



OFFICE OF INTERNAL AUDIT  
LOUISVILLE, KENTUCKY

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MAYOR

INGRAM QUICK, CHIEF AUDIT EXECUTIVE

JIM KING  
PRESIDENT METRO COUNCIL

TO: Mayor Greg Fischer  
Mayor's Office

FROM: Ingram Quick, CIA, CFE  
Office of Internal Audit

DATE: December 17, 2012

**SUBJ: Ethics Tipline Monthly Reports – November 2012**

Attached are the Ethics Tipline activity reports for November 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**

**November 2012**

**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 2012		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	4	44.4%	67	47.9%
Callback	3	33.3%	22	15.7%
Other	2	22.2%	51	36.4%
<b>Total Calls</b>	<b>9</b>		<b>140</b>	

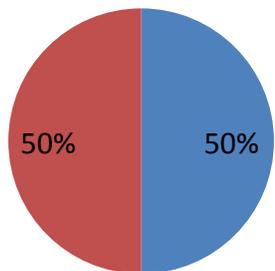
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## ANONYMOUS REPORT ACTIVITY

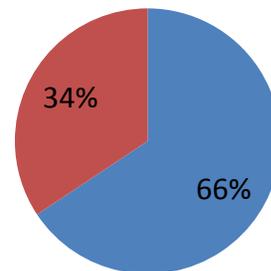
*Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.*

### November 2012



- 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 2012		Year to Date	
	Number	% of Total	Number	% of Total
Fraud	2	50.0%	15	22.4%
Employee Relations	0	0.0%	10	14.9%
Conflicts of Interest	0	0.0%	8	11.9%
Policy Issues	0	0.0%	7	10.4%
Discrimination	1	25.0%	6	9.0%
Customer Relations	0	0.0%	5	7.5%
Safety Issues And Sanitation	0	0.0%	4	6.0%
Falsification of Company Records	0	0.0%	2	3.0%
Substance Abuse	0	0.0%	2	3.0%
Theft of Goods/Services	0	0.0%	2	3.0%
Wage/Hour Issues	0	0.0%	2	3.0%
Accounting/Audit Irregularities	0	0.0%	1	1.5%
Retaliation of Whistleblowers	1	25.0%	1	1.5%
Sexual Harassment	0	0.0%	1	1.5%
Theft of Time	0	0.0%	1	1.5%
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%
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%
<b>Total</b>	<b>4</b>		<b>67</b>	



**Ethics Tipline**

**Monthly Activity Report**

**November 2012**

**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	116189467	2/6/2012	Falsification of Company Records	Parks and Recreation	Internal Audit	11/26/2012	No Corrective Action Taken <sup>(1)</sup>
2	116712197	6/15/2012	Safety Issues and Sanitation	Parks and Recreation	Human Resources	11/15/2012	No Corrective Action Taken <sup>(1)</sup>
3	116921525	8/8/2012	Substance Abuse	MetroSafe	Human Resources	11/15/2012	No Corrective Action Taken <sup>(1)</sup>
4	116975735	8/21/2012	Employee Relations	Community Services & Revitalization	Human Resources	11/15/2012	No Corrective Action Taken <sup>(1)</sup>
5	117073995	9/14/2012	Employee Relations	Revenue Commission	Human Resources	11/15/2012	Corrective Action Taken
6	117174275	10/9/2012	Falsification of Company Records	Inspections Permits & Licenses	Police	11/15/2012	No Corrective Action Taken <sup>(1)</sup>

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

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## II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	115875553	11/10/2011	Human Resources
2	116696301	6/12/2012	Police
3	116696379	6/12/2012	Internal Audit
4	116696419	6/12/2012	Internal Audit
5	116696455	6/12/2012	Internal Audit
6	116696671	6/12/2012	Police
7	116696876	6/12/2012	Police
8	116697025	6/12/2012	Police
9	116697080	6/12/2012	Police
10	116698956	6/12/2012	Internal Audit
11	116700943	6/12/2012	Internal Audit
12	116763558	6/28/2012	Human Resources
13	116805168	7/10/2012	Police
14	116806525	7/10/2012	Internal Audit
15	116806990	7/10/2012	Police
16	116807386	7/10/2012	Police
17	116808360	7/10/2012	Internal Audit
18	116809060	7/10/2012	Police
19	116818872	7/12/2012	Human Resources
20	116883116	7/29/2012	Human Resources
21	116932886	8/10/2012	Human Resources
22	116961693	8/17/2012	Human Resources
23	116971224	8/20/2012	Police
24	116991931	8/24/2012	Human Resources
25	117106124	9/22/2012	Human Resources
26	117141120	10/1/2012	Human Resources
27	117174477	10/9/2012	Human Resources
28	117213192	10/19/2012	Human Resources
29	117231289	10/24/2012	Human Resources
30	117255273	10/30/2012	Police
31	117360145	11/26/2012	Police

Control #	Report Number	Report Date	Case Manager Department
32	117366196	11/27/2012	Police
33	117380200	11/30/2012	Human Resources
34	117381932	11/30/2012	Human Resources

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