



OFFICE OF INTERNAL AUDIT
LOUISVILLE, KENTUCKY

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PRESIDENT METRO COUNCIL

TO: Mayor Greg Fischer
Mayor's Office

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

DATE: August 15, 2014

SUBJ: Ethics Tipline Monthly Reports –July 2014

Attached are the Ethics Tipline activity reports for July 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

July 2014

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 2014		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	0	0.0%	44	77%
Callback	0	0.0%	9	16%
Other	0	0.0%	4	7%
Total Calls	0		57	

ANONYMOUS REPORT ACTIVITY

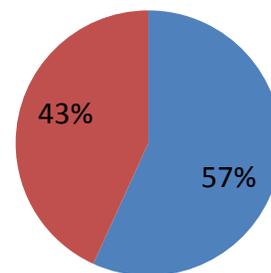
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

July 2014

0%

- 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	July 2014		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	0	0.0%	12	27.3%
Employee Relations	0	0.0%	7	15.9%
Policy Issues	0	0.0%	5	11.4%
Conflicts of Interest	0	0.0%	3	6.8%
Falsification of Company Records	0	0.0%	3	6.8%
Fraud	0	0.0%	3	6.8%
Customer Relations	0	0.0%	2	4.5%
Substance Abuse	0	0.0%	2	4.5%
Theft of Time	0	0.0%	2	4.5%
Product Quality Concern	0	0.0%	1	2.3%
Release of Proprietary Information	0	0.0%	1	2.3%
Theft of Goods/Services	0	0.0%	1	2.3%
Wage/Hour Issues	0	0.0%	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%
Total	0		44	



Ethics Tipline

Monthly Activity Report

July 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	118173515	6/16/2013	Wage / Hour Issues	Youth Detention Services	Human Resources	7/14/2014	No Corrective Action Taken ⁽¹⁾
2	118173556	6/16/2013	Discrimination	Youth Detention Services	Human Resources	7/15/2014	No Investigation Necessary ⁽²⁾
3	118504679	8/28/2013	Retaliation of Whistleblowers	Office of Management and Budget	Human Resources	7/15/2014	No Investigation Necessary ⁽³⁾
4	118743615	10/17/2013	Discrimination	Revenue Commission	Human Resources	7/14/2014	Corrective Action Taken
5	118864506	11/12/2013	Policy Issues	Human Resources	Human Resources	7/15/2014	No Corrective Action Taken ⁽¹⁾
6	118874801	11/14/2013	Safety Issues and Sanitation	Corrections	Human Resources	7/7/2014	Corrective Action Taken
7	118874811	11/14/2013	Employee Relations	Corrections	Human Resources	7/7/2014	No Corrective Action Taken ⁽¹⁾
8	118874840	11/14/2013	Employee Relations	Corrections	Human Resources	7/7/2014	No Corrective Action Taken ⁽⁴⁾
9	118903888	11/20/2013	Employee Relations	Public Works and Assets	Human Resources	7/7/2014	Corrective Action Taken
10	118996330	12/11/2013	Theft of Time	Animal Services	Human Resources	7/7/2014	Corrective Action Taken
11	119026308	12/17/2013	Policy Issues	MetroSafe	Human Resources	7/7/2014	Corrective Action Taken
12	119098115	1/5/2014	Theft of Time	Public Works and Assets	Human Resources	7/15/2014	No Corrective Action Taken ⁽⁴⁾
13	119098139	1/5/2014	Substance Abuse	Public Works and Assets	Human Resources	7/15/2014	No Investigation Necessary ⁽²⁾
14	119132118	1/11/2014	Policy Issues	MetroSafe	Human Resources	7/15/2014	Corrective Action Taken
15	119134983	1/13/2014	Discrimination	Human Resources	Human Resources	7/8/2014	No Corrective Action Taken ⁽¹⁾
16	119178770	1/22/2014	Discrimination	Human Resources	Human Resources	7/8/2014	No Corrective Action Taken ⁽¹⁾

17	119191128	1/24/2014	Discrimination	Human Resources	Human Resources	7/8/2014	No Corrective Action Taken ⁽¹⁾
18	119211171	1/29/2014	Employee Relations	Metro Parks	Human Resources	7/15/2014	No Corrective Action Taken ⁽⁴⁾
19	119230192	2/2/2014	Theft of Time	Animal Services	Human Resources	7/15/2014	No Corrective Action Taken ⁽¹⁾
20	119270919	2/11/2014	Discrimination	Human Resources	Human Resources	7/8/2014	No Corrective Action Taken ⁽¹⁾
21	119276187	2/12/2014	Discrimination	Human Resources	Human Resources	7/15/2014	No Investigation Necessary ⁽⁵⁾
22	119296426	2/17/2014	Release of Proprietary Information	Public Works and Assets	Human Resources	7/15/2014	Corrective Action Taken
23	119296095	2/17/2014	Policy Issues	Emergency Medical Services	Human Resources	7/15/2014	No Investigation Necessary ⁽²⁾
24	119301883	2/18/2014	Discrimination	Human Resources	Human Resources	7/15/2014	No Investigation Necessary ⁽⁶⁾
25	119320601	2/21/2014	Discrimination	Human Resources	Human Resources	7/15/2014	No Corrective Action Taken ⁽¹⁾
26	119370323	3/4/2014	Discrimination	Human Resources	Human Resources	7/15/2014	No Corrective Action Taken ⁽¹⁾
27	119372616	3/4/2014	Discrimination	Human Resources	Human Resources	7/15/2014	No Corrective Action Taken ⁽¹⁾
28	119465378	3/24/2014	Substance Abuse	Public Works and Assets	Human Resources	7/15/2014	No Corrective Action Taken ⁽⁴⁾
29	119505637	4/2/2014	Discrimination	Human Resources	Human Resources	7/15/2014	No Investigation Necessary ⁽²⁾
30	119678537	5/9/2014	Discrimination	Corrections	Human Resources	7/15/2014	No Corrective Action Taken ⁽⁴⁾
31	119715661	5/19/2014	Policy Issues	Public Health & Wellness	Human Resources	7/15/2014	No Corrective Action Taken ⁽⁷⁾
32	119715736	5/19/2014	Policy Issues	Public Health & Wellness	Human Resources	7/15/2014	No Corrective Action Taken ⁽¹⁾
33	119729547	5/21/2014	Falsification of Company Records	Police	Police	7/9/2014	No Investigation Necessary ⁽³⁾
34	119759344	5/28/2014	Employee Relations	MetroSafe	Human Resources	7/15/2014	No Corrective Action Taken ⁽⁴⁾
35	119784253	6/3/2014	Employee Relations	Office of	Human	7/15/2014	No Investigation Necessary ⁽⁵⁾

				Management and Budget	Resources		
36	119790529	6/4/2014	Discrimination	Air Pollution Control District	Human Resources	7/15/2014	Corrective Action Taken
37	119837706	6/16/2014	Employee Relations	Metro Parks	Human Resources	7/15/2014	No Investigation Necessary ⁽²⁾
38	119840471	6/16/2014	Product Quality Concern	Unknown	Human Resources	7/15/2014	No Corrective Action Taken ⁽⁴⁾
39	119899466	6/29/2014	Conflicts of Interest	Animal Services	Human Resources	7/15/2014	Corrective Action Taken
40	119904903	6/30/2014	Wage / Hour Issues	Parking Authority of River City	Human Resources	7/7/2014	No Investigation Necessary ⁽²⁾

⁽¹⁾ Based on information provided by the Department, Case Manager Department determined there was not a violation of Louisville Metro policy. Therefore, no corrective action was necessary.

⁽²⁾ Based on information provided by the complainant and management, Case Manager Department determined no investigation was necessary.

⁽³⁾ Case Manager Department determined there was not sufficient information provided to determine a violation of Louisville Metro policy. Therefore, no investigation was necessary.

⁽⁴⁾ Investigation by Case Manager Department did not produce evidence to substantiate the allegation. Therefore, no corrective action was necessary.

⁽⁵⁾ Allegation had already been investigated and resolved in a complaint through a collective bargaining grievance procedure, therefore Case Manager Department determined that no investigation was necessary.

⁽⁶⁾ Based on information provided by the complainant, Case Manager Department determined no investigation was necessary and provided information regarding the grievance procedure within the collective bargaining agreement.

⁽⁷⁾ Case Manager Department determined that the individual identified in incident report is no longer an employee of Louisville Metro Government. Therefore, no corrective action was taken.

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	117795746	3/15/2013	Internal Audit
2	118174368	6/17/2013	Police
3	118180148	6/18/2013	Police
4	118185785	6/19/2013	Police
5	118249722	7/3/2013	Police
6	118283255	7/11/2013	Police

7	118508127	8/28/2013	Police
8	118718777	10/12/2013	Police
9	118743228	10/17/2013	Internal Audit
10	118925031	11/25/2013	Police
11	119513587	4/3/2014	Human Resources
12	119779898	6/2/2014	Human Resources
13	119782955	6/3/2014	Human Resources
14	119850439	6/18/2014	Internal Audit
15	119857566	6/19/2014	Internal Audit
16	119899741	6/29/2014	Human Resources
17	119900283	6/29/2014	Police
18	119906128	6/30/2014	Human Resources