APRA Connect Guide

Version 7.0 (released May 2025)

Contents

Chapter 1 - Getting Started with APRA Connect

1.1 Using this guide

This guide provides comprehensive information to assist users accessing, navigating and using APRA Connect. The guide should be used in conjunction with taxonomy artefacts published on the APRA website when preparing and submitting data to APRA.

1.2 What is APRA Connect

APRA Connect is the data collection solution for reporting entities to lodge entity information and data with APRA and will be used in parallel with Direct to APRA (D2A).

Any new data collections will be made available through APRA Connect. As existing collections are modified, they will be transitioned from D2A to APRA Connect.

An APRA Connect test environment is also available, which enables exploration of the system and engagement on new collection design.

1.3 Technical Specifications

Please refer to the APRA Connect page on the APRA website for all APRA Connect technical specifications.

1.3.1 Information Security

Please refer to the APRA Connect page on the APRA website for details of APRA Connect data security.

1.4 Authentication

1.4.1 Digital ID, myID & RAM

APRA Connect is integrated with the Australian Government's Digital ID system:

- using myID as identity provider; and
- the Relationship Authorisation Manager (RAM) authentication solution.

All users need to use myID to establish their digital identity and be authorised by their organisation to access APRA services on its behalf using RAM.

Service	Description
Digital ID	Australia's Digital ID system is made up of agencies, private sector businesses and systems, working together to deliver a secure way to prove someone's identity online to access services.
myID	myID is the government's identity provider within the Digital ID system. It is your personal digital identifier and enables you to prove your identity when using participating government services online. It should be set up using a personal email address. You should not use a shared or business email.
RAM	To access APRA Connect, you must be authorised in RAM to act on behalf of an organisation (defined by their ABN). The email address used to authorise you in RAM can be different from the email address used for your myID digital identity. Your work email should be used, as this is the address that will be used for APRA Connect notifications.

Note: A user only needs one identity and authorisation to access both APRA Connect environments.

APRA services work with both Basic and Standard myID identity strengths. Entities are responsible for granting authorisation to users through RAM and therefore responsible for ensuring that any authorised user meets the entity's own governance and security requirements.

Entities should be aware that a Standard identity strength is required in order to grant authorisations through RAM.

Please refer to the Australian Government's published materials to find out more about Digital ID, myID, and RAM.

Service Providers

Service Providers must be authorised in RAM by the entity on whose behalf they submit, i.e. their authorisation must be associated with the entity's ABN, not their own.

1.4.2 New users

When a user first navigates to an APRA Connect environment (i.e. the production or test environment), they must be authenticated through myID. Upon successful authentication through myID, a user account is created in the APRA Connect environment and their name, email address and SubjectID are transferred to their APRA Connect profile in that environment.

Email notification is sent to:

- an organisation's Regulatory Reporting Administrator(s) (APRA Connect role), or an APRA Administrator if a Regulatory Reporting Administrator has not been defined, to inform them that roles need to be assigned to a new user.
- the new user, informing them that a Regulatory Reporting Administrator needs to assign their roles, and listing their organisation's Regulatory Reporting Administrator. If a Regulatory Reporting Administrator has not been defined for the organisation, they will be informed that an APRA representative will contact them.

Until the new user is assigned a role, their user status will be 'Inactive' and they cannot access the portal functionality. Refer to Managing users.

Note: A user must access and be assigned roles in each environment separately.

Once roles are assigned, the new user receives email notification welcoming them to their APRA Connect account.

1.5 Accessing APRA Connect

1.5.1 APRA Connect production environment

The APRA Connect portal is the production environment through which entities submit their live production data.

Access the APRA Connect portal using the following URL; https://connect.apra.gov.au.

1.5.2 APRA Connect test environment

The APRA Connect test environment will help entities, service providers, and RegTechs to:

- familiarise themselves with the features and functionalities of APRA Connect.
- identify any changes required to existing systems and processes.
- engage with APRA on new collection design.

Access the APRA Connect test environment using the following URL; https://connect-test.apra.gov.au.

Note: The APRA query process is not functional in the test environment as the precise queries that trigger the errors will not work on non-production data.

RegTechs

RegTechs should refer to the RegTech onboarding information on the APRA website for details of requesting access to the APRA Connect test environment.

1.5.3 Logging into APRA Connect

When you access either of the APRA Connect environments, click the **Continue with Digital ID** button to be redirected to the Digital ID system.

When prompted, select **myID** as your Identity Provider. Select **Remember my choice** to make future logins easier. You will be redirected to myID and RAM for authentication.

When authenticated you will be returned to the Digital ID system to give consent for your details to be shared with APRA Connect. Under **Remember my consent** select **Yes, and don't ask me again**.

Note: Your *Date of birth* and myID *Email* details are not shared with APRA Connect.

When you give consent, you are returned to APRA Connect and logged in. Click **Continue** to start your APRA Connect session.

If you are a new user, you must be assigned your applicable roles by a Regulatory Reporting Administrator.

myID timeout

myID authentication times out after 20 minutes. If you log out of APRA Connect and then log in again during this 20-minute period, you will not need to reauthenticate. If you are responsible for multiple entities, you will need to select the required entity.

To avoid another person accessing APRA Connect using your credentials (e.g. if using a shared machine), ensure you close the browser window after you log out to force reauthentication.

1.5.4 APRA Connect session timeout

Your session will timeout if APRA Connect is idle for 60 minutes.

Any unsaved data will be lost, and you will need to login again.

1.6 Getting Help

1.6.1 Technical help

If this publication does not assist with your enquiry or you are experiencing technical difficulties with APRA Connect, please contact the APRA Support Desk:

- on +61 2 9210 3400 Mon-Fri, 9:00am – 5:00pm (AEST), or via email: support@apra.gov.au

Note: The APRA Support Desk cannot assist with completing forms, or with any validation errors or warnings.

1.6.2 Help with completing forms and validation errors.

Refer to the APRA website for information on APRA Connect taxonomy which include the data dictionary, validations, reporting taxonomy and XSD (to validate files).

For support using APRA Connect or enquiries about completing forms, please contact APRA by emailing dataanalytics@apra.gov.au.

1.6.3 Digital ID, myID and RAM help

For help please refer to the Australian Government's published materials about Digital ID, myID, and RAM.

Chapter 2 - APRA Connect Interface and Navigation

2.1 Environments

As well as having different URLs, the two APRA Connect environments can also be visually distinguished by:

- the name displayed in the title header, i.e. the test environment includes TEST in the name.

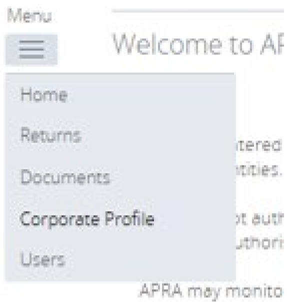
- the colour theme.

Navigation and most functions (excluding the APRA query process) are the same for both environments.

2.2 Navigation

2.2.1 Menu

The menu is available from all APRA Connect pages. The options available depend on your assigned role. Refer to User roles for descriptions of each role.



Option	Description
Home	Returns you to the APRA Connect home page.
Returns	Opens the Manage Returns page to access draft regulatory returns, and to create ad hoc and corporate returns.

Option	Description
Documents	Opens the Documents page, which will be used to share documents on an ad hoc basis.
Company Profile	Opens the Company Profile page where you can view the information held by APRA about your organisation. Refer to Company Details and Corporate Profile Returns for more details.
Users	Only available to those with the Regulatory Reporting Administrator role, to manage the user roles of your organisation's APRA Connect Portal users.

2.2.2 Icons

In the top right-hand corner of the screen, you'll find the following icons:

Icon	Description
	Open your My Details page to edit your details.
?	Open generic system help for the portal pages. For APRA specific information, please refer to this guide.
	Log Out.

2.2.3 Keyboard shortcuts

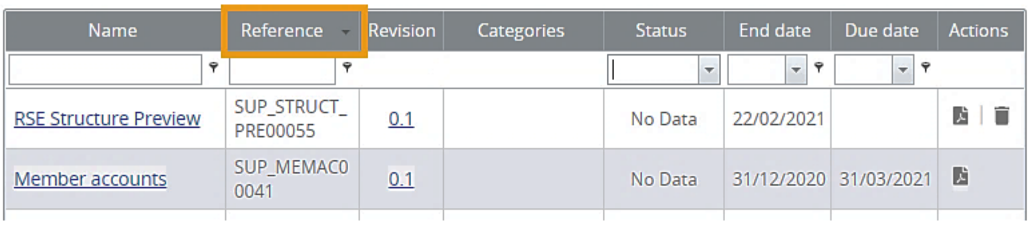
Portal action	Shortcut
Home	Shift+H
Manage Returns	Shift+D
Submission History	Alt+Ctrl+H
Create Return	Alt+Ctrl+C
Documents	Shift+X
Company Profile	Shift+C
Users	Alt+Ctrl+E
View/Edit My Details	Shift+M
Help	Shift+I
Log Out	Shift+L

2.3 Using lists

2.3.1 Sorting

Lists within APRA Connect can usually be sorted by clicking the desired column heading.

On lists that can also be filtered, an arrow indicates the sort direction, i.e. ascending or descending.



2.3.2 Searching / Filtering

You can search/filter on single or a combination of columns that include a field or list at the top.

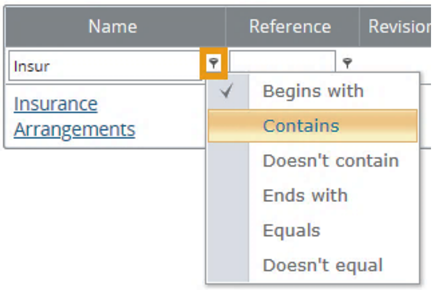
Delete or clear search criteria to display all list entries.

Free text fields

Free text fields enable you to search for entries with the entered criteria.

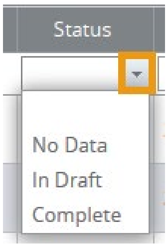
The default searches for entries beginning with the entered characters.

Click the filter icon beside the field to select an alternative criterion on which to search the column.

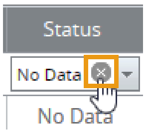


Predefined lists

Columns that display a limited number of predefined values, can be filtered by selecting the desired value from a drop-down list.



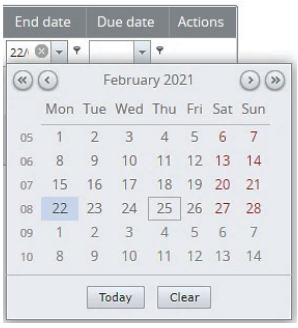
To clear the field, either select the empty list item or click the cross icon.



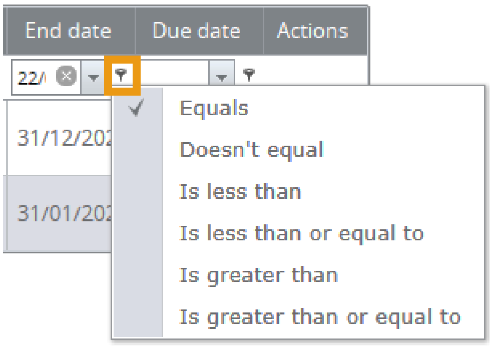
Dates

Date columns enable you to search for a specific date or filter on a date range.

The default searches for the exact date selected.



Click the filter icon beside the field to select an alternative condition to define a range of dates based on the selected date.



To clear the field, click the cross icon.

Chapter 3 - User Administration

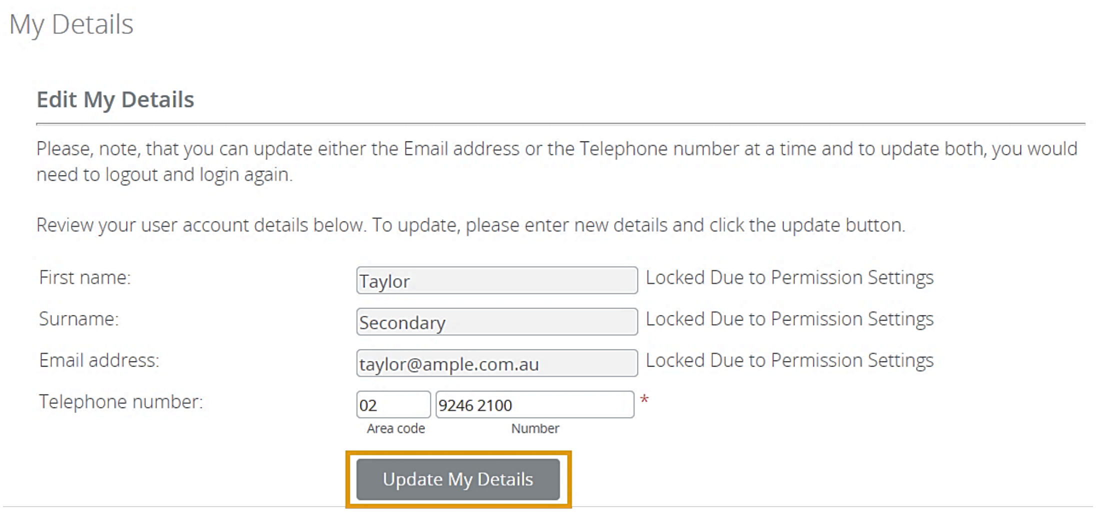
3.1 My Details

To view and update your user details, click the **My Details** icon beside your name.

3.1.1 Updating My Details

Your details are populated from myID/RAM. Because your name and email address must match for authentication, they can only be managed through RAM. This means only your Telephone number can be updated in APRA Connect:

1. Change your **Telephone number** as required.
2. Click **Update My Details**.



Note: To update your email address, e.g. from personal to business, you will need to be reauthorised in RAM. Refer to the Relationship Authorisation Manager website for details of managing authorisations and when details can be edited.

3.1.2 Viewing your permissions/roles

To see what roles are currently assigned to you, on the My Details page click the arrow beside **Assigned permissions / roles**.

Click the role name for a description of the permissions associated with the role.

3.2 Managing users

Each organisation is responsible for the management of their APRA Connect users, and for ensuring roles are assigned in line with their own governance processes.

Organisations must have at least one person assigned to the *Regulatory Reporting Administrator* role, which is the only role with permissions to manage user access. APRA Administrators will assist by assigning the initial Regulatory Reporting Administrator with their permissions upon their first interaction with APRA Connect.

3.2.1 Activating new users

As detailed in Getting Started with APRA Connect, new users must be authorised in the Relationship Authorisation Manager (RAM) to enable authentication with APRA Connect.

Once the user has accessed APRA Connect and successfully authenticated through myID for the first time, an APRA Connect account is created. The account needs to be activated and the appropriate roles assigned by an existing Regulatory Reporting Administrators. Refer to Viewing and editing users.

Refer to New Users for more details about first time access to APRA Connect.

3.2.2 Deactivating users

If an APRA Connect user leaves the organisation or changes roles, part of the off-boarding process should be to make the person's account inactive in APRA Connect and their authorisation removed in Relationship Authorisation Manager (RAM). Refer to Viewing and editing users.

3.2.3 User roles

APRA Connect user roles facilitate different levels of access (e.g. draft, upload or submit). This enables entities to limit access to sensitive information such as personal data required for Responsible Persons.

There is no limit on the number of users per role. Users may require a combination of roles to be able to access and complete the appropriate tasks.

Entities should be aware that granting access to a user enables them to view past and present data, in addition to editing submissions.

Role	Responsibilities, functions, and access levels
Regulatory Reporting Administrator (RRA)	Responsible for: • granting access to other RRAs, Preparers, and Service Providers. • managing user roles and permissions to ensure users remain current. This involves updating users' permissions when a user departs the organisation. APRA requires one Administrator to be nominated for each reporting entity (ABN). An RRA cannot assign additional roles to themselves. A second RRA would be required to assign additional permissions to an initial RRA. Where an entity has only one RRA a request to APRA will be required to make any change. RRAs are able to complete and submit returns. Users in this role will receive notifications pertaining to upcoming return due dates, Late Notices, and the availability of data queries.
Regulatory Reporting Preparer	Able to enter data or upload files into returns in APRA Connect in preparation for submission but will not have the Validate and Submit button available to them. Refer to Automatic submission of validated returns for information about automatic submission of uploaded data.
Service Provider	Able to enter data, upload files, validate and submit returns. This role can be assigned to third-party administrators who submit on behalf of an entity or any user that requires the ability to draft, upload and submit returns without them having the permission to assign roles to other users.
Corporate Profile Administrator	Able to edit corporate profile information, including Responsible Persons and Accountable Persons. No other roles will be able to view this information.
Sensitive Data Submitter	Able to create, edit, save as draft, validate, and save and submit the File Upload for Sensitive Data returns. Once the return is submitted, all users, including the Sensitive Data Submitter role will not be able to access the attached files in the submission. Only users with the Sensitive Data Submitter role will be able to see the return in the submission history. While the return is in draft, users with the Sensitive Data Submitter role will be able to view the return and the attached files within the return. They are also able to edit, save as draft, validate and save and submit the return.
Ad hoc return permissions	An additional role to add in combination with an existing role, which allows the user to create a return. Ad hoc return permissions allow users to request resubmissions, request an extension or an exemption, or submit documents to APRA. This permission is also required for superannuation entities to create these ad hoc returns outside the standard reporting cycle; RSE Structure, Fees and Costs, and Insurance Arrangements. This role can be assigned to any user to extend their capability to create these types of requests and submissions at any point in time. It may be a suitable role to assign to a Service Provider to allow them to fully administer the entity's reporting obligations on behalf of the entity.
NCPD Submitter	An additional role to allow General Insurers to submit National Claims and Policy Data return.

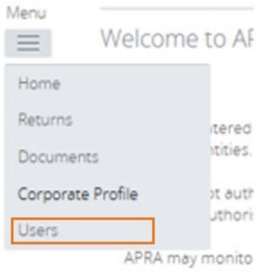
Role	Responsibilities, functions, and access levels
FAR Administrator	An additional role that allows the user to submit FAR returns except the FAR - Breach by Accountable Person and FAR - Breach by Entity return.
Breach Administrator	An additional role that allows the user to submit the FAR - Breach by Accountable Person and Breach by Entity return.

3.2.4 Viewing and editing users

People with the Regulatory Reporting Administrator role can assign and edit the roles of other users in their organisation.

To view and edit a user:

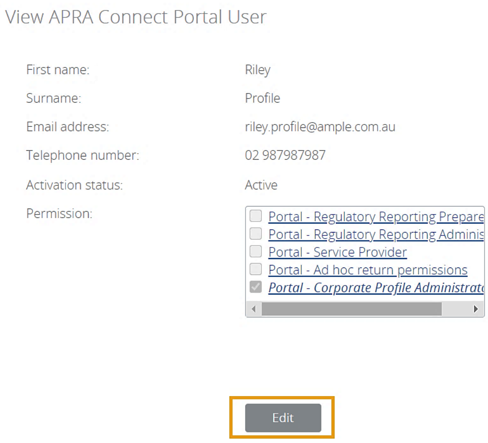
1. From the Menu, select **Users**.



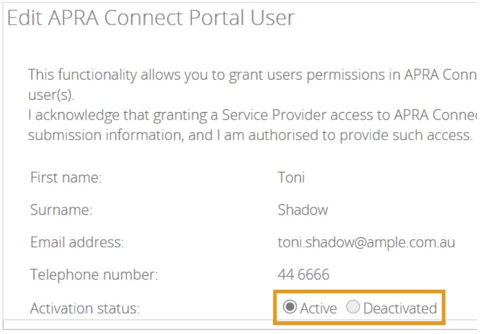
The Manage APRA Connect Portal Users page lists all people with active and inactive APRA Connect user accounts for your organisation.

2. In the Actions column click the **View/Edit** icon of the required individual.

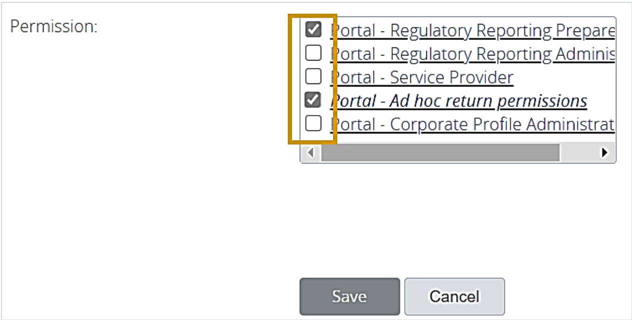
3. To edit user roles click **Edit**.



4. If updating a new user or deactivating a user, set **Activation status** as required.



5. To edit user roles, from the **Permission** list, check or uncheck the roles to apply to the user.



6. Click **Save**.

Chapter 4 - Draft Returns

To open the Manage Returns page, select **Returns** from the Menu.

The Draft Returns list displays all returns that are available for completion, including regulatory, ad hoc, and corporate profile returns.

By default, the list is sorted by the date the returns were created. Use the column headings to sort as required. Refer to Using lists for further information.

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
Asset Allocation	SUP_AA00043	0.1		No Data	31/12/2020	31/03/2021	
Insurance Arrangements	SUP_INSAR00 050	0.1		No Data	31/12/2020	31/03/2021	
Member accounts	SUP_MEMAC0 0041	0.1		No Data	31/12/2020	31/03/2021	
RSE Structure Preview	SUP_STRUCT_ PRE00055	0.1		No Data	22/02/2021		

The list shows each return's status, reporting end date, and submission due date (if applicable).

Possible statuses for draft returns:

- No Data – Return has not been populated.
- In Draft – Some data has been entered/uploaded but is not yet complete.
- Complete – All required fields contain data, and the return is ready for submission.

Note: Submitted returns are removed from the Draft Returns list. Click the **View Submissions** button to see returns that have been successfully submitted to APRA. Refer to Submission history.

To generate a PDF of a return, click the icon in the Actions column.

To open a return, click the return's name.

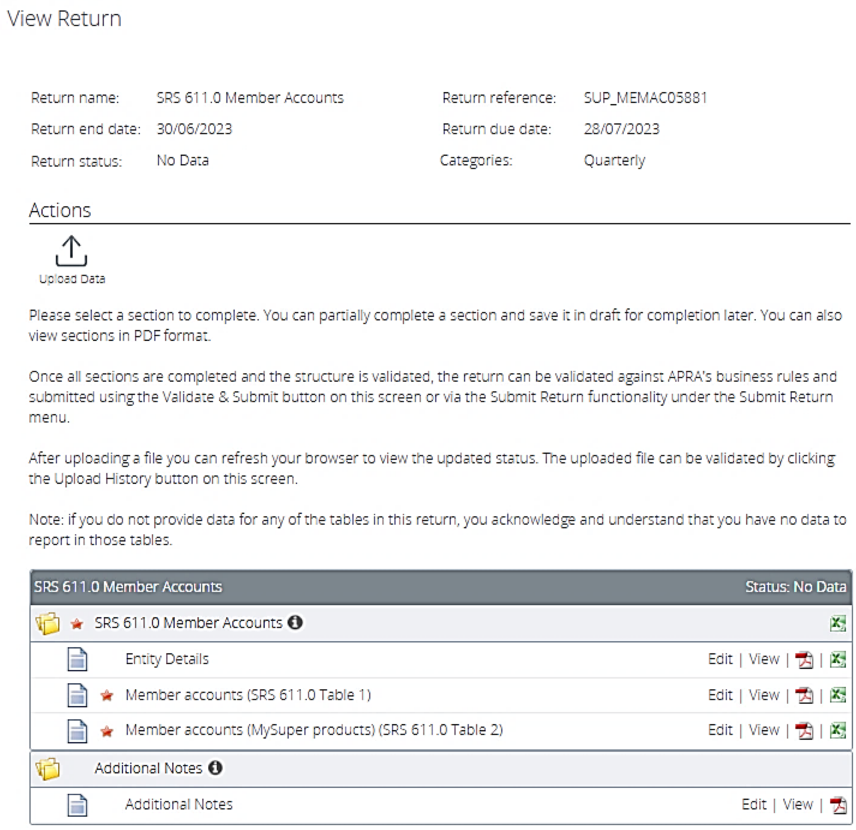
4.1 Viewing a return

The View Return page displays the forms contained in the return. Once data has been entered, regardless of the status, it is visible to both APRA and entities – based on the user roles applied by the Regulatory Reporting Administrator, refer to User Roles.

Data that has been entered, regardless of the method, can be viewed either by clicking:

- **Edit** to both view or alter the data
- **View** to only view the data
- **PDF** icon to view the data in a PDF format
- **Excel** icon to view the data in an Excel format

Data that has been uploaded via Excel, can be viewed via the **Upload History** icon, refer to Upload History.



The icon displayed beside the return and form names indicate their current status:

- No data

- In draft

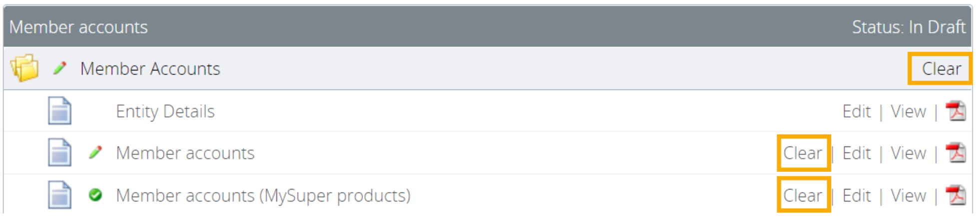
- Validated with no errors

- Schema and Formset version

4.1.1 Deleting existing return data

You can delete entered data from either an individual form or an entire return:

1. On the View Return page, click **Clear** either:
   - at the top of that pane, at the return level, to clear the entire return; or
   - for an individual form to clear only that form.



2. Click **OK** to confirm deletion.

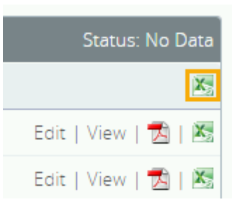
Note: Once deleted, the data cannot be retrieved.

4.2 Downloading Excel versions of returns and forms

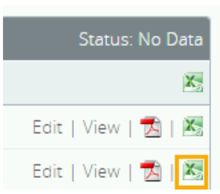
You can download an Excel version of a whole return or individual form, including entered data, at any time. The file generated through this process will show the valid values, as per the reporting standard, therefore this file cannot be used to upload and submit data to APRA Connect, refer to uploading return data.

Note: The number of rows visible in the Excel download will be limited to the row limits enforced by Microsoft.

To download an Excel version of an entire return, on the View Return page, click the **Excel** icon at the top of that pane, at the return level, to download the entire return.



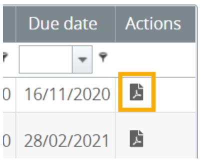
To download an Excel version of an individual form, on the View Return page, click the **Excel** icon for an individual form to download only that form.



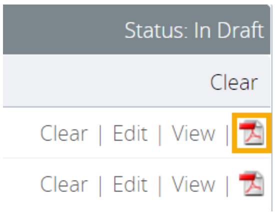
4.3 Creating PDFs of returns and forms

You can generate a PDF version of a whole return or individual form, including entered data, at any time.

To create a PDF of an entire return, on the Manage Returns page, click the **Download PDF** icon in the **Actions** column.



To create a PDF of a form, on the View Return page, click the **View in PDF** icon for the required form.



Note: The PDF file will not show data that exceeds the number of rows rendered on the screen. A message will provide a count of the number of rows that are contained in the table.

Chapter 5 - Company Details and Corporate Profile Returns

5.1 Company profile obligations

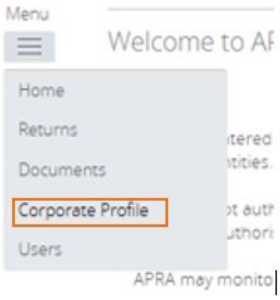
When your entity profile needs to be updated, new information is submitted to APRA through APRA Connect, using one of the available corporate profile returns.

For example, if changes to an entity's address are required, a 'Contact Information' return would be created and submitted.

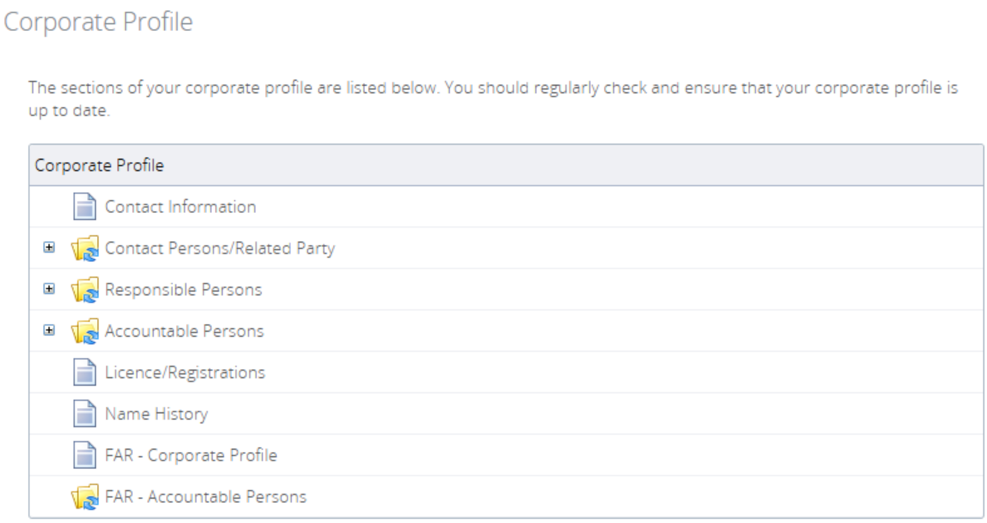
For details of your organisation's obligations, please refer to the applicable industry page on the APRA website.

5.2 Viewing your company profile

To view the information held by APRA about your organisation, from the **Menu** select **Corporate Profile**.



The Corporate Profile page displays a list of sections that make up your organisation's profile. Click a section to view its contents. The details displayed are dependent on the industry to which your organisation belongs.



The details in your entity's profile should be reviewed on a regular basis to ensure the information is kept up to date.

Changes to corporate profile details are made by creating and submitting the appropriate corporate return. Only users with the applicable permissions can create corporate returns to update an organisation's details. Refer to User roles for details of roles and permissions.

5.3 Creating a corporate return

Corporate Profile Users can create and submit corporate returns to update an organisation's details. Refer to User Administration for details of roles and permissions.

Note: Returns may be available to create that are not relevant to your organisation's industry.

Refer to the applicable prudential standard on the APRA website for details of reporting obligations for specific corporate returns.

5.3.1 Available corporate returns

Form set name	Description
Balance Date	Update balance date currently recorded in your organisation's profile.
Contact Information	Add or update your organisation's address and contact details. You can add multiple instances enabling you to add/update multiple address types in one submission.
Contact Persons/Related Parties	Add or update the detail of Individuals (e.g. Crisis Contact) and view related Legal Entities (e.g. Trustee). You can submit multiple instances in the same return. See Explanation of corporate roles in returns for more information.

Form set name	Description
Name Details	Submit a change of registered name for your organisation.
Responsible Persons	APRA regulated entities can add or update multiple instances in the same submission. See Explanation of corporate roles in returns for more information.

Financial Accountability Regime (FAR) returns

Please refer to the Financial Accountability Regime (FAR) page on the APRA website for information related to reporting obligations.

Form set name	Description
Financial Accountability Regime - Entity Profile	Submit all information related to the FAR Entity profile including all significant related entities (SREs). Existing accountable entities are to amend or update their FAR entity profile information within 30 calendar days of the change(s). New accountable entities should submit their FAR entity profile information within five calendar days of becoming an accountable entity
Financial Accountability Regime - Accountability Map	Upload an accountability map for all enhanced entities independent of accountable persons details.
Financial Accountability Regime - Registration	Return to be submitted to register accountable persons including any document attachments. New accountable persons appear in the Corporate Profile once they are approved, which in most instances will occur 21 days after the return is submitted.
Financial Accountability Regime - Notifiable Events	Any changes to accountable persons personal information or responsibilities to be submitted using the return.
Financial Accountability Regime - Breach by Entity	When an accountable entity has failed to comply with its accountability obligations under the FAR Act 2023. An accountable entity must submit this form within 30 days after the event to meet its notification obligation under the FAR Act 2023.
Financial Accountability Regime - Breach by Accountable Person	When an accountable person of the accountable entity, has failed to comply with the accountability obligations under the FAR Act 2023. This form must be submitted within 30 days after the event to meet its obligation under the FAR Act 2023 and if the accountable person has been dismissed or suspended, or the variable remuneration has been reduced, because of the breach.

Private Health Insurance corporate returns

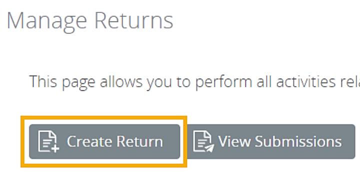
Please refer to the Private Health Insurance (PHI) industry page on the APRA website for information related to reporting obligations.

Form set name	Description
States in which insurer operates	Update the states and territories in which your organisation does business.

5.3.2 Creating and completing a corporate return

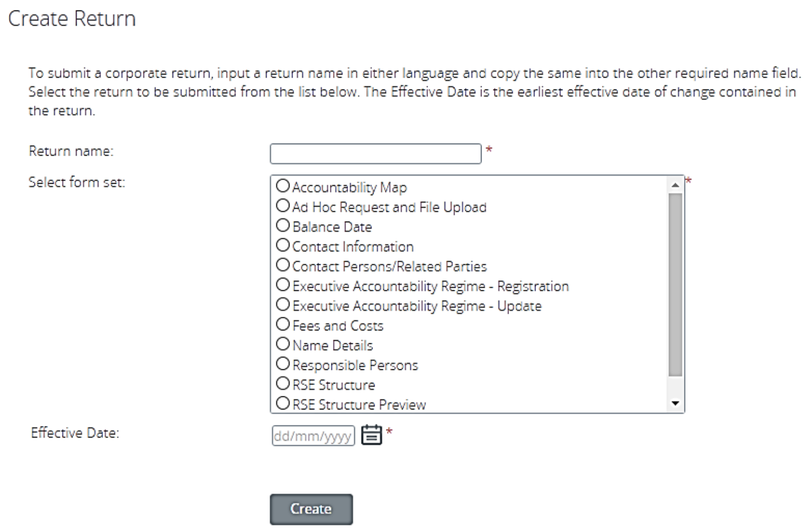
To create a new return:

1. From the **Menu**, select **Returns**.
2. On the Manage Returns page, click **Create Return**.

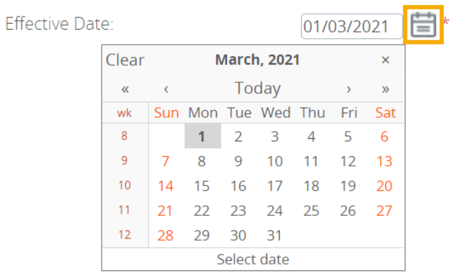


The page displays the available form sets to make up company profile returns.

3. Select the required form set from the list.



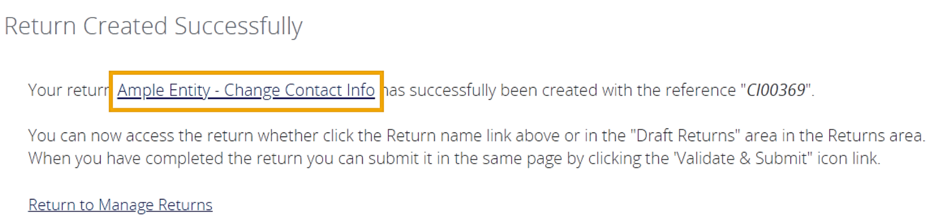
4. Enter a name for the return, using a naming convention that is meaningful to your organisation.
5. Click the calendar icon and select the date from which the submitted details take effect.



6. Click **Create**.

   A confirmation page displays the return's reference number.

7. To begin adding data to the return immediately, click the hyperlinked name to open the newly created return.



Draft returns can be accessed at any time from the Manage Returns page.

8. Depending on the form set selected, either:
   - click the **Add Section** icon; or

   - click **Edit** for an existing form; or

   If creating an **Financial Accountability Regime – Update** return, see the APRA website for work instructions.
9. Complete the form. Mandatory data is indicated by a red asterisk (*).
10. To save and close:
   - an incomplete form, click **Save as Draft**.
   - a complete form, click **Validate and Save**.

   The icon displayed beside the return and form names indicate their current status:
   - No data
   - In draft
   - Validated with no errors

When complete and validated the return can be submitted. Refer to Submitting Returns for more information.

5.4 Updating corporate profile information

If the details of a previously submitted corporate profile return need to be updated, a new return of the same type should be created and submitted with the new information.

Resubmissions should not be requested to update corporate returns.

The exception is if an Accountable Person registration has been submitted but not yet approved by APRA, and the registration needs to be withdrawn. In this case, resubmission can be requested for the Financial Accountability Regime (FAR) – Registration return. FAR Resubmission guidance is available on the APRA website.

Refer to Requesting a resubmission for further information.

5.5 Explanation of corporate roles in returns

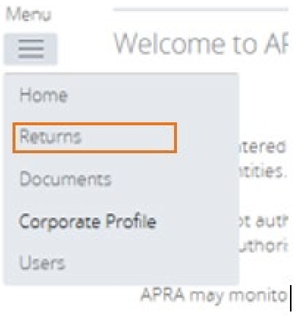
Information about relevant employees at your organisation is submitted to APRA through three types of returns, each with different requirements:

Return	Description
Contact Person/ Related Party	Employees recorded in these roles predominantly assist APRA in where to target specific correspondence or to enable APRA Extranet access. Available role types include: • Roles required for Extranet access: - Chief Executive Officer (or equivalent) - Company Secretary - Prudential Contact - ILDR Contact – Internal Loss Data Refresh upload - SDCP Contact • Billing contact – addressee for APRA levies • Crisis management contact • Regulatory Reporting Contact – contact person for reminder notices, Late Notices, post-submission query process for returns still submitted in D2A.
Responsible Persons	Refer to the relevant *Fit and Proper Prudential Standards* for your industry on the APRA website.
Accountable Persons	Refer to the most current information on the Financial Accountability Regime on the APRA website.

Chapter 6 - Completing Regulatory Returns

6.1 When returns become available

Returns become available for completion in APRA Connect on the end date of the reporting period to which they apply. Please refer to your industry's page on the APRA website for information related to reporting obligations.



Returns are added to your list of draft returns on the Manage Returns page.

Email notification is sent to Regulatory Reporting Administrators seven days before the due date of a return.

6.2 Regulatory return completion and submission overview

The following diagram gives an overview of the process of completing regulatory returns.

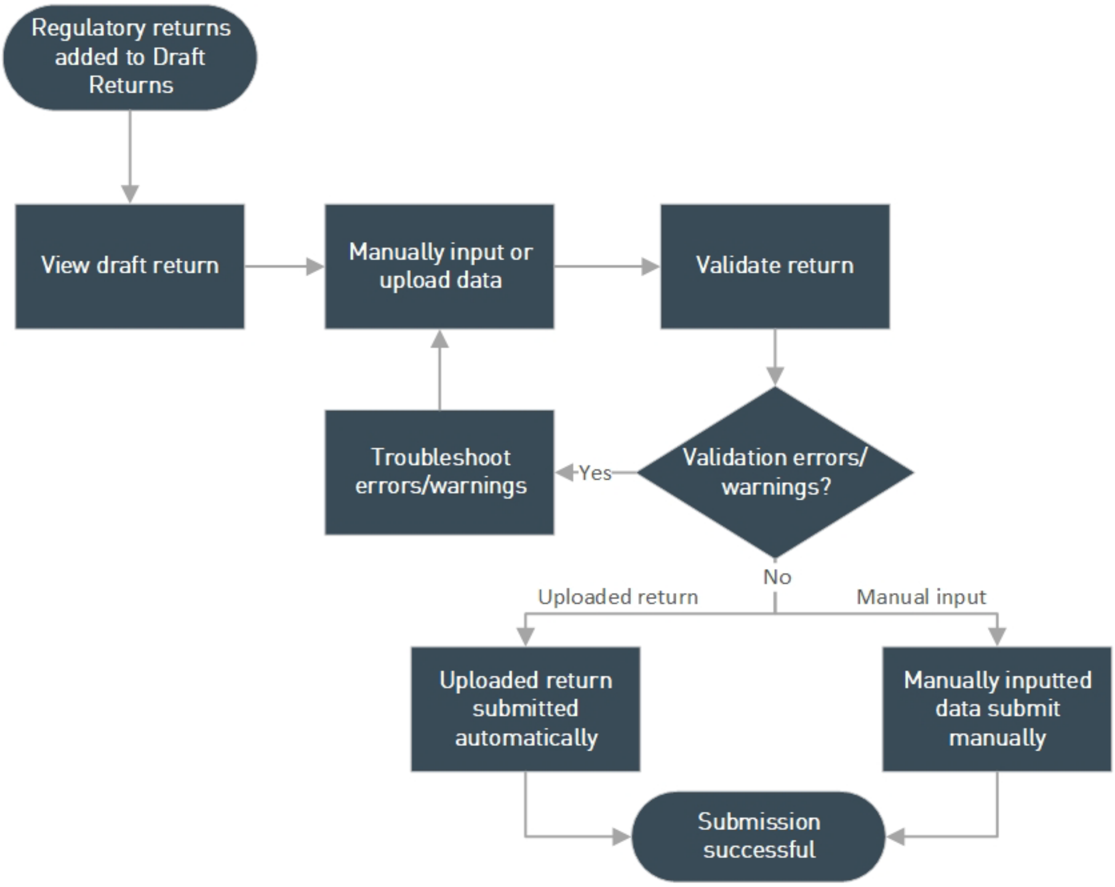


Figure 1. Return completion and validation process overview

6.3 Uploading return data

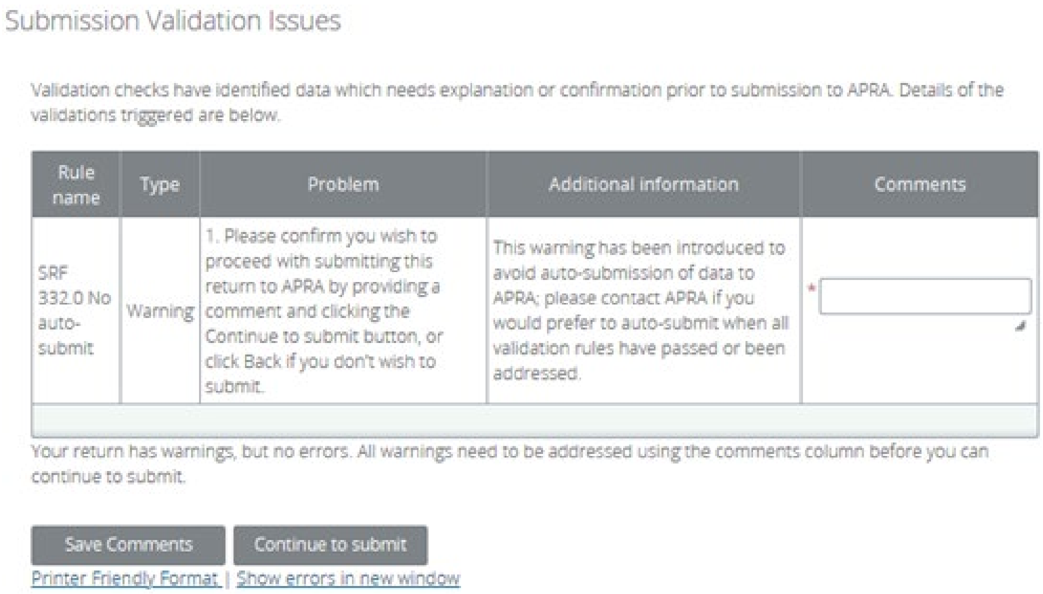
6.3.1 Automatic submission of validated returns

When a complete data file is uploaded without validation errors or warnings, APRA Connect's default functionality automatically submits the return regardless of the user role of the person performing the upload. Validation and submission of large returns is performed in the background, to minimise the time the system is unavailable during the validation process, and to avoid system timeouts.

Optional validation approval

To accommodate varying governance and business processes across entities, an optional approval step is available in the form of a validation rule triggered prior to submission. The additional validation is activated on an opt-in basis for individual entities (see below). When activated, the approval validation warning requires confirmation that the validated data return is to be submitted.

The rule functions in the same way as other validation warnings; a comment is required to confirm submission before a person with submission permissions can click **Continue to submit**. The **Save Comments** option can be used by the uploader to enter a comment for review by an authorised submitter.



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

Opting-in to optional validation approval

To opt-in to the additional approval, notify APRA by sending an email to dataanalytics@apra.gov.au containing the name and ABN[1] of each entity to which the validation rule is to be applied.

APRA does not recommend entities with large data sets to opt into the no auto submit validation rule.

Note: In some instances, APRA will not make this validation rule available in all collections. In particular, where the volume of data that is expected to be submitted will affect the performance of the system.

6.3.2 Excel form layouts

The definitions for Excel uploads are contained in the form layouts in the reporting taxonomy artefacts available from the *Reporting Resources* page for your industry type on the APRA website.

It is important to retain the format of the form layout to ensure successful upload. This includes not altering the layout of the template (e.g. removing rows or columns) and in most cases not changing the worksheet names.

[1] For Superannuation entities, this is the ABN of the fund, not the Trustee.

However, when reporting data in granular data collections for multiple funds (applicable to selected Private Health Insurance, Life Insurance and Friendly Society collections) you are required to create a copy of the form layout for each fund in a separate worksheet, with the name of the form followed by a sequential number in brackets (as shown below).

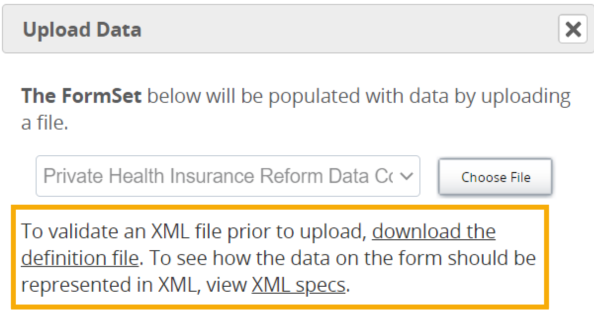
The form layout will:

- contain the definition of the allowed values for drop-down values; and
- identify derived fields with crossed diagonal lines to indicate the cell does not need to be entered.

Note: Only the EntityDetails and form layout worksheets are required when uploading your data to APRA Connect. All the other worksheets, that are published in the reporting taxonomy, should not be included in your upload.

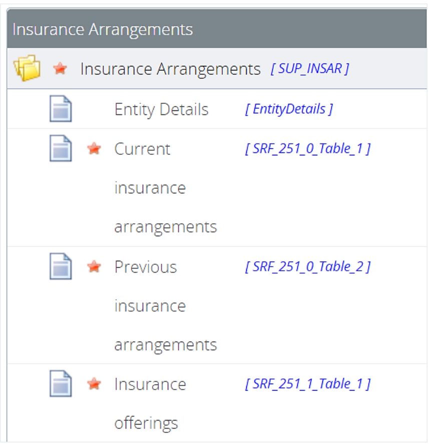
6.3.3 XML definitions and specifications

The XML definition file and specifications (XSD) for a return are available from the Upload Data window. Follow the first two steps below to open the window and click the links.



The downloaded definition file can be used to validate your XML files before uploading.

Clicking **XML specs** opens the View Return page with the forms and tables marked up with the schema item/list names.



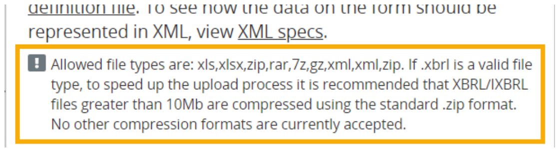
XML file definitions are also available from the *Reporting Resources* page for your industry type on the APRA website.

You can create sample XML files using your organisation's XML editor and the downloaded definition file.

Entities may choose between Excel and XML based on their own organisation's needs and technical capabilities; however, if the data being uploaded exceeds the row limits allowed in Excel then entities must use XML.

6.3.4 File types

Valid file types can differ between returns. You can locate the list of the file types for a specific return in the Upload Data window. See below for steps to access the Upload Data window.



6.3.5 Empty rows in tables

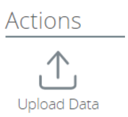
Tables cannot contain empty rows, whether uploaded or manually entered. Refer to Adding and deleting table rows.

6.3.6 Uploading return data

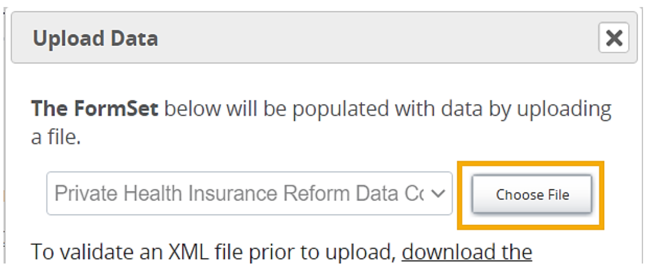
Note: When a file that passes all validation is uploaded by any user, the file is automatically submitted. See Automatic submission of validated returns

To upload return data from a file:

1. On the View Return page, under Actions, click **Upload Data**.



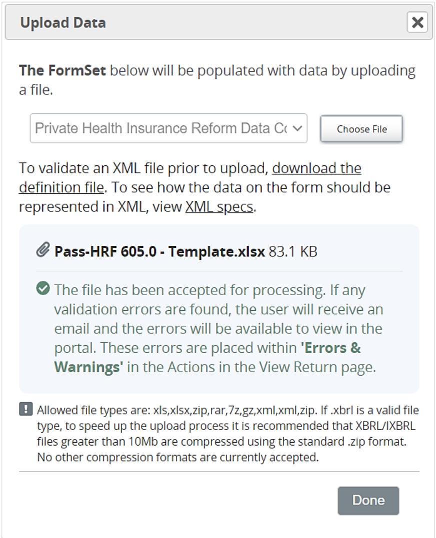
2. Click **Choose File**.



If you are uploading data into a return where forms already contain data, you will be prompted to delete the existing data before proceeding. Refer below for further details.

3. Locate and select the prepared file to upload.

   The file type is validated and uploaded.
   On completion, the file name and upload status is displayed.



4. Click **Done** to close the window.

   If offline processing is enabled for the return, you can continue using APRA Connect while processing takes place. Refer to Offline processing.

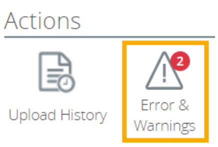
When the file is complete and uploaded without validation errors or warnings:

- by default, the return is automatically submitted; or
- if your entity has opted-in to the additional approval step, the submission must be confirmed. See Optional validation approval.

When returned to the View Return page, you may need to click **Refresh status** to update the return's status. The View Return page shows:

- each form as **Validated with no errors** ✓; and
- the Return status as **Submitted**.

If validation errors or warnings are encountered, the Errors & Warnings icon is displayed under Actions on the View Return page. Refer to Data Validation for more information.



Errors should be corrected in your source system to avoid the same errors in the future, rather than manually correcting issues in the return.

Notes:

- The entity name is not uploaded or validated. If the entity name is incorrect in the uploaded file, it will not trigger an error.

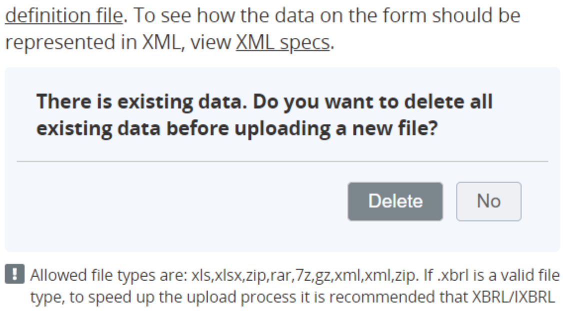
- Validation rules triggered when uploading incomplete return data are not necessarily indicative of all the possible rules. As further data is added to a return, further validation rules may trigger. It is recommended you complete all forms in a return before clicking Validate & Submit and addressing any errors triggered.

6.3.7 Uploading into a return with existing data

A return may be completed by uploading multiple files containing the required data.

Note: For large amounts of data, it is recommended that data for individual forms within the return should not be split across multiple files.

If you are uploading data for a return where forms already contain data, you will be prompted to delete the existing data before proceeding.

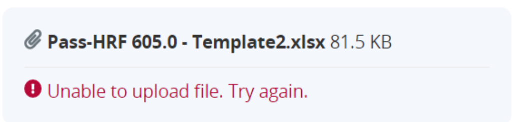


If you select	Result
No	• Uploaded table rows are appended to existing data. Validation errors will occur if the uploaded rows are the same as the existing row data (i.e. row data must be unique). • If a field contains different values in both forms, you must select which value to use. • If a field contains a value in one form and is blank in the other, the blank field is ignored and the data from the completed field is used. • If the file contains only data for a form that currently contains no data, the data is added to the empty form and other forms are unaffected.
Delete	All data in the return will be cleared.

6.3.8 Uploading data at the same time as another user

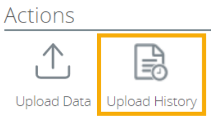
If you trying to upload data for a return at the same time as someone else, depending on the timing you may encounter one of the following:

- If the portal has had time to register the other person's uploaded data before you click **Choose file**, you will be prompted to delete the existing data before proceeding. See above.
- If the other person's file is still being processed when you select and open your file, you will receive an error and your file will not be uploaded.



6.3.9 Upload history

A return's upload history is available from the View Return page of either a draft return or its submission history. Click **Upload History** under Actions.



The View Upload History page lists the details of each file uploaded for the return, including a link to view the file, and any validation errors encountered if applicable.

Hash value

The Hash for each uploaded file is used to verify that the data has maintained integrity, i.e. that the data has not been modified, tampered with, or corrupted. No matter how many times the hashing algorithm is executed (on upload) against the data, the Hash remains the same if the data is the same.

To display the Hash below the list, click **Show** for the required list entry. This value can be used for audit purposes.

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		Asset Allocation	Processed	Hide
550.0.XML.xml	17/05/2021 17:39:43		Asset Allocation	Processed	Show

myDr4oifR5qfEz/bqGylWMH0OGhEtH75hsTkhdg6nem9rjEuTclHyLohjlAb4cCFukRaB4w9j66Oz7BpnQxiqA==

6.4 Manually entering return data

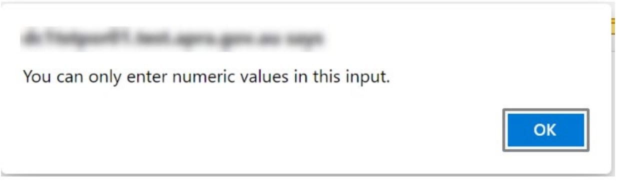
To manually enter data in a form:

1. Open the required form, by clicking either the form name or **Edit**.

   Some returns require you to add a form by clicking the **Add section** icon. Refer below.

2. Enter the required data in the form fields.

   Mandatory fields are indicated by a red asterisk.
   Field level validation ensures you cannot enter the incorrect data type for a specific field. An error message is displayed.

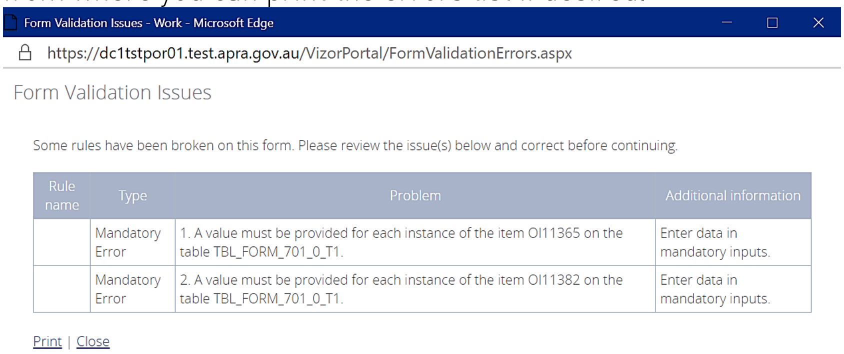


3. To save and close:

   - an incomplete form, click **Save as Draft**.

   - a complete form, click **Validate and Save**.

     If form level validation errors are present, the error list is displayed in a popup window, from where you can print the errors list if desired.



Rule name	Type	Problem	Additional information
	Mandatory Error	1. A value must be provided for each instance of the item OI11365 on the table TBL_FORM_701_0_T1.	Enter data in mandatory inputs.
	Mandatory Error	2. A value must be provided for each instance of the item OI11382 on the table TBL_FORM_701_0_T1.	Enter data in mandatory inputs.

     Click **Close** to return to the form and either:

     o Correct the errors and re-validate; or

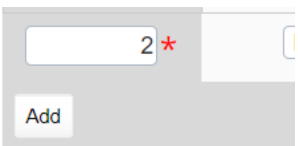
     o Save a draft to return to later.

     Refer to Data validation below for further information of validation errors

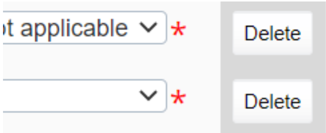
Forms should be saved at regular intervals to minimise the risk of losing data due to an interruption to your connection.

6.4.1 Adding and deleting table rows

To add rows to a form table, click the **Add** button at the bottom right corner of the table.



To delete rows from a form table, click the **Delete** button at the far-right end of the applicable row.



Notes:

- APRA Connect does not support the pasting of tables copied from Excel (or any other file format).
- When using the Tab key to move around and interact with a table, lists and buttons (i.e. Delete and Add) are not highlighted.

6.5 Forms with no data

Where a form can be submitted without data and you have no data to report, the form needs to be validated to indicate you are knowingly submitting it empty:

1. Open the required form, by clicking either the form name or **Edit**.
2. Click **Validate and Save**.

The form is displayed on the View Return page with the **Validated with no errors** icon, and you will see the following note for forms that are confirmed empty:

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

6.6 Repeatable forms

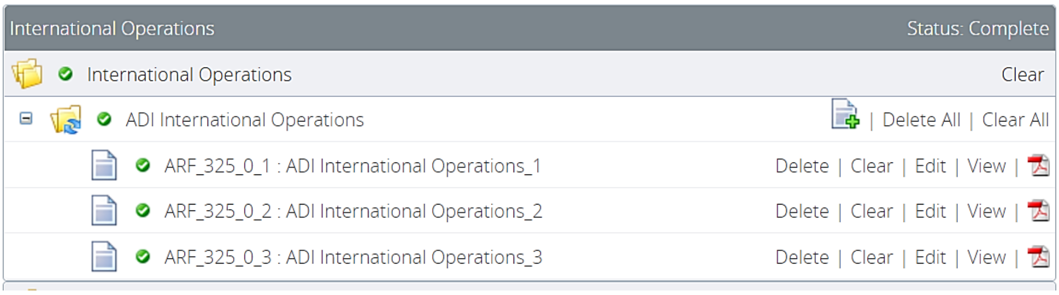
6.6.1 Uploading data

When uploading a return that can include multiple instances of the same form, the required forms are automatically generated based on contents of the uploaded file.

6.6.2 Manually entering data

When a return can include multiple instances of the same form, you can add as many forms as required to meet reporting obligations by clicking the **Add Section** icon.

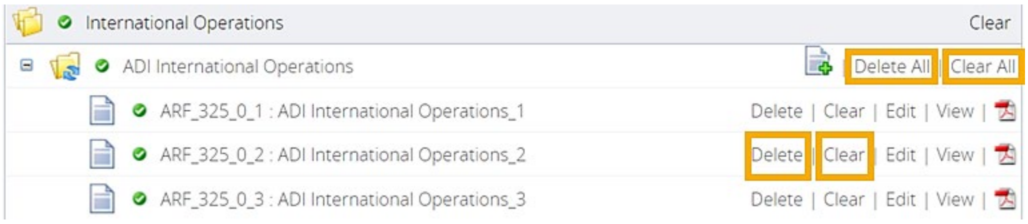
Each form name is uniquely identified depending on the context of the return.



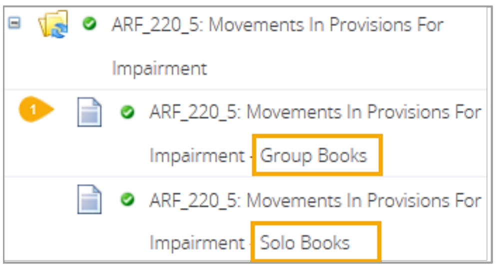
6.6.3 Deleting instances and clearing data

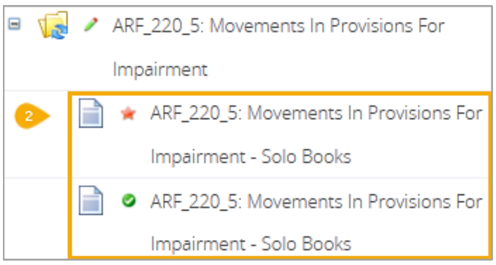
There are a few options for deleting and clearing repeatable forms:

Option	Description
Delete All	Deletes all forms.
Clear All	Removes data in all forms. The forms remain and their status changes to No Data
Delete a form instance	Deletes the individual form.
Clear a form instance	Removes data from the individual form. Its status changes to No Data.



Note: If you clear one of the reporting consolidation forms after a file upload, the reporting consolidation of the cleared instance changes to that of the remaining instance. You will need to manually change the reporting consolidation using the drop-down list in the form.





6.7 Data types

Data type properties are defined in the Data Dictionary available from the *APRA Connect Taxonomy Artefacts* section of the APRA website.

Notes:

- For monetary and percentage values, $ or % signs are not required.
- Percentage values should be reported as an unconverted number, as per the relevant reporting standard, for example 12.34% should be reported as 0.1234.
- Enumerated data is case sensitive and only the values defined in the applicable standard will be accepted.

6.8 Additional Notes

If required, use the Additional Notes form to add information relating to data in the return.

6.9 Rounding

APRA Connect uses Bankers rounding wherever rounding is applied.

The Bankers rounding method rounds x.5 values (i.e. numbers that are equidistant from the two nearest integers) to the nearest even number. This means the value may be rounded up or down depending on the nearest even number.

For example, 6.5 rounds down to 6 (because 6 is an even number), and 7.5 rounds up to 8 (because 8 is an even number). 0.5 rounds down to 0.

All other numbers are rounded as normal.

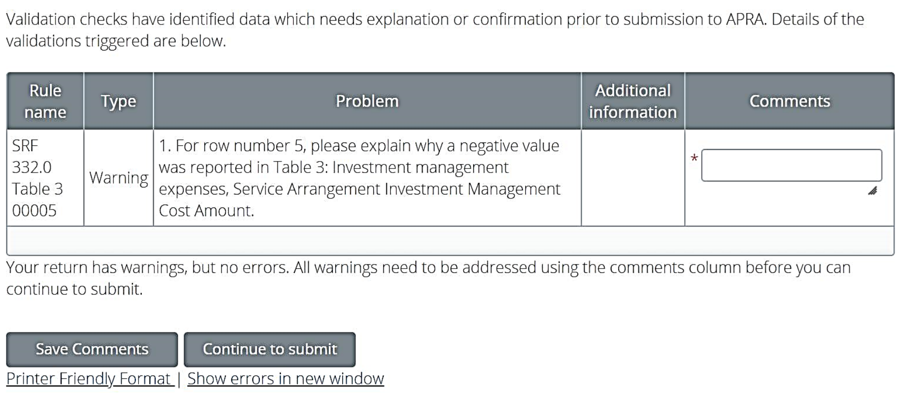
Further examples are given in the following table:

Original	Rounded
0.4	0
0.5	0
0.6	1
1.4	1
1.5	2
1.6	2

6.10 Data validation

All forms are validated before submission. There are two types of checking performed:

<table>
<tr><th>Check</th><th>Description</th></tr>
<tr><td>Error</td><td>Mandatory validation errors must be corrected and re-validated prior to proceeding with the data submission. You cannot submit a return with mandatory errors.</td></tr>
<tr><td>Warning</td><td>Validation Warnings highlight data discrepancies or abnormal variations. These often relate to typographical or transposition errors. In some cases, the data is accurate.

In cases where the data is correct, when all mandatory validation errors have been addressed, you can click Validate & Submit and confirm that you have checked the data and provide an explanatory comment for the discrepancy in order to submit the return.
Submission Validation Issues


You can use the Save Comments option to enter a comment for future review. Click OK on the confirmation message.

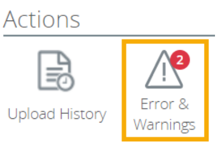

Note that saved comments are deleted if changes are made to the return data.</td></tr>
</table>

For more information on validation rules and guidelines for providing explanations, refer to the [APRA Connect Taxonomy Artefacts] page on the APRA website.

If errors or warnings are encountered during the validation process when uploading or manually submitting return data:

- The **Errors & Warnings** icon is displayed under **Actions** on the View Return page. The number indicates how many errors/warnings need to be addressed.

  Click the icon to view the read-only list of errors/warnings.



- If data could not be uploaded, affected forms (or the entire return) are indicated by the red star icon (No data).
- The Manage Returns page displays one of the following statuses for the return with an exclamation mark icon:

Return status	Description
No Data	If an upload fails due to errors, the status is displayed as No Data. Correct the errors retry the upload. On the View Return page, forms containing errors are displayed with the In Draft icon .
In Draft	If the file uploads successfully but validation errors are encountered, the status is displayed as In Draft. On the View Return page, forms containing errors are displayed with the In Draft icon .
Complete	If the file uploads successfully but validation warnings are encountered, the status is displayed as Complete. Refer to Data validation.

6.10.1 Cross form, cross return, and cross period validation

Cross form

Cross form validation errors occur when there are discrepancies in expected values when compared across multiple forms. For example, the same field may be expected to have the same value across multiple forms in a return.

Cross return

Cross return validation errors occur when there are discrepancies in expected data item values when compared with values in different returns.

Cross period

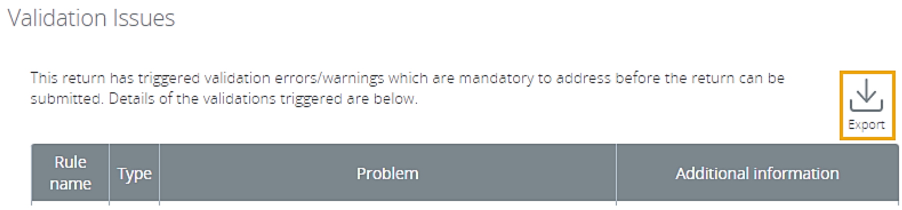
Cross period validation errors occur when there are discrepancies in expected values when compared across return for multiple periods.

6.10.2 Exporting validation error and warning messages

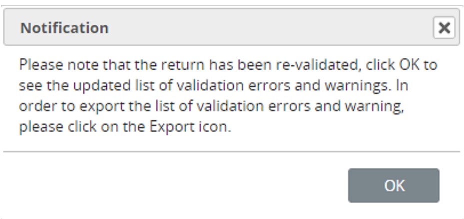
Validation error and warning messages can be exported to Excel and downloaded for easy review. Warning comments can also be imported.

The Export option is available when the Validation Issues are accessed by clicking **Validate & Submit**.

The **Export** icon is available on the Validation Issues page.



The Excel template always contains the most up-to-date rules failures. You will get an alert when clicking the **Export** icon if the return has been re-validated by someone else. The system will then automatically refresh the page to display the new rules failures.



Various scenarios will encounter different alert messages, which will require different actions. A brief breakdown of these scenarios (including the alert message received) and relevant actions required are provided in the following table.

Scenario	Alert message	Action
When the return has been re-validated with errors/warnings	This return has been re-validated, so this page will be refreshed to display the new validation errors/warnings. Please click the Export icon again to download the template when this page refreshed.	Refresh the page to download the up-to-date Excel template.
When the return has been re-validated without errors/warnings	There is no error/warning to display as this return has been re-validated without error/warning.	Click OK.to re-direct to the View Return page.

Scenario	Alert message	Action
When the return has been submitted	There is no error/warning to display as this return has been submitted. <u>Click here</u> to see the submitted return, otherwise, will redirect to the Draft Returns	• Clicking **Click here** will re-direct to the Submission History page. • Clicking **OK** will re-direct to the Draft Returns.

Export Template

Please note the following export template properties:

- The export template format is XLSX. (To open XLSX files in older versions of Excel, you need to install the Microsoft Office Compatibility Pack.)
- Filters and freeze pane are automatically applied to the column headers.
- The comments column distinguishes between rules that can be given an explanation and those that can't. (If there are both errors and warnings this column will not visible.)
- Only the warnings comments column is editable.
- Cells that cannot be edited will have a grey background.

An example of the Excel template with only warnings:

Company Name	Return Name	Revision	Periodicity	End Date	Return ID	Rule name	Type	Problem	Additional information	Comments (4000 characters)
Entity Name	SRS 332 Expenses	3.0	Annually	30/06/2022	3321	SRF 332.0 Table 3 00005	Warning	Please explain why a negative value was reported in Table 3: Investment management expenses, Service Arrangement Investment Management Cost Amount.{VIZORNEWLINE}Check row with:{VIZORNEWLINE}Service Provider Identifier - SPI1{VIZORNEWLINE}Superannuation Fund Or Licensee Type - RSE{VIZORNEWLINE}Investment Expense Service Type - Custody{VIZORNEWLINE}Investment Asset Class Sector Type - Equity{VIZORNEWLINE}Investment Listing Type - Listed{VIZORNEWLINE}Investment Domicile Type - Australian Domicile{VIZORNEWLINE}Asset Class Description Text - ACD text{VIZORNEWLINE}Service Arrangement Inclusions Exclusions Text - SAIE text.		
Entity Name	SRS 332 Expenses	3.0	Annually	30/06/2022	3321	SRF 332.0 Table 3 00005	Warning	Please explain why a negative value was reported in Table 3: Investment management expenses, Service Arrangement Investment Management Cost Amount.{VIZORNEWLINE}Check row with:{VIZORNEWLINE}Service Provider Identifier - SPI2{VIZORNEWLINE}Superannuation Fund Or Licensee Type - RSE{VIZORNEWLINE}Investment Expense Service Type - Custody{VIZORNEWLINE}Investment Asset Class Sector Type - Equity{VIZORNEWLINE}Investment Listing Type - Listed{VIZORNEWLINE}Investment Domicile Type - Australian Domicile{VIZORNEWLINE}Asset Class Description Text - ACD text{VIZORNEWLINE}Service Arrangement Inclusions Exclusions Text - SAIE text.		

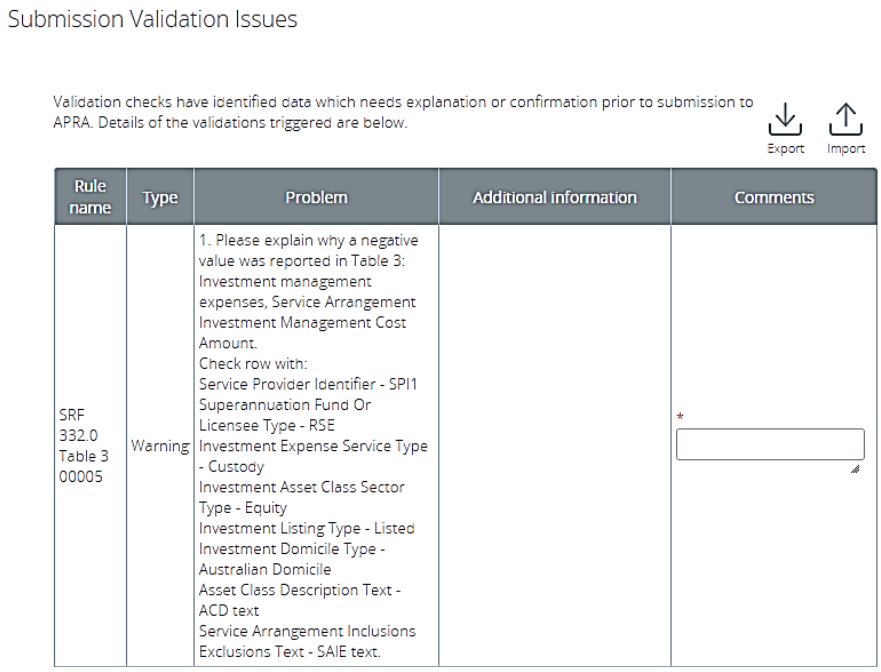
An example of the Excel template with errors and warnings:

Company Name	Return Name	Revision	Periodicity	End Date	Return ID	Rule name	Type	Problem	Additional information
Test Entity	SRS 332 Expenses	0.1	Annually	30/06/2022	3321	SRF 332.0 No auto-submit	Warning	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.	
Test Entity	SRS 332 Expenses	0.1	Annually	30/06/2022	3321	SRF 332.0 Table 1 00001	Error	The value reported in Table 1: Service providers, Service Provider Shareholding Relationship Percent 2.0000 must be between 0 and 1 (inclusive) and entered in decimal format. Check row with Service Provider Identifier SPI2.	
Test Entity	SRS 332 Expenses	0.1	Annually	30/06/2022	3321	SRF 332.0 Table 1 00003	Error	The value reported in Table 1: Service providers, Service Provider Identifier SPI2 must either be reported in Table 2: Administration and other expenses reporting, Service Provider Identifier or in Table 3: Investment management expenses, Service Provider Identifier.	

6.10.3 Importing comments for warnings

You can upload an Excel template to populate your comments and provide explanations for warnings.

The **Import** option is only displayed when there are warnings that require explanations.

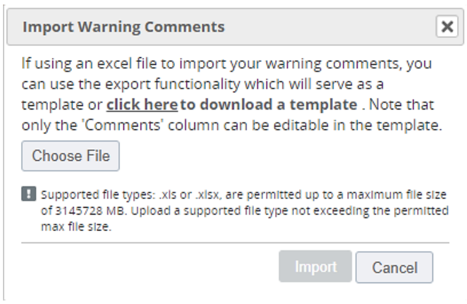


Rule name	Type	Problem	Additional information	Comments
SRF 332.0 Table 3 00005	Warning	1. Please explain why a negative value was reported in Table 3: Investment management expenses, Service Arrangement Investment Management Cost Amount. Check row with: Service Provider Identifier - SPI1 Superannuation Fund Or Licensee Type - RSE Investment Expense Service Type - Custody Investment Asset Class Sector Type - Equity Investment Listing Type - Listed Investment Domicile Type - Australian Domicile Asset Class Description Text - ACD text Service Arrangement Inclusions Exclusions Text - SAIE text.		*

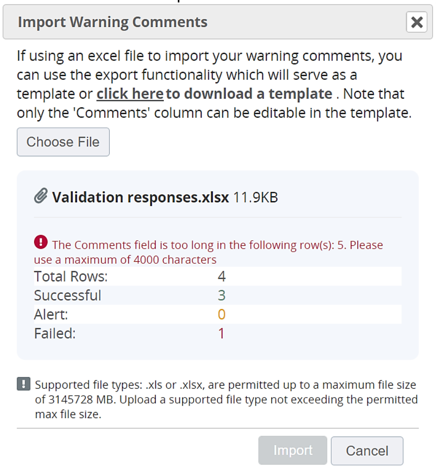
Note: If there are errors and warnings the Comments columns will not be visible, and when you export to Excel the template will not contain this column. If there are errors and warnings, you must resolve all errors and then re-validate and export the warnings only.

To import an Excel template:

1. Click **Validate & Submit.**
2. Click **Import**.
3. Click **Choose File**, to browse to and select the file to import.

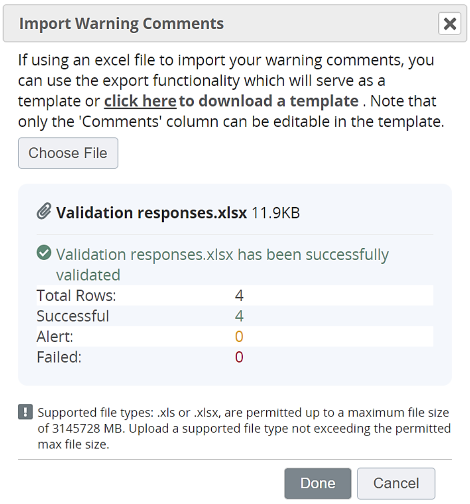


This window will list any issues with the import file. Errors in the file need to be resolved before the Import button becomes available. Refer to Import file errors for more information.

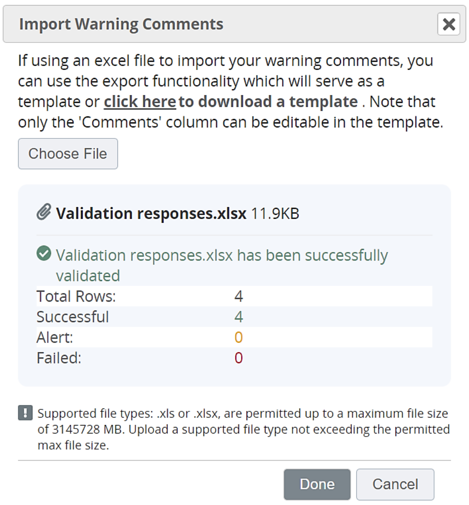


Note: All warnings require a response; if a response cannot be provided at the time of import, the entire row should be removed from the import file.

4. When the file has been accepted without errors or warnings click **Import**.



5. When the file is successfully imported a message is displayed. Click **Done**.



You can see the populated comments on the Submission Validation Issues page.

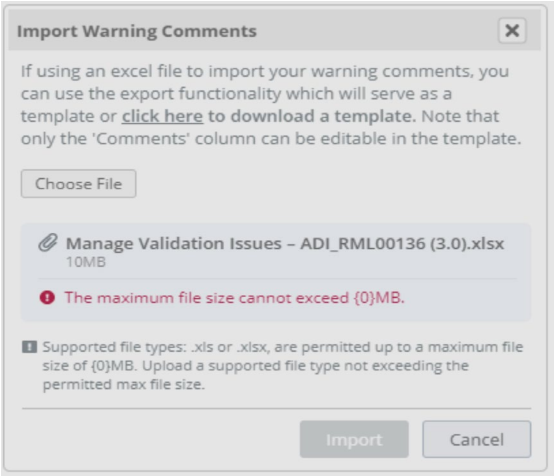
Importing into a re-validated return

If the return has been re-validated by another user, you can still import the comments. The system will match them with the latest failures by rule name and error message. Once matched the system will apply the comments to the matched failures.

Import file errors

There are a number of file related errors that can cause it to fail validation and not be uploaded, e.g.:

- invalid file type, size or has virus issues.
- rows are missing
- the uploaded file is incorrect for the revision.
- comments exceed the 4000 characters limit.



A file will also return errors if the return has already been submitted by another user, and the file cannot be uploaded.

6.11 Ad hoc returns

Ad hoc returns can be created at any time by those with the Ad hoc return permissions role.

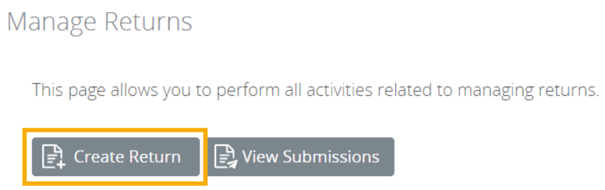
There are two types of ad hoc returns:

- The **Ad Hoc Request and File Upload** return can be used by any entity to submit files or make requests. Refer below.
- The **RSE Structure**, **Fees and Costs**, and **Insurance Arrangements** returns are specific to Superannuation entities. Refer below.

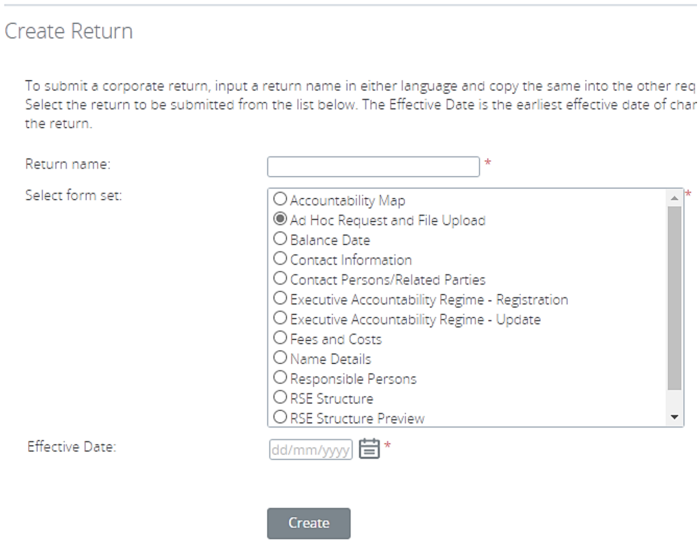
6.11.1 Creating ad hoc returns

To create an ad hoc return:

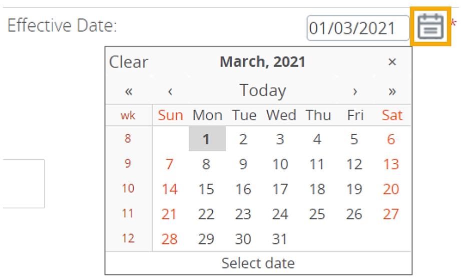
1. From the **Menu**, select **Returns**.
2. On the Manage Returns page, click **Create Return**.



3. From the form set list, select the required return.



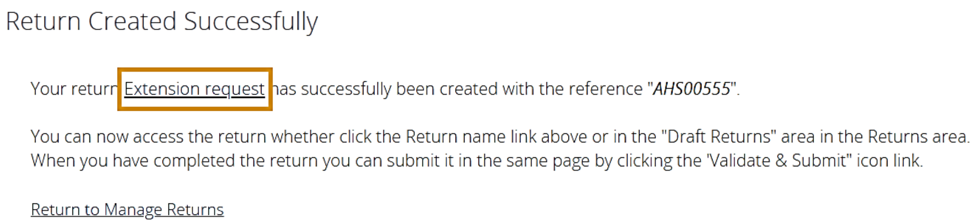
4. Enter an appropriate name for the return, using a naming convention that is meaningful to your organisation.
5. Click the calendar icon and select the date from which the request takes effect.



6. Click **Create**.

   A confirmation page displays the return's reference number.

7. To begin adding data to the return immediately, click the hyperlinked name to open the return.



Draft returns can be accessed at any time from the [Manage Returns](#) page.

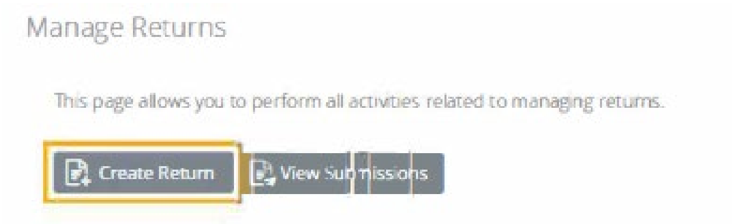
8. Complete the return as required.
9. To save and close:
   - an incomplete form, click **Save as Draft**.
   - a complete form, click **Validate and Save**.
10. When complete and validated the return can be [submitted](#).

6.11.2 Creating file upload for sensitive data

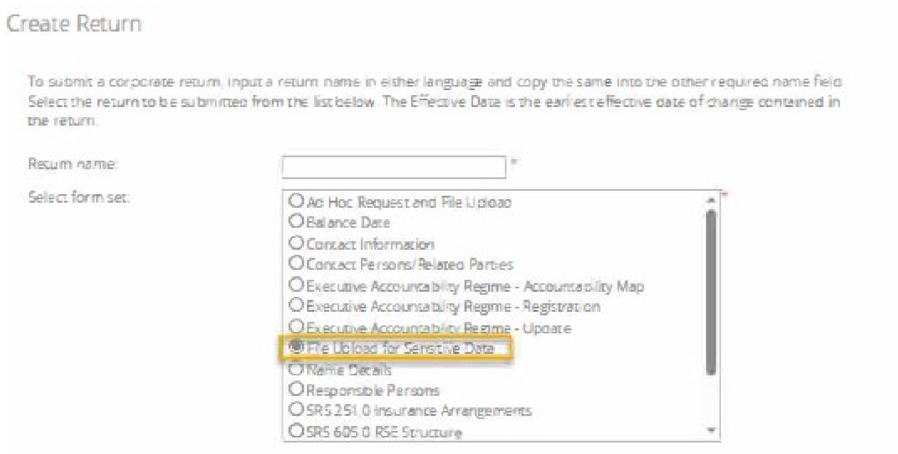
File Upload for Sensitive Data returns can be created at any time by those with the [Sensitive Data Submitter](#) role.

To create a File Upload for Sensitive Data return:

1. From the **Menu**, select **Returns**.
2. On the Manage Returns page, click **Create Return**.

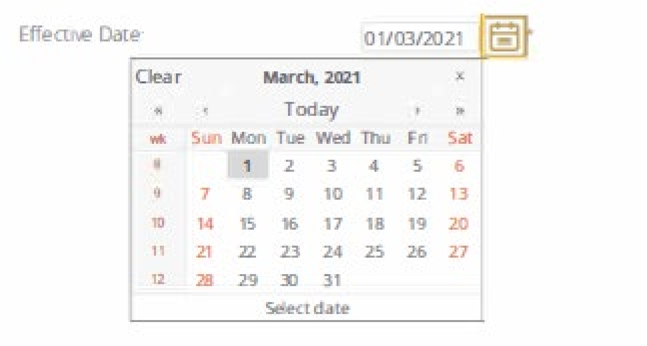


3. From the form set list, select the required return.



Note: This will be the view if the user has both the Ad hoc return permissions and Sensitive Data Submitter role.

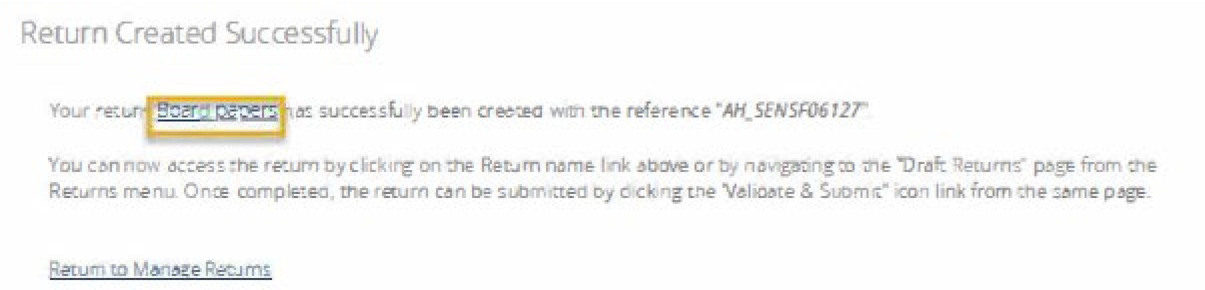
4. Enter an appropriate name for the return, using a naming convention that is meaningful to your organisation.
5. Click the calendar icon and select the date.



6. Click **Create**.

   A confirmation page displays the return's reference number.

7. To begin adding data to the return immediately, click the hyperlinked name to open the return.



Note: Draft returns can be accessed at any time from the [Manage Returns]() page by all users with the Sensitive Data Submitter role.

8. Complete the return as required.
9. To save and close:
   - an incomplete form, click Save as Draft.
   - a complete form, click Validate and Save.

When complete and validated the return can be [submitted]().

Note: Once submitted, the attached files for a submission cannot be viewed, edited, updated, or deleted. If these are actions are required, please contact APRA by emailing [dataanalytics@apra.gov.au]().

6.11.3 Ad Hoc Request and File Upload

The **Ad Hoc Request and File Upload** return can be used to:

- submit file attachments, such as audit reports, Risk Management Declarations, Trustee Financial Statements, Financial Condition Reports, ICAAP reports and declarations, etc.
  - **Accepted file formats for supporting document uploads** =

    .xls, .xlsx, .csv, .doc, .docx, .pdf, .ppt, .pptx, .jpeg, .jpg, .png, .bmp, .tif, .gif, .zip
  - **Max. file size upload** = 2 GB

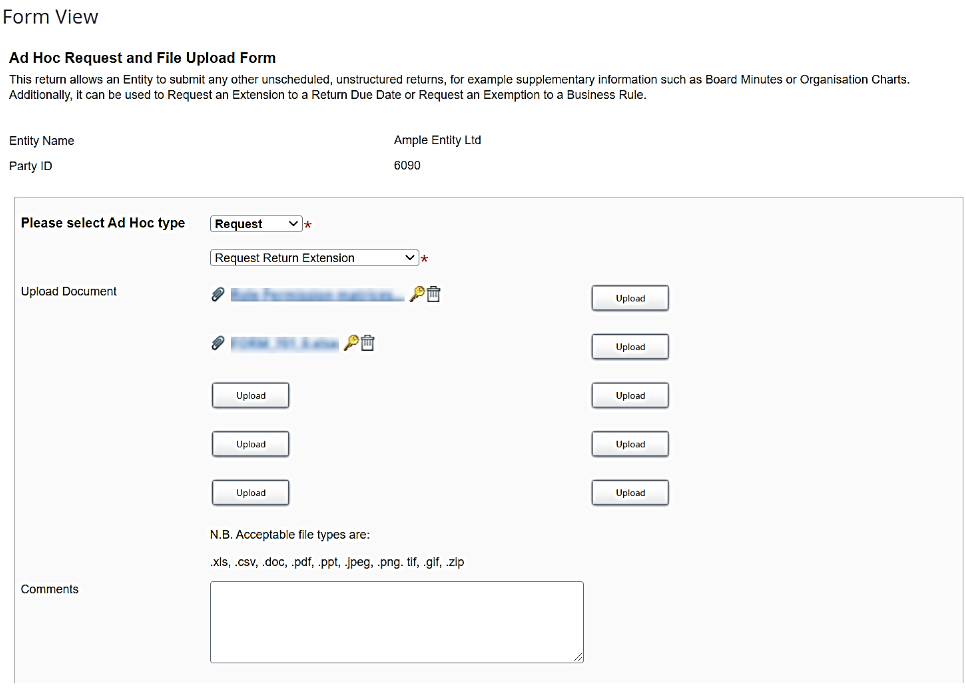
- make a specific request to APRA, such as request a reporting due date extension or an exemption for submitting a return or form. Requests for due date extensions and return or form exemptions must be received by APRA in advance of the due date.

  Note: Ad hoc returns are not used to request the resubmission of regulatory returns. Refer to [Requesting a resubmission](#).

When completing the return:

1. Click **Edit** for the **Ad Hoc Request and File Upload Form**.

2. Select the return type; **Request** or **Submission**.



3. If **Request** is selected, select the applicable type of request.
4. In the **Comments** field, include the return or form, and the reference period the request relates to.

6.11.4 File upload for sensitive data

The **File Upload for Sensitive Data return** can be used to:

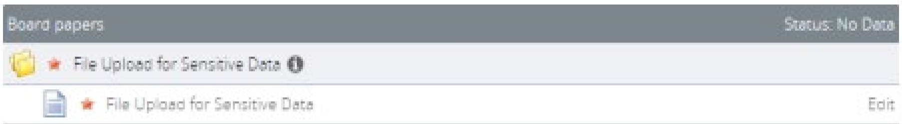
- submit file attachments, such as audit reports, Risk Management Declarations, Trustee Financial Statements, Financial Condition Reports, ICAAP reports and declarations, etc.
    - Accepted file formats for supporting document uploads=

      .xlsx, .csv, .doc, .docx, .pdf, .ppt, .pptx, .jpeg, .jpg, .png, .bmp, .tif, .gif, .zip

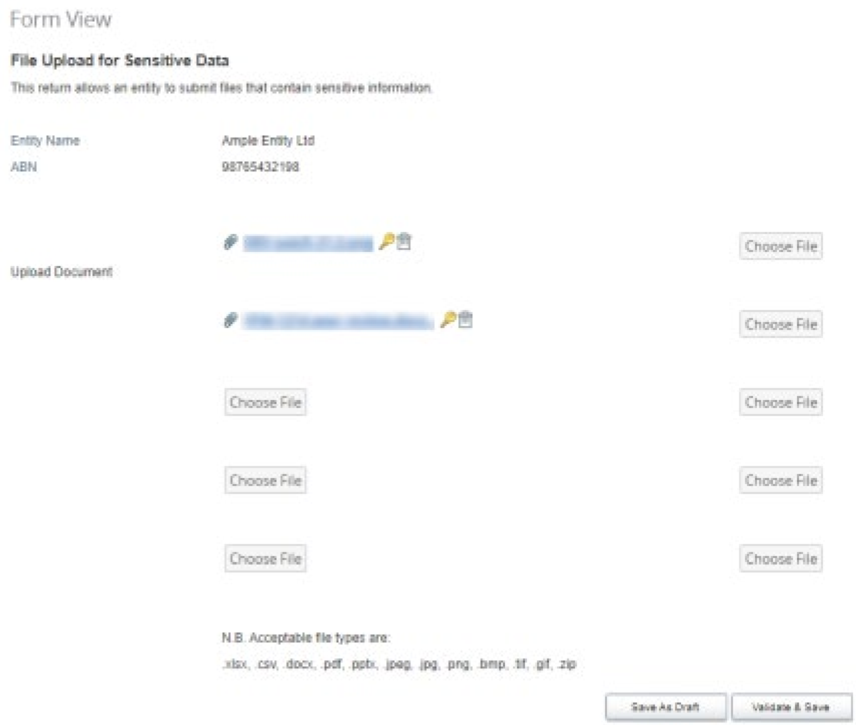
    - Max. file size upload= 2GB

When completing the return:

1. Click **Edit** for the **File Upload for Sensitive Data**.



2. Upload the required files.



6.11.5 Superannuation ad hoc returns

The following ad hoc returns can be used by Superannuation entities to submit applicable data, outside the standard reporting cycle. Please refer to the Superannuation industry page on the APRA website for information related to reporting obligations.

Form set name	Description
Fees and Costs	Captures fees and costs that are to be charged to a member or would otherwise affect member balances.

RSE Structure	Collects information on the structure of each registrable superannuation entity's (RSE) business operations.
RSE Structure Preview	Displays read-only information currently stored in your organisation's profile. Tables in APRA Connect have a 200 row limit when viewed through the on-screen return. The RSE Structure Preview return allows you to view RSE Structure data exceeding 200 rows for your fund. It also enables you to upload new products in bulk. Download and save the RSE Preview, edit the data in Excel, and then upload the file into the RSE Structure return by selecting 'upload file'.
Insurance Arrangements	Must be reported as at the end of the reporting period, or, where an RSE licensee is submitting ad hoc information, as at the date of the change.

Resubmission versus ad hoc returns

If erroneous or incomplete (e.g. as a result of auto-submit on upload) data is submitted for one of the above returns as part of the standard reporting cycle, a request for resubmission is required.

The use of the ad hoc returns is required when data changes need to be reported outside the reporting cycle. For example, the RSE Structure is for the reporting period 1/7/20-30/6/21, if something changed on the 15/7/21 the information needs to be reported using the ad hoc return with an effective date of 15/7/21.

A request for resubmission is required for all other returns that contain erroneous or incomplete data.

Chapter 7 - Submitting Returns

The process of submitting a return is the same for regulatory, corporate and ad hoc returns. Each form in a return must be completed and validated prior to submission.

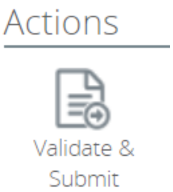
Only people with the required permissions can manually submit returns. Refer to User roles.

Returns are automatically submitted when a file that passes all validation is uploaded by any user. Refer to Uploading return data.

7.1 Manually submitting a return

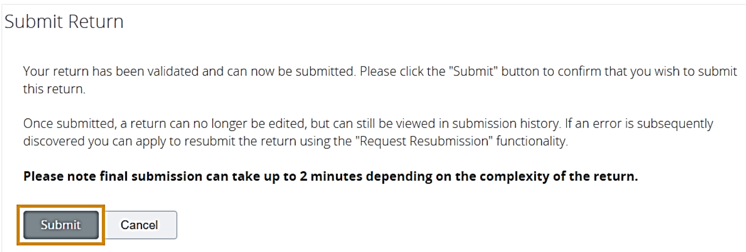
To submit a return manually:

1. Navigate to the Manage Returns page.
2. Open the required return.
3. Click **Validate & Submit**.

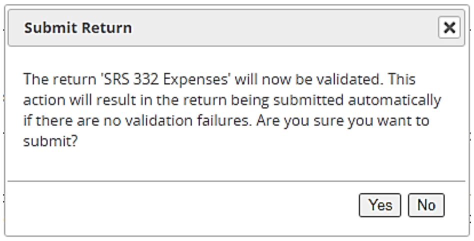
   Note: This option is only available if a return is complete and validated.
   The return is validated for submission.
4. If no errors are identified, either:
   - the **Submit Return** page is displayed.

     Click **Submit** to finalise the submission.

- if offline processing is turned on for the return, the **Submit Return** confirmation box is displayed.

  Click **Yes** to finalise the submission.



5. If validation issues are encountered, either:
   - the Submission Validation Issues page is displayed. Click **Back** to return to the View Return page and correct the errors/warnings.
   - if offline processing is turned on for the return, errors/warnings will be indicated when you return to the View Return page. To view errors and correct warnings, click **Validate & Submit**.

   Refer to Data Validation for further information on correcting errors and warnings.

When the data has been received by APRA, a confirmation email is sent to the Regulatory Reporting Administrator(s) for your organisation. The confirmation email includes the reference number for your return submission, which should be used in any correspondence regarding that specific return.

7.2 Offline processing

Validation and submission of large returns is performed in the background, to minimise the time the system is unavailable during the validation process, and to avoid system timeouts. You are free to continue using APRA Connect while processing takes place.

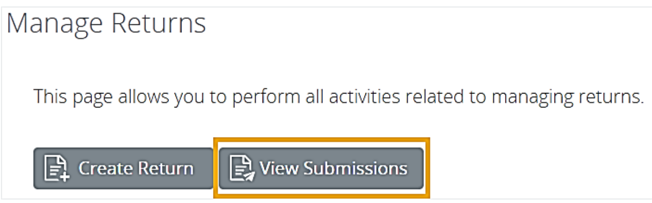
Registered RRA's will receive confirmation email once a return has successfully been processed.

7.3 Submission history

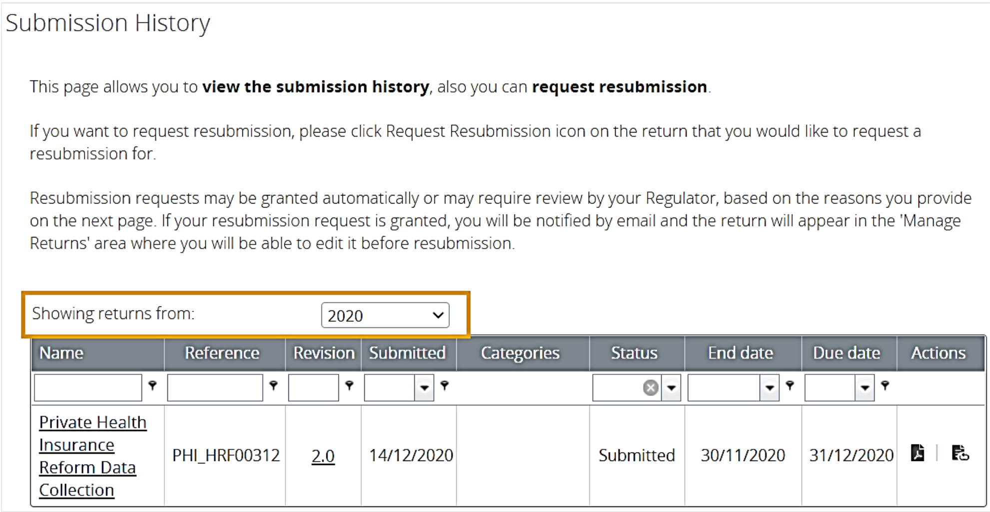
On the Submission History page, you can access the previously submitted returns, for which you have permissions to view.

To view submission history:

1. On the Manage Returns page click **View Submissions**.

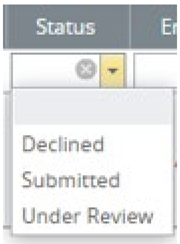


2. From the **Show returns from** list, select the year for which to see submitted returns. Note that is the year to which the return applies, not the year it was submitted.



Previously submitted returns are displayed according to your permissions.

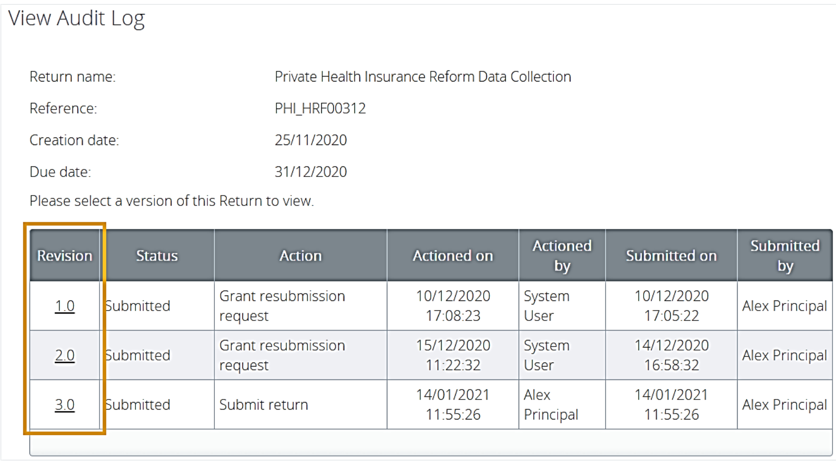
3. You can use the filter in applicable columns to refine the list and search for a return.



- Click a return name to open the View Return page for the most recently submitted version.

  From here you can view the form data, upload history if available, and request a resubmission if required.

- Click the Revision number to view a list of submitted versions.



7.4 Requesting a resubmission

If changes need to be made to data after a regulatory return's submission, resubmission must be requested through APRA Connect.

Resubmission requests will be automatically approved:

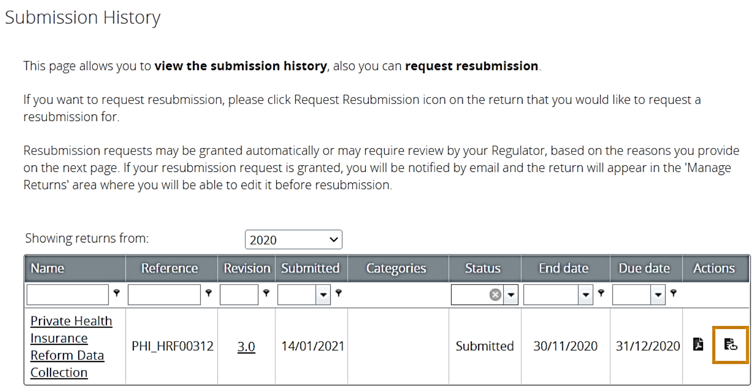
- if they are requested prior to the return due date and will be available for editing and resubmission from the Manage Returns page.
- up to 15 days after the reporting due date so that you can amend data if it is identified as being erroneous from an APRA query.

If a request does not meet these criteria, you will be contacted by APRA.

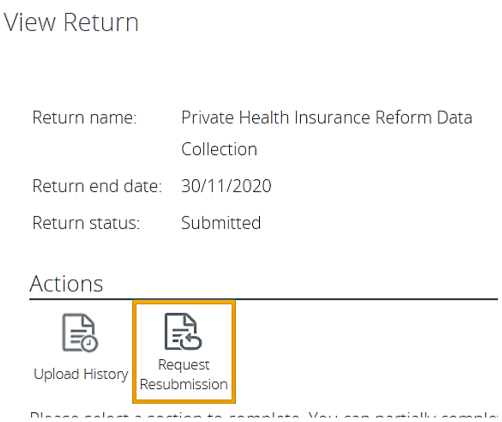
Note: Corporate profile returns should not be resubmitted, except when withdrawing a 'pending' Accountable Person registration. Refer to Updating corporate profile information for further details.

To request a resubmission:

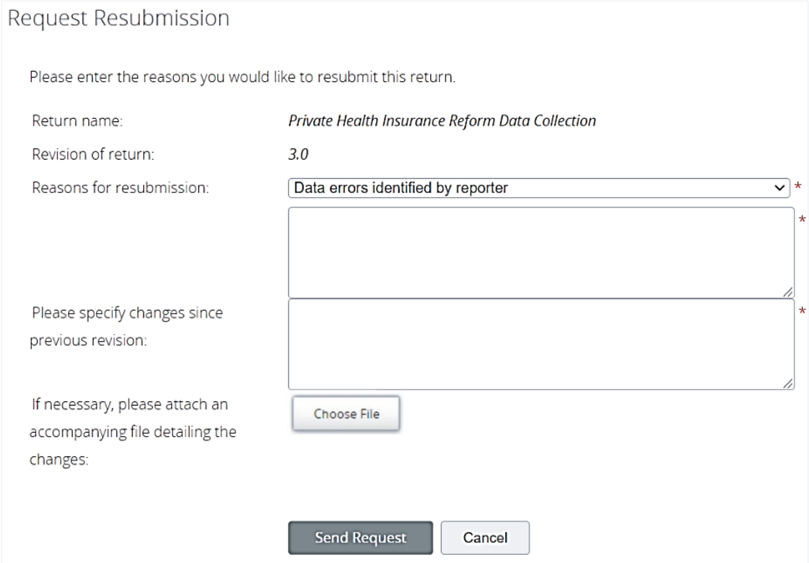
1. On the Submission History page, either:
   - click the **Resubmission** icon in the Action column of the required return; or



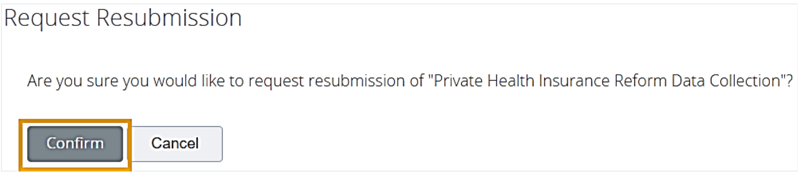
   - click the name of the required return, and on the View Return page click **Request Resubmission**.



2. Select the applicable **Reason for resubmission** from the list.



3. In the first text field enter any additional information related to the reason for resubmission.
4. Complete the second text field with a summary of the changes in the return since the previous submission.
5. If applicable, attach a file with supporting information.
6. Click **Send Request**.
7. **Confirm** the request.



If the return meets the criteria for automatic approval, it is removed from the submission history and is returned to the draft returns list.

Note: Confirmation notifications for resubmitted returns will contain the same receipt number. Notifications with the same receipt number can be differentiated by their timestamp.

7.5 Responding to APRA queries post submission

Note: This functionality is not available in the test environment as the precise queries that trigger the errors will not work on non-production data.

APRA Connect enables you to communicate with APRA regarding queries about submitted data that may arise from APRA, as well as the Reserve Bank of Australia (RBA) and Australian Bureau of Statistics (ABS).

Through APRA Connect you can respond directly to individual queries, or export queries to allow input from other business units, which can then be uploaded in bulk.

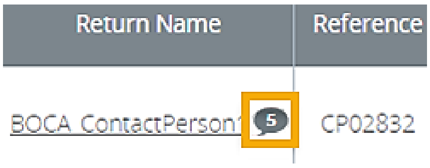
7.5.1 Identifying post submission queries

After you submit a return, APRA sends out any queries on the data which have been raised. Regulatory Reporting Administrators receive email notification that there are queries requiring a response.

To access the queries:

1. Navigate to the [Submission History page](#).

   The return with queries is identified by the comment icon containing a numeric value indicating the number of queries.

2. Click the icon to view the queries on the View Return Comments page.

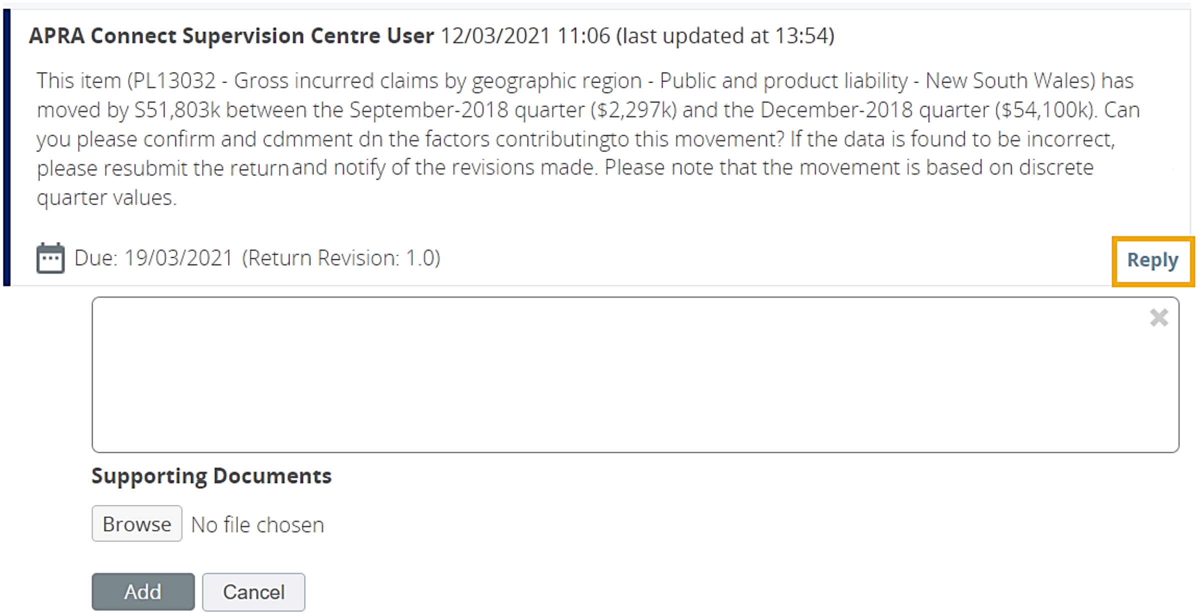
Queries can also be accessed when you open the return, using **View Comments** under Actions.

7.5.2 Responding to queries

Individual queries

To respond to an individual query:

1. On the View Comments page, click **Reply** on the required query.



2. In the displayed field enter your explanatory text.
3. If support documents are required, click **Browse** to locate and attach the file.
4. When complete, click **Add** to save the comments and make them visible to APRA.

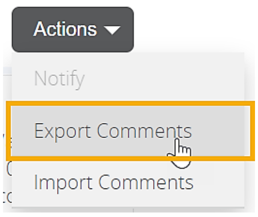
You can:

- add additional comments by repeating the above process
- edit or delete a response using the icons in the comment field.

Exporting and importing queries

If query responses require input from additional teams, you can export queries, and the existing response text, to an Excel file in a prescribed format. Once complete you can upload this back into APRA Connect.

To export queries, on the View Comments page select **Actions** > **Export Comments**.

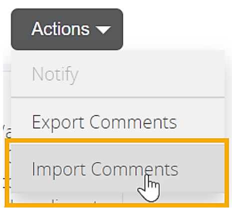


An Excel file is downloaded. Complete the **Response** columns of the Excel file as required.

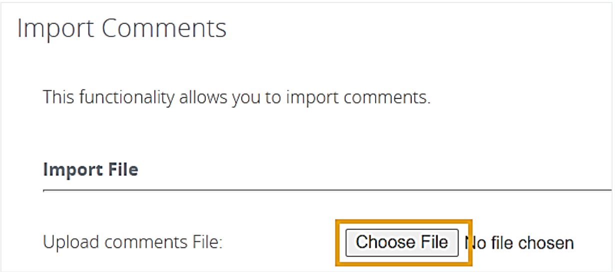
Note: It is important to retain the format of the downloaded file to ensure successful re-upload.

To import the completed file:

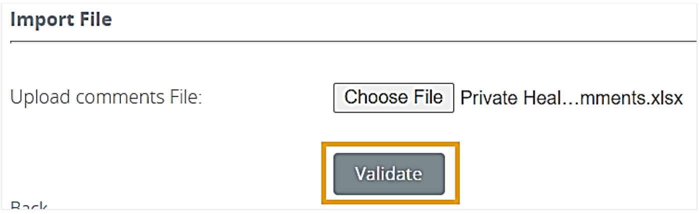
1. On the View Comments page select **Actions** > **Import Comments**.



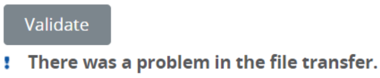
2. Click **Choose File** to locate and open the required file.



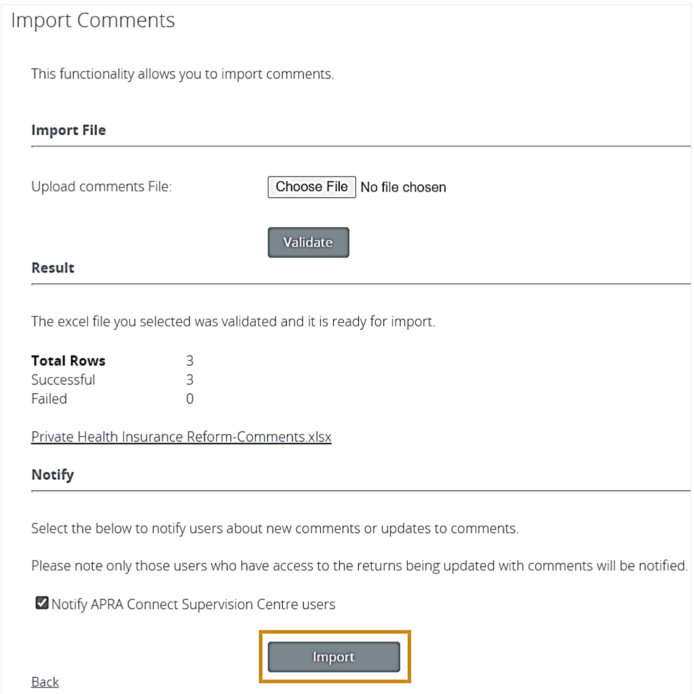
3. When the file is uploaded click **Validate**.



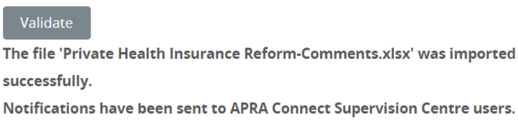
The file format is checked for import.
If the file is not in the correct format an error is display.



4. When the file is successfully validated, select **Notify APRA Connect Supervision Centre users** and click **Import**.



A successful import notification is displayed.

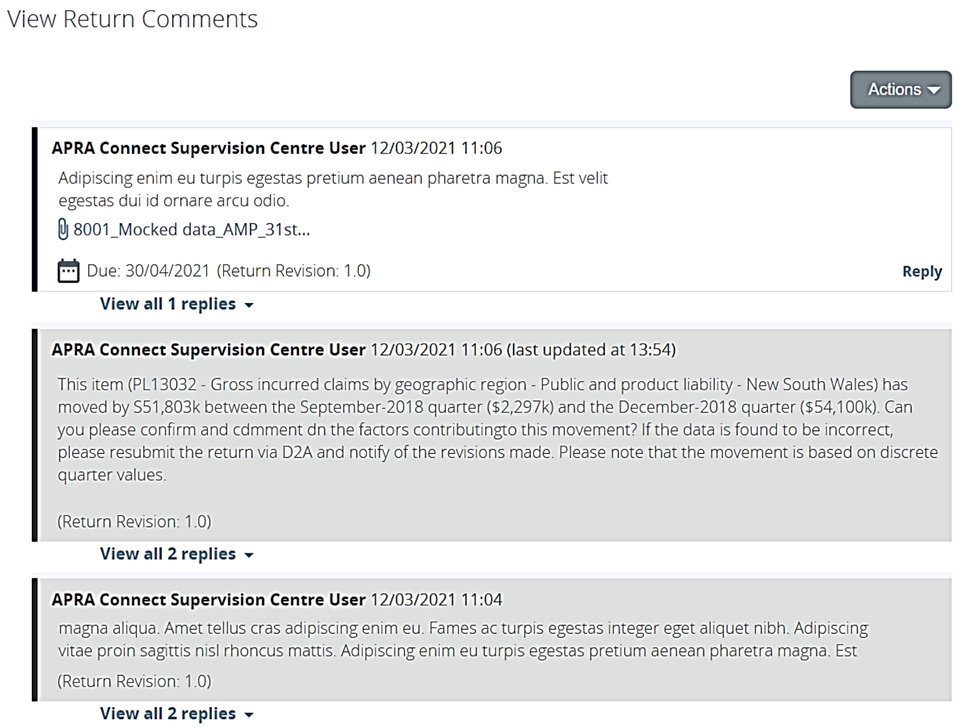


5. Click **Back** to return to the comments page.

7.5.3 Resolved queries

Any follow-up queries to your responses will be appended to the existing conversation thread.

When a query is considered resolved, it will be marked by APRA and it becomes viewable but inactive in the queries list.



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