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

*Michael S. Norman  
by Matt A. Shelton*

DATE: April 11, 2011

**SUBJ: Ethics Tipline Monthly Reports – March 2011**

Attached are the Ethics Tipline activity reports for March 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 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**

**March 2011**

**Prepared by Louisville Metro Office of Internal Audit**

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## 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	March 2011		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	5	45.5%	18	50.0%
Callback	2	18.2%	10	27.8%
Other	4	36.4%	8	22.2%
<b>Total Calls</b>	<b>11</b>		<b>36</b>	

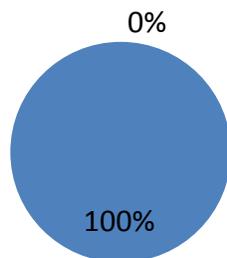
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## ANONYMOUS REPORT ACTIVITY

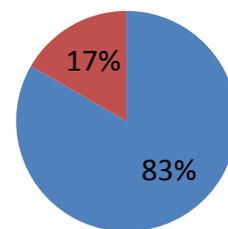
*Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.*

### March 2011



- Anonymous Source Reports
- Non-Anonymous Source Reports

### Year to Date



- Anonymous Source Reports
- Non-Anonymous Source Reports

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## 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	March 2011		Year to Date	
	Number	% of Total	Number	% of Total
Policy Issues	1	20.0%	4	22.2%
Customer Relations	0	0.0%	3	16.7%
Employee Relations	0	0.0%	3	16.7%
Theft of Time	2	40.0%	3	16.7%
Discrimination	1	20.0%	2	11.1%
Conflicts of Interest	1	20.0%	1	5.6%
Safety Issues And Sanitation	0	0.0%	1	5.6%
Wage/Hour Issues	0	0.0%	1	5.6%
Accounting/Audit Irregularities	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%
<b>Total</b>	<b>5</b>		<b>18</b>	

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**Ethics Tipline**

**Monthly Activity Report**

**March 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	114249571	8/17/2010	Wage / Hour Issues	Facilities Management	Human Resources	3/9/2011	No Investigation Necessary <sup>(1)</sup>
2	114694395	12/17/2010	Customer Relations	PARC - Contractor	Human Resources	3/9/2011	Corrective Action Taken
3	114723405	12/27/2010	Safety Issues and Sanitation	Animal Services	Human Resources	3/9/2011	Corrective Action Taken
4	114798335	1/19/2011	Kickbacks	Mayor's Office	Human Resources	3/9/2011	No Investigation Necessary <sup>(2)</sup>
5	114822914	1/26/2011	Theft of Time	MetroSafe	Internal Audit	3/1/2011	No Corrective Action Taken <sup>(3)</sup>
6	114823050	1/26/2011	Wage / Hour Issues	MetroSafe	Internal Audit	3/1/2011	No Corrective Action Taken <sup>(3)</sup>
7	114865257	2/7/2011	Customer Relations	Police	Human Resources	3/9/2011	No Corrective Action Taken <sup>(4)</sup>
8	114899831	2/16/2011	Kickbacks	Air Pollution Control District	Human Resources	3/9/2011	No Corrective Action Taken <sup>(4)</sup>
9	114920581	2/22/2011	Customer Relations	Non Metro - Business	Human Resources	3/9/2011	No Investigation Necessary
10	114960643	3/5/2011	Discrimination	Non-Metro - Business	Human Resources	3/7/2011	No Investigation Necessary

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

<sup>(2)</sup> Case Manager Department requested additional information from the caller using the callback feature of The Network's case management system. Additional information was not provided. Therefore, Case Manager Department could not conduct an investigation.

<sup>(3)</sup> Investigation by Case Manager Department did not produce evidence to substantiate the allegation. Therefore, no corrective action was necessary.

<sup>(4)</sup> Investigation by Case Manager Department determined that the nature of the allegation was not a violation of Louisville Metro Policy. Therefore, no corrective action was necessary.

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## 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	114442751	10/12/2010	Police
7	114527830	10/28/2010	Police
8	114712987	12/22/2010	Police
9	114837338	1/31/2011	Human Resources
10	114923452	2/23/2011	Human Resources
11	114949026	3/2/2011	Human Resources
12	114970953	3/8/2011	Human Resources
13	115022011	3/23/2011	Human Resources
14	115045482	3/30/2011	Internal Audit

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