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LOUISVILLE, KENTUCKY

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TO: Mayor Greg Fischer  
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FROM: Michael S. Norman, CIA, CFE, CGAP  
Office of Internal Audit

DATE: January 10, 2011

**SUBJ: Ethics Tipline Monthly Reports – December 2010**

Attached are the Ethics Tipline activity reports for December 2010. 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 Oversight 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**

**December 2010**

**Prepared by Louisville Metro Office of Internal Audit**

## REPORT PERIOD

The Ethics Tipline was implemented October 1, 2009. The Program to Date period is used for cumulative activity since implementation.

<b>Monthly Period</b>	<b>From:</b> 12/1/2010	<b>To:</b> 12/31/2010
<b>Program to Date Period</b>	<b>From:</b> 10/1/2009	<b>To:</b> 12/31/2010

## CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

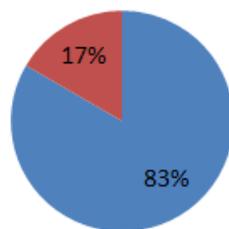
- (1) Generation of an incident report
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	December 2010		Program to Date	
	Number	% of Total	Number	% of Total
Incident Report	6	60.0%	147	54.9%
Callback	1	10.0%	39	14.6%
Other	3	30.0%	82	30.6%
<b>Total Calls</b>	<b>10</b>		<b>268</b>	

## ANONYMOUS REPORT ACTIVITY

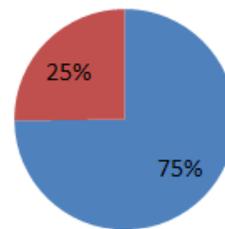
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

**December 2010**



■ Anonymous Source Reports  
 ■ Non-Anonymous Source Reports

**Program 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 Program to Date.*

Incident Type	December 2010		Program to Date	
	Number	% of Total	Number	% of Total
Employee Relations	1	16.7%	23	15.6%
Policy Issues	0	0.0%	19	12.9%
Fraud	0	0.0%	17	11.6%
Customer Relations	2	33.3%	16	10.9%
Theft of Time	0	0.0%	14	9.5%
Conflicts of Interest	0	0.0%	10	6.8%
Discrimination	0	0.0%	9	6.1%
Substance Abuse	0	0.0%	9	6.1%
Safety Issues And Sanitation	2	33.3%	5	3.4%
Theft of Goods/Services	0	0.0%	5	3.4%
Sexual Harassment	0	0.0%	4	2.7%
Accounting/Audit Irregularities	0	0.0%	3	2.0%
Wage/Hour Issues	0	0.0%	3	2.0%
Workplace Violence/Threats	0	0.0%	3	2.0%
Release of Proprietary Information	1	16.7%	2	1.4%
Theft of Cash	0	0.0%	2	1.4%
Falsification of Company Records	0	0.0%	1	0.7%
Kickbacks	0	0.0%	1	0.7%
Product Quality Concern	0	0.0%	1	0.7%
<b>Total</b>	<b>6</b>		<b>147</b>	

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# **Ethics Tipline**

## **Monthly Activity Report**

**December 2010**

**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	113051733	10/1/2009	Customer Relations	Police	Police	12/13/2010	No Corrective Action Taken <sup>(1)</sup>
2	113164794	10/29/2009	Safety Issues and Sanitation	Police	Police	12/13/2010	Corrective Action Taken
3	113587220	2/28/2010	Customer Relations	Police	Police	12/13/2010	Corrective Action Taken
4	113587237	2/28/2010	Customer Relations	Police	Police	12/13/2010	Corrective Action Taken
5	114023936	6/12/2010	Theft of Goods / Services	Public Works - Vehicle Impoundment	Police	12/13/2010	Corrective Action Taken
6	114356787	9/17/2010	Policy Issues	Metro Parks	Human Resources	12/13/2010	No Corrective Action Taken <sup>(1)</sup>
7	114442710	10/12/2010	Substance Abuse	Metro Parks	Human Resources	12/28/2010	No Investigation Necessary <sup>(2)</sup>
8	114444015	10/12/2010	Customer Relations	Police	Police	12/13/2010	Corrective Action Taken
9	114521483	10/27/2010	Employee Relations	Corrections	Human Resources	12/13/2010	No Corrective Action Taken <sup>(1)</sup>
10	114571713	11/10/2010	Theft of Time	Public Works	Human Resources	12/13/2010	No Investigation Necessary <sup>(3)</sup>

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

<sup>(2)</sup> Based on complaint information, Case Manager Department determined no investigation was necessary.

<sup>(3)</sup> Allegation had already been investigated in a prior complaint; therefore Case Manager Department determined that an additional investigation was unnecessary.

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## II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	113386063	1/4/2010	Human Resources
2	114012442	6/9/2010	Police
3	114122919	7/12/2010	Police
4	114123060	7/12/2010	Police
5	114165411	7/23/2010	Police
6	114235673	8/13/2010	Police
7	114249571	8/17/2010	Human Resources
8	114442751	10/12/2010	Police
9	114527830	10/28/2010	Police
10	114673024	12/11/2010	Internal Audit
11	114674973	12/12/2010	Human Resources
12	114676362	12/13/2010	Human Resources
13	114694395	12/17/2010	Human Resources
14	114712987	12/22/2010	Human Resources
15	114723405	12/27/2010	Human Resources

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