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TO: Mayor Jerry E. Abramson
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FROM: Michael S. Norman, CIA, CFE, CGAP
Office of Internal Audit

DATE: January 7, 2010

SUBJ: Ethics Tipline Monthly Reports – December 2009

Attached are the Ethics Tipline activity reports for December 2009. 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 December 2009. 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: 12/1/2009 To: 12/31/2009 Year From: 1/1/2009 To: 12/31/2009



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EXECUTIVE SUMMARY REPORT

Ethics and Compliance Employee Hotline

Period From: 12/1/2009 To: 12/31/2009 Year From: 1/1/2009 To: 12/31/2009

INCIDENT REPORT ACTIVITY SUMMARY

	PTD		YTD		YTD Market Comparison
	10	%	57	%	
Original Incident Reports					
Anonymous Reports	6	60.0%	47	82.5%	49.7%
Non-Anonymous Reports	4	40.0%	10	17.5%	50.3%
Escalated Incident Reports	0	0.0%	0	0.0%	1.5%
Previously Reported To Mgmt	4	40.0%	12	21.1%	31.3%

CALL ACTIVITY SUMMARY

	PTD		YTD		YTD Market Comparison
	19	%	118	%	
TOTAL Calls					
Original Incident Reports	10	52.6%	57	48.3%	37.4%
Caller Callbacks	3	15.8%	10	8.5%	9.2%
Client Follow-up	0	0.0%	11	9.3%	17.8%
Other	6	31.6%	40	33.9%	35.5%

ISSUE TYPE SUMMARY

	PTD		YTD		YTD Market Comparison
	10	%	57	%	
Total Issues Reported					
Policy Issues	2	20.0%	8	14.0%	8.2%
Conflicts of Interest	2	20.0%	5	8.8%	1.9%
Workplace Violence/Threats	1	10.0%	2	3.5%	3.3%
Wage/Hour Issues	1	10.0%	1	1.8%	10.2%
Substance Abuse	1	10.0%	5	8.8%	2.7%
Release of Proprietary Information	1	10.0%	1	1.8%	0.3%
Employee Relations	1	10.0%	5	8.8%	44.6%
Customer Relations	1	10.0%	5	8.8%	4.0%
Theft of Time	0	0.0%	9	15.8%	4.1%
Sexual Harassment	0	0.0%	2	3.5%	4.2%
Safety Issues and Sanitation	0	0.0%	1	1.8%	2.7%
Fraud	0	0.0%	6	10.5%	4.2%
Falsification of Company Records	0	0.0%	1	1.8%	1.2%
Discrimination	0	0.0%	5	8.8%	8.3%
Accounting/Audit Irregularities	0	0.0%	1	1.8%	0.3%

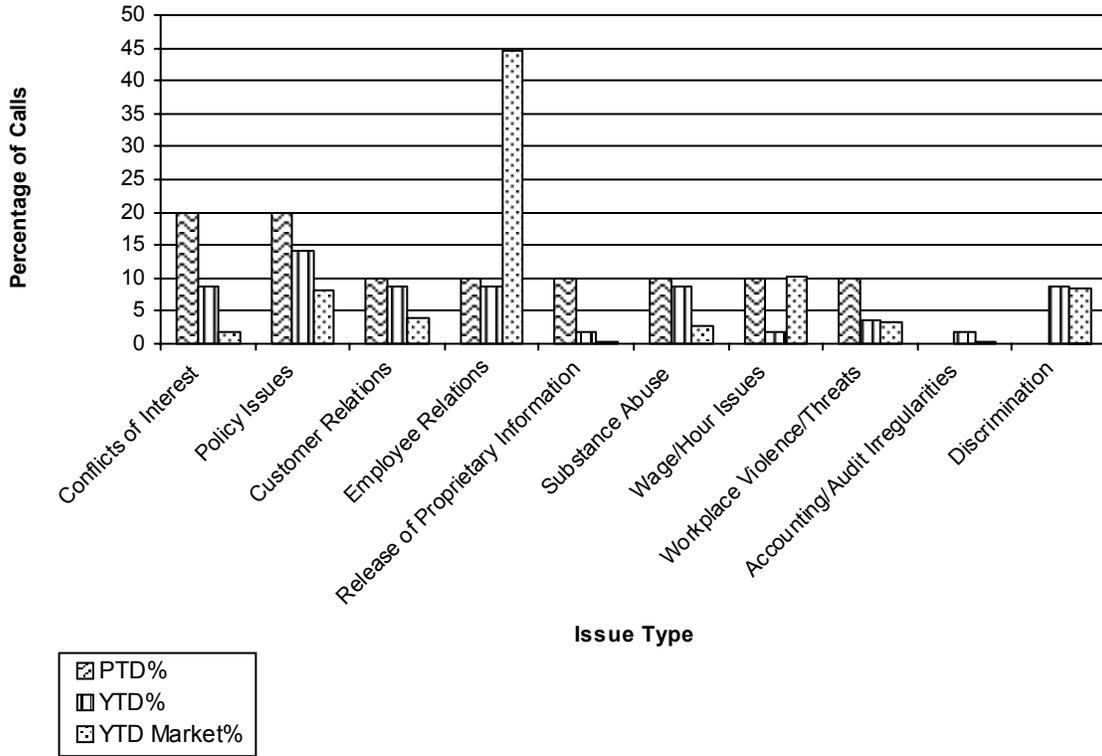
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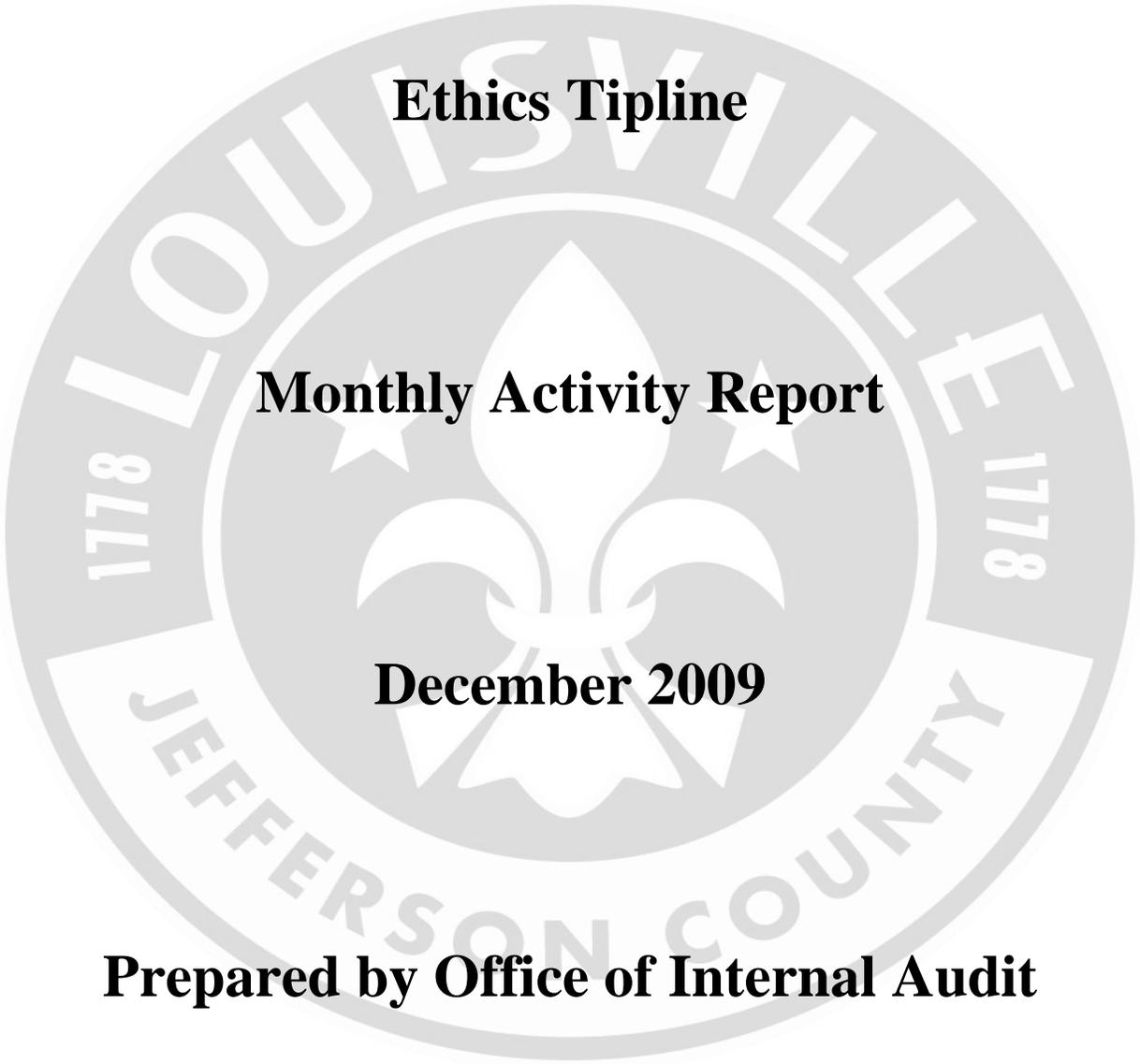
EXECUTIVE SUMMARY REPORT

Ethics and Compliance Employee Hotline

Period From: 12/1/2009 To: 12/31/2009 Year From: 1/1/2009 To: 12/31/2009

TOP 10 ISSUE TYPE SUMMARY





Ethics Tipline

Monthly Activity Report

December 2009

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	113120931	10/19/2009	Conflicts of Interest	Animal Services	Human Resources	12/10/2009	No Corrective Action Taken
2	113139464	10/23/2009	Discrimination	Housing & Family Services	Human Resources	12/10/2009	Corrective Action Taken
3	113152985	10/27/2009	Safety Issues and Sanitation	Animal Services	Human Resources	12/15/2009	No Corrective Action Taken
4	113198892	11/7/2009	Policy Issues	Parks	Human Resources	12/2/2009	Corrective Action Taken
5	113199505	11/7/2009	Theft of Time	Solid Waste Management Services	Human Resources	12/10/2009	No Corrective Action Taken
6	113206659	11/10/2009	Employee Relations	Public Health & Wellness	Human Resources	12/14/2009	No Corrective Action Taken
7	113224519	11/13/2009	Substance Abuse	Inspections Permits & Licenses	Human Resources	12/2/2009	No Corrective Action Taken
8	113236320	11/17/2009	Discrimination	Housing & Family Services	Human Resources	12/7/2009	Corrective Action Taken
9	113251964	11/22/2009	Employee Relations	Public Health & Wellness	Human Resources	12/1/2009	No Corrective Action Taken
10	113272509	11/30/2009	Policy Issues	ABC Office	Human Resources	12/2/2009	No Corrective Action Taken
11	113286215	12/3/2009	Customer Relations	Police	Human Resources	12/8/2009	No Corrective Action Taken
12	113301647	12/8/2009	Workplace Violence / Threats	Solid Waste Management Services	Police	12/14/2009	No Investigation Necessary ⁽¹⁾
13	113335886	12/17/2009	Conflicts of Interest	Non Metro - Sheriff Department	Human Resources	12/17/2009	No Investigation Necessary

Footnotes

⁽¹⁾ Based on information provided by the Department, Case Manager Department determined no investigation was necessary.

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	113281435	12/2/2009	Human Resources
6	113285006	12/2/2009	Human Resources
7	113322396	12/14/2009	Human Resources
8	113324406	12/14/2009	Human Resources
9	113363156	12/26/2009	Human Resources
10	113366208	12/28/2009	Human Resources
11	113371536	12/29/2009	Human Resources