

AN OPEN LETTER FROM THE SEC'S CHIEF INFORMATION OFFICER

Dear Prospective Applicants:

The Office of Information Technology (OIT) is seeking to increase its overall effectiveness and capabilities by expanding its pool of talented information technology professionals. As technology plays an ever-increasing role in the mission of the Securities and Exchange Commission (SEC), OIT must provide the technical vision and possess the required skills and ability to lead the way. Our goal is to provide nothing short of the best technical solutions and services for all SEC offices and staff.

To keep pace with rapid technological advancements and a constantly changing securities industry, we are fundamentally changing the way we do business by restructuring our office and broadening our skill base. We are quite fortunate to have many talented staff who possess excellent skills and institutional knowledge. However, we also recognize the need for aggressive recruitment to obtain additional skills to support our new structure and mission.

Beginning in December 1997, a new organization will be staffed in several phases over a 12-15 month period. Under our new business model, OIT will:

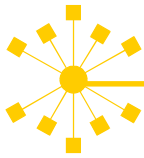
- focus its internal resources on core functions and strategic activities, such as technology architecture, project management, capital planning, technical engineering, security, contract oversight, and quality assurance;
- outsource most routine operational activities to the private sector;
- use matrixed teams to improve operational performance and provide flexibility to quickly respond to changing customer needs and workload; and
- empower staff to emphasize, more than ever, professionalism, initiative, teamwork, and improved customer service.

OIT is working on developing and implementing a relevant and responsive information technology architecture for the SEC, as well as using a capital planning process for all new major initiatives. Program offices sponsoring these new initiatives will work as partners with OIT project managers in the investment review and business process reengineering effort, and will be jointly responsible and accountable for continued project oversight.

We are recruiting individuals who may be interested in joining our team and becoming a part of this exciting venture. If you possess initiative, current IT expertise in one or more of the functions described in this brochure, and a commitment to continued professional growth, we would very much like to hear from you.

Sincerely,

Mike Bartell
Chief Information Officer



INTRODUCTION

This recruitment brochure is designed to assist you in considering the challenging and rewarding career opportunities available at the SEC in the information technology (IT) field. As OIT undergoes a major restructuring over the course of the next year, we plan to advertise a number of new positions through a preliminary outreach effort, followed by a formal application process.

The preliminary outreach effort is intended to identify a pool of highly qualified potential applicants for our new organization. While general discussions about the positions for which you qualify may be held, no selections can be made until:

- official job vacancy announcements are issued;
- candidates submit applications for specific positions; and
- formal competitive selection procedures are completed.

The tentative schedule for the receipt of preliminary resumes and for the official job announcement/selection process for groups of positions can be found in the Projected Hiring Phases chart on page 24.

If you are interested in exploring the types of positions outlined in this brochure, please send a preliminary resume, along with the interest survey on page 27, to:

**Recruitment Coordinator
Office of Information Technology
Securities and Exchange Commission
Operations Center
6432 General Green Way, Room 2100
Alexandria, VA 22312**

Alternatively, you may send your preliminary resume by e-mail to:

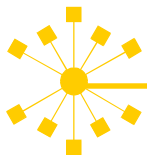
OIT@sec.gov

(Your message should include the requested information from the interest survey.)

For information about...

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THE SEC: COMMITTED TO EXCELLENCE

The SEC is a law enforcement and regulatory agency. Our dynamic work force of more than 2,700 talented and committed individuals is dedicated to administering and enforcing the federal securities laws designed to protect investors and preserve the integrity of the nation's securities markets.

Created in 1934, the SEC is headed by a five-member Commission whose members are appointed to five-year terms by the President with the advice and consent of the Senate. Although a small agency by government standards the SEC's impact is large, and its activities and accomplishments reflect a long tradition of responsibility and high achievement.

Pick up the business section of the newspaper on any day and you will see numerous matters in which the SEC is heavily involved. The SEC regulates securities markets, stock brokers, investment companies, and investment advisers and oversees the activities of various self-regulatory organizations, such as the New York and American Stock Exchanges and the National Association of Securities Dealers.

Over the last ten years, the SEC has seen tremendous growth in the securities

industry. The Dow Jones Industrial Average and the total number of shares traded daily have soared. Members of the public now have more money invested in mutual funds than deposited in banks. New services and products continue to be developed. Derivatives, municipal securities, and pension and mutual funds all play a major part in our ever-changing regulatory role. Technological advances have made it possible to execute trades in volumes unheard of a decade ago.

And the SEC's horizons are expanding. The agency is working with multilateral organizations to promote international cooperation and assistance and to encourage the growth of sound, fair securities markets. In addition, we provide technical support and broad-based training programs to assist developing markets around the world.

The SEC headquarters is co-located in Washington, D.C. and in nearby Alexandria, Virginia (Operations Center and Annex). The SEC also has 11 field offices located in major metropolitan areas around the country. Most of the OIT staff and the primary data center are located at the Operations Center.

The three primary goals of the SEC are to:

- ***protect investors;***
- ***maintain fair, honest, and efficient securities markets; and***
- ***facilitate capital formation***

TECHNOLOGY PLAYS AN INTEGRAL ROLE IN MEETING THE SEC MISSION.

The role the SEC plays in an ever-changing securities market becomes more critical as technological advances provide greater access to markets and more rapid dissemination of information to investors. These changes present important opportunities as well as significant challenges for the SEC's Office of Information Technology.

The SEC maintains nearly 100 production application systems to support the agency's mission and operations, with more than half considered mission-critical. A large portion of the information maintained by the SEC is filed by entities dealing in securities and is required by federal laws or Commission regulations. This registration and filing information forms the foundation of the SEC's database architecture. Much of the data is reviewed and analyzed by agency staff, as well as disseminated to the public as part of the SEC's disclosure activities.

One of the SEC's most visible applications is the Electronic Data Gathering, Analysis, and Retrieval (EDGAR) system, which allows companies and other filers to submit securities registration statements and periodic reports electronically, rather than in paper. Between 12 and 16 million pages are received from over 28,000 registered entities and individual filers each year. EDGAR makes this information available within minutes.

The SEC maintains one of the most frequently accessed government websites, averaging over 500,000 connections a day. Our public website (<http://www.sec.gov>) provides basic access to the EDGAR database of electronic filings on a 24-hour delayed basis, as well as access to Commission litigation releases, news digests, press releases, rulemaking initiatives, and a wide variety of other information of interest to the investing public.

Less visible, but equally significant, are the many tools and systems that allow agency staff to conduct complex trend analyses, market studies, and investigations. To assist staff in monitoring the securities markets, enormous volumes of data pass through agency systems on a daily basis. OIT is responsible for designing and maintaining a communications infrastructure to support the transfer of data and for developing the tools and systems to collect, analyze, and maintain

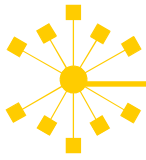
the information.

SEC staff also utilize a variety of tracking systems to record and act on investor complaints, to conduct examinations of registered entities and record findings, and to compile information on investigations and litigation.

From tracking systems to analytical tools to complex systems that support administrative operations, the SEC's Office of Information Technology provides an important foundation of resources for the agency to use in fulfilling its mission.

"As the Internet and high speed telecommunications become essential business tools, investors throughout the world are gaining greater access to markets and instantaneous trading information — in ways that were unimaginable a decade ago."

*Arthur Levitt
Chairman*



OIT MISSION AND FUNCTIONS

OIT is responsible for planning, organizing, and implementing an integrated program designed to support the SEC in all aspects of information technology. Under its new business model much of OIT's work will be accomplished through participation in technical work groups, task forces, and project planning/management teams. The primary functions proposed for the new organization are described in the following pages.

TECHNOLOGY SERVICES

OIT provides day-to-day support functions for SEC systems through a technical user liaison program to assist offices in making maximum use of technology investments, and a nationwide helpdesk providing on-site support for all hardware, software, and the data communications network. Other means of providing user support include training programs for supported applications and an information/demonstration center.

PLANNING AND PROJECT MANAGEMENT

In close cooperation with program office staff, OIT manages its information technology resources through a capital planning process that establishes project priorities and helps shape the annual business plan and operating budget. The process emphasizes life-cycle costing of projects, conducting cost/benefit analyses, and assessing potential return on investment. Program offices act as sponsors for projects undertaken by OIT, providing leadership and continuity to ensure the resulting system adequately

addresses their needs. OIT, in turn, provides project management support through a matrixed team of IT staff.

OIT develops policies governing the use and protection of SEC information technology resources, consistent with federal laws and regulations and recommended industry standards. It also conducts internal audits to evaluate adherence to its policies and the effectiveness of operating procedures and practices.

APPLICATIONS AND SOFTWARE MANAGEMENT

While major system development activities are frequently outsourced, OIT is responsible for ensuring systems are properly designed and developed in accordance with its system development life cycle methodology and application architecture. OIT serves as the quality control point by testing and certifying each application prior to implementation. The application certification process ensures that: the technical and functional requirements have been met, the system provides optimum performance, and the system can be integrated into the SEC's application environment.

OIT provides ongoing support and maintenance for SEC applications and maintains a documentation library for its systems. The office also promotes the use of tools that empower our professional staff to simply and effectively access and manipulate the SEC's many database resources.

CENTRAL SYSTEMS

OIT maintains a central data center, provides centralized data and database administration services, and maintains an enterprise data architecture. It reviews IT initiatives to determine the impact on OIT central systems and to ensure that technologies are integrated within the framework of SEC information systems, policies, and procedures.

OIT manages the migration of new applications and system updates into the production environment through its production control and change/configuration management activities. The office also conducts disaster recovery planning and regular testing of plans to ensure that critical SEC systems are not interrupted.

TECHNICAL ARCHITECTURE

OIT evaluates and recommends products for use in the agency's operating environment. It also designs, documents, and maintains the information technology architecture.

OIT monitors industry trends to ensure that the SEC's technical infrastructure promotes industry standards, is based on open systems design, and is responsive to agency needs. The office operates a technology review/test laboratory and certifies new products and associated documentation prior to release to users. OIT also conducts research, prepares technical papers outlining potential impacts on its operational environment, and recommends appropriate solutions and alternatives.

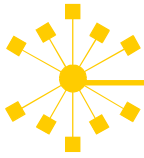
SECURITY

OIT has security oversight responsibility for the SEC's Internet/Intranet systems, government-owned-contractor-operated systems, application servers, file servers, local and wide area networks, and all infrastructure devices. OIT manages all system access controls, including password administration and modem and analog line requests, and maintains an access control database so that all authorized system users can be readily identified and access rights tracked.

The office prepares IT security policies and procedures and conducts a security awareness program. The office conducts regular IT security audits, documenting findings so that areas of concern can be identified and addressed.

NETWORK ENGINEERING

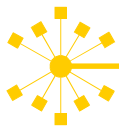
OIT is responsible for the overall design and ongoing oversight of the SEC's local and wide area network and data communications services, including standards management, acquisition, configuration management, and risk management. The office provides expert network engineering services in planning for network capacity, incorporating both data and application plans, and prepares and maintains detailed network diagrams and operating procedures to monitor and manage the network.



NEW JOB OPPORTUNITIES

The following types of job opportunities are expected to become available during the next year, according to the Projected Hiring Phases chart on page 24. Please note that all positions are located in the Washington, D.C. metropolitan area and that U.S. citizenship is required for employment in the competitive Civil Service.

Salary ranges are based on 1997 pay scales (projected to increase by 2.45% in 1998) and show the range from the minimum of the lowest grade to the maximum of the highest grade at which a position of that type is likely to be announced. See page 21 for the salary ranges for each grade.



Management Opportunities

Assistant Directors and Group Managers GS 14/15 - Salary Range: \$64,555 to \$98,714

Assistant Directors and Group Managers must possess current IT expertise in their area of specialization as well as requisite management knowledge and skills in the areas of personnel management, project management, procurement and acquisition, budget development and management, strategic and operational planning, contractor oversight, policy development and implementation, and general office administration. In addition, Assistant Directors and Group Managers must have the ability to think strategically, set priorities to focus staff on accomplishing the mission of the office, build and lead empowered and motivated teams, and facilitate staff working independently by delegating tasks and authority while maintaining effective communication at all levels.

Areas of managerial responsibilities include:

Technology Services: Directing all user support services provided through a number of service delivery points including: (1) a nationwide helpdesk that provides telephone and on-site support services for standard agency hardware, software, and the data communications network; (2) a technical user liaisons program that assists offices in making maximum use of technology investments; (3) an office/staff training program offering courses and materials for agency specific applications; and (4) an information/demonstration center.

Planning and Project Management: Developing multi-year strategic plans, annual business plans, and annual operating budgets. Directing a capital planning process for evaluating projects, establishing priorities, and allocating staff and budget resources. Managing the development, implementation, and maintenance of policies governing the use and protection of Commission information technology resources consistent with federal laws and regulations and recommended industry standards. Guiding matrixed project management teams comprised of staff from various offices within and external to OIT.

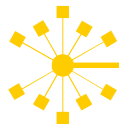
Applications and Software Management, and Application Support and Integration: Directing the development, integration and maintenance of all major application system initiatives. Managing the systems development life cycle methodology, testing and certification of new applications, overseeing compliance with the applications architecture, and adherence to the overall IT architecture and standards.

Central Systems: Managing a centralized data center including mainframe and enterprise application systems, mid-range systems, centralized servers, and data and database administration services. Maintaining an enterprise data architecture and performing database administration services for all SEC systems, and managing the disaster/recovery planning effort to ensure critical SEC systems remain uninterrupted. Reviewing and analyzing internal and external IT initiatives to determine the impact on central systems, and overseeing the integration of available technologies within the framework of the SEC information systems, policies, and procedures.

Technical Architecture: Designing, documenting, and overseeing the SEC's information technology architecture in support of the SEC's mission needs. Assessing SEC technology needs and monitoring industry trends to ensure the Commission maintains a responsible technology architecture that promotes industry standards, reflects open systems design, considers life-cycle costs, and provides flexibility and scalability. Managing technology review activities including a test laboratory and establishing a process for certifying new products prior to introduction into the agency.

Security: Directing the development of security policies and the preparation of security procedures covering all areas of the IT architecture. Monitoring systems and networks to ensure they are as secure as possible including conducting internal audits on Internet/Intranet systems, government-owned-contractor-operated systems, application servers, file servers, local and wide area networks, and all infrastructure devices.

Network Engineering: Overseeing the agency's local and wide area network and data communications services, planning for future network capacity, and directing engineering activities to enhance or redesign the existing network.



Supervisory Opportunities

Branch Chiefs GS 14 - Salary Range: \$64,555 - \$83,922

In addition to current IT functional expertise, Branch Chiefs must possess requisite skills or demonstrated potential in the areas of personnel management, budget development and oversight, procurement and acquisition, planning and project management, contractor oversight, general office administration, and the development of and adherence to federal, Commission, and OIT standards, procedures, and policies. Branch Chiefs also must have vision and team commitment and possess the ability to build and lead empowered and motivated teams, delegate tasks and authority while maintaining control, communicate effectively at all levels, manage time effectively, and be a skilled and effective leader.

Areas of supervisory responsibilities include:

Technical Assistance Center (TAC): Managing a nationwide helpdesk and on-site technical support for the day-to-day support and administration of the SEC technical infrastructure. Operating and maintaining the OIT problem call tracking system and monitoring the effectiveness of service levels on problem calls through the use and analysis of call metrics. Overseeing the maintenance of an up-to-date inventory of all deployed software and equipment, software license database, spare parts inventory, and maintenance history log for all Commission equipment support by TAC.

Technology Training: Overseeing a wide range of training and educational programs for agency staff. Directing the design and implementation of training programs for OIT applications, services, and products through the use of contractor-provided and in-house developed education, classroom instruction, in-office coaching, computer-based instruction, and an information/demonstration center. Managing the development of end-user technical publications, user guides and help aids, and a newsletter program to keep SEC staff informed on OIT's products and services.

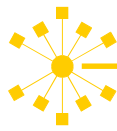
Planning and Policy Management: Managing the Commission's Information Resource Management program including the development of a long-range IT strategic plan and an annual business plan. Overseeing responses to Inspector General (IG) audit report findings, Freedom of Information Act (FOIA) requests, and Paperwork Reduction Act (PRA) actions. Establishing and monitoring information collection, processing, storage, and transmittal practices to emphasize proper utilization and management of OIT and agency resources and to comply with federal statutes and associated policies, regulations, and directives.

Finance and Administration: Managing the preparation of OIT's annual operating budget and monitoring expenditures to ensure budgetary compliance. Establishing financial management services to support the Commission's capital planning process. Directing the internal purchasing and acquisition process and overseeing compliance with all federal procurement regulations. Directing secretarial and administrative support for OIT offices.

Computer Operations: Overseeing the operational management of the central SEC data center, including facilities management, disaster/recovery planning, and backup facility management. Directing capacity planning, production control and change/configuration management activities. Managing hardware and software support, system controls for the operating environment, and the maintenance of floor diagrams documenting all environmental and equipment interfaces.

Database and Data Administration: Managing centralized data and database administration services and an enterprise data architecture. Overseeing the development and maintenance of a current database design, rules governing database development and population, and the associated access procedures.

Systems Software: Managing all central systems including mainframe systems, backup/recovery system resources, all enterprise application and file servers, enterprise storage systems, and central print facilities. Directing research and analysis to develop recommendations on the utilization of new and advanced systems software.



Technical Opportunities

Project Management

Project Managers and Project Analysts GS 11-15 - Salary Range
\$38,330 - \$98,714

Plan and manage information technology projects that enable SEC offices and staff to support and fulfill the agency's mission. Assemble SEC staff and contract resources to work in a matrix team environment and gather requirements, assess alternatives, design systems, and implement hardware and software solutions. Work closely with program office sponsors in preparing and presenting project requests as part of a structured capital planning approach. Utilize business process reengineering techniques and tools to streamline existing operations and maximize the effectiveness of proposed systems. Use automated tools to prepare comprehensive project plans identifying internal and external resource requirements, schedules and budgets. Develop strategies for acquiring contract support services, and perform contract oversight to ensure terms and conditions are accurately interpreted and fulfilled. Monitor and measure ongoing project progress against schedules and budgets, and regularly brief OIT and program office management on project status. Prepare and implement appropriate risk management plans. Implement project planning and management practices that reflect requirements identified in federal laws, Executive Orders, Office of Management and Budget (OMB) circulars, memos, and directives, and SEC policies. Effectively manage projects to deliver intended products and services on schedule and within budget.

Project managers lead major, often multi-year, projects working with staff assembled across OIT organizational lines and offices throughout the agency. They also may be responsible for leading multiple projects at one time depending upon the needs of the agency. Project Analysts lead projects that are narrower in scope and provide support to project managers in monitoring the progress of OIT projects.

Acquisition Managers and Specialists GS 11-14 - Salary Range
\$38,330 - \$83,922

Implement a structured contract management program consistent with federal laws and regulations. Assist project management staff in identifying the full range of contract strategies for outsourcing IT-related services and support, and assess the advantages and disadvantages of the various approaches within the context of the project. Refine and finalize procurement notices and solicitations prepared by staff providing the subject matter expertise. Advise OIT staff on the availability of existing SEC and government-wide contracting vehicles. Assist in the preparation of strategies used for the evaluation of proposals and selection of vendors, and participate in such teams as appropriate. Advise and assist staff in the oversight of contracts during both the system development and operational stages. Provide assistance with contract modifications, performance issues, and contract close-outs. Conduct internal reviews of contracts to ensure that contract oversight staff adhere to effective management and cost controls.

Planning and Policy

Strategic and Business Planners GS 14 - Salary Range \$64,555 - \$83,922

Develop a multi-year strategic plan and annual operating business plans that integrate OIT's technical direction with the agency's mission objectives. Work with key SEC and OIT officials to develop plans that are consistent with the outcome-based focus required by the Government Performance and Results Act (GPRA) and the Clinger-Cohen Act (ITMRA). Establish a structure that involves stakeholders and incorporates the capital planning process into the development of plans. Establish systems to align activities, core processes, and resources to accomplish the plans. Serve as a resource and advisor to top management in developing strategies which focus on achieving results through IT investments. Develop processes to facilitate the use of measures and work with budget and financial personnel to develop links between funding levels and anticipated results. Participate in the project management, budget analysis, and program planning process. Monitor, validate, and revise plans as appropriate. Serve as OIT's resource and expert on performance plans, goals and performance indicators, and the federal laws, Executive Orders, and OMB requirements affecting IT planning and management. Forecast future trends in the securities and IT industries and incorporate these trends into the strategic plan.

Financial Analysts GS 14 - Salary Range \$64,555 - \$83,922

Work closely with project management office staff in developing analyses to evaluate feasibility of proposed initiatives. Establish a process to assist staff in collecting the necessary information to implement a capital planning process including performing cost-benefit analyses, return on investment calculations, and determining full life-cycle costs. Perform evaluations of existing procedures, processes, techniques, models and/or systems related to management problems or contractual issues which could be performed more efficiently and make recommendations to management. Prepare charts, tables, graphs, and diagrams to assist in analyzing problems and proposed initiatives. Provide assistance to staff in monitoring and analyzing the progress of projects against budget and resource estimates including contractor performance.

Program Analysts GS 11/12/13 - Salary Range \$38,330 - \$71,017

Analyze new and existing projects, strategic and business plans and determine the need for a formal program and policies to support such initiatives. Work with staff across OIT and SEC organizational lines to develop IT-related policies and guidelines. Serve as the authority in evaluating information technology policies and procedures, both SEC-wide and those internal to OIT, and their compliance with federal regulations, statutes, and directives covering information collection, storage, and processing. Serve as the OIT liaison to the Inspector General and General Accounting Office (GAO). Coordinate with OIT offices and develop responses to IG and GAO audits, inquiries, and study findings. Perform follow up review to ensure recommendations are being implemented. Prepare materials in compliance

with PRA and FOIA requirements. Monitor and manage correspondence with OMB and other organizations, track compliance with deadlines, and maintain a schedule for future reporting activity. Conduct internal audits of OIT management controls, develop findings, and make recommendations to improve compliance. Monitor industry and legislative activities that impact IT and prepare briefings for OIT management and staff.

Application Development

Systems Analysts GS 11-14 - Salary Range \$38,300 - \$83,922

The SEC's application and database infrastructure includes Sybase, Verity, PowerBuilder, Internet/WEB tools and numerous legacy tools. Systems analysts work in a variety of functional areas within OIT. Senior systems analysts serve as team leaders directing and monitoring the work of application development team members and overseeing the activities of contract support staff.

Work closely in a matrixed environment with program office sponsors, OIT project managers, user liaisons, and contractor staff. Conduct most application development activities through the use of specialized development teams organized around programmatic operations (registrations and filings, litigation tracking, regulatory and market analysis, administrative operations, etc.). Design and implement applications within a structured systems development life-cycle methodology. Conduct requirements analyses, business process reengineering studies, and draft technical portions of the statement of work for contracted support. Develop application-related project plans, monitor progress against the plan, evaluate contractor performance, and work with the project manager to make adjustments as necessary to keep the effort on schedule and within budget. Plan and conduct pilot deployments and document results. Make recommendations to correct problems or refine the product prior to deployment. Prepare test plans to certify applications and work with other OIT staff to ensure the applications perform in the agency's operating environment.

Migrate legacy systems to client/server by front-ending, surrounding, re-hosting and rightsizing. Manage client/server application development projects that apply rapid prototyping techniques, feature catalog and full-text search capabilities, utilize Internet and Intranet technologies, and employ object oriented analysis and design methods. Develop common user interface standards and conventions for use across all OIT developed applications. Integrate client/server products from different vendors to achieve interoperability and design systems to operate effectively over the SEC's local and wide-area network. Assist in the framing of OIT's applications architecture and prototype changes to the model. Research and evaluate new development tools and integrate products into the development environment.

Software Test and Quality Engineers GS 11-13 - Salary Range \$38,330 - \$71,017

Develop quality assurance plans for projects ranging in size and scope. Develop formalized test plans to ensure quality standards and specifications are met. Coordinate and oversee the certification process and analyze and document results. Review all application designs prior to development and at each major phase of development. Apply appropriate testing procedures to ensure applications perform as intended and do not adversely affect the operating environment. Evaluate development practices and processes, establish and monitor standards, and make recommendations to achieve quality products and services. Select software tools to support quality assurance planning and integrate testing into the development and maintenance life-cycles.

Security

Internet/Intranet Engineers GS 14 - Salary Range \$64,555 - \$83,922

Manage the additional risks introduced to the agency through its use of the Internet. Analyze the agency's Internet/Intranet applications, website, and firewalls to identify potential exposure to security threats from outside and inside the organization. Evaluate tools and techniques for performing security audits. Conduct audits, document results, and make recommendations to management to minimize the risk to agency data and resources. Serve as resource to OIT staff on security procedures, firewalls, data encryption and decryption, and other security measures. Participate in the testing and certification of applications and security systems to ensure adequate security measures have been appropriately incorporated into the system design prior to deployment. Provide input on a detailed Internet/Intranet security policy to protect the agency's systems and data. Prepare IT security-related materials for SEC staff, including security alerts, and conduct security awareness training.

Operational Security Specialists GS 11/12/13 - Salary Range \$38,330 - \$71,017

Design, implement, and monitor security policies and procedures for an enterprise network including government-owned-contractor-operated systems, application servers, file servers, local and wide area networks, and all infrastructure devices. Use security tools and utilities to provide effective access controls, assess vulnerabilities, and detect configurations that threaten security. Maintain a database of all access points to the SEC network, including access controls and the responsible individuals for each entry point. Conduct operational security audits on a regular basis and document findings. Conduct follow-up reviews and take corrective action as appropriate. Serve as a resource to staff on operational security issues and technologies. Participate in the testing and certification of applications and security systems to ensure that adequate security measures have been appropriately incorporated into the system design prior to deployment.

Access Control Administrators GS 9/11/12 - Salary Range \$31,680 - \$59,725

Maintain access control for UNIX and NT servers and MVS systems. Conduct all password administration activities, and review and authorize all modem and analog line requests. Use security utilities to perform system monitoring; track, verify and authenticate users; conduct audit logging; and manage proxy applications. Develop and monitor enterprise-wide system access control procedures to prevent unauthorized access and to determine if policies and procedures are adhered to and effectively implemented. Provide input on an access control policy to protect the agency's systems and data. Prepare IT security-related materials for SEC staff and conduct security awareness training.

Database Design

Database Designers GS 11-14 - Salary Range \$38,330 - \$83,922

Maintain an enterprise data architecture and manage centralized data and database services. Develop and maintain database design standards and access procedures, and manage database performance. Analyze information processing needs of the agency, relationships and commonality in the data required, and identify available sources of data. Provide expertise in the use of Data Base Management Systems (DBMS) concepts. Manage or develop database projects involving legacy ADABAS and/or Sybase relational database tools.

Work with a relational database in a client/server environment. Develop a model to describe applications data, and design a relational database using data modeling and normalization. Identify and translate requirements into a data warehousing design and implement data warehousing structures. Define file organization, indexing methods, and security procedures for applications. Employ on-line analytical processing tools and other enabling technologies to enhance application performance. Develop and maintain stored procedures and GUI interfaces. Establish a structure to manage user privileges and resources, maintain database security, and preserve data integrity. Identify storage requirements and implement backup and restore procedures.

Technology Architecture, Design and Engineering

Computer Scientists GS 14 - Salary Range \$64,555 - \$83,922

Provide expert knowledge of all aspects of current data processing technologies and trends. Conduct in-depth research and prepare detailed technical position papers assessing options and potential technological impacts on agency's architecture and strategic direction. Make recommendations to CIO and other OIT officials on appropriate solutions and alternatives.

Work closely with other OIT offices to assess and prototype new technologies being considered for the agency's infrastructure and operating environment. Develop infrastructure designs that promote industry standards, reflect open systems design, consider life-cycle costs and provide flexibility and scalability. Serve as a technical subject matter expert in developing statements of work and direct contractors on selected technical issues.

Network Designers/Engineers GS 11-14 - Salary Range \$38,330 - \$83,922

Design, implement, and oversee management of the SEC's enterprise local and wide area networks and data communication services. Use open specifications and systems to implement multi-vendor/multi-platform networks for microcomputers, minicomputers, and mainframes in central and remote locations. Implement client-server secure remote access, and Internet technologies to provide seamless integrated access over the network.

Analyze network characteristics and make recommendations to revise or enhance the operating environment. Prototype and test changes to the network and document configuration installation and maintenance procedures prior to cutover. Maintain network security through careful design, ongoing network auditing and constant oversight of key components. Document and maintain network topology and configuration designs. Establish and maintain operational procedures for installations, transitions, and cutovers. Assist operational staff and contractors if critical problems arise or as new technologies are introduced into the operating environment.

Network Operating Systems Specialists GS 11/12/13 - Salary Range \$38,330 - \$71,017

Plan and manage the design and implementation of the agency's enterprise network operating system. Conduct needs analyses and capacity planning studies to develop and maintain a long-term network migration strategy. Perform integration testing and certification of all new workstation and server operating systems and upgrades prior to deployment. Work collaboratively with other staff to operate a technology review/test lab for testing and certifying software and hardware prior to use in the Commission's operating environment. Develop test plans, document test results, and prepare configuration and installation guidelines.

Work closely with other OIT offices to define the agency's architecture and to assess new technologies considered for use in the agency's infrastructure and operating environment. Conduct research and prepare technical papers analyzing new products or technologies and make recommendations to OIT management. Review and recommend infrastructure components and their associated replacement or upgrade schedule. Serve as a technical subject matter expert in developing statements of work associated with the review and selection of new systems and components.

PC/Software Test Engineers GS 11/12/13 - Salary Range \$38,330 - \$71,017

Test and certify customized applications, commercial software products, and embedded applications for integration into the agency's operating environment. Utilize current techniques and tools to establish and maintain the integrity of software code and documentation. Identify and implement Configuration Management (CM) activities and determine the appropriate level of CM for specific types of software work products. Use automated tools to support CM activities and define the scope and content of a CM plan.

Work collaboratively with other staff to operate a technology review/test lab for testing and certifying software and hardware prior to use in the SEC's operating environment. Develop test plans, document test results, and prepare configuration and installation guidelines and refine as necessary.

Work closely with other OIT offices to define the agency's architecture and to assess new technologies considered for use in the agency's infrastructure and operating environment. Conduct research and prepare technical papers analyzing new products or technologies and make recommendations to OIT management. Review and recommend infrastructure components and their associated replacement or upgrade schedule. Serve as a technical subject matter expert in developing statements of work associated with the review and selection of new systems and components.

Customer Support

User Liaisons GS 11/12/13 - Salary Range \$38,330 - \$71,017

Act as a technical liaison between OIT and the agency's program offices. Communicate OIT's strategic direction, business plan, and operating procedures to program office ADP liaisons and key officials. Work with offices to develop automation plans and utilize business process reengineering techniques to make maximum use of IT investments. Prepare product overviews and OIT services guides for distribution to agency staff and assist customers with questions regarding the installation, usage, or functionality of OIT's products. Manage the product ordering process and ensure distribution is within approved inventory levels for the program office.

Initiate the capital planning process for application development requests or activities requiring a significant amount of OIT resources. Analyze preliminary program office and customer needs to determine functional requirements and technical options. Work closely with project management and application development staff in developing user requirements. Assist in storyboarding and testing the application. Provide support to OIT project management staff on the development of installation and deployment schedules. Lead the deployment activities for assigned offices.

Establish service level agreements and monitor customer satisfaction levels. Assemble OIT staff necessary to resolve chronic or persistent problems or trouble calls that remain open beyond acceptable time periods. Conduct new employee orientation sessions in conjunction with the personnel office. Help identify the training needs of assigned offices. Provide written and oral status reports.

Instructors GS 11/12/13 - Salary Range \$38,330 - \$71,017

Develop, conduct, and revise training courses and materials for in-house developed applications. Develop a full complement of formal classroom courses, workshops, and seminars, and prepare training announcements describing courses and assistance available to agency staff. Develop all instructor and student materials including course manuals, workbooks, and handouts. Conduct one-on-one training and/or “coaching” for program office staff. Serve as subject matter expert when statements of work are developed for vendor-developed training or products. Facilitate and oversee instruction provided by OIT contractors. Prepare performance metrics on OIT training activities, class evaluations, and course completion exams. Work with ADP liaisons to determine an office’s training needs for in-house applications and with the agency’s training office on SEC-wide IT training needs. Provide assistance with the final testing of applications and the training materials to be used in application pilots and full deployment. Provide telephone assistance for in-house applications as needed.

Contract Administrators GS 9/11/12 - Salary Range \$31,680 - \$59,725

Direct components of a nationwide helpdesk and on-site technical support contract. Prepare, process, and track contract documents (task orders, modifications, and invoices). Oversee the vendor’s daily performance of maintenance activities and compliance with service level agreements for problem analysis and resolution. Analyze call metrics and make recommendations to improve performance, maximize efficiency, or reduce costs. Develop and maintain a supported products list and spare parts inventory database. Monitor vendor scheduling and performance of installs/upgrades. Monitor OIT and contractor activities to ensure compliance with the terms and conditions of the contract and with government procurement rules, regulations, policies, and practices.

Operations

Change Control Specialists GS 11/12/13 - Salary Range \$38,330 - \$71,017

Manage the production control and change/configuration activities for migrating application systems or maintenance updates from test into production. Document and approve changes to the infrastructure and maintain a master OIT change control log to profile the current infrastructure. Act as the control point for all system hardware and software changes and maintain quality assurance and quality control for version control logs.

Disaster Recovery Analysts GS 11/12/13 - Salary Range \$38,330 - \$71,017

Develop and maintain contingency plans for central systems. Monitor, test, and maintain up-to-date plans, procedures, and contact lists, and act as team leader in the event of a disaster. Conduct ongoing OIT disaster/recovery planning, including oversight and consistency of backup facility resources, and conduct regular tests to ensure critical SEC systems are not placed at risk. Identify real and potential risks to the continuity of operations and make recommendations to management on ways to minimize risk. Deal directly with contractors providing daily operational support.

Operations Specialists GS 9/11/12 - Salary Range \$31,680 - \$59,725

Manage and monitor the agency's computer operating environment. Oversee all hardware and software support and provide facilities management oversight of the data center. Maintain a floor diagram which documents all environmental and equipment interfaces and associated configurations. Monitor system controls to ensure efficient operating conditions. Develop and maintain an equipment schematic. Serve as the control point for moving or replacing equipment and monitoring floor power distribution. Oversee all enterprise application servers, central file servers, LAN facilities, and high speed print facilities. Handle all batch and on-line processing duties and plans for capacity and system changes in support of daily and cyclical processing needs.

Systems

UNIX/NT Systems Specialists GS 11-14 - Salary Range \$38,330 - \$83,922

Install and fully configure UNIX and NT systems using Solaris and NT operating system facilities, create and maintain file structures, install standard and third party software, manage and provide local system resources, create system backups, and provide system security. Configure servers in a TCP/IP environment, implement logical volumes and disk mirroring for large-scale applications, centralize and distribute resources among appropriate servers, and monitor and optimize servers and network performance using system tools. Build shell scripts to automate routine tasks; augment and extend standard utilities using third party software to write client/server and network programs for UNIX and NT; utilize concurrency in applications via threads; initiate, control and communicate between UNIX processes; and use configuration and version control tools to maintain large software projects and to write portable open applications. Perform maintenance and resolve problems on systems software. Conduct research and prepare technical papers analyzing new products or technologies and make recommendations to OIT management.

Systems Programmers GS 11/12/13 - Salary Range \$38,330 - \$71,017

Develop, test, implement, and maintain master and/or general use routines or programs in an MVS, TSO, and CICS environment. Analyze and design software systems using systematic techniques for analyzing requirements and creating data models. Apply structured analysis and design techniques to produce process models of the software system and problem-solving approaches that produce quality testable designs. Compare and recommend a range of tools for business analysis, software modeling, and coding. Determine the most effective testing strategy for projects of varying complexity and size, prepare test plans, and integrate testing into the development and maintenance life-cycle for systems software.

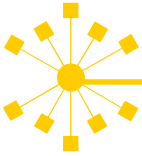
Data Storage Analysts GS 11/12/13 - Salary Range \$38,330 - \$71,017

Analyze current and future needs for enterprise disk and tape storage, including both LAN and mainframe-based needs. Make recommendations for managing central services storage requirements to include the archiving of old data, acquiring new products, and improving the use of existing resources to increase efficiency. Establish migration plans for archiving old data in compliance with record retention requirements for agency data and preserve data in a format that is available to users. Manage system resources to effectively meet changing needs. Produce metrics on system usage.

Data Communications Technicians GS 11/12/13 - Salary Range \$38,330 - \$71,017

Evaluate and implement communications technologies to support central operations; analyze protocols and impacts on systems performance; and organize LAN infrastructure to meet changing central systems demand. Install, configure and monitor data communications technologies and network components that support central operations. Prepare and monitor installation guidelines, operating procedures, and maintenance activities for the agency's current and planned data communication systems. Participate in systems analyses and feasibility studies on the communications infrastructure. Develop and test prototype configurations and communication interfaces.

Work closely with other OIT staff to test and certify software and hardware prior to use in the SEC's operating environment. Develop test plans, document test results, and prepare configuration and installation guidelines. Collaborate with other OIT offices to define the agency's architecture and to assess new technologies. Conduct research and prepare technical papers analyzing new products or technologies and make recommendations to OIT management. Review and recommend infrastructure components and their associated replacement or upgrade schedule. Serve as a technical subject matter expert in developing statements of work associated with the review and selection of new systems and components.



COMPENSATION AND BENEFITS

General scale salaries are set by the Congress and the President. The 1997 salary scales for the Washington, D.C. area, projected to increase by 2.45% in 1998, are:

GS 9:	\$31,680 - \$41,185
GS 11:	\$38,330 - \$49,831
GS 12:	\$45,939 - \$59,725
GS 13:	\$54,629 - \$71,017
GS 14:	\$64,555 - \$83,922
GS 15:	\$75,935 - \$98,714

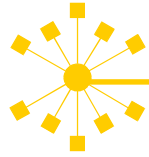
Under certain circumstances, starting salaries may be higher than the minimum level of the grade, such as when based on previous salary history and/or superior qualifications. In addition, selected candidates for critical or hard-to-fill positions may be eligible to receive a one-time recruitment bonus or certain relocation expenses if moving from another geographic area.

There are opportunities for advancement and rapid salary increases if you are hired into a career ladder position which allows for non-competitive promotion to a certain grade level, as outlined in the job announcement. Depending on performance, managers may recommend an employee for career ladder promotion anytime after one year of service. In addition, with one year of service at the grade, you can compete for jobs posted at the next higher grade. Newly appointed employees are required to serve a one-year probationary period. Anyone serving in a Federal Government supervisory and managerial position for the first time must complete a six-month supervisory or managerial probationary period.

Employees of the Federal Government receive excellent benefits. When you begin working for the SEC, you are eligible for a variety of benefits, including:

- pay increases based on performance and length of service;
- 13 days of paid vacation annually for new federal employees, and increasing to 26 days depending on length of federal service;
- 13 days of paid sick leave annually, with unlimited accumulation;
- 10 paid holidays each year;
- opportunity to request a flexible schedule, including in some cases a compressed 5-4-9 work schedule, in which you work 9 hours a day on most days so that you are scheduled for 1 day off each 2-week pay period;

- an attractive retirement system, including an employer-matching retirement 401(K)-type savings plan;
- health and life insurance coverage, including choices of plans to fit your needs;
- training opportunities throughout your career; and
- possible awards and recognition for adopted suggestions, special achievements and exceptional performance.



INFORMING US OF YOUR EMPLOYMENT INTEREST

The recruitment effort for IT employment is being conducted in two stages: (1) the preliminary outreach or advance recruitment process to identify highly qualified potential candidates; and (2) the formal competitive selection process. The following provides instructions and important information about these stages.

I. ADVANCE RECRUITMENT PROCESS

WHAT TO SUBMIT

You may submit a resume, an Optional Application for Federal Employment (OF-612), or an application in the format of your choice. Your submission should include:

Employment Information

- Name and address of employing organizations relevant to your IT background
- Duties and accomplishments
- Starting and ending employment dates

Education, Training, and Other Information

- Colleges and universities attended, degrees and dates they were earned, and majors
- Specific training courses or certificates received that are directly related to the types of positions in which you are interested
- Special skills and honors

NOTE: Graduate degrees in the field of computer technology (or computer science) without work experience generally qualify you for positions at GS-9 or GS-11 levels. For higher grade levels, you must have one year of experience equating to the next lower grade level.

WHEN TO SUBMIT PRELIMINARY APPLICATIONS

If you are interested in any of the managerial positions, you should submit a resume under this advance recruitment process as soon as possible and watch for the formal announcements that will begin to be posted in December 1997.

If you are interested in any of the other positions, you may submit a resume before or during the periods identified as “accepting preliminary resumes” on the Projected Hiring Phases chart below. Watch for specific formal announcements near the beginning of the “targeted formal hiring period.”

Projected Hiring Phases

	1997		1998									
	Nov	Dec	Jan	Feb	Mar	April	May	June	July	Aug	Sept	
IT Managers												
IT Supervisors												
Sr. Technical Staff												
Mid/Entry Level Technical Staff												
Accepting Preliminary Resumes												
Targeted Formal Hiring Period												

Senior Technical Staff:

Acquisition Managers
 Computer Scientists
 Database Designers
 Financial Analysts
 Internet/Intranet Engineers
 Project Managers
 Strategic Planners
 UNIX/NT Specialists

Mid/Entry Level Technical Staff:

Access Control Administrators
 Change Control Specialists
 Data Communications Technicians
 Disaster Recovery Analysts
 Data Storage Analysts
 Instructors
 Operations Specialists
 Operational Security Specialists
 Network Designers/Engineers
 Network Operating Systems Specialists
 Program Analysts

Project Analysts
 Software Test and Quality Engineers
 Systems Analysts
 Systems Programmers
 User Liaisons
 Acquisition Specialists
 Database Designers
 PC/Software Test Engineers
 Contract Administrators
 UNIX/NT Programmers

REVIEW OF PRELIMINARY APPLICATIONS

OIT will review the submissions to determine the level of interest and applicant qualifications as they relate to the types of positions within the restructured organization. All submissions will be evaluated informally to determine whether applicants demonstrate the knowledge, skills and abilities that make them strong candidates for one or more positions.

II. FORMAL APPLICATION PROCESS FOR SPECIFIC ANNOUNCED POSITIONS

HOW TO LOCATE VACANCY ANNOUNCEMENTS

Information on vacancy announcements can be obtained through the following sources:

SEC website: <http://www.sec.gov>

direct path to vacancies is “<http://www.sec.gov/asec/secjobs.htm>”

to download a copy of the vacancy announcement, follow the on-screen instructions (you may be linked to the OPM USAJobs website)

SEC Personnel Hotline (24 hours): (202) 942-4150

for a list of positions: select 1, then 3

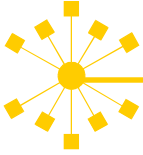
to request a vacancy announcement: select 1, then 4

SEC Personnel Hotline via TTY: (202) 942-4075

FORMAL APPLICATION INSTRUCTIONS

- When applying under a formal competitive process, pay close attention to the specific instructions in the vacancy announcement. To receive maximum consideration for your experience and skills, it is critical that you attach a supplemental statement that describes your experience and skills in each of the Mandatory Selection Factors and/or Quality Ranking Factors, with details on how you attained them (*e.g.*, education, training, specific assignments, or accomplishments).
- All individuals interested in being considered for one or more of the OIT positions MUST submit an application in response to a specific job vacancy announcement. You do not need to have submitted a resume under the advance recruitment process to receive consideration. Applications for specific positions must be postmarked no later than the closing date of the vacancy announcement and be received in the personnel office within three work days thereafter.

The SEC is an Equal Opportunity Employer.



OIT ADVANCE RECRUITMENT SEARCH TEAR-OUT INTEREST SURVEY

Name: _____

Daytime Phone: _____

Mailing Address: _____

e-mail Address: _____

Total Years of IT Experience: _____

Areas of Interest (*please check all that apply*):

- | | |
|---|---|
| <input type="checkbox"/> Technology Services | <input type="checkbox"/> Planning & Project Management |
| <input type="checkbox"/> Central Systems | <input type="checkbox"/> Applications & Software Management |
| <input type="checkbox"/> Technical Architecture | <input type="checkbox"/> Security |
| <input type="checkbox"/> Network Engineering | |

Types of Positions that Interest You: _____

Salary Requirements: \$ _____ Highest Previous Salary (annual): \$ _____

Additional Information:

Send your completed form and a resume or other application to: Recruitment Coordinator, Office of Information Technology, SEC Operations Center, 6424 General Green Way, Room 2100, Alexandria, VA 22312 or e-mail the information to: OIT@sec.gov