

Instruction for using the form

This form is to be used for the purpose of assessment of the collective suitability of members of bodies of supervised entities in accordance with the assessment methodology adopted by the Polish Financial Supervision Authority (KNF). The purpose of this form is to simplify the verification of whether a body fulfills the assessment criteria pertaining to the competence level and quantitative criteria specific to some bodies.

Start filling out the form by entering information on the entity carrying out the assessment, grounds for the assessment (as indicated in section 4.1.3. of the methodology adopted by the KNF), assessment date, previous assessment date, and names of the members of the body subject to the assessment in tab "I – Basic". In tabs "II – Management", "III – Risk", and "IV – Business lines", provide information on the level of particular competences of individual body members (preferably based on the data indicated in appendix D to the individual assessment form for the determination of competences of a person subject to the assessment). You can delete the lines that pertain to competences which are not assessed by the supervised entity (e.g. lines that are applicable only to other market segments). You can also add additional lines pertaining to competences which are assessed by the entity, but which are not indicated as obligatory in the methodology. In tabs "II – Management" and "III – Risk", provide also information on the collective suitability requirements adopted by the entity for individual criteria. The form provides for four types of requirements:

- Minimum level of a leader – this requirement is meant to guarantee that a given competence is represented in the body at least at a specific level;
 - Minimum level of a vice-leader – this requirement should be applied in parallel with the minimum level of a leader criterion; it is meant to ensure replaceability/continuity of task performance by the body in the case of the person having the highest level of competence in a given area being temporarily unable to perform;
 - Average level in the body – pertains to competences which the body as a whole should display at a certain level;
 - Minimum level in the body – applies to competences which all members of the body should display at a certain level.
- In tab "V – Quantitative criteria", fill out only the lines which apply to the entity performing the assessment (e.g. a pension company will not fill out fields applicable only to cooperative banks or insurance companies) and the body subject to the assessment (e.g. when performing an assessment of a supervisory board, you do not have to fill out fields that apply only to management boards). The remaining lines can be deleted.

If all the fields have been filled out, information on the fulfillment of requirements will be displayed in the last column in tabs II to V. If "Fulfilled" is displayed in all the relevant lines, the result of the collective assessment is positive. If "Not fulfilled" is displayed in at least one field, the result of the assessment is negative in this regard and the entity should take the measures indicated in section 5.1.3. of the methodology.

Collective suitability assessment

Part I – Basic data

Entity:	(entity name)
Body:	(body name)
Assessment date:	(assessment date)

Grounds for carrying out the assessment:	(specify grounds)
Date of the previous assessment:	(date of the previous assessment)

Composition of the board (first names and surnames)	(person 1)
	(person 2)
	(person 3)
	(person 4)
	(person 5)
	(person 6)
	(person 7)
	(person 8)
	(person 9)
	(person 10)

Remarks:	
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Collective suitability assessment

Part IV – competences in the scope of the main areas of activity/business lines of the entity

Business Line 1 (specify)	(person 1)	(person 2)	(person 3)	(person 4)	(person 5)	(person 6)	(person 7)	(person 8)	(person 9)	(person 10)

Entity:
 Body:
 Assessment date:

Minimum level of a leader	displayed level:	Minimum level of a vice-leader	displayed level:	Average level in the body	displayed level:	Minimum level in the body	displayed level:	Summary
0 – None		0 – None		0 – None		0 – None		Spethia

Collective suitability assessment

Part V – Quantitative criteria

	(person 1)	(person 2)	(person 3)	(person 4)	(person 5)	(person 6)	(person 7)	(person 8)	(person 9)	(person 10)
Applicable to supervisory boards of cooperative banks										
Is the given member a member and an employee of the cooperative bank carrying out the assessment:										
Applicable to management boards of insurance companies										
Does the given member have professional experience necessary to manage the company:										
Does the given member have evidenced knowledge of the Polish language:										
Applicable to management boards of pension companies										
Does the given member have evidenced knowledge of the Polish language:										
Does the given member have a university degree in law or economics or has been entered into the register of investment advisors:										
Seniority (in years)										
Applicable to supervisory boards of pension companies										
Does the given member have a university degree in law or economics:										
Was the given member elected by the members of the employee pension company:										
Was the given member appointed from outside of the universal pension company shareholders:										
Other criteria adopted by the entity (e.g. criteria arising from the suitability policy)										
Enumerate:										

Entity:

Body:

Assessment date:

(entity name)

(body name)

(assessment date)

Summary	
Max. one-fifth of the supervisory board members may be employees and members of the bank	Spelnia
At least half of the management board members must have it:	Spelnia
At least half of the management board members must have it:	Spelnia
At least two persons must have it:	Spelnia
At least one-third of the management board members must have it:	Spelnia
Min. two-thirds of the management board members must have seniority of more than seven years:	Spelnia
At least half of the supervisory board members must have one:	Spelnia
At least half of the supervisory board members must have been:	Spelnia
At least half of the supervisory board members must have been appointed this way:	Spelnia
Enumerate:	Are the criteria fulfilled? (specify)

Collective suitability assessment

Part VI – Dedicating time

Entity:

(entity name)

Body:

(body name)

Assessment date:

(assessment date)

Number of meetings within the last 24 months:

Average attendance at meetings (%):

Assessment:

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five-level Text	Value	two-level		Yes/No
0 – None	0	0 – Not fulfilled	0	0 – No
1 – Basic	1	1 – Fulfilled	1	1 – Yes
2 – Medium	2			
3 – High	3			
4 – Very high	4			