

2023 Awards of Excellence in Corporate Governance Candidate Company Questionnaire

Companies nominated for the 2023 Awards of Excellence in Corporate Governance please fill this questionnaire diligently and truthfully. This will assist our Expert Review Group (ERG) to make an initial assessment of your company's corporate governance performance and commitment. Together with other review work to be done by the ERG, this will form the basis of ERG's recommendation to the Judging Panel. This questionnaire has categorized the requirements under Appendix 14 "Corporate Governance Code" to the Listing Rules issued by the Stock Exchange and is designed to establish a company's commitment to the highest principles. Candidates are welcome to elaborate or explain their answers if deemed necessary, and to provide relevant supplementary information, on a separate sheet of paper.

Compliance with Corporate Governance Code	Yes	No	Not applicable
1. Did the Chairman of the Board attend the last two AGMs?			
2. Did the Chairman of the Audit Committee attend the last two AGMs?			
3. Did the Chairman of the Remuneration Committee attend the last two AGMs?			
4. Have any directors traded their shares during the blackout period between the financial period/year-end date and the date of announcing interim and/or annual financial results?			
5. Was there any record of sanctions by the SFC, SEHK, or Accounting and Financial Reporting Council during the past two years?			
6. Was there any record alleging that the company had disclosed inside information unfairly during the past two years?			
7. Were there any cases of insider trading involving company directors and/or management in the past two years?			
8. Were there any non-compliance incidents regarding connected transactions in the past two years?			
9. Were there any non-compliance cases that were considered as serious offences by the SFC / SEHK / Accounting and Financial Reporting Council during the past two years?			
10. Is there a whistleblowing policy and an anti-corruption policy in place?			

	Yes	No	Not applicable
11. Does the company have established policy and systems for risk management and internal controls?			
12. Does the company conduct an annual review of the effectiveness of the risk management and internal control systems?			
13. Did the company deviate from the code provisions required by Appendix 14 of the Listing Rules of SEHK in the past two years?			
14. If there were any deviations from the code provisions, have the detailed reasons for any deviations from the code provisions been stated in the relevant financial reports?			
15. Does the company's risk management and internal controls system cover material ESG risks?			

Board Responsibilities and Transparency	Yes	No	Not applicable
16. If a director or multiple directors have material interests in a matter or transaction being considered by the board, do the concerned director(s) declare their interests and abstain from voting on such resolutions?			
17. Did the Chairman meet INEDs without the presence of NEDs/EDs during the last financial year?			
18. Does the board of directors conduct an annual assessment of its performance?			
19. Does the board of directors conduct an annual assessment of the performance of the senior management of the company?			
20. How many hours of training are provided to directors in a year on average? Please give answer: _____			
21. On average, how many directorships (other than your company) did each of the independent non-executive directors serve in the last financial year? Please give answer: _____			
22. What is the average number of years of service for the independent non-executive directors with the company? Please give answer: _____			
23. What is the ratio of INEDs on the board? Please give answer: _____			
24. Is there an INED-led Nomination/Remuneration Committee?			
25. Does the company's board of directors formulate the purpose, values, and strategy of the company, ensuring consistency with the corporate culture, while also committing to promoting corporate culture and continually reinforcing the concept of "acting in accordance with the law, ethics, and responsibility"?			
26. Does the company's board of directors have a procedure or mechanism in place that allows directors to seek independent professional advice when reasonably needed under appropriate circumstances, with the costs covered by the company?			

	Yes	No	Not applicable
27. Does the company provide insurance for INEDs on the board?			
28. How many female directors serve on the board? Please give answer: _____			
29. Does the company have a board diversity policy and a target to achieve board diversity?			
30. Does the company disclose the details of major areas of consideration by the board of directors and other board committees during the financial year in the annual report?			

Shareholders' Engagement and ESG	Yes	No	Not applicable
31. Is there any mechanism to allow minority shareholders to influence board composition? Such as procedures for shareholders to nominate a director?			
32. Does the company accept voting via the internet or other electronic methods?			
33. Does the company provide information about shareholders communication channels in its annual report and/or corporate website?			
34. Does the company explicitly mention how its ESG initiatives impact society?			

Improvements	Yes	No	Not applicable
35. Has your company been invited for an interview in front of the judging panel for the Corporate Governance and ESG Excellence Awards before?			
36. If your answer to the previous question is "Yes", then please list on a separate sheet of paper improvements (if any) that the company has made as a result of the comments it received previously from the judging panel.			

Supplementary Information

In addition, each candidate company is requested to provide supplementary information in no more than 800 words (in either English or Chinese) to illustrate the company's corporate governance beliefs, new endeavours, major achievements, or improvements. A case study can be used as illustration.

Separate write-ups are required for the "Award of Excellence in Corporate Governance" and the "Award of Excellence in ESG".

As our ERG would review published annual and / or ESG reports as part of its evaluation, additional and updated information or a highlight description is recommended.

2023 Awards of Excellence in ESG Candidate Company Questionnaire

Companies nominated for the 2023 Awards of Excellence in ESG, please fill in this questionnaire diligently and truthfully. This questionnaire goes beyond the compliance level outlined in the present Appendix 27 "Environmental, Social and Governance Reporting Guidelines" of the Listing Rules issued by HKEX and is designed to establish a company's commitment to the highest principles. Candidates are welcome to elaborate or explain their answers if deemed necessary. Please feel free to contact us if you have any comments or inquiries regarding the questionnaire. This will assist our Expert Review Group ("ERG") to make initial assessment of your company's ESG performances and commitment. Together with other review work to be done by ERG, this will form the basis of ERG's recommendation to the Judging Panel.

Governance	Yes	No	Not applicable
1. Does your company disclose information on the board's oversight of ESG issues in its public disclosures?			
2. Does your company have a dedicated ESG Committee at Board level to oversee and monitor ESG matters?			
3. Does your company have board directors with specific expertise or experience in ESG issues?			
4. Does any board director have dedicated responsibility over the company's ESG matters?			
5. Is the board of directors directly involved in the process and deliberation when determining the materiality of the company's ESG issues?			
6. Has your company provided any dedicated ESG training or education to the board of directors in the past 12 months?			
7. Has ESG performance related considerations and metrics are linked to executive pay and bonuses and factored into company's remuneration policy?			
8. Does your company incorporate its ESG policy into its overall corporate goals, vision, or mission?			
9. Is your company a signatory to any international initiatives aimed at promoting sustainability and responsible business practices, such as the United Nations Sustainable Development Goals (UNSDG), the United Nations Global Compact (UNGC), or the United Nations Principles for Responsible Investment (UNPRI)?			

	Yes	No	Not applicable
10. Is the ESG report of your company prepared in accordance with any internationally recognised frameworks or standards, such as the Global Reporting Initiative (GRI), the Sustainability Accounting Standards Board (SASB), or the Task Force on Climate-related Financial Disclosures (TCFD)?			
11. Is the ESG report of your company externally assured by a third-party organisation?			

Social	Yes	No	Not applicable
12. Does your company provide professional development training programmes for employees?			
13. Does your company have a policy or programme to promote the employment of underprivileged persons?			
14. Has your company established an employee incentive programme to promote ESG goals and values?			
15. Does your company have a comprehensive staff diversity policy in place for active promotion throughout the organisation?			
16. Does your company have established policies and procedures to prevent and detect corruption, and to protect whistleblowers?			
17. Does your company provide anti-corruption training for board of directors and employees?			
18. Does your company have established policies or programmes to protect the welfare and rights of customers?			
19. Does your company have established policies or programmes to serve the society and/or the community?			
20. Does your company have targeted sectors or themes for its community investment programmes?			
21. Does your company have established policies or programmes to manage environmental and social risks in its supply chain?			
22. Does your company conduct audits of its supply chain to assess environmental and social risks?			

Environmental	Yes	No	Not applicable
23. Does your company publicly disclose its environmental quantitative targets and corresponding progress, including emissions, energy efficiency, water efficiency, and waste reduction?			
24. Does your company have a company-wide programme in place to reduce carbon emissions across its business activities?			

	Yes	No	Not applicable
25. Does your company have independent third-party verification or audit of its Scope 1 and 2 greenhouse gas (GHG) emissions?			
26. Does your company publicly disclose its major Scope 3 upstream and downstream categories, beyond common indirect emissions such as employee commuting and travel?			
27. Has your company set a target and timeline to achieve carbon neutrality?			
28. Does your company have an internal carbon pricing mechanism in place?			
29. Does your company identify and publicly disclose the potential impacts of climate-related risks on its business, including both physical and transition risks with financial impacts?			

Improvements	Yes	No	Not applicable
30. Has your company been invited for an interview in front of the judging panel for the Corporate Governance and ESG Excellence Awards before?			
31. If your answer to the previous question is "Yes", then please list on a separate sheet of paper improvements (if any) that the company has made as a result of the comments it received previously from the judging panel.			

Supplementary Information

In addition, each candidate company is required to provide supplementary information in no more than 800 words (in either English or Chinese) to illustrate the company's ESG beliefs, new endeavours, major achievements, or improvements. A case study can be used as illustration. Where appropriate, candidates are encouraged to make reference to the SASB Materiality table (<https://www.sasb.org/standards/materiality-finder/find/>) to justify your company's identified ESG topics and discuss its ESG strategy against the relevant aspects of its industry and sector, to demonstrate its understanding and achievements in addressing the specific sustainability challenges and opportunities.

Separate write-ups are required for the "Award of Excellence in Corporate Governance" and the "Award of Excellence in ESG".

As our ERG would review published annual and / or ESG reports as part of its evaluation, additional and updated information or a highlight description is recommended.