APRA'S NEW DATA COLLECTION SOLUTION

Implementation Plan

July 2019

This Implementation Plan for the new Data Collection Solution provides guidance for entities to assist in their preparation for transitioning to reporting using the new solution.

It includes information for reporting entities (entities), third-party administrators (Service Providers) and regulatory technology providers (RegTechs) about key changes to the submission of reporting data, technical specifications, APRA's expectation for entity readiness, testing and training.

As at 30 July 2019: The Implementation Plan has been substantially updated and expanded, with additional information about:

- extended project and implementation timeframes
- what is changing with the new solution
- technical specifications for using the new solution
- guidance for entity readiness

The Implementation Plan will be updated as new information becomes available. You can view the latest version on the website.

The first version of this plan was released in April 2019.

Contents

Implementing APRA's new Data Collection Solution

30 July 2019

"The new Data Collection Solution will be a modern, efficient and flexible solution which will serve APRA and industry for years to come. As we progress towards the go-live date, we will continue to consult and share information about our progress and support entities to prepare for the implementation."

Sean Carmody
Executive General Manager
Risk and Data Analytics

APRA is pleased to provide an update on our new Data Collection Solution. We are confident the new solution will provide an effective way for entities to submit data to APRA in the future.

Today's release is an update to the Implementation Plan for the new solution providing guidance to entities about the changes and how to prepare for the new solution. APRA issued the first version of this plan in April 2019.

Extension of implementation timeline

It is important to note from this update that APRA has chosen to extend the implementation timeline for the new solution further into 2020. We plan to make the test environment available in the first quarter of 2020, and go-live later in 2020. Confirmation of these revised dates will be provided by October 2019.

Since April 2019, APRA has been working closely with Vizor Software and Dimension Data to design and develop the new solution. We have been consulting with industry about the strategic direction and technical solution being implemented. It has become clear that additional time is needed for the transition to the new solution. Feedback from entities is that they are supportive of the additional time needed, and APRA will ensure entities can continue to report using Direct to APRA (D2A) after March 2020 until the new solution is finalised.

Additional information will be provided in coming months about:

- revised timelines
- myGovID authentication
- submission methods, including application programming interfaces (APIs)

- an additional module which will facilitate executive accountability regime requirements to APRA

Entity readiness is key to the successful implementation of the new solution, and APRA will continue to provide the industry with sufficient information and time to prepare for the new solution.

The transition to the new Data Collection Solution represents a significant step forward in APRA's future direction for data collection.

Next steps

APRA invites you to engage with us directly if you have any questions about preparing for the implementation of the new solution. We also expect entities to:

- view the Implementation Plan
- register for a webinar in mid-August for a walk through of the Implementation Plan and demonstration of the new solution features
- provide feedback on this Implementation Plan by completing a short survey
- encourage users in your entity to register for myGovID
- complete the ad hoc D2A form on your entity's current and intended future state submission methods (available 1-30 August 2019)

If you require any additional support, please email newdatacollectionsolution@apra.gov.au.

Yours sincerely,

Sean Carmody
Executive General Manager
Risk and Data Analytics

Summary of the Implementation Plan

APRA is changing how it collects data

APRA is undertaking a significant program to transform its data platform to provide a robust foundation for its evolving data collection, analysis and reporting needs. An integral component of the program is the replacement of APRA's current data collection platform, Direct to APRA (D2A), with a modern, efficient and flexible collection solution – the new Data Collection Solution.

This Implementation Plan provides guidance and important information for entities about the new solution

The information in this plan has been developed in consultation with established reference and working groups. It provides direction for the transition to the new solution and key milestones, as well as detailed information to help entities plan and mobilise. APRA will release additional information to assist entities in the transition to the new solution.

The new Data Collection Solution will change how entities submit data

A summary of what is changing and what is not changing in the new solution, as well as important technical information and specifications, is set out in What is the new Data Collection Solution.

Reporting obligations and due dates will remain as they are in D2A at go-live. However, several changes have been included in the new solution design to create greater consistency and accuracy.

The new solution is the beginning of APRA's new approach to collecting data

The new solution will enable changes to the way APRA collects data to meet evolving regulatory requirements. APRA will continue to consult on all new reporting requirements. In the future, APRA will review and potentially revise current forms and consider the best way to structure future collections. Read more about APRA's future direction for data collection.

APRA will provide an update on the revised implementation timelines by October 2019

APRA has revised the implementation timeframes as outlined in Implementation approach and timing, which also includes APRA's approach to managing implementation risks.

- The go-live date has moved from March 2020 to later in 2020
- APRA will provide information and time for entities to prepare for the transition and plans to provide a test environment in the first quarter of 2020
- APRA will continue to engage with established reference and working groups and industry bodies throughout the transition

Entity readiness is key to the successful implementation of the new solution

Entities need to prepare for the new solution to ensure they continue to meet their reporting obligations. Between now and go-live, there are four readiness stages with specific actions for entities to complete at each stage. A Readiness checklist is provided.

- Phase 1: Mobilisation
- Phase 2: Testing and familiarisation
- Phase 3: Pre go-live
- Phase 4: Go-live and onwards

Engage with APRA

APRA will hold a series of webinars to walk through the Implementation Plan and demonstrate the new solution features. This will be an opportunity for entities to ask questions about the new solution and implementation timeline. Register for a webinar.

APRA welcomes feedback from interested parties. Entities are encouraged to provide feedback on this Implementation Plan by completing a short survey.

APRA requires entities to complete the ad hoc D2A form (available 1- 30 August 2019) to provide information about entity data submission practices. The information collected in this ad hoc form will assist APRA's understanding of entity current and future submission methods to inform the prioritisation of forms and functionality released in the test environment.

For additional support, please email newdatacollectionsolution@apra.gov.au.

1. What is the new Data Collection Solution?

The new Data Collection Solution will be a secure, web-based solution for users to submit data and upload supporting documents to meet APRA's reporting requirements. The new solution will provide a better and simpler user experience. Service Providers will still be able to submit data on behalf of entities.

Benefits of the new solution

Easier to use: The new solution will have a modern, intuitive user interface with more options for data submissions.

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

Adaptable to future needs: The new solution will adapt as reporting requirements, data analytics and technology evolve and will provide greater flexibility for automation of data submission.

What will change at go-live

The new solution will deliver improved functionality in line with industry recommendations. This will ensure both entities and APRA are well placed to continue to meet evolving regulatory needs. APRA aims to minimise the impact of these changes to entities at go-live.

What are the key changes?

- The use of standard web browsers to access the solution
- myGovID will replace AUSkey as the authentication solution to provide a secure way to access the new solution
- Entities will be responsible for identifying and registering users who can access the solution to submit data to APRA, including Service Providers

The tables below outline what will change in the new solution.

What is not changing?

- Reporting obligations and schedules will remain the same at go-live
- Data collected in existing returns and forms will remain the same at go-live
- Entities will still be able to submit data through existing submission methods via manual entry, XML and XBRL
- The logic from current validation rule formulas in D2A will be reproduced in the new solution

Access to the new solution

Entities will be able to access the new solution through a web-based portal and manage user access.

Solution feature	What will change
Web-based portal	• Standard web browsers will be used to access the new solution and no additional software will be required • Menu-driven navigation, including a document library for easier access to relevant documents (e.g. user guides) • Homepage notifications will flag upcoming reporting obligations and due dates, return-specific communication from APRA and submission receipts
Multiple user roles	• Entities will be responsible for registering and managing user access. Principal Users will be responsible for submitting data and creating access for Secondary Users and Service Providers. See below for more details
New authentication method	• myGovID will replace AUSkey to authenticate users and provide secure access to the solution. See below for more details

Data submission and validation

Entities will be able to submit data via multiple submission methods and formats as well as upload supporting documentation.

Solution feature	What will change
Multiple data submission methods	• Submission via email, mail or fax will no longer be accepted • XML and XBRL files must be saved with the correct file extension (i.e. .xml or .xbrl) to be accepted by the new solution. Currently D2A accepts XBRL files that are saved as .xml. Note: Submission via Microsoft Excel is currently not available in D2A and will not be available at go-live. See below for more details and about submission via Application Programming Interface (API)
Copying data for manual submissions	• For manual submissions, copy and paste functionality will only work for single cell values. This means that entire tables can no longer be copied across
Ability to save draft returns	• Users will be able to save, view and share draft returns and locate them easily in the portal
Upload supporting documents	• Users can upload documents to support a return submission, e.g. ICAAP Declarations
Provide supporting information for error / warning messages	• Entities will be able to upload files or supporting information for a return to explain warning messages triggered in the new solution, in addition to adding free-text commentary
Application of validations and accepted values	• In D2A, various synonyms and associated terms were accepted, however these will no longer be accepted. See below for more details
Standardised data model and single contact database	• The solution will include the executive accountability regime requirements by introducing a single repository of contacts and accountable persons that will be accessible by entities and APRA. Entities will be responsible for updating their contact information using the new solution

Data resubmission

Requests for resubmission of data will occur within the new solution.

Solution feature	What will change
Requesting resubmissions, extensions or exemptions	• Entities will be able to request resubmissions, extensions and form exemptions via the new solution • Resubmission requests made before the return due date will be automatically approved and the return will become available for resubmission immediately • Resubmission requests made after the return due date may be reviewed and assessed by an APRA administrator
Data retrieval	• Users will be able to export data from returns into PDF or download the original file uploaded into the solution (i.e. XML or XBRL)
Data migration from previous periods	• APRA will migrate up to three years' worth of entity-submitted data. If resubmissions are required, entities will be able to resubmit forms without needing to re-enter all data • For forms with cross-period validations, APRA will migrate additional data to enable this

More details

Multiple user roles

The new solution has four user roles. The user roles define the level of access the user has to draft, upload or submit the return, and there is no limit on the number of users per role. Entities should be aware that granting access to a user enables them to view past and present data, in addition to editing submissions.

User role	Description
Principal User	APRA requires at least one Principal User for each reporting entity. The Principal User will be responsible for the following: • creating access for other Principal Users, Secondary Users and Service Providers • managing user access to ensure users remain current. This involves updating Principal and Secondary Users when the user departs the organisation • draft and submit returns
Secondary User	Secondary Users have the ability to draft returns into the new solution in preparation for submission, however cannot submit the return
Service Provider	The Service Provider role is for third-party administrators who submit on behalf of an entity. This role will be able to draft, upload and submit the return
Corporate Profile User	Corporate Profile Users have the ability to edit the corporate profile information

APRA will engage with entities prior to the start of the test environment to collect the details of the Principal Users from each entity. It is the entity's responsibility to provide this information to ensure users can access the new solution. Entities will also be responsible for validating the Principal Users prior to go-live and advising APRA of any updates.

New authentication method

The new solution will be integrated with the Australian Taxation Office (ATO) myGovID and Relationship Authorisation Manager (RAM) authentication solution, the whole-of-government replacement for AUSkey. Users within entities will need to obtain their own myGovID credentials in order to use the new solution.

Find out more information on myGovID (including instructions on how to set up a myGovID, identification requirements and device compatibility) and RAM.

Submission via Microsoft Excel

Following the review of existing data collections, APRA has determined that it will not be feasible to accept Microsoft Excel files for existing D2A collections currently submitted in manual, XML or XBRL format. APRA will consider Microsoft Excel in the future as part of ensuring fit-for-purpose submission methods are used for new data collections. APRA encourages entities to shift from manual to file-based submission methods.

Submission via Application Programming Interface (API)

Additional functionality to allow entities to submit via APIs is planned and the availability of this functionality will be confirmed at a later stage. APRA is currently reviewing the details and working closely with the ATO on the rollout of the Machine to Machine (M2M) credential which is a dependency for API. Further information will be made available at a later stage.

Find out more about Machine to Machine authentication.

Application of validations and accepted values

D2A accepts values which fall outside the allowed Standard Business Reporting taxonomy values, however the new solution will not accept values which deviate from these.

Entities who have paraphrased the drop-down menu categories will find that their current XML or XBRL file will no longer be an accepted validation in the new solution. For example, a drop-down menu with categories "Tier 1, Tier 2, Tier 3" and entities that report "1, 2, 3" instead will no longer be accepted.

Technical information - technical specifications

The following table outlines the technical specifications for the new solution. Further specifications will be provided as APRA finalises the solution design.

	Specification
Web browsers The new solution is compatible with selected web browsers and versions (as at July 2019)	Google Chrome • V75.0.3770 (current version) • V74.0.3729 • V73.0.3683
	Microsoft Internet Explorer • Internet Explorer 11
	Microsoft Edge • V44.18362.1.0 (current version) • V44.17763
	Mozilla Firefox • 67.0.4 (current version) • 67.0.3
	Safari • 12.1.1 (current version) • 11.1.2 • 10.1.2
Operating system	The new solution does not depend on the operating system, provided the web browser is supported.
Screen resolution	1920 x 1080 pixels or higher
Adobe Acrobat Reader	Version 7.0 and above
Accepted file submission formats	Manual entry, XML and XBRL
Accepted file formats for supporting document uploads	XLS, XLSX, CSV, DOC, DOCX, PDF, PPT, PPTX and ZIP
File size update	30 MB (existing channels will continue for larger files)
Sample XML and XBRL form	This will be provided when available
Domain Name System (DNS)	DNS for the new solution to enable entities to configure firewalls will be provided at a later date
API technical specification	This will be provided when available

Technical information - information security

All information collected through the new Data Collection Solution will be encrypted in transit and at rest in both the test and production environments. This applies to all interactions with, and functions of the new solution including user authentication and access, transmission of entity returns and storage of submitted data.

Data storage

Data provided by entities will remain within Australia and the new solution will be hosted within APRA's data centres in Australia.

Information Security Registered Assessors Program (IRAP) Assessment

APRA is engaging with an independent party to conduct an Information Security Registered Assessors Program (IRAP) assessment, to ensure compliance with the Australian Government Information Security Manual. This process will assess whether the new solution's security controls are appropriate and effective, and will identify if any security deficiencies exist. Identified deficiencies will be remediated prior to go-live. APRA will also ensure the new solution successfully passes a vulnerability assessment and penetration test.

Security standards and guidance

APRA requires reporting entities to comply with the Prudential Standard CPS 234 Information Security, and take the necessary measures to be resilient against information security incidents. This includes protecting sensitive data in non-production environments (i.e. test environment). Entities are responsible for maintaining a secure environment when accessing the new solution from their own environment.

Draft data is stored in APRA's database

Once data is uploaded into the new solution, it is visible to APRA. This means that draft data uploaded, or data partially completed and saved in APRA's database (as part of the solution) is accessible by APRA. However, this data will not be readily viewed by APRA and APRA will not use any data or information saved as draft for supervisory purposes.

2. APRA's future direction for data collection

The new Data Collection Solution is the beginning of APRA's new approach to collecting data. As APRA consults with industry on new reporting requirements to meet evolving regulatory needs over the next few years, APRA will take new approaches to data collection. This section outlines the future changes that APRA is considering so that entities can factor these changes into their planning for the transition to the new solution.

Prepare for future regulatory collections

APRA will continue to consult with industry on new and revised regulatory data collections. These include:

- Authorised Deposit-Taking Institutions: New collection in line with *Prudential Standard APS 220 Credit Quality*
- Private Health Insurance: New collection to support the assessment of the Australian Government's private health insurance reforms
- Superannuation: New collection to support enhancements to superannuation data
- Insurance: New collection to support the adoption of International Financial Reporting Standards (IFRS 17)

The new solution will enable changes to the way the data is collected, such as shifting to structured data sets rather than tabular forms. During consultation with industry, APRA will review the current forms and the best way to structure the collection of data in the future.

With each new and revised reporting requirement, APRA plans to consult on a move from the historical practice of collecting information scaled to the nearest million or thousand, to collecting whole numbers. APRA adopted this approach with the ADI *Economic and Financial Statistics Collection* that came into effect in 2019. APRA considers that this change will remove intermediate data processing steps for both reporting entities and for APRA and enable reporting entities to streamline aspects of their data preparation process.

More granular data to support supervision

The new solution will enable more detailed, granular collections in key risk areas to better inform supervision. This is currently not possible with D2A. For example, APRA outsourced the collection of the National Claims and Policies Database for general insurers due to the limitations of D2A. APRA is currently taking steps in this direction by partnering with ASIC on data collection topics of joint interest, including ASIC's recurrent data collection pilot of loan level information on residential mortgages.

Fit-for-purpose submission channels

With D2A, APRA allowed reporting entities to choose their submission channel – manual entry, XML or XBRL. Even for the most complex reporting requirement, some entities use a manual entry approach.

The new solution provides APRA with a platform to design future collections using the most appropriate submission method depending on the data required. Simple reporting requirements may still be appropriate as manual or simple submission methods, such as a Microsoft Excel template. However, more complex reporting requirements, and larger data collections would be more appropriate to be reported as data files without any tabular layout. This means that many data collections in the future may no longer be tabular forms and may not have a manual entry option.

Transition to greater automation of submissions

APRA's move towards file-based submission formats for larger, detailed reporting requirements is an opportunity for entities to increasingly automate their reporting. This includes using APIs for data submission. Entities may require assistance with this shift and APRA encourages RegTechs to innovate and provide solutions to support entities to meet their reporting obligations in a more automated way which promotes productivity and efficiency gains.

3. Implementation approach and timing

APRA is managing a complex solution design, project schedule and a wide range of internal and external risks and interdependencies

APRA is taking a measured approach to implementing the new Data Collection Solution. Part of this approach involves considering entity readiness for adoption of the new solution, data feeds to other government agencies and the replacement of the whole-of-government authentication tool – AUSkey.

Originally scheduled for March 2020, the go-live date for the new solution will now be later in 2020

APRA assessed the feasibility of the previously advised go-live date of March 2020 considering project complexities identified in the design phase, additional scope, external dependencies as well as industry feedback. The go-live date for the new solution will now be later in 2020.

D2A will remain available after March 2020 to ensure entities can continue to meet their reporting obligations while the new solution is being finalised. APRA remains committed to consulting with industry and providing regular updates on further key decisions.

APRA will provide time for entities to prepare for the transition

APRA is committed to providing entities with time to prepare for the transition including the provision of a testing environment to enable their readiness. All reporting entities will need to be ready to use the new solution by the go-live date to ensure they meet their reporting obligations. APRA will not grant extensions to entities that are not prepared for transition to the new solution, and the option to submit via email, mail or fax will no longer be available.

APRA will continue to engage with established external advisory groups and industry bodies throughout the transition

APRA will continue to engage with the Strategic Industry Reference Group (SIRG) and Technical Working Group (TWG) as advisory groups representing industry preferences and perspectives on the implementation and transition to the new solution. Additionally, APRA will continue to engage with the Software Vendor Working Group (SVWG) to ensure the RegTech community is actively involved in the transition to the new solution. APRA will also continue to work closely with industry bodies and provide regular updates to communicate key information to entities. This will ensure that industry preferences and risks are carefully considered throughout the transition to the new solution.

Managing implementation risks

As with all large-scale technology-related projects, APRA is committed to managing and mitigating risks. APRA has a risk management framework in place with assurance processes to ensure risks are considered and appropriate mitigation plans and contingencies are in place.

Since commencing design in April 2019, APRA has identified additional complexities relating to the constraints built into D2A as well as the dependencies of critical applications. As a result, APRA has decided to revise the target date for both go-live and the availability of a fully secure test environment. APRA will provide additional information by October 2019 about the revised go-live date and the date when the test environment will be available. APRA will continue to work closely with the SIRG and TWG advisory groups to discuss key risks and mitigation strategies.

APRA will ensure D2A remains available after March 2020 so that entities can meet their reporting requirements until the new solution is finalised. APRA is working closely with the ATO for the rollout of the new whole-of-government authentication method, myGovID to align timelines and reduce risk for the commencement of the testing and go-live. Further information will be provided at a later date.

4. Prepare for the new solution

Entity readiness is key to the successful implementation of the new Data Collection Solution and each entity is responsible for managing their own readiness. Being ready for transition is essential because there will be no production parallel run between D2A and the new solution.

Entity readiness phases

APRA is committed to supporting entities and providing information to prepare for the transition. There are four readiness stages with specific actions for entities to complete at each stage. APRA will continue to monitor entity readiness across the four phases of the implementation period.

The four phases of readiness are:

1. Mobilisation

2. Testing and familiarisation

3. Pre go-live

4. Go-live and onwards

The Readiness checklist provides an outline of the key entity readiness activities. A more detailed checklist will be provided to entities at a later date.

Read more about the Test environment

Read more about Training and support

Phase 1: Mobilisation

Entities will need to understand what is changing and plan their transition to the new solution. This will ensure entities continue to meet their reporting obligations once the new solution is live.

Phase outcome: Entities understand the testing approach, timeline and the steps required to prepare for the transition to the new solution.

APRA will:

- Conduct webinars about the new solution (August 2019)
- Release additional information including further technical specifications, sample forms, testing schedule and detailed readiness checklist
- Provide demonstration videos and reference guides

Entities should understand:

- What is changing and what is not changing as a result of the new solution
- Any potential impacts to entity submission processes, and the need to commence planning ahead of the transition
- The process to provide Principal Users to APRA in order to access the test environment

Entities are expected to:

- Plan and allocate resources to facilitate the transition to the new solution (if required)
- Register for webinar sessions on the new solution
- Encourage users to register for myGovID
- Provide Principal User details to APRA to access the test environment (process to be communicated at a later date)
- Provide information on data submission practices via the ad hoc D2A form (available 1-30 August 2019)
- Provide additional entity contacts for all individuals who should receive communications about the new solution
- Read the supporting material to build knowledge of the test environment
- Review sample XML and XBRL forms to align to the new solution

Phase 2: Testing and familiarisation

A test environment with selected functionality will be made available. APRA expects all entities, Service Providers and RegTechs to familiarise themselves and build confidence with the new solution, ensuring they are able to submit returns as a test prior to go-live.

Phase outcome: Entities have accessed the test environment, familiarised themselves with the functionality and are confident operating and submitting data through the new solution.

APRA will:

- Release a testing schedule and available functionality in the test environment
- Provide support during the test environment

Entities should understand:

- How to access the test environment, use and navigate through the new solution to build confidence and practice submitting data ahead of go-live
- Available support channels and materials for assistance

Entities are expected to:

- Log into the test environment using myGovID authentication
- Leverage reference guides for submission processes in the test environment
- Provide feedback on issues and solution improvements

Phase 3: Pre go-live

To ensure entities are ready to adopt the new solution and meet their reporting requirements, additional training materials will be provided.

Phase outcome: Entities are on track with the readiness activities, and are confident in meeting the go-live requirements.

APRA will:

- Provide additional training and support materials to support the use of the new solution
- Ensure the test environment continues to be available

Entities should understand:

- The process to validate or update Principal Users to access the solution at go-live
- How to access end-user training

Entities are expected to:

- Complete end-user training
- Perform parallel testing: Replicate D2A submission in the test environment prior to go-live
- Review readiness checklist to ensure all activities have been completed prior to go-live
- Validate or update the Principal Users in preparation for go-live

Phase 4: Go-live and onwards

Entities will transition from using D2A to the new solution and APRA will continue to provide support post go-live.

Phase outcome: Entities have the capability required to fulfil reporting obligations and submit returns through the new solution.

APRA will:

- Provide additional support during the initial implementation period to assist entities with technical issues and provide guidance on functional queries

Entities should understand:

- Support available from go-live onwards, including the channels for assistance
- The implementation of the new solution is APRA's first step towards the future of data collection

Entities are expected to:

- Authenticate via myGovID and log into the new solution
- Submit returns and fulfil reporting obligations
- Provide feedback on issues and solution improvements

Test environment

APRA plans to release a test environment in the first quarter of 2020 for entities, Service Providers and RegTechs to become familiar with the solution. APRA expects all entities to use it. The availability of a secure test environment is an important component of the implementation approach to supporting entity readiness for go-live. The test environment will continue to be available after the new solution is live for testing and training purposes. The test environment will enable entities, Service Providers and RegTechs to:

- familiarise themselves with the features and functionalities of the new solution
- identify any changes required to existing systems and processes
- build confidence that they can successfully submit data as a test prior to go-live

Further information on the test environment, including the release date will be provided by late 2019.

Access to the test environment using myGovID

Users will be required to obtain a myGovID authentication to access the Data Collection Solution test environment.

More information about myGovID.

Functionalities and returns in the test environment will be released in phases

The test environment will provide entities with a range of functionalities and returns prior to go-live. An indication of what will be available at the start of the test environment is provided below. APRA will progressively release additional functionality and returns. The information collected in the ad hoc D2A form on data submission practices will be used to inform the prioritisation of forms and functionality.

Proposed functionality (first test release)

- User authentication
- Data submission (manual, XML and XBRL)
- Homepage and solution notifications (non-email notifications)
- Resubmissions (without historical data)
- Ad hoc returns

Proposed returns (first test release)

APRA has selected the following returns to ensure coverage across industries:

- Authorised Deposit-Taking Institutions and Registered Financial Corporations: Monthly Economic Financial Statistics Return 1
- General Insurance: General Insurance Quarterly Return (Licensed Insurer)
- General Insurance Intermediaries: GI Intermediary Semi-Annual Return
- Life Insurance and Friendly Societies: Prescribed Capital Amount Quarterly Return
- Private Health Insurance: Statistical Data by State Quarterly Return
- Superannuation: Superannuation Quarterly Return (RSE)

View the full list of forms within each return.

Entities are encouraged to develop their own test cases

The test environment will allow entities to trial the new solution prior to go-live. Entities have the flexibility to test the functionality and returns that are most relevant to them. APRA will provide guidelines for testing and expects entities to develop relevant test cases.

Test environment security and performance

Information collected through the test environment will be encrypted in transit and at rest as defined by the Australian Government Information Security Manual. This applies to all interactions with and functions of the new solution. It includes user authentication and access, transmission of entity returns and storage of submitted data. The data uploaded in the test environment will be secure and will not be accessible by other entities using the test environment.

Find out more about information security.

Training and support

APRA will provide access to training and support materials to help entities, Service Providers and RegTechs use the new Data Collection Solution.

Users will require training at two key milestones during the implementation:

- prior to the release of the test environment
- prior to go-live

At these points in time, a range of training modules will be provided to help users understand the functions of the solution and increase familiarity ahead of interacting with the solution.

Training modules

APRA recognises that entities' interactions with the new solution will differ based on varying organisational processes and roles as well as the submission channel and format (e.g. manual entry, file upload, outsourcing to a service provider). As a result, training will be developed and delivered in modular packages. Modular training will enable users to easily access relevant content and only complete the minimum required learning for their role.

APRA plans to develop the following training modules:

Proposed modules	Training outcome
Authentication using myGovID	To understand how users can set up their authentication credentials (leveraging ATO materials)
Solution navigation	To understand the functions available in the solution including notifications and how to navigate around the solution
User administration and access management	To understand how to set up users in the solution, assign appropriate user roles and manage user access
Submission via manual entry	To understand the process for drafting and submitting returns via manual entry including responding to validation messages
Submission via file upload	To understand the process for drafting and submitting returns via XML and XBRL file uploads including responding to validation messages
Use of API for submissions	To understand the API capabilities in place and how to utilise them
Resubmissions	To understand the process for resubmitting returns
Requests and supporting information	To understand how to submit requests to APRA and provide supporting information

These modules will form the basis of the training curriculum, however this suite of training modules will be revised and added to as needed. APRA will also provide reference materials to support users with the transition (e.g. key differences between D2A and the new solution, sample submission files).

Training delivery

APRA will mainly use online self-paced training due to the wide geographical distribution of reporting entities, Service Providers and RegTechs. This will provide greater flexibility for entities to access the training at convenient times. Other training (including recorded webinars) will be provided for broader education and engagement.

While the training provided before the release of the test environment and before go-live will broadly cover similar topics, the format and depth of the content may differ.

To prepare for the test environment, it is anticipated that APRA will provide videos to demonstrate the key processes. These videos will provide an overview of how to navigate the solution to perform certain activities (e.g. submit a return via manual entry). Each video will be accompanied by a step-by-step user guide. The scope of these training materials will be in line with the functionalities available in the test environment.

In preparation for go-live, APRA will provide more detailed modules aligned to the same core processes related to data submission. It is anticipated that these online modules will include step-by-step simulations for key process areas.

Support available

During the transition, APRA will provide support to respond to entity queries and any solution issues as they arise. APRA will also continue to support entities after go-live as they adopt the new solution.

APRA will provide entities with access to support materials such as quick reference guides and FAQs to help resolve any functional and transitional questions. A series of webinars will be also organised for entities and service providers throughout the mobilisation period to demonstrate the new solution and provide further information.

APRA will also maintain the existing D2A Helpdesk phone and email support during standard working hours (9am to 5pm, Eastern Standard Time) Monday to Friday, for entities to ask questions and request assistance during testing and the transition to the new solution. Entities should contact the D2A Helpdesk if they experience any technical or functional issues in the test environment. All issues encountered during testing will be logged for resolution prior to go-live.

APRA plans to provide extended support hours during the initial implementation period (the first few months post the go-live date and leading up to reporting due dates in the subsequent months) to assist with entities' technical issues and to provide guidance on functional queries. Further information on post go-live support will be provided at a later stage.

Appendix one: Readiness checklist

Phase 1: Mobilisation

Entities will need to understand what is changing and plan their transition to the new solution. This will ensure entities continue to meet their reporting obligations once the new solution is live.

Entities are expected to:

- ☐ Plan and allocate resources to facilitate the transition to the new solution (if required)
- ☐ Register for webinar sessions on the new solution
- ☐ Encourage users to register for myGovID
- ☐ Provide Principal User details to APRA to access the test environment (process to be communicated at a later date)
- ☐ Provide information on data submission practices via the ad hoc D2A form (available 1-30 August 2019)
- ☐ Provide additional entity contacts for all individuals who should receive communications about the new solution
- ☐ Read the supporting material to build knowledge of the test environment
- ☐ Review sample XML and XBRL forms to align to the new solution

Phase 2: Testing and familiarisation

A test environment with selected functionality will be made available. APRA expects all entities, Service Providers and RegTechs to familiarise themselves and build confidence with the new solution, ensuring they are able to submit returns as a test prior to go-live.

Entities are expected to:

- ☐ Log into the test environment using myGovID authentication
- ☐ Leverage reference guides for submission processes in the test environment
- ☐ Provide feedback on issues and solution improvements

Phase 3: Pre go-live

To ensure entities are ready to adopt the new solution and meet their reporting requirements, additional training materials will be provided.

Entities are expected to:

- Complete end-user training
- Perform parallel testing: replicate D2A submission in the test environment prior to go-live
- Review readiness checklist to ensure all activities have been completed prior to go-live
- Validate or update the Principal Users in preparation for go-live

Phase 4: Go-live and onwards

Entities will transition from using D2A to the new solution and APRA will continue to provide support post go-live.

Entities are expected to:

- Authenticate via myGovID and log into the new solution
- Submit returns and fulfil reporting obligations
- Provide feedback on issues and solution improvements

Appendix two: Forms proposed to be available in the test environment (proposed for first test release)

Authorised Deposit-Taking Institutions and Registered Financial Corporations: Monthly Economic Financial Statistics Return 1

ARF_720_0A
ARF_720_0B
ARF_720_1A
ARF_720_1B
ARF_720_2A
ARF_720_2B
ARF_720_3
ARF_720_4
ARF_720_6
ARF_720_7

General Insurance: General Insurance Quarterly Return (Licensed Insurer)

GRF_110_1
GRF_112_0
GRF_112_3
GRF_114_0
GRF_114_1
GRF_114_2
GRF_114_3
GRF_114_4
GRF_115_0
GRF_115_1
GRF_116_0
GRF_116_1
GRF_116_2
GRF_116_3
GRF_116_4
GRF_116_5
GRF_117_0
GRF_118_0
GRF_300_0_L
GRF_310_0_L
GRF_310_1_L
GRF_310_2_L
GRF_310_3_L

GRF_400_0_L
GRF_420_0_L
GRF_430_0_L

General Insurance Intermediaries: GI Intermediary Semi-Annual Return

FORM_701_0

Life Insurance and Friendly Societies: Prescribed Capital Amount Quarterly Return

LRF_110_1
LRF_110_2

Private Health Insurance: Statistical Data by State Quarterly Return

HRF_601_1_1
HRF_601_1_2
HRF_601_1_3
HRF_601_1_4
HRF_601_1_5
HRF_601_1_6
HRF_601_1_7
HRF_601_1_8

Superannuation: Superannuation Quarterly Return (RSE)

SRF_160_1
SRF_320_0
SRF_330_0
SRF_410_0
SRF_530_0
SRF_531_0
SRF_532_0
SRF_720_0
SRF_721_0
SRF_722_0

APRA