



**Secretary of State Audit Recommendations Checklist**  
**January 28, 2015**

SPECIFIC AUDIT RECOMMENDATION	DONE	TRIMET ACTION TAKEN
<b>Administration and Oversight</b>		
1. Consider implementing a hotline or other function to enable employees to make reports of fraud, waste, or abuse of district resources.	✓	Implemented an employee hotline in September 2014. A six-month status report will be presented to the TriMet Board in March 2015.
2. Consider publishing results of internal and external reviews and audits (both performance and financial) on its website.	✓	Began posting all external audits to the Transparency and Accountability Center on the TriMet website and all internal audits are submitted to the Accountability Committee for review.
<b>Financial Challenge</b>		
3. Continue to consider including a specific strategy for addressing the Other Post Employment Benefits (OPEB) and pension liability in the Strategic Financial Plan.	✓	TriMet Board adopted pension and OPEB funding guidelines as part of TriMet's Strategic Financial Plan in July 2014.
<b>Labor-Management Relationship</b>		
4. Consider holding formal meetings with the Union outside of contract negotiations in order to help address ongoing financial and operational challenges.	✓	Union leaders and executive board members participated in a number of meetings on a variety of topics including the Strategic Financial Plan, Hours of Service (HOS) Policy, and operator work schedules. In the new labor contract there are provisions for Labor/Management meetings to be called on topics of mutual interest.
5. Consider identifying strategies for improving two-way communication and the relationship between TriMet management and frontline employees.	✓	Implemented Continuous Improvement (CI) Teams with frontline employee participation. Currently there about a dozen teams. Launched Bus Operator Gateway (online operator communication tool) in October 2014. Completed remodel of Operations Headquarters which was designed to provide more open communication. Completed communication training for all Transportation managers and supervisors in December 2014.
6. Consider employing strategies other transit agencies, such as the MTA, have identified to better communicate and engage frontline employees.	✓	Reviewed MTA and other industry strategies. Best practices were identified and an implementation plan was developed. Examples of strategies include quarterly 'brown bags' for operators and the development of an employee satisfaction survey.
<b>Transparency and Engagement</b>		
7. Consider identifying ways to communicate to participants how their input affected decision-making and explaining the decision in a clear and timely way.	✓	Developed a process to provide feedback on how public input is used. This method was used in the development of the Orange Line complementary bus service plan and included feedback being posted online and shared at follow-up open houses.
8. Consider conducting the Attitude & Awareness (A&A) Survey every year to better track satisfaction with its services.	✓	Resumed A & A Survey in fall 2014. Will conduct surveys annually in addition to "tagging" onto other surveys throughout the year.
9. Continue to develop the Accountability Center web page and solicit public feedback to identify additional information of interest to the public.	✓	Conducted online survey to solicit public feedback on the Transparency and Accountability web page from June – July 2014. Posted summary of the comments online in September and made adjustments to the site based on input received. Changes included reorganizing and adding to the existing content.
<b>Route Planning</b>		
10. Consider adopting service guidelines to ensure consistency in how it identifies and executes service changes.	✓	TriMet Board adopted Service Guidelines Policy in December 2014. The General Manager adopted the Service Guidelines Framework on January 14, 2015 after public comment was received and incorporated.
11. Consider reexamining current processes for determining work shifts to ensure adequate time for operator breaks.	✓	Created ongoing CI Team with operator participation. A process was developed to routinely review 1 – 2 major lines and other lines for schedule improvements during each operator sign-up. First improvements were made on Line #71 in June 2014 with lines identified each quarter for review and adjustment.
12. Consider working with operators to address the adequacy of bathroom facilities.	✓	Added operators to existing Operator Restroom Needs And Implementation Team in January 2014. The process allows for frontline input on restroom locations in need of improvement. Six upgrades were made in 2014.



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<b><i>Sign-ups, Hiring Practices, Evaluation and Training</i></b>		
13. Consider improving the method for receiving scheduling feedback from operators, and communicating to operators whether TriMet can address the issue.	✓	Initiated an ongoing Schedule Reliability Improvement Process Team that includes union executive board officers. Created a process for reviewing schedules at regular intervals and provided operators additional access through the online Operator Gateway to share concerns and readily gain feedback on actions taken.
14. Consider working with the Union to identify and evaluate alternative strategies to reduce the complexity and cost of bus operator signups.	✓	Negotiated an agreement with ATU and a pilot is underway that is intended to offer operators improved choices of work and simplify the bidding process for operators.
15. Working with the Union to consider ways to change entry-level hiring practices for maintenance employees to allow for hiring applicants with prior training or experience.	✓	Gained ability through the new labor contract to have up to half of the apprentices and up to five journey workers annually hired from outside of the agency.
16. Consider formally documenting bus operator recertification program by adding it to the standard operating procedures (SOP).	✓	Approved final SOP in July 2014.
17. Consider developing a formal evaluation process for all frontline employees that includes written constructive and positive feedback when warranted.	✓	Began a process for managers to meet individually with operators to talk about performance as part of operators' annual recertification training. The Operator Personal Profile summary was updated to include written feedback. Experience from this process will be used to develop a program for maintenance and supervisory employees.
<b><i>Safety</i></b>		
18. Consider whether all of the recommendations in the Safety Task Force Report are adequate.	✓	Completed review of the Task Force report in October 2014. Acknowledged all 19 Task Force recommendations have been completed.
19. Consider evaluating the safety committees to ensure that they are effective and better communicating their purpose to frontline employees.	✓	Evaluated safety committee effectiveness. Improvements include: promotion in employee newsletters, posting safety committee minutes on bulletin boards, regular attendance of managers at safety committee meetings, and training for safety committee members.
20. Consider further communications with frontline employees to explain the Request for Safety Assessment (RSA) process, including its purpose and merits to frontline employees.	✓	Developed and implemented a communication campaign in spring 2014. Improvements include a more user-friendly form and easier access to reporting concerns and tracking progress.
21. Consider continuing work with the Union to establish a comprehensive hours of service (HOS) policy that covers all safety sensitive positions.	✓	Approved new bus operator HOS policy which is reflected in the new labor agreement. Revised HOS policy has been completed for rail operators.
22. Consider working with the union to develop a policy for bus operators to ensure they are fit to operate a vehicle before their shift.	✓	Supplemented the existing practice of reviewing an operator's "fitness for duty" when they sign-in for work with a pilot program in the fall of 2014. This process formally records and tracks fitness for duty from a sample of operators each day. Review of the pilot will determine the most effective practices to use.
23. Consider discussions to address employee perceptions about safety and communicating practices TriMet is working on to mitigate safety risks.	✓	Completed 4 <sup>th</sup> year of safety recertification training for all operators and supervisors. Created Right of Way Worker Safety CI Team. Improved ability for operators to access and provide safety information through the Operator Gateway. Began Safety Management System Training for managers and supervisors in December 2014.