

Audit Project #17-02B:

2017 Risk Assessment Employee Survey Results

Audit Report

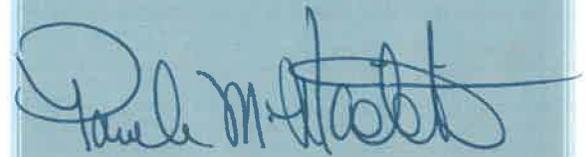
Office of the City Auditor and Clerk
Internal Audit

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Executive Summary

The report of the 2017 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 recipients to identify the biggest issues faced by the City of Sarasota.

City of Sarasota employees' responses indicated that the three biggest issues were leadership/management (26.42%); staffing/manpower (16.98%); and infrastructure (9.43%).

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. While employees in 2018 and 2016 reported they knew how to report suspected wrongdoing (2018 – 86.96%; 2016 – 85.84%), there was a significant decrease in feeling they would be protected from retaliation (2018 – 36.23%; 2016 – 50.00%). Regarding whether the inappropriate actions would stop if reported there was a larger decrease in positive responses (2018 – 31.88%; 2016 – 62.83%).

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.

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, that is updated annually.

This year, Internal Audit incorporated all permanent City employees into the risk assessment process by providing an on-line survey for which input was solicited regarding various areas/activities relating to employees' divisions, departments, and the overall organization. Paper copies were made available for employees without computer access.

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 2016 employee survey, which were compared to the 2011 survey. In order to do this the survey questions

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.

were the same as the 2016 surveys. A result of using the 2016 Survey questions is that the survey does not address the new objectives.

METHODOLOGY

An announcement was posted on the City’s Intranet site notifying employees that the General Employee and Manager/Supervisor surveys were open and available on February 16th, with a reminder notice on February 26th. Additionally, e-mails were sent out to all employees, notifying them of the survey and providing links to the appropriate survey site. The notification also informed employees to contact their department’s payroll specialist for a paper copy of the survey. The survey was open for two weeks. City Commissioners, Charter Officials and Department Directors received an email with a link to their survey. 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. Users were not asked to identify themselves or their department..

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 February 16th through March 2nd, 2018. Based upon the significant decrease in participation, it was not enough to depend on employees utilizing the on-line survey. While paper copies were available, only two (2) employees utilized them. Future surveys will be available as on-line and paper documents to all employees.

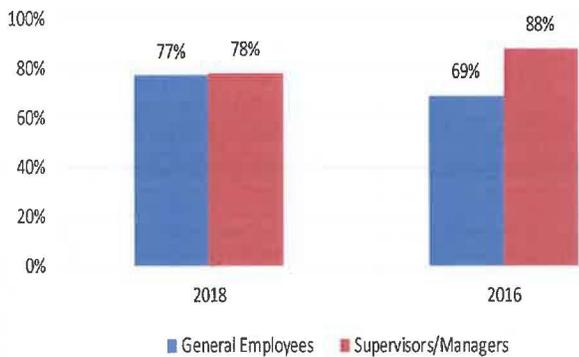
Survey Version (by employee type)	2018 Percentage Rate of Return	2016 Percentage Rate of Return
General Employees	12.9%	22.7%
Supervisors, Managers	17.8%	31.5%
Department Directors, Charter Officials, City Commissioners	22.2%	35.5%
Overall Response Rate:	14.0%	24.5%

The results of this survey are accurate at the 95% confidence level plus or minus 9.3 percentage points, due to the low participaton rates. The results of the 2016 survey were accurate at the 95% confidence level plus or minus 6.7 percentage points.

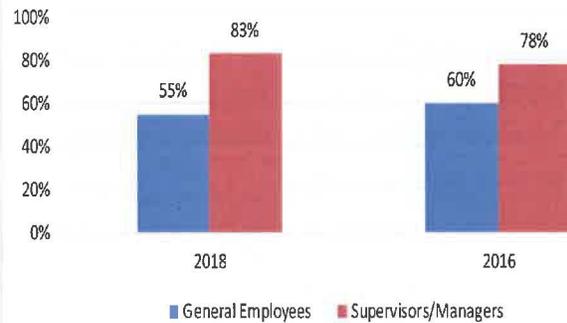
Workplace Theft

Survey Statements	Response of Agree or Strongly Agree			
	2018 GE	2016 GE	2018 MS	2016 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	77%	69%	78%	88%
Employees who are caught stealing or breaking laws or regulations will be subject to appropriate action	55%	60%	83%	78%
Fraud/theft does not occur in my workplace	52%	63%	57%	81%

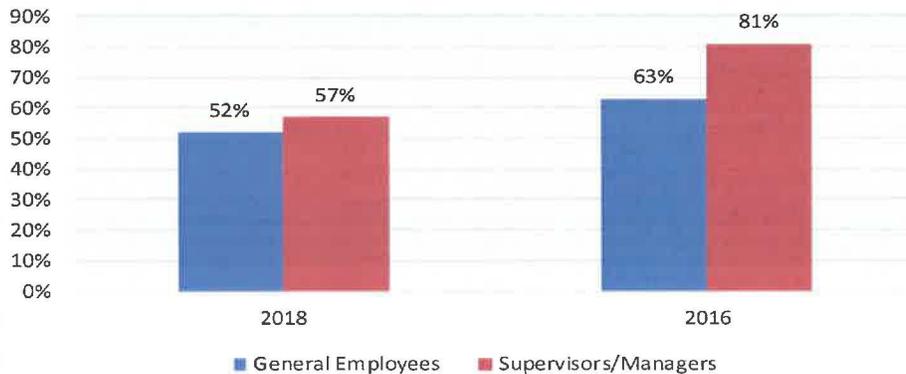
Employee who steal or break laws or regulations will be discovered.
Respondents answering "Agree" or "Strongly Agree"



Employees who are caught stealing or breaking laws or regulations will be subject to appropriate action.
Respondents answering "Agree" or "Strongly Agree"



Fraud/theft does not occur in my workplace.
Respondents answering "Agree" or "Strongly Agree"



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](#).

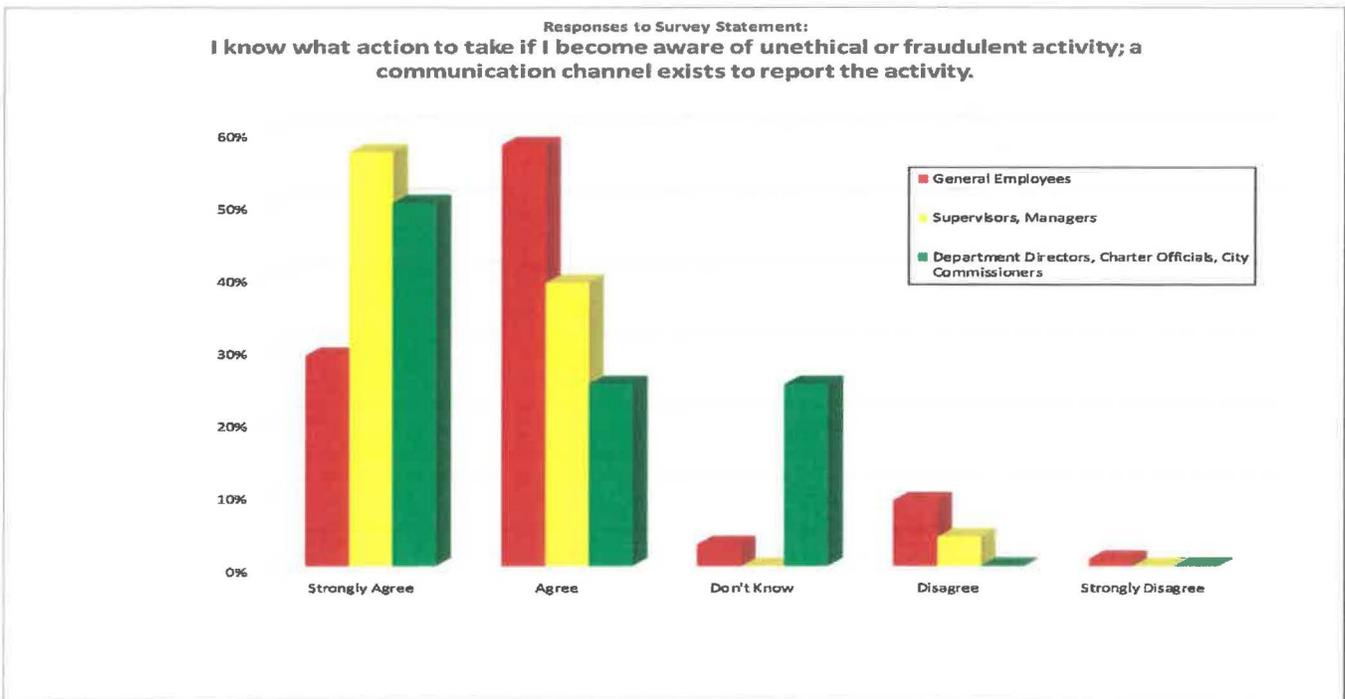
1. CITY EMPLOYEES KNOW WHAT ACTIONS TO TAKE TO REPORT WRONGDOING, BUT ARE LESS CONFIDENT AS TO WHETHER THEY WOULD BE PROTECTED FROM RETALIATION OR WHETHER ANYTHING WOULD BE DONE TO STOP THE WRONGDOING.

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	29%	58%	3%	9%	1%
Supervisors, Managers	57%	39%	-	4%	-
Department Directors, Charter Officials, City Commissioners	50%	25%	25%	-	-

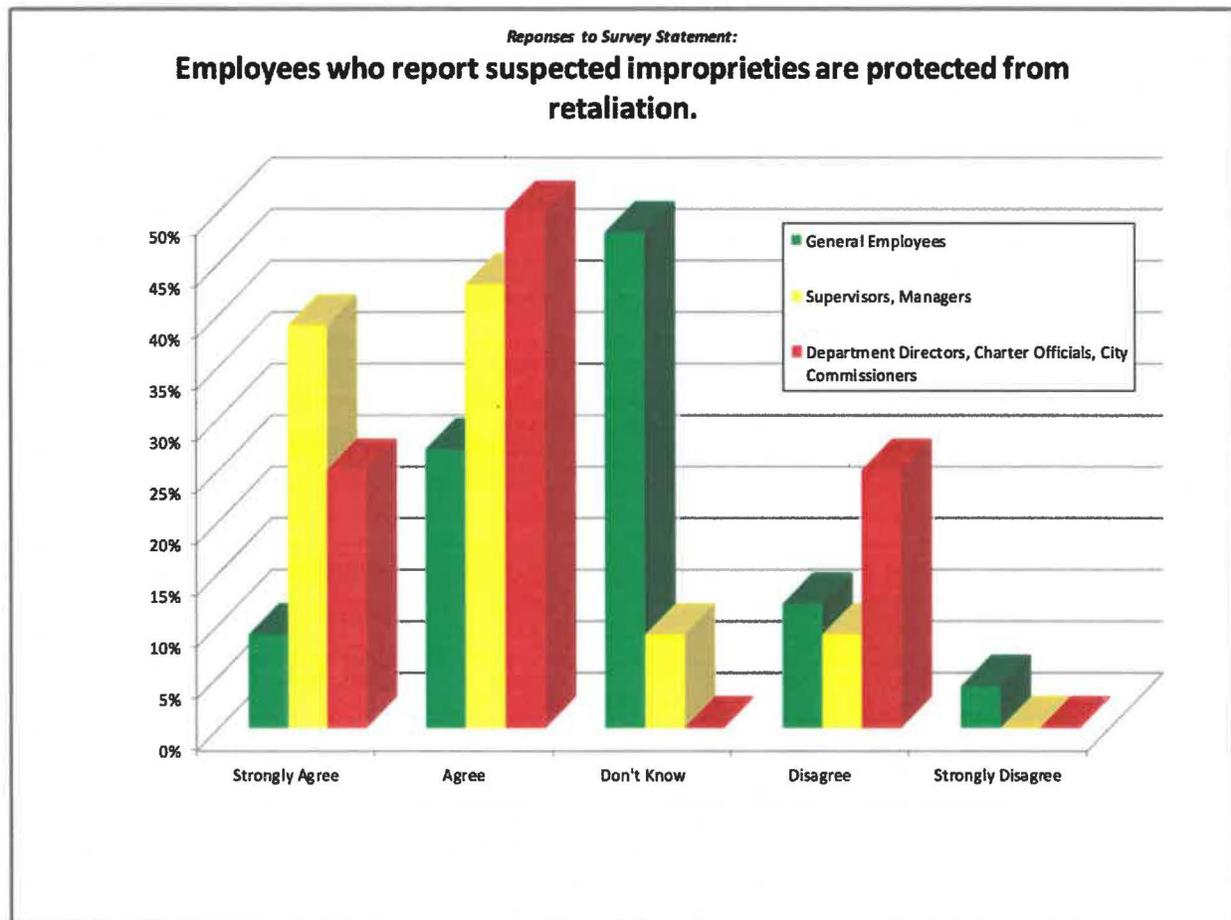


A large percentage of respondents from the general employee group responded that they didn't know whether employees are protected from retaliation after reporting suspected improprieties. There was a significant decrease in the General Employees category that agreed or strongly agreed that employees are protected (2018 – 36%, 2016 – 50%). 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	9%	27%	48%	12%	4%
Supervisors, Managers	39%	43%	9%	9%	-
Department Directors, Charter Officials, City Commissioners	25%	50%	-	25%	-



Supervisors expressed more confidence than other employee groups that if they reported a wrongdoing, it would stop. A combined 50% of senior management employees and 69% of general employees either didn't know or disagreed that a wrongdoing would stop, if reported.

Survey Statement and Responses:

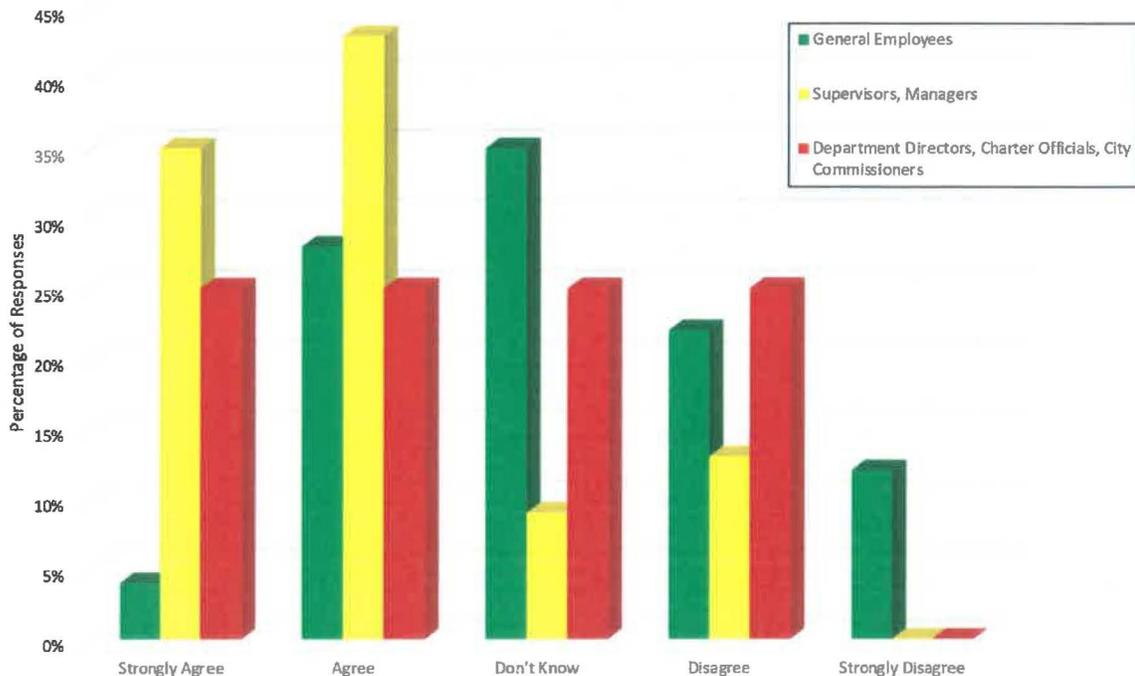
General Employees- "If I report wrongdoing to my supervisor, I am confident that the wrongdoing will stop."

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	4%	28%	35%	22%	12%
Supervisors, Managers	35%	43%	9%	13%	-
Department Directors, Charter Officials, City Commissioners	25%	25%	25%	25%	-

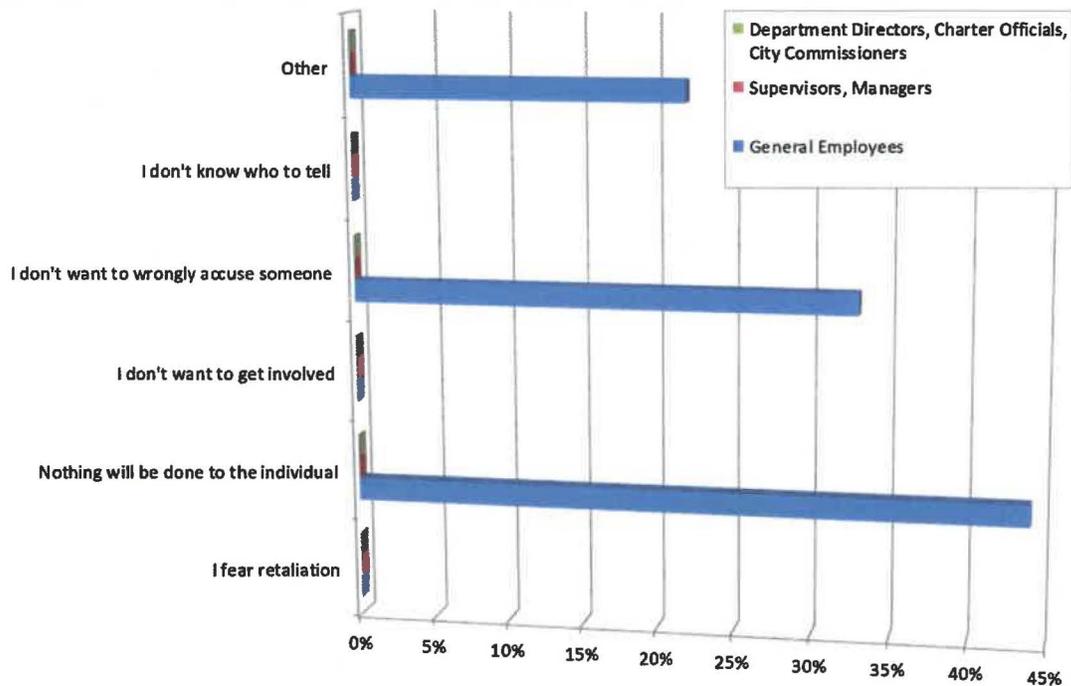
Responses to Survey Statement:
If I report wrongdoing to my supervisor, I am confident that the wrongdoing will stop.



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

None of the individuals completing surveys for the Supervisors/Managers or senior management responded with a “No” and therefore did not provide reasons for not reporting suspected wrongdoing. Of the employees who gave a reason for not reporting fraud/ theft in the organization, the largest response indicated that they believed nothing would be done to the individual. A smaller percentage of respondents indicated that they didn’t want to wrongly accuse someone. Interestingly, the percentage of responses claiming “I fear retaliation” dropped from 24% to 0%

**Of respondents who indicated "no" to suspecting fraud/ theft,
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 43% (2016 – 31%) either didn’t know or didn’t agree. Conversely, 81% (2016 – 77%) of supervisors felt as though they were encouraged to provide recommendations for improvements.

Survey Statements and Responses:

General Employees- “I am encouraged to provide recommendations for improvements within my department.”

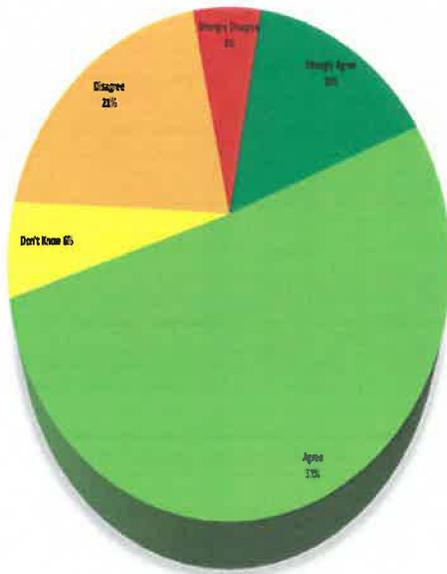
Supervisors, Managers- “I am encouraged to provide recommendations for improvements within my department.”

	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
General Employees	16%	51%	6%	21%	16%
Supervisors, Managers	45%	36%	5%	14%	-

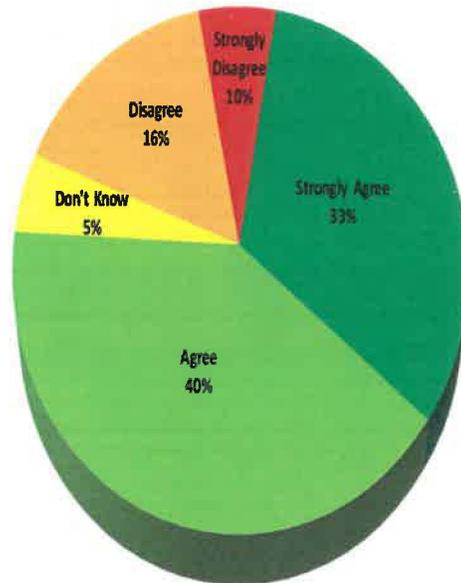
2018

2016

General Employee Responses:
I am encouraged to provide recommendations for improvements within my department.

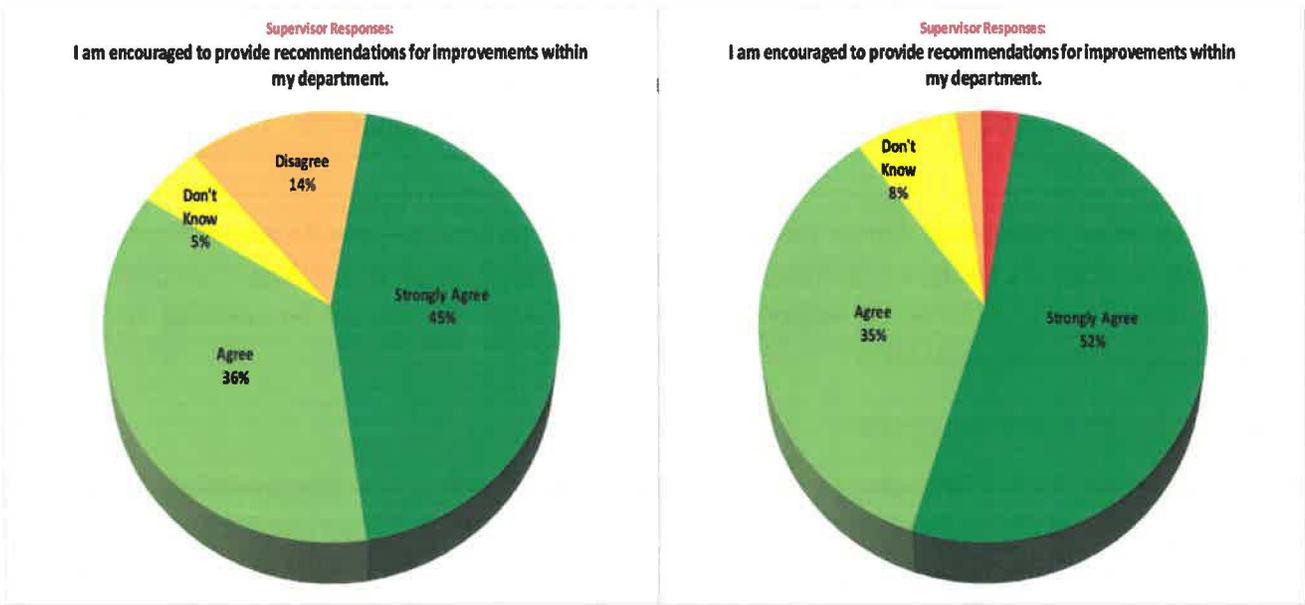


General Employee Responses:
I am encouraged to provide recommendations for improvements within my division.



2018

2016



Survey Statements and Responses:

General Employees- “Employees in my division know what action to take when they find mistakes or gaps in performance.”

Supervisors, Managers- “I take corrective action or expect my employees to take corrective action when mistakes are made or gaps in performance are noted.”

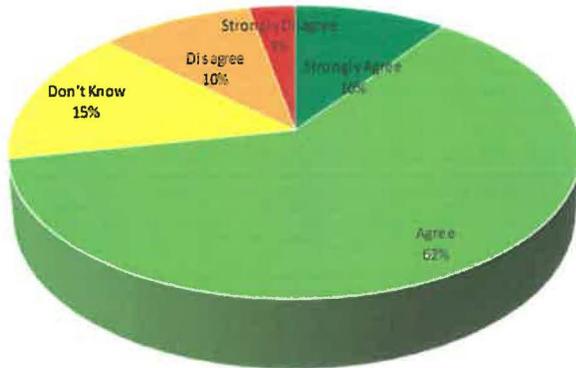
General Employees	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
2018	10%	62%	15%	10%	3%
2016	33%	45%	15%	6%	1%
Supervisors/Managers	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
2018	48%	48%	4%	-	-
2016	65%	28%	5%	2%	-

2018

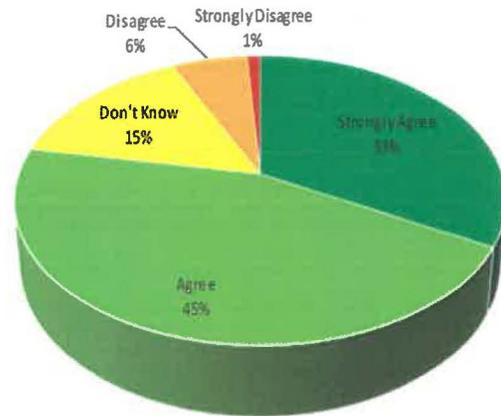
2016

Employee Responses

Employees in my division know what actions to take when they find mistakes or gaps in performance.



Employees in my division know what action to take when they find mistakes or gaps in performance.

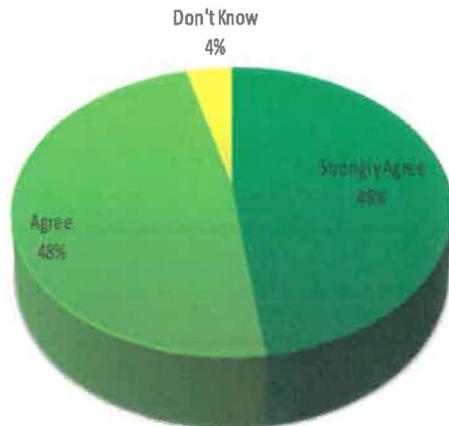


Supervisor Responses

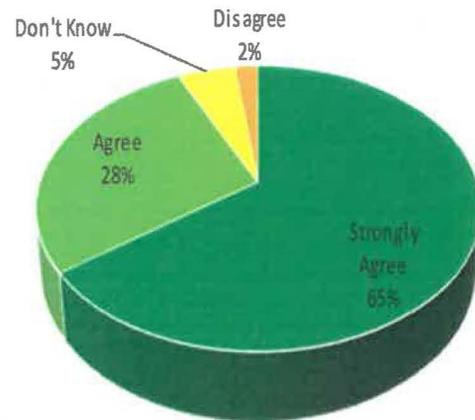
2018

2016

I take corrective action or expect my employees to take corrective action when mistakes are made or gaps in performance are noted.



I take corrective action or expect my employees to take corrective action when mistakes are made or gaps in performance are noted.



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:

- Leadership/Management
- Staffing/Manpower
- Infrastructure

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.

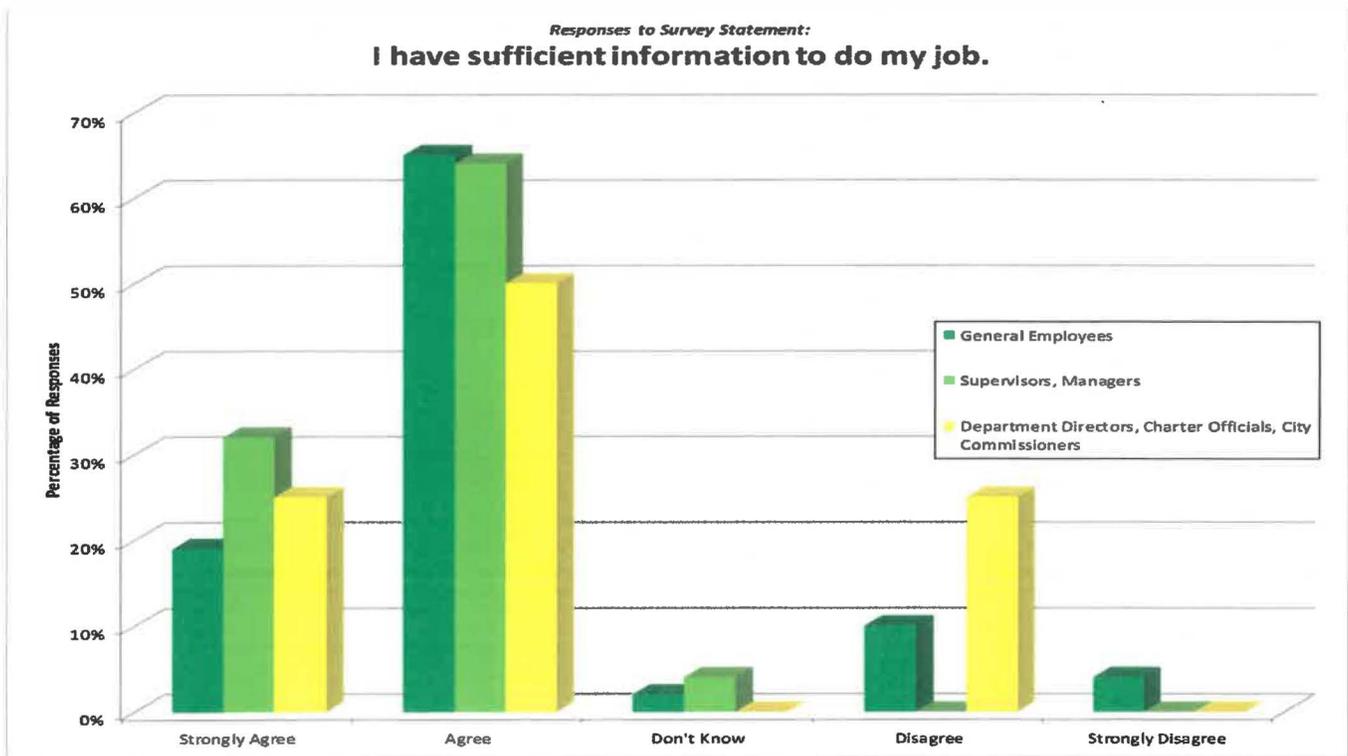
KUDOS: EMPLOYEES FEEL THEY HAVE SUFFICIENT INFORMATION TO DO THEIR JOBS.

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	19%	65%	2%	10%	4%
Supervisors, Managers	32%	64%	5%	2%	-
Department Directors, Charter Officials, City Commissioners	25%	50%	-	25%	-



KUDOS: EMPLOYEES FEEL THEY HAVE SUPERVISORS PROVIDE PERFORMANCE REVIEWS AT APPROPRIATE INTERVALS

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

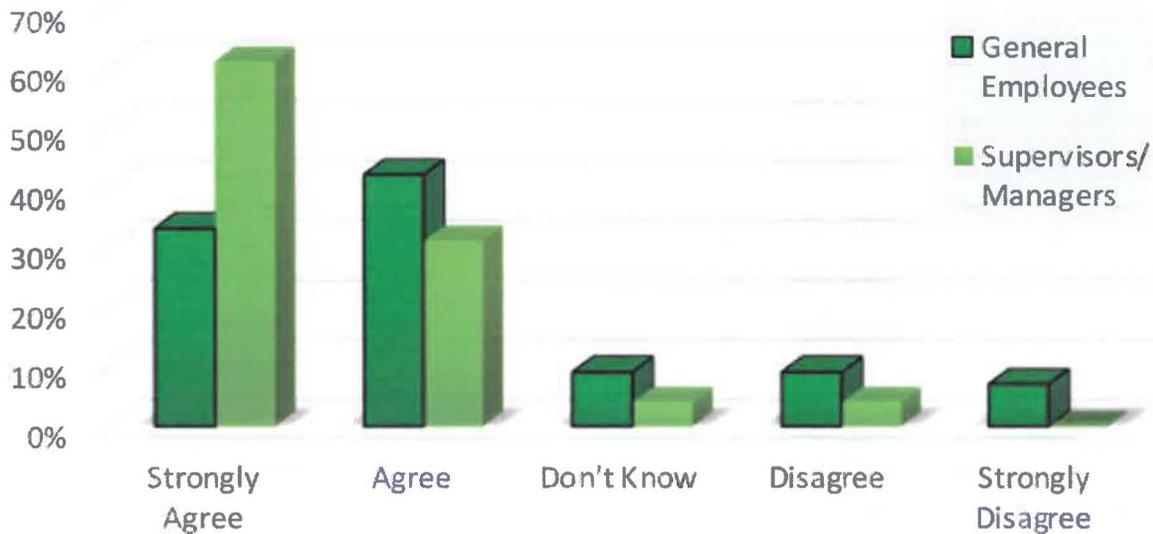
Survey Statements and Responses:

General Employees - “My supervisor reviews my performance with me at appropriate intervals.”

Supervisors/Managers – I provide all of my employees with documented performance evaluations annually.”

	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
General Employees	33%	42%	9%	9%	7%
Supervisors, Managers	61%	31%	4%	4%	-

*Responses to survey statement
My supervisor reveiws my performance with me
at appropriate intervals*



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 33% of the senior management employee group and 69% 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.

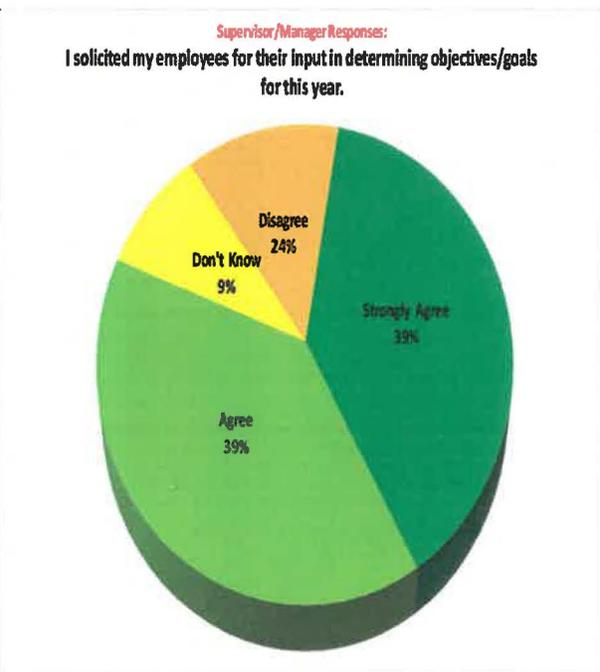
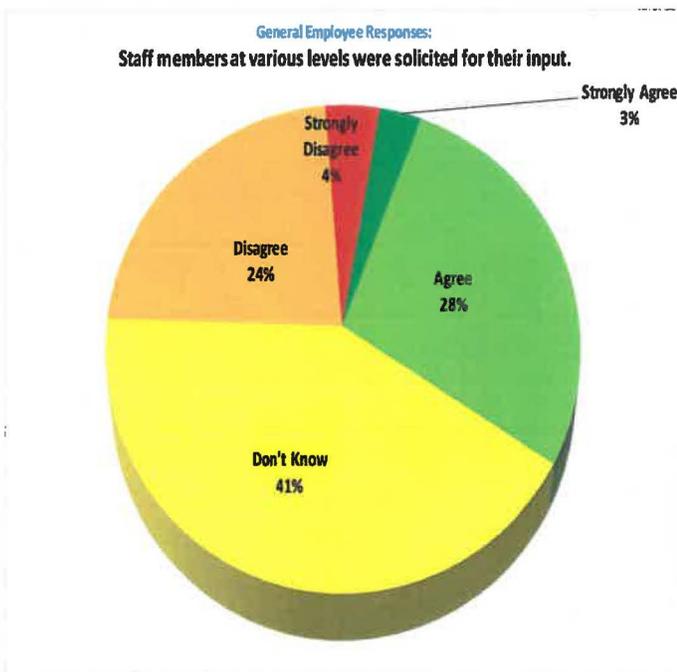
Recommended Improvement: Encouraging employees to be involved in goal-setting activities in the future may open the City up to creative solutions and problem-solving, as well as increase employee morale and sense of accomplishment.

Survey Statements and Responses:

General Employees- "Staff members at various levels were solicited for their input."

Supervisors/Managers- "I solicited my employees for their input in determining objectives/ goals for this year."

	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
General Employees	3%	28%	41%	24%	45%
Supervisors/Managers	39%	39%	9%	13%	-



OPPORTUNITY: EMPLOYEES HAVE SUFFICIENT RESOURCES AND TOOLS TO ACCOMPLISH THEIR GOALS.

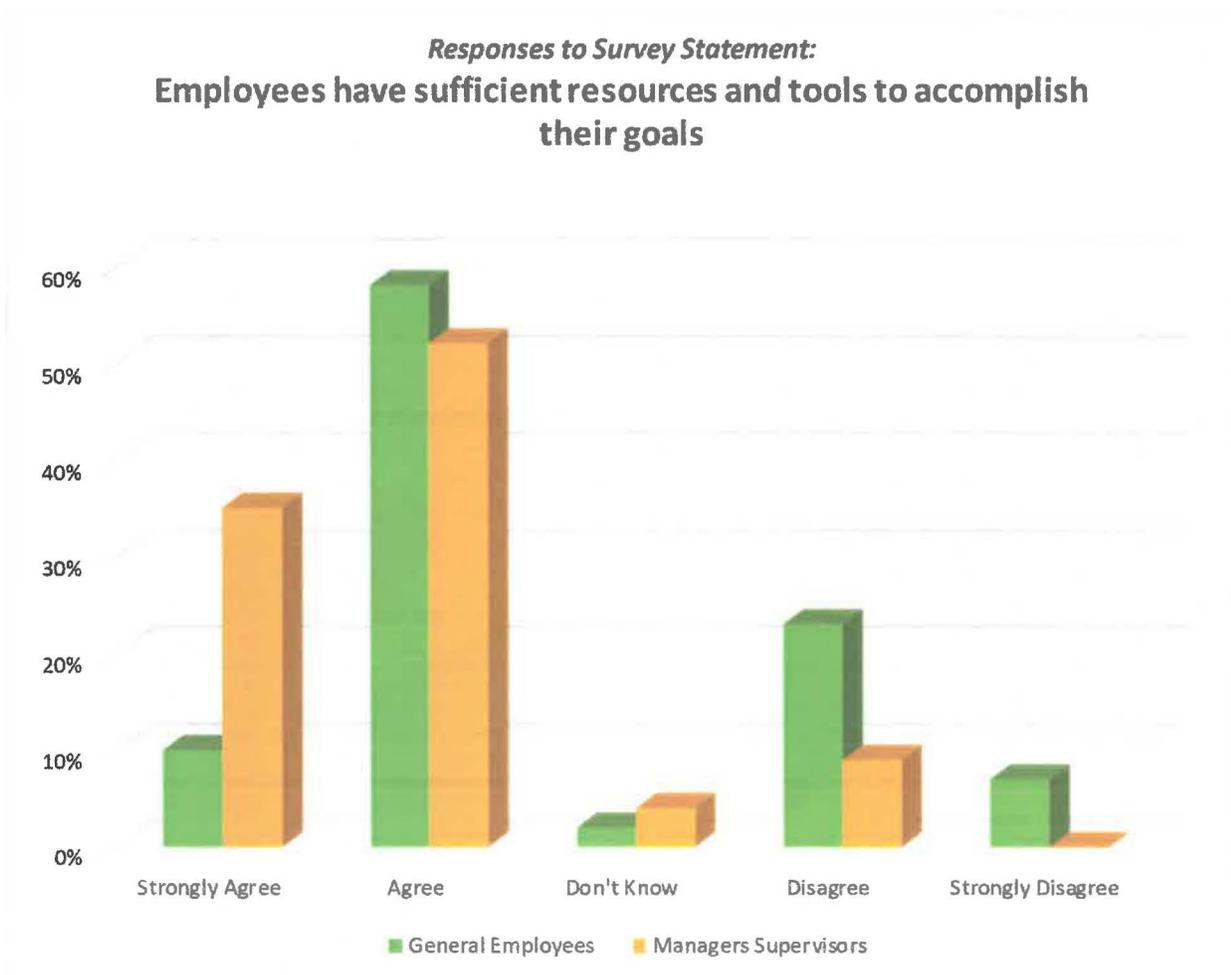
While the majority of General Employees and Supervisors/Managers feel they have the resources and tools to accomplish their goals, there is a significant percentage that disagree or strongly disagree.

Survey Statement and Responses:

General Employees “I have sufficient resources, tools and time to accomplish my objectives.”

Supervisors/Managers – “My employees have sufficient resources and tools to accomplish their objectives.”

	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
General Employees	10%	58%	2%	23%	7%
Supervisors, Managers	35%	52%	4%	9%	-



APPENDIX A: DETAILED SURVEY RESULTS

DEPARTMENT DIRECTOR, CHARTER OFFICIAL, CITY COMMISSIONER SURVEY RESULTS

2018 Risk Assessment Survey

22.2% Response Rate - Department Directors, Charter Officials, City Commissioners

14.0% 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.	50%	50%	0%	0%	0%
² Charter Officials exhibit high ethical standards.	50%	25%	25%	0%	0%
³ Department Directors exhibit high ethical standards.	75%	25%	0%	0%	0%
⁴ Performance targets for Charter Officials are realistic and achievable.	0%	100%	0%	0%	0%
⁵ Performance targets for Department Directors are realistic and achievable.	25%	50%	25%	0%	0%
⁶ Charter Officials have the knowledge, skills and training to adequately perform their jobs.	25%	50%	25%	0%	0%
⁷ Department Directors have the knowledge, skills and training to adequately perform their jobs.	75%	0%	25%	0%	0%
⁸ Charter Officials have the ultimate responsibility over implementing controls and making sure they work.	50%	50%	0%	0%	0%
⁹ Employees who steal (physical property, money, information, time) or break laws and regulations will be discovered .	50%	50%	0%	0%	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 .	25%	75%	0%	0%	0%

Section II: Risk Assessment

¹¹ Charter Officials are accountable for defined, measurable objectives.	0%	50%	50%	0%	0%
¹² Department Directors are accountable for defined, measurable objectives.	0%	75%	25%	0%	0%
¹³ Staff members at various levels were solicited for their input in determining the city's objectives/goals for this year.	25%	50%	25%	0%	0%
¹⁴ I have sufficient resources, tools and time to accomplish my objectives.	25%	25%	25%	25%	0%

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

		Check one				
		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.	25%	25%	50%	0%	0%
17	I have sufficient information to do my job.	25%	50%	0%	25%	0%
18	Information relevant to my job is provided to me on a timely basis.	25%	50%	0%	25%	0%
19	City departments adequately take into account customer complaints and feedback.	0%	100%	0%	0%	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.	50%	25%	25%	0%	0%
21	Employees who report suspected improprieties are protected from retaliation.	25%	50%	0%	25%	0%
22	If I report wrongdoing, I am confident that the wrongdoing will stop.	25%	25%	25%	25%	0%
		Check one				
		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.	0%	100%	0%	0%	0%
24	Staff members are notified when there are gaps in performance.	0%	50%	50%	0%	0%
25	Staff is empowered/ expected to take corrective action when mistakes are made or gaps in performance are noted.	0%	75%	25%	0%	0%
26	Staff members receive documented performance evaluations annually.	25%	25%	50%	0%	0%
27	Fraud/theft <u>does not</u> occur in my workplace.	0%	100%	0%	0%	0%
28	If you suspect fraud or theft in your workplace, have you reported it? (circle one)	Yes	No	N/A		
		25%		75%		

SUPERVISOR, MANAGER SURVEY RESULTS

2018 Risk Assessment Survey

17.8% Response Rate - Managers and Supervisors

14.0% Response Rate - Overall City Employees

Section I: Control Environment

My Division

	Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
1 Employees in my division exhibit high ethical standards.	61%	35%	4%	0%	0%
2 Performance targets that I am supposed to meet are realistic and achievable.	35%	56%	0%	9%	0%
3 Employees in my division have the knowledge, skills and training to perform their jobs adequately.	57%	39%	0%	4%	2%
4 Employees in my division are treated fairly and justly; discipline is consistent across the division .	48%	30%	9%	9%	4%
5 The policies and procedures in my division aid my employees in performing their jobs.	32%	59%	5%	4%	0%

My Department

6 Employees in my department exhibit high ethical standards.	52%	39%	5%	4%	0%
7 In my department, actual performance results are reported even if it is not what management wants to hear.	26%	52%	13%	9%	0%
8 Employees in my department are treated fairly and justly; discipline is consistent across the department .	35%	48%	9%	8%	0%
9 The organizational structure in my department is clearly defined.	35%	52%	5%	4%	4%

General

10 Human Resources policies and procedures have been communicated to me.	30%	57%	4%	9%	0%
11 I have communicated Human Resources policies and procedures to my staff.	32%	59%	5%	4%	0%
12 Employees who steal (physical property, money, information, time) or break laws and regulations will be discovered .	39%	39%	13%	9%	0%
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 .	39%	44%	9%	4%	4%

Section II: Risk Assessment

14 For the coming year I am accountable for defined, measurable objectives.	36%	59%	0%	5%	0%
15 For the coming year my employees are accountable for defined, measurable objectives.	39%	39%	9%	13%	0%
16 I solicited my employees for their input in determining objectives/goals for this year.	39%	39%	9%	13%	0%
17 I have sufficient resources and tools to accomplish my objectives.	32%	55%	5%	4%	4%
18 My employees have sufficient resources and tools to accomplish their objectives.	35%	52%	4%	9%	0%
19 I work with my employees to identify barriers and obstacles and issues that could impact achievement of objectives.	61%	35%	4%	0%	0%



SUPERVISOR, MANAGER SURVEY RESULTS (CONTINUED)

Section III: Information and Communication

		Check one				
		Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
21	I encourage my employees to provide recommendations for improvements within my division .	65%	26%	5%	4%	0%
22	I am encouraged to provide recommendations for improvements within my department .	45%	36%	5%	14%	0%
23	I hold regular staff meetings with employees in my division and encourage their feedback.	39%	57%	4%	0%	0%
24	I communicate with managers in other departments so that my staff can effectively do their jobs.	39%	39%	4%	18%	0%
25	I communicate with managers in other divisions within my department so that my staff can effectively do their	52%	35%	4%	9%	0%
26	I have sufficient information to do my job.	32%	64%	4%	0%	0%
27	Information relevant to my job is provided to me on a timely basis.	26%	70%	4%	0%	0%
28	The department director over my division is informed and aware of my division's actual performance.	56%	35%	9%	0%	0%
29	A communication channel exists for me and my employees to report suspected improprieties.	52%	39%	5%	4%	0%
30	Employees who report suspected improprieties are protected from retaliation.	39%	43%	9%	9%	0%
31	If I report wrongdoing to my department director, I am confident that the wrongdoing will stop.	35%	43%	9%	13%	0%
32	My division adequately takes into account customer complaints and feedback.	61%	35%	4%	0%	0%

Section IV: Monitoring

		Check one				
		Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
33	Our information technology systems help me stay informed of my division's performance.	18%	48%	17%	17%	0%
34	Information reported to my department director reflects the actual results of operations in my division.	36%	41%	18%	5%	0%
35	External customer feedback and complaints are followed up on in a timely and effective manner.	59%	36%	5%	0%	0%
36	Internal customer feedback and complaints are followed up on in a timely and effective manner.	48%	43%	9%	0%	0%
37	I monitor the performance of my employees.	57%	39%	4%	0%	0%
38	I notify my employees when there are gaps in performance.	45%	50%	5%	0%	0%
39	I take corrective action or expect my employees to take corrective action when mistakes are made or gaps in	48%	48%	4%	0%	0%
40	I provide all of my employees with documented performance evaluations annually.	61%	30%	5%	4%	0%
41	My supervisor reviews my performance with me at appropriate intervals.	52%	48%	0%	0%	0%
42	I know what action to take if I become aware of unethical or fraudulent activity.	57%	39%	0%	4%	0%
43	Fraud/theft does not occur in my workplace.	35%	22%	35%	8%	0%
44	If you suspect fraud or theft in your workplace, have you reported it? (circle one)	Yes	No	N/A		
		43%	0%	57%		

GENERAL EMPLOYEE SURVEY RESULTS

2018 Risk Assessment Survey

12.9% Response Rate - General Employees

14.0% Response Rate - Overall City Employees

Section I: Control Environment

Check one				
Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree

My Division

1 City Commissioners exhibit high ethical standards.	9%	36%	45%	7%	3%
2 Charter Officials exhibit high ethical standards.	3%	34%	52%	9%	2%
3 Department Directors exhibit high ethical standards.	18%	42%	27%	8%	5%
4 Performance targets for Charter Officials are realistic and achievable.	3%	16%	76%	3%	2%
5 Performance targets for Department Directors are realistic and achievable.	3%	27%	64%	5%	1%

My Department

6 Charter Officials have the knowledge, skills and training to adequately perform their jobs.	8%	24%	61%	5%	2%
7 Department Directors have the knowledge, skills and training to adequately perform their jobs.	15%	46%	28%	6%	5%
8 Charter Officials have the ultimate responsibility over implementing controls and making sure they work.	9%	27%	59%	3%	2%

General

9 Employee who steal will be caught.	26%	50%	10%	8%	6%
10 Employees who steal and are discovered will be subject to consequences.	21%	34%	21%	17%	7%
11 Charter Officials are responsible for defined, measurable objectives.	4%	28%	56%	6%	6%

Section II: Risk Assessment

12 Department Directors are responsible for defined, measurable objectives.	10%	41%	41%	4%	4%
13 Staff members at various levels were solicited for their input.	3%	28%	41%	24%	4%
14 I have sufficient resources, tools and time to accomplish my objectives.	10%	58%	2%	23%	7%
15 In my division, we identify barriers and obstacles and issues that could impact achievement of objectives.	13%	62%	8%	10%	7%
16 In your opinion, what are the biggest issues facing the City of Sarasota?					

GENERAL EMPLOYEE SURVEY RESULTS (CONTINUED)

Section III: Information and Communication

						<i>Check one</i>				
						Strongly Agree	Agree	Don't Know	Disagree	Strongly Disagree
21	I encourage my employees to provide recommendations for improvements within my division .	65%	26%	5%	4%	0%				
22	I am encouraged to provide recommendations for improvements within my department .	45%	36%	5%	14%	0%				
23	I hold regular staff meetings with employees in my division and encourage their feedback.	39%	57%	4%	0%	0%				
24	I communicate with managers in other departments so that my staff can effectively do their jobs.	39%	39%	4%	18%	0%				
25	I communicate with managers in other divisions within my department so that my staff can effectively do their	52%	35%	4%	9%	0%				
26	I have sufficient information to do my job.	32%	64%	4%	0%	0%				
27	Information relevant to my job is provided to me on a timely basis.	26%	70%	4%	0%	0%				
28	The department director over my division is informed and aware of my division's actual performance.	56%	35%	9%	0%	0%				
29	A communication channel exists for me and my employees to report suspected improprieties.	52%	39%	5%	4%	0%				
30	Employees who report suspected improprieties are protected from retaliation.	39%	43%	9%	9%	0%				
31	If I report wrongdoing to my department director, I am confident that the wrongdoing will stop.	35%	43%	9%	13%	0%				
32	My division adequately takes into account customer complaints and feedback.	61%	35%	4%	0%	0%				

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%	48%	17%	17%	0%				
34	Information reported to my department director reflects the actual results of operations in my division.	36%	41%	18%	5%	0%				
35	External customer feedback and complaints are followed up on in a timely and effective manner.	59%	36%	5%	0%	0%				
36	Internal customer feedback and complaints are followed up on in a timely and effective manner.	48%	43%	9%	0%	0%				
37	I monitor the performance of my employees.	57%	39%	4%	0%	0%				
38	I notify my employees when there are gaps in performance.	45%	50%	5%	0%	0%				
39	I take corrective action or expect my employees to take corrective action when mistakes are made or gaps in	48%	48%	4%	0%	0%				
40	I provide all of my employees with documented performance evaluations annually.	61%	30%	5%	4%	0%				
41	My supervisor reviews my performance with me at appropriate intervals.	52%	48%	0%	0%	0%				
42	I know what action to take if I become aware of unethical or fraudulent activity.	57%	39%	0%	4%	0%				
43	Fraud/theft does not occur in my workplace.	35%	22%	35%	8%	0%				

44	If you suspect fraud or theft in your workplace, have you reported it? (circle one)	Yes	No	N/A
		43%	0%	57%

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 is the City of Sarasota's biggest risk?

- Missing out on hiring young professionals to other organizations.
- Unqualified Management.
- NA
- Lack of incorporating new policy/thoughts in the workforce – stagnant policy
- poor management
- Homeless population
- Rapid growth and influx of residences but not enough jobs to support such growth
- Preparation for solving conflicts in a timely manner
- Being over budget
- na
- safety
- not working cohesively
- Lazy Employees
- Too much increase in employment in the current economy, which may change, risking the loss of jobs
- Going Bankrupt
- unknown
- Pam Natalini
- No followup on opinions or suggestions
- building a homeless shelter in downtown
- Overdevelopment
- Losing good employees and supervisors due to poor working conditions and being underpaid
- Traffic Management
- Doing things only because that is how they have always been done.

- Stronger Policies/procedures need to be put in place, for certain department areas.
- Hacking of all systems.
- Home Rule is in jeopardy
- unpreparedness for emergencies
- Some Directors and their subordinate managers do not necessarily meet the ethical or skill set requirements needed to perform their jobs.
- Charter Officials, Management and HR Department sharing/telling others pertinent information.
- A city manager who isn't focused on the actual, pressing important issues to the City. A purchasing department what is fairly "young" in terms of experience level. City commissioners who constantly exhibit no regard for personal conflicts of interest when dealing with city business versus their own previous or prior business endeavors.
- Our pension plan-paying out too much to retirees
- Safety
- Not being objective enough. If you're well liked you can get by with a lot more than if you aren't. Regardless on your work ethic.
- Relying on outside consultants that have their own interest at heart and not what is best for the City or it's Citizens.
- Man power!!!
- None
- Thinking big picture. It's clear from the top that thinking big is encouraged. As you get down into the ranks, big picture ideas are not as important as day to day issues.
- Lack of leadership from the commissioners.
- Proper staffing.
- Length of time to accomplish projects results in missed opportunities and often cost more money. Employees are overburdened with task that are not their main field of expertise. Example writing RFP, acting as the web designer/maintainer, marketing, etc.
- Lack of staffing and office space
- We could be more efficient in solving day to day issues.
- Administrative management
- Workforce housing, Homelessness, Global Warming
- Probably cyber threat
- Employee burnout
- Homelessness
- Demand on infrastructure

