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TO: Mayor Jerry E. Abramson  
Mayor's Office

FROM: Michael S. Norman, CIA, CFE, CGAP  
Office of Internal Audit

DATE: May 5, 2010

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

Attached are the Ethics Tipline activity reports for April 2010. The Ethics Tipline ordinance requires the preparation and submission of monthly activity reports. There are two reports enclosed.

- **Executive Summary Report.** This is the standard executive summary provided by The Network, the third party provider of the tipline. The focus is 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

# Louisville Metro Government

## EXECUTIVE SUMMARY REPORT Ethics and Compliance Employee Hotline

Period From: 4/1/2010 To: 4/30/2010 Year From: 1/1/2010 To: 4/30/2010



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[www.tnwinc.com](http://www.tnwinc.com)

# Louisville Metro Government

## EXECUTIVE SUMMARY REPORT

### Ethics and Compliance Employee Hotline

Period From: 4/1/2010 To: 4/30/2010 Year From: 1/1/2010 To: 4/30/2010

#### INCIDENT REPORT ACTIVITY SUMMARY

	PTD		YTD		YTD Market Comparison
	6	%	34	%	
<b>Original Incident Reports</b>					
Anonymous Reports	5	83.3%	22	64.7%	51.2%
Non-Anonymous Reports	1	16.7%	12	35.3%	48.8%
Escalated Incident Reports	0	0.0%	0	0.0%	1.1%
Previously Reported To Mgmt	1	16.7%	10	29.4%	29.9%

#### CALL ACTIVITY SUMMARY

	PTD		YTD		YTD Market Comparison
	16	%	64	%	
<b>TOTAL Calls</b>					
Original Incident Reports	6	37.5%	34	53.1%	37.4%
Caller Callbacks	1	6.3%	5	7.8%	9.2%
Client Follow-up	2	12.5%	3	4.7%	18.7%
Other	7	43.8%	22	34.4%	34.7%

#### ISSUE TYPE SUMMARY

	PTD		YTD		YTD Market Comparison
	6	%	34	%	
<b>Total Issues Reported</b>					
Policy Issues	3	50.0%	4	11.8%	10.9%
Theft of Time	1	16.7%	3	8.8%	4.9%
Fraud	1	16.7%	5	14.7%	4.5%
Conflicts of Interest	1	16.7%	4	11.8%	2.0%
Theft of Goods/Services	0	0.0%	2	5.9%	3.1%
Sexual Harassment	0	0.0%	1	2.9%	4.5%
Safety Issues and Sanitation	0	0.0%	2	5.9%	3.3%
Employee Relations	0	0.0%	5	14.7%	51.4%
Discrimination	0	0.0%	4	11.8%	10.1%
Customer Relations	0	0.0%	3	8.8%	4.9%
Accounting/Audit Irregularities	0	0.0%	1	2.9%	0.4%

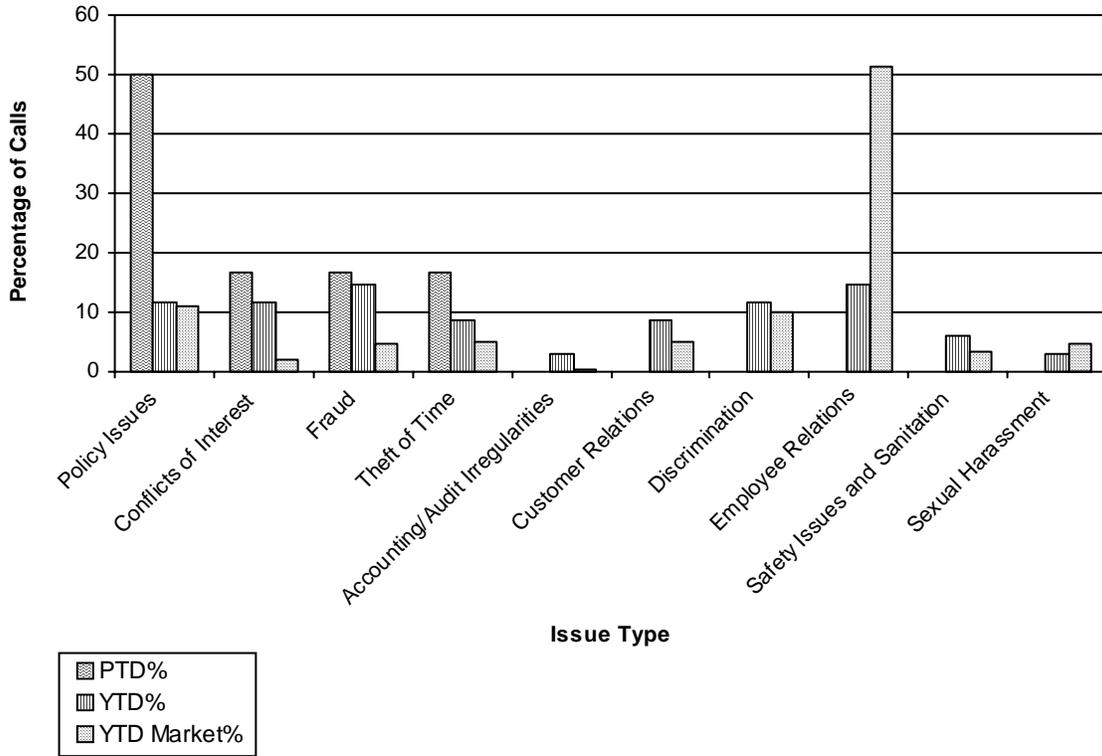
# Louisville Metro Government

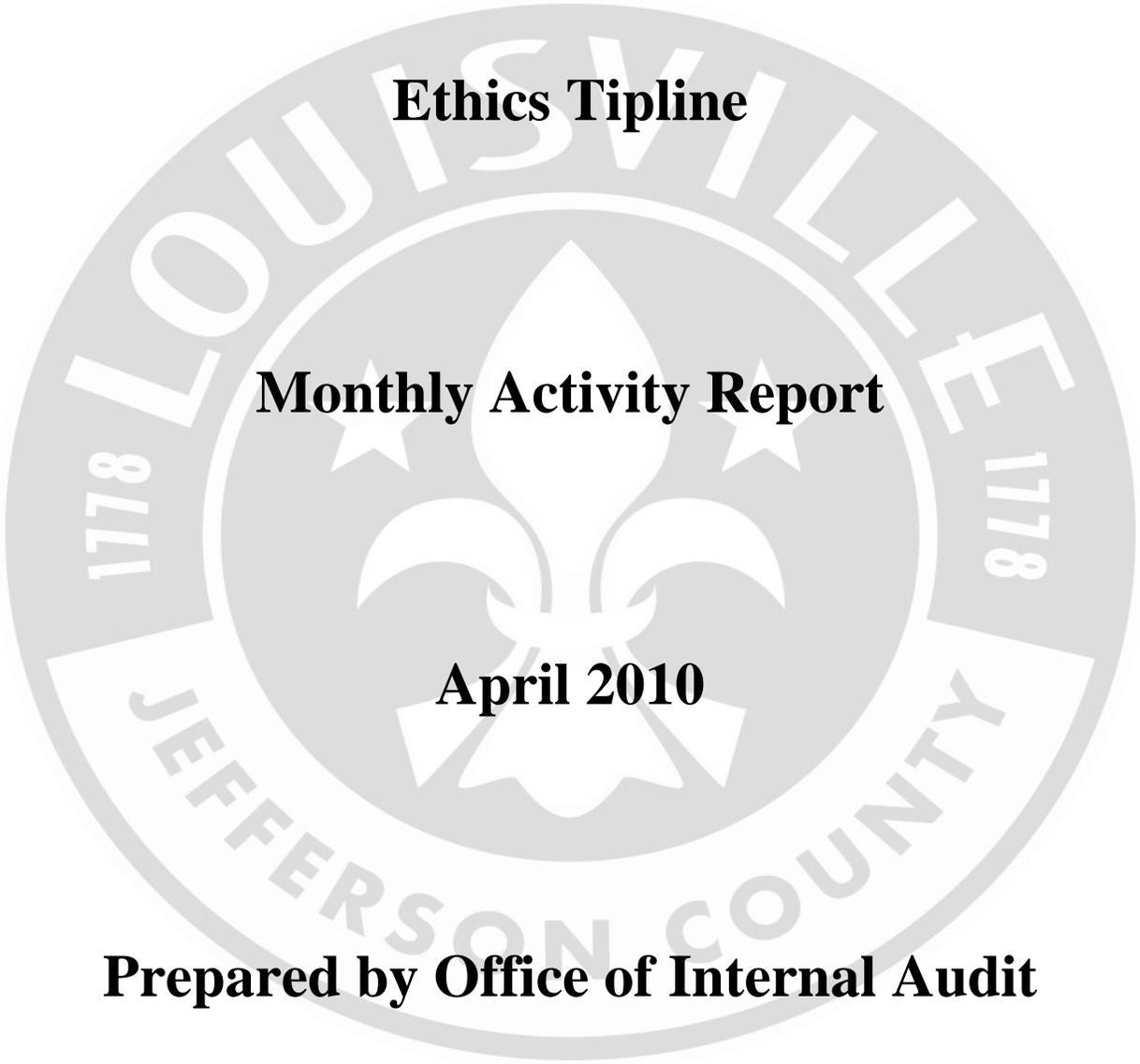
## EXECUTIVE SUMMARY REPORT

### Ethics and Compliance Employee Hotline

Period From: 4/1/2010 To: 4/30/2010 Year From: 1/1/2010 To: 4/30/2010

#### TOP 10 ISSUE TYPE SUMMARY



The seal of Jefferson County, Louisiana, is a circular emblem. It features a central fleur-de-lis with a pointed top and three rounded lobes. Two five-pointed stars are positioned on either side of the fleur-de-lis. The seal is surrounded by a circular border containing the text "LOUISVILLE" at the top and "JEFFERSON COUNTY" at the bottom. The year "1778" is inscribed on both the left and right sides of the seal.

**Ethics Tipline**

**Monthly Activity Report**

**April 2010**

**Prepared by Office of Internal Audit**

## I. Closed Incident Reports

Control #	Report Number	Report Date	Incident Type	Department Name	Case Manager Department	Closed Date	Outcome
1	113285006	12/2/2009	Workplace Violence / Threats	Corrections	Human Resources	4/12/2010	No Corrective Action Taken
2	113386121	1/4/2010	Discrimination	Corrections	Human Resources	4/12/2010	No Corrective Action Taken
3	113523799	2/10/2010	Conflicts of Interest	Facilities Management	Human Resources	4/28/2010	No Corrective Action Taken
4	113622089	3/10/2010	Customer Relations	Inspections Permits & Licenses	Human Resources	4/6/2010	Corrective Action Taken
5	113658170	3/20/2010	Accounting/Audit Irregularities	Finance	Internal Audit	4/27/2010	No Corrective Action Taken
6	113682845	3/27/2010	Fraud	Public Health & Wellness	Internal Audit	4/15/2010	No Corrective Action Taken
7	113690323	3/30/2010	Employee Relations	Corrections	Human Resources	4/6/2010	No Corrective Action Taken
8	113732231	4/12/2010	Theft of Time	Parks	Human Resources	4/28/2010	No Corrective Action Taken
9	113745323	4/15/2010	Policy Issues	Non Metro - Business	Human Resources	4/27/2010	No Investigation Necessary
10	113776114	4/23/2010	Policy Issues	Metro Council	Human Resources	4/28/2010	No Investigation Necessary <sup>(1)</sup>

### Footnotes

<sup>(1)</sup> Report focused on possible violations that are under the purview of the Louisville Metro Ethics Commission. Therefore, the Case Manager Department could not perform an investigation. The caller was provided information regarding the filing of a complaint with the Ethics Commission.

## II. Open Incident Reports

Control #	Report Number	Report Date	Case Manager Department
1	113051733	10/1/2009	Police
2	113091240	10/11/2009	Police
3	113116946	10/17/2009	Police
4	113164794	10/29/2009	Police
5	113386063	1/4/2010	Human Resources
6	113480468	1/29/2010	Human Resources
7	113487375	2/1/2010	Human Resources
8	113529306	2/11/2010	Human Resources
9	113580866	2/26/2010	Human Resources
10	113587220	2/28/2010	Police
11	113587237	2/28/2010	Police
12	113592324	3/2/2010	Human Resources
13	113664995	3/23/2010	Police
14	113665352	3/23/2010	Human Resources
15	113671199	3/24/2010	Police
16	113748865	4/15/2010	Human Resources
17	113749005	4/15/2010	Human Resources
18	113759916	4/19/2010	Police