

IT Innovation Request Form

Instructions: This form is to be used if a department would like to request IT Innovation funds. Funds are reviewed on a first come first serve basis by the Chief Technology Officer and the County Administrator's Office. Funds are to be used for IT innovation one-time costs. Funds cannot be used for ongoing costs and the department must be able to sustain the innovation going forward. Reference minute order 20-12 Item No. 16 Innovation Fund Use Policy.

Once approved the Innovation and Technology Services Department will work with the requesting department's staff to develop the appropriate board letter and budget resolution.

Department: Department of Financial Services; Division of Internal Audit and Human	Date: July 19, 2022
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Department Contact: Kim Eldredge, Audit Manager and Alberto Lara,	Phone Number: Kim Ext 9204
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Description of Request:

The Division of Internal Audit and Human Resources request the use of IT Innovation funds for a third-party hotline to provide a mechanism for Fraud Reporting and Whistleblower Program within County government. This product supports the Division's goal to build an anonymous web hotline to allow reporting of suspected fraud, waste, and abuse (approved by the Yolo County Audit Committee and recommended by the Government Finance Officers Association) and Human Resources' goal to support those employees who in good faith file a complaint alleging improper government activity (Whistleblower Rights GC 8547.1).

The product selected to accomplish our goals is the NAVEX EthicsPoint Incident Management Foundation subscription. The Foundation is delivered as a baseline single configuration incident management system including foundational case components. Comprised of Standard Web Intake and Mobile Intake for report intake purposes; (2) Dedicated Seat Licenses and (3) Concurrent Seat Licenses; system-level user management; built-in analysis tools including baseline reporting and standard analytics; and (1) GB storage for files attached to cases.

The subscription includes the following:

Compliance awareness package to describe the basic points of the hotline program and to communicate the various ways that an employee or the public can contact the hotline service to take advantage of the program benefits (Hotline rollout email template, Manager's Toolkit, Hotline Reporting Poster, Topical Posters, and Micro Learning Course).

Incident Management package to design and development services to support the creation of a custom Web Intake Site includes web intake and report form in English, Spanish (Latin American), and Russian.

Performance Measures/Outcomes:

Semi-annual report to the Yolo County Audit Subcommittee and/or Board of Supervisors

- Key Statistics
- Report volume
- Report intake channel
- Report closure time
- Disposition of closed reports
- Reports investigated and closed, by Department
- Report outcomes
- Report referrals

How much staff time and ongoing costs will be reduced?

Based on survey with other counties, 3-6 hours required each month to maintain hotline.

How does the request align with the Board of Supervisors Strategic Plan?

This request supports the department's goals and strategies for FY2021-22 Goal 1: Strengthen accountability and control (Operational Excellence) – Build hotline to allow reporting of suspected fraud, waste, and abuse.

The Strategic Plan Goals are supported by the following guiding principles of Operational Excellence: Advance Innovation; Collaborate to maximize success; Provide accessible, fiscally sound, dynamic, and responsive services; Strategically align our organization; and Engage and empower both our residents and County workforce.

Any ongoing costs?

Yes

Description of ongoing costs (if applicable):

Services
Compliance Awareness Package; Qty 1
Incident Management Package; Qty 1
Telephony Service; Qty 2
Hotline per report subscription; 125
Total Annual Fees \$12,772.50

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Kim Eldredge
Key: 26d8bca3dcfc18096a7a1b425408cc2d

Approved Date: 08/19/2022

Chief Technology Officer Signature: <i>Leo Gerney</i> <small>Key: 8e73c04c9b332fb088c5ee50a937515</small>
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CAO Signature: <i>Jill Perez</i> <small>Key: 3c82b13fed3118c21eda8d5d733bfb07</small>
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Denied Reason:

eSigned via SeamlessDocs.com
Chad Rinde
Key: eab06223df63a69b119189ef06e9a013