

Presented To:	Audit Committee
Presented:	Tuesday, May 15, 2018
Report Date	Tuesday, May 01, 2018
Type:	Managers' Reports

Request for Decision

Wrongdoing Hotline Status Report

Resolution

THAT the City of Greater Sudbury extends the operation of the wrongdoing hotline to the end of June 2019 as outlined in the report entitled "Wrongdoing Hotline Status Report", from the Auditor General, presented at the Audit Committee meeting on May 15, 2018.

Signed By

Auditor General
Ron Foster
Auditor General
Digitally Signed May 1, 18

Relationship to the Strategic Plan / Health Impact Assessment

This report relates to the priority of 'Responsive, Fiscally Prudent, Open Governance' initiatives as outlined in 2015-2018 Corporate Strategic Plan.

Report Summary

Residents/staff have filed complaints to the wrongdoing hotline.

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

Our analysis identified a higher than anticipated volume of complaints due to some confusion about the purpose of the 'Wrongdoing' Hotline.

Nine complaints out of 83 complaints received resulted in action planned or taken to improve future compliance with CGS policies.

Financial Implications

There are sufficient funds in the budget to cover the wrongdoing hotline.

Status Report on the Wrongdoing Hotline

Seven Month Period Ended
December 31, 2017

May 1, 2018

 **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, 2017 and provides comparative statistics for the same seven-month period in 2016. The next status report will be provided in June of 2018.

OBSERVATIONS

1. The volume of complaints has been marginally higher in comparison to the previous seven-month period with 83 complaints in 2017 compared to 80 during the seven month period from June 1 to December 31. Approximately half (42 of 83) of these complaints did not require a detailed investigation as they related to service complaints that fell outside the scope of the hotline (33 of 83) or could be closed after an initial review (8 of 83) due to insufficient support or information.
2. The volume of active complaints under investigation at the end of December 2017 had more than doubled from 16 to 33 due to other work pressures. All but one of these complaints had been closed by April 30, 2018.
3. The costs for investigations by third parties were \$4,125 for the seven-month period ended December 2017 and approximately \$19,000 for the previous period in 2016. Internal costs to administer the hotline during this period were approximately \$18,900 (\$2016 - \$17,000) excluding start up costs.
4. Approximately \$11,000 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. To allow for an adequate evaluation of the hotline, it is recommended that the operation of the hotline be extended to the end of June 2019. Sufficient funds remain to cover the costs for this period.
5. The 83 complaints that were received during this period came from 77 complainants who represent a small fraction of the residents and businesses that interacted with the City during the seven month period ended December 31, 2017.

COMPLAINT STATISTICS

Source of Complaint	7 months ended Dec 2016	7 months ended Dec 2017	June	July	Aug	Sept	Oct	Nov	Dec
Total complaints	97	90	16	8	8	22	19	7	10
Tests	(4)	-	-	-	-	-	-	-	-
Incomplete complaints ¹	(13)	(7)	(1)	-	-	(1)	(2)	(3)	-
Complaints received	80	83	15	8	8	21	17	4	10
Complaints closed	(64)	(50)	(9)	(7)	(7)	(14)	(9)	(1)	(3)
Active complaints under investigation	16	33	6	1	1	7	8	3	7

¹ Represents complaints that were started but not submitted.

Management of Complaints	2016	2017
Complaints received in 7 months ended December	80	83
Referred to Bylaw for review	(14)	(16)
Referred to 311 for review	(4)	(5)
Referred to Building Services for review	(2)	(2)
Referred to external law enforcement	(2)	(2)
Unrelated to CGS services	(10)	(7)
Duplicate complaint	-	(1)
Complaints subject to initial investigation	48	50
Closed as no evidence of wrongdoing found	(22)	(1)
Closed with no action planned or required	(2)	(7)
Complaints subject to detailed investigation	24	42
Complaints closed with action planned or taken (see table below)	(8)	(9)
Active complaints under investigation at end of December	16	33

Closed Complaints with Action Planned or Taken at December 31, 2017

Complaint	Opened	Closed	Action Planned or Taken for Closed Complaints
17-0087	June 5	Oct 10	Supervisor coached staff member on the appropriate use of CGS resources.
17-0093	June 24	Sept 8	Supervisor coached the staff member as well as other staff members on the appropriate use of social media.
17-0106	July 9	Oct 31	Feedback from the Resident Advisory Panel will be considered by Leisure Services during the renewal process for the agreement with the contractor.
17-0108	July 17	Dec 13	Supervisors have been asked to remind staff to ensure they drive safely.
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 audit to ensure it is prepared in accordance with generally accepted reporting practices.
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.
17-0133	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 in Pioneer Manor to ensure residents follow proper and safe procedures, including proper hand hygiene.
17-0150	Oct 18	Dec 13	Senior staff spoke directly with the complainant and with the staff person to resolve this complaint.

Type of Complaints subject to detailed investigation between June 1 and December 31, 2017

Type of Complaint Subject to Investigation	Complaints Received	Complaints Closed	Active Complaints
Members of Council	14	(1)	13
Staff	23	(14)	9
City Services	17	(9)	8
Contractors/Businesses	11	(10)	1
Residents	18	(16)	2
Total	83	(50)	33

Overview of Individual Complaints as at December 31, 2017

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	Open	Conduct of a member of Council	
17-0095	June 26	Open	Conduct of a member of Council	
17-0096	June 26	Dec 12	Conduct of a staff member	Referred internally
17-0097	June 26	Open	Conduct of a member of Council	
17-0098	June 27	Open	Conduct of a member of Council	
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	Open	Conduct of a member of Council	
17-0102	June 29	Open	Conduct of a staff member	
17-0103	July 3	Nov 2	Contractor abuse	No Action Planned or Taken
17-0104	July 4	Open	Conduct of a member of Council	
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	Referred internally
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	Open	Conduct of a member of Council	
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 13	Conduct of staff	Repeat 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	Open	Invasive species management	
17-0120	Sept 1	Open	Conduct of staff and management of Freedom of information requests	
17-0121	Sept 4	Open	Conduct of staff members	
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	Open	Conduct of a staff member	
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	Open	Person working without a permit	
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	Open	Storm drain pipe against family home	
17-0136	Sept 25	Sept 25	Conduct of a business in City	Referred internally
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	Open	Concerns about the merits of a plan to renovate the kitchen in a fire hall	
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	Open	Conduct of staff	
17-0146	Oct 14	Oct 16	Resident feeding pigeons leads to health hazard	Referred internally
17-0147	Oct 14	Open	Allegation that an unofficial daycare is being run in City facility	
17-0148	Oct 16	Open	Conduct of members of Council	
17-0150	Oct 18	Dec 13	Social assistance and housing	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	Open	Allegation that a City facility is not equipped for recycling	
17-0153	Oct 24	Open	Conduct of staff	
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	Open	Merits of a new staff position	
17-0158	Oct 30	Open	Potential conflict of interest by a member of Council	
17-0159	Oct 31	Open	Conduct of a member of Council	Repeat complaint
17-0160	Nov 2	Open	Conduct of a member of Council	
17-0162	Nov 7	Open	Alleged exclusive use of a property by City employees	
17-0164	Nov 19	Dec 8	Removal of gravel during snow plowing	Referred internally
17-0166	Nov 22	Open	Potential conflict of interest by a member of Council	

17-0167	Dec 3	Dec 8	Activities at a condemned building	Referred internally
17-0168	Dec 4	Open	Garbage collection	
17-0169	Dec 5	Open	Potential conflict of interest by a member of Council	
17-0170	Dec 6	Dec 13	Social assistance	Not related to CGS Services
17-0171	Dec 6	Open	Fumes from trucks for construction work	
17-0172	Dec 7	Open	Potential conflict of interest by members of Council	
17-0173	Dec 12	Dec 15	Inadequate snowplowing	Referred internally
17-0174	Dec 19	Open	Poor quality of snowplowing	
<i>17-0175</i>	<i>Dec 19</i>	<i>Open</i>	<i>Allegation of theft in workplace</i>	
17-0176	Dec 30	Open	Car parked in no parking area	

Complaints that were still "Open" at the end of April 30, 2018 are shown above with italics and shading.