

Internal Control Assessment
Section 1: Control Environment

Agency:
 Bus Area:
 Fiscal Year:

	Question	Yes	No	NA	Comments
	Ethics				
1	Does the agency's Code of Ethics demonstrate a commitment to integrity and ethical behavior?				
2	Does management clearly communicate and demonstrate the importance of integrity and ethical behavior within the workplace?				
	Management's Philosophy				
3	Does the agency have a written mission statement containing the purpose, goals, and objectives?				
4	Has management provided staff with an understanding and awareness of the benefits of effective internal control?				
5	Does the agency have a current organizational chart?				
	Organizational Structure				
6	Is the agency's organizational structure appropriate to carry out its mission and manage its operations effectively?				
7	Does the organizational structure in each division provide adequate supervisory and managerial oversight?				
8	Does management periodically evaluate the organizational structure in light of changes in the scope, nature, or extent of operations?				
9	Have access controls been established to enforce segregation of duties?				

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10	Has the agency established an audit committee to review results of internal and external reviews (audits and monitoring reports) of the agency?				
11	Has the agency designated an internal control officer responsible for assessing controls and communicating results to management?				
	Management's Commitment to Professional and Technical Competence				
13	Are employees properly trained and capable of performing all jobs within their division?				
14	Does the agency have a formal training and continuing education program that encourages employees to obtain certifications in their functional area?				
	Human Resources Standards				
15	Does the agency have a new hire orientation policy?				
16	Does the agency ensure that new employees are made aware of their responsibilities and management's expectations?				
17	Does management personnel meet with employees to review job performance and discuss opportunities for improvement?				
18	Do performance appraisals adequately address internal control responsibilities and establish criteria for integrity and ethical behavior?				
19	Does the agency perform background checks on individuals hired for sensitive positions?				