



# RI TRANSPARENCY REPORT

2020

As You Sow



**FINANCE  
UNEP INITIATIVE**

An investor initiative in partnership with UNEP Finance Initiative and UN Global Compact



**United Nations  
Global Compact**

## About this report

This report is an export of the individual Signatory organisation responses to the PRI Service Provider Reporting Framework during the 2020 reporting period. It shows your responses to mandatory indicators, as well as responses to voluntary indicators that your organisation has agreed to make public. You will be able to access the public RI Transparency report of your organisation and that of other signatories on the [PRI website](#).

The information is presented exactly as it was reported. Where an indicator offers a response option that is multiple-choice, all options that were available to the signatory to select are presented in this report. Presenting the information exactly as reported is a result of signatory feedback which suggested the PRI not summarise the information. As a result, the reports can be extensive. However, to help easily locate information, there is an **Index** which highlights where the information can be found and summarises the indicators that signatories complete and disclose.

## Understanding the Index

The Index summarises the response status for the individual indicators and modules. It can be used by stakeholders as an 'at a glance' summary of reported information and to identify particular themes or areas of interest.

All indicators within a module are presented below. The status of indicators is shown with the following symbols:

Symbol	Status
✓	The signatory has completed all mandatory parts of this indicator
☑	The signatory has completed some parts of this indicator
🔒	This indicator was not relevant for this signatory
-	The signatory did not complete any part of this indicator.
🔍	The signatory has flagged this indicator for internal review

Within the table, indicators marked in blue are mandatory to complete. Indicators marked in grey are voluntary to complete.

# Index

## Organisational Overview

Indicator	Short description	Status	Disclosure
OO 01	Basic information	✓	Public
OO 02	Reporting year	✓	Public
OO 03	Signatory category and services	✓	Public
OO 04	Other offerings/business activities	✓	Public
OO 05	Breakdown of ESG coverage	✓	Asset mix disclosed in OO 06
OO End		✓	-

## Strategy and Governance

Indicator	Short description	Status	Disclosure
SG 01	Responsible investment policy	✓	Public
SG 02	Norms used to develop policies	✓	Public
SG 03	Policy offerings to clients	✓	Public
SG 04	ESG/RI in business offerings	✓	Public
SG 05	Outsourcing of services	✓	Private
SG 06	Providing training/education	✓	Public
SG 07	Applying, advancing and promoting the PRI principles	✓	Public
SG 08	Actions taken to promote responsible investment	✓	Public
SG 09	Long term trends	✓	Public
SG 10	Interaction with asset owners	🔒	n/a
SG 11	Aligning approach with investor goals	✓	Public
SG 12	ESG recommendations not aligned with investor goals	✓	Public
SG 13	Seeking feedback from clients	✓	Public
SG 14	Managing conflicts of interest	✓	Public
SG End		✓	-

## Research and Data Provision

Indicator	Short description	Status	Disclosure
RDP 01	Product type	✓	Public
RDP 02	Sources for research and/or rating	✓	Public
RDP 03	Stakeholder input	✓	n/a
RDP 04	Up-to-date assessment and ratings	✓	Public
RDP 05	Balanced research and assessment	✓	Public
RDP 06	Consistency and comparability	✓	Public
RDP 07	Emerging ESG issues and trends	✓	Private
RDP 08	Client use of outputs	✓	Private
RDP 09		-	n/a
RDP End		✓	-

## Confidence building measures

Indicator	Short description	Status	Disclosure
CM1 01	Other product offerings, processes and/or activities	✓	n/a
CM1 02	Assurance of responses	✓	Private
CM1 End	Module confirmation page	✓	-

# As You Sow

## Reported Information

## Public version

## Organisational Overview

## PRI disclaimer

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## Basic Information

OO 01	Mandatory	Public	Descriptive
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**OO 01.1** Select the location of your organisation's headquarters.

United States

**OO 01.2** Indicate the number of countries in which you have offices (including your headquarters).

- ☒ 1  
☐ 2 - 5  
☐ 6 - 10  
☐ 11 - 50  
☐ >50

**OO 01.3** Indicate the regions where you have offices.

- ☐ Africa/Middle East  
☐ Asia (excluding Japan & Korea)  
☐ Australasia  
☐ Canada  
☐ Continental Europe  
☐ Japan & Korea  
☐ Nordic  
☐ South America  
☐ UK & Ireland  
☒ US

**OO 01.4** Indicate the approximate number of staff in your organisation in full-time equivalents (FTE).

FTE

15

## Reporting Year

OO 02	Mandatory	Public	Descriptive
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**OO 02.1** Indicate the year end date for your reporting year.

31/12/2019

## Signatory category and services

OO 03	Mandatory	Public	Gateway
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**OO 03.1** Indicate which of the following categories reflect your core offering or main business activity:

- ☐ Reporting
- ☐ Active Ownership Services
- ☐ Investment consultancy
- ☐ Research and Data Provision
- ☒ Other, specify (1)  
Non-profit
- ☐ Other, specify(2)

**OO 03.2** Indicate any other business activities that your organisation offers. Indicate whether you wish to report on these business areas.

- ☐ Reporting
- ☐ Active Ownership Services
- ☐ Investment consultancy
- ☒ Research and Data provision

Research and Data provision

- ☒ Yes
- ☐ No
- ☐ Other, specify (3)
- ☐ Other, specify (4)
- ☐ None of the above

OO 04	Mandatory	Public	Descriptive
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**OO 04.1** Please describe your core offering or main business activity.

As You Sow is a 501c3 non-profit organization that promotes corporate responsibility through shareholder advocacy. We publish research and directly engage companies to mitigate risk and ensure long-term value.

Since 1992, As You Sow has been a leader in moving corporations to become more responsible on a range of environmental and social issues. Corporate power has become the most dominant force on the planet. To achieve our vision of a safe, just, and sustainable world, we work with companies, encouraging them to integrate the UN Global Compact's Ten Principles and the UN Sustainable Development Goals into their policies and practices. By advocating on behalf of shareholders, As You Sow utilizes a powerful force for creating positive, lasting corporate change, achieving our mission, and realizing a more sustainable world.

As You Sow published our first UN Global Compact report on April 1, 2019, further demonstrating our commitment to transparency and reporting. The PDF report is available online at <https://www.asyousow.org/standards-reporting>.

# As You Sow

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## Strategy and Governance

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## Policy on ESG beliefs

SG 01	Mandatory	Public	Gateway
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### SG 01.1

Describe how your organisation's philosophy incorporates environmental, social and governance factors, and the link to your business offerings.

We are a 501c3 non-profit. We represent asset owners and engage directly with corporations on their behalf. We promote sustainability and environmental, social, and governance (ESG) policies to protect and enhance long-term value. We also conduct research and public education.

Our mission is to promote environmental and social corporate responsibility through shareholder advocacy, coalition building, innovative legal strategies, and online mutual fund transparency tools. Our vision is a safe, just, and sustainable world in which protecting the environment and human rights is central to corporate decision making.

Corporations are responsible for most of the pressing social and environmental problems we face today. We believe corporations must be a willing part of creating solutions if the solutions are to be effective. We make that happen. As shareholder advocates, we directly engage corporate CEOs, senior management, and institutional investors to change corporations from the inside out.

### SG 01.2

Indicate whether you have policies that formalise the incorporation of your ESG beliefs in your business offerings.

☒ Yes

### SG 01.3

Indicate the components/types of your internal policy and provide the URL and/or an attachment of the document/s if they are publicly available.

#### Policy components/types

- ☐ Policy setting out your overall ESG/RI approach
- ☐ Formalised guidelines on environmental factors
- ☐ Formalised guidelines on social factors
- ☐ Formalised guidelines on corporate governance factors
- ☐ Formalised guidelines on engagement approach
- ☒ Formalised guidelines on (proxy) voting approach

#### Public availability

☒ URL

#### URL

<https://www.asyousow.org/reports/proxy-voting-guidelines-2019>

- ☐ Attachment
- ☐ Not publicly available

☒ Other, specify (1)

As You Sow is a 501c3 non-profit organization that provides guidance and policies on ESG and responsible investing to shareholders. More on [asyousow.org](https://www.asyousow.org).

	Public availability
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- ☐ URL
- ☐ Attachment
- ☒ Not publicly available
- ☐ Other, specify (2)
- ☐ None of the above

<b>SG 01.4</b>	Indicate how these are put into practice internally across the organisation.
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- ☐ Regular employee training on RI/ESG
- ☐ Regular RI/ESG policy awareness building for employees
- ☐ Establishment of policy review committee/team
- ☐ Remuneration linked to achieving ESG objectives
- ☐ Annual performance incentives
- ☒ Other, specify (1)

Every employee at the 501c3 non-profit As You Sow works toward our vision: the environment and human rights should be central to corporate decision making.

- ☐ Other, specify (2)
- ☐ Other, specify (3)

☐ No

SG 02	Mandatory	Public	Descriptive
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<b>SG 02.1</b>	Indicate what frameworks and guidelines you have used to develop your organisation's policies. Tick all that apply.
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- ☒ UN Principles for Responsible Investment
- ☒ UN Global Compact Principles
- ☒ UN Guiding Principles on Business and Human Rights
- ☒ Universal Declaration of Human Rights
- ☒ UN Sustainable Development Goals
- ☒ International Bill of Human Rights
- ☒ International Labour Organisation Conventions
- ☐ IFC Performance Standards
- ☒ United Nations Convention Against Corruption
- ☒ OECD Principles of Corporate Governance
- ☐ OECD Guidelines for Multinational Enterprises
- ☒ GRI standards
- ☒ Other, specify (1)

SASB

- ☐ Other, specify (2)
- ☐ Other, specify (3)
- ☐ None of the above

SG 03	Mandatory	Public	Descriptive
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SG 03.1	Indicate whether you offer standard, off the shelf, policies to clients as part of your product offerings, and/or whether you create tailored versions for individual clients.
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	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"/>
None of the above	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

<b>SG 03.3</b>	Additional information. [OPTIONAL]
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Not applicable (As You Sow is a 501c3 non-profit organization providing research and data to education investors on ESG issues).

<b>SG 04</b>	<b>Mandatory</b>	<b>Public</b>	<b>Descriptive</b>
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<b>SG 04.1</b>	Briefly describe how you include ESG/RI factors as part of your business offerings.
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#### Business area

	Research and Data Provision
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	How you include ESG/RI factors
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We are a 501c3 non-profit organization and do not offer any financial products. We produce reports, research, and advocacy for the public good on ESG issues.

	Other, specify (1)
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We are a 501c3 nonprofit organization and do not offer financial products. We produce reports, research, and advocacy for the public good on ESG issues.

	How you include ESG/RI factors
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We are a 501c3 non-profit organization and do not offer any financial products. We produce reports, research, and advocacy for the public good on ESG issues.

<b>SG 04.2</b>	Indicate the roles in your organisation, and indicate for each whether they have oversight and/or implementation responsibilities for ESG/RI within the organisation.
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Roles present in your organisation	Oversight/accountability for ESG/RI	Implementation of ESG/RI
Board	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Directors	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Chief Executive Officer (CEO), Chief Financial Officer (CFO)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Chief Operating Officer (COO), Chief Information Officer (CIO)	<input type="checkbox"/>	<input type="checkbox"/>
Other chief-level staff	<input checked="" type="checkbox"/> <div>Please specify</div> Executive	<input checked="" type="checkbox"/> <div>Please specify</div> Executive
Other heads of department	<input checked="" type="checkbox"/> <div>Please specify</div> Multiple	<input checked="" type="checkbox"/> <div>Please specify</div> Multiple
Dedicated ESG/RI staff	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other role, specify (1)	<input checked="" type="checkbox"/> <div>Please specify</div> Support Staff	<input checked="" type="checkbox"/> <div>Please specify</div> Support Staff
Other role, specify (2)	<input type="checkbox"/>	<input type="checkbox"/>
Other role, specify (3)	<input type="checkbox"/>	<input type="checkbox"/>
None of the above	<input type="checkbox"/>	<input type="checkbox"/>

**SG 04.3**

Indicate how you ensure ESG/RI expertise for the roles where there are RI oversight/accountability or implementation responsibilities.

- ☒ Staff training on ESG/RI incorporation
- ☐ Including ESG/RI knowledge factors in personal development goals
- ☐ Having development plans that aim to enhance ESG/RI knowledge of certain departments/teams/individuals
- ☐ Including ESG in selection requirements when hiring new employees
- ☐ Other, specify (1)
- ☐ Other, specify (2)
- ☐ Other, specify (3)
- ☐ Other, specify (4)

**SG 04.4**

Indicate whether your organisation has any ESG/RI linked incentives for its employees.

- ☐ Yes
- ☐ No
- ☒ Not applicable, we ensure that employees incorporate ESG/RI into services through other mechanisms.

**SG 04.6**

Describe how you ensure that your employees incorporate ESG/RI into services through other mechanisms than ESG/RI linked incentives.

We do not offer any financial products, but rather produce reports, educational research, data, and advocacy for the public good, as we are a 501c3 non-profit organization. As such, ESG/RI is inherently part of the work everyone at As You Sow does.

**SG 06****Mandatory****Public****Descriptive****SG 06.1**

Indicate whether you provide training/educational services on ESG/RI. Tick all that apply.

- ☒ Board/trustee training
- ☒ Investment manager training
- ☒ Regulatory bodies/authorities or public policy makers
- ☒ Corporate executive training
- ☒ ESG analyst training
- ☒ Other, specify (1)  
We work with 401k/403b administrators to offer ESG options in corporate retirement plans.
- ☒ Other, specify (2)  
We work with the general public, employees of companies, and foundations with retirement plans to adopt ESG options.
- ☐ Other, specify (3)
- ☐ Other, specify (4)
- ☐ None of the above

<b>SG 06.2</b>	Describe the main components of your training/educational services on ESG/RI and any variations depending on the group you provide training/education to.
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We work with foundation trustees, financial advisors, and asset owners to educate them on alignment of investing with values and specifically about being aware of companies involved in fossil fuels, deforestation, weapons, tobacco, and those with poor scores on gender equality. We also educate the general investing public on proxy voting, and becoming active shareholders. We work with 401k/403b administrators to analyse holdings in corporate retirement plans with an ESG lens. We work with the general public, employees of companies, and foundations with retirement plans to understand aligning investment with values and ESG options.

<b>SG 06.3</b>	Describe whether these training/educational services include any commercial elements.
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As You Sow is a 501c3 non-profit organization.

<b>SG 07</b>	<b>Mandatory</b>	<b>Public</b>	<b>Descriptive</b>
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<b>SG 07.1</b>	Describe how your organisation applies, advances and promotes the PRI Principles.
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As You Sow advocates that companies adopt a stakeholder-centric business plan and disclose ESG criteria and prioritize corporate responsibility programs.

We empower investors to better understand their own investments to be able to make informed decisions relating to ESG and other principles. We educate the financial community; include proxy analysts, on the ESG issues that investors are raising through shareholder resolutions. We do this in direct conversation and through publications like Proxy Preview (<https://www.proxypreview.org/>).

Shareholders are a powerful force for creating positive, lasting change in corporate behaviour.

When corporations focus on the short term and ignore the wider impact of their policies and actions, they create risk for all of their stakeholders including their shareholders, employees, customers, communities where they operate, their supply chain partners, as well as themselves. As shareholder advocates, we press corporations to understand this broader risk. We work directly with corporate executives to collaboratively develop business policies and practices that reduce risk, benefit brand reputation, and increase the bottom line, while bringing positive environmental and social change.

Ultimately, companies that view the world in years, decades, and generations reduce their risk and improve success. Shareholder advocacy works.

In 2019, As You Sow published our first UN Global Compact report (April 1, 2019) further demonstrating our commitment to transparency and reporting. The PDF report is available online at <https://www.asyousow.org/standards-reporting> and will be updated in 2020.

<b>SG 07.2</b>	Highlight whether there are any ways that your organisation would like to engage further with the PRI. [OPTIONAL]
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We are interested in engaging further with the UN PRI as much as possible. For example, we would like to learn more about the Board nomination process; we would appreciate knowing when the nomination process for a non-asset owner organization will open later in 2020. We would like to see more non-asset owner engagement with and leadership of the PRI to work together to identify ways in which we can collectively use the PRI effectively and hold asset owners accountable to the PRI's tenets.

<b>SG 08</b>	<b>Mandatory</b>	<b>Public</b>	
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<b>SG 08.1</b>	Indicate which of the following actions your organisation has taken to promote responsible investments during the reporting year, independently of collaborative initiatives.
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- ☒ Provided or supported education or training programmes for clients, investment managers, legal advisers or other investment organisations
- ☐ Provided financial support for academic or industry research on responsible investment
- ☒ Encouraged better transparency and disclosure of responsible investment practices across the investment industry
- ☒ Spoken publicly at events and conferences to promote responsible investment
- ☒ Written and published in-house research papers on responsible investment
- ☒ Encouraged the adoption of the PRI
- ☒ Written and published articles on responsible investment in the media
- ☒ Policy engagements and other interactions
- ☒ Other, specify  
Original research reports on climate change finance, CEO Pay, corporate risks associated with pesticides use, plastic waste, slavery in supply chain, and other ESG issues
- ☐ None of the above

<b>SG 09</b>	<b>Mandatory</b>	<b>Public</b>	<b>Descriptive</b>
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<b>SG 09.1</b>	Indicate which of the following long-term trends are addressed in your product outputs.
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- ☒ Changing demographics

<b>SG 09.2</b>	Explain how this long-term trend affects your product outputs.
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We do not offer any financial products, but these factors are taken into consideration in our research and advocacy strategy.

- ☒ Climate change

<b>SG 09.2</b>	Explain how this long-term trend affects your product outputs.
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We do not offer any financial products, but these factors are taken into consideration in our research and advocacy strategy.

- ☒ Resource scarcity

<b>SG 09.2</b>	Explain how this long-term trend affects your product outputs.
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We do not offer any financial products, but these factors are taken into consideration in our research and advocacy strategy.

- ☒ Technology developments



**SG 09.2**

Explain how this long-term trend affects your product outputs.

We do not offer any financial products, but these factors are taken into consideration in our research and advocacy strategy.

☒ Other, specify (1)

We do not offer any financial products, but these factors are taken into consideration in our research and advocacy strategy.

**SG 09.2**

Explain how this long-term trend affects your product outputs.

We do not offer traditional financial products, but rather produce reports, educational research, and data for the public good, as we are a non-profit organization.

☐ Other, specify (2)

☐ None of the above

**SG 11****Mandatory****Public****Descriptive****SG 11.1**

Describe how you typically align your organisation's philosophy and approach to ESG/RI with your investor clients' goals.

☒ Describe

As You Sow is a 501c3 non-profit organization and does not itself have investors like other respondents to the PRI. However, our organization's philosophy on stakeholder capitalism and our approach to ESG and responsible investing inform the guidance we provide others to advance our mission, which is to promote environmental and social corporate responsibility through shareholder advocacy, coalition building, innovative legal strategies, and online mutual fund transparency tools.

Our success in creating positive change through shareholder advocacy is part of a larger body of work by a broad range of organizations. It is clearly demonstrated that companies with strong ESG principles tend to be, in general, more profitable. The ESG field includes screening investments with an ESG lens, a practice that collectively overturned Milton Friedman's nearly universally held belief that profit must be the sole focus of companies and that responsibility adversely affects a firm's financial performance. Shareholder advocacy work has resulted in an unprecedented paradigm shift in the behaviour of both shareholders and company management that is creating a new environmentally sustainable economy. The new World Economic Forum 2020 manifesto and the Business RoundTable "New Purpose of a Corporation" essentially have adopted the As You Sow stakeholder-centric view.

☐ This is not relevant for my organisation

**SG 12****Mandatory****Public****Descriptive****SG 12.1**

Describe what steps you take, if any, when your ESG recommendations are not in line with your investor clients' goals.

☐ Describe

☒ This is not relevant for my organisation

**SG 13****Mandatory****Public****Descriptive**

<b>SG 13.1</b>	Indicate whether you seek feedback from clients on your RI/ESG services and product offerings
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- ☐ Yes
- ☒ No

<b>SG 13.3</b>	If not, please explain why.
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We do not offer traditional financial products, but rather produce reports and data for the public good, as we are a 501c3 non-profit organization.

<b>SG 14</b>	<b>Mandatory</b>	<b>Public</b>	<b>Descriptive</b>
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<b>SG 14.1</b>	Indicate whether your organisation has a policy for managing potential conflicts of interest.
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- ☒ Yes

<b>SG 14.2</b>	Describe how you manage potential conflicts of interest.
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We have conflict of interest statements that all staff and Board members sign.

<b>SG 14.3</b>	Describe how you ensure that company employees do not derive any personal gain from the use of information collected during your work process.
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We have conflict of interest statements that all staff and Board members sign and very strict policies against accepting donations from corporations we have engaged or will engage.

- ☐ No

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## Product level

RDP 01

Mandatory

Public

RDP 01.1

Indicate your product type. Tick all that apply.

- ☒ Analysis
- ☒ Benchmarking reports
- ☒ ESG ratings
- ☐ Credit ratings
- ☐ ESG indices
- ☒ Raw data
- ☒ Second party opinion on green or social bonds
- ☒ Surveys
- ☒ Other, specify

Corporate scorecards on ESG issues

RDP 01.2

Indicate whether you make any of your products publicly available.

- ☒ Yes, all products
- ☐ Yes, some products
- ☐ No, we do not

## Research/process level

RDP 02

Mandatory

Public

RDP 02.1

Indicate the types of sources you use for research and/or ratings of companies/sectors/geographies or similar. Tick all that apply.

- ☒ Your organisation's independently collected data from public sources
- ☒ Regulatory sources
- ☒ Information from NGOs and other stakeholders
- ☒ In-person meetings or calls with company or industry representatives
- ☒ Primary data (self-reported from companies or other organisations)
- ☒ Secondary data (from other research provider databases)
- ☐ Other, specify (1)
- ☐ Other, specify (2)
- ☐ Other, specify (3)

<b>RDP 02.2</b>	Indicate how ESG factors are incorporated into your research and/or rating methodology
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- ☒ Identifying exposure and risk to ESG factors
- ☒ Considering responses to self-assessment questions on ESG
- ☒ Assessing current and future capacity to manage or mitigate ESG risks
- ☒ Assessing past and potential future performance on ESG factors
- ☒ Assessing alignment and compliance to different policies and regulations
- ☒ Assessing alignment and compliance explicitly to the Sustainable Development Goals (SDGs)
- ☒ Assessing current and future positive ESG impacts
- ☐ Other, specify (1)
- ☐ Other, specify (2)
- ☐ Other, specify (3)

<b>RDP 02.3</b>	Describe how you define materiality and how this is captured in your research and/or rating methodology as well as final product.
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We produce data and reports as well as engage in advocacy with corporations on many ESG issues. We write and file shareholder resolutions and provide tools across a broad range of ESG issue areas including energy, climate change, environmental health, waste, ocean plastics, regenerative agriculture, human rights, CEO pay, slavery in supply chains, gender equity, board diversity, and more. We work with shareholders to identify material issues where we can help them make a difference to change corporations for good.

<b>RDP 04</b>	<b>Mandatory</b>	<b>Public</b>	<b>Descriptive</b>
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<b>RDP 04.1</b>	Indicate how you ensure that your ESG assessment of companies/ sectors/ geographies or similar is up-to-date and that new information is incorporated or new assessments are conducted at reasonable intervals.
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- ☒ Regular update cycles (annual or more frequent)
- ☒ Allowing assessments/ ratings to be adjusted at any time by your organisation
- ☒ On-going alerts systems in place for new events and information that might have implications on the original assessment/ ratings
- ☒ On-going monitoring of possible controversies and compliance to conventions, regulations and similar
- ☒ Providing tools for companies/ sectors or others to update the researcher, rating agency or data provider with new information
- ☒ Other, specify (1)
  - direct engagement with corporations
- ☐ Other, specify (2)
- ☐ Other, specify (3)

<b>RDP 05</b>	<b>Mandatory</b>	<b>Public</b>	<b>Descriptive</b>
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<b>RDP 05.1</b>	Indicate how you typically ensure a balanced approach to your research methodology and assessing/rating of companies/sectors/geographies or similar. Tick all that apply and explain your approach to each option.
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#### Type of indicators

- ☒ Balancing quantitative and qualitative indicators

#### Explain your approach

We assess performance data from corporations against our principles for environmental and social good.

- ☒ Balancing management/process oriented indicators and performance indicators

#### Explain your approach

We assess performance data from corporations against our screening lists and principles for environmental and social performance.

- ☒ Balancing reference to past and current performances, such as whether the rating object's performance is improving or deteriorating

#### Explain your approach

We assess corporations against industry benchmarks, ESG leaders, activity required to protect society and/or ecosystems, and against their own past performance and ability to effect positive change. We give credit for change where it is due, and partner with corporations and their shareholders to continue to identify opportunities for improvement.

- ☒ Balancing environmental, social and governance indicators

#### Explain your approach

We help shareholders identify which material issues are most important to pursue when asking corporations to improve their performance. We do this by direct dialogue as well as by publishing our reports and online tools that are specific to different environmental or social issues (energy, CEO pay, environmental health, and more).

- ☒ Balancing self-reported and public data

#### Explain your approach

By engaging directly with corporations and shareholders, we collect primary and secondary data and use this with public data to produce our reports and tools.

- ☒ Other, specify (1)

Evaluating shareholders' need for material disclosure by companies

#### Explain your approach

We evaluate shareholders' need for material disclosure by companies.

- ☐ Other, specify (2)

- ☐ None of the above

RDP 06	Mandatory	Public	Descriptive
RDP 06.1	Describe the control processes in place to ensure quality of research.		
As You Sow is a 501c3 non-profit organization. We work with other non-profit entities, regulatory groups, peer reviewers, shareholder groups, and corporations themselves to ensure the data we are collecting, managing, and producing is accurate and relevant. The As You Sow Board of Directors is comprised of talented and dedicated volunteers. The Board of Directors provides oversight. Our Directors, all of whom			

are independent voting members, bring a broad range of expertise and interests including experience in social advocacy, publishing, education, environmental law, business, socially responsible investing, fundraising, and philanthropy.

# As You Sow

## Reported Information

## Public version

## Confidence building measures

## PRI disclaimer

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