

Good practice self assessment checklist

Good Practice statement:	Yes ✓	Evidence:	No ✓	Action required:
Public bodies should promote an open and supportive culture that values raising concerns				
This organisation has an open and transparent culture which encourages the raising of concerns.				
There is clear and explicit management commitment from the top of the organisation to an open and honest culture.				
This organisation recognises the benefits of hearing about concerns so that they can be properly considered.				
Senior managers and Board members are visible across the organisation and clearly demonstrate the importance and value they attach to hearing from people at all levels.				
There is a code of conduct in place that reinforces the expectation of ethical behaviour from workers at all levels of the organisation.				
There is continuing communication of this organisation's commitment to an open and ethical culture, through circulars, posters, emails and the intranet.				

Good Practice statement:	Yes ✓	Evidence:	No ✓	Action required:
Public bodies should have clear and accessible policies to deal with raising concerns				
This organisation has a raising concerns policy in place, which includes all the key criteria listed in this Guide.				
All workers are made aware of the policy.				
The policy is readily available to both workers and members of the public. This is normally done by publishing on the organisation's website.				
There is effective awareness training for all staff so they know what concerns they can raise and how to raise them.				
Staff awareness of the raising concern policy and its practices is actively monitored and measured.				

Good Practice statement:	Yes ✓	Evidence:	No ✓	Action required:
Training is provided to all staff on the content of the policy.				
There is a Designated Officer and/or Speak Up Champion with detailed knowledge of raising concerns who can provide advice to management and staff and those external to the organisation.				
The policy sets out clear procedures and lines of reporting for workers wishing to raise concerns, which are well publicised.				
The policy offers alternative ways of raising concerns, including externally.				
The raising concerns policy directs workers to available sources of support and advice, for example Protect or their union.				

Good Practice statement:	Yes ✓	Evidence:	No ✓	Action required:
This organisation recognises that there may be validity in a concern raised, regardless of a person's motivation for raising it.				
This organisation encourages all concerns to be raised, no matter how small. How is this done?				
This organisation provides a single point of contact for members of the public wishing to raise public interest concerns. This person has the requisite skills to ensure that concerns are processed effectively.				
This organisation gives proper consideration to public interest concerns raised by the wider public.				

Good Practice statement:	Yes ✓	Evidence:	No ✓	Action required:
<p>This organisation offers the person raising the concern a meeting to discuss their concern and provide any evidence they may have.</p>				
<p>This organisation ensures that members of the public who raise concerns in the public interest are made aware of alternative points of contact.</p>				
<p>This organisation provides appropriate feedback to third parties who have raised concerns.</p>				

Good Practice statement:	Yes ✓	Evidence:	No ✓	Action required:
Public bodies should ensure confidentiality and protection against victimisation				
<p>All practical steps are taken to protect the confidentiality of workers raising concerns. This includes:</p> <ul style="list-style-type: none"> • ensuring that paper files are properly classified as confidential and held securely, and that electronic files are password protected; • ensuring that the minimum number of people have access to case files; • being discreet about when and where any meetings are held with the individual worker; and • ensuring that confidential case papers are not left on printers or photocopiers. 				
<p>The raising concerns policy makes clear that this organisation will not tolerate harassment of anyone raising a concern.</p>				

Good Practice statement:	Yes ✓	Evidence:	No ✓	Action required:
Public bodies should investigate concerns promptly, fairly and transparently				
There are clear roles and responsibilities in place for handling concerns raised.				
There is sufficient resource capacity to cope with raising concerns and to conduct investigations.				
Staff responsible for managing and handling concerns have received appropriate, regular and extensive specialist training.				
There is effective training for line managers who may have to deal with concerns raised.				
This organisation has access to trained fraud investigators, should an investigation be required.				

Good Practice statement:	Yes ✓	Evidence:	No ✓	Action required:
<p>Public bodies should ensure there is appropriate oversight of raising concerns.</p> <p>The Audit and Risk Assurance Committee plays an important role in raising concerns in our organisation.</p> <p>The Audit and Risk Assurance Committee should:</p> <ul style="list-style-type: none"> • Discuss raising concerns as a regular agenda item; • Engage with the organisation’s Designated Officer or equivalent; • Be satisfied that organisations have the appropriate capacity and capability to investigate and manage concerns; and • Seek assurance that raising concerns are treated in line with the policy. 				
<p>There are regular attitude surveys to determine the level of confidence staff have in arrangements for raising concerns.</p>				
<p>This organisation encourages concerns to be raised as part of normal business, for example at team meetings.</p>				
<p>This organisation focuses on the concern being raised and not on the person raising it.</p>				