



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 15, 2014

SUBJ: **Ethics Tipline Monthly Reports – November 2014**

Attached are the Ethics Tipline activity reports for November 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

November 2014

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

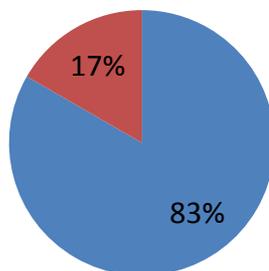
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	November 2014		Year to Date	
	Number	% of Total	Number	% of Total
Original	6	50%	62	66.0%
Call Back	6	50%	21	22.3%
Other	0	0%	11	11.7%
Total	12		94	

ANONYMOUS REPORT ACTIVITY

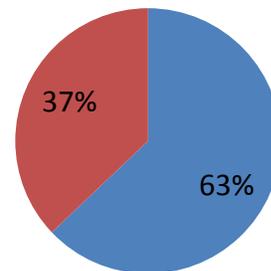
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

November 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	November 2014		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	1	16.7%	13	21.0%
Employee Relations	1	16.7%	8	12.9%
Conflicts of Interest	2	33.3%	7	11.3%
Policy Issues	1	16.7%	6	9.7%
Fraud	0	0.0%	5	8.1%
Substance Abuse	0	0.0%	4	6.5%
Theft of Time	0	0.0%	4	6.5%
Customer Relations	0	0.0%	3	4.8%
Falsification of Company Records	0	0.0%	3	4.8%
Workplace Violence/Threats	0	0.0%	3	4.8%
Product Quality Concern	0	0.0%	1	1.6%
Release of Proprietary Information	0	0.0%	1	1.6%
Retaliation of Whistleblowers	1	16.7%	1	1.6%
Safety Issues And Sanitation	0	0.0%	1	1.6%
Theft of Goods/Services	0	0.0%	1	1.6%
Wage/Hour Issues	0	0.0%	1	1.6%
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%
Sexual Harassment	0	0.0%	0	0.0%
Theft of Cash	0	0.0%	0	0.0%
Total	6		62	

Ethics Tipline

Monthly Activity Report

November 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	119782955	6/3/2014	Employee Relations	Revenue Commission	Human Resources	11/4/2014	No Investigation Necessary ⁽¹⁾
2	120331246	9/30/2014	Conflicts of Interest	Emergency Medical Services	Human Resources	11/7/2014	Corrective Action Taken

⁽¹⁾ Allegation had already been investigated and resolved in a prior complaint; therefore Case Manager Department determined that no investigation was necessary.

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	119899741	6/29/2014	Human Resources
2	120114475	8/15/2014	Police
3	120114552	8/15/2014	Police
4	120300742	9/24/2014	Police
5	120303205	9/25/2014	Human Resources
6	120464755	10/27/2014	Human Resources
7	120530060	11/10/2014	Human Resources
8	120543480	11/12/2014	Human Resources
9	120546561	11/12/2014	Human Resources
10	120550239	11/13/2014	Human Resources
11	120571884	11/18/2014	Human Resources
12	120608118	11/25/2014	Human Resources