# Manitoba Ombudsman Jurisdiction and Practice

Once Elected.....What is Expected?
Newly Elected Municipal Official Training Seminar 2015

### Offices and staff





An independent office of the Legislative Assembly of Manitoba established in 1970 to support and promote principles of fairness, equity and accountability

#### Staff of 32, with two divisions:

- Access and Privacy Division
- Ombudsman Division
  - includes dedicated PIDA team
  - Includes child welfare review unit

#### and two offices:

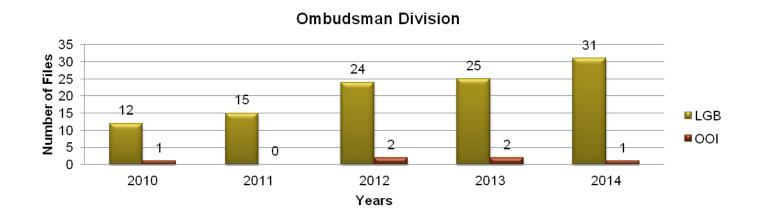
- Winnipeg 500 Portage Avenue
- Brandon 1011 Rosser Avenue

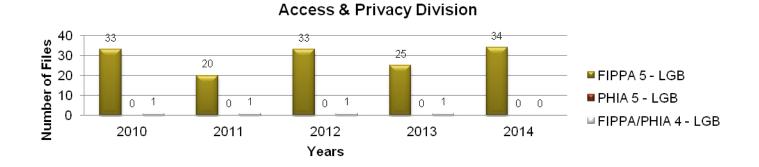
# Ombudsman oversight

The ombudsman has broad powers of investigation established by law under:

- The Ombudsman Act (1970)
- The Personal Health Information Act (1997)
- *The Freedom of Information and Protection of Privacy Act* (1998)
- The Public Interest Disclosure (Whistleblower Protection)
   Act (2007) (PIDA does not apply to municipalities)

# Municipal investigations





### The Ombudsman Act

#### Investigations

- 15 The Ombudsman may, on a written complaint or on his own initiative, investigate
  - (a) ...
  - (b) any decision or recommendation made, including any recommendation made to a council, or any act done or omitted, relating to a matter of administration in or by any municipality or by any officer or employee of a municipality, whereby any person is or may be aggrieved.

### "Matters of administration"

"The phrase 'a matter of administration' encompasses everything done by governmental authorities in the implementation of government policy, regardless of whether the implementation of those policies involves matters of proprietary, commercial or business concern. Only the activities of the legislature and the courts are excluded from the Ombudsman's scrutiny."

British Columbia Development Corporation v. Friedmann (Ombudsman)
[1984] 2 S.C.R. 447
Supreme Court of Canada 1984

### In practical terms...

Is there a matter of administration to be investigated?

- A practice, procedure or decision that is inconsistent with or contrary to policy, regulation or statute or by-law.
- An act, decision or omission that is procedurally, substantively, or relationally unfair.
- A failure to fulfill a statutory mandate or obligation.

### Fairness defined

Think of fairness as a concept with three components or parts, such as a triangle with three sides or a tripod with three legs. Each side or leg is an important part of the whole — the structure would not be sounds if any piece was missing or broken.

P. P. Ceodulal Relational **Fairness Triangle** 

If fairness were a triangle, its three sides would be procedural fairness, substantive fairness and relational fairness.

**Substantive** 

# Fairness defined, continued...

- Procedural fairness relates to how decisions are made – the steps to be followed before, during and after decisions are made;
- Substantive fairness relates to the fairness of the decision itself; and
- Relational fairness relates to how people are treated during the decision making process and now they feel about the process and the outcome.

For more details on the three aspects of fairness, see our guide Understanding Fairness: A Handbook on Fairness for Manitoba Municipal Leaders.

# Most complained-about issues

#### Most complained-about issues

Local improvement plans for large infrastructure projects (sewer/wastewater/water and others)

**Subdivisions** 

Conditional use decisions

Conflict of interest

Council meeting procedures (for example, in-camera meetings)

Development plans

By-law enforcement

Tendering processes

Municipal road and ditch maintenance

## A complaint to the ombudsman

#### Here's what to expect:

- Attempt at informal resolution
- Written notice
- Thorough investigation impartial and courtesy
- No surprises
- Goal of improved administration

### Power to investigate

- 30(1) Subject to section 31, the Ombudsman may require any person who, in his opinion, is able to give any information relating to any matter being investigated by him
  - (a) to furnish the information to him; and
  - (b) to produce any document, paper or thing that in his opinion relates to the matter being investigated and that may be in the possession or under the control of that person;
- 30(2) The Ombudsman may summon before him and examine on oath
  - (a) any person who is an officer or employee or member of any department, agency of the government or municipality and who in the opinion of the Ombudsman is able to give any information relating to any matter being investigated by him;
  - (b) any complainant; and
  - (c) any other person who in the opinion of the Ombudsman is able to give any information relating to any matter being investigated by him.
- 35(1) For the purposes of this Act, the Ombudsman may at any time enter upon the premises occupied by any department, agency of the government or municipality and, subject to section 31, carry out therein any investigation within his jurisdiction.

# Findings and conclusions

- **36(1)** Where, after making an investigation under this Act, the Ombudsman is of opinion
- (a) that a decision, recommendation, act or omission that is the subject matter of the investigation appears to have been
  - i. contrary to law, or
  - ii. unreasonable, or
  - iii. unjust, or
  - iv. oppressive, or
  - v. improperly discriminatory, or
  - vi. in accordance with a practice or procedure that is or may be unreasonable, unjust, oppressive, or improperly discriminatory, or
  - vii. based wholly or partly on a mistake of law or fact, or
  - viii. wrong; or
- (b) that in making a decision or recommendation, or in doing or omitting an act, a power or right has been exercised
  - i. for an improper purpose, or
  - ii. on irrelevant grounds, or
  - iii. on the taking into account of irrelevant considerations; or
- (c) that reasons should have been given for a decision, recommendation, act or omission that was the subject matter of the investigation; the Ombudsman shall report his opinion and his reasons and may make such recommendations as he thinks fit
- (d) to the appropriate minister and to the department or agency of the government concerned; or
- (e) to the appropriate head of council.

#### Power to recommend

- **36(2)** Without limiting the generality of subsection (1), in making a report under subsection (1), the Ombudsman may recommend
  - a) that a matter should be referred to the appropriate authority for further consideration; or
  - b) that an omission should be rectified; or
  - c) that a decision should be cancelled or varied; or
  - d) that any practice on which a decision, recommendation, act or omission was based should be altered or reviewed; or
  - e) that any law on which a decision, recommendation, act or omission was based should be reconsidered; or
  - f) that reasons should be given for any decision, recommendation, act or omission; or
  - g) that any other steps should be taken.

# Reporting

#### Report considered at closed meeting

**36(3)** Where the Ombudsman reports to a head of council under clause (1)(e), the head of council shall at the next meeting of council close the meeting to the public in accordance with *The Municipal Act* or *The City of Winnipeg Charter*, as the case may be, and council shall meet as a committee to discuss the report.

#### Notice of proposed steps

**37(1)** Where the Ombudsman makes a recommendation under section 36, he may request the department, agency of the government or municipality to notify him within a specified time of the steps that it has taken or proposes to take to give effect to his recommendations.

#### Further report on recommendations

- 37(2) If within a reasonable time after a request respecting recommendations is made under this section, no action is taken which seems to the Ombudsman to be adequate and appropriate, the Ombudsman, in his discretion, after considering the comments, if any, made by or on behalf of the department, agency of the government or municipality affected, may report the matter, including a copy of the report containing the recommendations,
  - (a) in the case of a report under clause 36(1)(d), to the Lieutenant Governor in Council; and
  - (b) in the case of a report under clause 36(1)(e), to the head of council; and may mention the report in the Ombudsman's next annual report to the Assembly.

#### Comments included in report

**37(3)** Any report made under subsection (2) shall include any comments made by or on behalf of the department, agency of the government or municipality upon the opinion or recommendation of the Ombudsman.

#### Report tabled at council meeting

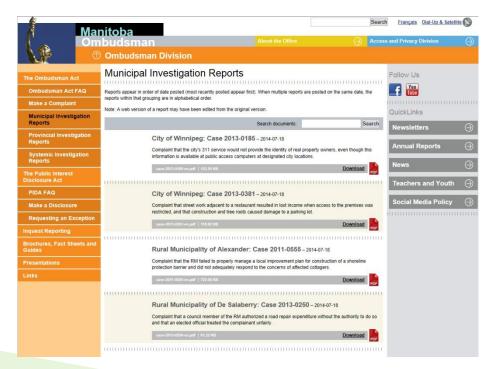
Where the Ombudsman reports to the head of council under clause (2)(b), the head of council shall table the report at the next meeting of council.

# Public reporting

#### **Publication of reports**

43 In the public interest, or in the interest of a person, department, agency of the government or municipality, the Ombudsman may publish reports relating generally to the exercise and performance of his functions and duties under this Act or to any particular case investigated by him, whether or not the matters to be dealt with in the report have been the subject of the report made to the assembly under this Act.

"We often say that one of our goals is to help municipal and provincial governments improve administration. Sharing our investigative findings and conclusions can help us achieve that goal."



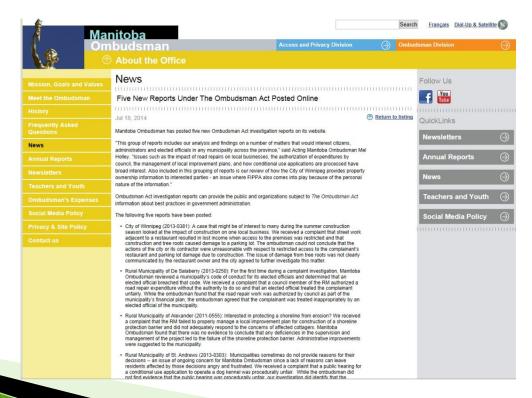
#### Media interest

#### **Private investigations**

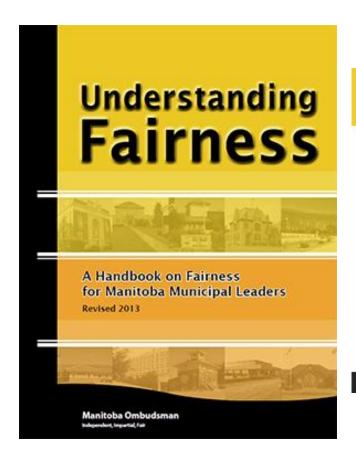
26 Every investigation by the Ombudsman under this Act shall be conducted in private.

A Manitoba Ombudsman news release is issued when reports are

posted publicly.



### For more information



#### Conflict of Interest for Municipalities

#### Manitoba Ombudsman

the interest that they have in common with other citizens of the municipality. It could be concluded that the interest.

might influence the exercise of his or

Nameful to public confidence as

actual conflict. Once a connection

between personal interests and public decisions is made, it can be difficult to demonstrate that a decision was not influenced by personal interest.

What is conflict of interest?

Simply stated, conflict of interest occurs when the personal interest of a council member conflicts with the public interest sents in in the best interest of the entire municipality, or with his or her duty us a public official.

Conflict can arise from porouniary ginancialy interests, where a council member might benefit franciatly from a declarency action of council. This could methe using leader information gained in the counse of their official duties for financial gain,

fair decision making

Why does conflict of interest matter?

box for standards of procedural formers.

soutinized by the courts or the ombudaman.

All decision making bodies, including municipal councils, are required to affilind procedural fairness to those afforded by their decisions pair the side

When musting a procedurally far decision, a decision maker must be impartial or installated and efficient a personal interest in the solutions of a decision. This standard makes that each decisions are must be council, each professual council mismber must be impartial unbiased and without a personal inferred in the mustim under consideration.

a country creation by councit, and that council member participates in the incidentation by councit, and that council member participates in the inciden making process, it could be determined that such a decision wa use in a procedurally unfair manner or the decision toelf way unfair, if

Under The Ornbuckman Art. Marktoba Ornbuckman has the authority

Under The Comboulums ACL Manistroid Chebushinan has the authority to investigate actions or declines relating to emulsion of administration made by a manistroiding, its employees or officers. At the conclusion of such an investigation is which confict of interest has been alleged, the oriblodinans could find that the participation of a council member was

consumption of our met in the participation of a count of method was sufficiently sitted in the count of the participation of a count of the count of the the count of the which it is not made unreadonable, unjust, of the participation or the property distribution of the count of the count of the count of the such a decision was contained to the other count of the count of the findings, the decision was contained to the time the such as the count of the findings, the decision was contained to a such count of the findings, the decision was contained to a such as the participation of the count of the count of the count of the participation of the count of the count of the count of the participation of the count of the count of the count of the participation of the count of the count of the count of the participation of the count of the count of the participation of the count of the count of the participation of the count of the count of the participation of the count of the count of the participation of participation of the participation of partic

council that any decision be cancelled or varied, or that any other dept be

When making a procedurally fair decision, a decision maker must be

If a council member has a memoral interest in the matter under

or purposefully influencing council to enter into a contract or some other transaction for financial gain.

Conflict, or the perception of conflict, can also occur even when there is no fluencial littles, such as when a council member is seen to be too close to the persists on one side of a disjuste or proposal, or when a souncil member's access to be at odds with one of the perfect, in any shouldon where a consort member has a personal releval in a multimologism.

Procedural fairness relates to the

Ner public duties.

procedural februsic requires that:
- persons who will be affected by a decision are given advance notice that a decision will be made.

- persons effected by a decision are given the information that will be considered when a decision in made
   persons effected by a decision are given a recent glid apportunity to take as present their case.
- open or present their case

  persons effected by a decision are
  given an opportunish to challenge or
  dispote any efformation that reglyt
  be containly to their position when a
  decision is being made.
- the decision makes be thorough and thoughtfully review all the information penedded by persons affected by a decision.
- the decision makes he imported toolstased and without a personal includes of an extract a personal facilities and open to personal decisions and open to personal two decision makes give maningful masses, for the decision that are understandable to present affected

taken to remody the shullon.

Municipal lower Series: Fact Sheet 1 (November 2014)

#### Public Hearings for Municipalities

#### Manitoba Ombudsman Generals, council remotions conducting a public hearing with hour presentations from individual and dissipations and said questions about information presented at the hearing an incompany. Public hearing processors should

guide the process to ensure that a hearing is conducted tails: Public hearing procedures are typically established in a manicipality's procedures by-law.

Public hearings must be held under the Municipal Act

 Presentation of the annual fearant's plan of the manipulity publishtion 162(2):
 Revisions in the apporting budget that increases transfers from regular and morrows, increases tax revenus, or transact epithanium in the capital budget (understice 162(2)):

intention to opend from a special purpose reserve for a different purpose (subsection

 Proposal for local improvements/special services section 318)

Public hearings are required under The Planning Act for A pergonal to adopt or around a development plan precision 40;

An application to subdivide property which results in the creation of a new public road

- An application for conditional use trection 10%

Apergocal to adopt or amend a soning by law pulsection 74(1)

An application to vary requirements of a zuning by-law pection (4)

their steep and opinions on musters that affect them. See below for the circumstances in which formal public hearings must be held in addition to the explainments set out in Jay a municipality may also hold a public hearing for any other muster it discours.

#### A closer look at public hearings

Public hearings generally full into two types.

Some public hearings occur when council is seeking input from others on financial plans, budget matters, social representations, benediction of plans, and on in Article services and the properties of the properties of wider number of others, possibly the errors transquality, at these base of public hearings, council particle public on a cartain matter, or present its plans, for the public on a cartain matter, or present its plans, for the public council will be in a better position to make an informed deciding.

A different kind of public houring occurs when council is string in an elementative showled les opposity to hear opposing position rate perfect what should be a countil to hear opposing position rate perfect when stated to a condition of the application is required to the strain of the account of the perfect perfect is stated on the height right of strain partial indication based on the information permeated by parties and entireless at the hearing and will not date a position but inther emister a decision at the order of a hearing point of all the hearing and will not date a position but inther emister a decision at the ord of a hearing point.

Understanding the context of the public hearing is important to ensure that each type of public hearing is conducted fairly.

#### Tips for conducting fair public hearings

#### Before the hearing

One netice, both the Municipal Act and the Planning Act quody when and how notice about a public hearing must be given in sortion struction. The Municipal Act greates to example, that notice that a public hearing agriefles a local improvement given must be write to add to plantial stopped of Lady in advance of the hearing. The Planning Act application the agricultural and with Artificial guinted be given in Lady in a defaunce of a hearing instant to a vinture, conditional ones agricultural to add with Artificial guinted be given in Lady in a defaunce of a hearing instant to a vinture, conditional ones agricultural to add with a desiration.

www.cmbudsman.mb.ca

Municipal Issues Series: Fact Sheet 2 (November 2014)

Available in print and online www.ombudsman.mb.ca

#### FIPPA and PHIA

- Manitoba Ombudsman oversees compliance with Manitoba's provincial information access and privacy laws – FIPPA and PHIA.
  - The Freedom of Information and Protection of Privacy Act (1998) provincial, municipal, school divisions, universities, large health care facilities/institutions, etc.
  - The Personal Health Information Act (1997) -all of the above plus medical clinics, health professionals, health services agencies etc.
- The ombudsman has the same role in Manitoba as an information and privacy commissioner would have in another jurisdiction.
- The Access and Privacy Division is responsible for investigating complaints and promoting compliance with our provincial legislation.

#### FIPPA overview

- FIPPA applies to most records held by or under the control of a public body. A record includes any information that is written, photographed, recorded or stored.
- Access is the rule, however, there are circumstances in which a public body can withhold information or can choose to withhold information.
- If you choose to withhold information, you must explain why you are doing so and refer to the specific provision of FIPPA on which your decision is based.
- A response to an access request must be provided within 30 days, unless the time period for responding is extended for a reason outlined in FIPPA.
- FIPPA also applies to the collection, use and disclosure of personal information.

## FIPPA complaints

- No response to application in 30 days
- The extension beyond 30 days is not appropriate
- Denial of access to all or parts of records
- Request for correction of personal information was denied
- Refusal to waive part or all of fees
- Request was disregarded
- Personal information was collected, used or disclosed inappropriately

#### PHIA overview

- PHIA applies to all recorded personal health information, regardless of format (paper, electronic).
- PHIA gives a person the right to:
  - See and get a copy of their personal health information with limited exceptions, within certain time frames.
  - Name another person to access personal health information on their behalf.
  - Request a correction to personal health information if inaccurate or incomplete.
- PHIA also requires that trustees protect the privacy of personal health information.

## PHIA complaints

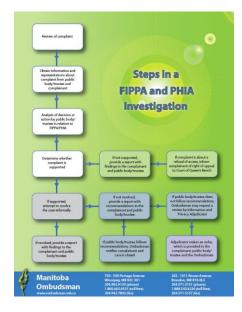
A complaint can be made to the ombudsman if a trustee of personal health information:

- Did not respond to an access request within the time period required by PHIA
- Refused access (did not let you see or provide a copy) of personal health information
- Refused to correct personal health information
- Collected, used or disclosed personal health information inappropriately

# Complaint investigations

- Broad powers of investigation
- Informal process
- Investigate in private
- Notify public body/trustee of complaint
- Right of complainant and public body/trustee to make representations
- Written report of findings to complainant and public body/trustee
- Power to make recommendations





### Investigation reports

- An investigation report explaining our findings is provided to both the complainant and the public body/trustee
- We may find that a complaint is unjustified or not supported
- If we find that a complaint is justified or supported, we try to resolve it informally
- The ombudsman may make any recommendations considered appropriate

#### Recommendations

- A public body/trustee must respond to the ombudsman's recommendations and indicate:
  - whether it accepts the recommendations, or
  - the reasons why it refuses to take action to implement them.
- The ombudsman must notify the complainant of the public body or trustee's response to the recommendations.
- The ombudsman must make the recommendations available to the public and the report with recommendations will be published on our website.

### Information and privacy adjudicator

- Where a public body/trustee has not acted on the recommendations made in an access or privacy complaint, the ombudsman may ask the adjudicator to review the matter.
- The adjudicator has the power to make an order against a public body/trustee.

## Appeals to court

An appeal to court can be made by a person who has been refused access to a record or part of a record only if:

- the person has first made a complaint to the ombudsman,
- the ombudsman has provided a report about the complaint, and
- the ombudsman has <u>not</u> asked the adjudicator to review the matter.

An appeal is made to the Manitoba Court of Queen's Bench and is heard as a new matter.

#### FIPPA: for more information

#### Manitoba Ombudsman website: www.ombudsman.mb.ca

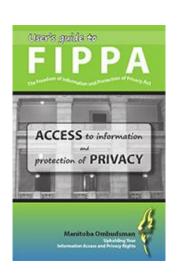
- Practice notes on various access and privacy issues
- Brown bag talks on access and privacy issues
- Investigation reports and reports with recommendations
- Special reports on various investigations and audits
- Annual reports with case summaries and statistics
- User's Guide to FIPPA

#### Information and Privacy Policy Secretariat website:

www.gov.mb.ca/chc/fippa/

FIPPA Resource Manual

Watch for a "FIPPA for Local Public Bodies" training session by IPPS and Manitoba Ombudsman, to be held later in 2015.



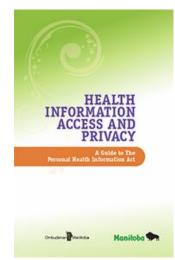
### PHIA: for more information

Manitoba Ombudsman website: www.ombudsman.mb.ca

- Practice notes on various access and privacy issues
- Investigation reports and reports with recommendations
- Annual reports with case summaries and statistics
- Know Your Health Information Rights: eChart Manitoba
- Health Information Access and Privacy: A Guide to The Personal Health Information Act (co-published with Manitoba Health)

Manitoba Health website: www.gov.mb.ca/health/phia/

Manitoba Health, Healthy Living and Seniors has developed a PHIA Online Training Program. See <a href="http://www.gov.mb.ca/health/phia/training.html">http://www.gov.mb.ca/health/phia/training.html</a> for more details.



# Tips for councils and CAOs

- Dealing with citizen complaints
  - Don't be defensive
  - Get it in writing
  - Delegate administrative responses
  - Respond from a place of fact and policy, not from emotion
  - Refer citizens to Manitoba Ombudsman
- Responding to access to information requests
  - Pre-emptive proactive disclosure
  - Delegate. This is an administrative function
  - Learn the rules
  - Ask for advice IPPS, Manitoba Ombudsman
- Transparent decision making
  - You've got nothing to hide...
  - Don't be afraid
  - Make your life easier through standard procedures and practices

#### Contact us

ombudsman@ombudsman.mb.ca

1-800-665-0531 (toll free in Manitoba)

www.ombudsman.mb.ca

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