



# PRI REPORTING FRAMEWORK 2017 – SERVICE PROVIDERS Research and Data Provision (RDP)

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2017

[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)



**UNEP Finance Initiative**  
Changing finance, financing change



**United Nations** Global Compact

*An investor initiative in partnership with UNEP Finance Initiative and UN Global Compact*

## 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 to 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>
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### 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 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 that allow you to describe your activities.

### Underneath the indicator

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

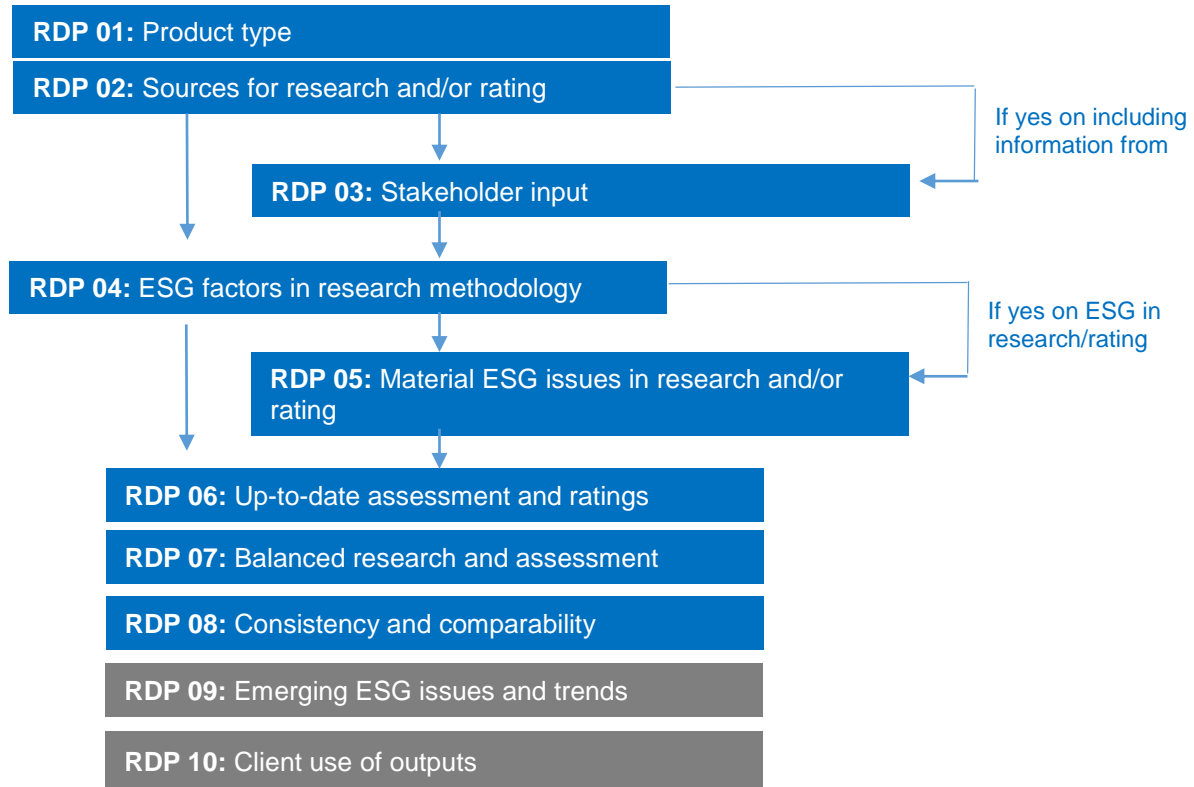
xxx 01	EXPLANATORY NOTES
xxx 01.1	This provides guidance on how to interpret the sub-indicators, including examples of what could be reported.
xxx 01.2	
LOGIC	
xxx 01	This explains when this indicator is applicable and/or if it has an impact on subsequent indicators. If there is no logic box, the indicator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

xxx 01	<b>DEFINITIONS</b>
xxx 01	Specific terms that are used in the indicator are defined here.

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## Pathways through the module



## Preface

The information reported in this module will enable your stakeholders to understand your organisation's approach to research and data provision and what processes you include when making assessments and ratings. You will be able to report on how you incorporate ESG into these processes and product offerings.

## SECTION

## Product level

RDP 01	Indicator status <b>MANDATORY</b>	Purpose
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RDP 01	INDICATOR
<b>RDP 01.1</b>	<p>Indicate your product type. Tick all that apply.</p> <p><input type="checkbox"/> Analysis</p> <p><input type="checkbox"/> Benchmarking reports</p> <p><input type="checkbox"/> Ratings</p> <p><input type="checkbox"/> Raw data</p> <p><input type="checkbox"/> Surveys</p> <p><input type="checkbox"/> Other, specify _____</p>
<b>RDP 01.2</b>	<p>Indicate whether you make any of your products publically available.</p> <p><input type="radio"/> Yes, we do</p> <p><input type="radio"/> No, we do not</p>
<b>RDP 01.3</b>	<p>Additional information.</p> <p>[OPTIONAL]</p>

RDP 01	EXPLANATORY NOTES
<b>RDP 01</b>	Include any regular or tailored research and data provision activities. Activities that are intended to provide strategic advice, affect investment strategy, or key decision making should instead be reported under Advisory and Consulting services.
<b>RDP 01.2</b>	"Select "Yes, we do if" if your products are published and accessible for a wider public free of charge.

RDP 01	DEFINITIONS
<b>Analysis</b>	Review, contextual positioning and analysis of data, in the form of reports, graphics or other produced outputs
<b>Benchmarking reports</b>	Aggregated industry data from companies/organisations on best practices, allowing for performance comparisons
<b>Ratings</b>	Indexes or risk ratings as applied to geographic, sectoral or company level information

<b>Raw data</b>	Collection of data that is not manipulated or adjusted other than for presentation
<b>Surveys</b>	Collection of mass survey data, targeted survey data or smaller sample interviews

## SECTION

# Research/process level

RDP 02	Indicator status <b>MANDATORY</b>	Purpose
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RDP 02	INDICATOR
RDP 02.1	<p>Indicate the types of sources you use for research and/or ratings of companies. Tick all that apply.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Independently collected data from public sources</li> <li><input type="checkbox"/> Regulatory sources</li> <li><input type="checkbox"/> Information from stakeholders and NGOs</li> <li><input type="checkbox"/> Primary data (self-reported from companies)</li> <li><input type="checkbox"/> Secondary data (from other research provider databases)</li> <li><input type="checkbox"/> Other, specify (1) _____</li> <li><input type="checkbox"/> Other, specify (2) _____</li> <li><input type="checkbox"/> Other, specify (3) _____</li> </ul>
RDP 02.2	<p>Additional information.</p> <p>[OPTIONAL]</p>

RDP 02	EXPLANATORY NOTES
RDP 02.1	<p>This indicator will allow you to demonstrate the type of sources you use to ensure that you base your research and/or ratings on a variety of information. This indicator is aligned with the ARISTA standards for responsible investment research and relates to the quality commitment on independent sources</p>
<b>LOGIC</b>	
RDP 02.1	RDP 03 will be applicable if you report that you include 'information from stakeholders and NGOs'.

RDP 02	DEFINITIONS
<b>Stakeholder</b>	<p>Individuals, groups or organisations that are affected by business activity. This can include companies researched, consumer groups or communities concerned, etc.</p>



RDP 03	Indicator status <b>MANDATORY</b>	Purpose <b>DESCRIPTIVE</b>
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<b>RDP 03</b>	<b>INDICATOR</b>
<b>RDP 03.1</b>	Describe how you actively include inputs and information, wherever possible, from relevant stakeholders or interested parties, in the research process or in reaching assessment conclusions.
<b>RDP 03.2</b>	Additional information. [OPTIONAL]

<b>RDP 03</b>	<b>EXPLANATORY NOTES</b>
<b>RDP 03.1</b>	This indicator is aligned with the ARISTA standards for responsible investment research and relates to the quality commitment on stakeholder involvement. Including stakeholders' inputs and information, wherever possible, may be important for reaching well-rounded research and/or assessment conclusions.

RDP 04	Indicator status MANDATORY	Purpose DESCRIPTIVE
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RDP 04	INDICATOR
RDP 04.1	<p>Indicate whether your research/rating methodology incorporates ESG factors.</p> <p><input type="radio"/> Yes, it systematically does</p> <p><input type="radio"/> Yes, it occasionally does</p> <p><input type="radio"/> No, it does not</p>
RDP 04.2	<p>If yes, describe how ESG factors are incorporated into your research/rating methodology.</p>
RDP 04.3	<p>If no, please explain why not.</p>
RDP 04.4	<p>Additional information.</p> <p>[OPTIONAL]</p>

RDP 04	EXPLANATORY NOTES
RDP 04.2	<p>Your response to this indicator may include a discussion about when you find it necessary to include ESG factors in your methodology and whether you base this on any type of criteria.</p> <p>You may also specify how you go about deciding what ESG factors to include in your research/rating methodology and whether you normally focus more on E, S or G factors.</p>
LOGIC	
RDP 04.1	<p>RDP 04.2 and RDP 05.1 will be applicable if you report 'Yes, it systematically does' or 'Yes, it occasionally does'.</p> <p>RDP 04.3 will be applicable if you report 'No, it does not'.</p>

RDP 04	DEFINITIONS
Methodology	<p>Methodology is understood to cover or to support one or more of the following actions: Data collection, analysis of data, screening decisions, assessment or any other kind of evaluation, ranking, etc.</p>

RDP 05	Indicator status <b>MANDATORY</b>	Purpose <b>DESCRIPTIVE</b>
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<b>RDP 05</b>	<b>INDICATOR</b>
<b>RDP 05.1</b>	Describe how you ensure that your research and/or ratings capture material ESG issues.

<b>RDP 05</b>	<b>EXPLANATORY NOTES</b>
<b>RDP 05</b>	Your response to this indicator may include a description of the process and/or method you have in place to ensure that you are capturing material ESG issues. You may also outline how you define materiality in your response to this indicator.

<b>RDP 05</b>	<b>DEFINITIONS</b>
<b>Materiality</b>	Issues determined as relevant or significant to business activity, or capturing wider issues relevant to society.

RDP 06	Indicator status MANDATORY	Purpose DESCRIPTIVE
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RDP 06	INDICATOR
RDP 06.1	Describe how you ensure your assessment of companies is up-to-date and that new information is incorporated or new assessments are conducted at reasonable intervals.

RDP 06	EXPLANATORY NOTES
RDP 06.1	This indicator is aligned with the ARISTA standards for responsible investment research and relates to the quality commitment on up-to-date assessment and information. You may include a discussion about how you ensure that new ESG information is incorporated into your assessments.

RDP 07	Indicator status <b>MANDATORY</b>	<b>DESCRIPTIVE</b>
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RDP 07	INDICATOR	
RDP 07.1	Indicate how you ensure a balanced approach to your research methodology and assessing/rating of companies. Tick all that apply and explain your approach to each option.	
	Type of indicators	Explain your approach
	<input type="checkbox"/> Balancing quantitative and qualitative indicators	
	<input type="checkbox"/> Balancing management/process oriented indicators and performance indicators	
	<input type="checkbox"/> Balancing reference to past and current performances, such as whether the company's performance is improving or deteriorating	
	<input type="checkbox"/> Balancing environmental, social and governance indicators	
	<input type="checkbox"/> Balancing self-reported and public data	
	<input type="checkbox"/> Other, specify (1)_____	
	<input type="checkbox"/> Other, specify (2)_____	
	<input type="radio"/> None of the above	
	Total 100%	
RDP 07.2	Additional information. [OPTIONAL]	

RDP 07	EXPLANATORY NOTES
RDP 07.1	<p>This indicator is aligned with the ARISTA standards for responsible investment research and relates to the quality commitment on ensuring a balanced approach to assessment/ratings.</p> <p>Use this indicator to provide a brief description of your approach to a balanced research methodology and assessing/rating companies.</p>
RDP 07.2	<p>If you reported 'None of the above', you may use this space to provide context and describe how you go about balancing your research methodology and assessing/rating companies.</p>

RDP 08	Indicator status MANDATORY	Purpose DESCRIPTIVE
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RDP 08	INDICATOR
RDP 08.1	Describe how you ensure that your criteria and methodology are consistent and applied equally to comparable subjects of research.

RDP 08	EXPLANATORY NOTES
RDP 08.1	This indicator is aligned with the ARISTA standards for responsible investment research and relates to the quality commitment on consistency and comparability.

<b>RDP 09</b>	Indicator status <b>VOLUNTARY</b>	Purpose <b>DESCRIPTIVE</b>
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<b>RDP 09</b>	<b>INDICATOR</b>
<b>RDP 09.1</b>	<p>Indicate whether you identify and prioritise ESG issues and emerging trends.</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> Not applicable for our organisation</p>
<b>RDP 09.2</b>	<p>Describe how you incorporate the identified ESG issues and trends in your product offerings and business activities.</p>
<b>RDP 09.3</b>	<p>Additional information</p>

<b>RDP 09</b>	<b>EXPLANATORY NOTES</b>
<b>RDP 09</b>	<p>This indicator will allow you to demonstrate how you keep current on emerging ESG trends, and how you ensure that these are incorporated into your product offerings and business activities.</p> <p>Actions may include consulting with clients and companies, monitoring various markets and the ESG landscape, or conducting research and consulting with various stakeholder groups.</p>

RDP 10	Indicator status VOLUNTARY	Purpose DESCRIPTIVE
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RDP 10	INDICATOR
RDP 10.1	Describe how research and data provision outputs are used by clients.
	<input type="radio"/> Not applicable for our organisation