



OFFICE OF INTERNAL AUDIT
LOUISVILLE, KENTUCKY

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TO: Mayor Greg Fischer
Mayor's Office

FROM: Ingram L. Quick, CIA, CFE *Ingram L. Quick*
Office of Internal Audit

DATE: July 13, 2011

SUBJ: Ethics Tipline Monthly Reports – June 2011

Attached are the Ethics Tipline activity reports for June 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

June 2011

Prepared by Louisville Metro Office of Internal Audit

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

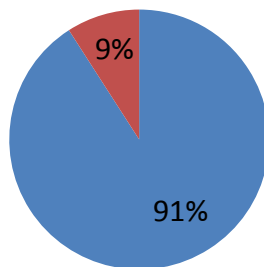
- (1) Generation of an incident report*
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller*
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

	June 2011		Year to Date	
Call Type	Number	% of Total	Number	% of Total
Incident Report	11	73.3%	48	63.2%
Callback	3	20.0%	18	23.7%
Other	1	6.7%	10	13.2%
Total Calls	15		76	

ANONYMOUS REPORT ACTIVITY

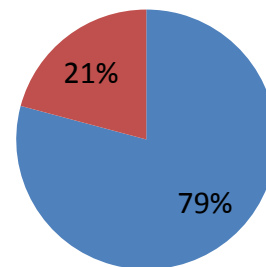
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

June 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	June 2011		Year to Date	
	Number	% of Total	Number	% of Total
Employee Relations	1	9.1%	8	16.7%
Policy Issues	1	9.1%	6	12.5%
Safety Issues And Sanitation	0	0.0%	6	12.5%
Theft of Time	2	18.2%	6	12.5%
Customer Relations	0	0.0%	5	10.4%
Discrimination	1	9.1%	5	10.4%
Conflicts of Interest	0	0.0%	3	6.3%
Fraud	2	18.2%	3	6.3%
Wage/Hour Issues	1	9.1%	2	4.2%
Product Quality Concern	1	9.1%	1	2.1%
Retaliation of Whistleblowers	0	0.0%	1	2.1%
Theft of Goods/Services	1	9.1%	1	2.1%
Workplace Violence/Threats	1	9.1%	1	2.1%
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%
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%
Total	11		48	



Ethics Tipline

Monthly Activity Report

June 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	114165411	7/23/2010	Theft of Cash	Metro Council	Police	6/20/2011	No Corrective Action Taken ⁽¹⁾
2	114235673	8/13/2010	Fraud	Metro Council	Police	6/20/2011	No Corrective Action Taken ⁽¹⁾
3	114527830	10/28/2010	Conflicts of Interest	Inspections Permits & License	Police	6/20/2011	No Investigation Necessary ⁽²⁾
4	114712987	12/22/2010	Workplace Violence / Threats	Animal Services	Police	6/20/2011	No Corrective Action Taken ⁽¹⁾
5	114949026	3/2/2011	Policy Issues	Solid Waste Management Services	Human Resources	6/27/2011	Corrective Action Taken
6	115022011	3/23/2011	Theft of Time	Public Works	Human Resources	6/27/2011	No Corrective Action Taken ⁽¹⁾
7	115055180	4/1/2011	Policy Issues	Public Health & Wellness	Internal Audit	6/28/2011	Corrective Action Taken
8	115056995	4/1/2011	Safety Issues and Sanitation	Public Health & Wellness	Human Resources	6/27/2011	Corrective Action Taken
9	115066473	4/5/2011	Discrimination	Library	Human Resources	6/27/2011	Corrective Action Taken
10	115078744	4/8/2011	Employee Relations	Public Works - Facilities Management	Human Resources	6/27/2011	No Investigation Necessary ⁽³⁾
11	115115282	4/19/2011	Safety Issues and Sanitation	Public Works - Administrative Office	Human Resources	6/27/2011	No Corrective Action Taken ⁽¹⁾
12	115118962	4/19/2011	Discrimination	Emergency Medical Services	Human Resources	6/27/2011	No Investigation Necessary ⁽⁴⁾
13	115123806	4/21/2011	Employee Relations	Unknown	Human Resources	6/27/2011	No Investigation Necessary ⁽³⁾
14	115148539	4/28/2011	Conflicts of Interest	Police - Headquarters	Human Resources	6/27/2011	No Investigation Necessary ⁽²⁾
15	115214551	5/17/2011	Employee Relations	Government Center – Urban	Human Resources	6/27/2011	Corrective Action Taken

Control #	Report Number	Report Date	Incident Type	Department Name	Case Manager Department	Closed Date	Outcome
16	115214717	5/17/2011	Employee Relations	Community Action Partnership	Human Resources	6/27/2011	Corrective Action Taken
17	115237027	5/23/2011	Safety Issues and Sanitation	Parks - Creason Park	Human Resources	6/27/2011	No Investigation Necessary ⁽³⁾
18	115286718	6/6/2011	Fraud	Neighborhood Place	Police	6/6/2011	No Investigation Necessary ⁽⁵⁾

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

⁽²⁾ Case Manager Department requested additional information from the caller using the callback feature of The Network's case management system. Additional information was not provided. Therefore, Case Manager Department could not conduct an investigation.

⁽³⁾ Based on information provided by the Department, Case Manager Department determined no investigation was necessary.

⁽⁴⁾ Allegation had already been investigated in a prior complaint, therefore Case Manager Department determined that an additional investigation was unnecessary.

⁽⁵⁾ Based on complaint information, Case Manager Department determined no investigation was necessary.

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	114442751	10/12/2010	Police
5	114923452	2/23/2011	Human Resources
6	114970953	3/8/2011	Human Resources
7	115045482	3/30/2011	Internal Audit
8	115076680	4/7/2011	Human Resources
9	115078846	4/8/2011	Human Resources
10	115100106	4/14/2011	Human Resources
11	115131180	4/22/2011	Human Resources
12	115162840	5/2/2011	Human Resources
13	115276442	6/3/2011	Human Resources
14	115293765	6/8/2011	Human Resources
15	115300531	6/9/2011	Police
16	115313482	6/13/2011	Human Resources
17	115324344	6/16/2011	Human Resources
18	115324466	6/16/2011	Police
19	115345875	6/22/2011	Human Resources
20	115348040	6/22/2011	Police
21	115365890	6/28/2011	Human Resources
22	115371196	6/29/2011	Human Resources