

Telephone: 020 7066 8080  
Email: [foi@fca.org.uk](mailto:foi@fca.org.uk)

[By Email]

April 2017

Our Ref: FOI5043

Dear

**Freedom of Information: Right to know request**

Thank you for your request under the Freedom of Information Act 2000 ("the Act"), for the following information:

*"Q1) A month-by-month breakdown of Cases Opened and Forwarded Items by the whistleblowing team, for each month from November 2014 to as recently as possible.*

*Q2) The number of new cases, in which actionable whistleblowing derived intelligence was disseminated to departments within the FCA and other regulators and law enforcement agencies, for each month from November 2014 to as recently as possible*

*This is an update to information you have provided on previous occasions: <https://www.fca.org.uk/publication/foi/foi4681-response.pdf>*

Your request has now been considered and I can confirm we hold the information you have requested.

In relation to Q1 of your request, the table below sets out a month-by-month breakdown of 'Cases Opened' and 'Forwarded Items' processed from November 2014 to February 2017.

Please note that we have interpreted 'Case Opened' as referring to whistleblowing disclosure recorded by the Whistleblowing Team in line with our whistleblowing policy, legal and regulatory remit, whilst we have interpreted 'Forwarded Item' as referring to incoming correspondence to the Whistleblowing Team which does not relate to a whistleblowing matter, but requires the source to be referred to another part of the FCA and/or external law enforcement/regulatory agency.

Month	Cases Opened	Forwarded Items
November 2014	92	78
December 2014	103	72

January 2015	88	98
February 2015	93	94
March 2015	121	91
April 2015	116	77
May 2015	79	72
June 2015	121	77
July 2015	107	105
August 2015	71	63
September 2015	78	56
October 2015	79	70
November 2015	85	64
December 2015	66	44
January 2016	78	63
February 2016	77	70
March 2016	63	51
April 2016	79	71
May 2016	79	69
June 2016	80	78
July 2016	80	85
August 2016	65	78
September 2016	64	90
October 2016	71	108
November 2016	72	71
December 2016	58	83
January 2017	74	71
February 2017	85	86

In relation to Q2 of your request, the figures below are taken from the FCA Intelligence System on which whistleblowing intelligence is stored and represent the number of whistleblowing derived intelligence logs disseminated within the FCA and to other regulators and enforcement agencies through appropriate legal gateways. Each whistleblowing case raised by the Whistleblowing Team is reviewed, researched and sanitised (to protect the source) before dissemination.

**Dissemination Records (broken down monthly):**

The number of disseminations may differ from the number of whistleblowing cases opened over a month for a number of reasons, including disseminations to more than one organisation, requests for further dissemination of intelligence created in earlier cases and, to a lesser extent, time delays between opening cases and disseminating intelligence. Although there may only be a single intelligence dissemination record, there is regularly further dissemination of the same material to other teams within the FCA where cross-organisational consideration is required, but which does not cause another record to be created.

Month	Record Amount
November 2014	116
December 2014	148
January 2015	120
February 2015	107
March 2015	123

April 2015	125
May 2015	93
June 2015	100
July 2015	126
August 2015	76
September 2015	62
October 2015	63
November 2015	111
December 2015	99
January 2016	93
February 2016	93
March 2016	93
April 2016	81
May 2016	78
June 2016	81
July 2016	127
August 2016	76
September 2016	54
October 2016	76
November 2016	66
December 2016	75
January 2017	93
February 2017	114

Yours sincerely

**Information Access Team**