

AsianInvestor
**INSTITUTIONAL
EXCELLENCE**

AWARDS 2021

2021 ENTRY KIT

Entry Deadline: **14 October 2021**

www.institutionalawards.com

INTRODUCTION

AsianInvestor is delighted to announce that the 2021 Institutional Excellence awards are now open for entries.

Now in its 8th year, the awards aim to recognise excellence and best practice among the leading asset owners operating in Asia Pacific.

The Institutional Excellence Awards are open to asset owners from pension funds, life insurers, sovereign wealth funds, central banks/ reserve managers, endowments, foundations and third parties including fund managers, consultants, custodians, and other organisations. Third parties must pitch on behalf of their asset owner clients.



Natalie Koh
Acting Managing Editor
AsianInvestor



KEY DATES AND ELIGIBILITY

Entry Deadline: 14 October 2021 (Thursday)

Cut-off time: 6pm HK time (UTC/GMT +8:00).

Winners Announcement: 23 November 2021 (Tuesday)

Who Should Enter?

We accept entries from pension funds, life insurers, sovereign wealth funds, central banks/reserve managers, endowments, foundations and third parties including fund managers, consultants, custodians, and other organisations. Third parties must pitch on behalf of their asset owner clients.

Eligibility Period:

All entries work and results should relate during the period of **1 October 2018 - 30 September 2021.**

Written entries that do not focus on the eligibility period but include achievement outside the review period will be disqualified.

For award related enquiries, please reach out to the Awards Team at asianinvestor.awards@haymarket.asia.

ENTRY SUBMISSION GUIDELINES

HOW TO ENTER

Entries are to be submitted online via the 'ENTER NOW' button at www.institutionalawards.com.

For any awards-related queries, please reach out to the team at asianinvestor.awards@haymarket.asia.

ENTRY SUBMISSION

Written Submission:

The written entry paper is the key part of your submission based on the criteria set in the entry template.

Page Limit & Font:

No more than **10 A4-sized, single-sided pages**. Font size should be no less than 11 points in Arial. Supporting materials can be included as supplementary information but will not count as pitch material. Please see page four for more information on what constitutes supporting materials.

Executive Summary:

A summary of 250 words to be submitted via the online entry form. This summary might be published and therefore should highlight the campaign and why it should win. *Do not provide company credentials or any sensitive or confidential information.*



ENTRY SUBMISSION GUIDELINES

All entries and supporting material are to be submitted online and must adhere strictly to the stipulated formats as listed:

Written Submission

Total **10 A4-sized, single-sided pages**, font size should be no less than 11 points in Arial.

File size: Less than 5MB

File formats: .pdf

Videos

File formats: Hyperlink

*If you have any case film/video(s), you are required to insert a hyperlink to the supporting material box and/or insert the links into your written entry.

Supporting Materials (Optional)

The written entry should be considered as the key part of your submission. The supporting material allows you to provide any videos, data results and the actual work carried out.

- All supporting material should be provided in digital format **ONLY** and limited to the specific category requirements.
- Upload no more than **five (5) items** of supporting materials. The supporting materials should show evidence of success and support the case made in your written entry. This could include case studies, videos, websites, data reports etc.

Compulsory Information

The following information must be included within the written submission:

- Total assets under management (AUM)
- Portfolio breakdown, by asset class (and y-o-y changes)
- Total investment returns (total, and by asset class)
- Key strategic goals over the past year, and for the next three years
- New external mandates or increases to existing mandates
- Introduction of new asset classes (if any)
- Key direct or co-investments
- Senior personnel changes
- Major changes to governance (internal decision makers/board members; external mandate processes; transparency checks and balances; responsible stewardship guidelines etc)
- Major changes to technology or support services
- Major changes to portfolio risk assessment

** All information is treated confidentially and will not be publicly released without permission from the organisation.*

JUDGING PROCESS

An independent jury consisting of leading industry experts will form the jury panel. Every judge is required to sign a non-disclosure agreement (NDA) and expected to adhere to the terms of the confidentiality agreement.

Judging Process

The judging process will comprise one round of judging.

All judges will review and score all entries independently. An *AsianInvestor* editorial member may require a conversation with the applicant to clarify certain elements of the application.

The judges' decisions are final. Awards will be made at the discretion of the judges based on a scoring system and no feedback or correspondence about the results will be provided.

If a category receives three entries or fewer, judges will unanimously decide if a trophy should be awarded. This may result in no trophy being awarded in a category.

CATEGORIES

INSTITUTIONAL AWARDS

- International Investor into Asia
- Life Insurer – Small/Medium (AUM of under \$50 billion)
- Life Insurer – Large (AUM of \$50 billion+)
- Pension Fund – Small/Medium (AUM of under \$50 billion)
- Pension Fund – Large (AUM of \$50 billion+)
- Sovereign Wealth Fund

BEST ASSET OWNER (REGIONAL)

Regional Awards

- Australia/New Zealand
- Greater China
- Japan/Korea
- Southeast Asia

PROFICIENCY AWARDS

- Best in Class – Alternative Assets Investing
- Best in Class – Climate Change Policy **(NEW)**
- Best in Class – (ESG) Environmental, Social and Governance Engagement
- Best in Class – Investing Progress and Innovation
- Best in Class – Response to Covid-19 Pandemic
- Best in Class – Social Impact **(NEW)**
- Best in Class – Standout CIO
- Best in Class – Technology and Data

CATEGORIES

BEST ASSET OWNER (REGIONAL)

The following categories are open to both asset owners and third parties.

Candidates will be judged not only on investment returns, but also their ability to adopt efficiencies best suited to their funds, and efforts to improve operations to become more sophisticated, process-driven investors with an eye towards long-term returns.

Other considerations include key innovation and market-leading actions, for instance in areas such as ESG, alternative investments and traditional asset classes such as equity and fixed income. Pitches should also include efforts to adapt to current market conditions, such as Covid-19, inflation, falling yields, climate risks, new technologies etc.

Open to all individual markets in the respective regions listed below:

- Australia/New Zealand
- Greater China
- Japan/Korea
- Southeast Asia

Criteria:

- **Key improvements to operations (35%)**
(E.g., improvements to smoothen operations through new hires, new teams, digitalisation, deployment methods, more sophisticated reporting etc.)
- **Key innovation/market-leading actions (35%)**
(E.g., in ESG, digital assets, private markets, or coming up with new ways to improve efficiencies to traditional asset investments)
- **Adaptability to changing market environment (30%)**
(E.g., approach to adapting to Covid, inflation, falling yields, new technologies, climate risks etc.)

CATEGORIES

INSTITUTIONAL AWARDS

Candidates will be judged not only on investment returns, but also their ability to adopt efficiencies best suited to their funds, and efforts to improve operations to become more sophisticated, process-driven investors with an eye towards long-term returns.

Other considerations include key innovation and market-leading actions, for instance in areas such as ESG, alternative investments and traditional asset classes such as equity and fixed income. Pitches should also include efforts to adapt to current market conditions, such as Covid-19, inflation, falling yields, climate risks, new technologies etc.

Categories:

- Pension Fund – Small/Medium (AUM of under \$50 billion)
- Pension Fund – Large (AUM of \$50 billion+)
- Life Insurer – Small/Medium (AUM of under \$50 billion)
- Life Insurer – Large (AUM of \$50 billion+)
- Sovereign Wealth Fund
- International Investor into Asia

Criteria:

- **Key improvements to operations (35%)**
(E.g., improvements to smoothen operations through new hires, new teams, digitalisation, deployment methods, more sophisticated reporting etc.)
- **Key innovation/market-leading actions (35%)**
(E.g., in ESG, digital assets, private markets, or coming up with new ways to improve efficiencies to traditional asset investments)
- **Adaptability to changing market environment (30%)**
(E.g., approach to adapting to Covid, inflation, falling yields, new technologies, climate risks etc.)

CATEGORIES

PROFICIENCY AWARDS

- Best in Class – Alternative Assets Investing
- Best in Class – Climate Change Policy (NEW)
- Best in Class – (ESG) Environmental, Social and Governance Engagement
- Best in Class – Investing Progress and Innovation
- Best in Class – Response to Covid-19 Pandemic
- Best in Class – Social Impact (NEW)
- Best in Class – Standout CIO
- Best in Class – Technology and Data

Best in Class – Alternative Assets Investing

- How your overall exposure to alternative and private assets has evolved (please include portfolio breakdown, ideally including a breakdown of alternative assets by class and investment returns)
- Steps you have taken to improve your understanding of and engagement with alternative asset fund managers
- Steps you have taken to raise your in-house alternative asset investment capabilities
- Examples of direct or co-investing activity (if relevant)
- Examples of successful divestment or returns upon the conclusion of an LP investment
- Plans to further diversify/increase alternative asset investments

Criteria:

- Creation of long-term plan to improve tech and data capabilities **(30%)**
- Measurability of alternative asset investment success **(35%)**
- Soundness of plan to diversify or increase alternative asset investments **(35%)**

Best in Class – Climate Change Policy (NEW)

- How your institution makes use of advanced measurement metrics to assess portfolio exposure to climate change
- How your organisation assesses the carbon footprint of the companies and projects in which it invests
- How your organisation includes climate conditions in recent or new mandates
- How your institution includes climate-related requirements when selecting new managers

Criteria:

- Use of advanced measurement metrics to assess climate risk **(30%)**
- Measurement of carbon footprint from investment activities and inclusion of climate conditions in new mandates **(35%)**
- Soundness of long-term plan to mitigate climate risks and maintain sustainable investments **(35%)**

CATEGORIES: Proficiency Awards

Best in Class – (ESG) Environmental, Social and Governance Engagement

- How your institution uses its voting rights and other active engagement strategies to influence investee companies to adhere to ESG principles
- How your organisation is utilising ESG principles in its overall investment strategy, risk management and new mandates
- How your organisation has aimed to introduce ESG considerations into the workforce, decision-making and governance
- How your organisation is implementing ESG expectations with external partnerships (e.g., using ESG criteria to help pick external fund managers; adding ESG considerations to fiduciary expectations)

Criteria:

- Active engagement strategies for investment companies **(35%)**
(with measurable evidence of success)
- Integration of ESG principles in overall investment strategy, risk management and mandates **(35%)**
- Implementation of ESG expectations with external partnerships **(30%)**

Best in Class – Investing Progress and Innovation

- How your company has made specific actions to improve internal investment resources, personnel, and governance
- How your organisation is thinking differently and changing how it invests, in comparison to peers
- How your organisation has made changes to risk management solutions
- Improvements to operational/decision-making efficiency
- Depth and growth of talent (number of investment professionals; length of tenure for senior positions; details on important new additions and roles; new internal training)
- Diversification of investments (changes to portfolio breakdown by asset class to improve diversification/respond to market outlook)
- New asset classes/diversification in investment portfolio

Criteria:

- Investments into or adoption of new, innovative ideas to improve operational efficiencies, risk management solutions and decision-making **(35%)**
- Diversification of investments in response to market changes and outlook **(30%)**
- Improvements to internal investment resources, personnel and governance as well as depth and growth of talent **(35%)**

CATEGORIES: Proficiency Awards

Best in Class – Response to Covid-19 Pandemic

- Steps your organisation took to respond to the operational pressures of Covid-19, while bearing in mind employee needs (e.g., by improving work-from-home capabilities; remote communications; staffing changes)
- How your organisation adapted its investment portfolio and risk management in response to the fluctuating markets and changing economic environment that resulted from Covid-19
- How your organisation has evolved its external communications and partnerships in response to the limitations imposed by Covid-19
- Long-term lessons your organisation has learned from the pandemic, and will continue to implement
- Charitable/societal efforts undertaken by your organisation in recognition of the negative impact of Covid-19 on your society/economy

Criteria:

- Improvements to operations, while keeping employee welfare in mind **(30%)**
- How the fund adapted investment portfolio and risk management in response to market changes **(35%)**
- How the fund evolved strategies and partnerships in response to Covid **(35%)**

Best in Class – Social Impact (NEW)

- How your institution ensures diversity and inclusion among leadership positions, the board, employees, and investee workforce
- How your organisation considers the communities in which it operates and efforts to contribute and improve their livelihood
- How involved is your organisation in its impact investing efforts and ensuring positive impact is being made through your investments
- How your organisation takes into consideration human rights, supply chain management and business ethics in your investment practices

Criteria:

- Diversity and inclusion strategies among senior leadership, that board, employees and investee companies **(35%)**
- Approach to ensuring the improvement of communities impacted by investment activities (including measurements of impact investing efforts) **(35%)**
- Consideration of human rights, ethics and supply chain management in investment practices **(30%)**

CATEGORIES: Proficiency Awards

Best in class – Standout CIO

- The overall success of the CIO in terms of improving risk-adjusted investment returns, in absolute terms and versus industry peers (ideally over a three-year period)
- Ways in which the CIO has expanded the inhouse skillset in the investment department (by new training and hiring new experts)
- Steps the CIO has taken to improve portfolio diversification (by assets and geographically, and by inhouse versus outsourced investing)
- How the CIO has improved the investment team's skillsets, team morale and continuity
- How the CIO has improved internal governance, decision-making transparency
- How the CIO has improved external relationships
- Ways in which the CIO has revealed a coherent strategic investment vision with goals

Criteria:

- Approach for risk-adjusted investment returns, in absolute terms and versus industry peers (ideally over a three-year period) **(35%)**
- Approach to ensuring internal governance and external relationships **(30%)**
- Coherence of long-term investment visions and goals **(35%)**

Best in Class – Technology and Data

- How your company has introduced or improved internal technology solutions to raise the efficiency of internal operations
- Evolving existing analysis tools for investment portfolios (e.g., quantitative analysis tools, data pool/warehouse, algorithm-based investment or comparison tools)
- New/updated technology solutions to improve risk management
- Examples of new internal technology personnel or partnerships with external tech providers
- The measurable success of new tech/data resources on investment returns/risk management (including evidence of improvements over the past 12 or 24 months)
- The creation of a long-term plan to improve technology and data for investment operations

Criteria:

- Implementation of internal technology solutions or partnerships with external tech providers to improve operations and risk management **(30%)**
- Measurability of success of new tech/data resources on investment returns and risk management **(35%)**
- Creation of long-term plan to improve tech and data capabilities **(35%)**

TERMS AND CONDITIONS

Please ensure that each entry complies with the following rules. Failure to follow the rules may result in your entry being disqualified at an early stage in the judging process.

AWARD:

For all categories, we will be awarding one WINNER only. It will be subjected to the judges' unanimous decision. In cases where there are 3 or fewer entries in the category, judges will unanimously decide whether an entry is awarded.

CONFIDENTIALITY:

AsianInvestor reserves the right to publish details of the entries in any related publications and materials. If there is certain information in the written entry paper or supporting documents that must be kept confidential, please indicate it clearly by highlighting the information in yellow and add the word CONFIDENTIAL INFORMATION. Please be specific and do not mark the whole entry as confidential.

DEADLINES:

Entrants must submit their entries according to the respective entry deadlines to allow sufficient time to process and resolve any issues before the entries are pushed forward for preliminary judging. Any delay might result in disqualification.

ENTRY CHANGES:

Any details related to the entry submission, summary, supporting material submitted via the online entry form are not allowed to be changed including images or video submission. Any request will be subject to review and prior approval by *AsianInvestor*.

ENTRY SUBMISSION:

You may enter in more than one category however you should tailor your information to the respective category as per the criteria set. For each entry, you must provide separate documentation and supporting materials (if any). Judges may reassign the entries at their discretion.

ENTRY SUBMISSION PLATFORM:

All written entry submissions must be submitted using the online entry platform. We do not accept any entries or supporting material sent via email.

TERMS AND CONDITIONS

EXECUTIVE SUMMARY:

All entries will require a 250-word executive summary to showcase your entry if awarded and to be published. This should be strictly about the entry and why it should win. Summaries that contain company credentials or confidential information are not allowed. This cannot be changed once submitted.

FORMAT:

Formats and file sizes of the entry submission paper, images, supporting materials must be strictly adhered to.

JUDGING:

The judges determine if an entry is worthy of being shortlisted or winning an award. The judges' decisions are final and neither *AsianInvestor* nor the judging panel will enter into any correspondence about them. In cases whereby the number of participating entries is less than three in a single category, the judges have the right to re-distribute the entries into other relevant categories or not award the category

LANGUAGE:

Entry submission such as the online entry form, submission paper must be in English only. Any supporting material or any video submission that are not in English should be accompanied by a translation to avoid being penalised during judging.

PUBLICATION:

AsianInvestor reserves the right to publish non-confidential information for an entry or case study.

QUERIES:

Judges reserve the right to raise queries regarding the information provided and will penalise any entry if there is evidence of inaccurate and misleading claims, which could lead to the entry being disqualified.

RULES:

AsianInvestor reserves the right to withdraw any entry, which breaches any of the Awards' rules. In the event of a complaint against any winning or shortlisted entry, *AsianInvestor* will conduct an investigation into each case and will request detailed documentation from all parties concerned including the complainant, the entrants and the client. If the complaint is upheld, entries and, if applicable, awards, will be withdrawn accordingly.

CONTACT US

AWARDS TEAM

Zamir Khan

Group Head of Awards Events, Asia

Email: zamir.khan@haymarket.asia

Kaling Man

Senior Awards & Events Manager

Email: kaling.man@haymarket.asia

GENERAL ENQUIRY

AsianInvestor Institutional Excellence Awards

Email: asianinvestor.awards@haymarket.asia

COMMERCIAL

Tom Griffin

Commercial Director

Tel.: +852 2122 5262

Email: tom.griffin@haymarket.asia



AsianInvestor
**INSTITUTIONAL
EXCELLENCE**

AWARDS 2021

haymarket[®]

AsianInvestor is published by Haymarket Media Ltd., a subsidiary company of Haymarket Publishing Ltd.

Copyright ©2021 Haymarket Media Ltd. All rights reserved.

These materials may not be published, broadcast, copied, rewritten, or redistributed in any form without prior authorisation.