



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 15, 2014

SUBJ: Ethics Tipline Monthly Reports – March 2014

Attached are the Ethics Tipline activity reports for March 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

March 2014

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

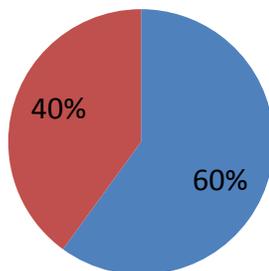
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	March 2014		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	5	71.4%	19	76.0%
Callback	1	14.3%	4	16%
Other	1	14.3%	2	8%
Total Calls	7		25	

ANONYMOUS REPORT ACTIVITY

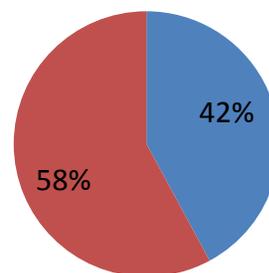
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

March 2014



■ 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 2014		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	2	40.0%	9	47.4%
Policy Issues	0	0.0%	2	10.5%
Substance Abuse	1	20.0%	2	10.5%
Theft of Time	0	0.0%	2	10.5%
Employee Relations	0	0.0%	1	5.3%
Fraud	1	20.0%	1	5.3%
Release of Proprietary Information	0	0.0%	1	5.3%
Workplace Violence/Threats	1	20.0%	1	5.3%
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%
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%
Total	5		19	



Ethics Tipline

Monthly Activity Report

March 2014

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	118891980	11/18/2003	Accounting / Audit Irregularities	Internal Audit	Internal Audit	3/25/2014	No Investigation Necessary ⁽¹⁾
2	118967881	12/5/2013	Fraud	Human Resources	Internal Audit	3/25/2014	No Investigation Necessary ⁽¹⁾
3	119363202	3/2/2014	Fraud	Office of Management and Budget	Police	3/3/2014	No Investigation Necessary ⁽²⁾

⁽¹⁾ Based on information provided by the complainant and management, Case Manager Department determined no investigation was necessary.

⁽²⁾ Case Manager Department determined complaint was in regards to non-Metro agencies outside the purview of the Ethics Tipline. Therefore, no investigation was necessary.

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

Control #	Report Number	Report Date	Case Manager Department
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	118903888	11/20/2013	Human Resources
19	118925031	11/25/2013	Police
20	118996330	12/11/2013	Human Resources
21	119026308	12/17/2013	Human Resources
22	119098115	1/5/2014	Human Resources
23	119098139	1/5/2014	Human Resources
24	119132118	1/11/2014	Human Resources
25	119134983	1/13/2014	Human Resources
26	119178770	1/22/2014	Human Resources
27	119191128	1/24/2014	Human Resources
28	119211171	1/29/2014	Human Resources
29	119230192	2/2/2014	Human Resources
30	119270919	2/11/2014	Human Resources
31	119276187	2/12/2014	Human Resources
32	119296095	2/17/2014	Human Resources
33	119296426	2/17/2014	Human Resources
34	119301883	2/18/2014	Human Resources
35	119320601	2/21/2014	Human Resources
36	119370323	3/2/2014	Human Resources
37	119372616	3/4/2014	Human Resources
38	119413518	3/12/2014	Animal Services
39	119465378	3/24/2014	Public Works