



OFFICE OF INTERNAL AUDIT  
LOUISVILLE, KENTUCKY

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MAYOR

MAY R. PORTER, CHIEF AUDIT EXECUTIVE

DAVID YATES  
PRESIDENT METRO COUNCIL

TO: Mayor Greg Fischer  
Mayor's Office

FROM: May R. Porter, CIA  
Office of Internal Audit

DATE: June 15, 2016

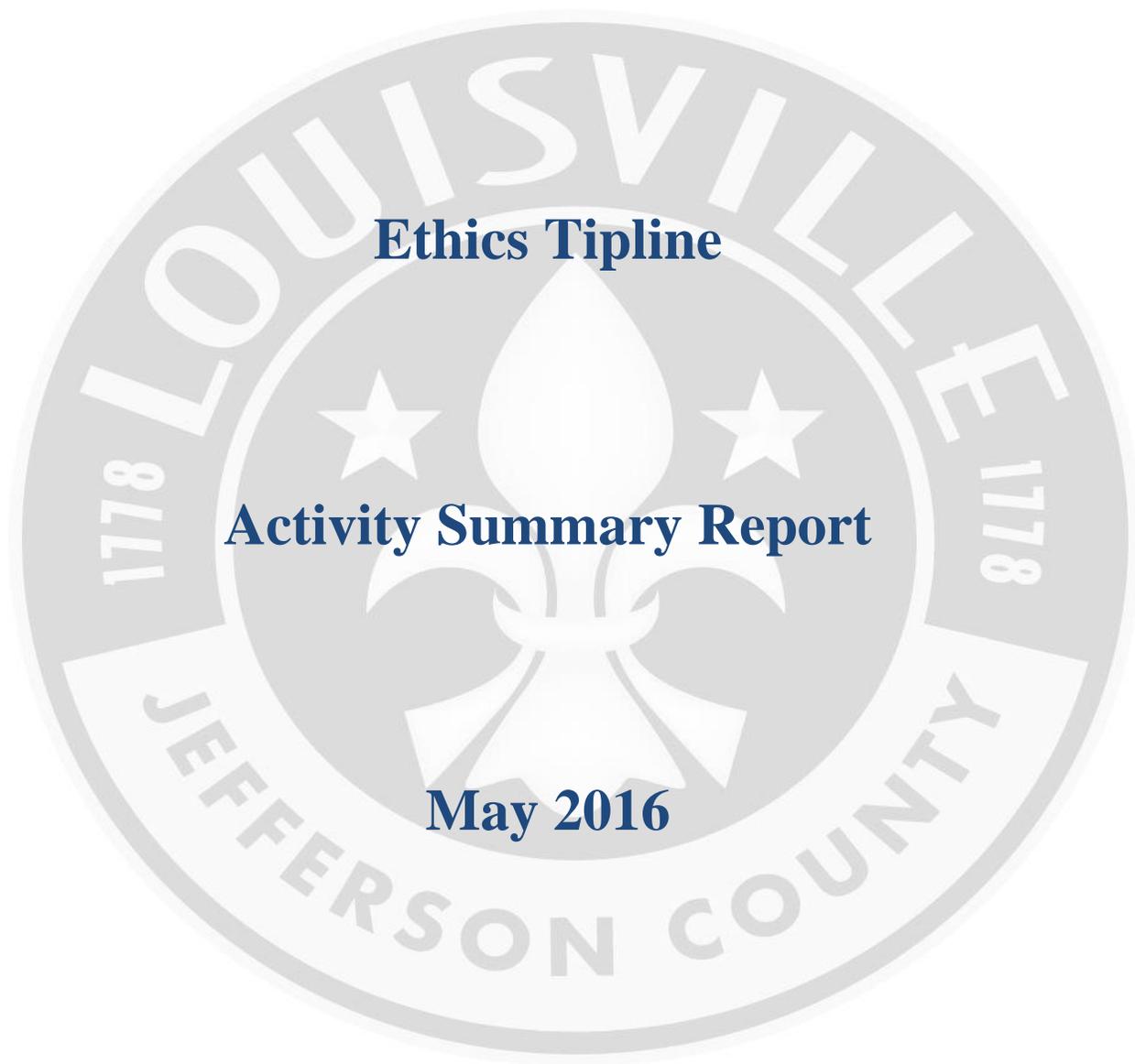
**SUBJ: Ethics Tipline Monthly Reports – May 2016**

Attached are the Ethics Tipline activity reports for May 2016. 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 2016**

**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 2016		Year to Date	
	Number	% of Total	Number	% of Total
Original	2	40%	23	40%
Call Back	1	20%	20	35%
Other	2	40%	14	25%
<b>Total</b>	<b>5</b>		<b>57</b>	

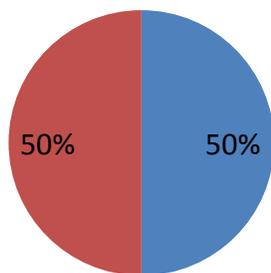
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## ANONYMOUS REPORT ACTIVITY

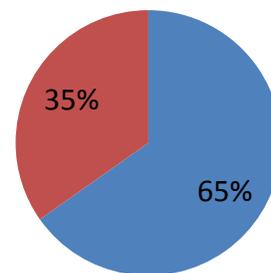
*Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.*

**May 2016**



- 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 2016		Year to Date	
	Number	% of Total	Number	% of Total
Policy Issues	0	0.0%	5	21.7%
Employee Relations	1	50.0%	4	17.4%
Theft of Time	0	0.0%	2	8.7%
Safety Issues And Sanitation	0	0.0%	3	13.0%
Retaliation of Whistleblowers	0	0.0%	2	8.7%
Substance Abuse	0	0.0%	1	4.3%
Fraud	0	0.0%	1	4.3%
Kickbacks	0	0.0%	1	4.3%
Discrimination	0	0.0%	2	8.7%
Workplace Violence/Threats	0	0.0%	1	4.3%
Wage/Hour Issues	0	0.0%	0	0.0%
Theft of Goods/Services	0	0.0%	0	0.0%
Conflicts of Interest	0	0.0%	0	0.0%
Customer Relations	0	0.0%	0	0.0%
Fraudulent Insurance Claim	0	0.0%	0	0.0%
Sexual Harassment	0	0.0%	0	0.0%
Accounting/Audit Irregularities	1	50.0%	1	4.3%
Falsification of Company Records	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%
Theft of Cash	0	0.0%	0	0.0%
<b>Total</b>	<b>2</b>		<b>23</b>	

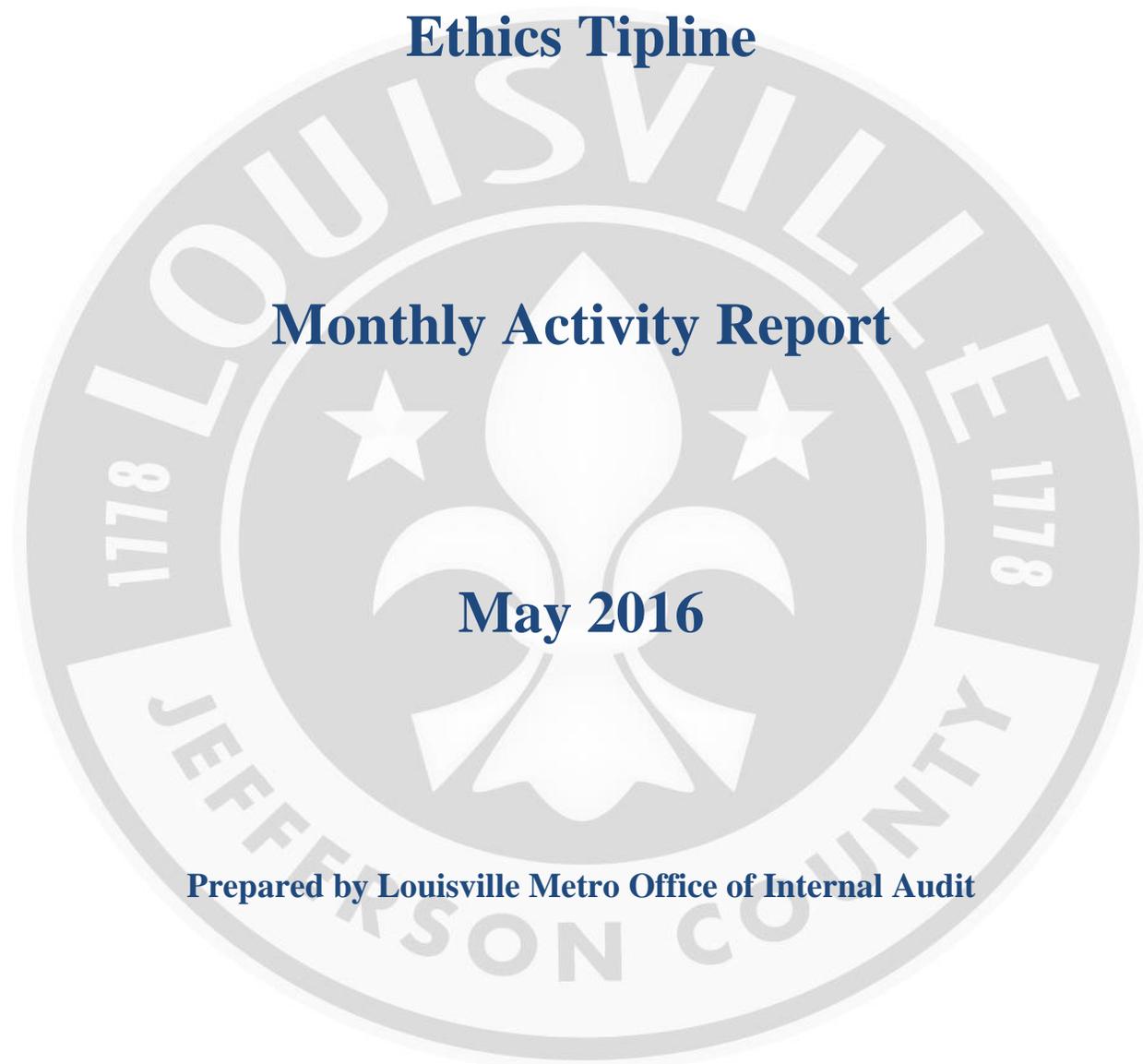
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# **Ethics Tipline**

## **Monthly Activity Report**

**May 2016**

**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
1	123122245	3/10/2016	Retaliation of Whistleblowers	MetroSafe	Human Resources	5/2/2016	No Corrective Action Taken <sup>(1)</sup>
2	123123186	3/10/2016	Retaliation of Whistleblowers	OMB- Fleet & Facilities	Human Resources	5/31/2016	Corrective Action Taken <sup>(2)</sup>

<sup>(1)</sup> The incident was investigated and the allegation could not be substantiated.

<sup>(2)</sup> The incident was investigated, the allegation was substantiated, and corrective action was taken.

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## II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	122117647	9/16/2015	Human Resources
2	122135078	9/20/2015	Police
3	122827688	1/19/2016	Human Resources
4	122832140	1/20/2016	Human Resources
5	122984342	2/16/2016	Internal Audit
6	123001407	2/18/2016	Human Resources
7	123127425	3/10/2016	Human Resources
8	123196542	3/23/2016	Human Resources
9	123364520	4/21/2016	Human Resources
10	123539313	5/23/2016	Internal Audit