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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: February 8, 2010

SUBJ: Ethics Tipline Monthly Reports – January 2010

Attached are the Ethics Tipline activity reports for January 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: 1/1/2010 To: 1/31/2010 Year From: 1/1/2010 To: 1/31/2010



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EXECUTIVE SUMMARY REPORT

Ethics and Compliance Employee Hotline

Period From: 1/1/2010 To: 1/31/2010 Year From: 1/1/2010 To: 1/31/2010

INCIDENT REPORT ACTIVITY SUMMARY

	PTD		YTD		YTD Market Comparison
	6	%	6	%	
Original Incident Reports	6		6		
Anonymous Reports	6	100.0%	6	100.0%	51.2%
Non-Anonymous Reports	0	0.0%	0	0.0%	48.8%
Escalated Incident Reports	0	0.0%	0	0.0%	1.1%
Previously Reported To Mgmt	1	16.7%	1	16.7%	31.9%

CALL ACTIVITY SUMMARY

	PTD		YTD		YTD Market Comparison
	12	%	12	%	
TOTAL Calls	12		12		
Original Incident Reports	6	50.0%	6	50.0%	36.1%
Caller Callbacks	0	0.0%	0	0.0%	8.8%
Client Follow-up	0	0.0%	0	0.0%	16.5%
Other	6	50.0%	6	50.0%	38.6%

ISSUE TYPE SUMMARY

	PTD		YTD		YTD Market Comparison
	6	%	6	%	
Total Issues Reported	6		6		
Discrimination	3	50.0%	3	50.0%	47.7%
Theft of Time	1	16.7%	1	16.7%	24.7%
Safety Issues and Sanitation	1	16.7%	1	16.7%	18.7%
Conflicts of Interest	1	16.7%	1	16.7%	8.9%

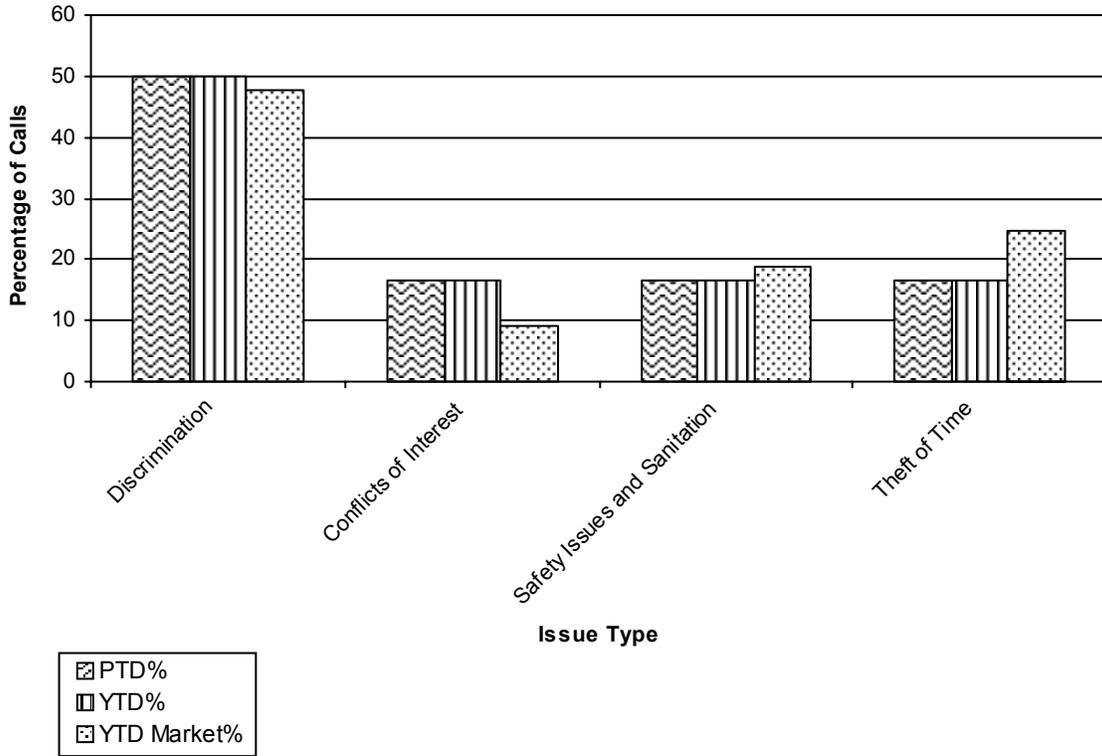
Louisville Metro Government

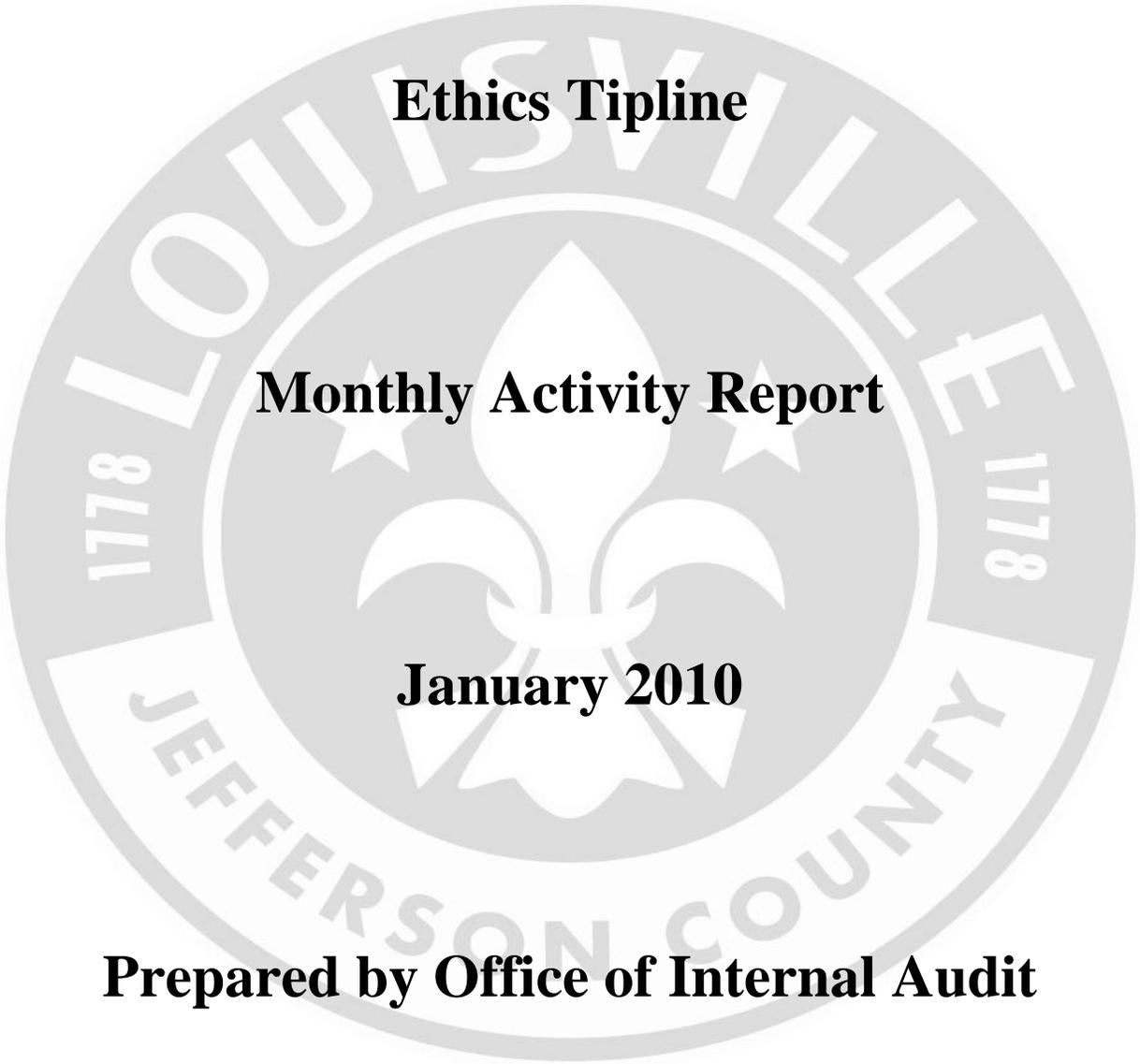
EXECUTIVE SUMMARY REPORT

Ethics and Compliance Employee Hotline

Period From: 1/1/2010 To: 1/31/2010 Year From: 1/1/2010 To: 1/31/2010

TOP 10 ISSUE TYPE SUMMARY





Ethics Tipline

Monthly Activity Report

January 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	113281435	12/2/2009	Release of Proprietary Information	Revenue Commission	Human Resources	1/13/2010	No Corrective Action Taken
2	113363156	12/26/2009	Conflicts of Interest	Metro Council	Human Resources	1/12/2010	No Investigation Necessary ⁽¹⁾
3	113366208	12/28/2009	Wage / Hour Issues	Animal Services	Human Resources	1/12/2010	No Corrective Action Taken
4	113371536	12/29/2009	Policy Issues	Human Resources	Internal Audit	1/7/2010	No Investigation Necessary ⁽²⁾
5	113428478	1/15/2010	Safety Issues and Sanitation	Police	Human Resources	1/19/2010	No Investigation Necessary ⁽³⁾

Footnotes

⁽¹⁾ 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.

⁽²⁾ Based on information provided by the Department, Case Manager Department determined no investigation was necessary.

⁽³⁾ Identifying information was not provided so the Case Manager Department could not investigate. The report was provided to Police for informational purposes.

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	113285006	12/2/2009	Human Resources
6	113322396	12/14/2009	Human Resources
7	113324406	12/14/2009	Human Resources
8	113386063	1/4/2010	Human Resources
9	113386121	1/4/2010	Human Resources
10	113399102	1/7/2010	Human Resources
11	113468046	1/26/2010	Human Resources
12	113480468	1/29/2010	Human Resources