



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: September 18, 2013

SUBJ: Ethics Tipline Monthly Reports – August 2013

Attached are the Ethics Tipline activity reports for August 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

August 2013

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

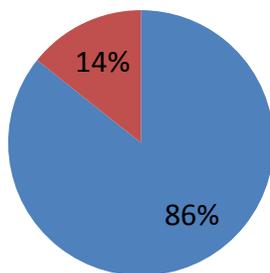
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	August 2013		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	14	93.3%	99	75.6%
Callback	1	6.7%	20	15.3%
Other	0	0%	12	9.2%
Total Calls	15		131	

ANONYMOUS REPORT ACTIVITY

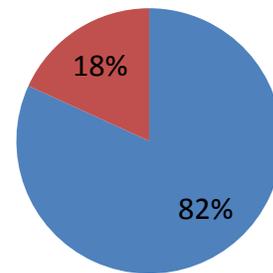
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

August 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	August 2013		Year to Date	
	Number	% of Total	Number	% of Total
Customer Relations	3	21.4%	29	29.3%
Employee Relations	3	21.4%	12	12.1%
Fraud	0	0.0%	11	11.1%
Discrimination	0	0.0%	10	10.1%
Policy Issues	1	7.1%	9	9.1%
Falsification of Company Records	1	7.1%	6	6.1%
Retaliation of Whistleblowers	2	14.3%	5	5.1%
Conflicts of Interest	2	14.3%	4	4.0%
Theft of Time	0	0.0%	3	3.0%
Safety Issues And Sanitation	1	7.1%	2	2.0%
Wage/Hour Issues	0	0.0%	2	2.0%
Workplace Violence/Threats	0	0.0%	2	2.0%
Accounting/Audit Irregularities	0	0.0%	1	1.0%
Sexual Harassment	0	0.0%	1	1.0%
Substance Abuse	0	0.0%	1	1.0%
Unauthorized Discounts	1	7.1%	1	1.0%
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%
Total	14		99	

Ethics Tipline

Monthly Activity Report

August 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	116696301	6/12/2012	Fraud	Metro Council	Police	8/22/2013	No Corrective Action Taken ⁽¹⁾
2	116696671	6/12/2012	Fraud	Metro Council	Police	8/22/2013	No Corrective Action Taken ⁽¹⁾
3	116696876	6/12/2012	Fraud	Metro Council	Police	8/23/2013	No Corrective Action Taken ⁽¹⁾
4	116697025	6/12/2012	Fraud	Metro Council	Police	8/23/2013	No Corrective Action Taken ⁽¹⁾
5	116697080	6/12/2012	Fraud	Metro Council	Police	8/23/2013	No Corrective Action Taken ⁽¹⁾
6	116805168	7/10/2012	Fraud	Metro Council	Police	8/23/2013	No Corrective Action Taken ⁽¹⁾
7	116806990	7/10/2012	Fraud	Metro Council	Police	8/23/2013	No Corrective Action Taken ⁽¹⁾
8	116807386	7/10/2012	Fraud	Metro Council	Police	8/23/2013	No Corrective Action Taken ⁽¹⁾
9	116809060	7/10/2012	Fraud	Metro Council	Police	8/23/2013	No Corrective Action Taken ⁽¹⁾
10	118416710	8/8/2013	Safety Issues and Sanitation	Non Metro - Unknown	Internal Audit	8/12/2013	No Investigation Necessary ⁽²⁾

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

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

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	116696379	6/12/2012	Human Resources
2	116696419	6/12/2012	Human Resources
3	116696455	6/12/2012	Human Resources
4	116698956	6/12/2012	Human Resources
5	116700943	6/12/2012	Human Resources
6	116806525	7/10/2012	Human Resources
7	116808360	7/10/2012	Human Resources
8	117551703	1/15/2013	Human Resources
9	117645150	2/7/2013	Human Resources

Control #	Report Number	Report Date	Case Manager Department
10	117795746	3/15/2013	Human Resources
11	117835109	3/26/2013	Human Resources
12	117844369	3/28/2013	Human Resources
13	117856186	4/1/2013	Human Resources
14	118028676	5/13/2013	Human Resources
15	118055121	5/19/2013	Human Resources
16	118062313	5/21/2013	Human Resources
17	118078131	5/24/2013	Human Resources
18	118093731	5/29/2013	Human Resources
19	118150268	6/11/2013	Human Resources
20	118171034	6/15/2013	Human Resources
21	118173515	6/16/2013	Human Resources
22	118173556	6/16/2013	Human Resources
23	118174368	6/17/2013	Human Resources
24	118180148	6/18/2013	Police
25	118185785	6/19/2013	Police
26	118220984	6/26/2013	Human Resources
27	118238947	7/1/2013	Human Resources
28	118249722	7/3/2013	Police
29	118283255	7/11/2013	Police
30	118334413	7/22/2013	Human Resources
31	118354827	7/26/2013	Human Resources
32	118354917	7/26/2013	Human Resources
33	118355016	7/26/2013	Human Resources
34	118359265	7/27/2013	Human Resources
35	118359275	7/27/2013	Human Resources
36	118359310	7/27/2013	Human Resources
37	118359333	7/27/2013	Human Resources
38	118359365	7/27/2013	Human Resources
39	118359409	7/27/2013	Human Resources
40	118359615	7/27/2013	Human Resources
41	118359839	7/27/2013	Human Resources
42	118360525	7/27/2013	Human Resources
43	118360593	7/27/2013	Human Resources

Control #	Report Number	Report Date	Case Manager Department
44	118361655	7/28/2013	Human Resources
45	118361691	7/28/2013	Human Resources
46	118361727	7/28/2013	Human Resources
47	118349567	7/25/2013	Human Resources
48	118360406	7/27/2013	Human Resources
49	118363802	7/29/2013	Human Resources
50	118363992	7/29/2013	Human Resources
51	118364899	7/29/2013	Human Resources
52	118376079	7/31/2013	Human Resources
53	118375990	7/31/2013	Human Resources
54	118376134	7/31/2013	Human Resources
55	118376551	7/31/2013	Human Resources
56	118377613	7/31/2013	Human Resources
57	118391687	8/3/2013	Human Resources
58	118391991	8/3/2013	Human Resources
59	118392039	8/3/2013	Human Resources
60	118394657	8/4/2013	Human Resources
61	118403870	8/6/2013	Human Resources
62	118436492	8/13/2013	Human Resources
63	118445043	8/15/2013	Human Resources
64	118448599	8/15/2013	Human Resources
65	118448873	8/15/2013	Human Resources
66	118467399	8/20/2013	Human Resources
67	118504679	8/28/2013	Human Resources
68	118508127	8/28/2013	Police
69	118514498	8/30/2013	Human Resources