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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: July 9, 2010

SUBJ: Ethics Tipline Monthly Reports – June 2010

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

- **Activity Summary Report.** This report, which is prepared by the Office of Internal Audit, focuses on 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

June 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: 6/1/2010	To: 6/30/2010
Program to Date Period	From: 10/1/2009	To: 6/30/2010

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

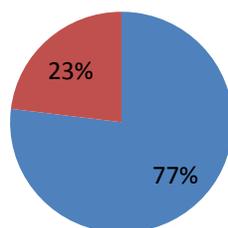
- (1) Generation of an incident report
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	June 2010		Program to Date	
	Number	% of Total	Number	% of Total
Incident Report	13	76.5%	107	53.8%
Callback	2	11.8%	29	14.6%
Other	2	11.8%	63	31.7%
Total Calls	17		199	

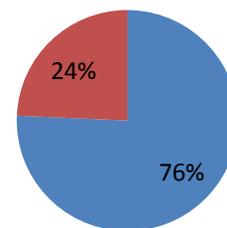
ANONYMOUS REPORT ACTIVITY

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

June 2010



Program to Date



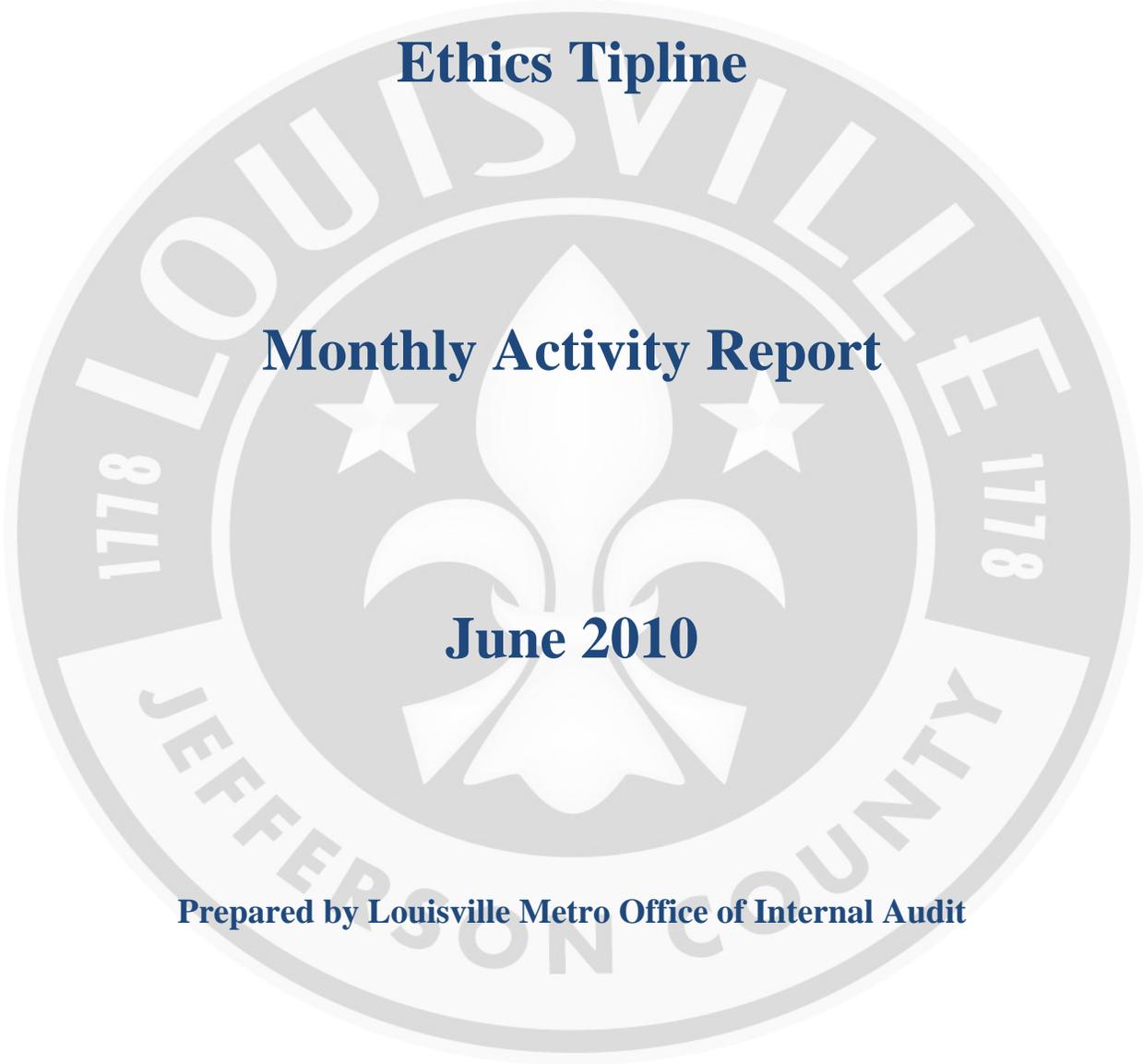
■ Anonymous Source Reports
 ■ Non-Anonymous Source Reports

■ 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	June 2010		Program to Date	
	Number	% of Total	Number	% of Total
Policy Issues	3	23.1%	15	14.0%
Theft Of Time	1	7.7%	13	12.1%
Employee Relations	2	15.4%	12	11.2%
Fraud	0	0.0%	11	10.3%
Conflicts Of Interest	0	0.0%	10	9.3%
Customer Relations	0	0.0%	9	8.4%
Discrimination	0	0.0%	9	8.4%
Substance Abuse	3	23.1%	8	7.5%
Theft Of Goods/Services	2	15.4%	4	3.7%
Accounting/Audit Irregularities	1	7.7%	3	2.8%
Safety Issues And Sanitation	0	0.0%	3	2.8%
Sexual Harassment	0	0.0%	3	2.8%
Wage/Hour Issues	1	7.7%	2	1.9%
Workplace Violence/Threats	0	0.0%	2	1.9%
Falsification Of Company Records	0	0.0%	1	0.9%
Kickbacks	0	0.0%	1	0.9%
Total	13		107	



Ethics Tipline

Monthly Activity Report

June 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	113748865	4/15/2010	Accounting/Audit Irregularities	Internal Audit	Human Resources	6/23/2010	No Corrective Action Taken ⁽¹⁾
2	114009991	6/8/2010	Employee Relations	Housing & Family Services	Human Resources	6/25/2010	Corrective Action Taken
3	114039325	6/17/2010	Policy Issues	Metro Council	Human Resources	6/25/2010	No Investigation Necessary ⁽²⁾
4	114083818	6/30/2010	Theft of Goods / Services	Emergency Medical Services	Police	6/30/2010	Corrective Action Taken ⁽³⁾

⁽¹⁾ Investigation by Case Manager Department did not produce evidence to substantiate the allegation. Therefore, no corrective action 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.

⁽³⁾ Based on information provided by the Department, Case Manager Department determined no investigation was necessary. Corrective action had already been taken to address the issue.

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	113759916	4/19/2010	Internal Audit
15	113848359	5/13/2010	Police
16	113969329	5/27/2010	Human Resources
17	114012442	6/9/2010	Police
18	114023936	6/12/2010	Police
19	114059028	6/23/2010	Human Resources
20	114063943	6/24/2010	Human Resources
21	114068190	6/25/2010	Human Resources
22	114070797	6/25/2010	Human Resources
23	114070852	6/25/2010	Human Resources
24	114070874	6/25/2010	Human Resources
25	114071642	6/26/2010	Internal Audit
26	114085108	6/30/2010	Human Resources