

PRI REPORTING FRAMEWORK 2020

Closing Module

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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), the purpose of the indicator, and which PRI Principle it relates to.

xxx 01	Indicator status <i>MANDATORY</i>	Purpose <i>CORE ASSESSED</i>	Principle <i>PRI 2</i>
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Indicator status

<i>MANDATORY</i>	Mandatory indicators reflect core practices. These responses will be made public and must be completed to submit the framework.
<i>MANDATORY TO REPORT VOLUNTARY TO DISCLOSE</i>	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 may also contain commercially sensitive information.
<i>VOLUNTARY</i>	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.
Peering		These indicators are used to determine your peer groups for assessment purposes.
Core assessed		These indicators form the core of the assessment, and represent the majority of your final assessment score.
Additional assessed		These indicators represent more advanced or alternative practices and contribute to a smaller part of your score.
Descriptive		These are open-ended narrative indicators, allowing 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.

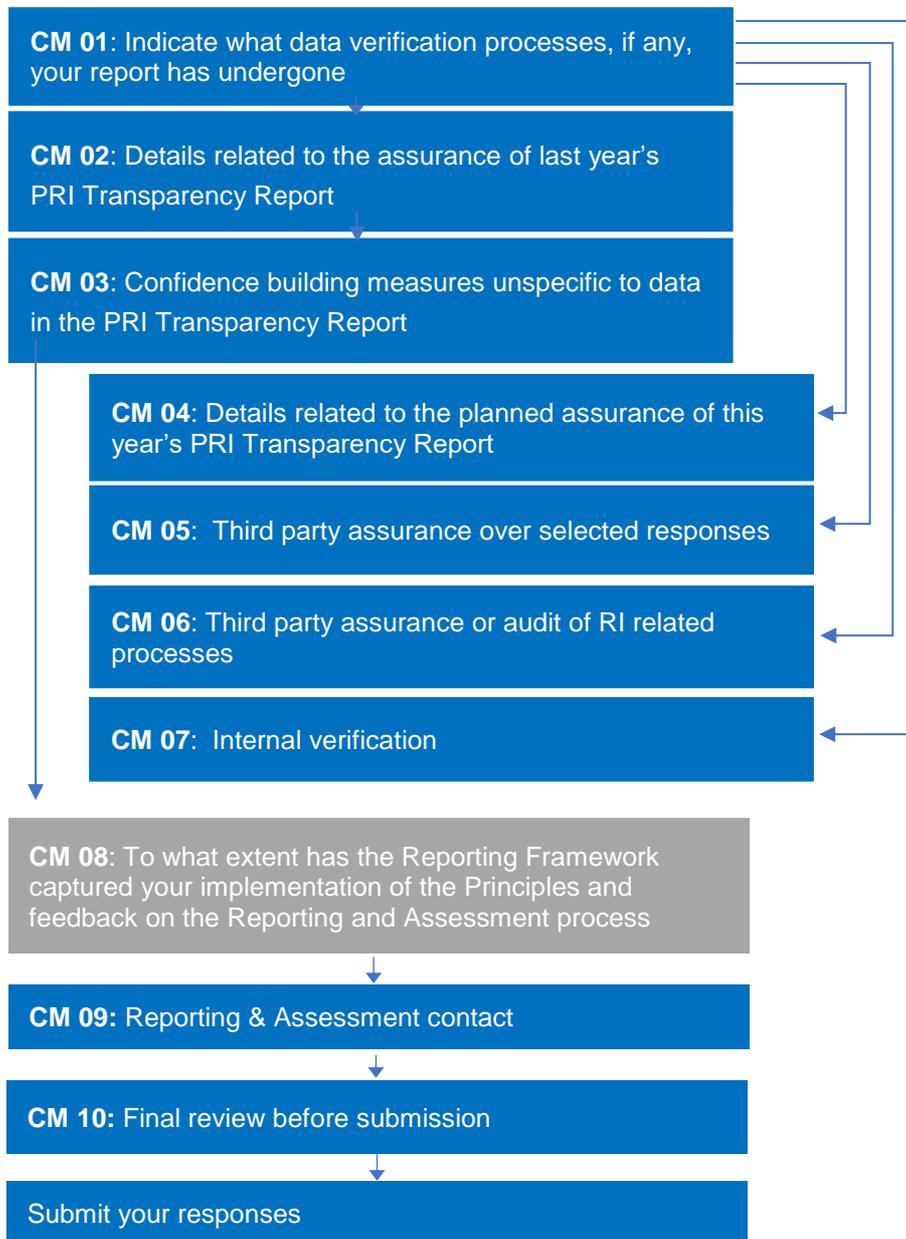
xxx 01	EXPLANATORY NOTES
xxx 01.1	This provides guidance on how to interpret the sub-indicators, including examples of what could be reported.
xxx 01.2	
LOGIC	
xxx 01	This explains when this indicator is applicable and/or if it has an impact on subsequent indicators. If there is no logic box, the indicator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

xxx 01	DEFINITIONS
xxx 01	Definitions of specific terms that are used in the indicator are defined here.

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Pathways through the module



Preface

This module invites you to provide feedback on the PRI reporting framework and gives you the opportunity to review the information you have reported before you submit.

Summary of updates

2019 Indicator	Update summary
CM 01.1	Explanatory notes updated
CM 08.3	Sub-indicator removed
CM 08.4	Sub-indicator removed
CM 10.3	Sub-indicator unlocked for all

To view a detailed summary of changes to the module, please click [here](#).

SECTION

Confidence building measures

CM 01	Indicator status MANDATORY	Purpose ADDITIONALLY ASSESSED	Principle GENERAL
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CM 01	INDICATOR
CM 01.1	<p>Indicate whether the reported information you have provided for your PRI Transparency Report this year has undergone:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Third party assurance over selected responses from this year's PRI Transparency Report <input type="checkbox"/> Third party assurance over data points from other sources that have subsequently been used in your PRI responses this year <input type="checkbox"/> Third party assurance or audit of the correct implementation of RI processes (that have been reported to the PRI this year) <input type="checkbox"/> Internal audit of the correct implementation of RI processes and/or accuracy of RI data (that have been reported to the PRI this year) <input type="checkbox"/> Internal verification of responses before submission to the PRI (e.g. by the CEO or the board) <ul style="list-style-type: none"> <input type="radio"/> Whole PRI Transparency Report has been internally verified <input type="radio"/> Selected data has been internally verified <input type="checkbox"/> Other, specify _____ <input type="checkbox"/> None of the above
CM 01.2	<p>Additional information</p> <p>[OPTIONAL]</p>

CM 01	EXPLANATORY NOTES
CM 01.1	<p>There are several options for signatories to strengthen the confidence of their responses to the Reporting Framework. Read more about it here. The PRI does not favour certain confidence building measures over others in its scoring methodology.</p> <p>Recommended frequency of third party assurance of selected responses to ESG reports:</p> <ul style="list-style-type: none"> - Yearly: for data that affect whether a signatory will trigger some other indicators, such as AUM or asset class breakdown - Two-three years: e.g. policies, disclosure of policies and results of engagements <p>Please select respective answer option if respective party reviewed, validated and/or assured your reported information. This is specific to information reported to the PRI and therefore used in PRI Transparency Reports for this reporting year.</p> <p>Please select 'Third party assurance over data points from other sources that have subsequently been used in your PRI responses this year.' if you have taken assured data from other sources (for example a CSR report or Integrated Report) and included these data points in your PRI response this year.</p> <p>For more information on the types of assurance options reported by PRI signatories and how these options relate to reported data within PRI Transparency Reports, please see PRIs position paper on PRI signatories and assurance</p>
CM 01.2	<p>This could include a discussion of the scope; your reasons for choosing the particular assurance/verification measure; feedback you have had from stakeholders on your assurance/verification activities; the benefits of undertaking these activities to your organisation; key findings and recommendations following the assurance/verification activity and how your organisation has implemented or plan to implement these recommendations.</p>
LOGIC	
CM 01	<p>If you report 'Third party assurance over selected responses from this year's PRI Transparency Report', [CM 05] will unlock for you. This selection option will lock [CM 04]</p> <p>If you report 'Third party assurance over data points from other sources that have subsequently been used in your PRI responses this year', [CM 05] will unlock for you.</p> <p>If you report 'Third party assurance or audit of the correct implementation of RI processes (that have been reported to the PRI this year)' or 'Internal audit of the correct implementation of RI processes and/or accuracy of RI data (that have been reported to the PRI this year)', [CM 06] will unlock for you.</p> <p>If you report 'Internal verification of responses before submission to the PRI (e.g. by the CEO or the board)', [CM 07] will unlock for you.</p>
ASSESSMENT	
CM 01	<p>The response to indicator CM 01 is assessed as part of your score for the Strategy and Governance module.</p> <p>There is no module score for the Closing Module.</p>
	Indicator scoring methodology

Selected response	Level score
"None of the above" or "Other" selected in CM 01.1	○
One option selected from CM 01.1	★★
Two options or more selected from CM 01.1	★★★

CM 01	DEFINITIONS
Third party assurance	Assurance engagements conducted by independent third parties, following an assurance standard and resulting in a public conclusion over the reliability of the data reported.
Internal verification/review	Senior staff, the board, a particular department within the organisation or a working group have reviewed certain/all PRI responses before they are submitted.
Third party assurance or audit of the correct implementation of RI processes	Typically takes two forms: Audits conducted by independent third parties, following an assurance standard which are designed to give management confidence that sufficient controls are in place to ensure responsible investment policies are followed (no statement is made over data quality, and usually no public statement is made). Audits conducted by independent third parties which are designed to give confidence to clients in outsourced services, such as investment management (no statement is made over data quality, and usually no public statement is made).
Internal audit conducted by internal auditors of the correct implementation of the RI process and/or RI data	Assurance conducted by an internal auditor to an appropriate assurance standard (e.g. The International Standards for the internal audit profession from the Global Institute of Internal Auditors). Designed to give independent (in that the auditor is removed from the process) assurance that an organisation's risk management, governance and internal control processes are operating effectively. It is fundamentally concerned with evaluating an organisation's management of risk. For example, an internal auditor will assess the quality of risk management processes, systems of internal control and corporate governance processes and report to the management/the board. For more information, see www.iaa.org.uk .
What PRI does NOT consider relevant	
Third party assistance in the preparation of data	A consultant helped to compile the reporting (audit standards typically preclude the preparer of any report from auditing it, as they are no longer independent).
Receipt of data from a third party	Some or all of the data had been received from a third party (e.g. a voting provider).

CM 02	Indicator status MANDATORY	Purpose DESCRIPTIVE	Principle GENERAL
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CM 02	INDICATOR					
CM 02.1	We undertook third party assurance on last year's PRI Transparency Report					
	<input type="radio"/> Whole PRI Transparency Report was assured last year <input type="radio"/> Selected data was assured in last year's PRI Transparency Report <input type="radio"/> We did not assure last year's PRI Transparency report <input type="radio"/> None of the above, we were in our preparation year and did not report last year					
CM 02.2	Provide details of the third party assurance related to the whole or selected data from last year's PRI Transparency Report					
	What data has been assured	Relevant modules	Who has conducted the assurance	Assurance standard used	Level of assurance sought	Link to external assurance provider 's report
	<input type="checkbox"/> Financial and organisational data <input type="checkbox"/> Data related to RI activities <input type="checkbox"/> RI Policies <input type="checkbox"/> RI Processes (e.g. engagement process) <input type="checkbox"/> ESG operational data of the portfolio <input type="checkbox"/> Other, specify____	[Checkbox of modules] <input type="checkbox"/> Organisational Overview <input type="checkbox"/> Module 2 <input type="checkbox"/> Module 3 etc		<input type="checkbox"/> ISAE/ ASEA 3000 <input type="checkbox"/> ISAE 3402 <input type="checkbox"/> ISO standard, specify____ <input type="checkbox"/> AAF01/06 <input type="checkbox"/> AA1000AS <input type="checkbox"/> IFC performance standards <input type="checkbox"/> ASAE 3410 Assurance Engagements on Greenhouse Gas Statements. <input type="checkbox"/> National standard, specify____ <input type="checkbox"/> Other, specify____	<input type="radio"/> Limited or equivalent <input type="radio"/> Reasonable or equivalent	[URL]
CM 02.3	Additional information [OPTIONAL]					

CM 02	EXPLANATORY NOTES
CM 02.1	Please select respective answer option if you undertook independent assurance by a third party which was specific to last year's PRI Transparency Report.
LOGIC	
CM 02.1	[CM 02.2] will be applicable if 'Whole PRI Transparency Report was assured last year' or 'Selected data was assured in last year's PRI Transparency Report' is reported in [CM 02.1]

CM 02	DEFINITIONS
Level of Assurance Sought	<p>There are often two different types of assurance engagement. For example, ISAE3000 uses 'limited assurance' and 'reasonable assurance' and AA1000 uses 'high' and 'moderate' levels of assurance.</p> <p>Reasonable assurance provides higher level of confidence than a limited assurance engagement, and reviews to a degree the processes for gathering the data or of the information itself in the case of RI processes. As per the IFAC definitions, in a reasonable assurance the practitioner expresses the conclusion in the positive form, such as "In our opinion internal control is effective, in all material respects, based on <i>XYZ criteria</i>."</p> <p>In a limited assurance, the practitioner expresses the conclusion in a negative form, such as "nothing has come to our attention that causes us to believe that internal control is not effective, in all material respects, based on <i>XYZ criteria</i>"</p>

CM 03	Indicator status MANDATORY	Purpose DESCRIPTIVE	Principle GENERAL
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CM 03	INDICATOR
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CM 03.1	We undertake confidence building measures that are unspecific to the data contained in our PRI Transparency Report:	
	<input type="checkbox"/> We adhere to an RI certification or labelling scheme <input type="checkbox"/> We carry out independent/third party assurance over a whole public report (such as a sustainability report) extracts of which are included in this year's PRI Transparency Report <input type="checkbox"/> ESG audit of holdings <input type="checkbox"/> Other, specify _____ <input type="checkbox"/> None of the above	

CM 03.2	We adhere to an RI certification or labelling scheme	
	Which scheme?	% of total AUM the scheme applies
	<input type="checkbox"/> National SRI label based on the EUROSIF Transparency guidelines	<input type="radio"/> < 25% <input type="radio"/> 25-50 % <input type="radio"/> 50-70 % <input type="radio"/> >75 % [radio]
	<input type="checkbox"/> B-corporation	[same as above]
	<input type="checkbox"/> UK Stewardship code	[same as above]
	<input type="checkbox"/> GRESB	[same as above]
	<input type="checkbox"/> Commodity type label (e.g. BCI), specify _____	[same as above]
	<input type="checkbox"/> Social label, specify _____ <input type="checkbox"/> Climate label, specify _____	[same as above]

	<input type="checkbox"/> RIAA	[same as above]
	<input type="checkbox"/> Other, specify ____	[same as above]
CM 03.3	Provide a link to the public report (such as a sustainability report that you carry out third party assurance over and for which you have used extracts of in this year's PRI Transparency Report. Also include a link to the external assurance provider 's report.	
	Link to sustainability/RI/integrated report	Link to external assurance provider 's report
	[URL]	[URL]
CM 03.4	Describe the process of external/third party ESG audit of holdings, including which data has been assured.	
CM 03.5	Additional information [OPTIONAL]	

CM 03	EXPLANATORY NOTES
CM 03.1	<p>Please select respective answer option if you undertake confidence building measures that are unspecific to the data reported to the PRI this year but are nonetheless useful for building stakeholder confidence in your RI activities.</p> <p>For example, if your organisation adheres to a fund certification or labelling scheme, this would have no relevance to assurance and verification of the responses you have provided to the PRI (unless this has been reported to the PRI). However, it does build stakeholder confidence in your RI activities more generally.</p> <p>Similarly, if your organisation has had a whole public report assured such as a CSR or Integrated Report and you have included extracts of this report in your PRI Transparency Report - this would seek to build confidence in your RI activities but would not specifically relate to the data within the PRI Transparency Report as it would be unclear which aspects of the public report have been assured.</p>
LOGIC	
CM 03	<p>[CM 03.2] will unlock if you select 'We adhere to an RI certification or labelling scheme' in [CM 03.1]</p> <p>[CM 03.3] will unlock if you select 'We carry out independent/third party assurance over a whole public report (such as a sustainability report) extracts of which are included in this year's PRI Transparency Report' in [CM 03.1]</p> <p>[CM 03.4] will unlock if you select 'ESG audit of holdings' in [CM 03.1]</p>

CM 03	DEFINITIONS
RI Certification or labelling scheme	Organisation or fund level labels or certifications, such as the Luxembourg Fund Labelling Agency (LuxFLAG), or those provided by sustainability initiatives.
Independent/third party assurance over a public report	Evidence of a third party assurance engagement, where a public conclusion was made over the reliability of another form of RI reporting (excluding PRI Transparency Reports), typically a CSR, RI, Sustainability or Integrated Report.
External/third party ESG audit of holdings	Investors that seek to understand the ESG characteristics of the companies they are holding and undertake assurance. Typically, the assurance is over the investors own processes for collecting, calculating and/or presenting data.

CM 04	Indicator status MANDARTORY	Purpose DESCRIPTIVE	Principle GENERAL
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CM 04	INDICATOR
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CM 04.1	We plan to assure this year's PRI Transparency report
	<input type="radio"/> Whole PRI Transparency Report will be assured
	<input type="radio"/> Selected data will be assured
	<input type="radio"/> We do not plan to assure this year's PRI Transparency report

CM 04.2	Provide details related to the assurance that will be conducted for the whole – or selected data of the - PRI Transparency Report					
	Expected date the assurance will be complete	What data will be assured	Relevant Modules	Who will conduct the assurance	Assurance standard to be used	Level of assurance sought
	[date]	<input type="checkbox"/> Financial and organisational data <input type="checkbox"/> Data related to RI activities <input type="checkbox"/> RI policies <input type="checkbox"/> RI processes (e.g. engagement process) <input type="checkbox"/> ESG operational data of the portfolio <input type="checkbox"/> Other, specify____	<input type="checkbox"/> [Checkbox of modules] <input type="checkbox"/> Organisational Overview <input type="checkbox"/> Module 2 <input type="checkbox"/> Module 3 etc		<input type="checkbox"/> ISAE/ ASEA 3000 <input type="checkbox"/> ISAE 3402 <input type="checkbox"/> ISO standard, specify____ <input type="checkbox"/> AAF01/06 <input type="checkbox"/> AA1000AS <input type="checkbox"/> IFC performance standards <input type="checkbox"/> ASAE 3410 Assurance Engagements on Greenhouse Gas Statements. <input type="checkbox"/> National standard, specify____ <input type="checkbox"/> Other, specify____	<input type="radio"/> Limited or equivalent <input type="radio"/> Reasonable or equivalent

CM 04.3	Additional information [OPTIONAL]

CM 04	EXPLANATORY NOTES
CM 04.1	Please select respective answer option if you plan to undertake independent assurance by a third party which is specific to this year's PRI Transparency Report.
LOGIC	
CM 04	[CM 04] will be applicable if you report any option but 'Third party assurance over selected responses from this year's PRI Transparency Report' in [CM 01.1] [CM 04.2] will be applicable if 'Whole PRI Transparency Report will be assured' or if 'Selected data will be assured' is reported in [CM 04.1]

CM 04	DEFINITIONS
Level of Assurance Sought	<p>There are often two different types of assurance engagement. For example, ISAE3000 uses 'limited assurance' and 'reasonable assurance' and AA1000 uses 'high' and 'moderate' levels of assurance.</p> <p>Reasonable assurance provides higher level of confidence than a limited assurance engagement, and reviews to a degree the processes for gathering the data or of the information itself in the case of RI processes. As per the IFAC definitions, in a reasonable assurance the practitioner expresses the conclusion in the positive form, such as "In our opinion internal control is effective, in all material respects, based on <i>XYZ criteria</i>."</p> <p>In a limited assurance, the practitioner expresses the conclusion in a negative form, such as "nothing has come to our attention that causes us to believe that internal control is not effective, in all material respects, based on <i>XYZ criteria</i>"</p>

CM 05	Indicator status MANDARTORY	Purpose DESCRIPTIVE	Principle GENERAL
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CM 05	INDICATOR						
CM 05.1	Provide details related to the third party assurance over selected responses from this year's PRI Transparency Report and/or over data points from other sources that have subsequently been used in your PRI responses this year						
	What data has been assured	Relevant modules	Who has conducted the assurance	Assurance standard used	Level of assurance sought	Link to external assurance provider's report	Link to original data source (if public)
	<input type="checkbox"/> Financial and organisational data <input type="checkbox"/> Data related to RI activities <input type="checkbox"/> RI Policies <input type="checkbox"/> RI Processes (e.g. engagement process) <input type="checkbox"/> ESG operational data of the portfolio <input type="checkbox"/> Other, specify____	[Checkbox of modules] <input type="checkbox"/> Organisationa l Overview <input type="checkbox"/> Module 2 <input type="checkbox"/> Module 3 etc		<input type="checkbox"/> ISAE/ ASEA 3000 <input type="checkbox"/> ISAE 3402 <input type="checkbox"/> ISO standard, specify____ <input type="checkbox"/> AAF01/06 <input type="checkbox"/> AA1000AS <input type="checkbox"/> IFC performance standards <input type="checkbox"/> ASAE 3410 Assurance Engagements on Greenhouse Gas Statements. <input type="checkbox"/> National standard, specify____ <input type="checkbox"/> Other, specify____	<input type="radio"/> Limited or equivalent <input type="radio"/> Reasonable or equivalent		
CM 05.2	Additional information [OPTIONAL]						

CM 05	EXPLANATORY NOTES
CM 05.1	<p>If you have done external assurance of both answers to the PRI report and of other data sources that have subsequently been used in your Transparency Report, please provide details of the assurance pertinent to the PRI Transparency Report.</p> <p>Explanation on type of information:</p> <ul style="list-style-type: none"> • Financial and operation data: for example assets under management, asset allocation and number of staff • ESG operational data of the portfolio: such data can refer to carbon emissions, environmental impact, water consumption and waste generation which are particularly relevant to physical assets such as infrastructure, property, farmland, forestry, agriculture and inclusive finance • RI data related to RI activities: numerical or percentage type data that support RI activities, such as number of votes casted, % of companies engaged with, % of property assets with carbon targets, % of listed assets in active investments where ESG screening is applied • RI processes: such as engagement, screening, investment selection and manager selection processes. The assurance of this process is restricted to the existence of those processes within the wider strategy. If your organisations the correct implementation of these processes as described, please provide those details in CM_01.6 that covers the assurance of RI processes. <p>Standards: please select the standard(s) used for the purpose of assuring your data.</p>
LOGIC	
CM 05	<p>[CM 05] will be applicable if you report 'Third party assurance over selected responses from this year's PRI Transparency Report' or 'Third party assurance over data points from other sources that have subsequently been used in your PRI responses this year' in [CM 01.1]</p>
EXAMPLE	

Relevant sub-indicator CM 05.1:

What data has been assured	Relevant module	Who has conducted the assurance	Assurance standard used	Level of assurance sought	Link to original data source	Link to external assurance provider's report
Staff training on RI	Strategy and Governance	KMPG	AA1000	Limited	www.x.com	www.y.com

CM 05	DEFINITIONS
Level of Assurance Sought	<p>There are often two different types of assurance engagement. For example, ISAE3000 uses 'limited assurance' and 'reasonable assurance' and AA1000 uses 'high' and 'moderate' levels of assurance.</p> <p>Reasonable assurance provides higher level of confidence than a limited assurance engagement, and reviews to a degree the processes for gathering the data or of the information itself in the case of RI processes. As per the IFAC definitions, in a reasonable assurance the practitioner expresses the conclusion in the positive form, such as "In our opinion internal control is effective, in all material respects, based on <i>XYZ criteria</i>."</p> <p>In a limited assurance, the practitioner expresses the conclusion in a negative form, such as "nothing has come to our attention that causes us to believe that internal control is not effective, in all material respects, based on <i>XYZ criteria</i>"</p>

CM 06	Indicator status MANDARTORY	Purpose DESCRIPTIVE	Principle GENERAL
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CM 06	INDICATOR				
CM 06.1	Provide details of the third party assurance or audit of RI related processes, and/or details of the internal audit conducted by internal auditors of RI related processes (that have been reported to the PRI this year)				
	What RI processes have been assured	Who has conducted the assurance	When was the process assurance completed (dd/ mm/yy)	Assurance standard used	Level of assurance sought
	<input type="checkbox"/> Data related to RI activities <input type="checkbox"/> RI policies, specify [text] <input type="checkbox"/> RI related governance <input type="checkbox"/> Engagement processes <input type="checkbox"/> Proxy voting process <input type="checkbox"/> Integration process in listed assets <input type="checkbox"/> Screening process in listed assets <input type="checkbox"/> Thematic process in listed assets <input type="checkbox"/> Investment selection process in non-listed assets <input type="checkbox"/> Manager selection process for externally managed assets <input type="checkbox"/> Manager appointment process for externally managed assets <input type="checkbox"/> Manager monitoring process for externally managed assets <input type="checkbox"/> Third party property manager SAM process <input type="checkbox"/> Third party infrastructure operator SAM process <input type="checkbox"/> ESG incorporation in selection process for private equity investments <input type="checkbox"/> Post-investment ESG activities for infrastructure and/or property assets			<input type="checkbox"/> IIA's International Standards for the Professional Practice of Internal Auditing <input type="checkbox"/> ISAE 3402 <input type="checkbox"/> ISO, specify____ <input type="checkbox"/> AAF 01/06 <input type="checkbox"/> SSE18 <input type="checkbox"/> AT 101 (excluding financial data) <input type="checkbox"/> Other, specify____	<input type="radio"/> Limited or equivalent <input type="radio"/> Reasonable or equivalent

	<input type="checkbox"/> Other, specify ____			
CM 06.2	Additional information [OPTIONAL]			

LOGIC

CM 06 [CM 06] will be applicable if you report 'Third party assurance or audit of the correct implementation of RI processes (that have been reported to the PRI this year)' or 'Internal audit of the correct implementation of RI processes and/or accuracy of RI data (that have been reported to the PRI this year)' in [CM 01.1]
The options in [CM 06.1] is dependent on the RI processes reported in previous modules.

EXAMPLE

Relevant sub-indicator CM 06.1:

What RI processes have been assured	Who has conducted the assurance	When was the process assurance undertaken (year/month)	Assurance standard used	Level of assurance sought
<input type="checkbox"/> Engagement processes	PwC	January 2017	<input type="checkbox"/> IIA's International Standards for the Professional Practice of Internal Auditing	<input type="radio"/> Reasonable or equivalent

CM 06 DEFINITIONS

Level of Assurance Sought

There are often two different types of assurance engagement. For example, ISAE3000 uses 'limited assurance' and 'reasonable assurance' and AA1000 uses 'high' and 'moderate' levels of assurance.

Reasonable assurance provides higher level of confidence than a limited assurance engagement, and reviews to a degree the processes for gathering the data or of the information itself in the case of RI processes. As per the [IFAC definitions](#), in a reasonable assurance the practitioner expresses the conclusion in the positive form, such as "In our opinion internal control is effective, in all material respects, based on *XYZ criteria*."

In a limited assurance, the practitioner expresses the conclusion in a negative form, such as "nothing has come to our attention that causes us to believe that internal control is not effective, in all material respects, based on *XYZ criteria*"

CM 07	Indicator status MANDARTORY	Purpose DESCRIPTIVE	Principle GENERAL
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CM 07	INDICATOR		
CM 07.1	Indicate who has reviewed/verified internally the whole - or selected data of the - PRI Transparency Report and if this applies to selected data please specify what data was reviewed.		
	Who has conducted the verification	What data has been verified	Relevant modules
	<input type="checkbox"/> CEO or other Chief-Level staff <input type="checkbox"/> Sign-off <input type="checkbox"/> Review of all the responses	Each row has the following options: <input type="checkbox"/> Policies <input type="checkbox"/> Overarching strategy and processes <input type="checkbox"/> Asset class specific processes, <input type="checkbox"/> Quantitative data related to RI processes, <input type="checkbox"/> Other, specify [text]	Each row shows checkboxes of modules completed: <input type="checkbox"/> Organisational Overview <input type="checkbox"/> Module 2 <input type="checkbox"/> Module 3 etc
	<input type="checkbox"/> The Board <input type="checkbox"/> Sign-off <input type="checkbox"/> Review of all the responses		
	<input type="checkbox"/> Investment Committee <input type="checkbox"/> Sign-off <input type="checkbox"/> Review of all the responses		
	<input type="checkbox"/> Compliance Function		
	<input type="checkbox"/> RI/ESG Team		
	<input type="checkbox"/> Investment Teams		
	<input type="checkbox"/> Legal Department		
<input type="checkbox"/> Other (specify)_____			

CM 07.2	Additional information [OPTIONAL]

LOGIC	
CM 07	[CM 07] will be applicable if you report 'Internal verification of responses before submission to the PRI (e.g. by the CEO or the board)' in [CM 01.1]

SECTION

Feedback

CM 08	Indicator status VOLUNTARY TO REPORT NOT DISCLOSED	Purpose DESCRIPTIVE	Principle GENERAL
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CM 08	INDICATOR				
CM 08.1	Indicate to what extent the PRI reporting framework captures your implementation of the Principles.				
		To a large extent	To a moderate extent	To a small extent	Not at all
	Select the most appropriate	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
CM 08.2	If you selected 'to a small extent' or 'not at all', please suggest how the PRI Reporting Framework could better capture your implementation of the Principles.				

CM 08	EXPLANATORY NOTES
CM 08	<p>Further feedback indicators on the current Reporting Framework have been removed due to the development of a new Reporting Framework. Signatory feedback on the future of reporting and assessment was captured during the Reporting Framework consultation in 2019. The outcome of the consultation can be found here.</p> <p>Please email reporting@unpri.org for any further questions or additional feedback.</p>
LOGIC	
CM 08.2	[CM 08.2] will be applicable if you selected 'to a small extent' or 'not at all' in [CM 08.1]

SECTION

Contact details

CM 09	Indicator status MANDATORY TO REPORT NOT DISCLOSED	Purpose DESCRIPTIVE	Principle GENERAL
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CM 09	INDICATOR		
CM 09.1	Provide primary, secondary and data portal contact person.		
		First name	Surname
	Primary contact		
	Secondary contact [OPTIONAL]		
	Data Portal contact 1		
	Data Portal contact 2 [OPTIONAL]		

CM 09	EXPLANATORY NOTES
CM 09	<p>Primary and secondary contacts will be contacted in case of any queries around the reported information and will receive all follow up information about the Reporting and Assessment process.</p> <p>Data Portal contacts will be notified when important changes happen to the Data Portal, such as new functionalities, release of the assessment reports and any changes to the Terms and Conditions.</p>

CM 09	DEFINITIONS
Data Portal	The Data Portal is a centralised web-based platform that allows signatories to view their own reports, request access to view other signatories' private transparency and assessment reports and vice-versa give access. It also allows users to export public responses and create lists to easily retrieve reports matching their filters.
Data Portal contact	<p>There are two user types within the Data Portal, General Data Portal users and Data Portal contacts. In addition to all the other functionalities, the Data Portal contact has the authority to grant other signatories access to their signatory's full transparency and assessment report. This person should be approved by the senior management team of their organisation.</p> <p>To be a Data Portal Contact, the nominated person must be a direct employee with an official company email of your organisation. If your organisation has no staff and has a fiduciary manager, that person may act as your Data Portal Contact. However, the email address provided can only be matched to one signatory account.</p>

SECTION

Final review and submission

CM 10	Indicator status MANDATORY TO REPORT NOT DISCLOSED	Purpose DESCRIPTIVE	Principle GENERAL
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CM 10	INDICATOR
CM 10.1	<p>Thank you for completing the PRI reporting framework.</p> <p>Click the link below to review how your reported information will be presented in your RI Transparency Report. The RI Transparency Report will be publicly disclosed.</p> <p>If you have responded incorrectly to any indicators, please return to these indicators in the Online Reporting Tool and adjust accordingly.</p> <p>[REVIEW YOUR RI TRANSPARENCY REPORT]</p>
CM 10.2	<p>Indicate whether you give PRI permission to publish any information you have marked as public, as well as the mandatory to disclose indicators.</p> <p>Once your report is submitted, you will not be able to modify your responses and information you have marked as public will automatically be published on the PRI website.</p> <p><input type="checkbox"/> I give the PRI permission to publish any information I have marked as public.</p> <p><input type="checkbox"/> I do not give the PRI permissions to publish it (only applicable if you are in your preparation year).</p>
CM 10.3	<p>If you are selected, the PRI may wish to use your public responses as part of the showcasing leadership work. Please untick the box below if you do not want to be considered.</p> <p><input type="checkbox"/> I would like to be included in the PRI's showcasing leadership work.</p>

CM 10	EXPLANATORY NOTES
CM 10.3	<p>PRI will be using signatories reported information to identify and share good practices as part of the showcasing leadership work. The leadership resource will focus on particular areas or themes that will rotate on an annual basis allowing different types of signatories and different practices to be recognised. PRI will not be publishing a leadership board or a ranking table of signatories. You can read more here.</p>
LOGIC	
CM 10.2	<p>You will see the option not to publish your responses if you are completing the reporting as part of your preparation year (i.e. your first year as PRI signatory).</p>