



OFFICE OF INTERNAL AUDIT  
LOUISVILLE, KENTUCKY

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INGRAM QUICK, CHIEF AUDIT EXECUTIVE

JIM KING  
PRESIDENT METRO COUNCIL

TO: Mayor Greg Fischer  
Mayor's Office

FROM: Ingram Quick, CIA, CFE  
Office of Internal Audit

DATE: May 16, 2013

**SUBJ: Ethics Tipline Monthly Reports – April 2013**

Attached are the Ethics Tipline activity reports for April 2013. 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 2013**

**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*

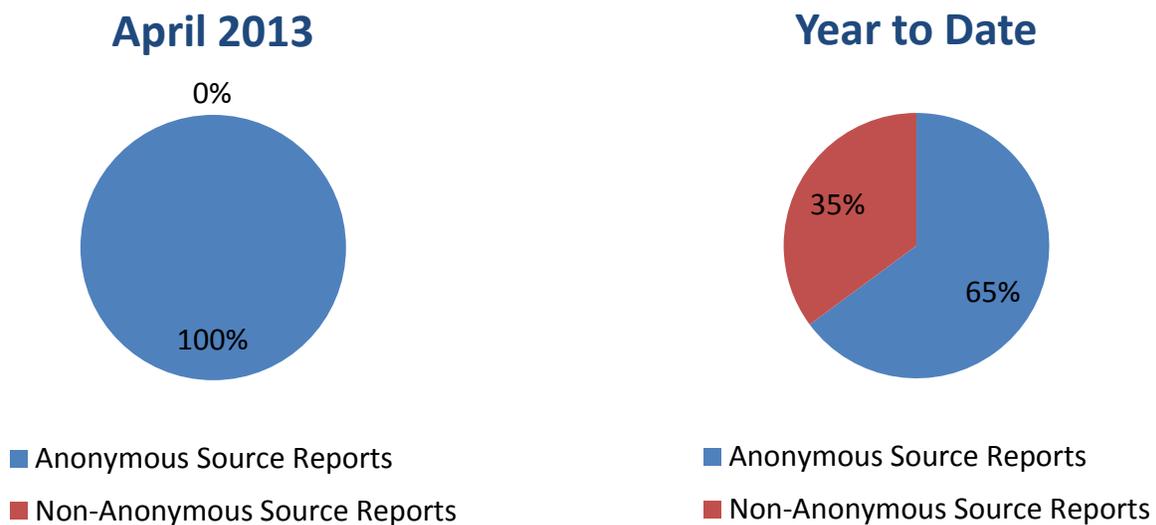
Call Type	April 2013		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	4	66.7%	37	75.5%
Callback	0	0.0%	5	10.2%
Other	2	33.3%	7	14.3%
<b>Total Calls</b>	<b>6</b>		<b>49</b>	

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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.*



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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 2013		Year to Date	
	Number	% of Total	Number	% of Total
Discrimination	1	25.0%	7	18.9%
Fraud	1	25.0%	7	18.9%
Policy Issues	1	25.0%	6	16.2%
Employee Relations	0	0.0%	5	13.5%
Customer Relations	0	0.0%	3	8.1%
Theft of Time	0	0.0%	2	5.4%
Workplace Violence/Threats	0	0.0%	2	5.4%
Accounting/Audit Irregularities	0	0.0%	1	2.7%
Conflicts of Interest	0	0.0%	1	2.7%
Falsification of Company Records	0	0.0%	1	2.7%
Wage/Hour Issues	0	0.0%	1	2.7%
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	1	25.0%	1	2.7%
Safety Issues And Sanitation	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%
Unauthorized Discounts	0	0.0%	0	0.0%
<b>Total</b>	<b>4</b>		<b>37</b>	



**Ethics Tipline**

**Monthly Activity Report**

**April 2013**

**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
1	117866947	4/03/2013	Policy Issues	Police	Police	4/18/2013	No Corrective Action Taken <sup>(1)</sup>

<sup>(1)</sup> Investigation by Case Manager Department did not produce evidence to substantiate the allegation. Therefore, no corrective action was necessary.

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## II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	116696301	6/12/2012	Police
2	116696379	6/12/2012	Internal Audit
3	116696419	6/12/2012	Internal Audit
4	116696455	6/12/2012	Internal Audit
5	116696671	6/12/2012	Police
6	116696876	6/12/2012	Police
7	116697025	6/12/2012	Police
8	116697080	6/12/2012	Police
9	116698956	6/12/2012	Internal Audit
10	116700943	6/12/2012	Internal Audit
11	116763558	6/28/2012	Human Resources
12	116805168	7/10/2012	Police
13	116806525	7/10/2012	Internal Audit
14	116806990	7/10/2012	Police
15	116807386	7/10/2012	Police
16	116808360	7/10/2012	Internal Audit
17	116809060	7/10/2012	Police
18	116883116	7/29/2012	Human Resources
19	116932886	8/10/2012	Human Resources
20	116961693	8/17/2012	Human Resources
21	117106124	9/22/2012	Human Resources

Control #	Report Number	Report Date	Case Manager Department
22	117213192	10/19/2012	Human Resources
23	117380200	11/30/2012	Human Resources
24	117381932	11/30/2012	Human Resources
25	117397098	12/4/2012	Human Resources
26	117419194	12/10/2012	Human Resources
27	117456645	12/19/2012	Human Resources
28	117473723	12/24/2012	Human Resources
29	117474074	12/24/2012	Human Resources
30	117478918	12/26/2012	Human Resources
31	117480871	12/27/2012	Human Resources
32	117519187	1/7/2013	Human Resources
33	117551703	1/15/2013	Human Resources
34	117562787	1/17/2013	Human Resources
35	117562999	1/16/2013	Human Resources
36	117579082	1/22/2013	Human Resources
37	117645150	2/7/2013	Human Resources
38	117674228	2/14/2013	Human Resources
39	117676642	2/14/2013	Human Resources
40	117720766	2/26/2013	Human Resources
41	117721011	2/26/2013	Human Resources
42	117725822	2/27/2013	Human Resources
43	117768619	3/9/2013	Human Resources
44	117779979	3/12/2013	Human Resources
45	117795746	3/15/2013	Internal Audit
46	117815386	3/21/2013	Human Resources
47	117835109	3/26/2013	Human Resources
48	117844069	3/28/2013	Human Resources
49	117844369	3/28/2013	Human Resources
50	117856186	4/1/13	Human Resources
51	117901195	4/11/13	Human Resources
52	117932053	4/19/13	Internal Audit