



**SAN JOAQUIN COUNTY WORKNET
 EMPLOYMENT AND ECONOMIC DEVELOPMENT DEPARTMENT
 POLICIES AND PROCEDURES DIRECTIVE**

DIRECTIVE NO.	EFFECTIVE DATE	APPLICABILITY	PAGE
23-06	February 26, 2024	Departmental	1 of 2
SUBJECT: INCIDENT REPORTING			

I. PURPOSE

The purpose of this directive is to provide procedures for reporting allegations of incidents, including but not limited to fraud, program abuse, criminal activity, and noncriminal complaints, such as waste of funds, to the Compliance Review Office (CRO) of the Employment Development Department (EDD) and the Department of Labor's (DOL) Office of Inspector General (OIG).

II. GENERAL INFORMATION

This directive is to ensure that all recipients of WIOA funding are aware of the procedures for promptly reporting all allegations of WIOA related incidents to the CRO.

This PPD supersedes PPD D-15 Incident Reporting – Fraud and Abuse dated May 11, 2021.

References

- [TEGL 2-12, Employment and Training Administration \(ETA\) Grant Recipient Responsibilities for Reporting Instances of Suspected Fraud, Program Abuse and Criminal Conduct](#)
- [WSD20-12, Incident Reporting](#)

III. POLICY

This directive applies to San Joaquin County Employment and Economic Development Department (EEDD) as the Local Workforce Development Area (LWDA) and subrecipients of programs funded under the Workforce Innovation and Opportunity Act (WIOA). It will be our policy to comply with the procedures and reporting requirements outlined in the EDD Workforce Services Directive

[WSD20-12, Incident Reporting](#). There are no additional locally imposed requirements.

IV. PROCEDURE

All providers of services working with participants under WIOA must establish, document, and implement procedures that minimally meet the reporting requirements specified in the state policy [WSD20-12](#). The Incident Report form (Attachment 1), which can be found as [Attachment C of TEGL 2-12](#), or a similar document with all requested information must be used when submitting to the CRO.

V. QUESTIONS REGARDING THIS DIRECTIVE

May be referred to the Executive Director of EEDD via Managers or designee.

VI. UPDATE RESPONSIBILITY

The Executive Director of EEDD and/or designee will be responsible for updating this directive, as appropriate.

VII. APPROVED



PATRICIA VIRGEN
EXECUTIVE DIRECTOR

PV:mm

Attachment 1: Incident Report form

ATTACHMENT A

INCIDENT REPORT



<p>1. Type of report (check one)</p> <p><input type="checkbox"/> Initial</p> <p><input type="checkbox"/> Supplemental</p> <p><input type="checkbox"/> Final</p> <p><input type="checkbox"/> Other <i>[specify]</i></p>	<p>2. Type of incident (check one)</p> <p><input type="checkbox"/> Conduct violation</p> <p><input type="checkbox"/> Criminal violation</p> <p><input type="checkbox"/> Program violation</p>
<p>3. Allegation against (check one)</p> <p><input type="checkbox"/> Contractor</p> <p><input type="checkbox"/> Program Participant</p> <p><input type="checkbox"/> Other <i>[(specify), give name and position of employee(s), list telephone number, Social Security Account number, if applicable, and other identifying data.]</i></p>	
<p>4. Location of incident</p> <p><i>[give complete name(s) and addresses of organizations(s) involved]</i></p>	
<p>5. Date and time of incident/discovery <i>[date, time]</i></p>	
<p>6. Source of complaint (check one)</p> <p><input type="checkbox"/> Audit <input type="checkbox"/> Contractor <input type="checkbox"/> Program Participant <input type="checkbox"/> Public</p> <p><input type="checkbox"/> Investigative Law Enforcement Agency <i>[(specify)]</i></p> <p><input type="checkbox"/> Other <i>[(specify), give name and telephone number so additional information can be obtained.]</i></p>	
<p>7. Contacts with law enforcement agencies</p> <p><i>[specify name(s) and agency contacted and results]</i></p>	
<p>8. Persons who can provide additional information</p> <p><i>[(include custodian of records) name, position or job title, employment, local address (street, city and state) or organization, if employed and telephone number]</i></p>	
<p>9. Details of incident</p> <p><i>[describe the incident]</i></p>	

