

Date: 6 March 2013

Item 12: Review of TfL's Independent Reporting Line for Year Ended 31 December 2012

This paper will be considered in public

1 Summary

1.1 This paper provides an update on reports to the independent staff reporting lines during 2012.

2 Recommendation

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

3 Background

- 3.1 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.
- 3.2 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.
- 3.3 The internal line is managed within General Counsel and the external line, SafeLine, has been managed since September 2009 by Crimestoppers, an independent charitable company.
- 3.4 The contract with Crimestoppers was due to expire at the end of August 2012 but in order to maintain continuity of service during the Olympic and Paralympic Games an extension of 12 months was agreed, and a competitive tendering exercise is currently underway with a view to awarding a 4 year contract later this year.
- 3.5 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.

3.6 An exercise to raise awareness of the reporting lines service has recently been undertaken with details being highlighted on TfL's intranet and posters being placed in all offices. Details of how to contact both internal and external reporting lines is included in the TfL Code of Conduct. In addition to contacting SafeLine by telephone there is a facility to do so by email.

4 Reports in 2012

4.1 There were 28 contacts on the external reporting line in 2012 and one on the internal line (subsequently repeated on the external) of which 27 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 or by tenants at stations and were passed to the proper authorities as appropriate.

Category	2011 Reports	2012 Reports
Integrity (including Fraud)	19	20
Health and Safety	1	1
Human Resources	15	8*
Total	35	29

*includes 3 reports about the same allegation

4.2 The number of calls received in 2012 is slightly less than the number of reports received in 2011 and is a fall from the last 4 years' average.

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

- (a) accusations of improper conduct;
- (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.

4.4 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, save one where the person complained of could not be traced as an employee,

with no reports outstanding; and

(c) in respect of fraud, theft or lack of integrity, where TfL investigations are complete (or the matter has been reported to the appropriate authorities), insufficient evidence has been found to justify further action in all cases with one allegation outstanding.

- 4.5 The reports this year only involved individuals or small groups of people. Any monetary sums involved were small in absolute terms.
- 4.6 The most common reasons that a reporting line is used are 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.
- 4.7 As part of the ongoing management of the system, TfL continues to test the resilience of the system (with satisfactory results) and has conducted quarterly meetings with our Crimestoppers commercial manager to provide regular review and assurance. Meetings have also been held with Crimestoppers' Operations Director as a result of which TfL's Senior Audit and Investigations Manager - Fraud & Security, has been invited to address Crimestoppers' call operatives so as to more closely align their questions to callers with information that will be helpful to TfL.

List of appendices to this report:

None

List of Background Papers:

Independent Reporting Lines report to Audit Committee 7 March 2012

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