



OFFICE OF INTERNAL AUDIT
LOUISVILLE, KENTUCKY

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PRESIDENT METRO COUNCIL

TO: Mayor Greg Fischer
Mayor's Office

FROM: Ingram Quick, CIA, CFE
Office of Internal Audit

DATE: February 17, 2015

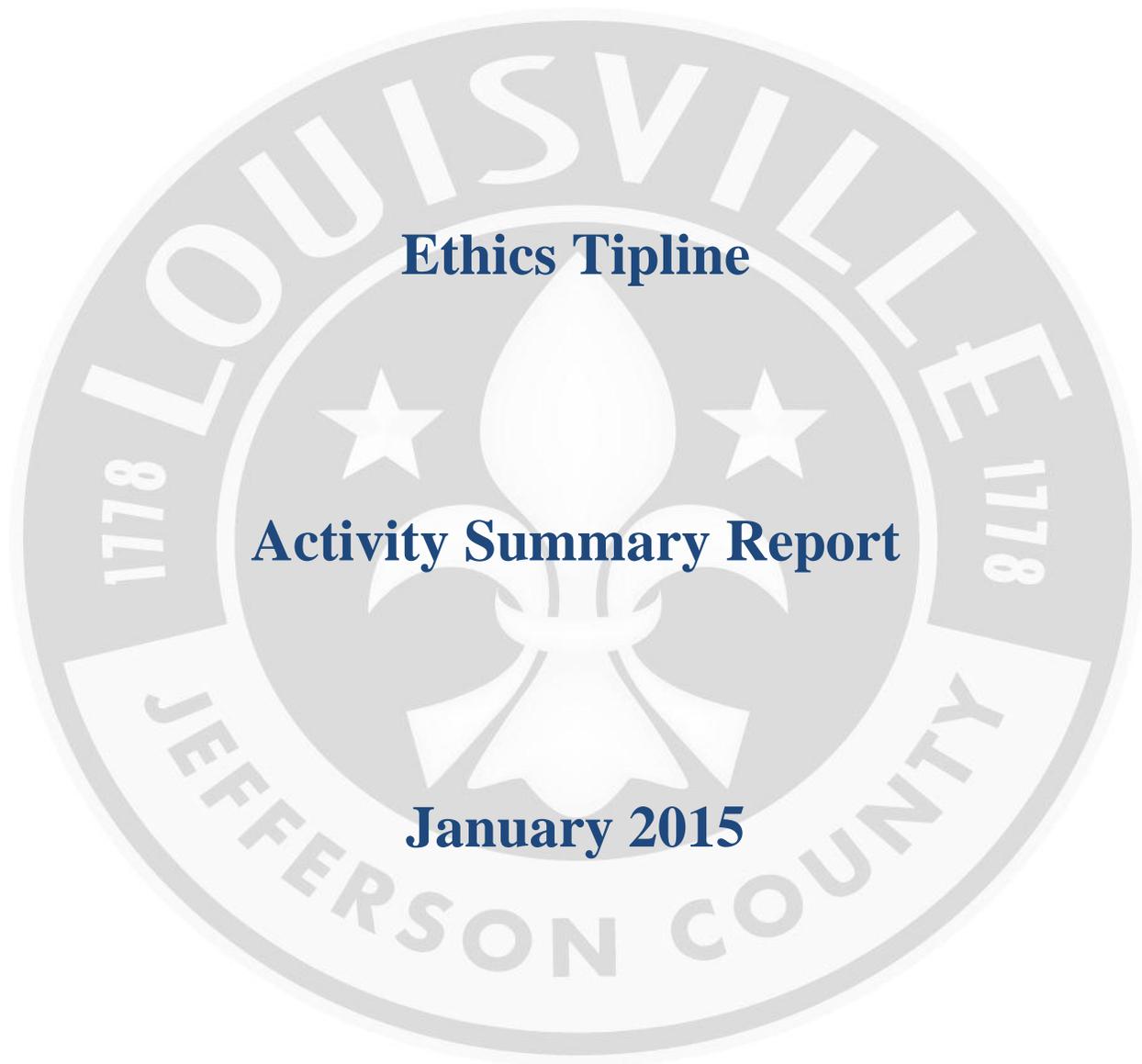
SUBJ: Ethics Tipline Monthly Reports – January 2015

Attached are the Ethics Tipline activity reports for January 2015. The Ethics Tipline ordinance requires the preparation and submission of monthly activity reports. There are two reports enclosed.

- **Activity Summary Report.** This report, which is prepared by the Office of Internal Audit, focuses on overall incident report volume.
- **Monthly Activity Report.** This report, which is prepared by the Office of Internal Audit, has two distinct sections. The Closed Incident Reports section contains details for all reports closed during the reporting period. The Open Incident Reports section contains limited information for the incident reports that are still open. In order to protect the integrity of the open investigations, complete information is not provided.

The monthly reports will be posted to the Ethics Tipline website. If you have any questions, or need additional information, please let me know.

cc: Louisville Metro Council President
Louisville Metro Council Government Accountability and Ethics Committee
Louisville Metro Council
Louisville Metro Ethics Commission
Louisville Metro Human Resources
Louisville Metro Human Relations Commission
Louisville Metro Police Department



Ethics Tipline

Activity Summary Report

January 2015

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

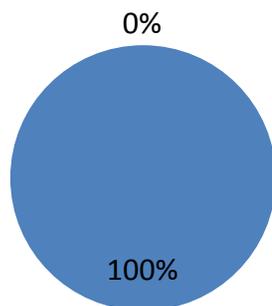
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information referrals*

Call Type	January 2015		Year to Date	
	Number	% of Total	Number	% of Total
Original	4	66.7%	4	66.7%
Call Back	2	33.3%	2	33.3%
Other	0	0%	12	0%
Total	6		100	

ANONYMOUS REPORT ACTIVITY

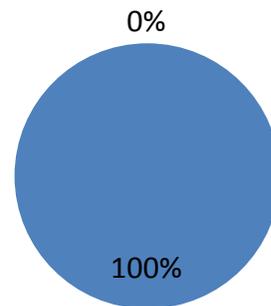
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

January 2015



- Anonymous Source Reports
- Non-Anonymous Source Reports

Year to Date



- Anonymous Source Reports
- Non-Anonymous Source Reports

INCIDENT TYPE

Incident Type describes the general nature of the incident. The data is sorted by the number of reports for the Year to Date.

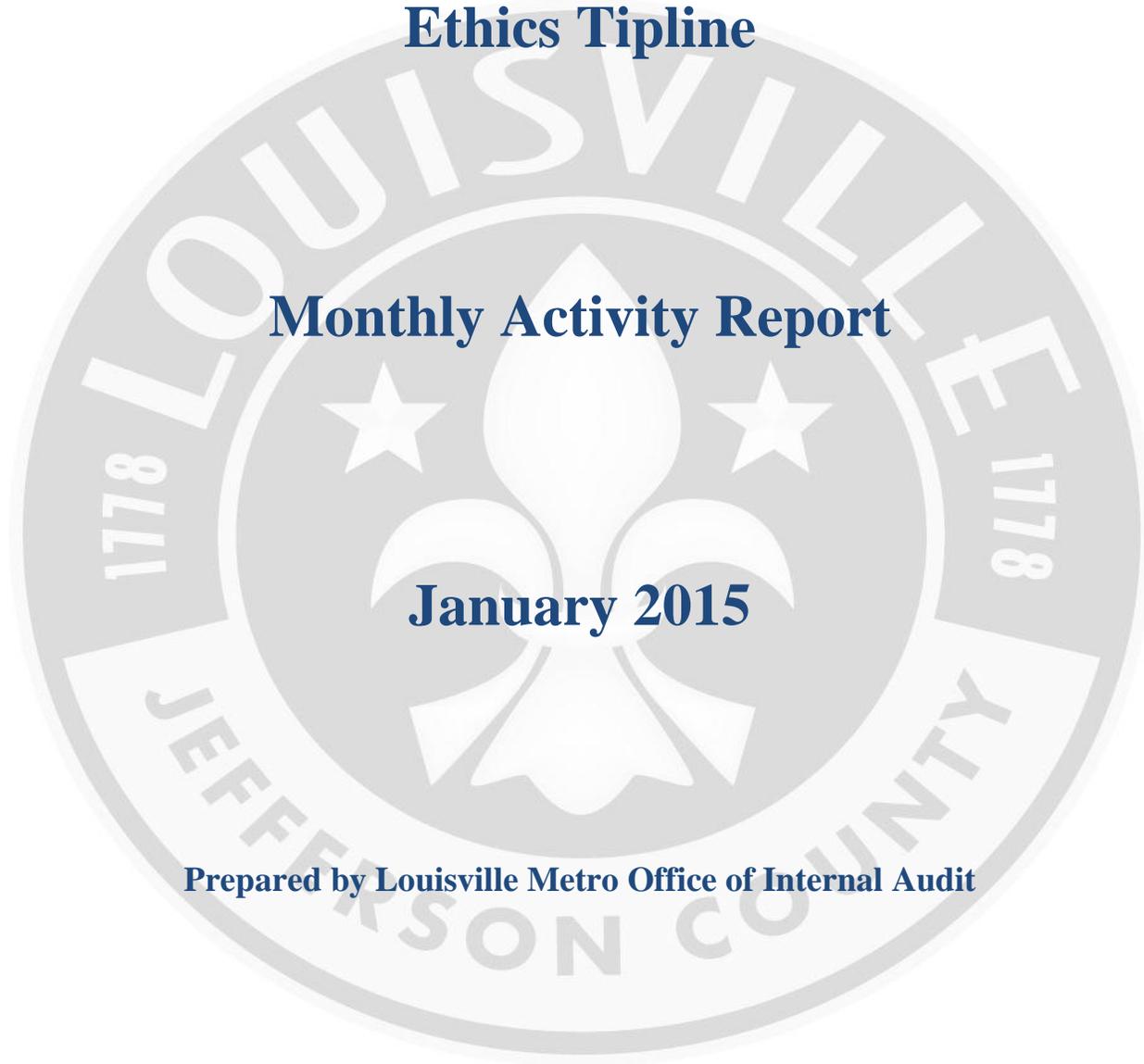
Incident Type	January 2015		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	1	25.0%	1	25.0%
Employee Relations	1	25.0%	1	25.0%
Theft of Goods/Services	1	25.0%	1	25.0%
Workplace Violence/Threats	1	25.0%	1	25.0%
Accounting/Audit Irregularities	0	0.0%	0	0.0%
Conflicts of Interest	0	0.0%	0	0.0%
Customer Relations	0	0.0%	0	0.0%
Falsification of Company Records	0	0.0%	0	0.0%
Fraud	0	0.0%	0	0.0%
Fraudulent Insurance Claim	0	0.0%	0	0.0%
Kickbacks	0	0.0%	0	0.0%
Policy Issues	0	0.0%	0	0.0%
Product Quality Concern	0	0.0%	0	0.0%
Release of Proprietary Information	0	0.0%	0	0.0%
Retaliation of Whistleblowers	0	0.0%	0	0.0%
Safety Issues And Sanitation	0	0.0%	0	0.0%
Sexual Harassment	0	0.0%	0	0.0%
Substance Abuse	0	0.0%	0	0.0%
Theft of Cash	0	0.0%	0	0.0%
Theft of Time	0	0.0%	0	0.0%
Unauthorized Discounts	0	0.0%	0	0.0%
Total	4		4	

Ethics Tipline

Monthly Activity Report

January 2015

Prepared by Louisville Metro Office of Internal Audit



I. Closed Reports

Control #	Report Number	Report Date	Incident Type	Department Name	Case Manager Department	Closed Date	Outcome
1	120303205	9/25/2014	Substance Abuse	Non Metro - Louisville Water Company	Human Resources	1/21/2015	No Investigation Necessary ⁽¹⁾
2	120624516	12/1/2014	Policy Issues	Community Services	Human Resources	1/9/2015	No Corrective Action Taken ⁽²⁾

⁽¹⁾ Case Manager Department determined that individuals identified in the incident report were not employees or vendors of Louisville Metro Government. Therefore, no investigation was necessary.

⁽²⁾ Investigation by Case Manager Department did not produce evidence to substantiate the allegation. Therefore, no corrective action was necessary.

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	120114475	8/15/2014	Police
2	120114552	8/15/2014	Police
3	120300742	9/24/2014	Police
4	120543480	11/12/2014	Human Resources
5	120571884	11/18/2014	Human Resources
6	120608118	11/25/2014	Human Resources
7	120732265	12/22/2014	Police
8	120743568	12/26/2014	Police
9	120790402	1/7/2015	Police
10	120839392	1/16/2015	Police
11	120877160	1/23/2015	Human Resources
12	120898493	1/28/2015	Human Resources