



National Audit Office

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Dr Minh Alexander
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Email FOI@nao.gsi.gov.uk

Reference FOI-1184

Date 14 September 2018

Dear Dr Alexander

FREEDOM OF INFORMATION REQUEST: ET1 CLAIM FORMS

Thank you for your email of 21 August 2018 in which you requested information relating to Employment Tribunal ET1 claim forms.

Your specific questions as set out in your email were:

ET1 forms forwarded to NAO as a Prescribed Person & follow up action

- 1. Please advise how many ET1 forms NAO 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*
- 2. Please advise what data NAO collates and holds centrally about ET1 forms that NAO has received in this manner*
- 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, NAO 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 NAO contact?*

Your request is being dealt with under the terms of the Freedom of Information Act 2000.

The response to your questions are at Annex 1.

I hope you find this response helpful. Annex 2 sets out the steps you should take if you are not satisfied with the way we have handled your request for information under the Freedom of Information Act 2000.

Yours sincerely

Philip Taylor

Head of FOI

Annex 1

1. Please advise how many ET1 forms NAO 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

2016/17 - 2

2017/18 - 2

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

Record of receipt

Action taken

Where the case is relevant to the Comptroller and Auditor General's remit we would open a correspondence case file.

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, NAO 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 NAO contact?

The National Audit Office did not contact any of the claimants. The reasons for this action are:

2016/17

Case 1 - Allegations refer to a single local authority in England. Referred the tribunal service to the appropriate local auditor.

Case 2 - Allegations refer to a single local authority in England. Referred the tribunal service to the appropriate local auditor.

2017/18

Case 1 – Allegations refer to a private sector company. Referred to the tribunal service to an alternative prescribed person.

Case 2 – Allegations refer to a Scottish local authority. Referred the tribunal service to the Accounts Commission for Scotland.

Annex 2

Statement of Policy

Our policy is to respond to requests made under the Freedom of Information Act as helpfully and promptly as possible, having regard to the principles set out in the Act. I therefore hope you are happy with the way we have handled your request. If you are not, then you should take the following steps.

In the first instance, within 40 working days, write to the National Audit Office Freedom of Information (FOI) Team at FOI@nao.gsi.gov.uk or by post to:

FOI Team, Red 2, National Audit Office, 157-197 Buckingham Palace Road, London, SW1W 9SP

The Head of FOI will arrange a review, which will be conducted by a senior member of staff who was not involved in decisions relating to your original request. Once the review has been completed we will write informing you of the outcome.

If you are not content with the outcome of the internal review, you have the right to apply directly to the Information Commissioner for a decision. The Information Commissioner can be contacted at:

Information Commissioner's Office
Wycliffe House
Water Lane
Wilmslow
Cheshire
SK9 5AF