

FRAUD RISK ASSESSMENT SURVEY

Instructions:

Please answer each question as honestly as possible. All responses will be maintained by SETRPC in a professional and confidential manner. Any additional information that you believe may be important may also be included in this correspondence.

Give as much detail as necessary to understand your answers. You may use names or titles of employees, customers, vendors or others if necessary.

Please email your responses directly glacy@setrpc.org or mail to the attention of SETRPC Human Resources Manager - 2210 Eastex Freeway, Beaumont, TX 77703. Your responses are confidential and will be treated with professionalism and in a confidential manner.

Thank you in advance for your time and cooperation. Management appreciates your support in maintaining an honest and safe workplace.

Use back page if more space is needed:

- 1) Are you aware of anyone who has stolen assets (including cash, equipment, or inventory) from SETRPC?
- 2) Has anyone asked you to commit any improper, illegal or unprofessional acts; or have you seen anyone else doing so?
- 3) If someone were to steal money or assets from SETRPC, would they be normally caught in a timely manner? Why or why not?
- 4) If someone wanted to improperly alter SETRPC's financial statements, would they get caught in a timely manner? Why or why not?
- 5) Are you aware of any employees, including management, who may be getting expense reimbursements or similar payments that could be improper or illegal?
- 6) Are you aware of any employees who may be experiencing financial or other pressures that could cause them to be excessively vulnerable to stealing or other improprieties? (Describe situation and employees involved)

- 7) Does management expect you to report improprieties, illegal acts, (sexual harassment, discrimination, etc.), fraud, stealing, etc. to either internal or external parties? If so, to whom would you communicate with?

- 8) Describe any problems or circumstances that may cause SETRPC or certain employees, including management, to violate policies, improperly report financial statements or misappropriate assets.

- 9) Do Board Members and management demonstrate integrity and honesty in all of their conduct? (Describe examples of such conduct)

- 10) Has anyone ever threatened you or intimidated you, regarding your disclosure of any potential workplace impropriety? (Describe)