



Solano County Auditor-Controller's Whistleblower Program Status Update December 31, 2014

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, 2014 through December 31, 2014, the Whistleblower Program received 38 reports of perceived incidence of fraud, waste and abuse, or violations of County policy or law. In addition, three open complaints from our last report were closed, bringing the caseload to 41.

Reports were received in the following categories:

- 12 Violations of Law and/or County policy
- 10 Welfare fraud
- 5 Timesheet fraud
- 3 Management conduct
- 1 Waste of County funds
- 2 Environmental nuisance
- 1 Whistleblower retaliation
- 7 Other

Of the 41 complaints:

- 10 were substantiated and found to have merit
- 12 were found to not have merit
- 3 remain open with investigation in progress
- 5 were closed due to insufficient information
- 11 were referred to outside agencies and were closed

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

<i>Complaint Allegation</i>	<i>Resolution</i>
A report was received alleging that a County employee was falsifying timesheets.	The complaint was investigated by the department head. Appropriate correction action was taken.
A report was received alleging a citizen was operating a yard sale	The complaint was investigated by the Resource Management Code Compliance Officer, who issued a

<i>Complaint Allegation</i>	<i>Resolution</i>
business all year round for the past couple of years without a business license.	notice to the property owner to cease operations unless the owner obtains a business license.
A County employee was selling food on County property and time.	The complaint was investigated by the department head. The employee was verbally counseled and was advised of County policy.
Ten complaints were referred to the H&SS Special Investigations Bureau (SIB) for investigation into alleged welfare fraud. Seven of ten cases were found to have merit.	The SIB took appropriate corrective action as prescribed by directives and regulations of confirmed welfare fraud.

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 Phyllis Taynton, CPA, at (707) 784-6288.