



## Solano County Auditor-Controller's Whistleblower Program Status Update June 30, 2015

### Significant Issues Update

The Auditor-Controller's Internal Audit Division operates the County's Whistleblower Program. The Program includes a special hotline number (866) 384-TIPS and a website for submission of reports. The reports received were reviewed by the Internal Audit Division in cooperation with Appointed and Elected Department Heads and the County Administrator as deemed appropriate.

From January 1, 2015 through June 30, 2015, the Whistleblower Program received 42 reports of perceived incidence of fraud, waste and abuse, or violations of County policy or law. In addition, there are three complaints from our last report, of which one remains open with an investigation in progress and two were closed, bringing the caseload to 45.

Reports were received in the following categories:

- 17 Violations of Law and/or County policy
- 3 Welfare fraud
- 6 Timesheet fraud
- 4 Management conduct
- 1 Waste of County funds
- 6 Environmental nuisance
- 8 Other

Of the 45 complaints:

- 4 were substantiated and found to have merit
- 19 were found to not have merit
- 6 remain open with investigation in progress
- 2 were closed due to insufficient information
- 14 were referred to appropriate outside agencies and were closed

Details about the complaints found to have merit are as follow:

<i>Complaint Allegation</i>	<i>Resolution</i>
A water leak was detected at the County Detention Facility in Fairfield, CA. The complainant claims that the leak went unfixed for months after it was first reported.	The complaint was investigated by General Services. The leak was inspected after initial reporting. However, repair was delayed due to special fabrication of necessary parts and arrangement for a water shutdown at the detention facility.

<b><i>Complaint Allegation</i></b>	<b><i>Resolution</i></b>
A County employee used County e-mail to solicit funds for a private fundraiser.	The complainant was investigated by the Internal Audit Division. The employee was verbally counseled and was advised of County policy.
A County employee was not properly managing his time and was conducting personal business on County time and using County equipment.	The complaint was investigated by the department head. The employee was verbally counseled and was advised of County policy.
County is wasting funds when departments order office supplies and/or equipment that is otherwise available through the County Surplus program.	The complaint was investigated by the Internal Audit Division. Unnecessary purchases could be made if departments are unaware items they are seeking are available as surplus property. Corrective action has been taken to increase awareness of the County Surplus program.
Three complaints were referred to the H&SS Special Investigations Bureau (SIB) for investigation into alleged welfare fraud. None were found to have merit.	Not applicable.

The Whistleblower Program continues to demonstrate success in the identification of County-related matters in potential fraud, waste, and abuse. The Program continues to improve controls and promotes accountability and oversight throughout the County by providing a process for employees and other County citizens to report perceived incidence of fraud, waste, and abuse.

For questions, contact Kirk Starkey, Internal Audit Manager, at (707) 784-3057.