



# APRA Connect Guide

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# Chapter 1 - Getting Started with APRA Connect

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## 1.1 Using this guide

This guide provides comprehensive information to assist users accessing, navigating and using APRA Connect. The guide should be used in conjunction with [taxonomy artefacts](#) published on the APRA website when preparing and submitting data to APRA.

## 1.2 What is APRA Connect

APRA Connect is the data collection solution for reporting entities to lodge entity information and data with APRA, and will be used in parallel with Direct to APRA (D2A).

Any new data collections will be made available through APRA Connect. As existing collections are modified, they will be transitioned from D2A to APRA Connect.

An APRA Connect [test environment](#) is also available, which enables exploration of the system and engagement on new collection design.

### 1.2.1 Technical Specifications

Please refer to the APRA Connect page on the APRA website for all APRA Connect [technical specifications](#).

### 1.2.2 Information Security

Please refer to the APRA Connect page on the APRA website for details of APRA Connect [data security](#).

## 1.3 Authentication

### 1.3.1 myGovID & RAM

APRA Connect is integrated with the Australian Government's [myGovID](#) and [Relationship Authorisation Manager](#) (RAM) authentication solution.

All users need to use myGovID to establish their digital identity and be authorised by their organisation to access APRA services on its behalf using RAM.

Service	Description
myGovID	myGovID is your personal digital identifier and enables you prove your identity when using participating government services online. It should be set up using a personal email address. You should not use a shared or business email.

Service	Description
<b>RAM</b>	<p>To access APRA Connect, you must be authorised in RAM to act on behalf of an organisation (defined by their ABN).</p> <p>The email address used to authorise you in RAM can be different from the email address used for your myGovID digital identity. Your work email should be used, as this is the address that will be used for APRA Connect notifications.</p>

**Note:** A user only needs one identity and authorisation to access both APRA Connect [environments](#).

APRA services work with both Standard and Basic myGovID identity strengths. Entities are responsible for granting authorisation to users through RAM and therefore responsible for ensuring that any authorised user meets the entity's own governance and security requirements.

Entities should be aware that a Standard identity strength is required in order to grant authorisations through RAM.

Please refer to published materials to find out more about [myGovID](#) and [RAM](#).

## Service Providers

Service Providers must be authorised in RAM by the organisation on whose behalf they submit, i.e. their authorisation must be associated with the organisation's ABN, not their own.

### 1.3.2 New users

When a user first [navigates](#) to an APRA Connect environment (i.e. the production or test environment), they must be authenticated through myGovID. Upon successful authentication through myGovID, a user account is created in the APRA Connect environment and their name, email address and SubjectID are transferred to their APRA Connect profile in that environment.

Email notification is sent to:

- an organisation's Regulatory Reporting Administrator(s) ([APRA Connect role](#)), or an APRA Administrator if a Regulatory Reporting Administrator has not been defined, to inform them that roles need to be assigned to a new user.
- the new user, informing them that a Regulatory Reporting Administrator needs to assign their roles, and listing their organisation's Regulatory Reporting Administrator. If a Regulatory Reporting Administrator has not been defined for the organisation, they will be informed that an APRA representative will contact them.

Until the new user is assigned a role, their user status will be 'Inactive' and they cannot access the portal functionality. Refer to [Managing users](#).

**Note:** A user must access and be assigned roles in each [environment](#) separately.

Once roles are assigned, the new user will receive email notification welcoming them to their APRA Connect account.

## 1.4 Accessing APRA Connect

### 1.4.1 APRA Connect production environment

The APRA Connect portal is the production environment through which entities submit their live production data.

Access the APRA Connect portal using the following URL; <https://connect.apra.gov.au>.

### 1.4.2 APRA Connect test environment

The APRA Connect test environment will help entities, Service Providers, and RegTechs to:

- familiarise themselves with the features and functionalities of APRA Connect.
- identify any changes required to existing systems and processes.
- engage with APRA on new collection design.

Access the APRA Connect test environment using the following URL;  
<https://connect-test.apra.gov.au>.

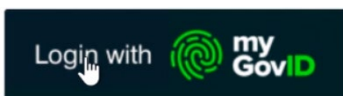
**Note:** The [APRA query](#) process is not functional in the test environment as the precise queries that trigger the errors will not work on non-production data.

#### *RegTechs*

RegTechs should refer to the [RegTech onboarding information](#) on the APRA website for details of requesting access to the APRA Connect test environment.

### 1.4.3 Logging into APRA Connect

When you access either of the APRA Connect environments, click the **Log in with myGovID** button to be redirected to myGovID.



Once authenticated through myGovID you will be returned to APRA Connect and logged in.

If you are a [new user](#), you must be assigned your applicable roles by a Regulatory Reporting Administrator.

#### *myGovID timeout*

myGovID authentication times out after 20 minutes. If you log out of APRA Connect and then log in again during this 20 minute period you will not need to reauthenticate. If you are responsible for multiple entities, you will need to select the required entity.

To avoid another person accessing APRA Connect using your credentials (e.g. if using a shared machine), ensure you close the browser window after you log out to force reauthentication.



#### 1.4.4 APRA Connect session timeout

Your session will timeout if APRA Connect is idle for 60 minutes.

Any unsaved data will be lost and you will need to login again.

### 1.5 Getting Help

#### 1.5.1 Technical help

If this publication does not assist with your enquiry or you are experiencing technical difficulties with APRA Connect, please contact the APRA Support Desk:

- on +61 2 9210 3400 Mon-Fri, 9:00am – 5:00pm (AEST), or
- via email: [support@apra.gov.au](mailto:support@apra.gov.au)

#### 1.5.2 Additional feedback and questions

The APRA Support Desk cannot assist with completing forms, or with any validation errors or warnings.

Refer to the APRA website for information on [APRA Connect taxonomy](#) which include the data dictionary, validations, reporting taxonomy and XSD (to validate files).

For enquiries about completing forms, please contact APRA by emailing [dataanalytics@apra.gov.au](mailto:dataanalytics@apra.gov.au).

#### 1.5.3 myGovID help

For help with myGovID or Relationship Authorisation Manager (RAM), please refer to the [myGovID help page](#) or contact the support line on 1300 287 539 (select option 2 for myGovID enquiries), Mon-Fri 8:00 am – 6:00 pm AEST.

# Chapter 2 - APRA Connect Interface and Navigation

## 2.1 Environments

As well as having different URLs, the two APRA Connect [environments](#) can also be visually distinguished by:

- the name displayed in the title header, i.e. the test environment includes TEST in the name.



- the colour theme;



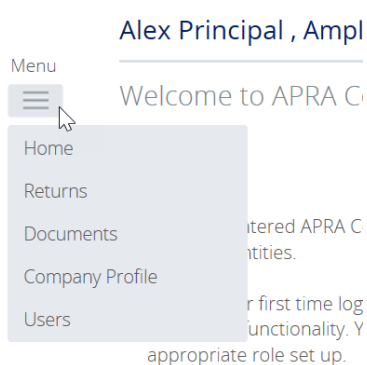
Navigation and most functions (excluding the [APRA query](#) process) are the same for both environments.

## 2.2 Navigation



### 2.2.1 Menu

The menu is available from all APRA Connect pages. The options available depend on your assigned role. Refer to [User roles](#) for descriptions of each role.






Option	
Home	Returns you to the APRA Connect home page.
Returns	Opens the Manage Returns page to access draft <a href="#">regulatory returns</a> , and to create <a href="#">ad hoc</a> and <a href="#">corporate</a> returns.

Option	Description
<b>Documents</b>	Opens the Documents page, which will be used to share documents on an ad hoc basis.
<b>Company Profile</b>	Opens the Company Profile page where you can view the information held by APRA about your organisation. Refer to <a href="#">Company Details and Corporate Profile Returns</a> for more details.
<b>Users</b>	Only available to those with the Regulatory Reporting Administrator role, to <a href="#">manage the user roles</a> of your organisation's APRA Connect Portal users.

## 2.2.2 Icons

In the top right-hand corner of the screen you'll find the following icons:

Icon	Description
	Open your <a href="#">My Details</a> page to edit your details.
	Open generic system help for the portal pages. For APRA specific information, please refer to this guide.
	Log Out.

## 2.2.3 Keyboard shortcuts




Portal action	Shortcut
<b>Home</b>	Shift+H
<b>Manage Returns</b>	Shift+D
<b>Submission History</b>	Alt+Ctrl+H
<b>Create Return</b>	Alt+Ctrl+C
<b>Documents</b>	Shift+X
<b>Company Profile</b>	Shift+C
<b>Users</b>	Alt+Ctrl+E
<b>View/Edit My Details</b>	Shift+M
<b>Help</b>	Shift+I
<b>Log Out</b>	Shift+L

## 2.3 Using lists

### 2.3.1 Sorting

Lists within APRA Connect can usually be sorted by clicking the desired column heading.

On lists that can also be filtered, an arrow indicates the sort direction, i.e. ascending or descending.

Name	Reference	Revision	Categories	Status	End date	Due date	Actions
<a href="#">RSE Structure Preview</a>	SUP_STRUCT_PRE00055	<a href="#">0.1</a>		No Data	22/02/2021		 
<a href="#">Member accounts</a>	SUP_MEMAC00041	<a href="#">0.1</a>		No Data	31/12/2020	31/03/2021	

### 2.3.2 Searching / Filtering

You can search/filter on single or a combination of columns that include a field or list at the top.

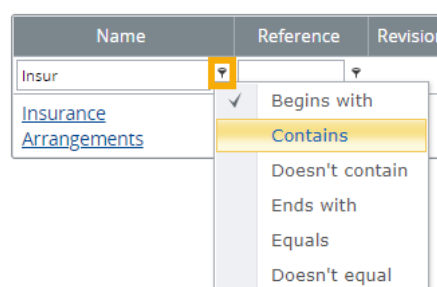
Delete or clear search criteria to display all list entries.

#### *Free text fields*

Free text fields enable you to search for entries with the entered criteria.

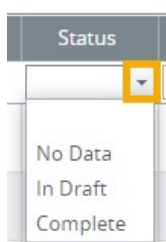
The default searches for entries beginning with the entered characters.

Click the filter icon beside the field to select an alternative criterion on which to search the column.

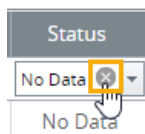


#### *Predefined lists*

Columns that display a limited number of predefined values, can be filtered by selecting the desired value from a drop-down list.



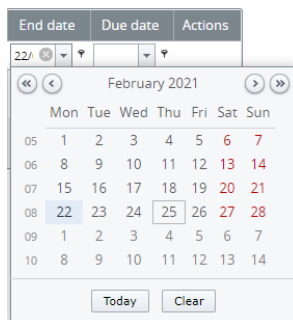
To clear the field, either select the empty list item or click the cross icon.



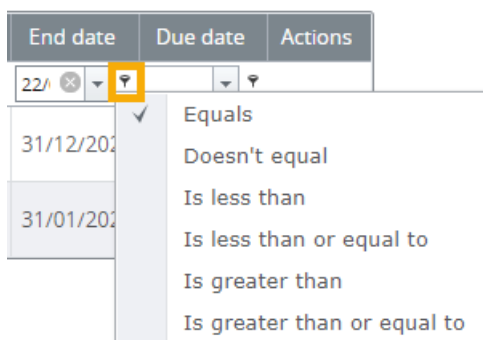
## Dates

Date columns enable you to search for a specific date or filter on a date range.

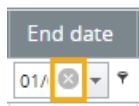
The default searches for the exact date selected.



Click the filter icon beside the field to select an alternative condition to define a range of dates based on the selected date.



To clear the field, click the cross icon.



# Chapter 3 - User Administration

## 3.1 My Details

To view and update your user details, click the **My Details** icon beside your name.

Taylor Secondary , Ample Entity Ltd   

### 3.1.1 Updating My Details

Your details are populated from myGovID/RAM. Because your name and email address must match for authentication, they can only be managed through RAM. This means only your Telephone number can be updated in APRA Connect:

1. Change your **Telephone number** as required.
2. Click **Update My Details**.

My Details

#### Edit My Details

Please, note, that you can update either the Email address or the Telephone number at a time and to update both, you would need to logout and login again.

Review your user account details below. To update, please enter new details and click the update button.


First name:	<input type="text" value="Taylor"/>	Locked Due to Permission Settings
Surname:	<input type="text" value="Secondary"/>	Locked Due to Permission Settings
Email address:	<input type="text" value="taylor@ample.com.au"/>	Locked Due to Permission Settings
Telephone number:	<input type="text" value="02"/> <input type="text" value="9246 2100"/>	*
	<small>Area code</small> <small>Number</small>	

Update My Details

**Note:** To update your email address, e.g. from personal to business, you will need to be reauthorised in [RAM](#). Refer to the [Relationship Authorisation Manager](#) website for details of managing authorisations and when details can be edited.

### 3.1.2 Viewing your permissions/roles

To see what [roles](#) are currently assigned to you, on the My Details page click the arrow beside **Assigned permissions / roles**.

Assigned permissions / roles: 		
Assigned to	Type	Roles
Ample Entity Ltd	Company	<a href="#">Portal - Regulatory Reporting Preparer</a>

Click the role name for a description of the permissions associated with the role.

## 3.2 Managing users

Each organisation is responsible for the management of their APRA Connect users, and for ensuring roles are assigned in line with their own governance processes.

Organisations must have at least one person assigned to the *Regulatory Reporting Administrator* role, which is the only role with permissions to manage user access. APRA Administrators will assist by assigning the initial Regulatory Reporting Administrator with their permissions upon their first interaction with APRA Connect.

### 3.2.1 Activating new users

As detailed in [Getting Started with APRA Connect](#), new users must be authorised in myGovID in the Relationship Authorisation Manager (RAM) to enable authentication with APRA Connect.

Once the user has successfully authenticated for the first time, an APRA Connect account is created and the appropriate roles need to be assigned. Existing Regulatory Reporting Administrators can activate and assign permissions. Refer to [Viewing and editing users](#).

### 3.2.2 Deactivating users

If an APRA Connect user leaves your organisation or changes roles, part of your off-boarding process should be to make the person's account inactive in APRA Connect and their authorisation removed in [Relationship Authorisation Manager](#) (RAM). Refer to [Viewing and editing users](#).

### 3.2.3 User roles

APRA Connect user roles facilitate different levels of access (e.g. draft, upload or submit). This enables entities to limit access to sensitive information such as personal data required for Responsible Persons.

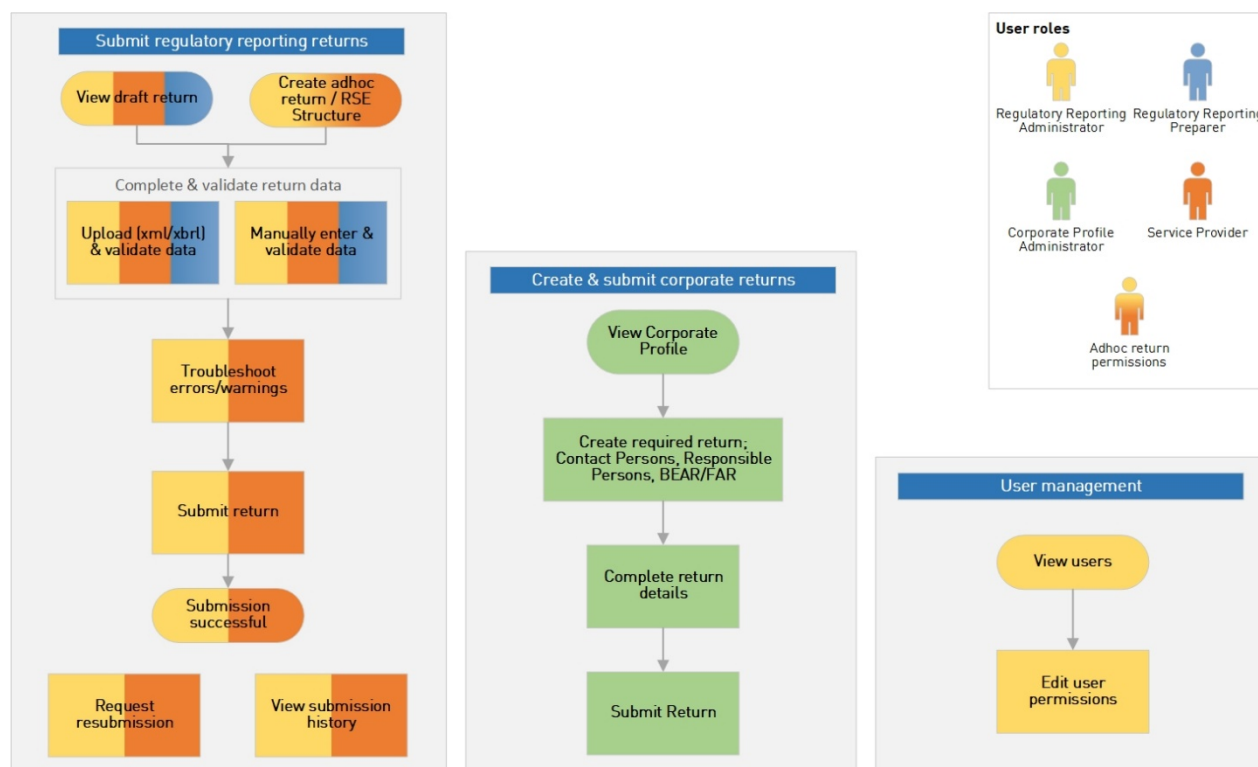
There is no limit on the number of users per role. Users may require a combination of roles to be able to access and complete the appropriate tasks.

Entities should be aware that granting access to a user enables them to view past and present data, in addition to editing submissions.

Role	Responsibilities, functions and access levels
<b>Regulatory Reporting Administrator (RRA)</b>	<p>Responsible for:</p> <ul style="list-style-type: none"><li>granting access to other RRAs, Preparers, and Service Providers.</li><li>managing user roles and permissions to ensure users remain current. This involves updating users' permissions when a user departs the organisation.</li></ul> <p>APRA requires one Administrator to be nominated for each reporting entity (ABN). An RRA cannot assign additional roles to themselves. A second RRA would be required to assign additional permissions to an initial RRA. Where an entity has only one RRA a request to APRA will be required to make any change.</p> <p>RRAs are able to complete and submit returns.</p> <p>Users in this role will receive notifications pertaining to upcoming return due dates, Late Notices, and the availability of data queries.</p>

Role	Responsibilities, functions and access levels
<b>Regulatory Reporting Preparer</b>	<p>Able to draft regulatory returns in preparation for submission, but cannot submit the return.</p> <p>In order for return validations to trigger, the user needs to be able to submit a return. This means users with this role can enter the data, but will be unable to respond to validations.</p>
<b>Service Provider</b>	<p>Service Providers are able to draft, upload and submit returns.</p> <p>This role can be assigned to third-party administrators who submit on behalf of an entity or any user that requires the ability to draft, upload and submit returns without them having the permission to assign roles to other users.</p>
<b>Corporate Profile User</b>	<p>Able to edit corporate returns in order to update organisation level details, including Responsible Persons and Accountable Persons. No other roles will be able to view this information.</p>
<b>Ad hoc return permissions</b>	<p>An additional role to add in combination with an existing role, which allows the user to create a return. Ad hoc return permissions allow users to request resubmissions, request an extension or an exemption, or submit file attachments to APRA.</p> <p>This permission is also required for superannuation entities to create the <a href="#">RSE Structure</a> outside the standard reporting cycle.</p> <p>This role can be assigned to any user to extend their capability to create these types of requests and submissions at any point in time. It may be a suitable role to assign to a Service Provider to allow them to fully administer the entity's reporting obligations on behalf of the entity.</p>

The following diagram illustrates how each role can interact with the system.



**Figure 1. APRA Connect user roles overview**

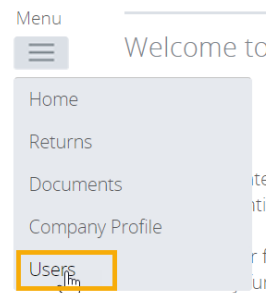


### 3.2.4 Viewing and editing users

People with the Regulatory Reporting Administrator role can assign and edit the roles of other users in their organisation.

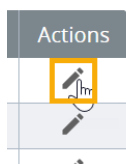
To view and edit a user:

1. From the Menu, select **Users**.



The Manage APRA Connect Portal Users page lists all people with active and inactive APRA Connect user accounts in for your organisation.

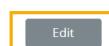
2. In the Actions column click the **View/Edit** icon of the required individual.



3. To edit user roles click **Edit**.

View APRA Connect Portal User

First name:	Riley
Surname:	Profile
Email address:	riley.profile@ample.com.au
Telephone number:	02 987987987
Activation status:	Active
Permission:	<div><input type="checkbox"/> Portal - Regulatory Reporting Prepare <input type="checkbox"/> Portal - Regulatory Reporting Adminis <input type="checkbox"/> Portal - Service Provider <input type="checkbox"/> Portal - Ad hoc return permissions <input checked="" type="checkbox"/> Portal - Corporate Profile Administrat</div>



4. If updating a new user or deactivating a user, set **Activation status** as required.

Edit APRA Connect Portal User

This functionality allows you to grant users permissions in APRA Conn user(s).  
I acknowledge that granting a Service Provider access to APRA Connect submission information, and I am authorised to provide such access.

First name:	Toni
Surname:	Shadow
Email address:	toni.shadow@ample.com.au
Telephone number:	44 6666
Activation status:	<div><input checked="" type="radio"/> Active <input type="radio"/> Deactivated</div>

5. To edit user roles, from the **Permission** list, check or uncheck the roles to apply to the user.

Permission:

<input checked="" type="checkbox"/>	<a href="#">Portal - Regulatory Reporting Prepare</a>
<input type="checkbox"/>	<a href="#">Portal - Regulatory Reporting Adminis</a>
<input type="checkbox"/>	<a href="#">Portal - Service Provider</a>
<input checked="" type="checkbox"/>	<a href="#">Portal - Ad hoc return permissions</a>
<input type="checkbox"/>	<a href="#">Portal - Corporate Profile Administrat</a>

Save Cancel

6. Click **Save**.

# Chapter 4 - Draft Returns

To open the Manage Returns page, select **Returns** from the Menu.

The Draft Returns list displays all returns that are available for completion, including [regulatory](#), [ad hoc](#), and [corporate profile](#) returns.

By default, the list is sorted by the date the returns were created. Use the column headings to sort as required. Refer to [Using lists](#) for further information.

## Manage Returns

This page allows you to perform all activities related to managing returns.



### Draft Returns

Name	Reference	Revision	Categories	Status	End date	Due date	Actions
<input type="text"/>	<input type="text"/>			<input type="text"/>	<input type="text"/>	<input type="text"/>	
<a href="#">Asset Allocation</a>	SUP_AA00043	<a href="#">0.1</a>		No Data	31/12/2020	31/03/2021	
<a href="#">Insurance Arrangements</a>	SUP_INSA00050	<a href="#">0.1</a>		No Data	31/12/2020	31/03/2021	
<a href="#">Member accounts</a>	SUP_MEMAC00041	<a href="#">0.1</a>		No Data	31/12/2020	31/03/2021	
<a href="#">RSE Structure Preview</a>	SUP_STRUCT_PRE00055	<a href="#">0.1</a>		No Data	22/02/2021		

The list shows each return's current status, reporting end date, and submission due date (if applicable).

Possible statuses for draft returns:

- No Data - Return has not been populated.
- In Draft – Some data has been entered/uploaded but is not yet complete.
- Complete – All required fields contain data and the return is ready for submission.

**Note:** Submitted returns are removed from the Draft Returns list. Click the **View Submissions** button to see returns that have been successfully submitted to APRA. Refer to [Submission history](#).

To generate a PDF of a return, click the icon in the Actions column.

To open a return, click the return's name.

## 4.1 Viewing a return

The View Return page displays the forms contained in the return.

### View Return

Return name:	Member accounts	Return reference:	SUP_MEMAC00041
Return end date:	31/12/2020	Return due date:	31/03/2021
Return status:	No Data	Categories:	

### Actions







Upload Data

Please select a section to complete. You can partially complete a section and save it in draft for completion later. You can also view sections in PDF format.

Once all sections are completed and the structure is validated, the return can be validated against APRA's business rules and submitted using the Validate & Submit button on this screen or via the Submit Return functionality under the Submit Return menu.

After uploading a file you can refresh your browser to view the updated status. The uploaded file can be validated by clicking the Upload History button on this screen.

Note: if you do not provide data for any of the tables in this return, you acknowledge and understand that you have no data to report in those tables.

Member accounts		Status: No Data
  Member Accounts		
	Entity Details	Edit   View   
	 Member accounts	Edit   View   
	 Member accounts (MySuper products)	Edit   View   
 Additional Notes		
	Additional Notes	Edit   View   

The icon displayed beside the return and form names indicate their current status:



- No data



- In draft



- Validated with no errors

### 4.1.1 Deleting existing return data

You can delete entered data from either an individual form or an entire return:

1. On the View Return page, click **Clear** either:
  - at the top of that pane, at the return level, to clear the entire return; or
  - for an individual form to clear only that form.





2. Click **OK** to confirm deletion.

**Note:** Once deleted, the data cannot be retrieved.

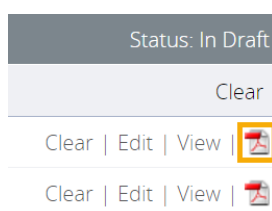
## 4.2 Creating PDFs of returns and forms

You can generate a PDF version of a whole return or individual form, including entered data, at any time.

To create a PDF of an entire return, on the Manage Returns page, click the **Download PDF** icon in the **Actions** column.

	Due date	Actions
0	16/11/2020	
0	28/02/2021	

To create a PDF of a form, on the View Return page, click the **View in PDF** icon for the required form.



# Chapter 5 - Company Details and Corporate Profile Returns

## 5.1 Company profile obligations

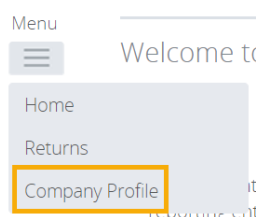
If and when your company profile needs to be updated, new information is submitted to APRA through APRA Connect, using one of the available corporate profile returns.

For example, if changes to a company's address are required, a 'Contact Information' return would be created and submitted.

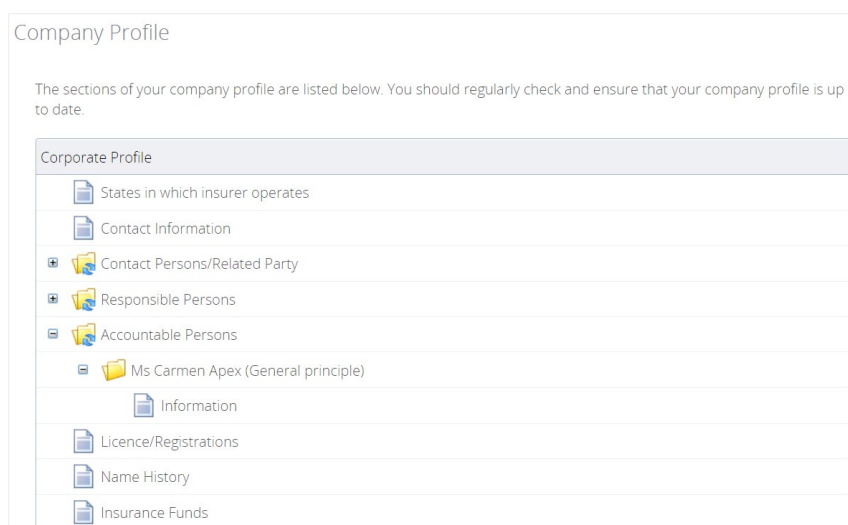
For details of your organisation's obligations, please refer to the applicable industry page on the [APRA](#) website.

## 5.2 Viewing your company profile

To view the information held by APRA about your organisation, from the **Menu** select **Company Profile**.



The Company Profile page displays a list of sections that make up your organisation's profile. Click a section to view its contents. The details displayed are dependent on the industry to which your organisation belongs.



The details in your company's profile should be reviewed on a regular basis to ensure the information is kept up to date.

Changes to company profile details are made by creating and submitting the appropriate corporate return. Only users with the applicable permissions can create corporate returns to update an organisation's details. Refer to [User roles](#) for details of roles and permissions.

## 5.3 Creating a corporate return

Corporate Profile Users can create and submit the majority of corporate returns to update an organisation's details. The Ad hoc return permissions role is required for [Superannuation corporate returns](#). Refer to [User Administration](#) for details of roles and permissions.

### 5.3.1 Available corporate returns

Form set name	Description
<b>Balance Date</b>	Update balance date currently recorded in your organisation's profile.
<b>Contact Information</b>	Add or update your organisation's address and contact details. You can add multiple instances enabling you to add/update multiple address types in one submission.
<b>Contact Persons/Related Parties</b>	Add or update the detail of Individuals (e.g. Crisis Contact) and view related Legal Entities (e.g. Trustee). You can submit multiple instances in the same return. See <a href="#">Explanation of corporate roles in returns</a> for more information.
<b>Name Details</b>	Submit a change of registered name for your organisation.
<b>Responsible Persons</b>	APRA regulated entities can add or update multiple instances in the same submission. See <a href="#">Explanation of corporate roles in returns</a> for more information.

### *Authorised deposit-taking institution corporate returns*

Please refer to the Banking Executive Accountability Regime (BEAR) page on the [APRA](#) website for information related to reporting obligations.

Form set name	Description
<b>Accountability Map</b>	Upload an accountability map independent of accountable persons details.
<b>Executive Accountability Regime - Registration</b>	Register accountable person to make BEAR submissions. May include accountability map.
<b>Executive Accountability Regime - Update</b>	Make changes to your organisations recorded BEAR profile.

### *Private Health Insurance corporate returns*

Please refer to the Private Health Insurance (PHI) industry page on the [APRA](#) website for information related to reporting obligations.

Form set name	Description
<b>States in which insurer operates</b>	Update the states and territories in which your organisation does business.

### *Superannuation corporate returns*

The following returns can be created (outside the standard reporting cycle) by users with the Ad hoc return permissions role. Refer to [User roles](#).

These returns are submitted against the profile of each individual Registrable Superannuation Entity (RSE). Please refer to the Superannuation industry page on the [APRA](#) website for information related to reporting obligations.

Form set name	Description
<b>Fees and Costs</b>	Captures fees and costs that are to be charged to a member or would otherwise affect member balances.
<b>RSE Structure</b>	Collects information on the structure of each registrable superannuation entity's (RSE) business operations.
<b>RSE Structure Preview</b>	Displays read-only information currently stored in your organisation's profile.  Tables in APRA Connect have a 200 row limit when viewed through the on-screen return. The RSE Structure Preview return allows you to view RSE Structure data exceeding 200 rows for your fund.  It also enables you to upload new products in bulk. Download and save the RSE Preview, edit the data in Excel, and then upload the file into the RSE Structure return by selecting 'upload file'.

## 5.3.2 Creating and completing a corporate return

To create a new return:

1. From the **Menu**, select **Returns**.
2. On the Manage Returns page, click **Create Return**.

Manage Returns

This page allows you to perform all activities related to managing returns.



The page displays the available form sets to make up company returns.



### 3. Select the required form set from the list.

#### Create Return

To submit a corporate return, input a return name in either language and copy the same into the other required name field. Select the return to be submitted from the list below. The Effective Date is the earliest effective date of change contained in the return.

Return name:

Select form set:

- ☐ Accountability Map
- ☐ Ad Hoc Request and File Upload
- ☐ Balance Date
- ☐ Contact Information
- ☐ Contact Persons/Related Parties
- ☐ Executive Accountability Regime - Registration
- ☐ Executive Accountability Regime - Update
- ☐ Fees and Costs
- ☐ Name Details
- ☐ Responsible Persons
- ☐ RSE Structure
- ☐ RSE Structure Preview

Effective Date:

**Create**

- Enter a name for the return, using a naming convention that is meaningful to your organisation.
- Click the calendar icon and select the date from which the submitted details take effect (i.e. not the date the return is created, completed, or submitted).

Effective Date:

Clear March, 2021 x							
Today							
«	<					>	»
wk	Sun	Mon	Tue	Wed	Thu	Fri	Sat
8		1	2	3	4	5	6
9	7	8	9	10	11	12	13
10	14	15	16	17	18	19	20
11	21	22	23	24	25	26	27
12	28	29	30	31			

Select date

### 6. Click **Create**.

A confirmation page displays the return's reference number.

- To begin adding data to the return immediately, click the hyperlinked name to open the newly created return.

#### Return Created Successfully

Your return [Ample Entity - Change Contact Info](#) has successfully been created with the reference "CI00369".

You can now access the return whether click the Return name link above or in the "Draft Returns" area in the Returns area. When you have completed the return you can submit it in the same page by clicking the "Validate & Submit" icon link.

[Return to Manage Returns](#)

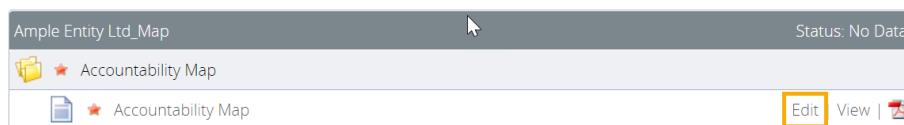
Draft returns can be accessed at any time from the [Manage Returns](#) page.

### 8. Depending on the form set selected, either:

- click the **Add Section** icon; or

Ample Entity - Change Contact Info		Status: No Data
	Contact Information	
	Add Contact Information	

- click **Edit** for an existing form.



Refer to the applicable prudential standard on the [APRA](#) website for details of reporting obligations for specific corporate returns.

9. Complete the form. Mandatory data is indicated by a red asterisk (\*).

10. To save and close:

- an incomplete form, click **Save as Draft**.
- a complete form, click **Validate and Save**.

The icon displayed beside the return and form names indicate their current status:

- No data
- In draft
- Validated with no errors

When complete and validated the return can be submitted. Refer to [Submitting Returns](#) for more information.

## 5.4 Updating corporate profile information

If the details of a previously submitted corporate profile return need to be updated, a new return of the same type should be created and submitted with the new information.

Resubmissions should not be requested to update corporate returns.

The exception is if an Accountable Person registration has been submitted but not yet approved by APRA, and the registration needs to be withdrawn. In this case, resubmission can be requested for the Executive Accountability Regime – Registration return. Refer to [Requesting a resubmission](#) for further information.

## 5.5 Explanation of corporate roles in returns

Information about relevant employees at your organisation is submitted to APRA through three types of returns, each with different requirements:

Return	Description
<b>Contact Person/ Related Party</b>	<p>Employees recorded in these roles predominantly assist APRA in where to target specific correspondence or to enable APRA Extranet access. Available role types include:</p> <ul style="list-style-type: none"><li>• Roles required for Extranet access:<ul style="list-style-type: none"><li>- Chief Executive Officer (or equivalent)</li><li>- Company Secretary</li><li>- Prudential Contact</li><li>- ILDR Contact – Internal Loss Data Refresh upload</li><li>- SDCP Contact</li></ul></li><li>• Billing contact – addressee for APRA levies</li><li>• Crisis management contact</li><li>• Regulatory Reporting Contact – contact person for reminder notices, Late Notices, post-submission query process for returns still submitted in D2A.</li></ul>
<b>Responsible Persons</b>	Refer to the relevant <i>Fit and Proper Prudential Standards</i> for your industry on the <a href="#">APRA</a> website.
<b>Accountable Persons</b>	Refer to the most current information on the <i>Executive Accountability Regime</i> on the <a href="#">APRA</a> website.

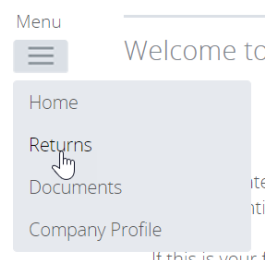
# Chapter 6 - Completing Regulatory Returns

## 6.1 When returns become available

Returns become available for completion in APRA Connect on the end date of the reporting period to which they apply. Please refer to your industry's page on the [APRA](#) website for information related to reporting obligations.

Returns are added to your list of draft returns on the [Manage Returns](#) page.

Email notification is sent to Regulatory Reporting Administrators seven days before the due date of a return.



## 6.2 Regulatory return completion and submission overview

The following diagram gives an overview of the process of completing regulatory returns.

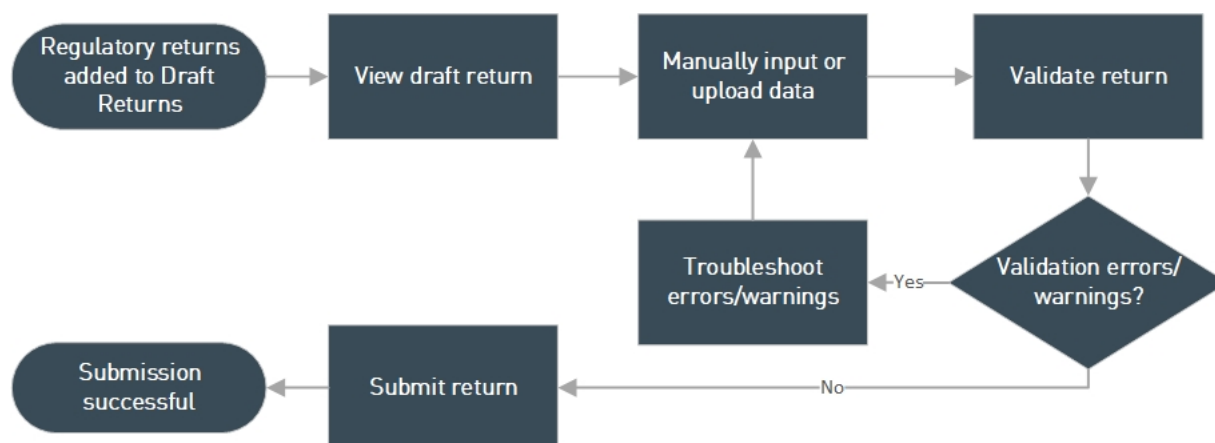


Figure 2. Return completion and validation process overview

## 6.3 Uploading return data






### 6.3.1 XML definitions and specifications

The XML definition file and specifications for a return are available from the Upload Data window. Follow the first two steps [below](#) to open the window and click the links.

A screenshot of the 'Upload Data' window in APRA Connect. The window has a title bar with 'Upload Data' and a close button. Below the title bar, there is a text block: 'The FormSet below will be populated with data by uploading a file.' Below this text is a dropdown menu showing 'Private Health Insurance Reform Data Cr' and a 'Choose File' button. At the bottom of the window, there is a text box with instructions: 'To validate an XML file prior to upload, [download the definition file](#). To see how the data on the form should be represented in XML, view [XML specs](#).'

The downloaded definition file can be used to validate your XML or XBRL files before uploading.

Clicking **XML specs** opens the View Return page with the forms and tables marked up with the schema item/list names.

Insurance Arrangements		
	★ Insurance Arrangements	[ SUP_INSAR ]
	Entity Details	[ EntityDetails ]
	★ Current	[ SRF_251_0_Table_1 ]
	insurance	
	arrangements	
	★ Previous	[ SRF_251_0_Table_2 ]
	insurance	
	arrangements	
	★ Insurance	[ SRF_251_1_Table_1 ]
	offerings	

XML file definitions are also available from the *Reporting Resources* page for your industry type on the [APRA](#) website.

You can create sample XML files using your organisation's XML editor and the downloaded definition file.

### 6.3.2 File types

Valid file types can differ between returns. You can locate the list of the file types for a specific return in the Upload Data window. See [below](#) for steps to access the Upload Data window.

definition file. To see how the data on the form should be represented in XML, view [XML specs](#).

ⓘ Allowed file types are: xls,xlsx,zip,rar,7z,gz,xml,xml,zip. If .xbml is a valid file type, to speed up the upload process it is recommended that XBRL/IXBRL files greater than 10Mb are compressed using the standard .zip format. No other compression formats are currently accepted.

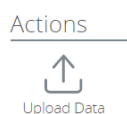
### 6.3.3 Empty rows in tables

Tables cannot contain empty rows, whether uploaded or manually entered. Refer to [Adding and deleting table rows](#).

### 6.3.4 Uploading return data

To upload return data from a file:

1. On the View Return page, under Actions, click **Upload Data**.



- Click **Choose File**.

If you are uploading data into a return where forms already contain data, you will be prompted to delete the existing data before proceeding. Refer [below](#) for further details.

- Locate and select the prepared file to upload.

The file type is validated and uploaded.

On completion, the file name and upload status is displayed.

- Click **Done** to close the window.

When returned to the View Return page, you may need to click **Refresh status** to update the return's status.

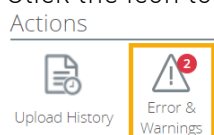


### ***Validation errors/warnings encountered***

If validation errors or warnings are encountered:






- The **Errors and Warnings** icon is displayed under Actions on the return page. The number indicates how many errors/warnings need to be addressed.

Click the icon to view the list of errors/warnings.



- If data could not be uploaded, affected forms (or the entire return) are indicated by the red star icon ★ (No data).

- The Manage Returns page displays one of the following statuses for the return with an exclamation mark icon:

Return status	Description
<a href="#">No Data</a> 	If an upload fails due to errors, the status is displayed as No Data. Correct the errors retry the upload. On the View Return page, forms containing errors are displayed with the In Draft icon  .
<a href="#">In Draft</a> 	If the file uploads successfully but validation errors are encountered, the status is displayed as In Draft. On the View Return page, forms containing errors are displayed with the In Draft icon  .
<a href="#">Complete</a> 	If the file uploads successfully but validation warnings are encountered, the status is displayed as Complete. Refer to <a href="#">Data validation</a> below.

Click the status to view the list of errors/warnings.

Errors should be corrected in your source system to avoid the same errors in the future, rather than manually correcting issues in the return.

**Note:** Validation rules triggered when uploading incomplete return data are not necessarily indicative of all the possible rules. As further data is added to a return, further validation rules may trigger. It is recommended you complete all forms in a return before clicking [Validate and Submit](#) and addressing any errors triggered.

### 6.3.5 Uploading into a return with existing data


A return may be completed by uploading multiple files containing the required data.

**Note:** For large amounts of data, it is recommended that data for individual forms within the return should not be split across multiple files.

If you are uploading data for a return where forms already contain data, you will be prompted to delete the existing data before proceeding.

[definition file](#). To see how the data on the form should be represented in XML, view [XML specs](#).

**There is existing data. Do you want to delete all existing data before uploading a new file?**


 Allowed file types are: xls,xlsx,zip,rar,7z,gz,xml,xml,zip. If .xbrl is a valid file type, to speed up the upload process it is recommended that XBRL/IXBRL


If you select	Result
<b>No</b>	<ul style="list-style-type: none"> <li>Uploaded table rows are appended to existing data. Validation errors will occur if the uploaded rows are the same as the existing row data (i.e. row data must be unique).</li> <li>If a field contains different values in both forms, you must select which value to use.</li> <li>If a field contains a value in one form and is blank in the other, the blank field is ignored and the data from the completed field is used.</li> <li>If the file contains only data for a form that currently contains no data, the data is added to the empty form and other forms are unaffected.</li> </ul>
<b>Delete</b>	All data in the return will be cleared.

### 6.3.6 Uploading data at the same time as another user

If you trying to upload data for a return at the same time as someone else, depending on the timing you may encounter one of the following:

- If the portal has had time to register the other person's uploaded data before you click **Choose file**, you will be prompted to delete the existing data before proceeding. See [above](#).
- If the other person's file is still being processed when you select and open your file, you will receive an error and your file will not be uploaded.

 **Pass-HRF 605.0 - Template2.xlsx** 81.5 KB

 Unable to upload file. Try again.

## 6.4 Manually entering return data

To manually enter data in a form:

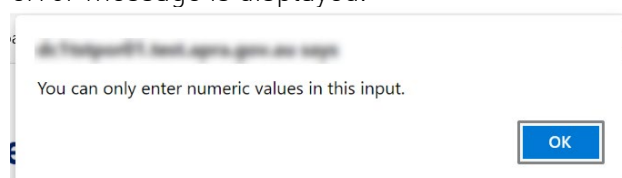
- Open the required form, by clicking either the form name or **Edit**.

Some returns require you to add a form by clicking the **Add section** icon . Refer [below](#).

- Enter the required data in the form fields.

Mandatory fields are indicated by a red asterisk.

Field level validation ensures you cannot enter the incorrect data type for a specific field. An error message is displayed.



- To save and close:
  - an incomplete form, click **Save as Draft**.



- a complete form, click **Validate and Save**.

If form level validation errors are present, the error list is displayed in a popup window, from where you can print the errors list if desired.

Rule name	Type	Problem	Additional information
	Mandatory Error	1. A value must be provided for each instance of the item OI11365 on the table TBL_FORM_701_0_T1.	Enter data in mandatory inputs.
	Mandatory Error	2. A value must be provided for each instance of the item OI11382 on the table TBL_FORM_701_0_T1.	Enter data in mandatory inputs.

[Print](#) | [Close](#)

Click **Close** to return to the form and either:

- o Correct the errors and re-validate; or
- o Save a draft to return to later.

Refer to [Data validation](#) below for further information of validation errors

Forms should be saved at regular intervals to minimise the risk of losing data due to an interruption to your connection.

### 6.4.1 Adding and deleting table rows

To add rows to a form table, click the **Add** button at the bottom right corner of the table.

To delete rows from a form table, click the **Delete** button at the far-right end of the applicable row.

#### Notes:

- APRA Connect does not support the pasting of tables copied from Excel (or any other file format).
- When using the Tab key to move around and interact with a table, lists and buttons (i.e. Delete and Add) are not highlighted.

## 6.5 Repeatable forms

### 6.5.1 Uploading data

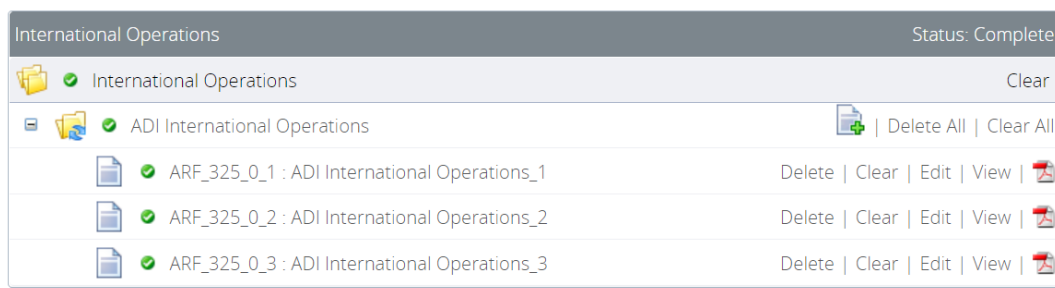
If a return can include multiple instances of the same form, when uploading data, the required forms are automatically generated based on contents of the uploaded file.

### 6.5.2 Manually entering data

If a return can include multiple instances of the same form, you can add as many forms as required to meet reporting obligations by clicking the **Add Section** icon.



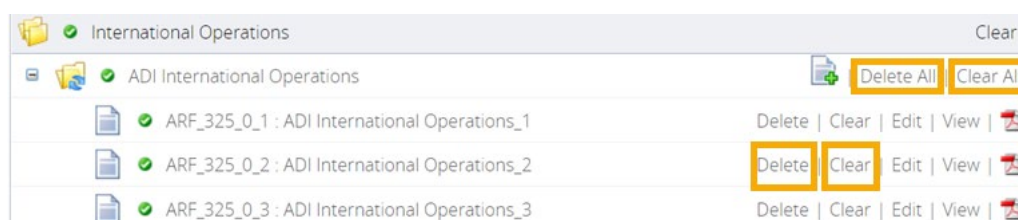
Each form name is uniquely identified depending on the context of the return.



### 6.5.3 Deleting instances and clearing data

There are a few options for deleting and clearing repeatable forms:

Option	Description
<b>Delete All</b>	All forms will be deleted.
<b>Clear All</b>	Data in all forms is removed. The forms remain and their <a href="#">status</a> changes to No Data
<b>Delete a form instance</b>	Deletes the individual form.
<b>Clear a form instance</b>	Data is removed from the individual form. Its <a href="#">status</a> changes to No Data.



**Note:** If you clear one of the reporting consolidation forms after a file upload, the reporting consolidation of the cleared instance changes to that of the remaining instance. You will need to manually change the reporting consolidation using the drop-down list in the form.

The image shows two screenshots of a software interface. The top screenshot displays a list of three reporting consolidation forms, each titled 'ARF\_220\_5: Movements In Provisions For Impairment'. The first form has a yellow circle with the number '1' next to it. The second form has a dropdown menu open, showing 'Group Books' highlighted with an orange box. The third form has a dropdown menu open, showing 'Solo Books' highlighted with an orange box. The bottom screenshot displays a list of two reporting consolidation forms, both titled 'ARF\_220\_5: Movements In Provisions For Impairment - Solo Books'. The first form has a yellow circle with the number '2' next to it and a red star icon. Both forms have their dropdown menus open, showing 'Solo Books' highlighted with orange boxes.

## 6.6 Data types

Data type properties are defined in the Data Dictionary available from the *APRA Connect Taxonomy Artefacts* section of the [APRA](#) website.

### Notes:

- For monetary and percentage values, \$ or % signs are not required.
- Enumerated data is case sensitive and only the values defined in the applicable standard will be accepted.

## 6.7 Additional Notes

If required, use the Additional Notes form to add information relating to data in the return.

## 6.8 Rounding

APRA Connect uses Bankers rounding where ever rounding is applied.

The Bankers rounding method rounds x.5 values (i.e. numbers that are equidistant from the two nearest integers) to the nearest even number. This means the value may be rounded up or down depending on the nearest even number.

For example, 6.5 rounds down to 6 (because 6 is an even number), and 7.5 rounds up to 8 (because 8 is an even number). 0.5 rounds down to 0.

All other numbers are rounded as normal.

Further examples are given in the following table:

Original	Rounded
0.4	0
0.5	0
0.6	1
1.4	1
1.5	2
1.6	2

## 6.9 Data validation

All forms must be validated before submission. There are two types of checking performed:

Check	Description										
Error	Mandatory validation errors must be corrected and revalidated prior to proceeding with the data submission. You cannot submit a return with mandatory errors.										
Warning	<p>Warning validation errors highlight data discrepancies or abnormal variations. These often relate to typographical or transposition errors. In some cases, the data is accurate.</p> <p>In cases where the data is correct, when all mandatory validation errors have been addressed, you can confirm that you have checked the data and provide an explanatory comment for the discrepancy in order to submit the return.</p> <p>Submission Validation Issues</p> <p>Validation checks have identified data which needs explanation or confirmation prior to submission to APRA. Details of the validations triggered are below.</p> <table><tr><th>Rule name</th><th>Type</th><th>Problem</th><th>Additional information</th><th>Comments</th></tr><tr><td>SRF 332.0 Table 3 00005</td><td>Warning</td><td>1. For row number 5, please explain why a negative value was reported in Table 3: Investment management expenses, Service Arrangement Investment Management Cost Amount.</td><td></td><td><div><div>*</div><div><div></div></div></div></td></tr></table> <p>Your return has warnings, but no errors. All warnings need to be addressed using the comments column before you can continue to submit.</p> <div><div>Save Comments</div><div>Continue to submit</div></div> <p><a href="#">Printer Friendly Format</a>   <a href="#">Show errors in new window</a></p>	Rule name	Type	Problem	Additional information	Comments	SRF 332.0 Table 3 00005	Warning	1. For row number 5, please explain why a negative value was reported in Table 3: Investment management expenses, Service Arrangement Investment Management Cost Amount.		<div><div>*</div><div><div></div></div></div>
Rule name	Type	Problem	Additional information	Comments							
SRF 332.0 Table 3 00005	Warning	1. For row number 5, please explain why a negative value was reported in Table 3: Investment management expenses, Service Arrangement Investment Management Cost Amount.		<div><div>*</div><div><div></div></div></div>							

For more information on validation rules and guidelines for providing explanations, refer to the [APRA Connect Taxonomy Artefacts](#) page on the APRA website.

### 6.9.1 Cross form, cross return, and cross period validation

#### *Cross form*

Cross form validation errors occur when there are discrepancies in expected values when compared across multiple forms. For example, the same field may be expected to have the same value across multiple forms in a return.

## *Cross return*

Cross return validation errors occur when there are discrepancies in expected data item values when compared with values in different returns.

## *Cross period*

Cross period validation errors occur when there are discrepancies in expected values when compared across return for multiple periods.

## 6.10 Creating ad hoc returns

Ad hoc returns can be created by those with the required permissions ([Ad hoc return permissions](#)) at any time.

An ad hoc return can be used to:

- submit file attachments, such as audit reports, Risk Management Declarations, Trustee Financial Statements, Financial Condition Reports, ICAAP reports and declarations, etc.
  - **Accepted file formats for supporting document uploads =**  
.xls, .xlsx, .csv, .doc, .docx, .pdf, .ppt, .pptx, .jpeg, .jpg, .png, .bmp, .tif, .gif, .zip
  - **Max. file size upload = 30 MB**
- make a specific request to APRA, such as request a reporting due date extension or an exemption for submitting a return or form. Requests for due date extensions and return or form exemptions must be received by APRA in advance of the due date.

**Note:** Ad hoc returns are not used to request the resubmission of regulatory returns. Refer to [Requesting a resubmission](#)

To create an ad hoc return:

1. From the **Menu**, select **Returns**.
2. On the Manage Returns page, click **Create Return**.

Manage Returns

This page allows you to perform all activities related to managing returns.



- From the form set list, select **Ad Hoc Request and File Upload**.

Create Return

To submit a corporate return, input a return name in either language and copy the same into the other req  
Select the return to be submitted from the list below. The Effective Date is the earliest effective date of char  
the return.

Return name:

Select form set:

- ☐ Accountability Map
- ☒ Ad Hoc Request and File Upload
- ☐ Balance Date
- ☐ Contact Information
- ☐ Contact Persons/Related Parties
- ☐ Executive Accountability Regime - Registration
- ☐ Executive Accountability Regime - Update
- ☐ Fees and Costs
- ☐ Name Details
- ☐ Responsible Persons
- ☐ RSE Structure
- ☐ RSE Structure Preview

Effective Date:

Create

- Enter an appropriate name for the return, using a naming convention that is meaningful to your organisation.
- Click the calendar icon and select the date from which the request takes effect.

Effective Date:

Clear March, 2021 x

« < Today > »

wk	Sun	Mon	Tue	Wed	Thu	Fri	Sat
8		1	2	3	4	5	6
9	7	8	9	10	11	12	13
10	14	15	16	17	18	19	20
11	21	22	23	24	25	26	27
12	28	29	30	31			

Select date

- Click **Create**.

A confirmation page displays the return's reference number.

- To begin adding data to the return immediately, click the hyperlinked name to open the return.

### Return Created Successfully

Your return [Extension request](#) has successfully been created with the reference "AHS00555".

You can now access the return whether click the Return name link above or in the "Draft Returns" area in the Returns area.  
When you have completed the return you can submit it in the same page by clicking the "Validate & Submit" icon link.

[Return to Manage Returns](#)

Draft returns can be accessed at any time from the [Manage Returns](#) page.

- Click **Edit** for the **Ad Hoc Request and File Upload Form**.

Extension request	Status: No Data
Ad Hoc Request and File Upload	
Ad Hoc Request and File Upload Form	Edit   View

9. Select the return type; **Request** or **Submission**.

Form View

**Ad Hoc Request and File Upload Form**

This return allows an Entity to submit any other unscheduled, unstructured returns, for example supplementary information such as Board Minutes or Organisation Charts. Additionally, it can be used to Request an Extension to a Return Due Date or Request an Exemption to a Business Rule.

Entity Name Ample Entity Ltd  
Party ID 6090

Please select Ad Hoc type: Request

Request Return Extension

Upload Document

Upload

Upload

Upload

Upload

Upload

Upload

N.B. Acceptable file types are:  
.xls, .csv, .doc, .pdf, .ppt, .jpeg, .png, .tif, .gif, .zip

Comments

Save As Draft Validate & Save

10. If Request is selected, select the type of request.

11. In the **Comments** field, including the return or form and reference period the request is related to.

12. To save and close:

- an incomplete form, click **Save as Draft**.
- a complete form, click **Validate and Save**.

13. When complete and validated the return can be [submitted](#).

# Chapter 7 - Submitting Returns

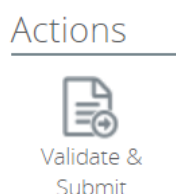
The process of submitting a return is the same for regulatory, corporate and ad hoc returns. Each form in a return must be completed and validated prior to submission.

Only people with the required permissions can submit returns. Refer to [User roles](#).

## 7.1 Submitting a return

To submit a return manually:

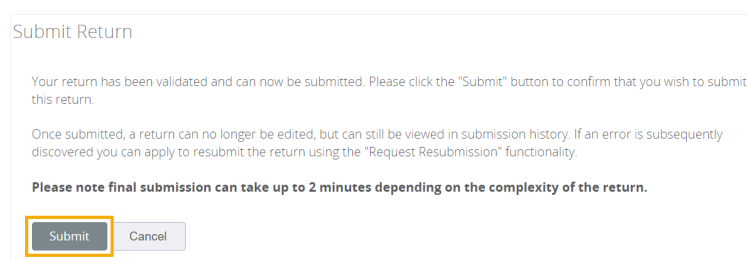
1. Navigate to the [Manage Returns](#) page.
2. Open the required return.
3. Click **Validate and Submit**.



**Note:** This option is only available if a return is complete and validated. The return is validated for submission.

- If no errors are identified, the Submit Return page is displayed.
- If validation errors are encountered the Submission Validation Issues page is displayed. Click **Back** to return to the View Return page and correct the errors.

4. Click **Submit** to finalise the submission.



When the data has been received by APRA, a confirmation email is sent to the Regulatory Reporting Administrator(s) for your organisation.

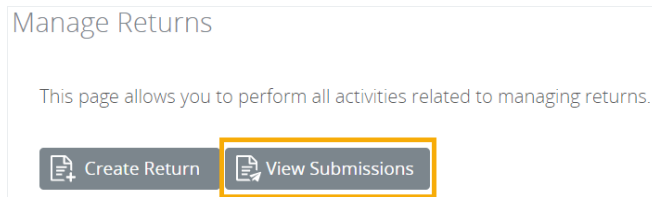
## 7.2 Submission history

On the Submission History page, you can access the previously submitted returns that you have permissions to view.

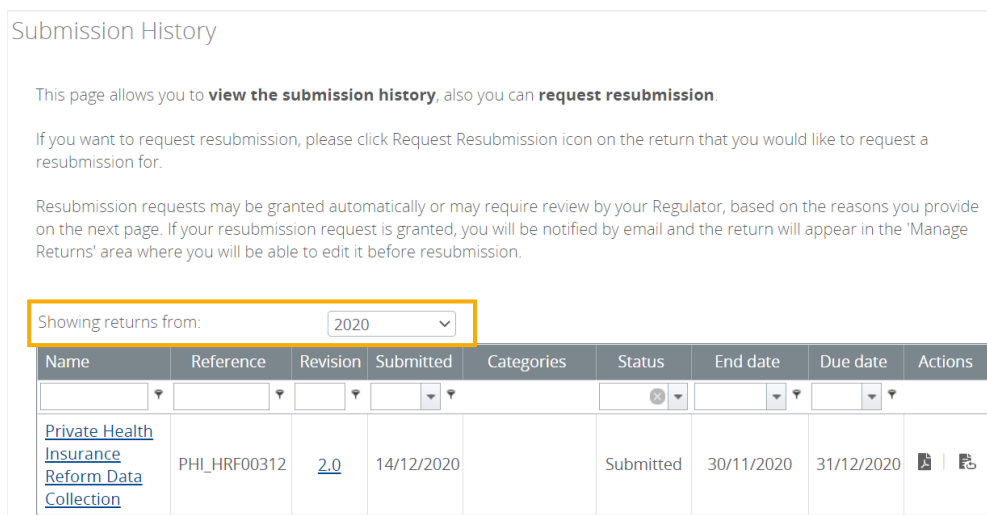


To view submission history:

1. On the Manage Returns page click **View Submissions**.

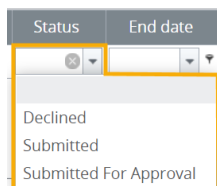


2. From the **Show returns from** list, select the year for which to see submitted returns. Note that is the year to which the return applies, not the year it was submitted.



Previously submitted returns are displayed according to your permissions.

3. You can use the filter in applicable columns to refine the list and search for a return.



- Click a return name to open the View Return page for the most recently submitted version.

From here you can view the form data, upload history if available, and request a resubmission if required.

- Click the Revision number to view a list of submitted versions.

View Audit Log

Return name: Private Health Insurance Reform Data Collection

Reference: PHI\_HRF00312

Creation date: 25/11/2020

Due date: 31/12/2020

Please select a version of this Return to view.

Revision	Status	Action	Actioned on	Actioned by	Submitted on	Submitted by
<a href="#">1.0</a>	Submitted	Grant resubmission request	10/12/2020 17:08:23	System User	10/12/2020 17:05:22	Alex Principal
<a href="#">2.0</a>	Submitted	Grant resubmission request	15/12/2020 11:22:32	System User	14/12/2020 16:58:32	Alex Principal
<a href="#">3.0</a>	Submitted	Submit return	14/01/2021 11:55:26	Alex Principal	14/01/2021 11:55:26	Alex Principal

## 7.3 Requesting a resubmission

If changes need to be made to data after a regulatory return's submission, resubmission must be requested through APRA Connect.

Resubmission requests will be automatically approved:

- if they are requested prior to the return due date, and will be available for editing and resubmission from the [Manage Returns](#) page.
- up to 15 days after the reporting due date so that you can amend data if it is identified as being erroneous from an APRA query.

If a request does not meet these criteria, you will be contacted by APRA.

**Note:** Corporate profile returns should not be resubmitted, except when withdrawing a 'pending' Accountable Person registration. Refer to [Updating corporate profile information](#) for further details.

To request a resubmission:

1. On the [Submission History](#) page, either:
  - click the **Resubmission** icon in the Action column of the required return; or

### Submission History


This page allows you to **view the submission history**, also you can **request resubmission**.

If you want to request resubmission, please click Request Resubmission icon on the return that you would like to request a resubmission for.

Resubmission requests may be granted automatically or may require review by your Regulator, based on the reasons you provide on the next page. If your resubmission request is granted, you will be notified by email and the return will appear in the 'Manage Returns' area where you will be able to edit it before resubmission.

Showing returns from:

2020

Name	Reference	Revision	Submitted	Categories	Status	End date	Due date	Actions
<a href="#">Private Health Insurance Reform Data Collection</a>	PHI_HRF00312	<a href="#">3.0</a>	14/01/2021		Submitted	30/11/2020	31/12/2020	

- click the name of the required return, and on the View Return page click **Request Resubmission**.

#### View Return

Return name: Private Health Insurance Reform Data Collection  
 Return end date: 30/11/2020  
 Return status: Submitted

#### Actions



Please select a section to complete. You can partially complete:

2. Select the applicable **Reason for resubmission** from the list.

**Request Resubmission**

Please enter the reasons you would like to resubmit this return.

Return name: Private Health Insurance Reform Data Collection  
 Revision of return: 3.0  
 Reasons for resubmission: Data errors identified by reporter \*

Please specify changes since previous revision:

If necessary, please attach an accompanying file detailing the changes:

3. In the first text field enter any additional information related to the reason for resubmission.
4. Complete the second text field with a summary of the changes in the return since the previous submission.
5. If applicable, attach a file with supporting information.
6. Click **Send Request**.
7. **Confirm** the request.

**Request Resubmission**

Are you sure you would like to request resubmission of "Private Health Insurance Reform Data Collection"?

If the return meets the criteria for [automatic approval](#), it is removed from the submission history and is returned to the [draft returns](#) list.

**Note:** Confirmation notifications for resubmitted returns will contain the same receipt number. Notifications with the same receipt number can be differentiated by their timestamp.

## 7.4 Responding to APRA queries post submission

**Note:** This functionality is not available in the [test environment](#) as the precise queries that trigger the errors will not work on non-production data.

APRA Connect enables you to communicate with APRA regarding queries about submitted data that may arise from APRA, as well as the Reserve Bank of Australia (RBA) and Australian Bureau of Statistics (ABS).

Through APRA Connect you can respond directly to individual queries, or export queries to allow input from other business units, which can then be uploaded in bulk.


### 7.4.1 Identifying post submission queries

After you have submitted a return, APRA will send out any queries on the data which have been raised. Regulatory Reporting Administrators will receive email notification that there are queries requiring a response.

To access the queries:

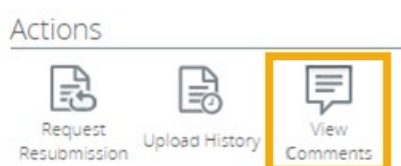
1. Navigate to the [Submission History page](#).

The return with queries is identified by the comment icon  containing a numeric value indicating the number of queries.

Return Name	Reference
BOCA ContactPerson 	CP02832

2. Click the icon to view the queries on the View Return Comments page.

Queries can also be accessed when you open the return, using **View Comments** under Actions.



## 7.4.2 Responding to queries


### Individual queries

To respond to an individual query:

1. On the View Comments page, click **Reply** on the required query.

**APRA Connect Supervision Centre User** 12/03/2021 11:06 (last updated at 13:54)

This item (PL13032 - Gross incurred claims by geographic region - Public and product liability - New South Wales) has moved by \$51,803k between the September-2018 quarter (\$2,297k) and the December-2018 quarter (\$54,100k). Can you please confirm and comment on the factors contributing to this movement? If the data is found to be incorrect, please resubmit the return and notify of the revisions made. Please note that the movement is based on discrete quarter values.

 Due: 19/03/2021 (Return Revision: 1.0)

**Reply**

**Supporting Documents**

Browse



No file chosen

Add

Cancel

2. In the displayed field enter your explanatory text.
3. If support documents are required, click **Browse** to locate and attach the file.
4. When complete, click **Add** to save the comments and make them visible to APRA.

You can:

- add additional comments by repeating the above process
- edit  or delete  a response using the icons in the comment field.

### Exporting and importing queries

If query responses require input from additional teams, you can export queries, and the existing response text, to an Excel file in a prescribed format. Once complete you can upload this back into APRA Connect.

Alex Principle , Ample co.

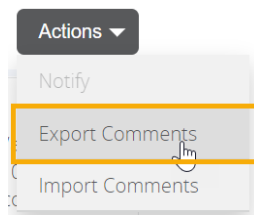


View Return Comments

Actions ▼

**APRA Connect Supervision Centre User** 12/03/2021 11:06 (last updated at 13:54)

To export queries, on the View Comments page select **Actions > Export Comments**.

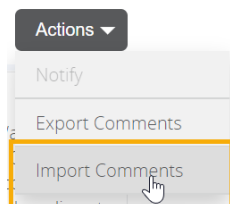


An Excel file is downloaded. Complete the **Response** columns of the Excel file as required.

**Note:** It is important to retain the format of the downloaded file to ensure successful re-upload.

To import the completed file:

1. On the View Comments page select **Actions > Import Comments**.



2. Click **Choose File** to locate and open the required file.

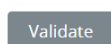
A screenshot of the 'Import Comments' form. The form has a title 'Import Comments' and a subtitle 'This functionality allows you to import comments.' Below this is a section titled 'Import File'. Under 'Import File', there is a label 'Upload comments File:' followed by a 'Choose File' button and the text 'No file chosen'. The 'Choose File' button is highlighted with an orange rectangular box.

3. When the file is uploaded click **Validate**.

A screenshot of the 'Import File' section of the form. It shows the 'Upload comments File:' label, the 'Choose File' button, and the filename 'Private Heal...mments.xlsx'. Below this is a 'Validate' button, which is highlighted with an orange rectangular box. A 'Back' link is visible at the bottom left of the section.

The file format is checked for import.

If the file is not in the correct format an error is display.



! There was a problem in the file transfer.

- When the file is successfully validated, select **Notify APRA Connect Supervision Centre users** and click **Import**.

### Import Comments

This functionality allows you to import comments.

#### Import File

Upload comments File: Choose File No file chosen

Validate

#### Result

The excel file you selected was validated and it is ready for import.

<b>Total Rows</b>	3
Successful	3
Failed	0

[Private Health Insurance Reform-Comments.xlsx](#)

#### Notify

Select the below to notify users about new comments or updates to comments.

Please note only those users who have access to the returns being updated with comments will be notified.

☒ Notify APRA Connect Supervision Centre users

Import

[Back](#)

A successful import notification is displayed.

Validate

**The file 'Private Health Insurance Reform-Comments.xlsx' was imported successfully.**

**Notifications have been sent to APRA Connect Supervision Centre users.**

- Click **Back** to return to the comments page.

### 7.4.3 Resolved queries

Any follow-up queries to your responses will be appended to the existing conversation thread.


When a query is considered resolved, it will be marked by APRA and it becomes viewable but inactive in the queries list.


[View Return Comments](#)

Actions ▾

**APRA Connect Supervision Centre User** 12/03/2021 11:06

Adipiscing enim eu turpis egestas pretium aenean pharetra magna. Est velit egestas dui id ornare arcu odio.

 8001\_Mocked data\_AMP\_31st...

 Due: 30/04/2021 (Return Revision: 1.0)

Reply

[View all 1 replies ▾](#)

**APRA Connect Supervision Centre User** 12/03/2021 11:06 (last updated at 13:54)

This item (PL13032 - Gross incurred claims by geographic region - Public and product liability - New South Wales) has moved by \$51,803k between the September-2018 quarter (\$2,297k) and the December-2018 quarter (\$54,100k). Can you please confirm and comment on the factors contributing to this movement? If the data is found to be incorrect, please resubmit the return via D2A and notify of the revisions made. Please note that the movement is based on discrete quarter values.

(Return Revision: 1.0)

[View all 2 replies ▾](#)

**APRA Connect Supervision Centre User** 12/03/2021 11:04

magna aliqua. Amet tellus cras adipiscing enim eu. Fames ac turpis egestas integer eget aliquet nibh. Adipiscing vitae proin sagittis nisl rhoncus mattis. Adipiscing enim eu turpis egestas pretium aenean pharetra magna. Est

(Return Revision: 1.0)

[View all 2 replies ▾](#)





APRA