

Guidance on reporting RF 520.0 and SRF 520.0 - Responsible Persons

The following guidance assists with Responsible Persons reporting in D2A for:

- ADIs, General Insurers, Life Insurance & Friendly Societies on RF520.0; and
- RSE Licensees on SRF 520.0.

When to report information on RF 520.0 and SRF 520.0

D2A Return and Reporting obligation	Purpose	Due date of return
RF 520.0 (as required under CPS 520)	To provide APRA with changes in Responsible Persons information	Within 28 days of any change or new appointment of a Responsible person ¹
SRF 520.0	To provide APRA with changes in Responsible Persons information	Within 14 days of any change or new appointment of a Responsible person


Accessing RF 520.0 and SRF 520.0 in D2A

The Responsible Persons return is generated in D2A on an annual basis. Please submit on this form throughout the year when changes to Responsible Persons appointments are to be advised to APRA. This form can be resubmitted as many times as required throughout the year.

Pre-fill functionality - remember to 'refresh'

The existing Responsible Persons sections of RF 520.0 and SRF 520.0 contain pre-fill functionality which is triggered when the return is 'refreshed' in D2A. This enables the return to be pre-filled with the existing Responsible Persons information recorded in APRA's database and allows entities to have access to their current list of Responsible Persons.

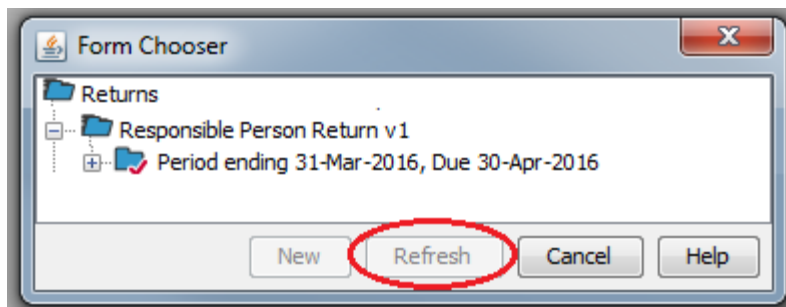
To refresh the return in D2A:

1. From the File menu select **New**, or click the **New**  toolbar button.



¹Appointments and cessations of both Appointed Actuaries and Appointed Auditors under section 46 of the *Insurance Act 1973* (Insurance Act) must be notified within 14 days. Appointments and cessations of Appointed Actuaries under section 95 of the *Life Insurance Act 1995* (Life Insurance Act) and of Auditors under section 87 of the Life Insurance Act must also be notified within 14 days.

2. On the Form Chooser, click **Refresh**



Further information on refreshing returns can be found in the 'requesting forms' section of the D2A help guide located at <http://www.apra.gov.au/CrossIndustry/Pages/D2A.aspx>

Reporting tips on RF 520.0 and SRF 520.0

- Always 'refresh' the return in D2A before making and submitting changes. A 'refreshed' return:
 - will not display existing responsible persons that have been end-dated in a previous submission; and
 - will not display responsible persons in the new responsible persons section. They will be listed in the existing responsible persons section.
- Always enter an end date for people 'no longer acting as a Responsible Person' in the existing Responsible Persons table. This will ensure that APRA's database is updated with the change in appointment and the person's details will no longer appear in the existing Responsible Persons table in future submissions.
- If a Responsible Person is appointed to more than one APRA-regulated entity, please be consistent with details such as position title, email and phone numbers as APRA records one profile per person in its database.
- In the existing Responsible Persons table, if the position of a responsible person has changed within the entity, the old role should be ended with the appropriate end date, and the new position should be notified with the appropriate start date in the new Responsible Persons table.
- For entities that have not made a change to RF 520.0 and SRF 520.0 in 12 months, APRA recommends that entities review their list of Responsible Persons in D2A on an annual basis to ensure that the information remains current.

Prudential Standards

- [CPS 520 Fit and Proper](#) (ADIs and Insurers)
- [SPS 520 Fit and Proper](#) (RSE Licensees)

Reporting Standards and Instructions

- [RF 520 Instructions](#) (ADIs and Insurers)
- [SRS 520 Responsible Persons Information](#) (RSE Licensees)