



APRA

APRA | Connect

Q&A session for new users

27 July 2021

Housekeeping



This webinar will be recorded



We will have everyone on mute to minimise unexpected interruptions



The 'raise hand' functionality will not be used in this session

Please submit any questions you have through the 'Question' function



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

We will address the questions as appropriate and as time permits

Your presenters



Daniel Hunt
Business Lead
APRA Connect



Rosemary Nyul
Product Owner
APRA Connect



Belinda Green
Product Owner
APRA Connect

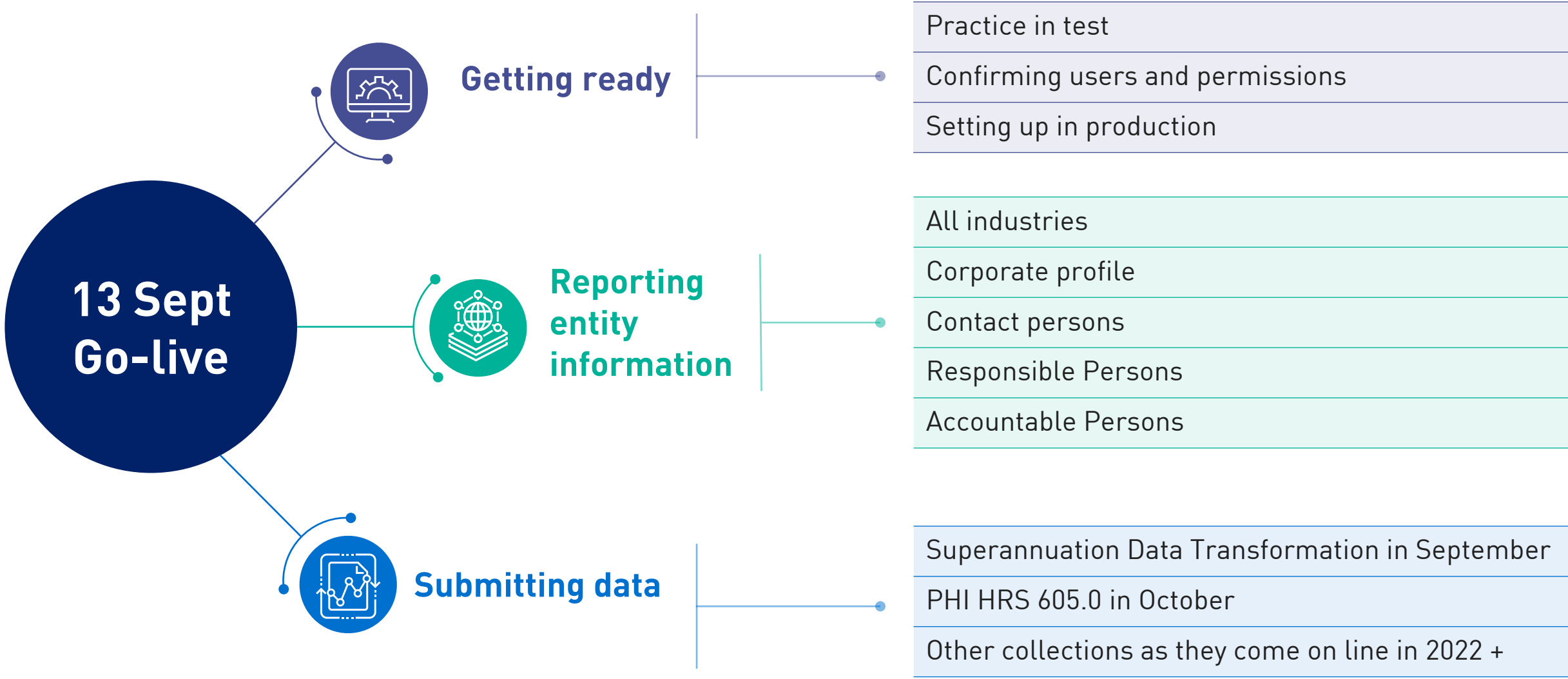


Jane Coad
Readiness Lead
APRA Connect






Agenda

- 1 Recap on go-live
- 2 Onboarding
- 3 Data preparation and submission
- 4 Open questions
- 5 Information and support

APRA Connect go-live 13 September



What this means for each industry

	 Superannuation	   Insurance, inc GI Intermediaries	 ADIs, RFCs
APRA Connect test environment # From 17 June 2021	<ul style="list-style-type: none"> Entity information such as corporate profile, contact details, Responsible Persons Superannuation Data Transformation 	<ul style="list-style-type: none"> Entity information such as corporate profile, contact details, Responsible Persons PHI reform (HRS 605.0) 	<ul style="list-style-type: none"> Entity information such as corporate profile, contact details, Responsible Persons Banking Executive Accountability Regime information (including accountability statement and maps)
APRA Connect Go-Live From 13 September 2021	<ul style="list-style-type: none"> Entity information such as corporate profile, contact details, Responsible Persons Superannuation Data Transformation 	<ul style="list-style-type: none"> Entity information such as corporate profile, contact details, Responsible Persons PHI reform (HRS 605.0) 	<ul style="list-style-type: none"> Entity information such as corporate profile, contact details, Responsible Persons Banking Executive Accountability Regime information (including accountability statement and maps)
Future collections	<ul style="list-style-type: none"> SDT - Phase 2 and Phase 3 Form 701 	<ul style="list-style-type: none"> AASB -17 changes Form 701 	<ul style="list-style-type: none"> ARS 220 Credit Quality ARS 115 Operational Risk FAR Form 701
D2A use	Continued use until a data collection is updated or replaced and for re-submission of data. APRA Connect will only be used for new collections.		

[RegTech access to external test by request](#)



APRA Connect test environment

The APRA Connect test environment is available as a permanent feature to help entities, Service Providers and RegTechs to:

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



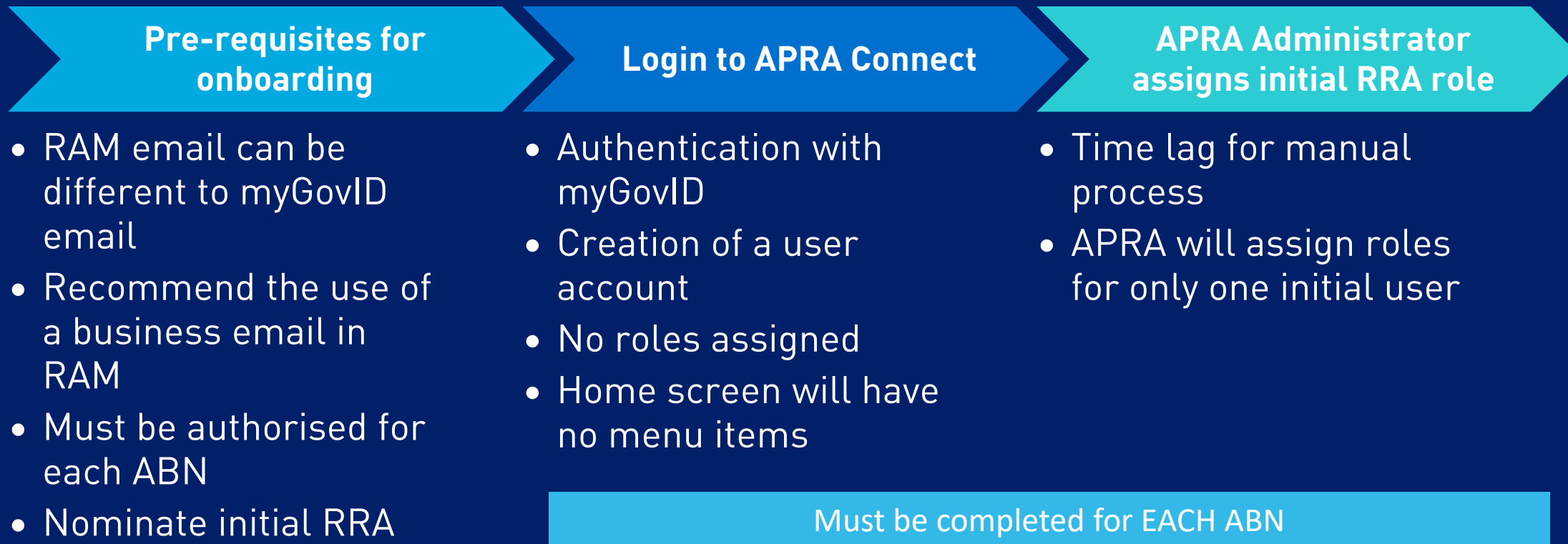
Onboarding



General questions on onboarding

- I've been nominated as the Regulatory Reporting Administrator, why can't I access APRA Connect?
- I've been nominated for a number of entities in D2A. Why can I only access one entity?
- I've logged into APRA Connect, why can't I see anything in the Home menu?
- Why am I receiving emails from APRA Connect in my personal email address?
- Can you change my email address?
- Can I use a shared email address for APRA Connect?
- I submitted forms for all of our users, why don't they have accounts?
- I am the RRA but there is no option to create a new user, how do I create a new user?

Onboarding



- Nomination a first user to access the test environment only advises APRA who to assign roles to – it does not mean an account is created
- An RRA cannot create a user account – only assign roles/permissions



Roles and permissions

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

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

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

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

Ad hoc returns



Ad hoc returns can be created at any time by those with the [Ad hoc return permissions](#) role. The Ad Hoc Request and File Upload return can be used by any entity to submit documents or request exemptions or extensions.

Manage Returns

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

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Section 6.11



Create Return

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

Return name:

Select form set:

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

Effective Date:

Create

Types of documents for submission as file attachments

- Actuarial
- Aggregate Risk Exposures
- Audit
- Information Security
- Intra Group Transaction and Exposures
- Margining and Risk Mitigation for non-centrally cleared derivatives
- Outsourcing/Business Continuity Management
- Risk Management
- Risk Management & Business Plan



Data preparation and submission



Retrieving your uploaded data

Manage Returns

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

Create Return

View Submissions

Submitted returns

Draft Returns

Name	Reference	Revision	Categories	Status	End date	Due date	Actions
SRS 605 RSE Structure	SUP_STRUCT00651	0.1	Annually	No Data	30/06/2022	30/09/2022	
SRS 705.0 Performance Components	SUP_PERFCO MP00133	0.1	Quarterly	In Draft	30/06/2021	30/09/2021	

View Return

Company name: Return status: [In Draft](#)

Return name: SRS 251 Insurance arrangements Return reference: SUP_INSAR04394

Return end date: 30/06/2021 Return due date: 30/09/2022

Categories: Annually

Actions

Upload History

Forms Comments Workflow Approval

This Return was created on 10/06/2021 at 17:48.

Select a form to view or view forms in PDF format.

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	2.0	14/12/2020		Submitted	30/11/2020	31/12/2020	

View Return

Return name: Return reference:

Return end date: 31/03/2021 Return due date: 30/06/2021

Return status: Submitted Categories: Quarterly

Actions

Request Resubmission

Upload History

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

Sections are complete. The data is validated against the rules and

APRA Connect Guide
Section 7.2

Features to assist reviewing uploaded data









Submission History

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Showing returns from: 2021

Name	Reference	Revision	Submitted	Categories	Status	End date	Due date	Actions
	SUP_MEMAC02671	<u>3.0</u>	26/07/2021	Quarterly	Submitted	30/06/2021	28/07/2021	 
	SUP_PROFILE04078	<u>1.0</u>	23/07/2021	Quarterly	Submitted	31/03/2021	31/07/2021	 
	SUP_INSA04051	<u>1.0</u>	22/07/2021		Submitted	21/07/2021	31/07/2021	 
	AH504050	<u>1.0</u>	22/07/2021		Submitted	22/07/2021		 

Step 2

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
<u>1.0</u>	Submitted	Grant resubmission request	10/12/2020 17:08:23	System User	10/12/2020 17:05:22	Alex Principal
<u>2.0</u>	Submitted	Grant resubmission request	15/12/2020 11:22:32	System User	14/12/2020 16:58:32	Alex Principal
<u>3.0</u>	Submitted	Submit return	14/01/2021 11:55:26	Alex Principal	14/01/2021 11:55:26	Alex Principal

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View Upload History

Return name: Asset Allocation
Reference: SUP_AA01202
Please select a file to view

File	Uploaded on	Uploaded by	Uploaded to	Status	Hash
550.0.XML.xml	17/05/2021 17:47:25	AUser@ABN.com	Asset Allocation	Processed	<div>Hide</div>
550.0.XML.xml	17/05/2021 17:39:43	AUser@ABN.com	Asset Allocation	Processed	<div>Show</div>

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Step 4

View Return

Return name:
Return end date: 31/03/2021
Return status: Submitted
Return reference:
Return due date: 30/06/2021
Categories: Quarterly

Actions



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

Step 3

myDr4oifR5qfEz/bqGylWMH0OGhEtH75hsTkhdg6nem9rjEuTclHyLohjIAb4cCFukRaB4w9j66Oz7BpnQxiqA==

Resubmissions



- Up to 15 days after the due date, resubmission request will automatically be approved
- On the 16th day after a due date, APRA will need to approve the request
- For Superannuation – where there is a change to the following returns the information must be updated via the Create Return function:
 - SRS 605 RSE Structure
 - SRS 706 Fees and Costs
 - SRS 251.3 Insurance Arrangements – Insurance Tables

Refer to APRA Connect User Guide
Section 6.11

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:

2021

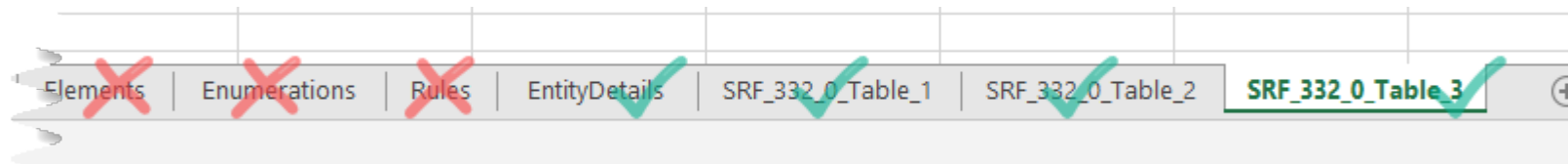
Name	Reference	Revision	Submitted	Categories	Status	End date	Due date	Actions
	SUP_MEMAC026 71	3.0	26/07/2021	Quarterly	Submitted	30/06/2021	28/07/2021	 

Taxonomy artefacts

- You can download the taxonomy artefacts **zip files** from APRA's website – always check last published date for most recent version
- **Explanatory notes** are provided to assist entities in using the artefacts. They cover:
 - Data dictionary
 - Validation file
 - Reporting taxonomy
 - XSD files
- **Expression Functions Guide** - Additional information that describes the Expression function used in the validation of data submitted via APRA Connect is also available and should be used in conjunction with the taxonomy artefacts

Taxonomy artefacts – hints and tips

- Uploads only need to contain the EntityDetails and form layout worksheets



- Row 2 contains a description of the element of each column and includes:
 - The name of the element and whether it is a Metric or Dimension (Dim)
 - Will list the relevant members of dimensions or “AllMembers”
 - Mandatory = true or false
 - PK (primary key) = true or false

Mandatory fields must be completed before uploading

Dim=InvestmentAssetClassSectorType Cash Fixed Income Equity Property Infrastructure Alternatives Not Applicable Mandatory=true PK=true											
1	Table 3: Investment management expenses										
2	Dim=ServiceProvid	Dim=Superannuat	Dim=InvestmentEx	Dim=InvestmentAs	Dim=InvestmentLi	Dim=InvestmentDc	Dim=AssetClassDe	Dim=ServiceArrang	Dim=ServiceArrang	Metric=Investment	Metric=Propo
3	Service Provider Identifier	Superannuation Fund Or Licensee Type	Investment Expense Service Type	Investment Asset Class Sector Type	Investment Listing Type	Investment Domicile Type	Asset Class Description Text	Service Arrangement Inclusions Exclusions Text	Service Arrangement Engagement Type	Investment Market Value Amount	Proportion Assets Serv Provided Per
4	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
5											

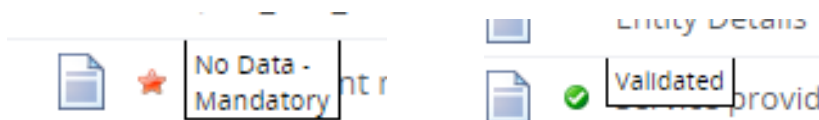
APRA Connect – hints and tips

- What do I do if I don't have any data to report in a table?

- Tables can be left empty but first you need to edit the table and click Validate and Save

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

- The status will change from No Data to Validated



- Refer to APRA Connect Guide Section 6.5 Forms with no data

- Returns can be completed either one section/form at a time or the entire return

- If you decide to upload each section separately on the subsequent uploads you will be prompted whether you want to Delete the data already loaded – you should click No.
- Refer to APRA Connect Guide Section 6.3.5 Uploading into a return with existing data

Key callouts



Save regularly	When manually entering data: to avoid losing work (due to the browser timing out) either click Save or Validate and Save
Completed status	The status of complete indicates that the return is ready to submit, action is required to validate and submit the return
Auto submit	Enabled by default for API submission, also applies to any user that uploads a complete file that passes all validations
Errors in uploaded files	Recommend corrections made at the source system, not by manual editing, this will avoid future errors
Do not upload entire taxonomy	When uploading via Excel: only the Entity Details and form layouts need to be uploaded; this will improve the time it takes to load/process your uploads
Log in at reporting entity level	Need to log in at entity level with the relevant ABN to see allocated returns, cannot log in once as administrator/trustee and view all underlying entities
Order of returns (Superannuation)	Understanding the order in which to submit SDT returns – need to load the RSE structure which defines the business operations



Questions?

APRA Connect go-live

- APRA Connect test and APRA Connect are separate environments
- There is no integration or data transfer between environments
- Entities will need to onboard users in the production environment
- Entities will need to nominate the initial RRA for go-live AND advise which permissions the initial RRA should be assigned – more information to come
- Any updates to corporate information will need to be completed in the production environment



13 September 2021

Information and support

Support materials

[APRA Connect Guide](#)

Functionality of APRA Connect

[Webinar](#) – overview and includes demonstration

Q&As to come

Taxonomy artefacts

[APRA Connect Taxonomy](#)

[Artefacts](#) - includes excel templates, validation rules

[Explanatory Notes](#)

- assist in using the artefacts

[Expression Functions](#)

[Guide](#) - describes the expression functions used in the validation of data

More information

Visit [Getting ready for APRA Connect](#)

- Implementing APRA Connect
- How is it different to D2A
- Prepare for APRA Connect including what it means for industries
- Technical information
 - Authentication with myGovID
 - User roles
 - Information for RegTechs
 - Information security
 - Support material
 - Taxonomy artefacts
 - APRA Connect test environment

Contact Us

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

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

APRA Connect
APRAConnect@apra.gov.au

New reporting standards
for Superannuation
[SuperDataTransformation@apra.gov.au](#)



Thank you

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