



OFFICE OF INTERNAL AUDIT  
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: March 10, 2011

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

Attached are the Ethics Tipline activity reports for February 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**

**February 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	February 2011		Year to Date	
	Number	% of Total	Number	% of Total
Incident Report	4	40.0%	13	52.0%
Callback	4	40.0%	8	32.0%
Other	2	20.0%	4	16.0%
<b>Total Calls</b>	<b>10</b>		<b>25</b>	

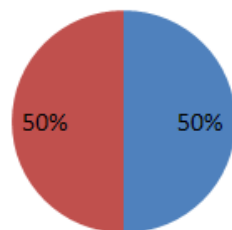
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## ANONYMOUS REPORT ACTIVITY

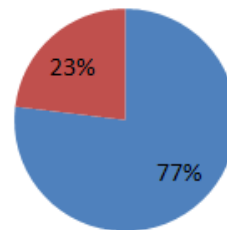
*Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.*

**February 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	February 2011		Year to Date	
	Number	% of Total	Number	% of Total
Customer Relations	2	50.0%	3	23.1%
Employee Relations	0	0.0%	3	23.1%
Policy Issues	1	25.0%	3	23.1%
Discrimination	1	25.0%	1	7.7%
Safety Issues And Sanitation	0	0.0%	1	7.7%
Theft of Time	0	0.0%	1	7.7%
Wage/Hour Issues	0	0.0%	1	7.7%
Accounting/Audit Irregularities	0	0.0%	0	0.0%
Conflicts of Interest	0	0.0%	0	0.0%
Falsification of Company Records	0	0.0%	0	0.0%
Fraud	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%
Sexual Harassment	0	0.0%	0	0.0%
Substance Abuse	0	0.0%	0	0.0%
Theft of Cash	0	0.0%	0	0.0%
Theft of Goods/Services	0	0.0%	0	0.0%
Workplace Violence/Threats	0	0.0%	0	0.0%
<b>Total</b>	<b>4</b>		<b>13</b>	

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# **Ethics Tipline**

## **Monthly Activity Report**

**February 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
1	114751734	1/5/2011	Policy Issues	Metro Parks	Internal Audit	2/3/2011	No Corrective Action Taken <sup>(1)</sup>
2	114754028	1/6/2011	Customer Relations	Metro Council	Internal Audit	2/4/2011	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	114012442	6/9/2010	Police
2	114122919	7/12/2010	Police
3	114123060	7/12/2010	Police
4	114165411	7/23/2010	Police
5	114235673	8/13/2010	Police
6	114249571	8/17/2010	Human Resources
7	114442751	10/12/2010	Police
8	114527830	10/28/2010	Police
9	114694395	12/17/2010	Human Resources
10	114712987	12/22/2010	Police
11	114723405	12/27/2010	Human Resources
12	114798335	1/19/2011	Human Resources
13	114822914	1/26/2011	Internal Audit
14	114823050	1/26/2011	Internal Audit
15	114837338	1/31/2011	Human Resources
16	114865257	2/7/2011	Human Resources
17	114899831	2/16/2011	Human Resources
18	114920581	2/22/2011	Human Resources
19	114923452	2/23/2011	Human Resources

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