

Centre City Tower, 7 Hill Street, Birmingham B5 4UA
21 Bloomsbury Street, London WC1B 3HF

By email

14 March 2016

Freedom of Information Act –Request For Information

Reference: Fol 25022016

Dear 

Thank you for your email in which you request:

Information relating to whistleblowing by workers to regulators and enforcement bodies

I can confirm that we do hold the information you have requested.

- (1) Please provide details of the number of workers who have contacted you in relation to your duties as a prescribed regulator between the years 2011-2016. Please include the following details:
 - i. Whether each individual contacted you on an anonymous, confidential, or self- identified basis
 - ii. a brief summary of the types of concerns raised
 - iii. If information was passed on to another regulator or local authority enforcement team please indicate this and specify whether the concern was monitored by you following referral.
 - iv. In respect of both ii and iii above, please identify (if appropriate) whether any subsequent action was taken.

Please see attached document with regards to Question 1.

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Information regarding the handling of whistleblowing concerns from vulnerable migrant workers:

- (2) Please identify whether you have a policy/ policies for handling whistleblowing concerns received from migrant workers.

Ofwat has a whistleblowing policy which it considers suitable for any worker or individual who feels it necessary for them to contact us in this manner. The policy can be found on our [website](#). We also publish a document regarding [Raising Concerns in the public interest Policy and procedure](#) which you may find useful. We consider these policies suitable for all workers.

- (3) If the answer to the above is yes, please disclose your policies/ internal guidelines.

As highlighted in the links above.

- (4) Please identify whether you have specific procedures for handling whistleblowing concerns received from migrant workers.

Not specific to migrant workers

- (5) If the answer to the above is yes, please identify what these procedures are.

As at point 2 we consider our procedures suitable for all workers.

- (6) Please identify whether you are able to receive whistleblowing concerns in languages other than English.

Yes

- (7) If the answer is yes, please identify how your organisation would handle concerns raised in another language.

Any concerns raised in Welsh Language would be identified by the Case Management team and the information translated using our confidential interpreting services for onward investigation.

Any requests received in other languages other than English or Welsh would be considered and we will aim to respond to all irrespective of the language.

Freedom of Information/EIR Provide the Information

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If you have any queries or concerns with regard to the content of this email please do contact me, quoting the reference number.

If you are unhappy with the service you have received in relation to your request and wish to make a complaint or request a review of the decision, please contact:

Programme Office
Ofwat
Centre City Tower
7 Hill Street
Birmingham B5 4UA
mailbox@ofwat.gsi.gov.uk

If you are not happy with the outcome of that review you can ask the Information Commissioner's Office to consider your complaint. Generally, the ICO will not make a decision unless you have exhausted Ofwat's complaints procedure. The ICO can be contacted at:

<https://ico.org.uk/>

or

The Information Commissioner's Office
Wycliffe House
Water Lane
Wilmslow

Yours sincerely,

Freedom of Information/EIR Provide the Information

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Christine Manise

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Operations

Ofwat

Centre City Tower

7 Hill Street

Birmingham B5 4UA

Whistleblower Synopsis

Incident	Year	How received	Summary	Passed on and to whom
1	2013	Self- identified Confidential	Health & Safety concerns at Water Company	No further action (NFA) by Ofwat. Advice given re Health & Safety (H&S)
2	2013	Anonymous	Bullying tactics within water company	NFA
3	2013	Self- identified Confidential	Corruption	NFA- no jurisdiction
4-5	2013 (x2)	Self- identified Confidential	Corruption by water company Breach of confidentiality-regulator	NFA
6	2013	Confidential	Score fixing and queue busting within call centre	Investigation completed-no regulatory action taken. Ongoing scrutiny of assurances.
7	2013	Anonymous	Project misrepresentation	Not enough evidence-NFA

Whistleblower Synopsis

8	2013	Via water company- Self-identified	Masking poor performance; statistics; targets	NFA- allegations did not impact on customer bills or services
9	2013	Self-identified Confidential	Works not completed to specification	NFA- No further information to support report
10	2013	Self-identified Confidential	Operator self-monitoring regime	Passed to Environment Agency- investigated. No referral back to regulator
Total	11			
11	2014	Anonymous	Masking complaint statistics	Passed to Consumer Council for Water (CCW) for investigation-NFA Ofwat-no referral back to regulator
12	2014	Anonymous	Bullying, sexual and physical abuse within water company	Passed to relevant police authority-NFA
Total	2			
Sub-total	13			

Whistleblower Synopsis

13	2015	Self-identified Confidential	Allegations of corruption, investigations not being independent and incorrect sanctions applied	NFA
14	2015	Anonymous	Fraud in relation to repairs and maintenance contracts	NFA-unable to ascertain further evidence
15	2015	Anonymous	Procurement & anti-competitive irregularities behaviour	NFA- no further evidence to investigate
16	2015	Anonymous	Pollution masking	NFA- Given advice re Environmental Agency
17	2015	Anonymous	Procurement irregularities	Preliminary investigation concluded not enough evidence and outside of regulator jurisdiction
Total	5			
Sub-total	18			

Whistleblower Synopsis

2016	0			
Total	18			