



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: November 16, 2012

SUBJ: Ethics Tipline Monthly Reports – October 2012

Attached are the Ethics Tipline activity reports for October 2012. 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

October 2012

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

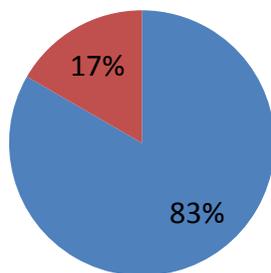
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	October 2012		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	6	66.7%	63	46.7%
Callback	1	11.1%	19	8.2%
Other	2	22.2%	49	45.1%
Total Calls	9		131	

ANONYMOUS REPORT ACTIVITY

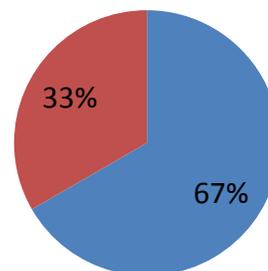
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

October 2012



■ 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	October 2012		Year to Date	
	Number	% of Total	Number	% of Total
Fraud	1	16.7.0%	13	20.6%
Employee Relations	0	0.0%	10	15.9%
Conflicts of Interest	0	0.0%	8	12.7%
Policy Issues	3	50.0%	7	11.1%
Customer Relations	0	0.0%	5	7.9%
Discrimination	0	0.0%	5	7.9%
Safety Issues And Sanitation	1	16.7%	4	6.3%
Substance Abuse	0	0.0%	2	3.2%
Theft of Goods/Services	0	0.0%	2	3.2%
Wage/Hour Issues	0	0.0%	2	3.2%
Falsification of Company Records	1	16.7%	2	3.2%
Accounting/Audit Irregularities	0	0.0%	1	1.6%
Sexual Harassment	0	0.0%	1	1.6%
Theft of Time	0	0.0%	1	1.6%
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%
Retaliation of Whistleblowers	0	0.0%	0	0.0%
Theft of Cash	0	0.0%	0	0.0%
Unauthorized Discounts	0	0.0%	0	0.0%
Workplace Violence/Threats	0	0.0%	0	0.0%
Total	6		63	



Ethics Tipline

Monthly Activity Report

October 2012

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	116283012	2/29/2012	Safety Issues and Sanitation	Facilities Management	Human Resources	10/19/2012	No Corrective Action Taken ⁽¹⁾
2	116289817	3/2/2012	Discrimination	Animal Services	Human Resources	10/19/2012	No Investigation Necessary ⁽²⁾
3	116289962	3/2/2012	Wage / Hour Issues	Animal Services	Human Resources	10/19/2012	No Investigation Necessary ⁽²⁾
4	116290042	3/2/2012	Employee Relations	Animal Services	Human Resources	10/19/2012	No Investigation Necessary ⁽³⁾
5	116313000	3/6/2012	Employee Relations	Planning & Design Services	Human Resources	10/19/2012	No Corrective Action Taken ⁽¹⁾
6	116317024	3/7/2012	Theft of Goods / Services	Public Works & Assets	Police	10/8/2012	No Corrective Action Taken ⁽¹⁾
7	116322588	3/8/2012	Employee Relations	Northwest Neighborhood Place	Human Resources	10/19/2012	No Investigation Necessary ⁽⁴⁾
8	116339885	3/13/2012	Employee Relations	Solid Waste Management Services	Human Resources	10/19/2012	No Corrective Action Taken ⁽¹⁾
9	116459004	4/12/2012	Sexual Harassment	Corrections	Human Resources	10/19/2012	No Investigation Necessary ⁽⁵⁾
10	116538224	5/2/2012	Policy Issues	Police	Human Resources	10/19/2012	No Corrective Action Taken ⁽¹⁾
11	116628855	5/24/2012	Employee Relations	Solid Waste Management Services	Human Resources	10/19/2012	No Corrective Action Taken ⁽¹⁾
12	116697416	6/12/2012	Employee Relations	Health & Wellness	Human Resources	10/19/2012	No Corrective Action Taken ⁽¹⁾
13	116878226	7/27/2012	Customer Relations	Inspections Permits & Licenses	Internal Audit	10/31/2012	No Corrective Action Taken ⁽¹⁾
14	116980833	8/22/2012	Policy Issues	Public Health & Wellness	Human Resources	10/19/2012	No Corrective Action Taken ⁽⁶⁾
15	117002830	8/28/2012	Employee Relations	Public Works - Facilities Management	Human Resources	10/19/2012	No Corrective Action Taken ⁽⁶⁾

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

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

- ⁽³⁾ Based on complaint information, Case Manager determined there was not sufficient information to substantiate the allegation. Therefore, no investigation was necessary.
- ⁽⁴⁾ Case Manager Department determined that individual identified in incident report was not an employee of Louisville Metro Government. Therefore, no investigation was necessary.
- ⁽⁵⁾ Case Manager Department determined that the incident was not work related. Therefore, no investigation was necessary.
- ⁽⁶⁾ Allegation had already been investigated in a prior complaint; therefore Case Manager Department determined that no correction action was necessary.
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II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	115875553	11/10/2011	Human Resources
2	116189467	2/6/2012	Internal Audit
3	116696301	6/12/2012	Police
4	116696379	6/12/2012	Internal Audit
5	116696419	6/12/2012	Internal Audit
6	116696455	6/12/2012	Internal Audit
7	116696671	6/12/2012	Police
8	116696876	6/12/2012	Police
9	116697025	6/12/2012	Police
10	116697080	6/12/2012	Police
11	116698956	6/12/2012	Internal Audit
12	116700943	6/12/2012	Internal Audit
13	116712197	6/15/2012	Human Resources
14	116763558	6/28/2012	Human Resources
15	116805168	7/10/2012	Police
16	116806525	7/10/2012	Internal Audit
17	116806990	7/10/2012	Police
18	116807386	7/10/2012	Police
19	116808360	7/10/2012	Internal Audit
20	116809060	7/10/2012	Police
21	116818872	7/12/2012	Human Resources
22	116883116	7/29/2012	Human Resources
23	116921525	8/8/2012	Human Resources
24	116932886	8/10/2012	Human Resources
25	116961693	8/17/2012	Human Resources
26	116971224	8/20/2012	Police
27	116975735	8/21/2012	Human Resources
28	116991931	8/24/2012	Human Resources
29	117073995	9/14/2012	Human Resources
30	117106124	9/22/2012	Human Resources
31	117141120	10/1/2012	Human Resources

Control #	Report Number	Report Date	Case Manager Department
32	117174275	10/9/2012	Police
33	117174477	10/9/2012	Human Resources
34	117213192	10/19/2012	Human Resources
35	117231289	10/24/2012	Human Resources
36	117255273	10/30/2012	Police
