

Auditor General & Concerned Citizen and Employee Hotline Protocol

CONCERNED CITIZEN/EMPLOYEE HOTLINE AND NOTIFICATION PROCESS

Approved by: City Council

Date: February 24, 2014

VERSION HISTORY

June 17, 2013	Approved by City Council Resolution
January 13, 2014	Proposed modifications to include section 7 – Effort Allocation for Call Analysis
March 31, 2014	Modifications for inclusion of Code of Conduct considerations, complaint submission requirements, changes for modes of communications and materiality
July DD, 2024	<ul style="list-style-type: none"> ● Added precision to elements such as timing, determination of protocol applicability, and timelines and adjusted wording on role consolidation. ● Reduced layers of review no longer necessary. ● Aligned scope boundaries to other public municipal complaint procedures. ● Added consideration for workplace issue and citizen treatment escalation. ● Added sections on Annonynity, Confidentiality, Whistle Blower Protection (impacts section numbering) ● Updated escalation procedures and effort allocations for actual impacts noted in las 2-3 years ● Reduced materiality considerations ● Revised complaint submission forms to enable digital capture option, support the collection of required minimum information and provide alternate collection methods

The Concerned Citizen/Employee Hotline Protocol (“CCEHP”) is effective from the date of Council approval and applies to all ongoing and future allegations, complaints and investigations.

1.0 Overview

- 1.1 This protocol is intended to guide the CCEHP Administrator in dealing with inbound notifications from the CCEHP and other sources.
- 1.2 This protocol establishes a procedure to track and take necessary actions regarding all calls/voice mails, emails, posted letters and 1:1 conversations whereby an allegation is submitted to the CCEHP for consideration.
- 1.3 This protocol will also guide the management and handling of inbound communications about suspected fraud, waste, or abuse of City assets from other sources.
- 1.4 Upon receipt of notification from the investigating parties, City personnel will comply with corporate expectations for investigation and resolution. As part of that process, management will consider the requirements of the various collective agreements.
- 1.5 In the remainder of this protocol, calls to the hotline and communications received from other sources will be referenced as allegations.
- 1.6 Please refer to the definitions in section 2.6 of this protocol for further information on what constitutes fraud, waste, misuse, and city assets.

2.0 PURPOSE/SCOPE

- 2.1. The CCEHP is for use by either community residents or City of Windsor employees. It is not intended to conduct everyday customer service discussions. It is also not designed for complaints of a general nature by employees about City Council or management, including complaints that are usually and properly handled by personnel, payroll, or health and safety.
- 2.2 Complaints may be filed regarding the City of Windsor:
 - employees,
 - Management, and
 - contractors.
- 2.3 The CCEHP process does not apply to:
 - the Mayor or City Councillors or their political office staff (please contact the Integrity Commissions for such concerns)
 - The Windsor Essex County Health Unit
 - The Essex Region Conservation Authority

- Local Boards (with approved Opt-In Letters)
- Municipally Controlled Corporations
- Grant Recipients
- The Committee of Adjustment
- The Windsor Public Library
- The Windsor Police Services Board (WPSB)
- The Windsor Public Library Board (WPLB)

The Auditor General directs allegations related to elected officials or their staff to the Integrity Commissioner for appropriate action.

The Auditor General will direct allegations related to the Boards, Corporations, Committees, and Organizations to the Finance Executive Initiatives Coordinator for forwarding to the appropriate organizational contacts.

Questions regarding the local boards contacts for submitting such allegations should be directed to the City Clerk.

2.4 Workplace and Citizen Service Issues

2.4.1 Where do Workplace Issues fit in?

Workplace issues include concerns about staff members raised but not addressed by a staff member's immediate supervisor or manager. Complaints about staff members that have not been resolved to the complainant's satisfaction should be forwarded to senior management or Human Resources personnel for resolution or included in a formal grievance.

City staff should not use the hotline to address workplace issues unless they continue to be unresolved after being brought to the attention of their immediate supervisors or raised through one of the internal reporting mechanisms for health and safety concerns or the prevention of workplace violence, harassment, and discrimination.

Complaints submitted through this Hotline or directly to the Auditor General will require support demonstrating prior escalation to area senior management or Human Resources and the functional City Leader.

2.4.2 As a Citizen or Taxpayer, How Do I Raise a Concern With How I Was Treated?

Service issues include concerns about the treatment citizens and taxpayers receive when engaging with or being serviced by the City. Complaints about interactions with City personnel should be raised to management or via 311. Complaints that have yet to be resolved to the complainant's satisfaction should be forwarded to senior

management or Human Resources personnel (and the Functional Leader) for resolution.

Citizens and taxpayers should only use the hotline to address unresolved service issues after being brought to the attention of the area supervisor and Executive Management or Human Resources.

Complaints submitted through this Hotline or directly to the Auditor General will require support demonstrating prior escalation to area Executive Management or Human Resources and the functional City Leader.

- 2.5. Allegations logged with the CCEHP or Auditor General must have the individual submitting the allegation provide the following basic information to have the allegation considered. Allegations which do not provide the required information after two follow-ups within 30 days will be deemed closed.

The required information is:

- a) First and last name
- b) Two contact methods - preferably email and phone number, but address is also acceptable
- c) Attestation that the complainant is a citizen or taxpayer of the City of Windsor or a representative thereof
- d) Summary of the nature of the allegation
- e) Listing of all evidence and willingness to provide it
- f) Functional area the allegation relates to
- g) Summary and supporting evidence of prior attempts at escalation/resolution where the allegation relates to workplace or citizen treatment concerns.

The City of Windsor—Concerned Citizen/Employee Complaint Form will be used to capture this information online. The form may be completed online, downloaded for completion, and submitted digitally or via postal services. Where alternative completion methods are required to support the complainant, the Auditor General will contact the complainant to find submission solutions.

- 2.6. The CCEHP is for use by citizens and employees lodging complaints related to fraud, waste or misuse use of City assets. These elements are defined as:

City Assets – Includes all tangible and intangible property of the City, including but not limited to equipment, financial assets, land, vehicles, material, computers, electronic mail, internet services, information and work time;

Fraud – For this protocol, fraud includes, but is not limited to, the following acts characterized by deceit, concealment or wilful blindness to policy, procedure or appropriate practice:

- a) Forgery, alteration or fraudulent creation of documents including, but not limited to, cheques, drafts, promissory notes, securities, timesheets, purchase orders, other blank documents of value such as invoices, billing slips, permits, licenses, etc;
- b) Any misappropriation, embezzlement, unauthorized use or misuse of cash, funds, securities, supplies, furniture, equipment, materials, records or any other asset;
- c) Any irregularity in the handling or reporting of money transactions;
- d) Any intentional, false representation or concealment of a material fact for the purpose of improperly obtaining or impairing a City of Windsor asset;
- e) Demanding, requesting or accepting anything having value from vendors, consultants, contractors, or anyone doing business with the City as a condition of their doing business with the City or in order for them to receive preferential treatment from the City;
- f) Offering or providing anything having value to clients, vendors, consultants, contractors, or anyone doing business with the City as a means of obtaining preferential treatment or benefit for the employee, any other person or the City;
- g) Any intentional violations of the Corporate Conflict of Interest Policy;
- h) Any computer-related activity involving the alteration, destruction, forgery or fraudulent manipulation of data and any misappropriation of City-owned software;
- i) Any claim for reimbursement of expenses that were not incurred as a recognizable business expense for the City's benefit or that are in violation of the Corporate Business and Travel Expense policy;
- j) Authorization or receipt of payments for goods not received or services not performed other than normal prepaid expenditures;
- k) Authorization or receipt of payment for hours not worked;
- l) Any apparent violation of Federal, Provincial or local laws related to dishonest activities or fraud.

Waste refers to the inefficient use of municipal resources and any operation, process, or activity in which municipal resources may be used without due regard for value for money or where opportunities may exist to save money.

Misuse – includes unethical behaviour, wilful omission to perform one's duties, abuse of authority, theft, embezzlement, receipt of bribes, kickbacks or gifts of significant value, breach of federal, provincial or municipal legislation and significant waste of City assets;

- 2.7 The CCEHP is not intended to be a place for individuals to log complaints which represent potential violations of the Code of Conduct for Council. Individuals contacting the CCEHP with items related to the Code of Conduct will be redirected to the Integrity Commissioner's website.
- 2.8. The CCEHP process is authorized to coordinate and share high-level information with the City of Windsor's Integrity Commissioner to coordinate work and avoid duplication. Neither the Administrator nor the Auditor General will investigate in the domain of the Integrity Commissioner.
- 2.9. Allegations of a similar nature will not be investigated if an analysis has occurred within the past 12 months unless a complainant presents new information.
- 2.10. The CCEHP Administrator is responsible for handling all inbound allegations and routing them according to the procedure outlined in section 7.0 for routing allegations.
- 2.11 The production of a procedure for tracking and resolving allegations supports the Administrator's interest in handling all reported issues as professionally and quickly as possible.
- 2.12 The Administrator is committed to thoroughly and professionally documenting allegations and coordinating with the appropriate management level as to whether an investigation should be conducted. As the Administrator is acting as an agent of the City of Windsor with respect to the CCEHP, the Administrator will transcribe the inbound calls and notifications and share them with a designated contact (when required) within the City of Windsor (while preserving anonymity). As a result, the Administrator cannot be held liable for defamation, discrimination, libellous acts, or other such statements made by personnel submitting a complaint.

3.0 Annonymnity

- 3.1 All inbound allegations will be treated as anonymous when reported/referenced outside the offices of the Administrator or the Office of the Auditor General.
- 3.2 To appropriately qualify, assess and follow up on allegations, personnel employed by the Administrator or under the supervision of the Auditor General may have access to the name and contact information of the individual(s) placing the allegation.
- 3.3 Only the original complainant may waive anonymity and must do so in writing or via an email directly to the Auditor General.

- 3.4 Complainants submitting a complaint need to be aware that sometimes:
- a) preserving anonymity may limit an investigation's scope and depth.
 - b) the actual investigation of the allegation may provide management with insight into who the anonymous party is given prior interactions with management, by the complainant, on the same topic.
 - c) preserving anonymity may increase the overall investigation efforts so that the investigator can safeguard the complainant's anonymity.
- 3.5 Where an allegation is to be routed to management, the Administrator will presume anonymity is required unless explicitly waived by the Complainant within five business days of the Administrator requesting clarity on the Complaint's anonymity preference.

Such messages shall not receive a follow-up/response from management directly or through the Auditor General or the Administrator.

4.0 Confidentiality

- 4.1 All participants in an investigation are required to keep the details and results of the investigation confidential, except where disclosure is required or authorized by law.
- 4.2 The identity of an individual alleging fraud, waste or misuse, together with the identity of any individual alleged to have committed fraud, waste or misuse or involved in an investigation under this Policy, will be kept confidential and protected from disclosure as required by the Municipal Freedom of Information and Protection of Privacy Act (MFIPPA) and other applicable legislation.
- 4.3 It is understood that where an investigation results in disciplinary action, the disclosure of otherwise confidential information may be required in the context of associated legal proceedings.
- 4.4 The Auditor General, in consultation with the City Clerk as the delegated head for the purposes of MFIPPA may disclose particulars of the investigation if such disclosure would serve to further the investigation, and as appropriate.

5.0 Whistle-Blower Protection

- 5.1 The City will protect and support employees who report in good faith allegations of fraud, waste or misuse.
- 5.2 Retaliating against an employee who alleged fraud, waste, or misuse in good faith or who participated in an investigation conducted under this Protocol violates this Protocol.

- 5.3 Employees who believe they are being retaliated against should contact the WHOM.
- 5.4 The allegations of retaliation will be received and immediately investigated in the same manner as an allegation of fraud, waste or misuse under this Policy.
- 5.5 Where the investigation substantiates the allegations, the Chief Administrative Officer will be informed and the employee(s) involved will be subject to disciplinary action.
- 5.6 Employees who knowingly make false allegations will be subject to discipline up to and including dismissal.

6.0 Record Keeping and Templates

- 6.1. A representative of the CCEHP Administrator will be assigned responsibility for the initial documentation of allegations regularly.
- 6.2. A backup team member shall be assigned responsibility for administering the process in the absence of the designated representative.
- 6.3. The representative will check the voicemail, postal box and email inbox at least three days per week.
- 6.4. The representative will complete the “Notification Tracking Sheet”, which contains all the necessary information needed to keep track of all incoming allegations and document all available information, such as date, time, if a call was completed or aborted, a detailed description of the message or link to it, contact information, anonymity requests, and a classification section. See the template in Appendix B.
- 6.5. The Notification Tracking Sheet will be sequentially numbered to keep a logical order that facilitates the compilation of data for issues reporting, follow-ups and completeness. Each Notification for Consideration will be assigned a unique tracking number. The following combination of letters and numbers shall be used when assigning the tracking number to the Notification Tracking Sheet:

NTS – Stands for “Notification Tracking Sheet”

MMDDYY - 2 digits for the month the message came in, two digits for the date the message came in and two digits for the year the message came in.

– Three numerical fields for the sequential number of complaint in a given month

For example, NTS—011223 - 002 will indicate that the Notification that has been tracked was #002 and was received on December 1, 2023.

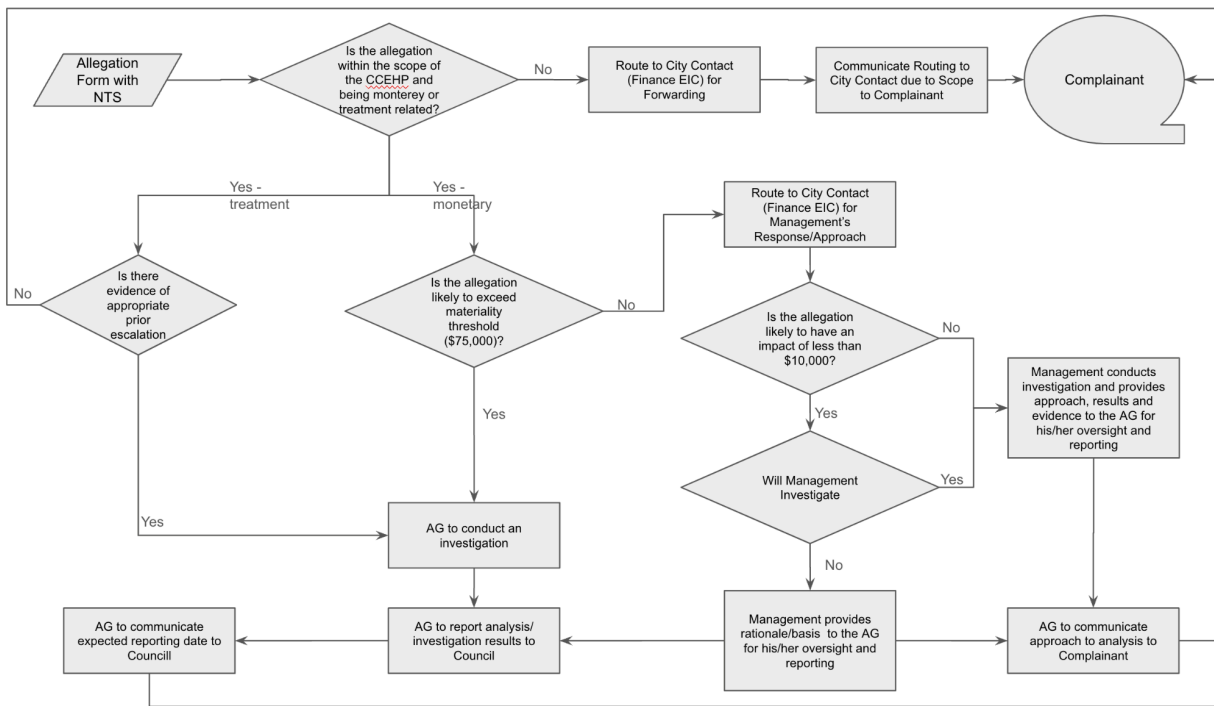
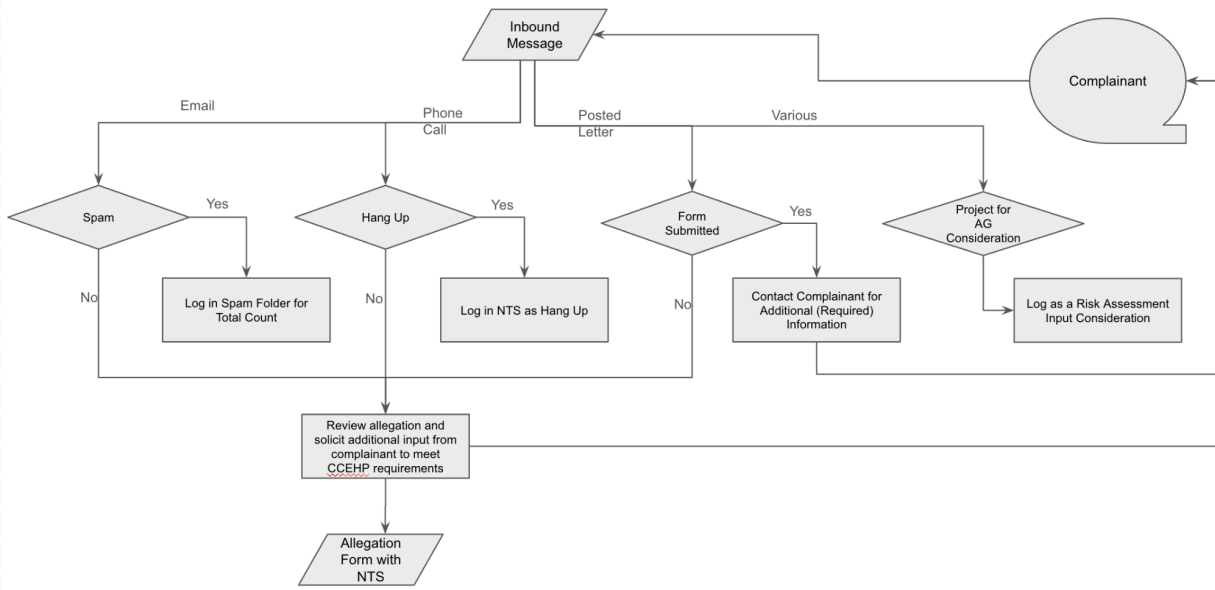
The date of receipt shall be:

- (1) the date the email system shows the message was received for email messages,
- (2) the date the call/voicemail was recorded by the system for voice-submitted messages,
- (3) the date the letter was received/picked up from the post office box for physical mail and
- (4) the date the initial conversation occurred for 1:1 items.

- 6.6 Calls, messages and notifications shall be documented by the representative, filling out the "Notification Tracking Sheet", regardless of the nature of the call (excluding spam emails) and messages (aborted calls, duration, type of issues reported). Spam emails shall not be transposed nor recorded as inbound messages. Such messages shall be filed in a mail folder, and the count per reporting period will be disclosed.
- 6.7 The individual "Notification Tracking Sheet" shall be dated by the representative and evidence of the Administrator review and escalation decision documentation.
- 6.8 The completed Notification Tracking Sheets shall be filed in the Administrators system under the Hotline/Notification Project by the representative, following the appropriate sequence described above.
- 6.9 The representative shall update the "Notification Master Log" using the individual "Notification Tracking Sheets". This log will support the preparation of the Hotline/Notification periodic reports presented to Management and Council, as indicated in the reporting section of this procedure.

7.0 ESCALATION AND DECISION CRITERIA

The following decision tree will be leveraged to help determine the appropriate resolution path:



4.1. Each inbound communication shall be evaluated to determine if it is:

- A spam message, which will be logged in a holding file,
- A hangup, logged in an NTS
- A request for a project consideration,
- A complete submission, or
- An incomplete submission.

Spam messages are not logged as an NTS but filed in an email folder for count purposes.

Hangups will be logged as an NTS.

Project request considerations will be considered inputs into the annual risk assessment/plan development activities.

Complete submissions will undergo evaluation in the subsequent phases.

Incomplete submissions will have a request for additional information issued to the complainant.

4.2 The allegation shall be documented in an NTS with supporting material for Completed submissions.

4.3 An initial assessment of the nature of the call/message/notification using the decision tree to determine whether it's related to the purpose of the CCEHP or requires action by the Administrator or Auditor General, Management or routing to another party. Considerations for determining if the allegation is within the scope of the CCEHP:

4.3.1 Allegations related to the following are not within the scope of the CCEHP:

- the Mayor or City Councillors or their political office staff (please contact the Integrity Commissions for such concerns)
- The Windsor Essex County Health Unit
- Local Boards
- Municipally Controlled Corporations
- Grant Recipients
- The Committee of Adjustment
- The Essex Region Conservation Authority
- The Windsor Public Library
- The Windsor Police Services Board (WPSB)
- The Windsor Public Library Board (WPLB)

These allegations will be routed to the primary City Contact for routing to the appropriate parties by management.

4.3.2 Allegations not related solely to City personnel or contractors.

These allegations will be routed to the primary City Contact for routing to the appropriate parties by management.

4.3.3 Allegations not related to City Assets.

These allegations will be routed to the primary City Contact for routing to the appropriate parties by management. The Auditor General may require management reporting and evidentiary support in the same manner as those reviews under \$75,000 in impact.

4.3.4 Allegations not meeting the definition of fraud, waste or misuse under this protocol.

These allegations will be routed to the primary City Contact for routing to the appropriate parties by management. The Auditor General may require management reporting and evidentiary support in the same manner as those reviews under \$75,000 in impact.

4.3.5 Allegations not likely to have an impact of \$75,000 or more in savings, recovery or additional funds.

These allegations will be routed to the primary City Contact for routing to the appropriate parties by management. The Auditor General may require management reporting and evidentiary support in the same manner as those reviews under \$75,000 in impact.

4.3.6 Where an allegation appears likely to result in potential litigation or employee discipline, the City Solicitor or Human Resources will be engaged to ensure proper protocols are administered.

4.4. The representative shall complete the "Summary of Analysis and Recommendation" containing a detailed description of the need for escalation or investigation and recommended actions and attach it to the NTS.

4.5 For "Investigations where the Auditor General has requested a management investigation with report back," management shall provide the Auditor General with a summary of actions conducted, results, and supporting evidence. It is recommended that management consult with the Auditor General on the overall planned approach prior to conducting the work.

4.10. Where possible, calls made to the Concerned Citizen/Concerned Employee Hotline shall receive a written response as to the determination of the call as to whether it will be:

- Referred to City Contact for Appropriate Routing (outside scope or materiality)
- Referred to Management for Investigation with Reporting Back to the Auditor General

- To be investigated by the Auditor General
- Escalated to City Solicitor/Human Resources, given the Nature of the Allegation

8.0 REPORTING PROCESS

- 8.1. The representative shall input the NTS tracking data for individual allegations into the “Notification Master Log”.
- 8.2. The Notification Master Log is a spreadsheet that captures in a single document a summary of all the calls and messages received through the hotline or other notification sources over a given period and the frequency of checking the notifications left via voicemail.
- 8.3. The Notification Master Log will be used in preparing quarterly and individual reports containing the historical data of messages and calls received.
- 8.4. The count of notifications in each status report will be reported on the Auditor General Performance Dashboard.
- 8.5. For Issues requiring investigation due to their nature and risks involved, the Administrator or Auditor General may require customized reports at any time and as soon as the issue is reported through the hotline.

9.0 TIMING

- 9.1. The concerned citizen/employee hotline channels will be checked daily at least three business days per week with a maximum of 1 business day lagging and a target of each business day.
- 9.2. Notifications received will be processed through the decision tree within 3-4 business days upon the latter of:
 - receipt of all required information outlined in Section 2.5,
 - receipt of complainant specification of anonymity preference,
 - five business days of seeking a Complainant’s specification of anonymity preference where there is no response.
- 9.3. Communications to management (forwarding of allegations), as appropriate, will occur within 2-3 business days after the final receipt of requested content from a complainant or the anonymity validation or waiver.

10.0 EFFORT ALLOCATION FOR CALL ANALYSIS

- 10.1 The Inbound Call Investigation budget is estimated to require 200-250 hours per year to check the phone system, email, PO Box, direct conversations and follow up for the collection of initial allegation, to summarize the inbound allegation and to work the call through the decision tree and route it appropriately. The Work Plan will reflect 225 hours in the project and 25 hours in Unallocated.
- 10.2 The time and effort required to analyze inbound allegations is an unknown factor in a given year. As such, as allegations come in, the Administrator may allocate available time from the Unallocated projects to conduct the required initial follow-up and analysis. To commence each year, 50 hours will be allocated to the CCEHP process for inbound allegation follow-up and clarification (not investigation). The Work Plan will reflect 50 hours in Unallocated.
- 10.3 Individual allegations requiring investigation will require individual effort estimates.
- 10.4 The Auditor General shall have the authority to stop, delay or postpone active/ongoing or planned work to redirect efforts to conduct projects and analysis when a complaint/allegation is lodged which may have merit. Any such changes will be reported to City Council for approval of the Plan change or for allocation of additional resources to avoid such changes to the plan.
- 10.5 The power to make such plan amendments is granted to the Auditor General based on their judgement until a plan of action and additional cost implications can be presented to and approved by Council, generally at the next planned status reporting point.

11.0 COMMUNICATION AND AWARENESS

- 11.1 Communication and awareness of the hotline process among citizens and employees directly impacts the effectiveness of the hotline and notification process. Management is responsible for ensuring that citizens and employees understand the hotline's purpose and use it appropriately to report on potential fraud, misuse, and/or abuse of city assets.
- 11.2 Management shall make the hotline contact information available to the public.
- 11.3 The information available on the public website shall include, but is not limited to, the following:
- The purpose of the hotline (to enable citizens and City of Windsor employees to provide information on suspected frauds, waste or abuse of City assets in a private, confidential and anonymous manner at the caller's discretion)
 - A statement that describes who should use the Concerned Citizen/Concerned Employee Hotline

- A statement that describes types of complaints which would not be appropriate for the hotline (customer service, complaints of a general nature, out-of-scope domains, etc.)
- Information on how to submit a complaint (phone, email, fax, mailing address)
 - Phone: (519) 980-6656 (Voicemail may be left)
 - Email: windsorcomplaint@risksavvy.ca
 - Posted Mail: Risk Savvy Ltd,
P. O. Box 790
St. Marys Stn Main, Ontario N4X 1B5
- Template (see Appendix A) of required information for submitting an alleged complaint.
- A brief description of the complaint management process (see section 12).
- A reference to the City's "Concerned Employee Policy" (2003) updated by Management to reflect current practices.
- A notice for potential implications of reporting false allegations which contain defamatory or libellous statements
- A reference to the Accountability and Transparency section of the public website - The Office of the Integrity Commissioner, including a reference to the complaint process for potential violations of the Code of Conduct for Council Members
- Definition of the terms Fraud, Waste, Misuse and City Assets

12.0 MATERIALITY GUIDELINES

12.1 The Auditor General shall only conduct analysis or investigation of any hotline call (excluding fraud) which has the potential impact, due to waste or abuse, of greater than \$75,000.

12.2 Management will be informed where a hotline call (excluding fraud) has a potential impact of less than \$75,000. Where an allegation may result in \$10,000 or less of an impact, management may draft the rationale and implication for not conducting an investigation for review, submission and reporting to City Council by the Auditor General. For allegations with a likely impact of \$10,000 to \$75,000, management will conduct an investigation, draft the overall approach, document findings and summarise results for submission to, and oversight by, the Auditor General. The Auditor General may request additional investigation before reporting the overall results to City Council.

Appendix A - City of Windsor - Concerned Citizen/Employee
Complaint Form

City of Windsor - Concerned Citizen/Employee Complaint Form

The CCEHP is for use by either residents of the community or by City of Windsor employees. It is intended for the reporting of allegations of fraud, waste or misuse of City assets. All submissions are anonymous with the details being provided to the CCEHP Administrator and personnel under the supervision of the Auditor General.

This form is not intended for conducting everyday customer service discussions. It is also not intended for complaints of a general nature by employees about City Council or management, including complaints that are normally and properly handled by personnel, payroll or health and safety.

Complaints may be filed regarding the City of Windsor:

- employees
- management
- contractors

The CCEHP process does not apply to:

- the Mayor or City Councillors or their political office staff, (please contact the Integrity Commissions for such concerns)
- The Windsor Essex County Health Unit
- Local Boards
- Municipally Controlled Corporations
- Grant Recipients
- The Committee of Adjustment
- The Essex Region Conservation Authority
- The Windsor Public Library
- The Windsor Police Services Board (WPSB)
- The Windsor Public Library Board (WPLB)

* Indicates required question

Contact Information

We will generally contact you and submit formal messages via email, but we may need to discuss some of your concerns or information directly with you.

1. First & Last Name *

2. Email Address *

3. Preferred Contact Number *

4. I hereby attest to the fact that I am a citizen or represent a taxpayer of the City of Windsor *

Check all that apply.

- I am a citizen of the City of Windsor
- I represent a citizen or taxpayer of the City of Windsor
- Other: _____

Allegation Considerations

5. Please indicate which of the following criteria apply to your complaint: *

Check all that apply.

- Fraud
- Waste
- Misuse
- Mistreatment
- Deception
- Lack of Fairness
- Breach of Confidentiality/Privacy

6. Please explain which City Assets are associated with your complaint. *

7. Given your knowledge of this allegation and the evidence you have compiled, what do you believe the economic impact to the City of Windsor to be for this complaint? *

Mark only one oval.

- Less than \$10,000
- More than \$10,000 but less than \$75,000
- More than \$75,000


Complaint Details - Allegation Information

8. Please record information about what happened and what actions occurred, who was involved, dates and times. Provide as many details as possible. *

9. You may attach a file if that assists *

Files submitted:

10. Service Area or Function *

 Dropdown

Mark only one oval.

- Parks & Facilities
- Library Services
- Recreation & Culture
- Fire & Rescue Services
- Asset Planning
- Financial Planning
- Financial Accounting
- Taxation & Financial Projects
- Engineering
- Public Works Operations
- Pollution Control
- Employment & Social Services
- Housing & Children's Services
- Huron Lodge
- Planning & Development Services
- Economic Development & Client Change
- Building Services
- Transit Windsor
- Legal & Real Estate Services
- Corporate Security
- Council Services
- Communications & Customer Services
- Purchasing, Risk Management & Provincial Offences
- Human Resources & Employee Relations
- Equity, Diversity, Inclusion, Accessibility & Indigenous Affairs
- Office of the Chief Administrative Officer
- Unknown/Not Certain

11. Persons Involved (Names, Titles (where possible)) *

12. List of Attachments or Evidence Available *

13. Summarize what steps you have taken to try and resolve your complaint, including the consideration you have submitted and what response you received. Who have you already dealt with in the city concerning your complaint? *

14. How would you like to see your complaint resolved? *

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Google Forms

Appendix B - Notification of Tracking (NTS) Template

NTS Number	NTS - MMDDYY - ###
Date Received	
Time Received	
Method of Receipt	
Complainant Name (Firs & Last):	
Contact Email:	
Contact Number:	
Anonymity	
Link to Complaint Form:	
or	
Complaint Summary:	
Step	
1 Was this a Hang Up	
2 Is the complaint form complete? Do we have all the required mimum information to assess a complaint?	
3 Does the complaint relate to any of the following entities: <ul style="list-style-type: none"> - the Mayor or City Councillors or their political office staff, (please contact the Integrity Commissions for such concerns) - The Windsor Essex County Health Unit - Local Boards - Municipally Controlled Corporations - Grant Recipients - The Committee of Adjustment - The Essex Region Conservation Authority - The Windsor Public Library - The Windsor Police Services Board (WPSB) - The Windsor Public Library Board (WPLB) 	
4 Does the allegation relate to City personnel, management or contractors?	
5 Does the allegation relate to City Assets?	
6 Does the allegation relate to fraud, waste or misuse?	
What it the expected dollar value impact of the allegation?	\$
What is the basis for this impact value?	
Categorization of Project Per Monetary Estimate	
7 Is the complaint a workplace related allegation which requires internal escaltion first?	
Summary of parties previously escalated to and outcomes.	
Categorization of Project if Workplace Issue	
8 Is the complaint a treatment related allegation which requires City escaltion first?	
Summary of parties previously escalated to and outcomes.	
Overall Analysis	
Categorization	
Responsible Party	
Where Investigation is Assigned - Key Elements for Consideration:	

NTS Number

NTS - MMDDYY - ###

Date Received

Month DD, YYYY

Time Received

12:00 AM

Method of Receipt

Email, Posted Letter, Phone Call, Conversation

Complainant Name (Firs & Last):

Sample Item

Contact Email:

sample.item@gmail.com

Contact Number:

123-456-7899

Anonymity

Assumed, Requested, Waived - Date:

Link to Complaint Form:

<https://docs.google.com/spreadsheets/d/1Xl-LTk5rfdQsldxZHUMu7hEIJVmqGlrsgOLzbAE0/edit?usp=sharing>

or

Complaint Summary:

adsasdasdfsdafsf

Step

1 Was this a Hang Up

Yes - Log as NTS - Stop Analysis

No - proceed to next step

2 Is the complaint form complete? Do we have all the required minimum information to assess a complaint?

Yes - Proceed to Next Step

No - contact complainant to collect outstanding information - record request

3 Does the allegation relate to elected officials or their staff?

No - proceed to next step

Yes - Route to Integrity Commissioner - inform complainant - stop analysis

Does the complaint relate to any of the following entities:

Yes - Route complaint to City Contact and Inform Complainant of Routing - Stop Analysis

No - proceed to next step

- The Windsor Essex County Health Unit

- Local Boards

- Municipally Controlled Corporations

- Grant Recipients

- The Committee of Adjustment

- The Essex Region Conservation Authority

- The Windsor Public Library

- The Windsor Police Services Board (WPSB)

- The Windsor Public Library Board (WPLB)

4 Does the allegation relate to City personnel, management or contractors?

Yes - proceed to next step

No - Route to management - inform complainant - stop analysis

5 Does the allegation relate to City Assets?

Yes - proceed to next step

No - Route to management - inform complainant - stop analysis

6 Does the allegation relate to fraud, waste or misuse?

Yes, fraud - consult with City Solicitor prior to proceeding

Yes, waste - proceed to next step

Yes, misuse - proceed to next step

No - relates to workplace treatment or citizen treatment - proceed to step 7 or 8 respectively

No - Route to management - inform complainant - stop analysis

What is the expected dollar value impact of the allegation?

\$

What is the basis for this impact value?**Categorization of Project Per Monetary Estimate**

Route to Management - <\$10,000 impact

Route to Management - \$10,000 to \$75,000 impact

AG Investigation

7 Is the complaint a workplace related allegation which requires internal escalation first?

Yes - no prior escalation - contact complainant and request escalation process be followed - stop analysis

Yes - prior escalation has occurred - note escalation parties and outcome - assess complaint

No - proceed to next step

Summary of parties previously escalated to and outcomes.**Categorization of Project if Workplace Issue**

Route to Management for Investigation with Reporting Back to the Auditor General

Route to Management for CAO Office Review

Auditor General to Investigate

Returned to Complainant to Follow Escalation Protocol

8 Is the complaint a treatment related allegation which requires City escalation first?

Yes - no prior escalation - contact complainant and request escalation process be followed - stop analysis

Yes - prior escalation has occurred - note escalation parties and outcome - assess complaint

No - proceed to next step

Summary of parties previously escalated to and outcomes.

Route to Management for Investigation with Reporting Back to the Auditor General

Route to Management for CAO Office Review

Auditor General to Investigate

Returned to Complainant to Follow Escalation Protocol

Overall Analysis**Categorization**

Fraud

Waste

Misuse

Workplace

Citizen Treatment

Out of Scope

Other

Responsible Party

Routed to Management

Routed to Management for Investigation and Reporting back to Auditor General

Auditor General to Investigate

Escalated to City Solicitor/Human Resources Given the Nature of the Allegation

Returned to Complainant for Escalation Compliance

Where Investigation is Assigned - Key Elements for Consideration:

1

2

3