



WORKFORCE DEVELOPMENT BOARD
OF SOLANO COUNTY

POLICY ISSUANCE

Date: January 21, 2022

Number: 2019-10 Change 1

INCIDENT REPORTING

CHANGE 1

INTRODUCTION

This policy change revises the contact information for the Reporting Process and revises its reference guide and definitions. The remainder of the Incident Reporting Policy remains unchanged.

QUESTIONS

Questions relating to this policy should be directed to Tracy White, One-Stop Manager, at twhite@solanowdb.org or (707) 863-3520.

ATTACHMENTS

The change includes a revision to Attachment A: Definitions

- Attachment A: Definitions

POLICY CHANGE

Reporting Process

The change includes a revision to how the report must be submitted to the CRO and revises the telephone number to the Compliance Resolution Unit Supervisor to the Incident Reporting Policy:

Within one workday of detection or discovery of information alleging fraud, abuse, waste, or other criminal activity involving WIOA funds, the WDB will prepare a written incident report. The report must be submitted on the attached incident report form or similar document containing the requested information and submitted to both the CRO and OIG as follows:

CRO:

Via email at PACBCROIncidentReports@edd.ca.gov

OIG (through one of the following methods):

Website: www.oig.dol.gov/hotlinecontact.htm

Telephone: 1-800-347-3756 FAX: (202) 693-7020

Mail: Office of Inspector General Complaints Analysis
Office 200 Constitution Avenue, N.W., Room S-5506
Washington, D.C. 20210

Allegations considered to be of an emergency nature may be reported by telephone to the Compliance Resolution Unit Supervisor at (916) 654-8354 and by calling the OIG Hotline at 1-800-347-3756 and followed immediately thereafter by a written incident report.

DISCLAIMER

This policy is based on WDB's interpretation of the statute, along with the Workforce Investment and Opportunity Act; Final Rule released by the U.S. Department of Labor and federal and state policies relating to WIOA implementation. This policy will be reviewed and updated based on any additional federal or state guidance.

CHANGE TO REFERENCES

State Guidance

- Workforce Services Directive (WSD) 20-12 – [Incident Reporting](#)

Approved by

Workforce Development Board of Solano County

DEFINITIONS

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).

Employee/Participant Misconduct – Are 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 government property; and, misuse of official information and other activities that might adversely affect the confidence of the public in the integrity of the government (29 CFR Part O; 5 CFR Parts 2635 and 5201) as well as serious violations of federal and State laws.

Fraud, Misfeasance, Nonfeasance or Malfeasance – Any alleged deliberate action which may be in violation of government statutes and regulations. This category includes, but is not limited to, indications of bribery, forgery, extortion, embezzlement, theft of participant checks, kickbacks from participants or contractors, intentional payments to a contractor without the expectation of receiving services, payments to ghost enrollees, misuse of appropriated funds, misrepresenting information in official reports.

Gross Mismanagement – Any actions or situations arising out of management ineptitude or oversight and leading to a major violation of the legislative process, regulations, or contract/grant provisions. Such actions or situations have the potential to severely hamper accomplishment of program goals, waste government resources, and jeopardize future support for a particular project. This category includes, but is not limited to, unauditible records, unsupported costs, highly inaccurate fiscal reports or program reports, payroll discrepancies, payroll deductions not paid to the Internal Revenue Service or the State of California, and lack of good internal control procedures.

Misapplication of Funds – Any alleged deliberate use of funds, assets or property not authorized or provided for by legislation or regulations, grants, or contracts. This category includes, but is not limited to, nepotism, political patronage, use of participants for political activity, ineligible enrollees, conflict of interest, failure to report income from federal funds, violation of contract/grant procedures, the use of federal funds for other than specified purposes. An incident report should be filed when there appears to be an intent to misapply funds rather than merely for a case of minor mismanagement.