



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: January 15, 2014

SUBJ: Ethics Tipline Monthly Reports – December 2013

Attached are the Ethics Tipline activity reports for December 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

December 2013

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

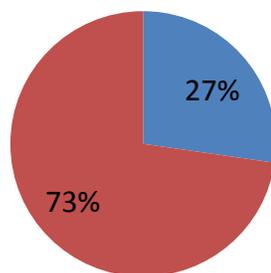
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	December 2013		Year to Date	
	Number	% of Total	Number	% of Total
Original	9	81.8%	135	76.7%
Call Back	2	18.2%	24	13.6%
Other	0	0%	17	9.7%
Total	11		176	

ANONYMOUS REPORT ACTIVITY

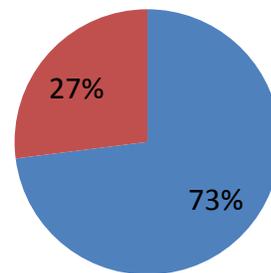
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

December 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	December 2013		Year to Date	
	Number	% of Total	Number	% of Total
Customer Relations	1	11.1%	30	22.2%
Policy Issues	4	44.4%	18	13.3%
Discrimination	0	0.0%	16	11.9%
Employee Relations	0	0.0%	16	11.9%
Fraud	1	11.1%	13	9.6%
Conflicts of Interest	1	11.1%	7	5.2%
Falsification of Company Records	0	0.0%	7	5.2%
Theft of Time	1	11.1%	7	5.2%
Retaliation of Whistleblowers	0	0.0%	5	3.7%
Safety Issues And Sanitation	1	11.1%	4	3.0%
Accounting/Audit Irregularities	0	0.0%	3	2.2%
Substance Abuse	0	0.0%	2	1.5%
Wage/Hour Issues	0	0.0%	2	1.5%
Workplace Violence/Threats	0	0.0%	2	1.5%
Fraudulent Insurance Claim	0	0.0%	1	0.7%
Sexual Harassment	0	0.0%	1	0.7%
Unauthorized Discounts	0	0.0%	1	0.7%
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	9		135	



Ethics Tipline

Monthly Activity Report

December 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	118955221	12/3/2013	Safety Issues and Sanitation	Emergency Medical Services	Internal Audit	12/3/2013	No Investigation Necessary ⁽¹⁾
2	118968129	12/5/2013	Policy Issues	Human Resources	Human Resources	12/13/2013	No Corrective Action Taken ⁽²⁾
3	118970153	12/5/2013	Policy Issues	Human Resources	Human Resources	12/13/2013	No Corrective Action Taken ⁽²⁾
4	119026404	12/17/2013	Conflicts of Interest	Human Resources	Human Resources	12/30/2013	No Corrective Action Taken ⁽³⁾
5	119076073	12/30/2013	Customer Relations	Non Metro - Child Protective Services	Human Resources	12/30/2013	No Investigation Necessary ⁽¹⁾

⁽¹⁾ Case Manager Department determined complaint was in regards to non-Metro agencies outside the purview of the Ethics Tipline. Therefore, no investigation was necessary.

⁽²⁾ Allegation had already been investigated and resolved in a prior complaint; therefore Case Manager Department determined that no correction action was necessary.

⁽³⁾ Investigation by Case Manager Department did not produce evidence to substantiate the allegation. 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	118173515	6/16/2013	Human Resources
3	118173556	6/16/2013	Human Resources
4	118174368	6/17/2013	Police
5	118180148	6/18/2013	Police
6	118185785	6/19/2013	Police
7	118249722	7/3/2013	Police
8	118283255	7/11/2013	Police
9	118504679	8/28/2013	Human Resources
10	118508127	8/28/2013	Police

Control #	Report Number	Report Date	Case Manager Department
11	118718777	10/12/2013	Police
12	118743228	10/17/2013	Internal Audit
13	118743615	10/17/2013	Human Resources
14	118840774	11/6/2013	Internal Audit
15	118864506	11/12/2013	Human Resources
16	118874801	11/14/2013	Human Resources
17	118874811	11/14/2013	Human Resources
18	118874840	11/14/2013	Human Resources
19	118891980	11/18/2013	Internal Audit
20	118903888	11/20/2013	Human Resources
21	118925031	11/25/2013	Police
22	118967881	12/5/2013	Internal Audit
23	118996330	12/11/2013	Human Resources
24	119026308	12/17/2013	Human Resources
25	119079323	12/31/2013	Human Resources
