

## Use and Preparation of DL Form 1-156, Incident Report

### A. Purpose.

Form DL 1-156 should be used for reporting to Regional Administrators (RAs) incidents of program abuse, fraud, or other criminal violations involving ETA-funded programs and operations.

### B. Responsibilities of Governors.

Governors are responsible for reporting all actual or suspected violations to the Regional Administrators using the Incident Report, DL 1-156. While such information may be phoned directly to the RA, these telephone reports should be supplemented by submission of the Incident Report within 72 hours.

### C. Use of the Incident Report, Form DL 1-156.

#### 1. As an Initial Report

The DL 1-156 is designed primarily as an initial report of actual or suspected violations to inform the RAs that a violation or apparent violation has occurred. It should also be used to initially inform the RAs of cases involving employees, programs, and operations being investigated by or reported to other investigative agencies.

#### 2. As a Supplemental Report

The DL 1-156 should also be used to submit supplemental information not available at the time the original report was submitted. Form DL 1-156 should be used as indicated below.

- (a) It is determined that the matter cannot be resolved at the agency level and the case is administratively closed.
- (b) Supplemental reports should be submitted without awaiting the results of adjudication.

#### 3. As a Final Report

Form DL 1-156 should be used as indicated below.

- (a) An incident is resolved or otherwise settled.
- (b) Final adjudication or imposition of administrative/disciplinary action against the person or organization involved is initiated. When adjudication results become known, the final report should be sent to the RAs indicating the results.

### D. Completion of the Incident Report.

Form DL 1-156 should be completed as follows:

Block 1. Enter the date the form is actually signed by the responsible agency official.

Block 2. Enter the fiscal year (e.g., October 1, 2002 – September 30, 2003) in which the report is being submitted, the two letter State abbreviation, and a number to indicate the chronological sequence of the report (e.g., 02-NV-0001 would show that the report was submitted in Fiscal Year 2002, by Nevada, and was the first report submitted in FY 2002).

Block 3. Leave Blank. For use by OIG only.

Block 4. Indicate the type of report being submitted by checking the appropriate block. If the report is both an “Initial” and a “Final” report, then place a check in both the initial and final blocks.

Block 5. Check appropriate block.

Block 6. Check appropriate block.

Block 7. Enter the name of the person, recipient, or sub recipient, if applicable, and the location where the incident occurred. A general geographic (city, town) location or mail address should be used.

Block 8. Complete as necessary.

Block 9. Check appropriate block(s). Public includes press.

Block 10. Any information requested by any law enforcement agency should be reported here. Identify the officer and/or agency who made the request. In Block 14, describe what information was requested from and offered to the outside agency.

Block 11. Indicate the type of interest/publicity that the incident may generate, or actually has generated, by placing a check in the appropriate blocks(s). If necessary, a brief statement of explanation may be included in Block 14.

Block 12. Check appropriate block.

Block 13. Complete as necessary.

Block 14. Synopsis – This is a clear, concise statement of the incident which should include:

- (a) (When). Identify the time and date when the incident occurred; when it was discovered; when it was reported to supervisory personnel, OIG, or other law enforcement agency; and whether an inventory was conducted to determine the extent of loss.

- (b) (What). Describe the complete incident in as much detail as is available and necessary to give a complete picture of what happened. Cost/value figures should be shown in the appropriate place in Block 12.
- (c) (Who). Enter the names of those principal personnel who are listed in Block 7 and Block 13, as well as other personnel whose identities are necessary to complete the narrative and give the reader a complete picture of what happened. Include, when applicable, complete identities of persons/agencies to whom the incident is reported or referred. If needed for purpose of clarification, include the reason(s) why non-principal personnel were involved (e.g., fire department personnel who made pertinent determinations in a suspected arson incident).
- (d) (Where). Clearly specify the location where the incident occurred (e.g., a certain building, an area/room within a building, a particular contractor, grantee location).  
  
If the direction and distance from an identifiable point of reference (e.g., building, street, intersection, bridge) is known, this should be indicated.
- (e) (Why). Frequently the motive for an incident is not readily discernible (e.g., a suicide or property destruction) or it must be deduced from the existing facts and circumstances. If the “why” for an incident is known or suspected, it should be reported. When a suspected motive is reported, the basis/rationale for the suspicion should be noted.
- (f) (How). Report the manner/method by which an incident actually or probably was committed and discovered. “How” an incident was discovered and committed should be reported in sufficient detail to assist proper authorities in the development of preventive measures.
- (g) Plan of Action. Indicate if OPFI or OIG assistance is requested.

Block 15. Identify the name, title, address, and telephone number of the official completing the report.

Block 16. All copies should be signed by the responsible official for the reporting office.

Block 17. Self-explanatory.

Block 18. Self-explanatory.

Continuation. Entries requiring additional space may be continued at the end of the synopsis entry in Block 14 or on a separate sheet(s) of bond paper. Each continuation sheet should be headed “Continuation” and indicate the Activity Identification Code from Block 2.

E. Supporting Documentation.

All documentation (e.g., photographs, drawings) pertinent/relevant to the incident or necessary to clarify the attendant facts should be forwarded with the DL 1-156, if not already provided.

F. Transmission of Reports.

Mail copies of the DL1-156 to the appropriate RA as shown on the following page.

NOTE: The copies sent to the RA should be in a sealed envelope within the mailing envelope. In no event should reports be electronically transmitted.