APRA | Connect

Go-live webinar

1 September 2021

Your presenters

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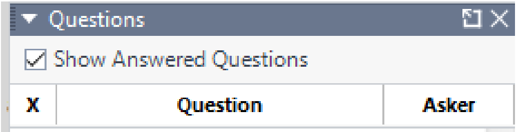
Housekeeping

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

Agenda

- Welcome
- APRA Connect and future data collections
- APRA Connect access at go-live
- Data preparation and submission
- Information and support

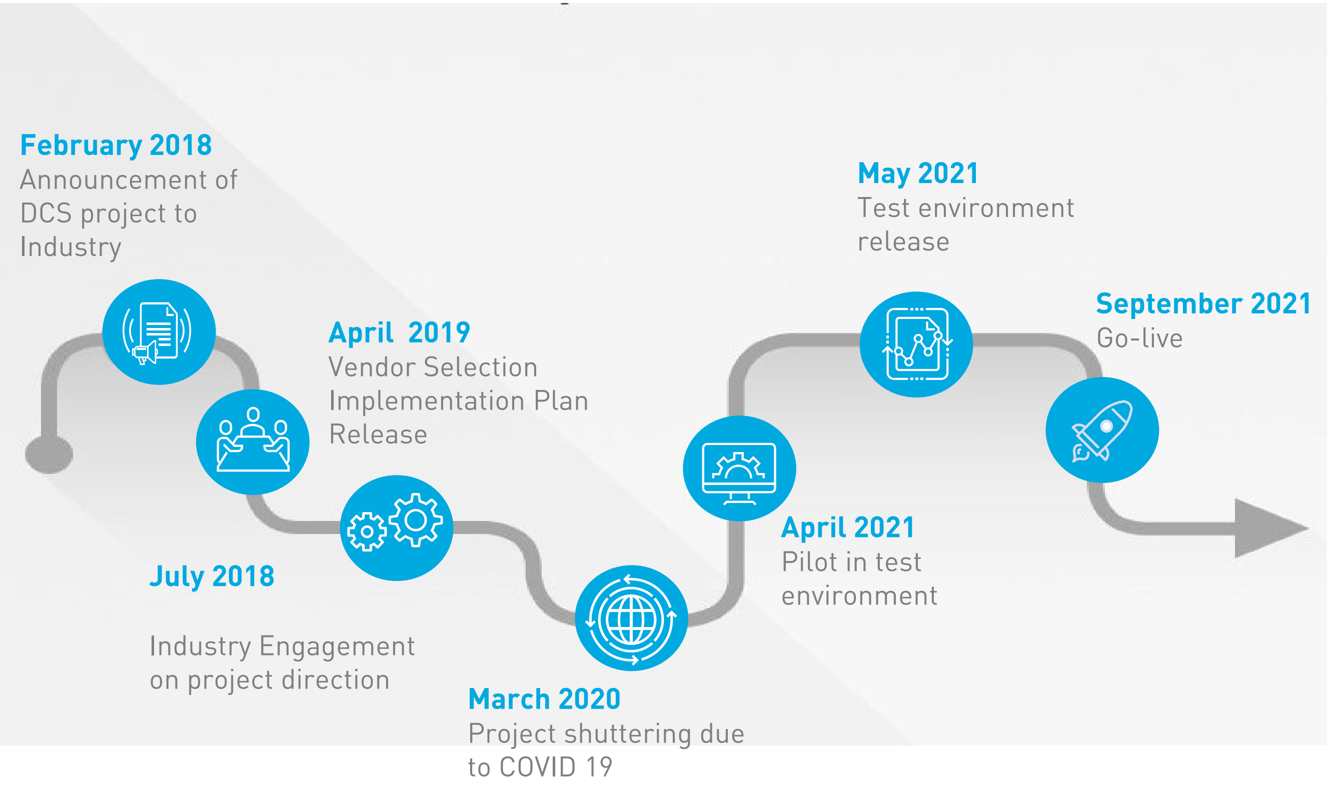
Our platform for future data collections

An easy-to-use system to collect high-quality data that is adaptable to future business needs

Easier to use
Modern, intuitive user interface with more options for data uploads.

Less ongoing maintenance
Web-based and will not require additional software to be installed on a user's machine, simplifying system maintenance.

Adaptable to future needs
Adapt as reporting requirements, data analytics and technology evolve and will provide greater flexibility for automation of data submission.



Getting ready for go-live

APRA Connect go-live 13 September

13 Sept Go-live

Are you ready?

- Practised in test environment
- Confirmed user roles and permissions for your teams
- Nominated first RRA through D2A form and advised additional roles

Reporting entity information

All industries

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

Documents through ad hoc returns

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 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)
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)
Future collections	• SDT - Phase 2 and Phase 3 • FAR	• AASB -17 changes • Form 701 • FAR	• Operational Risk • Credit Quality • Credit Risk Capital (Basel 3b) • Remuneration • IT Risk • Interest Rate Risk in the Banking Book • FAR
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.		

Onboarding

Onboarding

Pre-requisites for onboarding	Log in to APRA Connect	APRA Administrator assigns initial RRA role
• myGovID and authorisation in Relationship Authorisation Manager (RAM) • RAM email address can be different to myGovID email, recommend the use of a business email • Must be authorised for each entity (ABN) • Nominate initial Regulatory Reporting Administrator (RRA) via D2A	• http://connect.apra.gov.au • Authentication with myGovID • Creation of a user account • No roles assigned and home screen will have no menu items	• APRA Administrator will check nominations and roles • Time lag for manual process • APRA will assign roles for only **one** nominated user

Must be completed for EACH ABN

- Nomination of the first user to access APRA Connect 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

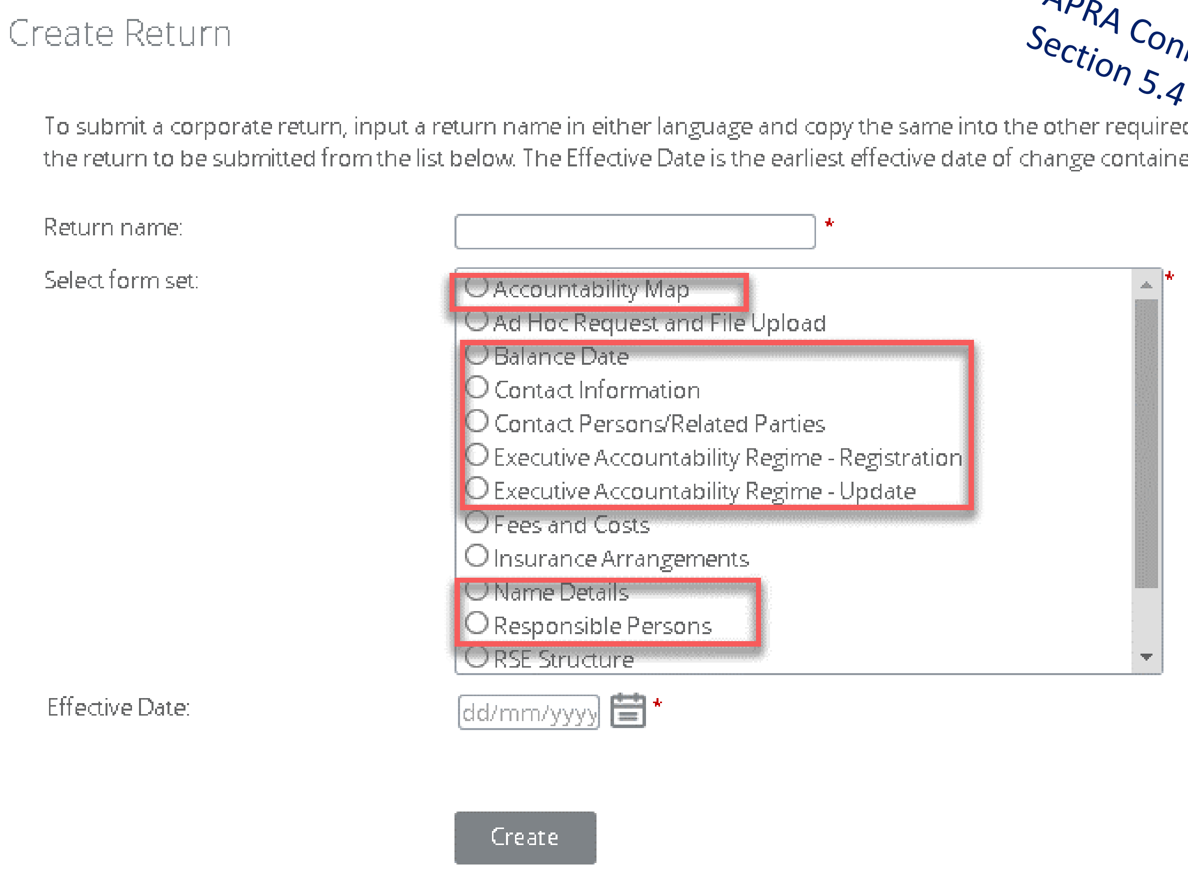
Corporate Profile and Ad hoc returns

Corporate Profile returns

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

- 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

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 *

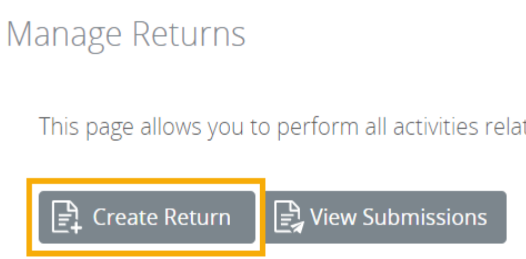
Create

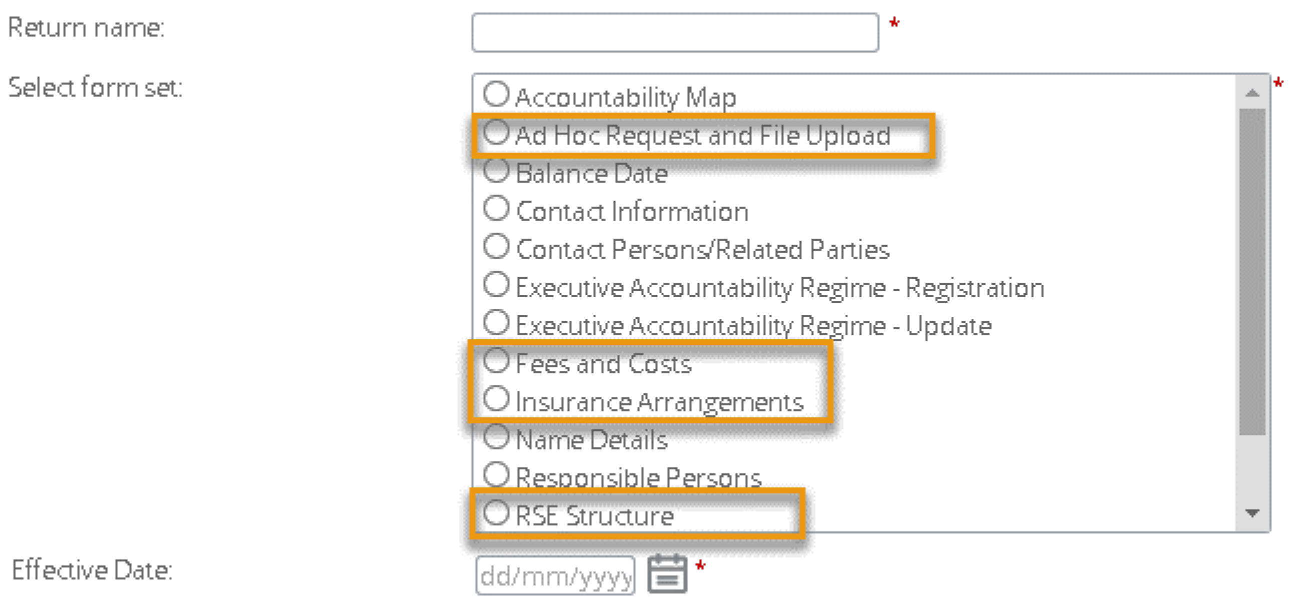
Ad hoc returns

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.

- Should not be resubmitted, but new returns created to submit new information
- No due dates but are expected to be submitted as an update occurs
- May be returns present which are not applicable to your industry

APRA Connect Guide Section 6.11





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

Transition of Responsible Persons and BEAR updates to APRA Connect

All entities are responsible for maintaining entity information, such as contact details, Responsible Persons and related parties (including Banking Executive Accountability Regime (BEAR) reporting for Authorised Deposit-taking Institutions (ADIs)) on APRA Connect.

- To enable a smooth transition to APRA Connect all Responsible Persons and BEAR data submitted in D2A prior to 11:59pm, 5 September will be migrated to APRA Connect
- Entities should submit any known updates to Responsible Persons and BEAR data prior to that date
- Entities are requested to pause any Responsible Persons and BEAR submissions in D2A from 6th September
- Any updates for the period 6-12 September should be submitted through APRA Connect after 13 September

Exception for BEAR reporting:

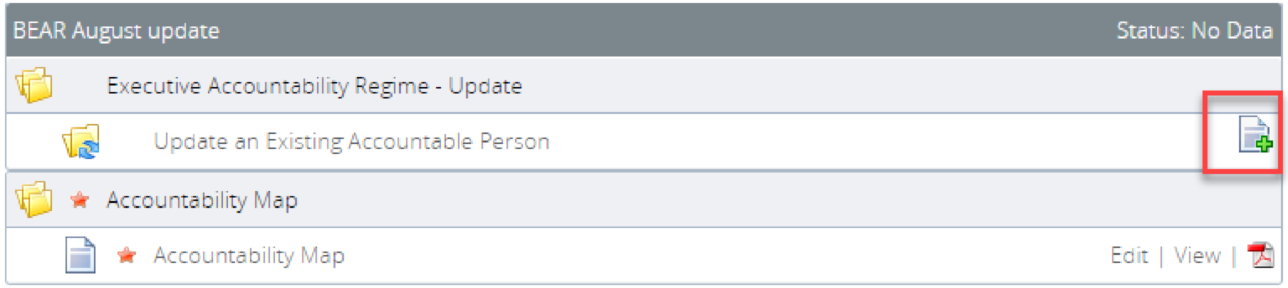
- Entities that need to submit BEAR information in the week of 6 September to meet required reporting timeframes should submit via D2A.
- APRA will transfer this data to APRA Connect, and the data will be available soon after APRA Connect goes live.

ACTION: Entities are required to review and update Responsible Person information migrated from D2A into APRA Connect from 13 September

Updating existing Responsible Persons or BEAR data

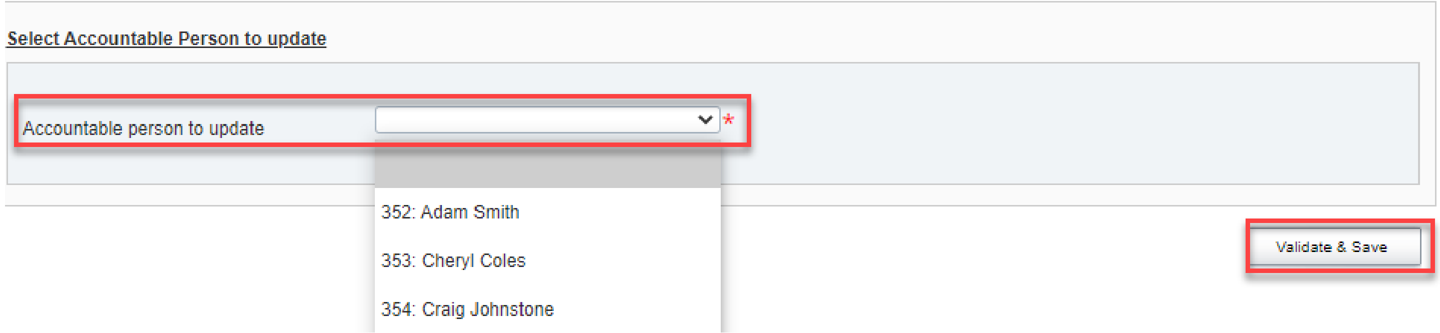
Step 1

Expand form set



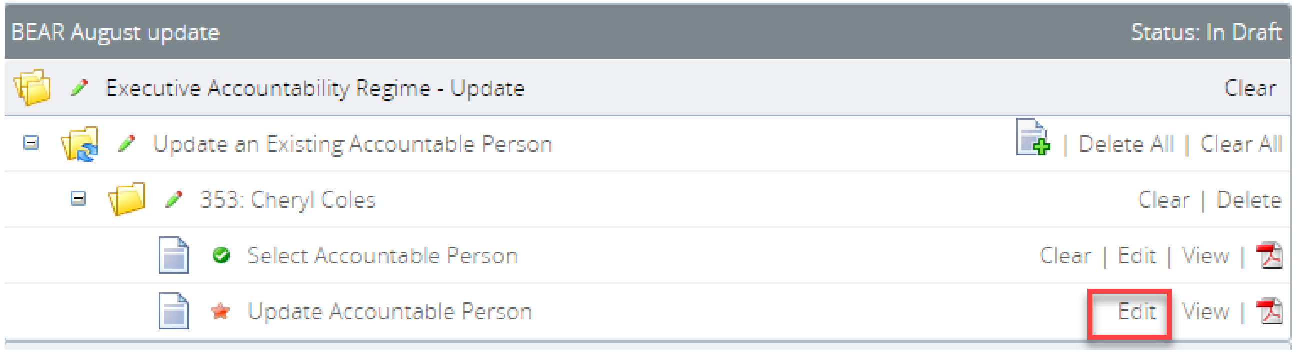
Step 2

Select existing record to update



Step 3

Edit existing data



Data preparation and submission

Introducing an optional approval step for submission of validated data returns

When a data return that passes all validations is uploaded by any user, the return is automatically submitted.

- An approval step in the form of a validation rule (a warning) prior to submission of a completed return has been implemented
- Confirmation can be made by any user with submission permissions in line with your business processes
- Once activated for an entity, the validation rule will apply to all data returns submitted by any user
- Entities may elect to activate the approval step by notifying APRA.
- Note: for Superannuation, the ABN of the fund must be provided (not the ABN of the trustee)

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.

Rule name	Type	Problem	Additional information	Comments
SRF 332.0 No auto-submit	Warning	1. Please confirm you wish to proceed with submitting this return to APRA by providing a comment and clicking the Continue to submit button, or click Back if you don't wish to submit.	This warning has been introduced to avoid auto-submission of data to APRA; please contact APRA if you would prefer to auto-submit when all validation rules have passed or been addressed.	*

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

Back

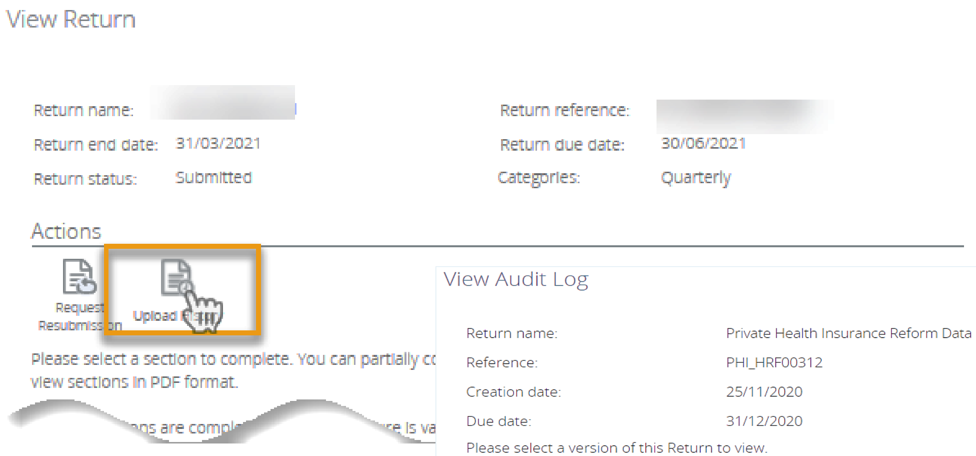
ACTION: Notify APRA via email at dataanalytics@apra.gov.au to have the approval step applied to your entity(ies) Include all entities and ABNs that the rule should be applied to

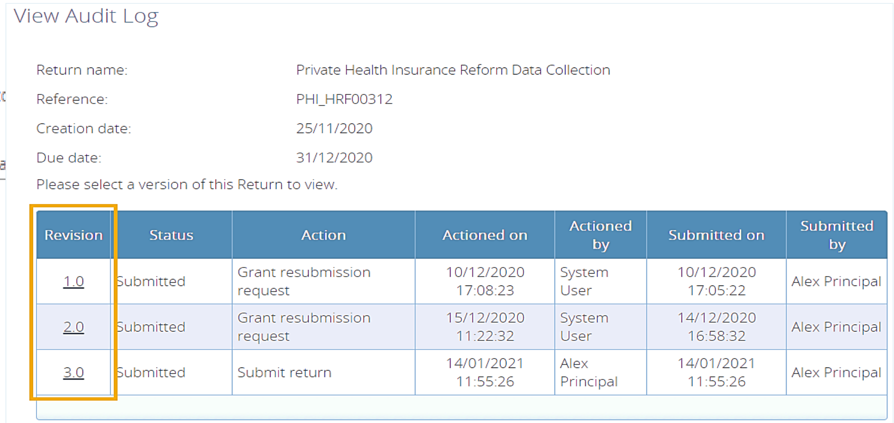
How APRA Connect can support your internal processes

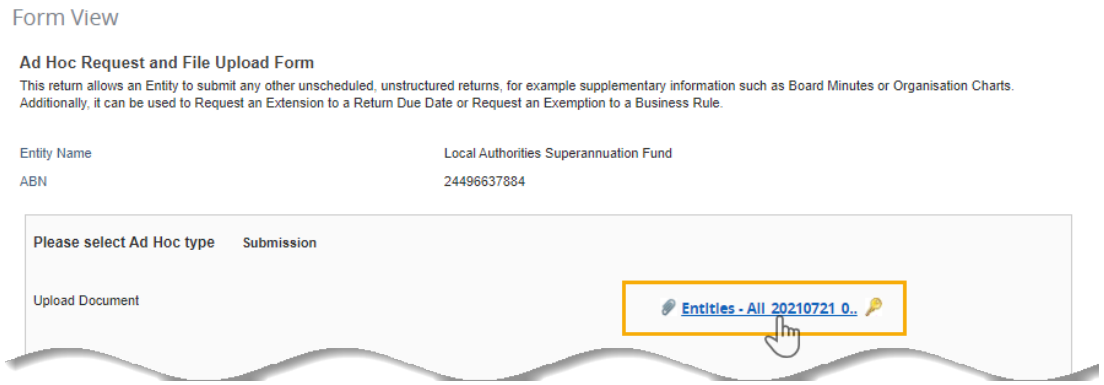
To view **data** that has been uploaded or submitted

- Use the Upload History to view data returns including:
  - to view submitted data, including when there are more than 200 rows of data
  - to retrieve the data in the format it was uploaded
  - to use the Hash for each uploaded file to verify that the data has maintained integrity; i.e. that the data has not been modified, tampered with, or corrupted

Webinar: APRA Connect Test Q&A: Superannuation and PHI Industries







To retrieve **files** that have been uploaded or submitted

- Retrieve ad-hoc files from APRA Connect for review:
  - to view files that have been uploaded
  - to retrieve the data in the format it was uploaded

Webinar: APRA Connect Test Q&A: General overview for all industries presentation

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 – applicable across all APRA Connect data collections
  - Validation file - applicable across all APRA Connect data collections
  - Reporting taxonomy – specific to each collection
  - XSD files – specific to each collection
- **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

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
Forms*	Describes the properties of each form within this collection.

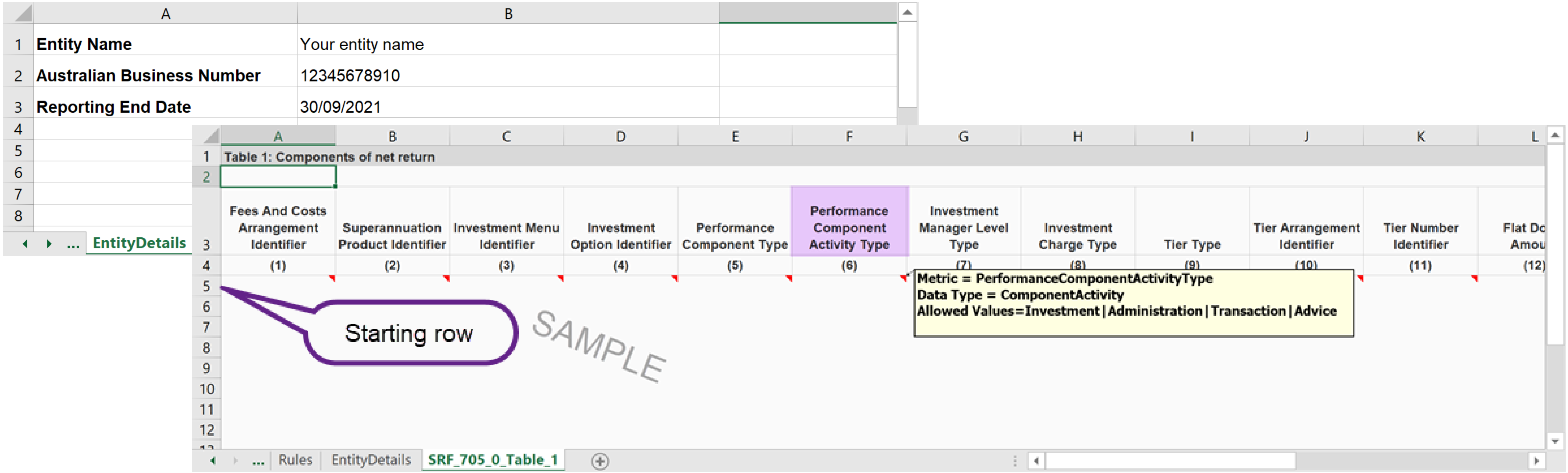
***These worksheets are not required when uploading data via Excel into APRA Connect**

Reporting Taxonomy – Excel based

EntityDetails	• Displays the name of the entity, ABN and reporting period. • Upload this worksheet when submitting data via Excel into APRA Connect • Note: the Entity name is for display purposes only and is not validated or uploaded into APRA Connect.
HRF_# or SRF_#	• Displays the layout of the specific tables/forms in the selected collection. This worksheet should 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. • Upload this worksheet(s) when submitting data via Excel into APRA Connect • Note: do not use worked examples as a template for submitting; as the worked examples may not align with the current template contained in the reporting taxonomy

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



Questions?

APRA Connect go-live checklist

- ❑ Nominate initial RRA and roles to be applied via D2A form: RRA_PROD: APRA Connect nomination for 13 September go live
- ❑ From 13 September - Nominated RRA will onboard by logging into APRA Connect and an APRA Administrator will assign roles
- ❑ Other users will log into APRA Connect for accounts to be created and RRA will assign roles/permissions
- ❑ Review and update migrated entity and responsible persons information
- ❑ Data returns will be available for Superannuation and PHI entities
- ❑ Advise APRA via email to dataanalytics@apra.gov.au if the optional approval step for submission of validated data returns should be applied to your entity

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https://connect.apra.gov.au

13 September 2021

ACTION: Nominate the initial Regulatory Reporting Administrator (RRA) for go-live AND advise which permissions the initial RRA should be assigned

Information and support

Support materials

Support Material

APRA Connect Guide - functionality of APRA Connect

Webinar recordings – including system demonstrations

Frequently Asked Questions

Taxonomy artefacts

APRA Connect Taxonomy Artefacts – download zip files that include excel templates, validation rules

Explanatory Notes - Assistance 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.

dataanalytics@apra.gov.au

Thank you