



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: July 15, 2013

SUBJ: Ethics Tipline Monthly Reports – June 2013

Attached are the Ethics Tipline activity reports for June 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

June 2013

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

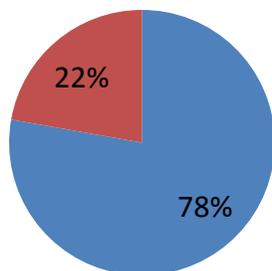
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	June 2013		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	9	52.9%	54	65.9%
Callback	7	41.2%	17	20.7%
Other	1	5.9%	11	13.4%
Total Calls	17		82	

ANONYMOUS REPORT ACTIVITY

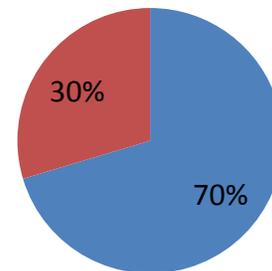
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

June 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	June 2013		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	1	11.1%	10	18.5%
Fraud	2	22.2%	10	18.5%
Employee Relations	1	11.1%	8	14.8%
Policy Issues	0	0.0%	7	13.0%
Customer Relations	0	0.0%	3	5.6%
Theft of Time	1	11.1%	3	5.6%
Conflicts of Interest	1	11.1%	2	3.7%
Falsification of Company Records	1	11.1%	2	3.7%
Retaliation of Whistleblowers	0	0.0%	2	3.7%
Wage/Hour Issues	1	11.1%	2	3.7%
Workplace Violence/Threats	0	0.0%	2	3.7%
Accounting/Audit Irregularities	0	0.0%	1	1.9%
Safety Issues And Sanitation	1	11.1%	1	1.9%
Sexual Harassment	0	0.0%	1	1.9%
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%
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	9		54	

Ethics Tipline

Monthly Activity Report

June 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	11811158	6/1/2013	Theft of Time	Police	Police	6/25/2013	No Corrective Action Taken ⁽¹⁾

⁽¹⁾ Investigation by Case Manager Department did not produce evidence to substantiate the allegation. Therefore, no corrective action was necessary.

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	116696301	6/12/2012	Police
2	116696379	6/12/2012	Human Resources
3	116696419	6/12/2012	Human Resources
4	116696455	6/12/2012	Human Resources
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	Human Resources
10	116700943	6/12/2012	Human Resources
11	116805168	7/10/2012	Police
12	116806525	7/10/2012	Human Resources
13	116806990	7/10/2012	Police
14	116807386	7/10/2012	Police
15	116808360	7/10/2012	Human Resources
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	Human Resources
20	117835109	3/26/2013	Human Resources
21	117844369	3/28/2013	Human Resources

Control #	Report Number	Report Date	Case Manager Department
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
29	118150268	6/11/2013	Human Resources
30	118171034	6/15/2013	Human Resources
31	118173515	6/16/2013	Human Resources
32	118173556	6/16/2013	Human Resources
33	118174368	6/17/2013	Human Resources
34	118180148	6/18/2013	Police
35	118185785	6/19/2013	Police
36	118220984	6/26/2013	Human Resources
