



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: January 11, 2012

SUBJ: Ethics Tipline Monthly Reports – December 2011

Attached are the Ethics Tipline activity reports for December 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

December 2011

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

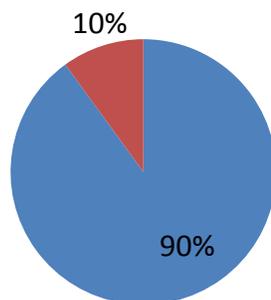
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	December 2011		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	10	58.8%	81	60.0%
Callback	4	23.5%	29	21.5%
Other	3	17.6%	25	18.5%
Total Calls	17		135	

ANONYMOUS REPORT ACTIVITY

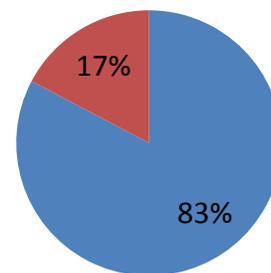
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

December 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	December 2011		Year to Date	
	Number	% of Total	Number	% of Total
Employee Relations	1	10.0%	13	16.0%
Policy Issues	2	20.0%	12	14.8%
Theft of Time	0	0.0%	9	11.1%
Customer Relations	1	10.0%	7	8.6%
Fraud	2	20.0%	7	8.6%
Safety Issues And Sanitation	1	10.0%	7	8.6%
Conflicts of Interest	1	10.0%	6	7.4%
Wage/Hour Issues	0	0.0%	6	7.4%
Discrimination	0	0.0%	5	6.2%
Sexual Harassment	0	0.0%	2	2.5%
Fraudulent Insurance Claim	0	0.0%	1	1.2%
Product Quality Concern	0	0.0%	1	1.2%
Retaliation of Whistleblowers	0	0.0%	1	1.2%
Theft of Cash	1	10.0%	1	1.2%
Theft of Goods/Services	0	0.0%	1	1.2%
Unauthorized Discounts	1	10.0%	1	1.2%
Workplace Violence/Threats	0	0.0%	1	1.2%
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%
Total	10		81	



Ethics Tipline

Monthly Activity Report

December 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	115767184	10/13/2011	Policy Issues	Police	Human Resources	12/6/2011	No Investigation Necessary ⁽¹⁾
2	115833946	10/31/2011	Sexual Harassment	Public Works	Human Resources	12/6/2011	No Investigation Necessary ⁽¹⁾

⁽¹⁾ 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	115875553	11/10/2011	Human Resources
7	115923144	11/23/2011	Human Resources
8	115959283	12/5/2011	Police
9	115962061	12/5/2011	Human Resources
10	115978347	12/9/2011	Police
11	115980569	12/9/2011	Human Resources
12	115988950	12/12/2011	Human Resources
13	116014853	12/19/2011	Human Resources
14	116016528	12/20/2011	Human Resources
15	116029251	12/23/2011	Human Resources
16	116038353	12/27/2011	Human Resources
17	116041044	12/28/2011	Police
