



中国证券投资基  
基金业协会  
Asset Management Association of China

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《绿色投资指引（试行）》  
*Green Investment Guidelines*  
*(For Trial Implementation)*

中国证券投资基  
基金业协会

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Asset Management Association of China

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# 绿色投资指引（试行）

## *Green Investment Guidelines*

### *(For Trial Implementation)*

#### 第一章 总则

#### Chapter 1 General Provisions

**第一条** 为贯彻落实党的“十九大”关于发展绿色金融，建立健全绿色低碳循环发展的经济体系的要求和七部委《关于构建绿色金融体系的指导意见》，鼓励基金管理人关注环境可持续性，强化基金管理人对环境风险的认知，明确绿色投资的内涵，推动基金行业发展绿色投资，改善投资活动的环境绩效，促进绿色、可持续的经济增长，根据《证券投资基金法》、《公开募集证券投资基金运作管理办法》和《私募投资基金监督管理暂行办法》等相关法律法规和行业自律规则，制定本指引。

**Article 1** In accordance with the *Securities Investment Fund Law of the People's Republic of China*, *Administrative Measures for the Operations of Publicly Offered Securities Investment Funds*, *Interim Measures for the Supervision and Administration of Privately Offered Investment Funds* and other relevant laws, regulations and industry self-regulatory rules, to practice the requirements laid out by the 19th National Congress of the Communist Party of China with regard to developing green finance and promoting a sound economic system that facilitates green, low-carbon, and circular development, implement the *Guidelines for Establishing the Green Financial System* published by seven ministries and commissions, encourage fund managers to focus on environmental sustainability, enhance fund managers' understanding of environmental risks, specify the connotation of green investment, advance green investment in the fund industry, improve the environmental performance of investment activities, and facilitate green and sustainable economic growth, the *Green Investment Guidelines* (hereinafter referred to as the Guidelines) is hereby formulated.



**第二条** 本指引适用于公开和非公开募集证券投资基金或资产管理计划的管理人及其产品。私募股权投资基金管理人可参考本指引确定绿色投资范围,并根据自身情况对绿色投资的适用方法做出相应调整。各类专业机构投资者可参考本指引开展绿色投资。

**Article 2** The Guidelines applies to publicly and non-publicly offered securities investment funds or managers of asset management plans and their products. Managers of private equity investment funds can determine the scope of green investment with a reference to the Guidelines, and make adjustments to the application methods of green investment based on their own conditions. Professional institutional investors may also engage in green investment with a reference to the Guidelines.

**第三条** 绿色投资是指以促进企业环境绩效、发展绿色产业和减少环境风险为目标,采用系统性绿色投资策略,对能够产生环境效益、降低环境成本与风险的企业或项目进行投资的行为。绿色投资范围应围绕环保、低碳、循环利用,包括并不限于提高能效、降低排放、清洁与可再生能源、环境保护及修复治理、循环经济等。

**Article 3** Green investment refers to the act of adopting systematic green investment strategies in the investment in enterprises or projects which can produce environmental benefits, lower environmental costs, and reduce environmental risks for the purpose of improving corporate environmental performance, developing green industry and reducing environmental risks. Green investment should include but not limited to enhancement of energy efficiency, emission reduction, clean and renewable energies, environmental protection and restoration, and circular economy, with a focus on environmental protection, low-carbon development and recycling, etc.

**第四条** 基金管理人可根据自身条件,在可识别、可计算、可比较的原则下,建立适合自己的绿色投资管理规范,在保持投资组合稳定回报的同时,增强在环境可持续方向上的投资能力。有条件的基金管理人可以采用系统的 ESG 投资方法,综合环境、社会、公司治理因素落实绿色投资。

**Article 4** Fund managers can, based on their own conditions, establish suitable green investment administration specifications following the principles of identifiability, calculability and comparability, and enhance investment

capacity on environmental sustainability while ensuring stable returns from their portfolio. Where conditions permit, fund managers can adopt systematic ESG investment approaches to engage in green investment by integrating environmental, social and governance factors.

**第五条** 为境内外养老金、保险资金、社会公益基金及其他专业机构投资者提供受托管理服务的基金管理人，应当发挥负责任投资者的示范作用，积极建立符合绿色投资或 ESG 投资规范的长效机制。

**Article 5** Fund managers who provide fiduciary management services for domestic and overseas pension funds, insurance funds, public welfare funds and other professional institutional investors should play an exemplary role as responsible investors and work proactively to establish a long-term mechanism in line with green investment or ESG investment norms.

## 第二章 目标和原则

### Chapter 2 Objectives and Principles

**第六条** 基金管理人应根据自身条件，逐步建立完善绿色投资制度，通过适用共同基准、积极行动等方式，推动被投资企业关注环境绩效、完善环境信息披露，根据自身战略方向开展绿色投资。绿色投资应基于以下基本目标：

**Article 6** Fund managers should, based on their own conditions, gradually establish and improve the green investment system and, through applying common benchmark and taking proactive actions, prompt investee enterprises to focus on environmental performance, enable sound disclosure of environmental information and engage in green investment in accordance with their strategic direction. Green investment should be practiced based on the following fundamental objectives:

(一) 促进绿色环保产业发展。将基金资产优先投资于直接或间接产生环境效益的公司及产业，发展节能环保产业链，促进清洁能源开发与使用、节能环保投资与环保标准改善。

(1) Promote the development of green and environmentally-friendly industries. Priority should be given to investment of fund assets in enterprises and industries which can directly or indirectly produce environmental benefits, so as

to grow the energy conservation and environmental protection industry chain, facilitate development and use of clean energies, promote investment in energy conservation and environmental protection, and improve environmental protection standards.

(二) 促进资源循环利用与可持续发展。将基金资产优先投资于可再生能源及资源循环利用的公司及产业，引导产业结构向可持续发展方向积极转型。

(2) Encouraging resource recycling and sustainable development. Priority should be given to investment of fund assets in enterprises and industries working on renewable energies and resource recycling, with an aim to steer proactive transformation of the industrial structure towards sustainable development.

(三) 促进高效低碳发展。合理控制基金资产的碳排放水平，将基金资产优先投资于资源使用效率更高、排放水平更低的公司及产业。

(3) Fuel efficient and low-carbon development. Carbon emissions associated with fund assets should be controlled properly, and priority should be given to investment of fund assets in enterprises and industries with higher resource efficiency and lower emissions.

(四) 履行负责任投资，运用投资者权利，督促被投资企业改善环境绩效并提高信息披露水平。针对相关公司及产业适用更高的污染物排放标准和环境信息披露标准。

(4) Adopt responsible investment practices and leverage investors' rights to urge investee enterprises to improve their environmental performance and information disclosure. Relevant enterprises and industries should be subject to higher standards for pollutant emissions and environmental information disclosure.

**第七条** 基金管理人设立绿色投资主题基金或基金投资方针涵盖绿色投资时，应遵循以下基本原则：

**Article 7** Fund managers should act upon the following principles in times of establishing green investment funds or incorporating green investment in their investment policies:

(一) 优先投向与环保、节能、清洁能源等绿色产业相关的企业和项目，在环保和节能表现上高于行业标准的企业和项目，在降低行业总体能耗、履

行环境责任上有显著贡献的企业和项目，或经国家有关部门认可的绿色投资标的。

(1) Fund managers should prioritize investment in enterprises and projects that pertain to green industries like environmental protection, energy conservation and clean energy, that outperform industry standards in terms of environmental protection and energy conservation, or that contribute significantly to lowering industries' overall energy consumption and assuming environmental responsibilities, or green investment targets recognized by relevant national authorities.

(二) 主动适用已公开的行业绿色标准筛选投资标的，如《中国证监会关于支持绿色债券发展的指导意见》、《绿色信贷指引》及沪深交易所关于开展绿色公司债券试点的相关要求、中国金融学会绿色金融专业委员会《绿色债券支持项目目录》、国家发展和改革委员会《绿色债券发行指引》、国际《绿色债券原则(GBP)》和《气候债券标准(CBI)》等。

(2) Fund managers should willingly adopt industries' green standards which have been made public when selecting investment targets, such as the *Guiding Opinions of the China Securities Regulatory Commission on Supporting the Development of Green Bonds*, the *Green Credit Guidelines*, relevant requirements of the Shanghai Stock Exchange and the Shenzhen Stock Exchange on carrying out pilot programs for green corporate bonds, the *Catalogue of Projects Supported by Green Bonds* published by the Green Finance Committee of China Society for Finance and Banking, the *Guidelines for Green Bond Issuance* published by the National Development and Reform Commission, and international standards such as *Green Bond Principles (GBP)* and *Climate Bonds Initiative (CBI)*.

(三) 设立并运作绿色投资主题基金时，应当符合《公开募集证券投资基金运作管理办法》、《私募投资基金监督管理暂行办法》或相关自律规则的规定。

(3) When establishing and managing green investment funds, fund managers should act in accordance with the *Administrative Measures for the Operations of Publicly Offered Securities Investment Funds*, the *Interim Measures for the Supervision and Administration of Privately Offered Investment Funds*, or relevant self-regulatory rules.

### 第三章 基本方法

## Chapter 3 Basic Approaches

**第八条** 开展绿色投资的基金管理人应当配置研究人员或研究团队，深入分析绿色投资标的中与环境相关的业务、服务或投入要素，逐步构建和完善绿色投资相关数据库、方法论和投资策略。

**Article 8** Fund managers engaging in green investment should be staffed with researchers or research teams, so as to thoroughly analyze environment-related businesses, services or inputs in green investment targets, and gradually construct and improve databases, methodologies and investment strategies for green investment.

**第九条** 开展绿色投资的基金管理人可自行或通过第三方构建标的资产环境评价体系和环境评价数据库。标的资产环境评价指标应包括以下几个维度：

**Article 9** Fund managers engaging in green investment can, independently or via a third party, construct environmental assessment systems and environmental assessment databases for underlying assets. The environmental assessment indicators for underlying assets should include the following dimensions:

（一）环境风险暴露，包括行业环境风险暴露、企业或项目环境风险暴露情况；

(1) Environmental risk exposure, including the exposure of industries, enterprises or projects to environmental risks;

（二）负面环境影响，包括单位能耗、污染物排放水平、碳排放强度、环境风险事件以及受环境监管部门处罚情况；

(2) Negative environmental impacts, including energy consumption per unit, pollutant emission level, carbon emission level, environmental risk events and punishments imposed by environmental regulators;

（三）正面绿色绩效，包括公司业务或项目募集资金投向是否产生环境效益、绿色投入与绿色业务发展情况、绿色转型和产业升级情况；

(3) Positive green performance, including whether investments made through the company's business or funds raised produce environmental benefits, green inputs and development of green businesses, and green transition and industrial upgrading;



(四)环境信息披露水平,包括是否披露与主营业务相关的环境信息、是否披露关键定量指标以及环境目标完成情况。

(4) Environmental information disclosure level, including whether environmental information related to primary businesses, key quantitative indicators, and achievement of environmental goals is disclosed.

**第十条** 基金管理人可以进行多元化的绿色投资产品开发。发行、运作主动管理的绿色投资产品时,应披露绿色基准、绿色投资策略以及绿色成分变化等信息。

**Article 10** Fund managers should engage in diversified development of green investment products. When developing and operating actively managed green investment products, they should disclose information such as green benchmark, green investment strategies and any change in green components.

**第十一条** 主动管理的绿色投资产品,应当将绿色因素纳入基本面分析维度,可以将绿色因子作为风险回报调整项目,帮助投资决策。

**Article 11** In the case of actively managed green investment products, fund managers should incorporate green factors into analysis of fundamentals. They can include green factors as a risk-return adjustment item, so as to inform investment decisions.

**第十二条** 主动管理的绿色投资产品,应当将不符合绿色投资理念和投资策略的投资标的纳入负面清单。在组合管理过程中,应当定期跟踪投资标的的环境绩效,更新环境信息评价结果,对资产组合进行仓位调整,对最低评级标的仓位加以限制。

**Article 12** In the case of actively managed green investment products, fund managers should include investment targets which do not comply with green investment philosophies or investment strategies into a negative list. In the process of portfolio management, fund managers should regularly track the environmental performance of investment targets, update environmental information assessment results, adjust positions in their portfolio, and limit the positions of lowest-rated targets.



**第十三条** 开展绿色投资的基金管理人应当有高级管理人员确立绿色投资理念和投资目标，并对绿色投资体系建设和运行进行监督管理。

**Article 13** Fund managers engaging in green investment should be staffed with senior executives. The senior executives are responsible of establishing green investment philosophies and investment goals, as well as executing supervision and administration on green investment system construction and operation.

## 第四章 监督和管理

### Chapter 4 Supervision and Administration

**第十四条** 基金管理人应每年开展一次绿色投资情况自评估，报告内容包括但不限于公司绿色投资理念、绿色投资体系建设、绿色投资目标达成等。

**Article 14** Fund managers should conduct annual self-assessment of green investment and prepare a report which includes but is not limited to the company's green investment philosophy, construction of green investment system, and review of green investment goals.

**第十五条** 基金管理人应于每年 3 月底前将上一年度自评估报告连同《基金管理人绿色投资自评表》（详见附件一）以书面形式报送中国证券投资基金业协会。

**Article 15** Fund managers should submit in writing their self-assessment report of the previous year and the *Fund Manager's Green Investment Self-Assessment Form* (See Annex 1) to the Asset Management Association of China by the end of March.

**第十六条** 中国证券投资基金业协会不定期对基金管理人绿色投资的开展情况进行抽查，基金管理人应对发现的问题提供解释说明并及时整改。

**Article 16** The Asset Management Association of China will conduct spot checks on green investment practices of fund managers on an irregular basis. Fund managers should provide explanations for any detected problems and make timely rectifications.



## 第五章 附 则

### Chapter 5 Supplementary Provisions

第十七条 本指引由中国证券投资基金业协会负责解释。

**Article 17** The Guidelines shall be subject to explanation by the Asset Management Association of China (AMAC).

第十八条 本指引自发布之日起施行。

**Article 18** The Guidelines shall come into force at the date of promulgation.



## 附件一：基金管理人绿色投资自评表

### Annex 1: Fund Manager's Green Investment Self-Assessment Form

评价项目 Item	序号 No.	评价内容 Content	评价结果 Result		补充说明 Supplementary Explanation
			是 Yes	否 No	
绿色投资理念和体系建设情况 Green Investment Philosophy and System Construction	1	是否在公司战略中纳入绿色投资理念 Has green investment philosophy been involved in the corporate strategy?	是 Yes	否 No	
	2	是否建立绿色投资业务目标 Have green investment goals been established?	是 Yes	否 No	
	3	是否经常开展关于绿色投资应用方法的学习 Are studies on application methods of green investment carried out frequently?	是 Yes	否 No	
	4	是否配置研究人员进行绿色投资研究 Are there any researchers working on green investment research?	是 Yes	否 No	
	5	是否有管理人员对绿色投资进行监督和管理 Are there any executives conducting supervision and administration of green investment?	是 Yes	否 No	
绿色投资产品运作情况 Operation of Green Investment Products	6	是否建立绿色投资标的评价方法 Are there any evaluation methods for green investment targets?	是 Yes	否 No	
	7	拟投资标的是否要求绿色评价报告 Is a green assessment report required for proposed investment targets?	是 Yes	否 No	
	8	是否建立特定的绿色投资策略 Are there any specific green investment strategies?	是 Yes	否 No	
	9	是否满足绿色投资产品的持仓要求和持仓比例 Are the requirements on holdings and proportion of holdings of green investment products satisfied?	是 Yes	否 No	
	10	是否督促被投资企业改善环境绩效并提高披露水平 Are the investee enterprises urged to improve their environmental performance and information disclosure?	是 Yes	否 No	
绿色投资环境风险控制情况 Environmental Risk Control in Green	11	是否建立环境负面清单 Is there an environmental negative list?	是 Yes	否 No	



Investment					
	12	是否建立环境风险监控机制 Is there an environmental risk monitoring mechanism?	是 Yes	否 No	
	13	是否对所投资产进行环境风险压力测试 Is any stress testing against environmental risks conducted for invested assets?	是 Yes	否 No	
	14	是否有效避免投资于出现环境违规的标的 Is investment in targets with environmental violations effectively avoided?	是 Yes	否 No	
绿色投资相关信息披露 Disclosure of Information Related to Green Investment	15	是否公开披露绿色投资理念及应用方法 Are green investment philosophy and application methods publicly disclosed?	是 Yes	否 No	
	16	是否有定期设定并披露绿色投资目标完成情况 Are green investment goals regularly set and their review results regularly disclosed?	是 Yes	否 No	
	17	是否有定期披露绿色投资产品的绿色程度 Is the greenness of green investment products regularly disclosed?	是 Yes	否 No	
	18	是否有定期披露绿色投资产品的成分变化情况 Is any compositional variation of green investment products regularly disclosed?	是 Yes	否 No	
	19	是否有使用定量的方法披露所投资产对环保、低碳、循环的贡献 Are quantitative methods used in disclosing the contribution of invested assets to environmental protection, low-carbon development and recycling?	是 Yes	否 No	
其他 Others	20	是否有创新性的使用绿色投资应用方法 Are green investment application methods used in an innovative manner?	是 Yes	否 No	

# 《绿色投资指引（试行）》起草说明

## Drafting of *Green Investment Guidelines* (*For Trial Implementation*)

### 一、《指引》起草背景

#### 1. Background

《指引》是落实绿色发展理念和七部委《关于构建绿色金融体系的指导意见》任务要求。2016年七部委发布《关于构建绿色金融体系的指导意见》，随后中国人民银行办公厅印发《落实〈关于构建绿色金融体系的指导意见〉的任务分工》，以及《中国证监会落实〈关于构建绿色金融体系的指导意见〉的任务分工方案》，促进绿色基金发展、引导各类机构开展绿色投资、鼓励金融机构开发绿色金融产品成为必然要求。

**The Guidelines represents the tasks and requirements laid out by the green development philosophy and the *Guidelines for Establishing the Green Financial System* issued by seven ministries and commissions. In 2016, seven ministries and commissions issued the *Guidelines for Establishing the Green Financial System*, followed by the *Division of Tasks for Implementing the Guidelines for Establishing the Green Financial System* by the General Administration Department of People's Bank of China and the *Program of Task Division for Implementing the Guidelines for Establishing the Green Financial System of the China Securities Regulatory Commission*. As a result, it has become a necessary requirement to promote the development of green funds, guide various institutions to conduct green investment, and encourage financial institutions to develop green investment products.**

《指引》是适应行业发展的现实需要。从市场发展来看，绿色主题基金和带有绿色目标的集合投资活动发展迅速，有很强的现实诉求。协会立足于绿色投资发展初期这一实际，起草制定《指引》，意图逐步引导从事绿色投资活动的基金管理人、基金产品以市场化、规范化、专业化方式运作，培养长期价值投资取向、树立绿色投资行为规范，避免绿色投资活动良莠不齐给行业带来困扰。



**The Guidelines represents practical needs of industrial development.** The market has witnessed rapid development of green funds and collective investment activities with green goals, which have brought about strong realistic demands. By drafting the Guidelines based on the preliminary development of green investment, the Asset Management Association of China (AMAC) intends to gradually guide fund managers and products engaging in green investment activities to operate in a market-oriented, standardized and professional manner, while also fostering appreciation of long-term value investment, setting norms for green investment behaviors, and avoiding problems that low-quality green investment activities might bring to the industry.

《指引》是推动行业 ESG 责任投资的重要抓手。以环境(E)、社会(S)和公司治理(G)为核心的 ESG 责任投资是资管行业新兴的投资策略，也是基金行业落实绿色发展理念、构建绿色金融体系的重要抓手。前期，协会与国务院发展研究中心金融研究所合作开展《上市公司 ESG 评价指标体系》基础研究，已取得初步成果。《指引》是在《上市公司 ESG 评价指标体系》研究成果基础上，以 E 指标为基础，对基金管理人的绿色投资活动及其内部制度建设作出普适性指引，由机构自主灵活地运用相关指标和基本方法，改善投资决策机制，丰富投资策略，提升绿色投研体系和绿色投资文化建设，为推动发展绿色投资基金、开发绿色投资指数、全面践行 ESG 责任投资奠定基础。

The Guidelines is a key tool to promote ESG/responsible investment in the industry. ESG/responsible investment, with environment (E), society (S) and governance (G) at its core, is not only an emerging investment strategy in the asset management industry, but also a key tool to implement the green development philosophy and construct the green financial system in the fund industry. Previously, the AMAC conducted the fundamental research of the *ESG Evaluation Indicator System for Listed Companies* jointly with the Research Institute of Finance of the Development Research Center under the State Council, which has produced preliminary results. Based on the results of the *ESG Evaluation Indicator System for Listed Companies*, the Guidelines builds on E-related indicators and provides universal guidance on green investment activities and system building of fund managers. Institutions will be able to autonomously and flexibly apply relevant indicators and fundamental methods to improve the investment decision-making mechanism, enrich investment strategies, and improve the research system and green investment culture, thus laying the foundation for promoting green investment funds, developing green investment

indexes, and comprehensively implementing ESG/responsible investment.

## 二、《指引》起草过程

### 2. Drafting Process

在《上市公司 ESG 评价指标体系》研究成果基础上，2018 年 2 月基金业协会联合行业专家成立了 ESG 专家小组，负责《指引》核心条款设计工作。经过专家小组 2 轮研讨，于 2018 年 5 月完成《指引》初稿。2018 年 6 月 7 日，协会向 100 家公募基金和私募基金管理人定向征求意见，收到 28 家机构反馈。7 月 11 日，协会吸收第一轮征求意见建议后，就修改后的《指引》再次通过协会官网公开征求意见，收到市场机构、非营利组织和高校研究院的近 20 份意见反馈。经认真研究，相关意见建议已充分吸收并做了调整完善，形成《指引》最终稿。

Based on the research results of the *ESG Evaluation Indicator System for Listed Companies*, in February 2018, the AMAC formed an EAG expert group by inviting over industry experts and entrusted the group with the responsibility of outlining the core articles of the Guidelines. Following two rounds of discussion, the expert group finished the draft of the Guidelines in May 2018. On June 7, 2018, the AMAC began soliciting comments from 100 publicly and privately offered fund managers, and received feedback from 28 institutions. After taking opinions and suggestions collected from the first consultation, on July 11, the AMAC requested another round of public comments on its official website, and received nearly 20 opinions from market institutions, non-profit organizations and research institutes in colleges and universities. Following serious studies, relevant opinions and suggestions were fully turned into adjustments and improvements to the Guidelines, and its final version took shape.

## 三、《指引》主要内容

### 3. Main Contents

《指引》分总则、目标和原则、基本方法、监督和管理、附则五章，共 18 条，附件 1 份。具体内容包括：

The Guidelines contains five chapters: General Provisions, Objectives and Principles, Basic Approaches, Supervision and Administration, Supplementary Provisions, with 18 articles and one annex. The details are as follows:

## （一）界定绿色投资内涵，明确《指引》适用范围

### **(1) Define green investment and clarify the scope of application**

第一章总则，阐述了《指引》制定的依据和背景，对“绿色投资”内涵进行了界定，明确基金管理人可根据自身条件，遵循《指引》要求开展绿色投资。《指引》并未对所有基金管理人做出强制性要求，而是引导行业构建绿色投资体系，为绿色投资实践提供基础性、原则性、普适性的方法框架和行为规范。《指引》适用于公开和非公开募集证券投资基金或资产管理计划的管理人及其产品，私募股权投资和各类专业机构投资者可参照执行。

Chapter 1 (General Provisions) explains the basis and background of the Guidelines, gives the definition of “green investment”, and specifies that fund managers may conduct green investment based on their own conditions and in line with requirements of the Guidelines. Instead of providing any mandatory requirements on all fund managers, the Guidelines aims to guide the industry to construct the green investment system and provide fundamental, principled and universal methodological framework and behavioral norms for green investment practices. The Guidelines is applicable to managers of publicly and non-publicly offered securities investment funds or asset management plans and their products, and private equity investors and various professional institutional investors may act accordingly.

## （二）明确绿色投资的目标和基本原则

### **(2) Clarify the objectives and fundamental principles of green investment**

第二章目标和原则，从支持绿色产业转型升级、服务于实体经济出发，提出基金管理人应从促进绿色环保产业发展、促进资源循环利用与可持续发展、促进高效低碳发展、履行负责任投资几方面出发，在投资中优先投向绿色产业、节能环保等产业和项目。

Chapter 2 (Objectives and Principles), based on the purpose of supporting the transformation and upgrading of green industries and serving the real economy, proposes that fund managers should prioritize industries and projects such as green industries, energy conservation and environmental protection in their investment, with a view to promoting the development of green and environmental-friendly industries, resource recycling and sustainable development, and efficient and low-carbon development, as well as performing responsible investment.





### **(三) 明确开展绿色投资的基本方法**

#### **(3) Clarify the fundamental methods of green investment**

第三章基本方法，从机构人员配置、构建资产环境评价体系和环境评价数据库、开发绿色投资产品、建立绿色投资策略、优化资产组合管理等方面，对基金管理人提出了基本方法指引，引导行业构建系统的绿色投资体系。

Chapter 3 (Basic Approaches) provides guidance on fundamental methods of staffing, construction of environmental assessment system for assets and environmental assessment database, development of green investment products, establishment of green investment strategies, and optimization of portfolio management, with a view to guiding the industry to build a sound green investment system.

### **(四) 对基金管理人践行绿色投资进行监督和管理**

#### **(4) Supervise and administrate the green investment practices of fund managers**

第四章监督和管理，规定了基金管理人要对绿色投资行为进行自评估，并接受基金业协会监督管理。

Chapter 4 (Supervision and Administration) stipulates that fund managers should conduct self-assessment of their green investment behaviors, and should be subject to supervision and administration of the AMAC.

### **(五) 附则**

#### **(5) Supplementary provisions**

第五章附则，明确了《指引》解释主体及实施日期。

Chapter 5 (Supplementary Provisions) clarifies the responsible entity of interpreting the Guidelines and date of its entry into force.

### **(六) 附件**

#### **(6) Annex**

附件给出了基金管理人绿色投资自评项目和内容。

The Annex provides the items and contents of fund managers' green investment self-assessment.