



OFFICE OF INTERNAL AUDIT
LOUISVILLE, KENTUCKY

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PRESIDENT METRO COUNCIL

TO: Mayor Greg Fischer
Mayor's Office

FROM: May R. Porter, CIA
Office of Internal Audit

DATE: March 15, 2016

SUBJ: Ethics Tipline Monthly Reports – February 2016

Attached are the Ethics Tipline activity reports for February 2016. 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

February 2016

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

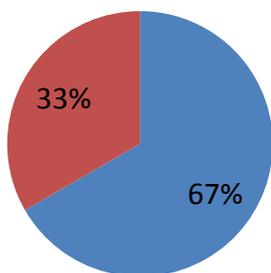
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	February 2016		Year to Date	
	Number	% of Total	Number	% of Total
Original	6	60%	12	41%
Call Back	2	20%	11	38%
Other	2	20%	6	21%
Total	10		29	

ANONYMOUS REPORT ACTIVITY

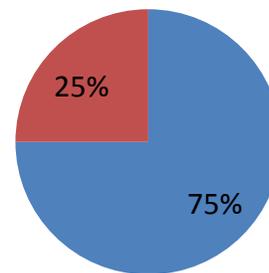
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

February 2016



- 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.

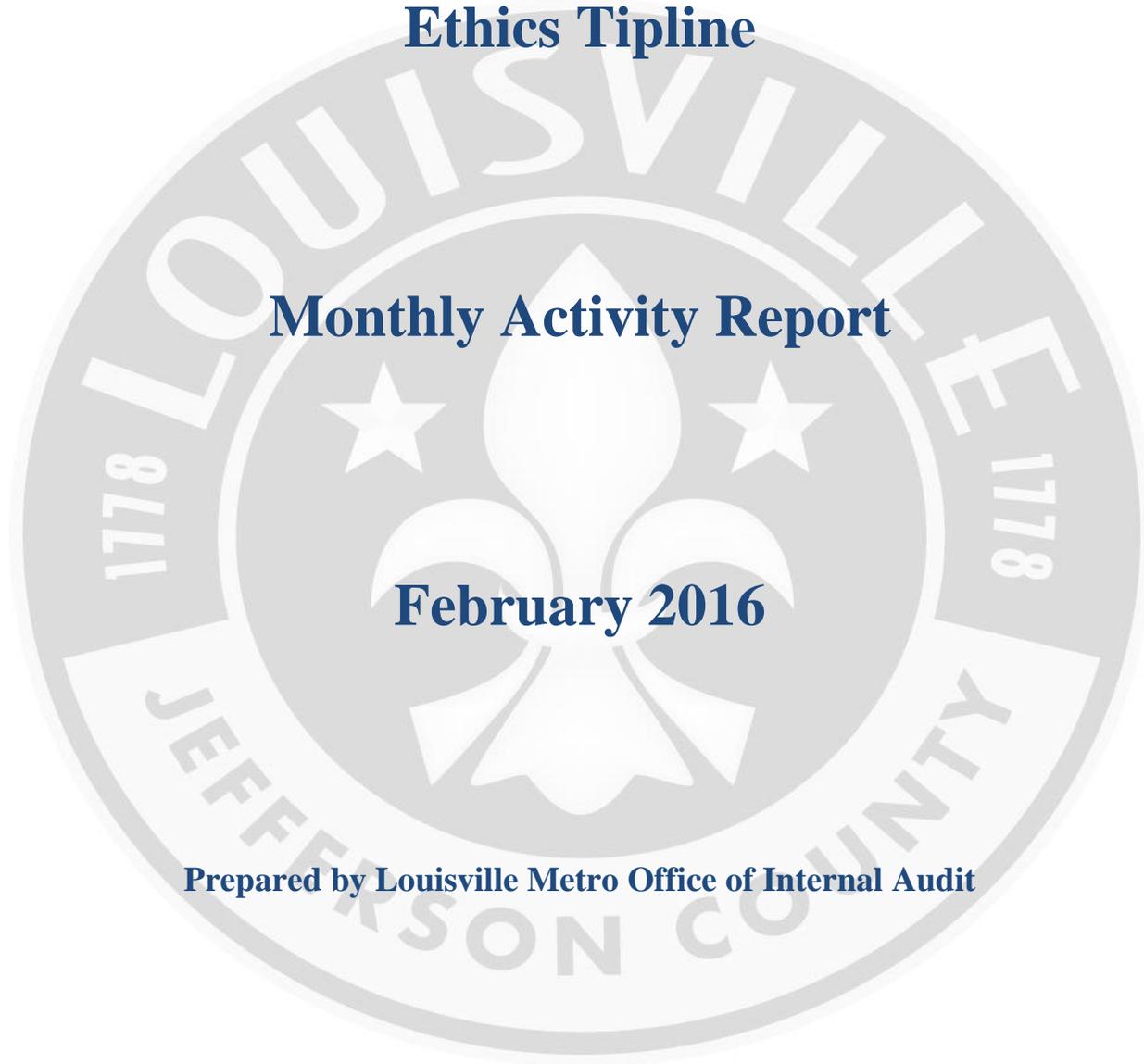
Incident Type	February 2016		Year to Date	
	Number	% of Total	Number	% of Total
Policy Issues	1	16.7%	5	41.7%
Employee Relations	1	16.7%	2	16.7%
Theft of Time	0	0.0%	1	8.3%
Substance Abuse	1	16.7%	1	8.3%
Fraud	1	16.7%	1	8.3%
Safety Issues And Sanitation	1	16.7%	1	8.3%
Kickbacks	1	16.7%	1	8.3%
Discrimination	0	0.0%	0	0.0%
Wage/Hour Issues	0	0.0%	0	0.0%
Theft of Goods/Services	0	0.0%	0	0.0%
Workplace Violence/Threats	0	0.0%	0	0.0%
Conflicts of Interest	0	0.0%	0	0.0%
Customer Relations	0	0.0%	0	0.0%
Fraudulent Insurance Claim	0	0.0%	0	0.0%
Retaliation of Whistleblowers	0	0.0%	0	0.0%
Sexual Harassment	0	0.0%	0	0.0%
Accounting/Audit Irregularities	0	0.0%	0	0.0%
Falsification of Company Records	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%
Theft of Cash	0	0.0%	0	0.0%
Total	6		12	

Ethics Tipline

Monthly Activity Report

February 2016

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	120839392	1/16/2015	Workplace Violence / Threats	Police	Police	2/19/2016	No Investigation Necessary ⁽¹⁾
2	121863302	8/2/2015	Employee Relations	OMB – Fleet and Facilities	Human Resources	2/12/2016	No Corrective Action Taken ⁽²⁾
3	121991686	8/25/2015	Sexual Harassment	Metro Parks	Human Resources	2/17/2016	No Corrective Action Taken ⁽³⁾
4	122654089	12/17/2015	Employee Relations	Community Services	Human Resources	2/12/2016	No Corrective Action Taken ⁽⁴⁾
5	122709885	12/29/2015	Employee Relations	Metro Parks	Human Resources	2/12/2016	No Corrective Action Taken ⁽⁴⁾
6	122925596	2/5/2016	Policy Issues	Metro Parks	Human Resources	2/15/2016	No Corrective Action Taken ⁽⁵⁾
7	122996550	2/17/2016	Fraud	Non Metro - Business	Police	2/19/2016	No Investigation Necessary ⁽⁶⁾

⁽¹⁾ Based on the information provided by the complainant, there was insufficient information provided to proceed with an investigation.

⁽²⁾ Investigation by Case Manager Department determined that the allegation(s) had previously been investigated and addressed by the responsible department.

⁽³⁾ Investigation by Case Manager Department did not produce evidence to substantiate the specific allegation reported in the incident.

⁽⁴⁾ Investigation by Case Manager Department did not produce evidence to substantiate the specific allegation reported in the incident. Therefore, no corrective action was necessary related to the alleged incident. However, corrective actions were taken to address other issues identified during the investigation.

⁽⁵⁾ Based on information provided by the Department, Case Manager Department determined there was not a violation of Louisville Metro policy. Therefore, no corrective action was necessary.

⁽⁶⁾ The Case Manager Department determined that individuals identified in incident report were not employees or vendors of Louisville Metro Government. Therefore, no investigation was necessary.

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	122117647	9/16/2015	Police
2	122135078	9/20/2015	Police
3	122600397	12/9/2015	Human Resources
4	122788988	1/13/2016	Human Resources
5	122795053	1/13/2016	Human Resources
6	122796855	1/14/2016	Human Resources
7	122820312	1/18/2016	Human Resources
8	122827688	1/19/2016	Human Resources
9	122832140	1/20/2016	Human Resources
10	122896589	2/1/2016	Human Resources
11	122984342	2/16/2016	Internal Audit
12	123001407	2/18/2016	Human Resources
13	123061073	2/29/2016	Human Resources