



OFFICE OF INTERNAL AUDIT
LOUISVILLE, KENTUCKY

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JIM KING
PRESIDENT METRO COUNCIL

TO: Mayor Greg Fischer
Mayor's Office

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

DATE: August 15, 2013

SUBJ: Ethics Tipline Monthly Reports – July 2013

Attached are the Ethics Tipline activity reports for July 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

July 2013

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

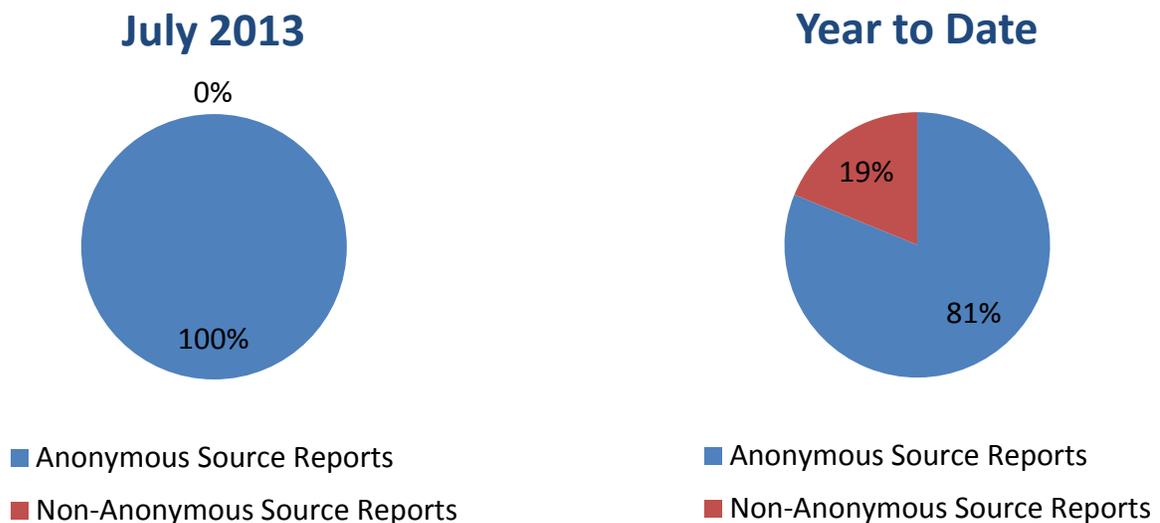
A call to the Ethics Tipline can have three outcomes:

- (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	July 2013		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	31	91.2%	85	73.3%
Callback	2	5.9%	19	16.4%
Other	1	2.9%	12	10.3%
Total Calls	34		116	

ANONYMOUS REPORT ACTIVITY

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



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	July 2013		Year to Date	
	Number	% of Total	Number	% of Total
Customer Relations	23	74.2%	26	30.6%
Fraud	1	3.2%	11	12.9%
Discrimination	0	0.0%	10	11.8%
Employee Relations	1	3.2%	9	10.6%
Policy Issues	1	3.2%	8	9.4%
Falsification of Company Records	2	6.5%	4	4.7%
Theft of Time	1	3.2%	4	4.7%
Retaliation of Whistleblowers	1	3.2%	3	3.5%
Conflicts of Interest	0	0.0%	2	2.4%
Wage/Hour Issues	0	0.0%	2	2.4%
Workplace Violence/Threats	0	0.0%	2	2.4%
Accounting/Audit Irregularities	0	0.0%	1	1.2%
Safety Issues And Sanitation	0	0.0%	1	1.2%
Sexual Harassment	0	0.0%	1	1.2%
Substance Abuse	1	3.2%	1	1.2%
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%
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	31		85	

Ethics Tipline

Monthly Activity Report

July 2013

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I. Closed Reports

Control #	Report Number	Report Date	Incident Type	Department Name	Case Manager Department	Closed Date	Outcome
1	118029123	5/13/2013	Employee Relations	Finance & Budget	Human Resources	7/30/2013	No Corrective Action Taken ⁽¹⁾
2	118317126	7/18/2013	Fraud	Human Resources	Internal Audit	7/22/2013	Corrective Action Taken

⁽¹⁾ Based on complaint information, Case Manager Department determined there was not a violation of Louisville Metro personnel or ethics policy. Therefore, no investigation 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

Control #	Report Number	Report Date	Case Manager Department
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	118055121	5/19/2013	Human Resources
25	118062313	5/21/2013	Human Resources
26	118078131	5/24/2013	Human Resources
27	118093731	5/29/2013	Human Resources
28	118150268	6/11/2013	Human Resources
29	118171034	6/15/2013	Human Resources
30	118173515	6/16/2013	Human Resources
31	118173556	6/16/2013	Human Resources
32	118174368	6/17/2013	Human Resources
33	118180148	6/18/2013	Police
34	118185785	6/19/2013	Police
35	118220984	6/26/2013	Human Resources
36	118238947	7/1/2013	Human Resources
37	118249722	7/3/2013	Police
38	118283255	7/11/2013	Police
39	118334413	7/22/2013	Human Resources
40	118354827	7/26/2013	Human Resources
41	118354917	7/26/2013	Human Resources
42	118355016	7/26/2013	Human Resources
43	118359265	7/27/2013	Human Resources
44	118359275	7/27/2013	Human Resources
45	118359310	7/27/2013	Human Resources
46	118359333	7/27/2013	Human Resources
47	118359365	7/27/2013	Human Resources
48	118359409	7/27/2013	Human Resources
49	118359615	7/27/2013	Human Resources
50	118359839	7/27/2013	Human Resources
51	118360525	7/27/2013	Human Resources
52	118360593	7/27/2013	Human Resources
53	118361655	7/28/2013	Human Resources

Control #	Report Number	Report Date	Case Manager Department
54	118361691	7/28/2013	Human Resources
55	118361727	7/28/2013	Human Resources
56	118349567	7/25/2013	Human Resources
57	118360406	7/27/2013	Human Resources
58	118363802	7/29/2013	Human Resources
59	118363992	7/29/2013	Human Resources
60	118364899	7/29/2013	Human Resources
61	118376079	7/31/2013	Human Resources
62	118375990	7/31/2013	Human Resources
63	118376134	7/31/2013	Human Resources
64	118376551	7/31/2013	Human Resources
65	118377613	7/31/2013	Human Resources
