

**SECWIDE 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.*

1a. 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	60	57.69	35	33.65	9	8.65	*	*	*	*	*	*	104	100.00
Nonsupervisory	386	44.99	300	34.97	76	8.86	44	5.13	25	2.91	27	3.15	858	100.00

1b. 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	39	36.11	43	39.81	7	6.48	11	10.19	8	7.41	*	*	108	100.00
Nonsupervisory	221	25.94	269	31.57	121	14.20	103	12.09	79	9.27	59	6.92	852	100.00

1c. 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	45	43.27	44	42.31	7	6.73	8	7.69	*	*	*	*	104	100.00
Nonsupervisory	276	32.24	302	35.28	122	14.25	73	8.53	43	5.02	40	4.67	856	100.00

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1d. 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	36	33.96	35	33.02	15	14.15	13	12.26	7	6.60	*	*	106	100.00
Nonsupervisory	165	19.32	297	34.78	123	14.40	144	16.86	89	10.42	36	4.22	854	100.00

1e. 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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Supervisory</b>	17	16.04	17	16.04	15	14.15	13	12.26	44	41.51	*	*	106	100.00
<b>Nonsupervisory</b>	165	19.32	160	18.74	144	16.86	113	13.23	153	17.92	119	13.93	854	100.00

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2a. 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	61	59.80	34	33.33	*	*	7	6.86	*	*	*	*	102	100.00
Nonsupervisory	328	38.41	328	38.41	77	9.02	70	8.20	44	5.15	7	0.82	854	100.00

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2b. 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	19	17.76	35	32.71	25	23.36	18	16.82	10	9.35	*	*	107	100.00
Nonsupervisory	196	23.00	272	31.92	200	23.47	94	11.03	44	5.16	46	5.40	852	100.00

2c. 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	45	43.27	35	33.65	11	10.58	7	6.73	6	5.77	*	*	104	100.00
Nonsupervisory	262	30.61	322	37.62	141	16.47	62	7.24	38	4.44	31	3.62	856	100.00



2d. 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	15	14.02	28	26.17	20	18.69	28	26.17	16	14.95	*	*	107	100.00
Nonsupervisory	163	19.18	231	27.18	217	25.53	121	14.24	74	8.71	44	5.18	850	100.00

**3. To what extent, if at all, 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		To a moderate extent		To a small extent		To no extent		No basis to judge		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Supervisory</b>	43	41.75	41	39.81	19	18.45	*	*	*	*	*	*	103	100.00
<b>Nonsupervisory</b>	311	36.29	318	37.11	161	18.79	25	2.92	29	3.38	13	1.52	857	100.00

**3. To what extent, if at all, 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		To a moderate extent		To a small extent		To no extent		No basis to judge		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Supervisory</b>	41	39.42	35	33.65	10	9.62	*	*	18	17.31	*	*	104	100.00
<b>Nonsupervisory</b>	251	29.53	243	28.59	114	13.41	53	6.24	148	17.41	41	4.82	850	100.00

**3. To what extent, if at all, 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		To a moderate extent		To a small extent		To no extent		No basis to judge		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Supervisory</b>	24	22.86	36	34.29	23	21.90	11	10.48	11	10.48	*	*	105	100.00
<b>Nonsupervisory</b>	177	20.87	261	30.78	159	18.75	63	7.43	147	17.33	41	4.83	848	100.00

5a. 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	43	40.57	42	39.62	*	*	12	11.32	9	8.49	*	*	106	100.00
Nonsupervisory	192	22.35	313	36.44	98	11.41	124	14.44	124	14.44	8	0.93	859	100.00

5b. 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	57	52.78	23	21.30	13	12.04	8	7.41	7	6.48	*	*	108	100.00
Nonsupervisory	293	34.19	259	30.22	98	11.44	99	11.55	101	11.79	7	0.82	857	100.00

5c. 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	44	40.37	35	32.11	9	8.26	13	11.93	8	7.34	*	*	109	100.00
Nonsupervisory	144	16.96	278	32.74	125	14.72	146	17.20	126	14.84	30	3.53	849	100.00

5d. 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	47	43.12	25	22.94	15	13.76	8	7.34	7	6.42	7	6.42	109	100.00
Nonsupervisory	144	16.82	208	24.30	177	20.68	83	9.70	96	11.21	148	17.29	856	100.00



5e. 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	38	34.86	40	36.70	9	8.26	10	9.17	12	11.01	*	*	109	100.00
Nonsupervisory	151	17.72	243	28.52	133	15.61	159	18.66	130	15.26	36	4.23	852	100.00

<b>5f.</b> <b>In my</b> <b>division/office,</b> <b>communication</b> <b>between other</b> <b>offices/divisions</b> <b>on</b> <b>work-related</b> <b>matters is</b> <b>encouraged.</b>	<b>Strongly agree</b>		<b>Somewhat agree</b>		<b>Neither agree nor disagree</b>		<b>Somewhat disagree</b>		<b>Strongly disagree</b>		<b>Do not know</b>		<b>Total</b>	
	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
<b>Supervisory</b>	66	62.86	23	21.90	7	6.67	*	*	9	8.57	*	*	105	100.00
<b>Nonsupervisory</b>	262	30.57	283	33.02	134	15.64	77	8.98	76	8.87	25	2.92	857	100.00

7a. 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	51	46.79	33	30.28	9	8.26	8	7.34	8	7.34	*	*	109	100.00
Nonsupervisory	273	31.86	277	32.32	101	11.79	101	11.79	66	7.70	39	4.55	857	100.00

7b. 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	58	53.21	21	19.27	10	9.17	11	10.09	9	8.26	*	*	109	100.00
Nonsupervisory	292	34.07	255	29.75	99	11.55	92	10.74	100	11.67	19	2.22	857	100.00

7c. 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	16	15.09	39	36.79	17	16.04	15	14.15	19	17.92	*	*	106	100.00
Nonsupervisory	69	8.06	106	12.38	168	19.63	124	14.49	129	15.07	260	30.37	856	100.00

7d. 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	19	18.27	30	28.85	25	24.04	14	13.46	16	15.38	*	*	104	100.00
Nonsupervisory	57	6.71	102	12.00	157	18.47	125	14.71	172	20.24	237	27.88	850	100.00

7e. 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	19	17.92	16	15.09	24	22.64	15	14.15	32	30.19	*	*	106	100.00
Nonsupervisory	163	19.11	178	20.87	166	19.46	62	7.27	49	5.74	235	27.55	853	100.00

<b>7f. There is not much incentive to get promoted into a management position because the salary increase is minimal.</b>	<b>Strongly agree</b>		<b>Somewhat agree</b>		<b>Neither agree nor disagree</b>		<b>Somewhat disagree</b>		<b>Strongly disagree</b>		<b>Do not know</b>		<b>Total</b>	
	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
<b>Supervisory</b>	25	22.94	20	18.35	16	14.68	15	13.76	27	24.77	6	5.50	109	100.00
<b>Nonsupervisory</b>	96	11.25	133	15.59	192	22.51	114	13.36	109	12.78	209	24.50	853	100.00



<b>7g. Over the past 3 years, I have seen SEC staff leave due to being dissatisfied with a supervisor or manager.</b>	<b>Strongly agree</b>		<b>Somewhat agree</b>		<b>Neither agree nor disagree</b>		<b>Somewhat disagree</b>		<b>Strongly disagree</b>		<b>Do not know</b>		<b>Total</b>	
	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
<b>Supervisory</b>	24	22.02	29	26.61	12	11.01	11	10.09	19	17.43	14	12.84	109	100.00
<b>Nonsupervisory</b>	221	25.91	150	17.58	122	14.30	35	4.10	90	10.55	235	27.55	853	100.00

**8. Over the past three years, to what extent, if at all, have the Senior Officers worked to make improvements in the area listed below?**

8a. 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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Supervisory</b>	45	43.69	29	28.16	19	18.45	10	9.71	*	*	*	*	103	100.00
<b>Nonsupervisory</b>	200	23.39	212	24.80	183	21.40	107	12.51	93	10.88	60	7.02	855	100.00

**8. Over the past three years, to what extent, if at all, have the Senior Officers worked to make improvements in the area listed below?**

8b. 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	46	46.00	27	27.00	17	17.00	10	10.00	*	*	*	*	100	100.00
Nonsupervisory	153	17.94	204	23.92	164	19.23	99	11.61	126	14.77	107	12.54	853	100.00

**8. Over the past three years, to what extent, if at all, have the Senior Officers worked to make improvements in the area listed below?**

8c. 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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Supervisory</b>	39	37.50	25	24.04	21	20.19	12	11.54	*	*	7	6.73	104	100.00
<b>Nonsupervisory</b>	153	17.96	219	25.70	199	23.36	97	11.38	90	10.56	94	11.03	852	100.00

**8. Over the past three years, to what extent, if at all, have the Senior Officers worked to make improvements in the area listed below?**

8d. 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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Supervisory</b>	30	28.57	24	22.86	19	18.10	25	23.81	*	*	7	6.67	105	100.00
<b>Nonsupervisory</b>	51	5.98	84	9.85	128	15.01	266	31.18	164	19.23	160	18.76	853	100.00

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

9a. Initiatives designed to improve communication	Not aware of any such initiative		Very satisfied		Somewhat satisfied		Somewhat dissatisfied		Very dissatisfied		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	7	6.80	40	38.83	36	34.95	11	10.68	9	8.74	*	*	103	100.00
Nonsupervisory	148	17.37	146	17.14	269	31.57	97	11.38	86	10.09	106	12.44	852	100.00

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

9b. Initiatives designed to improve the performance management system used to evaluate your performance	Not aware of any such initiative		Very satisfied		Somewhat satisfied		Somewhat dissatisfied		Very dissatisfied		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	9	8.41	28	26.17	33	30.84	13	12.15	17	15.89	7	6.54	107	100.00
Nonsupervisory	156	18.40	94	11.08	204	24.06	103	12.15	123	14.50	168	19.81	848	100.00

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

9c. Initiatives designed to improve training opportunities	Not aware of any such initiative		Very satisfied		Somewhat satisfied		Somewhat dissatisfied		Very dissatisfied		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Supervisory</b>	7	6.60	48	45.28	31	29.25	8	7.55	6	5.66	6	5.66	106	100.00
<b>Nonsupervisory</b>	120	14.20	205	24.26	269	31.83	78	9.23	64	7.57	109	12.90	845	100.00



10. Are the numbers of supervisors, managers, and Senior Officers 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	18	16.67	68	62.96	16	14.81	6	5.56	108	100.00
Nonsupervisory	153	18.02	470	55.36	98	11.54	128	15.08	849	100.00

<b>11. 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?</b>	<b>More than needed</b>		<b>An appropriate amount</b>		<b>Less than needed</b>		<b>Do not know</b>		<b>Total</b>	
	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
<b>Supervisory</b>	24	23.08	69	66.35	11	10.58	*	*	104	100.00
<b>Nonsupervisory</b>	173	20.26	496	58.08	55	6.44	130	15.22	854	100.00

12. What is your current, direct supervisor's position or title?	Director		Deputy Director		General Counsel		Deputy General Counsel		Associate General Counsel		Assistant General Counsel		Exam Manager		Assistant Director		Associate Director		Branch Chief		Other		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	19	18.45	12	11.65	*	*	*	*	6	5.83	*	*	*	*	46	44.66	12	11.65	*	*	8	7.77	103	100.00
Nonsupervisory	36	4.26	34	4.02	*	*	*	*	6	0.71	51	6.03	18	2.13	195	23.05	36	4.26	343	40.54	127	15.01	846	100.00

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

13a. 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	60	60.00	34	34.00	*	*	*	*	6	6.00	*	*	100	100.00
Nonsupervisory	501	58.87	212	24.91	46	5.41	42	4.94	50	5.88	*	*	851	100.00

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

13b. 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	68	62.39	23	21.10	6	5.50	6	5.50	6	5.50	*	*	109	100.00
Nonsupervisory	466	54.50	194	22.69	53	6.20	62	7.25	70	8.19	10	1.17	855	100.00

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

13c. Does a good job in sharing information.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	57	55.34	32	31.07	8	7.77	*	*	6	5.83	*	*	103	100.00
Nonsupervisory	447	52.40	198	23.21	68	7.97	61	7.15	72	8.44	7	0.82	853	100.00

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

13d. Clearly defines goals and expectations.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	57	52.29	28	25.69	8	7.34	9	8.26	7	6.42	*	*	109	100.00
Nonsupervisory	385	45.03	222	25.96	97	11.35	65	7.60	78	9.12	8	0.94	855	100.00

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

13e. Provides useful and constructive feedback.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	62	57.94	20	18.69	8	7.48	7	6.54	10	9.35	*	*	107	100.00
Nonsupervisory	408	47.83	206	24.15	86	10.08	69	8.09	71	8.32	13	1.52	853	100.00



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

13f. 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	73	70.19	18	17.31	6	5.77	7	6.73	*	*	*	*	104	100.00
Nonsupervisory	512	59.88	174	20.35	54	6.32	42	4.91	52	6.08	21	2.46	855	100.00

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

13g. 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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Supervisory</b>	67	72.04	26	27.96	*	*	*	*	*	*	*	*	93	100.00
<b>Nonsupervisory</b>	435	51.24	184	21.67	82	9.66	48	5.65	47	5.54	53	6.24	849	100.00

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

13h. 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	74	68.52	22	20.37	6	5.56	6	5.56	*	*	*	*	108	100.00
Nonsupervisory	560	65.88	163	19.18	56	6.59	21	2.47	44	5.18	6	0.71	850	100.00

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

13i. Spends too much time closely monitoring my work.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Supervisory</b>	6	5.50	9	8.26	16	14.68	11	10.09	67	61.47	*	*	109	100.00
<b>Nonsupervisory</b>	71	8.31	52	6.09	114	13.35	122	14.29	476	55.74	19	2.22	854	100.00

15a. 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	15.60	26	23.85	15	13.76	15	13.76	20	18.35	16	14.68	109	100.00
Nonsupervisory	51	5.95	65	7.58	102	11.90	126	14.70	165	19.25	348	40.61	857	100.00

15b. 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	20	18.52	30	27.78	18	16.67	16	14.81	16	14.81	8	7.41	108	100.00
Nonsupervisory	59	6.91	91	10.66	113	13.23	161	18.85	150	17.56	280	32.79	854	100.00

15c. 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	61	61.00	31	31.00	*	*	8	8.00	*	*	*	*	100	100.00
Nonsupervisory	424	49.59	266	31.11	73	8.54	51	5.96	32	3.74	9	1.05	855	100.00

15d. My direct supervisor provides sufficient performance feedback.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	58	54.21	26	24.30	7	6.54	9	8.41	7	6.54	*	*	107	100.00
Nonsupervisory	389	45.60	242	28.37	89	10.43	63	7.39	53	6.21	17	1.99	853	100.00



15e. The criteria for rewarding staff are clearly defined.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Supervisory</b>	36	33.33	33	30.56	16	14.81	11	10.19	12	11.11	*	*	108	100.00
<b>Nonsupervisory</b>	115	13.43	155	18.11	138	16.12	165	19.28	208	24.30	75	8.76	856	100.00

15f. 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	31	28.70	29	26.85	18	16.67	10	9.26	20	18.52	*	*	108	100.00
Nonsupervisory	75	8.75	118	13.77	131	15.29	152	17.74	258	30.11	123	14.35	857	100.00

15g. 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	35	34.31	41	40.20	17	16.67	9	8.82	*	*	*	*	102	100.00
Nonsupervisory	376	43.98	224	26.20	86	10.06	34	3.98	33	3.86	102	11.93	855	100.00

15h. 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	42	38.53	18	16.51	12	11.01	8	7.34	21	19.27	8	7.34	109	100.00
Nonsupervisory	97	11.35	95	11.11	123	14.39	129	15.09	173	20.23	238	27.84	855	100.00

15i. 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	41	37.61	25	22.94	13	11.93	9	8.26	13	11.93	8	7.34	109	100.00
Nonsupervisory	83	9.75	145	17.04	140	16.45	117	13.75	144	16.92	222	26.09	851	100.00

15j. 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	39	37.14	31	29.52	10	9.52	11	10.48	14	13.33	*	*	105	100.00
Nonsupervisory	169	19.86	258	30.32	130	15.28	97	11.40	120	14.10	77	9.05	851	100.00

15k. 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	26	24.53	29	27.36	17	16.04	15	14.15	19	17.92	*	*	106	100.00
Nonsupervisory	116	13.65	164	19.29	175	20.59	145	17.06	147	17.29	103	12.12	850	100.00

16a. 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	20	18.69	40	37.38	10	9.35	17	15.89	20	18.69	*	*	107	100.00
Nonsupervisory	117	13.68	263	30.76	155	18.13	119	13.92	110	12.87	91	10.64	855	100.00



16b. 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	27	25.00	38	35.19	12	11.11	18	16.67	13	12.04	*	*	108	100.00
Nonsupervisory	149	17.47	287	33.65	143	16.76	92	10.79	84	9.85	98	11.49	853	100.00

16c. 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	20	18.69	35	32.71	18	16.82	16	14.95	18	16.82	*	*	107	100.00
Nonsupervisory	95	11.16	186	21.86	169	19.86	137	16.10	132	15.51	132	15.51	851	100.00

16d. 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	17	16.19	21	20.00	29	27.62	23	21.90	15	14.29	*	*	105	100.00
Nonsupervisory	181	21.14	201	23.48	230	26.87	85	9.93	48	5.61	111	12.97	856	100.00

16e. 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	22	20.37	26	24.07	20	18.52	15	13.89	18	16.67	7	6.48	108	100.00
Nonsupervisory	70	8.24	157	18.49	201	23.67	69	8.13	107	12.60	245	28.86	849	100.00

16f. 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	23	21.70	33	31.13	21	19.81	15	14.15	14	13.21	*	*	106	100.00
Nonsupervisory	91	10.76	196	23.17	210	24.82	80	9.46	113	13.36	156	18.44	846	100.00

18a. 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	32	29.36	37	33.94	7	6.42	16	14.68	17	15.60	*	*	109	100.00
Nonsupervisory	190	22.17	245	28.59	109	12.72	150	17.50	146	17.04	17	1.98	857	100.00

18b. 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	27	25.00	39	36.11	15	13.89	11	10.19	16	14.81	*	*	108	100.00
Nonsupervisory	167	19.58	230	26.96	134	15.71	143	16.76	154	18.05	25	2.93	853	100.00

18c. 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	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>Supervisory</b>	47	45.19	35	33.65	*	*	9	8.65	13	12.50	*	*	104	100.00
<b>Nonsupervisory</b>	199	23.25	261	30.49	136	15.89	126	14.72	119	13.90	15	1.75	856	100.00



18d. 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	49	45.79	30	28.04	12	11.21	7	6.54	9	8.41	*	*	107	100.00
Nonsupervisory	207	24.27	288	33.76	121	14.19	84	9.85	96	11.25	57	6.68	853	100.00

18e. Supervisors and managers in my division/office tolerate honest mistakes.	Strongly agree		Somewhat agree		Neither agree nor disagree		Somewhat disagree		Strongly disagree		Do not know		Total	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Supervisory	54	49.54	29	26.61	11	10.09	6	5.50	9	8.26	*	*	109	100.00
Nonsupervisory	243	28.52	298	34.98	100	11.74	59	6.92	75	8.80	77	9.04	852	100.00

18f. 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	*	*	*	*	12	11.76	*	*	41	40.20	49	48.04	102	100.00
Nonsupervisory	39	4.57	42	4.92	104	12.18	51	5.97	283	33.14	335	39.23	854	100.00

18g. 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	38	34.86	48	44.04	8	7.34	7	6.42	8	7.34	*	*	109	100.00
Nonsupervisory	245	28.55	315	36.71	115	13.40	108	12.59	57	6.64	18	2.10	858	100.00

18h. 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	50	46.30	33	30.56	9	8.33	8	7.41	8	7.41	*	*	108	100.00
Nonsupervisory	252	29.44	288	33.64	124	14.49	97	11.33	62	7.24	33	3.86	856	100.00

18i. 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	18	16.51	20	18.35	15	13.76	11	10.09	17	15.60	28	25.69	109	100.00
Nonsupervisory	114	13.30	166	19.37	171	19.95	79	9.22	90	10.50	237	27.65	857	100.00

18j. 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	12	11.01	26	23.85	12	11.01	22	20.18	29	26.61	8	7.34	109	100.00
Nonsupervisory	120	14.02	158	18.46	168	19.63	134	15.65	136	15.89	140	16.36	856	100.00