

# Comprehensive Organization Assessment Report

An Evaluation of Sustainability Performance & Strategic  
Innovation Opportunities

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POWERED BY **ESG GLOBAL STANDARDS**

# Organization Assessment Results

Detailed sustainability evaluation

4/5

Sustainability Rating

## The Following Best Describes Our Current Expertise To Develop And Manage Our Esms:

Option: We have competent professionals with current knowledge and skills on environmental and social issues, including regulatory requirements and industry best practices. They have also been trained on management system standards. We involve external experts to assist in the identification of risks for complex projects. (=5)

Justification: Reference standards: According to Environmental and Social Operational Safeguard 9: Financial Intermediaries (OS9), FIs must develop and maintain an Environmental and Social Management System (ESMS) with clearly defined organizational capacity and competency, including the budget, as well as procedures for identifying, assessing, and managing E&S risks. The ESMS should reflect current regulatory requirements and industry best practices, include monitoring and reporting, and, where appropriate, involve external experts for complex subprojects (see sections on general ESMS requirements, capacity and competency, and external inputs). Assessment against the option meanings: - The assessed documentation presents Gridworks with explicit E&S governance roles (ESG Lead, business development team) and a coherent set of procedures and tools (incident reporting, contractor selection and management, grievance policy, risk screening, ESMS risk management tools). It also describes substantive training-related activities and content. - Evidence of current knowledge and practice: the documentation references training content aligned with GIIP and international standards (e.g., E&S training topics, references to IFC Performance Standards, DFIs' capacity-building resources) and includes modes of delivery such as on-the-job training, shadowing external consultants/ESG Manager, and integrated induction training. There is a dedicated section on identifying E&S training, with specifics on audience, content, mode of delivery, and evaluation approaches. - Evidence of external input: the materials explicitly describe involvement of external experts (external consultants) in the identification of risks for complex projects and in on-site training/shadowing, which aligns with the standard's expectation to supplement internal competency with external expertise as needed. - Evidence of competency and standards training: the policy mentions "E&S training" and "E&S capacity building" resources, and the risk-management procedures imply ongoing practice and implementation. There is also a stated commitment to GIIP and international standards in training content, which supports alignment with current regulatory requirements and industry best practices. - Evidence of budget and formal capacity: while the documents show roles and ongoing training activities, there is less explicit, quantified evidence of a formal E&S budget allocation or a documented competency framework with performance indicators. However, the presence of a dedicated ESG lead, planned training, and external expert engagement indicates a mature level of organizational capability. Gaps relative to OS9 and option meaning: - OS9 requires explicit organizational capacity and competency, including a budget. The materials demonstrate roles and activities but do not provide a concrete budget figure or formal competency criteria/levels, nor a documented annual training plan with target competencies and attainment dates. - Although external experts are used for complex risks, the documentation does not present a formal threshold or criteria for when external inputs are engaged, nor a

structured process to ensure external expertise is integrated into ESMS governance and risk assessment in a verifiable way. - A formal demonstration of how training translates into measurable performance improvements (e.g., post-training assessments, KPIs, or periodic competency reviews) is not clearly documented. - While there is evidence of policy and procedures (which OS9 requires), the documentation would benefit from explicit links between training content, competency requirements, and specific ESMS elements (e.g., how training feeds into monitoring, incident response, and grievance handling). Actionable recommendations to reach higher performance (aligned with OS9): - Develop a formal E&S competency framework: define required competencies for all E&S roles (e.g., ESG Lead, deal teams, project managers), with levels, proficiency criteria, and a competency matrix linked to ESMS procedures. - Establish an explicit E&S budget line: document annual budget for E&S capacity (training, external expertise, monitoring tools, and audits) and show actual vs. planned allocations. - formalize external expert engagement criteria: specify when external experts are engaged (e.g., for high-risk, high-complexity subprojects), selection criteria, scope of work, and integration plan to ensure external inputs are embedded into ESMS decision-making and monitoring. - implement a structured training program with measurable outcomes: create an annual training plan with target competencies, delivery modes, completion deadlines, and post-training assessments to demonstrate knowledge uptake and application. - tie training to monitoring and performance indicators: define how training completion and competency improvements translate into monitoring results (e.g., more robust risk identification, fewer incident root causes, improved grievance handling), and include these in periodic reviews. - enhance documentation of procedures: cross-reference training modules with specific ESMS procedures (policy, risk identification, monitoring, grievance, incident management) to demonstrate how staff apply learnings in practice. - institute regular competency verification: schedule periodic (e.g., annual) competency reviews and documented evidence of application on live projects, with corrective actions if gaps are found. In summary, the assessed ESMS documentation reflects a mature and capable organization with dedicated roles, ongoing E&S training, and use of external expertise, which aligns closely with option 5. However, to fully meet the procedural depth and evidence standards of OS9, Gridworks should formalize budgeting, competency frameworks, structured, measurable training outcomes, and explicit integration of external inputs into ESMS governance and monitoring.

★ ★ Score: 5/5

## Training For Our Employees About Our Esms Is Best Described By The Following Statement:

Option: We provide ongoing introductory and refresher training at least once a year to all managers and workers, including full-time, part-time, temporary and contractors. Training is based on the content of the policies and procedures that apply to each area. (=4)

Justification: Reference standards (IFC Performance Standards and good practice in ESMS capacity building) require that training be ongoing, cover all workers and relevant staff, align with ESMS content, include clear responsibilities for delivery, and employ some form of evaluation to gauge effectiveness and drive continual improvement. According to the assessed ESMS documentation, Gridworks presents a structured approach to E&S training under the “Identifying E&S training” and “E&S Capacity Building” sections. The documentation specifies: (i) a defined set of E&S training topics (key E&S principles, international requirements, E&S procedures, communication on E&S value, etc.); (ii) intended audiences (e.g., Gridworks deal teams, Investment Committee, ESG Team, investees, etc.); (iii) diverse delivery modes (in-house training, integration with induction, on-the-job training, shadowing, and refresher/continuous learning); (iv) periodic and on-demand refreshers and integration into induction programs; (v) evaluation mechanisms including capacity-building surveys, feedback discussions, and lessons learned; and (vi) clear responsibility assignments (E&S Lead, external specialists when required, Board involvement where applicable, and E&S Manager/Representative accountable for training content and ongoing staff training). This demonstrates procedural evidence of how training is planned, delivered, who is responsible, how audiences are targeted, and how effectiveness is examined, which aligns with option 4’s emphasis on ongoing annual-type refreshers and content tailored to each area of work. Gaps relative to option 4’s full scope and the referenced standards: - Coverage of all workers: The documentation references audiences like deal teams, investment committees, ESG teams, investees, and board-level responsibilities, but it does not explicitly confirm that all workers (including all full-time, part-time, temporary staff, and contractors) receive the same ongoing training. The strongest phrasing exists around staff-level training and capacity-building activities, but explicit universal coverage is not clearly stated. - Frequency: The standard in option 4 contemplates ongoing training with at least annual refreshers. The ESMS text uses terms like “on-going basis,” “periodic basis,” and “refreshers,” but it does not consistently specify a minimum annual frequency for all staff. The lack of a precise annual cadence for all worker categories is a gap. - Measurement of training effectiveness: While the doc includes evaluation through surveys and interviews and notes lessons learned, it does not specify objective, quantifiable tests or formal performance indicators tied to training outcomes (e.g., pre/post tests, competency metrics, or verification of knowledge application). The reference standard language for training effectiveness often includes some form of measured outcomes (tests, surveys, interviews) with a plan for continual improvement. Actionable recommendations to align with option 5-level rigor (and strengthen toward option 4 being robustly evidenced): - Explicitly confirm universal coverage: Amend the ESMS to state that all employees, including full-time, part-time, temporary staff, and contractors, receive ongoing E&S training. Document the



eligibility, enrollment process, and targeting for contractor workers where applicable. - Specify minimum frequency: Establish a formal minimum training cadence (e.g., annual mandatory refresher for all staff and contractors, with role-based refreshers as needed). Include a schedule in the ESMS and link it to the training calendar. - Strengthen evidence of effectiveness: Introduce measurable training objectives and indicators (e.g., assessment scores, competency checklists, completion rates, retention of policy knowledge) and implement a standardized post-training evaluation process (tests or quizzes where appropriate, plus surveys/interviews). Define verification steps and responsible parties to close feedback loops. - Clarify responsibilities and governance: Ensure explicit assignment of responsibilities for delivering, documenting, and auditing training across all relevant roles (ESMS owner, HR, line managers, E&S Manager, and external specialists if used). Tie training outcomes to ESMS monitoring and remediation actions (e.g., tie to ESAP items and performance reviews). - Tie content to concrete ESMS elements: Map each training module to specific ESMS procedures, policies, and risk areas (e.g., labor standards, environmental risk controls, grievance mechanisms, incident reporting) with updates aligned to policy changes or new regulatory requirements. In summary, the assessed ESMS provides substantial evidence of ongoing, topic-focused E&S training with defined audiences, delivery methods, and evaluation components, which best matches option 4. The main improvements needed to reach full alignment with the strongest standard (option 5) are explicit universal coverage for all worker categories, a defined annual minimum training frequency, and formal, verifiable training outcomes (tests or equivalent) tied to performance and continual improvement.

★ ★ Score: 4/5

## **In My Company The People From The Following Functional Areas Have Day-To-Day Involvement In Managing Environmental And Social (Ohs, Labor, And Community) Risks And Impacts:**

Option: We have a cross-functional team of trained people from all the internal business and operations areas, led by a senior management member. They meet and review environmental and social issues on a routine basis. There is an integrated management system that covers the Quality, EHS, and Labor areas. (=4)

Justification: Reference standards require a cross-functional, trained team with routine governance that actively manages environmental and social risks across the organization, including inputs from all levels, integration of EHS/Labor/Community (and ideally Quality), and involvement across operations and supply chain. They expect documented procedures for risk identification, management, monitoring, and continual improvement, with clear responsibilities, regular meetings, and verification of implementation. Assessment against the ESMS documentation: - Evidence of cross-functional involvement: The ESMS content shows roles such as E&S/EHS Manager, ESG Lead, and an ESG Team, and it describes on-the-job and integrated training (including induction) and capacity-building across teams. There is mention of investment-process risk management and a framework for risk identification and action planning, with inputs from workers and managers implied through training and on-site activities. This aligns with a cross-functional approach and routine consideration of E&S issues, satisfying the core element of a cross-functional team with routine governance. - Organizational integration: There is an indication of an integrated approach to E&S risk management within Gridworks' processes (e.g., risk management procedure during investments, training embedded across teams). However, the documentation stops short of a fully explicit integrated management system scope that covers Quality, EHS, and Labor across all internal areas, even though it references cross-functional activities and some integration in practice. - Scope regarding Community relations and supply chain: The material includes grievance mechanisms and external stakeholder engagement elements, but it does not clearly demonstrate inclusion of Community Relations as a fully integrated area within the management system nor explicit, ongoing involvement of Supply Chain/Sourcing in extending E&S policies. This represents a gap relative to option 5, but not necessarily a disqualifying gap for option 4. - Procedures and verification: The ESMS provides procedures for incident reporting (with 48-hour notification and 10-working-day response), external grievance handling, and grievance closure with an annual review for lessons learned. These are procedural, with assigned responsibilities and time-bound verification, which supports the "procedural evidence" standard emphasized in the assessment. Gaps relative to the higher standard (Option 5) and to a fully robust ESMS: - Clear, named cross-functional governance with documented terms of reference, senior-management-led meetings, and routine (e.g., quarterly) cross-functional reviews that include community relations and, where relevant, supply chain involvement. The current materials imply collaboration but do not present a formal, ongoing cross-functional governance charter that spans all internal areas and the supply chain. - Explicit integration of Community Relations into the ESMS scope (beyond grievance handling) and formal mechanisms to include community impacts and community input in risk identification and action planning. - Explicit

and measurable cross-functional responsibilities across all key depts (Production/Maintenance, HR, EHS, Communications/CSR, Supply Chain) with defined indicators and verification steps for each area, not only for training and incident/grievance processes. - A more explicit linkage of monitoring plans to prioritized risks, including supply chain risk assessments and periodic (at least annual) comprehensive ESMS reviews. Recommended improvements (aligned to the referenced standards): - Establish and publish a formal cross-functional ESMS governance structure with terms of reference, including senior management sponsor, and a recurring (quarterly) cross-functional committee meeting that reviews prioritized E&S risks, performance, and actions. Ensure Community Relations and Supply Chain are explicitly part of the scope. - Expand the integrated management system scope to explicitly include Quality, EHS/Labor, and Community Relations, with clear interfaces and responsibilities across Production, Maintenance, HR, Communications/CSR, and Sourcing/Procurement. - Develop and implement a documented risk identification and assessment process that requires input from all worker levels and management, plus external stakeholders (communities, clients, regulators). Tie monitoring plans and KPIs directly to prioritized risks (e.g., incident rates, training coverage, grievance resolution times, supplier E&S compliance). - Formalize supply chain E&S risk management: require supplier risk screening, contracting requirements for E&S performance, and periodic supplier audits or reviews integrated into the ESMS. - Strengthen community engagement provisions: establish routine community impact assessments, stakeholder engagement plans, and transparent feedback loops integrated into the action planning and monitoring cycles. - Enhance verification: implement periodic independent audits or external reviews of ESMS effectiveness, with management responses and tracking of closure for identified gaps. In summary, the assessed ESMS demonstrates a solid cross-functional, trained internal team and procedural elements (supporting Option 4). It falls short of a fully integrated, end-to-end governance that includes community relations and supply chain as explicit, routine components (which would reach Option 5). Strengthening governance clarity, expanding scope, and tying monitoring directly to prioritized risks will elevate the ESMS to the higher performance level.

★ ★ Score: 4/5



**The People At My Company Involved In Managing Environmental And Social Risks And Impacts Have The Responsibility And Authority To Do The Following: 1. Develop And Modify Policies 2. Revise And Implement Procedures And Work Instructions 3. Conduct Internal Monitoring 4. Follow Up On The Internal And External Audits To Address Problems 5. Conduct Manager And Worker Training 6. Establish And Manage Worker Communication Channels 7. Coordinate Among The Business Departments To Implement Action Plans 8. Approve Or Veto Business Decisions That Have Significant Potential Negative Impact 9. Hire External Experts As Needed 10. Manage Environmental And Social Issues With Suppliers And Contractors 11. Engage Local Organizations, Government, Trade Union And Other Groups On Issues Related To Workers, Environment And Community 12. Report On Performance To Senior Management**

Option: 10-12 of the above activities (=5)

Justification: Reference standards require that an ESMS clearly defines who is responsible and authorized to manage E&S risks and impacts, with explicit roles, responsibilities, and empowerment to develop policies, revise procedures, conduct monitoring, address findings from audits, train workers, manage communications, coordinate cross-functional action plans, and report to senior management. The GOOD PRACTICE HANDBOOK and ESMS Architecture emphasize an explicit implementation team with designated roles (e.g., Sustainability/HEO/Procurement managers), internal auditing capacity, training and awareness, supplier/contractor management, stakeholder engagement, grievance mechanisms, and formal management reviews. Stakeholder Engagement and Communication Guidance likewise calls out internal/external communications, whistleblower access, grievance handling, engagement protocols, and documented minutes of engagements as standard practice. The assessed ESMS documentation demonstrates: - An ESMS implementation framework with clearly named roles and responsibilities (ESMS Architecture: “organization, roles and responsibilities,” “competency, training and awareness,” “stakeholder engagement and grievance management”). - An implementation team narrative (ESMS Implementation Handbook excerpt) stating responsibilities to develop and implement policies, conduct internal audits, participate in management reviews, conduct management and worker training, and manage suppliers and contractors. - Concrete procedures for internal and external stakeholder communications, grievance mechanisms, and escalation through an external engagement protocol and grievance register (Stakeholder Engagement and Communication Guidance Note). - A system for incident reporting (Incident Reporting Template) linked to governance and response actions. - Coverage of supplier/contractor risk management and engagement with external actors through the ESMS architecture and guidance notes. These elements collectively support at least most of the activities listed (1–7, 10–12). However, there are notable gaps in the documentation regarding two activities: - 8. Approve or veto business decisions that have significant potential negative impact: while governance and management reviews are referenced, the documents do not clearly specify an explicit veto/approval authority for significant

negative E&S impacts at the senior-management or board level, including a defined decision-making process for such approvals. - 9. Hire external experts as needed: there is no explicit procedural detail outlining when external E&S experts may be engaged, who has the authority to hire them, budgeting/governance controls, or how external expertise is integrated into risk assessment, procurement, or action plans. Given the presence of detailed procedures for policy development, procedure/work instruction revision, internal/external audits, training, worker and stakeholder communications, supplier/contractor management, and reporting via management reviews, the evidence supports a high level of compliance across many activities, approaching the level required for 10–12 activities. Yet the absence of explicit authorization for veto power over high-risk decisions and an explicit external-expertise engagement process reduces the support for a perfect 5. Consequently, a defensible selection is 5, recognizing that the majority (10–12) of the activities are supported by procedural evidence, with two clearly identified procedural gaps (authorization/veto mechanism and explicit external-expert engagement process) that constrain a flawless alignment. Gaps relative to reference standards (what to improve): - Governance and decision-making: Define a formal process, including escalation paths and explicit authority for senior management or the board to approve or veto significant negative E&S impacts. Include criteria, thresholds, and timeframes for such decisions, and link to risk register and ESAP when applicable. - External expertise engagement: Create an explicit procedure detailing when, how, and by whom external E&S experts can be engaged, including procurement steps, budgeting, scope definition, selection criteria, contract management, and integration of external findings into the ESMS (risk assessments, action plans, monitoring). Actionable recommendations to reach higher performance (aligned with the reference standards): - Update governance documents to specify: (a) who has veto/approval authority for significant E&S risk decisions, (b) criteria and thresholds for triggering such approval, (c) required documentation (risk assessment summaries, mitigation plans, cost/benefit analyses), and (d) timelines for decision-making with traceable management review minutes. - Add a formal External Expertise Engagement Procedure: define triggers (e.g., gaps in internal capacity, complex risks, regulatory/compliance requirements), criteria for selecting external experts (credentials, independence, past performance), procurement method, contract templates, scope definitions, deliverables, and how recommendations are validated and acted upon within the ESMS. - Strengthen evidence of monitoring and verification: ensure there are explicit indicators, data collection methods, frequency, responsible roles, and verification steps for internal monitoring and for the execution of action plans, including cross-functional coordination evidence (e.g., RACI matrices, cross-departmental meeting minutes, and integration into management reviews). - Enhance management reporting: implement a standardized ESMS reporting pack to senior management with clear KPIs, progress against ESAPs, assurance statements, and escalation of material E&S issues, with documented management review outcomes. In summary, the assessed ESMS documentation demonstrates robust procedural coverage for most of the specified roles and activities, aligning closely with the referenced standards. The two identified gaps—explicit veto/approval authority for high-impact decisions and an explicit process for engaging external experts—prevent a perfect fit for the topmost score. Addressing these gaps will formalize governance and external-expertise engagement, bringing

the ESMS into stronger alignment with the reference frameworks (IFC Performance Standards, Gaps addressed through Stakeholder Engagement, Monitoring and Review, and External Communication/Grievance Mechanisms).

★ ★ Score: 5/5

## Maturity Level

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### Multiple units have E&S responsibilities



Multiple units have E&S responsibilities, and senior management is involved. E&S is managed as an integrated system. New staff receives some E&S management guidance.

## Recommendations

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### Implement Annual ESMS Resource Allocation Plan

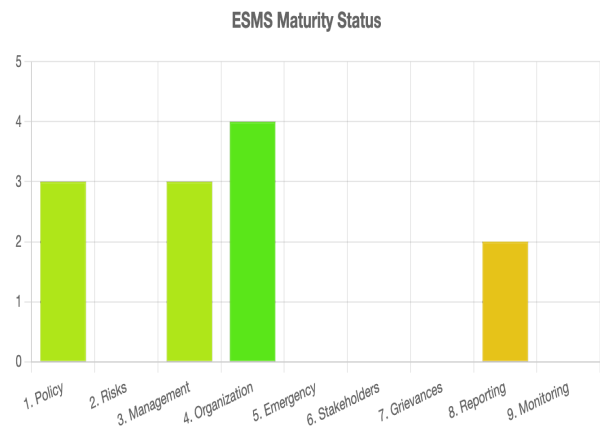
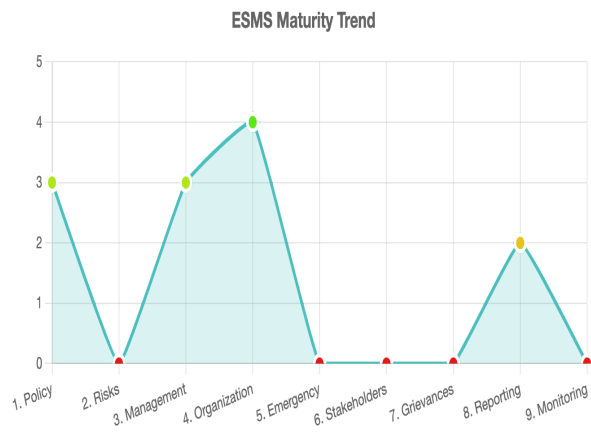


Develop and implement annual ESMS resource allocation plan as part of annual business planning. Increase decision-making authority for the team and add role to job description and performance review.

## Performance Visualization

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This section illustrates highlights the most current score per element. For complete transparency, any unassessed elements are assigned a score of zero.





# ESG Performance Dashboard

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## DASHBOARD OVERVIEW

This dashboard provides a comprehensive summary of performance across all nine categories of IFC Performance Standard 1 (PS1).

Each chart illustrates the trajectory of scores over time, with a focus on the five most recent assessments for each element.

This visualization is designed to support informed decision-making by highlighting trends, measuring progress, and identifying key areas requiring improvement.

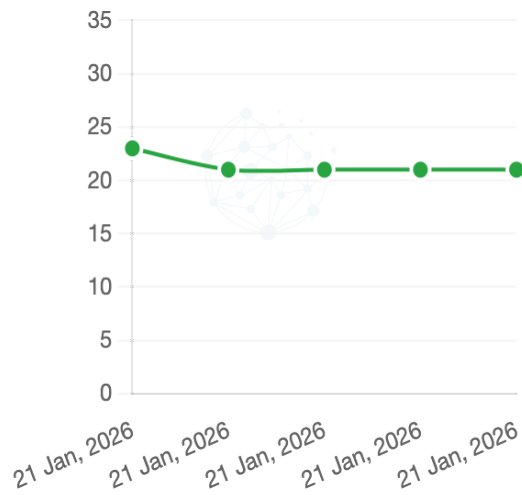
Use this tool to guide continuous enhancement in alignment with IFC's sustainability and risk management framework.

- ❑ **Comprehensive Analysis** - Covers all 9 PS1 categories with detailed scoring
- ❑ **Trend Visualization** - Tracks performance across 5 assessment periods
- ❑ **Gap Identification** - Highlights areas requiring improvement
- ❑ **Actionable Insights** - Supports continuous enhancement of ESG performance



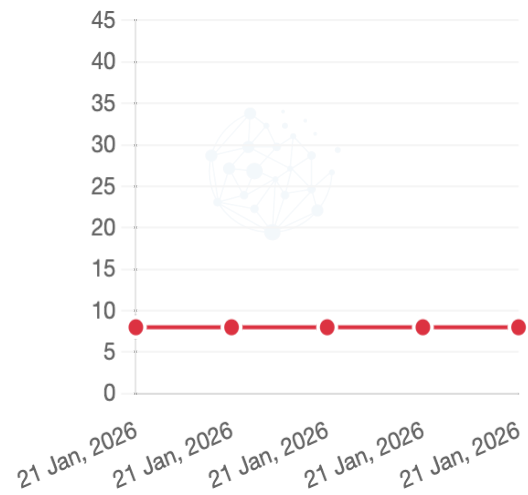
## POLICY SCORE

Current Score: 3/5



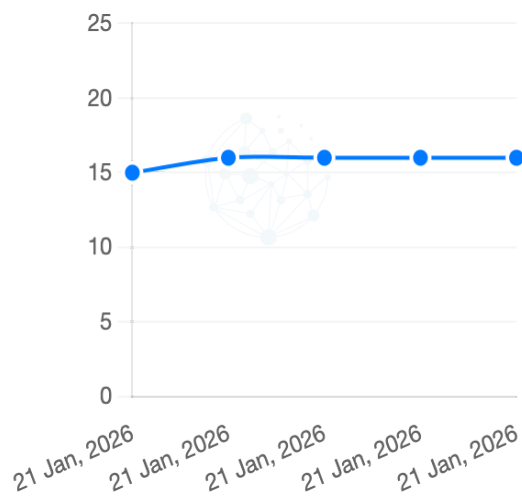
## RISK SCORE

Current Score: 0.89/5



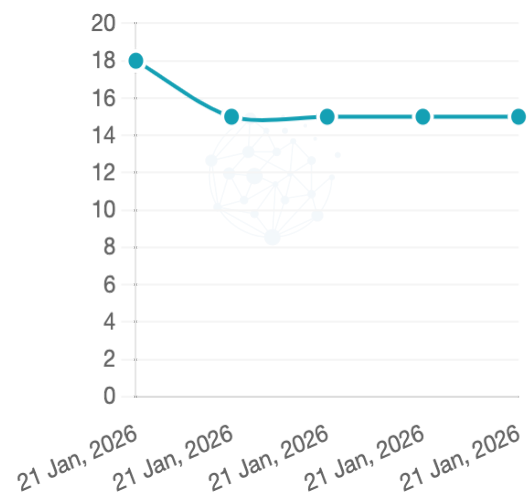
## MANAGEMENT SCORE

Current Score: 3.2/5



## ORGANIZATION SCORE

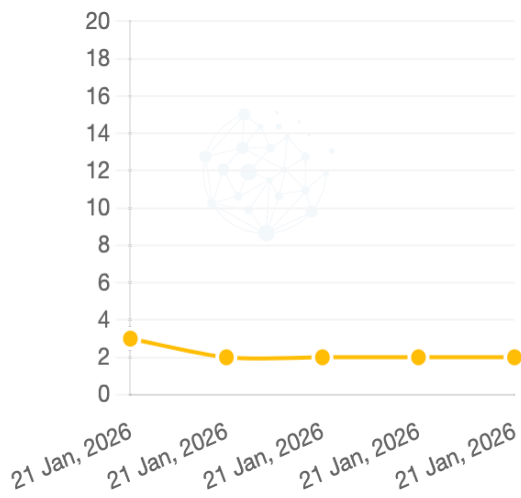
Current Score: 3.75/5





## EMERGENCY SCORE

Current Score: 0.5/5



## STAKEHOLDER SCORE

Current Score: 0/5



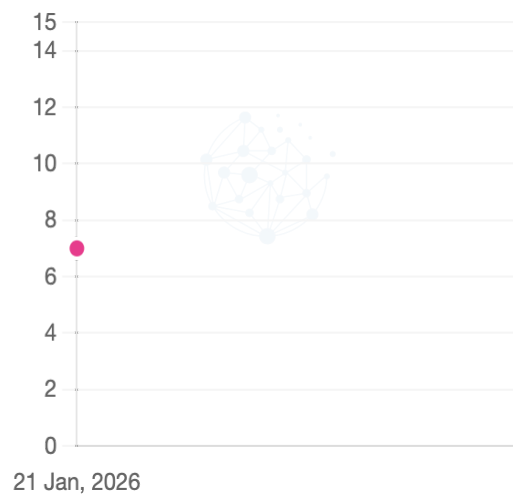
## GRIEVANCE SCORE

Current Score: 0/5



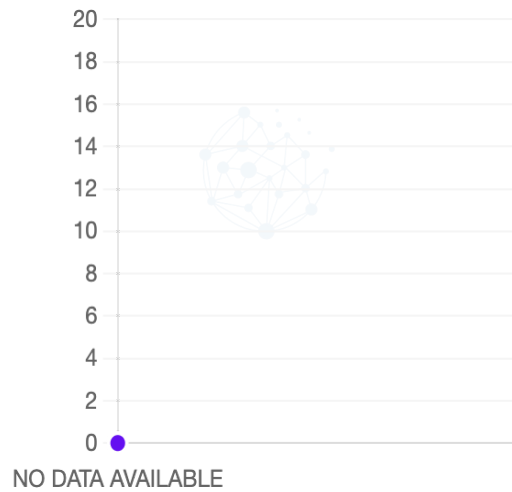
## REPORTING SCORE

Current Score: 2.33/5



## MONITORING SCORE

Current Score: 0/5



"*Sustainable leadership* isn't about being perfect—it's about being *accountable* for every step forward."

— PAUL POLMAN, FORMER UNILEVER CEO

"Building a world where we meet our own needs without denying future generations a healthy society is not impossible ... *The question is where societies choose to put their creative efforts.*"

— CHRISTOPHER FLAVIN, WORLDWATCH INSTITUTE