



# APRA Connect Taxonomy Artefacts

Webinar

1 April 2021

# Presenters



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# Overview



- APRA Connect implementation update
- Working group feedback
- Draft taxonomy artefacts
- Question time
- Wrap up

# Housekeeping



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



Questions		
<input checked="" type="checkbox"/> Show Answered Questions		
X	Question	Asker

We will address the questions as appropriate and as time permits



We look forward to your input

# Implementation Timeline



## December 20 APRA Connect re-start

Announcement of the new timeline  
& implementation approach



Dec  
20



**Draft reporting standards**  
Released the updated draft  
reporting standards

Mar  
21



**Response Package**  
Release response paper and final  
reporting standards

**APRA Connect Taxonomy**  
Release of draft taxonomy artefacts

**April /May 21  
Pilot**  
Pilot group access to  
external test



Apr  
21

APRA | Connect - TEST

**June 21 onwards  
Testing and familiarisation**  
All entities to access the test environment,  
familiarise themselves with functionality and  
submitting entity data

Jun  
21

**September 21  
Go-live**

- All entities to submit entity and ad hoc information, BEAR
- **Superannuation Data Transformation**
- PHI HRF 605

APRA | Connect



Sep  
21

# APRA Connect Artefacts



APRA has engaged industry through our regular forums to gain feedback on the approach to publication of artefacts. Whilst our proposal to release a package of artefacts was welcomed by entities, they asked to view draft artefacts in advance of the final release, to guide the commencement of data preparation work.

The draft artefacts include the data dictionary, validations, reporting taxonomy and XSD (to validate files).

Draft taxonomy artefacts are based on the current version of APRA Connect, which does not yet reflect the full final version of the reporting standards. While every effort has been made to ensure accuracy, entities can expect further changes before APRA Connect go live.

## What we heard:

80% is good enough to begin build

Difficult to rely solely on reporting standards

Broadly comfortable with the structure and type of artefacts proposed

Need to be clear on what method is acceptable for each return

Timelines are very tight – need artefacts now



# Overview of draft taxonomy artefacts

# Key elements



- **Data dictionary** (all industries), purpose: definitional dictionary – lists all unique data points. Format: Excel
- **Validations** (all industries), purpose: detailed information and syntax on each rule. Format: Excel
- **Reporting taxonomy** (collection specific), purpose: contains all model information, including: input annotation for data model, validation rules, and reference information i.e. guidance, definition, primary keys etc. Format: Excel
- **XSD** (collection specific), purpose: can be used to validate XML. Format: XSD



# Data dictionary for all industries

## 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.



# Data dictionary – sample of elements

Common Properties							
Ref *	Parent Ref *	Name *	Type *	Description *	Exclude From XML Upload	Dependency	Mandatory
1		FirmID	<a href="#">Integer (14)</a>		No		No
2		FirmName	<a href="#">Text (400)</a>		Yes		No
3		FirmRef	<a href="#">Text (400)</a>		Yes		No
4		ReportingEndDate	<a href="#">Date</a>		Yes		No
5		A1	Group		No		No
6	<a href="#">5</a>	AbleToFreezeForRedemptionsInvestmentOptionIndicator	<a href="#">YesNo</a>	Report whether the investment option is able to be frozen for redemptions.	No		No
7	<a href="#">5</a>	ABN	Group	Australian Business Number (ABN) has the meaning given in section 41 of the A New Tax System (Australian Business Number) Act 1999.	No		No
8	<a href="#">7</a>	LifeInsuranceCompanyAustralianBusinessNumber	<a href="#">ABN Integer (11)</a>	The ABN of a life insurance company.	No		No
9	<a href="#">7</a>	ServiceProviderAustralianBusinessNumber	<a href="#">ABN Integer (11)</a>	ABN of service provider	No		No
10	<a href="#">5</a>	ActivityFeeType	<a href="#">ActivityFeeType</a>	Means the type of activity fees that can be reported, the activ	No		No
11	<a href="#">5</a>	Admission	<a href="#">Admission</a>	Admissions to a hospital.	No		No
12	<a href="#">5</a>	Age	Group	The age of a person	No		No
13	<a href="#">12</a>	PrivateHealthInsuranceAge	<a href="#">Integer</a>	The age of the insured person at the date of treatment, or where no treatment is provided, the age of the person at the end of the reporting period.	No		No
14	<a href="#">12</a>	MemberAgeNumber	<a href="#">Integer</a>	Means the age of the member in whole years (age at the members' last birthday).	No		No
15	<a href="#">5</a>	AgeBasedDiscountAmount	<a href="#">AgeBasedDiscountAmount</a>	Discounts on private health insurance hospital premiums based on the insured persons age.	No		No
16	<a href="#">5</a>	APIRCode	<a href="#">Text (exactly 9)</a>	Means the unique identifier issued by APIR Systems Limited (APIR) to products and participants and updated from time to time.	No		No
				RG 97 version is an indicator variable referencing the version of ASIC Regulatory Guide 97: Disclosing fees and costs in PDSs and periodic statements (RG 97) referenced			

# Elements can be collected with different contexts

- Elements: the Component Activity dimension is defined with two different contexts
- Enumerations: all the possible dimension members are defined

**E224** Components of performance are classified into the following component activities:

- Investment;
- Administration
- Transaction;
- Advice; and
- Other.

A component of net return can only be characterised as being related to one component activity.  
Fees, costs and taxes may be incurred (or refunds received) in undertaking any of these activities. Return may be generated via Investment activities only.

**E48** Means activities that give rise to 'investment fees' as defined in item 101, Schedule 10 of the Corporations Regulations 2001.  
Excludes Administration and Transaction activities.

Common Properties					
Name *	Type *	Description *	Exclude From XML Upload	Dependency	Mandatory
FeesAndCostsComponentActivityType	ComponentActivity	Fees and costs component activity indicates the categorisation of the activities giving rise to fees a			
PerformanceComponentActivityType	ComponentActivity	Components of performance are classified into the following component activities:•Investment;•A			

**E48**

Enumeration Properties				Custom Attributes
Enumeration *	Key *	Label *	Parent Key	Business Definition
ComponentActivity	Investment	Investment		Means activities that give rise to 'investment fe
ComponentActivity	Administration	Administration		Means activities that give rise to 'administration
ComponentActivity	Transaction	Transaction		Means activities that would give rise to 'transac
ComponentActivity	Advice	Advice		Means activities that relate to the provision of f
ComponentActivity	Member Activity	Member Activity		Means fees or costs that are triggered by memb



# Validations rules for all industries – Excel based

- Contains full details of all the validation rules for each industry (in APRA Connect).
- The Rule Expressions and Rule Constraints are written in APRA Connect syntax
- Entities can also use this syntax in their own systems

If( GetKey([PerformanceComponentActivityType]) = 'Investment', GetKey([InvestmentChargeType]) = 'Base' or GetKey([InvestmentChargeType]) = 'Performance Linked', true )									
B	C	D	E	F	G	H	I	J	
Rule Name	Rule Version	Schema Name	Error Message	Section Rule Ap	Rule Type	Rule Expression	Rule Cor	aint	
SRF 705.0 Table 1 C		1 SUP_PERFCOMP	'For Component Activity, if Investme	/SUP_PERFCOMP/S	Error	If( GetKey([PerformanceComponentActivityType]) = 'Investment', GetKey([InvestmentCha			
SRF 705.0 Table 1 C		1 SUP_PERFCOMP	'For Tier Arrangement Identifier, a v	/SUP_PERFCOMP/S	Error	If(GetKey([TierType]) = 'Not Applicable' and IsNull([TierArrangementIdentifier]) = false, ([T			
SRF 705.0 Table 1 C		1 SUP_PERFCOMP	'For Tier Arrangement Identifier, if a	/SUP_PERFCOMP/S	Error	If([TierArrangementIdentifier] <0 or [TierArrangementIdentifier] >0, If(IsNull([LowerBound			
		1 SUP_PERFCOMP	The value in 'Table1: Components of	/SUP_PERFCOMP/S	Error	If( IsNull([LowerBoundTierAccountBalanceAmount]) or IsNull([UpperBoundTierAccountBa			
		1 SUP_PERFCOMP	'If Return is reported for Performanc	/SUP_PERFCOMP/S	Error	If(GetKey([PerformanceComponentType]) = 'Return', GetKey([PerformanceComponentAct			
SRF 705.0 Table 1 C		1 SUP_PERFCOMP	The value reported in 'Table 1: Com	/SUP_PERFCOMP	Error	/* if the count =0 then all reported products are active*/Count( ExtractStringArray(0, Exec			
SRF 705.0 Table 1 C		1 SUP_PERFCOMP	'For Investment Charge Type, if Base	/SUP_PERFCOMP/S	Error	If(GetKey([InvestmentChargeType]) = 'Base' or GetKey([InvestmentChargeType]) = 'Perfor			
ABN Check		1 SUP_PERFCOMP	'The ABN reported in this return, '+ I	/SUP_PERFCOMP	Error	Nz([FirmRef], '') = GetFirmReference([FirmID])			
SRF 705.0 Table 1 C		1 SUP_PERFCOMP	'For Tier Type, if Flat or Marginal ha	/SUP_PERFCOMP/S	Error	If(GetKey([TierType]) = 'Flat' or GetKey([TierType]) = 'Marginal', ([TierArrangementIdentif			
		1 SUP_PERFCOMP	The value reported in 'Table 1: Com	/SUP_PERFCOMP	Error	/* if the count =0 then all reported products are active*/Count( ExtractStringArray(0, Exec			
Reporting End Date		1 SUP_PERFCOMP	'Reporting End Date Cannot Be Blan	/SUP_PERFCOMP	Error	not(IsNull([ReportingEndDate]))			
SRF 705.0 Table 1 C		1 SUP_PERFCOMP	The value reported in 'Table 1: Com	/SUP_PERFCOMP	Error	/* if the count =0 then all reported products are active*/Count( ExtractStringArray(0, Exec			
AllowedDimension		1 SUP_PERFCOMP	'The following combination of dimer	/SUP_PERFCOMP	Error	ValidateList([SRF_705_0_Table_1.01])			
Reporting End Date		1 SUP_PERFCOMP	'The reporting end date reported in	/SUP_PERFCOMP	Error	[ReportingEndDate] = GetReportingEndDate([@Schema_Instance_Guid])			
SRF 705.0 Table 1 C		1 SUP_PERFCOMP	The value reported in 'Table 1: Com	/SUP_PERFCOMP	Error	/* if the count =0 then all reported products are active*/Count( ExtractStringArray(0, Exec			
SRF 705.0 Table 1 C		1 SUP_PERFCOMP	'If Tier arrangement number is great	/SUP_PERFCOMP/S	Error	If([TierArrangementIdentifier] > 0, GetKey([TierType]) = 'Flat' or GetKey([TierType]) = 'M			



# Questions?



# Reporting Taxonomy – Excel based

- **Schema** – contains the collection name, schema properties and the embedded ‘hole restrictions’ spreadsheet which displays each table and the allowed values that are relevant in the selected collection.
- **Elements** – contains only the elements and their properties within the selected collection.
- **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.
- **Rules** – contains non-business rules relating to the structure of the table relevant to XML uploads. A full list of rules is available in the Validations spreadsheet.
- **EntityDetails** – displays the name of the entity, ABN and reporting period.
- **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 – hole restrictions

- The embedded hole restrictions file will either list the allowed values for each dimension or 'AllMembers' when all values are accepted
- The same information will also be shown in the 'Comment' for the dimension on the template for the table

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

SRF\_705\_0\_Table\_1.01

# Elements – properties relevant for a collection

- Properties include which fields are mandatory and/or primary keys

E10
✕ ✓ fx

Components of performance are classified into the following component activities:

- Investment;
- Administration
- Transaction;
- Advice; and
- Other.

A component of net return can only be characterised as being related to one component activity.

Fees, costs and taxes may be incurred (or refunds received) in undertaking any of these activities. Return may be generated

	A	B	C	D	E	H	K	
1	Common Properties					Item / Group		Item
2	Ref *	Parent Ref * except root	Name *	Type *	Description	Mandatory	Primary Key	Initial Value
3	1		SRF_705_0_Table_1	Group				
4	2	1	SRF_705_0_Table_1.01	List				
5	3	2	FeesAndCostsArrangementIdentifier	Text (20)	Means a unique id	Yes	Yes	
6	4	2	SuperannuationProductIdentifier	Text (20)	A unique identifier	Yes	Yes	
7	5	2	InvestmentMenuIdentifier	Text (20)	A unique identifier	Yes	Yes	
8	6	2	InvestmentOptionIdentifier	Text (20)	A unique identifier	Yes	Yes	
9	7	2	PerformanceComponentType	ComponentType	Components of pe	Yes	Yes	
10	8	2	PerformanceComponentActivityType	ComponentActivity	Components of pe	Yes	Yes	
11	9	2	InvestmentManagerLevelType	InvestmentManagerLevel	Fees and costs rela	Yes	Yes	
12	10	2	InvestmentChargeType	InvestmentChargeType	The investment ch	Yes	Yes	
13	11	2	TierType	TierType	Tiering may apply	Yes	Yes	

Schema
Elements
Form Set
Folders
Forms
Rules
EntityDetails
SRF\_705\_0\_Ta ...



## Excel Template – Excel based

- Contains a layout of the table(s) including Entity Details
- Can be used by entities as a template for their Excel upload files
- Worksheet names and first row of data as per Excel template

	A	B	C	D	E	F	G	H	I	J	K	L
1	Entity Name	Your entity name										
2	Australian Business Number	12345678910										
3	Reporting End Date	30/09/2021										
4												
5												
6												
7												
8												

  

	A	B	C	D	E	F	G	H	I	J	K	L
1	Table 1: Components of net return											
2												
3	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 De Amou
4	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
5												
6												
7												
8												
9												
10												
11												
12												
13												

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

SAMPLE



# Questions?

# XSD - XML schema



- Used by entities uploading XML files
- Validates the XML file for the correct structure (including enumerations)
- Enumerations are case sensitive
- The specific Version Number and GUID will be described in the XSD

```
1 <?xml version="1.0" encoding="utf-8"?>
2 <xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema" elementFormDefault="qualified" attributeFormDefault="unqualified">
3   <xs:complexType name="Thousand_x0020_Separated">
4     <xs:sequence>
5       <xs:element name="value">
6         <xs:simpleType>
7           <xs:restriction base="xs:decimal">...</xs:restriction>
8         </xs:simpleType>
9       </xs:element>
10    </xs:sequence>
11  </xs:complexType>
12  <xs:complexType name="TEXT">...</xs:complexType>
13  <xs:complexType name="Integer">...</xs:complexType>
14  <xs:complexType name="Date">...</xs:complexType>
15  <xs:complexType name="Decimal_x0020_x0028_14_x005F_x002E_2_x0029_">...</xs:complexType>
16  <xs:complexType name="Text_x0020_x0028_20_x0029_">...</xs:complexType>
17  <xs:complexType name="ComponentType">...</xs:complexType>
18  <xs:complexType name="ComponentActivity">...</xs:complexType>
19  <xs:complexType name="InvestmentManagerLevel">...</xs:complexType>
20  <xs:complexType name="InvestmentChargeType">...</xs:complexType>
21  <xs:complexType name="TierType">...</xs:complexType>
22  <xs:complexType name="Percent_x0020_x0028_4_x0020_decimal_x0020_places_x0029_">...</xs:complexType>
23  <xs:complexType name="PositiveInteger">...</xs:complexType>
24  <xs:element name="SUP_PERFCOMP">
25    <xs:complexType>
26      <xs:sequence minOccurs="1" maxOccurs="1">...</xs:sequence>
27      <xs:attribute name="type" use="required" fixed="schema"/>
28      <xs:attribute name="versionNumber" use="optional" default="1"/>
29      <xs:attribute name="guid" use="required" fixed="81ecfe69-8dfc-4ec3-9368-a6bcb6549123"/>
30      <xs:attribute name="HolesConstraintFile" type="xs:string" use="optional" default="f85c7d67-a3d9-44ad-8246-
31e77aeb407d50_HoleRestrictionsFile.xlsx"/>
32      <xs:attribute name="ExplanationForWarningsRequired" type="xs:string" use="optional" default="2"/>
33      <xs:attribute name="StandardXmlNamingRestrictions" type="xs:string" use="optional" default="On"/>
34      <xs:attribute name="GenerateXsd" type="xs:string" use="optional" default="0"/>
35    </xs:complexType>
36  </xs:element>
37 </xs:schema>
```

SAMPLE

# Sample XML file created from XSD

- A valid XML file must include the Version number and GUID
- Entities will enter reported or enumeration values between <value> </value>

```
1 <?xml version="1.0" encoding="UTF-8"?>
2 <!--Sample XML file generated by XMLSpy v2021 (x64) (http://www.altova.com)-->
3 <SUP_PERFCOMP xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" type="schema" versionNumber="1" guid="81ecfe69-8dfc-4ec3-9368-a6bcb6549123"
  HolesConstraintFile="f85c7d67-a3d9-44ad-8246-e77aeb407d50_HoleRestrictionsFile.xlsx" ExplanationForWarningsRequired="2"
  StandardXmlNamingRestrictions="On" GenerateXsd="0" xsi:noNamespaceSchemaLocation="file://im@ssl/DavWWWRoot/projects/P1819-03/Metadata%20Migration/
  Ph2%20-%20SDT/Artefacts/Draft/Draft%20SUP_uPERFCOMP.xsd">
4   <SUP_PERFCOMP type="group">
5     <FrequencyCategory type="item">...</FrequencyCategory>
8     <EntityDetails type="group">...</EntityDetails>
22    <SRF_705_0_Table_1 type="group">
23      <SRF_705_0_Table_1_x005F_x002E_01 type="list">
24        <SRF_705_0_Table_1_x005F_x002E_01_x0020_Repeat_x0020_Group type="group">...</SRF_705_0_Table_1_x005F_x002E_01_x0020_Repeat_x0020_Group>
86        <SRF_705_0_Table_1_x005F_x002E_01_x0020_Repeat_x0020_Group type="group">
87          <FeesAndCostsArrangementIdentifier type="item">
88            <value>a</value>
89          </FeesAndCostsArrangementIdentifier>
90          <SuperannuationProductIdentifier type="item">
91            <value>a</value>
92          </SuperannuationProductIdentifier>
93          <InvestmentMenuIdentifier type="item">
94            <value>a</value>
95          </InvestmentMenuIdentifier>
96          <InvestmentOptionIdentifier type="item">
97            <value>a</value>
98          </InvestmentOptionIdentifier>
99          <PerformanceComponentType type="item">
100            <value>Tax</value>
101          </PerformanceComponentType>
102          <PerformanceComponentActivityType type="item">
103            <value>Transaction</value>
104          </PerformanceComponentActivityType>
105          <InvestmentManagerLevelType type="item">
106            <value>Direct Investment Manager</value>
107          </InvestmentManagerLevelType>
108          <InvestmentChangeType type="item">
```

# Alignment with Reporting Standards

- The differences between the draft artefacts and the final reporting standards are minor in nature and will be reflected in the next version of the artefacts.
- For the avoidance of doubt, entities should note that final reporting standards available at [Consultation on APRA's Superannuation Data Transformation](#) should be referenced for final versions of definitions and reporting instructions.

**Material change to expenses collection:** the reporting standard contains a new element in Table 1 that is not in the current artefacts, called Service Provider Identifier. The Service Provider Identifier also replaces the Service Provider Australian Business Number in Table 2 and 3 of this form.

**Cosmetic changes to all collections:** there will be minor wording differences between the reporting standards (including SRS 101.0 definitions) and the description and/or guidance in the elements and enumerations tabs for the data dictionary and the elements tab of all reporting taxonomies.



# Explanatory notes

Explanatory notes are provided on APRA website to assist entities in using the artefacts.

They cover:

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



# Questions?



# More information and feedback



## Draft Artefacts

available on the APRA website:  
[APRA Connect Taxonomy Artefacts](#)

To subscribe for APRA Connect updates  
visit the [Getting ready for APRA Connect](#) page on the APRA website.



## Reporting Standards

Visit the [SDT page](#) on the APRA website for Response paper and Reporting Standards



## Contact us

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Thank you