Name: _____

INTERNAL CONTROL

1. Control is fully operating as designed

2. Control is only marginally effective and should be redesigned or implemented

3. Control is not operating as designed, and could lead to significant risk to the agency

4. Control is operating as designed with modification needed

5. Controls associated with non-critical processes

6. Controls associated with important processes within an organization

7. Controls associated with critical processes within an organization

8. This control limits an individual's ability to enter a secure area

9. This control ensures responsible staff are knowledgeable of the process

10. This control ensures only authorized personnel have access to agency assets

11. A plan is in place to correct the control deficiency

12. This control ensures proper safeguarding of records/personal property

A. Training

B. Medium risk controls

C. High risk controls

D. Access control

E. In remediation

F. Partially effective

G. Low risk controls

H. Effective

I. Improvement opportunity

J. Chain of custody (e.g. form)

K. Ineffective

L. Physical access control