APRA | Connect

Q&A session for new users

29 July 2021

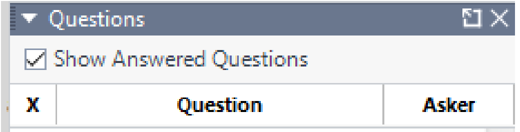
Housekeeping

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



We will address the questions as appropriate and as time permits

Your presenters

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Business Lead
APRA Connect

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Product Owner
APRA Connect

Belinda Green
Product Owner
APRA Connect

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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

13 Sept Go-live

Getting ready

- Practice in test
- Confirming users and permissions
- Setting up in production

Reporting entity information

- All industries
- Corporate profile
- Contact persons
- Responsible Persons
- Accountable Persons

Submitting data

- Superannuation Data Transformation in September
- PHI HRS 605.0 in October
- Other collections as they come on line in 2022 +

What this means for each industry

	Superannuation	Insurance, inc GI Intermediaries	ADIs, RFCs
APRA Connect test environment # From 17 June 2021	• Entity information such as corporate profile, contact details, Responsible Persons • Superannuation Data Transformation	• Entity information such as corporate profile, contact details, Responsible Persons • PHI reform (HRS 605.0)	• 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	• **Entity information such as corporate profile, contact details,** Responsible Persons • Superannuation Data Transformation	• **Entity information such as corporate profile, contact details**, Responsible Persons • PHI reform (HRS 605.0)	• **Entity information such as corporate profile, contact details**, Responsible Persons • Banking Executive Accountability Regime information (including accountability statement and maps) (ADIs)
Future collections	• SDT - Phase 2 and Phase 3 • Form 701	• AASB -17 changes • Form 701	• 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

Pre-requisites for onboarding

- RAM email can be different to myGovID email
- Recommend the use of a business email in RAM
- Must be authorised for each ABN
- Nominate initial RRA

Login to APRA Connect

- Authentication with myGovID
- Creation of a user account
- No roles assigned
- Home screen will have no menu items

APRA Administrator assigns initial RRA role

- Time lag for manual process
- APRA will assign roles for only one initial user

Must be completed for EACH ABN

- 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 Administrator (other roles are not able to view this information)	x	x	Corporate Profile Contact Persons Responsible Person	Submission receipts

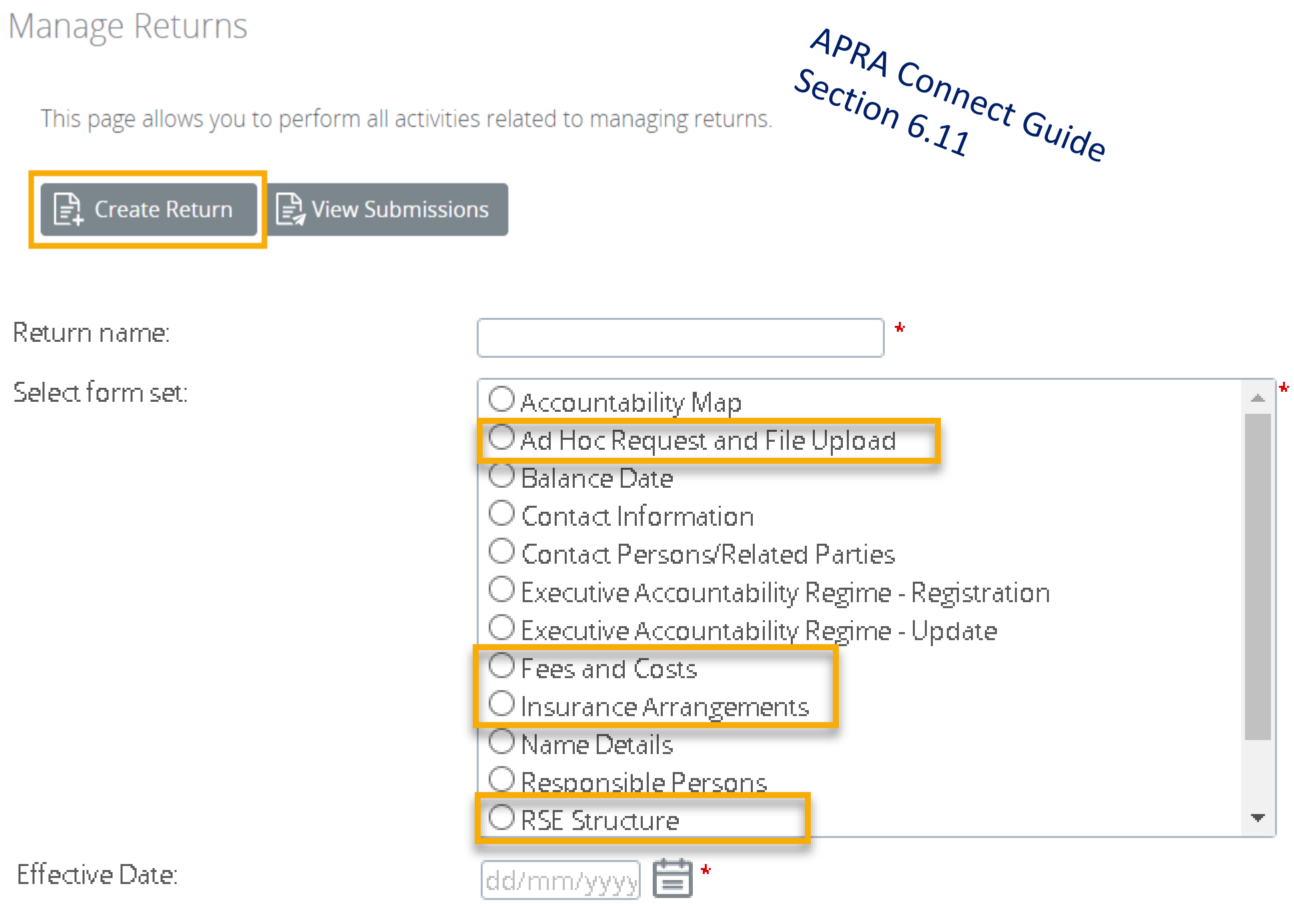
* For the test environment only – initial RRA will also be assign Ad hoc return permissions and Corporate Profile User

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.

APRA Connect Guide
Section 6.11



- These returns should not be resubmitted, but new returns created to submit new information
- These returns have no due dates but are expected to be submitted as an update occurs
- There may be returns present which are not applicable to your industry

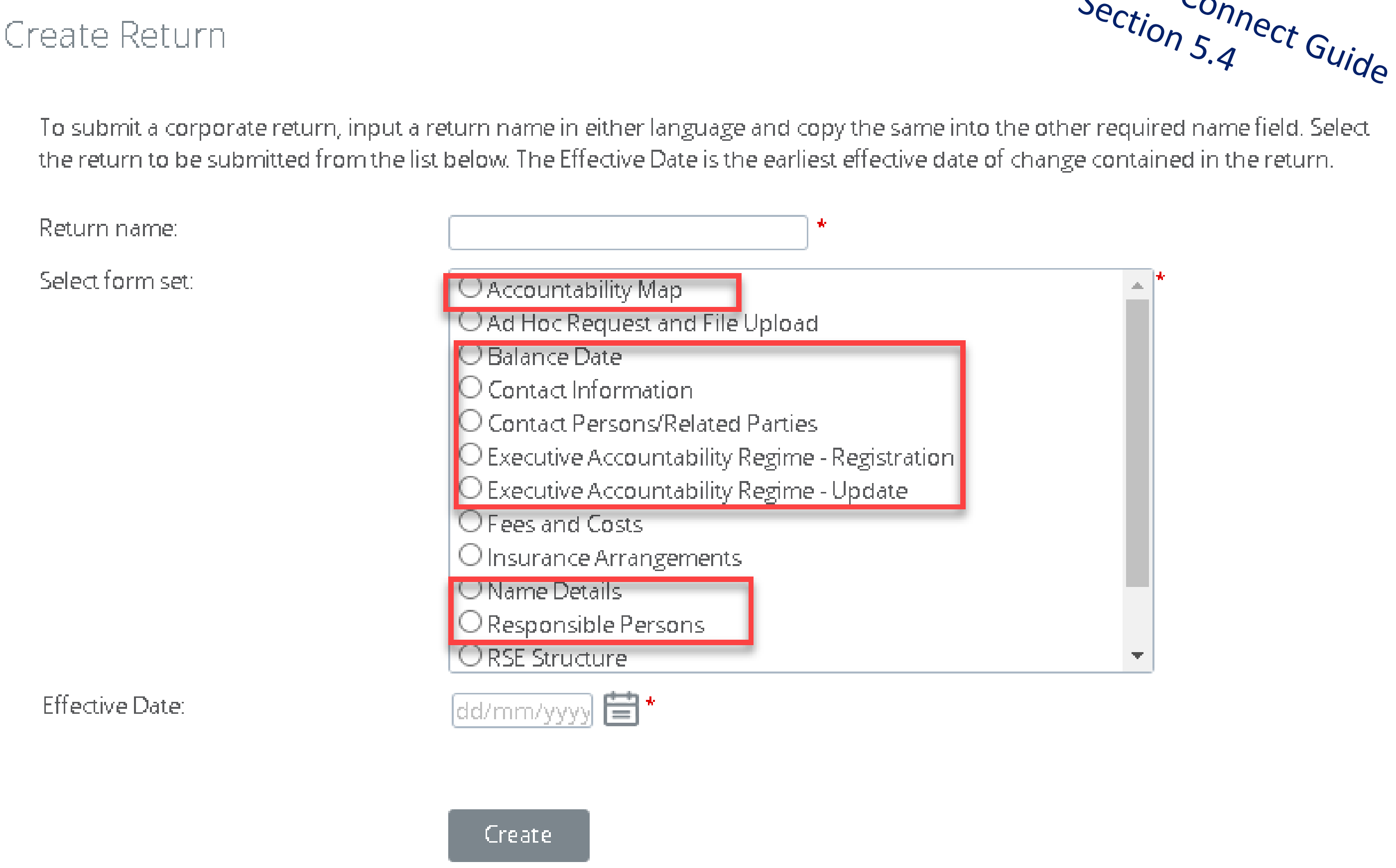
Types of documents for submission as file attachments

- 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

Corporate Profile returns

Corporate Profile Administrator can create returns relating to the entity profile and contact details

APRA Connect Guide
Section 5.4


Create Return

To submit a corporate return, input a return name in either language and copy the same into the other required name field. Select the return to be submitted from the list below. The Effective Date is the earliest effective date of change contained in 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
- Insurance Arrangements
- Name Details
- Responsible Persons
- RSE Structure

Effective Date: dd/mm/yyyy *

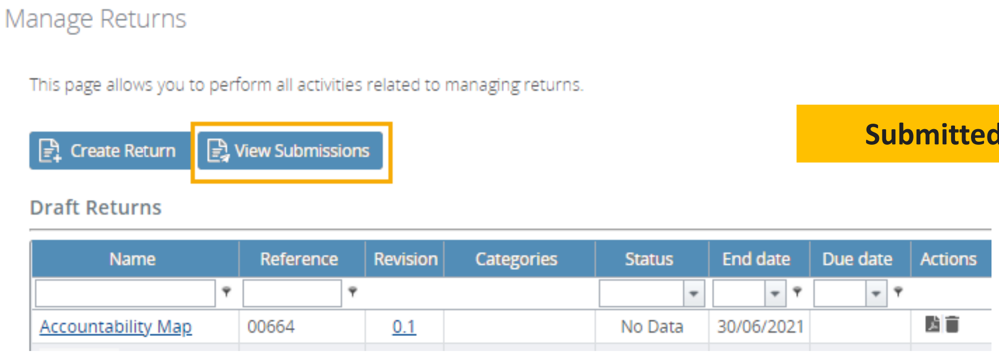
Create

- These returns should not be resubmitted, but new returns created to submit new information
- Only Corporate Profile Administrators will receive notifications for submissions
- These returns have no due dates but are expected to be submitted as an update occurs
- There may be returns present which are not applicable to your industry

Data preparation and submission

Retrieving your uploaded file

APRA Connect Guide
Section 7.2



Manage Returns

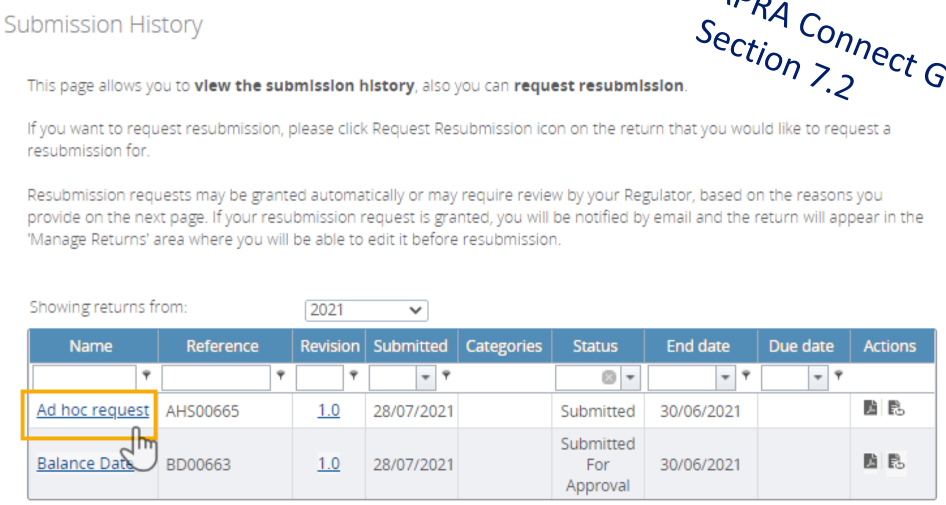
This page allows you to perform all activities related to managing returns.

Create Return | View Submissions

Draft Returns

Name	Reference	Revision	Categories	Status	End date	Due date	Actions
Accountability Map	00664	0.1		No Data	30/06/2021		

Submitted returns



Submission History

This page allows you to **view the submission history**, also you can **request resubmission**.

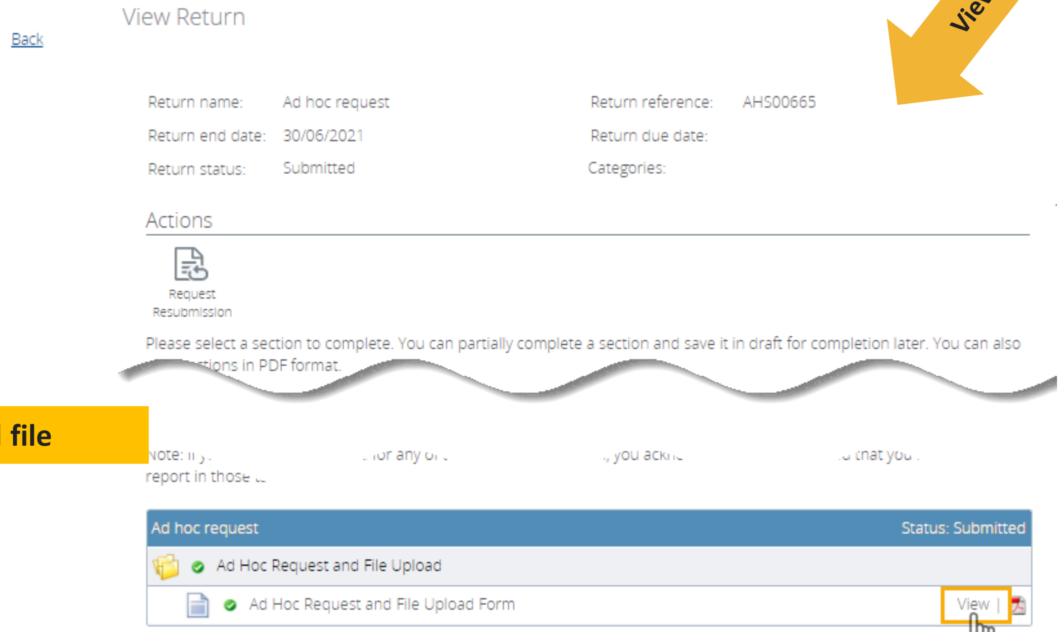
If you want to request resubmission, please click Request Resubmission icon on the return that you would like to request a resubmission for.

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
Ad hoc request	AHS00665	1.0	28/07/2021		Submitted	30/06/2021		
Balance Date	BD00663	1.0	28/07/2021		Submitted For Approval	30/06/2021		

View



View Return

Back

Return name:	Ad hoc request	Return reference:	AHS00665
Return end date:	30/06/2021	Return due date:	
Return status:	Submitted	Categories:	

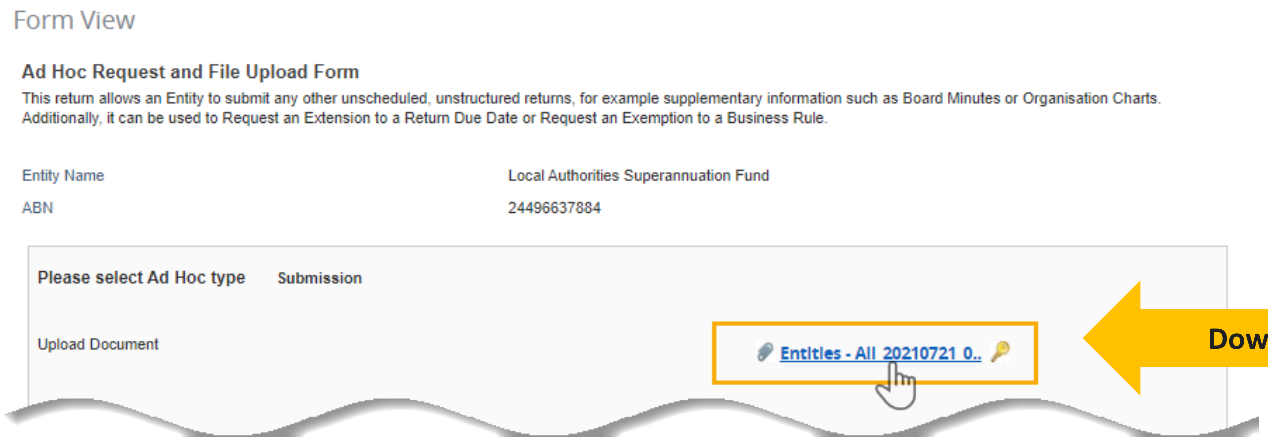
Actions

Request Resubmission

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

Note: ... report in those ...

Ad hoc request	Status: Submitted
Ad Hoc Request and File Upload	
Ad Hoc Request and File Upload Form	View |



Form View

Ad Hoc Request and File Upload Form

This return allows an Entity to submit any other unscheduled, unstructured returns, for example supplementary information such as Board Minutes or Organisation Charts. Additionally, it can be used to Request an Extension to a Return Due Date or Request an Exemption to a Business Rule.

Entity Name	Local Authorities Superannuation Fund
ABN	24496637884

Please select Ad Hoc type Submission

Upload Document Entities - All 20210721 0..

Download file

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

Data dictionary for all industries

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

Excel based

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

Reporting Taxonomy – Excel based

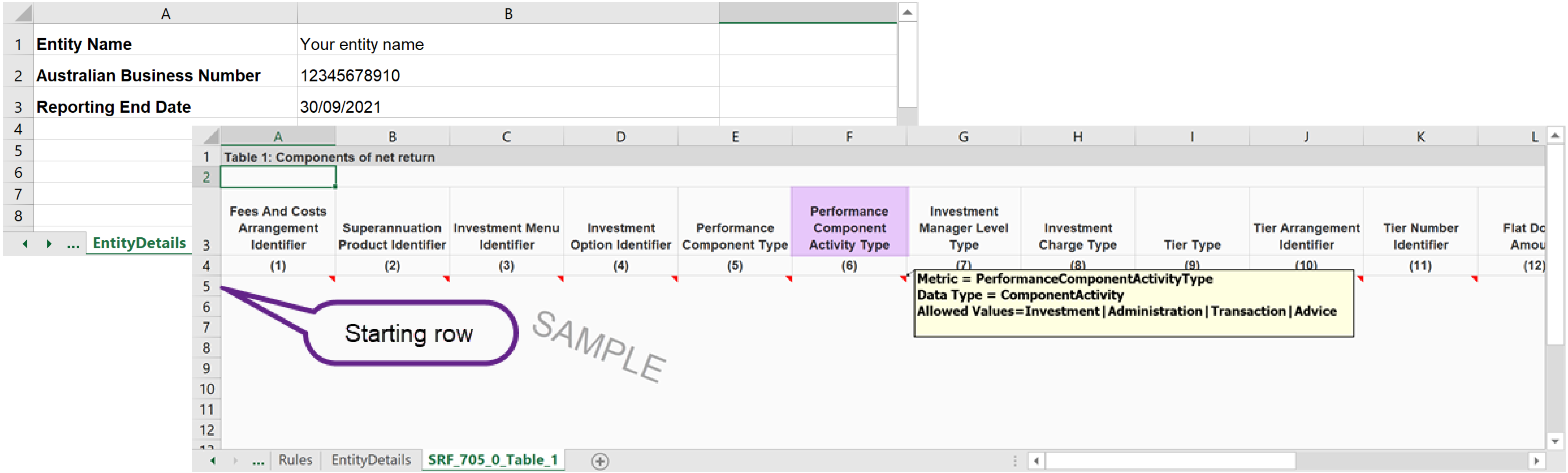
Schema	Contains the collection name, schema properties and the embedded 'hole constraint' file which displays each table and the allowed enumeration values that are relevant in the selected collection.
Elements	Contains only the elements and their properties within the selected collection.
Data types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

Reporting Taxonomy – Excel based

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

Excel Template – Excel based

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



	A	B
1	**Entity Name**	Your entity name
2	**Australian Business Number**	12345678910
3	**Reporting End Date**	30/09/2021

EntityDetails

	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 Do Amou
4	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)

Rules | EntityDetails | SRF_705_0_Table_1

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