Regulatory Reporting System

# Regulatory Reporting System (RRS) Manage Financial Returns User Guide for Insurance Companies and Private Pension Plans

January 2021

CDIC SADC
OSFI BSIF
BANK OF CANADA BANQUE DU CANADA

# Table of Contents

# Version History

| Version | Changes | Date |
|---|---|---|
| 0.1 | Draft document | 27/01/2014 |
| 1.0 | Initial release | 21/03/2014 |
| 2.0 | Product Upgrade | 07/11/2019 |
| 2.1 | • Reference update on connection – replaced “Secure Site” for BoC Connect<br>• 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) and Federally Regulated Private Pension Plans to submit regulatory return information. With RRS you can complete and submit returns, request a return submission, 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:

| | |
|---|---|
| | Information – These sidebars contain extra detail, or describe optional steps. |
| | Caution – These sidebars point out a possibility that may cause unexpected behaviour and tell you how to correct the issue, if you encounter it. |
| | Warning – 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.

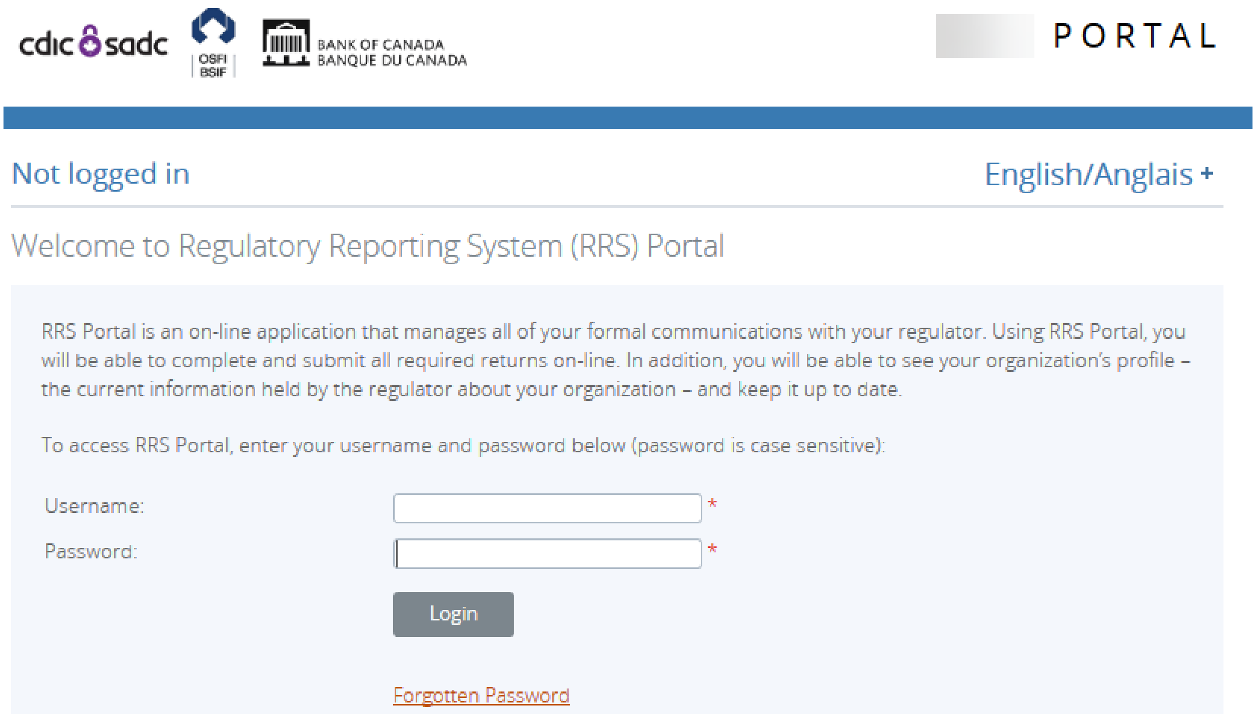


**Figure 2-1: Login Page**

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:** |
|---|---|
| | 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: *Resetting Your RRS Password* for more information. |

| | |
|---|---|
| | **Organization Selection:** |
| | 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. |

<u>If you have permission to access more than one organization:</u>

1. Follow the steps above to log in.

The Select organization page displays.

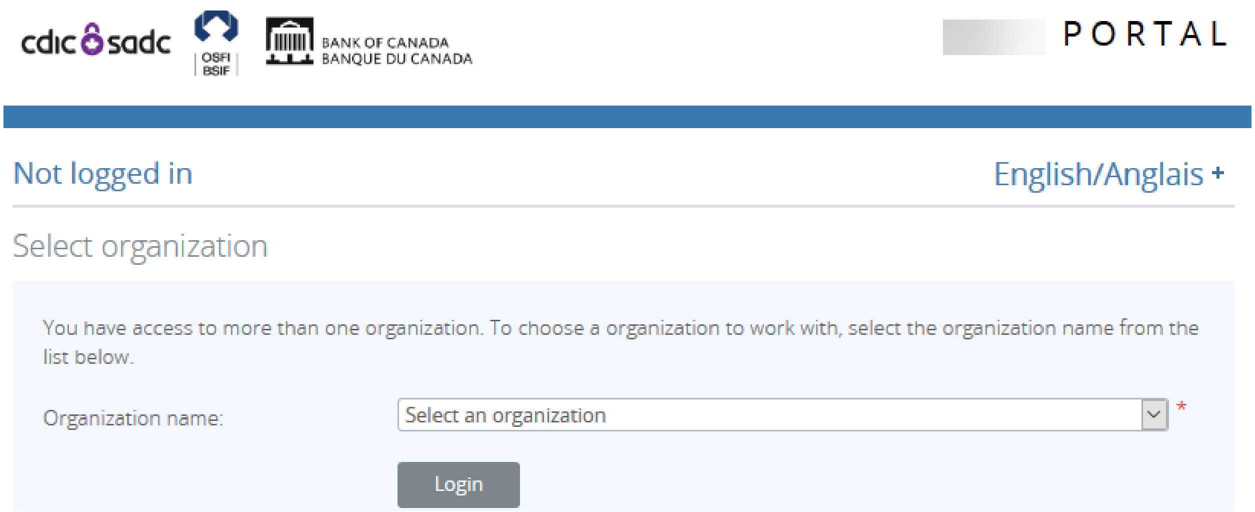


**Figure 2-2: Select Organization Page**

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.

<u>To change the organization selection:</u>

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

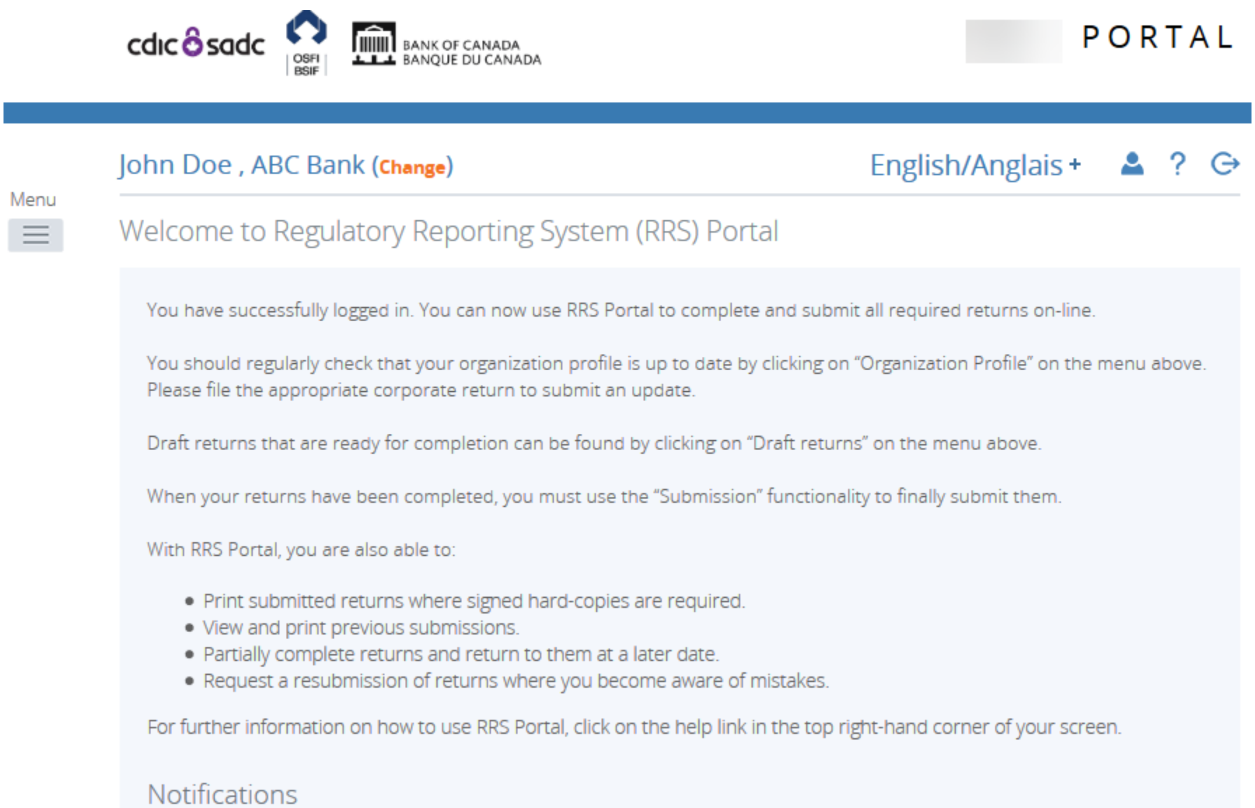


**Figure 2-3: Change Organization Page**

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.

<u>To log into RRS for the first time:</u>

Begin at the RRS Login page.

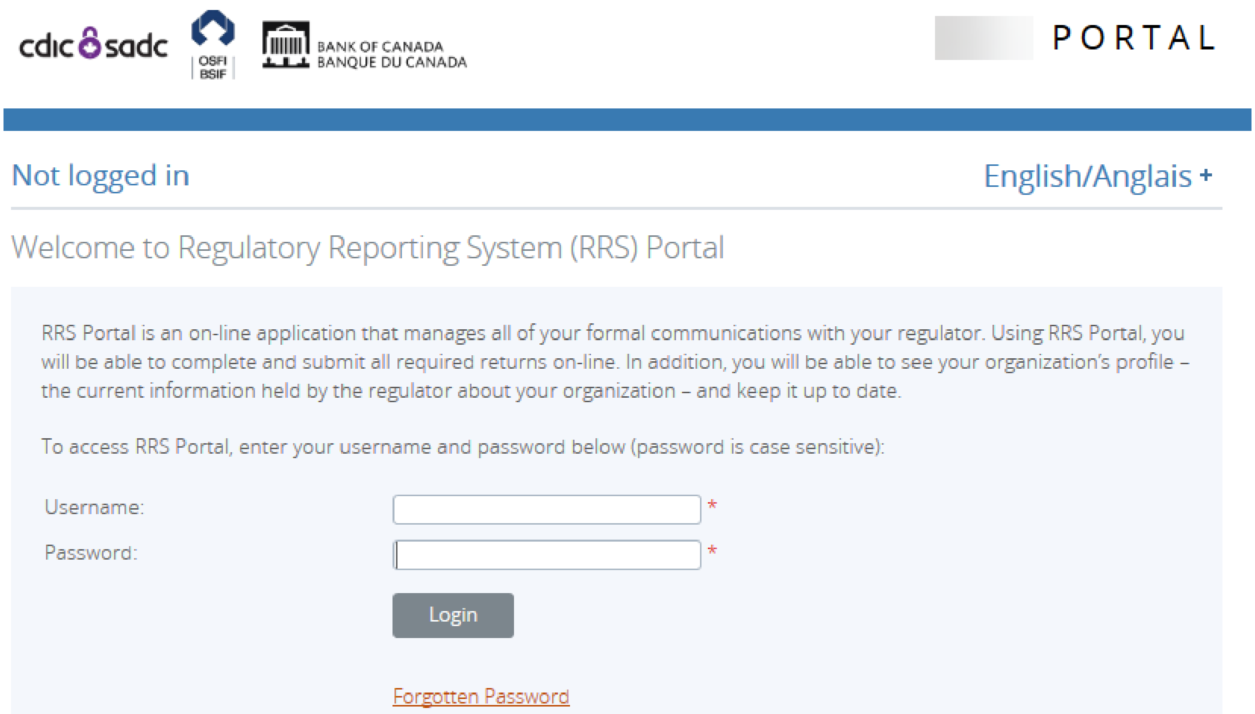


**Figure 2-4: Login Page**

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**.

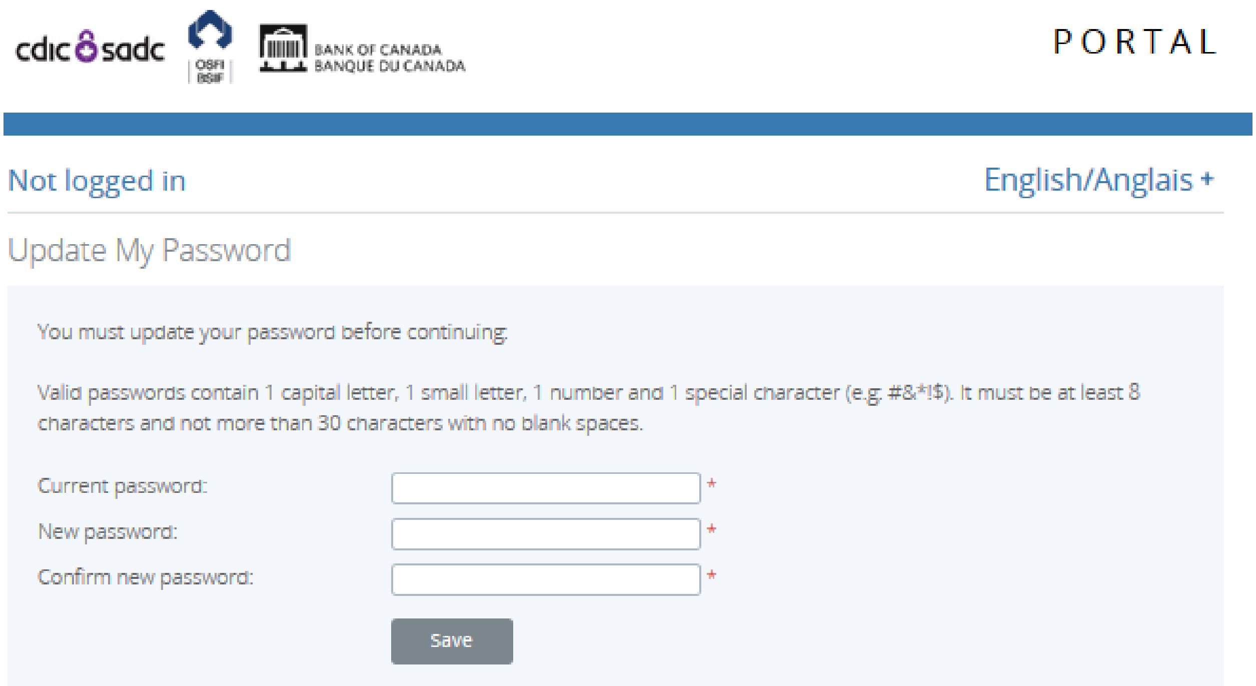


**Figure 2-5: Update My Password Page**

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

| | **Passwords:** |
|---|---|
| | 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. |

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.

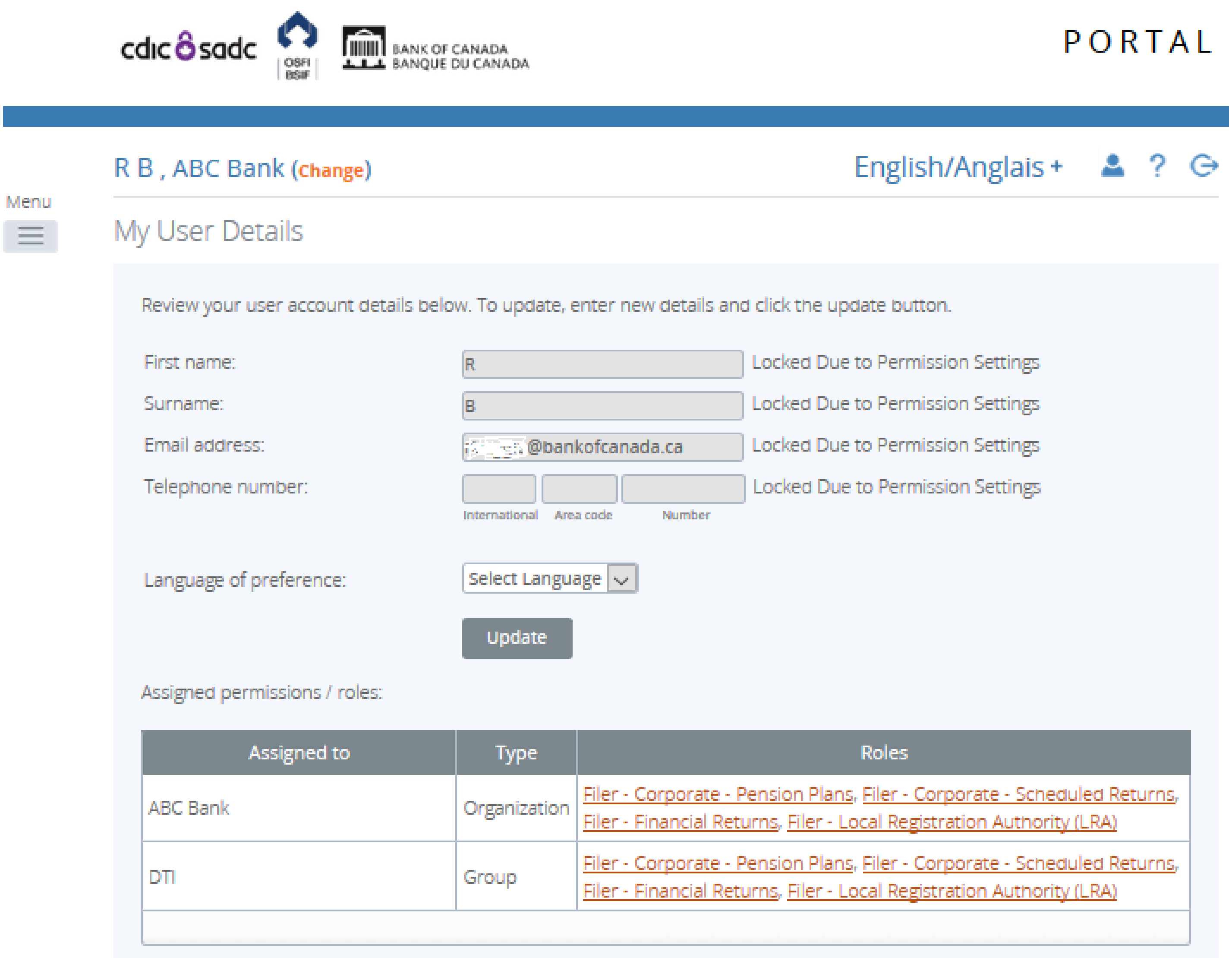


**Figure 2-6: Update My Password Page**

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.

| | **Language:** |
|---|---|
| | 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. |

## 2.3 Resetting Your RRS Password

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

<u>To reset your password:</u>

Begin at the Login page.

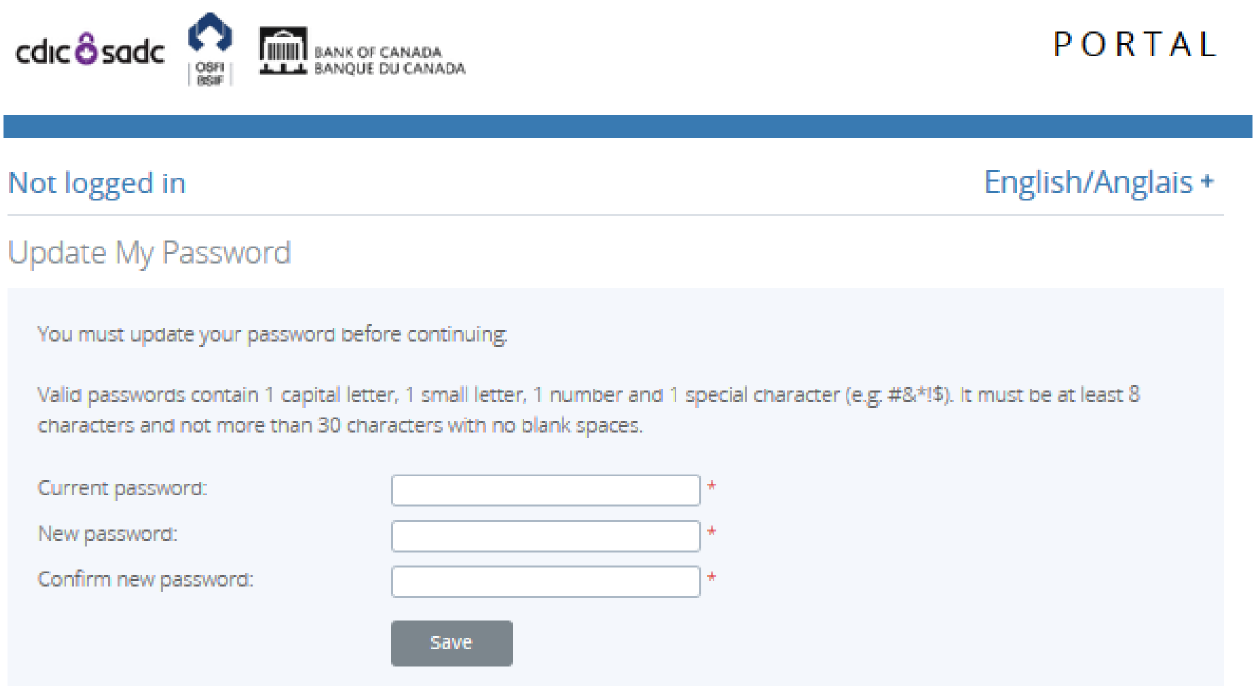


**Figure 2-7: Login Page**

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

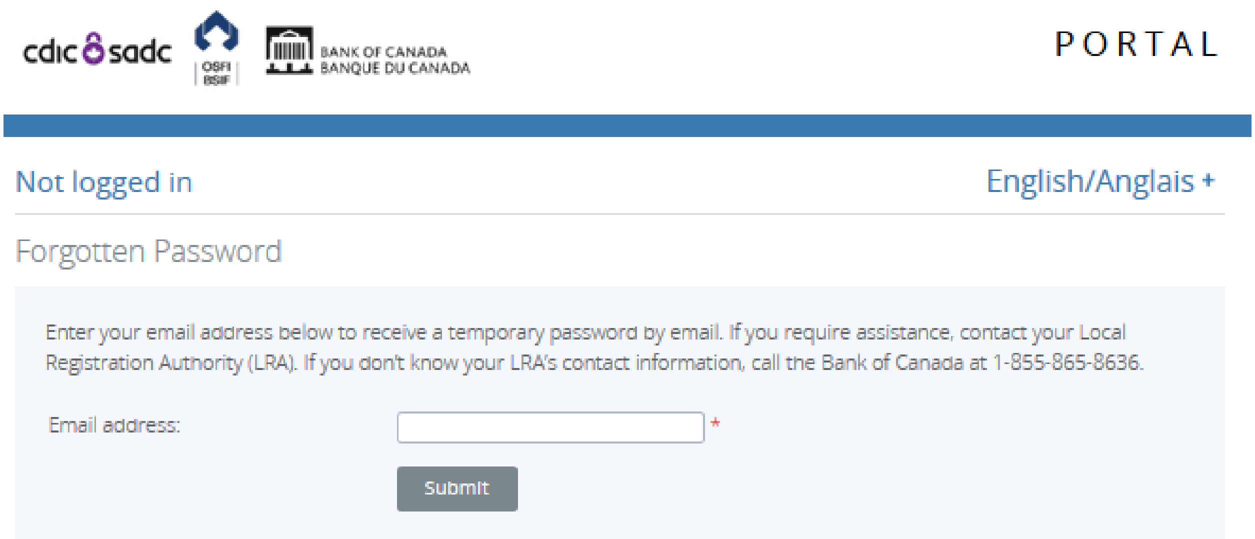


**Figure 2-8: Forgotten Password Page**

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.


**Figure 2-9: Login Page**

7. Enter your username.

8. Enter your temporary password.

9. Click **Login**.

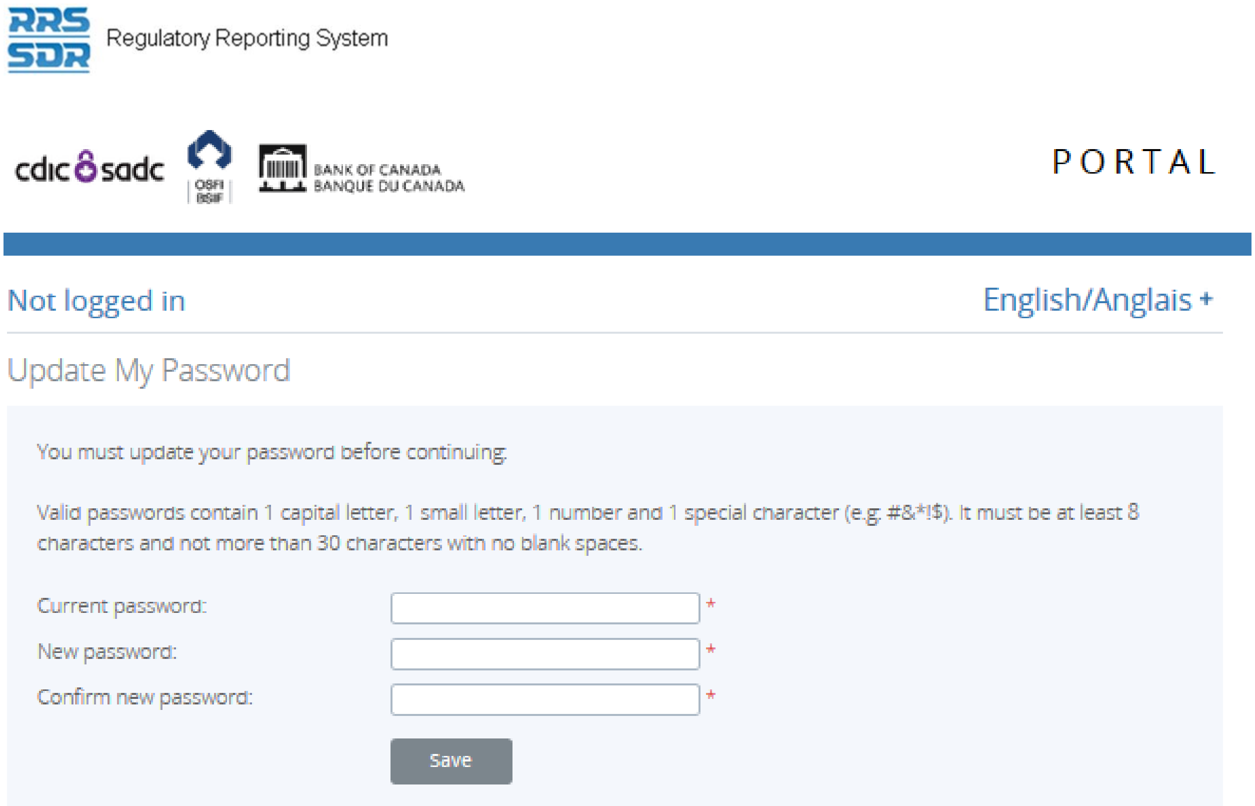


**Figure 2-10: Update My Password Page**

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 returns, how to view returns, and how to view and correct errors in a return.

Returns can be either conventional or unstructured in type, and this information determines how they are entered in RRS. Sections 3.1 and 3.2 detail how conventional returns are entered. Section 3.6 details how unstructured returns are entered. For information on specific return types, view the List of Returns for your sector on the RRS Training page.

There are two ways to complete and submit a 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 completed 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.

**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:

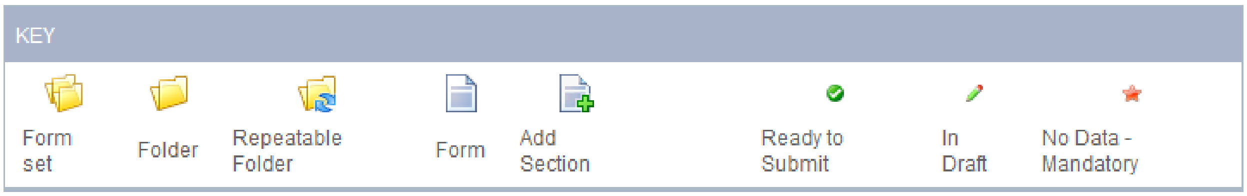


**Figure 3-1: Draft Return Key**

**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.
**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 Conventional Return via Data Upload

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

| | **File Formats** |
|---|---|
| | The acceptable file formats for uploading data to conventional returns in RRS include: .xml and .osfi. |

To upload a conventional return:

Begin at the Welcome page.

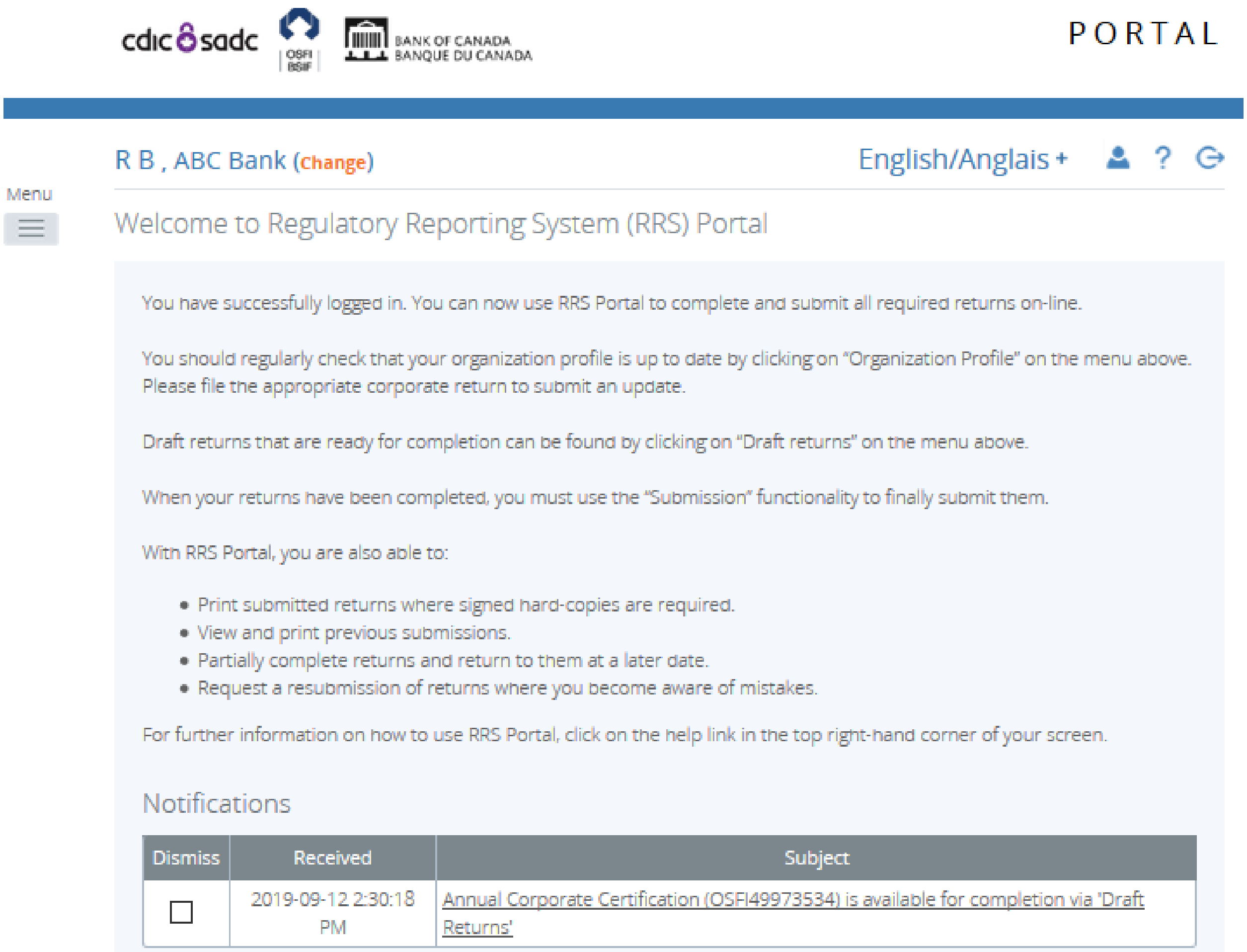


**Figure 3-2: Welcome Page**

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

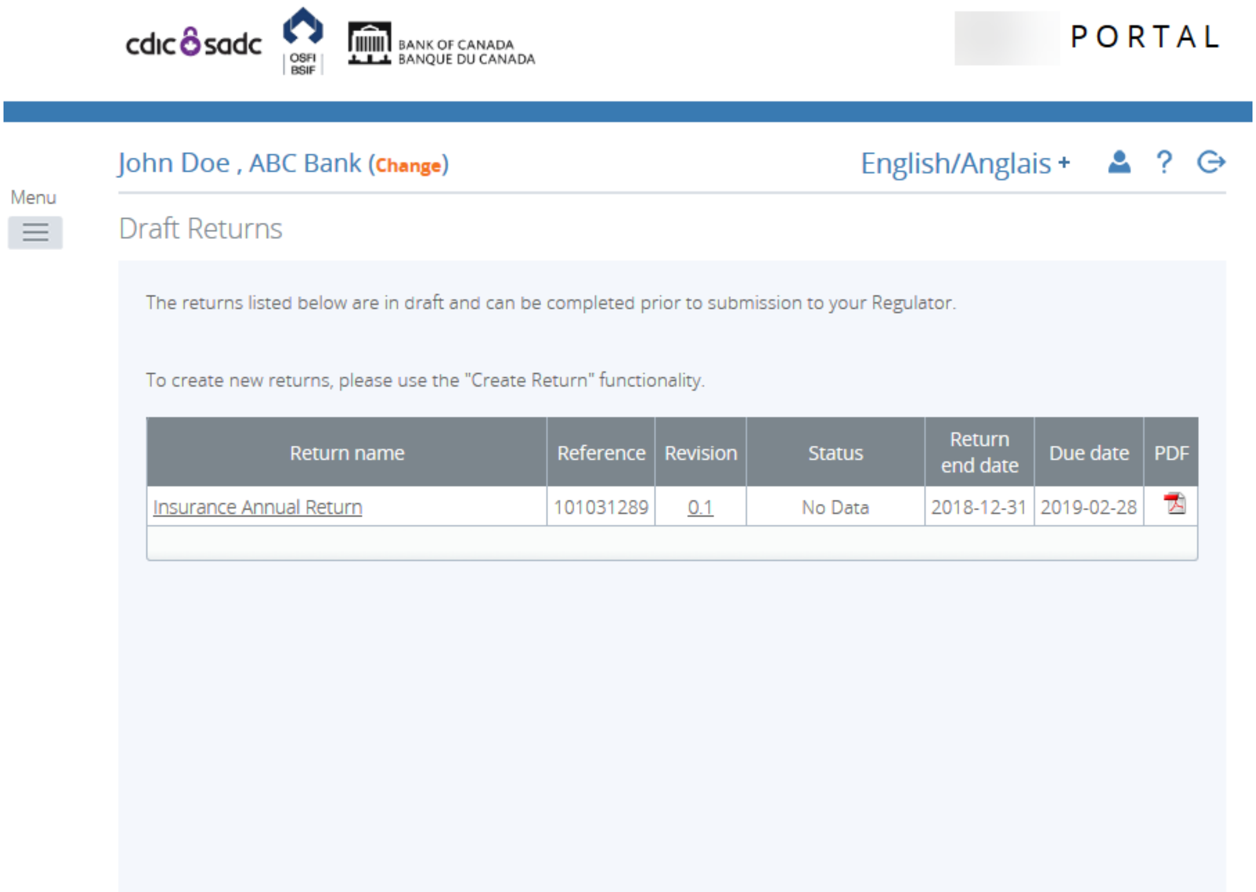


**Figure 3-3: Draft Returns Page**

| | **Return Revision** |
|---|---|
| | 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.<br><br>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. |

2. Click the return name to be completed.

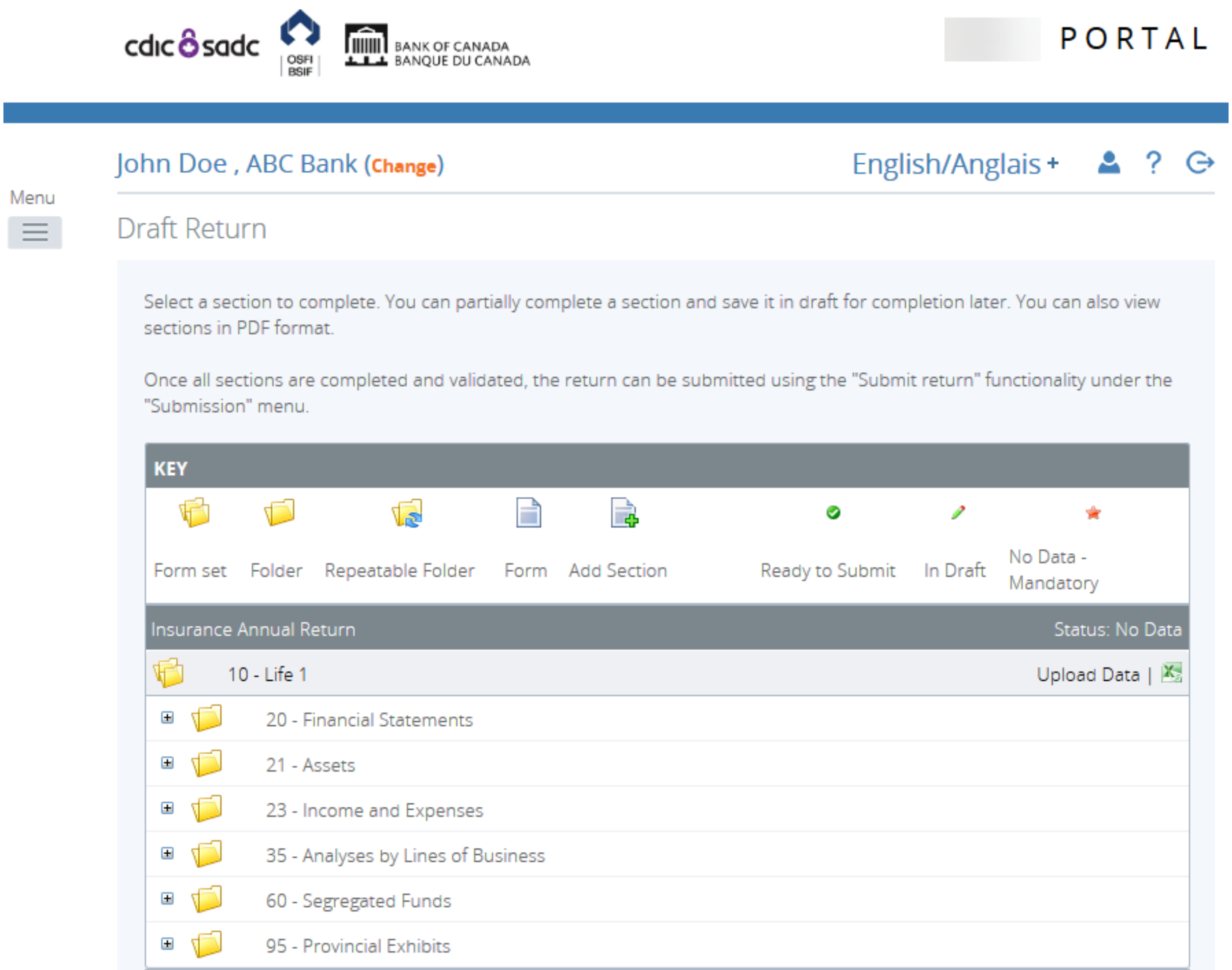


**Figure 3-4: Draft Return Page**

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

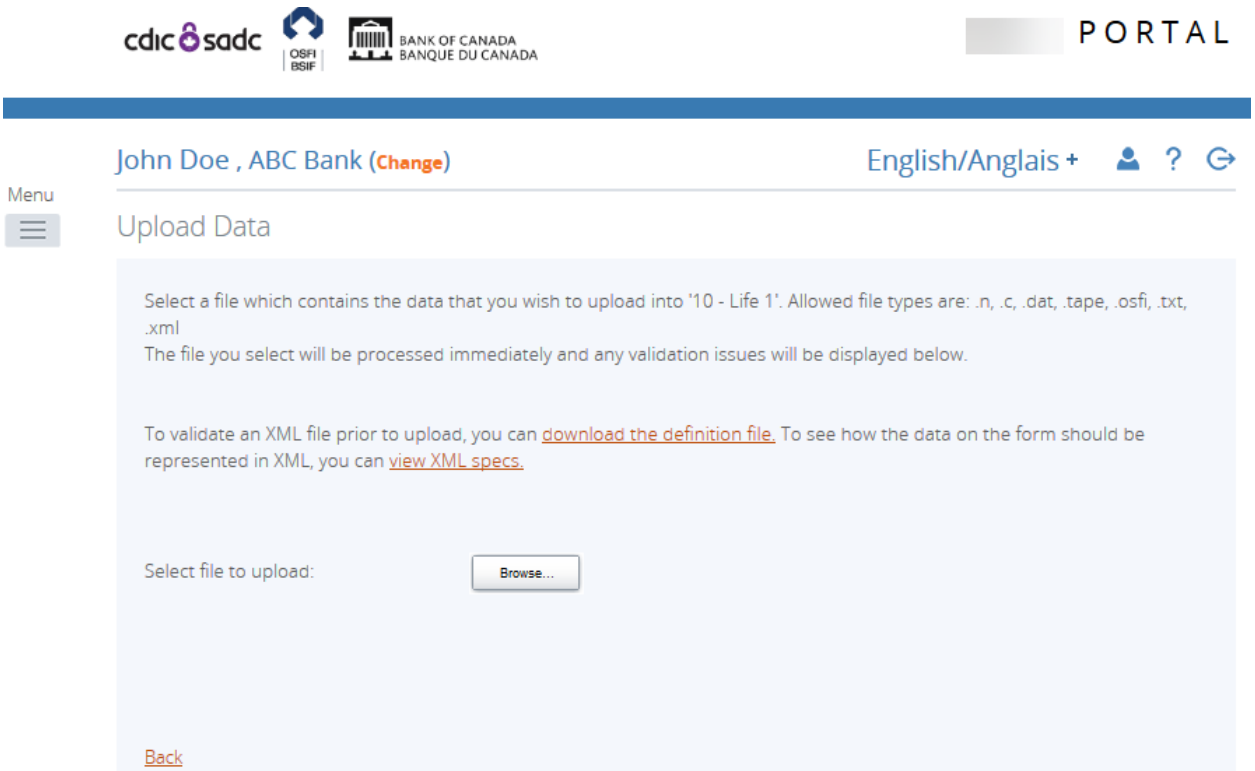


**Figure 3-5: Upload Data Page**

4. Click **Browse** to navigate to where your return data file is stored, and select the file.

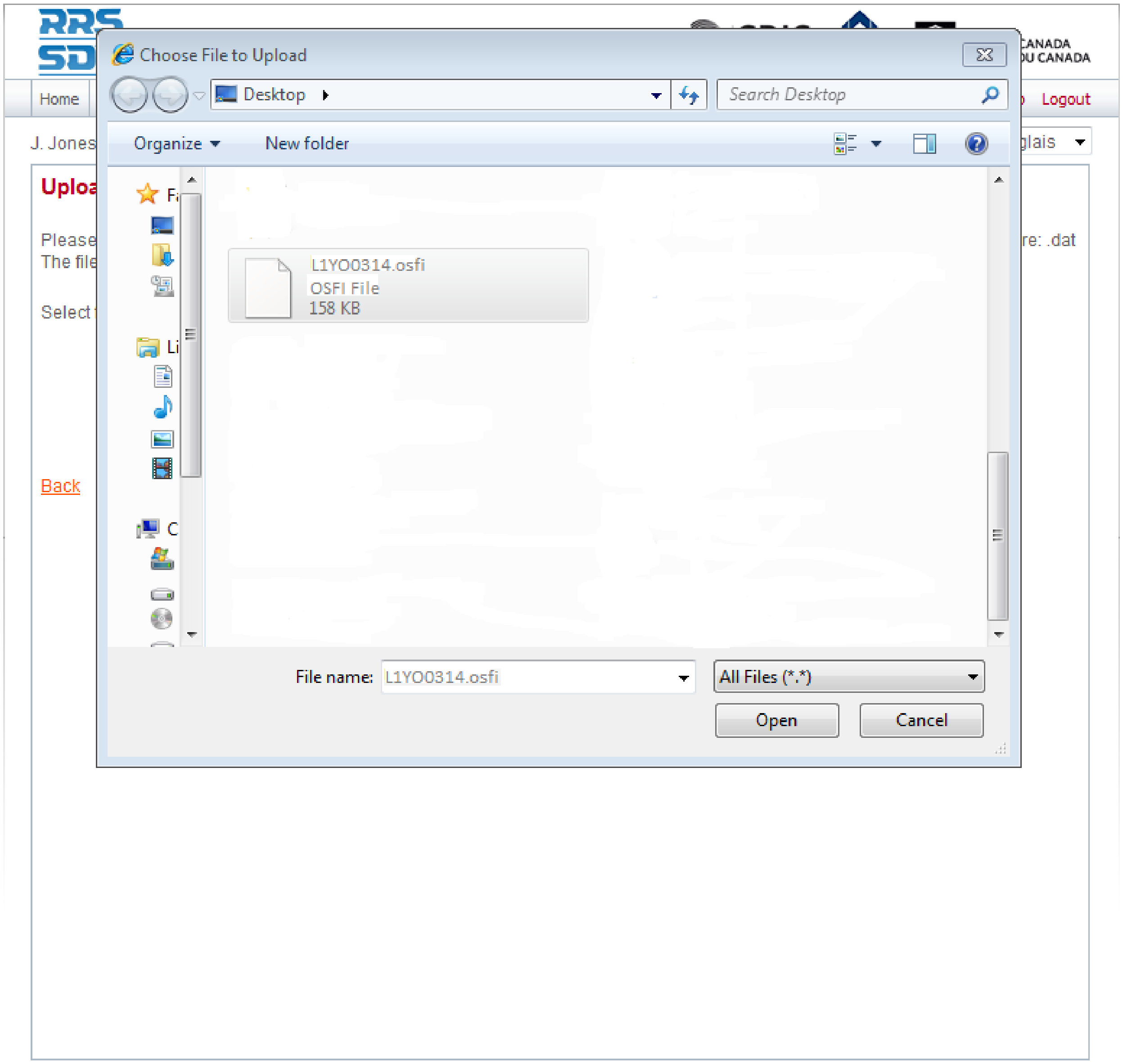


**Figure 3-6: Windows Explorer Upload File Page**

5. Click **Open**.

| | **Incorrect File Format** |
|---|---|
| | Using an incorrect file format for uploading data will cause an error in RRS. Be sure to use the acceptable file formats as listed above. |

6. Hover your mouse over Menu and select the **Submission** item.

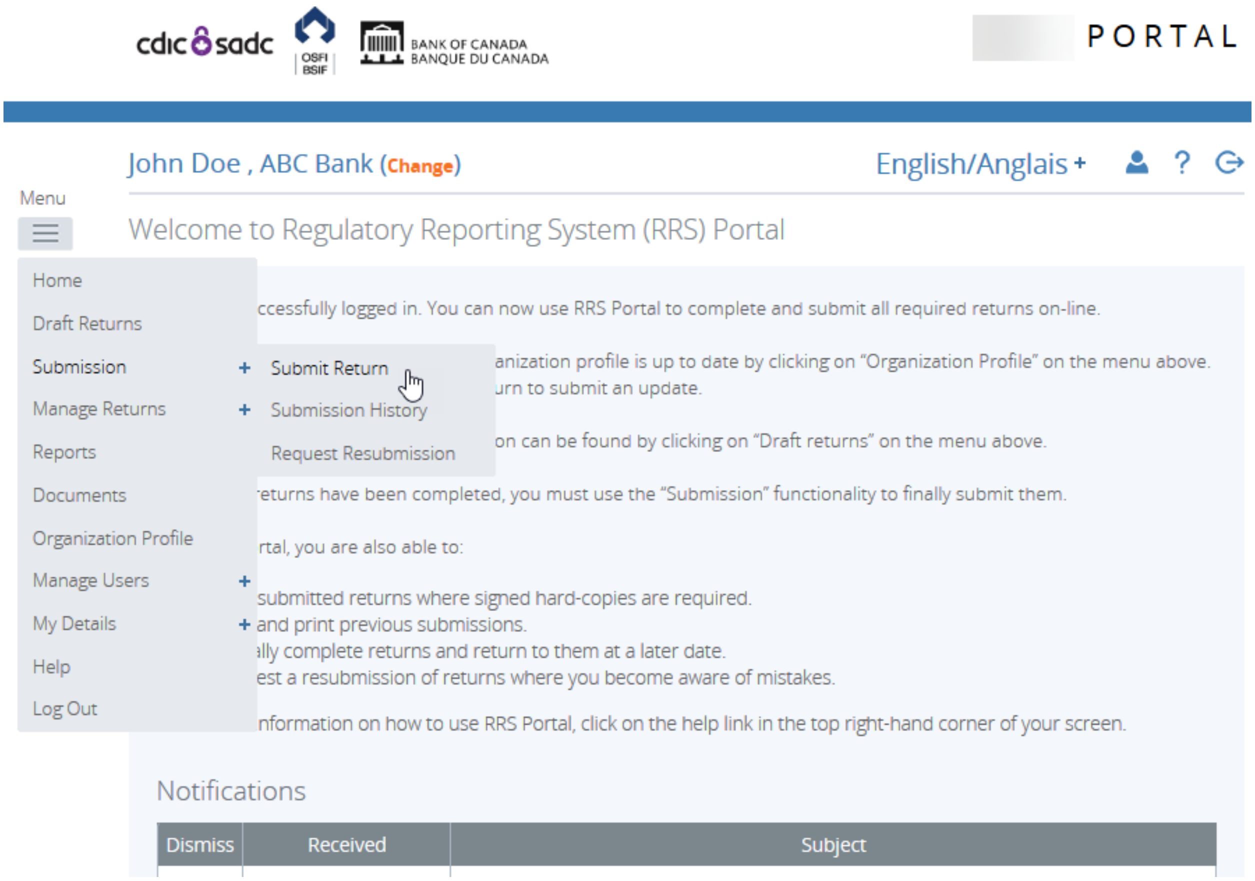


**Figure 3-7: Submission Menu Drop-Down Page**

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

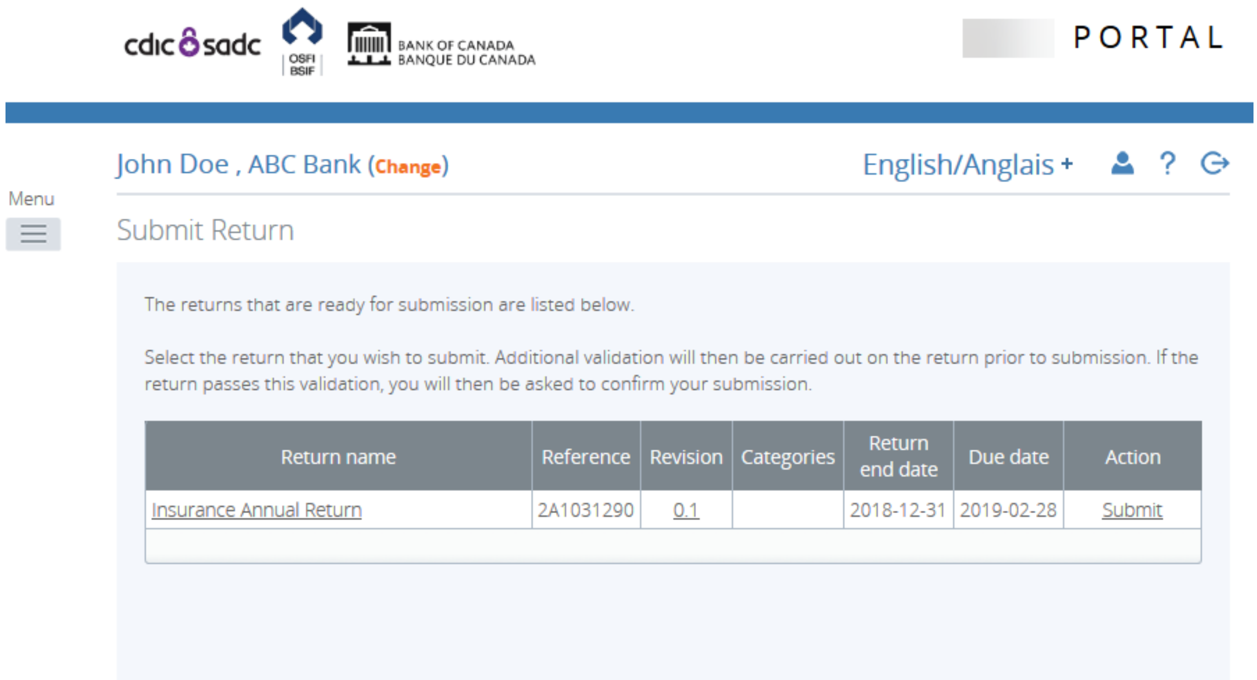


**Figure 3-8: Submit Return Page**

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

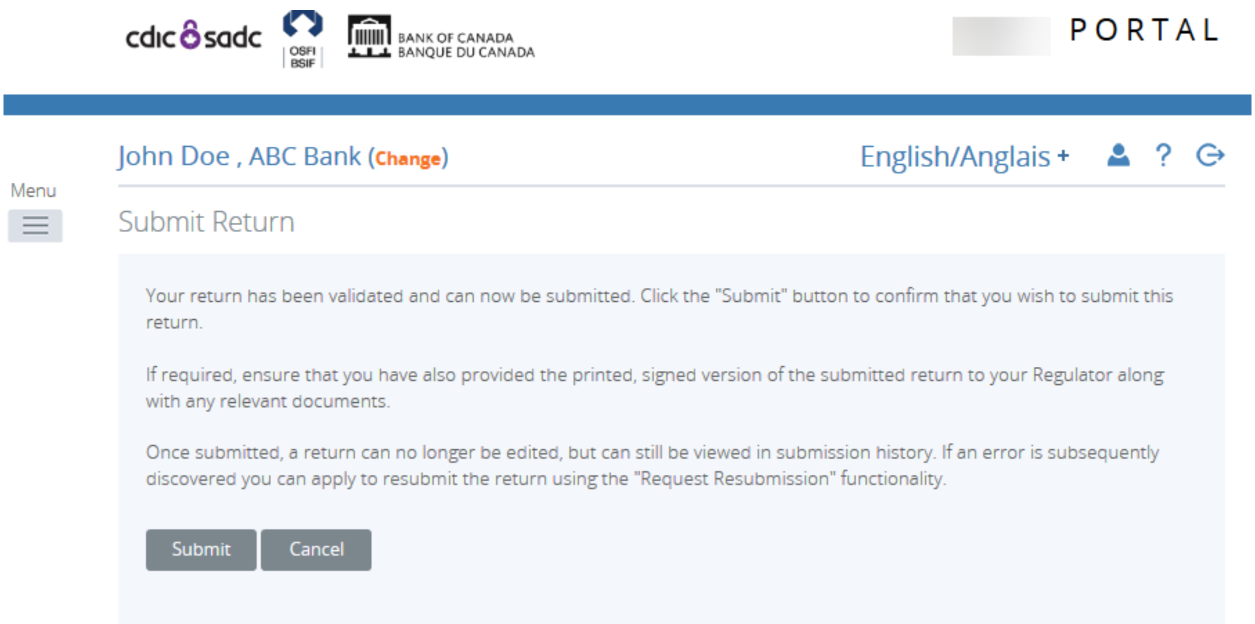


**Figure 3-9: Submit Return – Submit Button Page**

9. Click **Submit**.

| | |
|---|---|
| | **If a virus is detected during upload:** |
| | Uploaded files are scanned for viruses. If a virus is detected the file will not be uploaded. |

| | **If an error occurred:** |
|---|---|
| | If your return has errors, they will be displayed on-screen and in the Notifications section on the Welcome page. |

## 3.2 Completing and Submitting a Conventional Return Manually

To manually enter a conventional return:

Begin at the RRS Welcome page.

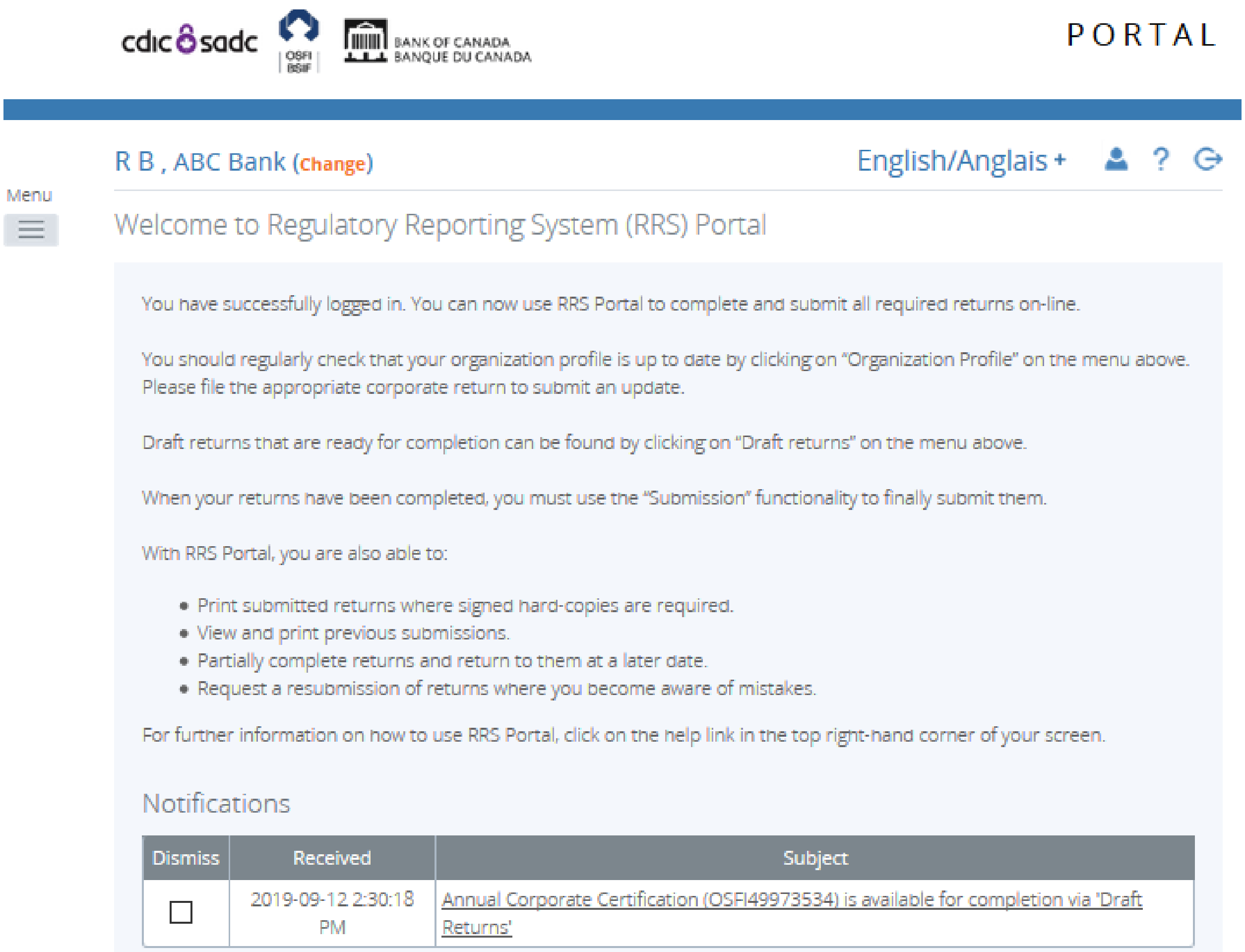


**Figure 3-10: Welcome Page**

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


**Figure 3-11: Draft Returns Page**

2. Click the return name to be completed.

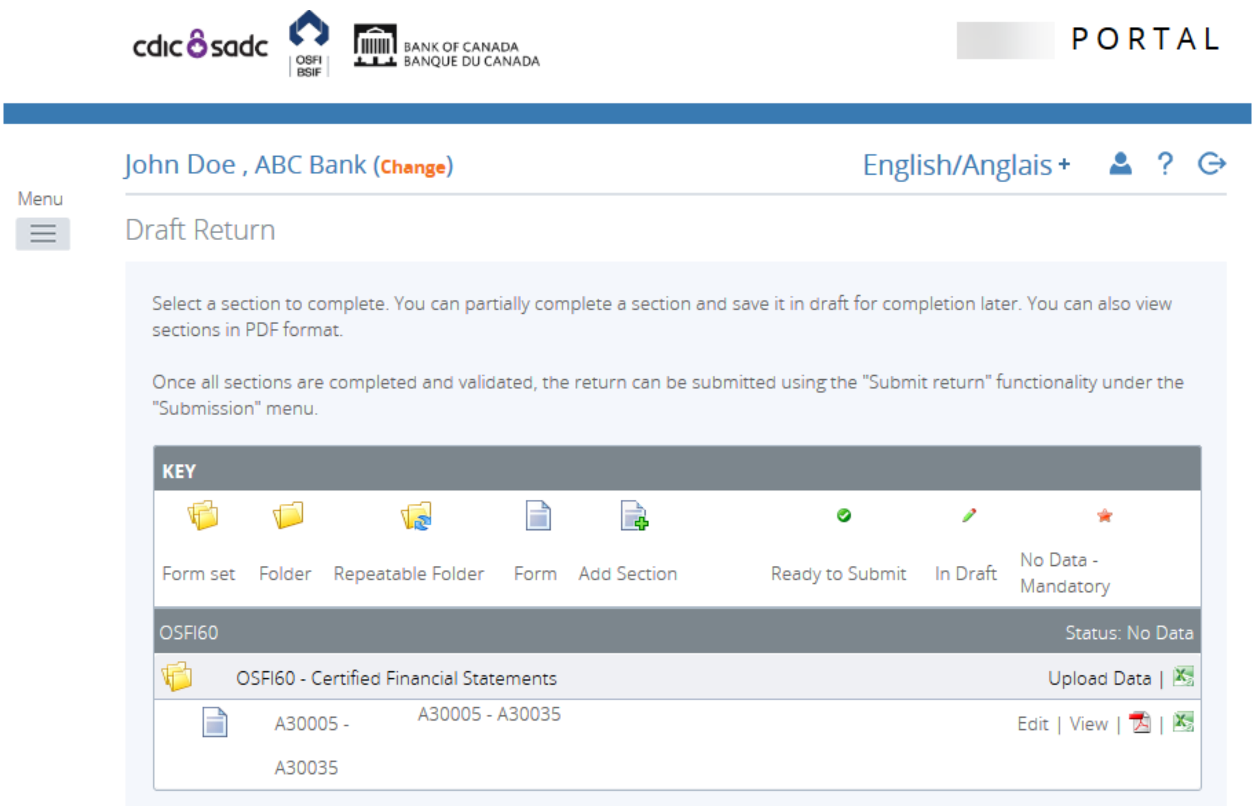


**Figure 3-12: Draft Return Page**

3. Click the **Edit** link next to the section to be completed.

cdic sadc OSFI BSIF BANK OF CANADA BANQUE DU CANADA PORTAL

John Doe , ABC Bank (Change) English/Anglais +

Menu

Form View

| | |
|---|---|
| Return Name | OSFI60 - Certified Financial Statements |
| Section Name | A30005 - A30035 |
| Organization Name | ABC Bank |
| Reporting Date | 2019-08-30 |

**For assistance with completing this form, please refer to the Instruction Guide for the Certified Financial Statements (OSFI 60) and Auditor's Report on the OSFI website.**

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**REPORTING PERIOD**

**For Plan Year Ending(YYYY-MM-DD) (001)** *

**Number of Months Covered (002)** *

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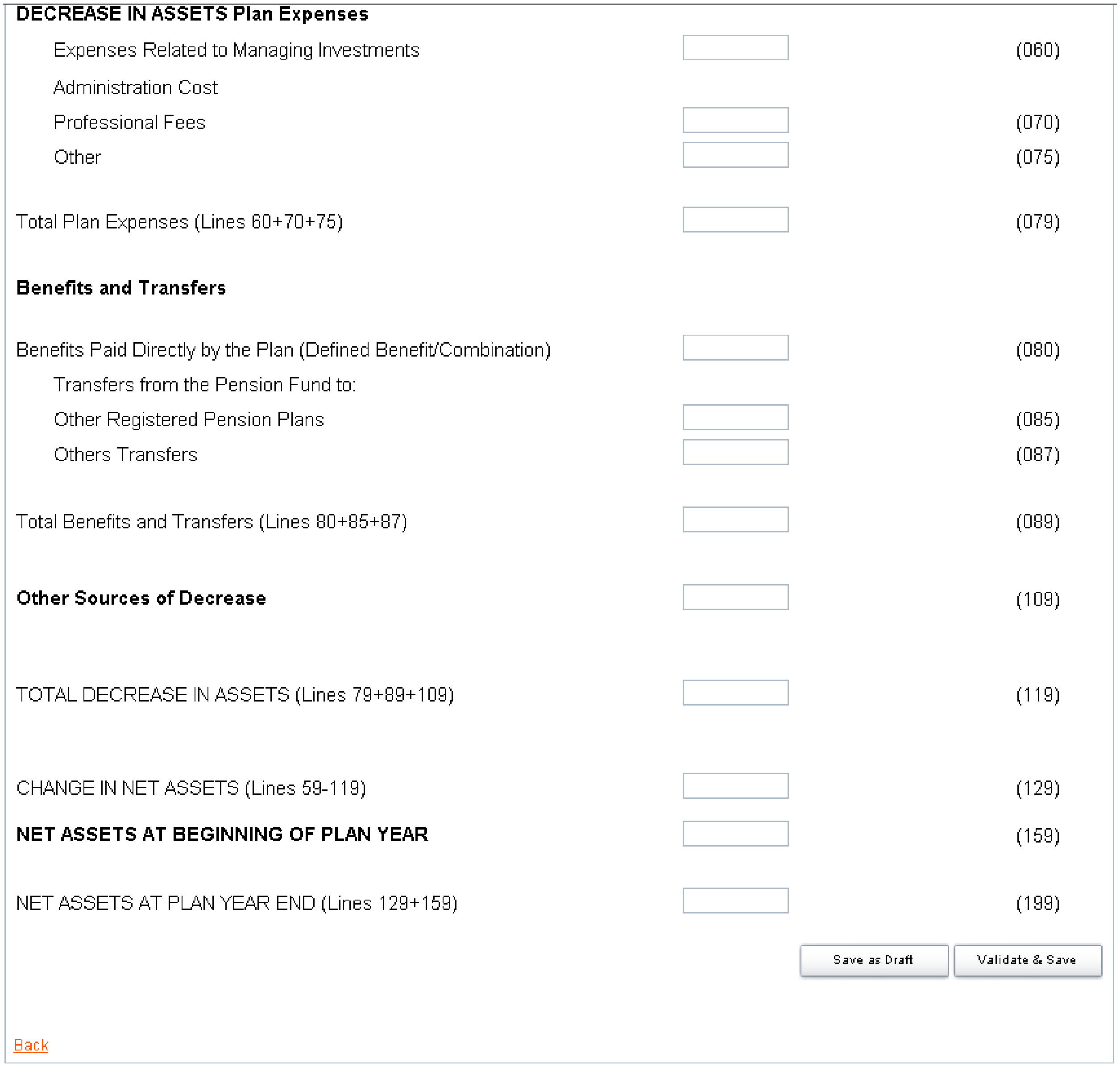
**STATEMENT OF CHANGES IN NET ASSETS**

| | Current Year ($) (001) | Previous Year ($) (002) | |
|---|---|---|---|
| **INCREASE IN ASSETS** | | | |
| **Increase Due to Investments** | | | |
| Investment Income | | | (010) |
| Net Gains (or Losses) on Investments | | | |
| Realized | | | (015) |
| Unrealized | | | (016) |
| **Total Increase Due to Investments (Lines 10+15+16)** | * | | (019) |
| **Contributions** | | | |
| Member Contributions | | | (020) |
| Additional Voluntary Contributions | | | (021) |
| Employer Contributions (current service, special payments, etc.) | | | (025) |
| **Total Contributions (Lines 20+21+25)** | * | | (029) |

**Figure 3-13: Display of Return Page**

4. Enter data in the appropriate fields of the web form.

5. Scroll to the bottom right of the return.



| | | |
|---|---|---|
| **DECREASE IN ASSETS Plan Expenses** | | |
| Expenses Related to Managing Investments | | (060) |
| Administration Cost | | |
| Professional Fees | | (070) |
| Other | | (075) |
| Total Plan Expenses (Lines 60+70+75) | | (079) |
| **Benefits and Transfers** | | |
| Benefits Paid Directly by the Plan (Defined Benefit/Combination) | | (080) |
| Transfers from the Pension Fund to: | | |
| Other Registered Pension Plans | | (085) |
| Others Transfers | | (087) |
| Total Benefits and Transfers (Lines 80+85+87) | | (089) |
| **Other Sources of Decrease** | | (109) |
| TOTAL DECREASE IN ASSETS (Lines 79+89+109) | | (119) |
| CHANGE IN NET ASSETS (Lines 59-119) | | (129) |
| **NET ASSETS AT BEGINNING OF PLAN YEAR** | | (159) |
| NET ASSETS AT PLAN YEAR END (Lines 129+159) | | (199) |

Save as Draft | Validate & Save

Back

**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 would have been displayed on-screen informing you that there was an issue with the return that would need to be corrected prior to submission. See *Section 3.6* for more information on errors. |

7. Hover your mouse over Menu and select **Submission** item.

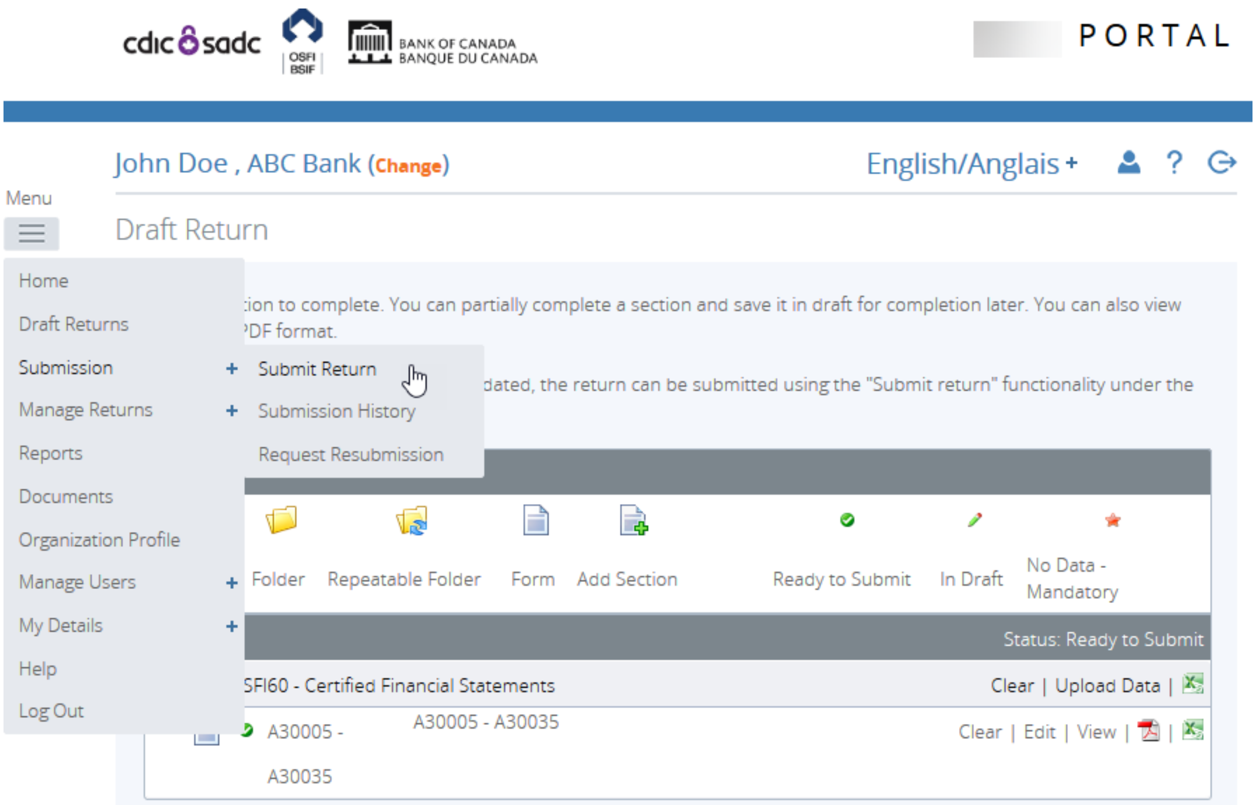



**Figure 3-15: Submission Menu Drop-Down Page**

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

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

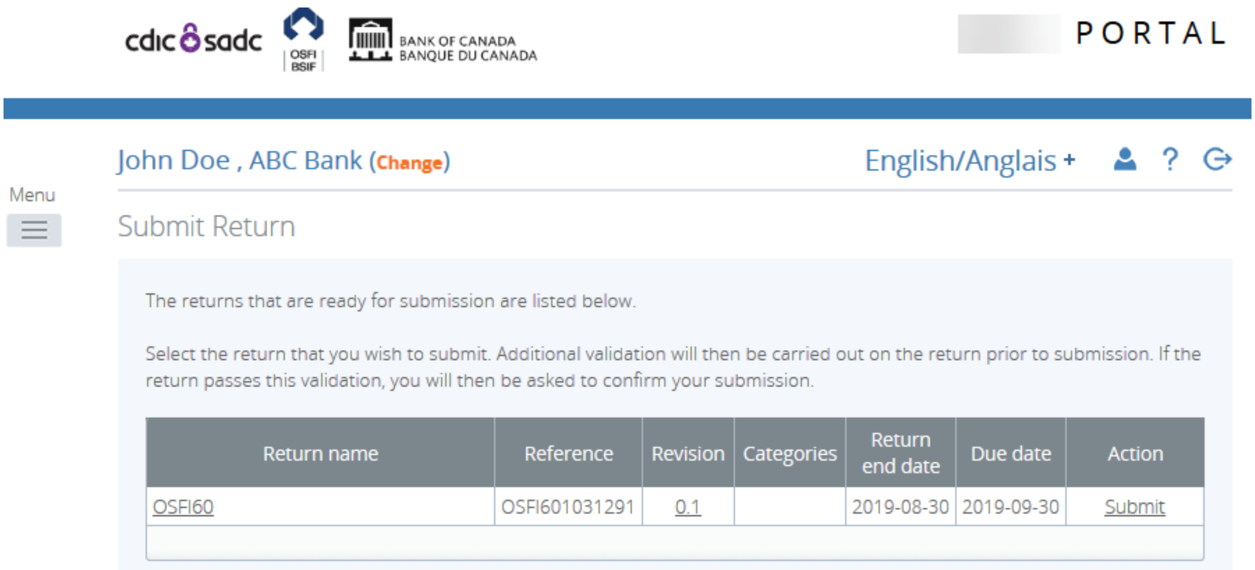



**Figure 3-16: Submit Return Page**

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

10. Click **Submit**.

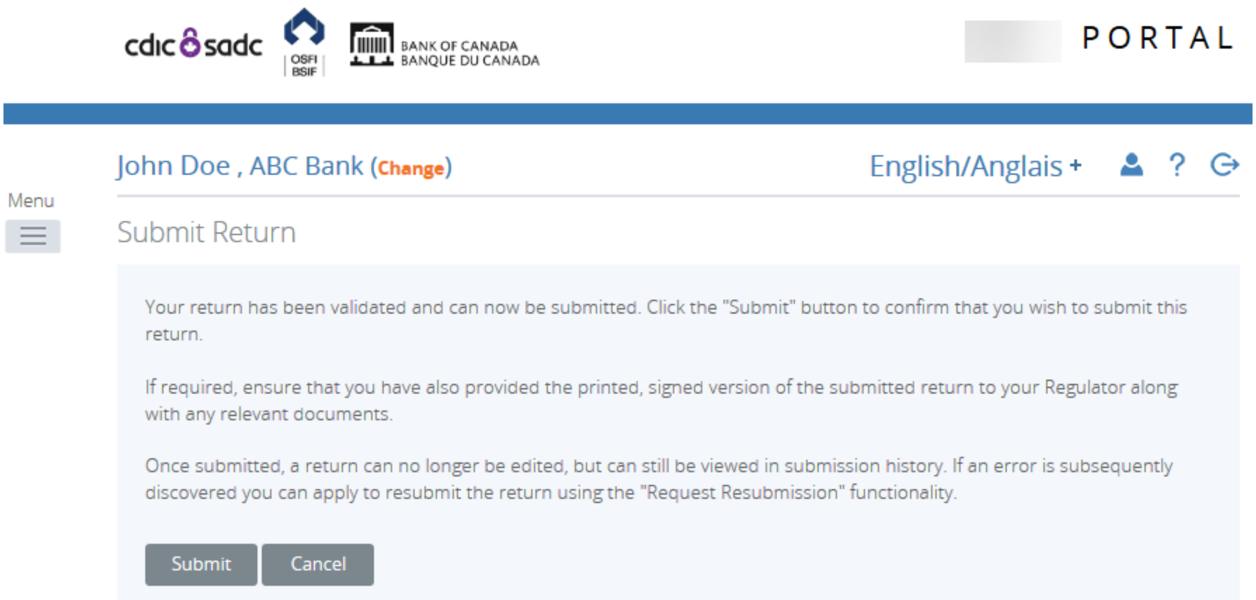



**Figure 3-17: Submit Return - Submit Button Page**

| | **If your return fails validation rules:** |
|---|---|
| | A message would have been displayed 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 *Section 3.6* for more information on errors. |

## 3.3 Viewing a Return

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.

<u>To view a draft return:</u>

Begin at the Welcome page.

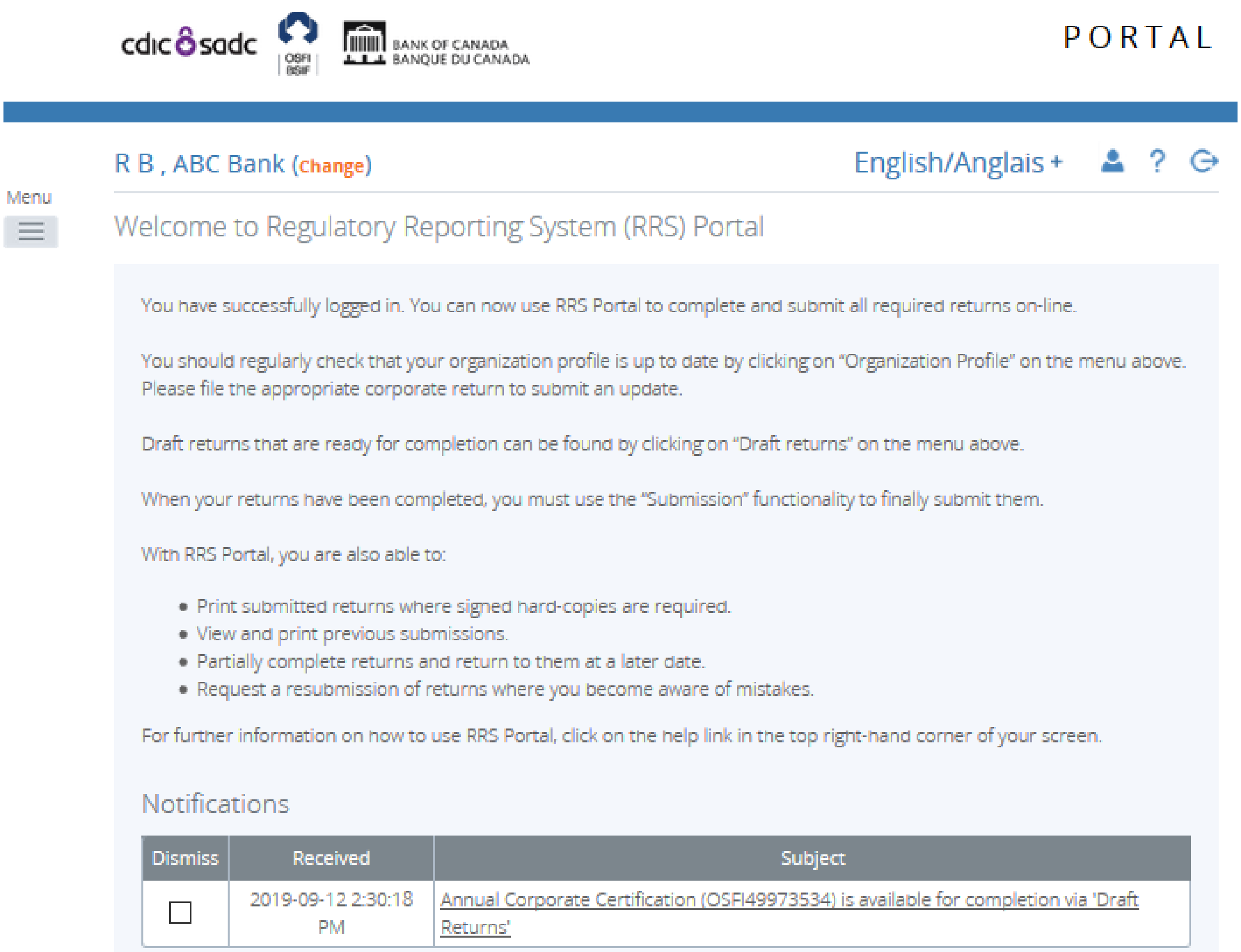



**Figure 3-18: Welcome Page**

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


**Figure 3-19: Draft Returns Page**

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

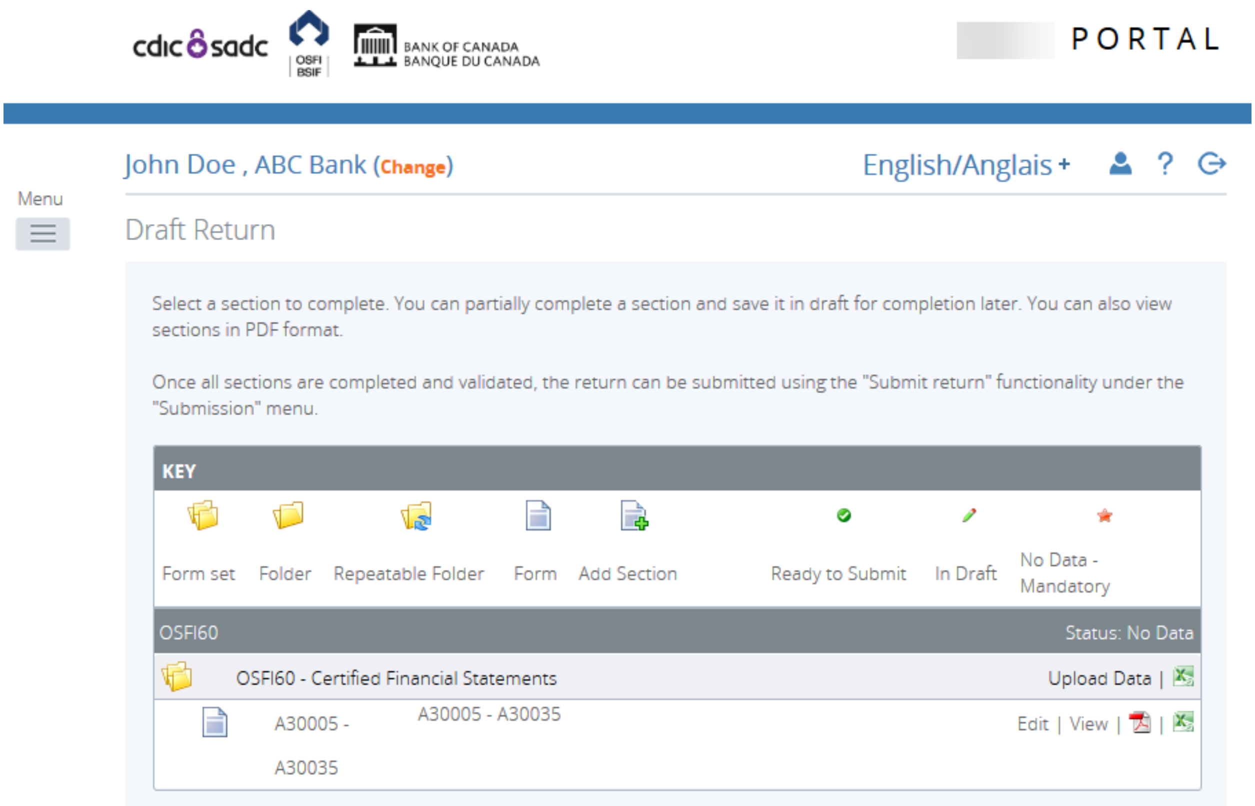



**Figure 3-20: Draft Return Page**

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

cdic sadc OSFI BSIF BANK OF CANADA BANQUE DU CANADA PORTAL

John Doe , ABC Bank (Change) English/Anglais + 

Menu

Form View

| | |
|---|---|
| Return Name | OSFI60 - Certified Financial Statements |
| Section Name | A30005 - A30035 |
| Organization Name | ABC Bank |
| Reporting Date | 2019-08-30 |

**For assistance with completing this form, please refer to the Instruction Guide for the Certified Financial Statements (OSFI 60) and Auditor's Report on the OSFI website.**

Page 30.005

**REPORTING PERIOD**

| **For Plan Year Ending(YYYY-MM-DD) (001)** | **Number of Months Covered (002)** |
|---|---|
| * | * |

Page 30.010

**STATEMENT OF CHANGES IN NET ASSETS**

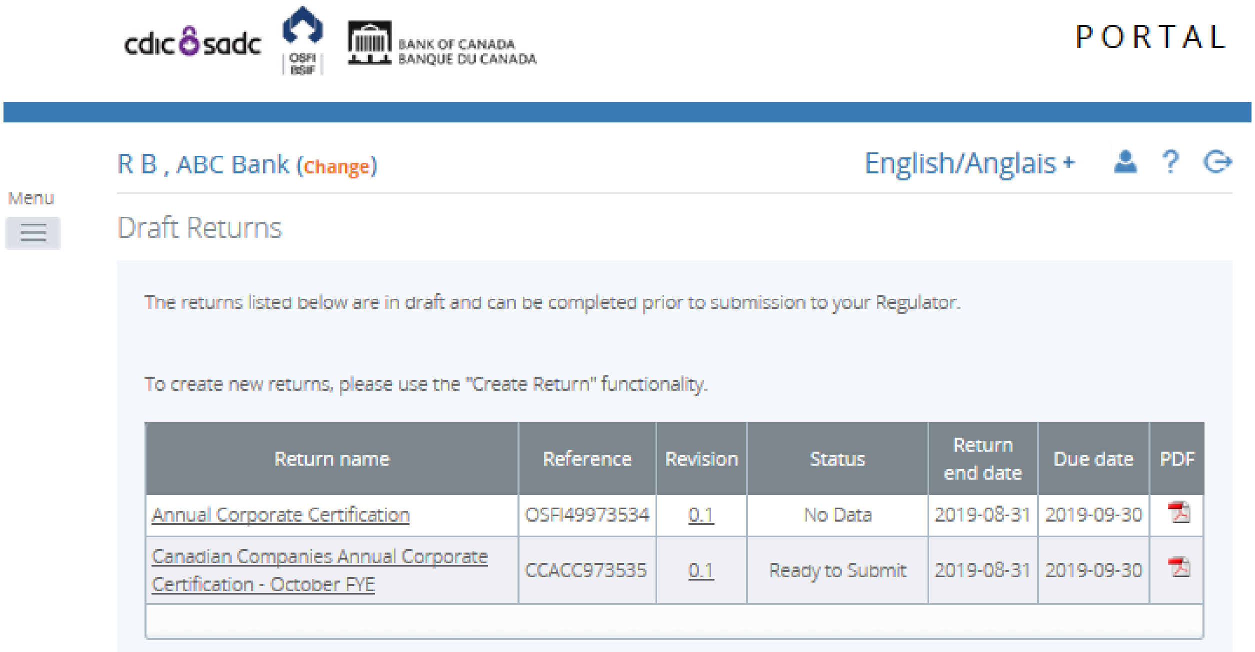
| | Current Year ($) (001) | Previous Year ($) (002) | |
|---|---|---|---|
| **INCREASE IN ASSETS** | | | |
| **Increase Due to Investments** | | | |
| Investment Income | | | (010) |
| Net Gains (or Losses) on Investments | | | |
| Realized | | | (015) |
| Unrealized | | | (016) |
| **Total Increase Due to Investments (Lines 10+15+16)** | * | | (019) |
| **Contributions** | | | |
| Member Contributions | | | (020) |
| Additional Voluntary Contributions | | | (021) |
| Employer Contributions (current service, special payments, etc.) | | | (025) |
| **Total Contributions (Lines 20+21+25)** | * | | (029) |

**Figure 3-21: Display of Return Page**

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

To view the audit log of a draft return:

Begin at the Draft Returns page.




| Return name | Reference | Revision | Status | Return end date | Due date | PDF |
|---|---|---|---|---|---|---|
| Annual Corporate Certification | OSFI49973534 | 0.1 | No Data | 2019-08-31 | 2019-09-30 | |
| Canadian Companies Annual Corporate Certification - October FYE | CCACC973535 | 0.1 | Ready to Submit | 2019-08-31 | 2019-09-30 | |

**Figure 3-22: Draft Returns Page**

5. 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.

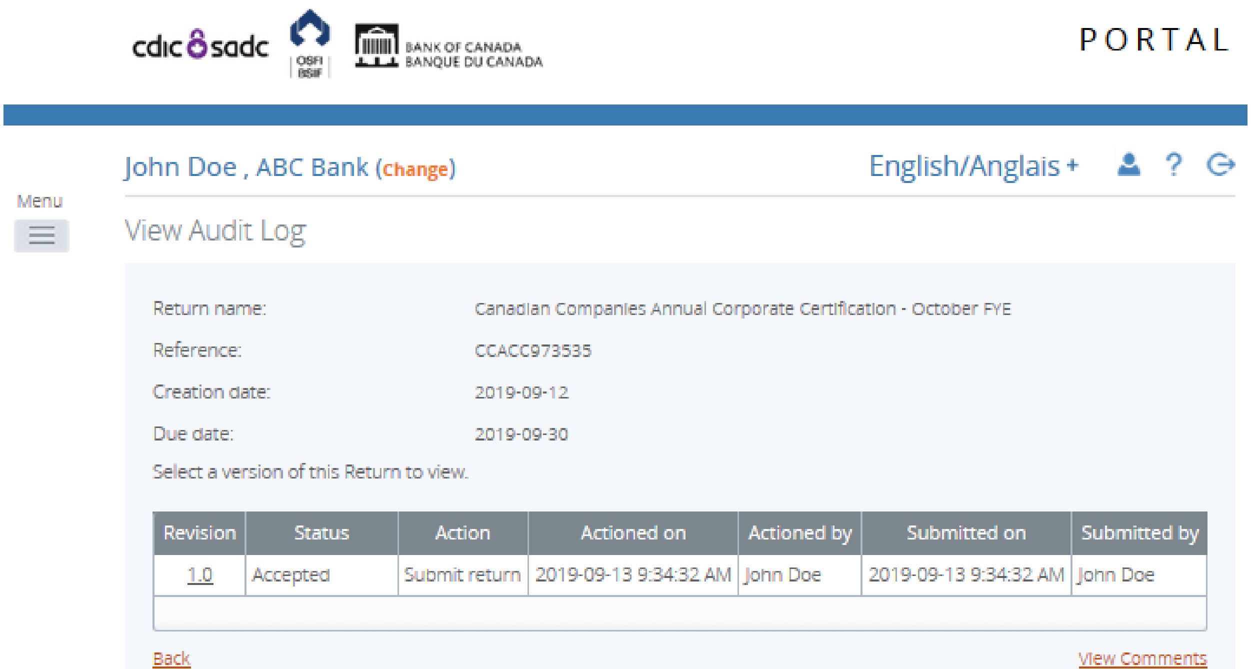



**Figure 3-23: View Audit Log Draft Page**

To view a submitted return:

Begin at the Welcome page.

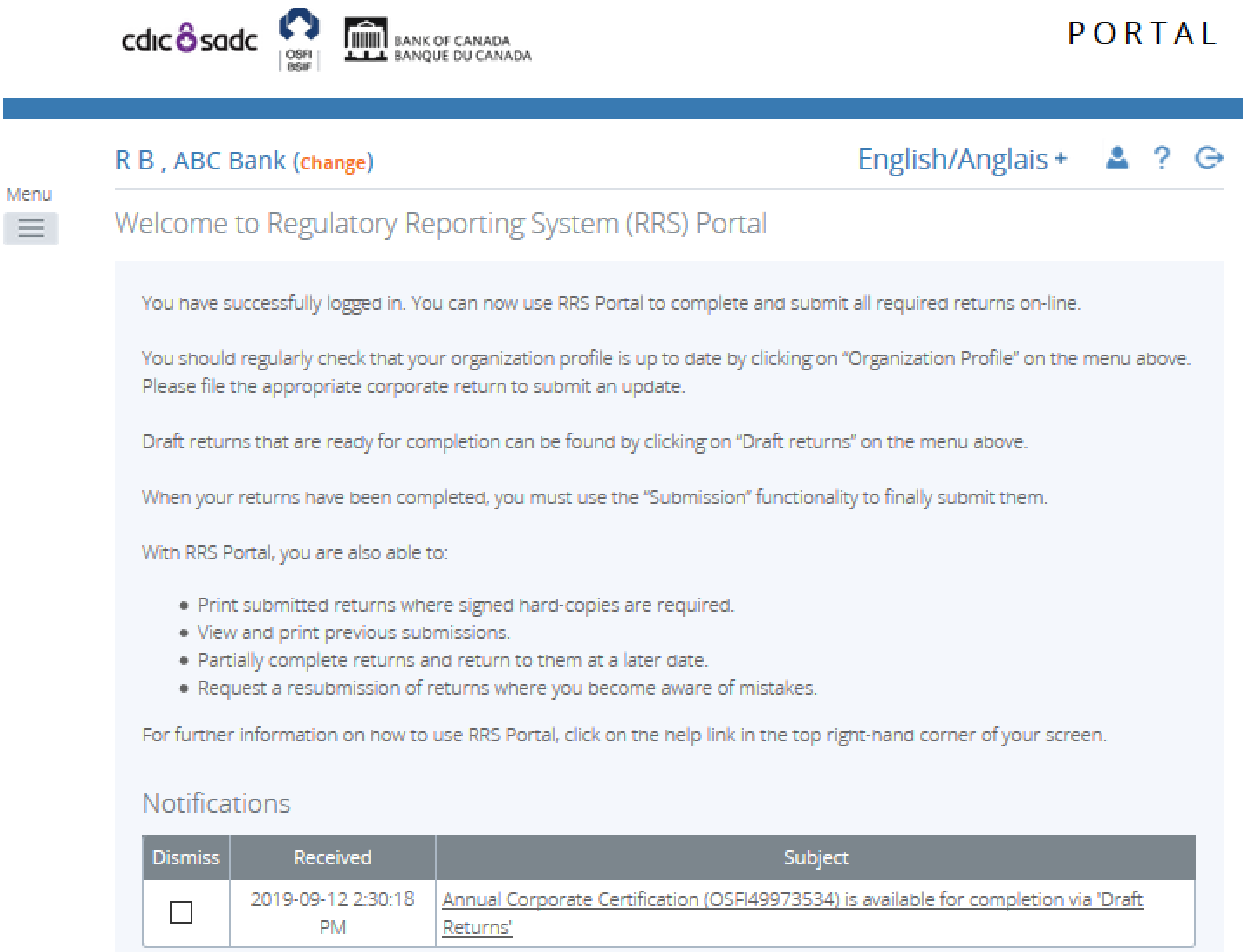



**Figure 3-24: Welcome Page**

1. Hover your mouse over Menu and select **Submission** item.
2. Click the **Submission History** sub-menu item.

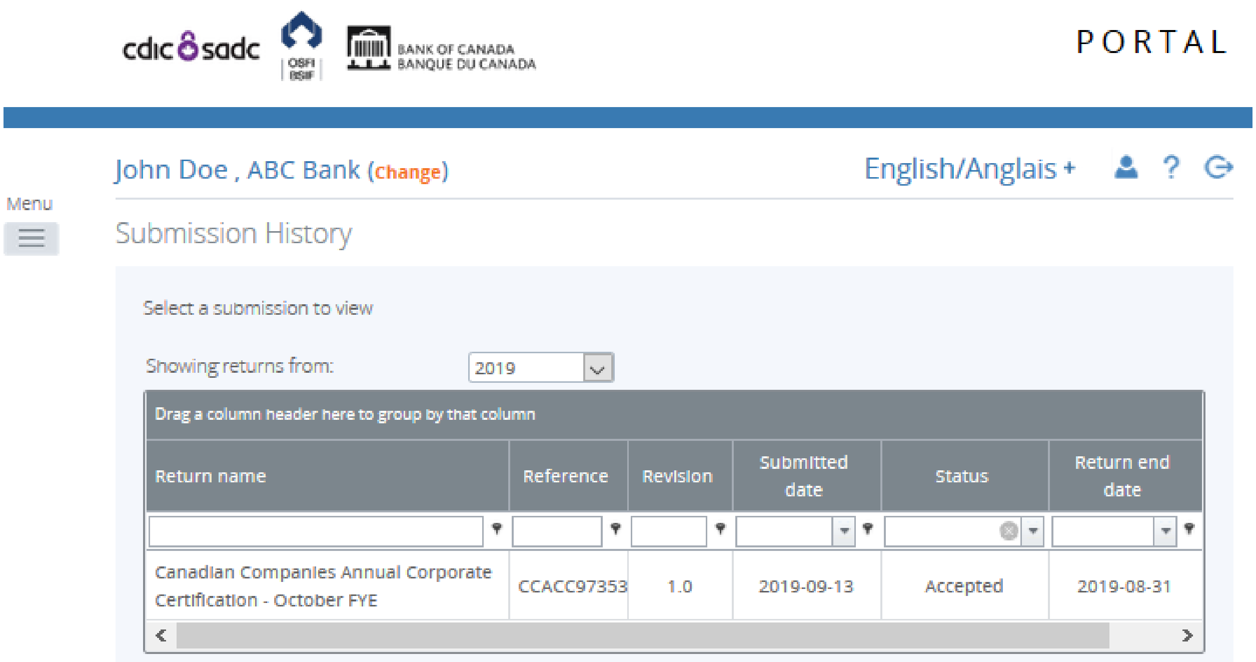



**Figure 3-25: Submission History Page**

| | |
|---|---|
| | **Return Revision** |
| | 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. |

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

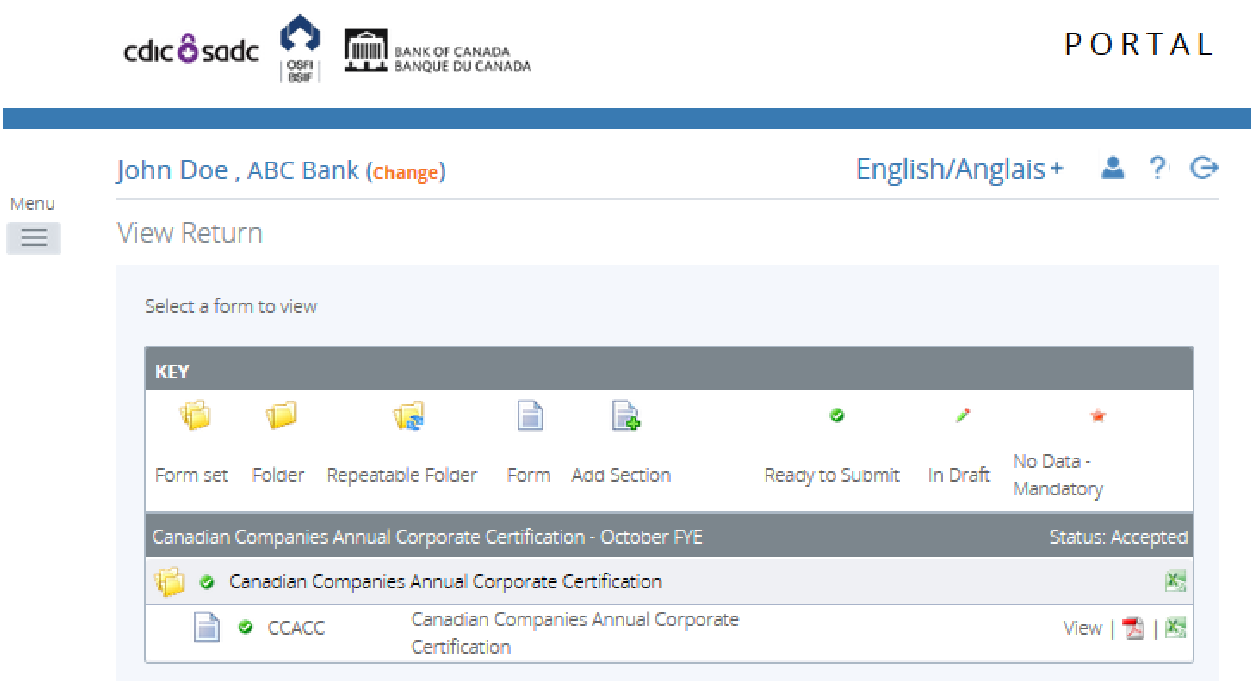



**Figure 3-26: View Return Page**

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 return:

Begin at the Submission History page.

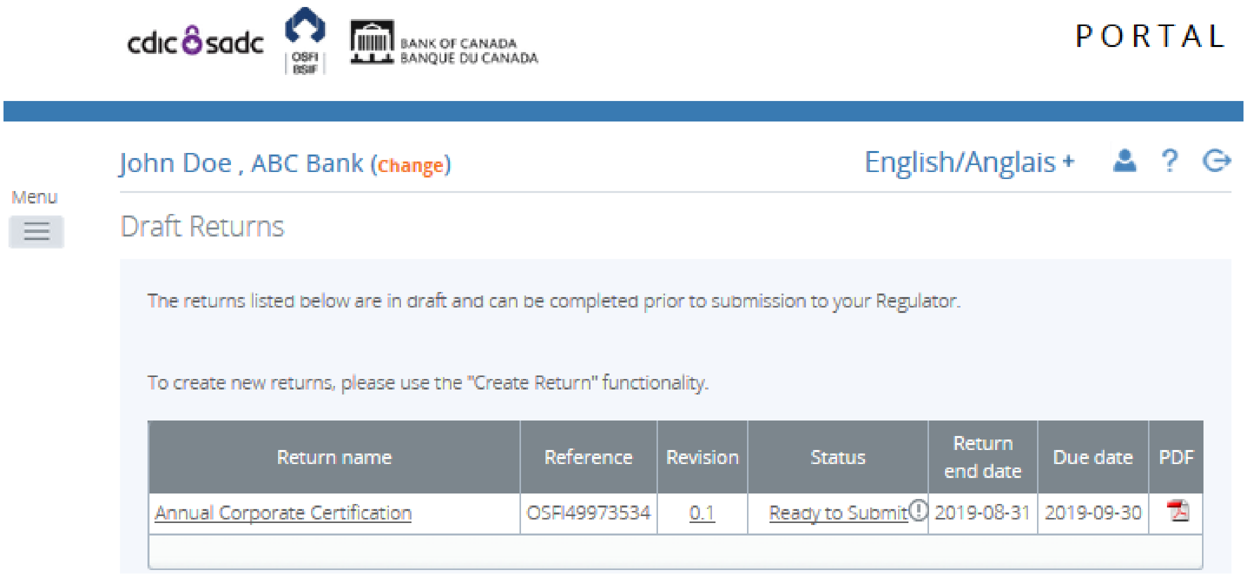
1. Click the revision number of the return. The Audit Log page opens displaying information such as what action was taken, who performed the action and when it was done.


**Figure 3-27: View Audit Log Submit Page**

## 3.4 Viewing Errors

To view errors:

Begin at the Welcome page.




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

**Figure 3-28: Draft Returns Page**

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


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

| Rule name | Type | Problem | Additional information |
|---|---|---|---|
| OSFI49-11 | Error | 1. Page 020.012, Line 009: Total Exits must be equal to the sum of Lines 006 and 008. | |
| OSFI49-13 | Error | 2. Page 020.012, Line 011: Number of Members at plan year end must equal Line 005 minus Line 009. | |
| OSFI49-28 | Error | 3. Page 020.012, Line 034: Total Male (Column 001) must equal the sum of all males in the various locations of employment (Lines 015-030). | |
| OSFI49-29 | Error | 4. Page 020.012, Line 034: Total Female (Column 002) must equal the sum of all females in the various locations of employment (Lines 015-030). | |
| OSFI49-30 | Error | 5. Page 020.012, Line 034: Included Employment Total (Column 003) must equal the sum of the Included Employment categories in the various locations of employment (Lines 015-030). | |
| OSFI49-62 | Error | 6. Page 020.010, Line 045: Number of Months must equal the number of months between the From Date and the To Date. | |
| OSFI49-64 | Error | 7. Page 020.012, Line 035: Total Membership must equal to the total of male and female members (Line 034, Columns 001 and 002). | |
| OSFI49-65 | Error | 8. Page 020.012, Line 035: Total Membership must be equal to Number of members at Plan Year End (Line 011). | |
| OSFI49-66 | Error | 9. Page 020.012, Line 038: Grand Total must be the sum of Line 035 and Line 036. | |

Back

**Figure 3-29: Validation Issues Page**

4. View the error message.

## 3.5 Correcting Validation Errors on a Return

If a return does not pass validation, you will be informed via an error message that displays on-screen. The error message specifies the rule, or rules, that have failed. You will need to correct the data in order to submit the return.

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.

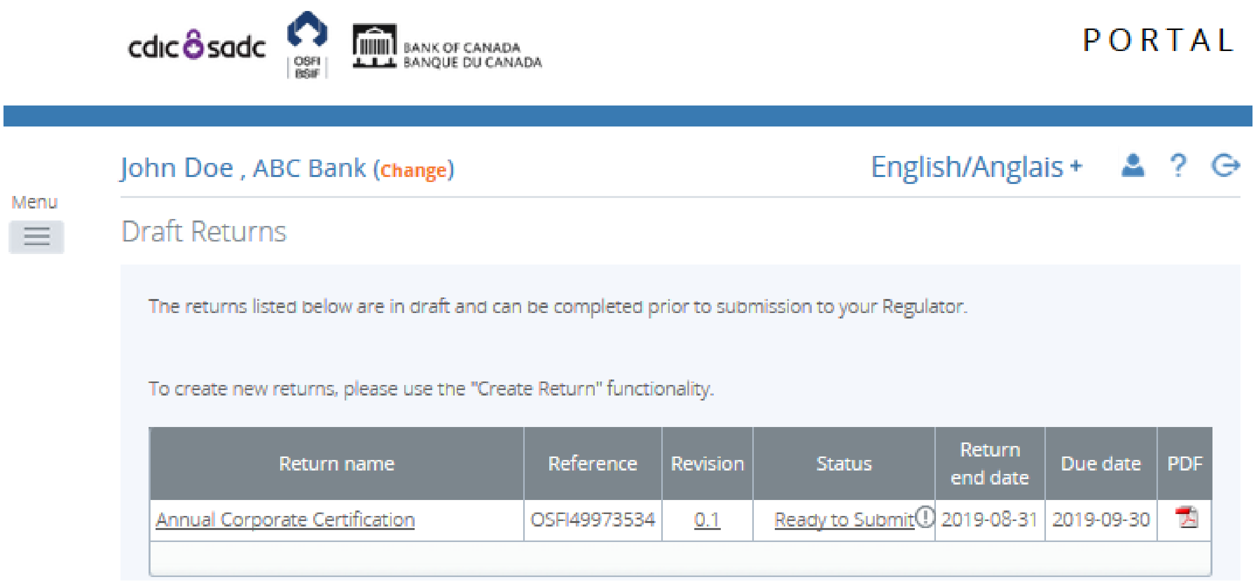



**Figure 3-30: Draft Returns Page**

1. Click the return name to open the return.

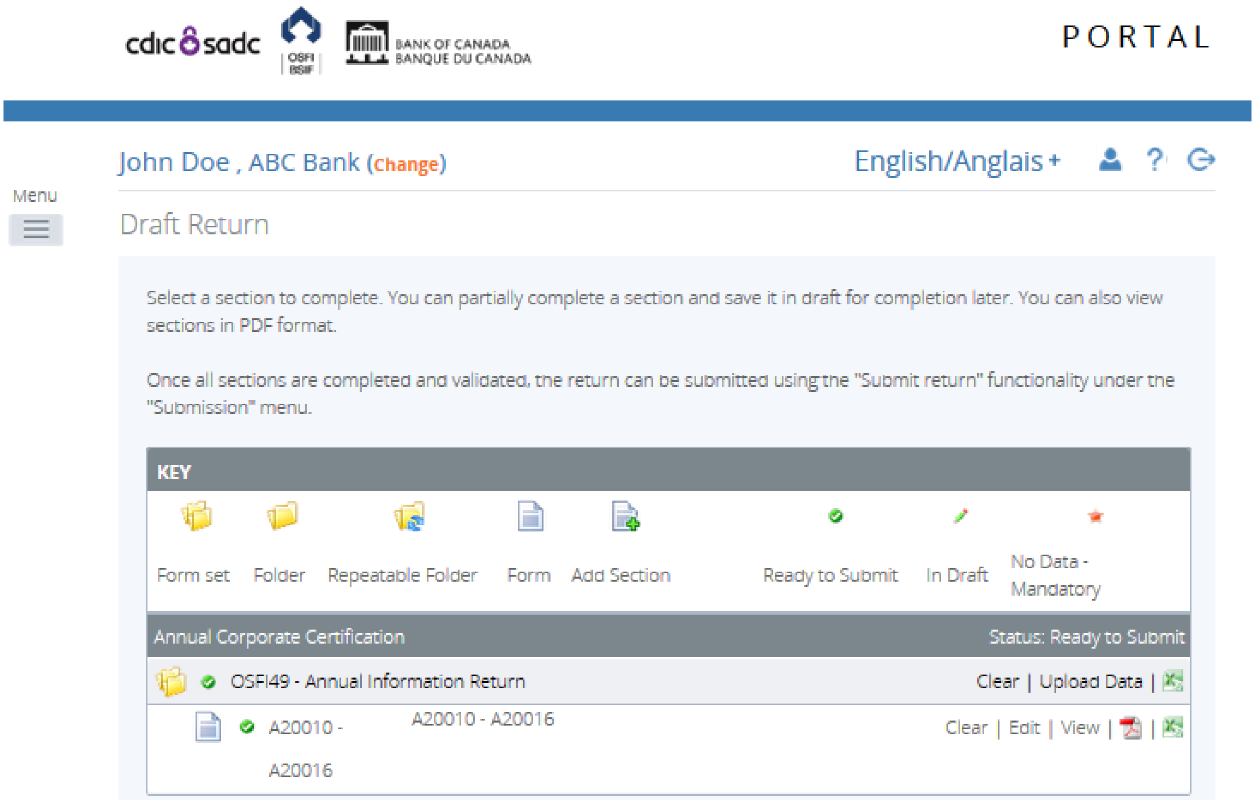



**Figure 3-31: Draft Return Page**

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

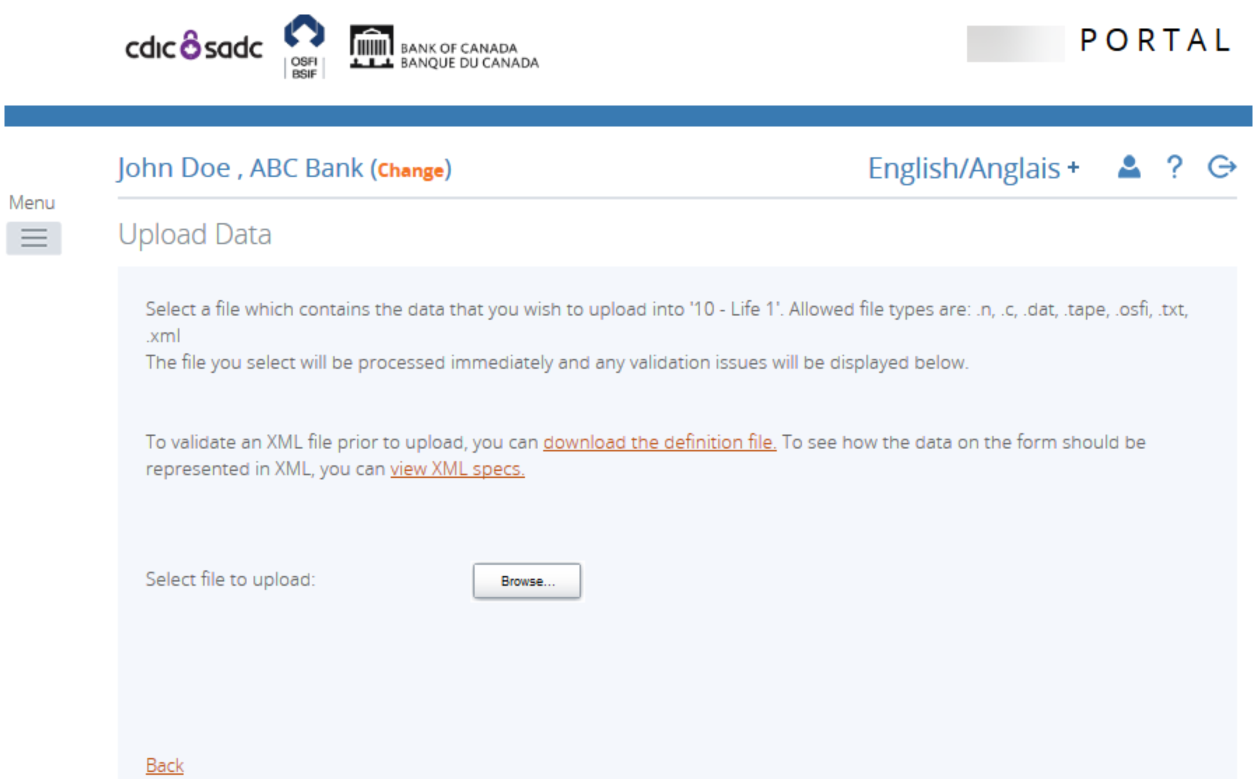



**Figure 3-32: Upload Data Page**

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

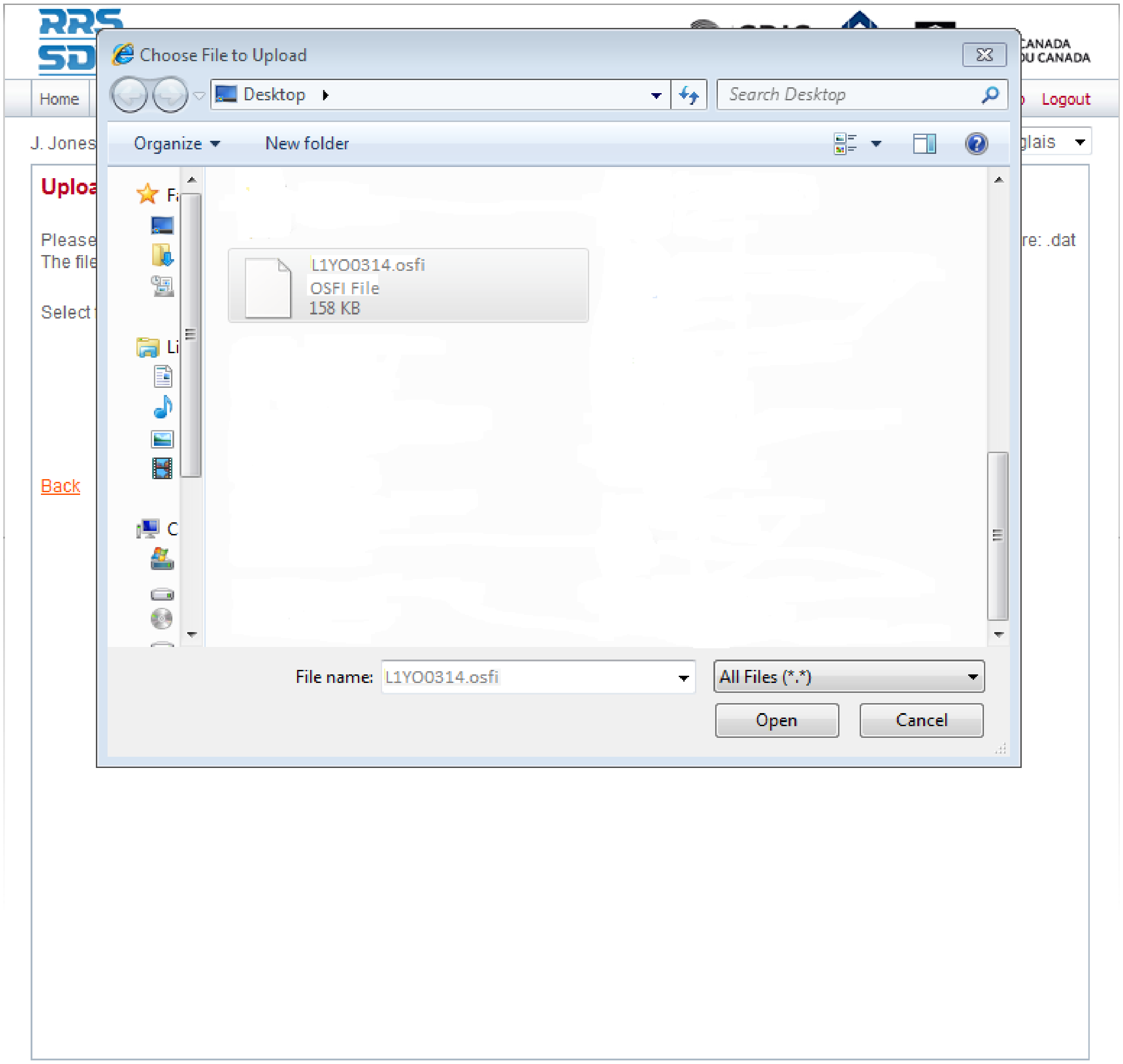



**Figure 3-33: Windows Explorer Upload File Page**

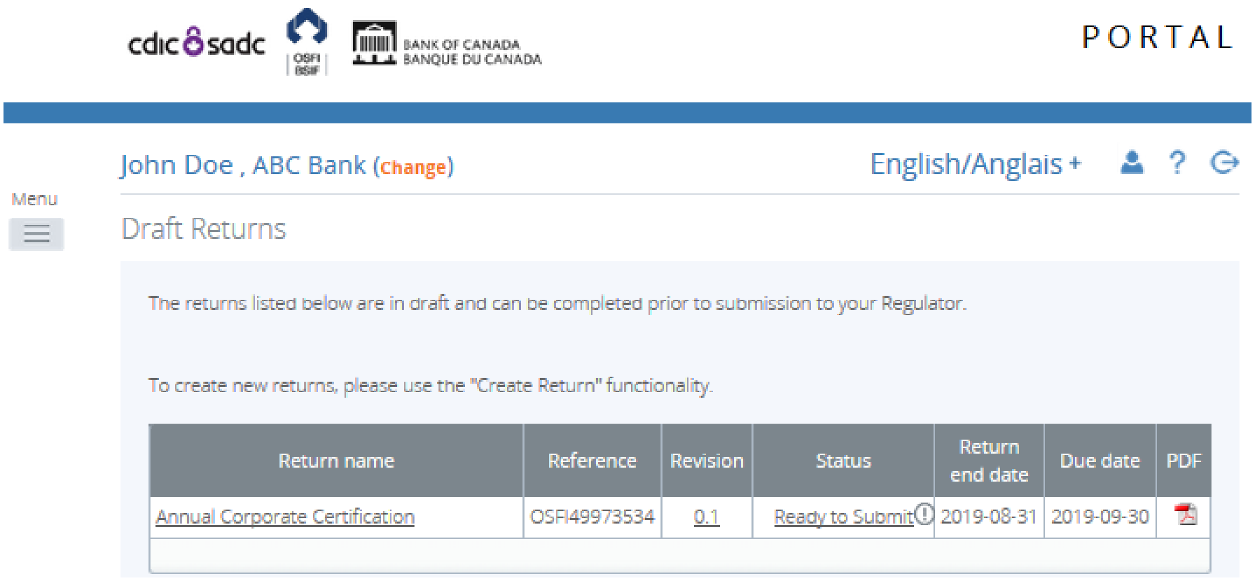
4. Select the appropriate corrected file.

5. Click **Open**. The file is uploaded.

| | |
|---|---|
| | **Manual Correction:** |
| | You could also make the correction manually in the web form. |

To re-validate a return entered manually:

Begin at the Draft Returns page.




| Return name | Reference | Revision | Status | Return end date | Due date | PDF |
|---|---|---|---|---|---|---|
| Annual Corporate Certification | OSFI49973534 | 0.1 | Ready to Submit | 2019-08-31 | 2019-09-30 | |

**Figure 3-34: Draft Returns Page**

1. Click the return name to open the return.

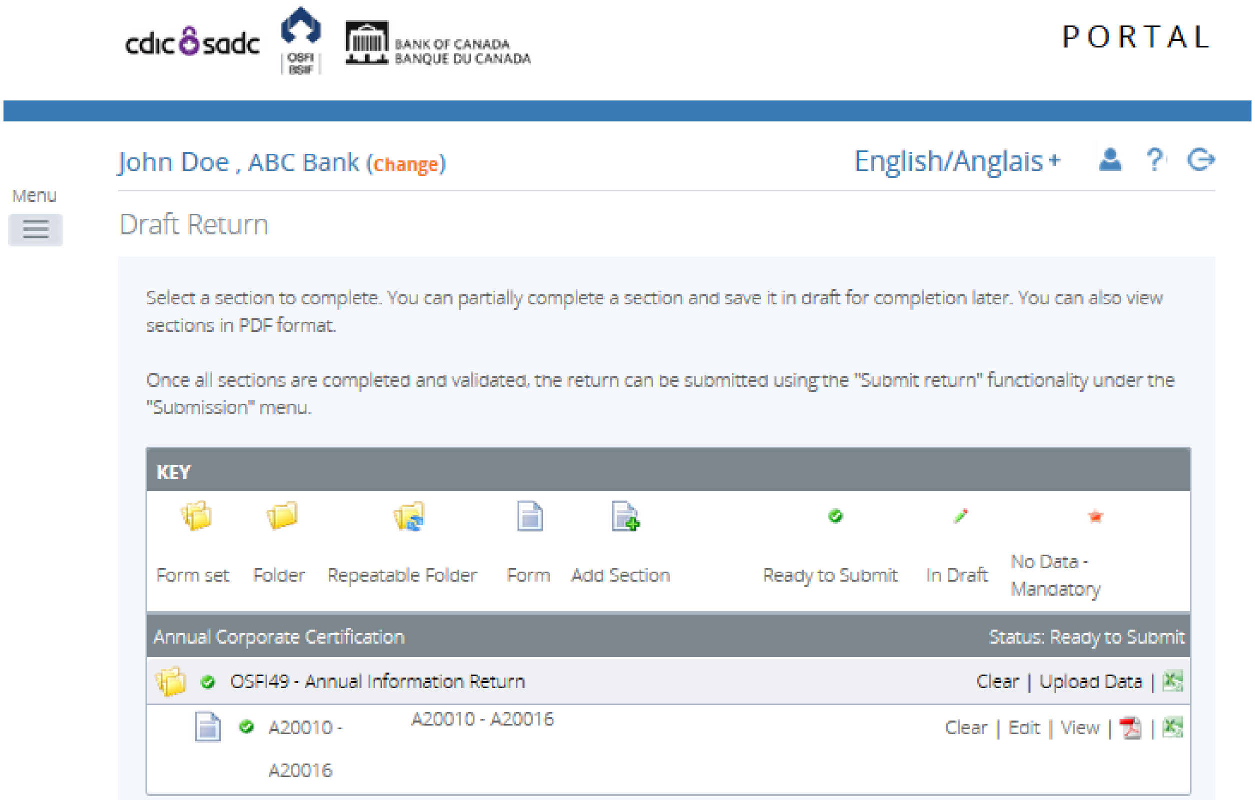



**Figure 3-35: Draft Return Page**

2. Click the **Edit** link next to the section to be corrected.

PORTAL

John Doe , ABC Bank (Change)    English/Anglais +

Menu

Form View

| | |
|---|---|
| Return Name | OSFI60 - Certified Financial Statements |
| Section Name | A30005 - A30035 |
| Organization Name | ABC Bank |
| Reporting Date | 2019-08-30 |

**For assistance with completing this form, please refer to the Instruction Guide for the Certified Financial Statements (OSFI 60) and Auditor's Report on the OSFI website.**

Page 30.005

**REPORTING PERIOD**

| For Plan Year Ending(YYYY-MM-DD) (001) | Number of Months Covered (002) |
|---|---|
| * | * |

Page 30.010

**STATEMENT OF CHANGES IN NET ASSETS**

| | Current Year ($) (001) | Previous Year ($) (002) | |
|---|---|---|---|
| **INCREASE IN ASSETS** | | | |
| **Increase Due to Investments** | | | |
| Investment Income | | | (010) |
| Net Gains (or Losses) on Investments | | | |
| Realized | | | (015) |
| Unrealized | | | (016) |
| **Total Increase Due to Investments (Lines 10+15+16)** | * | | (019) |
| **Contributions** | | | |
| Member Contributions | | | (020) |
| Additional Voluntary Contributions | | | (021) |
| Employer Contributions (current service, special payments, etc.) | | | (025) |
| **Total Contributions (Lines 20+21+25)** | * | | (029) |

**Figure 3-36: Display of Return Page**

3. Correct the appropriate data in the web form.

4. Click **Validate & Save**. The return is updated.

## 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.

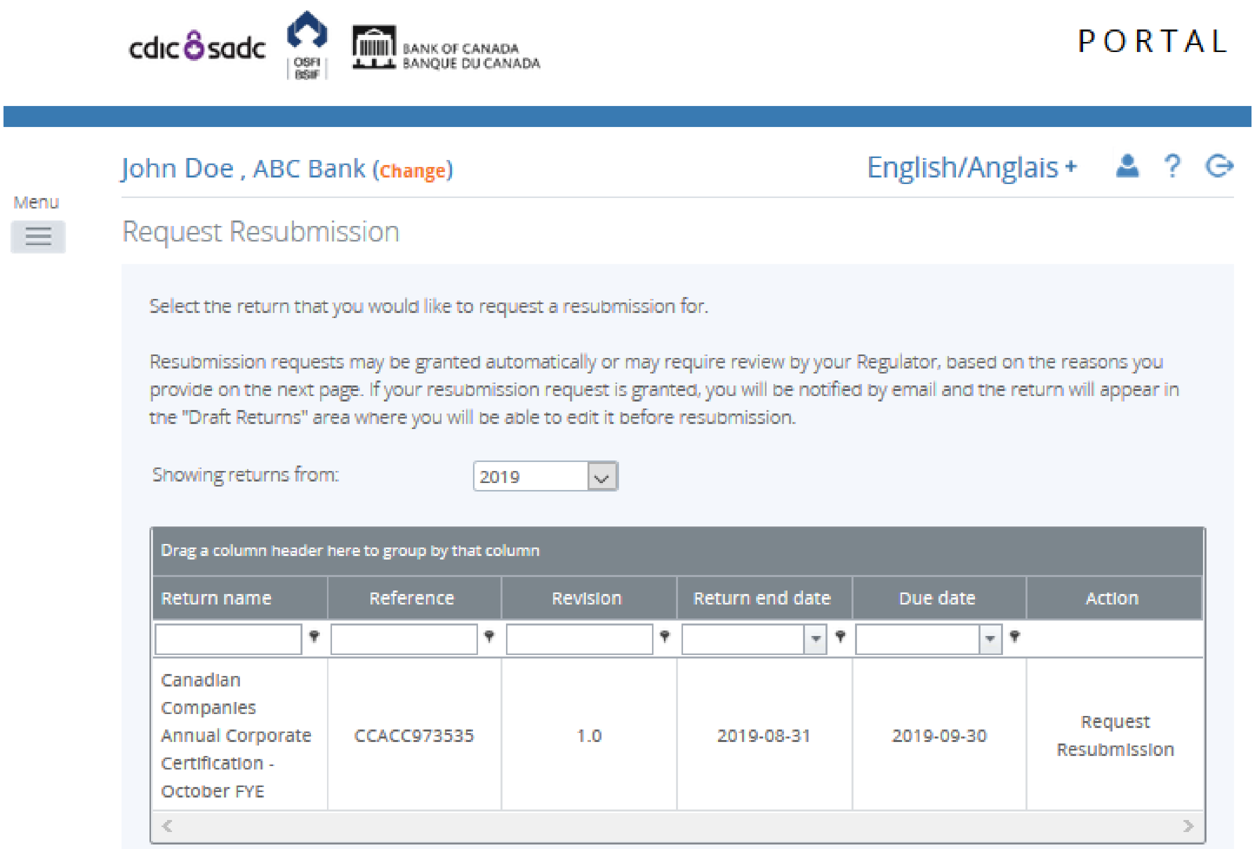



**Figure 3-36: Request Resubmission Page**

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

| | |
|---|---|
| | **Resubmission Requests:** |
| | Resubmission requests are automatically granted in RRS. |

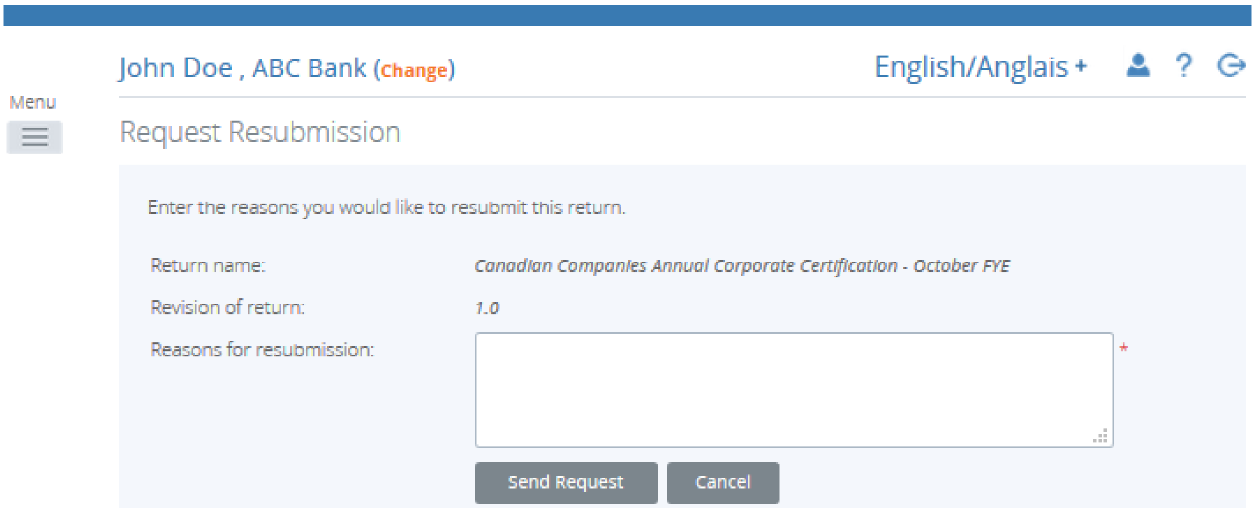



**Figure 3-37: Request Resubmission Text Entry Page**

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


**Figure 3-38: Request Resubmission Text Entry Page**

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


**Figure 3-38: Request Resubmission Confirm Page**

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

| | **Draft Returns** |
|---|---|
| | 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. |

6. 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.

| | |
|---|---|
| | **Resubmitting an Uploaded File** |
| | If you are resubmitting a return using the **Upload Data** button, the following pop-up window displays:   Click the **Yes** button to confirm the deletion of the data and to allow the revised file to be selected. |

## 3.7 Completing and Submitting an Unstructured Return

| | |
|---|---|
| | **File Formats** |
| | The acceptable formats for attaching a file to an unstructured return in RRS includes: .xls/.xlsx, .doc/.docx, .pdf and .zip. |

To complete and submit an unstructured return:

Begin at the Welcome page.

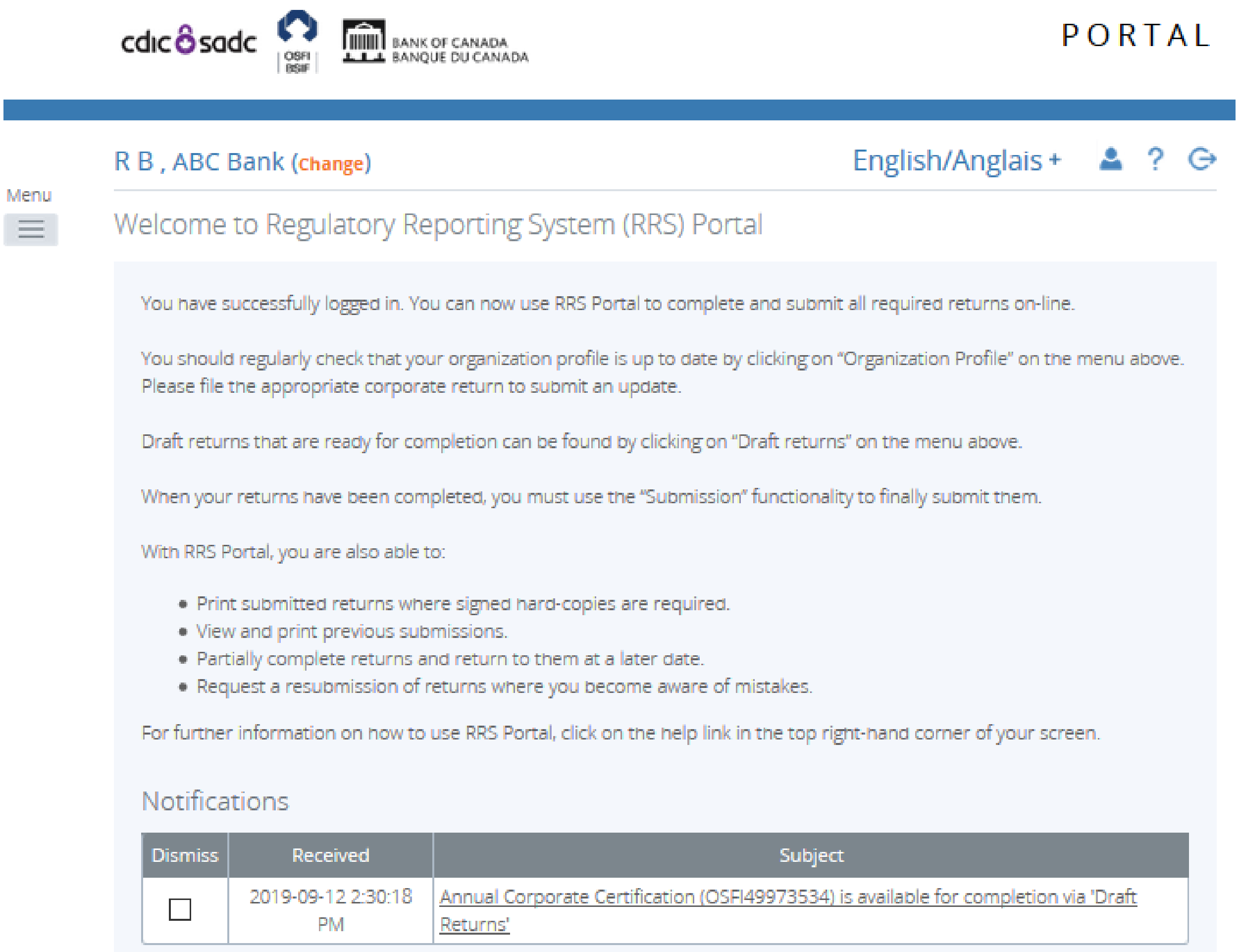



**Figure 3-39: Welcome Page**

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

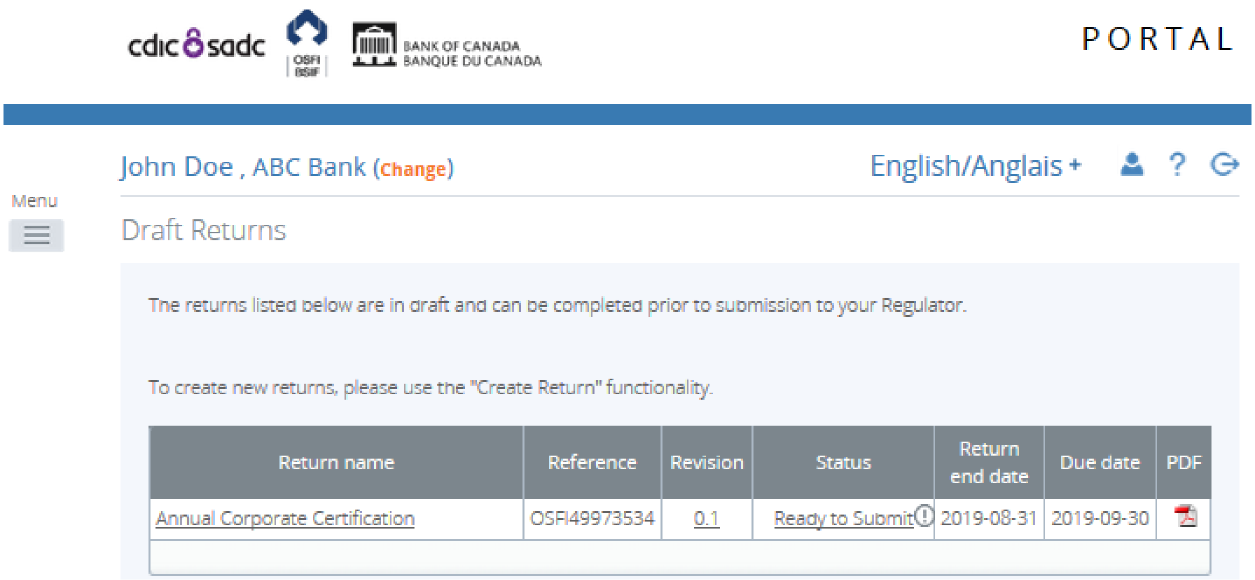



**Figure 3-40: Draft Returns Page**

2. Click the return name to open the return.

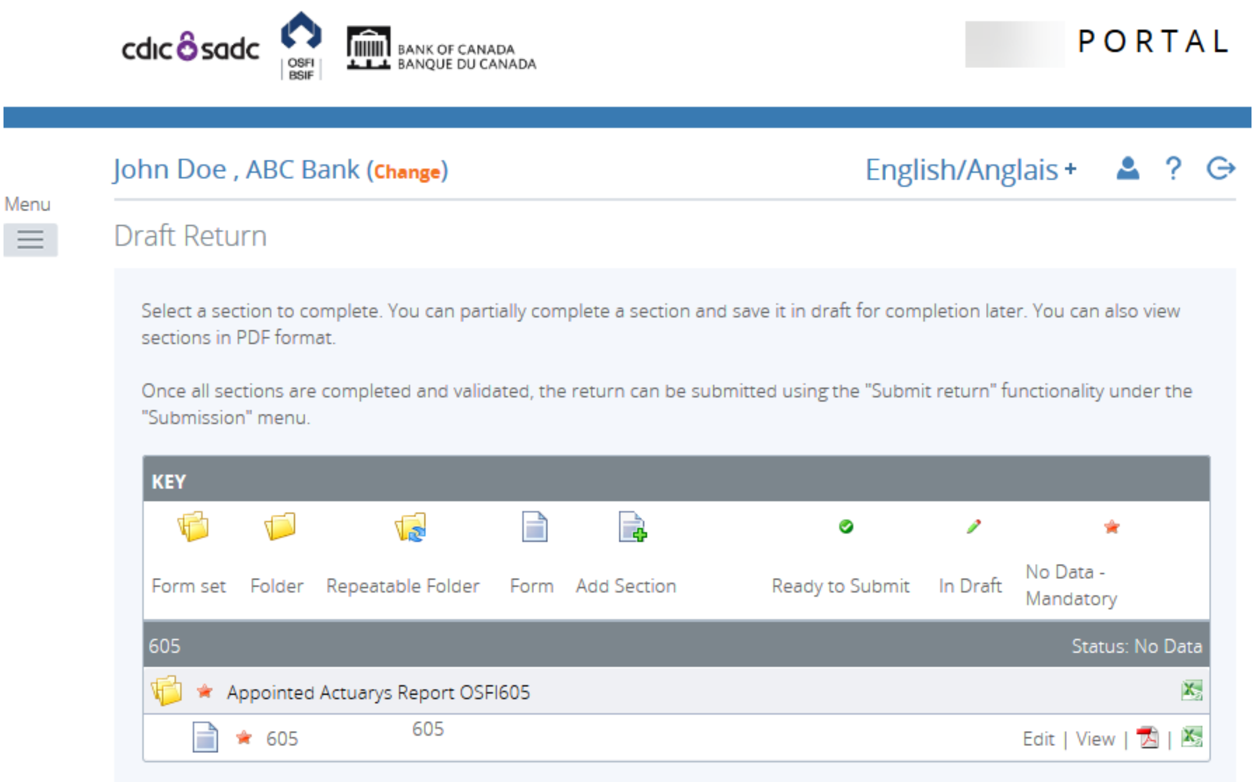



**Figure 3-41: Draft Return Page**

3. Click the **Edit** link.

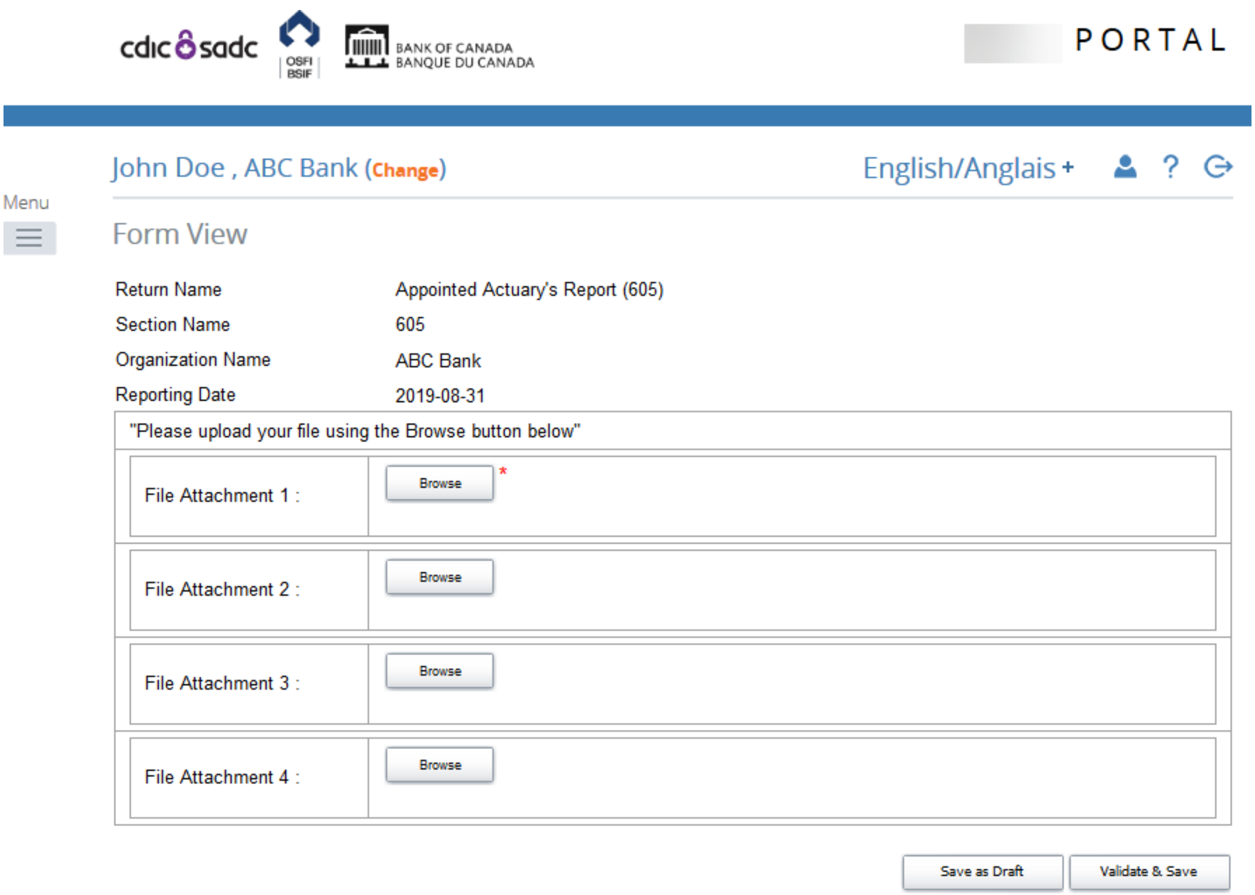



**Figure 3-42: Appointed Actuary's Report Return Page**

The return opens for editing.

4. Click the **Browse** button in the File Upload: section.

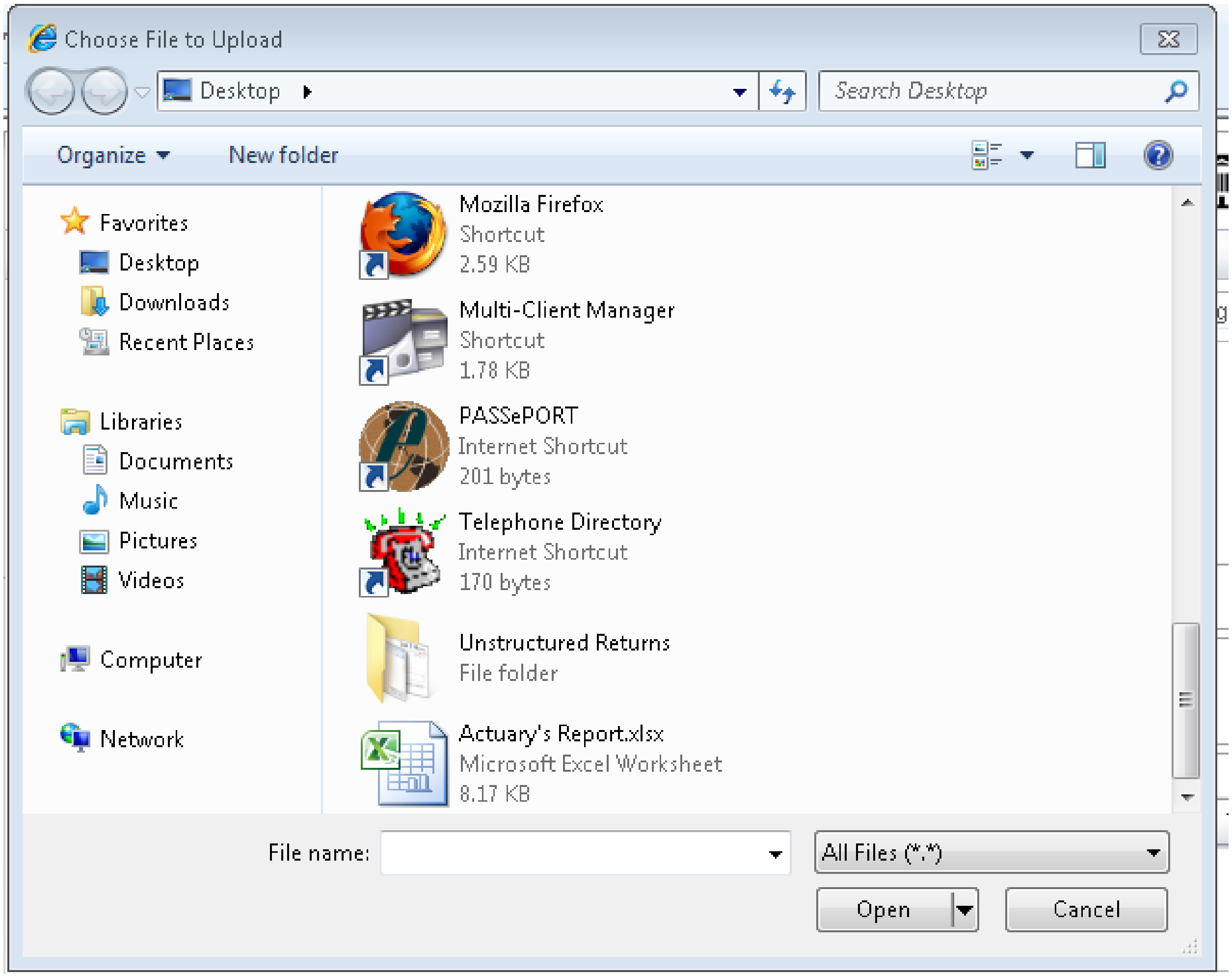



**Figure 3-43: Windows Explorer Page**

Windows Explorer opens allowing you to select the appropriate file.

5. Select the file to be uploaded and click the Open button.

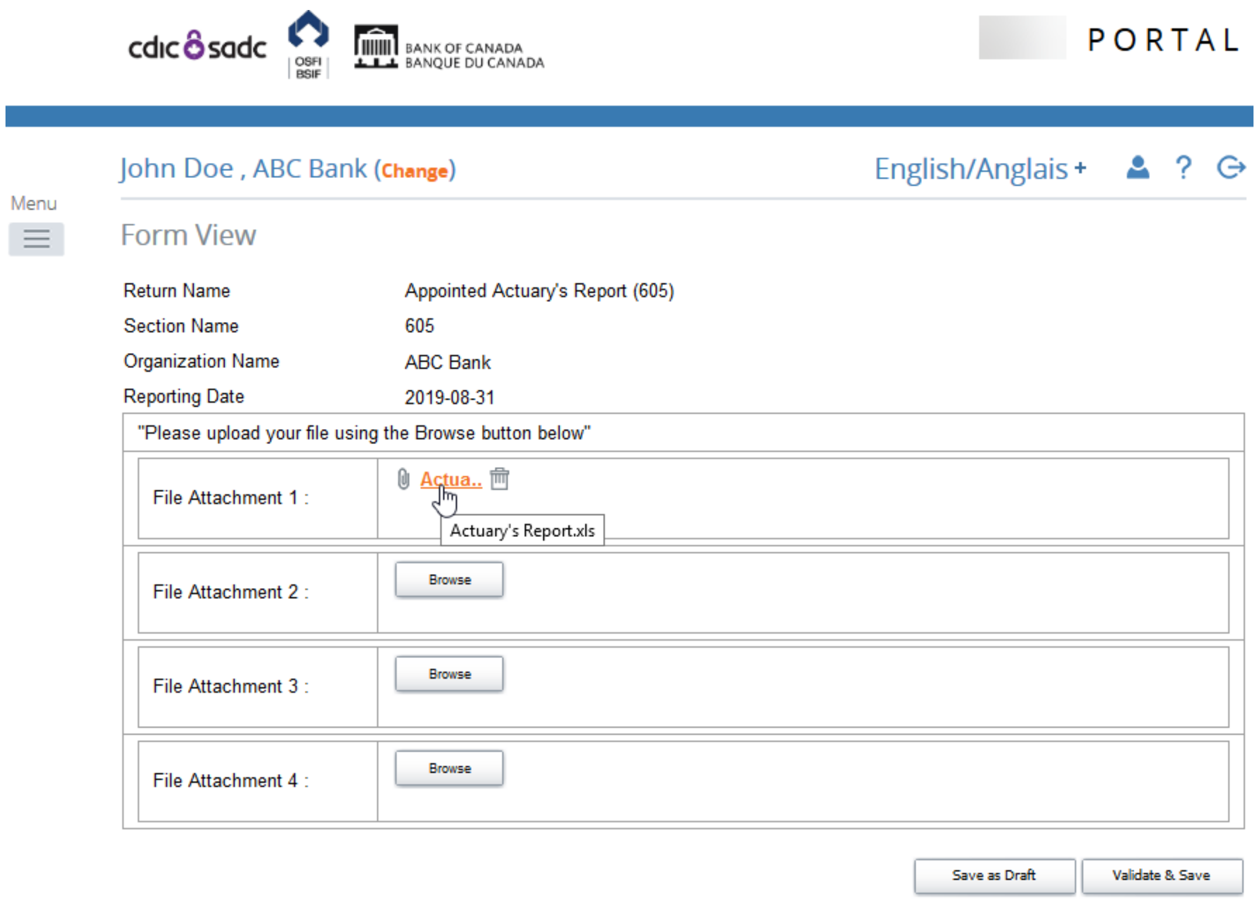



**Figure 3-44: Appointed Actuary's Report Return Page**

The file displays in the File Upload: section.

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

To submit unstructured returns, follow steps 6 to 9 in Section 3.1.

# 4.0 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.

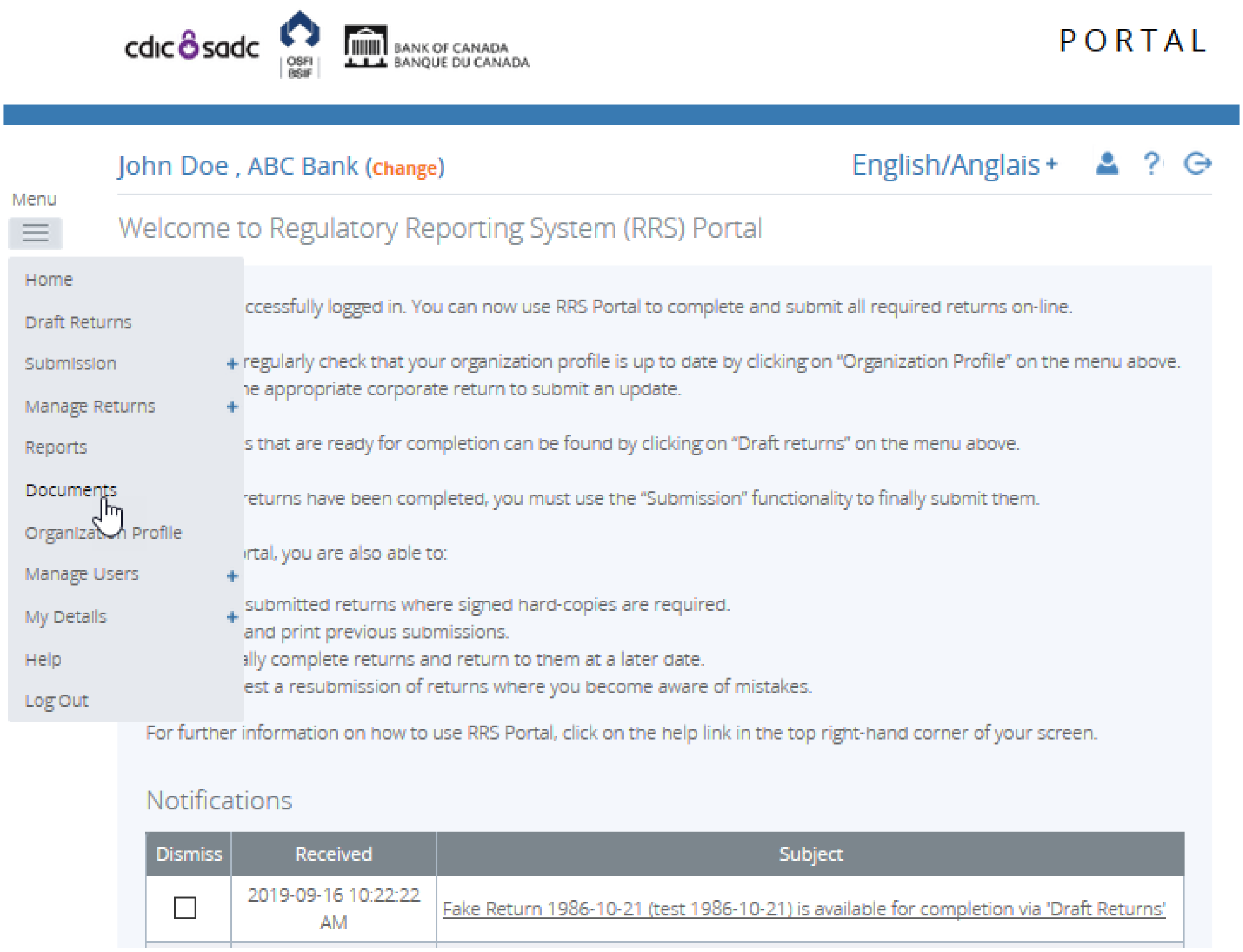



**Figure 4-1: Welcome Page**

1. Hover over Menu and select **Documents** item.

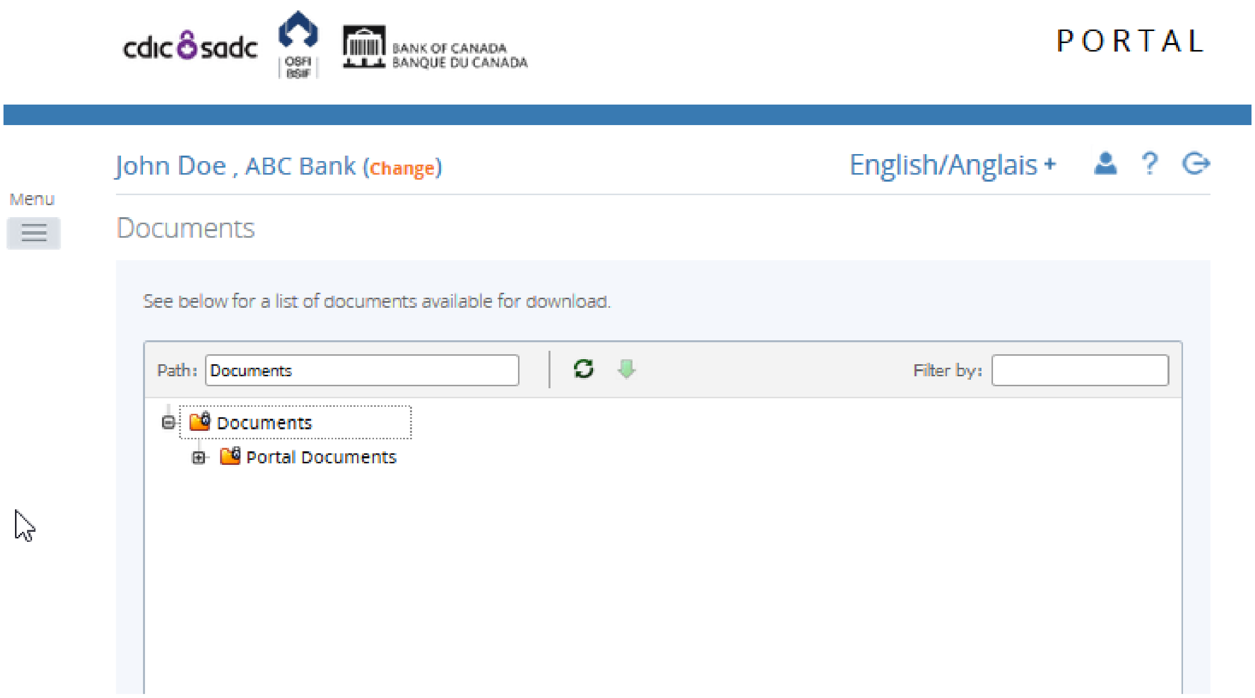



**Figure 4-2: Documents Page**

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.

# 5.0 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 your organization's profile:

Begin at the RRS Welcome page.

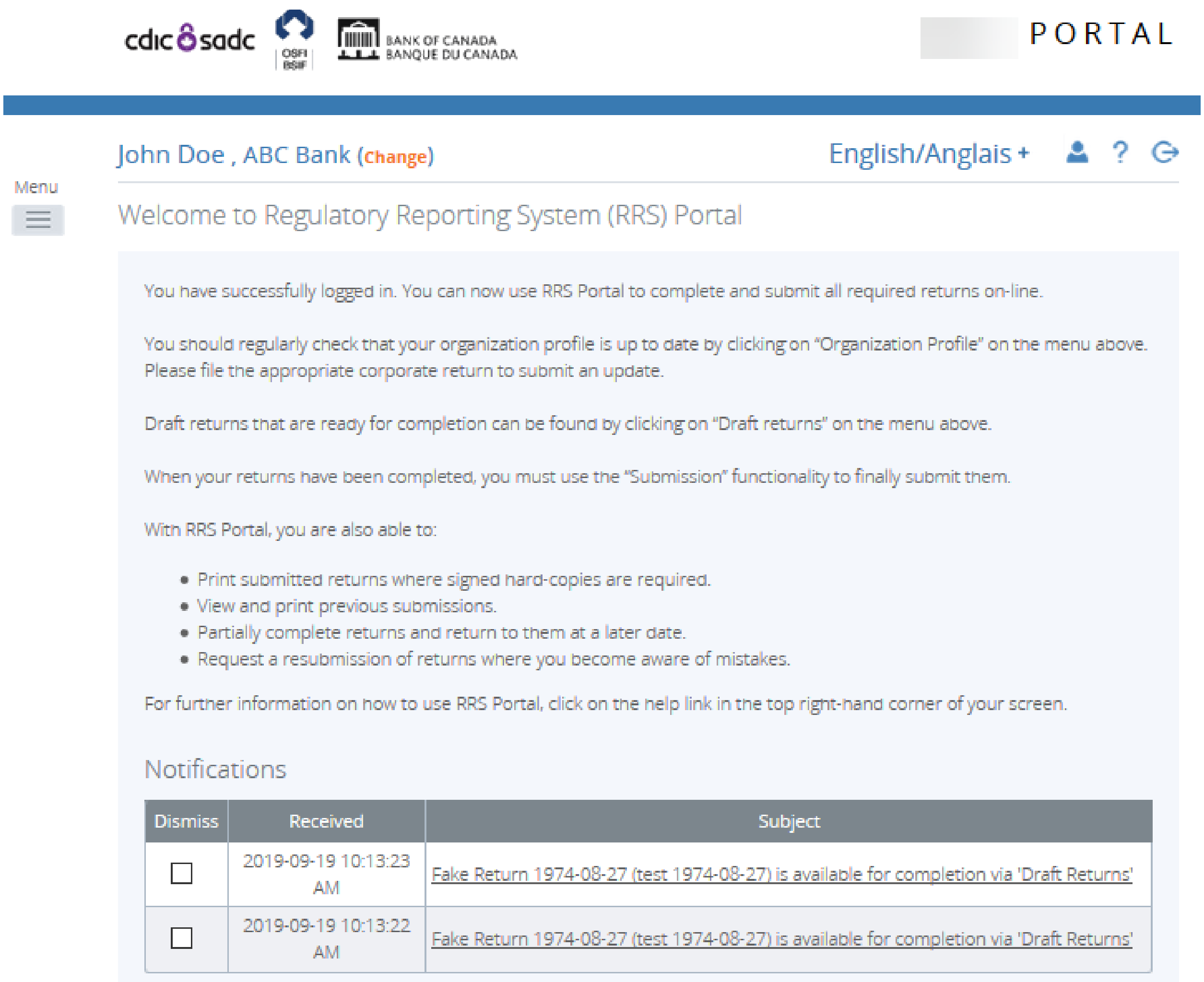



**Figure 5-2: Welcome Page**

1. Click the Organization Profile menu item.

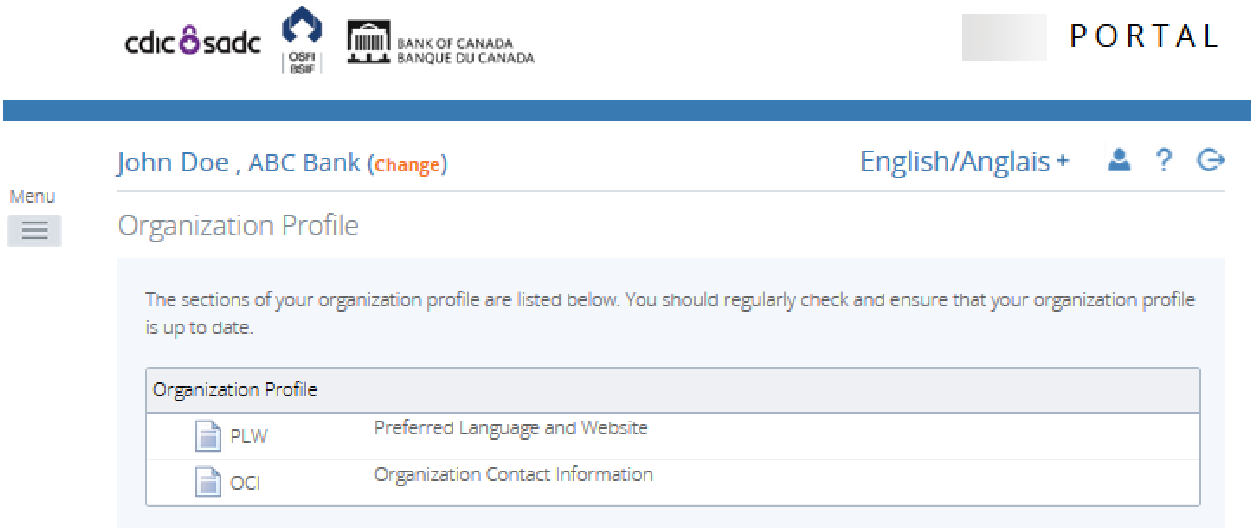
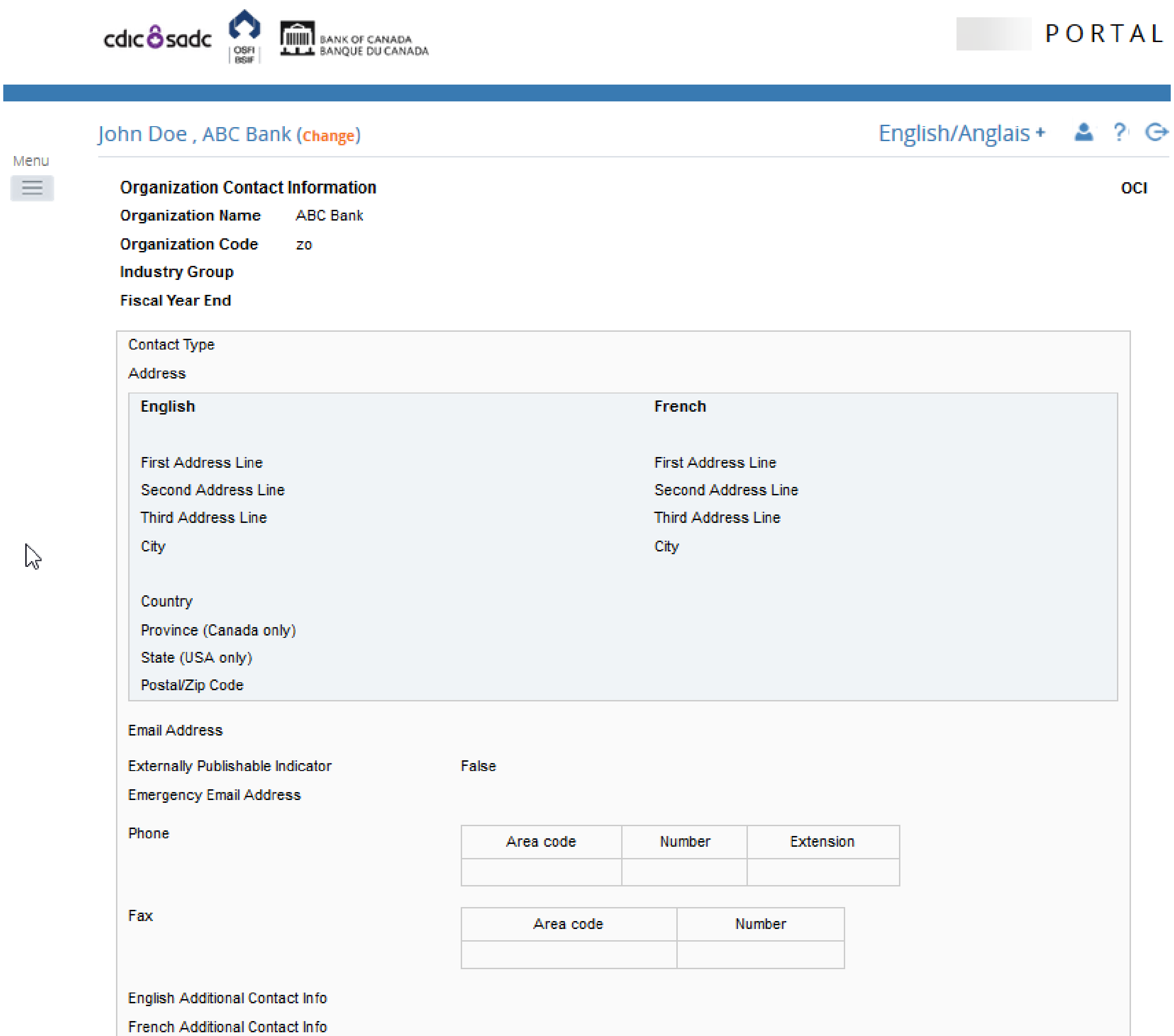



**Figure 5-2: Organization Profile Page**

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


PORTAL

John Doe , ABC Bank (change) English/Anglais +

Menu

**Organization Contact Information** OCI

**Organization Name** ABC Bank

**Organization Code** zo

**Industry Group**

**Fiscal Year End**

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 |
|---|---|
| | |

English Additional Contact Info

French Additional Contact Info

**Figure 5-3: Board of Directors Section Page**

3. Review the listed information.

# 6.0 Managing Your Details

From the My Details menu item you can view and/or edit your user details 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 Menu and select **My Details** item.
2. Click the **View/Edit My Details** sub-menu item.

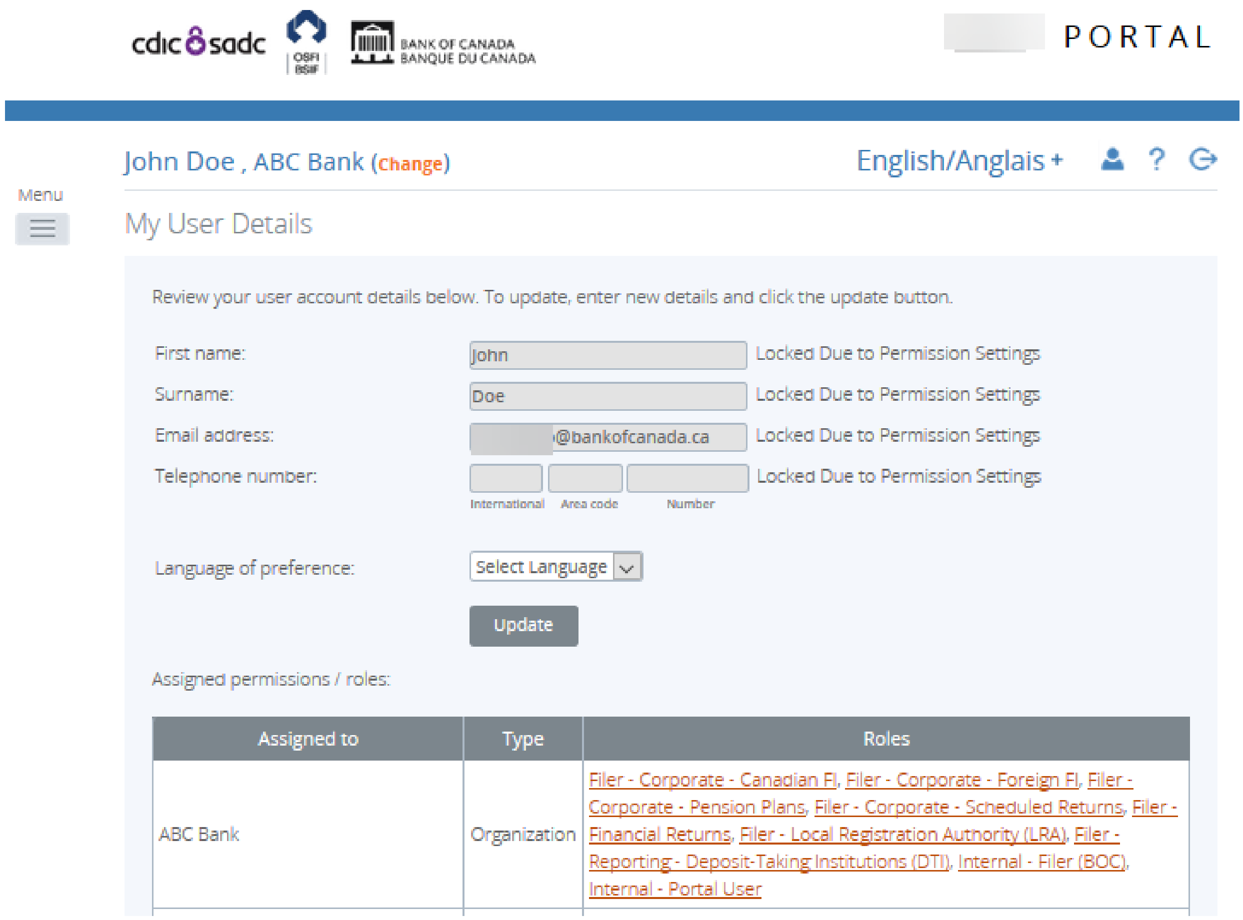



**Figure 6-1: My Details Page**

| | |
|---|---|
| | **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. |

3. Enter your new telephone number in the **Telephone number** field.
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.

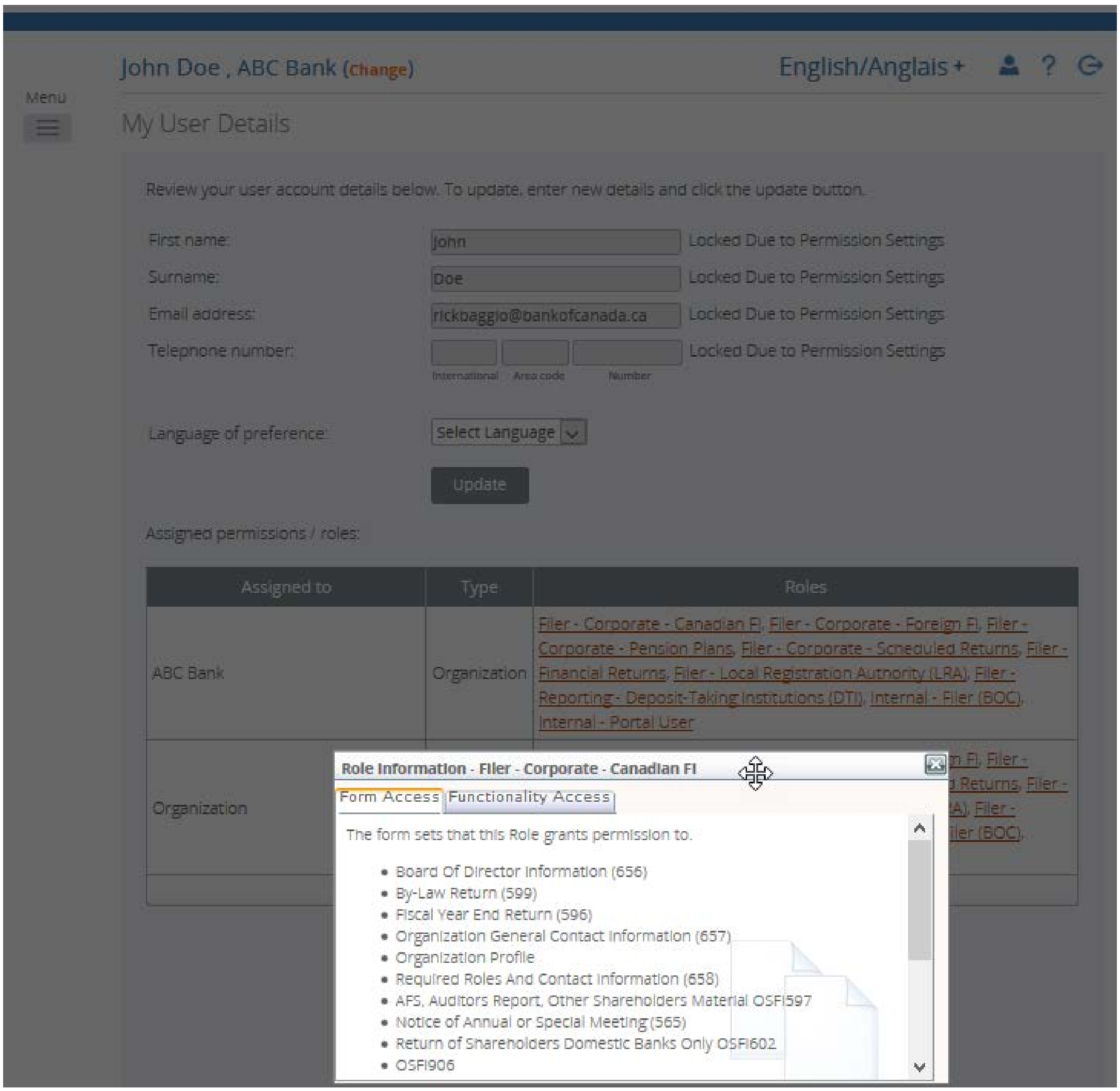



**Figure 6-2: My Details Tabs Page**

To change your password:

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

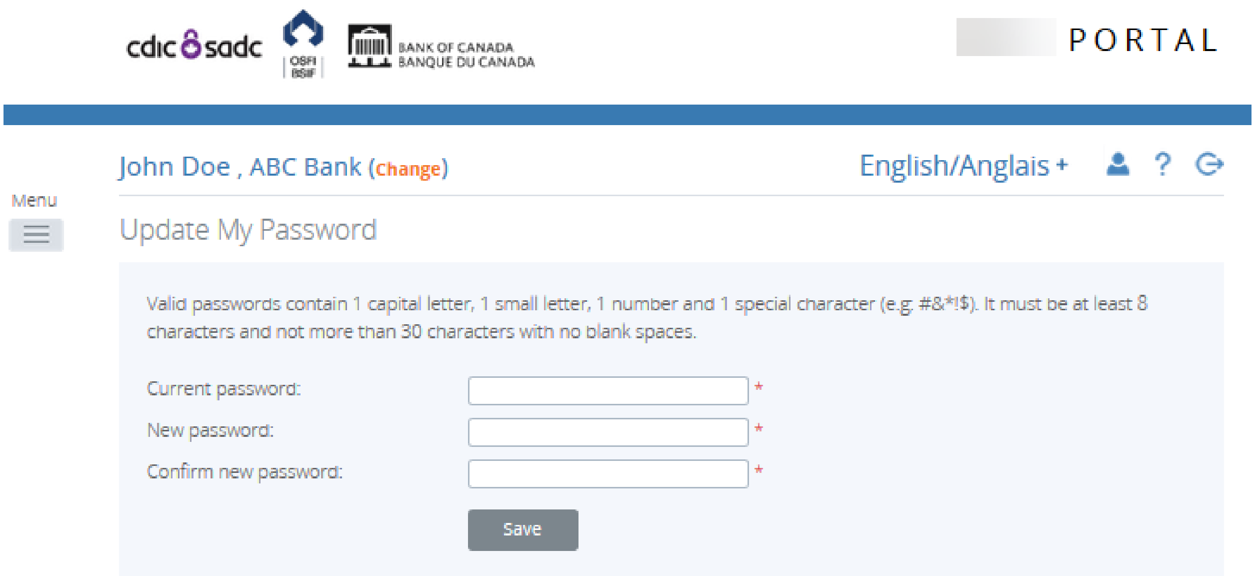



**Figure 6-3: Update My Password Page**

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

| | Valid passwords: |
|---|---|
| | 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. |

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

# 7.0 Managing Notifications

Notifications provide information such as when a return is available to be completed in the draft folder as well as when a return contains an error. Notifications can be viewed and deleted from the Welcome page accessed through the Home menu item.

To view a notification:

1. Hover over Menu and select **Home** item. The notifications display.

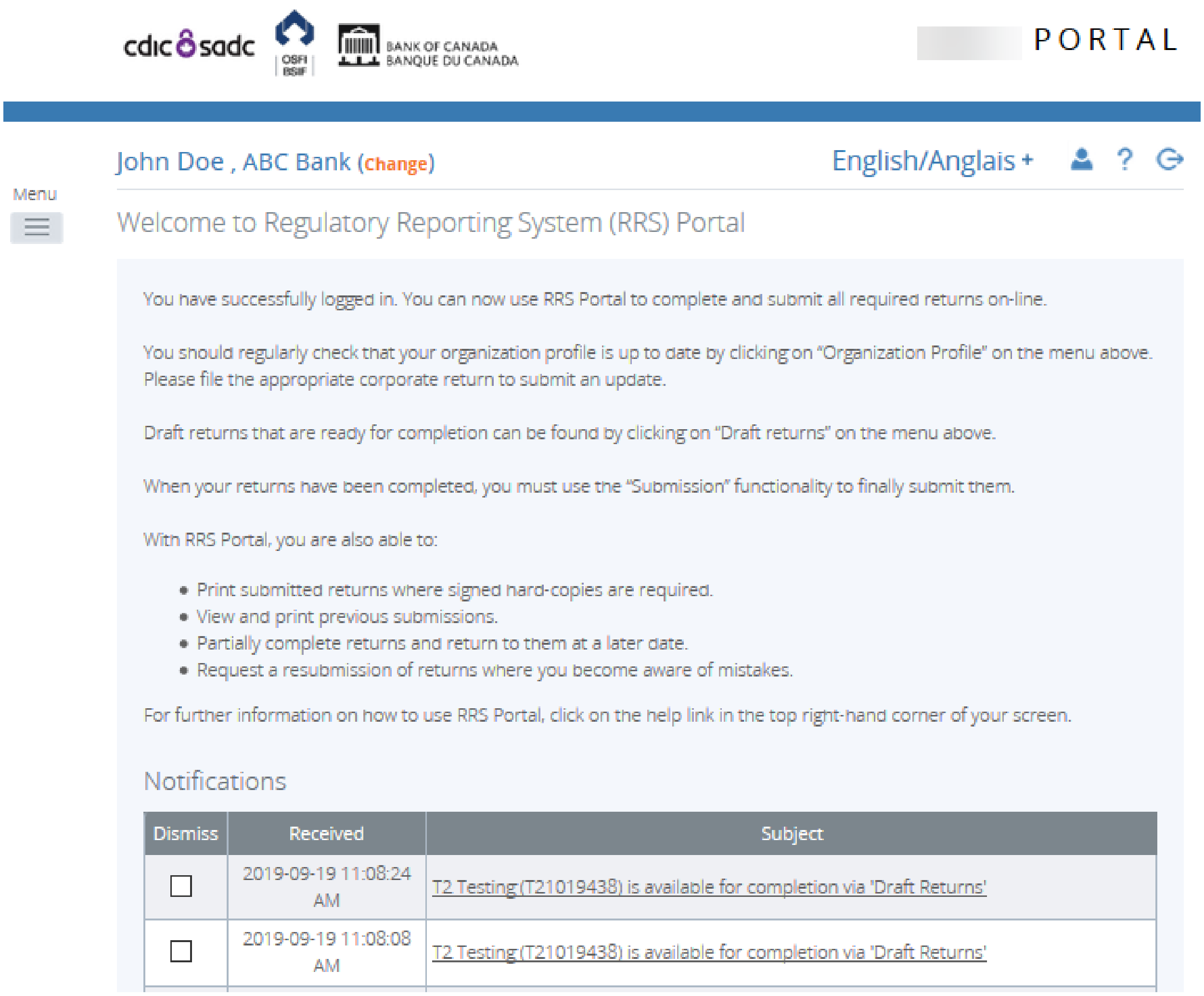



**Figure 7-1: Help Page**

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.

# 8.0 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.

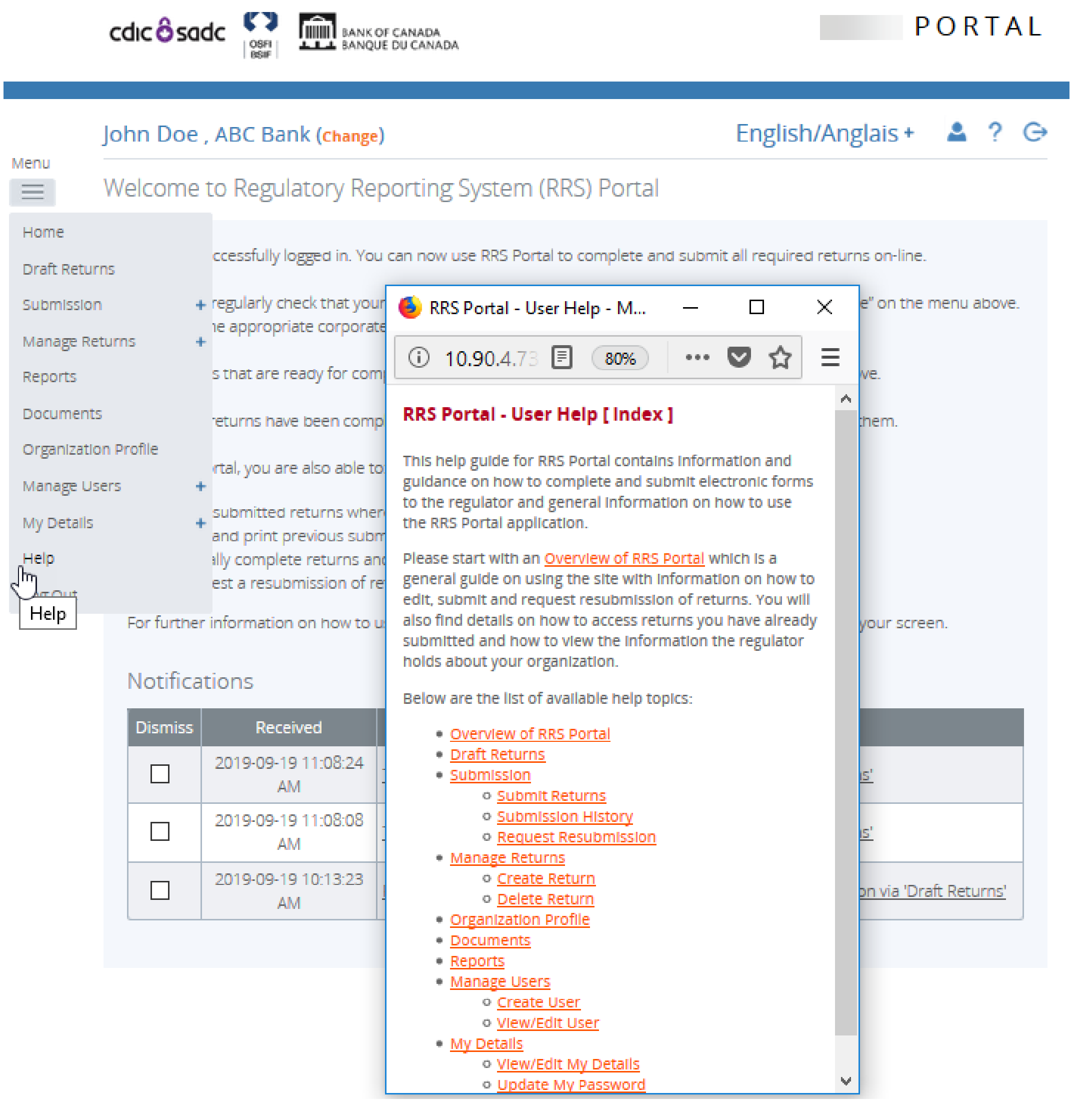



**Figure 8-1: Help Page**

| | Other help options: |
|---|---|
| | 1. The Documents menu item provides additional reference and training documents.<br><br>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. |

# 9.0 Logout

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.

## 9.1 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 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. |

# 10.0 Tips, Tricks and Troubleshooting

## 10.1 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.

## 10.2 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.

## 10.3 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.

| | |
|---|---|
| | **View Audit Log:** |
| | To determine who worked on a specific revision of a return, use the View Audit Log feature as described in *Section 3.3 Viewing a Return*. |

## 10.4 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.

# 11.0 Glossary

| Term/Acronym | Definition/Description |
|---|---|
| BoC | Bank of Canada |
| CDIC | Canada Deposit Insurance Corporation |
| Conventional return | A return in which data is organized by one category with a specified data point address for each item reported. |
| CY | Calendar Year |
| 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 |
| LRA | Local Registration Authority |
| Organization | An element describing financial institutions, private pension plans or partner agencies. |
| Organization Profile | A listing of an organization's corporate information. Also referred to as 'corporate profile'. |
| 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" |
| Structural rule | The formatting and layout of a return submission |
| Supervision Centre | *See* RRS Supervision Centre |

| Term/Acronym | Definition/Description |
|---|---|
| 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 |