



The Solano County Auditor-Controller's Whistleblower Program Status Update As of June 30, 2012

Significant Issues Update

During the past year, the Auditor-Controller's Internal Audit Division continued to operate the County Whistleblower Program. The program includes a special hotline number (866)384-TIPS and a website for submission of reports. The reports received were reviewed by the Internal Audit Division of the Auditor-Controller's Office in cooperation with Appointed and Elected Department Heads and the County Administrator as deemed appropriate.

From July 1, 2011 through June 30, 2012, the Whistleblower Program received 25 reports of perceived incidence of fraud, waste and abuse, or violations of policy or law.

Reports were received in the following categories:

- violations of Law/County policy (12)
- timesheet fraud (5)
- unauthorized/inappropriate use of County property (3)
- other (5)

Fourteen of the cases were found to not have merit. Five of these cases were referred to the H&SS Special Investigations Bureau for further investigation into alleged Welfare fraud. All five were found to be without merit.

One case was found to be outside the jurisdiction of the County and was closed and referred to the governing board of the agency in question for their investigation and action.

Ten cases were found to have merit. The following is a summary of those cases.

<i>Complaint Allegation</i>	<i>Resolution</i>
County employee conducting a personal business on County time	Employee reprimanded. Supervisors were instructed to improve oversight of employee activities at work
County employee coming to work late and taking long lunch breaks	Employee counseled by supervisor on management of time and informing supervisor on schedule changes/variations
Unauthorized use of a County vehicle – van identified in parking lot of Kaiser Fairfield clinic	Employee counseled by supervisor on approved uses of County vehicles
Unpermitted construction – demolition and replacement of a chimney	Building and Safety Division investigated and confirmed that no permit had been issued for the work. Homeowner contacted and permits issued post construction

County employee regularly takes time off without coordination or approval	Employee terminated for cause
Conflicts identified between employee case records and related travel records	Referred to County Compliance Officer for further investigation and corrective action. Compliance case still pending
Employee bringing his children to work	Employee counseled by supervisor. Employee understands the rule and no longer brings children to work
Seven employees required to share a room designed for four people	Staff moved to alleviate congested work space
Cash and purchasing controls being violated	Immediate changes made to improve cash controls. Purchasing controls are being evaluated in the Master Internal Control Review currently in process
One employee being given overtime in preference to other staff	Policy changed so overtime is being offered to all staff on equal basis

In cases where fraud, waste, or abuse was not found, the review by our office or department management improved processes and controls. These improvements help to prevent future potential issues of fraud, waste and abuse.

The Whistleblower Program continues to demonstrate success in the identification of County-related matters in potential fraud, waste and abuse. The Program continues to improve controls, and oversight throughout the County. The Whistleblower Program is a successful addition to the County's efforts to ensure accountability by providing a process for employees and other County citizens to report perceived incidence of fraud, waste and abuse.