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TO: Mayor Jerry E. Abramson
Mayor's Office

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

DATE: December 9, 2009

SUBJ: Ethics Tipline Monthly Reports – November 2009

Attached are the Ethics Tipline activity reports for November 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 November 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: 11/1/2009 To: 11/30/2009 Year From: 1/1/2009 To: 11/30/2009



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Louisville Metro Government

EXECUTIVE SUMMARY REPORT

Ethics and Compliance Employee Hotline

Period From: 11/1/2009 To: 11/30/2009 Year From: 1/1/2009 To: 11/30/2009

INCIDENT REPORT ACTIVITY SUMMARY

	PTD		YTD		YTD Market Comparison
	11	%	47	%	
Original Incident Reports					
Anonymous Reports	11	100.0%	41	87.2%	49.7%
Non-Anonymous Reports	0	0.0%	6	12.8%	50.4%
Escalated Incident Reports	0	0.0%	0	0.0%	1.5%
Previously Reported To Mgmt	0	0.0%	8	17.0%	31.1%

CALL ACTIVITY SUMMARY

	PTD		YTD		YTD Market Comparison
	26	%	99	%	
TOTAL Calls					
Original Incident Reports	11	42.3%	47	47.5%	37.4%
Caller Callbacks	1	3.9%	7	7.1%	9.3%
Client Follow-up	4	15.4%	11	11.1%	17.8%
Other	10	38.5%	34	34.3%	35.5%

ISSUE TYPE SUMMARY

	PTD		YTD		YTD Market Comparison
	11	%	47	%	
Total Issues Reported					
Policy Issues	3	27.3%	6	12.8%	9.1%
Employee Relations	2	18.2%	4	8.5%	49.8%
Discrimination	2	18.2%	5	10.6%	9.3%
Theft of Time	1	9.1%	9	19.2%	4.5%
Substance Abuse	1	9.1%	4	8.5%	3.1%
Conflicts of Interest	1	9.1%	3	6.4%	2.1%
Accounting/Audit Irregularities	1	9.1%	1	2.1%	0.3%
Workplace Violence/Threats	0	0.0%	1	2.1%	3.7%
Sexual Harassment	0	0.0%	2	4.3%	4.7%
Safety Issues and Sanitation	0	0.0%	1	2.1%	3.0%
Fraud	0	0.0%	6	12.8%	4.7%
Falsification of Company Records	0	0.0%	1	2.1%	1.3%
Customer Relations	0	0.0%	4	8.5%	4.4%

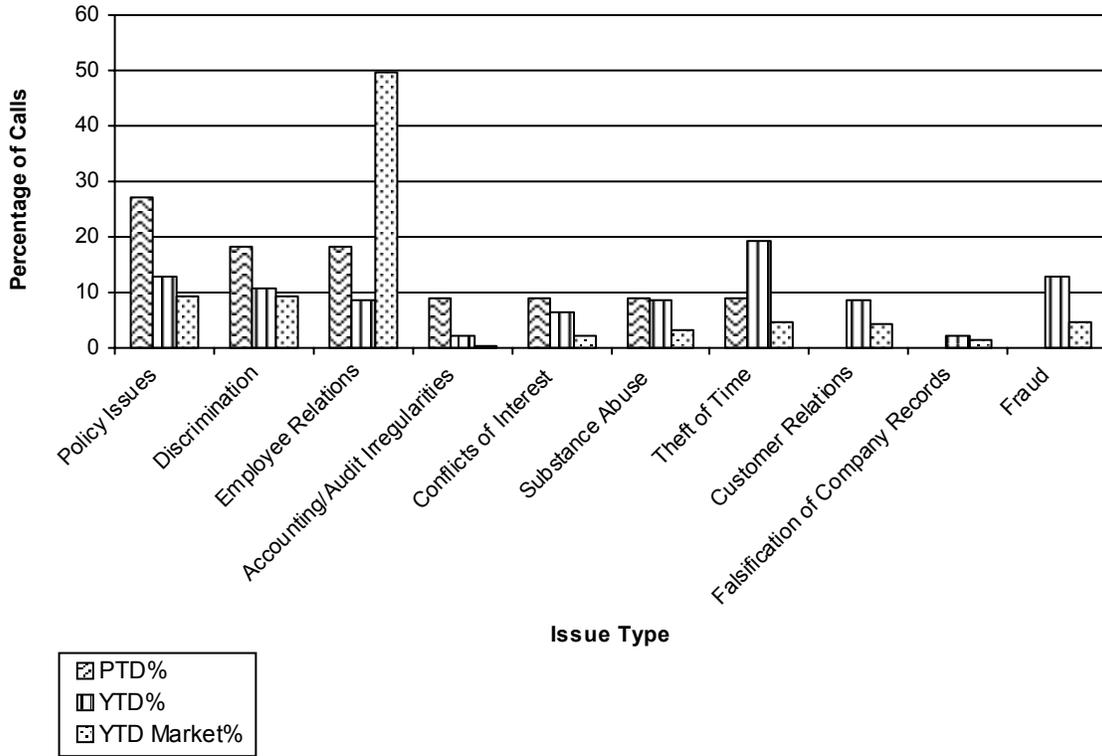
Louisville Metro Government

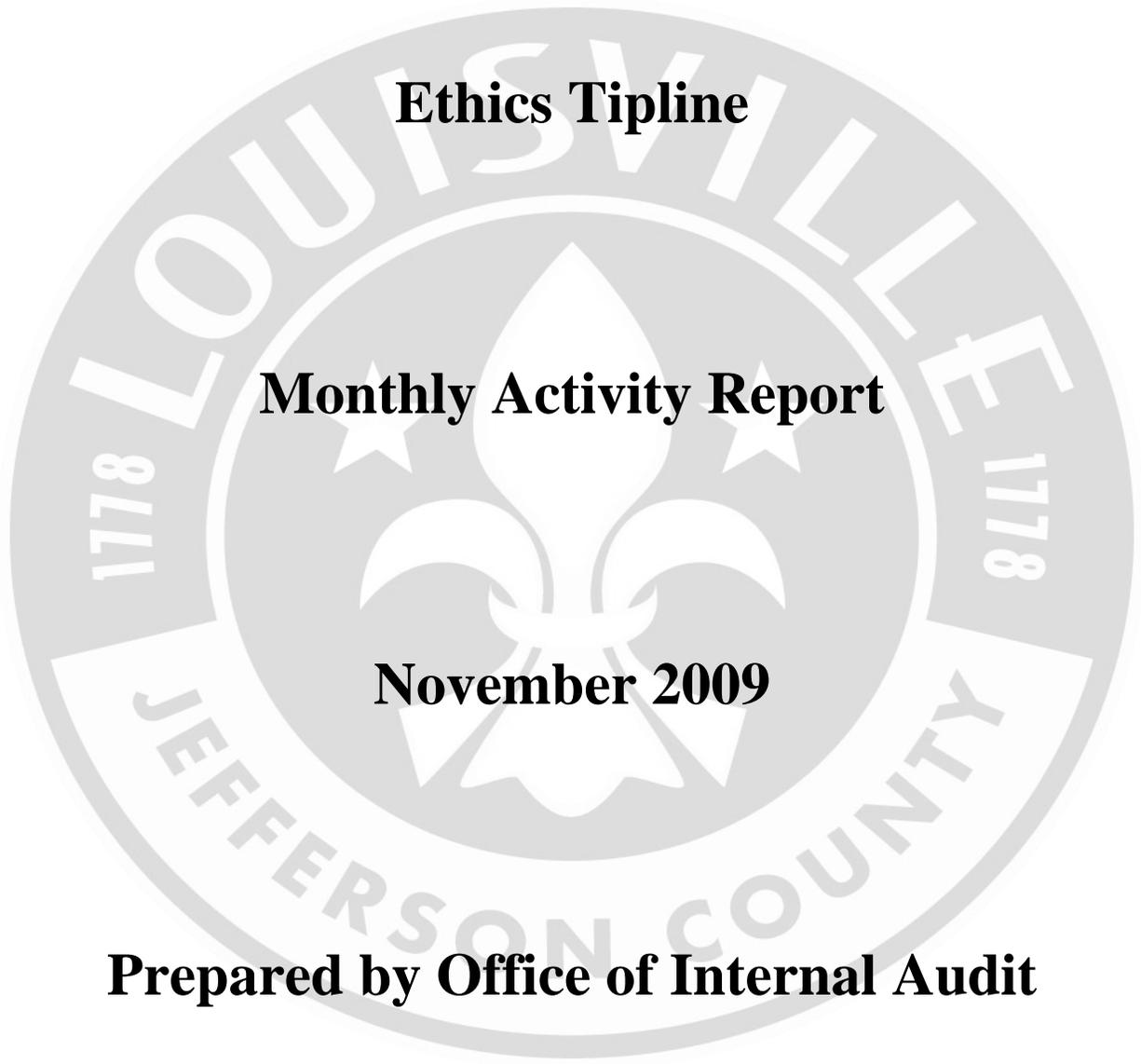
EXECUTIVE SUMMARY REPORT

Ethics and Compliance Employee Hotline

Period From: 11/1/2009 To: 11/30/2009 Year From: 1/1/2009 To: 11/30/2009

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 seal is surrounded by a circular border containing the text "LOUISVILLE" at the top and "JEFFERSON COUNTY" at the bottom. The years "1778" and "1811" are also present on the left and right sides of the seal, respectively. The seal is rendered in a light gray color.

Ethics Tipline

Monthly Activity Report

November 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	113061315	10/3/2009	Theft of Time	Police	Human Resources	11/2/2009	No Corrective Action Taken
2	113061898	10/3/2009	Falsification of Company Records	Fire	Police	11/28/2009	No Corrective Action Taken
3	113079514	10/8/2009	Substance Abuse	Animal Services	Police	11/17/2009	No Corrective Action Taken
4	113111076	10/15/2009	Theft of Time	Technology Services	Human Resources	11/6/2009	No Corrective Action Taken
5	113113017	10/16/2009	Employee Relations	Animal Services	Human Resources	11/4/2009	No Corrective Action Taken
6	113137745	10/22/2009	Conflicts of Interest	Inspections Permits & Licenses	Police	11/18/2009	No Corrective Action Taken
7	113145706	10/24/2009	Sexual Harassment	Youth Detention Services	Human Resources	10/30/2009 ⁽¹⁾	Corrective Action Taken
8	113155147	10/27/2009	Sexual Harassment	Animal Services	Human Resources	10/30/2009 ⁽¹⁾	No Investigation Necessary ⁽²⁾
9	113162890	10/29/2009	Conflicts of Interest	Human Resources	Internal Audit	11/11/2009	No Corrective Action Taken
10	113164557	10/29/2009	Theft of Time	Parking Authority of River City	Human Resources	11/6/2009	No Corrective Action Taken
11	113231428	11/16/2009	Discrimination	Emergency Medical Services	Human Resources	11/17/2009	No Investigation Necessary ⁽³⁾
12	113232184	11/16/2009	Accounting/Audit Irregularities	Non Metro - County Fire District	Police	11/24/2009	No Investigation Necessary
13	113250938	11/21/2009	Conflicts of Interest	Corrections	Human Resources	11/25/2009	No Investigation Necessary ⁽³⁾
14	113259129	11/24/2009	Policy Issues	Fire	Human Resources	11/25/2009	No Investigation Necessary ⁽³⁾

Footnotes

⁽¹⁾ Included in November 2009 report because inadvertently omitted from October 2009 report.

⁽²⁾ Complaint was not actionable. It only referred to the results of another investigation.

⁽³⁾ 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	113120931	10/19/2009	Human Resources
5	113139464	10/23/2009	Human Resources
6	113152985	10/27/2009	Human Resources
7	113164794	10/29/2009	Police
8	113198892	11/7/2009	Human Resources
9	113199505	11/7/2009	Human Resources
10	113206659	11/10/2009	Human Resources
11	113224519	11/13/2009	Human Resources
12	113236320	11/17/2009	Human Resources
13	113251964	11/22/2009	Human Resources
14	113272509	11/30/2009	Human Resources