



## COUNTY OF SAN LUIS OBISPO

### AUDITOR - CONTROLLER • TREASURER - TAX COLLECTOR

**James W. Hamilton, CPA** Auditor-Controller • Treasurer-Tax Collector

**Lydia J. Corr, CPA** Assistant Auditor-Controller • Treasurer-Tax Collector

## Whistleblower Hotline Report As of June 30, 2021

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 oversight of the County by reporting suspected financial fraud, waste, and abuse. From inception in November 2013 through June 30, 2021, the Whistleblower Hotline received 270 reports.

The Whistleblower Hotline includes a toll-free hotline number (855-326-9623) and website ([reportlineweb.com/sanluisobispo](http://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 Internal Audit Division in conjunction with County Counsel, Human Resources, and Department Heads, as appropriate.

13 reports were received in the 4<sup>th</sup> quarter of Fiscal Year 2020-21, ending June 30, 2021.

The 4<sup>th</sup> quarter reports received related to the following categories:

- Violation of Federal, State, City, or County Regulation (7)
- Misconduct (2)
- Theft, Waste, Mismanagement of County Resources (1)
- Other (3) – three reports related to internal department personnel conflicts.

The disposition of the 13 cases includes:

- Five were referred to the appropriate Department Head.
- Two were related to non-County operations.
- Two were determined to be unsubstantiated.
- One did not contain sufficient information to investigate.
- One was referred to County Counsel.
- One was rescinded by the complainant.
- One was referred to a department and substantiated. The substantiated claim related to an improperly claimed homeowner's exemption by the property owner.



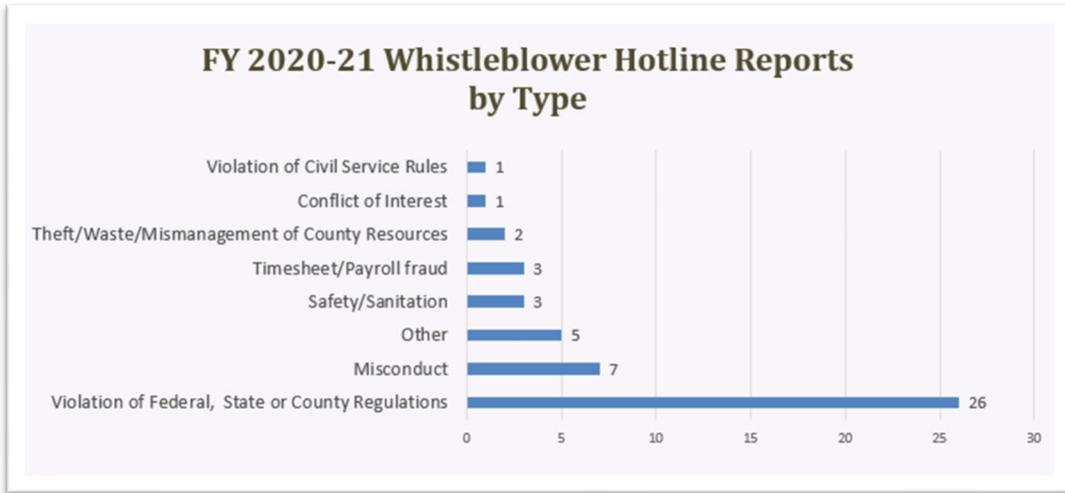
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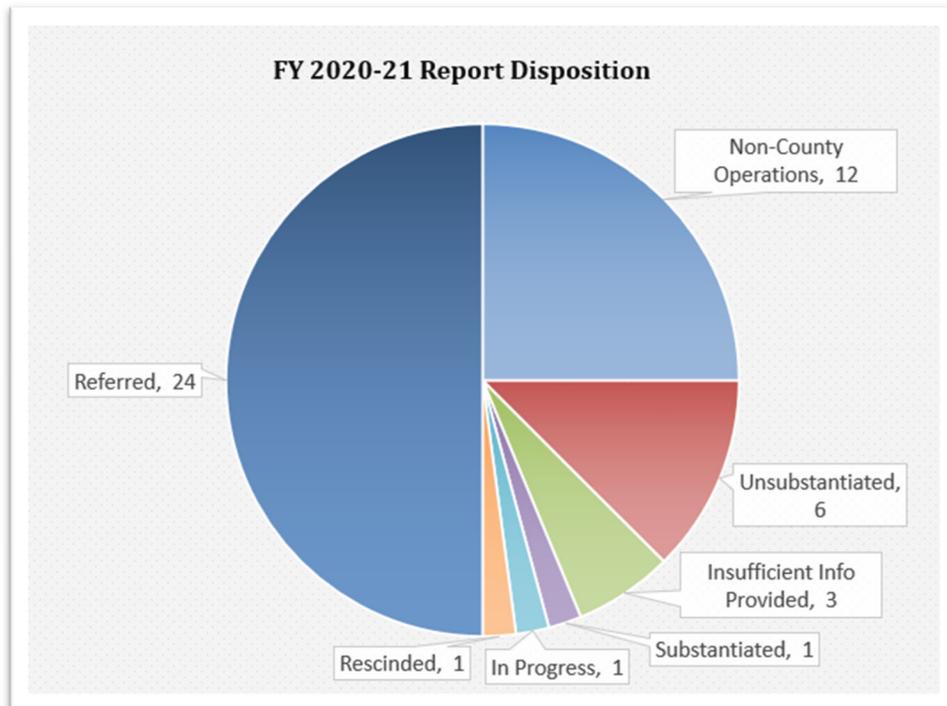
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In Fiscal Year 2020-21 the Whistleblower Hotline received 48 reports, a 20% increase from the prior year's 40 reports. The majority of the reports related to a violation of a federal, state, or county regulation.



All reports were received through the Whistleblower Hotline, with 65% of the reports being submitted anonymously. 50% of the reports received were addressed through referral to other County departments.





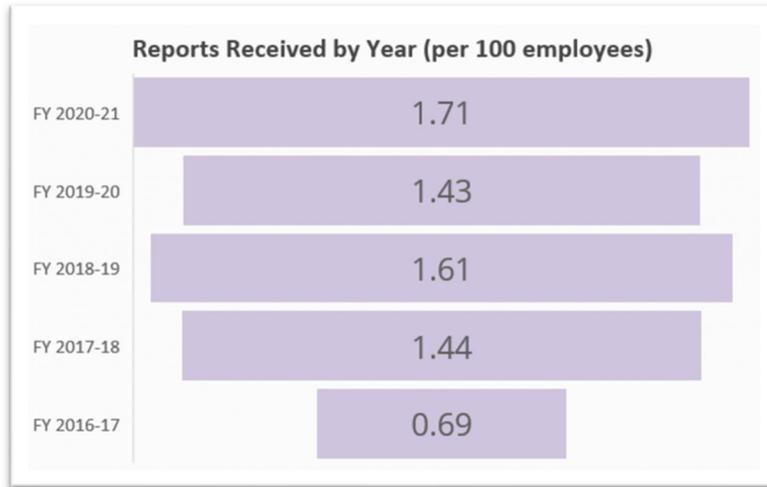
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In Fiscal Year 2020-21, there were 1.71 whistleblower reports received per 100 County employees. This is a 19% increase from the prior year and greater than the industry average for 2020 of 1.3 reports<sup>1</sup> per 100 employees.



The San Luis Obispo County Whistleblower Program improves controls and promotes accountability and oversight throughout the County through the identification of potential fraud, waste, and abuse.

Notes:

<sup>1</sup> Industry benchmark was reported by Navex Global, the County's third-party hotline administrator, and is for calendar year 2020.