APRA Connect Guide

Version 1.1 (released July 2021)

Contents

Chapter 1 - Getting Started with APRA Connect

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
RAM	To access APRA Connect, you must be authorised in RAM to act on behalf of an organisation (defined by their ABN). 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.

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 entity on whose behalf they submit, i.e. their authorisation must be associated with the entity'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 receives 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

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.

1.5.3 myGovID and RAM 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.

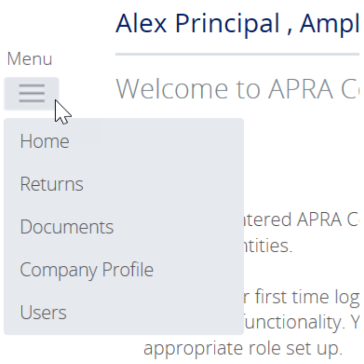
- the colour theme.

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	Description
Home	Returns you to the APRA Connect home page.
Returns	Opens the Manage Returns page to access draft regulatory returns, and to create ad hoc and corporate returns.

Option	Description
Documents	Opens the Documents page, which will be used to share documents on an ad hoc basis.
Company Profile	Opens the Company Profile page where you can view the information held by APRA about your organisation. Refer to Company Details and Corporate Profile Returns for more details.
Users	Only available to those with the Regulatory Reporting Administrator role, to manage the user roles 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 My Details 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

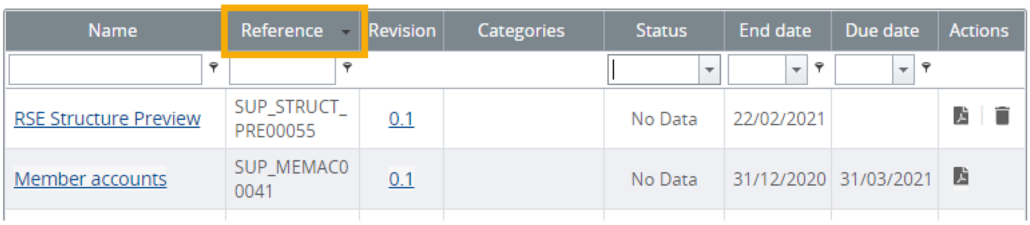
Portal action	Shortcut
Home	Shift+H
Manage Returns	Shift+D
Submission History	Alt+Ctrl+H
Create Return	Alt+Ctrl+C
Documents	Shift+X
Company Profile	Shift+C
Users	Alt+Ctrl+E
View/Edit My Details	Shift+M
Help	Shift+I
Log Out	Shift+L

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.



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.

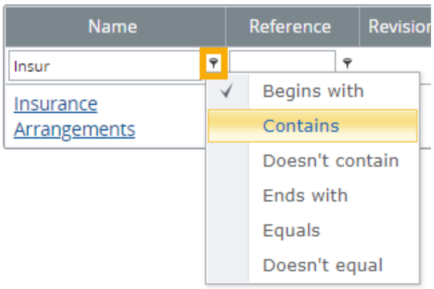
Delete or clear search criteria to display all list entries.

Free text fields

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

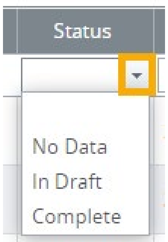
The default searches for entries beginning with the entered characters.

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

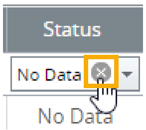


Predefined lists

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



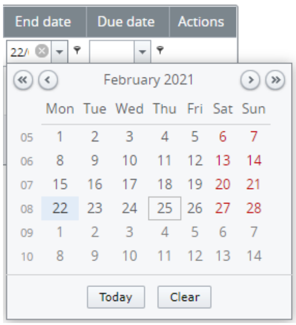
To clear the field, either select the empty list item or click the cross icon.



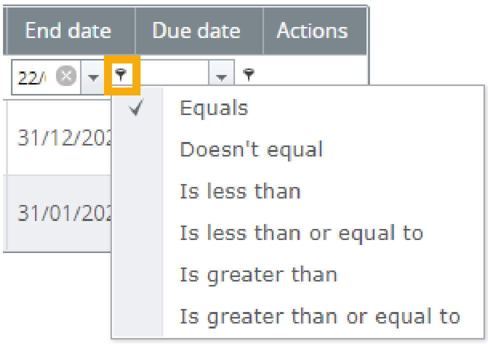
Dates

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.

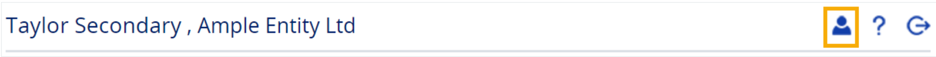


To clear the field, click the cross icon.

Chapter 3 - User Administration

3.1 My Details

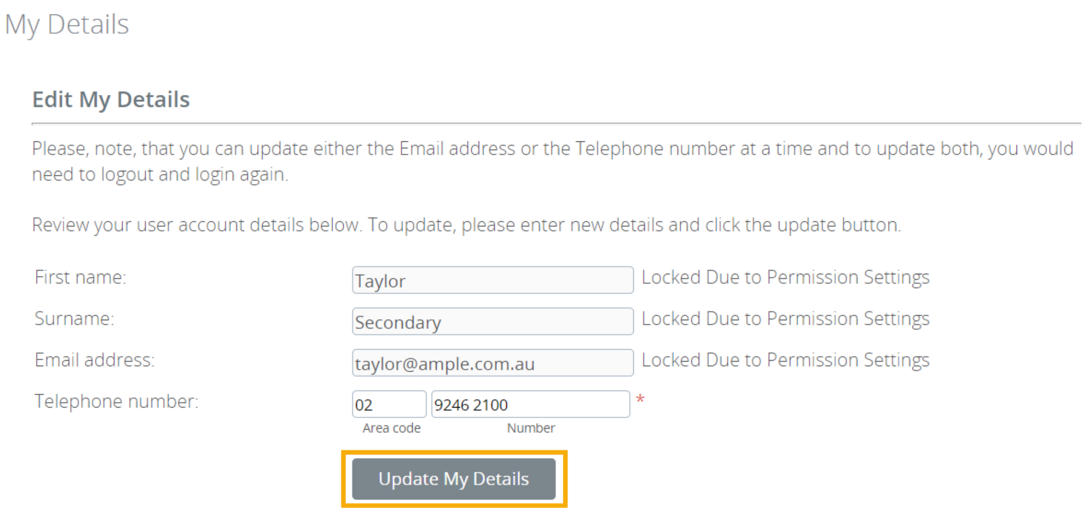
To view and update your user details, click the **My Details** icon beside your name.



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:

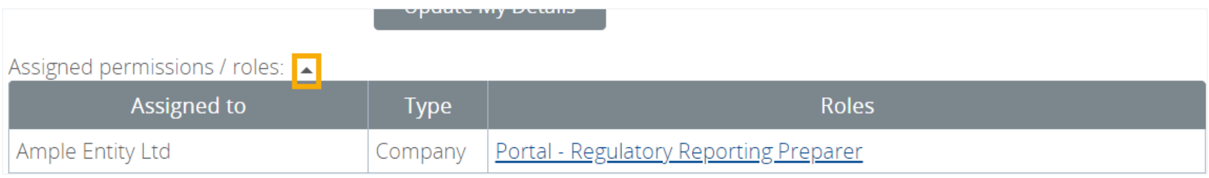
1. Change your **Telephone number** as required.
2. Click **Update My Details**.



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**.



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 the Relationship Authorisation Manager (RAM) to enable authentication with APRA Connect.

Once the user has accessed APRA Connect and successfully authenticated through myGovID for the first time, an APRA Connect account is created. The account needs to be activated and the appropriate roles assigned by an existing Regulatory Reporting Administrators. Refer to Viewing and editing users.

Refer to New Users for more details about first time access to APRA Connect.

3.2.2 Deactivating users

If an APRA Connect user leaves the organisation or changes roles, part of the 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
Regulatory Reporting Administrator (RRA)	Responsible for: • granting access to other RRAs, Preparers, and Service Providers. • managing user roles and permissions to ensure users remain current. This involves updating users' permissions when a user departs the organisation. 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. RRAs are able to complete and submit returns. Users in this role will receive notifications pertaining to upcoming return due dates, Late Notices, and the availability of data queries.
Regulatory Reporting Preparer	Able to enter data or upload files into returns in APRA Connect in preparation for submission, but will not have the Validate and Submit button available to them. **Note**: When a file that passes all validation is uploaded by any user, the file is automatically submitted.
Service Provider	Able to enter data, upload files, validate and submit returns. 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.
Corporate Profile User	Able to edit corporate profile information, including Responsible Persons and Accountable Persons. No other roles will be able to view this information.
Ad hoc return permissions	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. This permission is also required for superannuation entities to create the RSE Structure and/or Fees and Costs returns outside the standard reporting cycle. 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.

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

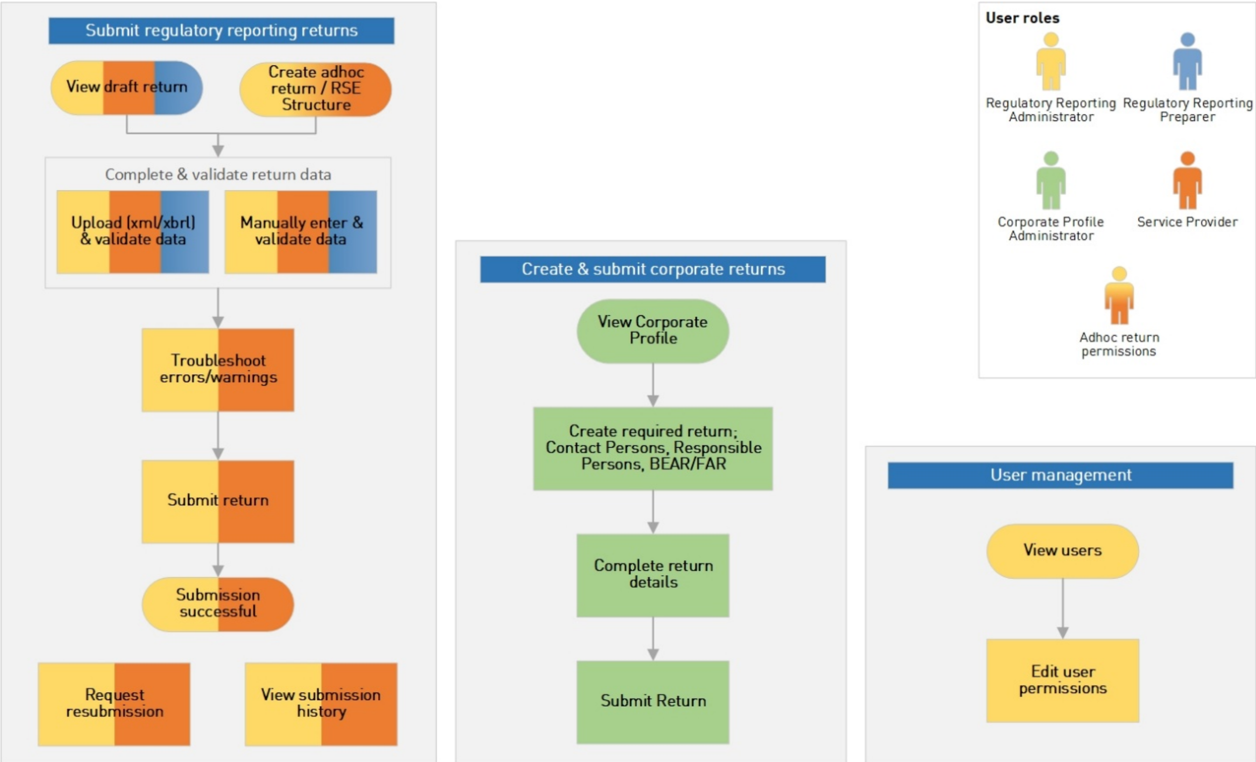


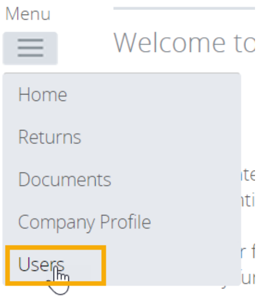
Figure 1. APRA Connect user roles overview

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:

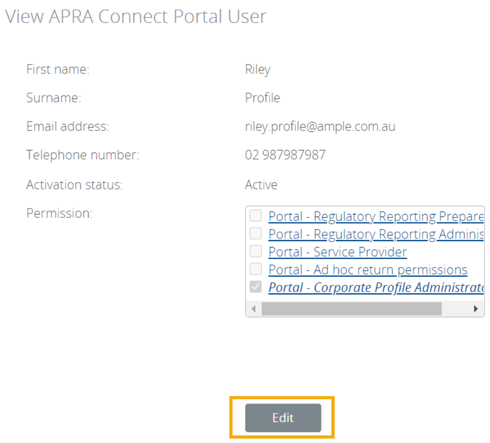
1. From the Menu, select **Users**.



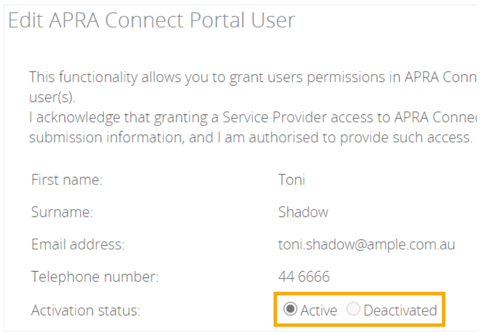
The Manage APRA Connect Portal Users page lists all people with active and inactive APRA Connect user accounts in for your organisation.

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

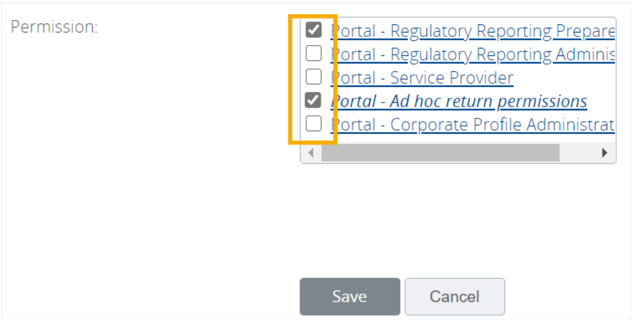
3. To edit user roles click **Edit**.



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



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



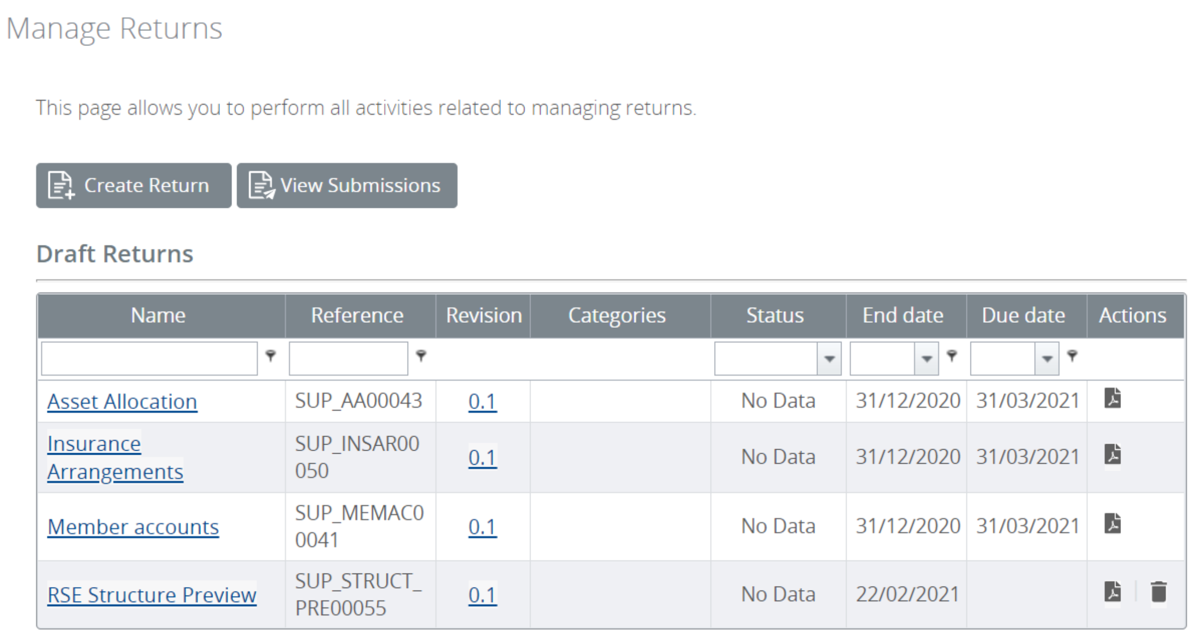
6. Click **Save**.

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.

Create Return | View Submissions

Draft Returns

Name	Reference	Revision	Categories	Status	End date	Due date	Actions
Asset Allocation	SUP_AA00043	0.1		No Data	31/12/2020	31/03/2021	
Insurance Arrangements	SUP_INSAR00 050	0.1		No Data	31/12/2020	31/03/2021	
Member accounts	SUP_MEMAC0 0041	0.1		No Data	31/12/2020	31/03/2021	
RSE Structure Preview	SUP_STRUCT_ PRE00055	0.1		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.

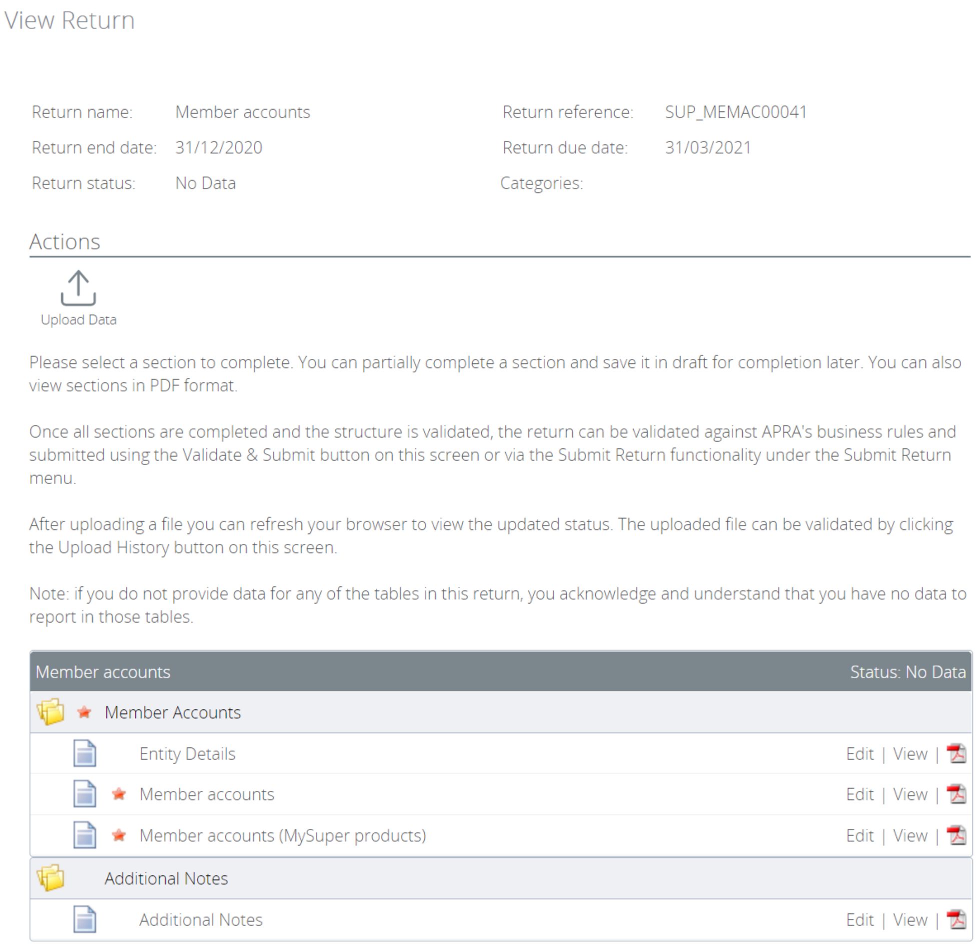
Note: Submitted returns are removed from the Draft Returns list. Click the **View Submissions** button to see returns that have been successfully submitted to APRA. Refer to Submission history.

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.



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

- No data

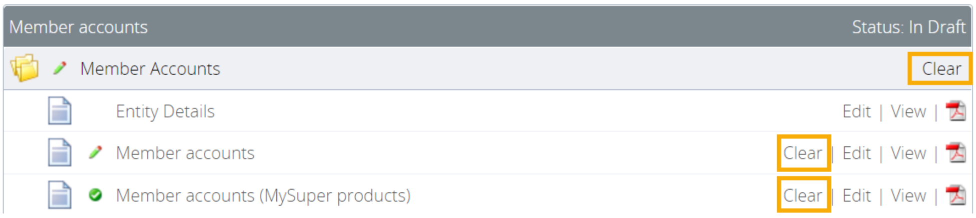
- In draft

- 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.



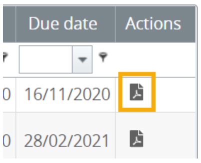
2. Click **OK** to confirm deletion.

Note: Once deleted, the data cannot be retrieved.

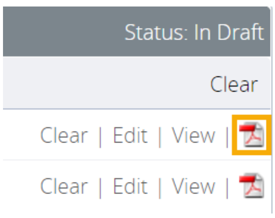
4.2 Creating PDFs of returns and forms

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.



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

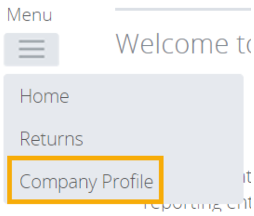
When your entity profile needs to be updated, new information is submitted to APRA through APRA Connect, using one of the available corporate profile returns.

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

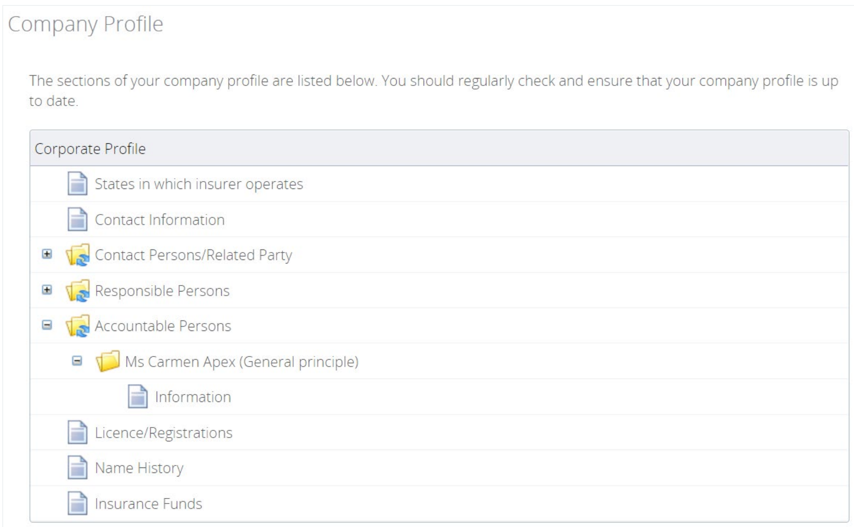
For details of your organisation's obligations, please refer to the applicable industry page on the APRA website.

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 entity'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
Balance Date	Update balance date currently recorded in your organisation's profile.
Contact Information	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.
Contact Persons/Related Parties	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 Explanation of corporate roles in returns for more information.
Name Details	Submit a change of registered name for your organisation.
Responsible Persons	APRA regulated entities can add or update multiple instances in the same submission. See Explanation of corporate roles in returns 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
Accountability Map	Upload an accountability map independent of accountable persons details.
Executive Accountability Regime - Registration	Register accountable person to make BEAR submissions. May include accountability map.
Executive Accountability Regime - Update	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
States in which insurer operates	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.

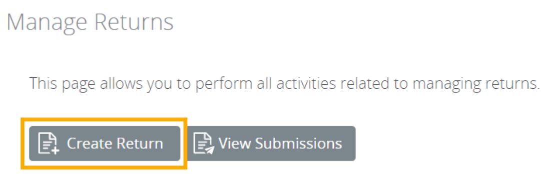
These returns are submitted against the profile of each individual Registrable Superannuation Entity (RSE). Please refer to the Superannuation industry page on the APRA website for information related to reporting obligations.

Form set name	Description
Fees and Costs	Captures fees and costs that are to be charged to a member or would otherwise affect member balances.
RSE Structure	Collects information on the structure of each registrable superannuation entity's (RSE) business operations.
RSE Structure Preview	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

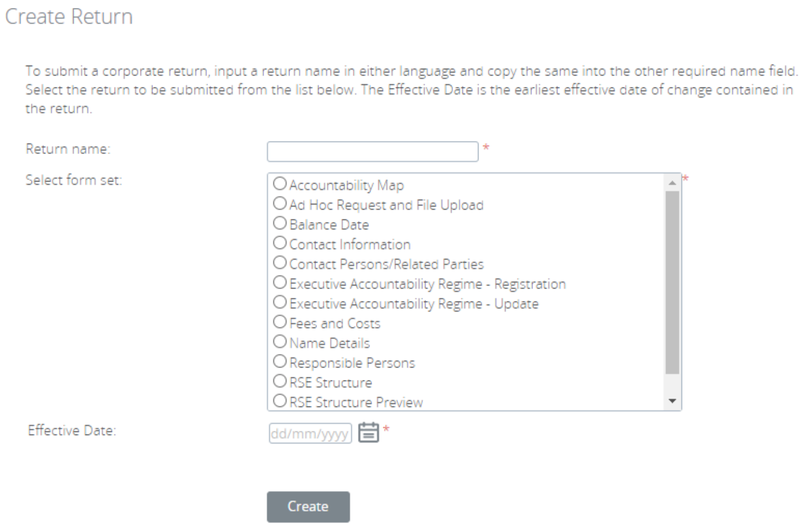
To create a new return:

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

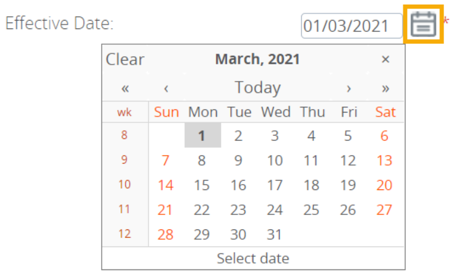


The page displays the available form sets to make up company profile returns.

3. Select the required form set from the list.

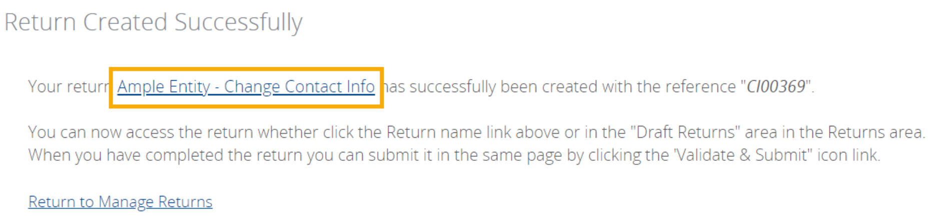


4. Enter a name for the return, using a naming convention that is meaningful to your organisation.
5. Click the calendar icon and select the date from which the submitted details take effect (i.e. not the date the return is created, completed, or submitted).



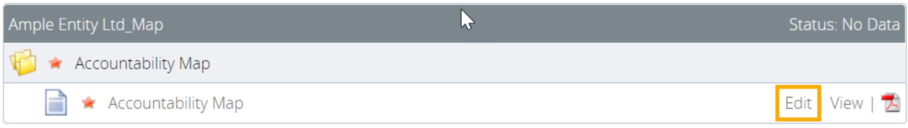
6. Click **Create**.

   A confirmation page displays the return's reference number.
7. To begin adding data to the return immediately, click the hyperlinked name to open the newly created return.



   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

- 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

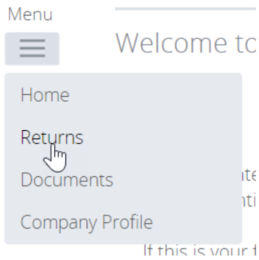
Information about relevant employees at your organisation is submitted to APRA through three types of returns, each with different requirements:

<table>
<tr><th>Return</th><th>Description</th></tr>
<tr><td>Contact Person/ Related Party</td><td>Employees recorded in these roles predominantly assist APRA in where to target specific correspondence or to enable APRA Extranet access. Available role types include:
Roles required for Extranet access:
Chief Executive Officer (or equivalent)
Company Secretary
Prudential Contact
ILDR Contact – Internal Loss Data Refresh upload
SDCP Contact
Billing contact – addressee for APRA levies
Crisis management contact
Regulatory Reporting Contact – contact person for reminder notices, Late Notices, post-submission query process for returns still submitted in D2A.</td></tr>
<tr><td>Responsible Persons</td><td>Refer to the relevant Fit and Proper Prudential Standards for your industry on the APRA website.</td></tr>
<tr><td>Accountable Persons</td><td>Refer to the most current information on the Executive Accountability Regime on the APRA website.</td></tr>
</table>

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.

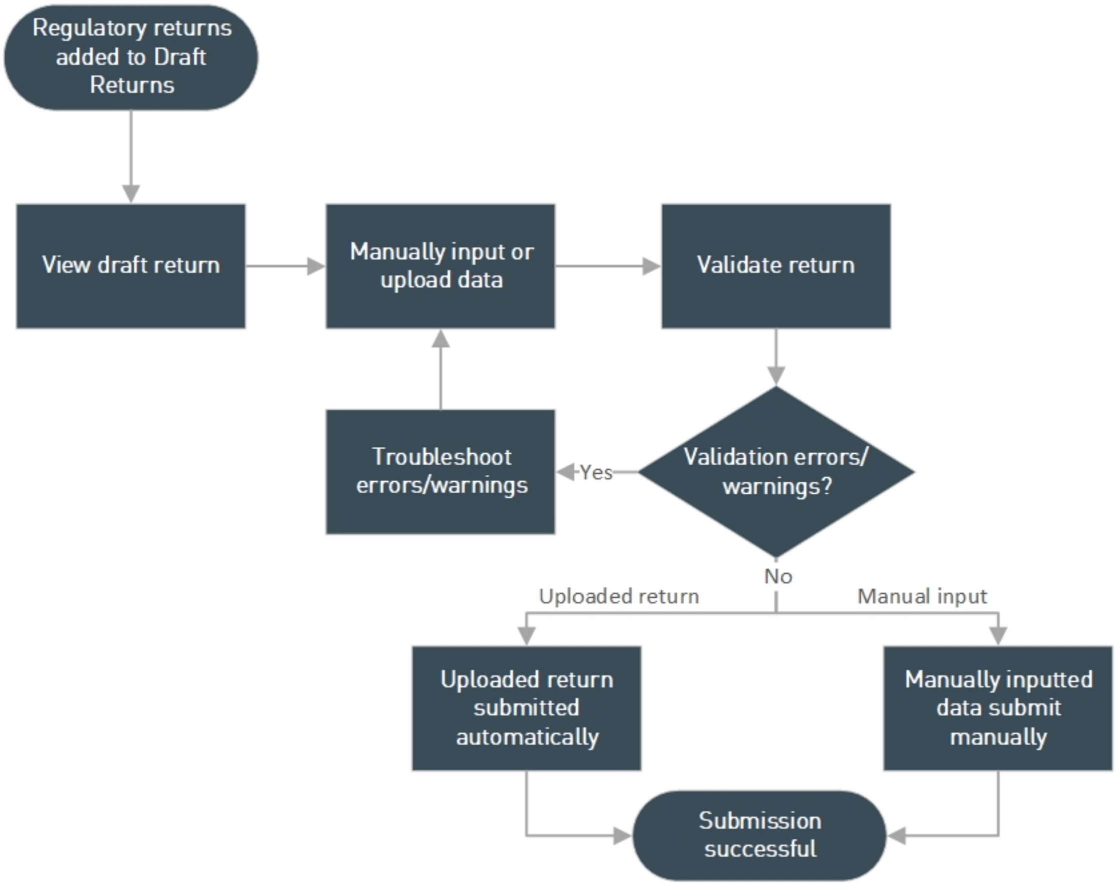
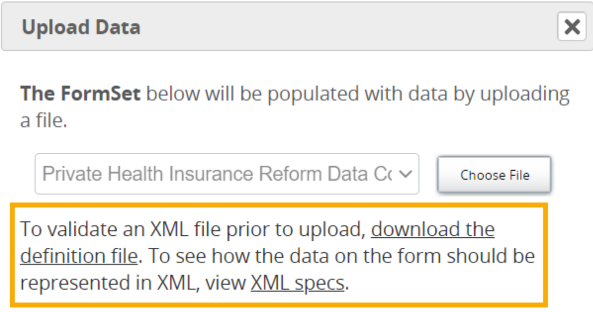


Figure 2. Return completion and validation process overview

6.3 Uploading return data

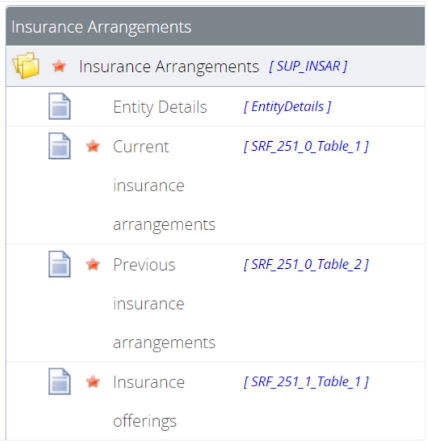
6.3.1 XML definitions and specifications

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



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.

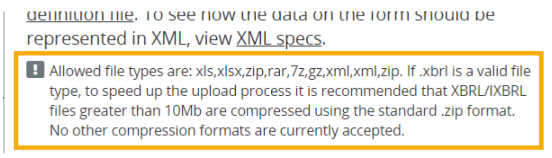


XML file definitions are also available from the *Reporting Resources* page for your industry type on the APRA website.

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.



6.3.3 Empty rows in tables

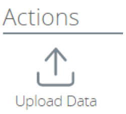
Tables cannot contain empty rows, whether uploaded or manually entered. Refer to Adding and deleting table rows.

6.3.4 Uploading return data

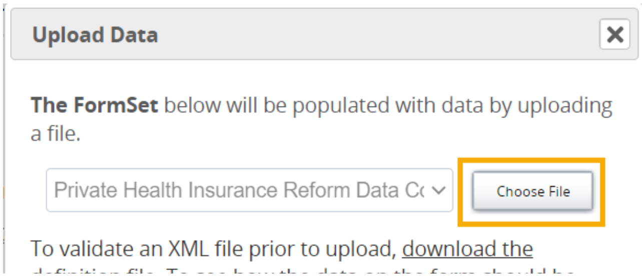
Note: When a file that passes all validation is uploaded by any user, the file is automatically submitted.

To upload return data from a file:

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



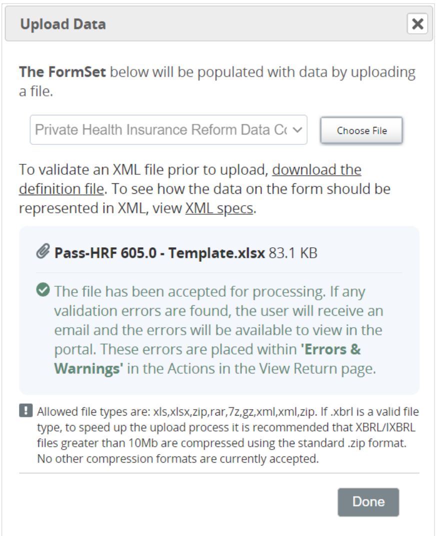
2. Click **Choose File**.



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.

3. 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.



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

The return is automatically submitted if the file is complete and is uploaded without validation errors or warnings.

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

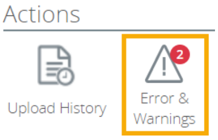
- each form as **Validated with no errors**; and
- the Return status as **Submitted**.

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
No Data	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 .
In Draft	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 .
Complete	If the file uploads successfully but validation warnings are encountered, the status is displayed as Complete. Refer to Data validation 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.

Notes:

- The entity name is not uploaded or validated. If the entity name is incorrect in the uploaded file, it will not trigger an error.

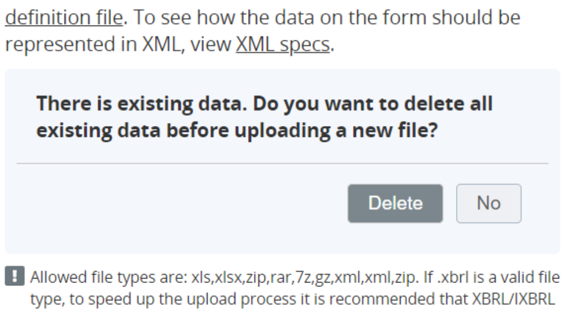
- Validation rules triggered when uploading incomplete return data are not necessarily indicative of all the possible rules. As further data is added to a return, further validation rules may trigger. It is recommended you complete all forms in a return before clicking Validate and Submit and addressing 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.



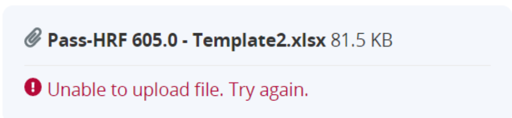
If you select	Result
No	• Uploaded table rows are appended to existing data. Validation errors will occur if the uploaded rows are the same as the existing row data (i.e. row data must be unique). • If a field contains different values in both forms, you must select which value to use. • If a field contains 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. • 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.
Delete	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:

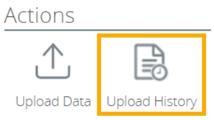
- If the portal has had time to register the other person's uploaded data before you click **Choose file**, you will be prompted to delete the existing data before proceeding. See above.

- 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.



6.3.7 Upload history

A return's upload history is available from the View Return page of either a draft return or its submission history. Click **Upload History** under Actions.

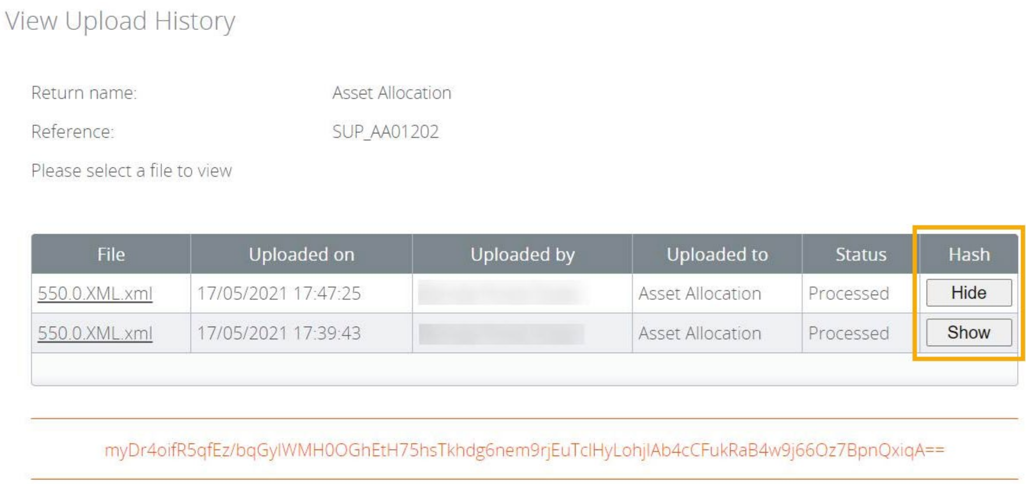


The View Upload History page lists the details of each file uploaded for the return, including a the link to view the file, and any validation errors encountered if applicable.

Hash value

The Hash for each uploaded file is used to verify the data has maintained integrity; i.e. that the data has not been modified, tampered with, or corrupted. No matter how many times the hashing algorithm is executed (on upload) against the data, the Hash remains the same as long as the data is the same.

To display the Hash below the list, click **Show** for the required list entry. This value can be used for audit purposes.



6.4 Manually entering return data

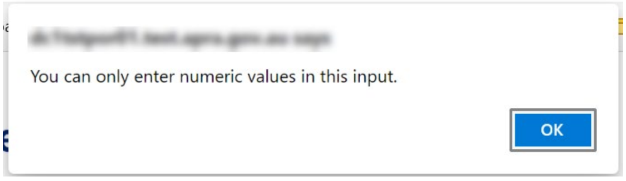
To manually enter data in a form:

1. 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.

2. 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.

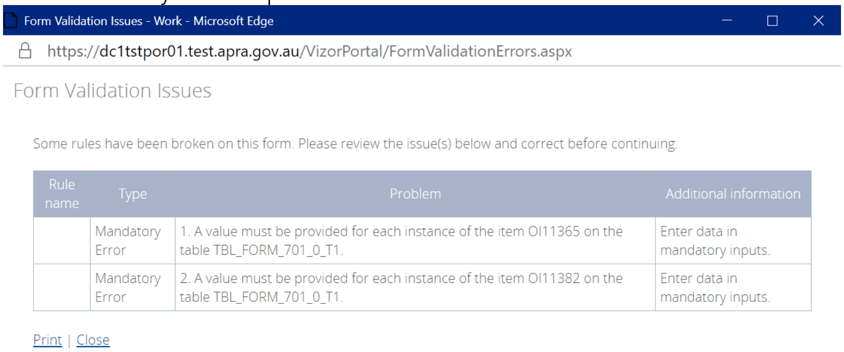


3. To save and close:

   - 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.


Form Validation Issues - Work - Microsoft Edge
https://dc1tstpor01.test.apra.gov.au/VizorPortal/FormValidationErrors.aspx

Form Validation Issues

Some rules have been broken on this form. Please review the issue(s) below and correct before continuing.

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:

     - Correct the errors and re-validate; or

     - Save a draft to return to later.

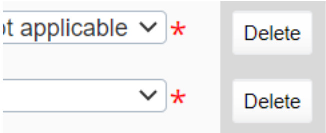
     Refer to <u>Data validation</u> below for further information of validation errors

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 Forms with no data

Where a form can be submitted without data and you have no data to report, the form needs to be validated to indicate you are knowingly submitting it empty:

1. Open the required form, by clicking either the form name or **Edit**.
2. Click **Validate and Save**.

The form is displayed on the View Return page with the **Validated with no errors** icon, and you will see the following note for forms that are confirmed empty:

> ***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.*

6.6 Repeatable forms

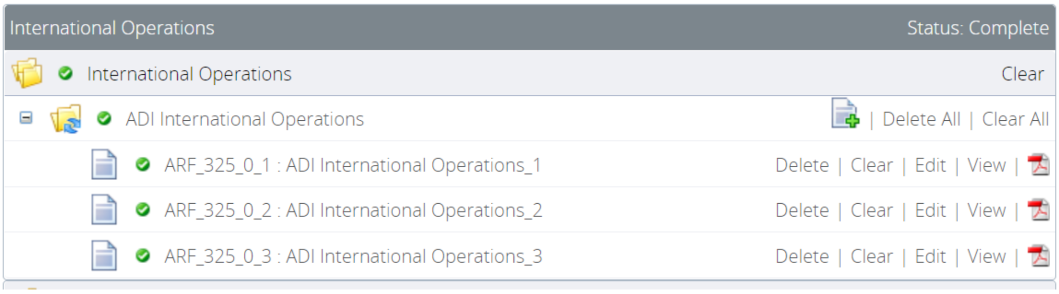
6.6.1 Uploading data

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

6.6.2 Manually entering data

When 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.

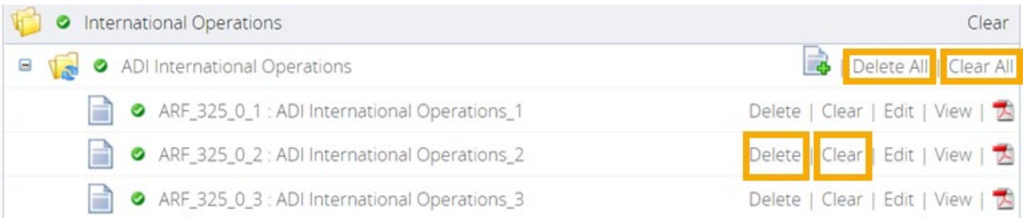
Each form name is uniquely identified depending on the context of the return.



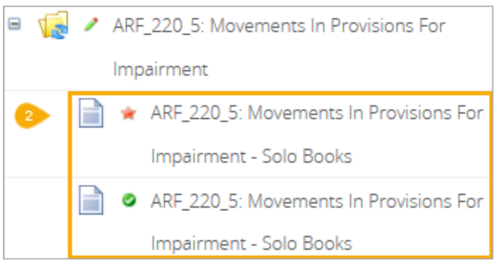
6.6.3 Deleting instances and clearing data

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

Option	Description
Delete All	Deletes all forms.
Clear All	Removes data in all forms. The forms remain and their status changes to No Data
Delete a form instance	Deletes the individual form.
Clear a form instance	Removes data from the individual form. Its status 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.



6.7 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.

6.8 Additional Notes

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

6.9 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.

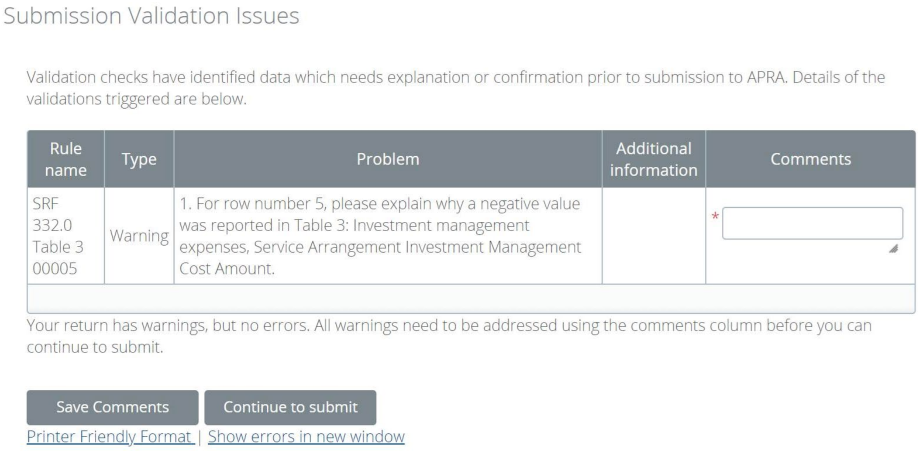
Further examples are given in the following table:

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

6.10 Data validation

All forms are 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.

<table>
<tr><th>Check</th><th>Description</th></tr>
<tr><td>Warning</td><td>
Warning validation errors highlight data discrepancies or abnormal variations. These often relate to typographical or transposition errors. In some cases, the data is accurate.
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.

Submission Validation Issues
Validation checks have identified data which needs explanation or confirmation prior to submission to APRA. Details of the validations triggered are below.
<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>*</td></tr>
</table>
Your return has warnings, but no errors. All warnings need to be addressed using the comments column before you can continue to submit.
Save Comments | Continue to submit
Printer Friendly Format | Show errors in new window
</td></tr>
</table>

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

6.10.1 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.

6.11 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:

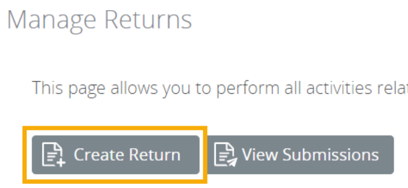
- submit file attachments, such as audit reports, Risk Management Declarations, Trustee Financial Statements, Financial Condition Reports, ICAAP reports and declarations, etc.
    - **Accepted file formats for supporting document uploads** =

      .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.

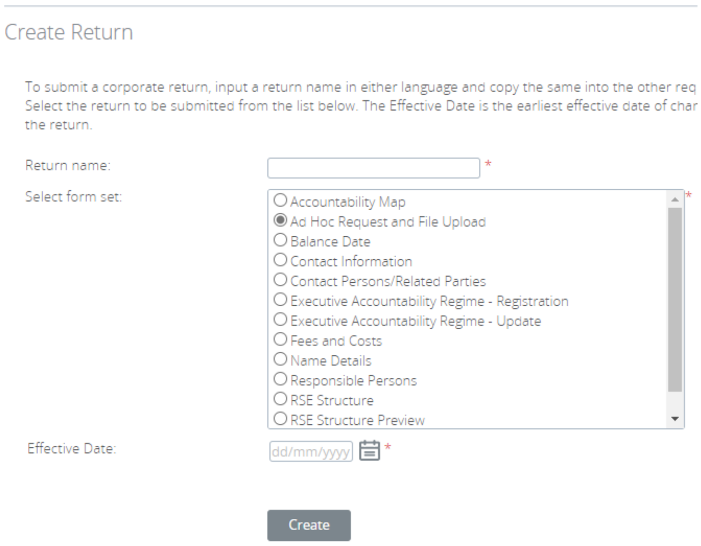
  Note: Ad hoc returns are not used to request the resubmission of regulatory returns. Refer to [Requesting a resubmission](#)

To create an ad hoc return:

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

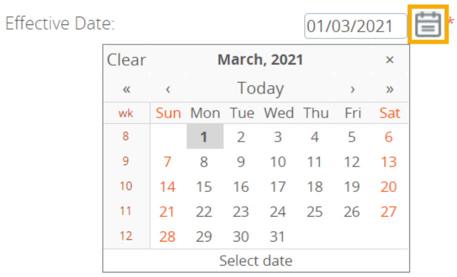


3. From the form set list, select **Ad Hoc Request and File Upload**.



4. Enter an appropriate name for the return, using a naming convention that is meaningful to your organisation.

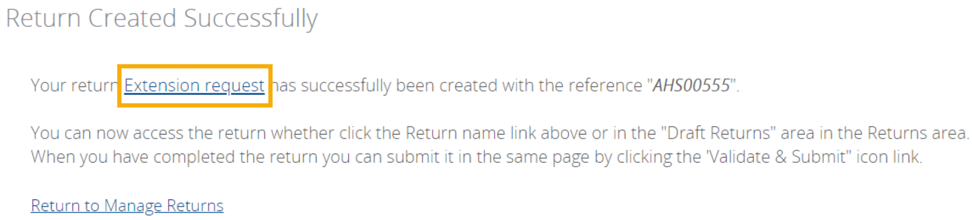
5. Click the calendar icon and select the date from which the request takes effect.



6. Click **Create**.

   A confirmation page displays the return's reference number.

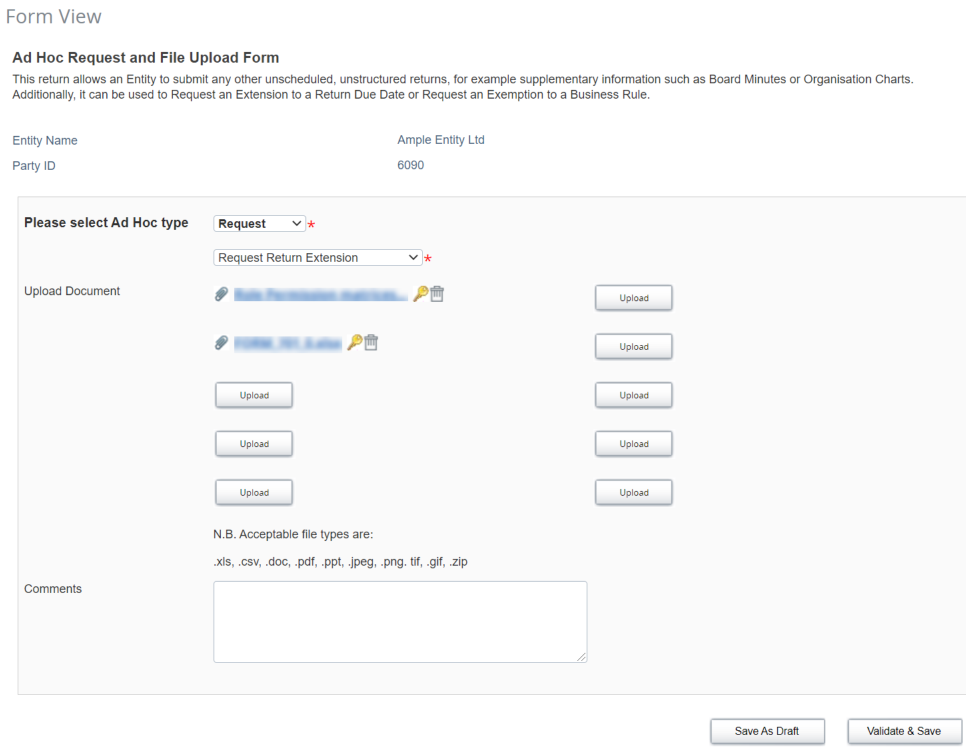
7. To begin adding data to the return immediately, click the hyperlinked name to open the return.



   Draft returns can be accessed at any time from the Manage Returns page.

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

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



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

11. In the **Comments** field, include the return or form, and the reference period the request relates 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.

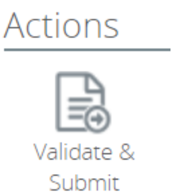
Only people with the required permissions can manually submit returns. Refer to User roles.

Returns are automatically submitted when a file that passes all validation is uploaded by any user. Refer to Uploading return data.

7.1 Manually submitting a return

To submit a return manually:

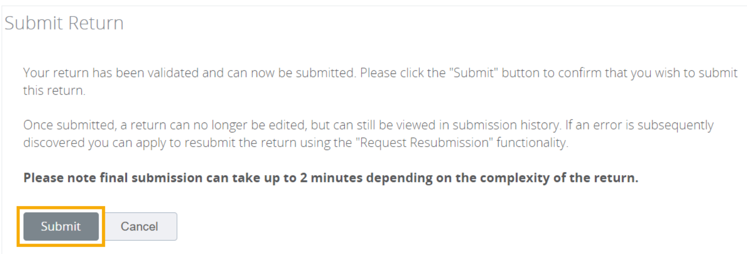
1. Navigate to the Manage Returns page.
2. Open the required return.
3. Click **Validate and Submit**.



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.



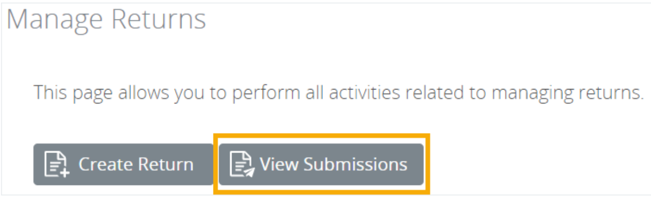
When the data has been received by APRA, a confirmation email is sent to the Regulatory Reporting Administrator(s) for your organisation.

7.2 Submission history

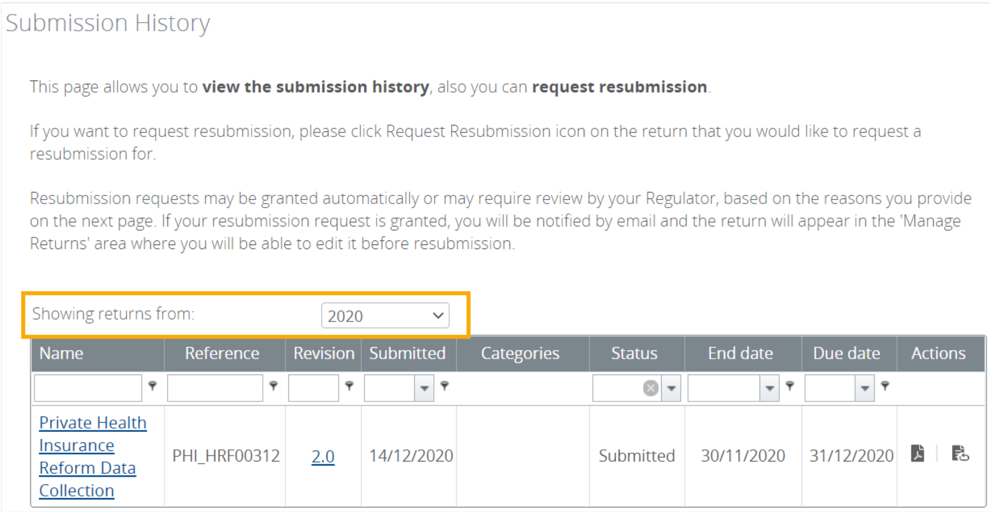
On the Submission History page, you can access the previously submitted returns, for which you have permissions to view.

To view submission history:

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

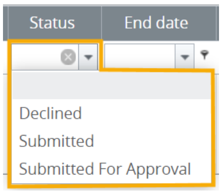


2. From the **Show returns from** list, select the year for which to see submitted returns. Note that is the year to which the return applies, not the year it was submitted.



Previously submitted returns are displayed according to your permissions.

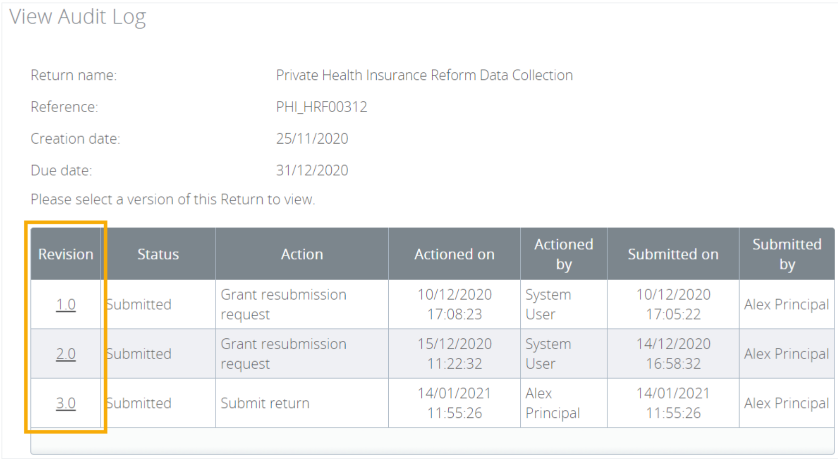
3. You can use the filter in applicable columns to refine the list and search for a return.



- 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
1.0	Submitted	Grant resubmission request	10/12/2020 17:08:23	System User	10/12/2020 17:05:22	Alex Principal
2.0	Submitted	Grant resubmission request	15/12/2020 11:22:32	System User	14/12/2020 16:58:32	Alex Principal
3.0	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:

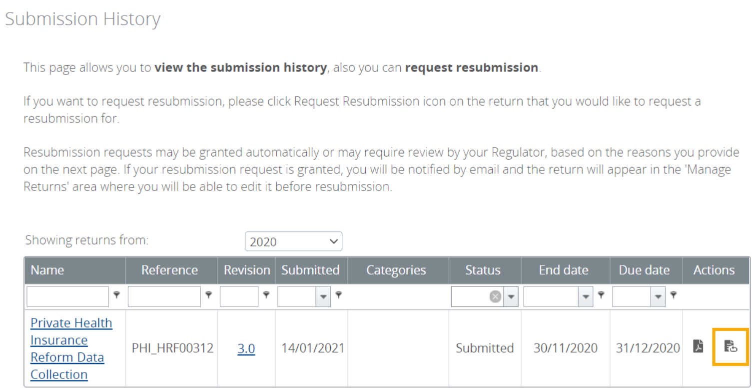
- if they are requested prior to the return due date, and will be available for editing and resubmission from the Manage Returns page.
- up to 15 days after the reporting due date so that you can amend data if it is identified as being erroneous from an APRA query.

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**.

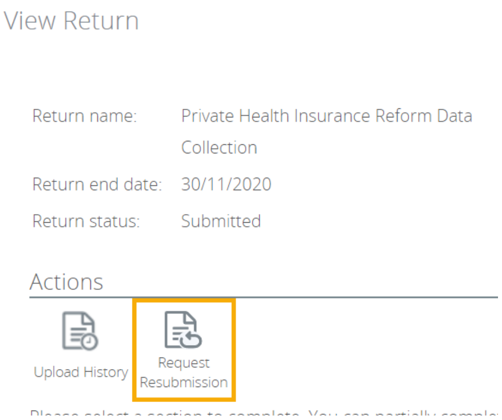
If you want to request resubmission, please click Request Resubmission icon on the return that you would like to request a resubmission for.

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.

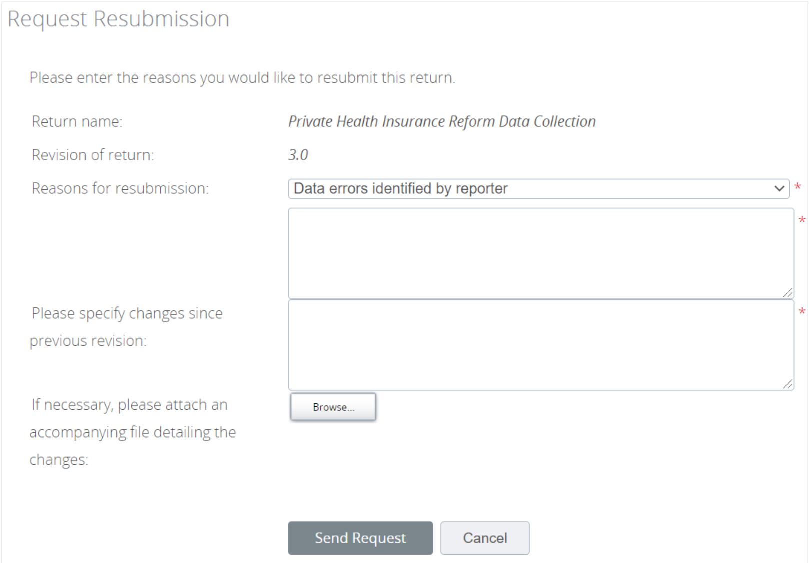
Showing returns from: 2020

Name	Reference	Revision	Submitted	Categories	Status	End date	Due date	Actions
Private Health Insurance Reform Data Collection	PHI_HRF00312	3.0	14/01/2021		Submitted	30/11/2020	31/12/2020	

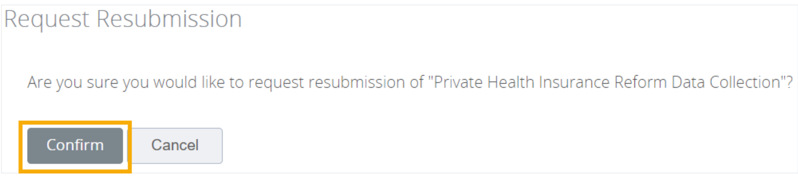
- click the name of the required return, and on the View Return page click **Request Resubmission**.



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



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.



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 submit a return, APRA sends out any queries on the data which have been raised. Regulatory Reporting Administrators 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 3 containing a numeric value indicating the number of queries.

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

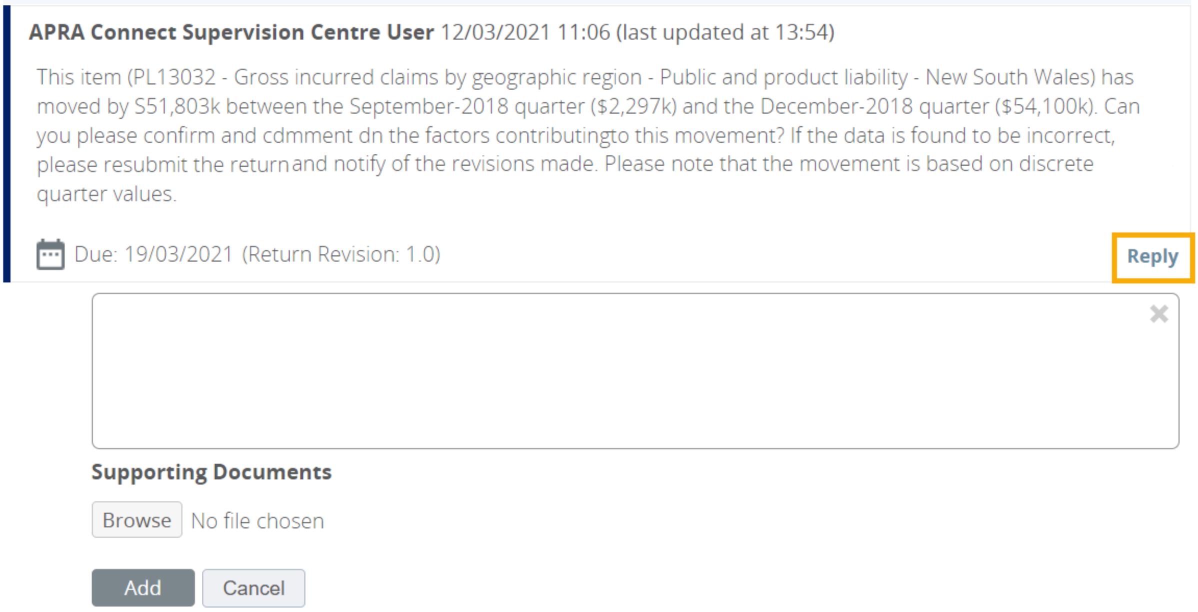
Queries can also be accessed when you open the return, using **View Comments** under Actions.

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.



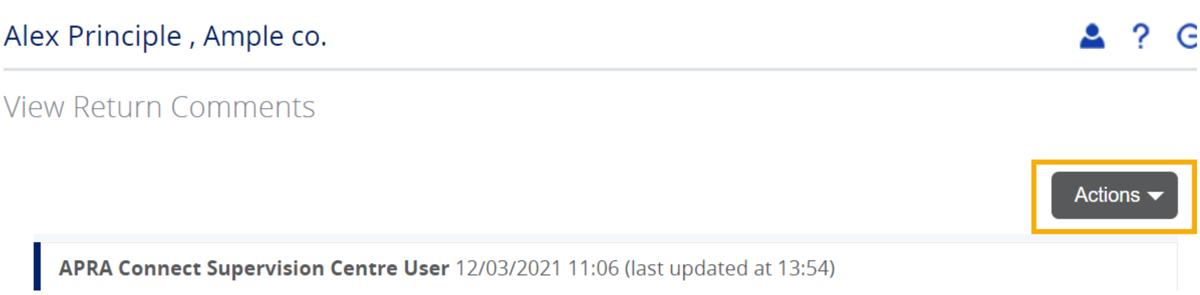
2. In the displayed field enter your explanatory text.
3. If support documents are required, click **Browse** to locate and attach the file.
4. When complete, click **Add** to save the comments and make them visible to APRA.

You can:

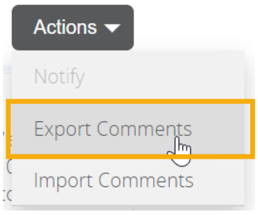
- add additional comments by repeating the above process
- edit or delete a response using the icons in the comment field.

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.



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

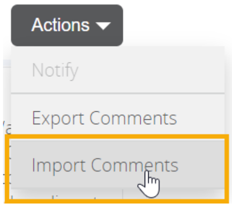


An Excel file is downloaded. Complete the **Response** columns of the Excel file as required.

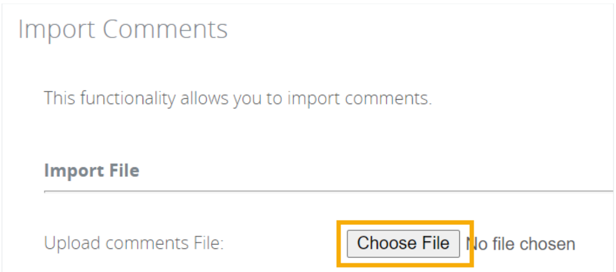
Note: It is important to retain the format of the downloaded file to ensure successful re-upload.

To import the completed file:

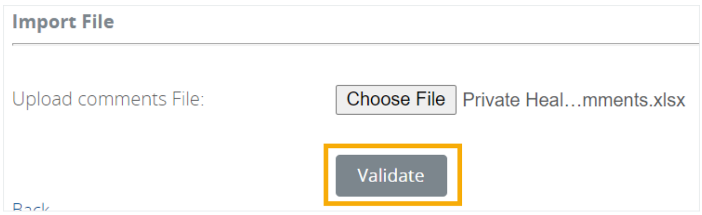
1. On the View Comments page select **Actions** > **Import Comments**.



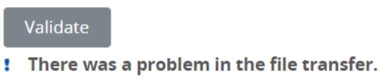
2. Click **Choose File** to locate and open the required file.



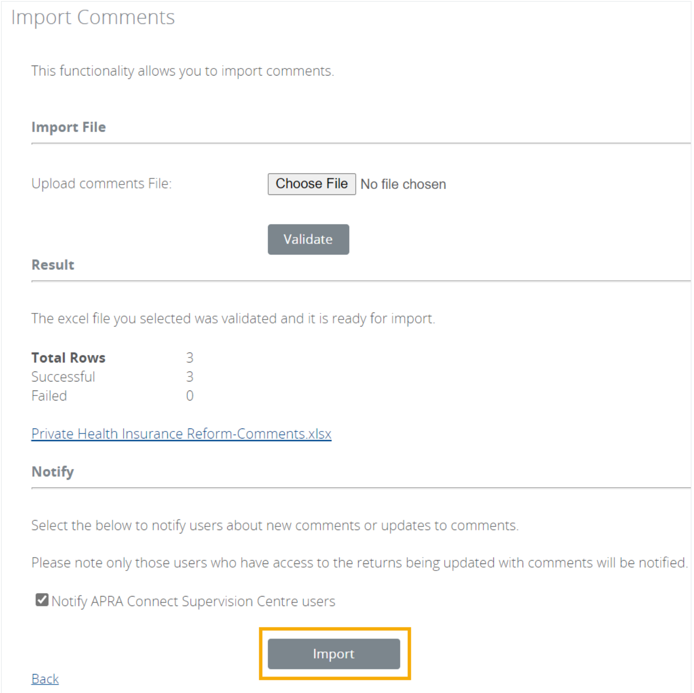
3. When the file is uploaded click **Validate**.



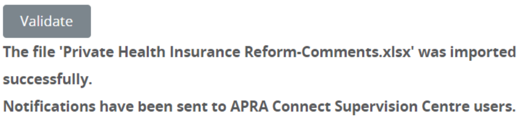
The file format is checked for import.
If the file is not in the correct format an error is display.



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



A successful import notification is displayed.

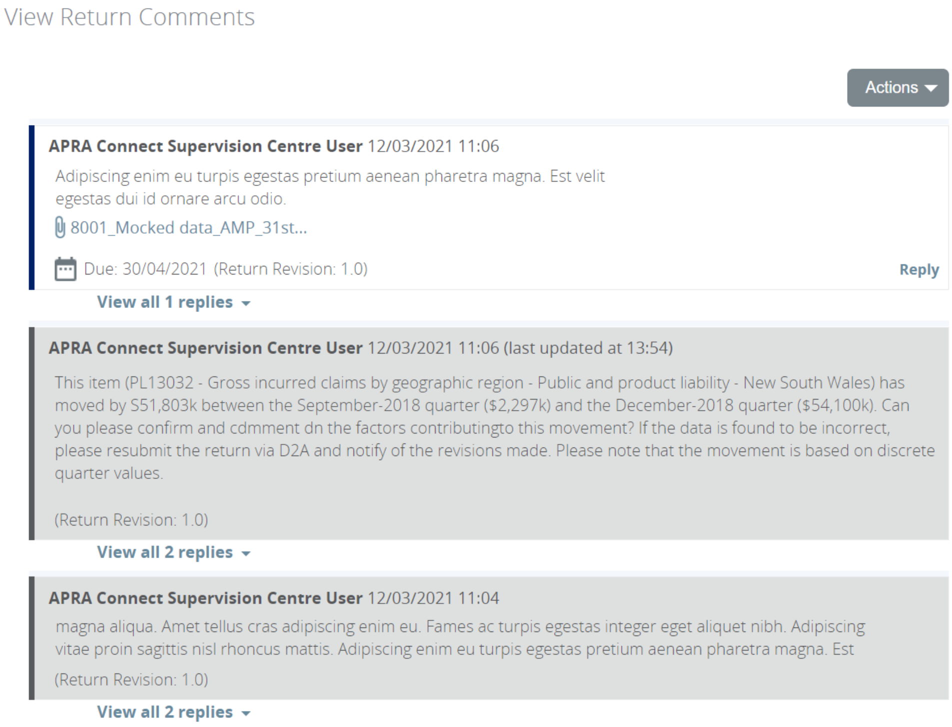


5. Click **Back** to return to the comments page.

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.



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