

Internal Audit Department

O R A N G E C O U N T Y
6th Largest County in the USA

CONTROL SELF-ASSESSMENT FOLLOW-UP SURVEY BY THE TREASURER-TAX COLLECTOR

Survey and Related Comparison
Prepared by the Internal Audit Department

Control Self-Assessment & Process Improvement (CSA-PI) is a management tool where work teams within a department or agency assess their own effectiveness in meetings select business and control objectives.

In May 2011, the Internal Audit Department facilitated two Control-Self Assessment/Process Improvement workshops with 23 staff members from the Treasurer-Tax Collector's Office. In 2012, The Treasurer-Tax Collector requested a Follow-Up Survey to capture and compare the differences with the 2011 CSA-PI and identify any new strengths or concerns. Internal Audit administered the Follow-Up Survey, tabulated the scores and compared them with the results from 2011. CSA-PI is not an audit; rather, it is a consulting service that assists County departments in conducting their own internal assessment of the effectiveness of their controls and business processes.

REPORT NO: 1248

REPORT DATE: OCTOBER 30, 2012

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Deputy Director: [Eli Littner, CPA, CIA](#)

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RISK BASED AUDITING

GAO & IIA Peer Review Compliant – 2001, 2004, 2007, 2010



American Institute of Certified Public Accountants Award to Dr. Peter Hughes as 2010 Outstanding CPA of the Year for Local Government

GRC (Government, Risk & Compliance) Group 2010 Award to IAD as MVP in Risk Management



2009 Association of Certified Fraud Examiners' Hubbard Award to Dr. Peter Hughes for the Most Outstanding Article of the Year – Ethics Pays



2008 Association of Local Government Auditors' Bronze Website Award



2005 Institute of Internal Auditors' Award to IAD for Recognition of Commitment to Professional Excellence, Quality, and Outreach



ORANGE COUNTY BOARD OF SUPERVISORS'
Internal Audit Department

GAO & IIA Peer Review Compliant - 2001, 2004, 2007, 2010

Providing Facts and Perspectives Countywide

RISK BASED AUDITING

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Certified in Financial Forensics (CFF)
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To access and view audit reports or obtain additional information about the OC Internal Audit Department, visit our website: www.ocgov.com/audit



OC Fraud Hotline (714) 834-3608

Letter from Dr. Peter Hughes, CPA



Transmittal Letter



Report No. 1248 October 30, 2012

TO: Shari L. Freidenrich
Treasurer-Tax Collector

FROM: Dr. Peter Hughes, CPA, Director
Internal Audit Department

SUBJECT: Control Self-Assessment Follow-Up
Survey by the Treasurer-Tax Collector

We have completed a Control Self-Assessment Follow-Up Survey by the Treasurer-Tax Collector. We conducted this follow-up survey at your request to capture and compare the differences with the 2011 CSA-PI and to identify any new strengths or concerns. We invited the same 23 staff to participate in the Follow-Up Survey. Internal Audit provided the Treasurer-Tax Collector the results of the survey and a comparison with the 2011 workshop voting results.

This CSA-PI was approved by the Audit Oversight Committee on April 27, 2011, with the understanding that the impressions and perspectives captured in the workshop summaries would be retained exclusively by those elected officials who requested a CSA-PI. Additionally, directions included: 1) providing a workshop summary to the CEO for review and action (as the CEO deems warranted) for those departments and agencies reporting directly to the CEO; 2) Internal Audit following up on all internal control weaknesses identified in the workshop in the manner they deemed warranted; and 3) providing a summary notice of completion in the format and with the content contained in this Control Self-Assessment Follow-Up Report.

Each month I submit an **Audit Status Report** to the Board of Supervisors (BOS) where I detail any critical or significant audit findings released in reports during the prior month and the implementation status of audit recommendations as disclosed by our Follow-Up Audits. Although CSA-PI is not considered an audit, this report will be included in a future status report to the BOS.

Attachments

Other recipients of this report are listed on page 2.

Table of Contents



*Control Self-Assessment
Follow-Up Survey by the
Treasurer-Tax Collector
Report No. 1248*

Follow-Up Survey Conducted in September and October 2012

Transmittal Letter	i
Control Self-Assessment Report	
Overview and Purpose of CSA	1
Survey Results	1
ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey	3

Table of Contents



Report No. 1248

October 30, 2012

TO: Shari L. Freidenrich
Treasurer-Tax Collector

FROM: Dr. Peter Hughes, CPA, Director
Internal Audit Department

SUBJECT: Control Self-Assessment
Follow-Up Survey by the Treasurer-Tax Collector

CSA Highlight

CSA-PI is a consulting service to assist County departments assess the effectiveness of their business processes.

CSA-PI has three fundamental purposes. First, it provides the teams with a formal process for self-evaluation. This process addresses strengths and obstacles that impact the teams' ability to achieve their objectives and to decide upon appropriate action. Secondly, Internal Audit prepares a summary of workshop results that provides a basis for upper management to evaluate the control environment. Lastly, the process provides a methodology for participants to apply the workshop principles and dynamics in the workplace by identifying problems and developing action plans to address concerns and build upon strengths.

OVERVIEW AND PURPOSE OF CSA-PI

In May 2011, the Internal Audit Department facilitated two Control-Self Assessment & Process Improvement (CSA-PI) workshops with 23 staff members from the Treasurer-Tax Collector's Office. The primary purpose of CSA-PI is to help teams assess their effectiveness in meeting select departmental business and control objectives.

In 2012, The Treasurer-Tax Collector requested a Follow-Up Survey to capture and compare the differences with the 2011 CSA-PI and identify any new strengths or concerns. Internal Audit administered an online Follow-Up Survey, tabulated the scores and compared them with the results from 2011. The same 23 staff who attended the 2011 workshops were invited to participate in the Follow-Up Survey. The Follow-up Survey respondents were asked to vote anonymously on their level of agreement with the same statements that were used in the original workshops conducted in 2011.

Respondents were also asked to provide comments regarding current strengths or concerns, any new issues, or new ideas for what the department could do to improve current operations. The Follow-Up Survey asked the participants a series of **51 statements in 11 categories of control elements** (see Attachment A). The statements are used to assess business operations and help both the participants and management focus on common business objectives and controls. The categories presented to the group for voting and discussion are:

- | | |
|-------------------------------------|--|
| Values & Beliefs | Information |
| Team Environment & Responsibilities | Skills & Knowledge |
| Communication & Relations | Rewards & Recognition |
| Setting Team Objectives | Control Activities |
| Planning & Risk Assessment | Monitoring, Learning & Managing Change |
| Resources | |

SURVEY RESULTS

Two original workshop participants were on leave and unable to complete the survey and another two did not respond to the survey. We received 19 responses from the 21 available participants. After the Follow-up Survey was completed, we tabulated the scores and compared them with the results from 2011. Any scores that increased or decreased more than 10% were highlighted for management's attention. On October 16, 2012, the survey results were delivered to the Treasurer-Tax Collector.

Table of Contents



CSA-PI is based on the impressions, opinions and observations of the workshop or survey teams. The benefit of the workshop and any Follow-Up Surveys is to get issues out on the table so management and the team participants can evaluate, research, clarify, and ultimately verify the observations expressed. Management responds by working with employees and developing concrete corrective actions that the workshop team and management determine have validity to pursue.

We noted that executive management is taking the CSA-PI process very seriously and has been diligent in taking action to address issues raised in the workshops. The summaries of the raw and unverified comments, impressions and Follow-Up Survey results are in the possession of the Treasurer-Tax Collector. As such, we limited distribution strictly to the Treasurer-Tax Collector's Office for use as a management tool in facilitating their internal assessment. No internal control concerns were raised in the course of the Follow-Up Survey that warranted further attention by the Internal Audit Department.

ACKNOWLEDGMENT

We appreciate the courtesy and cooperation extended to us by the personnel at the Treasurer-Tax Collector's Office. If you have any questions regarding the CSA-PI process or Follow-Up Survey, please call me directly at (714) 834-5475 or Michael Goodwin, Senior Audit Manager at (714) 834-6066.

Distribution Pursuant to Audit Oversight Committee Procedure No. 1:

- Members, Board of Supervisors
- Members, Audit Oversight Committee
- Robert J. Franz, Interim County Executive Officer
- Ray Silver, Chief of Staff, Treasurer-Tax Collector
- Paul Gorman, Chief Assistant Treasurer-Tax Collector
- Jennifer Burkhart, Assistant Treasurer-Tax Collector
- Robin Russell, Assistant Treasurer-Tax Collector
- Foreperson, Grand Jury
- Susan Novak, Clerk of the Board of Supervisors



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey

2012 Control Self-Assessment Follow-Up Survey

Greetings!

It has been a short year with many accomplishments and changes. We would like to assess our progress from the Control Self-Assessment of 2011. We have had good discussions and our action plan gave us a great start.

We have made changes to address the concerns identified and enhance the many strengths we have. The CSA Work Groups have provided valuable input in the process. There have been constructive dialogue and thoughtful efforts on everyone's part.

To gauge our success and identify any new concerns, we are asking you to vote on the same statements in the same voting categories from the original CSA. As in 2011, this survey will protect your identity and your responses will be gathered anonymously. I am hopeful you have solicited the feedback of your co-workers and will represent their perspective along with your own.

Thank you for participating in this valuable process. I'm looking forward to sharing the results with everyone.



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey

Survey Introduction

Control Self-Assessment/Process Improvement (CSA-PI) is a management tool where work teams within a department or agency assess their own effectiveness in meeting select business and control objectives.

During the CSA workshop in 2011, you as a group discussed and voted upon 51 statements. We ask you to focus once again and give thought to the Strengths and Weaknesses in your work place since the Action Plan was developed and the Department has made changes.

STRENGTHS - Items that help you to meet your objectives.

CONCERNS - Items that hinder your ability to meet your objectives.

WHAT THE GROUP CAN DO - Ideas and suggestions to improve the concerns, or build on the strengths.



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey

Survey

A number of statements will be made in which each of the following categories and you will be asked to vote if you agree strongly(7), agree moderately(6), agree lightly(5), neither agree nor disagree(4), disagree lightly(3), disagree moderately(2), or disagree strongly(1):

VOTING CATEGORIES

- Values & Beliefs
- Team Environment & Responsibilities
- Communications & Relations
- Setting Team Objectives
- Planning & Risk Assessment
- Resources
- Information
- Skills & Knowledge
- Rewards & Recognition
- Control Activities
- Monitoring, Learning & Managing Change

After entering votes for each category, if there are specific or current strengths, concerns or ideas you wish to express, please put those in the "comments" box indicated.



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey

VALUES & BELIEFS

Please rate your level of agreement as (7) Agree Strongly, (6) Agree Moderately, (5) Agree Lightly, (4) Neither Agree Nor Disagree, (3) Disagree Lightly, (2) Disagree Moderately, or (1) Disagree Strongly. You can vote anywhere between 1 and 7.

After entering votes for each category, if there are specific or current strengths, concerns or ideas you wish to express, please put those in the "comments" box indicated below.

*** 1. Our department demonstrates commitment to its mission.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*** 2. Our department demonstrates commitment to equity (fairness) in the workplace.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*** 3. Our department's standards of values and ethics have been clearly communicated to me.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*** 4. People in leadership positions in our department set a good example.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*** 5. Our department operates in an ethical manner.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please add any specific or current strengths, concerns or ideas for what the group can do that you wish to express:



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey

TEAM ENVIRONMENT & RESPONSIBILITIES

Please rate your level of agreement as (7) Agree Strongly, (6) Agree Moderately, (5) Agree Lightly, (4) Neither Agree Nor Disagree, (3) Disagree Lightly, (2) Disagree Moderately, or (1) Disagree Strongly. You can vote anywhere between 1 and 7.

After entering votes for each category, if there are specific or current strengths, concerns or ideas you wish to express, please put those in the "comments" box indicated below.

***6. We are an effective team.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***7. My role and responsibility in the team is clearly understood by other team members.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***8. I am empowered to carry out my job responsibilities.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***9. Our team considers the effects of its actions on others.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please add any specific or current strengths, concerns or ideas you wish to express:



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey

COMMUNICATION & RELATIONS

Please rate your level of agreement as (7) Agree Strongly, (6) Agree Moderately, (5) Agree Lightly, (4) Neither Agree Nor Disagree, (3) Disagree Lightly, (2) Disagree Moderately, or (1) Disagree Strongly. You can vote anywhere between 1 and 7.

After entering votes for each category, if there are specific or current strengths, concerns or ideas you wish to express, please put those in the "comments" box indicated below.

***10. I can discuss bad news freely with all members of our team.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***11. I can discuss bad news freely with the next level of management.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***12. Our team openly discusses those matters that need to be discussed.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please add any specific or current strengths, concerns or ideas you wish to express:



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey

SETTING TEAM OBJECTIVES

Please rate your level of agreement as (7) Agree Strongly, (6) Agree Moderately, (5) Agree Lightly, (4) Neither Agree Nor Disagree, (3) Disagree Lightly, (2) Disagree Moderately, or (1) Disagree Strongly. You can vote anywhere between 1 and 7.

After entering votes for each category, if there are specific or current strengths, concerns or ideas you wish to express, please put those in the "comments" box indicated below.

*** 13. Our team members are currently working to achieve common team objectives.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*** 14. I have sufficient involvement in setting our team's objectives.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*** 15. Our team's objectives are aligned with our department's overall objectives and strategies.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*** 16. Our team's objectives are compatible with the objectives of other related teams.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*** 17. We have an effective method to resolve conflicting objectives between teams.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please add any specific or current strengths, concerns or ideas you wish to express:



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey

PLANNING & RISK ASSESSMENT

Please rate your level of agreement as (7) Agree Strongly, (6) Agree Moderately, (5) Agree Lightly, (4) Neither Agree Nor Disagree, (3) Disagree Lightly, (2) Disagree Moderately, or (1) Disagree Strongly. You can vote anywhere between 1 and 7.

After entering votes for each category, if there are specific or current strengths, concerns or ideas you wish to express, please put those in the "comments" box indicated below.

***18. I have a clear understanding of the things that could go wrong (risks) in my work.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***19. I understand the level of risk acceptable to the department when establishing team objectives.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***20. Our team effectively applies risk assessment to our business.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***21. Our team has targets against which progress can be measured and monitored.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***22. Our team will meet its objectives.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please add any specific or current strengths, concerns or ideas you wish to express:



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey

RESOURCES

Please rate your level of agreement as (7) Agree Strongly, (6) Agree Moderately, (5) Agree Lightly, (4) Neither Agree Nor Disagree, (3) Disagree Lightly, (2) Disagree Moderately, or (1) Disagree Strongly. You can vote anywhere between 1 and 7.

After entering votes for each category, if there are specific or current strengths, concerns or ideas you wish to express, please put those in the "comments" box indicated below.

***23. Our planning process includes estimates of the resources required to meet our team's objectives.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***24. The resources our team has available will allow us to achieve our business objectives.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***25. The resources available to our team are sufficient to ensure high quality output.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***26. Our organizational structure is effective in providing the resources required to meet our team's objectives.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please add any specific or current strengths, concerns or ideas you wish to express:



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey

INFORMATION

Please rate your level of agreement as (7) Agree Strongly, (6) Agree Moderately, (5) Agree Lightly, (4) Neither Agree Nor Disagree, (3) Disagree Lightly, (2) Disagree Moderately, or (1) Disagree Strongly. You can vote anywhere between 1 and 7.

After entering votes for each category, if there are specific or current strengths, concerns or ideas you wish to express, please put those in the "comments" box indicated below.

***27. The information I need to do my job is easily accessible.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***28. The information systems I use are helpful to me.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***29. I have confidence in the accuracy of the information I receive.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***30. Adequate steps are taken to ensure information is safeguarded.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***31. Our team has a plan to recover from a loss of information.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please add any specific or current strengths, concerns or ideas you wish to express:



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey

SKILLS & KNOWLEDGE

Please rate your level of agreement as (7) Agree Strongly, (6) Agree Moderately, (5) Agree Lightly, (4) Neither Agree Nor Disagree, (3) Disagree Lightly, (2) Disagree Moderately, or (1) Disagree Strongly. You can vote anywhere between 1 and 7.

After entering votes for each category, if there are specific or current strengths, concerns or ideas you wish to express, please put those in the "comments" box indicated below.

***32. I have adequate skills to do my job.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***33. I understand how my job inter-relates with other people/parts of the department.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***34. I am able to provide the quality of work that is necessary to meet our objectives.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***35. The overall capability level of our team is sufficient to meet our objectives.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please add any specific or current strengths, concerns or ideas you wish to express:



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey

REWARDS & RECOGNITION

Please rate your level of agreement as (7) Agree Strongly, (6) Agree Moderately, (5) Agree Lightly, (4) Neither Agree Nor Disagree, (3) Disagree Lightly, (2) Disagree Moderately, or (1) Disagree Strongly. You can vote anywhere between 1 and 7.

After entering votes for each category, if there are specific or current strengths, concerns or ideas you wish to express, please put those in the "comments" box indicated below.

***36. I know the standards against which my performance will be measured.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***37. I received adequate compensation for my performance.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***38. I receive adequate recognition for my performance.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***39. I enjoy my work.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please add any specific or current strengths, concerns or ideas you wish to express:



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey

CONTROL ACTIVITIES

Please rate your level of agreement as (7) Agree Strongly, (6) Agree Moderately, (5) Agree Lightly, (4) Neither Agree Nor Disagree, (3) Disagree Lightly, (2) Disagree Moderately, or (1) Disagree Strongly. You can vote anywhere between 1 and 7.

After entering votes for each category, if there are specific or current strengths, concerns or ideas you wish to express, please put those in the "comments" box indicated below.

***40. Our team's procedures are well documented and understood.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***41. Our team's procedures help ensure work is carried out effectively.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***42. Our team's procedures help ensure consistent quality of output.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***43. Our team's policies and procedures are adequate to ensure that the most significant risks are effectively controlled.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***44. Our team adheres to established policies and procedures.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***45. Our team's major work processes are efficient.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please add any specific or current strengths, concerns or ideas you wish to express:



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey

MONITORING, LEARNING & MANAGING CHANGE

Please rate your level of agreement as (7) Agree Strongly, (6) Agree Moderately, (5) Agree Lightly, (4) Neither Agree Nor Disagree, (3) Disagree Lightly, (2) Disagree Moderately, or (1) Disagree Strongly. You can vote anywhere between 1 and 7.

After entering votes for each category, if there are specific or current strengths, concerns or ideas you wish to express, please put those in the "comments" box indicated below.

***46. Our team does a good job of analyzing our results.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***47. Our team measures the value of the services we provide.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***48. Our team compares our practices with other groups (internal and external).**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***49. Our team regularly analyzes external conditions that may affect our objectives.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***50. Our team periodically challenges our objectives to determine if they are still appropriate.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

***51. Our team makes effective changes based on what we learn from our analysis.**

(7) Agree Strongly	(6) Agree Moderately	(5) Agree Lightly	(4) Neither Agree Nor Disagree	(3) Disagree Lightly	(2) Disagree Moderately	(1) Disagree Strongly
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please add any specific or current strengths, concerns or ideas you wish to express:



ATTACHMENT A: Control Self-Assessment 2012 Follow-Up Survey (continued)

2012 Control Self-Assessment Follow-Up Survey
NEXT STEPS
<p>What are the Next Steps for our team?</p> <p>Just as with the CSA of 2011, we will gather information and make comparisons. We will compile the results and present them to all employees. It is our goal to measure our progress, identify any additional concerns, and continue to move forward.</p>