



Solano County Auditor-Controller's Whistleblower Program Status Update December 31, 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 July 1, 2015 through December 31, 2015, the Auditor-Controller's Office received 60 contacts through the Whistleblower Program. Thirty two were reports of perceived incidence of fraud, waste and abuse, or violations of County policy or law. Twenty eight were determined not to be County Whistleblower matters because the complaint failed to provide sufficient information, or the statements made were not matters within the scope of the County's whistleblower program. In addition, there are six complaints from our last report, of which four were closed and two remain open with investigations in progress, bringing the caseload to 38.

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

- 10 Violations of Law and/or County policy
- 5 Welfare fraud
- 2 Timesheet fraud
- 3 Management conduct
- 2 Environmental nuisance
- 16 Other

Of the 38 complaints:

- 6 were substantiated and found to have merit
- 6 were found to not have merit
- 8 remain open with investigation in progress
 - 3 Violations of Law and/or County policy
 - 1 Management Conduct
 - 4 Other
- 8 were closed due to insufficient information
- 10 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 County employee brought his/her child to work during office hours.	The complaint was investigated by the department. The employee was counseled and advised of County policy.

<i>Complaint Allegation</i>	<i>Resolution</i>
A County employee was sleeping or lying down in his car during work hours.	The complaint was investigated by the department. The employee was on probation and was released from County employment.
One of the volunteers of the Solano County Historical Records Commission (SCHRC) removed some historical maps displayed at SCHRC's office without authorization.	The complaint was investigated by General Services. The maps were retrieved from the volunteer and returned to the County.
Five 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 two complaints were found to not have merit.

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.