

## **WIOA Funding Incidents Policy**

The purpose of this policy is to establish expectations and procedures for reporting alleged, suspected, or known fraud, program abuse, or criminal misconduct with regard to Workforce Innovation and Opportunity Act (WIOA) funding.

Training and Employment Guidance Letter (TEGL) No. 2-12 and 20 CFR 683.620 provide expectations and requirements for immediately reporting information and complaints involving criminal fraud, waste, abuse or other criminal activity.

It is the policy of the NWPA Workforce Development Board (WDB) and its subrecipients of federal funds under WIOA to immediately report information regarding known or suspected fraud, waste, abuse, gross mismanagement or misuse of program funds, or criminal activity in accordance with the procedures set forth below.

- a) If an incident of fraudulent activity is detected, it should be immediately reported to the Director of the WDB staff and an Incident Report (IR) must be completed and submitted. The Incident Report (IR) form, OIG 1-156, is the official form used for reporting allegations of criminal, illegal, or improper activities in WIOA-funded programs. When the OIG receives an IR, they determine whether the allegations have merit, and when appropriate, conduct or arrange an investigation and/or audit. If the OIG determines that the situation does not have investigative or audit merit, it is referred to the appropriate USDOL department for resolution.
- b) No action, including retaliation, will be taken against any individual who discloses information concerning criminal or improper activities, or makes a good faith complaint to proper authorities.
- c) Reporting procedures do not supersede the organization's responsibility to safeguard WIOA funds by taking prompt and appropriate corrective action. Whenever the entity reporting the allegation of an incident believes that immediate action to prevent further financial loss or other damage is necessary, or recovery of funds or property may be impeded if immediate action is not taken, the reporting entity has the responsibility to take any action it deems appropriate, including contacting the local law enforcement agency. Any immediate action taken or planned by the reporting entity must be reported to the Director (WDB staff) when the incident report is submitted.
- d) All incident reports, emergency or other, must be sent to the Office of Inspector General (OIG), with a copy to the Director (WDB staff), using the contact information below. The NWPA WDB and its subrecipients will use the IR form to immediately document and report suspicions, allegations, or complaints involving:

- WIOA-related fraud
  - Misfeasance, nonfeasance or malfeasance
  - Misapplication of funds
  - Gross mismanagement
  - Employee/participant misconduct; or
  - Other potential or suspected criminal actions
- e) Situations involving imminent health or safety concerns, or the imminent loss of funds exceeding an amount larger than \$50,000 are considered emergencies and must be immediately reported to the OIG via the hotline telephone number and followed up immediately (within one working day) in the form of an IR.
- f) Report Submission. The NWPA WDB and its subrecipients must submit incident reports to the following entities:

Pennsylvania Department of Labor and Industry  
Deputy Secretary for Workforce Development  
Labor and Industry Building  
651 Boas Street  
Harrisburg, PA 17121  
Phone: (717) 787-0805

Office of Inspector General  
Hotline Online Complaint Form: <https://www.oig.dol.gov/hotline.htm>

Fax: 202-693-7020

Mail:  
Attention: Hotline  
Office of Inspector General  
U.S. Department of Labor  
200 Constitution Avenue, N.W., Room S-5514  
Washington, DC 20210

OR

Hotline for emergency situations:  
Phone: 1-800-347-3756 or 1-202-693-6999

Note: Per requirements of 20 CFR 683.620, the Department of Labor Employment and Training Administration (DOLETA) shall be copied on submitted incident reports from the reporting entity.

**REFERENCE**

WIOA Section 185(b)  
20 CFR 683.430  
20 CFR 683.620  
Training and Employment Guidance Letter (TEGL) No. 2-12

**HISTORY**

| Name         | Date       | Rev. Level | Description of Change                   | Effective Date |
|--------------|------------|------------|---|----------------|
| Debra O'Neil | 04/27/2017 | A          | New Policy as Assurance for Local Plans | 08/11/2017     |