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Notice of the China Banking Association on Issuing the Implementation Plan for Green Bank Evaluation in China's Banking Industry (Trial)

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Notice of the China Banking Association on Issuing the Implementation Plan for Green Bank Evaluation in China's Banking Industry (Trial)
(Yinxiefafa [2017] No. 171)

All development financial institutions, policy banks, large state-owned banks, joint-stock commercial banks, Postal Savings Bank and other member units:

In order to refine the implementation of the spirit of the CBRC's "Green Credit Guidelines" and other documents, and to standardize the green credit work of banking institutions, according to the "Regulations on Green Credit" Guiding Opinions on Building a Green Financial System" (Yin Fa [2016] No. 228), "Implementation of the "Guiding Opinions on Building a Green Financial System" Division of Labor Plans (Yin Ban Han [2017] No. 294) and other notification requirements, designated by the China Banking Regulatory Commission The China Banking Association is responsible for organizing and implementing green bank evaluations in China's banking industry.

At present, under the guidance of the Policy Research Bureau of the China Banking Regulatory Commission, the China Banking Association has organized and completed the compilation of the "Implementation Plan for Green Bank Evaluation in China's Banking Industry (Trial)", and the implementation plan is now printed and distributed to you. Please participate in the evaluation of green banks. The bank has studied carefully and implemented it according to the actual business reference.

Attachment: "Implementation Plan for Green Bank Evaluation in China's Banking Industry (Trial)"

December 26, 2017

appendix

Implementation Plan for Green Bank Evaluation in China's Banking Industry (Trial)

Chapter 1 General Provisions

Article 1 In order to thoroughly implement the spirit of the document "Developing Green Finance" in the report of the 19th National Congress of the Communist Party of China, implement policies such as the "Guiding Opinions on Building a Green Financial System" and the "Work Division Plan for Implementing the "Guiding Opinions on Building a Green Financial

System" , refine the implementation of the CBRC's "Green Credit Guidelines" and other regulatory requirements, standardize the green credit work of banking institutions, and carry out green bank evaluations. This plan is specially formulated.

Article 2 The green bank evaluation follows the principles of "professionalism, independence and impartiality", comprehensively, prudently and objectively evaluates the green banking work of the participating banks, and guides the banking industry to actively support the green banking industry under the premise of "risk controllable and commercial sustainability" Green, circular and low-carbon economy, effectively prevent environmental and social risks, and improve the environmental and social performance of banking institutions.

Article 3 The green bank evaluation scope initially includes development financial institutions, policy banks, large state-owned banks, joint-stock commercial banks, and Postal Savings Bank of China that carry out the CBRC's annual green credit business self-evaluation. Based on the experience gained, the evaluation scope will be gradually expanded to small and medium commercial banks.

Encourage green financial reform and innovation pilot zones to formulate regional green bank evaluation implementation plans according to local conditions, clarify their scope of application in the plan, and conduct green bank evaluations on a regular basis.

Article 4 The green bank evaluation is based on the "Key Indicators of Green Credit Implementation Form" and its annexes submitted to the CBRC and reviewed by each evaluation object.

Article 5 The frequency of green bank evaluation is once a year.

Chapter II Implementing Organizations and Responsibilities

Article 6 The China Banking Association is responsible for the evaluation of green banks, and organizes the establishment of a "Green Bank Evaluation Working Group" and a "Green Bank Evaluation Expert Group" to carry out specific evaluation and implementation work. The management measures of the "Green Bank Evaluation Working Group" and "Green Bank Evaluation Expert Group" are stipulated separately.

Article 7 The duties of the green bank evaluation working group are: drafting and revising the green bank evaluation implementation plan, participating in the review of the evaluation data submitted by each bank, undertaking other daily work of the green bank evaluation, and solving the problems arising in the evaluation in a timely manner.

The members of the green bank evaluation working group are composed of key members of the green credit business recommended by major banks, and are selected and determined by the China Banking Association.

Article 8 The duties of the green bank evaluation expert group are: to examine and approve the green bank evaluation implementation plan, the evaluation index and the weight setting plan, evaluate the fairness and rationality of the green bank evaluation work, and deal with major problems encountered in the green bank evaluation.

The green bank evaluation expert group is composed of green credit experts recommended by major banks, as well as green credit experts from third-party intermediaries, non-governmental organizations, academic research institutions, etc.,

and is selected and determined by the China Banking Association.

Chapter 3 Evaluation Basis, Weight and Scoring Method

Article 9 The green bank evaluation is based on the qualitative index evaluation results and quantitative index evaluation results of the "Key Indicators of Green Credit Implementation Form" and the "Green Credit Implementation Self-Assessment Report" submitted by the participating banks that have been reviewed by the Green Bank Evaluation Working Group. . The results of the report shall be reviewed by the reviewers and re-evaluators, and shall be signed or printed by the general reviewer for confirmation.

Article 10 The evaluation weights of green banks involve five categories of qualitative indicators (organizational management, policy system capacity building, process management, internal control and information disclosure, supervision and inspection) in the first-level indicators of the "Key Indicators of Green Credit Implementation Form", which are set separately. Evaluation weight. The indicator weights are set according to the green credit priorities of major domestic banks, and are adjusted in time depending on the green credit business of the participating banks. For the current weight value, please refer to the Green Bank Evaluation Score Sheet.

Article 11 In the evaluation of green banks, the total score of qualitative evaluation is 100 points. The scores of the qualitative evaluation items of the participating banks are calculated according to the following formula:

$$\text{Qualitative evaluation item score} = \sum (\text{evaluation item score} \times \text{evaluation result score coefficient of the evaluation item})$$

The score

of each evaluation item is evenly distributed within the evaluation score of the secondary index to which it belongs. (For example, the score of evaluation item 2.7.1 is $12 \div 3 = 4$ points).

The scoring coefficients of the evaluation results corresponding to the four categories of "complying", "basically conforming", "not applicable" and "less conforming" determined by the review evaluation results are 100%, 75%, 30% and 0 respectively.

Select two comprehensive quantitative evaluation indicators as bonus items. Quantitative evaluation indicators can add up to 5 points. For specific score settings, please refer to the Green Bank Evaluation Score Sheet.

Green Bank Evaluation Score Sheet

Chapter 4 Evaluation Workflow

Article 12 Evaluation Workflow

1. According to the "Notice on Printing and Distributing Key Evaluation Indicators of Green Credit Implementation" (Yin Jian Ban Fa [2014] No. 186), each major bank formally submits the "Green Credit Implementation Status" to the CBRC every year. "Key Indicators Filling Form" and its annexes, and "Self-evaluation Report on Green Credit Implementation" are the basic materials for the evaluation of green banks.

2. The China Banking Regulatory Commission will forward the materials submitted by major banks to the China Banking Association, including the Filling Form for Key Indicators of Green Credit Implementation and the Self-Assessment Report on Green Credit Implementation.

3. After the China Banking Association receives the basic evaluation materials, it will organize the green bank evaluation working group to carry out evaluation review, put forward preliminary evaluation conclusions, and report to the green bank evaluation expert group for review and confirmation.

4. The China Banking Association organized members of the green bank evaluation expert group to hold a green bank evaluation summary meeting to review the green bank evaluation results of each bank.

Chapter 5 Evaluation and Grading

Article 13 The evaluation results are divided into four grades according to the scoring results, namely, the units with excellent green banking business, the good units with green banking business, the qualified units with green banking business, and the general units with green banking business.

Chapter 6 Application of Evaluation Results

Article 14 The evaluation results will be submitted to the China Banking Regulatory Commission for reference in off-site supervision of the banking industry, regulatory rating, etc., and submitted to the seven ministries and commissions that jointly issued the "Guiding Opinions on Building a Green Financial System" as the basis and reference for relevant work. Opportunity to announce to the public.

Chapter VII Supplementary Provisions

Article 15 This plan is a trial plan, and the banking association is responsible for the preparation and interpretation of the plan, and will be gradually revised and improved in the follow-up implementation process based on the feedback of the evaluation results.

Article 16 This plan will be implemented from January 1, 2018.

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