

TRANSPORT FOR LONDON

AUDIT COMMITTEE

SUBJECT: INDEPENDENT REPORTING LINES

MEETING DATE: 23 JANUARY 2008

PURPOSE

- 1.1 To provide the Committee with an update on the progress of the internal and external staff reporting lines.

DECISION REQUIRED

2. The Committee is asked to note this report.

BACKGROUND

3. It was reported to this Committee previously that arrangements had been developed and implemented to provide staff with access to independent reporting lines.
 - 3.1 Concerns can be raised via the independent reporting lines about any aspect of TfL's activities, e.g. safety of the public and/or staff, fraud or financial negligence, harassment, bullying, discrimination, decisions, actions, conduct or communications that are unlawful, in breach of TfL's policies or in significant breach of its core values.
 - 3.2 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.
 - 3.3. The internal line is managed by the Corporate Governance Adviser and the external line is managed by Safecall, a totally independent company.
 - 3.4. These reporting mechanisms are an additional facility and do not replace any others currently in place. The preferred option for reporting concerns in the first instance remains a report to line management and only when this is inappropriate e.g. because the concern is about a manager's activities or previous reports have been unsatisfactorily dealt with are the other reporting mechanisms to be used.

REPORTS in 2007

4. In 2007 there were 32 contacts, of which 16 were anonymous. There was one call via the internal and 31 via the external reporting lines. A summary table is set out below.

Summary of Internal and Safecall Contacts 2007

Category	Reports
Fraud	4
Health and Safety	3
Human Resources	25
Total	32

Summary of Outcomes of Contacts

- 4.1 The diverse nature of the inquiries and reports makes it difficult to categorise the outcomes. The following summarises the current position of the various matters raised -
- all inquiries were addressed;
 - the 25 HR matters were dealt with through managerial action, four are outstanding;
 - no evidence has been found to substantiate the allegations in the four fraud reports. However, in one instance confidential enquiries are on going, although no evidence has been found to substantiate all four allegations of fraud made ; and
 - the three Health and Safety matters were dealt with through managerial action, none are outstanding.
- 4.2 At 32 there was a slight increase in the number of reports in 2007 as compared to 2006 when there were a total of 26 calls.
- 4.3 Raising awareness of the service is undertaken at regular intervals. This usually consists of one or more of the following methods, a poster and leaflet campaign, a front piece on Source, articles in modal newsletters and a reminder on all payslips.
- 4.4 The overall annual cost of the internal and external reporting lines is in the order of £40,000 p.a. The lines are an essential part of monitoring governance. Their existence is an important safeguard that enables staff to raise concerns within a safe environment. Inevitably most of the matters raised are about the personal circumstances of individuals but

others are of more general concern involving health and safety or fraud.

EQUALITIES AND INCLUSION

5. The existence of the reporting lines provides another means for TfL staff to raise equality and inclusion concerns either for themselves or on behalf of others. There were 12 reports relating to harassment of various types and although none specifically referred to equalities and inclusion issues the subsequent investigations would have examined the possibility of such matters being relevant.

CRIME AND DISORDER

6. The existence of the reporting lines provides another means for TfL staff to raise crime and disorder concerns either for themselves or on behalf of others.

SUSTAINABILITY

7. Sustainability issues have not as yet featured in reports but as the issues are given greater prominence reporting lines will provide another means for TfL staff to raise matters of concern.

RECOMMENDATION

8. The Committee is asked to note this report.