



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: December 16, 2013

SUBJ: Ethics Tipline Monthly Reports – November 2013

Attached are the Ethics Tipline activity reports for November 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

November 2013

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

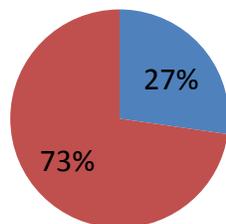
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	November 2013		Year to Date	
	Number	% of Total	Number	% of Total
Original	11	78.6%	126	76.4%
Call Back	2	14.3%	22	13.3%
Other	1	7.1%	17	10.3%
Total	14		165	

ANONYMOUS REPORT ACTIVITY

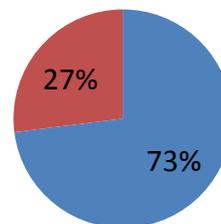
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

November 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	November 2013		Year to Date	
	Number	% of Total	Number	% of Total
Customer Relations	0	0.0%	29	23.0%
Discrimination	1	9.1%	16	12.7%
Employee Relations	3	27.3%	16	12.7%
Policy Issues	1	9.1%	14	11.1%
Fraud	1	9.1%	12	9.5%
Falsification of Company Records	0	0.0%	7	5.6%
Theft of Time	0	0.0%	6	4.8%
Retaliation of Whistleblowers	0	0.0%	5	4.0%
Conflicts of Interest	2	18.2%	6	4.8%
Safety Issues And Sanitation	1	9.1%	3	2.4%
Substance Abuse	0	0.0%	2	1.6%
Wage/Hour Issues	0	0.0%	2	1.6%
Workplace Violence/Threats	0	0.0%	2	1.6%
Accounting/Audit Irregularities	2	18.2%	3	2.4%
Fraudulent Insurance Claim	0	0.0%	1	0.8%
Sexual Harassment	0	0.0%	1	0.8%
Unauthorized Discounts	0	0.0%	1	0.8%
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%
Total	11		126	



Ethics Tipline

Monthly Activity Report

November 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	118062313	5/21/2013	Retaliation of Whistleblowers	Inspections Permits & Licenses	Human Resources	11/15/2013	Corrective Action Taken
2	118078131	5/24/2013	Discrimination	Public Works & Assets	Human Resources	11/1/2013	No Investigation Necessary ⁽²⁾
3	118334413	7/22/2013	Substance Abuse	Public Works & Assets	Human Resources	11/26/2013	Corrective Action Taken
4	118355016	7/26/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
5	118359265	7/27/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
6	118359275	7/27/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
7	118359333	7/27/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
8	118359365	7/27/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
9	118359409	7/27/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
10	118359615	7/27/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
11	118359839	7/27/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
12	118360406	7/27/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
13	118360525	7/27/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
14	118360593	7/27/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
15	118361655	7/28/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
16	118361691	7/28/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
17	118361727	7/28/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾

Control #	Report Number	Report Date	Incident Type	Department Name	Case Manager Department	Closed Date	Outcome
18	118363802	7/29/2013	Customer Relations	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
19	118363992	7/29/2013	Retaliation of Whistleblowers	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
20	118376134	7/31/2013	Theft of Time	Community Services and Revitalization	Human Resources	11/26/2013	Corrective Action Taken
21	118445043	8/15/2013	Employee Relations	Corrections	Human Resources	11/1/2013	Corrective Action Taken
22	118580901	9/13/2013	Substance Abuse	Public Works & Assets	Human Resources	11/1/2013	No Corrective Action Taken ⁽¹⁾
23	118620107	9/23/2013	Theft of Time	Public Works & Assets	Human Resources	11/1/2013	No Corrective Action Taken ⁽¹⁾
24	118620381	9/23/2013	Theft of Time	Public Works & Assets	Human Resources	11/1/2013	No Corrective Action Taken ⁽¹⁾
25	118699844	10/9/2013	Policy Issues	Corrections	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
26	118735555	10/16/2013	Policy Issues	Public Health & Wellness	Human Resources	11/1/2013	No Corrective Action Taken ⁽³⁾
27	118763980	10/22/2013	Policy Issues	Community Services and Revitalization	Human Resources	11/26/2013	Corrective Action Taken
28	118833528	11/5/2013	Policy Issues	Human Resources	Human Resources	11/26/2013	No Investigation Necessary ⁽²⁾
29	118902736	11/20/2013	Conflicts of Interest	Human Resources	Human Resources	11/20/2013	No Corrective Action Taken ⁽¹⁾
30	118903332	11/20/2013	Conflicts of Interest	Human Resources	Human Resources	11/26/2013	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⁾ Based on information provided by the complainant and management, Case Manager Department determined no investigation was necessary.

⁽³⁾ 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	Human Resources
2	118173515	6/16/2013	Human Resources
3	118173556	6/16/2013	Human Resources
4	118174368	6/17/2013	Human Resources
5	118180148	6/18/2013	Police
6	118185785	6/19/2013	Police
7	118249722	7/3/2013	Human Resources
8	118283255	7/11/2013	Human Resources
9	118504679	8/28/2013	Human Resources
10	118508127	8/28/2013	Human Resources
11	118718777	10/12/2013	Police
12	118743228	10/17/2013	Human Resources
13	118743615	10/17/2013	Human Resources
14	118840774	11/6/2013	Police
15	118864506	11/12/2013	Police
16	118874801	11/14/2013	Human Resources
17	118874811	11/14/2013	Human Resources
18	118874840	11/14/2013	Police
19	118891980	11/18/2013	Police
20	118903888	11/20/2013	Human Resources
21	118925031	11/25/2013	Police