



OFFICE OF INTERNAL AUDIT  
LOUISVILLE, KENTUCKY

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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: July 15, 2014

**SUBJ: Ethics Tipline Monthly Reports –June 2014**

Attached are the Ethics Tipline activity reports for June 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**

**June 2014**

**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	June 2014		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	17	74%	44	77%
Callback	5	22%	9	16%
Other	1	4%	4	7%
<b>Total Calls</b>	<b>23</b>		<b>57</b>	

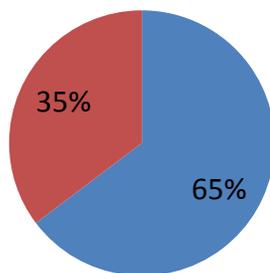
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## ANONYMOUS REPORT ACTIVITY

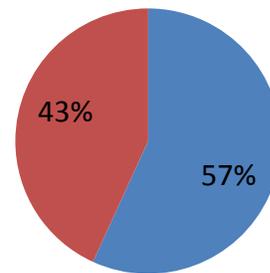
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

**June 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	June 2014		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	1	5.9%	12	27.3%
Employee Relations	4	23.5%	7	15.9%
Policy Issues	0	0.0%	5	11.4%
Conflicts of Interest	3	17.6%	3	6.8%
Falsification of Company Records	2	11.8%	3	6.8%
Fraud	2	11.8%	3	6.8%
Customer Relations	2	11.8%	2	4.5%
Substance Abuse	0	0.0%	2	4.5%
Theft of Time	0	0.0%	2	4.5%
Product Quality Concern	1	5.9%	1	2.3%
Release of Proprietary Information	0	0.0%	1	2.3%
Theft of Goods/Services	1	5.9%	1	2.3%
Wage/Hour Issues	1	5.9%	1	2.3%
Workplace Violence/Threats	0	0.0%	1	2.3%
Accounting/Audit Irregularities	0	0.0%	0	0.0%
Fraudulent Insurance Claim	0	0.0%	0	0.0%
Kickbacks	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%
<b>Total</b>	<b>17</b>		<b>44</b>	



**Ethics Tipline**

**Monthly Activity Report**

**June 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	119773142	6/1/2014	Fraud	Police	Police	6/3/2014	No Investigation Necessary <sup>(1)</sup>
2	119792052	6/5/2014	Falsification of Company Records	Police	Police	6/18/2014	No Corrective Action Taken <sup>(2)</sup>
3	119870143	6/23/2014	Theft of Goods / Services	Non Metro - Metropolitan Sewer District	Police	6/25/2014	No Investigation Necessary <sup>(3)</sup>
4	119877956	6/24/2014	Falsification of Company Records	Police	Police	6/26/2014	No Investigation Necessary <sup>(4)</sup>

<sup>(1)</sup> Case Manager Department determined that individuals identified in incident report were not employees or vendors of Louisville Metro Government. Therefore, no investigation was necessary.

<sup>(2)</sup> During the investigation, the complainant stated the issues listed in complaint had been resolved. Therefore Case Manager Department determined that no corrective action was necessary.

<sup>(3)</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.

<sup>(4)</sup> Based on the information provided by the complainant to management, Case Manager Department determined 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

Control #	Report Number	Report Date	Case Manager Department
12	118743228	10/17/2013	Internal Audit
13	118743615	10/17/2013	Human Resources
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	119465378	3/24/2014	Human Resources
39	119505637	4/2/2014	Human Resources
40	119513587	4/3/2014	Human Resources
41	119678537	5/9/2014	Human Resources
42	119715661	5/19/2014	Human Resources
43	119715736	5/19/2014	Human Resources

Control #	Report Number	Report Date	Case Manager Department
44	119729547	5/21/2014	Human Resources
45	119759344	5/28/2014	Human Resources
45	119759344	5/28/2014	Human Resources
46	119779898	6/2/2014	Human Resources
47	119782955	6/3/2014	Human Resources
48	119784253	6/3/2014	Human Resources
49	119790529	6/4/2014	Human Resources
50	119837706	6/16/2014	Human Resources
51	119840471	6/16/2014	Human Resources
52	119850439	6/18/2014	Internal Audit
53	119857566	6/19/2014	Internal Audit
54	119899466	6/29/2014	Human Resources
55	119899741	6/29/2014	Human Resources
56	119900283	6/29/2014	Police
57	119904903	6/30/2014	Human Resources
58	119906128	6/30/2014	Human Resources