| | | Strategic In | nformation | | | | |
|----------------------|---|--|--|---|--|--|---|
| # | | yes | no | other | | | |
| 9 | Does the entity have a written strategic plan that guides employees on | 00.440/ | 0.470/ | 2 200/ | | | |
| | what the entity is working to achieve? | 88.14% within the last | 8.47% within the last 3 | 3.39% within the last | within the last 10 | | 1 |
| | | year | years | 5 years | years | N/A | |
| 10 | If the entity has a written strategic plan, when was it last updated? | 50.85% | 32.20% | 5.08% | 1.69% posted on | 10.17% | |
| | | quarterly or annual entity wide meetings | written communication | email | agency website or internal intranet | no formal communication | N/A |
| 11 | How is the strategic plan communicated within the organization? Select all that apply. | 55.93% | 61.02% | 59.32% | 35.59% | 3.39% | 11.86% |
| | Does the department's strategic plan have quantifiable goals to determine | yes | no | N/A | | | |
| 12 | success? | 86.44% | 1.69% | 11.86% yes for less | |] | |
| | | yes for all programs | yes for more than half of programs | than half of programs | no | | |
| 13 | Does the department have performance measures for programs it administers? | 45.76% | 38.98% | 10.17% | 5.08% | | |
| | administers: | more than | 30.3070 | every 3-6 | every 6-12 | less than once | |
| | | once a month | every 1-3 months | months | months | per year | N/A |
| 14 | Does the department use performance-based data, or other measures to compare it's actual performance, with programmatic | 44.000/ | 40.000/ | 00.000/ | 40.040/ | 4.000/ | 5.000/ |
| | goals and objectives? If yes, how often is this done? | 11.86% <i>yes</i> | 40.68% no | 22.03% | 18.64% | 1.69% | 5.08% |
| 15 | Is the entity responsible for meeting the immediate needs of the public or its constituents in an emergency situation such as a security threat or natural disaster? | 47.46% | 52.54% | | | | |
| 16 | Does the entity have an emergency preparedness plan in the event of catastrophe (e.g. fire, flood, hurricane, blizzard, pandemic illness)? | 83.05% | 16.95% | | | | |
| | | within the last year | within the last 2 years | within the last 5 years | longer than 5 years ago | we have never used the plan | we do not have a plan |
| 17 | If the entity has an emergency preparedness plan, when was the last time | 32.20% | 45.050/ | 45.050/ | 0.700/ | 45.050/ | 45.050/ |
| | this plan was used in exercise or actual emergency? | within the last | 15.25% within the last 3 | 15.25% within the last | 6.78% within the last 10 | 15.25% | 15.25% |
| | | year | years | 5 years | years | N/A | |
| 18 | If the entity has an emergency preparedness plan, when was it last updated? | 37.29% | 27.12% | 13.56% | 6.78% | 15.25% | |
| | | | | | | | |
| | | quarterly or annual entity- wide meetings | written communication | email | posted on agency website or internal intranet | no formal communication | entity does not have an emergency preparedness plan |
| 19 | If the entity has an emergency preparedness plan, how is it | annual entity- wide meetings | communication | | agency website or internal intranet | communication | have an emergency preparedness plan |
| 19 | If the entity has an emergency preparedness plan, how is it communicated within the organization? Select all that apply. | annual entity- wide meetings 33.90% | communication 59.32% | email 57.63% | agency website or internal | communication | have an emergency preparedness |
| 19 | communicated within the organization? Select all that apply. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk? | annual entity- wide meetings | communication | | agency website or internal intranet | communication | have an emergency preparedness plan |
| | communicated within the organization? Select all that apply. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk? Has inadequate/outdated technology affected the entity's progress toward meeting its objectives? | annual entity- wide meetings 33.90% yes | 59.32% | | agency website or internal intranet | communication | have an emergency preparedness plan |
| 20 | communicated within the organization? Select all that apply. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk? Has inadequate/outdated technology affected the entity's progress toward meeting its objectives? Has inadequate/outdated equipment (other than technology) affected the | annual entity- wide meetings 33.90% yes 88.14% 50.85% | 59.32% no 11.86% 49.15% | | agency website or internal intranet | communication | have an emergency preparedness plan |
| 20 | communicated within the organization? Select all that apply. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk? Has inadequate/outdated technology affected the entity's progress toward meeting its objectives? Has inadequate/outdated equipment (other than technology) affected the entity's efforts toward meeting it's objectives? | annual entity- wide meetings 33.90% yes 88.14% 50.85% 28.81% | 59.32% no 11.86% 49.15% | | agency website or internal intranet | communication | have an emergency preparedness plan |
| 20 | communicated within the organization? Select all that apply. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk? Has inadequate/outdated technology affected the entity's progress toward meeting its objectives? Has inadequate/outdated equipment (other than technology) affected the entity's efforts toward meeting it's objectives? | annual entity- wide meetings 33.90% yes 88.14% 50.85% | 59.32% no 11.86% 49.15% | | agency website or internal intranet | communication | have an emergency preparedness plan |
| 20 | communicated within the organization? Select all that apply. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk? Has inadequate/outdated technology affected the entity's progress toward meeting its objectives? Has inadequate/outdated equipment (other than technology) affected the entity's efforts toward meeting it's objectives? | annual entity- wide meetings 33.90% yes 88.14% 50.85% 28.81% Operational | 59.32% no 11.86% 49.15% 71.19% | | agency website or internal intranet | communication | have an emergency preparedness plan |
| 20 21 22 | communicated within the organization? Select all that apply. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk? Has inadequate/outdated technology affected the entity's progress toward meeting its objectives? Has inadequate/outdated equipment (other than technology) affected the entity's efforts toward meeting it's objectives? Has there been a change in the nature, size or structure, of the entity, | annual entity- wide meetings 33.90% yes 88.14% 50.85% 28.81% Operational yes 20.34% within the last | 59.32% no 11.86% 49.15% 71.19% Information no 79.66% | 57.63% | agency website or internal intranet 20.34% | communication 11.86% | have an emergency preparedness plan 15.25% the entity does not have policies and procedures |
| 20 21 22 | communicated within the organization? Select all that apply. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk? Has inadequate/outdated technology affected the entity's progress toward meeting its objectives? Has inadequate/outdated equipment (other than technology) affected the entity's efforts toward meeting it's objectives? Has there been a change in the nature, size or structure, of the entity, | annual entity- wide meetings 33.90% yes 88.14% 50.85% 28.81% Operational yes 20.34% | 59.32% no 11.86% 49.15% 71.19% Information no 79.66% | 57.63% | agency website or internal intranet 20.34% within the last 10 years 3.39% | never updated | have an emergency preparedness plan 15.25% |
| 20 21 22 23 | communicated within the organization? Select all that apply. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk? Has inadequate/outdated technology affected the entity's progress toward meeting its objectives? Has inadequate/outdated equipment (other than technology) affected the entity's efforts toward meeting it's objectives? Has there been a change in the nature, size or structure, of the entity, within the last year? If the entity has policies and procedures manuals, when were they last updated? | annual entity- wide meetings 33.90% yes 88.14% 50.85% 28.81% Operational yes 20.34% within the last year | 59.32% no 11.86% 49.15% 71.19% Information no 79.66% within the last 3 years | 57.63% within the last 5 years | agency website or internal intranet 20.34% within the last 10 years | never updated | have an emergency preparedness plan 15.25% the entity does not have policies and procedures manuals |
| 20 21 22 23 | communicated within the organization? Select all that apply. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk? Has inadequate/outdated technology affected the entity's progress toward meeting its objectives? Has inadequate/outdated equipment (other than technology) affected the entity's efforts toward meeting it's objectives? Has there been a change in the nature, size or structure, of the entity, within the last year? If the entity has policies and procedures manuals, when were they last | annual entity- wide meetings 33.90% yes 88.14% 50.85% 28.81% Operational yes 20.34% within the last year 52.54% at time of hire 72.88% | communication 59.32% no 11.86% 49.15% 71.19% Information no 79.66% within the last 3 years 22.03% annually 23.73% | within the last 5 years 6.78% as needed due to changes or additions | within the last 10 years 3.39% the entity does not provide training on the policies and procedure | never updated 3.39% the entity does not have policies and procedures | have an emergency preparedness plan 15.25% the entity does not have policies and procedures manuals |
| 20 21 22 23 23 | communicated within the organization? Select all that apply. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk? Has inadequate/outdated technology affected the entity's progress toward meeting its objectives? Has inadequate/outdated equipment (other than technology) affected the entity's efforts toward meeting it's objectives? Has there been a change in the nature, size or structure, of the entity, within the last year? If the entity has policies and procedures manuals, when were they last updated? If the entity has policies and procedures manuals, how often does the entity provide training on the policies and procedures to the staff? Are policies and procedures (written or un-written) designed to provide | annual entity- wide meetings 33.90% yes 88.14% 50.85% 28.81% Operational yes 20.34% within the last year 52.54% at time of hire 72.88% yes | \$9.32% no 11.86% 49.15% 71.19% Information no 79.66% within the last 3 years 22.03% | within the last 5 years 6.78% as needed due to changes or additions | within the last 10 years 3.39% the entity does not provide training on the policies and procedure manuals | never updated 3.39% the entity does not have policies and procedures manuals | the entity does not have policies and procedures manuals |
| 20 21 22 23 23 | communicated within the organization? Select all that apply. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk? Has inadequate/outdated technology affected the entity's progress toward meeting its objectives? Has inadequate/outdated equipment (other than technology) affected the entity's efforts toward meeting it's objectives? Has there been a change in the nature, size or structure, of the entity, within the last year? If the entity has policies and procedures manuals, when were they last updated? If the entity has policies and procedures manuals, how often does the entity provide training on the policies and procedures to the staff? | annual entity- wide meetings 33.90% yes 88.14% 50.85% 28.81% Operational yes 20.34% within the last year 52.54% at time of hire 72.88% yes 93.22% | communication 59.32% no 11.86% 49.15% 71.19% Information no 79.66% within the last 3 years 22.03% annually 23.73% no 3.39% | within the last 5 years 6.78% as needed due to changes or additions 84.75% not sure 3.39% | within the last 10 years 3.39% the entity does not provide training on the policies and procedure manuals | never updated 3.39% the entity does not have policies and procedures manuals 10.17% | the entity does not have policies and procedures manuals |
| 20 21 22 23 23 | communicated within the organization? Select all that apply. Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could adversely affect risk? Has inadequate/outdated technology affected the entity's progress toward meeting its objectives? Has inadequate/outdated equipment (other than technology) affected the entity's efforts toward meeting it's objectives? Has there been a change in the nature, size or structure, of the entity, within the last year? If the entity has policies and procedures manuals, when were they last updated? If the entity has policies and procedures manuals, how often does the entity provide training on the policies and procedures to the staff? Are policies and procedures (written or un-written) designed to provide | annual entity- wide meetings 33.90% yes 88.14% 50.85% 28.81% Operational yes 20.34% within the last year 52.54% at time of hire 72.88% yes | ### communication 59.32% no | within the last 5 years 6.78% as needed due to changes or additions 84.75% not sure | within the last 10 years 3.39% the entity does not provide training on the policies and procedure manuals | never updated 3.39% the entity does not have policies and procedures manuals 10.17% | the entity does not have policies and procedures manuals |

| | | 1/00 | generally yes | no | not curo | | |
|----|---|------------------|------------------------|-----------------|--------------------|------------|--------------|
| | Are there adequate systems of authorization and approval of | yes | generally yes | no | not sure | | |
| 30 | transactions? | 86.44% | 13.56% | 0.00% | 0.00% | | |
| | Does the entity have adequate staffing in order to reasonably ensure all | 00.1170 | 10.0070 | 0.0070 | 0.0070 | | |
| 31 | control activities are in place and operating as designed? | 40.68% | 47.46% | 11.86% | 0.00% | | |
| | , , , , | | | | | 100,001 to | greater than |
| | | less than 100 | 100 to 1,000 | 1,001 to 10,000 | 10,001 to 100,000 | 250,000 | 250,000 |
| 32 | Estimate the number of financial transactions the entity processes on a | | | | | | |
| 32 | monthly basis. | 28.81% | 25.42% | 22.03% | 10.17% | 8.47% | 5.08% |
| | | yes | generally yes | no | not sure | | |
| 33 | Is there timely (2-3 business days) and appropriate documentation and | | | | | | |
| 33 | recording of financial transactions? | 45.76% | 49.15% | 3.39% | 1.69% | | |
| | | yes | no | 1 | | | |
| | Does management identify and analyze risks relating to change, | | | | | | |
| 34 | such as new technology, new regulations, restructuring and rapid growth? | 93.22% | 6.78% | | | | |
| | Does the department have a process in place to identify new | 93.22 /0 | 0.7676 | 4 | | | |
| 35 | (or changed) laws, or statutory requirements that could affect its | | | | | | |
| 33 | operations? | 94.92% | 5.08% | | | | |
| | oporationo. | yes | no | 1 | | | |
| | Are there new (within the last year) and significant legal, regulatory, or | , | | 1 | | | |
| 36 | professional requirements of the entity that the entity may not be able to | | | | | | |
| | satisfy? | 16.95% | 83.05% | | | | |
| ^- | Is the entity responsible for overseeing multiple year and varied federal | | | - | | | |
| 37 | award programs? | 61.02% | 38.98% | ı | | | |
| | | | | the entity is | | | |
| | | | | not | | | |
| | | | | responsible for | | | |
| | | | | the | | | |
| | | | | administration | | | |
| | | | | of federal | | | |
| | | | | award | | | |
| | Does the entity have written policies and procedures related to the | yes | no | programs | - | | |
| 38 | administration of federal awards? | 59.32% | 2 20% | 37.29% | | | |
| | administration or lederal awards? | yes | 3.39% generally yes | sometimes | no | not sure | |
| | | yes | generally yes | Sometimes | 110 | not sure | |
| 39 | Is there adequate management understanding of information technology? | 57.63% | 35.59% | 5.08% | 1.69% | 0.00% | |
| | to their adoquate management and retaining or information technology. | yes | no | 0.0070 | 1.0070 | 0.0070 | |
| | Are controls in place to ensure information systems and data are | , | | 1 | | | |
| 40 | protected from unauthorized access, theft, or malicious acts? | 94.92% | 5.08% | | | | |
| 44 | Does the entity interact with the public using the Internet? (i.e. accept | | | 1 | | | |
| 41 | payments, take applications, complaints) | 79.66% | 20.34% | | | | |
| | | | | | | | |
| 42 | Other than services provided by the Division of Information Technology | | | | | | |
| | (DoIT), are any information technology elated functions outsourced? | 69.49% | 30.51% | | | | |
| 44 | Do information systems' controls effectively prevent and/or detect | | | | | | |
| | missing, or invalid data? | 74.58% | 25.42% | 4 | | | |
| 45 | Do only authorized staff have information system override privileges? | 94.92% | | 204 01110 | 1 | | |
| | Have deficiencies been detected in internal controls, by management, | yes | no | not sure | | | |
| 46 | internal audit, the Office of the Auditor General, or other regulatory | | | | | | |
| 40 | authorities, within the last year? | 25.42% | 72.88% | 1.69% | | | |
| | authorition, mainriale fact your. | yes | generally yes | sometimes | no | not sure | |
| | Does management promote the identification and discussion of potential | | | | | | |
| 47 | and known problems with auditors and other evaluators? | 72.88% | 20.34% | 0.00% | 3.39% | 3.39% | |
| | | Financial II | | | | | |
| | | yes | no | not sure | | | |
| 48 | Did you request a supplemental budget this year? | 32.20% | 67.80% | | 1 | | |
| | | | | somewhat | | | |
| | | highly effective | effective | effective | not effective | not sure | |
| 49 | Evaluate the budget process as an effective control mechanism. | 20.34% | | | | 1.69% | |
| | | yes often | sometimes | occasionally | no | | |
| | | | | | | | |
| 50 | Are there disagreements between the Controller's/Budget Offices and the | | | | | | |
| | entity with regard to accounting, auditing and reporting matters? | 1.69% | 11.86% | | 52.54% | I | |
| | Hove formal or informal restrictions have applied to the internal or | yes | no | not sure | - | | |
| 51 | Have formal or informal restrictions been applied to the internal or | 5.08% | 89.83% | 5.08% | | | |
| | external auditor to limit access to people and information? | 5.06% | audit findings are | 5.06% | | 1 | |
| | | audit findings | prioritized by | | | | |
| | | are corrected | management | audit findings | the entity has not | | |
| | | within 6 | and corrected | are generally | had audit | | |
| | | months | when possible | not corrected | findings | | |
| 52 | Which answer best describes how the entity handles audit findings? | 32.20% | | | | | |
| | | | | | | | |
| | | | | has been | generally unable | | |
| | | has met all | generally meets | unable to meet | to meet its | | |
| | | reporting | all reporting | some reporting | | | |
| | | requirements | requirements | requirements | requirements | | |
| 53 | Considering the past two years, please select the answer that best | | | | | | |
| 33 | describes the entities ability to meet its periodic reporting requirements. | 64.41% | 35.59% | 0.00% | 0.00% | | |
| | | | | 0.0070 | 2.2070 | ı | |
| | | | | | | | |

| | | | | no sub-awards | | | |
|--|--|---|---|---|---|--|-------------------|
| | | | | issued using | | | |
| | | yes | no | federal funds | | | |
| | Did the entity complete the required Federal Funding Accountability and | | | | | | |
| 54 | Transparency Act (FFATA) reporting within one month of issuing the sub- awards using federal funds? | 40.050/ | 40 500/ | CO 400/ | | | |
| | awards using lederal lunds? | 16.95% <i>yes</i> | 13.56% generally yes | 69.49% not really | no | | |
| | Is the entity's organizational structure appropriate for its size and | yes | generally yes | Hotreany | 110 | | |
| 56 | responsibilities? | 20.34% | 49.15% | 18.64% | 11.86% | | |
| | | yes | no | | | | |
| 57 | Has the entity failed to obtain or been forced to return federal funds due to | | | | | | |
| | staffing issues or any other reason? | 8.47% | 91.53% | somewhat | | | |
| | | highly effective | effective | effective | not effective | N/A | |
| | How effective is the entity at tracking federal award revenue and federal | mgmy checave | CHECUVE | CHECUVE | not checuve | IVA | |
| 58 | award expenses? | 35.59% | 25.42% | 1.69% | 0.00% | 37.29% | |
| | | | | | | | |
| | | | | | agency does not systematically | | |
| | | grant | | | track federal | | |
| | | management | excel | | revenue and | | |
| | | system | spreadsheets | other | expenditures | | |
| 59 | What tools does the agency use to track federal award revenue and | | | | - | | |
| 39 | federal award expenditures? Check all that apply. | 45.76% | 61.02% | 30.51% | 18.64% | | |
| | Dona the december and decomposition and the section of the decimal to the | yes | occasionally | generally no | no | | |
| 60 | Does the department document its review of federal funds | 33.90% | 2 200/ | 1.69% | 61.02% | | |
| | sub-recipients? | high risk | 3.39% moderate risk | low risk | little or no risk | | |
| | | mgn nan | moderate risk | IOW HON | or no risk | | |
| 61 | Evaluate the risk of theft or misappropriation of assets by management or | | | | | | |
| | employees due to their access to cash or other assets. | 0.00% | 10.17% | 23.73% | 66.10% | | |
| | | | | | | | |
| | | yes | no | | | | |
| 00 | Are you aware of or do you suspect any theft, misappropriation or fraud | | | | | | |
| 62 | that is currently occurring or occurred during the last year within your entity? | 1.69% | 98.31% | | | | |
| | | 1.09% | 90.31% | not in all | | | |
| | | yes | generally yes | instances | no | | |
| -00 | Are there adequate physical safeguards over cash, investments, inventory | | 3 | | - | | |
| 63 | and fixed assets, of the entity? | 66.10% | 30.51% | 3.39% | 0.00% | | |
| | | | | certified/bank | | ach/direct | entity does not |
| | | | personal/busines | check/money | | deposit/wire | accept payment |
| | If the entity accepts payments from the public, please indicate which | cash | s check | order | credit/debit card | transfer | from the public |
| 64 | forms of payment are accepted. Select all that apply. | | C4 000/ | 55.93% | 28.81% | 32.20% | 33.90% |
| | | 30.51% | | | | | |
| | потпъ от раутнети ате ассертец. Зелест ан илат аррту. | 30.51% | 61.02% | 00.0070 | | 32.20% | 33.90 /6 |
| | | 30.51% highly effective | effective | adequate | less than adequate | poor | 33.90 % |
| | Evaluate the entity's physical location in terms of safety and security. If | | | | less than | | 33.90 /6 |
| 65 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the | highly effective | effective | adequate | less than adequate | poor | 33.90 % |
| 65 | Evaluate the entity's physical location in terms of safety and security. If | | | | less than adequate 10.17% | | 33.90 // |
| 65 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the | highly effective 27.12% | effective 28.81% | adequate | less than adequate 10.17% less than | <i>poor</i> 6.78% | |
| 65 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the | highly effective | effective | adequate | less than adequate 10.17% | poor | not sure |
| 65 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the | highly effective 27.12% | effective 28.81% | adequate | less than adequate 10.17% less than | <i>poor</i> 6.78% | |
| 65 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) | highly effective 27.12% | effective 28.81% | adequate | less than adequate 10.17% less than | <i>poor</i> 6.78% | |
| 65 66 67 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. | highly effective 27.12% highly effective 35.59% | effective 28.81% effective 33.90% | adequate 27.12% adequate 22.03% | less than adequate 10.17% less than adequate 3.39% | poor 6.78% poor 5.08% | not sure 0.00% |
| 66 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) | highly effective 27.12% highly effective | effective 28.81% effective | adequate 27.12% adequate | less than adequate 10.17% less than adequate 3.39% 1.69% | poor 6.78% poor | not sure |
| 66 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. | highly effective 27.12% highly effective 35.59% 42.37% | 28.81% 28.81% effective 33.90% 49.15% | 27.12% adequate 27.03% 6.78% | less than adequate 10.17% less than adequate 3.39% 1.69% less than | poor 6.78% poor 5.08% 0.00% | not sure 0.00% |
| 66 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. | highly effective 27.12% highly effective 35.59% | effective 28.81% effective 33.90% | adequate 27.12% adequate 22.03% | less than adequate 10.17% less than adequate 3.39% 1.69% | poor 6.78% poor 5.08% | not sure 0.00% |
| 66 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) | highly effective 27.12% highly effective 35.59% 42.37% | 28.81% 28.81% effective 33.90% 49.15% | 27.12% adequate 27.03% 6.78% | less than adequate 10.17% less than adequate 3.39% 1.69% less than | poor 6.78% poor 5.08% 0.00% | not sure 0.00% |
| 66 67 68 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% | 28.81% effective 33.90% 49.15% effective 28.81% | 27.12% adequate 22.03% 6.78% adequate 1.69% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% | poor 6.78% poor 5.08% 0.00% poor | not sure 0.00% |
| 66 67 68 69 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 69.49% | 28.81% 28.81% effective 33.90% 49.15% effective 28.81% 28.81% | 27.12% adequate 22.03% 6.78% adequate 1.69% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% | poor 6.78% poor 5.08% 0.00% poor 0.00% | not sure 0.00% |
| 66 67 68 69 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 69.49% 55.93% | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% | 27.12% adequate 22.03% 6.78% adequate 1.69% 1.69% 3.39% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% | poor 6.78% poor 5.08% 0.00% poor | not sure 0.00% |
| 66 67 68 69 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 69.49% 55.93% man Resource | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% ce Managemet | 27.12% adequate 22.03% 6.78% adequate 1.69% 1.69% 3.39% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% | poor 6.78% poor 5.08% 0.00% poor 0.00% | not sure 0.00% |
| 66 67 68 69 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 69.49% 55.93% | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% | 27.12% adequate 22.03% 6.78% adequate 1.69% 1.69% 3.39% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% | poor 6.78% poor 5.08% 0.00% poor 0.00% | not sure 0.00% |
| 66 67 68 69 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 69.49% 55.93% nan Resource yes | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% 38.98% 38.98% | 27.12% adequate 22.03% 6.78% adequate 1.69% 1.69% 3.39% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% | poor 6.78% poor 5.08% 0.00% poor 0.00% | not sure 0.00% |
| 66 67 68 69 70 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 69.49% 55.93% man Resource | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% ce Managemet | 27.12% adequate 22.03% 6.78% adequate 1.69% 1.69% 3.39% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% | poor 6.78% poor 5.08% 0.00% poor 0.00% | not sure 0.00% |
| 66 67 68 69 70 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. Hur Have there been any significant changes in senior management or directors, within the last year? | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 69.49% 55.93% nan Resource yes | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% 38.98% 38.98% | 27.12% adequate 22.03% 6.78% adequate 1.69% 1.69% 3.39% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% | poor 6.78% poor 5.08% 0.00% poor 0.00% | not sure 0.00% |
| 66 67 68 69 70 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. Hur Have there been any significant changes in senior management or directors, within the last year? Has management established a code or other policies communicating | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 55.93% nan Resource yes 42.37% | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% ce Management no 57.63% | 27.12% adequate 22.03% 6.78% adequate 1.69% 1.69% 3.39% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% | poor 6.78% poor 5.08% 0.00% poor 0.00% | not sure 0.00% |
| 66 67 68 69 70 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. Hur Have there been any significant changes in senior management or directors, within the last year? | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 69.49% 55.93% nan Resource yes | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% 38.98% 38.98% | 27.12% adequate 22.03% 6.78% adequate 1.69% 1.69% 3.39% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% | poor 6.78% poor 5.08% 0.00% poor 0.00% | not sure 0.00% |
| 66 67 68 69 70 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. Hur Have there been any significant changes in senior management or directors, within the last year? Has management established a code or other policies communicating appropriate ethical and moral behavioral standards for its employees? | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 55.93% nan Resource yes 42.37% | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% ce Management no 57.63% | 27.12% adequate 22.03% 6.78% adequate 1.69% 1.69% 3.39% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% | poor 6.78% poor 5.08% 0.00% poor 0.00% | not sure 0.00% |
| 66 67 68 69 70 71 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. Hur Have there been any significant changes in senior management or directors, within the last year? Has management established a code or other policies communicating appropriate ethical and moral behavioral standards for its employees? Does management monitor employees, for compliance, with any code or other policies regarding appropriate ethical and moral behavioral standards? | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 55.93% 70.0000000000000000000000000000000000 | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% EManagement no 57.63% 8.47% | 27.12% adequate 22.03% 6.78% adequate 1.69% 1.69% 3.39% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% | poor 6.78% poor 5.08% 0.00% poor 0.00% | not sure 0.00% |
| 66 67 68 69 70 71 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. Hur Have there been any significant changes in senior management or directors, within the last year? Has management established a code or other policies communicating appropriate ethical and moral behavioral standards for its employees? Does management monitor employees, for compliance, with any code or other policies regarding appropriate ethical and moral behavioral | 27.12% highly effective 35.59% 42.37% highly effective 69.49% 55.93% nan Resource yes 42.37% 91.53% 84.75% 86.44% | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% EManagement no 57.63% 8.47% 15.25% 13.56% | adequate 27.12% adequate 22.03% 6.78% adequate 1.69% 3.39% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% 1.69% | poor 6.78% poor 5.08% 0.00% poor 0.00% | not sure 0.00% |
| 66 67 68 69 70 71 72 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. Hur Have there been any significant changes in senior management or directors, within the last year? Has management established a code or other policies communicating appropriate ethical and moral behavioral standards for its employees? Does management monitor employees, for compliance, with any code or other policies regarding appropriate ethical and moral behavioral standards? | 27.12% highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 55.93% nan Resource yes 42.37% 91.53% 84.75% 86.44% within the last | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% 38.98% 38.98% 6 Managemel no 57.63% 8.47% 15.25% 13.56% within the last 3 | adequate 27.12% adequate 22.03% 6.78% adequate 1.69% 3.39% nt | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% 1.69% | poor 6.78% poor 5.08% 0.00% poor 0.00% 0.00% | not sure 0.00% |
| 66 67 68 69 70 71 72 73 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. Hur Have there been any significant changes in senior management or directors, within the last year? Has management established a code or other policies communicating appropriate ethical and moral behavioral standards for its employees? Does management monitor employees, for compliance, with any code or other policies regarding appropriate ethical and moral behavioral standards? Is there an employee handbook that is readily accessible? | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 55.93% man Resource yes 42.37% 91.53% 84.75% 86.44% within the last year | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% 29.80% 20.57.63% 8.47% 15.25% 13.56% within the last 3 years | adequate 27.12% adequate 22.03% 6.78% adequate 1.69% 3.39% nt within the last 5 years | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% 1.69% | poor 6.78% poor 5.08% 0.00% poor 0.00% 0.00% | not sure 0.00% |
| 66 67 68 69 70 71 72 73 74 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. Hur Have there been any significant changes in senior management or directors, within the last year? Has management established a code or other policies communicating appropriate ethical and moral behavioral standards for its employees? Does management monitor employees, for compliance, with any code or other policies regarding appropriate ethical and moral behavioral standards? Is there an employee handbook that is readily accessible? | 27.12% highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 55.93% 7000 A | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% 26. Management no 57.63% 8.47% 15.25% 13.56% within the last 3 years 22.03% | adequate 27.12% adequate 22.03% 6.78% adequate 1.69% 3.39% nt within the last 5 years 13.56% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% 1.69% within the last 10 years 8.47% | poor 6.78% poor 5.08% 0.00% poor 0.00% 0.00% | not sure 0.00% |
| 66 67 68 69 70 71 72 73 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. Hur Have there been any significant changes in senior management or directors, within the last year? Has management established a code or other policies communicating appropriate ethical and moral behavioral standards for its employees? Does management monitor employees, for compliance, with any code or other policies regarding appropriate ethical and moral behavioral standards? Is there an employee handbook that is readily accessible? | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 69.49% 55.93% 742.37% 91.53% 84.75% 86.44% within the last year 35.59% 30.51% | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% EManagement no 57.63% 8.47% 15.25% 13.56% within the last 3 years 22.03% 25.42% | adequate 27.12% adequate 22.03% 6.78% adequate 1.69% 3.39% 1t within the last 5 years 13.56% 5.08% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% 1.69% | poor 6.78% poor 5.08% 0.00% poor 0.00% 0.00% | not sure 0.00% |
| 66 67 68 69 70 71 72 73 74 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. Hur Have there been any significant changes in senior management or directors, within the last year? Has management established a code or other policies communicating appropriate ethical and moral behavioral standards for its employees? Does management monitor employees, for compliance, with any code or other policies regarding appropriate ethical and moral behavioral standards? Is there an employee handbook that is readily accessible? | 27.12% highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 55.93% 7000 A | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% 26. Management no 57.63% 8.47% 15.25% 13.56% within the last 3 years 22.03% | adequate 27.12% adequate 22.03% 6.78% adequate 1.69% 3.39% nt within the last 5 years 13.56% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% 1.69% within the last 10 years 8.47% | poor 6.78% poor 5.08% 0.00% poor 0.00% 0.00% | not sure 0.00% |
| 66 67 68 69 70 71 72 73 74 | Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose. Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas) Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures) Evaluate oversight of employee expenditures, such as travel and expense reimbursement. Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement. Evaluate the entity's internal accounting and administrative controls. Hur Have there been any significant changes in senior management or directors, within the last year? Has management established a code or other policies communicating appropriate ethical and moral behavioral standards for its employees? Does management monitor employees, for compliance, with any code or other policies regarding appropriate ethical and moral behavioral standards? Is there an employee handbook that is readily accessible? When was the employee handbook last updated? When were job descriptions last updated? | highly effective 27.12% highly effective 35.59% 42.37% highly effective 69.49% 69.49% 55.93% 742.37% 91.53% 84.75% 86.44% within the last year 35.59% 30.51% | 28.81% effective 33.90% 49.15% effective 28.81% 28.81% 38.98% EManagement no 57.63% 8.47% 15.25% 13.56% within the last 3 years 22.03% 25.42% | adequate 27.12% adequate 22.03% 6.78% adequate 1.69% 3.39% 1t within the last 5 years 13.56% 5.08% | less than adequate 10.17% less than adequate 3.39% 1.69% less than adequate 0.00% 1.69% within the last 10 years 8.47% | poor 6.78% poor 5.08% 0.00% poor 0.00% 0.00% | not sure 0.00% |

| | Cummany or recoponion | | uto / 1901 | | | |
|--|---|---|---|--|--|----------------|
| | | yes | no | | | |
| 78 | Are background checks conducted on potential hires? | 94.92% | 5.08% | | | |
| 79 | Are credentials and references verified, for potential hires? | 100.00% | 0.00% | | | |
| | , , , , , , , , , , , , , , , , , , , | | yes, but barely | no, not | | |
| | | | | | | |
| | | yes, sufficient | sufficient | sufficient | | |
| | Does the entity have sufficient numbers of people with the requisite skills | | | | | |
| 80 | to achieve its organizational objectives? | 32.20% | 45.76% | 22.03% | | |
| | to activo to organizational objectives: | | | 22.00 /0 | l | |
| | | yes | no | | | |
| | Does the agency have a succession plan in place for senior management | | | | | |
| 81 | and other key employees? | 49.15% | 50.85% | | | |
| | and other key employees: | | | | 1 | |
| | | yes | no | not sure | | |
| | Does the entity have operations or individuals that have evidenced | | | | | |
| 82 | significant ethical shortfalls and the appropriate personnel actions have | | | | | |
| 02 | 11 1 1 | 0.000/ | 00 040/ | 4 000/ | | |
| | not been taken? | 0.00% | 98.31% | 1.69% | | |
| | | excellent | good | fair | low | |
| 02 | Evaluate morale among senior management. | 45.76% | | 3.39% | 0.00% | |
| | · | | | | | |
| 84 | Evaluate morale among employees. | 30.51% | 59.32% | 10.17% | 0.00% | |
| | | yes | no | | | |
| | Are there mandatory vacations for employees performing key control | • | | | | |
| 85 | | 44.000/ | 00.440/ | | | |
| | functions? | 11.86% | | | | |
| 86 | Do training and mentoring programs exist for employees? | 91.53% | 8.47% | | | |
| | Does management utilize methods such as cross-training, strategic | | | | | |
| | | | | | | |
| 87 | hiring practices, detailed procedure documentation, enhanced | | | | | |
| ٠, | supervision, etc. to help mitigate the risk associated, with sudden, | | | | | |
| | or significant changes in key personnel? | 88.14% | 11.86% | | | |
| | | 50.1770 | 11.0070 | | | |
| | Is there a risk that the Finance function of the entity will fail to function as | | | | | |
| 00 | a control in the event that senior management seeks to override | | | | | |
| 88 | established controls or take overly aggressive financial reporting | | | | | |
| | , , , , | 6 700/ | 02 200/ | | | |
| | positions? | 6.78% | 93.22% | | | |
| 00 | Is there any indication that unreliable or inaccurate estimates have been | | | | | |
| 89 | provided, or that management has been less than forthright? | 0.00% | 100.00% | | | |
| | principal and management has soon look than forthinght. | 0.0070 | 100.0070 | | | |
| | | | | | | |
| | | management | | moderately | | |
| | | has a long | | successful in | | |
| | | track record of | | meeting goals | | |
| | | | | | | |
| | | meeting or | | and forecasts, | | |
| | | exceeding | management has | occasional | often unable to | |
| | | _ | - | | | |
| | | strategic goals, | been successful | crisis | meet goals, | |
| | | as well as a | in meeting goals | management | operational | rarely able to |
| | | positive history | and objectives, | due to | changes often | meet goals, |
| | | | | | - | |
| | | of reacting to | appears to be in | changing | create crisis | constant |
| | | | control of | a navatina | aituationa far | management by |
| | | changing | | | | |
| | | changing | | operating | situations for | |
| | | conditions | operations | conditions | management | crisis |
| 90 | Evaluate management's past performance: | | operations | | | |
| 90 | Evaluate management's past performance: | conditions | operations | conditions | management | crisis |
| 90 | Evaluate management's past performance: | conditions 52.54% | operations 40.68% | conditions | management | crisis |
| 90 | Evaluate management's past performance: | conditions 52.54% experienced | operations 40.68% management | conditions | management 0.00% | crisis |
| 90 | Evaluate management's past performance: | conditions 52.54% | operations 40.68% | conditions | management | crisis |
| 90 | Evaluate management's past performance: | conditions 52.54% experienced management | operations 40.68% management team of average | conditions | management 0.00% senior | crisis |
| 90 | Evaluate management's past performance: | conditions 52.54% experienced management team that has | operations 40.68% management team of average experience that | conditions 6.78% | management 0.00% senior management | crisis |
| 90 | Evaluate management's past performance: | conditions 52.54% experienced management team that has successfully | operations 40.68% management team of average experience that has successfully | conditions 6.78% senior | management 0.00% senior management team lacks | crisis |
| 90 | Evaluate management's past performance: | conditions 52.54% experienced management team that has | operations 40.68% management team of average experience that | conditions 6.78% | management 0.00% senior management | crisis |
| 90 | Evaluate management's past performance: | conditions 52.54% experienced management team that has successfully managed | operations 40.68% management team of average experience that has successfully managed | conditions 6.78% senior management | senior management team lacks experience with | crisis |
| 90 | Evaluate management's past performance: | experienced management team that has successfully managed through one or | operations 40.68% management team of average experience that has successfully managed through one or | senior management team lacks | senior management team lacks experience with common | crisis |
| 90 | Evaluate management's past performance: | experienced management team that has successfully managed through one or more business | operations 40.68% management team of average experience that has successfully managed through one or more business | senior management team lacks experience in a | senior management team lacks experience with common industry | crisis |
| 90 | Evaluate management's past performance: | conditions 52.54% experienced management team that has successfully managed through one or more business cycles | operations 40.68% management team of average experience that has successfully managed through one or more business cycles | senior management team lacks experience in a key area | senior management team lacks experience with common industry problems | crisis |
| | | experienced management team that has successfully managed through one or more business | operations 40.68% management team of average experience that has successfully managed through one or more business cycles | senior management team lacks experience in a | senior management team lacks experience with common industry problems | crisis |
| | Evaluate management's past performance: Evaluate management's experience and skill mix: | conditions 52.54% experienced management team that has successfully managed through one or more business cycles | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% | senior management team lacks experience in a key area 0.00% | senior management team lacks experience with common industry problems 1.69% | crisis |
| | | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate | senior management team lacks experience in a key area 0.00% insufficient | senior management team lacks experience with common industry problems 1.69% insufficient | crisis |
| | | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management | senior management team lacks experience in a key area 0.00% insufficient management | senior management team lacks experience with common industry problems 1.69% insufficient management | crisis |
| | | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate | senior management team lacks experience in a key area 0.00% insufficient | senior management team lacks experience with common industry problems 1.69% insufficient | crisis |
| | | experienced management team that has successfully managed through one or more business cycles 83.05% good management | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key | senior management team lacks experience in a key area 0.00% insufficient management depth with an | senior management team lacks experience with common industry problems 1.69% insufficient management depth in key | crisis |
| | | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions | senior senior management team lacks experience in a key area 0.00% insufficient management depth with an active | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions | crisis |
| | | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing | crisis |
| | | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions | senior senior management team lacks experience in a key area 0.00% insufficient management depth with an active | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions | crisis |
| | | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious | crisis |
| 91 | Evaluate management's experience and skill mix: | experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 | Evaluate management's experience and skill mix: Evaluate management's depth: | experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious | crisis |
| 91 | Evaluate management's experience and skill mix: Evaluate management's depth: | experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 | Evaluate management's experience and skill mix: Evaluate management's depth: | experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory/ | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 | Evaluate management's experience and skill mix: Evaluate management's depth: | experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 | Evaluate management's experience and skill mix: Evaluate management's depth: | experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory/ | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 | Evaluate management's experience and skill mix: Evaluate management's depth: | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory / yes | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 | Evaluate management's experience and skill mix: Evaluate management's depth: | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory/ yes 67.80% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 92 | Evaluate management's experience and skill mix: Evaluate management's depth: | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory / yes | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 92 | Evaluate management's experience and skill mix: Evaluate management's depth: | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory/ yes 67.80% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory/ yes 67.80% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory / yes 67.80% yes | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory/ yes 67.80% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 94 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory / yes 67.80% yes | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? Have there been any changes in the entity's legal counsel during the past | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory/ yes 67.80% yes | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% no | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 94 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory/ yes 67.80% yes 3.39% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% no 69.49% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 94 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? Have there been any changes in the entity's legal counsel during the past | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory/ yes 67.80% yes | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% no | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 94 95 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? Have there been any changes in the entity's legal counsel during the past year? | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory / yes 67.80% yes 3.39% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% no 69.49% 77.97% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 94 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? Have there been any changes in the entity's legal counsel during the past | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory/ yes 67.80% yes 3.39% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% no 69.49% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 94 95 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? Have there been any changes in the entity's legal counsel during the past year? | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory / yes 67.80% yes 3.39% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% no 69.49% 77.97% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 94 95 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? Have there been any changes in the entity's legal counsel during the past year? Is the entity currently under a regulatory or other supervisory order? | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory / yes 67.80% yes 3.39% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% no 69.49% 77.97% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 94 95 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? Have there been any changes in the entity's legal counsel during the past year? Is the entity currently under a regulatory or other supervisory order? Are there any actual or pending inquiries, investigations, or actions by a | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory/ yes 67.80% yes 10.17% yes 6.78% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% no 69.49% 77.97% no 93.22% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 94 95 96 97 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? Have there been any changes in the entity's legal counsel during the past year? Is the entity currently under a regulatory or other supervisory order? Are there any actual or pending inquiries, investigations, or actions by a regulatory agency, that would affect the entity's ability to operate? | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory / yes 67.80% yes 10.17% yes 6.78% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% no 69.49% 77.97% no 93.22% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 94 95 96 97 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? Have there been any changes in the entity's legal counsel during the past year? Is the entity currently under a regulatory or other supervisory order? Are there any actual or pending inquiries, investigations, or actions by a regulatory agency, that would affect the entity's ability to operate? Does the entity have any specific anti-fraud policies? | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory/ yes 67.80% yes 10.17% yes 6.78% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% no 69.49% 77.97% no 93.22% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 94 95 96 97 98 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? Have there been any changes in the entity's legal counsel during the past year? Is the entity currently under a regulatory or other supervisory order? Are there any actual or pending inquiries, investigations, or actions by a regulatory agency, that would affect the entity's ability to operate? | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory / yes 67.80% yes 10.17% yes 6.78% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% no 69.49% 77.97% no 93.22% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 94 95 96 97 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? Have there been any changes in the entity's legal counsel during the past year? Is the entity currently under a regulatory or other supervisory order? Are there any actual or pending inquiries, investigations, or actions by a regulatory agency, that would affect the entity's ability to operate? Does the entity have any specific anti-fraud policies? Does the entity have an internal audit function, other than the Bureau of | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory / yes 67.80% yes 10.17% yes 6.78% 1.69% 44.07% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% no 69.49% 77.97% no 93.22% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |
| 91 92 93 94 95 96 97 98 | Evaluate management's experience and skill mix: Evaluate management's depth: Is there an oversight authority or board of directors to whom management is responsible? If the entity does have an oversight authority or board of directors to whom management is responsible, is there evidence of ineffective monitoring of management? Have there been any changes in the entity's legal counsel during the past year? Is the entity currently under a regulatory or other supervisory order? Are there any actual or pending inquiries, investigations, or actions by a regulatory agency, that would affect the entity's ability to operate? Does the entity have any specific anti-fraud policies? | conditions 52.54% experienced management team that has successfully managed through one or more business cycles 83.05% good management depth at key positions with full succession planning 30.51% Regulatory / yes 67.80% yes 10.17% yes 6.78% | operations 40.68% management team of average experience that has successfully managed through one or more business cycles 15.25% adequate management depth with all key positions covered by qualified individuals 59.32% Compliance no 32.20% no 69.49% 77.97% no 93.22% | senior management team lacks experience in a key area 0.00% insufficient management depth with an active recruiting effort to fill positions 5.08% | senior management 0.00% senior management team lacks experience with common industry problems 1.69% insufficient management depth in key positions representing serious exposures | crisis |

88.14%

11.86%

Does the entity work with client information, requiring security, privacy, and confidentiality?

| 101 | | | | | | | |
|-----|--|--------------------------------|---|---|---------------------------|-------------------|------------------------------|
| 101 | Does the entity have a documented privacy and confidentiality policy? | 79.66% | 20.34% | | | | |
| 102 | Is the entity subject to debt covenant requirements? | 10.17% | 89.83% | | | | |
| | | yes | no | N/A | | | |
| 103 | If the entity is subject to debt covenant requirements, is the entity in | | | | | | |
| 103 | compliance? | 10.17% | 0.00% | 89.83% | | | |
| 104 | Does the entity have policies/procedures for maintaining compliance with | | | | | | |
| 104 | environmental laws? | 30.51% | 8.47% | 61.02% | | | |
| | | yes | no | | | | |
| | Is the entity involved in the production or handling of hazardous | | | | | | |
| 105 | substances (besides the office related items such as ink and toner | | | | | | |
| | cartridges)? | 22.03% | 77.97% | | | | |
| | | yes, often | occasionally | no | | | |
| 106 | Does the entity conduct internal self-reviews with regard to compliance | | | | | | |
| 106 | with laws and regulations? | 54.24% | 33.90% | 11.86% | | | |
| | | Governme | nt Service | | | | |
| | | | | | | 1 | |
| | | | | adequately | | | |
| | | | | well in most | | | |
| | | | | areas, though | | | |
| | | | | some need | | | |
| | | very well | adequately well | improvement. | not very well | | |
| 107 | How well is the entity meeting the needs of its constituents? | 40.68% | 45.76% | 13.56% | 0.00% | | |
| ,,, | , , | 10.0070 | 10.1070 | 10.0070 | | | |
| 101 | , , | yes | no | 10.0070 | | • | |
| | Does the entity have a means of monitoring constituent satisfaction with | yes | no | | | • | |
| 108 | , , | | | | | • | |
| | Does the entity have a means of monitoring constituent satisfaction with | yes | no | | | | |
| | Does the entity have a means of monitoring constituent satisfaction with | yes | no | | | | |
| | Does the entity have a means of monitoring constituent satisfaction with its services? | yes | no | no, this has | | | |
| | Does the entity have a means of monitoring constituent satisfaction with its services? Does the entity focus on improving accountability and transparency to the | yes 76.27% | no 23.73% | no, this has not been an | | | |
| | Does the entity have a means of monitoring constituent satisfaction with its services? | yes 76.27% | no 23.73% | no, this has not been an | | | |
| 108 | Does the entity have a means of monitoring constituent satisfaction with its services? Does the entity focus on improving accountability and transparency to the | yes 76.27% | no 23.73% generally yes 28.81% | no, this has not been an area of focus | | | |
| 108 | Does the entity have a means of monitoring constituent satisfaction with its services? Does the entity focus on improving accountability and transparency to the general public through the use of internet portals (ri.gov) or another | yes 76.27% yes | no 23.73% generally yes | no, this has not been an area of focus | | | improved |
| 108 | Does the entity have a means of monitoring constituent satisfaction with its services? Does the entity focus on improving accountability and transparency to the general public through the use of internet portals (ri.gov) or another | yes 76.27% yes | no 23.73% generally yes 28.81% | no, this has not been an area of focus | improved phone | | improved customer service |
| 108 | Does the entity have a means of monitoring constituent satisfaction with its services? Does the entity focus on improving accountability and transparency to the general public through the use of internet portals (ri.gov) or another | yes 76.27% yes 59.32% | no 23.73% generally yes 28.81% physical | no, this has not been an area of focus 11.86% | improved phone service | internet services | |
| 108 | Does the entity have a means of monitoring constituent satisfaction with its services? Does the entity focus on improving accountability and transparency to the general public through the use of internet portals (ri.gov) or another | yes 76.27% yes 59.32% physical | generally yes 28.81% physical improvement to | no, this has not been an area of focus 11.86% change in | | internet services | customer service |