



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: December 10, 2010

SUBJ: Ethics Tipline Monthly Reports – November 2010

Attached are the Ethics Tipline activity reports for November 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

November 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.

Monthly Period	From:	11/1/2010	To:	11/30/2010
Program to Date Period	From:	10/1/2009	To:	11/30/2010

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

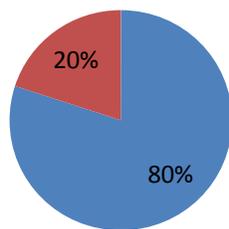
- (1) Generation of an incident report
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	November 2010		Program to Date	
	Number	% of Total	Number	% of Total
Incident Report	5	50.0%	144	55.2%
Callback	2	20.0%	38	14.6%
Other	3	30.0%	79	30.3%
Total Calls	10		261	

ANONYMOUS REPORT ACTIVITY

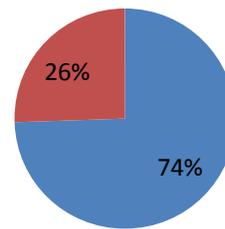
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

November 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	November 2010		Program to Date	
	Number	% of Total	Number	% of Total
Employee Relations	2	40.0%	22	15.6%
Policy Issues	0	0.0%	19	13.5%
Fraud	1	20.0%	17	12.1%
Customer Relations	1	20.0%	14	9.9%
Theft of Time	1	20.0%	14	9.9%
Conflicts of Interest	0	0.0%	10	7.1%
Discrimination	0	0.0%	9	6.4%
Substance Abuse	0	0.0%	9	6.4%
Theft of Goods/Services	0	0.0%	5	3.5%
Sexual Harassment	0	0.0%	4	2.8%
Accounting/Audit Irregularities	0	0.0%	3	2.1%
Safety Issues And Sanitation	0	0.0%	3	2.1%
Wage/Hour Issues	0	0.0%	3	2.1%
Workplace Violence/Threats	0	0.0%	3	2.1%
Theft of Cash	0	0.0%	2	1.4%
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%
Total	5		141	

Ethics Tipline

Monthly Activity Report

November 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	113091240	10/11/2009	Conflicts of Interest	Housing & Family Services	Police	11/8/2010	Corrective Action Taken
2	113116946	10/17/2009	Workplace Violence / Threats	Housing & Family Services	Police	11/8/2010	Corrective Action Taken
3	114369003	9/21/2010	Workplace Violence / Threats	Facilities Management	Police	11/8/2010	No Investigation Necessary ⁽¹⁾
4	114456293	10/15/2010	Customer Relations	Non-Metro - Jefferson County Sheriff	Human Resources	11/1/2010	No Investigation Necessary
5	114554983	11/5/2010	Employee Relations	Public Works & Assets	Human Resources	11/12/2010	No Corrective Action Taken ⁽²⁾
6	114563245	11/8/2010	Fraud	Non-Metro - Jefferson County Attorney	Police	11/8/2010	No Investigation Necessary
7	114580167	11/12/2010	Employee Relations	Public Works - Facilities Management	Human Resources	11/30/2010	No Investigation Necessary ⁽³⁾
8	114610841	11/22/2010	Customer Relations	Non-Metro - State Agency	Human Resources	11/23/2010	No Investigation Necessary

⁽¹⁾ Based on complaint information, Case Manager Department determined no investigation was necessary.

⁽²⁾ Investigation by Case Manager Department did not produce evidence to substantiate the allegation. Therefore, no corrective action was necessary.

⁽³⁾ Based on information provided by the Department, Case Manager Department determined no investigation was necessary.

II. Open Reports

Control #	Report Number	Report Date	Case Manager Department
1	113051733	10/1/2009	Police
2	113164794	10/29/2009	Police
3	113386063	1/4/2010	Human Resources
4	113587220	2/28/2010	Police
5	113587237	2/28/2010	Police
6	114012442	6/9/2010	Police
7	114023936	6/12/2010	Police
8	114122919	7/12/2010	Police
9	114123060	7/12/2010	Police
10	114165411	7/23/2010	Police
11	114235673	8/13/2010	Police
12	114249571	8/17/2010	Human Resources
13	114356787	9/17/2010	Human Resources
14	114442710	10/12/2010	Human Resources
15	114442751	10/12/2010	Police
16	114444015	10/12/2010	Human Resources
17	114521483	10/27/2010	Human Resources
18	114527830	10/28/2010	Police
19	114571713	11/10/2010	Human Resources
