



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: June 10, 2011

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

Attached are the Ethics Tipline activity reports for May 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

May 2011

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

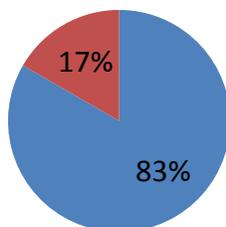
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	May 2011		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	6	66.7%	37	60.7%
Callback	2	22.2%	14	23.0%
Other	1	11.1%	10	16.4%
Total Calls	9		61	

ANONYMOUS REPORT ACTIVITY

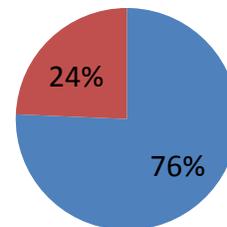
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

May 2011



- 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	May 2011		Year to Date	
	Number	% of Total	Number	% of Total
Employee Relations	2	33.3%	7	18.9%
Safety Issues And Sanitation	1	16.7%	6	16.2%
Customer Relations	2	33.3%	5	13.5%
Policy Issues	0	0.0%	5	13.5%
Discrimination	0	0.0%	4	10.8%
Theft of Time	0	0.0%	4	10.8%
Conflicts of Interest	0	0.0%	3	8.1%
Fraud	1	16.7%	1	2.7%
Retaliation of Whistleblowers	0	0.0%	1	2.7%
Wage/Hour Issues	0	0.0%	1	2.7%
Accounting/Audit Irregularities	0	0.0%	0	0.0%
Falsification of Company Records	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%
Total	6		37	



Ethics Tipline

Monthly Activity Report

May 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	114837338	1/31/2011	Safety Issues and Sanitation	Public Health & Wellness	Human Resources	5/9/2011	Corrective Action Taken
2	115060254	4/4/2011	Conflicts of Interest	Emergency Medical Services	Human Resources	5/27/2011	Corrective Action Taken
3	115193919	5/11/2011	Customer Relations	Non Metro - Jefferson District Court	Human Resources	5/12/2011	No Investigation Necessary
4	115246301	5/25/2011	Fraud	Police - 6th Division	Police	5/26/2011	Corrective Action Taken

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	114923452	2/23/2011	Human Resources
10	114949026	3/2/2011	Human Resources
11	114970953	3/8/2011	Human Resources
12	115022011	3/23/2011	Human Resources
13	115045482	3/30/2011	Internal Audit
14	115055180	4/1/2011	Internal Audit
15	115056995	4/1/2011	Human Resources
16	115066473	4/5/2011	Human Resources
17	115076680	4/7/2011	Human Resources
18	115078744	4/8/2011	Human Resources
19	115078846	4/8/2011	Human Resources
20	115100106	4/14/2011	Human Resources
21	115115282	4/19/2011	Human Resources
22	115118962	4/19/2011	Human Resources
23	115123806	4/21/2011	Human Resources
24	115131180	4/22/2011	Human Resources
25	115148539	4/28/2011	Human Resources
26	115162840	5/2/2011	Human Resources
27	115214551	5/17/2011	Human Resources
28	115214717	5/17/2011	Human Resources
29	115237027	5/23/2011	Human Resources