



G R E S B[®]
INFRASTRUCTURE

2017 Fund Assessment

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About GRESB

GRESB is an investor-driven organization that is transforming the way we assess the environmental, social and governance (ESG) performance of real assets globally, including real estate portfolios and infrastructure assets. More than 250 members, of which about 60 are pension funds and their fiduciaries, use the GRESB data in their investment management and engagement process, with a clear goal to optimize the risk/return profile of their investments. GRESB has assessed more than 1,100 property companies and funds, on behalf of more than 60 institutional investors.

About the 2017 GRESB Infrastructure Assessment

The GRESB Infrastructure Assessment is a unique tool for systematic assessment, objective scoring, and peer benchmarking of the ESG performance of infrastructure investments. The GRESB Infrastructure Assessment is designed to address the need of institutional investors for information about critical aspects of ESG performance through a flexible, globally applicable reporting and benchmarking framework.

The GRESB Infrastructure Assessment has an initial focus on operating investments, infrastructure assets, companies and funds. GRESB Infrastructure covers a variety of infrastructure sectors, including:

- Energy generation (including renewables)
- Energy distribution
- Telecommunications
- Transportation
- Water supply and treatment
- Social infrastructure (e.g., convention, aged care, schools, others)

The GRESB Infrastructure Assessment provides infrastructure investors with actionable information and the tools they need to accurately monitor and manage the sustainability risks of their assets, and to prepare for increasingly rigorous ESG obligations. GRESB Infrastructure provides a consistent framework for investors to collect and compare key ESG and related performance metrics across their infrastructure assets worldwide.

Subscribers to GRESB Infrastructure can use the information provided by GRESB to better understand immediate sustainability risks, to engage with the management of their investments, to take advantage of ESG-related investment opportunities and to report to constituents and other stakeholders.

Entity and Reporting Characteristics

Entity Characteristics

EC1 Name of entity

Legal name _____

Fund manager _____

EC2 Business location

Fund Registered Office

Street address _____

City _____

Postcode _____

Country _____

Fund Manager Office

Street address _____

City _____

Postcode _____

Country _____

EC3 Nature of the fund entity

Listed fund

ISIN _____

Other identifier _____

Private fund

Open end fund

Closed end fund

Other _____

EC4 Reporting period

Calendar year

Fiscal year. Specify the starting month and year _____

EC5 Does the fund have sustainable investment objectives? (for reporting purposes only)

Yes

Describe the objectives and how they are implemented (maximum 250 words)

No

EC6 Does the fund have an ESG strategy? (for reporting purposes only)

Yes

Describe the strategy and how it is implemented (maximum 250 words)

No

Reporting Characteristics

RC1 Reporting currency

Values are reported in

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

RC2 Sectoral Focus

The sectoral focus is

- Diversified
- Sector specific
 - Energy, conventional
 - Energy, renewable
 - Telecommunications
 - Water resources
 - Waste
 - Transportation
 - Social
 - Other _____

RC3 Capital commitment and asset value

Primary measure(s) of the economic size of the entity (in millions)

- Committed capital (requirement) _____ Currency
- Invested capital _____ Currency
- Net asset value _____ Currency
- Other _____ Currency

RC4 Geographic Focus

- Globally diversified
- Regional focus
 - North America
 - Europe
 - Oceania
 - Asia
 - Central America
 - South America
 - Middle East
 - Africa
 - Other _____

Fund Management & Investment Process

2016 Indicator

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

FUND1

Yes

Policies address (select all that apply)

Environmental issues

Last reviewed and/or updated _____

Social issues

Last reviewed and/or updated _____

Governance issues

Last reviewed and/or updated _____

Can the entity provide evidence as an Upload or URL?

Yes

Upload OR URL _____

Indicate where in the evidence the relevant information can be found _____

No

No

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

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

FUND2

Yes

Formal commitments include (select all that apply)

UN Global Compact

PRI

If so, did you report? (for reporting purposes only)

Yes

Can you upload the report?

Yes

Upload OR URL _____

No

No, please explain why _____

Equator Principles

International Labour Organization (ILO) Standards

Institutional Investors Group on Climate Change (IIGCC)

Other _____

Can the entity provide evidence as an Upload or URL?

Yes

Upload OR URL _____

Indicate where in the evidence the relevant information can be found _____

No

No

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

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

FUND3

Yes

Provide the details of the individual responsible

Name/organization name _____

Job title _____

E-mail _____

LinkedIn profile (optional) _____

The individual is a(n)

Dedicated employee for whom sustainability is the core responsibility

Employee for whom sustainability is among their responsibilities

External consultant/manager

Other _____

No

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

FUND4 Does the entity have a senior decision-maker accountable for ESG issues?

NEW

Yes

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

Name/organization name _____

Job title _____

E-mail _____

LinkedIn profile (optional) _____

The individual is part of

Senior management team

Investment committee

Investment team

Asset management team

Other _____

No

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

Yes

Elements of the investment process

Screening

Describe how ESG risks and/or opportunities are integrated in the screening process and describe which tools are used

Due diligence

Describe how ESG risks and/or opportunities are integrated in the due diligence process and describe which tools are used

Investment decision making

Describe how ESG risks and/or opportunities are integrated in the investment decision making process and describe which tools are used

Other _____

Describe how ESG risks and/or opportunities are integrated in the process and describe which tools are used

Can the entity provide evidence as an Upload or URL?

Yes

Upload OR URL _____

Indicate where in the evidence the relevant information can be found____

No

No

Yes

Elements included (1)	Description (2)	Frequency (3)
Select classification ▼		Select frequency ▼
Select classification ▼		Select frequency ▼
Select classification ▼		Select frequency ▼

Can the entity provide evidence as an Upload or URL?

Yes

Upload OR URL _____

Indicate where in the evidence the relevant information can be found_____

No

No

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

Explanation of fields in table

(1) Classify the element

- ▼ Integrate ESG-related issues into business plans
- ▼ Reporting of ESG-related KPIs
- ▼ Discuss ESG-related issues during Board meetings
- ▼ Other communications with management _____
- ▼ Other _____

(2) Provide a description

(3) Classify the frequency

- ▼ weekly
- ▼ monthly
- ▼ quarterly
- ▼ annually
- ▼ ad hoc
- ▼ other _____
- ▼ n/a

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

Yes

Based on the information collected, does the entity

Track real time performance of assets

Track performance against targets

Analyze performance trends over time

Compare performance to peers or benchmarks

Other _____

Can the entity provide evidence as an Upload or URL?

Yes

Upload OR URL _____

Indicate where in the evidence the relevant information can be found_____

No

No

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

Yes

Select all of the following applicable to the entity

Section in Annual Report

Upload OR URL _____

Indicate where in the evidence the relevant information can be found _____

Select the applicable reporting level

- Organization
- Investment manager or business unit
- Fund

Aligned with third-party standard

Stand-alone sustainability report

Upload OR URL _____

Indicate where in the evidence the relevant information can be found _____

Frequency of reporting _____

Select the applicable reporting level

- Organization
- Investment manager or business unit
- Fund

Aligned with third-party standard

Integrated Report

Upload OR URL _____

Indicate where in the evidence the relevant information can be found _____

Frequency of reporting _____

Select the applicable reporting level

- Organization
- Investment manager or business unit
- Fund

Aligned with third-party standard

Section on organizational website

Upload OR URL _____

Indicate where in the evidence the relevant information can be found _____

Select the applicable reporting level

- Organization
- Investment manager or business unit
- Fund

Aligned with third-party standard

Entity reporting to investors

Upload OR URL _____

Indicate where in the evidence the relevant information can be found _____

Frequency of reporting _____

Select the applicable reporting level

- Organization
- Investment manager or business unit
- Fund

Aligned with third-party standard

Other _____

Upload OR URL _____

Indicate where in the evidence the relevant information can be found _____

Frequency of reporting _____

Select the applicable reporting level

- Organization
- Investment manager or business unit
- Fund

Aligned with third-party standard

No

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

Yes

Select all of the following applicable to the entity

Section in Annual Report

Internally verified by (name/department) _____

Externally checked by _____

Externally verified by _____

Externally assured by _____

Stand-alone sustainability report

Internally verified by (name/department) _____

Externally checked by _____

Externally verified by _____

Externally assured by _____

Integrated Report

Internally verified by (name/department) _____

Externally checked by _____

Externally verified by _____

Externally assured by _____

Investor reporting

Internally verified by (name/department) _____

Externally checked by _____

Externally verified by _____

Externally assured by _____

Other _____

Internally verified by (name/department) _____

Externally checked by _____

Externally verified by _____

Externally assured by _____

Can the entity provide evidence as an Upload or URL?

Yes

Upload OR URL _____

Indicate where in the evidence the relevant information can be found _____

No

No

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

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

FUND10

Yes

The entity would communicate misconduct, penalties, incidents or accidents to

- Investors
- Public
- Other stakeholders _____

Application of the communication process (for reporting purposes only)

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

Describe the process (maximum 250 words)

No

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

Summary of Entity Assets

Please summarize the entity's assets using the below table.

Asset Name	Asset Sector (1)	Asset Weight (2)	Nature of Investment (3)	Type of asset (4)	Ownership (5)	Contact Name (6)	E-mail (7)
	Select sector ▼	%	Select investment nature ▼		Select % ▼		
	Select sector ▼	%	Select investment nature ▼		Select % ▼		
	Select sector ▼	%	Select investment nature ▼		Select % ▼		

Classify basis for weighting assets

- Fraction of asset value
- Even weights
- Other _____

(1) Classification of primary business activity(ies) of the asset

- ▼ 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) Type of asset

- ▼ Operational
- ▼ Greenfield

(5) Classify ownership

- ▼ > 0, <25%
- ▼ >= 25, <50%
- ▼ >= 50, <75%
- ▼ >= 75, <100%
- ▼ 100%

(6) Contact name

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

(7) E-mail

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

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