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Description of document: Listing of National Credit Union Administration (NCUA) Inspector General (OIG) Investigations Closed FY2021 - FY2022

Requested date: 09-January-2023

Release date: 11-January-2023

Posted date: 24-July-2023

Source of document: FOIA REQUEST
NCUA Office of Inspector General
1775 Duke Street
Alexandria, VA 22314-3428
Email: OIGmail@ncua.gov
[NCUA's Freedom of Information Act \(FOIA\) Portal](#)

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National Credit Union Administration

Office of Inspector General

January 11, 2023

SENT BY EMAIL

SUBJECT: FOIA Request 2023-IGF-00001

This responds to your January 9, 2023, request under the Freedom of Information Act (FOIA), 5 U.S.C. § 552, for a list of the Office of Inspector General's investigations that were closed in calendar years 2021 and 2022. Please note that we maintain our investigative activity reports on a fiscal year basis, which begins each year on October 1 and ends on September 30 the following year.

I conducted a search and located two pages responsive to your request. I withheld names and other identifying information of investigation subjects whose grade levels were below CU-15 and investigation subjects when our investigation did not sustain the allegations, pursuant to Exemptions (b)(6) and (b)(7)(C) of FOIA, which protect personal privacy interests.

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 Karima Kenya-Swinton, 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).

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Seeking assistance from the OIG Public Liaison or OGIS does not affect your right, or extend the deadline, to pursue an appeal.

Sincerely,

MARTA ERCEG Digitally signed by MARTA
ERCEG
Date: 2023.01.11 15:01:46 -05'00'

Marta Erceg
Counsel to the Inspector General
Assistant IG for Investigations

Attachment

cc: Associate General Counsel, Information and Access Law

| 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 |
|-------------|---------|--------------------------|-------------|-----------------|------------------|-------------------------|--|----------------------|---|-------------|------------------------------|
| 21-01 | (b)(6); | 9/24/2020 | 10/1/2020 | 09/27/21 (MTF) | 9/27/2021 | (b)(6); (b)(7)(C) CU-11 | Inappropriately communicated with (b)(6); CEO of (b)(6); CU, while the NCUA was conducting an examination of (b)(6); | N/A | Employee resigned while under investigation | N/A | N/A |
| 21-02 | Central | 3/29/2021 | 4/20/2021 | 9/15/2021 | 9/28/2021 | Robert Foster, SSP 2 | Acts Affecting A Personal Financial Interest False Statements | Yes | Management intends to take administrative action. | PIN 5-19-21 | Not accepted for prosecution |
| 21-03 | (b)(6); | 5/24/2021 | 9/27/2021 | | | (b)(6); (b)(7)(C) | (b)(6); (b)(7)(C) | | | | |
| 21-MTF-01 | (b)(6); | 5/3/2021 | NA | 05/21/21 (MTF) | 5/21/2021 | (b)(6); (b)(7)(C) CU 14 | Conflict of Interest | No | N/A | N/A | N/A |

| 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 |
|-------------|-------------------|--------------------------|-------------|-----------------|------------------|-------------------------------------|--|----------------------|--|--|-------------|
| 22-01 | (b)(6); (b)(7)(C) | 11/30/2021 | 12/3/2021 | 6/30/2022 | 6/30/2022 | (b)(6); (b)(7)(C) NCUA Applicant | False Statements/Altered Documents provided to the NCUA during the application process | Yes | OCSM referred matter to OPM for debarment. | DOJ-PIN (Not Accepted), EDVA (Accepted but did not pursue charges) | |
| 22-MTF-01 | (b)(6); (b)(7)(C) | 1/31/2022 | N/A | 2/4/2022 (MTF) | 2/4/2022 | (b)(6); (b)(7)(C) | Unauthorized Receipt of Expenses | No | N/A | N/A | N/A |
| 22-MTF-02 | (b)(6); (b)(7)(C) | 2/14/2022 | N/A | 3/16/2022 (MTF) | 3/16/2022 | (b)(6); (b)(7)(C) | Conflict of Interest | No | N/A | N/A | N/A |
| 22-MAR-01 | (b)(6); (b)(7)(C) | 6/10/2022 | N/A | 6/27/2022 (MAR) | 6/27/2022 | (b)(6); (b)(7)(C) CU Examiner | Conflict of Interest | No | MAR-Region | N/A | N/A |