



# THE PERFORMANCE APPRAISAL PROCESS FOR HEADS OF CONTROL FUNCTIONS; THE GRAY AREAS

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# AGENDA



1. **Control Functions Context**
2. **Strategic Planning Process**
3. **Measurement and Execution Methodologies**
4. **Key Issues in PM**
5. **Best Practices**
6. **Gray Areas**
7. **Intelligence from collected data**

# Control Functions Context



01

AUDIT

02

RISK

03

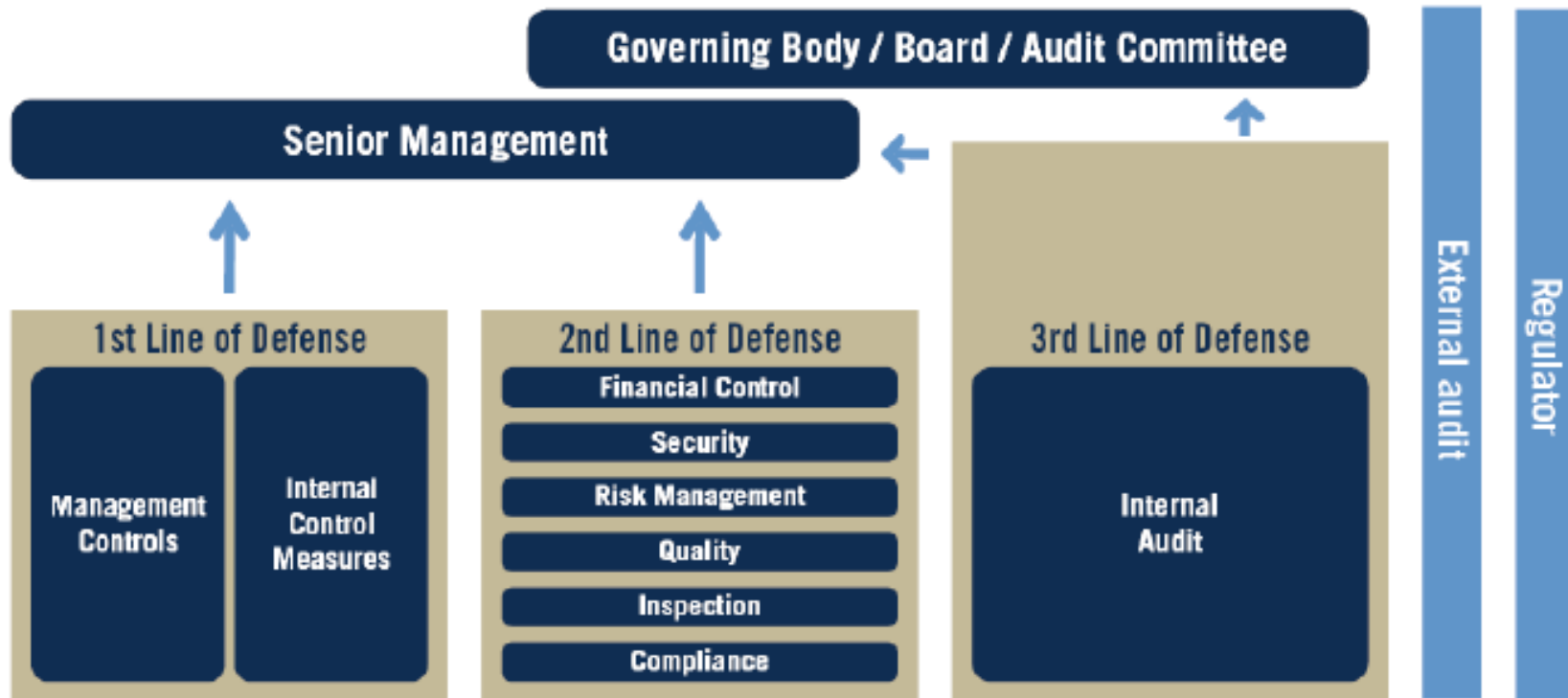
COMPLIANCE

04

SECURITY AND INVESTIGATION

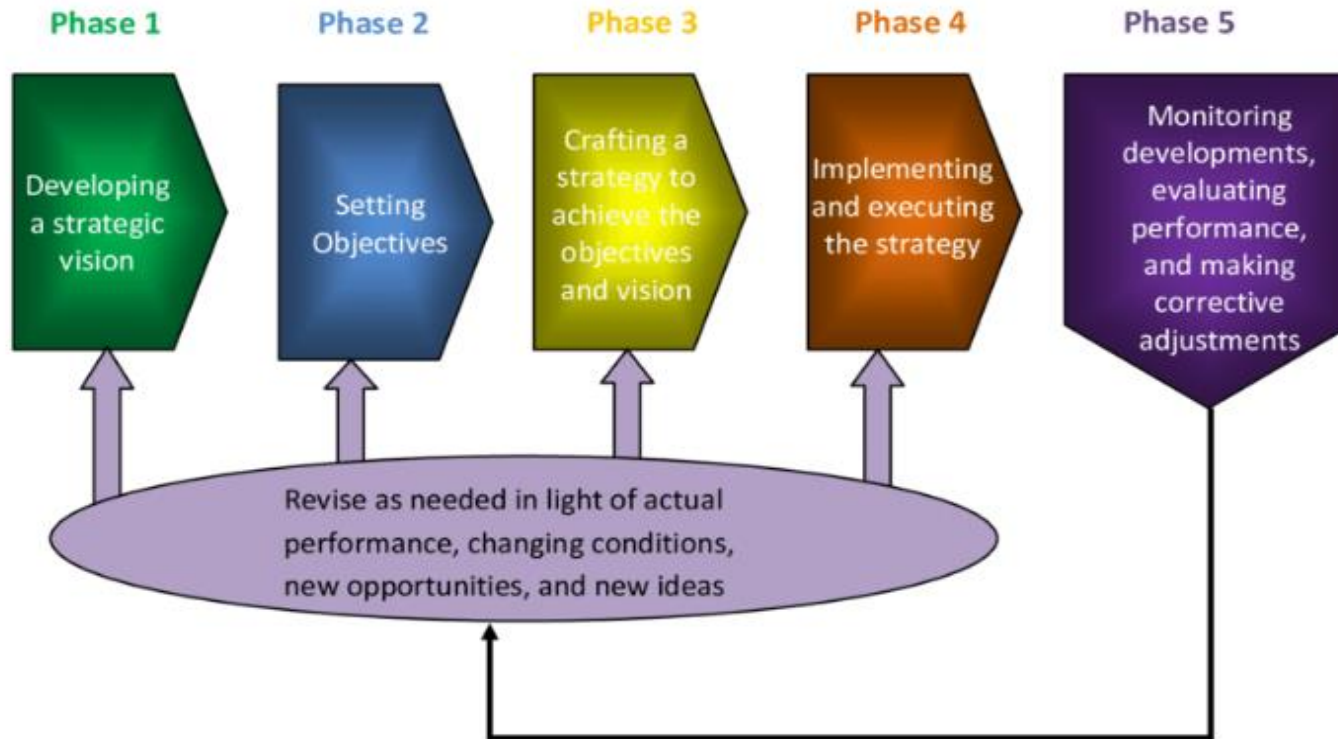
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# Control Functions Context ...



*The three lines of defense risk governance model provide direction on the control functions **reporting lines** and accountability.*

# Strategic Planning Process



Controls functions activities should support the wider organizational strategy and plans implementation

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# Measurement and Execution Methodologies



**BALANCED SCORECARD**

**ASSESSMENT CENTRE METHOD**



**PSYCHOLOGICAL APPRAISAL**

**360 DEGREE FEEDBACK**



**HUMAN RESOURCE ACCOUNTING METHOD**

**MANAGEMENT BY OBJECTIVES**

**BEHAVIOURALLY ANCHORED RATING SCALE (BARS)**



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# Key Issues in PM



01

VALUE ADDING PROCESS

02

OBJECTIVITY PROCESS

03

INDEPENDENCE

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## Measuring performance for Control Function Heads

1

Selecting quantifiable factors that are clearly linked to the drivers of success of the business- **Risk Based**

2

Tailor your objectives to specific organizational circumstances and objectives

3

Involve correct stakeholders i.e. direct line managers and administrative

4

Build capacity, benchmark, peer to peer reviews

5

Collaboration between board and executive in capacity building and performance management.

# Gray Areas



**1. What to measure – Metrics / KPIs?**

**2. Who should review performance?**

**3. Should the CEO be involved?**

**4. How to identify and handle non-performance?**

**5. How to address capacity gaps?**

# Facilitator



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# The End



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