

G R E S B[®]
INFRASTRUCTURE

2019

Fund Scoring Document

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Disclaimer: 2019 GRESB Infrastructure Assessments

The information in this document has been provided in good faith and is provided on an “as is” basis. While we do not anticipate major changes, we reserve the right to make modifications prior to the official 2019 results launch on September 4. We will publicly announce any such modifications.

Introduction

This document outlines the scoring methodology of the 2019 Infrastructure Fund Assessment. It is shared for information purposes, to provide transparency on the Assessment, Methodology and Scoring processes.

How to read this document

The GRESB Infrastructure Fund Scoring Document provides a breakdown of each indicator score included in the 2019 GRESB Infrastructure Fund Assessment. We recommend reading this document in conjunction with the [Reference Guide](#), which includes the reporting requirements of indicators.

Indicators in the GRESB Infrastructure Fund Scoring Document are presented in a consistent manner to reflect the 2019 GRESB Infrastructure Fund Reference Guide. Please note the following:

- Numbers are documented in red on the left side of each scored indicator. They provide a breakdown of scoring for the indicator, including an explanation underneath.
- Provided on the far left are values representing the total number of points apportioned to the indicator, contributing to the overall indicator score. This is applied to all options contained within their respective bracket (when applicable).
- Represented within the square brackets "[" are the numbers demonstrating the fraction of points allocated for the indicator.
- The Symbol "x" (outside or inside brackets) indicates as a multiplier depending on the value associated. "x" can refer to a validation decision. What this multiplier applies to, can be found within the narrative located underneath each indicator.
- Blue brackets represents a Diminishing Increase in Scoring approach being applied. This scoring methodology is described further below.

Example of indicator level scoring:

Example: Fund 3 indicator

FUND3 Has the entity made a formal commitment to ESG standards or principles?

FUND3

1/10 Yes

Formal general ESG commitments (multiple answers possible)

1/2 UN Global Compact

1/2 UN Environment Programme Finance Initiative

1/2 Equator Principles

1/2 PRI

27/50 If so, did you report?

Yes

No

Please explain why: _____

1/2 Other: _____

Formal issue-specific commitments (multiple answers possible)

1/3 Climate Action 100+

1/3 International Labour Organization (ILO) Standards

1/3 Global Investor Coalition on Climate Change (including AIGCC, Ceres, IGCC, IIGCC)

1/3 Climate Action in Financial Institutions Initiative

18/50 1/3 Montreal Pledge

1/3 Science Based Targets Initiative

1/3 Task Force on Climate-related Financial Disclosures

1/3 Other: _____

UPLOAD or URL _____

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

No

Provide additional context for the answer provided (not validated, for reporting purposes only)

8 points

This indicator is split into three sections represented by two fractions and an "x" in the far-left column. The first section addresses 'general ESG commitments', the second covers 'issue-specific commitments', the final section covers evidence. The far-left column tells us that the score of the indicator is calculated as follows; (where the section and evidence scores are all numbers between 0 and 1):

$$\text{Indicator score} = (\text{General ESG commitments score} * 6/10) + (\text{Issue-specific ESG commitments score} * 4/10) * \text{evidence score} * 8 \text{ points}$$

- The first section is worth 3/5 (60%) of the indicator score. This section contains 4 checkboxes, including 1 *other*. The fractions next to each option (1/2) show the proportion of the section score achieved.
- The second section is worth 2/5 (40%) of the indicator score. This section contains 7 checkboxes, including 1 *other*. The fractions next to each option (1/3) show the proportion of the section score achieved.
- Lastly, the evidence answer which is a multiplier on the total score from the other sections.

Evidence: The evidence is manually validated and assigned a multiplier, according to the table below. The evidence must support the validation requirements. If any requirements are not met, the evidence may be partially accepted or not accepted depending on the level of alignment with the requirements.

Validation status	Score
Accepted	2/2
Partially accepted	1/2
Not accepted/not provided	0

If the respondent achieved maximum scores for both of the first and second sections, with partially accepted evidence (resulting in a multiplier of 0.5), the score is:

$$((1 * 6/10) + (1 * 4/10)) * 0.5 * 8 \text{ points} = \text{points}$$

Scoring Methodology

Scoring Model

The sum of the scores for all indicators adds up to a maximum of 100 points, therefore the overall GRESB Fund Score is an absolute measure of ESG management and performance expressed as a percentage.

Fund Scoring

The GRESB Fund Score is based on a combination of the Fund Assessment Score and the Weighted Average Asset (WAA) Score.

Fund Score: All participants receive a Fund Score. The Fund Assessment contains 13 different ESG indicators which are weighted as follows:

Indicator	Weight (% Overall Score)
Fund 1 - Sustainable Investment Strategy	8.0%
Fund 2 - ESG Policies	8.0%
Fund 3 - ESG Commitments	8.0%
Fund 4 - Implementation Responsibility	5.0%
Fund 5 - Senior Decision Maker	5.0%
Fund 6 - ESG-related performance targets (NEW)	5.0%
Fund 7 - Gender & Diversity (NEW)	0.0%
Fund 8 - Assessment of ESG Risks & Opportunities	13.3%
Fund 9 - Monitoring of ESG Risks & Opportunities	13.3%
Fund 10 - Analysis of Asset Performance	13.3%
Fund 11 - ESG Disclosure	8.0%
Fund 12 - Third-party Review	5.0%
Fund 13 - ESG-related Misconduct, Penalties, Incidents	8.0%

Weighted Average Asset (WAA) Score:

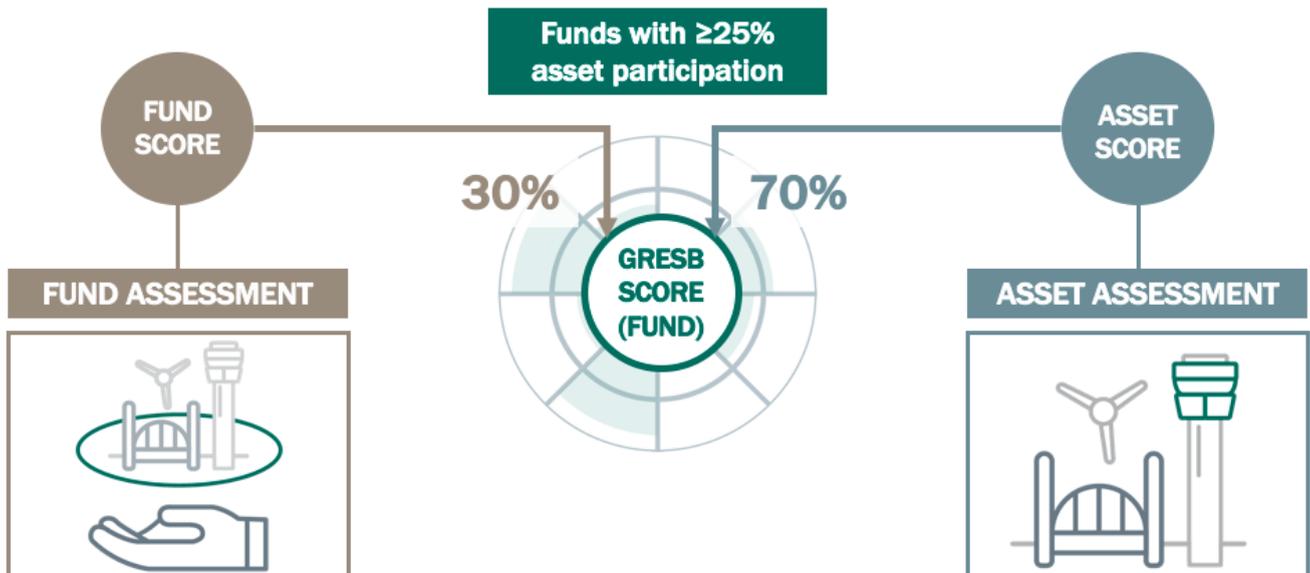
In order to receive a GRESB Fund Score in the Fund Assessment, then at least 25% weight of underlying assets (based on AUM), need to participate in the 2019 GRESB Asset Assessment. Once this threshold is met (and the assets have confirmed links and submitted assessments), then the entity receives a Weighted Average Asset (WAA) Score. The WAA Score is a weighted average of the asset scores of all assets listed by the fund in the Summary of Entity Assets table in indicator A1 (the 'table'). Non-reporting assets, or assets without a 'Confirmed' connection status, will receive an asset score of 0 for the purposes of calculating the WAA Score. The weights reported in the table should be equity based; so that the weight of an asset reported in the table, represents the equity invested in the asset divided by the total equity invested in all assets in the fund.

GRESB Fund Score:

The overall GRESB Fund Score is then calculated based on a 30% weighting from the Fund Score and 70% weighting from the WAA Score. This is calculated based on the following formula:

$$\text{GRESB Fund Score} = (0.3 \times \text{Fund Score}) + (0.7 \times \text{WAA Score})$$

Two Complimentary Assessments



Additional information on fund scoring:

- At least 25% of assets (based on AUM) should report in the GRESB Asset Assessment to calculate a WAA and to receive an overall GRESB Fund Score.
- If 25% of assets (based on AUM) or less participate in the GRESB Asset Assessment, the fund will only receive a Fund Score.
- Funds are entitled to exclude specific assets from contributing to the WAA if there is a valid reason (e.g. greenfield assets, operational for less than six months, or ownership for less than six months).

Indicator Scoring

There are three models used for indicator scoring:

- One Section indicator - consisting of only Section 1 (Elements)
- Two Section indicator - consisting of both Section 1 (Elements) & 2 (Evidence)
- Not scored

Note that selection of the 'Yes/No' responses in relation to the indicator question, will no longer be scored in 2019

Section One (Elements)

Every scored indicator begins with this section which can receive a score between 0 and 1, determined by selections made in checkboxes and radio buttons, and answers provided in open text boxes. Based upon these inputs, scores are calculated using an aggregated points or a diminishing increase in scoring methodology.

Aggregated points: For indicators where one or more answers can be selected, points are awarded cumulatively for each individual selected answer and then aggregated to calculate a final score for the indicator. In some cases, each checkbox answer may be equally weighted and in others, each checkbox answer may be assigned a higher or lower amount of points each, to reflect best practice responses. For many indicators, the final score is capped at a maximum, which means that it is not necessary to select all checkbox answers in order to receive full points.

MA3 Guidance Ask GRESB

Does the entity have specific ESG objectives? clear answer

Yes

The objectives relate to (multiple answers possible)

General sustainability

Environment

Social

Governance

The objectives are clear answer

Publicly available

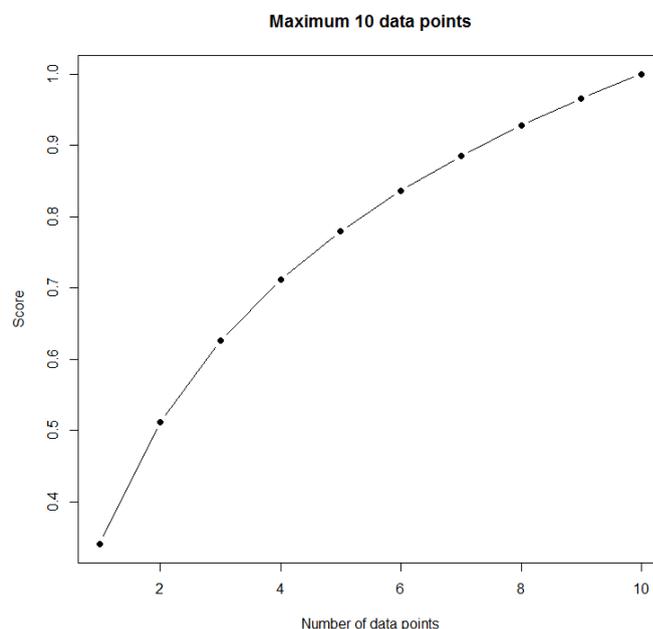
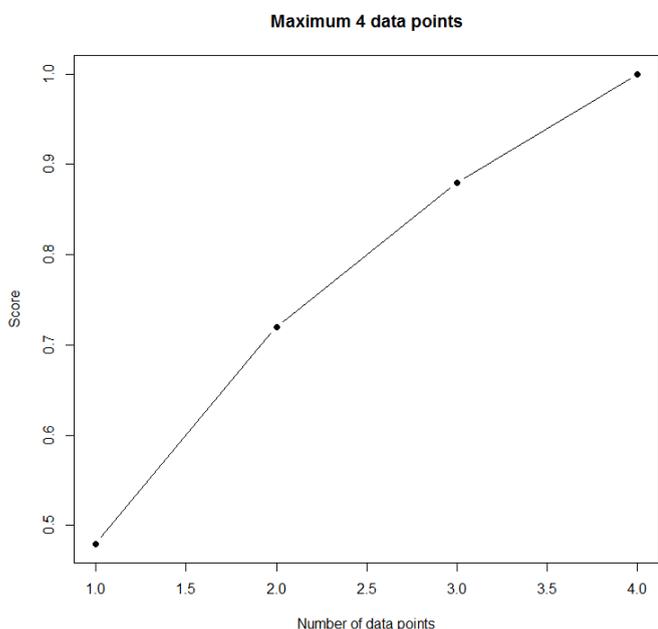
Add supporting evidence

Section 1 (Elements)

Section 2 (Evidence)

Diminishing increase in scoring: Under this methodology, the number of additional points achieved for each additional option selected 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 additional points achieved for the second, which again will be higher than for the third, and so on.

Plots of scores for differing number of reported data points



If an indicator is a One Section indicator, the score calculated in this section will also be its final score.

Section 2 (Evidence)

Some indicators include an evidence section to verify information provided in section 1 (Elements). In these cases, the score for the evidence section acts as a multiplier to the Section 1 score. Evidence can be optional or mandatory, and is scored as follows:

- Optional evidence receives a score of 0.3, 0.65 or 1. 0.3 points are given for providing no evidence or where the evidence is not-accepted, 0.65 points are given where the evidence is partially accepted and 1 point is given where the evidence is fully accepted.
- Mandatory evidence receives a score of 0, 0.5 or 1. 0 points are given for providing no evidence or where the evidence is not-accepted, 0.5 points are given where the evidence is partially accepted and 1 point is given where the evidence is fully accepted. The indicator will receive no points unless the hyperlink and/or uploaded document is considered valid (i.e. partially and/or fully accepted).

The total indicator score is then calculated as:

$$\text{Indicator score} = (\text{Section 1 score}) \times (\text{Section 2 score})$$

Fund Management & Investment Process

Policies & Objectives

2018 Indicator
FUND1

FUND1 Does the entity have a sustainable investment strategy?

$\frac{1}{10}$ Yes

Sustainable investment strategies adopted by the entity (multiple answers possible)

- $\frac{1}{2}$ Integration of ESG factors
- 1 Negative/exclusionary screening
- 1 Positive/best-in-class screening
- $\frac{9}{10}$ 1 Norms-based screening
- 1 Sustainability themed investing
- 1 Impact/community investing
- 1 Corporate engagement and shareholder action

Describe the strategy and how it is being implemented (for reporting purposes only)

Can the entity provide evidence as an UPLOAD or URL?

- Yes
- x 1 **UPLOAD** or URL _____
Indicate where in the evidence the relevant information can be found _____
- $\frac{3}{10}$ No
- No

Provide additional context for the answer provided (not validated, for reporting purposes only)

8 points

Evidence: The evidence is manually validated and assigned a multiplier, according to the table below. The evidence must support the validation requirements. If any requirements are not met, the evidence may be partially accepted or not accepted depending on the level of alignment with the requirements.

Validation status	Score
Accepted	20/20
Partially accepted	13/20
Not accepted/not provided	6/20

The open text box, which describes the strategy and how it is being implemented, is for reporting purposes only and is not scored.

FUND2 Does the entity have an ESG policy or policies that apply to this entity?

FUND2

$\frac{1}{10}$ Yes

Policies address (multiple answers possible)

$\frac{1}{6}$ General sustainability
Last reviewed and/or updated: _____

$\frac{1}{3}$ Environmental issues
Last reviewed and/or updated: _____

$\frac{1}{3}$ Social issues
Last reviewed and/or updated: _____

$\frac{1}{3}$ Governance issues
Last reviewed and/or updated: _____

The policies are

Publicly available
UPLOAD or URL _____

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

Not publicly available

UPLOAD
 $\frac{3}{4}$ Indicate where in the evidence the relevant information can be found _____

No

Provide additional context for the answer provided (not validated, for reporting purposes only)

8 points

Evidence: The evidence is manually validated and assigned a multiplier, according to the table below. The evidence must support the validation requirements. If any requirements are not met, the evidence may be partially accepted or not accepted depending on the level of alignment with the requirements.

Validation status	Score
Accepted	2/2
Partially accepted	1/2
Not accepted/not provided	0

Evidence: The evidence is manually validated and assigned a multiplier, according to the table below. The evidence must support the validation requirements. If any requirements are not met, the evidence may be partially accepted or not accepted depending on the level of alignment with the requirements.

Validation status	Score
Accepted	20/20
Partially accepted	10/20
Not accepted/not provided	6/20

FUND3 Has the entity made a formal commitment to ESG standards or principles?

FUND3

1/10 Yes

Formal general ESG commitments (multiple answers possible)

- 1/2 UN Global Compact
- 1/2 UN Environment Programme Finance Initiative
- 1/2 Equator Principles
- 1/2 PRI

27/50

If so, did you report?

- Yes
- No

Please explain why: _____

1/2 Other: _____

Formal issue-specific commitments (multiple answers possible)

- 1/3 Climate Action 100+
- 1/3 International Labour Organization (ILO) Standards
- 1/3 Global Investor Coalition on Climate Change (including AIGCC, Ceres, IGCC, IIGCC)
- 1/3 Climate Action in Financial Institutions Initiative
- 18/50 1/3 Montreal Pledge
- 1/3 Science Based Targets Initiative
- 1/3 Task Force on Climate-related Financial Disclosures
- 1/3 Other: _____

UPLOAD or URL _____

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

No

Provide additional context for the answer provided (not validated, for reporting purposes only)

8 points

Other: 'Other' answer must be accepted during validation to achieve a score.

Evidence: The evidence is manually validated and assigned a multiplier, according to the table below. The evidence must support the validation requirements. If any requirements are not met, the evidence may be partially accepted or not accepted depending on the level of alignment with the requirements.

Validation status	Score

Accepted	20/20
Partially accepted	10/20
Not accepted/not provided	6/20

FUND4 Does the entity have one or more persons responsible for implementing the ESG objectives?

FUND4

1/10 Yes

45/50 Dedicated employee for whom sustainability is the core responsibility

Provide the details for the most senior of these employees

Name: _____

Job title: _____

E-mail (optional): _____

LinkedIn profile (optional): _____

27/50 Employee for whom sustainability is among their responsibilities

Provide the details for the most senior of these employees

Name: _____

Job title: _____

E-mail (optional): _____

LinkedIn profile (optional): _____

18/50 External consultant/manager

Name of the organization

Name of the main contact: _____

Job title: _____

E-mail (optional): _____

LinkedIn profile (optional): _____

No

Provide additional context for the answer provided (not validated, for reporting purposes only)

5 points

This indicator is scored as a One-Section indicator, as no evidence is required for this indicator.

FUND5 Does the entity have a senior decision-maker accountable for ESG issues?

FUND5

$\frac{1}{10}$ Yes

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

Name / organization name: _____

Job title: _____

E-mail (optional): _____

LinkedIn profile (optional): _____

The individual's most senior role is as part of:

- $\frac{4}{4}$ Senior management team
- $\frac{4}{4}$ Investment committee
- $\frac{9}{10}$ $\frac{3}{4}$ Fund/portfolio managers
- $\frac{3}{4}$ ESG specialist team
- $\frac{2}{4}$ Other: _____
- No

Provide additional context for the answer provided (not validated, for reporting purposes only)

5 points

This indicator is scored as a One-Section indicator, as no evidence is required for this indicator.

Other: 'Other' answer must be accepted during validation to achieve a score.

FUND6 Does the entity include ESG factors in the annual performance targets of personnel?

New

$\frac{1}{10}$ Yes

Select the employees to whom these targets apply (multiple answers possible)

- $\frac{4}{4}$ All employees
- $\frac{3}{4}$ Senior management team
- $\frac{9}{20}$ $\frac{2}{4}$ Fund/portfolio managers
- $\frac{2}{4}$ ESG specialist team
- $\frac{1}{4}$ Other: _____

Does performance on these targets have consequences?

- $\frac{9}{20}$ Yes
- $\frac{1}{2}$ Financial consequences
- $\frac{1}{2}$ Non-financial consequences
- No

Can the entity provide evidence as an UPLOAD or URL?

- Yes
- UPLOAD** or URL _____
- \times $\frac{1}{1}$ Indicate where in the evidence the relevant information can be found _____
- $\frac{3}{10}$ No
- No

Provide additional context for the answer provided (not validated, for reporting purposes only)

5 points

Other: 'Other' answer must be accepted during validation to achieve a score.

Evidence: The evidence is manually validated and assigned a multiplier, according to the table below. The evidence must support the validation requirements. If any requirements are not met, the evidence may be partially accepted or not accepted depending on the level of alignment with the requirements.

Validation status	Score
Accepted	20/20
Partially accepted	13/20
Not accepted/not provided	6/20

FUND7 Does the entity report on Gender and Diversity?

New

Yes

Select all diversity metrics (multiple answers possible)

Age group distribution

Board tenure

Gender pay gap

Gender ratio

Percentage of individuals within the organization's governance bodies in each of the following diversity categories:

Women: _____%

Men: _____%

International background

Racial diversity

Socioeconomic background

No

Provide additional context for the answer provided (not validated, for reporting purposes only)

Not scored

▮ This indicator is not scored and is for reporting purposes only.

FUND8 Does the entity have a process to formally address ESG risks and/or opportunities in its pre-investment processes?

FUND6

1/10 Yes

Select elements of the pre-investment process (multiple answers possible)

- 1/5 Material ESG issues are identified
- 1/5 ESG risks and opportunities (relating to the material issues) are identified
- 9/10 1/5 ESG risks are analysed (i.e. level of risk rating assigned)
- 1/5 ESG risks and evaluated and treated
- 1/5 ESG risks and opportunities are considered and impact the investment decision

Can the entity provide evidence as an UPLOAD or URL?

- Yes
- UPLOAD** or URL_____
- x 1 Indicate where in the evidence the relevant information can be found_____
- 3/10 No
- No

Provide additional context for the answer provided (not validated, for reporting purposes only)

13.333 points

Evidence: The evidence is manually validated and assigned a multiplier, according to the table below. The evidence must support the validation requirements. If any requirements are not met, the evidence may be partially accepted or not accepted depending on the level of alignment with the requirements.

Validation status	Score
Accepted	20/20
Partially accepted	13/20
Not accepted/not provided	6/20

FUND9 Does the entity formally address ESG risks and/or opportunities in its investment monitoring processes/asset management?

FUND7

1/10 Yes

Elements of the investment monitoring process including ESG factors:

Integrate ESG risks and/or opportunities into business plans

Describe how and which ESG risks and/or opportunities are treated or mitigated, and which tools are used: (maximum 250 words)

Regular review of ESG risks and/or opportunities

Describe how and which ESG risks and/or opportunities are regularly reviewed, and which tools are used: (maximum 250 words)

Externally report or communicate ESG risks and/or opportunities

Describe how and which ESG risks and/or opportunities are reported or communicated externally, and which tools are used: (maximum 250 words)

Who are the risks and/or opportunities communicated to:

Community/Public

Investors

Regulators/Government

Special interest groups (NGOs, Trade Unions, etc.)

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 (not validated, for reporting purposes only)

13.333 points

Text Box: The text box is validated, and its validation status is determined based on the requirements of the indicators. Various validation status lead to different scores according to the table below:

Validation status Score

Full points	2/2
Partial points	1/2
No point	0

Evidence: The evidence is manually validated and assigned a multiplier, according to the table below. The evidence must support the validation requirements. If any requirements are not met, the evidence may be partially accepted or not accepted depending on the level of alignment with the requirements.

Validation status	Score
Accepted	20/20
Partially accepted	13/20
Not accepted/not provided	6/20

Diminishing Increase in Score approach: As indicated by the blue line, the subsection is scored based on a Diminishing Increase in Score approach, per additional checkbox selected.

FUND10 Does the entity monitor the ESG management and performance for its assets?

FUND8

$\frac{1}{10}$ Yes

Monitoring includes review of (multiple answers possible)

- $\frac{1}{5}$ Data on environmental, social and governance performance
- $\frac{1}{5}$ Evaluation of compliance with legal, contractual and other requirements
- $\frac{1}{5}$ Evaluation of performance compared to peers or benchmarks
- $\frac{9}{10}$ $\frac{1}{5}$ Implementation of improvement measures
- $\frac{1}{5}$ Achievement of objectives and targets
- $\frac{1}{5}$ Other: _____

Can the entity provide evidence as an UPLOAD or URL?

- Yes
- UPLOAD** or URL _____
- \times $\frac{1}{10}$ Indicate where in the evidence the relevant information can be found _____
- $\frac{3}{10}$ No
- No

Provide additional context for the answer provided (not validated, for reporting purposes only)

13.333 points

Other: 'Other' answer must be accepted during validation to achieve a score.

Evidence: The evidence is manually validated and assigned a multiplier, according to the table below. The evidence must support the validation requirements. If any requirements are not met, the evidence may be partially accepted or not accepted depending on the level of alignment with the requirements.

Validation status	Score
Accepted	20/20
Partially accepted	13/20
Not accepted/not provided	6/20

1/10 Yes

Communication strategy:

3/4 Integrated Report

*Integrated Report must be aligned with the IIRC framework

Select the applicable reporting level

1/3 Group

2/3 Investment manager or business unit

3/3 Entity

UPLOAD or URL _____

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

1/4 Aligned with third-party standard

3/4 Stand-alone Sustainability Report(s)

Select the applicable reporting level

1/3 Group

2/3 Investment manager or business unit

3/3 Entity

UPLOAD or URL _____

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

1/4 Aligned with third-party standard

3/4 Section in Annual Report

Select the applicable reporting level

1/3 Group

2/3 Investment manager or business unit

3/3 Entity

UPLOAD or URL _____

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

1/4 Aligned with third-party standard

1 Dedicated section on website

Select the applicable reporting level

1/3 Group

2/3 Investment manager or business unit

3/3 Entity

URL _____

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

36/40 x

27/40 x

18/40 x

9/40 x

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

$\frac{3}{4}$ Entity reporting to investors

Frequency of reporting: _____

$\frac{18}{40}$ **UPLOAD** or URL _____

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

$\frac{1}{4}$ Aligned with third-party standard

$\frac{3}{4}$ Other: _____

Select the applicable reporting level

$\frac{1}{3}$ Group

$\frac{2}{3}$ Investment manager or business unit

$\frac{3}{3}$ Entity

$\frac{9}{40}$ **UPLOAD** or URL _____

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

$\frac{1}{4}$ Aligned with third-party standard

No

Provide additional context for the answer provided (not validated, for reporting purposes only)

8 points

Each form of ESG disclosure method is assigned a maximum number of points, respectively achieved by:

- The third-party alignment of the report (if applicable). The alignment standard and the corresponding evidence (which must be accepted during the validation process to receive a score).
- The reporting level (three reporting levels - Entity, Investment manager or business unit, Group - are mutually exclusive).

Evidence: The evidence is manually validated and assigned a multiplier, according to the table below. The evidence must support the validation requirements. If any requirements are not met, the evidence may be partially accepted or not accepted depending on the level of alignment with the requirements.

Validation status	Score
Accepted	2/2
Partially accepted	1/2
Not accepted/not provided	0

Alignment: the alignment standard and the corresponding evidence must be accepted during the validation process to receive a score.

Other: 'Other' answer must be accepted during validation to achieve a score.

1/10 Yes

Select the most stringent level of review in each area (multiple answers possible, selections must match answers in Fund11)

Integrated Report

45/50

1/4

1

1/4

3/4

1/4

1

3/4

Externally checked by

Externally verified by using

Externally assured by using

Stand-alone Sustainability Report(s)

45/50

1/4

1

1/4

3/4

1/4

1

3/4

Externally checked by

Externally verified by using

Externally assured by using

Section in Annual Report

45/50

1/4

1

1/4

3/4

1/4

1

3/4

Externally checked by

Externally verified by using

Externally assured by using

Entity reporting to investors

27/50

1/4

1

1/4

3/4

1/4

1

3/4

Externally checked by

Externally verified by using

Externally assured by using

Other: _____

27/50

1/4

1

1/4

3/4

1/4

1

3/4

Externally checked by

Externally verified by using

Externally assured by using

UPLOAD or URL _____

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

No

Provide additional context for the answer provided (not validated, for reporting purposes only)

5 points

In order to achieve points for any of the checkboxes above, the number of points received in the corresponding section in Fund 9 must be higher than 0. Therefore, a participant cannot receive points for assurance of a disclosure type unless they received points for that same disclosure type in Fund 9 (i.e. checkbox must be selected and evidence fully accepted in validation).

Service Provider: A service provider has to be picked to achieve a score.

Other: 'Other' answer must be accepted during validation to achieve a score.

Scheme name: Scheme name must be accepted during the validation process to receive its associated score.

Evidence: The evidence is manually validated and assigned a multiplier, according to the table below. The evidence must support the validation requirements. If any requirements are not met, the evidence may be partially accepted or not accepted depending on the level of alignment with the requirements.

Validation status	Score
Accepted	2/2
Partially accepted	1/2
Not accepted/not provided	0/2

FUND13 Does the entity have a process to monitor ESG-related misconduct, penalties, incidents or accidents?

FUND11

1/10 Yes

9/20 Describe the monitoring process (maximum 250 words): _____

The process includes external communication of misconduct, penalties, incidents or accidents to (multiple answers possible):

- 1/4 Community/Public
- 1/4 Investors
- 9/20 1/4 Regulators/Government
- 1/4 Special interest groups (NGOs, Trade Unions, etc.)
- 1/4 Other stakeholders: _____

Communication of misconduct, penalties, incidents or accidents (for reporting purposes only)

- The entity has communicated significant misconducts, penalties, incidents or accidents during the reporting period
- The entity did not communicate about any significant misconducts, penalties, incidents or accidents during the reporting period

No

Provide additional context for the answer provided (not validated, for reporting purposes only)

8 points

This indicator is scored as a One-Section indicator, as no evidence is required for this indicator.

The last open textbox addressing 'communication of misconduct, penalties, incidents or accidents', is not scored.

Diminishing Increase in Score approach: As indicated by the blue line, the subsection is scored based on a Diminishing Increase in Score approach, per additional checkbox selected.

Other: 'Other' answer must be accepted during validation to achieve a score.

Text Box: The text box is validated, and its validation status is determined based on the requirements of the indicators. Various validation status lead to different scores according to the table below:

Validation status	Score
Full points	2/2
Partial points	1/2
No point	0

Summary of Entity Assets

A1 Please summarize the entity's assets using the below table.

Asset Name	Asset Sector	Asset Weight	Reason for exclusion from scoring	Ownership	Contact Name	E-mail
	Select ▼	%	Choose ▼	%		
	Select ▼	%	Choose ▼	%		
	Select ▼	%	Choose ▼	%		

Provide additional context for the answer provided (not validated, for reporting purposes only)

Scoring

No points are awarded for completing the table.