

# SECURITIES AND EXCHANGE COMMISSION

## 2007 Annual Employee Survey Results

### 1. Interpretation of results:

The survey results clearly demonstrate that SEC has highly skilled employees who like their work, their workplace, their co-workers, and their work/life balance. Furthermore, most are satisfied with their jobs, their pay, and their workload. They are somewhat less positive about their training opportunities, promotion potential, and the recognition they receive for their performance. The SEC is has a history of maintaining one of the best work environments in the Federal service and it has established new programs to deal with each of these challenges.

### 2. How the survey was conducted:

The survey was conducted online from September 4 until November 2, 2007. An invitation to participate in the survey was sent via e-mail to the agency employees selected in the sample. The invitation included a link to the survey web site and a unique identification number and password to access the survey. Two persons requested and received a paper version of the survey in lieu of the standard web survey.

The annual survey questions were embedded in the 2007 Merit Principles Survey (MPS). They were interspersed with MPS questions, based on question topic, in the following six sections of the MPS: *My Job, My Immediate Supervisor, Performance Management, Managers and Executives in My Organization, Training and Development, and Demographic Questions*. The three annual survey questions related to work environment were included in a section of their own titled *Physical Work Environment and Safety*.

### 3. Description of sample:

The population of employees sampled for survey participation was all full-time, permanent, non-seasonal employees who were employed by the agency as of December 2006. A representative random sample of these employees was selected stratified by supervisory status. Supervisor and non-supervisory employees were separately sampled to allow later analyses of differences between these two groups. Past experience shows that supervisors and non-supervisors typically respond differently to employee survey questions.

A total of 834 employees were selected for survey participation, 553 non-supervisory employees and 281 supervisory employees (including supervisors, managers, and executives).

The responses to the questions are weighted according to the number of respondents compared to the actual population proportions for supervisory and non-supervisory employees as provided in the Central Personnel Data File. Weighting eliminates over or under representation of a group in the survey results that may be a consequence of the sampling strategy or differential response rates.

### 4. Number of employees surveyed, number responded, and representativeness of respondents:

Of the sample of 834 employees, 664 responded for an overall response rate of 80%. The sample included 553 non-supervisory employees of whom 444 or 80% responded and 281 supervisors of whom 220 or 78% responded. Employees who completed at least one of the annual survey questions are counted as respondents although the majority of employees completed all questions. The respondents are representative of the agency population in all demographics except that there is a slight underrepresentation of Black or African-Americans and Asians.

**SECURITIES AND EXCHANGE COMMISSION**  
2007 Annual Employee Survey Results

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**DEMOGRAPHICS**

<b>Supervisory Status</b>	<b>Population (%)</b>	<b>Respondents (%)</b>
Non-supervisor	78.6%	66.7%
Team Leader	--	11.9%
Supervisor	21.4%	13.5%
Manager	--	5.5%
Executive	--	2.3%

<b>Gender</b>	<b>Population (%)</b>	<b>Respondents (%)</b>
Male	53.2%	51.7%
Female	46.8%	48.3%

<b>Are you: Hispanic or Latino</b>	<b>Population (%)</b>	<b>Respondents (%)</b>
Yes	4.8%	5.6%
No	95.2%	94.4%

<b>Racial Category</b>	<b>Population (%)</b>	<b>Respondents (%)</b>
White	67.9%	67.2%
Black or African American	18.9%	14.2%
Native Hawaiian or other Pacific Islander	0.0%	0.5%
Asian	8.3%	5.5%
American Indian or Alaskan Native	0.3%	0.4%
Two or more races (not Hispanic or Latino)	0.0%	1.9%

**SECURITIES AND EXCHANGE COMMISSION**  
2007 Annual Employee Survey Results

**SURVEY RESULTS - CONTENT QUESTIONS**

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**PERSONAL WORK EXPERIENCES**

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

Response	Frequencies	Percentage
Strongly Agree	176	26.5%
Agree	343	51.7%
Neither Agree nor Disagree	102	15.3%
Disagree	27	4.0%
Strongly Disagree	16	2.4%
Missing/Invalid	1	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Strongly Agree	82	13.2%
Agree	222	35.8%
Neither Agree nor Disagree	160	25.7%
Disagree	93	15.0%
Strongly Disagree	64	10.3%
Missing/Invalid	43	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Strongly Agree	169	25.5%
Agree	316	47.8%
Neither Agree nor Disagree	93	14.1%
Disagree	59	8.9%
Strongly Disagree	25	3.7%
Missing/Invalid	2	--
TOTAL:	664	--

**SECURITIES AND EXCHANGE COMMISSION**  
2007 Annual Employee Survey Results

4. I like the kind of work I do.

Response	Frequencies	Percentage
Strongly Agree	241	36.4%
Agree	331	50.0%
Neither Agree nor Disagree	59	8.9%
Disagree	17	2.5%
Strongly Disagree	15	2.3%
Missing/Invalid	2	--
TOTAL:	664	--

5. I have trust and confidence in my supervisor.

Response	Frequencies	Percentage
Strongly Agree	190	29.2%
Agree	219	33.8%
Neither Agree nor Disagree	123	19.0%
Disagree	60	9.3%
Strongly Disagree	56	8.7%
Missing/Invalid	15	--
TOTAL:	664	--

6. Overall, how good a job do you feel is being done by your immediate supervisor/team leader?

Response	Frequencies	Percentage
Very Good	234	35.4%
Good	216	32.5%
Fair	124	18.7%
Poor	57	8.5%
Very Poor	32	4.8%
Missing/Invalid	2	--
TOTAL:	664	--

**SECURITIES AND EXCHANGE COMMISSION**  
2007 Annual Employee Survey Results

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**RECRUITMENT, DEVELOPMENT, AND RETENTION**

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

Response	Frequencies	Percentage
Strongly Agree	183	27.5%
Agree	383	57.8%
Neither Agree nor Disagree	69	10.4%
Disagree	21	3.1%
Strongly Disagree	8	1.2%
Missing/Invalid	1	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Strongly Agree	154	23.1%
Agree	337	50.8%
Neither Agree nor Disagree	108	16.3%
Disagree	56	8.4%
Strongly Disagree	9	1.4%
Missing/Invalid	--	--
TOTAL	664	--

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

Response	Frequencies	Percentage
Strongly Agree	226	34.1%
Agree	367	55.5%
Neither Agree nor Disagree	52	7.8%
Disagree	10	1.5%
Strongly Disagree	7	1.1%
Missing/Invalid	2	--
TOTAL:	664	--

**SECURITIES AND EXCHANGE COMMISSION**  
2007 Annual Employee Survey Results

10. The work I do is important.

Response	Frequencies	Percentage
Strongly Agree	281	42.5%
Agree	307	46.5%
Neither Agree nor Disagree	54	8.2%
Disagree	11	1.7%
Strongly Disagree	7	1.1%
Missing/Invalid	3	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Strongly Agree	213	35.0%
Agree	322	53.1%
Neither Agree nor Disagree	52	8.6%
Disagree	16	2.7%
Strongly Disagree	4	0.6%
Missing/Invalid	57	--
TOTAL:	664	--

12. Supervisors/team leaders in my work unit support employee development.

Response	Frequencies	Percentage
Strongly Agree	96	15.5%
Agree	266	42.9%
Neither Agree nor Disagree	133	21.4%
Disagree	70	11.2%
Strongly Disagree	56	9.0%
Missing/Invalid	43	--
TOTAL:	664	--

13. My talents are used well in the workplace.

Response	Frequencies	Percentage
Strongly Agree	138	20.8%
Agree	267	40.4%
Neither Agree nor Disagree	120	18.2%
Disagree	86	12.9%
Strongly Disagree	51	7.7%
Missing/Invalid	2	--
TOTAL:	664	--

**SECURITIES AND EXCHANGE COMMISSION**  
2007 Annual Employee Survey Results

**14. My training needs are assessed.**

Response	Frequencies	Percentage
Strongly Agree	47	7.6%
Agree	145	23.4%
Neither Agree nor Disagree	190	30.7%
Disagree	143	23.1%
Strongly Disagree	95	15.3%
Missing/Invalid	44	--
TOTAL:	664	--

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**PERFORMANCE CULTURE**

**15. Promotions in my work unit are based on merit.**

Response	Frequencies	Percentage
Strongly Agree	95	15.2%
Agree	226	36.1%
Neither Agree nor Disagree	147	23.5%
Disagree	92	14.8%
Strongly Disagree	65	10.4%
Missing/Invalid	38	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Strongly Agree	33	5.3%
Agree	101	16.1%
Neither Agree nor Disagree	256	41.0%
Disagree	138	22.1%
Strongly Disagree	97	15.5%
Missing/Invalid	40	--
TOTAL:	664	--

**SECURITIES AND EXCHANGE COMMISSION**  
2007 Annual Employee Survey Results

17. Creativity and innovation are rewarded.

Response	Frequencies	Percentage
Strongly Agree	61	9.7%
Agree	160	25.6%
Neither Agree nor Disagree	200	32.0%
Disagree	103	16.5%
Strongly Disagree	101	16.1%
Missing/Invalid	39	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Strongly Agree	86	13.8%
Agree	202	32.3%
Neither Agree nor Disagree	131	21.1%
Disagree	128	20.5%
Strongly Disagree	77	12.4%
Missing/Invalid	40	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Strongly Agree	46	7.3%
Agree	127	20.4%
Neither Agree nor Disagree	221	35.5%
Disagree	143	23.0%
Strongly Disagree	86	13.8%
Missing/Invalid	41	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Strongly Agree	64	10.2%
Agree	171	27.4%
Neither Agree nor Disagree	170	27.2%
Disagree	117	18.6%
Strongly Disagree	104	16.6%
Missing/Invalid	39	--
TOTAL:	664	--



**SECURITIES AND EXCHANGE COMMISSION**  
2007 Annual Employee Survey Results

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

Response	Frequencies	Percentage
Strongly Agree	98	15.7%
Agree	259	41.5%
Neither Agree nor Disagree	117	18.8%
Disagree	83	13.3%
Strongly Disagree	67	10.8%
Missing/Invalid	39	--
TOTAL:	664	--

22. Discussions with my supervisor/team leader about my performance are worthwhile.

Response	Frequencies	Percentage
Strongly Agree	142	21.9%
Agree	216	33.3%
Neither Agree nor Disagree	162	24.9%
Disagree	75	11.5%
Strongly Disagree	54	8.3%
Missing/Invalid	16	--
TOTAL:	664	--

23. Managers/supervisors/team leaders work well with employees of different backgrounds.

Response	Frequencies	Percentage
Strongly Agree	93	15.0%
Agree	256	41.2%
Neither Agree nor Disagree	177	28.5%
Disagree	49	7.9%
Strongly Disagree	46	7.3%
Missing/Invalid	44	--
TOTAL:	664	--

24. My supervisor supports my need to balance work and family issues.

Response	Frequencies	Percentage
Strongly Agree	270	41.5%
Agree	245	37.8%
Neither Agree nor Disagree	97	14.9%
Disagree	22	3.4%
Strongly Disagree	16	2.4%
Missing/Invalid	14	--
TOTAL:	664	--

**SECURITIES AND EXCHANGE COMMISSION**  
2007 Annual Employee Survey Results

**LEADERSHIP**

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

Response	Frequencies	Percentage
Strongly Agree	88	14.2%
Agree	219	35.3%
Neither Agree nor Disagree	159	25.6%
Disagree	95	15.3%
Strongly Disagree	60	9.6%
Missing/Invalid	42	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Strongly Agree	52	8.3%
Agree	151	24.3%
Neither Agree nor Disagree	192	30.9%
Disagree	145	23.4%
Strongly Disagree	81	13.1%
Missing/Invalid	42	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Strongly Agree	56	9.1%
Agree	226	36.4%
Neither Agree nor Disagree	225	36.2%
Disagree	66	10.6%
Strongly Disagree	47	7.7%
Missing/Invalid	44	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Strongly Agree	213	35.1%
Agree	324	53.3%
Neither Agree nor Disagree	56	9.3%
Disagree	12	2.0%
Strongly Disagree	2	0.3%
Missing/Invalid	57	--
TOTAL:	664	--

**SECURITIES AND EXCHANGE COMMISSION**  
2007 Annual Employee Survey Results

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

Response	Frequencies	Percentage
Strongly Agree	69	10.4%
Agree	211	31.8%
Neither Agree nor Disagree	182	27.4%
Disagree	139	21.0%
Strongly Disagree	62	9.3%
Missing/Invalid	1	--
TOTAL:	664	--

30. My workload is reasonable.

Response	Frequencies	Percentage
Strongly Agree	163	24.8%
Agree	355	54.0%
Neither Agree nor Disagree	57	8.6%
Disagree	54	8.3%
Strongly Disagree	28	4.3%
Missing/Invalid	7	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Strongly Agree	60	9.6%
Agree	260	42.0%
Neither Agree nor Disagree	165	26.6%
Disagree	83	13.4%
Strongly Disagree	52	8.4%
Missing/Invalid	44	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Strongly Agree	187	30.8%
Agree	333	55.0%
Neither Agree nor Disagree	60	9.9%
Disagree	20	3.4%
Strongly Disagree	5	0.9%
Missing/Invalid	58	--
TOTAL:	664	--

**SECURITIES AND EXCHANGE COMMISSION**  
2007 Annual Employee Survey Results

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**JOB SATISFACTION**

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

Response	Frequencies	Percentage
Very Satisfied	42	6.7%
Satisfied	168	27.0%
Neither Satisfied nor Dissatisfied	171	27.5%
Dissatisfied	163	26.2%
Very Dissatisfied	79	12.6%
Missing/Invalid	42	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Very Satisfied	89	13.4%
Satisfied	221	33.4%
Neither Satisfied nor Dissatisfied	171	25.9%
Dissatisfied	132	20.0%
Very Dissatisfied	49	7.3%
Missing/Invalid	3	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Very Satisfied	48	7.6%
Satisfied	135	21.5%
Neither Satisfied nor Dissatisfied	195	31.2%
Dissatisfied	128	20.4%
Very Dissatisfied	121	19.3%
Missing/Invalid	38	--
TOTAL:	664	--

**SECURITIES AND EXCHANGE COMMISSION**  
2007 Annual Employee Survey Results

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

Response	Frequencies	Percentage
Very Satisfied	75	12.1%
Satisfied	166	26.6%
Neither Satisfied nor Dissatisfied	198	31.7%
Dissatisfied	73	11.6%
Very Dissatisfied	113	18.0%
Missing/Invalid	39	--
TOTAL:	664	--

37. How satisfied are you with the policies and practices of your senior managers?

Response	Frequencies	Percentage
Very Satisfied	52	8.4%
Satisfied	199	32.0%
Neither Satisfied nor Dissatisfied	184	29.6%
Dissatisfied	124	20.0%
Very Dissatisfied	62	10.0%
Missing/Invalid	43	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Very Satisfied	61	9.8%
Satisfied	221	35.6%
Neither Satisfied nor Dissatisfied	196	31.6%
Dissatisfied	99	16.0%
Very Dissatisfied	43	6.9%
Missing/Invalid	44	--
TOTAL:	664	--

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

Response	Frequencies	Percentage
Very Satisfied	196	29.7%
Satisfied	306	46.5%
Neither Satisfied nor Dissatisfied	86	13.1%
Dissatisfied	53	8.0%
Very Dissatisfied	18	2.7%
Missing/Invalid	5	--
TOTAL:	664	--

**SECURITIES AND EXCHANGE COMMISSION**  
2007 Annual Employee Survey Results

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

Response	Frequencies	Percentage
Very Satisfied	133	21.2%
Satisfied	279	44.5%
Neither Satisfied nor Dissatisfied	107	17.0%
Dissatisfied	71	11.4%
Very Dissatisfied	37	6.0%
Missing/Invalid	37	--
TOTAL:	664	--