



OFFICE OF INTERNAL AUDIT  
LOUISVILLE, KENTUCKY

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TO: Mayor Greg Fischer  
Mayor's Office

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

DATE: November 15, 2013

**SUBJ: Ethics Tipline Monthly Reports – October 2013**

Attached are the Ethics Tipline activity reports for October 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**

**October 2013**

**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	October 2013		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	11	84.6%	115	76.2%
Callback	0	0%	20	13.2%
Other	2	15.4%	16	10.6%
<b>Total Calls</b>	<b>13</b>		<b>151</b>	

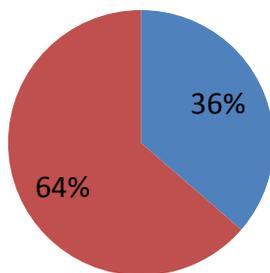
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## ANONYMOUS REPORT ACTIVITY

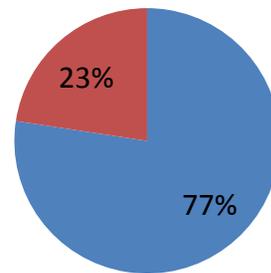
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

### October 2013



■ Anonymous Source Reports  
■ Non-Anonymous Source Reports

### Year to Date



■ Anonymous Source Reports  
■ Non-Anonymous Source Reports

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## 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 2013		Year to Date	
	Number	% of Total	Number	% of Total
Customer Relations	0	0.0%	29	25.2%
Discrimination	5	45.5%	15	13.0%
Employee Relations	1	9.1%	13	11.3%
Policy Issues	4	36.4%	13	11.3%
Fraud	0	0.0%	11	9.6%
Falsification of Company Records	0	0.0%	7	6.1%
Theft of Time	0	0.0%	6	5.2%
Retaliation of Whistleblowers	0	0.0%	5	4.3%
Conflicts of Interest	0	0.0%	4	3.5%
Safety Issues And Sanitation	0	0.0%	2	1.7%
Substance Abuse	0	0.0%	2	1.7%
Wage/Hour Issues	0	0.0%	2	1.7%
Workplace Violence/Threats	0	0.0%	2	1.7%
Accounting/Audit Irregularities	0	0.0%	1	0.9%
Fraudulent Insurance Claim	1	9.1%	1	0.9%
Sexual Harassment	0	0.0%	1	0.9%
Unauthorized Discounts	0	0.0%	1	0.9%
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%
<b>Total</b>	<b>11</b>		<b>115</b>	

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# **Ethics Tipline**

## **Monthly Activity Report**

**October 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	116696379	6/12/2012	Conflicts of Interest	Metro Council	Internal Audit	10/23/2013	No Investigation Necessary <sup>(1)</sup>
2	118055121	5/19/2013	Policy Issues	Public Health & Wellness	Human Resources	10/17/2013	No Corrective Action Taken <sup>(2)</sup>
3	118093731	5/29/2013	Sexual Harassment	Non Metro - Unknown	Human Resources	10/28/2013	No Investigation Necessary <sup>(3)</sup>
4	118150268	6/11/2013	Employee Relations	Belle of Louisville	Human Resources	10/28/2013	No Investigation Necessary <sup>(4)</sup>
5	118171034	6/15/2013	Conflicts of Interest	Louisville Water Co.	Human Resources	10/28/2013	No Investigation Necessary <sup>(4)</sup>
6	118220984	6/26/2013	Safety Issues and Sanitation	Inspections Permits & Licenses	Human Resources	10/28/2013	No Investigation Necessary <sup>(5)</sup>
7	118238947	7/1/2013	Policy Issues	Finance & Budget	Human Resources	10/28/2013	No Investigation Necessary <sup>(5)</sup>
8	118354827	7/26/2013	Customer Relations	Public Health & Wellness	Human Resources	10/30/2013	No Corrective Action Taken <sup>(6)</sup>
9	118354917	7/26/2013	Customer Relations	Public Health & Wellness	Human Resources	10/28/2013	No Corrective Action Taken <sup>(6)</sup>
10	118359310	7/27/2013	Customer Relations	Public Health & Wellness	Human Resources	10/30/2013	No Corrective Action Taken <sup>(6)</sup>
11	118349567	7/25/2013	Customer Relations	Public Health & Wellness	Human Resources	10/30/2013	No Corrective Action Taken <sup>(6)</sup>
12	118364899	7/29/2013	Employee Relations	Public Health & Wellness	Human Resources	10/15/2013	No Corrective Action Taken <sup>(6)</sup>
13	118376079	7/31/2013	Customer Relations	Public Health & Wellness	Human Resources	10/15/2013	No Corrective Action Taken <sup>(6)</sup>
14	118375990	7/31/2013	Customer Relations	Public Health & Wellness	Human Resources	10/15/2013	No Corrective Action Taken <sup>(6)</sup>
15	118376551	7/31/2013	Customer Relations	Public Health & Wellness	Human Resources	10/15/2013	No Corrective Action Taken <sup>(6)</sup>
16	118377613	7/31/2013	Customer Relations	Public Health & Wellness	Human Resources	10/15/2013	No Corrective Action Taken <sup>(6)</sup>
17	118391687	8/3/2013	Customer Relations	Public Health & Wellness	Human Resources	10/15/2013	No Corrective Action Taken <sup>(6)</sup>
18	118391991	8/3/2013	Customer Relations	Public Health & Wellness	Human Resources	10/15/2013	No Corrective Action Taken <sup>(6)</sup>
19	118392039	8/3/2013	Customer Relations	Public Health & Wellness	Human Resources	10/15/2013	No Corrective Action Taken <sup>(6)</sup>

20	118403870	8/6/2013	Employee Relations	Animal Services	Human Resources	10/15/2013	Corrective Action Taken
21	118436492	8/13/2013	Unauthorized Discounts	Public Health & Wellness	Human Resources	10/15/2013	No Corrective Action Taken <sup>(6)</sup>
22	118448873	8/15/2013	Fraudulent Insurance Claims	Public Works & Assets	Human Resources	10/15/2013	No Corrective Action Taken <sup>(6)</sup>
23	118467399	8/20/2013	Conflicts of Interest	Inspections Permits & Licenses	Human Resources	10/15/2013	No Corrective Action Taken <sup>(6)</sup>
24	118514498	8/30/2013	Retaliation of Whistleblowers	Finance & Budget	Human Resources	10/15/2013	No Investigation Necessary <sup>(3)</sup>
25	118530054	9/3/2013	Theft of Time	Corrections	Human Resources	10/15/2013	Corrective Action Taken
26	118700248	10/9/2013	Policy Issues	Human Resources	Human Resources	10/28/2013	No Investigation Necessary <sup>(5)</sup>
27	118702948	10/9/2013	Policy Issues	Human Resources	Human Resources	10/28/2013	No Investigation Necessary <sup>(5)</sup>
28	118700359	10/9/2013	Policy Issues	Human Resources	Human Resources	10/28/2013	No Investigation Necessary <sup>(5)</sup>
29	118707548	10/10/2013	Policy Issues	Human Resources	Human Resources	10/28/2013	No Investigation Necessary <sup>(5)</sup>
30	118740646	10/17/2013	Fraud	Human Resources	Human Resources	10/30/2013	No Corrective Action Taken <sup>(6)</sup>

<sup>(1)</sup> Based on information provided by the complainant, Case Manager Department determined no investigation was necessary and provided information regarding filing a formal complaint with the Ethics Commission.

<sup>(2)</sup> Investigation by Case Manager Department did not produce evidence to substantiate the allegation. Therefore, no corrective action was necessary.

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

<sup>(4)</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>(5)</sup> Based on information provided by the complainant and management, Case Manager Department determined no investigation was necessary.

<sup>(6)</sup> 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.

## II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	117795746	3/15/2013	Internal Audit
2	118062313	5/21/2013	Human Resources
3	118078131	5/24/2013	Human Resources
4	118173515	6/16/2013	Human Resources
5	118173556	6/16/2013	Human Resources
6	118174368	6/17/2013	Police
7	118180148	6/18/2013	Police

Control #	Report Number	Report Date	Case Manager Department
8	118185785	6/19/2013	Police
9	118249722	7/3/2013	Police
10	118283255	7/11/2013	Police
11	118334413	7/22/2013	Human Resources
12	118355016	7/26/2013	Human Resources
13	118359265	7/27/2013	Human Resources
14	118359275	7/27/2013	Human Resources
15	118359333	7/27/2013	Human Resources
16	118359365	7/27/2013	Human Resources
17	118359409	7/27/2013	Human Resources
18	118359615	7/27/2013	Human Resources
19	118359839	7/27/2013	Human Resources
20	118360525	7/27/2013	Human Resources
21	118360593	7/27/2013	Human Resources
22	118361655	7/28/2013	Human Resources
23	118361691	7/28/2013	Human Resources
24	118361727	7/28/2013	Human Resources
25	118360406	7/27/2013	Human Resources
26	118363802	7/29/2013	Human Resources
27	118363992	7/29/2013	Human Resources
28	118376134	7/31/2013	Human Resources
29	118445043	8/15/2013	Human Resources
30	118504679	8/28/2013	Human Resources
31	118508127	8/28/2013	Police
32	118580901	9/13/2013	Human Resources
33	118620107	9/23/2013	Human Resources
34	118620381	9/23/2013	Human Resources
35	118699844	10/9/2013	Human Resources
36	118718777	10/12/2013	Police
37	118735555	10/16/2013	Human Resources
38	118743228	10/17/2013	Internal Audit
39	118743615	10/17/2013	Human Resources
40	118763980	10/22/2013	Human Resources