



OFFICE OF INTERNAL AUDIT  
LOUISVILLE, KENTUCKY

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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: November 10, 2010

**SUBJ: Ethics Tipline Monthly Reports – October 2010**

Attached are the Ethics Tipline activity reports for October 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**

**October 2010**

**Prepared by Louisville Metro Office of Internal Audit**

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## REPORT PERIOD

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

|                               |              |                  |            |                   |
|-------------------------------|--------------|------------------|------------|-------------------|
| <b>Monthly Period</b>         | <b>From:</b> | <b>10/1/2010</b> | <b>To:</b> | <b>10/31/2010</b> |
| <b>Program to Date Period</b> | <b>From:</b> | <b>10/1/2009</b> | <b>To:</b> | <b>10/31/2010</b> |

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## 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          | October 2010 |            | Program to Date |            |
|--------------------|--------------|------------|-----------------|------------|
|                    | Number       | % of Total | Number          | % of Total |
| Incident Report    | 8            | 57.1%      | 136             | 54.8%      |
| Callback           | 1            | 7.1%       | 36              | 14.5%      |
| Other              | 5            | 35.7%      | 76              | 30.6%      |
| <b>Total Calls</b> | <b>14</b>    |            | <b>248</b>      |            |

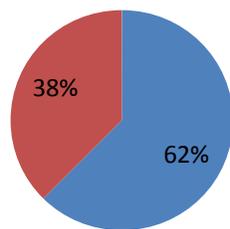
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## ANONYMOUS REPORT ACTIVITY

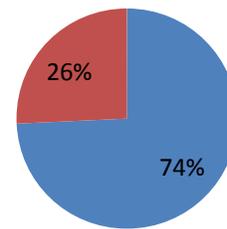
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

**October 2010**



■ Anonymous Source Reports  
■ Non-Anonymous Source Reports

**Program to Date**



■ Anonymous Source Reports  
■ Non-Anonymous Source Reports

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## 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                      | October 2010 |            | Program to Date |            |
|------------------------------------|--------------|------------|-----------------|------------|
|                                    | Number       | % of Total | Number          | % of Total |
| Employee Relations                 | 1            | 12.5%      | 20              | 14.7%      |
| Policy Issues                      | 2            | 25.0%      | 19              | 14.0%      |
| Fraud                              | 1            | 12.5%      | 16              | 11.8%      |
| Customer Relations                 | 2            | 25.0%      | 13              | 9.6%       |
| Theft of Time                      | 0            | 0.0%       | 13              | 9.6%       |
| Conflicts of Interest              | 0            | 0.0%       | 10              | 7.4%       |
| Discrimination                     | 0            | 0.0%       | 9               | 6.6%       |
| Substance Abuse                    | 1            | 12.5%      | 9               | 6.6%       |
| Theft of Goods/Services            | 1            | 12.5%      | 5               | 3.7%       |
| Sexual Harassment                  | 0            | 0.0%       | 4               | 2.9%       |
| Accounting/Audit Irregularities    | 0            | 0.0%       | 3               | 2.2%       |
| Safety Issues And Sanitation       | 0            | 0.0%       | 3               | 2.2%       |
| Wage/Hour Issues                   | 0            | 0.0%       | 3               | 2.2%       |
| Workplace Violence/Threats         | 0            | 0.0%       | 3               | 2.2%       |
| Theft of Cash                      | 0            | 0.0%       | 2               | 1.5%       |
| Falsification of Company Records   | 0            | 0.0%       | 1               | 0.7%       |
| Kickbacks                          | 0            | 0.0%       | 1               | 0.7%       |
| Product Quality Concern            | 0            | 0.0%       | 1               | 0.7%       |
| Release of Proprietary Information | 0            | 0.0%       | 1               | 0.7%       |
| <b>Total</b>                       | <b>8</b>     |            | <b>136</b>      |            |

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# **Ethics Tipline**

## **Monthly Activity Report**

**October 2010**

**Prepared by Louisville Metro Office of Internal Audit**



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## I. Closed Reports

| Control # | Report Number | Report Date | Incident Type         | Department Name                | Case Manager Department | Closed Date | Outcome                                   |
|-----------|---------------|-------------|-----------------------|--------------------------------|-------------------------|-------------|---|
| 1         | 113969329     | 5/27/2010   | Conflicts of Interest | Housing & Family Services      | Human Resources         | 10/28/2010  | No Corrective Action Taken <sup>(1)</sup> |
| 2         | 114291502     | 8/29/2010   | Kickbacks             | Public Health & Wellness       | Human Resources         | 10/11/2010  | No Corrective Action Taken <sup>(1)</sup> |
| 3         | 114359112     | 9/17/2010   | Policy Issues         | Air Pollution Control District | Human Resources         | 10/28/2010  | Corrective Action Taken                   |
| 4         | 114436993     | 10/10/2010  | Policy Issues         | Emergency Management Agency    | Human Resources         | 10/28/2010  | No Investigation Necessary <sup>(2)</sup> |
| 5         | 114510283     | 10/23/2010  | Policy Issues         | Facilities Management          | Human Resources         | 10/28/2010  | No Investigation Necessary <sup>(3)</sup> |

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

<sup>(2)</sup> Based on information provided by the Department, Case Manager Department determined no investigation was necessary.

<sup>(3)</sup> Report was request for information, not an allegation of ethical violations so an investigation was not necessary. The caller had also submitted an Open Records Request following Louisville Metro policy, so the information was provided. The Ethics Tipline is not the proper format for making Open Records Requests.

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## 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         | 113587220     | 2/28/2010   | Police                  |
| 7         | 113587237     | 2/28/2010   | Police                  |
| 8         | 114012442     | 6/9/2010    | Police                  |
| 9         | 114023936     | 6/12/2010   | Police                  |
| 10        | 114122919     | 7/12/2010   | Police                  |
| 11        | 114123060     | 7/12/2010   | Police                  |
| 12        | 114165411     | 7/23/2010   | Police                  |
| 13        | 114235673     | 8/13/2010   | Police                  |
| 14        | 114249571     | 8/17/2010   | Human Resources         |
| 15        | 114356787     | 9/17/2010   | Human Resources         |
| 16        | 114369003     | 9/21/2010   | Police                  |
| 17        | 114442710     | 10/12/2010  | Human Resources         |
| 18        | 114442751     | 10/12/2010  | Police                  |
| 19        | 114444015     | 10/12/2010  | Human Resources         |
| 20        | 114456293     | 10/15/2010  | Human Resources         |
| 21        | 114521483     | 10/27/2010  | Human Resources         |
| 22        | 114527830     | 10/28/2010  | Police                  |

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