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## What is CSA?

**CSA** stands for.....

### Control Self Assessment

**Control Self Assessment** is a management tool designed to assist work teams to be more effective in achieving their objectives and managing their related risks.

### Why is it used?

**Work teams**, with the assistance of a **facilitation team**, identify obstacles to overcome or strengths to be leveraged and agree upon appropriate action steps improve the group's effectiveness.

### What are its benefits?

**CSA** is a highly interactive and collaborative process that is designed to focus on those areas and issues that are of most importance to the group.

### What types of CSA are there?

**CSA** includes two types of assessment processes:

#### *MRA* and *PRA*

#### Management Risk Assessment (MRA)

**MRA** helps you manage total business risk. It goes several steps beyond conventional, controls-only methods by addressing risks and controls and processes **MRA** can help you:

**Understand** business risks so you can take steps to minimize their impact.

**Evaluate** the strengths and weaknesses of your controls so you can find cost-effective ways to improve them.

**Empower** process owners to share information and brainstorm solutions so they will work together and take steps to achieve positive change.

**Improve** your business performance.

#### Suitable candidates:

- Work teams that report to a single manager – may be







either management-based or staff-based.

- Groups that desire a comprehensive control assessment that get at soft control (people) issues as well as more traditional control activities.
- Areas where basic processes appear to work but could work better.
- May be done in conjunction with ethics training.

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### **Process Risk Assessment (PRA)**

**PRA** is similar to **MRA** but somewhat more focused upon a particular business process that may only entail one activity of particular business unit and which may cross multiple business units. Because of this, there is somewhat less of an emphasis on the risks and controls related to the working environment and more on the risks and controls related to the process itself.



#### **Suitable candidates:**

- Work teams that work together on a single business process that may cut across functional management boundaries.
- Work teams that are about to implement a new process or application system.
- Tend to be staff-based in that most of those attending should be those performing the work.
- Areas where basic day-to-day processes require improvement.
- May be done in conjunction with controls training.

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### **How does CSA work?**

**Generally two half-day sessions** (*ideally consecutive mornings*) conducted by a facilitation team composed of a facilitator and a scribe.

#### **Sessions include Situation Appraisal:**

- **Builds trust**
- **Draws participants into the process**





**Uses Option Finder** (an anonymous keypad voting system) to poll participants c opinions regarding elements of controls.

**Use of an established process management model** serves as a conceptual framework to help ensure that the workshops are comprehensive in their approach and use standard terminology.

**Two deliverables** for each workshop would be a workshop summary and an act plan:

1. **Workshop summary** – A compendium of graphical vote results and comments captured during the workshop along with brief commentary by the facilitation team. This should be made available to participants one or two days following the workshop to assist the group in formalizing their action plan.
2. **Action plan** – Summary of action steps and target dates agreed to by the workshop participants.



**Scope** regarding soft controls may change from case to case depending upon needs/circumstances and could include an ethics exercise component.

**Pro Forma Control Matrix** prepared before workshop based upon participant interviews:

- **Graphical and/or tabular format.**
- **Based upon assumption that most things are OK and just need to be validated.**

**Option Finder Questions** will help target and identify "soft spots" for discussion.

**Process Risk Assessment** should include the people actually doing the work – just those managing a process.

**Self Assessment** is generally not a good idea immediately prior to or after a significant change to the control environment (i.e. reorganization, downsizing, new system implementation or process). Enough time should pass so that a normal routine sets in and new working relationships have had sufficient time to develop. A good general guideline would be three months.

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