



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: April 22, 2013

SUBJ: Ethics Tipline Monthly Reports – March 2013

Attached are the Ethics Tipline activity reports for March 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

March 2013

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

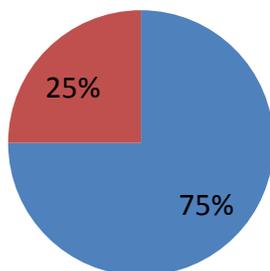
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	March 2013		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	12	92.3%	33	76.7%
Callback	1	7.7%	5	11.6%
Other	0	0.0%	5	11.6%
Total Calls	13		43	

ANONYMOUS REPORT ACTIVITY

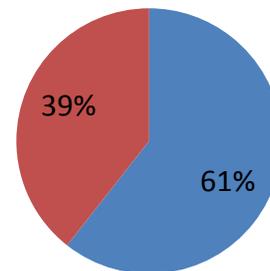
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

March 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	March 2013		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	3	25.0%	6	18.2%
Fraud	1	8.3%	6	18.2%
Employee Relations	0	0.0%	5	15.2%
Policy Issues	1	8.3%	5	15.2%
Customer Relations	1	8.3%	3	9.1%
Theft of Time	2	16.7%	2	6.1%
Workplace Violence/Threats	1	8.3%	2	6.1%
Accounting/Audit Irregularities	1	8.3%	1	3.0%
Conflicts of Interest	1	8.3%	1	3.0%
Falsification of Company Records	0	0.0%	1	3.0%
Wage/Hour Issues	1	8.3%	1	3.0%
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%
Unauthorized Discounts	0	0.0%	0	0.0%
Total	12		33	



Ethics Tipline

Monthly Activity Report

March 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	116971224	8/20/2012	Employee Relations	Police	Police	3/29/2013	No Investigation Necessary ⁽¹⁾
2	117531558	1/9/2013	Workplace Violence / Threats	Revenue Commission	Police	3/14/2013	No Corrective Action Taken ⁽²⁾
3	117588168	1/24/2013	Fraud	Non Metro - Former Employee	Police	3/23/2013	No Corrective Action Taken
4	117635626	2/5/2013	Fraud	Police	Internal Audit	3/5/2013	No Investigation Necessary ⁽³⁾
5	117671283	2/13/2013	Fraud	Police Special Investigations	Internal Audit	3/5/2013	No Investigation Necessary ⁽³⁾
6	117736823	3/1/2013	Workplace Violence / Threats	Mayor's Office	Internal Audit	3/20/2013	No Investigation Necessary ⁽⁴⁾
7	117754398	3/6/2013	Discrimination	Finance & Budget	Human Resources	3/11/2013	No Investigation Necessary ⁽⁴⁾
8	117770258	3/10/2013	Accounting/Audit Irregularities	Police	Internal Audit	3/13/2013	No Investigation Necessary ⁽³⁾
9	117776692	3/11/2013	Customer Relations	Police	Internal Audit	3/13/2013	No Investigation Necessary ⁽³⁾
10	117849424	3/29/2013	Fraud	Internal Audit	Police	3/29/2013	No Investigation Necessary ⁽³⁾

⁽¹⁾ Case Manager Department contacted the complainant for additional information. Complainant chose not to pursue the incident further.

⁽²⁾ Investigation by Case Manager Department did not produce evidence to substantiate the allegation. Therefore, no corrective action was necessary.

⁽³⁾ Case Manager Department determined complaint was in regards to non-Metro agencies outside the purview of the Ethics Tipline. Therefore, no investigation was necessary. Complainant was directed to the Kentucky Attorney General's Office and the Federal Bureau of Investigations.

⁽⁴⁾ Based on complaint information, Case Manager Department determined there was not a violation of Louisville Metro policy. 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	117106124	9/22/2012	Human Resources
22	117213192	10/19/2012	Human Resources
23	117380200	11/30/2012	Human Resources
24	117381932	11/30/2012	Human Resources
25	117397098	12/4/2012	Human Resources
26	117419194	12/10/2012	Human Resources
27	117456645	12/19/2012	Human Resources
28	117473723	12/24/2012	Human Resources
29	117474074	12/24/2012	Human Resources
30	117478918	12/26/2012	Human Resources
31	117480871	12/27/2012	Human Resources

Control #	Report Number	Report Date	Case Manager Department
32	117519187	1/7/2013	Human Resources
33	117551703	1/15/2013	Human Resources
34	117562787	1/17/2013	Human Resources
35	117562999	1/16/2013	Human Resources
36	117579082	1/22/2013	Human Resources
37	117645150	2/7/2013	Human Resources
38	117674228	2/14/2013	Human Resources
39	117676642	2/14/2013	Human Resources
40	117720766	2/26/2013	Human Resources
41	117721011	2/26/2013	Human Resources
42	117725822	2/27/2013	Human Resources
43	117768619	3/9/2013	Human Resources
44	117779979	3/12/2013	Human Resources
45	117795746	3/15/2013	Internal Audit
46	117815386	3/21/2013	Human Resources
47	117835109	3/26/2013	Human Resources
48	117844069	3/28/2013	Human Resources
49	117844369	3/28/2013	Human Resources
