

TRANSPORT FOR LONDON

AUDIT COMMITTEE

SUBJECT: INDEPENDENT REPORTING LINES

DATE: 7 MARCH 2012

1 PURPOSE AND DECISION REQUIRED

- 1.1 To provide the Committee with an update on the reports to the staff reporting lines in 2011.
- 1.2 The Committee is asked to note this paper.

2 BACKGROUND

- 2.1 Arrangements have been in place since 2004 to provide staff with access to independent reporting lines. This independent reporting mechanism is in addition to normal reporting channels.
- 2.2 Staff and contractors can raise concerns on these independent reporting lines about any aspect of TfL's activities. This includes concerns about the safety of the public and/or staff, fraud or financial negligence, 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.
- 2.3 The internal line is managed within General Counsel and the external line, SafeLine, has been managed since September 2009 by Crimestoppers, an independent company.
- 2.4 The existence of independent reporting lines is an important safeguard that enables staff to raise concerns within a safe environment. TfL has therefore 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.
- 2.5 Raising awareness of the reporting lines service is undertaken at regular intervals. Details of how to contact both internal and external reporting lines is included in the TfL Code of Conduct, which is given to all new staff. In addition to contacting SafeLine by telephone, there is a facility to do so by email.
- 2.6 It is proposed to update the information currently available on TfL's intranet and to re-launch the SafeLine service in 2012 using promotional material provided by Crimestoppers at no cost.

3 REPORTS IN 2011

3.1 There were 35 contacts on the external reporting line in 2011 of which 30 were anonymous. The table below provides a summary of the nature of the issues involved. The breakdown of the categories of concerns raised has seen an increase in reports involving integrity or fraud, although a number of these were not directly related to TfL but involve allegations of metal theft from Network Rail or of illegal workers employed by contractors and were passed to the proper authorities as appropriate.

Category	2010 Reports	2011 Reports
Integrity (including Fraud)	3	19
Health and Safety	0	1
Human Resources	32*	15
Total	35	35

* 1 item may also involve fraud

3.2 The number of calls in 2011 is consistent with the number of reports received in 2010. This is around the average number received in any one year. It has been confirmed by SafeLine that TfL receives less than the average number of calls when compared to other similar organisations.

3.3 SafeLine reports this year have been concerned with a variety of issues:

- (a) accusations of bullying;
- (b) alleged unfair employment practices;
- (c) unresolved tensions in a team;
- (d) alleged unsatisfactory performance by sub-contractor's staff; and
- (e) abuse of drugs.

3.4 The current position of the matters raised is:

- (a) all enquiries have been, or are being, addressed;
- (b) the concluded HR matters were dealt with through managerial action with six reports outstanding; and
- (c) in respect of fraud, theft or lack of integrity, where investigations are complete, insufficient evidence has been found to justify further action in all cases, with four allegations outstanding.

3.5 The reports this year only involved individuals or small groups of people. The monetary sums involved were small in absolute terms.

3.6 The most common reasons that a reporting line is used are that the issue is with the immediate manager of the reporter or because of a fear of reprisals.

- 3.7 As part of the ongoing management of the system, TfL continues to test the resilience of the system (with satisfactory results) and has arranged for quarterly meetings to take place with our Crimestoppers account manager to provide regular review and assurance.

4 RECOMMENDATION

- 4.1 The Committee is asked to NOTE this paper.

5 CONTACT

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