December 19, 2019

The Honorable Mick Mulvaney  
Director  
Office of Management and Budget  
c/o Stannis Smith  
725 17th Street, NW  
Washington, DC 20503

Dear Mr. Mulvaney:

We are sending this letter in accordance with the Government Charge Card Abuse Prevention Act of 2012 (Public Law 112-194), which requires that Inspectors General report to the Director of the Office of Management and Budget (OMB) on the implementation of recommendations made to the head of the executive agency to address findings of any analysis or audit of purchase card and convenience check transactions or programs. Furthermore, OMB Memorandum M-13-21, “Implementation of the Government Charge Card Abuse Prevention Act of 2012,” states that Inspectors General shall report to the Director of OMB 120 days after the end of each fiscal year on agency progress in implementing such audit recommendations.

As required by the Government Charge Card Abuse Prevention Act of 2012, the U.S. Securities and Exchange Commission’s (SEC) Office of Inspector General is performing an annual risk assessment of the SEC’s government purchase card program. We will report that work to the agency when completed. However, we did not issue any reports regarding the SEC’s government purchase card program during fiscal year 2019.

Furthermore, we closed all purchase card-related recommendations¹ before the end of fiscal year 2019. The recommendations were to ensure cardholders comply with established requirements when using a Government purchase card to purchase information and data sources and print materials. Specifically, we recommended:

- The SEC Office of Acquisitions remind the agency’s Government purchase cardholders of the importance of retaining support for purchases (SEC OIG Report No. 548, Recommendation 6).


If you have questions or require additional information, please contact Rebecca Sharek, Deputy Inspector General for Audits, Evaluations, and Special Projects, at sharekr@sec.gov or (202) 551-6061.

Sincerely,

Carl W. Hoecker
Inspector General

cc: Jay Clayton, Chairman
    Sean Memon, Chief of Staff, Office of Chairman Clayton
    Bryan Wood, Deputy Chief of Staff, Office of Chairman Clayton
    Peter Uhlmann, Managing Executive, Office of Chairman Clayton
    Kimberly Hamm, Chief Counsel/Senior Policy Advisor, Office of Chairman Clayton
    Robert J. Jackson Jr., Commissioner
    Prashant Yerramalli, Counsel, Office of Commissioner Jackson
    Hester M. Peirce, Commissioner
    Jonathan Carr, Counsel, Office of Commissioner Peirce
    Elad L. Roisman, Commissioner
    Matthew Estabrook, Counsel, Office of Commissioner Roisman
    Allison Herren Lee, Commissioner
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    John J. Nester, Director, Office of Public Affairs
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    Robert B. Stebbins, General Counsel
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      Gabriel Benincasa, Chief Risk Officer
      Vance Cathell, Director, Office of Acquisitions