



OFFICE OF INTERNAL AUDIT
LOUISVILLE, KENTUCKY

GREG FISCHER
MAYOR

MAY R. PORTER, CHIEF AUDIT EXECUTIVE

DAVID YATES
PRESIDENT METRO COUNCIL

TO: Mayor Greg Fischer
Mayor's Office

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

DATE: August 15, 2016

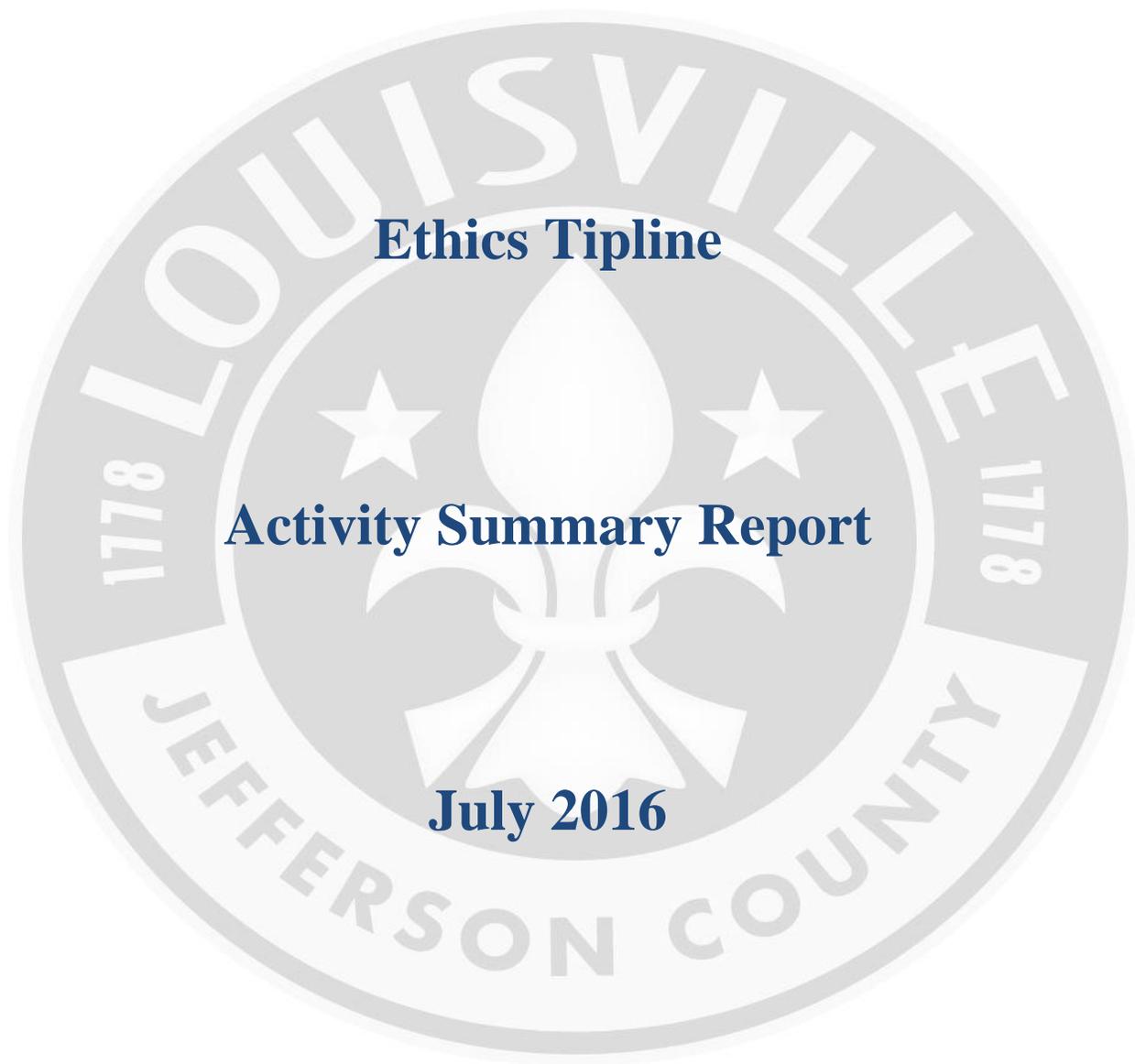
SUBJ: Ethics Tipline Monthly Reports – July 2016

Attached are the Ethics Tipline activity reports for July 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
Chief of Community Building
Chief of Public Safety
Chief of Louisville Forward



Ethics Tipline

Activity Summary Report

July 2016

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

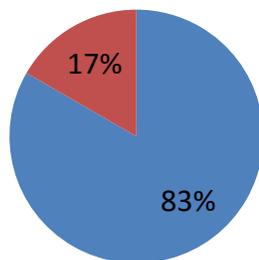
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	July 2016		Year to Date	
	Number	% of Total	Number	% of Total
Original	6	33.3%	35	40.2%
Call Back	7	38.9%	32	36.8%
Other	5	27.8%	20	23.0%
Total	18		87	

ANONYMOUS REPORT ACTIVITY

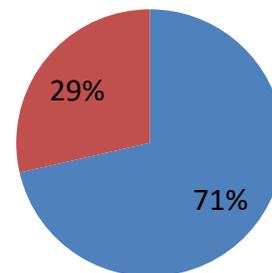
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

July 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.

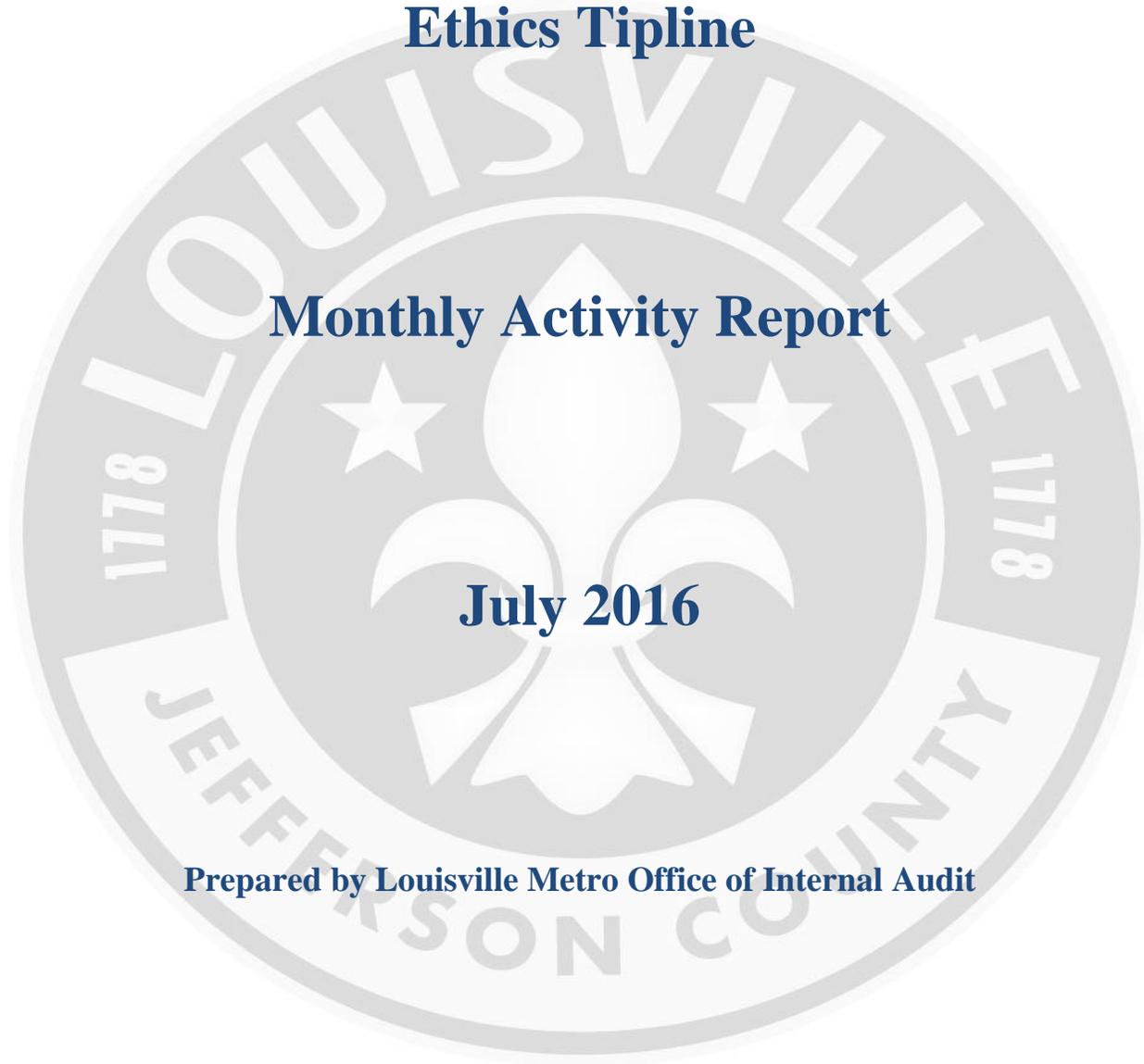
Incident Type	July 2016		Year to Date	
	Number	% of Total	Number	% of Total
Policy Issues	1	16.7%	6	17.1%
Employee Relations	1	16.7%	5	14.3%
Theft of Time	0	0.0%	3	8.6%
Safety Issues And Sanitation	0	0.0%	4	11.4%
Retaliation of Whistleblowers	0	0.0%	2	5.7%
Substance Abuse	0	0.0%	2	5.7%
Fraud	0	0.0%	1	2.9%
Kickbacks	0	0.0%	1	2.9%
Discrimination	1	16.7%	3	8.6%
Workplace Violence/Threats	0	0.0%	1	2.9%
Wage/Hour Issues	1	16.7%	1	2.9%
Theft of Goods/Services	0	0.0%	0	0.0%
Conflicts of Interest	0	0.0%	1	2.9%
Customer Relations	0	0.0%	0	0.0%
Fraudulent Insurance Claim	0	0.0%	1	2.9%
Sexual Harassment	2	33.3%	2	5.7%
Accounting/Audit Irregularities	0	0.0%	1	2.9%
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%
Unauthorized Discounts	0	0.0%	1	2.9%
Total	6		35	

Ethics Tipline

Monthly Activity Report

July 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	122117647	9/16/2015	Policy Issues	Animal Services	Human Resources	7/29/2016	Corrective Action Taken ⁽²⁾
2	123127425	3/10/2016	Employee Relations	Animal Services	Human Resources	7/29/2016	No Corrective Action Taken ⁽¹⁾
3	123364520	4/21/2016	Safety Issues and Sanitation	Codes and Regulations	Human Resources	7/11/2016	No Corrective Action Taken ⁽¹⁾
4	123744022	6/30/2016	Unauthorized Discounts	Animal Services	Human Resources	7/29/2016	No Corrective Action Taken ⁽¹⁾
5	123770506	7/6/2016	Wage / Hour Issues	Non Metro - Business	Internal Audit	7/7/2016	No Investigation Necessary ⁽³⁾
6	123771391	7/6/2016	Fraud	Animal Services	Human Resources	7/29/2016	No Corrective Action Taken ⁽⁴⁾

⁽¹⁾ The incident was investigated and the allegations made during this incident could not be substantiated.

⁽²⁾ The incident was investigated and the allegation was substantiated.

⁽³⁾ Based on information provided by the complainant, the Case Manager determined no investigation was necessary and provided information regarding their options on where to appropriately report the complaint.

⁽⁴⁾ The incident was investigated and was determined not to be a violation of Louisville Metro Government Policy.

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	122827688	1/19/2016	Human Resources
2	122832140	1/20/2016	Human Resources
3	122984342	2/16/2016	Internal Audit
4	123196542	3/23/2016	Human Resources
5	123539313	5/23/2016	Internal Audit
6	123683417	6/20/2016	Human Resources
7	123712454	6/24/2016	Human Resources
8	123719288	6/27/2016	Human Resources
9	123720014	6/27/2016	Human Resources
10	123766892	7/6/2016	Internal Audit
11	123773647	7/7/2016	Human Resources
12	123834479	7/19/2016	Human Resources
13	123860456	7/23/2016	Human Resources