



# APRA Connect Guide

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# 1. Getting Started with APRA Connect

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## 1.1 Using this guide

This guide provides information to assist users accessing and using APRA Connect.

## 1.2 What is APRA Connect

APRA Connect is a system used by entities to update their Corporate Profile and contact details, and for reporting entities to submit data to APRA.

## 1.3 Technical Specifications

Visit the APRA Connect page on the APRA website for [technical specifications](#).

### 1.3.1 Information Security

Visit the APRA Connect page on the APRA website for details on [data security](#).

## 1.4 Authentication

### 1.4.1 Digital ID, myID & RAM

APRA Connect is integrated with the Australian Government's [Digital ID system](#):

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

All users need to use myID to establish their digital identity and are required to be authorised by their organisation to access APRA services on its behalf using RAM. The service and descriptions are described below.

Service	Description
Digital ID	Australia's Digital ID system is made up of agencies, private sector businesses and systems, working together to deliver a secure way to prove someone's identity online to access services.
myID	myID is the government's identity provider within the Digital ID system.  It is your personal digital identifier and is required to access online government services. Register with a personal email address - do not use a shared or business email address.

Service	Description
RAM	<p>To access APRA Connect, you must be authorised in RAM to act for an organisation (defined by their ABN).</p> <p>The email used for RAM authorisation can differ from your myID digital identity email. Your work email should be used, as this is the address that will be used for APRA Connect notifications.</p>

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

APRA services support Basic and Standard myID identity strengths. Entities are responsible for granting authorisation to users through RAM and are 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 to grant authorisations through RAM.

Refer to the Australian Government's published materials to find out more about [Digital ID](#), [myID](#), and [RAM](#).

## Service Providers

Service Providers must be authorised in RAM by the entity they submit on behalf of i.e. their authorisation must be associated with the entity's ABN, rather than their own.

### 1.4.2 New users

When a user logs into an APRA Connect environment ([production](#) or [test](#)) for the first time, they are authenticated via myID. Once authenticated, an APRA Connect account is created with their name, email address, and SubjectID in that specific environment.

After account creation, email notifications are sent to:

- the entity's [Regulatory Reporting Administrator\(s\)](#), or to APRA if a Regulatory Reporting Administrator has not been allocated (note, APRA will assign the initial Regulatory Reporting Administrator); and
- the new user, identifying the entity's Regulatory Reporting Administrator who needs to assign their roles. If none is defined, the user will be informed that an APRA representative will contact them.

A new user remains inactive and cannot access the portal until a role is assigned. Users must be assigned roles in each [environment](#). After roles are assigned, the user receives an email notification welcoming them to their APRA Connect account. Refer to [Managing users](#) for further information.

## 1.5 Accessing APRA Connect environments

APRA Connect has two separate environments:

Production environment	For entities to update corporate profile and contacts information and to submit data to APRA.
------------------------	---

## Test environment

For entities, service providers, and RegTechs to try features, test collections, and review system changes.

Data is not shared between environments, and users must be set up separately in each environment.

### 1.5.1 APRA Connect production environment

The APRA Connect production environment URL and the title and banner identify the environment.

Production environment URL

<https://connect.apra.gov.au>

Banner



### 1.5.2 APRA Connect test environment

The APRA Connect test environment is accessed via the URL below and has a different banner and title to distinguish the environment.

Test environment URL

<https://connect-test.apra.gov.au>

Banner

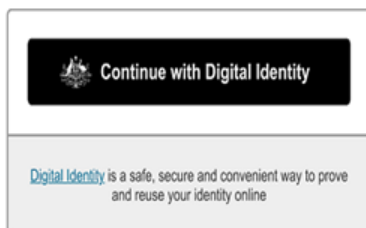


## RegTechs

RegTechs are encouraged to consult the [RegTech onboarding information](#) available on the APRA website, and review instructions for requesting access to the APRA Connect test environment.

### 1.5.3 Logging into APRA Connect

- To access either of the APRA Connect environments, click Continue with Digital ID to be redirect to the Digital ID system.



- When prompted, select myID as your Identity Provider and choose Remember my choice to simplify future logins. The system will redirect to myID and RAM for authentication.

- After successful authentication, the Digital ID system requests consent for sharing details with APRA Connect. Under Remember my consent, select Yes to avoid future prompts. Note, your date of birth and myID email details are not shared with APRA Connect.
- Once consent is given, access to APRA Connect is established and the session begins by clicking Continue.



## myID timeout

myID authentication times out after 20 minutes. Logging out and back into APRA Connect within this period does not require reauthentication. When managing multiple entities, select the required entity.

To prevent unauthorised access, close the browser after logging out to ensure reauthentication is required.

### 1.5.4 APRA Connect session timeout

An APRA Connect session is timed out after 60 minutes of inactivity. Unsaved data will be lost, and reauthentication will be required to regain access.

## 1.6 Help and Support

### 1.6.1 Technical help

For further assistance beyond the information provided in this guide, or in the event of 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).

Note: The APRA Support Desk does not assist with completing forms or resolving validation errors or warnings.

### 1.6.2 Help with completing forms and validation errors

Visit the APRA website for [APRA Connect taxonomy](#) information, including the data dictionary, validations, reporting taxonomy and XSD (to validate files).

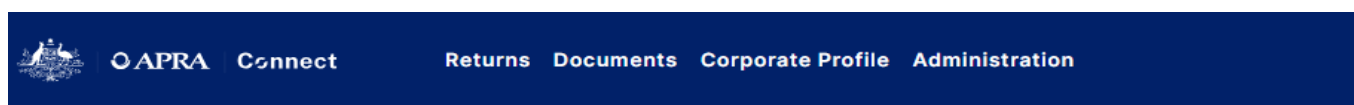
For support using APRA Connect or completing forms, please email [DataAnalytics@apra.gov.au](mailto:DataAnalytics@apra.gov.au).


## 2. APRA Connect Interface and Navigation

### 2.1 Navigation

#### 2.1.1 Taskbar options


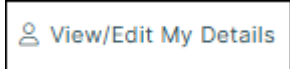


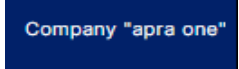


Menu options are embedded in the taskbar at the top of the screen. The Options visible depend on the assigned user role.



Option	Description
	Click the APRA logo in the top left corner of the taskbar to return to the home page.
Returns	Select to open the Manage Returns page to access draft <a href="#">regulatory returns</a> , to create <a href="#">ad hoc</a> and <a href="#">corporate returns</a> , and <a href="#">view returns</a> submitted.
Documents	Select to open the Documents page. APRA may share documents on an ad hoc basis in this location.
Corporate Profile	Select to open the Corporate Profile page that provides a current and historical view of the entity's key organisational information.
Administration	Only visible to individuals assigned the <a href="#">Regulatory Reporting Administrator</a> role, to manage APRA Connect <a href="#">user roles</a> .

#### 2.1.2 Icons

In the top right-hand corner of the screen, the following icons are available:

Icon	Dropdown selection	Description
		To edit details in the <a href="#">My Details</a> page.
		To log out.
		Click the company name in quotation marks to select another entity.
		Click this button to select another entity.
		Click the question-mark icon to open a help page that summarises the toolbar functions and icons.

## 2.2 Using lists

### 2.2.1 Sorting

Lists within APRA Connect can be typically sorted by clicking the relevant table column heading. Columns with filters, have an arrow to indicate sorting direction (ascending or descending).

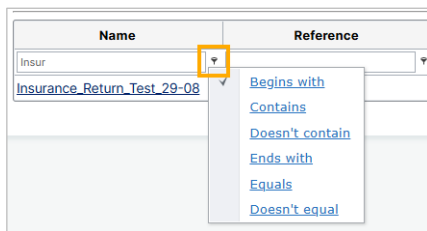
Name	Reference	Revision	Categories	Status	End date	Due date	Actions
Test_332_schedule_24/08/2023	SUP_EXP17920	0.1	Daily	No Data	24/08/2023	25/08/2023	
Test_332_schedule_23/08/2023	SUP_EXP17824	0.1	Daily	No Data	23/08/2023	24/08/2023	
Test_332_schedule_22/08/2023	SUP_EXP17729	0.1	Daily	No Data	22/08/2023	23/08/2023	

### 2.2.2 Searching / Filtering

Use fields at the top of the table to search / filter one or more columns. Clear search criteria to display all entries.

#### Free text fields

Free text fields enable users to search for entries that match specified criteria. By default, searches return entries that begin with characters entered. Selecting the filter next to the field provides alternative search options.



#### Predefined lists

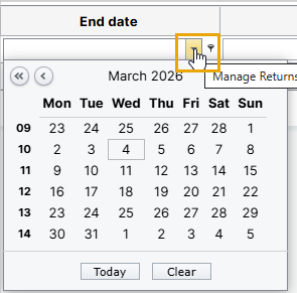
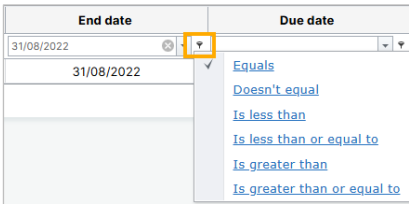

Columns with predefined values can be filtered using the drop-down list. Clear the field by selecting the empty list item or clicking the cross icon.



## Dates

Date columns allow users to search a date or apply filters within a specified date range. By default, the system searches for the exact date that is selected.

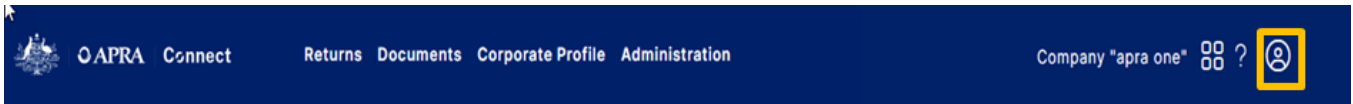
Click the filter icon beside the field to select an alternate condition to define a range of dates based on the selected date. To clear field, click the cross icon.

Date searches	Date condition filters	Clear field
		

# 3. User Administration

## 3.1 My Details

Click the My Details icon in the top right toolbar and select View/Edit my details to view or update your information.



### 3.1.1 Updating My Details

Your name and email are populated from myID/RAM. Only your telephone number can be updated in APRA Connect. If required, update your telephone number and click Update My Details.

Taylor Secondary  
Review your details below

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"/>	*

Area code      Number

Note: To update your name and email address, you must be reauthorised in RAM. Refer to the [Relationship Authorisation Manager](#) website for details on managing authorisations and editing information.

### 3.1.2 Viewing your permissions/roles

To view your assigned roles, go to the My Details page and click the arrow next to Assigned permissions / roles. Click the role name to view description of the [permissions](#).

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

## 3.2 Managing users

Each organisation manages its own APRA Connect users and assigns roles according to its internal governance.

Every organisation must appoint at least one [Regulatory Reporting Administrator](#), although APRA recommends a minimum of two. This role is responsible for managing user access and APRA will assign the initial Regulator Reporting Administrators role permissions during the organisation's initial interaction with APRA Connect.

### 3.2.1 Activating new users

New users must be authorised in the [RAM](#) to access APRA Connect. After authenticating through myID for the first time, an APRA Connect account is created.

This account needs to be activated, and roles assigned by a [Regulatory Reporting Administrator](#). Refer to [New Users](#) and [Viewing and editing users](#) for more details about initial access and user management.

### 3.2.2 Deactivating users

When an APRA Connect user leaves the organisation or changes roles, their account should be deactivated in APRA Connect and their authorisation removed in [RAM](#). Refer to [Viewing and editing users](#).

### 3.2.3 User roles

APRA Connect user roles determine what actions a user can perform, such as drafting, uploading or submitting information. User roles help entities limit access to sensitive data, including personal data required for Responsible Persons or FAR Accountable Persons.

There is no limit on the number of users per role, and users may be assigned multiple roles to carry out tasks. Entities should be aware that granting access to a user enables them to view past and present data, in addition to editing submissions.

Role	Responsibilities, functions, and access levels
Regulatory Reporting Administrator (RRA)	<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.</li></ul> <p>Each reporting entity (ABN) must have at least one nominated RRA. RRAs cannot assign additional roles to themselves. A second RRA is required to assign additional permissions to the initial RRA. Where only one RRA exists, a request to APRA is required to make any changes. RRAs can complete and submit returns, and receive notifications about upcoming return due dates and late notices.</p>
Regulatory Reporting Preparer	<p>Users can enter data or upload files in returns 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 automatically submitting uploaded data.</p>

Role	Responsibilities, functions, and access levels
Service Provider	<p>Users can enter data, upload files, validate and submit returns.</p> <p>This role can be assigned to third-party administrators who submit data on behalf of an entity or any user who needs to draft, upload and submit returns but does not require permission to assign roles.</p>
Corporate Profile Administrator	<p>Users can edit <a href="#">Corporate Profile</a> information, including contact details and contact person information. This information is not visible to other roles.</p>
Sensitive Data Submitter	<p>Users can create, edit, save as draft, validate, and save and submit the File Upload for Sensitive Data returns. While in draft, users can view, edit, and manage both the return and its attachments.</p> <p>Post submission, only this user can view the return in submissions history, but no users including Sensitive Data Submitters, can access the attached files in the submission.</p>
Ad hoc return permissions	<p>This additional role can be assigned to any user and may be combined with other roles to enable users to create returns. It provides the ability to request resubmissions and request an extension or an exemption.</p> <p>This role is required for superannuation entities to create and submit <a href="#">ad hoc returns</a>, such as RSE Structure, Fees and Costs, and Insurance Arrangements, outside of the normal reporting cycle.</p> <p>Any user, including Service Providers, can be assigned this role to effectively manage an entity's reporting obligations.</p>
NCPD Submitter	<p>Allows users for General Insurers to submit National Claims and Policy Data return.</p>
FAR Administrator	<p>Allows the user to create and submit all <a href="#">FAR returns</a> apart from the Financial Accountability Regime - Breach by Accountable Person and Financial Accountability Regime - Breach by Entity returns.</p>
Breach Administrator	<p>Allows the user to create and submit the <a href="#">Financial Accountability Regime - Breach by Accountable Person</a> and <a href="#">Financial Accountability Regime - Breach by Entity</a> returns. This role does not provide administrative permissions over other FAR returns or non-FAR breach returns unless combined with additional roles.</p>
Breach Submitter	<p>Users can create, edit, submit and view Breach Notification returns, and can delete unsubmitted Breach Notification returns.</p> <p>This role applies only to Breach Notification returns and does not provide administrative permissions to other returns, including FAR breach returns unless combined with additional roles.</p>

### 3.2.4 Viewing and editing users

Regulatory Reporting Administrators can assign and edit user roles for the organisation.

- To view or edit a user, Select Administration from the tool bar to view the list of active and inactive users for the organisation.

- For the relevant user, in the Actions column click the View/Edit icon.



- To modify the user roles:

Select Edit	Select the appropriate Activation status and click Save	Modify user roles, by selecting or deselecting Permissions and click Save
<p>View APRA Connect Portal User</p> <p>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  </p> <p style="text-align: right;"><b>Edit</b></p>	<p>Edit APRA Connect Portal User</p> <p>This functionality allows you to grant users permissions in APRA Connect user(s). I acknowledge that granting a Service Provider access to APRA Connect submission information, and I am authorised to provide such access.</p> <p>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</p>	<p>Permission:</p> <p><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</p> <p style="text-align: right;"><b>Save</b> <b>Cancel</b></p>

## 4. Draft Returns

To access Manage Returns, select Returns from the taskbar.



The Draft Returns table displays all returns available for completion, including [regulatory](#), [ad hoc](#), and [corporate profile](#) returns. By default, the list is sorted by creation date; use column headings to change sorting. Refer to [Using lists](#) for further information.

**Manage Returns**

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

[Create Return](#) [View Submissions](#)

Draft Returns

Name	Reference	Revision	Categories	Status	End date	Due date	Actions
<a href="#">Build20_332_0</a>	SUP_EXP13560	0.1		Complete	31/12/2021	31/12/2021	
<a href="#">Build20_611_0</a>	SUP_MEMAC13557	0.1		Complete	30/11/2021	30/11/2021	
<a href="#">Build20_706_0</a>	SUP_FEECO13559	0.1		No Data	30/11/2021	30/11/2021	

The list shows each return's status, reporting end date, and submission due date (if applicable) Draft returns statuses include:

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

Note: Once returns are submitted, they will no longer appear on the Draft Returns list. To view submitted returns, click the View Submissions button. Refer to [Submission history](#) for additional details.

- 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 all forms in the return. After data entry, regardless of the return status, information is visible to both APRA and entities based on the user role.

Data entered, can be viewed several ways:

- Select Edit to view or modify data.
- Select View to display data without making changes.
- Use the PDF icon to view the data as a PDF format.

- Use the Excel icon to view the data in an Excel format.
- Data uploaded via Excel can be viewed via the [Upload History](#) icon.

**View Return**

Return name:	Test 332 schedule 22/08/2023	Return reference:	SUP_EXPI7815
Return end date:	22/08/2023	Return due date:	23/08/2023
Return status:	No Data	Categories:	Daily

**Actions**

Upload Data

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.

Test 332 schedule 22/08/2023	Status: No Data
SRS 332.0 Expenses	
Entity Details	Edit   View
Payees and service providers (SRS 332.0 Table 1)	Edit   View
Administration and other expenses reporting (SRS 332.0 Table 2)	Edit   View
Investment management expenses (SRS 332.0 Table 3)	Edit   View
Related Party reporting (SRS 332.0 Table 4)	Edit   View
Additional Notes	Edit   View

[Back](#)

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

- No data
- In draft
- Validated with no errors
- Schema and Form set version

### 4.1.1 Deleting existing return data

Data can be cleared from an entire return or individual form on the View Return page by:

- selecting Clear at the top of the pane to clear all data from a return and click OK to confirm; or
- selecting a specific form to only clear that form's information and click OK to confirm.

Note, deleted data cannot be recovered.

**View Return**

Return name:	ADI 110.0 R2	Return reference:	ADL_CAPAD16143
Return end date:	31/03/2023	Return due date:	31/03/2023
Return status:	Complete	Categories:	Level 2, Quarterly

**Actions**

Validate & Submit Upload Data Upload History

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.

ADI 110.0 R2	Status: Complete
ARS 110.0 Capital Adequacy	Clear
Entity Details	Clear   Edit   View
ARS 110.0 Capital Adequacy	Clear   Edit   View
Additional Notes	Edit   View

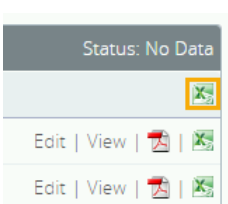
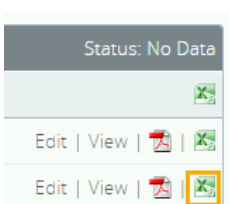
[Back](#)

## 4.2 Downloading Excel versions of returns and forms

An Excel version of an entire return or individual form, including entered data, can be downloaded at any time.

The file generated will show valid values according to the reporting standard, therefore this file cannot be used to upload and submit data to APRA Connect (refer to [Uploading return data](#)). Visibility of rows for Excel downloads are subject to Microsoft row limits.

- To download the entire return in Excel, click the Excel icon at the top of that pane.
- To download an individual form in Excel, click the Excel icon for that individual form.

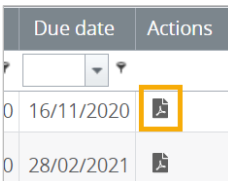
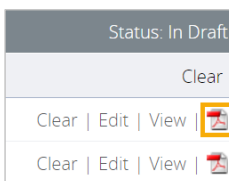
Entire return	Individual form
	

## 4.3 Creating PDFs of returns and forms

A PDF of an entire return or any individual form, including entered data, can be generated as required.

To download the complete return, click the Download PDF icon in the Actions column on the Manage Returns page.

For an individual form, select the View in PDF icon for the relevant form on the [View Return Page](#). Only the rows displayed on the screen will appear in the PDF. A message will indicate the total row count contained in the table.

Entire return	Individual form
	

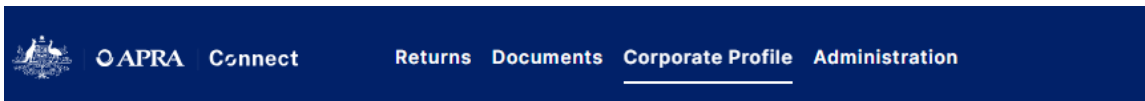
# 5. Company Details and Corporate Profile Returns

## 5.1 Company profile obligations

Entities must update entity profiles via APRA Connect, using the relevant corporate profile return. For example, an entity address change requires the submission of a 'Contact Information' return. Refer to the [APRA](#) website for industry-specific reporting obligations relevant to your organisation.

## 5.2 Viewing your corporate profile

To view key entity information, select Corporate Profile from the taskbar.



The Corporate Profile page displays sections that contain an entity's key organisation data. Corporate profile details should be reviewed regularly to ensure information is up to date. Updates require submitting the relevant corporate return by an authorised user. Refer to [User roles](#) for details of permissions.

- Click the page icon or click the plus icon to expand the folder and view details.

The details displayed are dependent on the industry of the organisation.

### Corporate Profile

This section provides a current and historical view of your company's key organisational information.

#### Corporate Profile

The components of the Corporate Profile are listed below. Check them regularly to make sure information is up to date.

Corporate Profile
<a href="#">Contact Information</a>
Contact Persons/Related Party
Responsible Persons
Accountable Persons
<a href="#">Licence/Registrations</a>
<a href="#">Name History</a>
<a href="#">FAR - Corporate Profile</a>
FAR - Accountable Persons

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## 5.3 Creating a corporate return

Corporate Profile users can create and submit corporate returns to update an organisation's details.

Note, returns may be available to create that are not relevant to your organisation's industry. Refer to the relevant prudential standard on the [APRA](#) website for reporting obligations for specific corporate returns.

### 5.3.1 Available corporate returns

Form set name	Description
Balance Date	To update balance date listed in the organisation's profile.
Contact Information	To add or update the organisation's address and contact details. Multiple address types can be submitted at once.
<a href="#">Contact Persons/Related Parties</a>	To add or update information for individuals (such as Crisis Management Contacts) and view related Legal Entities (such as Trustees). Multiple entries may be submitted within the same return.
Name Details	Submit a change to an organisation's registered name.
<a href="#">Responsible Persons</a>	To add or update Responsible Persons. Note, it is permissible to add multiple instances within a single submission.

### Financial Accountability Regime (FAR) returns

Refer to the [APRA Connect FAR reporting forms – instruction guides](#) for further information regarding reporting obligations.

Form set name	Description
Financial Accountability Regime - Entity Profile	To create the entity's initial FAR profile or to update existing details such as FAR classifications and significant related entities information (if relevant).
Financial Accountability Regime - Accountability Map	To submit an initial or updated accountability map for a FAR entity that meets the enhanced notification threshold.
Financial Accountability Regime - Registration	To register an accountable person. Entities that meet the enhanced notification threshold must also attach an accountability statement for the individual in the return. Typically, registration information will not appear on the Corporate Profile until 21 days after submission.

Form set name	Description
Financial Accountability Regime - Notifiable Events	To notify of any material changes to an accountable person's information such as changes to responsibilities, person details, key functions, reporting lines, accountability statements, if an accountable person has ceased or been suspended. Upon submission, updates are reflected immediately on the Corporate Profile.  Update details of one accountable person per return. Adding multiple accountable person changes to one return will cause errors and you will not be able to submit.
Financial Accountability Regime - Breach by Entity	To advise if the accountable entity has reasonable grounds to believe it has failed to comply with its accountability obligations or key personnel obligations.
Financial Accountability Regime - Breach by Accountable Person	To advise if the accountable entity has reasonable grounds to believe the accountable person of the accountable entity, or a significant related entity of the accountable entity, has failed to comply with the person's accountability obligations.

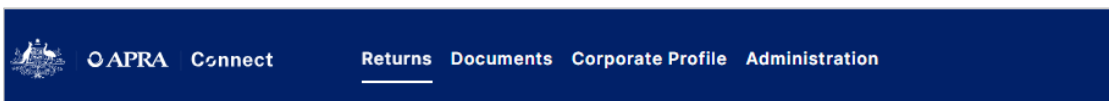
## Private Health Insurance corporate returns

Refer to the [Private Health Insurance](#) industry page on the APRA website for further information regarding reporting obligations.

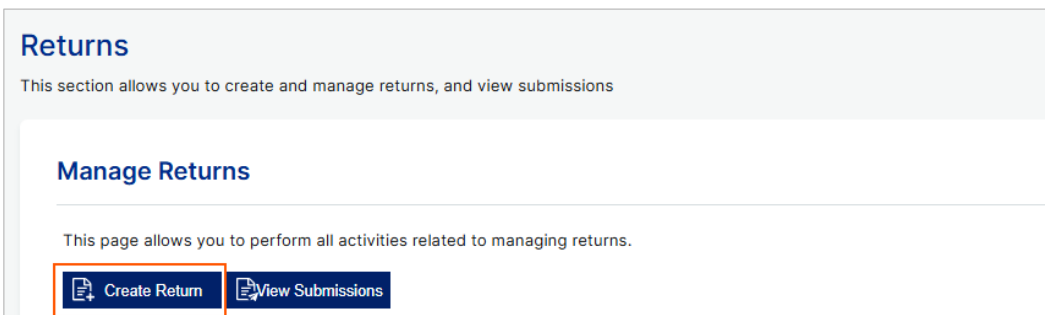
Form set name	Description
States in which insurer operates	To update the states and territories that the organisation operates.

### 5.3.2 Creating and completing a corporate return

- Select Returns from the task toolbar.



- On the Manage Returns page, click Create Return.



- The page lists form sets for the company profile returns.
- Name the return according to your organisation’s conventions, select the relevant form set.
- Enter the Effective Date by clicking the calendar icon, then click Create.

- The confirmation page displays the return’s reference number. To start entering data immediately, click the hyperlinked name to open the newly created return. Alternatively, draft returns can be accessed via the [Manage Returns](#) page.

The images below are examples of how to Add or Edit different parts of a return by selecting highlighted icons. All mandatory data in a return is denoted by a red asterisk (\*).

- Click Add section icon to add new information.
- Click Edit to update existing information

- To save and close:
  - an incomplete form, click Save as Draft.
  - a complete form, click Validate and Save.

As shown below, the icon displayed beside the return and form names indicates the current Status:

**No data**                      **In draft**                      **Validated with no errors**

Once completed and validated, the return can be submitted. Refer to [Submitting Returns](#) for more information.

## 5.4 Updating corporate profile information

To update Corporate Profile information, create a new Corporate Profile return with the new details and submit.

Resubmissions should not be requested for updating corporate returns. The only exceptions apply to the following FAR returns, where resubmission requests may be granted if the workflows have not been processed by the Regulators:

- Financial Accountability Regime – Entity Profile
- Financial Accountability Regime – Registration
- Financial Accountability Regime – Breach by Entity
- Financial Accountability – Breach by Accountable Person

Refer to the [APRA Connect FAR reporting forms](#) for further information.

## 5.5 Explanation of corporate roles in returns

Information regarding certain employees at an organisation is submitted to APRA through three types of returns, each with different requirements:

Return	Description
Contact Persons / Related Parties	<p>These roles predominantly assist APRA in where to target specific correspondence or to enable APRA Extranet access. 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 (for Internal Loss Data Refresh upload)</li> <li>○ SDCP (Scenario Data Collection Policy) Contact</li> </ul> </li> <li>• Billing contact – addressee for APRA levies</li> <li>• Crisis management contact</li> <li>• NCPD (National Claims and Policies Database) Contact</li> <li>• Regulatory Reporting Contact (for reminder notices, late notices, post-submission query process for returns submitted in D2A).</li> </ul>
Responsible Persons	Refer to the relevant industry Fit and Proper Prudential Standard on the <a href="#">APRA</a> website.
FAR Accountable Persons	Refer to the <a href="#">APRA Connect FAR reporting forms</a> .

# 6. Regulatory Returns

## 6.1 When returns become available

Returns are available the next day following the end of the relevant reporting period (for example, for the period ending 30 June the returns are available on 1 July). For details on your organisation's reporting obligations, consult the relevant industry page on the [APRA](#) website.

Returns appear in your list of Draft Returns on the Manage Returns page.

**Returns**  
This section allows you to create and manage returns, and view submissions

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

[Create Return](#) [View Submissions](#)

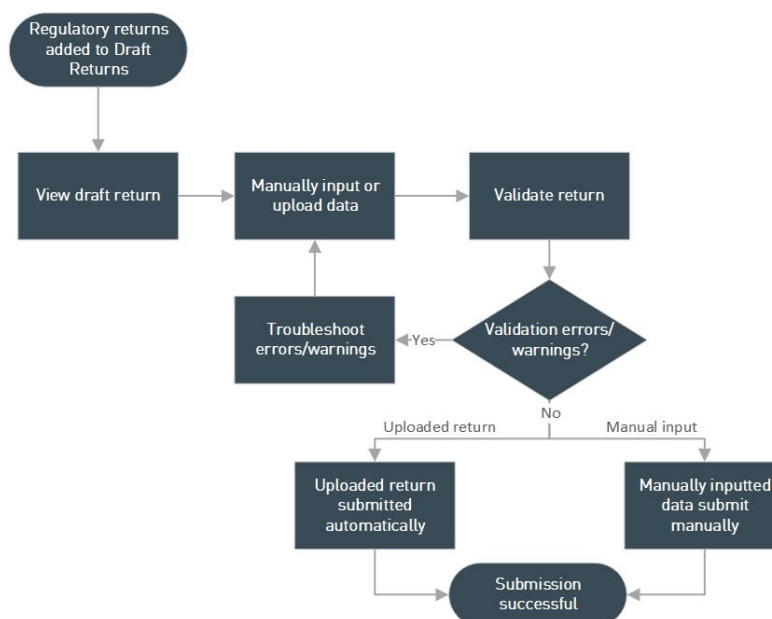
**Draft Returns**

Name	Reference	Revision	Categories	Status	End date	Due date	Actions
<a href="#">LRS_300.0-30-06-2022</a>	LI_STATFINPOS16185	0.1	Quarterly	Complete	30/06/2022	31/07/2022	
<a href="#">LRS_300-14-12-2022</a>	LI_STATFINPOS15988	1.1	Annually	In Draft	31/12/2022	31/01/2023	
<a href="#">LRS_310.0-31-03-2023</a>	LI_STATPLANDOC17027	0.1	Quarterly, Level 1	No Data	31/03/2023	30/04/2023	
<a href="#">LRS_340.1-31-03-2023</a>	LI_RETPROFSC17026	0.1	Quarterly, Level 1	No Data	31/03/2023	30/04/2023	

[Regulatory Reporting Administrators](#) receive an automated email reminder seven calendar days before each return's due date.

## 6.2 Regulatory return completion and submission overview

The diagram below outlines the process for completing and successfully submitting regulatory returns, including the validation process.



## 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 individual uploading the file. Validation and submission of large returns is performed in the background, to minimise the time the system is unavailable during the validation process, and to avoid system timeouts.

#### Optional validation approval

To address different governance and business processes across entities, an optional approval step is available through a validation rule triggered prior to submission. This additional validation can be activated on an opt-in basis for individual entities. When enabled, the approval validation warning requires confirmation that the validated data return is ready to be submitted.

The rule operates similar to other [validation warnings](#); a comment must be provided to confirm submission before users with submission [permissions](#) can click Continue to submit. The Save Comments option allows 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.

[Printer Friendly Format](#) | [Show errors in new window](#)

#### 6.3.1.1 Opting-in to optional validation approval

To opt-in to the additional approval, email APRA at [DataAnalytics@apra.gov.au](mailto:DataAnalytics@apra.gov.au) and include the name and ABN of each entity the validation rule should apply to. Note, for superannuation entities include the ABN of the fund (i.e. not the ABN for the Trustee).

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

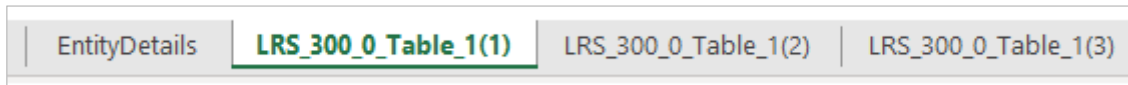
Note: APRA may, in certain cases, restrict the availability of this validation rule across collections. This is particularly, relevant where the anticipated data volumes could impact system performance.

### 6.3.2 Excel form layouts

Excel upload definitions are included in the form layouts found within the reporting taxonomy artefacts on the relevant industry Reporting Resources page on the [APRA](#) website.

Keep the template unchanged to ensure successful uploads. Do not remove/modify rows, or columns, and in most cases do not change the worksheet names.

Except for granular data collections covering multiple funds (applicable to selected Private Health Insurance, Life Insurance and Friendly Society collections), the form layout must be copied for each fund in a separate worksheet. Each worksheet must be labelled with the form name followed by a sequential number in brackets (refer below).

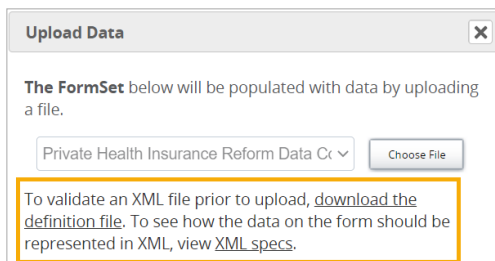


The form layout includes the definition of the permitted drop-down values and identifies derived fields with crossed diagonal lines in a cell indicates no input required.

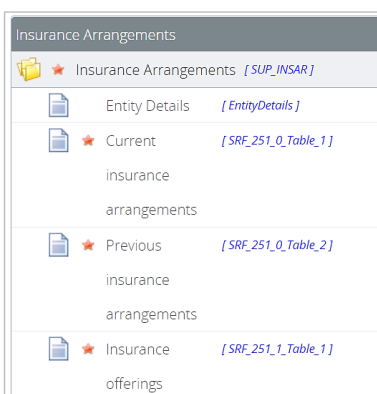
Note: Only the EntityDetails and form layout worksheets are required for upload. All the other worksheets, published in the reporting taxonomy, should be excluded.

### 6.3.3 XML definitions and specifications

The XML definition file and XSD specifications for a return can be accessed from the Upload Data window. Follow the first two steps below to open the window and click the links.



- The downloaded definition file can be used to validate XML files before uploading.
- Clicking XML specs opens the View Return page, which displays forms and tables identified by schema item and list names.



XML file definitions are accessible from the Reporting Resources page for each industry on the [APRA](#) website.

Sample XML files can be generated using XML editor and the downloaded definition file. The choice between Excel and XML depends on organisational needs and technical capabilities; however, for data that exceeds the Excel row limits, XML format must be used for upload.

### 6.3.4 File types

Valid file types can vary between returns. To view the list of file types for a specific return, open 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](#).

**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 files greater than 10Mb are compressed using the standard .zip format. No other compression formats are currently accepted.

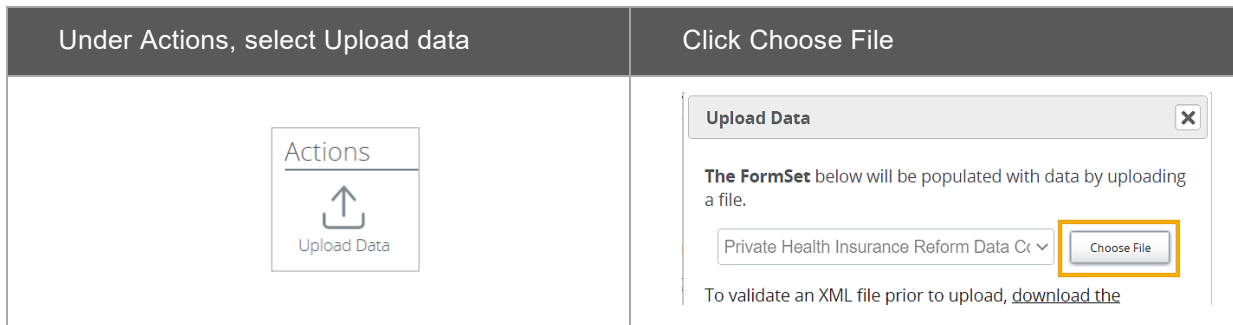
### 6.3.5 Empty rows in tables

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

### 6.3.6 Uploading return data


When a file passes all validations and is uploaded by a user with the relevant permissions, it will be automatically submitted. For additional information, refer to [Automatic submission of validated returns](#).

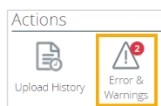
- To upload return data, go to the View Return page.



- If uploading data into a return that already contains form data, a prompt will appear, requiring deletion of existing data before proceeding. Refer [below](#) for further details.
- Select the file to upload, the system verifies the file type, uploads it, and then displays the file name and status. To close the window, click Done.



- If offline processing is enabled for the return, APRA Connect remains available for use while processing. Refer [Offline processing](#).
- When the file is complete and uploaded without validation errors or warnings, by default the return is [automatically submitted](#). However, if the entity has opted in for an additional approval step, the submission must be manually confirmed. See [Optional validation approval](#).
- Upon returning to the View Return page, click Refresh status to update the return's status.
- The page shows:
  - each form as Validated with no errors ; and
  - the Return status as Submitted.
- If validation errors or warnings are encountered, the Errors & Warnings icon is displayed under Actions on the View Return page. Refer to [Data Validation](#) for more information.



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

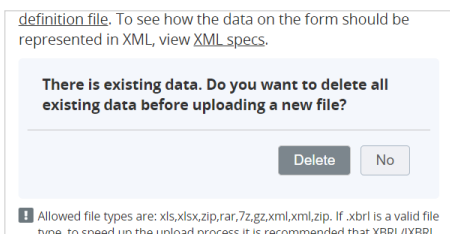
Notes:

- The entity name is neither uploaded or validated; if incorrect, it will not trigger an error.
- Validation rules on incomplete returns may not catch all issues; more rules could trigger as further data is added. Complete all forms before clicking [Validate & Submit](#), then address any errors triggered.

### 6.3.7 Uploading into a return with existing data

A return may be completed by uploading multiple files containing the required data. For large amounts of data, splitting form data across several files should be avoided.

When uploading data for a return with forms that already contain data, there will be a prompt to delete the existing data before proceeding.

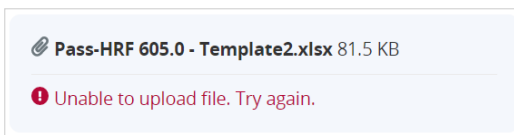


Selecting	Result
No	<ul style="list-style-type: none"> <li>• Uploaded table rows are added to existing data. Validation errors will occur if the uploaded rows are the same as the existing row data (row data must be unique).</li> <li>• If a field contains different values in both forms, you must select 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 return data will be cleared.

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

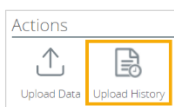
If data for a return is being uploaded simultaneously by multiple users, several outcomes are possible:

- Should the portal register another individual's uploaded data before the other user clicks Choose file, a prompt will appear, requiring deletion of the existing data before proceeding, as detailed [above](#).
- If the other person's file is processing, when you select and open the file, an error will appear and the file will not be uploaded.



### 6.3.9 Upload history

- To view a return's upload history, go to the View Return page of either a draft return or its submission history, and click Upload History under Actions.
- The Upload History page shows each file uploaded for the return, together with links to view the file, and any validation errors.



### Hash value

The Hash generated for each uploaded file is to confirm data integrity, indicating that the data has not been modified, tampered with, or corrupted. The hash algorithm will always produce the same Hash value for identical data, regardless of how many times it is applied during the upload.

To display the Hash below the list, click Show for the required entry. This value may be referenced for audit purpose.

**View Upload History**


Return name: SRF 550 Regression  
 Reference: SUP\_AA14523  
 Please select a file to view

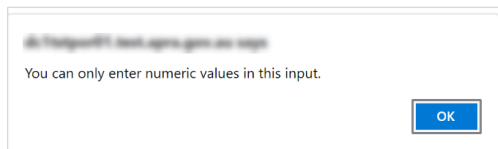
File	Uploaded on	Uploaded by	Uploaded to	Status	Hash
<a href="#">B22_SRF_550.xlsx</a>	11/05/2022 11:41:48		SRS 550.0 Asset Allocation	Processed	<input type="button" value="Hide"/>
<a href="#">B22_SRF_705.0.xlsx</a>	11/05/2022 11:41:30		SRS 550.0 Asset Allocation	Processed	<input type="button" value="Show"/>

Wgkn44U2M5X7ZoEm9jDHg/cczll7VwkBSiK0CKqGJv3qYTX/zpnAljZb86+8qSqMkXBjSfB\*9GlrhyQSYk+eg==

[Back](#)

## 6.4 Manually entering return data

- To manually enter data:
  - Open the form, by selecting either the form name or Edit. For certain returns, a new form may need to be added by clicking the Add section icon . Refer [below](#) for further information regarding repeatable forms.
  - Enter the required data in the form fields. Mandatory fields are marked by a red asterisk **\***.
  - Field level validation is in place to prevent entry of incorrect data types for a specific field, and any errors will trigger an alert message.



- To save an incomplete form, click Save as Draft. To save a complete form, click Validate and Save.
- If there are form validation errors, a popup displays the error list, which can be printed if needed.

Form Validation Issues - Work - Microsoft Edge

https://dc1tstpor01.test.apra.gov.au/VizorPortal/FormValidationErrors.aspx

Form Validation Issues

Some rules have been broken on this form. Please review the issue(s) below and correct before continuing.

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

[Print](#) | [Close](#)

- Click Close to go back, fix errors and re-validate, or save a draft for later.

Refer to [Data validation](#) below for further information of validation errors

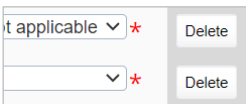
Note: Save forms at regular intervals to minimise the risk of losing data if the connection is interrupted.

## 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 for the applicable row.



Note:

- APRA Connect does not support tables pasted from Excel or other file formats.
- 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 there is nothing to report, it should be validated to confirm an intentional empty submission:

- Open the appropriate form by selecting the form name or Edit, and Click Validate and Save.
- The form is displayed on the View Return page with the Validated with no errors icon, along with a note for confirmed empty forms.

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

Required forms are auto generated from the contents of an uploaded file when a return includes multiple instances of the same form.

### 6.6.2 Manually entering data

When a return can include multiple instances of the same form, additional forms can be added to meet the reporting obligations.

- To add multiple instances of the same form to meet reporting obligations, click the Add Section icon.



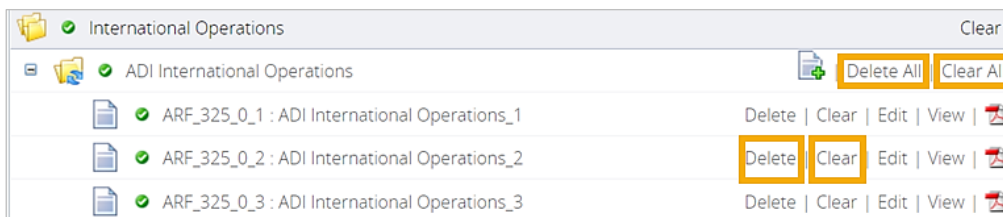
- Each form name is uniquely identified by its return context.



### 6.6.3 Deleting instances and clearing data

There are several ways to delete or clear repeatable forms:

Option	Description
Delete All	Deletes all forms.
Clear All	Clears all data, leaving forms with a status change to No Data.
Delete	Deletes the individual form.
Clear	Removes data from the individual form, and status is updated to No Data.



Note: If clearing one of the reporting consolidation forms after file upload, the reporting consolidation of the cleared instance defaults to the remaining instance. Manually adjust the reporting consolidation using the form drop-down list.

Clearing one reporting consolidation instance	Defaults to remaining instance

## 6.7 Data types

Data type properties are defined in the Data Dictionary available from the APRA Connect Taxonomy Artefacts on the [APRA](#) website.

Note:

- Do not use \$ or % signs for monetary or percentage values.
- Report percentages as decimals (e.g. 12.34% as 0.1234), as per the relevant reporting standard.
- Enumerated data is case sensitive and only 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 the Bankers rounding method wherever rounding is applied, which rounds x.5 values to the nearest even number (i.e. numbers that are equidistant from the two nearest integers). 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), and 0.5 rounds down to 0. All other numbers are rounded as normal. Refer other examples below.

Original	Rounded
0.4	0
0.5	0
0.6	1

Original	Rounded
1.4	1
1.5	2
1.6	2

## 6.10 Data validation

All forms are validated prior to submission, using two types of checks:

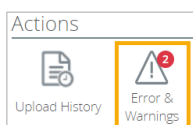
Check	Description
Error	Mandatory validation errors must be corrected and re-validated prior to submission. Returns containing mandatory errors cannot be submitted.

Check	Description										
Warning	<p>Validation warnings highlight data discrepancies or abnormal variations, often due to typographical or transposition errors. In some instances, the data may be correct.</p> <p>Where the data is correct, and all mandatory validation errors are resolved, click <b>Validate &amp; Submit</b> and provide an explanatory comment for the discrepancy in order to submit the return.</p> <div style="border: 1px solid #ccc; padding: 10px;"> <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> <input type="button" value="Save Comments"/> <input type="button" value="Continue to submit"/> </p> <p> <a href="#">Printer Friendly Format</a>   <a href="#">Show errors in new window</a> </p> </div> <p>Use the <b>Save Comments</b> to add a comment for future review and click <b>OK</b> to confirm.</p> <div style="border: 1px solid #ccc; padding: 5px; margin: 10px 0;"> <p>Comments saved successfully</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;"><input type="button" value="OK"/></p> </div> <p>Note, saved comments are deleted when return data is modified.</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](#) on the APRA website.






If errors or warnings occur when [uploading](#) or [manually submitting](#) return data, the Errors & Warnings icon appears under Actions on the View Return page. The number indicates how many errors/warnings need to be addressed.

- Click the icon to view the errors and warnings in read-only mode.



If data can't be uploaded, a red star icon (No data) will appear next to the affected forms or return.

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 shows as No Data. Correct the errors and retry uploading. On the View Return page, forms with 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 shows as In Draft. On the View Return page, forms with errors are displayed with the In Draft icon  .
<a href="#">Complete</a> 	If the file uploads with validation warnings, the status shows 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 values for the same field differ across multiple forms. For example, the same field may be expected to match the same value across multiple forms in a return.

#### Cross return

Cross return validation errors happen when data values are different between related returns.

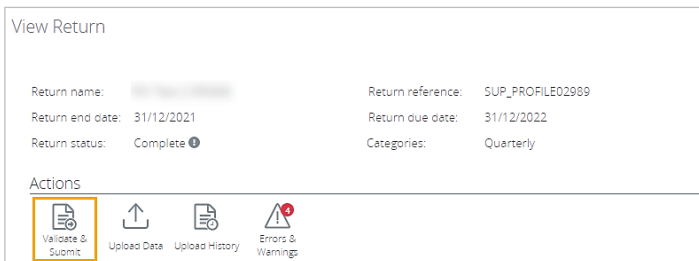
#### Cross period

Cross period validation errors occur when there are discrepancies between expected values across returns for multiple periods.

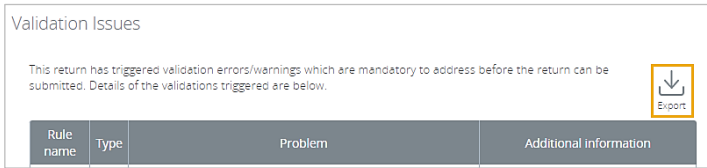
### 6.10.2 Exporting validation error and warning messages

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

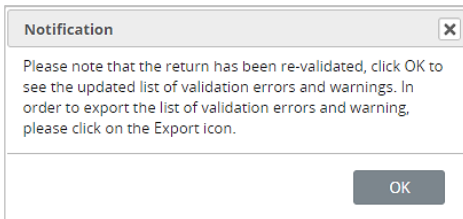
The Export option is available when the Validation Issues are accessed by clicking Validate & Submit.



The Export icon is available on the Validation Issues page



The Excel template reflects the current rule failures. If another user has re-validated the return, an alert will be displayed when clicking the Export icon. The system will automatically refresh the page to display new rule failures.



Different scenarios will result in different alert messages, each requiring specific actions. The table below outlines these scenarios, the corresponding alert message and required action.

Scenario	Alert message	Action
The return has been re-validated and contains errors/warnings	This return has been re-validated, so this page will be refreshed to display the new validation errors/warnings. Please click the Export icon again to download the template when this page refreshed.	<ul style="list-style-type: none"> <li>Refresh the page to download the up-to-date Excel template.</li> </ul>
The return has been re-validated without errors/warnings	There is no error/warning to display as this return has been re-validated without error/warning.	<ul style="list-style-type: none"> <li>Click OK to re-direct to the View Return page.</li> </ul>
The return has been submitted	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>Select Click here to re-direct to the Submission History page.</li> <li>Click OK to re-direct to the Draft Returns.</li> </ul>

## Export Template

Export template properties:

- Format is XLSX (older Excel versions require installation of the Microsoft Office Compatibility Pack).
- Filters and freeze pane are automatically applied to column headers.
- The comments column indicates which rules can be explained and those that can't. Unless both errors and warnings exist, in this case this column will not be visible.
- Only the warnings comments column is editable.

- Non editable cells have a grey background.

An example of the Excel template with only warnings:

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

An example of the Excel template with errors and warnings:

Company Name	Return Name	Revision	Periodicity	End Date	Return ID	Rule name	Type	Problem	Additional information
Test Entity	SRS 332 Expenses	0.1	Annually	30/06/2022	3321	SRF 332.0 No auto-submit	Warning	Please confirm you wish to proceed with submitting this return to APRA by providing a comment and clicking the Continue to submit button, or click Back if you don't wish to submit.	
Test Entity	SRS 332 Expenses	0.1	Annually	30/06/2022	3321	SRF 332.0 Table 1 00001	Error	The value reported in Table 1: Service providers, Service Provider Shareholding Relationship Percent 2.0000 must be between 0 and 1 (inclusive) and entered in decimal format. Check row with Service Provider Identifier SPI2.	
Test Entity	SRS 332 Expenses	0.1	Annually	30/06/2022	3321	SRF 332.0 Table 1 00003	Error	The value reported in Table 1: Service providers, Service Provider Identifier SPI2 must either be reported in Table 2: Administration and other expenses reporting, Service Provider Identifier or in Table 3: Investment management expenses, Service Provider Identifier.	

### 6.10.3 Importing comments for warnings

An Excel template may be uploaded to add comments and explain warnings. The Import option appears only when warnings require explanation.

Submission Validation Issues

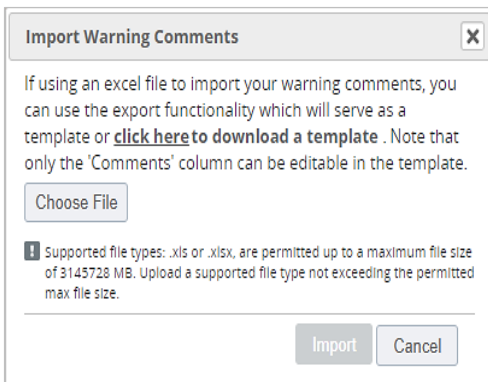
Validation checks have identified data which needs explanation or confirmation prior to submission to APRA. Details of the validations triggered are below.

Export Import

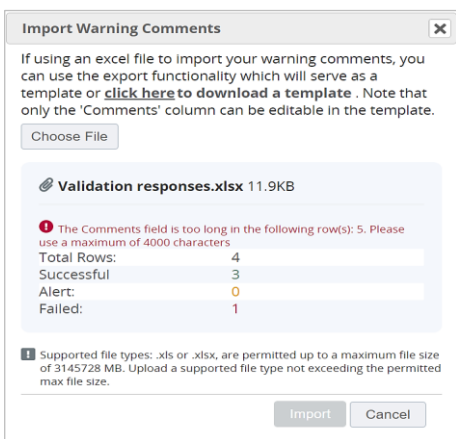
Rule name	Type	Problem	Additional information	Comments
SRF 332.0 Table 3 00005	Warning	1. Please explain why a negative value was reported in Table 3: Investment management expenses, Service Arrangement Investment Management Cost Amount. Check row with: Service Provider Identifier - SPI1 Superannuation 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; height: 20px; width: 100%;"></div>

Note, if there are errors and warnings, the Comments columns will not be visible, nor included in any export to Excel. Resolve all errors, re-validate and export only warnings.

- To import an Excel template: Click Validate & Submit, Click Import and select Choose File to browse to and select the file to import.

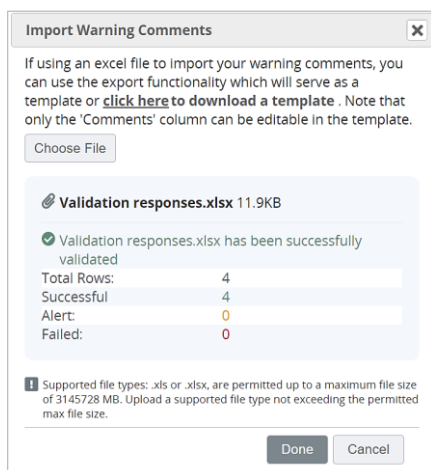


- As shown below, the window displays any identified issues with the import file that must be resolved before the Import button is enabled. Refer to [Import file errors](#) for more information. Once a file has been accepted without errors or warnings, click Import.



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

- A message appears when the file is imported successfully. Select Done to continue. Populated comments can be viewed on the Submission Validation Issues page.



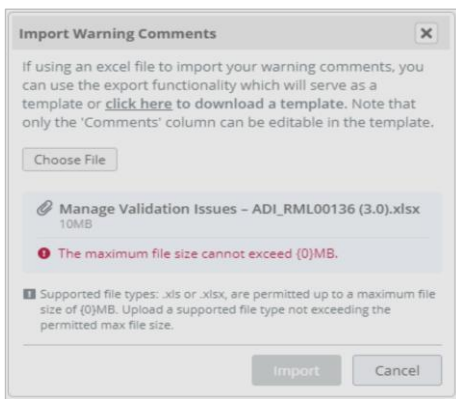
## Importing into a re-validated return

If another user has re-validated the return, comments can still be imported. The system matches comments to the latest failures by rule name and error message, then applies them accordingly.

## Import file errors

A file may fail validation and not be uploaded due to:

- invalid file type, size or detected virus.
- missing rows.
- incorrect file for revision.
- comments exceed the 4,000-character limit.
- if another user has submitted the return and the file cannot be uploaded.



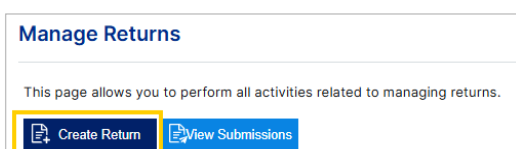
## 6.11 Ad hoc returns

Ad hoc returns can be created at any time by users assigned with the [Ad hoc return permissions](#) role. There are three types of ad hoc returns:

- the Ad Hoc File Upload return is available to all entities to submit files or make requests. Refer [Creating ad hoc returns](#); and
- the RSE Structure, Fees and Costs, and Insurance Arrangements returns are specific to Superannuation entities. Refer [Superannuation ad hoc returns](#); and
- the [Breach Notification](#) (non-FAR) ad hoc return.

### 6.11.1 Creating ad hoc returns

- To create an ad hoc return, select Returns from the toolbar. On the Manage Returns page, click Create Return.



- Please select the appropriate return from the form set list. If you require a file upload, choose the ad hoc option.

- Name the return using your organisation's naming convention.
- Clicking the calendar icon and select the Effective Date of the return (the date which the request takes effect).

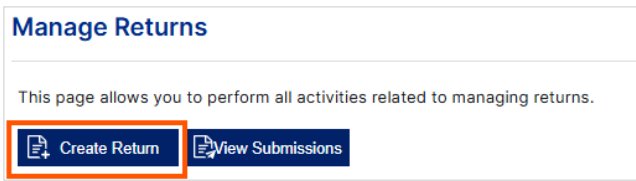
- Click Create and a confirmation page displays the return's reference number.
- To immediately begin adding data to the return, click the hyperlinked name to open the return.

- Draft returns can be accessed from the [Manage Returns](#) page.
- Complete the return as required.
- To save and close:
  - an incomplete form, click Save as Draft; or
  - a complete form, click Validate and Save.
- Once the return is complete and validated, it may be [submitted](#).

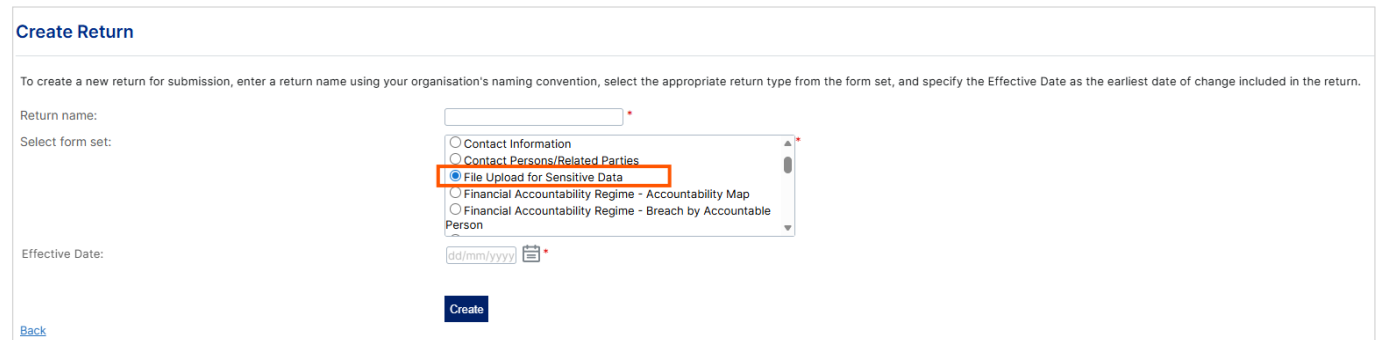
## 6.11.2 Creating file upload for sensitive data

Users with the [Sensitive Data Submitter](#) role can create File Upload for Sensitive Data returns at any time.

- To create a File Upload for Sensitive Data return, select Returns from the task toolbar. On the Manage Returns page, click Create Return.

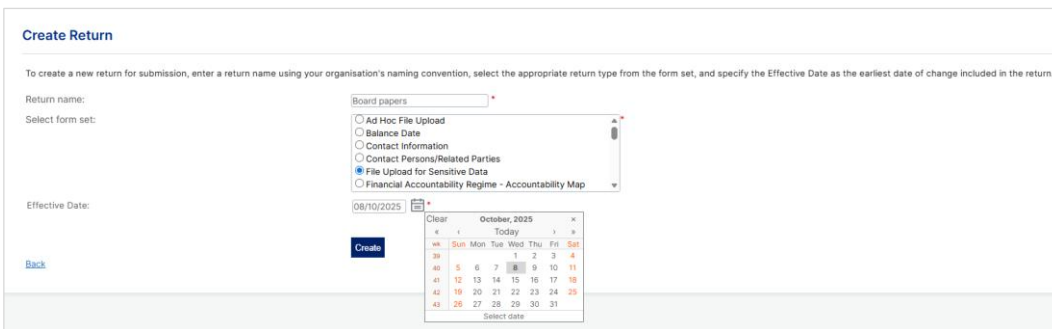


- From the form set list, select the required return.

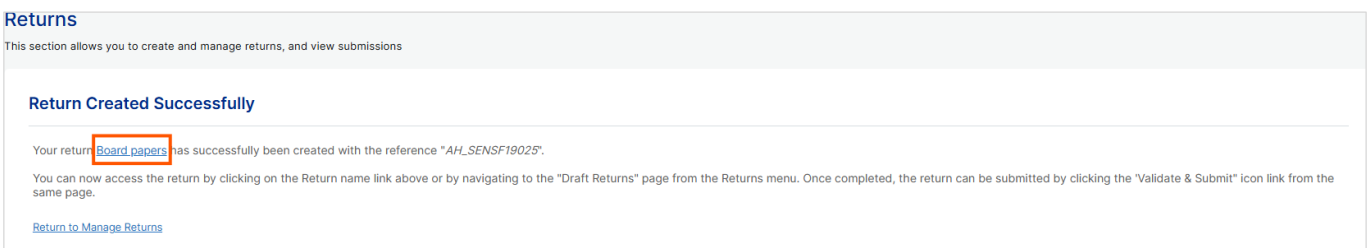


Note - the above displays when the user has both the Ad hoc return and Sensitive Data Submitter permissions.

- Enter a name for the return that follows your organisation's naming convention.
- Click the calendar icon to select the date.



- Click Create and a confirmation page displays the return's reference number.
- To add data to the return immediately, select the hyperlinked name to open the return.



- Draft returns can be accessed from the [Manage Returns](#) page for users with the Sensitive Data Submitter role.
- Complete the return as required.

- To save and close a form:
  - If the form is incomplete, click Save as Draft; or
  - If the form is complete, click Validate and Save.
- Once the return is complete and validated, it can be submitted. After submission, attached files cannot be viewed, edited, or deleted. If these actions are required, contact APRA at [DataAnalytics@apra.gov.au](mailto:DataAnalytics@apra.gov.au).

### 6.11.3 Ad Hoc File Upload

The Ad Hoc File Upload return can be used to submit documents (e.g. audit reports, Risk Management Declarations, Trustee Financial Statements, Financial Condition Reports, ICAAP reports and declarations).

- Accepted file formats: .xls, .xlsx, .csv, .doc, .docx, .pdf, .ppt, .pptx, .jpeg, .jpg, .png, .bmp, .tif, .gif, .zip
- Maximum file size upload: 30Mb
- Maximum zip file size upload: 500Mb

Note, ad hoc returns are not used to:

- request reporting due date extensions or seeking an exemption. Extension and exemptions must be submitted to APRA in advance of the due date via the [dataanalytics@apra.gov.au](mailto:dataanalytics@apra.gov.au) mailbox.
- request the resubmission of regulatory returns. Refer to [Requesting a resubmission](#).
- To complete the return, click Edit for the Ad Hoc File Upload Form.



- Click Choose File to upload file(s) and add Comments in the free text field if required.

- To save and close:
  - an incomplete form, click Save as Draft; or
  - a complete form, click Validate and Save, Validate and Submit, then Submit.

## 6.11.4 File upload for sensitive data

The File Upload for Sensitive Data return can be used to submit file attachments (such as audit reports, Risk Management Declarations, Trustee Financial Statements, Financial Condition Reports, ICAAP reports and declarations).

- Accepted file formats: .xlsx, .csv, .doc, .docx, .pdf, .ppt, .pptx, .jpeg, .jpg, .png, .bmp, .tif, .gif, .zip
- Maximum file size upload: 30Mb
- Maximum zip file size upload: 500Mb
- To complete the return, click Edit for the File Upload for Sensitive Data.



- Upload the required files.

The form view displays the entity name 'Ample Entity Ltd' and ABN '98765432198'. It contains five 'Upload Document' sections, each with a 'Choose File' button. A note specifies acceptable file types: .xlsx, .csv, .docx, .pdf, .pptx, .jpeg, .jpg, .png, .bmp, .tif, .gif, .zip. At the bottom are 'Save As Draft' and 'Validate & Save' buttons.

## 6.11.5 Superannuation ad hoc returns

Superannuation entities can use the ad hoc returns (refer below) to submit required data, outside the regular reporting cycle. Note, this excludes event-only returns such as wind-ups and successor fund transfers.

For details on reporting obligations, refer to the Superannuation industry page on the [APRA](#) website.

Form set name	Form code	Description
Insurance Arrangements	SRS 251.0 Table 4	Records claims processing information for insurance arrangements, including status and handling metrics.
RSE Licensee Profile	SRF 604.0 Table 3B	Captures other directorships held by the RSE licensee's directors outside their role with the RSE licensee.

Form set name	Form code	Description
RSE Structure	SRF 605 .0	Collects data on the structure of each registrable superannuation entity's (RSE) business operations.
RSE Structure – Part B	SRF 605.0 Table 5	Captures Defined Benefit Sub Fund groupings, including regulated and pooled investment options offered by the RSE licensee.
RSE Structure – Part C	SRF 605.1 Table 1	Investment option transaction and pricing attributes.
Fees and Costs	SRF 706.0 Table 1	Captures fees and costs to be applied to or impact member balances.

## Resubmission versus ad hoc returns

If erroneous or incomplete data is submitted (for example, as a result of [auto-submit](#) on upload) during the standard reporting cycle, a [request for resubmission](#) is required.

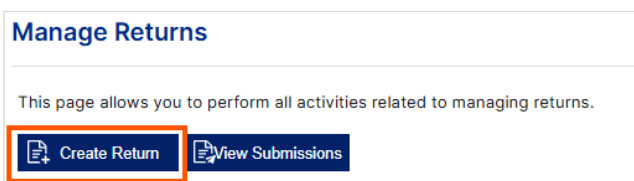
Ad hoc returns must be used to report data changes outside the reporting cycle. For example, if the RSE Structure covers the reporting period 1/7/25 to 30/6/26, and a change occurs on 15/7/26, submit this via an ad hoc return with an effective date of 15/7/26.

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

### 6.11.6 Breach Notification (non-FAR) ad hoc return

Users with the [Breach Submitter](#) role can create Breach returns at any time.

- To create, select Returns from the task toolbar. On the Manage Returns page, click Create Return.



- From the form set list, select the required return. Add the Effective Date of the return and create.

- To add data to the return immediately, select the hyperlinked name to open the return.

**Return Created Successfully**

Your return [Breach test](#) has successfully been created with the reference "BN0772".

You can now access the return by clicking on the Return name link above or by navigating to the "Draft Returns" page from the Returns menu. Once completed, the return can be submitted by clicking the "Validate & Submit" icon link from the same page.

[Return to Manage Returns](#)

- Draft returns can be accessed from the [Manage Returns](#) page for users with the Breach Submitter role.
- Complete the return as required.
- To save and close a form:
  - an incomplete, click Save as Draft; or
  - a complete form, click Validate and Save.
- Once the return is complete and validated, it can be submitted.

There are no resubmissions for this return. To make changes, please contact your APRA supervisor before submitting any further breach submissions related to this matter.

# 7. Submitting Returns

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Submitting returns (regulatory, corporate or ad hoc) follows the same process. Each form in a return must be completed and validated prior to submission.

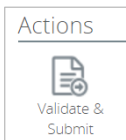
Only authorised users can manually submit returns. Refer to [User roles](#).

Returns are submitted automatically if any user uploads a file that passes validation. Refer to [Uploading return data](#).

## 7.1 Manually submitting a return

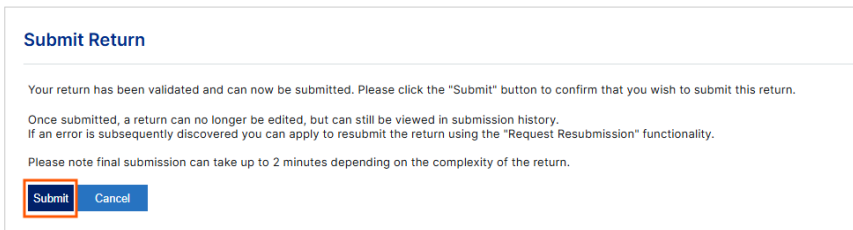
To submit a return manually, select Returns on the taskbar to access the [Manage Returns](#) page.

- Open relevant return, click Validate & Submit.

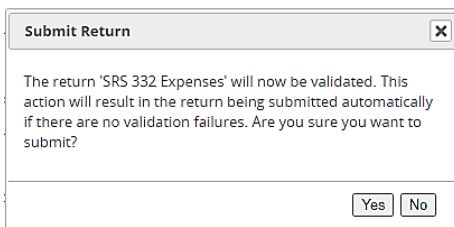


Note, this is only available when a return is complete and validated.

- The return is validated for submission. If there are no errors, the Submit Return page appears. Click Submit to finalise the submission.



- If [offline processing](#) is enabled for the return, the Submit Return confirmation box appears: Click Yes to complete the submission.



- 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 resolving errors and warnings.

Once APRA receives the data, a confirmation email with the submission reference is sent to the organisation's Regulatory Reporting Administrator(s). Use this reference number in any related correspondence.

## 7.2 Offline processing

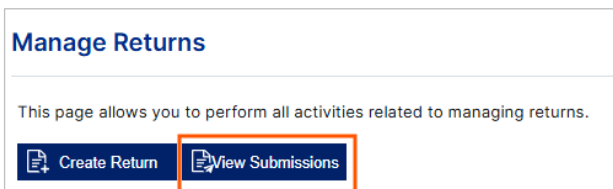
Validation and submission of large returns are performed in the background to minimise system downtime during the validation process and prevent timeouts. Users can continue to use APRA Connect while processing is underway.

Registered RRAs will receive a confirmation email once a return has successfully been processed.

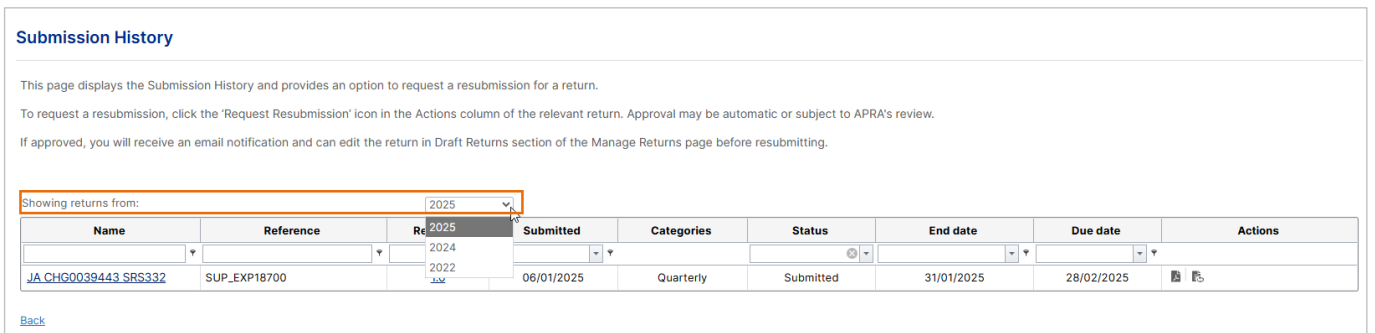
## 7.3 Submission history

The Submission History page shows previously submitted returns, a user can view if they have the appropriate permissions.

- To view the submission history, select Returns on the taskbar to go to the Manage Returns page. Click View Submissions.

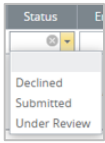


- Select the relevant year from the Show returns from list. This refers to the year which the return applies to, not the year it was submitted.



Previously submitted returns are shown based on user permissions.

- Filters in applicable columns are available to refine the list and search specific returns.



- Click a return name to open the View Return page for the latest submitted version. Users can view form data, review upload history (if available), and request a resubmission (if required).
- Click the Revision number to view a list of submitted versions.

**Returns**  
The Manage Returns section allows you to initiate and track regulatory returns.

[View Audit Log](#)

Return name: ADI 112.0 Level1  
Reference: ADI\_CRSTD15914  
Creation date: 14/11/2022  
Due date: 30/06/2023  
Please select a version of this Return to view

Revision	Status	Action	Actioned on	Actioned by	Submitted on	Submitted by
1.0	Submitted	Grant resubmission request	14/12/2022 11:22:07	System User	14/11/2022 23:09:43	Neha Sharma
2.0	Submitted	Submit Return	14/12/2022 11:28:28	Neha Sharma	14/12/2022 11:28:28	Neha Sharma

[Back](#)

## 7.4 Requesting a resubmission

If changes are required after submitting a regulatory return, a resubmission can be requested via APRA Connect and these requests are automatically approved.

For non-Regulatory returns (i.e. ad hoc submissions, including FAR submissions) these are subject to review and approval.

Note, resubmissions requests for Corporate Profile returns (excluding FAR) will not be approved. To amend, create and submit a new return. Refer to [Updating corporate profile information](#) for further details.

- To request a resubmission, on the [Submission History page](#), either click the Resubmission icon in the Action column or click the Name of the required return.

**Submission History**

This page displays the Submission History and provides an option to request a resubmission for a return.

To request a resubmission, click the 'Request Resubmission' icon in the Actions column of the relevant return. Approval may be automatic or subject to APRA's review.

If approved, you will receive an email notification and can edit the return in Draft Returns section of the Manage Returns page before resubmitting.

Showing returns from: 2024

Name	Reference	Revision	Submitted	Categories	Status	End date	Due date	Actions
AMap1	FAR_MAP18639	1.0	17/09/2024		Submitted	17/09/2024		
<a href="#">AC UFT GT AC Create Upload GRS_300</a>	GL_L1_STATFINPOS18607	1.0	07/08/2024	Annually, Level 1	Submitted	30/06/2024	31/12/2024	



[Back](#)

- Select the Request Resubmission option on the View Return page.

**View Return**

Return name:	AC UFT GT AC Create Upload GRS 300	Return reference:	GL_L1_STATFINPOS18607
Return end date:	30/06/2024	Return due date:	31/12/2024
Return status:	Submitted	Categories:	Annually, Level 1

**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.

- Select the appropriate Reason for resubmission from the list and enter any additional information regarding the reason for resubmission in the first text field.
- Summarise changes since the previous submission in the second text field, attach a file with supporting information (if applicable), and click Send Request.

**Click Send Request**

**Request Resubmission**

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

Return name: AC UFT GT AC Create Upload GRS 300

Revision of return: 1.0

Reasons for resubmission:

Please specify changes since previous revision:

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

**Click Confirm**

**Request Resubmission**

Are you sure you would like to request resubmission of 'AC UFT GT AC Create Upload GRS 300'?

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

Confirmation notifications for resubmitted returns will contain the same receipt number. These notifications can be differentiated by their timestamp.