

For Information Only

Status Report on the Wrongdoing Hotline

Presented To:	Audit Committee
Presented:	Tuesday, Jan 22, 2019
Report Date	Thursday, Jan 03, 2019
Type:	Correspondence for Information Only

Resolution

For Information Only

Relationship to the Strategic Plan / Health Impact Assessment

This report relates to the priority of 'Responsive, Fiscally Prudent, Open Governance' within the Corporate Strategic Plan.

Report Summary

Residents/staff have filed complaints to the wrongdoing hotline.

In accordance with the stated priority of 'Open Governance', complaints need to be properly investigated.

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 to December 31, 2018 and provides comparative statistics for the same seven-month period in 2017.

Financial Implications

None.

Signed By

Auditor General

Ron Foster

Auditor General

Digitally Signed Jan 3, 19

Status Report on the Wrongdoing Hotline

Seven-Month Period Ended
December 31, 2018

January 3, 2019

 **AUDITOR GENERAL**

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 to December 31, 2018 and provides comparative statistics for the same seven-month period in 2017. The next status report will be provided in June to evaluate the wrongdoing hotline initiative.

OBSERVATIONS

1. The volume of complaints received during the seven-month period ended December 31, 2018 was similar to the volume received during the prior year (86 versus 83). A significant number (31 of 86) of these complaints did not require a detailed investigation as they related to service complaints that fell outside the scope of the hotline and could be closed after referral to others or due to insufficient support.
2. The volume of active complaints under investigation at the end of December dropped from 33 in 2017 to 11 in 2018 due to the implementation of and adherence to service level targets for the completion of investigations.
3. No costs were incurred for investigations by third parties during the seven-month period ended December 31, 2018 compared to \$4,125 for the previous seven-month period. Internal costs to conduct investigations during the seven-month period ended on December 31, 2018 were approximately \$28,000 versus \$19,000 in 2017 as a higher volume of investigations was completed in 2018 after the adoption and implementation of service level targets for their completion.
4. Approximately \$17,000 of the \$20,000 of funds that Council approved in 2016 to establish the hotline had been spent by the end of December to administer the database and to support the call centre for the hotline.
5. The 86 complaints that were received during this seven-month period came from 56 identifiable complainants and 30 anonymous complainants who represent a small fraction of the residents and businesses that interacted with the City during this period.

COMPLAINT STATISTICS

Source of Complaint	7 months ended Dec 2017	7 months ended Dec 2018	June	July	Aug	Sept	Oct	Nov	Dec
Total complaints	90	98	12	11	15	16	19	13	12
Incomplete complaints ¹	(7)	(12)	(4)	(1)	(1)	(1)	(2)	-	(3)
Complaints received	83	86	8	10	14	15	17	13	9
Complaints closed	(50)	(75)	(8)	(10)	(14)	(15)	(16)	(9)	(3)
Active complaints under investigation	33	11	0	0	0	0	1	4	6

¹ Represents abandoned complaints that were not submitted to the hotline.

Management of Complaints Received	2017	2018
Complaints received in 7 months ended December 31	83	86
Referred to Bylaw for review	(16)	(9)
Referred to 311 for review	(5)	(9)
Referred to Building Services for review	(2)	(5)
Referred to external agency	(2)	(4)
Unrelated to CGS services	(7)	(3)
Duplicate complaint	(1)	(1)
Complaints subject to initial investigation	50	55
Closed as no evidence of wrongdoing found	(1)	-
Closed with no action planned or required	(7)	(16)
Complaints subject to detailed investigation	42	39
Complaints closed with action planned or taken (see table below)	(9)	(28)
Active complaints under investigation at end of December	33	11

Closed Complaints with Action Planned or Taken at December 31, 2018

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 regardless of the process to source the vendor. The City's specifications for equipment will be updated to meet the City's Procurement policies and Bylaw.
18-0088	July 17	Nov 16	Procurement practices for fire trucks 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	Fleet Services 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.

Complaint Number	Opened	Closed	Action Planned or Taken for Closed Complaints
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.
18-0147	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.

Type of Complaints subject to detailed investigation between June 1, 2018 and December 31, 2018

Type of Complaint Subject to Investigation	Complaints Received	Complaints Closed	Active Complaints
Members of Council	13	9	4
Staff	23	19	4
City Services	12	12	0
Contractors of City	16	16	0
Residents/Businesses	22	19	3
Total	86	(75)	11

Overview of Individual Complaints as at December 31, 2018

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	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 process for the purchase of various fire trucks.	Action Planned or Taken

Complaint Number	Opened	Closed	Complaint/Allegation	Investigation Outcome
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	Allegations of 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 at request of 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	Open	Staff conduct	
18-0121	Sept 25	Dec 28	Contractor performance	Action Planned or Taken
18-0122	Sept 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 in workplace	No action planned or taken
18-0125	Sept 29	Dec 11	Allegations of harassment in workplace	Referred to external agency
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

Complaint Number	Opened	Closed	Complaint/Allegation	Investigation Outcome
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
<i>18-0136</i>	<i>Oct 17</i>	<i>Open</i>	<i>Alleged misuse of municipal resources during an election</i>	
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	Nov 5	Dec 28	Staff conduct	Action Planned or Taken
18-0148	Nov 7	Dec 20	Performance of a daycare provider	Action Planned or Taken
<i>18-0149</i>	<i>Nov 13</i>	<i>Open</i>	<i>Staff conduct</i>	
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
<i>18-0154</i>	<i>Nov 20</i>	<i>Open</i>	<i>Conduct of a Councillor</i>	
<i>18-0155</i>	<i>Nov 24</i>	<i>Open</i>	<i>Conduct of a Councillor</i>	
<i>18-0156</i>	<i>Nov 28</i>	<i>Open</i>	<i>Conduct of a Councillor</i>	
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
<i>18-0161</i>	<i>Dec 10</i>	<i>Open</i>	<i>Parking at a municipal corporation</i>	
<i>18-0162</i>	<i>Dec 11</i>	<i>Open</i>	<i>Alleged breach of City policy</i>	
<i>18-0163</i>	<i>Dec 14</i>	<i>Open</i>	<i>Alleged wrongdoing re tax sale</i>	
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
<i>18-0167</i>	<i>Dec 23</i>	<i>Open</i>	<i>Alleged fraud by a company</i>	
18-0168	NC	NC	NC	NC
<i>18-0169</i>	<i>Dec 31</i>	<i>Open</i>	<i>Staff conduct</i>	

Complaints that were still "Open" at the time of reporting are shown above with italics.

Complaints labeled "NC" were not completed by the complainants and required no investigation.