



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: May 14, 2012

SUBJ: Ethics Tipline Monthly Reports – April 2012

Attached are the Ethics Tipline activity reports for April 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

April 2012

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

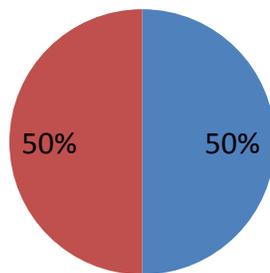
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	March 2012		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	2	33.3%	18	56.2%
Callback	1	16.7%	6	18.8%
Other	3	50.0%	8	25.0%
Total Calls	6		32	

ANONYMOUS REPORT ACTIVITY

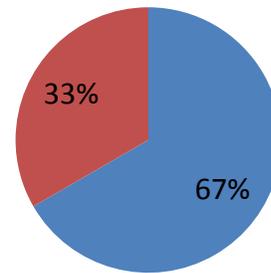
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

April 2012



■ 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	March 2012		Year to Date	
	Number	% of Total	Number	% of Total
Employee Relations	0	0.0%	5	27.8%
Discrimination	0	0.0%	2	11.1%
Policy Issues	0	0.0%	2	11.1%
Safety Issues And Sanitation	0	0.0%	2	11.1%
Theft of Goods/Services	0	0.0%	2	11.1%
Wage/Hour Issues	0	0.0%	2	11.1%
Falsification of Company Records	0	0.0%	1	5.6%
Sexual Harassment	1	50.0%	1	5.6%
Substance Abuse	1	50.0%	1	5.6%
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%
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%
Theft of Cash	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	2		18	



Ethics Tipline

Monthly Activity Report

April 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 April 1 through April 30, 2012							

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	115875553	11/10/2011	Human Resources
2	115962061	12/5/2011	Human Resources
3	116041044	12/28/2011	Police
4	116189467	2/6/2012	Internal Audit
5	116213653	2/13/2012	Human Resources
6	116283012	2/29/2012	Human Resources
7	116289817	3/2/2012	Human Resources
8	116289962	3/2/2012	Human Resources
9	116290042	3/2/2012	Human Resources
10	116313000	3/6/2012	Human Resources
11	116317024	3/7/2012	Police
12	116322588	3/8/2012	Human Resources
13	116339885	3/13/2012	Human Resources
14	116380991	3/23/2012	Police
15	116459004	4/12/2012	Human Resources
16	116529428	4/30/2012	Internal Audit