



Regulatory Reporting System

Regulatory Reporting System (RRS) Manage Financial Returns User Guide for Deposit Taking Institutions

January 2021



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Version History

Version	Changes	Date
1.0	Original release	19/08/2013
1.1	<ul style="list-style-type: none"> • Added "To revise data on multiple returns that cross-validate" to Section 4.0 • Added Version History table 	11/09/2013
1.2	<ul style="list-style-type: none"> • Corrected typo in Section 9.0 Managing Notifications • Added Submit Return Accepted screen to Section 4.0 • Added Revising an Accepted Return sub-section to Section 4.0 • Added information to Organization Profile section • Updated Glossary 	21/03/2014
1.3	<ul style="list-style-type: none"> • Reference update on connection – replaced "Secure Site" for BoC Connect • Update on Technical Requirements 	07/01/2021

1.0 Introduction

The RRS Portal application (referred to as RRS or the RRS application from this point) provides access for Federally Regulated Financial Institutions (FRFIs) to submit regulatory return information. With RRS you can complete and submit returns, request a return submission, view reports, view documents and manage your user details.

To access RRS you will need a Bank of Canada’s BoC Connect User account.

The first time you access RRS, you will set up your account, which involves setting your password and preferred language.



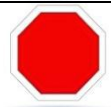
This guide details how to use RRS to complete and submit financial returns. To complete and submit corporate returns refer to the Manage Corporate Returns User Guide.

1.1 Using this Document

This document uses the following conventions to increase clarity:

- **Bold text** indicates a selection or data field to be filled in.
- *Italics* indicate a reference to a section within this document or a page within the BoC Connect.

In addition, there are three types of sidebars, each identified by an icon:

	<u>Information</u> – These sidebars contain extra detail, or describe optional steps.
	<u>Caution</u> – These sidebars point out a possibility that may cause unexpected behaviour and tell you how to correct the issue, if you encounter it.
	<u>Warning</u> – These sidebars alert you to something important that can affect your ability to use RRS.

1.2 Technical Requirements

For best performance, the following technical requirements are recommended:

- Google Chrome 58
- Microsoft Internet Explorer version 11 or Edge
- Firefox ESR52
- Cookies enabled

- JavaScript enabled, and
- Microsoft Excel 2003 or higher (to download information into Excel format)

Note that the BoC Connect and RRS application have been tested and certified with the specified web browser.

1.3 Support

If you encounter an issue or problem with the RRS application that isn't covered by this Guide, you can:

- Contact your organization's LRA
- Contact the **Bank of Canada at 1-855-865-8636**
- Contact the Returns Administration group at **OSFI at (613) 991-0609** for issues related to corporate returns

2.0 Logging into RRS

To log into RRS, you need to be logged into the Bank of Canada’s BoC Connect. Once logged into the BoC Connect the RRS login page displays.

- If you are logging into RRS for the first time, see 2.2: *Logging in for the First Time*.
- If you have forgotten your RRS password, see 2.3: *Resetting Your RRS Password*.



Refer to the BoC Connect User Guide for information on logging into the Bank of Canada’s BoC Connect.

2.1 Log into RRS

To log into RRS:

Begin at the RRS Login page.

cdic sadc OSFI BSIF BANK OF CANADA BANQUE DU CANADA PORTAL

Not logged in English/Anglais +

Welcome to Regulatory Reporting System (RRS) Portal

RRS Portal is an on-line application that manages all of your formal communications with your regulator. Using RRS Portal, you will be able to complete and submit all required returns on-line. In addition, you will be able to see your organization’s profile – the current information held by the regulator about your organization – and keep it up to date.

To access RRS Portal, enter your username and password below (password is case sensitive):

Username: *



Password: *

Login

Figure 2-1: Login Page

1. In the **Username** field, enter your RRS Username.
2. In the **Password** field, enter your RRS Password.
3. Click **Login** to continue.

Incorrect Login Attempts:

	<p>4. After five incorrect login attempts, your account will be locked out. If this happens, you can click the Forgotten Password link to reset your account. See 2.3: <i>Resetting Your RRS Password</i> for more information.</p>
	<p>Organization Selection:</p> <p>You can be associated with more than one organization in RRS. Follow the steps below to select the organization that you would like to work on.</p>

If you have permission to access more than one organization:

1. Follow the steps above to log in.

The Select organization page displays.

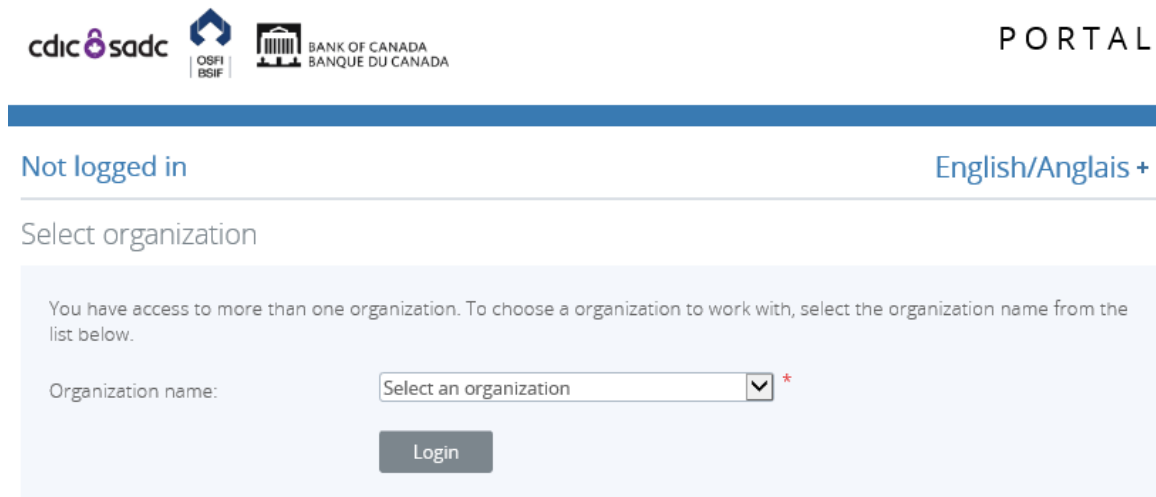


Figure 2-2: Select Organization Page

2. Click the drop-down menu.
3. Select the name of the organization you want to access.
4. Click **Login**.

The Welcome page displays with the word "Change" beside your username indicating that you belong to more than one organization.

To change the organization selection:

1. Click the **Change** link at the end of your username.

J. Jones , ABCD Bank (Change)

English/Anglais +   

Menu



Welcome to Regulatory Reporting System (RRS) Portal

You have successfully logged in. You can now use RRS Portal to complete and submit all required returns on-line.

You should regularly check that your organization profile is up to date by clicking on "Organization Profile" on the menu above. Please file the appropriate corporate return to submit an update.

Draft returns that are ready for completion can be found by clicking on "Draft returns" on the menu above.

When your returns have been completed, you must use the "Submission" functionality to finally submit them.

With RRS Portal, you are also able to:

- Print submitted returns where signed hard-copies are required.
- View and print previous submissions.
- Partially complete returns and return to them at a later date.
- Request a resubmission of returns where you become aware of mistakes.

For further information on how to use RRS Portal, click on the help link in the top right-hand corner of your screen.

Figure 2-3: Change Organization Page

Follow the steps above to change the organization.

2.2 Logging in for the First Time

The first time you log into RRS, you'll be asked to update your temporary password. This process involves entering a new password and setting your language preference.

To log into RRS for the first time:

Begin at the RRS Login page.

Not logged in

English/Anglais +

Welcome to Regulatory Reporting System (RRS) Portal

RRS Portal is an on-line application that manages all of your formal communications with your regulator. Using RRS Portal, you will be able to complete and submit all required returns on-line. In addition, you will be able to see your organization's profile – the current information held by the regulator about your organization – and keep it up to date.

To access RRS Portal, enter your username and password below (password is case sensitive):

Username: *Password: *[Forgotten Password](#)**Figure 2-4: Login Page**

1. In the **Username** field, enter your RRS Username.
2. In the **Password** field, enter the temporary RRS Password given to you in an email entitled "New Portal User Account".
3. Click **Login**.

Menu
☰

J. Jones , ABCD Bank ([Change](#))

English/Anglais +   

Update My Password

Valid passwords contain 1 capital letter, 1 small letter, 1 number and 1 special character (e.g. #&*!\$). It must be at least 8 characters and not more than 30 characters with no blank spaces.

Current password: *


New password: *

Confirm new password: *

Save

Figure 2-5: Update My Password Page

4. In the **Current password** field, enter your temporary RRS Password.
5. In the **New password** field, enter a new RRS Password.

	<p>Passwords:</p>
	<p>Ensure your new password meets the following valid password criteria: passwords must be between 8 and 30 characters and contain 1 uppercase letter, 1 lowercase letter, 1 number and one special character.</p>

6. In the **Confirm new password** field, re-enter your new RRS Password.
7. Click **Save** to set your RRS Password.

The My User Details page displays. From here you can set your preferred language.

J. Jones , ABCD Bank (Change) English/Anglais +

Menu **My User Details**

- Home
- Draft Returns
- Submission +
- Documents
- Manage Users +
- My Details +**
- Help
- Log Out

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

Locked Due to Permission Settings
 Locked Due to Permission Settings
 Locked Due to Permission Settings
 Locked Due to Permission Settings
International Area code Number

Language of preference:

Assigned permissions / roles:

Assigned to	Type	Roles
ABCD Bank	Organization	Filer - Financial Returns , Filer - Local Registration Authority (LRA)

Figure 2-6: Update My Password Page

8. Click the drop-down menu in the **Language of preference** field.
9. Select your preferred language.
10. Click **Update**.

Your preferred language is now set. Each time you log in, RRS will display in your preferred language.

	<p>Language:</p> <p>Although your preferred language is set, you can change the language during a session by clicking the drop-down menu on the language field below the Logout link on the top right of each page in the application. The language reverts back to the original setting when you logout.</p>
--	---

2.3 Resetting Your RRS Password

The RRS Password reset functionality allows you to reset your forgotten password.

To reset your password:

Begin at the Login page.



Not logged in

English/Anglais +

Welcome to Regulatory Reporting System (RRS) Portal

RRS Portal is an on-line application that manages all of your formal communications with your regulator. Using RRS Portal, you will be able to complete and submit all required returns on-line. In addition, you will be able to see your organization's profile – the current information held by the regulator about your organization – and keep it up to date.

To access RRS Portal, enter your username and password below (password is case sensitive):

Username: *

Password: *

[Forgotten Password](#)

Figure 2-7: Login Page

1. From the Login page, click the **Forgotten Password** link.

Not logged in

English/Anglais +

Forgotten Password

Enter your email address below to receive a temporary password by email. If you require assistance, contact your Local Registration Authority (LRA). If you don't know your LRA's contact information, call the Bank of Canada at 1-855-865-8636.

Email address:

Submit

Figure 2-8: Forgotten Password Page

2. In the **Email address** field, enter your email address registered in RRS.
3. Click **Submit**. The Forgotten Password page informs you that a temporary password has been emailed to you.
4. Navigate to your email and search for an email entitled "Account Reactivation".
5. Copy the new password and navigate back to RRS.
6. Click the **Home** menu item.

Not logged in

English/Anglais +

Welcome to Regulatory Reporting System (RRS) Portal

RRS Portal is an on-line application that manages all of your formal communications with your regulator. Using RRS Portal, you will be able to complete and submit all required returns on-line. In addition, you will be able to see your organization's profile – the current information held by the regulator about your organization – and keep it up to date.

To access RRS Portal, enter your username and password below (password is case sensitive):

Username: *

Password: *

Login

[Forgotten Password](#)

Figure 2-9: Login Page

7. Enter your username.
8. Enter your temporary password.
9. Click **Login**.

Not logged in

English/Anglais +

Forgotten Password

Valid passwords contain 1 capital letter, 1 small letter, 1 number and 1 special character (e.g. #&*!\$). It must be at least 8 characters and not more than 30 characters with no blank spaces.

New password *

Confirm new password *

Save

Figure 2-10: Update My Password Page

10. Enter your temporary password in the **Current password** field.
11. Enter your new password in the **New password** field. Ensure your new password meets the following valid password criteria: passwords must be between 8 and 30 characters and contain 1 uppercase letter, 1 lowercase letter, 1 number and one special character.
12. Re-enter your new password in the **Confirm new password** field.
13. Click **Save**.
14. If necessary, you can update your telephone number or language of preference.
15. Click **Update**.

3.0 Managing Financial Returns

RRS provides functionality to complete and submit financial returns to the Bank of Canada (BoC), the Office of the Superintendent of Financial Institutions (OSFI) and/or the Canada Deposit Insurance Corporation (CDIC). This section covers how to complete and submit financial returns, how to view returns, and how to view and correct errors in a financial return.

There are two ways to complete and submit a financial return in RRS. One way is to upload a data file which is detailed in 3.1: *Complete and Submit a Return via Data Upload*. The other way is to enter data manually into the system which is detailed in 3.2: *Complete and Submit a Return Manually*.

Rules and Errors

Whether you are entering information manually into a return or uploading data, the data is validated against rules that are set up within each return. Two separate sets of rules are used to validate returns: structural and validation. ***Structural rules*** validate the format and structure of the data being reported, such as entering numeric versus textual information as appropriate. ***Validation rules*** validate the accuracy of the data being reported, such as a set of data points summing to a total correctly. Depending on how a return is configured in the application, structural validation occurs when the Validate and Save button is clicked or when a file is uploaded. When you attempt to submit a return, validation rules are applied. If a return fails validation you are presented with an error message. Returns with errors, display with a white exclamation mark in a red circle on the Draft Returns page. In the event of an error, you will need to correct the information to continue.

Validation rules can be applied to specific sections of a return, but if any section fails validation, the return cannot be processed as the entire return needs to be valid before it can be submitted. Validation rules are documented in the Return Rules report specific to each return type. Return Rules reports can be found in the RRS Documents menu item.

Return Processing

Returns are processed by the application, either online or offline depending on how they have been configured. For returns that are successfully ***processed online***, RRS displays a page informing you that the submission has been accepted as shown in Figure 3-9 below. If RRS detects an error in a return ***processed online***, the errors are displayed on-screen immediately following the validation process, either upon selecting "Validate and Save" for structural rules or upon attempted submission for validation rules. For returns ***processed offline***, RRS alerts you to errors via email as well as displaying a new entry in the Notifications section of the RRS Portal Welcome page.

Note: Most financial returns are processed online. Only dimensional returns are processed offline.

Refer to the List of Returns on the RRS Information page for more information on returns and how they are processed.

Draft Return Key Icons

The Draft Return page displays icons that are used to depict specific return information. The key icons are described as follows:

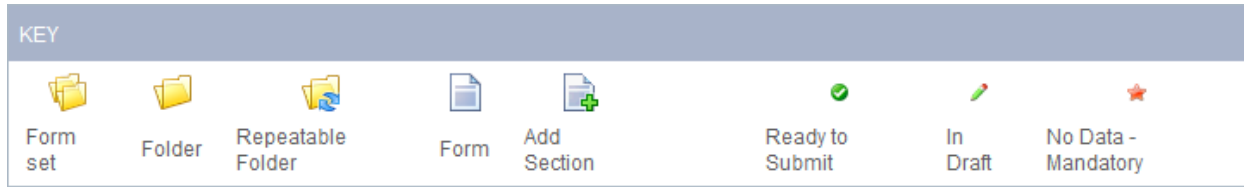


Figure 3-2: Draft Return Key

Form Set: a double set of folders represents an entire return which could consist of one or many forms, also known as sections.

Folder: a single folder represents a structural grouping of forms, also known as sections.

Repeatable Folder: a single folder with blue arrows indicates a folder that has repeatable sections. Repeatable Folders are only applicable to corporate returns.

Form: a page symbol indicates a section within a return.

Add Section: a page with a green plus sign allows forms, also known as sections, to be added to a return where applicable.

Ready to Submit: the white check mark in a green circle symbol indicates the return has been validated, meaning that it has passed structural rules and is ready to submit.


In Draft: the pencil symbol indicates this return has been saved as a draft and not yet validated

No Data – Mandatory: the red star symbol indicates there is no data in this return and that mandatory fields exist.

Note: the absence of a red star on a return or return section indicates there are no mandatory fields.

3.1 Completing and Submitting a Financial Return via Data Upload

Financial returns can be completed and submitted using the Upload Data feature in RRS.

	File Formats
	The acceptable file formats for uploading data to RRS are (depending on the return): .n, .c, .dat, and .tape.

To upload a financial return:

Begin at the Welcome page.

The screenshot shows the RRS Portal interface. At the top left, there are logos for CDIC SADC, OSFI BSIF, and the Bank of Canada. The word "PORTAL" is displayed in large letters on the top right. Below the logos, the user is identified as "J. Jones , ABCD Bank (Change)" and the language is set to "English/Anglais +". A "Menu" button is visible on the left. The main heading reads "Welcome to Regulatory Reporting System (RRS) Portal". The central content area contains the following text:

You have successfully logged in. You can now use RRS Portal to complete and submit all required returns on-line.

You should regularly check that your organization profile is up to date by clicking on "Organization Profile" on the menu above. Please file the appropriate corporate return to submit an update.

Draft returns that are ready for completion can be found by clicking on "Draft returns" on the menu above.

When your returns have been completed, you must use the "Submission" functionality to finally submit them.

With RRS Portal, you are also able to:

- Print submitted returns where signed hard-copies are required.
- View and print previous submissions.
- Partially complete returns and return to them at a later date.
- Request a resubmission of returns where you become aware of mistakes.

For further information on how to use RRS Portal, click on the help link in the top right-hand corner of your screen.

Figure 3-1: Welcome Page

1. Click the **Draft Returns** menu item.

J. Jones , ABCD Bank ([Change](#)) English/Anglais +

Menu Draft Returns

- Home
- Draft Returns**
- Submission +
- Documents
- Manage Users +
- My Details +
- Help
- Log Out

listed below are in draft and can be completed prior to submission to your Regulator.

Return name	Reference	Revision	Status	Return end date	Due date	PDF
	L4973510	0.1	Ready to Submit	2019-08-31	2019-09-30	
	M4973511	0.1	Ready to Submit	2019-08-31	2019-09-30	

Figure 3-2: Draft Returns Page

	<p>Return Revision</p> <p>The revision column of the Draft Returns page displays the current revision number of the return. Draft returns are displayed at 0.1 for the first draft and each subsequent revision increases by a whole number such as 1.1, 2.1, etc.</p> <p>The revision column of the Submission History page displays the current revision number of the return. Submitted returns display on the Submission History page as revision 1.0 for the first submission and each subsequent submission increases by a whole number such as 2.0, 3.0, etc.</p>
--	---

2. Click the return name to be completed.

Menu



Draft Return

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 validated, the return can be submitted using the "Submit return" functionality under the "Submission" menu.

KEY

Form set	Folder	Repeatable Folder	Form	Add Section	Ready to Submit	In Draft	No Data - Mandatory

L4 Testing

Status: No Data

		L4 - Monthly Average Return of Assets and Liabilities	Upload Data
		L4	L4
			Edit View

Figure 3-3: Draft Return Page

3. Click the **Upload Data** link.

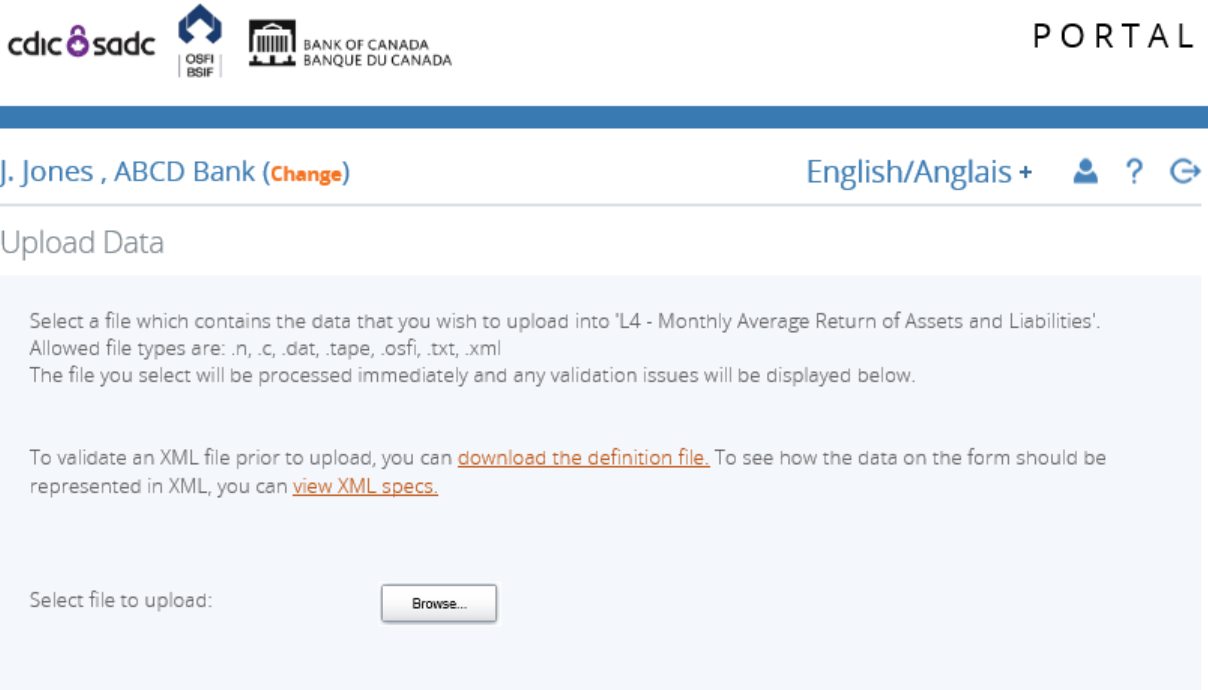


Figure 3-4: Upload Data Page

- Click **Browse** and select the return data file.

Select a file which contains the data that you wish to upload into 'L4 - Monthly Average Return of Assets and Liabilities'. Allowed file types are: .n, .c, .dat, .tape, .osfi, .txt, .xml. The file you select will be processed immediately and any validation issues will be displayed below.

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

Select file to upload:

Choose File to Upload

This PC > Desktop

Organize New folder

Quick access: Documents, Downloads, Pictures, 201907

Name: Constraint, Sample Rules Importer Template, ADGQ1231.c, ADGQ1231, JBS rules

File name: All Files (*.*)

Figure 3-5: Windows Explorer Upload File Page

- Click **Open**.

	<p>Incorrect File Format</p> <p>Using an incorrect file format for uploading data will cause an error in RRS. Be sure to use the acceptable file formats.</p>
	<p>Dimensional and Conventional Returns</p>



For dimensional returns, the process ends here. For conventional (or all other returns), proceed with steps 6 through 9.

6. Hover your mouse over the **Submission** menu item.

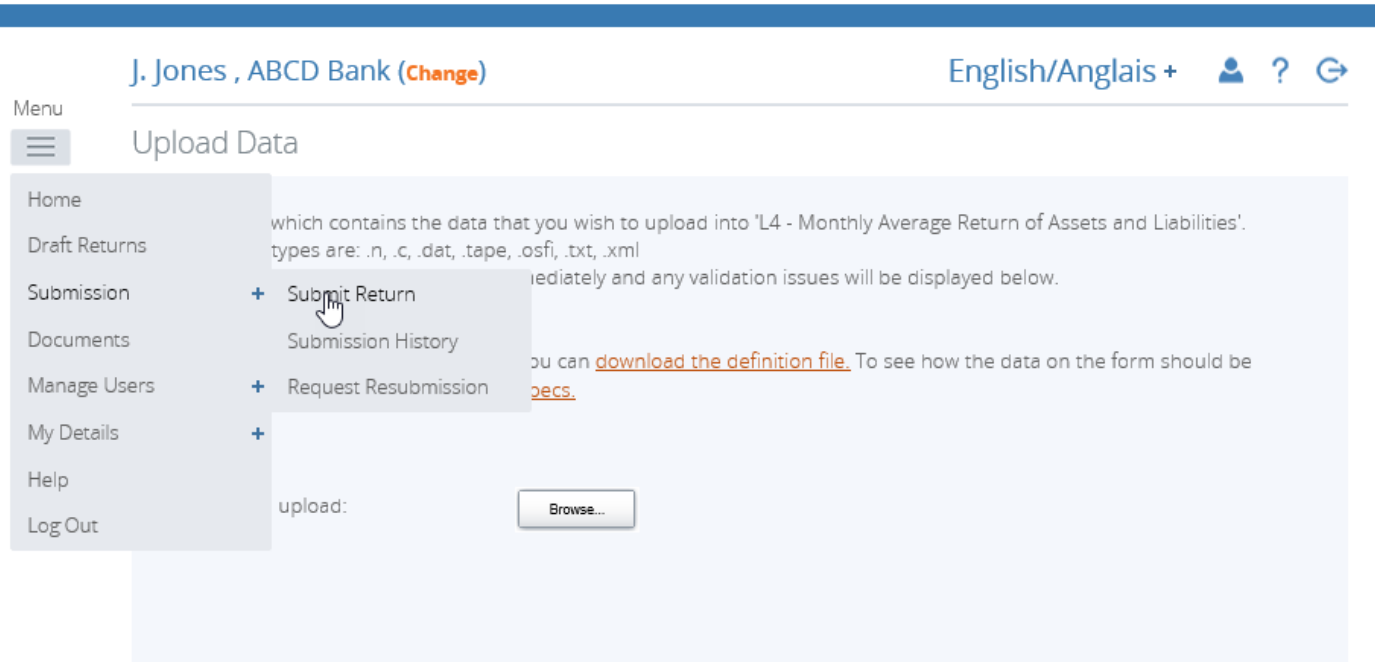


Figure 3-6: Submission Menu Drop-Down Page

7. Click the **Submit Return** sub-menu item. The Submit Return page displays a list of returns that are ready to be submitted.



Submit Return

The returns that are ready for submission are listed below.

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.

Return name	Reference	Revision	Categories	Return end date	Due date	Action
L4 Testing	L4973510	0.1		2019-08-31	2019-09-30	Submit
M4 Testing	M4973511	0.1		2019-08-31	2019-09-30	Submit

Figure 3-7: Submit Return Page

- In the Action column, click the **Submit** link of the return to be submitted.

J. Jones , ABCD Bank

English/Anglais +

Menu



Submit Return

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

If required, ensure that you have also provided the printed, signed version of the submitted return to your Regulator along with any relevant documents.

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.

Submit

Cancel

Figure 3-8: Submit Return – Submit Button Page

9. Click **Submit**.

J. Jones , ABCD Bank

English/Anglais +  ? 

Menu




Submit Return


Your submission has been accepted.

You can now view the return in the "Submission History" area. The return can also be downloaded as a PDF document for printing from this area.

Should you wish to correct any errors in the submitted data you may request a resubmission of the return using the "Request Resubmission" functionality under the "Submission" menu.

Figure 3-9: Submit Return – Submission Accepted Page

	<p>If a virus is detected during upload:</p>
	<p>Uploaded files are scanned for viruses. If a virus is detected the file will not be uploaded.</p>

	<p>If an error occurred:</p>
	<p>If your return has errors, they will either be displayed on-screen or emailed to you. Errors that are emailed to you also display in the Notifications section of the Welcome page.</p>

3.2 Completing and Submitting a Return Manually

To manually enter a return:

Begin at the RRS Welcome page.



Menu



J. Jones , ABCD Bank (Change)

English/Anglais +



Welcome to Regulatory Reporting System (RRS) Portal

You have successfully logged in. You can now use RRS Portal to complete and submit all required returns on-line.

You should regularly check that your organization profile is up to date by clicking on "Organization Profile" on the menu above. Please file the appropriate corporate return to submit an update.

Draft returns that are ready for completion can be found by clicking on "Draft returns" on the menu above.

When your returns have been completed, you must use the "Submission" functionality to finally submit them.

With RRS Portal, you are also able to:

- Print submitted returns where signed hard-copies are required.
- View and print previous submissions.
- Partially complete returns and return to them at a later date.
- Request a resubmission of returns where you become aware of mistakes.

For further information on how to use RRS Portal, click on the help link in the top right-hand corner of your screen.

Figure 3-10: Welcome Page

1. Navigate and click the **Draft Returns** menu item.

J. Jones , ABCD Bank

English/Anglais +



Menu



Draft Returns

The returns listed below are in draft and can be completed prior to submission to your Regulator.

Return name	Reference	Revision	Status	Return end date	Due date	PDF
M4 Testing	M4973511	0.1	Ready to Submit	2019-08-31	2019-09-30	



Figure 3-11: Draft Returns Page

2. Click the return name to be completed.

J. Jones , ABCD Bank

English/Anglais +

Menu



Draft Return

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 validated, the return can be submitted using the "Submit return" functionality under the "Submission" menu.

KEY			
Form set	Folder	Repeatable Folder	Form
Add Section	Ready to Submit	In Draft	No Data - Mandatory
M4 Testing			Status: No Data
		M4 - Consolidated Balance Sheet	Upload Data
		M4	Edit View

Figure 3-12: Draft Return Page

3. Click the **Edit** link.

J. Jones , ABCD Bank

English/Anglais +   



Form View

Return Name M4 - Consolidated Balance Sheet
 Section Name M4
 Organization Name ABCD Bank
 Reporting Date 2019-08-31

		Foreign Currency	Total
Section I—Assets			
1. Cash and Cash Equivalents			
(a)	Gold, bank notes, deposits with Bank of Canada, cheques and other items in transit	0509	0863
(b)	Deposits with regulated financial institutions, less allowance for expected credit losses	0487	0489
2. Securities			
(a)	Securities issued or guaranteed by Canada/ Canadian Province/Canadian Municipal or School Corporation, less allowance for expected credit losses where applicable		
(i)	Treasury Bills and other short term paper	0810	0889
(ii)	Other securities	0837	0889
(b)	Other securities, less allowance for expected credit losses where applicable		
(i)	Debt	0817	0818
(ii)	Shares	0519	0520
3. Loans			
(a)	Non-Mortgage Loans, less allowance for expected credit losses		
(i)	Call and other short loans to investment dealers and brokers, secured	1032	2310
(ii)	To regulated financial institutions	2086	2087
(iii)	To Canadian federal government, provinces, municipal or school corporations	0823	0824
(iv)	To foreign governments	0525	0526
(v)	Lease receivables	2086	2087
(vi)	To individuals for non-business purposes	0833	0834

Figure 3-13: Display of Return Page

4. Enter data in the appropriate fields.
5. Scroll to the bottom right of the return.


Held for Trading	Available for Sale	Fair Value Fair Value Hedges	Cash Flow Hedges	Fair Value Option	Held At Amort. Cost	Total	Gain / (Loss) Gain / (Loss) Fair Value Option (YTD)
2012	2024	2032	2038	2046	2051	2073	2085
0910	0914	0918	0922	0926			
0911	0915			0927			
0912	0916			0928			
0913	0917			0929			
1091	1092			1093			
2013		2033		2049	2052	2074	2086
2014		2034		2050	2053	2075	2087
2015		2035		2051	2054	2076	2088
2016		2036	2039	2052	2055	2077	2089
0930	0934	0938	0942	0955			
0931				0972			
0932				0990			
0933				0991			
1094				1095			
		2037		2053			

Save as Draft Validate & Save

Figure 3-14: Validate and Save Page

At this point the return can be either saved as a draft or validated and saved. Saving a return as a draft leaves it on the Draft Returns page with a status of *In Draft* meaning it has not been validated. Validating and saving the return indicates that the return is complete and ready for attempted submission.

6. Click the **Validate & Save** button.

	If your return fails structural rules:
	A message or messages displays on-screen informing you that there was an issue with the return that would need to be corrected prior to submission. See <i>Section 3.6</i> for more information on errors.

7. Navigate over the **Submission** menu item.

Menu



Upload Data

Home

Draft Returns

Submission

Documents

Manage Users

My Details

Help

Log Out

which contains the data that you wish to upload into 'L4 - Monthly Average Return of Assets and Liabilities'.
types are: .n, .c, .dat, .tape, .osfi, .txt, .xml

+ **Submit Return** immediately and any validation issues will be displayed below.

Submission History

+ Request Resubmission you can [download the definition file](#). To see how the data on the form should be

+ [docs](#).

upload:

Figure 3-15: Submission Menu Drop-Down Page

- Click the **Submit Return** sub-menu item.

The Submit Return page displays a list of returns that are ready to be submitted.



J. Jones , ABCD Bank

English/Anglais +

Submit Return

The returns that are ready for submission are listed below.

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.

Return name	Reference	Revision	Categories	Return end date	Due date	Action
M4 Testing	M4973511	0.1		2019-08-31	2019-09-30	Submit

Figure 3-16: Submit Return Page

- In the Action column, click the **Submit** link of the return to be submitted.

Menu



J. Jones , ABCD Bank

English/Anglais +



Submit Return

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

If required, ensure that you have also provided the printed, signed version of the submitted return to your Regulator along with any relevant documents.

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.

Figure 3-17: Submit Return - Submit Button Page

10. Click **Submit**.

J. Jones , ABCD Bank

English/Anglais +   

Menu




Submit Return

Your submission has been accepted.

You can now view the return in the "Submission History" area. The return can also be downloaded as a PDF document for printing from this area.

Should you wish to correct any errors in the submitted data you may request a resubmission of the return using the "Request Resubmission" functionality under the "Submission" menu.

Figure 3-19: Submit Return – Submission Accepted Page

	<p>If your return fails validation rules:</p>
	<p>A message or messages displays on-screen informing you that there was an issue with the return that would need to be corrected before it could be processed further. See <i>Section 3.6</i> for more information on errors.</p>

3.3 Viewing a Financial Return

Financial returns can be viewed prior to and after being submitted. Use the Draft Returns menu item to view returns that have not been submitted and use the Submission History sub-menu item to view returns that have been submitted. These menu items can also be used to view the Audit Log of a return which is a record of each revision of a completed or in-draft return.

To view a draft return:

Begin at the Welcome page.

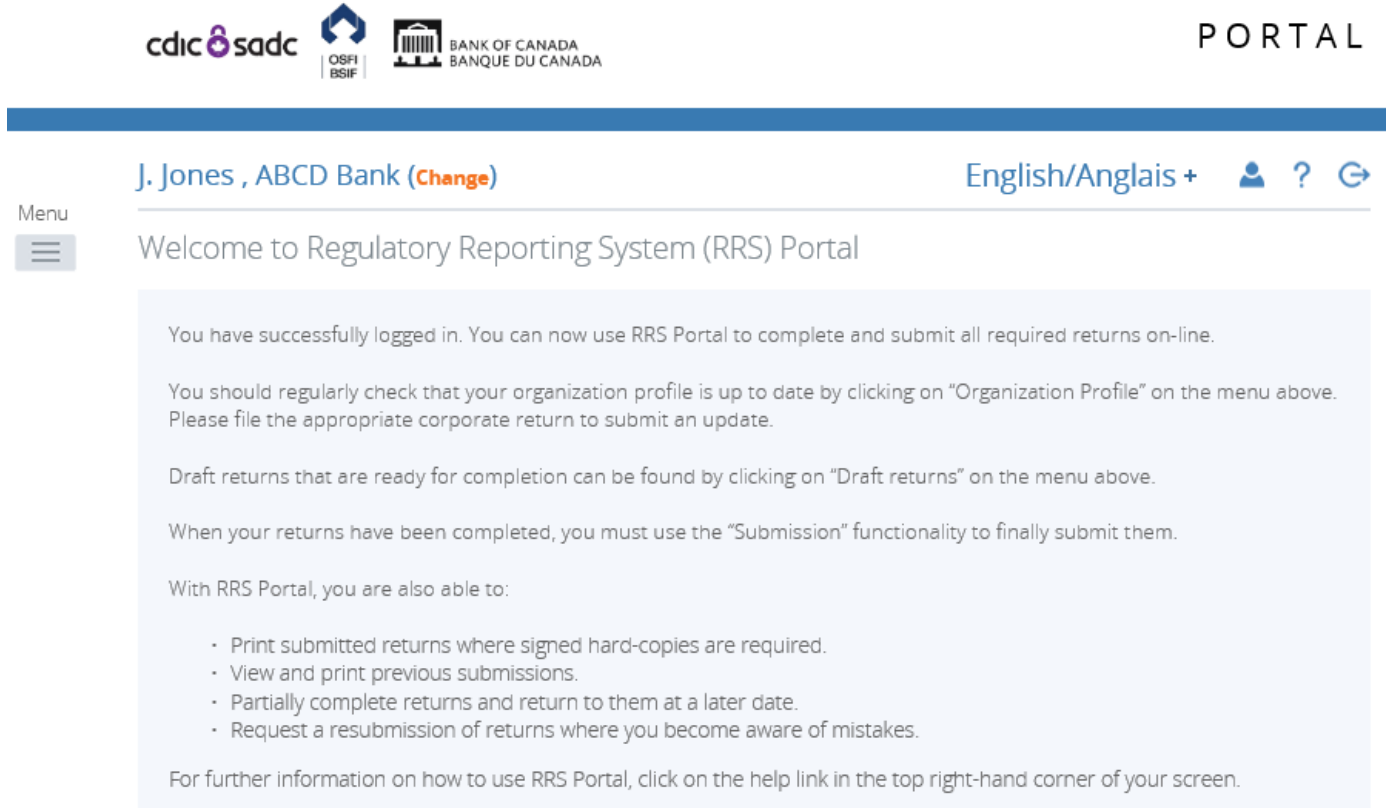


Figure 3-19: Welcome Page

1. Click the **Draft Returns** menu item.



Draft Returns

The returns listed below are in draft and can be completed prior to submission to your Regulator.

Return name	Reference	Revision	Status	Return end date	Due date	PDF
M4 Testing	M4973511	0.1	No Data	2019-08-31	2019-09-30	

Figure 3-20: Draft Returns Page

2. Click the name of the return to be viewed.



Draft Return

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 validated, the return can be submitted using the "Submit return" functionality under the "Submission" menu.
















KEY							
							
Form set	Folder	Repeatable Folder	Form	Add Section	Ready to Submit	In Draft	No Data - Mandatory
M4 Testing							Status: No Data
		M4 - Consolidated Balance Sheet				Upload Data 	
		M4	M4	Edit View  			

Figure 3-21: Draft Return Page

3. Click the **View** link to view the return, or, if there is more than one return section, click the **View** link to view each section separately.

J. Jones, ABCD Bank

English/Anglais +



Form View

Return Name M4 - Consolidated Balance Sheet
 Section Name M4
 Organization Name ABCD Bank
 Reporting Date 2019-08-31

		Foreign Currency	Total
Section I—Assets			
1. Cash and Cash Equivalents			
(a)	Gold, bank notes, deposits with Bank of Canada, cheques and other items in transit	0509	0863
(b)	Deposits with regulated financial institutions, less allowance for expected credit losses	0487	0489
2. Securities			
(a)	Securities issued or guaranteed by Canada/ Canadian Province/Canadian Municipal or School Corporation, less allowance for expected credit losses where applicable		
(i)	Treasury Bills and other short term paper	0810	0889
(ii)	Other securities	0837	0889
(b)	Other securities, less allowance for expected credit losses where applicable		
(i)	Debt	0817	0818
(ii)	Shares	0519	0520
3. Loans			
(a)	Non-Mortgage Loans, less allowance for expected credit losses		
(i)	Call and other short loans to investment dealers and brokers, secured	1022	2210
(ii)	To regulated financial institutions	2086	2087
(iii)	To Canadian federal government, provinces, municipal or school corporations	0823	0824
(iv)	To foreign governments	0525	0526
(v)	Lease receivables	2086	2087
(vi)	To individuals for non-business purposes	0833	0834

Figure 3-22: Display of Return Page

4. Using the scroll bars, view the draft return.

To view the audit log of a draft financial return:

Begin at the Draft Returns page.

J. Jones , ABCD Bank

English/Anglais +   

Menu



Draft Returns

The returns listed below are in draft and can be completed prior to submission to your Regulator.


Return name	Reference	Revision	Status	Return end date	Due date	PDF
M4 Testing	M4973511	0.1	No Data	2019-08-31	2019-09-30	

Figure 3-23: Draft Returns Page

1. Click the revision number of the return. The View Audit Log page opens displaying information such as what action was taken, who performed the action and when it was done.

J. Jones , ABCD Bank

English/Anglais +

Menu

View Audit Log

Return name: M4 Testing
Reference: M4973511
Creation date: 2019-09-11
Due date: 2019-09-30

Select a version of this Return to view.

Revision	Status	Action	Actioned on	Actioned by	Submitted on	Submitted by
0.1	No Data	Clear data: M4	2019-09-11 2:17:00 PM	J. Jones		

[Back](#)

[View Comments](#)

Figure 3-24: View Audit Log Draft Page

To view a submitted financial return:

Begin at the Welcome page.



PORTAL

Menu



J. Jones , ABCD Bank (Change)

English/Anglais +

Welcome to Regulatory Reporting System (RRS) Portal

You have successfully logged in. You can now use RRS Portal to complete and submit all required returns on-line.

You should regularly check that your organization profile is up to date by clicking on "Organization Profile" on the menu above. Please file the appropriate corporate return to submit an update.

Draft returns that are ready for completion can be found by clicking on "Draft returns" on the menu above.

When your returns have been completed, you must use the "Submission" functionality to finally submit them.

With RRS Portal, you are also able to:

- Print submitted returns where signed hard-copies are required.
- View and print previous submissions.
- Partially complete returns and return to them at a later date.
- Request a resubmission of returns where you become aware of mistakes.

For further information on how to use RRS Portal, click on the help link in the top right-hand corner of your screen.

Figure 3-25: Welcome Page

1. Navigate your mouse over the **Submission** menu item.
2. Click the **Submission History** sub-menu item.

J. Jones , ABCD Bank


English/Anglais +   

Menu



Submission History


Select a submission to view

Showing returns from: 

Drag a column header here to group by that column

Return name	Reference	Revision	Submitted date	Status	Return end date
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
L4 Testing	L4973510	1.0	2019-09-11	Accepted	2019-08-31

Figure 4-26: Submission History Page

	<p>Return Revision</p>
	<p>The revision column of the Submission History page displays the current revision number of the return. Submitted returns display on this page as revision 1.0 for the first submission and each subsequent submission increases by a whole number such as 2.0, 3.0, etc.</p>

3. Click the name of the return to be viewed.











J. Jones , ABCD Bank

English/Anglais +   

View Return

Select a form to view

KEY							
							
Form set	Folder	Repeatable Folder	Form	Add Section	Ready to Submit	In Draft	No Data - Mandatory

L4 Testing Status: Accepted








		L4 - Monthly Average Return of Assets and Liabilities					
		L4	L4				View  

Figure 3-27: View Return Page

4. Click the **View** link to view the return, or, if there is more than one return section, click the **View** link for each section to be viewed.
5. Using the scroll bars, view the submitted return.

To view the audit log of a submitted financial return:

Begin at the Submission History page.

1. Click the revision number of the return. The Audit Log page opens displaying information such as what action was taken, who performed the action and when it was done.

The screenshot shows the 'View Audit Log' page for a return named 'L4 Testing'. The page header includes logos for CDIC SADC, OSFI BSIF, and the Bank of Canada, along with the word 'PORTAL'. The user is identified as 'J. Jones, ABCD Bank' and the language is set to 'English/Anglais'. A 'Menu' icon is visible on the left. The main content area displays the return details and a table of actions.

Return name: L4 Testing
 Reference: L4973510
 Creation date: 2019-09-11
 Due date: 2019-09-30
 Select a version of this Return to view.

Revision	Status	Action	Actioned on	Actioned by	Submitted on	Submitted by
<u>1.0</u>	Accepted	Submit return	2019-09-11 2:07:43 PM	J. Jones	2019-09-11 2:07:43 PM	J. Jones

[Back](#) [View Comments](#)

Figure 3-28: View Audit Log Submit Page

3.4 Viewing Errors

To view errors:

Begin at the Welcome page.

1. Click the **Draft Returns** menu item.

cdic sadc OSFI BSIF BANK OF CANADA BANQUE DU CANADA PORTAL

J. Jones , ABCD Bank English/Anglais + [User Icon] [Help Icon] [Refresh Icon]

Menu [Menu Icon] Draft Returns

The returns listed below are in draft and can be completed prior to submission to your Regulator.

Return name	Reference	Revision	Status	Return end date	Due date	PDF
M4 Testing	M4973511	0.1	Ready to Submit	2019-08-31	2019-09-30	

Figure 3-29: Draft Returns Page

2. Locate a return with an error icon next to the status (white circle with an exclamation mark)
3. Click the error icon or the status to open the **Validation Issues** page.

cdic sadc OSFI BSIF BANK OF CANADA BANQUE DU CANADA PORTAL

J. Jones , ABCD Bank English/Anglais + [User Icon] [Help Icon] [Refresh Icon]

Menu [Menu Icon] Validation Issues

This return was submitted with errors and/or warnings which are displayed below.

Rule name	Type	Problem	Additional information
IR001	Error	1. Section I, Total Assets, Foreign Currency must add down	


[Back](#)

Figure 3-30: Validation Issues Page

3.5 Correcting Validation Errors on a Financial Return

If a return does not pass validation, you will be informed via an error message that either displays on-screen for most returns or in an email for dimensional returns that are processed offline. The error message specifies the rule, or rules, that have failed. You will need to correct the data in order to submit the return. Cross-validation errors can also occur.




To re-validate a return entered via data upload:


	Errors in the data:
	To complete and re-validate a return entered via a data file upload, the data file must be corrected prior to being re-loaded in RRS.

Begin at the Draft Returns page.



PORTAL

J. Jones , ABCD Bank
English/Anglais +   

Menu


Draft Returns

The returns listed below are in draft and can be completed prior to submission to your Regulator.



Return name	Reference	Revision	Status	Return end date	Due date	PDF
M4 Testing	M4973511	0.1	Ready to Submit 	2019-08-31	2019-09-30	

Figure 3-31: Draft Returns Page

1. Click the return name to open the return.

J. Jones , ABCD Bank

English/Anglais +   

Menu



Draft Returns

The returns listed below are in draft and can be completed prior to submission to your Regulator.



Return name	Reference	Revision	Status	Return end date	Due date	PDF
M4 Testing	M4973511	0.1	Ready to Submit 	2019-08-31	2019-09-30	

Figure 3-32: Draft Return Page

2. Click the **Upload Data** link.

Menu

J. Jones , ABCD Bank ([Change](#))

English/Anglais +

Upload Data

Select a file which contains the data that you wish to upload into 'L4 - Monthly Average Return of Assets and Liabilities'. Allowed file types are: .n, .c, .dat, .tape, .osfi, .txt, .xml. The file you select will be processed immediately and any validation issues will be displayed below.

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

Select file to upload:

Figure 3-33: Upload Data Page

3. Click **Browse** to navigate to the appropriate corrected file.



Upload Data

Select a file which contains the data that you wish to upload into 'L4 - Monthly Average Return of Assets and Liabilities'. Allowed file types are: .n, .c, .dat, .tape, .osfi, .txt, .xml
The file you select will be processed immediately and any validation issues will be displayed below.

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

Select file to upload:

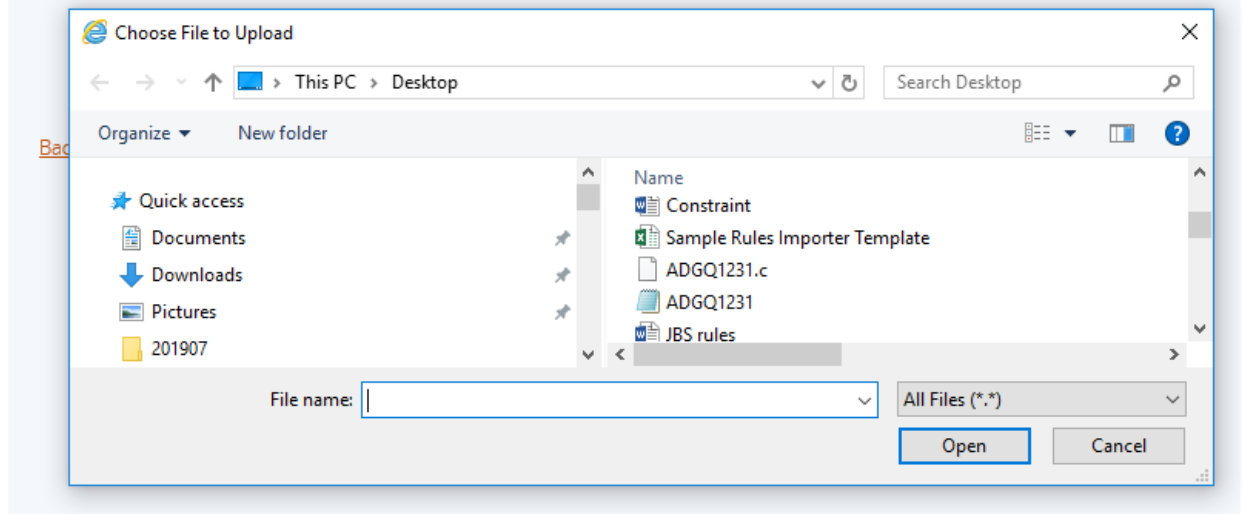


Figure 3-34: Windows Explorer Upload File Page

4. Select the appropriate corrected file.
5. Click **Open**. The file is uploaded.

	Manual Correction:
	<p>If the return has an online display, you could also make the correction in the return manually in the web form.</p>

To re-validate a financial return entered manually:

Begin at the Draft Returns page.

J. Jones , ABCD Bank

English/Anglais +   

Menu



Draft Returns

The returns listed below are in draft and can be completed prior to submission to your Regulator.



Return name	Reference	Revision	Status	Return end date	Due date	PDF
M4 Testing	M4973511	0.1	Ready to Submit 	2019-08-31	2019-09-30	

Figure 3-35: Draft Returns Page

1. Click the return name to open the return.

Menu



J. Jones , ABCD Bank

English/Anglais +   

Draft Return

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 validated, the return can be submitted using the "Submit return" functionality under the "Submission" menu.
















KEY						
						
Form set	Folder	Repeatable Folder	Form	Add Section	Ready to Submit	In Draft
						
						No Data - Mandatory
M4 Testing						Status: No Data
		M4 - Consolidated Balance Sheet				Upload Data 
		M4	M4	Edit View  		

Figure 3-36: Draft Return Page

2. Click the **Edit** link.

(A) DEMAND AND NOTICE DEPOSITS	(I) DEPOSIT-TAKING INSTITUTIONS		0930	
	(II) OF WHICH: BANKS AND FOREIGN BANK BRANCHES		0931	
	(III) OTHERS		0932	1,245
(B) FIXED-TERM DEPOSITS	(I) DEPOSIT-TAKING INSTITUTIONS		0843	2,548
	(II) OF WHICH: BANKS AND FOREIGN BANK BRANCHES		0807	
	(III) OTHERS		0808	

SECTION V - NET FOREIGN CURRENCY ASSETS				TOTAL
1.	(A) NET FOREIGN CURRENCY ASSETS		0811	258
	(B) OF WHICH: VIS-A-VIS HEAD OFFICE AND RELATED CANADIAN REGULATED FINANCIAL INSTITUTIONS		0259	

SECTION VI - SELECTED INFORMATION ON COVERED BONDS-LIABILITIES		FOREIGN CURRENCY		TOTAL
1.	COVERED BONDS OUTSTANDING			
	(A) RECORDED IN DEPOSIT LIABILITIES	0357		0359
	(B) RECORDED IN LIABILITIES OTHER THAN DEPOSITS	0358		654

SECTION VII - SELECTED INFORMATION ON MORTGAGES AND LOANS PAYABLE				TOTAL
1.	MORTGAGES AND LOANS PAYABLE OUTSTANDING			
	(A) MORTGAGES AND LOANS PAYABLE		2378	150
	(B) OF WHICH:			
	(I) SECURITIZATION NOTES PAYABLE (INSTITUTION OWN ASSETS)	(A) MORTGAGES	1190	50
		(B) OTHER ASSETS	1191	75
	(II) SECURITIZATION NOTES PAYABLE (THIRD PARTY ASSETS)	(A) MORTGAGES	1192	25
		(B) OTHER ASSETS	1193	

[Back](#)

Figure 3-37: Display of Return Page

3. Correct the appropriate data.
4. Click **Validate & Save**. The return is updated.

To correct cross-return validation errors:

As validation rules validate data within a return and across returns, correcting cross-return validation errors involves working with multiple returns. In the following example, two returns are being submitted; the M4 and the L4. The M4 was submitted successfully, but the L4 fails validation as one of its data points does not agree with the M4. You have confirmed that the L4 data is correct. This scenario requires that the M4 be corrected (to match the data point on the L4) and then re-submitted. To correct data in a submitted return a resubmission request for the M4 must be performed.

Data point XXXX on the L4 return must be equal to the sum of two data points on the M4 return. The total on the L4 is correct, which means one or both of the data point on the M4 now need to be revised and the return needs to be re-submitted. Before it can be revised, a resubmission request needs to be made.

Begin at the Request Resubmission page.

J. Jones , ABCD Bank

English/Anglais +   

Menu



Request Resubmission

Select 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 "Draft Returns" area where you will be able to edit it before resubmission.

Showing returns from: 

Drag a column header here to group by that column					
Return name	Reference	Revision	Return end date	Due date	Action
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
M4 Testing	M4973511	1.0	2019-08-31	2019-09-30	Request Resubmission

Figure 3-38: Request Resubmission Page

1. Click the **Request Resubmission** link in the **Action** column for the L4 return.

	<p>Resubmission Requests:</p>
	<p>Resubmission requests are automatically granted in RRS.</p>

J. Jones , ABCD Bank

English/Anglais +

Menu

Request Resubmission

Enter the reasons you would like to resubmit this return.

Return name: *M4 Testing*

Revision of return: *1.0*

Reasons for resubmission:

Send Request

Cancel

Figure 3-39: Request Resubmission Text Entry Page

2. Enter a brief explanation for requesting the resubmission in the Request Resubmission page.
3. Click the **Send Request** button.

J. Jones , ABCD Bank

English/Anglais +

Menu

Request Resubmission

Are you sure you would like to request resubmission of "M4 Testing"?

Confirm

Cancel

Figure 3-40: Request Resubmission Confirm Page

- Click the **Confirm** button on the confirmation page. The L4 is now ready to be corrected and re-submitted.



J. Jones , ABCD Bank

English/Anglais +

Menu



Request Resubmission

Your request to resubmit "M4 Testing" has been automatically granted and your return is available for editing under the "Draft Returns" menu.

Figure 3-41: Request Resubmission Final Page

- Click the **Draft Returns** menu item to open the Draft Returns page.



J. Jones , ABCD Bank

English/Anglais +

Menu



Draft Returns

The returns listed below are in draft and can be completed prior to submission to your Regulator.

Return name	Reference	Revision	Status	Return end date	Due date	PDF
L4 Testing	L4973510	1.1	Ready to Submit	2019-08-31	2019-09-30	
M4 Testing	M4973511	0.1	Ready to Submit	2019-08-31	2019-09-30	

Figure 3-42: Draft Returns Page

- Click the **L4** return to select it.

J. Jones , ABCD Bank

English/Anglais +   

Menu



Draft Returns

The returns listed below are in draft and can be completed prior to submission to your Regulator.



Return name	Reference	Revision	Status	Return end date	Due date	PDF
M4 Testing	M4973511	1.1	Ready to Submit 	2019-08-31	2019-09-30	

Figure 3-43: Draft Return Page

- Click the **Edit** link to open the return for manual entry.



Form View

Return Name M4 - Consolidated Balance Sheet
 Section Name M4
 Organization Name ABCD Bank
 Reporting Date 2019-08-31

Office of the Superintendent
of Financial Institutions Canada

(IN THOUSANDS OF DOLLARS)

Section I—Assets		Foreign Currency	Total
1. Cash and Cash Equivalents			
(a)	Gold, bank notes, deposits with Bank of Canada, cheques and other items in transit	2609	100 2609
(b)	Deposits with regulated financial institutions, less allowance for expected credit losses	2487	2483
2. Securities			
(a)	Securities issued or guaranteed by Canada/ Canadian Province/Canadian Municipal or School Corporation, less allowance for expected credit losses where applicable		
(i)	Treasury Bills and other short term paper	2512	2505
(ii)	Other securities	2537	7,897 2566
(b)	Other securities, less allowance for expected credit losses where applicable		
(i)	Debt	2217	2218
(ii)	Shares	2218	2202 643
3. Loans			
(a)	Non-Mortgage Loans, less allowance for expected credit losses		
(i)	Call and other short loans to investment dealers and brokers, secured	1032	2310
(ii)	To regulated financial institutions	2009	2007
(iii)	To Canadian federal government, provinces, municipal or school corporations	2023	7,894 2024
(iv)	To foreign governments	2628	2628
(v)	Lease receivables	2095	2087

Figure 3-44: Display of M4 Page

8. Scroll down to locate the data point in error and enter the correct value.

9. Scroll down and to the right and click the **Validate & Save** button to validate the structural rules on this return. This return is now ready to be submitted.
10. Hover over the **Submission** menu item and click **Submit Return**.
11. Click the **Submit** link in the **Action** column for this return.

Submit Return

The returns that are ready for submission are listed below.

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.

Return name	Reference	Revision	Categories	Return end date	Due date	Action
M4 Testing	M4973511	<u>1.1</u>		2019-08-31	2019-09-30	<u>Submit</u>

Figure 3-45: Submit Return Page

12. Click the **Submit** button to submit the L4 return.

Menu



J. Jones , ABCD Bank

English/Anglais +

Submit Return

Your submission has been accepted.

You can now view the return in the "Submission History" area. The return can also be downloaded as a PDF document for printing from this area.

Should you wish to correct any errors in the submitted data you may request a resubmission of the return using the "Request Resubmission" functionality under the "Submission" menu.

Figure 3-46: Submit Return Final Page

Now that the M4 has been revised to match the C3 and was successfully resubmitted, the C3 can be submitted.

13. Hover over the **Submission** menu item and click **Submit Return**.
14. Click the **Submit** link in the **Action** column for the M4 return.

3.6 Revising an Accepted Return

Revisions to returns that have been submitted and accepted by RRS can be made using the request resubmission feature. The first step in making a revision is to request a resubmission of the affected return.

Begin at the Welcome page.

1. Hover over the Submission menu and click the Request Resubmission sub-menu.

The Request Resubmission page opens.

Select 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 "Draft Returns" area where you will be able to edit it before resubmission.

Showing returns from: ▼

Drag a column header here to group by that column					
Return name	Reference	Revision	Return end date	Due date	Action
<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	<input type="text" value=""/>	
L4 Testing	L4973510	3.0	2019-08-31	2019-09-30	Request Resubmission

Figure 3-36: Request Resubmission Page

2. Click the **Request Resubmission** link in the **Action** column for the return.

	Resubmission Requests:
	Resubmission requests are not always automatically granted in RRS.

J. Jones , ABCD Bank

English/Anglais +



Menu



Request Resubmission

Enter the reasons you would like to resubmit this return.

Return name: *L4 Testing*Revision of return: *3.0*

Reasons for resubmission:

Send Request

Cancel

Figure 3-37: Request Resubmission Text Entry Page

3. Enter a brief explanation for requesting the resubmission in the **Reasons for resubmission** text entry box.
4. Click the **Send Request** button.

J. Jones , ABCD Bank

English/Anglais +

Menu



Request Resubmission

Are you sure you would like to request resubmission of "L4 Testing"?

Confirm

Cancel

Figure 3-38: Request Resubmission Confirmation Page

5. Click the **Confirm** button on the confirmation page.

J. Jones , ABCD Bank

English/Anglais +   

Menu



Request Resubmission

Your request to resubmit "L4 Testing" has been automatically granted and your return is available for editing under the "Draft Returns" menu.




Figure 3-38: Request Resubmission Completion Page

The return is now ready to be corrected and re-submitted.

	<p>Draft Returns</p>
<p>Upon a resubmission request, RRS places the return back in the draft folder. The return remains there until it is resubmitted or you can contact RRS Support for deletion if the resubmission was requested in error.</p>	

- Click the **Draft Returns** menu item to open the Draft Returns page and follow the same process as shown in Section 3.5 to correct the data and re-submit the return.

	<p>Resubmitting an Uploaded File</p>
	<p>If you are resubmitting a return using the Upload Data button, the following pop-up window displays:</p>

Delete Data ✕

Do you want to delete all existing data before uploading a new file?

Click the **Yes** button to confirm the deletion of the data and to allow the revised file to be selected.

4.0 Viewing Reports

Reports are viewed from the Reports menu item. Standard or Aggregate reports can be searched for using specific criteria such as a report name. Standard reports will be available in subsequent RRS releases. The following information details the different ways reports can be searched.

To view reports (using the report name to search):

Begin at the RRS Welcome page.

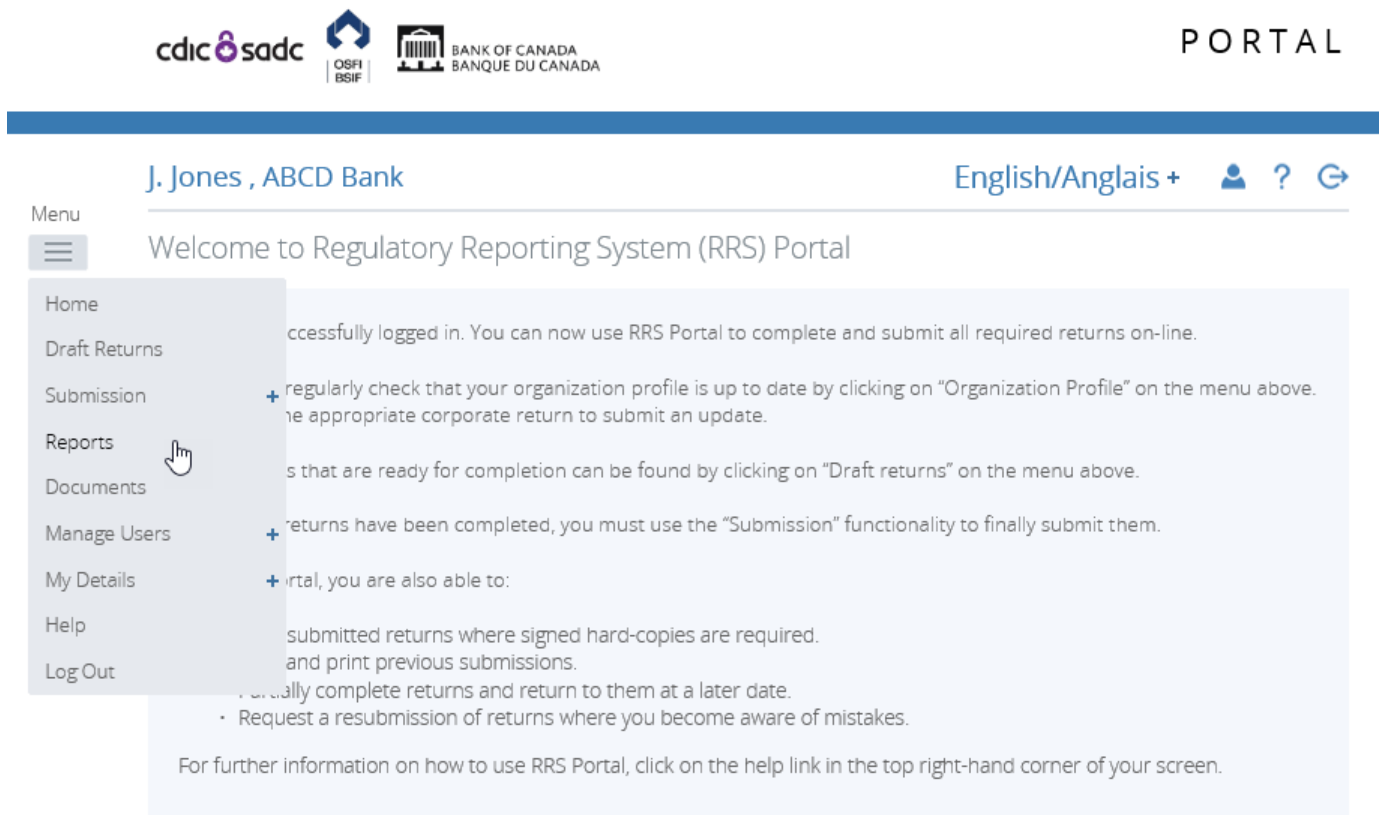


Figure 4-1: RRS Welcome Page

1. Click the **Reports** menu item.



Search for Reports

Enter search criteria to find the reports you wish to view. If no search criteria is entered then all reports which you have access to will be returned.

You can use '%' as a wildcard, e.g. entering 'A%' will return all records where the text begins with 'A'.

Report name:

Report type(s):

Return type(s):
(Aggregates)

- 09 - Special Data - Northland Bank
- 13 - Supplementary Information-CB
- 15 - Quarterly Loans Classification-CB
- 2A - EB/ET Interbank and Major Exposures Return – 2A Schedule for Asset Reporting by Counterparty
- 2C - Local Credit Union Data - Ontario
- 2E - Local Credit Union Data - Saskatchewan

Publication date ranges:

Records per page:

Figure 4-2: Reports Page

2. Enter the report name and click the **Search** button. The report title displays at the bottom of the page.
3. Click the report title. The report opens for viewing.

To view reports (using the report type to search – used for standard reports):

Begin at the Search for Reports page.

1. Click the box next to the appropriate report type (or types) to be searched. A check mark displays in the selected report type(s) check box.
2. Click the **Search** button. The report opens for viewing.

To view reports (using a wildcard to search):

Begin at the Search for Reports page.

1. Enter the % character at any point in your search string, and click the **Search** button. The results list at the bottom of the page.
2. Click the title of the appropriate report. The report opens for viewing.

To view reports (using the return type to search – used for aggregate reports):

Begin at the Search for Reports page.

1. Click the box next to the appropriate return type (or types) to be searched. A check mark displays in the selected return type(s) check box.
2. Click the **Search** button. The report opens for viewing.

To view reports (using the publication date to search):

Begin at the Search for Reports page.

1. Select the ellipses button at the end of the **Publication date ranges** field. A calendar displays.
2. Select a start date for the range.
3. (Optional) Select an end date for the range.
4. Click the **Search** button. The report opens for viewing.

5.0 Viewing Documents

The Documents menu item provides the ability to view reference documents in the Portal Documents folder.

To view documents:

Begin at the RRS Welcome page.

cdic sadc OSFI BSIF BANK OF CANADA BANQUE DU CANADA

PORTAL

J. Jones , ABCD Bank English/Anglais + [User Icon] ? ↻

Menu

- Home
- Draft Returns
- Submission
- Reports
- Documents
- Manage Users
- My Details
- Help
- Log Out

Welcome to Regulatory Reporting System (RRS) Portal

Successfully logged in. You can now use RRS Portal to complete and submit all required returns on-line.

regularly check that your organization profile is up to date by clicking on "Organization Profile" on the menu above. The appropriate corporate return to submit an update.

returns that are ready for completion can be found by clicking on "Draft returns" on the menu above.

returns have been completed, you must use the "Submission" functionality to finally submit them.

ortal, you are also able to:

- submitted returns where signed hard-copies are required.
- and print previous submissions.
- ually complete returns and return to them at a later date.
- Request a resubmission of returns where you become aware of mistakes.

For further information on how to use RRS Portal, click on the help link in the top right-hand corner of your screen.

Notifications

Dismiss	Received	Subject
<input type="checkbox"/>	2019-09-11 8:44:35 AM	M4 Testing (M4973511) is available for completion via 'Draft Returns'
<input type="checkbox"/>	2019-09-11 8:34:29 AM	L4 Testing (L4973510) is available for completion via 'Draft Returns'

Figure 5-1: Welcome Page

1. Click the **Documents** menu item.

Menu



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Documents

See below for a list of documents available for download.

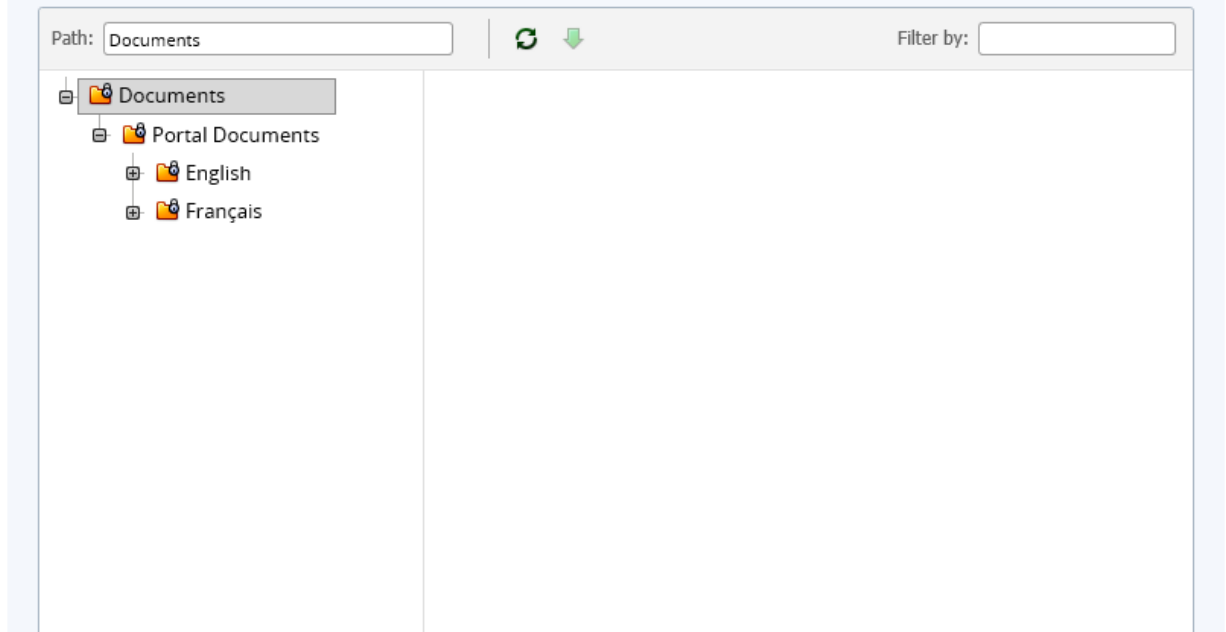



Figure 5-2: Documents Page

2. Double-click the Documents folder.
3. Double-click the Portal Documents folder.
4. Double-click the specific folder to be viewed.
5. Select the document to be viewed.
6. Click the green down arrow. A message displays prompting you to open or save the document.
7. Click the **Open** button. The document opens for viewing.

6.0 Viewing Organization Profile

The Organization Profile menu item can only be used to view the profile of your organization in RRS. This profile consists of information such as your organization's general contact information, its preferred language, general details of the organization, all required roles and their contact information, etc. This section provides instruction on how to view your organization's profile.

	Organization profile information:
	Updating organization profile information is accomplished via updating corporate returns. For information on how to work with corporate returns, refer to the RRS Portal Manage Corporate Returns User Guide.

To view an organization profile:

Begin at the RRS Welcome page.

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Menu



Welcome to Regulatory Reporting System (RRS) Portal

Home	
Draft Returns	Successfully logged in. You can now use RRS Portal to complete and submit all required returns on-line.
Submission	+ regularly check that your organization profile is up to date by clicking on "Organization Profile" on the menu above. The appropriate corporate return to submit an update.
Manage Returns	+ Draft returns that are ready for completion can be found by clicking on "Draft returns" on the menu above.
Reports	
Documents	Once returns have been completed, you must use the "Submission" functionality to finally submit them.
Organization Profile	In the RRS Portal, you are also able to:
Manage Users	+ Draft submitted returns where signed hard-copies are required.
My Details	+ Draft and print previous submissions.
Help	Successfully complete returns and return to them at a later date.
Log Out	Request a resubmission of returns where you become aware of mistakes.
	For more information on how to use RRS Portal, click on the help link in the top right-hand corner of your screen.

Notifications

Dismiss	Received	Subject
<input type="checkbox"/>	2019-09-11 8:44:35 AM	M4 Testing (M4973511) is available for completion via 'Draft Returns'
<input type="checkbox"/>	2019-09-11 8:34:29 AM	L4 Testing (L4973510) is available for completion via 'Draft Returns'

Figure 6-1: Welcome Page

1. Click the **Organization Profile** menu item.

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English/Anglais +



Menu



Organization Profile

The sections of your organization profile are listed below. You should regularly check and ensure that your organization profile is up to date.

Organization Profile	
PLW	Preferred Language and Website
OCI	Organization Contact Information

Figure 6-2: Organization Profile Page

2. Select a section of the organization profile to view.

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Organization Contact Information

OCI

Organization Name ABCD Bank
Organization Code ZW
Industry Group Domestic Bank
Fiscal Year End 12-31

Contact Type

Address

English	French
First Address Line	First Address Line
Second Address Line	Second Address Line
Third Address Line	Third Address Line
City	City
Country	
Province (Canada only)	
State (USA only)	
Postal/Zip Code	

Email Address

Externally Publishable Indicator False

Emergency Email Address

Phone

Area code	Number	Extension

Fax

Area code	Number

Figure 6-3: Generic Organization Contact Information Page

3. Review the listed information.

7.0 Managing Your Details

From the My Details menu item you can view and/or edit your user details (depending on the permissions you have been granted) and change your password. Although you have the ability to change your personal information ***it is strongly recommended that changes to your first and last name and email address be changed by your Local Registration Authority (LRA) to ensure that these user details are updated in both RRS and the BoC Connect.***

Information that can be edited includes your first and last name, email address, telephone number and your language of preference. Information that can be viewed is your assigned permissions. Information that you can edit directly includes your telephone number and your language of preference.

To edit your user details:

1. Hover your mouse over the **My Details** menu item.
2. Click the **View/Edit My Details** sub-menu item.

Menu



My User Details


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

First name: Locked Due to Permission Settings

Surname: Locked Due to Permission Settings

Email address: Locked Due to Permission Settings

Telephone number: Locked Due to Permission Settings
International Area code Number

Language of preference: 

Assigned permissions / roles:

Assigned to	Type	Roles
ABCD Bank	Organization	Filer - Financial Returns , Filer - Local Registration Authority (LRA) , Filer - Reporting - Deposit-Taking Institutions (DTI) , Filer - Corporate - Canadian FI , Filer - Corporate - Scheduled Returns

Figure 7-1: My Details Page



If your first and/or last name or email address need to be updated:

It is strongly recommended to contact your LRA to update your first and/or last name or your email address.

3. Enter your new telephone number in the **Telephone number** field (if you have the proper role. You can always contact RRS Support to have detail information changed or updated).
4. Click the drop-down arrow on the **Language of preference** field to change your language. This will set the language that displays when you log into RRS.

Note: you can change your language within a session by selecting the language drop-down from the top right of the application.

5. Click the **Update** button.

To view assigned permissions:

1. Click the name of a role in the **Roles** column within the **Assigned permissions** section.
2. Click each tab to view information about the permissions assigned to your role.

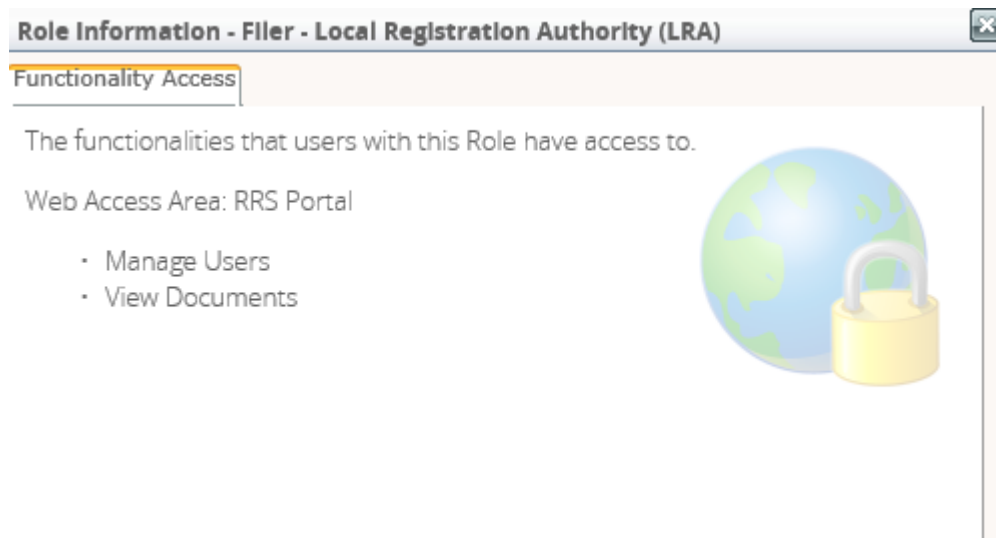


Figure 7-2: My Details Tabs Page

To change your password:

1. Hover your mouse over the **My Details** menu item.
2. Click the **Update My Password** sub-menu item.



PORTAL

Menu



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Update My Password

Valid passwords contain 1 capital letter, 1 small letter, 1 number and 1 special character (e.g. #&*!\$). It must be at least 8 characters and not more than 30 characters with no blank spaces.

Current password: *

New password: *

Confirm new password: *

Save

Figure 7-3: Update My Password Page

3. In the **Current password** field, enter your current password.
4. In the **New password** field, enter a new password.

	Valid passwords:
	<p>Ensure your new password meets the following valid password criteria: passwords must be between 8 and 30 characters and contain 1 uppercase letter, 1 lowercase letter, 1 number and 1 special character.</p>

5. In the **Confirm new password** field, re-enter your new password.
6. Click **Save**.

8.0 Managing Notifications

Notifications provide information such as when a return is ready to be completed as well as when a return processed offline is submitted successfully or presents an error. Notifications are emailed to you and can also be viewed and deleted from the Welcome page accessed through the Home menu item.

To view a notification:

1. Click the **Home** menu item. The notifications display.

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Menu

Welcome to Regulatory Reporting System (RRS) Portal

You have successfully logged in. You can now use RRS Portal to complete and submit all required returns on-line.

You should regularly check that your organization profile is up to date by clicking on "Organization Profile" on the menu above. Please file the appropriate corporate return to submit an update.

Draft returns that are ready for completion can be found by clicking on "Draft returns" on the menu above.

When your returns have been completed, you must use the "Submission" functionality to finally submit them.

With RRS Portal, you are also able to:

- Print submitted returns where signed hard-copies are required.
- View and print previous submissions.
- Partially complete returns and return to them at a later date.
- Request a resubmission of returns where you become aware of mistakes.

For further information on how to use RRS Portal, click on the help link in the top right-hand corner of your screen.

Notifications

Dismiss	Received	Subject
<input type="checkbox"/>	2019-09-11 8:44:35 AM	M4 Testing (M4973511) is available for completion via 'Draft Returns'
<input type="checkbox"/>	2019-09-11 8:34:29 AM	L4 Testing (L4973510) is available for completion via 'Draft Returns'

Figure 8-1: Help Page

2. In the **Subject** column, view the notification information.

To delete a notification:

1. In the **Dismiss** column, click the check box associated with the notification to be deleted.
The notification is deleted.



Emailed notifications:

As notifications are also sent by email, you will still have a record of the content in your email even if you delete the notification from within RRS.

9.0 Accessing Help

Help text is available on all topics within RRS.

To access RRS Help:

1. Click the **Help** link located on the top right of the application. The Help text displays.

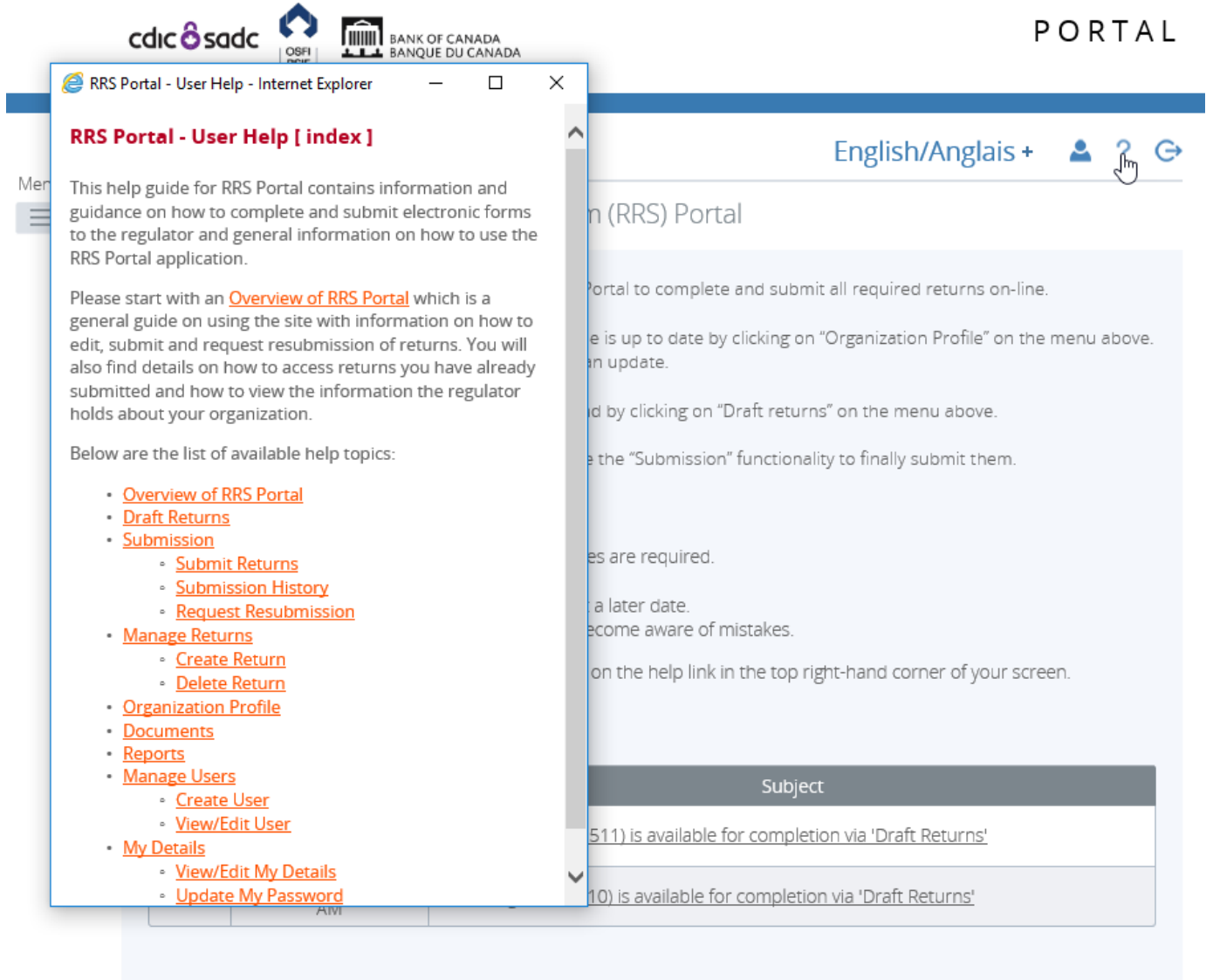


Figure 9-1: Help Page



Other help options:

1. The Documents menu item provides additional reference and training documents.
2. To receive more help with RRS you can contact your organization's LRA or contact the Bank of Canada at 1-855-865-8636.

10.0 Logging Out


RRS provides the ability to logout of your current session.

To logout of RRS:

1. Click the **Logout** link located on the top right of the application. A window displays asking if you are sure you want to logout.
2. Click **OK**. The login page displays.

10.1 Inactivity Logout

Each RRS session is set to logout automatically after two hours of inactivity.

	<p>If you are logged out due to inactivity:</p> <p>RRS does not automatically save your work. It also does not return you to what you were working on when the forced logout occurred. It is important to save your work often.</p>
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11.0 Tips, Tricks and Troubleshooting

11.1 Saving Your Work

It is important to remember to save your work often. As stated in *Section 11.1 Inactivity Logout*, each RRS session is set to logout automatically after two hours of inactivity. If you are logged out due to inactivity, RRS does not return you to what you were working on prior to the forced logout.

11.2 Microsoft Excel


You can save a return in Microsoft Excel format by using the Excel button on the Draft Return page. This button enables a return to be saved to a specified area outside of RRS.

11.3 Two Users Working on the Same Return

It is possible to have more than one user working on the same return within RRS. Note that RRS does not inform you when another user is working on the same return. Two separate scenarios are described below; both scenarios involve two users, User 1 and User 2, accessing the same return at the same time.

Scenario 1 – Validate & Save: User 1 clicks the Validate & Save button on the return and the data is saved at version 1.1. Then User 2 clicks the Validate & Save button and also saves the return, overwriting the data saved by User 1 and updating the revision of the return to 2.1. In this circumstance, the data in the return saved last is the return data RRS displays as the most current.

Scenario 2 - Submit: User 1 successfully submits the return. User 2 attempts to submit the return but receives an access denied message as this return has already been submitted by User 1.

	<p>View Audit Log:</p>
	<p>To determine who worked on a specific revision of a return, use the View Audit Log feature as described in <i>Section 3.3 Viewing a Financial Return</i>.</p>

11.4 Printing Returns

To print a return, use the Excel icon on the Draft Return page to open the return in Microsoft Excel format then use the print feature in Microsoft Excel.

12.0 Glossary

Term/Acronym	Definition/Description
BCAR	Basel Capital Adequacy Reporting
BoC	Bank of Canada
CDIC	Canada Deposit Insurance Corporation
Conventional return	A single dimension return in which data is organized by one category; example M4 or L4.
CY	Calendar Year
Dimensional return	A return containing dimensional data; example BB or BH.
DTI	Deposit Taking Institution
Enhanced Authentication	A security requirement that applies to accessing RRS through the BoC Connect
Filer	A user associated with a financial institution who files returns.
FI	Financial Institution
FRFI	Federally Regulated Financial Institution
FY	Fiscal Year
FYE	Fiscal Year End
Geographic Return	A return consisting of data broken down with respect to geography. A Dimensional return in RRS; example GM or GQ.
LRA	Local Registration Authority
Organization	An element describing financial institutions or partner agencies.
OSFI	Office of the Superintendent of Financial Institutions
PDF	Portable Document Format
Portal	See RRS Portal
QE	Quarter End
Return	A collection of information Filers or their representatives are required to submit to one or more Tri-agency partners
Return schedule	The calendar of return submissions which can or must be filed, specifying the filing periods and frequency of submissions.
Return type	Identifies whether a return is a single dimensional (conventional) return, multi-dimensional return, or geographical return (dimensional).
RRS	Regulatory Reporting System
RRS Portal	A web application used to submit and view returns
RRS Supervision Centre	A web application used to create and manage returns, users, organizations and reports for Tri-Agency only.
Status	Indicates the state a return is in, e.g., "In Draft"

Term/Acronym	Definition/Description
Structural rule	The formatting and layout of a return submission
Supervision Centre	See RRS Supervision Centre
Tri-Agency	A group made up of the Bank of Canada, the Office of the Superintendent of Financial Institutions and the Canada Deposit Insurance Corporation.
Unstructured Return	Data that is submitted in a format that is not defined by data points as part of a return definition and is typically contained in an attached document.
User	Any person who uses RRS with any level of privileges
User role	Gives a user access to specific features and functions.
Validation error	A message that displays the error that caused the validation process to fail. Users must correct the error to continue.
Validation rule	A rule used during the validation process, expressed as an equation.
Web form	An on-screen or online display of a return.
Workstation	A computer used to access the BoC Connect and the RRS application.
YE	Year End