



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: September 9, 2010

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

Attached are the Ethics Tipline activity reports for August 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**

**August 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.

<b>Monthly Period</b>	<b>From: 8/1/2010</b>	<b>To: 8/31/2010</b>
<b>Program to Date Period</b>	<b>From: 10/1/2009</b>	<b>To: 8/31/2010</b>

## CALL ACTIVITY

A call to the Ethics Tipline can have three outcomes:

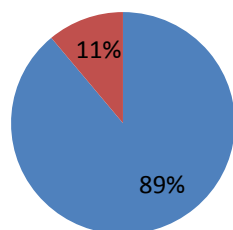
- (1) Generation of an incident report
- (2) Callback in which the caller inquired as to the status of a prior incident report or the Investigator used the case management system to request additional information from the caller
- (3) Other includes calls such as wrong numbers, hang-ups, and information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

Call Type	August 2010		Program to Date	
	Number	% of Total	Number	% of Total
Incident Report	9	60.0%	125	54.8%
Callback	3	20.0%	35	15.4%
Other	3	20.0%	68	29.8%
<b>Total Calls</b>	<b>15</b>		<b>228</b>	

## ANONYMOUS REPORT ACTIVITY

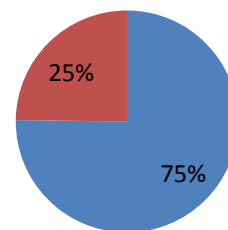
Callers have the option to remain anonymous when filing an incident report. The following illustrates the incident report activity by anonymity.

**August 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	August 2010		Program to Date	
	Number	% of Total	Number	% of Total
Employee Relations	4	44.4%	19	15.2%
Fraud	1	11.1%	15	12.0%
Policy Issues	0	0.0%	15	12.0%
Theft of Time	0	0.0%	13	10.4%
Customer Relations	1	11.1%	11	8.8%
Conflicts of Interest	0	0.0%	10	8.0%
Discrimination	0	0.0%	9	7.2%
Substance Abuse	0	0.0%	8	6.4%
Sexual Harassment	0	0.0%	4	3.2%
Theft of Goods/Services	0	0.0%	4	3.2%
Accounting/Audit Irregularities	0	0.0%	3	2.4%
Safety Issues And Sanitation	0	0.0%	3	2.4%
Wage/Hour Issues	1	11.1%	3	2.4%
Theft of Cash	1	11.1%	2	1.6%
Workplace Violence/Threats	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	1	11.1%	1	0.8%
Release of Proprietary Information	0	0.0%	1	0.8%
<b>Total</b>	<b>9</b>		<b>125</b>	

# **Ethics Tipline**

## **Monthly Activity Report**

**August 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	114059028	6/23/2010	Wage / Hour Issues	Public Works - Facilities Management	Human Resources	8/31/2010	No Investigation Necessary <sup>(2)</sup>
2	114070797	6/25/2010	Substance Abuse	Emergency Management Agency	Human Resources	8/6/2010	No Corrective Action Taken <sup>(1)</sup>
3	114070852	6/25/2010	Substance Abuse	Emergency Management Agency	Human Resources	8/6/2010	No Corrective Action Taken <sup>(1)</sup>
4	114070874	6/25/2010	Substance Abuse	Emergency Management Agency	Human Resources	8/9/2010	No Corrective Action Taken <sup>(1)</sup>
5	114085108	6/30/2010	Policy Issues	Animal Services	Human Resources	8/31/2010	No Corrective Action Taken <sup>(1)</sup>
6	114089152	7/1/2010	Employee Relations	Technology Services	Human Resources	8/6/2010	No Investigation Necessary <sup>(3)</sup>
7	114110077	7/8/2010	Employee Relations	Facilities Management	Human Resources	8/9/2010	No Investigation Necessary <sup>(3)</sup>
8	114157108	7/21/2010	Sexual Harassment	Community Action Partnership	Human Resources	8/6/2010	Corrective Action Taken
9	114161936	7/23/2010	Employee Relations	Facilities Management	Human Resources	8/31/2010	No Corrective Action Taken <sup>(1)</sup>
10	114194500	8/2/2010	Customer Relations	Corrections	Human Resources	8/31/2010	Corrective Action Taken
11	114205436	8/4/2010	Employee Relations	Zoo	Human Resources	8/31/2010	No Corrective Action Taken <sup>(1)</sup>
12	114210966	8/6/2010	Product Quality Concern	Animal Services	Human Resources	8/9/2010	No Investigation Necessary <sup>(3)</sup>
13	114227864	8/11/2010	Employee Relations	Public Works - Vehicle Impoundment	Human Resources	8/31/2010	No Investigation Necessary <sup>(4)</sup>
14	114290910	8/28/2010	Fraud	Non-Metro - Jefferson County Attorney	Human Resources	8/31/2010	No Investigation Necessary <sup>(5)</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> Case Manager Department requested additional information from the caller using the callback feature of The Network's case management system. Additional information was not provided. Therefore, Case Manager Department could not conduct an investigation.

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

<sup>(4)</sup> Case Manager Department determined that nature of allegation was not a violation of Louisville Metro Policy. Therefore, no investigation was necessary.

<sup>(5)</sup> Case Manager Department determined that individuals identified in incident report were not officers covered by Louisville Metro's Code of Ethics and were not employees of Louisville Metro Government. Therefore, no investigation 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	Internal Audit
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	114122919	7/12/2010	Police
15	114123060	7/12/2010	Police
16	114165411	7/23/2010	Police
17	114210041	8/5/2010	Police
18	114235673	8/13/2010	Police
19	114249571	8/17/2010	Human Resources
20	114291502	8/29/2010	Human Resources