



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: January 15, 2016

**SUBJ: Ethics Tipline Monthly Reports – December 2015**

Attached are the Ethics Tipline activity reports for December 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**

**December 2015**

**Prepared by Louisville Metro Office of Internal Audit**

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## 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	December 2015		Year to Date	
	Number	% of Total	Number	% of Total
Original	4	44%	55	43%
Call Back	3	33%	36	28%
Other	2	22%	36	28%
<b>Total</b>	<b>9</b>		<b>127</b>	

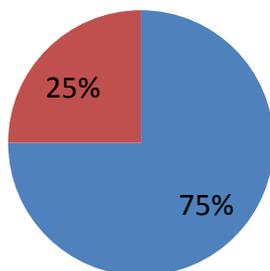
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## ANONYMOUS REPORT ACTIVITY

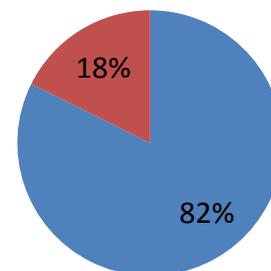
*Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.*

### December 2015



- Anonymous Source Reports
- Non-Anonymous Source Reports

### Year to Date



- Anonymous Source Reports
- Non-Anonymous Source Reports

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## 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	December 2015		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	0	0.0%	12	21.8%
Employee Relations	2	50.0%	12	21.8%
Policy Issues	0	0.0%	6	10.9%
Wage/Hour Issues	0	0.0%	6	10.9%
Theft of Goods/Services	1	25.0%	4	7.3%
Substance Abuse	0	0.0%	3	5.5%
Fraud	0	0.0%	3	5.5%
Workplace Violence/Threats	0	0.0%	2	3.6%
Conflicts of Interest	0	0.0%	1	1.8%
Customer Relations	0	0.0%	1	1.8%
Fraudulent Insurance Claim	0	0.0%	1	1.8%
Retaliation of Whistleblowers	0	0.0%	1	1.8%
Theft of Time	0	0.0%	1	1.8%
Sexual Harassment	0	0.0%	1	1.8%
Safety Issues And Sanitation	1	25.0%	1	1.8%
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%
Theft of Cash	0	0.0%	0	0.0%
<b>Total</b>	<b>4</b>		<b>55</b>	

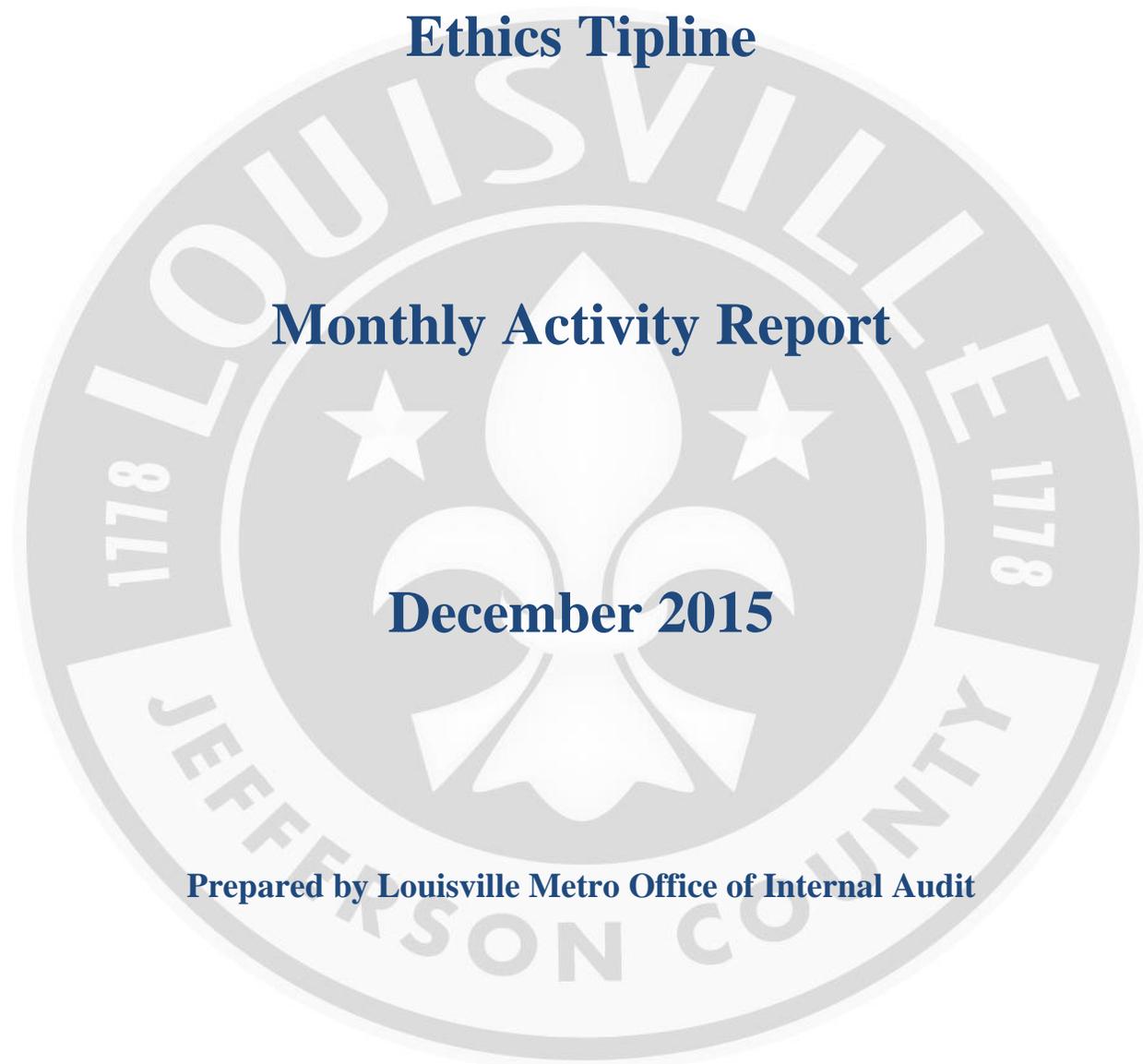
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# **Ethics Tipline**

## **Monthly Activity Report**

**December 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	120114552	8/15/2014	Conflicts of Interest	Community Services	Police	12/14/2015	No Corrective Action Taken <sup>(1)</sup>
2	120300742	9/24/2014	Fraud	Human Resources	Internal Audit	12/3/2015	No Corrective Action Taken <sup>(2)</sup>
3	120732265	12/22/2014	Workplace Violence / Threats	Corrections	Human Resources	12/1/2015	No Corrective Action Taken <sup>(1)</sup>
4	121554970	6/5/2015	Fraud	Codes and Regulations	Human Resources	12/1/2015	Corrective Action Taken
5	122509459	11/22/2015	Theft of Goods / Services	Metro Council	Internal Audit	12/30/2015	No Corrective Action Taken <sup>(3)</sup>
6	122591855	12/7/2015	Theft of Time	Animal Services	Human Resources	12/15/2015	Corrective Action Taken

<sup>(1)</sup> Investigation by Case Manager Department did not produce evidence to substantiate the allegation. Therefore, no corrective action was necessary.

<sup>(2)</sup> 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.

<sup>(3)</sup> Based on the information provided, Case Manager Department determined there was not an indication that a criminal offense had taken place. Ethics violations related to the report are under the purview of the Louisville Metro Ethics Commission. The caller was provided information regarding the filing of a complaint with the Ethics Commission.

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## II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	120743568	12/26/2014	Human Resources
2	120839392	1/16/2015	Police
3	121863302	8/2/2015	Human Resources
4	121991686	8/25/2015	Human Resources
5	122117647	9/16/2015	Police
6	122135078	9/20/2015	Police
7	122348552	10/26/2015	Human Resources
8	122600397	12/9/2015	Human Resources
9	122654089	12/17/2015	Human Resources
10	122709885	12/29/2015	Human Resources