



OFFICE OF INTERNAL AUDIT  
LOUISVILLE, KENTUCKY

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TO: Mayor Greg Fischer  
Mayor's Office

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

DATE: June 14, 2013

**SUBJ: Ethics Tipline Monthly Reports – May 2013**

Attached are the Ethics Tipline activity reports for May 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**

**May 2013**

**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	May 2013		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	8	50.0%	45	69.2%
Callback	5	31.3%	10	15.4%
Other	3	18.8%	10	15.4%
<b>Total Calls</b>	<b>16</b>		<b>65</b>	

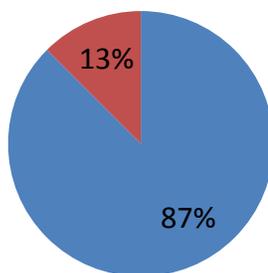
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## ANONYMOUS REPORT ACTIVITY

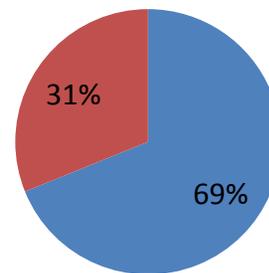
*Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.*

**May 2013**



■ 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	May 2013		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	2	25.0%	9	20.0%
Fraud	1	12.5%	8	17.8%
Employee Relations	2	25.0%	7	15.6%
Policy Issues	1	12.5%	7	15.6%
Customer Relations	0	0.0%	3	6.7%
Retaliation of Whistleblowers	1	12.5%	2	4.4%
Theft of Time	0	0.0%	2	4.4%
Workplace Violence/Threats	0	0.0%	2	4.4%
Accounting/Audit Irregularities	0	0.0%	1	2.2%
Conflicts of Interest	0	0.0%	1	2.2%
Falsification of Company Records	0	0.0%	1	2.2%
Sexual Harassment	1	12.5%	1	2.2%
Wage/Hour Issues	0	0.0%	1	2.2%
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%
Safety Issues And Sanitation	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%
<b>Total</b>	<b>8</b>		<b>45</b>	

# **Ethics Tipline**

## **Monthly Activity Report**

**May 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	116763558	6/28/2012	Conflicts of Interest	Finance & Budget	Human Resources	5/2/2013	No Corrective Action Taken <sup>(1)</sup>
2	116883116	7/29/2012	Conflicts of Interest	Solid Waste Management Services	Human Resources	5/2/2013	No Corrective Action Taken <sup>(2)</sup>
3	116932886	8/10/2012	Conflicts of Interest	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(3)</sup>
4	116961693	8/17/2012	Discrimination	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(4)</sup>
5	117106124	9/22/2012	Discrimination	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(4)</sup>
6	117213192	10/19/2012	Policy Issues	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(4)</sup>
7	117380200	11/30/2012	Discrimination	Corrections	Human Resources	5/9/2013	No Investigation Necessary <sup>(4)</sup>
8	117381932	11/30/2012	Retaliation of Whistleblowers	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(5)</sup>
9	117397098	12/4/2012	Employee Relations	Police	Human Resources	5/2/2013	No Investigation Necessary <sup>(4)</sup>
10	117419194	12/10/2012	Fraud	Community Services & Revitalization	Human Resources	5/2/2013	No Corrective Action Taken <sup>(2)</sup>
11	117456645	12/19/2012	Retaliation of Whistleblowers	Finance & Budget	Human Resources	5/2/2013	No Corrective Action Taken <sup>(2)</sup>
12	117473723	12/24/2012	Employee Relations	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(6)</sup>
13	117474074	12/24/2012	Policy Issues	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(6)</sup>
14	117478918	12/26/2012	Discrimination	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(6)</sup>
15	117480871	12/27/2012	Policy Issues	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(6)</sup>
16	117519187	1/7/2013	Falsification of Company Records	Animal Services	Human Resources	5/2/2013	No Corrective Action Taken <sup>(2)</sup>
17	117562787	1/17/2013	Customer Relations	Parking Authority of River City	Human Resources	5/2/2013	Corrective Action Taken
18	117562999	1/16/2013	Policy Issues	Parking Authority of River City	Human Resources	5/2/2013	Corrective Action Taken
19	117579082	1/22/2013	Policy Issues	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(3)</sup>
20	117674228	2/14/2013	Discrimination	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(6)</sup>

Control #	Report Number	Report Date	Incident Type	Department Name	Case Manager Department	Closed Date	Outcome
21	117676642	2/14/2013	Discrimination	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(6)</sup>
22	117720766	2/26/2013	Employee Relations	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(3)</sup>
23	117721011	2/26/2013	Employee Relations	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(3)</sup>
24	117725822	2/27/2013	Discrimination	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(3)</sup>
25	117768619	3/9/2013	Policy Issues	Public Works & Assets	Human Resources	5/2/2013	No Corrective Action Taken <sup>(2)</sup>
26	117779979	3/12/2013	Conflicts of Interest	Finance & Budget	Human Resources	5/2/2013	No Corrective Action Taken <sup>(2)</sup>
27	117815386	3/21/2013	Discrimination	Finance & Budget	Human Resources	5/2/2013	No Corrective Action Taken <sup>(5)</sup>
28	117844069	3/28/2013	Discrimination	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(6)</sup>
29	117901195	4/11/2013	Retaliation of Whistleblowers	Finance & Budget	Human Resources	5/2/2013	No Investigation Necessary <sup>(7)</sup>
30	117932053	4/19/2013	Policy Issues	Police	Internal Audit	5/28/2013	No Investigation Necessary <sup>(8)</sup>
31	118045543	5/16/2013	Employee Relations	Police	Internal Audit	5/28/2013	No Investigation Necessary <sup>(8)</sup>
32	118067983	5/22/2013	Fraud	Non Metro - Unknown	Internal Audit	5/22/2013	No Investigation Necessary <sup>(8)</sup>

- <sup>(1)</sup> Case Manager Department investigated and determined there was not a violation of Louisville Metro policy. Therefore, no corrective action was necessary.
- <sup>(2)</sup> Investigation by Case Manager Department did not produce evidence to substantiate the allegation. Therefore, no corrective action was necessary.
- <sup>(3)</sup> Based on complaint information, Case Manager Department determined there was not a violation of Louisville Metro policy. Therefore, no investigation was necessary.
- <sup>(4)</sup> Case Manager Department requested additional information from the caller using the callback feature of case management system. Additional information was not provided. Therefore, no investigation was necessary.
- <sup>(5)</sup> Case Manager Department determined that the individual identified in incident report filed a grievance through their collective bargaining agreement and a duplicate investigation was not needed.
- <sup>(6)</sup> Based on information provided by the complainant, Case Manager Department determined no investigation was necessary.
- <sup>(7)</sup> Based on information provided by the complainant, Case Manager Department determined no investigation was necessary and attempted to provide information regarding filing a complaint with the Ethics Commission.
- <sup>(8)</sup> 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 appropriate authority.

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## 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	116805168	7/10/2012	Police
12	116806525	7/10/2012	Internal Audit
13	116806990	7/10/2012	Police
14	116807386	7/10/2012	Police
15	116808360	7/10/2012	Internal Audit
16	116809060	7/10/2012	Police
17	117551703	1/15/2013	Human Resources
18	117645150	2/7/2013	Human Resources
19	117795746	3/15/2013	Internal Audit
20	117835109	3/26/2013	Human Resources
21	117844369	3/28/2013	Human Resources
22	117856186	4/1/2013	Human Resources
23	118028676	5/13/2013	Human Resources
24	118029123	5/13/2013	Human Resources
25	118055121	5/19/2013	Human Resources
26	118062313	5/21/2013	Human Resources
27	118078131	5/24/2013	Human Resources
28	118093731	5/29/2013	Human Resources

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