



Hotline Program of the Office of the Utah State Auditor

The "State Auditor Hotline" provides an avenue for citizens, including government employees, to report suspected financial improprieties or violations of laws or regulations by state and local governments; waste of public funds or resources; and/or constructive suggestions for improving state and local governments regarding financial-related matters, internal control, or compliance. The Hotline coordinates the efforts of existing resources, rather than duplicating efforts of authority already in place.

All submissions to the Office of the Utah State Auditor Hotline are taken seriously and reviewed by experienced members of the Audit staff. However, some submissions should be submitted to other entities, so please review the list below to make sure the Office is the correct destination for your concerns.

Whistleblower Protection - The State whistle blower statute (Utah Code Section 67-21) protects government employees from reprisal by an employer for reporting to the State Auditor, in good faith, suspected illegal acts or waste of public funds. A complaint made to the Hotline, identifying yourself, will provide the necessary communication to invoke the protection of the whistle blower statute.

Confidentiality - Contacts to the Hotline may be anonymous. However, we request that the complainant leave their name and phone number so that any further questions the Office may have during the investigation can be asked and so that the Office can investigate the complaint as thoroughly as possible and can also report back to the complainant the results of any review or investigation that may be conducted.

The identity of the complainant is considered protected information under the Utah Government Records Access and Management Act (Utah Code Section 63G-2-305) if the complainant requests anonymity from parties outside the office.

Complaints handled by the Auditor Hotline Program

Authority/ Scope

Complaint should involve a State agency, County, City, Town, Special Service or Local District, or certain NFP entities (to the extent it relates to public funds). Also, misuse of federal grant funds or state funds in general may be within scope. Complaint should be directly related to financial matters, internal controls, or financial related compliance.

Management Notification

The entity in question should be contacted first. Contacting those in authority at the entity of concern gives the officials directly involved in the issues the chance to take action or modify procedures. However, if the government entity is not responsive, the concern is with improper actions of top management, or anonymity is desired, the Hotline may be contacted first.

Timing

Limited resources necessitate an emphasis on on-going and recent events. Generally, we will accept a complaint for investigation if the time elapsed since the alleged wrongdoing occurred has been 2 years or less. Additionally, the frequency of the alleged wrongdoing will be considered with other criteria to determine if an investigation is necessary or appropriate.

Related Issues

Complaints that are currently under investigation by another entity will generally not be accepted.

Allegations that have previously been investigated by us or other entities will not be accepted unless the complainant is able to provide additional information or a significant amount of time has elapsed or circumstances have changed significantly since the initial investigation.

Complaints about issues that are being litigated are generally not accepted.

Level of Detail

Sufficient detail is essential to an effective investigation. If the subject of the allegation is not identified and detailed information is not provided or identified, the Office generally will not be able to investigate. Also, if the allegation is vague or very general in nature (i.e.: the court needs to be audited; Management at Corrections is corrupt), we will be unable to perform an effective investigation.

The Office does not investigate complaints involving the following issues:

State Employee Personnel Grievances

The Career Service Review Board

If you are a state employee and have a personnel grievance with your state employer, contact the Career Service Review Board at (801) 538-3048 to resolve your grievance.

Complaints involving the Office of Recovery Services (ORS)

For Department of Human Services, Office of Recovery Services (ORS) complaints, you must first contact ORS Customer Service/Quality Assurance (801) 538-3014.

Misuse of State fleet vehicles

Contact the Division of Fleet Operations for complaints regarding inappropriate actions or use of a state-owned vehicle at the Division of Fleet Operations website: <http://fleet.utah.gov/contact-us.html> or call Fleet Operations at (801) 538-3014.

State entity Contract Award Disputes

Resources: Utah Code 63G-6 Legal and Contractual Remedies; Division of Purchasing (801) 538-3026

Disputes over access to government records (GRAMA related issues)

Resources: <http://archives.utah.gov/recordsmanagement/government-records-law.html>

Concerns with DCFS Cases

The Office of Child Protection Ombudsman (OCPO) is an independent office within DHS and is not part of DCFS. OCPO will investigate complaints regarding DCFS and help resolve concerns about the protection of children who are receiving services from DCFS. They can be contacted at (801) 538-4589 or (800) 868-6413.

Hotline Complaint Process:

We request that complaints be reported using the Hotline Reporting Form (see below) and emailed to jwrigley@utah.gov or faxed to (801) 538-1383. Use of this form helps to ensure that the specific details of the concern are appropriately addressed.

It is important to note that the Office's resources are not unlimited and complaints must be prioritized based on significance and internal resources. One important way that concerned citizens can establish the significance of their concerns is by providing solid information and substantiated data with their complaint. Specific examples and documentation, such as budget documents, minutes or meeting notes, rather than vague "concerns" or hearsay, significantly increase the likelihood the Office will be able to pursue the complainant's concerns. Concerned citizens are strongly encouraged to provide the Office with all data that they have related to the complaint with the initial submission.

- **A detailed description of the improper governmental action(s).**
- **The name of the employee(s) involved.**
- **The agency, division, and location where the action(s) occurred.**
- **When the action(s) occurred.**
- **Any other details that may be important for our investigation - other witnesses, documents, evidence, etc. More detail here helps the investigation process.**
- **The specific law or regulation that has been violated if known.**
- **Your name, address, and phone number (see comments about confidentiality and whistleblower protection above)**
- **Each improper action should be noted separately and supported with as much specific information as possible.**
- **Supplying detailed information contributes to a thorough and efficient investigation. The Hotline Reporting Form is designed to help you supply the needed information.**



Auditor's Office Use Only

Hotline Case # _____

Special Project # _____

Email completed form to:

jwrigley@utah.gov

or Fax to:

Julie Wrigley
(801) 538-1383

or Send to:

Office of the Utah State Auditor
Attn: Julie Wrigley
Utah State Capitol Complex
PO Box 142310
Salt Lake City, Utah 84114-2310

HOTLINE REPORTING FORM

Complainant Information:

Complainant to remain anonymous? Yes No		
Complainant would like a response? Yes No		
Name	Check One <input type="checkbox"/> State Employee <input type="checkbox"/> Local Government Employee <input type="checkbox"/> Citizen/Contractor	Date
Home Address		
Phone/cell/e-mail		
Work Address and information (if applicable)		

Information Concerning the Complaint (Please complete one form for each separate complaint)

Each improper action should be noted separately and supported with as much specific information as possible. Supplying detailed information contributes to a thorough and efficient investigation. This form is designed to help you supply the needed information.

Who is the person(s) the complaint is against? (Please provide name, position, agency, division, and phone #)

Who is the above person's supervisor? (Please provide name, position, and phone#)

What is the assertion of improper governmental activity? Please describe in detail.

When did the event(s) take place? Please include dates, time, and frequency.

Where did the event(s) occur?

Are there any other persons who might provide information or who witnessed the event? If so, what are their names, positions, agencies, divisions, and their contact information?

Is there evidence that can be examined or documentation that can be reviewed? (Please provide any documentation you have)

How do you know about the improper action? Did you see it occur? Did you see documentation indicating it occurred? Did you hear about it from someone else?

What specific law or state regulation has been violated?

Please attach to the email or fax supporting documentation, details and ANY and ALL other information available to support the complaints or concerns.