

For Information Only

Annual Status Report on the Wrongdoing Hotline

Presented To:	Audit Committee
Presented:	Tuesday, Jun 16, 2020
Report Date	Tuesday, Jun 02, 2020
Type:	Correspondence for Information Only

Resolution

For Information Only

Relationship to the Strategic Plan / Health Impact Assessment

This report demonstrates that our actions align with the values in our strategic plan.

Report Summary

This report summarizes the complaints received from June 1, 2019 to May 31, 2020, provides comparative statistics for the previous two years and discusses the costs and benefits of the Wrongdoing Hotline program.

Financial Implications

No significant financial implications.

Signed By

Auditor General

Ron Foster

Auditor General

Digitally Signed Jun 2, 20

Annual Status Report on the Wrongdoing Hotline

For the Year Ended
May 31, 2020

June 2, 2020



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, 2010 to May 31, 2020, provides comparative statistics for the previous two years and discusses the costs and benefits of the Wrongdoing Hotline program.

OBSERVATIONS

1. More complaints were received during the year ended May 31, 2020 than in the prior two years (165 in 2020 versus 124 in 2019 and 142 in 2018). The reason for this increase is the large number of complaints about the failure to maintain social distancing and safe business practices during the pandemic.
2. Only 29 or approximately 18% of the 165 complaints received during the year ended May 31, 2020 required a detailed investigation compared to 30% in 2019 and 32% in 2018. The number of active complaints under investigation at the end of May 2020 was 7 compared to 6 in 2019 and 15 in 2018. These trends are favourable and reflect the steps taken by staff to implement formal customer service standards for investigations in 2019.
3. The costs for investigations by third parties were zero in both 2020 and 2019 compared to \$4,125 in 2018 as staff have improved their capabilities in investigations.
4. The internal costs for managing detailed investigations and administering the hotline were \$44,000 in 2020 compared to \$49,500 in 2019 and \$49,000 in 2018.
5. The 165 complaints received during the year ended May 31, 2020 came from 80 identifiable and 85 anonymous complainants. Three of the identifiable individuals filed more than one complaint.
6. 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 identified service levels
 - 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.

SUMMARY OF COMPLAINTS

	Year Ended May 31		
	2018	2019	2020
Total complaints initiated	160	152	194
Tests	-	-	(10)
Incomplete complaints	(18)	(28)	(19)
Complaints received	142	124	165
Complaints closed	(127)	(118)	(158)
Active complaints not yet analyzed	15	6	7

DISPOSITION OF COMPLAINTS

	Year Ended May 31		
	2018	2019	2020
Complaints received	142	124	165
Complaints referred to other areas for review	(57)	(52)	(88)
Complaints unrelated to CGS	0	0	(11)
Vexatious or frivolous complaints	0	0	(1)
Duplicate complaints	(4)	(3)	(5)
Complaints subject to investigation	81	69	60
Closed as insufficient evidence of wrongdoing found or no action needed to be taken	(36)	(32)	(30)
Complaints which required detailed analysis	45	37	30
Closed with action planned or taken	(30)	(31)	(23)
Active complaints not yet analyzed	15	6	7

SUBJECT OF COMPLAINTS INVESTIGATED

	Active Complaints at the End of May 31			Complaints that Required Action During Year Ended May 31		
Subject	2018	2019	2020	2018	2019	2020
Office of the Mayor	0	0	0	1	0	0
Members of Council	2	0	0	8	3	0
City Processes	5	1	2	13	3	5
City Contractor	0	0	1	0	11	1
City Staff	8	4	0	8	13	11
Public	0	1	4	0	1	6
Total	15	6	7	30	31	23

COMPLAINTS WHICH REQUIRED ACTION DURING THE YEAR ENDED MAY 31, 2020

Complaint Number	Opened	Closed	Action Planned or Taken for Closed Complaints
19-0059	June 13	Aug 11	The need for compliance with policies was discussed with the staff person.
19-0064	June 27	Aug 19	The conditions of use of City vehicles were reviewed with the staff person.
19-0078	Aug 7	Oct 16	Management wrote to complainant to propose steps to resolve the matter.
19-0084	Aug 28	Aug 29	Management reviewed compliance with terms of relevant agreements.
19-0095	Sept 18	Nov 27	An independent review identified a need for procurement training.
19-0100	Oct 3	Mar 5	Management reviewed the conduct of a staff person who was coached on the appropriate ways to speak with customers/citizens in various situations.
19-0114	Nov 7	Nov 7	The company took steps to address the concern reported.
19-0115	Nov 7	Nov 14	Management investigated the complaint and requested that any future concerns be reported to 311 to allow for a more timely response.
19-0116	Nov 7	Nov 14	Management investigated the complaint and requested that any future concerns be reported to 311 to allow for a more timely response.
19-0117	Nov 7	Nov 22	Steps have been taken to prevent a reoccurrence of this complaint.
19-0119	Nov 9	Nov 22	Management contacted the complainant and provided information to resolve the complaint.
19-0124	Nov 22	Feb 26	An investigation was completed by the Auditor General to review the complaint. The findings were reported to the Integrity Commissioner.
19-0137	Dec 22	Mar 6	Staff revised the lease to include the additional tenant.
20-0003	Jan 9	Feb 6	The employee was advised the social media post was inappropriate. The post was removed and management provided social media training to the employee.
20-0007	Jan 22	Feb 4	The concern with parking at Pioneer Manor continues to be monitored by management and will be reinforced during the monthly staff team meetings.
20-0011	Feb 19	Apr 27	Management took appropriate action to address the staff person who has been advised that his actions were inappropriate and contrary to the City's policies.
20-0032	Mar 23	Mar 28	This complaint has been reported to the property manager who will address it with the Board and tenant.
20-0038	Mar 27	Apr 3	This complaint will be addressed by management at the next staff meeting to prevent a reoccurrence.
20-0072	Apr 29	May 14	Management addressed the complaint with the employee and will reinforce the Substance Use and Fitness for Duty in the Workplace Policy with all employees.
20-0075	May 4	May 15	Building Services staff reviewed the emergency order with the owner who agreed to stop construction.
20-0085	May 14	May 15	Roads staff performed maintenance activities and clarified the responsibilities with the home owner.
20-0086	May 14	May 14	A re-inspection was recently performed. Arrangements will be made for a third party clean-up if there continues to be non-compliance.
20-0091	May 22	May 28	Staff will contact the complainant to establish a relationship for the reporting of noise concerns in an attempt to proceed with required enforcement.

OVERVIEW OF INDIVIDUAL COMPLAINTS RECEIVED DURING THE YEAR ENDED MAY 31, 2020

Complaint Number	Opened	Closed	Complaint/Allegation	Investigation Outcome
19-0056	June 7	July 19	Inadequate property maintenance	Referred internally
19-0057	June 11	July 22	Neglect of animals	Insufficient evidence of wrongdoing
19-0058	June 11	June 13	Abandoned jail at Burwash	Not related to CGS
19-0059	June 13	Aug 11	Unauthorized use of City letterhead	Action planned or taken
19-0060	June 27	June 26	Staff conduct	No action planned or taken
19-0061	June 20	Oct 17	Issues with landfill on Kingsway	No action planned or taken
19-0062	June 25	June 25	Inadequate property maintenance	Referred internally
19-0063	June 26	June 27	Inadequate property maintenance	Referred internally
19-0064	June 27	Aug 19	Staff conduct	Action planned or taken
19-0065	July 1	July 2	No facility agreement for sales	Referred internally
19-0066	July 2	Oct 17	Facilities rentals to partisan groups	Not related to CGS
19-0067	NC	NC	NC	NC
19-0068	July 9	July 11	Building with no permits	Referred internally
19-0069	July 9	July 12	Excavator parked on road	Referred internally
19-0070	July 10	Dec 9	Staff conduct	Insufficient evidence of wrongdoing
19-0071	July 11	July 19	Bus service issue in Hanmer	Referred internally
19-0072	July 12	Dec 5	Illegal apartments	Referred internally
19-0073	July 13	Aug 19	Staff conduct	Insufficient evidence of wrongdoing
19-0074	July 15	Oct 17	Computer access at Library	Not related to CGS
19-0075	July 16	Dec 9	Harassment by City staff	Insufficient evidence of wrongdoing
19-0076	July 17	July 19	Abuse of housing rules	Referred to external agency
19-0077	Aug 3	Aug 6	Bylaw issues with neighbour	Referred internally
19-0078	Aug 7	Oct 16	Staff conduct	Action planned or taken
19-0079	NC	NC	NC	NC
19-0080	Aug 13	Aug 14	Improper landfill practices	Referred internally
19-0081	Aug 15	Aug 20	Abuse of housing rules by tenants	Insufficient evidence of wrongdoing
19-0082	Aug 20	Aug 28	Inefficient use of TDS parking lot	Referred internally
19-0083	Aug 24	Aug 29	Illegal parking	Referred internally
19-0084	Aug 28	Aug 29	Abuse of housing rules by tenants	Action planned or taken
19-0085	Aug 29	Oct 18	Flawed City planning processes	No action planned or taken
19-0086	Aug 31	Jan 31	Nepotism at City	Insufficient evidence of wrongdoing
19-0087	Sept 5	Sept 16	Illegal burning	Referred internally
19-0088	Sept 6	Nov 27	Wasteful practice	No action planned or taken
19-0089	Sept 9	Nov 27	Aggressive neighbour	Referred to external agency
19-0090	NC	NC	NC	NC
19-0091	Sept 9	Sept 14	Landfill practices	Referred internally
19-0092	Sept 12	Sept 16	Odours from landfill	Referred internally
19-0093	Sept 14	Dec 9	Personal use of City vehicles	Insufficient evidence of wrongdoing
19-0094	Sept 17	Feb 4	Nepotism at City	Insufficient evidence of wrongdoing
19-0095	Sept 18	Nov 27	Unfair procurement	Action planned or taken
19-0096	Sept 20	Sept 25	Damage by City staff or contractor	Referred internally
19-0097	Sept 21	Oct 10	Motorized boat on lake	Not related to CGS
19-0098	Sept 24	Nov 25	Staff conduct	No action planned or taken
19-0099	Sept 30	Oct 1	Conduct of a resident	Not related to CGS
19-0100	Oct 3	Mar 5	Staff conduct	Action planned or taken

19-0101	NC	NC	NC	NC
19-0102	NC	NC	NC	NC
19-0103	Oct 16	Oct 17	Staff conduct	Referred internally
19-0104	Oct 17	Oct 17	Staff conduct	Insufficient evidence of wrongdoing
19-0105	Oct 18	Oct 23	Illegal parking	Not related to CGS
19-0106	Oct 19	Oct 24	Illegal dumping	Referred internally
19-0107	NC	NC	NC	NC
19-0108	Oct 29	Oct 24	Failure to lock dumpsters	Referred internally
19-0109	Oct 29	Dec 5	Open air burning by-law	Insufficient evidence of wrongdoing
19-0110	Oct 29	Dec 16	Staff conduct	Insufficient evidence of wrongdoing
19-0111	Oct 30	Oct 30	Staff conduct	Not related to CGS
19-0112	Oct 30	Jan 31	Staff conduct	Insufficient evidence of wrongdoing
19-0113	Duplicate			
19-0114	Nov 7	Nov 7	Damaged truck	Action planned or taken
19-0115	Nov 7	Nov 14	Landfill practices	Action planned or taken
19-0116	Nov 7	Nov 14	Landfill practices	Action planned or taken
19-0117	Nov 7	Nov 22	Staff conduct	Action planned or taken
19-0118	Nov 9	Nov 27	Illegal parking	Referred internally
19-0119	Nov 9	Nov 22	Staff conduct	Action planned or taken
19-0120	NC	NC	NC	NC
19-0121	Nov 14	Nov 22	Misuse of snowmobile	Referred internally
19-0122	Nov 14	Nov 9	By-law infraction	Referred internally
19-0123	Nov 22	Dec 11	Property management issues	Referred internally
19-0124	Nov 22	Feb 26	Staff conduct	Action planned or taken
19-0125	Nov 22	Nov 27	Welfare abuse	Not related to CGS
19-0126	Nov 27	Feb 11	Illegal housing complexes	Referred internally
19-0127	Dec 3	Dec 3	Conduct of a contractor	Not related to CGS
19-0128	Dec 5	Mar 5	Staff conduct	Insufficient evidence of wrongdoing
19-0129	Dec 8	Dec 9	Property maintenance issue	Referred internally
19-0130	Dec 10	Dec 10	Garbage collection	Referred internally
19-0131	Dec 10	Feb 11	Construction without a permit	Referred internally
19-0132	Dec 11	Mar 19	Staff conduct	Insufficient evidence of wrongdoing
19-0133	Dec 12	Mar 5	Staff conduct	Insufficient evidence of wrongdoing
19-0134	Dec 12	Dec 16	Sudbury landfill on Kingsway	Referred internally
19-0135	Dec 12	Dec 16	Parking infractions	Not related to CGS
19-0136	Dec 13	Dec 16	Property damage from City truck	Referred internally
19-0137	Dec 22	Mar 6	Underreporting of income	Action Planned or Taken
19-0138	Dec 27	Feb 12	Building without a permit	Referred internally
19-0139	Dec 30	Feb 11	Property damaged by neighbour	Referred internally
20-0001	NC	NC	NC	NC
20-0002	Jan 7	Jan 13	Responsiveness of Handi-Transit	No action planned or taken
20-0003	Jan 9	Feb 6	Staff conduct	Action Planned or Taken
20-0004	Jan 16	Jan 20	Sudbury landfill on Kingsway	Referred internally
20-0005	Jan 16	Jan 20	Staff conduct	Not related to CGS
20-0006	Jan 16	Jan 16	Snowplowing services	Referred internally
20-0007	Jan 22	Feb 4	Staff conduct	Action Planned or Taken
20-0008	Jan 30	Jan 31	Sudbury landfill on Kingsway	Referred internally
20-0009	Jan 31	Feb 6	Zoning services	No action planned or taken
20-0010	Feb 18	Mar 4	Resident living in a shed	Referred internally

20-0011	Feb 19	Apr 27	Staff conduct	Action Planned or Taken
20-0012	Feb 20	Mar 9	Inefficient City services	Insufficient evidence of wrongdoing
20-0013	Feb 20	Feb 24	Snow plowing	Referred internally
20-0014	NC	NC	NC	NC
20-0015	Feb 24	Mar 3	Various	Vexatious or frivolous
20-0016	Feb 27	Mar 3	Snow plowing	Referred internally
20-0017	Feb 27	Feb 28	Snow removal	Referred internally
20-0018	Feb 28	Feb 28	Snow removal	Referred internally
20-0019	Mar 3	Mar 4	Other	Not related to CGS
20-0020	Test			
to				
20-0027	Test			
20-0028	Mar 20	Mar 20	Working conditions	No action planned or taken
20-0029	Mar 20	Apr 28	Staff conduct	Insufficient evidence of wrongdoing
20-0030	NC	NC	NC	NC
20-0031	NC	NC	NC	NC
20-0032	Mar 23	Mar 28	Housing policy violation	Action Planned or Taken
20-0033	Mar 23	Mar 24	Unlicensed business	Referred internally
20-0034	NC	NC	NC	NC
20-0035	Mar 24	Mar 24	Construction without a permit	Referred internally
20-0036	Mar 25	Mar 31	Drug house	Referred to law enforcement
20-0037	Mar 26	Mar 27	Lack of social distancing	Referred to law enforcement
20-0038	Mar 27	Apr 3	Garbage collection	Action Planned or Taken
20-0039	NC	NC	NC	NC
20-0040	Mar 28	Apr 3	Noise complaint	Referred internally
20-0041	Apr 1	Apr 3	Unsafe business practices	Referred to external agency
20-0042	Apr 2	Apr 3	Unsafe business practices	Referred to external agency
20-0043	Apr 2	Apr 3	Social gatherings	Referred to external agency
20-0044	Apr 2	Apr 3	Social gatherings	Referred to external agency
20-0045	Apr 3	Apr 11	Transit services	No action planned or taken
20-0046	Apr 4	Apr 20	Littering	Referred internally
20-0047	Apr 5	May 7	Burning of garbage	Referred internally
20-0048	Apr 6	Apr 7	Water drainage	Referred internally
20-0049	Apr 6	Apr 20	Social gatherings	Insufficient evidence of wrongdoing
20-0050	Apr 8	Apr 15	Unsafe business practices	Referred internally
20-0051	Apr 8	Apr 20	Unsafe business practices	Referred internally
20-0052	Apr 8	Apr 9	Unsafe business practices	Referred internally
20-0053	Apr 8	Apr 9	Unsafe business practices	Insufficient evidence of wrongdoing
20-0054	NC	NC	NC	NC
20-0055	NC	NC	NC	NC
20-0056	Apr 13	Apr 15	Failure to follow safe practices	Referred to external agency
20-0057	Apr 15	Apr 15	Unsafe business practices	No action planned or taken
20-0058	Apr 15	Apr 17	Failure to follow safe practices	Referred to external agency
20-0059	Apr 15	Apr 21	Inefficient City operations	No action planned or taken
20-0060	Apr 16	Apr 20	Unsafe business practices	Referred internally
20-0061	Apr 17	Apr 29	Inessential construction	Referred internally
20-0062	Apr 17	Apr 17	Damage to automobile	Referred internally
20-0063	NC	NC	NC	NC
20-0064	NC	NC	NC	NC

20-0065	Apr 20	Apr 20	Failure to follow safe practices	Referred to external agency
20-0066	Apr 21	Apr 21	Unsafe business practices	Referred internally
20-0067	Apr 22	Apr 27	Unlicensed business	Referred internally
20-0068	Apr 26	Apr 28	Social gathering	Referred internally
20-0069	Apr 26	Apr 28	Social gathering	Referred internally
20-0070	Apr 26	Apr 28	Property maintenance	Referred internally
20-0071	Apr 26	Apr 28	Illegal dumping	Referred internally
20-0072	Apr 29	May 14	Social gatherings	Action Planned or Taken
20-0073	May 3	May 4	Traffic impediments	Referred internally
20-0074	May 3	May 4	Lack of social distancing	Referred internally
20-0075	May 4	May 15	Inessential construction	Action Planned or Taken
20-0076	May 4	May 5	Unethical behaviour	Referred internally
20-0077	May 5	May 6	Social gatherings	Referred internally
20-0078	May 7	May 7	Unsafe business practices	Referred internally
20-0079	May 7	May 8	Social gatherings	Referred internally
20-0080	May 7	May 8	Unsafe business practices	Referred internally
20-0081	May 8	May 13	Social gathering	Referred internally
20-0082	May 10	May 13	Property maintenance	Referred internally
20-0083	May 10	May 13	Social gatherings	Referred internally
20-0084	May 11	May 14	Unsafe business practices	Referred internally
20-0085	May 14	May 15	Road maintenance	Action Planned or Taken
20-0086	May 14	May 14	Property maintenance	Action Planned or Taken
20-0087	NC	NC	NC	NC
20-0088	May 16	May 25	Illegal activity	Referred to law enforcement
20-0089	May 19	May 25	Unsafe business practices	Referred internally
20-0090	May 20	May 25	Noise during evenings	Referred internally
20-0091	May 22	May 28	Noise and litter complaint	Action Planned or Taken
20-0092	May 22	May 25	Noise complaint	Referred internally
20-0093	May 23	May 25	Illegal activity	Referred to law enforcement
20-0094	May 23	Open	Social gathering	Referred internally
20-0095	NC	NC	NC	NC
20-0096	May 26	May 29	City services	No action planned or taken
20-0097	May 26	Open	Unsafe business practices	
20-0098	Duplicate			
20-0099	May 27	May 28	City services	No action planned or taken
20-0100	Duplicate			
20-0101	May 27	Open	City services	
20-0102	May 27	Open	Unsafe social practices	
20-0103	Duplicate			
20-0104	Test			
20-0105	Test			
20-0106	May 28	May 28	Illegal activity	Referred to law enforcement
20-0107	Duplicate			
20-0108	May 29	Open	City contractor performance	
20-0109	May 30	Open	Unsafe business practices	
20-0110	May 31	Open	City services	

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