



INFORMATION REPORT

TO:	Chair and Members Audit, Finance and Administration Committee
COMMITTEE DATE:	January 22, 2018
SUBJECT/REPORT NO:	Whistleblower Information Update for Q4 2017 (AUD18001) (City Wide)
WARD(S) AFFECTED:	City Wide
PREPARED BY:	Charles Brown CPA, CA, CPA (Illinois) 905-546-2424 x4469
SUBMITTED BY:	Charles Brown CPA, CA, CPA (Illinois) Director, Audit Services City Manager's Office
SIGNATURE:	

Council Direction:

By-law 09-227 (Whistleblower By-law), Section 19 – Responsibility of the Director of Audit Services requires a quarterly report for, in the aggregate, on the number, nature and outcome of disclosures of services wrongdoing made under this By-law.

Information:

A standard process has been implemented by the Audit Services Division for the implementation of forms, procedures and document storage relating to the administration of the Whistleblower By-law.

This Information Report contains information about the number, nature and outcome of disclosures relating to By-law 09-227 for Q4 2017 (October – December 2017) along with historical information.

Number and Nature of Disclosures in 2017

Timeline	Categories			Total Intake
	Staff Inquiry	Whistleblower	External Inquiry	
Q1 (Jan. – Mar.)	0	0	0	0
Q2 (Apr. – Jun.)	0	0	1	1
Q3 (Jul. – Sep.)	0	0	0	0
Q4 (Oct. – Dec.)	1	0	0	1

Total Intake Volume in 2017: 2

OUR Vision: To be the best place to raise a child and age successfully.

OUR Mission: To provide high quality cost conscious public services that contribute to a healthy, safe and prosperous community, in a sustainable manner.

OUR Culture: Collective Ownership, Steadfast Integrity, Courageous Change, Sensational Service, Engaged Empowered Employees.

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Nature and Outcomes

Q1: There was no intake activity in Q1 2017. One whistleblower item that was received and assessed in Q3 2016 and planned in Q4 2016 was being investigated.

Q2: One external inquiry item was received and assessed in Q2 2017. The investigation continued on the whistleblower item received and assessed in Q3 2016 and planned in Q4 2016.

Q3: There was no intake activity in Q3 2017. The investigation continued on the whistleblower item received and assessed in Q3 2016 and planned in Q4 2016.

Q4: One internal inquiry item was received in Q4 2017. Audit Services requested a response from the related General Manager which is expected in early Q1 2018. Also, the whistleblower item received and assessed in Q3 2016 and planned in Q4 2016 was closed in Q4 2017.

Number and Nature of Disclosures from 2010 – 2017

Year	Categories			
	Staff Inquiry	Whistleblower	External Inquiry	Total Intake
2010	0	2	1	3
2011	1	2	0	3
2012	1	1	1	3
2013	2	2	0	4
2014	3	2	0	5
2015	1	1	1	3
2016	1	3	1	5
2017	1	0	1	2
Total	10	13	5	28

The total volume from 2010 – 2017 for Whistleblower Intake activity was 28 items. These sustained low volumes for an organization the size of the City of Hamilton, with almost 8,000 employees, in comparison with other cities may indicate a need for further action to ensure employees are comfortable with reporting concerns.