

Office of Inspector General Strategic Plan

FISCAL YEARS 2017-2019 | U.S. SECURITIES AND EXCHANGE COMMISSION



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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 2017 to 2019. The Strategic Plan provides an overview of the OIG's goals and objectives for this time period.

Our Strategic Plan is the culmination of a months-long process that included an offsite planning session to develop our overall strategy, a multiday All Hands meeting to obtain staff views and input, and additional meetings to finalize our strategic goals and objectives. 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.

Much has changed at the OIG since we issued our last strategic plan. For example, we now employ criminal investigators, and we have added several auditors and established the Office of Counsel to the Inspector General. We have also centralized our main support services, increased our physical office space, and expanded into digital forensics.

Our 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.



Carl W. Hoecker

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 comprises the Office of Audits, the Office of Investigations, the Office of Counsel to the Inspector General, and the Office of Management Support. 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 Management Support provides operational, logistical, human capital, and administrative support for all OIG operations. The Office of Management Support also includes the Office of Oversight and Review, which conducts reviews of complex matters involving SEC programs, operations, or employees.

OIG management 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 and team building sessions provided OIG employees with opportunities to contribute to the development of the OIG's strategic goals, objectives, and priorities. The OIG's employee engagement efforts have yielded positive results: for example, the OIG ranked second among SEC offices and divisions on the Federal Employee Viewpoint Survey for two consecutive years (2014 and 2015).

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:

- Communicating timely and useful information that facilitates management decision-making and achieving measurable gains;
- 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;
- Identifying vulnerabilities in and making recommendations to improve SEC programs and operations;
- Keeping the Commission and Congress fully and currently informed of significant issues and developments; and
- Preventing and detecting fraud, waste, and abuse in SEC programs and operations.

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 also are 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.



GOAL

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.



GOAL

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.

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

Priorities:

- Encourage collaboration and information sharing throughout the OIG.
- Provide opportunities for staff to develop professional and leadership skills.



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, and benchmark OIG policies, procedures, and processes to identify potential improvements and/or sound business practices.
- 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://www.reportlineweb.com/sec_oig), www.reportlineweb.com/sec_oig, or call (877) 442-0854. This number is answered 24 hours, 7 days a week.

Information received through the hotline 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 Reform 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.