Templates – Whistleblower emails

	Templates	Recipient	Category
EMAILS TO THE WHISLTEBLOWER / DISCLOSER – Go to section			
Select	Email to WB/discloser where a disclosure is more appropriate for the Australian Health Practitioner Regulation Agency (**AHPRA**).	Whistleblower	AHPRA
Select	Response to potential Whistleblowers initial disclosure.	Whistleblower	Initial email
Select	Response to subsequent email Whistleblower emails.	Whistleblower	Ongoing correspondence
Select	Email to Whistleblower/discloser advising that APRA cannot provide any further update or information.	Whistleblower	Ongoing correspondence
Select	Email to Whistleblower seeking consent to share disclosure with peer regulators.	Whistleblower	Release to peer regulators
Select	Email to Whistleblower seeking consent to share disclosure with peer regulators, and a meeting with APRA.	Whistleblower	Release to peer regulators
Select	Email to Whistleblower requesting a meeting with APRA.	Whistleblower	Setting up a meeting

	Templates	Recipient	Category
Select	Email to Whistleblower confirming time of meeting	Whistleblower	Setting up a meeting
Select	Email to Whistleblower seeking consent to discuss disclosure with entity.	Whistleblower	Consent to discuss with entity
EMAILS TO SUPERVISION – Go to section			
Select	Email to Supervision providing initial disclosure and assigning case officer.	Supervision	Initial email
Select	Email to Supervision providing initial disclosure and assessment where is has been assessed the disclosure does not qualify for Whistleblower protections.	Supervision	Non-qualifying
Select	Email to Supervision providing initial disclosure and assessment where is has been assessed the disclosure qualifies for Whistleblower protections.	Supervision	Qualifying
Select	6-month check in with supervisors	Supervision	Check in
Select	Closure memo and instructions for Supervision.	Supervision	Closure
Select	Email to Supervision confirming matter has been closed.	Supervision	Closure

	Templates	Recipient	Category
Select	Email to Supervision providing instructions for preparing unsolicited release to ASIC.	Supervision	Release to peer regulators
Select	Email to Supervision providing instructions for preparing unsolicited release to other peer regulators.	Supervision	Release to peer regulators
EMAILS TO PEER REGULATORS – Go to section			
Select	Email to peer regulators providing an unsolicited release (other than ASIC)	Peer regulator	Release to peer regulators
Select	Email to ASIC providing an unsolicited release.	Peer regulator	Release to peer regulators
Select	Email responding to ASIC request for consent to contact Whistleblower	Peer regulator	Contact with peer regulators
WB TEAM – Go to section			
Select	Handover Note	WB team	
Select	Form for assessment of Whistleblower eligibility.	WB team	

1. EMAILS TO THE DISCLOSER / WHISTLEBLOWER

1.1 Email to WB/discloser where a disclosure is more appropriate for the Australian Health Practitioner Regulation Agency (AHPRA).

OFFICIAL: Sensitive (APRA Act s56)

Good afternoon,

Thank you for contacting the Australian Prudential Regulation Authority (APRA).

APRA's role is to supervise authorised deposit-taking institutions, such as banks, building societies and credit unions, as well as insurance companies, including private health insurers, and superannuation funds to promote the prudent management of these financial institutions. The company you have mentioned in your email is not connected to an APRA regulated entity.

APRA does not supervise [insert AHPRA regulated entity/profession etc]. s 22 s 22 the Australian Health Practitioner Regulation Agency (AHPRA).

Kind regards,

APRA Whistleblower Team

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au

APRA ALLY Inclusion & Diversity at APRA Stronger Together

APRA acknowledges the Traditional Custodians of the lands and waters of Australia and pays respect to Aboriginal and Torres Strait Islander peoples past and present. We would like to recognise our Aboriginal and Torres Strait Islander employees who are an integral part of our workforce.

1.2 Response to potential Whistleblowers initial disclosure.

OFFICIAL: Sensitive (APRA Act s56)

Dear [Sir/Madam/Name],

Thank you for contacting the Australian Prudential Regulation Authority (**APRA**) and providing information in relation to the [entity name]. The information you have provided will be referred to the appropriate APRA team.

Please be advised that APRA's role is to supervise authorised deposit-taking institutions, such as banks, building societies and credit unions, as well as insurance companies, including private health insurers, and superannuation funds to promote the prudent management of these financial institutions.

APRA is not able to provide legal advice. We suggest that you obtain independent legal advice as to whether you are protected as a Whistleblower under the *Corporations Act 2001* regime. That said, APRA treats all disclosures as confidential.

Please also note that the secrecy provisions contained in section 56 of the *Australian Prudential Regulation Authority Act 1998* prevent APRA and its officers from disclosing information relating to the supervision of a particular regulated institution. Accordingly, APRA is restricted in the feedback we can provide regarding the information you disclosed, and we may be in further contact only in the limited instance we require further information.

APRA would like the following information so that we can better understand your concerns:

- Are you a current or former employee of [entity name]?;
- If you are currently or have previously been employed by [entity name], could you please provide which area you worked in; and
- How did you come to possess the information you have disclosed to APRA?

If you are uncomfortable providing the information requested above, please do not hesitate to let us know.

Additionally, can you please advise how you would like APRA to contact you if we require any further information? [only if needed] You can remain anonymous in any further correspondence. [delete if not relevant]

Kind regards,

APRA Whistleblower Team

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au



APRA ALLY Inclusion & Diversity at APRA Stronger Together

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1.3 Response to subsequent email Whistleblower emails.

OFFICIAL: Sensitive (APRA Act s56)

Good afternoon,

Thank you for contacting the Australian Prudential Regulation Authority (**APRA**). We confirm we have received your email of XXX.

The information you have provided will be referred to the appropriate APRA team.

APRA is not able to provide legal advice. We suggest that you obtain independent legal advice as to whether you are protected as a Whistleblower under the *Corporations Act 2001* regime. APRA treats all disclosures as confidential.

Please also note that the secrecy provisions contained in section 56 of the *Australian Prudential Regulation Authority Act 1998* prevent APRA and its officers from disclosing information relating to the supervision of a particular regulated institution. Accordingly, APRA is restricted in the feedback we can provide regarding the information you disclosed, and we may be in further contact only in the limited instance we require further information.

Kind regards,

APRA Whistleblower Team

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au



APRA



Inclusion & Diversity at APRA



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1.4 Email to Whistleblower/discloser advising that APRA cannot provide any further update or information.

OFFICIAL: Sensitive (APRA Act s56)

Good afternoon,

Thank you for contacting the Australian Prudential Regulation Authority (**APRA**). We confirm receipt of your email of XXX.

The information you have provided will be referred to the appropriate APRA team.

APRA is not able to provide legal advice. We suggest that you obtain independent legal advice as to whether you are protected as a Whistleblower under the *Corporations Act 2001* regime. That said, APRA treats disclosures in the same manner, irrespective of whether the informant qualifies as a Whistleblower.

Please also note that the secrecy provisions contained in section 56 of the *Australian Prudential Regulation Authority Act 1998* prevent APRA and its officers from disclosing information relating to the supervision of a particular regulated institution. Accordingly, APRA is restricted in the feedback we can provide regarding the information you disclosed, and we may be in further contact only in the limited instance we require further information.

Kind regards,

APRA Whistleblower Team

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au

Inclusion & Diversity at APRA

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1.5 Email to Whistleblower seeking consent to share disclosure with peer regulators.

OFFICIAL: Sensitive

Good afternoon,

We refer to your disclosure to APRA dated XXXX.

As we have mentioned in our previous email, APRA's role is to supervise authorised deposit-taking institutions, such as banks, building societies and credit unions, as well as insurance companies (including private health insurers), and superannuation funds to promote the prudent management of these financial institutions.

The information you have disclosed may be of interest to, or may be relevant to the responsibilities of, the Australian Securities and Investments Commission (**ASIC**). For this reason, APRA may be required, or otherwise authorised under the *Corporations Act 2001* to share this information with ASIC. Were we to do so, please note, ASIC may be in contact with further questions regarding your disclosure.

Please let us know if you have any concerns with APRA sharing your disclosure with ASIC.

APRA is not able to provide legal advice. We suggest that you obtain your own independent legal advice as to how the protection provisions in the corporate sector Whistleblower regime in the *Corporations Act 2001* may apply to you.

Please let us know if you have any questions on any of the above.

Kind regards,

APRA Whistleblower Team

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au

Inclusion & Diversity at APRA

APRA acknowledges the Traditional Custodians of the lands and waters of Australia and pays respect to Aboriginal and Torres Strait Islander peoples past and present. We would like to recognise our Aboriginal and Torres Strait Islander employees who are an integral part of our workforce.

1.6 Email to Whistleblower seeking consent to share disclosure with peer regulators, and a meeting with APRA.

OFFICIAL: Sensitive

Good afternoon,

We refer to your disclosure to APRA dated XX XXX 2022.

As advised on x, APRA's role is to supervise authorised deposit-taking institutions, such as banks, building societies and credit unions, as well as insurance companies (including private health insurers), and superannuation funds to promote the prudent management of these financial institutions.

APRA would like some further information regarding the matters contained in your disclosure. Can you please confirm a date that would suit you for a telephone conference?

The information you have disclosed may be of interest to, or may be relevant to the responsibilities of, the Australian Securities and Investments Commission (**ASIC**). For this reason, APRA may be required, or is otherwise authorised under (insert legislation) to share this information with ASIC. Where we do so, please note, ASIC may be in contact with further questions regarding your disclosure.

Please let us know of any concerns with APRA sharing your disclosure with ASIC.

Please note that APRA is not able to provide legal advice. We suggest that you obtain independent legal advice as to whether you are protected as a Whistleblower under the *Corporations Act 2001* regime.

Please let us know if you have any questions on any of the above.

Kind regards,

APRA Whistleblower Team

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au

APRA ALLY Inclusion & Diversity at APRA Stronger Together

APRA acknowledges the Traditional Custodians of the lands and waters of Australia and pays respect to Aboriginal and Torres Strait Islander peoples past and present. We would like to recognise our Aboriginal and Torres Strait Islander employees who are an integral part of our workforce.

1.7 Email to Whistleblower requesting a meeting with APRA.

OFFICIAL: Sensitive

Good afternoon,

We refer to your disclosure to APRA dated XX XXX 2022.

As advised on x, APRA's role is to supervise authorised deposit-taking institutions, such as banks, building societies and credit unions, as well as insurance companies (including private health insurers), and superannuation funds to promote the prudent management of these financial institutions.

APRA would like some further information regarding the matters contained in your disclosure. Can you please confirm a date that would suit you for a telephone conference?

Please note that APRA is not able to provide legal advice. We suggest that you obtain independent legal advice as to whether you are protected as a Whistleblower under the *Corporations Act 2001* regime.

Please let us know if you have any questions on any of the above.

Kind regards,

APRA Whistleblower Team

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au



APRA



Inclusion & Diversity at APRA



APRA acknowledges the Traditional Custodians of the lands and waters of Australia and pays respect to Aboriginal and Torres Strait Islander peoples past and present. We would like to recognise our Aboriginal and Torres Strait Islander employees who are an integral part of our workforce.



1.8 Email to Whistleblower confirming time of meeting

OFFICIAL: Sensitive

Good afternoon,

Thank you for your reply and providing your availability.

We will send a meeting invitation for **[date] at [time]**.

The invitation will include dial in details for the meeting.

If that time no longer works please let us know.

Kind regards,

APRA Whistleblower Team

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au



APRA



Inclusion & Diversity at APRA



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1.9 Email to Whistleblower seeking consent to discuss disclosure with entity.

Good afternoon,

We refer to your disclosure to APRA dated XXXX.

As we have mentioned in our previous email, APRA's role is to supervise authorised deposit-taking institutions, such as banks, building societies and credit unions, as well as insurance companies (including private health insurers), and superannuation funds to promote the prudent management of these financial institutions.

APRA proposes to discuss your concerns with the [entity] to enable APRA to fully understand the concerns raised in your disclosures. While we will not refer to you directly and we will do everything we can to prevent your identity from being disclosed, there is a risk that the information you have provided my indirectly identify you.
[delete if not applicable] We note that APRA has been copied into several emails you have sent to the [entity] regarding your disclosures.

Please advise whether you consent to APRA discussing your disclosures with the [entity], and any concerns you may have regarding APRA discussing your disclosures with the [entity]?

APRA is not able to provide legal advice. We suggest that you obtain independent legal advice as to whether you are protected as a Whistleblower under the *Corporations Act 2001* regime.

Please let us know if you have any questions on any of the above.

Kind regards,

APRA Whistleblower Team

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au

Inclusion & Diversity at APRA

APRA acknowledges the Traditional Custodians of the lands and waters of Australia and pays respect to Aboriginal and Torres Strait Islander peoples past and present. We would like to recognise our Aboriginal and Torres Strait Islander employees who are an integral part of our workforce.

2. Emails to Supervision

2.1 Email to Supervision providing initial disclosure and assigning case officer.

OFFICIAL: Sensitive

Good morning,

[**Include if relevant**: Please note that the content of this disclosure contains information related to X that may be emotionally challenging. Please do not hesitate to contact the Whistleblower team if you would like this information to be sent to another supervisor.]

The Whistleblower team have received a disclosure (ADD LINK) related to your entity, [entity]. I responded (ADD LINK) [when] to acknowledge the disclosure and sought additional information from the Informant [only if applicable].

The matter has been logged in the Whistleblower Tracker as Matter XXX-XXX. A restricted folder has been set up for this matter. All documents related to this matter are to be saved in this folder only (ADD LINK), and are to be shared via email as links, not as attachments. Please let me know if anyone else in your team will need access to the folder.

[case officer – also cc them in email] has been assigned as the case officer for this matter and is currently undertaking an assessment of Whistleblower eligibility. Once complete [case officer] will provide you the assessment and assist with the next steps.

The Whistleblowing at APRA intranet site provides some helpful guidance on the procedure for handling whistleblower material. If you have any further questions, please let me know.

Kind regards,
Whistleblower Coordinator

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au

Inclusion & Diversity at APRA

APRA acknowledges the Traditional Custodians of the lands and waters of Australia and pays respect to Aboriginal and Torres Strait Islander peoples past and present. We would like to recognise our Aboriginal and Torres Strait Islander employees who are an integral part of our workforce.

2.2 *Email to Supervision providing initial disclosure and assessment where is has been assessed the disclosure does not qualify for Whistleblower protections.*

OFFICIAL: Sensitive (APRA Act s56)

[email to be sent in same chain as first email to Supervision notifying them of the disclosure]

Good afternoon,

I refer to the whistleblower matter 2024-0087 related to Bank ABC.

As the case officer for this matter, I have assessed the disclosure (LINK ASSESSMENT) and have determined that it does not qualify for Whistleblower protections.

As the matter is non-qualifying for Whistleblower protections it has been closed off in the Whistleblower Tracker. However, if you consider it raises prudential concerns, the matter should be considered within your supervision activities. Closure does not impact your team's current activities related to the disclosure; beyond that you do not need to provide progress updates to our team.

It is also the Supervision team's decision whether the information contained in the disclosure would be of supervisory interest to any peer regulators (for example, ASIC). [As set out in the assessment form linked above, I recommend releasing the disclosure to ASIC pursuant to s56(5)(a) of the APRA Act]. We are happy to assist with any releases where the matter involves complex legal issues, or where your team lacks capacity to prepare the release.

Please note that APRA treats disclosures in the same manner, irrespective of whether the informant qualifies as a Whistleblower. This means that the information should not be shared beyond the restricted folder provided (LINK FOLDER), and the identity and identifying information of the Complainant must be protected.

Please let me know if you have any questions on any of the above.

Kind regards,
[Case Officer]

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au

Inclusion & Diversity at APRA

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2.3 *Email to Supervision providing initial disclosure and assessment where is has been assessed the disclosure qualifies for Whistleblower protections.*

OFFICIAL: Sensitive (APRA Act s56)

[email to be sent in same chain as first email to Supervision notifying them of the disclosure]

Good morning,

I refer to the matter 2025-XXXX.

Assessment

I have assessed [link] the disclosure and have determined that it does qualify for Whistleblower protections under the Corporations Act.

Process – Qualifying whistleblower matters

The process and next steps for your team to take in this matter are as follows:

1. Review the material disclosed and consider whether you would like to seek any further information from the whistleblower. If your team would like further information from the whistleblower, please let me know and I can facilitate this, including by requesting a call with the whistleblower where appropriate.
2. Consider whether the disclosure should be released to peer regulators. It is the Supervision team's decision whether the information contained in the disclosure would be of supervisory interest to any peer regulators. In the assessment form linked above, I have not made any recommendations to release the disclosure to any peer agencies. If you would like to release this disclosure to peer agencies, please let us know so that we can consider whether this can be done in accordance with the whistleblower protections in s1317AAE of the Corporations Act.
3. Develop strategy to address any prudential issues raised in the disclosure. Please note that the identity and identifying information of the whistleblower must be protected throughout this process, and particularly in any communications with the entity.
4. Draft a closure memo setting out the steps taken or proposed to be taken by Supervision to address the prudential issues raised in the disclosure. The 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 relevant issues and outlines this plan in the closure memo. Here is a template closure memo [ensure that team can assess this] to assist. Please also see this sample closure memo.
5. Save the draft closure memo in the restricted IM folder and provide this link to me when ready for review.
6. Once the WB case officer has completed their review, the closure memo is signed off by your team (usually the responsible analyst and manager) and s 22 (the Whistleblower Manager).
7. Your team sends the closure memo to your General Manager for approval to close, in accordance with the Whistleblower procedure.

Please let me know if you have any questions or wish to meet to discuss.

Kind regards

2.4 6-month check in with Supervisors

OFFICIAL: Sensitive (APRA Act s56)

Good afternoon

Whistleblower Matter XX related to your entity XX has been open for more than 6 months.

Can you please provide an update on what actions have been taken by your team regarding this matter and an estimation of when the matter could be closed?

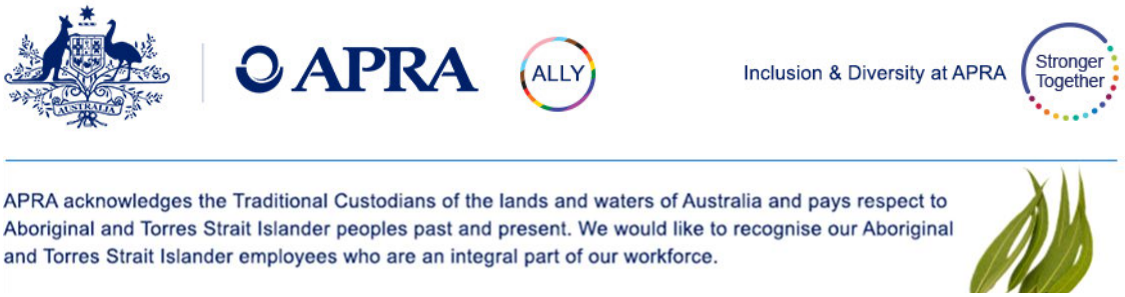
Thank you

Case officer / Coordinator

[Case Officer]

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au



APRA acknowledges the Traditional Custodians of the lands and waters of Australia and pays respect to Aboriginal and Torres Strait Islander peoples past and present. We would like to recognise our Aboriginal and Torres Strait Islander employees who are an integral part of our workforce.

2.5 Closure memo and instructions for Supervision.

OFFICIAL: Sensitive

Good Afternoon,

The procedure for closing Whistleblower matters is that your team drafts the closure memo, and provides it to whistleblower@apra.gov.au (see sample closure memo Template Whistleblower Closure Memo.docx). [case officer], as the case officer, will review the memo, and once finalised will have it signed off by your team (usually the responsible analyst and manager) and Alex Smith as Whistleblower Manager.

The relevant delegate is your General Manager, as required by the Whistleblower procedure.

The 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. [remove if not relevant]

It is our policy not to send any Whistleblower information as attachments to emails. To maintain the confidentiality of the Whistleblower's identity and information, all documents are saved in a restricted folder [link relevant folder]. Only links to the documents saved in the restricted folder, including the closure memo, can be shared.

Accordingly, please save the closure memo in the matter folder [link relevant folder] and provide this link to the signatories. I have granted access to this folder to [relevant GM] for GM sign off. If anyone else from your team requires access to the folder, please let me know.

If you have any questions please let me know.

Kind regards,
Case Officer

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au

APRA ALLY Inclusion & Diversity at APRA Stronger Together

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2.6 Email to Supervision confirming matter has been closed.

OFFICIAL: Sensitive (APRA Act s56)

Good morning,

Thank you for providing the approved closure memo.

This matter has now been closed in the Whistleblower Tracker. No further action is required from Supervision.

Kind regards,
[Case Officer]

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au



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2.7 *Email to Supervision providing instructions for preparing unsolicited release to ASIC.*

- Amend accordingly for AUSTRAC/ATO/ACCC

OFFICIAL: Sensitive (APRA Act s56)

Good morning,

Please see the template letter to ASIC for an unsolicited release of information. The information will need to be released via SecureDoc.

The procedure is for Supervision to draft the MTDM and release letter, and then provide both documents to your case officer for review.

I have also attached the template MTDM for an unsolicited release of information to ASIC.

A link to the MOU and further guidance if required is available here.

If you have any questions, or need any assistance with preparation of the release, please let me know.

Kind regards,
Case Officer

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | www.apra.gov.au



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3. Emails to peer regulators

3.1 *Email providing an unsolicited release to other peer regulators.*

OFFICIAL: Sensitive (APRA Act s56)

Subject Line - Unsolicited Release of Information and/or Documents – [Entity] APRA Reference [XXX]
……

ATO Send to TaxIntegrityCentre@ato.gov.au

ACCC Send to s 22 @accc.gov.au

AUSTRAC Send to AUSTRACReferrals@apra.gov.au **&** s 22 @austrac.gov.au

Also for domestic ADI's s 22 @austrac.gov.au (Director, Domestic Bank Supervision)

Also foreign banks s 22 @austrac.gov.au (Director, Foreign Bank Supervision) and s 22 @austrac.gov.au (Manager, Foreign Banks)

OAIC Send to s 22 @oaic.gov.au

FWO Send to s 22 @fwo.gov.au and s 22 @fwo.gov.au

Please see the SecureDoc folder [Link] related to APRA Matter XX-XXX, which has been shared with you this afternoon.

If you have any questions, please do not hesitate to contact me.

Kind regards,
Case Officer

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | **www.apra.gov.au**

Inclusion & Diversity at APRA

APRA acknowledges the Traditional Custodians of the lands and waters of Australia and pays respect to Aboriginal and Torres Strait Islander peoples past and present. We would like to recognise our Aboriginal and Torres Strait Islander employees who are an integral part of our workforce.

3.2 Email to ASIC providing an unsolicited release.

OFFICIAL: Sensitive (APRA Act s56)

Subject Line - Unsolicited Release of Information and/or Documents – [ENTITY] APRA Reference [XXX]
……

FOR ALL MATTERS BUT SUPERANUATION: Send to agency.reporting@asic.gov.au via email. Please also cc whistleblower@apra.gov.au.

FOR SUPERANUATION MATTERS: Send to agency.reporting@asic.gov.au via email. Please also cc, Super.APRA.Liaison@asic.gov.au, and whistleblower@apra.gov.au.

[DO NOT attach letter to email – should be saved in SecureDoc only and shared to:

- s 22 [redacted]@asic.gov.au
- s 22 [redacted]@asic.gov.au
- s 22 [redacted]@asic.gov.au
- s 22 [redacted]@asic.gov.au
- Agency Reporting – agency.reporting@asic.gov.au

Dear Misconduct & Breach Reporting Team,

Please see the SecureDoc folder [Link] related to APRA Matter XX-XXX, which has been shared with you this afternoon.

If you have any questions, please do not hesitate to contact me.

Kind regards,
Case Officer

APRA Whistleblower Team

Australian Prudential Regulation Authority
1 Martin Place (Level 12), Sydney, NSW 2000
02 9210 3000 | **www.apra.gov.au**

Inclusion & Diversity at APRA

APRA acknowledges the Traditional Custodians of the lands and waters of Australia and pays respect to Aboriginal and Torres Strait Islander peoples past and present. We would like to recognise our Aboriginal and Torres Strait Islander employees who are an integral part of our workforce.

3.3 *Email to responding to ASIC request for consent to contact Whistleblower*

OFFICIAL: Sensitive

Good morning,

Thank you for your email.

I confirm that APRA consents to ASIC contacting the Whistleblower in this matter.

The Whistleblower consented in writing on XX XXX XXX to APRA sharing their disclosure with ASIC.

Please let me know if I can assist any further in this matter.

Kind regards,
Case Officer

APRA Whistleblower Team

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1 Martin Place (Level 12), Sydney, NSW 2000
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4. WB team templates

4.1 Template Whistleblower handover note

WHISTLEBLOWER MATTER HANDOVER	
Matter ID	
Industry	
Current case officer	
New case officer (to be assigned by WB Manager)	
Link to matter folder	
Responsible supervisor (include contact details)	
Brief description of disclosure (including Qualifying or Non-qualifying status)	
Current Status	
Key upcoming dates and next steps	

4.2 Template form for assessment of Whistleblower eligibility. (LINK)

WHISTLEBLOWER QUALIFICATION CHECKLIST

To be completed for each Whistleblower Assessment and saved in the relevant restricted folder.

Matter XXXX-XXXX **Entity** XXXX

Assessment		Notes
Is the subject of the disclosure a regulated entity?	Choose an item.	
Is the complainant an eligible Whistleblower?	Choose an item.	
Is the subject of the disclosure a disclosable matter?	Choose an item.	
Was the disclosure made to an eligible recipient?	Choose an item.	

ASSESSMENT –

☐Qualifying for Whistleblower Protections ☐Non-Qualifying

☐Need Further Information/Corporate Legal Advice

Recommendation of release to a peer regulator:

☐ASIC ☐AUSTRAC ☐ACCC ☐ATO ☐AFP ☐Police

☐Other

Reasons: XXX

Seriousness of Allegations
Low Allegations are of low level breaches or minor conduct concerns. Unlikely to require immediate APRA action.
Medium If allegations are true they would pose a risk to the entity that requires action by APRA, but not prima facie an enforcement action or formal investigation.
High If allegations are true they would pose a significant risk to the entity (financial/reputational etc). Requires immediate consideration by Supervision and potential escalation for consideration of enforcement action or formal investigation.
Rating: Low/Medium/High **Reasons:** XXX

Reliability of Source of Information
Low Anonymous disclosure with no indication of connection to entity or information appears outlandish or overstated.
Medium Discloser in a position to know information, but potentially has a personal grievance against entity.
High Discloser in a position to know inside information about entity (usually employee). No clear grievance against entity. May have raised concerns with entity internally first.
Rating: Low/Medium/High **Reasons:** XXX