



Louisville Metro Government Office of Internal Audit

The Office Of Internal Audit Engagement Request Form	
Date Request Submitted	8.17.18
1. Requestor Name	President David James
<p><i>Please note:</i> Internal Audit requests from Department Directors will be shared with the Mayor's Office and may be subject to approval from the Mayor's Office, if the request is intended to be from the Mayor's Office , as a whole.</p> <p>Internal Audit requests from Metro Council Members will be shared with the Metro Council President's Office and may be subject to approval from the President's Office or by way of a Resolution, if the request is intended to be from the Metro Council Office , as a whole.</p>	
2. Requestor Department	Metro Council
3. If your department is not listed in the department drop-down box, please provide your department name here.	
4. What Type of Engagement is Desired (see definitions below)?	Assurance
5. Is this request for a Financial Impact Analysis?	no
6. Department to be Reviewed	Enterprise
6a. Business Processes to be reviewed	Law Suit and Legal Claim Data Collection and Corrective Action
7. Who is the Key Stakeholder for Process to be Reviewed?	Louisville Metro Government, Metro Council, Louisville Citizens
8. Time period to be Reviewed	2013 - 2018



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<p>9. What Are Your Desired Objectives/Outcome of the Engagement? (The more information provided the better, as it will be helpful as we make a determination about the request.)</p>	<p>Objective: Analyze claims filed with Louisville Metro Government and lawsuits filed against Louisville Metro Government that result in a settlement or judgment over \$5,000 between August 2013 and August 2018.</p> <p>Analyze the following datasets:</p> <ol style="list-style-type: none"> 1. allegations asserted in the claim or complaint, 2. amount sought by the plaintiff or claimant, 3. plaintiff or claimant, 4. date of the incident or injury, 5. date of the filing of the claim or complaint, 6. date of the settlement or judgment, 7. Louisville Metro department(s) involved, 8. incident description, 9. date Louisville Metro issued the settlement or judgment payment, and 10. any subsequent corrective/preventative actions taken by the Louisville Metro department. <p>Desired Outcome: Recommendations to analyze incidents and determine how to lower quantity of incidents, thus improving safety and save tax payer dollars.</p>
<p>10. What is Your Anticipated Completion Date for This Request?</p>	<p>TBD</p>
<p>11. Comments</p>	<p>Limitations: The final objective and scope will be dependent upon the quantity and availability of data. Testing will likely be performed on a risk based sample of data.</p>

For OIA Use ONLY
<p>Approved by the Mayor</p> <p>Approved by Metro Council</p> <p>Request Accepted by the Office of Internal Audit</p> <p>Staff Assigned</p> <p>Budgeted Hours</p>



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Definitions of Core Services

-Assurance - Reviewing operations, policies, and procedures to ensure that the appropriate control structure is in place and that business risks are considered.

-Consulting - Providing services to help address specific issues and concerns, which may not necessarily be high-risk, but do add significant value to clients.

-Information Technology - Ensuring that electronic information is processed as intended, data integrity is maintained, and the control structure is assessed.

-Integrity - Investigating allegations regarding employee misconduct and / or non-violent criminal acts involving Metro Government resources.