

QUESTIONNAIRE ON WHISTLE-BLOWER DISCLOSURES FOR UK PRESCRIBED BODIES

1.1 INTRODUCTION

██████████ is a Brussels-based consultancy that provides legal and policy services for the EU institutions and agencies. Milieu is currently undertaking a project for the European Commission (DG GROW) on quantifying the economic benefits of whistle-blower protection in public procurement (please see the endorsement letter in attachment).

The aim of the project is to make an **economic case for whistle-blower protection**, using the case of public procurement. Five European countries, including the UK, with comprehensive or partial provisions for the protection of whistle-blowers have been selected for the study. For each country, we are investigating the costs of setting up and implementing the whistle-blower protection system, as well as estimating the benefits generated by the system.

The UK is a candidate country for the study as it was the first European country to introduce whistle-blower protection with the Public Interest Disclosure Act in 1998. Therefore, ██████████ would appreciate your cooperation in answering in written form the following questions that would allow to understand and estimate the costs related to whistle-blower provisions in the UK. We kindly ask you to complete and return this questionnaire by **Monday 22nd of May** via e-mail to ██████████ ██████████ ██████████

1.2 QUESTIONS

Please note that all the questions below are specific to the role of your organisation as a prescribed body under the Public Interest Disclosure Act (PIDA). When possible, please provide data or estimates that you can collect or have available from your financial records and other sources.

1. Which type of channel of disclosure has your organisation put in place (e.g. hotline, e-mail system etc.)?

Ofwat receives information/disclosures by telephone, email and post.

2. What are the costs for your organisation related to this channel of disclosure?

Ofwat does not have a dedicated team specific for whistleblowing. Ofwat's Case Management Office Team are responsible for handling initial enquiries of which there are currently 16 staff (17 posts) at Associate-Director levels. Even if we had the resources available in order to break down the costs of disclosures received historically against officer time we have estimated that the cost of this exercise exceeds the appropriate limit. Further information regarding our fees notice can be found at <http://www.ofwat.gov.uk/foi/>

- a. In case of hotline or software, what were the costs of setting up these tools?

N/A. We do not have any specific software dedicated to Whistleblowing.

- b. Has your organisation allocated specific resources for whistle-blower protection since the entry into force of the legislation? For instance, through the creation of a specific unit/department.

The Casework Pool (part of the Case Management Team) are responsible for

responding to whistleblowing concerns, but this is not a dedicated resource as they are responsible for other casework responsibilities.

- c. How many people in your organisation are involved in receiving and handling whistle-blower disclosures? How much time roughly do these people spend on this activity (e.g. full-time or 10% of their weekly working hours)?

As at Question 2. As reports are ad-hoc there is no specific amount of time allotted on that basis.

- d. To the best of your knowledge, how many people work in your organisation? If you do not have such information, could you please indicate where this information would be publicly available?

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- 1. Does your organisation have in place procedures to protect the confidentiality of whistle-blowers? If yes, what are these procedures and do they imply specific costs?

Ofwat's whistleblowing policy can be found on our website at this link <http://www.ofwat.gov.uk/regulated-companies/investigations/ofwat-regulating-the-industry-monitoring-and-casework-whistleblowing-whistleblowing/> . They do not imply any specific costs.

- 2. Did your organisation provide internal training to the staff on handling and/or reporting whistle-blower disclosures? If yes, could you please provide estimates of the cost of this training?

No- Case Management Officers receive training as part of their overall roles.

- 3. Did your organisation develop internal guidelines on handling and/or reporting whistle-blower disclosures? If yes, could you please provide estimates of the cost of the guidelines?

Currently in progress

- 4. How many whistle-blower disclosures has your organisation received since the legislation entered into force in 1998? If possible, could you please provide these figures by year? If you do not have data available since 1998, could you please provide data since the first year available?

Please see the table below for statistics recorded since 2013.

2013	2014	2015	2016	2017
9	2	5	9	3

- 5. How many of the whistle-blower disclosures received were related to public procurement?

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- 6. Did you register a significant increase (or decrease) in the number of disclosures throughout the years?

As at 5- numbers fluctuate