

# PRI REPORTING FRAMEWORK 2017 – SERVICE PROVIDERS Strategy and Governance (SG)

---

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>
--------	--------------------------------------	---------------------------

### 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.

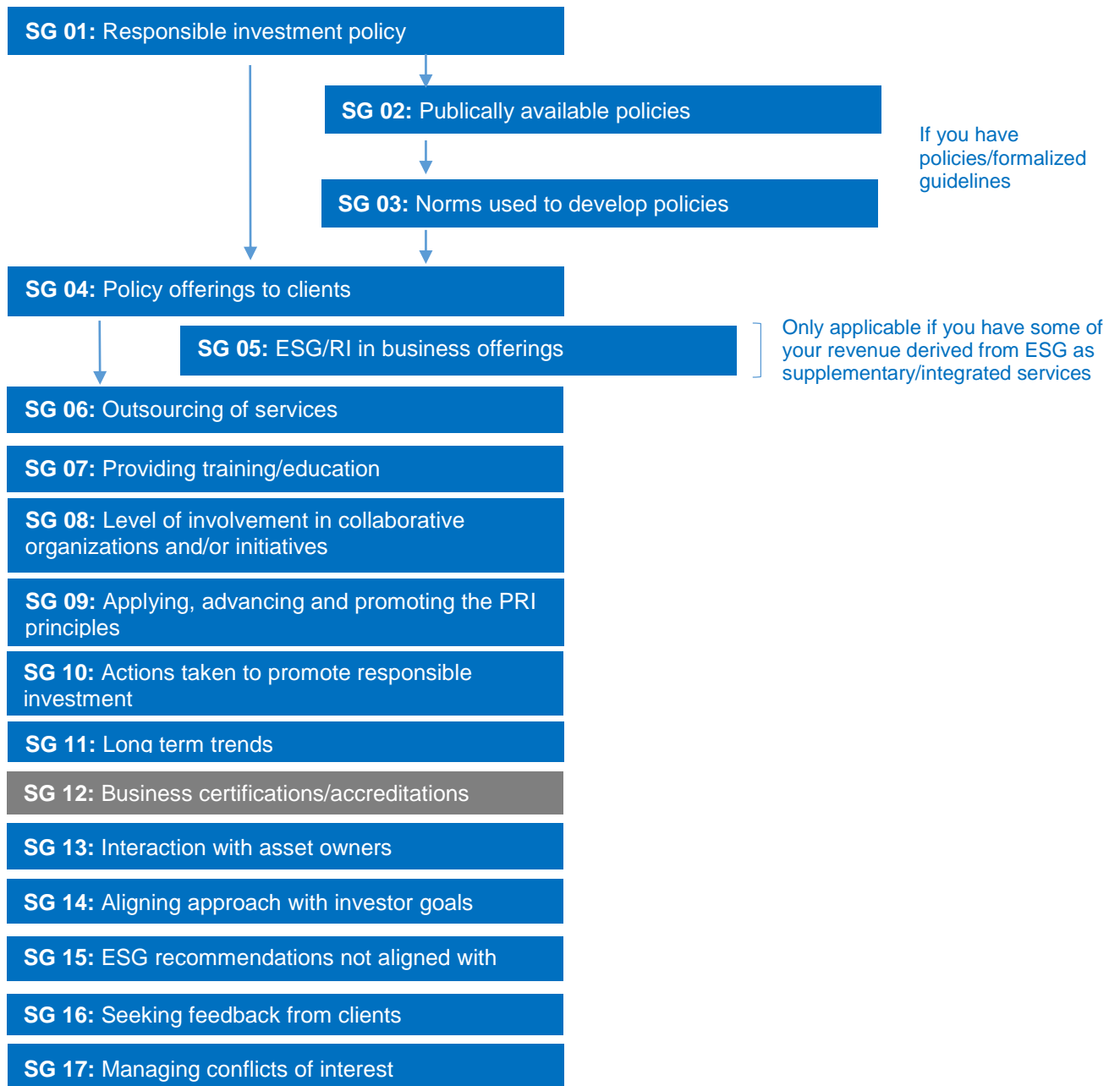
xxx 01	EXPLANATORY NOTES
xxx 01.1	This provides guidance on how to interpret the sub-indicators, including examples of what could be reported.
xxx 01.2	
LOGIC	
xxx 01	This explains when this indicator is applicable and/or if it has an impact on subsequent indicators. If there is no logic box, the indicator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

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

## Table of Contents

Understanding this document	2
Table of Contents	3
Pathway through the module	4
Preface	5
Responsible investment policy	6

## Pathways through the module



## Preface

The information reported in this module will enable your stakeholders to understand your organisation's approach to responsible investment and ESG services (i.e. your governance; policies that cover your approach; how you apply, promote, and advance the Principles; and how you take into account long term risks). You can also report on how you interact with clients and incorporate feedback.

## SECTION

## Responsible investment policy

SG 01	Indicator status MANDATORY	Purpose GATEWAY
-------	-------------------------------	--------------------

SG 01	INDICATOR
SG 01.1	Describe how your organisation's philosophy incorporates environmental, social and governance factors, and the link to your business offerings.
SG 01.2	Indicate whether you have policies that formalise the incorporation of your beliefs in your business offerings.
	<input type="radio"/> Yes <input type="radio"/> No
SG 01.3	Indicate the components/types of your policy
	<b>Policy components/types</b>
	<input type="checkbox"/> [a] Policy setting out our overall ESG/RI approach <input type="checkbox"/> [b] Formalised guidelines on environmental factors <input type="checkbox"/> [c] Formalised guidelines on social factors <input type="checkbox"/> [d] Formalised guidelines on corporate governance factors <input type="checkbox"/> [e] Other, specify (1) _____ <input type="checkbox"/> [f] Other, specify (2) _____ <input type="radio"/> [g] None of the above
SG 01.4	Indicate how these are put into practice internally across the organisation.
	<input type="checkbox"/> Regular employee training on RI/ESG <input type="checkbox"/> Regular RI/ESG policy awareness building for employees <input type="checkbox"/> Establishment of policy review committee/team <input type="checkbox"/> Remuneration linked to achieving ESG objectives <input type="checkbox"/> Annual performance incentives <input type="checkbox"/> Other, specify (1) _____ <input type="checkbox"/> Other, specify (2) _____ <input type="checkbox"/> Other, specify (3) _____ <input type="checkbox"/> Other, specify (4) _____
SG 01.5	Additional information [OPTIONAL]

--	--

SG 01	EXPLANATORY NOTES
<b>SG 01.1</b>	State here your organisational commitment to RI/ ESG and how this influences your business model. You can include a link to a public website or documents that explain further.
<b>SG 01.3</b>	<p>Policy here refers to an overall statement of how you approach responsible investment, or ESG issues, in your activities. Such a policy will normally address a broad range of issues and outline the activities an organisation undertakes to address them. Whether or not you have such an overall policy, you may have guidelines on ESG or responsible investment issues within other policies (e.g. on specific issues such as corporate governance or climate change; on specific activities such as voting).</p> <p>This section does not focus on policies covering office or operational management (e.g., recycling).</p> <p><i>Policy components/types</i></p> <p>The policies listed here may be contained in a single document or multiple separate documents. You may therefore be able to tick multiple boxes.</p>
<b>LOGIC</b>	
<b>SG 01</b>	<p>SG 01.3 – 01.4 will be applicable if you report “Yes” in SG 01.2.</p> <p>SG 02 will be applicable if you report ‘Yes’ in SG 01.2.</p> <p>SG 03 will be applicable if you report ‘Yes’ in SG 01.2.</p>

SG 01	DEFINITIONS
<b>Guidelines and policy</b>	The term “policy’ or ‘guidelines’ in this section may refer to a single policy document that is applied across an organisation, or to a group of documents that, together, define an ESG approach to your business and services.

SG 02	Indicator status <b>MANDATORY</b>	Purpose
-------	--------------------------------------	---------

SG 02	INDICATOR		
SG 02.1	Indicate which of your policy documents or statements (if any) are publicly available. Provide the URL and an attachment of the document.		
	Policy or document name	URL	Attachment (optional)
	[a]Policy setting out your overall ESG/RI approach		
	[b]Formalised guidelines on environmental factors		
	[c]Formalised guidelines on social factors		
	[d]Formalised guidelines on corporate governance factors		
	[e]Other, specify (1)_____		
	[f] Other, specify (2)_____		
	<input type="radio"/> We do not publicly disclose our policy documents		
SG 02.2	Additional information.		
	[OPTIONAL]		

SG 02	EXPLANATORY NOTES
SG 02.2	If your policy on your ESG approach to your business and services, other responsible investment-related policies, or guidance documents are not publicly available, you may indicate whether you plan to publish them in the future or why you do not intend to do so.
LOGIC	
SG 02.1	Only the options selected in SG 01.3 will be listed in this indicator.



SG 03	Indicator status <b>MANDATORY</b>	Purpose
-------	--------------------------------------	---------

SG 03	INDICATOR
<b>SG 03.1</b>	<p>Indicate what standards you have used to develop your organisation's policies. Tick all that apply.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> UN Principles for Responsible Investment</li> <li><input type="checkbox"/> UN Global Compact Principles</li> <li><input type="checkbox"/> UN Guiding Principles on Business and Human Rights</li> <li><input type="checkbox"/> Universal Declaration of Human Rights</li> <li><input type="checkbox"/> UN Sustainable Development Goals</li> <li><input type="checkbox"/> International Bill of Human Rights</li> <li><input type="checkbox"/> International Labour Organisation Conventions</li> <li><input type="checkbox"/> IFC Performance Standards</li> <li><input type="checkbox"/> United Nations Convention Against Corruption</li> <li><input type="checkbox"/> OECD Principles of Corporate Governance</li> <li><input type="checkbox"/> OECD Guidelines for Multinational Enterprises</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> <li><input type="radio"/> None of the above</li> </ul>

SG 03	EXPLANATORY NOTES
<b>SG 03.1</b>	This indicator focuses on the types of international norms that were used to develop your policy.

SG 04	Indicator status MANDATORY	Purpose DESCRIPTIVE
-------	-------------------------------	------------------------

SG 04			
SG 04.1	Indicate whether you offer any of the following policies to clients.		
		Off the shelf	Tailored
	Asset class-specific RI guidelines	<input type="checkbox"/>	<input type="checkbox"/>
	Sector-specific RI guidelines	<input type="checkbox"/>	<input type="checkbox"/>
	Screening/exclusions policy	<input type="checkbox"/>	<input type="checkbox"/>
	Engagement policy	<input type="checkbox"/>	<input type="checkbox"/>
	(Proxy) voting policy	<input type="checkbox"/>	<input type="checkbox"/>
	RI guidelines set out within the Investment Policy Statement (IPS)	<input type="checkbox"/>	<input type="checkbox"/>
	RI guidelines set out in a freestanding RI policy	<input type="checkbox"/>	<input type="checkbox"/>
	Multi-year RI implementation project plan	<input type="checkbox"/>	<input type="checkbox"/>
	Conflict of interest management policy	<input type="checkbox"/>	<input type="checkbox"/>
	Stockbroker allocation policy	<input type="checkbox"/>	<input type="checkbox"/>
	Securities lending policy	<input type="checkbox"/>	<input type="checkbox"/>
	Other, please specify (1)_____	<input type="checkbox"/>	<input type="checkbox"/>
	Other, please specify (2)_____	<input type="checkbox"/>	<input type="checkbox"/>
	Other, please specify (3)_____	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="radio"/> None of the above		
	SG 04.2	Provide a brief description of the key elements, any variations, or exceptions applying to these policies.	

SG 04	EXPLANATORY NOTES
SG 04.1	Indicate here whether you offer standard policies to clients as part of your product offerings, and whether you create customised versions for individual clients.

<b>SG 04.2</b>	<p>This indicator gives you the opportunity to comment on issues such as the motivations for RI/ ESG activities and:</p> <ul style="list-style-type: none"> <li>• the scope of the policy;</li> <li>• when the policy was adopted and how frequently it is reviewed by the client;</li> <li>• any significant exceptions to the policy;</li> <li>• how the policy is implemented by the client.</li> </ul>
<b>LOGIC</b>	
<b>SG 04</b>	SG 04.2 will be applicable if you report on any of the options listed in SG 04.1, except for 'None of the above'.

SG 05	Indicator status MANDATORY	Purpose DESCRIPTIVE
-------	-------------------------------	------------------------

SG 05	INDICATOR	
SG 05.1	Describe how you include ESG/RI factors as an integral part of your business offerings.	
	Business area	How you incorporate ESG/RI factors
	[a]Reporting	
	[b]Stewardship Services	
	[c]Advisory and Consultancy	
	[d]Research and Data Provision	
	[e]Other, specify (1) _____	
	[f]Other, specify (2)_____	
	[g]Other, specify (3)_____	
SG 05.2	Describe the resources that your organisation allocates to ESG/RI offerings where these form only a supplementary ESG/RI service.	
	[a]Reporting	
	[b]Stewardship Services	
	[c]Advisory and Consultancy	
	[d]Research and Data Provision	
	[e]Other, specify (1)_____	
	[f]Other, specify (2)_____	
	[g]Other, specify (3)_____	

SG 05	EXPLANATORY NOTES
SG 05	Organisations may take a different approach to the inclusion of ESG and RI factors when they are an underlying part of their offerings, as compared to an ESG supplementary product.
SG 05.1	You may also wish to include information on how you ensure that your organisation has up-to-date ESG/RI competencies and other processes that you have in place to ensure ESG/RI is included across your business offerings.
SG 05.2	Resources may refer to how your organisation ensures that ESG/RI competencies are up-to-date among employees. This may include training on ESG/RI incorporation, a development plan that

	aims to develop targeted employee groups' ESG/RI knowledge. This may also comprise whether you include ESG/RI knowledge factors in personal development goals as well as including ESG/RI in selection requirements when hiring for new positions working with ESG supplementary products.
<b>LOGIC</b>	
<b>SG 05.1</b>	The options available to you in this table depend on the information you reported in OO 05.1
<b>SG 05.2</b>	The options available to you in this table depend on the information you reported in OO 05.1

SG 06	Indicator status <b>MANDATORY TO REPORT, VOLUNTARY TO DISCLOSE</b>	Purpose <b>DESCRIPTIVE</b>
-------	---	-------------------------------

SG 06	INDICATOR																	
SG 06.1	Indicate whether you outsource some of your services.																	
	<table border="1"> <thead> <tr> <th data-bbox="365 604 825 672">Business area</th><th data-bbox="825 604 1453 672">Percentage of service outsourced</th></tr> </thead> <tbody> <tr> <td data-bbox="365 672 825 739"><input type="checkbox"/> Reporting</td><td data-bbox="825 672 1453 739"><input type="text"/> %</td></tr> <tr> <td data-bbox="365 739 825 806"><input type="checkbox"/> Stewardship Services</td><td data-bbox="825 739 1453 806"><input type="text"/> %</td></tr> <tr> <td data-bbox="365 806 825 873"><input type="checkbox"/> Advisory and Consultancy</td><td data-bbox="825 806 1453 873"><input type="text"/> %</td></tr> <tr> <td data-bbox="365 873 825 940"><input type="checkbox"/> Research and Data Provision</td><td data-bbox="825 873 1453 940"><input type="text"/> %</td></tr> <tr> <td data-bbox="365 940 825 1008"><input type="checkbox"/> Other, specify (1) _____</td><td data-bbox="825 940 1453 1008"><input type="text"/> %</td></tr> <tr> <td data-bbox="365 1008 825 1075"><input type="checkbox"/> Other, specify (2) _____</td><td data-bbox="825 1008 1453 1075"><input type="text"/> %</td></tr> <tr> <td data-bbox="365 1075 825 1142"><input type="checkbox"/> Other, specify (3) _____</td><td data-bbox="825 1075 1453 1142"><input type="text"/> %</td></tr> <tr> <td colspan="2" data-bbox="365 1142 1453 1216"><input type="radio"/> None of the above</td></tr> </tbody> </table>	Business area	Percentage of service outsourced	<input type="checkbox"/> Reporting	<input type="text"/> %	<input type="checkbox"/> Stewardship Services	<input type="text"/> %	<input type="checkbox"/> Advisory and Consultancy	<input type="text"/> %	<input type="checkbox"/> Research and Data Provision	<input type="text"/> %	<input type="checkbox"/> Other, specify (1) _____	<input type="text"/> %	<input type="checkbox"/> Other, specify (2) _____	<input type="text"/> %	<input type="checkbox"/> Other, specify (3) _____	<input type="text"/> %	<input type="radio"/> None of the above
Business area	Percentage of service outsourced																	
<input type="checkbox"/> Reporting	<input type="text"/> %																	
<input type="checkbox"/> Stewardship Services	<input type="text"/> %																	
<input type="checkbox"/> Advisory and Consultancy	<input type="text"/> %																	
<input type="checkbox"/> Research and Data Provision	<input type="text"/> %																	
<input type="checkbox"/> Other, specify (1) _____	<input type="text"/> %																	
<input type="checkbox"/> Other, specify (2) _____	<input type="text"/> %																	
<input type="checkbox"/> Other, specify (3) _____	<input type="text"/> %																	
<input type="radio"/> None of the above																		
SG 06.2																		
SG 06.3																		

SG 06	EXPLANATORY NOTES
SG 06	This indicator allows you to describe how you ensure consistency throughout your services in terms of ESG/RI beliefs and adherence to any formalized policies on ESG/RI that you might have.
SG 06.1	Please report percentage of services outsourced as percentage of total revenue for that specific business area.
LOGIC	

**SG 06.1**

If you report that any percentage >0% of your services are outsourced, SG 06.2 and 06.3 will be applicable to you.

SG 07	Indicator status MANDATORY	Purpose DESCRIPTIVE
-------	-------------------------------	------------------------

SG	INDICATOR
SG 07.1	<p>Indicate whether you provide training/educational services on ESG/RI. Tick all that apply.</p> <p> <input type="checkbox"/> Board/trustee training  <input type="checkbox"/> Investment manager training  <input type="checkbox"/> Other, specify (1)____  <input type="checkbox"/> Other, specify (2)____  <input type="checkbox"/> Other, specify (3)____  <input type="checkbox"/> Other, specify (4)____  <input type="radio"/> None of the above         </p>
SG 07.2	<p>Describe the main components of your training/educational services on ESG/RI and any variations depending on the group you provide training/education to.</p>

SG 07	LOGIC
SG 07.1	SG 07.2 will be applicable if you reported that you provide training/educational services to any of the groups listed in SG 07.1, including 'Other, specify'.



SG 08	Indicator status MANDATORY	Purpose DESCRIPTIVE
-------	-------------------------------	------------------------

SG 08	INDICATOR		
SG 08.1	Select the collaborative organisation and/or initiatives of which your organisation is a member, or in which it participated during the reporting year and the role you played.		
	Collaborative Organisation/Initiative	Your organisation's role in the initiative during the reporting year (see definitions)	Provide a brief commentary on the level of your organisation's involvement in the initiative [OPTIONAL]
	<input checked="" type="checkbox"/> Principles for Responsible Investment (PRI)	Basic, Moderate, Advanced [drop down]	
	<input type="checkbox"/> Other collaborative organisation/initiative; specify (1)_____	[same as above]	
	<input type="checkbox"/> Other collaborative organisation/initiative; specify (2)_____	[same as above]	
	<input type="checkbox"/> Other collaborative organisation/initiative; specify (3)_____	[same as above]	
	<input type="checkbox"/> Other collaborative organisation/initiative; specify (4)_____	[same as above]	
SG 08.2	Additional information. [OPTIONAL]		

SG 08	EXPLANATORY NOTES
SG 08.1	<p>The option 'Principles for Responsible Investment' has been prefilled for all signatories.</p> <p>You can also add organisations or initiatives that are not listed.</p> <p>You should also use this indicator to specifically reference adherence to any reporting guidelines, standards or frameworks.</p>

SG 09	Indicator status MANDATORY	Purpose DESCRIPTIVE
-------	-------------------------------	------------------------

SG 09	INDICATOR
SG 09.1	Describe how your organisation applies, advances and promotes the PRI Principles.
SG 09.2	Highlight whether there are any ways that your organisation would like to engage further with the PRI. [OPTIONAL]

SG 09	EXPLANATORY NOTES
SG 09	Use this indicator to describe where you are specifically promoting the PRI Principles through your work and other activities. You may list the specific events, publications, and other actions you undertook during the reporting year to explicitly apply, advance, and promote the PRI Principles. Advancement of general RI and ESG practices can be described in the subsequent indicator.

SG 10	Indicator status MANDATORY	Purpose
-------	-------------------------------	---------

SG 10	INDICATOR
SG 10.1	<p>Indicate which of the following actions your organisation has taken to promote responsible investments, independently of collaborative initiatives.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Provided or supported education or training programmes for clients, investment managers, legal advisers or other investment organisations</li> <li><input type="checkbox"/> Provided financial support for academic or industry research on responsible investment</li> <li><input type="checkbox"/> Encouraged better transparency and disclosure of responsible investment practices across the investment industry</li> <li><input type="checkbox"/> Spoken publicly at events and conferences to promote responsible investment</li> <li><input type="checkbox"/> Written and published in-house research papers on responsible investment</li> <li><input type="checkbox"/> Encouraged the adoption of the PRI</li> <li><input type="checkbox"/> Written and published articles on responsible investment in the media</li> <li><input type="checkbox"/> Policy engagements and other interactions</li> <li><input type="checkbox"/> Other, specify _____</li> </ul>
SG 10.2	<p>Additional information.</p> <p>[OPTIONAL]</p>

SG 10	EXPLANATORY NOTES
SG 10	Describe any activities that help contribute to the wider understanding of RI or ESG issues, including pro bono work, training or thought leadership activities that your organisation undertakes.

<b>SG 11</b>	Indicator status <b>MANDATORY</b>	Purpose <b>DESCRIPTIVE</b>
--------------	--------------------------------------	-------------------------------

<b>SG 11</b>	<b>INDICATOR</b>
<b>SG 11.1</b>	<p>Indicate which of the following long-term trends are addressed in your product outputs.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Changing demographics</li> <li><input type="checkbox"/> Climate change</li> <li><input type="checkbox"/> Resource scarcity</li> <li><input type="checkbox"/> Technology developments</li> <li><input type="checkbox"/> Other, specify (1) _____</li> <li><input type="checkbox"/> Other, specify (2) _____</li> <li><input type="radio"/> None of the above</li> </ul>
<b>SG 11.2</b>	<p>Explain how this long-term trend affects your product outputs.</p>
<b>SG 11.3</b>	<p>If none of the above are applicable, please explain why not.</p>

<b>SG 11</b>	<b>EXPLANATORY NOTES</b>
<b>SG 11.1</b>	This indicator gives you the opportunity to report on long term ESG trends that your organisation is considering as part of your overall approach to ESG and/or responsible investment. The list of trends is not exhaustive and it is expected that signatories will provide examples of additional trends that are not currently captured. PRI will continue to monitor and update the list in future years.
<b>SG 11.2</b>	The terms used are broad and may impact business and investment processes in a number of different ways. Please provide detail on how these trends will impact your approach in terms of your product outputs.
<b>LOGIC</b>	
<b>SG 11.1</b>	<p>SG 11.2 will be applicable if you report that you address any of the long term trends in your product outputs, this includes 'Other, specify____'.</p> <p>SG 11.3 will be applicable if you report 'None of the above'.</p>

SG 12	Indicator status VOLUNTARY	Purpose
-------	-------------------------------	---------

<b>SG 12</b>	<b>INDICATOR</b>
<b>SG 12.1</b>	<p>Indicate whether you have obtained any certifications or accreditations related to ESG/RI and your business activities.</p> <p><input type="checkbox"/> Other, specify (1) _____</p> <p><input type="checkbox"/> Other, specify (2) _____</p> <p><input type="checkbox"/> Other, specify (3) _____</p> <p><input type="radio"/> None of the above</p>
<b>SG 12.2</b>	<p>Additional information.</p> <p>[OPTIONAL]</p>

<b>SG 12</b>	<b>EXPLANATORY NOTES</b>
<b>SG 12.1</b>	<p>List any certifications or accreditations that your organization has obtained that are relevant to your business area. These certifications or accreditations should be related to ESG/RI and/or sustainability in general.</p>

SG 13	Indicator status MANDATORY	Purpose
-------	-------------------------------	---------

SG 13	INDICATOR	
SG 13.1	Indicate whether you interact with asset owner clients.	
	<input type="radio"/> Yes, we do	<input type="radio"/> No, we do not
SG 13.2	Indicate the typical frequency and type of interactions with your asset owner clients.	
	Type of interaction	Frequency
	<input type="checkbox"/> Board of trustee meetings	[DROPDOWN] Daily, Weekly, Monthly, Quarterly, Bi-annually, Annually, Ad-hoc basis, Other, specify (1)____, Other, specify (2)____
	<input type="checkbox"/> Investment committee meetings	[same as above]
	<input type="checkbox"/> Trustee training workshops	
	<input type="checkbox"/> Formal regular meetings outside of committee meetings	
	<input type="checkbox"/> Informal meetings	
	<input type="checkbox"/> Other, specify (1) _____	
	<input type="checkbox"/> Other, specify (2) _____	
	<input type="checkbox"/> Other, specify (3) _____	
<input type="checkbox"/> Other, specify (4) _____		
SG 13.3	Tick boxes across level of employment of investor contact (C-level, PM etc.) and subject areas typically addressed with the contact(s).	
	Level of employment	Subject area(s)
	<input type="checkbox"/> Board members or trustees	
	<input type="checkbox"/> CEO	
	<input type="checkbox"/> Other C-level staff or head of department, specify _____	
	<input type="checkbox"/> Analyst	
	<input type="checkbox"/> Portfolio manager	
	<input type="checkbox"/> Dedicated responsible investment staff	

	<input type="checkbox"/> Investment committee	
	<input type="checkbox"/> Other, specify (1)_____	
	<input type="checkbox"/> Other, specify (2)_____	
<b>SG 13</b>	<b>EXPLANATORY NOTES</b>	
<b>SG 13</b>	'Interaction' is taken to mean meetings or calls where substantive issues are discussed. It does not mean monitoring items such as reporting.	
<b>SG 13.2-13.3</b>	The information you report here is understood as the typical approach to a type of interaction, frequency of interaction, level of employment of AO contacts, and subject areas you normally/typically interact on. Some level of generalization and aggregation of information may be needed to respond to this indicator.	
<b>SG 13.3</b>	Subject areas may include, but are not limited to: RI-policy incorporation, how ESG affects the investment strategy, ESG integration, how ESG affects valuations, engagement and (proxy) voting, conflicts of interest, ESG risks, research on RI topics, ESG ratings, etc.	
<b>LOGIC</b>		
<b>SG 13.1</b>	SG 13.2 – SG 13.3 will be applicable if you report 'Yes, we do'	

SG 14	Indicator status MANDATORY	Purpose DESCRIPTIVE
-------	-------------------------------	------------------------

SG 14	INDICATOR
SG 14.1	<p>Describe how you align your organisation's philosophy on and approach to ESG/RI with investor goals.</p> <p><input type="radio"/> This is not relevant for my organisation</p>
SG 14.2	<p>Additional information.</p> <p>[OPTIONAL]</p>

SG 14	EXPLANATORY NOTES
SG 14	<p>This indicator allows you to elaborate on how your organisation adapts its approach and execution of ESG services according to the investment goals or other needs of investor clients.</p> <p>Investor goals may be general such as generating superior, risk-adjusted returns or being an active owner, channelling capital towards positive impact investment opportunities and/or contributing to the sustainability of the financial markets.</p> <p>Actions to align your organisation's philosophy on and approach to ESG with investor goals may include, but are not limited to: compiling an RI/ESG value or belief statement, setting RI outcomes to be achieved over time, setting timelines for RI outcomes, documenting RI outcomes, timelines and guidelines, and RI/ESG training when beliefs and outcomes diverge.</p> <p>If this indicator is not applicable to your organisation, please explain why not by using the 'Additional information' box.</p>





SG 16	Indicator status MANDATORY	Purpose DESCRIPTIVE
-------	-------------------------------	------------------------

SG 16	INDICATOR	
SG 16.1	Indicate whether you seek feedback from clients on your RI/ESG services and product offerings.	
	<input type="radio"/> Yes	<input type="radio"/> No
SG 16.2	Describe how you use this feedback on your RI/ESG services and product offerings.	
SG 16.3	If not, please explain why.	

SG 16	EXPLANATORY NOTES
SG 16	It may be possible to ask clients to comment on the utility of the work carried out for them, in order to understand and potentially make changes to product and service offerings. This might not always be possible or appropriate in the client relationship.
LOGIC	
SG 16.1	SG 16.2 will be applicable if you report 'Yes'. SG 16.3 will be applicable if you report 'No'.

SG 17	Indicator status MANDATORY	Purpose DESCRIPTIVE
-------	-------------------------------	------------------------

SG 17	INDICATOR	
SG 17.1	Indicate whether your organisation has a policy for managing potential conflicts of interest.	
	<input type="radio"/> Yes	<input type="radio"/> No
SG 17.2	Describe how you manage potential conflicts of interest.	
SG 17.3	Describe how you ensure that company employees do not derive any personal gain from the use of information collected during your work process.	

SG 17	EXPLANATORY NOTES
SG 17	A conflict of interest may occur where the interest of a client is not the same as, or is not perceived to be the same as, that of your own organisation.
LOGIC	
SG 17.1	SG 17.2 and 17.3 will be applicable if you report 'Yes'.