



SOLANO COUNTY

AUDITOR-CONTROLLER'S OFFICE

To: Board of Supervisors
From: Simona Padilla-Scholtens, CPA, Auditor-Controller
Date: April 17, 2018
Subject: Significant Issues Update

Whistleblower Program Update, July 1 – December 31, 2017

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

From July 1 through December 31, 2017, the Division received 25 complaints of perceived incidence of fraud, waste, and abuse, or violations of County policy or law through the Whistleblower Program. Of the 25 complaints, 3 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, 22 new complaints were reviewed this period.

In addition to the 22 new complaints, there were 12 complaints from our last report still under review. As of this update, 3 of those 12 remain open with an investigation in progress and 9 were closed.

The 34 WB complaints reviewed are summarized by category as follows:

- 10 Violations of law and/or County policy
- 9 Welfare fraud
- 2 Timesheet fraud
- 1 Management conduct
- 12 Other

Of the 34 complaints:

- 4 Were substantiated and found to have merit
- 11 Were found not to have merit
- 2 Were closed due to insufficient information
- 4 Were referred to appropriate agencies and were closed
- 9 Were closed after determining complaint was outside Program scope
- 4 Remain open with an investigation in process (categorized as follows):
 - 1 Violations of law and/or County Policy
 - 2 Timesheet fraud
 - 1 Other

Details about the 4 complaints found to have merit are as follows:

<i>Complaint Allegation(s)</i>	<i>Resolution</i>
9 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.

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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