



Hotline Program of the Office of the State Auditor

The “State Auditor Hotline” provides an avenue for Utah citizens, including public employees and contractors, to report improper governmental activities including:

- Waste or misuse of public funds, property, or manpower
- Violations of a law, rule, or regulation applicable to the government
- Gross mismanagement
- Abuse of authority
- Unethical conduct

Filing a Complaint

Complaints should be submitted in writing using this form. Complainants should also submit any evidence that supports the complaint at this time. Essential information includes specifics on ‘who, what, where, when’ as well as any other details that may be important such as information on other witnesses, documents, and pertinent evidence. Due to limited resources, our office is unable to accept complaints that are not specific in nature or that are not well supported by credible evidence. At a minimum, please use the form as a guide to ensure the necessary information is provided. Submit complaints via the following methods:

Email: auditorhotline@utah.gov

US Mail: OSA Hotline, PO Box 142310, SLC, Utah 84114-2310

Complainants may call the hotline at 801-538-9777 for more information.

Complaint Screening and Prioritization

After we receive your complaint, we will screen and prioritize it based on significance, internal resources, and other factors. . The list below represents some of the factors that are considered during the screening and prioritization process.

- Does the complaint involve actions by an entity subject to the Office of the State Auditor’s authority? The entity must be a Utah State Agency, Local Government Entity, County, City, Town, Special Service or Local District, Local Education Agency (School District, Public School, or Charter School), other non-federal public entity (Court, College, University, etc.), or certain not-for-profit entities.
- Does the complaint pertain to improper governmental activities? Disagreements with management decisions or actions taken by elected officials that are within the law will not be investigated.
- Has the complainant taken appropriate steps to resolve the issue with the entity? If the entity is not responsive, the concern relates to top management, or the complainant desires anonymity, the Hotline may be contacted first.
- What is the timing and frequency of alleged improper activity? Allegations of improper activities that are recent and/or on-going may receive a higher priority.
- Should the allegation be investigated by another entity? In some cases, we may refer complaints to internal/external auditors or other entities, as considered appropriate. We will generally discuss these options with the complainant.

- Can the complaint can be efficiently and effectively investigated? Overly broad or vague complaints or complaints where evidence is unavailable may be declined or receive a low priority.

Whistleblower Protection

Utah Code § 67-21-3 prohibits public employers from taking adverse action against their employees for reporting government waste or violations of law in good faith, to the appropriate authorities. A public entity employee, public body employee, legislative employee, or judicial employee, is presumed to have communicated in good faith if they have given written notice or otherwise formally communicated the conduct to the Office of the State Auditor (see *Utah Code* § [67-21-3](#)(1)(b)(iv)(A) for more information).

Confidentiality

The identity of the complainant is considered protected information under the Utah Government Records Access and Management Act (GRAMA) and will be kept confidential if requested by the complainant. (See *Utah Code* Section [67-3-1](#)(15)).

Complaints may be submitted anonymously to the Hotline. However, we prefer that the complainant provide their name and phone number to allow us to ask follow-up questions, investigate the complaint thoroughly, and report the results back to the complainant. In addition, anonymous complaints do not invoke the Whistleblower protections.

The Office does not investigate complaints involving the following issues:

Type of complaint	Contact
State employee personnel grievances	If you are a state employee and have a personnel grievance with your state employer, contact the Career Service Review Office 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) 536-8901.
Misuse of State fleet vehicles	Contact the Division of Fleet Operations for complaints regarding inappropriate actions or use of a <i>state</i> -owned vehicle at the Division of Fleet Operations website: http://fleet.utah.gov/contact-us.html or call Fleet Operations at (801) 538-3014. You may contact the Office of the State Auditor for complaints regarding vehicles owned by <i>other</i> government entities in Utah, i.e. cities, towns, etc.
State entity contract award disputes	Contact the Division of Purchasing (801) 538-3026. Resources: <i>Utah Code</i> 63G-6 Legal and Contractual Remedies
Disputes over access to government records (GRAMA-related issues)	Refer to the Division of Archives website for procedures applicable to relevant government entities. Resources: http://archives.utah.gov/recordsmanagement/government-records-law.html

Concerns with Division
of Child and Family
Services (DCFS) Cases

The Office of Child Protection Ombudsman (OCPO) is an independent office within the Department of Human Services (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 REPORTING FORM

Email completed form to:
 auditorhotline@utah.gov

or Mail to:
 Office of the Utah State Auditor
 Attn: Special Projects
 Utah State Capitol Complex
 PO Box 142310
 Salt Lake City, Utah 84114-2310

Complainant Information:

Complainant to remain anonymous? Yes No		
Complainant would like a response? Yes No		
Complainant Name	Check One <input type="checkbox"/> State Employee <input type="checkbox"/> Local Government Employee <input type="checkbox"/> Citizen/Contractor	Date Submitted
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 reliable and sufficient evidence. 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.