PROGRESSING WHISTLEBLOWER MATTERS

With s 22

Senior Case Officer
Whistleblower Team

Whistleblower Series

Whistleblowing Workflow

APRA's workflow can be simplified into five steps:



STEP 1: RECEIVE

RESPONSIBILITY

- Recipient of disclosure (Any APRA Staff member)
- Whistleblower Coordinator

KEY STEPS

- **Notify Whistleblower team of disclosure received as soon as possible.**
- **Whistleblower Coordinator acknowledges the disclosure and requests more information.**
- **Whistleblower Coordinator assigns a case officer.**



All Whistleblower material must be stored in restricted IM folders.

STEP 2: ASSESS

RESPONSIBILITY

- Case Officer
- Whistleblower Manager

KEY STEPS

- Case officer assess Whistleblower disclosure.
- Whistleblower Manager approves assessment.
- Notify Supervision of assessment.

The individual is an eligible Whistleblower in relation to a regulated entity

The individual's information relates to a disclosable matter

The disclosure is made to an eligible recipient

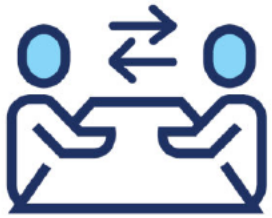
STEP 3: STRATEGISE

RESPONSIBILITY

- Supervision team
- Supported by Case Officer

KEY STEPS

- **Determine if more information is needed from the Whistleblower.**
- **Consider sharing disclosure with peer regulators.**



Whistleblower Series

Sharing Information with Peer Regulators

Step 4: ACTION

RESPONSIBILITY

- Supervision team
- Supported by Case Officer

KEY STEPS

- **Action plan to investigate or address prudential issues raised by disclosure.**

WARNING

Unauthorised disclosure of a Whistleblower's identity, or of information that could lead to their identification, is an offence under section 1311(1) of the *Corporations Act 2001*.

Step 5: CLOSURE

RESPONSIBILITY

- Supervision team
- Case Officer
- Whistleblower Coordinator

KEY STEPS

- **Closure of Whistleblower matter.**
- **General Manager approval of closure.**
- **Prudential issues raised by Whistleblower disclosures do not need to be resolved for Whistleblower matters to be closed, as long as the Supervision team have a plan to address the issues as part of BAU supervision.**

Supervision responsibilities when disclosure is NON- QUALIFYING

CONSIDER INFORMATION IN BAU SUPERVISION

KEEP MATERIAL CONFIDENTIAL

CONSIDER DISCLOSURE TO A PEER REGULATOR



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