



The Asset ESG Corporate Awards 2020 offers a rigorous benchmarking service for companies in their adherence to environmental, social and corporate governance (ESG) best practices. Please complete the submission form according to the type of awards you are applying for.

1A. AWARDS
* Which awards do you wish to be considered for?
ESG AWARD
☐ The Asset Jade Award for Excellence in ESG*
☐ The Asset Platinum Award for Excellence in ESG
☐ The Asset Gold Award for Excellence in ESG
☐ The Asset Titanium Award for Excellence in ESG
THE ASSET ESG CORPORATE INITIATIVE AWARDS
☐ The Asset Best Initiative in Technological Innovation ☐ The Asset Best Initiative in Social Responsibility ☐ The Asset Best Initiative in Environmental Responsibility ☐ The Asset Best Initiative in Diversity and Inclusion
<i>Kindly note that these awards are conferred on a submission basis. Please refer to the rule book and Special Awards submission form for further details.</i>
THE ASSET ESG CORPORATE LEADERSHIP AWARDS
☐ The Asset Best Chief Executive Officer Award
☐ The Asset Best Investor Relations Team Award

*Please note that for the Jade Award assessment, The Asset Editorial Board requires interviews with a board member and/or senior executives. The applicants must also provide contacts for three investors and one partnering NGO to provide third-party opinions on the company's ESG performance.

1B. COMPANY INFORMATION			
Company			
Sector			
Contact person		Job title	
Phone number		Company e-mail	
Address			
City		Country	
Place of incorporation		Year of incorporation	
Website			
Main stock exchange listed			
Year listed		Stock code	

2. BOARD OF DIRECTORS INDEPENDENCE AND DIVERSITY

Is the CEO also the chairperson of the company?						☐ Yes ☐ No	
Is your chairperson a previous CEO of the company?						☐ Yes ☐ No	
How many directors sit on the board?							
	Age range	Gender	Professional background	Tenure (years)	Compensation schemes	% of shares	
Director (n)	☐ 20-29 ☐ 30-39 ☐ 40-49 ☐ 50-59 ☐ 60-69 ☐ 70+	☐ Male ☐ Female ☐ Unwilling to disclose			☐ Cash ☐ Equity share ☐ Cash and equity ☐ Confidential	%	
Is Director (n) a past employee?						☐ Yes ☐ No	
Is Director (n) a current employee?						☐ Yes ☐ No	
Is Director (n) a family member of a person who is or has been within the last three years, an executive officer of the corporation?						☐ Yes ☐ No	
Is Director (n) an INED under the local stock exchange standard?						☐ Yes ☐ No	
Please specify the role of Director (1) in the following committee.							
	Member			Chairperson			
Audit							
Remuneration							
Risk management							
Nomination							
Others:_____							
Do you appoint an independent third party to evaluate the board's independence and effectiveness?						☐ Yes ☐ No	
If yes, how often does a third party perform the evaluation?							
☐ Twice a year ☐ Annually ☐ Once every two years ☐ Once every three years ☐ On demand							
Please provide the evaluation result.							
Please use this space below to provide any additional information in support of your response for Section 2.							

3. AUDIT

How many times did the audit committee meet last year?	
Has your company been free from fines, reprimands or other censure in the last 12 months?	☐ Yes ☐ No
If no (your company is <u>not free</u> from fines), please explain	
What is the term/tenure limit of your external auditing firm?	
Does your company have a policy that restricts the non-audit services provided by your external auditor?	☐ Yes ☐ No
What percentage of last year's audit fee did the external auditors earn for the provision of non-audit services (tax advice, valuation services, due diligence etc)	
☐ Below 20% ☐ 20-50% ☐ Above 50% ☐ Does not apply	
How long after the end of your financial year did you publish your annual financial report?	
☐ 1 month ☐ 2 - 3 months ☐ 4 - 5 months ☐ 6 - 7 months ☐ Over 7 months	
Please use this space below to provide any additional information in support of your response for Section 3.	

4. REMUNERATION COMMITTEE

Does the remuneration committee have the responsibility for determining the remuneration of all executive directors, including the chairman?	☐ Yes ☐ No
If not, please explain the reason.	
What is/are the key consideration(s) when determining non-executive director remuneration?	
Do you have a share option scheme for executive directors?	☐ Yes ☐ No
Does the remuneration committee oversee the administration of the share option schemes?	☐ Yes ☐ No
If not, please explain the reason.	
What specific key performance indicators (financial and non-financial targets) do you incorporate into your incentive-based remuneration for senior management executives? Please rate importance of the following items, from a scale of 1 to 6, 6 being most important:	
a. Comparable compensation within the industry b. Customer satisfaction results c. Financial metrics (net profit, EBIT, total shareholder return) d. Market share in certain strategic market positions e. Sustainability targets and metrics (GHG emissions, safety targets) f. Others, please specify: _____	1 2 3 4 5 6 1 2 3 4 5 6 1 2 3 4 5 6 1 2 3 4 5 6 1 2 3 4 5 6 1 2 3 4 5 6
What percentage of the CEO's pay is linked to the company's stated key performance indicators?	
☐ 0% ☐ 1 - 25% ☐ 26 - 50% ☐ 51 - 75% ☐ 76 - 100%	
Please use this space below to provide any additional information in support of your response for Section 4.	

5. RISK MANAGEMENT COMMITTEE

Please rank the following top-of-mind areas for risk management.

(on a scale of 1-6, 6 being most important)

1) Business continuity	1 2 3 4 5 6
2) Cyber security	1 2 3 4 5 6
3) Environmental & sustainability	1 2 3 4 5 6
4) Financial strategy execution	1 2 3 4 5 6
5) Fraud control	1 2 3 4 5 6
6) Maintaining market competitiveness	1 2 3 4 5 6
7) Management override	1 2 3 4 5 6
8) Regulatory requirements	1 2 3 4 5 6
9) Reputation and brand	1 2 3 4 5 6
10) Supply chain dependency (e.g., suppliers and customers)	1 2 3 4 5 6
11) Other, please specify: _____	1 2 3 4 5 6

How often did board members and senior management receive risk management training over the last year?

☐ Weekly ☐ Monthly ☐ Quarterly ☐ Half-yearly ☐ Annually

How often do senior management executives report to the risk management committee?

☐ Weekly ☐ Monthly ☐ Quarterly ☐ Half-yearly ☐ Annually

How often does the company appoint an independent third party to evaluate risk management system's effectiveness?

☐ Quarterly ☐ Twice a year ☐ Annually ☐ Once for every two years ☐ None of the above

What are the key risks/difficulties your company has been facing during the Covid-19 pandemic?

How did your company managed and responded to the mentioned risks?

What improvement(s) will be made to the risk management framework and protocol as a result of the pandemic?

On average, how many hours of cybersecurity training did each employee receive last year?

How often does the company perform cyber drills?

☐ Twice a year ☐ Annually ☐ Once every two years ☐ Once every three years ☐ Never

If none of the above, how often do you review the IT infrastructure model to ensure it is kept up-to-date?

☐ Twice a year ☐ Annually ☐ Once every two years ☐ Once every three years ☐ Never

Is your information security management system certified by international standards?

☐ Yes ☐ No

If yes, please specify the international standard:

How did your company maintain cyber resilience and uphold high information security levels under the work arrangements adopted during the Covid-19 pandemic?

Please provide the risk management framework and crisis management protocol along with the answers above.

6. NOMINATION COMMITTEE

How was the last independent non-executive director chosen? Please explain the process.

Please use this space below to provide any additional information in support of your response for Section 6.

7. SHAREHOLDERS RIGHTS

Do you pay dividends regularly?

☐ Yes ☐ No

If no, please explain your reason

What percentage of your profit was paid out as dividends in 2019?

%

In the light of the Covid-19 pandemic, did you continue dividend payments? Please explain the reason.

Do you give existing shareholders pre-emption rights over share issuance?

☐ Yes ☐ No

If not, please explain the reason

Do all shares have equal voting rights?

☐ Yes ☐ No

If yes, is a dual class structure worth exploring for your subsidiaries or affiliates going forward?

If no, what measures are in place to protect the interest of minority shareholders?

☐ Yes ☐ No ☐ Not sure

Please use this space below to provide any additional information in support of your response for Section 7.

8. STAKEHOLDER PROTECTION

Social Responsibility Policy

Please rate the importance your company attaches to the following areas of corporate social responsibility :
(on a scale of 1-6, 6 being most important)

1) Community investment (including charity)	1 2 3 4 5 6
2) Employee welfare (including protection for disabilities and long-term health issues)	1 2 3 4 5 6
3) Ethical business practices, including product safety, contract negotiation, fair trade	1 2 3 4 5 6
4) Fair and transparent labour discharge amid acute recession	1 2 3 4 5 6
5) Family friendliness	1 2 3 4 5 6
6) Gender equality issues	1 2 3 4 5 6
7) Racial equality issues	1 2 3 4 5 6
8) Safe working environment amid public health emergency	1 2 3 4 5 6
9) Supply chain sustainability issues	1 2 3 4 5 6
10) Others, please specify: _____	1 2 3 4 5 6

What specific targets or key performance indicators (KPIs) did the company achieve on social responsibility? Please provide documents to support the claims.

Employment and Labour Practice

Does your company have a published code of ethics for employees? ☐ Yes ☐ No

According to your company policy, how is the whistleblower protected?

How difficult is it to ensure your policy on anti-discrimination, equality, inclusion and diversity amid the Covid-19 pandemic? (on a scale of 1-6, 6 being most difficult) 1 2 3 4 5 6

Please explain the reason.

How do you promote gender equality?

What is the percentage of net earnings allocated to professional training and further education of employees? %

What is the percentage of women that are in management positions? %

What is the gender pay gap within the organization? (in US\$)

What explains the gap and how can your company improve on it?

Does your company have a policy of supporting employee parental leave and child care? ☐ Yes ☐ No

If yes, how are the specific policies implemented in the company?

Can you provide an example showing your company's leadership in the industry to address labour practices related to the Covid-19 pandemic?

Supply Chain Management	
How do you incorporate social responsibility factors in the general procurement process?	
If no, please explain the reason.	
How do you ensure international labour standards are being adhered to at all points in your supply chain?	
If no, please explain the reason.	
Is the social responsibility policy in your supply chain subject to verification?	☐ Yes ☐ No
If yes, please cite third-party verification (e.g: SA 8000 Social Accountability Certification), training or certification on social responsibility during the last 3 years, if any.	
If no, please explain the reason.	
Health and Safety	
Please cite your company workplace/occupational health and safety policies.	
How has your company ensured health and safety in the workplace during the Covid-19 pandemic?	
Consumer protection	
How difficult is it to uphold a high standard of consumer protection amid the Covid-19 pandemic? <i>(on a scale of 1-6, 6 being most difficult, 0 being irrelevant)</i>	0 1 2 3 4 5 6
Please explain the reason(s).	
Please illustrate a case study showing your company's leadership in the industry in the area of consumer rights protection	

UN Sustainable Development Goals (SDGs)		
Is your company committed to developing to SDGs	☐ Yes ☐ No	
Please rate the importance/relevance of each SDG to your business development and operation <i>(on a scale of 1-6, 6 being most relevant/important)</i>		
	Relevance	Importance
1) GOAL 1: No poverty	1 2 3 4 5 6	1 2 3 4 5 6
2) GOAL 2: Zero hunger	1 2 3 4 5 6	1 2 3 4 5 6
3) GOAL 3: Good health and well-being	1 2 3 4 5 6	1 2 3 4 5 6
4) GOAL 4: Quality education	1 2 3 4 5 6	1 2 3 4 5 6
5) GOAL 5: Gender equality	1 2 3 4 5 6	1 2 3 4 5 6
6) GOAL 6: Clean water and sanitation	1 2 3 4 5 6	1 2 3 4 5 6
7) GOAL 7: Affordable and clean energy	1 2 3 4 5 6	1 2 3 4 5 6
8) GOAL 8: Decent work and economic growth	1 2 3 4 5 6	1 2 3 4 5 6
9) GOAL 9: Industry, innovation, infrastructure	1 2 3 4 5 6	1 2 3 4 5 6
10) GOAL 10: Reduced inequalities	1 2 3 4 5 6	1 2 3 4 5 6
11) GOAL 11: Sustainable cities and communities	1 2 3 4 5 6	1 2 3 4 5 6
12) GOAL 12: Responsible consumption, Production	1 2 3 4 5 6	1 2 3 4 5 6
13) GOAL 13: Climate action	1 2 3 4 5 6	1 2 3 4 5 6
14) GOAL 14: Life below water	1 2 3 4 5 6	1 2 3 4 5 6
15) GOAL 15: Life on land	1 2 3 4 5 6	1 2 3 4 5 6
16) GOAL 16: Peace, Justice and strong institutions	1 2 3 4 5 6	1 2 3 4 5 6
17) GOAL 17: Partnerships for the goals	1 2 3 4 5 6	1 2 3 4 5 6
If yes, please cite which SDGs the company is committed to and what its targets are.		
What upcoming social responsibility initiatives are you pursuing?		
Please use this space below to provide any additional information in support of your response for Section 8.		

9. ENVIRONMENTAL RESPONSIBILITY

Environmental Management

Does your board have clearly defined oversight on the company's environmental impact?

☐ Yes ☐ No

Are executive officers mandated to monitor the company's environmental impact and co-ordinate appropriate mitigation strategies?

☐ Yes ☐ No

If yes, please describe

- i) the climate -related risks and opportunities identified over the short, medium, and long term
- ii) your company's processes and achievement in managing climate-related risks and capitalizing opportunities

If not, please explain when management will be assigned the role of assessing and managing climate-related risks and opportunities

Does your company verify that all parties in your supply chain adhere to internally acceptable environmental standards?

☐ Yes ☐ No

If yes, please describe the verification process.

If no, please explain when your company will start verifying that standards align along your supply chain.

How often do executive officers meet to evaluate the progress made by the company on the environmental protection front?

- | | | |
|--|---|---------------------------------|
| ☐ Every month | ☐ Every six months | ☐ Rarely |
| ☐ Every quarter | ☐ Intermittently on a need basis | ☐ Never |

Please cite any third-party certification (e.g., ISO 14000 Environmental Management Certification), verification or training on environmental protection or energy efficiency achieved over the last 3 years.

Waste Management

Is your company involved in recycling or waste management?

☐ Yes ☐ No

If yes, what are the targets and actual amount of recycled waste last year?

	Paper	Plastic	Metal	Others
Target (in tonnes)				
Actual (in tonnes)				

If not, please explain when your company will launch a recycling and waste management programme.

Water					
Does your company measure water consumption?					☐ Yes ☐ No
If yes, what were the target and actual water consumption last year?					
Target (cubic metres)					
Actual (cubic metres)					
If not, please explain when your company will start a water management programme?					
Energy Efficiency					
Does your company measure energy efficiency?					☐ Yes ☐ No
If yes, what metrics do your company use to measure energy efficiency?					
Please cite the most significant improvement in energy efficiency. (If yes)					
If no, please explain the reason. When will your company start measuring energy efficiency?					
Does your company own any buildings?					☐ Yes ☐ No
If yes, please specify the green building certification rating your company obtained, if any.					
LEED		BEAM PLUS		WELL	
☐ Platinum ☐ Silver ☐ Gold ☐ Certified		☐ Platinum ☐ Silver ☐ Gold ☐ Bronze		☐ Platinum ☐ Silver ☐ Gold ☐ Bronze	
Greenhouse Gas (GHG) Emission					
Does your company measure GHG emission?					☐ Yes ☐ No
If yes, how do you calculate the level of GHG emission and carbon footprint of your company?					
	Source of emission	Calculation standards	Target (tonnes of CO2e)	Actual (tonnes of CO2e)	Who does the third-party verification
Scope 1					
Scope 2					
Scope 3					
If no, please explain why and when your company will start disclosing GHG emission data?					

What strategies are you pursuing to reduce your carbon footprint/GHG emissions?	
What is driving your interest in ESG? <i>(on a scale of 1-6, 6 being most relevant and important)</i>	
Belief that ESG factors play a key role in broader financial performance	1 2 3 4 5 6
Ethical parameters / values	1 2 3 4 5 6
Fiduciary requirements	1 2 3 4 5 6
Headline/ reputation risk management	1 2 3 4 5 6
Irreversible global connectivity amid the Covid-19 pandemic	1 2 3 4 5 6
Regulation / legal requirements	1 2 3 4 5 6
Stakeholder/community demand	1 2 3 4 5 6
Stewardship codes	1 2 3 4 5 6
To see positive environmental / social impacts	1 2 3 4 5 6
Volatility management	1 2 3 4 5 6
Others, please specify : _____	1 2 3 4 5 6
Upcoming goals	
Please describe the short, medium, and long-term goals of your company's environmental responsibility.	
Please use this space below to provide any additional information in support of your response for Section 11.	

10. INVESTOR RELATIONS

How many investor meetings did the CEO and CFO personally attend?

How many company visits for institutional investors or buy-side analysts did senior management hold last year?
(Please choose the appropriate response for each item)

On-Site	☐ 0	☐ 1 - 10	☐ 11 - 20	☐ >20
Investor conferences	☐ 0	☐ 1 - 10	☐ 11 - 20	☐ >20
Roadshows	☐ 0	☐ 1 - 10	☐ 11 - 20	☐ >20

How often do you conduct regular investor webcasts and investor conference calls?

Number of investor conference calls per year	☐ 0	☐ 1 - 10	☐ 11 - 20	☐ >20
Number of investor webcasts per year	☐ 0	☐ 1 - 10	☐ 11 - 20	☐ >20

What does your annual report include: (Please select ALL that apply)

Information about environmental matters (including the impact of the company's business on the environment)	☐ Online	☐ Hardcopy
Information about company employee recruitment, training etc.	☐ Online	☐ Hardcopy
Corporate governance report	☐ Online	☐ Hardcopy
Information about social responsibility	☐ Online	☐ Hardcopy

Do you have a separate report on sustainability or ESG initiatives? ☐ Yes ☐ No

How long before the last AGM did shareholders receive the agenda?

☐ Less than 2 weeks ☐ 2 - 4 weeks ☐ 5 - 7 weeks ☐ 8 - 10 weeks

To what extent has the Covid-19 pandemic disrupted effective communication among your shareholders, board of directors, and senior management? (on a scale of 1 to 6, 6 being extremely disrupted) 1 2 3 4 5 6

How are you ensuring effective communication among shareholders, board of directors, and senior management amid the Covid-19 pandemic?

How likely are you to adopt "integrated reporting"?

☐ Very unlikely ☐ Unlikely ☐ Undecided ☐ Likely ☐ Very likely ☐ Not familiar with integrated reporting

Please use this space below to provide any additional information in support of your response for Section 10.

11. DIGITAL COMMUNICATIONS AND SOCIAL MEDIA

How often do you update your corporate governance and/or investor relations website?

☐ Weekly ☐ Monthly ☐ Quarterly ☐ Half-yearly ☐ Annually ☐ On demand

Does your company have an English version of your corporate governance and/or investor relations website?

☐ Yes ☐ No

If yes, what does the English-language version of the site include?

☐ Stock quotes ☐ Historical stock prices ☐ Dividend history ☐ Quarterly results
☐ Stock exchange filings ☐ Financial press releases ☐ Analyst reports

If yes, does the English-language version of the site provide the user with the following information?

☐ Senior management biographies ☐ Investor relations FAQ page ☐ Investor relations' contact

Do you provide broker reports irrespective of whether his/her opinion is positive or negative on your website?

☐ Yes ☐ No

On your website do you include: (Please select ALL that apply)

☐ Financial statements downloadable in multiple formats (Excel, HTML, PDF, etc.) ☐ Transcripts of webcasts, presentations, and conference calls
☐ Archived webcasts and conference calls

Which social media channels are more efficient? Please rank them according to efficiency on a scale of 1-6, 6 being most efficient.)

Facebook	1 2 3 4 5 6
Instagram	1 2 3 4 5 6
LinkedIn	1 2 3 4 5 6
Twitter	1 2 3 4 5 6
Weibo	1 2 3 4 5 6
WeChat	1 2 3 4 5 6
Youtube	1 2 3 4 5 6
Live streaming platform(s): please specify: _____	1 2 3 4 5 6
Other, please specify: _____	1 2 3 4 5 6

What is your social media strategy? Please submit a case study that showcases your team's crisis management capacity and/or conveys your company's ESG performance

How has the Covid-19 pandemic impacted digital transformation at your company?
 (on a scale of 1 to 6, 6 being heavily impacted)

1 2 3 4 5 6

What technological advancement has been undertaken as a result of Covid-19?

Please use this space below to provide any additional information in support of your response for Section 11.

12. INVESTOR REFERENCES

Please give the names and contact details of three investors who could be interviewed to comment on your company.

(Please do not give names of sellside analysts or members of your board of directors)

	Name	Company	E-mail	Phone
1				
2				
3				

ADDITIONAL INFORMATION

You may also upload any document in support of your application.

Kindly attach the aforementioned documents along with the survey.

FEEDBACK

Please give your comments and suggestions on the scope of the questionnaire and the benchmarking procedure.

☐ * I certify that the information I have included is correct.

Please email the completed submission form to simon.yau@theasset.com.