



# SOLANO COUNTY

## AUDITOR-CONTROLLER'S OFFICE

To: Board of Supervisors  
From: Phyllis Taynton, CPA, Auditor-Controller  
Date: September 23, 2019  
Subject: Significant Issues Update

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### **Whistleblower Program Update, January 1 – June 30, 2019**

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

From January 1, 2019 through June 30, 2019, the Division received 40 complaints of perceived incidence of fraud, waste, and abuse, or violations of County policy or law through the Whistleblower Program. Of the 40 complaints, 14 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. As a result, there were 26 cases reviewed this period.

In addition to the 26 new complaints, there were 6 complaints from our last report still under review. As of this update, 4 of those 6 remain open with an investigation in progress and 2 were closed. This brought the total caseload to 32.

The 32 Whistleblower complaints reviewed are summarized by category as follows:

- 8 Violations of law and/or County policy
- 11 Welfare fraud
- 5 Timesheet fraud
- 8 Other

Of the 32 complaints:

- 7 Were substantiated and found to have merit
- 9 Were determined to not have merit
- 5 Remain open with an investigation in progress (categorized as follows):
  - 2 Violations of law and/or County policy
  - 2 Welfare Fraud
  - 1 Timesheet fraud
- 4 Were closed due to insufficient information
- 3 Were referred to appropriate agencies and were closed
- 4 Closed after determining complaint was outside Program scope

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

<i><b>Complaint Allegation(s)</b></i>	<i><b>Resolution</b></i>
A County employee was found to be wasting county time and disturbing coworkers during work hours.	The Division investigated the complaint and determined it had merit. This is being addressed through the employee's supervisor.
One County department was allowing staff a 10-minute late grace period and making up time without submitting leave requests.	The department has rescinded the grace period practice to adhere to County policies and adjusted employee's schedule as needed.
One County department was not following State guidelines for frequency of inspections.	The department has implemented corrective action and actively working to correct delinquencies.
11 complaints of alleged welfare fraud were referred to H&SS Special Investigations Bureau (SIB) for investigation.	The complaints were investigated by SIB. Four complaints were found to have merit while five complaints were found to not have merit. Two complaints are still open with an investigation in progress.

The Whistleblower Program continues to serve as a successful tool to aide in the identification of County-related matters of potential fraud, waste, and abuse. The Program looks at and addresses 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.

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