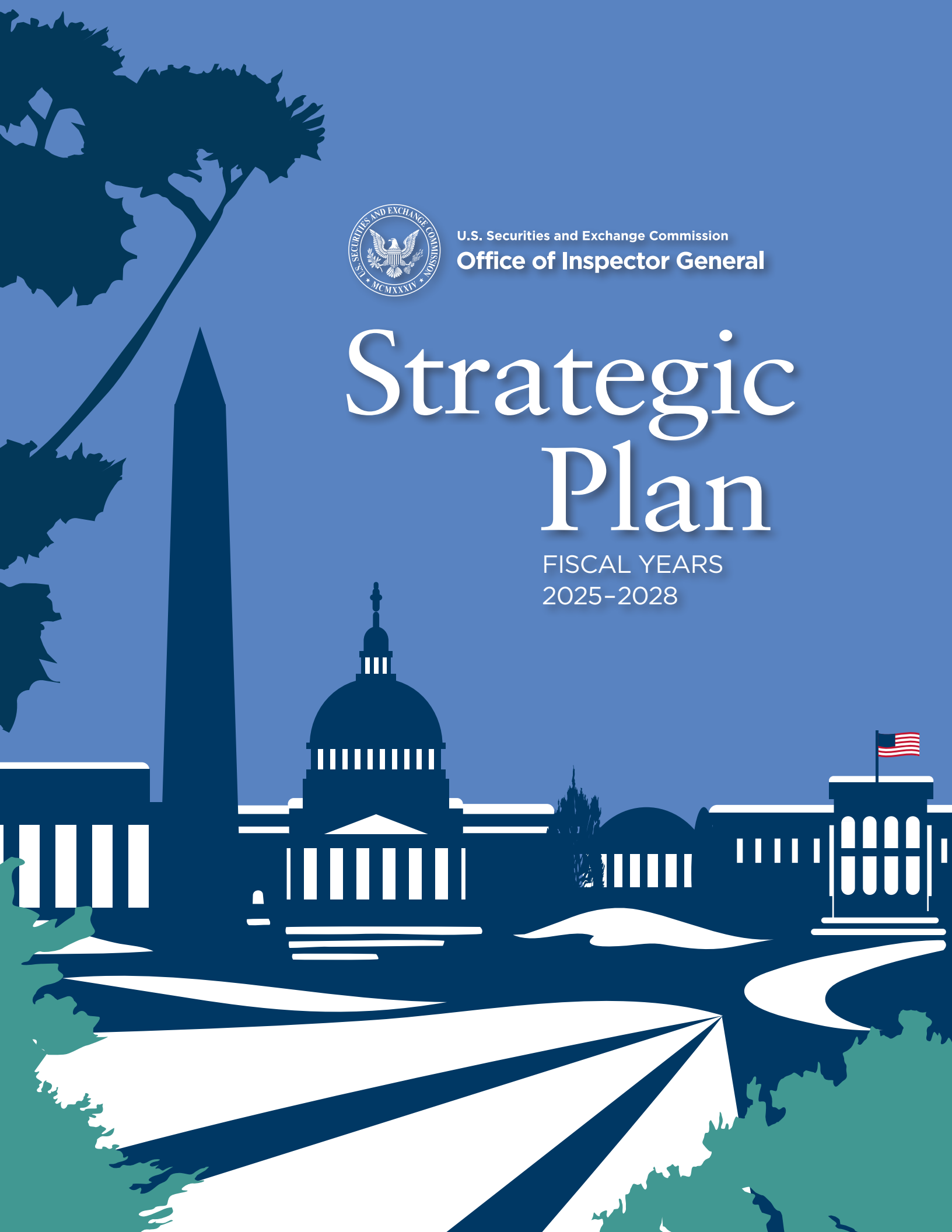




U.S. Securities and Exchange Commission
Office of Inspector General

Strategic Plan

FISCAL YEARS
2025-2028



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INTRODUCTION

The leadership of the U.S. Securities and Exchange Commission (SEC) Office of Inspector General (OIG) is pleased to present this Strategic Plan for Fiscal Years (FY) 2025–2028. This plan provides an overview of the OIG’s strategic goals and objectives.

STRATEGIC ENVIRONMENT

The SEC’s mission is to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation.

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 volume and complexity, posing ever-evolving challenges to the SEC’s mission.

MISSION STATEMENT

The mission of the OIG is to promote the integrity, efficiency, and effectiveness of SEC programs and operations through independent and impactful oversight.

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 committed 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. The Office of Operations and Management is the managing executive function for the OIG.



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

1.1 Produce relevant, timely, and impactful results.

Priorities:

- Issue accurate and concise oversight products.
- Swiftly review and, as appropriate, investigate allegations of wrongdoing related to the SEC's programs, operations, and personnel.
- Continuously monitor and assess SEC programs and operations to identify emerging and high-risk areas, and target resources accordingly.

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

Priorities:

- Continuously monitor the applicable professional communities for current best practices and quality standards.
- Ensure the integrity of OIG operations through effective quality assurance and quality control programs.



GOAL 2. Promote a professional working environment that facilitates organizational success.

2.1 Ensure that staff receive clear guidance and appropriate training to carry out the OIG's mission.

Priorities:

- Ensure that policies and performance expectations align with the OIG's mission.
- Promote continuous learning and professional development through mission-appropriate training.
- Acknowledge and foster individual staff expertise to strengthen the OIG's capabilities.

2.2 Promote teamwork and collaboration in support of the OIG's mission.

Priorities:

- Perform oversight work with teams comprised of staff from two or more OIG components when appropriate.
- Partner with other organizations where feasible to access effective resources and enhance our impact.
- Provide opportunities for staff to share knowledge gained from training and experience that supports our mission.



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

3.1 Leverage technology to foster innovation, collaboration, and communication.

Priorities:

- Use communication and technology platforms to promote collaboration.
- Ensure that OIG-acquired technology investments permit staff to communicate more efficiently and effectively.
- Utilize current and emerging technologies to enhance impactful oversight.

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

Priorities:

- Periodically solicit staff and stakeholder feedback to ensure that OIG policies, procedures, and processes align with best practices.
- Periodically review SEC administrative regulations and procedures to ensure OIG independence and provide guidance to staff as needed.
- Foster innovation that enhances the effectiveness of our oversight mission.

3.3 Continue the OIG's outreach efforts to stakeholders within the SEC and external to the agency.

Priorities:

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

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](#), www.govcomhotline.com/SEC, 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.

