



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: August 15, 2015

SUBJ: Ethics Tipline Monthly Reports – July 2015

Attached are the Ethics Tipline activity reports for July 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

July 2015

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

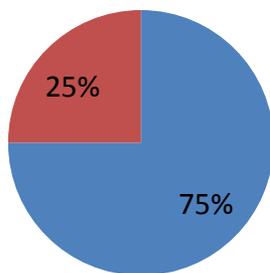
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	July 2015		Year to Date	
	Number	% of Total	Number	% of Total
Original	4	17%	38	34%
Call Back	3	13%	21	41%
Other	16	70%	20	25%
Total	23		79	

ANONYMOUS REPORT ACTIVITY

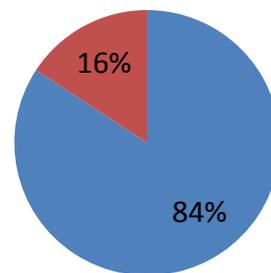
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

July 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	July 2015		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	0	0.0%	10	26.3%
Employee Relations	1	25.0%	7	18.4%
Policy Issues	0	0.0%	5	13.2%
Substance Abuse	1	25.0%	3	7.9%
Wage/Hour Issues	1	25.0%	3	7.9%
Fraud	0	0.0%	2	5.3%
Workplace Violence/Threats	1	25.0%	2	5.3%
Conflicts of Interest	0	0.0%	1	2.6%
Customer Relations	0	0.0%	1	2.6%
Fraudulent Insurance Claim	0	0.0%	1	2.6%
Retaliation of Whistleblowers	0	0.0%	1	2.6%
Theft of Goods/Services	0	0.0%	1	2.6%
Theft of Time	0	0.0%	1	2.6%
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%
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%
Total	47		38	

Ethics Tipline

Monthly Activity Report

July 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	121345627	4/25/2015	Fraud	Non Metro - County Attorney's Office	Police PIU	7/16/2015	No Investigation Necessary ⁽¹⁾
2	121488018	5/22/2015	Discrimination	Office of Management and Budget	Human Resources	7/22/2015	No Corrective Action Taken ⁽²⁾
3	121520743	5/29/2015	Discrimination	Office of Management and Budget	Human Resources	7/22/2015	No Corrective Action Taken ⁽²⁾
4	121531707	6/1/2015	Discrimination	Office of Management and Budget	Human Resources	7/22/2015	No Corrective Action Taken ⁽²⁾
5	121548888	6/4/2015	Discrimination	Office of Management and Budget	Human Resources	7/22/2015	No Corrective Action Taken ⁽²⁾
6	121553907	6/5/2015	Retaliation of Whistleblowers	Animal Services	Human Resources	7/16/2015	Corrective Action Taken
7	121554849	6/5/2015	Discrimination	Office of Management and Budget	Human Resources	7/22/2015	No Corrective Action Taken ⁽²⁾
8	121622807	6/18/2015	Discrimination	Office of Management and Budget	Human Resources	7/16/2015	No Investigation Necessary ⁽³⁾
9	121626056	6/18/2015	Theft of Time	Develop Louisville	Human Resources	7/1/2015	No Corrective Action Taken ⁽²⁾
10	121692054	7/1/2015	Substance Abuse	Metro Parks	Human Resources	7/17/2015	No Corrective Action Taken ⁽²⁾
11	121753949	7/13/2015	Workplace Violence / Threats	Economic Development	Internal Audit	7/15/2015	Corrective Action Taken
12	121761004	7/14/2015	Wage / Hour Issues	Non Metro - Local Business	Internal Audit	7/15/2015	No Investigation Necessary ⁽¹⁾

⁽¹⁾ Based on information provided by the complainant, Case Manager determined no investigation was necessary and provided information regarding their options on where to appropriately report the complaint.

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

⁽³⁾ Based on the information provided, Case Manager Department determined there was 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	121458683	5/18/2015	Human Resources
9	121543009	6/3/2015	Human Resources
10	121554970	6/5/2015	Police
11	121806420	7/22/2015	Human Resources