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GAO Survey on SEC Personnel and Human Capital Management

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Summary

View and print a summary of your responses.

Help

If you have any questions about this GAO survey, please contact:
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GAO Survey on SEC Personnel and Human Capital Management

U.S. Government Accountability Office

Introduction

The U.S. Government Accountability Office, an independent agency of Congress, has been mandated by the Dodd-Frank Act (Section 962) to study personnel management at the Securities and Exchange Commission (SEC), including issues related to human capital programs, workforce planning, performance management, and communication. As a part of our study, we are sending this questionnaire to attorneys, accountants, examiners, and financial economists in the Divisions of Corporation Finance, Enforcement, Investment Management, Trading and Markets, Division of Economic and Risk Analysis, and the Office of Compliance Inspections and Examinations to obtain their opinions about various aspects of working at the SEC. Your cooperation is critical to providing the Congress with complete and balanced information on how personnel management is functioning across these offices and divisions within the SEC. This questionnaire should take about 20 minutes to complete.

GAO pledges to maintain the confidentiality of the responses to this survey: we will not share individually identifiable information obtained from responses to this survey with SEC nor will we release any identifiable information outside of GAO, unless compelled by law or requested by the Congress. Our information protection protocols include destroying any link between the identification number assigned to your questionnaire and your identifying information before issuance of our report. The results of this questionnaire will be used to compile descriptive information on SEC's personnel management, and the results will be included in summary form in our final report. Individual answers may be discussed in the report, but we will not include any information that could be used to identify individual respondents.

All of the questions in this survey can be answered by clicking on radio buttons or providing comments in spaces provided at the end of each section. Please complete the questionnaire within 10 business days of receipt. This questionnaire is divided by topic into six sections:

- (1) Recruitment, Training, Staff Development, and Resources
- (2) Communication Between and Within SEC Divisions and Offices
- (3) Leadership and Management
- (4) Performance Management and Promotions
- (5) Organizational Culture and Climate
- (6) Demographics and Background Information; and
- (7) Final Comments.

Although your participation is voluntary, we urge you to complete this questionnaire. We cannot develop meaningful information without your frank and honest answers.

Thank you very much for your time.

To learn more about completing the survey, printing your responses, and whom to contact if you have questions, [click here for help](#).

Section 1 - Recruitment, Training, Staff Development, and Resources

Notes on terms used in Section 1:

(1) **Division/office:** For purposes of this survey, the phrase "division/office" refers to **your division or office** (such as OCIE or the Division of Corporation Finance in Headquarters or the Division of Enforcement or OCIE in a regional office).

(2) **Supervisors and managers:** For the purposes of this survey, the phrase "supervisors and managers" refers to those in supervisory or management positions **above your current level**. For non-supervisory staff, "supervisors and managers" refers to Exam Managers, Branch Chiefs, and Assistant Directors.

For Exam Managers, Branch Chiefs, and Assistant Directors, "supervisors" refers to those persons above you in the chain of command who are Assistant Directors or Associate Directors.

(3) **Management:** For purposes of this survey, "management" refers to Assistant Directors and those at the Senior Officer (SO) level including Directors, Deputy Directors, Managing Executives, and Associate Directors.

1. To what extent do you agree or disagree with the following statements on recruitment, hiring and retention? (*Select one response per item.*)

	Strongly agree	Somewhat agree	Neither agree nor disagree	Somewhat disagree	Strongly disagree	Do not know
a. My division/office is able to attract talented and qualified employees.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. My division/office retains its most talented and qualified employees.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Management usually hires employees who are a good fit for SEC's mission.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. When new people start in jobs in my division/office, they are given enough guidance and training.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Hiring is sometimes based more on personal connections than on substantive experience or qualifications.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. SEC's Office of Human Resources has the necessary expertise to assist in recruiting and hiring qualified employees.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

2. To what extent do you agree or disagree with the following statements on training and development opportunities? (*Select one response per item.*)

Please note: Some questions ask you to look back over the past three years. If you have worked at the SEC for less than three years, we ask that you look back over the period of time that you have worked at the SEC.

	Strongly agree	Somewhat agree	Neither agree nor disagree	Somewhat disagree	Strongly disagree	Do not know
a. SEC management is committed to the ongoing training and development of staff.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. SEC needs to invest more in the development of new staff.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. The training I have received over the past three years has provided me skills and experience to meet SEC's needs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Management in my division/office needs to do more to address skills gaps.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

3. For those training opportunities that you have been involved with over the past three years, to what extent, if at all, have the following types of training provided information and knowledge that is directly relevant to your work? (*Select one response per item.*)

	To a great extent	To a moderate extent	To a small extent	To no extent	No basis to judge	Do not know
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	To a great extent	To a moderate extent	To a small extent	To no extent	No basis to judge	Do not know
a. Training provided by the SEC University	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. External training or conferences	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Computer-based training delivered by Internet	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

4. Have there been opportunities over the past three years for you to participate in training that provided the latest industry specific knowledge relevant to your job with outside instructors who are experts in the field?

1. ☐ Yes
2. ☐ No
3. ☐ Do not know

5. In general, how adequate, is the number of training opportunities that provide the latest industry specific knowledge relevant to your job with outside instructors who are experts in the field?

1. ☐ More than adequate
2. ☐ Adequate
3. ☐ Less than adequate
4. ☐ Do not know

6. Over the past three years, how many times have you taken part in training that provided the latest industry specific knowledge relevant to your job that included outside instructors who are experts in the field?

1. ☐ Never
2. ☐ Once or twice
3. ☐ Three or more times
4. ☐ Do not know

7. If there are any other issues, details, or information concerning recruitment, training, staff development and resources that you would like us to know about, please use the space below to provide this information.

Section 2 - Communication Within and Between SEC Divisions and Offices

Notes on terms used in Section 2:

(1) **Division/office:** For purposes of this survey, the phrase "division/office" refers to **your division or office** (such as OCIE or the Division of Corporation Finance in Headquarters or the Division of Enforcement or OCIE in a regional office).

(2) **Supervisors and managers:** For the purposes of this survey, the phrase "supervisors and managers" refers to those in supervisory or management positions **above your current level**.

For non-supervisory staff, "supervisors and managers" refers to Exam Managers, Branch Chiefs, and Assistant Directors.

For Exam Managers, Branch Chiefs, and Assistant Directors, "supervisors and managers" refers to those persons above you in the chain of command who are Assistant Directors or Associate Directors.

(3) **Management:** For purposes of this survey, "management" refers to Assistant Directors and those at the Senior Officer (SO) level including Directors, Deputy Directors, Managing Executives, and Associate Directors.

8. To what extent do you agree or disagree with the following statements regarding communication within your division/office and between your division/office and other SEC offices and divisions? *(Select one response per item.)*

Please note: Some questions ask you to look back over the past three years. If you have worked at the SEC for less than three years, we ask that you look back over the period of time that you have worked at the SEC.

	Strongly agree	Somewhat agree	Neither agree nor disagree	Somewhat disagree	Strongly disagree	Do not know
a. Supervisors and managers ensure that employees are included in the flow of relevant information.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. My division/office supports open, two-way communication between staff and management.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Information is adequately shared across groups in my division/office.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Communication across groups in my division/office has improved over the past three years.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Overall, information and knowledge are shared openly at all levels within my division/office.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. In my division/office, communication between other offices and divisions (such as between OCIE and CorpFin) on work-related matters is encouraged.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

9. In the past 12 months, how often, if at all, did you typically contact employees in the following **Headquarters divisions or offices** for work-related issues such as to coordinate activities or ask for expert advice? *(Select one response per item. Select "Not Applicable" if you work in that division or office.)*

	Daily	One or more times a week	One or more times a month	One or more times in the past 12 months	Never	Do not know	Not applicable
a. OCIE	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Division of Enforcement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Division of Corporation Finance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Division of Investment Management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Division of Trading and Markets	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Daily	One or more times a week	One or more times a month	One or more times in the past 12 months	Never	Do not know	Not applicable
f. Division of Economic and Risk Analysis	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

10. In which location do you currently work?

- ☐ Headquarters (Washington, D.C.)
- ☐ A regional or district office

10a. In the past 12 months, how often, if at all, did you typically communicate with employees in the other division or office **within your Regional Office** for work-related issues such as to coordinate activities or ask for expert advice? *(Select one response per item. Select "Not Applicable" if you work in that Office or Division in your Regional Office.)*

	Daily	One or more times a week	One or more times a month	One or more times in the past 12 months	Never	Do not know	Not applicable
OCIE	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Division of Enforcement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

11. If there are any other issues, details, or information concerning communication between and within divisions and offices that you would like us to know about, please use the space below to provide this information.

Section 3 - Leadership and Management

Notes on terms used in Section 3:

(1) **Division/office:** For purposes of this survey, the phrase "division/office" refers to **your division or office** (such as OCIE or the Division of Corporation Finance in Headquarters or the Division of Enforcement or OCIE in a regional office).

(2) **Supervisors and managers:** For the purposes of this survey, the phrase "supervisors and managers" refers to those in supervisory or management positions **above your current level**. For non-supervisory staff, "supervisors and managers" refers to Exam Managers, Branch Chiefs, and Assistant Directors.

For Exam Managers, Branch Chiefs, and Assistant Directors, "supervisors" refers to those persons above you in the chain of command who are Assistant Directors or Associate Directors.

(3) **Management:** For purposes of this survey, "management" refers to Assistant Directors and those at the Senior Officer (SO) level including Directors, Deputy Directors, Managing Executives, and Associate Directors.

12. To what extent do you agree or disagree with the following statements regarding the quality of management and leadership in your division/office.
(Select one response per item.)

Please note: Some questions ask you to look back over the past three years. If you have worked at the SEC for less than three years, we ask that you look back over the period of time that you have worked at the SEC.

	Strongly agree	Somewhat agree	Neither agree nor disagree	Somewhat disagree	Strongly disagree	Do not know
a. In my division/office, the roles and responsibilities of supervisors and managers are clearly defined.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Supervisors and managers in my division/office are genuinely interested in the opinions of their staff.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Promotion to management is mostly based on technical skills.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Promotion to management is mostly based on the ability to manage people effectively.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Promotion to management is mostly based on connections that staff have with management.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. There is not much incentive to get promoted into a management position because the salary increase is minimal.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Over the past 3 years, I have seen SEC staff leave due to being dissatisfied with a supervisor or manager.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

13. Over the past three years, to what extent, if at all, have the **Senior Officers (SOs) in your division/office** worked to make improvements in the areas listed below? (Select one response per item.)

Please note: "Division/office" refers to **your division or office** (such as the Division of Corporation Finance in Headquarters or a Division of Enforcement in a regional office).

SOs worked to make improvements in...

	No basis to judge	To no extent	To a small extent	To a moderate extent	To a great extent	Do not know
a. Workforce morale	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Collaboration between divisions and offices	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Staff training focused on specific competencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Transparency in the promotion process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

14. Over the past three years, to what extent, if at all, has management solicited employees' ideas and suggestions in developing initiatives designed to improve communication and training

opportunities? (Select one response per item.)

Management solicited employees' ideas and suggestions in developing...

	Not aware of any such initiative	To a great extent	To a moderate extent	To a small extent	To no extent	Do not know
a. Initiatives designed to improve communication	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Initiatives designed to improve training opportunities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

15. Over the past three years, how satisfied have you been with initiatives management developed to improve communication, the performance management system, and training opportunities? (Select one response per item.)

	Not aware of any such initiative	Very satisfied	Somewhat satisfied	Somewhat dissatisfied	Very dissatisfied	Do not know
a. Initiatives designed to improve communication	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Initiatives designed to improve the performance management system	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Initiatives designed to improve training opportunities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

16. Are the **numbers of supervisors and managers** currently in your division/office more than is needed, less than is needed, or an appropriate amount given the current workload?

- ☐ More than needed
☐ An appropriate amount
☐ Less than needed
☐ Do not know

17. Are the **numbers of levels of supervision** currently in your division/office more than is needed, less than is needed, or an appropriate amount given the current workload?

- ☐ More than needed
☐ An appropriate amount
☐ Less than needed
☐ Do not know

Your direct supervisor is the next person above you in the chain of command to whom you report. It is the person who more often than anyone else directs your work on a day-to-day basis or who has the authority to direct your work, assign tasks, or reward, promote and discipline you.

NOTE ON CONFIDENTIALITY: Please note that your responses will be kept confidential. GAO will not release individually identifiable information and will only present results at a highly aggregated level.

18. What is your current, direct supervisor's position or title?

- ☐ Branch Chief
☐ Exam Manager
☐ Assistant Director
☐ Associate Director
☐ Other

Please specify the "other" direct supervisor's position or title:

19. To what extent do you agree or disagree with the following statements regarding your current

direct supervisor? (Select one response per item. Please note that your responses will be kept confidential.)

My direct supervisor ...

	Strongly agree	Somewhat agree	Neither agree nor disagree	Somewhat disagree	Strongly disagree	Do not know
a. Is knowledgeable in the issue areas I conduct my work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Has the skills and expertise to be an effective supervisor or manager.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Does a good job in sharing information.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Clearly defines goals and expectations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Provides useful and constructive feedback.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Will listen to me if we have differing ideas or approaches.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Is willing to change his or her position when there is compelling information.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Gives me the flexibility I need to do my job effectively.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Spends too much time closely monitoring my work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

20. If there are any other issues, details, or information concerning leadership and management at SEC that you would like us to know about, please use the space below to provide this information.

Section 4 - Performance Management and Promotions

Notes on terms used in Section 4:

(1) **Supervisors and managers:** For the purposes of this survey, the phrase "supervisors and managers" refers to those in supervisory or management positions **above your current level**.

For non-supervisory staff, "supervisors and managers" refers to Exam Managers, Branch Chiefs, and Assistant Directors.

For Exam Managers, Branch Chiefs, and Assistant Directors, "supervisors and managers" refers to those persons above you in the chain of command who are Assistant Directors or Associate Directors.

(2) **Management:** For purposes of this survey, "management" refers to Assistant Directors and those at the Senior Officer (SO) level including Directors, Deputy Directors, Managing Executives, and Associate Directors.

21. To what extent do you agree or disagree with the following statements regarding how SEC management recognizes and rewards performance in your division/office? (*Select one response per item.*)

	Strongly agree	Somewhat agree	Neither agree nor disagree	Somewhat disagree	Strongly disagree	Do not know
a. Overall, Senior Officers deal effectively with poor performing supervisors and managers.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Overall, supervisors and managers deal effectively with poor performing staff.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. I know what is expected of me regarding my work performance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. My direct supervisor provides sufficient performance feedback.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. The criteria for rewarding staff are clearly defined.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. The criteria for promoting staff are clearly defined.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Strongly agree	Somewhat agree	Neither agree nor disagree	Somewhat disagree	Strongly disagree	Do not know
g. The opportunities in my division/office to get promoted into a management position are limited.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Favoritism is typically not an issue in promotions.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Promotions go to those who most deserve it.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j. There is a clear link between my performance and recognition of it.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k. Current performance incentives are effective tools to motivate employees to perform well.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

22. To what extent do you agree or disagree with the following statements regarding SEC's current performance management system? (*Select one response per item.*)

	Strongly agree	Somewhat agree	Neither agree nor disagree	Somewhat disagree	Strongly disagree	Do not know
a. SEC's performance management system uses relevant criteria to evaluate my performance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. SEC's performance management system allows supervisors and managers to have a meaningful discussion with their staff on how they are performing.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. SEC's performance management system provides consistent standards for rewarding performance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Strongly agree	Somewhat agree	Neither agree nor disagree	Somewhat disagree	Strongly disagree	Do not know
d. Changes need to be made to increase transparency in the process used to rate my performance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Calibration of performance ratings by management improves fairness in the performance management system.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Employee performance appraisals are fair and appropriate under SEC's performance management system.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

23. If there are any other issues, details, or information concerning performance management and promotions at SEC that you would like us to know about, please use the space below to provide this information.

Section 5 - Organizational Culture and Climate

Notes on terms used in Section 5:

(1) **Division/office:** For purposes of this survey, the phrase "division/office" refers to **your division or office** (such as OCIE or the Division of Corporation Finance in Headquarters or the Division of Enforcement or OCIE in a regional office).

(2) **Supervisors and managers:** For the purposes of this survey, the phrase "supervisors and managers" refers to those in supervisory or management positions **above your current level**.

For non-supervisory staff, "supervisors and managers" refers to Exam Managers, Branch Chiefs, and Assistant Directors.

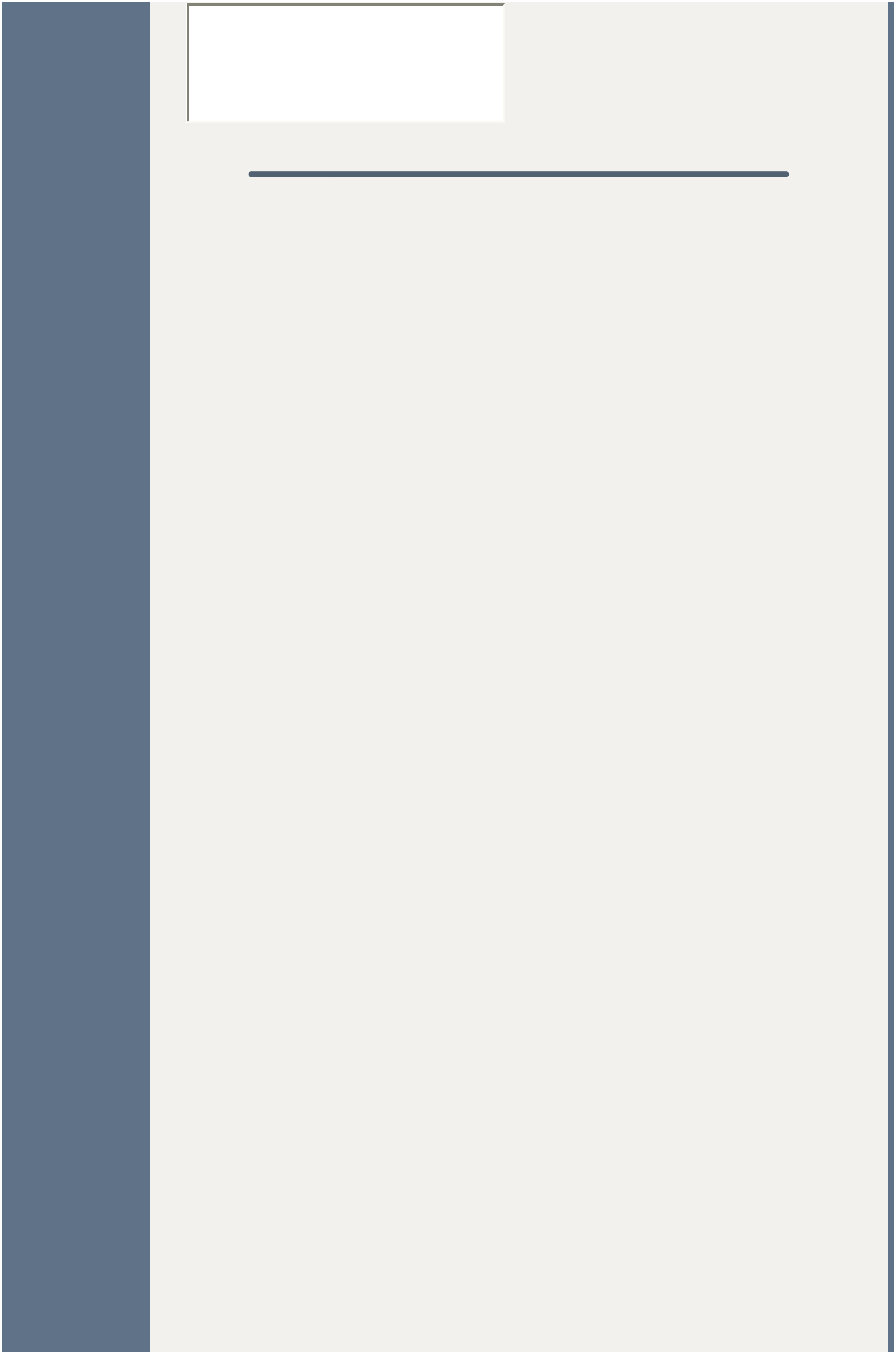
For Exam Managers, Branch Chiefs, and Assistant Directors, "supervisors and managers" refers to those persons above you in the chain of command who are Assistant Directors or Associate Directors.

Please note that "division/office" refers to your division or office (such as the Division of Corporation Finance in the Headquarters or a Division of Enforcement in a regional office).

24. To what extent do you agree or disagree with the following statements regarding different aspects of organizational culture and climate within your division/office? (*Select one response per item.*)

	Strongly agree	Somewhat agree	Neither agree nor disagree	Somewhat disagree	Strongly disagree	Do not know
a. There is an atmosphere of trust in my division/office.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Employee morale is generally high most of the time.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. I have a voice in decisions that affect me and my work environment.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Management in my division/office has taken steps to improve employee morale.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Supervisors and managers in my division/office tolerate honest mistakes as learning experiences.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Strongly agree	Somewhat agree	Neither agree nor disagree	Somewhat disagree	Strongly disagree	Do not know
f. Protecting investors is sometimes hampered by staff or managers who view firms as places they can potentially work at in the future.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. There are clearly defined policies and procedures for doing my work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Innovative ideas are encouraged in my division/office.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Fear of public scandals has made SEC overly cautious and risk-averse.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j. In my view, the fear of being wrong makes supervisors and managers in my division/office reluctant to take a stand on important issues.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k. In my view, the fear of being wrong makes Senior Officers in my division/office reluctant to take a stand on important issues.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

25. If there are any other issues, details, or information concerning the organizational culture or climate at the SEC or in your division/office that you would like us to know about, please use the space below to provide this information.



Section 6 - Demographic and Background Information

26. In which SEC division or office do you currently work?

- ☐ Division of Enforcement
- ☐ Division of Corporation Finance
- ☐ Division of Investment Management
- ☐ Division of Trading and Markets
- ☐ Division of Economic and Risk Analysis
- ☐ Office of Compliance Inspections and Examinations
- ☐ Other

Please specify the "other" division or office where you currently work:

27. If you currently work in the Division of Enforcement, do you work for a specialized unit?

- ☐ Yes
- ☐ No
- ☐ I do not work in the Division of Enforcement

28. In which location or regional office do you work?

- ☐ Washington, D.C. (Headquarters)
- ☐ Atlanta
- ☐ Boston
- ☐ Chicago
- ☐ Denver
- ☐ Fort Worth
- ☐ Los Angeles
- ☐ Miami
- ☐ New York
- ☐ Philadelphia
- ☐ Salt Lake
- ☐ San Francisco

29. Which of the following best describes your position?

- ☐ Accountant
- ☐ Attorney
- ☐ Examiner
- ☐ Financial Economist
- ☐ Branch Chief
- ☐ Exam Manager
- ☐ Assistant Director
- ☐ Other

Please specify your position:

30. What is your current level or grade?

- ☐ SK-12
- ☐ SK-13
- ☐ SK-14
- ☐ SK-15
- ☐ SK-16
- ☐ SK-17

31. How long have you worked for the SEC (please include total years of service with SEC if you left SEC and came back again)?

- ☐ Less than 1 year
- ☐ 1 to less than 2 years

- ☐ 2 to less than 3 years
- ☐ 3 to less than 5 years
- ☐ 5 to less than 10 years
- ☐ 10 to less than 15 years
- ☐ 15 to less than 20 years
- ☐ More than 20 years

32. How many years did you work outside of SEC, but in a position related to the type of work SEC conducts or that dealt with issues SEC covers?

- ☐ No related outside employment
 - ☐ Less than 1 year
 - ☐ 1 to less than 2 years
 - ☐ 2 to less than 3 years
 - ☐ 3 to less than 5 years
 - ☐ 5 to less than 10 years
 - ☐ 10 to less than 15 years
 - ☐ 15 to less than 20 years
 - ☐ More than 20 years
-

Section 7 - Comments and Final Response Submission

33. Please use the space below to provide any additional information about SEC's human capital programs, workforce planning, performance management, and communication that you would like us to know about.

34. **Are you ready to submit your final completed survey to GAO?**

(This is equivalent to mailing a completed paper survey to us. It tells us that your answers are official and final.)

- ☐ Yes, my survey is complete - To submit your final responses, please click on "Exit" below.
- ☒ No, my survey is not yet complete - To save your responses for later, please click on "Exit" below.

You may view and print your completed survey by clicking on the Summary link in the menu to the left.

Thank you very much for your assistance.

Print

Exit
