



OFFICE OF INTERNAL AUDIT  
LOUISVILLE, KENTUCKY

GREG FISCHER  
MAYOR

INGRAM L. QUICK, CIA, CFE  
INTERIM DIRECTOR - CHIEF AUDIT EXECUTIVE

JIM KING  
PRESIDENT METRO COUNCIL

TO: Mayor Greg Fischer  
Mayor's Office

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

DATE: September 9, 2011

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

Attached are the Ethics Tipline activity reports for August 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**

**August 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	August 2011		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	7	43.8%	59	57.8%
Callback	4	25.0%	25	24.5%
Other	5	31.3%	18	17.6%
<b>Total Calls</b>	<b>16</b>		<b>102</b>	

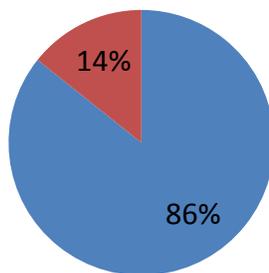
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## ANONYMOUS REPORT ACTIVITY

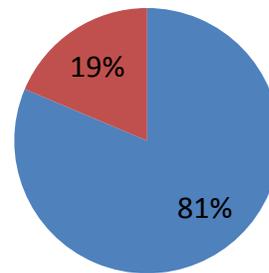
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

**August 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	August 2011		Year to Date	
	Number	% of Total	Number	% of Total
Employee Relations	2	28.6%	10	16.9%
Policy Issues	2	28.6%	9	15.3%
Safety Issues And Sanitation	0	0.0%	6	10.2%
Theft of Time	0	0.0%	6	10.2%
Customer Relations	0	0.0%	5	8.5%
Discrimination	0	0.0%	5	8.5%
Conflicts of Interest	1	14.3%	4	6.8%
Fraud	0	0.0%	4	6.8%
Wage/Hour Issues	2	28.6%	4	6.8%
Fraudulent Insurance Claim	0	0.0%	1	1.7%
Product Quality Concern	0	0.0%	1	1.7%
Retaliation of Whistleblowers	0	0.0%	1	1.7%
Sexual Harassment	0	0.0%	1	1.7%
Theft of Goods/Services	0	0.0%	1	1.7%
Workplace Violence/Threats	0	0.0%	1	1.7%
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%
Release of Proprietary Information	0	0.0%	0	0.0%
Substance Abuse	0	0.0%	0	0.0%
Theft of Cash	0	0.0%	0	0.0%
<b>Total</b>	<b>7</b>		<b>59</b>	

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**Ethics Tipline**

**Monthly Activity Report**

**August 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
1	115076680	4/7/2011	Theft of Time	Finance & Budget	Human Resources	8/8/2011	Corrective Action Taken

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## II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	114012442	6/9/2010	Police
2	114923452	2/23/2011	Human Resources
3	115045482	3/30/2011	Internal Audit
4	115276442	6/3/2011	Human Resources
5	115324466	6/16/2011	Police
6	115411724	7/11/2011	Human Resources
7	115481925	7/29/2011	Human Resources
8	115498661	8/3/2011	Human Resources
9	115505265	8/4/2011	Human Resources
10	115509946	8/6/2011	Human Resources
11	115517297	8/8/2011	Human Resources
12	115558645	8/19/2011	Human Resources
13	115576106	8/24/2011	Human Resources
14	115603005	8/31/2011	Human Resources

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