

**SURVEY STATEMENT COMPARISON**  
INTERNAL CONTROL AND RISK SURVEY A2021-2

<b>CONTROL ENVIRONMENT</b>	<b>MANAGEMENT SURVEY STATEMENTS</b>	<b>STAFF SURVEY STATEMENTS</b>
		<ol style="list-style-type: none"> <li>1 City management places sufficient emphasis on the importance of integrity, ethical conduct, fairness, and honesty in their dealings with employees, vendors, and other organizations.</li> <li>2 An atmosphere of mutual trust and open communication between management and employees has been established within the organization.</li> <li>3 Management demonstrates the appropriate “tone at the top” and their actions are consistent with the values and conduct expected of all other employees.</li> <li>4 Management is committed to maintaining effective internal controls, accountability and safeguarding of City assets.</li> <li>5 Standards of Conduct policies are periodically discussed/reviewed with employees.</li> <li>6 Employees in my department are sufficiently competent and have the knowledge skills necessary to perform their job adequately.</li> <li>7 Employees’ duties and responsibilities are clearly defined, documented, communicated to employees, and updated periodically.</li> <li>8 My department has an organizational chart that clearly defines lines of authority and responsibility.</li> <li>9 Providing quality service is an established objective of my department and has been communicated to all departmental employees.</li> <li>10 Employees have adequate advancement opportunities within the organization.</li> <li>11 Sufficient training opportunities are provided to employees to improve work-related competencies.</li> <li>12 Employee suggestions for improvement are encouraged and given due consideration by management.</li> <li>13 Personnel turnover has not impacted the ability of any work unit in my department to effectively perform its function.</li> <li>14 Employees in my department are treated and paid fairly and justly.</li> </ol>
<b>RISK ASSESSMENT</b>		
	<ol style="list-style-type: none"> <li>1 My department has a formal process for: monitoring and assessing risks; developing plans to proactively mitigate critical and emerging risks; and provide management and Council information they need about the risks and how they are managed.</li> <li>2 The overall organization is effective in proactively managing top risks.</li> <li>3 My department has a documented mission statement.</li> <li>4 Department employees are familiar with the City’s vision and mission statements and the strategic plan.</li> <li>5 My department is accountable for defined, measurable objectives at the employee, work unit and department levels.</li> <li>6 Department employees are aware of how objectives and goals support the City’s strategic plan.</li> <li>7 My department has sufficient resources, tools, and time to accomplish established objectives.</li> <li>8 The objectives and goals for my department are reasonable and attainable.</li> <li>9 I have an appropriate level of authority to lead my department in accomplishing goals and meeting objectives.</li> <li>10 Generally, I do not feel unreasonable pressure to accomplish departmental goals at any expense.</li> <li>11 Management has mechanisms in place to anticipate, identify, resolve, and effectively react to obstacles and issues that could impact achievement of the City’s strategic objectives.</li> <li>12 The processes for supporting new services, technology, and other significant changes (i.e., software implementations, turnover in key positions, organization structure changes, ...) are effectively managed and communicated to employees.</li> <li>13 Objectives and goals for my department clearly tie to and support a strategic plan initiative.</li> <li>14 My department has established cross-training and contingency plans for significant changes in personnel.</li> <li>15 There is an established succession plan for key positions in my department.</li> <li>16 A disaster recovery plan has been developed for things such as failure or destruction of a critical business system, flooding of principal municipal buildings, et cetera.</li> </ol>	<p>Management in my department effectively anticipates and plans for issues and events to proactively reduce negative impact on my and/or my work unit’s ability to effectively perform.</p> <p>The overall organization is effective in proactively managing top risks.</p> <p>My department has a documented mission statement.</p> <p>I am familiar with the City’s vision and mission statements and strategic plan and understand how they provide the foundation for city operations.</p> <p>For the coming year I and/or my work unit are accountable for defined measurable objectives.</p> <p>I am aware of how my work unit’s objectives and goals support those of the department and the City’s strategic plan.</p> <p>I have sufficient resources, tools, and time to perform my job and accomplish objectives assigned to me and/or my work unit.</p> <p>The objectives and goals of my work unit are reasonable and attainable.</p> <p>Management has given me an appropriate level of authority to accomplish goals and meet objectives.</p> <p>Generally, I do not feel unreasonable pressure to accomplish departmental goals at any expense.</p> <p>Barriers and obstacles that could impact achievement of objectives are identified and resolved.</p> <p>The processes for supporting new services, technology, and other significant changes (i.e., software implementations, turnover in key positions, organization structure changes, ...) are effectively managed and communicated to employees.</p> <p>Objectives and goals for my department clearly tie to and support a strategic plan initiative.</p> <p>My department has established cross-training and contingency plans for significant changes in personnel.</p> <p>There is an established succession plan for key positions in my department.</p> <p>A disaster recovery plan has been developed for things such as failure or destruction of a critical business system, flooding of principal municipal buildings, et cetera.</p>

	MANAGEMENT SURVEY STATEMENTS	STAFF SURVEY STATEMENTS
<b>CONTROL ACTIVITIES</b>	1 Directorate/department policies and procedures are formalized, easily accessible and communicated to employees.	Directorate/department policies and procedures are formalized, easily accessible and communicated to employees.
	2 Policies and procedures for my department are adequate, reasonable, consistent, and enable employees to do their jobs effectively.	Policies and procedures for my department are adequate, reasonable, consistent, and enable employees to do their jobs effectively.
	3 All procedures related to performing significant processes specific to my department's operations are documented, kept up to date, and are accessible to employees.	All procedures related to performing significant processes specific to my work unit are documented, kept up to date, and are accessible to employees.
	4 There is someone designated in each department, work unit and/or at the directorate level to maintain policies and procedures.	There is someone designated in each department, work unit and/or at the directorate level to maintain policies and procedures.
	5 City-wide policies and procedures are clearly defined and easily accessible to employees.	City-wide policies and procedures are clearly defined and easily accessible to employees.
	6 Managerial employees in my department are sufficiently familiar with city-wide policies related to personnel management, financial matters, and regulatory compliance, and use of information and technology.	Managerial employees in my department are sufficiently familiar with city-wide policies related to personnel management, financial matters, and regulatory compliance, and use of information and technology.
	7 All department employees are familiar with the City's Standard of Conduct policies including work standards and employee performance, behavioral standards of conduct, conflict of interest, gifts, entertainment, and gratuities and use of information and technology.	I am familiar with the City's Standard of Conduct policies including work standards and employee performance, behavioral standards of conduct, conflict of interest, gifts, entertainment, and gratuities, and use of information and technology.
	8 Employees who break laws, rules, and regulations affecting the organization or steal City property will be caught.	Employees who break laws, rules, and regulations affecting the organization or steal City property will be caught.
	9 Appropriate remedial actions taken by management in response to employees breaking laws/rules/regulations or theft of City property.	Appropriate remedial actions taken by management in response to employees breaking laws/rules/regulations or theft of City property.
	10 All City property, inventory and other assets in my department are adequately safeguarded from loss, waste, and theft.	All City property and other assets in my area are adequately safeguarded from loss, waste, and theft.
	11 Internal controls are sufficient to prevent fraud.	Internal controls are sufficient to prevent fraud.
	12 The effectiveness of internal controls is monitored.	The effectiveness of internal controls is monitored.
	13 Employees are appropriately trained for general workplace safety and compliance with applicable regulatory requirements for their job.	Employees are appropriately trained for general workplace safety and compliance with applicable regulatory requirements for their job.
	14 Electronic and hard copy files containing private and confidential information are properly protected and secured through restricted access, appropriate training, and other methods.	Electronic and hard copy files containing private and confidential information are properly protected and secured through restricted access, appropriate training, and other methods.
<b>INFORMATION &amp; COMM</b>	1 A process for department employees to provide recommendations for process improvements has been established and communicated to employees.	There is a way for me to provide recommendations for process improvement.
	2 The interaction between management and staff enables employees to do their job effectively.	The interaction between management and my work unit enables us to perform our jobs effectively.
	3 The communication across departmental boundaries and between functional units enables my department to perform effectively.	The communication across departmental boundaries within my department enables us to perform our jobs effectively.
	4 Behavior that is expected of department employees has been clearly communicated.	Management has clearly communicated to me the behavior that is expected of me.
	5 Employees, management, and work groups cooperate to reach shared goals.	Employees, management, and work groups cooperate to reach shared goals.
	6 Timely and accurate reports on my department's performance relative to established objectives are reviewed and communicated to department employees.	I am informed periodically of my work unit's actual performance relative to established objectives.
	7 Employees in my department sufficient access to information needed to perform effectively.	I have access to sufficient information to do my job.
	8 Employees are aware of how to anonymously report suspected instances of employee misconduct or unethical/fraudulent activity.	I know how to anonymously report suspected instances of employee misconduct or unethical/fraudulent activity.
	9 Wrongdoing that is reported to management is appropriately and timely addressed.	If I report wrongdoing to my supervisor, I am confident the wrongdoing will stop.
	10 Employees who report suspected improprieties are protected from reprisal.	Employees who report suspected improprieties are protected from reprisal.

MONITORING	MANAGEMENT SURVEY STATEMENTS	STAFF SURVEY STATEMENTS
		<p>1 Internal and/or external feedback/complaints are followed up on in a timely and effective manner.</p> <p>2 Internal and/or external feedback/complaints are used to identify quality problems.</p> <p>3 Performance measures are used to assess and monitor the achievement of goals and objectives, and quality of output.</p> <p>4 Employee performance is reviewed at appropriate intervals and corrective feedback and coaching is provided timely on an as needed basis.</p> <p>5 Management adequately monitors work and provides staff with guidance on what actions to take when they find gaps or mistakes in what they are supposed to do.</p> <p>6 A procedure for reporting suspected improprieties/employee misconduct has been established and communicated to department employees.</p> <p>7 The information sources used to report results of departmental activities are verified to ensure accurate/actual results of operations are reported.</p> <p>8 Computerized data entry systems used within my department effectively prevent or detect incorrect or missing information.</p> <p>9 One or more individuals in my department are responsible for reviewing the department’s budget and other financial reports monthly to identify and address unusual trends or discrepancies in department accounts.</p> <p>10 Important financial reconciliations are being routinely performed.</p> <p>11 Managers have access to enough information to monitor vendor performance.</p>