



Name of your organization: FINRA

How do you use the People Insights Platform today?

Present with Purpose Survey and Culture Survey

Please share your EX Impact story. Detail your challenge, solution, and impact.

At FINRA, we view culture as our values in action—and since we launched our four FINRA values in 2019, we’ve taken collaboration, expertise, innovation and responsibility to heart. We hear stories about colleagues advancing our mission by applying the values in their day-to-day work and have also had the pleasure of seeing examples firsthand almost every day. To sustain that success, we needed to regularly assess our culture. That process involves asking our workforce what we are doing well, so we can remain on the right course—but more importantly, it involved looking at the other side of the coin and asking where we can do better.

We received answers to these questions when we conducted our first full Culture Survey in 2020, which was designed to help us understand how the values were taking hold. Since 2020, we’ve partnered with Perceptyx to launch our Culture survey biennially – adding areas like DEI, Performance, & Ethics, also important to the fabric of who we are as an organization and how we succeed in achieving our mission. Perceptyx EX platform was the mechanism used to advance our strategy, providing US High Performance benchmark data and targeted insights that supported continuous improvement in areas critical to our organizational culture. When we analyzed the results, we found that we had strong outcomes overall—and we also identified certain areas as needing focused attention.

- Inclusion, which is specifically focused on ensuring inclusion of all employees, so that the employee experience is one aligned to all of our values and is for everyone.
- Decision Making, which is specifically focused on empowering employees to make decisions while balancing risk to speed up and increase efficiencies.
- Speaking Up, which is specifically focused on empowering employees to share ideas, provide feedback, challenge the status quo, share failures and have courageous conversations.
- Process Efficiencies for improving how we deliver on our mission of investor protection and safeguarding market integrity.

To address Inclusion, we integrated with the efforts of a new Racial Justice Task Force, who’s collective efforts enabled FINRA to take critical steps toward knocking down barriers for all employees and meaningfully addressing racial inequities. That important work continues on today through the direction of our Diversity Leadership Council.

Our internal HR team, People Solutions, partnered with Inclusion Workstreams and our Culture Task Force to identify concrete steps to address the other three key enterprise areas of focus. The teams spent many hours gathering and listening to feedback, ideas, and suggestions for meaningful improvements. Today, we are excited to share that FINRA is providing:

1. People leaders with a Decision-Making One-Stop Resource Center, where they can leverage a resource guide, Degreed Pathway, and additional guidance to practice decision-making skills,



empower staff, understand low- and high-risk decisions, and emphasize the importance of delegation.

2. Psychological Safety learning offerings enterprise-wide to address Speaking-up from the teachings of Amy Edmondson, author of "The Fearless Organization."

- o Introduction to Psychological Safety (a two-hour introductory workshop for leaders and teams)
- o Team psychological safety survey and session (a team psychological safety measurement, followed by a two-hour facilitated team dialogue)
- o Psychological Safety Community of Practice (a community of internally certified psychological safety practitioners to support and champion psychological safety across FINRA)
- o Storytelling events—a collection of opportunities to amplify the power of storytelling by integrating panel or interview segments into our existing programs, such as the New Hire Cohort program and ERG events. Leaders share their professional triumphs and challenges to foster diverse thinking, encourage candor, and empower people to be curious and creative.

3. People leaders with data-driven strategies to drive business decisions around talent, systems, processes, and new projects and programs for Process Efficiency. Includes learning resources and tools.

Do you have any additional KPIs/Metrics to demonstrate your impact on EX?

FINRA uses additional measures such as our exit survey, hybrid work environment survey, and focus groups to gain additional quantitative and qualitative data to determine how well we are working towards improving our organizational culture.

Metrics used in Exit Surveys are as follows:

- Job Satisfaction
- Organizational belonging/Culture
- Net Promotor Score/Recommendation
- Work Experience
- Benefits/Compensation
- Career Growth

Metrics used in Hybrid Work Environment (Perceptyx EX On-Demand platform):

- Leadership Effectiveness
- Organizational Belonging/Inclusion
- Effectiveness of Hybrid Work policy
- Satisfaction with Office environment/locations/travel
- Satisfaction with Internal Communications
- Employee Engagement
- Psychological Safety/Speaking Up

Metrics on Focus Groups:

- Leadership Effectiveness
- Performance
- Employee Engagement
- Process Improvements



- Challenges with Culture