



Solano County Auditor-Controller's Whistleblower Program July 01, 2021 through December 31, 2021

Significant Issues Update

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 July 1, 2021 through December 31, 2021, the Division received 36 complaints of perceived incidence of fraud, waste, and abuse, or violations of County policy or law through the Program. Of the 36 complaints, 19 were determined not to be Program matters because the complaint failed to provide sufficient information, or the allegation was not within the scope of the Program (e.g. COVID rules violations committed by local establishments). As a result, there were 17 new complaints reviewed this period.

In addition to the 17 new complaints, there were 3 complaints from our last report still under review. This brought the total caseload to 20.

The 39 Program complaints reviewed are summarized by category as follows:

- 26 Violations of law and/or County policy
- 6 Welfare fraud
- 2 Management Conduct
- 1 Waste of County Funds
- 4 Other

The results of the 20 complaints investigated are as follows:

- 1 Was substantiated and found to have merit
- 15 Were determined to not have merit
- 4 Remain open with ongoing investigation

Details about the one complaint found to have merit are as follows:

<i>Complaint Allegation(s)</i>	<i>Resolution</i>
One (1) complaint of violation of County policy alleged that one Department volunteer staff member shared confidential information to outside parties.	Internal Audit contacted the Department about the complaint. The Department conducted an internal review and found the complaint to have merit. The staff was reminded of the confidentiality policy on the signed volunteer "Affirmation of Understanding" form.

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.

For questions, please contact Phyllis Taynton, Auditor-Controller, at (707) 784-6288.