

PROCEDURAL ALERT
Award Recommendation Memo

Issue 2015 -003

Effective Date: November 24, 2014

Area Affected: CDO, ARC, ICE

Process: Award Recommendation Memo – Used in rejection, denial, and award payable claims

The Award Recommendation Memo will be used by the Whistleblower Office to document the approval of the decision/determination of all claims. The Form 11369 will still be used to gather feedback from the field and should still be reviewed and uploaded into etrak – a summary of exam’s feedback will be included in the Award Recommendation Memo under Exam results. However, the Form 11369 will no longer be used for manager approvals and will no longer require WO manager signatures. The Award Recommendation Memo is for file only. Do not send the Award Recommendation Memo to whistleblower.

1) Employee must fill out one form for each submission (Form will be uploaded to the Master claim)

a) Rejection

i) The following sections are required:

- (1) Top box section – Approver Name, Employee Submitting, Date Form 211 was received by the Whistleblower Office, Date Form 211 was signed by WB, etc.
- (2) Summary Basis for the Recommendation – Summary Basis should state the type of letter proposed to issue, recommendation of related claims (if any), the alleged amount in dispute, and the basis for the rejection (ICE can copy/paste classifier’s basis statement listed on the classification sheet when rejected by classification).
- (3) Claim Allegation, Background, and Summary – Summarize the whistleblower’s allegations and any pertinent background information regarding the claim.
- (4) Exam Results – State “Rejected by classification” if rejected by classification
- (5) Summary of WB response w/ Analysts Conclusion – if the whistleblower does not respond, state the date the administrative proceeding began, the length of time provided to the whistleblower and that no response was received by the Whistleblower Office.

b) Denial

i) The following sections are required:

- (1) Top box section – Approver Name, Employee Submitting, Date Form 211 was received by the Whistleblower Office, Date Form 211 was signed by WB, etc.
- (2) Summary Basis for the Recommendation – Summary Basis should state the type of letter proposed to issue, recommendation of related claims (if any), the alleged amount in dispute, the specific reason for the denial that will be entered in etrak (ICE can copy/paste classifier’s basis statement listed on the classification sheet when denied by classification), specify where the decision was made (WO, classification, SME, field).

- (3) Claim Allegation, Background, and Summary – Summarize the whistleblower’s allegations and any pertinent background information regarding the claim.
- (4) Exam Results – State “Denied by classification” if denied by classification
- (5) Summary of WB response w/ Analysts Conclusion – Summarize the whistleblower’s response, analysts conclusion, and support for the conclusion. If the whistleblower does not respond, state the date the administrative proceeding began, the length of time provided to the whistleblower and that no response was received by the Whistleblower Office.

c) Award Payable

- i) The following sections are required:
 - (1) Top box section – Approver Name, Employee Submitting, Date Form 211 was received by the Whistleblower Office, Date Form 211 was signed by WB, etc.
 - (2) Summary Basis for the Recommendation – Summary Basis should state the type of letter proposed to issue, recommendation of related claims (if any). If any of the related claims are recommended for rejection/denial the summary basis should state the basis for the rejection/denial of these claims, the alleged amount in dispute, and the basis for the denial, the type of rejection/denial letter proposed).
 - (3) Examination Activity Summary – Summarize the feedback provided by exam and their actions.
 - (4) Exam Results
 - (5) Whistleblower Tax Law – State applicable sections of the code/regs which influenced the award recommendation
 - (6) Basis for Award Percentage Recommendation – Use factors from the regulations, feedback from exam, etc. Provide a defensible basis for the recommended award percentage.
 - (7) Award Computation
 - (8) Summary of WB response w/ Analysts Conclusion – if the whistleblower does not respond, state the date the administrative proceeding began, the length of time provided to the whistleblower and that no response was received by the Whistleblower Office.