Raising Concerns

A good practice guide for the Northern Ireland public sector

Self-Assessment Checklist

Checklist for Organisations

Good Practice statement	Yes ✔	Evidence:	No ✔	Action required:
Organisational Culture				
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.				
Raising Concerns Policy				
This organisation has a raising concerns policy in place, which includes all the elements listed at Appendix 4 of the Good Practice Guide.				

Good Practice statement	Yes ✔	Evidence:	No ✔	Action required:
All workers are made aware of the policy.				
Training is provided to all staff on the content of the policy.				
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 makes clear that this organisation will not tolerate harassment of anyone raising a genuine concern.				
The raising concerns policy directs workers to available sources of support and advice, for example **Protect** or their union.				
Actions to Support Raising Concerns				
There are clear roles and responsibilities in place for handling concerns raised.				
There is a specialist resource with detailed knowledge of raising concerns who can provide advice to management and staff and be an alternative route for raising concerns.				
There is effective awareness training for all staff so they know what concerns they can raise and how to raise them.				

Good Practice statement	Yes ✔	Evidence:	No ✔	Action required:
There is effective training for line managers who may have to deal with concerns raised.				
There are regular attitude surveys to determine the level of confidence staff have in arrangements for raising concerns.				
All practical steps are taken to protect the confidentiality of workers raising concerns.				
This organisation has access to trained fraud investigators, should an investigation be required.				
This organisation recognises that there may be validity in a concern raised, regardless of a person's motivation for raising it.				
This organisation has adequate systems in place for recording, monitoring and reporting on concerns raised.				
Normalising Raising Concerns				
This organisation encourages concerns to be raised as part of normal business, for example at team meetings.				
This organisation focuses on the concern being raised and not on the person raising it.				
This organisation publicises improvements made as a result of concerns raised.				

Good Practice statement	Yes ✔	Evidence:	No ✔	Action required:
This organisation encourages all concerns to be raised, no matter how small.				
Concerns from the Public and Other Third Parties				
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.				
This organisation offers the person raising the concern a meeting to discuss their concern and provide any evidence they may have.				
This organisation ensures that members of the public who raise concerns in the public interest are made aware of alternative points of contact.				
This organisation provides appropriate feedback to third parties who have raised concerns.				

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