



OFFICE OF INTERNAL AUDIT  
LOUISVILLE, KENTUCKY

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**TO:** Mayor Greg Fischer  
Mayor's Office

**FROM:** Ingram L. Quick, CIA, CFE  
Office of Internal Audit

**DATE:** May 11, 2011

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

Attached are the Ethics Tipline activity reports for April 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**

**April 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	April 2011		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	13	81.3%	31	59.6%
Callback	2	12.5%	12	23.1%
Other	1	6.3%	9	17.3%
<b>Total Calls</b>	<b>16</b>		<b>52</b>	

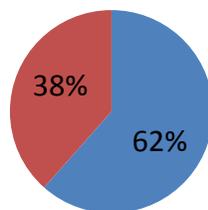
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## ANONYMOUS REPORT ACTIVITY

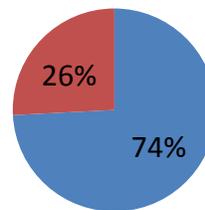
*Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.*

**April 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	April 2011		Year to Date	
	Number	% of Total	Number	% of Total
Employee Relations	2	15.4%	5	16.1%
Policy Issues	1	7.7%	5	16.1%
Safety Issues And Sanitation	4	30.8%	5	16.1%
Discrimination	2	15.4%	4	12.9%
Theft of Time	1	7.7%	4	12.9%
Conflicts of Interest	2	15.4%	3	9.7%
Customer Relations	0	0.0%	3	9.7%
Retaliation of Whistleblowers	1	7.7%	1	3.2%
Wage/Hour Issues	0	0.0%	1	3.2%
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>13</b>		<b>31</b>	

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**Ethics Tipline**

**Monthly Activity Report**

**April 2011**

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

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## I. Closed Reports

Control #	Report Number	Report Date	Incident Type	Department Name	Case Manager Department	Closed Date	Outcome
<b>No reports were closed during the reporting period of April 1 through April 30, 2011.</b>							

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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
15	115055180	4/1/2011	Internal Audit
16	115056995	4/1/2011	Human Resources
17	115060254	4/4/2011	Human Resources
18	115066473	4/5/2011	Human Resources
19	115076680	4/7/2011	Human Resources
20	115078744	4/8/2011	Human Resources
21	115078846	4/8/2011	Human Resources
22	115100106	4/14/2011	Human Resources
23	115115282	4/19/2011	Human Resources
24	115118962	4/19/2011	Human Resources
25	115123806	4/21/2011	Human Resources
26	115131180	4/22/2011	Human Resources
27	115148539	4/28/2011	Human Resources