SEC Personnel Management - Non-Executive Survey Questionnaire

Accessible Version

 The U.S. Government Accountability Office (GAO), an independent agency that works for Congress, has been mandated by Section 962 of the Dodd-Frank Wall Street Reform and Consumer Protection Act (Pub.L. 111-203) to review the quality of personnel management at the U.S. Securities and Exchange Commission (SEC), including issues related to human capital programs, workforce planning, performance management, and communication. As a part of our review, we are sending this questionnaire to attorneys, accountants, examiners, financial economists, and IT specialists in mission-critical SEC divisions and offices to obtain their opinions about various aspects of working at the SEC. Your cooperation is critical to providing the Congress with complete and balanced information on how personnel management is functioning across these offices and divisions within the SEC. This questionnaire should take about 30 minutes to complete.

Please rest assured that we will not share with the SEC any individually identifiable information from this survey. In addition, unless required by law or requested by Congress, we will not release any individually identifiable information outside of GAO. The results of this questionnaire will be used to compile descriptive information on SEC's personnel management, and the results will be included in summary form in our final report. Individual answers may be discussed in the report, but we will not include any information that could be used to identify individual respondents.

All of the questions in this survey can be answered by clicking on radio buttons or providing comments in spaces provided at the end of each section. Please complete the questionnaire within 10 business days of receipt. This questionnaire is divided by topic into eight sections:

(1) Recruitment, Training, Staff Development, and Resources
(2) Communication Between and Within SEC Divisions and Offices
(3) Leadership and Management
(4) Performance Management and Promotions
(5) Organizational Culture and Climate
(6) Diversity and Inclusion (D&I)
(7) Demographics and Background Information; and
(8) Final Comments.

Although your participation is voluntary, we urge you to complete this questionnaire. We cannot

develop meaningful information without your frank and honest answers.

Thank you very much for your time. To learn more about completing the survey and whom to contact if you have questions, please email SECEmployeeViews@gao.gov.

Definition **Section 1: Recruitment, Training, Staff Development, and Resources**

Notes on terms used in Section 1:
(1) **Division/office**: For purposes of this survey, the phrase "division/office" refers to your division or office (such as the Division of Corporation Finance, the Office of Information Technology, or the Division of Enforcement in a regional office).

(2) **Supervisors and managers**: For the purposes of this survey, the phrase "supervisors and managers" refers to those in supervisory or management positions above your current level.   For non-supervisory staff, "supervisors and managers" refers to Exam Managers, Branch Chiefs, and Assistant Directors.   For Exam Managers, Branch Chiefs, and Assistant Directors, "supervisors" refers to those persons above you in the chain of command who are Assistant Directors or Associate Directors.

(3) **Management**: For purposes of this survey, "management" refers to Assistant Directors and those at the Senior Officer (SO) level including Directors, Deputy Directors, Managing Executives, and Associate Directors.

JS

Q1 To what extent do you agree or disagree with the following statements on recruitment, hiring and retention?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
My division/office is able to attract talented and qualified employees. (1)	○	○	○	○	○	○
My division/office retains its most talented and qualified employees. (2)	○	○	○	○	○	○
SEC management usually hires employees who are a good fit for SEC's mission. (3)	○	○	○	○	○	○
When new people start in jobs in my division/office, they are given enough guidance and training. (4)	○	○	○	○	○	○
Hiring is sometimes based more on personal connections than on substantive experience or qualifications. (5)	○	○	○	○	○	○

My division/office has enough staff to manage the volume of work that needs to be completed. (6)

○   ○   ○   ○   ○   ○

JS

Q2 To what extent do you agree or disagree with the following statements on training and development opportunities?

Please note: Some questions ask you to look back over the past three years. If you have worked at the SEC for less than three years, we ask that you look back over the period of time

that you have worked at the SEC.

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
SEC management is committed to the ongoing training and development of staff. (1)	○	○	○	○	○	○
SEC needs to invest more in the development of new staff. (2)	○	○	○	○	○	○
The training I have received over the past three years has provided me skills and experience to meet SEC's needs. (3)	○	○	○	○	○	○
Management in my division/office needs to do more to address skills gaps. (4)	○	○	○	○	○	○

Page Break

JS

Q3 For those training opportunities that you have been involved with over the past three years, to what extent, if at all, have the following types of training provided information and knowledge that is directly relevant to your work?

	To a great extent (1)	To a moderate extent (2)	To a small extent (3)	To no extent (4)	No basis to judge/ Do not know (5)
Training provided by the SEC University. (1)	○	○	○	○	○
External training or conferences. (2)	○	○	○	○	○
Computer-based training delivered by Internet. (3)	○	○	○	○	○

Q4 Have there been opportunities over the past three years for you to participate in training that provided the latest industry specific knowledge relevant to your job with outside instructors who are experts in the field?

○ Yes (1)

○ No (2)

○ Do not know (3)

Q5 In general, how adequate is the number of training opportunities that provide the latest industry specific knowledge relevant to your job with outside instructors who are experts in the field?

○ More than adequate (1)

○ Adequate (2)

○ Less than adequate (3)

○ Do not know (4)

Q6 Over the past three years, how many times have you taken part in training that provided the latest industry specific knowledge relevant to your job that included outside instructors who are experts in the field?

○ Never (1)

○ Once or twice (2)

○ Three or more times (3)

○ Do not know (4)

X→

Q7 Following the onset of the COVID-19 pandemic, how adequate was the technology support provided by SEC to ensure a smooth **transition** to full-time telework?

○ More than adequate (1)

○ Adequate (2)

○ Less than adequate (3)

○ Do not know (4)

JS

Q8 During the time you have been teleworking full-time due to the COVID-19 pandemic, **how often**, if at all, have the following information technology (IT) resources been adequate for conducting your work?

	Always (1)	Mostly (2)	Sometimes (3)	Never (4)	Do not know (5)
IT staff support (Q8_1)	○	○	○	○	○
IT equipment (Q8_2)	○	○	○	○	○

Q9 If there are any other issues, details, or information concerning recruitment, training, staff development and resources that you would like us to know about, please use the space below to provide this information.

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End of Block: Section 1: Recruitment, Training, Staff Development, and Resources

Start of Block: Section 2: Communication Within and Between SEC Divisions and Offices

Definitions **Section 2: Communication Within and Between SEC Divisions and Offices**

Notes on terms used in Section 2:
(1) **Division/office**: For purposes of this survey, the phrase "division/office" refers to your division or office (such as the Division of Corporation Finance, the Office of Information Technology, or the Division of Enforcement in a regional office).

(2) **Supervisors and managers**: For the purposes of this survey, the phrase "supervisors and managers" refers to those in supervisory or management positions above your current

level.   For non-supervisory staff, "supervisors and managers" refers to Exam Managers, Branch Chiefs, and Assistant Directors.   For Exam Managers, Branch Chiefs, and Assistant Directors, "supervisors" refers to those persons above you in the chain of command who are Assistant Directors or Associate Directors.

(3) **Management**: For purposes of this survey, "management" refers to Assistant Directors and those at the Senior Officer (SO) level including Directors, Deputy Directors, Managing Executives, and Associate Directors.

Please note: Some questions ask you to look back over the past three years. If you have worked at the SEC for less than three years, we ask that you look back over the period of time that you have worked at the SEC.

JS X→

Q10 To what extent do you agree or disagree with the following statements regarding communication within your division/office or between your division/office and other SEC offices and divisions?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
SEC management ensures that employees are included in the flow of relevant information. (Q10_1)	○	○	○	○	○	○
My division/office supports open, two-way communication between staff and management. (Q10_2)	○	○	○	○	○	○
Information is adequately shared across groups in my division/office. (Q10_3)	○	○	○	○	○	○
Communication across groups in my division office has improved over the past three years. (Q10_4)	○	○	○	○	○	○
Information is adequately shared across divisions/offices at SEC (such as between Enforcement and OIT). (Q10_5)	○	○	○	○	○	○

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Q11 In the past 12 months, how often, if at all, did you typically communicate with employees in the following **divisions or offices** for work-related issues such as to coordinate activities or ask for expert advice? (Select "Not Applicable" if you work in that division or office.)

	Daily (1)	One or more times a week (2)	One or more times a month (3)	One or more times in the past 12 months (4)	Never (5)	Do not know (6)	Not applicable (7)
Division of Examinations (Q11_1)	○	○	○	○	○	○	○
Division of Enforcement (Q11_2)	○	○	○	○	○	○	○
Division of Corporation Finance (Q11_3)	○	○	○	○	○	○	○
Division of Investment Management (Q11_4)	○	○	○	○	○	○	○
Division of Trading and Markets (Q11_5)	○	○	○	○	○	○	○
Division of Economic and Risk Analysis (Q11_6)	○	○	○	○	○	○	○
Office of Credit Ratings (Q11_7)	○	○	○	○	○	○	○
Office of Information Technology (Q11_8)	○	○	○	○	○	○	○
Office of the Chief Accountant (Q11_9)	○	○	○	○	○	○	○

JS **X→**

Q12 During the COVID-19 pandemic, how satisfied or dissatisfied have you been with the communication between the following parties for achieving the mission of your division/office?

	Very satisfied (1)	Somewhat satisfied (2)	Neither satisfied nor dissatisfied (3)	Somewhat dissatisfied (4)	Very dissatisfied (5)	Do not know (6)
Management in my division/office and non-management (Q12_1)	○	○	○	○	○	○
Supervisors and managers in my division/office and their staff (Q12_2)	○	○	○	○	○	○

Q13 If there are any other issues, details, or information concerning communication between and within divisions and offices that you would like us to know about, please use the space below to provide this information.

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End of Block: Section 2: Communication Within and Between SEC Divisions and Offices

Start of Block: Section 3: Leadership and Management

Definitions **Section 3: Leadership and Management**

Notes on terms used in Section 3:

(1) **Division/office**: For purposes of this survey, the phrase "division/office" refers to your division or office (such as the Division of Corporation Finance, the Office of Information Technology, or the Division of Enforcement in a regional office).

(2) **Supervisors and managers**: For the purposes of this survey, the phrase "supervisors and managers" refers to those in supervisory or management positions above your current level.   For non-supervisory staff, "supervisors and managers" refers to Exam Managers, Branch Chiefs, and Assistant Directors.   For Exam Managers, Branch Chiefs, and Assistant Directors, "supervisors" refers to those persons above you in the chain of command who are Assistant Directors or Associate Directors.

(3) **Management**: For purposes of this survey, "management" refers to Assistant Directors and those at the Senior Officer (SO) level including Directors, Deputy Directors, Managing Executives, and Associate Directors.

JS X→

Q14 To what extent do you agree or disagree with the following statements regarding the quality of management and leadership in your division/office?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
In my division/office, the roles and responsibilities of supervisors and managers are clearly defined. (Q14_1)	○	○	○	○	○	○
Supervisors and managers in my division/office are genuinely interested in the opinions of their staff. (Q14_2)	○	○	○	○	○	○
In my office/division, promotion to management is based more on substantive experience or qualifications than on personal connections or favoritism. (Q14_3)	○	○	○	○	○	○

X→

Q15 To what extent do you agree or disagree with the following statement:

Over the past 3 years, I have seen SEC staff leave due to being dissatisfied with a supervisor or manager.

○ Strongly agree (1)

○ Somewhat agree (2)

○ Neither agree nor disagree (3)

○ Somewhat disagree (4)

○ Strongly disagree (5)

○ Do not know (6)

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JS X→

Q16

Over the past three years, to what extent, if at all, have the Senior Officers (SOs) in your **division/office** worked to make improvements in the areas listed below?

Senior Officers in my division/office worked to make improvements in...

	To a great extent (1)	To a moderate extent (2)	To a small extent (3)	To no extent (4)	No basis to judge/ Do not know (5)
Workforce morale (Q16_1)	○	○	○	○	○
Collaboration between divisions and offices (Q16_2)	○	○	○	○	○
Staff training focused on specific competencies (Q16_3)	○	○	○	○	○
Transparency in the promotion process (Q16_4)	○	○	○	○	○

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JS

Q17 Over the past three years, to what extent, if at all, has management solicited employees' ideas and suggestions in developing the following initiatives?

	To a great extent (1)	To a moderate extent (2)	To a small extent (3)	To no extent (4)	Not aware of any such initiative (5)	Do not know (6)
Initiatives designed to improve communication. (Q17_1)	○	○	○	○	○	○
Initiatives designed to improve the performance management system. (Q17_2)	○	○	○	○	○	○
Initiatives designed to improve training opportunities. (Q17_3)	○	○	○	○	○	○

JS

Q18 Over the past three years, how satisfied, if at all, have you been with the following initiatives?

	Very satisfied (1)	Somewhat satisfied (2)	Somewhat dissatisfied (3)	Very dissatisfied (4)	Not aware of any such initiative (5)	Do not know (6)
Initiatives designed to improve communication. (1)	○	○	○	○	○	○
Initiative designed to improve the performance management system. (2)	○	○	○	○	○	○
Initiatives designed to improve training opportunities. (3)	○	○	○	○	○	○

X→

Q19 Are the **numbers of supervisors and managers** currently in your division/office more than is needed, less than is needed, or an appropriate amount given the current workload?

○ More than is needed (1)

○ Less than is needed (2)

○ An appropriate amount (3)

○ Do not know (4)

X→

Q20 Are the **numbers of supervisory levels** currently in your division/office more than is needed, less than is needed, or an appropriate amount given the current workload?

○ More than is needed (1)

○ Less than is needed (2)

○ An appropriate amount (3)

○ Do not know (4)

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Note Your direct supervisor is the next person above you in the chain of command to whom you report. It is the person who more often than anyone else directs your work on a day-to-day basis or who has the authority to direct your work, assign tasks, or reward, promote and discipline you.

Please rest assured that we will not share with the SEC any individually identifiable information from this survey. In addition, unless required by law or requested by Congress, we will not release any individually identifiable information outside of GAO.

Q21 What is your current direct supervisor's position or title?

○ Branch Chief (1)

○ Exam Manager (2)

○ Assistant Director (3)

○ Associate Director (4)

○ Other (Please specify) (5) _____

JS

Q22 To what extent do you agree or disagree with the following statements regarding your current direct supervisor?

My direct supervisor...

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
Is knowledgeable in the issue areas I conduct my work. (1)	○	○	○	○	○	○
Has the skills and expertise to be an effective supervisor or manager. (2)	○	○	○	○	○	○
Does a good job in sharing information. (3)	○	○	○	○	○	○
Clearly defines goals and expectations. (4)	○	○	○	○	○	○
Provides useful and constructive feedback. (5)	○	○	○	○	○	○
Will listen to me if we have differing ideas or approaches. (6)	○	○	○	○	○	○
Is receptive to feedback. (7)	○	○	○	○	○	○
Is willing to change his or her position when there is compelling information. (8)	○	○	○	○	○	○

Gives me the flexibility I need to do my job effectively. (9)	○	○	○	○	○	○
Spends too much time closely monitoring my work. (10)	○	○	○	○	○	○

Q23 If there are any other issues, details, or information concerning leadership and management at the SEC that you would like us to know about, please use the space below to provide this information.

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End of Block: Section 3: Leadership and Management

Start of Block: Section 4: Performance Management and Promotions

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Definitions **Section 4: Performance Management and Promotions**

For notes on terms used in Section 4, hover over the below terms:
  (1) **Supervisors and managers**
  (2) **Management**

JS

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Q24 To what extent do you agree or disagree with the following statements regarding how SEC management recognizes and rewards performance in your division/office?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
Overall, Senior Officers deal effectively with poor performing supervisors and managers. (1)	○	○	○	○	○	○
Overall, supervisors and managers deal effectively with poor performing staff. (2)	○	○	○	○	○	○
I know what is expected of me regarding my work performance. (3)	○	○	○	○	○	○
My direct supervisor provides sufficient performance feedback. (4)	○	○	○	○	○	○
The criteria for rewarding staff are clearly defined. (5)	○	○	○	○	○	○
The criteria for promoting staff are clearly defined. (6)	○	○	○	○	○	○

	○	○	○	○	○	○
The opportunities in my division/office to get promoted into a management position are limited. (7)	○	○	○	○	○	○
Favoritism is typically not an issue in promotions. (8)	○	○	○	○	○	○
Promotions go to those who most deserve it. (9)	○	○	○	○	○	○
There is a clear link between my performance and recognition of it. (10)	○	○	○	○	○	○
Current performance incentives are effective tools to motivate employees to perform well. (11)	○	○	○	○	○	○

JS

Q25 SEC's current performance management system is a two-tier scale for assessing employee performance in which employees are rated as either **"Accomplished Performer"** or

"Unacceptable." To what extent do you agree or disagree with the following statements regarding SEC's current performance management system?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
SEC's current performance management system creates meaningful distinctions in performance among employees. (Q25_1)	○	○	○	○	○	○
Under SEC's current performance management system, employee performance appraisals are fair. (Q25_2)	○	○	○	○	○	○
SEC's current performance management system incentivizes high performance. (Q25_3)	○	○	○	○	○	○

SEC's current performance management system provides a framework for receiving meaningful feedback on my performance. (Q25_4)	○	○	○	○	○	○
Receiving meaningful performance feedback depends more on the supervisor than on the structure of the current performance management system. (Q25_5)	○	○	○	○	○	○
SEC's current performance management system makes it easier for supervisors to rate staff. (Q25_6)	○	○	○	○	○	○

SEC's current performance management system provides little incentive for staff to write self-assessments of their performance. (Q25_7)	○	○	○	○	○	○
SEC's current performance management system provides consistent standards for rewarding performance. (Q25_8)	○	○	○	○	○	○
Changes need to be made to increase transparency in the process used to rate my performance. (Q25_9)	○	○	○	○	○	○

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Q26 In March 2021, SEC launched the **"Performance Incentive Bonus (PIB)"** program, which makes available larger bonuses intended to reward employees that go above and beyond. To what extent do you agree or disagree with the following statement:

The **process** for awarding staff with bonuses under the PIB program is transparent.

○ Strongly agree (1)

○ Somewhat agree (2)

○ Neither agree nor disagree (3)

○ Somewhat disagree (4)

○ Strongly disagree (5)

○ Do not know (6)

○ I'm not familiar with the PIB program (7)

Q27 If there are any other issues, details, or information concerning performance management and promotions at the SEC that you would like us to know about, please use the space below to provide this information.

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End of Block: Section 4: Performance Management and Promotions

Start of Block: Section 5: Organizational Culture and Climate

JS

Definitions **Section 5: Organizational Culture and Climate**

For notes on terms used in Section 5, hover over the below terms:

(1) **Division/office**
  (2) **Supervisors and managers**
  (3) **Management**

JS

Q28 To what extent do you agree or disagree with the following statements regarding different aspects of organizational culture and climate within your division/office?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
There is an atmosphere of trust in my division/office. (1)	○	○	○	○	○	○
Employee morale is generally high most of the time. (2)	○	○	○	○	○	○
I have a voice in decisions that affect me and my work environment. (3)	○	○	○	○	○	○
Management in my division/office has taken steps to improve employee morale. (4)	○	○	○	○	○	○
Supervisors and managers in my division/office tolerate honest mistakes as learning experiences. (5)	○	○	○	○	○	○
There are clearly defined policies and procedures for doing my work. (6)	○	○	○	○	○	○

Innovative ideas are encouraged in my division/office. (7)	○	○	○	○	○	○
Fear of public scandals has made SEC overly cautious and risk-averse. (8)	○	○	○	○	○	○
In my view, the fear of being wrong makes supervisors and managers in my division/office reluctant to take a stand on important issues. (9)	○	○	○	○	○	○
In my view, the fear of being wrong makes Senior Officers in my division/office reluctant to take a stand on important issues. (10)	○	○	○	○	○	○

Q29 When were you hired at the SEC?

○ Before 2010 (1)

○ During or after 2010 (2)

Q30 In 2010, Congress enacted the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank), which included a provision for GAO to review the quality of personnel management at the SEC every three years. For the purposes of this question, "personnel management" refers to the general human capital aspects of the agency, which could include the competence of professional staff; the effectiveness of supervisors; and issues related to employee performance assessments, promotion, and intra-agency communication.

In your view, to what extent has personnel management at SEC improved or worsened since 2010, when the Dodd-Frank Act was first enacted?

○ Largely improved (1)

○ Moderately improved (2)

○ Neither improved nor worsened (3)

○ Moderately worsened (4)

○ Largely worsened (5)

○ Do not know (6)

Q31 If there are any other issues, details, or information concerning the organizational culture or climate at the SEC or in your division/office that you would like us to know about, please use the space below to provide this information.

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End of Block: Section 5: Organizational Culture and Climate

JS

Definitions **Section 6: Diversity and Inclusion (D&I)**

For notes on terms used in Section 6, hover over some of the below terms:

(1) **Division/office**
  (2) **Supervisors and managers**(3) **Diversity**: For the purposes of this survey, the term "diversity" is defined broadly and refers to the range of similarities and differences in individual and organizational characteristics that shape the workplace. These include national origin, language, race, color, disability, ethnicity, gender, age, religion, sexual orientation, gender identity, socioeconomic status, veteran status, and family structure. The concept also encompasses other differences among people, including geographic differences as well as diversity of thought and life experiences.
(4) **Inclusion**: For the purposes of this survey, the term "inclusion" refers to a culture that connects each employee to the organization; encourages collaboration, flexibility, and fairness; and leverages diversity throughout the organization so that all employees are able to participate and contribute to their full potential.

JS

Q32 To what extent do you agree or disagree with the following statements regarding workforce diversity and inclusion (D&I) **in your division/office**?

In my division/office...

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
My supervisor is committed to a workforce representative of all segments of society. (Q32_1)	○	○	○	○	○	○
Supervisors work well with employees of different backgrounds. (Q32_2)	○	○	○	○	○	○
There is diversity among Senior Officers. (Q32_3)	○	○	○	○	○	○
There is diversity among supervisors and managers. (Q32_4)	○	○	○	○	○	○
There is diversity among non-supervisory staff (Attorneys, Accountants, Examiners, etc.). (Q32_5)	○	○	○	○	○	○
There is diversity among recent hires. (Q32_6)	○	○	○	○	○	○

Q33

SEC has set goals to promote "Diversity and Inclusion" (D&I) in the workplace, such as fostering a supportive, welcoming, inclusive, and fair work environment; demonstrating leadership commitment; building a diverse workforce drawn from all segments of American society; and leveraging diversity and inclusion for mission effectiveness.

To what extent do you agree or disagree with the following statements regarding workforce diversity and inclusion (D&I) **at SEC**?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
SEC has shown it values D&I through various activities, such as town halls, speaker events, and trainings. (Q33_1)	○	○	○	○	○	○
SEC is making real, meaningful progress on D&I in the workplace. (Q33_2)	○	○	○	○	○	○
SEC is committed to a workforce representative of all segments of society. (Q33_3)	○	○	○	○	○	○
SEC fills job vacancies with diverse staff. (Q33_4)	○	○	○	○	○	○

Q34 In your view, at what pace does SEC promote diverse staff compared to other staff?

○ At a faster pace (1)

○ At the same pace (2)

○ At a slower pace (3)

○ Do not know (4)

Q35 If there are any other issues, details, or information concerning D&I at the SEC or in your division/office that you would like us to know about, please use the space below to provide this information.

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End of Block: Section 6: Diversity and Inclusion (D&I)

Start of Block: Section 7: Demographic and Background Information

Definitions **Section 7: Demographic and Background Information**

X→

Q36 In which SEC division or office do you currently work?

○ Division of Enforcement (1)

○ Division of Corporation Finance (2)

○ Division of Investment Management (3)

○ Division of Trading and Markets (4)

○ Division of Economic and Risk Analysis (5)

○ Division of Examinations (6)

○ Office of Credit Ratings (7)

○ Office of Information Technology (8)

○ Office of the Chief Accountant (9)

○ Other (Please specify) (10) _____

Q37 In which location or regional office do you work?

○ Washington, D.C. (Headquarters) (1)

○ Atlanta (2)

○ Boston (3)

○ Chicago (4)

○ Denver (5)

○ Fort Worth (6)

○ Los Angeles (7)

○ Miami (8)

○ New York (9)

○ Philadelphia (10)

○ Salt Lake (11)

○ San Francisco (12)

X→

Q38 Which of the following best describes your position?

○ Accountant (1)

○ Attorney (2)

○ Examiner (3)

○ Financial Economist (4)

○ Branch Chief (5)

○ Exam Manager (6)

○ Assistant Director (7)

○ IT Specialist (8)

○ Other (Please specify) (9) _____

Q39 Is your position supervisory or nonsupervisory?

○ Supervisory (1)

○ Nonsupervisory (2)

Q40 How long have you worked for the SEC (please include total years of service with SEC if you left SEC and came back again)?

○ Less than 1 year (1)

○ 1 to less than 2 years (2)

○ 2 to less than 3 years (3)

○ 3 to less than 5 years (4)

○ 5 to less than 10 years (5)

○ 10 to less than 15 years (6)

○ 15 to less than 20 years (7)

○ More than 20 years (8)

Q41 How many years did you work outside of SEC, but in a position related to the type of work SEC conducts or that dealt with issues SEC covers?

○ No related outside employment (1)

○ Less than 1 year (2)

○ 1 to less than 2 years (3)

○ 2 to less than 3 years (4)

○ 3 to less than 5 years (5)

○ 5 to less than 10 years (6)

○ 10 to less than 15 years (7)

○ 15 to less than 20 years (8)

○ More than 20 years (9)

Intro **Section 8: Comments and Final Response Submission**

Q42 Please use the space below to provide any additional information about personnel management at SEC, which could include the quality of the resources, communication, leadership, performance management, organization culture, or D&I that you would like to share and feel has not already been covered with this survey.

_____

_____

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_____

End This concludes the questionnaire. Please go to the next page to review completed sections and submit your completed questionnaire to GAO.

SEC Personnel Management - Senior Officer Survey Questionnaire

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The U.S. Government Accountability Office (GAO), an independent agency that works for Congress, has been mandated by Section 962 of the Dodd-Frank Wall Street Reform and Consumer Protection Act (Pub.L. 111-203) to review the quality of personnel management at the U.S. Securities and Exchange Commission (SEC), including issues related to human capital programs, workforce planning, performance management, and communication. As a part of our review, we are sending this questionnaire to attorneys, accountants, examiners, financial economists, and IT specialists in mission-critical SEC divisions and offices to obtain their opinions about various aspects of working at the SEC. Your cooperation is critical to providing the Congress with complete and balanced information on how personnel management is functioning across these offices and divisions within the SEC. This questionnaire should take about 20 minutes to complete.

Please rest assured that we will not share with the SEC any individually identifiable information from this survey. In addition, unless required by law or requested by Congress, we will not release any individually identifiable information outside of GAO. The results of this questionnaire will be used to compile descriptive information on SEC's personnel management, and the results will be included in summary form in our final report. Individual answers may be discussed in the report, but we will not include any information that could be used to identify individual respondents.

All of the questions in this survey can be answered by clicking on radio buttons or providing comments in spaces provided at the end of each section. Please complete the questionnaire within 10 business days of receipt. This questionnaire is divided by topic into eight sections:

(1) Recruitment, Training, Staff Development, and Resources
(2) Communication Between and Within SEC Divisions and Offices
(3) Leadership and Management
(4) Performance Management and Promotions
(5) Organizational Culture and Climate
(6) Diversity and Inclusion (D&I)
(7) Demographics and Background Information; and
(8) Final Comments.

Although your participation is voluntary, we urge you to complete this questionnaire. We cannot

develop meaningful information without your frank and honest answers.

Thank you very much for your time. To learn more about completing the survey and whom to contact if you have questions, please email SECEmployeeViews@gao.gov.

Definition **Section 1: Recruitment, Training, Staff Development, and Resources**

Notes on terms used in Section 1:
(1) **Division/office**: For purposes of this survey, the phrase "division/office" refers to your division or office (such as the Division of Corporation Finance, the Office of Information Technology, or the Division of Enforcement in a regional office).

(2) **Supervisors and managers**: The phrase "supervisors and managers" refers to those in supervisory or management positions below your current level that you oversee, such as Assistant Directors or those in the SK-15 to SK-17 grades.

JS

Q1 To what extent do you agree or disagree with the following statements on recruitment, hiring and retention?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
My division/office is able to attract talented and qualified employees. (Q1_1)	○	○	○	○	○	○
My division/office retains its most talented and qualified employees. (Q1_2)	○	○	○	○	○	○
When new people start in jobs in my division/office, they are given enough guidance and training. (Q1_3)	○	○	○	○	○	○
Hiring is sometimes based more on personal connections than on substantive experience or qualifications. (Q1_4)	○	○	○	○	○	○
Overall, SEC's Office of Human Resources provides timely support to my division/office. (Q1_5)	○	○	○	○	○	○

SEC's Office of Human Resources has the necessary expertise to assist in recruiting and hiring qualified employees. (Q1_6)	○	○	○	○	○	○
The process of hiring qualified employees is usually more time-consuming than need be. (Q1_7)	○	○	○	○	○	○
My division/office has enough staff to manage the volume of work that needs to be completed. (Q1_8)	○	○	○	○	○	○

JS

Q2 To what extent do you agree or disagree with the following statements on training and development opportunities?

Please note: Some questions ask you to look back over the past three years. If you have worked at the SEC for less than three years, we ask that you look back over the period of time

that you have worked at the SEC.

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
SEC needs to invest more in the development of new employees. (Q2_1)	○	○	○	○	○	○
The training I have received over the past three years has provided me skills and experience to meet SEC's needs. (Q2_2)	○	○	○	○	○	○
My division/office needs to do more to address skills gaps. (Q2_3)	○	○	○	○	○	○
Over the past three years, SEC's leadership training has been effective in improving the management skills of supervisors and managers in my division/office. (Q2_4)	○	○	○	○	○	○

JS

Q3 For those training opportunities that you have been involved with over the past three years, to what extent, if at all, have the following types of training provided information and knowledge that is directly relevant to your work?

	To a great extent (1)	To a moderate extent (2)	To a small extent (3)	To no extent (4)	No basis to judge/ Do not know (5)
Training provided by the SEC University. (1)	○	○	○	○	○
External training or conferences. (2)	○	○	○	○	○
Computer-based training delivered by Internet. (3)	○	○	○	○	○

X→

Q4 Following the onset of the COVID-19 pandemic, how adequate was the technology support provided by SEC to ensure a smooth **transition** to full-time telework?

○ More than adequate (1)

○ Adequate (2)

○ Less than adequate (3)

○ Do not know (4)

JS

Q5 During the time you have been teleworking full-time due to the COVID-19 pandemic, **how often**, if at all, have the following information technology (IT) resources been adequate for conducting your work?

	Always (1)	Mostly (2)	Sometimes (3)	Never (4)	Do not know (5)
IT staff support (Q5_1)	○	○	○	○	○
IT equipment (Q5_2)	○	○	○	○	○

Q6 If there are any other issues, details, or information concerning recruitment, training, staff development and resources that you would like us to know about, please use the space below to provide this information.

_____

_____

_____

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_____

End of Block: Section 1: Recruitment, Training, Staff Development, and Resources

Start of Block: Section 2: Communication Within and Between SEC Divisions and Offices

Definition **Section 2: Communication Within and Between SEC Divisions and Offices**

Notes on terms used in Section 2:
(1) **Division/office**: For purposes of this survey, the phrase "division/office" refers to your division or office (such as the Division of Corporation Finance, the Office of Information Technology, or the Division of Enforcement in a regional office).

(2) **Supervisors and managers**: The phrase "supervisors and managers" refers to those in supervisory or management positions below your current level that you oversee, such as Assistant Directors or those in the SK-15 to SK-17 grades.

(3) **Management**: For purposes of this survey, "management" refers to Assistant Directors and those at the Senior Officer (SO) level including Directors, Deputy Directors, Managing Executives, and Associate Directors.

Please note: Some questions ask you to look back over the past three years. If you have worked at the SEC for less than three years, we ask that you look back over the period of time that you have worked at the SEC.

JS

Q7 To what extent do you agree or disagree with the following statements regarding communication within your division/office or between your division/office and other SEC offices and divisions?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
My division/office supports open, two-way communication between staff and Senior Officers. (Q7_1)	○	○	○	○	○	○
Information is adequately shared across groups in my division/office. (Q7_2)	○	○	○	○	○	○
Communication across groups in my division/office has improved over the past three years. (Q7_3)	○	○	○	○	○	○
Overall, information and knowledge are shared openly at all levels within my division/office. (Q7_4)	○	○	○	○	○	○

In my division/office, communication between other offices and divisions (such as between Enforcement and OIT) on work-related matters is encouraged. (Q7_5)

○　　　　　○　　　　　○　　　　　○　　　　　○　　　　　　○

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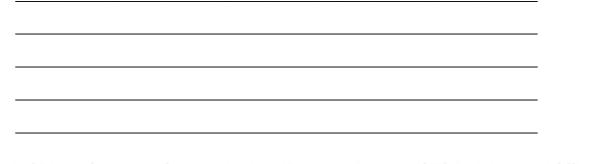
JS

Q8 In the past 12 months, how often, if at all, did you typically communicate with employees in the following **divisions or offices** for work-related issues such as to coordinate activities or ask for expert advice? (Select "Not Applicable" if you work in that division or office.)

	Daily (1)	One or more times a week (2)	One or more times a month (3)	One or more times in the past 12 months (4)	Never (5)	Do not know (6)	Not applicable (7)
Division of Examinations (Q8_1)	○	○	○	○	○	○	○
Division of Enforcement (Q8_2)	○	○	○	○	○	○	○
Division of Corporation Finance (Q8_3)	○	○	○	○	○	○	○
Division of Investment Management (Q8_4)	○	○	○	○	○	○	○
Division of Trading and Markets (Q8_5)	○	○	○	○	○	○	○
Division of Economic and Risk Analysis (Q8_6)	○	○	○	○	○	○	○
Office of Credit Ratings (Q8_7)	○	○	○	○	○	○	○
Office of Information Technology (Q8_8)	○	○	○	○	○	○	○
Office of the Chief Accountant (Q8_9)	○	○	○	○	○	○	○

JS

Q9 During the COVID-19 pandemic, how satisfied or dissatisfied have you been with the communication between the following parties for achieving the mission of your division/office?

	Very satisfied (1)	Somewhat satisfied (2)	Neither satisfied nor dissatisfied (6)	Somewhat dissatisfied (3)	Very dissatisfied (4)	Do not know (5)
Senior Officers in my division/office and their staff (Q9_1)	○	○	○	○	○	○
Supervisors and managers in my division/office and their staff (Q9_2)	○	○	○	○	○	○

Q10 If there are any other issues, details, or information concerning communication between and within divisions and offices that you would like us to know about, please use the space below to provide this information.

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End of Block: Section 2: Communication Within and Between SEC Divisions and Offices

Start of Block: Section 3: Leadership and Management

Definitions **Section 3: Leadership and Management**

Notes on terms used in Section 3:

(1) **Division/office**: For purposes of this survey, the phrase "division/office" refers to your division or office (such as the Division of Corporation Finance, the Office of Information Technology, or the Division of Enforcement in a regional office).

(2) **Supervisors and managers**: The phrase "supervisors and managers" refers to those in supervisory or management positions below your current level that you oversee, such as Assistant Directors or those in the SK-15 to SK-17 grades.

(3) **Management**: For purposes of this survey, "management" refers to Assistant Directors and those at the Senior Officer (SO) level including Directors, Deputy Directors, Managing Executives, and Associate Directors.

Please note: Some questions ask you to look back over the past three years. If you have worked at the SEC for less than three years, we ask that you look back over the period of time that you have worked at the SEC.

JS

Q11 To what extent do you agree or disagree with the following statements regarding the quality of management and leadership in your division/office?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
In my division/office, the roles and responsibilities of Senior Officers are clearly defined. (Q11_1)	○	○	○	○	○	○
In my division/office, the roles and responsibilities of non-Senior Officer supervisors and managers are clearly defined. (Q11_2)	○	○	○	○	○	○
Senior Officers in my division/office are genuinely interested in the opinions of their staff. (Q11_3)	○	○	○	○	○	○
Non-Senior Officer supervisors and managers in my division/office are genuinely interested in the opinions of their staff. (Q11_4)	○	○	○	○	○	○

| In my office/division, promotion to management is based more on substantive experience or qualifications than on personal connections or favoritism. (Q11_5) | ○ | ○ | ○ | ○ | ○ | ○ |

X→

Q12 To what extent do you agree or disagree with the following statement:

Over the past 3 years, I have seen SEC staff leave due to being dissatisfied with a supervisor or manager.

○ Strongly agree (1)

○ Somewhat agree (2)

○ Neither agree nor disagree (3)

○ Somewhat disagree (4)

○ Strongly disagree (5)

○ Do not know (6)

Page Break

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Q13 Are the **numbers of supervisors and managers** currently in your division/office more than is needed, less than is needed, or an appropriate amount given the current workload?

◯ More than is needed (1)

◯ Less than is needed (2)

◯ An appropriate amount (3)

◯ Do not know (4)

Q14 Are the **numbers of supervisory levels** currently in your division/office more than is needed, less than is needed, or an appropriate amount given the current workload?

◯ More than is needed (1)

◯ Less than is needed (2)

◯ An appropriate amount (3)

◯ Do not know (4)

Q15 If there are any other issues, details, or information concerning leadership and management at the SEC that you would like us to know about, please use the space below to provide this information.

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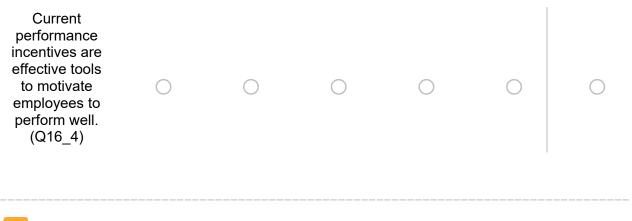**End of Block: Section 3: Leadership and Management**

JS

Definitions **Section 4: Performance Management and Promotions**

For notes on terms used in Section 4, hover over the below terms:
  (1) **Management**
  (2) **Supervisors and managers**

JS

Q16 To what extent do you agree or disagree with the following statements regarding how SEC management recognizes and rewards performance in your division/office?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
Overall, Senior Officers deal effectively with poor performing supervisors and managers. (Q16_1)	○	○	○	○	○	○
In my division/office, Senior Officers have the resources (including training and support from OHR and OGC) they need to effectively deal with poor performing employees. (Q16_2)	○	○	○	○	○	○
The opportunities in my division/office to get promoted into a management position are limited. (Q16_3)	○	○	○	○	○	○

Current performance incentives are effective tools to motivate employees to perform well. (Q16_4)

○　　　　○　　　　○　　　　○　　　　○　　　|　　○

JS

Q17 SEC's current performance management system for SK employees is a two-tier scale for assessing employee performance in which employees are rated as either **"Accomplished**

Performer" or "Unacceptable." To what extent do you agree or disagree with the following statements regarding SEC's current performance management system?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
SEC's current performance management system creates meaningful distinctions in performance among employees. (Q17_1)	○	○	○	○	○	○
Under SEC's current performance management system, employee performance appraisals are fair. (Q17_2)	○	○	○	○	○	○
SEC's current performance management system incentivizes high performance. (Q17_3)	○	○	○	○	○	○

SEC's current performance management system provides a framework for providing meaningful feedback to my staff on their performance. (Q17_4)	○	○	○	○	○	○
Providing meaningful performance feedback depends more on the supervisor than on the structure of the current performance management system. (Q17_5)	○	○	○	○	○	○
SEC's current performance management system makes it easier for supervisors to rate staff. (Q17_6)	○	○	○	○	○	○

SEC's current performance management system provides little incentive for staff to write self-assessments of their performance. (Q17_7)	○	○	○	○	○	○
SEC's current performance management system provides consistent standards for rewarding performance. (Q17_8)	○	○	○	○	○	○
Changes need to be made to increase transparency in the process used to rate staff performance. (Q17_9)	○	○	○	○	○	○

Page Break

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Q18 In March 2021, SEC launched the **"Performance Incentive Bonus (PIB)"** program, which makes available larger bonuses intended to reward employees that go above and beyond. To what extent do you agree or disagree with the following statement:

The **process** for awarding staff with bonuses under the PIB program is transparent.

○ Strongly agree (1)

○ Somewhat agree (2)

○ Neither agree nor disagree (3)

○ Somewhat disagree (4)

○ Strongly disagree (5)

○ Do not know (6)

○ I'm not familiar with the PIB program (7)

Q19 If there are any other issues, details, or information concerning performance management and promotions at the SEC that you would like us to know about, please use the space below to provide this information.

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_____

_____

_____

End of Block: Section 4: Performance Management and Promotions

Start of Block: Section 5: Organizational Culture and Climate

JS

Definitions **Section 5: Organizational Culture and Climate**

For notes on terms used in Section 5, hover over the below terms:

(1) **Division/office**
  (2) **Supervisors and managers**

JS

Q20 To what extent do you agree or disagree with the following statements regarding different aspects of organizational culture and climate within your division/office?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
There is an atmosphere of trust in my division/office. (Q20_1)	○	○	○	○	○	○
Employee morale is generally high most of the time. (Q20_2)	○	○	○	○	○	○
I have a voice in decisions that affect me and my work environment. (Q20_3)	○	○	○	○	○	○
Senior Officers tolerate honest mistakes. (Q20_4)	○	○	○	○	○	○
Supervisors and managers tolerate honest mistakes. (Q20_5)	○	○	○	○	○	○
There are clearly defined policies and procedures for doing my work. (Q20_6)	○	○	○	○	○	○

Innovative ideas are encouraged in my division/office. (Q20_7)	○	○	○	○	○	○
Fear of public scandals has made SEC overly cautious and risk-averse. (Q20_8)	○	○	○	○	○	○
In my view, the fear of being wrong makes Senior Officers in my division/office reluctant to take a stand on important issues. (Q20_9)	○	○	○	○	○	○
In my view, the fear of being wrong makes non-Senior Officer supervisors and managers in my division/office reluctant to take a stand on important issues. (Q20_10)	○	○	○	○	○	○

Q21 When were you hired at the SEC?

○ Before 2010 (1)

○ During or after 2010 (2)

Q22 In 2010, Congress enacted the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank), which included a provision for GAO to review the quality of personnel management at the SEC every three years. For the purposes of this question, "personnel management" refers to the general human capital aspects of the agency, which could include the competence of professional staff; the effectiveness of supervisors; and issues related to employee performance assessments, promotion, and intra-agency communication.

In your view, to what extent has personnel management at SEC improved or worsened since 2010, when the Dodd-Frank Act was first enacted?

○ Largely improved (1)

○ Moderately improved (2)

○ Neither improved nor worsened (3)

○ Moderately worsened (4)

○ Largely worsened (5)

○ Do not know (6)

Q23 If there are any other issues, details, or information concerning the organizational culture or climate at the SEC or in your division/office that you would like us to know about, please use the space below to provide this information.

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_____

_____

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_____

JS

Definitions **Section 6: Diversity and Inclusion (D&I)**

For notes on terms used in Section 6, hover over the below terms:

(1) **Division/office**

  (2) **Supervisors and managers**(3) **Diversity**: For the purposes of this survey, the term "diversity" is defined broadly and refers to the range of similarities and differences in individual and organizational characteristics that shape the workplace. These include national origin, language, race, color, disability, ethnicity, gender, age, religion, sexual orientation, gender identity, socioeconomic status, veteran status, and family structure. The concept also encompasses other differences among people, including geographic differences as well as diversity of thought and life experiences.

(4) **Inclusion**: For the purposes of this survey, the term "inclusion" refers to a culture that connects each employee to the organization; encourages collaboration, flexibility, and fairness; and leverages diversity throughout the organization so that all employees are able to participate and contribute to their full potential.

JS

Q24 To what extent do you agree or disagree with the following statements regarding workforce diversity and inclusion (D&I) **in your division/office**?

In my division/office...

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
My supervisor is committed to a workforce representative of all segments of society. (Q24_1)	○	○	○	○	○	○
Supervisors and managers work well with employees of different backgrounds. (Q24_2)	○	○	○	○	○	○
There is diversity among Senior Officers. (Q24_3)	○	○	○	○	○	○
There is diversity among supervisors and managers. (Q24_4)	○	○	○	○	○	○
There is diversity among non-supervisory staff (Attorneys, Accountants, Examiners, etc.). (Q24_5)	○	○	○	○	○	○
There is diversity among recent hires. (Q24_6)	○	○	○	○	○	○

Q25

SEC has set goals to promote "Diversity and Inclusion" (D&I) in the workplace, such as fostering a supportive, welcoming, inclusive, and fair work environment; demonstrating leadership commitment; building a diverse workforce drawn from all segments of American society; and leveraging diversity and inclusion for mission effectiveness.

To what extent do you agree or disagree with the following statements regarding workforce diversity and inclusion (D&I) **at SEC**?

	Strongly agree (1)	Somewhat agree (2)	Neither agree nor disagree (3)	Somewhat disagree (4)	Strongly disagree (5)	Do not know (6)
SEC has shown it values D&I through various activities, such as town halls, speaker events, and trainings. (Q25_1)	○	○	○	○	○	○
SEC is making real, meaningful progress on D&I in the workplace. (Q25_2)	○	○	○	○	○	○
SEC is committed to a workforce representative of all segments of society. (Q25_3)	○	○	○	○	○	○
SEC fills job vacancies with diverse staff. (Q25_4)	○	○	○	○	○	○

Q26 In your view, at what pace does SEC promote diverse staff compared to other staff?

○ At a faster pace (1)

○ At the same pace (2)

○ At a slower pace (3)

○ Do not know (4)

Q27 If there are any other issues, details, or information concerning D&I at the SEC or in your division/office that you would like us to know about, please use the space below to provide this information.

_____

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End of Block: Section 6: Diversity and Inclusion (D&I)

Start of Block: Section 7: Demographic and Background Information

Definitions **Section 7: Demographic and Background Information**

Q28 In which location or regional office do you work?

○ Washington, D.C. (Headquarters) (1)

○ Atlanta (2)

○ Boston (3)

○ Chicago (4)

○ Denver (5)

○ Fort Worth (6)

○ Los Angeles (7)

○ Miami (8)

○ New York (9)

○ Philadelphia (10)

○ Salt Lake (11)

○ San Francisco (12)

X→

Q29 In which SEC division or office do you currently work?

○ Division of Enforcement (1)

○ Division of Corporation Finance (2)

○ Division of Investment Management (3)

○ Division of Trading and Markets (4)

○ Division of Economic and Risk Analysis (5)

○ Division of Examinations (6)

○ Office of Credit Ratings (7)

○ Office of Information Technology (8)

○ Office of the Chief Accountant (9)

○ Other (Please specify) (10) _____

X→

Q30 Which of the following best describes your position?

○ Director (1)

○ Associate Director (2)

○ Associate Regional Director (3)

○ General Counsel (4)

○ Deputy General Counsel (5)

○ Associate General Counsel (6)

○ Deputy Director (7)

○ Regional Director (8)

○ Deputy Regional Director (9)

○ Managing Executive (10)

○ Other (Please specify) (11) _____

X→

Q31 What is your current level or grade?

○ SO1 (1)

○ SO2 (2)

○ SO3 (3)

○ Other (4) _____

Q32 How long have you worked for the SEC (please include total years of service with SEC if you left SEC and came back again)?

○ Less than 1 year (1)

○ 1 to less than 2 years (2)

○ 2 to less than 3 years (3)

○ 3 to less than 5 years (4)

○ 5 to less than 10 years (5)

○ 10 to less than 15 years (6)

○ 15 to less than 20 years (7)

○ More than 20 years (8)

Q33 How many years did you work outside of SEC, but in a position related to the type of work SEC conducts or that dealt with issues SEC covers?

○ No related outside employment (1)

○ Less than 1 year (2)

○ 1 to less than 2 years (3)

○ 2 to less than 3 years (4)

○ 3 to less than 5 years (5)

○ 5 to less than 10 years (6)

○ 10 to less than 15 years (7)

○ 15 to less than 20 years (8)

○ More than 20 years (9)

Intro **Section 8: Comments and Final Response Submission**

Q34 Please use the space below to provide any additional information about personnel management at SEC, which could include the quality of the resources, communication, leadership, performance management, organization culture, or D&I that you would like to share and feel has not already been covered with this survey.

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_____

_____

_____

_____

End This concludes the questionnaire. Please go to the next page to review completed sections and submit your completed questionnaire to GAO.

End of Block: Section 8: Comments and Final Response Submission

(106234)