

Resumen | PRI Assessment Report Pilot 2021

Credicorp Capital Asset Management es signatario de Principles for Responsible Investment (PRI) desde junio de 2020. En 2021, completamos la primera evaluación voluntaria con información de nuestras políticas y prácticas al cierre de 2020. En 2022, recibimos los resultados de la evaluación en la que obtuvimos los siguientes puntajes en los módulos aplicables a nuestra operación:

- a) Módulo Investment and Stewardship Policy: 3/5 estrellas
- b) Módulo Direct – Listed equity – Active fundamental – incorporation: 3/5 estrellas
- c) Módulo Direct – Listed equity – Active fundamental – voting: 3/5 estrellas
- d) Módulo Direct – Fixed Income – Corporate: 2/5 estrellas
- e) Módulo Direct – Fixed Income – Private debt: 1/5 estrellas
- f) Módulo Direct – Real estate: 1/5 estrellas
- g) Módulo Direct – Infrastructure: 3/5 estrellas
- h) Módulo Indirect – Listed equity – Active: 3/5 estrellas
- i) Módulo Indirect – Fixed income – Active: 1/5 estrellas

Siguiendo las recomendaciones y mejores prácticas de PRI, a continuación, compartimos el documento completo del Assessment Report Pilot 2021.

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ASSESSMENT REPORT

2021 PILOT

Credicorp Capital Asset Management

Generated 2022-08-18

ABOUT THIS REPORT

The assessment report is designed to provide feedback to signatories and support ongoing learning and development. The high-level assessment methodology can be found [here](#) and question-level assessment criteria can be found after each indicator in the Investor Reporting Framework, [here](#). Note that the 2021 scoring methodology has changed to reflect the new Reporting Framework, and is incomparable with scores from previous PRI years.

Assessment Reports are confidential and only accessible to the reporting signatory on the Data Portal.

A dataset of medians based on all signatories' scores can be referenced [here](#).

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- Transparency Report

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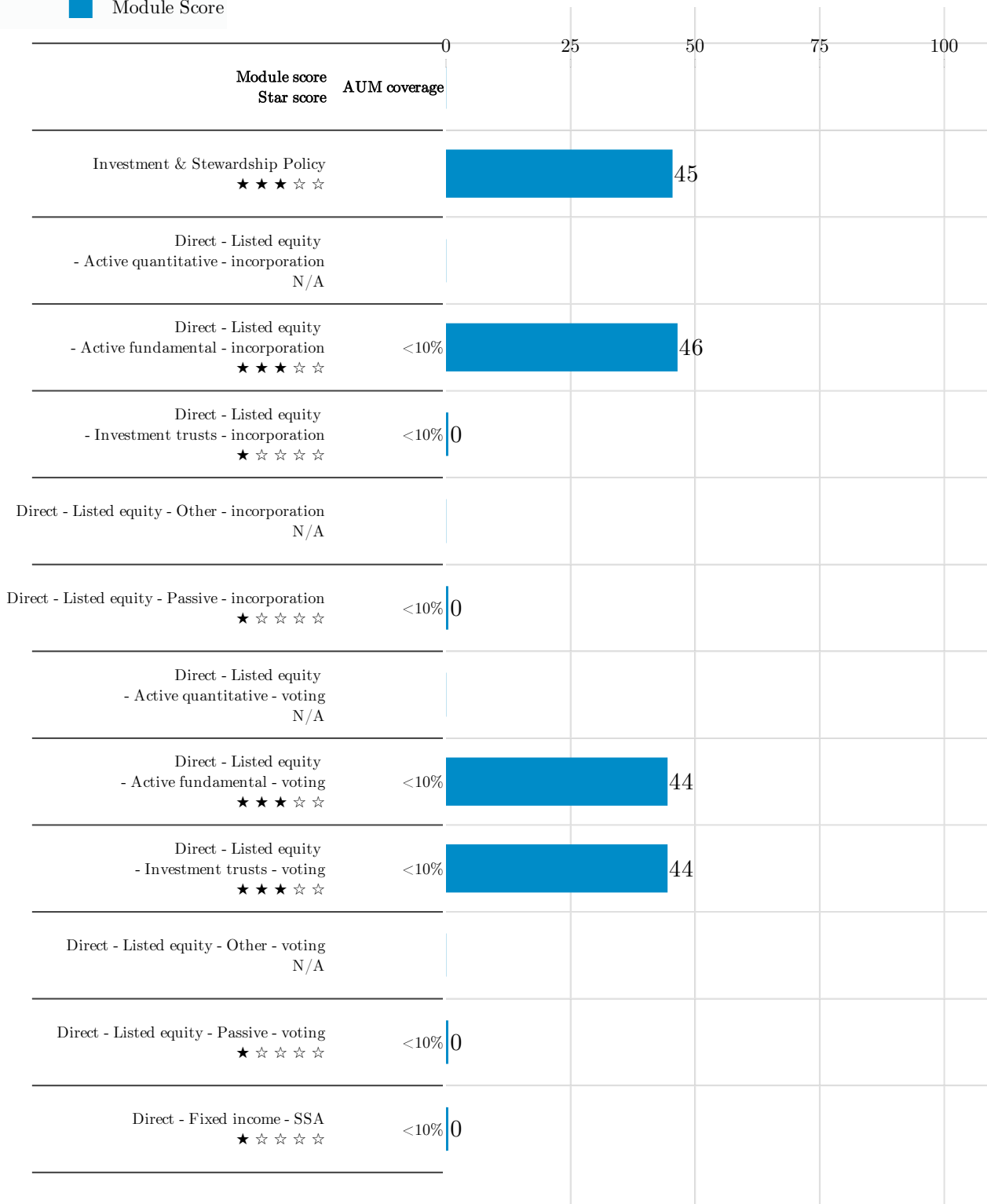
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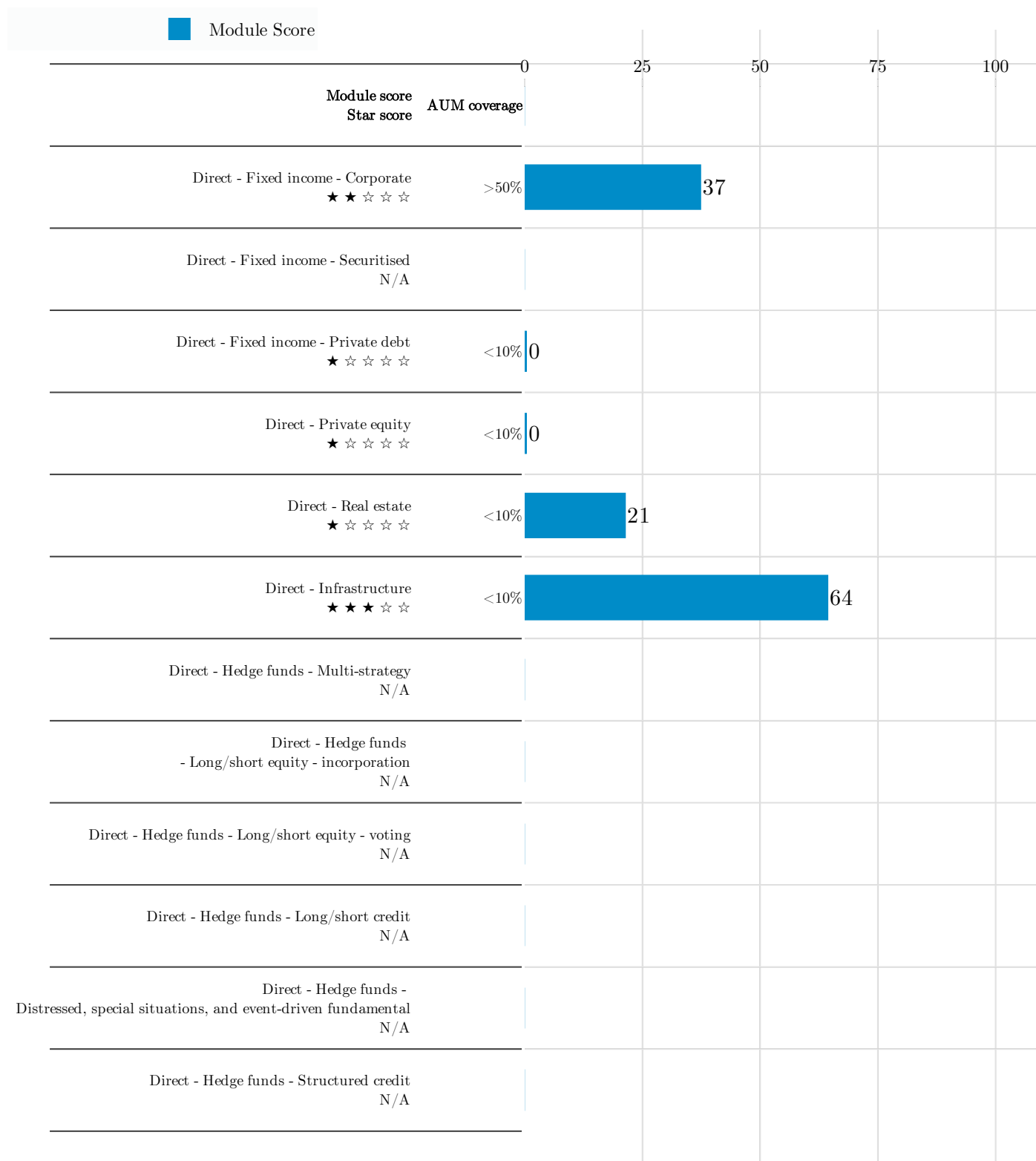
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Summary Scorecard

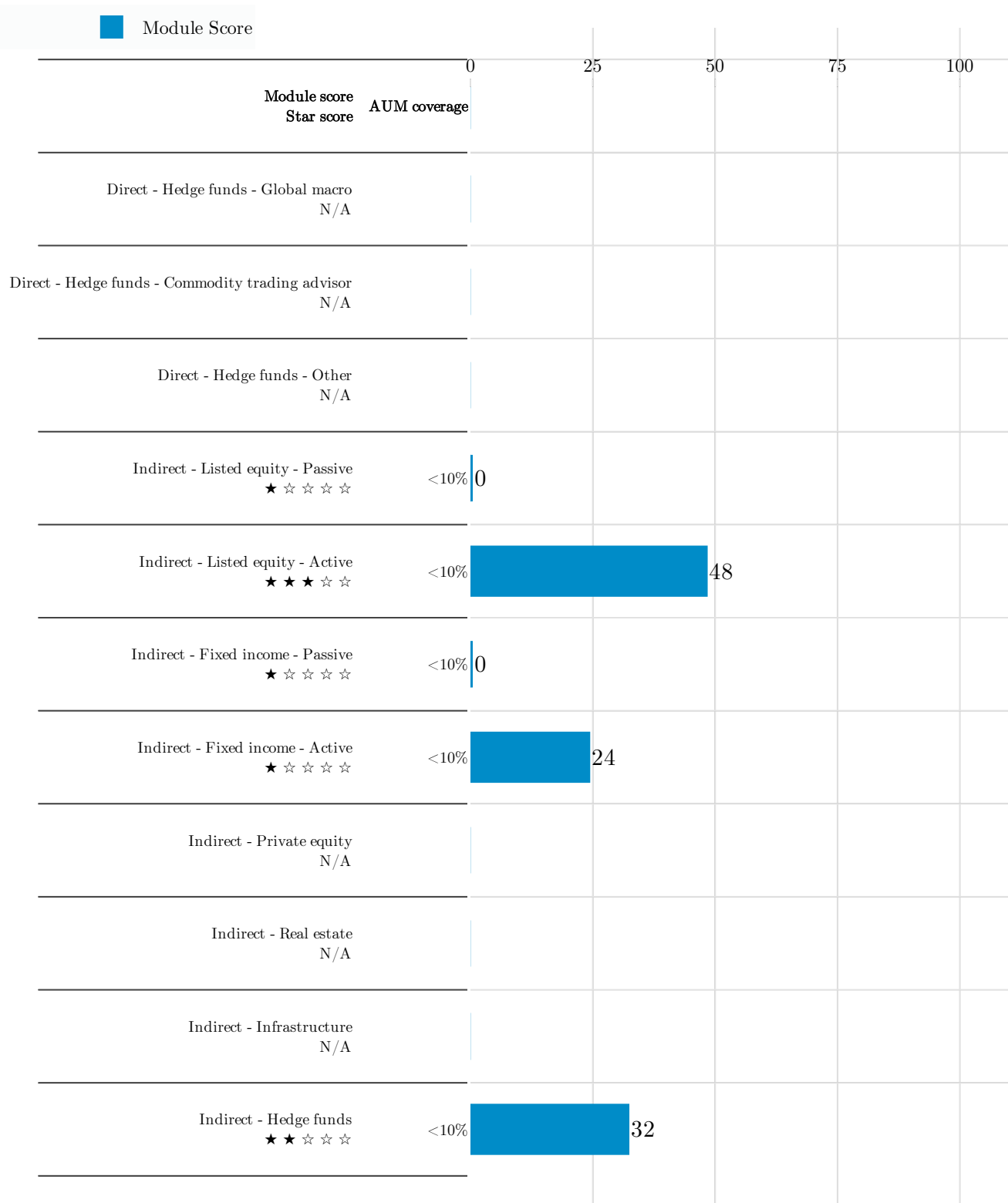
■ Module Score



Summary Scorecard (continued)



Summary Scorecard (continued)



Indicator Level Scores For Direct - Fixed income - SSA

Section	Sub-section	Topic	Indicator	Your Score
Pre-investment phase	Materiality analysis	AUM coverage of ESG materiality assessment process	FI 1	0/200
Pre-investment phase	Materiality analysis	How ESG is incorporated into materiality assessment process	FI 1.1	0/200
Pre-investment phase	ESG risk management	AUM coverage of ESG incorporation in risk management	FI 2.1	0/150
Pre-investment phase	ESG incorporation in asset valuation	AUM coverage of ESG incorporation in investment research	FI 3.1	0/200
Pre-investment phase	ESG incorporation in portfolio construction	Portion of cases where ESG affected portfolio construction	FI 5.1	0/200
Pre-investment phase	ESG incorporation in assessment of issuers	Incorporation of ESG in credit quality analysis	FI 7	0/200
Pre-investment phase	ESG performance	Incorporation of relative ESG performance in investment analysis	FI 8	0/150
Post-investment phase	ESG risk management	Incorporation of ESG in regular reviews	FI 12	0/150
Post-investment phase	ESG risk management	Identification of ESG incidents	FI 13	0/200
Post-investment phase	Time horizons	Time frame for which ESG risks taken into account	FI 14	0/150
Post-investment phase	Long-term ESG trend analysis	Continuous monitoring of long-term ESG trends	FI 15	0/150
Post-investment phase	Thematic bonds	Selection of non-labelled thematic bonds	FI 19	0/100
Post-investment phase	Thematic bonds	Escalation strategies used in the majority of cases when thematic bond proceeds are not allocated as promised	FI 20	0/150
Reporting/Disclosure	ESG screens	Communication of the side-effects of fixed income screening to clients or beneficiaries	FI 21	0/200
Engagement	Engaging with issuers/borrowers	Timing of fixed income engagement	FI 22	0/200
Engagement	Sovereign bonds	SSA bonds: non-issuer parties engaged with	FI 23	0/150

Indicator Level Scores For Direct - Fixed income - Corporate

Section	Sub-section	Topic	Indicator	Your Score
Pre-investment phase	Materiality analysis	AUM coverage of ESG materiality assessment process	FI 1	128/200
Pre-investment phase	Materiality analysis	How ESG is incorporated into materiality assessment process	FI 1.1	100/200
Pre-investment phase	ESG risk management	AUM coverage of ESG incorporation in risk management	FI 2.1	36/150
Pre-investment phase	ESG incorporation in asset valuation	AUM coverage of ESG incorporation in investment research	FI 3.1	44/200
Pre-investment phase	ESG incorporation in portfolio construction	Portion of cases where ESG affected portfolio construction	FI 5.1	40/200
Pre-investment phase	ESG incorporation in assessment of issuers	Incorporation of ESG in credit quality analysis	FI 7	100/200
Pre-investment phase	ESG risk management	Corporate bonds: coverage of framework for ESG risks at country and sector level	FI 9.1	47/150
Post-investment phase	ESG risk management	Incorporation of ESG in regular reviews	FI 12	38/150
Post-investment phase	ESG risk management	Identification of ESG incidents	FI 13	50/200
Post-investment phase	Time horizons	Time frame for which ESG risks taken into account	FI 14	48/150
Post-investment phase	Long-term ESG trend analysis	Continuous monitoring of long-term ESG trends	FI 15	48/150
Reporting/Disclosure	ESG screens	Communication of the side-effects of fixed income screening to clients or beneficiaries	FI 21	0/200
Engagement	Engaging with issuers/borrowers	Timing of fixed income engagement	FI 22	128/200

Indicator Level Scores For Direct - Fixed income - Private debt

Section	Sub-section	Topic	Indicator	Your Score
Pre-investment phase	Materiality analysis	AUM coverage of ESG materiality assessment process	FI 1	0/200
Pre-investment phase	Materiality analysis	How ESG is incorporated into materiality assessment process	FI 1.1	0/200
Pre-investment phase	ESG risk management	AUM coverage of ESG incorporation in risk management	FI 2.1	0/150
Pre-investment phase	ESG incorporation in asset valuation	AUM coverage of ESG incorporation in investment research	FI 3.1	0/200
Pre-investment phase	ESG incorporation in portfolio construction	Portion of cases where ESG affected portfolio construction	FI 5.1	0/200
Pre-investment phase	ESG incorporation in assessment of issuers	Incorporation of ESG in credit quality analysis	FI 7	0/200
Pre-investment phase	Private debt	Private debt: coverage of ESG incorporate in investment selection	FI 10.1	0/200
Post-investment phase	ESG risk management	Incorporation of ESG in regular reviews	FI 12	0/150
Post-investment phase	ESG risk management	Identification of ESG incidents	FI 13	0/200
Post-investment phase	Long-term ESG trend analysis	Continuous monitoring of long-term ESG trends	FI 15	0/150
Engagement	Engaging with issuers/borrowers	Timing of fixed income engagement	FI 22	0/200

Indicator Level Scores For Direct - Infrastructure

Section	Sub-section	Topic	Indicator	Your Score
Policy	Investment guidelines	Infrastructure specific elements of responsible investment policy	INF 1	128/200
Fundraising	Commitments to investors	Formal responsible investment commitments made	INF 2	150/150
Pre-investment phase	Materiality analysis	Level at which materiality is assessed	INF 3	164/200
Pre-investment phase	Materiality analysis	Tools used in materiality analysis	INF 3.1	150/150
Pre-investment phase	Due diligence	Effect of ESG on selection of infrastructure investments	INF 4	120/200
Pre-investment phase	Due diligence	Processes used to conduct ESG due diligence	INF 5	160/200
Selection, appointment and monitoring of third-party operators	Selection process	ESG factors in selection of third party infrastructure operators	INF 6	200/200
Selection, appointment and monitoring of third-party operators	Appointment process	ESG factors in appointment of third party infrastructure operators	INF 7	73/150
Selection, appointment and monitoring of third-party operators	Monitoring process	ESG factors in monitoring of third party infrastructure operators	INF 8	150/200
Post-investment phase	Monitoring	Tracking of core ESG KPIs	INF 9	100/100
Post-investment phase	Monitoring	Reasoning for ESG targets	INF 10	0/200
Post-investment phase	Monitoring	Processes that support investees in meeting ESG targets	INF 11	112/150
Post-investment phase	Monitoring	Management of post-investment ESG risks and opportunities	INF 12	49/200
Post-investment phase	Monitoring	Processes for ensuring asset-level ESG competence	INF 14	95/200
Post-investment phase	Exit	Responsible investment information shared with buyers at exit	INF 15	0/100
Reporting/Disclosure	ESG portfolio information	Methods for reporting core ESG metrics and targets	INF 16	96/150

Indicator Level Scores For Investment & Stewardship Policy

Section	Sub-section	Topic	Indicator	Your Score
Responsible investment policy & governance	Responsible investment policy	Signatories responsible investment policy	ISP 1	200/200
Responsible investment policy & governance	Responsible investment policy	Signatories with elements of responsible investment policy	ISP 1.1	120/200
Responsible investment policy & governance	Responsible investment policy	Signatories with public responsible policy elements	ISP 2	200/200
Responsible investment policy & governance	Responsible investment policy	Coverage of responsible policy elements	ISP 3	150/200
Responsible investment policy & governance	Responsible investment policy	Contents of exclusion policy	ISP 4	100/100
Responsible investment policy & governance	Responsible investment policy	Coverage of asset specific guidelines on ESG incorporation	ISP 5	19/150
Responsible investment policy & governance	Governance	Roles with formal oversight and accountability for responsible investment	ISP 6	150/150
Responsible investment policy & governance	Governance	Roles with implementation responsibilities for responsible investment	ISP 7	100/100
Responsible investment policy & governance	People and capabilities	Staff objectives for responsible investment practices	ISP 8	150/150
Responsible investment policy & governance	People and capabilities	Bonuses for responsible investment practices	ISP 8.2	100/100
Responsible investment policy & governance	People and capabilities	Frequency at which staff training for responsible investment is reassessed	ISP 9	100/100
Responsible investment policy & governance	Strategic asset allocation	Signatories incorporating ESG factors in strategic asset allocation	ISP 10.1	0/150
Stewardship	Stewardship policy	Coverage of stewardship policy	ISP 11	67/200
Stewardship	Stewardship policy	Elements of stewardship policy	ISP 12	60/150
Stewardship	Stewardship policy implementation	Primary mechanism of stewardship policy	ISP 13	150/150
Stewardship	Stewardship objectives	Primary objective of stewardship policy	ISP 15	25/200
Stewardship	Stewardship prioritisation	Criteria for prioritising engagement targets	ISP 16	50/100
Stewardship	Escalation strategies	Escalation strategies not used in stewardship	ISP 20	100/150
Stewardship	Engaging policymakers	Signatories who engage with public policy makers	ISP 23	100/200

Indicator Level Scores For Investment & Stewardship Policy (continued)

Section	Sub-section	Topic	Indicator	Your Score
Stewardship	Engaging policymakers	Methods used to engage with public policy makers	ISP 23.1	100/200
Stewardship	Engaging policymakers	Signatories with governance processes to ensure alignment of political activity with stance on responsible investment	ISP 23.2	0/200
Stewardship	Engaging policymakers – Policies	Signatories with policies to ensure alignment of political activity with stance on responsible investment	ISP 24	200/200
Stewardship	Engaging policymakers – Policies	Public disclosure of political influence policies	ISP 24.1	150/150
Climate change	Public support	Signatories publicly supporting the Paris Agreement	ISP 26	0/150
Climate change	Public support	Signatories publicly supporting the TCFD	ISP 27	0/150
Climate change	Governance	Board oversight for climate-related risks and opportunities [TCFD Governance A]	ISP 28	0/200
Climate change	Governance	Management responsibility for climate-related risks and opportunities [TCFD Governance B]	ISP 29	0/200
Climate change	Strategy	Time horizon for climate risks and opportunities [TCFD Strategy A]	ISP 30.1	50/200
Climate change	Strategy	Climate risks and opportunities identified beyond investment horizon [TCFD Strategy A]	ISP 31	0/200
Climate change	Strategy: Scenario analysis	Use of climate scenario analysis	ISP 33	0/200
Sustainability outcomes	Identify sustainability outcomes	Tools and frameworks used to identify and map activities onto sustainability outcomes	ISP 44	0/200
Sustainability outcomes	Identify sustainability outcomes	Levels at which sustainability outcomes are identified and mapped	ISP 44.1	0/150
Sustainability outcomes	Identify sustainability outcomes	Processes for identifying most salient sustainability outcomes	ISP 45	0/200
Transparency & Confidence-Building Measures	Information disclosed – All assets	Information shared	ISP 49	150/150
Transparency & Confidence-Building Measures	Client reporting – All assets	ESG information included in regular client reporting	ISP 50	0/200
Transparency & Confidence-Building Measures	Frequency of client reporting – All assets	Frequency of client reporting of ESG information	ISP 51	35/100
Transparency & Confidence-Building Measures	Confidence-building measures	Confidence building measures	ISP 52	128/200
Transparency & Confidence-Building Measures	Confidence-building measures	Internal review: coverage	ISP 58	83/100

Indicator Level Scores For Direct - Listed equity - Passive - incorporation

Section	Sub-section	Topic	Indicator	Your Score
Pre-investment phase	Materiality analysis	AUM coverage of ESG materiality assessment process	LE 1	0/150
Pre-investment phase	Materiality analysis	How ESG is incorporated into materiality assessment process	LE 1.1	0/200
Pre-investment phase	Long-term ESG trend analysis	Continuous monitoring of long-term ESG trends	LE 2	0/150
Pre-investment phase	ESG incorporation	Coverage of valuation and financial modelling incorporating ESG risks	LE 3.1	0/150
Pre-investment phase	Assessing ESG performance	AUM coverage of information used in incorporating ESG in financial modelling	LE 4.1	0/150
Pre-investment phase	ESG incorporation in portfolio construction	Portion of cases where ESG affected portfolio construction	LE 6.1	0/150
Post-investment phase	ESG risk management	Incorporation of ESG in regular reviews	LE 9	0/150
Post-investment phase	ESG risk management	Identification of ESG incidents	LE 10	0/100
Post-investment phase	Passive equity	Percentage of passive listed equity holdings that use an ESG benchmark or index	LE 12	0/150
Reporting/Disclosure	Sharing ESG information with stakeholders	ESG information included in client reporting	LE 14	0/200

Indicator Level Scores For Direct - Listed equity - Passive - voting

Section	Sub-section	Topic	Indicator	Your Score
Stewardship	Voting policy	Voting policies	LE 15	0/200
Stewardship	Voting policy	Coverage of voting policy	LE 15.1	0/200
Stewardship	Voting policy	Guidance on specific ESG issues in voting policy	LE 16	0/150
Stewardship	Alignment & effectiveness	Consistency between voting policy and advice from external voting advisors	LE 17	0/100
Stewardship	Security lending policy	Securities lending	LE 18	0/200
Stewardship	Security lending policy	Voting and securities lending	LE 18.1	0/150
Stewardship	Security lending policy	Exclusions in securities lending	LE 18.2	0/100
Stewardship	Shareholder resolutions	Stance on shareholder resolutions	LE 19	0/150
Stewardship	Pre-declaration of votes	Pre-declaration of votes	LE 20	0/150
Stewardship	Voting disclosure post AGM/EGM	Disclosure of voting activities	LE 21	0/200
Stewardship	Voting disclosure post AGM/EGM	Time between vote and disclosure of voting activities	LE 21.1	0/150
Stewardship	Voting disclosure post AGM/EGM	Coverage of communication of the rationale for voting abstain/against management recommendations	LE 22.1	0/150
Stewardship	Voting disclosure post AGM/EGM	Coverage of communication of the rationale for voting abstain/against PRI signatory resolutions	LE 23.1	0/100

Indicator Level Scores For Direct - Listed equity - Active fundamental - incorporation

Section	Sub-section	Topic	Indicator	Your Score
Pre-investment phase	Materiality analysis	AUM coverage of ESG materiality assessment process	LE 1	96/150
Pre-investment phase	Materiality analysis	How ESG is incorporated into materiality assessment process	LE 1.1	200/200
Pre-investment phase	Long-term ESG trend analysis	Continuous monitoring of long-term ESG trends	LE 2	96/150
Pre-investment phase	ESG incorporation	Coverage of valuation and financial modelling incorporating ESG risks	LE 3.1	0/150
Pre-investment phase	Assessing ESG performance	AUM coverage of information used in incorporating ESG in financial modelling	LE 4.1	106/150
Pre-investment phase	ESG incorporation in portfolio construction	Portion of cases where ESG affected portfolio construction	LE 6.1	125/150
Pre-investment phase	ESG risk management	Compliance processes for negative screening	LE 8	64/200
Post-investment phase	ESG risk management	Incorporation of ESG in regular reviews	LE 9	38/150
Post-investment phase	ESG risk management	Identification of ESG incidents	LE 10	25/100
Reporting/Disclosure	Sharing ESG information with stakeholders	Communication of the side-effects of listed equity screening to clients or beneficiaries	LE 13	33/100
Reporting/Disclosure	Sharing ESG information with stakeholders	ESG information included in client reporting	LE 14	0/200

Indicator Level Scores For Direct - Listed equity - Active fundamental - voting

Section	Sub-section	Topic	Indicator	Your Score
Stewardship	Voting policy	Voting policies	LE 15	200/200
Stewardship	Voting policy	Coverage of voting policy	LE 15.1	100/200
Stewardship	Voting policy	Guidance on specific ESG issues in voting policy	LE 16	150/150
Stewardship	Shareholder resolutions	Stance on shareholder resolutions	LE 19	150/150
Stewardship	Pre-declaration of votes	Pre-declaration of votes	LE 20	0/150
Stewardship	Voting disclosure post AGM/EGM	Disclosure of voting activities	LE 21	0/200
Stewardship	Voting disclosure post AGM/EGM	Time between vote and disclosure of voting activities	LE 21.1	0/150
Stewardship	Voting disclosure post AGM/EGM	Coverage of communication of the rationale for voting abstain/against management recommendations	LE 22.1	0/150

Indicator Level Scores For Direct - Listed equity - Investment trusts - incorporation

Section	Sub-section	Topic	Indicator	Your Score
Pre-investment phase	Materiality analysis	AUM coverage of ESG materiality assessment process	LE 1	0/150
Pre-investment phase	Materiality analysis	How ESG is incorporated into materiality assessment process	LE 1.1	0/200
Pre-investment phase	Long-term ESG trend analysis	Continuous monitoring of long-term ESG trends	LE 2	0/150
Pre-investment phase	ESG incorporation	Coverage of valuation and financial modelling incorporating ESG risks	LE 3.1	0/150
Pre-investment phase	Assessing ESG performance	AUM coverage of information used in incorporating ESG in financial modelling	LE 4.1	0/150
Pre-investment phase	ESG incorporation in portfolio construction	Portion of cases where ESG affected portfolio construction	LE 6.1	0/150
Pre-investment phase	ESG risk management	Compliance processes for negative screening	LE 8	0/200
Post-investment phase	ESG risk management	Incorporation of ESG in regular reviews	LE 9	0/150
Post-investment phase	ESG risk management	Identification of ESG incidents	LE 10	0/100
Reporting/Disclosure	Sharing ESG information with stakeholders	Communication of the side-effects of listed equity screening to clients or beneficiaries	LE 13	0/100
Reporting/Disclosure	Sharing ESG information with stakeholders	ESG information included in client reporting	LE 14	0/200

Indicator Level Scores For Direct - Listed equity - Investment trusts - voting

Section	Sub-section	Topic	Indicator	Your Score
Stewardship	Voting policy	Voting policies	LE 15	200/200
Stewardship	Voting policy	Coverage of voting policy	LE 15.1	100/200
Stewardship	Voting policy	Guidance on specific ESG issues in voting policy	LE 16	150/150
Stewardship	Shareholder resolutions	Stance on shareholder resolutions	LE 19	150/150
Stewardship	Pre-declaration of votes	Pre-declaration of votes	LE 20	0/150
Stewardship	Voting disclosure post AGM/EGM	Disclosure of voting activities	LE 21	0/200
Stewardship	Voting disclosure post AGM/EGM	Time between vote and disclosure of voting activities	LE 21.1	0/150
Stewardship	Voting disclosure post AGM/EGM	Coverage of communication of the rationale for voting abstain/against management recommendations	LE 22.1	0/150

Indicator Level Scores For Indirect - Listed equity - Passive

Section	Sub-section	Topic	Indicator	Your Score
Investment consultants	Investment consultant selection	Criteria for selecting investment consultants	SAM 1	0/200
Selection	Responsible investment policy	Compliance with responsible investment policy - coverage	SAM 2.1	0/150
Selection	Research and screening	Manager selection criteria: conduct and capabilities	SAM 3	0/150
Selection	Investment practices	Manager selection criteria: investment practices	SAM 4	0/200
Selection	Stewardship	Manager selection criteria: stewardship policy	SAM 6	0/200
Selection	Stewardship	Manager selection criteria: stewardship practices	SAM 7	0/200
Selection	Stewardship	Manager selection criteria: voting	SAM 8	0/150
Selection	Documentation and track record	Review of information in manager selection	SAM 11	0/200
Appointment	Pooled funds	Manager appointment for pooled funds	SAM 12	0/200
Appointment	Segregated mandates	Contractual requirements in manager appointment for segregated funds	SAM 13	0/200
Monitoring	Investment practices	Manager monitoring: investment practices	SAM 14	0/150
Monitoring	Stewardship	Manager monitoring: stewardship	SAM 17	0/150
Monitoring	Stewardship	Manager monitoring: voting	SAM 18	0/150
Monitoring	Review	Manager monitoring: reporting	SAM 20	0/100
Monitoring	Engagement and escalation	Manager monitoring: formal grievance processes	SAM 22	0/150

Indicator Level Scores For Indirect - Listed equity - Active

Section	Sub-section	Topic	Indicator	Your Score
Selection	Responsible investment policy	Compliance with responsible investment policy - coverage	SAM 2.1	0/150
Selection	Research and screening	Manager selection criteria: conduct and capabilities	SAM 3	139/150
Selection	Investment practices	Manager selection criteria: investment practices	SAM 4	51/200
Selection	Documentation and track record	Review of information in manager selection	SAM 11	110/200
Monitoring	Investment practices	Manager monitoring: investment practices	SAM 14	11/150
Monitoring	Review	Manager monitoring: reporting	SAM 20	100/100
Monitoring	Engagement and escalation	Manager monitoring: formal grievance processes	SAM 22	120/150

Indicator Level Scores For Indirect - Fixed income - Passive

Section	Sub-section	Topic	Indicator	Your Score
Investment consultants	Investment consultant selection	Criteria for selecting investment consultants	SAM 1	0/150
Selection	Responsible investment policy	Compliance with responsible investment policy - coverage	SAM 2.1	0/150
Selection	Research and screening	Manager selection criteria: conduct and capabilities	SAM 3	0/150
Selection	Investment practices	Manager selection criteria: investment practices	SAM 4	0/200
Selection	Stewardship	Manager selection criteria: stewardship policy	SAM 6	0/200
Selection	Stewardship	Manager selection criteria: stewardship practices	SAM 7	0/200
Selection	Stewardship	Manager selection criteria: fixed income stewardship	SAM 9	0/150
Selection	Documentation and track record	Review of information in manager selection	SAM 11	0/200
Appointment	Pooled funds	Manager appointment for pooled funds	SAM 12	0/200
Appointment	Segregated mandates	Contractual requirements in manager appointment for segregated funds	SAM 13	0/200
Monitoring	Investment practices	Manager monitoring: investment practices	SAM 14	0/150
Monitoring	Stewardship	Manager monitoring: stewardship	SAM 17	0/150
Monitoring	Review	Manager monitoring: reporting	SAM 20	0/200
Monitoring	Engagement and escalation	Manager monitoring: formal grievance processes	SAM 22	0/150

Indicator Level Scores For Indirect - Fixed income - Active

Section	Sub-section	Topic	Indicator	Your Score
Selection	Responsible investment policy	Compliance with responsible investment policy - coverage	SAM 2.1	0/150
Selection	Research and screening	Manager selection criteria: conduct and capabilities	SAM 3	139/150
Selection	Investment practices	Manager selection criteria: investment practices	SAM 4	51/200
Selection	Stewardship	Manager selection criteria: stewardship policy	SAM 6	0/200
Selection	Stewardship	Manager selection criteria: stewardship practices	SAM 7	0/200
Selection	Stewardship	Manager selection criteria: fixed income stewardship	SAM 9	0/150
Selection	Documentation and track record	Review of information in manager selection	SAM 11	110/200
Appointment	Pooled funds	Manager appointment for pooled funds	SAM 12	0/200
Appointment	Segregated mandates	Contractual requirements in manager appointment for segregated funds	SAM 13	0/200
Monitoring	Investment practices	Manager monitoring: investment practices	SAM 14	11/150
Monitoring	Stewardship	Manager monitoring: stewardship	SAM 17	0/150
Monitoring	Review	Manager monitoring: reporting	SAM 20	100/100
Monitoring	Engagement and escalation	Manager monitoring: formal grievance processes	SAM 22	120/150

Indicator Level Scores For Indirect - Hedge funds

Section	Sub-section	Topic	Indicator	Your Score
Selection	Responsible investment policy	Compliance with responsible investment policy - coverage	SAM 2.1	0/150
Selection	Research and screening	Manager selection criteria: conduct and capabilities	SAM 3	139/150
Selection	Investment practices	Manager selection criteria: investment practices	SAM 4	51/200
Selection	Stewardship	Manager selection criteria: stewardship policy	SAM 6	0/200
Selection	Stewardship	Manager selection criteria: stewardship practices	SAM 7	0/200
Selection	Documentation and track record	Review of information in manager selection	SAM 11	110/200
Monitoring	Investment practices	Manager monitoring: investment practices	SAM 14	11/150
Monitoring	Stewardship	Manager monitoring: stewardship	SAM 17	0/150
Monitoring	Review	Manager monitoring: reporting	SAM 20	100/100
Monitoring	Engagement and escalation	Manager monitoring: formal grievance processes	SAM 22	120/150

Indicator Level Scores For Direct - Private equity

Section	Sub-section	Topic	Indicator	Your Score
Policy	Investment guidelines	Private equity specific elements of responsible investment policy	PE 1	0/200
Fundraising	Commitments to investors	Formal responsible investment commitments made	PE 2	0/150
Pre-investment phase	Materiality analysis	Level at which materiality is assessed	PE 3	0/200
Pre-investment phase	Materiality analysis	Tools used in materiality analysis	PE 3.1	0/150
Pre-investment phase	Due diligence	Effect of ESG on selection of private equity investments	PE 4	0/200
Pre-investment phase	Due diligence	Processes used to conduct ESG due diligence	PE 5	0/200
Post-investment phase	Monitoring	Tracking of core ESG KPIs	PE 6	0/100
Post-investment phase	Monitoring	Reasoning for ESG targets	PE 7	0/200
Post-investment phase	Monitoring	Processes that support investees in meeting ESG targets	PE 8	0/150
Post-investment phase	Monitoring	Management of post-investment ESG risks and opportunities	PE 10	0/200
Post-investment phase	Monitoring	Processes for ensuring investee-level ESG competence	PE 12	0/200
Post-investment phase	Exit	Responsible investment information shared with buyers at exit	PE 13	0/100
Reporting/Disclosure	ESG portfolio information	Methods for reporting core ESG metrics and targets	PE 14	0/150

Indicator Level Scores For Direct - Real estate

Section	Sub-section	Topic	Indicator	Your Score
Policy	Investment guidelines	Real estate specific elements of responsible investment policy	RE 1	0/200
Fundraising	Commitments to investors	Formal responsible investment commitments made	RE 2	0/150
Pre-investment phase	Materiality analysis	Level at which materiality is assessed	RE 3	64/200
Pre-investment phase	Materiality analysis	Tools used in materiality analysis	RE 3.1	48/150
Pre-investment phase	Due diligence	Effect of ESG on selection of real estate investments	RE 4	95/200
Pre-investment phase	Due diligence	Processes used to conduct ESG due diligence	RE 5	52/200
Selection, appointment and monitoring of third-party property managers	Selection process	ESG factors in selection of third party property managers	RE 6	0/200
Selection, appointment and monitoring of third-party property managers	Appointment process	ESG factors in appointment of third party property managers	RE 7	0/150
Selection, appointment and monitoring of third-party property managers	Monitoring process	ESG factors in monitoring of third party property managers	RE 8	0/200
Construction and development	Construction requirements	Sustainability requirements in developments and major renovations	RE 9	200/200
Construction and development	Minimum building requirements	Minimum building requirements for developments and major recommendations	RE 10	81/200
Post-investment phase	Monitoring	Operational ESG data collected	RE 11	81/200
Post-investment phase	Monitoring	Target setting for core ESG KPIs	RE 12	0/200
Post-investment phase	Monitoring	Processes that support investees in meeting ESG targets	RE 13	0/150
Post-investment phase	Monitoring	Management of post-investment ESG risks and opportunities	RE 14	0/200
Post-investment phase	Monitoring	Percentage of real estate assets with external certification	RE 16	32/100
Post-investment phase	Stewardship	Engagement with tenants	RE 17	30/150
Post-investment phase	Exit	Responsible investment information shared with buyers at exit	RE 18	0/100
Reporting/Disclosure	ESG portfolio information	Methods for reporting core ESG metrics and targets	RE 19	0/150