

# Terms of Use – Collaboration Platform

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## INTRODUCTION

The PRI Collaboration Platform is a global online tool for collaborative initiatives. It provides PRI signatories with a private forum to pool resources, share information, enhance influence and engage with companies, policymakers and other actors in the investment value chain on ESG issues across asset classes, sectors and regions. The vision of the platform is to foster sustainable long-term value creation through collaboration, benefiting the environment and society as a whole.

All PRI signatories, with the exception of media signatories, can post an invitation to collaborate on the platform. Signatories can collaborate at different levels of intensity according to their investment strategies and resources. Typical collaborative methods include: writing joint letters to companies and/or policymakers; holding in-depth group discussions with target companies, policymakers or other actors; co-filing or voting in favour of shareholder resolutions at general meetings; signing investor statements; participating in regulatory and other consultations, and; sharing information and investment practices to produce signatory guidance on applying the Principles.

This document summarises guidelines for use of the platform by PRI signatories, and outlines the services provided by the PRI Executive in relation to collaborative initiatives. By using it all PRI signatories agree that the information included cannot be shared outside the PRI network and cannot be made public unless authorised by the posting organization. Additionally, the information cannot be used for any other purpose than facilitating collaboration amongst signatories.

In case a PRI signatory breaches the terms of use of the platform, the PRI Executive will make contact with its representatives to find remedy to the action. The PRI will also be entitled to ban the signatory from accessing the platform in the future for a certain period of time. If there is persistence of misuse after the signatory is given access to the platform again, the PRI will initiate a delisting process for the signatory.

## USER GUIDELINES

### Posting on the platform

Any PRI signatory can use the Collaboration Platform to propose a collaborative initiative. The PRI executive might post invitations to collaborate in case of ESG or responsible investment related consultations or opportunities for multi-stakeholder collaborations (i.e. with companies, NGOs, UN bodies etc).

Two to four weeks should be provided to allow other signatories to express interest in joining the project. Posting organisations are encouraged to update their posts regularly by clicking on the 'Manage' button on the group profile page. The PRI Executive will also be notified of these updates when made for inclusion in alerts and newsletters where appropriate. The PRI Executive is responsible for giving visibility to the projects and relevant updates through the platform itself, platform alerts, the PRI's Twitter feed (if confirmed with the posting organization), and webinars/podcasts, dependent on capacity of PRI staff.

The Collaboration Platform is intended to be an inclusive platform which promotes collaboration among a range of signatories. Invitations to collaborate are typically open to all PRI signatories across types and regions. However, signatories may opt to limit participation to same signatory categories (for example, asset owners inviting other asset owners only) or to organisations based in a specific market/region. In this case, a rationale for the limitations on participation should be included within the post.

### **Services provided by the PRI Executive**

The PRI Executive can assist signatories with collaborative initiatives posted on the platform in the following ways:

- **Active coordination:** PRI staff directly coordinate several collaborative engagements with listed companies. These priority engagements have been identified through consultation with signatories, the ESGE Advisory Committee and internal evaluation. A list of engagements coordinated by the ESGE team can be found [here](#).<sup>1</sup>
- **Administrative support:** coalitions of investors using the collaboration platform can contact the PRI at [xxx@unpri.org](mailto:xxx@unpri.org) to request the use of the following facilities:
  - Webinar platform to conduct virtual meetings with presentations open to members of the group or the entire PRI community
  - Conference call facilities with international phone numbers, personalised chair and participant PINs and audio recording options
  - Collection of logos/signatures and information on AUM from signatories interested in co-signing a letter.

The PRI Secretariat will provide the above services whenever possible, dependent on the availability of internal resources at any given time. Collaborations led by asset owners and investment managers will be given priority.

- **No support:** signatories are also encouraged to use the Clearinghouse as a mechanism to collect interest from other investors on a particular topic or to collaborate on engagement without any further involvement from the PRI Secretariat.

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<sup>1</sup> Where a significant ESG-related event occurs which requires reactive engagement from signatories but lies outside of the list of projects coordinated by the Executive, the ESGE team may help signatories to respond by sharing information, coordinating an investor response, or encouraging signatories to participate in a signatory-led response. This may result in delays or changes to the timeline of other engagements coordinated by the PRI.

## Referencing the PRI in connection with engagements

Regardless of the level of support provided by the PRI Executive, engagements are driven by sub-groups of signatories and should not be referred to as 'PRI engagements', to avoid the implication that all PRI signatories support a given initiative. Engagements should be communicated as being undertaken by groups of signatories to the PRI, for example:

*“The undersigned/following investors collectively represent US\$X trillion in assets, and are participating in an initiative coordinated by the Principles for Responsible Investment (PRI), a global body of investors who believe that environmental, social and corporate governance (ESG) factors affect the long-term performance of investment portfolios...”*

## Use of the platform for initiatives involving a financial commitment

Signatories may post invitations to join collaborative engagements which require a financial commitment, for example to support specialised research. Where an invitation to collaborate implies sharing of financial resources or the charging of fees, this must be clearly indicated in the post, and this will be clearly labelled on the platform.

If an invitation to collaborate is led by a service provider, other PRI signatories might find it useful to know which asset owners or investment managers are already involved or interested in the proposal. This information can be included in the post.

Where the collaboration platform is used by PRI signatories to collect financial resources for research, the Executive encourages the group to share the aggregate results or an executive summary of the research with the broader PRI community. This will be made available on the relevant post and through other PRI communication channels.

## Use of the platform to advertise events

Events organized by PRI signatories on ESG or responsible investment topics are not advertised in the platform unless they are closely related to an invitation to other signatories to collaborate. In this case, details of the event will be included in the post of the relevant collaborative initiative.

## Role of PRI signatories

Participating organisations will be displayed on the platform post in two categories:

- **Leading organisation:** signatories who posted the invitation and/or signatories leading the initiative by providing significant resources and time.
- **Supporting organisation:** signatories supporting the initiative by lending their names and allocating a limited amount of resources and time.

Posting organisations are responsible for communicating to the Executive the names of participating signatories and under which categories they will be listed on the post.

Collaborative initiatives posted on the collaboration platform are usually open only to PRI signatories. If any non-PRI signatory would like to become involved in the project, this must be agreed by the collaborating members. If the group is utilising services provided by the PRI Secretariat under the administrative support category (see point 3) non-signatories would be able to participate for up to one year, after which time they would be asked to leave the engagement group if they have not become a PRI signatory.

Participation in the engagement would not entitle non-PRI signatories access the Clearinghouse platform.