

**UPWARD MOBILITY PROGRAM
COHORT THREE – 2017
POSITION DESCRIPTIONS (BY DIVISION, OFFICE, OR REGIONAL LOCATION)**

Atlanta Regional Office

- Assist in providing technical guidance to ARO OCIE professional staff with respect to business systems and coordinating with the Branch of Administrative Services and ARO Information Technology staff on assigned projects. Acts as the project lead over moderate/large business system projects; develops and monitors project budgets and resources; and coordinates the use of project resources based on project requirements.
- Conduct data analysis and reviews. Extracts data from a variety of sources to include, but not limited to, reports, automated systems, and databases in preparing reports for use by management. Reach out to OCIE staff to gather and update data for management reports and meetings. As needed, independently gathers, researches, and analyzes the data for use for specific management functions. May also include formatting data, interpreting trends, and preparing recommendations for management.
- Provide administrative support for ARO senior officers. This includes performing routine administrative tasks such as answering phones, scheduling travel, organizing staff meetings, and managing respective calendars. Incumbent will also work with senior officers, as needed, to prepare weekly, monthly or ad hoc spreadsheets, presentations, and reports as needed using the web and various SEC resources to gather and organize data.
- Provide assistance or organize external events hosted by the ARO office to include the Southeast Securities Conference or OCIE outreach events. Coordinate with ARO Administrative Branch and Tech staff to ensure all technological, supplies, staffing and other resource needs are identified and requested for external events. Prepare surveys for these events, gather the results, and present findings to management. Prepare meeting materials for use at external events including agendas or handouts.
- Assist with and organize internal meetings and training sessions. Prepare meeting or training materials. Work with the OCIE training coordinator as needed. Proctor training sessions, administer sign-in sheets and distribute materials.

Fort Worth Regional Office

- Provide support in program areas such as coordinating FOIA requests and assisting with regional TCRs
- Provide paralegal and other additional administrative support
- Provide management of records
- Coordinate travel and process travel documents/vouchers

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Division of Trading & Markets

- Provide direct support and assistance to Offices within the Division of Trading and Markets, performing operational, technical, and administrative work.
- Develop and provide documents/data/information for responses, reports, briefings, and analysis for assigned program.
- Serves as an Alternate COR and GPC Account Manager for the Division; in addition, will assist with Records Management initiatives by collaborating with the Division's Record's Manager, researching records, collating information, determining disposition authority if information is appropriate for release, and providing assistance with records support as needed

Division of Investment Management

Assist with providing support to the Division's records management full lifecycle requirements. Including, for example, the following areas of assistance:

- Assist with the modernizing records management functions by managing the transition of divisional paper records to electronic records;
- Assist with creating and/or coordinating records management marketing and training materials for division staff;
- Assist with providing administrative records management support for the program's policies, processes and procedures as it relates to IM's offices' functionalities
- Assist with organizing records and information based on IM' offices' business flows and working file plans

Office of General Counsel

- Assist staff in the Office of the General Counsel by supporting administrative and management operations for the assigned program area;
- Process correspondence, compiling materials for meetings, and maintaining legal documents;
- Prepare pleadings, briefs, reports, memoranda, and other legal documents.
- Conduct research by accessing systems such as WESTLAW, LEXIS NEXIS, and various automated information systems maintained by the Commission.

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Office of Minority and Women Inclusion

- Partner with team members to develop and execute efficient solutions for conducting operational activities and assist with logistical coordination of OMWI's national diversity outreach and recruitment initiatives. This includes supporting the SEC's Intern Mentoring Program and Employee Affinity Groups.
- Draft and distribute OMWI outreach and recruitment materials promoting career and internship opportunities to advertising sources, organizations, and institutions targeted under Section 342 of the Dodd Frank Act.
- Develop and maintain spreadsheets, databases and other automated tracking tools to generate regular reports that document data and outcomes from position advertisement and outreach efforts.
- Leverage social media to share career and internship information with diverse candidate pools.
- Support budget execution activities by monitoring the office's travel budget and conducting procurement activities for the office as a Government Purchase Cardholder responsible for executing all purchases on behalf of the office and ensuring compliance with protocols set forth by the SEC's Office of Acquisitions and the General Services Administration.
- Act as a back-up point-of-contact for policy/procedural advice and assistance to staff on issues related to leave, time and attendance, training, travel, performance awards, and performance management plans.
- Communicate via phone, email or in person with both internal and external stakeholders, maintaining a high level of customer service and professionalism.
- Provide support on a broad range of special projects and/or assignments.

Office of the Investor Advocate

- Provide high quality executive support in a variety of administrative and logistical matters;
- Plan conferences, assists with timekeeping, records management, visitor management, travel authorizations and vouchers
- Provide procurement policy advice and support, including handling purchase card transactions and requisitions;
- Develop a variety of reports, maintains databases, and assure the delivery of timely and accurate program information;
- Display an up-to-date knowledge and understanding of the assigned specialized program, utilize technological advancement, and maintain productive work relationships with SEC other offices

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Office of the Chief Accountant

- Collect and analyze data, prepare, update, and monitor, and report on designated program operations;
- Provide procurement policy advice and support, including handling purchase card transactions and requisitions;
- Recommend adjustments to program operations to solve problems and to gain efficiencies in major core processes;
- Develop a variety of reports, maintains databases, and assure the delivery of timely and accurate program information;
- Display an up-to-date knowledge and understanding of the assigned specialized program, utilize technological advancement, and maintain productive work relationships with SEC other offices

Office of International Affairs

- Provide assistance to the OIA Enforcement Cooperation and Assistance group
- Collect and analyze data for quality; ensures accurate capture of information for designated program operations
- Recommend and implement adjustments to operations to solve problems and to gain efficiencies in core processes
- Develop a variety of reports, maintains databases, and assures the delivery of timely and accurate program information
- Display an up-to-date knowledge and understanding of the assigned specialized program, utilize technological advancement, and maintain productive work relationships with SEC other offices

Office of Credit Ratings

- Maintain the Managing Executive's new SharePoint intranet page with exposure to use and maintenance of a dashboard.
- Develop, consolidate, and/or prepare briefing papers, talking points and background materials.
- Prepare presentations using PowerPoint.
- Develop and formulate spreadsheets using Excel.
- Track data requests for the purposes of ensuring organization, schedule, completion, and close-out
- Enter monitoring and examination information in our repository and work flow systems.
- Draft procedural guidelines and memoranda in all functional areas.
- Assist with business management activities such as budget, procurement, timekeeping, travel, asset management, space management, records management, and other office support functions.

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Office of the Secretary

- Perform legal support assignments and handle routine administrative and legal matters and refer inquiries to appropriate personnel based on knowledge of programs and functions, assignments, internal procedures and relationships.
- Perform administrative duties, including data input, document review, records management, and/or document production.
- Compile and verify a variety of data, which may include statistical, financial, technical, or legal, needed for analysis and required reports.
- Provide support to agency meetings which may include, set up, monitoring of participants, preparation of meeting materials, and other support.
- Process and handle legal correspondence, including preparing and tracking correspondence in agency databases.

Office of Municipal Securities

- Perform administrative duties, including data input, document review, records management, meeting support, and/or document production.
- Provide SharePoint support by entering information into various logs.
- Provide support and triage incoming phone inquiries from market participants.
- Perform support assignments and handle routine administrative and legal matters and refer inquiries to appropriate personnel based on knowledge of programs and functions, assignments, internal procedures, and relationships.
- Assist with travel arrangements and voucher processing.

Office of the Ethics Counsel

- Provide support and assistance for Ethics programs and operations by performing operational, technical, and administrative work on OEC related information technology areas
- Ability to work closely with office staff, Office of Information Technology, and end users to maintain operations and resolve problems as they relate to system, hardware, and software utilized in OEC and across the SEC
- Serve in a developmental capacity performing assignments designed to provide day-to-day support for a SEC organization in the use of automated equipment and applications such as SharePoint
- Provide various customer service support including troubleshooting basic computer operating system setup and configuration; application software troubleshooting and support
- Assist IT Specialists with general IT needs in support of the office such as computer moves, packing equipment, installing workstation software, re-imaging computers, and wiping hard drives
- Maintain and update documents, records, instructions, and procedures to protect the integrity and confidentiality of systems, networks, and data for OEC

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