

G R E S B[®]
INFRASTRUCTURE

2017 Asset Reference Guide

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About GRESB

GRESB is an investor-driven organization that is transforming the way we assess environmental, social and governance (ESG) performance of real assets globally, including real estate portfolios, real estate debt providers and infrastructure assets. More than 250 members, of which about 60 are 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.

Overview of GRESB Assessments

GRESB Real Estate Assessment

The GRESB Real Estate Assessment collects information on the ESG performance of property companies and funds. This includes information on performance indicators such as energy, GHG emissions, water and waste. In addition, the Assessment covers broader ESG issues such as sustainability risk assessments, performance improvement programs and engagement with employees, tenants, suppliers and the community. The GRESB Real Estate Assessment is aligned with international reporting frameworks such as GRI and PRI.

The 2017 GRESB Real Estate Assessment remains consistent with the 2016 version. Only small changes have been implemented following extensive engagement with the real estate industry through the GRESB Advisory Board, Benchmark Committees, and Technical Working Groups.

GRESB Developer Assessment

In addition to the GRESB Real Estate Assessment, GRESB also provides a stand-alone GRESB Developer Assessment that focuses on development activities rather than the management of standing investments. The GRESB Developer Assessment evaluates the ESG performance of development focused companies and funds, focusing on policies, strategies, and measures related to new construction and major renovation projects.

Who should complete the GRESB Developer Assessment?

- Organizations that develop projects, or acquire development projects, with the aim to sell the projects at completion. Projects can be developed to a tenant's specification (build to suit), commissioned by an investment manager, or can be developed at risk;
- Organizations that acquire properties exclusively for redevelopment and resale;
- Organizations that manage standing investments as a by-product of their development activities, and for whom the development activities are considered to be the core business.

The GRESB Developer Assessment consist of a subset of indicators from the GRESB Real Estate Assessment, plus the 14 indicators in the New Construction & Major Renovations (NC&MR) Aspect.

Supplement: Health & Well-being Module

The Health & Well-being Module is an optional supplement to the GRESB Real Estate Assessment. The purpose of the Module is to understand how the entity is promoting the health & well-being of entire populations, such as employees, tenants and community members. Indicators in the Module are not intended to address individuals, and information identifying individuals is not requested for any Health & Well-being Module indicator. Entities should not submit any evidence that contains potentially confidential information on the health & well-being of individuals.

Supplement: NAREIT Leader in the Light

GRESB is closely associated with the National Association of Real Estate Investments Trusts (NAREIT) as one of our partners. NAREIT encourages its corporate members to complete the annual GRESB Real Estate Assessment, which, for the past five years, has been the basis for their annual Leader in the Light Award competition.

The Leader in the Light Awards are presented to REITs in eight property sectors: Diversified, Global (for non-U.S. companies), Health Care, Industrial, Lodging/Resorts, Office, Residential and Retail. If there are both large and small-cap entries that meet the awards criteria in a given property sector, awards are presented to both the leading large and small cap companies.

To participate in the Leader in the Light Award program, NAREIT members must complete both the GRESB Real Estate Assessment and the Leader in the Light Supplement. Once all sections of the GRESB Real Estate Assessment are completed, including the Leader in the Light Supplement, participants are able to submit their entire submission which will automatically be included in the Leader in the Light Award competition.

GRESB Debt Assessment

The GRESB Debt Assessment is an ESG engagement and benchmarking tool for primary lenders including regional and national banks, insurance companies, private equity debt funds and mortgage REITs. The benchmark is specifically tailored to real estate lenders with focus on sustainability actions related to:

- Corporate ESG policies and business unit implementation
- Loan origination, due diligence and stakeholder engagement processes
- Property-level collateral monitoring methods
- Targeted loan programs and asset upgrade financing offerings

The GRESB Debt Assessment results provide opportunities to identify organizational strengths alongside areas for ESG performance improvement, both in absolute terms and relative to peers. Participants utilize their individualized benchmark as an internal and external engagement toolkit to inform forward business planning and stakeholder communication efforts by providing:

- Management evaluation opportunities
- Gap analysis through the identification of industry best practices
- Due diligence, loan monitoring and risk management process introspection
- Market insights to inform new or enhanced loan products

For mortgage REITs and private equity real estate funds, the GRESB Debt Assessment serves as an outward-facing communication tool to GRESB institutional investor members, and to the capital markets more broadly. Annual participation communicates commitment to ESG management practices and the incorporation of sustainability techniques into commercial real estate lending.

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 and 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. It is a consistent framework allowing investors to collect and compare key ESG and related performance metrics across their infrastructure assets worldwide.

GRESB Infrastructure Members 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.

GRESB Insights

ESG considerations are now a well-established topic in the global real asset sectors. In the dynamic and fast-moving sustainability space, the development and integration of ESG best practices into decision-making varies widely across regions and sectors. With its global and multi-sector coverage, GRESB is well positioned to document innovation in real assets sectors. GRESB's ambition is to promote and highlight innovative approaches and best practices in the implementation of sustainability and has developed a publicly available knowledge-sharing platform: GRESB Insights. This platform documents innovative approaches to the integration of ESG best practices into the management and development of real assets.

GRESB participants can submit innovation case studies via the Insights section of the public GRESB website, throughout the year, and may be selected for publication on GRESB Insights. The submitted case studies will also be accessible to participants and investors via the GRESB Portal.

Assistance with the GRESB Assessments

If you need assistance or have Assessment-related questions you can:

- 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 answer your query within two working days
- Contact one of our Partners (see www.gresb.com for more details).
- 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.

Providing Feedback

Participants can give feedback during the Assessment process and immediately after submitting their Assessment response using the evaluation form available in the Portal or by sending a direct email to info@gresb.com.

Introduction

About the 2017 GRESB Infrastructure Reference Guide

This Guide accompanies the 2017 GRESB Infrastructure Assessments (referred to as 'the Assessments'). Guidance is included for all Assessment indicators that form the GRESB Infrastructure's Asset Assessment's eight Aspects and the GRESB Infrastructure's Fund Assessments ten Indicators. 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 2017 Assessments. If you need additional help, please contact our helpdesk team at info@gresb.com.

GRESB Infrastructure Assessment Structure

GRESB Infrastructure is one Assessment with two complementary components:

- Fund Assessment
- Asset Assessment

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 33 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.

Participation

The GRESB Infrastructure Assessment opens in the GRESB Portal on April 1, 2017. The submission deadline is July 1, 2017 (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 third quarter of 2017 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 EUR 2,750 (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, subject to the access request approval of assessment participant. 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.

Fund Assessment Participation

Infrastructure funds and portfolios can participate in the fund assessment. 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 Oceania
- A segregated account that is globally diversified offering exposure to several sectors

Fund managers must complete the Fund Assessment to describe their investment management and engagement process. Additionally, the fund's underlying assets may participate in the Asset Assessment. The participation of underlying assets is not required, however a fund should participate with at least 25% of assets in order to receive an overall GRESB score and be allocated to a peer group.

The focus of GRESB Infrastructure is on operational assets. Assets may participate on a standalone or aggregated basis, see below section on Asset Assessment participation for further details.

Asset Assessment Participation

There are multiple ways to participate in the GRESB Infrastructure Asset Assessment. Both single and multi-asset operators can participate. Possibilities for participation are explained in the following sections below. Note that these are only illustrative and other scenarios are possible. Participants with questions about specific circumstances are encouraged to contact info@gresb.com for guidance.

Single-asset operators

Single-asset operators may have one or multiple infrastructure-related business activities. These entities may be large and complex, or small and narrowly focused. The approximate fraction of each business activity should be expressed in the Entity & Reporting Characteristics section of the Asset Assessment. Single-asset operators that are subject to the same management and can aggregate performance data may report as one entity in the Asset Assessment.

Note that entities that have 75% or more allocation to a business activity will be allocated to this business activity's applicable peer group.

Examples of single-asset operators include:

- A provider of water and wastewater services
- An airport
- A telecommunications company

Multi-asset operators

In some cases one entity may operate multiple assets or projects, GRESB considers this to be a multi-asset operator. 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 or project.

Examples of multi-asset operators include:

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

Multi-asset operators that participate as one entity should have centralized management and can aggregate performance data. Note that when assets are combined into the same Asset Assessment, the entity should have an allocation of 75% or more allocation to a business activity to be assigned to this business activity's applicable peer group.

Participant tools

The following tools help participants with the submission process:

- **Pre-filling:** Assets and funds that participated in GRESB in 2016 are able to pre-fill selected questions in the 2017 Assessment response. Indicator specific guidance includes details on pre-filling and changes from the 2016 Assessment. Make sure to review the response and evidence carefully before submitting the Assessment. Evidence should apply to the reporting year listed in the Entity Characteristic section.
- **Information-sharing template:** This template is available to both Fund and Asset participants who are GRESB Members. Participants can use the template to store and share indicator responses that are identical across multiple participating entities. Members can access the sharing template via the GRESB Portal.

Response Check

A Response Check is a high-level check of a participant's GRESB infrastructure submission by the GRESB team, taking place prior to submission of a response. It minimizes the risk of errors that could adversely impact Assessment results. The Response Check fee for non-members is EUR 1,050 (exclusive of VAT). Members are able to request a complimentary Response Check as one of their membership benefits. Fund manager or asset operator members who submit the Assessment for multiple entities are entitled to a Response Check as part of their membership benefits. Response Checks for funds includes a response check for one underlying participating asset.

GRESB Participant training

New in 2017, GRESB introduces an introductory participant training program for infrastructure.

GRESB participant training programs offer hands-on educational experience, addressing all aspects of sustainability in infrastructure as covered by the GRESB Infrastructure Assessment. Trainings combine theoretical characteristics of each GRESB topic with its practical applicability, demonstrated through various examples.

GRESB Infrastructure training courses are offered each spring, aimed at infrastructure operating companies and fund managers and other professionals involved in infrastructure investment and sustainability management. Courses are delivered via face-to-face group sessions, in select locations across regions with GRESB participation, including Europe, North America and Asia Pacific.

In-house sessions are available upon request. Detailed information about the program is available on the GRESB website.

Validation

Data validation is an important part of GRESB's annual benchmarking process. The purpose of data validation is to encourage best practices in data collection. Following receipt of participants' Assessment submissions, prior to analyzing the data, GRESB validates participants' input data. This process continues from the date of the first Assessment submission until July 31, 2017. All information provided by funds or assets is subject to GRESB's validation process. There are three validation levels:

All Participant Check

- Checks on all submitted Assessments, for selected data points;
- Validation per indicator with a secondary review system for quality control;
- Focus on open text boxes and "other" criteria.

Validation Plus

- Desktop review on a selection of indicators for all participants for which supporting evidence was provided in the form of a document upload or hyperlink;
- Review of tables and examples provided for a selection of indicators for all participants;
- Validation with a secondary review system for quality control.

Validation Interview

- In-depth assessment of data, performed over the phone;
- Algorithm automatically picks participants based on 2016 validation decisions and 2016 outliers and performance and previous selections;
- Focus on Entity & Reporting Characteristics and supporting evidence.

Data is submitted to GRESB through a secure online platform and can only be seen by current GRESB Staff or authorized personnel from GRESB's parent company, i.e. GBCI, Inc. who are involved in GRESB validation activities.

Timeline & processes

The GRESB Infrastructure Assessment opens in the GRESB Portal on April 1, 2017. The submission deadline is July 1, 2017, providing participants with a three-month window to complete the Assessment. This is a fixed deadline, and GRESB will not accept submissions received after this date. GRESB validates and analyzes all participants' Assessment submissions. This process starts upon receipt of the first submission and continues until July 31, 2017.

GRESB Infrastructure Indicator Structure

Every indicator in the 2017 Assessment can be answered with 'yes' or 'no'. If 'yes' is selected, the participant has the option to further classify the response by selecting one or more sub-options. Participants should select all sub-options that accurately describe the entity and for which it can provide evidence. Additionally, for a number of indicators, participants have the option to complete open text boxes. The participant has the option to provide evidence for most indicators. Provision of evidence can significantly increase the score for the indicator, subject to the acceptance of evidence. If 'no' is selected, the participant may not select any additional sub-options. GRESB has marked each indicator to reflect whether it has been amended or is new from the previous year's Assessment, by providing the indicator name in orange.

"Other" answers

Some indicators offer the opportunity to provide an alternative answer option ('Other'). Other answers must be outside the options listed in the indicator. It is possible to add multiple other answers. All answers are validated as part of the data validation process.

Open text boxes

GRESB distinguishes between different types of open text boxes:

- That are scored and can receive no, partial or full points. In order to receive the maximum number of points for the scored text boxes, the description should include all of the requirements referred to in the guidance for the indicator.
- That are used for reporting purposes only (not scored);
- That provide context for specific Assessment indicators (not scored);

Each type of text box is clearly marked in the Assessment.

Evidence

- **General requirements:** GRESB allows participants the opportunity to provide additional evidence for the majority of indicators, using hyperlinks and/ or document uploads. Evidence is information that can be used to validate the overall answer and prove the claims made by providing the yes/no answer, each of the additional criteria and examples provided in tables. The form of evidence is free and examples include formal documents, (sections of) PowerPoint presentations, memos, meeting minutes, internal or external reports. More information on evidence will be provided with each indicator.
- **Evidence template:** In 2017, GRESB has introduced an Evidence template, which may be used as a standalone document on an indicator-by-indicator basis, or as a cover page for uploaded evidence. This template allows for easier identification of relevant information for each sub-option selected within an indicator. This template may be used by participants if the reference to evidence is more complex than a simple page reference that can be input within the open textbox provided per evidence upload or URL.

Upload

- **Permitted number of uploads:** In 2017, GRESB has introduced the functionality to upload multiple documents as evidence per indicator. This improved functionality helps to ease the reporting burden by eliminating the need to merge different documentation into one file. If the information you want to provide is part of a larger document that you do not want to disclose in its entirety, you can extract the relevant parts using www.splitpdf.com or you can refer to specific pages in the upload using the Evidence template, available in the document library, or in the separate open textbox available next to each uploaded document.
- **Location of relevant information:** In order to facilitate the data validation process, you should use the assigned box to indicate where in the document the relevant information can be found. Additionally, you may add a cover page at the beginning of the document or clearly highlight, encircle, or otherwise identify the specific page number(s) within the upload.
- **Sections of documents:** You may upload sections of larger documents. If you do so, include in the document upload the name and date of publication of the document from which the extract is taken.
- **Redacted documents:** You may redact documents. However, they must contain enough information to validate your indicator response. Re-written summaries of documents must be on the organization's letterhead and contain enough information to validate your question response.
- **Optional evidence sharing with investors:** GRESB uses uploaded documents for validation purposes. In 2017, GRESB has introduced the functionality where documentation provided as evidence can be made available to investors on a document by document basis. Each uploaded document will have a checkbox (the default being unselected) which, when selected, will make this evidence available to investors. Once this checkbox is selected, the document will be available to all investors, it is not possible to choose a sub-set of investors which you would like to share the documents with.
- **Upload library:** Uploaded documents are stored in a participant's document library, which remains accessible after you submit your response. The library is entity specific and includes documents that were uploaded in 2016.

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 participant and will be interpreted as the absence of evidence.

Service Providers

This information is used in the data validation process. State the full name of the organization(s). As part of our annual validation of service providers, we may ask you to provide additional information via the GRESB Portal.

Reporting period

Answers must refer to the reporting period identified in EC4 in the Asset and 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.

Language

Your Assessment response must be submitted in English. Official documents uploaded as supporting evidence, do not need to be translated. However, a summary of the content should be provided in English via the Evidence template.

Additional Information – Performance Indicators

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

Indicator	Units	Baseline	+	History			Targets		
				2014	2015	2016	Target year	Target year	Target year
Emissions generated									
Scope 1	mTCO ₂ e		+						
Scope 2	mTCO ₂ e		+						
+ Add an metric									
Emissions avoided									
Scope 1	mTCO ₂ e		+						
Scope 2	mTCO ₂ e		+						
+ Add an metric									
Emissions absorbed									
Scope 1	mTCO ₂ e		+						
Scope 2	mTCO ₂ e		+						
+ Add an metric									

- Each Performance Indicator addresses a different category of environmental or social impacts.
- Each metric appears as a row. Participants may add the recommended metrics in gray or choose their own additional metrics.
- Columns are used to provide a history of annual performance for each metric and targets for future years. Participants may specify a baseline year for performance history and a target year for each future target listed.
- Each Performance Indicator has a mandatory open text box to provide information on the standards, methodologies, and assumptions used. Optionally participants may use this open text box to provide information on interpretation and performance data and targets.

Scoring

Each entity receives a 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 availability of only one year of historical data, the final scoring methodology will be determined by the nature of the data from the 2017 GRESB Infrastructure Assessment. In the interim, the following scoring concepts provide a preliminary guide to the scoring process and model.

General Scoring Concepts

Three Section Indicator

Most of the indicators in the infrastructure assessment are variations of what is considered the "Three Section Indicator". A Three Section Indicator is made up of three sections, each scored separately before being used for calculating the score for the indicator as a whole.

- Section 1, "yes/no" answer, always receives a score of either 1 or 0. This ensures that at least some points are awarded for answering yes.
- Section 2, "additional criteria", can receive a score between 0 and 1 and is determined by additional data provided.
- Section 3, "evidence", always receives a score, which will be the multiplier of the scores achieved in section 1 and 2, of either 0.3, 0.65 or 1. This section consists of validated evidence which is intended to prove the other information provided in section one and two of the indicator. 0.3 points are given for providing none or not-accepted evidence, 0.65 points are given for providing partially accepted evidence and 1 point is given for providing fully accepted evidence.

The final indicator score is then calculated as:

$$\text{Indicator score} = (0.2 \times \text{Section 1 score} + 0.8 \times \text{Section 2 score}) \times \text{Section 3 score}$$

This means that 20% of the score can be achieved in section 1, 80% in section 2, with a multiplier effect in section 3.

Performance indicator Tables

Performance Indicators have a different scoring concept:

- **Coverage:** In 2016, all of the performance indicator tables were scored based on data coverage, i.e. how much historical and future data could be provided. Each row in the table is split into three scored sections. The first section is the current year data and this section receives 0 or 1 point depending on whether any current year data is available in the given row. The second section is the historic data which is scored using diminishing increase in scoring. The resulting score for this section is also a number between 0 and 1. The last of the three row sections is the target section where respondents are scored based on the number of target years for the future reported. These three sections are then used to calculate a score for each row using the following formula:

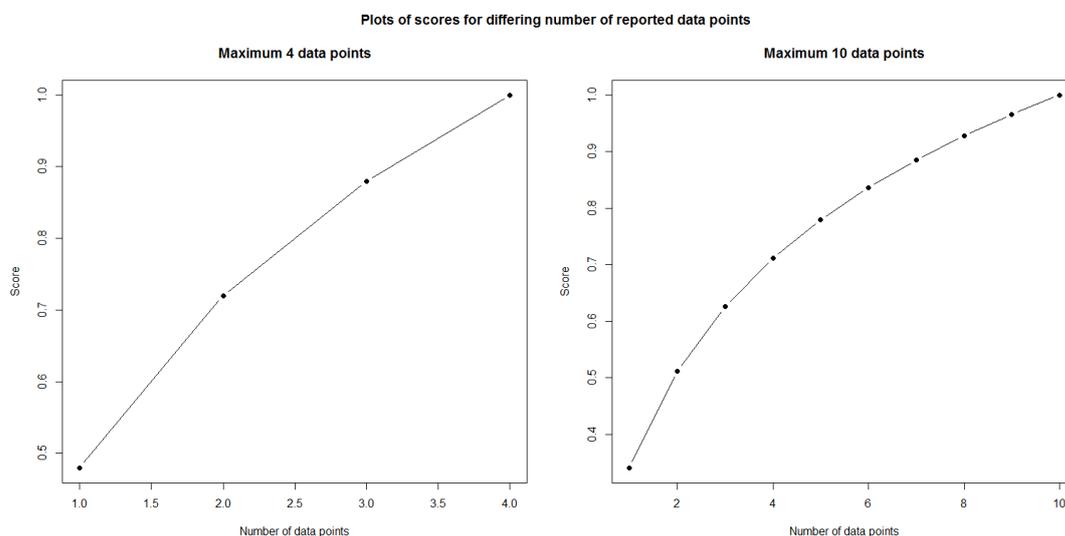
$$\text{Raw score} = 0.5 \times \text{Current year score} + 0.25 \times \text{History score} + 0.25 \times \text{target score}$$

Finally, the score for the table is calculated by taking the sum of all the row scores, which are numbers between 0 and 1, with an upper limit of 1 so that if the sum is greater than 1 the score for the table will be set to 1.

- **Trend/Intensity:** In 2017 other elements such as trend, improvements over time, and/or intensity, the ratio of beneficial output for a given level of social or environmental impact, may be included in the performance indicator scoring model. This will be determined based on the nature of the data from the 2017 GRESB Infrastructure Assessment.

Diminishing increase in scoring

A scoring concept used frequently in the scoring of the infrastructure assessment indicators is diminishing increase in scoring. The idea behind this concept is that the number of points achieved for each additional data point provided decreases as the number of provided data points increases. This means that the number of points achieved for the first data point will be higher than the number of points achieved for the second, which again will be higher than for the third, and so on.



Open text boxes

All Performance Indicators have an open textbox which will be scored based on requirements stated in this Reference Guide.

Asset Scoring Concepts

Asset scores are based on the premise that each Aspect provides distinct and useful information. In 2016, Aspects were assigned the following weights with each individual indicator contributing equally to a score for a given Aspect.

The above Aspect weights are intended to give a good representation of the 2017 scoring weights, and can be subject to change. Details of the asset scoring methodology will be determined based on the characteristics of 2017 data received from participants.

Management	11%
Policy & Disclosure	14%
Risks & Opportunities	10%
Implementation	7.5%
Monitoring & EMS	10%
Stakeholder Engagement	10%
Performance Indicators	30%
+ Certifications & Awards	7.5%

Sector Specific Scoring

In 2017, GRESB introduces sector-specific scoring for a selection of the Asset Assessment indicators. Participants are not expected to select all additional criteria to achieve the highest score. The maximum number of criteria to be selected to achieve the highest score will be determined per sector and will be based on quantitative and qualitative research. Quantitative research will be based on 2016 and 2017 data and will be conducted after all data is submitted on July 1.

GRESB Asset Score

Fund Scoring Concepts

All ten indicators in the Fund Assessment are weighted equally. The GRESB score for funds is based on a combination of Fund Score and weighted average Asset Score. Funds reporting through the GRESB infrastructure assessment list all of the assets they invest in and then weight each of these investments. If at least 25% of the weight is assigned to assets which are reporting to GRESB through the GRESB Infrastructure Asset Assessment, then the fund will receive a Weighted Average Asset (WAA) score. This score is a weighted average of the asset scores of all assets listed by the fund with non-reporting assets being counted as having an asset score of 0. The weighting used in the calculation is the same as the weighting reported by the fund in the table.

This weighted average asset score is then combined with the fund score to calculate GRESB score of the fund using the following formula:

$$\text{GRESB score} = 0.7 \times \text{WAA score} + 0.3 \times \text{Fund score}$$

Additional information on fund scoring:

- At least 25% of assets should participate in the GRESB Asset Assessment to calculate a WAA and to receive an overall GRESB Score
- If 25% of assets or less participate in the GRESB Asset Assessment the fund will only receive a Fund Score
- Funds are required to report on Assets that they own for at least 6 months during the reporting period. They can voluntarily report on assets that they have owned for less than 6 months.
- Reporting on greenfield assets is voluntary. By ticking the “greenfield box” they will be excluded from the weighted average asset score.
- Greenfield assets that are operational for at least 6 months are treated as operational assets.

GRESB Rating

The GRESB Rating is an overall measure of how well ESG issues are integrated into the management and practices of funds and assets. The rating for funds is calculated relative to the global performance of all reporting funds – sector focus and geography are not taken into account. The rating for assets is calculated relative to the global performance of all reporting assets – sector focus and geography are not taken into account. If certain regions systematically perform better, they will on average have higher-rated funds or assets. The calculation of the GRESB Rating is based on the GRESB Score and its quintile position relative to the GRESB universe, with annual calibration of the model. If the entity is placed in the top quintile, it will have a GRESB 5-star rating; if it ranks in the bottom quintile, it will have a GRESB 1-star rating etc.



Peer group allocation

Each asset participant is assigned to a peer group, based on the entity's business activities and geographical location. To ensure participant anonymity, GRESB will only create a peer group if there is a minimum of five participants allocated to the peer group, the participant and five other peers.

Peer group assignments do not affect an asset's score, but determine how GRESB puts an Assessment participant's results into context. The peer group composition is determined by a simple set of quantitative rules and provides consistent treatment for all participants.

A pre-set threshold determines an entity's business activities and geographical location:

- The threshold for business activities categorization is set at 75% of the economic activity (revenue) of the entity. This means that, 75% or more must be comprised of a single activity. If a participant does not reach the threshold for categorization in a specific peer group, it is assigned to the 'diversified' category.
- GRESB assigns participants to a geographic category using a four-tier system: country, sub-region, region and global. The threshold for assigning a geographic category is set at 59% of the economic activity. The four-tier systems works as follows:
 - **Country:** Based on economic activity, 59% or more of the portfolio must be allocated to a single country;
 - **Sub-region:** If a participant does not reach the threshold for assignment to a specific country, where possible, it is instead assigned to a sub-region, meaning that 59% or more of economic activity must be allocated to that sub-region;
 - **Region:** If a participant does not reach the threshold for assignment to a sub-region, where possible, it is instead assigned to a region, meaning that 59% or more of the economic activity of the entity must be allocated to that specific region;
 - **Global:** If a participant does not reach the threshold for assignment to a region, it is assigned to 'globally diversified'.

Output and 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 35 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) request access to participant data using the online Data Access Request Tool. GRESB Investor Members may request access to Benchmark Reports for fund investments if they invest in funds and asset investments if they invest in assets via the GRESB Portal. Fund manager members may request access to the Benchmark Reports of their participating assets via the fund Benchmark Report or can request access via the GRESB Portal.

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.

Entity and Reporting Characteristics

Intent and Overview

The information provided in the Entity and Reporting Characteristics section provides the framework for the submission of the GRESB Infrastructure Asset Assessment. This section uses the information as the basis for peer group selection, which is based on sector and country allocation, as well as the nature of ownership and management structure.

The section consists of two parts:

- Entity characteristics identify the participant entity, based on characteristics that remain constant across different reporting periods.
- Reporting characteristics define the reporting scope of the entity for the current reporting period and determine the structure of the Assessment submission.

Entity Characteristics

EC1 Name the of entity

Legal name _____

Operator name (if applicable) _____

Requirements Complete all applicable fields.

Additional Information **Pre-filling and changes from 2016:** This question has been slightly changed from the 2016 Assessment but has been pre-filled with 2016 Assessment answers. Review the response carefully before submitting your Assessment.

EC2 Location of the entity's headquarters office

Street address _____

City _____

Postcode _____

Country _____

Requirements Complete all fields.

Additional Information **Pre-filling and changes from 2016:** This question has remained the same as the 2016 Assessment and has been pre-filled with 2016 Assessment answers.

EC3 Nature of the entity

Public company

ISIN _____

Ticker Symbol _____

Exchange (select all that apply)

Other identifier _____

Private company

Corporation

Special Purpose Vehicle (SPV)

Other _____

Non-profit organization

Governmental organization

Other _____

Requirements Select one of the options indicating the nature of the entity. If Public company or Private company are selected, select at least one of the applicable sub-options and complete. Select one of the options indicating the structure of the entity.
Other: In the case the nature or structure of the entity stands outside the listed sub-options, the 'other' option may be selected. Ensure the other answer provided is not a duplicate of those listed.

Additional Information **Pre-filling and changes from 2016:** This question has been slightly changed from the 2016 Assessment but has been pre-filled with 2016 Assessment answers. Review the response carefully before submitting your Assessment. Changes include the addition of a question on the structure of the entity.

EC4 Reporting period

- Calendar year
- Fiscal year. Specify the starting month and year _____

Requirements Select one of the options. If fiscal year is selected, also provide the starting month and year.

Additional Information **Pre-filling and changes from 2016:** This question has changed from the 2016 Assessment and has not been pre-filled with 2016 Assessment answers. Changes include specification of the starting month and year of the fiscal year.

EC5 Industry Associations

List memberships in industry associations

Requirements List memberships in industry associations. Include name of association and URL for association website.

Additional Information **Pre-filling and changes from 2016:** This question has remained the same as the 2016 Assessment and has been pre-filled with 2016 Assessment answers.

Reporting Characteristics

RC1 Reporting currency

Values are reported in

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

Requirements Select the reporting currency of the entity.

Other: In the case the entity has a reporting currency which stands outside the listed options, the 'other' option may be selected. Ensure the other sector provided is not a duplicate of those listed.

Additional Information **Pre-filling and changes from 2016:** This question has remained the same as the 2016 Assessment and has been pre-filled with 2016 Assessment answers.

RC2 Classification of economic size

Describe the entity's economic size

Value _____

Units _____

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

Additional Information **Pre-filling and changes from 2016:** This question has not changed from the 2016 Assessment but has not been pre-filled with 2016 Assessment answers.

RC3 Country/ Countries of operation

Country	% of operations
Select country ▼	
Select country ▼	
Select country ▼	

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

Requirements Select the country where the entity has operations and indicate the estimated fraction of operations. The open textbox is mandatory for this question.

Open text box: Explain the method used to establish the percentage of operations in each country.

Additional Information **Pre-filling and changes from 2016:** This question has not changed from the 2016 Assessment but has not been pre-filled with 2016 Assessment answers.

RC4 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. Select the weighting approach 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

Type	% weight	Describe the entity's regulatory regime	Electric, installed capacity (MW)	Electric, Generation (MWh)
Coal				
Petroleum				
Natural gas				
Other gases _____				
Other _____				

Renewable generation, utility scale

Type	% weights	Describe the entity's regulatory regime	Electric, installed capacity (MW)	Electric, Generation (MWh)
Biomass, wood				
Waste to energy - solid waste				
Geothermal				
Solar/PV				
Solar/CSP				
Wind, on-shore				
Wind, off-shore				
Renewable hydroelectric power, dam				
Renewable hydroelectric power, run-of-river				
Hydroelectric pumped storage				
Other _____				

Renewable generation, distributed

Type	% weights	Describe the entity's regulatory regime	Number of generation locations	Electric, installed capacity (MW)	Electric, Generation (MWh)
Solar/PV					
Wind					
Hydro					
Other _____					

Combined heat and power

	% weights	Describe the entity's regulatory regime	Electric, installed capacity (MW)	Electric, Generation (MWh)	Thermal, installed capacity (Btu/KWh)	thermal, generation (MMBtu)
Diesel engine						
Natural gas engine						
Steam turbine						
Gas turbine						
Micro-turbine						
Fuel cells						
Other _____						

Other generation

Type	% weights	Describe the entity's regulatory regime	Electric, installed capacity (MW)	Electric, Generation (MWh)
Nuclear Electric Power				
Other _____				

Energy efficiency

Type	% weights	Type of project	Primary measure of output					
			Number of projects	Total electricity savings (MWh)	Total thermal energy savings (MMBtu)	Specify other measure	Measure figure	Units
Describe the nature of the business activity _____								

Energy transmission, distribution and storage

Electric Power

Transmission

Type	% weights	Describe the entity's regulatory regime	Type of Transmission	Size of the system			Primary measure of output		
				Specify system	Measure figure	Units	Specify other measure	Measure figure	Units
Electric Power Transmission									

Distribution

	% weights	Describe the entity's regulatory regime	Number of accounts			Size of the system			Primary measure of output			
			Residential (%)	Industrial (%)	Commercial (%)	Specify system	Amount	Units	Specify measure	Amount	Unit	
Electric Power Distribution												

Storage

	% weights	Describe the entity's regulatory regime	Type of storage	Size of the system			Primary measure of output			
				Specify system	Amount	Units	Specify measure	Amount	Units	
Solid state batteries										
Flow batteries										
Flywheels										
Compressed air										
Thermal										
Pumped hydro-power										
Other_____										

Natural gas

Transmission and distribution

	% weights	Describe the entity's regulatory regime	Pipeline pressure			Size of the system			Primary measure of output						
			Type of pressure	Amount	Units	Specify system	Amount	Units	Average volume distributed per day	Unit	Total volume distributed	Unit	Specify other measure	Amount	Units
Transmission															
Distribution															
Gathering															
Other_____															

Storage

	% weights	Describe the entity's regulatory regime	Type of storage	Size of the system			Primary measure of output							
				Specify system	Amount	Units	Average daily working gas volume	Units	Average total working gas volume	Units	Specify other measure	Amount	Units	
Natural Gas Storage														

Petroleum Liquids / other liquids

Transmission

	% weights	Describe the entity's regulatory regime	Describe the activities	Size of the system			Primary measure of output			
				Specify system	Amount	Units	Specify measure	Amount	Units	
Describe the nature of the business activity _____										

Gathering

	% weights	Describe the entity's regulatory regime	Describe the activities	Size of the system			Primary measure of output			
				Specify system	Amount	Units	Specify measure	Amount	Units	
Describe the nature of the business activity _____										

Storage

	% weights	Describe the entity's regulatory regime	Describe the activities	Size of the system			Primary measure of output		
				Specify system	Amount	Units	Specify measure	Amount	Units
Describe the nature of the business activity									

Other

	% weights	Describe the entity's regulatory regime	Describe the activities	Size of the system			Primary measure of output		
				Specify system	Amount	Units	Specify measure	Amount	Units
Describe the nature of the business activity									

Other

Storage

	% weights	Describe the entity's regulatory regime	Type of storage	Size of the system			Primary measure of output		
				Specify system	Amount	Units	Specify measure	Amount	Units
Describe the nature of the business activity									

Distribution

	% weights	Describe the entity's regulatory regime	Size of the system			Primary measure of output		
			Specify system	Amount	Units	Specify measure	Amount	Units
Other Distribution								

Other

	% weights	Describe the entity's regulatory regime	Size of the system			Primary measure of output		
			Specify system	Amount	Units	Specify measure	Amount	Units
Describe the nature of the business activity								

■ Telecommunication

	% weights	Describe activities	Size of the system			Primary measure of output		
			Specify system	Amount	Units	Specify measure	Amount	Units
Wired Telecommunications								
Wireless Telecommunications								
Data centers								
Other								

■ Water Resource Management

	% weights	Describe activities	Type of activity	Size of the system			Primary measure of output		
				Specify system	Amount	Units	Specify measure	Amount	Units
Flood Control									
Coastal and Riverine Locks									
Water Supply									
Sewer Line Systems									
Sewer Treatment Facilities									
Other									

■ Waste Treatment and Disposal

	% weights	Describe activities	Primary measure of output				
			Waste handled	Units	Specify other measure	Amount	Units
Nonhazardous Waste Treatment and Disposal							
Hazardous Waste Treatment and Disposal							
Other							

■ Transportation

■ Airport

	% weights	Describe activities	Airport identifier (IATA Code)	Primary measure of output				
				Total passengers	Total cargo (metric tons)	Specify other measure	Amount	Units
Large hub								
Medium hub								
Small hub								
Non-hub primary								
Non-primary commercial services								
Reliever								
General aviation								
Other								

■ Railroad

	% weights	Describe activities	System size		Primary measure of output							
			Length of rail system	Units	Total passenger distance traveled	Units	Total cargo handled	Units	Specify other measure	Amount	Units	
Line-Haul Railroad												
Short Line Railroad												
Other												

■ Rolling Stock

	% weights	Describe activities	Primary measure of output					
			Number of rolling stock units	Total cargo handled	Units	Specify other measure	Amount	Units
Aerial tram								
Automated guideway								
Heavy rail								
Hybrid rail								
Light rail								
Monorail								
Streetcar								
Subway								
Other								

■ Transportation System

	% weights	Size of the system			Primary measure of output				
		specify system	Amount	Units	Total passengers distance traveled	Unit	Specify other measure	Amount	Units
Describe the nature of the business activity									

■ Ports

	% weights	Describe activities	Primary measure of output					
			Container traffic (TEU)	Total cargo handled	Units	Specify other measure	Amount	Units
Describe the nature of the business activity								

■ Toll Road Operations

	% weights	Describe activities	System size		Primary measure of output					
			Length of roadway	Units	Number of vehicles	Distance Traveled	Units	Specify other measure	Amount	Units
Tunnel(s)										
Bridge(s)										
Road, single										
Road, multiple/network										
Other										

■ Social

■ Aged Care

	% weights	Describe activities	Size and capacity			Primary measure of output			
			Floor area of Facilities (gross)	Units	Number of facilities	Number of residents	Specify other measure	Amount	Units
Nursing care facilities									
Assisted living facilities									
Other _____									

■ Schools

	% weights	Describe activities	Size and capacity							Primary measure of output		
			Floor area of facilities (gross)	units	Number of facilities	Student population	Other	Amount	Units	Specify measure	Amount	Units
Elementary and Secondary												
Junior college												
College, university												
Business, secretarial												
Miscellaneous education												
Other _____												

■ Convention

	% weights	Describe activities	Size and capacity						Primary measure of output			
			Floor area of facilities (gross)	Units	Number of facilities	Other	Amount	Units	Number of visitors	Specify other measure	Amount	Units
Convention Center												
Exhibition Center												

■ Government Buildings

	% weights	Describe activities	Size and capacity						Primary measure of output			
			Floor area of facilities (gross)	Units	Number of facilities	Other	Amount	Units	Number of occupants	Specify other measure	Amount	Units
Education												
Food sales/service												
Healthcare, inpatient												
Healthcare, outpatient												
Lodging												
Mercantile												
Military												
Office												
Public assembly												
Public order and safety (including courts)												
Religious worship												
Service												
Warehouse and Storage												
Other												

■ Correctional Facilities

	% weights	Describe activities	Size and capacity							Primary measure of output			
			Design capacity (number of beds)	Floor space of facilities (gross)	Units	Number of facilities	Other	Amount	Units	Imprisoned population	Specify other measure	Amount	Units
Juvenile facilities													
Local jail													
State or regional prison													
National prison													
Other													

■ Other

	% weights	Describe the system size	Primary measure of output		
			Specify other measure	Amount	Units
Describe the nature of the business activity					

Requirements 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. Select the weighting approach and explain the basis in the text box below.

Additional Information Pre-filling and changes from 2016: This question has not changed from the 2016 Assessment but has not been pre-filled with 2016 Assessment answers.

For each applicable row, you must complete:

1. Column 1 - Select or define an activity;
2. Column 2 - Provide the percentage weight, this must sum to 100% for all business activities;
3. Column 3 - Provide a brief description (this varies per business activity, e.g. regulatory regime or type of project);
4. Next, provide information for capacity and size of system. This may be one of the predefined options or a self defined measure;
5. Provide details on the primary measure of output. This may be one of the predefined options or a self defined measure.



MA1

Are ESG issues included in the long term strategic plan(s) that apply to this entity?

MA1

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 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)

Intent

The intent of this indicator is to 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.

Requirements

Select yes or no. If you select yes, you can also select all applicable sub-options. Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.

Additional Information

Pre-filling and changes from 2016: This indicator has remained the same as the 2016 Assessment and has been pre-filled with 2016 Assessment answers.

Evidence: Evidence should not necessarily apply to the reporting year but clearly relate to long term strategic plans. Acceptable evidence may include illustrative portions of business plan or target documents or presentations, 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 sub-options.

Scoring: This indicator is scored as a Three Section Indicator. The score of section 2 is determined using a diminishing increase in score per additional sub-option selected.

Does this entity or its operator have an individual responsible for the implementation of ESG issues?

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)

Intent

The intent of this indicator is to identify resources allocated to sustainability management. Having personnel dedicated to sustainability issues increases the likelihood that the entity's sustainability objectives will be properly managed and targets will be met.

Requirements

Select yes or no. If yes is selected, it is mandatory to provide the name, job title and e-mail address of the individual. In case responsibility for the implementation of ESG issues is delegated to a third-party consultant or operator, it is mandatory to provide the organization name, job title and e-mail address. Additionally, select the applicable sub-option.

Additional Information

In the case where more than one individual has responsibility for the implementation of ESG issues, provide the name of the person who dedicates the most time to implementation and/or should be responsible for the majority, if not necessarily all of, the implementation of ESG issues.

Note that the individual responsible for the implementation of ESG issues may be the same individual as listed in indicator MA3.

Pre-filling and changes from 2016: This indicator is new in 2017 therefore has not been pre-filled with 2016 Assessment answers.

Scoring: This indicator is scored similarly to a Three Section Indicator. However, there is no option for providing evidence and thus no evidence multiplier.

Does this entity or its operator have a senior decision-maker accountable for ESG issues?

Yes

Provide the details of the most senior decision maker on sustainability issues

Name/organization name _____

Job title _____

E-mail _____

LinkedIn profile (optional) _____

This individual is part of

Board of Directors

Senior Management Team

Other _____

No

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

Intent	The intent of this indicator is to 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.
Requirements	Select yes or no. If yes is selected, it is mandatory to provide the name, job title and e-mail address of the individual. Note that it is also possible to provide the e-mail address where the individual may be reached, rather than that of the individual (i.e. email address of the executive assistant of this individual). In case the senior decision-maker that is accountable for ESG issues is part of a third-party organization, provide organization name. Additionally, select all applicable sub-options.
Additional Information	Note that the senior decision-maker accountable may be the same individual as listed in indicator MA2. Pre-filling and changes from 2016: This indicator has remained the same as the 2016 Assessment and has been pre-filled with 2016 Assessment answers. Scoring: This indicator is scored similarly to a Three Section Indicator. However there is no option for providing evidence and thus no evidence multiplier.

MA4 Are ESG factors included in performance targets for individuals working for the entity, operator or manager?

MA3

Yes

Does performance on ESG targets have pre-determined consequences?

Yes

- Financial consequences
- Non-financial consequences
- Other consequences _____

No

ESG performance targets are applicable to

- Senior leadership
- Operating staff
- 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)

Intent	The intent of this indicator is to 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 and responsibility for employees.
Requirements	Select yes or no. If you select yes, you can also select all applicable sub-options. Also provide information on the types of employees ESG performance targets are applicable to. Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.

Additional Information

Examples of performance targets include but are not limited to specific targets such as for health & safety measures or environmental incidents, employee, customer or community engagement targets, achievement of ESG related accreditations or certifications.

Pre-filling and changes from 2016: This indicator has changed from the 2016 Assessment and has not been pre-filled with 2016 Assessment answers. Changes include simplification of the indicator structure.

Evidence: Acceptable evidence may be one or more official documents from the entity describing rewards, penalties, or support associated with specific ESG- related targets. The entity may redact any portion of evidence not necessary to illustrate the overall answer or selected criteria.

Scoring: This indicator is scored as a Three Section Indicator.

MA5

Is ESG-related training provided for this entity?

MA4

Yes

Categorize ESG-related training provided to different categories of workers and/or other stakeholders or required for contractors and/or third-party service providers

- 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 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)

Intent	The intent of this indicator is to 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.
Requirements	Select yes or no. If you select yes, you can also select all applicable sub-options. Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.
Additional Information	<p>Examples of ESG-related trainings include but are not limited to training on environmental awareness, health and safety, handling of hazardous materials, data confidentiality or code of conduct. Training may be provided by the entity or other organizations involved in the management of the entity (for example, the operator).</p> <p>Pre-filling and changes from 2016: This indicator has remained the same as the 2016 Assessment and has been pre-filled with 2016 Assessment answers.</p> <p>Evidence: Acceptable evidence may include promotional materials describing training programs, curriculum, extracts of study guides, screenshots of a training portal, summaries of attendance, or combinations of materials.</p> <p>Scoring: This indicator is scored as a Three Section Indicator. The second section asks participants to categorize ESG-related training provided to different categories of workers and it is split into three sub-sections all of which are scored the same way. Each subsection is scored using diminishing increase in scoring. The scores for these three subsections are then calculated into the score for section 2 using diminishing increase in scoring.</p>



PD1

Does this entity or its operator have a policy or policies on environmental issues?

PD1

Yes

Policy or policies include

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

What are the most material environmental issues for this entity?
(maximum 250 words) (for reporting purposes only)

Policy or policies also apply to

- Supply chain
- Contractors
- 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)

Supply chain / contractors covered by applicable ESG Policy/Policies

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

Intent	The intent of this indicator is to assess the entity's environmental policies. Clear policies on environmental issues provide the foundation for effective management, the prioritization of implementation actions, and accountability.
Requirements	<p>Select yes or no. If you select yes, you can also select all applicable sub-options. It is mandatory to describe the most material environmental issues for the entity in the open textbox. Optionally, provide information on the parties for which this policy is applicable, the percentage covered for each party, and provide evidence via an upload or hyperlink. If evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.</p> <p>Open text box: List the most material environmental issues. Describe why these issues are the most material and how they were identified (i.e. materiality matrix, impact assessment, etc).</p> <p>Other: In the case the entity has a policy or policies on environmental issues which stands outside the listed options, the 'other' option may be selected. Ensure the other issue provided is not a duplicate of the listed issues.</p>
Additional Information	<p>Pre-filling and changes from 2016: This indicator has been slightly changed from the 2016 Assessment but has been pre-filled with 2016 Assessment answers. Review the response and evidence carefully before submitting your Assessment. Changes include the addition of the sub-option 'contamination'.</p> <p>Evidence: 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 sub-options 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 and/or supply chain.</p> <p>Scoring: This indicator is scored as a Three Section Indicator.</p> <p>Section 2 of this indicator is split into two subsections, both of which are based on diminishing increase in scoring. Note that not all criteria are expected to be relevant for all sectors. This will be adjusted in the sector-specific scoring models accordingly.</p>

PD2 **Does this entity or its operator have a policy or policies on social issues?** **PD2**

Yes

Policy or policies include

- Child labor
- Community / other stakeholder relations
- Customer satisfaction
- Discrimination
- Employee engagement
- Forced or compulsory labor
- Freedom of association
- 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
- Other issues _____

What are the most material social issues for this entity?
(maximum 250 words) (for reporting purposes only)

Policy or policies also apply to

Supply chain

Contractors

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)

Supply chain / contractors covered by applicable ESG Policy/Policies

▼ > 0%, < 25%

▼ ≥ 25%, < 50%

▼ ≥ 50%, < 75%

▼ ≥ 75%, ≤ 100%

Intent

The intent of this indicator is to 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.

Requirements

Select yes or no. If you select yes, you can also select all applicable sub-options. Additionally, it is mandatory to describe the most material social issues for the entity in the open textbox. Optionally, provide information on the parties for which this policy is applicable, the percentage covered for each party, and provide evidence via an upload or hyperlink. If evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.

Open text box: List the most material social issues. Describe why these issues are the most material and how they were identified (i.e. materiality matrix, impact assessment, etc).

Other: In the case the entity has a policy or policies on social issues which stands outside the listed options, the 'other' option may be selected. Ensure the other issue provided is not a duplicate of the listed issues.

Additional Information

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

Note that if certain social issues are embedded in law and/or regulation in the countries of operation, the entity may select the sub-option and evidence can be provided as a reference to the specific law or regulation on the provided Evidence template. (see Appendix)

Pre-filling and changes from 2016: This indicator has been slightly changed from the 2016 Assessment but has been pre-filled with 2016 Assessment answers. Review the response and evidence carefully before submitting your Assessment. Changes include the addition of the sub-option 'Freedom of association'. Note that sub-option 'Data protection and privacy' moved from Indicator PD2 to PD3.

Evidence: Acceptable evidence may include official documents or links to online resources 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. The entity is also asked to characterize whether the policies apply to its employees and/or a certain fraction of its contractors and/or supply chain.

Scoring: This indicator is scored as a Three Section Indicator.

Section 2 of this indicator is split into two subsections, both of which are based on diminishing increase in scoring. Note that not all criteria are expected to be relevant for all sectors. This will be adjusted in the sector-specific scoring models accordingly.

Does this entity or its operator have a policy or policies on governance issues?

Yes

Policy or policies include

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

What are the most material governance issues for this entity?
(maximum 250 words) (for reporting purposes only)

Policy or policies also apply to

- Supply chain
- Contractors
- 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)

Supply chain / contractors covered by applicable ESG Policy/Policies

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

Intent	The intent of this indicator is to assess the entity's policies on governance issues. Clear policies on governance issues provide the foundation for effective management, the prioritization of implementation actions, and accountability.
Requirements	<p>Select yes or no. If you select yes, you can also select all applicable sub-options. Additionally, it is mandatory to describe the most material governance issues for the entity in the open textbox. Optionally, provide information on the parties for which this policy is applicable, the percentage covered for each party, and provide evidence via an upload or hyperlink. If evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.</p> <p>Open text box: List the most material governance issues. Describe why these issues are the most material and how they were identified (i.e. materiality matrix, impact assessment, etc).</p> <p>Other: In the case the entity has a policy or policies on governance issues which stands outside the listed options, the 'other' option may be selected. Ensure the other issue provided is not a duplicate of the listed issues.</p>
Additional Information	<p>Note that if certain governance issues are embedded in law and/or regulation in the countries of operation, the entity may select the sub-option and evidence can be provided as a reference to the specific law or regulation on the provided Evidence template. (see Appendix)</p> <p>Pre-filling and changes from 2016: This indicator has been slightly changed from the 2016 Assessment but has been pre-filled with 2016 Assessment answers. Review the response and evidence carefully before submitting your Assessment. Changes include the addition of the sub-option 'data protection and privacy'.</p> <p>Evidence: Acceptable evidence may include official documents or links to online resources describing the entity's governance 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 and/or supply chain.</p> <p>Scoring: This indicator is scored as a Three Section Indicator.</p> <p>Section 2 of this indicator is split into two subsections, both of which are based on diminishing increase in scoring. Note that not all criteria are expected to be relevant for all sectors. This will be adjusted in the sector-specific scoring models accordingly.</p>

PD4 **Does this entity or its operator have third-party review of the entity's ESG reporting and/or data?** **PD5**

- Yes
 - ESG reporting
 - Internally verified by (name/department) _____
 - Externally checked by _____
 - Externally verified by _____
 - Externally assured by _____
 - Environmental data
 - Internally verified by (name/department) _____
 - Externally checked by _____
 - Externally verified by _____
 - Externally assured by _____
 - Social data
 - Internally verified by (name/department) _____
 - Externally checked by _____
 - Externally verified by _____
 - Externally assured by _____

- Governance data
 - Internally verified by (name/department) _____
 - Externally checked by _____
 - Externally verified by _____
 - Externally assured by _____
- Information submitted in this assessment (GRESB Infrastructure)
 - Internally verified by (name/department) _____
 - Externally checked by _____
 - Externally verified by _____
 - Externally assured by _____
- Other ESG information
 - 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)

Intent

The intent of this indicator is to 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.

Terminology

Internally verified: Verified by independent role within the organization. Independent roles include, but are not limited to: CFO, legal officer, compliance officer or internal auditor.

Externally checked: A third-party review that does not comply with the definition of either externally assured or verified. Assurance or Verification.

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

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

Requirements

Select yes or no. If you select yes, also select all applicable sub-options. For any sub-option selected it is mandatory to provide the applicable name and/or department within the organization or the name of the external organization which provided these services. Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.

Additional Information

Pre-filling and changes from 2016: This indicator has been slightly changed from the 2016 Assessment but has been pre-filled with 2016 Assessment answers. Review the response and evidence carefully before submitting your Assessment. The sub-option 'internal audit' has been changed to 'internally verified'. More information on the sub-options for this indicator is stated above in terminology.

Evidence: 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).

Scoring: This indicator is scored as a Three Section Indicator.

This indicator consists of 6 sections all of which result in a different score depending on whether the relevant communication method is internally verified, externally checked, verified or assured.

PD5

Has a formal impact assessment been performed for this entity?

PD6

Yes

Types of formal assessment performed

Environmental impact statement/report/assessment

Last performed _____

Health Impact Assessment

Last performed _____

Social Impact Assessment

Last performed _____

Community needs assessment

Last performed _____

Human rights assessment

Last performed _____

Other assessment _____

Last performed _____

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)

Intent

The intent of this indicator is to 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.

Terminology

Impact Assessment: The process of identifying the future consequences of a current or proposed action. The "impact" is the difference between what would happen with the action and what would happen without it. (https://www.iaia.org/uploads/pdf/What_is_IA_web.pdf)

Requirements Select yes or no. If you select yes, you can also select all applicable sub-options. For each sub-option selected, it is mandatory to also provide the date last performed. Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.

Additional Information The date last performed is for reporting purposes only and not included in scoring.
Pre-filling and changes from 2016: This indicator has been slightly changed from the 2016 Assessment but has been pre-filled with 2016 Assessment answers. Review the response and evidence carefully before submitting your Assessment. Changes include the addition of the sub-option 'human rights assessment' and the inclusion of an open text boxes for last reviewed for each sub-option.

Evidence: 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.

Scoring: This indicator is scored as a Three Section Indicator. The score of section 2 is determined using a diminishing increase in score per additional sub-option selected, and, if applicable, the validity of the 'other' answer provided.

PD6 Does the entity communicate about its ESG activities?

PD7

Yes

Communication strategy

Public website

ESG Policy/Policies

ESG Targets

ESG Actions

ESG Performance

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

Section of Annual Report

ESG Policy/Policies

ESG Targets

ESG Actions

ESG Performance

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

- Integrated Report
 - ESG Policy/Policies
 - ESG Targets
 - ESG Actions
 - ESG Performance

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

- Sustainability report
 - ESG Policy/Policies
 - ESG Targets
 - ESG Actions
 - ESG Performance

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

- Investor reporting
 - ESG Policy/Policies
 - ESG Targets
 - ESG Actions
 - ESG Performance

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

Other _____

ESG Policy/Policies

ESG Targets

ESG Actions

ESG Performance

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)

Intent

The intent of this indicator is to 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.

Requirements

Select yes or no. If you select yes, you can also select all applicable communications sub-options. For each of the communications selected, select the ESG elements included. Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.

Additional Information

Entities are not expected to select all options as some options are mutually exclusive.

Pre-filling and changes from 2016: This indicator has been slightly changed from the 2016 Assessment but has been pre-filled with 2016 Assessment answers. Review the response and evidence carefully before submitting your Assessment. Changes include addition of the sub-option 'investor reporting'. Make sure when you select this option it is not a duplicate of the sub-option 'other' provided in 2016.

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

Scoring: Each indicator sub-option is a separate section which is scored separately taking into account evidence provided. The total score is calculated with a diminishing return on sub-options selected.

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

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 communications processes during the reporting period.
- The entity did not use any 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)

Intent

The intent of this indicator is to assess the entity’s strategy to communicate about ESG-related misconduct, penalties, incidents or accidents. 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.

Requirements

Select yes or no. If you select yes, you can also select all applicable sub-options. It is mandatory to select if the entity has used none or one or more of the communication processes during the reporting period. This is for reporting purposes only.

Open text box: The text must describe, at a high level, the communication process, including if applicable, any follow up procedures followed. This must include:

- Type of communication. Examples can include, but are not limited to: phone calls, emails, agenda items in meetings, included in reporting;
- Frequency and timing of communication. Examples can include expected time boundaries for communication (e.g. within 2 days of reported incident)

Additional Information

Note that the focus of this indicator is on the communication process, rather than the disclosure of specific misconducts, penalties, incidents or accidents.

Pre-filling and changes from 2016: This indicator has changed from the 2016 Assessment and has not been pre-filled with 2016 Assessment answers. Changes include the addition of an open text box to describe other stakeholders and an open text box to describe the process in lieu of the option to provide evidence.

Scoring: This indicator is scored similarly to a Three Section Indicator. The score of section 2 is determined using a diminishing increase in score per additional sub-option selected, and, if applicable, the validity of the ‘other’ answer provided.



Risks & Opportunities

2016 Indicator

R01

Has an environmental risk assessment, applying to this entity, taken place within the last three years?

R01

Yes

Issues for which risk is assessed (select all that apply)

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

Intent

The intent of this indicator is to 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.

Requirements

Select yes or no. If you select yes, you can also select all applicable sub-options. Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.

Other: In the case the entity has a risk assessment on environmental issues which stands outside the listed options, the ‘other’ option may be selected. Ensure the other policy provided is not a duplicate of the listed issues.

Additional Information

Pre-filling and changes from 2016: This indicator has changed from the 2016 Assessment and has not been pre-filled with 2016 Assessment answers. The structure of this Indicator has changed and now only includes risk assessment.

Evidence: Acceptable evidence may include a document or documents describing the entity’s environmental risk assessment. This evidence may include staff evaluations, consultant reports, checklists, scenario analysis, a section of an environmental management plan addressing risks, an extract of a risk register or 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 for each issue.

Scoring: This indicator is scored as a Three Section Indicator.

The score of section 2 is determined using a diminishing increase in score per additional sub-option selected, and, if applicable, the validity of the 'other' answer provided.

Note that not all criteria are expected to be relevant for all sectors. This will be adjusted in the sector-specific scoring models accordingly.

R02

Has a social risk assessment, applying to this entity, taken place within the last three years?

R02

Yes

Issues for which risk is assessed (select all that apply)

- Child labor
- Community / other stakeholder relations
- Customer satisfaction
- Discrimination
- Employee engagement
- Forced or compulsory labor
- Freedom of association
- 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
- 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)

Intent

The intent of this indicator is to assess the entity's understanding and mitigation of key social risks. Systematic responses to social issues include effective risk assessment, thoughtful mitigation planning, and implementation of action plans.

Requirements

Select yes or no. If you select yes, you can also select all applicable sub-options. Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.

Additional Information

Other: In the case the entity has a risk assessment on social issues which stands outside the listed options, the 'other' option may be selected. Ensure the other policy provided is not a duplicate of the listed issues.

Note that if certain social issues are embedded in law and/or regulation in the countries of operation, the entity may select the option and evidence can be provided as a reference to the specific law or regulation on the provided Evidence template.

Pre-filling and changes from 2016: This indicator has changed from the 2016 Assessment and has not been pre-filled with 2016 Assessment answers. The structure of this Indicator has changed and now only includes risk assessment.

Evidence: Acceptable evidence may include a document or documents describing the entity's social risk assessment. This evidence may include staff evaluations, consultant reports, checklists, scenario analysis, an extract of a risk register or 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 for each issue.

Scoring: This indicator is scored as a Three Section Indicator.

The score of section 2 is determined using a diminishing increase in score per additional sub-option selected, and, if applicable, the validity of the 'other' answer provided.

Note that not all criteria are expected to be relevant for all sectors. This will be adjusted in the sector-specific scoring models accordingly.

R03

Has a governance risk assessment, applying to this entity, taken place within the last three years?

R03

Yes

Issues for which risk is assessed (select all that apply)

- Audit committee structure/independence
- Board composition
- Bribery and corruption
- Compensation committee structure/independence
- Executive compensation
- Data protection and privacy
- Fraud
- Fiduciary duty
- Independence of Board chair
- Lobbying activities
- Political contributions
- Whistleblower protection
- 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)

Intent	The intent of this indicator is to assess the entity’s understanding and mitigation of key governance risks. Systematic responses to social issues include effective risk assessment, thoughtful mitigation planning, and implementation of action plans.
Requirements	<p>Select yes or no. If you select yes, you can also select all applicable sub-options. Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.</p> <p>Other: In the case the entity has a risk assessment on governance issues which stands outside the listed options, the ‘other’ option may be selected. Ensure the other policy provided is not a duplicate of the listed issues.</p>
Additional Information	<p>Note that if certain governance issues are embedded in law and/or regulation in the countries of operation, the entity may select the option and evidence can be provided as a reference to the specific law or regulation on the provided Evidence template.</p> <p>Pre-filling and changes from 2016: This indicator has changed from the 2016 Assessment and has not been pre-filled with 2016 Assessment answers. The structure of this Indicator has changed and now only includes risk assessment.</p> <p>Evidence: Acceptable evidence may include a document or documents describing the entity’s governance risk assessment. This evidence may include staff evaluations, consultant reports, checklists, scenario analysis, an extract of a risk register or 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 for each issue.</p> <p>Scoring: This indicator is scored as a Three Section Indicator.</p> <p>The score of section 2 is determined using a diminishing increase in score per additional sub-option selected, and, if applicable, the validity of the ‘other’ answer provided.</p> <p>Note that not all criteria are expected to be relevant for all sectors. This will be adjusted in the sector-specific scoring models accordingly.</p>



Implementation

2016 Indicator

IM1

Can the entity provide specific examples of actions taken to mitigate ESG related risk or improve ESG performance?

IM1

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)	Keywords describing action (2)	Description of action (3)	Fraction of entity covered by action (4)	Context (5)
Environmental				
Select				
+ Add another action				
Social				
Select				
+ Add another action				
Governance				
Select				
+ Add another action				

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

(1) Categories of ESG issues (select applicable issue for each activity)

Environmental categories	Social categories	Governance categories
<ul style="list-style-type: none"> • Air pollutants • Biodiversity and habitat protection • Contamination • Energy • Greenhouse gas emissions • Invasive species • Resilience to catastrophe/disaster • Resilience (adaptation) to climate change • Water • Waste • Other _____ 	<ul style="list-style-type: none"> • Child labor • Customer satisfaction • Discrimination • Employee engagement • Forced or compulsory labor • Freedom of association • 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 • Other _____ 	<ul style="list-style-type: none"> • Audit committee structure/independence • Board composition • Bribery and corruption • Compensation committee structure/independence • Executive compensation • Data protection and privacy • Fraud • Fiduciary duty • Independence of Board chair • Lobbying activities • One share/one vote • Political contributions • Whistleblower protection • Other _____

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

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

(4) Classify the fraction of the entity covered by the action

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

(5) Provide context (50 words maximum)

Intent	The intent of this indicator is to assess the tangible actions taken to mitigate ESG related risk or improve ESG performance. The purpose of this indicator is to provide specific, representative examples of implementation actions taken by the entity to mitigate ESG related risk or 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.
Requirements	<p>For each of the actions added to the table, it is mandatory to:</p> <ol style="list-style-type: none"> 1. In column 1, select the ESG issue addressed or use the 'other' option to list a custom ESG issue; 2. In column 2, describe the action with one or two keywords; 3. In column 3, describe the action in more detail with a maximum of 50 words; 4. In column 4 provide the fraction of the entity's activities covered by weight; 5. In column 5 provide context. <p>Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.</p> <p>Other: In the case the entity has an example which stands outside the listed options, the 'other' option may be selected. Ensure the other issue provided is not a duplicate of the listed issues.</p>
Additional Information	<p>Examples for stakeholder engagement should not be provided in this indicator as examples will be covered in indicator SE3.</p> <p>Pre-filling and changes from 2016: This indicator has changed from the 2016 Assessment and has not been pre-filled with 2016 Assessment answers. The structure of the table has changed and includes a new column 5 'Context'.</p> <p>Evidence: Acceptable evidence provides an investor with specific, tangible examples of entity's action to mitigate environmental, social, and governance related risk and / or improve environmental, social and governance performance. Acceptable evidence may be as simple as communications such as a press release or a section in an internal or external reporting, a case study presentation. Examples of more complex evidence include technical studies or detailed reports. 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).</p> <p>Scoring: This indicator is scored as a Three Section Indicator. The score of section 2 is determined using a diminishing increase in score per additional sub-option selected, and, if applicable, the validity of the 'other' answer provided. The fraction of the entity's operations covered has an impact on the table scores.</p>



ME1

Is there an Environmental Management System (EMS) or comparable framework that applies to this entity?

ME1

Yes

Is the EMS or framework aligned with a 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 _____

Certification by _____

No

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)

Intent

The intent of this indicator is to assess the entity's use of a systematic process to 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.

Requirements

Select yes or no. If you select yes, you should also select yes or no for alignment with third-party standard. Next, select yes or no for the sub-indicator about verification and certification. If you select yes, select the applicable sub-options and provide the name(s) of the service provider(s). Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.

Other standard: In the case the entity has a standard which stands outside the listed options, the 'other' option may be selected. Ensure the other standard provided is not a duplicate of the listed standards.

Additional Information

Pre-filling and changes from 2016: This indicator has been slightly changed from the 2016 Assessment but has been pre-filled with 2016 Assessment answers. Review the response and evidence carefully before submitting your Assessment. Changes include the removal of the open text box to describe the EMS.

Evidence: 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.

Scoring: This indicator is scored similarly to a Three Section Indicator.

Innovation Case Study: Participants can submit a unique Innovation Case Study for each measure. All Innovation Case Studies are submitted via the Innovation Case Study section in the Portal and may be published on the Insights section of the GRESB website (upon review and with consent of the participant).

Note that participants are not expected to select all options for third-party alignment and certification/verification in order to achieve the highest score.

ME2

Is ESG performance data collected for this entity?

ME2

Yes

Type of ESG data collected by the entity

Environmental performance data

List specific data collected (for reporting purposes only)

Social performance data

List specific data collected (for reporting purposes only)

Governance performance data

List specific data collected (for reporting purposes only)

Other data _____

List specific data collected (for reporting purposes only)

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)

Intent	The intent of this indicator is to assess the entity's activities to collect ESG performance data. The collection of data is foundational to the effective management of ESG issues.
Requirements	<p>Select yes or no. If you select yes, you can also select all applicable sub-options. For each sub-option selected, it is mandatory to also provide the specific data collected. Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.</p> <p>Other data: In the case the entity has a ESG performance data which stands outside the listed options, the 'other' option may be selected. Ensure the other data provided is not a duplicate of the listed options.</p>
Additional Information	<p>Pre-filling and changes from 2016: This indicator has been slightly changed from the 2016 Assessment but has been pre-filled with 2016 Assessment answers. Review the response and evidence carefully before submitting your Assessment. Changes include the addition of open text boxes to list data collected. The text boxes are for reporting purposes only.</p> <p>Evidence: 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, input templates, or narrative descriptions.</p> <p>Scoring: This indicator is scored as a Three Section Indicator. The score of section 2 is determined using a diminishing increase in score per additional sub-option selected, and, if applicable, the validity of the 'other' answer provided.</p>



Stakeholder Engagement

2016 Indicator

SE1

Is there a stakeholder engagement program in place that applies to this entity?

SE1

Yes

Elements of the stakeholder engagement program

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

Align with third-party standard

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)

Intent

The intent of this indicator is to 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.

Requirements

Select yes or no. If you select yes, you can also select all applicable sub-options and indicate the third-party standard with which the stakeholder engagement program it is aligned. Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.

Other: In the case the entity has a stakeholder engagement program element which stands outside the listed options, the ‘other’ option may be selected. Ensure the other element provided is not a duplicate of the listed elements.

Additional Information

Pre-filling and changes from 2016: This indicator has changed from the 2016 Assessment and has not been pre-filled with 2016 Assessment answers. Changes include addition of the sub-option ‘other’ and the structure of the section ‘alignment with third-party standard’.

Evidence: 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.

Scoring: This indicator is scored as a Three Section Indicator.

The score of section 2 is determined using a diminishing increase in score per additional sub-option selected, the alignment with third-party standards, and, if applicable, the validity of the ‘other’ answer provided.

Is there a process for stakeholders to communicate grievances that applies to this entity?

Yes

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

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

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

- Number of grievances communicated ___
- Summary of types of grievances _____ (50 word limit)
- Summary of types of resolutions for grievances _____ (50 word limit)

Which stakeholders does the process apply to? (select all that apply)

- Employees
- Contractors
- Clients
- Supply chain
- Community
- Investors
- 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)

Intent The intent of this indicator is to 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.

Requirements Select yes or no. If you select yes, you can also select all applicable sub-options in the sections: 1. Describe the elements of the process, and 2. Which stakeholders does the process apply to? Optionally, select one or more sub-options to describe the use of the process and provide the number of grievances reported. Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.

Additional Information Information provided to describe the use of the process is for reporting purposes only, however, it is mandatory to complete at least 1 of the options available.
Pre-filling and changes from 2016: This indicator has changed from the 2016 Assessment and has not been pre-filled with 2016 Assessment answers. Changes include the addition of the sub-option ‘other’, the addition of open text boxes for reporting purposes and the inclusion of a ‘types of stakeholders’ section.
Evidence: Acceptable should only apply to the process, elements covered and stakeholder groups. Evidence may include an official document describing the grievance process or a link to a resource available to employees or other stakeholder groups to report grievances.
 There is no evidence needed for use of the process sub-section as this section is for reporting purposes only.
Scoring: This indicator is scored as a Three Section Indicator.
 The score of section 2 is determined using a diminishing increase in score per additional sub-option selected, and, if applicable, the validity of the ‘other’ answer provided.

SE3 Can specific examples of actions taken to implement the stakeholder engagement program for this entity be provided? SE2

Yes

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

Type of activity	Description of the activity	Stakeholder group(s) involved (1)	Nature of activity (2)	Benefits of the activity (3)
+ Add an activity				
+ Add an activity				

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

(1) Classify the stakeholder group addressed in the activity

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

(2) Classify the nature of the engagement

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

(3) Describe the intended benefit of the action

Intent	The intent of this indicator is to 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.
Requirements	<p>For each of the actions added to the table, it is mandatory to:</p> <ol style="list-style-type: none">1. In column 1, provide the type of action;2. In column 2, describe the action;3. In column 3, select the stakeholder group(s) addressed in the action or use the 'other' option to list a custom stakeholder group;4. In column 4, classify the nature of the engagement or use the 'other' option to list a custom engagement type;5. In column 5, describe the intended benefit of the action. <p>Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.</p>
Additional Information	<p>Pre-filling and changes from 2016: This indicator has changed from the 2016 Assessment and has not been pre-filled with 2016 Assessment answers. Changes include the simplification of the table structure.</p> <p>Evidence: The entity is required to provide tangible examples of actions to implement the stakeholder engagement program. 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.</p> <p>Scoring: This indicator is scored as a Three Section Indicator.</p> <p>The score of section 2 is determined using a diminishing increase in score per additional row completed.</p>



Performance Indicators

2016 Indicator

Standard Performance Indicator Requirements

For each Performance Indicator for which you have indicated that you can report data, you are required to provide at least one metric for the current assessment year. Minimally, this is a single value for 2016. Entities may submit up to five (5) years of historic data and up to three (3) targets for future years.

Open text box: The text must describe the standards, methodologies and assumptions used. It is optional to also provide information on interpretation or performance data and targets.

Additional Information

Pre-filling and changes from 2016: These indicators have not changed from the 2016 Assessment but have not been pre-filled with 2016 Assessment answers.

Scoring: With the exception of PI1, all Performance Indicators are scored in the same manner. Performance Indicators will be included in the sector specific scoring model and more information on scoring of the performance indicators will be available at the time of results release.

Indicator specific requirements which deviated from the above stated scoring methodology is listed with the specific indicator.

PI1 Can the entity report on measures of output?

PI1

Yes

Indicator	Units	Baseline	+	History			Targets		
				2014	2015	2016	Target year	Target year	Target year
From RC4			+						
+ Add an metric									

No

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

Intent

The intent of this indicator is to 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 Information

The entity is required to provide at least one set output measures for each business activity listed in RC4 for the current assessment year.

Scoring: This indicator is not scored.

Yes

Indicator	Units	Baseline	+	History			Targets		
				2014	2015	2016	Target year	Target year	Target year
Employees									
Fatalities			+						
Reportable injuries			+						
+ Add an metric									
Customer									
Fatalities			+						
Reportable injuries			+						
+ Add an metric									
Community									
Fatalities			+						
Reportable injuries			+						
+ Add an metric									

Provide the standards, methodologies and assumptions used. Optionally, provide information on interpretation and performance data and targets (maximum 250 words)

No

Intent

The intent of this indicator is to 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 Information

The entity is required to provide at least one set of health and safety metrics for the current assessment year, either fatalities or reportable injuries.

Can the entity report on energy generated and purchased?

Yes

Indicator	Units	Baseline	+	History			Targets		
				2014	2015	2016	Target year	Target year	Target year
Total energy generated			+						
+ Add an metric									
Total energy purchased			+						
+ Add an metric									

Provide the standards, methodologies and assumptions used. Optionally, provide information on interpretation and performance data and targets (maximum 250 words)

No

Intent

The intent of this indicator is to 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 Information

The entity is required to provide at least one set of energy metrics for the current assessment year. Entities should make a distinction in the energy generated section of the table between energy generated and consumed and energy generated and sold.

Yes

Indicator	Units	Baseline	+	History			Targets		
				2014	2015	2016	Target year	Target year	Target year
Emissions generated									
Scope 1	mTCO ₂ e		+						
Scope 2	mTCO ₂ e		+						
+ Add an metric									
Emissions avoided									
Scope 1	mTCO ₂ e		+						
Scope 2	mTCO ₂ e		+						
+ Add an metric									
Emissions absorbed									
Scope 1	mTCO ₂ e		+						
Scope 2	mTCO ₂ e		+						
+ Add an metric									

Provide the standards, methodologies and assumptions used. Optionally, provide information on interpretation and performance data and targets (maximum 250 words)

No

Intent

The intent of this indicator is to 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 Information

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. Participants can provide information based on measurement or, alternatively, in line with requirements for their regulatory permit (context should be provided in this case).

Pre-filling and changes from 2016: This indicator has been slightly changed from the 2016 Assessment to include a sub-section on emissions absorbed.

Yes

Indicator	Units	Baseline	+	History			Targets		
				2014	2015	2016	Target year	Target year	Target year
Emissions generated									
SOx	Intensity		+						
NOx	Intensity		+						
PM2.5	Intensity		+						
PM10	Intensity		+						
+ Add an metric									
Emissions avoided									
SOx	Intensity		+						
NOx	Intensity		+						
PM2.5	Intensity		+						
PM10	Intensity		+						
+ Add an metric									

Provide the standards, methodologies and assumptions used. Optionally, provide information on interpretation and performance data and targets (maximum 250 words)

No

Intent

The intent of this indicator is to assess the entity’s emissions and avoidance of air pollutants, other than GHGs. 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 Information

The entity is required to provide at least one set of air pollutant metrics for the current assessment year. Participants can provide information based on measurement or, alternatively, in line with requirements for their regulatory permit (context should be provided in this case).

Yes

Indicator	Units	Baseline	+	History			Targets		
				2014	2015	2016	Target year	Target year	Target year
Withdrawals									
Potable water supply	Volume		+						
Surface water	Volume		+						
Seawater	Volume		+						
Rainwater	Volume		+						
+ Add an metric									
Consumption									
Total	Volume		+						
+ Add an metric									
Discharged									
Municipal Treatment Plant	Volume		+						
Surface water	Volume		+						
Seawater	Volume		+						
Groundwater	Volume		+						
+ Add an metric									
Reused and Recycling									
Total	Volume		+						
+ Add an metric									

Provide the standards, methodologies and assumptions used. Optionally, provide information on interpretation and performance data and targets (maximum 250 words)

No

Intent

The intent of this indicator is to 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 Information

The entity is required to provide at least one set of metrics describing water withdrawal, consumption, or discharge for the current assessment year.

Pre-filling and changes from 2016: This indicator has been slightly changed from the 2016 Assessment to include a sub-section on reused and recycling.

Yes

Indicator	Units	Baseline	+	History			Targets		
				2014	2015	2016	Target year	Target year	Target year
Waste generation									
Hazardous	Mass		+						
Non-hazardous	Mass		+						
+ Add an metric									
Discharged									
Recycling	Mass		+						
Incineration	Mass		+						
Landfill	Mass		+						
+ Add an metric									

Provide the standards, methodologies and assumptions used. Optionally, provide information on interpretation and performance data and targets (maximum 250 words)

No

Intent

The intent of this indicator is to 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 Information

The entity is required to provide at least one set of metrics describing waste generation and disposal for the current assessment year.

Yes

Indicator	Units	Baseline	+	History			Targets		
				2014	2015	2016	Target year	Target year	Target year
Wildlife									
Wildlife fatalities	Count		+						
T&E species fatalities	Count		+						
+ Add an metric									
Habitat management									
Habitat removed	Ha		+						
Habitat enhanced or restored	Ha		+						
Habitat protected (on-site)	Ha		+						
Habitat protected (off-site)	Ha								
+ Add an metric									

Provide the standards, methodologies and assumptions used. Optionally, provide information on interpretation and performance data and targets (maximum 250 words)

No

Intent

The intent of this indicator is to 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 Information

The entity is required to provide at least one set of metrics describing biodiversity and habitat for the current assessment year.



Certifications & Awards

2016 Indicator

CA1

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

CA1

Yes

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

- ISO 9000 Date first accredited _____ % of operations ▼
- ISO 14001 Date first accredited _____ % of operations ▼
- OHSAS 18001 Date first accredited _____ % of operations ▼
- ISO 26000 Date first accredited _____ % of operations ▼
- ISO 55000 Date first accredited _____ % of operations ▼
- ISO 50001 Date first accredited _____ % of operations ▼
- Other _____ Date first accredited _____ % of operations ▼

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)

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

The intent of this indicator is to assess the achievement and maintenance of entity-level accreditations. These designations may reflect action to promote different superior management or best practices.

- Requirements** Select yes or no. If you select yes, you can also select all applicable sub-options. Additionally, for each sub-option selected, it is mandatory to indicate date first accredited, as well as the percentage of the entity's operations covered by the certification/accreditation.
Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.
Other: In the case the entity has an accreditation or certification which stands outside the listed options, for example a local or sector-specific accreditation, the 'other' option may be selected. Ensure the other accreditation or certification provided is not a duplicate of those listed.
- Additional Information** Note that accreditations for operators which are inclusive of the participating entity are acceptable for inclusion in this indicator.
Pre-filling and changes from 2016: This indicator has not changed from the 2016 Assessment but has not been pre-filled with 2016 Assessment answers. The list of sub-options has changed.
Evidence: Acceptable evidence will provide specific information about accreditations and certifications achieved or maintained by the entity. This evidence may include a copy of an official certificate or other confirmation of the certification or credential.
Scoring: This indicator is scored as Three Section Indicator.
Note that participants are not expected to select all sub-options to achieve the highest score.

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

CA2

Yes

List project(s) and/or certifications achieved

Project name	Date of award	Scheme name/Sub-scheme name/Level (1)	Phase (2)
+ Add a project			

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)

(1) Scheme Name/Sub-scheme Name

Select from Certifications Database or Add

(2) Phases

- ▼ Planning and design
- ▼ Construction
- ▼ Operations

Intent

The intent of this indicator is to 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.

- Requirements** For each of the actions added to the table, it is mandatory to:
1. In column 1, provide the name of the project;
 2. In column 2, provide the date of the certification;
 3. In column 3, select the scheme/sub-scheme name. If the name is not present in the list, you may add the scheme by filling out the a Certification form (see Appendix)
 4. In column 4, select the phase of the project for which the certification applies.

Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.

Additional Information

Pre-filling and changes from 2016: This indicator has not changed from the 2016 Assessment but has not been pre-filled with 2016 Assessment answers.

Evidence: 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.

Scoring: This indicator is scored as Three Section Indicator.

Note that participants are not expected to select all sub-options to achieve the highest score.

CA3 Did the entity receive awards for ESG-related actions, performance or achievements? (for reporting purposes only)

CA3

- 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 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)

Intent

The intent of this indicator is to assess third-party awards received by the entity for ESG management or performance. Awards provide a potentially useful indicator of entity performance.

Requirements

For each of the awards added to the table, it is mandatory to:

1. In column 1, provide the name of the award;
2. In column 2, provide the name of the organization issuing the award;
3. In column 3, provide the date of award;
4. In column 4, provide the basis for the award.

Providing evidence via an upload or hyperlink is optional. However, if evidence is provided, it is mandatory to indicate where in the evidence the relevant information can be found.

Additional Information

Pre-filling and changes from 2016: This indicator has not changed from the 2016 Assessment but has not been pre-filled with 2016 Assessment answers.

Evidence: The entity should provide sufficient information to allow investors to access case studies, research, or other supplemental materials.

Scoring: This indicator is for reporting purposes only and will not be scored.

Was the entity the subject of case studies, research, or similar publications describing its ESG management and/or performance? (for reporting purposes only)

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. Entities also have the option to create and share a GRESB Innovation Case Study.

- Provide a link (URL) to a description of the activity
- Create a GRESB Innovation Case Study

Intent

The intent of this indicator is to 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.

Requirements

For each of the case studies added to the table, it is mandatory to:

1. In column 1, provide the name of the case study;
2. In column 2, provide the name of the organization conducting the case study;
3. In column 3, provide a description of the case study;
4. In column 4, provide evidence by either 1. Providing a link (URL) to a description of the activity or 2. Creating a GRESB Innovation Case Study.

Additional Information

Pre-filling and changes from 2016: This indicator has not changed from the 2016 Assessment but has not been pre-filled with 2016 Assessment answers.

Scoring: This indicator is for reporting purposes only and will not be scored.

1: Assurance and Verification Schemes

Select scheme from list below:

- ▼ AA1000 Assurance Standard
- ▼ Advanced technologies promotion Subsidy Scheme with Emission reduction Target (ASSET)
- ▼ Airport Carbon Accreditation (ACA) des Airports Council International Europe
- ▼ Alberta Specified Gas Emitters Regulation
- ▼ ASAE 3000
- ▼ Attestation Standards established by the American Institute of Certified Public Accountants/AICPA (AT101)
- ▼ Australia National Greenhouse and Energy Regulations
- ▼ California Mandatory Greenhouse Gas Reporting Regulation (NGER Act) (also known as Californian Air Resources Board regulations)
- ▼ Canadian Institute of Chartered Accountants (CICA) Handbook: Assurance Section 5025 Carbon Trust Standard
- ▼ Certified Emissions Measurement and Reduction Scheme (CEMARS)
- ▼ Chicago Climate Exchange verification standard
- ▼ Compagnie Nationale des Commissaires aux Comptes (CNCC)
- ▼ Corporate GHG Verification Guidelines from ERT
- ▼ DNV Verisustain Protocol/ Verification Protocol for Sustainability Reporting
- ▼ ERM GHG Performance Data Assurance Methodology
- ▼ IDW AsS 821: IDW Assurance Standard: Generally Accepted Assurance Principles for the Audit or Review of Reports on Sustainability Issues
- ▼ ISAE 3000
- ▼ ISAE 3410, Assurance Engagements on Greenhouse Gas Statements
- ▼ ISO 14064-3
- ▼ JVETS (Japanese Voluntary Emissions Trading Scheme) Guideline for verification
- ▼ Korean GHG and Energy Target Management System
- ▼ NMX-SAA-14064-3-IMNC: Instituto Mexicano de Normalización y Certificación A.C
- ▼ RevR6 Procedure for assurance of sustainability report from Far, the Swedish auditors professional body
- ▼ Saitama Prefecture Target-Setting Emissions Trading Program
- ▼ SGS Sustainability Report Assurance
- ▼ Spanish Institute of Registered Auditors (ICJCE)
- ▼ Standard 3410N Assurance engagements relating to sustainability reports of the Royal Netherlands Institute of Registered Accountants
- ▼ State of Israel Ministry of Environmental Protection, VERIFICATION OF GREENHOUSE GAS EMISSIONS AND EMISSIONS REDUCTION IN ISRAEL GUIDANCE DOCUMENT FOR CONDUCTING VERIFICATIONS, Process A
- ▼ The climate Registry General Verification Protocol (also known as California Climate Action Registry (CCAR)) Tokyo Emissions Trading Scheme
- ▼ Verification under the EU Emissions Trading Scheme (EU ETS) Directive and EU ETS related national implementation laws

2: Name of Organization - Validation Questions

Organization website _____

Office location (city/country) _____

Who could GRESB contact for validation purposes?

Name _____

Email _____

Phone number _____

NB: This information is only used for validation purposes where the organization is not yet confirmed as a valid answer in GRESB's validation database.

3: Green Certificates - Validation Questions

THE FOLLOWING QUESTIONS ARE FOR VALIDATION PURPOSES; MANDATORY BUT NOT SCORED

A. Certification scheme

- a. Certification scheme name
- b. Certification sub-scheme name
- c. Certification body name

B. Is the certification country or sector/property type specific?

- a. Country specific
- b. Sector/property type specific
- c. Both country and sector/property type specific

C. Country where certification was granted _____

D. Is the certification an in-house or external scheme?

- a. In-house certification scheme
- b. External scheme

E. Verification of compliance with scheme requirements is based on:

- a. Third-party document review
- b. Third-party on-site assessment
- c. Both document and on-site assessment performed by a third party
- d. No third-party document review or on-site assessment required

(NB: If you use an in-house scheme, GRESB will ask for an upload to provide additional information on the scheme. If no third-party document review or on-site assessment required, GRESB will ask for an upload to provide specific information on the assessment method)

F. Does the scheme have a public list of certified projects online?

Yes

Provide hyperlink _____

No

G. Is the scheme required by a national or regional government agency?

Yes

Specify name of agency _____

No

H. Is the scheme used by a national or regional government agency?

Yes

Specify name of agency_____

No

I. Does the certification require:

- a. Performance-based design goals for energy efficiency and/or GHG emissions reduction
- b. Operational performance data for energy efficiency and/or GHG emissions reduction
- c. Both design and operational goals and data collection
- d. None

J. Select the topics included in the scheme assessment: (multiple answers possible)

- a. Location (e.g., brownfield redevelopment, density, walkability)
- b. Transportation (e.g., access to public transport)
- c. Site design (including stormwater management, heat island reduction, etc.)
- d. Energy efficiency
- e. Greenhouse gas emissions
- f. Indoor water conservation
- g. Outdoor water conservation
- h. Waste management (including waste diversion, recycling)
- i. Indoor environmental quality
- j. Operations/management
- k. Materials selection
- l. Biodiversity and habitat conservation
- m. Public health and wellness
- n. Social equity
- o. Resilience

K. Use the text box below to provide any additional information about the scheme (maximum 250 words)

4: Conversion Tables

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

5: GRESB Infrastructure Partners

Global Partners

WSP Global Inc.



Doug Webber

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Canada

WSP is one of the world's leading engineering professional services consulting firms. We provide services to transform the built environment and restore the natural environment. Our expertise ranges from environmental remediation to urban planning, from engineering iconic buildings to designing sustainable transport networks, and from developing the energy sources of the future to creating innovations that reduce environmental impact. We have approximately 34,000 employees, including engineers, technicians, scientists, architects, planners, surveyors, program and construction management professionals, and various sustainability experts, in more than 500 offices across 40 countries worldwide.

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Premiere Partners

CSR Design Green Investment Advisory, Co., Ltd.



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CSR Design Green Investment Advisory, Co., Ltd. ("CSR Design") is a specialist consulting firm based in Japan, focusing on sustainability aspects in the property and infrastructure sectors. CSR Design has been collaborating with GRESB since 2011 as the first GRESB Partner in Japan. The firm is also a signatory of PRI, and the CEO of the firm, Ryuichi Horie, serves as an advisor for UNEP FI property working group.

"CSR" stands for "Catalyst for Sustainability and Responsibility" as well as Corporate Social Responsibility. As such, the firm's mission is to transform the built environment to a more sustainable one, collaborating with the investment sector as a driver.

CSR Design has extensive experience to support property companies, including developers, J-REIT asset managers and property funds, to operate in a more sustainable manner, both on the asset level and the company/portfolio level.

The firm also keeps dialogues with Japanese national and municipal governments by providing research and proposals for their policy-making process on climate change strategies in the building sector.

www.csr-design-gia.com/english

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Element	Location (page, paragraph)
e.g. biodiversity and habitat	P.2, second paragraph

Notes

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