



**COUNCIL OF THE INSPECTORS GENERAL
ON INTEGRITY AND EFFICIENCY**
INTEGRITY COMMITTEE

June 8, 2023

The President
The White House
Washington, DC 20500-0000

Dear Mr. President:

5 U.S.C. § 424(d)(9) of the Inspector General Act of 1978, as amended, requires the Council of the Inspectors General on Integrity and Efficiency (CIGIE) to submit to the President and the Congress a report on the activities of the CIGIE Integrity Committee (IC) during the immediately preceding 6-month period. Enclosed is the report of the IC Chairperson, summarizing the IC activities for October 1, 2022 – March 31, 2023. The report provides information on the number, status, and disposition of complaints received by the IC during this period.

Thank you for your continued support for the work of the Inspector General community. Should your staff wish to receive any additional information concerning this report or any other CIGIE activity, please have them contact me or Juan Lara, CIGIE External and Congressional Affairs Specialist, at juan.lara@cigie.gov.

Respectfully,

Mark Lee Greenblatt
Chairperson

Enclosure

cc: The Honorable Jason Miller, Executive Chairperson
Council of the Inspectors General on Integrity and Efficiency



**COUNCIL OF THE INSPECTORS GENERAL
ON INTEGRITY AND EFFICIENCY**
INTEGRITY COMMITTEE

June 8, 2023

The Honorable Gary C. Peters
Chairman, Committee on Homeland Security
and Governmental Affairs
United States Senate
340 Dirksen Senate Office Building
Washington, DC 20510-6250

The Honorable Rand Paul
Ranking Member, Committee on Homeland Security
and Governmental Affairs
United States Senate
340 Dirksen Senate Office Building
Washington, DC 20510-6250

Dear Mr. Chairman and Ranking Member Paul:

5 U.S.C. § 424(d)(9) of the Inspector General Act of 1978, as amended, requires the Council of the Inspectors General on Integrity and Efficiency (CIGIE) to submit to the President and the Congress a report on the activities of the CIGIE Integrity Committee (IC) during the immediately preceding 6-month period. Enclosed is the report of the IC Chairperson, summarizing the IC activities for October 1, 2022 – March 31, 2023. The report provides information on the number, status, and disposition of complaints received by the IC during this period.

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Council of the Inspectors General on Integrity and Efficiency



**COUNCIL OF THE INSPECTORS GENERAL
ON INTEGRITY AND EFFICIENCY**
INTEGRITY COMMITTEE

June 8, 2023

The Honorable James Comer
Chairman, Committee on Oversight
and Accountability
U.S. House of Representatives
2157 Rayburn House Office Building
Washington, DC 20515-6143

The Honorable Jamie Raskin
Ranking Member, Committee on Oversight and
and Accountability
U.S. House of Representatives
2157 Rayburn House Office Building
Washington, DC 20515-6143

Dear Mr. Chairman and Ranking Member Raskin:

5 U.S.C. § 424(d)(9) of the Inspector General Act of 1978, as amended, requires the Council of the Inspectors General on Integrity and Efficiency (CIGIE) to submit to the President and the Congress a report on the activities of the CIGIE Integrity Committee (IC) during the immediately preceding 6-month period. Enclosed is the report of the IC Chairperson, summarizing the IC activities for October 1, 2022 – March 31, 2023. The report provides information on the number, status, and disposition of complaints received by the IC during this period.

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Respectfully,

Mark Lee Greenblatt
Chairperson

Enclosure

cc: The Honorable Jason Miller, Executive Chairperson
Council of the Inspectors General on Integrity and Efficiency

INTEGRITY COMMITTEE SEMIANNUAL REPORT TO CONGRESS AND THE PRESIDENT

October 1, 2022-March 31, 2023



**COUNCIL OF THE INSPECTORS GENERAL
ON INTEGRITY AND EFFICIENCY**

INTEGRITY COMMITTEE

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Message from Chairperson Winters



I am privileged to present the first semiannual report of the Council of the Inspectors General on Integrity and Efficiency’s (CIGIE) Integrity Committee (IC) highlighting the activities, accomplishments, and challenges of the IC from October 1, 2022, to March 31, 2023.¹

The Inspector General Act of 1978 requires the IC to receive, review, and refer for investigation allegations of wrongdoing made against Inspectors General, certain designated senior members of an Office of Inspector General (OIG), and the Special Counsel and Deputy Special Counsel of the U.S. Office of Special Counsel.

By performing these duties, the IC serves as an important mechanism for promoting public trust regarding senior OIG officials and others. The IC remains vigilant in its duty to ensure these officials “perform their duties with integrity and apply the same standards of conduct and accountability to themselves as they apply to the agencies that they audit and investigate.”²

The IC consists of four Inspectors General and representatives from the Federal Bureau of Investigation and the Office of Government Ethics. A representative from the Department of Justice, Public Integrity Section, serves as a legal advisor to the IC, and attends the IC’s meetings.

During this reporting period, the IC continued to receive complex and serious allegations, which included widely publicized matters with congressional and national media interest. The IC received 1,656 incoming communications and convened ten times to address these matters (seven scheduled meetings and three interim meetings for cases needing immediate review). The IC reviewed 59 cases requiring a substantive decision and referred two to the IC Chairperson for a formal investigation. The IC also completed two investigations initiated in prior fiscal years and issued its respective findings and recommendations to the appointing official and congressional committees of jurisdiction. Additionally, pursuant to new statutory requirements, the IC issued a “seven-day” report to an Inspector General on February 27, 2023.³

Since CIGIE’s assumption of IC leadership and management responsibilities in 2016, the IC continues its ongoing commitment to accountability, transparency, and effectiveness. In addition

¹ Prior to the recent revision of the Inspector General Act of 1978, the IC was required to provide its reports to Congress on an annual basis. 5 U.S.C. § 424(d)(9).

² Committee on Oversight and Government Reform, *Improving Government Accountability Act*, 110th Cong. (Sept. 27, 2007) (H. Rept. 110-354).

³ 5 U.S.C. § 405(e)(1) states the IC Chairperson “shall, immediately whenever the Chairperson of the Integrity Committee becomes aware of particularly serious or flagrant problems, abuses, or deficiencies relating to the administration of programs and operations of an Office of Inspector General for which the Integrity Committee may receive, review, and refer for investigation allegations of wrongdoing under section 11(d) [now 5 U.S.C. § 424(d)], submit a report to the Inspector General who leads the Office at which the serious or flagrant problems, abuses, or deficiencies were alleged.”

to amending its [policies and procedures](#) in 2021 regarding access to information, the IC revised its [Privacy Act System of Records Notice](#) (SORN) to enable the IC to be more transparent about its work.⁴ For example, the SORN now permits the IC to disclose records to complainants concerning the results of the investigation or other inquiry arising from their complaint and to disclose information about IC matters to the news media and/or the public under certain limited circumstances. Accordingly, the IC has posted more information to its website and publicly acknowledged ongoing investigations involving current and former senior Department of Homeland Security OIG personnel. The IC also continues to work diligently on its educational outreach efforts to its stakeholders on many issues related to its work—to include presentations to the IG community and numerous briefings to congressional staff.

The IC remains committed to continuing its important accountability mission while working with Congress and our stakeholders to help provide our Nation’s taxpayers with the assurance of independent oversight of senior personnel within the OIG community. The IC trusts that the attached report will provide further insight into its operations. For more information regarding the IC’s historical records, reports of investigations, and up-to-date reporting regarding its activities, please visit <https://www.ignet.gov/cigie/committees/integrity-committee>.

A handwritten signature in black ink that reads "K. H. Winters". The signature is written in a cursive style with a long, sweeping underline.

Kevin H. Winters
Chairperson

⁴ Privacy Act of 1974; System of Records, 87 Fed. Reg. 55795 (Sept. 12, 2022).

**Council of the Inspectors General
on Integrity and Efficiency Integrity Committee**
Semiannual Report
October 1, 2022-March 31, 2023

Statutory Authority and Mission

The mission of the Council of the Inspectors General on Integrity and Efficiency’s (CIGIE) [Integrity Committee](#) (IC) derives from the Inspector General Act of 1978 (IG Act), specifically 5 U.S.C. § 424(d). In pertinent part, the IC is to receive, review, and refer for investigation allegations of wrongdoing made against an Inspector General (IG), certain designated senior members of an Office of Inspector General (OIG), and the Special Counsel and Deputy Special Counsel of the U.S. Office of Special Counsel (OSC). In addition, the Legislative Branch Inspectors General Independence Act of 2019 requires the IC to also review allegations of misconduct by an agent or special agent in a Legislative Branch OIG.

Committee Membership and Support Staff

IC membership includes four IGs, a designee from the Office of Government Ethics (OGE), and a designee from the Federal Bureau of Investigation (FBI). The current IC members are:

- [Kevin H. Winters](#), IG, Amtrak (Chairperson)
- [The Honorable Thomas A. Monheim](#), IG of the Intelligence Community⁵
- [Kimberly A. Howell](#), IG, Corporation for Public Broadcasting
- [The Honorable Gail S. Ennis](#), IG, Social Security Administration
- [Dale A. Christopher](#), Deputy Director for Compliance, OGE
- [Catherine S. Bruno](#), Assistant Director, Office of Integrity and Compliance, FBI

Additionally, [Andrew Katsaros](#), IG, Federal Trade Commission, and [the Honorable Brian Tomney](#), IG, Federal Housing Finance Agency, serve as alternate IC members in the event an IC member is recused from participating in IC matters or is otherwise unavailable and the IC is unable to establish quorum.

The IC is supported by two CIGIE staff members, who report directly to the IC Chairperson, and a Department of Justice (DOJ) legal advisor, currently a senior official of the DOJ Public Integrity Section. As required by operational necessity, additional IC legal support is provided by detailing qualified attorneys from Federal departments and agencies.

Integrity Committee Policies and Procedures

The IC operates pursuant to its published [policies and procedures](#) (IC Policies and Procedures), which refers to individuals subject to IC oversight as “Covered Persons.” Upon receipt of a

⁵ In February 2023, Mr. Monheim was appointed as a full member to the IC.

complaint against a Covered Person, the IC support staff forwards the complaint to the Allegation Review Group, a three-member panel that consists of a designee of the IC, DOJ, and OSC (*see* Enclosure 1). This ensures the equities of each agency are considered prior to referring the matter to the IC for review. The IC members meet every three weeks as an independent deliberative body to review each allegation, using a threshold standard and the current policies and procedures to guide its actions.⁶ The IC continually strives to ensure the fair, consistent, timely, and impartial disposition of allegations.

To mitigate the existence or appearance of conflicts of interest, the IC adheres to a policy of transparency and recusal, as appropriate. For example, IC members are automatically recused from participating in matters in which that member or another person in that member's office or agency has personally and substantially participated, and all matters before the IC while the member knows that he or she is under criminal investigation or IC investigation. Additionally, an IC member may be recused from a matter if that member or the IC believes that the member's impartiality would be questioned by a reasonable person with knowledge of the relevant facts.⁷

Major Challenges Faced by the IC

5 U.S.C. § 424(d)(9) requires CIGIE to submit to Congress and the President a report on the activities of the IC during the immediately preceding 6-month period, including a brief description of any difficulty encountered by the IC, such as any attempt to prevent or hinder an investigation; concerns about the integrity or operations at an OIG; and other matters that CIGIE or the IC considers appropriate.

Similar to any investigative organization, the IC has operational challenges associated with executing its duties. Its overarching challenge, however, is meeting the IG Act's deadlines for processing complaints and issuing investigative reports. The IC takes this obligation very seriously. Nevertheless, factors such as case complexity and staff availability impact the time it takes to process complaints and to investigate a matter and produce a report of investigation.

⁶ The IC considers allegations of wrongdoing against any of the following individuals:

- An IG;
- A staff member of an Office of Inspector General (OIG) whose position is designated under section 4 of these Policies ("Designated Staff Member");
- The Special Counsel and the Deputy Special Counsel of OSC, but not their staff members. For purposes of these Policies, requirements pertaining to an IG also apply to the Special Counsel and Deputy Special Counsel, except that the Special Counsel is not required to designate staff members under section 4 of these Policies; and
- Anyone serving in an Acting or Interim capacity in a position set forth above.

At its discretion and consistent with the public interest (including the availability of an effective remedy), the IC may consider wrongdoing alleged to have occurred while an individual served as a Covered Person, even if that individual is no longer a Covered Person or in government service when the IC receives the allegation. IC Policies and Procedures (2018), section 2. The IC takes action on allegations of wrongdoing against a Covered Person that involve abuse of authority in the exercise of official duties or while acting under color of office, substantial misconduct, such as gross mismanagement, gross waste of funds, or a substantial violation of law, rule, or regulation, or conduct that undermines the independence or integrity reasonably expected of a Covered Person. IC Policies and Procedures (2018), section 7.A.

⁷ IC Policies and Procedures (2018), section 3.K.

During this reporting period, the IC issued five letters notifying Congress of the need to extend the 30-day IC review period and the 150-day IC investigation period reflected in the IG Act.⁸ Of the 24 cases that exceeded the IC review period:

- 16 cases exceeded the initial 30-day IC review period due to the classified nature of the material, a lack of quorum for IC determinations, requests for additional information, or the 20 days given by IC policy to each subject who is asked to respond to the allegations.
- 8 cases exceeded the 150-day IC investigation period due to the large number of documents reviewed and witnesses interviewed for each case, or, in some cases, the investigation of additional allegations of wrongdoing that arose during the investigation or a lack of cooperation by subjects and others.

Factors impacting timeliness. Compared to OIGs with an imbedded investigative capability and the ability to prioritize investigative assets, IC operations are dependent on a small staff to coordinate and administer the IC’s workload and rely on the capacity of Assisting OIGs to timely perform the assigned investigations. In addition, IC decision-making is dependent upon the availability of IC members, all of whom have demanding positions external to the IC, to prepare for meetings, make decisions, and track cases.

- Staffing Limitations. The IC’s origins date back to 1996, per Executive Order 12993, in which the FBI administered IC operations. In 2016, the Inspector General Empowerment Act shifted IC operations from the FBI to CIGIE, which included administrative responsibilities such as complaint processing, case file management, investigative management, correspondence, external relations, and Freedom of Information Act responsibilities. Since that time, one or two full-time staff fulfilled those duties, which also includes synthesizing incoming complaints with DOJ and OSC.

At the end of this reporting period, two CIGIE employees (an attorney and a program manager) and two temporary investigative counsels (on detail from other agencies) support the IC full time, but as of the publication of this report, one detailee has returned to their agency. CIGIE has, however, made IC staffing a priority, and the IC is working expeditiously on long- and short-term solutions, which include hiring another full-time attorney.

- Coordination Challenges. Under the IG Act, four IGs, from both establishment and non-establishment organizations, coupled with executives from the FBI and OGE, comprise the makeup of the IC. This is in addition to their regular duties, which, for IGs, is oversight over the programs and operations of their respective departments, agencies, or designated federal entities.

While IC meetings and decisions have the benefit of multiple perspectives, the IC decision-making process presents a major coordination challenge, and the unavailability of even one staff member can have a significant impact on the process. So too with the availability of IC members, as the IC must have a quorum to make decisions.

⁸ Each such letter addresses multiple cases.

When IC cases are ready for review, IC staff must coordinate the schedules of the six IC members and a DOJ Public Integrity Section attorney to meet and review the incoming complaints and supporting documentation. During these meetings, which generally occur every three weeks, IC members make decisions such as closing a matter; requesting further information from a subject or complainant; and referring a matter to another entity or to the IC Chairperson for investigation. Follow-ups to meetings involve production and approval of correspondence, and separate individual case tracking meetings.

- Investigative Outsourcing and Control. The IC does not have an imbedded investigative capability; pursuant to the IG Act, it must seek investigative support from OIGs in the federal IG community—and this process creates delays for different reasons. For example, finding a non-conflicted OIG of “equivalent size” to the OIG under IC investigation (as required by statute), and who has operational capacity to assist the IC with an investigation, can take weeks or months, which further impacts the ability of the IC to complete and investigation within the 150 days required by the IG Act.⁹

In addition, an Assisting OIG typically investigates IC matters among other investigative priorities facing their respective OIG, which also impacts overall availability or timeliness. The IC has no ability to select an Assisting OIG’s investigative team or adjust the internal priorities of team members. For example, the challenges presented by pandemic relief fraud cases in the IG community continue to present an unprecedented strain on investigative resources and priorities.

- Other Factors Contributing to IC Delay. Over the years, the IC has faced numerous reasons, aside from structure and staffing, that have delayed its operations. These include resistance from subjects or their parent OIG when the IC attempts to review, evaluate, or investigate allegations of wrongdoing. Such activities include non-responsiveness from subjects when the IC requests a response; challenges by a subject or OIG staff ranging from claims that the Assisting OIG and/or the IC has no authority over their agency to assertions of privilege or that the information is classified. Subjects have also sought to halt or influence the IC process by seeking relief through the courts; complaints against IC members; and a request for the CIGIE Chairperson to remove the current IC membership. Finally, congressional oversight is a welcome and expected part of the IC oversight process. Nevertheless, congressional engagement (briefings, correspondence, data requests, etc.) has markedly increased over the past years and has had an impact on the prioritization of IC’s resources.

Allegations of Wrongdoing by Federal Position

During the reporting period, the IC received 1,656 incoming communications, which were screened to remove duplicates, objectively unreliable information, and complaints determined to be completely outside of the IC’s authority. The remaining 59 complainant communications

⁹ 5 U.S.C § 424(d)(7)(B)(i)(v) and (d)(7)(C)(i).

were then forwarded to the Allegation Review Group for review and placed on the IC’s agenda. These 59 cases involved 33 different agencies and 74 Covered Persons. Figure 1 shows that out of the allegations referred to the IC, 42% were allegations against IGs, former IGs, and those acting in the capacity as the IG, 15% were against the Deputy IG and/or the Counsel to the IG, 27% were against an Assistant IG, and 16% were against other designated staff.

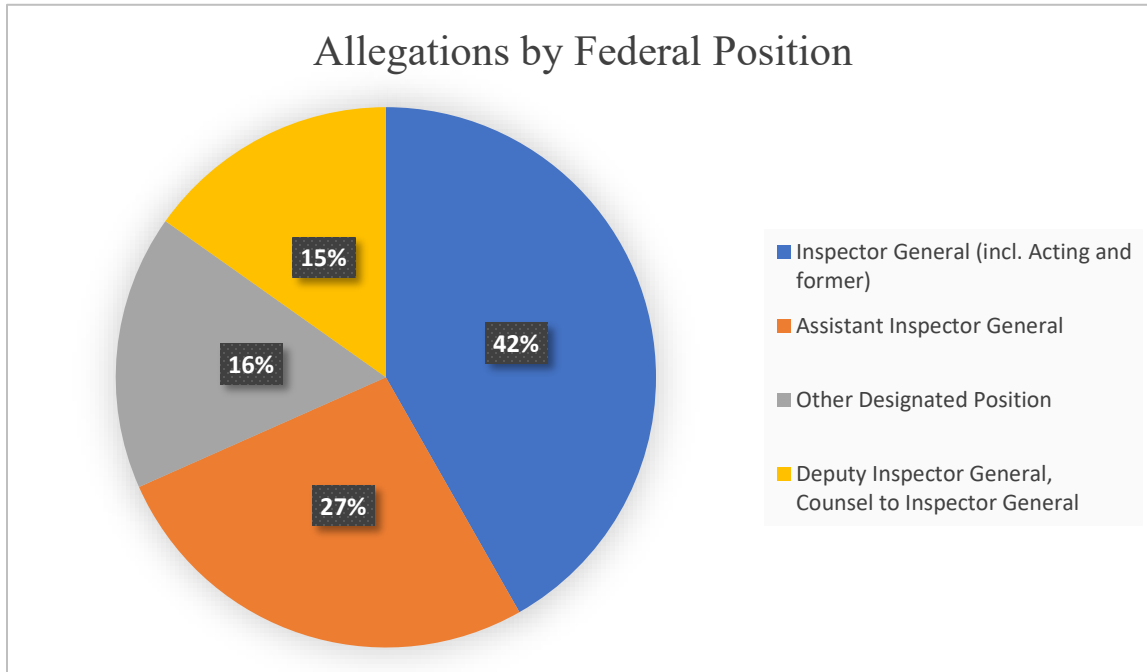


Figure 1. Allegations by Federal Position

Allegations of Wrongdoing by Category

The IC takes action on allegations of wrongdoing that involve abuse of authority in the exercise of official duties or while acting under color of office; substantial misconduct, such as gross mismanagement, gross waste of funds, or a substantial violation of law, rule, or regulation; or conduct that undermines the independence or integrity reasonably expected of such persons (*see* Figure 2). During this reporting period, the IC opened 59 cases for review. On average, each case contained multiple allegations of wrongdoing against one or more Covered Persons. The total number of allegations received by the IC during this reporting period was 140, averaging 422 pages of substantive information for IC review for each meeting, and which are displayed below by category (*see* Figure 2).

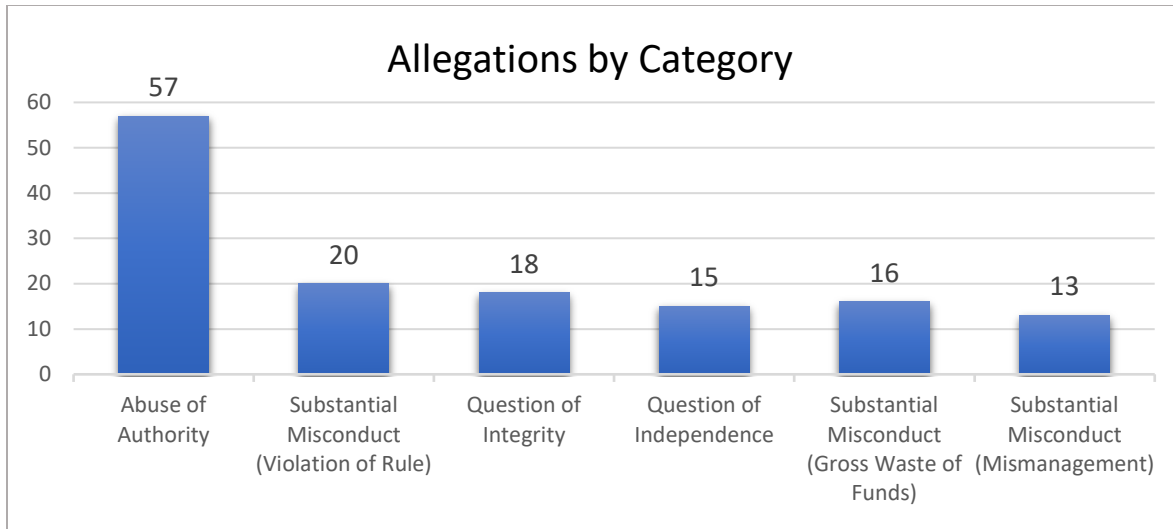


Figure 2. Allegations by Category

Disposition of Cases for this Reporting Period

During this reporting period, the IC opened 59 cases, closed 53 cases, and has six cases pending IC review. *See* Figure 3. The IC requested additional information from 4 complainants and sought 15 responses from 20 subjects. Of the six pending cases, two were referred for investigation (IC 23-022 and IC 23-039), *see* “Investigations Referred to the Chairperson This Reporting Period” below, and four remain pending for IC review:

- IC 23-054: The IC received this case on March 23, 2023. The IC requested a response from the subject and granted their request for a 20-day extension to the deadline. The matter will be reviewed/considered by the IC in June 2023, and it will be reported in the IC’s next semiannual report.
- IC 23-055: The IC received this case on March 23, 2023. The IC requested a response from the subject and granted their request for a 20-day extension to the deadline. The matter will be reviewed/considered by the IC in June 2023, and it will be reported in the IC’s next semiannual report.
- IC 23-057: The IC received this case on March 23, 2023. The IC requested a response from the subjects and granted their requests for a 20-day extension to the deadline. The matter will be reviewed/considered by the IC in June 2023, and it will be reported in the IC’s next semiannual report.
- IC 23-058: The IC received this case on March 31, 2023. The IC requested additional documents from the complainant for evaluation and review. The matter will be reviewed/considered by the IC in June 2023, and it will be reported in the IC’s next semiannual report.

Of the 53 cases closed by the IC, 34 cases were closed without external referral. These cases either contained no apparent allegations of wrongdoing and/or the IC threshold standard was not met. Eleven cases were closed because the responses from the subject(s) sufficiently refuted the

allegations, and nine cases were referred to other heads of agencies for any action deemed appropriate:¹⁰

- Seven to the Special Counsel of OSC;
- One to another agency of jurisdiction;
- One to the CIGIE Chairperson; and
- No referrals were sent to DOJ, including DOJ’s criminal division.

The positions held by these individuals and the duties affiliated with these positions can be found in Figure 1. The categories or types of allegations of wrongdoing are listed in Figure 2.

Cases that Remain from Previous Reporting Periods

One case remains with the IC from the previous reporting period:

- IC 22-046: The IC received this case on May 12, 2022, the IC engaged in deconfliction briefings with multiple entities; the IC agreed to assist the subject OIG with finding another independent OIG to investigate an allegation that is outside the IC’s authority; the IC received additional allegations and decided to consolidate the matters; the IC requested a response from the subjects and granted their request for a 20-day extension to the deadline and, after reviewing the subjects’ responses, the IC requested an additional response from the subjects and the subjects again sought extensions. Based on additional allegations that the IC received while the subjects were reviewing the IC’s second request for information, the IC supplemented its request for information with a third request. One subject stated they could not provide a complete response to the IC because they were not authorized to do so by their OIG. Therefore, the IC requested that the OIG provide authorization. The IC will be evaluating the information it receives from the subjects to determine next steps.

The positions held by these individuals and the duties affiliated with these positions can be found in Figure 1. The categories or types of allegations of wrongdoing are listed in Figure 2.

Investigations Referred to the Chairperson in this Reporting Period

The IC had a total of ten investigations pending completion at the end of the reporting period. Of those, two were IC referrals to the Chairperson made during this reporting period. The positions held by these individuals and the duties affiliated with these positions can be found in Figure 1. The categories or types of allegations of wrongdoing are listed in Figure 2.

- IC 23-022: On January 5, 2023, the IC referred this matter to the Chairperson for investigation. The investigation is ongoing and required the issuance of a seven-day report on February 27, 2023.

¹⁰ To protect whistleblowers’ identities, the IC will not refer an allegation to another agency of jurisdiction without the complainant’s consent.

- IC 23-039: On February 13, 2023, the IC referred this matter to the Chairperson for investigation. The investigation is ongoing.

Investigations Referred to the Chairperson in Previous Reporting Periods

The investigations referred to the Chairperson during previous reporting periods include:

- IC 20-035: On April 23, 2020, the IC referred this matter to the Vice-Chairperson for investigation. The IC has received the report of investigation from the Assisting OIG and is preparing to issue its findings and recommendations to the appointing authority, the subject, IC stakeholders, and the relevant congressional oversight committees.¹¹
- IC 20-059: On April 8, 2021, the IC referred this matter to the Chairperson for investigation. The draft report of investigation is being prepared by the Assisting OIG.
- IC 21-019: On April 8, 2021, the IC referred this matter to the Chairperson for investigation. The investigation is ongoing.
- IC 21-027: On July 15, 2021, the IC referred this matter to the Chairperson for investigation. The IC has received the draft report of investigation from the Assisting OIG and submitted it to the subject for comment.
- IC 22-028.044: On July 7, 2022, the IC referred this matter to the Chairperson for investigation. The investigation is ongoing.
- IC 22-048: On May 26, 2022, the IC referred this matter to the Chairperson for investigation. The investigation is ongoing.
- IC 22-057: On July 28, 2022, the IC referred this matter to the Chairperson for investigation. The IC has received the draft report of investigation from the Assisting OIG and submitted it to the subjects for comment. Additionally, the IC Chairperson granted the subjects' requests for a two-week extension to the deadline.
- IC 22-063: On August 18, 2022, the IC referred this matter to the Chairperson for investigation. The investigation is ongoing.

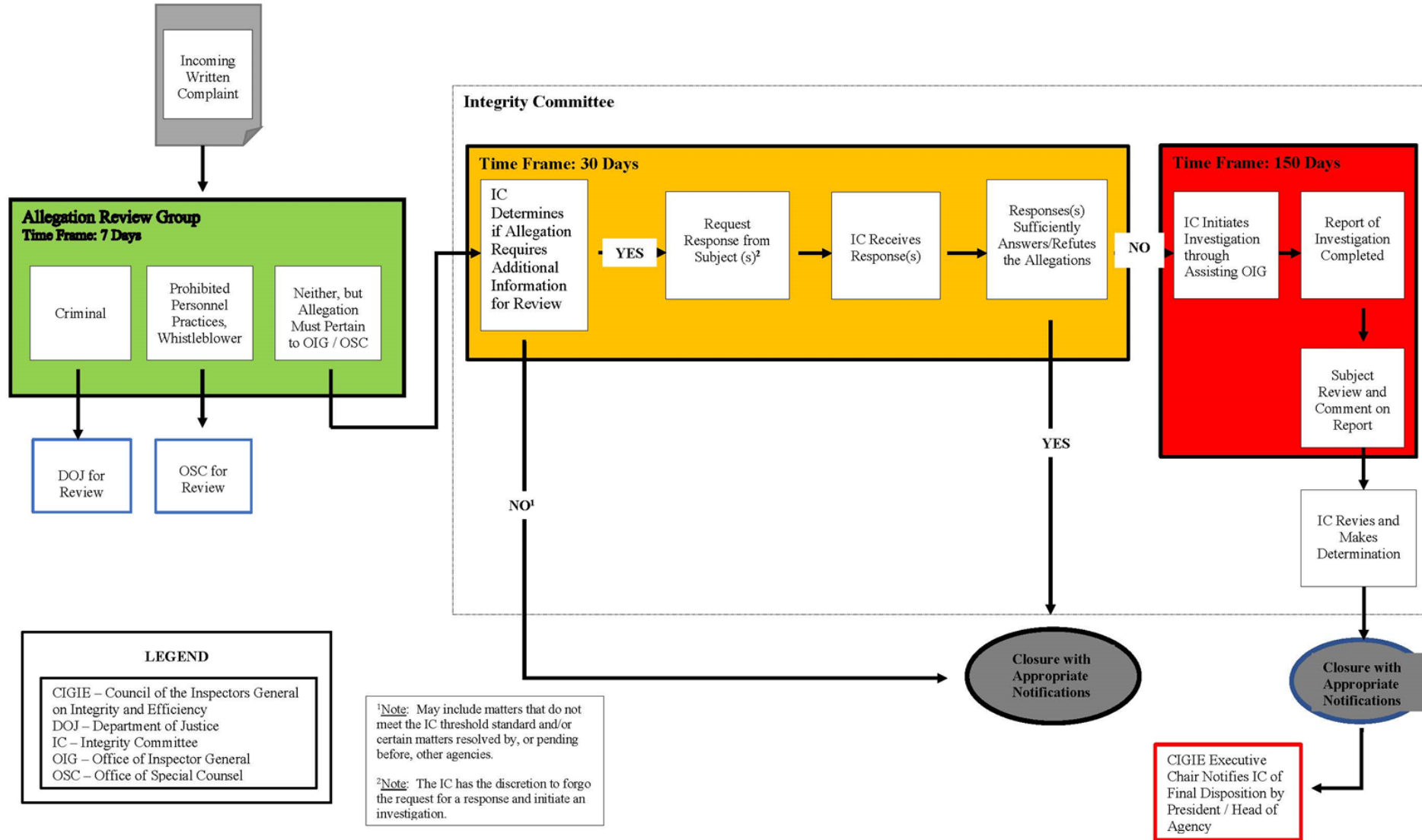
The IC does not provide substantive information on pending investigations outside the deconfliction process. The positions held by individuals under investigation and the duties affiliated with these positions can be found in Figure 1. The categories or types of allegations of wrongdoing are listed in Figure 2.

Integrity Committee Contact Information and Resources

CIGIE and the IC staff maintain a webpage for historical records and up-to-date information regarding the IC and its activities at <https://www.ignet.gov/cigie/committees/integrity-committee>. The webpage also includes information on how to contact the IC, and additional information such as frequently asked questions and guidance on filing a complaint and the opportunity to remain confidential.

¹¹ This matter was referred to the Vice Chairperson for investigation because the IC Chairperson is recused.

Enclosure 1. Generic Integrity Committee Process for Allegations Received Against Covered Persons



Enclosure 2. Disposition Dates for Cases in this Reporting Period.

Case #	Date Opened / Referred to IC	Date Closed	Case #	Date Opened / Referred to IC	Date Closed	Case #	Date Opened / Referred to IC	Date Closed
001	10/10/2022	10/20/2022	025	1/5/2023	02/02/2023	050	3/17/2023	03/23/2023
002	10/18/2022	01/05/2023	026	1/10/2023	03/23/2023	051	3/17/2023	03/23/2023
003	10/18/2022	12/08/2022	027	1/10/2023	03/23/2023	052	3/17/2023	04/14/2023
004	11/4/2022	03/23/2023	028	1/10/2023	02/02/2023	053	3/23/2023	04/14/2023
005	11/7/2022	12/08/2022	029	1/12/2023	02/02/2023	054	3/23/2023	06/01/2023
006	11/11/2022	11/10/2022	030	1/12/2023	02/02/2023	055	3/23/2023	06/01/2023
007	11/11/2022	01/05/2023	031	1/16/2023	02/02/2023	056	3/23/2023	04/14/2023
008	11/17/2022	12/08/2022	032	1/20/2023	03/23/2023	057	3/23/2023	Pending
009	11/23/2022	12/08/2022	033	1/20/2023	02/02/2023	058	3/31/2023	Pending
010	11/23/2022	12/08/2022	034	1/26/2023	03/23/2023	059	3/31/2023	05/04/2023
011	11/23/2022	02/23/2023	035	2/3/2023	04/14/2023			
012	11/24/2022	01/05/2023	036	2/6/2023	03/23/2023			
013	11/25/2022	12/08/2022	037	2/13/2023	02/23/2023			
014	11/29/2022	01/05/2023	038	2/13/2023	02/23/2023			
015	11/29/2022	02/02/2023	039	2/15/2023	Pending			
016	12/20/2022	01/05/2023	040	2/17/2023	02/23/2023			
017	12/20/2022	01/05/2023	041	2/20/2023	02/23/2023			
018	12/22/2022	01/05/2023	042	2/21/2023	02/23/2023			
019	12/23/2022	01/05/2023	043	2/23/2023	05/04/2023			
020	12/23/2022	01/05/2023	044	2/23/2023	03/23/2023			
021	12/23/2022	01/05/2023	045	3/2/2023	03/23/2023			
022	12/29/2022	Pending	046	3/13/2023	03/23/2023			
023	12/29/2022	01/05/2023	047	3/13/2023	03/23/2023			
024	12/30/2022	01/05/2023	048	3/16/2023	03/23/2023			
			049	3/17/2023	03/23/2023			

Enclosure 3. Summaries of Closed Investigations

IC Case 912:¹² Federal Housing Finance Agency (FHFA) OIG:

Beginning in 2017, the IC received multiple complaints alleging former IG Laura Wertheimer and other senior FHFA OIG personnel had grossly mismanaged the FHFA OIG Office of Audits, implemented coercive personnel actions, and created a culture of retaliation and abuse.

After deliberations, the IC voted to refer the allegations to the IC Chairperson for investigation. The IC Chairperson engaged the Federal Deposit Insurance Corporation OIG to conduct the investigation on the IC's behalf. After thoroughly reviewing the evidence, the IC found by a preponderance of the evidence that IG Wertheimer, Chief Counsel (CC) Leonard DePasquale, and Acting Deputy IG for Investigations (DIG) Richard Parker abused their authority in the exercise of their official duties and that IG Wertheimer engaged in conduct undermining the integrity reasonably expected of an IG. In pertinent part, the IC found that IG Wertheimer showed a disdain and resistance towards congressional and IC oversight by fostering a culture of witness intimidation through a pattern of staff abuse and fear of retaliation. Furthermore, IG Wertheimer wrongfully refused to cooperate with the IC's investigation by denying IC investigators full access to FHFA OIG personnel and documents.

The IC also found by a preponderance of the evidence that CC DePasquale and DIG Parker were fully complicit in IG Wertheimer's refusal to cooperate when they repeatedly and improperly denied the IC access to documents and a key witness, who was CC DePasquale himself. The IC issued its findings and recommendation to the President on April 14, 2021. IG Wertheimer left federal service on June 29, 2021, CC DePasquale retired from federal service on January 31, 2022, and as of September 6, 2022, DIG Parker was no longer employed with FHFA OIG.

IC Case 986: Commodity Futures Trading Commission (CFTC) OIG.

From December 2018 to March 2019, the IC received multiple complaints alleging IG A. Roy Lavik and DIG Judith Ringle abused their authority; wasted government funds; violated the IG Act by compromising whistleblower anonymity; lacked independence and integrity; and engaged in gross mismanagement of the CFTC OIG.

After deliberations, the IC voted to refer the allegations to the IC Chairperson for investigation. The IC Chairperson engaged the Federal Communications Commission OIG to conduct the investigation on the IC's behalf. After thoroughly reviewing the evidence, the IC found by a preponderance of the evidence that IG Lavik engaged in conduct undermining the integrity reasonably expected of his position; grossly mismanaged the OIG; wasted government funds by approving payment to a consultant who did not produce any work products; and improperly shared his usernames and passwords with CFTC OIG staff and contractors, including DIG Ringle, who used that information to log into a government

¹² The summary for IC 912 was inadvertently omitted from the IC's prior annual report, so to remedy that error, it is included in this report.

system and perform official actions in violation of CFTC IT rules prohibiting the sharing of passwords. Further, the IC investigators determined by a preponderance of the evidence that both IG Lavik and DIG Ringle wrongfully compromised whistleblower anonymity. The IC issued its findings and recommendation to the CFTC on February 13, 2023.

IC Case 20-029: U.S. Department of the Treasury OIG

On March 2, 2020, the IC received a complaint alleging Assistant Inspector General for Audit (AIGA) Deborah Harker improperly influenced the selection of a contractor and misused a government purchase card.

After deliberations, the IC voted to refer the allegations to the IC Chairperson for investigation. The IC Chairperson engaged the National Aeronautics and Space Administration OIG to conduct the investigation on the IC's behalf. After thoroughly reviewing the evidence, the IC found by a preponderance of the evidence that AIGA Harker abused her authority in the exercise of her official duties by wrongfully giving preferential treatment to a contractor by creating the appearance of violating ethical standards in her dealings with the contractor. Specifically, during the pendency of a purportedly competitive contracting process, AIGA Harker communicated extensively and exclusively with the contractor using both government and personal communication systems; improperly incorporated the contractor's materials in a Treasury OIG performance work statement; and failed to either eliminate the contractor from the competition or take remedial steps to limit potential bias as required by the Federal Acquisition Regulation. The IC issued its findings and recommendation to the President on December 1, 2022.¹³

¹³ Under the IG Act, only the IG or Acting IG has the authority to take disciplinary action against a subordinate OIG employee.



**COUNCIL OF THE INSPECTORS GENERAL
ON INTEGRITY AND EFFICIENCY**

INTEGRITY COMMITTEE

CONTACT INFORMATION:

INTEGRITY COMMITTEE

COUNCIL OF THE INSPECTORS GENERAL ON INTEGRITY AND EFFICIENCY

**1717 H STREET, NW, SUITE 825
WASHINGTON, DC 20006**

Integrity-Complaint@cigie.gov

<https://www.ignet.gov/cigie/committees/integrity-committee>