



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: December 9, 2011

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

Attached are the Ethics Tipline activity reports for November 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**

**November 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	November 2011		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	2	50.0%	71	60.2%
Callback	0	0.0%	25	21.2%
Other	2	50.0%	22	18.6%
<b>Total Calls</b>	<b>4</b>		<b>118</b>	

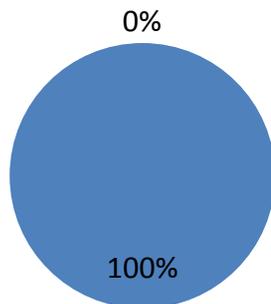
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## ANONYMOUS REPORT ACTIVITY

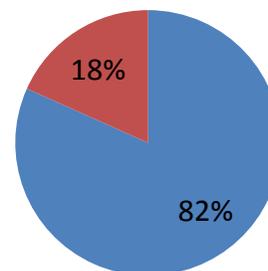
*Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.*

### November 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	November 2011		Year to Date	
	Number	% of Total	Number	% of Total
Employee Relations	0	0.0%	12	16.9%
Policy Issues	0	0.0%	10	14.1%
Theft of Time	0	0.0%	9	12.7%
Customer Relations	1	50.0%	6	8.5%
Safety Issues And Sanitation	0	0.0%	6	8.5%
Wage/Hour Issues	0	0.0%	6	8.5%
Conflicts of Interest	1	50.0%	5	7.0%
Discrimination	0	0.0%	5	7.0%
Fraud	0	0.0%	5	7.0%
Sexual Harassment	0	0.0%	2	2.8%
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%
<b>Total</b>	<b>2</b>		<b>71</b>	

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**Ethics Tipline**

**Monthly Activity Report**

**November 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
<b>No reports were closed during the reporting period of November 1 through November 30, 2011.</b>							

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## 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
8	115875553	11/10/2011	Human Resources
9	115923144	11/23/2011	Human Resources

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