

ESG 数据集—环境行政处罚数据

1. 数据集名称：环境行政处罚数据
2. 数据集访问方式：联系 esg@epmap.org
3. 数据起止时间：2017/2018/2019/2020
4. 更新频度：每天
5. 数据量：

年份	市场	处罚量	涉及公司数量	涉及上市公司数量
2017	hk	358	219	104
2017	sh	1705	669	295
2017	sz	1197	480	300
2018	hk	886	481	186
2018	sh	3258	1155	428
2018	sz	2403	1013	534
2019	hk	690	412	176
2019	sh	3015	1187	419
2019	sz	1737	847	477
2020	hk	373	247	132
2020	sh	707	319	159
2020	sz	370	221	152

备注：2020/2021 年处罚仍在整理中

6. 地区覆盖度：全国上市公司与发债企业
7. 数据交付时间：T+0
8. 数据来源：各级生态环境部门及政府网站
9. 数据说明：

在自动收集基础上，经人工复核并进行结构化。

10. 数据集内容：

a) 基础资料：含所述上市公司名称，证券代码，被处罚公司（可能为子公

司) 名称

b) 具体处罚内容: 含处罚文书号, 处罚类别, 处罚时间, 违法事实, 处罚内容, 处罚金额, 处罚机关。

所属证券代码	600XXX
所属上市公司	XX 股份有限公司
被处罚公司	XXX 水务有限公司
处罚类别	行政处罚
处罚时间	20180420
处罚文书号	三环罚〔2018〕第 14 号
违法事实	废水排放口化学需氧量浓度为 47mg/L, 超过了河南省地方标准《涧河流域水污染物排放标准》(DB41/1258-2016) 表 1 规定限值 (化学需氧量排放限值 40mg/L)
处罚内容	责令整改, 罚款
处罚金额	170,000
处罚单位	三门峡市环保局

11. 数据集推荐用途 (仅为示例, 不限于如下用途):

- a) 对目标上市公司或发债企业进行环境信用及 ESG 风险评估。
- b) 一级市场股权投资或者二级市场股票债券市场尽调。

12. 数据集使用案例:

- a) 上海青悦 2018, 2019 年上市公司年报, 半年报环境信息披露检查报告, IPO, 发债企业环境信息披露报告
- b) 相关媒体报道:
 - 1) 《中国环境报》:《3600 家上市公司环境处罚披露率不到一成, 市值位列前 100 的企业未披露率反而更高》
 - i. (<https://res.cenews.com.cn/h5/news.html?id=95583>)
 - 2) 《中国环境报》:《7 家环境治理类上市公司受处罚未披露, 金圆环保、伟明

环保、远达环保、上海环境在列!》

- i. (<https://res.cenews.com.cn/h5/news.html?id=97036>)
- 3) 《中国环境报》:《A 股造纸业上市公司环境信息披露表现良好》
 - i. (<https://res.cenews.com.cn/h5/news.html?id=99326>)
- 4) 《中国环境报》:《非织造产业成立绿色发展联盟》
 - i. (http://epaper.cenews.com.cn/html/2020-09/18/content_97913.htm)
- 5) 《中国化工报》:《主动披露屈指可数! 上市化企环境信息披露亟待完善》
 - i. (<https://mp.weixin.qq.com/s/igktpGoogcf0Nc7Xn38pww>)
- 6) 《每日经济新闻》:《中国上市公司 ESG 信息披露评价 2020: 部分高市值企业未发布 ESG 报告 气候变化应对普遍不足》
 - i. (<https://m.nbd.com.cn/articles/2020-09-23/1511410.html>)
- 7) 《中国环境报》:《上市公司 ESG 信息披露评价结果发布——大多数 A 股企业缺乏 ESG 报告》
 - i. (http://epaper.cenews.com.cn/html/2020-10/09/content_98337.htm)
- 8) 《上海证券报》:《近 60 家 A 股公司披露“环保罚单” 环境信息强制披露乃大势所趋》
 - i. (<https://news.cnstock.com/paper,2020-10-20,1381201.htm>)

13. 联系方式:

上海闵行区青悦环保信息技术服务中心

邮箱: esg@epmap.org

网址: <http://www.epmap.org>

微博: 上海青悦环保

微信: 美丽环境行动者 ESG 行动者 排污许可行动者

上海青悦 ESG 信息披露与评级方法论参见: <http://www.epmap.org/esgmeth>

ESG data set environmental administrative penalty data

one Data set name: environmental administrative penalty data

two Dataset access: contact support@epmap.org

three Data start and end time: 2018 / 2019

four Update frequency: every day

five Data volume:

year	market	Number of penalty	Number of company punished	Number of List company impacted
2017	hk	358	219	104
2017	sh	1705	669	295
2017	sz	1197	480	300
2018	hk	886	481	186
2018	sh	3258	1155	428
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2019	hk	690	412	176
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Note: penalties in 2020 are still being sorted out

six Regional coverage: listed companies and bond issuers in China

seven Data delivery time: T + 0

eight Data source: ecological and environmental departments at all levels and government websites

nine Data Description:

After manual review and structured.

ten Data set content:

a) Basic information: including the name of the listed company, the securities code, and the name of the punished company (which may be a subsidiary)

b) Specific punishment content: including punishment document number, punishment category, punishment time, illegal facts, punishment content, punishment amount and punishment organ.

Security code	600XXX
listed company	XX Co., Ltd
Punished company	XXX water Co., Ltd
Category of punishment	administrative sanction
Penalty time	20180420
Punishment document number	三环罚〔2018〕第14号
Illegal facts	The COD concentration at the wastewater discharge outlet is 47mg / L, which exceeds the limit specified in Table 1 of the local standard of Jianhe river basin water pollutants discharge standard (db41 / 1258-2016) (COD discharge limit 40mg / L)
Content of punishment	Order rectification and fine
Penalty amount	170,000
Punishment organ	Sanmenxia Environmental Protection Bureau

eleven Recommended use of data set (for example only, not limited to the following uses)

a) Evaluate the environmental credit and ESG risk of the target listed companies or bond issuing enterprises.

b) The equity investment in the primary market or the stock and bond market in the secondary market should be fully adjusted.

twelve Data set use case:

a) Shanghai Qingyue 20182019 annual report of listed companies, semi annual report, environmental information disclosure inspection report, IPO, bond issuing enterprise environmental information disclosure report

b) Related media reports:

1) 《 China environment daily: "the disclosure rate of environmental punishment of 3600 listed companies is less than 10%, but the non disclosure rate of the top 100 companies in market value is higher."

i. (<https://res.cenews.com.cn/h5/news.html?id=95583>)

2) 《 China environment daily: "seven listed companies of environmental governance are punished but not disclosed. Jinyuan environmental protection, Weiming environmental protection, Yuanda environmental protection and Shanghai environmental protection are listed!"

i. (<https://res.cenews.com.cn/h5/news.html?id=97036>)

3) 《 China environment daily: environmental information disclosure performance of A-share paper industry listed companies is good

i. (<https://res.cenews.com.cn/h5/news.html?id=99326>)

4) 《 China environment daily: Nonwoven Industry establishes Green Development Alliance

i. (http://epaper.cenews.com.cn/html/2020-09/18/content_97913.htm)

5) 《 China Chemical Industry Daily: only a handful of active disclosure! Environmental information disclosure of listed enterprises needs to be improved

i. (<https://mp.weixin.qq.com/s/igktpGoogcf0Nc7Xn38pww>)

6) 《 Daily economic news: evaluation of ESG information disclosure of Chinese listed companies 2020: some high market value enterprises do not issue ESG reports, and climate change response is generally inadequate

i. (<https://m.nbd.com.cn/articles/2020-09-23/1511410.html>)

7) 《 China environment daily: release of ESG information disclosure evaluation results of Listed Companies -- most A-share companies lack ESG reports

i. (http://epaper.cenews.com.cn/html/2020-10/09/content_98337.htm)

8) 《 Shanghai Securities News: "nearly 60 A-share companies disclose" environmental protection tickets "compulsory disclosure of environmental information is the general trend"

i. (https://news.cnstock.com/paper_2020-10-20,1381201.htm)

thirteen contact information:

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website: <http://www.epmap.org>

Microblog: Shanghai Qingyue environmental protection

Wechat: beautiful environment actor, ESG actor, emission permit actor

For the information disclosure and Rating Methodology of Shanghai Qingyue

ESG, please refer to: <http://www.epmap.org/esgmethod>