



Quick Reference Guide

The UTC Ombudsman/DIALOG Program is a confidential communications channel designed to facilitate clear and understandable communications.

BASIC INFORMATION ABOUT THE OMBUDSMAN/DIALOG PROGRAM

- Ombudsman/DIALOG serves as a communications intermediary between you and management. The program has worked successfully since 1986.
- Ombudsman/DIALOG is an alternative to traditional communications channels, such as supervisors, Human Resources, or Business Practices.
- Ombudsman/DIALOG, after eliminating information that might identify you, refers your question or concern to management for a response.
- Responses come from management.
- Ombudsman/DIALOG is confidential (by protecting the identity of the person raising the matter), neutral (by being the advocate neither for management nor employees), and independent (by operating separately from management).
- Ombudsman/DIALOG will process any question or concern, except where the issue is covered by a collective bargaining agreement or restricted by law.
- The Ombudsmen handle more complex issues, including those regarding legal compliance. DIALOG is intended for less complex issues and works exclusively through written inquiries and written replies. If a more complex issue is submitted through DIALOG, it is referred to an Ombudsman.
- Because Ombudsman/DIALOG is a confidential channel, it does not accept notice on behalf of the company with respect to any claim or matter.

HOW OMBUDSMAN/DIALOG WORKS

- The Ombudsmen and the DIALOG Coordinators work for UTC HQ.
- Only the Ombudsmen and the DIALOG Coordinators know the identify of any person who submits an Ombudsman/DIALOG inquiry, and an Ombudsman/DIALOG inquiry can be submitted anonymously.
- Response times for DIALOGs ordinarily are 14 days or less (exclusive of postal handling for paper DIALOGs). Because inquiries managed by the Ombudsmen are more complex, response times generally take longer than 14 days.

HOW OMBUDSMAN/DIALOG HELPS

- Ombudsman/DIALOG can make it easier to ask a question, express a concern, suggest a change, report a problem, or compliment someone or something.
- Ombudsman/DIALOG is structured to be a safe communication channel for raising issues. The Ombudsmen are trained mediators.
- By surfacing issues, improvements can be made within the business.
- Over the past five years, approximately one-half of the inquiries requesting change resulted in change. Ombudsman/DIALOG improves UTC.

FREQUENTLY ASKED QUESTIONS

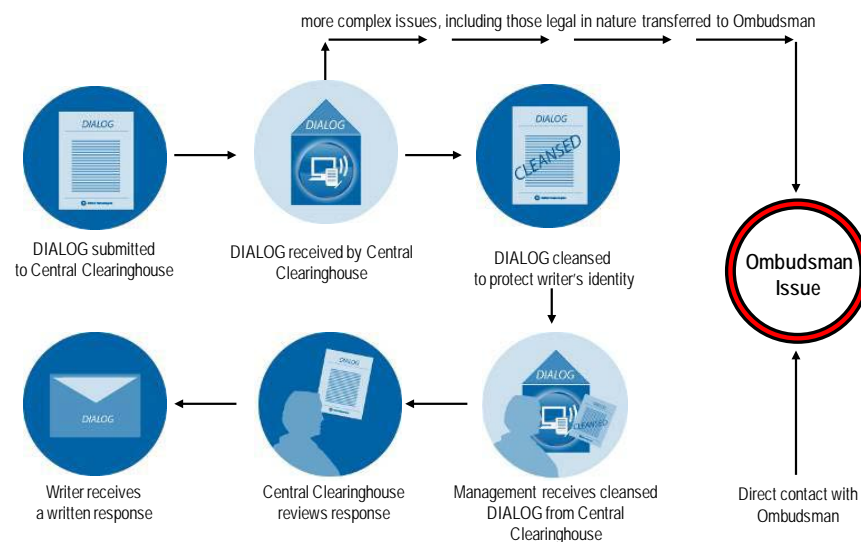
Q. How do I contact an Ombudsman?

A. UTC Ombudsman can be contacted toll-free at 800.871.9065.

When calling from outside the U.S., toll free, use the appropriate AT&T Direct® Access Code, found at www.business.att.com/bt/access.jsp

Q. What are the steps in using DIALOG?

A. Write a paper DIALOG, using the form in the DIALOG box or downloading it from www.utc.com. Mail the form to DIALOG, UTC, Hartford CT 06101. Alternatively, use eDIALOG, via a secure internet site, hosted offsite by a contractor independent of UTC, at <https://edialog.confidential.utc.com>



Q. How is confidentiality preserved for eDIALOG?

A. eDIALOG is a secure, encrypted, web-based system that is hosted offsite by a contractor independent of UTC. It uses a password system which is controlled exclusively by the person who raises an issue. When writing an eDIALOG, the writer creates a personal identifier (alpha and numeric combination) and a tracking code (alpha and numeric combination). The writer retrieves management's response by using the self-created identifier and tracking code. There is no other tracking mechanism.

Q. Where is more information available?

A. For details regarding the UTC Ombudsman/DIALOG Program, please go to the web-site <http://www.corphq.utc.com/emhand/dialog> or to www.utc.com.