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The slide has a dark blue vertical bar on the left side. The title 'Audit Overview' is in a large, black font. A bulleted list of four items is centered on the slide. The Auditor General logo is partially visible in the top right corner. At the bottom, there is a footer with the date 'June 22, 2022', the title 'Management of Respectful Workplaces Audit', and the page number '2'.

Audit Overview

- Lacks oversight of respectful workplace activities
- Gaps in respectful workplace activities
- HRM follows complaint resolution procedures
- Improvements needed to secure confidential files

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Detailed Results

- Strategic initiative to enhance workplace culture
- Lacks detailed plans
 - No detailed plans with objectives or performance measures
 - HR does not oversee business unit activities to provide respectful workplace
- Outstanding consultant recommendation to improve HR processes
 - Reports from 2016 and 2019
 - Lack detailed implementation plans, with timelines
 - 23 recommendations relevant to our audit – 13 still in progress



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Detailed Results

- Improved some respectful workplace policies and procedures
 - No completion timeline
 - Draft harassment prevention policy does not include:
 - How complaints against senior business unit management are handled
 - Timelines for complaint process
 - Workplace Violence Prevention Corporate Procedure not updated since 2014
 - Provides limited and outdated information on supporting documentation
- Harassment policy and violence procedure available on employee intranet and HRM's website
 - Accessibility needs improvement

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Detailed Results

- No central monitoring to address 2018 employee survey feedback
 - HRM consultant recommended focus on business units with lower responses rates and less positive feedback
 - 5 of 10 business units did not have documented plans
 - Most business units had informal plans
- Some employees who provided feedback expressed concerns related to respect in their work environment



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Detailed Results

- Improvements needed to anonymous reporting
 - Lack of whistleblower policy
 - CAO hotline protections not clear
 - Helpline information difficult to find
 - Could not determine if complaints to CAO's confidential helpline were appropriately managed



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Detailed Results

- No process to identify broader issues
 - Harassment complaint may point to workplace problems
 - No process to use feedback to identify and address workplace issues
 - Steps to address potential issues in some cases



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Detailed Results

- Respectful workplace policy training not offered regularly
 - Harassment training offered once in 2020 and 2021
 - No violence procedure training offered July 2018 - July 2021
 - Values training offered regularly
 - Management's responsibilities not covered
 - HR said business units are responsible to ensure management and staff take training
- Policy training courses have adequate content

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Detailed Results

- Complaints resolution process managed to ensure fair outcome
 - Documentation improvements needed
- Workplace complaints followed processes
- Disciplinary action taken when needed
 - Sampled 20
 - 10 investigated
 - Findings were supported and reasonable
- Violence investigation procedure followed



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Detailed Results

- No timelines for complaint resolution process
 - Process was not always timely
 - Ranged from one week to more than two years
 - HRM consultant recommended 90 days to complete
- Common feedback received from employees – related to timeliness



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Detailed Results

- No guidance for complaint file documentation, some information missing from files
 - Good job documenting analysis of complaints received
 - Some important documentation not on file
- Supporting documentation for two violence complaints sampled – not retained in system

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Detailed Results

- Confidential harassment and violence files not adequately secured
 - Individuals had access not required
 - 6 – Harassment complaints tracking spreadsheet
 - 31 – HR file room
 - 5 – Corporate safety violence files
 - Access removed when brought to management's attention
 - Harassment complaints filing cabinet key accessible
 - 108 people had access to file room
 - Only 5 required access to complaint files

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Detailed Results

- No monitoring of access to health and safety information system
 - Used to log workplace violence incidents
 - Examined access for sample of 30 employees
 - All but one had appropriate access



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Wrap Up


15 recommendations

12 accepted & 3 partially
accepted by management

HRM to implement
recommendations

Follow up in 18 months

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AUDITOR GENERAL
Halifax Regional Municipality

Questions?