



THE ASSET ESG AWARDS 2019

The global recognition for ESG excellence



The Asset Corporate Awards 2019 offers a rigorous benchmarking service for listed companies in their adherence to environmental, social and corporate governance (ESG) industry best practices. Please complete the submission form according to the awards you are applying for.

1A. AWARDS

* Which awards do you wish to be considered for?

ESG AWARD

- ☐ **The Asset Platinum Award** for Excellence in ESG
- ☐ **The Asset Gold Award** for Excellence in ESG
- ☐ **The Asset Titanium Award** for Excellence in ESG

SPECIAL AWARDS

In addition to the Platinum, Gold and Titanium awards, The Asset gives special corporate initiative awards as well as awards honouring the best CEO and IR team.

- **The Asset Best Initiative** in Innovation
- **The Asset Best Initiative** in Social Responsibility
- **The Asset Best Initiative** in Environmental Responsibility
- **The Asset Best Initiative** in Diversity and Inclusion
- **The Asset Best Chief Executive Officer Award**
- **The Asset Best Investor Relations Team Award**

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.

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. CREDIT RATINGS

Please input the company's current credit rating from the listed rating agencies. In the second column, please rank your preferred credit rating agencies.	CURRENT RATING	YOUR RANKING OF THE CREDIT RATING FIRMS <i>Please rank with 1 as your most preferred agency, 4 being least</i>
Fitch Ratings		
Moody's		
Standard & Poor's		
Other, please specify:		

3. BOARD OF DIRECTORS

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?

How many of the directors are women?

How many are independent non-executive directors?

What is the average tenure of your independent directors?

☐ Below 3 years

☐ 3-6 years

☐ 7 or more

☐ No limit

Can past employees become independent non-executive directors on your board?

☐ Yes

☐ No

Please identify the professional background your independent directors represent.

☐ Law

☐ Accounting

☐ Academia

☐ Government (current or former state official)

☐ Others

☐ Business or Consultancy

What compensation do your independent directors receive?

☐ Cash

☐ share of equity

☐ Cash and equity

☐ not willing to disclose

What is the percentage of their remuneration that is paid in shares?

☐ Below 20

☐ 20-50

☐ Above 50

How long after the end of your financial year did you publish your annual financial report?

☐ 1 month

☐ 4 - 5 months

☐ Over 7 months

☐ 2 - 3 months

☐ 6 - 7 months

Do you pay dividends regularly?

☐ Yes

☐ No

What percentage of your profit was paid out as dividends in 2018?

%

Please use this space below to provide any additional information in support of your response for Section 3.

4. AUDIT

Is the audit committee chaired by an independent non-executive director?

☐ Yes

☐ No

How many directors sit on the committee?

How many of the directors are women?

How many are independent non-executive directors?

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

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 is the percentage of last year's audit fee did 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

Please use this space below to provide any additional information in support of your response for Section 4.

5. REMUNERATION COMMITTEE

Is the remuneration committee chaired by an independent non-executive director?	☐ Yes ☐ No
How many directors sit on the committee?	
How many of the directors are women?	
How many are independent non-executive directors?	
Does the remuneration committee have the responsibility for determining the remuneration of all executive directors, including the chairman?	☐ Yes ☐ No
Does the remuneration committee oversee the administration of the group share option schemes?	☐ Yes ☐ No
Do you have a share option scheme for senior management?	☐ Yes ☐ No
What specific key performance indicators (financial and non-financial targets) do you base your incentive-based remuneration for key executives?	
☐ Financial metrics (net profit, EBIT, Total shareholder return) ☐ Customer satisfaction results ☐ Environmental metrics (GHG emissions, safety targets) ☐ Sustainability targets (supply chain) ☐ Others, please specify: _____	
Are directors involved in the determination of their own salary package?	☐ Yes ☐ No
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 5.	

6. RISK MANAGEMENT COMMITTEE

Is the risk management committee chaired by an independent non-executive director?	☐ Yes ☐ No
How many directors sit on the committee?	
How many of the directors are women?	
How many are independent non-executive directors?	

6. RISK MANAGEMENT COMMITTEE (CONTINUED)

Please rank at least three Top-of-mind areas for management currently.

- | | | |
|--|--|--|
| ☐ Operational | ☐ Investment | ☐ Regulatory compliance |
| ☐ Environmental & sustainability | ☐ Financial and capital | ☐ Reputation and brand |
| ☐ Information technology security | ☐ Other, please specify:
_____ | |

Please cite how your company manage and response to accident and emergency situation (i.e. natural disasters, power cut, injury)?

How do you safeguard Client data privacy?

In the instances of being hacked, how would your company respond?

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

7. NOMINATION COMMITTEE

Is the nomination committee chaired by an independent non-executive director?

☐ Yes

☐ No

How many directors sit on the committee?

How many of the directors are women?

How many are independent non-executive directors?

Does the nomination committee include the chairman of the board?

☐ Yes

☐ No

How was the last independent non-executive director chosen?

☐ Advertised in the media

☐ Through an external search consultant we engaged

☐ Personal contact of the board

☐ Internal appointment

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

8. VOTING RIGHTS

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

☐ Yes

☐ No

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 8.

9. SOCIAL RESPONSIBILITY

Social Responsibility Policy

Which of these issues does your company include in its social responsibility policies and actions:

(Please select ALL that apply)

- | | |
|---|--|
| ☐ Labour practices | ☐ Gender equality and LGBTQ issues |
| ☐ Supply chain sustainability issues | ☐ Workplace/Occupational health and safety including fire safety and indoor air quality |
| ☐ Ethical business practices, including product safety, contract negotiation, fair trade | ☐ Other, please specify: _____ |
| ☐ Community investment | |

Is there a board member with a special remit for social responsibility? ☐ Yes ☐ No

Is social responsibility policy included in the board's corporate strategy? ☐ Yes ☐ No

If yes, please cite specific targets the company plans to achieve last year on social responsibility.

Employment and Labour Practice

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

What issues employees are encouraged to raise up to their management?

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

Does your company have a policy on anti-discrimination, equality, inclusion and diversity? ☐ Yes ☐ No

If yes, how is the policy being implemented in the company?

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? %

Do you have an activity or programme aimed at boosting employee engagement? ☐ Yes ☐ No

If yes, please cite the most significant outcome of last year's engagement initiatives?

Supply Chain Management	
Are social responsibility factors incorporated in the general procurement process?	☐ Yes ☐ No
If yes, please cite specific targets the company plans to achieve last year on social responsibility.	
Does your company verify that international labour standards are being adhered to at all points in your supply chain?	☐ Yes ☐ No
If yes, how does your company verify that international labour standards are being adhered?	
Is the social responsibility policy in your supply chain subject to verification?	☐ Yes ☐ No
If yes, please cite third-party verification (i.e. SA 8000 Social Accountability Certification), training or certification on social responsibility in the last 3 years, if any.	
Health and Safety	
Please cite your company workplace/occupational health and safety policies.	
How does your company ensure health and safety in workplace?	
UN Sustainable Development Goals (SDGs)	
Does your company develop and commit to SDGs	☐ Yes ☐ No
If yes, please cite which SDGs the company are committed to and what are the targets.	
Upcoming Strategies	
What strategies are you pursuing in social responsibilities initiatives?	
Please use this space below to provide any additional information in support of your response for Section 9.	

10. ENVIRONMENTAL RESPONSIBILITY

Environmental Management

Does your board have clearly defined oversight over the impact of the company on the environment?

☐ Yes ☐ No

Are executive officers mandated to monitor the company's impact on the environment and coordinate appropriate mitigation strategies?

☐ Yes ☐ No

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

☐ Yes ☐ No

How often do the 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 (i.e. ISO 14000 Environmental Management Certification), verification or training on environmental protection or energy efficiency achieved in the last 3 years.

Waste

Is your company involved in recycling or waste management?

☐ Yes ☐ No

If yes, what are the target and actual amount of recycled wastes last year?

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

Water

Does your company measure water consumption?

☐ Yes ☐ No

If yes, what are the target and actual water consumption last year?

Target (cbm)	
Actual (cbm)	

Energy Efficiency

Does your office/office building obtain any green building certification (i.e. BEAM PLUS, LEED)?

☐ Yes ☐ No

If yes, what green building certification rating does your company obtained?				
LEED		BEAM PLUS		Other
☐ Certified	☐ Gold	☐ Platinum	☐ Silver	
☐ Silver	☐ Platinum	☐ Gold	☐ Bronze	
Please cite the most significant outcome of your environmental and energy saving initiatives.				
Greenhouse Gas (GHG) Emission				
How do you calculate the GHG emission and carbon footprint of your company?				
What are your direct (Scope 1) and indirect (Scope 2 & Scope 3) GHG and air emissions are from?				
GHG Emission (tonnes of CO2e)				
Target (tonnes of CO2e)				
Actual (tonnes of CO2e)				
What strategies are you pursuing in reducing your carbon footprint/GHG emissions?				
What is driving your interest in ESG? <i>(Please rank ALL that apply, 1 being most important to 10 being least important)</i>				
Your rank		Your rank		
Stakeholder / community demand		Fiduciary requirements		
Headline risk / reputation risk management		Volatility management		
Regulation and legal requirements		Stewardship codes		
Ethical parameters / values		To see positive environmental or social impacts		
Belief that ESG factors play a key role in broader financial performance		Others, please specify: _____		
Upcoming strategies				
What strategies are you pursuing in environmental initiatives?				
Please use this space below to provide any additional information in support of your response for Section 11.				

11. INVESTOR RELATIONS

How many investor meetings did the CEO or 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 the company's employees' 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
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How long before the last AGM did shareholders receive the agenda?

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

With new European regulation taking effect beginning January 2018, banks no longer are permitted to offer certain services to investors. How has your access to investors been affected?

☐ No impact
☐ We are somewhat affected but we are sorting the issue internally
☐ We are affected significantly and we are looking for a solution

If you have been affected by the new regulation, how are you dealing with it? (Please tick all that apply.)

☐ Reorienting our investor relations function to rely less on banks for investor meetings
☐ Working with banks that are not subject to the new regulation
☐ Working with/looking to work with third-party non-bank providers to arrange investor access/roadshows
☐ Other, please specify : _____

How likely are you to adopt so-called "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 12.

12. DIGITAL COMMUNICATIONS AND SOCIAL MEDIA

Is there a separate section or dedicated website for the company's corporate governance and/or investor relations?

- | | |
|---|---|
| ☐ Corporate governance | ☐ Both corporate governance and investor relations |
| ☐ Investor relations | ☐ Neither |

If yes, is there an English-language version of the section or website?

☐ Yes ☐ No

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

- | | | | |
|---------------------------------------|--|---|---|
| ☐ Stock quotes | ☐ Historical stock prices | ☐ Dividend history | ☐ Quarterly comparison of financial fundamentals |
|---------------------------------------|--|---|---|

If yes, is the English-language version of the site used to communicate the following types of financial news?

- | | | |
|---|---|--|
| ☐ Stock exchange filings | ☐ Financial press releases | ☐ Quarterly results |
|---|---|--|

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 into Excel | ☐ Archived webcasts and conference calls |
| ☐ Transcripts of webcasts, presentations and conference calls | |

Are you present on these social media channels? *(Please select ALL that apply)*

- | | | | |
|---|------------------------------------|----------------------------------|----------------------------------|
| ☐ Facebook | ☐ Instagram | ☐ Twitter | ☐ Weibo |
| ☐ Other, please specify: | ☐ LinkedIn | ☐ WeChat | ☐ Youtube |

If yes, do you have a person / team managing your social media channels?

☐ Yes ☐ No

Do you have a social media strategy?

☐ Yes ☐ No

What type of information do you broadcast via social media?

Please use this space below to provide any additional information in support of your response for Section 13.

13. 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 and members of the 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 procedure.

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

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