

Presented To:	Audit Committee
Presented:	Tuesday, Jul 09, 2019
Report Date	Friday, Jun 14, 2019
Type:	Managers' Reports

## Request for Decision

### Annual Status Report on Wrongdoing Hotline

#### Resolution

THAT the City of Greater Sudbury approves the Auditor General's recommendation to continue the wrongdoing hotline program as outlined in the report entitled "Annual Status Report on Wrongdoing Hotline", from the Auditor General, presented at the Audit Committee meeting on July 9, 2019.

#### Signed By

**Auditor General**  
Ron Foster  
Auditor General  
*Digitally Signed Jun 14, 19*

#### Relationship to the Strategic Plan / Health Impact Assessment

This report supports responsive, fiscally prudent, open governance.

#### Report Summary

On June 1, 2016, the City opened its 'Wrongdoing Hotline' for citizens, employees and contractors to report complaints that could be deemed illegal, dishonest, wasteful or a deliberate violation of policy. This report summarizes the complaints received from June 1, 2018 to May 31, 2019, provides comparative statistics for the previous two years and discusses the costs and benefits of the 3-year Wrongdoing Hotline program. In light of the significant benefits associated with the program, this report recommends continuing the program and suggests that telephone calls to the hotline be handled internally commencing in 2020 to minimize costs going forward.

#### Financial Implications

The annual incremental cost of having the Auditor General's Office manage the wrongdoing hotline and report to Audit Committee and Council semi-annually on the status of complaints is approximately \$24,000.

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# Annual Status Report on the Wrongdoing Hotline

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For the Year Ended  
May 31, 2019

June 14, 2019

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## BACKGROUND

On June 1, 2016, the City opened its 'Wrongdoing Hotline' for citizens, employees and contractors to report complaints that could be deemed illegal, dishonest, wasteful or a deliberate violation of policy. This report summarizes the complaints received from June 1, 2018 to May 31, 2019, provides comparative statistics for the previous two years and discusses the costs and benefits of the 3-year Wrongdoing Hotline program. In light of the significant benefits associated with the program, this report recommends continuing the program and suggests that telephone calls to the hotline be handled internally commencing in 2020 to minimize costs going forward.

## OBSERVATIONS

1. Fewer complaints (124) were received during the year ended May 31, 2019 than in the prior two years (142 in 2018 and 156 in 2017). One reason for this reduction is that complaints about the Code of Conduct for members of Council and the Mayor's Office have been going directly to the City's Integrity Commissioner since Council's adoption of by-law 2019-16 at its February 19, 2019 meeting.
2. Only 30% of the 124 complaints received during the year end May 31, 2019 required a detailed investigation compared to 32% in 2018 and 35% in 2017. The volume of active complaints under investigation at the end of May 2019 was 6 compared to 15 in 2018 and 35 in 2017. These trends are favourable and reflect the steps taken by staff to develop and implement customer service standards.
3. The costs for investigations by third parties in 2019 were zero compared to \$4,125 in 2018 and \$23,137 in 2017 as staff improved their capabilities in investigations.
4. The internal costs for managing investigations and the hotline were \$49,500 in 2019 compared to \$49,000 in 2018 and \$36,500 in 2017 when greater reliance was placed on external providers for investigations.
5. Approximately \$19,500 has been spent of the \$20,000 of funds that Council approved in 2016 to establish a wrongdoing hotline. Sufficient funds are available in the Auditor General's Office budget to fund the wrongdoing hotline until the end of December 2019 should Council wish to continue this program.
6. The 124 complaints received during the year end May 31, 2019 came from 82 identifiable and 42 anonymous complainants. Five of the identifiable individuals filed more than one complaint. One of the anonymous complainants appeared to be responsible for filing seven complaints about the same City process.
7. While there are costs associated with maintaining the wrongdoing hotline, it provides the following advantages which appear to outweigh these costs:
  - promotes openness, transparency and accountability within the City which supports the strategic objective of responsive, fiscally prudent, open governance;
  - promotes timely actions to address legitimate complaints filed with the City;
  - improves the coordination of investigations by having the Auditor General's Office independently assign, monitor and report on the status and cost of administering complaints;
  - clarifies the responsibilities for conducting timely investigations that meet service levels that are identified on the City's website;
  - provides an effective buffer between the Office of the Ombudsman which has been able to rely on the Auditor Generals' Office to coordinate investigations within the City; and
  - reduces the cost for investigations by external consultants.
8. If Council approves the continuation of the hotline, the annual costs for call centre support can be reduced from \$6,500 to \$2,000 by in-sourcing the call centre function to the Auditor General's Office.

## SUMMARY OF COMPLAINTS

	Year Ended May 31		
	2017	2018	2019
Total complaints initiated	182	160	152
Tests	(4)	-	-
Incomplete complaints	(22)	(18)	(28)
Complaints received	156	142	124
Complaints closed	(121)	(127)	(118)
Active complaints not yet analyzed	35	15	6

## DISPOSITION OF COMPLAINTS

	Year Ended May 31		
	2017	2018	2019
Complaints received	156	142	124
Complaints referred to other areas for review	(67)	(57)	(52)
Duplicate complaints	-	(4)	(3)
Complaints subject to investigation	89	81	69
Closed as insufficient evidence of wrongdoing found or no action needed to be taken	(35)	(36)	(32)
Complaints which required further analysis	54	45	37
Closed with action planned or taken	(19)	(30)	(31)
Active complaints not yet analyzed	35	15	6
Complaints resolved in the subsequent year	(35)	(15)	(1)
Complaints still outstanding as at June 24, 2019	0	0	5

## SUBJECT OF COMPLAINTS INVESTIGATED

	Active Complaints at the End of May 31			Complaints that Required Action During Year Ended May 31		
Subject	2017	2018	2019	2017	2018	2019
Office of the Mayor	0	0	0	0	1	0
Members of Council	3	2	0	0	8	3
City Processes	15	5	1	8	13	3
City Contractor	0	0	0	0	0	11
City Staff	17	8	4	11	8	13
Public	0	0	1	0	0	1
Total	35	15	6	19	30	31

## COMPLAINTS WHICH REQUIRED ACTION DURING THE YEAR ENDED MAY 31, 2019

Complaint Number	Opened	Closed	Action Planned or Taken for Closed Complaints
18-0073	June 3	Nov 26	Management has deemed that some of the posts do warrant further education of staff on the appropriate use of social media.
18-0086	July 6	Nov 27	Management has reminded all staff that it is inappropriate to wear vendor clothing. The City's specifications for equipment will be updated to meet Procurement Bylaw.
18-0088	July 17	Nov 16	Practices will be revised to ensure compliance with the Purchasing Bylaw.
18-0089	July 19	Nov 26	The issues raised in the complaint were discussed with the driver. Staff will review the area to see if a warning light is required at this location.
18-0090	July 19	Oct 17	Staff has addressed the issue with the Contractor to ensure proper notices are provided at all times as per City policy.
18-0091	July 20	Nov 16	Management pursued the complaint with the manager of the employee who was using this City vehicle to address the concerns raised.
18-0095	Aug 2	Oct 17	Action was taken with the staff member to address and prevent similar behaviour in the future.
18-0096	Aug 2	Dec 14	Notice of consent forms and the website were updated to clarify policy.
18-0097	Aug 3	Dec 11	Appropriate actions were taken with staff to address this complaint.
18-0099	Aug 3	Sept 21	The Mayor's Office reviewed relevant policies with the Councillor.
18-0101	Aug 6	Sept 21	The Mayor's Office reviewed relevant policies with the Councillor.
18-0106	Aug 15	Oct 1	The actions of relevant contract staff were reviewed with the contract manager and disciplinary actions were taken to prevent a reoccurrence.
18-0112	Sept 6	Sept 21	This complaint and relevant policies were reviewed with the Councillor.
18-0119	Sept 20	Dec 28	Contract management practices will be updated.
18-0121	Sept 25	Dec 28	Contract management practices will be updated.
18-0126	Oct 5	Nov 26	Staff reviewed this complaint to ensure compliance with City policies. The safety concern was investigated and appropriate measures were taken.
18-0134	Oct 17	Dec 28	Contract management practices will be updated.
18-0135	Oct 17	Dec 28	Contract management practices will be updated.
18-0137	Oct 18	Dec 28	Contract management practices will be updated.
18-0138	Oct 19	Dec 28	Contract management practices will be updated.
18-0139	Oct 25	Nov 22	Staff encouraged the complainant to use the complaint mechanism within the violence, harassment and discrimination in the workplace policy.
18-0143	Oct 31	Dec 28	Contract management practices will be updated.
18-0145	Nov 2	Dec 19	Management reviewed the policy for use of City vehicles with employee.
18-0146	Nov 5	Dec 28	Management reviewed staff conduct and compliance with policies.
18-0148	Nov 7	Dec 20	The day care provider and Ministry of Education advised of concerns.
18-0153	Dec 2	Dec 3	Maintenance procedures were reviewed with the City's contractor.
18-0164	Dec 17	Dec 28	Contract management practices will be updated.
18-0169	Dec 31	May 10	Management provided coaching to employee in communication techniques.
19-0003	Jan 9	Jan 9	Employee reminded of obligations within the CGS Handbook
19-0004	Jan 13	Apr 4	Employee received a reminder requirements within the CGS Handbook
19-0037	Apr 3	May28	Supervision will review policy with employee and will post relevant notice.
19-0043	Apr 24	May28	Staff offered to assist the complaint to achieve compliance.
19-0048	May 8	May 29	Contract management provisions were exercised by City staff

## OVERVIEW OF INDIVIDUAL COMPLAINTS RECEIVED DURING THE YEAR ENDED MAY 31, 2019

Complaint Number	Opened	Closed	Complaint/Allegation	Investigation Outcome
18-0072	NC	NC	NC	NC
18-0073	June 3	Nov 26	Use of social media by staff member	Action Planned or Taken
18-0074			Duplicate	Duplicate
18-0075	June 8	June 11	Late removal of election signs	Referred Internally
18-0076	NC	NC	NC	NC
18-0077	June 11	Oct 17	Alleged harassment in workplace	No action planned or taken
18-0078	June 13	Oct 17	Potential claim against the City	No action planned or taken
18-0079	June 13	Sept 21	Conduct of a Councillor	No action planned or taken
18-0080	June 19	Sept 20	Alleged Bylaw infraction	Referred Internally
18-0081	NC	NC	NC	NC
18-0082	June 23	July 4	Property maintenance concern	Referred Internally
18-0083	NC	NC	NC	NC
18-0084	July 3	July 5	Garbage contractor performance	Referred Internally
18-0085	July 3	July 4	Unsafe transport of asphalt sealer	Referred Internally
18-0086	July 6	Nov 27	Unfair procurement process	Action Planned or Taken
18-0087	July 10	July 12	Property maintenance concern	Referred Internally
18-0088	July 17	Nov 16	RFP for fire trucks.	Action Planned or Taken
18-0089	July 19	Nov 26	Staff use of a City vehicle	Action Planned or Taken
18-0090	July 19	Oct 17	Contractor performance issue	Action Planned or Taken
18-0091	July 20	Nov 16	Staff use of a City vehicle	Action Planned or Taken
18-0092	July 24	July 31	Alleged bylaw infraction	Referred Internally
18-0093	NC	NC	NC	NC
18-0094	July 31	Aug 8	Contractor performance issue	Referred Internally
18-0095	Aug 2	Oct 17	Staff conduct	Action Planned or Taken
18-0096	Aug 2	Dec 14	Notice of consent process	Action Planned or Taken
18-0097	Aug 3	Dec 7	Staff conduct	Action Planned or Taken
18-0098	Aug 3	Nov 21	Account payable to Board of City	Referred Internally
18-0099	Aug 3	Sept 21	Conduct of a Councillor	Action Planned or Taken
18-0100	Aug 3	Nov 26	Alleged harassment in workplace	No action planned or taken
18-0101	Aug 6	Sept 21	Conduct of a Councillor	Action Planned or Taken
18-0102	Aug 8	Aug 29	Building permit issue	Referred Internally
18-0103	NC	NC	NC	NC
18-0104	Aug 14	Aug 15	Staff conduct	Referred Internally
18-0105	Aug 15	Aug 16	Alleged bylaw infraction	Referred Internally
18-0106	Aug 15	Oct 1	Conduct of City or contract staff	Action Planned or Taken
18-0107	Aug 14	Aug 29	Building permit issue	Referred Internally
18-0108	Aug 25	Aug 29	Building permit issue	Referred Internally
18-0109	Aug 31	Sept 11	Traffic lighting concern	Referred Internally
18-0110	Sept 11	Sept 11	Contractor performance issue	Referred Internally
18-0111	Sept 6	Oct 13	Conduct of a Councillor	No action planned or taken
18-0112	Sept 6	Sept 21	Conduct of a Councillor	Action Planned or Taken
18-0113	NC	NC	NC	NC
18-0114	Sept 10	Oct 1	Staff conduct	Referred Internally
18-0115	Sept 11	Sept 12	Building permit issue	Referred Internally
18-0116	Sept 13	Sept 13	Complaint closed by complainant	No action planned or taken

18-0117	Sept 18	Nov 21	Alleged wrongdoing by public	Referred to the GSPS
18-0118	Sept 18	Oct 13	Conduct of a Councillor	No action planned or taken
18-0119	Sept 20	Dec 28	Contractor performance	Action Planned or Taken
18-0120	Sept 20	Jan 22	Staff conduct	No action planned or taken
18-0121	Sept 25	Dec 28	Contractor performance	Action Planned or Taken
18-0122	Sep 25	Nov 19	Suggestions for improvement	No action planned or taken
18-0123	Sept 25	Nov 19	Suggestions for improvement	No action planned or taken
18-0124	Sept 28	Nov 26	Allegations of harassment	No action planned or taken
18-0125	Sept 29	Dec 11	Allegations of harassment	No action planned or taken
18-0126	Oct 5	Nov 26	Staff conduct	Action Planned or Taken
18-0127	Oct 5	Nov 20	Staff conduct	No action planned or taken
18-0128	Oct 9	Dec 11	Conduct of a Councillor	Referred to external agency
18-0129	Oct 9	Nov 20	Application for a septic permit	Referred to external agency
18-0130	Oct 10	Oct 11	Contractor performance	Referred Internally
18-0131	NC	NC	NC	NC
18-0132	Oct 16	Oct 16	Conduct of agency staff	Referred to external agency
18-0133	NC	NC	NC	NC
18-0134	Oct 17	Dec 28	Contractor performance	Action Planned or Taken
18-0135	Oct 17	Dec 28	Contractor performance	Action Planned or Taken
18-0136	Oct 17	Jan 5	Alleged misuse of municipal resources	No action planned or taken
18-0137	Oct 18	Dec 28	Contractor performance	Action Planned or Taken
18-0138	Oct 19	Dec 28	Contractor performance	Action Planned or Taken
18-0139	Oct 25	Nov 22	Allegations of workplace harassment	Action Planned or Taken
18-0140	Oct 27	Nov 1	Building permit issue	Referred Internally
18-0141	Oct 28	Oct 31	Alleged bylaw infraction	Referred Internally
18-0142	Oct 28	Nov 7	Staff conduct	Referred Internally
18-0143	Oct 31	Dec 28	Contractor performance	Action Planned or Taken
18-0144	Oct 31	Dec 20	Property damage	Referred to external agency
18-0145	Nov 2	Dec 19	Staff conduct for use of City vehicle	Referred to external agency
18-0146	Nov 5	Dec 28	Staff conduct	Action Planned or Taken
18-0147			Duplicate	Duplicate
18-0148	Nov 7	Dec 20	Performance of a daycare provider	Action Planned or Taken
18-0149	Nov 13	Feb 25	Staff conduct	No action planned or taken
18-0150	Nov 16	Dec 28	Alleged bylaw infraction	Referred to external agency
18-0151	Nov 17	Dec 20	Parking at a municipal corporation	No action planned or taken
18-0152	Nov 19	Nov 30	Property damage by snowplow	Referred Internally
18-0153	Dec 2	Dec 3	Contractor performance	Action Planned or Taken
18-0154	Nov 20	May 21	Conduct of a Councillor	No action planned or taken
18-0155	Nov 24	May 21	Conduct of a Councillor	No action planned or taken
18-0156	Nov 28	May 21	Conduct of a Councillor	No action planned or taken
18-0157	Nov 30	Dec 12	Alleged theft	No action planned or taken
18-0158	NC	NC	NC	NC
18-0159	Dec 2	Dec 3	Property damage by snowplow	Referred Internally
18-0160	Dec 6	Dec 17	Property standard issue	Referred Internally
18-0161	Dec 10	Apr 4	Parking at a municipal corporation	No action planned or taken
18-0162	Dec 11	Feb 22	Alleged breach of City policy	No action planned or taken
18-0163	Dec 14	Jan 4	Alleged wrongdoing re tax sale	No action planned or taken
18-0164	Dec 17	Dec 28	Contractor performance	Action Planned or Taken
18-0165	NC	NC	NC	NC

18-0166	Dec 21	Dec 28	Unsafe snowplowing by a resident	Referred Internally
18-0167	Dec 23	Feb 22	Alleged fraud by a company	Not related to City services
18-0168	NC	NC	NC	NC
18-0169	Dec 31	May 10	Staff conduct	Action Planned or Taken
19-0001	Jan 4	Jan 14	Construction without a permit	Referred Internally
19-0002	Jan 9	May 21	Alleged privacy violation	No action planned or taken
19-0003	Jan 9	Jan 9	Alleged breach of confidentiality	Action Planned or Taken
19-0004	Jan 13	Apr 4	Alleged misuse of public assets	Action Planned or Taken
19-0005	Jan 22	Jan 23	Snow clearing by resident's driveway	Referred Internally
19-0006	Jan 22	Jan 23	Snow clearing by fire hydrant	Referred Internally
<b>19-0007</b>	<b>Jan 23</b>	<b>Open</b>	<b>Governance of Library</b>	
19-0008	NC	NC	NC	NC
19-0009	NC	NC	NC	NC
19-0010	NC	NC	NC	NC
19-0011	Jan 30	May 3	Property maintenance infractions	Action Planned or Taken
19-0012	Feb 4	Feb 6	Dangerous driving	Referred Internally
19-0013	Feb 13	Feb 22	Councillor conduct	Referred Internally
19-0014	Feb 16	Feb 20	Snowplowing	Referred Internally
19-0015	Feb 16	Feb 20	Snowplowing	Referred Internally
19-0016	Feb 20	Feb 20	General complaint	No action planned or taken
<b>19-0017</b>	<b>Feb 25</b>	<b>Open</b>	<b>Financing of bio-solids plant</b>	
19-0018	Feb 25	Apr 26	Councillor conduct	Referred Internally
19-0019	Feb 25	Mar 29	Complaint about a contractor	Referred Internally
19-0020	NC	NC	NC	NC
19-0021	Mar 13	May 6	Hiring process for staff	Referred Internally
19-0022	Mar 13	May 7	Hiring process for staff	No action planned or taken
19-0023	Mar 13	May 6	Workplace safety	Referred Internally
19-0024	NC	NC	NC	NC
19-0025	NC	NC	NC	NC
19-0026	NC	NC	NC	NC
19-0027	NC	NC	NC	NC
19-0028	NC	NC	NC	NC
19-0029	NC	NC	NC	NC
19-0030	NC	NC	NC	NC
19-0031	NC	NC	NC	NC
19-0032	NC	NC	NC	NC
19-0033	NC	NC	NC	NC
19-0034	Mar 25	May 30	Staff conduct	No action planned or taken
19-0035	Mar 26	May 16	Illegally parked car	No action planned or taken
19-0036	Apr 3	Apr 4	Staff conduct	Referred Internally
19-0037	Apr 3	May 28	Staff conduct	Action Planned or Taken
19-0038	NC	NC	NC	NC
19-0039	Apr 10	May 28	Staff conduct	No action planned or taken
19-0040	Apr 11	May 28	Property maintenance	Referred Internally
19-0041	Apr 18	Apr 26	Property maintenance	Referred Internally
19-0042	Apr 18	Apr 18	Duplicate	Duplicate
19-0043	Apr 24	May 28	Complaint regarding denial of claim	Action planned or taken
19-0044	Apr 25	Apr 25	Duplicate complaint	
19-0045	May 2	May 8	Illegal parking	Referred Internally



19-0046	May 3	May 8	Illegal parking and car repairs	Referred Internally
19-0047	May 6	May 17	Property maintenance concerns	Referred Internally
19-0048	May 8	May 29	Concerns with contract staff	Action planned or taken
<b>19-0049</b>	<b>May 15</b>	<b>Open</b>	<b>Concerns with need for AMI project</b>	
<b>19-0050</b>	<b>May 21</b>	<b>Open</b>	<b>Property line and property tax</b>	
19-0051	May 27	May 28	Property maintenance	Referred Internally
19-0052	May 29	Open	Bylaw infractions by a resident	
19-0053	NC	NC	NC	NC
<b>19-0054</b>	<b>May 30</b>	<b>Open</b>	<b>Eligibility of event for HCI grant</b>	
19-0055	May 31	May 31	Supervision of City contractor	Referred Internally

*Complaints that were still “Open” at the time of reporting are shown above with bold italics print.*

*Complaints labeled “NC” were not completed by the complainants and required no investigation.*