

Date: 9 March 2015

**Item : Review of TfL's Independent Reporting Lines for Year
Ended 31 December 2014**

This paper will be considered in public

1 Summary

- 1.1 This paper provides an update on reports to the independent reporting systems SafeLine and CIRAS (Confidential Incident and Reporting and Analysis System) during 2014.

2 Recommendation

- 2.1 **That the Committee note this paper.**

3 Background

- 3.1 Since 2004, arrangements have been in place to provide an external independent reporting mechanism for anyone who works for TfL to raise concerns within a safe environment. The external reporting line is operated by a contractor and branded as 'SafeLine'. The contract is managed within General Counsel and the contract manager is the first point of contact by the contractor once a report has been received.
- 3.2 Staff and contractors can raise concerns about any aspect of TfL's activities. This includes concerns about the safety of the public and/or staff, fraud or financial issues, harassment, bullying, or discrimination. Also covered would be any decisions, actions, conduct or communications that are unlawful, or in breach of TfL's policies or in significant breach of its core values.
- 3.3 The most common reasons for using a reporting line is that the issue is with the immediate manager of the reporter, is perceived by the reporter not to have been adequately addressed or because of a fear of reprisals.
- 3.4 Matters relating to health and safety for the rail industry can also be reported through the external CIRAS independent confidential reporting system.
- 3.5 The Safeline and CIRAS independent reporting mechanisms are in addition to normal reporting channels. TfL has committed to protect anyone who raises such matters, provided the disclosures are made without malice and in good faith, regardless of whether the concern raised is upheld.

Operation of the SafeLine External Reporting Line

- 3.6 The contract for the management of the external reporting line is held by Crimestoppers, an independent charitable company. The contract was awarded following a competitive tendering process. for a three year period from 1 March 2014 and TfL has an option to extend the contract by a further 12 months.
- 3.7 Staff and contractors can make reports to the SafeLine service by phone or by an online form. Details of how to report issues both internally and through the SafeLine service are included in the TfL Code of Conduct and on the TfL intranet. An exercise to raise awareness of the SafeLine service was undertaken in March 2014, to coincide with the re-award of the contract to Crimestoppers. Information is provided on TfL's intranet and posters are placed in all offices. A further awareness raising exercise will take place in March 2015.
- 3.8 As part of the ongoing management of the system, the contract manager tests the resilience of the system and has regular meetings with the Crimestoppers commercial manager to provide regular review and assurance. In turn, Crimestoppers submit ad hoc test reports to ensure that reports are being received and sends a monthly summary of the reports received. The TfL and Crimestoppers tests have all yielded satisfactory results throughout 2014.

4 SafeLine External Reporting Line Reports in 2014

- 4.1 SafeLine received 34 contacts during 2014 relating to 23 incidents (that is, 11 of the contacts were either providing additional information or seeking an update on an existing reported incident). The number of reports received in 2014 is significantly lower than in 2013. This is largely because the 2013 reports relating to integrity and fraud contained a number of reports not directly related to TfL, such as allegations of metal theft from Network Rail and illegal workers employed by contractors or by tenants at stations.
- 4.2 All allegations reported are investigated, either by the appropriate officer in Human Resources or a member of the Fraud team in Internal Audit. While investigations may not find any evidence to support the initial allegation, they may give rise to lessons to be learned and often serve as an opportunity to raise awareness of good practice.
- 4.3 The table below provides a summary of the nature of the issues involved.

Category	2013 Reports	2014 Reports
Integrity (including Fraud)	37	7
Health and Safety	0	2
Human Resources	11	14
Total	50	23

Integrity and Fraud

- 4.4 All of the 2014 cases relating to integrity and fraud were about alleged wrongdoing by individuals and did not identify any systemic issues or relate to large sums of money. They concerned allegations of an individual receiving sick pay that they were not entitled to, an individual using fake references, an employee not declaring a second job, an employee divulging information to a journalist, staff not working full shifts, the content of a letter written by an employee in a publication and a manager asking staff to claim they had attended training so that internal targets were met. With the exception of the last item, which is still being investigated, the nature of the allegations were not substantiated. Where appropriate staff were reminded about their conduct and procedures.

Health and Safety

- 4.5 There were two health and safety issues raised, the observance of fire regulations and intimidation of contractor staff, thus reducing their willingness to raise health and safety concerns. Investigations were carried out but no evidence was found to support the allegations. However, the opportunity was taken to remind managers and staff of best practice and how to raise concerns.

Human Resources

- 4.6 The Human Resources issues related to:
- (a) allegations of bullying, including the use of homophobic and sexually inappropriate language;
 - (b) alleged unfair employment practices relating to restructuring, internal opportunities, disciplinary processes, handling of appeals and investigation of claims of disability discrimination; and
 - (c) an allegation contravention of TfL's Drugs and Alcohol policy.
- 4.7 These incidents have all been investigated in line with TfL's Policies and Procedures. Two cases relating to employment practices have resulted in action being taken, with one matter still ongoing. The rest of the claims have not been substantiated but staff have still been reminded of their responsibilities, HR policies and in one case further training was provided on bullying and grievance procedures.

Other issues

- 4.8 In addition to the SafeLine reports, TfL is informed of relevant incidents reported to the main Crimestoppers number, which are sent to the police. In 2014, there were four incidents (five reports). These related to claims that a member of staff was selling pirated DVDs, two staff were not logging but selling some lost property and an allegation that two taxi drivers were fighting.

5 CIRAS

- 5.1 Through London Underground, TfL has membership of CIRAS. This is an independent confidential reporting system for matters relating to health and safety for the rail industry. Any issues raised are reported to TfL's Director of Health, Safety & Environment and are investigated. A response is then sent to CIRAS and the outcome published in the Report Library on the CIRAS website.
- 5.2 In 2014, CIRAS received 19 reports. In all cases a response was provided and satisfactory outcomes recorded. The table below provides a summary of the categories of incidents (three incidents had more than one primary categorisation).

Category	2014 Reports
Equipment/Vehicles	5
Health & Wellbeing	2
Rostering	1
Rules & Procedures	4
Supervision & Management	1
Training & Briefing	5
Work Environment	4

List of appendices to this report:

None

List of Background Papers:

Safeline and CIRAS Reports 2014

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