



*Office of the Auditor General / Bureau du vérificateur general*

**Audit of an Allegation of Blogging on City Work Time**

**2008**

**Vérification d'allégations de blogage durant les heures  
de travail à la Ville**



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## EXECUTIVE SUMMARY

### ***Introduction***

The Audit of an Allegation of Blogging on City Time was conducted as a result of a report provided to the Fraud and Waste Hotline. It was not originally identified in the 2009 Audit Plan that was presented to Council.

### ***Background***

On November 14, 2008, the Senior Administrative Assistant, Planning Branch forwarded an e-mail with a link to a blog (<http://zeromeanszero.blogspot.com>) to the global address list for all Councillors' Assistants. She also forwarded this e-mail to the home e-mail address of the Coordinator, Strategic Support, Business Service and Evaluation Unit of the Infrastructure Services and Community Sustainability Department; as well as to her own home e-mail. In total, the link to the blog was forwarded to 37 separate e-mail addresses. One of the recipients that read the e-mail was a Councillor.

The City's Responsible Computing Policy (the Policy) governs how City employees use corporate information and information technology (IT) assets and services. It states that: "All users shall read this Policy, be familiar with their responsibility and comply with the provisions of this Policy".

The Policy permits employees to visit message boards and forums, which includes blog sites, except per Appendix A titled Website Blocking Standard of the Responsible Computing Policy blocks: "Personals and Dating, Social Networking and Personal Sites, and Web Chat categories". Sites chiefly devoted to personal expression by individuals (as in diaries or personal blogs) or small groups, often but not necessarily involving multiple links to similar sites. Management has indicated that employees are permitted to visit message boards and forums including blogs, but are blocked from contributing to these forums.

### ***Scope***

The scope of the audit included a review of:

- August 1 to November 18, 2008 Internet traffic to assess the employee's blogging activities; and,
- September 1 to November 18, 2008 e-mail correspondence.

The review of the employee's e-documentation was limited to a three-month period as the City's server drives are backed up to tape on a 90-day rotation. After 90 days, the data is overwritten as transitory records if not declared as official business records.

The audit also included a review of the employee's job description and human resources file.

## **Objectives**

**Audit Objective 1:** To assess the extent to which the employee visits blogs during regular working hours.

**Audit Objective 2:** To assess the degree to which the employee is in compliance with the Responsible Computing Policy.

## **Key Findings**

### **Extent to which the employee visits blogs during regular working hours**

1. The Senior Administrative Assistant, Planning Branch forwarded an e-mail with a link to a blog <http://zeromeanszero.blogspot.com> to the global address list of Councillors' Assistants, to the home e-mail address of the Coordinator, Strategic Support, Business Service and Evaluation Unit of the Infrastructure Services and Community Sustainability Department; as well as to her own home e-mail. Based on the information for the period reviewed, we conclude that the employee does not regularly visit blogs, but that she had demonstrated a lack in judgment by sending Councillors' Assistants an e-mail with a link to a blog. In addition, all visits to blogs occurred during regular work hours.

### **Compliance with the Responsible Computing Policy**

1. The City's Responsible Computing Policy governing staff usage of corporate information and information technology (IT) assets and services permits "incidental personal use by City staff, provided the privilege is not abused". The employee reviewed had 35% non-business e-mail usage s, equating to approximately 20 personal e-mails per day based on actual days of attendance at work.
2. The City's Responsible Computing Policy does not define what constitutes "incidental usage". As neither guidance nor parameters are provided, incidental usage is subjective.
3. Over a 3.5 month period, the employee had 14,890 Internet hits at permitted sites and 92 hits at blocked sites. Non-business related hits accounted for 95% of the employee's Internet traffic. The employee had an average of 263 hits per day, based on actual days of attendance at work.
4. The Senior Administrative Assistant, Planning Branch is responsible for providing administrative, secretarial and clerical support, ensuring confidentiality and efficient conduct of business through the office. We observed that there were two sensitive e-mails that she forwarded to her husband (also working for the branch) that were not intended for him, which

she obtained from the mailbox of the Director, Planning Branch. One e-mail related to an organizational change, and the other to the creation of a new position. This behaviour is contradictory to the skills requirement, namely exercising sound judgment, discretion and a high degree of confidentiality, as listed on the employee's job description and of those expected from a Senior Administrative Assistant. Senior level officials often give privileged access to their e-mail box to their administrative support and it is reasonable for them to expect that information sent to them will remain confidential and not be provided to unintended staff.

5. The employee did not have a performance appraisal conducted in 10 years, with the latest dated May 6, 1999.
6. The employee was involuntary terminated on March 25, 2009 due to organizational restructuring and received a nine month termination package. Our understanding is that the position will be re-staffed which indicates that an organizational restructuring was not the reason for the termination of this employee.
7. We noted that some letters pertaining to the Attendance Management Program (AMP), formerly the Attendance Improvement Program, were absent from the employee's human resources file. As the employee had past known attendance issues, it was important for these letters to have been issued to the employee and filed on the employee's human resources file. We were able to verify that the employee should have received additional letters using the AMP database provided as part of our Audit of Sick Leave Management.
8. We conclude that this employee's usage was not incidental, contravened the Policy, and may have interfered with her work duties and responsibilities. An assessment by management of the requirement for the position would be appropriate.
9. The OAG requested the electronic information from the IT Security Unit of the IM/IT Architecture and Security Division two days after a Network Analyst, Network Services Unit of Technology Infrastructure Division requested that the Senior Administrative Assistant delete a large personal folder.
  - IT management indicated that Technology Infrastructure Unit does not advise the IM/IT Architecture and Security Unit when they come across a large personal folder on an employee's H:/ drive and request that it be deleted;
  - The operational manager was not made aware of this deleted folder; and,
  - The OAG was not made aware of this deleted folder.
10. Although the Responsible Computing Policy holds the manager responsible for ensuring that their employees comply with the Policy's provisions, in this case,

the Director, Planning Branch was not advised that Network Services Unit had discovered a large personal folder in his Senior Administrative Assistant's H:/ drive and that they were requesting her to delete it.

11. Specific folder content is not tracked.
12. The review of the employee's e-documentation was limited to a three-month period as the City's server drives are backed up to tape on a 90-day rotation. After 90 days, the data is overwritten as transitory records if not declared as official business records. The Office of the Auditor General has raised in previous audits, namely the 2008 Audit of Hospitality and the 2005 Audit of Internet, that the City should keep its e-documentation for a period greater than 90 days.

## ***Recommendations***

### **Recommendation 1**

**That the City ensure all employees abide by the Corporate Responsible Computing Policy through active and documented monitoring practices.**

#### **Management Response**

Management agrees with the recommendation.

Currently, the ITS department and Labour Relations conduct two Internet usage audits per year that examine the Internet use of 50 employees for each audit cycle. Awareness reminders regarding the City's Responsible Computing Policy are provided twice weekly to all staff with network accounts. City managers are responsible for monitoring their staff and can, where warranted, request technology usage reports and work with Labour Relations when interpreting certain data sets.

### **Recommendation 2**

**That the City revise the Corporate Responsible Computing Policy to clearly define what constitutes "incidental use".**

#### **Management Response**

Management agrees with the recommendation.

The ITS department is satisfied that the Responsible Computing Policy addresses "incidental use" appropriately, however, further clarification and examples of acceptable incidental use will be communicated to City managers in Q1 2010.

### **Recommendation 3**

**That the City ensure that performance appraisals are completed for each employee yearly and filed to their human resources file and more frequently when there are known issues with an employee's performance**



### **Management Response**

Management agrees with this recommendation. This practice is currently in place.

A formal performance development process was implemented for SAS staff in 2009. This includes tools, processes and training for management staff on how to manage performance, document and complete a yearly evaluation. It includes training on how to deal with performance issues throughout an annual cycle, including the need for documentation.

One of the management accountabilities included in the MPE performance development program is the responsibility to complete annual performance appraisals for their employees.

Management bulletins advising managers of the requirement to complete annual performance appraisals, training, and updates to PDP programs are sent out periodically. All tools and processes are accessible through the Manager Info tab on Ozone.

HR will conduct random, periodic employee file reviews to ensure completeness of files, including annual appraisals.

### **Recommendation 4**

**That the City ensure that when there is a situation, such as this example, where an employee's productivity and performance are questioned, that the requirement for the position be assessed.**

### **Management Response**

Management agrees with this recommendation.

The City has numerous checks/balances in place to ensure managers address productivity and performance issues with employees towards resolution, or to re-assess the requirement for a position. They include:

- The annual budget process where management must defend their position requirements
- Annual performance reviews where management is evaluated on their ability to manage their employees (absenteeism, performance, discipline)
- Access to qualified expertise to assist them in formulating strategies/solutions to address employee productivity and/or performance issues. This includes access to specialized resources trained in job design/function with the ability to advise managers on the need for that function as part of the managers complement and mandate

- Access to training and qualified expertise on how to manage employees, productivity, and absenteeism tailored to City processes and Collective Agreement requirements

### **Recommendation 5**

**That the City ensure completeness of the employee's human resources file, including but not limited to the Attendance Management Program letters.**

#### **Management Response**

Management agrees with the recommendation.

Managers are instructed to send copies of signed letters back to the AMP Administrator, who forwards them to Records for inclusion in the employees' personnel file. The AMP Administrator will send a reminder of this requirement to all managers who are receiving employee letters for the next AMP cycle in Q3 2009.

The Human Resources department will conduct random, periodic employee file reviews to ensure completeness of files, including AMP letters.

### **Recommendation 6**

**That the City's Responsible Computing Policy be reviewed with the purpose of addressing employees' on-going receipt of non-business subscription materials, e.g., e-flyers.**

#### **Management Response**

Management agrees with the recommendation.

The Responsible Computing Policy will be revised in Q3 2010 to advise staff that they are not to use their City of Ottawa email address for non-business subscriptions.

### **Recommendation 7**

- a) That the City advise an employee's manager in all cases where the employee is found to abuse the City's IT resources, e.g., storing large files or large quantities of files not related to City business on the City network, etc.**
- b) That the City hold the manager accountable for rectifying the situation and, as appropriate, taking immediate disciplinary action with the employee, once the manager is advised of their employee's abuse.**

#### **Management Response**

Management agrees with the recommendation.

The ITS department has revised its process to include notification to an employee's manager when personal files are detected on the City network. The

Responsible Computing Policy will be revised in Q3 2010 to set out management's responsibility to rectify the situation and take disciplinary action when required.

### **Recommendation 8**

**That the City change its ITS retention period of purging all e-mails older than 90 days and change the retention period to two years which represents the statutory limitation period.**

#### **Management Response**

Management agrees with the recommendation.

In accordance with Councillor McRae's motion related to the 2008 Hospitality Audit tabled in November 2008, the ITS department had included these changes in its workplan for 2009, with a view to presenting the revised policy to Committee/Council in the early fall of 2009, following review by Executive Committee/Senior Management Committee. However, Legal Services has advised IT Services that as a result of litigation before the Divisional Court, the two-year e-mail archive should not be implemented until the court case has concluded and the decision of the Divisional Court regarding MFIPPA and personal employee e-mails has been rendered. Divisional Court will likely hear this matter either in late 2009 or in 2010, at which time the revised policy will be considered. In the interim, IT Services is proceeding with the costing of technology solutions, which will enable the policy to be implemented.

### ***Conclusion***

A Fraud and Waste Hotline report alleging that an employee may be blogging during work hours led us to audit the Senior Administrative Assistant, Planning Branch. We found that over the three and a half month period reviewed, the employee did not regularly visit blog sites. However, she had demonstrated a lack of judgment in forwarding an e-mail with a link to a blog to Councillors' Assistants.

The investigation led us to observe that the employee used both the Corporate e-mail system and Internet for non-business use and disregarded the City's Responsible Computing Policy. Closer supervision of this employee together with the completion of regular performance appraisals may have prevented this situation from occurring.

The City's general philosophy is to let managers manage without intervention from corporate units. In this case, the process failed because corporate units did not provide managers with the tools necessary to carry out their managerial responsibilities.

Our review also uncovered a need for IT to establish a process where managers are informed each time sizeable personal folders are discovered on an employee's

individual drive (i.e., H:/drive). IT Services also need to review the Responsible Computing Policy for the purpose of defining incidental personal use of the Internet and corporate e-mail system, and addressing on-going receipt of non-business related subscription materials.

### ***Acknowledgement***

We wish to express our appreciation for the cooperation and assistance afforded the audit team by management.

## RÉSUMÉ

### **Introduction**

La vérification d'allégations de blogage durant les heures de travail à la Ville a été menée à la suite d'un rapport provenant de la Ligne directe de fraude et d'abus. Elle ne figurait pas à l'origine dans le Plan de vérification 2009 présenté au Conseil municipal.

### **Contexte**

Le 14 novembre 2008, l'adjointe administrative principale, Direction de l'urbanisme, a transmis à la liste d'adresses globale des adjoints aux conseillers municipaux un courriel contenant un lien vers un blogue (<http://zeromeanszero.blogspot.com>). L'adjointe administrative l'a également transmis à l'adresse de courriel personnelle du coordonnateur du soutien stratégique, Unité des services opérationnels et de l'évaluation de Services d'infrastructure et Viabilité des collectivités et à son adresse de courriel personnelle. En tout, le lien vers le blogue a été acheminé à 37 adresses de courriel. Un conseiller municipal faisait partie des personnes qui en ont pris connaissance.

La Politique sur l'utilisation responsable des ordinateurs (la Politique) régit la façon dont les employés utilisent les renseignements administratifs ainsi que les biens et services de technologie de technologie de l'information (TI). Il y est stipulé que : « Tous les utilisateurs doivent lire cette Politique, la connaître et se conformer à ses dispositions. »

La Politique permet aux employés de visiter des babillards électroniques et des forums, y compris des sites de blogues, à l'exception des sites bloqués conformément à l'annexe A, intitulée *Normes de blocage des sites Web de la Politique sur l'utilisation responsable des ordinateurs*, soit « les sites de rencontre et à caractère intime, de réseautage social ou personnel et les sites de clavardage ». Les sites dédiés uniquement à l'expression d'opinions personnelles d'individus (tels les journaux intimes et les blogues) ou de petits groupes impliquant souvent, mais pas obligatoirement, de multiples liens vers des sites similaires. La direction a fait savoir que les employés ont la permission de visiter de tels sites et forums, y compris des blogues, mais qu'ils ne peuvent y intervenir.

### **Portée**

La portée de cette vérification s'étendait à l'examen :

- de la circulation sur Internet du 1<sup>er</sup> août au 18 novembre 2008, en vue d'évaluation les activités de blogage de l'employé; et,
- des échanges par courriel du 1<sup>er</sup> septembre au 18 novembre 2008.

La vérification de la documentation électronique de l'employée s'est limitée à une période de trois mois, puisque le contenu des disques durs du serveur de la Ville est sauvegardé sur bande pour une période de 90 jours sur rotation. Après 90 jours, les données sont écrasées et deviennent des documents temporaires s'ils ne sont pas classés documents officiels.

La vérification comprenait également un examen de la description de tâches de l'employée et de son dossier de ressources humaines.

### **Objectifs**

**Objectif de vérification 1 :** Évaluer la fréquentation des blogues par l'employée durant les heures normales de travail.

**Objectif de vérification 2 :** Évaluer à quel point l'employée se conforme à la Politique sur l'utilisation responsable des ordinateurs.

### **Principales constatations**

#### **Évaluation de la fréquentation des blogues par l'employée durant les heures normales de travail**

1. L'adjointe administrative principale, Direction de l'urbanisme, a transmis un lien vers un blogue, le <http://zeromeanszero.blogspot.com> à la liste d'adresses globale des adjoints aux conseillers municipaux, à l'adresse de courriel personnelle du coordonnateur du soutien stratégique, Unité des services opérationnels et de l'évaluation de Services d'infrastructure et Viabilité des collectivités et à sa propre adresse de courriel personnelle. Les renseignements obtenus pour la période vérifiée permettent de conclure que l'employée ne visite pas régulièrement les blogues, mais qu'elle a fait preuve d'un manque de jugement en envoyant un courriel portant un lien vers un blog aux adjoints aux conseillers municipaux. De plus, toutes ses visites de blogues ont eu lieu durant les heures normales de travail.

#### **Conformité à la Politique sur l'utilisation responsable des ordinateurs**

1. La Politique sur l'utilisation responsable des ordinateurs de la Ville, régissant la façon dont les employés utilisent les renseignements administratifs et les biens et services de technologie de l'information, permet « une utilisation occasionnelle à des fins personnelles, par le personnel de la Ville, pourvu que ce privilège ne fasse pas l'objet d'une exagération ». La vérification révèle que l'employée a utilisé son courriel à des fins personnelles dans une proportion de 35 %, ce qui équivaut à environ 20 courriels personnels par jour, en fonction du nombre de jours où elle s'est présentée au travail.
2. La Politique sur l'utilisation responsable des ordinateurs de la Ville ne définit pas clairement en quoi consiste une « utilisation occasionnelle ». Elle ne donne

pas non plus de directives ni de paramètres à cet effet, si bien que la notion relative à l'utilisation occasionnelle est subjective.

3. Sur une période de trois mois et demi, l'employée a effectué 14 890 appels de fichier (Internet) pour lesquelles elle s'est rendue sur des sites permis et 92 appels de fichier pour des sites bloqués. La proportion des appels de fichier non liés à son travail équivaut 95 % de la circulation sur Internet de l'employée. L'employée cumulait en moyenne 263 requêtes par jour, en fonction du nombre de jours où elle s'est présentée au travail.
4. L'adjointe administrative principale, Direction de l'urbanisme, est responsable du soutien administratif, du secrétariat et du soutien bureautique et doit assurer la bonne marche du bureau de manière confidentielle et efficace. Nous avons constaté qu'elle a transféré deux courriels au contenu sensible à son conjoint (travaillant lui aussi à la Direction), alors que ces courriels ne lui étaient pas destinés et qu'ils provenaient de la boîte de courriel du directeur, Direction de l'urbanisme. L'un de ces courriels avait trait à une réorganisation et l'autre, à la création d'un nouveau poste. Ce comportement est contradictoire avec les exigences professionnelles liées au poste de l'employée concernée, notamment un bon jugement, de la discrétion et un haut degré de confidentialité, comme le précise la description du poste et comme on s'y attend d'une adjointe administrative principale. Les cadres supérieurs permettent souvent à leur adjoint administratif ou adjointe administrative d'accéder à leur boîte de courriel et il est raisonnable pour eux de s'attendre à ce que l'information qui leur parvient demeure confidentielle et ne soit pas transmise à des personnes auxquelles elle n'est pas destinée.
5. L'employée n'avait pas fait l'objet d'une évaluation de rendement depuis 10 ans, la dernière datant du 6 mai 1999.
6. Le poste de cette employée a été aboli le 25 mars 2009 à la suite d'une restructuration organisationnelle et elle a reçu un forfait de cessation d'emploi de neuf mois. Nous comprenons que ce poste sera de nouveau pourvu, ce qui confirme que la réorganisation n'était pas la raison réelle de la mise à pied de cette employée.
7. Nous avons noté que certaines lettres concernant le Programme de gestion des présences (PGP), appelé autrefois le Programme d'amélioration de l'assiduité, manquaient au dossier de ressources humaines de l'employée. Or, celle-ci a eu auparavant des problèmes connus d'absentéisme; il était donc important que ces lettres soient envoyées à l'employée et placées dans son dossier de ressources humaines. Dans le cadre de notre vérification de la gestion des congés de maladie, nous avons pu voir dans la base de données du programme que cette employée aurait dû recevoir des lettres supplémentaires dans le cadre du PGP.

8. Nous en concluons que l'utilisation par cette employée n'était pas « occasionnelle », et qu'elle contrevenait à la Politique et pourrait avoir nui à ses tâches et à ses responsabilités. Une évaluation par la direction de la nécessité de maintenir ce poste serait indiquée.
9. Le Bureau du vérificateur général a demandé l'information électronique à l'Unité de la sécurité de la Division de l'architecture et de la sécurité de la GI/TI deux jours après qu'un analyste de réseaux de l'Unité des services au réseau de la Division de l'infrastructure technologique a demandé que l'adjointe administrative principale supprime un imposant dossier personnel.
  - La gestion des TI a fait savoir que l'Unité de gestion de l'infrastructure n'avise pas la Division de l'architecture et de la sécurité de la GI/TI lorsqu'elle repère un dossier personnel imposant dans l'unité de réseau personnelle H:/ et demande à l'employé concerné de le supprimer;
  - Le gestionnaire des opérations n'a pas été informé du dossier supprimé; et,
  - Le bureau du vérificateur général n'en a pas non plus été informé.
10. Même si la Politique sur l'utilisation responsable des ordinateurs de la Ville stipule que le gestionnaire doit veiller à ce que ses employés se conforment aux dispositions de la Politique, dans ce cas, le directeur, Direction de l'urbanisme, n'a pas été avisé du fait que l'Unité des services au réseau avait découvert un important dossier personnel dans l'unité de réseau personnelle H:/ de son adjointe administrative principale et que l'on lui avait demandé de le supprimer.
11. Le contenu de fichiers en particulier ne fait pas l'objet de suivis.
12. L'examen de la documentation électronique de l'employée s'est limité à une période de trois mois, puisque le contenu des disques durs du serveur de la Ville est sauvegardé sur bande pour une période de 90 jours sur rotation. Après 90 jours, les données sont écrasées et deviennent des documents temporaires s'ils ne sont pas classés documents officiels. Le Bureau du vérificateur général a soulevé cette question dans des vérifications antérieures, particulièrement lors de sa vérification des marques d'hospitalité de 2008 et de sa vérification de l'utilisation d'Internet de 2005, et affirmait alors que la Ville devrait conserver ses documents électroniques plus longtemps que 90 jours.

## ***Recommandations***

### **Recommandation 1**

**Que la Ville s'assure que tous ses employés se conforment à la Politique sur l'utilisation responsable des ordinateurs à l'aide de pratiques de surveillance actives et documentées.**



### **Réponse de la direction**

La direction est d'accord cette recommandation.

Le Service de TI et les Relations de travail effectuent présentement deux vérifications par année relatives à l'utilisation d'Internet auprès de 50 employés pour chaque cycle de vérifications. Des rappels visant à sensibiliser le personnel à la Politique sur l'utilisation responsable des ordinateurs sont envoyés deux fois par semaine à tous les membres du personnel disposant d'un compte dans le réseau. Les gestionnaires de la Ville sont tenus d'assurer la surveillance de leur personnel et peuvent, lorsque la situation le justifie, demander des rapports d'utilisation des ordinateurs et travailler avec les Relations de travail à l'interprétation de certains ensembles de données.

### **Recommandation 2**

**Que la Ville révise sa Politique sur l'utilisation responsable des ordinateurs pour que soit précisé clairement en quoi consiste une « utilisation occasionnelle ».**

#### **Réponse de la direction**

La direction est d'accord cette recommandation.

Le Service de la technologie de l'information est convaincu que la Politique sur l'utilisation responsable des ordinateurs aborde de manière adéquate la question de « l'utilisation occasionnelle »; toutefois, des éclaircissements et des exemples d'utilisation occasionnelle acceptable seront communiqués aux gestionnaires de la Ville au cours du premier trimestre de 2010.

### **Recommandation 3**

**Que la Ville s'assure que les évaluations de rendement ont lieu chaque année pour tous les employés et que les résultats de ces évaluations sont classés dans leur dossier de ressources humaines, et que ces évaluations soient plus fréquentes en cas de problèmes connus de rendement de l'employé.**

#### **Réponse de la direction**

La direction est d'accord cette recommandation. Cette pratique est déjà instaurée.

En 2009, un processus officialisé d'amélioration du rendement a été mis en place pour le personnel de SAS (supervision et soutien administratif). Ce processus comprend des outils, des processus et de la formation pour le personnel de gestion sur les moyens d'assurer la gestion du rendement, de documenter et de mener une évaluation annuelle. Le tout comprend également une formation sur la manière de faire face aux diverses questions liées au rendement au cours d'un cycle annuel, y compris la nécessité de rassembler de la documentation.

L'une des responsabilités de la direction précisée dans le Programme d'amélioration du rendement (PAR) du groupe exclu - Direction et

professionnels consiste à procéder à des évaluations de rendement annuelles de ses employés.

Des bulletins des gestionnaires avisant les gestionnaires de l'obligation de procéder à des évaluations annuelles du rendement de leurs employés, de suivre la formation et de tenir compte des mises à jour au PAR leur sont envoyés périodiquement. Tous les outils et tous les processus sont accessibles à partir de l'onglet « InfoGestionnaires » dans Ozone.

Les ressources humaines effectueront régulièrement des vérifications de dossiers de ressources humaines de membres du personnel choisis au hasard afin de s'assurer que les dossiers sont complets, y compris en ce qui a trait aux évaluations de rendement annuelles.

#### **Recommandation 4**

**Que la Ville s'assure que lorsqu'il y a une situation, comme dans le cas présent, ou un employé présente des problèmes de productivité ou de rendement, la nécessité de maintenir le poste soient examinées.**

#### **Réponse de la direction**

La direction est d'accord cette recommandation.

La Ville a mis en place de nombreux mécanismes de vérification/bilan afin de s'assurer que les gestionnaires prennent en charge les problèmes de productivité et de rendement avec les employés afin de les résoudre, ou qu'ils puissent réévaluer la nécessité de maintenir le poste. Ces mécanismes comprennent :

- Le processus du budget annuel, au cours duquel les gestionnaires sont appelés à défendre leurs exigences en matière de postes.
- Les évaluations de rendement annuelles, où les capacités de gestion du personnel (absentéisme, rendement, discipline) des gestionnaires sont évaluées.
- L'accès à des experts qualifiés pour les aider à élaborer des stratégies/des solutions aux problèmes de productivité et de rendement des employés et incluant un accès à des ressources spécialisées formées en conception de tâches/responsabilités, ayant la capacité de conseiller les gestionnaires sur la nécessité de tels postes dans le cadre du mandat ou au sein de l'équipe du gestionnaire.
- L'accès à de la formation et à une expertise qualifiée en gestion du personnel, de la productivité et de l'absentéisme, adaptée aux façons de faire de la Ville et aux exigences des conventions collectives.

### **Recommandation 5**

**Que la Ville s'assure que les dossiers de ressources humaines des employés sont complets, et comportent, sans s'y limiter, toute lettre relative au Programme de gestion des présences.**

#### **Réponse de la direction**

La direction est d'accord avec cette recommandation.

Les gestionnaires doivent envoyer des copies des lettres signées à l'administrateur du PGP, qui les achemine ensuite à l'administration des documents afin qu'elles soient classées dans le dossier personnel des employés. L'administrateur du PGP enverra un rappel de cette exigence à tous les gestionnaires recevant des lettres pour leurs employés lors du prochain cycle du PGP, au cours du troisième trimestre de 2009.

Le Service des ressources humaines effectuera des vérifications périodiques sur des dossiers d'employés choisis au hasard afin de s'assurer que les dossiers sont complets et incluent aussi les lettres relatives au PGP.

### **Recommandation 6**

**Que la Politique sur l'utilisation responsable des ordinateurs de la Ville soit révisée afin d'inclure des dispositions entourant la réception de documents non liés au travail auxquels il faut s'abonner, des infolettres, par exemple.**

#### **Réponse de la direction**

La direction est d'accord avec cette recommandation.

La Politique sur l'utilisation responsable des ordinateurs sera révisée au cours du troisième trimestre de 2010 afin qu'on y avise les employés qu'ils ne peuvent utiliser leur adresse de courriel de la Ville d'Ottawa pour s'abonner à des listes d'envoi qui ne concernent pas directement leur travail.

### **Recommandation 7**

- a) **Que la Ville avise le gestionnaire de tout employé chez qui l'on constate une mauvaise utilisation des ressources en TI de la Ville, notamment s'il garde des fichiers volumineux ou de grandes quantités de fichiers non liés à son travail dans le réseau informatique de la Ville, ou autre.**
- b) **Que la Ville tienne le gestionnaire responsable de remédier à la situation et, si nécessaire, d'imposer des mesures disciplinaires immédiates à l'employé concerné, une fois que le gestionnaire aura été avisé des abus commis par ledit employé.**

#### **Réponse de la direction**

La direction est d'accord avec cette recommandation.

Le Service de la TI a révisé ses processus afin d'inclure un avis au gestionnaire de l'employé lorsque des fichiers personnels sont repérés dans le réseau de la Ville. La Politique sur l'utilisation responsable des ordinateurs sera révisée au cours du troisième trimestre de 2010 et précisera que les gestionnaires sont responsables de corriger de telles situations et de prendre les mesures disciplinaires qui s'imposent, le cas échéant.

### **Recommandation 8**

**Que la Ville modifie la période rétention de la STI selon laquelle tous les courriels sont détruits au bout de 90 jours et fasse passer cette période à deux ans, ce qui constitue la période limite prévue par la loi.**

#### **Réponse de la direction**

La direction est d'accord avec cette recommandation.

Conformément à la motion de la conseillère McRae relative à la vérification des marques d'hospitalité de 2008, présenté en novembre 2008, le Service de TI a inclus ces modifications dans son plan de travail pour 2009, avec comme objectif de présenter une politique révisée au Comité et au Conseil municipal au début de l'automne 2009, après examen par le Comité exécutif et le Comité des cadres supérieurs. Les Services juridiques ont toutefois avisé le Service de TI qu'à la suite d'un litige devant la Cour divisionnaire, la période d'archivage de deux ans des courriels ne devra pas être mise en place aussi longtemps que la cause sera devant les tribunaux et que la décision de la Cour divisionnaire concernant la LAIMPVP et les courriels personnels des employés n'aura pas été rendue. La Cour divisionnaire va sans doute entendre la cause à la fin de 2009 ou au début de 2010, et une politique révisée sera alors envisagée. Entre-temps, le Service de TI travaille à l'évaluation des coûts de solutions technologiques dans ce dossier, lesquelles permettront la mise en œuvre de la politique.

### **Conclusion**

Un rapport de la Ligne directe de fraude et d'abus alléguant qu'une employée pourrait bloquer durant les heures de travail nous a amenés à effectuer une vérification auprès de l'adjointe administrative principale, Direction de l'urbanisme. Nous avons constaté qu'au cours des trois mois et demi visés par la vérification, l'employée n'a pas visité régulièrement des sites de blogues. Elle a toutefois fait preuve d'un manque de jugement en transmettant aux adjoints des conseillers municipaux un courriel contenant un lien vers un blogue.

Notre enquête nous a permis d'observer que l'employée utilisait à la fois le serveur de courriel de l'administration et l'accès Internet offert dans le cadre de son emploi à des fins non liées à son travail, ignorant de ce fait la Politique sur l'utilisation responsable des ordinateurs. Une meilleure supervision de cette employée et la

tenue d'évaluation du rendement plus régulières auraient peut-être prévenu cette situation.

La philosophie générale de la Ville consiste à laisser les gestionnaires faire leur travail sans qu'interviennent les unités administratives. Dans ce cas, cette façon de faire n'a pas fonctionné parce que les unités administratives n'ont pas fourni aux gestionnaires l'outil nécessaire pour exercer leurs responsabilités administratives.

Notre examen a également fait ressortir la nécessité de mettre en place un mécanisme par lequel les gestionnaires seront informés chaque fois que des dossiers personnels de taille appréciable sont découverts sur l'unité de réseau personnelle d'un employé (c'est-à-dire le H:/). Le Service de TI devra également revoir la Politique sur l'utilisation responsable des ordinateurs afin de bien définir en quoi consiste une utilisation occasionnelle personnelle d'Internet et du serveur de courriel de la Ville, de même que les abonnements à des infolettres et autre matériel non lié aux tâches des employés.

### ***Remerciements***

Nous souhaitons exprimer notre reconnaissance à la direction pour sa collaboration et pour l'aide apportée à l'équipe de vérification.



# 1 INTRODUCTION

The Audit of an Allegation of Blogging on City Time was conducted as a result of a report provided to the Fraud and Waste Hotline. It was not originally identified in the 2009 Audit Plan that was presented to Council.

# 2 BACKGROUND

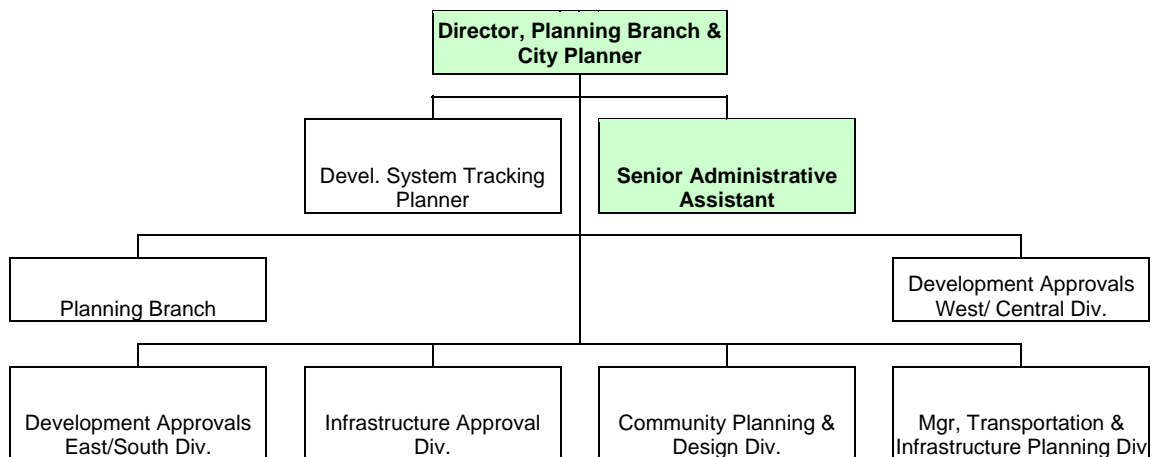
On November 14, 2008, a Councillor received an email from the Senior Administrative Assistant, Planning Branch providing a link to a blog site.

The City’s Responsible Computing Policy (the Policy) governs how City employees use corporate information and information technology (IT) assets and services. It states that: “All users shall read this Policy, be familiar with their responsibility and comply with the provisions of this Policy”.

The Policy permits employees to visit message boards and forums, which includes blog sites, except per Appendix A, titled Website Blocking Standards of the Responsible Computing Policy blocks: “Personals and Dating, Social Networking and Personal Sites, and Web Chat categories”. Sites chiefly devoted to personal expression by individuals (as in diaries or personal blogs) or small groups, often but not necessarily involving multiple links to similar sites. Management has indicated that employees are permitted to visit message boards and forums including blogs, but are blocked from contributing to these forums.

Table 1 below identifies the Branch’s key senior management positions as well as the employee. The structure is that which was in place mid-2008 prior to the City’s re-organization.

**TABLE 1: 2008 PLANNING BRANCH ORGANIZATIONAL CHART**



## 3 AUDIT OBJECTIVES AND APPROACH

### 3.1 Scope

The scope of the audit included a review of:

- August 1 to November 18, 2008 Internet traffic to assess the employee's blogging activities; and,
- September 1 to November 18, 2008 e-mail correspondence.

The review of the employee's e-documentation was limited to a three-month period as the City's server drives are backed up to tape on a 90-day rotation. After 90 days, the data is overwritten as transitory records if not declared as official business records.

The audit also included a review of the employee's job description and human resources file.

### 3.2 Objectives

**Audit Objective 1:** To assess the extent to which the employee visits blogs during regular working hours.

**Audit Objective 2:** To assess the degree to which the employee is in compliance with the Responsible Computing Policy.

## 4 OBSERVATIONS AND RECOMMENDATIONS

### 4.1 *Audit Objective 1: To assess the extent to which the employee visits blogs during regular working hours.*

On November 14, 2008, the Senior Administrative Assistant, Planning Branch forwarded an e-mail with a link to a blog (<http://zeromeanszero.blogspot.com>) to the global address list for all Councillors' Assistants. She also forwarded this e-mail to the home e-mail address of the Coordinator, Strategic Support, Business Service and Evaluation Unit of the Infrastructure Services and Community Sustainability Department; as well as to her own home e-mail. In total, the link to the blog was forwarded to 37 separate e-mail addresses. One of the recipients that read the e-mail was a Councillor. A Web log, or more commonly known as a Blog, is a Web site that contains an online personal journal with reflections, comments, and often hyperlinks provided by the writer<sup>1</sup>. In many cases, the writer remains anonymous. In our opinion, this specific blog is very critical of the Mayor, members of Council and the City administration. It is also our position that by forwarding this e-mail, the employee demonstrated a lack in judgment.

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<sup>1</sup> Merriam-Webster OnLine, 2009



As noted in the audit scope, the OAG’s analysis was limited to the three months of data provided. From August to mid-November, the employee accessed three blogs: chrispluslynn.blogspot.com; freakonomics.blogs.nytimes.com; and, zeromeanszero.blogspot.com. Based on the information for the period reviewed, we conclude that the employee does not regularly visit blogs. However, all nine visits to blogs occurred during regular work hours. Table 2 below lists the days and times when a blog was visited.

**TABLE 2: DATE AND TIME OF BLOGGING**

SITE	DD	MM	YYYY	Time	AM/PM
freakonomics.blogs.nytimes.com	15	8	2008	11:04:47	AM
freakonomics.blogs.nytimes.com	15	8	2008	11:17:17	AM
freakonomics.blogs.nytimes.com	18	8	2008	3:21:32	PM
freakonomics.blogs.nytimes.com	18	8	2008	3:34:55	PM
chrispluslynn.blogspot.com	22	9	2008	1:55:54	PM
chrispluslynn.blogspot.com	22	9	2008	2:09:39	PM
zeromeanszero.blogspot.com	14	11	2008	1:35:56	PM
zeromeanszero.blogspot.com	14	11	2008	1:43:10	PM
zeromeanszero.blogspot.com	14	11	2008	3:55:32	PM

**4.2 Audit Objective 2: To assess the degree to which the employee is in compliance with the Responsible Computing Policy.**

**4.2.1 Corporate E-mail System Usage**

The City’s Responsible Computing Policy came in effect on August 13, 2001 and was subsequently revised on March 30, 2007. It governs staff usage of Corporate information and information technology (IT) assets and services. City staff are permitted “incidental personal use, provided the privilege is not abused”. As previously mentioned, the Policy states that: “All users shall read this Policy, be familiar with their responsibility and comply with the provisions of this Policy”.

We reviewed and classified e-mails as City business, non-business and not applicable. For non-business related e-mails, we further sub-classified these to assess purpose.

Specifically, e-mails were classified and summarized as:

- City business: Normal work related communications, Grand & Toy, Staples, Office Depot, Air Canada, etc.
- Non-business: Communication with family and friends, jokes, travel-related (boat cruises), shopping, Canadian Tire, (see table 3 sub-classification), etc.
- Not applicable: automatic system generated replies: read receipts, non-read receipt, etc.

For the period reviewed, we classified the employee’s usage as follows:

**TABLE 3: UTILIZATION - CORPORATE E-MAIL SYSTEM**

OAG Classification	OAG Sub-Classification	Total	% of Personal	% of Population
<b>City Business</b>		<b>1,374</b>		<b>63%</b>
<b>Not Applicable (N/A)</b>		<b>42</b>		<b>2%</b>
Non-business	Ad	38	5%	
	Blocked	2	0%	
	Blog	40	5%	
	Business	11	1%	
	Chain Letter	5	1%	
	Diet	23	3%	
	Finance/Banking	23	3%	
	Inappropriately forwarded	2	0%	
	Job Search	4	1%	
	Joke	42	5%	
	Lottery	19	2%	
	Photos	3	0%	
	Political-US	3	0%	
	Radio	3	0%	
	Shopping	137	18%	
	Travel	7	1%	
	Undelivered	6	1%	
	Video	1	0%	
	Weblocal (Face book type)	2	0%	
	Social, Texting	293	38%	
	Newsletter, Magazine, Subscription	15	2%	
	Religion, Inspirational Quotes	97	13%	
<b>Total Non-Business</b>		<b>776</b>		<b>35%</b>
<b>Grand Total</b>		<b>2,192</b>		<b>100%</b>

The greater part of the employee's non-business related e-mails were for the purpose of socializing with family or friends, arranging purchases from the Corporate Classified Ads, receiving e-flyers e.g., Canadian Tire, Canadian Living, Jean Coutu; and receiving inspirational quotes or religious conviction oriented e-mails.

In addition, Appendix B of the Responsible Computing Policy titled Electronic Message Guidelines states that: "Employees are prohibited from sending jokes, rumours or gossip via email. These communications, which often contain objectionable material, are easily misconstrued when communicated electronically." As indicated by the above table, a total of 42 jokes were either sent or received, directly contravening the Policy. During the period reviewed, the employee did not request that jokes not be sent to her. She herself sent 13 under her e-mail account and 1 from the Director's e-mail account (joke had been sent to the Director by another Branch Administrative Assistant).

The Policy does not define what constitutes “incidental usage”. As neither guidance nor parameters are provided, incidental usage is subjective. In our opinion, 35% of non-business related e-mails constitutes more than incidental use. Based on the 38.5 days the employee was at work from September 1 to November 18, she averaged 20 personal e-mails per day.

#### 4.2.2 Internet Usage

Over the 3.5-month period of August 1 to November 18, the employee had 14,890 hits at permitted sites. We classified usage as follows:

**TABLE 4: UTILIZATION - INTERNET - PERMITTED HITS**

Classification (OAG)	Total	%	Examples of Classification
City Business	159	1%	E.g., Grand&Toy, Staple, Office Depot, Air Canada, Ontario Planners, Greater Ottawa Home Builders Ass., Conference Board, on-line dictionaries, etc.
Mix	556	4%	E.g., search engines such as Google, Yahoo, Mapquest, Canada411, etc.
Non Business	11,966	80%	E.g., productivity: advertisement or site which cannot be viewed via Internet Explorer, etc.
Non-Business	2,209	15%	E.g., Airmiles, religion, travel (cruises), radio stations, weight loss, education, shopping, news, etc.
<b>Grand Total</b>	<b>14,890</b>	<b>100%</b>	

Non-business related hits amounted to 95% of the employees Internet traffic. The amount of “pop-ups” present on the sites visited may be the cause for the large number of hits, which cannot be viewed via Internet Explorer

Pop-up ads or pop-ups refers to online advertising on the web intended to attract web traffic or capture e-mail addresses. It works when certain web sites open a new web browser window to display advertiments. A variation on the pop-up window is the pop-under advertisement, which opens a new browser window hidden under the active window. Pop-underes do not interrupt the user immediately and are not seen until the covering window is closed, making it more difficult to determine which web site opened them.<sup>2</sup>

The following table provides the average daily number of hits for the period reviewed. The employee had an average of 263 hits per day, based on actual days of attendance.

<sup>2</sup> <http://en.wikipedia.org/wiki/Pop-up>, 2009

**TABLE 6: AVERAGE HITS PER DAY**

Months (2008)	Workable Days	Absence Days	Days Employee at work	Hits per Month (Permitted)	Hits per Month (Blocked)	TOTAL Monthly Hits	Average Hits per Day (rounded)
Aug	20	1.5	18.5	4,411	20	4,431	240
Sept	21	11.0	10.0	4,498	32	4,530	453
Oct	22	3.5	18.5	4,861	32	4,893	264
Nov. (til 18)	11	1.0	10.0	1,120	8	1,128	113
<b>Total for period</b>	<b>74</b>	<b>17.0</b>	<b>57.0</b>	<b>14,890</b>	<b>92</b>	<b>14,982</b>	<b>263</b>

While the employee was absent approximately half of September, this month accounted for the highest number of hits.

Over the same period, the employee was blocked from 92 hits. All are classified non-business – based on a review of the sites classification and as we are making an assumption that legitimate work sites would not be blocked from staff. Internet classification for these sites is as follows:

**TABLE 5: UTILIZATION - INTERNET - BLOCKED HITS**

System Generated (Websense) Classification	Count	Percent of Count
Entertainment: MP3 and Audio	1	1%
Games	6	7%
Illegal or Questionable	1	1%
Internet Communication: Gene	3	3%
Internet Communication: Yaho	1	1%
Security: Malicious Web Site	1	1%
Shopping: Internet Auctions	3	3%
Society and Lifestyles: Pers	1	1%
Society and Lifestyles: Soci	7	8%
User-Defined: Bandwidth Inte	49	53%
User-Defined: Bandwidth Stre	19	21%
<b>Totals</b>	<b>92</b>	<b>100%</b>

### **Recommendation 1**

**That the City ensure all employees abide by the Corporate Responsible Computing Policy through active and documented monitoring practices.**

#### **Management Response**

Management agrees with the recommendation.

Currently, the ITS department and Labour Relations conduct two Internet usage audits per year that examine the Internet use of 50 employees for each audit cycle. Awareness reminders regarding the City's Responsible Computing Policy are provided twice weekly to all staff with network accounts. City managers are responsible for monitoring their staff and can, where warranted, request technology usage reports and work with Labour Relations when interpreting certain data sets.

## **Recommendation 2**

**That the City revise the Corporate Responsible Computing Policy to clearly define what constitutes "incidental use".**

### **Management Response**

Management agrees with the recommendation.

The ITS department is satisfied that the Responsible Computing Policy addresses "incidental use" appropriately, however, further clarification and examples of acceptable incidental use will be communicated to City managers in Q1 2010.

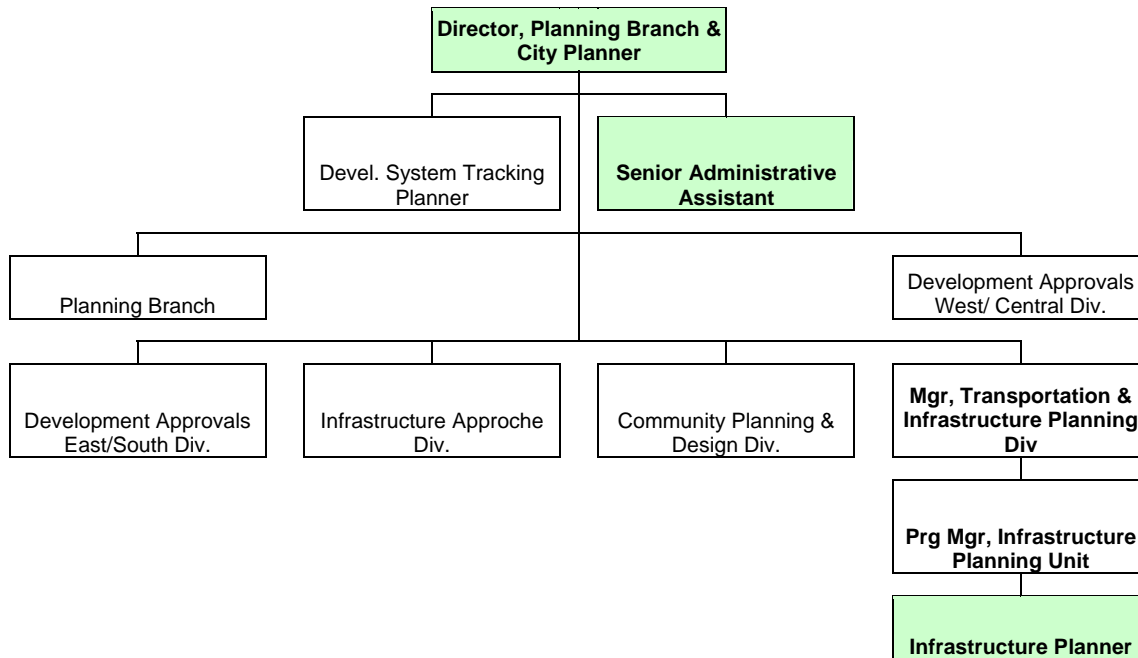
### **4.2.3 Senior Administrative Assistant – Position Requirements**

The employee reviewed holds the position of Senior Administrative Assistant, Planning Branch. She is responsible for providing administrative, secretarial and clerical support, ensuring confidentiality and efficient conduct of business through the office.<sup>3</sup> The position is compensated at pay grade 11 earning from \$44,800 to \$52,500 annually. In addition, a requirement for "exercising sound judgment, discretion and a high degree of confidentiality" is noted under the Competencies/Skills and Abilities section of the Senior Administrative Assistant's job description.

Table 6 below identifies the Branch's key senior management positions in mid-2008, the employee reviewed as well as the position held by her husband, also an employee of the Branch. Her husband holds the position of Infrastructure Planner, which is not considered a managerial position.

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<sup>3</sup> City of Ottawa, Job Description

**TABLE 6: 2008 PLANNING BRANCH ORGANIZATIONAL CHART**


We observed two sensitive e-mails that the employee forwarded to her husband that were not intended for him. These two e-mails had been sent to the Planning Branch Director's e-mail box. One e-mail related to an organizational change and the other, to the creation of a new position. Because the e-mails were in the Director's e-mail box, they were forwarded under "Senior Administrative Assistant's Name; on behalf of; Director's Name". On November 5, 2008, the Senior Administrative Assistant forwarded an e-mail, which her Director had been copied on three minutes earlier. Later that day she again forwarded an e-mail from her Director's e-mail box, which had been sent directly to him nine minutes earlier. This behaviour is contradictory to the skills requirement listed on the employee's job description and of those expected from a Senior Administrative Assistant. Senior level officials often give privileged access to their e-mail box to their administrative support. It is reasonable for them to expect that information sent to them will remain confidential and not be provided to unintended staff.

A review of the employee's human resources file revealed that a performance appraisal had not been conducted in 10 years with the latest dated May 6, 1999. The human resources file also revealed that as at March 25, 2009, the employee was involuntary terminated due to organizational restructuring and received a nine-month termination package. Our understanding is that the position will be re-staffed which indicates that an organizational restructuring was not the reason for the termination of this employee.

We noted that some letters pertaining to the Attendance Management Program (AMP), formerly the Attendance Improvement Program, were absent from the

employee's human resources file. As the employee had past known attendance issues, it was important for these letters to have been issued to the employee and filed on the employee's human resources file. We were able to verify that the employee should have received additional letters using the AMP database provided as part of our Audit of Sick Leave Management.

Our e-mail review identified that this employee is on various mailing lists and receives newsletters, e-flyers, inspirational quotes, e.g., Canadian Tire, Canadian Living, Jean Coutu e-Flyer, etc. The Policy does not specifically address the on-going receipt of non-business related materials to which an employee may have subscribed.

As previously noted, for the period reviewed, this employee's use of the corporate e-mail to communicate with family and friends, to shop, to receive e-flyers and inspirational quotes, exceeds the "incidental" permitted use of the Policy.

In addition, we observed Excel spreadsheets of personal finances (monthly revenue and expenses) that may have been created during work hours and e-mailed either to her husband or home. This contravenes the Policy, which instructs that: "Access to IT services and work tool are provided for legitimate business use in the course of assigned duties".

We conclude that the usage was not incidental, contravened the Policy, and may have interfered with the employee's work duties and responsibilities. An assessment by management of the requirement for the position would be appropriate. In addition, no appraisal of the employee's performance had been conducted in ten years.

### **Recommendation 3**

**That the City ensure that performance appraisals are completed for each employee yearly and filed to their human resources file and more frequently when there are know issues with an employee's performance.**

#### **Management Response**

Management agrees with this recommendation. This practice is currently in place.

A formal performance development process was implemented for SAS staff in 2009. This includes tools, processes and training for management staff on how to manage performance, document and complete a yearly evaluation. It includes training on how to deal with performance issues throughout an annual cycle, including the need for documentation.

One of the management accountabilities included in the MPE performance development program is the responsibility to complete annual performance appraisals for their employees.

Management bulletins advising managers of the requirement to complete annual performance appraisals, training, and updates to PDP programs are sent out periodically. All tools and processes are accessible through the Manager Info tab on Ozone.

HR will conduct random, periodic employee file reviews to ensure completeness of files, including annual appraisals.

#### **Recommendation 4**

**That the City ensure that when there is a situation, such as this example, where an employee's productivity and performance are questioned, that the requirement for the position be assessed.**

##### **Management Response**

Management agrees with this recommendation.

The City has numerous checks/balances in place to ensure managers address productivity and performance issues with employees towards resolution, or to re-assess the requirement for a position. They include:

- The annual budget process where management must defend their position requirements
- Annual performance reviews where management is evaluated on their ability to manage their employees (absenteeism, performance, discipline)
- Access to qualified expertise to assist them in formulating strategies/solutions to address employee productivity and/or performance issues. This includes access to specialized resources trained in job design/function with the ability to advise managers on the need for that function as part of the managers complement and mandate
- Access to training and qualified expertise on how to manage employees, productivity, and absenteeism tailored to City processes and Collective Agreement requirements

#### **Recommendation 5**

**That the City ensure completeness of the employee's human resources file, including but not limited to the Attendance Management Program letters.**

##### **Management Response**

Management agrees with the recommendation.

Managers are instructed to send copies of signed letters back to the AMP Administrator, who forwards them to Records for inclusion in the employees' personnel file. The AMP Administrator will send a reminder of this requirement



to all managers who are receiving employee letters for the next AMP cycle in Q3 2009.

The Human Resources department will conduct random, periodic employee file reviews to ensure completeness of files, including AMP letters.

### **Recommendation 6**

**That the City's Responsible Computing Policy be reviewed with the purpose of addressing employees' on-going receipt of non-business subscription materials, e.g., e-flyers.**

#### **Management Response**

Management agrees with the recommendation.

The Responsible Computing Policy will be revised in Q3 2010 to advise staff that they are not to use their City of Ottawa email address for non-business subscriptions.

### **4.2.4 Information Technology Services Branch**

The OAG requested the electronic information from the IT Security Unit of the IM/IT Architecture and Security Division on November 15, 2008. At that time, we were not advised that two days earlier, a Network Analyst, Network Services Unit of Technology Infrastructure Division requested that the Senior Administrative Assistant delete a folder.

- IT management indicated that Technology Infrastructure Unit does not advise the IM/IT Architecture and Security Unit when they come across a large personal folder on an employee's H:/ drive and request that it be deleted;
- The operational manager was not made aware of this deleted folder; and,
- The OAG was not made aware of this deleted folder.

Section 2.2 Business and Personal Use of the Policy states that: "Users shall not store large files or large quantities of files not related to City business on the City network." On November 13, 2008 the Network Analyst requested that the employee delete a folder called "Personal" which was 1.96 GB in her H:/ drive as the drive was 2.7 GB in size and as the data in "Personal" was not work related. The employee's H:/ drive had tripled from November 5, when it was 747 MB. For comparison, a CD has a 700 MB storage capacity.

We were informed that the Network Services Unit of Technology Infrastructure Division monitors disk space on servers on a daily basis. Investigations of H:/ drives are undertaken when a server loses a significant amount of disk space. A

guideline on Handling Excessive Amount of Personal Files is available to Network Analysts.

Although the Responsible Computing Policy holds the manager responsible for ensuring that their employees comply with the Policy's provisions, an employee's manager is only notified if the employee does not comply and delete/remove the folder within the provided deadline. We were informed that music, movies and/or pictures are usually found in personal folders of that size; however, the Network Analyst who discovered the folder could not recall verifying what was contained in this specific folder and advised us that content is not tracked. The Network Analyst could also not restore the folder requested by the OAG because of the 90-day information retention limit.

In this case, the Director, Planning Branch was not advised that Network Services Unit had discovered a large personal folder in his Senior Administrative Assistant's H:/ drive and that they were requesting her to delete it. Managers cannot take the necessary steps to remedy a situation they are not aware of.

The IT Security Unit of the IM/IT Architecture Division advised us that they did not inform us of the deletion of the folder at the time of our request for information as they themselves were unaware of it as the Network Services Unit of Technology Infrastructure Division do not inform them each time such a folder is discovered.

As previously mentioned, the review of the employee's e-documentation was limited to a three-month period as the City's server drives are backed up to tape on a 90-day rotation. After 90 days, the data is overwritten as transitory records if not declared as official business records. The Office of the Auditor General has raised this in previous audits, namely the 2008 Audit of Hospitality and the 2005 Audit of Internet, that the City should keep its e-documentation for a period greater than 90 days.

### **Recommendation 7**

- a) **That the City advise an employee's manager in all cases where the employee is found to abuse the City's IT resources, e.g., storing large files or large quantities of files not related to City business on the City network, etc.**
- b) **That the City hold the manager accountable for rectifying the situation and, as appropriate, taking immediate disciplinary action with the employee, once the manager is advised of their employee's abuse.**

### **Management Response**

Management agrees with the recommendation.

The ITS department has revised its process to include notification to an employee's manager when personal files are detected on the City network. The Responsible Computing Policy will be revised in Q3 2010 to set out

management's responsibility to rectify the situation and take disciplinary action when required.

### **Recommendation 8**

**That the City change its ITS retention period of purging all e-mails older than 90 days and change the retention period to two years which represents the statutory limitation period.**

#### **Management Response**

Management agrees with the recommendation.

In accordance with Councillor McRae's motion related to the 2008 Hospitality Audit tabled in November 2008, the ITS department had included these changes in its workplan for 2009, with a view to presenting the revised policy to Committee/Council in the early fall of 2009, following review by Executive Committee/Senior Management Committee. However, Legal Services has advised IT Services that as a result of litigation before the Divisional Court, the two-year e-mail archive should not be implemented until the court case has concluded and the decision of the Divisional Court regarding MFIPPA and personal employee e-mails has been rendered. Divisional Court will likely hear this matter either in late 2009 or in 2010, at which time the revised policy will be considered. In the interim, IT Services is proceeding with the costing of technology solutions, which will enable the policy to be implemented.

## **5 CONCLUSION**

A Fraud and Waste Hotline report alleging that an employee may be blogging during work hours led us to audit the Senior Administrative Assistant, Planning Branch. We found that over the three and a half month period reviewed, the employee did not regularly visit blog sites. However, she had demonstrated a lack of judgment in forwarding a blog to Councillors' Assistants.

The investigation led us to observe that the employee used both the Corporate e-mail system and Internet for non-business use and disregarded the City's Responsible Computing Policy. Closer supervision of this employee together with the completion of regular performance appraisals may have prevented this situation from occurring.

The City's general philosophy is to let managers manage without intervention from corporate units. In this case, the process failed because corporate units did not provide managers with the tools necessary to carry out their managerial responsibilities. Our review also uncovered a need for IT to establish a process where managers are informed each time sizeable personal folders are discovered on an employee's individual drive (i.e., H:/ drive). IT Services also need to review the Responsible Computing Policy for the purpose of defining incidental personal use

of the Internet and corporate e-mail system and addressing on-going receipt of non-business related subscription materials.

## **6 ACKNOWLEDGEMENT**

We wish to express our appreciation for the cooperation and assistance afforded the audit team by management.