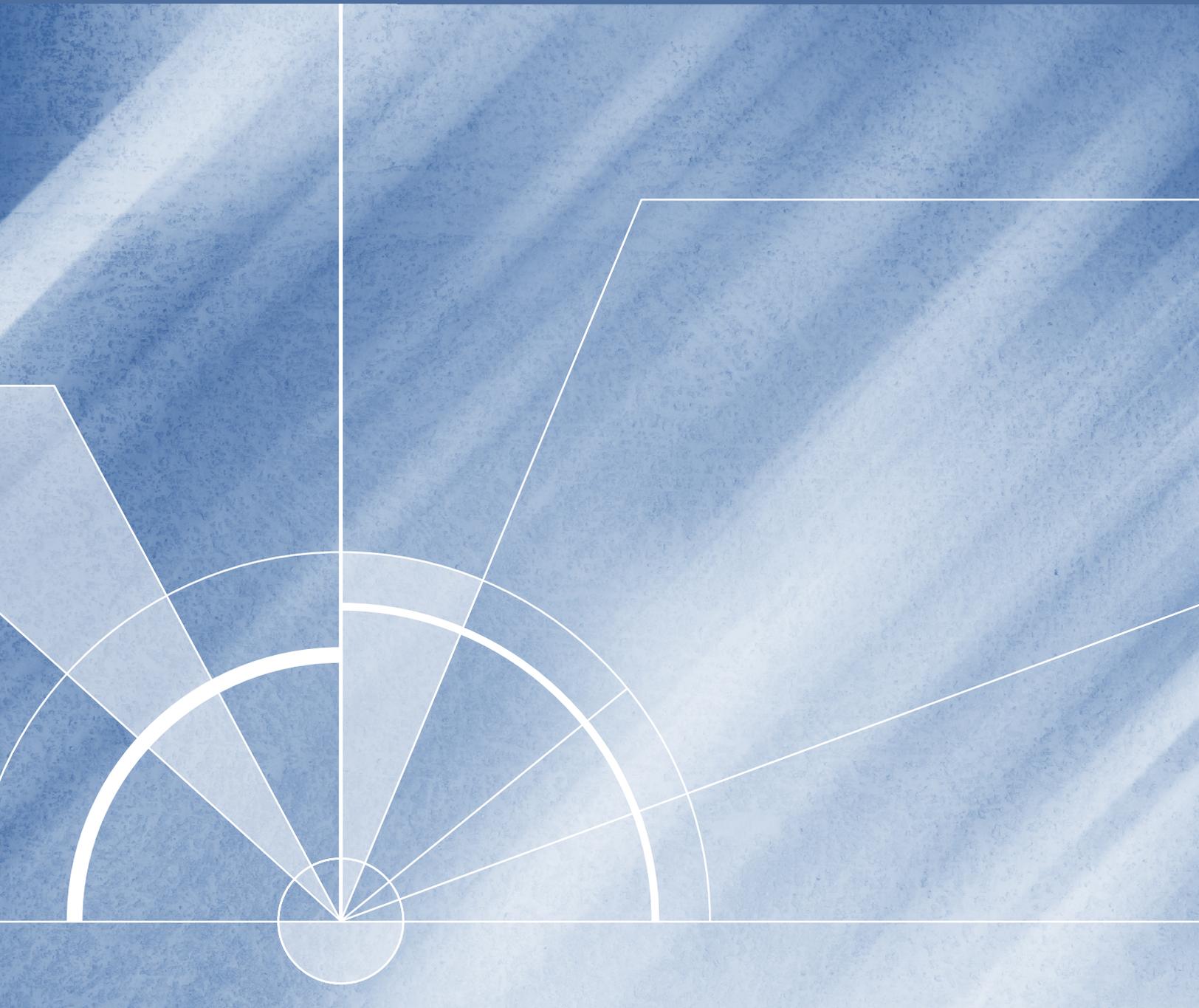


2016

  
**Federal Employee Viewpoint Survey**  
*Empowering Employees. Inspiring Change.*

**Small Agency  
Management  
Report**

Commodity Futures Trading Commission





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# About This Report

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The 2016 FEVS Small Agency Management Report (SAM) was designed to help your agency identify issues and provides guidance to take action for improvement. This report also highlights important agency successes, which should be acknowledged. We encourage you to share these successes and areas for improvement with your employees.

When reviewing your results, keep the guidelines below in mind. These guidelines were created to organize your survey results in a way that is easier to digest and interpret.

## Understanding Your Results

### Percent Positive

The sum of two positive categories (e.g., Strongly Agree/Agree)

### Percent Negative

The sum of two negative categories (e.g., Strongly Disagree/Disagree)

### Percent Neutral

The neutral category (e.g., Neither Agree nor Disagree)

## Identifying Strengths, Challenges and Neutral Findings

**65 percent positive or higher** is considered a strength

**35 percent negative or higher** is considered a challenge

**30 percent neutral or higher** suggests uncertainty, presenting an opportunity for communication between managers and staff

## Identifying Increases and Decreases

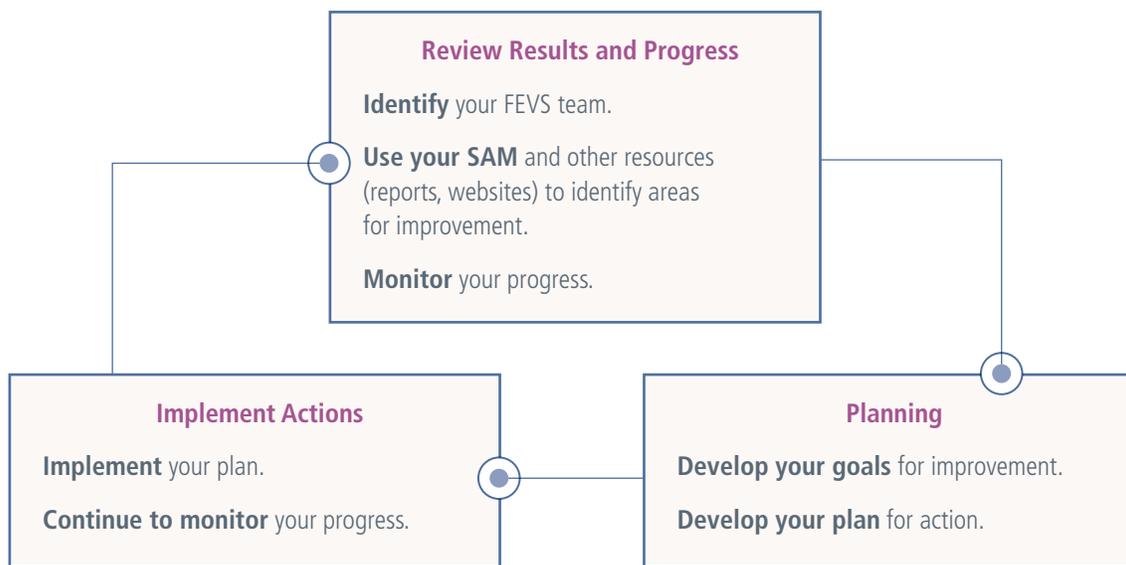
Movement up or down since the previous year is another important piece of information to consider when examining your results. Any increase or decrease in results can be important; however larger increases or decreases (generally 3 or more percentage points) may be a result of significant changes taking place within your agency and should be explored. Increases indicate positive change that should continue to be reinforced. Decreases, especially in areas considered mission critical, may call for appropriate action to initiate and support beneficial workplace improvements.



# Your FEVS Results: Taking Action

This section provides guidelines for taking action based on your FEVS results — focusing on steps you can take to form an action planning team, identify challenges, develop an action plan, and measure progress toward meeting goals. In addition, descriptions of helpful resources and tools are outlined. A broad overview of the process of moving from results to action is displayed in diagram below, with the specific steps and guidelines outlined in the following pages.

## Moving from Results To Action



## Getting Started

Agencies receive many FEVS reports each year, so it can be confusing to know where to start. One suggested starting point is to adopt a strategy based on an action planning framework. This involves looking for improvements you have made in previous years while also examining areas of decline. To help you get started, several steps are outlined below, including references to sections of the Small Agency Management Report (SAM) and other resources that you may find useful to help you focus on the most critical issues.

### Step 1: Identify and Establish a FEVS Action Team

This is a crucial step, as the team you establish can make or break your efforts to improve areas of concern and keep strengths strong. Teams can be composed of leadership, employees, or a combination. It is important that each member of your team is actively engaged in the process and supports its goals. Identifying your team is not just limited to personnel selection. It also includes identifying and pulling together your available resources while being aware of staff interests, capabilities, and agency budget and resources.

### Step 2: Use Your SAM and Other Resources to Identify Areas for Improvement

Your agency has many available resources that present your FEVS results. The sections of the SAM as well as additional resources are described below to help narrow your focus on the tools and results that may be most helpful as you move from results to taking action.



### Sections of the SAM

#### Respondent Overview

The Respondent Overview provides a snapshot of the characteristics of your employees who responded to the survey. Understanding who responded in your agency has a number of benefits. For example, this section allows you to better understand the ratio of seasoned employees who may be preparing for retirement to newer employees. This information can help inform and guide your recruiting and retention efforts. It is important to keep in mind that this is a survey respondent overview, and these percentages may not match up exactly to your agency's total population characteristics.

#### Employee Engagement Index and New IQ Index

The Employee Engagement Index (EEI) and New IQ Index provide agencies with consistent metrics for measuring progress toward objectives. Benchmarks are included to provide insight into how your agency compares to others, and to encourage information sharing between agencies. For example, some of the top ranking agencies in the EEI may have suggestions on things that have and have not worked to engage their employees. Trends for both indices are also displayed, going as far back as 2013 when available.

#### Employee Engagement Key Drivers

This is a new section of the SAM containing information about key drivers of engagement. These groupings of FEVS items have been shown to influence the engagement potential of workplaces. While the EEI provides perspective on the conditions important to supporting engagement, the drivers can help you to more effectively target resources and actions needed to influence conditions and improve the engagement potential of your agency.

#### Decision Aid

The Decision Aid is useful in helping you easily identify the most critical issues in your agency as well as recognize where your agency has improved since 2015. The Decision Aid is divided into three sections to help you focus your attention on improvements and declines in your results since last year:

**Increases** contains items that increased since 2015

**Decreases** contains items that decreased since 2015

**No Change** contains items that did not change since 2015

#### Appendices

The appendices give you an opportunity to more thoroughly understand your workforce by displaying item-level results. Appendix A shows how well your agency scored relative to other small agencies. Scanning the graphs can indicate how your agency is generally performing as well as help you identify particularly strong or weak areas. Appendix B shows a full breakdown of the Work/Life program results. Appendix C shows a full breakdown of the demographic items to provide a more in-depth summary than in the Respondent Overview.

Note: The Decision Aid only includes items 1-71. See Appendix B for a breakdown of the Work/Life results for your agency.



## Your FEVS Results: Taking Action (continued)

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### Additional FEVS Resources

#### Other Reports

#### **Governmentwide Management Report**

This report provides an overview of the governmentwide results. The report includes item results, index scores, trends, and information on who responded to the survey.

#### **Subagency Comparison Report**

This report provides the results of all the offices that report to the same “parent” office. This report is only created when there are two or more sub-offices that both have at least ten responses.

#### **Subagency Breakout Report**

This report displays survey results for a single office so long as it has at least ten responses.

#### **Trend Report**

This report provides agency and first level (where applicable) results for current and previous survey administrations. It also indicates whether the year-to-year differences were statistically significant or not.

#### **Occupational Series Reports**

This report allows for the comparison of occupational series and families at the agency level.

#### **Demographic Comparison Reports**

This report allows for the comparison of demographic subgroups at the agency level.

#### **Annual Employee Survey (AES) Report**

This report is a Microsoft® Excel® file with a breakdown of agency and first level results.

#### Websites

#### **FEVS website**

Agencies and the general public can access governmentwide data reports, as well as special topic reports produced from the FEVS. This website includes results from the 2004 administration of the survey to the present. Access the FEVS website at [www.opm.gov/FEVS](http://www.opm.gov/FEVS).

#### **Public Release Data File (PRDF)**

Three types of public use data sets are available for the FEVS: 1) a full data extract excluding the LGBT variable, 2) a separate data extract containing the LGBT variable, and 3) a data extract for trend analysis combining the public use files from 2004 up to the current year. To request a public use data file, complete the form available at: [www.fedview.opm.gov/2015/EVSDATA](http://www.fedview.opm.gov/2015/EVSDATA). Note: The 2016 PRDF will be available in the winter.

#### **FedScope**

OPM's FedScope is an online publicly available tool which allows users to access and analyze HR data from OPM's Enterprise Human Resources Integration-Statistical Data Mart (EHRI-SDM). Access this site using the following link: [www.fedscope.opm.gov](http://www.fedscope.opm.gov).

#### **Unlock Talent**

A tool for both the general public and agencies to view comprehensive data visualizations with broad displays of FEVS data. These displays allow agencies to identify subcomponents for action to improve engagement, as well as resources agencies can apply to their action planning. This site can be accessed at [www.unlocktalent.gov](http://www.unlocktalent.gov). Questions and feedback for the dashboard can be sent to [unlocktalent@opm.gov](mailto:unlocktalent@opm.gov).

Note: Subagency reports are only available for agencies that included organizational breakouts in 2016.



### FEVS Online Data Analysis Tool

A password protected tool for agency points of contact to access agency-specific and governmentwide reports. In addition, agency users can develop customized reports that may be useful for data analysis and action planning. Questions and feedback for this online tool can be sent to [EVS@opm.gov](mailto:EVS@opm.gov).

### Step 3: Develop Your Goals for Improvement

To develop your goals for improvement, you should consider issues that are most critical to your agency and how these issues relate to your strategic goals. It is also important to focus on issues that will provide both short-term, visible, measurable results, and those that will require long-term perspective. Keep in mind that you are more likely to show and achieve improvements if you follow SMART guidelines when establishing your goals. To be achievable goals must be:

#### Specific

Goals need to be concrete and detailed enough to know when you meet with success.

- What exactly do you intend to do? Use action words such as lead, coordinate, direct, develop, plan, and build.
- How are you going to do it? Describe which actions need to be taken by which employees and when.

#### Measurable

What evidence will you have to show that you have met your goal? Put a concrete figure or value to the objective (e.g., percentage increase in positive scores).

#### Attainable

Goals should not be too easy or too difficult. Those that require a slight stretch to meet can create excitement, motivation, and the kind of commitment it takes to reach them.

#### Realistic

Make goals challenging, but identify your resources and any limitations on those so you can actually achieve your objectives.

#### Time Specific

Set a deadline to keep plans on track and meet the needs of decision-makers. Large goals should be established as a series of milestones to keep motivation high and the overall goal on schedule.

### Step 4: Develop Your Plan for Action

Once your team has identified its goals, you should develop a list of actions that must be taken to reach these goals. You might also consider soliciting employee input on your plan. Assign staff responsibilities for each action and keep in mind timeframes. Tasks should include start dates, end dates, milestones, and description of how you plan to measure and provide evidence for goal success. Make sure you get approval for the actions you must take to achieve your agency goals. Remember that leadership buy-in, involvement, and communication is critical to your success.

### Step 5: Communicate the Implementation of Your Plan

There are many ways to publicize and communicate your intentions to employees, such as all-hands meetings, announcements, intranet/web updates, and social media, to name a few. After your plan is communicated and you have leadership support, you are ready to launch the plan. Communicating early and often ensures staff and leadership are well-informed.

### Step 6: Monitor and Evaluate Your Progress

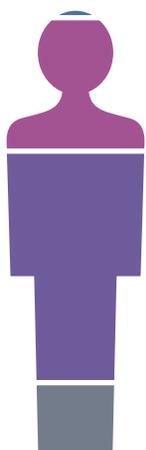
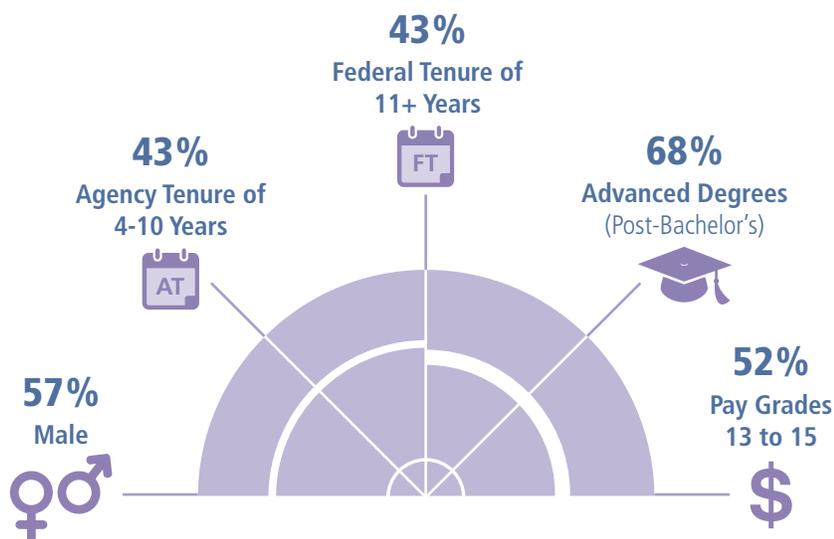
In addition to measuring your progress along the way and evaluating the success of your plan, it is important that you communicate progress toward goals and final outcomes. *Communicating during the entire process provides transparency which can add to staff engagement.*



# Respondent Overview

## The Unique Characteristics of Commodity Futures Trading Commission Respondents

The figures below provide a snapshot of your survey participants. Except for military status and race, the most frequently selected response choice for each demographic item is highlighted in the first figure. The second figure displays the total FEVS respondent breakdown by generation. Please be aware that these results are based on survey respondents, which may differ from the characteristics of the total employee population.



### Generations

1%	Traditionalists	(born 1945 or earlier)
30%	Baby Boomers	(born 1946 – 1964)
53%	Generation X	(born 1965 – 1980)
16%	Generation Y	(born 1981 or later)

Note: The sum of percentages may not add to 100 due to rounding.

### CFTC Response Rate

# 73%

 (505 out of 692 employees responded)

Field Period: May 3, 2016 – June 14, 2016

Overall 2015 response rate: **79%**

### Component Response Rates

90%	Office of the Chief Economist
83%	Office of the Executive Director
78%	Office of Data and Technology
77%	Division of Enforcement
74%	Division of Swap Dealer and Intermediary Oversight
73%	Division of Clearing and Risk
70%	Office of International Affairs
67%	Office of General Counsel
66%	Division of Market Oversight
33%	Office of Commissioner Giancarlo
30%	Office of the Chairman

Agency results have a margin of error of +/- 3%

Note: For the full list of demographic item results, please see Appendix C.

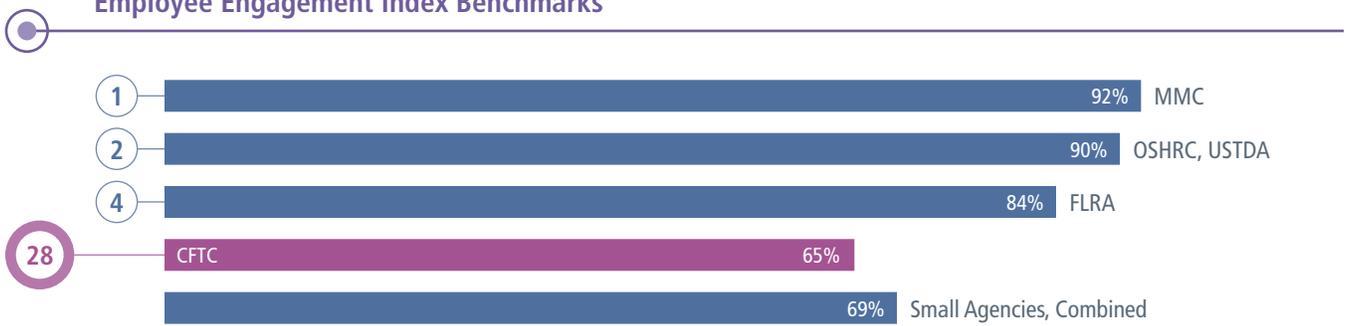


# Employee Engagement Index

Because the FEVS is an assessment of organizational climate, the Employee Engagement Index (EEI) does not directly evaluate an employee’s level of engagement. Therefore, instead of measuring aspects of engagement such as focused attention and dedication to completing assignments, this index concentrates on factors that lead to an engaged workforce (e.g., supporting employee development, communicating agency goals).

Below, you can see where your agency’s EEI score ranks (out of 40 small/independent agencies with 10 or more respondents) and how it compares to the small agency average. The names of the highest-ranked small agencies are listed to facilitate the sharing of information, such as best practices. The U.S. Office of Personnel Management (OPM) has also created the Unlock Talent website (<https://www.unlocktalent.gov>) to share resources and help with interagency communication.

## Employee Engagement Index Benchmarks



The table below displays the EEI score for each component in your agency as well as the scores for the three engagement subfactors, which can facilitate information-sharing within your agency. To provide more information on engagement, the table also includes engagement trends back to 2013 for your components, as well as the overall agency and combined small agency trends for comparison. Please note that depending on organizational structure in previous administrations, not all components may trend back to 2013.

## Employee Engagement Index Component Scores and Trends

	EEI Trends				2016 EEI Subfactors		
	2013	2014	2015	2016	Leaders Lead	Supervisors	Intrinsic Work Experience
Small Agencies, Combined	66	65	67	69	57	78	72
Commodity Futures Trading Commission	64	56	60	65	49	80	67

**Leaders Lead:** Employees’ perceptions of leadership’s integrity as well as leadership behaviors such as communication and workforce motivation. (Q.53, 54, 56, 60, and 61)

**Supervisors:** Interpersonal relationship between worker and supervisor, including trust, respect, and support. (Q.47, 48, 49, 51, and 52)

**Intrinsic Work Experience:** Employees’ feelings of motivation and competency relating to their role in the workplace. (Q.3, 4, 6, 11, and 12)



## Employee Engagement Index (continued)

	EEI Trends				2016 EEI Subfactors		
	2013	2014	2015	2016	Leaders Lead	Supervisors	Intrinsic Work Experience
<b>Commodity Futures Trading Commission</b>	64	56	60	65	49	80	67
Office of the Executive Director		69	74	79	68	85	83
Office of Data and Technology		62	70	76	64	86	77
Division of Enforcement		57	62	68	54	82	69
Division of Clearing and Risk		70	76	68	46	84	74
Office of General Counsel		47	52	58	40	72	62
Division of Market Oversight		50	45	57	34	79	56
Division of Swap Dealer and Intermediary Oversight		37	44	56	40	74	53



# Employee Engagement Key Drivers

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## What is a Key Employee Engagement Index Driver?

The Employee Engagement Index (EEI) measures conditions important to supporting employee engagement. “What actions can leadership take to influence those conditions and improve the engagement potential of agency workplaces?” is a question often asked about how to make the EEI actionable. To help answer that question, OPM identified items on the FEVS that are key drivers of the EEI. Key drivers are groupings of FEVS items that influence the engagement potential of workplaces.

## How Can Drivers Help Identify Effective Action?

Agencies can more effectively target resources to increase levels of employee engagement, aided by the key driving factors for the EEI and its subfactors. Through a thorough review, OPM’s Survey Analysis team found that a number of FEVS items align with topics shown to be important to both employee engagement and to overall effective management practices. Final item selection for EEI drivers was guided by three principles: 1) they align with prior research, 2) they are strongly related to the EEI and/or its subfactors, and 3) they are *actionable* because they indicate practices and behaviors that can influence an agency’s engagement potential.

OPM examined the impact of nine different factors on the EEI. These nine factors were: 1) Collaborative/Cooperative Management; 2) Employee Training and Development; 3) Job Resources; 4) Merit System Principles; 5) Performance Feedback; 6) Performance Rating; 7) Performance Recognition and Reward; 8) Supportive Coworkers; and 9) Work/Life Balance. The figure on the following page identifies and ranks the key drivers of the overall Employee Engagement Index and subfactors in order of impact for all of the Small/Independent Agencies combined. A ‘1’ indicates the key driver with the greatest impact on the index or subfactor.

For an example of how to use EEI drivers, consider the driver labeled Performance Feedback. It is comprised of three FEVS items:

- Discussions with my supervisor about my performance are worthwhile. (Q.44)
- My supervisor provides me with constructive suggestions to improve my job performance. (Q.46)
- In the last six months, my supervisor has talked with me about my performance. (Q.50)

Assume that a review of your agency’s FEVS results shows low scores on one or more of the items under Performance Feedback. To improve the engagement potential of your workplace, actions could be taken to address priorities indicated by the wording of the items, such as ensuring feedback that provides worthwhile or constructive suggestions to improve performance, as well as timely feedback.

Note: OPM conducted regression analyses of 2013, 2014, 2015, and most recently 2016 FEVS data to identify the key drivers. Small/Independent Agencies, due to the small number of employees in each, were included as a single combined group, rather than 43 separate agencies. Factors with statistically significant standardized regression coefficients of 0.10 or above were identified as a “key driver.” A detailed discussion of the methodology used to conduct all of the key driver analyses can be found at [www.opm.gov/FEVS](http://www.opm.gov/FEVS).



## Employee Engagement Key Drivers (continued)

### Employee Engagement Key Drivers

	Employee Engagement Index	Leaders Lead	Supervisors	Intrinsic Work Experience
Performance Feedback	1		1	
Collaborative/Cooperative Management	2	1		4
Merit System Principles	3	2	3	4
Training and Development	4			1
Work/Life Balance			2	
Performance Recognition and Reward				
Performance Rating				3
Job Resources	5	3		2
Supportive Co-workers				

**Performance Feedback:** Provide meaningful, worthwhile, and constructive performance conversations. (Q.44, 46, and 50)

**Collaborative/Cooperative Management:** Promote and support collaborative communication and teamwork in accomplishing goals and objectives. (Q.58 and 59)

**Merit System Principles:** Support fairness and protect employees from arbitrary actions, favoritism, political coercion, and reprisal. (Q.17, 37, and 38)

**Training and Development:** Target opportunities for employees to improve skills and enhance professional development, including training needs assessments. (Q.1 and 18)

**Work/Life Balance:** Support employee needs to balance work and life responsibilities. (Q.42)

**Performance Recognition and Reward:** Support and effective recognition and reward system in which supervisors/managers/leaders recognize outstanding actions. (Q.22, 23, 24, and 25)

**Performance Rating:** Ensure employees are held accountable and performance is evaluated and rated. (Q.15, 16, and 19)

**Job Resources:** Allow sufficient materials, knowledge, personnel, skills, information and work distribution to complete the job. (Q.2, 9, and 10)

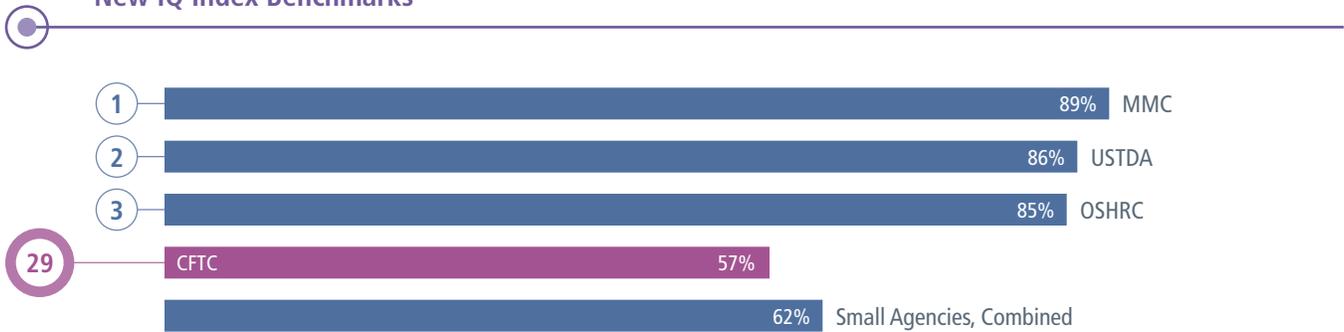
**Supportive Co-workers:** Refers to supportive coworker relationships that involve cooperation and information sharing to perform job. (Q.20 and 26)



# New IQ Index

The New IQ stands for the New Inclusion Quotient. The New IQ is based on the concept that individual behaviors repeated over time will create habits necessary for inclusiveness. It consists of 20 questions that relate to inclusive work environments. These 20 questions are grouped into five Habits of Inclusion: Fair, Open, Cooperative, Supportive, and Empowering. The New IQ Index score for your agency, the highest scoring agencies, and the small agency average are displayed below, along with your agency ranking (out of 40 small/independent agencies with 10 or more respondents).

## New IQ Index Benchmarks



The table below shows the New IQ Index score for each component in your agency as well as the scores for all five habits of inclusion. To provide more information on the New IQ, the table also includes trends back to 2013 for your components, as well as the overall agency and combined small agency trends for comparison. Please note that depending on organizational structure in previous administrations, not all components may trend back to 2013.

## New IQ Index Component Scores and Trends

	New IQ Index Trends				2016 New IQ Index Subfactors				
	2013	2014	2015	2016	Fair	Open	Cooperative	Supportive	Empowering
Small Agencies, Combined	59	58	60	62	51	61	56	81	62
Commodity Futures Trading Commission	56	48	51	57	42	57	45	84	57

**Fair:** Are all employees treated equally? (Q.23, 24, 25, 37, and 38)

**Open:** Does management support diversity in all ways? (Q.32, 34, 45, and 55)

**Cooperative:** Does management encourage communication and collaboration? (Q.58 and 59)

**Supportive:** Do supervisors value employees? (Q.42, 46, 48, 49, and 50)

**Empowering:** Do employees have the resources and support needed to excel? (Q.2, 3, 11, and 30)



## New IQ Index (continued)

	New IQ Index Trends				2016 New IQ Index Subfactors				
	2013	2014	2015	2016	Fair	Open	Cooperative	Supportive	Empowering
<b>Commodity Futures Trading Commission</b>	56	48	51	57	42	57	45	84	57
Office of the Executive Director		62	64	72	51	69	73	91	76
Office of Data and Technology		56	64	68	49	67	67	89	69
Division of Clearing and Risk		60	64	60	44	60	45	83	65
Division of Enforcement		46	50	56	43	57	40	85	55
Division of Market Oversight		47	44	51	35	51	36	86	45
Division of Swap Dealer and Intermediary Oversight		34	39	50	36	54	37	81	43
Office of General Counsel		34	43	48	40	49	18	80	53



# Decision Aid: Increases

## Identifying Increases Since 2015

The items in this section are sorted by greatest to smallest increase in percent positive ratings. The items are sorted to allow you to quickly and easily identify where your agency has made the greatest improvements since last year.

## Using the Legend Icons

The legend icons provide context for interpreting these results. While these items have improved, some may still be considered challenges (35% or more negative) or others may have reached the 65% or more positive mark and become new strengths this year. The legend icons help to highlight areas in need of continued focus and areas that have been successfully improved and should be celebrated. A new feature this year is the addition of “top pos/neg” icons that highlight where an item is either in the top 10 positive items or top 10 negative items for your agency.

### 67 Items Increased Since 2015



#### Strength

These items are 65 percent positive or higher



#### Caution

These items are 30 percent neutral or higher



#### Challenge

These items are 35 percent negative or higher



#### New Strength

These items became a new strength in 2016



#### Top Pos/Neg

These items are in your top positive or top negative

	2015 Positive	2016 Positive	2016 Neutral	2016 Negative	Increase Since 2015
I recommend my organization as a good place to work. (Q. 40)	52	63	20	17	+11
Employees have a feeling of personal empowerment with respect to work processes. (Q. 30)	30	41	21	39	+11
My training needs are assessed. (Q. 18)	39	50	21	29	+11
I have enough information to do my job well. (Q. 2)	58	69	15	17	+11
Managers communicate the goals and priorities of the organization. (Q. 56)	41	51	17	32	+10
I know how my work relates to the agency's goals and priorities. (Q. 12)	66	76	13	11	+10
Considering everything, how satisfied are you with your pay? (Q. 70)	34	43	15	42	+9
Managers review and evaluate the organization's progress toward meeting its goals and objectives. (Q. 57)	42	51	25	24	+9
How satisfied are you with the policies and practices of your senior leaders? (Q. 66)	29	37	29	33	+8
The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals. (Q. 29)	58	66	16	17	+8

Note: The Decision Aid only includes items 1-71. See Appendix B for a breakdown of the Work/Life results for your agency.



## Decision Aid: Increases (continued)

	2015 Positive	2016 Positive	2016 Neutral	2016 Negative	Increase Since 2015
Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated. (Q. 37)	48	56	20	24	+8
I have trust and confidence in my supervisor. (Q. 51)	67	75	12	13	+8
My talents are used well in the workplace. (Q. 11)	49	57	14	29	+8
Considering everything, how satisfied are you with your job? (Q. 69)	52	60	22	18	+8
How satisfied are you with your involvement in decisions that affect your work? (Q. 63)	42	50	22	29	+8
My workload is reasonable. (Q. 10)	51	59	16	25	+8
Managers promote communication among different work units (for example, about projects, goals, needed resources). (Q. 58)	35	43	20	37	+8
Senior leaders demonstrate support for Work/Life programs. (Q. 62)	57	65	18	17	+8
Promotions in my work unit are based on merit. (Q. 22)	34	41	22	36	+7
How satisfied are you with the recognition you receive for doing a good job? (Q. 65)	39	46	22	31	+7
I have a high level of respect for my organization's senior leaders. (Q. 61)	43	50	23	28	+7
My agency is successful at accomplishing its mission. (Q. 39)	61	68	20	13	+7
Discussions with my supervisor about my performance are worthwhile. (Q. 44)	62	69	14	17	+7
Creativity and innovation are rewarded. (Q. 32)	30	37	23	40	+7
Considering everything, how satisfied are you with your organization? (Q. 71)	46	53	22	25	+7
Prohibited Personnel Practices are not tolerated. (Q. 38)	64	71	17	12	+7
My organization has prepared employees for potential security threats. (Q. 36)	64	70	18	13	+6
I have sufficient resources (for example, people, materials, budget) to get my job done. (Q. 9)	22	28	14	58	+6
How satisfied are you with the information you receive from management on what's going on in your organization? (Q. 64)	36	42	23	35	+6
Employees are recognized for providing high quality products and services. (Q. 31)	37	43	20	37	+6
Pay raises depend on how well employees perform their jobs. (Q. 33)	14	20	20	60	+6



## Decision Aid: Increases (continued)

	2015 Positive	2016 Positive	2016 Neutral	2016 Negative	Increase Since 2015
I am given a real opportunity to improve my skills in my organization. (Q. 1)	58	64	17	20	+6
I like the kind of work I do. (Q. 5)	76	82	11	7	+6
In my work unit, steps are taken to deal with a poor performer who cannot or will not improve. (Q. 23)	23	29	30	42	+6
I know what is expected of me on the job. (Q. 6)	67	72	13	15	+5
I can disclose a suspected violation of any law, rule or regulation without fear of reprisal. (Q. 17)	62	67	18	16	+5
Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring). (Q. 34)	49	54	26	20	+5
My supervisor listens to what I have to say. (Q. 48)	81	86	8	7	+5
I feel encouraged to come up with new and better ways of doing things. (Q. 3)	55	60	18	22	+5
How satisfied are you with your opportunity to get a better job in your organization? (Q. 67)	21	26	28	46	+5
The skill level in my work unit has improved in the past year. (Q. 27)	54	59	28	14	+5
My supervisor provides me with opportunities to demonstrate my leadership skills. (Q. 43)	67	72	15	13	+5
Overall, how good a job do you feel is being done by your immediate supervisor? (Q. 52)	72	77	14	9	+5
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). (Q. 19)	52	57	18	25	+5
Employees in my work unit share job knowledge with each other. (Q. 26)	69	74	11	15	+5
My supervisor treats me with respect. (Q. 49)	84	89	5	6	+5
My work gives me a feeling of personal accomplishment. (Q. 4)	65	69	15	16	+4
My supervisor is committed to a workforce representative of all segments of society. (Q. 45)	73	77	17	6	+4
Managers support collaboration across work units to accomplish work objectives. (Q. 59)	42	46	20	34	+4
Awards in my work unit depend on how well employees perform their jobs. (Q. 25)	28	32	27	41	+4
My organization's senior leaders maintain high standards of honesty and integrity. (Q. 54)	50	54	22	24	+4



## Decision Aid: Increases (continued)

	2015 Positive	2016 Positive	2016 Neutral	2016 Negative	Increase Since 2015
My supervisor provides me with constructive suggestions to improve my job performance. (Q. 46)	61	65	20	15	+4
My supervisor supports my need to balance work and other life issues. (Q. 42)	88	+92	4	4	+4
My performance appraisal is a fair reflection of my performance. (Q. 15)	63	66	19	14	+3
The work I do is important. (Q. 13)	80	+83	10	7	+3
In my organization, senior leaders generate high levels of motivation and commitment in the workforce. (Q. 53)	32	35	23	-42	+3
Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well. (Q. 14)	80	+83	7	10	+3
The people I work with cooperate to get the job done. (Q. 20)	74	77	11	12	+3
I am held accountable for achieving results. (Q. 16)	73	76	16	9	+3
How would you rate the overall quality of work done by your work unit? (Q. 28)	83	+86	13	2	+3
Overall, how good a job do you feel is being done by the manager directly above your immediate supervisor? (Q. 60)	53	55	22	22	+2
In my work unit, differences in performance are recognized in a meaningful way. (Q. 24)	22	24	23	-52	+2
I am constantly looking for ways to do my job better. (Q. 8)	88	+90	9	1	+2
Supervisors work well with employees of different backgrounds. (Q. 55)	59	61	23	16	+2
When needed I am willing to put in the extra effort to get a job done. (Q. 7)	96	+97	2	1	+1
Supervisors in my work unit support employee development. (Q. 47)	70	71	15	13	+1
My work unit is able to recruit people with the right skills. (Q. 21)	51	52	21	27	+1



# Decision Aid: Decreases

## Identifying Decreases Since 2015

The items in this section are sorted by greatest to smallest decrease in percent positive ratings. The items are sorted to allow you to quickly and easily identify where results have dropped since last year.

## Using the Legend Icons

The legend icons provide context for interpreting these results. When identifying the most critical decreases to focus on, it is important to check if these decreases are also identified as challenges (35% or more negative) or if they were previously identified as strengths that have fallen below the 65% or more positive threshold. A new feature this year is the addition of “top pos/neg” icons that highlight where an item is either in the top 10 positive items or top 10 negative items for your agency.

### 3 Items Decreased Since 2015

 **Strength**  
These items are 65 percent positive or higher

 **Caution**  
These items are 30 percent neutral or higher

 **Challenge**  
These items are 35 percent negative or higher

 **Past Strength**  
These items are no longer a strength in 2016

 **Top Pos/Neg**  
These items are in your top positive or top negative

	2015 Positive	2016 Positive	2016 Neutral	2016 Negative	Decrease Since 2015
Employees are protected from health and safety hazards on the job. (Q. 35)	87	 85	11	4	-2
I believe the results of this survey will be used to make my agency a better place to work. (Q. 41)	43	41	20	 39	-2
How satisfied are you with the training you receive for your present job? (Q. 68)	46	45	26	28	-1

Note: The Decision Aid only includes items 1-71. See Appendix B for a breakdown of the Work/Life results for your agency.



# Decision Aid: No Change

## Identifying Items That Have Not Changed Since 2015

Your percent positive results for these items have not changed since last year. These are items that your agency is maintaining, which can be either a positive, neutral, or negative finding. For example, an item with low percent positive results over several years is a strong indication of a need for focused action. You may also want to consider changing or updating your approach to addressing these issues if the item has been the focus of attention in the past. On the other hand, a trend of stable, high percent positive ratings is a finding that should be celebrated. Review each item carefully to determine whether there may be areas of concern for your agency.

## Using the Legend Icons

The legend icons provide context for interpreting results. While these items have not increased or decreased, they still may be causes for celebration or concern depending on the percent positive, negative, and neutral ratings. A new feature this year is the addition of “top pos/neg” icons that highlight where an item is either in the top 10 positive items or top 10 negative items for your agency.

### 1 Item Did Not Change Since 2015

 **Strength**  
These items are 65 percent positive or higher

 **Caution**  
These items are 30 percent neutral or higher

 **Challenge**  
These items are 35 percent negative or higher

 **Top Pos/Neg**  
These items are in your top positive or top negative

	2015 Positive	2016 Positive	2016 Neutral	2016 Negative	Change Since 2015
In the last six months, my supervisor has talked with me about my performance. (Q. 50)	89	 89	5	6	0

Note: The Decision Aid only includes items 1-71. See Appendix B for a breakdown of the Work/Life results for your agency.



# Appendix A: Item Results and Benchmarks

For each item, your agency's percent positive response is shown on a 0 to 100 scale, with the triangular arrow indicating where your agency falls. The gray bars represent the range of scores for the 40 small independent agencies surveyed that had 10 or more respondents.

To understand how well your agency performed compared to other small agencies, focus on the location of the triangle within the gray bar. If the triangle is toward the right side of the bar, then your agency was above average on that item. If it is at the right edge of the bar, then you had the highest percent positive response for that item. Additionally, you can numerically compare your percent positive to the small agency average, listed to the right of each item.

	0	Low	CFTC	High	100	Small Agencies, Combined
<b>My Work Experience</b>						
‡1. I am given a real opportunity to improve my skills in my organization.						70%
2. I have enough information to do my job well.						73%
3. I feel encouraged to come up with new and better ways of doing things.						63%
‡4. My work gives me a feeling of personal accomplishment.						75%
5. I like the kind of work I do.						85%
6. I know what is expected of me on the job.						79%
7. When needed I am willing to put in the extra effort to get a job done.						96%
8. I am constantly looking for ways to do my job better.						91%
9. I have sufficient resources (for example, people, materials, budget) to get my job done.						54%
‡10. My workload is reasonable.						62%
‡11. My talents are used well in the workplace.						61%
‡12. I know how my work relates to the agency's goals and priorities.						84%

Note: Items included on the Annual Employee Survey are noted by a double dagger (‡).



## Appendix A: Item Results and Benchmarks (continued)

	0	Low	CFTC	High	100	Small Agencies, Combined
‡13. The work I do is important.						88%
‡14. Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.						77%
‡15. My performance appraisal is a fair reflection of my performance.						74%
16. I am held accountable for achieving results.						84%
17. I can disclose a suspected violation of any law, rule or regulation without fear of reprisal.						65%
‡18. My training needs are assessed.						54%
‡19. In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (for example, Fully Successful, Outstanding).						69%
<b>My Work Unit</b>						
‡20. The people I work with cooperate to get the job done.						79%
‡21. My work unit is able to recruit people with the right skills.						60%
‡22. Promotions in my work unit are based on merit.						47%
‡23. In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.						39%
‡24. In my work unit, differences in performance are recognized in a meaningful way.						40%
25. Awards in my work unit depend on how well employees perform their jobs.						49%
26. Employees in my work unit share job knowledge with each other.						77%
27. The skill level in my work unit has improved in the past year.						61%
28. How would you rate the overall quality of work done by your work unit?						87%

Note: Items included on the Annual Employee Survey are noted by a double dagger (‡).



## Appendix A: Item Results and Benchmarks (continued)

	0	Low	CFTC	High	100	Small Agencies, Combined
<b>My Agency</b>						
‡29. The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.						75%
‡30. Employees have a feeling of personal empowerment with respect to work processes.						50%
31. Employees are recognized for providing high quality products and services.						55%
‡32. Creativity and innovation are rewarded.						45%
‡33. Pay raises depend on how well employees perform their jobs.						32%
34. Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring).						61%
‡35. Employees are protected from health and safety hazards on the job.						80%
‡36. My organization has prepared employees for potential security threats.						70%
37. Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated.						58%
38. Prohibited Personnel Practices are not tolerated.						71%
39. My agency is successful at accomplishing its mission.						77%
40. I recommend my organization as a good place to work.						67%
41. I believe the results of this survey will be used to make my agency a better place to work.						49%

Note: Items included on the Annual Employee Survey are noted by a double dagger (‡).



## Appendix A: Item Results and Benchmarks (continued)

	0	Low	CFTC	High	100	Small Agencies, Combined
<b>My Supervisor</b>						
‡42. My supervisor supports my need to balance work and other life issues.						85%
43. My supervisor provides me with opportunities to demonstrate my leadership skills.						72%
‡44. Discussions with my supervisor about my performance are worthwhile.						68%
45. My supervisor is committed to a workforce representative of all segments of society.						74%
46. My supervisor provides me with constructive suggestions to improve my job performance.						68%
‡47. Supervisors in my work unit support employee development.						73%
48. My supervisor listens to what I have to say.						82%
49. My supervisor treats me with respect.						85%
50. In the last six months, my supervisor has talked with me about my performance.						83%
‡51. I have trust and confidence in my supervisor.						72%
‡52. Overall, how good a job do you feel is being done by your immediate supervisor?						76%
<b>Leadership</b>						
‡53. In my organization, senior leaders generate high levels of motivation and commitment in the workforce.						46%
54. My organization's senior leaders maintain high standards of honesty and integrity.						58%
‡55. Supervisors work well with employees of different backgrounds.						65%
‡56. Managers communicate the goals and priorities of the organization.						62%

Note: Items included on the Annual Employee Survey are noted by a double dagger (‡).



## Appendix A: Item Results and Benchmarks (continued)

	0	Low	CFTC	High	100	Small Agencies, Combined
‡57. Managers review and evaluate the organization's progress toward meeting its goals and objectives.						62%
58. Managers promote communication among different work units (for example, about projects, goals, needed resources).						54%
59. Managers support collaboration across work units to accomplish work objectives.						58%
60. Overall, how good a job do you feel is being done by the manager directly above your immediate supervisor?						62%
‡61. I have a high level of respect for my organization's senior leaders.						56%
62. Senior leaders demonstrate support for Work/Life programs.						65%

### My Satisfaction

‡63. How satisfied are you with your involvement in decisions that affect your work?						57%
‡64. How satisfied are you with the information you receive from management on what's going on in your organization?						52%
‡65. How satisfied are you with the recognition you receive for doing a good job?						55%
‡66. How satisfied are you with the policies and practices of your senior leaders?						47%
‡67. How satisfied are you with your opportunity to get a better job in your organization?						35%
‡68. How satisfied are you with the training you receive for your present job?						57%
‡69. Considering everything, how satisfied are you with your job?						69%
‡70. Considering everything, how satisfied are you with your pay?						59%
71. Considering everything, how satisfied are you with your organization?						62%

Note: Items included on the Annual Employee Survey are noted by a double dagger (‡).



## Appendix A: Item Results and Benchmarks (continued)



### Work/Life Programs

72. Have you been notified that you are eligible to telework? (See Appendix B)

73. Please select the response below that best describes your current teleworking situation. (See Appendix B)

74 - 78. Do you participate in the following Work/Life programs? (See Appendix B)

79 - 84. How satisfied are you with the following Work/Life programs?\*

79. Telework		78%
80. Alternative Work Schedules (AWS)		90%
81. Health and Wellness Programs (for example, exercise, medical screening, quit smoking programs)		83%
82. Employee Assistance Program (EAP)		74%
83. Child Care Programs (for example, daycare, parenting classes, parenting support groups)		65%
84. Elder Care Programs (for example, support groups, speakers)		64%

\* The Work/Life program satisfaction results include only employees who indicated that they participated in the program.



## Appendix B: Work/Life Programs

Appendix B displays your agency's Work/Life program participation and satisfaction results. Use the Work/Life results to gain an understanding of how your Work/Life programs are utilized and rated.

2016  
Percentages

<b>Work/Life Programs</b>	
Have you been notified that you are eligible to telework?	
Yes, I was notified that I was eligible to telework	85
Yes, I was notified that I was not eligible to telework	3
No, I was not notified of my telework eligibility	5
Not sure if I was notified of my telework eligibility	6
Please select the response below that BEST describes your current teleworking situation.	
I telework 3 or more days per week	<1
I telework 1 or 2 days per week	23
I telework, but no more than 1 or 2 days per month	29
I telework very infrequently, on an unscheduled or short-term basis	25
I do not telework because I have to be physically present on the job (e.g., Law Enforcement Officers, Park Rangers, Security Personnel)	2
I do not telework because I have technical issues (e.g., connectivity, inadequate equipment) that prevent me from teleworking	2
I do not telework because I did not receive approval to do so, even though I have the kind of job where I can telework	2
I do not telework because I choose not to telework	17
Do you participate in the following Work/Life programs? Alternative Work Schedules (AWS)	
Yes	52
No	45
Not Available to Me	3
Do you participate in the following Work/Life programs? Health and Wellness Programs (for example, exercise, medical screening, quit smoking programs)	
Yes	14
No	70
Not Available to Me	16



## Appendix B: Work/Life Programs (continued)

	2016 Percentages
Do you participate in the following Work/Life programs? Employee Assistance Program (EAP)	
Yes	10
No	87
Not Available to Me	3
Do you participate in the following Work/Life programs? Child Care Programs (for example, daycare, parenting classes, parenting support groups)	
Yes	1
No	72
Not Available to Me	27
Do you participate in the following Work/Life programs? Elder Care Programs (for example, support groups, speakers)	
Yes	3
No	78
Not Available to Me	18



## Appendix C: Demographic Results

Appendix C includes the demographic characteristics of your agency's survey respondents. The demographic results can be useful in planning, recruiting, and training activities in your agency.

	2016 Percentages
<b>Demographic Results</b>	
Where do you work?	
Headquarters	66
Field	34
What is your supervisory status?	
Non-Supervisor	67
Team Leader	6
Supervisor	18
Manager	5
Senior Leader	3
Are you:	
Male	57
Female	43
Are you Hispanic or Latino?	
Yes	6
No	94
Are you:	
American Indian or Alaska Native	<1
Asian	7
Black or African American	13
Native Hawaiian or Other Pacific Islander	<1
White	78
Two or more races (not Hispanic or Latino)	2

Note: Demographic results are unweighted.



## Appendix C: Demographic Results (continued)

	2016 Percentages
What is the highest level of education you have completed?	
Less than High School	0
High School Diploma/GED or equivalent	2
Trade or Technical Certificate	<1
Some College (no degree)	4
Associate's Degree (e.g., AA, AS)	1
Bachelor's Degree (e.g., BA, BS)	26
Master's Degree (e.g., MA, MS, MBA)	23
Doctoral/Professional Degree (e.g., Ph.D., MD, JD)	45
What is your pay category/grade?	
Federal Wage System	1
GS 1-6	<1
GS 7-12	5
GS 13-15	52
Senior Executive Service	3
Senior Level (SL) or Scientific or Professional (ST)	<1
Other	38
How long have you been with the Federal Government (excluding military service)?	
Less than 1 year	4
1 to 3 years	12
4 to 5 years	11
6 to 10 years	30
11 to 14 years	8
15 to 20 years	14
More than 20 years	21
How long have you been with your current agency (for example, Department of Justice, Environmental Protection Agency)?	
Less than 1 year	8
1 to 3 years	19
4 to 5 years	16
6 to 10 years	27
11 to 20 years	18
More than 20 years	12

Note: Demographic results are unweighted.



## Appendix C: Demographic Results (continued)

	2016 Percentages
Are you considering leaving your organization within the next year, and if so, why?	
No	67
Yes, to retire	2
Yes, to take another job within the Federal Government	17
Yes, to take another job outside the Federal Government	9
Yes, other	5
I am planning to retire:	
Within one year	2
Between one and three years	4
Between three and five years	6
Five or more years	89
Do you consider yourself to be one or more of the following?	
Heterosexual or Straight	77
Gay, Lesbian, Bisexual or Transgender	3
I Prefer Not to Say	20
What is your US military service status?	
No Prior Military Service	92
Currently in National Guard or Reserves	1
Retired	2
Separated or Discharged	6
Are you an individual with a disability?	
Yes	4
No	96
What is your age group?	
25 and under	0
26-29	2
30-39	31
40-49	30
50-59	26
60 or older	11

Note: Demographic results are unweighted.

United States  
Office of Personnel Management  
Planning and Policy Analysis

1900 E Street, NW  
Washington, DC 20415

[www.opm.gov/FEVS](http://www.opm.gov/FEVS)

