



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: October 8, 2010

SUBJ: Ethics Tipline Monthly Reports – September 2010

Attached are the Ethics Tipline activity reports for September 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

September 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: 9/1/2010	To: 9/30/2010
Program to Date Period	From: 10/1/2009	To: 9/30/2010

CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

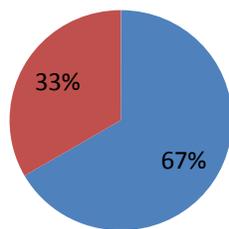
- (1) Generation of an incident report
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	September 2010		Program to Date	
	Number	% of Total	Number	% of Total
Incident Report	3	50.0%	128	54.7%
Callback	0	0.0%	35	15.0%
Other	3	50.0%	71	30.3%
Total Calls	6		234	

ANONYMOUS REPORT ACTIVITY

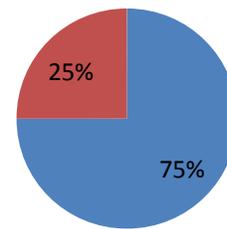
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

September 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	September 2010		Program to Date	
	Number	% of Total	Number	% of Total
Employee Relations	0	0.0%	19	14.8%
Policy Issues	2	66.7%	17	13.3%
Fraud	0	0.0%	15	11.7%
Theft of Time	0	0.0%	13	10.2%
Customer Relations	0	0.0%	11	8.6%
Conflicts of Interest	0	0.0%	10	7.8%
Discrimination	0	0.0%	9	7.0%
Substance Abuse	0	0.0%	8	6.3%
Sexual Harassment	0	0.0%	4	3.1%
Theft of Goods/Services	0	0.0%	4	3.1%
Accounting/Audit Irregularities	0	0.0%	3	2.3%
Safety Issues And Sanitation	0	0.0%	3	2.3%
Wage/Hour Issues	0	0.0%	3	2.3%
Workplace Violence/Threats	1	33.3%	3	2.3%
Theft of Cash	0	0.0%	2	1.6%
Falsification of Company Records	0	0.0%	1	0.8%
Kickbacks	0	0.0%	1	0.8%
Product Quality Concern	0	0.0%	1	0.8%
Release of Proprietary Information	0	0.0%	1	0.8%
Total	3		128	

Ethics Tipline

Monthly Activity Report

September 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	113529306	2/11/2010	Employee Relations	Facilities Management	Internal Audit	9/16/2010	No Corrective Action Taken ⁽¹⁾
2	113671199	3/24/2010	Theft of Goods / Services	Public Works - Tow In Lot	Police	9/21/2010	Corrective Action Taken
3	113759916	4/19/2010	Fraud	Health & Wellness	Internal Audit	9/30/2010	No Corrective Action Taken ⁽¹⁾
4	114210041	8/5/2010	Theft of Cash	Animal Services	Police	9/13/2010	Corrective Action Taken

⁽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	113587220	2/28/2010	Police
7	113587237	2/28/2010	Police
8	113969329	5/27/2010	Human Resources
9	114012442	6/9/2010	Police
10	114023936	6/12/2010	Police
11	114122919	7/12/2010	Police
12	114123060	7/12/2010	Police
13	114165411	7/23/2010	Police
14	114235673	8/13/2010	Police
15	114249571	8/17/2010	Human Resources
16	114291502	8/29/2010	Human Resources
17	114356787	9/17/2010	Human Resources
18	114359112	9/17/2010	Human Resources
19	114369003	9/21/2010	Police
