



RI TRANSPARENCY REPORT

2020

Social Enterprise Research Academy

About this report

This report is an export of the individual Signatory organisation responses to the PRI Service Provider Reporting Framework during the 2020 reporting period. It shows your responses to mandatory indicators, as well as responses to voluntary indicators that your organisation has agreed to make public. You will be able to access the public RI Transparency report of your organisation and that of other signatories on the [PRI website](#).

The information is presented exactly as it was reported. Where an indicator offers a response option that is multiple-choice, all options that were available to the signatory to select are presented in this report. Presenting the information exactly as reported is a result of signatory feedback which suggested the PRI not summarise the information. As a result, the reports can be extensive. However, to help easily locate information, there is an **Index** which highlights where the information can be found and summarises the indicators that signatories complete and disclose.

Understanding the Index

The Index summarises the response status for the individual indicators and modules. It can be used by stakeholders as an 'at a glance' summary of reported information and to identify particular themes or areas of interest.

All indicators within a module are presented below. The status of indicators is shown with the following symbols:

Symbol	Status
✓	The signatory has completed all mandatory parts of this indicator
☑	The signatory has completed some parts of this indicator
🔒	This indicator was not relevant for this signatory
-	The signatory did not complete any part of this indicator.
🔍	The signatory has flagged this indicator for internal review

Within the table, indicators marked in blue are mandatory to complete. Indicators marked in grey are voluntary to complete.

Index

Organisational Overview			
Indicator	Short description	Status	Disclosure
OO 01	Basic information	✓	Public
OO 02	Reporting year	✓	Public
OO 03	Signatory category and services	✓	Public
OO 04	Other offerings/business activities	✓	Public
OO 05	Breakdown of ESG coverage	✓	Asset mix disclosed in OO 06
OO End		✓	-

Strategy and Governance			
Indicator	Short description	Status	Disclosure
SG 01	Responsible investment policy	✓	Public
SG 02	Norms used to develop policies	🔒	n/a
SG 03	Policy offerings to clients	✓	Public
SG 04	ESG/RI in business offerings	✓	Public
SG 05	Outsourcing of services	✓	Private
SG 06	Providing training/education	✓	Public
SG 07	Applying, advancing and promoting the PRI principles	✓	Public
SG 08	Actions taken to promote responsible investment	✓	Public
SG 09	Long term trends	✓	Public
SG 10	Interaction with asset owners	🔒	n/a
SG 11	Aligning approach with investor goals	✓	Public
SG 12	ESG recommendations not aligned with investor goals	✓	Public
SG 13	Seeking feedback from clients	✓	Public
SG 14	Managing conflicts of interest	✓	Public
SG End		✓	-

Confidence building measures			
Indicator	Short description	Status	Disclosure
CM1 01	Other product offerings, processes and/or activities	✓	Private
CM1 02	Assurance of responses	✓	Private
CM1 End	Module confirmation page	✓	-

Social Enterprise Research Academy

Reported Information

Public version

Organisational Overview

PRI disclaimer

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Basic Information

OO 01

Mandatory

Public

Descriptive

OO 01.1 Select the location of your organisation's headquarters.

Hong Kong SAR

OO 01.2 Indicate the number of countries in which you have offices (including your headquarters).

- 1
- 2 - 5
- 6 - 10
- 11 - 50
- >50

OO 01.3 Indicate the regions where you have offices.

- Africa/Middle East
- Asia (excluding Japan & Korea)
- Australasia
- Canada
- Continental Europe
- Japan & Korea
- Nordic
- South America
- UK & Ireland
- US

OO 01.4 Indicate the approximate number of staff in your organisation in full-time equivalents (FTE).

FTE

7

Reporting Year

OO 02

Mandatory

Public

Descriptive

OO 02.1 Indicate the year end date for your reporting year.

31/12/2019

Signatory category and services

OO 03

Mandatory

Public

Gateway

OO 03.1

Indicate which of the following categories reflect your core offering or main business activity:

- Reporting
- Active Ownership Services
- Investment consultancy
- Research and Data Provision
- Other, specify (1)

We provide comprehensive ESG certified training programmes for business professionals, financial analysts and internal auditors.

- Other, specify(2)

OO 03.2

Indicate any other business activities that your organisation offers. Indicate whether you wish to report on these business areas.

- Reporting
- Active Ownership Services
- Investment consultancy
- Research and Data provision
- Other, specify (3)
- Other, specify (4)
- None of the above

OO 04

Mandatory

Public

Descriptive

OO 04.1

Please describe your core offering or main business activity.

Social Enterprise Research Institute (SERI), is a non-profit organization dedicated to the continual development, promotion and application of corporate citizenship principles, models and technique in Asia. We have developed the Social Caring Pledge Scheme for businesses that are committed to a voluntary set of ethical standards in the areas of social care and responsibility.

Promoting responsible investment is part of our goals in CSR advocacy. We offer the 3 certified and other training programmes:

Benefits

- a) Leadership: Professional certification which signifies your dedication and commitment to keep an updated body of knowledge by personal investment in ESG training.
- b) Recognition: Professional certification means that you have achieved a standard of professional competency recognized by a professional body.
- c) Professional: Professional certification indicates that you have achieved a high level of professionalism in the field of ESG management.
- d) Publicity: All certified professionals will be listed in our website, and thereby recognized locally and globally.
- e) Designation: You may use the professional designation with name on organization letterhead, business cards and legal documents.

The course provides a holistic approach for the principles of responsible management, integrated management system and ESG reporting.

Target participants: senior managers, trainers, consultants, quality practitioners and professionals

Part 1: Principle of Responsible Management

Framework of responsible management

The strategic challenges of ESG factors

The basics of sustainability, compliance and social responsibility

The regulatory context and key ESG market drivers

The leadership requirements for the strategic ESG change

The role of responsible management system

The stakeholder management and involvement

The ESG analysis and materiality matrix

Part 2: ESG Implementation Guidelines

ESG planning and analysis

Leadership system

Business scope redefinition

The ESG criteria and measures

The integrated management structure

Corporate governance and control

Resources planning and evaluation

System documentation

ESG management program(s)

Plan-Do-Check-Act cycle

Part 3: ESG integration

Investment value chain

ESG integration matrix

ESG integration process

ESG criteria and valuation model

The mapping of ESG factors with income statement

Financial analysis and risk management

ESG valuation methods

Responsible investment and principles

ESG Beta strategy versus ESG Alpha strategy

ESG value chain and integrated reporting

Part 4: ESG Reporting Framework

Principle of ESG reporting

The business case of responsible management

ESG project management

The characteristic of ESG reporting system

The ESG subject areas, aspects and KPIs

ESG reporting structure
An example of ESG report

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Strategy and Governance

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Policy on ESG beliefs

SG 01	Mandatory	Public	Gateway
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SG 01.1 Describe how your organisation's philosophy incorporates environmental, social and governance factors, and the link to your business offerings.

SERA is the first professional body in Asia to have developed the Social Caring Pledge Scheme for businesses that are committed to a voluntary set of ethical standards in the areas of social care and responsibility.

Our vision is "Harnessing the market to bring social change" and we incorporate ESG training programmes in our activities for corporate members such as hosting Responsible Investment symposium/panel in Feb 2017 and free ESG introduction seminars for beginners as well as incorporating a 1 day training programme for C-level managers and responsible officers in ESG who are our awardees or have enrolled into our Social Caring Pledge Scheme.

For more information, please refer to our website [www. seriasia.org](http://www.seriasia.org).

SG 01.2 Indicate whether you have policies that formalise the incorporation of your ESG beliefs in your business offerings.

- Yes
 No

SG 03	Mandatory	Public	Descriptive
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SG 03.1 Indicate whether you offer standard, off the shelf, policies to clients as part of your product offerings, and/or whether you create tailored versions for individual clients.

	Off the shelf	Tailored
Asset class-specific RI guidelines	<input type="checkbox"/>	<input type="checkbox"/>
Sector-specific RI guidelines	<input type="checkbox"/>	<input type="checkbox"/>
Screening/exclusions policy	<input type="checkbox"/>	<input type="checkbox"/>
Engagement policy	<input type="checkbox"/>	<input type="checkbox"/>
(Proxy) voting policy	<input type="checkbox"/>	<input type="checkbox"/>
RI guidelines set out within the Investment Policy Statement (IPS)	<input type="checkbox"/>	<input type="checkbox"/>
RI guidelines set out in a freestanding RI policy	<input type="checkbox"/>	<input type="checkbox"/>
Multi-year RI implementation project plan	<input type="checkbox"/>	<input type="checkbox"/>
Conflict of interest management policy	<input type="checkbox"/>	<input type="checkbox"/>
Stockbroker allocation policy	<input type="checkbox"/>	<input type="checkbox"/>
Securities lending policy	<input type="checkbox"/>	<input type="checkbox"/>
Other, please specify (1)	<input type="checkbox"/>	<input type="checkbox"/>
Other, please specify (2)	<input type="checkbox"/>	<input type="checkbox"/>
Other, please specify (3)	<input type="checkbox"/>	<input type="checkbox"/>
None of the above	<input checked="" type="checkbox"/>	<input type="checkbox"/>

SG 04	Mandatory	Public	Descriptive
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SG 04.1	Briefly describe how you include ESG/RI factors as part of your business offerings.
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Business area

Other, specify (1)

We offer Leadership training to enrolled corporates and ESG program is part of the training.

How you include ESG/RI factors

We have been regularly hosting fellowship dinners every 3 months which covers Environmental and Social issues to engage corporate members and staffs or even supporting organizations key members to join to enhance awareness.

SERI serves itself as a collaborative platform for hundreds of corporate members to share resources in achieving a higher social objective, therefore we organized volunteer works with the active participation of several company units at one time and achieve the economy of scales on resources we have on hand.

SG 04.2 Indicate the roles in your organisation, and indicate for each whether they have oversight and/or implementation responsibilities for ESG/RI within the organisation.

Roles present in your organisation	Oversight/accountability for ESG/RI	Implementation of ESG/RI
Board	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Directors	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Chief Executive Officer (CEO), Chief Financial Officer (CFO)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Chief Operating Officer (COO), Chief Information Officer (CIO)	<input type="checkbox"/>	<input type="checkbox"/>
Other chief-level staff	<input type="checkbox"/>	<input type="checkbox"/>
Other heads of department	<input type="checkbox"/>	<input type="checkbox"/>
Dedicated ESG/RI staff	<input type="checkbox"/>	<input type="checkbox"/>
Other role, specify (1)	<input type="checkbox"/>	<input type="checkbox"/>
Other role, specify (2)	<input type="checkbox"/>	<input type="checkbox"/>
Other role, specify (3)	<input type="checkbox"/>	<input type="checkbox"/>
None of the above	<input type="checkbox"/>	<input type="checkbox"/>

SG 04.3

Indicate how you ensure ESG/RI expertise for the roles where there are RI oversight/accountability or implementation responsibilities.

- Staff training on ESG/RI incorporation
- Including ESG/RI knowledge factors in personal development goals
- Having development plans that aim to enhance ESG/RI knowledge of certain departments/teams/individuals
- Including ESG in selection requirements when hiring new employees
- Other, specify (1)
- Other, specify (2)
- Other, specify (3)
- Other, specify (4)

SG 04.4

Indicate whether your organisation has any ESG/RI linked incentives for its employees.

- Yes
- No
- Not applicable, we ensure that employees incorporate ESG/RI into services through other mechanisms.

SG 06**Mandatory****Public****Descriptive****SG 06.1**

Indicate whether you provide training/educational services on ESG/RI. Tick all that apply.

- Board/trustee training
- Investment manager training
- Regulatory bodies/authorities or public policy makers
- Corporate executive training
- ESG analyst training
- Other, specify (1)
- Other, specify (2)
- Other, specify (3)
- Other, specify (4)
- None of the above

SG 06.2

Describe the main components of your training/educational services on ESG/RI and any variations depending on the group you provide training/education to.

There are no variations on the group we provide training to, please refer back to the ESG course description for the main components of our ESG training program.

SG 06.3

Describe whether these training/educational services include any commercial elements.

We don't have other commercial elements during our ESG training.

SG 07**Mandatory****Public****Descriptive**

SG 07.1

Describe how your organisation applies, advances and promotes the PRI Principles.

In Principle No. 4 in PRI, it states " We will promote acceptance and implementation of the Principles within the investment industry", SERA is the first professional body in Asia to have developed the Social Caring Pledge Scheme for businesses that are committed to a voluntary set of ethical standards in the areas of social care and responsibility. We continue promoting not only to corporate members from Investment industry but also other members who would have to hand in ESG report as a listing company.

SG 08**Mandatory****Public****SG 08.1**

Indicate which of the following actions your organisation has taken to promote responsible investments during the reporting year, independently of collaborative initiatives.

- Provided or supported education or training programmes for clients, investment managers, legal advisers or other investment organisations
- Provided financial support for academic or industry research on responsible investment
- Encouraged better transparency and disclosure of responsible investment practices across the investment industry
- Spoken publicly at events and conferences to promote responsible investment
- Written and published in-house research papers on responsible investment
- Encouraged the adoption of the PRI
- Written and published articles on responsible investment in the media
- Policy engagements and other interactions
- Other, specify
- None of the above

SG 09**Mandatory****Public****Descriptive****SG 09.1**

Indicate which of the following long-term trends are addressed in your product outputs.

- Changing demographics
- Climate change
- Resource scarcity
- Technology developments
- Other, specify (1)
- Other, specify (2)
- None of the above

SG 09.3

If none of the above are applicable, please explain why not.

not applicable

SG 11**Mandatory****Public****Descriptive**

SG 11.1	Describe how you typically align your organisation's philosophy and approach to ESG/RI with your investor clients' goals.
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- Describe
- This is not relevant for my organisation

SG 11.2	Additional information. [OPTIONAL]
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Our organisation's philosophy on and approach to ESG does not directly serve any particular investor as we are mainly providing a holistic training as a service provider, therefore we could not relate to investor goals which may include, but are not limited to: compiling an RI/ESG value or belief statement, setting RI outcomes to be achieved over time, setting timelines for RI outcomes, documenting RI outcomes etc.

SG 12	Mandatory	Public	Descriptive
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SG 12.1	Describe what steps you take, if any, when your ESG recommendations are not in line with your investor clients' goals.
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- Describe
- This is not relevant for my organisation

SG 12.2	Additional information. [OPTIONAL]
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Similar to SG12 explanation that we as a service provider on ESG training, this does not seem relevant.

SG 13	Mandatory	Public	Descriptive
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SG 13.1	Indicate whether you seek feedback from clients on your RI/ESG services and product offerings
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- Yes

SG 13.2	Describe how you use this feedback in your RI/ESG services and product offerings.
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Based on clients' feedbacks, we refine our way of delivering the training and we make the course much better.

- No

SG 14	Mandatory	Public	Descriptive
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SG 14.1	Indicate whether your organisation has a policy for managing potential conflicts of interest.
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- Yes
- No

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