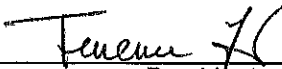


BBCC ADMINISTRATIVE PROCESS

TITLE: Incident Reporting for Federal Grant Compliance	PAGE: 1 OF 2	NUMBER: 8022	REVIEWED: REVISED: New
ORIGINATING DEPARTMENT: Business Office	EFFECTIVE DATE:	SUPERSEDES NO. DATE:	
DATE CABINET APPROVAL:	APPROVED BY: <div style="text-align: center; margin-top: 10px;">  _____ President </div>		

INCIDENT REPORTING FOR FEDERAL GRANT COMPLIANCE

8022.1 General Incident Reporting Policy in compliance with federal regulation as described in TEGL 2-12

- A. For incident reporting, TEGL 2-12 states, in part, that grant recipients must immediately document allegations, suspicions and complaints involving possible fraud, program abuse and criminal misconduct using the federal IR form. In addition, situations involving imminent health or safety concerns, or the imminent loss of funds exceeding an amount larger than \$50,000 are considered emergencies; these emergencies must immediately be reported to the Office of Inspector General (OIG) and the Department's Office of Financial and Administrative Management (OFAM) by telephone and followed up with a written report in the form of a federal IR, no later than one working day after the telephone report.
1. The Incident Report (IR) form, Office of Inspector General (OIG) 1-156, is the official form for reporting allegations of criminal and other illegal or improper activities in ETA (Employment and Training Administration) funded grants. Allegations are reported to the OIG and, within ETA, to the Office of Financial and Administrative Management (OFAM) and the Office of Regional Management. An electronic copy of the IR form is located at: http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=9222
 2. Incidents reported using the IR form may involve allegations of fraud, misfeasance, nonfeasance or malfeasance; allegations involving misapplication of funds; allegations of gross mismanagement; allegations of employee/participant misconduct; and, other potential or suspected criminal actions.
 3. The OIG operates a Hotline to receive and process allegations of fraud, waste, and abuse concerning Department grants, contracts, programs and operations. The OIG also uses the Hotline to address allegations of criminal activity. Hotline complaints can be sent directly to the Complaints Analysis Office, Office of Inspector General, 200 Constitution Avenue, N.W., Room S-5506, Washington, D.C. 20210. They can be telephoned to the OIG on the Toll Free Hotline at 1-800-

347-3756 or (202) 693-6999 (not a toll free number); or they can be e-mailed to hotline@oig.dol.gov.

4. The OIG hotline can also be used to report participant misconduct resulting from actions occurring during or outside work hours that reflect negatively on the Department or its mission including but not limited to: conflict of interest or the appearance of conflict of interest involving outside employment, business and professional activities; the receipt or giving of gifts, fees, entertainment, and favors; misuse of Federal property; and, misuse of official information and such other activities as might adversely affect the confidence of the public in the integrity of the government (See 29 CFR Part); 5 CFR parts 2635 and 5201) as well as serious violations of Federal and state laws.
5. Complaints regarding personnel issues are not subject to this procedure.

8022.2 Definitions

- A. The following definitions are specific to the terms of this procedure and do not modify or revise similar terms as used in related procedures or collective bargaining agreements.
 1. Emergency. A situation involving imminent health or safety concerns, or the imminent loss of funds exceeding an amount much larger than \$50,000 (e.g. \$500,000).
 2. Fraud, Misfeasance, Nonfeasance or Malfeasance. Any alleged deliberate action which may be in violation of Federal statutes and regulations.
 - a. Indications of bribery, forgery, extortion, embezzlement, theft of checks, kickbacks from participant or contractors, intentional payments to a contractor without the expectation of receiving services, payments to ghost enrollees, misuse of appropriated funds, and misrepresenting information in official reports.

8022.3 Prohibition and Reprisals

- A. No action will be taken against any complainant for disclosing information concerning criminal or improper activities or making a valid complaint to proper authorities. Complainants may remain anonymous. If a complainant considers that his/her position will be compromised by reporting information through the IR system, he/she may send the report directly to the OIG or OFAM.