APRA | Connect

Webinar

10 June 2021

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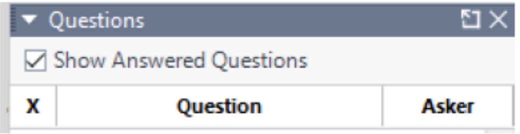
Housekeeping

This webinar will be recorded

We will have everyone on mute to minimise unexpected interruptions

The ‘raise hand’ functionality will not be used in this session

Please submit any questions you have through the ‘Question’ function



We will address the questions as appropriate and as time permits

What we'll cover

- APRA Connect overview and what it means for industries
- Getting onboard – prerequisites, authenticating and user roles
- Guidance material
- Taxonomy artefacts
- System demonstration
- Information and support

APRA Connect – an overview

What is APRA Connect?

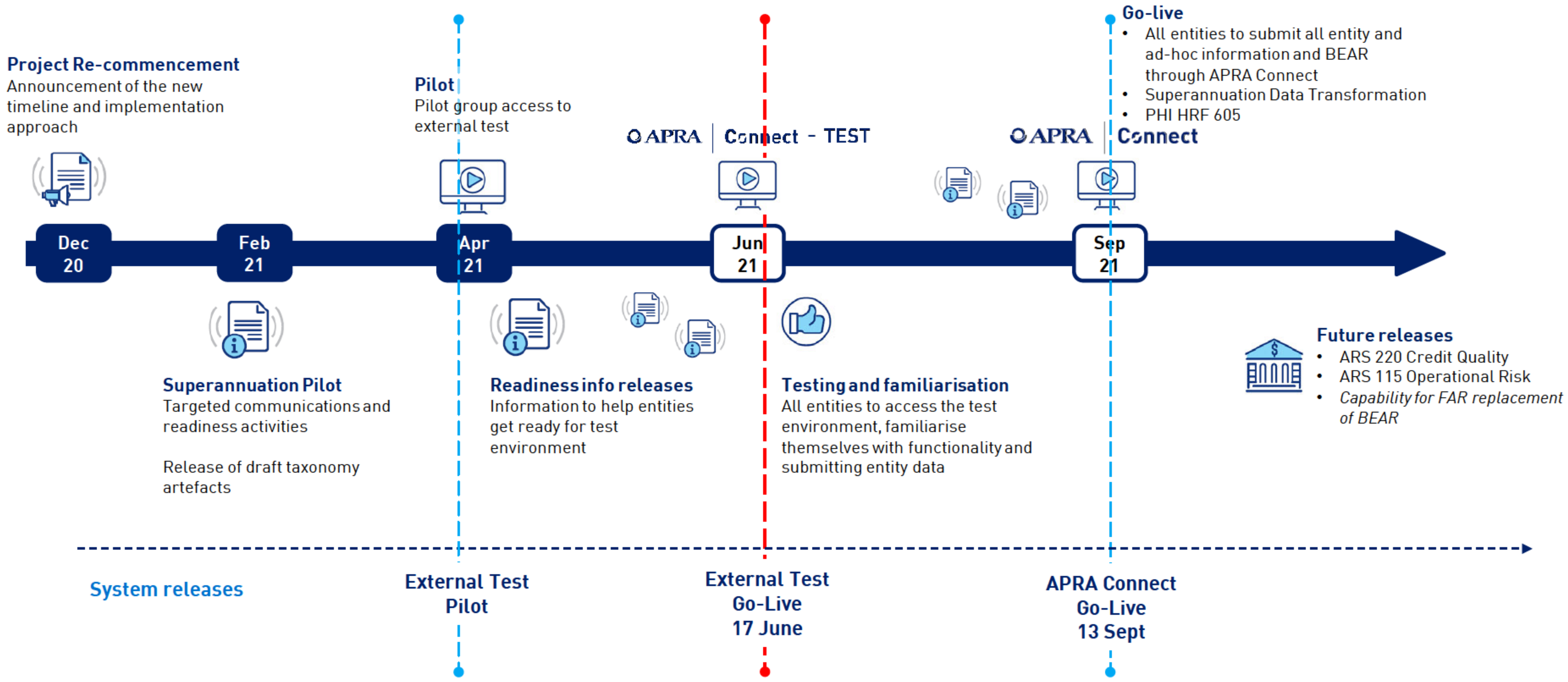
APRA Connect is the new data collection solution for reporting entities to lodge entity information and data with APRA. Entities will be required to use both D2A and APRA Connect.

The first data collections to be introduced in APRA Connect at the September 2021 go live will be the Superannuation Data Transformation collections, due in September and the Private Health Insurance (PHI) Reform (HRS 605.0), due in October.

Key benefits that APRA Connect will deliver:

- **Easier to use** – APRA Connect has a modern, intuitive user interface and will enable more options for data uploads.
- **Less ongoing maintenance required** – APRA Connect is web-based and will not require additional software to be installed on a user's machine, simplifying system maintenance.
- **Adaptable to future needs** – as reporting requirements, data analytics and technology evolve, and it will provide greater flexibility for automation of data submission.
- **Encompass fit-for-purpose collection design -** providing APRA with a platform that facilitates the development of collections that will use broader and more granular data models to fulfil multiple data requirements.

Implementation Timeline



APRA Connect test environment

The APRA Connect test environment will be available from 17 June 2021 as a permanent feature to help entities, Service Providers and RegTechs to:

- Access the environment using new authentication method (myGovID).
- Familiarise themselves with the features and functionalities of APRA Connect.
- Trial data submission to identify any changes required to your data preparation or governance processes.
- Upskill staff and work through any issues.
- Make any technology adjustments, e.g. whitelisting sites.

Things you should know:

- Entity data has been migrated to create the entity profile, but not for responsible or accountable persons. Entities should still practice creating these returns.
- Entities are advised to use test data in the APRA Connect test environment.
- Data Query process and API submission functionality are not currently available.
- Security and penetration testing has been completed.

The production environment is separate to the test environment – users will need to be set up in production for the 13 September go-live. APRA will seek confirmation of the initial RRA (changes are acceptable) and roles to be assigned in production, nearer the time.

What this means for each industry

	Superannuation	Insurance inc GI Intermediaries	ADIs, RFCs
APRA Connect test environment # From 17 June 2021	• Entity Information such as entity profile, contact details, responsible persons, related parties • Superannuation Data Transformation	• Entity Information such as entity profile, contact details, responsible persons, related parties • PHI reform (HRS 605.0)	• Entity Information such as entity profile, contact details, responsible persons, related parties • Banking Executive Accountability Regime information (including accountability statement and maps)
APRA Connect Go-Live From 13 September 2021	• Entity information such as entity profile, contact details, responsible persons, related parties • Superannuation Data Transformation	• Entity Information such as entity profile, contact details, responsible persons, related parties • PHI reform (HRS 605.0)	• Entity Information such as entity profile, contact details, responsible persons, related parties • Banking Executive Accountability Regime information (including accountability statement and maps)
Future collections		AASB -17 changes	• ARS 220 Credit Quality • ARS 115 Operational Risk • FAR
D2A use	Continued use until a collection is updated or replaced and for re-submission of data. APRA Connect will only be used for new collections.		

Regtech access to external test by request

Getting onboard

Pre-requisites

- ❑ Plan and allocate resources to facilitate the transition to the new solution (if required)
- ❑ Ensured users have myGovID and are authorised in RAM for each entity they are reporting for i.e. each ABN
- ❑ Nominated a first user to access the test environment via the D2A form: RRA : APRA Connect test nomination
- ❑ Reviewed the guidance material provided by APRA to build knowledge
- ❑ Accessed taxonomy artefacts to assist in the preparation of data - Final SDT and PHI artefacts available from 15 June
- ❑ Read the supporting material to build knowledge of the test environment

Authenticating with myGovID

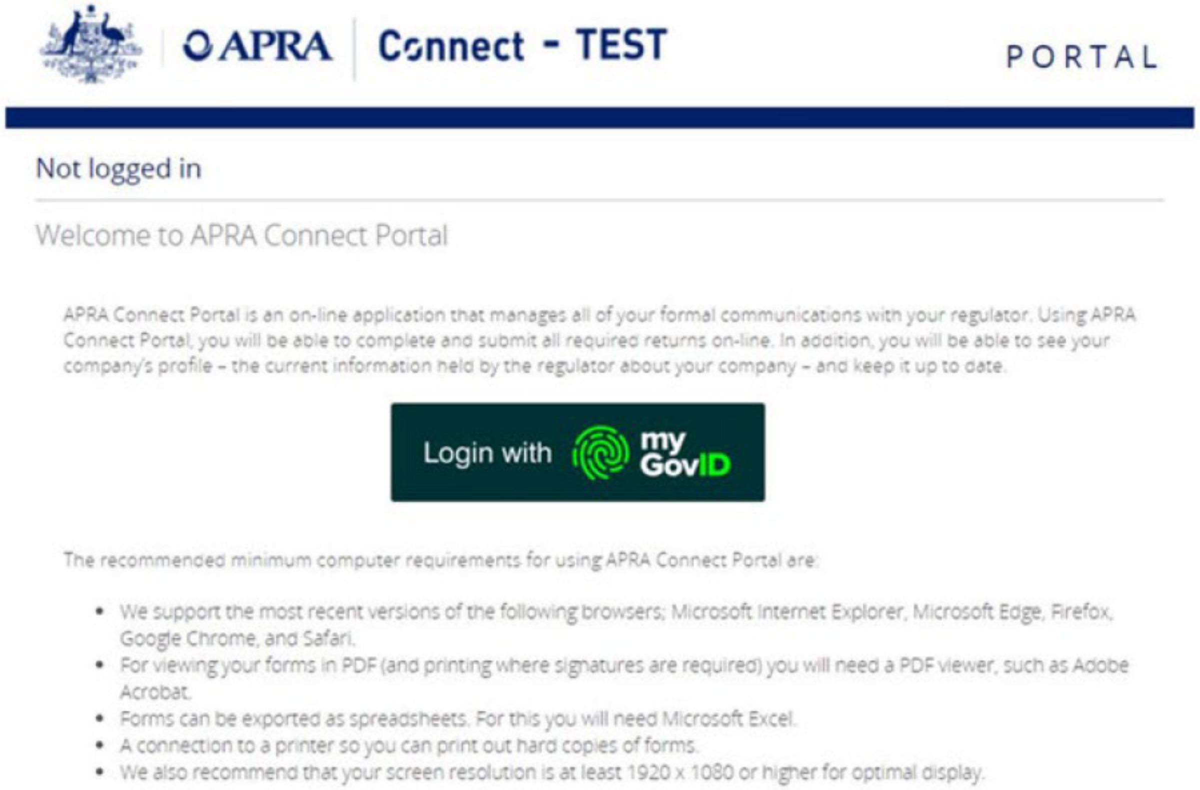
Steps:

1. Click on the APRA Connect url
   https://connect-test.apra.gov.au

2. Click on the 'Login with myGovID' link

3. Enter user id, receive auth code on mobile device and enter into PC screen, select entity in RAM (if applicable)

4. Re-route back to APRA Connect (you will always be re-routed back to the environment you originated from)



User roles and permissions

- APRA Connect user roles define different levels of access (e.g. draft, upload or submit) which enables entities to limit access to sensitive information such as personal data required for Financial Accountability Regime reporting.
- There is no limit on the number of users per role.

Role	Manage Users	Data returns	Other returns	Notifications
Regulatory Reporting Administrator *	Assign & manage users	Draft and submit returns	x	Reminder notices Late Notices Submission receipts
Regulatory Reporting Preparer	x	Draft returns	x	x
Service Provider (can be assigned to any user that requires this set of permissions)	x	Draft and submit returns	x	Reminder notices Late Notices Submission receipts
Ad hoc return permissions (can be used in combination with other roles to extend capability)	x	x	Create return Request extension or exemption Submit file attachments	x
Corporate Profile User (other roles are not able to view this information)	x	x	Corporate Profile Contact Persons Responsible Person	Submission receipts

* For the test environment only – initial RRA will also be assign Ad hoc return permissions and Corporate Profile User

Note for data returns that are uploaded with no validation errors will be automatically be submitted

Guidance material

APRA Connect Guide

APRA Connect Guide covers the foundational functionality of the system

What it covers:

- Getting Started with APRA Connect
- APRA Connect Interface and Navigation
- User Administration (Managing users) as well as viewing my Details for other users
- Reviewing company profiles and submitting a corporate return
- Completing returns
- Submitting returns

Note: Includes call outs where functionality is not available in test environment eg query process

What it doesn't cover:

- Creating xml, xbrl or using XSD files
- Information on APIs
- Instructions to complete specific returns for specific industries
- Data Dictionary and Reporting Taxonomy
- Uploadable templates for specific returns

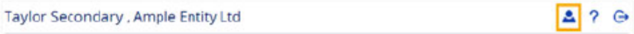
Refer to APRA Connect Taxonomy artefacts

APRA Connect Guide examples

Chapter 3 - User Administration

3.1 My Details

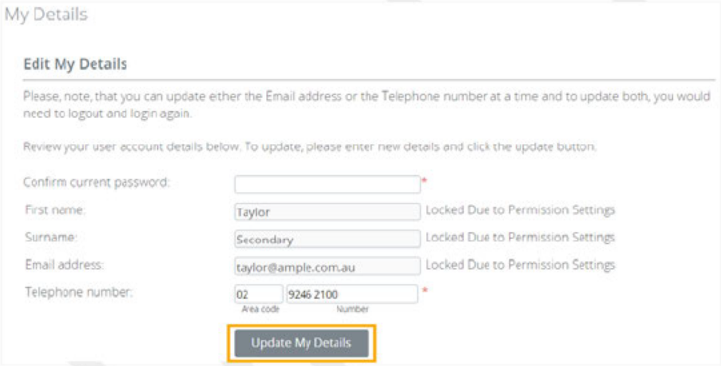
To view and update your user details, click the **My Details** icon beside your name.



3.1.1 Updating My Details

Of your user details, only your Telephone number can be updated:

1. Enter your password in **Confirm current password**.
2. Change your **Telephone number** as required.
3. Click **Update My Details**.



Note: Your email address can only be updated through myGovID and any change will flow to APRA Connect upon your next login.

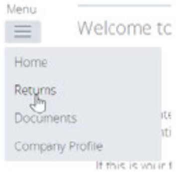
3.1.2 Viewing your permissions/roles

To see what roles are currently assigned to you, on the My Details page click the arrow be

Chapter 5 - Completing Regulatory Reporting Returns

Regulatory reporting 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.

When a return becomes available, a notification is emailed to Regulatory Reporting Administrators and the return is added to your list of draft returns on the Manage Returns page.



5.1 Return completion & validation process

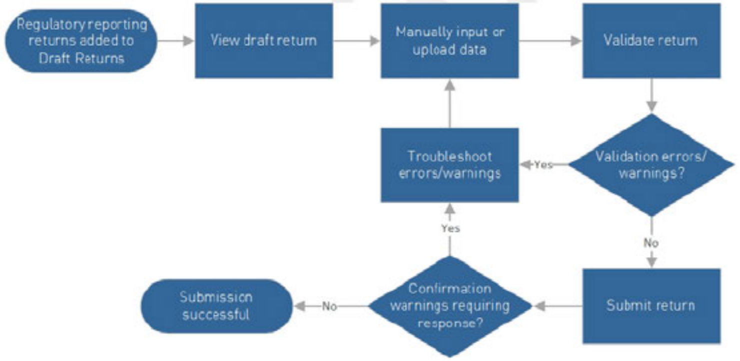


Figure 2. Return completion & validation process overview

5.2 Draft Returns

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

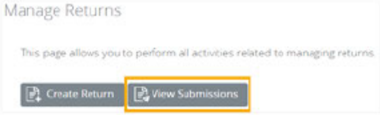
The Draft Returns list displays all returns that are available for completion, including regulatory

6.2 Submission history

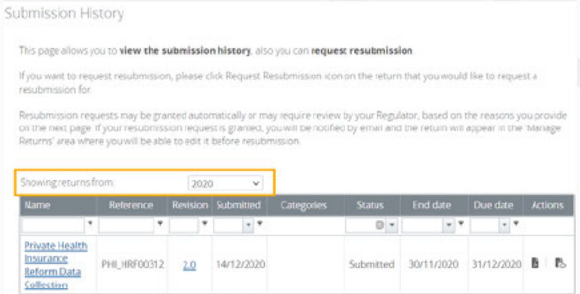
On the Submission History page, you can access the previously submitted returns that you have permissions to view.

To view submission history:

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

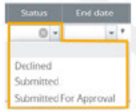


2. From the **Show returns from** list, select the year for which to see submitted returns. Note that is the year to which the return applies, not the year it was submitted.



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.

Taxonomy artefacts

Taxonomy artefacts

You can download the taxonomy artefacts **zip files** from APRA's website

Explanatory notes are provided to assist entities in using the artefacts. They cover:

- Data dictionary
- Validation file
- Reporting taxonomy
- XSD files

Expression Functions Guide - Additional information that describes the Expression function used in the validation of data submitted via APRA Connect is also available and should be used in conjunction with the taxonomy artefacts

Data dictionary for all industries

The Data Dictionary contains every element, data type and enumeration across all of APRA's collections (in APRA Connect).

Excel based

Schema	describing schema name
Elements	contains all the APRA Connect data elements and their properties
Data types	contains the available data types that may be used for each of the defined elements. Each data type is either based on a specific base data type or is an enumeration
Enumerations	contains the enumerations that may be used by an element. Typical enumerations would be "Geography", "Frequency", "ExpenseType", etc

Reporting Taxonomy – Excel based

Schema	Contains the collection name, schema properties and the embedded 'hole constraint' file which displays each table and the allowed enumeration values that are relevant in the selected collection.
Elements	Contains only the elements and their properties within the selected collection.
Data types	Contains the data types that may be used for each of the defined elements within the selected collection. Each data type is either based on a specific base data type or is an enumeration.
Enumerations	Contains the enumerations in the selected collection, along with all of the allowed values.
Rules	Contains rules relating to the selected collection. A full list of rules – across all collections - is available in the Validations spreadsheet

Reporting Taxonomy – Excel based

Form Set	Contains detailed information for the return name and label (used throughout APRA Connect to identify the return).
Folders	Contains (where relevant) detailed information for a return that can include multiple instances of the same form (for example, State based collections).
Forms	Describes the properties of each form within this collection.
EntityDetails	Displays the name of the entity, ABN and reporting period. Note: the Entity name is for display purposes only and is not uploaded into APRA Connect.
HRF_# or SRF_#	displays the layout of the specific tables/forms in the selected collection. This worksheet can be used as a template for entities uploading data via Excel. APRA Connect will use the worksheet name and first row of data defined in this worksheet.

Schema – holes constraint file

- The embedded hole constraint file will either list the allowed values for each dimension or 'AllMembers' when all values are accepted, refer to picture 1
- The same information will also be shown in the 'Comment' for the dimension on the template for the table, refer to picture 2
- The Expression Function Guide also explains - in detail - the use of the hole constraint file in the validation rules

PerformanceComponentType	PerformanceComponentActivityType	InvestmentManagerLevelType	InvestmentChargeType	TierType	FeesAndCostsArrangementIdentifier
AllMembers	Investment	AllMembers	AllMembers	AllMembers	
AllMembers	Administration	AllMembers	AllMembers	AllMembers	
AllMembers	Transaction	AllMembers	AllMembers	AllMembers	
AllMembers	Advice	AllMembers	AllMembers	AllMembers	

SAMPLE

SRF_705_0_Table_1.01

Table 1: Components of net return

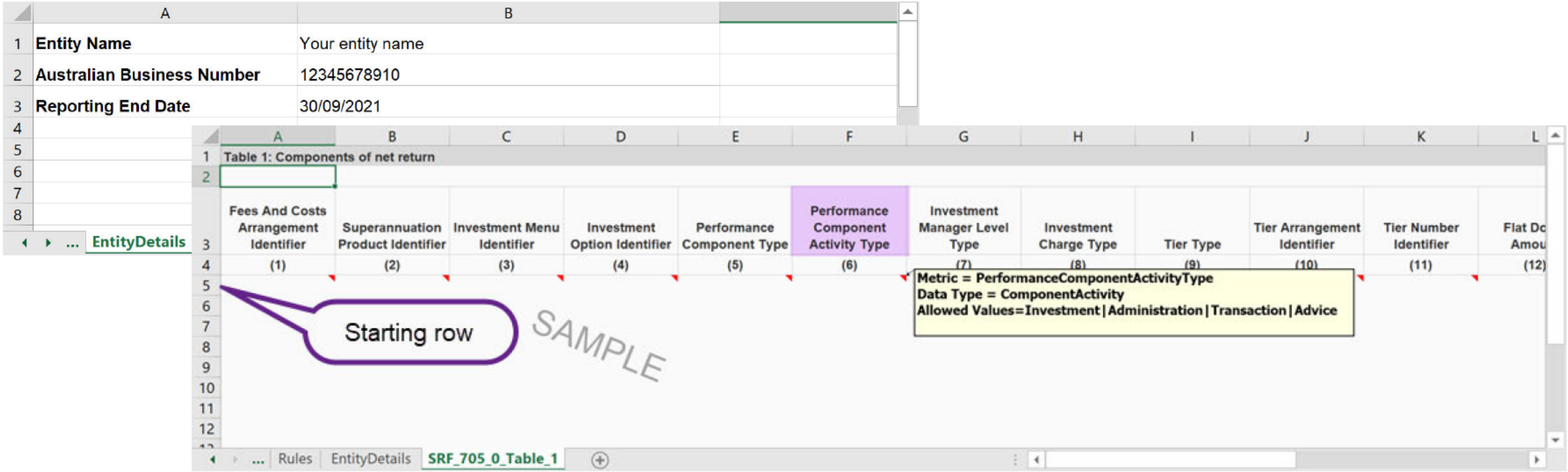
Dim=FeesAndCo	Dim=Superannua	Dim=InvestmentN	Dim=InvestmentC	Dim=Performance	Dim=Performance	Dim=InvestmentN	Dim=InvestmentC	Dim=TierType | All	Dim=TierArrange	Dim=TierNumber	Metric=FlatDollar
Fees And Costs Arrangement Identifier	Superannuation Product Identifier	Investment Menu Identifier	Investment Option Identifier	Performance Component Type	Performance Component Activity Type	Investment Manager Level Type	Investment Charge Type	Tier Type	Tier Arrangement Identifier	Tier Number Identifier	Flat Dollar Amount
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)

Metric = PerformanceComponentActivityType
Data Type = ComponentActivity
Allowed Values=Investment|Administration|Transaction|Advice

... Folders | Form Set | Elements | Data Types | Enumerations | Rules | EntityDetails | SRF_705_0_Table_1

Excel Template – Excel based

- Contains a layout of the table(s) including Entity Details, note: the Entity Name is for display purposes only and isn't loaded into APRA Connect
- Can be used by entities as a template for their Excel upload files
- Worksheet names and first row of data as per Excel template



APRA Connect Demonstration

Key callouts

Completed status	The status of complete indicates that the return is ready to submit, action is required to validate and submit the return
Auto submit	Enabled by default for API submission, also applies to any user that uploads a complete file that passes all validations
Errors in uploaded files	Recommend corrections made at the source system, not by manual editing, this will avoid future errors
Logging in at fund level (Superannuation)	Not being able to see returns allocated when logged in as trustee/administrator – need to log in at fund level with the relevant ABN to see allocated returns
Order of returns (Superannuation)	Understanding the order in which to submit SDT returns – need to load the RSE structure which defines the business operations

Questions?

Information and support

Guidance

available on the APRA website:
[APRA Connect Guide]

Artefacts

available on the APRA website:
APRA Connect Taxonomy Artefacts

Explanatory notes

New guide for Expression functions

Support

Technical issues – email support@apra.gov.au.

For urgent issues call
+61 2 9210 3400 9am - 5pm AEST weekdays.

Visit the Getting ready for APRA Connect
page on the APRA website – technical information

APRAConnect@apra.gov.au

New reporting standards email
SuperDataTransformation @apra.gov.au

Thank you