

Australian Prudential Regulation Authority

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APRA

APRA Ref no. 14/002748  
Your Ref no. 206

8 September 2014

[Redacted]

Dear [Redacted]

**Request for information under the *Freedom of Information Act 1982***

I refer to your request dated 31 Jul 2014, in which you sought access under the *Freedom of Information Act 1982* to copies of:

*'206. APRA's 'risk based supervision with the Trio board increased significantly in 2008/09 relative to 2004/05'. Please provide documentation supporting this variation.'*

In a letter dated 11 August 2014, I undertook a request consultation process in accordance with section 24 of the Act and notified you under subsection 24AB(2) of the FOI Act of my intention as a delegate to refuse access to the documents subject of the request, on the basis that the processing work involved would substantially and unreasonably divert the resources of APRA from its other operations.

By email dated 17 August 2014, you revised your request to:

*'206. Provide documentation of the process APRA follow when a fund increases its risk based supervision from one point in time to another. VOFF only seek the one document. We do not seek emails, we do not seek any other form of data. We expect this document is no more than seven pages. We do not want personal details. We do not seek company names.'*

This amended request is the subject of the attached decision.

***Notice of decision***

I attach a notice of decision with statement of reasons. The statement of reasons sets out your rights of review.

Please contact me on 02 9210 3156 or [foi@apra.gov.au](mailto:foi@apra.gov.au) if you have any queries.

Yours sincerely

Hannah Cole  
Senior APRAinfo Officer  
Australian Prudential Regulation Authority

**NOTICE OF DECISION MADE UNDER SECTION 23  
OF THE FREEDOM OF INFORMATION ACT 1982 (the FOI Act)  
WITH REASONS FOR DECISION PROVIDED UNDER SECTION 26**

- Applicant:** Mr Paul Matters
- Decision-maker:** Hannah Cole, an authorised officer of the Australian Prudential Regulation Authority (APRA) for the purposes of section 23(1) of the FOI Act.
- Relevant documents:** A copy of the document that shows the process APRA follow when a fund increases its risk based supervision from one point in time to another.
- My decision:** Grant access to the documents in the Schedule.

**MATERIAL FACTS**

1. By email dated 31 July 2014, the Applicant requested:

‘206. APRA’s ‘risk based supervision with the Trio board increased significantly in 2008/09 relative to 2004/05’. Please provide documentation supporting this variation.’

2. Letter dated 11 August 2014, APRA consulted with the Applicant in accordance with section 24 of the FOI Act.

3. Email dated 17 August 2014, the Applicant revised the request to:

‘206. Provide documentation of the process APRA follow when a fund increased it risk based supervision from one point in time to another. VOFF only seek the one document. We do not seek emails, we do not seek any other form of data. We expect this document is no more than seven pages. We do not want personal details. We do not seek company names.’

This amended request (the request) is the subject of the decision.

**EVIDENCE AND MATERIAL RELIED ON**

4. In making my decision, I have relied on the following evidence and material:
- a) the Applicant’s request received by APRA on 31 July 2014;
  - b) letter from FOI Officer to the Applicant dated 11 August 2014;
  - c) Documents set out in the attached Schedule;
  - d) email from Applicant to FOI Officer, dated 17 August 2014;
  - e) file note written by FOI Officer, dated 8 September 2014;
  - f) relevant sections of the *Freedom of Information Act 1982*; and
  - g) Guidelines issued by the Office of the Australian Information Commissioner to date.

## REASONS FOR DECISION

5. I do not consider that any exemptions or conditional exemptions in the FOI Act apply to the document in the Schedule. Therefore I have decided to grant access to the documents in the Schedule.

## COMPLAINTS TO THE INFORMATION COMMISSIONER

6. You may complain to the Commissioner concerning action taken by this agency in the exercise of powers or the performance of functions under the FOI Act. There is no fee for making a complaint. The Commissioner will conduct a completely independent investigation of your complaint.
7. You may complain to the Commissioner either orally or in writing, by any of the methods below.
  - Telephone: 1300 363 992
  - email: [enquiries@oaic.gov.au](mailto:enquiries@oaic.gov.au)
  - GPO Box 2999, Canberra ACT 2601
  - website at [www.oaic.gov.au](http://www.oaic.gov.au)

  
Hannah Cole  
Australian Prudential Regulation Authority

Date: 8 September 2014

**Schedule of Documents - Freedom of Information**

***Mr Paul Matters - A copy of the document that shows the process APRA follow when a fund increases its risk based supervision from one point in time to another.***

	Description of document	Release/ Non-release
1	APRA Supervision Blueprint	Release
2	Supervisory Oversight and Response System (SOARS) publication	Release

