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[By Email]

May 2017

Our Ref: **FOI5103**

Dear

Freedom of Information: Right to know request

Thank you for your request under the Freedom of Information Act 2000 (the Act). Your full request can be found in the Annex.

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

With regard to Question 1 of your request, each 'Case Opened' represents a new whistleblowing disclosure recorded by the Whistleblowing Team in line with our whistleblowing policy and legal and regulatory remit.

Incoming correspondence to the Whistleblowing Team which does not represent a whistleblowing disclosure but instead requires the source to be referred to another part of the FCA and/or external law enforcement/regulatory agency is recorded as a 'Forwarded Item'.

Year of receipt	Whistleblowing cases opened	Forwarded Item
2012	601	Data not held
2013	916	186 (September – December 2013)
2014	1360	854
2015	1105	915
2016	866	917
2017	365	345

* Please note the FCA Whistleblowing team only began recording the numbers for forwarded items in September 2013.

Regarding Question 2 of your request, I can confirm that there have been no occasions where incoming correspondence to the Whistleblowing Team was forwarded directly to the Complaints Team. Therefore the answer to your question is 0.

Lastly, as regards Question 3 of your request, I confirm that the number of people who contacted the whistleblowing team by all methods is the sum of the two columns in the table above and the number of people treated as whistleblowers are those recorded under the heading 'Whistleblowing cases opened'.

Yours sincerely

Information Disclosure Team

Annex

"Q1) How many people contacted the FCA's whistleblowing hotline in each of the last five years?"

Q2) In each of the last five years, how many of the people who contacted the FCA's whistleblowing hotline were treated as complainants?"

Q3) In each of the last five years, how many of the people who contacted the FCA's whistleblowing hotline were treated as whistleblowers?"

Your request was clarified on 03 May 2017 as:

"1) I'm referring to the number of whistleblowing cases raised generally by phone, email or letter and I'm referring to all individuals who contacted the Whistleblowing team.

2) I'm not entirely sure I understand this point. As you said under point 1, sometimes people contact the whistleblowing team and it is forwarded onto other parts of the FCA. I'm interested in finding out how many times someone has contacted the whistleblowing team but it has been treated as a complaint rather than whistleblowing, meaning it has been passed onto the complaints team.

3) You are correct in your interpretation that I'm referring to people who contacted the whistleblowing team by all methods."