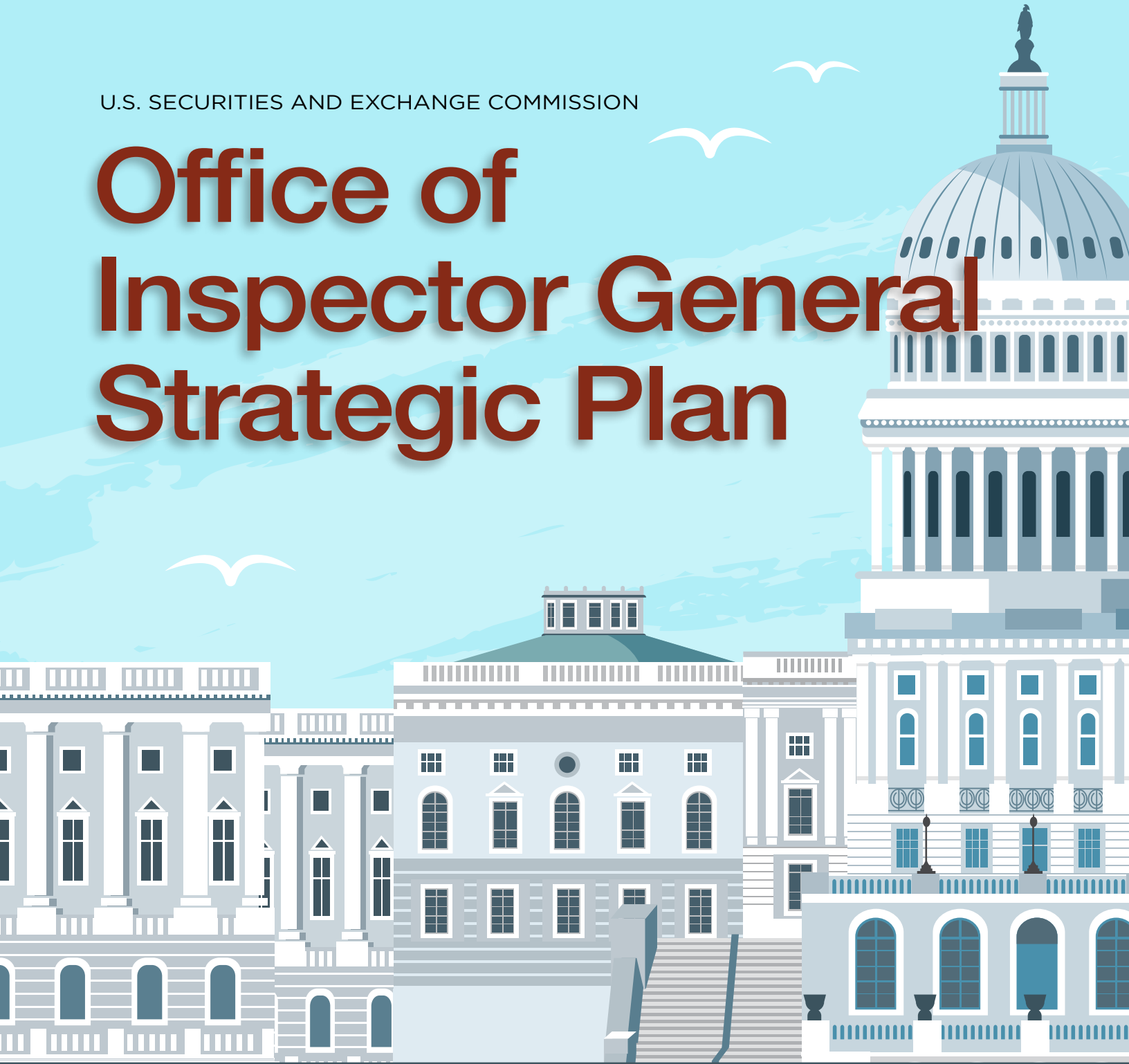


U.S. SECURITIES AND EXCHANGE COMMISSION

Office of Inspector General Strategic Plan



FISCAL YEARS
2019-2024



Contents

A MESSAGE FROM THE INSPECTOR GENERAL	1
STRATEGIC ENVIRONMENT	2
OFFICE OF INSPECTOR GENERAL STRUCTURE.....	2
MISSION, VISION, AND VALUES.....	3
Mission.....	3
Vision	3
Values.....	4
OIG Leadership Values.....	5
OUR APPROACH.....	6
Strategic Goal 1.....	6
Strategic Goal 2.....	7
Strategic Goal 3.....	8
OIG GENERAL OFFICE CONTACT INFORMATION	Inside Back Cover

A MESSAGE FROM THE INSPECTOR GENERAL

I am pleased to present the U.S. Securities and Exchange Commission (SEC) Office of Inspector General (OIG) Strategic Plan for Fiscal Years 2019 to 2024. The Plan provides an overview of the OIG's strategic goals and objectives.

Our Strategic Plan is the culmination of an in-depth process requiring much effort, reflection, and dialogue, during which OIG staff views and input were solicited and considered when finalizing our strategic goals, objectives, and priorities. Our approach is to strive for continued excellence with our results, people, and processes. We will do this by producing relevant, timely, and impactful results; maintaining high staff morale through employee engagement and transparent decision making; and leveraging technology to share information and foster collaboration.

The securities industry is ever-changing, and we will continue to adapt, fulfilling our commitment to the OIG's mission of promoting the integrity, efficiency, and effectiveness of the programs and operations of the SEC. Moreover, the OIG will be agile in addressing emerging trends and issues that affect our mission, such as forming ad hoc, cross-functional teams to enhance our ability to be responsive.

These strategic goals will guide the OIG staff as we continue our efforts to oversee the SEC's programs and operations and to bring positive change to the SEC.



A handwritten signature in blue ink that reads "Carl W. Hoecker". The signature is fluid and cursive.

CARL W. HOECKER

Inspector General

STRATEGIC ENVIRONMENT

The SEC's mission is to protect investors; maintain fair, orderly, and efficient markets; and facilitate capital formation. The SEC promotes a market environment worthy of the public's trust and characterized by transparency and integrity.

Over the past decade, the markets, products, and participants that the SEC oversees and regulates—including investment advisers, mutual and exchange-traded funds, and broker-dealers—have grown in size and complexity, creating several challenges for the SEC as it carries out its mission. To keep pace with increasingly complex markets, the SEC is investing in its information technology and infrastructure, developing new analytic capabilities, and deploying tools and platforms to store and process increasing volumes of data.

OFFICE OF INSPECTOR GENERAL STRUCTURE

The OIG is composed of the Office of Audits, the Office of Investigations, the Office of Counsel to the Inspector General, and the Office of Operations and Management. The Office of Audits conducts, coordinates, and supervises independent audits and evaluations of the agency's programs and operations. The Office of Investigations investigates allegations of criminal, civil, and administrative violations relating to SEC programs and operations by SEC employees as well as external parties. The Office of Counsel to the Inspector General serves as the general counsel to the Inspector General in all matters relating to the OIG's operations and activities. The Office of Operations and Management is the managing executive function for the OIG.

The OIG has continued to develop a culture of leadership, which will ensure consistency and continuity in the OIG's business practices and operations. Our strategic planning process provided OIG employees with opportunities to contribute to the development of the OIG's strategic goals, objectives, and priorities.

MISSION, VISION, AND VALUES

Mission

The mission of the OIG is to promote the integrity, efficiency, and effectiveness of the critical programs and operations of the SEC. We accomplish this mission by the following:

- Conducting independent and objective audits, evaluations, and other reviews of SEC programs and operations;
- Conducting independent and objective investigations of potential criminal, civil, and administrative violations that undermine the ability of the SEC to accomplish its statutory mission;
- Preventing and detecting fraud, waste, and abuse in SEC programs and operations;
- Identifying vulnerabilities in SEC systems and operations and making recommendations to improve them;
- Communicating timely and useful information that facilitates management decision making and the achievement of measurable gains; and
- Keeping Congress and the Chairman and Commissioners fully and currently informed of significant issues and developments.

Vision

The OIG is an independent, professional organization that contributes to the success of the SEC and acts as a catalyst for positive change in the SEC's programs and operations. We realize this vision by being engaged, insightful, proactive, and versatile.

Values

The SEC has recognized several values that apply to the SEC's work. These values are also fundamental to the OIG's accomplishing its mission and conducting its daily operations.

INTEGRITY: Consistent with the Inspector General Act of 1978, as amended, the OIG is independent and objective in its activities. We hold ourselves and each other to the highest ethical standards.

EXCELLENCE: The OIG is committed to the highest standards of excellence in pursuit of its mission.

ACCOUNTABILITY: The OIG embraces the responsibility with which it is charged. We hold ourselves accountable to the public and take responsibility for achieving the OIG's mission.

EFFECTIVENESS: The OIG strives to work creatively, proactively, and effectively in performing its oversight work and continually looks for ways to make its business processes more efficient and effective.

TEAMWORK: The OIG recognizes that its success lies in working together; fostering an inclusive and mutually supportive environment; and providing each team member opportunities to contribute, develop, grow, and learn.

FAIRNESS: The OIG treats its employees and all its stakeholders with dignity, fairness, professionalism, and respect. We follow applicable professional standards and ensure that we make decisions in a fair and ethical manner.

OIG Leadership Values

OIG management has identified the following leadership values, which guide OIG leadership in its daily endeavor to strive for continued excellence with our results, people, and processes.

INTEGRITY: OIG leaders do the right thing for the right reasons. Our actions are guided by consistent principles of honesty, accountability, fairness, courage, trust, and humility. We focus on what is essential for the success of the collective entity, take responsibility for actions, and set the tone of professionalism for the OIG.

COMPETENCE: OIG leaders are skilled in their fields of expertise and know how to lead others for accurate, reliable, value-added results. We develop and mentor our staff, set the right goals and objectives, and adapt to changing conditions to achieve optimal effectiveness, efficiency, and organizational success. We set the standard of excellence.

COLLABORATION: OIG leaders openly communicate, work well together, and facilitate harmonious communication internally and externally. We welcome the exchange of information, feedback, and other points of view to achieve OIG's mission. We affirm our commitment to constant improvement, effective and creative approaches to problem solving, and successful stakeholder relationships.



OUR APPROACH: THE OIG STRIVES FOR CONTINUED EXCELLENCE WITH OUR RESULTS, PEOPLE, AND PROCESSES.

STRATEGIC GOAL 1: Deliver results that promote integrity, efficiency, and effectiveness in the SEC’s programs and operations.

OBJECTIVE 1.1: Produce relevant, timely, and impactful results.

Priorities:

- Issue accurate, clear, concise, and convincing products.
- Continuously monitor and assess SEC programs and operations to identify emerging and high-risk areas, and target resources accordingly.

OBJECTIVE 1.2: Continually enhance the quality of our products in accordance with applicable professional standards.

Priorities:

- Identify opportunities to enhance quality controls and streamline reporting processes.
- Ensure the integrity of OIG operations through effective quality assurance programs.

STRATEGIC GOAL 2: Advance an inclusive and dynamic OIG culture that inspires high performance.

OBJECTIVE 2.1: Maintain high staff morale through employee engagement and transparent decision making.

Priorities:

- Leverage individual and team contributions to achieve high-level organizational performance.
- Employ, retain, and engage a highly qualified, motivated, and diverse workforce.
- Promote initiatives that improve employee satisfaction and foster a positive work environment.
- OIG management will foster transparent environment that includes updating staff on decisions/direction affecting the OIG.

OBJECTIVE 2.2: Increase collaboration and staff knowledge to promote information sharing, continuous learning, and teamwork in support of the OIG's mission.

Priorities:

- OIG management will create more collaborative communication opportunities to enhance staff's understanding of critical issues and decisions.
- Encourage collaboration and information sharing throughout the OIG.
- Provide opportunities for staff to develop professional and leadership skills.

3

GOAL

STRATEGIC GOAL 3: Improve the effectiveness and efficiency of OIG processes through continuous innovation, collaboration, and communication.

OBJECTIVE 3.1: Leverage technology to share information and foster collaboration.

Priorities:

- Seek opportunities to use technology to improve information gathering and presentation.
- Continue to provide employees with the information technology and tools that enhance mobility, collaboration, and communication.

OBJECTIVE 3.2: Enhance the OIG's processes to further the OIG's mission.

Priorities:

- Review, solicit feedback on OIG policies, procedures, and processes to identify potential improvements and/or sound business practices.
- Review SEC policies and procedures to assess OIG applicability and issue guidance to staff as needed.
- Develop and use innovative methods to identify oversight opportunities.

OBJECTIVE 3.3: Continue the OIG's efforts to communicate the mission and role of the office to our stakeholders.

Priorities:

- Continue effective communication with internal and external stakeholders.
- Enhance outreach efforts to promote awareness of the OIG's mission.

OIG GENERAL OFFICE CONTACT INFORMATION

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REPORT FRAUD, WASTE, OR ABUSE

To report suspected fraud, waste, or abuse in SEC programs or operations, as well as SEC staff or contractor misconduct, use our online [OIG hotline complaint form](http://sec.govcomhotline.com/), sec.govcomhotline.com/, or call (833) 732-6441. This number is answered 24 hours, 7 days a week.

Information received is held in confidence upon request. Although the OIG encourages complainants to provide information on how we may contact them for additional information, we also accept anonymous complaints.

EMPLOYEE SUGGESTION PROGRAM

The OIG SEC Employee Suggestion Program, established under the Dodd-Frank Wall Street and Consumer Protection Act, welcomes suggestions by all SEC employees for improvements in the SEC's work efficiency, effectiveness, productivity, and use of resources. The OIG evaluates all suggestions received and forwards them to agency management for implementation, as appropriate. SEC employees may submit suggestions by calling (202) 551-6062 or sending an e-mail to OIGESProgram@sec.gov.

COMMENTS AND IDEAS

The SEC OIG also seeks ideas for possible future audits, evaluations, or reviews. We will focus on high-risk programs, operations, and areas where substantial economies and efficiencies can be achieved. Please send your input to AUDPlanning@sec.gov.

