

General Information

Please provide contact information below:

Manager Name:
 Address Line 1:
 Address Line 2:
 City:
 State:
 Zip Code:
 Country:

Name of the Preparer:
 Title:
 Phone Number:
 Email Address:

Please provide a contact for all future ESG-related correspondence:
 ESG contact name:
 Title:
 Phone Number:
 Email Address:

Primary Preparer

Primary Contact

Secondary Preparer

Secondary Contact

1. Please confirm that the below list of funds/products that your firm manages for one or more of the New York City Retirement System(s) is correct and comprehensive

Answer options: The list of products/funds is correct and comprehensive; The list of products/funds is incorrect and a correction is provided in the question below the prepopulated list of funds

Choose One:

Comprehensive list of all funds/products managed for New York City Retirement System(s):

If this list of products/funds is incorrect, please provide any corrections here:

Part 1. ESG Policies and Practices

Please indicate whether the Firm has any of the following indicated policies, practices or processes. For policies, practices or processes not yet implemented by the Firm, indicate whether the Firm intends to implement within the next 18 months. If you have copies of policies, documentation, or representative samples that you can share, please upload using the provided link. Please indicate if any significant changes have been made to this policy or practice in the past year.

Does the Firm have the below indicated Policy, Practice and/or Process?

2. Dedicated ESG lead for the Firm	Answer options: Yes, have the practice today; No, but intend to in the next 18 months; No, and do not intend to in the next 18 months	Choose One:	<input type="text"/>
	If the Firm made any significant changes in the past year to the indicated practice, please describe:		<input type="text"/>
3. Incorporate ESG objectives into the Firm's performance reviews	Answer options: Yes, have a policy today; No, but intend to in the next 18 months; No, and do not intend to in the next 18 months	Choose One:	<input type="text"/>
	If the Firm made any significant changes in the past year to the indicated practice, please describe:		<input type="text"/>
4. Incorporate ESG objectives into the Firm's compensation mechanisms	Answer options: Yes, have a policy today; No, but intend to in the next 18 months; No, and do not intend to in the next 18 months	Choose One:	<input type="text"/>
	If the Firm made any significant changes in the past year to the indicated practice, please describe:		<input type="text"/>
5. Asset Class-specific Questions (please answer not applicable if the question does not apply to the assets you manage for the System(s))			
a. For managers of publicly-listed securities: Do you have a stewardship policy?	Answer options: Not applicable; Yes, have a policy today; No, but intend to in the next 18 months; No, and do not intend to in the next 18 months	Choose One:	<input type="text"/>
b. For private markets managers: Do you incorporate ESG issues into your value creation and/or 100-day plans?	Answer options: Not applicable; Yes, have the practice today; No, but intend to in the next 18 months; No, and do not intend to in the next 18 months	Choose One:	<input type="text"/>
c. For real estate and infrastructure managers: Do you have a Responsible Contractor Policy?	Answer options: Not applicable; Yes, have a policy today; No, but intend to in the next 18 months; No, and do not intend to in the next 18 months	Choose One:	<input type="text"/>
d. For private equity control investments: Do you partner with Ownership Works (Ownership Works), a nonprofit organization that partners with companies and investors to design and implement shared employee ownership programs?	Answer options: Not applicable; Yes, have the practice today; No, but intend to in the next 18 months; No, and do not intend to in the next 18 months	Choose One:	<input type="text"/>

e. For private equity control investments: Have you allowed for dual class shares in your portfolio companies when they become public?

Answer options: Not applicable; Yes; or No

Choose One:

If yes, please describe your rationale for allowing this structure and whether you have a policy or preference for this

f. For private markets managers: Is your firm a member of EDCI (the ESG Data Convergence Initiative)?

Answer options: Not applicable; Yes; No, but intend to in the next 18 months; No, and do not intend to in the next 18 months

Choose One:

If you have any documentation to share related to questions 2-5, please upload in the indicated Sharepoint folder:

Please upload documentation to the Sharepoint ESG_Firm_Documentation folder

Please indicate whether each indicated Fund/Product has any of the following indicated policies, practices or processes. For policies, practices or processes not yet implemented by the Fund/Product, indicate whether the Fund/Product intends to implement within the next 18 months. Indicate if copies, documentation or representative examples have been provided with this questionnaire.

Note: For products managing Treasuries/TIPS please leave questions 6-9 blank.

Name of Fund/ Product	6. Dedicated ESG lead for the specific asset class or strategy of the fund	7. Written Responsible Investment/ESG policy for investments	8. Monitor and track ESG key performance indicators (KPIs) for your investments	9. Identify sustainability outcomes (the positive and negative real-world outcomes) related to investees' operations, products and services
Funds/ Products will be prepopulated	Answer choices: Yes, currently have today; No, but intend to in next 18 months; No, do not intend to in 18 months			

If yes and you have copies of policies or documentation related to questions 6-9 that you can share, please upload in the indicated Sharepoint folder:

Please upload documentation to the Sharepoint ESG_Fund_Documentation folder

If the Fund made any significant changes in the past year to the indicated practices in questions 6-9, please describe:

Part 2. ESG Materiality and Incident Questions

Please answer the following questions:

10. Has the Firm had a material ESG-related incident in the past year?

Answer options: Yes; No

Choose One:

If yes, please describe:

11. Have any companies the Firm invests in been involved in wage disputes, unionization drives or any other labor issues in the past year?

Answer options: Yes; No

Choose One:

If yes, please describe:

12. In the past year, has the Firm or any current or former employees of the Firm (while employed at the Firm) been subject to any claims, formal charges, lawsuits or adverse determinations related to alleged violations of Federal, State or City equal opportunity or anti-discrimination laws, rules or regulations, including but not limited to sexual or general harassment, misconduct, or discrimination?

Answer options: Yes; No

Choose One:

If yes, please briefly describe, including steps taken by the Firm to respond, details for each claim, including the charges, investigative process, and outcome, including disciplinary action. Individual names should not be provided and are not being solicited in this questionnaire.

Part 3. Climate Risks and Opportunities

In the table below - indicate whether the Firm has any of the following policies, practices or processes related to climate risks and opportunities for the total Firm AUM and each indicated Fund/Product. For policies, practices or processes not yet implemented by the Firm, indicate whether the Firm intends to implement within the next 18 months. (We will be sending you an asset-level scopes 1, 2, and 3 financed emissions disclosure form later in the year.)

Note: For products managing Treasuries/TIPS please leave questions 13-19 blank.

Name of Fund/Product	13. For what percentage of the Fund/Product do you measure and report the Scope 1 greenhouse gas (GHG) emissions? Answer choices: 0-100%	14. For what percentage of the Fund/Product do you measure and report the Scope 2 greenhouse gas (GHG) emissions?	15. For what percentage of the Fund/Product do you measure and report the Scope 3 greenhouse gas (GHG) emissions?	16. Do you have a formal goal to achieve net zero emissions by 2050 or sooner for investments? Answer choices:	17. Have you adopted Science-based targets for your investments? (Informed by SBTi or other science-based organization)	18. Do you have other goals/targets (distinct from net zero goals or science-based targets) to reduce the emissions decarbonization goals? (related to net of investments or align investments with goals of the Paris Agreement?)	19. Have you adopted a written implementation plan to support your zero goals, science-based targets, etc.)
Funds/ Products will be prepopulated	Answer choices: 0-100%	Answer choices: 0-100%	Answer choices: 0-100%	Answer choices: Yes, currently have today; No, but intend to in next 18 months; No, do not intend to in 18 months			
Total Firm AUM							

If you have any documentation to share related to questions 13-19, please upload in the indicated Sharepoint folder:

Please upload documentation to the Sharepoint Climate_Fund_Documentation folder

20. If relevant, what is your standard reporting period for GHG emissions?

Answer choices: Not applicable; January 1-December 31; April 1-March 31; July 1-June 30; October 1-September 30; Other

Choose One:

If other, please indicate reporting period here:

21. Have you completed CDP's Climate Change Financial Sector Questionnaire?

[CDP Climate Change Questionnaire](#) Linked here

Answer options: Yes, currently have today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

If yes and you have copies of policies or documentation that you can share, please upload in the indicated Sharepoint folder:

Please upload documentation to the Sharepoint CDP_Questionnaire folder

22. For private markets managers: Have any of your portfolio investments completed the CDP Private Markets questionnaire?

[CDP Private Markets Questionnaire](#)

Answer options: Not applicable; Yes, currently have today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

If yes and you have copies of policies or documentation that you can share, please upload in the indicated Sharepoint folder:

Please upload documentation to the Sharepoint CDP_Questionnaire folder

23. Do you assess physical climate risk exposure for some or all of your investments?

Answer options: Yes, have the practice today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

24. Do you assess transition risk for some or all of your investments?

Answer options: Yes, have the practice today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

25. Do you assess nature-related impacts and dependencies for some or all of your investments?

Answer options: Yes, have the practice today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

26. Do you assess water-related risks and water stewardship for some or all of your investments?

Answer options: Yes, have the practice today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

Part 4. Diversity, Equity and Inclusion Policies and Practices

In the table below - indicate whether the Firm has any of the following policies, practices or processes related to diversity, equity, and inclusion. For policies, practices or processes not yet implemented by the Firm, indicate whether the Firm intends to implement within the next 18 months.

27. Do you track diversity metrics for the Firm/Management Company, including Ownership, Investment Committee and Investment Professionals?

Answer options: Yes, have the practice today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

If the Firm made any significant changes in the past year to the indicated practice, please describe:

28. If applicable, does your Firm track diversity metrics at the portfolio company level (where the Firm holds a significant or controlling interest), including Boards of Directors, Board Chairs and Senior Management?

Answer options: Not applicable; Yes, have the practice today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

If the Firm made any significant changes in the past year to the indicated practice, please describe:

29. Does your Firm have a Diversity, Equity, and Inclusion Policy? (that addresses recruitment and retention)

Answer options: Yes, have a policy today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

If the Firm made any significant changes in the past year to the indicated policy, please describe:

30. Does your Firm have a Code of Conduct/Code of Ethics (that covers harassment, discrimination or workplace violence)?

Answer options: Yes, have a policy today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

If the Firm made any significant changes in the past year to the indicated policy, please describe:

31. Does your Firm have an Equitable Pay Policy?

Answer options: Yes, have a policy today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

If the Firm made any significant changes in the past year to the indicated policy, please describe:

32. Does your Firm have a Family Leave Policy (that exceeds any government mandated minimum paid leave)?

Answer options: Yes, have a policy today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

If the Firm made any significant changes in the past year to the indicated practice, please describe:

33. Does your Firm have a process and policy related to recruiting diverse staff/under represented groups?

Answer options: Yes, have the process/policy today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

34. Does your Firm conduct an Employee Engagement Survey(s)?

If the Firm made any significant changes in the past year to the indicated process/policv. please describe:

Answer options: Yes, have the practice today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

35. Does your Firm have a formal employee engagement, retention and advancement programs for diverse staff/underrepresented groups (e.g., mentorship/sponsorship networks, employee resource or affinity groups)?

If the Firm made any significant changes in the past year to the indicated practice. please describe:

Answer options: Yes, have the practice today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

36. Does your Firm have a performance appraisal policy (that incorporates individuals' contributions to advancing DEI)?

If the Firm made any significant changes in the past year to the indicated practice. please describe:

Answer options: Yes, have a policy today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

37. Does your Firm incorporate DEI objectives in compensation mechanisms?

If the Firm made any significant changes in the past year to the indicated practice. please describe:

Answer options: Yes, have a policy today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

38. Does your Firm have procedures for the reporting and investigation of harassment and/or discrimination?

If the Firm made any significant changes in the past year to the indicated practice. please describe:

Answer options: Yes, have the process/policy today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

39. Does your Firm have a supplier diversity program?

If the Firm made any significant changes in the past year to the indicated practice. please describe:

Answer options: Yes, have the practice today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

40. Does your Firm have specific targets to help increase recruitment, hiring, promotion or retention of diverse staff/underrepresented groups?

If yes and you can briefly describe the target(s) and the context for the target(s) (e.g., candidate pool, final interview slate, retention, promotion, other).

If the Firm made any significant changes in the past year to the indicated practice. please describe:

Answer options: Yes, have the practice today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

41. Track the number and percentage of your portfolio companies that are minority or woman-owned or founded?

If the Firm made any significant changes in the past year to the indicated practice. please describe:

Answer options: Yes, have the practice today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

42. If applicable, do you have formal commitments to promote and enhance diversity within the Board of Directors and Senior Management at its portfolio companies, including any diversity targets the Firm has set for the Boards of Directors at its portfolio companies?

If the Firm made any significant changes in the past year to the indicated practice. please describe:

Answer options: Yes, have a policy today; No, but intend to in next 18 months; or No, do not intend to in 18 months

Choose One:

43. If you have copies of policies or documentation that you can share for questions 27-42, please upload in the indicated Sharepoint folder

Please upload documentation to the DEI_Policy_Documentation folder

Part 5. Diversity, Equity and Inclusion Metrics

44. Please complete the BAM/ILPA Diversity Metrics Template in the subsequent grey spreadsheet tabs with your Firm's most recent diversity metrics:

BAM/ILPA Diversity DDQ Template tab names for reference:

Guidance
Definitions
Manager Template Presentations
Manager Template Inputs
Staff Movement Simple
Port Co (please complete one Port Co template for each fund/product)
DEIComp Simple

45. Please complete the below questions about your Firm's diverse ownership and any diverse ownership certifications

a. MWBE Ownership: Is the Firm a minority-owned or woman-owned business enterprise? (A minority-owned or woman-owned business enterprise firm is defined as one that is generally 25 percent or more (for private markets) or 51 percent or more (for public markets) owned.)

Answer options: Yes; No

Choose One:

b. Veteran Ownership: Is the Firm Veteran-owned? (A Veteran-owned business enterprise is defined as one that is generally 25 percent or more (for private markets) or 51 percent or more (for public markets) owned.)

Answer options: Yes; No

Choose One:

c. Disabled person-owned: Is the Firm a disability-owned business enterprise? (A disability-owned business enterprise is defined as one that is generally 25 percent or more (for private markets) or 51 percent or more (for public markets) owned.)

Answer options: Yes; No

Choose One:

d. LGBTQ-owned: Is the Firm LGBTQ-owned? (An LGBTQ-owned business enterprise is defined as one that is generally 25 percent or more (for private markets) or 51 percent or more (for public markets) owned.)

Answer options: Yes; No

Choose One:

Choose X if certification exists for Firm:

e. If the firm is diverse-owned and has any of the indicated certifications, please mark with an X

Certified by the National Minority Supplier Development Council
Certified by the Women's Business Enterprise National Council
Certified by The National Veteran-Owned Business Association
Certified by the Service-Disabled Veteran-Owned
Certified by DisabilityIN
Certified by National LGBT Chamber of Commerce
Certified by a local, state or other common and widely accepted certifying body

End of Questionnaire