# WIOA Title I – Incident Reporting Policy

## Purpose:

To establish mandatory incident reporting procedures for all personnel and subrecipients administering the Opportunity Youth Adult (OYA) Program and Allied Health Program under Title I of the Workforce Innovation and Opportunity Act (WIOA). These programs are funded through the Employment Development Department (EDD) and are subject to federal oversight by the U.S. Department of Labor (DOL) Office of Inspector General (OIG).

## Policy Statement:

All staff and Subrecipients are required to report allegations of fraud, program abuse, fiscal mismanagement, data breaches, safety incidents, discrimination, and criminal conduct in accordance with the procedures set forth herein.

## Internal Incident Reporting

### 1.1 Responsibility to Report

All employees, contractors, and subrecipients are required to report any known or suspected incident involving fraud, waste, abuse, fiscal irregularities, data security, safety, discrimination, or other criminal conduct affecting Title I-funded programs. Failure to report a known incident may constitute a violation of this policy and applicable federal regulations. Any employee found to be in violation of this policy will be subject to discipline.

Retaliation for reporting incidents is prohibited. If the complainant believes that reporting the issue would compromise their position, they may direction report to the IOG instead of the **Program Director.**

### 1.2 Immediate Notification

Upon discovery of any incident, the reporting individual must notify the department/ individual(s) immediately — the same day of discovery, and no later than the close of business. The Program Director is the primary point of contact for all program incident matters.

Notification must include, at minimum:

- Date and time the incident was discovered
- Nature and description of the incident
- Individuals or program funds potentially involved
- Any immediate actions already taken
- Name and contact information of the person reporting

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Point of Contact/Compliance Officer
Susan Pace
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### 1.3 Responsibility and Implementation

The **Chief Human Resources Officer (CHRO) or designee** is responsible for:

- Ensuring that organizational staff and program participants are aware of the mandatory incident reporting process.

The **Program Director** is responsible for:

- Facilitating the internal submission and processing of complaints.
- Coordinating with appropriate external oversight entities to ensure that filings—including submissions via the Department of Labor (DOL) OIG Hotline Portal and notifications to the state—occur within the emergency and standard timelines mandated by 20 CFR § 683.620 and EDD WSD24-03.

## External Reporting — Funder Notification

### 2.1 Reporting to EDD and DOL/OIG

The initial report, in accordance with EDD Directive WSD24-03 and 20 CFR Section 683.620, all reportable incidents involving Title I funds must be reported externally to both the DOL Office of Inspector General (OIG) and the Employment Training Administration (ETA). Reporting must occur as soon as possible and no later than required timeframes below.

| Incident Type | Required Reporting Timeframe |
|---|---|
| Emergency (imminent safety or loss >$50,000) | **No later than 1 working day after discovery** |
| All other incidents | As soon as possible; internal notification same day |

### 2.2 EDD / OIG Reporting Process

Reporting to the funder must be completed in two steps, as required by EDD Directive WSD24-03:

1. Complete the OIG Hotline Portal at: https://www.oig.dol.gov/hotlineportal.htm. Complete all relevant fields and retain screenshots of all three portal screens.
2. Email a copy of the incident report and portal screenshots to: ETAIncidentReporting@dol.gov
    a. If internet access is unavailable, report via phone:
        i. Toll-Free Hotline: 1-800-347-3756
        ii. Non-Toll-Free Hotline: 1-202-693-6999

The **Program Director** (or designee) is responsible for completing the external report and retaining proof of submission.

## Departmental Notification by Incident Type

In addition to notifying external funders, the following departments may need be notified based on the nature of the incident.

**Data Incident (Data Breach, Unauthorized Access, PII Exposure)**

- IT Incident Report Form
- Department of Information Technology Security (IS) — immediately
- EDD/OIG — if PII breach involves Title I participant data

**Fiscal Incident (Fraud, Embezzlement, Misuse of Funds, Unsupported Costs)**

- General Incident Report
- Fiscal Department — immediately
- Research Foundation — same day
- EDD/OIG — as required under 20 CFR 683.620

**Safety Incident (Imminent Harm, Workplace Injury, Participant Safety)**

- SDSU Accident/Safety Incident Reporting Form – For use by SDSU Employees
- SDSURF Risk Management Incident Reporting — For use by SDSU Research Foundation employees (Complete within 24 hours)
- Local law enforcement — if criminal conduct or imminent threat is involved
- EDD/OIG — if imminent and involves Title I funds (emergency — within 1 working day)
- Cal/OSHA or applicable regulatory body — per state law

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| Discrimination / Equal Opportunity Incident |
| --- |
| • Discrimination/Harassment/Retaliation Reporting Form<br>• SDSURF HR Department — immediately<br>• Program Director — notified within same day<br>• EDD Nondiscrimination and Equal Opportunity Office — per WSD17-01 procedures<br>• DOL Civil Rights Center (CRC) — as applicable under 29 CFR Part 38 |

## Documentation & Records Retention

In compliance with Uniform Guidance Section 200.333, the institution adheres to strict document retention schedules, detailed in WSD24-03.

## Policy Review:

This policy shall be reviewed periodically and updated as necessary to remain compliant with federal and state guidance issued by the California Employment Development Department.