



Statement of Whistleblower Protection

Purpose

The RTA has a strong commitment to the conduct of its business in a lawful and ethical manner. The RTA's Policy is designed to be in compliance with the Whistleblower Act (740 ILCS 174), and this policy shall be interpreted subject to the standards in the Whistleblower Act. The Whistleblower Act protects every citizen, including state and local government employees, when they blow the whistle on government corruption. It is the practice of the RTA not to allow retaliation for reports of wrongdoing, fraud, corruption or waste made in good faith and it is the duty of every RTA employee to report suspected improprieties. It is, at the same time, unacceptable to file a report knowing it is false. This policy statement shall be included in the RTA's employee handbook and posted on the RTA's website.

Persons Covered

All members of the RTA Board of Directors ("Directors") and employees, as well as grantees, contractors and vendors of the RTA, are protected under this Policy when reporting suspected improprieties.

Types of Complaints

The following suspected improprieties should be reported:

1. Violations of laws and regulations applicable to the RTA;
2. Contract and procurement fraud or collusion involving contracts with RTA contractors, subcontractors, suppliers or vendors;
3. Misuse, embezzlement, or theft of RTA property or funds;
4. Bribery and acceptance of gratuities in connection with authorized RTA operations or transactions with suppliers, contractors, subcontractors and vendors;
5. Employee misconduct, such as misuse of official position and acceptance of unauthorized gifts;
6. Conflicts of interest, such as an employee doing business with the RTA under a different name; and
7. Other unethical or illegal activities involving RTA property, employees, agents, contractors, subcontractors, vendors or suppliers, such as, identity theft, check fraud, or violation of computer crime statutes.

Duty to Report

It is the duty of every RTA Director and employee to report suspected violations of the Policy of which they are aware, and failure to act will lead to disciplinary actions. It is impermissible to file a report knowing it is false. Any employee who violates this prohibition will be subject to discipline in accordance with RTA policy up to and including termination.

Reporting Complaints

Suspected Policy violations or illegal acts may be reported in the following manner:

1. RTA employees may speak with their direct supervisor.
2. RTA employees and third parties may call the RTA's hotline at (312) 913-5522. Calls to the hotline may be made anonymously. The calls will be forwarded promptly to the RTA Ethics Officer.
3. A complaint may also be reported electronically online or via the RTA intranet.

Confidentiality of the complaints received by the RTA Ethics Officer will be maintained to the fullest extent possible, consistent with the need to conduct an appropriate review. When possible, the RTA Ethics Officer will notify the complainant and acknowledge receipt of the reported violation within seven business days of receipt of the complaint. The RTA Ethics Officer will maintain a log of all complaints that are received, tracking their receipt, investigation, and resolution. This information will be reported to the RTA Audit Committee on a quarterly basis.

Accounting and Auditing Matters

The RTA Ethics Officer shall refer action relating to concerns and complaints regarding the RTA's accounting practices, internal controls and auditing to the Audit Committee. The RTA Ethics Officer shall work with the Audit Committee until the matter is resolved.

Prohibition Against Retaliation

It is essential that RTA employees and others be able to report suspected Policy violations or illegal activity that they observe at the RTA without fear that they will lose their job, impede their ability to advance at the RTA, or otherwise be subject to retaliation by co-workers, supervisors and others. For purposes of this Policy, retaliation includes any of the following actions:

1. Reducing or restricting an employee's duties or responsibilities;
2. Failing to promote or give a raise to an employee who, were it not for the report of non-compliant activity, would have received a promotion or raise;
3. Terminating an employee; or
4. Taking any similar action that is intended to retaliate against or "pay back" an employee for a report of non-compliance.

Those companies that have entered into a contractual relationship with the RTA are also covered under this Policy. The RTA is prohibited from terminating or modifying the existing contract(s) or grant(s) of any third party in retaliation for reporting suspected violations, unless the violation relates to such contract(s) or grant(s), and the RTA shall take all reasonable steps to protect the identity of employee of any vendor who files a complaint hereunder.