

PEE DEE LWIA INSTRUCTION:

WIA 09-007

TO: Pee Dee Local Workforce Investment Area Grantees

SUBJECT: Incident Reporting Instructions

EFFECTIVE DATE: Immediately

ISSUANCE DATE: March 26, 2010

Purpose: The purpose of this instruction is to officially transmit procedures for reporting known or suspected incidents of fraud, program abuse, or criminal conduct involving US Department of Labor-funded employment and training programs.

Background: On March 5, 1985, the US Department of Labor issued Training and Employment Guidance Letter (TEGL) No. 6-84 regarding the States and local areas' responsibilities in Department of Labor Incident Report Procedures. Their responsibilities include, but are not limited to, ensuring that all subrecipients are familiar with established procedures for incident reporting.

Incident reports serve a dual purpose. They provide information about fraudulent activities which may be prosecutable and they provide information on other types of incidents which allow state and national oversight entities to identify trends and patterns of conduct across the regions and State.

Policy: In order to facilitate the reporting process, DOL has developed procedures and standardized forms for reporting incidents. Any act which raises questions concerning possible illegal expenditures or other unlawful activities should be immediately reported. It is not the intent of the Incident Report to elicit reports only after the determination that an act is legally prosecutable. All such incidents should be reported immediately, even though the case may be subsequently handled by the Governors, local workforce investment areas, or local law enforcement agencies.

DOL Form DL 1-156, Incident Report (IR), should be used to notify Regional Administrators (RAs) of all known or suspected cases of fraud, abuse, or other criminal activities in ETA-funded programs. This instruction includes definitions and completion instructions for the DL 1-156.

The original and a copy of the IR must be forwarded to the appropriate DOL Regional Administrator (RA) within one work day of the discovery of the occurrence. The RA will, in turn, distribute the IR in accordance with established DOL procedures. As a courtesy, one copy of the IR should be forwarded to the Pee Dee Regional Council of Governments.

It is anticipated that the incident reporting procedures outlined above will be used to report matters to the RA. However, in addition to the formal Incident Report, the US Department of Labor, Office of Inspector General, has established a hotline to which reports of fraud, waste, and abuse can be made confidentially by any employee. The hotline is open 24 hours per day, 7 days per week. An operator is on duty during normal business hours. At all other times, a message can be recorded.

The purpose of the USDOL OIG Hotline is to provide the public and Federal employees with the opportunity to report allegations of:

- Violations of laws, rules, or regulations related to USDOL programs and operations;
- Mismanagement related to USDOL programs and operations;
- Fraud, employee integrity, and gross waste of funds related to USDOL programs and operations; or
- Substantial and specific dangers to the public health and safety which are related to USDOL programs and operations.

In addition, the USDOL/OIG is mandated by Congress to carry out a criminal enforcement program to combat organized crime influence and labor racketeering in the workplace. Labor racketeering includes the misuse of union or benefit plan assets or power.

A person desiring to report such allegations may do so using one of the following methods:

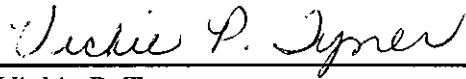
- Fill out a hotline form. A hotline form can be accessed at www.oig.dol.gov/hotlineform.
- E-mail allegations to hotline@oig.dol.gov.
- Call one of the following telephone numbers: 1-800-347-3756 or 202-693-6999.
- Send a fax to: 202-693-7020
- Write to: U.S. Department of Labor, Office of Inspector General, 200 Constitution Avenue, N.W., Room S-5506, Washington, DC, 20210.

Individuals who provide information on allegations of fraud, waste, abuse, and mismanagement of federal funds in programs administered or funded by the US Department of Labor, may remain anonymous, ask that their identities be held in confidence, or provide their names, with no restrictions. A request for confidentiality must be specified. USDOL's policy is to honor requests for confidentiality and not release any data that would identify such individuals unless required to do so by order of law (e.g. court order, subpoena)

Action Required: Each grantee is required to disseminate information regarding the procedures for incident reporting to all staff. In the event that a reportable incident involving DOL-funded programs occurs, the procedures outlined in this instruction must be followed. The LWIA remains available for technical assistance with the completion of the required forms for submission to the Regional Administrator.

Inquiries:

Question pertaining to this instruction should be directed to Joette Dukes at (843) 669-3138.

A handwritten signature in cursive script that reads "Vickie P. Tyner". The signature is written in black ink and is positioned above a horizontal line.

Vickie P. Tyner
Workforce Development Director



For Official Use Only (when filled in) 1. Date of report 2. Agency designation code 3. File number

(Yr) (Agency) (Report No.) (For IG use)

00-04-ETA-0

4. Type of report

Initial Supplemental Final Other (specify) _____

5. Type of incident

Conduct violation Criminal violation Program violation

6. Allegation against

DOL Employee Contractor Grantee Program participant or claimant Other (specify) _____

Give name and position of employee(s), contractor(s), grantee, etc. List telephone number, OWCP or other Claim File Number, if applicable, and other identifying data:

7. Location of incident (Give complete name(s) and addresses of organization(s) involved)

8. Date and time of incident/discovery

9. Source of complaint Public Contractor Grantee Program Participant Audit

Investigative Law Enforcement Agency (specify) _____

Other (specify) _____

Give name and telephone number so additional information can be obtained.

10. Contacts with law enforcement agencies (specify name(s), agency contacted and results)

11. Expected concern to DOL

Local Regional National Media interest Executive interest GAO/Congressional interest

Other (specify) _____

12. DOL Agency involved

SECY ESA ETA ILAB LMSA MSHA OASAM OIG

OSHA SOL ASP BLS NCEP WB OIPA

Other (specify) _____

Amount of grant or contract (if known) \$ _____ Amount of subgrant/subcontract (if known) \$ _____

13. Persons who can provide additional information (include custodian of records)

Name	Grade	Position or job title	Local address (street, city & State) or Employment organization if employed & telephone #

Enter one of these codes:
 U - Unemployed G - Grantee C - Contractor D - DOL F - Other Federal employee P - Program Participant or claimant

(complete page 2 of this form)

DL 1-156

For Official Use Only (when filled in)

14. Details of incident (describe the incident)



If more room is needed attach additional sheets.

15. Typed name and title of DOL employee

16. Signature of DOL employee

17. Copies furnished to:

18. Attachments: (list)

INCIDENT REPORT DL-156 COMPLETION INSTRUCTIONS

Form DL 1-156 should be completed as follows:

Block 1. Enter the date the form is actually signed by the responsible agency official.

Block 2. Enter the fiscal year (e.g., October 1, 1984-September 30, 1985) in which the report is being submitted, the two letter State abbreviation, and a number to indicate the chronological sequence of the report (e.g., 84-VT-0001 would show that the report was submitted in Fiscal Year 1984, by Vermont, and was the first report submitted in FY 1984).

Block 3. Leave Blank. For use by OIG only.

Block 4. Indicate the type of report being submitted by checking the appropriate block. If the report is both an "Initial" and a "Final" report, then place a check in both the initial and final blocks.

Block 5. Check appropriate block.

Block 6. Check appropriate block.

Block 7. Enter the name of the person, recipient, or subrecipient, if applicable, and the location where the incident occurred. A general geographic (city, town) location or mail address should be used.

Block 8. Complete as necessary.

Block 9. Check appropriate block(s). Public includes press.

Block 10. Any information requested by any law enforcement agency should be reported here. Identify the officer and/or agency who made the request. In Block 14, describe what information was requested from and offered to the outside agency.

Block 11. Indicate the type of interest/publicity that the incident may generate, or actually has generated, by placing a check in the appropriate block(s). If necessary, a brief statement of explanation may be included in Block 14.

Block 12. Check appropriate block.

Block 13. Complete as necessary.

Block 14. Synopsis-This is a clear, concise statement of the incident which should include:

- (a) (When). Identify the time and date when the incident occurred; when it was discovered; when it was reported to supervisory personnel, OIG, or other law enforcement agency; and whether an inventory was conducted to determine the extent of loss.
- (b) (What). Describe the complete incident in as much detail as is available and necessary to give a complete picture of what happened. Cost/value figures should be shown in the appropriate place in Block 12.
- (c) (Who). Enter the names of those principal personnel who are listed in Block 7 and Block 13, as well as other personnel whose identities are necessary to complete the narrative and give the reader a complete picture of what happened. Include, when applicable, complete identities of persons/agencies to whom the incident is reported or referred. If needed for purpose of clarification, include the reason(s) why non-principal personnel were involved (e.g., fire department personnel who made pertinent determinations in a suspected arson incident).
- (d) (Where). Clearly specify the location where the incident occurred (e.g., a certain building, an area/room within a building, a particular contractor, grantee location).

If the direction and distance from an identifiable point of reference (e.g., building, street, intersection, bridge) is known, this should be indicated.

- (e) (Why). Frequently the motive for an incident is not readily discernible (e.g., a suicide or property destruction) or it must be deduced from the existing facts and circumstances. If the "why" for an incident is known or suspected, it should be reported. When a suspected motive is reported, the basis/rationale for the suspicion should be noted.
- (f) (How). Report the manner/method by which an incident actually or probably was committed and discovered. "How" an incident was discovered and committed should be reported in sufficient detail to assist proper authorities in the development of preventive measures.
- (g) Plan of Action. Indicate if OPFI or OIG assistance is requested.

Block 15. Identify the name, title, address, and telephone number of the official completing the report.

Block 16. All copies should be signed by the responsible official for the reporting office.

Block 17. Self-explanatory.

Block 18. Self-explanatory.

Continuation. Entries requiring additional space may be continued at the end of the synopsis entry in Block 14 or on a separate sheet(s) of bond paper. Each continuation sheet should be headed "Continuation" and indicate the Activity Identification Code from Block 2.

E. Supporting Documentation.

All documentation (e.g., photographs, drawings) pertinent/relevant to the incident or necessary to clarify the attendant facts should be forwarded with the DL 1-156, if not already provided.

F. Transmission of Reports.

Mail copies of the DL 1-156 in an inner, sealed envelope to the appropriate Regional Administrator (Note: in no event should reports be electronically transmitted).