



# PRI REPORTING FRAMEWORK 2018 – SERVICE PROVIDERS Organisational Overview (OO)

---

2018

[reporting@unpri.org](mailto:reporting@unpri.org)

+44 (0) 20 3714 3187

## PRI Association

Registered office: 5th floor, 25 Camperdown Street  
London, UK, E1 8DZ Company no. 7207947  
T: +44 (0) 20 3714 3220 W: [www.unpri.org](http://www.unpri.org) E: [info@unpri.org](mailto:info@unpri.org)

## Understanding this document

In addition to the detailed indicator text and selection options, in each module of the PRI Reporting Framework, you can find information that will help you identify which indicators are relevant for your organisation.

### Top bar

Key information about each indicator is highlighted in the top bar, including the indicator status (mandatory or voluntary) and the purpose of the indicator.

xxx 01	Indicator status <b>MANDATORY</b>	Purpose <b>GATEWAY</b>
--------	--------------------------------------	---------------------------

### Indicator status

<b>MANDATORY</b>	Mandatory indicators reflect core practices. These responses will be made public and must be completed to submit the framework.
<b>MANDATORY TO REPORT</b> <b>VOLUNTARY TO DISCLOSE</b>	Some indicators are mandatory to complete, but voluntary to disclose. These indicators may determine which subsequent indicators are applicable or are used for peering, but they may also contain commercially sensitive information.
<b>VOLUNTARY</b>	Voluntary indicators reflect alternative or advanced practices. These indicators are voluntary to report and disclose.

### Purpose

Gateway		The responses to this indicator 'unlock' other indicators within a module if they are relevant for your organisation. Please refer to the logic box for more information.
Descriptive		These are open-ended narrative indicators, allowing you to describe your activities.

### Underneath the indicator

Underneath the indicator, you can find explanatory notes and definitions that contain important information for interpreting and completing the indicators. Read the logic box to make sure an indicator is applicable to you.

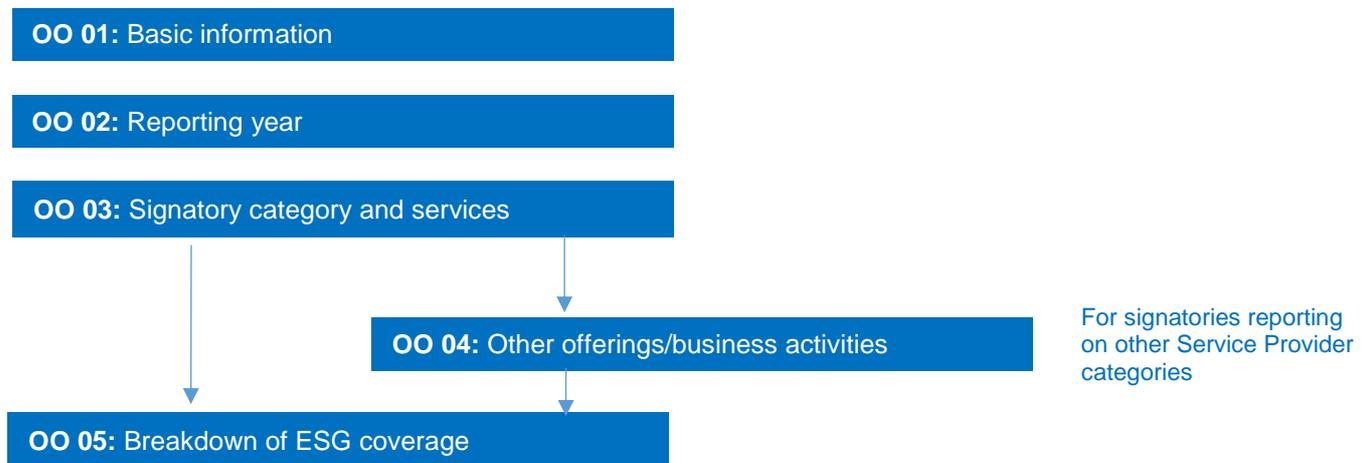
xxx 01	EXPLANATORY NOTES
xxx 01.1	This provides guidance on how to interpret the sub-indicators, including examples of what could be reported.
xxx 01.2	
LOGIC	
xxx 01	This explains when this indicator is applicable and/or if it has an impact on subsequent indicators. If there is no logic box, the indicator is always applicable and does not affect other indicators.

xxx 01	DEFINITIONS
xxx 01	Specific terms that are used in the indicator are defined here.

## Table of Contents

Understanding this document	2
Pathways through the module	4
Preface	5
Basic information	6
Reporting year	8
Signatory category and services	9

## Pathways through the module



## Preface

The information reported in this module will allow your stakeholders to identify your organisation type and characteristics. This module also functions as a filter, since your responses will determine which indicators you will see in later stages of the Reporting Framework and will also ensure that you do not have to provide responses to indicators that are not relevant for your organisation.

## Summary of updates

Indicator	Update
OO 03	<p>Indicator 03.2 has been deleted as it was only relevant for the 2017 pilot reporting year.</p> <p>Indicator 03.2 has been renumbered from OO 03.3</p> <p>Indicator 03.3 has been renumbered from OO 03.4</p> <p>Indicator 03.4 is a new 'Additional information' sub-indicator.</p>
OO 05	<p>Indicator 05.1 has been reworded to improve clarity.</p> <p>Indicator 05.3 has been reworded to capture new information.</p> <p>Indicator 05.4 has been removed.</p> <p>Indicator 05.4 has been renumbered from 05.5.</p>
Prefilling	<p>If you have responded to the Framework before, responses to this module can be prefilled from the previous year, with the following exceptions:</p> <ul style="list-style-type: none"><li>• OO 02.1: The year end date will prefill to your previous year end date, plus one year</li><li>• OO 05.1: Will not prefill because it is specific to the this reporting period</li><li>• OO 05.3: Will not prefill because it is a new indicator</li></ul>

SECTION

Basic information

OO 01	Indicator status <b>MANDATORY</b>	Purpose <b>DESCRIPTIVE</b>
-------	--------------------------------------	-------------------------------

OO 01	INDICATOR
OO 01.1	Select the location of your organisation's headquarters. [drop down with countries]
OO 01.2	Indicate the number of countries in which you have offices (including your headquarters).  <input type="radio"/> 1 <input type="radio"/> 2-5 <input type="radio"/> 6-10 <input type="radio"/> 11-50 <input type="radio"/> >50
OO 01.3	Indicate the regions where you have offices.  <input type="checkbox"/> [a] Africa/Middle East <input type="checkbox"/> [b] Asia (excluding Japan & Korea) <input type="checkbox"/> [c] Australasia <input type="checkbox"/> [d] Canada <input type="checkbox"/> [e] Continental Europe <input type="checkbox"/> [f] Japan & Korea <input type="checkbox"/> [g] Nordic <input type="checkbox"/> [h] South America <input type="checkbox"/> [i] UK & Ireland <input type="checkbox"/> [j] US
OO 01.4	Indicate the approximate number of staff in your organisation in full-time equivalents (FTE).  <input type="text"/> FTE
OO 01.5	Additional information. <b>[OPTIONAL]</b>

OO 01	EXPLANATORY NOTES
OO 01	This indicator is required to allow the reader to contextualise your responses to the rest of the Framework.
OO 01.1	Most organisations have one headquarters office. However, if your organisation has more than one headquarters, please select the main location in terms of number of staff.
OO 01.2	This indicator is a proxy to measure the level of complexity organisations face. Please include any office that is part of your business, irrespective of whether they are research, consultancy, asset management, sales, or administrative offices. Offices are taken to mean physical locations from which activities are being routinely carried out on the behalf of the organisation.
OO 01.4	<p>Staff numbers include full-time employees involved directly in the investment decision-making process, as well as supporting roles in administration, marketing and human resources.</p> <p>Staff figures should not include clients or contractors or unpaid staff.</p> <p>The PRI determines the signatory fee of service providers based on the number of employees they have (FTE). Your response to this sub-indicator may affect your fee band to the PRI.</p>

SECTION

Reporting year

OO 02	Indicator status MANDATORY	Purpose
-------	-------------------------------	---------

OO 02	INDICATOR			
OO 02.1	Indicate the year end date for your reporting year.			
	Date	Year	Month	Day
		<input type="text"/>	<input type="text"/>	<input type="text"/>

OO 02	EXPLANATORY NOTES
OO 02.1	The reporting year is the 12-month period that you chose to report on. This will be consistent year-on-year.

SECTION

Signatory category and services

OO 03	Indicator status MANDATORY	Purpose GATEWAY
-------	-------------------------------	--------------------

OO 03	INDICATOR		
OO 03.1	Indicate which of the following categories reflect your core offering or main business activity:		
	<input type="checkbox"/> Reporting		
	<input type="checkbox"/> Active Ownership Services		
	<input type="checkbox"/> Advisory and Consultancy		
	<input type="checkbox"/> Research and Data Provision		
	<input type="checkbox"/> Other, specify (1)_____		
OO 03.2	Indicate any other business activities that your organisation offers. Indicate whether you wish to report on these business areas.		
	<input type="checkbox"/> Reporting	<input type="radio"/> Yes	<input type="radio"/> No
	<input type="checkbox"/> Active Ownership Services	<input type="radio"/> Yes	<input type="radio"/> No
	<input type="checkbox"/> Advisory and Consultancy	<input type="radio"/> Yes	<input type="radio"/> No
	<input type="checkbox"/> Research and Data Provision	<input type="radio"/> Yes	<input type="radio"/> No
	<input type="checkbox"/> Other, specify (1)_____		
	<input type="checkbox"/> Other, specify (2)_____		
OO 03.3	<input type="radio"/> None of the above		
	Attach a graph showing a breakdown of your business activities. [OPTIONAL]		
OO 03.4	Additional information [OPTIONAL]		

OO 03	EXPLANATORY NOTES
OO 03.1	<p>Select the main business activity as it relates to service provision. You will be required to report on all core businesses that you select from the list.</p> <p>If you respond 'Other', you must provide further information. The 'Other' option will not trigger a full module, but you will still be able to describe your RI/ ESG activities.</p> <p>Investment managers that wish to report on their service provider business offerings should choose a relevant core business offering with the understanding that this is only a main business activity from their service provider offerings.</p>
OO 03.2	<p>Select any other activities that your organisation offers.</p> <p>Indicate here if you wish to report on any of your non-core business activities. This will unlock the corresponding module(s). This indicator allows you to opt out of reporting on business activities where, for example, you do not include RI/ESG components, or because your organisation is primarily known for another business area.</p> <p>If you do not wish to report on any non-core business offerings, you may still be required to respond to individual indicators in other modules covering some ESG/RI activities for those business offerings.</p>
OO 03.3	<p>If you wish to illustrate your business offerings you may attach a diagram here.</p>
OO 03	LOGIC
OO 03	<p>The responses you provide in this indicator will trigger what modules and indicators you see in later stages of the reporting framework.</p> <p>Selecting an 'Other, specify' option will not trigger specific modules.</p> <p>The options you report in OO 03.1 and 03.2 will trigger what options are available to you in OO 05.1.</p> <p>OO 04 will be applicable if you report that your core offering or main business activity, and/or non-core offering is 'Other, specify' in OO 03.1 and OO 03.2.</p> <p>OO 05.2 will be applicable if you report 'Advisory and Consultancy' as a core or non-core business area in OO 03.1 or OO 03.2.</p> <p>SG 11 will be applicable if you select 'Advisory and Consultancy' in either OO 03.1 or OO 03.2.</p>
OO 03.3	<p>The option to select whether to report or not report on a non-core business area is only available if you selected the following business areas, as they have specific modules applicable to them: Advisory and Consultancy, Reporting, Research and data provision, and Active Ownership Services.</p>

OO 03	DEFINITIONS
<b>Core business offerings/ main business activity</b>	<p>For dedicated service providers this indicates the main services that you offer to clients that form an essential part of your organisation's activities. The core business offering/main business activity is often the main source of a company's profits and/or revenue and sometimes the activity the company was originally set up to carry out, i.e. their main reason for being.</p> <p>For investment managers, this relates to the services that you also provide that form a substantial part of your non-investment business activity.</p>
<b>Reporting</b>	<p>Services relating to the preparation and presentation of corporate, sustainability or integrated reporting, and financial reporting for clients. This category also includes audit, and external assurance services for clients.</p> <p>Other types of reporting, such as reporting on assets and the performance of investment managers is not covered by this category.</p>
<b>Active Ownership Services</b>	<p>Active ownership is the use of the rights and position of ownership to influence the activity or behaviour of investees.</p> <p>Active ownership services provided at any stage of engagement activities for investors, including engagement or engagement support services, research, and advice. Activity can be individual or collaborative. Services related to any stage of proxy voting, including voting execution and voting advisory. This category includes advice or services related to shareholder resolutions. Activity may also include engagement with policy makers or regulators. This category does not include service providers that only inform their clients of voting outcomes, e.g. as part of a custodial role or similar, or service providers that only provide a platform for voting.</p>
<b>Advisory and Consultancy</b>	<p>Provision of financial or non-financial advice on a retainer or ad hoc basis relating to environmental, social, and/or governance aspects of investment activity. Services provided do not include active investment management and fiduciary management. Examples of advisory and consultancy services include, but are not limited to, custodial services, investment policy development, strategic asset allocation, investment research and manager selection and monitoring.</p>
<b>Research and Data Provision</b>	<p>Collection and preparation of raw data, ratings, or analysis of ESG related information or issues. Offerings may be off the shelf or client tailored. This category includes brokerage firms. Activities that are intended to provide strategic advice or affect investment strategy or key decision making should be reported under Advisory and Consulting Services instead.</p> <p>Examples of research and data provision services include, but are not limited to, analysis, benchmarking reports, ratings, raw data and surveys.</p>
<b>Other</b>	<p>In this instance, 'Other' will apply to any service provider signatory that does not offer any of the above services. If you report 'Other', a separate indicator will be activated that will allow you to describe this business activity.</p>

OO 04	Indicator status MANDATORY	Purpose DESCRIPTIVE
-------	-------------------------------	------------------------

OO 04	INDICATOR
OO 04.1	<p>Please describe your core offering or main business activity.</p> <p>(Max. 500)</p>
OO 04.2	<p>If you reported a second core offering or main business activity, please describe it below.</p> <p>(Max. 500)</p>
OO 04.3	<p>Please describe your non-core offering or business activity.</p> <p>(Max. 500)</p>
OO 04.4	<p>If you reported a second non-core offering or business activity, please describe it below.</p> <p>(Max. 500)</p>

OO 04	EXPLANATORY NOTES
OO 04.1	The purpose of this indicator is to allow your stakeholders to understand more in-depth what your core offerings or main business activity is, if it does not fit into the four categories listed in OO 03.1.
OO 04.1	This indicator is applicable if you reported 'Other, specify (1)' in OO 03.1.
OO 04.2	This indicator is applicable if you reported 'Other, specify (2)' in OO 03.1.
OO 04.3	This indicator is applicable if you reported 'Other, specify (1)' in OO 03.2.
OO 04.4	This indicator is applicable if you reported 'Other, specify (2)' in OO 03.2.

OO 05	Indicator status <b>MANDATORY TO REPORT, VOLUNTARY TO DISCLOSE</b>	Purpose <b>GATEWAY</b>
-------	---	---------------------------

OO 05	INDICATOR			
<b>OO 05.1</b>	Provide a breakdown of your services by ESG coverage. Indicate in proportion of total revenue at the end of the reporting year.			
	Business area	ESG as a supplementary service	ESG integrated in services	No ESG
	[a]Reporting	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %
	[b]Active Ownership Services	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %
	[c]Advisory and Consultancy	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %
	[d]Research and Data provision	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %
	[e]Other, specify (1)_____	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %
	[f]Other, specify (2)_____	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %
	[g]Other, specify (3)_____	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %
	Summary of ESG coverage of services	<input type="text"/> % of total revenue is derived from ESG supplementary services	<input type="text"/> % of total revenue is derived from ESG integrated services	<input type="text"/> % of total revenue is derived from service with no ESG incorporation
				Total 100%
<b>OO 05.2</b>	Indicate whether you actively promote the inclusion of ESG factors into investment decision making to your clients.			
	<input type="radio"/> Yes, we systematically do <input type="radio"/> Yes, we occasionally do <input type="radio"/> No, we do not			
<b>OO 05.3</b>	Describe any plans you might have to increase the ESG coverage of your services in the future. This applies to the services where you reported >0% "No ESG".			

	<input type="radio"/> Not applicable	(Max. 200)
<b>OO 05.4</b>	Additional information. [OPTIONAL]	

OO 05	EXPLANATORY NOTES
<b>OO 05.1</b>	<p>The purpose of this indicator is to allow you to demonstrate the coverage of ESG across your product offerings.</p> <p>If you are an investment manager reporting on your service provider business offerings, please report the ESG coverage breakdown as a percentage of your total revenue that is only from your service provider business offerings.</p>
<b>OO 05.2</b>	<p>This may include any formal processes that your organisation has to incentivise ESG inclusion or performance for your employees. This indicator refers to internal processes to enhance ESG incorporation.</p>
<b>OO 05.3</b>	<p>This refers to a formal strategy or plan adopted by your organisation.</p> <p>This may also be a plan to have ESG integrated across all of your services reported in this framework, or to increase the ESG integration coverage of some services where you currently have little or no ESG incorporation.</p>
LOGIC	
<b>OO 05</b>	<p>SG 05 will be applicable if you report in OO 05 that any proportion &gt;0% of your profits are sourced from ESG integrated or ESG supplementary product offerings.</p> <p>OO 05.2 will be applicable if you report 'Advisory and Consultancy' as a core business area in OO 03.</p> <p>OO 05.3 will be applicable if you report &gt;0% "No ESG" for any business area in OO 05.1.</p> <p>If you report 0% on both 'ESG supplementary' AND 'ESG integrated' for the same business area, the corresponding module/indicator will not be activated.</p>

OO 05	DEFINITIONS
<p><b>ESG as a supplementary service</b></p>	<p>ESG is offered to clients as an additional service alongside the organisation's standard services. Clients are able to choose whether ESG considerations shall be incorporated into the service for an additional fee.</p> <p>If you offer a specific ESG integrated product as a standalone product within your overall business offering that clients may opt into for an additional fee, this should be reported as an ESG supplementary service.</p> <p>Example:</p> <ul style="list-style-type: none"> <li>- An asset consultant that provides manager selection appointment and monitoring services. The investment consultant offers to incorporate ESG as a service for an additional fee that clients may add on. The investment consultant should report the percentage out of total revenue derived from their manager selection appointment and monitoring services as 'ESG as a supplementary product'.</li> </ul>
<p><b>ESG integrated in services</b></p>	<p>ESG is systematically integrated as a standard service/ product offering, or specific components of the service/product offering may be ESG integrated and are included as a standard option within the overall service/product offering for no additional fee.</p> <p>Example:</p> <ul style="list-style-type: none"> <li>- An organisation providing engagement services where ESG is integrated throughout all stages of the engagement process as a standard offering for no additional fee: when collecting data/performing research, prioritizing engagement issues, execution, follow up, and recommendations for next steps and feedback. This organisation should report the percentage out of total revenue derived from their engagement services as 'ESG integrated in services'.</li> </ul>