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Description of document: List of National Credit Union Administration (NCUA) Inspector General (OIG) investigations closed, CY 2018-CY 2019

Requested date: 28-February-2020

Release date: 25-March-2020

Posted date: 13-April-2020

Source of document: FOIA Request
National Credit Union Administration
Office of Inspector General
1775 Duke Street
Alexandria, VA, 22314
Fax: 703.518.6349
Email: FOIA@ncua.gov

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National Credit Union Administration

Office of Inspector General

March 25, 2020

SENT BY EMAIL

SUBJECT: FOIA Request 2020-IGF-00003

This responds to your February 28, 2020, request under the Freedom of Information Act (FOIA), 5 U.S.C. § 552, for a listing of Inspector General investigations closed during calendar years 2018 and 2019.

I have attached the requested records, which comprise 3 pages and include redactions of the identifying information of lower-level subjects of investigations, and also the identifying information of two higher-level subjects where the investigations did not sustain the allegations of wrongdoing. The identities of these investigative subjects are protected under (b)(6) and (b)(7)(C) of FOIA, which protect personal privacy interests.

For your information, Congress excluded three discrete categories of law enforcement and national security records from the requirements of the FOIA. *See* 5 U.S.C. § 552(c) (2006 & Supp. IV 2010). This response is limited to those records that are subject to the requirements of the FOIA. This is a standard notification that is given to all our requesters and should not be taken as an indication that excluded records do, or do not, exist.

If you are not satisfied with my action on this request, you may file an administrative appeal in writing within 90 days of the date of this letter. If you file an appeal, please note "FOIA APPEAL" in the letter and on the envelope (or in the subject line of email to foia@ncua.gov) and address it to: National Credit Union Administration, Office of General Counsel-FOIA APPEAL, 1775 Duke Street, Alexandria, VA 22314-3428. A copy of your initial request and a copy of this letter should accompany your appeal letter.

For further assistance, you may contact me, the OIG FOIA Public Liaison Sharon Regelman, or the Office of Government Information Services (OGIS). The OIG FOIA Liaison is responsible for assisting in the resolution of FOIA disputes. OGIS, which is part of the National Archives and Records Administration (NARA), offers mediation services to resolve disputes between FOIA requesters and Federal agencies as a non-exclusive alternative to appeals or litigation. You may contact the FOIA Public Liaison at oigmail@ncua.gov or 703-518-6350. You may contact OGIS at 8601 Adelphi Road-OGIS, College Park, MD 20740-6001; OGIS@nara.gov; 202-741-5770; 877-684-6448 (toll free); or 202-741-5769 (fax). Seeking assistance from the OIG Public Liaison or OGIS does not affect your right, or extend the deadline, to pursue an appeal.

March 25, 2020

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Sincerely,

MARTA ERCEG

Digitally signed by MARTA
ERCEG
Date: 2020.03.25 15:55:06 -04'00'

Marta Erceg
Counsel to the Inspector General/
Assistant IG for Investigations

cc: Acting Associate General Counsel, Information and Access Law

Case Number	Region	Date Opened	Date ROI issued	Date Case Closed	Subject(s)	Matter(s) under Investigation	Status
17-CI-R5-01	V	1/24/2017	N/A - Former employee; no ROI issued	7/30/2018	Dean Welfringer	Misuse of Position	Closed - Sentenced to 24 months probation, \$4300 fine, and \$100 special assessment
17-CI-(b) 02	(b)	2/22/2017	3/20/2017	6/16/2017	(b)(6);(b)(7)(C)	Misconduct	Closed - 2 day suspension
17-CI-(b) 03	(b);	2/24/2017	5/17/2017	7/14/2017		Harassment	Closed - Counseling memo
17-CI-(b) -04	(b)(3/27/2017	5/24/2017	7/21/2017		Misconduct	Closed - Letter of reprimand
17-(b) -05	(b)(10/30/2017	3/7/2018	3/28/2018		Retaliation	Closed - No action taken
17-CO-06	CO	10/31/2017	6/4/2018	8/3/2018	Sarah Vega	Unauthorized Receipt of Expenses	Closed - No action taken
17-CO-07	CO	12/11/2017	2/8/2018	4/12/2018	J. Mark McWatters	Conflict of Interest	Closed - No action taken
17-(b) -08	(b)	12/19/2017	6/27/2018	7/17/2018	(b)(6);(b)(7)(C)	Unauthorized Receipt of Expenses	Closed - Letter of reprimand and paid back \$796



Case Number	Region	Date Opened	Date ROI issued	Date Case Closed	Subject(s)	Matter(s) under Investigation	Status
18-01	CO	2/13/2018	5/14/2018	7/10/2018	J. Mark McWatters	Unauthorized Receipt of Expenses	Closed - No action taken
18-02	(b)(7)	8/23/2018			(b)(7)		
18-03	(b)(7)	8/28/2018	2/15/2019	2/15/2019	(b)(6)/(b)(7)(C)	Falsified Job Application	Closed - No action taken

Case Number	Region	Date Allegation Received	Date Opened	Date ROI issued	Date Case Closed	Subject(s)	Matter(s) under Investigation	Allegation Sustained	Action Taken	Referral	Declination
19-01	CO	1/16/2019	2/1/2019	NA	11/8/2019	Bruce Hegyi	Unauthorized release of 6(e) information	Yes			
19-02	(b)(3)	2/12/2019	3/12/2019			(b)(7)	(b)(7)(A)				
19-03	(b)(3)	4/12/2019	4/12/2019	10/4/2019	10/21/2019	(b)(6); (b)(7)	Whistleblower Retaliation	No	None		
19-04	CO	4/22/2019	4/24/2019	7/17/2019	8/26/2019	Yun Luo	Misuse of position & false statements		Removed 9/30/ Fed - 7/1/2019		7/2/2019
19-05	(b)(6); (b)(7)	5/9/2019	5/10/2019	8/1/2019	8/1/2019	(b)(6); (b)(7)	Unauthorized access of server/documents	No	None		
19-06	(b)(6); (b)(7)	5/22/2019	10/18/2019 *			(b)(6); (b)(7)	(b)(7)(A)				

* Delay in opening case was due to the June 2019 retirement of former Director of Investigations and the August 2019 start date of the current Director of Investigations and because two other investigations needed to be completed.