



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: March 17, 2014

**SUBJ: Ethics Tipline Monthly Reports – February 2014**

Attached are the Ethics Tipline activity reports for February 2014. 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**

**February 2014**

**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	February 2014		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	7	70.0%	14	77.8%
Callback	2	20.0%	3	16.7%
Other	1	10.0%	1	5.6%
<b>Total Calls</b>	<b>10</b>		<b>18</b>	

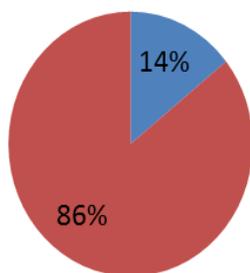
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## ANONYMOUS REPORT ACTIVITY

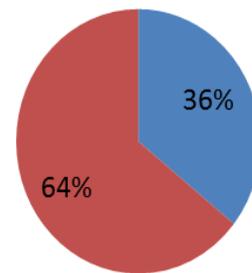
*Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.*

**February 2014**



■ 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	February 2014		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	4	57.1%	7	50.0%
Policy Issues	1	14.3%	2	14.3%
Theft of Time	1	14.3%	2	14.3%
Employee Relations	0	0.0%	1	7.1%
Release of Proprietary Information	1	14.3%	1	7.1%
Substance Abuse	0	0.0%	1	7.1%
Accounting/Audit Irregularities	0	0.0%	0	0.0%
Conflicts of Interest	0	0.0%	0	0.0%
Customer Relations	0	0.0%	0	0.0%
Falsification of Company Records	0	0.0%	0	0.0%
Fraud	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%
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%
Theft of Cash	0	0.0%	0	0.0%
Theft of Goods/Services	0	0.0%	0	0.0%
Unauthorized Discounts	0	0.0%	0	0.0%
Wage/Hour Issues	0	0.0%	0	0.0%
<b>Total</b>	<b>7</b>		<b>14</b>	



**Ethics Tipline**

**Monthly Activity Report**

**February 2014**

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

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## I. Closed Reports

Control #	Report Number	Report Date	Incident Type	Department Name	Case Manager Department	Closed Date	Outcome
<b>No reports were closed during the reporting period of February 1 through February 28, 2014</b>							

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## II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	117795746	3/15/2013	Internal Audit
2	118173515	6/16/2013	Human Resources
3	118173556	6/16/2013	Human Resources
4	118174368	6/17/2013	Police
5	118180148	6/18/2013	Police
6	118185785	6/19/2013	Police
7	118249722	7/3/2013	Police
8	118283255	7/11/2013	Police
9	118504679	8/28/2013	Human Resources
10	118508127	8/28/2013	Police
11	118718777	10/12/2013	Police
12	118743228	10/17/2013	Internal Audit
13	118743615	10/17/2013	Human Resources
14	118864506	11/12/2013	Human Resources
15	118874801	11/14/2013	Human Resources
16	118874811	11/14/2013	Human Resources
17	118874840	11/14/2013	Human Resources
18	118891980	11/18/2013	Internal Audit
19	118903888	11/20/2013	Human Resources
20	118925031	11/25/2013	Police
21	118967881	12/5/2013	Internal Audit
22	118996330	12/11/2013	Human Resources
23	119026308	12/17/2013	Human Resources
24	119098115	1/5/2014	Human Resources
25	119098139	1/5/2014	Human Resources
26	119132118	1/11/2014	Human Resources
27	119134983	1/13/2014	Human Resources
28	119178770	1/22/2014	Human Resources
29	119191128	1/24/2014	Human Resources
30	119211171	1/29/2014	Human Resources

Control #	Report Number	Report Date	Case Manager Department
31	119230192	2/2/2014	Human Resources
32	119270919	2/11/2014	Human Resources
33	119276187	2/12/2014	Human Resources
34	119296095	2/17/2014	Human Resources
35	119296426	2/17/2014	Human Resources
36	119301883	2/18/2014	Human Resources
37	119320601	2/21/2014	Human Resources