



OFFICE OF INTERNAL AUDIT
LOUISVILLE, KENTUCKY

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TO: Mayor Greg Fischer
Mayor's Office

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

DATE: December 15, 2015

SUBJ: Ethics Tipline Monthly Reports – November 2015

Attached are the Ethics Tipline activity reports for November 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

November 2015

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

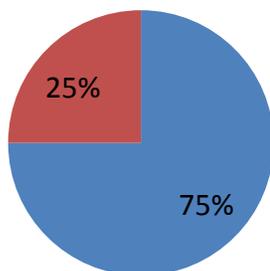
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	November 2015		Year to Date	
	Number	% of Total	Number	% of Total
Original	4	33%	51	43%
Call Back	6	50%	33	28%
Other	2	17%	34	29%
Total	12		118	

ANONYMOUS REPORT ACTIVITY

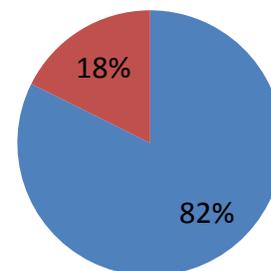
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

November 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.

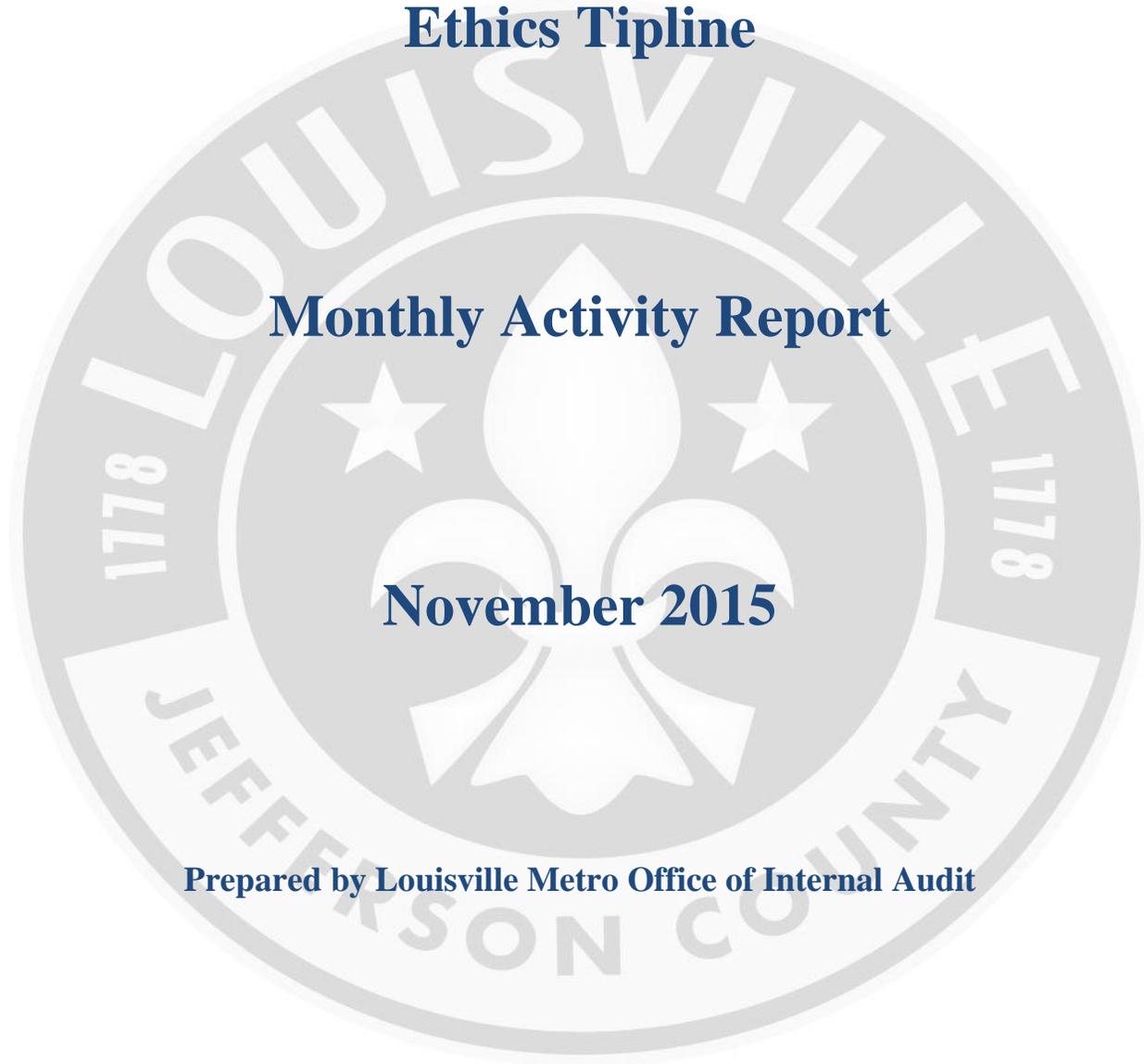
Incident Type	November 2015		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	1	25.0%	12	23.5%
Employee Relations	0	0.0%	10	19.6%
Policy Issues	1	25.0%	6	11.8%
Wage/Hour Issues	1	25.0%	6	11.8%
Substance Abuse	0	0.0%	3	5.9%
Fraud	0	0.0%	3	5.9%
Theft of Goods/Services	1	25.0%	3	5.9%
Workplace Violence/Threats	0	0.0%	2	3.9%
Conflicts of Interest	0	0.0%	1	2.0%
Customer Relations	0	0.0%	1	2.0%
Fraudulent Insurance Claim	0	0.0%	1	2.0%
Retaliation of Whistleblowers	0	0.0%	1	2.0%
Theft of Time	0	0.0%	1	2.0%
Sexual Harassment	0	0.0%	1	2.0%
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%
Safety Issues And Sanitation	0	0.0%	0	0.0%
Theft of Cash	0	0.0%	0	0.0%
Total	4		51	

Ethics Tipline

Monthly Activity Report

November 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	122414538	11/5/2015	Policy Issues	Animal Services	Human Resources	11/30/2015	No Corrective Action Taken ⁽¹⁾
2	122423411	11/7/2015	Wage / Hour Issues	Non Metro - Business	Internal Audit	11/9/2015	No Investigation Necessary ⁽²⁾
3	122477260	11/17/2015	Discrimination	Non Metro – Federal Agency	Internal Audit	11/17/2015	No Investigation Necessary ⁽²⁾

⁽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, the Case Manager Department determined no investigation was necessary and provided information regarding their options on where to appropriately report the complaint.

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	120114552	8/15/2014	Police
2	120300742	9/24/2014	Internal Audit
3	120732265	12/22/2014	Human Resources
4	120743568	12/26/2014	Human Resources
5	120839392	1/16/2015	Police
6	121554970	6/5/2015	Human Resources
7	121863302	8/2/2015	Human Resources
8	121991686	8/25/2015	Human Resources
9	122117647	9/16/2015	Police
10	122135078	9/20/2015	Police
11	122348552	10/26/2015	Human Resources
12	122509459	11/22/2015	Police