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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: August 9, 2010

SUBJ: Ethics Tipline Monthly Reports – July 2010

Attached are the Ethics Tipline activity reports for July 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

July 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: 7/1/2010	To: 7/31/2010
Program to Date Period	From: 10/1/2009	To: 7/31/2010

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

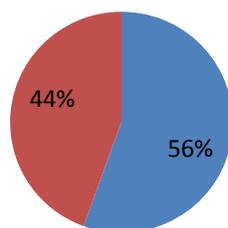
- (1) Generation of an incident report
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	July 2010		Program to Date	
	Number	% of Total	Number	% of Total
Incident Report	9	64.3%	116	54.5%
Callback	3	21.4%	32	15.0%
Other	2	14.3%	65	30.5%
Total Calls	14		213	

ANONYMOUS REPORT ACTIVITY

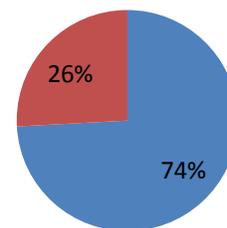
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

July 2010



■ Anonymous Source Reports
 ■ Non-Anonymous Source Reports

Program to Date

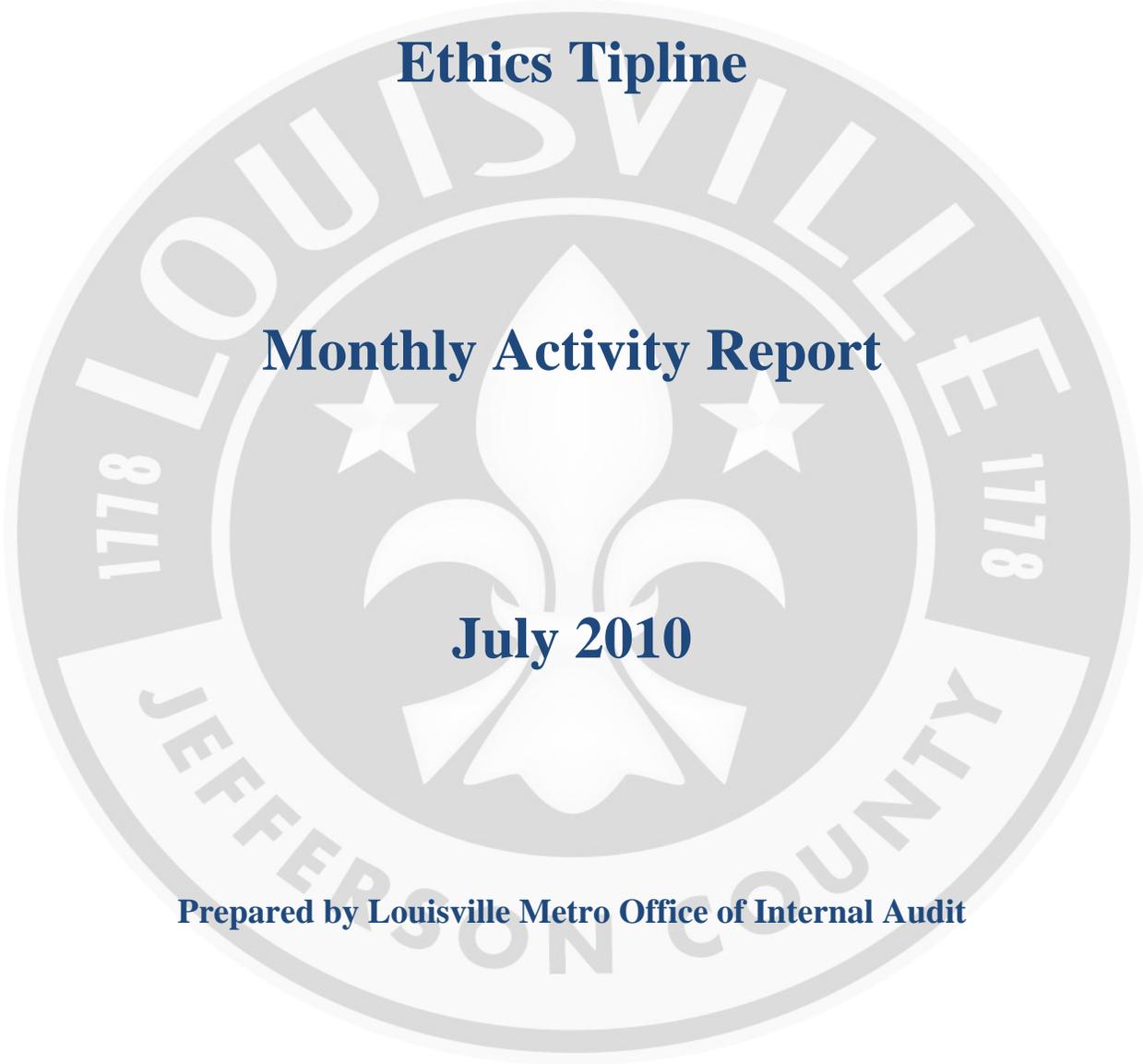


■ Anonymous Source Reports
 ■ Non-Anonymous Source Reports

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	July 2010		Program to Date	
	Number	% of Total	Number	% of Total
Employee Relations	3	33.3%	15	12.9%
Policy Issues	0	0.0%	15	12.9%
Fraud	3	33.3%	14	12.1%
Theft Of Time	0	0.0%	13	11.2%
Conflicts Of Interest	0	0.0%	10	8.6%
Customer Relations	1	11.1%	10	8.6%
Discrimination	0	0.0%	9	7.8%
Substance Abuse	0	0.0%	8	6.9%
Sexual Harassment	1	11.1%	4	3.4%
Theft Of Goods/Services	0	0.0%	4	3.4%
Accounting/Audit Irregularities	0	0.0%	3	2.6%
Safety Issues And Sanitation	0	0.0%	3	2.6%
Wage/Hour Issues	0	0.0%	2	1.7%
Workplace Violence/Threats	0	0.0%	2	1.7%
Falsification Of Company Records	0	0.0%	1	0.9%
Kickbacks	0	0.0%	1	0.9%
Release Of Proprietary Information	0	0.0%	1	0.9%
Theft of Cash	1	11.1%	1	0.9%
Total	9		116	



Ethics Tipline

Monthly Activity Report

July 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	113480468	1/29/2010	Theft of Time	Solid Waste Management Services	Human Resources	7/21/2010	Corrective Action Taken
2	113580866	2/26/2010	Conflicts of Interest	Public Works & Assets	Human Resources	7/26/2010	Corrective Action Taken
3	113592324	3/2/2010	Safety Issues and Sanitation	Facilities Management	Human Resources	7/27/2010	No Corrective Action Taken ⁽¹⁾
4	113664995	3/23/2010	Fraud	Neighborhoods	Police	7/27/2010	No Corrective Action Taken ⁽¹⁾
5	113848359	5/13/2010	Kickbacks	Metro Council	Police	7/28/2010	No Corrective Action Taken ⁽¹⁾
6	114063943	6/24/2010	Policy Issues	Animal Services	Human Resources	7/26/2010	No Corrective Action Taken ⁽¹⁾
7	114068190	6/25/2010	Employee Relations	Human Services	Human Resources	7/26/2010	No Corrective Action Taken ⁽¹⁾
8	114071642	6/26/2010	Theft of Time	Human Resources	Internal Audit	7/7/2010	No Corrective Action Taken ⁽¹⁾
9	114120713	7/12/2010	Fraud	Non Metro - Home Incarceration Program	Police	7/12/2010	No Investigation Necessary
10	114121812	7/12/2010	Customer Relations	Non Metro - Vehicle	Human Resources	7/26/2010	No Investigation Necessary

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

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	113529306	2/11/2010	Human Resources
7	113587220	2/28/2010	Police
8	113587237	2/28/2010	Police
9	113671199	3/24/2010	Police
10	113759916	4/19/2010	Internal Audit
11	113969329	5/27/2010	Human Resources
12	114012442	6/9/2010	Police
13	114023936	6/12/2010	Police
14	114059028	6/23/2010	Human Resources
15	114070797	6/25/2010	Human Resources
16	114070852	6/25/2010	Human Resources
17	114070874	6/25/2010	Human Resources
18	114085108	6/30/2010	Human Resources
19	114089152	7/1/2010	Human Resources
20	114110077	7/8/2010	Human Resources
21	114122919	7/12/2010	Police
22	114123060	7/12/2010	Police
23	114157108	7/21/2010	Human Resources
24	114161936	7/23/2010	Human Resources
25	114165411	7/23/2010	Police
