No". In this case, the reporting entity can explain the absence of the information to the investor.

Each indicator is accompanied by a block of supplemental information, including intent and additional instructions. These are intended to help participants understand the rationale for the question, interpret terms or other indicator-specific issues.

Scoring Concepts

Each entity receives an overall GRESB Score. Depending on the entity, these may include a Fund Score and/or one or more Asset Scores. The overall scoring methodology reflects GRESB's goal to creating meaningful differentiation within peer groups. Given this goal and the absence of any prior data collection, the final scoring methodology will necessarily be determined by the nature of the data from the 2016 GRESB Infrastructure Assessment. GRESB will finalize details of the scoring process later in 2016 following data validation. In the interim, the following scoring concepts can provide a preliminary guide to the scoring process.

Each indicator, with the exception of Performance Indicators, is scored based on:

- **Yes/No:** What is the entity's response to a given Indicator? Yes is better.
- **Criteria:** How many elements (a.k.a., criteria) did the entity select? Selecting more criteria is generally better. "Other" responses are tallied equally with default criteria.
- **Evidence:** Did the entity provide evidence for the answer and the selected criteria? Evidence is critical and the presence of evidence is always better.

Performance Indicators have a different scoring concept:

- **Coverage:** How much data can the entity provide for a given Performance Indicator? More data coverage is better. Coverage includes the number of metrics, years of performance data, and number of targets.
- **Trend:** What is the year-over-year trend in the Performance Indicator? Larger improvements, sustained over longer periods of time are better.
- **Intensity:** What is the trend in ratio of beneficial output (Performance Indicator 1) for a given level of social or environmental impact (other Performance Indicators)? Improvements in the ratio of beneficial output to social and environment impact are better.

Asset Scoring Concept

Asset scores are based on the premise that each Aspect provides distinct and useful information. Consequently, Aspects are assigned the following weights with each individual indicator contributing equally to a score for a given Aspect.

Management	10.7%
Policy & Disclosure	10.7%
Risks & Opportunities	10.7%
Implementation	10.7%
Monitoring & EMS	10.7%
Stakeholder Engagement	10.7%
Performance Indicators	25.0%
+ Certifications & Awards	10.7%

GRESB Asset Score

These Aspect weights represent one possible implementation, and they are subject to change. Details of the asset scoring methodology will be determined based on the characteristics of data received from participants.

Fund Scoring Concept

Funds are scored based on a combination of Fund and Asset Assessment responses.

30% * Fund Score

+ 70% * (% assets responding * weighted average Asset Score)

GRESB Fund Score

Assets will be weighted based on information provided in the Fund Assessment asset table. This formulation is illustrative and details of the fund scoring methodology will be determined based on the characteristics of data received from participants.

Data Access

The GRESB Infrastructure Assessment is designed to facilitate a private exchange of information between investors and investments. The GRESB Infrastructure Assessment provides two levels of data:

- **A GRESB Scorecard:** Basic comparative information and rankings for every entity – a typical GRESB Scorecard is approximately 4 pages. All participants receive a Scorecard.
- **A GRESB Benchmark Report:** Basic comparative information, rankings, analytics for each indicator, and a summary of relative strengths and weaknesses – a typical GRESB Benchmark Report is more than 50 pages. GRESB members may view Benchmark Reports for their investments through the GRESB Portal. Non-member participants have the option to purchase Benchmark Reports for their entities.

Data access for participants and GRESB Members is managed through the GRESB Portal. GRESB Investor Members (end investors and fund managers) request access to participant data using the online Data Access Request Tool. Only investors have access to this tool.

GRESB Investor Members may request access to Benchmark Reports (for the **Fund Assessment** and **Asset Assessment**) via the GRESB Portal. In principle, any GRESB fund manager or end investor may request access to the results of any Fund or Asset Assessment using the Data Access Request Tool. However, before releasing the 2016 Assessment results, GRESB will introduce additional functions in the Data Access Request Tool to ensure that (a) fund managers cannot access other fund managers' data and (b) end investors invested in a participating fund cannot automatically request access to underlying asset data. In any event, participants should always carefully check the identity of the organization requesting access to GRESB Infrastructure Assessment results.

Participants have several options to control the availability of information to investors:

- Participants must individually approve data access requests from GRESB Investor Members (fund and end investors). A request is received via email and, upon approval by the participant, the requesting GRESB Member may view the participant's Benchmark Report.
- Participants may reject data access requests. Rejecting a request blocks the requesting member's access to the participant's results. A participant can grant access selectively, granting some requests and rejecting others. At the request of a member, GRESB can review and make decisions on pending data access requests. However, in these circumstances GRESB will always contact both the participant and investor member before making any decision regarding data access.
- Any participant may elect to use the Grace Period, a one-time opportunity to participate in the GRESB Infrastructure Assessment without disclosing Assessment results to GRESB Investor Members. GRESB recommends that participants only use the Grace Period in exceptional circumstances and that they discuss the implications of doing so with the GRESB team before selecting the Grace Period option.
- Participants should always carefully check the identity of the organization requesting access to GRESB Infrastructure Assessment results.

More information about data access and the Grace Period is available from info@gresb.com.

Assistance

GRESB provides a number of ways to get more information or assistance in completing the Assessment:

- Use the Frequently Asked Questions ("FAQ") in the GRESB Portal;
- Use the "Ask GRESB" button next to each question in the Portal or use the online contact form. We will reply to your email within two working days;
- Contact one of our Partners.

If you need assistance on other topics or wish to contact a member of the GRESB team directly, you can use the online contact form or send an email to info@gresb.com.

Feedback

Participants can give feedback during the Assessment process and immediately after submitting their Assessment response using the evaluation form available in the GRESB Portal.

Disclaimer

The 2016 GRESB Infrastructure Reference Guide ("Reference Guide") is published both as a standalone document and in the GRESB Portal alongside each indicator.

The Reference Guide reflects the opinions of GRESB and not of its members. The information in the Reference Guide has been provided in good faith and is provided on an "as is" basis. We take reasonable care to check the accuracy and completeness of the Reference Guide prior to its publication. While we do not anticipate major changes, we reserve the right to make modifications to the Reference Guide. We will publicly announce any such modifications.

The Reference Guide is not provided as the basis for any professional advice or for transactional use. GRESB and its advisors, consultants and sub-contractors shall not be responsible or liable for any advice given to third parties, any investment decisions or trading or any other actions taken by you or by third parties based on information contained in the Reference Guide.

Except where stated otherwise, GRESB is the exclusive owner of all intellectual property rights in all the information contained in the Reference Guide.



2016 **GRESB Infrastructure** **Asset Assessment Reference Guide**

Entity & Reporting Characteristics

ER1 Legal name of the entity

Common name: _____

Legal name: _____

Operator name: _____

ER2 Location of the entity's headquarters office

Street address: _____

City: _____

Postcode: _____

Country: _____

ER3 Country/Countries of operation

Select multiple and indicate estimated fraction of operations:

For each selected Country ▾ :

Country _____ ; _____ % of operations

Explain method used to establish the percentage of operations in each country:
(maximum 250 words) _____

ER4 Reporting period

- Calendar year
- Fiscal year

Specify the starting month _____

ER5 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)

ER6 Industry associations

List memberships in industry associations (e.g., GIIA, LTIIA, or sector-specific associations). Please include name of association and URL for association website: _____

ER7 Nature of the entity

The entity is a:

- Public company

ISIN: _____

Ticker Symbol: _____

Exchange (select all that apply):

Select exchanges ▼

Other: _____

- Private company

- Non-profit organization

- Governmental organization

Other: _____

ER8 Classification of economic size

Describe the entity's economic size (e.g., regulated asset base, net asset value)

Value: _____

Units: _____

ER9 Infrastructure business activities and output measures

Details of all answer choices are available in Appendix 1 (Asset Assessment Entity & Reporting Characteristics).

Important: All participants must select at least one infrastructure business activity and at least one output measure. Data on selected output measures must be reported in Performance Indicator 1.



Management

MA1 Does the entity specifically address ESG issues in its long-term strategic plan(s)?

- Yes

Elements addressed in the entity's long-term strategic plan(s):

- Environmental performance
- Social performance
- Governance performance

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)

Intent

Assess the consideration of environmental, social, and governance issues in the entity's long term, strategic plans. Consideration of ESG in long-term plans provides one tangible indicator of the entity's priority on long-term ESG performance and a strong foundation for management action and accountability. The absence of consideration for ESG factors in long-term planning may be a risk factor or motivation for additional investor engagement.

Additional Instructions

Acceptable evidence may include illustrative portions of planning documents, such as tables of contents, chapters, or diagrams. The entity may redact any portion of evidence not necessary to illustrate the overall answer or selected criteria.

MA2 Does the entity have a senior decision-maker accountable for ESG issues?

Yes

Provide the details for the most senior decision-maker on sustainability issues

Name _____

Job title _____

E-mail _____

LinkedIn profile (optional) _____

This senior decision maker is part of the:

- Board of Directors
- Senior Management Team
- 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)

Intent

Assess entity's leadership on environmental, social, and governance issues. Qualified senior leadership is an important factor in an effective strategy to address ESG issues through infrastructure design, construction, and operation.

Additional Instructions

Acceptable evidence may include a resume, CV, organizational chart, or similar documentation indicating the role of the responsible individual.

MA3

Are ESG factors included in performance targets for the entity's senior leadership?

- Yes

Senior leadership has targets for:

- Environment performance
- Social performance
- Governance performance
- Other: _____

Does performance on these targets have pre-determined consequences?

- Yes

Positive consequences for meeting or exceeding ESG targets (select all that apply):

- Positive recognition
- Non-financial award
- Financial award
- Other consequences: _____

Negative consequences for not achieving ESG targets (select all that apply):

- Negative recognition
- Loss of financial compensation
- Additional support, resources and/or training
- Other consequences: _____

- No

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)

Intent

Assess the entity's approach to creating incentives for the achievement of ESG targets. Specific provisions for rewards, penalties, or support reflect the entity's strategic priorities and provide the foundation for accountability of senior management.

Additional Instructions

Acceptable evidence may be one or more official documents from the entity describing rewards, penalties, or support associated with specific ESG-related targets.

MA4

Does the entity provide ESG-related training?

- Yes

Categorize ESG-related training provided to different categories of workers:

- Employees
 - Environmental issues
 - Social issues
 - Governance issues
 - Other: _____
- Contractors
 - Environmental issues
 - Social issues
 - Governance issues
 - Other: _____
- Other: _____
 - Environmental issues
 - Social issues
 - Governance issues
 - 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)

Intent

Assess the entity's strategy to provide training on ESG issues. ESG training reflects the entity's commitment to building its capacity to manage complex environmental, social, and governance issues.

Additional Instructions

Acceptable evidence may include promotional materials describing training programs, curriculum, summaries of attendance, or combinations of materials.



Policy & Disclosure

PD1 Has the entity formally adopted a policy or policies on environmental issues?

- Yes

Specific issues included in the entity's policy or policies:

- Air pollutants
- Biodiversity and habitat protection
- Energy
- Greenhouse gas emissions
- Invasive species
- Resilience to catastrophe/disaster
- Resilience (adaptation) to climate change
- Water
- Waste
- Other: _____

Policy or policies apply to:

- Entity
- Contractors
- Other: _____

% of contractors ▾

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)

Contractors Covered by Entity ESG Policy/Policies

- ▼ > 0 %, < 25%
- ≥ 25%, < 50%
- ≥ 50%, < 75%
- ≥ 75%, < 100%
- Unknown

Intent	Assess the entity's environmental policies. Clear policies on environmental issues provide the foundation for effective management, the prioritization of implementation actions, and accountability.
Additional Instructions	Acceptable evidence may include official documents or links to online resources describing the entity's environmental policies. The evidence and accompanying reference must be sufficient to identify additional criteria selected, such as bullets or passages within a policy describing goals or ambition for each issue. The entity is also asked to characterize whether the policies apply to its employees and/or a certain fraction of its contractors.

PD2 Has the entity formally adopted a policy or policies on social issues?

Yes

Specific issues included in the entity's policy or policies:¹

- Child labor
- Community relations
- Customer satisfaction
- Data protection and privacy
- Employee engagement
- Forced or compulsory labor
- Gender and diversity
- Health and safety: employees
- Health and safety: customers
- Health and safety: community
- Health and safety: supply chain
- Labor standards and working conditions
- Discrimination
- Other issues: _____

Policy or policies apply to:

- Entity
- Contractors
- Other: _____

% of contractors ▾

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)

¹ Partially aligned with CFA Institute (2008) Environmental, Social, and Governance Issues in Investing: A Guide for Investment Professionals.

Contractors Covered by Entity ESG Policy/Policies

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

Intent Assess the entity's policies on social issues. Clear policies on social issues provide the foundation for effective management, the prioritization of implementation actions, and accountability.

Additional Instructions Acceptable evidence may include an official document or link to online resource describing the entity's social policies. The evidence and accompanying reference must be sufficient to identify additional criteria selected, such as bullets or passages within a policy describing goals or ambition for each issue. If selected, the evidence should also provide information about the degree to which policies apply to contractors.

PD3 Has the entity formally adopted a policy or policies on governance issues?

Yes

Specific issues included in the entities governance policy or policies:

- Audit committee structure/independence
- Board composition
- Bribery and corruption
- Compensation committee structure/independence
- Executive compensation
- Fraud
- Fiduciary duty
- Independence of Board chair
- Lobbying activities
- One share/one vote
- Political contributions
- Whistleblower protection
- Other: _____

Policy or policies apply to:

- Entity
- Contractors
- 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)

Contractors Covered by Entity ESG Policy/Policies

> 0 %, < 25%

≥ 25%, < 50%

≥ 50%, < 75%

≥ 75%, < 100%

Unknown

Intent

Assess the entity's policies on social issues. Clear policies on social issues provide the foundation for effective management, the prioritization of implementation actions, and accountability.

Additional Instructions

Acceptable evidence may include an official document or link to online resource describing the entity's social policies. The evidence and accompanying reference must be sufficient to identify additional criteria selected, such as bullets or passages within a policy describing goals or ambition for each issue. If selected, the evidence should also provide information about the degree to which policies apply to contractors.

PD4 Does the entity have a process for stakeholders to communicate grievances?

Yes

Describe the elements of the process (select all that apply)

- Anonymous communications
- 24/7 availability (e.g., phone, email, post)
- Clear prohibition against retaliation
- Fair and independent review

Describe the use of the process during the reporting period (select all that apply)

- Number of grievances communicated
- Summary of types of grievances
- Summary of types of resolutions for grievances

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)

Intent

Assess the entity's process for addressing stakeholder concerns and grievances. An effective grievance process can reduce risk and identify opportunities to improve performance. Critical elements of an effective process include provisions for anonymous communication and fair, independent review.

Additional Instructions

Acceptable evidence may include an official document describing the grievance process or a link to a resource available to employees to report grievances. This might be supplemented by a report, dashboard, or similar information summarizing use of the grievance communication process. Do not provide any information that references individual grievances or personally identifiable information.

PD5 Does the entity have third-party review of its ESG reporting and/or data?

Yes

Select the most stringent level of review in each area

ESG reporting

- Internal audit
- Externally checked by: _____
- Externally verified by: _____
- Externally assured by: _____

Environmental data

- Internal audit
- Externally checked by: _____
- Externally verified by: _____
- Externally assured by: _____

Social data

- Internal audit
- Externally checked by: _____
- Externally verified by: _____
- Externally assured by: _____

- Governance data
 - Internal audit
 - Externally checked by: _____
 - Externally verified by: _____
 - Externally assured by: _____

- Information submitted in this assessment (GRESB Infrastructure)

- Internal audit
- Externally checked by: _____
- Externally verified by: _____
- Externally assured by: _____

- Other ESG information

- Internal audit
- 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)

Intent Assess the entity's use of third-party review for its ESG-related communications and data. Third-party review of ESG data increases confidence in the veracity of information underpinning management and performance reporting.

Additional Instructions Acceptable evidence may include the name of the entity that performed the review and documentation describing the nature of the review. Such evidence may include a memo, letter, or similar document indicating the scope of the review (e.g., a cover sheet from the reviewer's report).

PD6 Did the entity publish formal impact assessments during the last 3 years?

Yes

Types of formal assessments published during the last 3 years

- Environmental impact statement/report/assessment
- Health Impact Assessment
- Social Impact Assessment
- Community needs assessment
- Other technical assessment: _____

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)

Intent

Assess the publication of formal impact assessments. Formal impact assessments are important public records and, often, mark regulatory milestones. It is often important for investors to be aware of the publication of these reports and to be able to find them to further investigate the activities of the responding entity.

Additional Instructions

Acceptable evidence may include any documentation that illustrates the nature of the formal impact assessments published by the entity, such as a URL for the publication or a record in a public database.

PD7 Does the entity communicate about its ESG activities?

- Yes

Indicate communication channels user for each ESG activity:

Communication strategy	ESG Policy/ Policies	ESG Targets	ESG Actions	ESG Performance
No communications				
Website				
Section of annual report				
Integrated report				
Sustainability report				
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)

Intent

Assess the entity's strategy for communication of ESG policies, targets, and performance. The entity's communication strategy may be a good barometer for its relative level of transparency surrounding ESG issues.

Additional Instructions

Acceptable evidence may include a document describing the entity's communications strategy or public URLs.

PD8

Does the entity have a process to communicate about ESG-related misconduct or penalties?

- Yes

Elements of the entity's communications 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)

Intent

Assess the entity's strategy to communicate about misconduct or ESG-related penalties. An effective communication process is important to ensure investors that relevant information about ESG-related issues is shared in a timely manner. This information provides the basis for risk assessment and asset management.

Additional Instructions

Acceptable evidence may include a document describing the entity's process to communicate information about ESG-related misconduct or penalties. The entity is also asked to provide information about the use of the communication process during the reporting period. Acceptable evidence may include examples of communications or a statistical summary of the use of the communication process. Evidence should not include individually identifiable information.



Risks & Opportunities

R01 Does the entity assess and mitigate risks associated with environmental issues?

- Yes

Issues for which the entity assessed risks, planned mitigation, and/or implemented mitigation actions during the last 3 years (select all that apply)

Environmental Issues	Included in Risk Assessment	Addressed in Mitigation Plan(s)	Mitigation Actions Implemented
Air pollutants			
Biodiversity and habitat protection			
Energy			
Greenhouse gas emissions			
Invasive species			
Resilience to catastrophe/disaster			
Resilience to climate change			
Water resources			
Waste 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)

Intent

Assess the entity's understanding and mitigation of key environmental risks. Systematic responses to environmental issues include effective risk assessment, thoughtful mitigation planning, and implementation of action plans.

Additional Instructions

Acceptable evidence may include a document or documents describing the entity's risk assessment, mitigation planning, and implementation actions. This evidence may include staff evaluations, consultant reports, or some other tangible proof of the entity's risk assessment activity. Such evidence does not necessarily need to be provided in full. Rather, the evidence needs to be sufficient to verify the existence of claimed risk assessment, mitigation planning, and implementation actions for each issue.

RO2**Does the entity assess and mitigate risks associated with social issues?**

- Yes

Issues addressed in the risk assessment and planning process during the last 3 years (select all that apply)

Social Issues	Included in Risk Assessment	Addressed in Mitigation Plan(s)	Mitigation Actions Implemented
Child labor			
Community relations			
Customer satisfaction			
Data protection and privacy			
Employee engagement			
Forced labor			
Gender and diversity			
Health and safety: customers			
Health and safety: employees			
Health and safety: community			
Health and safety: supply chain			
Labor standards/working conditions			
Discrimination			
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)

Intent

Assess the entity's understanding and mitigation of key social risks. Systematic responses to social issues includes effective risk assessment, thoughtful mitigation planning, and implementation of action plans.

Additional Instructions

Acceptable evidence may include a document or documents describing the entity's risk assessment, mitigation planning, and implementation actions. This evidence may include staff evaluations, consultant reports, or some other tangible proof of the entity's risk assessment activity. Such evidence does not necessarily need to be provided in full. Rather, the evidence needs to be sufficient to verify the existence of claimed risk assessment, mitigation planning, and implementation actions for each issue.

R03**Does the entity assess and mitigate risks associated with governance issues?**

- Yes

Issues addressed in the risk assessment and planning process during the last 3 years (select all that apply)

Governance Issues	Included in Risk Assessment	Addressed in Mitigation Plan(s)	Mitigation Actions Implemented
Audit committee structure/independence			
Board composition			
Bribery and corruption			
Compensation committee structure/independence			
Executive compensation			
Fraud			
Independence of Board chair			
Lobbying activities			
One share/one vote			
Political contributions			
Whistleblower protection			
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)

Intent

Assess the entity's understanding and mitigation of key governance risks. Systematic responses to governance issues includes effective risk assessment, thoughtful mitigation planning, and implementation of action plans.

Additional Instructions

Acceptable evidence may include a document or documents describing the entity's risk assessment, mitigation planning, and implementation actions. This evidence may include staff evaluations, consultant reports, or some other tangible proof of the entity's risk assessment activity. Such evidence does not necessarily need to be provided in full. Rather, the evidence needs to be sufficient to verify the existence of claimed risk assessment, mitigation planning, and implementation actions for each issue.



Implementation

IM1 Can the entity provide specific examples of actions taken to improve ESG management and performance?

- Yes

Describe specific examples of actions taken to improve ESG performance during the last 3 years. The goal is to provide illustrative examples of tangible actions that demonstrate the entity's progress.

ESG issues addressed by action (1)	Title for action (2)	Keywords describing action (3)	Description of action (4)	Fraction of entity covered by action (5)	Evidence for action (6)
Environmental					
Select ▾					
⊕ Add other action					
Social					
Select ▾					
⊕ Add other action					
Governance					
Select ▾					
⊕ Add other action					

- No

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

Explanation of fields

(1) Categories of ESG issues (select all that apply for each activity)

Environmental Categories	Social Categories	Governance Categories
<ul style="list-style-type: none">• Air pollutants• Biodiversity and habitat protection• Energy• Greenhouse gas emissions• Invasive species• Resilience to catastrophe/disaster• Resilience to climate change• Water resources• Waste management• Other _____	<ul style="list-style-type: none">• Child labor• Community relations• Customer satisfaction• Data protection and privacy• Employee engagement• Forced labor• Gender and diversity• Health and safety: employees• Health and safety: customers• Health and safety: community• Health and safety: supply chain• Labor standards/working conditions• Discrimination• Other _____	<ul style="list-style-type: none">• Audit committee structure/independence• Board composition• Bribery and corruption• Compensation committee structure/independence• Executive compensation• Fraud• Independence of Board chair• Lobbying activities• One share/one vote• Political contributions• Whistleblower protection• Other _____

(2) Title to describe the activity

(3) Keywords describing the activity (e.g., energy efficiency, discrimination)

(4) Description of the activity (50 words maximum)

(5) Classify the fraction of the entity covered by the action.

- ▼ A small fraction (<25%) of operations
- The minority ($\geq 25, < 50\%$) of operations
- The majority ($\geq 50\%, < 100\%$) of operations
- Entire entity (100%)
- Unknown

(6) Provide evidence that can be shared with investors and other participants. Entities are encouraged to provide the simplest form of evidence that convincingly documents the activity. Acceptable evidence can take many forms, including press release, images, blogs, or case studies. Entities also have the option to create and share a GRESB Innovation Case Study.

- Provide a link (URL) to a description of the activity (e.g., a blog, press release, Instagram post, existing case study)
- Create a GRESB Innovation Case Study

Intent

Assess the tangible actions taken to improve ESG performance. The purpose of this indicator is to provide specific, representative examples of implementation actions taken by the entity to improve ESG performance during the reporting period. The intent is not to completely enumerate all the ESG actions taken by the entity, rather the goal is to provide investors with concrete examples of recent activity.

Additional Instructions

Acceptable evidence provides an investor with specific, tangible examples of entity's action to improve environmental, social, and governance issues. Acceptable evidence could be as simple as a press release or as complex as a technical report. The essential element is to concisely illustrate a specific action during the reporting period. If selected, the evidence should also clearly indicate fraction of the entity's operations covered by this type of action (i.e., pilot project vs. entity-wide deployment).



Monitoring & EMS

ME1 Does the entity have an Environmental Management System or comparable framework?

Yes

Describe the EMS or comparable framework (maximum 250 words):

Is the EMS or framework aligned with third-party standard?

Yes

- ISO 14001
- BS7750
- EU Eco-Management and Audit Scheme
- Other standard: _____

No

Has the EMS or framework been verified or certified by a third-party?

Yes

- Verification by: _____
- Certified by: _____

No

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)

Intent

Assess the entity's use of a systematic process manage environmental issues. The presence and application of an EMS or comparable framework is an indicator of an entity's commitment to effective action to address environmental issues. The absence of such a system may be a risk factor in some circumstances.

Additional Instructions

Acceptable evidence may include documentation describing the nature of the entity's EMS or comparable framework. Additional information will likely be needed to support selected criteria such as alignment with third-party standards or review by independent organizations. Acceptable evidence may include a letter from an certification body or consultant.

ME2

Does the entity collect ESG performance data?

- Yes

Type of ESG data collected by the entity

- Environmental performance data
- Social performance data
- Governance performance data
- Other data: _____

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)

Intent

Assess the entity's activities to collect ESG performance data. The collection of data is foundational to the effective management of ESG issues.

Additional Instructions

Acceptable evidence may include links or documents illustrating the scope and nature of the entity's data collection activities. Such evidence may include screenshots, sample exports, or narrative descriptions.



Stakeholder Engagement

SE1 Does the entity have a stakeholder engagement program?

Yes

Elements of the stakeholder engagement program:

- Planning and preparation for engagement
- Implementation of engagement plan
- Program review and evaluation

Is the stakeholder engagement program aligned with third-party standards and/or guidance?

Yes

- AA1000 Stakeholder Engagement standard
- International Association for Public Participation spectrum, Australasia
- UNEP Stakeholder Engagement Manual
- Other: _____

No

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)

Intent

Assess the existence and scope of the entity's stakeholder engagement program. Effective stakeholder engagement programs are often critical in preventing or addressing controversy that may create regulatory risks, legal liabilities, or undermine the entity's social license to operate.

Additional Instructions

Acceptable evidence will illustrate the existence of a stakeholder engagement program and clearly describe critical elements. Additional evidence may be needed to describe alignment with third-party standards.

SE2 Can the entity describe specific examples of actions taken to implement its stakeholder engagement program?

- Yes

Describe specific, illustrative actions to implement stakeholder engagement program over the last 3 years

Type of activity	Description of the activity	Stakeholder group(s) involved in the activity (1)	Nature of activity (2)	Benefits of the activity (3)	Evidence for the activity (4)
Program Planning					
(+) Add an activity					
Program Implementation					
(+) Add an activity					
Program Evaluation					
(+) Add an activity					

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)

Explanation of fields

(1) Classify the stakeholder group addressed in the activity, (select all that apply):

- Employees
- Community
- Supply chain
- Regulators/government
- Other: _____

(2) Classify the nature of the engagement, (select all that apply):

- Dialog (e.g., exchange of information, feedback)
- Education
- Services
- Research
- Philanthropy
- Other: _____

(3) Describe the intended benefit of the action.

(4) Provide evidence that can be shared with investors and other participants. Entities are encouraged to provide the simplest form of evidence that convincingly documents the activity. Acceptable evidence can take many forms, including press release, images, blogs, or case studies. Entities also have the option to create and share a GRESB Innovation Case Study.

- Provide a link (URL) to a description of the activity (e.g., a blog, press release, Instagram post, existing case study)
- Create a GRESB Innovation Case Study

Intent Assess the entity's actions to implement its Stakeholder Engagement Program. The robust and effective implementation of a Stakeholder Engagement Program is an important risk management strategy and a component of sustaining a durable license to operate for many infrastructure activities.

Additional Instructions The entity is required to provide tangible examples of implementation actions. The intent is not to provide a full inventory of actions, rather the focus is on the communication of illustrative actions that represent the entity activities.



Performance Indicators

PI1 Can the entity report on measures of output?

- Yes

This table is intended to convey the most important measures of overall output for the entity. This is a measure of the productive activity or activities provided by the infrastructure. These measures can be financial (e.g., operating revenue) or physical (e.g., number of gallons treated).

Entities with multiple infrastructure activities (e.g., roadways and ports) should report at least one measure per business activity (e.g., vehicles miles traveled, TEUs moved). Participants may (optionally) add additional output metrics.

The participant must enter data for all output metrics selected in ER9. Additional output measures are optional. All participants must provide at least one output metric for at least one year. Additional years of performance history or future targets are optional.

Indicator	Units	Baseline	⊕	History			Targets		
				2013	2014	2015	Target year	Target Year	Target Year
Metrics									

Supporting Information and Performance Interpretation

Types of information included in evidence:

- Methods and calculations underlying output metrics
- Interpretation of output metrics and 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)

Intent

Assess the entity's beneficial (intended) output. This indicator provides a measure of the intended physical output from the infrastructure process, such as movement of passengers, production of clean water, or provision of telecommunication services. Ultimately, these metrics are used numerators when considering associated environmental externalities such as greenhouse gas emissions or biodiversity impacts.

Additional Instructions

The entity is required to provide at least one output metric for the current assessment year. Minimally, this is a single value for 2015. Entities may submit up to five (5) years of historic data and up to three (3) targets for future years. Supporting evidence should provide background information about calculation methodologies, protocols, and data provenance.

PI2

Can the entity report on health and safety performance over time?

<input type="radio"/> Yes			History			Targets				
Measure	Units	Baseline	<input type="button" value="+"/>	2013	2014	2015	Target Year	Target Year	Target Year	<input type="button" value="+"/>
Employees										
Fatalities	Number									
Reportable Injuries	Number									
<input type="button" value="+"/> Add metric										
Customer										
Fatalities	Number									
Reportable Injuries	Number									
<input type="button" value="+"/> Add metric										
Community										
Fatalities	Number									
Reportable Injuries	Number									
<input type="button" value="+"/> Add metric										

Supporting Information and Performance Interpretation

Types of information included in evidence:

- Methods and calculations underlying performance data
- Interpretation of performance data and 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)

Intent

Assess health and safety impacts associated with the entity's operations. The human health and safety of employees, customers, and communities is typically a critical performance indicator for infrastructure operators.

Additional Instructions

The entity is required to provide at least one set of health and safety metrics for the current assessment year, including fatalities and reportable injuries. Other metrics are optional. Minimally, this is a single value for 2015. Entities may submit up to five (5) years of historic data and up to three (3) targets for future years. Supporting evidence should provide background information about calculation methodologies, protocols, and data provenance.

PI3

Can the entity report on energy generated and purchased over time?

Yes

Measure	Units	Baseline		History			Targets			
				2013	2014	2015	Target Year	Target Year	Target Year	
Total energy generated										
Add metric										
Total energy purchased										
Add metric										

Supporting Information and Performance Interpretation

Types of information included in evidence:

- Methods and calculations underlying performance data
- Interpretation of performance data and 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)

Intent

Assess the entity's energy generation and consumption. The use of energy is both a direct cost and a critical source of local, regional, and global environmental impacts.

Additional Instructions

The entity is required to provide at least one set of metrics describing the use of energy for the current assessment year, including energy generated and purchased. Other energy use metrics are optional. Minimally, this is a single value for 2015. Entities may submit up to five (5) years of historic data and up to three (3) targets for future years. Supporting evidence should provide background information about calculation methodologies, protocols, and data provenance.

PI4

Can the entity report on greenhouse gas emissions over time?

Yes

Indicator	Units	Baseline		History			Targets			
				2013	2014	2015	Target Year	Target Year	Target Year	
Emissions generated										
Scope 1	mTCO2e									
Scope 2	mTCO2e									
Add metric										
Emissions avoided										
Scope 1	mTCO2e									
Scope 2	mTCO2e									
Add metric										

Supporting Information and Performance Interpretation

Types of information included in evidence:

- Methods and calculations underlying performance data
- Interpretation of performance data and 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)

Intent

Assess the entity's greenhouse gas emissions generation and avoidance. Greenhouse gas emissions are the primary driver of anthropogenic climate change and a critical source of local, regional, and global environmental impacts.

Additional Instructions

The entity is required to provide at least one set of metrics describing Scope 1 and Scope 2 greenhouse gas emissions for the current assessment year. Scope 3 emissions estimates are optional but encouraged. Minimally, this is a single value for 2015. Entities may submit up to five (5) years of historic data and up to three (3) targets for future years. Supporting evidence should provide background information about calculation methodologies, greenhouse gas emissions protocol, and data provenance.

PI5

Can the entity report on air pollutant emissions over time?

Yes

Indicator	Units ¹	Baseline	⊕	History			Targets			⊕
				2013	2014	2015	Target Year	Target Year	Target Year	
Emissions generated										
SO _x	Intensity									
NO _x	Intensity									
PM _{2,5}	Intensity									
PM ₁₀	Intensity									
Emissions avoided										
SO _x	Intensity									
NO _x	Intensity									
PM _{2,5}	Intensity									
PM ₁₀	Intensity									
(⊕) Add metric										

(1) Intensities are typically reported as mass of pollutants per unit output. For energy generation, this may be kilograms or pounds of pollutant per megawatt hour. Alternatively for manufacturing, intensity may be kilograms or pounds of pollutant per unit of product.

Supporting Information and Performance Interpretation

Types of information included in evidence:

- Methods and calculations underlying performance data
- Interpretation of performance data and 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)

Intent

Assess the entity's emissions and avoidance of air pollutants. The emission of air pollutants can have significant impacts on human health and the environment. The emissions of air pollutants may also constitute a significant risk factor for regulation or social license to operate.

Additional Instructions

The entity is required to provide at least one set of metrics describing air pollutant emissions. Minimally, this is a single value for 2015. Entities may submit up to five (5) years of historic data and up to three (3) targets for future years. Supporting evidence should provide background information about calculation methodologies, protocols, and data provenance.

PI6

Can the entity report on water use over time?

- Yes

Indicator	Units	Baseline	⊕	History			Targets			⊕
				2013	2014	2015	Target Year	Target Year	Target Year	
Withdrawals										
Potable water supply	Volume									
Surface water	Volume									
Seawater	Volume									
Groundwater	Volume									
⊕ Add metric										
Consumption										
Total	Volume									
⊕ Add metric										
Discharged										
Municipal Treatment Plant	Volume									
Surface water	Volume									
Seawater	Volume									
Groundwater	Volume									
⊕ Add metric										

Supporting Information and Performance Interpretation

Types of information included in evidence:

- Methods and calculations underlying performance data
- Interpretation of performance data and 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)

Intent

Assess the entity's use of water resources. The consumption and discharge of water can have significant impacts on human health and the environment. Relatively high levels of consumption or discharge can potentially create liabilities or regulatory risk.

Additional Instructions The entity is required to provide at least one set of metrics describing water withdrawal, consumption, and discharge. Minimally, this is a single value for 2015. Entities may submit up to five (5) years of historic data and up to three (3) targets for future years. Supporting evidence should provide background information about calculation methodologies, protocols, and data provenance.

PI7 Can the entity report on waste generation and disposal over time?

Yes

Measure	Units	Baseline		History			Targets			
				2013	2014	2015	Target Year	Target Year	Target Year	
Waste generation										
Hazardous	Mass									
Non-hazardous	Mass									
Add metric										
Waste disposal										
Recycling	Mass									
Incineration	Mass									
Landfill	Mass									
Add metric										

Supporting Information and Performance Interpretation

Types of information included in evidence:

- Methods and calculations underlying performance data
- Interpretation of performance data and 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)

Intent

Assess the entity's generation and disposal of solid waste. Waste management represents a significant cost, environmental impact, and a potential opportunity. Waste hauling and disposal typically represents an operational cost for infrastructure operations. Waste streams have both direct and indirect impacts, such as surface water pollution and greenhouse gas emissions. In some cases, waste streams may be monetized (e.g., waste-to-energy, recycling).

Additional Instructions

The entity is required to provide at least one set of metrics describing the entity's waste management activities. Minimally, this is a single value for 2015. Entities may submit up to five (5) years of historic data and up to three (3) targets for future years. Supporting evidence should provide background information about calculation methodologies, protocols, and data provenance.

PI8 Can the entity report on biodiversity and habitat over time?

<input type="radio"/> Yes		History				Targets				
Measure	Units	Baseline		2013	2014	2015	Target Year	Target Year	Target Year	
Wildlife										
Wildlife fatalities	Count									
T&E species fatalities	Count									
Add metric										
Habitat management										
Habitat removed	Ha									
Habitat enhanced or restored	Ha									
Habitat protected (on-site)	Ha									
Habitat conserved (off-site)	Ha									
Add metric										

Supporting Information and Performance Interpretation

Types of information included in evidence:

- Methods and calculations underlying performance data
- Interpretation of performance data and 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)

Intent

Assess the entity's positive and/or negative impact on biodiversity and habitat. Impacts on biodiversity and habitat management may create significant risks with respect to regulation or social license to operate.

Additional Instructions

The entity is required to provide at least one set of metrics describing the entity's biodiversity and habitat management activities. Minimally, this is a single value for 2015. Entities may submit up to five (5) years of historic data and up to three (3) targets for future years. Supporting evidence should provide background information about calculation methodologies, protocols, and data provenance.



Certifications & Awards

CA1 Did the entity maintain or achieve entity-level certifications for ESG-related management and/or performance?

Yes

List entity-level accreditations or certifications maintained or achieved in the last 3 years (select all that apply)

- | | | |
|---------------------------------------|------------------------------|-------------------|
| <input type="checkbox"/> ISO 9000 | Date first accredited: _____ | % of operations ▾ |
| <input type="checkbox"/> ISO 14001 | Date first accredited: _____ | % of operations ▾ |
| <input type="checkbox"/> ISO 18001 | Date first accredited: _____ | % of operations ▾ |
| <input type="checkbox"/> ISO 26000 | Date first accredited: _____ | % of operations ▾ |
| <input type="checkbox"/> ISO 55000 | Date first accredited: _____ | % of operations ▾ |
| <input type="checkbox"/> OHSAS | Date first accredited: _____ | % of operations ▾ |
| <input type="checkbox"/> Other: _____ | Date first accredited: _____ | % of operations ▾ |

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)

Indicate the percentage of the entities operations covered by each certification/accreditation. The entity may select its own method of calculation to define the percentage, such as number of facilities or fraction of employees. The calculation method must be described in the evidence.

- ▼ < 0 %, < 25%
≥ 25%, < 50%
≥ 50%, < 75%
≥ 75%, < 100%
Unknown

Intent

Assess the achievement and maintenance of entity-level accreditations and certifications. These designations may reflect action to promote different superior management or best practices.

Additional Instructions

Acceptable evidence will provide specific information about accreditations and certifications achieved or maintained by the entity within the last 3 years. This evidence may include a copy of an official certificate or other confirmation of the certification or credential.

CA2 Did the entity maintain or achieve project-level certifications for ESG-related management and/or performance?

- Yes

List projects certified within the last 3 years:

Project name	Date of award	Scheme Name/ sub-scheme name/level	Phase
 Add a project			

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)

Scheme Name/Sub-scheme Name

Select from Certifications Database or Add

Phases

 Planning and design

Construction

Operations

Intent

Assess forms of project-level recognition for ESG-related practices or performance. Information reported here should be associated with discrete, time-bounded activities, such as building certifications or projects ratings. Typically, an entity would complete multiple projects over time and receive third-party recognition, such as CEEQUAL rating on the construction process, a Green Star certification for a railway station, or a LEED certification for a new building.

Additional Instructions

Participants are encouraged to provide the simplest documentation supporting their claim. For projects, this may be a screenshot or link to a project directory showing a project name, date, and location matching their statement. This could also be a copy or legible image of documentation received from the certifying body.

CA3 Did the entity receive awards for ESG-related actions, performance, or achievements?

- Yes

Information about third-party awards:

Award name	Organization issuing award	Date of award	Basis for award
 Add an award			

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)

Intent

Assess third-party awards received by the entity for ESG management or performance. Awards provide a potentially useful indicator of entity performance.

Additional Instructions

This indicator is for reporting purposes. Responses are not scored. The entity should provide sufficient information to allow investors to access case studies, research, or other supplemental materials.

CA4 Was the entity the subject of case studies, research, or similar publications describing its ESG management and/or performance?

- Yes

Information about case studies or similar publications

Case study	Organization conducting case study	Description	Evidence (I)
 Add a case study			

- No

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

(1) Provide evidence that can be shared with investors and other participants. Entities are encouraged to provide the simplest form of evidence that convincingly documents the activity. Acceptable evidence can take many forms, including press release, images, blogs, or case studies. Entities also have the option to create and share a GRESB Innovation Case Study.

- Provide a link (URL) to a description of the activity (e.g., a blog, press release, Instagram post, existing case study)
- Upload a document describing the activity
- Create a GRESB Innovation Case Study

Intent Communicate supplemental information about the entity's ESG management and performance. Case studies or research provides contextual or supplemental information to understand the entity's performance.

Additional Instructions This indicator is for reporting purposes. Responses are not scored. The entity should provide sufficient information to allow investors to access case studies, research, or other supplemental materials.



2016 **GRESB Infrastructure** **Fund Assessment Reference Guide**

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 Office²:

Street address: _____

City: _____

Postcode: _____

Country: _____

ER3 Reporting period

- Calendar year
 Fiscal year

Specify the starting month _____

ER4 Reporting currency

Values are reported in:

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

² The office principally responsible for the management of this entity.

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:

- | | |
|---|------------|
| <input type="checkbox"/> Committed capital: _____ | Currency ▼ |
| <input type="checkbox"/> Invested capital: _____ | Currency ▼ |
| <input type="checkbox"/> Net asset value: _____ | Currency ▼ |
| <input type="checkbox"/> 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)

Intent

Assess the entity's ESG policies. Clear policies on environmental, social, and governance issues provide the foundation for effective management, risk management, and accountability.

Additional Instructions

Acceptable evidence may include official documents or links to online resources describing the entity's environmental, social, or governance policies.

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
- International 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)

Intent

Assess the entity's commitment to ESG leadership standards or groups. By making a commitment to ESG leadership standards or groups, an entity publicly demonstrates its commitment to ESG, uses organizational standards and/or frameworks that are universally accepted and may have obligations to comply with the standards and/or frameworks.

Additional Instructions

Acceptable evidence may include official documents or links to online resources describing the entity's commitments. This evidence may be a link to webpages from an international organization (e.g., PRI), a document recognizing the entity's status, or other information (e.g., an official press release).

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

- Yes

Provide the details for the most senior decision-maker on sustainability issues

- 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: _____

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)

Intent

Assess entity's leadership on environmental, social, and governance issues. Qualified responsibility is an important factor in an effective strategy to effectively address ESG issues.

Additional Instructions

Acceptable evidence may include a resume, CV, organizational chart, or similar documentation indicating the role of the responsible individual.

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)

Intent

Assess how the entity incorporates ESG policies into its investment process. The integration of ESG policies into elements of the investment process may aid in reducing risk and identifying opportunities for improved ESG performance.

Additional Instructions

Acceptable evidence may include official documents, webpages, or presentations describing the entity's approach to addressing ESG in its investment process. Support for each claimed criteria should be clearly referenced (e.g., a page or slide number).

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

- Yes³
- 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)

Intent Assess how the entity collects information on ESG management and performance of the investments. ESG information collected from investments can be used to support iterative engagement to improve ESG management and performance.

Additional Instructions Acceptable evidence may include documents, webpages, presentations, illustrative spreadsheets, screenshots, or other information describing the entity's strategy to collect ESG information. This evidence should clearly support each claimed criteria (e.g., the collection of environmental, social, or governance data).

³ Aligned with UNEP Finance Initiative

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)

Intent

Assess the entity's process to analyze ESG data collected from its investments. Data analysis is foundational to the effective management of ESG issues. Data-driven engagement with investments can contribute to superior risk management and improve overall investment performance.

Additional Instructions

Acceptable evidence should clearly illustrate the existence of a systematic process to analyze ESG data, including support for each claimed criteria. Evidence may include documents, presentations, illustrative analyses, or other information.

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: _____

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)

Intent

Assess the entity's actions to engage with its investments to improve ESG management and performance. Active, iterative engagement with investments is widely recognized as an effective strategy to reduce risk and improve investment performance.

Additional Instructions

Acceptable evidence may include documents, presentations, illustrative engagement questions, or other information that clearly illustrates the entity's engagement activities. Evidence should clearly address each claimed element.

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

Upload supporting evidence: _____

Reference : _____

Select the applicable reporting level

- Organization

- Investment manager or business unit

- Fund

Aligned with third-party standard:

Guideline name ▼

- Stand-alone sustainability report

Upload supporting evidence: _____

Select the applicable reporting level

- Organization

- Investment manager or business unit

- Fund

Aligned with third-party standard:

Guideline name ▼

- Integrated report

Upload supporting evidence: _____

Select the applicable reporting level

- Organization

- Investment manager or business unit

- Fund

Aligned with third-party standard:

Guideline name ▼

- Section on organizational website

Provide applicable hyperlink: _____

Reference: _____

Select the applicable reporting level

- Organization

- Investment manager or business unit

- Fund

Aligned with third-party standard:

Guideline name ▼

- Entity reporting to investors
- Upload supporting evidence: _____
- Reference: _____
- Aligned with third-party standard:

Guideline name ▼

- Other, indicate applicable reporting level
- Upload supporting evidence: _____
- Reference: _____
- Select the applicable reporting level
- Organization
- Investment manager or business unit
- Fund
- Aligned with third-party standard:

Guideline name ▼

- No

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

Intent Assess the entity's communication strategy for ESG information. Communication about ESG issues provides transparency and may act as an external and internal signal about the entity's commitment to effective management and performance.

Additional Instructions Acceptable evidence may include a clear example or examples of the entities ESG communications (e.g., link to relevant website, copy of sustainability report).

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: _____
- 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)

Intent

Assess the entity's use of third-party review for its ESG-related communications and data. Provisions for third-party review provide one indicator of the entity's commitment to data integrity. Rigorous third-party review may increase investor confidence in ESG-related claims. In some circumstances, the absence of third-party review may be a risk factor or motivation for further investigation.

Additional Instructions

Acceptable evidence may include the name of the entity that performed the review and documentation of the nature of review. Such evidence may include memo, letter, or similar indicating the nature of the review engagement (e.g., a cover sheet from the reviewer's report).

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)

Intent

Assess the entity's process to communicate ESG-related misconduct and penalties. The entity's communication process is one aspect of management controls necessary to provide investors with transparency about regulatory risks and liabilities.

Additional Instructions

This indicator focuses on the responding entity's communication process; not the contents of communications. Acceptable evidence may include official documents, charts, or similar material describing the responding entity's communication process for ESG-related misconduct and penalties. If this process was used during the reporting period, this may be supplemented with examples of communication materials (e.g., copies of documents, press releases, etc.). The responding entity may redact any information that is not required to validate the existence and operation of the communication process (e.g., details about any particular misconduct, penalty, etc.).

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%

(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)

Terminology

Air pollutants: Pollutants of major public health concern include but are not limited to, particulate matter, carbon monoxide, ozone, nitrogen dioxide and sulfur dioxide. *More Information:* World Health Organization (http://www.who.int/topics/air_pollution/en/)

Assured: Assurance applies the same standards and methodologies used for financial data to non-financial data and can only be provided by accredited auditors. It is the process of checking data as well as related data collection and management systems through a systematic, independent and documented process against predefined criteria or standards.

Audit committee structure: A corporate board of directors establishes an audit committee to assist in discharging its fiduciary responsibility. An effective audit committee is an important feature of a strong corporate governance culture, and should have a clear description of duties and responsibilities. *More Information:* KPMG (https://www.kpmg.com/RU/en/topics/Audit-Committee-Institute/Publications/Documents/toolkit/4_Creating%20an%20effective%20audit%20committee.pdf)

Biodiversity and habitat conservation: Biodiversity is an important natural resource with a range of direct and indirect benefits for society. Biodiversity is understood to include plant and animal species, natural habitats, and ecosystem services. Action to protect biodiversity, such as avoiding impacts on habitat for threatened and endangered plant and animal species, can avoid regulatory risks or stakeholder opposition. *More Information:* International Union for the Conservation of Nature (<http://www.iucn.org/what/biodiversity/about/biodiversity/>)

Bribery: The offering, giving, receiving or soliciting an item of value to influence the actions of an official or other person in charge of a public or legal duty. *More information:* Transparency International (https://www.transparency.org/whatwedo/publication/business_principles_for_countering_bribery)

Checked: A third-party review that does not comply with the definition of either Assurance or Verification.

Child labor: Child labor is work that children should not be doing because they are too young to work, or – if they have reached the minimum age – because it is dangerous or otherwise unsuitable for them. *More Information:* United Nations (<http://www.un.org/en/globalissues/briefingpapers/childlabour/intlconvs.shtml>)

Climate change: A change of climate that is attributed directly or indirectly to human activity that alters the composition of the global atmosphere. (Article 1 The United Nations Framework Convention on Climate Change (UNFCCC), 21 March 1994). *More Information:* United Nations Intergovernmental Panel on Climate Change (<https://unfccc.int/resource/docs/publications/handbook.pdf>)

Community: Community means persons or groups of people living and/or working in any areas that are economically, socially or environmentally impacted (positively or negatively) by the organization's operations. A community may be defined geographically, e.g., based on proximity to facilities. A community may also be defined based on social or economic relationships, e.g., employment or cultural connections. *More information:* International Finance Corporation (<http://www.ifc.org/wps/wcm/connect/1dc2e10048865811b3fef36a6515bb18/CommunityGuide.pdf?MOD=AJPERES>)

Community needs assessment: A community needs assessment identifies current conditions within a specified community. Most commonly, a common needs assessment may be used to identify and prioritize public health interventions. For infrastructure operators, a community needs assessment may be used to understand the prevalent of conditions such as asthma that may have direct or indirect connections to infrastructure operations (e.g., air pollution or access to clean water). *More Information:* Rotary (<https://www.rotary.org/myrotary/en/document/community-assessment-tools>)

Compensation committee structure/independence: Compensation decisions are central to the governance of many entities. Compensation committees or analogous organizations are established to govern employee compensation and ensure employee remuneration decisions are made in a fair, consistent, and independent manner. An independent compensation committee may be one indicator of effective governance.

Corruption: The abuse of entrusted power for private gain. *More Information:* Transparency International (<http://www.transparency.org/what-is-corruption/>)

Discrimination: Discrimination occurs when a person is treated less favorably than others because of characteristics that are not related to the person's competencies or the inherent requirements of the job. *More Information:* International Labor Organization (http://www.ilo.org/empent/areas/business-helpdesk/WCMS_DOC_ENT_HLP_BDE_EN/lang--en/index.htm)

Diversity: Similarities and differences in terms of age, cultural background, physical abilities and disabilities, race, religion, sex, and sexual orientation.

Environmental impact statement/report/assessment: A procedure that ensures that the environmental implications of decisions are taken into account (both positive and negative) before decisions are made. *More Information:* European Commission (<http://ec.europa.eu/environment/eia/home.htm>)

Environmental Management System (EMS): A framework for managing an organization's environmental impact based on its sustainability and related objectives. An EMS provides a logical framework for the assessment of environmental impacts, establishment of impact reduction targets, and the development of plans to achieve targeted reductions. An EMS enables an organization to take a structured approach to planning and implementing environmental protection measures. An effective EMS is analogous to a financial management system that monitors expenditure and income to support analysis of financial performance. An EMS should cover a range of environmental topics, such as energy, GHG emissions, water, waste, transportation, climate change, resilience, risks, and materials. An energy management system is not necessarily an EMS. *More Information: Australian Government Department of Environment (<http://www.environment.gov.au/node/20494>)*

Environmental issues: The impact on living and non-living natural systems, including land, air, water and ecosystems. This includes, but is not limited to, biodiversity, transport, and product and service-related impacts, as well as environmental compliance and expenditures.

Executive compensation: The financial and non-financial compensation of executives, in a manner that motivates executives to perform their roles in alignment with the entities objectives and risk tolerance.

Fiduciary duty: Duties owed by a fiduciary to a beneficiary. Examples of fiduciary duties include a duty of confidentiality, a duty of no conflict, and a duty not to profit from his position. A fiduciary is a person to whom power or property is entrusted for the benefit of another. *Baron's Financial, Practical Law.*

Forced or compulsory labor: All work or service that is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily. *More Information: International Labor Organization (<http://www.ilo.org/global/standards/subjects-covered-by-international-labour-standards/forced-labour/lang--en/index.htm>)*

Fraud: The offence of intentionally deceiving someone in order to gain an unfair or illegal advantage (financial, political or otherwise). *More Information: Transparency International (<https://www.transparency.org/glossary/term/fraud>)*

Governance issues: Governance structure and composition of the organization. This includes how the highest governance body is established and structured in support of the organization's purpose, and how this purpose relates to economic, environmental and social dimensions.

Greenhouse gas emissions: GHGs are the six gases listed in the Kyoto Protocol: carbon dioxide (CO₂); methane (CH₄); nitrous oxide (N₂O), hydrofluorocarbons (HFCs); perfluorocarbons (PFCs); and sulphur hexafluoride (SF₆). *More Information: United Nations Framework Convention on Climate Change (http://unfccc.int/ghg_data/items/3800.php)*

Hazardous waste: Hazardous waste is waste that is dangerous or potentially harmful to our health or the environment. *More Information: U.S. Environmental Protection Agency (<https://www3.epa.gov/epawaste/hazard/>)*

Independence of Board chair: a non-executive member of the board who does not have any management responsibilities within the organisation and is not under any other undue influence, internal or external, political or ownership, that would impede the board member's exercise of objective judgment. *More Information: Bank of International Settlements (<http://www.bis.org/bcbs/publ/d328.pdf>)*

Integrated report: A report that is aligned with the requirements of the International Integrated Reporting Council (IIRC) Integrated Reporting Framework. *More Information: International Integrated Reporting Council (<http://integratedreporting.org/resource/international-ir-framework/>)*

Invasive species: Invasive alien species are animals, plants or other organisms introduced by humankind into places out of their natural range of distribution, where they become established and disperse, generating a negative impact on the local ecosystem and species. *More Information: International Union for the Conservation of Nature (http://www.iucn.org/about/union/secretariat/offices/iucnmed/iucn_med_programme/species/invasive_species/)*

Labor standards and working conditions: Labor standards and working conditions are at the core of paid work and employment relationships. Generally speaking, working conditions cover a broad range of topics and issues, from working time (hours of work, rest periods, and work schedules) to remuneration, as well as the physical conditions and mental demands that exist in the workplace. *More Information: International Labour Organisation (<http://www.ilo.org/global/topics/working-conditions/lang--en/index.htm>)*

Lobbying activities: Any activity carried out to influence a government or institution's policies and decisions in favor of a specific cause or outcome. *More Information: Transparency International (<https://www.transparency.org/glossary/term/lobbying>)*

One share/one vote: Policy that ensures that shareholders hold equal voting rights, in which each share represents one vote. *More Information: CFA Institute (https://www.cfainstitute.org/ethics/topics/Pages/voting_rights.aspx)*

Political contributions: Disclosure of and guidelines for political contributions, such as the amounts and recipients of all monetary and non-monetary contributions made by an organization, which include political contributions made through third parties.

Resilience (adaptation) to climate change: Adaptation means anticipating the adverse effects of climate change and taking appropriate action to prevent or minimize the damage they can cause, or taking advantage of opportunities that may arise. It has been shown that well planned, early adaptation action saves money and lives later. Examples of adaptation measures include: using scarce water resources more efficiently; adapting building codes to future climate conditions and extreme weather events; building flood defences and raising the levels of dykes; developing drought-tolerant crops; choosing tree species and forestry practices less vulnerable to storms and fires; and setting aside land corridors to help species migrate. *More Information: European Commission* (http://ec.europa.eu/clima/policies/adaptation/index_en.htm)

Resilience to catastrophe/disaster: Disaster resilience is the ability of individuals, communities, organizations and states to adapt to and recover from hazards, shocks or stresses without compromising long-term prospects for development. *More Information: GSDRC* (<http://www.gsdrc.org/topic-guides/disaster-resilience/concepts/what-is-disaster-resilience/>)

Scope 1: GHG emission from greenhouse gas sources (greenhouse gas source physical unit or process that releases a GHG into the atmosphere) owned or controlled by the organization. (Direct GHG emissions: GRI Indicator G4-EN15). *More Information: Global Reporting Initiative* (<https://g4.globalreporting.org/specific-standard-disclosures/environmental/emissions/Pages/G4-EN15.aspx>)

Scope 2: Energy indirect greenhouse gas emission. GHG emission from the generation of imported electricity, heat or steam consumed by the organization. (Energy indirect GHG emissions: GRI Indicator G4-EN16). *More Information: Global Reporting Initiative* (<https://g4.globalreporting.org/specific-standard-disclosures/environmental/emissions/Pages/G4-EN16.aspx>)

Social Impact Assessment: The processes of analyzing, monitoring and managing the intended and unintended social consequences, both positive and negative, of planned interventions (policies, programs, plans, projects) and any social change processes invoked by those interventions. *More Information: International Association for Impact Assessment* (http://www.iaia.org/uploads/pdf/SIA_Guidance_Document_IAIA.pdf)

Stakeholder engagement: Engagement with individuals/entities that have an interest in the entity. *More Information: AA1000 Stakeholder Engagement Standard* (<http://www.accountability.org/standards/aa1000ses.html>)

Threatened & Endangered (T&E) species: Animal and plant species that are either on the IUCN Red list, or have been designated as threatened, endangered, or protected, by local or national governments. *More Information: International Union for the Conservation of Nature* (<http://www.iucnredlist.org/>)

Social issues: Concerns the impacts the organization has on the social systems within which it operates. *More Information: Global Reporting Initiative* (<https://www.globalreporting.org/standards/g4/Pages/default.aspx>)

Verified: The process of checking data as well as related data collection and management systems through a systematic, independent and documented process against predefined criteria or standards. Verification is only used for non-financial data; it applies different standards and can be performed by a wide range of accredited professionals.

Working conditions: Working conditions are at the core of paid work and employment relationships. Generally speaking, working conditions cover a broad range of topics and issues, from working time (hours of work, rest periods, and work schedules) to remuneration, as well as the physical conditions and mental demands that exist in the workplace. *More Information: International Labor Organization* (<http://www.ilo.org/global/topics/working-conditions/lang--en/index.htm>)

Whistleblower protection: Protection for whistleblowers from being fired or mistreated for reporting misconduct. *More information: International Finance Corporation* (<http://www.ifc.org/wps/wcm/connect/d145190048a7e693a757e76060ad5911/GCGF%2BPS0%2Bissue%2B5%2Bscreen.pdf?MOD=AJPERES>)

Appendix 1: Asset Assessment Entity & Reporting Characteristics

This appendix provides detailed information about answer choices for ER 9 'Infrastructure business activities and output measures'.

ER9

Infrastructure business activities and output measures

Select all applicable areas of infrastructure activity and assign a relative weight to each activity. This information will be used to identify peers with similar combinations of business activities. Weights must sum to 100%. The entity may assign even weights if percentage allocations cannot be calculated or represent proprietary information that cannot be conveyed to investors. Describe the weighting approach from the following options and explain the basis in the text box below:

Classify the method used to assign weights to business activities:

- Weights based on relative economic activity (e.g., revenue)
- Even weights
- Other method: _____

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

■ Energy generation

Fossil fuel generation _____ %

Regulatory regime(s)

Describe the entity's regulatory regime⁵: _____

Type of system and measures of capacity and output (for use in Performance Indicator 1⁶), multiple selections are possible

Coal

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Petroleum

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Natural gas

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Other gases:

Installed capacity: _____ (MW)

Generation: _____ (MWh)

⁵ "A regulatory regime is defined as a local, subnational, national, or regional area where there is a common regulatory framework". www.globalreporting.org/resourcelibrary/GRI-G4-Electric-Utilities-Sector-Disclosures.pdf.

⁶ Classification follows U.S. Energy Information Agency, report installed (MW), generated (MWh)

Other: _____

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Renewable generation, utility scale

_____ %

Regulatory regime(s)

Describe the entity's regulatory regime: _____

Type of system and measures of capacity and output (for use in Performance Indicator 1)

Biomass, wood

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Biomass, waste

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Solid waste combustion/incineration

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Geothermal

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Solar/PV

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Solar/CSP

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Wind, on-shore

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Wind, off-shore

Installed capacity: _____ (MW)

Generation: _____ (MWh)

- Renewable hydroelectric power, dam

Installed capacity: _____ (MW)

Generation: _____ (MWh)

- Renewable hydroelectric power, run-of-river

Installed capacity: _____ (MW)

Generation: _____ (MWh)

- Other: _____

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Renewable generation, distributed

_____ %

Regulatory regime(s)

Describe the entity's regulatory regime: _____

Type of generation and measures of capacity and output (for use in Performance Indicator 1)

- Solar/PV

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Number of generation locations: _____

- Other: _____

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Other Generation

_____ %

Regulatory regime(s)

Describe the entity's regulatory regime: _____

Type of generation and measures of capacity and output (for use in Performance Indicator 1)

- Nuclear Electric Power

Installed capacity: _____ (MW)

Generation: _____ (MWh)

- Hydroelectric pumped storage

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Conventional (large) hydroelectric power

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Other: _____

Installed capacity: _____ (MW)

Generation: _____ (MWh)

Combined Heat and Power _____ %

Regulatory regime(s)

Describe the entity's regulatory regime: _____

Type of system and measures of capacity and output (for use in Performance Indicator 1)

Diesel engine

Electric, capacity: _____ (MW)

Generation: _____ (MWh)

Thermal, capacity: _____ (Btu/kWh)

Generation: _____ (MMBtu)

Natural gas engine

Electric, capacity: _____ (MW)

Generation: _____ (MWh)

Thermal, capacity: _____ (Btu/kWh)

Generation: _____ (MMBtu)

Steam turbine

Electric, capacity: _____ (MW)

Generation: _____ (MWh)

Thermal, capacity: _____ (Btu/kWh)

Generation: _____ (MMBtu)

Gas turbine

Electric, capacity: _____ (MW)

Generation: _____ (MWh)

Thermal, capacity: _____ (Btu/kWh)

Generation: _____ (MMBtu)

Micro-turbine

Electric, capacity: _____ (MW)

Generation: _____ (MWh)

Thermal, capacity: _____ (Btu/kWh)

Generation: _____ (MMBtu)

Fuel cells

Electric, capacity: _____ (MW)

Generation: _____ (MWh)

Thermal, capacity: _____ (Btu/kWh)

Generation: _____ (MMBtu)

Other: _____

Electric, capacity: _____ (MW)

Generation: _____ (MWh)

Thermal, capacity: _____ (Btu/kWh)

Generation: _____ (MMBtu)

Energy Efficiency _____ %

Nature of business activity

Describe the nature of the entity's energy efficiency-related business activities: _____

Type of projects

Project finance

Other: _____

Primary measures of output (selected items will be used in Performance Indicator 1)

Number of projects: _____

Total electricity savings: _____ (MWh)

Total thermal energy savings: _____ (MMBtu)

Other: _____, _____ (units)

■ Energy Transmission and Distribution %**■ Electric Power Distribution** %

Regulatory regime(s)

Describe the entity's regulatory regime: _____

Size of system, select all that apply:

- Length of distribution system: _____ , _____ (units)
- Other: _____ , _____ (units)

Number of accounts

- Residential: _____ %
- Industrial: _____ %
- Commercial: _____ %

Primary measures of output (selected items will be used in Performance Indicator 1)

- Other: _____ , _____ (units)

■ Electric Power Storage %

Regulatory regime(s)

Describe the entity's regulatory regime: _____

Type of storage, select all that apply:

- Solid state batteries
- Flow batteries
- Flywheels
- Compressed air
- Thermal
- Pumped hydro-power

Describe the size of the entity's storage activity

- Total storage capacity: _____ , _____ (units)
- Other: _____ , _____ (units)

Primary measures of output (selected items will be used in Performance Indicator 1)

- Other: _____

Natural Gas Distribution %

Regulatory regime(s)

Describe the entity's regulatory regime: _____

Type of pipeline (select all that apply)

- Transnational
- Interstate
- Local distribution
- Other: _____

System size and capacity

- Maximum system capacity⁷: _____ , _____ (units)
- System length: _____ , _____ (units)
- Other: _____ , _____ (units)

Pipeline pressure

- High pressure: _____ , _____ (units)
- Low pressure: _____ , _____ (units)
- Other: _____ , _____ (units)

Primary measures of output (selected items will be used in Performance Indicator 1)

- Average volume distributed per day: _____ , _____ (units)
- Total volume distributed: _____ , _____ (units)
- Other: _____ , _____ (units)

Natural Gas Storage %

Regulatory regime(s)

Describe the entity's regulatory regime: _____

Type of natural gas storage

Describe the entity's gas storage activity: _____

System size and capacity

- Capacity, maximum working gas volume: _____ , _____ (units)
- Other: _____ , _____ (units)

Primary measures of output (selected items will be used in Performance Indicator 1)

- Average daily working gas volume: _____ , _____ (units)
- Annual total working gas volume: _____ , _____ (units)
- Other: _____ , _____ (units)

⁷ Capacity may be expressed in units such as million cubic feet per day or equivalent.

Telecommunications

Wired Telecommunications

Type of wired telecommunications

Describe the entity's activities: _____

Describe the system size: _____

Primary measures of output (selected items will be used in Performance Indicator 1)

Other: _____ , _____ (units)

Wireless Telecommunications

_____ %

Type of wireless telecommunications

Describe the entity's activities: _____

Number (e.g. towers): _____

Other: _____

Primary measures of output (selected items will be used in Performance Indicator 1)

Other: _____ , _____ (units)

Water Resource Management

Flood control

_____ %

Type of flood control activities

Describe the entity's activities: _____

Type of activities

Coastal flood control

Riverine flood control

Other: _____

System capacity or size

Maximum size or capacity: _____ , _____ (units)

Other: _____ , _____ (units)

Primary measures of output (selected items will be used in Performance Indicator 1)

Other: _____ , _____ (units)

Coastal and Riverine Locks

%

Type of activities

Describe the entity's activities: _____

Type of activities (select all that apply)

- Coastal locks
- Riverine locks
- Other: _____

System capacity or size

- Maximum size or capacity: _____ , _____ (units)
- Other: _____ , _____ (units)

Primary measures of output (selected items will be used in Performance Indicator 1)

- Other: _____ , _____ (units)

Water Supply

%

Type of water supply and irrigation systems

Describe the entity's activities: _____

Elements included:

- Water purification facilities
- Water storage facilities
- Pumping stations
- Pipe networks
- Other: _____

Risk Metrics, use: aqueduct.wri.org

Location used in Aqueduct:

- Postal address

Street address: _____

City: _____

State: _____

Country: _____

- Coordinates: _____ , _____ (latitude, longitude)

Data from Aqueduct (select if available):

- Overall water risk: _____
- Physical risk, quantity: _____
- Physical risk, quality: _____
- Access to (clean) water: _____

System capacity or size

- Maximum size or capacity: _____ , _____ (units)
- Other: _____ , _____ (units)

Primary measures of output (selected items will be used in Performance Indicator 1)

- Volume of water supplied: _____ , _____ (units)
- Other: _____ , _____ (units)

Sewer Line Systems _____ %

Type of sewer line systems

Describe the entity's activities: _____

Type of sewer line systems⁸ (select all that apply)

- Combined sewers
- Separate sewers
- Simplified sewers
- Solid free sewers
- Pressurized sewers
- Vacuum sewers
- Open channel drains
- Other: _____

Location used in Aqueduct (select if applicable):

- Postal address

Street address: _____

City: _____

State: _____

Country: _____

- Coordinates: _____ , _____ (latitude, longitude)

⁸ See UNESCO

Data from Aqueduct (select if applicable):

- Overall water risk: _____
- Physical risk, quantity: _____
- Physical risk, quality: _____
- Access to (clean) water: _____

System capacity and utilization

- Maximum size or capacity: _____ , _____ (units)
- Other: _____ , _____ (units)

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Volume of water treated: _____ , _____ (units)
- Other: _____ , _____ (units)

Sewage Treatment Facilities _____ %

Type of operations

Describe the entity's activities: _____

Risk Metrics, use: aqueduct.wri.org

Location used in Aqueduct:

- Postal address
 - Street address: _____
 - City: _____
 - State: _____
 - Country: _____
- Coordinates: _____ , _____ (latitude, longitude)

Data from Aqueduct (select if available):

- Overall water risk: _____
- Physical risk, quantity: _____
- Physical risk, quality: _____
- Access to (clean) water: _____

Context

Total wastewater volume produced in the region: _____

Percentage of wastewater produced in the region: _____

System capacity and utilization

- Maximum size or capacity: _____ , _____ (units)
- Other: _____ , _____ (units)

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Volume of water treated: _____ , _____ (units)
- Other: _____ , _____ (units)

Waste Treatment and Disposal _____ %

Nonhazardous Waste Treatment and Disposal _____ %

Type of operations

Describe the entity's activities: _____

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Waste handled: _____ , _____ (units)
- Other: _____ , _____ (units)

Hazardous Waste Treatment and Disposal _____ %

Type of operations

Describe the entity's activities: _____

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Waste handled: _____ , _____ (units)
- Other: _____ , _____ (units)

Transportation

Airport _____ %

Type of operations

Describe the entity's activities: _____

Airport identifier

- IATA Code ([IATA](#)): _____

Type of airport (Classification from US FAA)

- | | |
|--|---|
| <input type="checkbox"/> Large hub | <input type="checkbox"/> Non-primary commercial service |
| <input type="checkbox"/> Medium hub | <input type="checkbox"/> Reliever |
| <input type="checkbox"/> Small hub | <input type="checkbox"/> General aviation |
| <input type="checkbox"/> Non-hub primary | <input type="checkbox"/> Other: _____ |

Primary measure(s) of output (selected items will be used in Performance Indicator 1)⁹

- Total passengers: _____
- Total cargo: _____ (metric tons)¹⁰
- Other: _____ , _____ (units)

Railroad _____ %

Type of operations

Describe the entity's activities: _____

Type of rail network, select all that apply:

- Line-Haul Railroad
- Short Line Railroad
- Other: _____

System size

- Length of rail system: _____ , _____ (units)

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Total passenger distance traveled: _____ , _____ (units)
- Total cargo handled: _____ , _____ (units)
- Other: _____ , _____ (units)

Rolling Stock _____ %

Type of operations

Describe the entity's activities: _____

Type of rolling stock:

- | | |
|---|-------------------------------------|
| <input type="checkbox"/> Aerial tram | <input type="checkbox"/> Light rail |
| <input type="checkbox"/> Automated guideway | <input type="checkbox"/> Monorail |
| <input type="checkbox"/> Heavy rail | <input type="checkbox"/> Streetcar |
| <input type="checkbox"/> Hybrid rail | <input type="checkbox"/> Subway |
| <input type="checkbox"/> Other: _____ | |

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Number of rolling stock units: _____
- Total cargo handled: _____ , _____ (units)
- Other: _____ , _____ (units)

⁹ See [US BTS](#) or [Airport Council International](#)

¹⁰ Total airport cargo, see [Airports Council International](#)

Transportation System _____%

Type of operations

Describe the entity's activities: _____

System size

- System length: _____ , _____ (units)
- Number of rail cars: _____
- Number of tram cars: _____
- Number of buses: _____
- Number of ferries: _____
- Other: _____

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Total passenger distance traveled: _____ , _____ (units)
- Other: _____

Ports

Type of operations

Describe the entity's activities: _____

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Container traffic (TEU)¹¹: _____
- Total cargo handled: _____ , _____ (units)
- Other: _____ , _____ (units)

Toll Road Operations _____%

Type of operations

Describe the entity's activities: _____

Type of roadway, select all that apply:

- Tunnel(s)
- Bridge(s)
- Road, single
- Road, multiple/network
- Other: _____

System size

- Length of roadway: _____ , _____ (units)

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Number of vehicles: _____

- Distance traveled: _____ , _____ (units)

- Other: _____ , _____ (units)

Social

Schools

_____ %

Type of operations

Describe the entity's activities: _____

Type of school, select all that apply:

- Elementary and Secondary

- Junior college

- College, university

- Business, secretarial

- Miscellaneous education

- Other: _____

Size and capacity

- Floor area of facilities (gross): _____ , _____ (units)

- Number of facilities: _____

- Student population: _____

- Other: _____ , _____ (units)

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Other: _____ , _____ (units)

Convention

_____ %

Type of operations

Describe the entity's activities: _____

Size and capacity

- Floor space of facilities (gross): _____ , _____ (units)

- Number of facilities: _____

- Other: _____ , _____ (units)

¹¹ TEU: twenty-foot equivalent units, see [AAPA Port Rankings](#)

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Number of visitors: _____
- Other: _____, _____ (units)

Government Buildings _____ %

Type of operations

Describe the entity's activities: _____

Type of government buildings (select all that apply):

- | | |
|---|---|
| <input type="checkbox"/> Education | <input type="checkbox"/> Office |
| <input type="checkbox"/> Food sales/service | <input type="checkbox"/> Public assembly |
| <input type="checkbox"/> Health care (inpatient) | <input type="checkbox"/> Public order and safety (including courts) |
| <input type="checkbox"/> Health care (outpatient) | <input type="checkbox"/> Religious worship |
| <input type="checkbox"/> Lodging | <input type="checkbox"/> Service |
| <input type="checkbox"/> Mercantile | <input type="checkbox"/> Warehouse and storage |
| <input type="checkbox"/> Military | <input type="checkbox"/> Other: _____ |

Size

- Floor space of facilities (gross): _____, _____ (units)
- Number of facilities: _____
- Other: _____, _____ (units)

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Number of occupants: _____
- Other: _____, _____ (units)

Aged care _____ %

Type of operations

Describe the entity's activities: _____

Type of aged care

- Nursing care facilities
- Assisted living facilities
- Other: _____

Size

- Floor space of facilities: _____, _____ (units)
- Number of facilities: _____, _____ (units)

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Number of residents: _____
- Other: _____ , _____ (units)

Correctional Facilities

_____ %

Type of operations

Describe the entity's activities: _____

Type of correctional facility

- Juvenile facilities
- Local jail
- State or regional prison
- National prison
- Other: _____

Size

- Design capacity (number of beds): _____
- Floor space of facilities (gross): _____ , _____ (units)
- Number of facilities: _____
- Other: _____ , _____ (units)

Primary measure(s) of output (selected items will be used in Performance Indicator 1)

- Imprisoned population: _____
- Other: _____ , _____ (units)

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

Appendix 2: Exchanges

Australian Securities Exchange	[ASX]
BM&F Bovespa	
BME Spanish Exchanges	
Bombay Stock Exchange	[BSE]
Deutsche Börse	
Euronext	
Japan Exchange Group	[JPX]
JSE Limited	
Korea Exchange	[KRX]
London Stock Exchange Group	[LSE]
NASDAQ Stock Market	
National Stock Exchange of India	[NSE]
New York Stock Exchange	[NYSE]
OMX Nordic Exchange	
Hong Kong Stock Exchange	[SEHK]
SIX Swiss Exchange	
Shanghai Stock Exchange	[SSE]
Shenzhen Stock Exchange	[SZSE]
TMX Group	
Taiwan Stock Exchange	[TWSE]

Appendix 3: Abbreviations

BREEAM	Building Research Establishment Environmental Assessment Methodology
CEEQUAL	Civil Engineering Environmental Quality Assessment and Award Scheme
EMS	Environmental Management System
ESG	environmental, social, governance
GIIA	Global Infrastructure Investor Association
GRI	Global Reporting Initiative
ISIN	International Securities Identification Number
ILO	International Labour Organization
ISO	International Organization for Standardization
LEED	Leadership in Energy and Environmental Design
LTIIA	Long Term Infrastructure Investors Association
PRI	Principles for Responsible Investment
UNEP	United Nations Environmental Programme

Appendix 4: Unit Conversion Table

Heat and energy

1 mega joule	239.0 kilocalories
	947.8 Btu
	0.278 kilowatt hours (kWh)
1 Gigawatt hour (GWh)	1000 Megawatt hour (MWh)
1 kilowatt hour (kWh)	860.4 kilocalories
	0.001 Megawatt hour (MWh)
	3412.1 Btu
1 million Btu	1055 mega joules
	252.2 mega calories
	293.1 kilowatt hours (kWh)
	0.29307 Megawatt hour (MWh)
1 ton-hour	0.003516 Megawatt hour (MWh)

Cubic measures

1 liter	0.01 hectoliter
	0.035 cubic foot
	0.001 cubic meter
	0.220 Imperial gallon
	0.264 American gallon
1 American gallon	0.134 cubic foot
	0.003785 cubic meter
	3.785 liters
	0.833 Imperial gallon
	0.024 American barrel
1 cubic foot	0.028 cubic meter
	28.317 liters
	6.229 Imperial gallons
	7.481 American gallons
	0.1781 American barrel
1 Imperial gallon	0.161 cubic foot
	0.00456 cubic meter
	4.546 liters
	1.201 American gallons
	0.029 American barrel
1 American barrel	5.615 cubic feet
	0.159 cubic meter
	158.99 liters
	34.973 Imperial gallons
	42 American gallons

1 cubic meter	35.315 cubic feet
	1.000 liters
	219.97 imperial gallons
	264.17 American gallons
	6.290 American barrels

Areas

1 square foot	0.093 square meter
1 square meter	10.764 square feet
1 square yard	1.196 square meter
1 square mile	2.59 square kilometer
1 acre	4,046.86 square meter 43,560 square feet

Mass

1 metric ton	1,000 kilogram
1 pound	0.45359 kilogram 0.00045 metric tonnes
1 short ton	2,000 pounds 0.90718 metric tonnes

Appendix 5: Industry Associations

This is a partial list of potential industry associations. This list is not complete or exhaustive, and responding entities are encouraged to add additional associations.

General Associations

- Global Infrastructure Investor Association (GIIA)
- Long Term Infrastructure Investors Association (LTIIA)

Industry Specific Associations

Energy, Conventional Generation

- American Gas Association
- Canadian Gas Association
- International Association of Oil & Gas Producers
- World Coal Association
- Coal Association of Canada
- American Coal Council
- Nuclear Industry Association
- Nuclear Industry Association of South Africa
- World Association of Nuclear Operators
- Canadian Nuclear Association
- American Petroleum Institute

Energy, Renewable Energy Generation

- International Renewable Energy Alliance (IRENA)
- World Wind Energy Association (WWEA)
- International Solar Energy Society (ISES)
- International Hydropower Association (IHA)
- International Geothermal Association
- World Bioenergy Association
- Geothermal Energy Association
- Solar Energy Industries Association (SEIA)
- American Wind Energy Association (AWEA)
- American Council for Renewable Energy (ACORE)

Energy Transmission and Distribution

- National Association of Electrical Distributors
- Canadian Energy Pipeline Association

Energy Storage

- Carbon Capture and Storage Association

District Energy

- International District Energy Association

Social, Schools

- National Association of Independent Schools

Social, Convention Centers

- International Association of Conference Centers

Social, Parking

- British Parking Association
- Green Parking Garage Council

Telecommunication, Wired

- United States Telecom Association

Telecommunication, Wireless

- PCIA - The Wireless Infrastructure Association
- CTIA – The Wireless Association

Transportation, Roadways

- World Road Association

Transportation, Railways

- Association of American Railroads
- International Union of Railways
- American Public Transport Association

Transportation, Ferry

- Interferry

Transportation, Airport

- Airports Council International

Transportation, Ports

- International Association of Ports and Harbors
- American Association of Port Authorities (AAPA)
- European Seaport Organization

Waste Management, Solid

- National Waste & Recycling Association
- National Association of Sewer Service Companies

Waste Management, Hazardous

- World Nuclear Transport Institute

Water Resource Management

- American Water Works Association
- National Rural Water Association