

METRO FRAUD AND ETHICS HOTLINE AND CASE MANAGEMENT SERVICES SCOPE OF WORK

Background

Bi-State Development Agency (d/b/a as “Metro”) was created in 1949 through a compact between Missouri and Illinois and ratified by the United States Congress. The compact and its enabling legislation provide broad powers that enable Metro to cross local, county, and even state boundaries in its efforts to enhance the region. It currently serves the City of St. Louis, St. Louis County, and St Clair County in Illinois, covering approximately 3,600 square miles and more than 200 municipalities and taxing districts.

Metro has the power to plan, construct, maintain, own, and operate specific public works facilities including bridges, airports, wharves, docks, grain elevators, and air, water, rail and other terminal community storage areas in addition to serving as owner and operator of the area’s public transportation system.

It is governed by a ten-member Board of Commissioners, appointed by the governors of Missouri and Illinois to alternating five-year terms without pay. Metro has no taxing authority, but it is a “quasi-public” agency authorized to issue industrial revenue bonds, collect fees, and receive funds from federal, state, local, and private sources.

Work to Be Performed

Metro wishes to retain a company to develop, implement, and provide Ethics, Conflict of Interest, Fraud, and Corruption Hotline Reporting. This service will be made available to Metro’s employees, Board of Commissioners, suppliers, and supporting contractors; and Incident Case Management services to Metro managers through telephone, Internet, and Intranet access. These services must be available 24 hours a day, 7 days a week.

Period of Performance

Services will be provided for one year, with two 1-year renewable option years.

General Requirements

1. Metro has approximately 2,600 employees in Missouri and Illinois who will contact the helpline telephonically or electronically (web form), and either file an original report or engage in a general inquiry.
2. Bid prices for each line item must be submitted on a fixed price, cost per case basis for the entire one-year period and for the two option years.

Scope of Work

The following items are included within this Scope of Work (“SOW”):

1. Incident Reporting – Reporting methods are available to all employees 24 hours per day, 365 days per year and allow for various methods for follow-up support for both named and anonymous reporters. All incident data is retained and available for a minimum of thirty-six (36) months from the date of the original report’s closure date. All incident data is translated into (if necessary), and retained in English. All calls or web incident reports will originate within the continental U.S.

1.1. Telephonic

- 1.1.1. Incident reporting calls will be placed using a toll-free number for use throughout Missouri and Illinois. If applicable, Vendor can assume ownership of an existing number for incoming calls.
- 1.1.2. Automated Welcome Message - Standard, pre-recorded message validating to the caller that they have reached the appropriate phone number.
- 1.1.3. Call Greeting – Call greeting can be customized with the specific name of Metro’s incident reporting program. Call greetings must not exceed 30 seconds.
- 1.1.4. Custom Questions – In addition to a standard proprietary incident reporting script developed by Vendor, Metro may request up to 5 additional custom questions.
- 1.1.5. Dissemination – Incident reports can be disseminated to least 10 named recipients via email, or Extensible Markup Language (XML) file by email or File Transfer Protocol (FTP). Pretty Good Privacy (PGP) encryption is desired for email transmissions.
- 1.1.6. Escalation – Escalation is based on a 3-tiered escalation criteria (e.g., High, Medium, and Low priority).
 - 1.1.6.1. For High priority incident reports (i.e., incidents requiring Metro’s immediate action due to potential threat to a person, property, or environment), Vendor must immediately escalate initial report to up to three (3) Metro contacts, by telephone only, prior to completing the report in the Vendor’s incident reporting system.
 - 1.1.6.2. For Medium priority incident reports (i.e., incidents requiring Metro’s prompt, but not immediate, action), Vendor completes the report in the Vendor’s incident reporting system and then alerts Metro’ designated recipients via email.
 - 1.1.6.3. For Low priority incident reports (i.e., incidents that do not require Metro’s immediate action), Vendor completes the report in the Vendor’s incident reporting system and then alerts Metro’ designated recipients via email.

- 1.1.7. Incident Report Response/Follow-Up Reports – The initial incident report and any follow-up reports must include an Incident Report Control Number and access code provided to the Incident Reporter during his/her initial call. In addition, the Report will include a date given to the Reporter to call back for any follow-up status.

If Metro wishes to provide a follow-up response to the Reporter, Metro will need to upload the response to the Case Management Application account before the designated follow-up date. Metro' response to the Reporter may include, but need not be limited to, additional questions concerning the reported information, a statement concerning the status of the investigation of the reported information, or a request that the Reporter contact an internal Metro representative.

If the Reporter makes a follow-up call to the Incident Reporting System phone number and can provide the Report Control Number and access code, the Vendor's customer service agent will read Metro' response to the Reporter. If the Reporter provides additional information, the Vendor's customer service agent will prepare a follow-up report containing the additional information, upload the report to Metro' Case Management Application account, and email the report or a report notice to Metro' designated Report Recipient(s).

- 1.2. Facility Locations – The full addresses of Metro's facility locations will be provided to the Vendor for uploading into Vendor's incident reporting system.

- 1.3. Incident Codes – The following standard incident codes are required:

- a. Accounting/Audit Irregularities
- b. Computer Security Issues
- c. Conflicts of Interest
- d. Metro Credit Card Abuse
- e. Customer Relations
- f. Discrimination
- g. Employee Relations
- h. Facility/Physical Security Issues
- i. Falsification of Agency Records
- j. Fraud
- k. Fraudulent Insurance Claims
- l. General Harassment
- m. Improper Loans to Executives
- n. Kickbacks
- o. Policy Issues
- p. Release of Proprietary Information
- q. Retaliation of Whistleblowers
- r. Safety Issues
- s. Sanitation Issues
- t. Security Issues
- u. Sexual Harassment

- v. Substance Abuse
- w. Theft of Cash
- x. Theft of Goods/Services
- y. Theft of Time
- z. Unauthorized Discounts
- aa. Unauthorized Gifts or Gratuities
- bb. Wage/Hour Issues
- cc. Workplace Violence/Threats

If the Vendor has additional incident codes, or includes one or more incident codes as part of another incident code name, the Vendor must list them in their response.

- 1.3.1. Incident Code Definitions – Text describing each Incident Code will default to those provided by the Vendor but can be customized for Metro-specific needs.
- 1.4. Incident Report Web Form – Vendor must provide standard employee-facing, web-based method allowing Metro employees, suppliers, and supporting contractors to enter incident reports and responses to certain critical questions in order to capture and centralize all reported incidents. Access to must be provided through Metro' Internet and Intranet web sites.
 - 1.4.1. Branding – Vendor will upload personalized logo provided by Metro.
 - 1.4.2. Incident Codes – See section [1.3](#) above
 - 1.4.3. Custom Questions – See section [1.1.4](#) above.
 - 1.4.4. File Attachments – Supporting documentation in the form of electronic files can be attached to a reported incident. No more than 10 files can be attached to a single incident report and combined size of attached files cannot exceed 10 MB. No single attached file should exceed 3 MB.
- 1.5. Incident Report Response/Follow-Up Web Form – Vendor must provide standard Web-based access allowing Metro managers to enter responses to certain critical questions in order to capture and centralize all reported issues.
 - 1.5.1. Branding – Vendor will upload personalized logo provided by Metro.
 - 1.5.2. Incident Codes – See section [1.3](#) above
 - 1.5.3. Custom Questions – See section [1.1.4](#) above.
 - 1.5.4. File Attachments – Supporting documentation in the form of electronic files can be attached to a reported incident. No more than 10 files can be attached to a single incident report and combined size of attached files cannot exceed 10 MB. No single attached file should exceed 3 MB.
- 1.6. Incident Reporting (Vendors are allowed to fulfill these requirements separately under a separate Case Management services section).

1.6.1. Activity Detail Report – Distributed monthly via email to Metro-designated recipients, this report contains the following fields for each individual event within the most recently completed month:

- Location
- Report Number
- Date of Incident
- Incident Status
- Issue Type
- City
- State
- Previously Reported to Management (Yes/No)
- Incident Summary

1.6.2. Summary Report – Distributed monthly via email to Metro-designated recipients, this report contains monthly and year-to-date summaries of:

1.6.2.1. Incident Report Activity

- Anonymous vs. non-anonymous incidents
- Escalated incidents
- Incidents previously reported to management reports
- Incident Status

1.6.2.2. Call Activity

- Total calls
- Original incident reports
- Caller callbacks
- Client follow-up

1.6.2.3. Issue Type Summary

- Call number
- Percentage by Incident Code
- Incident Status

1.6.3. Standard Report Library - Metro users have the ability to select Vendor-provided standard reports, apply filters to those reports, and produce reports for print or electronic distribution.

1.6.4. Report Wizard – Metro users have the ability to create, save, and share custom reports to display specific details, summary overviews, or graphical representations.

2. Case Management – The goals for Case Management are to:

- Ensure that every incident, regardless of how it is reported, is centrally managed and everyone involved knows what needs to be done, and is resolved in a timely manner.

- Provide a comprehensive view of all incident activity across Metro, offering an audit trail of every incident from allegation to investigation to resolution, allowing instant analysis and the ability to address critical issues quickly. All case management data is retained and available for a minimum of thirty-six (36) months from the case closed date.
- 2.1. All case information is to be displayed, retained, and reported on in English.
 - 2.2. Incident Data – The Case Management system will automatically populate with all incident data from all available network incident-reporting mechanisms/services purchased by Metro.
 - 2.3. Initial User Setup – Vendor will create initial user profiles, standard roles (Administrator, Case Manager, and Investigator) and at least three (3) customized work groups and workflows.
 - 2.4. Location Hierarchy – Vendor will configure system with the Metro’s facility locations and organizational hierarchy.
 - 2.5. Standard Portal and Dashboard Implementation – Vendor must provide Metro users with a gateway to the Case Management system.
 - 2.6. Branding – Vendor will upload personalized logo provided by Metro.
 - 2.7. Workflows – Case Management will utilize the Vendor’s own defined standard best practice workflows for the incidents types identified in section [1.3](#) above.
 - 2.8. Business rules – Case Management will be configured with the following Vendor-defined standard best practice business rules for :
 - 2.8.1. Notification upon Case Assignment (no conditionality applied).
 - 2.8.2. Notification upon Response/Follow-up Received (no conditionality applied).
 - 2.9. System Configuration – Vendor will work with Metro to configure the following:
 - Case Class
 - Status Types
 - Priority Types
 - Risk Types
 - Outcome Types
 - Disposition Types
 - File Categories
 - Notes Categories
 - Involved Party Types Categories.
 - 2.10. Reporting and Analytics
 - 2.10.1. User Permissions – Metro must have the ability to grant access to Reporting and Analytics to any user that has a login to Case Management.

- 2.10.2. Standard Reports – Reporting and Analytics will be configured with the following Vendor-defined standard best practice reports that cover:
 - 2.10.2.1. Activity by Location
 - 2.10.2.2. Activity by Hierarchy
 - 2.10.2.3. Case Status Count
 - 2.10.2.4. Cases Closed in Last X Days
 - 2.10.2.5. Workload by Assignee
 - 2.10.2.6. Cases due in Next X Days
- 2.10.3. Standard Dashboard Widgets – Reporting and Analytics will be configured with Vendor-defined standard best practice dashboard web-based widgets that cover:
 - 2.10.3.1. Activity by Hierarchy
 - 2.10.3.2. Case Status Count
 - 2.10.3.3. Cases Closed in Last X Days
 - 2.10.3.4. Workload by Assignee
 - 2.10.3.5. Cases Due in Next X Days
- 2.10.4. Metro requires the ability to create custom reports utilizing the Vendor's standard templates.
- 2.10.5. Metro desires to have the ability to create custom dashboard widgets from their custom reports.
- 2.10.6. Customizable Default Dashboard Roles – Vendor will work with Metro to determine the naming convention for up to 5 default dashboard roles to be used in Reporting and Analytics. (Building of the default dashboards will be done by Metro staff assigned to those roles.)
- 3. System Administration – Two (2) Metro Administrators will be identified for adding or deleting Administrator, Case Manager, and Investigator users, resetting passwords, and running ad-hoc reports.
- 4. Employee Communication and Awareness (**all items are optional and separately priced**) - Vendor will prepare ready-made electronic versions of print media to educate and promote ethics hotline and ethics program to Metro employees. Metro will utilize Vendor's standard materials with only minimal customization. Since Metro has its own in-house print center, Vendor will authorize reproduction and provide originals in Adobe PDF format. Metro will provide its logo in color in the Vendor's desired electronic format as much as possible.
 - 4.1. Web Landing Page – Themed Web page displaying program message, telephonic Incident reporting number(s), and Uniform Resource Locator (URL) for Incident Report Web Form (see section [1.4](#) above). Configurable components include Metro' specific list of Reportable Activities.

- 4.2. Employee Email Templates:
- 4.2.1. Employee Template – Vendor will provide a draft message to be used in a Metro-administered email campaign notifying employees of program.
 - 4.2.2. Manager Template – Vendor will provide a draft message to be used in a Metro-administered email campaign encouraging managers to promote program among employees.
- 4.3. Overview Presentation – Vendor will provide their standard PowerPoint presentation template to be used in a Metro-administered incident reporting awareness campaign.
- 4.4. FAQs – themed file containing questions frequently asked about incident reporting programs. .
- 4.5. Brochure with Wallet Card – Themed tri-fold brochure (8.5” by 11”) with removable wallet card displaying program message, telephonic Incident reporting number(s), and URL for Incident Report Web Form (see section [1.4](#) above). Configurable components include Metro-specific list of Reportable Activities.
- 4.6. Program Poster – Vendor will provide a themed program poster (11” wide by 17” tall) displaying incident reporting program message, telephonic Incident reporting number(s), and URL for Incident Report Web Form (see section [1.4](#) above).
- 4.7. Other Topical Posters – Metro may select four (4) posters (11” wide by 17” tall) for display from Vendor’s library of Vendor-developed posters.
- 4.8. Introductory Letter and Envelope – Vendor will provide a single-page letter for promoting the incident-reporting program to Metro employees and contractors. Configurable components include:
- 4.8.1. Metro Letterhead – Metro will provide letterhead in monochrome and color in the vendor’s desired electronic format as much as possible.
 - 4.8.2. Signature – Metro-provided image of signature from Metro program promoter.
 - 4.8.3. Letter Content – Vendor will supply sample messaging that can be used by Metro or Metro can provide corporate messaging to be used.
 - 4.8.4. Envelopes – Metro will provide its own #10 size pre-printed envelopes for this mailing.
5. Training – Vendor will provide role-based Incident Reporting and Case Management training to Metro’ Administrators (2), Case Managers (up to 10), and Investigators (up to 10). The Vendor will host all courses through webinars, or the Vendor’s own in-line training system or website.

6. Implementation Methodology - Once this SOW is awarded with a subsequent contract award, Vendor will follow Vendor's standard implementation approach to ensure the timely delivery of a solution that meets or exceeds all defined Metro' requirements. Based on product selection and complexity of implementation, these steps may be conducted by email, phone, or in-person meetings. Steps of this approach will include:

- 6.1. Establishment of Vendor and Metro project teams.
- 6.2. Implementation kick-off to outline the implementation process, develop a project schedule, and set the tone for the project.
- 6.3. Assessing and defining Metro' needs.
- 6.4. Making recommendations based on Vendor's best business practice experience (as needed).
- 6.5. Defining required system configuration.
- 6.6. System testing and user acceptance testing.
- 6.7. Administrator and end-user training (as needed).
- 6.8. Metro rollout and post-implementation validation.
- 6.9. Post rollout support for up to 30 days after go live.

7. Fees and Payment Schedule - All Pricing is based upon the Scope of Services defined above as well as any assumptions listed in section 8 below.

7.1. Annual Fees

7.1.1. Incident reporting Services: Fees can be quoted as:

7.1.1.1. \$_____ per year, based on 2,600 employees in Missouri and Illinois; or

\$_____ per incident report, based on 50 incidents/year

7.1.1.2. \$_____ for base/minimal Service fee

7.1.2. Case Management Services: \$_____ per year, which includes 10 named User licenses.

7.1.3. Total Annual Recurring Fees: \$_____ per year.

7.2. Training:

7.2.1. \$_____ per Administrator course

7.2.2. \$_____ per Case Manager course

7.2.3. \$_____ per Investigator course

7.3. Employee Awareness (optional)

- 7.3.1. Web Landing Page Set-up Fee: \$_____
- 7.3.2. Email Template Fee: \$_____
- 7.3.3. Overview Presentation Fee: \$_____
- 7.3.4. FAQ Fee: \$_____
- 7.3.5. Brochure/wallet card Fee: \$_____
- 7.3.6. Program Poster Fee: \$_____
- 7.3.7. Topical Poster Fee: \$_____ per poster; \$_____ for 4 posters

7.4. Implementation (One-Time) Fees

- 7.4.1. Telephonic Incident reporting Set-up Fee: \$_____
- 7.4.2. Web Incident reporting Set-up Fee: \$_____
- 7.4.3. Case Management Set-up Fee: \$_____
- 7.4.4. Training Set-up Fee: \$_____
- 7.4.5. Employee Awareness Fee: \$_____
- 7.4.6. Total One-Time Set-up Fees: \$_____

7.5. Implementation Fees described herein are subject to change based on the Change Management process described in section 9 below.

7.6. Payment Schedule – Implementation fees will be billed upon completion of all required implementation tasks, the specified services have become operational, and Metro has confirmed final user acceptance. Annual and Additional Fees are billed annually in advance of providing services. If incident report volume exceeds transactional limits, additional per report fees will be invoiced monthly. Metro shall pay invoiced amounts within thirty (30) days after receipt of invoice.

8. Definitions/Assumptions

- 8.1. Telephonic Report – A telephone call that alleges a violation of Metro’ standards of conduct.
- 8.2. Web Report – A report that is entered via the web and does not require a telephonic interview.
- 8.3. General Inquiry – A call that does not allege a violation of Metro’ standards of conduct, such as benefits questions, payroll questions or any other matter for which Metro requires Vendor to refer the person making the call to a Metro department.

8.4. All business conversations and training will be conducted in English unless otherwise agreed to by both parties.

9. Change Management

SOW Change Request Process. Scope control is a priority during the term of this SOW. A Change Request ("CR") is defined as a written agreement between the Parties for additions, modifications, or deletions to this SOW. The following provides a detailed procedure to follow if a change to this SOW is desired. The Parties will handle all proposed changes through the following process:

- 9.1. Metro and/or Vendor will identify a desired change and give the other Party a written notice thereof ("Notice of Proposed Change").
- 9.2. Vendor will determine the impact of the desired change on Project scope, schedule, and/or budget, and will provide Metro with a written statement of such impact ("Statement of Impact") concurrently with any Notice of Proposed Change given to Metro or within a commercially reasonable time after either Party documents a Notice of Proposed Change.
- 9.3. Metro will review the Statement of Impact and may request additional information. Vendor may specify commercially reasonable fees to be charged, if any, to reimburse Vendor for expenses to be incurred in providing such additional information with respect to any Notice of Proposed Change initiated by Metro.
- 9.4. If both Parties desire to implement the proposed change, the Parties will jointly develop a CR describing the proposed change and the rationale for such change. If the CR is acceptable to both Parties, the Metro and Vendor will each sign and deliver the CR to the other, which will then constitute the Parties' binding agreement to the proposed change and any associated fees provided for therein.
- 9.5. Vendor will invoice Metro for any additional charges provided for in the CR.

ATTACHMENT 1 – Standard Ethic Hotline Allegations Definition List

Allegation	Definition
Discrimination	Statements or actions based on age, race, color, national origin, sexual orientation, gender, disability, or religion that are the basis for employment, promotion, or compensation decisions.
Harassment – Sexual	Statements or actions expressing unwelcome sexual advances, requests for sexual favors, unsolicited physical contact or propositions, unwelcome flirtations, or offensive verbal or visual expressions or physical conduct of a sexual nature.
Harassment – Workplace	Persistent statements, conduct, or actions that are uninvited, degrading, offensive, humiliating, or intimidating and create an unpleasant or hostile environment.
Retaliation or Retribution	Statements or actions discharging, demoting, suspending, threatening, harassing or discriminating against an employee because of any lawful act taken by such employee in connection with reporting a violation of law or policy, filing a complaint, or assisting with an investigation or proceeding.
Conflict of Interest – Personal	Any personal interest, any business or professional activity or relationship, prior or current employment, or any obligation that may interfere with the ability to objectively perform job duties and responsibilities or impair independence and objectivity.
Inappropriate Behavior	Statements or actions that are not harassing in nature, but are believed to be unsuitable for the workplace.
Unfair Employment Practices	Employment decisions, practices or disciplinary actions that are believed to be unfair regardless of whether they are the result of job performance, changes in business needs or other business related decisions.
Environment, Health and Safety	Conduct, actions, policies or practices that either violate local, provincial or federal environmental, health or safety laws or regulations or may cause or result in potentially hazardous conditions that impact the environment or the health or safety of employees, customers or others.
Substance Abuse	The unlawful use, possession, sale, conveyance, distribution, concealment, transportation or manufacture of illegal drugs, intoxicants, controlled substances or drug paraphernalia in the workplace or while conducting business.
Threats and Physical Violence	Statements or actions that threaten acts of violence or the presence of weapons, firearms, ammunition, explosives or incendiary devices in the workplace, on work premises or in work vehicles
Accounting and Auditing Practices	Statements or actions that violate or conflict with either internal policies, procedures, or practices or government regulations related to the detailed reporting of the financial state or transactions of an organization or the examination, verification, or correction of its financial accounts.
Conflict of Interest – Financial	Any financial interest, any business or professional activity, prior or current employment, or any obligation that may interfere with the ability to objectively perform job duties and responsibilities or impair independence and objectivity.
Gifts, Bribes and Kickbacks	Payments, payments in kind, gifts, bribes, extensions of credit or benefits extended to or received by customers, employees, suppliers, vendors, competitors, directors, officers, auditors, government employees, government officials or agencies, or other parties that are unlawful, improper, or designed to influence business decisions or political processes.
Trading on Inside Information	The purchase, sale of stock, or other securities based on non-public and material information obtained during the course of employment or providing such information to another person who purchases, sells stock, or other securities based upon that information.
Customer Relations	Statements or actions that are negatively impacting or interfering with customers, customer relationships, or customer agreements.
Disclosure of Confidential Information	The unauthorized or illegal disclosure, copying, duplication, misuse or release of confidential or personal data including but not limited to employment, financial, medical and health, customer lists, contracts, business plans, personnel records or other property marked or generally regarded as confidential or trade secrets.

Allegation	Definition
Misuse of Resources	The improper, unauthorized, or unlicensed use of property or resources for non-business related reasons or purposes including improper use of systems and timekeeping.
Theft	The unauthorized removal or taking of supplies, equipment, furniture, fixtures, products, cash, merchandise, or other tangible property.
Guidance Request	Request for guidance, interpretation, or other information regarding matters of law, regulations, or policies.
Other	Statements actions or policies that concern the caller but are not currently resulting in harm, injury, or corporate liability and cannot be included in any other category.
Antitrust or Fair Trading	Discussions or agreements with competitors about prices or credit terms, submission of bids or offers, allocation of markets or customers, restrictions on production, distribution or boycotts of suppliers or customers that would result in monopolization or anticompetitive markets.
Espionage or Sabotage	Actions that result in the gathering, receipt or acceptance of non-public confidential information or trade secrets about competitors to gain a competitive advantage or the deliberate destruction, disruption or damage to a competitor's equipment or property for competitive advantage or gain.
Falsification or Destruction of Information	Statements or actions that encourage or result in unlawful, untimely, false, or intentional misrepresentation, concealment or destruction of information in order to deceive or mislead.
Quality Control	Complaints about product or service quality or effectiveness; allegations of product tampering; violation of policies and practices for manufacturing controls; allegations of non-compliance with product standards or service delivery.