



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: October 13, 2011

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

Attached are the Ethics Tipline activity reports for September 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**

**September 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	September 2011		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	7	77.8%	66	59.5%
Callback	0	0.0%	25	22.5%
Other	2	22.2%	20	18.0%
<b>Total Calls</b>	<b>9</b>		<b>111</b>	

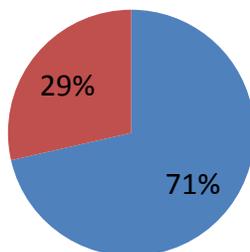
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## ANONYMOUS REPORT ACTIVITY

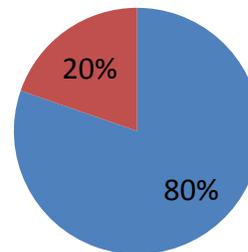
*Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.*

### September 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	September 2011		Year to Date	
	Number	% of Total	Number	% of Total
Employee Relations	2	28.6%	12	18.2%
Policy Issues	0	0.0%	9	13.6%
Theft of Time	2	28.6%	8	12.1%
Safety Issues And Sanitation	0	0.0%	6	9.1%
Wage/Hour Issues	2	28.6%	6	9.1%
Customer Relations	0	0.0%	5	7.6%
Discrimination	0	0.0%	5	7.6%
Fraud	1	14.3%	5	7.6%
Conflicts of Interest	0	0.0%	4	6.1%
Fraudulent Insurance Claim	0	0.0%	1	1.5%
Product Quality Concern	0	0.0%	1	1.5%
Retaliation of Whistleblowers	0	0.0%	1	1.5%
Sexual Harassment	0	0.0%	1	1.5%
Theft of Goods/Services	0	0.0%	1	1.5%
Workplace Violence/Threats	0	0.0%	1	1.5%
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>66</b>	

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**Ethics Tipline**

**Monthly Activity Report**

**September 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	115481925	7/29/2011	Policy Issues	Police - South Government Center	Human Resources	9/8/2011	Corrective Action Taken
2	115505265	8/4/2011	Policy Issues	Animal Services	Human Resources	9/26/2011	Corrective Action Taken
3	115517297	8/8/2011	Conflicts of Interest	Mayor's Office	Human Resources	9/8/2011	No Investigation Necessary <sup>(2)</sup>
4	115576106	8/24/2011	Employee Relations	Health & Wellness	Human Resources	9/8/2011	No Investigation Necessary <sup>(1)</sup>
5	115603005	8/31/2011	Wage / Hour Issues	Public Works - Urban Services District	Human Resources	9/8/2011	No Investigation Necessary <sup>(1)</sup>
6	115633318	9/8/2011	Fraud	Unknown	Police	9/9/2011	No Investigation Necessary <sup>(3)</sup>
7	115653012	9/13/2011	Employee Relations	Neighborhood Place	Human Resources	9/26/2011	No Investigation Necessary <sup>(3)</sup>

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

<sup>(2)</sup> Based on complaint information, Case Manager Department determined there was not a violation of Louisville Metro policy. Therefore, no investigation was necessary.

<sup>(3)</sup> Case Manager Department determined that individual identified in incident report was not an employee of Louisville Metro Government. Therefore, no investigation was necessary.

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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	115498661	8/3/2011	Human Resources
8	115509946	8/6/2011	Human Resources
9	115558645	8/19/2011	Human Resources
10	115645589	9/12/2011	Human Resources
11	115647511	9/12/2011	Human Resources
12	115658684	9/14/2011	Human Resources
13	115665751	9/16/2011	Human Resources
14	115712414	9/28/2011	Human Resources

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