



OFFICE OF INTERNAL AUDIT
LOUISVILLE, KENTUCKY

JERRY E. ABRAMSON
MAYOR

MICHAEL S. NORMAN, CIA, CFE, CGAP
CHIEF AUDIT EXECUTIVE

THOMAS L. OWEN
PRESIDENT METRO COUNCIL

TO: Mayor Jerry E. Abramson
Mayor's Office

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

DATE: June 4, 2010

SUBJ: Ethics Tipline Monthly Reports – May 2010

Attached are the Ethics Tipline activity reports for May 2010. The Ethics Tipline ordinance requires the preparation and submission of monthly activity reports. There are two reports enclosed.

- **Activity Summary Report.** This is a new report that replaces the standard executive summary provided by The Network, the third party provider of the tipline. This report provides much of the same information as the standard executive summary but in a format that is easier to understand. The main focus of this report 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



Ethics Tipline

Activity Summary Report

May 2010

Prepared by Louisville Metro Office of Internal Audit

REPORT PERIOD

The Ethics Tipline was implemented October 1, 2009. The Program to Date period is used for cumulative activity since implementation in order to provide yearly data.

Monthly Period	From: 5/1/2010	To: 5/31/2010
Program to Date Period	From: 10/1/2009	To: 5/31/2010

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

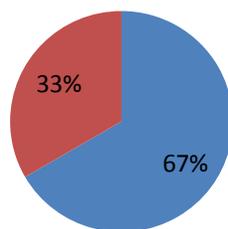
- (1) Generation of an incident report
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller
- (3) Other includes calls such as wrong numbers, hang-ups, and information referrals

Call Type	May 2010		Program to Date	
	Number	% of Total	Number	% of Total
Incident Report	3	50.0%	94	51.6%
Callback	1	16.7%	27	14.8%
Other	2	33.3%	61	33.5%
Total Calls	6		182	

ANONYMOUS REPORT ACTIVITY

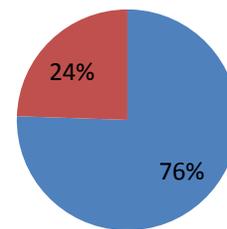
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

May 2010



■ Anonymous Source Reports
■ Non-Anonymous Source Reports

Program to Date

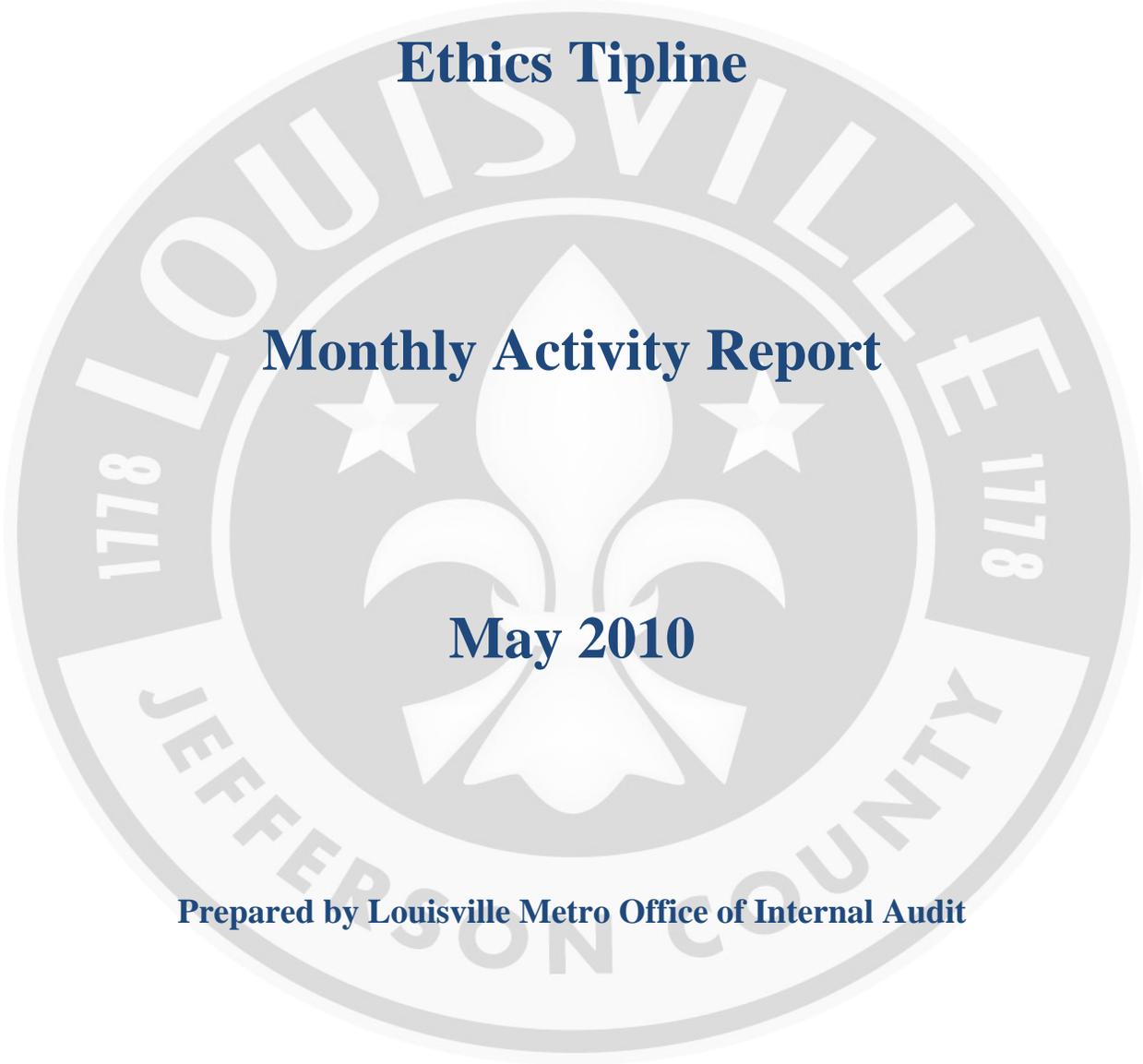


■ Anonymous Source Reports
■ Non-Anonymous Source Reports

INCIDENT TYPE

Incident Type describes the general nature of the incident. The data is sorted by the number of reports for the Program to Date.

Incident Type	May 2010		Program to Date	
	Number	% of Total	Number	% of Total
Policy Issues	0	0.0%	12	12.8%
Theft Of Time	0	0.0%	12	12.8%
Fraud	0	0.0%	11	11.7%
Conflicts Of Interest	1	33.3%	10	10.6%
Employee Relations	0	0.0%	10	10.6%
Customer Relations	1	33.3%	9	9.6%
Discrimination	0	0.0%	9	9.6%
Substance Abuse	0	0.0%	5	5.3%
Safety Issues And Sanitation	0	0.0%	3	3.2%
Sexual Harassment	0	0.0%	3	3.2%
Accounting/Audit Irregularities	0	0.0%	2	2.1%
Theft Of Goods/Services	0	0.0%	2	2.1%
Workplace Violence/Threats	0	0.0%	2	2.1%
Falsification Of Company Records	0	0.0%	1	1.1%
Kickbacks	1	33.3%	1	1.1%
Release Of Proprietary Information	0	0.0%	1	1.1%
Wage/Hour Issues	0	0.0%	1	1.1%
Total	3		94	



Ethics Tipline

Monthly Activity Report

May 2010

Prepared by Louisville Metro Office of Internal Audit

I. Closed Reports

Control #	Report Number	Report Date	Incident Type	Department Name	Case Manager Department	Closed Date	Outcome
1	113487375	2/1/2010	Policy Issues	Corrections	Human Resources	5/10/2010	Corrective Action Taken
2	113665352	3/23/2010	Sexual Harassment	Corrections	Human Resources	5/20/2010	No Corrective Action Taken
3	113749005	4/15/2010	Conflicts of Interest	Internal Audit	Human Resources	5/10/2010	No Investigation Necessary ⁽¹⁾
4	113834671	5/10/2010	Customer Relations	Metro Council	Human Resources	5/13/2010	No Investigation Necessary ⁽²⁾

⁽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 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	113386063	1/4/2010	Human Resources
6	113480468	1/29/2010	Human Resources
7	113529306	2/11/2010	Human Resources
8	113580866	2/26/2010	Human Resources
9	113587220	2/28/2010	Police
10	113587237	2/28/2010	Police
11	113592324	3/2/2010	Human Resources
12	113664995	3/23/2010	Police
13	113671199	3/24/2010	Police
14	113748865	4/15/2010	Human Resources
15	113759916	4/19/2010	Police
16	113848359	5/13/2010	Police
17	113969329	5/27/2010	Human Resources