

DOE 2030.4B
5-18-92

THIS PAGE MUST BE KEPT WITH DOE 2030.4B. REPORTING FRAUD,
WASTE, AND ABUSE TO THE OFFICE OF INSPECTOR GENERAL.

DOE 2030.4B. REPORTING FRAUD. WASTE. AND ABUSE TO THE
OFFICE OF INSPECTOR GENERAL. HAS REVISED DOE 2030.4A TO
REFLECT ORGANIZATIONAL TITLE AND OTHER EDITORIAL REVISIONS
TO INCORPORATE CHANGES REWIRED BY SEN-6. NO SUBSTANTIVE
CHANGES HAVE BEEN MADE. DUE TO THE NUMBER OF PAGES
AFFECTED BY THE REVISIONS. THE ORDER HAS BEEN ISSUED
AS A REVISION.

U.S. Department of Energy
Washington, D.C.

ORDER

DOE 2030.4B

5-18-92

SUBJECT: REPORTING FRAUD, WASTE, AND ABUSE TO THE OFFICE OF
INSPECTOR GENERAL

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1. PURPOSE. To establish policies and procedures for reporting fraud, waste, abuse, or corruption to the Department of Energy (DOE), Office of Inspector General (IG).
 2. CANCELLATION. DOE 2030.4A, REPORTING FRAUD, WASTE, AND ABUSE, of 3-19-91.
 3. SCOPE. This Order applies to all Departmental Elements and contractors performing work for the Department as provided by law and/or contract. For purposes of this Order, "contractor" refers exclusively to DOE integrated contractors and management and operating contractors.
 4. REFERENCES.
 - a. The Inspector General Act of 1978, Public Law 95-452, as amended, 5 United States Code (U.S.C.), App. 3, sets forth authority and functions of the Inspector General.
 - b. Public Law 101-12, Whistleblower Protection Act of 1989, which strengthens the protection available to Federal employees against prohibited personnel practices.
 - c. Title 10, Code of Federal Regulations (CFR), Part 1010, Conduct of Employees, which prescribes DOE regulations with regard to the integrity and conduct expected of all DOE employees and requires employees to report all alleged or actual misconduct of DOE employees.
 - d. Executive Order 12333, "United States Intelligence Activities," of 12-4-81, which designates the Department of Energy as a member of the Intelligence Community.
 - e. Executive Order 12334, "President's Intelligence Oversight Board," of 12-4-81, which establishes intelligence reporting requirements for the IG.
 - f. Executive Order 12344, "Naval Nuclear Propulsion Program," of 1-27-82, which preserves the basic structure, policies, and practices developed for the program in the past and establishes additional policies, organization, and administrative procedures 'to ensure that the Program will continue to function with excellence.

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General

- g. Executive Order 12731, "Principles of Ethical Conduct for Government Officers and Employees," of 10-17-90, which, establishes the requirement for Government employees to disclose fraud, waste, abuse, and corruption.
- h. DOE 1360.29, UNCLASSIFIED COMPUTER SECURITY PROGRAM, of 5-18-92, which establishes requirements, policies, responsibilities, and procedures for developing, implementing, and sustaining a DOE unclassified computer security program.
- i. DOE 2320. 1C, COOPERATION WITH THE OFFICE OF INSPECTOR GENERAL, of 5-18-92, which establishes DOE policy for cooperating with the IG.
- j. DOE 2320.3A, OFFICE OF INSPECTOR GENERAL--RESPONSIBILITIES, AUTHORITIES, AND RELATIONSHIPS WITH OTHER DEPARTMENTAL ELEMENTS, of 5-18-92, which sets forth IG responsibilities, authorities, and relationships with other Departmental Elements.
- k. DOE 5630.8A, SAFEGUARDING OF NAVAL NUCLEAR PROPULSION INFORMATION, of 7-31-90, which promulgates the official definition of naval nuclear propulsion information (NNPI) and outlines disclosure policies and general safeguarding requirements for such information.
- l. DOE 5631.5, VIOLATION OF LAWS, LOSSES, AND INCIDENTS OF SECURITY CONCERNS, of 2-12-88, which sets forth DOE procedures to ensure timely and effective action relating to violations of criminal laws, losses, and incidents of security concern to DOE.
- m. DOE 5650.3A. IDENTIFICATION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION; of 6-8-92, which establishes policy and procedures for identifying Unclassified Controlled Nuclear Information (UCNI) and for reviewing and marking documents and material containing UCNI.

5. POLICY.

- a. The DOE shall seek to uncover fraud, waste, abuse, or mismanagement involving DOE programs, operations, funds, and contracts and ensure that corrective action is taken. When appropriate, referral of violations shall be made to law enforcement entities. The DOE will investigate, impose discipline, receive restitution for losses, and remedy those situations requiring administrative action.
- b. Any DOE or DOE contractor employee who has information about actual or suspected waste, fraud, abuse, corruption, or mismanagement relating to DOE programs, operations, funds, or contracts shall provide this information to appropriate authorities. Notwithstanding the above, DOE or DOE contractor employees should, when appropriate, report directly to the IG any information concerning

wrongdoing by Department employees, contractors, subcontractors, grantees, or other recipients of DOE financial assistance, or their employees.

- c. The DOE and DOE contractor managers shall ensure that reprisals are not taken against DOE or DOE contractor employees who report fraud, waste, abuse, or corruption.

6. RESPONSIBILITIES AND ACTION.

a. Inspector General (IG-1) shall:

- (1) Notify all DOE employees, at least annually, of their duty to report allegations of fraud, waste, abuse, corruption, or mismanagement, as well as, of IG responsibilities in this area.
- (2) Operate and publicize a telephone hotline to permit DOE and DOE contractor employees who wish to report allegations of fraud, waste, abuse, corruption, or mismanagement immediate access to the IG.
- (3) Process allegations received in accordance with IG operational procedures.
- (4) Disseminate to the head of each DOE facility or site, procedures for reporting allegations of fraud, waste, abuse, corruption, or mismanagement. Also, disseminate these procedures to all applicable DOE contracting officers for further dissemination to DOE contractors and their employees.
- (5) Designate an IG representative for each DOE facility or site, including Government-owned contractor-operated (GOCO) facilities, and ensure that the IG representative communicates regularly and on a timely basis with the applicable DOE officials at that facility or site.
- (6) Notify the Director of Security Affairs (SA-1), of investigations of matters involving the security of special nuclear material, classified computer systems, and classified information.
- (7) Notify the Deputy Assistant Secretary for Naval Reactors (NE-60) of investigative matters involving the security of special nuclear material or classified or sensitive information under NE-60's cognizance.
- (8) Notify the Director of Information Resources Management (AD-20), of investigations of alleged fraud, waste, abuse, and other matters relating to the security of unclassified computer systems and sensitive unclassified automated information.

- (9) Notify the Director of Intelligence (IN-1), of allegations regarding espionage, including approaches made by representatives of other governments for the commission of espionage or the collection of information.
 - (10) Notify the DOE Ethics Counselor (GC-43) of violations of Standards of Conduct.
 - (11) Notify the Director of Nuclear Safety (NS-1), of allegations concerning nuclear safety matters.
 - (12) Notify appropriate Heads of Departmental Elements of investigations of matters under their purview involving fraud, waste, abuse, corruption, or mismanagement, unless the IG determines that such notification might jeopardize the successful prosecution of an investigation.
- b. Heads of All Field Elements and the Director of Administration and Human Resource Management (for Headquarters) (AD-1), shall ensure that the DOE IG hotline telephone number is:
- (1) Displayed in common areas under their cognizance, such as cafeterias, public telephone areas, official bulletin boards, reception rooms, and building lobbies.
 - (2) Published in telephone books and employee newsletters under their cognizance.
- c. Heads of All Field Elements and the Director of Procurement, Assistance and Program Management (for Headquarters) (PR-1), shall ensure that:
- (1) Contractors under their cognizance are required to notify their employees annually of their duty to report allegations of fraud, waste, abuse, corruption, or mismanagement in DOE programs, operations, funds, or contracts to appropriate authorities. The annual notification shall include the provision that, notwithstanding the above, DOE contractor employees should, when appropriate, report directly to the IG any information concerning wrongdoing by DOE employees, contractors, subcontractors, grantees, or other recipients of DOE financial assistance, or their employees.
 - (2) Contractors under their cognizance are required to display and publish the DOE IG hotline telephone number in common areas of buildings, such as cafeterias, public telephone areas, official bulletin boards, reception rooms, and building lobbies.

- (3) Contractors under their cognizance are required to publish the DOE IG hotline telephone number in telephone books and newsletters under the contractor's cognizance.
- (4) All alleged incidents of fraud, waste, and abuse which have been referred to Federal, State, or local law enforcement entities are also reported to the IG.

d. DOE and DOE Contractor Employees shall:

- (1) Report allegations of fraud, waste, abuse, corruption, or mismanagement in DOE programs, operations, funds, or contracts to appropriate authorities. Notwithstanding the above, DOE and DOE contractor employees should, when appropriate, report directly to the IG any information concerning wrongdoing by DOE employees, contractors, subcontractors, grantees, or other recipients of DOE financial assistance, or their employees.
- (2) Report to the DOE IG any allegations of reprisals taken against DOE or DOE contractor employees who have reported fraud, waste, abuse, corruption, or mismanagement to the IG.

BY ORDER OF THE SECRETARY OF ENERGY:



DONALD W. PEARMAN, JR.
Acting Director
Administration and Human
Resource Management

