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)
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

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://trimet.trimet.org/app/rsa/](https://trimet.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:**

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**Report - Theft**

* Please identify the person(s) engaged in this behavior:
  - Example:
    - John Doe, Director of Internal Audit
    - Chris Middleton, Unknown, Night Supervisor

* 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?

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?
  - Chris Middleton is stealing every pen on the third floor.

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