



OFFICE OF INTERNAL AUDIT
LOUISVILLE, KENTUCKY

GREG FISCHER
MAYOR

INGRAM QUICK, CHIEF AUDIT EXECUTIVE

JIM KING
PRESIDENT METRO COUNCIL

TO: Mayor Greg Fischer
Mayor's Office

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

DATE: February 15, 2013

SUBJ: Ethics Tipline Monthly Reports – January 2013

Attached are the Ethics Tipline activity reports for January 2013. 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

January 2013

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

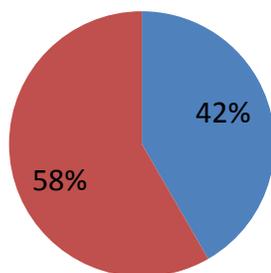
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	January 2013		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	12	70.6%	12	70.6%
Callback	2	11.7%	2	11.7%
Other	3	17.7%	3	17.7%
Total Calls	17		17	

ANONYMOUS REPORT ACTIVITY

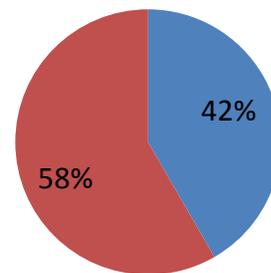
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

January 2013



- 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	January 2013		Year to Date	
	Number	% of Total	Number	% of Total
Policy Issues	4	33.3%	4	33.3%
Fraud	3	25.0%	3	25.0%
Customer Relations	2	16.7%	2	16.7%
Employee Relations	1	8.3%	1	8.3%
Falsification of Company Records	1	8.3%	1	8.3%
Workplace Violence/Threats	1	8.3%	1	8.3%
Accounting/Audit Irregularities	0	0.0%	0	0.0%
Conflicts of Interest	0	0.0%	0	0.0%
Discrimination	0	0.0%	0	0.0%
Fraudulent Insurance Claim	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%
Substance Abuse	0	0.0%	0	0.0%
Theft of Cash	0	0.0%	0	0.0%
Theft of Goods/Services	0	0.0%	0	0.0%
Theft of Time	0	0.0%	0	0.0%
Unauthorized Discounts	0	0.0%	0	0.0%
Wage/Hour Issues	0	0.0%	0	0.0%
Total	12		12	



Ethics Tipline

Monthly Activity Report

January 2013

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	115875553	11/10/2011	Conflicts of Interest	Community Services and Revitalization	Human Resources	1/17/2013	No Corrective Action Taken ⁽¹⁾
2	116818872	7/12/2012	Discrimination	Inspections Permits & Licenses	Human Resources	1/17/2013	No Corrective Action Taken ⁽¹⁾
3	116991931	8/24/2012	Theft of Time	Animal Services	Human Resources	1/17/2013	No Corrective Action Taken ⁽¹⁾
4	117231289	10/24/2012	Policy Issues	Mayor's Office	Human Resources	1/17/2013	No Corrective Action Taken ⁽¹⁾
5	117439176	12/14/2012	Fraud	Non Metro - Various	Police	1/4/2013	No Investigation Necessary ⁽²⁾
6	117467502	12/21/2012	Retaliation of Whistleblowers	Police	Police	1/9/2013	No Investigation Necessary ⁽³⁾
7	117472615	12/23/2012	Accounting/Audit Irregularities	Police	Police	1/4/2013	No Investigation Necessary ⁽⁴⁾
8	117500090	1/2/2013	Falsification of Company Records	Internal Audit	Police	1/4/2013	No Investigation Necessary ⁽⁵⁾
9	117504222	1/3/2013	Customer Relations	Inspections Permits & Licenses	Human Resources	1/17/2013	No Corrective Action Taken ⁽¹⁾
10	117504288	1/3/2013	Customer Relations	Police	Police	1/8/2013	No Investigation Necessary ⁽⁶⁾
11	117519741	1/7/2013	Policy Issues	Non Metro - Kentucky Correctional Institution for Women	Human Resources	1/8/2013	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⁾ Case Manager Department determined that individual identified in incident report was not an employee of Louisville Metro Government. Therefore, no investigation was necessary.

⁽³⁾ Case Manager Department determined that individuals identified in incident report are currently under investigation by LMPD and duplicate investigation is not needed.

⁽⁴⁾ The complainant self-reported an incident through the internet and identified a Louisville Metro Government employee as the reported party. However, the content of the complaint referred to an agency outside the purview of the Ethics Tipline. Therefore, no investigation was necessary.

⁽⁵⁾ Based on information provided by the complainant, Case Manager Department determined no investigation was necessary.

⁽⁶⁾ Case Manager Department contacted the complainant for further information. Case Manager Department was informed that the matter had been resolved. Therefore, no investigation was necessary.

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	116696301	6/12/2012	Police
2	116696379	6/12/2012	Internal Audit
3	116696419	6/12/2012	Internal Audit
4	116696455	6/12/2012	Internal Audit
5	116696671	6/12/2012	Police
6	116696876	6/12/2012	Police
7	116697025	6/12/2012	Police
8	116697080	6/12/2012	Police
9	116698956	6/12/2012	Internal Audit
10	116700943	6/12/2012	Internal Audit
11	116763558	6/28/2012	Human Resources
12	116805168	7/10/2012	Police
13	116806525	7/10/2012	Internal Audit
14	116806990	7/10/2012	Police
15	116807386	7/10/2012	Police
16	116808360	7/10/2012	Internal Audit
17	116809060	7/10/2012	Police
18	116883116	7/29/2012	Human Resources
19	116932886	8/10/2012	Human Resources
20	116961693	8/17/2012	Human Resources
21	116971224	8/20/2012	Police
22	117106124	9/22/2012	Human Resources
23	117213192	10/19/2012	Human Resources
24	117380200	11/30/2012	Human Resources
25	117381932	11/30/2012	Human Resources
26	117397098	12/4/2012	Human Resources
27	117419194	12/10/2012	Human Resources
28	117456645	12/19/2012	Human Resources
29	117473723	12/24/2012	Human Resources
30	117474074	12/24/2012	Human Resources

Control #	Report Number	Report Date	Case Manager Department
31	117478918	12/26/2012	Human Resources
32	117480871	12/27/2012	Human Resources
33	117519187	1/7/2013	Human Resources
34	117531558	1/9/2013	Police
35	117545259	1/14/2013	Police
36	117551703	1/15/2013	Human Resources
37	117562787	1/17/2013	Human Resources
38	117562999	1/16/2013	Human Resources
39	117579082	1/22/2013	Human Resources
40	117588168	1/24/2013	Police
