

Process	Sub-Process	What (Objective)	Why (Risk or Exposure)	RETURN TO MENU	How (Applicable Controls)	Control Number
F Human Resources, Compensation & Benefits	F6 Employee Performance	Employee performance is regularly assessed; appropriate compensation adjustments are taken.	Well performing employees may seek other employment; poor performing employee behavior may go unchallenged and unchanged.		A documented code of conduct exists and includes compliance measurement and disciplinary procedures.	F6-1.1.1
					There is a mechanism in place through which employees' performances are regularly assessed against agreed upon defined goals and objectives.	F6-1.1.2
					Employees understand and acknowledge their job responsibilities and the scope of their positions.	F6-1.1.3
					Measurable goals and objectives relating to the individual roles and responsibilities are established and monitored by appropriate management. The reasons for non-achievement are identified and reviewed.	F6-1.1.4
					Employees with persistent absenteeism or serious misconduct are monitored and appropriately dealt with.	F6-1.1.5
					Appraisals are not adequate and can lead to misunderstandings.	Management and supervisors know their roles and responsibilities relating to the appraisal program.
		Employees receive training and development.	Employees are not fully utilized to their full potential.		Training and development need are determined and agreed upon using performance shortcomings as the basis.	F6-2.1.1
					Staff training and development needs are satisfactorily and cost-effectively addressed.	F6-2.1.2
		The appraisal system meets relevant employment legislation.	All appraisal related decisions must be readdressed.		Relevant employment legislation is considered in designing the staff appraisal system and disciplinary procedures and current legislation updates are adopted accordingly to ensure the compliance legislation.	F6-3.1.1
		Employees have access to an appraisal grievance process.	Legitimate employee concerns may not be adequately addressed.		There are appropriate alternative independent means of channels through which staff communicate their problems and concerns, and they have the right to formally escalate their grievances.	F6-4.1.1