



OFFICE OF INTERNAL AUDIT  
LOUISVILLE, KENTUCKY

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JIM KING  
PRESIDENT METRO COUNCIL

TO: Mayor Greg Fischer  
Mayor's Office

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

DATE: June 11, 2012

**SUBJ: Ethics Tipline Monthly Reports – May 2012**

Attached are the Ethics Tipline activity reports for May 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**

**May 2012**

**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*

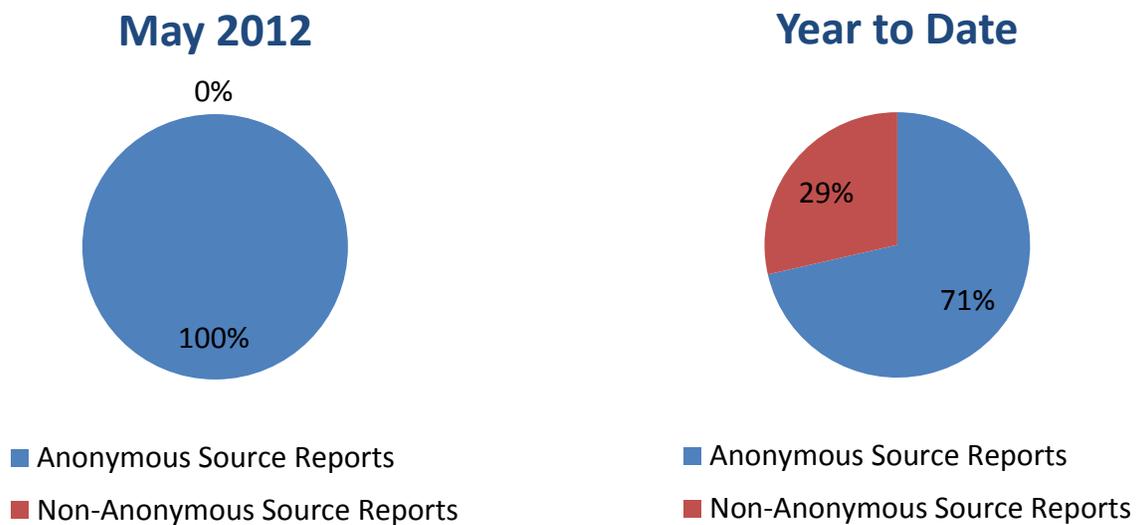
Call Type	May 2012		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	3	75.0%	21	58.3%
Callback	0	0.0%	6	16.7%
Other	1	25.0%	9	25.0%
<b>Total Calls</b>	<b>4</b>		<b>36</b>	

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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.*



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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	May 2012		Year to Date	
	Number	% of Total	Number	% of Total
Employee Relations	1	33.3%	6	28.6%
Policy Issues	1	33.3%	3	14.3%
Discrimination	0	0.0%	2	9.5%
Safety Issues And Sanitation	0	0.0%	2	9.5%
Theft of Goods/Services	0	0.0%	2	9.5%
Wage/Hour Issues	0	0.0%	2	9.5%
Accounting/Audit Irregularities	1	33.3%	1	4.8%
Falsification of Company Records	0	0.0%	1	4.8%
Sexual Harassment	0	0.0%	1	4.8%
Substance Abuse	0	0.0%	1	4.8%
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%
<b>Total</b>	<b>3</b>		<b>21</b>	

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**Ethics Tipline**

**Monthly Activity Report**

**May 2012**

**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	116041044	12/28/2011	Unauthorized Discounts	Police	Police	5/14/2012	No Investigation Necessary <sup>(1)</sup>
2	116529428	4/30/2012	Substance Abuse	Non Metro - Business	Internal Audit	5/1/2012	No Investigation Necessary
3	116543303	5/3/2012	Accounting/Audit Irregularities	Non Metro - Business	Internal Audit	5/7/2012	No Investigation Necessary

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

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## 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	116189467	2/6/2012	Internal Audit
4	116213653	2/13/2012	Human Resources
5	116283012	2/29/2012	Human Resources
6	116289817	3/2/2012	Human Resources
7	116289962	3/2/2012	Human Resources
8	116290042	3/2/2012	Human Resources
9	116313000	3/6/2012	Human Resources
10	116317024	3/7/2012	Police
11	116322588	3/8/2012	Human Resources
12	116339885	3/13/2012	Human Resources
13	116380991	3/23/2012	Police
14	116459004	4/12/2012	Human Resources
15	116538224	5/2/2012	Human Resources
16	116628855	5/24/2012	Human Resources

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