

SENIOR OFFICERS SURVEY

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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.

1a. My division/office is able to attract talented and qualified employees.	#	%
Strongly agree	81	80.20
Somewhat agree	20	19.80
Somewhat disagree	*	*
Strongly disagree	*	*
	101	100.00

1b. My division/office retains its most talented and qualified employees.	#	%
Strongly agree	51	54.26
Somewhat agree	32	34.04
Neither agree nor disagree	*	*
Somewhat disagree	11	11.70
Strongly disagree	*	*
Do not know	*	*
	94	100.00

1c. When new people start in jobs in my division/office, they are given enough guidance and training.	#	%
Strongly agree	41	45.05
Somewhat agree	50	54.95
Neither agree nor disagree	*	*
Somewhat disagree	*	*
Strongly disagree	*	*
Do not know	*	*
	91	100.00

1d. Hiring is sometimes based more on personal connections than on substantive experience or qualifications.	#	%
Strongly agree	*	*
Somewhat agree	6	6.45
Neither agree nor disagree	*	*
Somewhat disagree	16	17.20
Strongly disagree	71	76.34
Do not know	*	*
	93	100.00

1e. Overall, SEC's Office of Human Resources provides timely support to my division/office.	#	%
Strongly agree	11	11.22
Somewhat agree	42	42.86
Neither agree nor disagree	15	15.31
Somewhat disagree	19	19.39
Strongly disagree	11	11.22
Do not know	*	*
	98	100.00

1f. SEC's Office of Human Resources has the necessary expertise to assist in recruiting and hiring qualified employees.	#	%
Strongly agree	7	6.80
Somewhat agree	30	29.13
Neither agree nor disagree	18	17.48
Somewhat disagree	29	28.16
Strongly disagree	12	11.65
Do not know	7	6.80
	103	100.00

1g. The process of hiring qualified employees is usually more time-consuming than need be.	#	%
Strongly agree	31	31.63
Somewhat agree	48	48.98
Neither agree nor disagree	13	13.27
Somewhat disagree	6	6.12
Strongly disagree	*	*
Do not know	*	*
	98	100.00

2a. SEC needs to invest more in the development of new employees.	#	%
Strongly agree	12	12.12
Somewhat agree	36	36.36
Neither agree nor disagree	33	33.33
Somewhat disagree	18	18.18
Strongly disagree	*	*
	99	100.00

2b. The training I have received over the past three years has provided me skills and experience to meet SEC's needs.	#	%
Strongly agree	35	36.84
Somewhat agree	41	43.16
Neither agree nor disagree	19	20.00
Somewhat disagree	*	*
Strongly disagree	*	*
Do not know	*	*
	95	100.00

2c. My division/office needs to do more to address skills gaps.	#	%
Strongly agree	*	*
Somewhat agree	28	28.87
Neither agree nor disagree	32	32.99
Somewhat disagree	31	31.96
Strongly disagree	6	6.19
	97	100.00

2d. Over the past three years, SEC's leadership training has been effective in improving the management skills of supervisors and managers in my division/office.	#	%
Strongly agree	22	22.68
Somewhat agree	53	54.64
Neither agree nor disagree	16	16.49
Somewhat disagree	6	6.19
Strongly disagree	*	*
Do not know	*	*
	97	100.00

3. To what extent has the following type of training provided information and knowledge that is directly relevant to your work?

3a. Training provided by the SEC University including classroom, WebEx, and office/division specific trainings.	#	%
To a great extent	38	39.58
To a moderate extent	46	47.92
To a small extent	12	12.50
To no extent	*	*
No basis to judge	*	*
	96	100.00

3. To what extent has the following type of training provided information and knowledge that is directly relevant to your work?

3b. External training or conferences	#	%
To a great extent	24	25.00
To a moderate extent	42	43.75
To a small extent	18	18.75
To no extent	*	*
No basis to judge	12	12.50
Do not know	*	*
	96	100.00

3. To what extent has the following type of training provided information and knowledge that is directly relevant to your work?

3c. Computer-based training delivered by Internet via external vendors	#	%
To a great extent	10	9.80
To a moderate extent	35	34.31
To a small extent	24	23.53
To no extent	10	9.80
No basis to judge	17	16.67
Do not know	6	5.88
	102	100.00

5a. My division/office supports open, two-way communication between staff and Senior Officers.	#	%
Strongly agree	77	81.05
Somewhat agree	18	18.95
Neither agree nor disagree	*	*
Somewhat disagree	*	*
Strongly disagree	*	*
Do not know	*	*
	95	100.00

5b. Information is adequately shared across groups in my division/office.	#	%
Strongly agree	52	54.17
Somewhat agree	34	35.42
Neither agree nor disagree	*	*
Somewhat disagree	10	10.42
Strongly disagree	*	*
	96	100.00

5c. Communication across groups in my division/office has improved over the past three years.	#	%
Strongly agree	67	74.44
Somewhat agree	23	25.56
Neither agree nor disagree	*	*
Somewhat disagree	*	*
Strongly disagree	*	*
Do not know	*	*
	90	100.00

5d. Overall, information and knowledge are shared openly at all levels within my division/office.	#	%
Strongly agree	47	51.09
Somewhat agree	36	39.13
Neither agree nor disagree	*	*
Somewhat disagree	9	9.78
Strongly disagree	*	*
	92	100.00

5e. In my division/office, communication between other offices and divisions (such as between OCIE and CorpFin) on work-related matters is encouraged.	#	%
Strongly agree	73	73.00
Somewhat agree	20	20.00
Neither agree nor disagree	7	7.00
Somewhat disagree	*	*
Strongly disagree	*	*
	100	100.00

7a. In my division/office, the roles and responsibilities of Senior Officers are clearly defined.	#	%
Strongly agree	54	56.25
Somewhat agree	35	36.46
Neither agree nor disagree	*	*
Somewhat disagree	7	7.29
Strongly disagree	*	*
	96	100.00

7b. In my division/office, the roles and responsibilities of non-Senior Officer supervisors and managers are clearly defined.	#	%
Strongly agree	43	42.57
Somewhat agree	44	43.56
Neither agree nor disagree	6	5.94
Somewhat disagree	8	7.92
Do not know	*	*
	101	100.00

7c. Senior Officers in my division/office are genuinely interested in the opinions of their employees.	#	%
Strongly agree	77	81.05
Somewhat agree	18	18.95
Neither agree nor disagree	*	*
Somewhat disagree	*	*
Strongly disagree	*	*
Do not know	*	*
	95	100.00

7d. Non-Senior Officer supervisors and managers in my division/office are genuinely interested in the opinions of their staff.		
	#	%
Strongly agree	66	73.33
Somewhat agree	24	26.67
Neither agree nor disagree	*	*
Somewhat disagree	*	*
Do not know	*	*
	90	100.00

7e. Promotion to management is mostly based on technical skills.	#	%
Strongly agree	13	13.13
Somewhat agree	44	44.44
Neither agree nor disagree	16	16.16
Somewhat disagree	16	16.16
Strongly disagree	10	10.10
Do not know	*	*
	99	100.00

7f. Promotion to management is mostly based on the ability to manage people effectively.	#	%
Strongly agree	17	17.89
Somewhat agree	46	48.42
Neither agree nor disagree	18	18.95
Somewhat disagree	14	14.74
Strongly disagree	*	*
Do not know	*	*
	95	100.00

7g. There is not much incentive to get promoted into a management position because the salary increase is minimal.	#	%
Strongly agree	16	16.49
Somewhat agree	30	30.93
Neither agree nor disagree	10	10.31
Somewhat disagree	17	17.53
Strongly disagree	24	24.74
Do not know	*	*
	97	100.00

7h. Over the past 3 years, I have seen SEC staff leave due to being dissatisfied with a supervisor or manager.	#	%
Strongly agree	10	9.71
Somewhat agree	18	17.48
Neither agree nor disagree	15	14.56
Somewhat disagree	21	20.39
Strongly disagree	27	26.21
Do not know	12	11.65
	103	100.00

8. 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	7	6.93
An appropriate amount	64	63.37
Less than needed	30	29.70
Do not know	*	*
	101	100.00

9. 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	8	7.92
An appropriate amount	83	82.18
Less than needed	10	9.90
Do not know	*	*
	101	100.00

11a. Overall, Senior Officers deal effectively with poor performing supervisors and managers.	#	%
Strongly agree	20	19.61
Somewhat agree	40	39.22
Neither agree nor disagree	10	9.80
Somewhat disagree	20	19.61
Strongly disagree	6	5.88
Do not know	6	5.88
	102	100.00

11b. In my division/office, Senior Officers have the resources (including training and support from OHR and OGC) they need to effectively deal with poor performing employees.	#	%
Strongly agree	22	22.45
Somewhat agree	31	31.63
Neither agree nor disagree	8	8.16
Somewhat disagree	23	23.47
Strongly disagree	14	14.29
Do not know	*	*
	98	100.00

11c. The opportunities in my division/office to get promoted into a management position are limited.	#	%
Strongly agree	37	37.37
Somewhat agree	46	46.46
Neither agree nor disagree	8	8.08
Somewhat disagree	8	8.08
Strongly disagree	*	*
	99	100.00

11d. Current performance incentives are effective tools to motivate employees to perform well.	#	%
Strongly agree	9	8.91
Somewhat agree	20	19.80
Neither agree nor disagree	16	15.84
Somewhat disagree	32	31.68
Strongly disagree	24	23.76
Do not know	*	*
	101	100.00

12a. SEC's performance management system uses relevant criteria to evaluate my performance.	#	%
Strongly agree	14	13.86
Somewhat agree	48	47.52
Neither agree nor disagree	18	17.82
Somewhat disagree	13	12.87
Strongly disagree	8	7.92
Do not know	*	*
	101	100.00

12b. SEC's performance management system allows supervisors and managers to have a meaningful discussion with their staff on how they are performing.	#	%
Strongly agree	16	15.84
Somewhat agree	51	50.50
Neither agree nor disagree	11	10.89
Somewhat disagree	17	16.83
Strongly disagree	6	5.94
	101	100.00

12c. The time it takes me to develop, review, and formalize performance assessments under SEC's current performance management system is unreasonable.	#	%
Strongly agree	48	49.48
Somewhat agree	27	27.84
Neither agree nor disagree	12	12.37
Somewhat disagree	10	10.31
Strongly disagree	*	*
	97	100.00

12d. SEC's performance management system provides consistent standards for rewarding performance.	#	%
Strongly agree	7	6.93
Somewhat agree	35	34.65
Neither agree nor disagree	20	19.80
Somewhat disagree	26	25.74
Strongly disagree	13	12.87
Do not know	*	*
	101	100.00

12e. Changes need to be made to increase transparency in the process used to rate performance.	#	%
Strongly agree	11	11.00
Somewhat agree	24	24.00
Neither agree nor disagree	31	31.00
Somewhat disagree	27	27.00
Strongly disagree	7	7.00
Do not know	*	*
	100	100.00

12f. Calibration of performance ratings by management improves fairness in the performance management system.	#	%
Strongly agree	25	26.04
Somewhat agree	39	40.63
Neither agree nor disagree	8	8.33
Somewhat disagree	12	12.50
Strongly disagree	12	12.50
Do not know	*	*
	96	100.00

12g. Employee performance appraisals are fair and appropriate under SEC's performance management system.	#	%
Strongly agree	23	22.77
Somewhat agree	44	43.56
Neither agree nor disagree	13	12.87
Somewhat disagree	14	13.86
Strongly disagree	7	6.93
Do not know	*	*
	101	100.00

14a. There is an atmosphere of trust in my division/office.	#	%
Strongly agree	49	53.85
Somewhat agree	35	38.46
Neither agree nor disagree	7	7.69
Somewhat disagree	*	*
Strongly disagree	*	*
Do not know	*	*
	91	100.00

14b. Employee morale is generally high most of the time.	#	%
Strongly agree	41	40.59
Somewhat agree	40	39.60
Neither agree nor disagree	7	6.93
Somewhat disagree	13	12.87
Strongly disagree	*	*
Do not know	*	*
	101	100.00

14c. I have a voice in decisions that affect me and my work environment.	#	%
Strongly agree	64	65.98
Somewhat agree	21	21.65
Neither agree nor disagree	6	6.19
Somewhat disagree	6	6.19
Strongly disagree	*	*
	97	100.00

14d. Senior Officers tolerate honest mistakes.	#	%
Strongly agree	78	82.98
Somewhat agree	16	17.02
Neither agree nor disagree	*	*
Somewhat disagree	*	*
Strongly disagree	*	*
Do not know	*	*
	94	100.00

14e. There are clearly defined policies and procedures for doing my work.	#	%
Strongly agree	37	37.76
Somewhat agree	42	42.86
Neither agree nor disagree	12	12.24
Somewhat disagree	7	7.14
Strongly disagree	*	*
	98	100.00

14f. Innovative ideas are encouraged in my division/office.	#	%
Strongly agree	69	70.41
Somewhat agree	22	22.45
Neither agree nor disagree	*	*
Somewhat disagree	7	7.14
Strongly disagree	*	*
Do not know	*	*
	98	100.00

14g. Fear of public scandals has made SEC overly cautious and risk-averse.	#	%
Strongly agree	17	17.17
Somewhat agree	31	31.31
Neither agree nor disagree	18	18.18
Somewhat disagree	18	18.18
Strongly disagree	15	15.15
Do not know	*	*
	99	100.00

14h. 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	14	14.43
Neither agree nor disagree	10	10.31
Somewhat disagree	24	24.74
Strongly disagree	49	50.52
	97	100.00

14i. In my view, the fear of being wrong makes non-Senior Officer supervisors and managers in my division/office reluctant to take a stand on important issues.	#	%
Strongly agree	7	7.00
Somewhat agree	20	20.00
Neither agree nor disagree	13	13.00
Somewhat disagree	28	28.00
Strongly disagree	32	32.00
Do not know	*	*
	100	100.00