

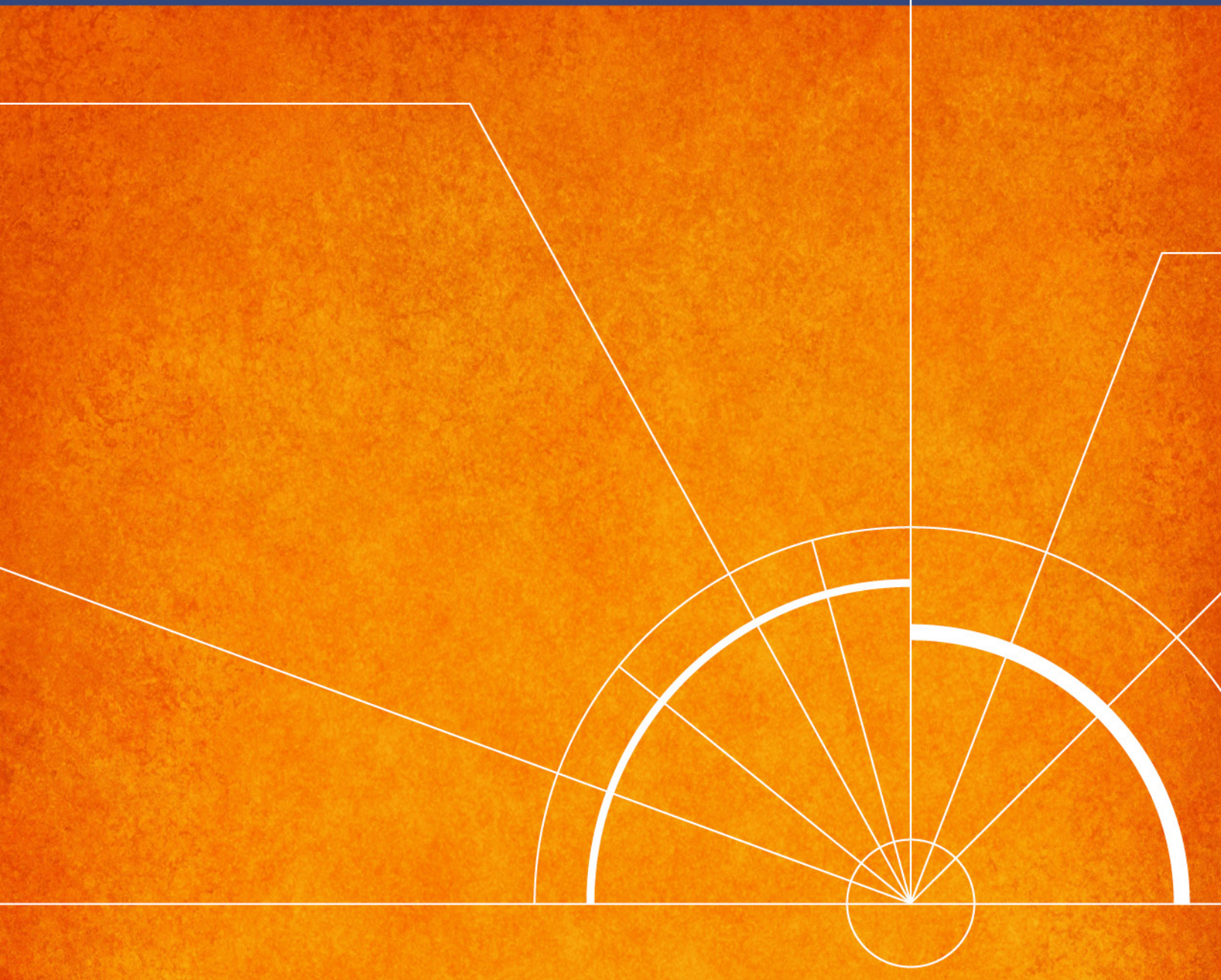


Federal Employee Viewpoint Survey Results

Employees Influencing Change

Securities and Exchange Commission

1st Level Subagency Comparison Report



Securities and Exchange Commission

1st Level Subagency Comparison Report

Response Summary

	Surveys Completed	Response Rate
Governmentwide	421,748	49.7%
Securities and Exchange Commission	1,921	71.8%
Division of Corporation Finance	274	61.4%
Division of Economic Risk and Analysis	36	65.5%
Division of Investment Management	28	60.9%
Division of Trading and Markets	44	55.7%
Executive Staff	12	48.0%
National Enforcement Program	437	74.4%
National Examination Program	507	73.4%
Office of Acquisitions	37	86.0%
Office of Chief Accountant	23	76.7%
Office of Credit Ratings	22	75.9%
Office of Financial Management	34	75.6%
Office of General Counsel	43	65.2%
Office of Human Resources	82	79.6%
Office of Information Technology	27	69.2%
Office of Inspector General	28	93.3%
Office of International Affairs	39	81.3%
Office of Investor Education and Advocacy	31	79.5%
Office of Support Operations	35	79.5%
Office of the Chief Operating Officer	15	78.9%
Office of the Secretary	17	94.4%
Other (ALJ, OIAD, OEC, OEE0, OMS, OMWI, OPA)	36	73.5%
Regional Operations	108	79.4%

This 2015 Federal Employee Viewpoint Survey Report provides summary results for subagencies within your department or agency. The results include response percentages for each survey item. The definitions for the Positive, Neutral, and Negative response percentages vary in the following ways across the three primary response scales used in the survey:

Positive: *Strongly Agree* and *Agree* / *Very Satisfied* and *Satisfied* / *Very Good* and *Good*

Neutral: *Neither Agree nor Disagree* / *Neither Satisfied nor Dissatisfied* / *Fair*

Negative: *Disagree* and *Strongly Disagree* / *Dissatisfied* and *Very Dissatisfied* / *Poor* and *Very Poor*

Positive, Neutral, and Negative percentages are based on the total number of responses (N) that are in these three categories. The number of *Do Not Know (DNK)* or *No Basis to Judge (NBJ)* responses, where applicable, is listed separately.

Note: Response rates are not calculated when there are fewer than 4 completed surveys. The report tables that follow do not include results for any subagency that had fewer than 10 completed surveys.

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My Work Experience

1. I am given a real opportunity to improve my skills in my organization.

	N	Positive	Neutral	Negative
Governmentwide	420,841	61.3%	16.6%	22.1%
Securities and Exchange Commission	1,917	71.8%	12.1%	16.0%
Division of Corporation Finance	272	72.3%	10.6%	17.1%
Division of Economic Risk and Analysis	36	78.9%	6.5%	14.5%
Division of Investment Management	28	59.5%	12.1%	28.4%
Division of Trading and Markets	44	74.9%	16.6%	8.5%
Executive Staff	12	90.5%	0.0%	9.5%
National Enforcement Program	435	74.9%	10.8%	14.3%
National Examination Program	507	68.0%	15.3%	16.7%
Office of Acquisitions	37	77.8%	5.2%	17.0%
Office of Chief Accountant	23	79.8%	7.7%	12.5%
Office of Credit Ratings	22	51.8%	29.7%	18.5%
Office of Financial Management	34	69.9%	7.8%	22.3%
Office of General Counsel	43	50.2%	12.7%	37.1%
Office of Human Resources	82	76.8%	8.6%	14.6%
Office of Information Technology	27	74.8%	18.8%	6.4%
Office of Inspector General	28	89.1%	7.1%	3.7%
Office of International Affairs	39	67.0%	11.7%	21.3%
Office of Investor Education and Advocacy	31	54.3%	27.1%	18.6%
Office of Support Operations	35	71.4%	8.1%	20.5%
Office of the Chief Operating Officer	15	78.4%	5.9%	15.7%
Office of the Secretary	17	88.8%	0.0%	11.2%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	36	86.5%	2.5%	11.0%
Regional Operations	108	73.4%	13.0%	13.6%

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Work Experience (continued)

2. I have enough information to do my job well.

	N	Positive	Neutral	Negative
Governmentwide	418,183	69.9%	15.0%	15.2%
Securities and Exchange Commission	1,908	74.0%	12.9%	13.1%
Division of Corporation Finance	270	77.0%	10.4%	12.7%
Division of Economic Risk and Analysis	36	76.2%	13.8%	10.0%
Division of Investment Management	28	59.0%	20.5%	20.5%
Division of Trading and Markets	44	69.9%	14.3%	15.8%
Executive Staff	12	100.0%	0.0%	0.0%
National Enforcement Program	434	80.5%	10.0%	9.6%
National Examination Program	505	68.5%	15.2%	16.3%
Office of Acquisitions	35	73.8%	13.7%	12.5%
Office of Chief Accountant	23	75.7%	8.5%	15.8%
Office of Credit Ratings	22	62.1%	18.6%	19.3%
Office of Financial Management	34	76.0%	11.2%	12.7%
Office of General Counsel	43	64.5%	15.6%	19.9%
Office of Human Resources	81	72.6%	17.2%	10.2%
Office of Information Technology	27	62.7%	22.6%	14.7%
Office of Inspector General	28	90.0%	10.0%	0.0%
Office of International Affairs	39	66.9%	10.4%	22.7%
Office of Investor Education and Advocacy	31	65.8%	15.8%	18.4%
Office of Support Operations	35	79.5%	15.0%	5.5%
Office of the Chief Operating Officer	15	72.1%	21.1%	6.8%
Office of the Secretary	17	94.0%	6.0%	0.0%
Other (ALJ, OIAD, OEC, OEE0, OMS, OMWI, OPA)	36	72.9%	14.6%	12.5%
Regional Operations	107	76.9%	7.6%	15.6%

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Work Experience (continued)

3. I feel encouraged to come up with new and better ways of doing things.

	N	Positive	Neutral	Negative
Governmentwide	414,872	56.5%	18.3%	25.2%
Securities and Exchange Commission	1,896	57.4%	16.3%	26.3%
Division of Corporation Finance	271	48.5%	20.1%	31.4%
Division of Economic Risk and Analysis	34	73.5%	8.4%	18.0%
Division of Investment Management	28	46.7%	13.3%	40.0%
Division of Trading and Markets	43	52.1%	12.5%	35.4%
Executive Staff	12	76.1%	7.8%	16.1%
National Enforcement Program	432	59.9%	16.3%	23.8%
National Examination Program	501	54.3%	19.2%	26.4%
Office of Acquisitions	37	72.9%	11.1%	16.0%
Office of Chief Accountant	21	53.8%	24.2%	22.0%
Office of Credit Ratings	22	33.1%	35.1%	31.8%
Office of Financial Management	34	67.0%	11.1%	21.9%
Office of General Counsel	43	43.6%	7.6%	48.8%
Office of Human Resources	82	67.2%	12.1%	20.7%
Office of Information Technology	27	59.6%	18.7%	21.7%
Office of Inspector General	28	74.9%	22.0%	3.0%
Office of International Affairs	38	66.4%	7.6%	26.0%
Office of Investor Education and Advocacy	31	47.1%	10.7%	42.1%
Office of Support Operations	34	64.3%	15.2%	20.5%
Office of the Chief Operating Officer	15	84.3%	0.0%	15.7%
Office of the Secretary	16	81.7%	18.3%	0.0%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	36	71.8%	5.2%	23.0%
Regional Operations	105	61.9%	20.1%	18.0%

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Work Experience (continued)

4. My work gives me a feeling of personal accomplishment.

	N	Positive	Neutral	Negative
Governmentwide	418,769	70.4%	14.6%	14.9%
Securities and Exchange Commission	1,911	75.7%	12.8%	11.5%
Division of Corporation Finance	272	73.3%	16.4%	10.3%
Division of Economic Risk and Analysis	36	84.8%	7.1%	8.1%
Division of Investment Management	28	54.9%	17.3%	27.8%
Division of Trading and Markets	44	68.2%	25.7%	6.1%
Executive Staff	12	100.0%	0.0%	0.0%
National Enforcement Program	435	81.7%	8.8%	9.5%
National Examination Program	505	74.6%	16.0%	9.3%
Office of Acquisitions	37	74.9%	11.3%	13.8%
Office of Chief Accountant	22	74.4%	13.2%	12.4%
Office of Credit Ratings	22	74.4%	16.1%	9.5%
Office of Financial Management	34	76.4%	13.8%	9.8%
Office of General Counsel	43	72.4%	2.5%	25.0%
Office of Human Resources	82	70.3%	16.1%	13.6%
Office of Information Technology	27	66.2%	11.6%	22.2%
Office of Inspector General	28	79.1%	13.6%	7.2%
Office of International Affairs	39	68.7%	17.5%	13.8%
Office of Investor Education and Advocacy	31	63.7%	13.5%	22.8%
Office of Support Operations	35	77.0%	12.0%	10.9%
Office of the Chief Operating Officer	15	84.3%	0.0%	15.7%
Office of the Secretary	17	88.8%	11.2%	0.0%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	35	77.8%	10.7%	11.6%
Regional Operations	106	80.7%	8.3%	11.0%

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My Work Experience (continued)

5. *I like the kind of work I do.*

	N	Positive	Neutral	Negative
Governmentwide	414,001	82.9%	10.9%	6.2%
Securities and Exchange Commission	1,904	83.8%	9.7%	6.5%
Division of Corporation Finance	272	85.1%	10.1%	4.9%
Division of Economic Risk and Analysis	36	90.0%	8.4%	1.7%
Division of Investment Management	27	69.9%	13.9%	16.2%
Division of Trading and Markets	44	77.3%	19.6%	3.2%
Executive Staff	11	90.7%	9.3%	0.0%
National Enforcement Program	433	86.6%	7.9%	5.5%
National Examination Program	502	84.6%	9.9%	5.6%
Office of Acquisitions	37	70.4%	17.9%	11.7%
Office of Chief Accountant	23	67.2%	25.1%	7.7%
Office of Credit Ratings	22	75.3%	19.7%	5.0%
Office of Financial Management	33	90.1%	0.0%	9.9%
Office of General Counsel	43	77.5%	10.2%	12.3%
Office of Human Resources	81	85.4%	8.2%	6.4%
Office of Information Technology	27	81.4%	3.8%	14.7%
Office of Inspector General	28	81.7%	10.6%	7.7%
Office of International Affairs	39	81.3%	14.0%	4.7%
Office of Investor Education and Advocacy	31	80.4%	16.4%	3.2%
Office of Support Operations	35	82.2%	8.8%	9.0%
Office of the Chief Operating Officer	15	72.7%	11.6%	15.7%
Office of the Secretary	17	94.7%	5.3%	0.0%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	36	86.3%	4.9%	8.9%
Regional Operations	106	87.5%	8.7%	3.7%

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Work Experience (continued)

6. I know what is expected of me on the job.

	N	Positive	Neutral	Negative
Governmentwide	417,035	79.1%	11.2%	9.7%
Securities and Exchange Commission	1,900	74.9%	11.3%	13.9%
Division of Corporation Finance	269	80.3%	8.0%	11.7%
Division of Economic Risk and Analysis	36	71.8%	6.8%	21.4%
Division of Investment Management	27	70.0%	13.5%	16.5%
Division of Trading and Markets	44	77.3%	6.2%	16.6%
Executive Staff	12	100.0%	0.0%	0.0%
National Enforcement Program	429	77.4%	10.8%	11.8%
National Examination Program	505	70.4%	14.8%	14.8%
Office of Acquisitions	37	81.1%	8.2%	10.8%
Office of Chief Accountant	23	84.2%	0.0%	15.8%
Office of Credit Ratings	22	65.3%	18.9%	15.8%
Office of Financial Management	34	74.5%	13.4%	12.1%
Office of General Counsel	43	70.5%	14.3%	15.2%
Office of Human Resources	81	70.8%	14.8%	14.4%
Office of Information Technology	26	60.9%	12.3%	26.8%
Office of Inspector General	28	83.2%	16.8%	0.0%
Office of International Affairs	39	62.4%	18.1%	19.5%
Office of Investor Education and Advocacy	30	62.5%	6.9%	30.6%
Office of Support Operations	35	88.4%	3.1%	8.5%
Office of the Chief Operating Officer	15	66.4%	26.8%	6.8%
Office of the Secretary	16	87.8%	12.2%	0.0%
Other (ALJ, OIAD, OEC, OEE0, OMS, OMWI, OPA)	36	77.8%	7.4%	14.9%
Regional Operations	107	77.6%	11.4%	11.0%

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My Work Experience (continued)

7. When needed I am willing to put in the extra effort to get a job done.

	N	Positive	Neutral	Negative
Governmentwide	418,594	95.6%	2.8%	1.7%
Securities and Exchange Commission	1,912	97.0%	1.9%	1.1%
Division of Corporation Finance	272	96.2%	2.6%	1.1%
Division of Economic Risk and Analysis	36	97.2%	2.8%	0.0%
Division of Investment Management	28	100.0%	0.0%	0.0%
Division of Trading and Markets	44	96.3%	3.7%	0.0%
Executive Staff	12	100.0%	0.0%	0.0%
National Enforcement Program	433	98.5%	1.0%	0.5%
National Examination Program	505	94.9%	3.0%	2.1%
Office of Acquisitions	37	100.0%	0.0%	0.0%
Office of Chief Accountant	23	100.0%	0.0%	0.0%
Office of Credit Ratings	22	100.0%	0.0%	0.0%
Office of Financial Management	34	93.7%	3.0%	3.3%
Office of General Counsel	43	94.9%	2.6%	2.5%
Office of Human Resources	82	97.2%	0.0%	2.8%
Office of Information Technology	27	100.0%	0.0%	0.0%
Office of Inspector General	28	100.0%	0.0%	0.0%
Office of International Affairs	39	90.5%	2.2%	7.3%
Office of Investor Education and Advocacy	31	96.5%	3.5%	0.0%
Office of Support Operations	35	94.1%	3.1%	2.8%
Office of the Chief Operating Officer	15	93.2%	0.0%	6.8%
Office of the Secretary	17	100.0%	0.0%	0.0%
Other (ALJ, OIAD, OEC, OEE0, OMS, OMWI, OPA)	36	97.5%	2.5%	0.0%
Regional Operations	107	97.3%	1.8%	0.9%

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My Work Experience (continued)

8. I am constantly looking for ways to do my job better.

	N	Positive	Neutral	Negative
Governmentwide	419,588	90.5%	7.6%	1.9%
Securities and Exchange Commission	1,912	88.5%	8.4%	3.1%
Division of Corporation Finance	270	87.7%	10.1%	2.2%
Division of Economic Risk and Analysis	36	91.0%	9.0%	0.0%
Division of Investment Management	28	85.0%	7.4%	7.6%
Division of Trading and Markets	44	83.8%	9.2%	7.0%
Executive Staff	12	100.0%	0.0%	0.0%
National Enforcement Program	435	89.7%	7.8%	2.6%
National Examination Program	507	85.5%	11.0%	3.5%
Office of Acquisitions	37	97.7%	0.0%	2.3%
Office of Chief Accountant	23	79.1%	20.9%	0.0%
Office of Credit Ratings	22	92.7%	7.3%	0.0%
Office of Financial Management	34	88.2%	8.6%	3.3%
Office of General Counsel	43	84.7%	9.7%	5.6%
Office of Human Resources	81	90.2%	5.8%	3.9%
Office of Information Technology	27	96.0%	4.0%	0.0%
Office of Inspector General	28	96.5%	0.0%	3.5%
Office of International Affairs	39	90.7%	4.6%	4.7%
Office of Investor Education and Advocacy	31	90.3%	6.5%	3.2%
Office of Support Operations	34	85.4%	11.7%	2.9%
Office of the Chief Operating Officer	15	93.2%	0.0%	6.8%
Office of the Secretary	17	94.7%	5.3%	0.0%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	36	97.0%	0.0%	3.0%
Regional Operations	107	90.7%	8.4%	0.9%

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My Work Experience (continued)

9. I have sufficient resources (for example, people, materials, budget) to get my job done.

	N	Positive	Neutral	Negative	DNK
Governmentwide	419,427	46.1%	16.2%	37.7%	1,039
Securities and Exchange Commission	1,910	53.4%	16.9%	29.8%	5
Division of Corporation Finance	272	65.1%	13.7%	21.1%	0
Division of Economic Risk and Analysis	36	52.7%	16.9%	30.4%	0
Division of Investment Management	27	52.2%	22.2%	25.6%	1
Division of Trading and Markets	44	55.6%	12.3%	32.2%	0
Executive Staff	12	68.3%	0.0%	31.7%	0
National Enforcement Program	435	45.7%	18.6%	35.7%	1
National Examination Program	503	53.4%	16.6%	30.0%	2
Office of Acquisitions	37	59.5%	19.4%	21.1%	0
Office of Chief Accountant	23	70.2%	13.1%	16.7%	0
Office of Credit Ratings	22	59.2%	15.1%	25.7%	0
Office of Financial Management	34	60.6%	16.5%	22.9%	0
Office of General Counsel	43	64.1%	20.3%	15.6%	0
Office of Human Resources	81	50.9%	10.7%	38.4%	1
Office of Information Technology	27	24.1%	35.2%	40.7%	0
Office of Inspector General	28	74.1%	13.6%	12.3%	0
Office of International Affairs	39	41.3%	11.1%	47.6%	0
Office of Investor Education and Advocacy	31	59.9%	18.8%	21.3%	0
Office of Support Operations	35	72.4%	13.4%	14.2%	0
Office of the Chief Operating Officer	15	53.7%	26.7%	19.6%	0
Office of the Secretary	17	75.2%	18.8%	6.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	35	67.9%	7.8%	24.2%	0
Regional Operations	108	66.0%	5.5%	28.6%	0

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My Work Experience (continued)

10. My workload is reasonable.

	N	Positive	Neutral	Negative	DNK
Governmentwide	417,538	57.0%	16.5%	26.5%	784
Securities and Exchange Commission	1,908	65.7%	13.7%	20.6%	3
Division of Corporation Finance	270	71.1%	11.4%	17.5%	1
Division of Economic Risk and Analysis	36	47.0%	24.1%	28.9%	0
Division of Investment Management	28	71.6%	7.9%	20.4%	0
Division of Trading and Markets	44	81.9%	6.6%	11.4%	0
Executive Staff	12	65.6%	0.0%	34.4%	0
National Enforcement Program	434	66.0%	13.2%	20.8%	1
National Examination Program	504	65.1%	15.9%	19.0%	0
Office of Acquisitions	37	50.1%	17.3%	32.6%	0
Office of Chief Accountant	23	87.9%	3.5%	8.6%	0
Office of Credit Ratings	22	56.7%	24.2%	19.1%	0
Office of Financial Management	33	66.7%	9.9%	23.4%	1
Office of General Counsel	43	63.8%	21.1%	15.2%	0
Office of Human Resources	82	49.6%	13.6%	36.9%	0
Office of Information Technology	27	39.6%	26.3%	34.1%	0
Office of Inspector General	28	80.1%	10.6%	9.3%	0
Office of International Affairs	38	44.9%	16.4%	38.7%	0
Office of Investor Education and Advocacy	31	56.1%	19.4%	24.5%	0
Office of Support Operations	35	74.6%	7.8%	17.7%	0
Office of the Chief Operating Officer	15	86.6%	6.6%	6.8%	0
Office of the Secretary	17	72.5%	15.9%	11.6%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	36	75.2%	8.0%	16.9%	0
Regional Operations	107	70.0%	8.1%	21.9%	0

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My Work Experience (continued)

11. My talents are used well in the workplace.

	N	Positive	Neutral	Negative	DNK
Governmentwide	406,246	57.7%	16.7%	25.6%	1,945
Securities and Exchange Commission	1,876	59.5%	14.9%	25.6%	7
Division of Corporation Finance	266	53.0%	19.6%	27.4%	0
Division of Economic Risk and Analysis	35	66.2%	16.4%	17.4%	0
Division of Investment Management	28	46.8%	21.2%	32.0%	0
Division of Trading and Markets	43	63.6%	7.8%	28.6%	0
Executive Staff	12	83.8%	8.4%	7.8%	0
National Enforcement Program	425	60.7%	15.5%	23.8%	3
National Examination Program	491	58.9%	16.4%	24.6%	4
Office of Acquisitions	35	64.1%	12.9%	23.0%	0
Office of Chief Accountant	23	75.2%	8.9%	15.8%	0
Office of Credit Ratings	22	52.9%	14.3%	32.8%	0
Office of Financial Management	34	57.6%	23.7%	18.7%	0
Office of General Counsel	43	40.7%	10.8%	48.6%	0
Office of Human Resources	80	50.5%	16.7%	32.8%	0
Office of Information Technology	27	66.3%	7.7%	26.0%	0
Office of Inspector General	28	78.5%	10.5%	10.9%	0
Office of International Affairs	39	69.3%	8.2%	22.5%	0
Office of Investor Education and Advocacy	31	48.7%	12.0%	39.3%	0
Office of Support Operations	35	67.8%	9.1%	23.1%	0
Office of the Chief Operating Officer	15	59.1%	19.7%	21.2%	0
Office of the Secretary	16	68.2%	26.1%	5.7%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	36	75.4%	5.5%	19.1%	0
Regional Operations	106	67.4%	7.5%	25.1%	0

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My Work Experience (continued)

12. I know how my work relates to the agency's goals and priorities.

	N	Positive	Neutral	Negative	DNK
Governmentwide	416,802	82.5%	10.3%	7.3%	1,495
Securities and Exchange Commission	1,903	85.3%	7.6%	7.1%	4
Division of Corporation Finance	267	81.5%	8.2%	10.3%	1
Division of Economic Risk and Analysis	36	84.6%	12.2%	3.1%	0
Division of Investment Management	28	74.9%	13.2%	11.9%	0
Division of Trading and Markets	44	78.7%	8.3%	13.1%	0
Executive Staff	12	100.0%	0.0%	0.0%	0
National Enforcement Program	435	86.0%	6.5%	7.5%	0
National Examination Program	501	86.4%	7.6%	6.0%	3
Office of Acquisitions	36	89.2%	8.7%	2.1%	0
Office of Chief Accountant	23	66.5%	21.1%	12.3%	0
Office of Credit Ratings	22	86.7%	13.3%	0.0%	0
Office of Financial Management	34	93.8%	2.9%	3.3%	0
Office of General Counsel	43	87.4%	7.5%	5.2%	0
Office of Human Resources	82	88.2%	7.3%	4.5%	0
Office of Information Technology	27	88.3%	8.3%	3.4%	0
Office of Inspector General	28	86.8%	9.8%	3.4%	0
Office of International Affairs	39	84.4%	8.0%	7.5%	0
Office of Investor Education and Advocacy	31	84.3%	9.3%	6.3%	0
Office of Support Operations	35	88.5%	6.0%	5.5%	0
Office of the Chief Operating Officer	15	79.1%	12.0%	8.9%	0
Office of the Secretary	17	100.0%	0.0%	0.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	36	89.3%	4.9%	5.8%	0
Regional Operations	106	90.4%	4.1%	5.5%	0

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My Work Experience (continued)

13. The work I do is important.

	N	Positive	Neutral	Negative	DNK
Governmentwide	413,090	90.0%	6.8%	3.2%	1,176
Securities and Exchange Commission	1,871	87.8%	8.4%	3.8%	5
Division of Corporation Finance	269	86.3%	8.0%	5.7%	0
Division of Economic Risk and Analysis	36	90.4%	9.6%	0.0%	0
Division of Investment Management	28	75.9%	20.4%	3.7%	0
Division of Trading and Markets	42	79.7%	17.0%	3.3%	0
Executive Staff	12	90.5%	9.5%	0.0%	0
National Enforcement Program	428	90.3%	6.1%	3.6%	2
National Examination Program	486	88.7%	7.2%	4.1%	2
Office of Acquisitions	37	94.3%	5.7%	0.0%	0
Office of Chief Accountant	23	80.1%	15.7%	4.2%	0
Office of Credit Ratings	22	79.2%	17.1%	3.7%	0
Office of Financial Management	32	93.4%	6.6%	0.0%	1
Office of General Counsel	43	77.4%	14.9%	7.7%	0
Office of Human Resources	78	87.9%	7.0%	5.0%	0
Office of Information Technology	26	88.8%	7.7%	3.5%	0
Office of Inspector General	28	89.8%	6.7%	3.5%	0
Office of International Affairs	39	83.8%	14.0%	2.2%	0
Office of Investor Education and Advocacy	31	87.1%	9.7%	3.2%	0
Office of Support Operations	35	94.7%	2.6%	2.7%	0
Office of the Chief Operating Officer	15	84.5%	0.0%	15.5%	0
Office of the Secretary	15	100.0%	0.0%	0.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	36	88.9%	5.5%	5.6%	0
Regional Operations	104	90.2%	7.6%	2.2%	0

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Work Experience (continued)

14. Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.

	N	Positive	Neutral	Negative	DNK
Governmentwide	417,770	65.8%	14.1%	20.1%	1,841
Securities and Exchange Commission	1,895	83.2%	8.6%	8.2%	6
Division of Corporation Finance	266	85.8%	7.1%	7.1%	3
Division of Economic Risk and Analysis	36	79.8%	4.1%	16.1%	0
Division of Investment Management	27	94.0%	1.3%	4.7%	0
Division of Trading and Markets	44	73.3%	20.0%	6.7%	0
Executive Staff	11	92.6%	0.0%	7.4%	0
National Enforcement Program	435	82.3%	8.2%	9.5%	0
National Examination Program	500	83.9%	8.3%	7.8%	1
Office of Acquisitions	36	93.8%	6.2%	0.0%	0
Office of Chief Accountant	23	91.9%	4.2%	3.9%	0
Office of Credit Ratings	22	79.6%	8.5%	11.9%	0
Office of Financial Management	33	90.5%	9.5%	0.0%	0
Office of General Counsel	43	82.8%	9.7%	7.4%	0
Office of Human Resources	80	85.0%	8.8%	6.2%	1
Office of Information Technology	27	65.4%	19.9%	14.7%	0
Office of Inspector General	28	96.3%	3.7%	0.0%	0
Office of International Affairs	39	81.9%	7.0%	11.1%	0
Office of Investor Education and Advocacy	31	90.3%	9.7%	0.0%	0
Office of Support Operations	33	87.6%	3.0%	9.4%	1
Office of the Chief Operating Officer	14	92.7%	0.0%	7.3%	0
Office of the Secretary	17	93.6%	6.4%	0.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	36	88.5%	4.9%	6.6%	0
Regional Operations	108	79.7%	7.8%	12.5%	0

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Work Experience (continued)

15. My performance appraisal is a fair reflection of my performance.

	N	Positive	Neutral	Negative	DNK
Governmentwide	413,321	69.1%	14.4%	16.5%	5,987
Securities and Exchange Commission	1,882	66.0%	14.8%	19.2%	32
Division of Corporation Finance	269	60.7%	18.8%	20.5%	4
Division of Economic Risk and Analysis	35	66.3%	15.6%	18.1%	1
Division of Investment Management	28	58.2%	29.9%	11.9%	0
Division of Trading and Markets	44	71.3%	6.5%	22.2%	0
Executive Staff	12	100.0%	0.0%	0.0%	0
National Enforcement Program	427	68.4%	13.8%	17.9%	9
National Examination Program	499	59.9%	18.4%	21.7%	7
Office of Acquisitions	36	73.3%	12.6%	14.1%	1
Office of Chief Accountant	22	68.5%	13.9%	17.6%	1
Office of Credit Ratings	22	77.5%	8.7%	13.8%	0
Office of Financial Management	34	53.1%	19.8%	27.1%	0
Office of General Counsel	42	49.4%	12.9%	37.7%	1
Office of Human Resources	80	72.4%	9.8%	17.8%	2
Office of Information Technology	27	81.4%	4.3%	14.3%	0
Office of Inspector General	28	83.1%	10.2%	6.7%	0
Office of International Affairs	36	66.4%	11.8%	21.8%	3
Office of Investor Education and Advocacy	29	62.8%	7.5%	29.6%	0
Office of Support Operations	34	78.6%	9.0%	12.4%	0
Office of the Chief Operating Officer	15	59.8%	24.9%	15.3%	0
Office of the Secretary	17	88.8%	11.2%	0.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	33	72.4%	11.6%	15.9%	2
Regional Operations	107	72.5%	13.3%	14.2%	1

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My Work Experience (continued)

16. I am held accountable for achieving results.

	N	Positive	Neutral	Negative	DNK
Governmentwide	416,218	81.3%	12.2%	6.5%	2,077
Securities and Exchange Commission	1,897	79.7%	12.9%	7.4%	13
Division of Corporation Finance	271	80.3%	14.9%	4.8%	1
Division of Economic Risk and Analysis	35	84.1%	11.8%	4.1%	1
Division of Investment Management	27	82.1%	10.0%	7.9%	1
Division of Trading and Markets	44	78.4%	6.5%	15.1%	0
Executive Staff	12	85.6%	14.4%	0.0%	0
National Enforcement Program	430	76.5%	15.8%	7.7%	2
National Examination Program	501	74.5%	16.0%	9.5%	5
Office of Acquisitions	36	97.9%	0.0%	2.1%	0
Office of Chief Accountant	23	76.0%	15.6%	8.4%	0
Office of Credit Ratings	22	76.8%	14.2%	9.0%	0
Office of Financial Management	33	83.1%	14.2%	2.7%	1
Office of General Counsel	42	70.8%	16.3%	12.9%	0
Office of Human Resources	82	90.8%	4.5%	4.7%	0
Office of Information Technology	27	100.0%	0.0%	0.0%	0
Office of Inspector General	28	89.1%	7.9%	3.0%	0
Office of International Affairs	39	79.7%	10.7%	9.7%	0
Office of Investor Education and Advocacy	31	83.5%	10.2%	6.3%	0
Office of Support Operations	35	91.7%	0.0%	8.3%	0
Office of the Chief Operating Officer	15	78.1%	21.9%	0.0%	0
Office of the Secretary	17	88.5%	11.5%	0.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	35	90.9%	3.1%	6.0%	0
Regional Operations	106	81.5%	13.7%	4.9%	2

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My Work Experience (continued)

17. I can disclose a suspected violation of any law, rule or regulation without fear of reprisal.

	N	Positive	Neutral	Negative	DNK
Governmentwide	400,156	61.2%	18.7%	20.1%	18,409
Securities and Exchange Commission	1,767	68.8%	14.4%	16.8%	135
Division of Corporation Finance	247	67.3%	14.1%	18.5%	26
Division of Economic Risk and Analysis	33	63.6%	20.0%	16.5%	2
Division of Investment Management	23	69.1%	14.4%	16.5%	5
Division of Trading and Markets	42	68.9%	16.9%	14.2%	2
Executive Staff	12	76.1%	14.4%	9.5%	0
National Enforcement Program	392	69.8%	12.3%	17.9%	42
National Examination Program	482	74.7%	13.4%	11.8%	20
Office of Acquisitions	35	65.3%	14.4%	20.2%	2
Office of Chief Accountant	22	78.6%	4.9%	16.5%	1
Office of Credit Ratings	21	59.6%	24.9%	15.5%	1
Office of Financial Management	30	62.0%	24.4%	13.5%	3
Office of General Counsel	38	52.5%	15.5%	32.0%	5
Office of Human Resources	76	54.6%	19.4%	26.0%	4
Office of Information Technology	23	54.7%	32.1%	13.1%	4
Office of Inspector General	28	89.8%	10.2%	0.0%	0
Office of International Affairs	35	65.7%	12.2%	22.1%	4
Office of Investor Education and Advocacy	27	81.1%	8.1%	10.8%	2
Office of Support Operations	35	56.4%	11.7%	32.0%	0
Office of the Chief Operating Officer	15	72.1%	19.0%	8.9%	0
Office of the Secretary	15	86.6%	13.4%	0.0%	2
Other (ALJ, OIAD, OEC, OEE0, OMS, OMWI, OPA)	32	68.7%	2.8%	28.5%	3
Regional Operations	98	72.3%	11.2%	16.5%	7

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My Work Experience (continued)

18. My training needs are assessed.

	N	Positive	Neutral	Negative	DNK
Governmentwide	414,506	51.7%	23.1%	25.2%	4,422
Securities and Exchange Commission	1,889	54.8%	22.1%	23.1%	20
Division of Corporation Finance	269	63.5%	19.3%	17.2%	2
Division of Economic Risk and Analysis	36	61.1%	17.9%	21.0%	0
Division of Investment Management	27	55.9%	10.8%	33.3%	1
Division of Trading and Markets	44	64.6%	12.6%	22.7%	0
Executive Staff	12	64.3%	8.4%	27.3%	0
National Enforcement Program	431	49.2%	24.2%	26.5%	4
National Examination Program	500	51.5%	23.8%	24.7%	4
Office of Acquisitions	37	69.2%	20.0%	10.7%	0
Office of Chief Accountant	23	35.8%	35.4%	28.8%	0
Office of Credit Ratings	22	29.7%	29.1%	41.2%	0
Office of Financial Management	33	74.4%	16.6%	9.0%	1
Office of General Counsel	42	28.8%	37.8%	33.4%	1
Office of Human Resources	81	45.6%	29.3%	25.1%	1
Office of Information Technology	27	69.4%	19.0%	11.6%	0
Office of Inspector General	28	86.6%	6.7%	6.7%	0
Office of International Affairs	37	45.0%	30.0%	25.0%	2
Office of Investor Education and Advocacy	30	39.3%	44.9%	15.9%	0
Office of Support Operations	34	69.9%	12.4%	17.7%	0
Office of the Chief Operating Officer	14	69.6%	13.5%	16.9%	1
Office of the Secretary	17	60.3%	28.3%	11.4%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	35	63.4%	18.8%	17.8%	1
Regional Operations	104	57.1%	23.7%	19.2%	2

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My Work Experience (continued)

19. In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (for example, Fully Successful, Outstanding).

	N	Positive	Neutral	Negative	NBJ
Governmentwide	410,220	68.1%	14.1%	17.8%	10,590
Securities and Exchange Commission	1,870	51.4%	17.4%	31.1%	44
Division of Corporation Finance	273	43.9%	18.0%	38.1%	0
Division of Economic Risk and Analysis	34	57.3%	20.6%	22.0%	2
Division of Investment Management	27	30.2%	27.2%	42.6%	1
Division of Trading and Markets	42	53.9%	15.1%	31.0%	2
Executive Staff	12	66.0%	16.2%	17.8%	0
National Enforcement Program	422	50.8%	17.7%	31.4%	13
National Examination Program	500	49.8%	16.6%	33.6%	7
Office of Acquisitions	37	61.5%	19.5%	19.0%	0
Office of Chief Accountant	22	36.0%	32.0%	32.0%	1
Office of Credit Ratings	22	54.7%	8.0%	37.3%	0
Office of Financial Management	34	51.8%	19.1%	29.1%	0
Office of General Counsel	43	34.5%	26.4%	39.0%	0
Office of Human Resources	79	50.6%	16.1%	33.3%	3
Office of Information Technology	27	70.0%	14.4%	15.6%	0
Office of Inspector General	27	82.7%	10.9%	6.4%	1
Office of International Affairs	37	50.1%	21.8%	28.1%	2
Office of Investor Education and Advocacy	30	57.2%	4.3%	38.5%	1
Office of Support Operations	35	73.3%	8.7%	17.9%	0
Office of the Chief Operating Officer	15	40.3%	30.8%	28.9%	0
Office of the Secretary	16	83.5%	10.3%	6.1%	1
Other (ALJ, OIAD, OEC, OEEEO, OMS, OMWI, OPA)	27	66.4%	11.6%	22.1%	7
Regional Operations	103	64.2%	14.4%	21.4%	3

Securities and Exchange Commission

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My Work Unit

20. The people I work with cooperate to get the job done.

	N	Positive	Neutral	Negative
Governmentwide	420,499	72.7%	14.0%	13.3%
Securities and Exchange Commission	1,914	76.8%	12.5%	10.8%
Division of Corporation Finance	274	84.5%	8.9%	6.6%
Division of Economic Risk and Analysis	36	77.3%	18.9%	3.8%
Division of Investment Management	28	73.7%	14.5%	11.8%
Division of Trading and Markets	43	75.8%	11.0%	13.1%
Executive Staff	12	76.1%	6.7%	17.3%
National Enforcement Program	434	76.9%	11.1%	12.0%
National Examination Program	506	75.6%	13.5%	10.9%
Office of Acquisitions	36	75.0%	18.8%	6.2%
Office of Chief Accountant	23	74.9%	13.0%	12.1%
Office of Credit Ratings	22	84.2%	4.5%	11.3%
Office of Financial Management	34	85.5%	12.2%	2.3%
Office of General Counsel	43	75.3%	14.5%	10.1%
Office of Human Resources	82	76.7%	10.7%	12.6%
Office of Information Technology	27	60.8%	24.0%	15.2%
Office of Inspector General	28	96.3%	3.7%	0.0%
Office of International Affairs	39	74.5%	8.2%	17.4%
Office of Investor Education and Advocacy	30	71.4%	16.4%	12.3%
Office of Support Operations	35	74.1%	9.1%	16.8%
Office of the Chief Operating Officer	15	85.2%	14.8%	0.0%
Office of the Secretary	17	81.3%	12.9%	5.8%
Other (ALJ, OIAD, OEC, OEE0, OMS, OMWI, OPA)	36	83.3%	10.9%	5.8%
Regional Operations	108	69.5%	17.8%	12.6%

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Work Unit (continued)

21. My work unit is able to recruit people with the right skills.

	N	Positive	Neutral	Negative	DNK
Governmentwide	405,630	41.6%	25.7%	32.7%	15,085
Securities and Exchange Commission	1,825	63.5%	18.3%	18.2%	91
Division of Corporation Finance	253	69.1%	13.5%	17.4%	20
Division of Economic Risk and Analysis	35	58.3%	23.9%	17.7%	1
Division of Investment Management	26	54.6%	19.2%	26.1%	2
Division of Trading and Markets	44	57.9%	18.5%	23.6%	0
Executive Staff	12	72.7%	17.9%	9.4%	0
National Enforcement Program	409	69.0%	16.4%	14.6%	28
National Examination Program	488	59.6%	20.1%	20.4%	18
Office of Acquisitions	35	62.4%	27.3%	10.2%	2
Office of Chief Accountant	23	84.0%	7.4%	8.6%	0
Office of Credit Ratings	22	61.2%	5.8%	33.0%	0
Office of Financial Management	32	70.5%	9.9%	19.7%	1
Office of General Counsel	41	70.2%	27.2%	2.6%	1
Office of Human Resources	81	67.3%	14.2%	18.5%	1
Office of Information Technology	26	44.3%	28.9%	26.8%	1
Office of Inspector General	26	92.6%	3.7%	3.8%	2
Office of International Affairs	37	53.5%	16.7%	29.9%	1
Office of Investor Education and Advocacy	30	39.5%	34.3%	26.2%	1
Office of Support Operations	35	44.7%	32.0%	23.2%	0
Office of the Chief Operating Officer	14	49.8%	28.9%	21.3%	1
Office of the Secretary	16	87.5%	6.8%	5.7%	1
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	35	84.8%	9.3%	5.9%	1
Regional Operations	100	53.5%	17.8%	28.6%	8

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Work Unit (continued)

22. Promotions in my work unit are based on merit.

	N	Positive	Neutral	Negative	DNK
Governmentwide	391,579	32.9%	27.9%	39.2%	27,063
Securities and Exchange Commission	1,755	37.9%	21.6%	40.4%	152
Division of Corporation Finance	249	33.8%	23.3%	42.9%	24
Division of Economic Risk and Analysis	32	43.8%	15.6%	40.5%	4
Division of Investment Management	25	28.2%	20.9%	50.9%	2
Division of Trading and Markets	43	39.5%	19.1%	41.4%	1
Executive Staff	9	70.0%	0.0%	30.0%	1
National Enforcement Program	392	36.7%	23.3%	40.0%	42
National Examination Program	469	38.1%	18.7%	43.2%	32
Office of Acquisitions	32	44.0%	28.6%	27.4%	5
Office of Chief Accountant	21	39.2%	28.8%	32.0%	2
Office of Credit Ratings	22	24.3%	30.1%	45.6%	0
Office of Financial Management	32	33.9%	18.0%	48.1%	2
Office of General Counsel	41	37.1%	20.7%	42.2%	2
Office of Human Resources	77	40.5%	21.6%	37.9%	5
Office of Information Technology	25	29.9%	36.9%	33.2%	2
Office of Inspector General	26	85.1%	7.9%	7.0%	2
Office of International Affairs	36	40.6%	24.0%	35.4%	3
Office of Investor Education and Advocacy	30	31.6%	24.8%	43.7%	1
Office of Support Operations	35	44.0%	14.6%	41.4%	0
Office of the Chief Operating Officer	14	42.6%	13.7%	43.7%	1
Office of the Secretary	16	69.4%	17.6%	12.9%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	28	46.3%	31.6%	22.1%	8
Regional Operations	97	46.3%	15.4%	38.3%	11

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My Work Unit (continued)

23. *In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.*

	N	Positive	Neutral	Negative	DNK
Governmentwide	379,304	28.2%	27.0%	44.8%	39,603
Securities and Exchange Commission	1,632	28.6%	27.3%	44.1%	272
Division of Corporation Finance	214	35.1%	32.3%	32.6%	57
Division of Economic Risk and Analysis	26	25.9%	47.7%	26.4%	9
Division of Investment Management	22	35.2%	20.4%	44.3%	6
Division of Trading and Markets	40	19.0%	23.9%	57.1%	3
Executive Staff	10	62.2%	10.2%	27.6%	0
National Enforcement Program	362	22.4%	27.1%	50.5%	71
National Examination Program	451	21.9%	26.4%	51.7%	53
Office of Acquisitions	32	45.0%	30.4%	24.5%	5
Office of Chief Accountant	20	40.7%	26.4%	32.8%	3
Office of Credit Ratings	20	44.4%	34.2%	21.4%	2
Office of Financial Management	27	42.2%	23.2%	34.6%	7
Office of General Counsel	38	15.0%	42.2%	42.8%	5
Office of Human Resources	73	33.6%	29.7%	36.7%	9
Office of Information Technology	26	43.8%	24.9%	31.3%	1
Office of Inspector General	22	53.2%	37.1%	9.7%	6
Office of International Affairs	34	42.9%	23.6%	33.4%	5
Office of Investor Education and Advocacy	29	31.7%	30.6%	37.7%	2
Office of Support Operations	34	51.2%	15.7%	33.1%	1
Office of the Chief Operating Officer	14	43.5%	41.9%	14.6%	1
Office of the Secretary	16	27.2%	55.5%	17.3%	1
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	28	63.8%	10.7%	25.5%	8
Regional Operations	90	31.7%	18.4%	49.9%	15

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Work Unit (continued)

24. *In my work unit, differences in performance are recognized in a meaningful way.*

	N	Positive	Neutral	Negative	DNK
Governmentwide	395,142	32.8%	27.9%	39.3%	24,411
Securities and Exchange Commission	1,738	29.7%	24.5%	45.8%	172
Division of Corporation Finance	242	21.3%	23.3%	55.4%	31
Division of Economic Risk and Analysis	31	46.4%	31.5%	22.1%	5
Division of Investment Management	23	26.4%	8.0%	65.6%	4
Division of Trading and Markets	40	25.4%	26.2%	48.3%	4
Executive Staff	10	51.8%	30.7%	17.5%	0
National Enforcement Program	387	26.1%	29.8%	44.1%	50
National Examination Program	476	25.4%	21.6%	53.0%	29
Office of Acquisitions	31	42.5%	22.9%	34.6%	6
Office of Chief Accountant	20	11.1%	35.5%	53.3%	3
Office of Credit Ratings	21	21.8%	19.7%	58.5%	1
Office of Financial Management	31	38.3%	24.1%	37.5%	2
Office of General Counsel	40	27.5%	18.6%	54.0%	3
Office of Human Resources	77	41.0%	26.3%	32.7%	5
Office of Information Technology	26	36.3%	29.3%	34.5%	1
Office of Inspector General	24	74.9%	20.3%	4.8%	3
Office of International Affairs	37	46.9%	24.7%	28.4%	2
Office of Investor Education and Advocacy	30	29.8%	12.8%	57.4%	1
Office of Support Operations	33	44.1%	21.9%	34.1%	1
Office of the Chief Operating Officer	15	52.0%	20.3%	27.8%	0
Office of the Secretary	16	71.1%	22.7%	6.2%	1
Other (ALJ, OIAD, OEC, OEE0, OMS, OMWI, OPA)	28	58.8%	14.3%	26.9%	7
Regional Operations	95	41.3%	17.8%	40.8%	12

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Work Unit (continued)

25. Awards in my work unit depend on how well employees perform their jobs.

	N	Positive	Neutral	Negative	DNK
Governmentwide	390,970	40.1%	25.0%	34.9%	27,677
Securities and Exchange Commission	1,712	42.3%	21.6%	36.1%	189
Division of Corporation Finance	237	30.4%	25.3%	44.3%	34
Division of Economic Risk and Analysis	31	55.4%	30.8%	13.8%	5
Division of Investment Management	26	45.3%	19.2%	35.6%	2
Division of Trading and Markets	40	36.5%	25.8%	37.7%	3
Executive Staff	10	50.9%	18.2%	30.9%	0
National Enforcement Program	374	39.7%	25.1%	35.3%	59
National Examination Program	469	43.0%	16.4%	40.6%	29
Office of Acquisitions	31	49.7%	22.3%	28.1%	6
Office of Chief Accountant	20	36.0%	34.8%	29.2%	3
Office of Credit Ratings	21	34.6%	26.9%	38.5%	1
Office of Financial Management	28	43.3%	22.9%	33.8%	6
Office of General Counsel	38	34.0%	14.3%	51.7%	5
Office of Human Resources	79	45.4%	20.3%	34.3%	2
Office of Information Technology	27	46.8%	23.7%	29.5%	0
Office of Inspector General	26	76.7%	23.3%	0.0%	2
Office of International Affairs	37	55.5%	15.5%	28.9%	2
Office of Investor Education and Advocacy	27	43.9%	3.3%	52.8%	4
Office of Support Operations	34	61.2%	9.2%	29.6%	1
Office of the Chief Operating Officer	12	66.7%	7.3%	26.0%	3
Office of the Secretary	17	54.2%	27.8%	18.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	30	59.2%	23.9%	16.9%	6
Regional Operations	93	50.9%	17.4%	31.8%	15

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Work Unit (continued)

26. Employees in my work unit share job knowledge with each other.

	N	Positive	Neutral	Negative	DNK
Governmentwide	417,688	72.7%	14.1%	13.2%	1,762
Securities and Exchange Commission	1,891	76.4%	12.4%	11.2%	11
Division of Corporation Finance	273	78.9%	10.7%	10.4%	0
Division of Economic Risk and Analysis	35	67.0%	23.7%	9.3%	1
Division of Investment Management	28	73.7%	17.4%	8.8%	0
Division of Trading and Markets	43	68.7%	14.7%	16.6%	0
Executive Staff	9	79.7%	20.3%	0.0%	0
National Enforcement Program	429	81.5%	9.9%	8.5%	4
National Examination Program	503	73.5%	14.4%	12.2%	1
Office of Acquisitions	37	80.8%	8.5%	10.7%	0
Office of Chief Accountant	23	78.9%	4.7%	16.3%	0
Office of Credit Ratings	21	71.8%	10.4%	17.8%	0
Office of Financial Management	33	71.6%	9.7%	18.7%	0
Office of General Counsel	43	74.9%	10.2%	14.8%	0
Office of Human Resources	81	76.2%	12.8%	11.0%	0
Office of Information Technology	27	64.6%	20.7%	14.7%	0
Office of Inspector General	28	92.8%	7.2%	0.0%	0
Office of International Affairs	38	78.6%	5.6%	15.8%	1
Office of Investor Education and Advocacy	31	77.5%	15.5%	7.0%	0
Office of Support Operations	35	73.8%	9.4%	16.8%	0
Office of the Chief Operating Officer	14	100.0%	0.0%	0.0%	0
Office of the Secretary	16	81.1%	13.2%	5.7%	1
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	34	79.6%	14.2%	6.2%	0
Regional Operations	104	68.1%	13.4%	18.6%	3

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Work Unit (continued)

27. The skill level in my work unit has improved in the past year.

	N	Positive	Neutral	Negative	DNK
Governmentwide	403,364	52.5%	29.1%	18.3%	16,549
Securities and Exchange Commission	1,804	57.0%	28.8%	14.3%	107
Division of Corporation Finance	259	53.6%	31.9%	14.5%	15
Division of Economic Risk and Analysis	31	68.8%	27.6%	3.6%	5
Division of Investment Management	24	61.7%	24.0%	14.3%	2
Division of Trading and Markets	43	48.6%	26.5%	24.9%	1
Executive Staff	10	80.4%	19.6%	0.0%	0
National Enforcement Program	406	56.8%	30.1%	13.1%	30
National Examination Program	480	53.3%	30.1%	16.5%	23
Office of Acquisitions	36	74.5%	20.3%	5.1%	1
Office of Chief Accountant	23	23.4%	47.7%	28.9%	0
Office of Credit Ratings	21	46.7%	29.9%	23.4%	1
Office of Financial Management	31	71.1%	22.6%	6.3%	3
Office of General Counsel	40	40.7%	34.3%	24.9%	3
Office of Human Resources	81	58.8%	26.1%	15.1%	1
Office of Information Technology	26	64.5%	32.0%	3.5%	1
Office of Inspector General	27	92.5%	0.0%	7.5%	1
Office of International Affairs	36	63.7%	21.3%	15.0%	3
Office of Investor Education and Advocacy	30	62.3%	24.2%	13.5%	1
Office of Support Operations	34	66.9%	14.9%	18.2%	1
Office of the Chief Operating Officer	14	62.9%	20.4%	16.7%	1
Office of the Secretary	16	88.2%	11.8%	0.0%	1
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	32	72.4%	21.1%	6.4%	3
Regional Operations	99	52.2%	35.9%	11.8%	9

Securities and Exchange Commission *1st Level Subagency Comparison Report*

My Work Unit (continued)

28. How would you rate the overall quality of work done by your work unit?

	N	Positive	Neutral	Negative
Governmentwide	419,817	82.0%	14.5%	3.5%
Securities and Exchange Commission	1,906	86.7%	11.2%	2.2%
Division of Corporation Finance	273	85.4%	12.7%	1.9%
Division of Economic Risk and Analysis	36	88.4%	11.6%	0.0%
Division of Investment Management	28	87.5%	8.8%	3.7%
Division of Trading and Markets	43	89.0%	7.1%	3.8%
Executive Staff	12	100.0%	0.0%	0.0%
National Enforcement Program	430	88.9%	9.8%	1.4%
National Examination Program	504	84.0%	12.2%	3.8%
Office of Acquisitions	37	89.3%	10.7%	0.0%
Office of Chief Accountant	23	87.2%	4.4%	8.4%
Office of Credit Ratings	22	90.6%	9.4%	0.0%
Office of Financial Management	34	90.7%	9.3%	0.0%
Office of General Counsel	43	87.6%	9.6%	2.8%
Office of Human Resources	81	85.1%	10.7%	4.2%
Office of Information Technology	27	77.2%	22.8%	0.0%
Office of Inspector General	28	89.8%	6.7%	3.5%
Office of International Affairs	39	83.0%	12.5%	4.5%
Office of Investor Education and Advocacy	31	84.5%	15.5%	0.0%
Office of Support Operations	35	77.2%	20.0%	2.8%
Office of the Chief Operating Officer	15	91.1%	8.9%	0.0%
Office of the Secretary	17	100.0%	0.0%	0.0%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	35	87.6%	12.4%	0.0%
Regional Operations	107	90.2%	9.8%	0.0%

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency

29. The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.

	N	Positive	Neutral	Negative	DNK
Governmentwide	406,662	69.0%	17.8%	13.2%	7,091
Securities and Exchange Commission	1,848	79.7%	12.4%	7.9%	47
Division of Corporation Finance	262	81.4%	10.5%	8.1%	6
Division of Economic Risk and Analysis	35	75.0%	16.7%	8.4%	1
Division of Investment Management	24	61.2%	29.6%	9.2%	3
Division of Trading and Markets	42	81.3%	6.3%	12.4%	1
Executive Staff	11	89.7%	10.3%	0.0%	0
National Enforcement Program	422	81.6%	12.6%	5.7%	11
National Examination Program	492	75.5%	12.5%	12.0%	10
Office of Acquisitions	36	75.6%	17.5%	7.0%	0
Office of Chief Accountant	23	83.4%	8.8%	7.7%	0
Office of Credit Ratings	22	71.6%	14.3%	14.1%	0
Office of Financial Management	32	90.0%	6.5%	3.5%	1
Office of General Counsel	43	77.7%	15.1%	7.3%	0
Office of Human Resources	78	80.9%	14.8%	4.4%	1
Office of Information Technology	26	84.2%	15.8%	0.0%	1
Office of Inspector General	26	96.2%	0.0%	3.8%	2
Office of International Affairs	38	78.4%	14.5%	7.1%	1
Office of Investor Education and Advocacy	29	74.0%	16.7%	9.3%	0
Office of Support Operations	34	85.7%	0.0%	14.3%	1
Office of the Chief Operating Officer	15	87.1%	6.3%	6.6%	0
Office of the Secretary	17	89.1%	0.0%	10.9%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	35	86.0%	14.0%	0.0%	1
Regional Operations	100	81.7%	10.4%	7.8%	7

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

30. Employees have a feeling of personal empowerment with respect to work processes.

	N	Positive	Neutral	Negative	DNK
Governmentwide	404,200	43.0%	25.2%	31.8%	9,417
Securities and Exchange Commission	1,839	43.8%	21.8%	34.4%	66
Division of Corporation Finance	265	35.1%	25.1%	39.8%	6
Division of Economic Risk and Analysis	36	44.3%	20.4%	35.3%	0
Division of Investment Management	28	29.0%	22.8%	48.2%	0
Division of Trading and Markets	42	34.2%	16.2%	49.7%	2
Executive Staff	11	37.2%	36.9%	25.9%	0
National Enforcement Program	416	43.9%	23.8%	32.3%	19
National Examination Program	492	46.5%	20.6%	32.9%	10
Office of Acquisitions	36	62.2%	15.8%	21.9%	0
Office of Chief Accountant	23	49.4%	21.3%	29.4%	0
Office of Credit Ratings	22	34.3%	19.5%	46.2%	0
Office of Financial Management	32	53.7%	30.0%	16.3%	1
Office of General Counsel	40	36.6%	13.2%	50.2%	3
Office of Human Resources	78	39.3%	25.1%	35.6%	3
Office of Information Technology	26	40.1%	29.5%	30.4%	1
Office of Inspector General	27	89.3%	0.0%	10.7%	1
Office of International Affairs	36	45.1%	20.9%	34.0%	3
Office of Investor Education and Advocacy	27	39.9%	6.8%	53.2%	3
Office of Support Operations	31	67.2%	9.9%	22.8%	4
Office of the Chief Operating Officer	15	51.7%	34.9%	13.4%	0
Office of the Secretary	17	67.0%	16.8%	16.3%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	34	61.1%	9.3%	29.7%	2
Regional Operations	99	50.4%	22.6%	27.0%	8

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

31. Employees are recognized for providing high quality products and services.

	N	Positive	Neutral	Negative	DNK
Governmentwide	403,880	46.5%	23.5%	30.0%	8,603
Securities and Exchange Commission	1,840	52.6%	19.3%	28.1%	55
Division of Corporation Finance	264	39.2%	26.3%	34.5%	6
Division of Economic Risk and Analysis	35	57.6%	23.4%	19.0%	1
Division of Investment Management	26	53.8%	15.5%	30.6%	2
Division of Trading and Markets	42	49.6%	19.3%	31.1%	2
Executive Staff	11	64.1%	25.7%	10.3%	0
National Enforcement Program	415	52.9%	19.9%	27.2%	15
National Examination Program	490	53.5%	18.8%	27.7%	9
Office of Acquisitions	35	60.6%	17.4%	22.0%	0
Office of Chief Accountant	22	46.6%	36.7%	16.7%	1
Office of Credit Ratings	22	42.0%	15.7%	42.3%	0
Office of Financial Management	32	60.5%	16.8%	22.8%	1
Office of General Counsel	43	38.9%	14.8%	46.3%	0
Office of Human Resources	78	54.4%	12.5%	33.0%	3
Office of Information Technology	27	57.7%	15.1%	27.1%	0
Office of Inspector General	27	85.8%	14.2%	0.0%	1
Office of International Affairs	37	59.2%	14.3%	26.5%	2
Office of Investor Education and Advocacy	28	49.8%	14.8%	35.3%	2
Office of Support Operations	33	63.3%	18.8%	17.9%	2
Office of the Chief Operating Officer	15	77.7%	15.5%	6.8%	0
Office of the Secretary	17	77.9%	5.3%	16.7%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	33	65.4%	20.0%	14.6%	3
Regional Operations	102	54.8%	17.9%	27.4%	5

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

32. Creativity and innovation are rewarded.

	N	Positive	Neutral	Negative	DNK
Governmentwide	398,504	36.7%	28.7%	34.6%	13,352
Securities and Exchange Commission	1,829	41.1%	26.1%	32.8%	64
Division of Corporation Finance	265	24.5%	34.7%	40.8%	6
Division of Economic Risk and Analysis	34	47.0%	28.6%	24.4%	2
Division of Investment Management	26	35.3%	23.6%	41.1%	1
Division of Trading and Markets	42	29.4%	30.0%	40.6%	2
Executive Staff	11	55.6%	26.9%	17.5%	0
National Enforcement Program	415	43.5%	24.2%	32.3%	17
National Examination Program	489	43.2%	24.3%	32.5%	10
Office of Acquisitions	35	60.5%	14.5%	25.1%	0
Office of Chief Accountant	22	34.7%	40.1%	25.2%	1
Office of Credit Ratings	21	29.9%	31.0%	39.0%	1
Office of Financial Management	31	45.0%	30.2%	24.8%	2
Office of General Counsel	43	36.5%	17.7%	45.8%	0
Office of Human Resources	78	43.7%	24.0%	32.3%	2
Office of Information Technology	26	40.4%	35.4%	24.1%	1
Office of Inspector General	26	73.9%	26.1%	0.0%	2
Office of International Affairs	37	42.6%	23.2%	34.2%	2
Office of Investor Education and Advocacy	27	34.3%	20.9%	44.8%	3
Office of Support Operations	34	51.1%	25.5%	23.4%	1
Office of the Chief Operating Officer	15	46.7%	39.9%	13.4%	0
Office of the Secretary	17	72.1%	11.2%	16.7%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	32	61.2%	19.0%	19.9%	4
Regional Operations	98	48.5%	23.3%	28.1%	6

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

33. Pay raises depend on how well employees perform their jobs.

	N	Positive	Neutral	Negative	DNK
Governmentwide	383,014	21.1%	26.5%	52.4%	27,671
Securities and Exchange Commission	1,752	17.1%	22.0%	60.9%	141
Division of Corporation Finance	254	9.5%	18.5%	72.0%	14
Division of Economic Risk and Analysis	28	21.2%	37.2%	41.6%	7
Division of Investment Management	26	9.0%	21.0%	70.1%	1
Division of Trading and Markets	42	12.7%	32.5%	54.8%	2
Executive Staff	11	18.5%	36.2%	45.2%	0
National Enforcement Program	389	12.9%	20.6%	66.5%	44
National Examination Program	475	15.6%	20.4%	64.0%	25
Office of Acquisitions	32	21.5%	32.9%	45.6%	3
Office of Chief Accountant	21	20.6%	19.0%	60.4%	2
Office of Credit Ratings	22	21.8%	24.3%	53.9%	0
Office of Financial Management	31	26.9%	11.7%	61.4%	2
Office of General Counsel	40	11.4%	26.5%	62.2%	3
Office of Human Resources	75	40.7%	21.3%	38.0%	6
Office of Information Technology	27	22.6%	24.1%	53.3%	0
Office of Inspector General	24	67.2%	20.8%	12.0%	3
Office of International Affairs	36	27.0%	19.8%	53.1%	3
Office of Investor Education and Advocacy	27	28.6%	11.4%	60.1%	3
Office of Support Operations	35	39.3%	24.3%	36.4%	0
Office of the Chief Operating Officer	14	26.2%	43.1%	30.8%	1
Office of the Secretary	17	50.3%	34.2%	15.6%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	26	34.9%	13.9%	51.1%	10
Regional Operations	95	24.1%	23.9%	52.0%	11

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

34. Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring).

	N	Positive	Neutral	Negative	DNK
Governmentwide	381,978	56.5%	28.1%	15.4%	30,877
Securities and Exchange Commission	1,744	63.4%	20.6%	16.0%	151
Division of Corporation Finance	237	66.0%	20.2%	13.8%	34
Division of Economic Risk and Analysis	31	48.2%	48.0%	3.8%	5
Division of Investment Management	26	39.1%	33.0%	27.9%	2
Division of Trading and Markets	43	71.5%	14.2%	14.3%	1
Executive Staff	10	40.4%	20.2%	39.4%	0
National Enforcement Program	395	60.2%	21.8%	18.0%	40
National Examination Program	465	65.4%	18.7%	15.9%	34
Office of Acquisitions	31	63.6%	14.0%	22.4%	3
Office of Chief Accountant	19	70.3%	24.9%	4.7%	3
Office of Credit Ratings	21	49.3%	34.4%	16.3%	1
Office of Financial Management	31	65.0%	16.1%	18.9%	1
Office of General Counsel	36	66.3%	20.0%	13.6%	7
Office of Human Resources	79	63.6%	17.1%	19.2%	1
Office of Information Technology	26	72.4%	24.0%	3.6%	1
Office of Inspector General	27	79.0%	21.0%	0.0%	1
Office of International Affairs	35	67.1%	12.9%	20.0%	4
Office of Investor Education and Advocacy	27	59.7%	14.1%	26.2%	3
Office of Support Operations	33	75.2%	10.2%	14.6%	2
Office of the Chief Operating Officer	14	70.4%	20.1%	9.5%	1
Office of the Secretary	17	76.5%	17.5%	6.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	35	74.8%	16.7%	8.5%	1
Regional Operations	100	60.7%	17.4%	21.8%	6

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

35. Employees are protected from health and safety hazards on the job.

	N	Positive	Neutral	Negative	DNK
Governmentwide	406,232	75.9%	13.6%	10.5%	6,356
Securities and Exchange Commission	1,816	87.9%	9.5%	2.6%	75
Division of Corporation Finance	257	85.6%	10.6%	3.8%	12
Division of Economic Risk and Analysis	35	87.8%	8.0%	4.2%	1
Division of Investment Management	24	84.5%	15.5%	0.0%	3
Division of Trading and Markets	41	88.4%	8.4%	3.3%	3
Executive Staff	10	92.1%	7.9%	0.0%	1
National Enforcement Program	410	88.2%	9.8%	2.0%	25
National Examination Program	489	86.1%	9.6%	4.3%	9
Office of Acquisitions	34	94.4%	5.6%	0.0%	1
Office of Chief Accountant	21	86.1%	13.9%	0.0%	2
Office of Credit Ratings	21	95.0%	5.0%	0.0%	1
Office of Financial Management	33	86.9%	9.4%	3.7%	0
Office of General Counsel	39	90.2%	9.8%	0.0%	4
Office of Human Resources	78	93.7%	4.9%	1.3%	2
Office of Information Technology	27	89.5%	10.5%	0.0%	0
Office of Inspector General	24	96.5%	3.5%	0.0%	3
Office of International Affairs	38	78.6%	18.8%	2.6%	0
Office of Investor Education and Advocacy	27	91.0%	9.0%	0.0%	3
Office of Support Operations	34	91.2%	0.0%	8.8%	1
Office of the Chief Operating Officer	14	94.3%	5.7%	0.0%	1
Office of the Secretary	16	100.0%	0.0%	0.0%	1
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	36	89.9%	10.1%	0.0%	0
Regional Operations	103	88.6%	9.5%	1.9%	2

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

36. My organization has prepared employees for potential security threats.

	N	Positive	Neutral	Negative	DNK
Governmentwide	406,396	75.9%	14.1%	10.0%	5,444
Securities and Exchange Commission	1,827	75.2%	16.9%	7.9%	60
Division of Corporation Finance	260	74.0%	16.8%	9.3%	10
Division of Economic Risk and Analysis	33	66.3%	19.6%	14.1%	2
Division of Investment Management	26	64.0%	31.5%	4.5%	2
Division of Trading and Markets	42	73.5%	22.8%	3.7%	2
Executive Staff	9	78.8%	21.2%	0.0%	1
National Enforcement Program	415	75.7%	15.8%	8.5%	17
National Examination Program	484	70.9%	19.6%	9.5%	13
Office of Acquisitions	35	91.1%	6.3%	2.7%	0
Office of Chief Accountant	22	64.1%	31.5%	4.4%	0
Office of Credit Ratings	20	74.1%	19.5%	6.4%	1
Office of Financial Management	33	84.5%	11.8%	3.7%	0
Office of General Counsel	41	77.3%	9.1%	13.6%	2
Office of Human Resources	78	79.4%	15.2%	5.3%	3
Office of Information Technology	27	80.9%	15.6%	3.5%	0
Office of Inspector General	25	77.2%	22.8%	0.0%	2
Office of International Affairs	38	59.4%	27.7%	12.9%	1
Office of Investor Education and Advocacy	29	88.9%	4.5%	6.6%	1
Office of Support Operations	34	85.9%	8.4%	5.7%	1
Office of the Chief Operating Officer	15	91.1%	8.9%	0.0%	0
Office of the Secretary	17	75.3%	19.4%	5.3%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	33	91.0%	9.0%	0.0%	2
Regional Operations	105	79.6%	8.5%	11.9%	0

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

37. Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated.

	N	Positive	Neutral	Negative	DNK
Governmentwide	387,840	50.7%	22.8%	26.5%	24,090
Securities and Exchange Commission	1,724	50.0%	20.7%	29.3%	162
Division of Corporation Finance	239	42.0%	22.8%	35.1%	27
Division of Economic Risk and Analysis	30	44.2%	33.9%	22.0%	6
Division of Investment Management	26	49.1%	17.6%	33.3%	2
Division of Trading and Markets	41	38.4%	21.4%	40.3%	3
Executive Staff	11	54.6%	9.3%	36.1%	0
National Enforcement Program	396	54.7%	18.4%	27.0%	39
National Examination Program	462	50.0%	20.9%	29.1%	37
Office of Acquisitions	26	57.4%	20.0%	22.5%	7
Office of Chief Accountant	20	51.5%	19.0%	29.5%	3
Office of Credit Ratings	21	49.7%	21.1%	29.2%	1
Office of Financial Management	30	43.7%	17.0%	39.3%	3
Office of General Counsel	42	52.5%	20.0%	27.6%	1
Office of Human Resources	74	40.6%	26.9%	32.5%	6
Office of Information Technology	24	39.2%	31.5%	29.3%	2
Office of Inspector General	24	75.8%	20.7%	3.5%	3
Office of International Affairs	39	53.2%	25.1%	21.7%	0
Office of Investor Education and Advocacy	26	54.3%	11.7%	34.0%	3
Office of Support Operations	34	54.8%	24.9%	20.3%	1
Office of the Chief Operating Officer	14	50.9%	19.4%	29.7%	1
Office of the Secretary	17	65.2%	30.0%	4.9%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	27	65.8%	4.0%	30.2%	9
Regional Operations	95	51.3%	20.9%	27.8%	8

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

38. *Prohibited Personnel Practices (for example, illegally discriminating for or against any employee/applicant, obstructing a person's right to compete for employment, knowingly violating veterans' preference requirements) are not tolerated.*

	N	Positive	Neutral	Negative	DNK
Governmentwide	374,659	65.6%	19.5%	14.9%	36,134
Securities and Exchange Commission	1,645	68.2%	16.9%	14.8%	235
Division of Corporation Finance	211	63.4%	19.2%	17.4%	58
Division of Economic Risk and Analysis	31	63.0%	28.8%	8.1%	5
Division of Investment Management	25	69.6%	10.9%	19.4%	3
Division of Trading and Markets	38	65.3%	17.3%	17.5%	6
Executive Staff	11	64.7%	25.0%	10.3%	0
National Enforcement Program	370	73.4%	14.0%	12.7%	59
National Examination Program	443	68.5%	16.3%	15.2%	53
Office of Acquisitions	31	72.9%	10.8%	16.3%	4
Office of Chief Accountant	19	63.6%	26.7%	9.7%	4
Office of Credit Ratings	20	59.0%	20.7%	20.3%	1
Office of Financial Management	27	45.4%	38.9%	15.8%	5
Office of General Counsel	41	63.0%	16.6%	20.4%	1
Office of Human Resources	74	59.6%	18.5%	21.9%	3
Office of Information Technology	24	69.8%	26.3%	3.8%	3
Office of Inspector General	25	80.2%	15.2%	4.7%	2
Office of International Affairs	39	70.6%	7.9%	21.5%	0
Office of Investor Education and Advocacy	24	50.3%	28.4%	21.3%	6
Office of Support Operations	34	61.3%	23.9%	14.8%	1
Office of the Chief Operating Officer	14	71.4%	11.9%	16.7%	1
Office of the Secretary	16	82.6%	12.3%	5.2%	1
Other (ALJ, OIAD, OEC, OEEEO, OMS, OMWI, OPA)	31	70.4%	10.1%	19.5%	5
Regional Operations	91	68.3%	13.5%	18.2%	14

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

39. My agency is successful at accomplishing its mission.

	N	Positive	Neutral	Negative	DNK
Governmentwide	404,808	73.2%	17.8%	9.0%	7,655
Securities and Exchange Commission	1,853	80.0%	13.5%	6.5%	35
Division of Corporation Finance	264	74.3%	16.5%	9.2%	5
Division of Economic Risk and Analysis	35	78.8%	18.6%	2.6%	0
Division of Investment Management	27	76.3%	15.4%	8.3%	0
Division of Trading and Markets	43	78.2%	14.0%	7.8%	0
Executive Staff	11	82.5%	7.2%	10.3%	0
National Enforcement Program	429	79.5%	13.4%	7.1%	5
National Examination Program	491	78.2%	14.0%	7.8%	8
Office of Acquisitions	34	88.0%	8.7%	3.3%	1
Office of Chief Accountant	23	75.5%	12.0%	12.5%	0
Office of Credit Ratings	20	86.3%	13.7%	0.0%	1
Office of Financial Management	31	93.2%	6.8%	0.0%	1
Office of General Counsel	42	81.9%	15.6%	2.5%	1
Office of Human Resources	79	86.8%	8.6%	4.6%	2
Office of Information Technology	27	80.6%	16.0%	3.4%	0
Office of Inspector General	24	95.9%	4.1%	0.0%	2
Office of International Affairs	38	83.4%	9.0%	7.6%	1
Office of Investor Education and Advocacy	27	78.0%	22.0%	0.0%	3
Office of Support Operations	35	91.9%	2.8%	5.3%	0
Office of the Chief Operating Officer	14	83.4%	16.6%	0.0%	1
Office of the Secretary	17	89.1%	6.0%	4.9%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	34	79.9%	17.5%	2.6%	1
Regional Operations	103	88.4%	8.6%	3.0%	2

Securities and Exchange Commission *1st Level Subagency Comparison Report*

My Agency (continued)

40. I recommend my organization as a good place to work.

	N	Positive	Neutral	Negative
Governmentwide	412,958	62.7%	20.9%	16.4%
Securities and Exchange Commission	1,888	73.9%	15.0%	11.1%
Division of Corporation Finance	270	70.8%	17.2%	12.0%
Division of Economic Risk and Analysis	36	73.8%	13.0%	13.2%
Division of Investment Management	28	58.7%	29.4%	11.9%
Division of Trading and Markets	44	76.3%	10.8%	12.9%
Executive Staff	11	81.3%	18.7%	0.0%
National Enforcement Program	430	79.6%	10.2%	10.2%
National Examination Program	497	72.5%	17.4%	10.1%
Office of Acquisitions	35	71.3%	17.2%	11.4%
Office of Chief Accountant	23	79.5%	8.1%	12.4%
Office of Credit Ratings	22	68.2%	21.9%	9.9%
Office of Financial Management	32	73.1%	23.4%	3.5%
Office of General Counsel	43	66.7%	18.7%	14.6%
Office of Human Resources	80	64.3%	18.2%	17.4%
Office of Information Technology	27	66.6%	18.3%	15.1%
Office of Inspector General	27	89.4%	7.5%	3.1%
Office of International Affairs	39	68.6%	13.0%	18.4%
Office of Investor Education and Advocacy	30	57.5%	26.7%	15.8%
Office of Support Operations	35	83.1%	8.6%	8.3%
Office of the Chief Operating Officer	15	78.0%	6.3%	15.7%
Office of the Secretary	17	82.8%	12.4%	4.9%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	36	78.1%	13.3%	8.6%
Regional Operations	105	70.8%	16.9%	12.3%

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Agency (continued)

41. I believe the results of this survey will be used to make my agency a better place to work.

	N	Positive	Neutral	Negative	DNK
Governmentwide	379,647	39.0%	27.5%	33.4%	33,765
Securities and Exchange Commission	1,751	49.1%	23.5%	27.4%	140
Division of Corporation Finance	245	50.9%	21.4%	27.7%	24
Division of Economic Risk and Analysis	33	56.3%	24.3%	19.4%	3
Division of Investment Management	27	38.3%	11.7%	50.0%	1
Division of Trading and Markets	40	36.3%	39.8%	23.8%	4
Executive Staff	11	55.9%	16.3%	27.7%	0
National Enforcement Program	395	46.3%	23.2%	30.5%	38
National Examination Program	476	47.8%	22.2%	29.9%	23
Office of Acquisitions	33	60.1%	18.0%	21.9%	2
Office of Chief Accountant	19	65.3%	14.7%	20.0%	4
Office of Credit Ratings	22	46.8%	26.2%	27.0%	0
Office of Financial Management	31	42.1%	33.4%	24.5%	2
Office of General Counsel	37	44.1%	21.5%	34.4%	6
Office of Human Resources	75	51.3%	26.7%	22.1%	5
Office of Information Technology	27	58.0%	34.7%	7.3%	0
Office of Inspector General	24	72.7%	19.3%	8.0%	2
Office of International Affairs	38	58.4%	14.0%	27.6%	1
Office of Investor Education and Advocacy	28	45.3%	33.4%	21.3%	2
Office of Support Operations	35	67.6%	21.1%	11.3%	0
Office of the Chief Operating Officer	14	70.2%	20.2%	9.5%	1
Office of the Secretary	17	89.3%	5.8%	4.9%	0
Other (ALJ, OIAD, OEC, OEE0, OMS, OMWI, OPA)	27	59.6%	25.3%	15.1%	9
Regional Operations	92	53.8%	17.9%	28.3%	12

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor

42. My supervisor supports my need to balance work and other life issues.

	N	Positive	Neutral	Negative	DNK
Governmentwide	410,015	77.8%	11.1%	11.0%	2,468
Securities and Exchange Commission	1,884	87.4%	6.0%	6.6%	8
Division of Corporation Finance	269	88.1%	6.1%	5.8%	0
Division of Economic Risk and Analysis	36	90.1%	3.1%	6.8%	0
Division of Investment Management	28	71.2%	16.5%	12.4%	0
Division of Trading and Markets	44	93.5%	3.9%	2.6%	0
Executive Staff	11	79.6%	0.0%	20.4%	0
National Enforcement Program	430	91.4%	3.5%	5.1%	3
National Examination Program	497	83.6%	7.9%	8.5%	2
Office of Acquisitions	35	93.9%	2.9%	3.2%	0
Office of Chief Accountant	23	95.8%	4.2%	0.0%	0
Office of Credit Ratings	22	100.0%	0.0%	0.0%	0
Office of Financial Management	33	90.6%	6.0%	3.4%	0
Office of General Counsel	41	83.7%	13.7%	2.7%	2
Office of Human Resources	79	88.4%	2.8%	8.8%	0
Office of Information Technology	27	82.2%	6.6%	11.2%	0
Office of Inspector General	27	96.2%	3.8%	0.0%	0
Office of International Affairs	39	77.8%	17.3%	4.9%	0
Office of Investor Education and Advocacy	30	80.3%	3.7%	16.0%	0
Office of Support Operations	35	88.5%	0.0%	11.5%	0
Office of the Chief Operating Officer	15	91.1%	0.0%	8.9%	0
Office of the Secretary	17	77.6%	16.6%	5.8%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	35	80.4%	8.1%	11.5%	1
Regional Operations	105	84.4%	8.9%	6.7%	0

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor (continued)

43. My supervisor provides me with opportunities to demonstrate my leadership skills.

	N	Positive	Neutral	Negative	DNK
Governmentwide	409,471	65.5%	17.3%	17.3%	2,240
Securities and Exchange Commission	1,879	66.9%	15.5%	17.6%	9
Division of Corporation Finance	269	61.7%	20.1%	18.2%	0
Division of Economic Risk and Analysis	36	65.8%	15.2%	19.0%	0
Division of Investment Management	28	50.3%	22.0%	27.7%	0
Division of Trading and Markets	43	64.4%	12.9%	22.7%	0
Executive Staff	11	82.4%	9.1%	8.5%	0
National Enforcement Program	427	67.6%	16.5%	15.9%	4
National Examination Program	497	69.0%	15.2%	15.8%	2
Office of Acquisitions	35	85.7%	7.9%	6.4%	0
Office of Chief Accountant	23	79.8%	4.1%	16.1%	0
Office of Credit Ratings	22	66.2%	15.9%	18.0%	0
Office of Financial Management	32	72.1%	13.1%	14.8%	0
Office of General Counsel	43	43.6%	18.2%	38.1%	0
Office of Human Resources	81	77.7%	7.6%	14.6%	0
Office of Information Technology	27	79.1%	10.9%	9.9%	0
Office of Inspector General	27	81.8%	14.3%	3.8%	0
Office of International Affairs	39	67.2%	12.8%	20.1%	0
Office of Investor Education and Advocacy	29	52.2%	31.6%	16.1%	1
Office of Support Operations	35	64.7%	11.7%	23.7%	0
Office of the Chief Operating Officer	15	78.0%	13.1%	8.9%	0
Office of the Secretary	17	83.0%	11.2%	5.8%	0
Other (ALJ, OIAD, OEC, OEE0, OMS, OMWI, OPA)	34	64.9%	17.5%	17.6%	1
Regional Operations	103	70.9%	7.9%	21.2%	1

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor (continued)

44. Discussions with my supervisor about my performance are worthwhile.

	N	Positive	Neutral	Negative	DNK
Governmentwide	404,650	62.5%	18.7%	18.8%	4,783
Securities and Exchange Commission	1,851	61.4%	18.8%	19.8%	20
Division of Corporation Finance	263	59.7%	16.4%	24.0%	1
Division of Economic Risk and Analysis	35	64.7%	15.7%	19.6%	1
Division of Investment Management	28	37.7%	38.7%	23.5%	0
Division of Trading and Markets	43	45.2%	28.7%	26.1%	0
Executive Staff	10	81.8%	18.2%	0.0%	0
National Enforcement Program	423	65.1%	18.3%	16.6%	8
National Examination Program	491	60.5%	18.0%	21.5%	3
Office of Acquisitions	35	82.3%	5.2%	12.5%	0
Office of Chief Accountant	22	61.6%	21.6%	16.8%	0
Office of Credit Ratings	22	62.3%	19.1%	18.6%	0
Office of Financial Management	32	61.7%	19.6%	18.7%	1
Office of General Counsel	41	39.6%	22.5%	37.9%	1
Office of Human Resources	77	65.8%	14.9%	19.4%	2
Office of Information Technology	26	68.6%	16.6%	14.8%	0
Office of Inspector General	27	74.9%	25.1%	0.0%	0
Office of International Affairs	38	59.6%	16.3%	24.1%	0
Office of Investor Education and Advocacy	28	60.9%	10.1%	29.0%	0
Office of Support Operations	35	70.9%	17.6%	11.5%	0
Office of the Chief Operating Officer	14	83.1%	7.3%	9.5%	1
Office of the Secretary	17	88.8%	11.2%	0.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	34	65.9%	13.9%	20.2%	1
Regional Operations	104	64.9%	15.3%	19.8%	1

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor (continued)

45. My supervisor is committed to a workforce representative of all segments of society.

	N	Positive	Neutral	Negative	DNK
Governmentwide	376,582	66.9%	22.4%	10.7%	34,337
Securities and Exchange Commission	1,648	72.3%	17.4%	10.2%	237
Division of Corporation Finance	223	75.5%	18.2%	6.3%	45
Division of Economic Risk and Analysis	31	71.7%	16.6%	11.7%	5
Division of Investment Management	26	72.2%	10.3%	17.5%	2
Division of Trading and Markets	43	56.2%	24.4%	19.4%	1
Executive Staff	11	91.5%	8.5%	0.0%	0
National Enforcement Program	355	75.8%	14.3%	9.9%	75
National Examination Program	435	70.6%	20.0%	9.5%	63
Office of Acquisitions	33	83.6%	6.2%	10.2%	1
Office of Chief Accountant	16	76.3%	18.2%	5.5%	7
Office of Credit Ratings	19	71.7%	28.3%	0.0%	3
Office of Financial Management	27	56.2%	36.7%	7.1%	5
Office of General Counsel	37	59.8%	25.1%	15.1%	6
Office of Human Resources	78	71.6%	17.6%	10.9%	3
Office of Information Technology	26	79.5%	17.0%	3.5%	1
Office of Inspector General	25	87.4%	8.5%	4.1%	2
Office of International Affairs	38	70.6%	12.7%	16.7%	1
Office of Investor Education and Advocacy	25	64.1%	16.2%	19.7%	5
Office of Support Operations	34	70.3%	14.9%	14.7%	0
Office of the Chief Operating Officer	13	67.6%	14.4%	18.0%	2
Office of the Secretary	16	94.3%	5.7%	0.0%	1
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	34	84.8%	8.8%	6.4%	1
Regional Operations	97	69.4%	21.1%	9.5%	8

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor (continued)

46. My supervisor provides me with constructive suggestions to improve my job performance.

	N	Positive	Neutral	Negative	DNK
Governmentwide	408,296	61.4%	19.9%	18.7%	2,452
Securities and Exchange Commission	1,872	61.4%	18.8%	19.8%	10
Division of Corporation Finance	266	57.8%	19.1%	23.1%	2
Division of Economic Risk and Analysis	36	70.0%	12.3%	17.7%	0
Division of Investment Management	27	38.8%	36.6%	24.6%	0
Division of Trading and Markets	44	57.1%	13.8%	29.2%	0
Executive Staff	10	82.5%	17.5%	0.0%	0
National Enforcement Program	427	62.9%	19.2%	17.9%	4
National Examination Program	494	60.4%	19.2%	20.4%	2
Office of Acquisitions	35	87.8%	2.5%	9.6%	0
Office of Chief Accountant	23	66.5%	16.8%	16.7%	0
Office of Credit Ratings	22	67.6%	12.8%	19.6%	0
Office of Financial Management	33	62.7%	18.9%	18.3%	0
Office of General Counsel	43	46.5%	25.0%	28.5%	0
Office of Human Resources	79	65.8%	16.9%	17.4%	1
Office of Information Technology	26	65.5%	19.7%	14.8%	0
Office of Inspector General	27	78.6%	21.4%	0.0%	0
Office of International Affairs	39	60.2%	19.5%	20.3%	0
Office of Investor Education and Advocacy	30	61.4%	19.1%	19.5%	0
Office of Support Operations	35	64.4%	12.2%	23.4%	0
Office of the Chief Operating Officer	14	76.0%	7.2%	16.9%	1
Office of the Secretary	17	88.6%	11.4%	0.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	35	63.6%	13.5%	22.9%	0
Regional Operations	104	66.3%	17.5%	16.2%	0

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor (continued)

47. Supervisors in my work unit support employee development.

	N	Positive	Neutral	Negative	DNK
Governmentwide	404,801	64.3%	18.5%	17.2%	6,499
Securities and Exchange Commission	1,848	69.9%	14.9%	15.2%	38
Division of Corporation Finance	267	72.2%	12.9%	15.0%	1
Division of Economic Risk and Analysis	36	76.2%	8.6%	15.2%	0
Division of Investment Management	27	74.8%	8.8%	16.4%	1
Division of Trading and Markets	44	68.3%	12.5%	19.2%	0
Executive Staff	10	72.4%	18.2%	9.4%	0
National Enforcement Program	415	68.9%	17.6%	13.5%	16
National Examination Program	491	66.2%	16.3%	17.5%	7
Office of Acquisitions	34	84.2%	6.2%	9.6%	1
Office of Chief Accountant	23	76.2%	16.1%	7.7%	0
Office of Credit Ratings	22	68.1%	13.2%	18.7%	0
Office of Financial Management	33	59.5%	24.3%	16.1%	0
Office of General Counsel	43	49.1%	21.6%	29.3%	0
Office of Human Resources	78	74.5%	15.3%	10.2%	2
Office of Information Technology	26	88.4%	3.7%	8.0%	1
Office of Inspector General	27	96.2%	0.0%	3.8%	0
Office of International Affairs	37	70.4%	4.9%	24.7%	2
Office of Investor Education and Advocacy	28	71.1%	6.8%	22.1%	2
Office of Support Operations	34	57.5%	21.7%	20.8%	0
Office of the Chief Operating Officer	14	83.1%	7.3%	9.5%	1
Office of the Secretary	17	88.6%	11.4%	0.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	33	87.6%	5.5%	6.9%	2
Regional Operations	103	70.0%	17.1%	12.9%	2

Securities and Exchange Commission *1st Level Subagency Comparison Report*

My Supervisor (continued)

48. My supervisor listens to what I have to say.

	N	Positive	Neutral	Negative
Governmentwide	411,425	75.7%	12.3%	12.0%
Securities and Exchange Commission	1,890	78.9%	9.6%	11.4%
Division of Corporation Finance	268	79.8%	9.5%	10.7%
Division of Economic Risk and Analysis	36	75.6%	14.7%	9.6%
Division of Investment Management	28	82.8%	5.4%	11.8%
Division of Trading and Markets	44	71.4%	12.1%	16.5%
Executive Staff	10	100.0%	0.0%	0.0%
National Enforcement Program	433	81.5%	10.2%	8.4%
National Examination Program	498	77.1%	9.3%	13.5%
Office of Acquisitions	35	90.4%	0.0%	9.6%
Office of Chief Accountant	23	91.6%	0.0%	8.4%
Office of Credit Ratings	22	84.9%	9.3%	5.8%
Office of Financial Management	33	69.6%	15.8%	14.6%
Office of General Counsel	43	64.1%	12.3%	23.6%
Office of Human Resources	81	81.3%	6.6%	12.0%
Office of Information Technology	27	74.9%	10.9%	14.3%
Office of Inspector General	27	96.2%	0.0%	3.8%
Office of International Affairs	39	81.5%	8.7%	9.8%
Office of Investor Education and Advocacy	30	65.2%	21.1%	13.7%
Office of Support Operations	35	76.9%	9.4%	13.8%
Office of the Chief Operating Officer	15	84.3%	6.8%	8.9%
Office of the Secretary	17	94.2%	0.0%	5.8%
Other (ALJ, OIAD, OEC, OEE0, OMS, OMWI, OPA)	35	82.1%	8.7%	9.1%
Regional Operations	105	80.2%	7.9%	11.9%

Securities and Exchange Commission

1st Level Subagency Comparison Report

My Supervisor (continued)

49. My supervisor treats me with respect.

	N	Positive	Neutral	Negative
Governmentwide	410,437	80.9%	10.2%	8.9%
Securities and Exchange Commission	1,887	83.7%	7.0%	9.3%
Division of Corporation Finance	269	84.6%	8.1%	7.3%
Division of Economic Risk and Analysis	35	83.1%	6.3%	10.6%
Division of Investment Management	27	86.5%	1.2%	12.2%
Division of Trading and Markets	44	77.7%	5.9%	16.5%
Executive Staff	10	100.0%	0.0%	0.0%
National Enforcement Program	432	87.9%	6.1%	6.1%
National Examination Program	500	83.7%	6.5%	9.8%
Office of Acquisitions	35	90.4%	6.4%	3.2%
Office of Chief Accountant	23	86.9%	4.7%	8.4%
Office of Credit Ratings	22	76.6%	19.8%	3.5%
Office of Financial Management	33	73.0%	15.7%	11.2%
Office of General Counsel	42	68.2%	11.4%	20.4%
Office of Human Resources	80	81.4%	6.4%	12.2%
Office of Information Technology	26	81.4%	7.3%	11.3%
Office of Inspector General	27	96.2%	0.0%	3.8%
Office of International Affairs	39	76.9%	5.4%	17.7%
Office of Investor Education and Advocacy	30	69.9%	16.3%	13.7%
Office of Support Operations	35	76.9%	8.5%	14.6%
Office of the Chief Operating Officer	15	84.3%	6.8%	8.9%
Office of the Secretary	17	94.2%	0.0%	5.8%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	35	76.7%	11.3%	12.0%
Regional Operations	105	83.1%	8.8%	8.1%

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor (continued)

50. *In the last six months, my supervisor has talked with me about my performance.*

	N	Positive	Neutral	Negative
Governmentwide	410,472	77.5%	10.2%	12.3%
Securities and Exchange Commission	1,884	88.3%	4.2%	7.5%
Division of Corporation Finance	269	88.3%	4.5%	7.2%
Division of Economic Risk and Analysis	36	84.4%	6.4%	9.1%
Division of Investment Management	28	92.4%	0.0%	7.6%
Division of Trading and Markets	44	92.4%	0.0%	7.6%
Executive Staff	10	100.0%	0.0%	0.0%
National Enforcement Program	431	88.6%	3.7%	7.7%
National Examination Program	497	90.0%	3.4%	6.6%
Office of Acquisitions	35	100.0%	0.0%	0.0%
Office of Chief Accountant	23	92.3%	7.7%	0.0%
Office of Credit Ratings	21	88.3%	6.1%	5.7%
Office of Financial Management	33	85.4%	0.0%	14.6%
Office of General Counsel	43	65.9%	14.6%	19.4%
Office of Human Resources	80	80.1%	11.1%	8.9%
Office of Information Technology	27	88.5%	7.2%	4.3%
Office of Inspector General	27	100.0%	0.0%	0.0%
Office of International Affairs	39	85.6%	4.6%	9.8%
Office of Investor Education and Advocacy	30	82.9%	13.7%	3.4%
Office of Support Operations	34	81.7%	12.5%	5.8%
Office of the Chief Operating Officer	15	91.1%	0.0%	8.9%
Office of the Secretary	17	100.0%	0.0%	0.0%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	34	91.3%	2.9%	5.8%
Regional Operations	105	89.8%	4.0%	6.2%

Securities and Exchange Commission *1st Level Subagency Comparison Report*

My Supervisor (continued)

51. I have trust and confidence in my supervisor.

	N	Positive	Neutral	Negative
Governmentwide	410,689	66.5%	16.5%	16.9%
Securities and Exchange Commission	1,883	71.2%	12.5%	16.3%
Division of Corporation Finance	268	72.8%	12.7%	14.6%
Division of Economic Risk and Analysis	35	71.4%	9.9%	18.7%
Division of Investment Management	27	69.8%	9.1%	21.1%
Division of Trading and Markets	44	74.5%	2.9%	22.6%
Executive Staff	10	100.0%	0.0%	0.0%
National Enforcement Program	433	72.8%	14.6%	12.6%
National Examination Program	497	68.8%	16.1%	15.1%
Office of Acquisitions	35	90.4%	0.0%	9.6%
Office of Chief Accountant	23	69.9%	17.5%	12.6%
Office of Credit Ratings	22	72.4%	11.8%	15.8%
Office of Financial Management	32	59.1%	12.6%	28.4%
Office of General Counsel	43	53.6%	15.6%	30.8%
Office of Human Resources	81	71.6%	10.0%	18.4%
Office of Information Technology	27	67.1%	7.8%	25.1%
Office of Inspector General	27	89.4%	6.7%	3.8%
Office of International Affairs	39	64.2%	17.8%	17.9%
Office of Investor Education and Advocacy	30	62.9%	14.4%	22.6%
Office of Support Operations	35	74.1%	3.1%	22.8%
Office of the Chief Operating Officer	15	77.5%	0.0%	22.5%
Office of the Secretary	17	88.4%	11.6%	0.0%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	34	79.4%	8.7%	11.9%
Regional Operations	103	70.3%	13.7%	16.1%

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Supervisor (continued)

52. Overall, how good a job do you feel is being done by your immediate supervisor?

	N	Positive	Neutral	Negative
Governmentwide	410,877	69.7%	18.0%	12.3%
Securities and Exchange Commission	1,883	74.3%	15.2%	10.5%
Division of Corporation Finance	268	76.5%	16.2%	7.3%
Division of Economic Risk and Analysis	36	76.5%	13.2%	10.2%
Division of Investment Management	28	68.9%	19.3%	11.8%
Division of Trading and Markets	44	67.7%	19.0%	13.3%
Executive Staff	10	100.0%	0.0%	0.0%
National Enforcement Program	431	78.4%	13.5%	8.1%
National Examination Program	498	71.8%	16.9%	11.3%
Office of Acquisitions	35	87.1%	6.4%	6.4%
Office of Chief Accountant	23	80.0%	11.6%	8.4%
Office of Credit Ratings	22	72.1%	22.1%	5.8%
Office of Financial Management	33	72.7%	16.1%	11.2%
Office of General Counsel	43	58.9%	15.0%	26.1%
Office of Human Resources	81	68.7%	16.8%	14.5%
Office of Information Technology	27	67.1%	18.6%	14.3%
Office of Inspector General	27	86.2%	13.8%	0.0%
Office of International Affairs	39	67.4%	16.5%	16.2%
Office of Investor Education and Advocacy	29	73.0%	10.3%	16.7%
Office of Support Operations	35	77.2%	8.8%	14.0%
Office of the Chief Operating Officer	15	71.6%	12.7%	15.7%
Office of the Secretary	17	94.2%	0.0%	5.8%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	32	77.5%	12.6%	9.9%
Regional Operations	104	75.6%	15.9%	8.4%

Securities and Exchange Commission

1st Level Subagency Comparison Report

Leadership

53. *In my organization, senior leaders generate high levels of motivation and commitment in the workforce.*

	N	Positive	Neutral	Negative	DNK
Governmentwide	401,121	39.0%	24.7%	36.3%	7,849
Securities and Exchange Commission	1,855	45.9%	20.9%	33.2%	28
Division of Corporation Finance	263	37.3%	18.6%	44.1%	4
Division of Economic Risk and Analysis	36	48.1%	26.7%	25.2%	0
Division of Investment Management	28	30.4%	5.4%	64.2%	0
Division of Trading and Markets	43	32.2%	25.2%	42.6%	1
Executive Staff	11	63.0%	18.2%	18.7%	0
National Enforcement Program	424	52.8%	19.2%	27.9%	7
National Examination Program	491	42.3%	23.6%	34.1%	6
Office of Acquisitions	35	51.0%	14.6%	34.5%	0
Office of Chief Accountant	22	34.6%	39.8%	25.5%	0
Office of Credit Ratings	22	39.1%	9.0%	52.0%	0
Office of Financial Management	32	43.3%	35.6%	21.1%	1
Office of General Counsel	42	34.5%	24.7%	40.9%	1
Office of Human Resources	79	39.2%	25.3%	35.5%	1
Office of Information Technology	27	50.3%	27.5%	22.1%	0
Office of Inspector General	26	84.2%	15.8%	0.0%	1
Office of International Affairs	38	51.4%	21.5%	27.1%	1
Office of Investor Education and Advocacy	29	34.7%	23.4%	41.9%	0
Office of Support Operations	35	53.6%	23.6%	22.8%	0
Office of the Chief Operating Officer	14	76.9%	6.7%	16.4%	1
Office of the Secretary	17	82.9%	12.2%	4.9%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	34	58.4%	15.5%	26.1%	2
Regional Operations	101	52.2%	16.4%	31.4%	2

Securities and Exchange Commission 1st Level Subagency Comparison Report

Leadership (continued)

54. My organization's senior leaders maintain high standards of honesty and integrity.

	N	Positive	Neutral	Negative	DNK
Governmentwide	383,737	50.4%	24.7%	24.9%	24,649
Securities and Exchange Commission	1,754	61.1%	17.6%	21.2%	123
Division of Corporation Finance	236	51.1%	22.3%	26.6%	29
Division of Economic Risk and Analysis	35	55.7%	22.2%	22.1%	1
Division of Investment Management	24	39.7%	20.7%	39.6%	3
Division of Trading and Markets	39	55.9%	21.8%	22.3%	5
Executive Staff	11	81.3%	8.5%	10.3%	0
National Enforcement Program	402	69.8%	13.4%	16.8%	29
National Examination Program	463	60.1%	18.3%	21.6%	33
Office of Acquisitions	33	60.5%	9.2%	30.3%	1
Office of Chief Accountant	22	68.9%	18.0%	13.1%	0
Office of Credit Ratings	22	61.1%	20.4%	18.5%	0
Office of Financial Management	30	54.1%	27.2%	18.7%	3
Office of General Counsel	39	58.5%	24.5%	17.0%	4
Office of Human Resources	79	42.3%	21.0%	36.7%	2
Office of Information Technology	25	58.8%	21.4%	19.7%	2
Office of Inspector General	25	91.9%	8.1%	0.0%	2
Office of International Affairs	37	63.9%	16.1%	20.0%	1
Office of Investor Education and Advocacy	28	46.6%	21.3%	32.1%	1
Office of Support Operations	35	60.1%	17.1%	22.8%	0
Office of the Chief Operating Officer	14	76.3%	7.3%	16.4%	1
Office of the Secretary	17	82.9%	12.2%	4.9%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	32	66.4%	9.0%	24.6%	2
Regional Operations	100	62.5%	16.9%	20.6%	4

Securities and Exchange Commission 1st Level Subagency Comparison Report

Leadership (continued)

55. Supervisors work well with employees of different backgrounds.

	N	Positive	Neutral	Negative	DNK
Governmentwide	379,628	62.9%	22.7%	14.4%	25,756
Securities and Exchange Commission	1,705	63.8%	18.7%	17.6%	165
Division of Corporation Finance	227	54.7%	25.6%	19.7%	36
Division of Economic Risk and Analysis	34	71.1%	18.1%	10.8%	2
Division of Investment Management	27	58.8%	9.6%	31.6%	1
Division of Trading and Markets	40	61.5%	19.5%	19.0%	4
Executive Staff	10	71.5%	9.3%	19.2%	1
National Enforcement Program	377	68.7%	15.1%	16.2%	47
National Examination Program	454	64.4%	18.7%	16.8%	41
Office of Acquisitions	32	62.4%	12.6%	25.0%	2
Office of Chief Accountant	21	77.2%	18.0%	4.8%	1
Office of Credit Ratings	21	57.9%	25.6%	16.6%	1
Office of Financial Management	31	42.9%	40.8%	16.3%	2
Office of General Counsel	40	52.5%	26.9%	20.6%	3
Office of Human Resources	79	47.5%	22.4%	30.1%	1
Office of Information Technology	25	78.5%	13.1%	8.3%	2
Office of Inspector General	25	88.6%	11.4%	0.0%	2
Office of International Affairs	37	60.2%	19.0%	20.8%	2
Office of Investor Education and Advocacy	24	46.5%	33.6%	19.9%	4
Office of Support Operations	35	74.1%	14.7%	11.3%	0
Office of the Chief Operating Officer	14	76.9%	6.7%	16.4%	1
Office of the Secretary	16	87.2%	12.8%	0.0%	1
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	32	62.5%	24.3%	13.2%	4
Regional Operations	98	55.5%	19.9%	24.6%	7

Securities and Exchange Commission 1st Level Subagency Comparison Report

Leadership (continued)

56. Managers communicate the goals and priorities of the organization.

	N	Positive	Neutral	Negative	DNK
Governmentwide	401,551	59.1%	20.8%	20.1%	5,334
Securities and Exchange Commission	1,847	59.7%	18.7%	21.6%	20
Division of Corporation Finance	263	55.1%	17.1%	27.8%	2
Division of Economic Risk and Analysis	36	59.5%	19.8%	20.7%	0
Division of Investment Management	27	44.8%	22.4%	32.8%	0
Division of Trading and Markets	41	35.6%	27.8%	36.6%	2
Executive Staff	10	61.7%	27.1%	11.2%	0
National Enforcement Program	419	62.2%	15.6%	22.2%	5
National Examination Program	491	64.4%	18.1%	17.5%	2
Office of Acquisitions	35	78.6%	11.3%	10.1%	0
Office of Chief Accountant	21	63.8%	13.4%	22.8%	0
Office of Credit Ratings	22	33.1%	23.7%	43.2%	0
Office of Financial Management	31	75.5%	21.6%	2.9%	2
Office of General Counsel	43	50.5%	22.6%	27.0%	0
Office of Human Resources	81	60.9%	18.8%	20.3%	0
Office of Information Technology	25	50.0%	38.4%	11.6%	1
Office of Inspector General	26	81.9%	14.7%	3.4%	1
Office of International Affairs	39	59.1%	11.8%	29.1%	0
Office of Investor Education and Advocacy	29	48.3%	17.2%	34.5%	0
Office of Support Operations	35	74.2%	11.6%	14.3%	0
Office of the Chief Operating Officer	14	69.7%	30.3%	0.0%	1
Office of the Secretary	17	89.3%	5.8%	4.9%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	34	74.7%	14.2%	11.1%	2
Regional Operations	102	57.9%	21.7%	20.5%	2

Securities and Exchange Commission 1st Level Subagency Comparison Report

Leadership (continued)

57. Managers review and evaluate the organization's progress toward meeting its goals and objectives.

	N	Positive	Neutral	Negative	DNK
Governmentwide	379,267	58.8%	24.3%	16.9%	27,154
Securities and Exchange Commission	1,690	60.8%	22.3%	16.9%	171
Division of Corporation Finance	234	56.7%	22.0%	21.4%	28
Division of Economic Risk and Analysis	30	57.7%	11.9%	30.4%	5
Division of Investment Management	23	50.2%	30.8%	19.0%	4
Division of Trading and Markets	41	36.3%	38.0%	25.7%	3
Executive Staff	10	41.6%	47.2%	11.2%	0
National Enforcement Program	369	61.1%	22.0%	17.0%	60
National Examination Program	456	68.0%	18.6%	13.4%	35
Office of Acquisitions	31	87.7%	6.9%	5.4%	3
Office of Chief Accountant	20	58.4%	9.2%	32.5%	2
Office of Credit Ratings	21	46.5%	28.3%	25.2%	0
Office of Financial Management	31	79.1%	18.0%	2.9%	2
Office of General Counsel	36	39.1%	39.7%	21.2%	6
Office of Human Resources	77	63.2%	21.6%	15.2%	4
Office of Information Technology	22	57.0%	24.9%	18.1%	3
Office of Inspector General	26	77.3%	15.7%	7.0%	1
Office of International Affairs	36	54.2%	22.5%	23.3%	3
Office of Investor Education and Advocacy	24	46.9%	28.8%	24.2%	4
Office of Support Operations	33	78.8%	9.0%	12.2%	1
Office of the Chief Operating Officer	14	62.2%	37.8%	0.0%	1
Office of the Secretary	17	89.3%	5.8%	4.9%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	30	70.5%	23.5%	6.1%	5
Regional Operations	103	64.5%	20.2%	15.3%	1

Securities and Exchange Commission 1st Level Subagency Comparison Report

Leadership (continued)

58. *Managers promote communication among different work units (for example, about projects, goals, needed resources).*

	N	Positive	Neutral	Negative	DNK
Governmentwide	393,192	50.5%	23.2%	26.3%	14,282
Securities and Exchange Commission	1,810	53.5%	21.1%	25.4%	69
Division of Corporation Finance	258	44.6%	23.4%	32.0%	8
Division of Economic Risk and Analysis	34	52.5%	18.8%	28.7%	2
Division of Investment Management	26	31.1%	37.7%	31.3%	2
Division of Trading and Markets	42	36.1%	27.7%	36.3%	2
Executive Staff	10	51.5%	28.0%	20.4%	0
National Enforcement Program	412	58.1%	18.7%	23.2%	18
National Examination Program	475	57.2%	18.8%	24.1%	20
Office of Acquisitions	35	60.2%	21.3%	18.6%	0
Office of Chief Accountant	22	56.3%	13.3%	30.4%	0
Office of Credit Ratings	22	43.0%	28.6%	28.4%	0
Office of Financial Management	32	57.4%	23.2%	19.4%	1
Office of General Counsel	42	39.6%	25.8%	34.7%	1
Office of Human Resources	80	53.7%	19.0%	27.3%	1
Office of Information Technology	27	58.1%	23.2%	18.6%	0
Office of Inspector General	27	75.0%	14.3%	10.7%	0
Office of International Affairs	37	52.2%	14.3%	33.5%	2
Office of Investor Education and Advocacy	26	35.9%	30.1%	33.9%	3
Office of Support Operations	34	61.0%	21.5%	17.6%	0
Office of the Chief Operating Officer	15	58.3%	21.5%	20.1%	0
Office of the Secretary	17	83.3%	11.8%	4.9%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	31	66.8%	17.0%	16.3%	5
Regional Operations	100	59.2%	18.1%	22.7%	4

Securities and Exchange Commission 1st Level Subagency Comparison Report

Leadership (continued)

59. Managers support collaboration across work units to accomplish work objectives.

	N	Positive	Neutral	Negative	DNK
Governmentwide	392,340	54.2%	23.3%	22.5%	14,928
Securities and Exchange Commission	1,816	58.5%	20.1%	21.4%	59
Division of Corporation Finance	256	48.7%	23.5%	27.8%	9
Division of Economic Risk and Analysis	32	69.4%	10.4%	20.2%	3
Division of Investment Management	25	38.4%	42.1%	19.6%	3
Division of Trading and Markets	42	34.5%	30.6%	34.9%	2
Executive Staff	10	71.7%	7.9%	20.4%	0
National Enforcement Program	419	64.2%	15.0%	20.8%	10
National Examination Program	483	61.4%	16.9%	21.6%	11
Office of Acquisitions	33	70.8%	16.0%	13.2%	1
Office of Chief Accountant	21	63.2%	23.6%	13.2%	1
Office of Credit Ratings	22	54.4%	30.2%	15.4%	0
Office of Financial Management	33	51.4%	36.3%	12.4%	0
Office of General Counsel	42	53.8%	28.1%	18.0%	1
Office of Human Resources	80	58.1%	17.9%	24.0%	1
Office of Information Technology	27	53.8%	31.9%	14.3%	0
Office of Inspector General	27	74.6%	14.3%	11.2%	0
Office of International Affairs	36	61.7%	17.0%	21.3%	3
Office of Investor Education and Advocacy	25	48.9%	19.4%	31.6%	4
Office of Support Operations	34	73.5%	11.8%	14.7%	1
Office of the Chief Operating Officer	14	76.1%	9.5%	14.3%	1
Office of the Secretary	17	83.3%	11.8%	4.9%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	31	62.0%	25.3%	12.7%	5
Regional Operations	101	58.9%	19.3%	21.8%	3

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Leadership (continued)

60. Overall, how good a job do you feel is being done by the manager directly above your immediate supervisor?

	N	Positive	Neutral	Negative	DNK
Governmentwide	384,360	56.8%	23.8%	19.5%	23,479
Securities and Exchange Commission	1,788	63.6%	19.3%	17.1%	84
Division of Corporation Finance	258	63.8%	21.0%	15.3%	8
Division of Economic Risk and Analysis	34	68.4%	22.0%	9.6%	2
Division of Investment Management	24	63.0%	18.3%	18.7%	4
Division of Trading and Markets	38	65.4%	19.4%	15.2%	6
Executive Staff	10	71.1%	17.4%	11.4%	0
National Enforcement Program	408	65.4%	18.1%	16.5%	20
National Examination Program	474	60.0%	17.3%	22.7%	20
Office of Acquisitions	35	59.9%	20.8%	19.3%	0
Office of Chief Accountant	22	69.8%	4.1%	26.2%	0
Office of Credit Ratings	22	57.6%	17.8%	24.6%	0
Office of Financial Management	32	62.1%	27.4%	10.5%	1
Office of General Counsel	40	47.0%	34.5%	18.5%	3
Office of Human Resources	80	58.3%	20.7%	21.1%	1
Office of Information Technology	27	69.0%	19.8%	11.2%	0
Office of Inspector General	26	89.3%	10.7%	0.0%	1
Office of International Affairs	37	55.4%	25.4%	19.2%	1
Office of Investor Education and Advocacy	29	47.9%	20.9%	31.3%	0
Office of Support Operations	34	70.3%	17.9%	11.7%	1
Office of the Chief Operating Officer	15	71.7%	12.6%	15.7%	0
Office of the Secretary	16	93.8%	6.2%	0.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	25	71.9%	15.0%	13.1%	9
Regional Operations	97	67.3%	19.8%	12.9%	7

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Leadership (continued)

61. I have a high level of respect for my organization's senior leaders.

	N	Positive	Neutral	Negative	DNK
Governmentwide	402,356	51.4%	24.4%	24.3%	5,387
Securities and Exchange Commission	1,855	56.8%	20.6%	22.6%	18
Division of Corporation Finance	265	46.3%	19.5%	34.2%	1
Division of Economic Risk and Analysis	36	59.7%	26.0%	14.3%	0
Division of Investment Management	28	33.6%	34.1%	32.3%	0
Division of Trading and Markets	44	48.2%	29.0%	22.9%	0
Executive Staff	10	71.1%	8.0%	20.8%	0
National Enforcement Program	421	62.4%	18.6%	19.0%	7
National Examination Program	492	55.2%	20.2%	24.5%	2
Office of Acquisitions	35	65.0%	12.1%	22.9%	0
Office of Chief Accountant	21	68.0%	13.5%	18.4%	0
Office of Credit Ratings	22	53.5%	24.2%	22.3%	0
Office of Financial Management	32	66.8%	26.2%	7.0%	1
Office of General Counsel	42	56.2%	17.7%	26.1%	1
Office of Human Resources	80	47.5%	23.1%	29.4%	1
Office of Information Technology	26	60.4%	24.2%	15.4%	1
Office of Inspector General	26	92.9%	7.1%	0.0%	1
Office of International Affairs	37	58.7%	10.1%	31.2%	1
Office of Investor Education and Advocacy	29	51.8%	17.5%	30.6%	0
Office of Support Operations	35	57.6%	22.2%	20.2%	0
Office of the Chief Operating Officer	15	78.0%	0.0%	22.0%	0
Office of the Secretary	17	95.1%	0.0%	4.9%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	32	62.7%	22.4%	14.8%	2
Regional Operations	104	57.0%	21.8%	21.2%	0

Securities and Exchange Commission 1st Level Subagency Comparison Report

Leadership (continued)

62. Senior leaders demonstrate support for Work/Life programs.

	N	Positive	Neutral	Negative	DNK
Governmentwide	371,258	53.4%	27.1%	19.5%	36,507
Securities and Exchange Commission	1,761	65.7%	20.4%	13.9%	114
Division of Corporation Finance	248	48.1%	28.5%	23.4%	17
Division of Economic Risk and Analysis	34	74.3%	20.0%	5.7%	2
Division of Investment Management	27	44.4%	24.9%	30.7%	1
Division of Trading and Markets	39	66.1%	22.2%	11.7%	4
Executive Staff	8	64.1%	35.9%	0.0%	0
National Enforcement Program	384	67.9%	20.0%	12.1%	46
National Examination Program	476	69.3%	17.3%	13.4%	19
Office of Acquisitions	34	76.7%	8.9%	14.4%	1
Office of Chief Accountant	22	77.9%	17.7%	4.4%	0
Office of Credit Ratings	22	71.7%	14.0%	14.3%	0
Office of Financial Management	31	66.9%	23.5%	9.6%	2
Office of General Counsel	39	75.0%	19.6%	5.4%	4
Office of Human Resources	79	68.1%	17.7%	14.1%	2
Office of Information Technology	27	70.1%	18.7%	11.2%	0
Office of Inspector General	26	92.7%	7.3%	0.0%	1
Office of International Affairs	37	53.1%	28.6%	18.3%	2
Office of Investor Education and Advocacy	28	60.8%	21.2%	17.9%	1
Office of Support Operations	34	67.2%	21.0%	11.8%	1
Office of the Chief Operating Officer	14	71.6%	18.8%	9.5%	1
Office of the Secretary	17	78.1%	21.9%	0.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	31	73.5%	20.0%	6.5%	4
Regional Operations	98	65.6%	19.3%	15.1%	6

Securities and Exchange Commission

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My Satisfaction

63. How satisfied are you with your involvement in decisions that affect your work?

	N	Positive	Neutral	Negative
Governmentwide	406,408	49.6%	23.4%	26.9%
Securities and Exchange Commission	1,874	56.1%	18.1%	25.8%
Division of Corporation Finance	267	48.9%	24.8%	26.3%
Division of Economic Risk and Analysis	36	51.1%	27.0%	21.8%
Division of Investment Management	28	51.4%	8.7%	39.9%
Division of Trading and Markets	44	57.1%	8.2%	34.7%
Executive Staff	9	66.2%	11.7%	22.1%
National Enforcement Program	430	56.9%	19.1%	24.0%
National Examination Program	494	56.6%	20.0%	23.4%
Office of Acquisitions	34	62.8%	17.0%	20.2%
Office of Chief Accountant	22	60.8%	22.7%	16.5%
Office of Credit Ratings	22	38.9%	48.3%	12.8%
Office of Financial Management	33	59.8%	24.8%	15.4%
Office of General Counsel	43	46.0%	10.0%	44.0%
Office of Human Resources	80	51.0%	17.6%	31.3%
Office of Information Technology	27	70.5%	8.2%	21.3%
Office of Inspector General	27	78.3%	14.6%	7.1%
Office of International Affairs	39	57.7%	10.6%	31.7%
Office of Investor Education and Advocacy	29	46.4%	14.4%	39.2%
Office of Support Operations	35	56.0%	15.0%	29.0%
Office of the Chief Operating Officer	15	58.9%	19.1%	22.0%
Office of the Secretary	16	82.3%	12.5%	5.2%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	34	70.3%	11.9%	17.9%
Regional Operations	104	54.9%	16.6%	28.4%

Securities and Exchange Commission *1st Level Subagency Comparison Report*

My Satisfaction (continued)

64. How satisfied are you with the information you receive from management on what's going on in your organization?

	N	Positive	Neutral	Negative
Governmentwide	405,736	46.8%	24.0%	29.2%
Securities and Exchange Commission	1,872	52.1%	18.6%	29.3%
Division of Corporation Finance	264	46.0%	21.4%	32.6%
Division of Economic Risk and Analysis	36	59.7%	14.4%	25.9%
Division of Investment Management	28	38.7%	17.0%	44.3%
Division of Trading and Markets	44	38.0%	17.2%	44.8%
Executive Staff	10	50.6%	18.4%	31.0%
National Enforcement Program	428	54.8%	18.1%	27.1%
National Examination Program	495	53.5%	19.6%	26.8%
Office of Acquisitions	35	60.3%	23.9%	15.8%
Office of Chief Accountant	22	52.0%	26.2%	21.7%
Office of Credit Ratings	22	29.5%	34.1%	36.4%
Office of Financial Management	33	64.7%	15.3%	19.9%
Office of General Counsel	43	32.4%	15.3%	52.3%
Office of Human Resources	80	47.8%	23.8%	28.4%
Office of Information Technology	27	54.3%	23.7%	22.0%
Office of Inspector General	27	71.9%	17.8%	10.2%
Office of International Affairs	38	54.7%	13.2%	32.2%
Office of Investor Education and Advocacy	29	45.2%	19.4%	35.4%
Office of Support Operations	35	67.8%	5.7%	26.5%
Office of the Chief Operating Officer	15	84.8%	6.3%	8.9%
Office of the Secretary	16	82.3%	12.5%	5.2%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	35	63.4%	14.6%	22.0%
Regional Operations	104	53.6%	17.8%	28.6%

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My Satisfaction (continued)

65. How satisfied are you with the recognition you receive for doing a good job?

	N	Positive	Neutral	Negative
Governmentwide	404,473	46.6%	23.8%	29.5%
Securities and Exchange Commission	1,863	50.6%	20.0%	29.5%
Division of Corporation Finance	267	36.4%	25.8%	37.8%
Division of Economic Risk and Analysis	35	70.7%	16.6%	12.7%
Division of Investment Management	28	42.9%	28.9%	28.2%
Division of Trading and Markets	43	52.0%	14.2%	33.8%
Executive Staff	10	50.6%	28.6%	20.8%
National Enforcement Program	426	52.9%	19.7%	27.4%
National Examination Program	491	50.2%	20.6%	29.2%
Office of Acquisitions	34	62.3%	14.6%	23.1%
Office of Chief Accountant	21	50.1%	22.6%	27.4%
Office of Credit Ratings	22	42.0%	19.4%	38.6%
Office of Financial Management	33	55.6%	26.7%	17.7%
Office of General Counsel	42	40.5%	5.2%	54.3%
Office of Human Resources	79	48.9%	22.5%	28.5%
Office of Information Technology	27	46.0%	23.9%	30.1%
Office of Inspector General	27	85.4%	7.6%	7.0%
Office of International Affairs	39	50.9%	28.0%	21.1%
Office of Investor Education and Advocacy	29	44.3%	11.1%	44.6%
Office of Support Operations	35	68.2%	11.5%	20.2%
Office of the Chief Operating Officer	15	65.5%	6.8%	27.8%
Office of the Secretary	16	100.0%	0.0%	0.0%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	35	57.5%	13.5%	29.0%
Regional Operations	103	49.7%	20.0%	30.3%

Securities and Exchange Commission 1st Level Subagency Comparison Report

My Satisfaction (continued)

66. How satisfied are you with the policies and practices of your senior leaders?

	N	Positive	Neutral	Negative
Governmentwide	404,697	40.8%	29.8%	29.4%
Securities and Exchange Commission	1,866	45.8%	24.8%	29.5%
Division of Corporation Finance	265	34.8%	29.2%	35.9%
Division of Economic Risk and Analysis	36	43.5%	29.3%	27.2%
Division of Investment Management	28	30.4%	13.8%	55.8%
Division of Trading and Markets	44	35.5%	27.4%	37.1%
Executive Staff	10	50.6%	18.4%	31.0%
National Enforcement Program	425	50.9%	25.2%	23.9%
National Examination Program	493	46.5%	23.8%	29.8%
Office of Acquisitions	35	54.4%	8.7%	36.9%
Office of Chief Accountant	22	61.0%	17.8%	21.1%
Office of Credit Ratings	21	35.1%	25.2%	39.7%
Office of Financial Management	33	46.6%	31.5%	21.9%
Office of General Counsel	43	37.8%	24.4%	37.8%
Office of Human Resources	80	34.2%	29.7%	36.1%
Office of Information Technology	27	49.9%	27.1%	23.0%
Office of Inspector General	27	78.3%	15.3%	6.4%
Office of International Affairs	39	47.2%	20.9%	31.9%
Office of Investor Education and Advocacy	29	44.9%	17.6%	37.5%
Office of Support Operations	35	50.9%	23.5%	25.6%
Office of the Chief Operating Officer	14	55.3%	28.4%	16.3%
Office of the Secretary	16	81.7%	13.1%	5.2%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	34	54.3%	20.0%	25.7%
Regional Operations	104	49.0%	25.0%	26.0%

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My Satisfaction (continued)

67. How satisfied are you with your opportunity to get a better job in your organization?

	N	Positive	Neutral	Negative
Governmentwide	404,808	34.8%	27.5%	37.7%
Securities and Exchange Commission	1,868	31.5%	25.7%	42.9%
Division of Corporation Finance	265	30.1%	27.0%	42.9%
Division of Economic Risk and Analysis	35	39.6%	33.1%	27.3%
Division of Investment Management	28	25.2%	14.2%	60.6%
Division of Trading and Markets	43	34.0%	24.4%	41.7%
Executive Staff	10	60.7%	10.4%	28.9%
National Enforcement Program	429	24.6%	24.9%	50.5%
National Examination Program	495	33.5%	26.1%	40.3%
Office of Acquisitions	34	43.1%	28.2%	28.7%
Office of Chief Accountant	21	25.4%	42.5%	32.1%
Office of Credit Ratings	22	19.8%	37.2%	43.0%
Office of Financial Management	32	46.6%	8.6%	44.8%
Office of General Counsel	43	22.8%	33.4%	43.8%
Office of Human Resources	80	32.6%	34.8%	32.7%
Office of Information Technology	27	42.8%	19.1%	38.2%
Office of Inspector General	27	58.8%	22.3%	18.9%
Office of International Affairs	38	34.5%	31.7%	33.8%
Office of Investor Education and Advocacy	29	23.7%	39.3%	37.0%
Office of Support Operations	35	44.0%	27.3%	28.7%
Office of the Chief Operating Officer	15	39.1%	19.7%	41.3%
Office of the Secretary	16	57.5%	29.6%	12.9%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	34	36.5%	34.1%	29.4%
Regional Operations	104	35.7%	25.3%	39.0%

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My Satisfaction (continued)

68. How satisfied are you with the training you receive for your present job?

	N	Positive	Neutral	Negative
Governmentwide	404,872	51.6%	23.8%	24.6%
Securities and Exchange Commission	1,867	62.4%	22.2%	15.4%
Division of Corporation Finance	266	67.1%	19.7%	13.2%
Division of Economic Risk and Analysis	36	65.2%	22.2%	12.6%
Division of Investment Management	27	60.6%	23.1%	16.3%
Division of Trading and Markets	44	64.7%	28.4%	6.9%
Executive Staff	10	78.2%	21.8%	0.0%
National Enforcement Program	425	62.0%	22.4%	15.6%
National Examination Program	494	55.9%	24.8%	19.3%
Office of Acquisitions	35	67.8%	20.5%	11.7%
Office of Chief Accountant	22	69.3%	17.7%	13.1%
Office of Credit Ratings	22	50.5%	20.6%	28.9%
Office of Financial Management	33	72.2%	13.0%	14.8%
Office of General Counsel	43	50.9%	28.7%	20.4%
Office of Human Resources	79	56.2%	25.9%	17.9%
Office of Information Technology	26	85.6%	10.3%	4.1%
Office of Inspector General	27	82.5%	10.4%	7.1%
Office of International Affairs	39	50.8%	31.6%	17.5%
Office of Investor Education and Advocacy	29	51.5%	29.4%	19.1%
Office of Support Operations	35	68.1%	11.5%	20.5%
Office of the Chief Operating Officer	15	78.4%	12.7%	8.9%
Office of the Secretary	16	57.0%	36.6%	6.4%
Other (ALJ, OIAD, OEC, OEE0, OMS, OMWI, OPA)	34	68.2%	14.1%	17.7%
Regional Operations	104	58.3%	23.0%	18.8%

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My Satisfaction (continued)

69. Considering everything, how satisfied are you with your job?

	N	Positive	Neutral	Negative
Governmentwide	404,704	65.2%	17.9%	16.9%
Securities and Exchange Commission	1,867	71.0%	14.5%	14.5%
Division of Corporation Finance	264	70.2%	16.6%	13.3%
Division of Economic Risk and Analysis	35	64.4%	21.4%	14.2%
Division of Investment Management	27	57.7%	21.4%	20.9%
Division of Trading and Markets	44	65.7%	18.8%	15.5%
Executive Staff	10	80.2%	10.4%	9.4%
National Enforcement Program	428	75.4%	11.1%	13.5%
National Examination Program	492	70.7%	14.8%	14.5%
Office of Acquisitions	35	62.6%	14.3%	23.2%
Office of Chief Accountant	22	78.9%	8.3%	12.9%
Office of Credit Ratings	22	57.9%	31.6%	10.5%
Office of Financial Management	33	77.5%	12.8%	9.7%
Office of General Counsel	43	59.2%	19.8%	21.1%
Office of Human Resources	80	66.9%	14.9%	18.2%
Office of Information Technology	27	74.4%	11.8%	13.8%
Office of Inspector General	27	85.1%	6.7%	8.2%
Office of International Affairs	39	67.1%	15.8%	17.0%
Office of Investor Education and Advocacy	28	60.9%	11.8%	27.3%
Office of Support Operations	34	66.6%	21.5%	11.8%
Office of the Chief Operating Officer	15	65.8%	12.2%	22.0%
Office of the Secretary	16	93.9%	0.0%	6.1%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	36	75.2%	8.1%	16.7%
Regional Operations	104	73.4%	17.2%	9.4%

Securities and Exchange Commission *1st Level Subagency Comparison Report*

My Satisfaction (continued)

70. Considering everything, how satisfied are you with your pay?

	N	Positive	Neutral	Negative
Governmentwide	405,405	57.1%	17.3%	25.6%
Securities and Exchange Commission	1,879	62.9%	14.7%	22.4%
Division of Corporation Finance	267	59.1%	15.1%	25.8%
Division of Economic Risk and Analysis	36	68.8%	10.7%	20.6%
Division of Investment Management	28	66.2%	21.0%	12.8%
Division of Trading and Markets	43	42.8%	33.8%	23.3%
Executive Staff	10	68.8%	21.8%	9.4%
National Enforcement Program	431	60.3%	16.5%	23.2%
National Examination Program	495	62.7%	10.8%	26.5%
Office of Acquisitions	35	70.7%	18.2%	11.1%
Office of Chief Accountant	22	68.5%	13.5%	18.1%
Office of Credit Ratings	22	54.8%	26.2%	19.0%
Office of Financial Management	33	66.5%	9.6%	23.9%
Office of General Counsel	43	74.0%	5.0%	21.0%
Office of Human Resources	80	75.0%	4.7%	20.2%
Office of Information Technology	27	77.5%	6.9%	15.6%
Office of Inspector General	27	84.0%	9.0%	7.0%
Office of International Affairs	39	72.3%	15.5%	12.2%
Office of Investor Education and Advocacy	29	60.0%	20.5%	19.5%
Office of Support Operations	35	70.9%	14.2%	14.9%
Office of the Chief Operating Officer	15	71.5%	8.9%	19.6%
Office of the Secretary	16	83.6%	16.4%	0.0%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	36	66.4%	7.8%	25.8%
Regional Operations	104	60.9%	13.1%	26.1%

Securities and Exchange Commission

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My Satisfaction (continued)

71. Considering everything, how satisfied are you with your organization?

	N	Positive	Neutral	Negative
Governmentwide	405,517	55.7%	22.0%	22.3%
Securities and Exchange Commission	1,866	66.1%	17.3%	16.6%
Division of Corporation Finance	267	62.2%	18.0%	19.8%
Division of Economic Risk and Analysis	35	64.0%	23.6%	12.4%
Division of Investment Management	28	45.1%	34.4%	20.5%
Division of Trading and Markets	44	60.7%	16.7%	22.6%
Executive Staff	10	71.1%	17.4%	11.4%
National Enforcement Program	424	70.2%	13.3%	16.5%
National Examination Program	495	64.6%	19.4%	15.9%
Office of Acquisitions	35	62.6%	20.4%	17.1%
Office of Chief Accountant	21	77.7%	13.3%	8.9%
Office of Credit Ratings	22	76.8%	12.8%	10.5%
Office of Financial Management	33	72.5%	17.3%	10.2%
Office of General Counsel	43	66.9%	20.5%	12.6%
Office of Human Resources	79	61.4%	12.8%	25.8%
Office of Information Technology	26	65.9%	15.2%	18.9%
Office of Inspector General	26	89.0%	11.0%	0.0%
Office of International Affairs	39	64.9%	12.3%	22.8%
Office of Investor Education and Advocacy	29	48.3%	31.6%	20.1%
Office of Support Operations	35	68.2%	15.0%	16.8%
Office of the Chief Operating Officer	15	78.0%	13.1%	8.9%
Office of the Secretary	16	88.5%	6.4%	5.2%
Other (ALJ, OIAD, OEC, OEE0, OMS, OMWI, OPA)	34	74.2%	17.2%	8.7%
Regional Operations	104	66.9%	23.6%	9.5%

Securities and Exchange Commission

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Work/Life

72. Have you been notified whether or not you are eligible to telework?

	N	Notified eligible	Notified not eligible	Not notified	Not sure notified
Governmentwide	404,547	37.6%	21.3%	31.2%	9.8%
Securities and Exchange Commission	1,853	84.9%	1.9%	5.7%	7.5%
Division of Corporation Finance	266	84.8%	1.8%	6.9%	6.5%
Division of Economic Risk and Analysis	36	85.8%	0.0%	5.5%	8.7%
Division of Investment Management	28	91.9%	0.0%	8.1%	0.0%
Division of Trading and Markets	44	71.4%	10.9%	7.1%	10.6%
Executive Staff	10	38.9%	0.0%	11.4%	49.6%
National Enforcement Program	426	83.5%	1.0%	4.9%	10.6%
National Examination Program	487	89.4%	1.1%	5.7%	3.8%
Office of Acquisitions	35	95.4%	0.0%	4.6%	0.0%
Office of Chief Accountant	22	90.7%	0.0%	4.9%	4.4%
Office of Credit Ratings	21	95.0%	0.0%	0.0%	5.0%
Office of Financial Management	33	91.3%	0.0%	6.1%	2.6%
Office of General Counsel	42	81.4%	0.0%	6.1%	12.5%
Office of Human Resources	78	86.8%	1.2%	5.2%	6.8%
Office of Information Technology	25	95.3%	0.0%	0.0%	4.7%
Office of Inspector General	27	86.3%	0.0%	0.0%	13.7%
Office of International Affairs	39	83.3%	4.8%	4.5%	7.4%
Office of Investor Education and Advocacy	28	92.3%	0.0%	0.0%	7.7%
Office of Support Operations	34	73.1%	3.2%	20.5%	3.2%
Office of the Chief Operating Officer	14	100.0%	0.0%	0.0%	0.0%
Office of the Secretary	17	47.8%	35.7%	11.2%	5.3%
Other (ALJ, OIAD, OEC, OEEEO, OMS, OMWI, OPA)	33	72.3%	8.7%	3.3%	15.8%
Regional Operations	102	83.2%	1.7%	6.6%	8.5%

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

73. Please select the response below that BEST describes your current teleworking situation.

	Telework				
	N	3+ Days Per Week	1-2 Days Per Week	No More Than 1-2 Days Per Month	Infrequently
Governmentwide	400,800	4.8%	10.9%	4.5%	11.1%
Securities and Exchange Commission	1,864	10.1%	36.5%	11.2%	27.5%
Division of Corporation Finance	267	30.8%	36.1%	3.4%	10.2%
Division of Economic Risk and Analysis	36	3.4%	37.1%	15.2%	39.6%
Division of Investment Management	28	15.0%	46.6%	5.4%	27.8%
Division of Trading and Markets	44	4.6%	22.4%	19.5%	42.3%
Executive Staff	9	0.0%	0.0%	11.5%	53.5%
National Enforcement Program	426	3.3%	28.3%	15.9%	34.9%
National Examination Program	491	13.4%	49.7%	8.3%	20.1%
Office of Acquisitions	34	5.4%	75.3%	2.2%	13.7%
Office of Chief Accountant	22	5.1%	12.3%	32.9%	44.7%
Office of Credit Ratings	22	9.0%	48.4%	13.7%	19.2%
Office of Financial Management	33	26.7%	50.6%	3.0%	11.3%
Office of General Counsel	43	3.8%	24.6%	3.1%	44.5%
Office of Human Resources	79	11.0%	45.6%	14.0%	19.5%
Office of Information Technology	27	4.2%	57.7%	7.4%	26.4%
Office of Inspector General	27	0.0%	29.9%	26.1%	26.8%
Office of International Affairs	38	2.3%	29.1%	23.1%	26.8%
Office of Investor Education and Advocacy	29	24.1%	50.5%	7.6%	17.7%
Office of Support Operations	34	9.1%	20.2%	4.7%	24.8%
Office of the Chief Operating Officer	15	0.0%	41.1%	8.0%	24.8%
Office of the Secretary	17	6.0%	6.4%	0.0%	35.2%
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	34	3.2%	15.4%	8.1%	32.1%
Regional Operations	103	2.1%	27.4%	14.7%	34.8%

(continued)

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

73. Please select the response below that BEST describes your current teleworking situation. (continued)

	N	Do Not Telework			
		Must Be Physically Present	Technical Issues	Not Allowed To Telework	Choose Not To Telework
Governmentwide	400,800	31.7%	4.7%	19.8%	12.5%
Securities and Exchange Commission	1,864	1.2%	0.5%	1.7%	11.3%
Division of Corporation Finance	267	0.7%	1.1%	3.1%	14.7%
Division of Economic Risk and Analysis	36	0.0%	0.0%	2.1%	2.5%
Division of Investment Management	28	0.0%	0.0%	0.0%	5.2%
Division of Trading and Markets	44	0.0%	0.0%	2.8%	8.3%
Executive Staff	9	11.7%	0.0%	0.0%	23.3%
National Enforcement Program	426	0.5%	0.2%	0.9%	16.0%
National Examination Program	491	0.3%	0.5%	0.7%	7.0%
Office of Acquisitions	34	0.0%	0.0%	0.0%	3.3%
Office of Chief Accountant	22	0.0%	4.9%	0.0%	0.0%
Office of Credit Ratings	22	0.0%	0.0%	0.0%	9.8%
Office of Financial Management	33	0.0%	0.0%	0.0%	8.4%
Office of General Counsel	43	0.0%	2.2%	2.5%	19.2%
Office of Human Resources	79	0.0%	0.0%	4.0%	6.0%
Office of Information Technology	27	0.0%	0.0%	0.0%	4.3%
Office of Inspector General	27	0.0%	3.8%	3.3%	10.1%
Office of International Affairs	38	2.5%	0.0%	2.3%	14.1%
Office of Investor Education and Advocacy	29	0.0%	0.0%	0.0%	0.0%
Office of Support Operations	34	23.9%	2.9%	6.1%	8.3%
Office of the Chief Operating Officer	15	0.0%	0.0%	0.0%	26.1%
Office of the Secretary	17	23.7%	5.8%	17.5%	5.3%
Other (ALJ, OIAD, OEC, OEEA, OMS, OMWI, OPA)	34	3.2%	0.0%	12.7%	25.2%
Regional Operations	103	5.3%	0.8%	2.8%	12.1%

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

74. Do you participate in the following Work/Life programs? Alternative Work Schedules (AWS)

	N	Yes	No	Not Available To Me
Governmentwide	403,625	33.1%	46.0%	20.9%
Securities and Exchange Commission	1,861	52.8%	45.8%	1.4%
Division of Corporation Finance	263	56.3%	42.6%	1.1%
Division of Economic Risk and Analysis	36	42.7%	54.1%	3.2%
Division of Investment Management	28	56.2%	40.1%	3.7%
Division of Trading and Markets	42	48.3%	47.7%	3.9%
Executive Staff	10	28.6%	71.4%	0.0%
National Enforcement Program	429	47.9%	51.7%	0.4%
National Examination Program	492	65.0%	34.7%	0.3%
Office of Acquisitions	35	69.8%	30.2%	0.0%
Office of Chief Accountant	22	26.4%	73.6%	0.0%
Office of Credit Ratings	21	60.8%	39.2%	0.0%
Office of Financial Management	33	71.1%	28.9%	0.0%
Office of General Counsel	43	27.9%	72.1%	0.0%
Office of Human Resources	78	53.1%	45.8%	1.1%
Office of Information Technology	26	51.1%	48.9%	0.0%
Office of Inspector General	27	34.5%	43.8%	21.7%
Office of International Affairs	39	49.9%	46.5%	3.6%
Office of Investor Education and Advocacy	28	42.5%	53.9%	3.5%
Office of Support Operations	34	53.7%	40.3%	5.9%
Office of the Chief Operating Officer	15	26.3%	59.5%	14.2%
Office of the Secretary	17	45.7%	54.3%	0.0%
Other (ALJ, OIAD, OEC, OEEEO, OMS, OMWI, OPA)	33	28.4%	61.5%	10.2%
Regional Operations	104	57.3%	41.8%	0.8%

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

75. *Do you participate in the following Work/Life programs? Health and Wellness Programs (for example, exercise, medical screening, quit smoking programs)*

	N	Yes	No	Not Available To Me
Governmentwide	402,481	27.4%	60.7%	11.9%
Securities and Exchange Commission	1,852	22.4%	72.5%	5.1%
Division of Corporation Finance	264	24.6%	75.4%	0.0%
Division of Economic Risk and Analysis	36	32.2%	67.8%	0.0%
Division of Investment Management	28	30.8%	69.2%	0.0%
Division of Trading and Markets	43	36.4%	63.1%	0.6%
Executive Staff	10	22.0%	68.5%	9.4%
National Enforcement Program	422	16.4%	77.3%	6.2%
National Examination Program	487	16.6%	73.5%	10.0%
Office of Acquisitions	34	20.4%	79.6%	0.0%
Office of Chief Accountant	22	19.6%	76.0%	4.4%
Office of Credit Ratings	22	29.5%	65.7%	4.8%
Office of Financial Management	32	14.0%	78.7%	7.4%
Office of General Counsel	42	34.2%	63.3%	2.5%
Office of Human Resources	78	35.1%	61.3%	3.6%
Office of Information Technology	27	24.3%	72.3%	3.4%
Office of Inspector General	27	61.0%	35.9%	3.1%
Office of International Affairs	39	33.8%	66.2%	0.0%
Office of Investor Education and Advocacy	29	45.7%	51.3%	3.0%
Office of Support Operations	34	32.3%	64.5%	3.2%
Office of the Chief Operating Officer	15	13.0%	87.0%	0.0%
Office of the Secretary	17	31.5%	68.5%	0.0%
Other (ALJ, OIAD, OEC, OEE0, OMS, OMWI, OPA)	35	34.7%	59.4%	5.9%
Regional Operations	103	15.2%	73.9%	11.0%

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

76. Do you participate in the following Work/Life programs? Employee Assistance Program (EAP)

	N	Yes	No	Not Available To Me
Governmentwide	398,860	13.9%	80.7%	5.4%
Securities and Exchange Commission	1,842	6.5%	90.7%	2.8%
Division of Corporation Finance	264	4.6%	94.2%	1.2%
Division of Economic Risk and Analysis	36	8.7%	84.0%	7.3%
Division of Investment Management	28	9.9%	90.1%	0.0%
Division of Trading and Markets	43	5.7%	94.3%	0.0%
Executive Staff	10	0.0%	100.0%	0.0%
National Enforcement Program	425	6.6%	90.5%	2.9%
National Examination Program	486	3.1%	91.0%	6.0%
Office of Acquisitions	35	19.8%	80.2%	0.0%
Office of Chief Accountant	22	0.0%	100.0%	0.0%
Office of Credit Ratings	20	5.9%	88.9%	5.2%
Office of Financial Management	33	14.4%	82.2%	3.4%
Office of General Counsel	42	5.1%	94.9%	0.0%
Office of Human Resources	77	17.7%	81.0%	1.2%
Office of Information Technology	26	3.3%	96.7%	0.0%
Office of Inspector General	26	12.2%	84.6%	3.2%
Office of International Affairs	39	5.9%	94.1%	0.0%
Office of Investor Education and Advocacy	28	11.3%	88.7%	0.0%
Office of Support Operations	31	9.9%	86.6%	3.5%
Office of the Chief Operating Officer	15	6.3%	93.7%	0.0%
Office of the Secretary	15	12.8%	87.2%	0.0%
Other (ALJ, OIAD, OEC, OEEEO, OMS, OMWI, OPA)	35	5.8%	85.0%	9.2%
Regional Operations	100	10.0%	89.0%	1.1%

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

77. *Do you participate in the following Work/Life programs? Child Care Programs (for example, daycare, parenting classes, parenting support groups)*

	N	Yes	No	Not Available To Me
Governmentwide	403,125	3.8%	78.8%	17.4%
Securities and Exchange Commission	1,858	7.6%	87.8%	4.6%
Division of Corporation Finance	265	7.2%	92.1%	0.7%
Division of Economic Risk and Analysis	35	8.3%	79.9%	11.8%
Division of Investment Management	28	8.4%	87.7%	3.9%
Division of Trading and Markets	43	6.3%	93.7%	0.0%
Executive Staff	10	0.0%	100.0%	0.0%
National Enforcement Program	424	10.4%	84.6%	5.0%
National Examination Program	489	5.4%	86.1%	8.5%
Office of Acquisitions	35	3.2%	94.3%	2.5%
Office of Chief Accountant	22	17.8%	77.8%	4.4%
Office of Credit Ratings	22	0.0%	95.2%	4.8%
Office of Financial Management	32	2.8%	94.5%	2.7%
Office of General Counsel	43	8.3%	91.7%	0.0%
Office of Human Resources	79	10.6%	86.9%	2.5%
Office of Information Technology	27	4.3%	92.3%	3.4%
Office of Inspector General	27	16.1%	83.9%	0.0%
Office of International Affairs	38	4.8%	92.9%	2.3%
Office of Investor Education and Advocacy	29	15.5%	84.5%	0.0%
Office of Support Operations	34	2.9%	94.2%	2.9%
Office of the Chief Operating Officer	15	5.9%	94.1%	0.0%
Office of the Secretary	16	6.8%	87.6%	5.7%
Other (ALJ, OIAD, OEC, OEEEO, OMS, OMWI, OPA)	35	0.0%	94.4%	5.6%
Regional Operations	104	8.5%	86.8%	4.8%

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

78. Do you participate in the following Work/Life programs? Elder Care Programs (for example, support groups, speakers)

	N	Yes	No	Not Available To Me
Governmentwide	403,461	2.4%	80.1%	17.5%
Securities and Exchange Commission	1,856	2.5%	92.2%	5.3%
Division of Corporation Finance	266	3.1%	95.3%	1.6%
Division of Economic Risk and Analysis	36	2.1%	79.3%	18.6%
Division of Investment Management	27	0.0%	96.0%	4.0%
Division of Trading and Markets	43	3.4%	93.6%	3.0%
Executive Staff	9	0.0%	100.0%	0.0%
National Enforcement Program	425	2.1%	93.8%	4.0%
National Examination Program	488	1.3%	88.9%	9.8%
Office of Acquisitions	34	3.3%	94.1%	2.6%
Office of Chief Accountant	22	0.0%	95.6%	4.4%
Office of Credit Ratings	21	0.0%	95.0%	5.0%
Office of Financial Management	33	2.7%	93.9%	3.4%
Office of General Counsel	43	7.0%	88.1%	4.9%
Office of Human Resources	79	12.2%	85.3%	2.5%
Office of Information Technology	27	0.0%	96.6%	3.4%
Office of Inspector General	27	7.9%	85.4%	6.7%
Office of International Affairs	38	2.3%	92.9%	4.8%
Office of Investor Education and Advocacy	29	3.5%	96.5%	0.0%
Office of Support Operations	34	2.9%	91.0%	6.1%
Office of the Chief Operating Officer	15	0.0%	93.6%	6.4%
Office of the Secretary	17	0.0%	94.7%	5.3%
Other (ALJ, OIAD, OEC, OEEEO, OMS, OMWI, OPA)	34	0.0%	96.8%	3.2%
Regional Operations	103	6.3%	89.9%	3.8%

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

79. How satisfied are you with the following Work/Life programs in your agency? Telework*

	N	Positive	Neutral	Negative	NBJ
Governmentwide	190,959	78.2%	12.8%	9.1%	6,780
Securities and Exchange Commission	1,575	86.3%	8.0%	5.8%	13
Division of Corporation Finance	214	89.9%	4.8%	5.3%	0
Division of Economic Risk and Analysis	34	86.7%	7.6%	5.7%	0
Division of Investment Management	25	90.0%	5.7%	4.2%	0
Division of Trading and Markets	38	74.3%	18.5%	7.2%	0
Executive Staff	5	78.5%	0.0%	21.5%	0
National Enforcement Program	350	86.7%	6.8%	6.5%	5
National Examination Program	452	85.6%	7.9%	6.5%	2
Office of Acquisitions	34	94.9%	5.1%	0.0%	0
Office of Chief Accountant	21	89.9%	5.5%	4.6%	0
Office of Credit Ratings	20	94.7%	5.3%	0.0%	0
Office of Financial Management	29	87.8%	12.2%	0.0%	0
Office of General Counsel	33	77.8%	9.6%	12.6%	0
Office of Human Resources	69	91.6%	3.9%	4.5%	2
Office of Information Technology	26	89.6%	6.8%	3.6%	0
Office of Inspector General	22	85.7%	10.0%	4.3%	0
Office of International Affairs	32	77.1%	17.4%	5.5%	0
Office of Investor Education and Advocacy	26	92.4%	3.9%	3.7%	2
Office of Support Operations	20	84.1%	10.9%	4.9%	0
Office of the Chief Operating Officer	11	88.0%	12.0%	0.0%	0
Office of the Secretary	8	73.2%	15.9%	10.9%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	20	89.8%	10.2%	0.0%	1
Regional Operations	80	83.2%	12.0%	4.8%	1

*The results for this item only include employees who indicated that they participated in this program.

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

80. How satisfied are you with the following Work/Life programs in your agency? Alternative Work Schedules (AWS)*

	N	Positive	Neutral	Negative	NBJ
Governmentwide	151,249	89.0%	7.5%	3.5%	2,908
Securities and Exchange Commission	989	93.4%	4.3%	2.4%	12
Division of Corporation Finance	145	90.0%	7.2%	2.9%	2
Division of Economic Risk and Analysis	16	95.0%	0.0%	5.0%	0
Division of Investment Management	16	100.0%	0.0%	0.0%	0
Division of Trading and Markets	24	94.6%	5.4%	0.0%	0
Executive Staff	3	100.0%	0.0%	0.0%	0
National Enforcement Program	203	93.6%	4.4%	2.0%	2
National Examination Program	307	93.7%	3.4%	2.8%	5
Office of Acquisitions	24	100.0%	0.0%	0.0%	0
Office of Chief Accountant	6	83.4%	0.0%	16.6%	0
Office of Credit Ratings	13	100.0%	0.0%	0.0%	0
Office of Financial Management	23	100.0%	0.0%	0.0%	0
Office of General Counsel	12	90.3%	9.7%	0.0%	0
Office of Human Resources	41	97.0%	3.0%	0.0%	0
Office of Information Technology	14	79.6%	13.7%	6.7%	0
Office of Inspector General	9	78.3%	21.7%	0.0%	0
Office of International Affairs	20	90.3%	9.7%	0.0%	0
Office of Investor Education and Advocacy	12	100.0%	0.0%	0.0%	1
Office of Support Operations	17	88.0%	0.0%	12.0%	1
Office of the Chief Operating Officer	3	100.0%	0.0%	0.0%	0
Office of the Secretary	8	100.0%	0.0%	0.0%	0
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	10	91.3%	8.7%	0.0%	1
Regional Operations	60	98.2%	0.0%	1.8%	0

*The results for this item only include employees who indicated that they participated in this program.

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

81. How satisfied are you with the following Work/Life programs in your agency? Health and Wellness Programs (for example, exercise, medical screening, quit smoking programs)*

	N	Positive	Neutral	Negative	NBJ
Governmentwide	106,036	79.9%	16.5%	3.6%	7,380
Securities and Exchange Commission	383	82.4%	13.7%	3.9%	22
Division of Corporation Finance	65	82.9%	13.8%	3.3%	2
Division of Economic Risk and Analysis	9	100.0%	0.0%	0.0%	1
Division of Investment Management	8	59.8%	27.2%	13.1%	0
Division of Trading and Markets	11	88.2%	11.8%	0.0%	1
Executive Staff	2	100.0%	0.0%	0.0%	0
National Enforcement Program	63	77.5%	19.5%	3.0%	4
National Examination Program	69	84.5%	11.1%	4.4%	9
Office of Acquisitions	7	69.6%	16.1%	14.3%	1
Office of Chief Accountant	4	75.0%	25.0%	0.0%	0
Office of Credit Ratings	6	100.0%	0.0%	0.0%	0
Office of Financial Management	6	100.0%	0.0%	0.0%	0
Office of General Counsel	15	86.0%	14.0%	0.0%	0
Office of Human Resources	27	95.5%	4.5%	0.0%	1
Office of Information Technology	7	69.8%	12.5%	17.7%	0
Office of Inspector General	16	80.5%	19.5%	0.0%	0
Office of International Affairs	13	92.9%	7.1%	0.0%	0
Office of Investor Education and Advocacy	12	92.1%	7.9%	0.0%	0
Office of Support Operations	11	80.7%	19.3%	0.0%	0
Office of the Chief Operating Officer	2	100.0%	0.0%	0.0%	0
Office of the Secretary	4	74.8%	25.2%	0.0%	0
Other (ALJ, OIAD, OEC, OEEEO, OMS, OMWI, OPA)	11	90.3%	0.0%	9.7%	1
Regional Operations	15	79.6%	7.1%	13.3%	2

*The results for this item only include employees who indicated that they participated in this program.

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

82. How satisfied are you with the following Work/Life programs in your agency? Employee Assistance Program (EAP)*

	N	Positive	Neutral	Negative	NBJ
Governmentwide	55,156	74.8%	20.9%	4.4%	8,714
Securities and Exchange Commission	128	77.4%	18.1%	4.5%	20
Division of Corporation Finance	14	70.1%	29.9%	0.0%	1
Division of Economic Risk and Analysis	2	52.3%	47.7%	0.0%	1
Division of Investment Management	3	100.0%	0.0%	0.0%	0
Division of Trading and Markets	2	100.0%	0.0%	0.0%	0
Executive Staff	0	--	--	--	0
National Enforcement Program	29	78.7%	19.8%	1.5%	4
National Examination Program	17	78.9%	21.1%	0.0%	4
Office of Acquisitions	6	41.6%	58.4%	0.0%	0
Office of Chief Accountant	0	--	--	--	0
Office of Credit Ratings	1	0.0%	100.0%	0.0%	1
Office of Financial Management	5	100.0%	0.0%	0.0%	0
Office of General Counsel	3	31.5%	35.9%	32.6%	0
Office of Human Resources	14	100.0%	0.0%	0.0%	1
Office of Information Technology	2	42.9%	0.0%	57.1%	0
Office of Inspector General	2	49.3%	50.7%	0.0%	2
Office of International Affairs	2	59.3%	40.7%	0.0%	0
Office of Investor Education and Advocacy	3	100.0%	0.0%	0.0%	1
Office of Support Operations	5	78.7%	21.3%	0.0%	1
Office of the Chief Operating Officer	1	100.0%	0.0%	0.0%	0
Office of the Secretary	2	100.0%	0.0%	0.0%	2
Other (ALJ, OIAD, OEC, OEEO, OMS, OMWI, OPA)	2	100.0%	0.0%	0.0%	0
Regional Operations	12	74.4%	17.9%	7.7%	2

*The results for this item only include employees who indicated that they participated in this program.

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

83. *How satisfied are you with the following Work/Life programs in your agency? Child Care Programs (for example, daycare, parenting classes, parenting support groups)**

	N	Positive	Neutral	Negative	NBJ
Governmentwide	10,781	71.6%	24.4%	4.1%	4,620
Securities and Exchange Commission	126	86.9%	10.8%	2.3%	19
Division of Corporation Finance	17	88.1%	6.3%	5.6%	2
Division of Economic Risk and Analysis	3	66.1%	33.9%	0.0%	1
Division of Investment Management	2	100.0%	0.0%	0.0%	0
Division of Trading and Markets	2	100.0%	0.0%	0.0%	0
Executive Staff	0	--	--	--	0
National Enforcement Program	44	91.3%	7.2%	1.5%	5
National Examination Program	24	78.7%	17.0%	4.3%	3
Office of Acquisitions	1	0.0%	100.0%	0.0%	0
Office of Chief Accountant	4	100.0%	0.0%	0.0%	0
Office of Credit Ratings	0	--	--	--	0
Office of Financial Management	1	100.0%	0.0%	0.0%	1
Office of General Counsel	3	66.4%	33.6%	0.0%	0
Office of Human Resources	6	100.0%	0.0%	0.0%	2
Office of Information Technology	1	100.0%	0.0%	0.0%	0
Office of Inspector General	2	52.2%	47.8%	0.0%	2
Office of International Affairs	3	32.2%	67.8%	0.0%	0
Office of Investor Education and Advocacy	3	100.0%	0.0%	0.0%	1
Office of Support Operations	0	--	--	--	1
Office of the Chief Operating Officer	1	100.0%	0.0%	0.0%	0
Office of the Secretary	1	100.0%	0.0%	0.0%	1
Other (ALJ, OIAD, OEC, OEEEO, OMS, OMWI, OPA)	0	--	--	--	0
Regional Operations	8	74.3%	13.7%	12.0%	0

*The results for this item only include employees who indicated that they participated in this program.

Securities and Exchange Commission 1st Level Subagency Comparison Report

Work/Life (continued)

84. How satisfied are you with the following Work/Life programs in your agency? Elder Care Programs (for example, support groups, speakers)*

	N	Positive	Neutral	Negative	NBJ
Governmentwide	7,497	66.3%	31.3%	2.4%	3,831
Securities and Exchange Commission	43	70.4%	25.1%	4.5%	23
Division of Corporation Finance	7	86.5%	13.5%	0.0%	2
Division of Economic Risk and Analysis	0	--	--	--	1
Division of Investment Management	0	--	--	--	1
Division of Trading and Markets	1	100.0%	0.0%	0.0%	1
Executive Staff	0	--	--	--	1
National Enforcement Program	8	55.4%	38.9%	5.7%	4
National Examination Program	6	51.4%	20.7%	27.9%	4
Office of Acquisitions	1	0.0%	100.0%	0.0%	1
Office of Chief Accountant	0	--	--	--	0
Office of Credit Ratings	0	--	--	--	1
Office of Financial Management	1	100.0%	0.0%	0.0%	0
Office of General Counsel	3	63.8%	36.2%	0.0%	0
Office of Human Resources	7	100.0%	0.0%	0.0%	2
Office of Information Technology	0	--	--	--	0
Office of Inspector General	1	0.0%	100.0%	0.0%	1
Office of International Affairs	1	100.0%	0.0%	0.0%	1
Office of Investor Education and Advocacy	1	0.0%	100.0%	0.0%	0
Office of Support Operations	0	--	--	--	1
Office of the Chief Operating Officer	0	--	--	--	0
Office of the Secretary	0	--	--	--	0
Other (ALJ, OIAD, OEC, OEEEO, OMS, OMWI, OPA)	0	--	--	--	1
Regional Operations	6	100.0%	0.0%	0.0%	1

*The results for this item only include employees who indicated that they participated in this program.

Securities and Exchange Commission

1st Level Subagency Comparison Report

Demographic Questions

Where do you work?

	N	%
Headquarters	969	52.2%
Field	886	47.8%

What is your supervisory status?

	N	%
Non-Supervisor	1,235	66.8%
Team Leader	245	13.3%
Supervisor	196	10.6%
Manager	97	5.2%
Senior Leader	76	4.1%

Are you:

	N	%
Male	980	53.9%
Female	839	46.1%

Are you Hispanic or Latino?

	N	%
Yes	103	5.7%
No	1,690	94.3%

Race

	N	%
American Indian or Alaska Native	3	0.2%
Asian	146	8.4%
Black or African American	242	14.0%
Native Hawaiian or Other Pacific Islander	3	0.2%
White	1,293	74.7%
Two or more races	43	2.5%

Note: Percentages for demographic questions are unweighted.

Securities and Exchange Commission

1st Level Subagency Comparison Report

Demographic Questions (continued)

What is the highest degree or level of education you have completed?

	N	%
Less than High School	0	0.0%
High School Diploma/GED or equivalent	23	1.3%
Trade or Technical Certificate	10	0.5%
Some College (no degree)	95	5.2%
Associate's Degree (e.g., AA, AS)	35	1.9%
Bachelor's Degree (e.g., BA, BS)	504	27.4%
Master's Degree (e.g., MA, MS, MBA)	398	21.7%
Doctoral/Professional Degree (e.g., Ph.D., MD, JD)	772	42.0%

What is your pay category/grade?

	N	%
Federal Wage System	15	0.8%
GS 1-6	5	0.3%
GS 7-12	138	7.6%
GS 13-15	766	42.0%
Senior Executive Service	64	3.5%
Senior Level (SL) or Scientific or Professional (ST)	29	1.6%
Other	806	44.2%

How long have you been with the Federal Government (excluding military service)?

	N	%
Less than 1 year	19	1.0%
1 to 3 years	220	12.0%
4 to 5 years	165	9.0%
6 to 10 years	337	18.4%
11 to 14 years	392	21.4%
15 to 20 years	312	17.0%
More than 20 years	386	21.1%

Note: Percentages for demographic questions are unweighted.

Securities and Exchange Commission

1st Level Subagency Comparison Report

Demographic Questions (continued)

How long have you been with your current agency (for example, Department of Justice, Environmental Protection Agency)?

	N	%
Less than 1 year	54	3.0%
1 to 3 years	339	18.7%
4 to 5 years	178	9.8%
6 to 10 years	318	17.5%
11 to 20 years	677	37.3%
More than 20 years	251	13.8%

Are you considering leaving your organization within the next year, and if so, why?

	N	%
No	1,439	78.5%
Yes, to retire	40	2.2%
Yes, to take another job within the Federal Government	132	7.2%
Yes, to take another job outside the Federal Government	146	8.0%
Yes, other	76	4.1%

I am planning to retire:

	N	%
Within one year	21	1.2%
Between one and three years	98	5.4%
Between three and five years	117	6.5%
Five or more years	1,577	87.0%

Self-Identify as:

	N	%
Heterosexual or Straight	1,428	83.8%
Gay, Lesbian, Bisexual, or Transgender	80	4.7%
I prefer not to say	197	11.6%

What is your US military service status?

	N	%
No Prior Military Service	1,631	91.2%
Currently in National Guard or Reserves	8	0.4%
Retired	38	2.1%
Separated or Discharged	111	6.2%

Note: Percentages for demographic questions are unweighted.

Securities and Exchange Commission

1st Level Subagency Comparison Report

Demographic Questions (continued)

Are you an individual with a disability?

	N	%
Yes	114	6.3%
No	1,682	93.7%

What is your age group?

	N	%
25 and under	2	0.1%
26-29	35	1.8%
30-39	470	24.5%
40-49	705	36.7%
50-59	522	27.2%
60 or older	187	9.7%

Note: Percentages for demographic questions are unweighted.