OFFICE OF INTERNAL AUDIT
LOUISVILLE, KENTUCKY

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MAYOR

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PRESIDENT METRO COUNCIL

INGRAM QUICK, CHIEF AUDIT EXECUTIVE

TO: Mayor Greg Fischer
Mayor's Office

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

DATE: June 12, 2015

SUBJ: Ethics Tipline Monthly Reports – May 2015

Attached are the Ethics Tipline activity reports for May 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

May 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

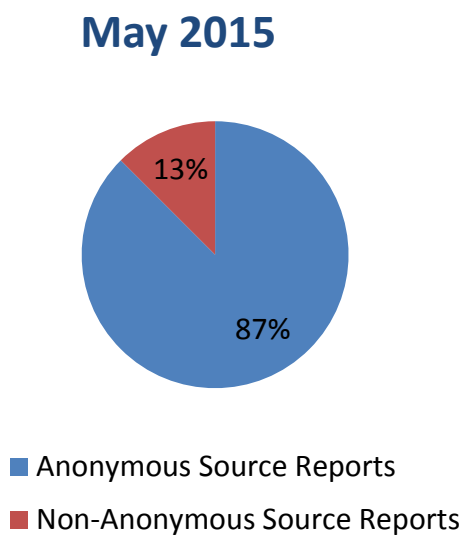
(2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller

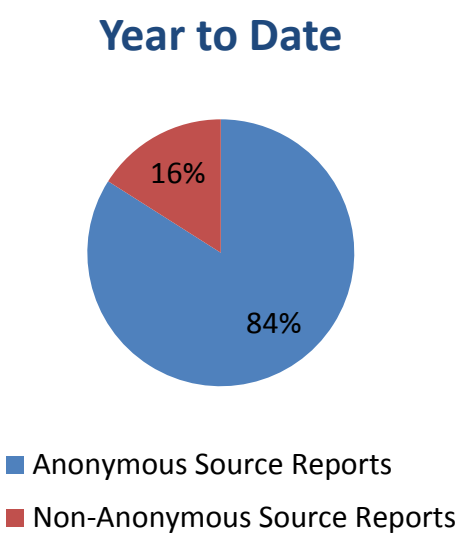
(3) Other includes calls such as wrong numbers, hang-ups, and information referrals

	May 2015		Year to Date	
Call Type	**Number**	**% of Total**	**Number**	**% of Total**
Original	8	80%	25	61%
Call Back	1	10%	12	29%
Other	1	10%	4	10%
Total	**10**		**41**	

ANONYMOUS REPORT ACTIVITY

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





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.

	May 2015		Year to Date	
Incident Type	**Number**	**% of Total**	**Number**	**% of Total**
Discrimination	2	25.0%	5	20.0%
Employee Relations	1	12.5%	5	20.0%
Policy Issues	1	12.5%	4	16.0%
Substance Abuse	2	25.0%	2	8.0%
Wage/Hour Issues	1	12.5%	2	8.0%
Workplace Violence/Threats	1	12.5%	2	8.0%
Conflicts of Interest	0	0.0%	1	4.0%
Customer Relations	0	0.0%	1	4.0%
Fraud	0	0.0%	1	4.0%
Fraudulent Insurance Claim	0	0.0%	1	4.0%
Theft of Goods/Services	0	0.0%	1	4.0%
Accounting/Audit Irregularities	0	0.0%	0	0.0%
Falsification of Company Records	0	0.0%	0	0.0%
Kickbacks	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%
Theft of Cash	0	0.0%	0	0.0%
Theft of Time	0	0.0%	0	0.0%
Total	**8**		**25**	

Ethics Tipline

Monthly Activity Report

May 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	121184797	3/25/2015	Employee Relations	Youth Detention Services	Human Resources	5/6/2015	Corrective Action Taken
2	121274525	4/12/2015	Falsification of Company Records	Health & Wellness	Human Resources	5/14/2015	Corrective Action Taken
3	121356415	4/28/2015	Policy Issues	Animal Services	Human Resources	5/14/2015	No Corrective Action Taken [(1)]
4	121357278	4/28/2015	Fraudulent Insurance Claims	Youth Detention Services	Police	5/22/2015	No Investigation Necessary [(2)]
5	121410913	5/8/2015	Substance Abuse	Animal Services	Human Resources	5/14/2015	Corrective Action Taken

[(1)] Investigation by Case Manager Department did not produce evidence to substantiate the allegation. Therefore, no corrective action was necessary.
[(2)] Based on information provided by the complainant and management, Case Manager Department determined no investigation 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	120732265	12/22/2014	Police
5	120743568	12/26/2014	Police
6	120790402	1/7/2015	Police
7	120839392	1/16/2015	Police
8	121187269	3/26/2015	Human Resources
9	121230354	4/3/2015	Human Resources
10	121274420	4/12/2015	Human Resources
11	121345627	4/25/2015	Police
12	121458683	5/18/2015	Human Resources
13	121488018	5/22/2015	Human Resources
14	121505271	5/27/2015	Human Resources

15	121505194	5/27/2015	Human Resources
16	121505311	5/27/2015	Human Resources
17	121513198	5/28/2015	Police