

[REDACTED]

24 August 2018  
Reference: F0003866

Dear [REDACTED]

I am writing in respect of your recent request of 21 August 2018, for the release of information held by the Civil Aviation Authority (CAA). Having considered your request in line with the provisions of the Freedom of Information Act 2000 (FOIA), we are able to provide the information below.

1. *Please advise how many ET1 forms CAA has been sent by the Employment Tribunal in its capacity as a Prescribed Person under the Public Interest Disclosure Act (and not as an employer) in the years 2016/17 and 2017/18*

From 1 January 2016 to 22 August 2018 the CAA has received 3 ET1 forms from the Tribunal Service. All three were received in 2017.

2. *Please advise what data CAA collates and holds centrally about ET1 forms that CAA has received in this manner*

Allegations received on ET1 forms are logged under the CAA whistleblowing process and investigated as appropriate. The original incoming information, investigation records and closure recommendation are held for 10 years.

3. *Please advise if as a result of being sent ET1 forms by the Employment Tribunal in the two years 2016/17 and 2017/18, the CAA contacted any of the relevant claimants who filed claims to the Employment Tribunal under the Public Interest Disclosure Act to follow up the public interest matters, and if so, how many claimants did CAA contact?"*

The CAA investigated all three claims received during this period. We communicated with two of the three claimants in relation to our investigations.

If you are not satisfied with how we have dealt with your request in the first instance you should approach the CAA in writing at:-

Caroline Chalk  
Head of External Information Services  
Civil Aviation Authority  
Aviation House  
Gatwick Airport South  
Gatwick  
RH6 0YR

[caroline.chalk@caa.co.uk](mailto:caroline.chalk@caa.co.uk)

The CAA has a formal internal review process for dealing with appeals or complaints in connection with Freedom of Information requests. The key steps in this process are set in the attachment.

Should you remain dissatisfied with the outcome you have a right under Section 50 of the FOIA to appeal against the decision by contacting the Information Commissioner at:-

Information Commissioner's Office  
FOI/EIR Complaints Resolution  
Wycliffe House  
Water Lane  
Wilmslow  
SK9 5AF

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

If you wish to request further information from the CAA, please use the form on the CAA website at <http://publicapps.caa.co.uk/modalapplication.aspx?appid=24>.

Yours sincerely

A handwritten signature in black ink, appearing to read 'M Stevens'.

Mark Stevens  
External Response Manager

**CAA INTERNAL REVIEW & COMPLAINTS PROCEDURE**

- The original case to which the appeal or complaint relates is identified and the case file is made available;
- The appeal or complaint is allocated to an Appeal Manager, the appeal is acknowledged and the details of the Appeal Manager are provided to the applicant;
- The Appeal Manager reviews the case to understand the nature of the appeal or complaint, reviews the actions and decisions taken in connection with the original case and takes account of any new information that may have been received. This will typically require contact with those persons involved in the original case and consultation with the CAA Legal Department;
- The Appeal Manager concludes the review and, after consultation with those involved with the case, and with the CAA Legal Department, agrees on the course of action to be taken;
- The Appeal Manager prepares the necessary response and collates any information to be provided to the applicant;
- The response and any necessary information is sent to the applicant, together with information about further rights of appeal to the Information Commissioners Office, including full contact details.