



OFFICE OF INTERNAL AUDIT
LOUISVILLE, KENTUCKY

GREG FISCHER
MAYOR

MICHAEL S. NORMAN, CIA, CFE, CGAP
CHIEF AUDIT EXECUTIVE

JIM KING
PRESIDENT METRO COUNCIL

TO: Mayor Greg Fischer
Mayor's Office

FROM: Michael S. Norman, CIA, CFE, CGAP
Office of Internal Audit

DATE: February 10, 2011

SUBJ: Ethics Tipline Monthly Reports – January 2011

Attached are the Ethics Tipline activity reports for January 2011. 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 Oversight 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

January 2011

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

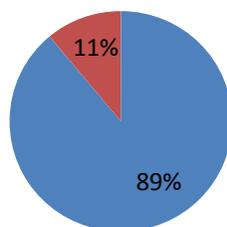
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	January 2011		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	9	60.0%	9	60.0%
Callback	4	26.7%	4	26.7%
Other	2	13.3%	2	13.3%
Total Calls	15		15	

ANONYMOUS REPORT ACTIVITY

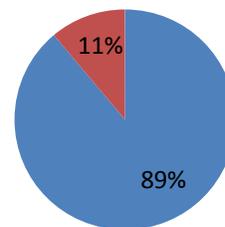
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

January 2011



■ 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	January 2011		Year to Date	
	Number	% of Total	Number	% of Total
Employee Relations	3	33.3%	3	33.3%
Policy Issues	2	22.2%	2	22.2%
Customer Relations	1	11.1%	1	11.1%
Safety Issues And Sanitation	1	11.1%	1	11.1%
Theft of Time	1	11.1%	1	11.1%
Wage/Hour Issues	1	11.1%	1	11.1%
Accounting/Audit Irregularities	0	0.0%	0	0.0%
Conflicts of Interest	0	0.0%	0	0.0%
Discrimination	0	0.0%	0	0.0%
Falsification of Company Records	0	0.0%	0	0.0%
Fraud	0	0.0%	0	0.0%
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%
Sexual Harassment	0	0.0%	0	0.0%
Substance Abuse	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%
Workplace Violence/Threats	0	0.0%	0	0.0%
Total	9		9	

Ethics Tipline

Monthly Activity Report

January 2011

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	113386063	1/4/2010	Discrimination	Corrections	Human Resources	1/21/2011	Corrective Action Taken
2	114673024	12/11/2010	Release of Proprietary Information	Health & Wellness	Internal Audit	1/26/2011	No Corrective Action Taken
3	114674973	12/12/2010	Employee Relations	MetroSafe	Human Resources	1/24/2011	No Investigation Necessary ⁽¹⁾
4	114676362	12/13/2010	Customer Relations	Corrections	Human Resources	1/14/2011	No Investigation Necessary ⁽¹⁾
5	114753076	1/6/2011	Employee Relations	Police	Human Resources	1/31/2011	Corrective Action Taken
6	114769154	1/11/2011	Employee Relations	Library	Human Resources	1/31/2011	No Investigation Necessary ⁽²⁾
7	114810067	1/23/2011	Employee Relations	Public Health & Wellness	Human Resources	1/31/2011	Corrective Action Taken

⁽¹⁾ Based on information provided by the Department, Case Manager Department determined no investigation was necessary.

⁽²⁾ Caller withdrew report, indicating matter would be discussed with supervisor first. Case Manager Department determined no investigation was necessary.

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	114012442	6/9/2010	Police
2	114122919	7/12/2010	Police
3	114123060	7/12/2010	Police
4	114165411	7/23/2010	Police
5	114235673	8/13/2010	Police
6	114249571	8/17/2010	Human Resources
7	114442751	10/12/2010	Police
8	114527830	10/28/2010	Police
9	114694395	12/17/2010	Human Resources
10	114712987	12/22/2010	Police
11	114723405	12/27/2010	Human Resources
12	114751734	1/5/2011	Internal Audit
13	114754028	1/6/2011	Internal Audit
14	114798335	1/19/2011	Human Resources
15	114822914	1/26/2011	Human Resources
16	114823050	1/26/2011	Human Resources
17	114837338	1/31/2011	Human Resources
