



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: September 12, 2012

SUBJ: Ethics Tipline Monthly Reports – August 2012

Attached are the Ethics Tipline activity reports for August 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

August 2012

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

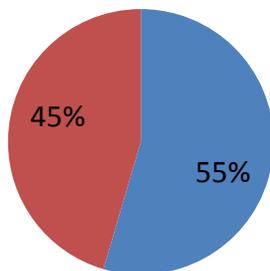
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	August 2012		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	11	55.0%	55	46.2%
Callback	2	10.0%	10	8.4%
Other	7	35.0%	54	45.4%
Total Calls	20		119	

ANONYMOUS REPORT ACTIVITY

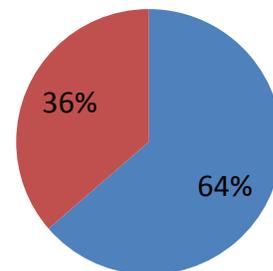
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

August 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	August 2012		Year to Date	
	Number	% of Total	Number	% of Total
Fraud	2	18.2%	12	21.8%
Employee Relations	2	18.2%	9	16.4%
Conflicts of Interest	1	9.1%	8	14.5%
Customer Relations	2	18.2%	5	9.1%
Discrimination	1	9.1%	4	7.3%
Policy Issues	1	9.1%	4	7.3%
Safety Issues And Sanitation	0	0.0%	3	5.5%
Substance Abuse	1	9.1%	2	3.6%
Theft of Goods/Services	0	0.0%	2	3.6%
Wage/Hour Issues	0	0.0%	2	3.6%
Accounting/Audit Irregularities	0	0.0%	1	1.8%
Falsification of Company Records	0	0.0%	1	1.8%
Sexual Harassment	0	0.0%	1	1.8%
Theft of Time	1	9.1%	1	1.8%
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%
Unauthorized Discounts	0	0.0%	0	0.0%
Workplace Violence/Threats	0	0.0%	0	0.0%
Total	11		55	



Ethics Tipline

Monthly Activity Report

August 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
1	116905831	8/3/2012	Customer Relations	Non Metro - Kentucky Board of Medicine Licensure	Internal Audit	8/10/2012	No Investigation Necessary
2	116955813	8/16/2012	Customer Relations	Non Metro - Kentucky Board of Medicine Licensure	Internal Audit	8/16/2012	No Investigation Necessary

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
17	116696301	6/12/2012	Police
18	116696379	6/12/2012	Internal Audit
19	116696419	6/12/2012	Internal Audit
20	116696455	6/12/2012	Internal Audit
21	116696671	6/12/2012	Police
22	116696876	6/12/2012	Police
23	116697025	6/12/2012	Police
24	116697080	6/12/2012	Police
25	116697416	6/12/2012	Human Resources
26	116698956	6/12/2012	Internal Audit
27	116700943	6/12/2012	Internal Audit
28	116712197	6/15/2012	Human Resources
29	116763558	6/28/2012	Human Resources
30	116805168	7/10/2012	Police
31	116806525	7/10/2012	Internal Audit

Control #	Report Number	Report Date	Case Manager Department
32	116806960	7/10/2012	Police
33	116807386	7/10/2012	Police
34	116808360	7/10/2012	Internal Audit
35	116809060	7/10/2012	Police
36	116818872	7/12/2012	Human Resources
37	116828723	7/16/2012	Police
38	116878226	7/27/2012	Internal Audit
39	116883116	7/29/2012	Human Resources
40	116921525	8/8/2012	Human Resources
41	116932886	8/10/2012	Human Resources
42	116961693	8/17/2012	Human Resources
43	116971224	8/20/2012	Police
44	116975735	8/21/2012	Human Resources
45	116980833	8/22/2012	Human Resources
46	116991931	8/24/2012	Human Resources
47	117002830	8/28/2012	Human Resources
48	117007415	8/29/2012	Police
