附表三

上海商業儲蓄銀行 OOO 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<u>自我表現</u>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			吉果	(打	√)	備註		
Evaluation Items	Evaluation Results				ults	Note		
壹.公司目標與任務之掌握 Familiarity with the goals and missions of the company								
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)								
Do directors understand the company's core value	1	2	3	4	5			
(philosophies such as discipline, mission, honor and								
vision)?								
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?								
Do directors clearly understand all the strategic goals of	1	2	3	4	5			
the company defined by the board of directors?								
3. 董事明確了解公司所處產業之特性及風險								
Do directors understand the characteristics and risks of the	1	2	3	4	5			
industry in which the company operates business?								
貳. 董事職責認知 Awareness of the duties and responsibilities of a director								
4. 董事已充分了解董事的法定義務?								
Do directors understand the legal obligations a director	1	2	3	4	5			
needs to perform?								
5. 新任董事已了解其職責及熟悉公司運作及環境								
Do new directors understand their duties and	1	2	3	4	5			
responsibilities and the operation and environment of the	1		3	4	3			
company?								
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?								
Are directors keeping in confidentiality the internal	1	2	3	4	5			
information of the company they have obtained during								
performance of their duties?								
多. 對公司營運之參與程度 Participation in the company's operation								
7. 董事實際出席董事會情形良好(不含委託出席)(100%為 5 分、						由董事會秘書室		
99%~81%為 4 分、80%為 3 分、79%~61%為 2 分、60%(含)以下為 1	1	2	3	4	5	提供數據		
分)						Data provided		

Evaluation Results	考核項目	考核結果(打✔)		√)	備註		
(not including attendance by proxy) at the board meeting is good? 100%:5 99%-81%:4 80%:3 79%-61%:2 under 60%(include):1 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定 分履行其職責 Do directors understand and read meeting materials before a board meeting for the board to perform its functions? 9. 董事投入於董事會相關事務之時間是夠 Do directors spend sufficient time on matters relating to the board of directors? 10. 董事在董事會上做出有效的貢獻?例如對於議業提出具體建議等。 Do directors make validated contributions at the board meetings, e.g. provide specific suggestions on proposals? 11. 董事收受會議起錄時,詳細閱讀起網容,並確認其已適當地起發對論例容及個人或集體的係留意見或關切 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? 12. 董事對公司、公司經營團隊及公司所屬產業有清楚瞭解,以進行專業取過當之判斷 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? 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 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? 14. 董事未兼任多家公司的董監事廠務 Bi true no director concurrently acts as director or supervisor in multiple companies? \$\mathbf{x}\$, \$\mathbf{y}\$ and \$\mathbf{y}\$ and \$\mathbf{y}\$ bo 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? 14. 董事未兼任多家公司的董監事廠務 Bi true no director concurrently acts as director or supervisor in multiple companies?	Evaluation Items	Evaluation Results		ults	Note		
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等。 Do directors make validated contributions at the board meetings, e.g. provide specific suggestions on proposals? 1. 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 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? 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 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? 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 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? 14. 董事未兼任多家公司的董監事職務 Is it true no director concurrently acts as director or supervisor in multiple companies? 2 3 4 5 1 2 3 4	directors?						
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	肆.內部關係經營與溝通 Management of internal relationship and communication						
	15. 董事會與經營團隊的互動情形良好						
		1	2	3	4	5	

考核項目	考核結果(打✔)			(打	備註	
Evaluation Items	Evaluation Results			Res	Note	
management team?						
16. 董事與其他董事成員有良好的溝通		2	3		_	
Do directors have good communications with other board members?				4	5	
17. 董事與簽證會計師已進行充分溝通及交流						
Do directors engage in communications and exchanges with	1	2	3	4	5	
CPAs?						
伍. 董事之專業及持續進修 The director's professionalism and continue	d kı	nov	vled	ge d	evel	opment
18. 董事具備董事會決策執行所需的專業						
Do directors have the professionalism required in the board's	1	2	3	4	5	
implementation of decisions?						
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						
Have directors attended a variety of courses beyond their	1	2	3	4	5	
respective professional capabilities and the required						
hours of advanced studies in a year?						
20. 董事有持續強化其專業知識與技能						
Do directors continue to strengthen their professional	1	2	3	4	5	
knowledge and skills?						
陸.內部控制 Internal control						
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?						
When an issue on the agenda requires recusal of a director to avoid		2	3	4	5	
conflict of interest, does the director recuse him/herself?						
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	1	٦	2	4	_	
Do directors effectively evaluate and supervise the effectiveness of	1	2	3	4	5	
various internal control systems and risk control measures?						
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						
Do directors take actions to understand and supervise the company's	1	2	3	4	5	
the overall efficacy of the internal control system, accounting system,	1		3	4	3	
inancial position and financial reports, internal control system reports						
of Anti-Money Laundering and Countering Terrorism Financing,						
compliance reports, audit reports and their follow-up?						
其他補充說明 Others (Determine what to be included if any	0	n T	OU12	OW	n)	

考核項目		考核結果(打✔)	備註
Evaluation Items	Evaluation Results	Note	
董事/Director:	_(簽章/Signat	ure)	
日期/Date:			

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: