Whistleblowing - What to do upon receipt

0:02
Welcome to our Whistleblower Training Series. What to do Upon Receipt?

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In this video I am going to run through what to do if you receive a whistleblower disclosure.

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Any APRA staff can potentially receive a whistleblower disclosure, so it is important to know what your obligations are.

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It is not just the whistleblower team and supervision that may be approached by a whistleblower.

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For example, you might be at a BBQ with a friend or family member who works at a regulated entity, and they take the opportunity to disclose information to you.

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You may also be contacted on LinkedIn as representative of APRA by an old contact.

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If you're contacted by potential whistleblower, please do the following things.

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Firstly, contact the whistleblower team

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If possible, please contact the team before you speak to the whistleblower.

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If you are approached by an individual wishing to make a disclosure to AFRA, it is strongly recommended that you ask them to provide their disclosure in writing via email to whistleblower@apra.gov.au.

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If they refuse, please ask them for their number and an appropriate time to call back.

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A member of the whistleblower team can join you on the call and provide assistance.

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We understand that this is not always possible, but please just let us know as soon as you can.

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Secondly, please take comprehensive notes.

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If the whistleblower does not want to provide their disclosure via email, please take a detailed file note of the discussion.

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When taking the file note, do not refer to the whistleblower by name.

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And third, provide the potential whistleblower the mandatory information.

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This information can be found in the whistleblower procedure on page 9 and it should be communicated to all potential whistleblowers in the first discussion.

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The key information to remember is firstly, APRA cannot provide legal advice.

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Second, any information provided by the whistleblower will be kept confidential.

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Third, the secrecy provisions in Section 56 limit what APRA can share regarding our regulated entities.

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This includes feedback to the whistleblower on how we have actioned the information they have disclosed.

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And fourth, if APRA forms a view that information may be of use to other enforcement agencies then we may be required to share that information with those agencies.

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It is critical to keep whistleblower information confidential.

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This is detailed in APRA's Policy and Procedure regarding whistleblowers and if you ever need a refresher.

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Whistleblower information has two parts. Firstly, is the information the informant has shared with us, including any documents or emails they have provided.

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And second is their identity or any information that could lead to their identity.

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The unauthorised disclosure of whistleblower information is an offence under the Corporations Act.

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In order to minimise the risk of an unauthorised disclosure, it is APRA's policy to firstly, never discuss the whistleblower matter with anyone who does not require the information or anyone outside of APRA.

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And secondly, whistleblower documents should only ever be saved in the restricted IM folders provided by the whistleblower team and never shared by email.

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If you have any questions on the content covered in this video, you can visit the whistleblower APRAnet page or reach out to the team.

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Please see our other videos in this series.