



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: November 11, 2011

SUBJ: Ethics Tipline Monthly Reports – October 2011

Attached are the Ethics Tipline activity reports for October 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

October 2011

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

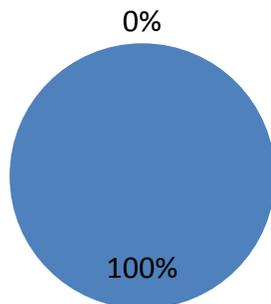
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	October 2011		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	3	100.0%	69	60.5%
Callback	0	0.0%	25	21.9%
Other	0	0.0%	20	17.5%
Total Calls	3		114	

ANONYMOUS REPORT ACTIVITY

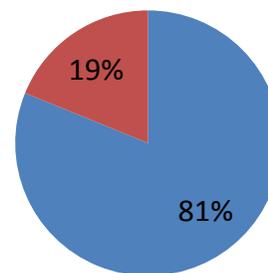
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

October 2011



■ Anonymous Source Reports
■ Non-Anonymous Source Reports

Year to Date

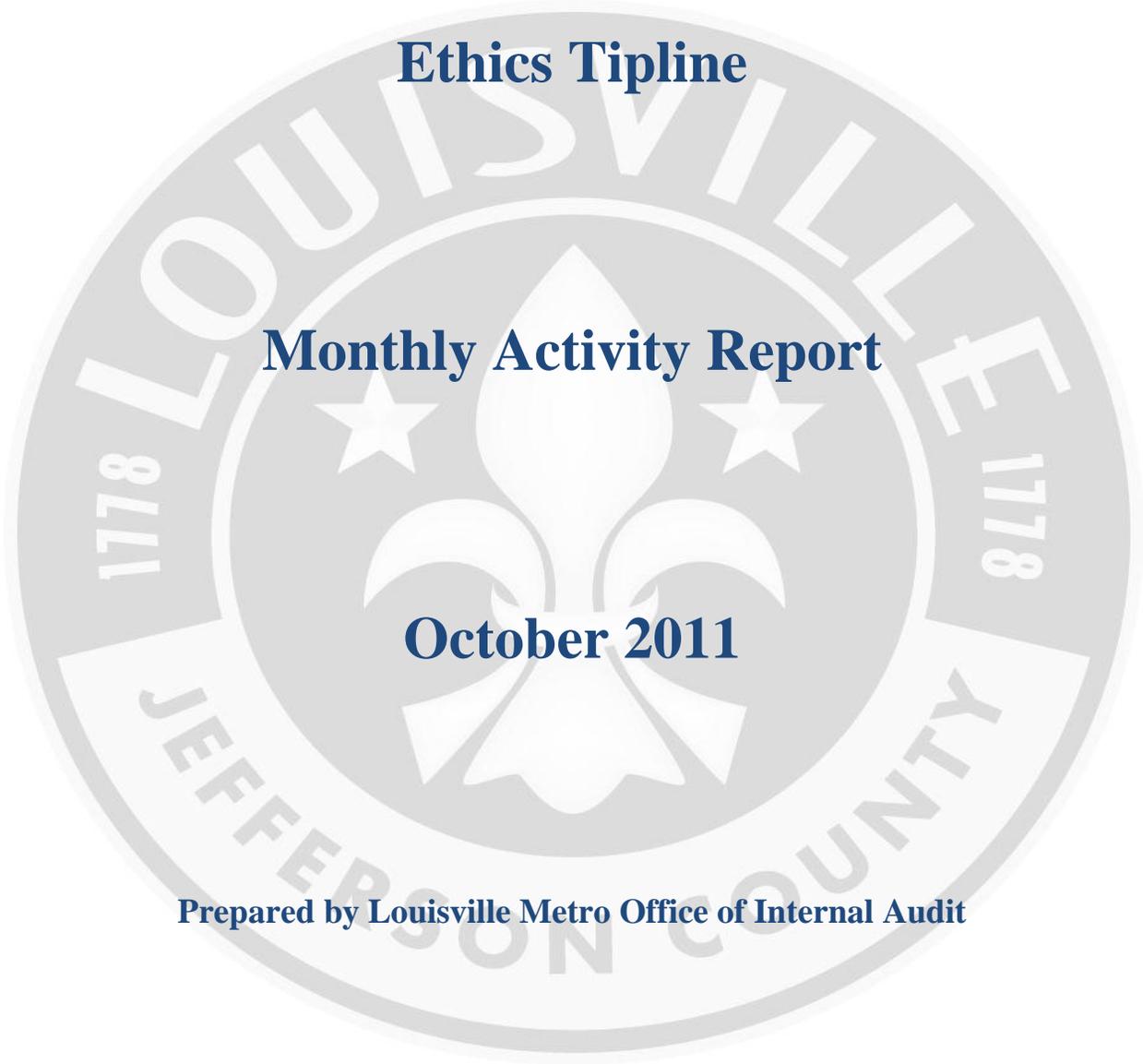


■ Anonymous Source Reports
■ Non-Anonymous Source Reports

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	October 2011		Year to Date	
	Number	% of Total	Number	% of Total
Employee Relations	0	0.0%	12	17.4%
Policy Issues	1	33.3%	10	14.5%
Theft of Time	1	33.3%	9	13.0%
Safety Issues And Sanitation	0	0.0%	6	8.7%
Wage/Hour Issues	0	0.0%	6	8.7%
Customer Relations	0	0.0%	5	7.2%
Discrimination	0	0.0%	5	7.2%
Fraud	0	0.0%	5	7.2%
Conflicts of Interest	0	0.0%	4	5.8%
Sexual Harassment	1	33.3%	2	2.9%
Fraudulent Insurance Claim	0	0.0%	1	1.4%
Product Quality Concern	0	0.0%	1	1.4%
Retaliation of Whistleblowers	0	0.0%	1	1.4%
Theft of Goods/Services	0	0.0%	1	1.4%
Workplace Violence/Threats	0	0.0%	1	1.4%
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%
Total	3		69	



Ethics Tipline

Monthly Activity Report

October 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	114012442	6/9/2010	Accounting/Audit Irregularities	Finance	Police	10/19/2011	No Corrective Action Taken
2	115324466	6/16/2011	Theft of Goods / Services	Youth Detention Services	Police	10/19/2011	No Corrective Action Taken ⁽¹⁾
3	115411724	7/11/2011	Sexual Harassment	Police	Human Resources	10/16/2011	No Investigation Necessary ⁽²⁾
4	115509946	8/6/2011	Employee Relations	Corrections	Human Resources	10/3/2011	No Investigation Necessary ⁽²⁾
5	115558645	8/19/2011	Wage / Hour Issues	Corrections	Human Resources	10/6/2011	No Investigation Necessary ⁽²⁾
6	115645589	9/12/2011	Employee Relations	Police	Human Resources	10/6/2011	Corrective Action Taken
7	115647511	9/12/2011	Wage / Hour Issues	Parks	Human Resources	10/6/2011	Corrective Action Taken
8	115658684	9/14/2011	Theft of Time	Parks	Human Resources	10/6/2011	Corrective Action Taken
9	115665751	9/16/2011	Theft of Time	Air Pollution Control District	Human Resources	10/6/2011	Corrective Action Taken
10	115712414	9/28/2011	Wage / Hour Issues	Corrections	Human Resources	10/10/2011	Corrective Action Taken

⁽¹⁾ Investigation by Case Manager Department did not produce evidence to substantiate the allegation. Therefore, no corrective action was necessary.

⁽²⁾ Based on information provided by the Department, Case Manager Department determined no investigation was necessary.

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	114923452	2/23/2011	Human Resources
2	115045482	3/30/2011	Internal Audit
3	115276442	6/3/2011	Human Resources
4	115498661	8/3/2011	Human Resources
5	115744171	10/7/2011	Human Resources
6	115767184	10/13/2011	Human Resources
7	115833946	10/31/2011	Human Resources
