



Solano County Auditor-Controller's Whistleblower Program January 1, 2022 through June 30, 2022

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 Division in cooperation with Appointed and Elected Department Heads and the County Administrator as deemed appropriate.

From January 1, 2022 through June 30, 2022, the Division received 32 complaints of perceived incidence of fraud, waste, and abuse, or violations of County policy or law through the Program. Of the 32 complaints, 23 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 9 new cases reviewed this period.

In addition to the 9 new cases, there were 4 complaints open from our last report still under review. One case from the last report was determined not to be a Program matter bringing the total caseload for this period to 12.

The 12 Program complaints reviewed are summarized by category as follows:

- 7 Violations of law and/or County policy
- 2 Welfare fraud
- 1 Management Conduct
- 0 Waste of County Funds
- 2 Other

Of the 12 complaints:

- 5 Were substantiated and found to have merit
- 4 Were determined to not have merit
- 3 Are open with active investigation

Details about the 5 complaints found to have merit are as follows:

<i>Complaint Allegation(s)</i>	<i>Resolution</i>
Two complaints of alleged welfare fraud were referred to H&SS Special Investigations Bureau (SIB) for investigation.	The complaints were investigated by SIB. Two complaints were found to have merit.
One complaint of violation of County policy alleged staff did not adhere to work schedules by participating in personal activities during scheduled work hours.	Internal Audit contacted the Department about the complaint. The Department conducted an internal review and found the complaint to have merit. Staff was counseled on adhering to assigned work schedules and break limits.
Two complaints of violation of County policy alleged staff were allowed to leave work prior to the end of their shift and did not record it on their timecards.	Internal Audits reviewed staff timesheets and discussed the issue with department managers. Management confirmed staff were allowed to leave early. Management subsequently submitted Prior Period Adjustments to correct the reported hours worked.

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 Matthew Fong, Deputy Auditor-Controller, at (707) 784-3057.