

TriMet's EthicsPoint Hotline

Annual Report
October 28, 2015

2013 Secretary of State audit recommendations:

“TriMet should consider implementing a hotline or other function to enable employees to make reports of fraud, waste or abuse of district resources”

Who is involved:

- **Accountability Committee**
- **Legal Department**
- **Internal Audit Department**
- **Navex (3rd Party Intake and Communication Channel)**



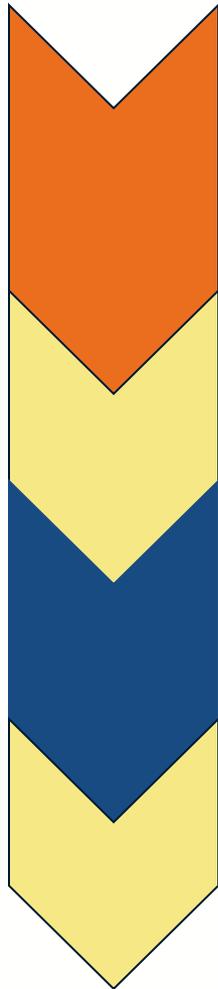
ETHICSPPOINT HOTLINE

Need to report a concern about potential fraud, waste or abuse of TriMet’s resources?

- EthicsPoint Hotline is a resource for all TriMet employees.
- All reports can be anonymous.
- Hotline and webpage are hosted by an independent third party firm.
- Find the link on the TriNET homepage.

Posted by TriMet Legal Department September 24, 2014

Timeline



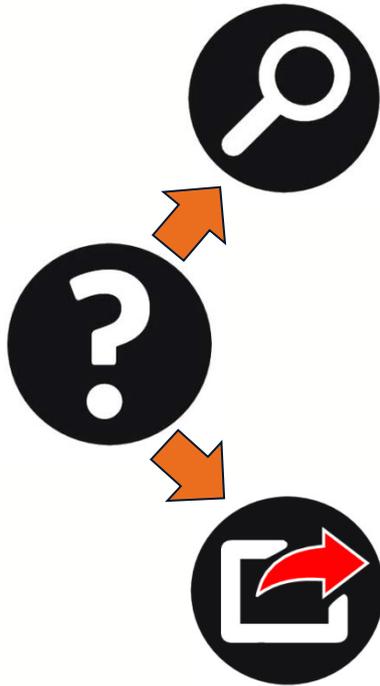
**2014 – research best practices,
contract with Navex, develop the
web-portal and intake process**

**September 24, 2014 – EthicsPoint
Hotline goes live!**

**September/October/November 2014 –
initial outreach to employees about
the hotline**

**March 2015 – six month status report
to Board**

Overview of Cases



4 cases investigated as potential instance of fraud, waste or abuse of resources

- no substantiated findings

6 other cases referred for investigation by appropriate department

Investigation took between 1 – 15 business days, with an average of 7 days to close

Most Reports Were Made on the Web

NAVEX GLOBAL™
The Ethics and Compliance Experts



TRIMET

[Follow-up on a Report](#)
[Supporting Documents](#)
[FAQs](#)

EthicsPoint is NOT a 911 or Emergency Service:
Do not use this site to report events presenting an immediate threat to life or property. Reports submitted through this service may not receive an immediate response. If you require emergency assistance, please contact your local authorities.

Select the city in which the violation took place.

Select the location where the violation took place.

Click the "Continue" button to proceed with filing your report.

After you complete your report you will be assigned a unique code called a "report key." Write down your report key and password and keep them in a safe place. After 5-6 business days, use your report key and password to check your report for feedback or questions.

ATTENTION! This webpage is hosted on EthicsPoint's secure servers and is not part of the TriMet website or intranet.

TriMet Staff Ethics Reporting & Tracking System (SERTS):

Our Commitment to You

Pursuant to its [Vision, Mission and Values](#) and its standards of employee ethical conduct, TriMet is committed to delivering its public services efficiently, ethically, and accountably. TriMet strives to foster an environment where open, honest communications are expected, not exceptional. You should feel comfortable as a TriMet employee in approaching your supervisor or management in instances where you believe violations of policies or standards have occurred.

If you ever become aware of suspected waste, fraud or abuse within TriMet, you are encouraged to report it to your supervisor or management for a closer examination. In situations where you prefer to place an anonymous report in confidence, however, you are encouraged to use TriMet's Staff Ethics Reporting and Tracking System (SERTS). Waste, fraud or abuse may occur through a deliberate or unintentional act or inadvertently; however, regardless of the intent, such actions should always be reported as they directly impact the resources of TriMet, and its performance in serving the community.

SERTS is hosted by a third party hotline provider, EthicsPoint. As a third party hotline provider, EthicsPoint does not investigate your report. Rather, it routes the information to an investigator within TriMet who can impartially investigate your report. The information that you provide in SERTS will be sent to TriMet by EthicsPoint on a totally confidential and anonymous basis if you should choose. You have our guarantee that your comments will be heard.

If you have a concern that involves an HR issue such as discrimination, harassment, retaliation or inappropriate communication it should be reported to your manager, supervisor or to the [HR department](#). Workplace safety can be investigated by submitting a Request for Safety Assessment online here: <https://trinet.trimet.org/app/rsa/>.

See the [EthicsPoint FAQs](#) for more information.

What happens when you make a report?

*** Do you wish to remain ANONYMOUS for this report?**

Yes No

If you want TriMet to know your identity, please complete the following:

Your Name:
First Name Last Name

Your Phone Number:

Your E-mail Address:

Best time for communication with you:

Report - Theft

*** Please identify the person(s) engaged in this behavior:**

Example:

John Doe, Director of Internal Audit
 Unknown, Unknown, Night Supervisor

	First Name	Last Name	Title
#1	Chris	Middleton	-
#2	<input type="text"/>	<input type="text"/>	-
#3	<input type="text"/>	<input type="text"/>	-

Do you suspect or know that a supervisor or management is involved?

Yes No Do Not Know / Do Not Wish To Disclose

If yes, then who?

Example:

John Doe, Director of Internal Audit

Any persons mentioned here will be restricted by EthicsPoint from access to this reported information.

Is management aware of this problem?

Yes No Do Not Know / Do Not Wish To Disclose

What is the general nature of this matter?

This should be a general description only, you will be asked for specifics later.

*** Do you wish to remain ANONYMOUS for this report?**

Yes No

Report - Theft

*** Please identify the person(s) engaged in this behavior:**

Example:

John Doe, Director of Internal Audit
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	First Name	Last Name	Title
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Example:

John Doe, Director of Internal Audit

Any persons mentioned here will be restricted by EthicsPoint from access to this reported information.

Is management aware of this problem?

Yes No Do Not Know / Do Not Wish To Disclose

What is the general nature of this matter?

This should be a general description only, you will be asked for specifics later.

▶ ***How did you become aware of this violation?**

 If other, how?

▶ **Please identify any persons who have attempted to conceal this problem and the steps they took to conceal it:**

 Examples:
 Ignored it
 Changed documents
 Said it was not a problem
 Said they would look into it
 Please identify by name and title.

▶ **If you have a document or file that supports your report, most common file types can be uploaded:**
[Click here to upload files](#)

▶ *** Please provide all details regarding the alleged violation, including the locations of witnesses and any other information that could be valuable in the evaluation and ultimate resolution of this situation.**

When you submit the report, you will be issued a Report Key. Please write it down and keep it in a safe place. We ask you to use this Report Key along with the password of your choosing to return to EthicsPoint through the website or telephone hotline in 5-6 business days. By returning in 5-6 business days, you will have the opportunity to review any Follow-up Questions or submit more information about this incident.

▶ **Please choose a password for this report:**
 * Password:
 * Re-enter Password:
 Your passwords must match and be at least four characters long.

EthicsPoint Hotline Utilization

- We received 1 report per 300 employees
- We had some reports that addressed known situations, however they provided a new perspective. Other reports presented new concerns to investigate.
- Reports for investigation by other departments outnumber reports that were about fraud, waste or abuse of agency resources.

Goals for 2016

- **Education about the Hotline should include explaining ways to make reports that are not about fraud, waste or abuse of agency resources.**
- **Encourage anonymous reporters to check back in after making the report. Emphasize that they can check back in, provide additional details, answer questions, and remain anonymous.**
- **Numbers are less important than trends. Analysis and action should be based on types of reports that are made to the Hotline.**