Audit Project #11-02B:

2010 Risk Assessment Employee Survey Results

Detailed Report

Office of the City Auditor and Clerk
Internal Audit

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City Auditor and Clerk

Report Issued: January 21, 2011

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OFFICE OF THE CITY AUDITOR AND CLERK
Internal Audit Division

Date: January 21, 2011

To: Mayor Kelly Kirschner, Vice Mayor Fredd "Glossie" Atkins, Commissioner Richard Clapp, Commissioner Suzanne Atwell, and Commissioner Terry Turner

From: Pamela M. Nadalini, City Auditor and Clerk

Subject: Audit Project #11-02B: 2010 Risk Assessment Employee Survey Results

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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 #11-02B

c: Robert Bartolotta, City Manager
Robert Fournier, City Attorney
Heather Riti, MPA, CIA, CGAP, Senior Internal Auditor
File

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c: Robert Fournier, City Attorney
Marlon Brown, Deputy City Manager
Christopher Lyons, CPA, CGFO, CPFO, Director, Financial Administration
Heather Riti, MPA, CIA, CGAP, Senior Internal Auditor
File

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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 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 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's[1] five components of internal control: Control Environment, Risk Assessment, Control Activities, Information and Communication, and Monitoring.

METHODOLOGY

A risk assessment survey was distributed to each full- and part-time employee with their payroll stub on October 1, 2010. An extended series of statements were presented to obtain information relating to the organization's control environment, risk identification processes, informational flows, monitoring, and

[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.*

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[2]
- Department Directors, Charter Officials, City Commissioners *(also referred to in this report as "senior management")*

The survey was conducted October 1st through October 22nd, 2010, during which two reminder e-mails were sent to the entire City employee population in an effort to increase response rate. An additional 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)	Percentage Rate of Return
General Employees	29.2%
Supervisors, Managers	40.7%
Department Directors, Charter Officials, City Commissioners	52.9%
Overall Response Rate: 30.7%	

The results of this survey are accurate at the 95% confidence level plus or minus 5.5 percentage points.

[2] *The supervisor/ manager survey version was only distributed to individuals who actually supervise employees. There are several individuals with the word "supervisor" or "manager" in their job titles who do not manage other employees.*

EXECUTIVE SUMMARY

The report of the 2010 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 top two biggest issues facing the organization were budget/ economy/ money management and low employee morale. Suggestions for addressing these issues are included in the report.

Most respondents responded favorably that the City of Sarasota employs Charter Officials, supervisors, and general employees who exhibit high ethical standards. Despite resource limitations imposed by current budgetary constraints, 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.

In addition to changing employee perceptions of management's handling of wrongdoing, two additional opportunities for improvement are highlighted in the report for management's consideration. As previously noted, employees indicated that the biggest issues facing the City include budgetary constraints and low employee morale. To combat those issues, management may consider including employee input into goal-setting activities/ discussions, encouraging employees to recommend strategies for revenue enhancement and expenditure reduction, educating employees and supervisors about the City's Human Resource policies and procedures, and reminding supervisors and department directors about the importance of fair and consistent discipline administration.

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.

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**.

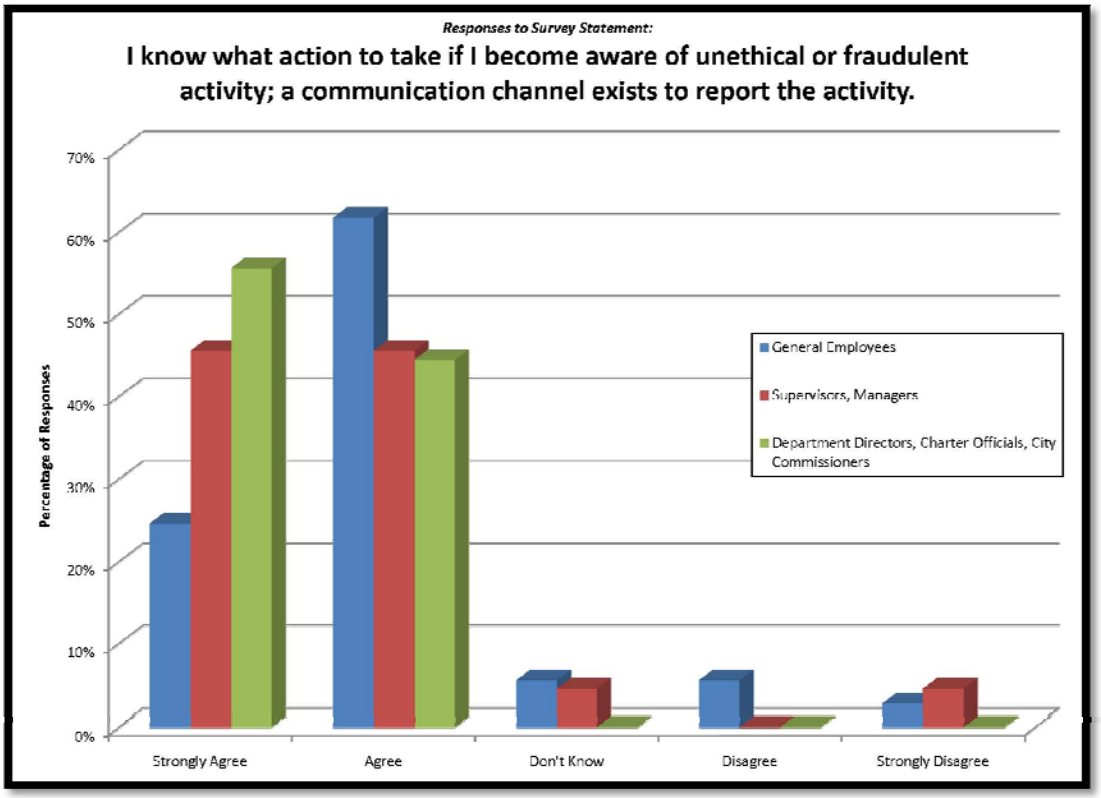
1. CITY EMPLOYEES KNOW WHAT ACTIONS TO TAKE TO REPORT WRONGDOING, BUT ARE LESS CONFIDENT AS TO WHETHER THEY WOULD BE PROTECTED FROM RETALIATION OR WHETHER ANYTHING WOULD BE DONE TO STOP THE WRONGDOING.

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	25%	62%	6%	6%	3%
Supervisors, Managers	46%	46%	5%	-	5%
Department Directors, Charter Officials, City Commissioners	56%	44%	-	-	-

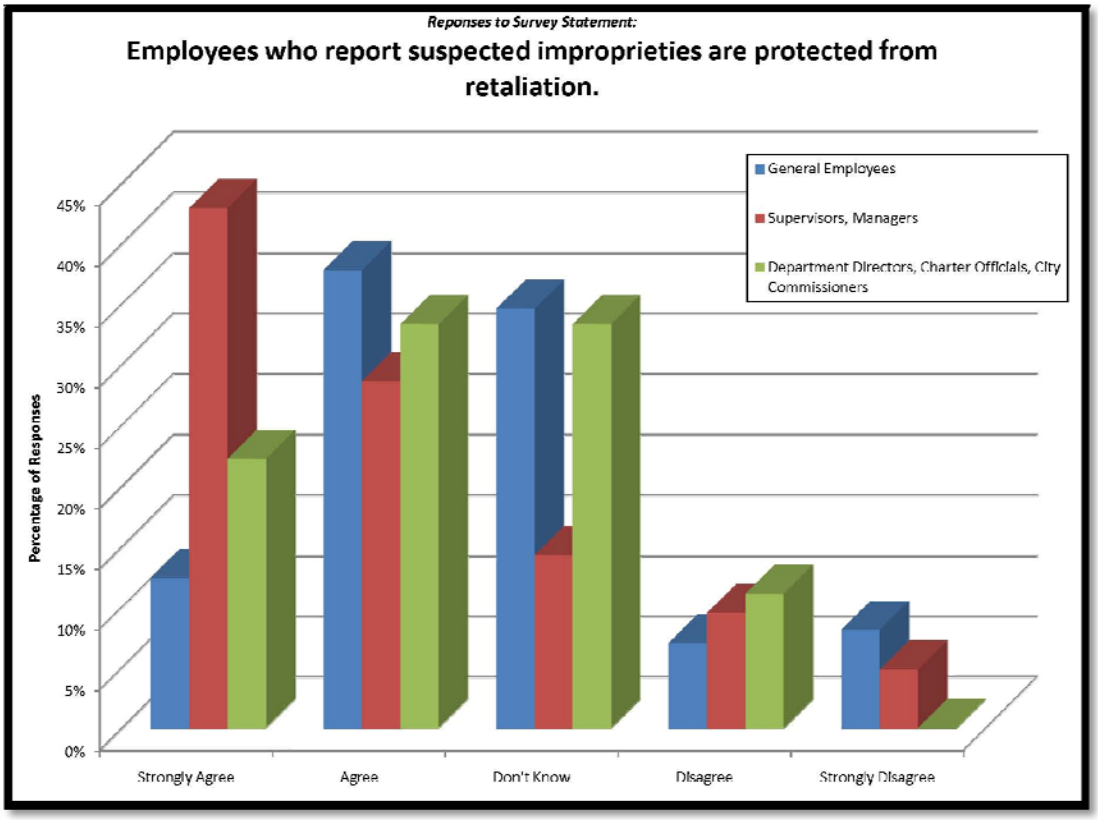


A large percentage of respondents from both the general employee and senior management employee groups responded that they didn't know whether employees are protected from retaliation after reporting suspected improprieties. Improving protection for employees may decrease the chances of unreported suspected 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	12%	38%	35%	7%	8%
Supervisors, Managers	43%	29%	14%	10%	5%
Department Directors, Charter Officials, City Commissioners	22%	33%	33%	11%	-



Supervisors expressed more confidence than other employee groups that if they reported a wrongdoing, it would stop. A combined 33% of senior management employees and 40% of general employees either didn't know or disagreed that a wrongdoing would stop, if reported.

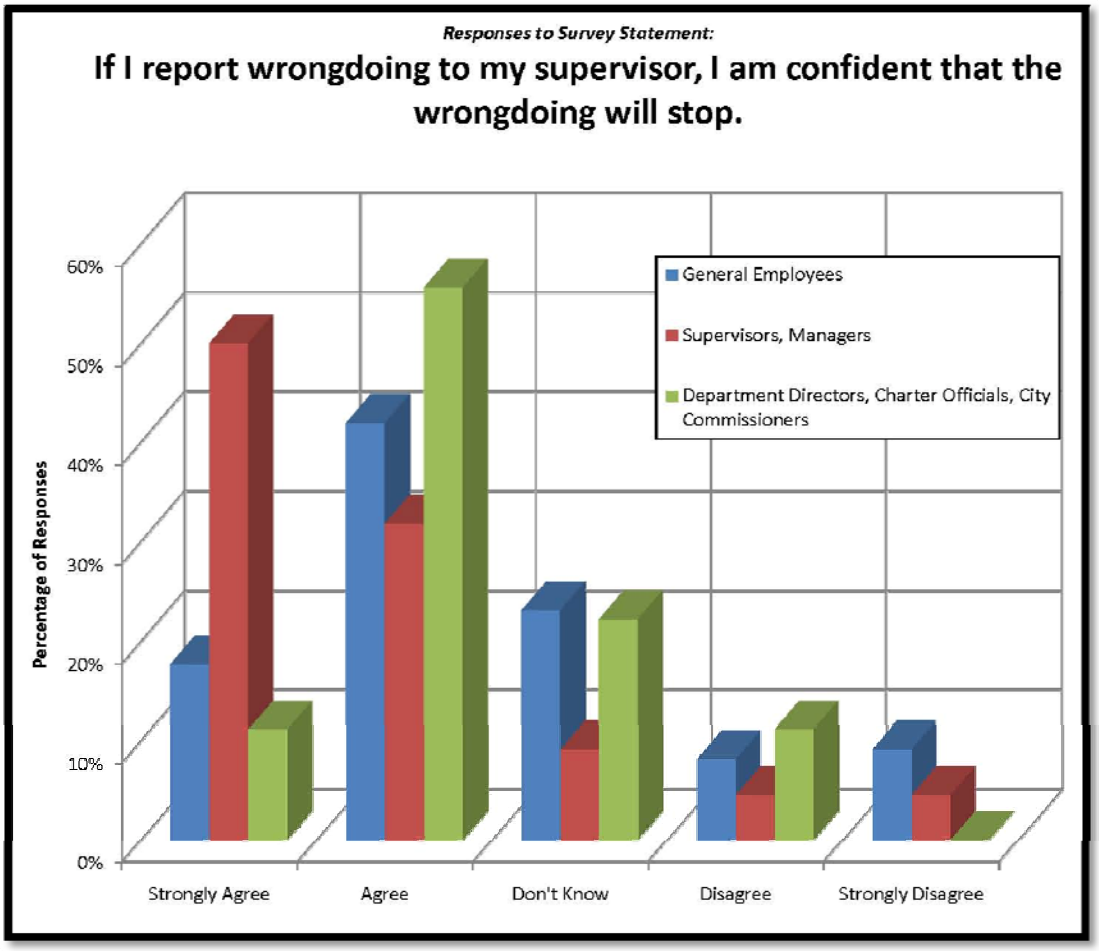
Survey Statement and Responses:

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	18%	42%	23%	8%	9%
Supervisors, Managers	50%	32%	9%	5%	5%
Department Directors, Charter Officials, City Commissioners	11%	56%	22%	11%	-

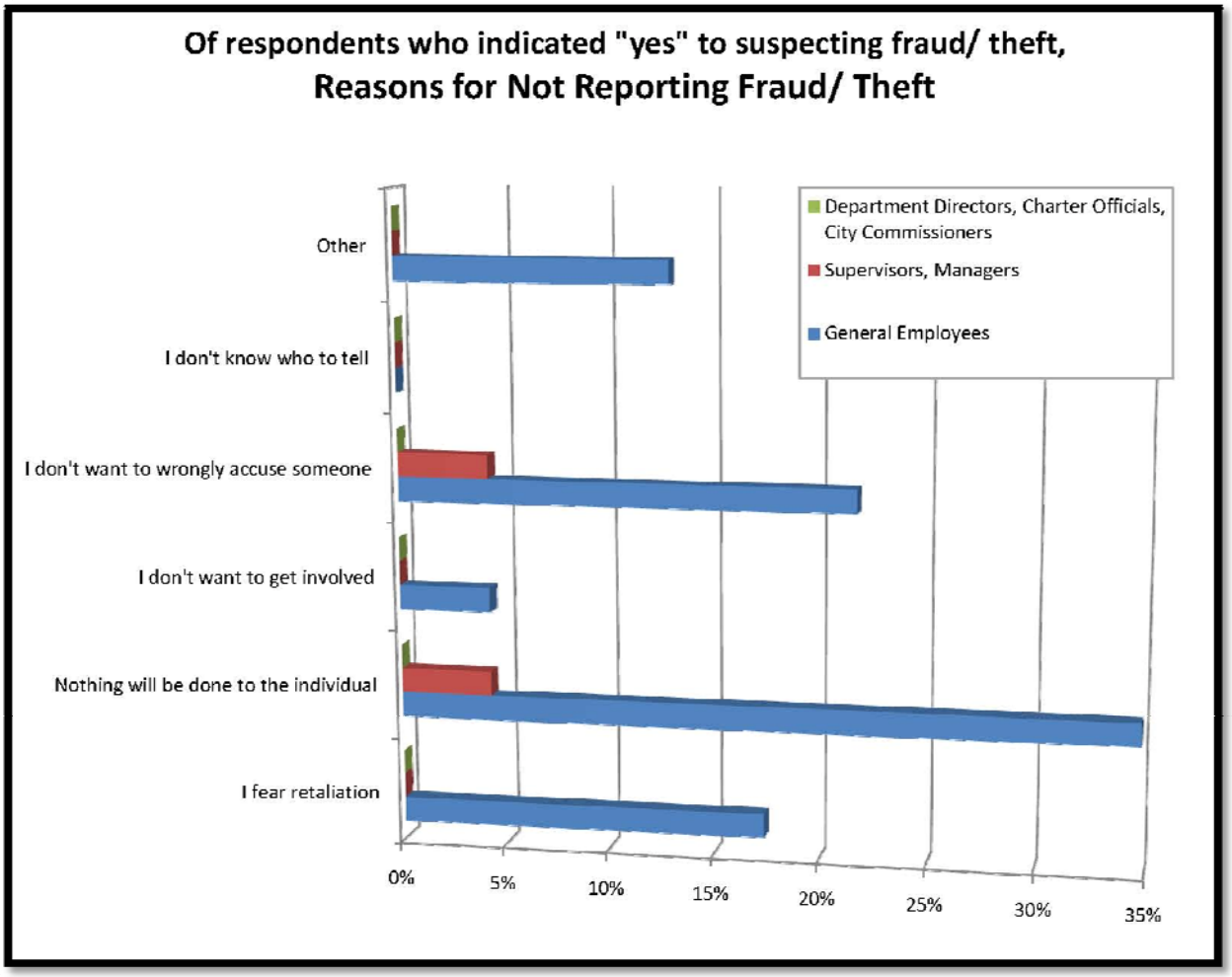


2. EMPLOYEES' TOP REASON FOR NOT REPORTING A SUSPECTED WRONGDOING IS THAT IT IS EXPECTED THAT NOTHING WILL BE DONE TO THE SUSPECTED INDIVIDUAL.

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. Employees also indicated that they didn't want to wrongly accuse someone. A smaller percentage of respondents indicated a fear of retaliation as a reason for not reporting suspected wrongdoing.

Respondents who indicated "other" were asked to provide further information or another reason for not reporting the suspected wrongdoing. Among the reasons respondents supplied for "other" were:

- Nothing was done to the individual
- Individual no longer works for the City
- Nothing is done even when reported- reported is "hear say"
- Could not pinpoint the target
- Depends on who it is



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.

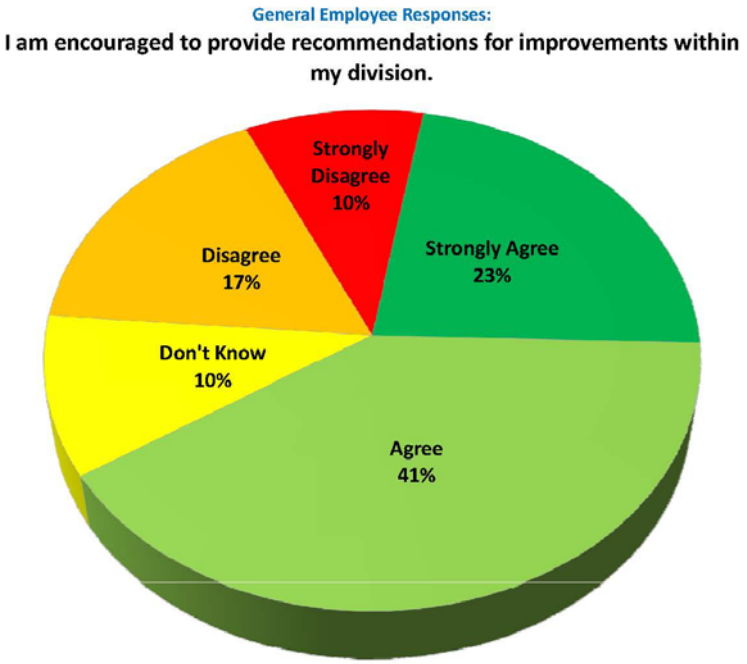
In indicating whether employees felt as though they were encouraged to provide recommendations for improvements in their division, a combined 37% either didn't know or didn't agree. Conversely, 100% of supervisors felt as though they do encourage their employees to provide recommendations for improvements.

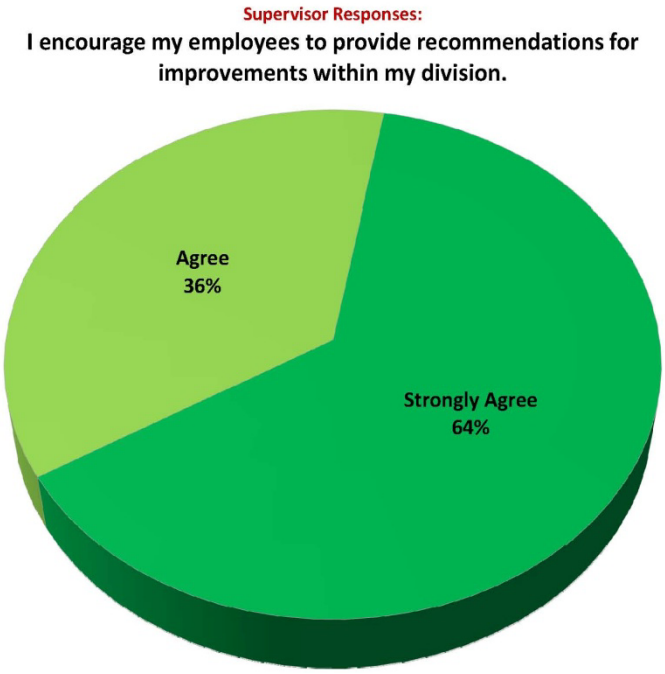
Survey Statements and Responses:

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	23%	41%	10%	17%	10%
Supervisors, Managers	64%	36%	-	-	-





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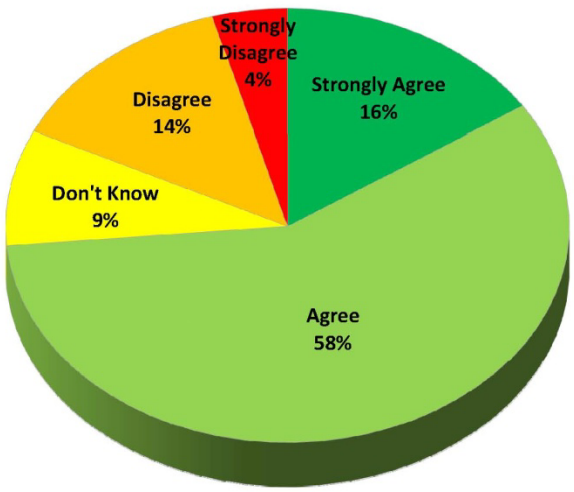
Survey Statements and Responses:

General Employees- **"Human Resources policies and procedures have been communicated to me."**

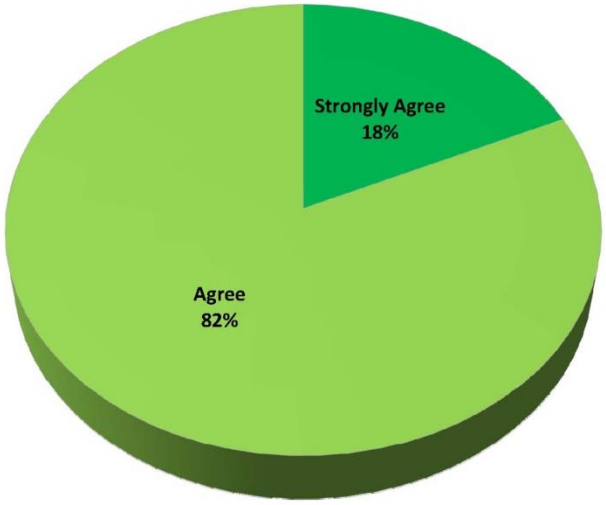
Supervisors, Managers- **"I have communicated Human Resources policies and procedures to my staff."**

	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
General Employees	16%	58%	9%	14%	4%
Supervisors, Managers	18%	82%	-	-	-

General Employee Responses:
Human Resources policies and procedures have been communicated to me.



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 BUDGET/ ECONOMY/ MONEY MANAGEMENT AND LOW EMPLOYEE MORALE.

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?"

Two responses were noted as the top recurring answers:

- Budget- lack of resources; poor economy; poor money management
- Low employee morale

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.

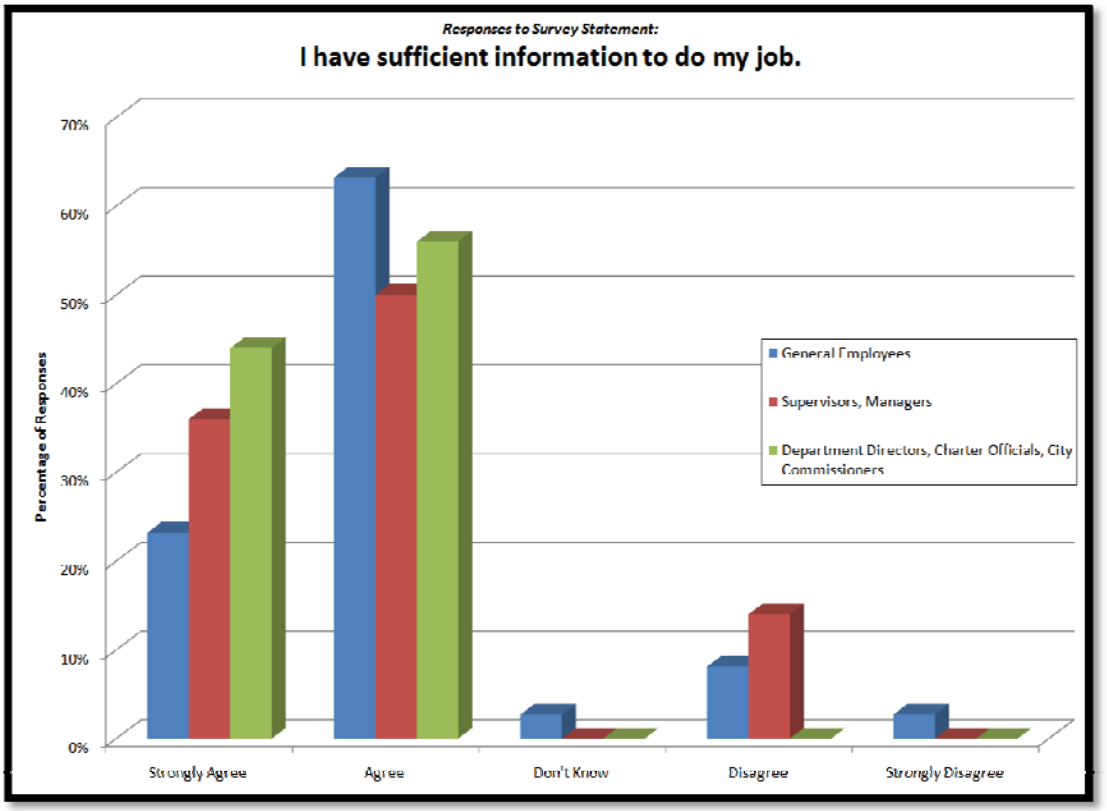
KUDOS: EMPLOYEES FEEL THEY HAVE SUFFICIENT INFORMATION TO DO THEIR JOBS.

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	23%	63%	3%	8%	3%
Supervisors, Managers	36%	50%	-	14%	-
Department Directors, Charter Officials, City Commissioners	44%	56%	-	-	-



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

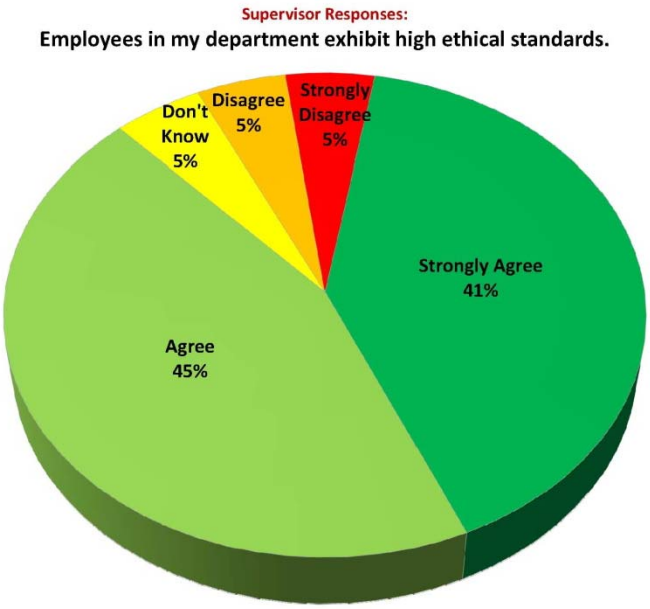
The majority of each of the employee groups responded that they felt City employees at various levels in the organization exhibit high ethical standards. A variety of statements were posed to respondents relating to the topic of ethical characteristics; three of those statements and the respective responses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

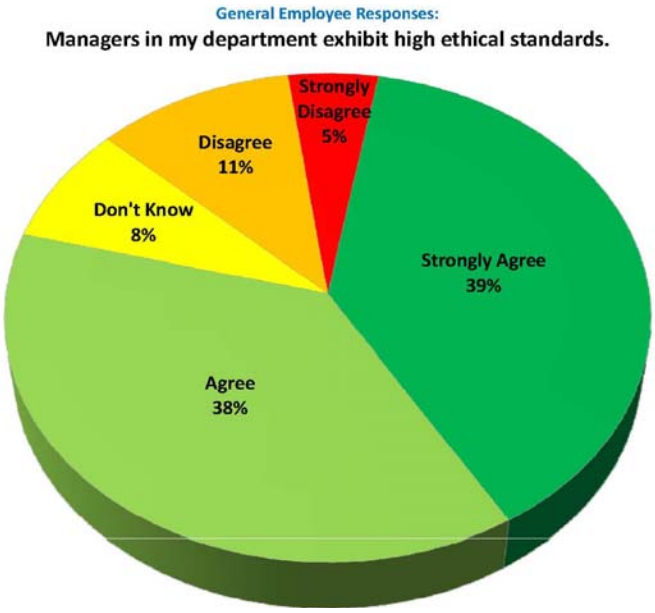
Survey Statements and Responses:

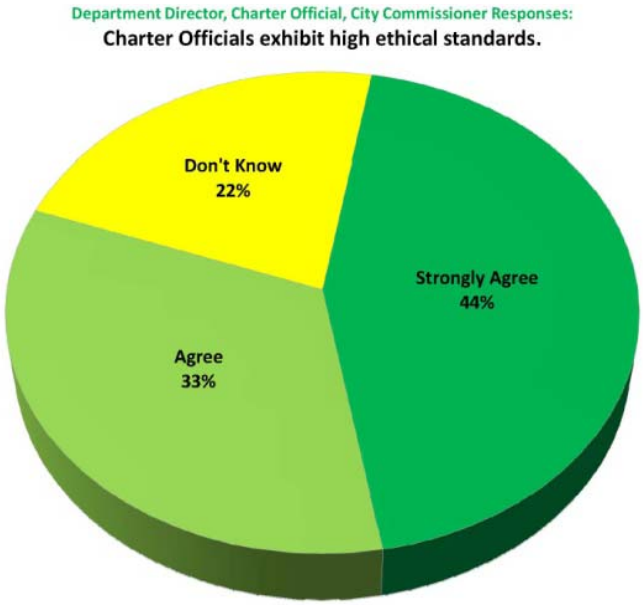
General Employees- **"Managers in my department exhibit high ethical standards."**

Supervisors, Managers- **"Employees in my department exhibit high ethical standards."**

Department Directors, Charter Officials, City Commissioners- **"Charter Officials 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 78% of the senior management employee group and 44% 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.

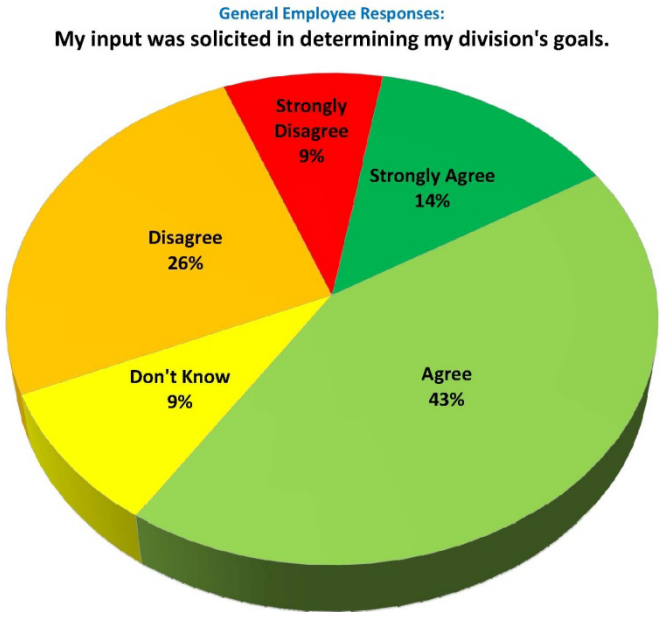
Recommended Improvement: Encouraging employees to be involved in goal-setting activities in the future may open the City up to creative solutions and problem-solving, as well as increase employee morale and sense of accomplishment.

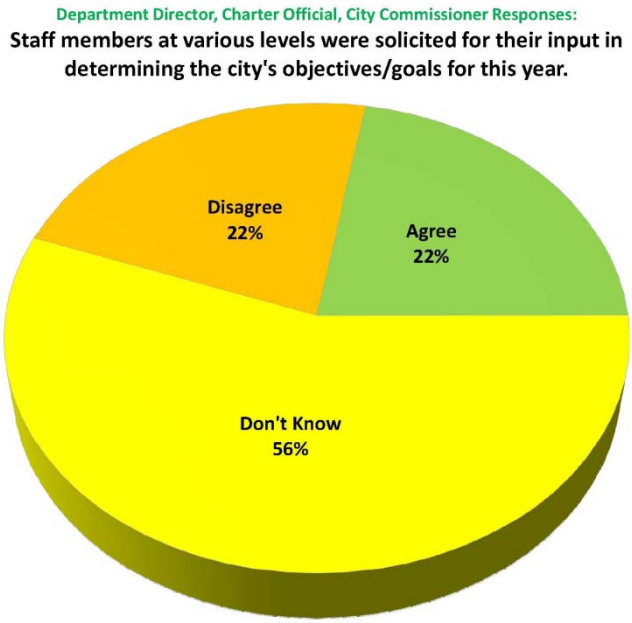
Survey Statements and Responses:

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	14%	43%	9%	26%	9%
Department Directors, Charter Officials, City Commissioners	-	22%	56%	22%	-





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:

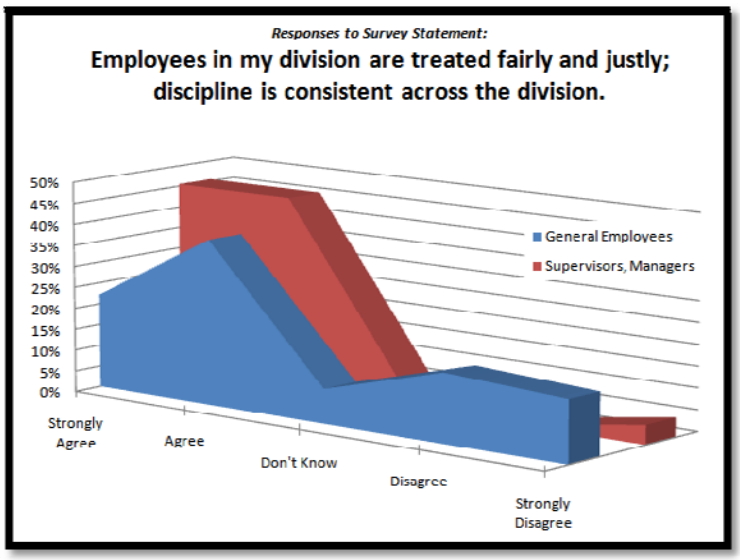
"Employees in my division are treated fairly and justly; discipline is consistent across the division."

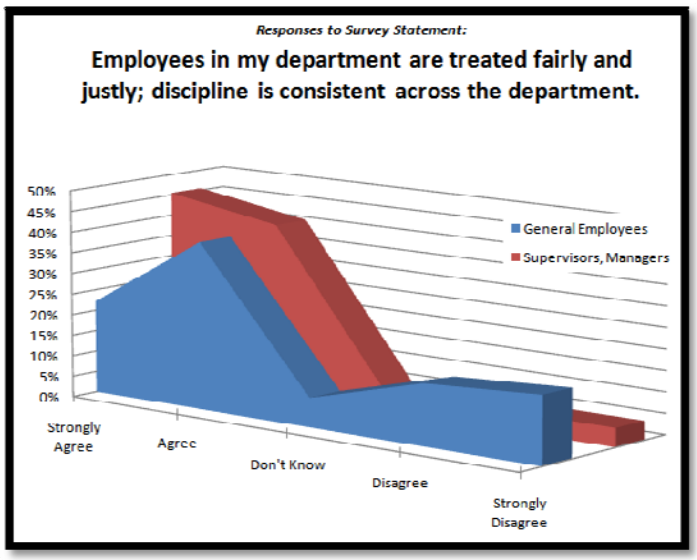
	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
General Employees	22%	39%	8%	16%	15%
Supervisors, Managers	45%	45%	5%	-	5%

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	22%	40%	7%	15%	16%
Supervisors, Managers	45%	41%	5%	5%	5%





APPENDIX A: DETAILED SURVEY RESULTS

2010 Risk Assessment Survey Results

52.9% Response Rate- Department Directors, Charter Officials, City Commissioners

30.7% Response Rate- Overall City Employees

Check one

Section I: Control Environment

		Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
1	**City Commissioners** exhibit high ethical standards.	22%	56%	11%	11%	0%
2	**Charter Officials** exhibit high ethical standards.	44%	33%	22%	0%	0%
3	**Department Directors** exhibit high ethical standards.	56%	22%	22%	0%	0%
4	Performance targets for **Charter Officials** are realistic and achievable.	22%	33%	44%	0%	0%
5	Performance targets for **Department Directors** are realistic and achievable.	0%	78%	22%	0%	0%
6	**Charter Officials** have the knowledge, skills and training to adequately perform their jobs.	56%	33%	0%	11%	0%
7	**Department Directors** have the knowledge, skills and training to adequately perform their jobs.	56%	44%	0%	0%	0%
8	**Charter Officials** have the ultimate responsibility over implementing controls and making sure they work.	44%	44%	11%	0%	0%
9	Employees who steal (physical property, money, information, time) or break laws and regulations **will be discovered**.	33%	33%	22%	11%	0%
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**.	44%	33%	11%	11%	0%

Section II: Risk Assessment

11	Charter Officials are accountable for defined, measurable objectives.	33%	33%	11%	22%	0%
12	Department Directors are accountable for defined, measurable objectives.	22%	33%	33%	11%	0%
13	Staff members at various levels were solicited for their input in determining the city's objectives/goals for this year.	0%	22%	56%	22%	0%
14	I have sufficient resources, tools and time to accomplish my objectives.	33%	33%	0%	22%	11%
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)

Section III: Information and Communication

		Check one				
		Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
16	City employees are encouraged to provide recommendations/suggestions for improvements to any area.	11%	78%	11%	0%	0%
17	I have sufficient information to do my job.	44%	56%	0%	0%	0%
18	Information relevant to my job is provided to me on a **timely** basis.	11%	67%	0%	11%	11%
19	City departments adequately take into account customer complaints and feedback.	33%	44%	0%	22%	0%
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.	56%	44%	0%	0%	0%
21	Employees who report suspected improprieties are protected from retaliation.	22%	33%	33%	11%	0%
22	If I report wrongdoing, I am confident that the wrongdoing will stop.	11%	56%	22%	11%	0%

Section IV: Monitoring

		Check one				
		Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
23	I believe that information reported to me reflects the actual results of operations.	44%	56%	0%	0%	0%
24	Staff members are notified when there are gaps in performance.	22%	56%	22%	0%	0%
25	Staff is empowered/ expected to take corrective action when mistakes are made or gaps in performance are noted.	33%	67%	0%	0%	0%
26	Staff members receive documented performance evaluations annually.	22%	22%	33%	22%	0%
27	Fraud/theft does not occur in my workplace.	22%	22%	22%	22%	11%

		Yes	No	N/A
28	If you suspect fraud or theft in your workplace, have you reported it? (circle one)	44%	0%	56%

29	If you answered "no" to the above question, why not? (circle one)	I fear retaliation	Nothing will be done to the individual	I don't want to get involved	I don't want to wrongly accuse someone	I don't know who to tell	Other
	Total # of respondents who selected each of the following:	0	0	0	0	0	0

2010 Risk Assessment Survey Results

40.7% Response Rate- Supervisors, Managers
30.7% Response Rate- Overall City Employees

Check one

Section I: Control Environment

		Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
	My Division					
1	Employees in my **division** exhibit high ethical standards.	41%	55%	0%	5%	0%
2	Performance targets that I am supposed to meet are realistic and achievable.	23%	68%	0%	9%	0%
3	Employees in my **division** have the knowledge, skills and training to perform their jobs adequately.	41%	55%	5%	0%	0%
4	Employees in my **division** are treated fairly and justly; discipline is consistent across the**division**.	45%	45%	5%	0%	5%
5	The policies and procedures in my division aid my employees in performing their jobs.	23%	64%	9%	5%	0%
	My Department					
6	Employees in my **department** exhibit high ethical standards.	41%	45%	5%	5%	5%
7	In my department, actual performance results are reported even if it is not what management wants to hear.	36%	55%	5%	5%	0%
8	Employees in my **department** are treated fairly and justly; discipline is consistent across the**department**.	45%	41%	5%	5%	5%
9	The organizational structure in my **department** is clearly defined.	50%	41%	5%	0%	5%
	General					
10	Human Resources policies and procedures have been communicated to me.	23%	64%	0%	14%	0%
11	I have communicated Human Resources policies and procedures to my staff.	18%	82%	0%	0%	0%
12	Employees who steal (physical property, money, information, time) or break laws and regulations**will be discovered**.	32%	45%	18%	0%	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**.	41%	41%	5%	9%	5%

Section II: Risk Assessment

14	For the coming year I am accountable for defined, measurable objectives.	32%	64%	0%	5%	0%
15	For the coming year my employees are accountable for defined, measurable objectives.	27%	64%	0%	9%	0%
16	I solicited my employees for their input in determining objectives/goals for this year.	30%	65%	0%	4%	0%
17	I have sufficient resources and tools to accomplish my objectives.	23%	41%	5%	23%	9%
18	My employees have sufficient resources and tools to accomplish their objectives.	23%	45%	5%	18%	9%
19	I work with my employees to identify barriers and obstacles and issues that could impact achievement of objectives.	38%	62%	0%	0%	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)*

Check one

	Section III: Information and Communication	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
21	I encourage my employees to provide recommendations for improvements within my**division**.	64%	36%	0%	0%	0%
22	I am encouraged to provide recommendations for improvements within my**department**.	55%	41%	0%	5%	0%
23	I hold regular staff meetings with employees in my division and encourage their feedback.	36%	50%	5%	9%	0%
24	I communicate with managers **in other departments** so that my staff can effectively do their jobs.	36%	59%	5%	0%	0%
25	I communicate with managers **in other divisions within my department** so that my staff can effectively do their jobs.	43%	57%	0%	0%	0%
26	I have sufficient information to do my job.	36%	50%	0%	14%	0%
27	Information relevant to my job is provided to me on **atimely** basis.	27%	59%	0%	14%	0%
28	The department director over my division is informed and aware of my division's actual performance.	50%	41%	5%	5%	0%
29	A communication channel exists for me and my employees to report suspected improprieties.	45%	45%	5%	0%	5%
30	Employees who report suspected improprieties are protected from retaliation.	43%	29%	14%	10%	5%
31	If I report wrongdoing to my department director, I am confident that the wrongdoing will stop.	50%	32%	9%	5%	5%
32	My division adequately takes into account customer complaints and feedback.	59%	36%	5%	0%	0%

Check one

	Section IV: Monitoring	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
33	Our information technology systems help me stay informed of my division's performance.	14%	55%	23%	9%	0%
34	Information reported to my department director reflects the actual results of operations in my division.	22%	52%	17%	9%	0%
35	External customer feedback and complaints are followed up on in a timely and effective manner.	55%	36%	5%	5%	0%
36	Internal customer feedback and complaints are followed up on in a timely and effective manner.	55%	36%	0%	9%	0%
37	I monitor the performance of my employees.	59%	41%	0%	0%	0%
38	I notify my employees when there are gaps in performance.	45%	55%	0%	0%	0%
39	I take corrective action or expect my employees to take corrective action when mistakes are made or gaps in performance are noted.	45%	55%	0%	0%	0%
40	I provide all of my employees with documented performance evaluations annually.	50%	36%	5%	9%	0%
41	My supervisor reviews my performance with me at appropriate intervals.	45%	41%	5%	9%	0%
42	I know what action to take if I become aware of unethical or fraudulent activity.	41%	50%	5%	5%	0%
43	Fraud/theft does not occur in my workplace.	32%	32%	27%	9%	0%

		Yes	No	N/A
44	If you suspect fraud or theft in your workplace, have you reported it? (circle one)	23%	5%	73%

45	If you answered "no" to the above question, why not? (circle one)	I fear retaliation	Nothing will be done to the individual	I don't want to get involved	I don't want to wrongly accuse someone	I don't know who to tell	Other
	Total # of respondents who selected each of the following:	0	1	0	1	0	0

2010 Risk Assessment Survey Results

29.2% Response Rate- General Employees
30.7% Response Rate- Overall City Employees

Check one

Section I: Control Environment

		Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
	My Division					
1	Managers in my **division** exhibit high ethical standards.	35%	44%	4%	10%	7%
2	The performance targets for my **division** are realistic and achievable.	19%	51%	13%	12%	4%
3	Employees in my **division** have the knowledge, skill and training to perform their jobs adequately.	32%	53%	3%	7%	5%
4	Employees in my **division** are treated fairly and justly; discipline is consistent across the **division**.	22%	39%	8%	16%	15%
5	The policies and procedures in my **division** allow me to do my job effectively.	24%	52%	5%	14%	5%
	My Department					
6	Managers in my **department** exhibit high ethical standards.	39%	38%	8%	11%	5%
7	Employees in my **department** are treated fairly and justly; discipline is consistent across the **department**.	22%	40%	7%	15%	16%
8	The organizational structure in my **department** is clearly defined.	30%	45%	7%	15%	4%
	General					
9	Human Resources policies and procedures have been communicated to me.	16%	58%	9%	14%	4%
10	Employees who steal (physical property, money, information, time) or break laws and regulations **will be discovered**.	25%	45%	17%	9%	4%
11	Employees who steal or break laws and regulations and are discovered **will be subject to appropriate consequences, no matter their position in the organization.**	27%	33%	12%	14%	14%

Section II: Risk Assessment

12	For the coming year I am accountable for defined, measurable goals.	23%	51%	16%	7%	3%
13	My input was solicited in determining my division's goals.	14%	43%	9%	26%	9%
14	I have sufficient resources, tools and time to accomplish my objectives.	13%	58%	5%	19%	4%
15	In my division, we identify barriers and obstacles and issues that could impact achievement of objectives.	15%	51%	13%	15%	6%
16	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)*

Check one

Section III: Information and Communication

		Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
17	I am encouraged to provide recommendations for improvements within my **division**.	23%	41%	10%	17%	10%
18	I am encouraged to provide recommendations for improvements within my **department**.	23%	45%	7%	17%	8%
19	The interaction between management and employees in my division is adequate; enables us to do our jobs effectively.	19%	50%	6%	16%	9%
20	I have sufficient information to do my job.	23%	63%	3%	8%	3%
21	Information relevant to my job is provided to me on a **timely** basis.	20%	56%	5%	14%	5%
22	Management is informed and aware of my division's actual performance.	22%	53%	18%	4%	3%
23	I know what action to take if I become aware of unethical or fraudulent activity; a communication channel exists to report the activity.	25%	62%	5%	5%	3%
24	Employees who report suspected improprieties are protected from retaliation.	12%	38%	35%	7%	8%
25	If I report wrongdoing to my supervisor, I am confident that the wrongdoing will stop.	18%	42%	23%	8%	9%
26	My division adequately takes into account customer complaints and feedback.	32%	48%	11%	5%	4%

Section IV: Monitoring

27	Information reported to the City Commission reflects the actual results of operations in my division.	11%	35%	35%	12%	7%
28	Employees in my division know what actions to take when they find mistakes or gaps in performance.	17%	53%	19%	7%	4%
29	My supervisor reviews my performance with me at appropriate intervals.	30%	50%	3%	11%	6%
30	When my performance is inadequate, my supervisor offers suggestions on how I can improve to meet his/her expectations.	23%	55%	9%	8%	4%
31	Fraud/theft does not occur in my workplace.	30%	31%	30%	5%	4%

		Yes	No	N/A
32	If you suspect fraud or theft in your workplace, have you reported it? (circle one)	22%	8%	70%

33	If you answered "no" to the above question, why not? (circle one)	I fear retaliation	Nothing will be done to the individual	I don't want to get involved	I don't want to wrongly accuse someone	I don't know who to tell	Other
	Total # of respondents who selected each of the following:	4	8	1	5	0	3

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?

- Employee morale
- Consistent/ realistic direction from Commission (trying to please everyone- we please no one)
- Budget
- Reduced staffing levels and resulting increased workloads without corresponding adjustments to expected deadlines and work product. This has impacts on perceived customer service and creates undue stress for employees.
- Employment opportunities
- City Manager who cares about staff
- Raises
- Unemployment
- Cost of everything increases except the salaries of all fortunate to have employment
- Budget
- Economics, which has changed, reduced and eliminated level of services for the community, but they still have high expectations that the city still can provide level of service from 5 yrs ago
- Lack of consensus on hierarchy of charter officials; who has to check with whom before decisions are made, what power city manager has in relation to CAC, why CAC office at the department level is able to take exception to standard procedures because it also has a charter official as a department head
- Disconnect between expectations from commission and other requirements that are vital to keep city operations going
- Being able to keep up with expectations of the public and management/ Commissioners as budgets become tighter and tighter.
- Some departments have people in management/ supervisor positions who shouldn't be there (they are unfair, rude, and sometimes downright mean to their employees).
- Economy
- The economy. This leads to an inadequate level of staffing. Because there is little time to accomplish goals, patches are put in place to be properly addressed at a later time.
- The budget and staffing cuts
- Poor management in many areas
- Managers, supervisors, and employees are not accountable
- Large amounts of waste in making things pretty, rather than functional
- The city needs to focus on money making enterprises- not losers Bobby Jones, Van Wezel
- City needs to get back to basic services of city operation- core services only
- City needs to stop expanding parks, trees, landscaping, etc- the city does not have the people to take care of what they already have. It all costs money.
- A management review should take place from the very top of the house.

- Budget
- Quality of life- Keeping the city at a certain standard. In order to attract tourism we need to continue to reinvest in our city.
- Budget cuts
- Reduction in future revenue sources due to the current economic environment which may further reduce the City's workforce and diminish the City's ability to attract quality employees which may impact the level of services provided to the City residents.
- Low amount of staff that needs to do same amount of work if full staffed.
- Morale- My department is great regarding providing things focused on employee well-being, but city-wide, not so much.
- Job security
- Pension
- Staffing and proper amount of time to evaluate, determine, and implement course of action
- Commission doesn't respect employees
- Why doesn't the City Auditor and Clerk have to cut their budget?
- Why is the City Auditor and Clerk treated like the CEO of the City?
- Not enough time to complete tasks assigned. Management's concept of the time necessary to complete a task and the actual time required to complete accurately are not the same.
- Balancing the budget via cost effective manpower and resource utilization
- Budget
- Loyalty from upper management to staff
- Lack of trust of administration
- Me and my employees in charge of others refusing to look objectively at all solutions to create an efficient and effective working environment.
- City Manager
- Reduction in workforce. Employee morale. Administration disregard for laws; secrecy. No institutional knowledge or history of city government and community of workforce/administration/directors. City Commission fail to cut their expenses and budget- cuts fall on employees primarily. Inability to say "no" to special interests and small groups and individuals who work the system. Inability to make policy decisions resulting in waste of money.
- City Manager, Mayor, Commissioners, Money. They take from the employees and give to specialty groups. Employees are giving/doing about as much as they can with no more money. Everyone understands the economy and can deal with that. But when we see money given to arts, Newtown, roundabouts, neighborhood entrances, etc it is a slap in the face. We have to cut out extras in our personal spending but the City does not. Stop asking us to do more with less and then take our raises and benefits and giving it to others. Charity begins at home. Let's take care of our employees first.
- Staff reduction- causing reduction of quality service
- Robert Bartalata
- City Manager and City Commission. To much money thrown in the wrong areas. City funds are severly mismanaged.
- Budget restraints, the city trys to provide the service without the manpower
- Appropriately providing depts. Equipment needed to get the maximum results in getting work done and therefore saving money in employee wasted time trying to do with what the dept will give them, ie- extra printers- computers in depts.
- Economy, management- employee relations, pensions, benefits. Our new medical insurance is horrible.
- Proposed change in the current pension plan. If it goes through the city is going to see a mass exodus of young skilled personnel.

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

- City Manager. City Commission.
- Punishment
- Financial impact/ lack of tax base/ pension changes
- Resources, pensions
- I've only been here a short time, but it seems the PR issues with N. Sarasota loom in the background. I watched the City Commission meeting +/- 5 weeks ago regarding that topic. I don't' think the average citizen in that area appreciates the police and the work they do. Thanks for asking.
- The lack of well thought out goals. Every few years we changed to a different plan of operation that is identical to plans we have used in the past. Management is so far removed from what happens on the street that they have no idea how implement attainable goal. We are continually spiraling down and destroying morale.
- Lack of tax money due to recession which results in no cost of living raises to employees but yet the cost of your basic needs keep going up. But I do like to thank you for longevity and step raises, it really is going to help our family.
- Managers who can't manage
- Money
- Employee morale due to economic uncertainty.
- Keeping employees work for several years to come
- Financial sustainability.
- Employee Morale.
- Falling revenue due to economy.
- Cost control for health, pension.
- Resource reductions without a corresponding reduction in expectations.
- City management with no ties to the city and therefore no concern as to its future. Commissioner who think city employees are inferior.
- Tax base ⟶ lower budget ⟶ employment cuts ⟶ no longer a City of Sarasota
- Budget
- Pension/ retirement
- Poor City spending
- Low morale
- Budget
- Poor treatment by City and Police management
- Morale, distrust, fear of the unknown
- We are not growing we are shrinking and shrinking fast. People don' t even want to vacation in Sarasota, let alone live and work here.
- City Commission wants the same level of service it had 5 and 6 years ago. But they continue to cut our employee numbers and take away benefits to which was one of reasons for doing the job. If you continue to take retirement benefits away there no reason to remain employed with same agency. You just as ell move around at this job as any civilian on any type of job!
- City Manager is too far in our business
- Upper management- City Manager
- Support of employees, money. Fraud and theft is the least of our problems, this is ridiculous.
- Being fair to part-time temporary employees.

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

- Budgets
- No common sense. When bldg bldgs not talking with employee to find what their work needs are. Or changing what the employees needs to what (the city) thinks that employee needs.
- Budget and staff cutbacks- work not relating to achieving goals of my department.
- Don't know of money being taken or stuff like that, but there's people in our department who don't work and yet get paid 40 hours. Our boss knows their texting and one of them is running a side business and shopping on line and he lets it keep going. In a way it's stealing because the rest of us have to work hard and if we bring it up he says that HR just wants him to talk to them. He never writes them up or does anything else. HR doesn't care either. Maybe it's racism and their not allowed to write any African Americans up, but it does'nt seem fair.
- Layoffs. Budget shortages. Uncertain future for employees and city, itself.
- Employee moral/ pay
- The fact that more pressure is being put on employees, without any consideration of the lack of less employees. All city employees have multiple duties put on them that are well out of their salary range, if there are not go to be any raises, then at least provide employees with the job titles that they are deserving of. It's easier to get people to break their backs for you if you give them the respect they deserve.
- The City Manager!
- Severe staff shortage and budget cuts.
- Can be a very stressful; sometimes hostile office environment
- The City Manager
- Budget issues- we continue to take things from employees such as benefits and offer nothing in return.
- Destruction of PD by City Manager which will have a great impact on quality of life in city for future generations
- Consistency!! If the rules are broken the punishment should be handed out accordingly. Also the City Manager/ City Commission need to address the pension issues as we only need quality people at the Police Department. Remember you pay for what you get!
- Cuts in workforce have gone so deep as to require everyone to wear 2 or 3 hats, which means nothing is done as well or thoroughly as it should be. Everyone is worn out and stressed out.
- Overall pay structure is ridiculous- we have hourly assistants who by virtue of longevity and STEPS make more than their managers- who being exempt, work twice as many hours.
- Commission whims undercut previously established direction to staff, often without forewarning or admitting a change of direction.
- Fear of raising taxes means the budget is balanced on the back of its employees- especially exempt employees. We're tired of donating ridiculous amounts of time to the City at the expense of personal lives- family strain is enormous when you're never home.
- Budget issues- how to provide "excellent" service to public (which we should be doing)
- Money
- Employee Morale!!!!! The continued disregard for employees. We have no problem working harder and/or longer, but don't decrease our benefits and freeze our wages!!! The City manager gets a 7% raise?????? When the economy turns around, those of us who want to achieve things in life will be gone- we will go where we will be compensated appropriately.
- Loosing good employees in coming years and lack of training new comers. (might be wasting a lot of time)- be consistant.
- Employee wages, raises, and promotions
- Lack of training
- Fear of being layed off

- Being paid money for position currently working in
- Finance and budget
- Money wasting Commission which focuses on non-important goals and not seeing employees as assets. There is a reason the city is a nice place to live, and it's not City Hall!
- Changes in City- have to learn all the changes and do what is asked.
- Money, pay, personnel
- Money. Not enough of it to fund the Commissioners pet projects and properly fund the workings of city services.
- Staffing is at a minimal level. This becomes a problem when key people are out sick or short term leave. Opportunity for errors occur when people work under stress and do work of others in their absence. We work towards cross training of employees- which is beneficial. Unfortunately, the economy dictates this situation.
- Money
- Budget, fiscal management, and priorities
- Polarization between Commissioner, Charter Officials and upper Mgt
- When I was hired and told of getting a pension, now you want to take it back. Training so that I may do my job well. Not just training for supervisors and crew leaders.
- Poor management of money/ funds
- Manpower and finances vs services provided. We are no longer able to provide the level of service that is expected.
- Money management
- Moral of, and continued training for its employees. Incentives for employees to do their jobs better and faster.
- Budget deficets/cuts
- Too many "yes" men are promoted and people who have spoken up are looked down upon and not given the chances to move up that they deserve.
- Avoiding the collapse of the city government because of inadequate revenue and/or incompetence of city officials.
- Poor leadership
- Discrimination when it comes to promotions
- Training new employees
- Police department budget
- Property taxes
- Reduction of staff
- Low morale by employees of the city
- If referring to the city as a whole: unemployment and criminal mischief. If referring to the governmental operation: morale and lack of employees.
- The biggest issues include the high demand for services, yet shortage of staff. Regarding community complaints, upper management and the City Commission should ask and support staff <u>first</u>, before assuming the worst and doubting the integrity of City Employees. City of Sarasota should also have a crisis management plan in place, in which staff is aware of how to handle such conflicts. If this is already in place, I doubt that it has been conveyed to <u>everyone</u>.
- Not sure- budget issues?
- Budget cuts/ manpower/ managers promoted beyond their ability.
- It appears the City Manager has the support of the Commission! Unfortunately the Commission is being mislead.
- Fiscal, budget
- Low morale

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

- A lack of cross training of responsibilities to insure job knowledge and procedures are known to more than one individual. Training of future manager, supervisors, and leaders is lacking in all areas of city government.
- Reverse discrimination for promotions and layoffs. The City of Sarasota has been the most unfair work place that I have worked at in my fifty two years of employment. Yes, I know I can leave but I still need a job.
- City Comishion having enough balls to raise the mil. Rate so we can get the job done with qualified people not with part timers and day labor (rent-a-drunk). And a City Manager that will stand up and be counted and not just count the money in his account. Get rid of supervisors and foremen that do more harm than good to employee morale.
- Budgetary, low morale, lack of leadership
- Budget/ property tax down.
- Less manpower and resources to do more work.
- Morale.
- Weathering the current economic downturn.
- Maintaining a level of response to Quality of Life issues within the community consistent with the ability to provide them.
- Attracting career minded employees to the workforce and keeping them as benefits erode.
- Nothing wrong with my dept or division, most of the problems come from outside of these depts.
- Employee moral
- Political pandering
- Public opinion of government employees
- Lack of resources (knowledge base of critical employees)
- Low moral concerning benefits, pay, pension reductions
- Potential loss of Comp Time
- Increase cost of living for employees
- Financial
- Keep pace with its image as upper draw or tourist attraction, and a prime residential destination for senior and family living.
- Lack of communication from top down
- Docked time for mandatory “working lunch”- violates FSLA uninterrupter break rule even if food is eaten
- Mileage stipend for those that rarely leave the office
- Take home vehicles
- Fewer staff= fewer checks and balances
- Tendency to look for reasons something cannot be done instead of ways to get it done
- Money, taxes, government controls- rules
- Unemployment, cut backs, lay offs
- Economic times
- Revenue and jobs
- Budget, pensions
- Overtime

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

- Level of customer service at given budget
- Relating to Van Wezel only, selling tickets to shows, biggest issue!
- A lack of vision on the part of middle management
- Isolation from community- connection to reality that families in City face every day and night
- Too much inequality you see certain people do things that others do with little or no consequences. Management is short-sighted and resistant to others ideas. There are too many things to say in this small space.
- The lack of knowledge of supervisors from Lt's and Captains regarding Florida laws. Unfair treatment of white male officers, as certain officers of color or gender should have been fired, but certain officers do illegal things such as supervisors buying items behind a store after hours and are not fired. A white officer said a racial slur and was fired, and that was the right thing. A black officer/ supervisor said a racial slur, he was suspended without pay, but is still a ranking supervisor, how is that fair, as he was promoted shortly after.