

# Departmental Internal Control Assessment Template

Department Name:

Enter department name

Assessment Period:

e.g. Jan 2024 - Mar 2024

Assessment Date:

MM/DD/YYYY

Assessed by:

Assessor(s) name

## 1. Objectives & Risks

Objective	Key Risks	Risk Impact
<div>Objective</div>	<div>Associated risk</div>	<div>Impact</div>
<div>Objective</div>	<div>Associated risk</div>	<div>Impact</div>

## 2. Existing Controls

Control Activity	Description	Owner	Frequency
<div>Control activity</div>	<div>Brief description</div>	<div>Responsible person</div>	<div>e.g. Monthly</div>
<div>Control activity</div>	<div>Brief description</div>	<div>Responsible person</div>	<div>e.g. Quarterly</div>

## 3. Control Assessment

Control	Design Effectiveness	Operating Effectiveness	Improvement Needed?
<input type="text" value="Control"/>	<input type="text" value="Effective"/>	<input type="text" value="Effective"/>	<input type="text" value="No"/>
<input type="text" value="Control"/>	<input type="text" value="Effective"/>	<input type="text" value="Effective"/>	<input type="text" value="No"/>

4. Action Plan

Issue Identified	Action Required	Responsible Person	Target Date
<input type="text" value="Describe issue"/>	<input type="text" value="Proposed action"/>	<input type="text" value="Name"/>	<input type="text" value="MM/DD/YYYY"/>
<input type="text" value="Describe issue"/>	<input type="text" value="Proposed action"/>	<input type="text" value="Name"/>	<input type="text" value="MM/DD/YYYY"/>

Additional Comments / Notes:

Enter comments here

Important Notes

- This template supports departments in identifying, evaluating, and enhancing internal controls.
- Assess both the design and operating effectiveness of each control.
- Action plans should be assigned clear owners and deadlines for accountability.
- Regular reviews help maintain compliance and reduce organizational risks.
- Documentation should be kept confidential and shared only with authorized stakeholders.