



Hamilton

# INFORMATION REPORT

|                           |                                                                                            |
|---------------------------|--------------------------------------------------------------------------------------------|
| <b>TO:</b>                | Chair and Members<br>Audit, Finance and Administration Committee                           |
| <b>COMMITTEE DATE:</b>    | August 15, 2018                                                                            |
| <b>SUBJECT/REPORT NO:</b> | Whistleblower Information Update for Q2 2018 (AUD18006)<br>(City Wide)                     |
| <b>WARD(S) AFFECTED:</b>  | City Wide                                                                                  |
| <b>PREPARED BY:</b>       | Charles Brown CPA, CA, CPA (Illinois) 905-546-2424 x4469                                   |
| <b>SUBMITTED BY:</b>      | Charles Brown CPA, CA, CPA (Illinois)<br>Director, Audit Services<br>City Manager's Office |
| <b>SIGNATURE:</b>         |                                                                                            |

### 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 serious 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 Q2 2018 (April – June 2018) along with historical information.

### Number and Nature of Disclosures in 2018

| Timeline         | Categories    |               |                  | Total Intake |
|------------------|---------------|---------------|------------------|--------------|
|                  | Staff Inquiry | Whistleblower | External Inquiry |              |
| Q1 (Jan. – Mar.) | 0             | 0             | 0                | 0            |
| Q2 (Apr. – Jun.) | 0             | 0             | 1                | 1            |

Total Intake Volume in 2018 (January – June): 1

*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

Q2: There was one intake activity in Q2 2018.

Number and Nature of Disclosures from 2010 – 2018

| 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            |
| 2018 (to June 30) | 0             | 0             | 1                | 1            |
| Total             | 10            | 13            | 6                | 29           |

The total volume from 2010 – 2018 (to June 30) for Whistleblower Intake activity was 29 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.

On June 25, 2018, the Audit, Finance and Administration Committee approved the Director of Audit Services to implement a Fraud and Waste Hotline with intake performed by an independent third party as part of a three-year pilot project. Once the Hotline is implemented, intake activity will be incorporated into the quarterly whistleblower information update reports.