

Office of the Secretary, HUD

§ 4.36

(2) Any employee who has authority to take, direct others to take, recommend or approve a personnel action is prohibited from threatening, taking, failing to take, recommending, or approving any personnel action as reprimand against another employee for providing information to investigating officials.

§ 4.32 Investigation by Office of Inspector General.

The Office of Inspector General shall review every alleged violation of Section 103. If after a review the Office of Inspector General determines that further investigation is not warranted, it shall notify the Ethics Law Division of that determination. If, after a review, the Office of Inspector General determines that additional investigation is warranted, it shall conduct the investigation and upon completion issue a report of the investigation to the Ethics Law Division as to each alleged violation.

§ 4.34 Review of Inspector General's report by the Ethics Law Division.

After receipt of the Inspector General's report, the Ethics Law Division shall review the facts and circumstances of the alleged violations. In addition, the Ethics Law Division may:

- (a) Return the report to the Inspector General with a request for further investigation;
- (b) Discuss the violation with the employee alleged to have committed the violation; or
- (c) Interview any other person, including employees who it believes will be helpful in furnishing information relevant to the inquiry.

§ 4.36 Action by the Ethics Law Division.

(a) After review of the Inspector General's report, the Ethics Law Division shall determine whether or not there is sufficient information providing a reasonable basis to believe that a violation of Section 103 or this subpart B has occurred.

(b) If the Ethics Law Division determines that there is no reasonable basis to believe that a violation of Section 103 or this subpart B has occurred, it

shall close the matter and send its determination to the Office of Inspector General.

(c) If the Ethics Law Division determines that there is sufficient information to provide a reasonable basis to believe that a violation of Section 103 or this subpart B has occurred, it shall:

(1) Send its determination to the Office of Inspector General; and

(2) Refer the matter to the appropriate official for review as to whether to impose a civil money penalty in accordance with 24 CFR part 30; provided, however, that the Ethics Law Division shall not make a civil money penalty recommendation unless it finds the violation to have been knowing and material. The decision to impose a civil money penalty in a particular matter may be made only upon referral from the Ethics Law Division.

(d) In determining whether a violation is material, the Ethics Law Division shall consider the following factors, as applicable:

(1) The content of the disclosure and its significance to the person to whom the disclosure was made;

(2) The time during the selection process when the disclosure was made;

(3) The person to whom the disclosure was made;

(4) The dollar amount of assistance requested by the person to whom the disclosure was made;

(5) The dollar amount of assistance available for a given competition or program;

(6) The benefit, if any, received or expected by the employee, the employee's relatives or friends, or any other person with whom the employee is affiliated;

(7) The potential injury to the Department.

(e) If the Ethics Law Division determines that there is sufficient information to provide a reasonable basis to believe that a violation of Section 103 or this subpart B has occurred, it may, in addition to referring the matter under 24 CFR part 30, refer the matter to an appropriate HUD official for consideration of any other available disciplinary action. Any referral authorized by this paragraph (e) shall be reported to the Inspector General and

§ 4.38

may be reported to the employee's supervisor.

§ 4.38 Administrative remedies.

(a) If the Department receives or obtains information providing a reasonable basis to believe that a violation of Section 103 has occurred, the Department may impose a sanction, as determined to be appropriate, upon an applicant for or a recipient of assistance who has received covered selection information.

(b) In determining whether a sanction is appropriate and if so which sanction or sanctions should be sought, the Secretary shall give consideration to the applicant's conduct with respect to the violation. In so doing, the Secretary shall consider the factors listed at § 4.36(d), as well as any history of prior violations in any HUD program, the benefits received or expected, and the extent of any complicity in the violation.

(c) The Secretary may impose a sanction authorized by this section whether or not the Ethics Law Division refers a case under 24 CFR part 30, and whether or not a civil money penalty is imposed.

PART 5—GENERAL HUD PROGRAM REQUIREMENTS; WAIVERS

Subpart A—Generally Applicable Definitions and Federal Requirements; Waivers

Sec.

- 5.100 Definitions.
- 5.105 Other Federal requirements.
- 5.107 Audit requirements for non-profit organizations.
- 5.108 Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federally Funded Construction Projects.
- 5.110 Waivers.

Subpart B—Disclosure and Verification of Social Security Numbers and Employer Identification Numbers; Procedures for Obtaining Income Information

- 5.210 Purpose, applicability, and Federal preemption.
- 5.212 Compliance with the Privacy Act and other requirements.
- 5.214 Definitions.

24 CFR Subtitle A (4-1-04 Edition)

DISCLOSURE AND VERIFICATION OF SOCIAL SECURITY NUMBERS AND EMPLOYER IDENTIFICATION NUMBERS FOR APPLICANTS AND PARTICIPANTS IN CERTAIN HUD PROGRAMS

- 5.216 Disclosure and verification of Social Security and Employer Identification Numbers.
- 5.218 Penalties for failing to disclose and verify Social Security and Employer Identification Numbers.

PROCEDURES FOR OBTAINING INCOME INFORMATION ABOUT APPLICANTS AND PARTICIPANTS

- 5.230 Consent by assistance applicants and participants.
- 5.232 Penalties for failing to sign consent forms.
- 5.234 Requests for information from SWICAs and Federal agencies; restrictions on use.
- 5.236 Procedures for termination, denial, suspension, or reduction of assistance based on information obtained from a SWICA or Federal agency.
- 5.238 Criminal and civil penalties.
- 5.240 Family disclosure of income information to the responsible entity and verification.

Subpart C—Pet Ownership for the Elderly or Persons With Disabilities

GENERAL REQUIREMENTS

- 5.300 Purpose.
- 5.303 Exclusion for animals that assist persons with disabilities.
- 5.306 Definitions.
- 5.309 Prohibition against discrimination.
- 5.312 Notice to tenants.
- 5.315 Content of pet rules: General requirements.
- 5.318 Discretionary pet rules.
- 5.321 Lease provisions.
- 5.324 Implementation of lease provisions.
- 5.327 Nuisance or threat to health or safety.

PET OWNERSHIP REQUIREMENTS FOR HOUSING PROGRAMS

- 5.350 Mandatory pet rules for housing programs.
- 5.353 Housing programs: Procedure for development of pet rules.
- 5.356 Housing programs: Pet rule violation procedures.
- 5.359 Housing programs: Rejection of units by applicants for tenancy.
- 5.360 Housing programs: Additional lease provisions.
- 5.363 Housing programs: Protection of the pet.