

# 上海商業儲蓄銀行 000 年董事成員考核自評問卷

## The Shanghai Commercial & Savings Bank

### Questionnaire of Self-Evaluation of Performance of [YEAR] Board Members

適用：每位董事對自我表現之績效評估 評估期間：\_\_\_\_年自 1 月 1 日至 12 月 31 日止

Applicable：Each director filling out the performance evaluation of the him/herself.

Evaluated period：From 1 Jan to 31 Dec \_\_\_\_ (year)

| 考核項目<br>Evaluation Items  | 考核結果(打✓)<br>Evaluation Results |   |   |   |   | 備註<br>Note                   |
|---|--------------------------------|---|---|---|---|------------------------------|
| <b>壹. 公司目標與任務之掌握 Familiarity with the goals and missions of the company</b>   |                                |   |   |   |   |                              |
| 1. 董事確實了解公司的核心價值觀（如紀律、使命、榮譽、願景等理念）<br>Do directors understand the company's core value (philosophies such as discipline, mission, honor and vision)?                            | 1                              | 2 | 3 | 4 | 5 |                              |
| 2. 董事對於董事會設定之公司所有策略性目標有明確的了解？<br>Do directors clearly understand all the strategic goals of the company defined by the board of directors?                                      | 1                              | 2 | 3 | 4 | 5 |                              |
| 3. 董事明確了解公司所處產業之特性及風險<br>Do directors understand the characteristics and risks of the industry in which the company operates business?  | 1                              | 2 | 3 | 4 | 5 |                              |
| <b>貳. 董事職責認知 Awareness of the duties and responsibilities of a director</b>   |                                |   |   |   |   |                              |
| 4. 董事已充分了解董事的法定義務？<br>Do directors understand the legal obligations a director needs to perform?  | 1                              | 2 | 3 | 4 | 5 |                              |
| 5. 新任董事已了解其職責及熟悉公司運作及環境<br>Do new directors understand their duties and responsibilities and the operation and environment of the company?                                      | 1                              | 2 | 3 | 4 | 5 |                              |
| 6. 董事對於執行董事職務時所獲取的公司內部相關資訊，確實遵守保密義務？<br>Are directors keeping in confidentiality the internal information of the company they have obtained during performance of their duties? | 1                              | 2 | 3 | 4 | 5 |                              |
| <b>參. 對公司營運之參與程度 Participation in the company's operation</b>   |                                |   |   |   |   |                              |
| 7. 董事實際出席董事會情形良好（不含委託出席）（100%為 5 分、99%~81%為 4 分、80%為 3 分、79%~61%為 2 分、60%(含)以下為 1 分）  | 1                              | 2 | 3 | 4 | 5 | 由董事會秘書室提供數據<br>Data provided |

| 考核項目<br>Evaluation Items  | 考核結果(打✓)<br>Evaluation Results |   |   |   |   | 備註<br>Note                |
|---|--------------------------------|---|---|---|---|---------------------------|
| Is it true, on average, an individual director's attendance (not including attendance by proxy) at the board meeting is good?<br>100% : 5      99%~81% : 4      80% : 3      79%~61% : 2      under 60%(include) : 1                                      |                                |   |   |   |   | by the Board of Directors |
| 8. 董事於董事會前已閱讀及瞭解會議資料，以利董事會議時能夠充分履行其職責<br>Do directors understand and read meeting materials before a board meeting for the board to perform its functions?  | 1                              | 2 | 3 | 4 | 5 |                           |
| 9. 董事投入於董事會相關事務之時間足夠<br>Do directors spend sufficient time on matters relating to the board of directors?   | 1                              | 2 | 3 | 4 | 5 |                           |
| 10. 董事在董事會上做出有效的貢獻？例如對於議案提出具體建議等。<br>Do directors make validated contributions at the board meetings, e.g. provide specific suggestions on proposals?   | 1                              | 2 | 3 | 4 | 5 |                           |
| 11. 董事收受會議紀錄時，詳細閱讀紀錄內容，並確認其已適當地記錄討論內容及個人或集體的保留意見或關切<br>Do directors read the meeting minutes after receipt of the documents, and any qualified opinion or concerns expressed and raised by individual director or in unanimity?                           | 1                              | 2 | 3 | 4 | 5 |                           |
| 12. 董事對公司、公司經營團隊及公司所屬產業有清楚瞭解，以進行專業且適當之判斷<br>Do directors have a clear understanding of the company, its management team and the industry in which the company operates to make professional and appropriate judgment?                                     | 1                              | 2 | 3 | 4 | 5 |                           |
| 13. 董事已確實評估、監督公司存在或潛在之各種風險，且對內控制度之執行與追蹤情形予以討論<br>Do directors diligently assess and keep track of existing or potential risks to the company? Are directors involved in discussion of implementation and follow-up status of the internal control system? | 1                              | 2 | 3 | 4 | 5 |                           |
| 14. 董事未兼任多家公司的董監事職務<br>Is it true no director concurrently acts as director or supervisor in multiple companies?  | 1                              | 2 | 3 | 4 | 5 |                           |
| <b>肆.內部關係經營與溝通 Management of internal relationship and communication</b>  |                                |   |   |   |   |                           |
| 15. 董事會與經營團隊的互動情形良好<br>Does the board of directors have a positive interaction with the   | 1                              | 2 | 3 | 4 | 5 |                           |

| 考核項目<br>Evaluation Items  | 考核結果(打✓)<br>Evaluation Results |   |   |   |   | 備註<br>Note |
|---|--------------------------------|---|---|---|---|------------|
| management team?  |                                |   |   |   |   |            |
| 16. 董事與其他董事成員有良好的溝通<br>Do directors have good communications with other board members?  | 1                              | 2 | 3 | 4 | 5 |            |
| 17. 董事與簽證會計師已進行充分溝通及交流<br>Do directors engage in communications and exchanges with CPAs?  | 1                              | 2 | 3 | 4 | 5 |            |
| <b>伍. 董事之專業及持續進修 The director's professionalism and continued knowledge development</b>   |                                |   |   |   |   |            |
| 18. 董事具備董事會決策執行所需的專業<br>Do directors have the professionalism required in the board's implementation of decisions?  | 1                              | 2 | 3 | 4 | 5 |            |
| 19. 董事已在各自專業能力以外之範圍進修多元化之課程，於每年進行適當之進修時數<br>Have directors attended a variety of courses beyond their respective professional capabilities and the required hours of advanced studies in a year?  | 1                              | 2 | 3 | 4 | 5 |            |
| 20. 董事有持續強化其專業知識與技能<br>Do directors continue to strengthen their professional knowledge and skills?   | 1                              | 2 | 3 | 4 | 5 |            |
| <b>陸. 內部控制 Internal control</b>   |                                |   |   |   |   |            |
| 21. 相關議案若遇有需董事利益迴避者，董事已確實予以迴避？<br>When an issue on the agenda requires recusal of a director to avoid conflict of interest, does the director recuse him/herself?   | 1                              | 2 | 3 | 4 | 5 |            |
| 22. 董事已有效的評估與監督各項內部控制制度及風險管理的有效性<br>Do directors effectively evaluate and supervise the effectiveness of various internal control systems and risk control measures?  | 1                              | 2 | 3 | 4 | 5 |            |
| 23. 董事針對公司內部控制制度之有效性、會計制度、財務狀況與財務報告、防制洗錢及打擊資恐內部控制報告、法遵報告、稽核報告及其追蹤情形能予以了解及監督<br>Do directors take actions to understand and supervise the company's the overall efficacy of the internal control system , accounting system, financial position and financial reports, internal control system reports of Anti-Money Laundering and Countering Terrorism Financing, compliance reports, audit reports and their follow-up? | 1                              | 2 | 3 | 4 | 5 |            |
| 其他補充說明 Others (Determine what to be included, if any, on your own)  |                                |   |   |   |   |            |

| 考核項目<br>Evaluation Items                                      | 考核結果(打✓)<br>Evaluation Results | 備註<br>Note |
|---|--------------------------------|------------|
| <p>董事/Director: _____(簽章/Signature)</p> <p>日期/Date: _____</p> |                                |            |

註1：考核結果分為5個等級之方式呈現，考核等級原則說明如下：

The evaluated results are presented in five levels. The evaluated criteria are as follows:

數字1：極差(非常不同意)；數字2：差(不同意)；數字3：中等(普通)；數字4：優(同意)；數字5：極優(非常同意)。  
Number 1: Very poor (very disagree); Number 2: Poor (disagree); Number 3: Medium (normal); Number 4: Excellent (consent); Number 5: Extremely Excellent (very agree).

註2：各項指標考核結果評分無法充分表達，可於備註欄位說明。

If the evaluation results of an individual item to be evaluated are not a full indication of what is being evaluated, add more information in the note column.

◎衡量指標自評結果(以下由董事會秘書室填寫)：

| 自評結果         | 項目數(A) | 分數(B) | 權重(C) | 小計(D) | 總分(T) |
|--------------|--------|-------|-------|-------|-------|
| 壹.公司目標與任務之掌握 | 3      |       | 20%   |       |       |
| 貳.董事職責認知     | 3      |       | 10%   |       |       |
| 參.對公司營運之參與程度 | 8      |       | 30%   |       |       |
| 肆.內部關係經營與溝通  | 3      |       | 10%   |       |       |
| 伍.董事之專業及持續進修 | 3      |       | 10%   |       |       |
| 陸.內部控制       | 3      |       | 20%   |       |       |

※ $D = B/A * C$ ，T為各項自評結果D之加總

單位主管：

承辦人：