2016
GRESB Infrastructure Fund Assessment
April 1, 2016
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**Entity & Reporting Characteristics**
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**Fund Management & Investment Process**
- FUND1: Does the organization have an ESG policy or policies that apply to this entity?
- FUND2: Has the organization made a commitment to ESG leadership standards or groups that applies to investments in this entity?
- FUND3: Does the entity have an individual with responsibility for ESG issues?
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- FUND8: Does the organization communicate about the ESG performance of this entity?
- FUND9: Does a third party review the organization’s ESG disclosures?
- FUND10: Does the organization communicate information about ESG-related misconduct or penalties associated with the entity?

**Summary of Entity Assets**
Entity & Reporting Characteristics

**ER1 Entity legal name**

Common name ________________
Legal name ________________
Fund manager ________________

**ER2 Business location**

- Fund Registered Office:
  - Street address: ________________
  - City: ________________
  - Postcode: ________________
  - Country: ________________

- Fund Manager Office¹:
  - Street address: ________________
  - City: ________________
  - Postcode: ________________
  - Country: ________________

**ER3 Reporting period**

- Calendar year
- Fiscal year
  - Specify the starting month ________________

¹ The office principally responsible for the management of this entity.
ER4 Reporting currency

Values are reported in:

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

ER5 Nature of the fund entity

The fund is a:

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

ER6 Sectoral Focus

- Diversified
- Sector specific
  - Energy, conventional
  - Energy, renewable
  - Telecommunications
  - Water Resources
  - Waste
  - Transportation
  - Social
  - Other: ________________
**ER7**  
**Geographic Focus**

Select all that apply:
- North America
- Europe
- Australia
- Asia
- Central America (including Mexico)
- South America
- Middle East
- Africa
- Other: ________________

**ER8**  
**Capital commitment and asset value**

Primary measure(s) of the economic size of the entity:
- Committed capital: ________________  
  Currency ▼
- Invested capital: ________________  
  Currency ▼
- Net asset value: ________________  
  Currency ▼
- Other: ________________  
  Currency ▼
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
  - SUPPORTING evidence OR provide URL: ____________________________
  - Reference: ____________________________
- No

No

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

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

- Yes
- Formal commitments include (select all that apply):
  - UN Global Compact
  - PRI
  - Equator Principles
  - Internal Labour Organization (ILO) Standards
  - Other: ____________________________

Can the entity provide evidence as an UPLOAD or URL?

- Yes
  - SUPPORTING evidence OR provide URL: ____________________________
  - Reference: ____________________________
- No

No

Provide additional context for the answer provided (maximum 250 words)
**FUND3** Does the entity have an individual with responsibility for ESG issues?

- Yes
  - Name: ________________
  - Job title: ________________
  - E-mail: ________________
  - LinkedIn profile (optional): ________________

  The individual is part of
  - Board of Directors
  - Senior management team
  - Investment committee
  - Investment team
  - Asset management
  - Other: ________________

- No

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

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

- Yes

  Elements of the investment process including ESG factors:
  - Sourcing
  - Screening
  - Due diligence
  - Investment proposal
  - Approval
  - Asset management
  - Other: ________________

  Can the entity provide evidence as an UPLOAD or URL?

  - Yes

    [UPLOAD] Supporting evidence OR provide URL: ________________

    Reference: ________________

  - No

- No

Provide additional context for the answer provided (maximum 250 words)
**FUND5** Does the organization collect information about the ESG management and performance for the assets in this entity?

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

Can the entity provide evidence as an UPLOAD or URL?

- Yes
  - [UPLOAD] supporting evidence OR provide URL: 
  - Reference: 
- No
- No

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

**FUND6** Does the organization analyze ESG data from this entity?

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

Can the entity provide evidence as an UPLOAD or URL?

- Yes
  - [UPLOAD] Supporting evidence OR provide URL: 
  - Reference: 
- No
- No

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

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2 Aligned with [UNEP Finance Initiative](https://www.unep-fund.org)
FUND7  Does the organization engage with its investments to improve the ESG performance of this entity?

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

Can the entity provide evidence as an UPLOAD or URL?

- Yes
  - [UPLOAD] Supporting evidence OR provide URL: ___________________
  - Reference: ___________________

- No

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

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

- Yes

Select all of the following applicable to the entity:

- Section in Annual Report, indicate applicable reporting level
  - Organization
  - Investment manager or business unit
  - Fund
  - Aligned with third-party standard: [Guideline name]

- Stand-alone sustainability report, indicate applicable reporting level
  - Organization
  - Investment manager or business unit
  - Fund
  - Aligned with third-party standard: [Guideline name]

- Integrated report, indicate applicable reporting level
  - Organization
  - Investment manager or business unit
  - Fund
  - Aligned with third-party standard: [Guideline name]
### Section on organizational website, indicate applicable reporting level
- Organization
- Investment manager or business unit
- Fund
- Aligned with third-party standard: [Guideline name]

### Other, indicate applicable reporting level
- Organization
- Investment manager or business unit
- Fund
- Aligned with third-party standard: [Guideline name]
- Reporting interval

Can the entity provide evidence as an UPLOAD or URL?
- Yes
  - ![UPLOAD] supporting evidence OR provide URL: ______________________
  - Reference: ________________________________________________________
- No

Provide additional context for the answer provided (maximum 250 words)
Does a third party review the organization’s ESG disclosures?

- Yes

Select all of the following applicable to the entity:

- Section in Annual Report
  - Externally checked by: ______________________
  - Externally verified by: ______________________
  - Externally assured by: ______________________

- Stand-alone sustainability report
  - Externally checked by: ______________________
  - Externally verified by: ______________________
  - Externally assured by: ______________________

- Integrated report
  - Externally checked by: ______________________
  - Externally verified by: ______________________
  - Externally assured by: ______________________

- Entity reporting to investors
  - Externally checked by: ______________________
  - Externally verified by: ______________________
  - Externally assured by: ______________________

- Section on organizational website, indicate applicable reporting level
  - Externally checked by: ______________________
  - Externally verified by: ______________________
  - Externally assured by: ______________________

- Other
  - Externally checked by: ______________________
  - Externally verified by: ______________________
  - Externally assured by: ______________________

Can the entity provide evidence as an UPLOAD or URL?

- Yes
  - UPLOAD: Supporting evidence OR provide URL: ______________________
  - Reference: ________________________________

- No

Provide additional context for the answer provided (maximum 250 words)
**FUND10** Does the organization communicate information about ESG-related misconduct or penalties associated with the entity?

- Yes

**Communication process**

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

**Application of the communication process**

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

**Can the entity provide evidence as an UPLOAD or URL?**

- Yes
  - **UPLOAD** Supporting evidence OR provide URL: ______________________
  - Reference: ______________________
- No

**Provide additional context for the answer provided (maximum 250 words)**
## Summary of Entity Assets

Please list the entity’s holdings:

<table>
<thead>
<tr>
<th>Asset Name</th>
<th>Asset Sector (1)</th>
<th>Asset Weight (2)</th>
<th>Nature of Investment (3)</th>
<th>Ownership (4)</th>
<th>Contact Name (5)</th>
<th>Email (6)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asset 1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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%

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3 Percentage ownership
(5) Contact name
List the name of the individual primarily responsible for ESG issues for the asset

(6) Email
Contact email for the individual primarily responsible for ESG issues for the asset.

Provide additional context for the answer provided [maximum 250 words]