



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: February 9, 2012

SUBJ: Ethics Tipline Monthly Reports – January 2012

Attached are the Ethics Tipline activity reports for January 2012. 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

January 2012

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

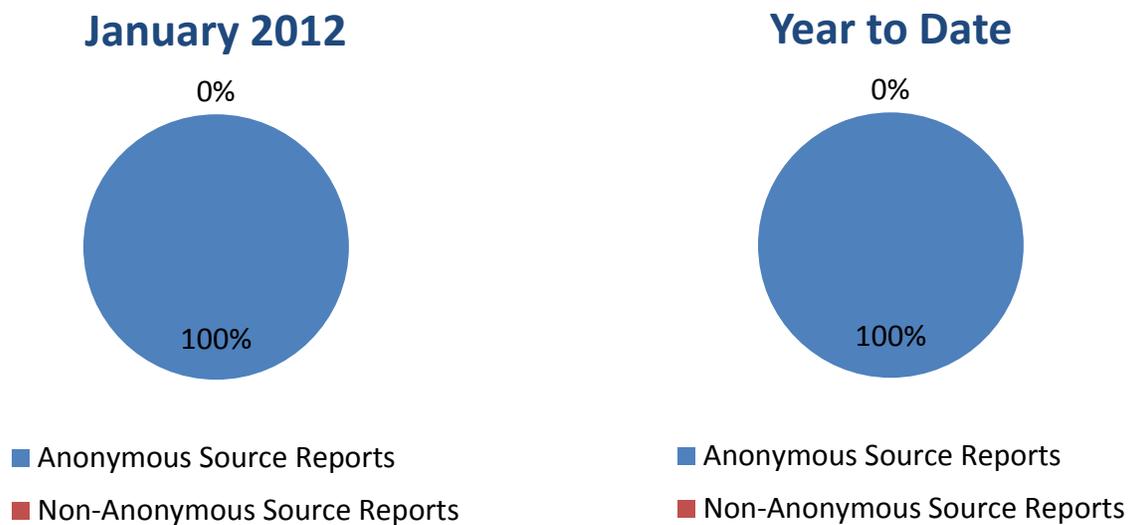
A call to the Ethics Tipline can have three outcomes:

- (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 2012		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	3	60.0%	3	60.0%
Callback	0	0.0%	0	0.0%
Other	2	40.0%	2	40.0%
Total Calls	5		5	

ANONYMOUS REPORT ACTIVITY

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



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 2012		Year to Date	
	Number	% of Total	Number	% of Total
Policy Issues	1	33.3%	1	33.3%
Safety Issues And Sanitation	1	33.3%	1	33.3%
Wage/Hour Issues	1	33.3%	1	33.3%
Accounting/Audit Irregularities	0	0.0%	0	0.0%
Conflicts of Interest	0	0.0%	0	0.0%
Customer Relations	0	0.0%	0	0.0%
Discrimination	0	0.0%	0	0.0%
Employee Relations	0	0.0%	0	0.0%
Falsification of Company Records	0	0.0%	0	0.0%
Fraud	0	0.0%	0	0.0%
Fraudulent Insurance Claim	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%
Retaliation of Whistleblowers	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%
Theft of Time	0	0.0%	0	0.0%
Unauthorized Discounts	0	0.0%	0	0.0%
Workplace Violence/Threats	0	0.0%	0	0.0%
Total	3		3	



Ethics Tipline

Monthly Activity Report

January 2012

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
No reports were closed during the reporting period of January 1 through January 31, 2012							

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	114923452	2/23/2011	Human Resources
2	115045482	3/30/2011	Internal Audit
3	115276442	6/3/2011	Human Resources
4	115498661	8/3/2011	Human Resources
5	115744171	10/7/2011	Human Resources
6	115875553	11/10/2011	Human Resources
7	115923144	11/23/2011	Human Resources
8	115959283	12/5/2011	Police
9	115962061	12/5/2011	Human Resources
10	115978347	12/9/2011	Police
11	115980569	12/9/2011	Human Resources
12	115988950	12/12/2011	Human Resources
13	116014853	12/19/2011	Human Resources
14	116016528	12/20/2011	Human Resources
15	116029251	12/23/2011	Human Resources
16	116038353	12/27/2011	Human Resources
17	116041044	12/28/2011	Police
18	116066711	1/4/2012	Human Resources
19	116066720	1/4/2012	Police
20	116161076	1/30/2012	Human Resources