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Description of document: Pension Benefit Guaranty Corporation (PBGC) Inspector General (OIG) Investigations Closed CY2018 - CY2019

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Disclosure Officer
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Pension Benefit Guaranty Corporation
1200 K Street, N.W., Washington, D.C. 20005-4026

BY EMAIL

PBGC 2019-001580

May 15, 2020

RE: Request for a List of 2018 and 2019 OIG Investigations

I am responding to your request, dated February 23, 2020, and received by the Disclosure Division of the Pension Benefit Guaranty Corporation (PBGC) March 27, 2020. You requested a copy of the listing of the Office of Inspector General (OIG) investigations closed during calendar years 2018 and 2019, containing the following datasets: case number, the dates the investigation opened and closed, subject matter of the investigation, and the investigation category. We processed your request in accordance with the Freedom of Information Act (FOIA) and the PBGC's implementing regulation.

Pursuant to your request, the OIG conducted a search of their records and located 2 pages of responsive records. Enclosed is a spreadsheet containing all OIG investigations from January 1, 2018 through December 31, 2019 (2 pages). I have determined that the spreadsheet is fully releasable.

Although this response is not a denial of records, I am providing you your administrative appeal rights in the event you wish to avail yourself of this process. The FOIA provides at 5 U.S.C. § 552(a)(6)(A)(i) (2014) amended by FOIA Improvement Act of 2016, Pub. L. No. 114-185, 130 Stat. 538 that if a disclosure request is denied in whole or in part by the Disclosure Officer, the requester may file a written appeal within 90 days from the date of the denial or, if later (in the case of a partial denial), 90 days from the date the requester receives the disclosed material. The PBGC's FOIA regulation provides at 29 C.F.R. § 4901.15 (2017) that the appeal shall state the grounds for appeal and any supporting statements or arguments, and shall be addressed to the General Counsel, Attention: Disclosure Division, Pension Benefit Guaranty Corporation, 1200 K Street, N.W., Washington, D.C. 20005. To expedite processing, the words "FOIA Appeal" should appear on the letter and prominently on the envelope.

In the alternative, you may contact the Disclosure Division's Public Liaison at 202-326-4040 for further assistance and to discuss any aspect of your request. You also have the option to contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about their FOIA mediation services. The contact information for OGIS is as follows: Office of Government Information Services, National Archives and Records

Administration, 8601 Adelphi Road-OGIS, College Park, Maryland 20740-6001; e-mail at ogis@nara.gov; telephone at 202-741-5770; toll free at 1-877-684-6448; or facsimile at 202-741-5769.

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) (2019). 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 requesters and should not be taken as an indication that excluded records do, or do not exist.

This completes our processing of your request. Your request was categorized as “Other.” Under this category, requesters are subject to search and duplication costs.¹ Since processing costs were assessed below our nominal fee of \$25.00, I have not charged fees for processing this request.

You may submit future requests for PBGC records by accessing FOIAonline, our electronic FOIA processing system, at: <https://foiaonline.gov>, or by e-mail at Disclosure@pbgc.gov.

Sincerely,

A handwritten signature in blue ink that reads "D. Camilla Perry". The signature is fluid and cursive, with the first name "D." and last name "Perry" clearly legible.

D. Camilla Perry
Disclosure Officer
Office of General Counsel
General Law and Operation Department

¹ *See* 5 U.S.C. § 552(a)(4)(ii) (I).

Cases Closed Final Status

27FEB2020

Start Range: 01JAN2018

End Range: 31DEC2019

Number	Date Initiated	Status	Date Closed	Category	Subject 1	Subject 2
19-0008-I	26Nov2018	Closed - Final	26Mar2019	Employee Integrity - PBGC	Computer Misuse	[None]
19-0002-I	15Oct2018	Closed - Final	26Mar2019	Participant Benefit Irregularities	[None]	[None]
19-0001-I	15Oct2018	Closed - Final	26Mar2019	Participant Benefit Irregularities	[None]	[None]
18-0017-I	10Aug2018	Closed - Final	28Dec2018	Participant Benefit Irregularities	Identity Theft (e.g., Relative pretending to be the participant)	[None]
18-0015-I	14Mar2018	Closed - Final	17Dec2019	Participant Benefit Irregularities	Identity Theft (e.g., Relative pretending to be the participant)	Identity Theft (e.g., Relative pretending to be the participant)
18-0014-I	26Jan2018	Closed - Final	05Oct2018	Employee Integrity - PBGC	Misusing PII or Non-Public Information	Misuse of Position
18-0012-I	12Jan2018	Closed - Final	12Sep2018	Employee Integrity - PBGC	Standards of Ethical Conduct Violation	Seeking Outside Employment
18-0010-I	04Dec2017	Closed - Final	29Jan2019	Participant Benefit Irregularities	Identity Theft (e.g., Relative pretending to be the participant)	[None]
18-0006-I	17Oct2017	Closed - Final	12Sep2018	Pension Benefit Theft - Deceased Participant	[None]	[None]
18-0005-I	17Oct2017	Closed - Final	21Sep2018	Pension Benefit Theft - Deceased Participant	[None]	[None]
18-0002-I	17Oct2017	Closed - Final	21Sep2018	Pension Benefit Theft - Deceased Participant	[None]	[None]
17-0042-I	07Sep2017	Closed - Final	12Jan2018	Pension Benefit Theft - Vulnerable Participant	Theft by Other Person	[None]
17-0041-I	25Aug2017	Closed - Final	01Oct2018	Plan Administration Irregularities	Fiduciary Breach (e.g., person responsible for administering the plan takes improper action, such as borrowing money from the plan and not paying it back.)	[None]
17-0036-I	14Aug2017	Closed - Final	06Feb2018	Employee Integrity - PBGC	Timesheet/Timecard fraud	Misuse of Position
17-0034-I	10Jul2017	Closed - Final	21Sep2018	Pension Benefit Theft - Deceased Participant	[None]	[None]
17-0031-I	22Jun2017	Closed - Final	25Mar2019	Pension Benefit Theft - Deceased Participant	[None]	[None]
17-0027-I	05Apr2017	Closed - Final	17Dec2019	Participant Benefit Irregularities	[None]	[None]
17-0026-I	05Apr2017	Closed - Final	21Sep2018	Participant Benefit Irregularities	[None]	[None]
17-0022-I	05Apr2017	Closed - Final	21Sep2018	Pension Benefit Theft - Deceased Participant	[None]	[None]
16-0018-I	27Jun2016	Closed - Final	30Aug2018	Plan Administration Irregularities	False Statements to Obtain a Premium Refund	[None]
16-0017-I	27Jun2016	Closed - Final	12Jun2018	Procurement Fraud	Computer Fraud (18 USC 1030)	Other
17-0038-I	14Aug2017	Closed - Final	25Mar2019	Pension Benefit Theft - Deceased Participant	[None]	[None]
17-0037-I	14Aug2017	Closed - Final	25Mar2019	Pension Benefit Theft - Deceased Participant	[None]	[None]
17-0029-I	18Apr2017	Closed - Final	05Dec2019	Pension Benefit Theft - Deceased Participant	Theft by Relative	[None]
17-0019-I	05Apr2017	Closed - Final	25Mar2019	Pension Benefit Theft - Deceased Participant	[None]	[None]
17-0017-I	05Apr2017	Closed - Final	25Mar2019	Pension Benefit Theft - Deceased Participant	Theft by Relative	[None]
16-0008-I	24Feb2016	Closed - Final	06Feb2018	Pension Benefit Theft - Vulnerable Participant	Theft by Relative	[None]

Number	Date Initiated	Status	Date Closed	Category	Subject 1	Subject 2
19-0014-I	08May2019	Closed - Final	03Oct2019	Pension Benefit Theft - Deceased Participant	[None]	[None]
19-0006-I	26Nov2018	Closed - Final	26Mar2019	Pension Benefit Theft - Deceased Participant	[None]	[None]
19-0004-I	26Nov2018	Closed - Final	26Mar2019	Pension Benefit Theft - Deceased Participant	[None]	[None]
18-0016-I	27Apr2018	Closed - Final	28Oct2019	Pension Benefit Theft - Deceased Participant	Theft by Relative	[None]
18-0003-I	17Oct2017	Closed - Final	21Nov2018	Pension Benefit Theft - Deceased Participant	[None]	[None]