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TO: Mayor Jerry E. Abramson  
Mayor's Office

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

DATE: November 3, 2009

**SUBJ: Ethics Tipline Monthly Reports – October 2009**

Attached are the Ethics Tipline activity reports for October 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. Please note that the year to date total is more than the period to date total. This is due to the receipt of three incident reports on September 30, 2009, prior to the official “go live” date of the tipline.
- **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 October 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/Jefferson County Metro Govern

## EXECUTIVE SUMMARY REPORT Ethics and Compliance Employee Hotline

Period From: 10/1/2009 To: 10/31/2009 Year From: 1/1/2009 To: 10/31/2009



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# Louisville/Jefferson County Metro Govern

## EXECUTIVE SUMMARY REPORT

### Ethics and Compliance Employee Hotline

Period From: 10/1/2009 To: 10/31/2009 Year From: 1/1/2009 To: 10/31/2009

#### INCIDENT REPORT ACTIVITY SUMMARY

	PTD		YTD		YTD Market Comparison
	Count	%	Count	%	
<b>Original Incident Reports</b>	<b>33</b>		<b>36</b>		
Anonymous Reports	28	84.9%	30	83.3%	49.7%
Non-Anonymous Reports	5	15.2%	6	16.7%	50.3%
Escalated Incident Reports	0	0.0%	0	0.0%	1.6%
Previously Reported To Mgmt	8	24.2%	8	22.2%	31.1%

#### CALL ACTIVITY SUMMARY

	PTD		YTD		YTD Market Comparison
	Count	%	Count	%	
<b>TOTAL Calls</b>	<b>62</b>		<b>73</b>		
Original Incident Reports	33	53.2%	36	49.3%	37.5%
Caller Callbacks	5	8.1%	6	8.2%	9.2%
Client Follow-up	5	8.1%	7	9.6%	17.9%
Other	19	30.7%	24	32.9%	35.4%

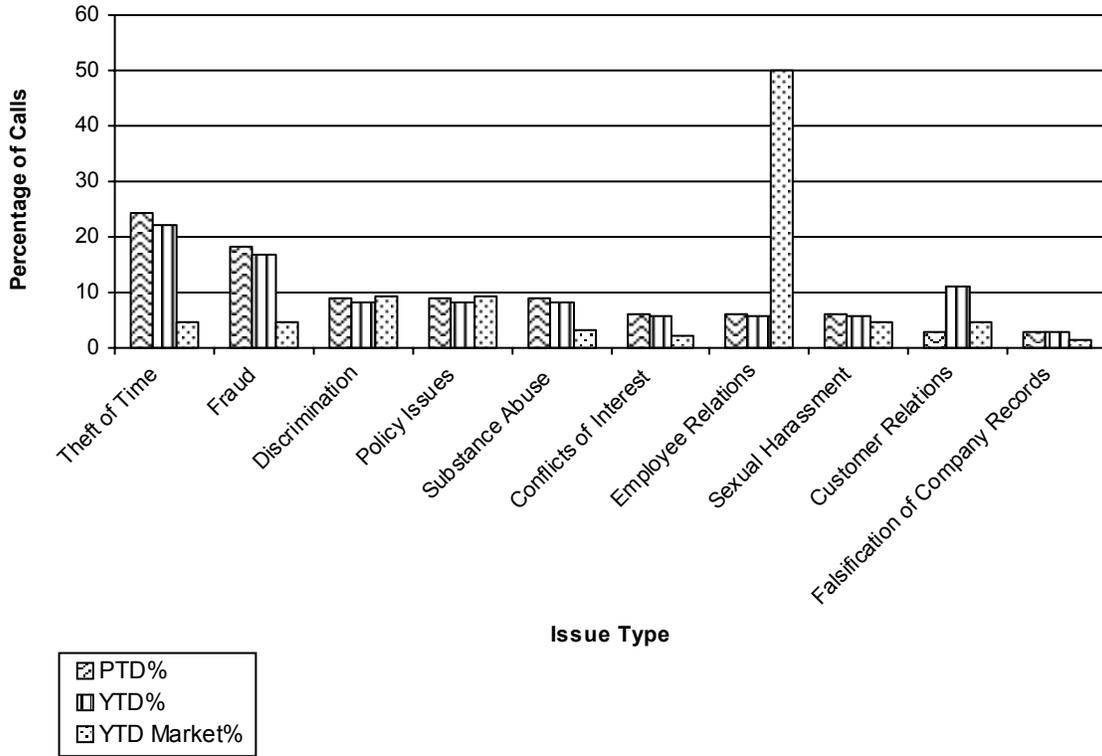
#### ISSUE TYPE SUMMARY

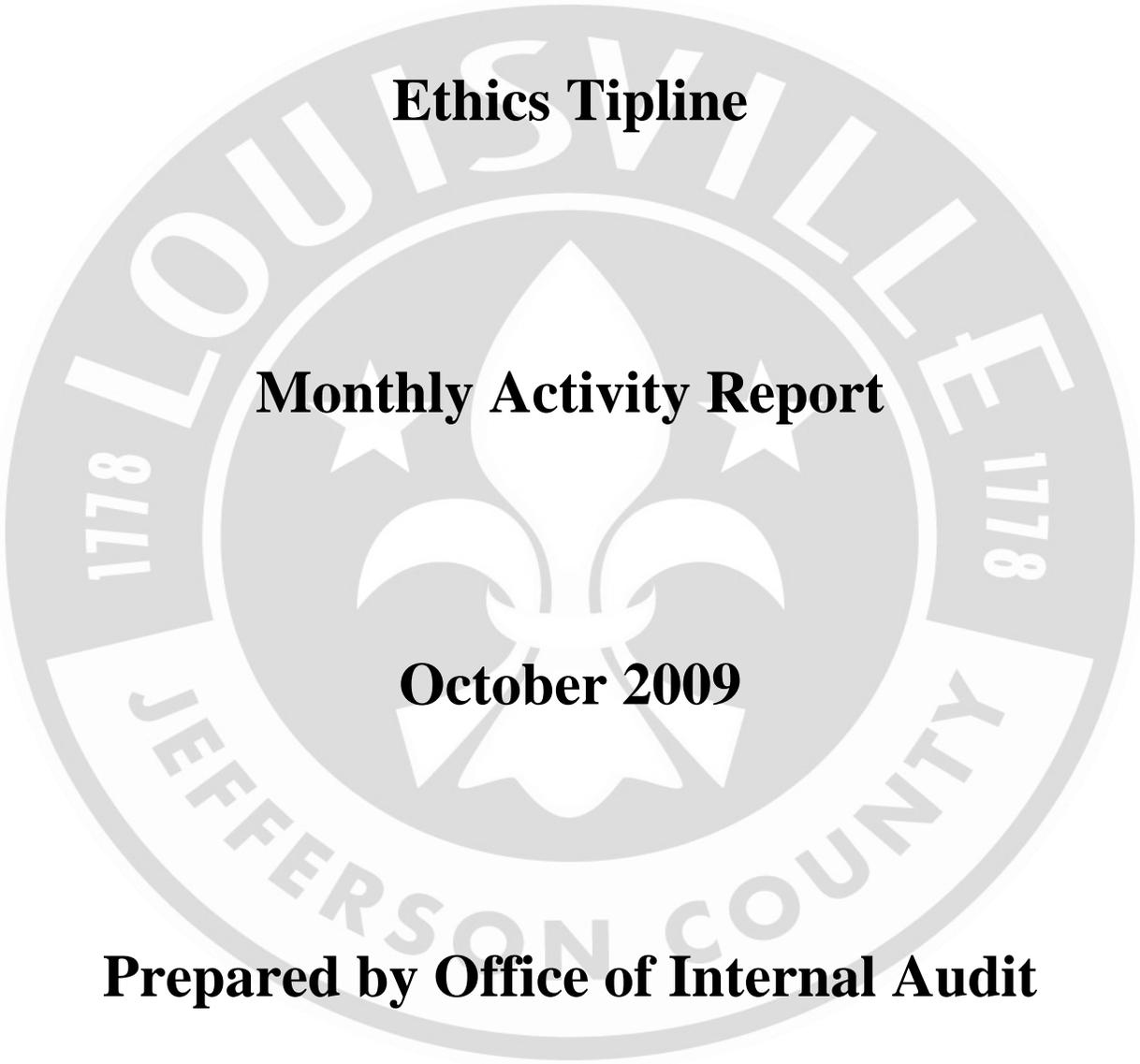
	PTD		YTD		YTD Market Comparison
	Count	%	Count	%	
<b>Total Issues Reported</b>	<b>33</b>		<b>36</b>		
Theft of Time	8	24.2%	8	22.2%	4.5%
Fraud	6	18.2%	6	16.7%	4.8%
Substance Abuse	3	9.1%	3	8.3%	3.1%
Policy Issues	3	9.1%	3	8.3%	9.3%
Discrimination	3	9.1%	3	8.3%	9.2%
Sexual Harassment	2	6.1%	2	5.6%	4.7%
Employee Relations	2	6.1%	2	5.6%	49.9%
Conflicts of Interest	2	6.1%	2	5.6%	2.1%
Workplace Violence/Threats	1	3.0%	1	2.8%	3.7%
Safety Issues and Sanitation	1	3.0%	1	2.8%	3.0%
Falsification of Company Records	1	3.0%	1	2.8%	1.3%
Customer Relations	1	3.0%	4	11.1%	4.5%

**Louisville/Jefferson County Metro Govern**  
**EXECUTIVE SUMMARY REPORT**  
**Ethics and Compliance Employee Hotline**

Period From: 10/1/2009 To: 10/31/2009 Year From: 1/1/2009 To: 10/31/2009

**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 outer ring of the seal contains 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**

**October 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	113050031	9/30/2009 <sup>(1)</sup>	Customer Relations	Non Metro - Jefferson District Court	Human Resources	10/1/2009	No Investigation Necessary
2	113050286	9/30/2009 <sup>(1)</sup>	Customer Relations	Non Metro - Child Protective Services	Human Resources	10/1/2009	No Investigation Necessary
3	113050647	9/30/2009 <sup>(1)</sup>	Customer Relations	Non Metro - Family Court	Human Resources	10/1/2009	No Investigation Necessary
4	113051402	10/1/2009	Policy Issues	Non Metro - Residence	Human Resources	10/1/2009	No Investigation Necessary
5	113051502	10/1/2009	Discrimination	Solid Waste Management Services	Human Resources	10/5/2009	No Corrective Action Taken
6	113051693	10/1/2009	Theft of Time	Metro Council	Human Resources	10/1/2009	No Investigation Necessary <sup>(2)</sup>
7	113052691	10/1/2009	Theft of Time	Non Metro - Unknown	Human Resources	10/16/2009	No Investigation Necessary
8	113053020	10/1/2009	Policy Issues	Non Metro - Jefferson District Court	Human Resources	10/1/2009	No Investigation Necessary
9	113053156	10/1/2009	Fraud	Non Metro - Business	Police	10/13/2009	No Investigation Necessary
10	113056835	10/2/2009	Substance Abuse	Zoo	Human Resources	10/16/2009	No Investigation Necessary <sup>(3)</sup>
11	113056886	10/2/2009	Theft of Time	Zoo	Human Resources	10/27/2009	No Corrective Action Taken
12	113063378	10/4/2009	Policy Issues	Public Health & Wellness	Human Resources	10/12/2009	No Corrective Action Taken
13	113064190	10/5/2009	Substance Abuse	MetroSafe	Human Resources	10/5/2009	No Corrective Action Taken
14	113071547	10/6/2009	Theft of Time	Air Pollution Control District	Human Resources	10/12/2009	Corrective Action Taken
15	113074988	10/7/2009	Customer Relations	Animal Services	Human Resources	10/13/2009	No Corrective Action Taken
16	113076232	10/7/2009	Employee Relations	Non Metro - Jefferson County Public Schools	Human Resources	10/7/2009	No Investigation Necessary
17	113084816	10/9/2009	Theft of Time	Police	Human Resources	10/16/2009	No Corrective Action Taken
18	113118194	10/18/2009	Substance Abuse	Non Metro - Business	Human Resources	10/19/2009	No Investigation Necessary
19	113154738	10/27/2009	Discrimination	Non Metro - Metropolitan Sewer District	Human Resources	10/28/2009	No Investigation Necessary

### Footnotes

<sup>(1)</sup> Included in October 2009 report because received prior to official "go live" date of October 1, 2009

<sup>(2)</sup> There was not enough information to determine the identity / Metro Department of the reported individual.

<sup>(3)</sup> The alleged incident occurred 10 days prior to the incident report. Therefore, it was not possible to prove / disprove the allegation.

## **II. Open Incident Reports**

<b>Control #</b>	<b>Report Number</b>	<b>Report Date</b>	<b>Case Manager Department</b>
1	113051733	10/1/2009	Police
2	113061315	10/3/2009	Human Resources
3	113061898	10/3/2009	Police
4	113079514	10/8/2009	Police
5	113091240	10/11/2009	Police
6	113111076	10/15/2009	Human Resources
7	113113017	10/16/2009	Human Resources
8	113116946	10/17/2009	Police
9	113120931	10/19/2009	Human Resources
10	113137745	10/22/2009	Police
11	113139464	10/23/2009	Human Resources
12	113145706	10/24/2009	Human Resources
13	113152985	10/27/2009	Human Resources
14	113155147	10/27/2009	Human Resources
15	113162890	10/29/2009	Internal Audit
16	113164557	10/29/2009	Human Resources
17	113164794	10/29/2009	Police