



# APRA Connect Guide

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# Chapter 1 - Getting Started with APRA Connect

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## 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.

### 1.2.1 Technical Specifications

Please refer to the APRA Connect page on the APRA website for all APRA Connect [technical specifications](#).

### 1.2.2 Information Security

Please refer to the APRA Connect page on the APRA website for details of APRA Connect [data security](#).

## 1.3 Authentication

### 1.3.1 myGovID & RAM

APRA Connect is integrated with the Australian Government's [myGovID](#) and [Relationship Authorisation Manager](#) (RAM) authentication solution.

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

Service	Description
myGovID	myGovID is your personal digital identifier and enables you 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.

Service	Description
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 myGovID 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 Standard and Basic myGovID 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 published materials to find out more about [myGovID](#) 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.

### 1.3.2 New users

When a user first [navigates](#) to an APRA Connect environment (i.e. the production or test environment), they must be authenticated through myGovID. Upon successful authentication through myGovID, 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.

## 1.4 Accessing APRA Connect

### 1.4.1 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>.

### 1.4.2 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.

### 1.4.3 Logging into APRA Connect

When you access either of the APRA Connect environments, click the **Log in with myGovID** button to be redirected to myGovID.



Once authenticated through myGovID you will be returned to APRA Connect and logged in.

If you are a [new user](#), you must be assigned your applicable roles by a Regulatory Reporting Administrator.

#### *myGovID timeout*

myGovID 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.

#### **1.4.4 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.

### **1.5 Getting Help**

#### **1.5.1 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](mailto:support@apra.gov.au)

#### **1.5.2 Additional feedback and questions**

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

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 enquiries about completing forms, please contact APRA by emailing [dataanalytics@apra.gov.au](mailto:dataanalytics@apra.gov.au).

#### **1.5.3 myGovID and RAM help**

For help with myGovID or Relationship Authorisation Manager (RAM), please refer to the [myGovID help page](#) or contact the support line on 1300 287 539 (select option 2 for myGovID enquiries), Mon-Fri 8:00 am – 6:00 pm AEST.

# 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 <a href="#">regulatory returns</a> , and to create <a href="#">ad hoc</a> and <a href="#">corporate</a> returns.

Option	Description
<b>Documents</b>	Opens the Documents page, which will be used to share documents on an ad hoc basis.
<b>Company Profile</b>	Opens the Company Profile page where you can view the information held by APRA about your organisation. Refer to <a href="#">Company Details and Corporate Profile Returns</a> for more details.
<b>Users</b>	Only available to those with the Regulatory Reporting Administrator role, to <a href="#">manage the user roles</a> 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 <a href="#">My Details</a> 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
<b>Home</b>	Shift+H
<b>Manage Returns</b>	Shift+D
<b>Submission History</b>	Alt+Ctrl+H
<b>Create Return</b>	Alt+Ctrl+C
<b>Documents</b>	Shift+X
<b>Company Profile</b>	Shift+C
<b>Users</b>	Alt+Ctrl+E
<b>View/Edit My Details</b>	Shift+M
<b>Help</b>	Shift+I
<b>Log Out</b>	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.

Name	Reference	Revision	Categories	Status	End date	Due date	Actions
<a href="#">RSE Structure Preview</a>	SUP_STRUCT_PRE00055	<a href="#">0.1</a>		No Data	22/02/2021		 
<a href="#">Member accounts</a>	SUP_MEMACO0041	<a href="#">0.1</a>		No Data	31/12/2020	31/03/2021	

### 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.

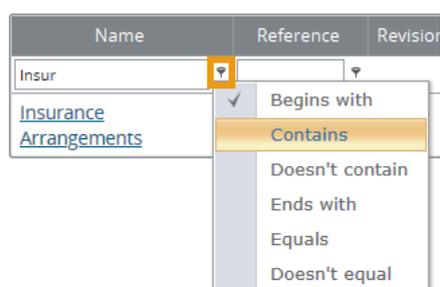
Delete or clear search criteria to display all list entries.

#### *Free text fields*

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

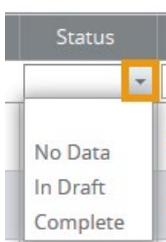
The default searches for entries beginning with the entered characters.

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

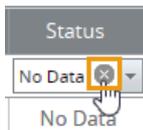


#### *Predefined lists*

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



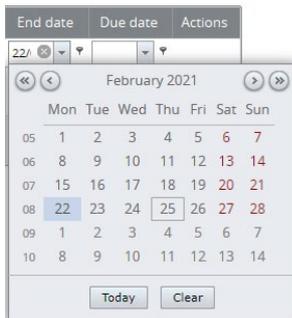
To clear the field, either select the empty list item or click the cross icon.



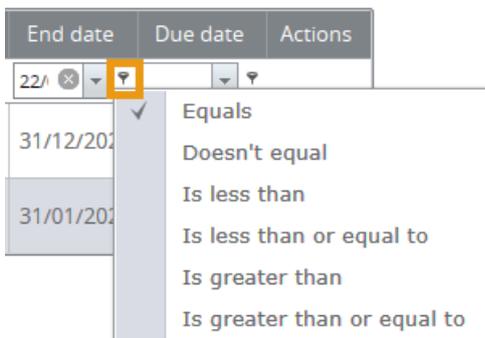
## Dates

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

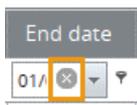
The default searches for the exact date selected.



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 myGovID/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**.

My Details

#### Edit My Details

Please, note, that you can update either the Email address or the Telephone number at a time and to update both, you would need to logout and login again.

Review your user account details below. To update, please enter new details and click the update button.

First name:	<input type="text" value="Taylor"/>	Locked Due to Permission Settings
Surname:	<input type="text" value="Secondary"/>	Locked Due to Permission Settings
Email address:	<input type="text" value="taylor@ample.com.au"/>	Locked Due to Permission Settings
Telephone number:	<input type="text" value="02"/> <input type="text" value="9246 2100"/>	*
	<small>Area code</small>	<small>Number</small>

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**.



Assigned to	Type	Roles
Ample Entity Ltd	Company	<a href="#">Portal - Regulatory Reporting Preparer</a>

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 myGovID 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 Administrator. 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
<b>Regulatory Reporting Administrator (RRA)</b>	<p>Responsible for:</p> <ul style="list-style-type: none"> <li>granting access to other RRAs, Preparers, and Service Providers.</li> <li>managing user roles and permissions to ensure users remain current. This involves updating users' permissions when a user departs the organisation.</li> </ul> <p>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.</p> <p>RRAs are able to complete and submit returns.</p> <p>Users in this role will receive notifications pertaining to upcoming return due dates, Late Notices, and the availability of data queries.</p>
<b>Regulatory Reporting Preparer</b>	<p>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.</p> <p>Refer to <a href="#">Automatic submission of validated returns</a> for information about automatic submission of uploaded data.</p>
<b>Service Provider</b>	<p>Able to enter data, upload files, validate and submit returns.</p> <p>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.</p>
<b>Corporate Profile User</b>	<p>Able to edit <a href="#">corporate profile</a> information, including Responsible Persons and Accountable Persons. No other roles will be able to view this information.</p>
<b>Ad hoc return permissions</b>	<p>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.</p> <p>This permission is also required for superannuation entities to create these <a href="#">ad hoc returns</a> outside the standard reporting cycle; RSE Structure, Fees and Costs, and Insurance Arrangements.</p> <p>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.</p>

The following diagram illustrates how each role can interact with the system.

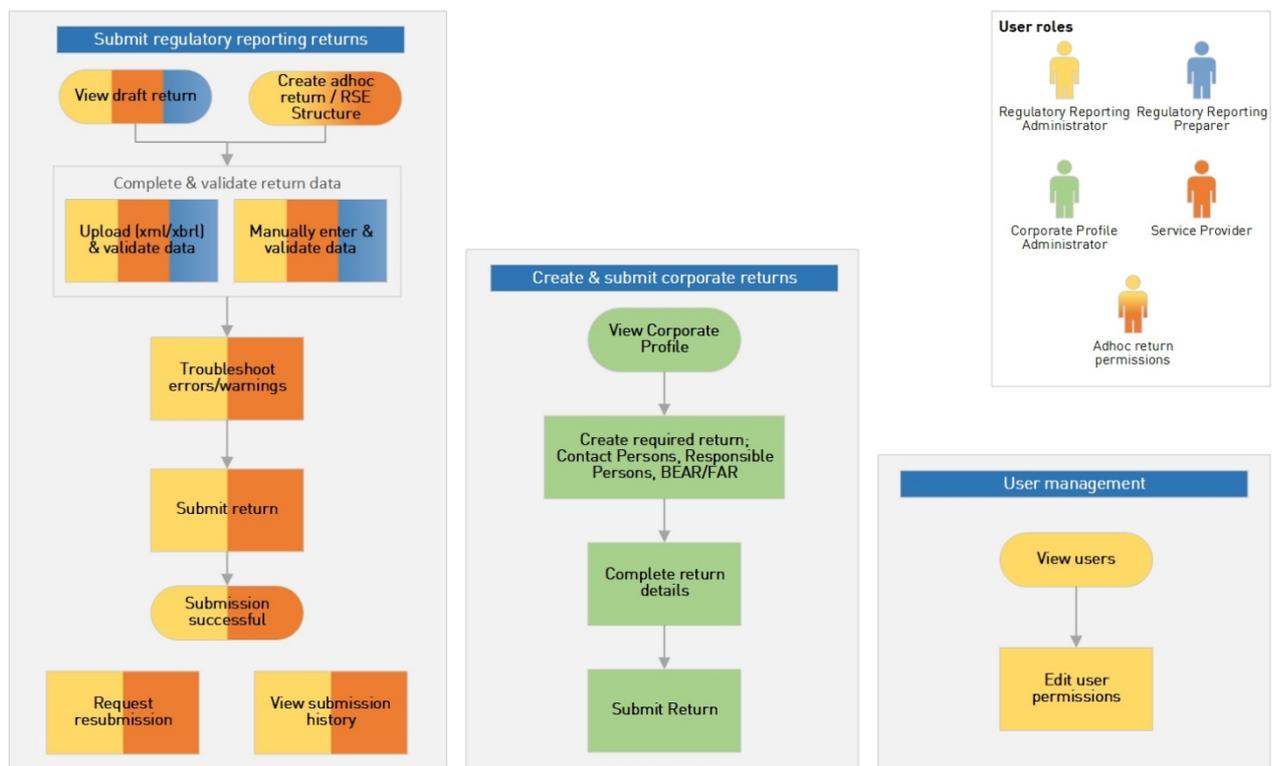


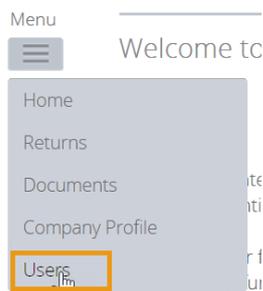
Figure 1. APRA Connect user roles overview

### 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**.

View APRA Connect Portal User

First name:	Riley
Surname:	Profile
Email address:	riley.profile@ample.com.au
Telephone number:	02 987987987
Activation status:	Active
Permission:	<input type="checkbox"/> Portal - Regulatory Reporting Prepare <input type="checkbox"/> Portal - Regulatory Reporting Adminis <input type="checkbox"/> Portal - Service Provider <input type="checkbox"/> Portal - Ad hoc return permissions <input checked="" type="checkbox"/> Portal - Corporate Profile Administrat



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

Edit APRA Connect Portal User

This functionality allows you to grant users permissions in APRA Conn user(s).  
I acknowledge that granting a Service Provider access to APRA Connect submission information, and I am authorised to provide such access.

First name:	Toni
Surname:	Shadow
Email address:	toni.shadow@ample.com.au
Telephone number:	44 6666
Activation status:	<input checked="" type="radio"/> Active <input type="radio"/> Deactivated

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

Permission:

<input checked="" type="checkbox"/>	Portal - Regulatory Reporting Prepare
<input type="checkbox"/>	Portal - Regulatory Reporting Adminis
<input type="checkbox"/>	Portal - Service Provider
<input checked="" type="checkbox"/>	Portal - Ad hoc return permissions
<input type="checkbox"/>	Portal - Corporate Profile Administrat

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.



### Draft Returns

Name	Reference	Revision	Categories	Status	End date	Due date	Actions
<a href="#">Asset Allocation</a>	SUP_AA00043	<a href="#">0.1</a>		No Data	31/12/2020	31/03/2021	
<a href="#">Insurance Arrangements</a>	SUP_IN SAR00050	<a href="#">0.1</a>		No Data	31/12/2020	31/03/2021	
<a href="#">Member accounts</a>	SUP_MEMAC00041	<a href="#">0.1</a>		No Data	31/12/2020	31/03/2021	
<a href="#">RSE Structure Preview</a>	SUP_STRUCT_PRE00055	<a href="#">0.1</a>		No Data	22/02/2021		

The list shows each return's current 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.

### View Return

Return name:	SRS 611 Member Accounts	Return reference:	SUP_MEMAC03326
Return end date:	31/12/2020	Return due date:	31/03/2021
Return status:	No Data	Categories:	Quarterly

#### Actions



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

Once all sections are completed and the structure is validated, the return can be validated against APRA's business rules and submitted using the Validate & Submit button on this screen or via the Submit Return functionality under the Submit Return menu.

After uploading a file you can refresh your browser to view the updated status. The uploaded file can be validated by clicking the Upload History button on this screen.

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.

SRS 611 Member Accounts		Status: No Data
SRS 611.0 Member Accounts		
Entity Details		Edit   View
Member accounts (SRS 611.0 Table 1)		Edit   View
Member accounts (MySuper products) (SRS 611.0 Table 2)		Edit   View
Additional Notes		
Additional Notes		Edit   View

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.

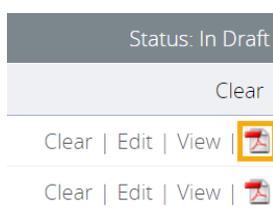
## 4.2 Creating PDFs of returns and forms

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.

Due date	Actions
16/11/2020	
28/02/2021	

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



# Chapter 5 - Company Details and Corporate Profile Returns

## 5.1 Company profile obligations

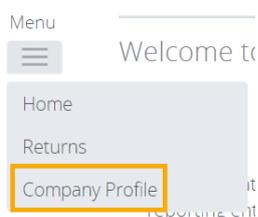
When your entity profile needs to be updated, new information is submitted to APRA through APRA Connect, using one of the available corporate profile returns.

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

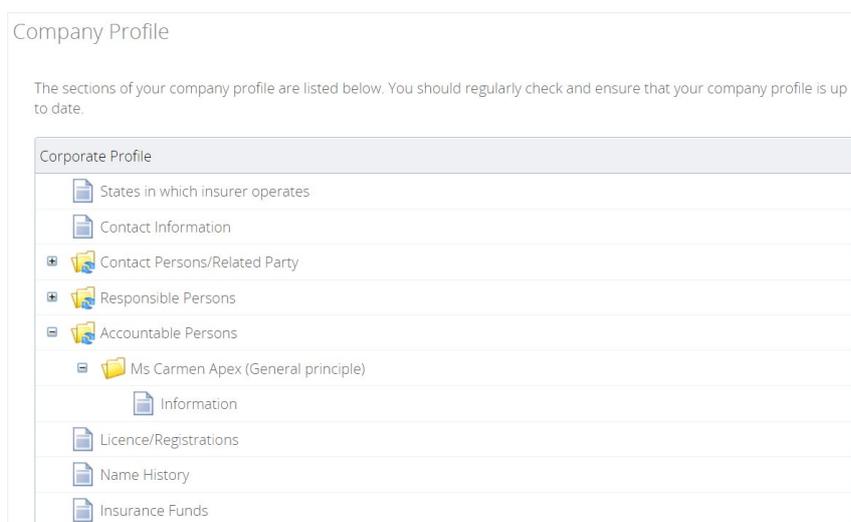
For details of your organisation's obligations, please refer to the applicable industry page on the [APRA](#) website.

## 5.2 Viewing your company profile

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



The Company 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 company 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
<b>Balance Date</b>	Update balance date currently recorded in your organisation's profile.
<b>Contact Information</b>	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.
<b>Contact Persons/Related Parties</b>	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 <a href="#">Explanation of corporate roles in returns</a> for more information.
<b>Name Details</b>	Submit a change of registered name for your organisation.
<b>Responsible Persons</b>	APRA regulated entities can add or update multiple instances in the same submission. See <a href="#">Explanation of corporate roles in returns</a> for more information.

### *Authorised deposit-taking institution corporate returns*

Please refer to the Banking Executive Accountability Regime (BEAR) page on the [APRA](#) website for information related to reporting obligations.

Form set name	Description
<b>Accountability Map</b>	Upload an accountability map independent of accountable persons details.
<b>Executive Accountability Regime - Registration</b>	Register accountable person to make BEAR submissions. May include accountability map. New Accountable Persons appear in the Corporate Profile once they are approved, which in most instances will occur 14 days after the return is submitted.

Form set name	Description
<b>Executive Accountability Regime - Update</b>	Make changes to your organisations recorded BEAR profile.

### *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
<b>States in which insurer operates</b>	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**.

Manage Returns

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



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

3. Select the required form set from the list.

Create Return

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

Return name:

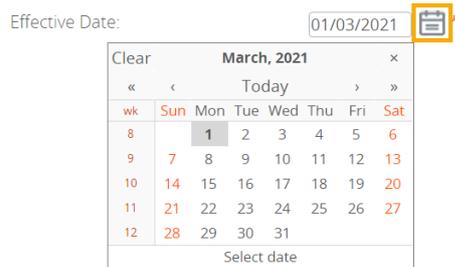
Select form set:

- Accountability Map
- Ad Hoc Request and File Upload
- Balance Date
- Contact Information
- Contact Persons/Related Parties
- Executive Accountability Regime - Registration
- Executive Accountability Regime - Update
- Fees and Costs
- Name Details
- Responsible Persons
- RSE Structure
- RSE Structure Preview

Effective Date:

4. Enter a name for the return, using a naming convention that is meaningful to your organisation.

- Click the calendar icon and select the date from which the submitted details take effect



- Click **Create**.

A confirmation page displays the return's reference number.

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

Return Created Successfully

Your return [Ample Entity - Change Contact Info](#) has successfully been created with the reference "CI00369".

You can now access the return whether you click the Return name link above or in the "Draft Returns" area in the Returns area. When you have completed the return you can submit it in the same page by clicking the "Validate & Submit" icon link.

[Return to Manage Returns](#)

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

- Depending on the form set selected, either:

- click the **Add Section** icon; or



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



If creating an **Executive Accountability Regime – Update** return, see [below](#).

- Complete the form. Mandatory data is indicated by a red asterisk (\*).

- 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.

### ***Executive Accountability Regime – Update return***

When creating an **Executive Accountability Regime – Update** [return](#) there are a couple of additional steps:

1. Complete steps 1 through 8 [above](#).
2. Select the person to be updated from the available list.

**Select Accountable Person** UAP

Entity Name      Ample Entity  
ABN                13704288646

**Select Accountable Person to update**

Accountable person to update

1451: Toni Green

Validate & Save

3. Click **Validate & Save** to display the form set.
4. Select the **Update Accountable/Responsible Person** form and make the required amendments.

Executive Accountability Regime - Update      Clear

Update an Existing Accountable Person      Delete All | Clear All

1451: Toni Green      Clear | Delete

Select Accountable Person      Clear | Edit | View | [Icon]

**Update Accountable Person**      Edit | View | [Icon]

Accountability Map

5. Continue from step 10 [above](#).

## **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 Executive Accountability Regime – Registration return. 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
<b>Contact Person/ Related Party</b>	<p>Employees recorded in these roles predominantly assist APRA in where to target specific correspondence or to enable APRA Extranet access. Available role types include:</p> <ul style="list-style-type: none"> <li>• Roles required for Extranet access: <ul style="list-style-type: none"> <li>- Chief Executive Officer (or equivalent)</li> <li>- Company Secretary</li> <li>- Prudential Contact</li> <li>- ILDR Contact – Internal Loss Data Refresh upload</li> <li>- SDCP Contact</li> </ul> </li> <li>• Billing contact – addressee for APRA levies</li> <li>• Crisis management contact</li> <li>• Regulatory Reporting Contact – contact person for reminder notices, Late Notices, post-submission query process for returns still submitted in D2A.</li> </ul>
<b>Responsible Persons</b>	Refer to the relevant <i>Fit and Proper Prudential Standards</i> for your industry on the <a href="#">APRA</a> website.
<b>Accountable Persons</b>	Refer to the most current information on the <i>Executive Accountability Regime</i> on the <a href="#">APRA</a> website.

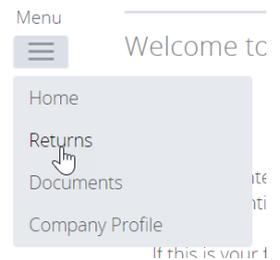
# Chapter 6 - Completing Regulatory Returns

## 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.

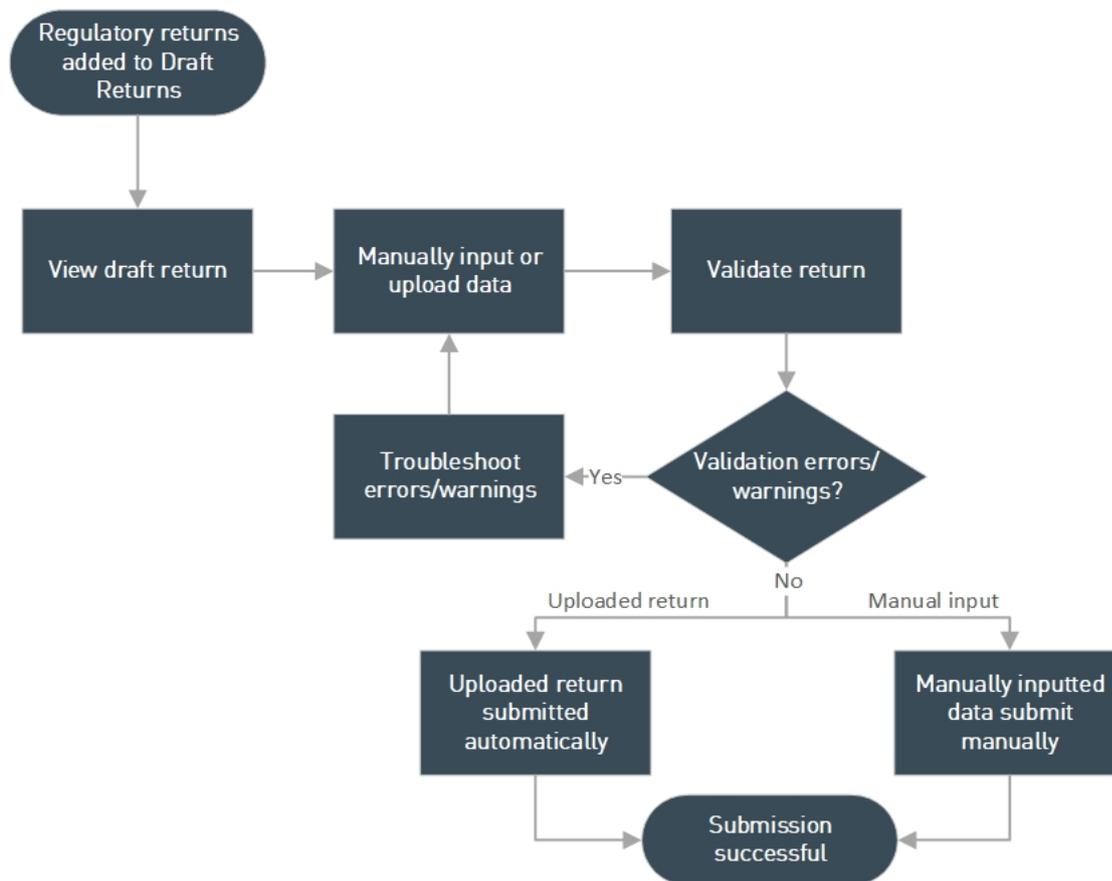


Figure 2. Return completion and validation process overview

## 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.

#### *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.	<input type="text"/>

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](mailto:dataanalytics@apra.gov.au) containing the name and ABN<sup>1</sup> of each entity to which the validation rule is to be applied.

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<sup>1</sup> For Superannuation entities, this is the ABN of the fund, not the Trustee.

## 6.3.2 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.

**Upload Data** ✕

The **FormSet** below will be populated with data by uploading a file.

Private Health Insurance Reform Data Cr ▼ Choose File

To validate an XML file prior to upload, [download the definition file](#). To see how the data on the form should be represented in XML, view [XML specs](#).

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

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

Insurance Arrangements	
  Insurance Arrangements <a href="#">[ SUP_INSAR ]</a>	
 Entity Details <a href="#">[ EntityDetails ]</a>	
  Current <a href="#">[ SRF_251_0_Table_1 ]</a>	insurance arrangements
  Previous <a href="#">[ SRF_251_0_Table_2 ]</a>	insurance arrangements
  Insurance <a href="#">[ SRF_251_1_Table_1 ]</a>	offerings

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.

## 6.3.3 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.

[definition file](#). To see how the data on the form should be represented in XML, view [XML specs](#).

**!** Allowed file types are: xls,xlsx,zip,rar,7z,gz,xml,xml,zip. If .xbrl is a valid file type, to speed up the upload process it is recommended that XBRL/IXBRL files greater than 10Mb are compressed using the standard .zip format. No other compression formats are currently accepted.

### 6.3.4 Empty rows in tables

Tables cannot contain empty rows, whether uploaded or manually entered. Refer to [Adding and deleting table rows](#).

### 6.3.5 Uploading return data

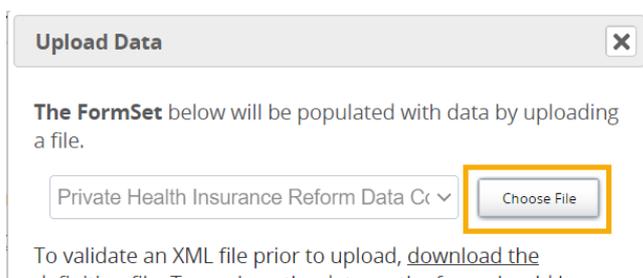
**Note:** When a file that passes all validation is uploaded by any user, the file is automatically submitted. See [Automatic submission of validated returns](#)

To upload return data from a file:

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



2. Click **Choose File**.

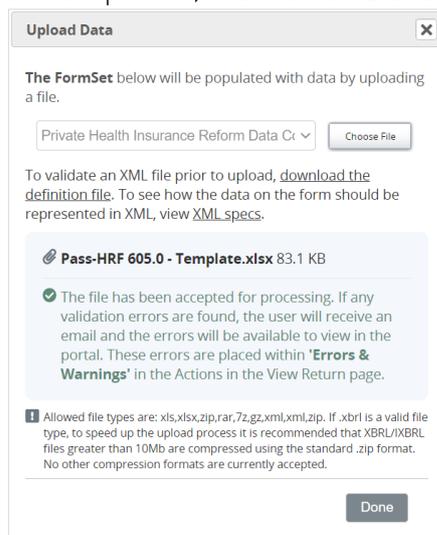


If you are uploading data into a return where forms already contain data, you will be prompted to delete the existing data before proceeding. Refer [below](#) for further details.

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.

Actions



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.

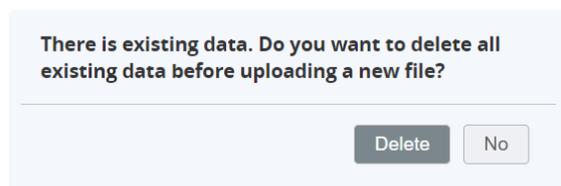
### 6.3.6 Uploading into a return with existing data

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.

[definition file](#). To see how the data on the form should be represented in XML, view [XML specs](#).



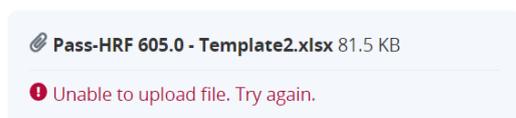
**i** Allowed file types are: xls,xlsx,zip,rar,7z,gz,xml,xml,zip. If .xbrl is a valid file type, to speed up the upload process it is recommended that XBRL/IXBRL

If you select	Result
No	<ul style="list-style-type: none"> <li>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).</li> <li>If a field contains different values in both forms, you must select which value to use.</li> <li>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.</li> <li>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.</li> </ul>
Delete	All data in the return will be cleared.

### 6.3.7 Uploading data at the same time as another user

If you are 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.



### 6.3.8 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 as long as 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
<a href="#">550.0.XML.xml</a>	17/05/2021 17:47:25		Asset Allocation	Processed	Hide
<a href="#">550.0.XML.xml</a>	17/05/2021 17:39:43		Asset Allocation	Processed	Show

myDr4oifR5qfEz/bqGylWMH0OGhEtH75hsTkhdg6nem9rjEuTclHyLohjAb4cCFukRaB4w9j66Oz7BpnQxiqA==

## 6.4 Manually entering return data

To manually enter data in a form:

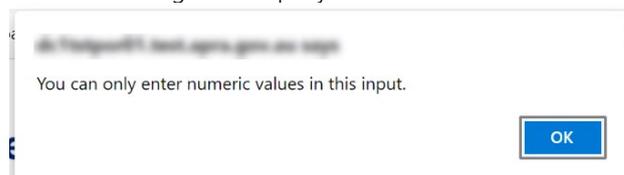
1. Open the required form, by clicking either the form name or **Edit**.

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.



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

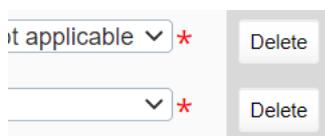
Forms should be saved at regular intervals to minimise the risk of losing data due to an interruption to your connection.

### 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.

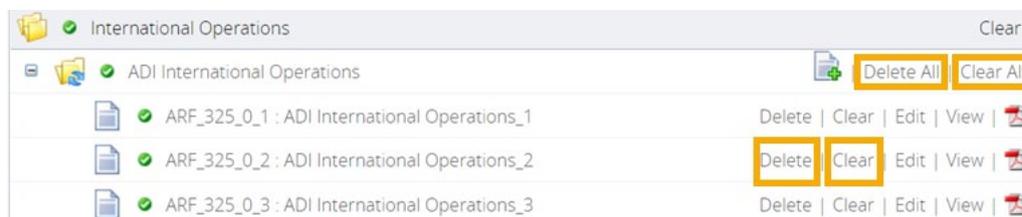


### 6.6.3 Deleting instances and clearing data

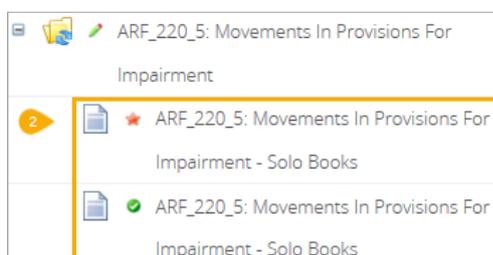
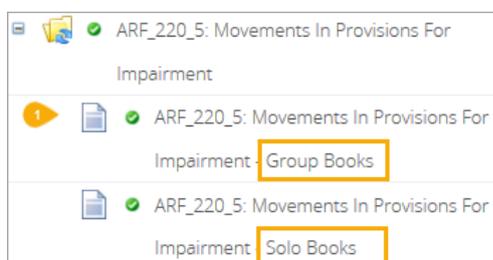
There are a few options for deleting and clearing repeatable forms:

Option	Description
<b>Delete All</b>	Deletes all forms.

Option	Description
<b>Clear All</b>	Removes data in all forms. The forms remain and their <a href="#">status</a> changes to No Data
<b>Delete a form instance</b>	Deletes the individual form.
<b>Clear a form instance</b>	Removes data from the individual form. Its <a href="#">status</a> 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.
- 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 where ever 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:

Check	Description
<b>Error</b>	Mandatory validation errors must be corrected and re-validated prior to proceeding with the data submission. You cannot submit a return with mandatory errors.

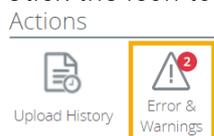
Check	Description										
<b>Warning</b>	<p>Validation Warnings highlight data discrepancies or abnormal variations. These often relate to typographical or transposition errors. In some cases, the data is accurate.</p> <p>In cases where the data is correct, when all mandatory validation errors have been addressed, you can click <b>Validate &amp; Submit</b> and confirm that you have checked the data and provide an explanatory comment for the discrepancy in order to submit the return.</p> <p>Submission Validation Issues</p> <p>Validation checks have identified data which needs explanation or confirmation prior to submission to APRA. Details of the validations triggered are below.</p> <table border="1"> <thead> <tr> <th>Rule name</th> <th>Type</th> <th>Problem</th> <th>Additional information</th> <th>Comments</th> </tr> </thead> <tbody> <tr> <td>SRF 332.0 Table 3 00005</td> <td>Warning</td> <td>1. For row number 5, please explain why a negative value was reported in Table 3: Investment management expenses, Service Arrangement Investment Management Cost Amount.</td> <td></td> <td>* <input type="text"/></td> </tr> </tbody> </table> <p>Your return has warnings, but no errors. All warnings need to be addressed using the comments column before you can continue to submit.</p> <p><a href="#">Save Comments</a> <a href="#">Continue to submit</a></p> <p><a href="#">Printer Friendly Format</a>   <a href="#">Show errors in new window</a></p> <p>You can use the <b>Save Comments</b> option to enter a comment for future review. Click <b>OK</b> on the confirmation message.</p> <div style="border: 1px solid #ccc; padding: 5px; margin: 10px 0;"> <p><b>Comments saved successfully</b> <span style="float: right;">✕</span></p> <p>Please note that your comments will be automatically deleted if you make any changes to the Return data</p> <p style="text-align: center;"><a href="#">OK</a></p> </div> <p>Note that saved comments are deleted if changes are made to the return data.</p>	Rule name	Type	Problem	Additional information	Comments	SRF 332.0 Table 3 00005	Warning	1. For row number 5, please explain why a negative value was reported in Table 3: Investment management expenses, Service Arrangement Investment Management Cost Amount.		* <input type="text"/>
Rule name	Type	Problem	Additional information	Comments							
SRF 332.0 Table 3 00005	Warning	1. For row number 5, please explain why a negative value was reported in Table 3: Investment management expenses, Service Arrangement Investment Management Cost Amount.		* <input type="text"/>							

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
<a href="#">No Data</a> 	If an <a href="#">upload</a> 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  .
<a href="#">In Draft</a> 	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  .
<a href="#">Complete</a> 	If the file uploads successfully but validation warnings are encountered, the status is displayed as Complete. Refer to <a href="#">Data validation</a> .

### 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

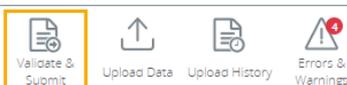
Validation error and warning messages can be exported to Excel and downloaded for easy review. Warning comments can also be [imported](#).

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

View Return

Return name: [REDACTED] Return reference: SUP\_PROFILE02989  
 Return end date: 31/12/2021 Return due date: 31/12/2022  
 Return status: Complete  Categories: Quarterly

Actions



The Export icon is available on the Validation Issues page.

## Validation Issues

This return has triggered validation errors/warnings which are mandatory to address before the return can be submitted. Details of the validations triggered are below.



Rule name	Type	Problem	Additional information
-----------	------	---------	------------------------

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.

**Notification** ✕

Please note that the return has been re-validated, click OK to see the updated list of validation errors and warnings. In order to export the list of validation errors and warning, please click on the Export icon.

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
<b>When the return has been re-validated with errors/warnings</b>	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.
<b>When the return has been re-validated without errors/warnings</b>	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.
<b>When the return has been submitted</b>	There is no error/warning to display as this return has been submitted. <a href="#">Click here</a> to see the submitted return, otherwise, will redirect to the Draft Returns	<ul style="list-style-type: none"> <li>Clicking <b>Click here</b> will re-direct to the Submission History page.</li> <li>Clicking <b>OK</b> will re-direct to the Draft Returns.</li> </ul>

## 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	Revisor	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.

#### 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.

 Export
  Import

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.		<div style="border: 1px solid #ccc; padding: 5px; min-height: 100px;"> <span style="color: red; font-weight: bold;">*</span> </div>

**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.

**Import Warning Comments** ✕

If using an excel file to import your warning comments, you can use the export functionality which will serve as a template or [click here to download a template](#) . Note that only the 'Comments' column can be editable in the template.

Supported file types: .xls or .xlsx, are permitted up to a maximum file size of 3145728 MB. Upload a supported file type not exceeding the permitted max file size.

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.

**Import Warning Comments** [X]

If using an excel file to Import your warning comments, you can use the export functionality which will serve as a template or [click here to download a template](#) . Note that only the 'Comments' column can be editable in the template.

Choose File

**Validation responses.xlsx** 11.9KB

**!** The Comments field is too long in the following row(s): 5. Please use a maximum of 4000 characters

Total Rows:	4
Successful	3
Alert:	0
Failed:	1

**!** Supported file types: .xls or .xlsx, are permitted up to a maximum file size of 3145728 MB. Upload a supported file type not exceeding the permitted max file size.

Import Cancel

**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**.

**Import Warning Comments** [X]

If using an excel file to import your warning comments, you can use the export functionality which will serve as a template or [click here to download a template](#) . Note that only the 'Comments' column can be editable in the template.

Choose File

**Validation responses.xlsx** 11.9KB

**✓** Validation responses.xlsx has been successfully validated

Total Rows:	4
Successful	4
Alert:	0
Failed:	0

**!** Supported file types: .xls or .xlsx, are permitted up to a maximum file size of 3145728 MB. Upload a supported file type not exceeding the permitted max file size.

Done Cancel

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

**Import Warning Comments** [X]

If using an excel file to import your warning comments, you can use the export functionality which will serve as a template or [click here to download a template](#) . Note that only the 'Comments' column can be editable in the template.

Choose File

**Validation responses.xlsx** 11.9KB

**✓** Validation responses.xlsx has been successfully validated

Total Rows:	4
Successful	4
Alert:	0
Failed:	0

**!** Supported file types: .xls or .xlsx, are permitted up to a maximum file size of 3145728 MB. Upload a supported file type not exceeding the permitted max file size.

Done Cancel

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

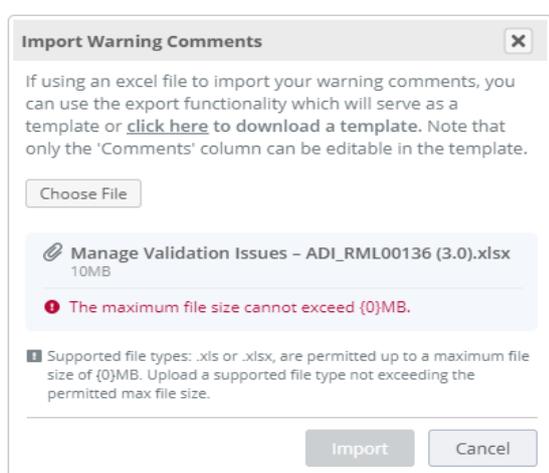
## Importing into a re-validated return

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**.

### Manage Returns

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



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

### Create Return

To submit a corporate return, input a return name in either language and copy the same into the other req. Select the return to be submitted from the list below. The Effective Date is the earliest effective date of char the return.

Return name:  \*

Select form set:

- Accountability Map
- Ad Hoc Request and File Upload
- Balance Date
- Contact Information
- Contact Persons/Related Parties
- Executive Accountability Regime - Registration
- Executive Accountability Regime - Update
- Fees and Costs
- Name Details
- Responsible Persons
- RSE Structure
- RSE Structure Preview

Effective Date:   \*

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.

Effective Date:   \*

Clear		March, 2021							x		
		Today									
wk	Sun	Mon	Tue	Wed	Thu	Fri	Sat				
8		1	2	3	4	5	6				
9	7	8	9	10	11	12	13				
10	14	15	16	17	18	19	20				
11	21	22	23	24	25	26	27				
12	28	29	30	31							

Select 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.

#### Return Created Successfully

Your return **Extension request** has successfully been created with the reference "AHS00555".

You can now access the return whether click the Return name link above or in the "Draft Returns" area in the Returns area. When you have completed the return you can submit it in the same page by clicking the "Validate & Submit" icon link.

[Return to Manage Returns](#)

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 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** = 30 MB
- 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**.

Form View

**Ad Hoc Request and File Upload Form**

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

Entity Name Ample Entity Ltd  
Party ID 6090

Please select Ad Hoc type: Request

Request Return Extension

Upload Document

Upload

Upload

Upload

Upload

Upload

Upload

N.B. Acceptable file types are:  
.xls, .csv, .doc, .pdf, .ppt, .jpeg, .png, .tif, .gif, .zip

Comments

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

### 6.11.3 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
<b>Fees and Costs</b>	Captures fees and costs that are to be charged to a member or would otherwise affect member balances.
<b>RSE Structure</b>	Collects information on the structure of each registrable superannuation entity's (RSE) business operations.
<b>RSE Structure Preview</b>	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'.
<b>Insurance Arrangements</b>	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 v. 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

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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**.

### Actions



**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.

Submit Return

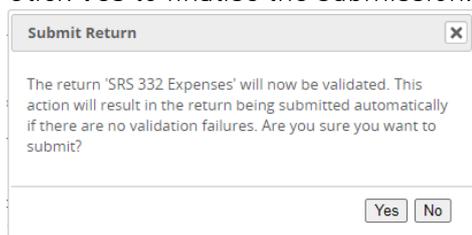
Your return has been validated and can now be submitted. Please click the "Submit" button to confirm that you wish to submit this return.

Once submitted, a return can no longer be edited, but can still be viewed in submission history. If an error is subsequently discovered you can apply to resubmit the return using the "Request Resubmission" functionality.

**Please note final submission can take up to 2 minutes depending on the complexity of the return.**

- 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.

When the offline processing of a return begins you are taken to the Submit Return page. This page shows the submission status of the submitted return, and lists any other returns that are in a Complete status. If only the return being processed is listed, you have no other returns in a Complete status.

### Submit Return

The returns that are ready for submission are listed below.

Please select the return that you wish to submit. Additional validation will then be carried out on the return prior to submission. If the return passes this validation, you will then be asked to confirm your submission.

Name	Reference	Revision	Categories	End Date	Due Date	Action
SRS 332 Expenses	SUP_EXP03321	<a href="#">3.1</a>	Annually	30/06/2022	30/09/2022	Processing
<a href="#">SRS 705.0 Performance Components</a>	SUP_PERFCOMP03328	<a href="#">0.1</a>	Quarterly	30/06/2022	28/07/2022	<a href="#">Submit</a>
<a href="#">SRS 705.1 Performance Benchmark</a>	SUP_PERFBENCH03329	<a href="#">0.1</a>	Quarterly	30/06/2022	28/07/2022	<a href="#">Submit</a>

From this page you can:

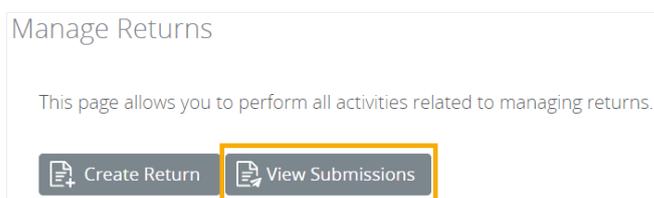
- Refresh the page to see the status of the return being processed; or
- Click **Submit** for another listed return.

## 7.3 Submission history

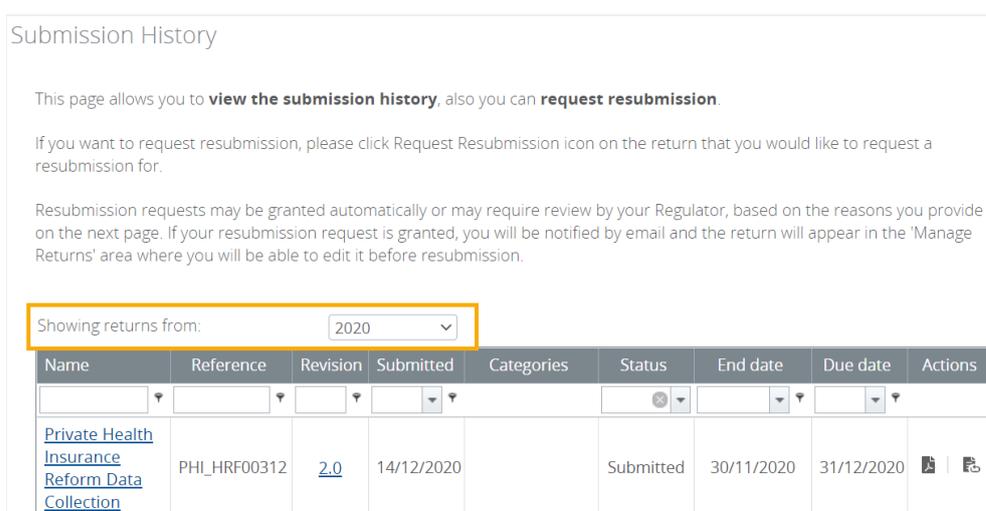
On the Submission History page, you can access the previously submitted returns, for which you have permissions to view.

To view submission history:

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

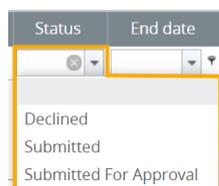


2. From the **Show returns from** list, select the year for which to see submitted returns. Note that is the year to which the return applies, not the year it was submitted.



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.

View Audit Log

Return name: Private Health Insurance Reform Data Collection  
 Reference: PHI\_HRF00312  
 Creation date: 25/11/2020  
 Due date: 31/12/2020  
 Please select a version of this Return to view.

Revision	Status	Action	Actioned on	Actioned by	Submitted on	Submitted by
<a href="#">1.0</a>	Submitted	Grant resubmission request	10/12/2020 17:08:23	System User	10/12/2020 17:05:22	Alex Principal
<a href="#">2.0</a>	Submitted	Grant resubmission request	15/12/2020 11:22:32	System User	14/12/2020 16:58:32	Alex Principal
<a href="#">3.0</a>	Submitted	Submit return	14/01/2021 11:55:26	Alex Principal	14/01/2021 11:55:26	Alex Principal

## 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

Submission History

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

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

Resubmission requests may be granted automatically or may require review by your Regulator, based on the reasons you provide on the next page. If your resubmission request is granted, you will be notified by email and the return will appear in the 'Manage Returns' area where you will be able to edit it before resubmission.

Showing returns from:

Name	Reference	Revision	Submitted	Categories	Status	End date	Due date	Actions
<a href="#">Private Health Insurance Reform Data Collection</a>	PHI_HRF00312	<a href="#">3.0</a>	14/01/2021		Submitted	30/11/2020	31/12/2020	

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

### View Return

Return name: Private Health Insurance Reform Data Collection  
 Return end date: 30/11/2020  
 Return status: Submitted

### Actions



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

Request Resubmission

Please enter the reasons you would like to resubmit this return.

Return name: Private Health Insurance Reform Data Collection  
 Revision of return: 3.0  
 Reasons for resubmission: Data errors identified by reporter \*

Please specify changes since previous revision:

If necessary, please attach an accompanying file detailing the changes:

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.

Request Resubmission

Are you sure you would like to request resubmission of "Private Health Insurance Reform Data Collection"?

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:

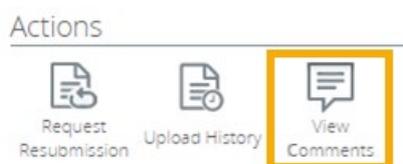
1. Navigate to the [Submission History page](#).

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

Return Name	Reference
<a href="#">BOCA ContactPerson</a> 	CP02832

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.

**APRA Connect Supervision Centre User** 12/03/2021 11:06 (last updated at 13:54)

This item (PL13032 - Gross incurred claims by geographic region - Public and product liability - New South Wales) has moved by \$51,803k between the September-2018 quarter (\$2,297k) and the December-2018 quarter (\$54,100k). Can you please confirm and comment on the factors contributing to this movement? If the data is found to be incorrect, please resubmit the return and notify of the revisions made. Please note that the movement is based on discrete quarter values.

 Due: 19/03/2021 (Return Revision: 1.0) **Reply**

**Supporting Documents**

No file chosen

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.

Alex Principle , Ample co.

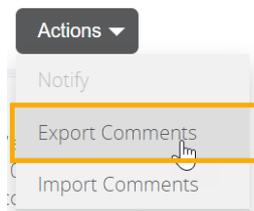


View Return Comments

**Actions** ▼

**APRA Connect Supervision Centre User** 12/03/2021 11:06 (last updated at 13:54)

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

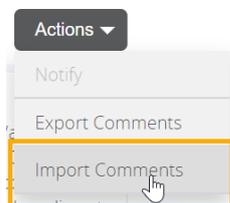


An Excel file is downloaded. Complete the **Response** columns of the Excel file as required.

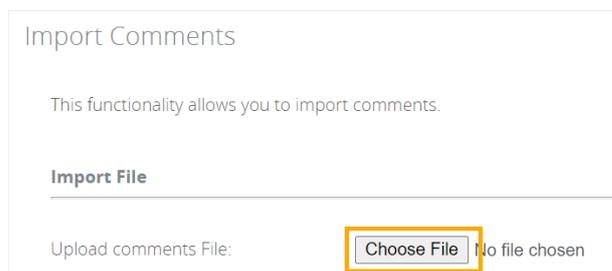
**Note:** It is important to retain the format of the downloaded file to ensure successful re-upload.

To import the completed file:

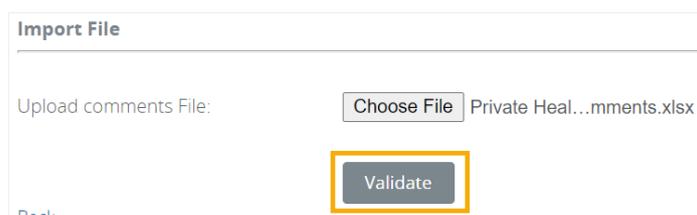
1. On the View Comments page select **Actions > Import Comments**.



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.



! **There was a problem in the file transfer.**

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

Import Comments

This functionality allows you to import comments.

**Import File**

Upload comments File:  No file chosen

**Result**

The excel file you selected was validated and it is ready for import.

<b>Total Rows</b>	3
Successful	3
Failed	0

[Private Health Insurance Reform-Comments.xlsx](#)

**Notify**

Select the below to notify users about new comments or updates to comments.

Please note only those users who have access to the returns being updated with comments will be notified.

Notify APRA Connect Supervision Centre users

[Back](#)

A successful import notification is displayed.

**The file 'Private Health Insurance Reform-Comments.xlsx' was imported successfully.**

**Notifications have been sent to APRA Connect Supervision Centre users.**

- 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.

[View Return Comments](#)

[Actions](#) ▼

**APRA Connect Supervision Centre User** 12/03/2021 11:06

Adipiscing enim eu turpis egestas pretium aenean pharetra magna. Est velit egestas dui id ornare arcu odio.

 8001\_Mocked data\_AMP\_31st...

 Due: 30/04/2021 (Return Revision: 1.0) [Reply](#)

[View all 1 replies](#) ▼

**APRA Connect Supervision Centre User** 12/03/2021 11:06 (last updated at 13:54)

This item (PL13032 - Gross incurred claims by geographic region - Public and product liability - New South Wales) has moved by \$51,803k between the September-2018 quarter (\$2,297k) and the December-2018 quarter (\$54,100k). Can you please confirm and comment on the factors contributing to this movement? If the data is found to be incorrect, please resubmit the return via D2A and notify of the revisions made. Please note that the movement is based on discrete quarter values.

(Return Revision: 1.0)

[View all 2 replies](#) ▼

**APRA Connect Supervision Centre User** 12/03/2021 11:04

magna aliqua. Amet tellus cras adipiscing enim eu. Fames ac turpis egestas integer eget aliquet nibh. Adipiscing vitae proin sagittis nisl rhoncus mattis. Adipiscing enim eu turpis egestas pretium aenean pharetra magna. Est

(Return Revision: 1.0)

[View all 2 replies](#) ▼

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APRA