

MISSION CRITICAL LOCATION ANALYSIS

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Please note: An asterisk indicates that the number of responses in a category were less than 6; they are not reported in order to minimize the risk of identifying individual respondents. As a result, the total respondents may vary per figure.

Q1A. My division/office is able to attract talented and qualified employees.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	405	47.26	344	40.14	44	5.13	38	4.43	15	1.75	11	1.28	857	100.00
Regional Offices	497	53.38	331	35.55	45	4.83	32	3.44	13	1.40	13	1.40	931	100.00

Q1B. My division/office retains its most talented and qualified employees.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	151	17.64	342	39.95	130	15.19	146	17.06	64	7.48	23	2.69	856	100.00
Regional Offices	196	21.10	443	47.69	105	11.30	114	12.27	42	4.52	29	3.12	929	100.00

Q1C. Management usually hires employees who are a good fit for SEC's mission.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	236	27.76	392	46.12	101	11.88	80	9.41	21	2.47	20	2.35	850	100.00
Regional Offices	275	29.70	416	44.92	104	11.23	84	9.07	26	2.81	21	2.27	926	100.00

Q1D. When new people start in jobs in my division/office, they are given enough guidance and training.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	141	16.53	339	39.74	121	14.19	159	18.64	62	7.27	31	3.63	853	100.00
Regional Offices	140	15.12	320	34.56	156	16.85	179	19.33	81	8.75	50	5.40	926	100.00

Q1E. Hiring is sometimes based more on personal connections than on substantive experience or qualifications.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	93	10.89	155	18.15	149	17.45	169	19.79	191	22.37	97	11.36	854	100.00
Regional Offices	78	8.42	130	14.04	159	17.17	204	22.03	261	28.19	94	10.15	926	100.00

Q1F. SEC's Office of Human Resources has the necessary expertise to assist in recruiting and hiring qualified employees.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	23	2.69	106	12.38	160	18.69	175	20.44	190	22.20	202	23.60	856	100.00
Regional Offices	24	2.59	94	10.14	171	18.45	197	21.25	198	21.36	243	26.21	927	100.00

Q2A. SEC management is committed to the ongoing training and development of staff.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	305	35.80	386	45.31	72	8.45	57	6.69	32	3.76	*	*	852	100.00
Regional Offices	280	30.17	411	44.29	101	10.88	93	10.02	35	3.77	8	0.86	928	100.00

Q2B. SEC needs to invest more in the development of new staff.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	178	20.87	321	37.63	207	24.27	84	9.85	39	4.57	24	2.81	853	100.00
Regional Offices	237	25.51	346	37.24	216	23.25	70	7.53	24	2.58	36	3.88	929	100.00

Q2C. The training I have received over the past three years has provided me skills and experience to meet SEC's needs.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	210	24.62	415	48.65	130	15.24	57	6.68	29	3.40	12	1.41	853	100.00
Regional Offices	187	20.19	415	44.82	182	19.65	92	9.94	39	4.21	11	1.19	926	100.00

Q2D. Management in my division/office needs to do more to address skills gaps.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	100	11.74	247	28.99	270	31.69	154	18.08	54	6.34	27	3.17	852	100.00
Regional Offices	137	14.79	277	29.91	288	31.10	139	15.01	40	4.32	45	4.86	926	100.00

To what extent, if at all, has the following type of training provided information and knowledge that is directly relevant to your work?

Q3A. Training provided by the SEC University	To a great extent		To a moderate extent		To a small extent		To no extent		No basis to judge		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	219	25.61	353	41.29	188	21.99	44	5.15	38	4.44	13	1.52	855	100.00
Regional Offices	193	20.84	424	45.79	188	20.30	38	4.10	65	7.02	18	1.94	926	100.00

To what extent, if at all, has the following type of training provided information and knowledge that is directly relevant to your work?

Q3B. External training or conferences	To a great extent		To a moderate extent		To a small extent		To no extent		No basis to judge		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	194	22.77	264	30.99	129	15.14	75	8.80	165	19.37	25	2.93	852	100.00
Regional Offices	156	16.94	318	34.53	182	19.76	76	8.25	157	17.05	32	3.47	921	100.00

To what extent, if at all, has the following type of training provided information and knowledge that is directly relevant to your work?

Q3C. Computer-based training delivered by Internet	To a great extent		To a moderate extent		To a small extent		To no extent		No basis to judge		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	111	13.09	310	36.56	249	29.36	79	9.32	84	9.91	15	1.77	848	100.00
Regional Offices	101	10.99	377	41.02	273	29.71	71	7.73	71	7.73	26	2.83	919	100.00

Q4. 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?								
	Yes		No		Do not know		Total	
	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	650	76.02	139	16.26	66	7.72	855	100.00
Regional Offices	735	79.29	120	12.94	72	7.77	927	100.00

Q5. 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?	More than adequate		Adequate		Less than adequate		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	158	18.52	375	43.96	246	28.84	74	8.68	853	100.00
Regional Offices	138	14.92	447	48.32	264	28.54	76	8.22	925	100.00

Q6. 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?	Never		Once or twice		Three or more times		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	98	11.45	389	45.44	334	39.02	35	4.09	856	100.00
Regional Offices	83	8.92	399	42.90	392	42.15	56	6.02	930	100.00

Q8A. Supervisors and managers ensure that employees are included in the flow of relevant information.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	145	17.08	351	41.34	95	11.19	163	19.20	95	11.19	*	*	849	100.00
Regional Offices	179	19.27	413	44.46	99	10.66	152	16.36	74	7.97	12	1.29	929	100.00

Q8B. My division/office supports open, two-way communication between staff and management.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	199	23.38	304	35.72	102	11.99	130	15.28	116	13.63	*	*	851	100.00
Regional Offices	262	28.23	346	37.28	113	12.18	116	12.50	81	8.73	10	1.08	928	100.00

Q8C. Information is adequately shared across groups in my division/office.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	95	11.16	274	32.20	131	15.39	211	24.79	124	14.57	16	1.88	851	100.00
Regional Offices	137	14.81	355	38.38	136	14.70	178	19.24	92	9.95	27	2.92	925	100.00

Q8D. Communication across groups in my division/office has improved over the past three years.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	131	15.30	224	26.17	204	23.83	98	11.45	107	12.50	92	10.75	856	100.00
Regional Offices	152	16.41	266	28.73	221	23.87	106	11.45	82	8.86	99	10.69	926	100.00

Q8E. Overall, information and knowledge are shared openly at all levels within my division/office.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	86	10.13	246	28.98	139	16.37	202	23.79	152	17.90	24	2.83	849	100.00
Regional Offices	129	14.01	302	32.79	161	17.48	187	20.30	106	11.51	36	3.91	921	100.00

Q8F. In my division/office, communication between other offices and divisions (such as between OCIE and CorpFin) on work-related matters is encouraged.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	214	25.21	303	35.69	141	16.61	95	11.19	73	8.60	23	2.71	849	100.00
Regional Offices	251	27.19	360	39.00	153	16.58	74	8.02	46	4.98	39	4.23	923	100.00

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?

Q9A. OCIE	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		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	31	3.68	36	4.27	117	13.88	254	30.13	330	39.15	11	1.30	64	7.59	843	100.00
Regional Offices	26	2.81	50	5.41	139	15.03	395	42.70	225	24.32	17	1.84	73	7.89	925	100.00

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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?

Q9B. Division of Enforcement	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		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	107	12.68	52	6.16	124	14.69	318	37.68	148	17.54	*	*	95	11.26	844	100.00
Regional Offices	76	8.32	57	6.24	148	16.21	342	37.46	171	18.73	12	1.31	107	11.72	913	100.00

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?

Q9C. Division of Corporation Finance	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		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	104	12.40	39	4.65	121	14.42	282	33.61	161	19.19	*	*	132	15.73	839	100.00
Regional Offices	*	*	*	*	60	6.58	381	41.78	420	46.05	20	2.19	31	3.40	912	100.00

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?

Q9D. Division of Investment Management	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		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	37	4.39	32	3.80	90	10.68	268	31.79	337	39.98	*	*	79	9.37	843	100.00
Regional Offices	*	*	9	0.98	87	9.51	444	48.52	332	36.28	13	1.42	30	3.28	915	100.00

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?

Q9E. Division of Trading and Markets	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		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	61	7.15	47	5.51	106	12.43	267	31.30	300	35.17	6	0.70	66	7.74	853	100.00
Regional Offices	*	*	16	1.75	72	7.86	418	45.63	359	39.19	20	2.18	31	3.38	916	100.00

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?

Q9F. Division of Economic and Risk Analysis	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		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	32	3.76	47	5.52	125	14.69	262	30.79	341	40.07	8	0.94	36	4.23	851	100.00
Regional Offices	8	0.87	12	1.31	66	7.20	341	37.19	430	46.89	26	2.84	34	3.71	917	100.00

Q10. In which location do you currently work?	Headquarters (Washington, D.C.)		A regional or district office		Total	
	#	%	#	%	#	%
Washington, D.C. (Headquarters)	850	100.00	*	*	850	100.00
Regional Offices	*	*	923	100.00	923	100.00

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 workrelated issues such as to coordinate activities or ask for expert advice?

Q10AU1. OCIE	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		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*
Regional Offices	109	12.08	80	8.87	185	20.51	288	31.93	111	12.31	12	1.33	117	12.97	902	100.00

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 workrelated issues such as to coordinate activities or ask for expert advice?

Q10AU2. Division of Enforcement	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		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*
Regional Offices	160	17.72	62	6.87	132	14.62	260	28.79	81	8.97	10	1.11	198	21.93	903	100.00

Q12A. In my division/office, the roles and responsibilities of supervisors and managers are clearly defined.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	237	27.72	351	41.05	94	10.99	93	10.88	47	5.50	33	3.86	855	100.00
Regional Offices	201	21.66	371	39.98	106	11.42	155	16.70	77	8.30	18	1.94	928	100.00

Q12B. Supervisors and managers in my division/office are genuinely interested in the opinions of their staff.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	251	29.32	301	35.16	88	10.28	132	15.42	75	8.76	9	1.05	856	100.00
Regional Offices	276	29.81	350	37.80	95	10.26	115	12.42	84	9.07	6	0.65	926	100.00

Q12C. Promotion to management is mostly based on technical skills.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	49	5.74	185	21.66	140	16.39	174	20.37	171	20.02	135	15.81	854	100.00
Regional Offices	45	4.84	216	23.25	180	19.38	178	19.16	168	18.08	142	15.29	929	100.00

Q12D. Promotion to management is mostly based on the ability to manage people effectively.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	34	3.98	124	14.52	143	16.74	186	21.78	238	27.87	129	15.11	854	100.00
Regional Offices	28	3.03	191	20.65	155	16.76	182	19.68	233	25.19	136	14.70	925	100.00

Q12E. Promotion to management is mostly based on connections that staff have with management.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	190	22.20	241	28.15	148	17.29	74	8.64	56	6.54	147	17.17	856	100.00
Regional Offices	169	18.29	232	25.11	176	19.05	97	10.50	98	10.61	152	16.45	924	100.00

Q12F. There is not much incentive to get promoted into a management position because the salary increase is minimal.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	206	24.12	216	25.29	150	17.56	112	13.11	85	9.95	85	9.95	854	100.00
Regional Offices	198	21.34	263	28.34	159	17.13	138	14.87	94	10.13	76	8.19	928	100.00

Q12G. Over the past 3 years, I have seen SEC staff leave due to being dissatisfied with a supervisor or manager.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	252	29.47	218	25.50	96	11.23	59	6.90	85	9.94	145	16.96	855	100.00
Regional Offices	215	23.17	185	19.94	106	11.42	94	10.13	117	12.61	211	22.74	928	100.00

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 area listed below?

Q13A. Workforce morale	To a great extent		To a moderate extent		To a small extent		To no extent		No basis to judge		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	146	17.12	244	28.60	234	27.43	136	15.94	45	5.28	48	5.63	853	100.00
Regional Offices	191	20.56	258	27.77	225	24.22	150	16.15	61	6.57	44	4.74	929	100.00

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 area listed below?

Q13B. Collaboration between divisions and offices	To a great extent		To a moderate extent		To a small extent		To no extent		No basis to judge		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	102	11.97	196	23.00	189	22.18	169	19.84	85	9.98	111	13.03	852	100.00
Regional Offices	157	16.97	269	29.08	193	20.86	118	12.76	105	11.35	83	8.97	925	100.00

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 area listed below?

Q13C. Staff training focused on specific competencies	To a great extent		To a moderate extent		To a small extent		To no extent		No basis to judge		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	182	21.39	280	32.90	181	21.27	94	11.05	56	6.58	58	6.82	851	100.00
Regional Offices	123	13.33	296	32.07	234	25.35	118	12.78	81	8.78	71	7.69	923	100.00

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 area listed below?

Q13D. Transparency in the promotion process	To a great extent		To a moderate extent		To a small extent		To no extent		No basis to judge		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	31	3.65	68	8.00	122	14.35	405	47.65	111	13.06	113	13.29	850	100.00
Regional Offices	63	6.78	123	13.24	154	16.58	356	38.32	119	12.81	114	12.27	929	100.00

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?

Q14A. Initiatives designed to improve communication	Not aware of any such initiative		To a great extent		To a moderate extent		To a small extent		To no extent		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	127	14.92	123	14.45	211	24.79	179	21.03	138	16.22	73	8.58	851	100.00
Regional Offices	138	14.97	145	15.73	253	27.44	180	19.52	115	12.47	91	9.87	922	100.00

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?

Q14B. Initiatives designed to improve training opportunities	Not aware of any such initiative		To a great extent		To a moderate extent		To a small extent		To no extent		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	69	8.14	228	26.89	263	31.01	165	19.46	61	7.19	62	7.31	848	100.00
Regional Offices	89	9.66	165	17.92	304	33.01	190	20.63	77	8.36	96	10.42	921	100.00

Over the past three years, how satisfied have you been with initiatives management developed to improve communication, the performance management system, and training opportunities?

Q15A. Initiatives designed to improve communication	Not aware of any such initiative		Very satisfied		Somewhat satisfied		Somewhat dissatisfied		Very dissatisfied		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	179	21.01	99	11.62	283	33.22	124	14.55	89	10.45	78	9.15	852	100.00
Regional Offices	191	20.72	109	11.82	327	35.47	117	12.69	87	9.44	91	9.87	922	100.00

Over the past three years, how satisfied have you been with initiatives management developed to improve communication, the performance management system, and training opportunities?

Q15B. Initiatives designed to improve the performance management system	Not aware of any such initiative		Very satisfied		Somewhat satisfied		Somewhat dissatisfied		Very dissatisfied		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	180	21.20	51	6.01	138	16.25	159	18.73	217	25.56	104	12.25	849	100.00
Regional Offices	185	20.11	48	5.22	180	19.57	171	18.59	204	22.17	132	14.35	920	100.00

Over the past three years, how satisfied have you been with initiatives management developed to improve communication, the performance management system, and training opportunities?

Q15C. Initiatives designed to improve training opportunities	Not aware of any such initiative		Very satisfied		Somewhat satisfied		Somewhat dissatisfied		Very dissatisfied		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	92	11.02	209	25.03	343	41.08	86	10.30	38	4.55	67	8.02	835	100.00
Regional Offices	133	14.50	143	15.59	380	41.44	99	10.80	64	6.98	98	10.69	917	100.00

Q16. 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		Total	
	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	143	16.76	479	56.15	148	17.35	83	9.73	853	100.00
Regional Offices	160	17.41	478	52.01	199	21.65	82	8.92	919	100.00

Q17. 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		Total	
	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	172	20.19	530	62.21	75	8.80	75	8.80	852	100.00
Regional Offices	177	19.18	588	63.71	90	9.75	68	7.37	923	100.00

Q18. What is your current, direct supervisor's position or title?	Branch Chief		Exam Manager		Assistant Director		Associate Director		Other		Total	
	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	256	30.05	11	1.29	352	41.31	112	13.15	121	14.20	852	100.00
Regional Offices	25	2.71	111	12.01	601	65.04	124	13.42	63	6.82	924	100.00

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

Q19A. Is knowledgeable in the issue areas I conduct my work.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	560	65.96	199	23.44	37	4.36	31	3.65	22	2.59	*	*	849	100.00
Regional Offices	549	59.42	239	25.87	35	3.79	44	4.76	46	4.98	11	1.19	924	100.00

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

Q19B. Has the skills and expertise to be an effective supervisor or manager.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	463	54.15	213	24.91	49	5.73	70	8.19	52	6.08	8	0.94	855	100.00
Regional Offices	484	52.16	243	26.19	45	4.85	67	7.22	73	7.87	16	1.72	928	100.00

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

Q19C. Does a good job in sharing information.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	405	47.42	234	27.40	70	8.20	81	9.48	55	6.44	9	1.05	854	100.00
Regional Offices	421	45.46	252	27.21	88	9.50	82	8.86	68	7.34	15	1.62	926	100.00

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

Q19D. Clearly defines goals and expectations.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	356	41.74	245	28.72	91	10.67	87	10.20	64	7.50	10	1.17	853	100.00
Regional Offices	365	39.50	267	28.90	111	12.01	97	10.50	69	7.47	15	1.62	924	100.00

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

Q19E. Provides useful and constructive feedback.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	360	42.35	239	28.12	92	10.82	81	9.53	63	7.41	15	1.76	850	100.00
Regional Offices	378	40.82	261	28.19	103	11.12	79	8.53	85	9.18	20	2.16	926	100.00

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

Q19F. Will listen to me if we have differing ideas or approaches.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	510	59.86	193	22.65	49	5.75	44	5.16	46	5.40	10	1.17	852	100.00
Regional Offices	525	56.70	213	23.00	47	5.08	58	6.26	64	6.91	19	2.05	926	100.00

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

Q19G. Is willing to change his or her position when there is compelling information.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	446	52.35	234	27.46	55	6.46	49	5.75	36	4.23	32	3.76	852	100.00
Regional Offices	446	48.32	259	28.06	65	7.04	55	5.96	59	6.39	39	4.23	923	100.00

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

Q19H. Gives me the flexibility I need to do my job effectively.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	560	66.51	182	21.62	47	5.58	31	3.68	22	2.61	*	*	842	100.00
Regional Offices	588	64.19	204	22.27	46	5.02	26	2.84	39	4.26	13	1.42	916	100.00

To what extent do you agree or disagree with the following statement regarding your current direct supervisor?

Q19I. Spends too much time closely monitoring my work.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	41	4.82	53	6.23	99	11.63	158	18.57	487	57.23	13	1.53	851	100.00
Regional Offices	47	5.09	57	6.17	129	13.96	195	21.10	476	51.52	20	2.16	924	100.00

Q21A. Overall, Senior Officers deal effectively with poor performing supervisors and managers.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	20	2.34	62	7.25	106	12.40	170	19.88	226	26.43	271	31.70	855	100.00
Regional Offices	29	3.11	107	11.49	125	13.43	194	20.84	235	25.24	241	25.89	931	100.00

Q21B. Overall, supervisors and managers deal effectively with poor performing staff.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	23	2.70	101	11.85	125	14.67	206	24.18	162	19.01	235	27.58	852	100.00
Regional Offices	25	2.70	122	13.16	161	17.37	235	25.35	197	21.25	187	20.17	927	100.00

Q21C. I know what is expected of me regarding my work performance.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	342	40.05	331	38.76	78	9.13	70	8.20	27	3.16	6	0.70	854	100.00
Regional Offices	342	37.01	397	42.97	81	8.77	72	7.79	32	3.46	*	*	924	100.00

Q21D. My direct supervisor provides sufficient performance feedback.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	321	37.76	296	34.82	85	10.00	95	11.18	40	4.71	13	1.53	850	100.00
Regional Offices	335	36.18	335	36.18	100	10.80	84	9.07	56	6.05	16	1.73	926	100.00

Q21E. The criteria for rewarding staff are clearly defined.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	67	7.86	145	17.02	137	16.08	228	26.76	241	28.29	34	3.99	852	100.00
Regional Offices	76	8.19	211	22.74	160	17.24	226	24.35	213	22.95	42	4.53	928	100.00

Q21F. The criteria for promoting staff are clearly defined.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	35	4.10	105	12.31	129	15.12	202	23.68	317	37.16	65	7.62	853	100.00
Regional Offices	55	5.93	154	16.61	147	15.86	212	22.87	279	30.10	80	8.63	927	100.00

Q21G. The opportunities in my division/office to get promoted into a management position are limited.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	420	49.35	247	29.02	70	8.23	60	7.05	20	2.35	34	4.00	851	100.00
Regional Offices	481	52.00	268	28.97	69	7.46	56	6.05	14	1.51	37	4.00	925	100.00

Q21H. Favoritism is typically not an issue in promotions.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	78	9.15	105	12.32	129	15.14	155	18.19	216	25.35	169	19.84	852	100.00
Regional Offices	128	13.82	138	14.90	140	15.12	165	17.82	193	20.84	162	17.49	926	100.00

Q21I. Promotions go to those who most deserve it.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	85	10.04	147	17.36	143	16.88	151	17.83	176	20.78	145	17.12	847	100.00
Regional Offices	103	11.15	204	22.08	150	16.23	170	18.40	165	17.86	132	14.29	924	100.00

Q21J. There is a clear link between my performance and recognition of it.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	120	14.08	268	31.46	136	15.96	148	17.37	135	15.85	45	5.28	852	100.00
Regional Offices	145	15.66	301	32.51	167	18.03	151	16.31	123	13.28	39	4.21	926	100.00

Q21K. Current performance incentives are effective tools to motivate employees to perform well.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	29	3.41	145	17.06	141	16.59	212	24.94	276	32.47	47	5.53	850	100.00
Regional Offices	43	4.66	149	16.14	165	17.88	232	25.14	283	30.66	51	5.53	923	100.00

Q22A. SEC's performance management system uses relevant criteria to evaluate my performance.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	56	6.55	311	36.37	143	16.73	169	19.77	151	17.66	25	2.92	855	100.00
Regional Offices	63	6.80	341	36.79	180	19.42	174	18.77	135	14.56	34	3.67	927	100.00

Q22B. SEC's performance management system allows supervisors and managers to have a meaningful discussion with their staff on how they are performing.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	83	9.71	271	31.70	159	18.60	162	18.95	143	16.73	37	4.33	855	100.00
Regional Offices	70	7.53	328	35.27	195	20.97	169	18.17	134	14.41	34	3.66	930	100.00

Q22C. SEC's performance management system provides consistent standards for rewarding performance.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	32	3.75	174	20.40	165	19.34	208	24.38	217	25.44	57	6.68	853	100.00
Regional Offices	44	4.75	205	22.14	225	24.30	209	22.57	186	20.09	57	6.16	926	100.00

Q22D Changes need to be made to increase transparency in the process used to rate my performance.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	179	21.08	223	26.27	223	26.27	137	16.14	39	4.59	48	5.65	849	100.00
Regional Offices	199	21.44	243	26.19	266	28.66	127	13.69	39	4.20	54	5.82	928	100.00

Q22E. Calibration of performance ratings by management improves fairness in the performance management system.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	40	4.69	145	17.00	180	21.10	117	13.72	156	18.29	215	25.21	853	100.00
Regional Offices	49	5.29	171	18.47	209	22.57	139	15.01	147	15.87	211	22.79	926	100.00

Q22F. Employee performance appraisals are fair and appropriate under SEC's performance management system.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	47	5.53	203	23.88	219	25.76	128	15.06	143	16.82	110	12.94	850	100.00
Regional Offices	62	6.68	235	25.32	244	26.29	141	15.19	137	14.76	109	11.75	928	100.00

Q24A. There is an atmosphere of trust in my division/office.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	169	19.95	327	38.61	111	13.11	138	16.29	102	12.04	*	*	847	100.00
Regional Offices	171	18.39	326	35.05	111	11.94	168	18.06	140	15.05	14	1.51	930	100.00

Q24B. Employee morale is generally high most of the time.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	92	10.81	291	34.20	154	18.10	172	20.21	128	15.04	14	1.65	851	100.00
Regional Offices	106	11.42	290	31.25	157	16.92	182	19.61	180	19.40	13	1.40	928	100.00

Q24C. I have a voice in decisions that affect me and my work environment.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	135	15.85	302	35.45	145	17.02	139	16.31	123	14.44	8	0.94	852	100.00
Regional Offices	158	17.04	354	38.19	142	15.32	159	17.15	104	11.22	10	1.08	927	100.00

Q24D. Management in my division/office has taken steps to improve employee morale.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	160	18.71	296	34.62	135	15.79	104	12.16	108	12.63	52	6.08	855	100.00
Regional Offices	163	17.60	316	34.13	156	16.85	119	12.85	115	12.42	57	6.16	926	100.00

Q24E. Supervisors and managers in my division/office tolerate honest mistakes as learning experiences.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	252	29.47	324	37.89	112	13.10	66	7.72	42	4.91	59	6.90	855	100.00
Regional Offices	237	25.48	336	36.13	136	14.62	83	8.92	67	7.20	71	7.63	930	100.00

Q24F. Protecting investors is sometimes hampered by staff or managers who view firms as places they can potentially work at in the future.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	47	5.49	54	6.31	79	9.23	90	10.51	511	59.70	75	8.76	856	100.00
Regional Offices	17	1.83	30	3.23	68	7.33	107	11.53	622	67.03	84	9.05	928	100.00

Q24G. There are clearly defined policies and procedures for doing my work.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	189	22.29	356	41.98	138	16.27	131	15.45	34	4.01	*	*	848	100.00
Regional Offices	195	20.97	418	44.95	164	17.63	112	12.04	32	3.44	9	0.97	930	100.00

Q24H. Innovative ideas are encouraged in my division/office.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	169	19.95	310	36.60	150	17.71	110	12.99	94	11.10	14	1.65	847	100.00
Regional Offices	204	22.15	371	40.28	141	15.31	118	12.81	67	7.27	20	2.17	921	100.00

Q24I. Fear of public scandals has made SEC overly cautious and risk-averse.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	153	18.00	236	27.76	156	18.35	141	16.59	89	10.47	75	8.82	850	100.00
Regional Offices	153	16.45	287	30.86	165	17.74	150	16.13	103	11.08	72	7.74	930	100.00

Q24J. In my view, the fear of being wrong makes supervisors and managers in my division/office reluctant to take a stand on important issues.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	125	14.62	207	24.21	147	17.19	180	21.05	139	16.26	57	6.67	855	100.00
Regional Offices	143	15.39	241	25.94	166	17.87	190	20.45	132	14.21	57	6.14	929	100.00

Q24K. In my view, the fear of being wrong makes Senior Officers in my division/office reluctant to take a stand on important issues.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Washington, D.C. (Headquarters)	148	17.35	176	20.63	143	16.76	141	16.53	130	15.24	115	13.48	853	100.00
Regional Offices	143	15.41	206	22.20	161	17.35	169	18.21	148	15.95	101	10.88	928	100.00