

MISSION CRITICAL SUPERVISORY 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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	189	55.10	128	37.32	10	2.92	16	4.66	*	*	*	*	343	100.00
Nonsupervisory	705	49.93	533	37.75	72	5.10	53	3.75	24	1.70	25	1.77	1412	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	87	25.44	184	53.80	26	7.60	38	11.11	7	2.05	*	*	342	100.00
Nonsupervisory	258	18.31	589	41.80	201	14.27	218	15.47	95	6.74	48	3.41	1409	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	110	32.45	181	53.39	25	7.37	23	6.78	*	*	*	*	339	100.00
Nonsupervisory	396	28.25	615	43.87	172	12.27	135	9.63	42	3.00	42	3.00	1402	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	90	26.24	157	45.77	44	12.83	44	12.83	8	2.33	*	*	343	100.00
Nonsupervisory	191	13.60	492	35.04	234	16.67	274	19.52	133	9.47	80	5.70	1404	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	19	5.54	36	10.50	38	11.08	82	23.91	160	46.65	8	2.33	343	100.00
Nonsupervisory	145	10.31	242	17.21	263	18.71	278	19.77	295	20.98	183	13.02	1406	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	8	2.33	36	10.47	61	17.73	88	25.58	89	25.87	62	18.02	344	100.00
Nonsupervisory	37	2.63	162	11.51	264	18.75	277	19.67	294	20.88	374	26.56	1408	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	144	41.74	165	47.83	18	5.22	12	3.48	6	1.74	*	*	345	100.00
Nonsupervisory	432	30.73	627	44.59	146	10.38	133	9.46	60	4.27	8	0.57	1406	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	68	19.83	133	38.78	75	21.87	51	14.87	16	4.66	*	*	343	100.00
Nonsupervisory	339	24.11	523	37.20	341	24.25	97	6.90	46	3.27	60	4.27	1406	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	98	28.99	160	47.34	54	15.98	26	7.69	*	*	*	*	338	100.00
Nonsupervisory	291	20.73	662	47.15	247	17.59	123	8.76	60	4.27	21	1.50	1404	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	35	10.17	108	31.40	99	28.78	78	22.67	24	6.98	*	*	344	100.00
Nonsupervisory	195	13.92	402	28.69	449	32.05	215	15.35	69	4.93	71	5.07	1401	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	82	23.77	166	48.12	77	22.32	11	3.19	9	2.61	*	*	345	100.00
Nonsupervisory	323	22.99	602	42.85	291	20.71	69	4.91	91	6.48	29	2.06	1405	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	67	19.48	128	37.21	75	21.80	18	5.23	46	13.37	10	2.91	344	100.00
Nonsupervisory	274	19.59	440	31.45	239	17.08	130	9.29	272	19.44	44	3.15	1399	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	38	11.08	150	43.73	96	27.99	23	6.71	27	7.87	9	2.62	343	100.00
Nonsupervisory	166	11.90	526	37.71	421	30.18	123	8.82	129	9.25	30	2.15	1395	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	
	#	%	#	%	#	%	#	%
Supervisory	289	83.77	39	11.30	17	4.93	345	100.00
Nonsupervisory	1072	76.24	216	15.36	118	8.39	1406	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	
	#	%	#	%	#	%	#	%	#	%
Supervisory	85	24.71	154	44.77	84	24.42	21	6.10	344	100.00
Nonsupervisory	206	14.68	651	46.40	417	29.72	129	9.19	1403	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	
	#	%	#	%	#	%	#	%	#	%
Supervisory	25	7.25	144	41.74	162	46.96	14	4.06	345	100.00
Nonsupervisory	155	10.99	635	45.04	544	38.58	76	5.39	1410	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	90	26.24	173	50.44	32	9.33	35	10.20	13	3.79	*	*	343	100.00
Nonsupervisory	228	16.18	584	41.45	158	11.21	276	19.59	146	10.36	17	1.21	1409	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	122	35.57	143	41.69	30	8.75	31	9.04	17	4.96	*	*	343	100.00
Nonsupervisory	333	23.65	503	35.72	180	12.78	209	14.84	173	12.29	10	0.71	1408	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	65	18.95	169	49.27	41	11.95	45	13.12	23	6.71	*	*	343	100.00
Nonsupervisory	163	11.63	458	32.67	222	15.83	329	23.47	188	13.41	42	3.00	1402	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	105	30.88	116	34.12	70	20.59	27	7.94	22	6.47	*	*	340	100.00
Nonsupervisory	173	12.30	369	26.24	346	24.61	174	12.38	160	11.38	184	13.09	1406	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	62	18.34	157	46.45	50	14.79	43	12.72	26	7.69	*	*	338	100.00
Nonsupervisory	150	10.74	389	27.85	246	17.61	335	23.98	222	15.89	55	3.94	1397	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	132	38.94	141	41.59	46	13.57	14	4.13	6	1.77	*	*	339	100.00
Nonsupervisory	326	23.30	513	36.67	250	17.87	148	10.58	108	7.72	54	3.86	1399	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	14	4.11	41	12.02	82	24.05	117	34.31	62	18.18	*	*	25	7.33	341	100.00
Nonsupervisory	42	3.01	44	3.15	174	12.47	519	37.20	482	34.55	26	1.86	108	7.74	1395	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?

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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	21	6.18	30	8.82	85	25.00	142	41.76	30	8.82	*	*	32	9.41	340	100.00
Nonsupervisory	160	11.53	78	5.62	182	13.11	508	36.60	281	20.24	14	1.01	165	11.89	1388	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	21	6.21	7	2.07	55	16.27	128	37.87	102	30.18	*	*	25	7.40	338	100.00
Nonsupervisory	83	5.98	37	2.66	124	8.93	530	38.16	464	33.41	20	1.44	131	9.43	1389	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	10	2.94	14	4.12	71	20.88	152	44.71	77	22.65	*	*	16	4.71	340	100.00
Nonsupervisory	29	2.08	26	1.86	104	7.46	550	39.43	579	41.51	18	1.29	89	6.38	1395	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	21	6.19	20	5.90	62	18.29	143	42.18	80	23.60	*	*	13	3.83	339	100.00
Nonsupervisory	44	3.14	41	2.93	119	8.49	529	37.76	566	40.40	23	1.64	79	5.64	1401	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	*	*	13	3.90	58	17.42	140	42.04	107	32.13	*	*	15	4.50	333	100.00
Nonsupervisory	35	2.51	45	3.23	129	9.25	450	32.28	656	47.06	29	2.08	50	3.59	1394	100.00

Q10. In which location do you currently work?	Headquarters (Washington, D.C.)		A regional or district office		Total	
	#	%	#	%	#	%
Supervisory	156	45.35	188	54.65	344	100.00
Nonsupervisory	678	48.22	728	51.78	1406	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	33	18.44	35	19.55	49	27.37	33	18.44	*	*	*	*	29	16.20	179	100.00
Nonsupervisory	75	10.56	47	6.62	138	19.44	254	35.77	102	14.37	9	1.27	85	11.97	710	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	29	16.11	14	7.78	49	27.22	57	31.67	*	*	*	*	31	17.22	180	100.00
Nonsupervisory	134	18.85	46	6.47	86	12.10	199	27.99	72	10.13	9	1.27	165	23.21	711	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	97	28.20	154	44.77	25	7.27	51	14.83	17	4.94	*	*	344	100.00
Nonsupervisory	334	23.74	562	39.94	169	12.01	188	13.36	103	7.32	51	3.62	1407	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	138	40.00	140	40.58	23	6.67	29	8.41	15	4.35	*	*	345	100.00
Nonsupervisory	383	27.24	505	35.92	154	10.95	215	15.29	135	9.60	14	1.00	1406	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	30	8.70	142	41.16	68	19.71	66	19.13	32	9.28	7	2.03	345	100.00
Nonsupervisory	60	4.26	259	18.41	244	17.34	285	20.26	296	21.04	263	18.69	1407	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	31	9.04	119	34.69	67	19.53	64	18.66	52	15.16	10	2.92	343	100.00
Nonsupervisory	32	2.28	193	13.74	227	16.16	295	21.00	407	28.97	251	17.86	1405	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	38	11.05	77	22.38	72	20.93	71	20.64	72	20.93	14	4.07	344	100.00
Nonsupervisory	309	21.98	390	27.74	249	17.71	95	6.76	83	5.90	280	19.91	1406	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	124	36.15	98	28.57	42	12.24	51	14.87	28	8.16	*	*	343	100.00
Nonsupervisory	279	19.84	377	26.81	256	18.21	189	13.44	148	10.53	157	11.17	1406	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	74	21.45	66	19.13	47	13.62	42	12.17	71	20.58	45	13.04	345	100.00
Nonsupervisory	381	27.08	324	23.03	151	10.73	111	7.89	130	9.24	310	22.03	1407	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	98	29.17	102	30.36	93	27.68	43	12.80	*	*	*	*	336	100.00
Nonsupervisory	234	16.64	393	27.95	358	25.46	234	16.64	101	7.18	86	6.12	1406	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	88	25.58	119	34.59	81	23.55	38	11.05	8	2.33	10	2.91	344	100.00
Nonsupervisory	159	11.34	343	24.47	297	21.18	244	17.40	180	12.84	179	12.77	1402	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	77	22.45	137	39.94	80	23.32	30	8.75	11	3.21	8	2.33	343	100.00
Nonsupervisory	221	15.79	433	30.93	331	23.64	171	12.21	125	8.93	119	8.50	1400	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	41	11.88	62	17.97	83	24.06	115	33.33	21	6.09	23	6.67	345	100.00
Nonsupervisory	51	3.64	129	9.19	190	13.54	628	44.76	205	14.61	200	14.26	1403	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	29	8.43	86	25.00	111	32.27	63	18.31	37	10.76	18	5.23	344	100.00
Nonsupervisory	228	16.31	179	12.80	345	24.68	296	21.17	206	14.74	144	10.30	1398	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	15	4.37	117	34.11	129	37.61	48	13.99	23	6.71	11	3.21	343	100.00
Nonsupervisory	140	10.04	269	19.30	431	30.92	298	21.38	110	7.89	146	10.47	1394	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	47	13.62	69	20.00	152	44.06	38	11.01	25	7.25	14	4.06	345	100.00
Nonsupervisory	319	22.77	137	9.78	455	32.48	194	13.85	146	10.42	150	10.71	1401	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	51	14.87	23	6.71	75	21.87	75	21.87	107	31.20	12	3.50	343	100.00
Nonsupervisory	309	22.12	74	5.30	243	17.39	248	17.75	302	21.62	221	15.82	1397	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	23	6.87	92	27.46	171	51.04	25	7.46	13	3.88	11	3.28	335	100.00
Nonsupervisory	199	14.35	256	18.46	546	39.37	153	11.03	84	6.06	149	10.74	1387	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	
	#	%	#	%	#	%	#	%	#	%
Supervisory	42	12.43	202	59.76	94	27.81	*	*	338	100.00
Nonsupervisory	254	18.18	742	53.11	251	17.97	150	10.74	1397	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	
	#	%	#	%	#	%	#	%	#	%
Supervisory	38	11.18	257	75.59	45	13.24	*	*	340	100.00
Nonsupervisory	302	21.57	847	60.50	119	8.50	132	9.43	1400	100.00

Q18. What is your current, direct supervisor's position or title?	Branch Chief		Exam Manager		Assistant Director		Associate Director		Other		Total	
	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	*	*	15	4.40	148	43.40	146	42.82	32	9.38	341	100.00
Nonsupervisory	274	19.52	105	7.48	793	56.48	86	6.13	146	10.40	1404	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	209	61.29	89	26.10	15	4.40	14	4.11	14	4.11	*	*	341	100.00
Nonsupervisory	884	63.01	340	24.23	59	4.21	59	4.21	51	3.64	10	0.71	1403	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	176	51.46	99	28.95	15	4.39	24	7.02	28	8.19	*	*	342	100.00
Nonsupervisory	759	53.91	353	25.07	79	5.61	107	7.60	92	6.53	18	1.28	1408	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	161	47.35	99	29.12	23	6.76	33	9.71	24	7.06	*	*	340	100.00
Nonsupervisory	658	46.80	378	26.88	131	9.32	125	8.89	96	6.83	18	1.28	1406	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	137	40.29	113	33.24	31	9.12	33	9.71	26	7.65	*	*	340	100.00
Nonsupervisory	575	40.98	394	28.08	168	11.97	146	10.41	102	7.27	18	1.28	1403	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	125	36.55	115	33.63	36	10.53	31	9.06	29	8.48	6	1.75	342	100.00
Nonsupervisory	606	43.16	377	26.85	155	11.04	125	8.90	115	8.19	26	1.85	1404	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	196	57.65	83	24.41	18	5.29	22	6.47	21	6.18	*	*	340	100.00
Nonsupervisory	826	58.83	314	22.36	79	5.63	76	5.41	86	6.13	23	1.64	1404	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	171	49.71	107	31.10	20	5.81	22	6.40	17	4.94	7	2.03	344	100.00
Nonsupervisory	709	50.57	380	27.10	98	6.99	83	5.92	71	5.06	61	4.35	1402	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	219	64.99	81	24.04	18	5.34	7	2.08	12	3.56	*	*	337	100.00
Nonsupervisory	919	66.07	294	21.14	74	5.32	46	3.31	46	3.31	12	0.86	1391	100.00

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

Q19L. Spends too much time closely monitoring my work.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	11	3.26	25	7.42	33	9.79	78	23.15	190	56.38	*	*	337	100.00
Nonsupervisory	77	5.48	80	5.69	187	13.31	269	19.15	764	54.38	28	1.99	1405	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	17	4.94	76	22.09	53	15.41	83	24.13	60	17.44	55	15.99	344	100.00
Nonsupervisory	31	2.20	93	6.59	177	12.54	278	19.70	387	27.43	445	31.54	1411	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	16	4.65	89	25.87	59	17.15	110	31.98	57	16.57	13	3.78	344	100.00
Nonsupervisory	33	2.35	130	9.27	227	16.18	325	23.16	286	20.38	402	28.65	1403	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	138	40.23	157	45.77	16	4.66	21	6.12	11	3.21	*	*	343	100.00
Nonsupervisory	538	38.18	564	40.03	136	9.65	115	8.16	46	3.26	10	0.71	1409	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	119	34.80	136	39.77	33	9.65	34	9.94	20	5.85	*	*	342	100.00
Nonsupervisory	531	37.90	487	34.76	144	10.28	141	10.06	73	5.21	25	1.78	1401	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	38	11.05	120	34.88	62	18.02	85	24.71	39	11.34	*	*	344	100.00
Nonsupervisory	104	7.40	236	16.80	226	16.09	361	25.69	402	28.61	76	5.41	1405	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	30	8.80	103	30.21	59	17.30	73	21.41	65	19.06	11	3.23	341	100.00
Nonsupervisory	61	4.34	153	10.87	212	15.07	332	23.60	516	36.67	133	9.45	1407	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	158	46.20	132	38.60	20	5.85	23	6.73	9	2.63	*	*	342	100.00
Nonsupervisory	728	51.85	372	26.50	119	8.48	95	6.77	23	1.64	67	4.77	1404	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	105	30.70	79	23.10	46	13.45	47	13.74	49	14.33	16	4.68	342	100.00
Nonsupervisory	101	7.19	159	11.32	225	16.01	265	18.86	343	24.41	312	22.21	1405	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	94	27.73	108	31.86	43	12.68	45	13.27	37	10.91	12	3.54	339	100.00
Nonsupervisory	94	6.70	243	17.33	239	17.05	267	19.04	295	21.04	264	18.83	1402	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	85	25.07	139	41.00	40	11.80	44	12.98	31	9.14	*	*	339	100.00
Nonsupervisory	179	12.72	426	30.28	254	18.05	243	17.27	224	15.92	81	5.76	1407	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	13	3.81	74	21.70	50	14.66	99	29.03	105	30.79	*	*	341	100.00
Nonsupervisory	59	4.21	216	15.41	246	17.55	341	24.32	443	31.60	97	6.92	1402	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	32	9.33	150	43.73	40	11.66	69	20.12	52	15.16	*	*	343	100.00
Nonsupervisory	85	6.04	486	34.52	286	20.31	267	18.96	228	16.19	56	3.98	1408	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	33	9.65	127	37.13	71	20.76	61	17.84	50	14.62	*	*	342	100.00
Nonsupervisory	118	8.36	459	32.53	276	19.56	261	18.50	228	16.16	69	4.89	1411	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	17	5.04	89	26.41	69	20.47	93	27.60	69	20.47	*	*	337	100.00
Nonsupervisory	59	4.20	284	20.20	309	21.98	322	22.90	325	23.12	107	7.61	1406	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	42	12.46	89	26.41	107	31.75	77	22.85	22	6.53	*	*	337	100.00
Nonsupervisory	326	23.19	368	26.17	376	26.74	183	13.02	57	4.05	96	6.83	1406	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	40	11.63	92	26.74	61	17.73	63	18.31	53	15.41	35	10.17	344	100.00
Nonsupervisory	49	3.49	220	15.66	322	22.92	188	13.38	246	17.51	380	27.05	1405	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	34	9.91	118	34.40	86	25.07	59	17.20	37	10.79	9	2.62	343	100.00
Nonsupervisory	75	5.35	310	22.10	372	26.51	202	14.40	240	17.11	204	14.54	1403	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	79	23.03	128	37.32	43	12.54	57	16.62	36	10.50	*	*	343	100.00
Nonsupervisory	262	18.62	518	36.82	179	12.72	236	16.77	195	13.86	17	1.21	1407	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	39	11.40	135	39.47	54	15.79	70	20.47	44	12.87	*	*	342	100.00
Nonsupervisory	162	11.53	440	31.32	255	18.15	274	19.50	249	17.72	25	1.78	1405	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	80	23.39	150	43.86	50	14.62	36	10.53	26	7.60	*	*	342	100.00
Nonsupervisory	211	15.02	500	35.59	234	16.65	249	17.72	195	13.88	16	1.14	1405	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	99	28.78	122	35.47	48	13.95	38	11.05	30	8.72	7	2.03	344	100.00
Nonsupervisory	222	15.78	481	34.19	238	16.92	179	12.72	189	13.43	98	6.97	1407	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	111	32.17	148	42.90	34	9.86	29	8.41	17	4.93	6	1.74	345	100.00
Nonsupervisory	372	26.40	504	35.77	210	14.90	115	8.16	89	6.32	119	8.45	1409	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	8	2.33	14	4.07	15	4.36	35	10.17	262	76.16	10	2.91	344	100.00
Nonsupervisory	56	3.97	63	4.47	128	9.08	162	11.50	855	60.68	145	10.29	1409	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	83	24.20	176	51.31	46	13.41	30	8.75	8	2.33	*	*	343	100.00
Nonsupervisory	301	21.38	590	41.90	247	17.54	203	14.42	55	3.91	12	0.85	1408	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	87	25.36	157	45.77	48	13.99	38	11.08	13	3.79	*	*	343	100.00
Nonsupervisory	282	20.22	515	36.92	240	17.20	187	13.41	141	10.11	30	2.15	1395	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	62	18.08	106	30.90	61	17.78	58	16.91	47	13.70	9	2.62	343	100.00
Nonsupervisory	238	16.93	408	29.02	249	17.71	230	16.36	143	10.17	138	9.82	1406	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	34	9.86	93	26.96	52	15.07	89	25.80	71	20.58	6	1.74	345	100.00
Nonsupervisory	221	15.70	349	24.79	258	18.32	278	19.74	197	13.99	105	7.46	1408	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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	45	13.12	82	23.91	54	15.74	80	23.32	68	19.83	14	4.08	343	100.00
Nonsupervisory	238	16.92	291	20.68	243	17.27	225	15.99	210	14.93	200	14.21	1407	100.00