



**OFFICE OF MANAGEMENT AND BUDGET
Division of Procurement**

Non-Competitive Purchase / Contract Request Form

Department	Internal Audit / 155	Department Contact	David Andrew Googe
Contact Email	david.googe@louisvilleky.gov	Contact Phone	502-574-3255

Professional Services are services that require specialized skills, knowledge, and expertise, often provided by individuals or firms with professional qualifications.
Sole Source is when goods or services being procured are unique, specialized, or proprietary in nature, and there are no comparable alternatives available in the market.

Request Date **4/20/25** Contract Type: Professional Service Sole Source (Goods/Services)

Requested Contract Term: Start **7/1/26** End **6/30/27** One-time purchase

Title of goods or service to be acquired: Metro Council Harassment Investigator

CONTRACT SCOPE and PURPOSE (Attach additional documentation if necessary)

Be specific about the work to be performed or product to be purchased including but not limited to scope of work; description of service and work product created.

The Office of Internal Audit is required, per the Louisville Metro Code of Ordinances Section 39.140, to administer a contract with a third-party investigator who will investigate allegations of harassment involving Louisville Metro Council members and / or employees. We are seeking a third-party investigator on a retainer basis. The investigator will have the following duties: Receive reports of alleged harassment from three sources (directly from complainant, the Ethics Tipline, the complainant’s supervisor); review of complaints to determine if complaint is vexatious or sufficient within 5 business days (extensions may be granted); investigate good faith complaints within 30 days (extensions may be granted); prepare and present a written report of the results of the investigation; provide a monthly status report if there are any pending investigations; retain workplace investigation services for at least one year; follow additional responsibilities as detailed in the attached Ordinance No. 127, Series 2017 and Resolution No. 062, Series 2017.

SUPPLIER INFORMATION

Supplier Legal Name	Boehl Stopher & Graves LLP				
DBA					
Point of Contact	David Crittenden	Email	DCrittenden@BSG-Law.com		
Street	400 West Market Street				
Suite/Floor/Apt	Suite 2300	Phone	(502) 589-0311		
City	Louisville	State	KY	Zip Code	40202
Federal Tax ID#	61-0465580	SSN# (If sole proprietor)			
Louisville Metro Revenue Commission Account #					
Louisville Human Relations Commission Certified Business	<input type="checkbox"/> Minority	<input type="checkbox"/> Disabled			
	<input type="checkbox"/> Woman	<input type="checkbox"/> LGBT			

FINANCIAL INFORMATION

Not to Exceed Contract Amount	\$20,000	(Including reimbursement expenses, if applicable)			
Spend Category:	Professional Services				
Fund:	1101 General	Cost Center:	155 Metro Tip Line		
Program:		Project:			
Grant:		Other Worktags:			
Payment Rate		per hour		per day	Other - describe below
		per month	X	per service	
Payment Frequency		Monthly	X	Upon Completion / Delivery	
		Quarterly		Other	



OFFICE OF MANAGEMENT AND BUDGET
Division of Procurement

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JUSTIFICATION FOR NON-COMPETITIVE PURCHASE / CONTRACT (Attach additional documentation if necessary)

Technical Justification - Explain why the requested goods or services can only be provided by the selected supplier. Include any technical specifications, unique features, or specialized expertise that make the supplier the only viable option.

Boehl Stopher & Graves LLP has legal and investigation experience in many areas including harassment. The firm currently investigates select ethics tipline complaints as determined by Human Resources and the Jefferson County Attorney's Office. Other investigators were considered but Boehl Stopher & Graves LLP is the best fit when considering the services offered and the rates. Quotes were received from two other investigators. Additionally, there were two investigators that did not provide quotes; one was not interested in providing investigation services and the other was not responsive. Of the investigators that provided quotes, Boehl Stopher & Graves LLP is the most cost effective option. Continued search of another investigator is not feasible as a contract will need to be in place by 7/1/26.

Operational Necessity - Describe how the requested goods or services are critical to the operation. Explain any potential disruptions or negative impacts that could arise from using an alternative supplier.

Ordinance No. 127, Series 2017 / the Louisville Metro Code of Ordinances, Section 39.140, requires complaints of harassment regarding any Metro Council Member or filed by any employee of Metro Council to be forwarded to a third-party investigator for review and investigation. The ordinance requires the Office of Internal Audit to administer the contract. The contract with the previous investigator expires on 6/30/26. A total of three quotes were obtained to evaluate cost effective solutions. An additional two quotes were requested but the contacted parties were not interested and/or not responsive.

Market Research - Provide the results of the market research conducted to determine if alternative suppliers are available. Include a summary of the research process, the suppliers considered, and the reasons why these alternatives were deemed unsuitable.

Alternative suppliers were identified through networking with the Jefferson County Attorney's Office and Intrinz Inc (former investigator). The alternative suppliers identified include McBrayer PLLC and Clinton Investigations. Intrinz Inc and the current investigator, Lauth Investigations, were identified based on their current / prior role as the Metro Council harassment investigator. Boehl Stopher & Graves LLP offers better rates than McBrayer PLLC and Clinton Investigations. Intrinz Inc is not interested in serving as the Metro Council harassment investigator and Lauth Investigations was not responsive to quote requests.

Cost Considerations - Where it is reasonable to do so, departments should make all efforts to negotiate and validate that pricing meets market expectations and is advantageous to Metro. Describe how the cost of services offered were determined to be reasonable. Detail any cost savings, if applicable, and how these savings compare to potential alternative suppliers.

Boehl Stopher & Graves LLP provided the most cost effective investigation rates. The rates will be similar to the FY 2026 investigator. The FY 2026 investigator, Lauth Investigations, charges \$120 per hour. Boehl Stopher & Graves LLP will charge \$75/hour for paralegals, \$125/hour for associates, and \$200/hour for partners. The two other quotes received proposed higher rates than Boehl Stopher & Graves LLP.

Previous Relationship - Note any known pre-existing relationship or business history with the supplier.

Boehl Stopher & Graves LLP is currently on contract with the Jefferson County Attorney's Office for legal services (SC00003920). The firm provides ethics tipline investigations for Human Resources through the Jefferson County Attorney's Office for select cases. The contract term is 7/01/2025 - 6/30/2026. Boehl Stopher & Graves LLP was also on contract with the Jefferson County Attorney's Office for legal services from 7/01/2023-6/30/2024 (SC00001902)

AUTHORIZATIONS: I confirm that the information contain herein is accurate and complete to the best of my knowledge.

Based upon the review of information contained herein, competition is not feasible and the request for purchase / contract is approved.

DocuSigned by:

David Andrew Googe

Signed by:

Kevin Moore

Department Director Signature

Procurement Director Signature

David Andrew Googe

Kevin Moore

4/29/2026

4/29/2026

Printed Name

Date

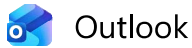
Printed Name

Date

Comments:

ds Sk

4/29/2026



RE: Quote Request - Metro Council Harassment Investigator

From David Crittenden <DCrittenden@BSG-Law.com>
Date Wed 4/8/2026 8:53 AM
To Googe, David <David.Googe@louisvilleky.gov>

CAUTION: This email came from outside of Louisville Metro. Do not click links, open attachments, or give away private information unless you recognize the sender's email address and know the content is safe.

David,

We would be interested in providing investigation services regarding allegations of harassment involving Louisville Metro Council members and / or employees. Our rates for this type of work is \$200/hour for Partners, \$125/hour for Associates and \$75/hour for Paralegals. Please let me know if you need any more information about our firm.

Sincerely,

David Crittenden

Partner



400 West Market Street | Suite 2300 | Louisville, KY 40202
Phone: (502) 589-0311 | Email: DCrittenden@BSG-Law.com

NOTICE: This e-mail and the transmitted documents contain private and confidential information. If your receipt of this transmission has occurred as the result of an error, please immediately notify us so we can arrange for the return of the documents. In such circumstances, you are advised that you may not disclose, copy, distribute or take any other action in reliance on the information transmitted.

From: Googe, David <David.Googe@louisvilleky.gov>
Sent: Wednesday, April 1, 2026 8:27 AM
To: David Crittenden <DCrittenden@BSG-Law.com>
Subject: Quote Request - Metro Council Harassment Investigator

You don't often get email from david.googe@louisvilleky.gov. [Learn why this is important](#)
This message originated from outside your organization

Hello David,

The Louisville Metro Government Office of Internal Audit is seeking quotes for investigation services regarding allegations of harassment involving Louisville Metro Council members and /

or employees. There are no current allegations to investigate. We are seeking a third-party investigator on a retainer basis in the event of harassment allegations. There are approximately 94 Louisville Metro Council Employees.

The investigator will have the following duties:

- Receive reports of alleged harassment from three sources:
 - Directly from complainant
 - The Ethics Tipline
 - From the complainant's supervisor
- Review of complaints to determine if complaint is vexatious or sufficient within 5 business days. Extensions may be granted.
- Investigate good faith complaints within 30 days. Extensions may be granted.
- Prepare and present a written report of the results of the investigation.
- Provide a monthly status report, if there are any pending investigations.
- Remain on retainer for investigation services for at least one year.
- Follow additional responsibilities as detailed in the attached Ordinance No. 127, Series 2017 and Resolution No. 062, Series 2017 (attached).

If interested, could you please send me a quote by Wednesday 4/8? Please contact me if you have any questions.

Thank you,

David Andrew Googe, CIA

Assistant Director

Office of Internal Audit

Email: David.Googe@Louisvilleky.gov

Phone: (502) 574-3255

Fax: (502) 574-3599

Address: 200 S. 5th Street Atrium 15 North

Louisville, Kentucky 40202



If you ever have a concern regarding unethical activity, fraud, waste, or abuse; don't keep it to yourself. Discuss it with the appropriate supervisory personnel.

Or if you prefer to remain anonymous, choose one of these two reporting options:

Call: 1-888-226-2264

[Report online here](#)

The information contained in this communication from the sender is confidential. It is intended solely for use by the recipient and others authorized to receive it. If you are not the recipient, you are hereby notified that any disclosure, copying, distribution or taking action in relation of the contents of this information is strictly prohibited and may be unlawful.



clintoninvestigations LLC
the specialists

April 7, 2026

Dear Mr. Googe, CIA

Patricia Musariri from Intrinz, Inc. provided me with your contact information and details of a contract that you are looking to award for investigation services for the Louisville Metro Government Office of Internal Audit. I have attached our proposal for this contract.

Please reach out to me if you have any questions or would like any additional information. Kim and I are available for a formal interview and can be present in person or virtually. I look forward to hearing from you soon.

Sincerely,

Tamara Hatfield
President of Client Relations



PERSONAL VEHICLE AND COMPUTER - Our vehicles, laptops and internet are all secure and comply with current requirements for cyber safety. We have level CMM1 cyber security certification. All evidence to include photographs, video, recordings, etc., is stored on a secure server. Our cyber security protocols can be provided upon request.

AVAILABILITY – We are available to work on an as-needed basis, and it is understood that this may require nights or weekends and travel when necessary. We have an extensive list of partners that we work with daily. Our investigation cases are very diverse and located all over the United States. Therefore, we have long-term business relationships with experts in numerous professions. We will seek professional assistance with any issues that require expertise.

INVESTIGATION EXPERIENCE - Our investigators combined have over 10 years of experience in investigations. Our investigators conduct investigations every day in multiple situations. Our investigations are performed and reported within the scope of work requested. Formal reports are provided at the conclusion of each investigation

DOCUMENTATION EXPERIENCE - We have level CMM1 cyber security certification. All evidence to include photographs, video, recordings, etc., is stored on a secure server. Our cyber security protocols can be provided upon request. Our vehicles, laptops and internet are all secure and comply with current requirements for cyber safety. Tamara Hatfield currently holds a top tier security clearance with the federal government. Tamara and Kim both provide clean background checks.

WITNESS TESTIMONY EXPERIENCE – Our investigators provide court ready reports at the conclusion of each investigation along with collected evidence. Our investigators are experienced in testifying in court.

1. Both of our investigators are very familiar with people in our local community. The investigations that we perform, however, are conducted from a position of non-bias and we do not know the parties involved prior to taking the investigation assignment.
2. Tamara Hatfield and Kim Shepherd are both investigators that are self-employed. We are currently investigating licensing complaints for various boards in the Commonwealth of Kentucky, we have numerous attorney clients, and we have numerous private company clients.
3. The licensing complaint investigations are conducted to determine policy and ethical violations. Investigations for our attorney clients are typically conducted for civil litigation. We have conducted investigations into criminal violations as well. The investigations we conduct for our corporate clients are investigations into harassment, discrimination, theft, fraud, etc. Approximate number of investigations in 2025 was 105.
4. An example of a written report has been attached for review.
5. We are experienced in many types of software and have access to proprietary databases. We have our own case management system and investigations can be ordered through this system and can be followed in real time for updates and reports.
6. We have served as witnesses many times. This is not common, but we are prepared to do so.
7. We are very familiar with how to communicate and work with law enforcement and other agencies as needed. We do this on a regular basis.
8. Kim has 13 years of experience as an investigator. Tamara has 3 years of experience and holds a security clearance and is able to conduct background investigations for the federal government.



Our investigators regularly investigate individuals or companies who are located within the Commonwealth of Kentucky. We are currently investigating complaints for several licensing boards. We conduct investigations into complaints made against a person's professional license and currently have eight separate board contracts. We attend board meetings and these boards currently utilize our case management system to track cases and updates.

We also provide investigative training to corporate clients, state governments and local governments. This training is workplace focused and includes training instruction for investigating harassment, work place violence, theft, internal complaints, etc.

We also work with Intrinz, Inc. Intrinz sends us their overflow work and a reference letter from Intrinz has been attached to this proposal.



Clinton Investigations and its investigators are aware and willing to travel to interview the person that filed the complaint, any witnesses, and attend board meetings when requested in advance.

Commonwealth of Kentucky
Michael G. Adams, Secretary of State

Michael G. Adams
Secretary of State
P. O. Box 718
Frankfort, KY 40602-0718
(502) 564-3490
<http://www.sos.ky.gov>

Certificate of Authorization

Authentication number: 364126
Visit <https://web.sos.ky.gov/ftshow/certvalidate.aspx> to authenticate this certificate.

I, Michael G. Adams, Secretary of State of the Commonwealth of Kentucky, do hereby certify that according to the records in the Office of the Secretary of State,

CLINTON INVESTIGATIONS LLC

, a limited liability company authorized under the laws of the state of Indiana, is authorized to transact business in the Commonwealth of Kentucky, and received the authority to transact business in Kentucky on February 8, 2024.

I further certify that all fees and penalties owed to the Secretary of State have been paid; that an application for certificate of withdrawal has not been filed; that the most recent annual report required by KRS 14A.6-010 has been delivered to the Secretary of State; and is therefore in good standing.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my Official Seal at Frankfort, Kentucky, this 7th day of April, 2026, in the 234th year of the Commonwealth.



Michael G. Adams

Michael G. Adams
Secretary of State
Commonwealth of Kentucky
364126/1340165

KIM SHEPHERD

52 West Harrison Street
Mooreville, IN 46158
317-432-4957
kim@clintoninvestigations.com

PROFESSIONAL LICENSE QUALIFIER

Indiana Professional Licensing Agency Information:
Clinton Investigations, LLP – PI21800009 Expiration
date: 10/01/2027

PROFESSIONAL SUMMARY

Private Investigator and business owner committed to professionalism, confidentiality, case integrity, and ethical approaches to evidence and information collection. Nineteen years' research, data collection, analysis, report writing, and photographic documentation experience. Eleven years' experience performing investigations start to finish, including recorded and sworn statements, evidence collection, court and other official document analysis.

CORE QUALIFICATIONS

In-depth knowledge of laws and standards governing private investigations
Acute observation and detailed analysis of every situation and case/assignment
Skilled in evidence collection, documentation, and delivery
Proficient with databases, field investigations equipment, investigative technologies
Consistently accurate in documenting field work, research, and other investigative tasks
Professional in appearance and verbal and written communication
Available to perform investigative assignments at various hours and during weekends

SKILLS and SCOPE OF EXPERIENCE

Recorded Statements – telephone, in-person, on-site interviews and recorded statement collection
Background Investigations – database research, interviews, criminal, civil, employment history
Asset Searches – identification and confirmation of assets, public records, and ownership-interests nationwide as allowed per jurisdictional laws and guidelines
Employee Theft Investigations – work with employers and law enforcement to identify inside theft
Controlled Purchases – identify and secure stolen property listed online and in print advertisements
Locate Investigations – database research, anonymous telephone or in-person evidence collection
Process Service – personal service of court documents, preparation of affidavits
Social Media Investigations – database research, searches using most recently developed technology
Area Canvass – witness search, on-site and follow-up interviews, photo/video requests and collection
Scene Investigations – scene analysis, measurements, photographic and video documentation
Surveillance – manned, unmanned (where applicable and legal), and team surveillance

EXPERIENCE

Clinton Investigations, LLP

Managing Partner, Senior Investigator

January 2018 - current

Investigations – start to finish execution of all investigation types discussed under scope of experience

Investigation Review – review of all investigations and assignments completed by investigators, senior investigators, partner investigators, and vendors for Clinton Investigations, LLP

Equipment and Software Procurement and Training – research, procure, and train investigators to use state-of-the-art investigative and surveillance tools, technology, resources, and case management platform

Development and Training of Policies and Procedures – identify, research, and translate to investigators laws and guidelines governing private investigations; implement policies and procedures necessary to conduct effective, ethical, and legal investigations

Administrative Duties – all business and administrative duties related to private investigations firm

Clinton Investigations, LLC

Operations Manager, Senior Investigator

October 2016 – January 2018

Investigations – start to finish execution of all investigation types discussed under scope of experience

Supervisor – supervised staff of up to nine investigator trainees, investigators, and senior investigators

Investigation Review – review of all investigations and assignments completed by investigators, senior investigators, partner investigators, and vendors for Clinton Investigations, LLC

Training – trained new investigators and trained staff investigators on newly-acquired technology and equipment, and newly-developed procedures

Senior Investigator

December 2014 – October 2016

Investigations – start to finish execution of all investigation types discussed under scope of experience

Investigator

December 2013 – December 2014

Accelerated Appraisals, LLC

Owner/Certified Residential Real Estate Appraiser

EDUCATION

IUPUI, Kelley School of Business, Indianapolis – Business Administration

1991 - 1993

Indiana University, Bloomington - Undergraduate studies

1989 - 1990



TAMARA HATFIELD

tamie@clintoninvestigations.com | 3174171607 | Martinsville, IN 46151 |
WWW: www.linkedin.com/in/tamara-hatfield-4b7b9a284

Summary

Highly motivated professional with 20 years of entrepreneurial and management experience. Skillfully creates and maintains professional and loyal relationships with co-workers, staff and clients while managing administrative and sales employees. Comfortable working independently as manager and leader and as collaborative team member. Applies business acumen and experience and exercises decisive judgment to meet and exceed organizational goals.

Skills

- Administrative Oversight
- Budget Administration
- Business Management
- Labor Relations
- Bidding Processes
- Partnership Development
- Relationship Building
- Customer Relations
- Verbal and Written Communication
- Consulting
- Marketing

Experience

Clinton Investigations, LLP | Mooresville,
IN

Owner - Private Investigator

04/2023 - Current

- Oversaw all aspects of operations including product development, marketing, sales, customer service and finance.
- Identified potential partnerships to expand the reach of the business.
- Built relationships with key stakeholders in industry associations to promote brand visibility.
- Developed strategic initiatives to increase market share and revenue growth.
- Analyzed consumer trends data to inform product offerings and services.
- Provided leadership support during times of organizational change or uncertainty.
- Conferred with staff, board members and officials to coordinate activities, resolve problems and discuss issues.
- Participated in small business training and development to increase company development and exposure.
- Provided organizational leadership and collaborated with executive partners to establish long-term goals, strategies and company policies.

L & H Appraisal Services, Inc. |
Martinsville, IN

Founder & Owner

01/2003 - Current

- Developed and implemented a comprehensive business plan to launch the company.
- Created and managed the company's financial budgeting, forecasting, and reporting systems.
- Oversaw all aspects of operations including product development, marketing, sales, customer service and finance.
- Recruited, hired and trained staff members to ensure that operational goals were met.
- Negotiated contracts with vendors and suppliers for optimal pricing

structure.

- Identified potential partnerships to expand the reach of the business.
- Monitored performance metrics to ensure quality standards were maintained.
- Analyzed consumer trends data to inform product offerings and services.
- Evaluated new technologies for potential application in the organization's processes.
- Maintained up-to-date knowledge of relevant laws, regulations, best practices and industry developments.

Education and Training

Real Estate Appraisal School | Indianapolis, IN

Certified Residential Appraiser in Real Estate Appraiser

11/2002

Martinsville High School | Martinsville, IN

High School Diploma

05/1989

Websites, Portfolios, Profiles

- assignment@clintoninvestigations.com



Direct: 317.432.4957
Fax: 765.807.3047
Email: kim@clintoninvestigations.com
Website: http://www.clintoninvestigations.com

November 19, 2024

[Governing Body]
Attn: [Name], [Title]
[Street address]
[City, state, zip code]

INTERIM REPORT

Complaint:	[Complaint Number] [Complaint/Case Caption]
Complaint Summary:	Complainant alleges “Ethical and possible HIPPA violations” based on therapy sessions with the Licensee’s former client (Complainant’s current client). The allegations include contact with the Client outside of Licensee’s office, inappropriate phone calls and text messages, and a non-professional and sexual relationship.
Assignment Request:	Interview Complainant, [Complainant’s name] Interview Licensee, [Licensee’s name] Interview Licensee’s former client, [First name, last name]
Additional Investigation:	Contact with [Licensee’s former employer] Professional License verification Search of Kentucky Secretary of State database Database research to identify unknown phone numbers Potential witness follow-up and interviews

Mr. [Name]:

Pursuant to your request, we conducted an investigation into allegations set forth by [the Complainant] in an August 8, 2024 complaint filed against [the Licensee], [License number]. As requested, we spoke with the complainant, the licensee, and the licensee’s former client, [the Client], who is a current client of [the Complainant].

It was during professional counseling sessions, that [the Client] discussed with [the Complainant] issues, circumstances, and events that the latter describes in her complaint as “Ethical and possible HIPPA violations”. Our investigative efforts and findings are detailed below and on the following pages.

COMPLAINANT

[The Complainant]
[Street address]
[City, state, zip code]
[Phone number]

[The Complainant] is a Licensed Clinical Social Worker. A search of the Commonwealth of Kentucky Board of Social Work License database confirmed that her license, [License number], is active, in good standing with no disciplinary actions discovered. [the Complainant] is currently employed by [Complainant's current employer].

In the course of her employment there, she provides services to [the Client]. [The Client] was a client of [the Complainant] when she worked at another agency. Upon ending her employment with that agency, [the Complainant] was not permitted to inform her clients where she would be working. Therefore, according to [the Complainant], [the Client] became a client of [the Licensee]. [The Client] contacted [the Complainant] in July 2024 and resumed counseling services with her.

Statement Summary

We obtained [the Complainant]'s video-recorded statement on 11/12/2024. A digital copy of the video footage accompanies this report, as does a full transcript of our conversation with her. In summary, [the Complainant] asserted in her statement that during therapeutic sessions with [the Client], [the Client] revealed that she became a client of [the Licensee] during his employment with [Agency]; and upon termination of his employment there, [the Licensee] offered to retain [the Client] as a client on a cash basis.

[The Client] informed [the Complainant] that [the Licensee] owned a business in [City] but opted to meet with the client outside of an office setting. The two reportedly met at [the Client]'s home and would sometimes take walks. The relationship reportedly advanced and [the Client] confirmed to [the Complainant] that a sexual relationship was developed. [The Complainant] does not know if there was more than one sexual encounter.

According to [the Complainant], the client's description of events unfolded over multiple sessions. She said that [the Client]'s description of the circumstances and events remained consistent each time the topic was discussed.

Phone calls and text messages to both [the Client] and [the Complainant], from unknown callers/texters using unknown numbers were also reported during our interview with [the Complainant]. Additional information regarding our research into those phone numbers will be included in our Final Report.

LICENSEE

[the Licensee]

[Street address]

[City, state, zip code]

[Phone number]

During our initial phone call to [the Licensee], he declined to speak with us. He suggested that we contact his attorney, whose name and contact information he did not provide. He stated that he had an upcoming appointment with his attorney and that he would seek her advice regarding providing a statement in this matter. We asked that either he or his attorney contact us to advise if either would be willing to speak with us.

Contact with Attorney [First Name Last Name]

Our office was subsequently contacted via phone by Attorney [Name] of [Law Firm] in Indianapolis, IN. [Attorney] stated that she and her client were open to cooperating with our investigation. In lieu of a recorded statement, she asked that we send written questions via email to [email address], so that she and her client could respond accordingly.

We are currently awaiting their response. The list of written questions and responses will be included with our Final Report by attachment. Based on our previous work relationship with [Attorney], we are confident that a response will be received.

CLIENT

Licensee's former client

Complainant's current client

[The Client]

[Street address]

[City, state, zip code]

[Phone number]

The complainant, [Name], is [the Client]'s current therapist. As previously stated, the complaint arose from information shared during professional therapy sessions by [the Client], whose audio-recorded statement we obtained on 11/19/2024. A digital copy of the audio file and a transcript of [the Client]'s statement accompany will be included in the Final Report, as the transcript has not yet been completed. In the meantime, the following summary of our conversation with her follows.

Statement Summary

[The Client]'s recorded statement, obtained by phone, was lengthy. Topics were discussed as [the Client] recalled specific information or as she became comfortable sharing information throughout the call, but were not discussed in chronological order. The following is an estimated timeline compiled from the information provided to us during her statement.

September or October 2023

[The Client] contacted [Licensee's former employer]. She spoke with an unidentified employee, who is no longer employed at [Licensee's former employer], and an appointment was scheduled with [the Licensee]. Early therapy sessions were conducted in the [Licensee's former employer] office.

During her second session there with the Licensee, [the Client] reports that she brought her young child, who was moving about and playing in the office. She said, therefore, she and [the Licensee] "walked up and down the hall", along with the child, for the duration of her appointment. She stated that she felt this was the first instance of unprofessionalism on the part of the Licensee, as "someone could have heard [them] talking".

[The Client] stated that the current [Licensee's former employer] Office Manager, Brianna Levitt, informed her that [the Licensee] did not accept her insurance and she was not sure, in hindsight, why the former employee scheduled her to be seen by him.

November 2023

[The Client] does not recall the date of her first appointment with [the Licensee]. Although she was provided with her client file some months later, she said the file appears to be incomplete, showing her first session with the Licensee on 11/09/2023.

December 2023 – April 2023

[The Client] estimates that during professional counseling sessions with [the Licensee], approximately ten minutes would be spent discussing topics specific to her. She reported that the remaining time included [the Licensee] talking about issues in his own life, including a December vacation with a girlfriend, problems with his girlfriend, and eventually his breakup with the same girlfriend.

May 2023

According to [the Client], following [the Licensee]’s employment separation from [Licensee’s former employer], he suggested to [the Client] that she continue to see him professionally on a cash basis. She said he specifically asked that she not inform [Licensee’s former employer] that their clinician/client relationship continued.

The Licensee and Client initially agreed to meet for their first out-of-office session in a “meeting room” at [the Licensee]’s apartment complex. However, there was ongoing construction in the meeting room, and the meeting was instead held at a nearby park. [The Client] could not recall the name of the apartment complex or the name of the park where the two met. The meeting was held in [the Licensee]’s vehicle, while [the Client]’s children and 18-year-old niece waited in her (the Client’s) vehicle. She said it was raining and therefore not possible for the children to exit the car to play.

[The Client] recalled feeling that meeting inside the Licensee’s vehicle seemed unprofessional and the conversation continued to be more similar to that of friends than that typical of a clinician and client relationship. She said, as had been the case during in-office visits, [the Licensee] talked to her about his personal life, including a new girlfriend and an upcoming trip to Daytona with the girlfriend and other friends. However, she reported no inappropriate physical contact during the initial out-of-office session.

[The Client] provided her niece’s name, [Witness 1]. She said she does not have a phone number for [Witness 1]. However, a search of our proprietary database returned contact information for her. As stated in the Additional Investigation section of this report, we plan to contact [Witness 1], as a witness to the out-of-office visits between clinician and client.

The pair had a subsequent session during which they walked along what she called a “walking bridge” and later identified as the “River Walk” near the Beach Bend Amusement Park in Bowling Green, KY. During the meeting, the Licensee encouraged [the Client] to contact her biological mother, whom she called via FaceTime. She said that her biological mother, [Witness 2] saw [the Licensee] via FaceTime and could corroborate [the Client]’s claim of out-of-office meetings between client and clinician.

[The Client] reported no inappropriate physical contact during the second out-of-office meeting.

May or June to July 2024

Subsequent to the first two out-of-office meetings, both of which were held at public locations, [the Licensee] began visiting [the Client]’s apartment. (She said she does not recall the address of her

apartment or the name of the apartment complex where the unit is located.) Sessions were held in [the Client]'s bedroom, where the two would sit on her bed and talk. Again, she said sessions more closely resembled two friends talking, instead of a clinician/client meeting.

[The Client] was reluctant to speak about physical contact between her and [the Licensee]. Initially, she described that the Licensee would sometimes hug her. Later in her statement, she cited at least three instances where physical contact led to a sexual encounter. One instance began with "[the Licensee] coming behind [her] while [she] was standing at the closet [in her bedroom]".

Of a second sexual encounter, she said, "*I had a bathroom. And I was straightening my hair one day. The bathroom door was cracked.*" She reported that the Licensee approached her as she was "*coming out of the bathroom*". Another encounter began with him, "*Grabbing [her] arm, pulling [her] close to him, and that's kind of what started the whole thing*".

[The Client] stated that "*There's been a couple times where it's been interrupted because my 13-year-old daughter will come into the room because I didn't lock the door. And then she'll leave screaming, 'oh, my God, oh, my God. What are y'all doing?' You know, that type of thing*".

Because [the Client]'s daughter is a minor, we would only interview her upon your request and with parental permission. Based on our interview with [the Client], the latter does not seem likely. However, [the Client] informed us that her former roommate, [Witness 3], resided with her when the sessions in her apartment took place and that [Witness 3] would sometimes "answer the door and send [the Licensee] back to [her] bedroom."

She did not provide [Witness 3]'s contact information. She said since living with her, [Witness 3] has married and changed her name and phone number. Through our proprietary database searches, possible phone numbers and an address have been identified for the potential witness. We will proceed with contacting her and summarize our findings in a subsequent report.

ADDITIONAL PARTIES AND ENTITIES

Licensee's Former Employer

[Licensee's former employer]

[Street address]

[City, state, zip code]

[Phone number]

During her statement, [the Complainant] informed us that she had been in contact with [the Licensee]'s former employer, [Licensee's former employer]. She spoke with the Office Manager, [Name], and learned that [the Licensee] had been "let go" from his position with [Licensee's former employer] as a result of, according to [the Complainant]'s statement, "some questionable activity"; "concerns because [the Client] wasn't the only one that has expressed issues outside of the office"; "that they thought he was coming into the office after hours" and "some type of possible theft". [The Complainant] added, "And then also that they thought he had fallen off the wagon again, because he's recovering addict."

A voicemail message was left at [Phone number] requesting a return call from the [Licensee's former employer] Office Manager, [Name]. A follow-up voicemail message was left, along with a brief description of the nature of the call. However, to date, no response has been received.

We will continue our efforts to contact [Licensee's former employer].

ADDITIONAL INVESTIGATION

Phone numbers used to contact involved parties

We conducted database research in an effort to identify the owners/users of phone numbers used to contact [the Client] and/or [the Complainant] before and after Complaint [number] was filed. The list of phone numbers was also provided to [the Licensee] in the email inquiry sent to Attorney [Attorney name]

CONCLUSION

This concludes our Interim Report. Unless advised otherwise by you, we will proceed with contacting [Attorney], Counsel for the Licensee, as well as [Witness 1], [Witness 2], and [Witness 3], all of whom are potential witnesses to out-of-office meetings between the Licensee and [the Client]. We will continue with research into anonymous or unidentified phone numbers used to contact [the Client] and Complainant; and we will also continue to investigate any leads that appear to be relevant to this file.

In the meantime, let us know if you have any questions or if additional information becomes available.

Best regards,

Kim Shepherd
Partner/Senior Investigator

Attachments: Digital video file – [Complainant]
Statement transcript – [Complainant]

Clinton Investigations

Company Portfolio



Contact Information

Phone: 317-432-4957

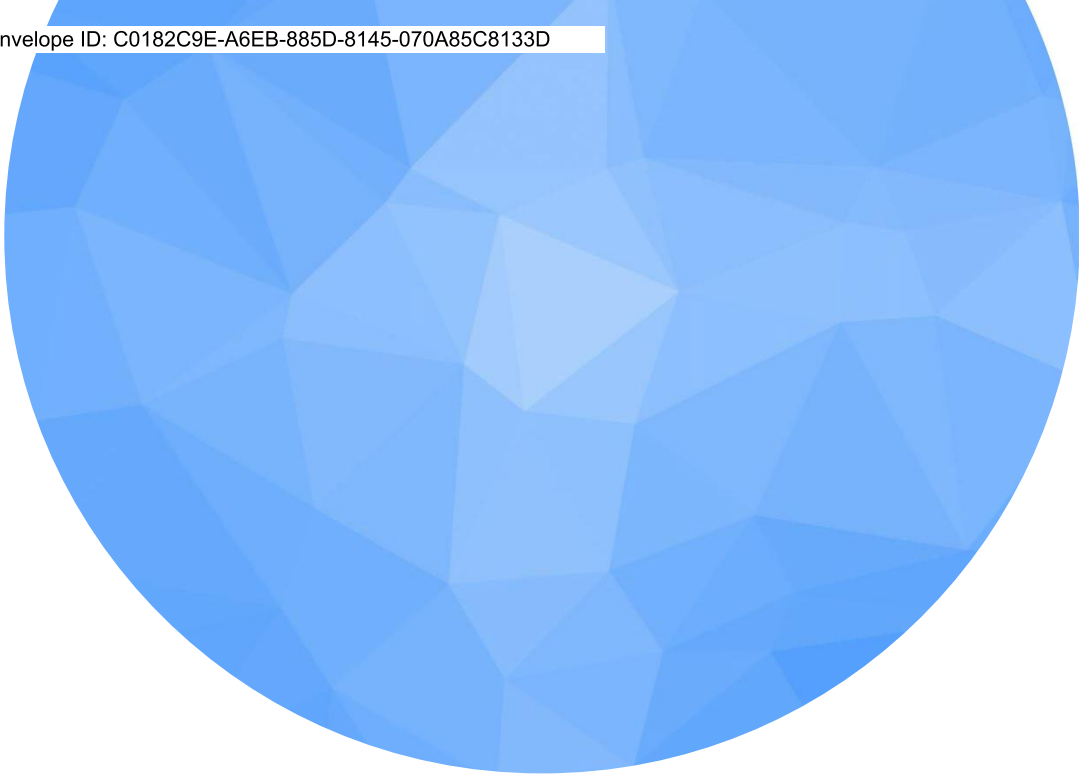
Email: admin@clintoninvestigations.com

Website: clintoninvestigations.com

<https://www.linkedin.com/company/52158225/>

kim@clintoninvestigations.com

tamie@clintoninvestigations.com



Why Choose Us?

- Clinton Investigations provides each client with login credentials for our secure online Case Management System (CMS). This system allows 24/7 access to your investigation file, including our notes and activity log as we work through your case. Confidential materials are uploaded and stored in the CMS, allowing you unlimited access to reports, documentation, photos, recorded statements, and more. The file will remain at your disposal indefinitely, allowing you to log in at any time during the investigations or after the conclusion of the assignment.
- In addition to information and details stored in the CMS, we will provide you with relevant information in a timely manner via status updates and reports sent directly to via email from our secure system. The lead investigator assigned to your case will also be available to discuss the details of the assignment and our findings at any time.
- This system does allow for status reports to be created. A specific report can be created per the client's specific needs.

Our Core Values

- Integrity without compromise – We do what's right, not what's easy.
- Empathy in action – We listen and care and lead with compassion.
- Precision in process – We follow a proven, thorough approach.
- Discretion by default – Privacy and trust are protected at every step.
- Relationships built for the long haul – We collaborate with clients to solve problems and find solutions that last



- Time and again we exceed our clients' expectations for reliability and depth. We consistently achieve strict quality and privacy standards to ensure our work remains unbiased, relevant, and accurate. We proceed with our inquiry process, Clinton Cyber Investigations ensures adherence to applicable laws as well as common sense ethical standards. We provide timely updates, and 24/7 access to our clients' case management system, our clients remain informed about their cases on a real-time basis. Adjustments in strategy and budget can be made instant.

- We are WBE and WOSB certified. Our Government work is available to view at Sam.gov. We are working with and active members in NAWBO. Tamara Hines has completed the NIT training and has a current security clearance with the DOD. We also have our own cyber security certification.

Meet our team

Kim Shepherd Owner/Investigator

- Private investigator and business owner committed to professionalism, confidentiality, case integrity, and ethical approaches to evidence and information collection. Twenty years' research, data collection, analysis, and report writing. Thirteen years' experience in performing investigations, including recorded sworn statements, evidence collection, court and other official document analysis. Since 2024; has provided investigation services to several state licensing boards within the Commonwealth of Kentucky.



Tamara Hatfield

Owner/Investigator

- Highly motivated professional with 20 years of entrepreneurial and research experience. 21 years as licensed real estate appraiser in the state of Indiana. Joined Clinton Investigations in 2023 as partner/owner and investigator. Experience in reviewing property documents, report writing and public speaking. 2024 received security clearance with DOD and completed NIT training.





We provide
comprehensive
investigative
support across
three key
service lines:



- **Government Investigations** – Our team partners with agencies and licensors to conduct impartial investigations into complaints, violations, and regulatory issues.
- **Legal Investigations** – From witness statements to asset searches, with subpoenas and legal teams with reliable, detailed, and timely investigative reports.
- **Workplace Investigations** – We help HR leaders and business owners address internal issues, like harassment, theft, or compliance violations, with discretion and professionalism.
- **Insurance Investigations** – Our team members provide expertise in several fields, which is how we're able to offer a wide range of investigative services for our clients. Our services require a deep understanding of the law and expertise in speaking with clients, witnesses, defendants, etc. Our investigators are experienced in the review various types of documents which include legal and financial documents; real estate documents, vital and county health records, medical records, insurance documents and court records. Our investigators are experienced and prepared to provide court testimony when necessary. We routinely provide written reports as well as verbal reports.



Clintoninvestigations LLC
the specialists

Sworn and Recorded Statements

What We Do

- Understanding how important witness testimony can be ourselves on our approach and knowing what questions to how to ask them. Our investigators are experienced in pro interviewing witnesses and involved parties, extracting the documenting the interview process so that the statements are relevant and useful to our clients.



Letter of Recommendation

For

Clinton Workplace Solutions

IntrinZ, Inc. is pleased to provide this letter of recommendation based on our professional partnership with Clinton Workplace Solutions

Our work together has centered on workforce investigations within major corporate/government entities. It has reflected a strong, collaborative partnership grounded in mutual respect and shared professional standards. Clinton Workplace Solutions approaches their work with rigor and care, and they ensure that matters are managed thoroughly, objectively, and in alignment with best practices. We have found that their investigative leadership brings an elevated level of expertise, credibility, and steadiness to complex and sensitive situations, which has been invaluable in supporting organizations through difficult matters.

We have always appreciated that their work is consistently guided by a strong legal and ethical focus, with careful attention to applicable laws, regulatory requirements, and professional standards, so that their investigations are both defensible and principled. One of their strengths is that their team demonstrates an unwavering respect for all individuals involved in the investigative process. They balance fact-finding with professionalism and empathy, treating each matter—and each person—with dignity, regardless of the allegations or evidence presented. This commitment to impartiality and respectful engagement strengthens trust in the process and contributes to sound, defensible outcomes.

Based on our experience, we confidently recommend Clinton Workplace Solutions. Their professionalism, investigative acumen, and values-driven approach make them a strong asset to any organization seeking fair, thorough, and respectful services.

[Audrey R. Wathen](#)

Vice President, People Strategies

Phone: (317) 701-2553

Web: www.intrinZincorp.com

Email: audrey.wathen@intrinzincorp.com

Address: 12175 Visionary Way, Fishers IN, 46038

FSS Past Performance Questionnaire

1. NAME OF FIRM/AGENCY PROVIDING FEEDBACK: Rowe & Hamilton Attorneys at Law

PROJECT NAME: N/A

PERIOD OF PERFORMANCE: 01/2023

CONTRACT TYPE (if applicable): 01/2024

CONTRACT AWARD DATE: N/A

CONTRACT COMPLETION DATE: N/A

AWARDED VALUE: \$4220 amount billed in 2023

CURRENT CONTRACT DOLLAR VALUE: N/A

2. NAME OF ASSESSING OFFICIAL: Amy Van Ostrand

EMAIL: avanostrand@roweandhamilton.com

PHONE NUMBER: 317-632-2524

ASSOCIATION WITH FIRM BEING RATED (including role): Attorney

CONTRACT OR ORDER NUMBER (if applicable): N/A

3. ASSESS THE FOLLOWING AREAS: (Check the appropriate box for each assessment category)

Assessment Categories	Unsatisfactory	Marginal	Satisfactory	Very Good	Exceptional	N/A
a. QUALITY OF PRODUCT OR SERVICE					X	
b. SCHEDULE					X	
c. COST CONTROL					X	
d. BUSINESS RELATIONS					X	
e. MANAGEMENT OF KEY PERSONNEL					X	
f. RELIABILITY					X	
g. CUSTOMER SUPPORT					X	
h. OVERALL PERFORMANCE					X	
i. OTHER AREAS:						
(1)						
(2)						

DocuSigned by
Amy
CEB41D0F15604FA...

4 ADDITIONAL COMMENTS:

I am an attorney at Rowe & Hamilton, and represent people who have been injured. I am completing this form in support of Clinton Investigations, LLP ("Clinton"), I have worked with Clinton both at my current firm, and a prior firm for whom I worked, for more than a decade, in total. I have relied on Clinton's investigators to locate, background search, serve individuals and companies with lawsuits; to interview fact witnesses; to research history regarding corporate entities; to perform site inspections, including photographing and measuring critical areas; and to facilitate expert witness site visits.

I have found Clinton to professional in each interaction, and have found that the company and its employees are committed to excellence, attention to detail, and the delivery of result to clients. I have appreciated the opportunity to work with Kim Shepherd, Clinton's leader, along with her team, and have appreciated that Clint is a women-owned and operated business.

FSS Past Performance Questionnaire

1. NAME OF FIRM/AGENCY PROVIDING FEEDBACK: Law Office of Shannon G. Starr
PROJECT NAME: N/A
PERIOD OF PERFORMANCE: 01/2023 **CONTRACT TYPE (if applicable):** 01/2024
CONTRACT AWARD DATE: N/A **CONTRACT COMPLETION DATE:** N/A
AWARDED VALUE: \$1020 amount billed in 2023 **CURRENT CONTRACT DOLLAR VALUE:** N/A

2. NAME OF ASSESSING OFFICIAL: Shannon G. Starr
EMAIL: shannon@sgstarrlaw.com **PHONE NUMBER:** 574-299-6837
ASSOCIATION WITH FIRM BEING RATED (including role): Attorney at Law
CONTRACT OR ORDER NUMBER (if applicable): N/A

3. **ASSESS THE FOLLOWING AREAS:** (Check the appropriate box for each assessment category)

Assessment Categories	Unsatisfactory	Marginal	Satisfactory	Very Good	Exceptional	N/A
a. QUALITY OF PRODUCT OR SERVICE					✓	
b. SCHEDULE					✓	
c. COST CONTROL					✓	
d. BUSINESS RELATIONS					✓	
e. MANAGEMENT OF KEY PERSONNEL					✓	
f. RELIABILITY					✓	
g. CUSTOMER SUPPORT					✓	
h. OVERALL PERFORMANCE					✓	
i. OTHER AREAS:						
(1)						
(2)						

4 ADDITIONAL COMMENTS:

I am an attorney in Indiana and I have been practicing law since May 2010.

I have used Clinton Investigations LLP ("Clinton Investigations") for several investigative services for over 7 years for my firm. Clinton Investigations has helped me locate addresses, places of employment and contact information for individuals and businesses. Clinton Investigations has also helped me with service of process on lawsuits.

Clinton Investigations has always been prompt and diligent in providing services. I have been impressed with the work product from Clinton Investigations. Clinton Investigations also handles the work in a professional manner.

I highly recommend Clinton Investigations and their services. They have provided very valuable services to my practice.

FSS Past Performance Questionnaire

1. NAME OF FIRM/AGENCY PROVIDING FEEDBACK: Tuley Law Office
PROJECT NAME: N/A
PERIOD OF PERFORMANCE: 01/2023 **CONTRACT TYPE (if applicable):** 01/2024
CONTRACT AWARD DATE: N/A **CONTRACT COMPLETION DATE:** N/A
AWARDED VALUE: \$15,521 amount billed in 2023 **CURRENT CONTRACT DOLLAR VALUE:** N/A

2. NAME OF ASSESSING OFFICIAL: Dan J Tuley
EMAIL: dan@tuleylaw.com **PHONE NUMBER:** 812-434-1936
ASSOCIATION WITH FIRM BEING RATED (including role): Attorney at Law/Owner
CONTRACT OR ORDER NUMBER (if applicable): N/A

3. ASSESS THE FOLLOWING AREAS: (Check the appropriate box for each assessment category)

Assessment Categories	Unsatisfactory	Marginal	Satisfactory	Very Good	Exceptional	N/A
a. QUALITY OF PRODUCT OR SERVICE					✓	
b. SCHEDULE					✓	
c. COST CONTROL					✓	
d. BUSINESS RELATIONS					✓	
e. MANAGEMENT OF KEY PERSONNEL					✓	
f. RELIABILITY					✓	
g. CUSTOMER SUPPORT					✓	
h. OVERALL PERFORMANCE					✓	
i. OTHER AREAS:						
(1)						
(2)						

4 ADDITIONAL COMMENTS:

Tuley Law has been using Clinton Investigations for several years with regard to general investigative work. Their assignments have included; obtaining statements from witnesses, collecting and storing evidence, taking photographs of accident scenes and vehicles, background investigations, asset searches, and other detailed investigative work. We have found their work product to be exceptional. They have quickly responded to our requests and diligently completed the tasks that we have asked them to complete. Over the years, we have used a number of private investigative firms and we have found that their work is far superior to the other private investigative firms in this area. We highly recommend them.



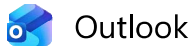
clintoninvestigations LLC
the specialists

April 7, 2026

COST PROPOSAL

Clinton Investigations proposes investigation services to the Louisville Metro Government Office of Internal Audit at the following costs:

1. A quarterly retainer of \$750.
2. An hourly charge of \$185 per hour for investigative services.
3. An hourly charge of \$350 per hour to hire an attorney if required per the scope of work.



Re: Quote Request - Metro Council Harassment Investigator

From Googe, David <David.Googe@louisvilleky.gov>
Date Wed 4/1/2026 10:39 AM
To Patricia Musariri <patricia.musariri@intrinzinc.com>
Cc Audrey Wathen <audrey.wathen@intrinzinc.com>

Hello Patricia,

Thank you for the response. Please pass this along to your partner. It would be better if we worked with them directly.

Thank you,

David Andrew Googe, CIA
Assistant Director
Office of Internal Audit
Email: David.Googe@Louisvilleky.gov
Phone: (502) 574-3255
Fax: (502) 574-3599
Address: 200 S. 5th Street Atrium 15 North
Louisville, Kentucky 40202



If you ever have a concern regarding unethical activity, fraud, waste, or abuse; don't keep it to yourself. Discuss it with the appropriate supervisory personnel.

Or if you prefer to remain anonymous, choose one of these two reporting options:

Call: 1-888-226-2264

[Report online here](#)

From: Patricia Musariri <patricia.musariri@intrinzinc.com>
Sent: Wednesday, April 1, 2026 9:32 AM
To: Googe, David <David.Googe@louisvilleky.gov>
Cc: Audrey Wathen <audrey.wathen@intrinzinc.com>
Subject: Re: Quote Request - Metro Council Harassment Investigator

This is the first time you received an email from this sender (patricia.musariri@intrinzinc.com). Exercise caution when clicking links, opening attachments or taking further action, before validating its authenticity.

CAUTION: This email came from outside of Louisville Metro. Do not click links, open attachments, or give away private information unless you recognize the sender's email address and know the content is safe.

Hi Andrew,

Thank you for reaching out on this. We are interested in engaging with Louisville Metro for other work like Internal Audit and People Strategies. Would it be acceptable for us to pass this along to one of our partners that we work with on investigations overflow work? You would work with them directly or we could subcontract them. Please let me know.

Kind regards,

Patricia Musariri

President

Phone: (317) 288-2267 Ext. 801

Web: www.intrinzinc.com

Email: patricia.musariri@intrinzinc.com

Address: 12175 Visionary Way, Fishers IN, 46038



From: Googe, David <David.Googe@louisvilleky.gov>

Sent: Wednesday, April 1, 2026 08:27

To: Patricia Musariri <patricia.musariri@intrinzinc.com>

Subject: Quote Request - Metro Council Harassment Investigator

Hello Patricia,

The Louisville Metro Government Office of Internal Audit is seeking quotes for investigation services regarding allegations of harassment involving Louisville Metro Council members and / or employees. There are no current allegations to investigate. We are seeking a third-party investigator on a retainer basis in the event of harassment allegations. There are approximately 94 Louisville Metro Council Employees.

The investigator will have the following duties:

- Receive reports of alleged harassment from three sources:
 - Directly from complainant
 - The Ethics Tipline
 - From the complainant's supervisor

- Review of complaints to determine if complaint is vexatious or sufficient within 5 business days. Extensions may be granted.
- Investigate good faith complaints within 30 days. Extensions may be granted.
- Prepare and present a written report of the results of the investigation.
- Provide a monthly status report, if there are any pending investigations.
- Remain on retainer for investigation services for at least one year.
- Follow additional responsibilities as detailed in the attached Ordinance No. 127, Series 2017 and Resolution No. 062, Series 2017 (attached).

If interested, could you please send me a quote by Wednesday 4/8? Please contact me if you have any questions.

Thank you,

David Andrew Googe, CIA
Assistant Director
Office of Internal Audit
Email: David.Googe@Louisvilleky.gov
Phone: (502) 574-3255
Fax: (502) 574-3599
Address: 200 S. 5th Street Atrium 15 North
Louisville, Kentucky 40202



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Or if you prefer to remain anonymous, choose one of these two reporting options:

Call: 1-888-226-2264

[Report online here](#)

The information contained in this communication from the sender is confidential. It is intended solely for use by the recipient and others authorized to receive it. If you are not the recipient, you are hereby notified that any disclosure, copying, distribution or taking action in relation of the contents of this information is strictly prohibited and may be unlawful.

Links contained in this email have been replaced. If you click on a link in the email above, the link will be analyzed for known threats. If a known threat is found, you will not be able to proceed to the destination. If suspicious content is detected, you will see a warning.



Fw: Telephone Touch Base

From Googe, David <David.Googe@louisvilleky.gov>

Date Wed 4/1/2026 8:27 AM

To steve.luzinski@lauthinvestigations.com <steve.luzinski@lauthinvestigations.com>

 2 attachments (549 KB)

ORD 127 2017.pdf; RES 062 2017.pdf;

Hello Stephen,

I'm checking in to see if you are interested in providing a quote for as needed investigation services for the period of 7/1/26-6/30/27? I will try calling this morning. If you are interested, I'm hoping to receive a quote by Wednesday 4/8.

Thank you,

David Andrew Googe, CIA

Assistant Director

Office of Internal Audit

Email: David.Googe@Louisvilleky.gov

Phone: (502) 574-3255

Fax: (502) 574-3599

Address: 200 S. 5th Street Atrium 15 North
Louisville, Kentucky 40202



If you ever have a concern regarding unethical activity, fraud, waste, or abuse; don't keep it to yourself. Discuss it with the appropriate supervisory personnel.

Or if you prefer to remain anonymous, choose one of these two reporting options:

Call: 1-888-226-2264

[Report online here](#)

From: Googe, David <David.Googe@louisvilleky.gov>

Sent: Wednesday, March 25, 2026 4:29 PM

To: steve.luzinski@lauthinvestigations.com <steve.luzinski@lauthinvestigations.com>

Subject: Re: Telephone Touch Base

Hello Stephen,

Sorry we did not get to speak today but we can try again tomorrow or you can try calling before 5pm if you get a chance. Would Lauth have interest in submitting a quote for services for the period of 7/1/26-6/30/27? I understand you may want to speak before submitting a quote. Here is a description of the services we are seeking:

The Louisville Metro Government Office of Internal Audit is seeking quotes for investigation services regarding allegations of harassment involving Louisville Metro Council members and / or employees. There are no current allegations to investigate. We are seeking a third-party investigator on a retainer basis in the event of harassment allegations.

The investigator will have the following duties:

- Receive reports of alleged harassment from three sources:
 - Directly from complainant
 - The Ethics Tipline
 - From the complainant's supervisor
- Review of complaints to determine if complaint is vexatious or sufficient within 5 business days. Extensions may be granted.
- Investigate good faith complaints within 30 days. Extensions may be granted.
- Prepare and present a written report of the results of the investigation.
- Provide a monthly status report, if there are any pending investigations.
- Remain on contract / retainer for investigation services for at least one year.
- Follow additional responsibilities as detailed in the attached Ordinance No. 127, Series 2017 and Resolution No. 062, Series 2017 (attached).

Thank you,

David Andrew Googe, CIA

Assistant Director

Office of Internal Audit

Email: David.Googe@Louisvilleky.gov

Phone: (502) 574-3255

Fax: (502) 574-3599

Address: 200 S. 5th Street Atrium 15 North

Louisville, Kentucky 40202



If you ever have a concern regarding unethical activity, fraud, waste, or abuse; don't keep it to yourself. Discuss it with the appropriate supervisory personnel.

Or if you prefer to remain anonymous, choose one of these two reporting options:

Call: 1-888-226-2264

[Report online here](#)

From: steve.luzinski@lauthinvestigations.com <steve.luzinski@lauthinvestigations.com>

Sent: Wednesday, March 25, 2026 9:27 AM

To: Googe, David <David.Googe@louisvilleky.gov>

Subject: Telephone Touch Base

CAUTION: This email came from outside of Louisville Metro. Do not click links, open attachments, or give away private information unless you recognize the sender's email address and know the content is safe.

David,

Would you be available for a quick touch base call today? If yes, please let me know a convenient time to call you.

Regards,

Stephen Luzinski

Director of Operations/Investigations

Lauth Investigations

Cell: 847-217-0264



CARY B. HOWARD, JR.
GENERAL COUNSEL
choward@mcbayerfirm.com

201 EAST MAIN STREET, SUITE 900
LEXINGTON, KENTUCKY 40507
PHONE 859.231.8780 EXT.1136

April 8, 2026

David Googe
david.googe@louisvilleky.gov

RE: Louisville Metro Council Legal Services

Dear David:

Thank you for expressing an interest in McBrayer submitting a bid proposal for Louisville Metro Council. As we understand, the scope of work would be to review and investigate claims of harassment, discrimination, retaliation, and/or Louisville Metro Council policy violations as an independent third-party investigator. At the conclusion of the investigation, McBrayer would be expected to provide a non-privileged report of investigation. If requested, McBrayer may also provide a separate, privileged legal analysis of the claims. McBrayer will provide the investigation and report in accordance with all laws, regulations, ordinances and Louisville Metro policies.

We are excited about the opportunity to work with Louisville Metro Council. McBrayer would agree to reduce its standard hourly rates and provide the services set forth above on the following rate schedule:

Partners reduced rate	\$350
Associates reduced rate	\$250
Paralegals and Law Clerks reduced rate	\$200

Enclosed is a copy of our firm and attorney bios for your review and consideration. Please let me know if you need any additional information.

Very truly yours,

Cary B. Howard, Jr.

CBH:lh
Enclosures

FIRM OVERVIEW

Since 1963, McBrayer has provided successful representation to businesses and professionals throughout Kentucky, surrounding states and nationwide. Our clients continue to come back to us year after year, not only because of the swift response and personal attention from our experienced attorneys, but because we deliver quality counsel and results for reasonable fees across a wide range of legal matters.

We take a team approach to the challenging cases we handle. Our attorneys bring focused experience in diverse legal disciplines, enabling us to take on complex transactions and legal problems that straddle multiple areas of the law. With offices in Lexington, Louisville, and Frankfort, Kentucky, along with government relations affiliate in Frankfort, we can also address cases that are far-reaching geographically. Our membership in the Meritas global law firm network gives us additional reach.

We are not only trusted counselors but also trial attorneys. Although we certainly have the skill to handle negotiation and arbitration when appropriate, that is not where our advocacy stops. In the more intricate and high-stakes contested matters we handle, we prepare for the likelihood of trial.

Members of our legal team have served in influential positions in professional organizations, public service and nonprofit organizations. Those leadership roles have included Majority Leader of the Kentucky House of Representatives, Assistant Attorney General, Master Commissioner of the Fayette Circuit Court and President of the Fayette County Bar Association, Chairman of the Kentucky Board of Tax Appeals, member of the University of Kentucky Board of Trustees, plus many more positions in local governing bodies.

Our attorneys have likewise been recognized in the legal community for their leadership and accomplishments, including the AV Preeminent* peer review rating through Martindale-Hubbell, rankings in Best Lawyers in America, inclusion in Kentucky Super Lawyers and other professional accolades.



The firm that gets it done.

CYNTHIA L. EFFINGER

MEMBER

Cynthia "Cindy" Effinger has practiced law throughout Kentucky since her graduation from the University of Louisville Louis D. Brandeis School of Law in 1998. Ms. Effinger's practice is concentrated in the areas of employment law, insurance defense litigation, and commercial litigation. Her employment law practice is focused on drafting employment manuals and policies, social media issues, wage and hour law, non-compete agreements and workplace discrimination.

Ms. Effinger has been a litigation attorney for the past 27 years focusing on business and employment litigation, handling every aspect of the litigation process in state and federal courts. She has tried dozens of cases before the Kentucky Courts (both bench and jury trials) and argued at the Kentucky Court of Appeals, Sixth Circuit Court of Appeals and the Sixth Circuit Bankruptcy Appellate Panel. In addition to litigation, Ms. Effinger assists clients with drafting policies, employee training, HR investigations, resolving vendor disputes and other issues that do not rise to the level of litigation.

Ms. Effinger was first selected to the list of Best Lawyers in the practice area "Litigation – Labor and Employment" in 2016 and has continued to make the list annually. She is also regularly named to list of Kentucky Super Lawyers, and was recently named to the list of Top 25 Women Super Lawyers for Kentucky in 2025.

Ms. Effinger speaks often at employment seminars and conferences and presents annually at the Kentucky Society for Human Resource Management (KySHRM) conference and at the Kentucky Chamber's HR Update.

Ms. Effinger has previously served on the Board of Directors of Lawyers Mutual Insurance Company (2007-2009) and serves on the Board of Directors of the Better Business Bureau Greater Kentucky and Southern Indiana (2017).



ADMISSIONS

Kentucky, 1998
U.S. District Court Eastern District of Kentucky, 2003
U.S. District Court Western District of Kentucky, 1998
U.S. Court of Appeals 6th Circuit, 2000

EDUCATION

University of Louisville School of Law, Louisville, Kentucky, J.D., 1998
University of Georgia, Athens, Georgia, B.A., 1994



The firm that gets it done.

ANONYMOUS ETHICS TIP LINE

§ 39.140 ESTABLISHMENT.

(A) The Council hereby establishes a third party operated anonymous tip lines (the "tip line") that will offer the Metro Government employees and citizens of this community a resource to report privately their concerns of alleged unethical or illegal actions and/or behavior by another employee or official serving Louisville Metro in writing, by telephone, or through electronic means such as web or email.

(B) Complaints received will be forwarded, for investigation, in the following manner:

(1) Complaints of harassment regarding any Metro Council member or filed by any employee of Metro Council shall be forwarded to a Third Party Investigator for review and investigation. Section 30 of Metro Council's Policies and Procedures defines harassment and employees of Metro Council. Within 48 hours of receiving the report, the tip line shall forward the report to both the Third Party Investigator and the complainant's supervisor.

(2) Complaints from any other Metro employee will be sent to the Louisville Department of Internal Audit. If the tip line operator believes the complaint has merit, he or she shall forward the complaint to one or more of the following Metro Government departments for proper investigation: Metro Ethics Commission, Metro Human Resources, the Metro Human Relations Commission or the Louisville Metro Police Department.

(C) The tip line will be available 24 hours a day, seven days a week and shall provide a toll free telephone number.

(D) A monthly statistical summary of activity and results of investigations generated by the tip line, which is not descriptive of any readily identifiable person, shall be given to each department listed within this section along with members of the Louisville Metro Council and Office of the Louisville Metro Mayor and shall be available for public inspection. The monthly statistical summary shall list information including, but not limited to, the date of the original report, an identification of the report by number, the type of issue identified or alleged, the department in which the issue is alleged to have occurred, and any resolution of the report. The monthly statistical report shall list all pending or unresolved complaints and shall be in a form substantially similar to that provided as attachments 1, 2, and 3 attached to Ordinance No. 66-2009.

(E) Funding for this section shall be made available through the Office of the Louisville Metro Internal Auditor. The Louisville Metro Internal Auditor will administer the contract with the tip line service provider.

(F) The Louisville Metro Internal Auditor will administer the contract with a Third Party Investigator who will investigate all complaints from or regarding any Metro Council members or employees of Metro Council pursuant to Section 30 of Metro Council's Policies and Procedures. Prior to execution of the contract, the proposed Third Party Investigator shall be presented to Metro Council for approval.

(G) Within 45 days of the effective date of this section, the Louisville Metro Internal Auditor shall draft and submit to the Metro Council its policies, rules, and regulations for the administration of this section including, but not limited to, any contracts required for administration of the section, reports to be made and records to be maintained. If the Metro Council does not approve, amend, or reject by resolution the Louisville Metro Internal Auditor's policies, rules, and regulations and any related contracts, within 45 days after submission to the Council, such policies, rules and regulations shall go into effect the 46th day after submission.

(H) The tip line operator is to advise Metro employees who call alleging retaliation by a supervisor that the Metro employee may file a complaint with the Louisville/Jefferson County Ethics Commission or pursue legal action in accordance with KRS 61.101 et seq.

(Lou. Metro Ord. No. 66-2009, approved 5-18-2009; Lou. Metro Am. Ord. No. 213-2014, approved 1-2-2015; Lou. Metro Am. Ord. No. 127-2017, approved 8-1-2017)

RESOLUTION NO. 062, SERIES 2017

A RESOLUTION OF THE LOUISVILLE METRO COUNCIL AMENDING THE METRO COUNCIL POLICIES AND PROCEDURES TO ADD AN ANTI-HARASSMENT POLICY. (AMENDED BY SUBSTITUTION)

SPONSORED BY: COUNCIL MEMBERS LEET, GREEN, DENTON, JAMES, MULVIHILL, KRAMER, ENGEL, BLACKWELL, SHANKLIN, WOOLRIDGE, SEXTON SMITH, HAMILTON, WELCH, FOWLER, BUTLER, REED, STUCKEL, PARKER, BENSON, JOHNSON, PEDEN, YATES AND ACKERSON

WHEREAS, Metro Council is committed to providing a safe work environment for its employees and members that is free of harassment.

WHEREAS, Metro Council is desirous of establishing an anti-harassment policy to protect its employees and members from verbal or physical abuse, harassment, intimidation, threats, violence or other adverse behavior.

BE IT RESOLVED BY THE LEGISLATIVE COUNCIL OF THE LOUISVILLE/JEFFERSON COUNTY METRO GOVERNMENT (THE COUNCIL) AS FOLLOWS:

SECTION I: The Louisville Metro Council Policies and Procedures are hereby amended to add the following Anti-Harassment Policy:

Section 30. ANTI-HARASSMENT POLICY

A. Definitions

Alleged Harasser: The individual against whom a complaint of harassment is filed.

Complainant: The individual who files a harassment complaint.

Metro Council Employee: ~~Metro Council Members~~, Legislative assistants, caucus staff, the Metro Council Clerk and the employees who report to the Metro Council Clerk, assistant to the Council President, business office staff (also called administrative staff), the Council Financial Analyst, staff helpers, administrative assistants and administrative clerks, interns, volunteers, and any other paid or unpaid Metro Council staff.

Metro Council Member: Member of consolidated local government under KRS § 67C.103

Protected Employment Categories: Race, color, religion, national origin, ancestry, sex, age 40 and older, disability, smoking status (as long as workplace policy is complied

with), pregnancy, veteran status, military status, sexual orientation, gender identity or any other protected characteristic as established by law.

Third Party Investigator: An individual with the ability and experience to conduct investigations pursuant to this policy. This individual will be an independent contractor who is not an employee of Louisville Metro Government.

B. Sexual Harassment and Other Harassment

The Council will make every reasonable effort to ensure that no Metro Council Employee or Metro Council Member is subjected to harassment. In order to preserve and protect an environment in which all Metro Council Employees, Metro Council Members, and all members of the public are treated with equal courtesy and respect, the Council will not tolerate verbal or physical abuse, harassment, intimidation, threats, violence or other adverse behavior towards any individual on the basis of race, color, religion, national origin, ancestry, sex, age 40 and older, disability, smoking status (as long as workplace policy is complied with), pregnancy, veteran status, military status, sexual orientation, gender identity or any other protected characteristic as established by law.

The Council will not tolerate any behavior intended to intimidate, humiliate, threaten, denigrate or otherwise interfere with the ability of any Metro Council Employee, Metro Council Member, or any member of the public to perform job functions or conduct business, whether or not such behavior constitutes a violation of individual civil rights within the meaning of federal or Kentucky statutes, Louisville Metro Code of Ordinances or any other violation of this policy.

The Council commits to make every reasonable effort to ensure that no Metro Council Employee or Metro Council Member is subjected to harassment or a hostile working environment¹ by another Metro Council Employee or Metro Council Member and further seeks to prevent any harassment of members of the public by Metro Council Employees or or Metro Council Members.

Sexual harassment consists of any unwelcome sexual advance, request for sexual favors, and other verbal and physical conduct or communication of a sexual nature if:

- (1) submission to such advances, requests or conduct and communication is an explicit or implicit term or condition of obtaining or retaining employment;
- (2) submission to or rejection of such advances, requests or conduct and communication by an employee affects decisions concerning an individual's employment; or

¹ The term "hostile work environment" is used as it is understood in Title VII of the Civil Rights Act of 1964, Age Discrimination in Employment Act of 1967, American With Disabilities Act, Equal Pay Act, KRS Chapter 344, and LMCO Chapter 92.

(3) such conduct or communication has the purpose or effect of unreasonably interfering with the employee's ability to perform his/her job functions or to create a hostile, intimidating or offensive work environment.

Other sexually harassing or offensive conduct in the workplace, whether committed by Metro Council Members, Metro Council Employees, or non-employees, is also prohibited. This conduct includes but is not limited to –

- Unwanted physical contact or conduct of any kind, including sexual flirtations, touching, advances, exposures, or propositions.
- Verbal harassment of a sexual nature, such as lewd comments, sexual jokes or references, and offensive personal references.
- Demeaning, insulting, intimidating, or sexually suggestive comments, behavior or exposure directed at about an individual or in the presence of any individual in public or in private.
- The display in the workplace of demeaning, insulting, intimidating, or sexually suggestive objects, pictures or photographs.
- Demeaning, insulting, intimidating, or sexually suggestive written, recorded, or electronically transmitted messages (such as email, text messaging, and Internet materials).

Sexual harassment does not refer to behavior or occasional compliments of a socially acceptable nature. It does not refer to consensual personal and social relationships without a discriminatory employment effect.

Not every incident of inappropriate conduct constitutes harassment in violation of this policy. Isolated incidents of offensive conduct are not necessarily unlawful harassment. For example, random words that offend a particular person may not be sufficient to constitute harassment under this policy. Or, on occasion, employees may use rough or profane language in the workplace. While this may not be harassment, any Metro Council Employee or Metro Council Member who finds it offensive should report it under the procedure outlined below.

Inappropriate, offensive, or discourteous conduct, even if it does not constitute harassment in violation of this policy, may result in an investigation. If a Metro Council Employee or Metro Council Member is offended by such behavior, it is important that he/she follows the procedures set out below so the offensive behavior can be investigated, evaluated, and brought to the attention of the Committee on Committees.

Any of the above conduct, or other offensive conduct, directed at any Metro Council Employee or Metro Council Member because of his or her status under the Protected Employment Categories is also prohibited.

C. The Reporting Process

A Metro Council Employee or Metro Council Member should report any violation of this policy as soon as it occurs by using this reporting process.² The very nature of harassment makes it difficult to detect unless the person being harmed registers his/her discontent. Any Metro Council Employee or Metro Council Member who believes that he/she has been harassed should report the alleged harassment as follows –

- To the Third Party Investigator, the name and contact information for the Third Party Investigator will be provided to all Metro Council Employees and Metro Council Members by the Office of the Metro Council President.
- The Metro Council Employee and Metro Council Member may also report the alleged harassment through the Louisville Metro Tip Line by calling 888-226-2264. Although this tip line allows for complaints to be made anonymously, the employee Complainant is strongly encouraged to provide his or her name and to note the complaint arises from the Metro Council. If that information is not provided, then it will be very difficult for the Metro Council to take the appropriate Interim Actions (see below) and it will also delay substantially the Third Party Investigator's work in pursuing the investigation.

Within forty-eight (48) hours of receiving the report, the Tip Line shall forward the report to both the Third Party Investigator and the Complainant's supervisor. If the supervisor is the Alleged Harasser, then the Tip Line shall forward the report to the Third Party Investigator and the Committee on Committees.

- ~~If the A Metro Council Employee has a supervisor, then employee~~ should notify his/her immediate supervisor of the alleged harassment. This notification to the supervisor allows the supervisor to consider appropriate Interim Actions (see below). Of course, if the Metro Council Employee is being harassed by his or her supervisor, then that employee should make the report of alleged harassment at one of the other two reporting options noted immediately above.
- A Metro Council Member should notify the Committee on Committees of the alleged harassment if the Committee on Committees has authority to consider appropriate Interim Actions as provided below.

Supervisor Reporting Requirement. Any Metro Council supervisor who receives a complaint of alleged harassment must report the complaint to the Third Party Investigator for review and investigation. The complaint should be reported to the Third

² Nothing in this policy precludes any Metro Council Employee or Metro Council Member from pursuing a private cause of action or filing a complaint with the Equal Employment Opportunity Commission (EEOC) or the Kentucky Human Rights Commission. Metro Council Employees and Metro Council Members may also file a complaint with the Ethics Commission against any Metro Council Member, Legislative Assistant, or Caucus Staff for behavior prohibited in LMCO Chapter 21. Any allegations of criminal conduct should be reported promptly to the appropriate law enforcement agency.

Party Investigator within two (2) business days of the Metro Council supervisor receiving the complaint.

Interim Actions. In some situations, it is advisable to take Interim Actions soon after the complaint has been made or during the course of the investigation process. Often, the Interim Action is to separate the Complainant and the Alleged Harasser. These options include but are not limited to –

- Have the two individuals perform their work in different parts of the City Hall building;
- Have one of the employees (typically the Alleged Harasser) work from home;
- Have one of the employees (typically the Alleged Harasser) work from a different Metro Louisville building; or
- Suspend the Alleged Harasser with or without pay, if permitted.

It is the responsibility of the direct supervisor of the Complainant to determine appropriate Interim Actions. If the direct supervisor is the Alleged Harasser, then the Committee on Committees will determine the appropriate Interim Actions. If the Complainant or the Alleged Harasser is a Metro Council Member, then the Committee on Committees will be involved in determining the appropriate Interim Actions.

D. The Investigation Process

1. Complaint

The Third Party Investigator begins review of the complaint after the complaint is submitted directly by the Complainant, or the complaint is submitted by the Louisville Metro Tip Line or the complaint is submitted by the supervisor of the Complainant.

2. Initial Review

The Third Party Investigator has authority to determine whether a complaint on its face is sufficient or vexatious (as in the case of someone who has a history of abusing the Tip Line or who has filed multiple complaints and is known to have abused process in the past). The Third Party Investigator will make its determination on whether a complaint is sufficient or vexatious within five (5) business days of receiving the complaint. The Third Party Investigator may extend this 5-day period with the written approval of the ~~Metro Council President~~ Committee on Committees. If the Third Party Investigator determines the complaint is insufficient or vexatious, a letter shall be communicated to the Complainant and the Alleged Harasser with an explanation of the deficiencies in the complaint. A copy of said letter will be filed with the Metro Council Clerk's office. The Metro Council Clerk is to maintain a file containing communications from the Third Party Investigator. Records relating to harassment complaints are to

remain confidential to the extent allowed by law. See the Confidentiality notification immediately below.

3. Confidentiality

The Council recognizes that confidentiality is important and will protect the confidentiality and privacy of the Complainant, the Alleged Harasser, and witnesses to the extent possible. However, the Council cannot guarantee complete confidentiality because an effective investigation cannot be conducted by the Third Party Investigator without revealing certain information to the Alleged Harasser and potential witnesses. As a result, information about the allegation of harassment will be shared only with those necessary for the Third Party Investigator to carry out its investigative and operational responsibilities. Records relating to harassment complaints will be maintained in the same manner. The Council cannot maintain confidentiality in circumstances in which it is required by law to disclose information (such as in response to legal processes, Open Records, etc.) and when disclosure is required by the Council's outweighing interest to protect others.

4. Sworn Complaint and Notice

If the Third Party Investigator determines the complaint is not vexatious and is sufficient, then the Third Party Investigator will commence its investigation. In order for the investigation to commence, the Complainant must provide the Third Party Investigator with a sworn complaint. The Third Party Investigator will contact the Complainant to secure the sworn complaint. After the sworn complaint has been provided, the Third Party Investigator shall give notice of the commencement of the investigation to the Complainant, the Alleged Harasser, and the Committee on Committees. If the allegations of harassment are made against any Metro Council Member on the Committee on Committees, the Metro Council President shall appoint a replacement Metro Council Member on that committee.

5. Authority

The Third Party Investigator shall exercise the authority to interview the Complainant, the Alleged Harasser, and any witnesses to the incident or incidents in question as well as collect documentation or any available information with respect to the incident or incidents in question. Metro Council Employees and Metro Council Members have a duty to cooperate with the investigation and to be truthful. The Third Party Investigator will report incidents of noncooperation to the Committee on Committees.

6. Report

The Third Party Investigator should complete the investigation within thirty (30) days after the sworn complaint is submitted. The Third Party Investigator may extend this 30-day period with the written approval of the Committee on Committees. At the

conclusion of the investigation, the Third Party Investigator shall prepare and present a written report of the results of the investigation to the Committee on Committees with a copy to the Complainant and the Alleged Harasser.

7. Status Report

The Third Party Investigator will provide a monthly status report to the Metro Council Committee on Committees, if the Third Party Investigator has any pending investigations.

E. The Review of Investigation Results and Action

The Committee on Committees shall review the investigation results concerning allegations against a Metro Council Employee or Metro Council Member and take all reasonable measures to protect any Metro Council Employee and Metro Council Member against harassment. Whenever possible, the Committee on Committees will meet in closed session.

The Complainant and/or the Alleged Harasser may submit a written response to the Third Party Investigator's written report. Any such response shall be presented to the Committee on Committees within seven (7) days after receipt of the Third Party Investigator's written report. The Committee on Committees may allow an opportunity for the Complainant and/or the Alleged Harasser to appear before the Committee on Committees before it takes action. The Committee on Committees should complete its consideration of the written report and take appropriate action, if any, within twenty-one (21) days of the committee receiving the written report from the Third Party Investigator.

1. Action against a Metro Council Member

If the Committee on Committees determines there is sufficient cause to believe a Metro Council Member has subjected a Metro Council Employee to harassment, the Committee on Committees may take remedial actions consistent with the severity of the misconduct. These options include but are not limited to –

- Publish the report findings;
- Encourage the alleged harassing Metro Council Member to follow actions consistent with the investigation and recommendations made by the Committee on Committees;
- Strongly admonish the actions of the Metro Council Member;
- Initiate removal proceedings against a Metro Council Member as set forth in KRS § 67C.143³;

³ Under KRS 67C.143, the initiation of removal proceedings is not limited to the Committee on Committees.

- File a complaint with the Ethics Commission pursuant to the complaint requirements contained in LMCO § 21.06;
- Initiate a Metro Council resolution condemning the conduct of the Metro Council Member;
- Restrict the Council Member's access to City Hall and/or particular areas within City Hall; and/or
- Modify the Council Member's committee assignments.

If the investigation results suggest criminal conduct, the allegations shall be reported promptly by the Committee on Committees to the appropriate law enforcement agency.

2. Action against a Metro Council Employee ~~Who is not a Metro Council Member~~

If the Committee on Committees determines there is sufficient cause to believe a Metro Council Employee has subjected ~~another~~ a Metro Council Employee or Metro Council Member to harassment, the Committee on Committees may take remedial actions consistent with the severity of the misconduct and the authority granted to the Committee on Committees.

The Committee on Committees will provide the report to the immediate supervisor of the Metro Council Employee with recommended corrective actions and/or suggested discipline.

If the Committee on Committees supervises the alleged harassing Metro Council Employee, the Committee on Committees will take appropriate corrective actions and/or discipline.

Discipline Options. Discipline will be based upon the severity of the misconduct engaged in by the employee. These options include but are not limited to –

- **Written Reprimand.** The supervisor should place in writing the problem conduct engaged in by the employee and outline the steps to resolve the problem and prevent its recurrence in the future. The written reprimand is placed in the employee's personnel file. The employee may, within five (5) days, file a written response to the reprimand. Any such response will also be placed in the employee's personnel file.
- **Suspension.** For more serious misconduct, the employee may be suspended without pay. Suspensions without pay should be for a designated number of days up to thirty (30) days. A suspension without pay will be documented in the

employee's personnel file. The employee may, within five (5) days, file a written response to the suspension without pay. Any such response will also be placed in the employee's personnel file.

- **Demotion.** Also for serious misconduct, an employee may be demoted. A demotion will be documented in the employee's personnel file. The employee may, within five (5) days, file a written response to the demotion. Any such response will also be placed in the employee's personnel file.
- **Employment Termination.** For the most serious misconduct, the employee's employment may be terminated. An employment termination will be documented in the employee's personnel file. The employee may, within five (5) days, file a written response to the employment termination. Any such response will also be placed in the employee's personnel file.

The discipline options noted above are not exclusive and need not be followed in a progressive fashion. Discipline can be imposed as the supervisor deems fit. Nothing in this Discipline Options section or otherwise in these policies shall be interpreted to be in conflict with or to eliminate or modify in any way the employment-at-will status of Metro Council Employees.

If the investigation results suggest criminal conduct, the allegations shall be reported promptly by the Committee on Committees to the appropriate law enforcement agency.

F. Retaliation

The Council will not tolerate adverse treatment of any individual because he or she has filed a harassment complaint or has provided information concerning such complaint. Any Metro Council Employee or Metro Council Member who engages in retaliation against another Metro Council Employee or Metro Council Member who has filed a complaint or provided information concerning such complaint shall be subject to disciplinary action. Any Metro Council Employee or Metro Council Member who feels he or she has been subjected to such retaliation should report this action to his or her immediate supervisor and/or the Metro Council President and/or to the Third Party Investigator.

G. False Claims

No person shall file a complaint which is false, made in bad faith, with actual malice, or without probable cause. In the event that such a complaint is filed under this policy, the complaint and any report by the Third Party Investigator shall be forwarded to the Committee on Committees for review and action, if appropriate.

The Complainant and/or the Alleged Harasser may submit a written response to the Third Party Investigator's written report that finds a false complaint was filed. Any such response shall be presented to the Committee on Committees within seven (7)

days after receipt of the Third Party Investigator's written report. Upon request, the Committee on Committees may allow an opportunity for the Complainant, the Alleged Harasser, and others to appear before the Committee on Committees before it takes action.

H. Training

Metro Council Members and Metro Council Employees are required to attend sexual harassment training, as offered through Louisville Metro Government, every two (2) years or as otherwise deemed necessary by the Committee on Committees.

SECTION II: This Resolution shall take effect upon its passage and approval.



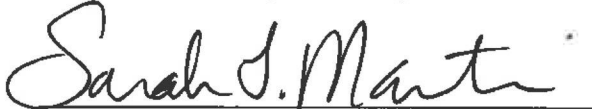
H. Stephen Ott
Metro Council Clerk



David Yates
President of the Council

APPROVED AS TO FORM AND LEGALITY:

Michael J. O'Connell
Jefferson County Attorney



Sarah J. Martin

**LOUISVILLE METRO COUNCIL
ADOPTED
July 27, 2017**