



Solano County Auditor-Controller's Whistleblower Program Status Update December 31, 2016

Significant Issues Update

The Auditor-Controller's Internal Audit Division (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 Division in cooperation with Appointed and Elected Department Heads and the County Administrator as deemed appropriate.

From July 1, 2016 through December 31, 2016, the Division received 253 contacts through the Whistleblower Program. Twenty-six were reports of perceived incidence of fraud, waste, and abuse, or violations of County policy or law. Two hundred twenty-seven were determined not to be County Whistleblower matters because the complaint failed to provide sufficient information, or the allegation was not within the scope of the County's whistleblower program. In addition, there were eleven complaints from our last report. Eight remain open with an investigation in progress and three were closed, bringing the caseload to 37.

Reports of valid whistleblower matters were received in the following categories:

- 16 Violations of Law and/or County policy
- 4 Welfare fraud
- 2 Timesheet fraud
- 4 Management conduct
- 11 Other

Of the 37 complaints:

- 6 were substantiated and found to have merit
- 13 were found to not have merit
- 9 remain open with an investigation in progress
 - 5 Violations of Law and/or County policy
 - 1 Management conduct
 - 3 Other
- 2 were closed due to insufficient information
- 3 were referred to appropriate agencies and were closed
- 4 were closed after determining complaint was outside Program scope

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

<i>Complaint Allegation</i>	<i>Resolution</i>
Four complaints of alleged welfare fraud were referred to H&SS Special Investigations Bureau (SIB) for investigation.	The complaints were investigated by SIB. Three complaints were found to have merit while one complaint was found to not have merit.

<i>Complaint Allegation</i>	<i>Resolution</i>
Certain County employees were arriving late to work causing other employees to remain on post waiting for relief.	The complaint was investigated by the department. The department will continue to monitor the overall trends and address employees if individual situations arise.
A County employee was recording time worked to the wrong program because it was outside the scope of the program's purpose.	The Division and the department investigated the complaint. The Division determined certain activities were incorrectly charged to the program's budget. The department corrected the error by journal voucher. The department also issued a policy directive to staff instructing proper time reporting procedures.
A suspicion of a theft of blank prescription pads within a department resulted in their unauthorized use.	The complaint was investigated by the department. It was confirmed some prescription pads were missing. However, the investigation was not able to determine the specific details regarding the missing prescription pads. The department notified the appropriate federal agency. Additionally, the department is in the process of improving security of prescription pads by migrating to an electronic environment for writing prescriptions.

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 in policy and practice.

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