

APRA Connect Taxonomy Artefacts

Webinar

1 April 2021

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Presenters





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APRA Connect



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APRA Connect

Overview



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







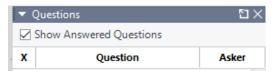
We will have everyone on mute to minimise unexpected interruptions



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



We look forward to your input

Implementation Timeline



December 20 APRA Connect re-start

Announcement of the new timeline & implementation approach



Draft reporting standardsReleased the updated draft

reporting standards

April/May 21 Pilot

Pilot group access to external test



Apr 21

OAPRA | Connect - TEST

Jun

21

Response Package

Release response paper and final reporting standards

APRA Connect Taxonomy

Release of draft taxonomy artefacts

September 21 Go-live

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



OAPRA Connect

June 21 onwards Testing and familiarisation

All entities to access the test environment, familiarise themselves with functionality and submitting entity data

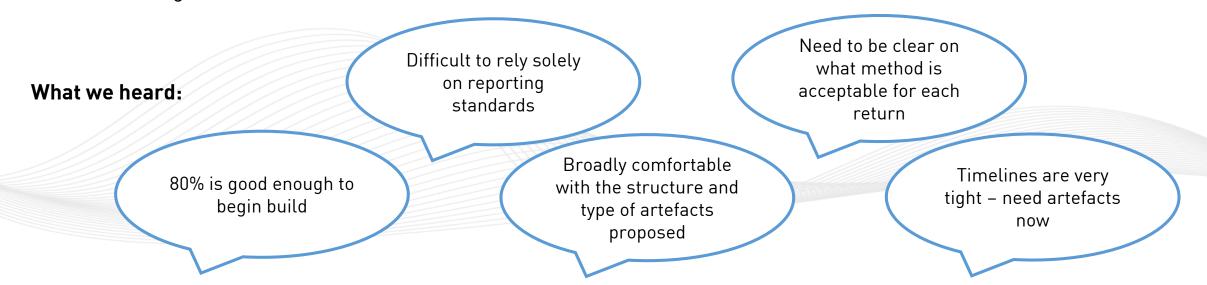
APRA Connect Artefacts



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.





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. <u>Format:</u>
 <u>Excel</u>
- 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. <u>Format: Excel</u>
- 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

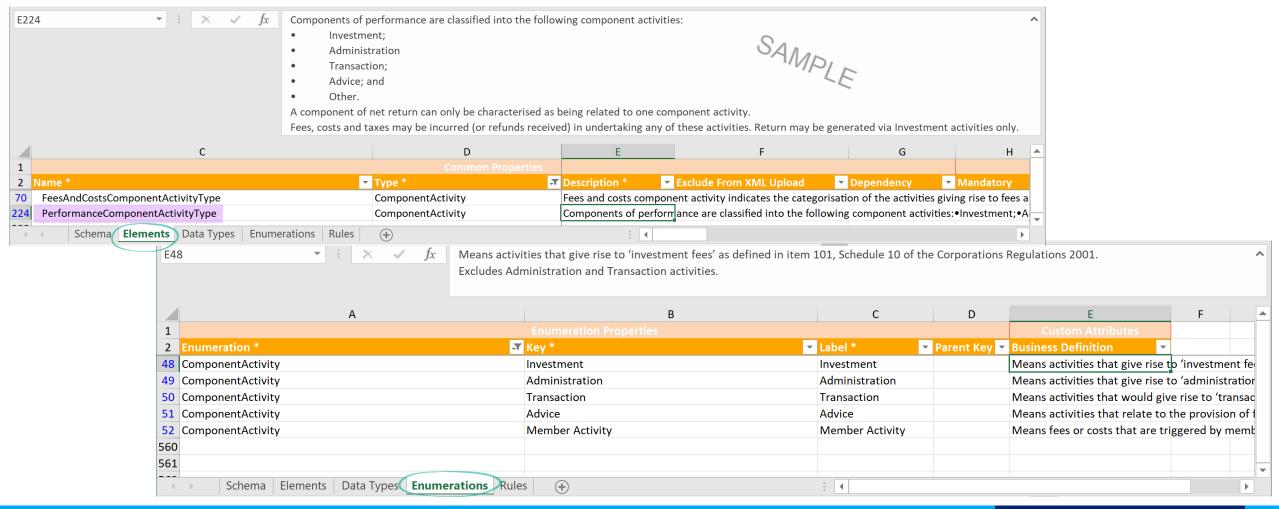
				Exclude From		
ef * Parent Ref *	Name *	Type *	Description *	XML Upload	Dependency	Mandator
1	FirmID	Integer (14)		No		No
2	FirmName	Text (400)		Yes		No
3	FirmRef	<u>Text (400)</u>		Yes		No
4	ReportingEndDate	<u>Date</u>		Yes		No
5	A1	Group		No		No
6 5	AbleToFreezeForRedemptionsInvestmentOptionIndicator	VesNo	Report whether the investment option is able to be frozen for redemptions.	No		No
		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
	LifeInsuranceCompanyAustralianBusinessNumber	ABN Integer (11)	The ABN of a life insurance company.	No		No
	ServiceProviderAustralianBusinessNumber	ABN Integer (11)	ABN of service provider	No		No
	ActivityFeeType	ActivityFeeType	Means the type of activity fees that can be reported, the activ	117		No
	Admission	Admission	Admissions to a hospital.	No		No
		Group	The age of a person	No		No
	PrivateHealthInsuranceAge	Integer	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 12	MemberAgeNumber	Integer	Means the age of the member in whole years (age at the members' last birthday).	No		No
15 5	AgeBasedDiscountAmount	AgeBasedDiscountAmount	Discounts on private health insurance hospital premiums based on the insured persons age.	No		No
16 5	APIRCode	Text (exactly 9)	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





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)							
В	С	D	Е	F	G	Н	l J
Rule Name	Rule Version	Schema Name	∓ Error Message ▼	Section Rule Ap	Rule Type	▼ Rule Expression	▼ Rule Cor ▼ aint
SRF 705.0 Table 1 0	1	SUP_PERFCOM	'For Component Activity, if Investme	SUP_PERFCOMP/	S Error	If(GetKey([PerformanceComponentActivityTy	pe]) = 'Investment , GetKey([InvestmentCha
SRF 705.0 Table 1 0	1	SUP_PERFCOM	For Tier Arrangement Identifier, a v	/SUP_PERFCOMP/	S Error	If(GetKey([TierType]) = 'Not Applicable' and Is	Null([TierArrangementIdentifier]) = false, ([T
SRF 705.0 Table 1 0	1	SUP_PERFCOM	For Tier Arrangement Identifier, if a	SUP_PERFCOMP/	S Error	If([TierArrangementIdentifier] <0 or [TierArrangementIdentifier]	gementIdentifier] >0, If(IsNull([LowerBounc
	1	SUP_PERFCOM	The value in 'Table1: Components o	1/SUP_PERFCOMP/	S Error	If(IsNull([LowerBoundTierAccountBalanceAm	ount]) or IsNull([UpperBoundTierAccountBa
8	41. 1	SUP_PERFCOM	'If Return is reported for Performan	SUP_PERFCOMP/	S Error	<pre>If(GetKey([PerformanceComponentType]) = 'R</pre>	eturn', GetKey([PerformanceComponentAct
SRF 705.0 Table 1 0		SUP_PERFCOM	The value reported in 'Table 1: Com	/SUP_PERFCOMP	Error	/* if the count =0 then all reported products a	re active*/Count(ExtractStringArray(0, Exec
SRF 705.0 Table 1 0	1/6	SUP_PERFCOM	'For Investment Charge Type, if Base	SUP_PERFCOMP/	S Error	If(GetKey([InvestmentChargeType]) = 'Base' o	GetKey([InvestmentChargeType]) = 'Perfor
ABN Check	1	SUP_PERFCOM	'The ABN reported in this return, '+	I/SUP_PERFCOMP	Error	Nz([FirmRef],") = GetFirmReference([FirmID])	
SRF 705.0 Table 1 0	1	SUP_PERFCOM	'For Tier Type, if Flat or Marginal ha	SUP_PERFCOMP/	S Error	If(GetKey([TierType]) = 'Flat' or GetKey([TierTy	pe]) = 'Marginal', ([TierArrangementIdentif
	1	SUP_PERFCOM	The value reported in 'Table 1: Com	/SUP_PERFCOMP	Error	/* if the count =0 then all reported products a	re active*/Count(ExtractStringArray(0, Exec
Reporting End Date	1	SUP_PERFCOM	'Reporting End Date Cannot Be Blan	/SUP_PERFCOMP	Error	not(IsNull([ReportingEndDate]))	
SRF 705.0 Table 1 0	1	SUP_PERFCOM	The value reported in 'Table 1: Com	/SUP_PERFCOMP	Error	/* if the count =0 then all reported products a	re active*/Count(ExtractStringArray(0, Exec
AllowedDimension	1	SUP_PERFCOM	'The following combination of dime	r/SUP_PERFCOMP	Error	ValidateList([SRF_705_0_Table_1.01])	
Reporting End Date	1	SUP_PERFCOM	'The reporting end date reported in	/SUP_PERFCOMP	Error	[ReportingEndDate] = GetReportingEndDate(@Schema_Instance_Guid])
SRF 705.0 Table 1 0	1	SUP_PERFCOM	The value reported in 'Table 1: Com	/SUP_PERFCOMP	Error	/* if the count =0 then all reported products a	re active*/Count(ExtractStringArray(0, Exec
SRF 705.0 Table 1 0	1	SUP_PERFCOM	'If Tier arrangement number is grea	t/SUP_PERFCOMP/	S Error	If(([TierArrangementIdentifier]) > 0, $GetKey([$	ierType]) = '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.





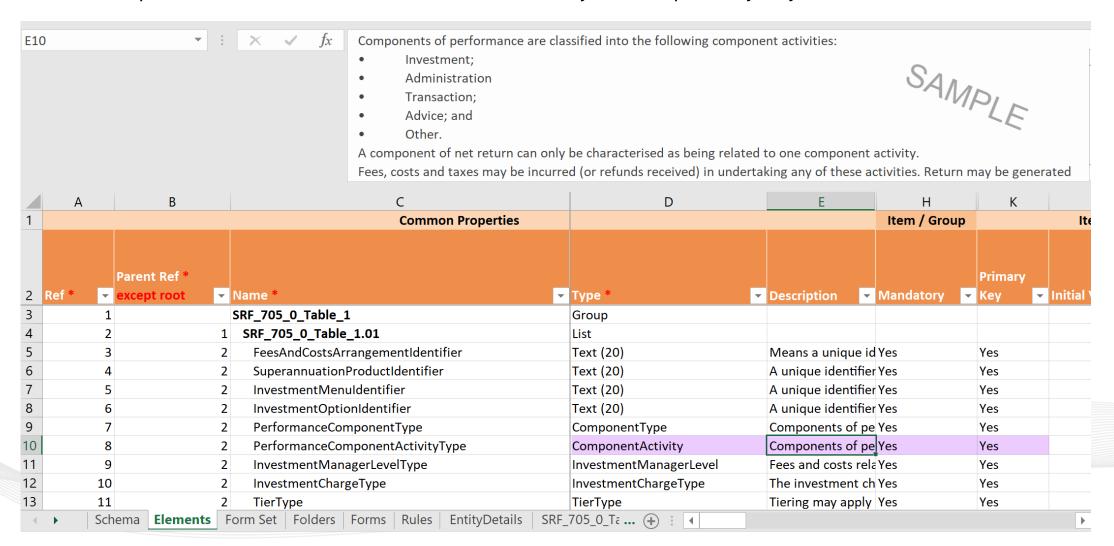
- The embedded hole restrictions file will either list the allowed values for each dimension or 'AllMembers' when all values are accepted
- The same information will also be shown in the 'Comment' for the dimension on the template for the table

	U							'
PerformanceComponentType	▼ PerformanceComponentActivityType	•	InvestmentManagerLevelType	~	InvestmentChargeType	▼ ∏i	erType ▼	FeesAndCostsArrangementIdentifier
AllMembers	Investment		AllMembers		AllMembers	Al	lMembers	
AllMembers	Administration		AllMembers		AllMembers	Αl	lMembers	.0.4
AllMembers	Transaction		AllMembers		AllMembers	Αl	lMembers	02/1/2
AllMembers	Advice		AllMembers		AllMembers	Αl	lMembers	"VIPI E
								-2
SRF_705_0_Table_1.01	+				: (•



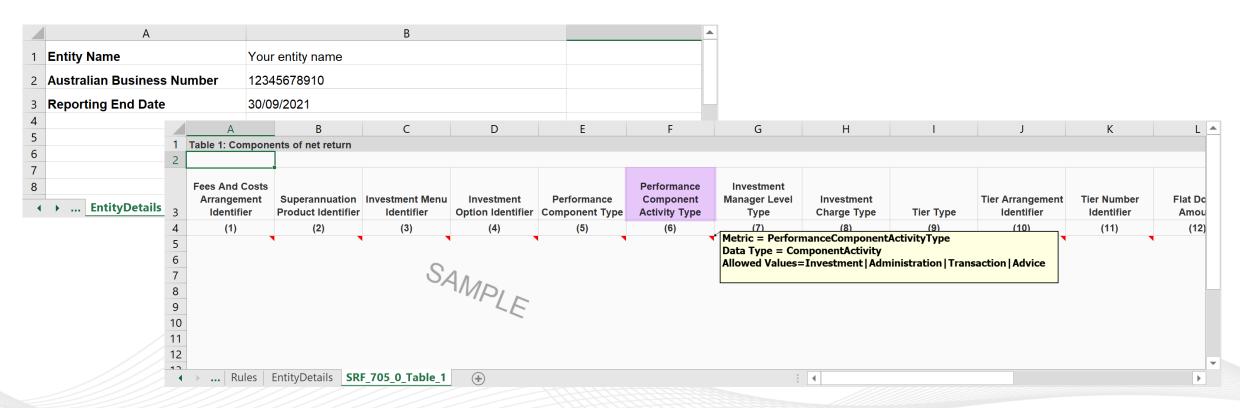
Elements - properties relevant for a collection

Properties include which fields are mandatory and/or primary keys



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



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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

```
<?xml version="1.0" encoding="utf-8"?>

[= <xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema" elementFormDefault="qualified" attributeFormDefault="unqualified">
                          <xs:complexType name="Thousand x0020 Separated">
              \ominus
                                  <xs:sequence>
                                         <xs:element name="value">
                                                 <xs:simpleTvpe>
                                                         <xs:restriction base="xs:decimal">...</xs:restriction>
   13
                                                 </xs:simpleType>
   14
                                         </xs:element>
   15
                                  </xs:sequence>
   16
                          </xs:complexType>
                         <xs:complexType name="TEXT">....</xs:complexType>
   17
   30
                          <xs:complexType name="Integer"> ... </xs:complexType>
   44
                          <xs:complexType name="Date">...
                         <xs:complexType name="Decimal_x0020__x0028_14_x005F_x002E_2_x0029_">....</xs:complexType>
   55
   69
                          <xs:complexType name="Text_x0020_x0028_20_x0029_"> \ldots \l
   81
                          <xs:complexType name="ComponentType"> .... </xs:complexType>
                          <xs:complexType name="ComponentActivity">...</xs:complexType>
   98
 114
                          <xs:complexType name="InvestmentManagerLevel">....</xs:complexType>
 128
                          <xs:complexType name="InvestmentChargeType">...
 142
                          <xs:complexType name="TierType"> ... </xs:complexType>
 156
                          <xs:complexType name="Percent x0020 x0028 4 x0020 decimal x0020 places x0029 ">....
 173
                          <xs:complexType name="PositiveInteger"> ... </xs:complexType>
                          <xs:element name="SUP PERFCOMP">
 188
 189
                                  <xs:complexType>
 190
                                         <xs:sequence minOccurs="1" maxOccurs="1">\ldots \ldots \ldot /xs:sequence>
 574
                                         <xs:attribute name="type" use="required" fixed="schema"/>
 575
                                         <xs:attribute name="versionNumber" use="optional" default="1"/>
                                         <xs:attribute name="guid" use="required" fixed="81ecfe69-8dfc-4ec3-9368-a6bcb6549123"/>
 576
 577
                                         <xs:attribute name="HolesConstraintFile" type="xs:string" use="optional" default="f85c7d67-a3d9-44ad-8246-</pre>
                  e77aeb407d50 HoleRestrictionsFile.xlsx"/>
                                         <xs:attribute name="ExplanationForWarningsRequired" type="xs:string" use="optional" default="2"/>
 578
 579
                                         <xs:attribute name="StandardXmlNamingRestrictions" type="xs:string" use="optional" default="0n"/>
 580
                                         <xs:attribute name="GenerateXsd" type="xs:string" use="optional" default="0"/>
 581
                                 </xs:complexType>
 582
                          </xs:element>
 583
                  </xs:schema>
₩34
```

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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>

```
<?xml version="1.0" encoding="UTF-8"?>
  2
        <!--Sample XML file generated by XMLSpy v2021 (x64) (http://www.altova.com)-->
      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="0n" 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">
                <FrequencyCategory type="item">....
  5
                <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 type="group">....</sr>
 86
                         <SRF 705 0 Table 1 x005F x002E 01 x0020 Repeat x0020 Group type="group">
                             <FeesAndCostsArrangementIdentifier type="item">
 87
 88
                                <value>a</value>
 89
                             </FeesAndCostsArrangementIdentifier>
 90
                             <SuperannuationProductIdentifier type="item">
 91
                                 <value>a</value>
 92
                             </SuperannuationProductIdentifier>
                             <InvestmentMenuIdentifier type="item">
 93
 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>
                            </PerformanceComponentActivityType>
104
                             <InvestmentManagerLevelType type="item">
105
106
                                 <value>Direct Investment Manager
                             </InvestmentManagerLevelType>
```

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 <u>Consultation on APRA's Superannuation Data Transformation</u> 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 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







available on the APRA website:

<u>APRA Connect Taxonomy Artefacts</u>

To subscribe for APRA Connect updates visit the <u>Getting ready for APRA</u>
<u>Connect page</u> on the APRA website.



Reporting Standards

Visit the <u>SDT page</u> on the APRA website for Response paper and Reporting Standards



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Thank you