Key function holder internal audit self-assessment form

[name of candidate], [name of pension fund or premium pension institution (PPI)], [date]

Please use this form to assess how the candidate scores on various subjects and areas on a scale of 1 to 5[[1]](#footnote-1). For each subject and area, provide notes listing relevant expertise, experience and competencies. It is important that you list several specific examples from the candidate's professional history, as well as education and training, to clarify the candidate's expertise and experience in the area of internal audit. If you wish, you can use the [information on our website](https://www.toezicht.dnb.nl/3/50-237408.jsp) (available in Dutch) on suitability requirements for an internal audit key function holder.

Our assessment process requires that the assessment file is sufficiently in-depth, specific and explicit, providing us with a solid foundation for our opinion on the candidate's suitability. This will prevent a situation in which we invite the candidate to an assessment interview, while we would not have done so had the assessment file been of a higher quality.

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|  | **Subject/area** | **1** | **2** | **3** | **4** | **5** | ***Notes*** |
| 1. | The candidate understands the external environment of the pension fund or the PPI and can translate developments from that environment into risks for internal business operations. |  |  |  |  |  |  |
| 2 | The candidate understands the internal control system of the pension fund or PPI, including the risk management cycle and the management of outsourcing and subcontracting. |  |  |  |  |  |  |
| 3. | The candidate understands general principles of governance and of governance models. |  |  |  |  |  |  |
| 4. | The candidate knows the importance of an independent Internal Audit Function (IAF) and is willing and able to monitor that independence effectively. |  |  |  |  |  |  |
| 5. | The candidate is aware of professional standards and norms governing IAF. |  |  |  |  |  |  |
| 6. | The candidate is knowledgeable in the area of internal audit methods and techniques. |  |  |  |  |  |  |
| 7. | The candidate knows the importance of accurately defining the audit universe and having the IAF perform a thorough periodic risk analyses, and the candidate is able to challenge these products substantively. |  |  |  |  |  |  |
| 8. | The candidate thinks and operates in an independent manner, has an excellently developed ability to make judgements and is persuasive. |  |  |  |  |  |  |
| 9. | The candidate is able to communicate effectively with various supervisory stakeholders, such as the external auditor, supervisors and, where applicable, the IAF of the pension administration organisation. |  |  |  |  |  |  |
| 10. | The candidate is able to communicate outcomes and findings to the right persons and press for corresponding, effective action. |  |  |  |  |  |  |

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| Other relevant information:  |
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| This self-assessment form was completed by:  | [name], [position] |
| Did the candidate read this completed form? | [yes/no] |
| Were the scores discussed with the management board? | [yes/no] |

1. Please use the following scale: 1 does not apply to any significant extent, 2 applies to a small extent, 3 applies to a reasonable extent, 4 applies to a large extent, 5 applies to a very large extent [↑](#footnote-ref-1)