

SELF-ASSESSMENT SURVEY

(PLEASE CIRCLE THE ONE RESPONSE THAT BEST DESCRIBES YOUR REACTION TO EACH STATEMENT.)

KEY: SA = Strongly Agree A = Agree D = Disagree SD = Strongly Disagree DK = Don't Know

SECTION I: Control Environment

The control environment sets the tone of an organization, influencing the control consciousness of its people. It is the foundation for all other components of internal control. (PLEASE CIRCLE ONE FOR EACH.)

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|-----|---|----|---|---|----|----|
| 1. | Senior Management of my business unit demonstrates high ethical standards..... | SA | A | D | SD | DK |
| 2. | Senior Management of my business unit strives to comply with laws/regulations affecting the company..... | SA | A | D | SD | DK |
| 3. | My supervisor complies with laws/regulations affecting the company..... | SA | A | D | SD | DK |
| 4. | The performance targets in my work unit are realistic and obtainable.. .. | SA | A | D | SD | DK |
| 5. | Employees in my work unit have the knowledge, skill and training to perform their job adequately..... | SA | A | D | SD | DK |
| 6. | My business unit learns from its mistakes..... | SA | A | D | SD | DK |
| 7. | Personnel turnover has <u>not</u> impacted my work unit's ability to effectively perform its function..... | SA | A | D | SD | DK |
| 8. | Integrity of financial and operational results always takes priority over reporting acceptable performance targets..... | SA | A | D | SD | DK |
| 9. | Employees in my work unit are treated fairly and justly..... | SA | A | D | SD | DK |
| 10. | Employees in my work unit do <u>not</u> have to take unnecessary safety risks to perform their job..... | SA | A | D | SD | DK |
| 11. | If you disagree/strongly disagree with any of the above questions on the Company Culture, why do you feel this way? | | | | | |

SECTION II: Goals and Obstacles

Organizations identify and analyze potential obstacles to the achievement of their goals in order to determine how to manage these obstacles. (PLEASE CIRCLE ONE FOR EACH.)

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|-----|---|----|---|---|----|----|
| 12. | For the coming year I am accountable for defined, measurable objectives..... | SA | A | D | SD | DK |
| 13. | I have sufficient resources, tools, and time to accomplish my objectives..... | SA | A | D | SD | DK |
| 14. | In my department, we identify barriers and obstacles and resolve issues that could impact achievement of objectives..... | SA | A | D | SD | DK |
| 15. | In my department, the processes supporting new products, services, technology and other significant changes are adequately managed..... | SA | A | D | SD | DK |

16. My business unit adequately takes into account customer impacts in its decisions and actions..... SA A D SD DK

17. If you disagree/strongly disagree with any of the above questions on Goals and Obstacles, why do you feel this way?

18. In your opinion, what are the primary business/financial risks facing your business unit?

SECTION III: Policies and Procedures

Policies, procedures and other safeguards help ensure that objectives are accomplished. (PLEASE CIRCLE ONE FOR EACH.)

19. The policies and procedures in my work unit allow me to do my job effectively.... SA A D SD DK

20. Employees who steal from the company (physical property, money, information, time) will be discovered..... SA A D SD DK

21. Employees who steal from the company and are discovered will be subject to appropriate consequences..... SA A D SD DK

22. Employees who break laws and regulations affecting the company will be discovered..... SA A D SD DK

23. Employees who break laws and regulations affecting the company and are discovered will be subject to appropriate consequences..... SA A D SD DK

24. If you disagree/strongly disagree with any of the above questions on Policies and Procedures, why do you feel this way?

SECTION IV: Information and Communication

Pertinent information must be identified, captured and communicated in a form and time frame that enables people to carry out their responsibilities. (PLEASE CIRCLE ONE FOR EACH.)

25. Our information systems provide management with timely reports on my unit's performance relative to established objectives..... SA A D SD DK

26. Mechanisms and incentives are in place for me to provide recommendations for process improvements..... SA A D SD DK

27. The interaction between Senior Management and my work unit enables us to perform our jobs effectively..... SA A D SD DK

28. The communication across departmental boundaries within my business unit enables us to perform our jobs effectively..... SA A D SD DK

29. The communication across business unit boundaries enables people to perform their jobs effectively..... SA A D SD DK
30. I have sufficient information to do my job..... SA A D SD DK
31. Senior management at Ameritech Corporate is informed and aware of my business unit's actual performance..... SA A D SD DK
32. A communication channel exists for reporting suspected improprieties..... SA A D SD DK
33. Persons who report suspected improprieties are protected from reprisal..... SA A D SD DK
34. If I report wrongdoing to my supervisor, I am confident that the wrongdoing will stop..... SA A D SD DK
35. If you disagree/strongly disagree with any of the above questions on Information and Communications, why do you feel this way?
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SECTION V: Evaluation and Feedback

Through evaluation and feedback processes, an organization assesses, tracks and monitors its performance over time.
(PLEASE CIRCLE ONE FOR EACH.)

36. Information reported to Senior Management reflects the actual results of operations in my work unit..... SA A D SD DK
37. I have enough information to monitor vendor performance..... SA A D SD DK
38. I have enough information to monitor customers' satisfaction or dissatisfaction (either internal or external)..... SA A D SD DK
39. External and/or internal customer feedback and complaints are followed up on in a timely and effective manner..... SA A D SD DK
40. The quality of output in my work unit is measurable..... SA A D SD DK
41. Employees in my work unit know what actions to take when they find mistakes or gaps in performance..... SA A D SD DK
42. My supervisor reviews my performance with me at appropriate intervals..... SA A D SD DK
43. I know what action to take if I become aware of unethical or fraudulent activity.... SA A D SD DK
44. If you disagree/strongly disagree with any of the above questions on Evaluation and Feedback, why do you feel this way?
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45. I suspect/know that fraudulent activity is occurring in my work place..... YES NO

If question 45 is answered YES, please complete the following.

45A. What is the activity referred to in question 45?

45B. Did you report it? Yes / No (Please circle one)

45C. If no, why not?

(NOTE: If you wish to report any fraud, you may call the _____ Integrity Line at 1-800-XXX-XXXX)