



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: March 8, 2010

SUBJ: Ethics Tipline Monthly Reports – February 2010

Attached are the Ethics Tipline activity reports for February 2010. The Ethics Tipline ordinance requires the preparation and submission of monthly activity reports. There are two reports enclosed.

- **Executive Summary Report.** This is the standard executive summary provided by The Network, the third party provider of the tipline. The focus is 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

Louisville Metro Government

EXECUTIVE SUMMARY REPORT Ethics and Compliance Employee Hotline

Period From: 2/1/2010 To: 2/28/2010 Year From: 1/1/2010 To: 2/28/2010



333 Research Ct. Norcross, GA 30092 Phone: (770) 409-5000 Fax: (770) 263-4758

www.tnwinc.com

Louisville Metro Government

EXECUTIVE SUMMARY REPORT

Ethics and Compliance Employee Hotline

Period From: 2/1/2010 To: 2/28/2010 Year From: 1/1/2010 To: 2/28/2010

INCIDENT REPORT ACTIVITY SUMMARY

| | PTD | | YTD | | YTD Market Comparison |
|----------------------------------|-----|-------|-----|-------|-----------------------|
| | 11 | % | 17 | % | |
| Original Incident Reports | | | | | |
| Anonymous Reports | 6 | 54.6% | 12 | 70.6% | 51.5% |
| Non-Anonymous Reports | 5 | 45.5% | 5 | 29.4% | 48.5% |
| Escalated Incident Reports | 0 | 0.0% | 0 | 0.0% | 1.2% |
| Previously Reported To Mgmt | 3 | 27.3% | 4 | 23.5% | 31.2% |

CALL ACTIVITY SUMMARY

| | PTD | | YTD | | YTD Market Comparison |
|---------------------------|-----|-------|-----|-------|-----------------------|
| | 14 | % | 26 | % | |
| TOTAL Calls | | | | | |
| Original Incident Reports | 11 | 78.6% | 17 | 65.4% | 36.7% |
| Caller Callbacks | 0 | 0.0% | 0 | 0.0% | 8.9% |
| Client Follow-up | 0 | 0.0% | 0 | 0.0% | 17.6% |
| Other | 3 | 21.4% | 9 | 34.6% | 36.8% |

ISSUE TYPE SUMMARY

| | PTD | | YTD | | YTD Market Comparison |
|------------------------------|-----|-------|-----|-------|-----------------------|
| | 11 | % | 17 | % | |
| Total Issues Reported | | | | | |
| Fraud | 2 | 18.2% | 2 | 11.8% | 4.7% |
| Employee Relations | 2 | 18.2% | 2 | 11.8% | 54.0% |
| Customer Relations | 2 | 18.2% | 2 | 11.8% | 5.2% |
| Conflicts of Interest | 2 | 18.2% | 3 | 17.7% | 1.9% |
| Theft of Time | 1 | 9.1% | 2 | 11.8% | 5.3% |
| Theft of Goods/Services | 1 | 9.1% | 1 | 5.9% | 3.4% |
| Policy Issues | 1 | 9.1% | 1 | 5.9% | 11.7% |
| Safety Issues and Sanitation | 0 | 0.0% | 1 | 5.9% | 3.7% |
| Discrimination | 0 | 0.0% | 3 | 17.7% | 10.2% |

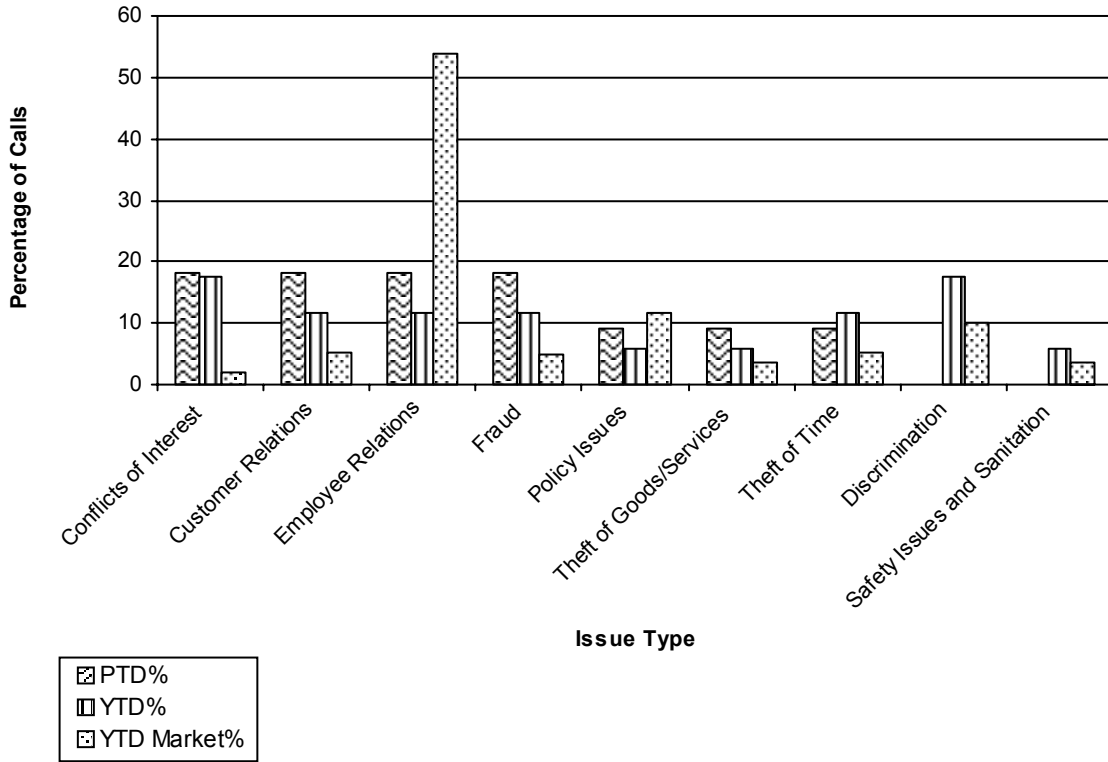
Louisville Metro Government

EXECUTIVE SUMMARY REPORT

Ethics and Compliance Employee Hotline

Period From: 2/1/2010 To: 2/28/2010 Year From: 1/1/2010 To: 2/28/2010

TOP 10 ISSUE TYPE SUMMARY





Ethics Tipline

Monthly Activity Report

February 2010

Prepared by Office of Internal Audit

I. Closed Incident Reports

| Control # | Report Number | Report Date | Incident Type | Department Name | Case Manager Department | Closed Date | Outcome |
|------------------|----------------------|--------------------|-----------------------|----------------------------|--------------------------------|--------------------|---|
| 1 | 113322396 | 12/14/2009 | Policy Issues | ABC Office | Human Resources | 2/4/2010 | No Corrective Action Taken |
| 2 | 113324406 | 12/14/2009 | Substance Abuse | Vehicle Impoundment | Human Resources | 2/4/2010 | No Corrective Action Taken |
| 3 | 113399102 | 1/7/2010 | Conflicts of Interest | Facilities Management | Human Resources | 2/4/2010 | No Investigation Necessary ⁽¹⁾ |
| 4 | 113468046 | 1/26/2010 | Discrimination | Emergency Medical Services | Human Resources | 2/15/2010 | No Corrective Action Taken |

Footnotes

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

II. Open Incident 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 | 113285006 | 12/2/2009 | Human Resources |
| 6 | 113386063 | 1/4/2010 | Human Resources |
| 7 | 113386121 | 1/4/2010 | Human Resources |
| 8 | 113480468 | 1/29/2010 | Human Resources |
| 9 | 113487375 | 2/1/2010 | Human Resources |
| 10 | 113509750 | 2/6/2010 | Human Resources |
| 11 | 113523799 | 2/10/2010 | Human Resources |
| 12 | 113524726 | 2/10/2010 | Police |
| 13 | 113529306 | 2/11/2010 | Human Resources |
| 14 | 113562373 | 2/22/2010 | Internal Audit |
| 15 | 113562751 | 2/22/2010 | Human Resources |
| 16 | 113569183 | 2/23/2010 | Human Resources |
| 17 | 113580866 | 2/26/2010 | Human Resources |
| 18 | 113587220 | 2/28/2010 | Police |
| 19 | 113587237 | 2/28/2010 | Police |