



ESG DUE DILIGENCE ASSISTANT

# Comprehensive Monitoring Assessment Report

An Evaluation of Sustainability Performance & Strategic  
Innovation Opportunities

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**Project Started:** January 21, 2026



DIGITAL ACCESS

POWERED BY **ESG GLOBAL STANDARDS**

# Monitoring Assessment Results

Detailed sustainability evaluation

3 /5

Sustainability Rating

## **The Following Best Describes Our Monitoring Plan:**

Option: Our monitoring plan is linked to our environmental and social risk assessment, which is reviewed periodically. Monitoring is done for all areas having a potential risk. (=3)

Justification: According to the referenced standards, a robust monitoring plan should be linked to the environmental and social risk assessment, be reviewed periodically, and encompass monitoring for all areas with potential risk, including clear procedures, assigned responsibilities, and indicators for recording, analysis, and reporting. The assessed ESMS documentation shows that Gridworks has an E&S risk management framework embedded in the investment process (Screening, Due Diligence, Monitoring framework) and explicitly states that monitoring activities are carried out by the business development team with support from the ESG lead, with outcomes including updated ESAP and corrective action plans. The EPC and O&M Contractors Monitoring and Oversight Procedure provides the procedural mechanism for ongoing monitoring of contractor performance. A tracker is used to understand risk levels and action status, and monitoring is integrated with the ESAP and Monitoring and Review Procedure. This demonstrates procedural evidence of monitoring activities, responsibilities, and linkage to corrective actions, aligning with option 3's description of "a monitoring plan linked to risk assessment, reviewed periodically, and monitoring for all areas having a potential risk." Strengths and gaps: - Strengths: There is a defined monitoring framework tied to risk management, with explicit roles (business development team and ESG lead), a tracker for risk and action status, and explicit outputs (updated ESAP, corrective action plans). There is procedural content governing monitoring of contractor performance and incident management, and the monitoring results feed into ESAP updates, indicating operational linkage between monitoring and remediation. - Gaps relative to the standards for option 3 (and moving toward option 4): - The documentation does not explicitly articulate the full scope of the monitoring plan across all ES areas beyond contractor oversight (e.g., explicit coverage of OHS, human resources, community, environmental, and security performance as a formal, organization-wide monitoring plan). - There is limited detail on monitoring frequency, specific indicators/metrics, data collection methods, verification steps, and time-bound review cycles beyond general references to ongoing monitoring and ESAP updates. - There is no explicit description of independent verification or internal/external audit coverage within the monitoring framework (which would support a higher score, closer to option 5). - The evidence around training, performance indicators, and documented verification of monitoring results (e.g., audit trails, sign-offs, data quality checks) is not fully developed in the provided text. Recommendations to reach higher performance levels (toward option 4 or 5): - Define a formal, organization-wide Monitoring Plan that explicitly covers all ES areas (environmental, social including OHS, HR, and community), with: - Clear indicators and target levels for each area. - Data collection methods, frequency, and responsible parties (roles clearly assigned to collect, review, and report data). - Verification steps (data quality checks, cross-checks, and independent review where applicable). - Procedures for recording, analyzing, and reporting results, including escalation thresholds and timelines. - Link the Monitoring Plan directly to the E&S risk assessment outcomes, ensuring that areas with potential risk are prioritized

and re-assessed on a defined schedule. - Introduce periodic internal and/or external audits or independent verifications of monitoring results against the ESMS requirements (progress toward option 5), with predefined criteria and disclosure of audit findings. - Enhance documentation around governance: specify cadence (e.g., quarterly monitoring reviews, annual ESMS effectiveness review), approval authorities, and integration with ESAP updates and management reporting. - Expand training and competency development to ensure personnel understand monitoring procedures, data collection protocols, and the use of indicators in decision-making. In sum, the current documentation demonstrates core monitoring activities aligned with risk-based oversight and outputs feeding into ESAP updates, which supports a score of 3. To elevate to a higher score, the organization should formalize a comprehensive, all-encompassing Monitoring Plan with explicit indicators, frequencies, data verification, and independent review mechanisms as described above.

  **Score: 3/5**

## **The Following Best Describes How We Use Our Monitoring Results:**

Option: Besides verifying regulatory compliance, we track our environmental and social performance. We identify areas of under-performance and take suitable corrective/preventive actions to address them. (=3)

Justification: Reference standards require monitoring results to do more than verify compliance: they should (i) track environmental and social performance, (ii) identify under-performance, (iii) implement corrective/preventive actions, and (iv) apply these actions to improve the Environmental & Social Management System (ESMS) over time. In addition, many frameworks emphasize formalized actions to close gaps and move toward continual improvement, with clear responsibilities, frequency, indicators, verification, and a governance approach that involves senior management when appropriate. Assessment against these requirements shows the documentation does track E&S performance and ties results to actions, which supports a score of 3: - Evidence of tracking and responsibilities: The documents describe a monitoring framework where the business development team, with support from the ESG lead, performs monitoring activities. The outcomes reference an updated Environmental & Social Action Plan (ESAP) and corrective action plans, indicating that findings are used to drive remediation. There is a Monitoring and Review Procedure and a staff-allocated structure for data collection and action tracking. - Presence of procedural elements: There are explicit steps and procedures for incident reporting and management, contractor monitoring, and overarching monitoring and reporting processes. The documents specify KPIs, data collection frequency, assigned responsibilities, and the use of tools or templates (e.g., an ESMS/exclusion-tool approach for screening and categorization, and an ERP-like monitoring framework for portfolio data). - Gaps relative to the higher levels: While corrective actions and ESAP updates are described, there is no clear, documented evidence of a formal, organization-wide obligation to continually improve the ESMS itself (i.e., a dedicated continual-improvement loop with measurable ESMS performance targets and an explicit senior-management-driven improvement plan). There is also no explicit reference to annual improvement plans with progressive ES performance targets set by senior management, nor a stated mechanism for independent verification or external validation of continuous improvement progress. Specific gaps observed: - Absence of a formal, senior-management-driven continuous improvement cycle for the ESMS (no explicit annual improvement plan or progressive targets tied to ESMS performance). - Limited explicit linkage between monitoring findings and a documented, auditable escalation path or verification steps to ensure effectiveness of corrective/preventive actions beyond ESAP updates. - While KPIs and data collection are described, there is insufficient detail on the frequency, verification methods, and owner-level accountability for improvement actions that would demonstrate ongoing ESMS enhancement. Recommendations to reach a higher performance level (aligned with the reference standards): - Establish a formal, annual ESMS Improvement Plan led by senior management, with clear performance targets, milestones, and time-bound actions that demonstrate progressive environmental and social performance improvements. - Define explicit verification and validation steps for corrective/preventive actions (e.g., independent review or internal audit trails, post-

implementation verification, and periodic closure checks) to confirm actions are effective. - Strengthen the link between monitoring outputs and ESMS updates: require documented changes to ESMS procedures, tools, or controls whenever persistently under-performing indicators are identified, with versioned documentation and management sign-off. - Expand governance with explicit escalation paths: ensure findings, especially high-risk or systemic issues, trigger board-level or ESMS governance reviews and documented action plans with assigned owners and due dates. - Enhance transparency and evidence: require standardized, auditable post-action reports that demonstrate how corrective actions affected KPI trends, including pre/post comparisons and verification results. - Consider integrating a TPM-like or independent verification cadence for critical ESMS elements (e.g., health & safety, environmental permit compliance, stakeholder engagement effectiveness) to strengthen credibility of improvements. In summary, the assessed ESMS documentation demonstrates core monitoring, corrective actions, and ESAP updates, which align with level 3. To advance to level 4 or 5, the organization should implement a formal, senior-management–driven continual improvement framework with measurable targets, explicit verification of actions, and a structured mechanism for ongoing ESMS enhancement based on monitoring results.

  **Score: 3/5**

## **The Following Best Describes Senior Management Involvement In The Review Of Our Environmental And Social Management System:**

Option: Senior management periodically receives information summarizing our environmental and social performance and progress in the implementation of our action plans. (=2)

Justification: Reference standards (as described in the provided context, notably the Monitoring and Review guidance and the Management Review concepts from the ESMS framework) require that senior management receive regular, structured input on environmental and social (E&S) performance and the progress of action plans, with formalized information flows, defined responsibilities, and documented review outcomes. In the IFC/World Bank materials cited, the Management Review is a formal, periodic (e.g., every 3-6 months initially, then annually) process led by the ESMS Team, with minutes, decisions, and resource allocation clearly recorded. This level of governance is designed to ensure ongoing senior management oversight, accountability, and the ability to reallocate resources based on performance and risk. Evaluation of the assessed ESMS documentation shows: - There is explicit organizational responsibility for E&S performance, with roles like ESG Lead and involvement of the business development team in monitoring and ESAP/ corrective actions. The documentation indicates monitoring activities are performed with support from the ESG Lead (e.g., "monitoring activities with the support of the ESG lead" and "Outcome: updated ESAP, corrective action plan"). This demonstrates procedural execution of monitoring and action planning. - There is a formal structure for incident reporting and management, and an escalation path (e.g., Incident Reporting Procedure, sign-off by individuals such as the General Director in the Grievance Redress Policy). These elements reflect governance and accountability, but they do not constitute a documented, regular senior-management management review with minutes, prior-agenda topics, and resource decisions for ESMS improvement. - The ESMS Manual references E&S roles, responsibilities, and capacity building, and there are procedures for monitoring/oversight of EPC and O&M contractors, but there is no explicit, recurring senior management management-review cadence, nor documented management-review minutes or formal integration of ESMS improvements into annual planning. Gaps relative to the standard: - No explicit description of a formal senior-management management review meeting cadence (e.g., quarterly or annual), with minutes, topics, decisions, and required actions tied to an ESMS Improvement Plan. - Absence of documented integration of ESMS performance review into official annual business planning and resource allocation processes, beyond general sign-offs and ongoing monitoring. - No clear frequency and format for reporting to senior management (e.g., summarized dashboards, agreed KPIs, and review of action-plan progress) that would demonstrate periodic, structured oversight. Recommendations to reach higher performance (aligned with the referenced standards): - Establish a formal Senior Management Management Review mechanism: set a cadence (e.g., quarterly initially, moving to biannual/annual as mature) with a defined agenda including ESMS performance against KPIs, progress on the ESAP, compliance status, incident trends, and resource needs. Require formal minutes and a central repository. - Link ESMS

Improvements to annual planning: incorporate an official ESMS Improvement Plan into annual business planning, with defined targets, owners, milestones, and budget/resource allocations. Ensure senior management signs off on the plan and periodically revisits progress. - Develop standardized ESMS dashboards for senior management: create quantitative and qualitative indicators (e.g., number of findings/Closed Actions, time-to-close, training/compliance rates, contractor E&S performance, incident frequency/severity) and present these in management reviews. - Clarify responsibilities and escalation: map responsibilities across ESG Lead, business development, operations, and portfolio companies, including escalation pathways for high-risk issues, with defined response times and verification steps. - Ensure documentation and verification: require documented management-review minutes, action plans, and verification of closed actions, with attachable evidence (e.g., audit results, corrective action verification, updated risk registers). In summary, the assessed ESMS documentation demonstrates procedural monitoring and action-planning at an operational level but lacks the explicit, formal senior-management management-review process described in the reference standards. A targeted implementation of a formal management review cadence, integrated ESMS improvements in annual planning, and standardized reporting will elevate the alignment to the higher end of the scale (toward option 3/4/5 as implemented).

  **Score: 2/5**

**We Use The Following Resources And Methods To Monitor Our Environmental And Social Performance:**

- 1. Use Calibrated Testing And Measuring Devices**
- 2. Review Documents And Records (E.G. Policies, Procedures, Employment Contracts, Payslips, Timecards, Complaint Logs, Utility Bills, Water Meter Logs, Records Of Purchased Chemicals, Training Records)**
- 3. Review Labor Inspection Records**
- 4. Review Environmental Inspection Records**
- 5. Conduct Physical Inspections Of Our Facility**
- 6. Surveys And Questionnaires**
- 7. Talk To Workers**
- 8. Talk To Managers And Supervisors**
- 9. Talk To Affected Communities**
- 10. Ask Customers To Share Guidance**
- 11. Seek Advice From External Consultants And Experts:**

Option: We use 7-8 of the resources above. (=4)

Justification: Reference standards require a robust, evidence-based approach to monitoring environmental and social (E&S) performance that includes a mix of quantitative and qualitative methods, clearly defined procedures, assigned responsibilities, monitoring frequencies, indicators, and verification steps. Specifically, the referenced materials emphasize the PDCA approach (Plan-Do-Check-Act), the establishment of monitoring plans with KPIs, data collection methods and responsible individuals, and ongoing communication with stakeholders (including affected communities) with evidence in documentation.

They also expect routine use of diverse monitoring activities (physical inspections, interviews with workers and managers, document reviews, and external inputs) and a systematic escalation and verification of results, not merely policy statements.

Assessment against the referenced requirements: - Procedural evidence present: The ESMS documentation includes a “Monitoring and Review” construct in Gridworks’ framework, detailing steps to identify monitoring goals and objectives, determine data collection methods, assign responsibilities, develop tools to capture/store/analyze data, and disseminate results. It also notes that monitoring frequency should be commensurate with E&S risk and project value, and that E&S objectives are integrated into management reviews; it further provides a set of sample monitoring indicators (e.g., energy/water use, waste, emissions, incidents, training metrics). This aligns with the requirement for procedural, repeatable monitoring with defined roles and indicators.

- Stakeholder and communication emphasis: The reference materials stress ongoing communication with affected communities and involvement of key units in review processes (including workers, customers, suppliers) and the recommendation to audit/report progress, indicating a need for documented stakeholder engagement and reporting flows. The assessed documentation includes a Grievance Redress Policy and a Health & Safety Policy with elements of communication to workers (and contractors) and escalation/approval processes, suggesting some procedural engagement with stakeholders, though not fully enumerated for all listed resources.

- Evidence coverage of the listed resources: The documented evidence demonstrates: - Review documents and records: implied in the monitoring/data collection and KPI development; specific “records” are not itemized in a comprehensive, accessibly traceable way within the excerpts provided, but the framework supports document review as a data source.

- Physical inspections: referenced via the ESMS basics

(visual observations, facility walk-throughs) and the monitoring methodology that includes inspections and supervision activities. - Talk to workers/managers: the monitoring framework contemplates interviews/consultations as part of the evidence base; grievance mechanisms imply worker engagement. - Affected communities: the program references ongoing communication with affected communities and reporting, though the specific documented practice in the supplied excerpts is more policy-oriented than fully evidenced through concrete, periodic communications. - External consultants/expert input: the reference standards indicate external consultant involvement as required; the documents acknowledge this, stating external inputs can be involved as needed. - Other listed resources (calibrated devices; survey/questionnaires; environmental/labor inspection records; customer guidance) are variably evidenced. There is no explicit mention in the excerpts of calibrated testing devices, formal surveys/questionnaires, or explicit environmental/labor inspection records, and customer guidance is not clearly documented. External consultants are acknowledged as needed, but the frequency and triggers for their involvement are not fully detailed in the accessible excerpts. Gaps and strengths relative to the standards: - Strengths: - Clear mechanism for monitoring planning, data collection, responsibility assignment, and data analysis (KPIs, frequency, and dissemination). This satisfies core procedural requirements for Check/Monitor steps and indicates a move toward continuous improvement. - Evidence of governance around grievance handling and worker communications, consistent with ongoing stakeholder engagement and grievance resolution pathways. - Gaps: - Incomplete documentation of specific resource usage for monitoring (e.g., calibrated testing devices, explicit environmental/labor inspection records, and formal surveys/questionnaires). The absence of explicit references to these resources reduces demonstrable alignment with the full spectrum of monitoring resources listed in the reference question. - Frequency and verification steps for some monitoring activities are not fully specified in the excerpts (e.g., exact cadence for inspections, the specific roles responsible for data verification, and the formal review cadence tied to each KPI). - Evidence of annual reporting to affected communities is not clearly demonstrated via documented records in the excerpts provided; there is policy-level language but limited verifiable documentation of ongoing, annual updates. - The explicit link between the monitoring outputs and ESMS management reviews (beyond general statements) could be strengthened with concrete management review minutes, action tracking, and closure rates. Recommendations to improve toward higher scores (based on the standards): - Expand procedural evidence to explicitly tie each monitoring resource to a documented flow: - Calibrated devices: specify the types of instruments used, calibration frequency, maintenance logs, and acceptance criteria; attach calibration certificates and calibration schedules to the monitoring plan. - Environmental and labor inspection records: implement a formal registry of inspection findings with assigned responsibilities, corrective action timelines, and verification checks; link findings to the ESAP and management review inputs. - Surveys/questionnaires: develop standardized worker and stakeholder survey instruments; define sampling methods, frequency (e.g., annual or semi-annual), data analysis approach, and how results feed into action plans. - Customer guidance: document mechanism for collecting customer feedback or guidance (e.g., feedback forms, stakeholder meetings) and how inputs influence E&S decisions. - Strengthen stakeholder engagement evidence: - Create and maintain

an annual disclosure/reporting package to affected communities, with a policy and a concrete schedule, including language accessibility, formats, and channels; archive representative communications (minutes, summaries, translations). - Include explicit references to who (roles), how (channels), and how often (cadence) stakeholder communications occur, with a visible link to the ESMS management review process. - Deepen monitoring governance: - Define an internal audit or verification plan (e.g., an internal E&S audit plan with frequency, scope, and responsible auditing team), aligned with the “Monitoring

  **Score: 4/5**

## **Maturity Level**

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### **Routine Review of Monitoring and Supervision Activities**



Routine review of monitoring and supervision activities, including participation of workers. Corrective actions routinely implemented. An E&S internal audit plan is in place.

## **Recommendations**

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### **Involve Workers and Review Monitoring Data**



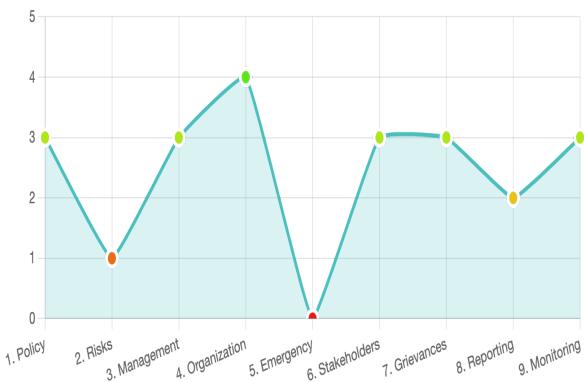
Train and involve workers in the monitoring activities. Include monitoring system and results in formal and periodic management review and updates of risk identification and management programs.

## **Performance Visualization**

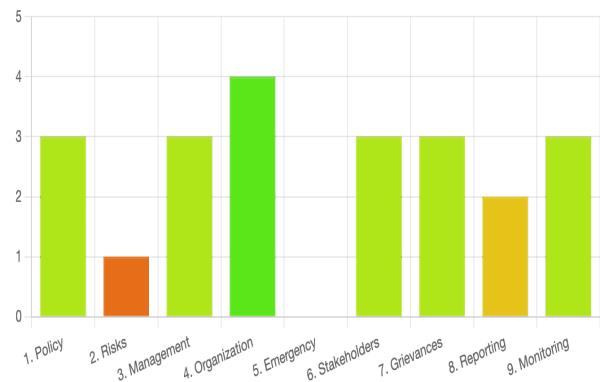
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This section illustrates highlights the most current score per element. For complete transparency, any unassessed elements are assigned a score of zero.

ESMS Maturity Trend



ESMS Maturity Status



# 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.

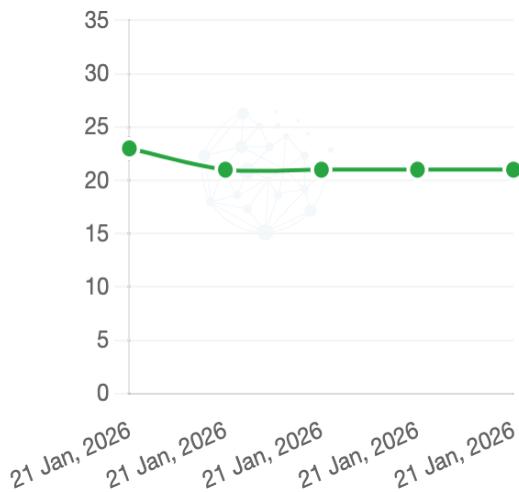
This visualization is designed to support informed decision-making by highlighting trends, measuring progress, and identifying key areas requiring improvement.

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

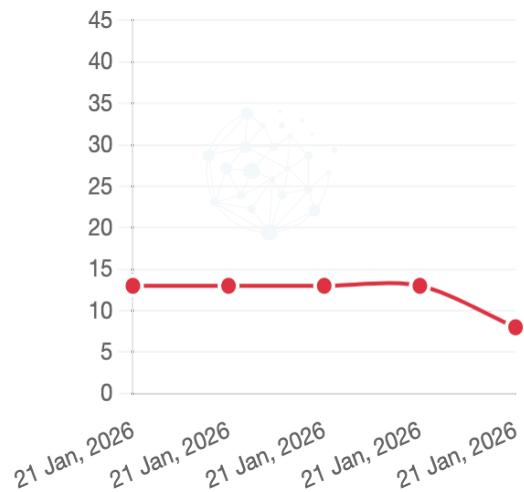
## 📊 POLICY SCORE

Current Score: 3/5



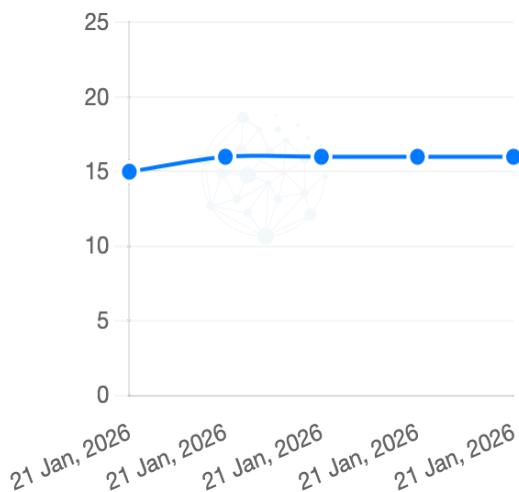
## ⚠️ RISK SCORE

Current Score: 0.89/5



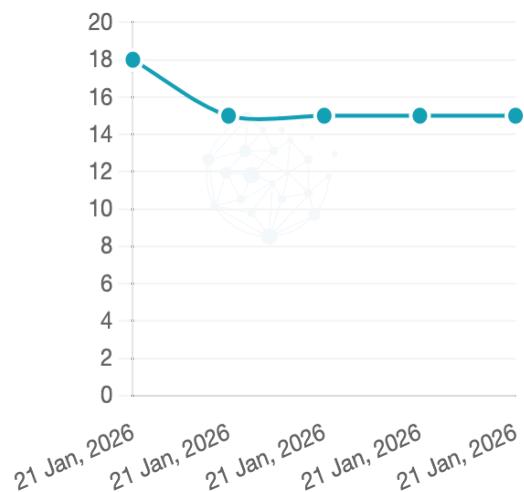
## 👤 MANAGEMENT SCORE

Current Score: 3.2/5



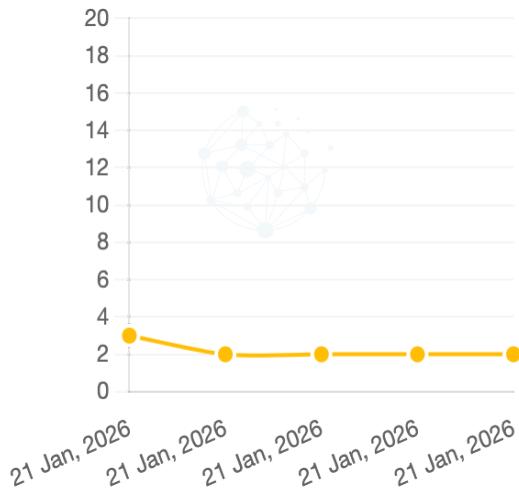
## 🏢 ORGANIZATION SCORE

Current Score: 3.75/5



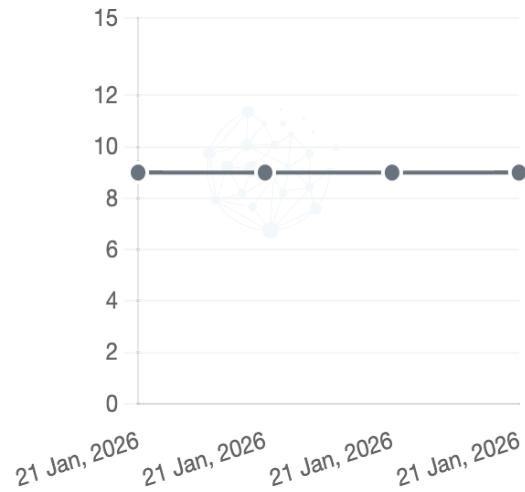
## ⚠️ EMERGENCY SCORE

Current Score: 0.5/5



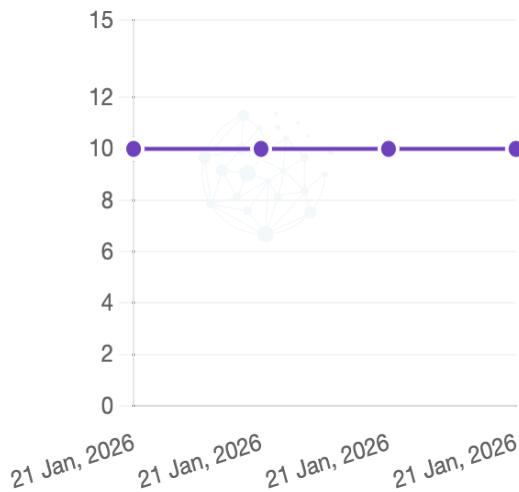
## ��️ STAKEHOLDER SCORE

Current Score: 3/5



## 💬 GRIEVANCE SCORE

Current Score: 3.33/5



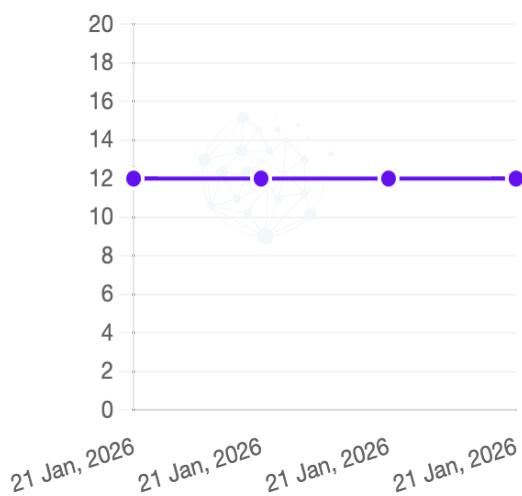
## 📝 REPORTING SCORE

Current Score: 2.33/5



## ↗ MONITORING SCORE

Current Score: 3/5



"*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