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LOUISVILLE, KENTUCKY

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TO: Mayor Jerry E. Abramson
Mayor's Office

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

DATE: April 13, 2010

SUBJ: Ethics Tipline Monthly Reports – March 2010

Attached are the Ethics Tipline activity reports for March 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: 3/1/2010 To: 3/31/2010 Year From: 1/1/2010 To: 3/31/2010



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Louisville Metro Government

EXECUTIVE SUMMARY REPORT

Ethics and Compliance Employee Hotline

Period From: 3/1/2010 To: 3/31/2010 Year From: 1/1/2010 To: 3/31/2010

INCIDENT REPORT ACTIVITY SUMMARY

	PTD		YTD		YTD Market Comparison
	11	%	28	%	
Original Incident Reports					
Anonymous Reports	5	45.5%	17	60.7%	51.6%
Non-Anonymous Reports	6	54.6%	11	39.3%	48.4%
Escalated Incident Reports	0	0.0%	0	0.0%	1.2%
Previously Reported To Mgmt	5	45.5%	9	32.1%	31.0%

CALL ACTIVITY SUMMARY

	PTD		YTD		YTD Market Comparison
	22	%	48	%	
TOTAL Calls					
Original Incident Reports	11	50.0%	28	58.3%	36.8%
Caller Callbacks	4	18.2%	4	8.3%	9.1%
Client Follow-up	1	4.6%	1	2.1%	18.2%
Other	6	27.3%	15	31.3%	35.9%

ISSUE TYPE SUMMARY

	PTD		YTD		YTD Market Comparison
	11	%	28	%	
Total Issues Reported					
Employee Relations	3	27.3%	5	17.9%	51.8%
Fraud	2	18.2%	4	14.3%	4.4%
Theft of Goods/Services	1	9.1%	2	7.1%	3.3%
Sexual Harassment	1	9.1%	1	3.6%	4.3%
Safety Issues and Sanitation	1	9.1%	2	7.1%	3.3%
Discrimination	1	9.1%	4	14.3%	9.8%
Customer Relations	1	9.1%	3	10.7%	4.9%
Accounting/Audit Irregularities	1	9.1%	1	3.6%	0.3%
Theft of Time	0	0.0%	2	7.1%	4.9%
Policy Issues	0	0.0%	1	3.6%	11.0%
Conflicts of Interest	0	0.0%	3	10.7%	1.9%

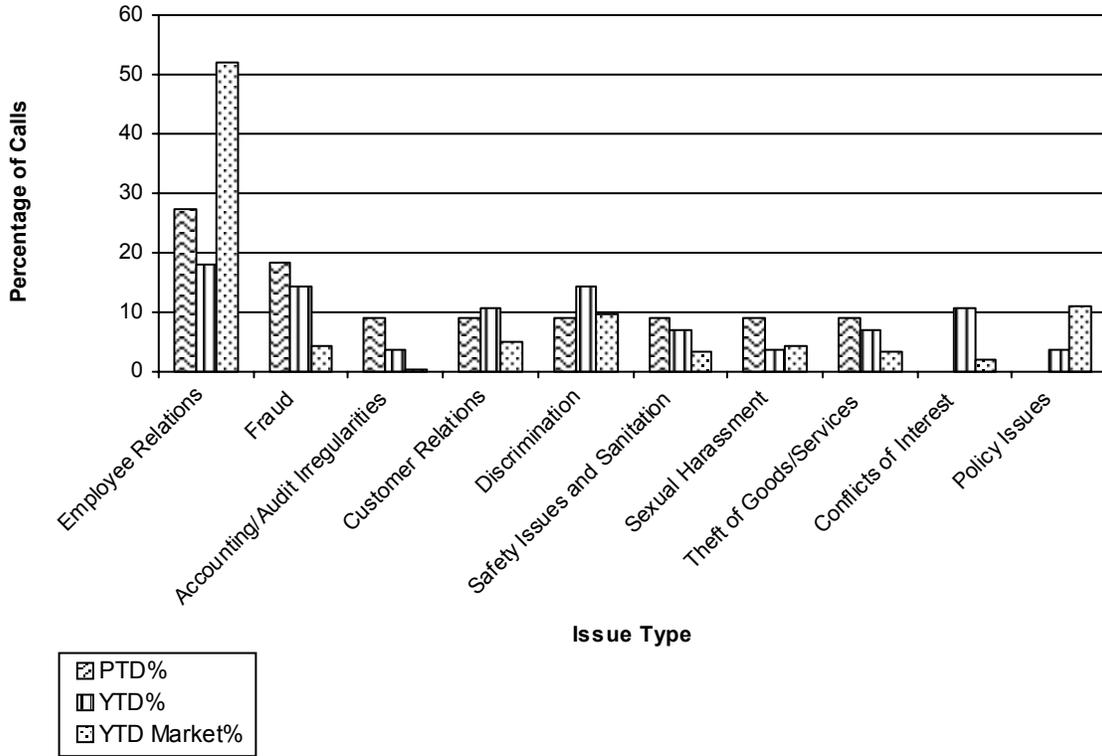
Louisville Metro Government

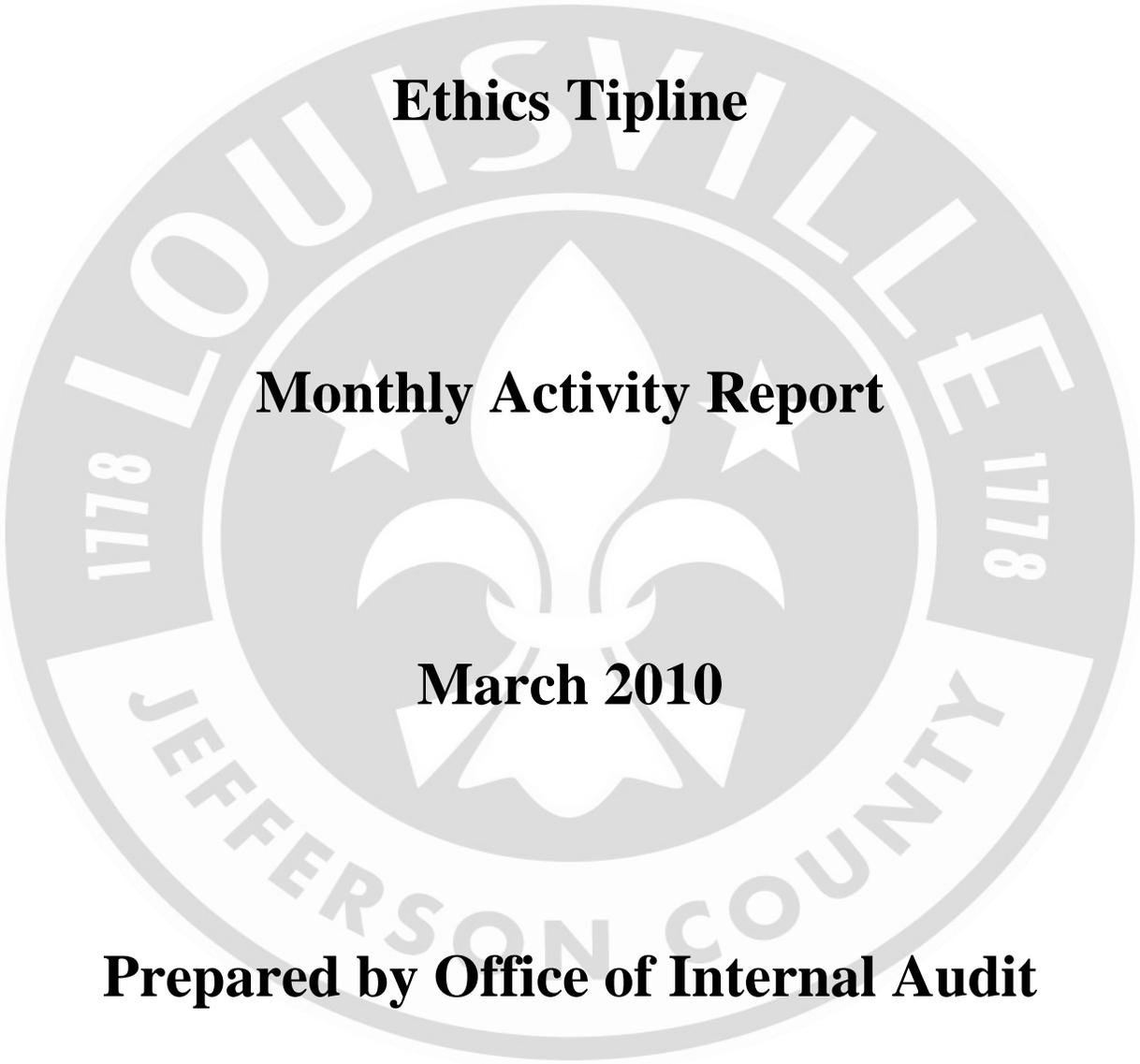
EXECUTIVE SUMMARY REPORT

Ethics and Compliance Employee Hotline

Period From: 3/1/2010 To: 3/31/2010 Year From: 1/1/2010 To: 3/31/2010

TOP 10 ISSUE TYPE SUMMARY



The seal of Jefferson County, Missouri, 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 outer ring of the seal contains the text "LOUISVILLE" at the top and "JEFFERSON COUNTY" at the bottom, with the year "1778" appearing on both the left and right sides.

Ethics Tipline

Monthly Activity Report

March 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	113509750	2/6/2010	Employee Relations	Police	Human Resources	3/4/2010	No Investigation Necessary ⁽¹⁾
2	113524726	2/10/2010	Theft of Goods / Services	Parks	Police	3/20/2010	Corrective Action Taken
3	113562373	2/22/2010	Theft of Time	Human Resources	Internal Audit	3/1/2010	No Corrective Action Taken
4	113562751	2/22/2010	Customer Relations	Non Metro - State Agency	Human Resources	3/1/2010	No Investigation Necessary
5	113569183	2/23/2010	Customer Relations	Non Metro - Family Health Center	Human Resources	3/4/2010	No Investigation Necessary
6	113601889	3/4/2010	Discrimination	Health & Wellness	Human Resources	3/16/2010	No Corrective Action Taken
7	113619285	3/9/2010	Theft of Goods / Services	Metro Council	Human Resources	3/16/2010	No Investigation Necessary ⁽²⁾
8	113641297	3/16/2010	Employee Relations	Police - Records Management	Human Resources	3/29/2010	No Corrective Action Taken

Footnotes

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

⁽²⁾ 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	113285006	12/2/2009	Human Resources
6	113386063	1/4/2010	Human Resources
7	113386121	1/4/2010	Human Resources
8	113480468	1/29/2010	Human Resources
9	113487375	2/1/2010	Human Resources
10	113523799	2/10/2010	Human Resources
11	113529306	2/11/2010	Human Resources
12	113580866	2/26/2010	Human Resources
13	113587220	2/28/2010	Police
14	113587237	2/28/2010	Police
15	113592324	3/2/2010	Human Resources
16	113622089	3/10/2010	Human Resources
17	113658170	3/20/2010	Internal Audit
18	113664995	3/23/2010	Police
19	113665352	3/23/2010	Human Resources
20	113671199	3/24/2010	Police
21	113682845	3/27/2010	Internal Audit
22	113690323	3/30/2010	Human Resources