



To: Board of Supervisors
From: Simona Padilla-Scholtens, CPA, Auditor-Controller
Date: September 21, 2018
Subject: Significant Issues Update

Whistleblower Program Update, January 1 – June 30, 2018

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 through June 30, 2018, the Division received 42 complaints of perceived incidence of fraud, waste, and abuse, or violations of County policy or law through the Whistleblower Program. Of the 42 complaints, 15 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 27 cases reviewed this period.

In addition to the 27 new complaints, there were 4 complaints from our last report that are still under review. As of this update, 2 of those 4 remain open with an investigation in progress and 2 were closed. This brought the total caseload to 31.

The 31 WB complaints reviewed are summarized by category as follows:

- 11 Violations of law and/or County policy
- 7 Welfare fraud
- 2 Timesheet fraud
- 2 Environmental nuisance
- 9 Other

Of the 31 complaints:

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

Details about the 3 complaints found to have merit are as follows:

<i>Complaint Allegation(s)</i>	<i>Resolution</i>
Some County employees were using Mail Services staff for the pick-up and delivery of their personal parcels (mail and packages).	The Division investigated the complaint and determined it had merit. Certain County employees working at the County Administrative Center building were using Mail Services staff to pick-up and deliver their personal parcels. Some parcels sent/received appeared related to an employee's personal business. The recurring and significant use of Mail Services for personal parcels is an inappropriate use of public resources. The practice appears to have resulted from the lack of an official County policy. General Services has drafted a Countywide mail services policy prohibiting the sending or receiving of personal parcels via County Mail Services. This policy is expected to be released by October 2018.
Two County employees were involved in a verbal altercation in the workplace.	The department investigated the complaint and determined it had merit. Management counseled the employees and will continue to closely monitor the individuals.
One department manager was permitting staff to "flex" their schedules in violation of County policy.	The Division investigated the complaint and determined it had merit. The department has discontinued the practice of allowing flexible scheduling not recorded on the timecard.

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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