



The Solano County Auditor-Controller's Whistleblower Program Six-Month Status Report March 2010

Whistleblower Program Overview

On September 15, 2008 the Solano County Auditor-Controller launched the Whistleblower Program. The Program formalized the process to report a perceived incident of fraud, waste and abuse within departments and agencies under the control of the Solano County Board of Supervisors.

Over the past 18 months the Auditor-Controller's Internal Audit Division has operated the Whistleblower Program, which includes a special hotline number (866)384-TIPS and a website for online submissions. Reports received have been reviewed by the Internal Audit Division of the Auditor-Controller's Office in cooperation with Appointed and Elected Department Heads, County Counsel and the County Administrator as deemed appropriate.

Whistleblower Statistics

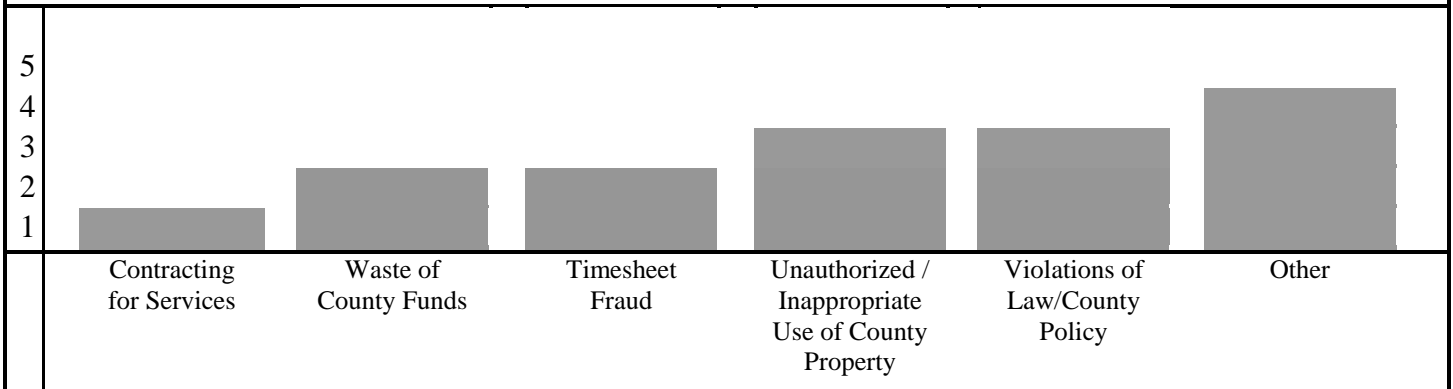
The Solano County Auditor-Controller's Whistleblower Program received 15 reports of perceived incidents of fraud, waste and abuse from September 15, 2009 through March 15, 2010. The program received 7 reports via the County's Website, 4 via the Whistleblower Hotline, 3 via mail, and 1 in-person. The reports are categorized in Table 1 below.

Table 1	
<i>Reports Received of Perceived Incidents of Fraud, Waste and Abuse</i>	
Actionable Reports	15
Referred Reports	0
Insufficient Information	0
Total Whistleblower Reports Received	15

Whistleblower Cases

Reports received during the period included possible waste of County funds, unauthorized/inappropriate use of County property, violations of law/County policy, timesheet fraud, contracting for services, and other. The cases are categorized in Table 2 by type. The Internal Audit Division opened cases for the 15 actionable reports received. Of the 15 cases opened, 12 of the cases have been closed and three remain open.

Table 2
Reports of Allegation by Type
For the Period September 15, 2009 – March 15, 2010



Whistleblower Report Summary

Below is a summary of the cases closed from September 15, 2009 through March 15, 2010.

<i>Complaint Allegation</i>	<i>Resolution</i>
County employees falsified timesheets and supervisors show favoritism in scheduling of shifts.	The case was not found to have merit.
County employees not being given appropriate lunch breaks.	The case was not found to have merit.
County employee and direct supervisor in a relationship. Employee is receiving special treatment.	The case was not found to have merit. However, additional training for supervisor and staff were provided.
County employee was unauthorized and inappropriately used of County vehicle.	The case was not found to have merit.
Department violating State regulations and wasting County funds.	The case was not found to have merit.
County employee accepting bribes in exchange for unauthorized or inappropriate benefits.	The case was not found to have merit. However, additional procedures were established to improve management controls and oversight.
County employee falsified timesheets and military orders to avoid use of annual leave.	The case was not found to have merit.

County employee violated laws by selling illegal drugs.	The case was not found to have merit.
Client committing welfare fraud.	The case was not found to have merit.
County employee given special treatment and allowed to work from home without specific defined deliverables.	Case was found to have merit. Corrective action in process.
County employee using County resources to promote a private enterprise.	The case was not found to have merit.

Whistleblower Summary

The Whistleblower Program demonstrates the continued success in the identification of County-related matters in potential fraud, waste and abuse. The Program received 15 new reports, closed 13 cases, including 12 new cases and one case pending from the prior reporting period and three cases remain open. The Program continues to improve controls, accountability and oversight throughout the County. The Whistleblower Program continues to be a successful addition to the County's efforts to ensure accountability by providing a process for other interested parties to report perceived incidents of fraud, waste and abuse.