

# Commodity Futures Trading Commission

## Federal Human Capital Survey Results for 2008

- 1. How the survey was conducted:** Online from August 13, 2008 through September 19, 2008, by email invitation from the U.S. Office of Personnel Management (OPM). Individual survey responses were password protected and confidential.
- 2. Description of employee sample:** Permanent, full-time CFTC employees as of December 31, 2007 (the date set by OPM); 72% participated.
- 3. Survey items and response choices:** Shown in the following tables (question numbers are in **bold** for items prescribed by regulation). Note the OPM rule of thumb that a response rate for the two most positive answers on an item of over 65% indicates an area of agency strength, while a negative response rate (i.e., total of two most negative replies) of over 35% indicates an area needing further management attention.
- 4. Survey results:** Provided by OPM to CFTC in summary statistical form. Comparisons with 2006 relate to the last government-wide Federal Human Capital Survey, which is conducted every other year. Comparisons with 2007 relate to the last CFTC Annual Employee Survey, which is required in alternate years by 5 CFR Part 250; it was also conducted for CFTC by OPM, but asks only some of the 74 questions from the full Federal Human Capital Survey. For this reason, percentage increases/decreases shown in parentheses in far right column of the tables below compare 2008 results to the last year the item appeared in one of these surveys.
- 5. Agency evaluation of results for each section of the survey:**

### Personal Work Experiences

- All 10 questions in this section received higher positive responses from CFTC employees than in the 2006 survey, with positive response increases to the following two questions being the most significant:
  - *I feel encouraged to come up with new and better ways of doing things.* (+16%)
  - *I recommend my organization as a good place to work.* (+14%)
- Nine out of the 10 questions also received higher positive responses than the Government-wide average. The following three questions were significant in that they were 10% above the Government-wide average:
  - *I have trust and confidence in my supervisor.*
  - *I recommend my organization as a good place to work.*
  - *Overall, how good a job do you feel is being done by your immediate supervisor/team leader?*

### Recruitment, Development, & Retention

- 10 of the 11 questions in this section received higher positive responses from CFTC employees in 2008 than in 2006, most likely reflecting the agency's ability to recruit for new employees in 2008. Positive responses to the following three questions increased most significantly:

- *The skill level in my work unit has improved in the past year. (+18%)*
- *Supervisors/team leaders in my work unit provide employees with the opportunities to demonstrate their leadership skills. (+14%)*
- *My work unit is able to recruit people with the right skills. (+13%)*
- Eight of the 11 questions received higher positive responses than the Government-wide average, with the following exceeding the average by a significant 17%:
  - *My supervisor supports my need to balance work and other life issues.*
- At least one of the questions that was below the Government-wide average related to resources, reflecting the continued need for the agency to advocate for the resources needed to accomplish its mission:
  - *I have sufficient resources (for example, people, materials, budget) to get my job done.*

### **Performance Culture**

- All 14 questions in this section asked in 2006 received increased positive responses. This reflects the agency's first year under pay-for-performance, including the first merit pay out in July 2008. Positive responses to the following three questions increased more than 20 to 30% over 2006, suggesting significant success in the phased launch of the CFTC's pay-for-performance system:
  - *Pay raises depend on how well employees perform their jobs. (+31%)* Our positive response rate for this item is also more than double the Government-wide average.
  - *Employees are rewarded for providing high quality products and services to customers. (+22%)*
  - *Creativity and innovation are rewarded. (+21%)*
- Response to the following question relating to diversity increased by 9%, indicating an improved perception of the agency's commitment to diversity:
  - *Supervisors/team leaders in my work unit are committed to a workforce representative of all segments of society.*
- Positive responses to 11 of the 15 questions were above the Government-wide average, most notably the question cited above on pay raises linked to performance, which was more than double the Government-wide positive response rate.

### **Leadership**

- All 11 questions in this section of the survey increased in positive responses from the 2006 survey. Most notable increases were in the following questions:
  - *In my organization, leaders generate high levels of motivation and commitment in the workforce. (+18%)*
  - *Managers review and evaluate the organization's progress toward meeting its goals and objectives. (+14%)*
  - *Managers communicate the goals and priorities of the organization. (+13%)*
  - *I have a high level of respect for my organization's senior leaders. (+12%)*

- Eight of the 11 questions exceeded the Government-wide average response.

### **Learning (Knowledge Management)**

- All seven questions received increased positive responses over 2006. The following questions received the most significant increases:
  - *Managers promote communication among different work units (for example, about projects, goals, and needed resources).* (+19%)
  - *My training needs are assessed.* (+14%)
  - *Employees have electronic access to learning and training programs readily available at their desk.* (+14%)
  - *Supervisors/team leaders in my work unit support employee development.* (+13%)
- The agency's highest positive response (93%) was received in response to the following and reflects the agency's success in effectively using IT resources:
  - *Employees use information technology (for example, intranet, shared networks) to perform their work.*
- Five of the seven responses in this section exceeded the Government-wide average.

### **Job Satisfaction**

- All nine questions received increased positive responses over 2006. Most notable increases were as follows:
  - *How satisfied are you with the policies and practices of your senior leaders?* (+17%)
  - *How satisfied are you with the information you receive from management on what's going on in your organization?* (+15%)
  - *How satisfied are you with your involvement in decisions that affect your work?* (+15%)
  - *Considering everything, how satisfied are you with your organization?* (+15%)
- All questions in this section received responses exceeding the Government-wide average.

### **Satisfaction with Benefits**

- This section received mixed feedback. Five of the 11 questions received more positive responses than 2006, five received less positive, and one remained the same.
- Five questions received responses above the Government-wide average and six received responses below the Government-wide average.
- The agency received its second lowest score (12.6%) on the following question:
  - *How satisfied are you with telework/telecommuting?* It should be noted that the recently expanded telework program was announced after the 2008 survey (in January 2009), largely in response to previous feedback from employees and managers, including in the 2006 survey.

The lowest agency score was related to child care subsidies.

**2008 Federal Human Capital Survey Results for  
Commodity Futures Trading Commission**  
All Respondents

Surveys Sent: 394

Surveys Returned: 282

Response Rate: 71.6%

<b>I. Personal Work Experiences</b>											
	<b>Item Text</b>	<b>Row Totals</b>	<b>Strongly Agree</b>	<b>Agree</b>	<b>Neither Agree Nor Disagree</b>	<b>Disagree</b>	<b>Strongly Disagree</b>	<b>Do Not Know</b>	<b>Percent Positive 2006</b>	<b>Percent Positive 2007</b>	<b>Percent Positive 2008</b>
1	The people I work with cooperate to get the job done.	282	96	153	22	9	2	NA	81.1%	82.9%	88.3% (+ 5.4%)
		100%	33.8	54.4	8.0	3.1	0.7	NA			
2	I am given a real opportunity to improve my skills in my organization.	282	49	141	51	32	9	NA	56.9%	64.4%	67.4 (+ 3.0%)
		100%	17.4	50.1	18.1	11.4	3.1	NA			
3	I have enough information to do my job well.	282	51	160	44	18	9	NA	70.0%	Not Asked	74.7% (+ 4.7%)
		100%	17.8	56.9	15.8	6.5	3.1	NA			
4	I feel encouraged to come up with new and better ways of doing things.	282	75	113	49	29	16	NA	50.5%	Not Asked	66.5% (+ 16.0%)
		100%	26.4	40.1	17.3	10.5	5.7	NA			
5	My work gives me a feeling of personal accomplishment.	282	69	145	43	12	13	NA	61.6%	71.7%	76.1% (+ 4.4%)
		100%	24.4	51.7	15.1	4.2	4.6	NA			
6	I like the kind of work I do.	282	86	141	42	9	4	NA	75.3%	79.1%	80.4% (+ 1.3%)
		100%	30.3	50.1	15.0	3.2	1.4	NA			
7	I have trust and confidence in my supervisor.	282	97	112	41	23	9	NA	65.4%	68.9%	74.2% (+ 5.3%)
		100%	34.1	40.1	14.6	7.9	3.3	NA			
8	I recommend my organization as a good place to work.	282	83	130	48	13	8	NA	62.3%	Not Asked	75.9% (+ 13.6%)
		100%	29.4	46.5	16.7	4.6	2.8	NA			
			<b>Very Good</b>	<b>Good</b>	<b>Fair</b>	<b>Poor</b>	<b>Very Poor</b>	<b>Do Not Know</b>			
9	Overall, how good a job do you feel is being done by your immediate supervisor/team leader?	282	115	101	49	11	6	NA	72.7%	71.3%	76.7% (+ 5.4%)
		100%	40.5	36.2	17.2	3.9	2.2	NA			
10	How would you rate the overall quality of work done by your work group?	282	118	129	31	2	2	NA	84.2%	Not Asked	87.6% (+ 3.4%)
		100%	41.3	46.3	11.0	0.7	0.7	NA			

## II. Recruitment, Development, and Retention

	Item Text	Row Totals	Strongly Agree	Agree	Neither Agree Nor Disagree	Disagree	Strongly Disagree	Do Not Know	Percent Positive 2006	Percent Positive 2007	Percent Positive 2008
11	The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.	282	33	189	37	15	7	1	69.9%	73.2%	78.9% (+ 5.7%)
		100%	11.7	67.2	13.2	5.1	2.4	0.4			
12	My supervisor supports my need to balance work and other life issues.	282	139	120	14	2	5	2	83.8%	85.7%	92.1% (+ 6.4%)
		100%	49.5	42.5	4.9	0.6	1.6	0.7			
13	Supervisors/team leaders in my work unit provide employees with the opportunities to demonstrate their leadership skills.	282	62	120	62	21	14	3	51.0%	Not Asked	64.7% (+ 13.7%)
		100%	22.2	42.5	21.8	7.6	4.8	1.1			
14	My work unit is able to recruit people with the right skills.	282	42	119	63	33	15	10	43.5%	47.4%	56.9% (+ 9.5%)
		100%	14.5	42.4	22.6	11.8	5.2	3.5			
15	The skill level in my work unit has improved in the past year.	282	55	117	72	25	9	4	42.9%	Not Asked	61.1% (+ 18.2%)
		100%	19.5	41.6	25.3	9.1	3.1	1.4			
16	I have sufficient resources (for example, people, materials, budget) to get my job done.	282	32	102	64	56	27	1	46.5%	Not Asked	48.0% (+ 1.5%)
		100%	11.5	36.5	22.4	19.7	9.4	0.4			
17	My workload is reasonable.	282	35	164	38	32	13	0	68.1%	75.2%	71.2% (- 4.0%)
		100%	12.7	58.5	13.1	11.2	4.5	0.0			
18	My talents are used well in the workplace.	282	40	143	48	28	20	3	53.1%	63.1%	64.8% (+ 1.7%)
		100%	14.1	50.7	17.0	10.1	7.0	1.1			
19	I know how my work relates to the agency's goals and priorities.	282	83	145	34	11	6	3	81.0%	83.1%	80.6% (- 2.5%)
		100%	29.4	51.2	12.3	3.9	2.0	1.1			
20	The work I do is important.	282	103	129	34	6	6	4	80.0%	81.2%	82.3% (+ 1.1%)
		100%	36.5	45.9	12.1	2.0	2.0	1.5			
21	Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.	282	108	142	19	10	3	0	85.9%	88.4%	88.8% (+ 0.4%)
		100%	38.4	50.4	6.6	3.6	1.0	0.0			

### III. Performance Culture

	Item Text	Row Totals	Strongly Agree	Agree	Neither Agree Nor Disagree	Disagree	Strongly Disagree	Do Not Know	Percent Positive 2006	Percent Positive 2007	Percent Positive 2008
22	Promotions in my work unit are based on merit.	282	31	97	70	40	31	13	32.0%	39.6%	45.2% (+ 5.6%)
		100%	10.8	34.3	25.1	14.2	10.9	4.6			
23	In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.	282	23	73	77	47	31	31	29.1%	32.4%	34.0% (+ 1.6%)
		100%	7.9	26.1	27.4	16.6	10.8	11.2			
24	Employees have a feeling of personal empowerment with respect to work processes.	282	23	97	96	40	19	7	34.0%	42.9%	42.4% (- 0.5%)
		100%	8.3	34.2	33.8	14.5	6.7	2.5			
25	Employees are rewarded for providing high quality products and services to customers.	282	27	120	69	29	25	12	30.2%	Not Asked	52.0% (+ 21.8%)
		100%	9.4	42.6	24.5	10.4	8.8	4.4			
26	Creativity and innovation are rewarded.	282	30	110	71	39	24	8	29.2%	41.5%	49.5% (+ 8.0%)
		100%	10.6	39.0	25.0	14.1	8.5	2.8			
27	Pay raises depend on how well employees perform their jobs.	282	34	114	57	32	33	12	21.4%	35.5%	52.3% (+ 16.8%)
		100%	11.9	40.4	20.5	11.3	11.7	4.3			
28	Awards in my work unit depend on how well employees perform their jobs.	282	28	116	62	25	32	19	34.7%	Not Asked	51.0% (+ 16.3%)
		100%	9.9	41.1	22.2	9.0	11.2	6.6			
29	In my work unit, differences in performance are recognized in a meaningful way.	282	20	79	85	41	38	19	24.9%	33.3%	34.8% (+ 1.5%)
		100%	7.0	27.8	30.4	14.6	13.5	6.7			
30	My performance appraisal is a fair reflection of my performance.	282	58	136	46	24	17	1	66.0%	67.8%	68.5% (+ 0.7%)
		100%	20.4	48.1	16.5	8.6	5.9	0.5			
31	Discussions with my supervisor/team leader about my performance are worthwhile.	282	50	139	53	17	22	1	59.2%	65.3%	66.8% (+ 1.5%)
		100%	17.5	49.4	19.1	6.1	7.7	0.3			
32	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).	282	55	122	52	28	22	3	First Asked In 2007	65.0%	63.1% (- 1.9%)
		100%	19.6	43.5	18.4	9.8	7.7	1.0			
33	I am held accountable for achieving results.	282	71	160	42	3	4	2	75.8%	Not Asked	82.1% (+ 6.3%)
		100%	24.8	57.2	14.9	1.0	1.4	0.7			
34	Supervisors/team leaders in my work unit are committed to a workforce representative of all segments of society.	282	53	113	64	11	10	31	49.9%	Not Asked	59.2% (+ 9.3%)
		100%	18.9	40.3	22.5	3.8	3.5	11.0			
35	Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring).	282	49	111	62	17	16	27	46.8%	Not Asked	57.2% (+ 10.4%)
		100%	17.5	39.7	21.9	5.9	5.4	9.6			
36	Managers/supervisors/team leaders work well with employees of different backgrounds.	282	60	121	62	16	11	12	59.9%	64.2%	64.6% (+ 0.4%)
		100%	21.2	43.5	21.8	5.6	3.7	4.3			

#### IV. Leadership

	Item Text	Row Totals	Strongly Agree	Agree	Neither Agree Nor Disagree	Disagree	Strongly Disagree	Do Not Know	Percent Positive 2006	Percent Positive 2007	Percent Positive 2008
37	I have a high level of respect for my organization's senior leaders.	282	44	124	63	32	17	2	47.5%	55.3%	59.8% (+ 4.5%)
		100%	15.6	44.2	22.2	11.5	5.8	0.7			
38	In my organization, leaders generate high levels of motivation and commitment in the workforce.	282	29	119	75	36	19	4	34.2%	41.8%	52.4% (+ 10.6%)
		100%	10.3	42.1	26.7	12.8	6.5	1.6			
39	My organization's leaders maintain high standards of honesty and integrity.	282	47	120	67	23	15	10	51.6%	Not Asked	59.3% (+ 7.7%)
		100%	16.9	42.4	24.0	8.1	5.1	3.6			
40	Managers communicate the goals and priorities of the organization.	282	30	140	63	33	15	1	46.9%	59.0%	60.3% (+ 1.3%)
		100%	10.6	49.7	22.2	12.0	5.2	0.3			
41	Managers review and evaluate the organization's progress toward meeting its goals and objectives.	282	26	132	70	22	12	20	41.7%	47.9%	56.0% (+ 8.1%)
		100%	9.3	46.7	24.6	8.0	4.1	7.3			
42	Employees are protected from health and safety hazards on the job.	282	96	151	25	3	3	4	85.3%	87.0%	87.7% (+ 0.7%)
		100%	34.0	53.7	8.8	1.0	1.0	1.4			
43	My organization has prepared employees for potential security threats.	282	66	166	29	14	0	7	72.3%	72.8%	82.6% (+ 9.8%)
		100%	23.5	59.1	10.0	4.8	0.0	2.5			
44	Complaints, disputes or grievances are resolved fairly in my work unit.	282	24	86	78	19	22	53	29.9%	Not Asked	39.6% (+ 9.7%)
		100%	8.6	31.0	27.7	6.4	7.7	18.6			
45	Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated.	282	38	94	56	30	29	35	39.8%	Not Asked	47.0% (+ 7.2%)
		100%	13.6	33.3	19.7	10.6	10.2	12.6			
46	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.	282	63	111	49	8	13	38	57.6%	Not Asked	61.8% (+ 4.2%)
		100%	22.2	39.5	17.3	2.8	4.6	13.5			
47	I can disclose a suspected violation of any law, rule or regulation without fear of reprisal.	282	36	102	63	15	32	34	39.5%	Not Asked	49.4% (+ 9.9%)
		100%	13.0	36.4	22.2	5.2	11.4	11.8			

## V. Learning (Knowledge Management)

	Item Text	Row Totals	Strongly Agree	Agree	Neither Agree Nor Disagree	Disagree	Strongly Disagree	Do Not Know	Percent Positive 2006	Percent Positive 2007	Percent Positive 2008
48	Supervisors/team leaders provide employees with constructive suggestions to improve their job performance.	282	39	149	54	20	14	6	55.6%	Not Asked	66.9% (+ 11.3%)
		100%	13.8	53.2	19.1	7.0	4.9	2.0			
49	Supervisors/team leaders in my work unit support employee development.	282	53	155	40	14	16	4	61.4%	68.6%	74.0% (+ 5.4%)
		100%	18.8	55.3	14.0	4.8	5.7	1.4			
50	Employees have electronic access to learning and training programs readily available at their desk.	282	61	145	39	21	2	14	58.5%	Not Asked	72.9% (+ 14.4%)
		100%	21.5	51.4	14.1	7.5	0.7	4.8			
51	My training needs are assessed.	282	29	119	78	34	17	5	39.2%	48.3%	53.2% (+ 4.9%)
		100%	10.4	42.7	27.5	11.7	5.9	1.7			
52	Managers promote communication among different work units (for example, about projects, goals, needed resources).	282	37	130	57	29	20	9	39.6%	Not Asked	58.9% (+ 19.3%)
		100%	13.1	45.8	20.8	10.0	6.9	3.3			
53	Employees in my work unit share job knowledge with each other.	282	60	152	40	15	13	2	65.9%	Not Asked	75.5% (+ 9.6%)
		100%	21.2	54.2	14.2	5.1	4.5	0.7			
54	Employees use information technology (for example, intranet, shared networks) to perform work.	282	101	160	16	2	1	2	91.8%	Not Asked	92.6% (+ 0.8%)
		100%	35.8	56.8	5.8	0.6	0.3	0.6			



## VI. Job Satisfaction

	Item Text	Row Totals	Very Satisfied	Satisfied	Neither Satisfied nor Dissatisfied	Dissatisfied	Strongly Dissatisfied	Do Not Know	Percent Positive 2006	Percent Positive 2007	Percent Positive 2008
55	How satisfied are you with your involvement in decisions that affect your work?	282	46	120	66	37	13	NA	44.1%	47.3%	59.0% (+ 11.7%)
		100%	16.4	42.6	23.4	13.0	4.6	NA			
56	How satisfied are you with the information you receive from management on what's going on in your organization?	282	33	127	61	45	16	NA	41.2%	49.9%	56.6% (+ 6.7%)
		100%	11.6	44.9	21.8	16.0	5.6	NA			
57	How satisfied are you with the recognition you receive for doing a good job?	282	48	125	55	35	19	NA	47.9%	52.4%	61.6% (+ 9.2%)
		100%	16.8	44.8	19.6	12.0	6.9	NA			
58	How satisfied are you with the policies and practices of your senior leaders?	282	33	112	80	40	17	NA	34.5%	43.4%	51.8% (+ 8.4%)
		100%	11.8	40.1	28.2	13.8	6.2	NA			
59	How satisfied are you with your opportunity to get a better job in your organization?	282	24	86	82	55	35	NA	26.7%	32.8%	39.3% (+ 6.5%)
		100%	8.5	30.7	28.9	19.2	12.7	NA			
60	How satisfied are you with the training you receive for your present job?	282	30	136	71	32	13	NA	44.8%	48.3%	59.1% (+ 10.8%)
		100%	10.7	48.4	25.2	11.1	4.6	NA			
61	Considering everything, how satisfied are you with your job?	282	65	150	49	11	7	NA	63.8%	70.0%	76.7% (+ 6.7%)
		100%	23.0	53.7	17.0	3.8	2.5	NA			
62	Considering everything, how satisfied are you with your pay?	282	84	136	39	18	5	NA	70.6%	73.4%	78.1% (+ 4.7%)
		100%	29.6	48.6	13.8	6.2	1.8	NA			
63	Considering everything, how satisfied are you with your organization?	282	58	149	46	20	9	NA	58.8%	Not Asked	73.5% (+ 14.7%)
		100%	20.8	52.7	16.4	7.1	3.1	NA			

## VII. Satisfaction with Benefits

	Item Text	Row Totals	Very Satisfied	Satisfied	Neither Satisfied nor Dissatisfied	Dissatisfied	Strongly Dissatisfied	Do Not Know	Percent Positive 2006	Percent Positive 2007	Percent Positive 2008
64	How satisfied are you with retirement benefits?	282	70	129	40	20	3	20	70.0%	Not Asked	70.6% (+ 0.6%)
		100%	24.7	45.9	14.0	7.2	1.1	7.1			
65	How satisfied are you with health insurance benefits?	282	85	146	31	11	3	6	82.0%	Not Asked	81.5% (- 0.5%)
		100%	30.1	51.4	11.2	4.0	1.2	2.1			
66	How satisfied are you with life insurance benefits?	282	46	121	65	18	4	28	59.4%	Not Asked	59.4% (no change)
		100%	16.3	43.0	23.1	6.2	1.6	9.8			
67	How satisfied are you with long term care insurance benefits?	282	20	62	82	20	11	87	33.5%	Not Asked	29.0% (- 4.5%)
		100%	7.2	21.8	29.2	7.0	4.0	30.8			
68	How satisfied are you with the flexible spending account (FSA) program?	282	52	109	62	6	2	51	61.0%	Not Asked	56.8% (- 4.2%)
		100%	18.4	38.4	22.2	2.1	0.8	18.1			
69	How satisfied are you with paid vacation time?	282	97	149	20	10	6	NA	88.6%	Not Asked	87.5% (- 1.1%)
		100%	34.7	52.8	7.1	3.4	2.0	NA			
70	How satisfied are you with paid leave for illness (for example, personal), including family care situations (for example, childbirth/adoption or eldercare)?	282	106	125	31	12	8	NA	85.6%	Not Asked	82.4% (- 3.2%)
		100%	38.0	44.4	10.8	4.0	2.8	NA			
71	How satisfied are you with child care subsidies?	282	7	21	65	9	6	174	7.4%	Not Asked	10.1% (+ 2.7%)
		100%	2.6	7.6	23.2	3.2	2.1	61.4			
72	How satisfied are you with work/life programs (for example, health and wellness, employee assistance, eldercare, and support groups)?	282	12	66	80	12	6	106	26.2%	Not Asked	27.6% (+ 1.4%)
		100%	4.4	23.2	28.3	4.3	1.9	37.9			
73	How satisfied are you with telework/telecommuting?	282	10	25	53	50	79	65	10.0%	Not Asked	12.6% (+ 2.6%)
		100%	3.7	9.0	18.9	17.2	28.0	23.3			
74	How satisfied are you with alternative work schedules?	282	48	127	48	21	12	26	61.5%	Not Asked	62.4% (+ 0.9%)
		100%	17.2	45.2	16.9	7.7	4.0	9.1			