

Hoang Vinh Nguyen
IFTCE048-Senior IT Risk Controls Analyst

Position ID - G8D203816

Reports To - Allen Lum

Department - 000219-000219 - Tech Support

Business Unit - MIS-IT

Location - 200-Chanin Corporate Headquarters

REVIEW INFORMATION

Annual Review 2021

Review Period - 01/01/2021 to 12/31/2021

Status - In Progress

Target Completion Date - 01/25/2022

REVIEWER INFORMATION

Reviewer - Allen Lum

INTRODUCTION

Welcome to the 2021 Apple Bank Annual Review

The purpose of the annual review is to give employees and managers the opportunity to discuss work performance throughout the year. This is the ideal time for employees to not only discuss their performance in 2021 but also what they would like to accomplish in 2022!

RATING SCALE

**1 - 1 - Poor/Unacceptable
Performance**

Opportunity exists to deliver in a consistent and sustained way.
Behaviors demonstrated are below expectations for the role.

**2 - 2 - Partially Successful /
Requires Improvement**

Performance is noticeably less than expected. The employee struggles to meet some job requirements. The need for further development and improvement is evident.

3 - 3 - Fully Successful

Demonstrated meaningful achievements and consistently delivers.
Behaviors align with expectations for the role and the bank's high standards.

4 - 4 - Exceeds Expectations

Consistently meets and frequently exceeds job requirements.
Accomplishments are regularly above expected levels. Work quality is uniformly high.

5 - 5 - Outstanding / Distinguished

Demonstrates noteworthy achievements and consistently delivers beyond standard. Seen as a role model and demonstrates behaviors that go significantly beyond expectations.

QUESTIONS

Instructions

Job function, tasks, and responsibilities are the day to day activities that support the role, customer, department, and the overall success of Apple Bank. Think about the overall performance for the year, comments are required for this section. Please note that the weighted percentages are based on the total for the section and not the total for the review.

1 - Please indicate how well you have performed your day to day activities to support the role, customer, department, and the overall success of Apple Bank over the past year.

Weighted at 100%

Category - Performance

Employee Response

5.0 5 - Outstanding / Distinguished

I supported the IT Risk Controls officer in completing the Bank's first IT RCSA as well as the attestation of SWIFT and Fedwire.

COMPETENCIES

Instructions

Competencies are behaviors that focus on how work is approached and how results are achieved. For each of the competencies, think about the level of proficiency that has been demonstrated and the ability to successfully perform the assigned job role. Please note that the weighted percentages are based on the total for the section and not the total for the review.

1 - Business Knowledge / Expertise

Weighted at 25%

Demonstrates the functional and technical knowledge and skills to do the job at a high level of accomplishment.

- Has the requisite subject matter expertise, knowledge and executional ability to successfully perform the job.
- Is knowledgeable about Apple Bank, its competition, and the external market.
- Uses a diverse set of inputs to develop a broad perspective on business and people issues.

Employee Response

5.0 5 - Outstanding / Distinguished

I had over 15 years of experience working in finance and banking, prior to joining Apple Bank. At the Bank, I diligently sought out knowledge about the Bank's operations and objectives, through research, analysis of the Bank's documents and active consultation with the Bank's officers.

2 - Customer Focus

Weighted at 25%

Is dedicated to meeting the expectations and requirements of internal and external customers.

- Builds and maintains customer satisfaction with the products and services offered by the organization; gets first hand customer information and uses it for improvements in products and services.
- Builds collaborative relationships to advise, partner and negotiate change.
- Communicates well (written and verbal) and has good listening skills.
- Builds consensus among colleagues to embrace new ideas and concepts

Employee Response

5.0 5 - Outstanding / Distinguished

I set my top priority to help my colleagues in IT and Information Security secure the Bank's IT environment, in line with the Bank's objectives and risk appetite. Through my RCSA projects, I helped improved the Bank's universe of IT controls, by determining weaknesses and proposing improvements.

3 - Risk Management / Judgment

Weighted at 25%

Makes timely, informed decisions that take into account facts, goals, constraints, and risks.

- Strives to understand contributing factors, works to resolve complex situations.
- Earns others' trust and respect through consistent integrity and professionalism in all interactions.
- Is effective in creating positive outcomes for Apple Bank.
- Completes all assigned compliance training by required due date.

Employee Response

5.0 5 - Outstanding / Distinguished

I successively achieved my assignments in a very tight deadline, by carefully planning my activities. Prior to my engagements, I communicated to my clients the facts that I had garnered, the constraints and risks that I perceived for the tasks as well as the goals that I had for each phase of the engagement. This helps my clients to get prepared, align their resources and provide me with the assistance that I need in an optimal way.

4 - Leadership

Weighted at 25%

Promotes Apple Bank's purpose & goals, shows the way to achieve them, and helps others connect to the big picture.

- Influences, inspires, and motivates others around them to participate and take action; acts as a role-model by demonstrating sound emotional competence.
- Sets appropriate direction and expectations for team, project(s), and department, creates a positive work environment focused on achieving results, while fostering teamwork.
- Possesses ability to grow and adapt to change, action oriented, builds trust in others, and assumes accountability for decisions.
- Thinks "outside of the box", takes calculated risks, and is a skilled decision maker that cultivates respect for new ideas, in addition to supporting diversity in the workplace.

Employee Response

5.0

5 - Outstanding / Distinguished

I demonstrated at all time a professional approach to my work. I constantly provided directions and expectations to the stakeholders of my assignments so that they can get prepared and organized to contribute fruitfully to my assignments - which in turn optimally delivered the positive results to the Bank.

I spent considerable time to plan and devise strategies so that I can best complete my assignments.

GOALS

Instructions

Goals are measurable results/contributions aligned to Apple Bank's goals and strategy. Think about the progress and execution towards the completion for each of the goals attached to the review. Please note that the weighted percentages are based on the total for the section and not the total for the review.

1 - 5. Professional Development

Weighted at 5%

Achievement - 100%

Type - Personal Goal

Status - Goal Pending Update Approval

Category - Development

Description -

1. Complete all professional development courses on time as required by the Bank.
2. Complete the UCLA Data Science Certificate
3. Complete minimum 40 hours training on information security

Employee Response

5.0 5 - Outstanding / Distinguished

I completed on time all required training. I also obtained the ITIL 4 Foundation Certificate. I maintained all professional licenses/ certifications active, by completing the required hours for acceptable CPE. I also completed UCLA Data Science Certificate.

2 - 8. Update IT Policies and Procedures as Required

Weighted at 5%

Achievement - 100%

Type - Personal Goal

Status - Goal Pending Update Approval

Description -

1. Assist the Vice President, IT Risk Controls to update the IT policies and procedures.
2. Ensure that all policies and procedures are appropriately updated, reviewed and approved

Employee Response

5.0 5 - Outstanding / Distinguished

I helped finalize the IT RCSA procedures. Drawing from the RCSA field work, I reviewed the IT policies and procedures that are related to IT Change management, BCP/DRP, IT infrastructure and IT operations - using the assessments that were performed during the IT RCSA 2021. Subsequently, I actively reported possible adjustments to IT Policies and Procedures,

3 - 7. Implement Metric Stream for the IT RCSA Process

Weighted at 0%

Achievement - 100%

Type - Personal Goal

Status - Goal Pending Update Approval

Category - Performance

Description -

1. Assist the Vice President, IT Risks in the effort to automate the RCSA Process in order to make it more efficient and effective
2. Assist the Vice President, IT Risks in the effort to use GRC Tool Metric stream to document and further improve the RCSA Process

Employee Response

3.0 3 - Fully Successful

I completed my training in Metric Stream. I actively participated in the related GRC project and contributed with ideas for improvements. However, in its current version, Metric Stream does not yet fully support RCSA. It has been decided by management that I should focus instead on RCSA in 2021

4 - 9. Develop a Continuous Monitoring Program for Key IT Controls.

Weighted at 0%

Achievement - 100%

Type - Personal Goal

Category - Performance

Description -

1. Assist the Vice President, IT Risks & Controls to develop a plan to perform continuous monitoring for IT controls
2. Identify a set of IT controls that can be monitored at least quarterly. Determine the appropriate monitoring frequency for these controls. Establish the framework for the frequent monitoring of these controls. Execute the framework in 2021
3. Utilize the new GRC Package Metric as one of the tools to track of the testing
4. Investigate other procedures and automated tools to assist the Vice President, IT Risks & Controls in recommending the approach for continuous monitoring.

Employee Response

3.0 3 - Fully Successful

I helped develop a program for continuous monitoring. However, because of the requirements of the RCSA program, the project was re-assigned to the IT Quality Control team.

I developed approaches to continuous monitoring based on ServiceNow: Prioritizing on providing risk-based monitoring of 5 changes: firewall, router/switch, GPO, Virtual machines and other AD change.

5 - 4. Execute 2021 IT RCSA Program

Weighted at 90%

Achievement - 100%

Type - Personal Goal

Status - Goal Pending Update Approval

Category - Performance

Description -

1. Assist the Vice President, IT Risk and Controls to complete the IT 2021 IT RCSA Program on time
2. Assist the Vice President, IT Risk and Controls to make appropriate updates and changes to the 2020 program as necessary and appropriate. Changes may be related to changes in the related risk, process and control
3. Work closely with SME to perform appropriate test to ensure that the control design and operating are effective
4. Communicate and report the testing results timely to ensure appropriate remediation.
5. Make recommendation for improvement, whenever appropriate

Employee Response

5.0 5 - Outstanding / Distinguished

1. **Assisted the Vice President, IT Risk and Controls to complete the IT 2021 IT RCSA Program on time:** The RCSA 2021 was successfully completed as scheduled, with the presentation of the results to the security committee in October 2021. This is the first RCSA directed and performed at Apple Bank entirely by the Bank's first line.
2. **Assist the Vice President, IT Risk and Controls to make appropriate updates and changes to the 2020 program as necessary and appropriate. Changes may be related to changes in the related risk, process and control:** Helped finalize the RCSA procedures in April 2021. The procedures were reviewed and approved by management to serve as the guidelines for IT staff to perform RCSA. Updated the description of 63 key risks and the control objectives of 88 controls to align with the changes in technology at the Bank.
3. **Work closely with SME to perform appropriate test to ensure that the control design and operating are effective:** Took the lead to assess 4 (out of 8) processes. Conducted over 20 meetings to get updates on the people, process and technology that are involved with the processes and controls. Followed up on countless emails to obtain and verify the evidence for over 150 samples (manual controls) and 30 configurations (automated controls).
4. **Communicate and report the testing results timely to ensure appropriate remediation:** Conducted review with SMEs on the testing results to get feedback on the accuracy of the assessment. Facilitated discussion on remediation of weakness that was detected during the review.
5. **Make recommendation for improvement, whenever appropriate:** To facilitate the discussion on the identified weaknesses in the controls, documented at length the recommendation, which was used as the basis for subsequent follow up meetings

OVERALL COMMENTS

Employee Response

Overall Rating	Questions	Goals	Competencies
5 5 - Outstanding / Distinguished	5.00	5.00	5.00

Thanks to the guidance and encouragement of the leadership at IT GRC and IT Infrastructure, I have been able to utilize my knowledge in banking, expertise in IT risk and controls, I have successfully achieved my goals during my first 10 months at the Bank.

SIGNATURES

Employee Signature

Reviewer Signature