



COUNTY OF SAN LUIS OBISPO
AUDITOR • CONTROLLER • TREASURER • TAX COLLECTOR

JAMES P. ERB, CPA
Auditor-Controller
Treasurer-Tax Collector

James W. Hamilton, CPA
Assistant

Whistleblower Hotline Report
As of June 30, 2014

The San Luis Obispo County Whistleblower Hotline was established in November 2013 to provide a mechanism by which employees and citizens may contribute to the accountability, transparency, and responsibility of the County by reporting financial fraud, waste, and abuse.

The Whistleblower Hotline includes a toll-free hotline number (855-326-9623) and website (reportlineweb.com/sanluisobispo) which are accessible 24 hours a day, 7 days a week and are administered by an independent hotline provider. Reports may be submitted anonymously.

Reports received are reviewed by the County's Auditor-Controller-Treasurer-Tax Collector and the Chief Internal Auditor in conjunction with County Counsel, Human Resources, and Department Heads, as appropriate.

From the hotline's inception in November 2013 through June 30, 2014 the Whistleblower Hotline received twenty-seven reports regarding perceived instances of fraud, waste, and/or abuse. Seventeen calls were received in the fiscal year 2013-14 4th quarter ending June 30, 2014.

The 4th quarter reports received related to the following categories:

- Non-County entity payroll fraud and theft (3)
- Conflict of Interest (2)
- Safety/Sanitation Violations (2)
- Theft of County Resources (2)
- Violation of Civil Services Rules (2)
- Violation of Government Code (2)
- Abuse/Waste of County Time by Employee (1)
- Employee Misconduct (1)
- Timesheet/Payroll Fraud (1)
- Other (1)

The disposition of the seventeen cases includes:

- Six were found to be unsubstantiated
- One was found to be substantiated

- Two were found to be partially substantiated
- Three were referred to Department Heads for departmental follow-up
- Three were closed because they related to a non-County entity
- Two were referred to the Human Resources department

The two partially substantiated reports concerned the disposal of substances related to the Public Works storm drainage clean-up program. The storm drainage clean-up program has been suspended while alternate disposal procedures are considered.

The substantiated report dealt with a spelling error on the County's Tax Status Notifications. The Auditor-Controller-Treasurer-Tax Collector directed staff to correct the spelling error.

The San Luis Obispo County Whistleblower Program continues to improve controls and promote accountability and oversight throughout the County through the identification of potential fraud, waste, and abuse.