



Ethics Tipline

Incident Outcome Reporting Protocol

Issued: January 2016

Introduction

The following protocol was developed to promote consistency between the Louisville Metro Department of Human Resources, Louisville Metro Police Department and the Office of Internal Audit when determining and reporting the outcome of incident reports received through the Ethics Tipline. Each department has unique standard operating procedures that dictate the extent and type of investigation performed. However, the incident outcomes as defined below should be consistent between each department.

Protocol

- An incident may be closed in The Network's case management system using one of three outcome options. The incident outcome options include No Investigation Necessary, No Corrective Action Taken, and Corrective Action Taken.
- The No Investigation Necessary outcome option should only be assigned as the final outcome of an incident when the incident should not be investigated. There are three instances in which an incident should not be investigated:
 - An incident should not be investigated if the incident does not involve a Louisville Metro employee, a contractor or a supplier doing business with Louisville Metro.
 - In the event that an incident is in regards to an allegation that has already been investigated and resolved in a prior complaint or is currently under investigation the incident should not be investigated.
 - An incident reporting possible violations that are under the purview of a different investigative entity (i.e. Louisville Metro Ethics Commission) should not be investigated.
- The No Corrective Action outcome option should be assigned as the final outcome of an incident in the following instances:
 - In the event that an incident is not actionable due to insufficient information and an attempt was made to obtain additional information from the caller.
 - The incident has been investigated and the allegations could not be substantiated. For purposes related to the Ethics Tipline, an investigation is defined as an attempt to substantiate the allegation. The extent of investigations may vary.
- The Corrective Action Taken outcome option should be assigned as the final outcome of an incident when the allegation reported has been substantiated and as a result corrective action is taken.



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- The disposition included in The Network's case management system is related to what happened to the reported party or parties as a result of the incident. The options include the following: Not Applicable (N/A), Cleared, Disciplined, Terminated, or Prosecuted.