



The Solano County Auditor-Controller's Whistleblower Program Six Month Status Update March 2009

Whistleblower Program Overview

On September 15, 2008 the Solano County Auditor-Controller launched the Whistleblower Program. The Program formalizes 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 six 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 and the County Administrator as deemed appropriate.

Whistleblower Statistics

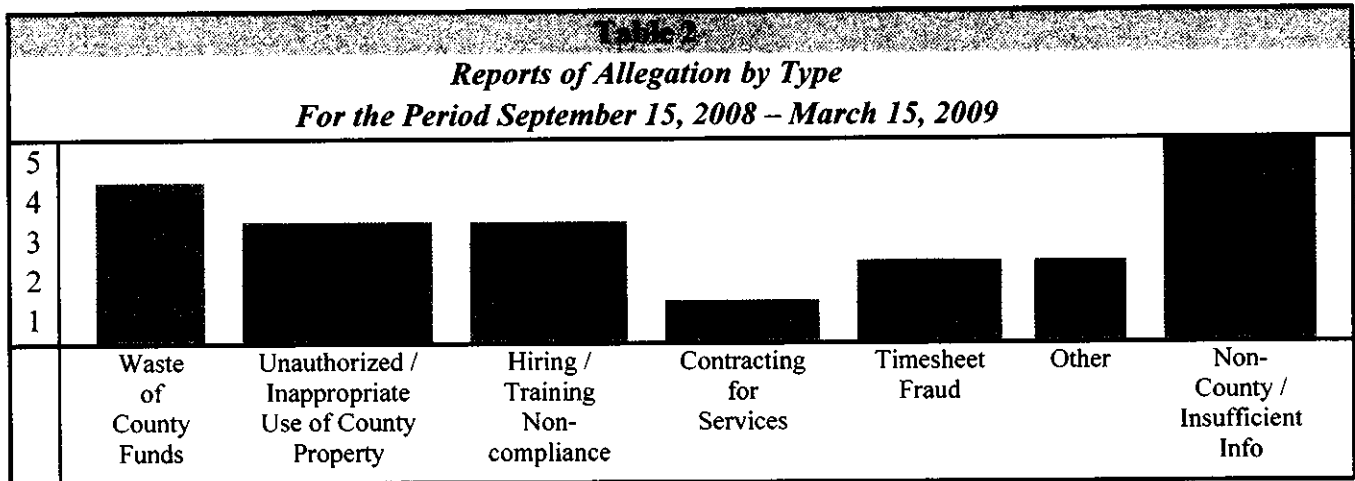
The Solano County Auditor-Controller's Whistleblower Program received 20 reports of perceived incidents of fraud, waste and abuse from September 15, 2008 through March 15, 2009. The program received seven reports via the County's Website, nine via the Whistleblower Hotline, three via standard mail, and one in person. The reports are categorized in Table 1.

<i>Reports of Perceived Incidents of Fraud, Waste and Abuse Received</i>	
Actionable Reports	15
Referred Reports	4
Insufficient Information	1
Total Whistleblower Reports Received	20

Whistleblower Cases

Reports received during the period included possible waste of County funds, unauthorized/inappropriate use of County property, noncompliance with hiring/training rules and regulations, noncompliance with contracting policies and procedures, timesheet fraud, 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, 11 of the cases have been closed and four remain open.

Attachment A



Whistleblower Reports

Below are summaries of cases closed during the period from September 15, 2008 through March 15, 2009.

<i>Complaint Allegation</i>	<i>Resolution</i>
County employee used County property for the operation of the employee's private business.	The case was found to have merit. Corrective action was taken.
A Division of a County Department was overstaffed due to insufficient workload.	This case was found to have merit. Corrective action was taken.
County employee was hired despite failing to pass a background check and failing to meet minimum qualifications.	This case was <u>not</u> found to have merit. However opportunities for improvement in County's background check processes were identified and provided to management.
County employee was not working hours reported on timesheets for the past nine months.	This case was found to have merit. Corrective action was taken.
County employee falsified timesheets by excluding leave taken.	Insufficient information was available to validate the complaint. However, opportunities for improvement in the County's processes for record retention of payroll support were identified and provided to management.

County vehicle was used for personal use on County paid time.	This case was <u>not</u> found to have merit.
The total cost of County State Fair Exhibit is not tracked and evaluated on an annual basis and funds may be better spent elsewhere.	This case was found to have merit. Corrective action was taken including establishing a tracking of County State Fair Exhibit Costs. Recommendation made to reduce amount spent on State Fair Exhibit.
County employees failed to complete mandatory training courses.	This case was <u>not</u> found to have merit.
County resident inappropriately received the homeowners exemption on property tax owed to the County.	This case was found to have merit. Corrective action was taken.
County employees on State Disability are required to return to work without adequate workload.	This case was <u>not</u> found to have merit.
County Department failed to adequately address citizen concerns.	This case was <u>not</u> found to have merit.

Whistleblower Summary

The Whistleblower Program's first six months in operation demonstrates the successful identification of County-related matters in potential fraud, waste and abuse. The Program received 20 reports. Closed 11 of 15 cases opened, identified cost savings to the County in overstaffing, improved timesheet accountability and oversight for leave taken, and eliminated the inappropriate use of County property. Additionally, the program has resulted in improved internal controls in payroll processing, hiring and background checks, and tracking of County costs. The Whistleblower Program has become a successful addition to the County's efforts to ensure accountability by providing a process for employees to report perceived incidents of fraud, waste and abuse.