



Date: 5 March 2014

Item 11: Review of TfL's Independent Reporting Lines for Year Ended 31 December 2013

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 2013.

2 Recommendation

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

3 Background

3.1 The existence of independent reporting lines is an important safeguard that enables anyone who works for TfL to raise concerns within a safe environment. Arrangements have been in place since 2004 to provide anyone who works for TfL with access to an external independent reporting line, operated by a contractor and managed within General Counsel. Matters relating to health and safety for the rail industry can also be reported through the external Confidential Incident and Reporting and Analysis System (CIRAS) independent confidential reporting system.

3.2 These 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.

3.3 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 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.

Retendering of the External Reporting Line

3.4 The external reporting line has been managed since September 2009 by Crimestoppers, an independent charitable company. The contract was due to expire at the end of August 2012 but, in order to maintain continuity of service during the London 2012 Games and the completion of a competitive tendering exercise, the contract was extended for a further 18 months.

- 3.5 The outcome of that competitive tendering process was that a three year contract has been re-awarded to Crimestoppers. The contract will run from 1 March 2014 and TfL has an option to extend the contract by a further 12 months.
- 3.6 An exercise to raise awareness of the reporting lines service was undertaken in 2013, with details being highlighted on TfL's intranet and posters being placed in all offices. This exercise will be repeated in March 2014, linked to the award of the new contract. Details of how to contact both internal and external reporting lines is included in the TfL Code of Conduct and on the TfL intranet. In addition to contacting SafeLine by telephone there is a facility to do so by email.

4 External Reporting Line Reports in 2013

- 4.1 There were 50 contacts on the external reporting line in 2013, of which 49 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	2012 Reports	2013 Reports
Integrity (including Fraud)	20	37
Health and Safety	1	0
Human Resources	8*	13
Total	29	50

*includes 3 reports about the same allegation

- 4.2 The number of calls received in 2013 is significantly greater than in 2012. This can in part be explained by the exercise undertaken to raise awareness of the service referred to above.
- 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) alleged improper procurement practices; and
 - (d) abuse or alleged distribution 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 no allegations 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 the 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 and Security, attended the Crimestoppers Call Centre and addressed the call operatives so as to more closely align their questions to callers with information helpful to TfL.

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 and investigated. A response is then sent to CIRAS and the outcome published in the Report Library on the CIRAS website.
- 5.2 In 2013, CIRAS received 17 reports. In all cases a response was provided and satisfactory outcomes recorded.

List of appendices to this report:

None

List of Background Papers:

Safeline and CIRAS Reports 2013

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