

DET's Control Effectiveness: Indicates the self-assessment of control effectiveness.

Controls Effectiveness Rating and Criteria

Ineffective

- The design of controls overall, is ineffective in addressing key causes and/or consequences.
- Documentation and/or communication of the controls does not exist (e.g. policies, procedures, etc.).
- The controls are not in operation or have not yet been implemented.

Needs Improvement

- The design of controls only partially addresses key causes and/or consequences.
- Documentation and/or communication of the controls (e.g. policies, procedures, etc.) are incomplete, unclear or inconsistent.
- The controls are not operating consistently and/or effectively and have not been implemented in full.

Acceptable

- The design of controls is largely adequate and effective in addressing key causes and/or consequences.
- The controls (e.g. policies, procedures, etc.) have been formally documented but not proactively communicated to relevant stakeholders.
- The controls are largely operating in a satisfactory manner and are providing some level of assurance.

Effective

- The design of controls is adequate and effective in addressing the key causes and/or consequences.
- The controls (e.g. policies, procedures, etc.) have been formally documented and proactively communicated to relevant stakeholders.
- The controls overall, are operating effectively so as to manage the risk.