



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 14, 2014

SUBJ: Ethics Tipline Monthly Reports – October 2014

Attached are the Ethics Tipline activity reports for October 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

October 2014

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

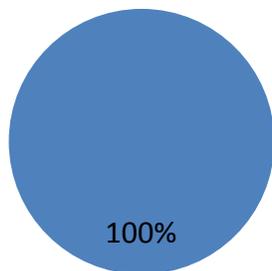
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	October 2014		Year to Date	
	Number	% of Total	Number	% of Total
Original	1	20%	56	68.3%
Call Back	2	40%	15	18.3%
Other	2	40%	11	13.4%
Total	5		82	

ANONYMOUS REPORT ACTIVITY

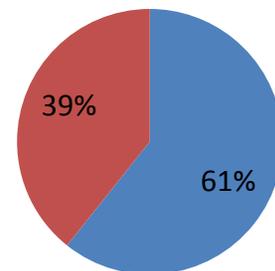
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

October 2014



■ 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.

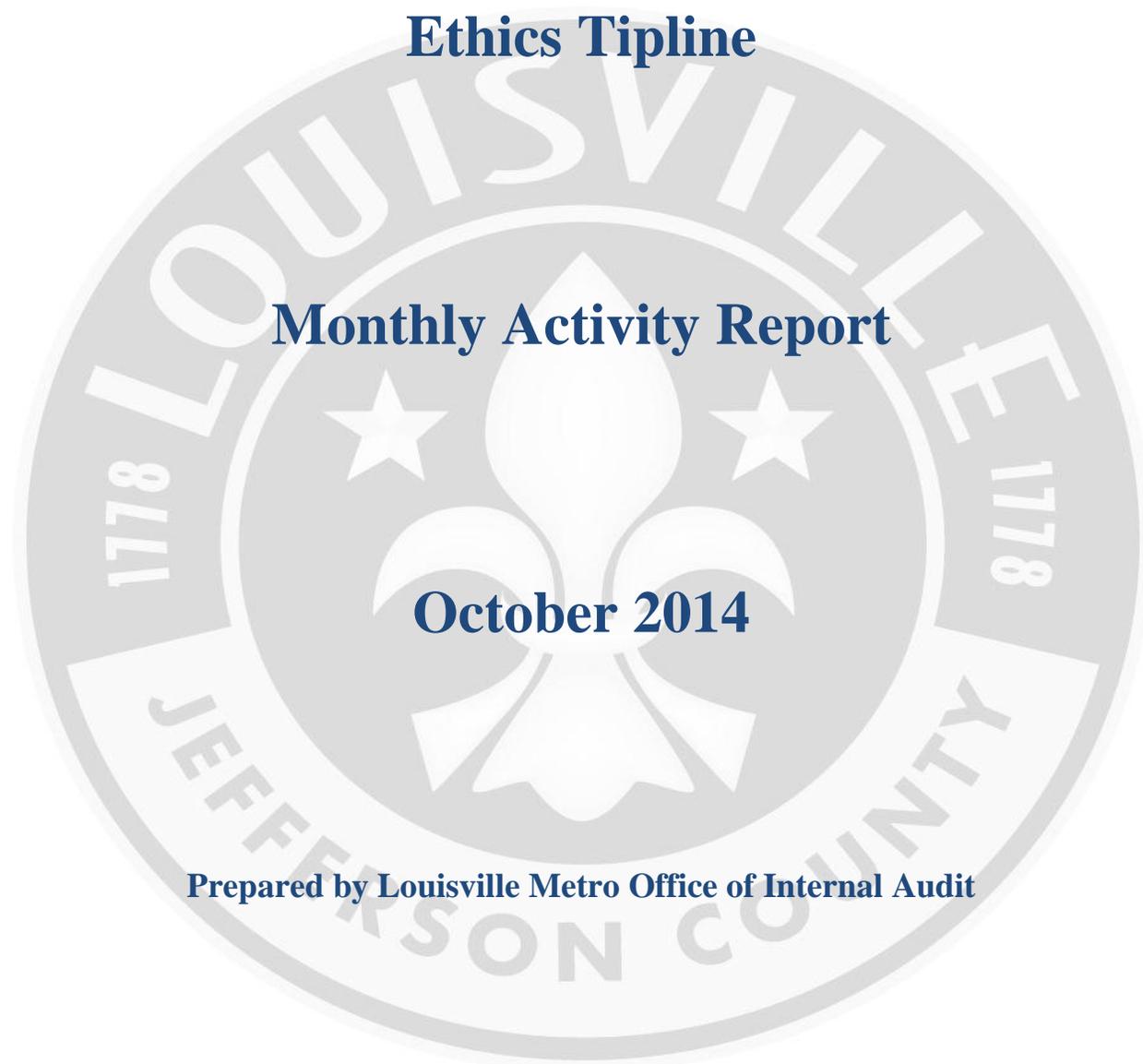
Incident Type	October 2014		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	0	0.0%	12	21.4%
Employee Relations	0	0.0%	7	12.5%
Conflicts of Interest	0	0.0%	5	8.9%
Fraud	0	0.0%	5	8.9%
Policy Issues	0	0.0%	5	8.9%
Substance Abuse	0	0.0%	4	7.1%
Theft of Time	1	100.0%	4	7.1%
Customer Relations	0	0.0%	3	5.4%
Falsification of Company Records	0	0.0%	3	5.4%
Workplace Violence/Threats	0	0.0%	3	5.4%
Product Quality Concern	0	0.0%	1	1.8%
Release of Proprietary Information	0	0.0%	1	1.8%
Safety Issues And Sanitation	0	0.0%	1	1.8%
Theft of Goods/Services	0	0.0%	1	1.8%
Wage/Hour Issues	0	0.0%	1	1.8%
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%
Sexual Harassment	0	0.0%	0	0.0%
Theft of Cash	0	0.0%	0	0.0%
Total	1		56	

Ethics Tipline

Monthly Activity Report

October 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	117795746	3/15/2013	Wage / Hour Issues	Human Resources	Internal Audit	10/9/2014	No Corrective Action Taken ⁽¹⁾
2	118743228	10/17/2013	Employee Relations	Revenue Commission	Internal Audit	10/9/2014	No Corrective Action Taken ⁽¹⁾
3	119850439	6/18/2014	Customer Relations	Public Health and Wellness	Internal Audit	10/13/2014	No Corrective Action Taken ⁽¹⁾
4	119857566	6/19/2014	Customer Relations	Public Health and Wellness	Internal Audit	10/13/2014	No Corrective Action Taken ⁽¹⁾
5	120074221	8/7/2014	Fraud	Metro Animal Services	Internal Audit	10/16/2014	No Corrective Action Taken ⁽¹⁾
6	120093039	8/11/2014	Safety Issues and Sanitation	Codes and Regulations	Human Resources	10/12/2014	No Corrective Action Taken ⁽¹⁾
7	120124857	8/18/2014	Conflicts of Interest	Codes and Regulations	Human Resources	10/12/2014	Corrective Action Taken
8	120144427	8/22/2014	Theft of Time	Non Metro - Waste Water	Human Resources	10/12/2014	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 complaint was in regards to non-Metro agencies outside the purview of the Ethics Tipline. Therefore, no investigation was necessary.

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	119782955	6/3/2014	Human Resources
2	119899741	6/29/2014	Human Resources
3	120114475	8/15/2014	Police
4	120114552	8/15/2014	Police
5	120300742	9/24/2014	Police
6	120303205	9/25/2014	Human Resources
7	120331246	9/30/2014	Human Resources
8	120464755	10/27/2014	Human Resources