



# **City of Tulsa Ethics Hotline Statistics**

## **Fiscal years 2014-2016**

**City of Tulsa Internal Auditing**

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**June 2016**



# City of Tulsa Ethics Hotline Statistics

## Fiscal Years 2014-16

### City of Tulsa Internal Auditing

A handwritten signature in black ink, reading "Ron Maxwell", positioned above a horizontal line.

Ron Maxwell, CIA, CFE  
Chief Internal Auditor

A handwritten signature in black ink, reading "Cathy Criswell", positioned above a horizontal line.

Cathy Criswell, CPA, CIA  
City Auditor

#### **AUDIT TEAM:**

Vicki D. Peters, CBA, MBA, Internal Audit Manager

## **Introduction / Background**

As part of a joint effort of the Mayor, City Council and City Auditor to develop the first code of ethics for the City (TRO, Title 12, Chapter 6, “the Ethics Ordinance”), City Auditor Phil Wood launched an ethics hotline (“the Hotline”). The Hotline provides a method for City employees, suppliers, citizens and other interested parties to anonymously report alleged or suspected fraud, waste, abuse, or other inappropriate incidents. Although the Hotline was implemented concurrently with the Ethics Ordinance; it is not referenced in the ordinance and is separate from the complaint process established in the ordinance.

This audit report is to inform readers of how the Hotline is administered and to provide summary statistics.

## **City of Tulsa Hotline Process and Administration**

The Office of the City Auditor administers the Hotline using an independent, outside hotline service provider, NAVEX Global. Highlights of the services provided by NAVEX Global include:

- 24/7 call centers capable of receiving anonymous and/or named reports through toll free telephone number, email and the internet using a technology assisted interview process.
- Call-back capability allows the City to post questions to be asked callers by NAVEX Global staff. Callers are given a report identification number that allows them to check on the status of their complaint or add information to their report. The City uses the call-back capability when a caller chooses to remain anonymous or does not provide contact information.
- NAVEX Global provides incident reports and a web-based Case Management System. Incident reports are sent by email within one business day, usually within four hours.
- Escalation procedures are in place to send reports within 15 minutes for calls involving imminent threats of violence, harm to persons or loss of assets. A call-tree has been established and NAVEX Global makes immediate phone calls to the designated parties when an escalated report has been sent.
- Case managers have access to view and update case information on the Case Management System database.

## **Incident Report Distribution and Investigation**

The Ethics Ordinance defines Appointing Authorities and specifies their responsibility for investigation and appropriate actions regarding reported ethics complaints filed with the City Clerk. Although the Hotline is separate from the Ethics Ordinance; Internal Auditing implemented procedures for transmitting Hotline incident reports to the Appointing Authorities following the framework established in the Ethics Ordinance, which is as follows.

- Reports on the Mayor are sent to City Auditor
- Reports on City Councilors are sent to City Council
- Reports on the City Auditor are sent to City Council
- Reports on employees (except Human Resources Department Director and staff, and City Council staff) are sent to the Mayor and Human Resources Director
- Although the Ethics Ordinance does not require this, reports on Human Resources Department Director and staff are sent to the Mayor and City Manager. This variation was made so Human Resources Department does not receive or investigate complaints on their own staff.
- Reports on Trustees and Authority, Board and Commission members are sent to the Mayor or designee.

Appointing Authorities complete investigation of the complaint and/or other disposition. With the exception of City Council, Appointing Authorities report investigation results and resolution information to Internal Auditing for entry in the Case Management System. The City Council has adopted an internal operating procedure for investigating ethics complaints that does not include sending investigation and resolution information for entry into the system. City Council's procedure is included in Exhibit 1.

## **Case Life-Cycle Summary**

The normal workflow of a case from beginning to end; includes the following steps:

1. NAVEX Global emails the Incident Report to the Case Manager
2. The Case Manager assigns an Investigator
3. The Case Management System notifies the Investigator of the case assignment
4. The Investigator documents investigation and resolution activities in the Case Management System
5. The Investigator sends the case back to the Case Manager for approval/closure
6. The Case Management System notifies the Case Manager that a case is pending approval
7. The Case Manager reviews and closes the case in the Case Management System

A flowchart of the current Hotline process and administration is presented at Exhibit 1.

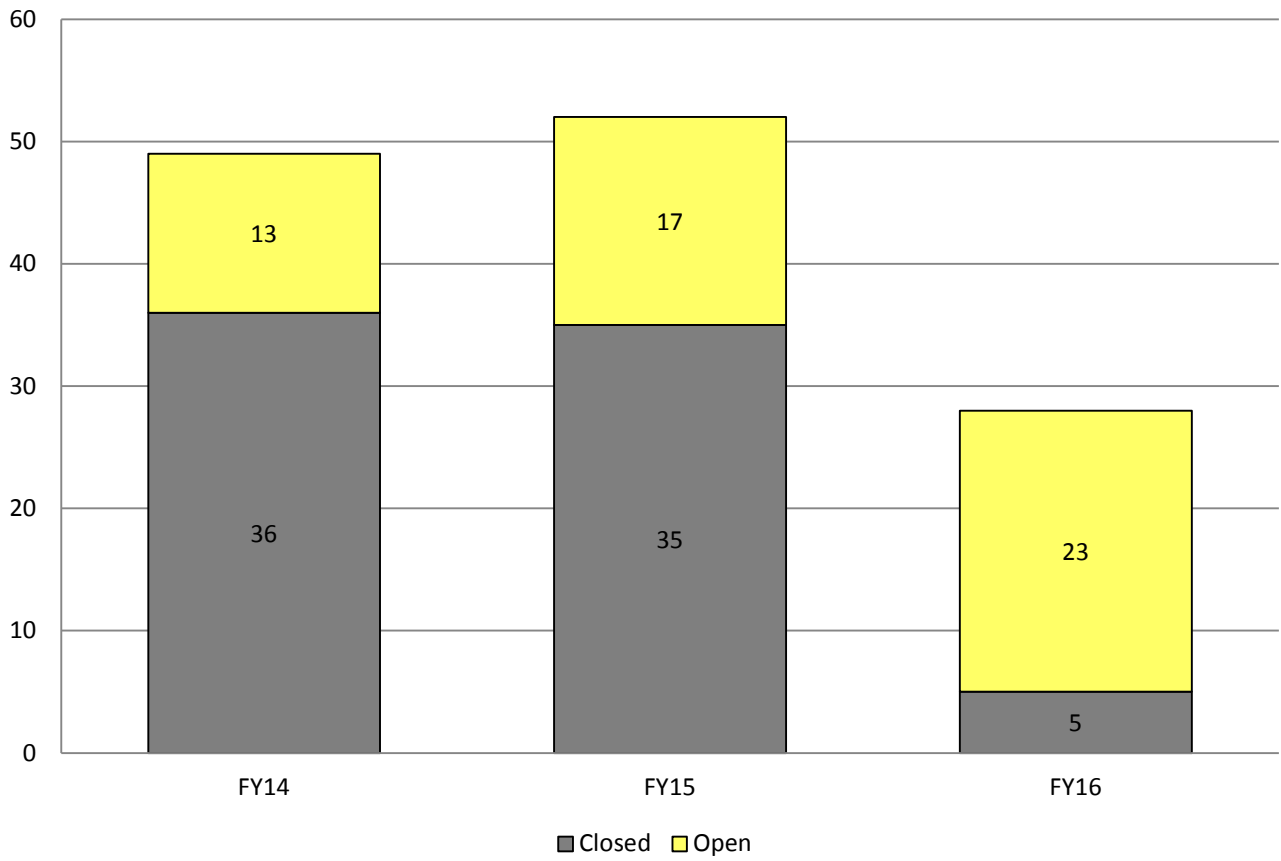
## **Hotline Case Management System Summary Statistical Reports**

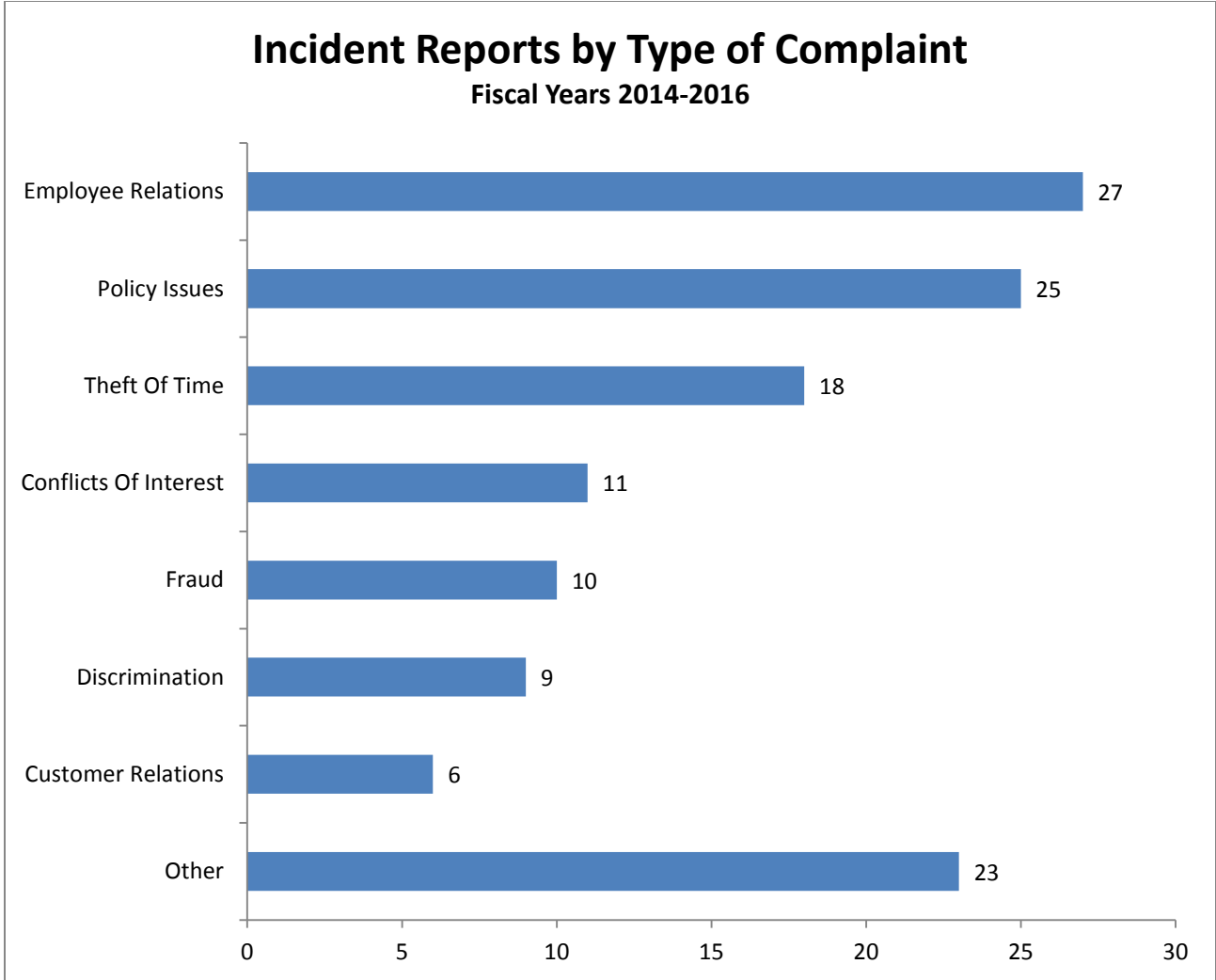
The remainder of this report presents summary information from the Hotline Case Management System for:

- Number of Incident Reports
- Incident Reports by Type of Complaint
- Anonymous and Non-Anonymous Incident Reports
- Disposition of Incident Reports
- Number of Open & Closed Cases
- Open Disposition Reports by Age

# Number of Incident Reports

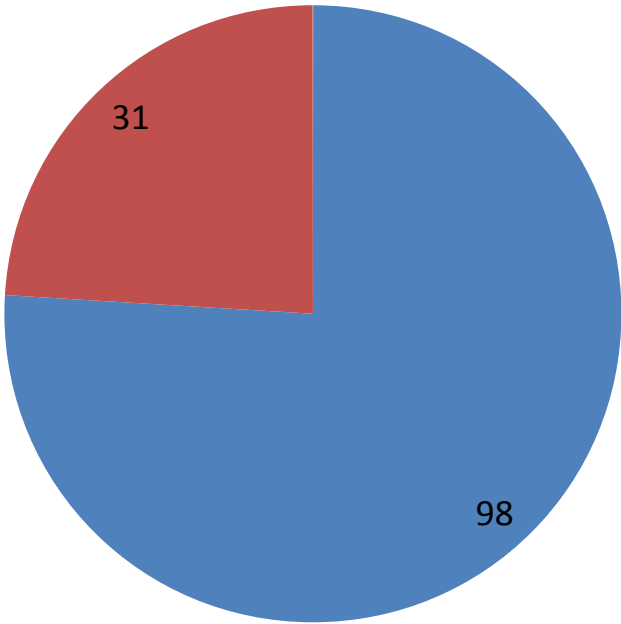
Fiscal years 2014-2016





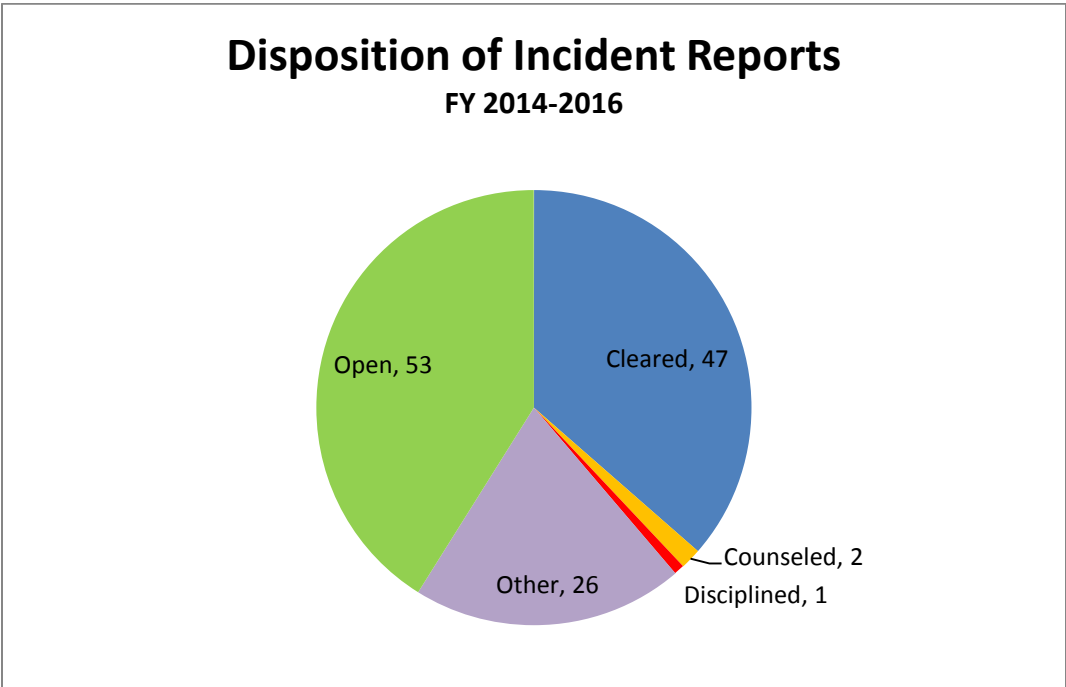
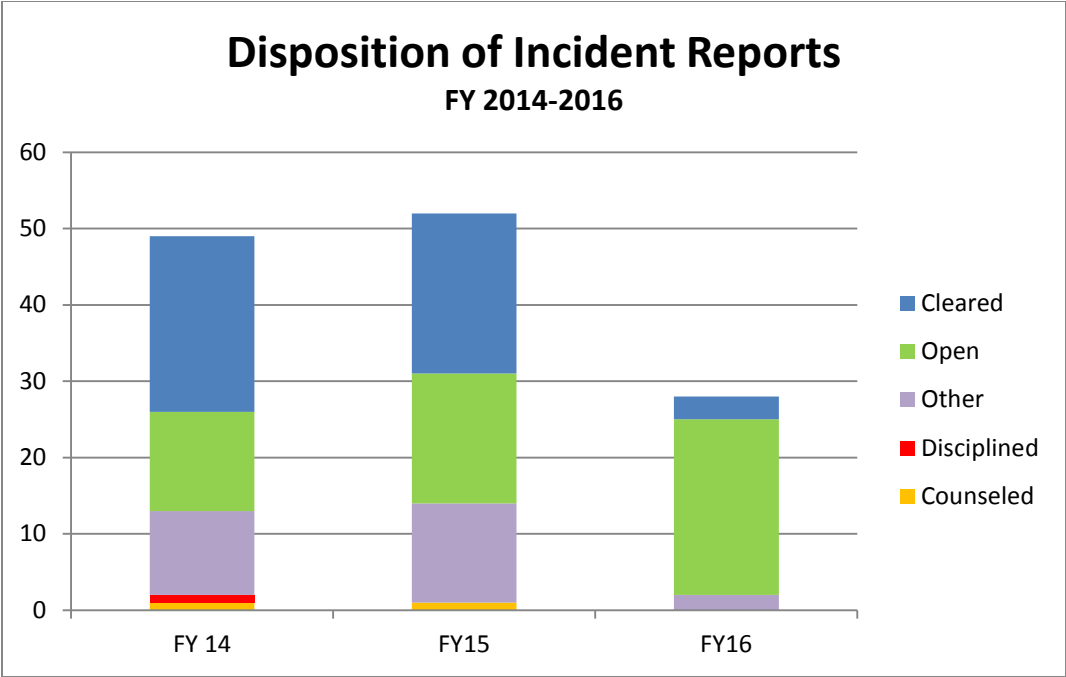
Note: The person making the complaint to the Hotline determines the Incident Type. NAVEX assigns an Incident Code based on the primary issue reported by the Caller.

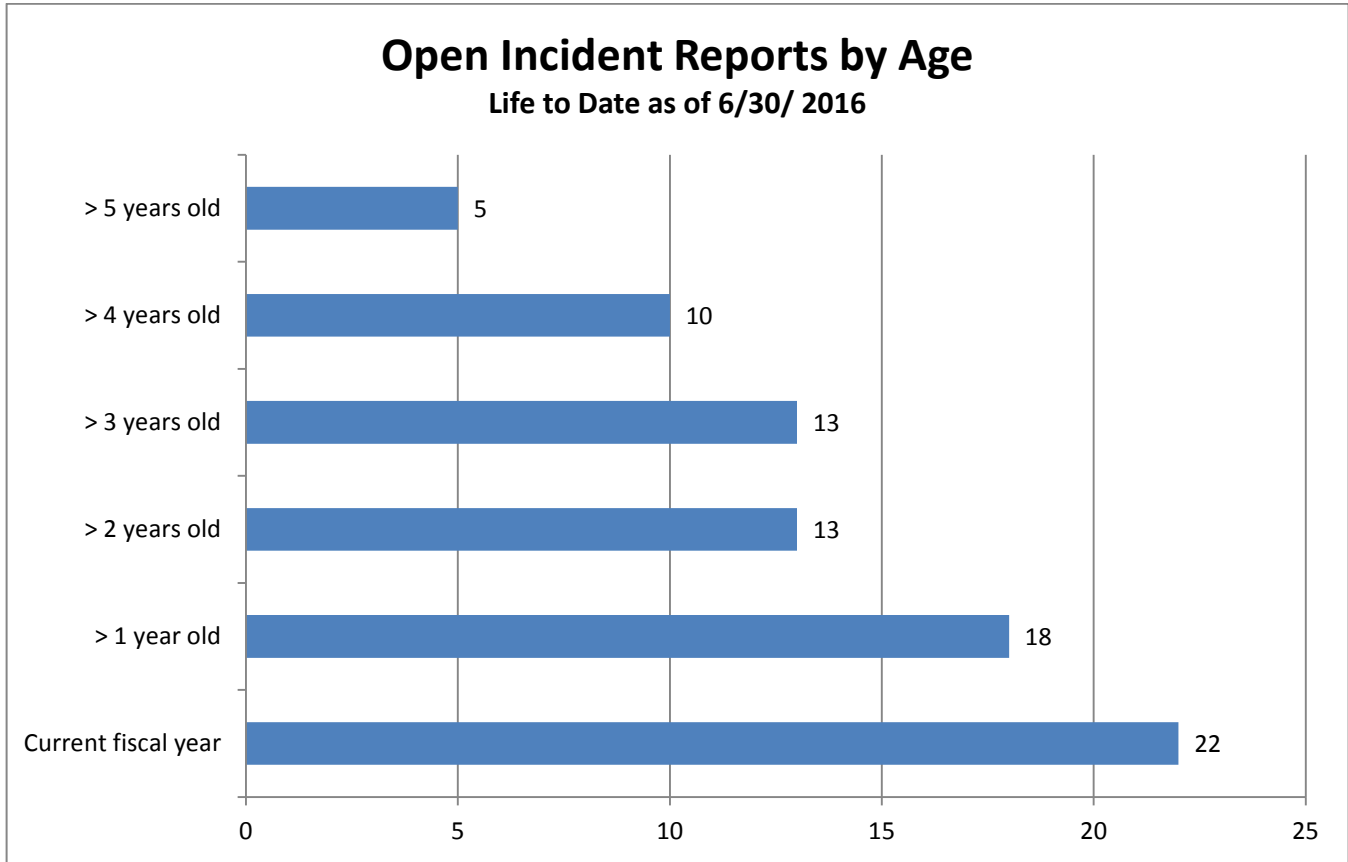
**Anonymous vs. Non-anonymous Incident Reports  
FY2014-2016**



■ Anonymous ■ Non-anonymous







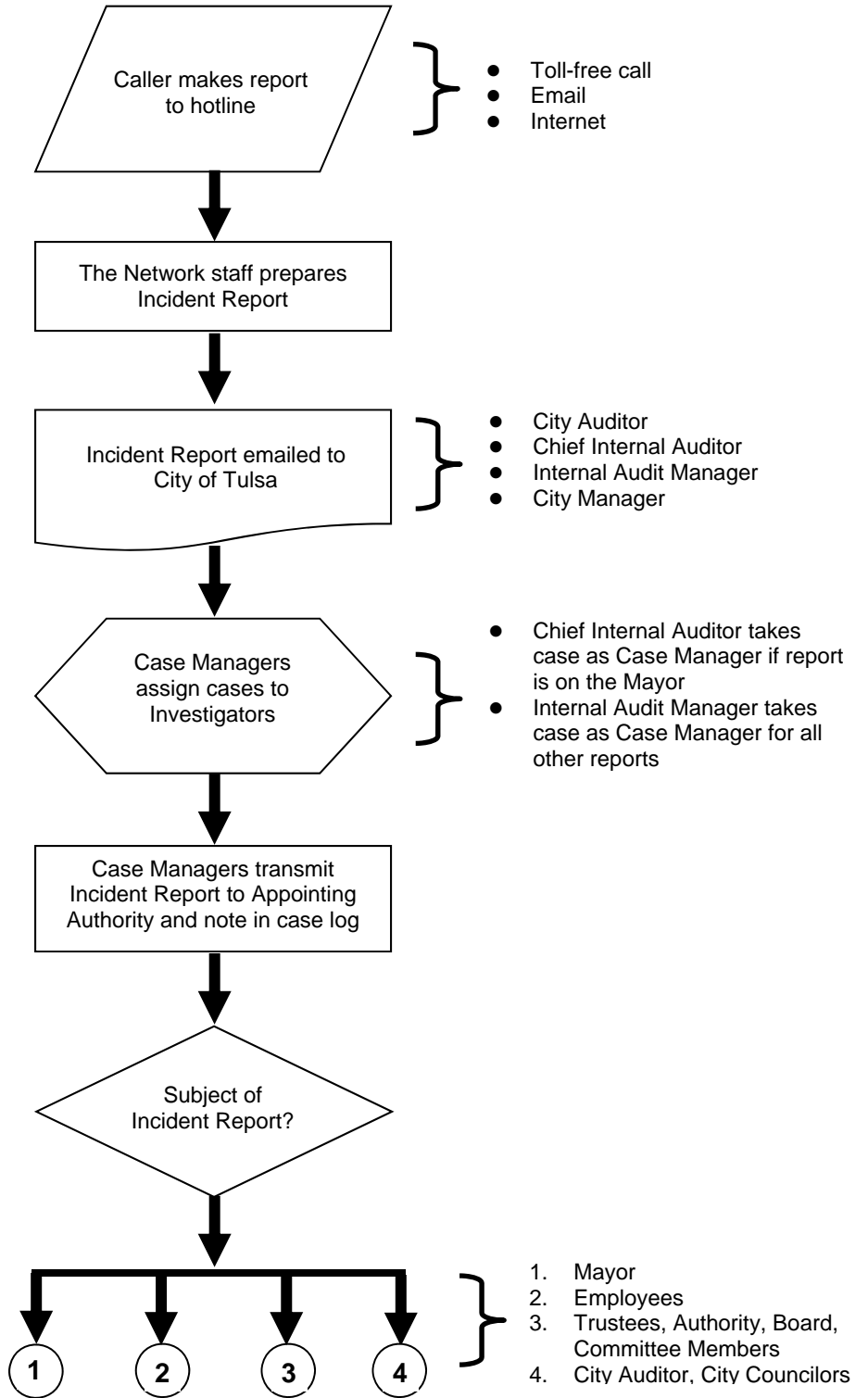
Note: Incident Reports stay open in the Case Management System until Internal Auditing is notified by the Appointing Authority the investigation is complete.

Open Incident reports date from April 6, 2011 to June 16, 2016.

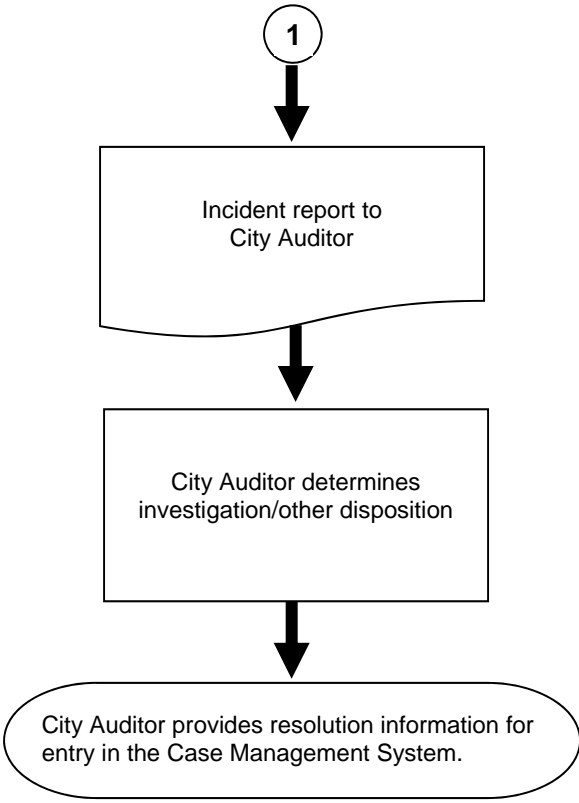
Older Incident Reports may have been investigated but notification from the Appointing Authorities was not received by Internal Auditing to close the Incident Report in the Case Management System. Internal Auditing periodically follows-up with the Appointing Authorities to determine if the investigations are complete and currently has work in process to complete closure of older Incident Reports remaining in the Case Management System.

# ETHICS HOTLINE REPORTING PROCESS

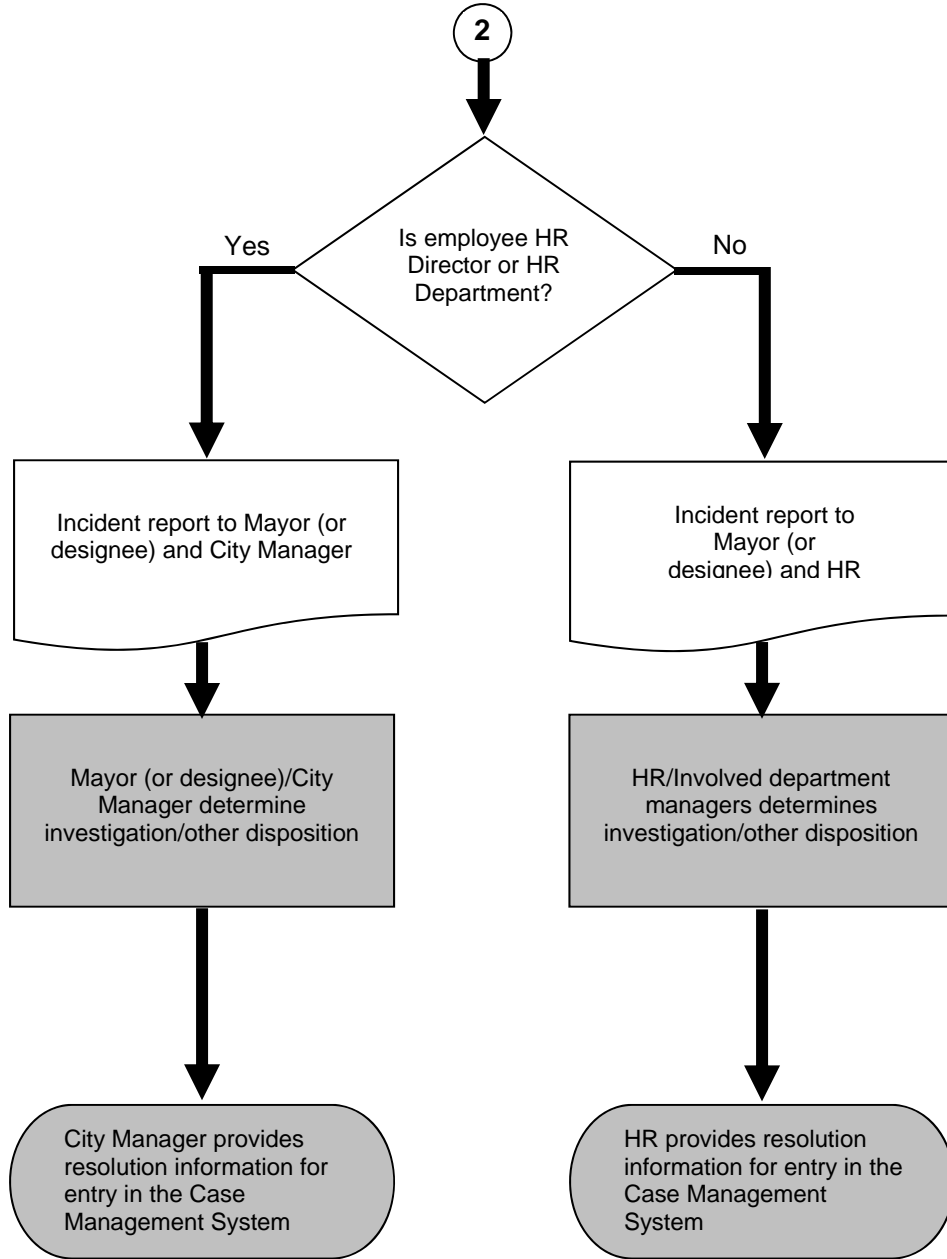
**NOTE:**  
Complaints may also be filed outside the hot line process with the City Clerk or Mayor/Designee under Ethics Ordinance Section 609 B. or C.



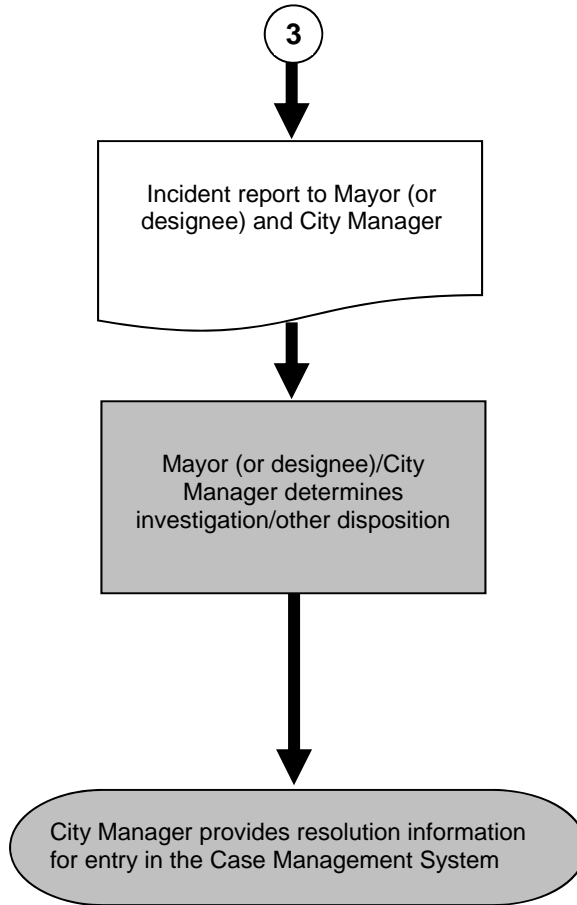
**PROCESSING OF HOT LINE REPORTS ON MAYOR**



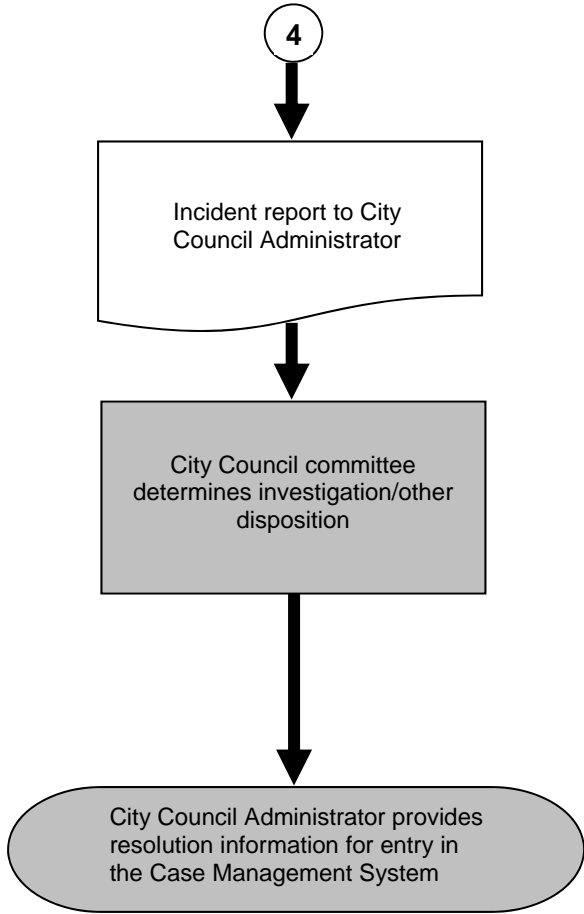
# PROCESSING OF HOT LINE REPORTS ON EMPLOYEES



**PROCESSING OF HOT LINE REPORTS ON TRUSTEES AND MEMBERS OF AUTHORITIES, BOARDS AND COMMITTEES**



**PROCESSING OF HOT LINE REPORTS ON CITY AUDITOR, CITY COUNCILORS**





**MEMORANDUM  
OFFICE OF THE CITY AUDITOR**

DATE: September 3, 2009

TO: Mayor and City Council

FROM: Phil Wood, City Auditor *Phil Wood*

SUBJECT: Hotline Process

I have received a copy of the City Council "Internal Operating Procedure for Addressing Alleged Ethics Violations And Similar Complaints" dated August 21, 2009. Enclosed is an updated Hotline Process Flowchart including the August 21, 2009 City Council Internal Operating Procedure.

Hotline incident report cases cannot be closed in the Hotline Case Management System without recording of the Outcome and Disposition information for the incident report. All incident report cases received through the Hotline involving the City Council will remain open in the Hotline Case Management System unless the Outcome and Disposition information are provided by the City Council for recording. The following standard message to the caller will be included in the Hotline Case Management System for incident report cases involving the City Council that remain open for 90 or more days:

**"The City Council internal operating procedures provide that referring entities shall not be informed as to the disposition of ethics complaints if the complaint was received anonymously through an intermediate, referring entity. Please contact the City Council at 918-596-1990 for information about resolution of this incident report".**

XC w/enclosure:

City Attorney  
 City Clerk  
 Human Resources Director  
 Council Administrator  
 Council Attorney  
 Council Secretary  
 Ethics Advisory Committee  
 Mayor's Audit Advisory Committee  
 Mayor's Ethics Management Group



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TULSA CITY COUNCIL  
*Memorandum*

**DATE:** August 21, 2009  
**TO:** City Councilors  
**FROM:** Don Cannon, Council Administrator *DC*  
**CC:** Drew Rees, Council Attorney  
**SUBJECT:** Internal Operating Procedure For Addressing Alleged Ethics Violations And Similar Complaints

RECEIVED  
 2009 AUG 24 P 1:46  
 DIRECTOR OF FINANCE

**In memorandums dated July 30, 2009 and August 12, 2009, recommended updates to the Council's internal procedure for addressing alleged ethics violations, and similar complaints, were forwarded to you for review and comment.**

**The following is the resultant internal operating procedure to be followed by the Council Office in the review of alleged ethics violations and similar complaints.**

If the City Council receives a complaint regarding an alleged violation by the City Council, a City Councilor, Councilors, or an entity under the Council's purview (e.g., the Council Staff or City Auditor), the following internal operating procedures shall be followed by the Council Administrator upon receipt of said complaint:

1. The Council Administrator shall alert the Councilor(s) or other individual(s) against whom the complaint was made, along with the Council Chairman and Council Vice Chairman, within three (3) working days.
2. The Council Administrator shall then convene an exploratory meeting with the Councilor(s) or other individual(s) against whom the complaint was filed. The Council Chairman and Council Vice Chairman (should they not be the subject of said complaint) shall be the other participants in that meeting. The meeting should be scheduled within two (2) calendar weeks of the receipt of the complaint by the Council Administrator. The Council Attorney may be asked to attend the meeting depending upon the situation and circumstances surrounding the complaint.
3. At this initial meeting, the Council Administrator (and/or Council Attorney) shall offer a preliminary analysis of the merits and known facts regarding said complaint.
4. If none of the reviewing officials present (Chairman, Vice Chairman, and Council Administrator) feel that the complaint warrants further investigation, the Council's review process will cease. At this point in the process, the remaining members of the

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Council will be alerted to the complaint for purely information purposes. Soon thereafter, the Council Administrator shall inform the complaining party or referring entity as to the action, or non-action, taken with respect to said complaint so that the individual who filed the complaint can be kept apprised. However, if the complaint was filed anonymously through an intermediate, referring entity, the referring entity shall not be informed as to the disposition of said complaint.

5. If one or more of the reviewing officials present at the meeting feel that the complaint warrants further investigation, (a) the Council Administrator shall more fully investigate the complaint; and/or (b) the Council Chairman shall call a Special Meeting/Executive Session of the City Council within ten (10) working days at which time the Council Administrator shall report his findings to the full Council.
6. After meeting in Executive Session, the Council may vote on an appropriate course of action to take in response to the complaint, including remedies provided under Article II, Section 4 ("Rules") of Tulsa's Amended City Charter.
7. Soon thereafter, the Council Administrator shall inform the complaining party or referring entity as to the action, or non-action, taken with respect to said complaint so that the individual who filed the complaint can be kept apprised. However, if the complaint was filed anonymously through an intermediate, referring entity, the referring entity shall not be informed as to the disposition of said complaint.

Please let me know if you have any questions.

Thank you.

*DS:ms*

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