

## **For Information Only**

### **Annual Status Report on the Wrongdoing Hotline**

Presented To:	Audit Committee
Presented:	Tuesday, Jun 19, 2018
Report Date	Friday, Jun 01, 2018
Type:	Correspondence for Information Only

#### **Resolution**

For Information Only

#### **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, 2017 to May 31, 2018 and provides comparative statistics for the previous year.

#### **Financial Implications**

None

Signed By

**Auditor General**

Ron Foster

Auditor General

*Digitally Signed Jun 1, 18*

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# Annual Status Report on the Wrongdoing Hotline

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For the Year Ended  
May 31, 2018

June 1, 2018

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 **AUDITOR GENERAL**

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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, 2017 to May 31, 2018 and provides comparative statistics for the previous year.

## OBSERVATIONS

1. The volume of complaints has been lower in 2018 with 142 complete complaints compared to 156 during the previous year. Approximately 43% (43% in 2017) of these complaints did not require a detailed investigation as they related to service complaints or Bylaw/Building complaints or matters that were outside of the scope of the City's services.
2. The volume of active complaints under investigation at the end of May 2018 was 15 compared to 35 in the previous year.
3. The costs for investigations by third parties were \$4,125 this year compared to \$23,137 last year. Internal costs increased from \$25,000 in 2017 to \$37,500 in 2018 as a result of 35 investigations that were deferred from 2017 to 2018 and increased reliance on internal staff for the performance of investigations.
4. Approximately \$12,750 has been spent of the \$20,000 of funds that Council approved in 2016 to establish a wrongdoing hotline for a two-year pilot period which ends on May 31, 2018.
5. The 142 complaints received during this year came from 89 complainants who represent a small fraction of the employees, residents and businesses that interacted with the City during the year ended May 31, 2018.
6. The wrongdoing hotline promotes a focus on openness, transparency and accountability within the City which supports the strategic objective of responsive, fiscally prudent, open governance.
7. The wrongdoing hotline clarifies the responsibilities of staff for conducting investigations within the City and reduces the cost for investigations by external consultants.
8. The coordination of investigations is improved by having the Auditor General's Office independently assign, monitor and report on the status of complaints received under the wrongdoing hotline.

## SUMMARY OF COMPLAINTS

Source of Complaint	12 Months Ended May 31, 2017	12 Months Ended May 31, 2018
<b>Total complaints</b>	<b>182</b>	<b>160</b>
Tests	(4)	0
Incomplete complaints	(22)	(18)
<b>Complaints received</b>	<b>156</b>	<b>142</b>
Complaints closed	(109)	(127)
<b>Active complaints</b>	<b>47</b>	<b>15</b>

<b>Complaints Received</b>	<b>156</b>	<b>142</b>
Referred to By-law or Building Services for review	(27)	(27)
Referred to 311 for review	(18)	(7)
Referred to related Agencies and other entities	(3)	(6)
Referred to external law enforcement or courts	(3)	(7)
Referred to others or closed as unrelated to CGS	(16)	(10)
Duplicate complaints	-	(4)
<b>Complaints subject to investigation</b>	<b>89</b>	<b>81</b>
Closed as insufficient evidence of wrongdoing found or no action needed to be taken	(35)	(36)
<b>Complaints which required further analysis</b>	<b>54</b>	<b>45</b>
Closed with action planned or taken	(19)	(30)
<b>Active complaints not yet analyzed</b>	<b>35</b>	<b>15</b>

Subject of Complaints Investigated	Active Complaints End of May 2017	Active Complaints End of May 2018	Complaints which required Action in 2017	Complaints which required Action in 2018
Office of the Mayor	0	0	0	1
Members of Council	3	2	0	8
City Processes	15	5	8	13
City Staff	17	8	11	8
<b>Total</b>	<b>35</b>	<b>15</b>	<b>19</b>	<b>30</b>

#### COMPLAINTS WHICH REQUIRED ACTION

Complaint	Opened	Closed	Action Planned or Taken for Closed Complaints
17-0087	June 5	Oct 10	Supervisor and staff member coached on the appropriate use of IT.
17-0093	June 24	Sept 8	Supervisor coached the staff member as well as other staff members on the appropriate use of social media.
17-0094	June 25	Jan 31	A meeting was held with the Councilor regarding Council's Code of Ethics.
17-0095	June 26	Jan 31	A meeting was held with the Councilor regarding Council's Code of Ethics.
17-0106	July 9	Oct 31	Feedback from the Resident Advisory Panel will be considered during the renewal process for business activities in the park.
17-0107	July 11	Oct 11	Repairs to resident's property completed.
17-0108	July 17	Dec 13	Supervisors have been asked to remind staff to ensure they drive safely.
17-0111	Aug 9	Jan 31	Meeting to discuss the relevant sections of Council's Code of Ethics.
17-0113	Aug 11	Dec 13	A commitment was made to review the use of CGS tools in this area.
17-0114	Aug 11	Oct 19	The Annual Status Report has been subject to an independent audit to ensure it is prepared in accordance with accepted reporting practices.
17-0121	Sept 4	Feb 3	Staff member coached on appropriate use of CGS assets and hours of work.
17-0126	Sept 13	Mar 21	Appropriate controls over City assets have been implemented.
17-0127	Sept 13	Oct 18	The Transit Task Force continues to meet to discuss and make recommendations to enhance the safety of both bus operators and citizens.
17-0132	Sept 15	Jan 31	Bylaw Services staff addressed the complaint about the dog and Building Services staff issued orders regarding work without a permit.

17-0133	Sept 18	Dec 12	Staff will continue to provide oversight and supervision of any resident who performs some of tasks as part of the Pieces training program to ensure residents follow proper and safe procedures, including proper hand hygiene.
17-0139	Sept 28	Mar 21	The renovation project was cancelled. Future work will be planned in conjunction with staff in the Facilities Management section.
17-0145	Oct 12	Feb 3	A general reminder was issued to employees to ensure they are following CGS policies with respect to the proper use of CGS resources.
17-0147	Oct 10	Jan 2	Appropriate actions have been taken by recreation staff to adequately address the allegation of unofficial day care.
17-0148	Oct 16	Jan 31	Meetings were held with the Councilors regarding Council's Code of Ethics.
17-0150	Oct 18	Dec 13	Senior staff spoke directly with the complainant and with the staff person to resolve this complaint.
17-0152	Oct 24	Mar 21	Staff responsible for the collection has been reminded to ensure that any waste collected is disposed off per the established procedures.
17-0158	Oct 30	Jan 31	A meeting was held with the Councilor regarding relevant By-laws.
17-0175	Dec 19	May 29	The use of supplies was reviewed by the Auditor General's Office. Control processes were reviewed and additional recommendations were provided.
18-0007	Jan 11	Apr 27	Management met with the employee to discuss the appropriate use of CGS facilities.
18-0010	Jan 13	Feb 3	A meeting was held with the Mayor to facilitate the timely resolution of the outstanding complaints.
18-0011	Jan 19	May 29	Signs were posted to ensure staff was aware of the hazards.
18-0020	Jan 26	May 11	A meeting was held with the Councilor regarding Council's Code of Ethics.
18-0022	Jan 31	May 11	A meeting was held with the Councilor regarding Council's Code of Ethics.
18-0025	Feb 6	May 29	Reviews were conducted by Engineering Services and Bylaw Services.
18-0029	Feb 10	May 11	A meeting was held with the Councilor regarding Council's Code of Ethics.

### Overview of Individual Complaints Received During the Year Ended May 31, 2018

Complaint Number	Opened	Closed	Complaint/Allegation	Investigation Outcome
17-0087	June 5	Oct 10	Conduct of staff	Action Planned or Taken
17-0089	June 6	Oct 10	Misrepresenting to collect welfare	Not related to CGS Services
17-0090	June 7	Dec 8	Misuse of social media	No Action Planned or Taken
17-0091	June 16	Oct 10	Littering around parks	Not related to CGS Services
17-0092	June 23	Oct 10	Conduct of staff	No Action Planned or Taken
17-0093	June 24	Sept 8	Conduct of staff	Action Planned or Taken
17-0094	June 25	Jan 31	Conduct of a member of Council	Action Planned or Taken
17-0095	June 26	Jan 31	Conduct of a member of Council	Action Planned or Taken
17-0096	June 26	Dec 12	Conduct of a staff member	Referred internally
17-0097	June 26	Jan 31	Conduct of a member of Council	Insufficient evidence of wrongdoing
17-0098	June 27	Jan 31	Conduct of a member of Council	Referred to other entity
17-0099	June 27	Dec 8	Illegal dumping	Referred internally
17-0100	June 28	Dec 8	Conduct of a staff member	No Action Planned or Taken
17-0101	June 29	Jan 31	Conduct of a member of Council	Referred to other entity
17-0102	June 29	Mar 22	Conduct of a staff member	Insufficient evidence of wrongdoing
17-0103	July 3	Nov 2	Contractor abuse	No Action Planned or Taken

17-0104	July 4	Jan 31	Conduct of a member of Council	Insufficient evidence of wrongdoing
17-0105	July 7	Aug 17	Noise complaint	Referred internally
17-0106	July 9	Oct 31	Conduct of business activities in parks	Action Planned or Taken
17-0107	July 11	Oct 11	Delayed restoration by a City contractor	Action Planned or Taken
17-0108	July 17	Dec 13	Unsafe operation of vehicle by staff	Action Planned or Taken
17-0109	July 24	Aug. 17	Property damage of a resident	Not related to CGS Services
17-0110	July 24	July 25	Parking mobility scooter	Not related to CGS Services
17-0111	Aug 9	Jan 31	Conduct of a member of Council	Action Planned or Taken
17-0112	Aug 9	Aug. 17	Misuse of handicap parking area	Referred internally
17-0113	Aug 11	Dec 13	Misuse of CGS assets	Action Planned or Taken
17-0114	Aug 11	Oct 19	Reliability of status report	Action Planned or Taken
17-0115	Aug 11	Dec 20	Conduct of staff	Duplicate complaint
17-0116	Aug 15	Aug 16	Noise and disturbance	Referred to law enforcement or legal authority
17-0117	Aug 23	Sept 14	Zoning and construction	Referred internally
17-0118	Aug 27	Aug 30	Neighbor behavior	Referred internally
17-0119	Sept 1	Jan 2	Invasive species management	Insufficient evidence of wrongdoing
17-0120	Sept 1	Mar 7	Conduct of staff and management of Freedom of information requests	Insufficient evidence of wrongdoing
17-0121	Sept 4	Feb 3	Conduct of staff members	Action Planned or Taken
17-0122	Sept 6	Oct 11	Easement	Referred internally
17-0123	Sept 6	Oct 12	Garbage	Referred internally
17-0125	Sep 11	Oct 12	Parking hazard	Referred internally
17-0126	Sept 13	Mar 21	Conduct of a staff member	Action Planned or Taken
17-0127	Sept 13	Oct 18	Transit operator safety	Action Planned or Taken
17-0128	Sept 14	Oct 11	Unlicensed garage operation	Referred internally
17-0129	Sept 14	Oct 11	Misuse of welfare	Referred internally
17-0130	Sept 14	Sept 15	Incomplete complaint	No Action Planned or Taken
17-0131	Sept 14	Oct 11	Conduct of a resident of Sudbury Housing	Referred to law enforcement or legal authority
17-0132	Sept 15	Jan 31	Person working without a permit and noise complaint.	Action Planned or Taken
17-0133	Sept 18	Dec 12	Long term care residents are doing the work of staff	Action Planned or Taken
17-0134	Sept 18	Sept 21	Conduct of a business	Referred internally
17-0135	Sept 19	Jan 2	Storm drain pipe against family home	Referred internally
17-0136	Sept 25	Sept 25	Conduct of a business	Duplicate complaint
17-0137	Sept 27	Oct 5	Conduct of staff	Referred internally
17-0138	Sept 29	Oct 6	Yard trees on corner of an intersection exceed bylaw restrictions	Referred internally
17-0139	Sept 28	Mar 21	Concerns about the merits of a plan to renovate the kitchen in a fire hall	Action Planned or Taken
17-0140	Sept 29	Oct 4	Potential wrongdoing by a sports association	Not related to CGS Services
17-0141	Oct 1	Dec 8	Conduct of staff	Insufficient evidence of

				wrongdoing
17-0142	Oct 1	Dec 12	Smoking bylaw infractions by a resident	Referred internally
17-0143	Oct 5	Nov 7	Request for refund	No Action Planned or Taken
17-0144	Oct 6	Dec 13	Conduct of staff	Referred internally
17-0145	Oct 12	Feb 3	Conduct of staff	Action Planned or Taken
17-0146	Oct 14	Oct 16	Resident feeding pigeons leads to health hazard	Referred internally
17-0147	Oct 14	Jan 2	Allegation that an unofficial daycare is being run in City facility	Action Planned or Taken
17-0148	Oct 16	Jan 31	Conduct of members of Council	Action Planned or Taken
17-0150	Oct 18	Dec 13	Conduct of staff	Action Planned or Taken
17-0151	Oct 19	Nov 17	Unfair process denying safe and open access to our property	No Action Planned or Taken
17-0152	Oct 24	Mar 21	Allegation that a City facility is not equipped for recycling	Action Planned or Taken
17-0153	Oct 24	Feb 3	Conduct of staff	Insufficient evidence of wrongdoing
17-0154	Oct 25	Oct 31	Lack of regard for parking by-laws	Referred internally
17-0156	Oct 27	Oct 31	Hydro bills waste paper and are not environmentally friendly	Not related to CGS Services
17-0157	Oct 30	Feb 3	Merits of a new staff position	Insufficient evidence of wrongdoing
17-0158	Oct 30	Jan 31	Potential By-law infractions by a member of Council	Action Planned or Taken
17-0159	Oct 31	Jan 31	Conduct of a member of Council	No Action Planned or Taken
17-0160	Nov 2	Jan 31	Conduct of a member of Council	Insufficient evidence of wrongdoing
17-0162	Nov 7	Apr 5	Alleged exclusive use of a property by City employees	Insufficient evidence of wrongdoing
17-0164	Nov 19	Dec 8	Removal of gravel during snow plowing	Referred internally
17-0166	Nov 22	Jan 31	Potential conflict of interest by a member of Council	Insufficient evidence of wrongdoing
17-0167	Dec 3	Dec 8	Activities at a condemned building	Referred internally
17-0168	Dec 4	Mar 21	Garbage collection	Insufficient evidence of wrongdoing
17-0169	Dec 5	Jan 31	Attachments related to complaint 17-0158 shown above	Duplicate complaint
17-0170	Dec 6	Dec 13	Social assistance	Not related to CGS Services
17-0171	Dec 6	Apr 23	Fumes from trucks for construction work	No action planned or taken
17-0172	Dec 7	Jan 31	Potential conflict of interest by members of Council	Insufficient evidence of wrongdoing
17-0173	Dec 12	Dec 15	Inadequate snowplowing	Referred internally
17-0174	Dec 19	Mar 21	Poor quality of snowplowing	Referred internally
17-0175	Dec 19	May 29	Conduct of staff	Action Planned or Taken
17-0176	Dec 30	Jan 2	Car parked in no parking area	Referred internally
18-0001	Jan 7	May 11	Conduct of Councilor	Referred to related agency

18-0002	Jan 8	Mar 27	Snow removal from driveways	Referred internally
18-0003	Jan 8	May 28	Staff conduct	Referred internally
18-0004	Jan 10	Mar 27	Various wrongdoing concerns	Referred externally
18-0005	Jan 10	Mar 27	Various wrongdoing concerns	Referred externally
18-0006	Jan 10	Mar 27	Various bylaw infractions	No action planned or taken
18-0007	Jan 11	Apr 27	Conduct of staff	Action planned or taken
18-0008	Jan 11	May 29	Access to City facilities	Referred internally
18-0009	Jan 12	Apr 12	Unsafe operation of vehicle	No action planned or taken
18-0010	Jan 13	Feb 3	Conduct of Mayor	Action planned or taken
18-0011	Jan 19	May 25	Conduct of staff	Action planned or taken
18-0012	Jan 20	May 11	Conduct of Councilor	No action planned or taken
18-0013	Jan 23	May 29	Alleged bylaw infraction	Referred to related agency
18-0014	Jan 24	Mar 27	Access to land	Not related to City services
18-0015	Jan 24	May 21	Alleged bylaw infraction	Referred internally
18-0016	Jan 24	Feb 1	Alleged bylaw infraction	Referred internally
18-0017	Jan 24	Mar 27	Alleged bylaw infraction	Referred internally
18-0018	Jan 24	Mar 27	Suggestion for improvement	Insufficient evidence of wrongdoing
18-0019	Jan 24	Jan 30	Alleged bylaw infraction	Insufficient evidence of wrongdoing
18-0020	Jan 26	May 11	Conduct of Councilor	Action planned or taken
18-0021	Jan 31	Feb 6	Social assistance recommendations	Referred to legal authority
18-0022	Jan 31	May 11	Conduct of Councilor	Action planned or taken
18-0024	Feb 5	Mar 28	Alleged bylaw infraction	Referred internally
18-0025	Feb 6	May 29	Alleged bylaw infraction	Action planned or taken
18-0026	Feb 6	May 31	Staff conduct	No action planned or taken
18-0027	Feb 8	Mar 27	Alleged bylaw infraction	Referred internally
18-0028	Feb 8	Mar 27	Alleged bylaw infraction	Duplicate complaint
18-0029	Feb 10	May 11	Conduct of Councilor	Action planned or taken
18-0030	Feb 13	Apr 18	Allegations of fraud	Insufficient evidence of wrongdoing
18-0031	Feb 14	Feb 16	Alleged bylaw infraction	Referred internally
18-0032	Feb 14	Feb 16	Alleged bylaw infraction	Referred internally
18-0033	Feb 17	Mar 5	Sidewalk cleaning	Insufficient evidence of wrongdoing
18-0034	Feb 17	May 29	Staff conduct	No action planned or taken
18-0035	Feb 19	Feb 22	Alleged policy infractions	Referred to related agency
18-0036	Feb 27	Feb 28	Staff conduct	Referred to other entity
18-0037	Feb 27	Mar 27	Concern with quality of roads	Referred internally
18-0038	Mar 1	Mar 27	Alleged bylaw infraction	Referred internally
18-0040	Mar 5	Mar 27	Alleged bylaw infraction	Insufficient evidence of wrongdoing
18-0042	Mar 7	May 23	Invasive species management	Insufficient evidence of wrongdoing
18-0043	Mar 8	Mar 27	Alleged bylaw infraction	Referred to law enforcement
18-0045	Mar 10	Mar 27	Alleged bylaw infraction	Referred internally
18-0047	Mar 12	Open	Staff conduct	
18-0055	Mar 29	Open	Staff conduct	



18-0056	Apr 3	Open	Conduct of a Councilor	
18-0057	Apr 6	Open	Staff conduct	
18-0058	Apr 9	Apr 9	Alleged fraud	Referred to law enforcement
18-0059	Apr 12	Open	Staff conduct	
18-0060	Apr 13	Open	Staff conduct	
18-0061	Apr 21	Apr 23	Quality of snowplowing	Referred internally
18-0062	Apr 25	Open	Staff conduct	
18-0063	Apr 29	Open	Alleged bylaw infraction	
18-0064	Apr 30	Open	Alleged bylaw infraction	
18-0065	May 1	Open	Staff conduct	
18-0066	May 9	Open	Conduct of contractor	
18-0067	May 10	May 10	Alleged bylaw infraction	Referred internally
18-0068	May 16	Open	Staff conduct	
18-0069	May 25	Open	Restricted access to City facilities	
18-0070	May 26	Open	Conduct of a Councilor	
18-0071	May 31	Open	Rezoning complaint	