

## AUDIT REPORT TRACKING SYSTEM (ARTS)

SECTION I: SUMMARY INFORMATION			
<b>Audit Title:</b>	Recommended Practices Would Strengthen Hotline Operations	<b>Audit Release Date:</b>	08/31/2016
<b>Department:</b>	City Manager's Office	<b>Last Report Date:</b>	First ARTS Report
<b>Department Director:</b>	Troy Schulte	<b>This Report Date:</b>	08/23/18
<b>Contact Person/Phone:</b>	Gwen Stafne	<b>Expected Presentation Date:</b>	09/26/2018
SECTION II: RECORD OF IMPLEMENTED RECOMMENDATIONS			
1. Implemented 12/17/17	5. Implemented prior to 12/17/17		
2. In Progress	6. Implemented prior to 12/17/17		
3. In Progress	7. Implemented 12/17/17		
4. Implemented 12/17/17	8. In Progress		
SECTION III: SUMMARY OF IMPLEMENTATION EFFORTS			
<b>Recommendation 1:</b> The city manager should ensure that NAVEX case information is updated.			
<i>Status of Recommendation: Implemented</i>			
Implemented December 2017 when Gwen Stafne was made full-time Ethics Compliance Officer/Internal Auditor. Improved services. NAVEX software is updated with information about who is investigating within 5 business days. When the investigation is complete, software is updated to show conclusions.			
<b>Recommendation 2:</b> The city manager should periodically test how the contractor handles calls and records case information.			
<i>Status of Recommendation: In Progress</i>			
Plan to test NAVEX system by having an employee make a call to the hotline and see how it flows through to the City. Anticipate September 2018 completion.			
<b>Recommendation 3:</b> The city manager should develop written policies and procedures for the city's hotline program that incorporate recommended hotline practices.			
<i>Status of Recommendation: In Progress</i>			
In progress—the policy is written but not in final format. Anticipate September 2018 completion.			
<b>Recommendation 4:</b> The city manager should designate a permanent hotline administrator with the appropriate skills and time to oversee the city's hotline.			
<i>Status of Recommendation: Implemented</i>			
Gwen Stafne became Ethics Compliance Officer/Internal Auditor December 2017 and oversees the hotline. Improved services.			
<b>Recommendation 5:</b> The city manager should explain and promote the hotline to potential users.			
<i>Status of Recommendation: Implemented</i>			
Links to Ethics Hotline information and the phone number are on myKC/Ethics Hotline and at KCMO.gov/Ethics Hotline. Improved services as the hotline is explained on the links and provides the phone number.			
<b>Recommendation 6:</b> The city manager should place the hotline phone number on the home page of the city's website.			
<i>Status of Recommendation: Implemented</i>			
Links to the Ethics Hotline information with the phone number are on myKC and at KCMO.gov. Improved services because the hotline number is easier to find.			
<b>Recommendation 7:</b> The city manager should identify, assign, and adequately train an individual or group of individuals who have the time and skills to conduct objective, thorough, and timely investigations of hotline complaints.			
<i>Status of Recommendation: Implemented</i>			
Implemented December 2017 when Gwen Stafne took job as Internal Auditor/Ethics Compliance Officer. She oversees responses to hotline calls and investigates some herself. She has taken live classes and web-based classes on investigations. Improved services through distributing complaints to the department directors and/or person who can investigate, following up to see if and how cases are handled, trying to make sure anyone mentioned in a complaint does not do the investigating and providing guidance to departments for investigating when needed.			
<b>Recommendation 8:</b> The city manager should consolidate hotline and hotline-type cases, and analyze and publicly report hotline statistics and summary outcomes annually.			
<i>Status of Recommendation: In Progress</i>			
Plan to implement January 2019 after 2018 year-end.			

## Ethics Hotline Policy and Procedures as of September 4, 2018

Ethics Hotline calls are received by our outside contractor NAVEX. A new case is opened for each new report and a case number is assigned with the format: CKC-18-07-0001 (18 is the year, 7 is the month, 1 means the first case of the month). The call can be anonymous or the caller can provide their name and contact information if they desire. The caller can call NAVEX back with the case number and a pin provided by NAVEX to see what the City is doing/has done to investigate their report. The software can be accessed and updated by the two City employees set up with NAVEX. Currently one City employee is in charge of the Ethics Hotline calls and the other individual is the backup.

NAVEX assigns a priority to each call: A, B, or C. An email is sent to two employees with the City of Kansas City for each Ethics Hotline call. For category A calls, the highest priority, NAVEX will also call the City employee on file to make sure they know a category A report has been made. Also, when a reporter calls in to check the status of their previous report or to add information, emails are sent to the two City employees on file.

Instructions when call/report is received:

Update the NAVEX site/software to show what action is being taken (i.e.: under investigation and the information has been sent to the Director of Neighborhoods) within five workdays of receiving the call. Update the Ethics Excel spreadsheet to show report number, date received, date NAVEX updated, who the report was sent to, and a short case summary.

Most reports will be sent to the department director affected by the call. People named in reports by the caller should not be investigating the report. Generally, if a person is named or accused of something in a report, that person should be the last one you interview. Get the details, fact-finding, and other involved party interviews done first. Address all allegations. Assume witnesses are not guilty.

Most cases should be completed within 30-45 days. If a director has not reported the case status after 30 days, send an email asking if the case is complete and how it was handled. When closing a case in NAVEX, note the steps taken so the caller can see that their concerns have been addressed. Edit the file status to show the case is closed. Edit the Ethics Excel spreadsheet with the actions taken, the date the case was closed in NAVEX, and whether the facts alleged in the call were substantiated or not.

Calls should be summarized after the end of each calendar year. This information should be made available to the public on the City's website.

An annual fiscal year report (Case Overview Report) will need to be prepared out of the NAVEX software in May for the external auditors (Analysis/Summary Reports/Report By: Overview/Date-between-05/01/XX and 04/30/XX send to Excel format).