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Description of document: List of Housing and Urban Development (HUD), Office of Inspector General (OIG) investigations involving HUD employees closed during CY 2013 - CY 2014

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U.S. DEPARTMENT OF
HOUSING AND URBAN DEVELOPMENT
OFFICE OF INSPECTOR GENERAL

MAR 25 2016

Re: Your Freedom of Information Act (FOIA) Request
FOIA Control No.: 16-IGF-OIG-00051

This is in response to your previous e-mailed Freedom of Information Act (FOIA) requests dated February 10, and your most recent request dated March 24, 2016, to the U.S. Housing and Urban Development (HUD), Office of Inspector General (OIG).

You requested, “*a list of HUD-OIG investigations involving HUD employees closed during CY 2013 and CY 2014.*”

The OIG states its previous position concerning Exemption 7, where certain information has been withheld from these records pursuant to 5 U.S.C. § 552 (b)(7)(C), which protects records or information compiled for law enforcement purposes, the release of which could reasonably be expected to constitute an unwarranted invasion of personal privacy. The information withheld consists of the names of special agents, individuals, third-party individuals and titles.

We have also excised from the file pursuant to 5 U.S.C. §§ 552(b)(5), which protects intra-agency communications subject to the deliberative process privilege. The information withheld consists of privileged information and internal recommendations

Please be advised that Joseph W. Clarke, Assistant Inspector General for Investigation, is the official responsible for this response.

You have indicated, you “*agree to pay up to \$30.00 for applicable fees, if necessary.*” Since the reproduction was less than 100 pages, the OIG reiterates its previous position, there is no charge.

The OIG's Freedom of Information Regulation, 24 C.F.R. § 2002.25, provides for administrative review by the Inspector General of any denial of information if a written appeal is filed within 30 days from the date of this letter. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal." Your appeal should be addressed to the FOIA Appeal Specialist, Office of Legal Counsel, Office of Inspector General, U.S. Department of Housing and Urban Development, 451 7th Street, SW, Suite 8260, Washington, DC 20410, and should be accompanied by a copy of your initial request, a copy of this letter, and your statement of circumstances, reasons and arguments supporting disclosure of the requested information.

Should you have any questions concerning the FOIA request, please contact me on (202) 708-1613. Please reference the above FOIA number when making inquiries about this matter

Sincerely,

Government Information Specialist (FOIA/PA)

Enclosure:

CASE NUMBER	SOURCE OF COMPLAINT	NAME OF SUBJECT(S)	TITLE AND LOCATION OF SUBJECT(S)	ALLEGATION	CASE AGENT	DATE OPENED	ROI ISSUED	DATE CLOSED	STATUS	DISPOSITION
2011HQ0024211	(b) (7)(C)	(b) (7)(C)	(b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C) Washington, DC; Public and Indian Housing, Washington, DC	(b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C) before HUD It is alleged that (b) (7)(C) (b) (7)(C) has attempted to influence him with gifts of "ball game tickets, lunches, wine-tasting"	(b) (7)(C) (b) (7)(C)	26-Sep-11	3-May-12	3-Jun-13	Closed	Allegations were founded ROI sent to HUD for Administrative sanctions that may be deemed necessary On 4/10/13, Settlement Agreement was finalized stating that (b) (7)(C) (b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C)
2012HQ0003181	Personal Visit	SEEDCO FINANCIAL SERVICES, INC (Possibly dba STRUCTURED EMPLOYMENT ECONOMIC)	Structured Employment Economic Development Corporation (SEEDCO), New York, New York; (b) (7)(C)(b) (7)(C) (b) (7)(C) HUD, Office of Community Planning and Development (CPD), Washington, DC; (b) (7)(C)(b) (7)(C) HUD, Office of Community Planning and Development, Washington, DC	1 An anonymous source alleges HUD Community Planning and Development (CPD) (b) (7)(C) approved the draw down of \$560,000.00 in CPD "BLI Technical Assistance" grant funds by SEEDCO FINANCIAL SERVICES, INC (which may also be doing business as STRUCTURED EMPLOYMENT ECONOMIC) despite the fact that no work was completed by the grantee The grant was made in September 2006 in the amount of \$600,000.00 2 Additionally, the source alleges (b) (7)(C) (b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C)(b) (7)(C)(b) (7)(C) and the conference was paid for with FY2011 funds Source advises this action is in violation of the Anti-Deficiency Act (ADA) given the conference took place in FY2012 under a Continuing Resolution	(b) (7)(C)	9-Nov-11	27-May-14	15-Dec-14	Closed	ROI dated 5/27/14 states that investigation revealed that CPD failed to adequately manage and oversee SEEDCO's performance under the grant agreement; SEEDCO failed to comply with the grant rules, regulations, and cooperative agreements Disposition report dated 12/15/14 states that (b) (7)(C) and (b) (7)(C) were counseled and procedures were modified as appropriate Case is now closed
2012HQ0005771	(b) (7)(C)	(b) (7)(C)	(b) (7)(C) (b) (7)(C)(b) (7)(C) (b) (7)(C)(b) (7)(C)	Complainant (b) (7)(C) forwards a series of emails of correspondence between herself and the subject (b) (7)(C) (b) (7)(C) a HUD (b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C) is soliciting fees for referring tenants to (b) (7)(C) (b) (7)(C) uses his hud gov address	(b) (7)(C)	14-Dec-11	15-Aug-12	26-Sep-13	Closed	Report of Investigation dated 8/15/12 states that the investigation determined that (b) (7)(C) misused his HUD position by engaging in outside employment while on duty, using HUD property and misrepresenting himself as on official HUD business while conducting activities for personal gain (b) (7)(C)(b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C) Final Disposition dated 09/26/13 was received and notes that he was (b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C) As a result, this case is now closed
2012HQ0011261	(b) (7)(C)	(b) (7)(C)	(b) (7)(C)(b) (7)(C) HUD, Community Planning and Development, Washington, DC	Alleged that (b) (7)(C)(b) (7)(C)(b) (7)(C) with HUD, CPD, Office of Affordable Housing Programs, and also (b) (7)(C)(b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C)(b) (7)(C) has applied for and been granted military leave for duty and training assignments she did not attend	(b) (7)(C)	19-Mar-12	3-Jan-13	24-Sep-13	Closed	Investigation determined that (b) (7)(C) received \$1,253.44 of payroll compensation she was not entitled to On 1/3/13, ROI was issued to management, specifically, HUD, CPD, ODASO, for review and consideration of appropriate personnel action SIR is being finalized Also, drafting a memorandum for USDA OIG concerning WebTa military leave (b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C) This case is now closed

2012HQ0017491	(b) (7)(C)	(b) (7)(C)	(b) (7)(C) HUD, Office of General Counsel, Office of General Deputy General Counsel, (b) (7)(C)(b) (7)(C) Housing Program, Office of Legal, Insurance Housing & Community Development, Washington, DC	It is alleged that (b) (7)(C) sexually molested two employees. The first incident occurred during (b) (7)(C) (b) (7)(C) Washington, DC, and the second incident occurred in a training session in Atlanta, GA.	(b) (7)(C)	30-Jul-12	5-Aug-13	7-Nov-13	Closed	Per ROI dated 8/5/13 it states that between 2003 and 2004 (b) (7)(C) sexually harassed and attempted to sexually assault (b) (7)(C) (b) (7)(C). Also, between August 7-11, 2005 (b) (7)(C) assaulted (b) (7)(C). Further, during the same timeframe (b) (7)(C) allegedly assaulted (b) (7)(C)(b) (7)(C)(b) (7)(C) and in September 2012, (b) (7)(C) sexually harassed an (b) (7)(C)(b) (7)(C). On 11/7/13 a memorandum was received noting that after careful review of the ROI, on 11/4/13 (b) (7)(C) (b) (7)(C)(b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C) this case is now closed.
2012HQ0018071	(b) (7)(C)	(b) (7)(C) (b) (7)(C)	(b) (7)(C)(b) (7)(C), HUD, (b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C) Chicago, IL, (b) (7)(C) (b) (7)(C) HUD, ONAP, Washington, DC	It is alleged that (b) (7)(C), HUD PIH Eastern Area (b) (7)(C) ONAP is involved with outside financial activities involving grants with tribes which is a conflict of interest and misuse of his HUD position.	(b) (7)(C)	10-Aug-12	6-Nov-14	6-Nov-14	Closed	On 1/2/14 this case was reassigned from (b) (7)(C) to (b) (7)(C) then back to (b) (7)(C). Per ROI dated 11/6/14 it states that due to the fact that (b) (7)(C) is no longer a HUD or US Government employee, and given that no information was discovered that would indicate any wrong doing on the part of (b) (7)(C), SID is administratively closing this matter to the file.
2012HQ0020291	(b) (7)(C)	Indian Housing Block Grant Program (IHBG)	HUD, Northern Plains, Office of Native American Programs, Denver, CO	As part of the Financial Statement Audit by Office of Audit, documentation was obtained regarding funding for the Indian Housing Block Grant (IHBG) Program. The documentation raised concerns regarding modifying plans/funding for the Indian Housing Block Grant (IHBG) specifically, the documentation provides detail instructions from a Grants Evaluation Specialist, on how to modify the plans to meet the requirements of ARRA funding. Further, the documentation states that specific items should be selected to minimize the amount of documents to be provided and the financial adjustments.	(b) (7)(C)	18-Sep-12	15-Aug-13	15-Aug-13	Closed	ROI was completed on 8/15/13. On March 28, 2013, SID coordinated with Counsel to the Inspector General J (b) (7)(C), HUD, OIG, Office of Legal Counsel (OLC), in regard to this investigation (b) (5)(b) (5)(b) (5) (b) (5)(b) (5)(b) (5)(b) (5) (b) (5)(b) (5)(b) (5)(b) (5) (b) (5)(b) (5)(b) (5)(b) (5) (b) (5)(b) (5)(b) (5)(b) (5) (b) (5)(b) (5)(b) (5)(b) (5) HUD legal opine this matter is administratively closed in the files of SID.
2013HQ0000051	(b) (7)(C)	(b) (7)(C)	(b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C)	On September 21, 2012, a HUD employee (b) (7)(C) sent an all employee email with an Excel file attachment that contained the full name and social security number of 8,556 current HUD employees.	(b) (7)(C)	1-Oct-12	3-Jan-13	1-May-13	Closed	Report of Investigation dated January 3, 2013 states that this investigation found that (b) (7)(C) actions were contrary to HUD policy and posed a significant data security risk, but there was no evidence of criminal or malicious intent found. As a result, this case was referred to HUD management for any administrative action deemed necessary. Disposition report dated 5/1/13 states that the reviewer deemed this to be a performance issue. As a result, employees performance rating was adversely impacted. Case is closed.
2013HQ0002351	(b) (7)(C) (b) (7)(C)(b)	(b) (7)(C)	(b) (7)(C)(b) (7)(C) (b) (7)(C) HUD, Office of the Deputy Assistant Secretary, Community Planning and Development, (b) (7)(C) and Management, Washington, DC	It is alleged that (b) (7)(C) is providing assistance to (b) (7)(C)(b) (7)(C) who is suspected of engaging in tax fraud scheme (b) (7)(C)(b) (7)(C)(b) (7)(C)	(b) (7)(C)	13-Nov-12	N/A	2-Jul-13	Closed	Per closing memorandum dated 070213, it states that due to the fact that there was no indications of fraud or misuse by (b) (7)(C) identified, SID contemplates taking no further action regarding this matter. As a result, this case is closed administratively to file.

2013HQ0008861	(b) (7)(C) (b) (7)(C)	(b) (7)(C)	(b) (7)(C)(b) (7)(C)(b) (7)(C) HUD, Office of Multifamily Housing Programs, Washington, DC	This investigation has been initiated by SID based on information received by (b) (7)(C)(b) (7)(C). It is alleged that possible fraudulent activities exist surrounding a multifamily property new construction in Tampa, FL. OA learned that the cost of the project was approximately \$48,000,000 and that the original lender was Prudential Huttonpaige, who (b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C). The project was initially rejected by the local HUD office in Jacksonville, FL. It is alleged that (b) (7)(C) made calls to HUD and pressured to subsequently approve the project. The local HUD staff were allegedly directed by senior staff at HUD headquarters to sufficiently clean up the loan so that it would pass through HUD's underwriting process.	(b) (7)(C)	4-Apr-13	2-Jul-13	2-Jul-13	Closed	Per ROI issued on 7/2/13, it states that this investigation did not find any evidence to support the allegation that (b) (7)(C) pressured HUD employees to falsify documents or approve applications. Therefore, SID is administratively closing this matter to the file.
2013HQ0011631	Congress of the United States	(b) (7)(C) (b) (7)(C) (b) (7)(C)	(b) (7)(C) for the Office of Fair Housing and Equal Opportunity's Chicago Regional Office; (b) (7)(C)(b) (7)(C) HUD, HQ, Office of General Counsel, Financial and Administrative Law Division, Washington, DC; (b) (7)(C) (b) (7)(C)(b) (7)(C) HUD, HQ, Congressional and Intergovernmental Relations, Washington, DC	This investigation is being initiated at the request of the Congressional House Committee on Oversight on Judiciary concerning (b) (7)(C) for the Office of Fair Housing and Equal Opportunity's Chicago Regional Office (b) (7)(C) (b) (7)(C) agency instructions he received concerning his testimony. During the congressional interview, (b) (7)(C) was queried concerning his non compliance to previously issued congressional summons and responded that he was willing to speak to the committee, but that he was instructed by HUD Counsel not to speak to the Congressional Committee.	(b) (7)(C)	22-May-13	25-Jun-13	25-Jun-13	Closed	Per ROI issued on 6/25/13, the investigation established that (b) (7)(C) was never told by HUD officials not to testify, however, he was instructed by HUD that they would handle the committee's request. SID is administratively closing this matter. SID contemplates taking no further action regarding this matter.
2013HQ0017441	(b) (7)(C)	Maurice A Jones; (b) (7)(C) (b) (7)(C) (b) (7)(C) (b) (7)(C)(b) (7)(C) (b) (7)(C) (b) (7)(C)	Deputy Secretary, EX-0301, Presidential Appointment with Senate Confirmation, HUD, Office of the Deputy Secretary, Washington, DC; (b) (7)(C) HUD, Office of the Chief Human Capital Officer, Executive Scheduling and Operations Division, Washington, DC; (b) (7)(C) (b) (7)(C) HUD, Congressional and Intergovernmental Relations, Washington, DC; (b) (7)(C) (b) (7)(C) HUD, Office of the Deputy General Counsel, Ethics, Appeals, and Personnel Law Division, Washington, DC; (b) (7)(C)(b) (7)(C) for Intergovernmental Relations, HUD, Office of the Assistant Secretary for CIR, Washington DC; (b) (7)(C)(b) (7)(C) for Public Engagement; HUD, Office of the Assistant Secretary for Public Affairs, Washington, DC; HUD, (b) (7)(C) of Staff for Budget and Policy; (b) (7)(C) Office of the Secretary, Washington, DC	Letter dated August 28, 2013 from the United States House of Representatives, Committee on Financial Services, addressed to Secretary Donovan alleges that on July 31, 2013, the Deputy Secretary of the Department of Housing and Urban Development sent an email communication to "friends and colleagues" calling on the recipients to contact specific US Senators and encourage the Senators to vote in favor of procedural motions to advance Senate consideration of S 1243, Transportation, Housing and Urban Development, and Related Agencies Appropriations ("THUD"). According to the allegations, the directness and specificity of the e-mail communication appears to violate well-established federal restrictions on lobbying by federal agencies.	(b) (7)(C)	3-Sep-13	18-Feb-14	23-May-14	Closed	Per ROI dated 2/18/14 it states that the investigation disclosed that (b) (7)(C) (b) (7)(C) DS Jones and DS Jones, as well as (b) (7)(C)(b) (7)(C) and (b) (7)(C) all appear to have violated anti-lobbying riders contained in the Consolidated Appropriations Act 2012 and in the Consolidated and further continuing appropriations act 2013. Disposition report dated 5/23/14 stated that (b) (7)(C) -no action; (b) (7)(C) -Other (b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C) -no action warranted; (b) (7)(C) -no action warranted; (b) (7)(C) - Personnel Action-Verbal Reprimand (an oral reprimand was provided to employee). Per case (b) (7)(C)(b) (7)(C) on 1/2014 and accepted a position with the State of VA.

2013HQ001478I	(b) (7)(C)	(b) (7)(C) (b) (7)(C)	(b) (7)(C) for Public and Indian Housing; HQ/RS, Washington, DC; (b) (7)(C) PIH	The Boston HUD OIG OI Office developed information while conducting an unrelated employee investigation that indicates: 1) possible misconduct on the part of Boston HUD PIH officials when they allegedly coached or instructed Boston Housing Authority (BHA) officials to furnish false statements or explanations concerning the BHA's failure to draw down Capital Fund Program Grand Funds in a timely manner, in order to prevent HUD from recapturing over \$900,000 of BHA's funds; and 2) possible misconduct on the part of the (b) (7)(C) for PIH (and others) when they allegedly attempted to influence and change the Boston PIH and Regional Counsel's decision to disallow the BHA's expenditures to a vendor, due to the BHA's failure to follow federal procurement guidelines and HUD regulations. The local PIH staff was allegedly ordered by HQ PIH to draft a letter allowing BHA to use federal funds for the disputed contract. The alleged and apparent involvement of the office of (b) (7)(C)(b) (7)(C)(b) (7)(C) in the management of BHA financial affairs might represent a possible conflict of interest, at a minimum, considering her previous affiliation (and others in HUD HQ PIH) with the BHA.	(b) (7)(C)	10-Jul-13	N/A	25-Jul-14	Closed	On 1/2/14 this case was reassigned from (b) (7)(C) (b) (7)(C). Per administrative case closure dated 072314 it states that the investigation disclosed no indication that (b) (7)(C) involved herself in BHA financial affairs. SID closed this case administratively to file.
2014SI000154I	(b) (7)(C)	(b) (7)(C) (b) (7)(C)	(b) (7)(C) Office of Housing, Buffalo, NY; (b) (7)(C) HUD OIG, Office of Audit, Region 2, Albany, NY	A hotline complaint was received alleging that (b) (7)(C) was having (b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C) HUD OIG, Office of Audit, Albany, NY. The complaint alleged that the affair took place while on official work related travel.	(b) (7)(C)	19-Nov-13	13-Jan-14	13-Jan-14	Closed	Per Report of Investigation dated 011314 it states that the investigation did not find any evidence to support that the activities occurred during work hours or on HUD and/or HUD OIG property. The investigation did not disclose any potential violations of criminal law. This investigation is being administratively closed to file.
2014SI000812I	(b) (7)(C) (b) (7)(C) (b) (7)(C) (b) (7)(C)	(b) (7)(C) (b) (7)(C) (b) (7)(C)	(b) (7)(C) HUD, (b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C) HQ, Washington, DC; (b) (7)(C)(b) (7)(C) HUD, Office of Security and Emergency Planning, Protective Services Division, HQ, Washington, DC	During a review of PSD, it was discovered that HUD's Printing and Graphic Arts Branch had issued retirement credentials, without authorization, to (b) (7)(C) and (b) (7)(C).	(b) (7)(C)	28-Mar-14	7-May-14	7-May-14	Closed	Per the ROI dated May 7, 2014, the investigation did not find any evidence to support the allegation that (b) (7)(C) or (b) (7)(C) used the LEOSA identification cards for illegal purposes or activities. Therefore, SID is administratively closing this matter to the file.
2014SI001214I	Anonymous	(b) (7)(C)	(b) (7)(C) (b) (7)(C) HUD, Office of Fair Housing and Equal Opportunity, Region 6, Ft. Worth, TX	It is alleged that (b) (7)(C) is allowing and directing HUD employees to overpay the Arkansas Fair Housing Commission, and possibly other state entities, for fair housing investigations. It is further alleged that (b) (7)(C) has approved full payment for investigations that lasted over 100 hours as well as authorized duplicate payments for the same investigation.	(b) (7)(C)	12-Jun-14	12-Dec-14	12-Dec-14	Closed	ROI dated 12/12/14 states that this investigation did not find any evidence to support the allegation that (b) (7)(C) allowed or directed his staff to overpay the FHC-AR. No evidence was found to support the allegation that (b) (7)(C) made full payments to the FHC-AR without authorization. Therefore, SID is administratively closing this matter to the file.

2014SI001624I	(b) (7)(C)	(b) (7)(C) (b) (7)(C)	(b) (7)(C), (b) (7)(C) HUD, Office of Housing. (b) (7)(C)(b) (7)(C)(b) (7)(C) (b) (7)(C)(b) (7)(C)(b) (7)(C) Washington, DC; (b) (7)(C), (b) (7)(C) HUD, Office of Housing, OLAPC, Washington, DC	It is alleged that (b) (7)(C) and (b) (7)(C) are not protecting sensitive information. Additionally, hundreds of Federal Housing Administration (FHA) mortgage loan recipients' privacy has been compromised and sensitive information has been exposed to people not entitled to it	(b) (7)(C)	9-Sep-14	24-Dec-14	24-Dec-14	Closed	Per ROI dated 12/24/14 it states that the investigation found no evidence to support the allegations that (b) (7)(C); or (b) (7)(C) failed to properly protect PII, or that they fostered an environment where in employees would find it acceptable to mishandle and/or improperly dispose of documents containing PII. Therefore, the investigation did not produce any evidence of criminal misconduct regarding (b) (7)(C) or (b) (7)(C). However, due to the policy deficiencies identified, a Systemic Implication Report (SIR) dated 1/13/15-was submitted separate from the report
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