



# Louisville Metro Government Office of Internal Audit

## The Office Of Internal Audit Engagement Request Form

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| 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                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | A minimum of two years between 2013 - 2018                      |



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| <p><b>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.)</b></p> | <p><b>Desired Objective :</b></p> <ul style="list-style-type: none"> <li>- Perform an assessment of the process for monitoring and tracking legal settlement/claims activity against Louisville Metro Government.</li> <li>- Perform an assessment of the process for developing, implementing, and monitoring preventative measures and/or corrective actions that are a result of legal settlement/claims activity against Louisville Metro Government.</li> <li>- Perform an analysis of legal settlement/claims activity to include at a minimum, the total payout by each year during the review period.</li> </ul> <p><b>All or a combination of the following datasets for selected legal settlement/claims activity may be analyzed in order to meet the objective:</b></p> <ol style="list-style-type: none"> <li>1. allegations asserted in the claim or complaint,</li> <li>2. amount sought by the plaintiff or claimant,</li> <li>3. plaintiff or claimant,</li> <li>4. date of the incident or injury,</li> <li>5. date of the filing of the claim or complaint,</li> <li>6. date of the settlement or judgment,</li> <li>7. Louisville Metro department(s) involved,</li> <li>8. incident description,</li> <li>9. date Louisville Metro issued the settlement or judgment payment, and</li> <li>10. any subsequent corrective/preventative actions taken by the Louisville Metro department.</li> </ol> <p><b>Desired Outcome:</b> Recommendations to develop a process or improve the current process for monitoring legal settlement / claims activity.<br/>         Recommendations to develop a process or improve the current process for managing related corrective actions.</p> |
| <p><b>10. What is Your Anticipated Completion Date for This Request?</b></p>                                                                                                                 | <p>TBD</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <p><b>11. Comments</b></p>                                                                                                                                                                   | <p><b>Limitations:</b> 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> <p><b>Documentation Modified 10.2.18</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |

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| <p><b>For OIA Use ONLY</b></p> <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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## Louisville Metro Government Office of Internal Audit

### 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.