RobecoSAM Corporate Sustainability Assessment 2016: Frequently Asked Questions

March 2016
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1. Benefits of participation

How will participating in the RobecoSAM Corporate Sustainability Assessment (CSA) benefit my company if we are not selected as an index member, and what feedback will we get?
Many companies find that participating in the assessment leads to improved internal communication, helps drive change, and creates better internal data collection structures.

Furthermore, all participating companies will receive a RobecoSAM Company Benchmarking Scorecard free of charge. This document covers all criteria assessed and shows your company’s sustainability performance compared to the global industry average and the industry’s best-in-class company scores for each criterion. Many companies use the scorecard as a valuable internal management tool, which helps them identify their successful strategies as well as potential areas of focus for improvements in efficiency, risk-management, and more.

How does sustainability investing benefit my company?
Stocks of DJSI members are potential investments for DJSI-based portfolios. Your company may therefore directly benefit from the growing demand for sustainability-related investments.

Is the data gathered by the CSA used exclusively for the DJSI?
In addition to the CSA scores being used as inputs for the various sustainability indices (DJSI, DJSI Diversified), RobecoSAM uses the CSA findings as research support and as one of the inputs in the research process leading to the selection and weighting of portfolio constituents of its own asset management business and that of its parent company Robeco. Our Sustainability Yearbook is also based on scores from the CSA. Please be assured that RobecoSAM applies a Use of Information Policy and Disclaimer and has in place a strict policy on the confidentiality of documents and comments provided in the assessment. Please refer to the Use of Information Policy and Disclaimer for further information on the use of CSA scores by RobecoSAM. The Use of Information Policy and Disclaimer shall govern the use of such CSA scores by RobecoSAM entirely. These documents are available on https://assessments.robecosam.com/.

Does being an index member offer any brand equity?
Identification as a global sustainability leader in your industry can enhance your company’s reputation in the eyes of shareholders, financial analysts, current and potential employees, customers, and the public at large.

What is an Industry Group Leader?
An Industry Group Leader is the company that outperforms its peers in its respective industry group. The 60 RobecoSAM industries are derived from GICS® and roll up into the 24 GICS® industry groups. On September 8th, 2016 RobecoSAM will announce the 24 Industry Group Leaders, which are featured prominently in media communications and on our website. Companies that are appointed Industry Group Leader status have the opportunity to mention this recognition in internal and external marketing and communication purposes.

Are there DJSI member logos that I can use?
Companies that qualify for the DJSI World, DJSI North America, DJSI Europe, DJSI Asia Pacific, DJSI Emerging Markets, DJSI Australia, DJSI Korea and DJSI Chile will receive a member logo for internal and
external marketing and communication purposes. Inclusion in the DJSI World Enlarged does not entitle you to use a member logo. The guidelines regulating the use of the logo are available at https://assessments.robecosam.com/.

What is the RobecoSAM Sustainability Yearbook?
Each January after the review, RobecoSAM publishes its Sustainability Yearbook, which is independent of the indices. The Yearbook recognizes the companies that are in the top 15% of their industry with regards to corporate sustainability based on the CSA. The current Yearbook, based on the 2015 RobecoSAM CSA is available for download at: http://yearbook.robecosam.com/. A mention in the Yearbook provides additional reputational benefits and opportunities for positive media coverage.

What is the difference between Yearbook members and Index members?
While the Yearbook and the indices are based on the same underlying assessment methodology, they are independent of each other, use different selection rules, and may contain different companies. The Dow Jones Sustainability Indices members are selected from a universe of companies assessed between April and July. The Yearbook is based on an expanded universe of companies assessed between April and December.

Which RobecoSAM Yearbook distinctions are there?
Companies can receive one or more of the following RobecoSAM Yearbook awards: RobecoSAM Industry Leader, Gold Class, Silver Class and/or Bronze Class. Each distinction comes with a logo, which can be used for internal and external marketing and communication purposes.

2. Details

What is the deadline for submission?
Starting April 5th, 2016 the questionnaire will be available online. The deadline for submitting the complete questionnaire for this year’s assessment is May 31st, 2016. The new members of the Dow Jones Sustainability Indices will be announced on September 8th, 2016.

What are the methodology changes for 2016?
Please note that over 80% of the questions are the same as last year. As in 2015, a webcast highlighting the main methodology changes and giving companies the opportunity to ask questions will be held on March 22nd, 2016. If you are interested in the webcast, please register by following the link on https://assessments.robecosam.com/. Another webcast will be held on March 17th to provide an introduction to the Corporate Sustainability Assessment and the Dow Jones Sustainability Index. You can register for this session at the same link.

Where can I find information about dimension and criteria weightings for the 2016 CSA?
The weightings on a criteria level will be made available for all industries on: https://assessments.robecosam.com/ on April 5th, 2016.

Can I reuse information from 2015 in the questionnaire?
If your company participated in last year’s assessment, you will have the option to transfer your 2015 answers into the new questionnaire for all questions that have remained identical. You can review that information by using the “pre-fill” function (please refer to the online help for more information after
you are logged in). We recommend that you verify the information carefully, update your responses based on recent developments in your company, and complete the rest of the questionnaire.

**How can I get more help?**
Detailed guidance on how to use and navigate through the system is available in the online help section, instruction videos and FAQ. If you need additional support during the assessment process, you can always contact the RobecoSAM DJSI Helpline (index@robecosam.com; +41 44 653 10 30). Furthermore, in order to help participating companies navigate through the questionnaire and to help explain methodology changes, two webcasts will be hosted by RobecoSAM (details below). You can sign up for these webcasts by going to [https://assessments.robecosam.com/](https://assessments.robecosam.com/) and following the link to the webcast registration landing page.

**Webcast 1 - March 17th: Dow Jones Sustainability Index 2016: an Introduction to the Corporate Sustainability Assessment (recommended for first time and returning participants)**
This webcast is designed for companies that have not participated in the DJSI assessment and/or companies that would like to learn more about the assessment process, e.g. companies which have changed the main person of contact for the assessment. It also highlights the main changes to the RobecoSAM online assessment tool, used for submitting your sustainability information to us.

**Webcast 2 – March 22nd: Dow Jones Sustainability Index 2016: Methodology Changes (recommended for first-time and returning participants)**
This webcast primarily focuses on the main methodology changes for 2016 in comparison to the 2015 assessment.

**What is your language policy?**
The official language of the RobecoSAM CSA is English. If you submit untranslated documents in your local language, please note that RobecoSAM analysts require a brief explanation in English of the relevant paragraph/main content in the comments field. Submissions or supporting evidence provided in a language other than English without sufficient translation or summarization will not be considered for the assessment and may have a negative impact on the scoring of that question. The CSA language policy is available on [https://assessments.robecosam.com/](https://assessments.robecosam.com/).

**How can I be sure that the documents that I provide are treated confidentially?**
RobecoSAM applies a Use of Information Policy and Disclaimer and has in place a strict policy on the confidentiality of documents and comments provided in the assessment. These documents are available on [https://assessments.robecosam.com/](https://assessments.robecosam.com/). The Use of Information Policy and Disclaimer are also part of the Approval Form, which needs to be signed and returned to RobecoSAM upon submission of the questionnaire. As these agreements apply to RobecoSAM as well as to your company, RobecoSAM considers the online documentation as legal assurance for the confidential treatment of documents and comments provided in the CSA.

**How can I change my contact details?**
Companies will be able to manage their contact details themselves. Through the online assessment tool, the administrator for your company will be able to change the primary and secondary contacts for your company, manage administrator account information, and create and manage the additional user account and new technical user accounts. If your company does not have an account yet or if you have any questions or face any technical problems please send an email to index@robecosam.com.

**How can I contact you?**
If you have any questions regarding RobecoSAM’s CSA, please contact index@robecosam.com or call the RobecoSAM DJSI Helpline at +41 44 653 10 30.
How do I register for the 2016 CSA?

On April 5th, 2016, you will receive an email from index@robecosam.com asking you to register and/or confirm your participation in this year’s assessment.

If you already have an account, please click on the link in the email to confirm your participation in the 2016 CSA (the password from last year is still valid). You will then be able to log in and access the questionnaire at: https://assessments.robecosam.com/. If you do not confirm your participation, you will be able to login, but you will not be able to see the 2016 questionnaire. If you have any problem confirming your participation, please contact: index@robecosam.com. If you do not remember your password, please click “I forgot my password” on the website and enter your email address in order to receive a new password.

If you are a new user, please follow the link in the email and fill out your company’s contact information in the online form. Within 24 hours of completing registration, you will receive an email confirming that your registration was successful. Once this has been done, you will receive a confirmation email and then be able to login at https://assessments.robecosam.com/ with the username and password you chose upon registration.

If you intend on having several users working in the questionnaire, you can create an additional user account by going to the “Manage Users” section of the online assessment tool. A technical user account can also be created if you intend on using the RobecoSAM XBRL Taxonomy and sharing login information with a third-party software vendor or a technical team within your company. The administrator account is the master account you will be using for the entire process. This account should only be used by the person responsible for overseeing the assessment, as it can only be used by one person at a time and has additional user privileges. The user account, on the other hand, does not include administrator privileges and can be used by as many individuals as necessary at the same time.

Can my company be selected as a member of the DJSI if we do not participate in the CSA?

RobecoSAM reserves the right to apply the same assessment methodology to non-participating companies from the eligible universe based on information available in the public domain. This way, at least 50% of the free-float market capitalization per industry is assessed, ensuring a best-in-class selection can take place. It is possible for an eligible, non-participating company to be selected as a member of the DJSI, if its score based on this assessment qualifies. However, this is uncommon. Public sustainability disclosures are more limited than the information which can be obtained directly from participating companies, which means non-participating companies can have lower scores than they would if they participated. For this reason, eligible companies are encouraged to actively participate in the assessment. Non-participating companies assessed by RobecoSAM will not be proactively informed whether or not an assessment has been conducted, and will not be entitled to additional feedback from RobecoSAM.

Which companies are assessed solely on publically available information?

In order to ensure that the CSA covers a representative group of companies, by region, industry sector and market cap size, RobecoSAM calculates Total Sustainability Scores for those invited companies who choose not to participate in the CSA, but whose market capitalization is in excess of USD 1 billion. Completion of the non-participating companies’ questionnaires is based exclusively on publically available information.
3. DJSI Family

Which companies are eligible for the 2016 CSA?
RobecoSAM, cooperatively with S&P Dow Jones Indices, invites the largest 2,500 companies worldwide, the largest 800 companies in Emerging Markets, the largest 600 companies in developed Europe, North America and Asia/Pacific as well as the largest 200 companies in the Republic of Korea, the ASX200 components in Australia and the IPGA components in Chile to participate in the CSA. Eligibility is based on the free-float market capitalization as of end of December the year before. A full overview of all companies eligible for the 2016 RobecoSAM CSA including information on country and industry, is available for download at: http://www.sustainability-indexes.com/review/timeline-2016.jsp.

Which regional DJSI are there?
The DJSI Family includes three regional indices: DJSI Asia Pacific, DJSI Europe and DJSI North America. Each year the 600 largest companies from the developed markets in each region are invited to participate in the assessment, and the top 20% based on their Total Sustainability Score per industry are selected as index members.

What is the DJSI World Enlarged?
Developed in 2010, with the same starting universe as the DJSI World, this index selects the top 20% of companies in terms of sustainability worldwide. Unlike inclusion in the DJSI World, DJSI North America, DJSI Europe, DJSI Asia Pacific and DJSI Emerging Markets, inclusion in the DJSI World Enlarged does not entitle index members to use a member logo, nor are its components made public. Upon request, we will inform companies whether or not they are included in this particular index.

What is the DJSI Emerging Markets?
The DJSI Emerging Markets was first launched in February 2013. Each year the 800 largest companies from 20 emerging markets are invited to participate in the assessment, and the top 10% based on their Total Sustainability Score per industry are selected as index members. According to S&P Dow Jones Indices classification, the following countries are currently classified as emerging markets: Brazil, Chile, China, Colombia, Czech Republic, Egypt, Hungary, India, Indonesia, Malaysia, Mexico, Morocco, Peru, Philippines, Poland, Russia, South Africa, Taiwan, Thailand, and Turkey. As of September 2015, Greece, Qatar and the United Arab Emirates are also considered emerging markets and thus increase the number of emerging markets invited to participate in the assessment to 23.

What is the DJSI Diversified?
Launched in May 2013, the DJSI Diversified family currently covers 26 developed market and 20 emerging market countries and replicates the regional and industry allocation of the S&P Global LargeMidCap Index while taking sustainability performance into account. Companies’ sustainability profiles are evaluated using RobecoSAM’s proprietary CSA methodology. Inclusion in the DJSI Diversified does not entitle index members to use a member logo, nor are its components made public. Upon request, we will inform companies whether or not they are included in this particular index. As of September 2015, Greece, Qatar and the United Arab Emirates are also considered emerging markets and thus increase the number of emerging markets invited to participate in the assessment to 23 and reduce the number of developed markets to 25.

Which country-specific DJSI are there?
The DJSI Family includes three country indices: DJSI Australia, DJSI Korea and DJSI Chile. Each year the components of the S&P ASX200, the 200 largest South Korean companies and the members of the Chilean IPGA Index with a free-float market capitalization of over $100 million are invited to participate in
the assessment and the top 30% based on their Total Sustainability Score per industry are selected as index members.

**Have any changes been made to the industry classification?**
The indices are fully aligned with the Global Industry Classification System (GICS®), any changes to the underlying methodology including those coming into effect on February 29th, 2016 will be reflected in the CSA. The invitation list will be updated accordingly and can be found on our website under http://www.sustainability-indexes.com/review/timeline-2016.jsp. GICS changes that occur after March 1st, which may impact the classification of companies in the RobecoSAM CSA, will be communicated to affected companies but will only be applied in the next annual assessment cycle.

**Where can I find a list of index components?**
The current list of index components is publically available on our website: [http://www.sustainability-indexes.com/review/djsi-new-components-lists.jsp](http://www.sustainability-indexes.com/review/djsi-new-components-lists.jsp).

### 4. Important Changes

**RobecoSAM XBRL Taxonomy**
RobecoSAM, together with leading software vendors, has developed an XBRL taxonomy, representing the full structure of its CSA. The XBRL (eXtensible Business Reporting Language) is the standard digital reporting format used for financial filings around the world. In order to address the growing concerns from companies about the “reporting burden” they face, providing a digital reporting solution is a key step in improving efficiencies, automation and data quality. The 2016 CSA taxonomy is available to all participating companies. To download the taxonomy and upload XBRL instance files, you can create a “technical user” account in the online assessment tool. For more information about the XBRL Taxonomy and applying this to your sustainability reporting processes, please contact the DJSI Helpline at index@robecosam.com.

**RobecoSAM Approval Form**
There will be a change in the Use of Information Policy and Disclaimer forming integral part of the Approval Form which will need to be accepted and signed by each participant of the CSA. Such updated version of the Use of Information Policy and Disclaimer will be available online in due course at https://assessments.robecosam.com/.

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