

Audit Project #16-02B:

2016 Risk Assessment Employee Survey Results

Detailed Report

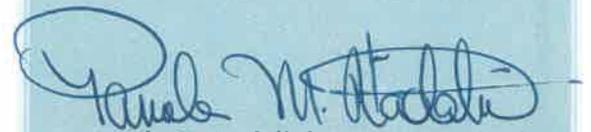
Office of the City Auditor and Clerk
Internal Audit

Prepared by:



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Date: November 22, 2016

To: Mayor Willie Shaw
Vice Mayor Shelli Freeland Eddie
Commissioner Liz Alpert
Commissioner Suzanne Atwell
Commissioner Susan Chapman

From: Pamela M. Nadalini, MBA, BBA, CMC, City Auditor and Clerk/ Chief Audit Executive

Subject: Audit Project #16-02B: 2016 Risk Assessment Employee Survey Results

Attached for your information and review is a copy of the above-mentioned detailed report.

If you have any questions, please do not hesitate to contact me at (941) 954-4169.

Attachment(s):

Detailed Audit Project #16-02B

c: Thomas Barwin, City Manager
Robert Fournier, City Attorney
D. Edward Daugherty, CPA, Manager, Internal Audit
File



Date: November 22, 2016

To: Thomas Barwin, City Manager

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BACKGROUND

Risk assessment is based on a set of complementary operational, financial reporting and compliance objectives linked across all levels of the organization. The process is designed to identify and analyze internal and external risks affecting the achievement of objectives at both the activity and the entity level. The overall goal of the enterprise risk assessment process is to provide management with the knowledge necessary to effectively manage risk.

The City of Sarasota undergoes an annual risk assessment process during which all areas of the City are considered and evaluated on the basis of their potential risk exposures. Annual updates to the risk assessment are necessary to take into account changes in the operating environment, new personnel, new or revised information technology, increases in transaction volumes, new activities, and revised organizational structure. The Institute of Internal Auditors' (IIA) International Standards for the Professional Practice of Internal Auditing (Standards) require Internal Audit to develop a risk-based audit schedule, which is updated annually.

This year, Internal Audit incorporated all permanent City employees into the risk assessment process by distributing a survey for which input was solicited regarding various areas/activities relating to employees' divisions, departments, and the overall organization.

This report details the results of the survey responses. Information reported includes: survey methodology, a summary of key results, and a brief overview relating to areas of perceived effectiveness, as well as those which may improved upon. Survey methodology is outlined and detailed responses to all survey statements/ questions are included as appendices.

Tables included in the text of this report highlight selected relevant survey findings and are expressed in percentages. All decimals have been rounded to the nearest whole number percentage, resulting in some total percentage amounts that reflect slightly over 100% for some statements.

SURVEY OBJECTIVE

The primary goal of conducting this survey was to identify, based on employee responses, the City of Sarasota's strengths and weaknesses as they relate to COSO's¹ five components of internal control: Control Environment, Risk Assessment, Control Activities, Information and Communication, and Monitoring. In 2014 COSO revised the the components (**new**) to include **Objective Setting, Event Identification, Risk Assessment, Risk Response**, Control Activities, Information and Communication, and Monitoring. A secondary goal was to measure the survey results against the results of the 2011 employee survey. In order to do this the survey questions were the same as the 2011 surveys. A result of using the 2011 Survey questions is that the survey does not address the new objectives.

¹ Committee of Sponsoring Organizations of the Treadway Commission (COSO) is a voluntary private sector organization sponsored and funded by the five main professional accounting associations and institutes in the United States. COSO has established a uniform internal control model against which most organizations assess their control systems and develop and provide guidance on internal control.

METHODOLOGY

A risk assessment survey was distributed to each full- and part-time employee with their payroll stub on June 17, 2016. An extended series of statements were presented to obtain information relating to the organization's control environment, risk identification processes, informational flows, monitoring, and potential for fraud/ theft. For each statement, respondents were asked to rate the extent to which he/ she agreed with the statement (strongly agree, agree, don't know, disagree, or strongly disagree). The survey included one open-ended question. Respondents were given the opportunity to identify their City department and/or division, but were not required to disclose this information.

Three different versions of the survey were distributed and, while some survey statements were similar across all versions, others varied according to type of employee:

- General Employees
- Supervisors/ Managers
- Department Directors, Charter Officials, City Commissioners (*also referred to in this report as "senior management"*)

The survey was conducted June 17th through July 5th, 2016. An email to advertise the survey was sent prior to the distribution of the surveys to inform employees of the upcoming survey.

Survey Version (by employee type)	2016 Percentage Rate of Return	2011 Percentage Rate of Return
General Employees	22.7%	29.2%
Supervisors, Managers	31.5%	40.7%
Department Directors, Charter Officials, City Commissioners	35.3%	52.9%
Overall Response Rate:	24.5%	30.7%

The results of this survey are accurate at the 95% confidence level plus or minus 4.5 percentage points.

EXECUTIVE SUMMARY

The report of the 2016 City of Sarasota Risk Assessment Employee Survey provides the opinions of city employees as divided into three employee groups: General Employees; Supervisors/ Managers; and Department Directors, Charter Officials, City Commissioners. Survey results reflect the attitudes of employees on topics including control environment, risk identification, information and communication, monitoring, and potential for fraud/ theft across their divisions, departments, and the citywide organization.

Distribution of the Risk Assessment Employee Survey offered staff and elected officials the opportunity to identify perceived strengths and weaknesses in the organization, which can encourage future improvements and identify areas of exposure.

A variety of statements were posed to the three employee groups, some of which were identical or similar across the three survey versions. Other statements were different or unique to the employee group surveyed, as different information was desired of the various employee types. One identical open-ended question was posed to all three employee groups, which asked respondents to identify the biggest issues faced by the City of Sarasota.

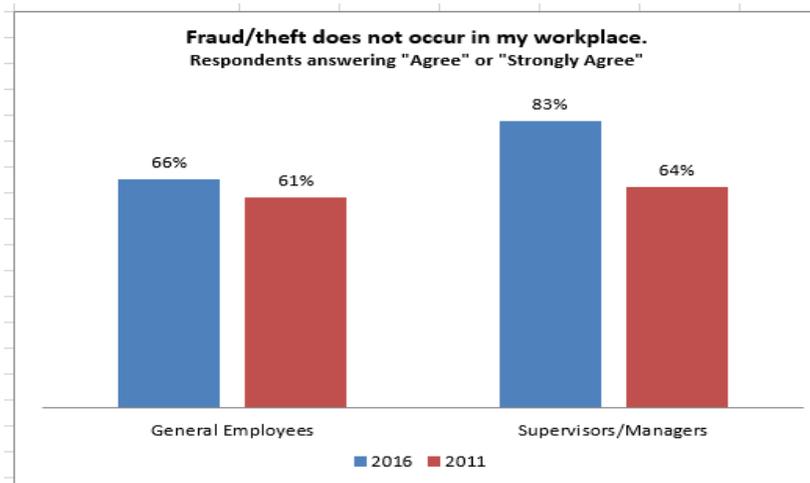
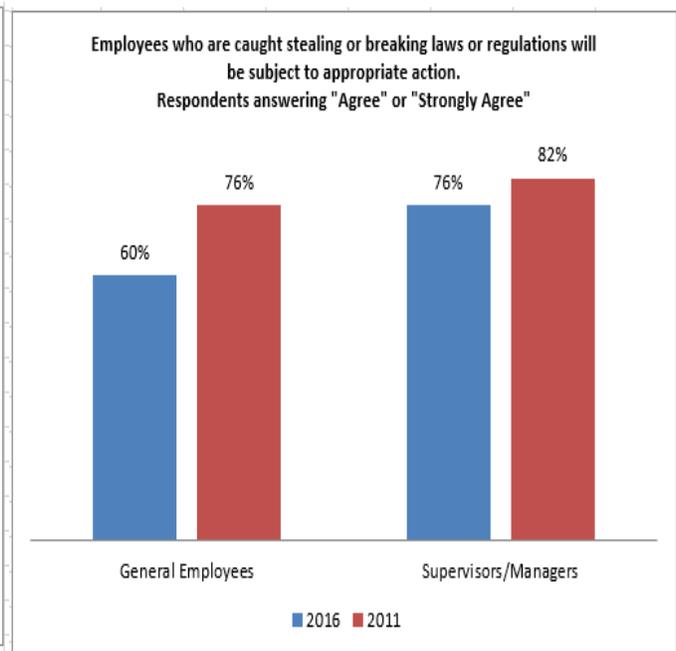
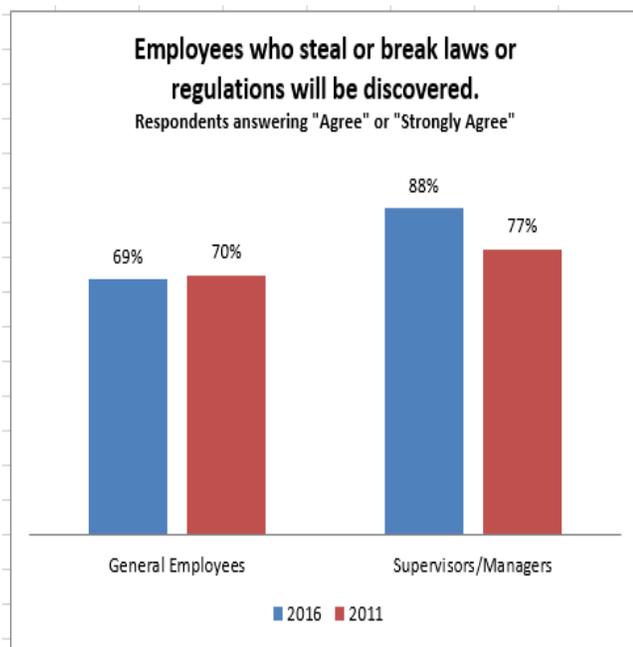
City of Sarasota employees responded overwhelmingly that the three biggest issues facing the organization were homelessness (19.44%); pay and benefits (12.5%); and inter-department cooperation (12.5%).

Most respondents responded favorably that the City of Sarasota employs Charter Officials, supervisors, and general employees who exhibit high ethical standards. Most respondents across all three employee groups also believe that they have sufficient information to perform their jobs.

While respondents generally indicated that they knew how to report a suspected wrongdoing in the City, they were less confident that they would be protected from retaliation or that the action would stop, if they reported it. The main reason for not reporting suspected wrongdoing was the fear that nothing would be done to the individual.

Full detail regarding responses received for each survey question and a detailed list of all responses to the open-ended survey question are included in the appendices of the report.

Survey Statements	Response of Agree or Strongly Agree			
	2016 GE	2011 GE	2016 MS	2011 MS
Questions with significant discrepancies between the General Employees' (GE) responses and those of Managers and Supervisors (MS)				
Employees who steal or break laws or regulations will be discovered	69%	70%	88%	77%
Employees who are caught stealing or breaking laws or regulations will be subject to appropriate action	60%	60%	76%	82%
Fraud/theft does not occur in my work	66%	61%	83%	64%



SUMMARY OF KEY RESULTS

This report section highlights five key results observed through analysis of survey response data. A breakdown of all survey responses by employee type is included in [Appendix A](#).

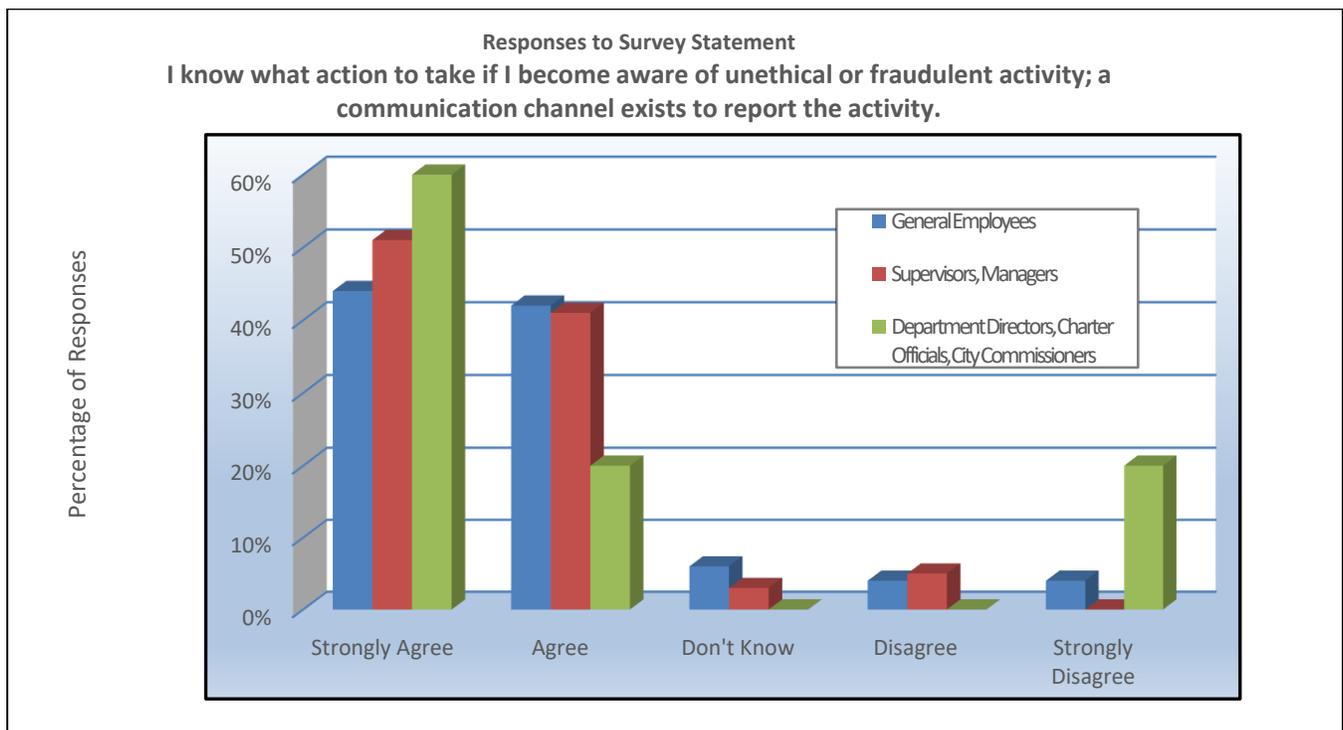
1. CITY EMPLOYEES KNOW WHAT ACTIONS TO TAKE TO REPORT WRONGDOING, BUT ARE LESS CONFIDENT AS TO WHETHER THEY WOULD BE PROTECTED FROM RETALIATION OR WHETHER ANYTHING WOULD BE DONE TO STOP THE WRONGDOING.

Largely, employees across all three employee types indicated they were aware of what actions to take to report a wrongdoing. However, they are less aware of whether they would be protected from retaliation or whether those actions would stop, if reported. General employees expressed less confidence than management employees that any individual, no matter their position, would be subject to appropriate consequences if caught stealing or breaking laws.

Survey Statement and Responses:

“I know what action to take if I become aware of unethical or fraudulent activity; a communication channel exists to report the activity.”

	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
General Employees	44%	42%	6%	4%	4%
Supervisors, Managers	51%	41%	3%	5%	-
Department Directors, Charter Officials, City Commissioners	60%	20%	-	-	20%

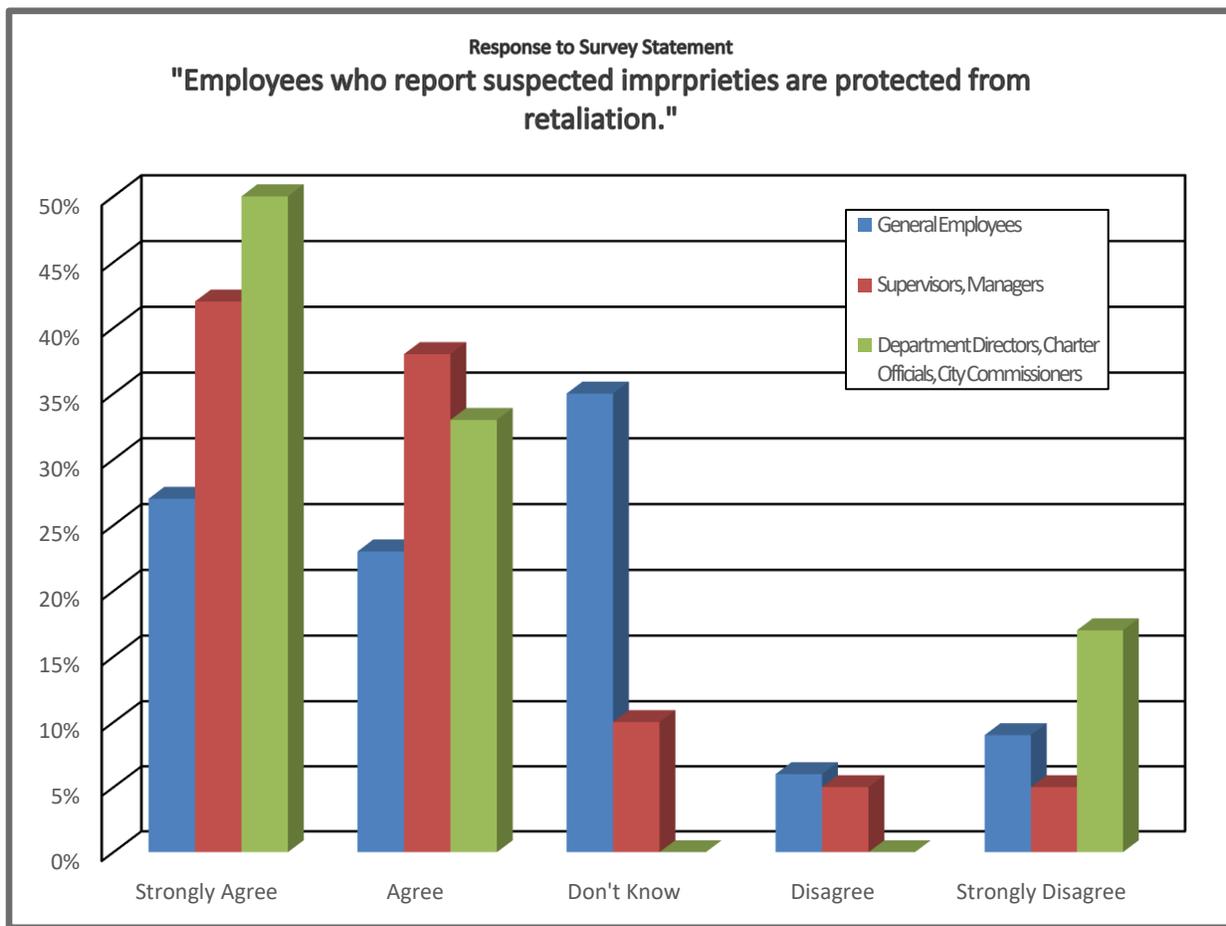


A large percentage of respondents from both the general employee and senior management employee groups responded that they didn't know whether employees are protected from retaliation after reporting suspected improprieties. Improving protection for employees may decrease the chances of unreported suspected wrongdoings.

Survey Statement and Responses:

"Employees who report suspected improprieties are protected from retaliation."

	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
General Employees	27%	23%	35%	6%	9%
Supervisors, Managers	42%	38%	10%	5%	5%
Department Directors, Charter Officials, City Commissioners	50%	33%	-	-	17%



Supervisors expressed more confidence than other employee groups that if they reported a wrongdoing, it would stop. A combined 34% of senior management employees and 37% of general employees either didn't know or disagreed that a wrongdoing would stop, if reported.

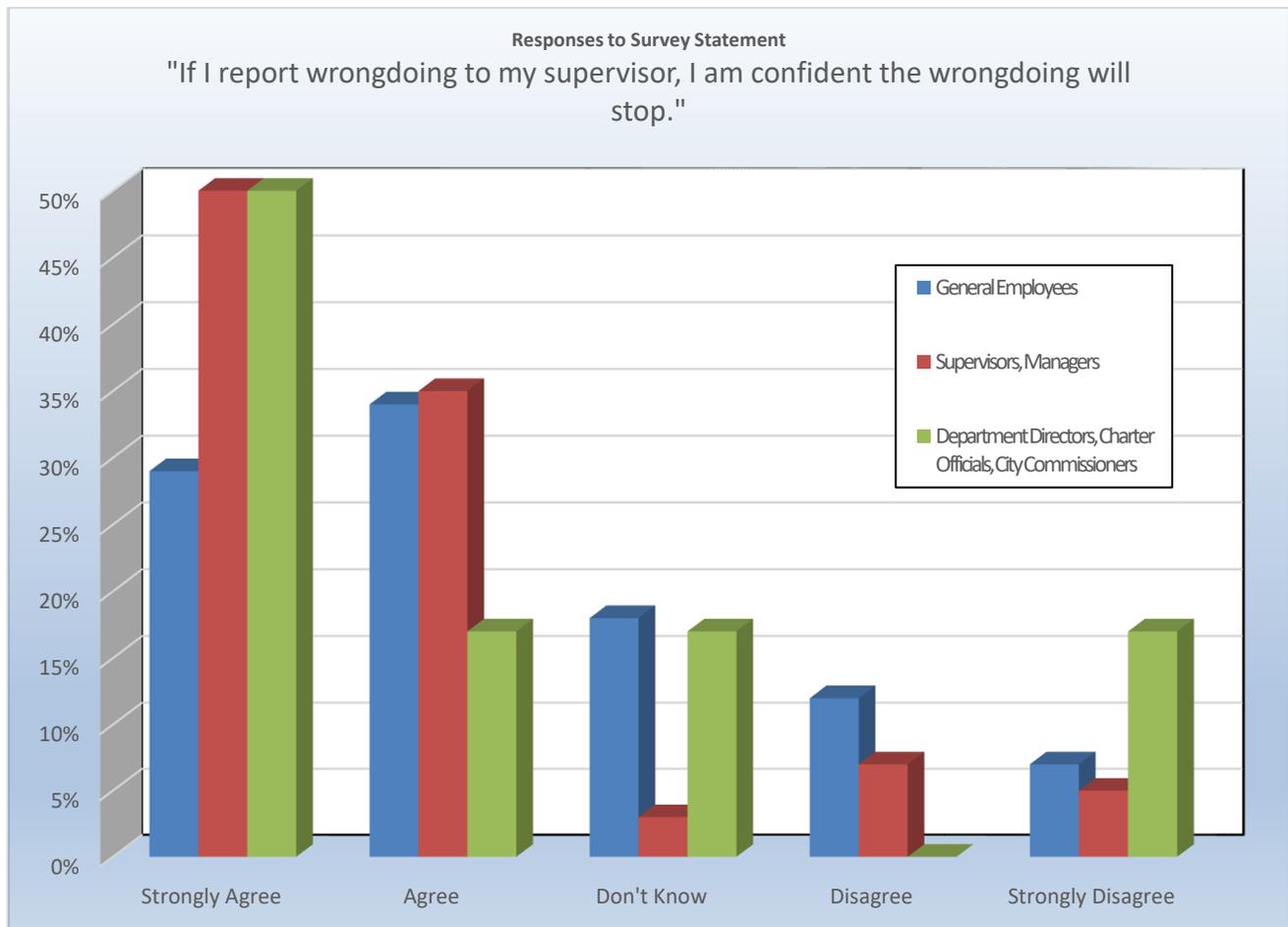
Survey Statement and Responses:

General Employees- "If I report wrongdoing to my supervisor, I am confident that the wrongdoing will stop."

Supervisors, Managers- "If I report wrongdoing to my department director, I am confident that the wrongdoing will stop."

Department Directors, Charter Officials, City Commissioners- "If I report wrongdoing, I am confident that the wrongdoing will stop."

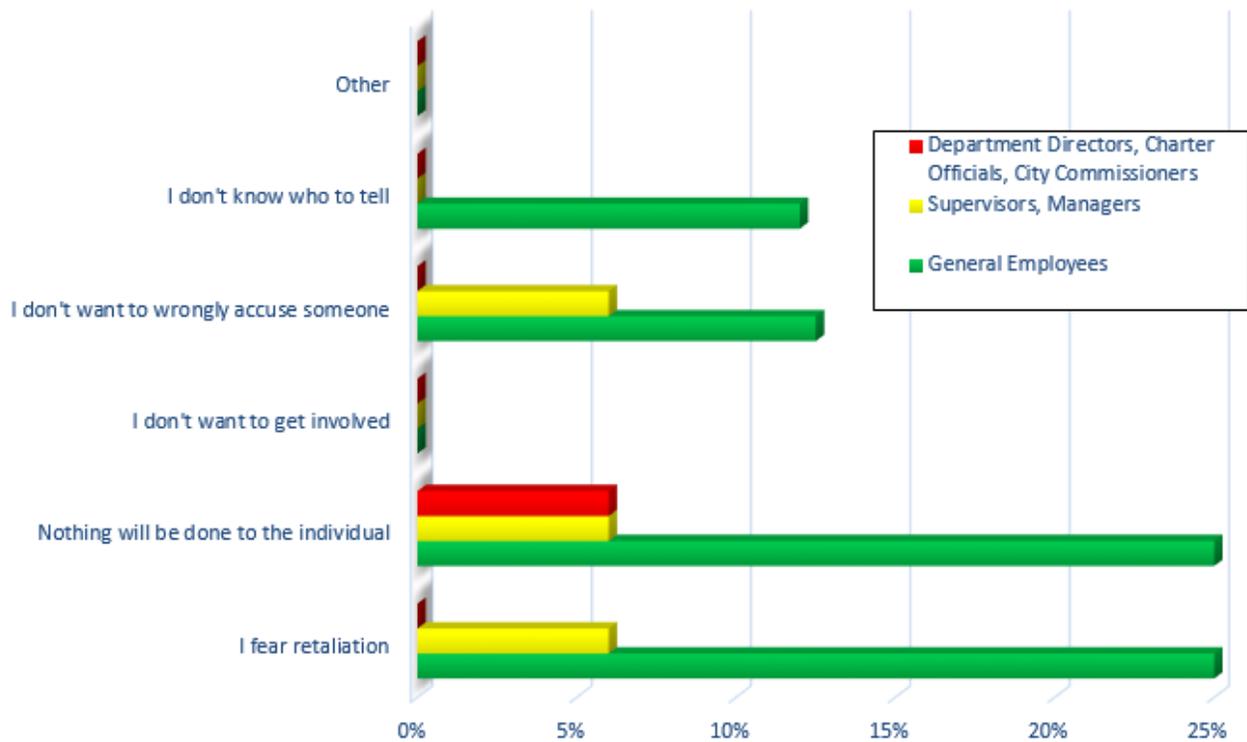
	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
General Employees	29%	34%	18%	12%	7%
Supervisors, Managers	50%	35%	3%	7%	5%
Department Directors, Charter Officials, City Commissioners	50%	17%	17%	-	16%



2. EMPLOYEES' TOP REASON FOR NOT REPORTING A SUSPECTED WRONGDOING IS THAT IT IS EXPECTED THAT NOTHING WILL BE DONE TO THE SUSPECTED INDIVIDUAL.

Of the employees who gave a reason for not reporting fraud/ theft in the organization, the majority indicated that they believed nothing would be done to the individual. An equal percentage of General Employee and Supervisor/Manager respondents indicated a fear of retaliation as a reason for not reporting suspected wrongdoing. A smaller percentage of respondents indicated that they didn't want to wrongly accuse someone.

Survey Respondents' Reasons for not reporting Fraud/Theft



3. WHERE SIMILAR QUESTIONS WERE POSED, RESPONSES OF GENERAL EMPLOYEES TENDED TO REFLECT DIFFERENT PERCEPTIONS THAN THOSE OF SUPERVISORS.

In instances where the same or complementing statements were presented to both general employees and supervisors, supervisors tended to respond more positively than general employees. Two examples of this are noted in this section.

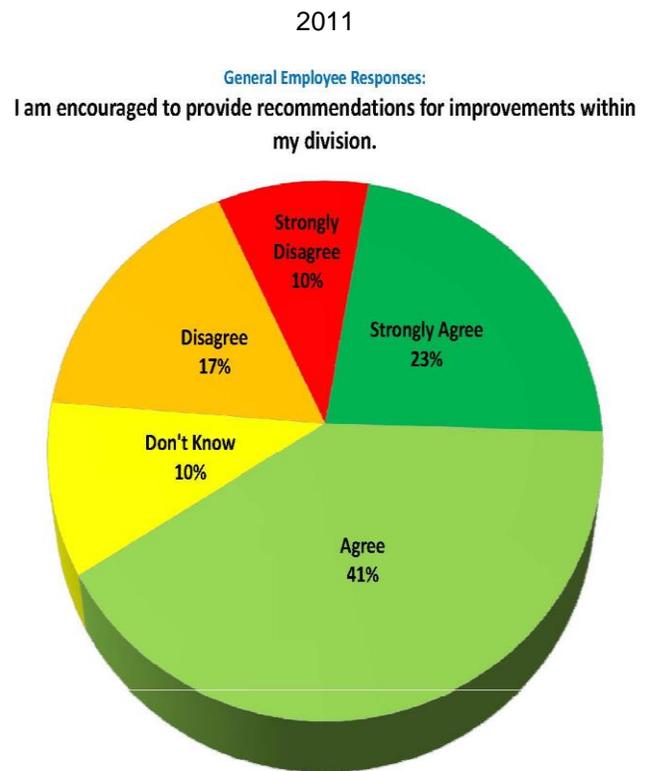
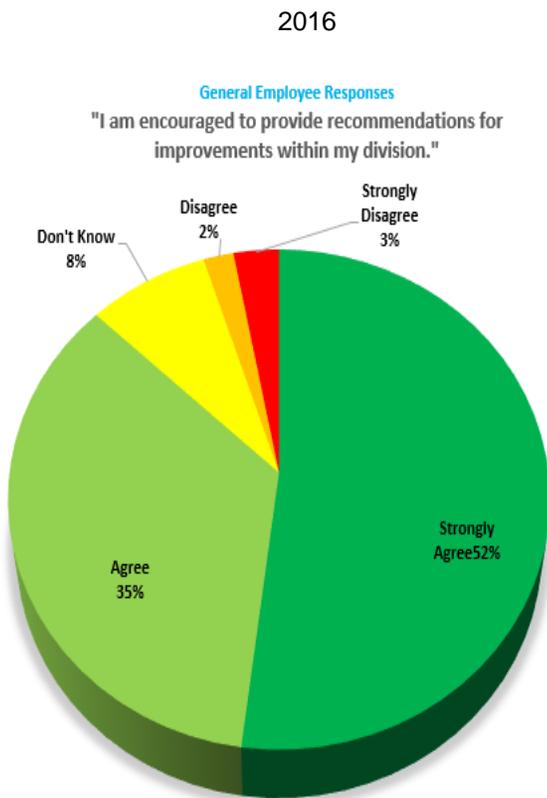
In indicating whether employees felt as though they were encouraged to provide recommendations for improvements in their division, a combined 13% (2011 – 37%) either didn't know or didn't agree. Conversely, 98% (2011 – 100%) of supervisors felt as though they do encourage their employees to provide recommendations for improvements.

Survey Statements and Responses:

General Employees- "I am encouraged to provide recommendations for improvements within my division."

Supervisors, Managers- "I encourage my employees to provide recommendations for improvements within my division."

	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
General Employees	52%	35%	8%	2%	3%
Supervisors, Managers	53%	45%	-	-	2%

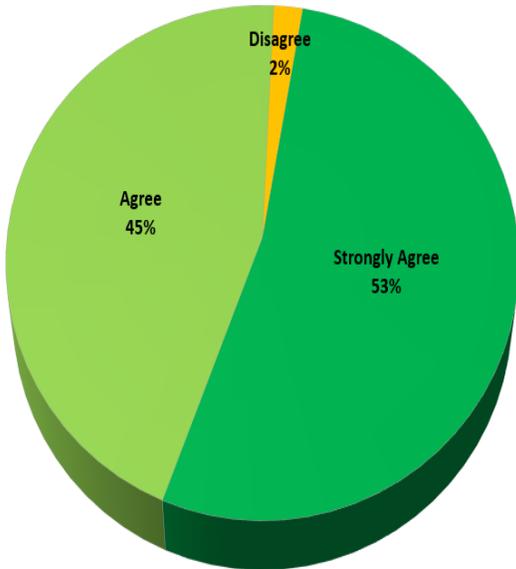


2016

2011

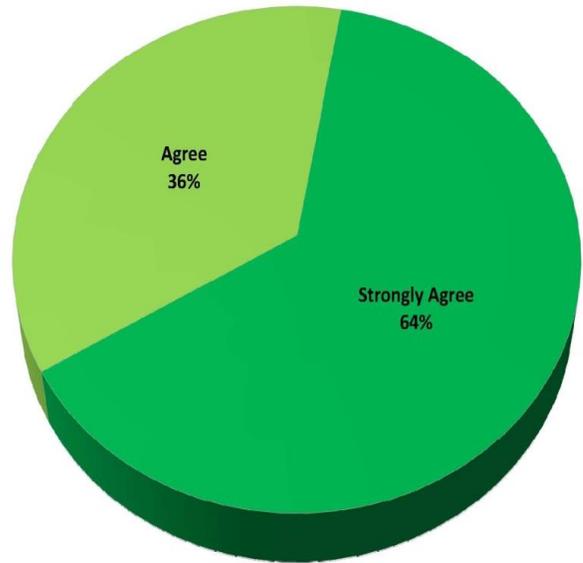
Supervisor Responses:

I encourage my employees to provide recommendations for improvements within my division.



Supervisor Responses:

I encourage my employees to provide recommendations for improvements within my division.



Survey Statements and Responses:

General Employees- “Human Resources policies and procedures have been communicated to me.”

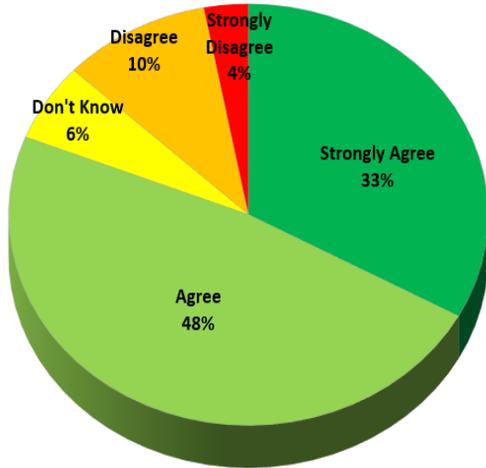
Supervisors, Managers- “I have communicated Human Resources policies and procedures to my staff.”

General Employees	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
2016	32%	48%	6%	10%	4%
2011	16%	58%	9%	14%	4%
Supervisors, Managers	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
2016	53%	45%	-	2%	-
2011	64%	36%	-	-	-

2016

General Employee Responses:

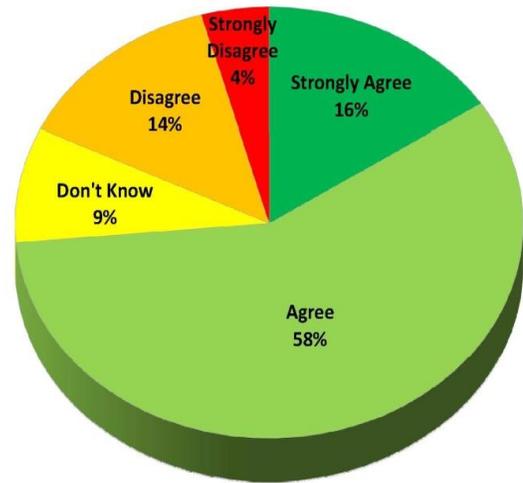
Human Resources policies and procedures have been communicated to me.



2011

General Employee Responses:

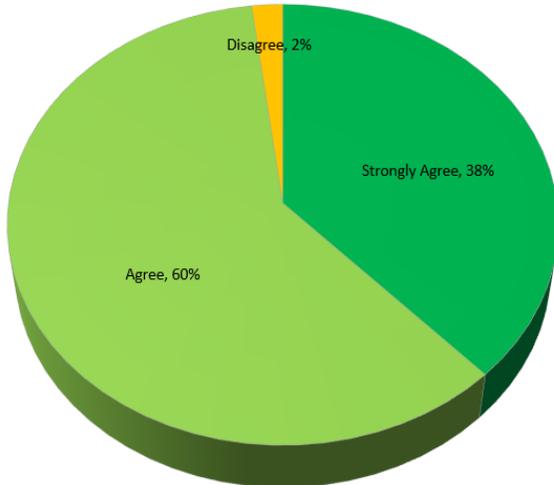
Human Resources policies and procedures have been communicated to me.



2016

Supervisor Responses:

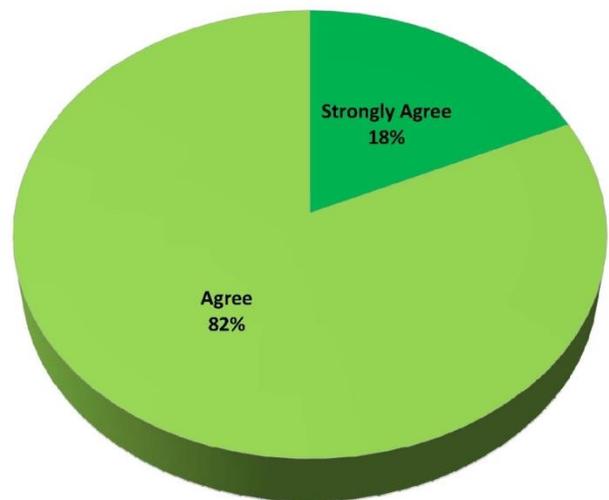
I have communicated Human Resources policies and procedures to my staff.



2011

Supervisor Responses:

I have communicated Human Resources policies and procedures to my staff.



4. EMPLOYEES INDICATED THAT THE CITY OF SARASOTA'S BIGGEST ISSUES ARE HOMELESSNESS, PAY AND BENEFITS AND INTER-DEPARTMENT COOPERATION

All three versions of the risk assessment survey had only one open-ended question, which was worded the same across the three versions.

Open-ended Survey Question: “In your opinion, what are the biggest issues facing the City of Sarasota?”

Three responses were noted as the top recurring answers:

- Homelessness
- Pay and Benefits
- Interdepartment Cooperation

A full list of survey responses is located in [Appendix B](#) of this report.

WHERE DO WE BELIEVE WE ARE EFFECTIVE?

This report section highlights two areas of the survey where responses were generally positive across all three employee groups surveyed. Responses reflect that City of Sarasota employees believe they are successful in the areas of information sharing and exhibiting ethical values.

KUDOS: EMPLOYEES FEEL THEY HAVE SUFFICIENT INFORMATION TO DO THEIR JOBS.

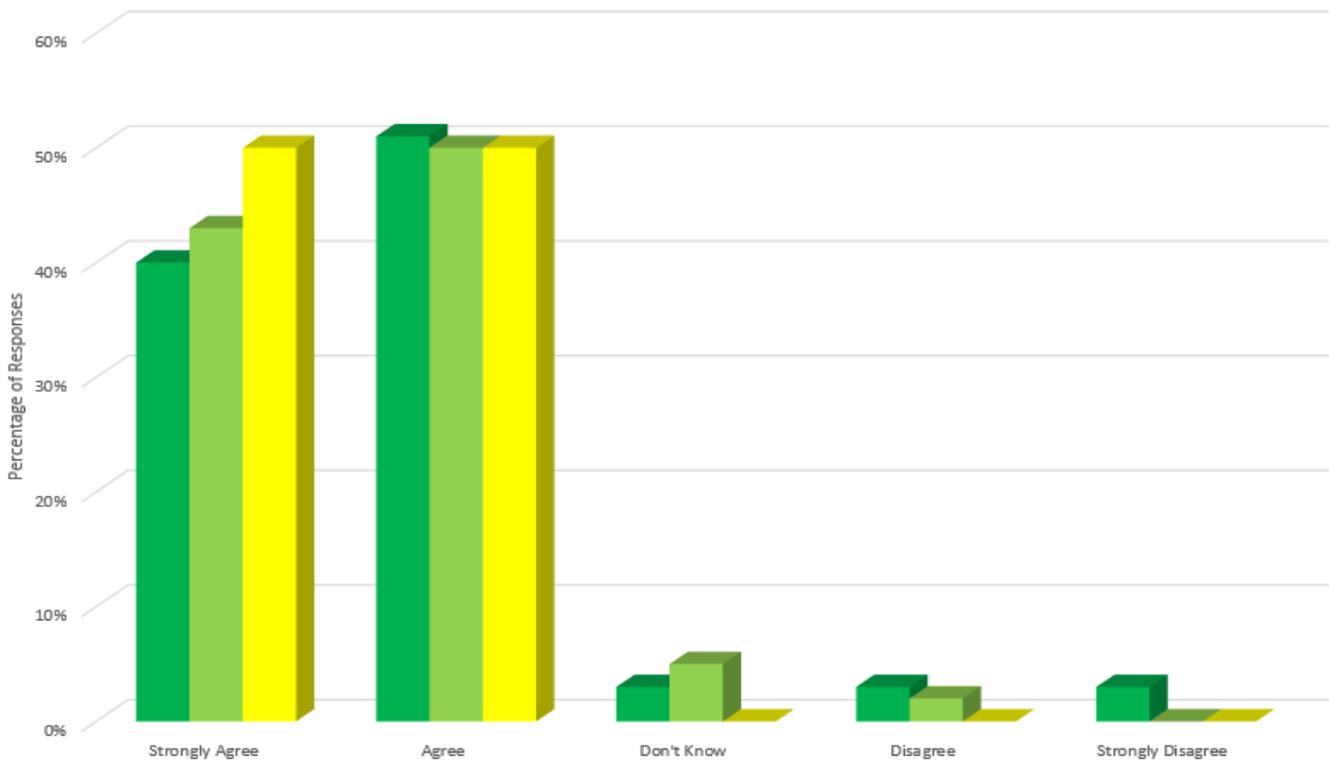
An overwhelming majority of each of the employee groups responded that they felt that had sufficient information to perform their jobs.

Survey Statements and Responses:

“I have sufficient information to do my job.”

	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
General Employees	40%	51%	3%	3%	3%
Supervisors, Managers	43%	50%	5%	2%	-
Department Directors, Charter Officials, City Commissioners	50%	50%	-	-	-

Responses to Survey Statement:
I have sufficient information to do my job.

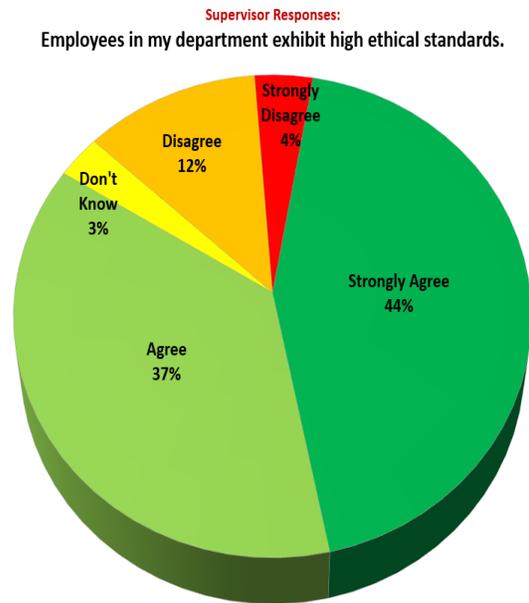
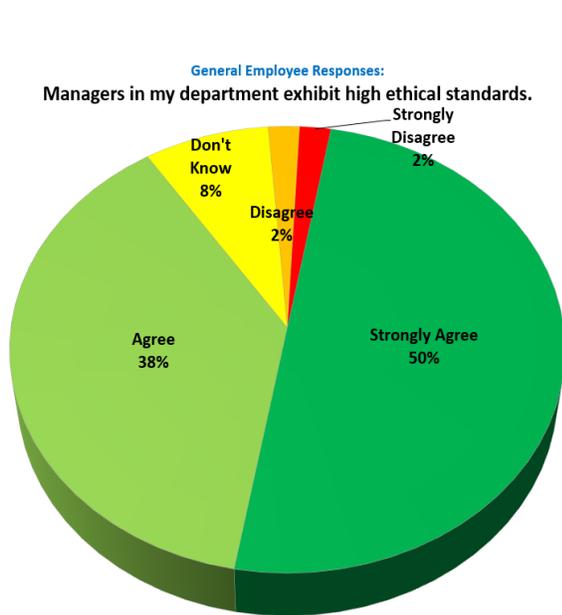


THE MAJORITY OF ALL EMPLOYEES BELIEVE THAT, IN GENERAL, CITY OF SARASOTA EMPLOYEES EXHIBIT HIGH ETHICAL STANDARDS.

The majority of each of the employee groups responded that they felt City employees at various levels in the organization exhibit high ethical standards. A variety of statements were posed to respondents relating to the topic of ethical characteristics; two of those statements and the respective responses are illustrated in charts below.

Survey Statements and Responses:

General Employees- “Managers in my department exhibit high ethical standards.”
Supervisors, Managers- “Employees in my department exhibit high ethical standards.”



WHERE CAN WE IMPROVE?

This report section highlights two areas of the survey where responses indicated perceived opportunities for improvement. Improvements made in these areas may be beginning steps in improving employee morale when employees are shown that their input is encouraged and that disciplinary actions are not dependent on an individual’s status.

OPPORTUNITY: ALLOW EMPLOYEE INPUT IN GOAL-SETTING.

A combined 67% of the senior management employee group and 34% of the general employee group respondents indicated that they either didn’t know or didn’t agree that employees were solicited for input in determining city goals at various organizational levels.

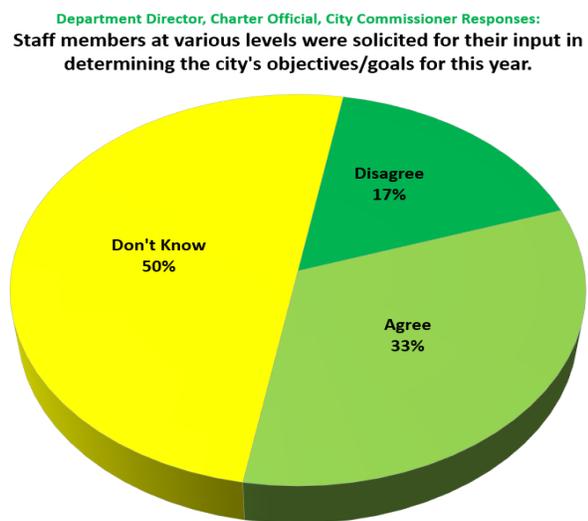
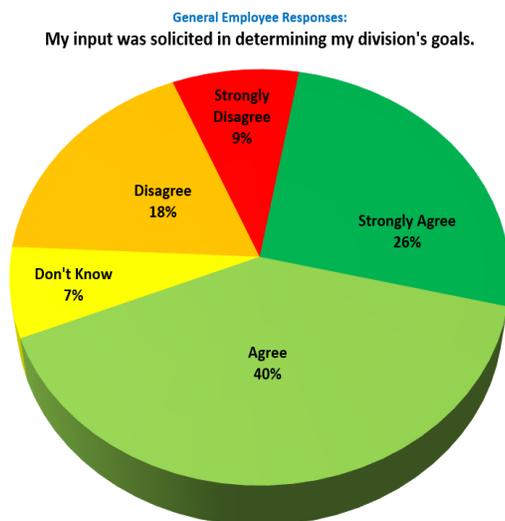
Recommended Improvement: Encouraging employees to be involved in goal-setting activities in the future may open the City up to creative solutions and problem-solving, as well as increase employee morale and sense of accomplishment.

Survey Statements and Responses:

General Employees- “My input was solicited in determining my division’s goals.”

Department Directors, Charter Officials, City Commissioners- “Staff members at various levels were solicited for their input in determining the city’s objectives/ goals for this year.”

	Strongly Agree	Agree	Don’t Know	Disagree	Strongly Disagree
General Employees	26%	40%	7%	18%	9%
Department Directors, Charter Officials, City Commissioners	-	33%	50%	17%	-



OPPORTUNITY: CONSISTENT ADMINISTRATION OF DISCIPLINE.

General employees were less confident than supervisors that discipline is consistent across both their divisions and departments. These responses are consistent with those received concerning whether employees felt that Human Resources policies and procedures were communicated to them.

Recommended Improvement: Re-communicating the citywide Human Resources policies and procedures to employees and applying them consistently across all employee groups may be beneficial in changing employee perceptions of discipline administration.

Survey Statement and Responses:

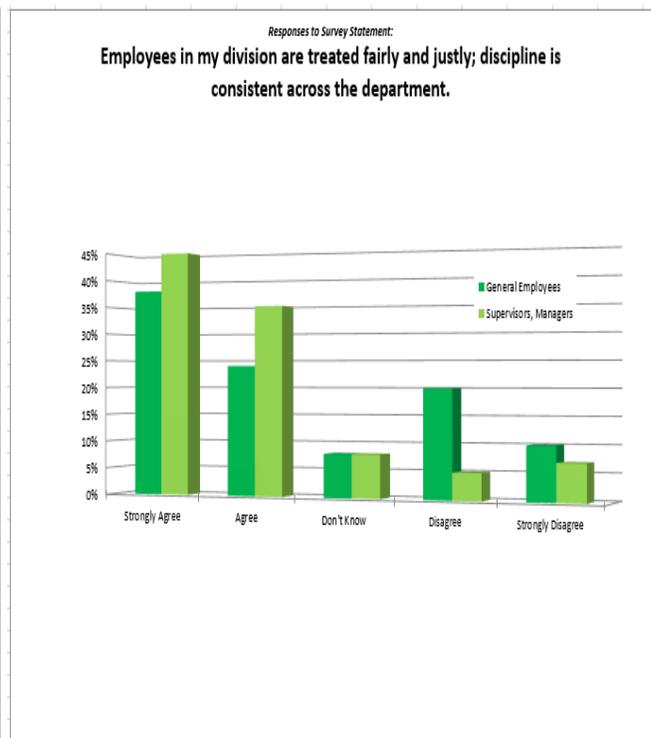
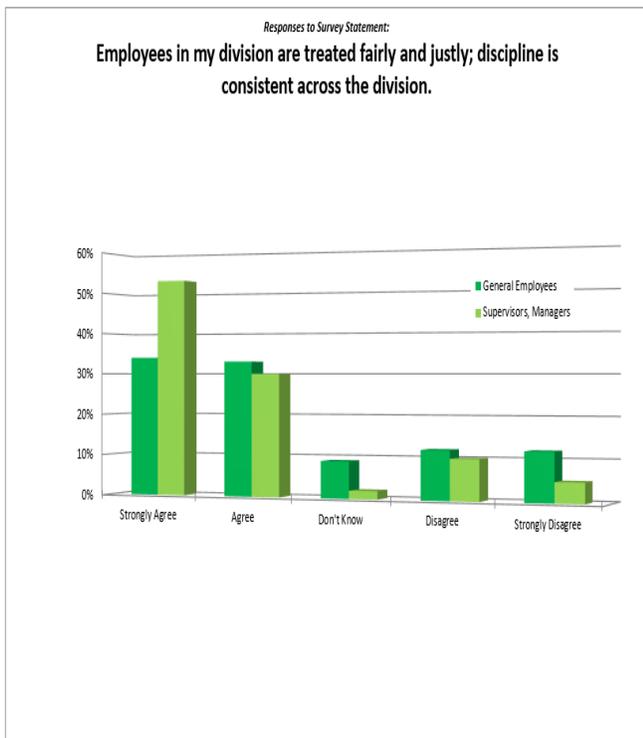
“Employees in my division are treated fairly and justly; discipline is consistent across the division.”

	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
General Employees	34%	33%	9%	12%	12%
Supervisors, Managers	53%	30%	2%	10%	5%

Survey Statement and Responses:

“Employees in my department are treated fairly and justly; discipline is consistent across the department.”

	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
General Employees	38%	24%	8%	20%	10%
Supervisors, Managers	45%	35%	8%	5%	7%



APPENDIX A: DETAILED SURVEY RESULTS

DEPARTMENT DIRECTOR, CHARTER OFFICIAL, CITY COMMISSIONER SURVEY RESULTS

2016 Risk Assessment Survey Results									
29.4% Response Rate- Department Directors, Charter Officials, City Commissioners									
23.2% Response Rate- Overall City Employees									
					<i>Check one</i>				
					Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
Section I: Control Environment									
1	City Commissioners exhibit high ethical standards.				50%	33%	0%	0%	17%
2	Charter Officials exhibit high ethical standards.				33%	50%	0%	0%	17%
3	Department Directors exhibit high ethical standards.				50%	33%	0%	0%	17%
4	Performance targets for Charter Officials are realistic and achievable.				0%	67%	33%	0%	0%
5	Performance targets for Department Directors are realistic and achievable.				0%	83%	17%	0%	0%
6	Charter Officials have the knowledge, skills and training to adequately perform their jobs.				50%	33%	17%	0%	0%
7	Department Directors have the knowledge, skills and training to adequately perform their jobs.				67%	33%	0%	0%	0%
8	Charter Officials have the ultimate responsibility over implementing controls and making sure they work.				50%	33%	17%	0%	0%
9	Employees who steal (physical property, money, information, time) or break laws and regulations will be discovered.				50%	33%	0%	0%	17%
10	Employees who steal or break laws and regulations and are discovered will be subject to appropriate consequences, no matter their position in the organization.				50%	33%	0%	0%	17%
Section II: Risk Assessment									
11	Charter Officials are accountable for defined, measurable objectives.				17%	50%	17%	0%	16%
12	Department Directors are accountable for defined, measurable objectives.				33%	50%	0%	0%	17%
13	Staff members at various levels were solicited for their input in determining the city's objectives/goals for this year.				17%	33%	50%	0%	0%
14	I have sufficient resources, tools and time to accomplish my objectives.				17%	83%	0%	0%	0%
15	In your opinion, what are the biggest issues facing the City of Sarasota?				See Appendix B for a full list of responses received.				

DEPARTMENT DIRECTOR, CHARTER OFFICIAL, CITY COMMISSIONER SURVEY RESULTS (CONTINUED)

		<i>Check one</i>				
		Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
Section III: Information and Communication						
16	City employees are encouraged to provide recommendations/suggestions for improvements to any area.	50%	17%	17%	0%	16%
17	I have sufficient information to do my job.	50%	50%	0%	0%	0%
18	Information relevant to my job is provided to me on a timely basis.	67%	33%	0%	0%	0%
19	City departments adequately take into account customer complaints and feedback.	50%	33%	0%	0%	17%
20	A communication channel exists for me and city staff to report suspected improprieties; I know what action to take if I become aware of unethical or fraudulent activity.	60%	20%	0%	0%	20%
21	Employees who report suspected improprieties are protected from retaliation.	50%	33%	0%	0%	17%
22	If I report wrongdoing, I am confident that the wrongdoing will stop.	50%	17%	17%	0%	16%
		<i>Check one</i>				
		Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
Section IV: Monitoring						
23	I believe that information reported to me reflects the actual results of operations.	83%	17%	0%	0%	0%
24	Staff members are notified when there are gaps in performance.	67%	17%	0%	0%	16%
25	Staff is empowered/ expected to take corrective action when mistakes are made or gaps in performance are noted.	50%	33%	0%	0%	17%
26	Staff members receive documented performance evaluations annually.	33%	33%	17%	0%	17%
27	Fraud/theft <u>does not</u> occur in my workplace.	33%	17%	33%	0%	17%
28	If you suspect fraud or theft in your workplace, have you reported it? (circle one)	Yes	No	N/A		
		0%	0%	80%		

SUPERVISOR, MANAGER SURVEY RESULTS

2016 Risk Assessment Survey Results									
29.1% Response Rate- Supervisors, Managers									
23.2% Response Rate- Overall City Employees									
					<i>Check one</i>				
					Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
Section I: Control Environment									
My Division									
1	Employees in my division exhibit high ethical standards.	58%	28%	2%	10%	2%			
2	Performance targets that I am supposed to meet are realistic and achievable.	52%	38%	8%	2%	0%			
3	Employees in my division have the knowledge, skills and training to perform their jobs adequately.	40%	55%	0%	3%	2%			
4	Employees in my division are treated fairly and justly; discipline is consistent across the division .	53%	30%	2%	10%	5%			
5	The policies and procedures in my division aid my employees in performing their jobs.	46%	44%	5%	0%	5%			
My Department									
6	Employees in my department exhibit high ethical standards.	50%	38%	8%	2%	2%			
7	In my department, actual performance results are reported even if it is not what management wants to hear.	43%	36%	11%	8%	2%			
8	Employees in my department are treated fairly and justly; discipline is consistent across the department .	45%	35%	8%	5%	7%			
9	The organizational structure in my department is clearly defined.	45%	38%	2%	15%	0%			
General									
10	Human Resources policies and procedures have been communicated to me.	25%	55%	10%	10%	0%			
11	I have communicated Human Resources policies and procedures to my staff.	38%	60%	0%	2%	0%			
12	Employees who steal (physical property, money, information, time) or break laws and regulations will be discovered .	50%	38%	2%	5%	5%			
13	Employees who steal or break laws and regulations and are discovered will be subject to appropriate consequences, no matter their position in the organization .	50%	28%	5%	12%	5%			
Section II: Risk Assessment									
14	For the coming year I am accountable for defined, measurable objectives.	38%	45%	12%	5%	0%			
15	For the coming year my employees are accountable for defined, measurable objectives.	43%	45%	8%	2%	2%			
16	I solicited my employees for their input in determining objectives/goals for this year.	41%	49%	2%	8%	0%			
17	I have sufficient resources and tools to accomplish my objectives.	43%	42%	5%	10%	0%			
18	My employees have sufficient resources and tools to accomplish their objectives.	42%	48%	5%	5%	0%			
19	I work with my employees to identify barriers and obstacles and issues that could impact achievement of objectives.	45%	48%	5%	2%	0%			
20	In your opinion, what are the biggest issues facing the City of Sarasota?	See Appendix B for a full list of responses received.							

SUPERVISOR, MANAGER SURVEY RESULTS (CONTINUED)

		<i>Check one</i>				
		Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
Section III: Information and Communication						
21	I encourage my employees to provide recommendations for improvements within my division.	53%	45%	0%	2%	0%
22	I am encouraged to provide recommendations for improvements within my department.	53%	35%	8%	2%	2%
23	I hold regular staff meetings with employees in my division and encourage their feedback.	42%	45%	5%	8%	0%
24	I communicate with managers in other departments so that my staff can effectively do their jobs.	45%	45%	2%	8%	0%
25	I communicate with managers in other divisions within my department so that my staff can effectively do their jobs.	45%	45%	5%	5%	0%
26	I have sufficient information to do my job.	42%	50%	5%	3%	0%
27	Information relevant to my job is provided to me on a timely basis.	40%	41%	10%	9%	0%
28	The department director over my division is informed and aware of my division's actual performance.	45%	40%	13%	2%	0%
29	A communication channel exists for me and my employees to report suspected improprieties.	51%	41%	3%	5%	0%
30	Employees who report suspected improprieties are protected from retaliation.	42%	38%	10%	5%	5%
31	If I report wrongdoing to my department director, I am confident that the wrongdoing will stop.	50%	35%	2%	8%	5%
32	My division adequately takes into account customer complaints and feedback.	65%	25%	8%	0%	2%
Section IV: Monitoring						
		<i>Check one</i>				
		Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
33	Our information technology systems help me stay informed of my division's performance.	18%	35%	25%	23%	0%
34	Information reported to my department director reflects the actual results of operations in my division.	32%	40%	18%	10%	0%
35	External customer feedback and complaints are followed up on in a timely and effective manner.	52%	38%	5%	5%	0%
36	Internal customer feedback and complaints are followed up on in a timely and effective manner.	52%	35%	8%	5%	0%
37	I monitor the performance of my employees.	65%	30%	5%	0%	0%
38	I notify my employees when there are gaps in performance.	60%	35%	5%	0%	0%
39	I take corrective action or expect my employees to take corrective action when mistakes are made or gaps in	65%	28%	5%	2%	0%
40	I provide all of my employees with documented performance evaluations annually.	62%	30%	8%	0%	0%
41	My supervisor reviews my performance with me at appropriate intervals.	52%	35%	5%	5%	3%
42	I know what action to take if I become aware of unethical or fraudulent activity.	65%	30%	3%	2%	0%
43	Fraud/theft does not occur in my workplace.	54%	25%	6%	7%	5%
44	If you suspect fraud or theft in your workplace, have you reported it? (circle one)	Yes	No	N/A		
		18%	5%	77%		

GENERAL EMPLOYEE SURVEY RESULTS

2016 Risk Assessment Survey Results						
21.5% Response Rate- General Employees						
23.2% Response Rate- Overall City Employees						
			<i>Check one</i>			
		Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
Section I: Control Environment						
My Division						
Managers in my division exhibit high ethical standards.	44%	33%	5%	13%	5%	
The performance targets for my division are realistic and achievable.	32%	48%	8%	10%	2%	
Employees in my division have the knowledge, skill and training to perform their jobs adequately.	41%	41%	6%	10%	2%	
Employees in my division are treated fairly and justly; discipline is consistent across the division .	34%	33%	9%	12%	12%	
The policies and procedures in my division allow me to do my job effectively.	34%	44%	6%	11%	5%	
My Department						
Managers in my department exhibit high ethical standards.	44%	37%	3%	12%	4%	
Employees in my department are treated fairly and justly; discipline is consistent across the department .	38%	24%	8%	20%	10%	
The organizational structure in my department is clearly defined.	38%	40%	6%	9%	7%	
General						
Human Resources policies and procedures have been communicated to me.	32%	48%	6%	10%	4%	
Employees who steal (physical property, money, information, time) or break laws and regulations will be discovered .	38%	31%	18%	8%	5%	
Employees who steal or break laws and regulations and are discovered will be subject to appropriate consequences, no matter their position in the organization .	36%	24%	17%	15%	8%	
Section II: Risk Assessment						
For the coming year I am accountable for defined, measurable goals.	39%	45%	10%	3%	3%	
My input was solicited in determining my division's goals.	26%	40%	7%	18%	9%	
I have sufficient resources, tools and time to accomplish my objectives.	31%	47%	5%	9%	8%	
In my division, we identify barriers and obstacles and issues that could impact achievement of objectives.	33%	43%	8%	11%	5%	
In your opinion, what are the biggest issues facing the City of Sarasota?						
See Appendix B for a full list of responses received.						

GENERAL EMPLOYEE SURVEY RESULTS (CONTINUED)

	<i>Check one</i>				
	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
Section III: Information and Communication					
I am encouraged to provide recommendations for improvements within my division .	33%	40%	5%	16%	6%
I am encouraged to provide recommendations for improvements within my department .	36%	39%	6%	13%	6%
The interaction between management and employees in my division is adequate; enables us to do our jobs effectively.	36%	40%	5%	12%	7%
I have sufficient information to do my job.	40%	51%	3%	4%	2%
Information relevant to my job is provided to me on a timely basis.	27%	50%	7%	14%	2%
Management is informed and aware of my division's actual performance.	40%	33%	17%	7%	3%
I know what action to take if I become aware of unethical or fraudulent activity; a communication channel exists to report the activity.	44%	42%	6%	4%	4%
Employees who report suspected improprieties are protected from retaliation.	27%	23%	35%	6%	9%
If I report wrongdoing to my supervisor, I am confident that the wrongdoing will stop.	29%	34%	18%	12%	7%
My division adequately takes into account customer complaints and feedback.	46%	38%	9%	4%	3%
Section IV: Monitoring					
Information reported to the City Commission reflects the actual results of operations in my division.	25%	23%	45%	2%	5%
Employees in my division know what actions to take when they find mistakes or gaps in performance.	33%	45%	15%	6%	1%
My supervisor reviews my performance with me at appropriate intervals.	40%	50%	2%	5%	3%
When my performance is inadequate, my supervisor offers suggestions on how I can improve to meet his/her expectations.	41%	40%	8%	6%	5%
Fraud/theft does not occur in my workplace.	35%	28%	30%	4%	3%
If you suspect fraud or theft in your workplace, have you reported it? (circle one)	Yes	No	N/A		
	13%	8%	79%		

APPENDIX B: RESPONSES TO OPEN-ENDED SURVEY QUESTION

All survey responses to the open-ended survey question are noted in this appendix. Responses were copied verbatim from respondent forms, inclusive of spelling and/or grammatical errors.

Open-ended Survey Question: What are the biggest issues facing the City of Sarasota?

- Salary (low/no raises)
- Downtown Homelessness Sustainable Energy
- Homelessness due to mental health issues & lack of assistance from the State or Federal govt. to help them.
- Immediate Changes 'must' be made in the City! You have a deputy city manager who is trying to run good qualified employees away and replace them with new employees which is not fair and unethical. Please check his past and current misdeeds. I watch the meetings and watch the faces and reactions of Directors who should be under the City Manager's fear and hope they say the right things. A total reorganization should occur and if they ever put certain Directors, the City Manager and Deputy City Manager on a ballot; the result would not be the same and the clerk, who may not be like but is fair and ethical.
- The City of Sarasota is generally well managed and addresses the major issues well. That said good job creation needs to be a priority. A well established workforce creates a demand for goods and services as well as housing. All contribute to the health of the City.
- Too many politics and red tape
- Unfunded liabilities, i.e. pension
- Uncooperative Department Managers, i.e. lack of cooperation between/among different departments
- Michael Barfield
- Financial issues Too much spending & hiring too many employees I would like to see more people that actually live in the City hired.
- Traffic Bring Forward thinking, look to future Homeless
- Homeless! Lack of job security!
- Homeless
- Even though management tells you they have an open door policy and to come to them when issues arise, they retaliate against you, especially if the complaint is about a Supervisor, or Management. They pit employees against each other causing a hostile work place. Employees often want to do things that will build morale, like buy each other's lunch, have pot lucks, But it is strongly discouraged by Management. Morale in Public Works is very low, employees often talk about how they have no confidence in Management and we have no one to turn to.
- Inconsistencies in the application of policies. Too much discretion is given to directors Too much top down management. Silo mentality keeps departments from cooperating
- Increasing violence/ potential for violent crazy people to act out aggression

APPENDIX B: RESPONSES TO OPEN-ENDED SURVEY QUESTION (CONT)

- Homeless people throughout the city.
- The homeless community is growing in the City of Sarasota which seem to impede the surrounding local businesses.
- As a part-time employee I think that PT employees I think if the PT is responsible after working for the City certain years you should be given the opportunity of becoming a full-time employee It is frustrating if I am a responsible PT employee that I rather leave my employment instead of becoming full time
- Mental health, drugs and homelessness.
- In some divisions, lack of personnel.
- To many people involved in some of the processes needed to accomplish goals.
- Rapid growth
- Lack of adequate personnel
- Homelessness, divisions between different departments, reduced gov. funding, succession planning
- More employees needed in some departments, space challenges
- Wishes exceed dollars available
- The need to adjust the millage rates to match citizens and communities needs for infrastructure, accountability/transparency, & services & the challenge of communicating that need to elected officials.
- Criminals, Drugs, Homeless, Building infrastructures, mussilams,
- Lift Station 87, Population increase, Roads, Infrastructure, security
- Lack of quality, hands on safety training for field crews
- Equitable pay structure
- Pay – our officers have not had an increase in pay for eight years. Command staff have had continued pay raises. The City should be ashamed for letting this happen.
- Communication and cooperation between city departments; not consistent.
- Knowledgeable employees employees who care bad managers
- Equal pay for women – The last step adjustment provided an even larger pay gap between men/women positions. Example Admin Assist. Vs Eng. Tech III
- Self-imposed policies that hinder prog-progress + efficiencies. Inconsistent approval for 'pet' projects or people.
- Political rather than operational; sign of the times ☹
- I think the City Mgr should go around to each department without the mgrs. and supervisors being around. Every 90 days and ask how is everyone doing and what can your mgmt. team do to improve? Listen to their recommendations.
- I could not put my name or what department that I work in as, I know for a fact that retaliation would take place based on past and current situations.

APPENDIX B: RESPONSES TO OPEN-ENDED SURVEY QUESTION (CONT)

- Lack of Emergency Action Plan – exits not labeled – too easily accessible by public – no safety/hiding places – if plan is in place, not practiced.
- Homelessness Budget hiring quality people too much pandering/catering to the public less catering to employees (the actual workers)
- Officers need a pay raise
- Allowing employees to do their job in a timely manner, the City is growing so I feel that 6.5 hr on certain days isn't enough time to accomplish what needs to be done. You're rushing to finish 8 hrs Tues, Wed, Thursday
- Fair treatment when it comes to what you know Pay scale
- Although we should take all and every resident's concerns into account when planning & reviewing projects, the final approval should be based on the majority's need. Accommodation for minorities should always be taken into consideration and implemented when possible.
- Staffing levels Work space
- Breaking down barriers between departments/staff. Improve communication/direction from administration.
- Relationship with County
- Not enough employees that work hard
- Employees
 - Homelessness and police lack of ability to do anything about it
 - Prostitution
 - Lack of quality applicants for job openings
 - Lack of promotion when qualified
 - Slow moving commissioners
 - Not enough qualified employees to achieve jobs at hand.
- There are many barriers in my division that inhibit the performance of P.W. as a whole. Mainly, lack of communication between managers. Things happen when one manager makes a decision that affects another manager's responsibilities. It seems to make work less efficient.
- Homeless, roundabouts (pedestrian crossings)
- Probably not the biggest issue but many opportunities for eliminating paperwork & streamlining operations exist. Outside of work, the City needs to resolve the homeless issue in a way that treats everyone fairly and respectfully.
- Very few departments work together
- Favoritism/Discrimination
- Dept. Resources (Vehicles, equip., etc.)
 - More defined work related duties (i.e. no crossover duties, each employee is for the job he was hired for.
 - Each dept. in Utilities needs to be fine tuned and specific duties laid out.
- As an employer, continued manipulation of employee benefits to the detriment of the employee
- They tend to buckle to the least amount of citizen pressure but not equally over economic classes

APPENDIX B: RESPONSES TO OPEN-ENDED SURVEY QUESTION (CONT)

- Homeless Parking Making City Hall secure
- Internally – Working together as a single agency Externally – homelessness
- Citywide: Traffic OHCD: Flexibility to add appropriate staffing to meet increasing work loads ... even part time or 12 months contract personnel. Structure & Process = outcome.
- The management of finances. Too much time is spent on issues that cater to a minority of citizens, I.E. landscaping & public housing and homeless. More funds should be spent on enforcement so that the majority of the city's citizens have a better quality of life.
- Wasteful spending, lack of positive communication between management & staff to achieve goals successfully and cost effectively.
- Low morale, toxic environment
- People are hired based on the goal of diversity and not on qualifications. In high liability professions this gets people hurt.
- The biggest issue is raises/liveable wages in the City of Sarasota
- Listening to their employees and pay scale
- There are certain employees who believe the rules only apply to rank and file employees. I love my job and the City of Sarasota We cower to Citizen demands. Many are unreasonable Demands.
- Bad/Lack of Leadership
- Wasteful spending, lack of positive communication between Management & Staff to achieve goals successfully and cost effectively.
- Maintaining the status of being a small town w/a small town attitude.