



Risk Based Supervision System

Self-Service Guide^{R2}

WELCOME!

Welcome to the online Self Service Facilities for all NBFIRA Entities!

This booklet is for the use of every Entity regulated by NBFIRA as it provides assistance in using NBFIRA's new RBSS online Risk Based Supervision System (RBSS Release 2). Please start by viewing the **online RBSS presentation** via the NBFIRA web site <https://rbss.nbfira.org.bw>.

The RBSS is an internet-based software system that will enable all Entities regulated by NBFIRA (referred to as 'entities' in this booklet) to submit all required supervisory data online. The self service is therefore a secure, transparent view of your data, allowing your information to be dealt with more quickly and efficiently than before, as it brings about the much-needed automation and centralization of many supervision processes within the Authority.

This booklet details the initial release, serving both as a training and as a reference guide. Over time, more functionality will be added to the RBSS system and you will be kept informed. Note that the screen shots in this booklet depict training examples, and are **not** actual instances.

Should you require more assistance, or more detailed information in using any of these facilities, please contact the NBFIRA Help Desk or your regulatory analyst. In addition, a self-service kiosk is available at NBFIRA (for those who need it) where you can make your submissions on-line with the assistance of NBFIRA staff.

ithelpdesk@nbfira.org.bw

Phone: 310 2595/3686100

Mr O. M. Ramasedi




CEO - NBFIRA

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THIS DOCUMENT IS FOR NBFIRA REGULATED ENTITIES

If you require any assistance, please contact:

-  Your NBFIRA Regulatory Analyst: 3102595/3686100 (request the department and/or analyst you require)
-  NBFIRA Help Desk: 3102595/3686100 (request the IT help desk)
-  NBFIRA Help Desk: ithelpdesk@nbfira.org.bw

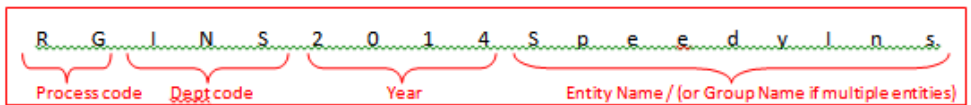
1 RBSS Returns (Forms)

What are Returns?

The RBSS system uses returns, which are forms linked to a process. For instance, there is a 'licence renewal return', a 'controller/key person application' etc. The returns use a common naming convention, to ensure consistency and ease of referral.

How Does the Return Naming Convention Work?

A common naming convention is being used, to ensure consistency and ease of future use. The return name field allows for any characters, spaces etc – so ensure that the return name is easy to read.



	↓	↓	↓
<i>Process Code</i>	AP [for Controller Application] CH [for Complaints Handling] LR [for Licence Renewal] NC_y [for Notification of Change]* OS_x [for Off-Site Supervision]** RG [for Corporate Registration]		
	*_y = Abbreviated sub process i.e. AA for Agency Agreement. Refer to section 8.2 Process Instructions: Notification of Change for the key e.g. NC_AA, NC_AOB **_x = A (for annual), Qn (for quarterly), Mn (for monthly) e.g. OS_M9, OS_Q3		
<i>Dept Code</i>	CAP [for Capital Markets] II [for Investment Institutions] INS [for Insurance] ML [for Micro Lending] RF [for Retirement Funds]		
<i>Year</i>	YYYY		
<i>Entity Name</i>	The name by which the entity is known in the system. There is no limit on characters, spaces etc. (A group name is used for multiple entities)		

e.g. For the Corporate Registration of an entity called Speedy Ins., the return name will be **'RG INS 2014 Speedy Ins.'**

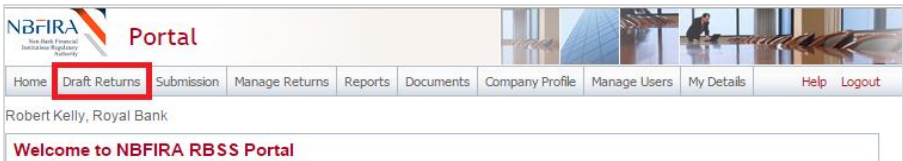


Off-Site Supervision Returns

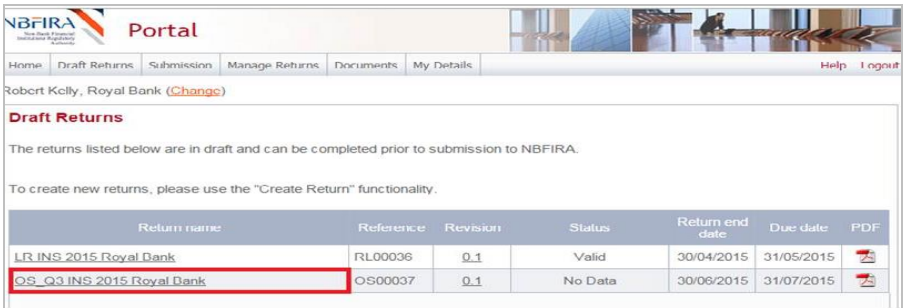
How Do I Prepare and Submit Off Site Returns?

On receiving the notification email from NBFIRA regarding the uploading/correction of your (monthly / quarterly / annual) returns, open the NBFIRA RBSS portal link and login using your allocated portal address and password. The Homepage will show the same notification which you have just received.

- a) Navigate to *Draft Returns* and select the return that has been created for you by the NBFIRA analyst (or which requires correction)



- b) Select the *Offsite Supervision* Return which requires your attention (it will be prefixed by 'OS'):



- c) Complete the *Offsite Supervision* by uploading information in the relevant sections shown below:

Draft Return

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

Once all sections are completed and validated, the return can be submitted using the "Submit return" functionality under the "Submission" menu.

KEY		
Form set	Folder	Repeatable Folder
Form	Add Section	Validated
In Draft	No Data - Mandatory	

OS_Q3 INS 2015 Royal Bank Status: No Data

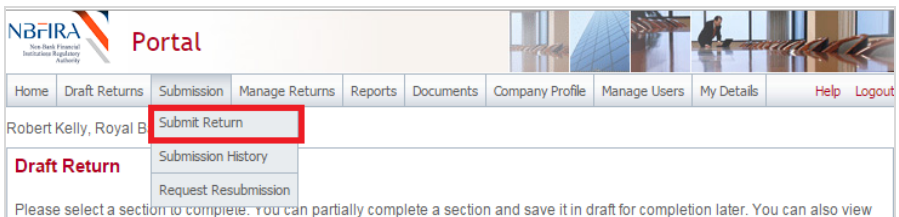
Insurance - Long Term Quarterly LR1Q	Upload Data X
Comprehensive Income	View [Icon] [Icon]
Assets	View [Icon] [Icon]
Liabilities	View [Icon] [Icon]
Comprehensive Income (Cumulative)	View [Icon] [Icon]
All Departments - Complaint Registration Form	Upload Data X
Complaints Reporting	Edit View [Icon] [Icon]
All Departments - Suspicious Transactions Report	Upload Data X
Suspicious Transactions Report	Edit View [Icon] [Icon]

(Either click the *Upload Data* link to upload the relevant financial data excel; or you can *Edit* any of the previously uploaded files).

- d) Select the file you need to upload from your computer.
- e) Click on the *Open* button in *Choose File to Upload* dialog. A confirmation message is displayed on successfully uploading the data. (The system may flag errors if you have entered text where numbers should be entered or if you have entered numbers larger than the allowed maximum number of digits).
- f) (If you wish to re-upload the data, you can click the *Clear* link beside the *Upload Data* link – but this will clear the data from ALL the sections, and you will need to restart the upload process).
- g) Click *Back* to check that your return has now received the Validated Status (look for the green tick) in each section where an upload is required.

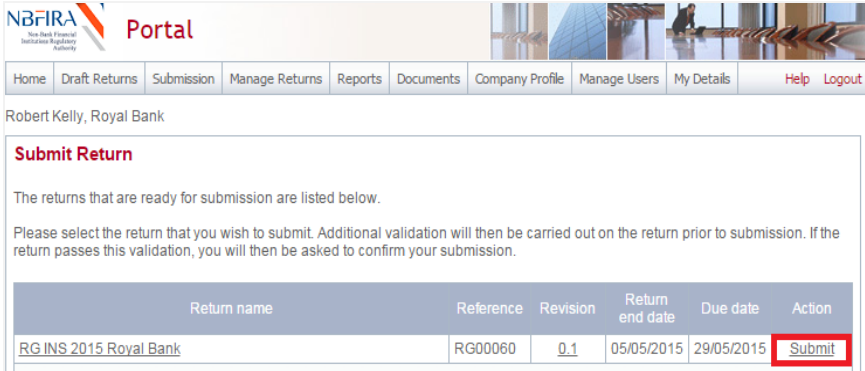
You are now ready to submit your corporate registration form/return.

- h) The return you have completed/updated should now state *Submit* beside it. So, when you are satisfied that everything is in place for submission to NBFIRA, select the *Submission* tab and click *Submit Return*.



The screenshot shows the NBFIRA Portal navigation bar with tabs: Home, Draft Returns, Submission, Manage Returns, Reports, Documents, Company Profile, Manage Users, My Details, Help, Logout. The 'Submission' tab is active, and a dropdown menu is open showing 'Submit Return' (highlighted with a red box), 'Submission History', and 'Request Resubmission'. Below the navigation bar, the user name 'Robert Kelly, Royal B' is visible.

- i) Click *Submit* beside your Offsite Supervision Form/Return which you created.



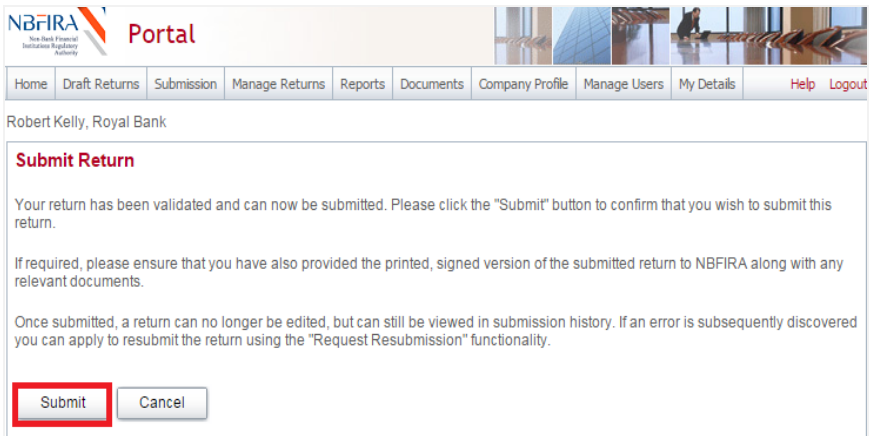
Submit Return

The returns that are ready for submission are listed below.

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

Return name	Reference	Revision	Return end date	Due date	Action
RG INS 2015 Royal Bank	RG00060	0.1	05/05/2015	29/05/2015	Submit

- j) Select the *Submit* button.



Submit Return

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

If required, please ensure that you have also provided the printed, signed version of the submitted return to NBFIRA 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](#)

- k) You will receive a confirmation notification (and also an email).



Submit Return

Your submission has been accepted and is now awaiting approval by NBFIRA. When the return is approved you will be notified by email.

If you have any difficulties, contact your NBFIRA Regulatory Analyst for assistance. If you have made an error and wish to resubmit, refer to the Commonly Asked Questions section ("But I Made A Mistake! Can I Resubmit?").



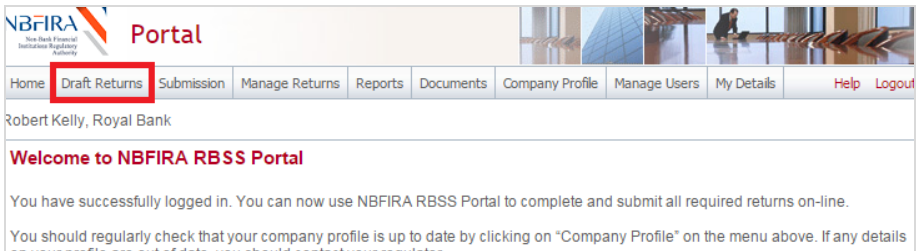
Corporate Registration

How Can I Register My Entity?

Firstly, Complete & (Re) Submit the Corporate Registration Application Return

You must initially write to NBFIRA requesting Corporate Registration. When you receive the notification email from NBFIRA regarding your Entity's request for corporate registration, you can then open the NBFIRA RBSS portal link and login using your allocated portal address and password.

- a) The Homepage will show the same notification which you have just received.
- b) Select the relevant company name (if you have a choice) and click login.
- c) Navigate to *Draft Returns*.



Portal

Home **Draft Returns** Submission Manage Returns Reports Documents Company Profile Manage Users My Details Help Logout

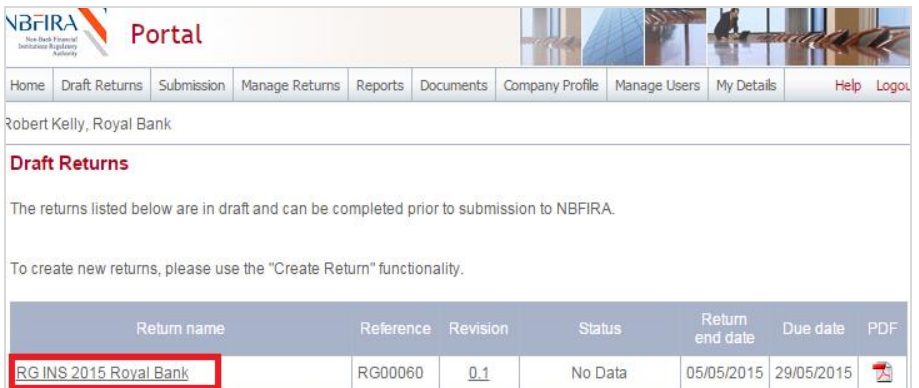
Robert Kelly, Royal Bank

Welcome to NBFIRA RBSS Portal

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

You should regularly check that your company profile is up to date by clicking on "Company Profile" on the menu above. If any details on your profile are out of date, you should contact your regulator.

- d) Select the corporate registration form that has been created for you by the NBFIRA analyst (the name of the form will depend on the industry type your Entity falls under).



Portal


Home Draft Returns Submission Manage Returns Reports Documents Company Profile Manage Users My Details Help Logout

Robert Kelly, Royal Bank

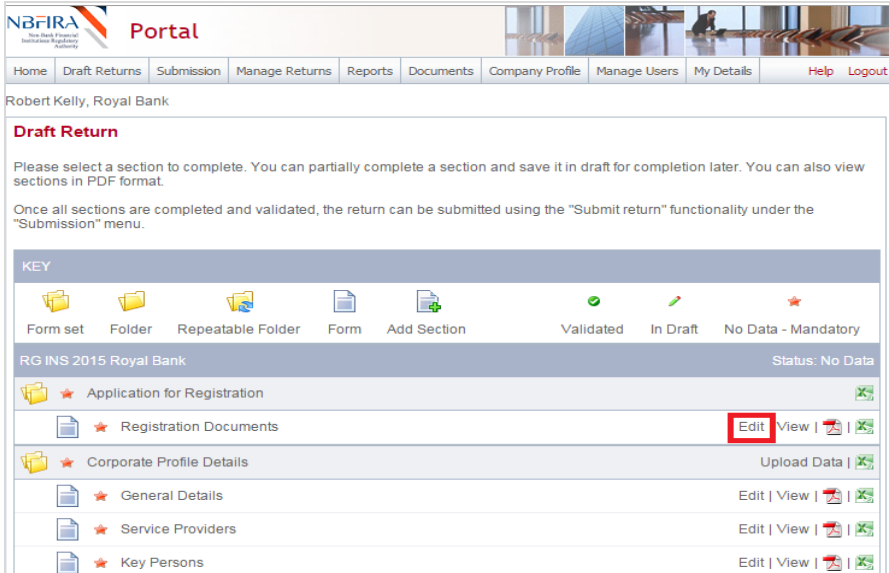
Draft Returns

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

To create new returns, please use the "Create Return" functionality.

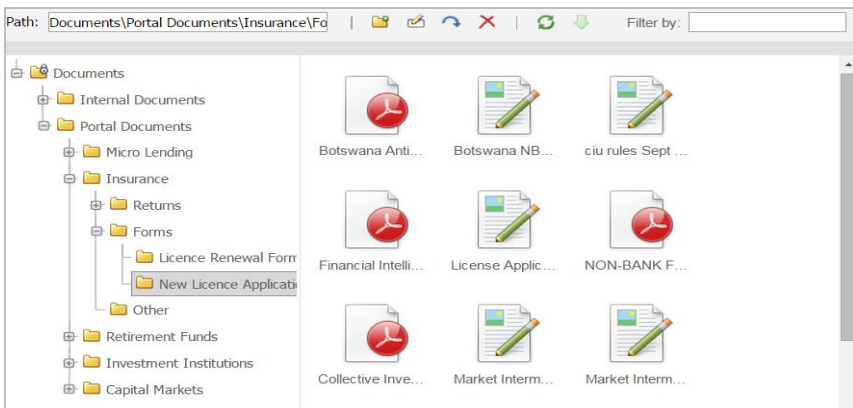
Return name	Reference	Revision	Status	Return end date	Due date	PDF
RG INS 2015 Royal Bank	RG00060	<u>01</u>	No Data	05/05/2015	29/05/2015	

- e) The form will open, ready for you to input and upload the required information.



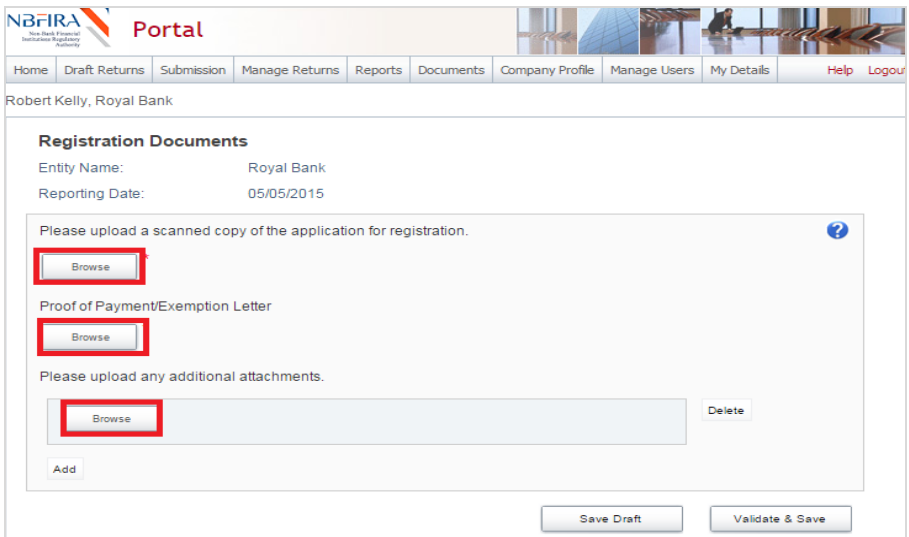
Secondly, Download Application for Registration Forms

- f) Navigate to *Documents >> Portal Documents >> Department >> Forms >> New Licence Application forms.*
- g) Find the first applicable document and then click the green down arrow to download the document. Repeat for all other documents in this folder. (Refer also to the 'How Do I Download the Required NBFIRA Forms?' Commonly Asked Questions section for detailed guidance of how to do this).



Thirdly, Upload Completed Application for Registration Documents

- h) When you have filled in the required documents that you have just downloaded, you are ready to upload them. Open the NBFIRA RBSS portal link and login using your allocated portal address and password.
- i) Navigate to *Draft Returns* and select the corporate registration form that has been created for you by the NBFIRA analyst.
- j) Select *Edit* beside the form *Registration Documents*.
- k) Upload your completed documents where indicated by the *Browse* buttons '*Please upload a scanned copy of the application for registration*' and '*Proof of payment/Exemption Letter*' and / or '*Please upload any additional attachments*'.



Portal

Home Draft Returns Submission Manage Returns Reports Documents Company Profile Manage Users My Details Help Logout

Robert Kelly, Royal Bank

Registration Documents

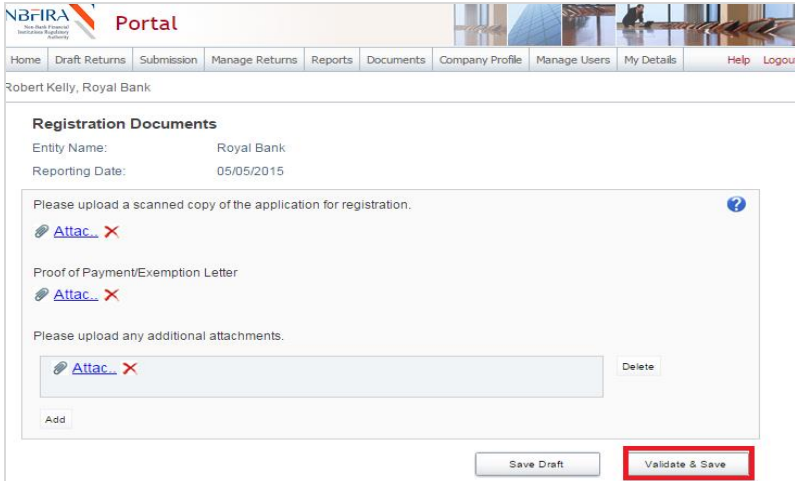
Entity Name: Royal Bank
Reporting Date: 05/05/2015

Please upload a scanned copy of the application for registration. [?](#)

Proof of Payment/Exemption Letter

Please upload any additional attachments.

- l) Click the new hyperlink and open each document to confirm the file was uploaded correctly.



Portal

Home Draft Returns Submission Manage Returns Reports Documents Company Profile Manage Users My Details Help Logout

Robert Kelly, Royal Bank

Registration Documents

Entity Name: Royal Bank
Reporting Date: 05/05/2015

Please upload a scanned copy of the application for registration.

[Attac...](#) ✕

Proof of Payment/Exemption Letter

[Attac...](#) ✕

Please upload any additional attachments.

[Attac...](#) ✕ Delete

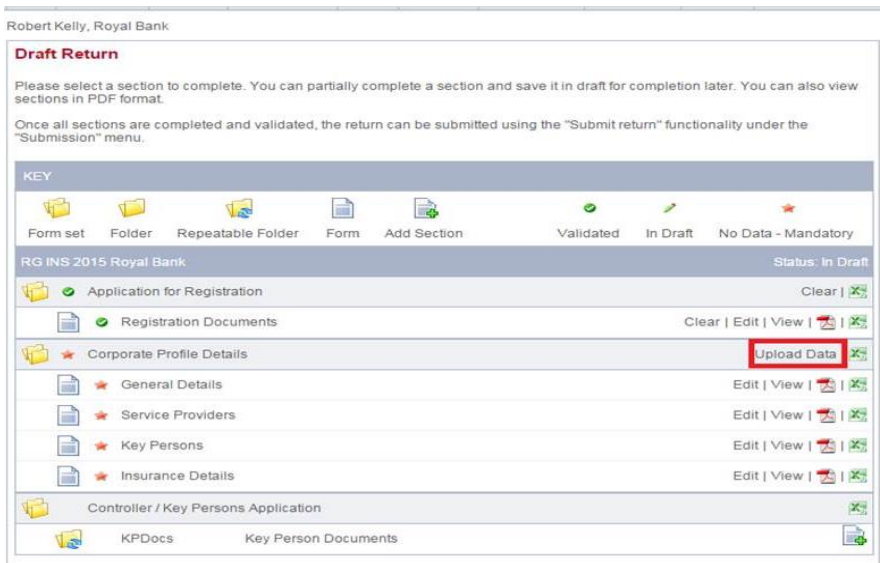
Add

Save Draft **Validate & Save**

m) Click *Validate & Save*. A green tick indicates that the form has been validated.

Fourthly, Complete and Upload Corporate Profile Details

n) Continuing with the draft return, complete the Corporate Profile section by uploading the Corporate Profile Master file:



Robert Kelly, Royal Bank

Draft Return

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

Once all sections are completed and validated, the return can be submitted using the "Submit return" functionality under the "Submission" menu.

KEY

Form set Folder Repeatable Folder Form Add Section Validated In Draft No Data - Mandatory

RG INS 2015 Royal Bank Status: In Draft

✓ Application for Registration Clear | ✕

✓ Registration Documents Clear | Edit | View | ✕

★ Corporate Profile Details Upload Data | ✕

★ General Details Edit | View | ✕

★ Service Providers Edit | View | ✕

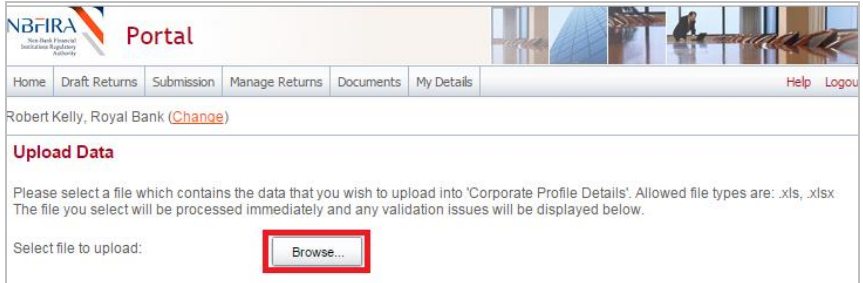
★ Key Persons Edit | View | ✕

★ Insurance Details Edit | View | ✕

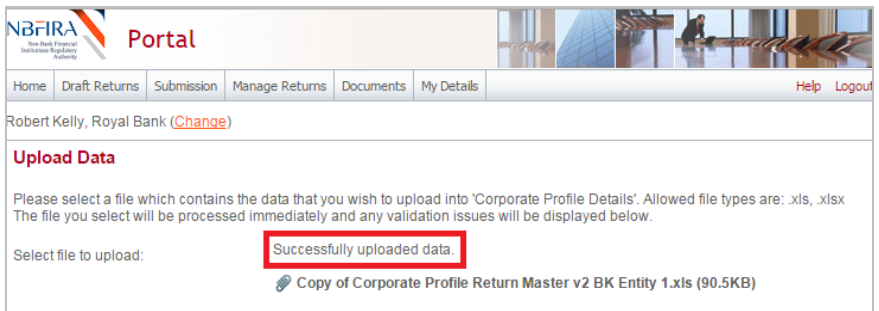
Controller / Key Persons Application ✕

✕ KPDocs Key Person Documents ✕

- Upload the required updated document (as you are doing this for the first time, use the NBFIRA-supplied MS Excel file called 'Corporate Return Profile Master', which will have been sent to you and which you will have saved to your computer).



- After uploading you should receive the ‘Successfully uploaded data’ message.



- **Tip:** You can check your upload by clicking *Back* to verify that your Entity’s Corporate Profile Details has achieved *Validated Status* (i.e. green tick) in each section where an upload is required.

Fifthly, Complete the Controller / Key Persons Application

- o) Upload the details of the Controller / Key Persons (under the **Controller / Key Persons Application** section) by doing the following:
 - Look at all the required documents (such as CV, Police Clearance etc) that are required to accompany this registration, and click on the down arrow icon to download the required document.
 - Complete the documents (outside the system) and save them in a location on your PC where you can upload them on the controller form.
 - Now, if you are not still logged in, reopen the RBSS portal link and login using your allocated portal address and password.
 - Navigate to *Draft Returns* and continuing with the required registration return, click the ‘+’ icon to the right of ‘*Key Persons Documents*’.
 - Input the required fields, and click *Browse* under each required document and upload the required document.
 - Click *Validate & Save*.
 - Repeat as necessary for all the Controllers/Key Persons

Key Persons Documents

Entity Name: Royal Bank

Reporting Date: 30/04/2015

First Name: *	<input type="text"/>
Surname: *	<input type="text"/>
Date of Birth: *	<input type="text"/> <input type="button" value="..."/>
Please upload a scanned copy of the key person application. <input type="button" value="Browse"/> *	
Qualifications (Certified copy) <input type="button" value="Browse"/> *	
2 Passport Sized Photographs <input type="button" value="Browse"/>	
Bank Reference <input type="button" value="Browse"/>	
Resident Permit <input type="button" value="Browse"/>	
DIS Form <input type="button" value="Browse"/>	
Police Clearance <input type="button" value="Browse"/> *	
Personal Questionnaire/ Biographical Affidavit <input type="button" value="Browse"/> *	
Detailed Curriculum Vitae <input type="button" value="Browse"/> *	
Certified Copy of ID <input type="button" value="Browse"/> *	

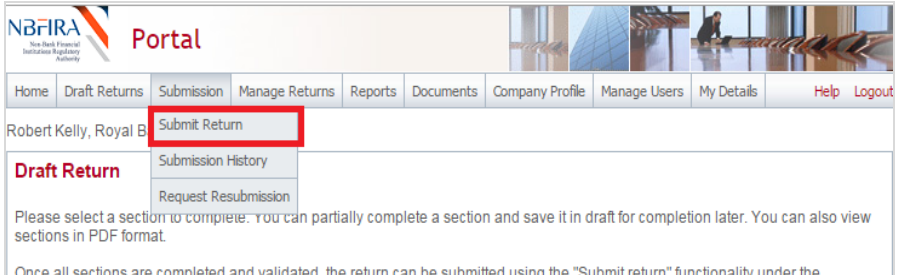
Additional Documentation:

Sixthly, Complete Each Remaining Section

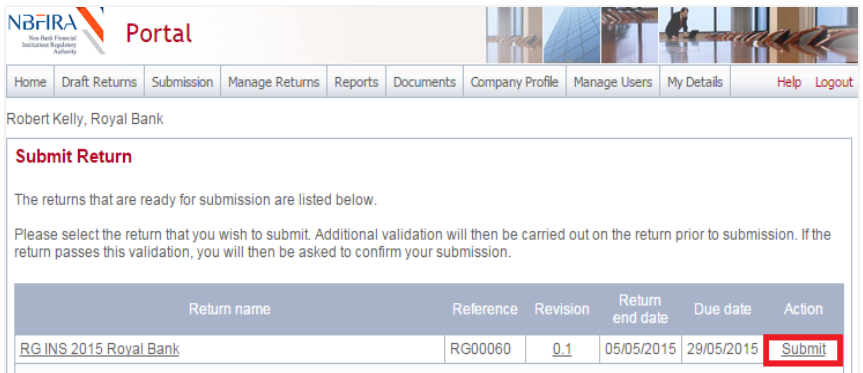
- p) Complete **each** of the remaining sections (such as **Personal Questionnaire**) by doing the following:
- Click *Edit* beside the forms(s) in the section.
 - Complete the online form, ensuring that all mandatory fields are completed.
 - Attach all the required documents, by clicking *Browse* under each required document and upload the required document.
 - Click *Validate and Save*. A green tick indicates that the form is validated successfully.

Finally, You Are Now Ready To Submit Your Corporate Registration Form/Return!

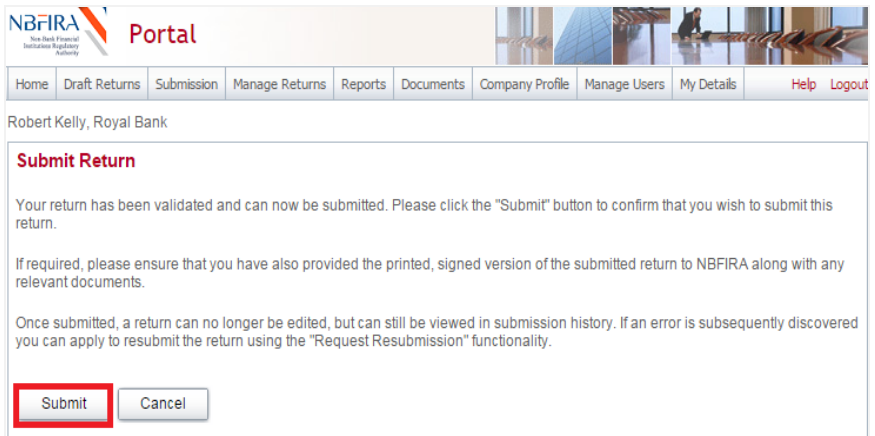
- q) Select the *Submissions* tab and click *Submit Return*.



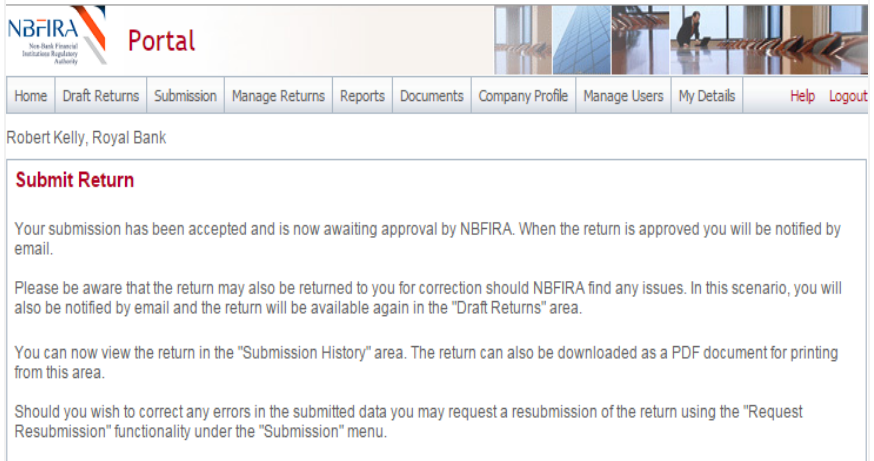
- Click *Submit* beside your Corporate Registration Form/Return which you created.



- Selecting the *Submit* button.



- You will receive a confirmation notification (and also an email).



The screenshot shows the NBFIRA Portal interface. At the top left is the NBFIRA logo. To its right is the word "Portal" in a large, bold, red font. Further right is a banner image showing a modern office interior with a person sitting at a long table. Below the banner is a horizontal navigation menu with the following items: Home, Draft Returns, Submission, Manage Returns, Reports, Documents, Company Profile, Manage Users, My Details, Help, and Logout. Below the menu, the user's name "Robert Kelly, Royal Bank" is displayed. The main content area is titled "Submit Return" in red. It contains three paragraphs of text: 1. "Your submission has been accepted and is now awaiting approval by NBFIRA. When the return is approved you will be notified by email." 2. "Please be aware that the return may also be returned to you for correction should NBFIRA find any issues. In this scenario, you will also be notified by email and the return will be available again in the "Draft Returns" area." 3. "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." A fourth paragraph states: "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."

If you have any difficulties or queries, please contact NBFIRA for assistance.

I Want to Withdraw My Corporate Registration Application!

At any point you may choose to withdraw your application. However, you will need to contact NBFIRA formally by email and NBFIRA will then cancel your application.

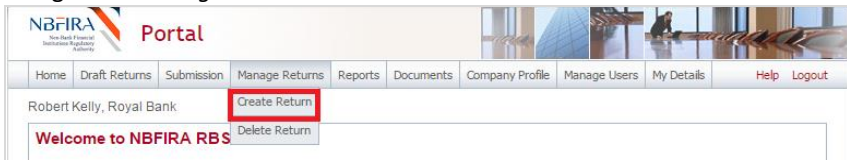


Controller / Approved Person Registration

How do I Register a new Key Person / Controller?

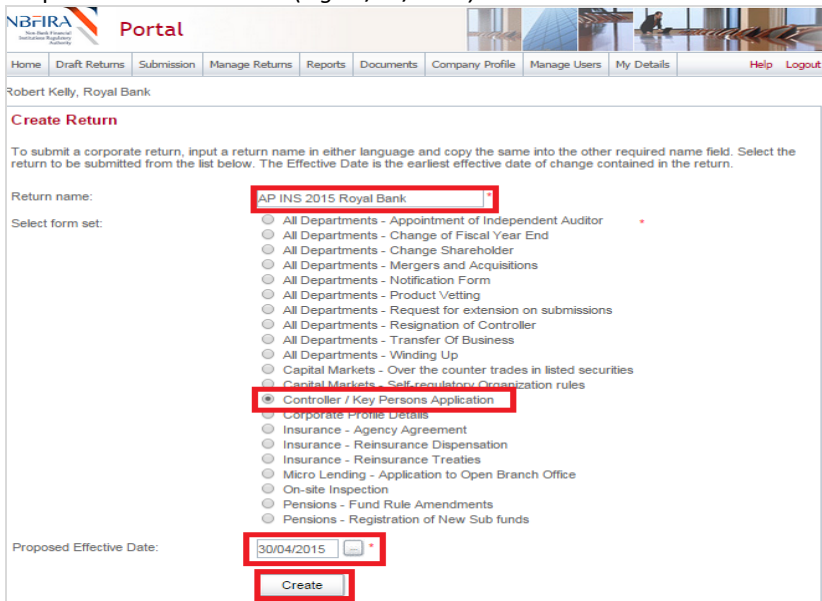
Firstly, Create the AP Return

- Open the NBFIRA RBSS Portal link and login using your allocated portal address and password.
- Navigate to *Manage Returns* -> *Create Return*.



c) Enter the following details for the return:

- Return name: *(i.e. AP Dept_Code* Year Name_of_Company/Entity e.g. AP INS 2014 Speedy Insurance. Refer to the naming convention).*
- Select form set *(select the return i.e. Controller/Key Persons Application)*
- Proposed Effective date: *(e.g 31/08/2015)*



Robert Kelly, Royal Bank

Create Return

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

Return name:

Select form set:

- All Departments - Appointment of Independent Auditor
- All Departments - Change of Fiscal Year End
- All Departments - Change Shareholder
- All Departments - Mergers and Acquisitions
- All Departments - Notification Form
- All Departments - Product Vetting
- All Departments - Request for extension on submissions
- All Departments - Resignation of Controller
- All Departments - Transfer Of Business
- All Departments - Winding Up
- Capital Markets - Over the counter trades in listed securities
- Capital Markets - Self regulatory Organization rules
- Controller / Key Persons Application**
- Corporate Profile Details
- Insurance - Agency Agreement
- Insurance - Reinsurance Dispensation
- Insurance - Reinsurance Treaties
- Micro Lending - Application to Open Branch Office
- On-site Inspection
- Pensions - Fund Rule Amendments
- Pensions - Registration of New Sub funds

Proposed Effective Date:

- d) Select the *Create* button. A confirmation message will be displayed that the return has been successfully created.

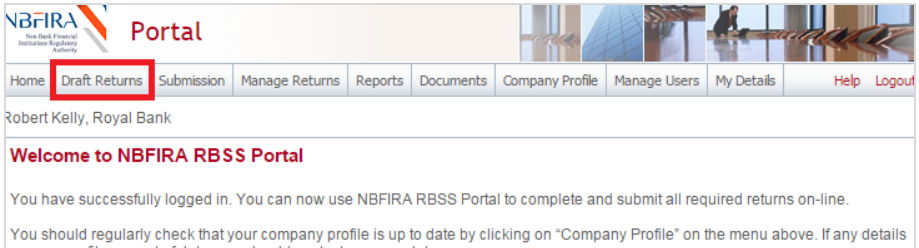
Return Created Successfully

Your return "AP INS 2015 Royal Bank" has successfully been created with the reference "AP00048".

You can now access the return in the "Draft Returns" area. When you have completed the return you can submit it using the "Submit return" functionality under the "Submission" menu.

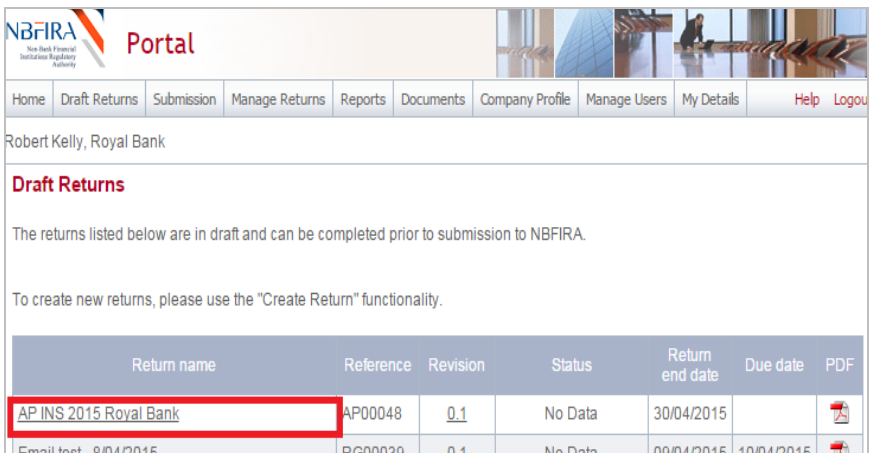
Secondly, Find the Created Controller Registration Application

- e) When you create an application (or in response to a notification from NBFIRA asking for more information regarding an application that you have already submitted), find your return by selecting "Draft Returns" (where all unsubmitted returns are displayed).





The screenshot shows the NBFIRA RBSS Portal Home page. The user is logged in as Robert Kelly, Royal Bank. The 'Draft Returns' menu item is highlighted with a red box. The page content includes a welcome message and instructions on how to use the portal.

- Click on the *Controller / Key Person return* (application) which you created or which NBFIRA has notified you about – it will be prefixed by AP.



The screenshot shows the 'Draft Returns' section of the NBFIRA RBSS Portal. A table lists draft returns, with the first row highlighted by a red box. The table has columns for Return name, Reference, Revision, Status, Return end date, Due date, and PDF.

Return name	Reference	Revision	Status	Return end date	Due date	PDF
AP INS 2015 Royal Bank	AP00048	0.1	No Data	30/04/2015		
Email test - 8/04/2015	R/G00039	0.1	No Data	09/04/2015	10/04/2015	

- Click on the *Documents* tab and look at the sections that are displayed.

Thirdly, Complete the Controller / Key Persons Application section

- f) Upload the details of the Controller / Key Persons (under the **Controller / Key Persons Application** section) by doing the following:

Draft Return

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

Once all sections are completed and validated, the return can be submitted using the "Submit return" functionality under the "Submission" menu.

KEY		
Form set	Folder	Repeatable Folder
Form	Add Section	Validated
In Draft	No Data - Mandatory	

AP INS 2015 Royal Bank Status: No Data

	Controller / Key Persons Application	
	KPDocs Key Person Documents	
	Corporate Profile Details	Upload Data
	General Details	Edit View
	Service Providers	Edit View
	Key Persons	Edit View
	Insurance Details	Edit View

- Look at all the required documents (such as CV, Police Clearance etc) that are required to accompany this registration, and click on the down arrow icon to download the required document.
- Complete the documents (outside the system) and save them in a location on your PC where you can upload them on the controller form.
- Now, if you are not still logged in, reopen the RBSS portal link and login using your allocated portal address and password.
- Navigate to *Draft Returns* and continuing with the required registration return, click the '+' icon to the right of 'Key Persons Documents'.
- Input the required fields, and click *Browse* under each required document and upload the required document.
- Click *Validate & Save*.
- Repeat as necessary for all the Controllers/Key Persons

Key Persons Documents

Entity Name: Royal Bank

Reporting Date: 30/04/2015

First Name:	<input type="text"/> *
Surname:	<input type="text"/> *
Date of Birth:	<input type="text"/> <input type="button" value="..."/> *
Please upload a scanned copy of the key person application.	<input type="button" value="Browse"/> *
Qualifications (Certified copy)	<input type="button" value="Browse"/> *
2 Passport Sized Photographs	<input type="button" value="Browse"/>
Bank Reference	<input type="button" value="Browse"/>
Resident Permit	<input type="button" value="Browse"/>
DIS Form	<input type="button" value="Browse"/>
Police Clearance	<input type="button" value="Browse"/> *
Personal Questionnaire/ Biographical Affidavit	<input type="button" value="Browse"/> *
Detailed Curriculum Vitae	<input type="button" value="Browse"/> *
Certified Copy of ID	<input type="button" value="Browse"/> *

Additional Documentation:

Fourthly, Complete and upload Corporate Profile Details

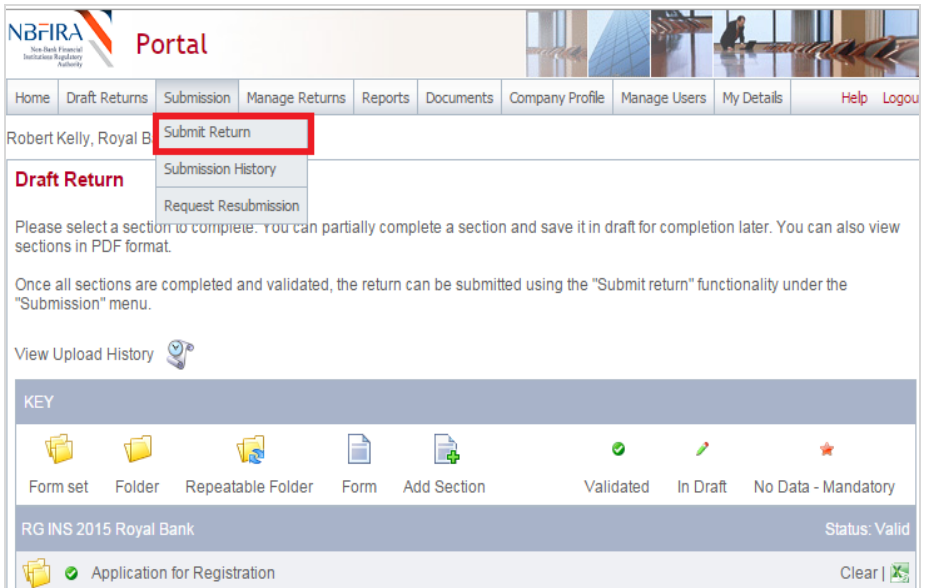
g) Continuing with the draft return, look for the **Corporate Profile Details** section. This has to be re-uploaded afresh together with the new information. The best and easiest way to do this is to use the Corporate Profile Shortcut, as detailed in the Commonly Asked Questions section “Is There a Shortcut Way to Do The Corporate Profile Upload?”.

Fifthly, Complete Each Remaining Section

- h) Complete each of the remaining sections (such as **Personal Questionnaire**) by doing the following:
- Click *Edit* beside the forms(s) in the section.
 - Complete the online form, ensuring that all mandatory fields are completed.
 - Attach all the required documents, by clicking *Browse* under each required document and upload the required document.
 - Click *Validate and Save*. A green tick indicates that the form is validated successfully.

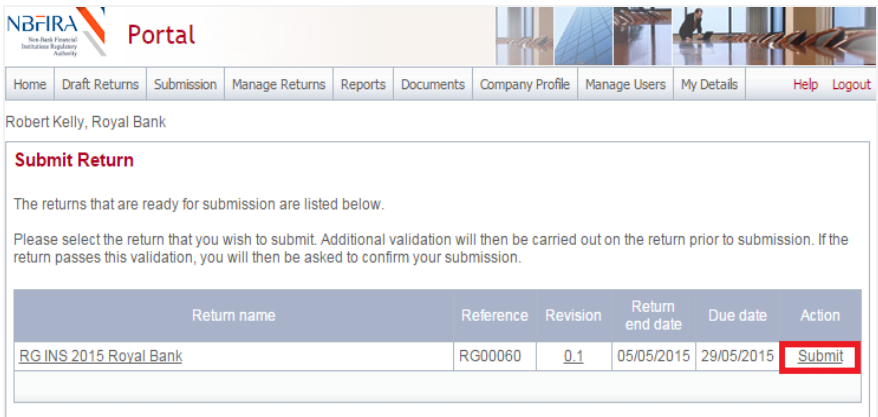
Finally, you are now ready to submit your corporate registration form/return.

- i) Select the *Submissions* tab and click *Submit Return*.



The screenshot shows the NBFIIRA Portal interface. The user is logged in as Robert Kelly, Royal Bank. The 'Submission' tab is selected, and the 'Submit Return' button is highlighted with a red box. Below the navigation bar, there are options for 'Draft Return', 'Submission History', and 'Request Resubmission'. A key section explains that users can partially complete sections and save them as drafts, and that returns can be submitted once all sections are validated. A 'View Upload History' link is also present.

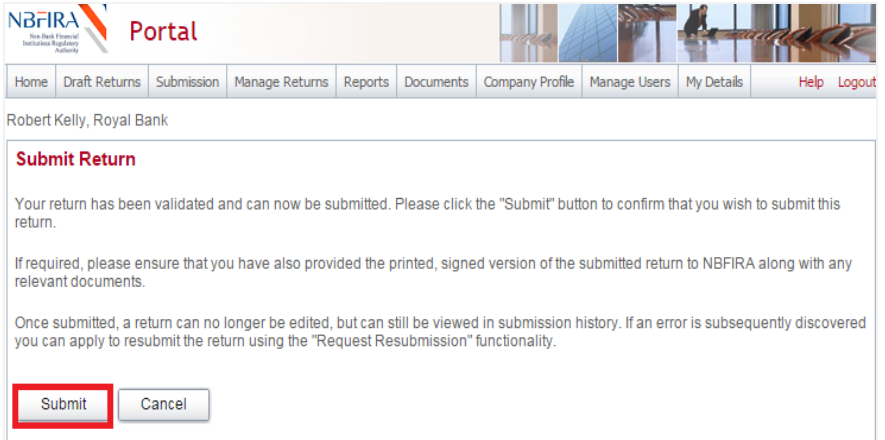
- Click *Submit* beside your Corporate Registration Form/Return which you created.



The screenshot shows the 'Submit Return' page in the NBFIIRA Portal. It displays a table of returns ready for submission. The 'Submit' button for the 'RG INS 2015 Royal Bank' return is highlighted with a red box.

Return name	Reference	Revision	Return end date	Due date	Action
RG INS 2015 Royal Bank	RG00060	01	05/05/2015	29/05/2015	Submit

- Selecting the *Submit* button.



NBFIRA Portal

Home | Draft Returns | Submission | Manage Returns | Reports | Documents | Company Profile | Manage Users | My Details | **Help** | Logout

Robert Kelly, Royal Bank

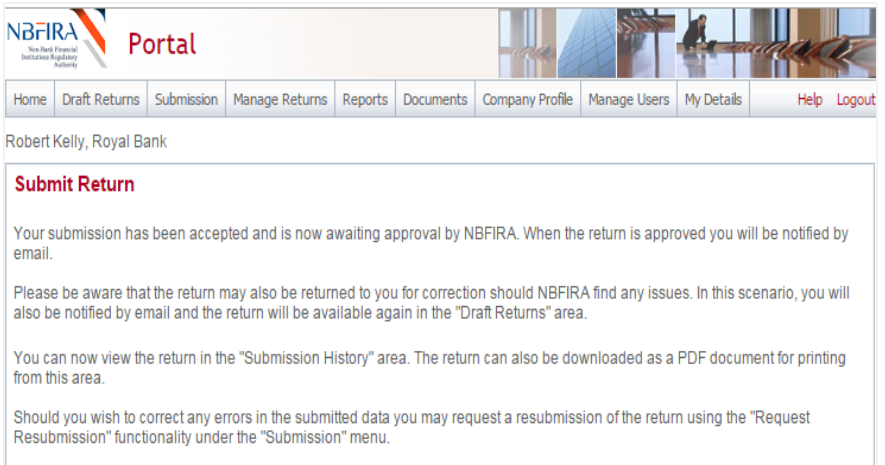
Submit Return

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

If required, please ensure that you have also provided the printed, signed version of the submitted return to NBFIRA 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.

- You will receive a confirmation notification (and also an email).



NBFIRA Portal

Home | Draft Returns | Submission | Manage Returns | Reports | Documents | Company Profile | Manage Users | My Details | **Help** | Logout

Robert Kelly, Royal Bank

Submit Return

Your submission has been accepted and is now awaiting approval by NBFIRA. When the return is approved you will be notified by email.

Please be aware that the return may also be returned to you for correction should NBFIRA find any issues. In this scenario, you will also be notified by email and the return will be available again in the "Draft Returns" area.

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.

If you have any difficulties or queries, please contact NBFIRA for assistance.

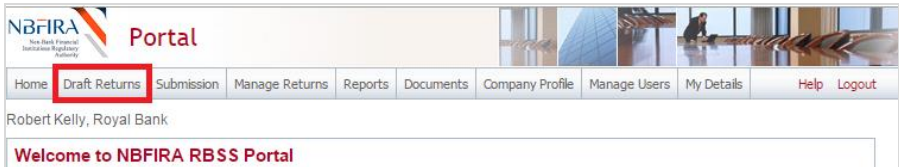


Licence Renewal

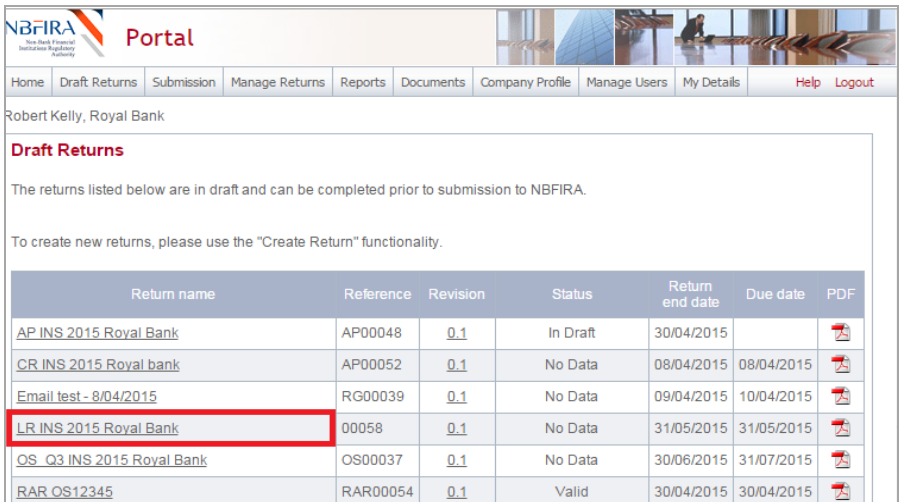
How Can I Renew My Entity’s Licence?

Your Entity will receive a notification email from NBFIRA regarding a reminder to renew your Entity’s licence. On receiving the notification email from NBFIRA regarding your Entity’s licence renewal, open the NBFIRA RBSS portal link and login using your allocated portal address and password.

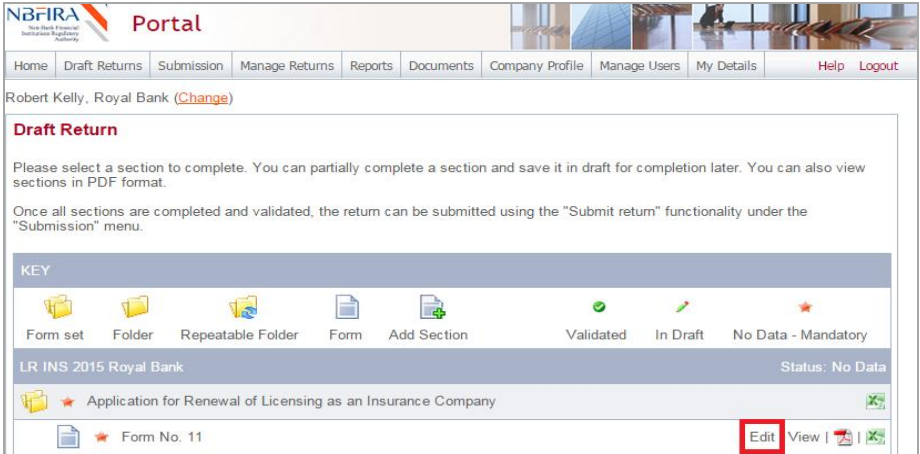
- a) The Homepage will show the same notification which you have just received.
- b) Navigate to *Draft Returns*.



- c) Select the licence renewal form/return that you have been notified about.



- d) Select *Edit* beside the relevant renewal form.



Portal

Home | Draft Returns | Submission | Manage Returns | Reports | Documents | Company Profile | Manage Users | My Details | Help | Logout

Robert Kelly, Royal Bank ([Change](#))

Draft Return

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



Once all sections are completed and validated, the return can be submitted using the "Submit return" functionality under the "Submission" menu.

KEY

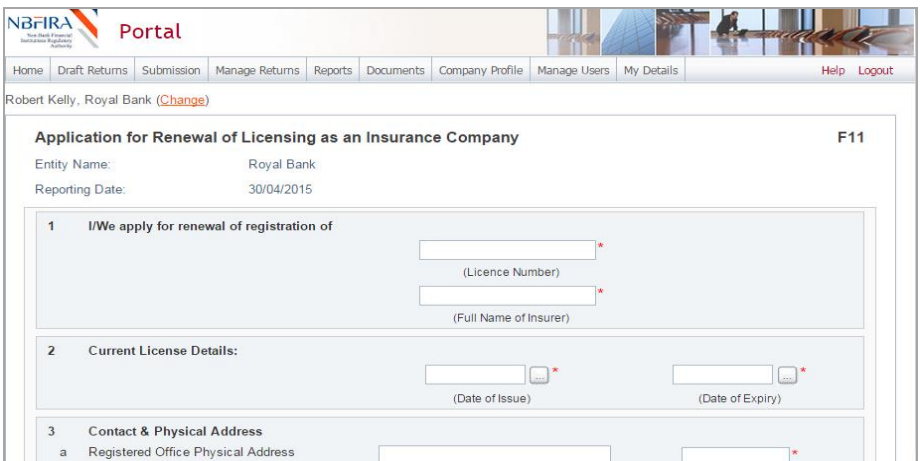
Form set | Folder | Repeatable Folder | Form | Add Section | Validated | In Draft | No Data - Mandatory

LR INS 2015 Royal Bank Status: No Data

★ Application for Renewal of Licensing as an Insurance Company

Form No. 11 **Edit** | View |  | 

- e) Then complete the online form (and upload any required documents such as a scanned copy of the application for registration and/or proof of payment).



Portal

Home | Draft Returns | Submission | Manage Returns | Reports | Documents | Company Profile | Manage Users | My Details | Help | Logout

Robert Kelly, Royal Bank ([Change](#))

Application for Renewal of Licensing as an Insurance Company F11

Entity Name: Royal Bank
Reporting Date: 30/04/2015

1 I/We apply for renewal of registration of

*
(Licence Number)

*
(Full Name of Insurer)

2 Current License Details:

DD * DD *
(Date of Issue) (Date of Expiry)

3 Contact & Physical Address

a Registered Office Physical Address *

- f) When you have completed all the inputs and uploading, click *Validate & Save*.

ROBERT KELLY		Title	
(Name)		(Title)	
5 The Amount of Paid-Up Capital of the Company			
The must exclude debentures, preference shares, non-voting shares and paid-up capital subscribed directly or indirectly itself			
			2,000,000*
(Pula Value)			
6 Upload Documents (documents that must accompany this application)			
a	Chart showing the organisational structure of the company, with names accompanying all senior management positions.		Attac..
			Attac..
b	Certification from the company's auditors to substantiate the amount of paid-up capital.		Attac..
c	Statement showing the monetary "own account" and reinsurance treaty limits which the insurer can underwrite under each of the classes of insurance business transacted.		Attac..
d	List of all persons with whom agency agreements were active during the year (ending with the expiry date of licence being renewed), including any cancellations/suspensions and the reasons thereof.		Attac..
			Attac..
e	Proof of payment of fee of renewal of registration.		
<input type="button" value="Save As Draft"/>			<input type="button" value="Validate & Save"/>

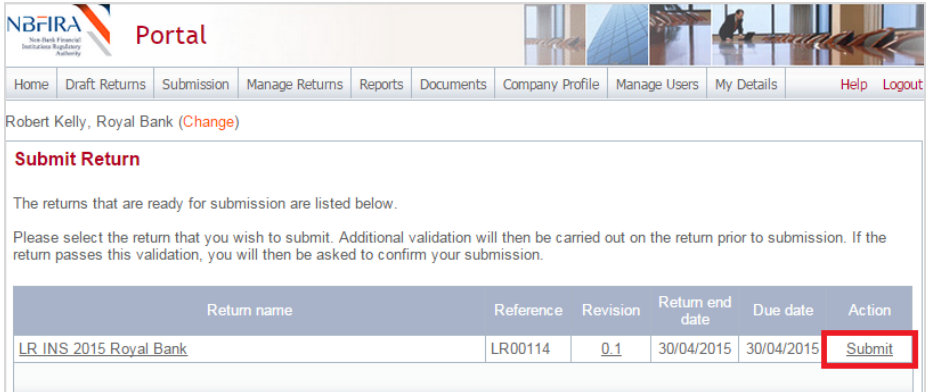
g) The green ticks indicate that the validation has been successful:

LR INS 2015 Royal Bank		Status: Valid
	Application for Renewal of Licensing as an Insurance Company	Clear
	Form No. 11	Clear Edit View

h) You are now ready to submit your licence renewal form/return. Select the *Submissions* tab and select 'Submit Return'.

 Portal			
Home	Draft Returns	Submission	Manage Returns
Reports	Documents	Company Profile	Manage Users
My Details	Help	Logout	
Robert Kelly, Royal Bank		Submit Return	
Draft Return		Submission History	
		Request Resubmission	
Please select a section to complete. You can partially complete a section and save it in draft for completion later. You can also view sections in PDF format.			

i) Select *Submit* beside your licence renewal form/return.



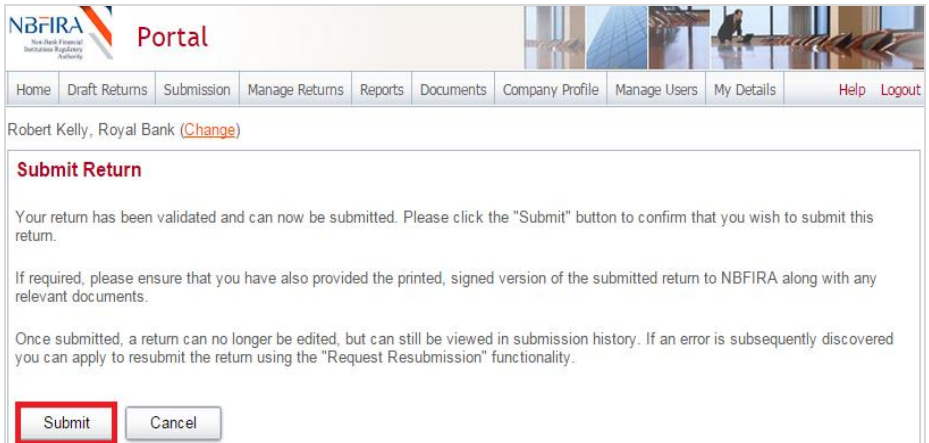
Submit Return

The returns that are ready for submission are listed below.

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

Return name	Reference	Revision	Return end date	Due date	Action
LR INS 2015 Royal Bank	LR00114	0.1	30/04/2015	30/04/2015	Submit

j) Click **Submit** on the message.



Submit Return

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

If required, please ensure that you have also provided the printed, signed version of the submitted return to NBFIRA 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](#)

k) You will receive a confirmation notification and email.



Notification of Change

Any of the following would require a notification of change form to be submitted:

- Agency Agreement (AA)
- Application to Open Branch Office (AOB)
- Appointment of Independent Auditor (AIA)
- Capital Markets Self-Regulated Entity Rules (SRO)
- Change of Fiscal Year End (YE)
- Change of Shareholder (CS)
- Fund Rule Amendments (RA)
- Mergers and Acquisitions Notification (M&A)
- Notification of Change - includes Local Asset Status (NC)
- Over the counter trades in listed securities (OTC)
- Product Vetting - includes Registration of New Funds, Investment Inst. (PV)
- Registration of New Pensions Sub Funds (NPSF)
- Reinsurance Dispensation (RD)
- Reinsurance Treaties (RT)
- Request for extension on submissions (RES)
- Resignation of Controller (RC)
- Transfer of Business (TB)
- Winding Up (WU)

How Do I Notify A Change to NBFIRA?

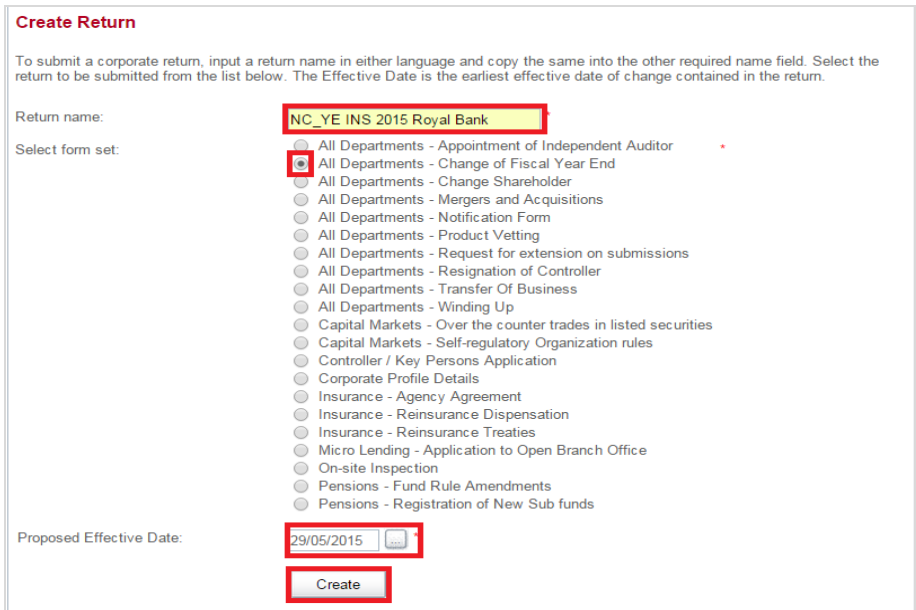
You will undertake the following steps when your Entity wishes to notify NBFIRA of a change (or in response to NBFIRA sending you an email notification asking your Entity to resubmit the notification of change along with additional information). If you have any queries or require assistance, contact your NBFIRA analyst.

- a) Open the NBFIRA RBSS portal link and login using your allocated portal address and password.
- b) Navigate to 'Manage Returns' and click Create Returns.



The screenshot shows the NBFIRA RBSS Portal interface. The 'Manage Returns' tab is selected, and the 'Create Return' button is highlighted with a red box. Below the navigation bar, the user's name 'Robert Kelly, Royal Bank' is displayed, along with a 'Change' link and a 'Delete Return' button. A 'Welcome to NBFIRA RBS' message is also visible.

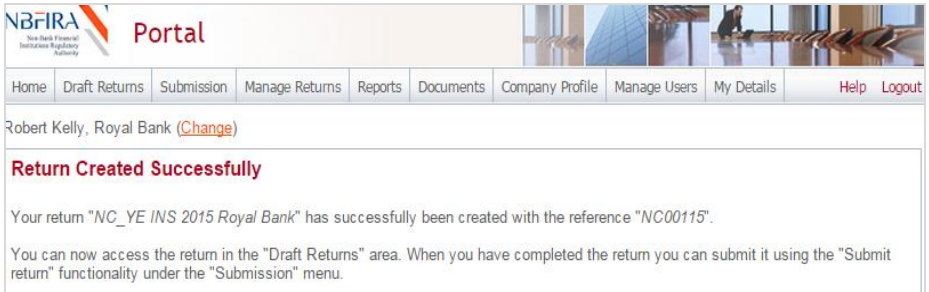
- c) Input your return name and select the required notification of change type:



The screenshot shows the 'Create Return' form. The 'Return name' field contains 'NC_YE INS 2015 Royal Bank'. The 'Select form set:' dropdown menu is open, showing a list of notification types. The 'All Departments - Change of Fiscal Year End' option is selected. The 'Proposed Effective Date' field contains '29/05/2015'. A 'Create' button is visible at the bottom of the form.

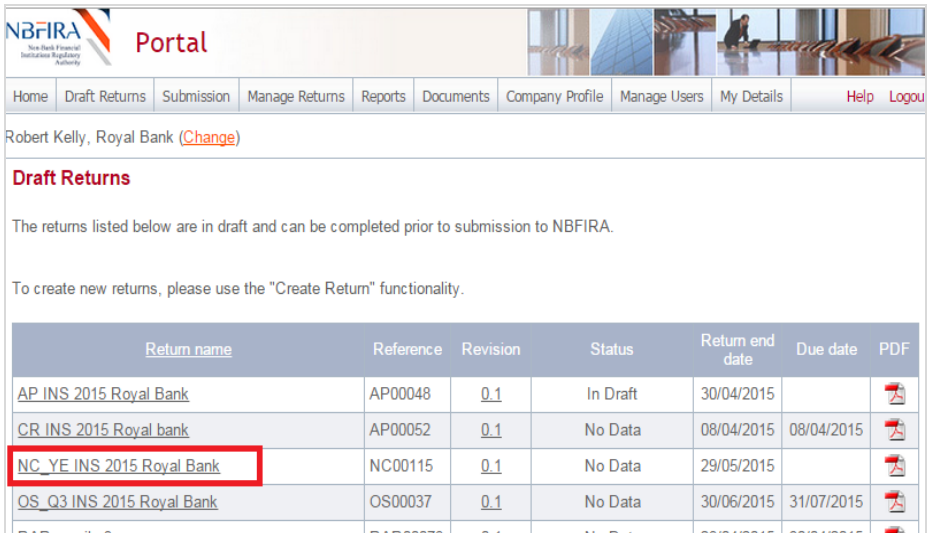
- Return name: (i.e. **NC_Type of Notification* Dept_Code** Year Name_of_Company/Entity**) - refer to the naming convention
- Select form set: (click on the required change notification)
- Proposed Effective date: (e.g 31/08/2015).

- d) Click *Create*. A message will be output that your return has been created successfully:








The screenshot shows the NBFIRA Portal interface. The user is Robert Kelly, Royal Bank. The main heading is "Return Created Successfully". Below this, a message states: "Your return 'NC_YE INS 2015 Royal Bank' has successfully been created with the reference 'NC00115'." It also provides instructions on how to access and submit the return.

- e) Now select *Draft Returns* and click on the return you have just created.



The screenshot shows the "Draft Returns" section of the NBFIRA Portal. It lists several draft returns in a table. The return "NC_YE INS 2015 Royal Bank" is highlighted with a red box.

Return name	Reference	Revision	Status	Return end date	Due date	PDF
AP INS 2015 Royal Bank	AP00048	0.1	In Draft	30/04/2015		
CR INS 2015 Royal bank	AP00052	0.1	No Data	08/04/2015	08/04/2015	
NC_YE INS 2015 Royal Bank	NC00115	0.1	No Data	29/05/2015		
OS_Q3 INS 2015 Royal Bank	OS00037	0.1	No Data	30/06/2015	31/07/2015	
P&P_email_2	P&P00070	0.1	No Data	30/04/2015	30/04/2015	

- f) You now need to input / upload all the required information, as follows. To upload the required backing documents:

- Click on the Change Notification return you just created.
- Select *Edit* beside the relevant change notification form.



The screenshot shows a notification for "NC_YE INS 2015 Royal Bank" with a status of "No Data". Below the notification, there is a list of documents. The document "Change of Fiscal Year End" is highlighted, and the "Edit" button next to it is highlighted with a red box.

- Select the first 'Browse' button.
- Select the file you wish to upload.

Change of Fiscal Year End ?

Entity Name: Royal Bank

Reporting Date: 29/05/2015

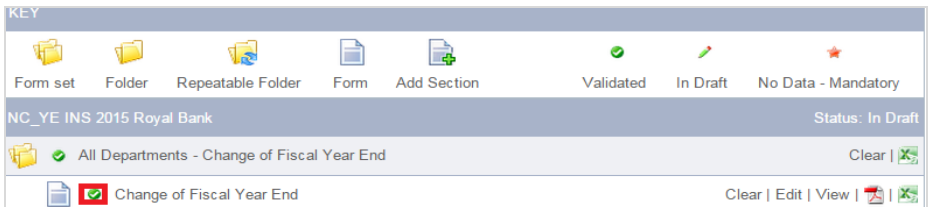
Please upload a scanned copy of the change in fiscal year end

Please upload any additional attachments.

- If you need to upload more files/documents, click *Add* to add more rows to the form.
 - Select the '*Browse*' button and upload all relevant documents.
- g) When you have completed all the required uploads, select *Validate & Save* to submit the notification form.

TIP: If you wish to upload but wish to validate at another time, then click the *Save Draft* button instead.

Successful validation will show as green ticks, as below:



- h) You must re-upload your Entity's corporate profile to include the change. The best and easiest way to do this (rather than doing it all afresh) is to go to *Submission* then *Submission History* – refer to the Commonly Asked Questions section (“Is There a Shortcut Way to Do The Corporate Profile Upload?”) for detailed instructions.
- i) When you have finished uploading your updated Corporate Profile, a Draft Return screen is displayed and a green tick indicates that your form has been validated:


Home	Draft Returns	Submission	Manage Returns	Reports	Documents	Company Profile	Manage Users	My Details	Help	Logout
------	---------------	------------	----------------	---------	-----------	-----------------	--------------	------------	------	--------









Robert Kelly, Royal Bank ([Change](#))

Draft Return






















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

Once all sections are completed and validated, the return can be submitted using the "Submit return" functionality under the "Submission" menu.

View Upload History 

KEY		
		
Form set	Folder	Repeatable Folder
		
Form	Add Section	Validated
		
In Draft	No Data - Mandatory	

NC_YE INS 2015 Royal Bank Status: Valid

		All Departments - Change of Fiscal Year End	Clear 
		Change of Fiscal Year End	Clear Edit View 
		Corporate Profile Details	Clear Upload Data 
		General Details	Clear Edit View 
		Service Providers	Clear Edit View 
		Key Persons	Clear Edit View 
		Insurance Details	Clear Edit View 

j) Select the 'Submission' menu option and select *Submit Return*.

Home	Draft Returns	Submission	Manage Returns	Reports	Documents	Company Profile	Manage Users	My Details	Help	Logout
------	---------------	------------	----------------	---------	-----------	-----------------	--------------	------------	------	--------

Robert Kelly, Royal Bank **Submit Return**

Draft Return

- Submission History
- Request Resubmission

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

k) Click *Submit* beside the return you have just created (or updated).

Home	Draft Returns	Submission	Manage Returns	Reports	Documents	Company Profile	Manage Users	My Details	Help	Logout
------	---------------	------------	----------------	---------	-----------	-----------------	--------------	------------	------	--------

Robert Kelly, Royal Bank ([Change](#))

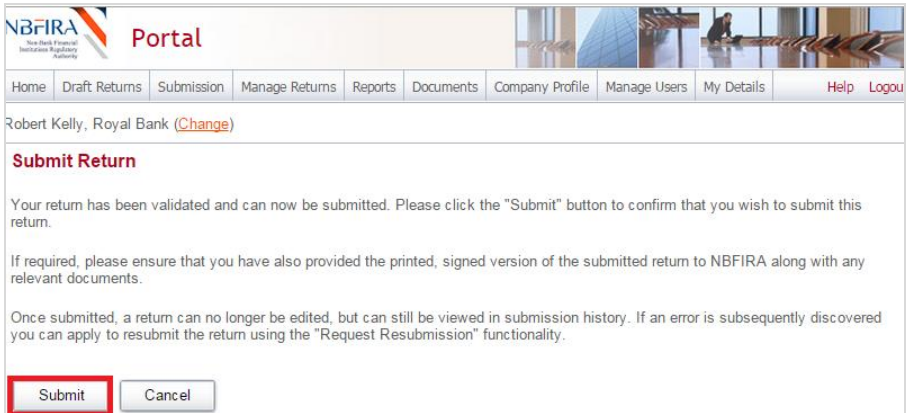
Submit Return

The returns that are ready for submission are listed below.

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

Return name	Reference	Revision	Return end date	Due date	Action
NC_YE INS 2015 Royal Bank	NC00115	0.1	29/05/2015		Submit

- l) Select *Submit* again – you will receive a confirmation message that your return has been submitted to NBFIRA.






The screenshot shows the NBFIRA Portal interface. At the top left is the NBFIRA logo. To its right is the word "Portal" in a large, bold, red font. Below the logo and title is a navigation menu with buttons for "Home", "Draft Returns", "Submission", "Manage Returns", "Reports", "Documents", "Company Profile", "Manage Users", "My Details", "Help", and "Logout". Below the navigation menu, the user's name and bank are displayed: "Robert Kelly, Royal Bank (Change)". The main content area is titled "Submit Return" in bold red text. Below this title, there are three paragraphs of text: "Your return has been validated and can now be submitted. Please click the 'Submit' button to confirm that you wish to submit this return.", "If required, please ensure that you have also provided the printed, signed version of the submitted return to NBFIRA along with any relevant documents.", and "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." At the bottom of the main content area, there are two buttons: "Submit" and "Cancel". The "Submit" button is highlighted with a red rectangular border.

2 Commonly Asked Questions



How Can I Obtain Assistance?

If you require any assistance, please contact one of the following:

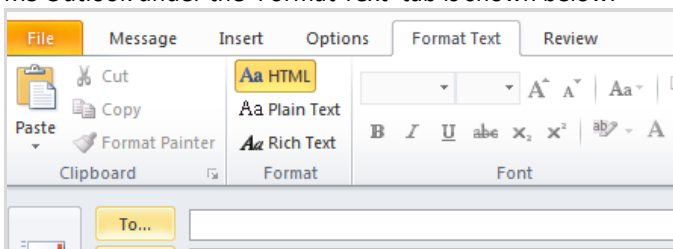
-  Your NBFIRA Regulatory Analyst: 3102595 /3686100 (request the department and/or analyst you require)
-  NBFIRA Help Desk: 3102595/3686100 (request the IT help desk)
-  NBFIRA Help Desk: ithelpdesk@nbfira.org.bw



What Are The Minimum Computer Requirements for RBSS?

The recommended minimum computer requirements for using NBFIRA RBSS Portal are:

- Microsoft Internet Explorer version 7 or above (recommended browser), or Firefox version 4 or above or Google Chrome version 10 or above.
- For viewing your forms in PDF (and printing where signatures are required) you will need a PDF viewer, such as Adobe Acrobat Reader (version 8.0 or above).
- Forms can be exported as spreadsheets. For this you will need Microsoft Excel 2003 or above (the viewer application for Excel will also work).
- A connection to a printer so you can print out hard copies of forms.
- To ensure that you are able to optimally receive the auto-emails, please set your emails to HTML or Rich Text mode (not Plain Text). An example of how to do this for MS Outlook under the 'Format Text' tab is shown below.





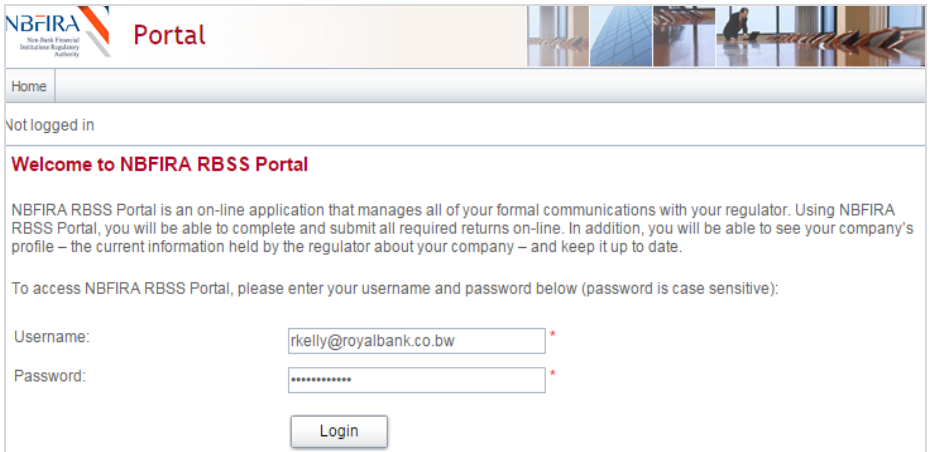
How Do I Log Into the RBSS System?

Note! To initially receive your assigned portal name & password, please contact NBFIRA.

- a) Launch NBFIRA RBSS Portal by entering into the address bar of your browser the URL <https://vmbw-ppdiis2/NBFIRARBSSPortal/Default.aspx>

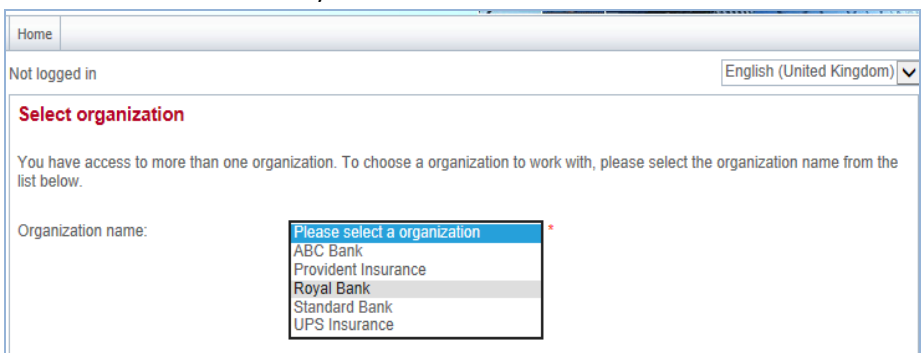


- b) Enter your *Username* and *Password* and click on *Login*



The screenshot shows the NBFIRA RBSS Portal login interface. At the top left is the NBFIRA logo. The page title is "Portal". Below the header, it says "Home" and "Not logged in". A red heading reads "Welcome to NBFIRA RBSS Portal". The main text explains that the portal is an on-line application for managing communications with the regulator. Below this, it instructs users to enter their username and password. The "Username:" field contains "rkelly@royalbank.co.bw" and the "Password:" field is masked with asterisks. A "Login" button is located at the bottom of the form.

- c) Select your Company Name (Entity) from the dropdown – the number of companies listed will be those to whom you have access to.



The screenshot shows the "Select organization" page. It includes the NBFIRA logo, "Home", and "Not logged in" status. A language dropdown menu is set to "English (United Kingdom)". The heading "Select organization" is in red. The text below explains that users can access multiple organizations and should select one from the list. The "Organization name:" field has a dropdown menu open, showing a list of organizations: "Please select a organization", "ABC Bank", "Provident Insurance", "Royal Bank" (highlighted), "Standard Bank", and "UPS Insurance".

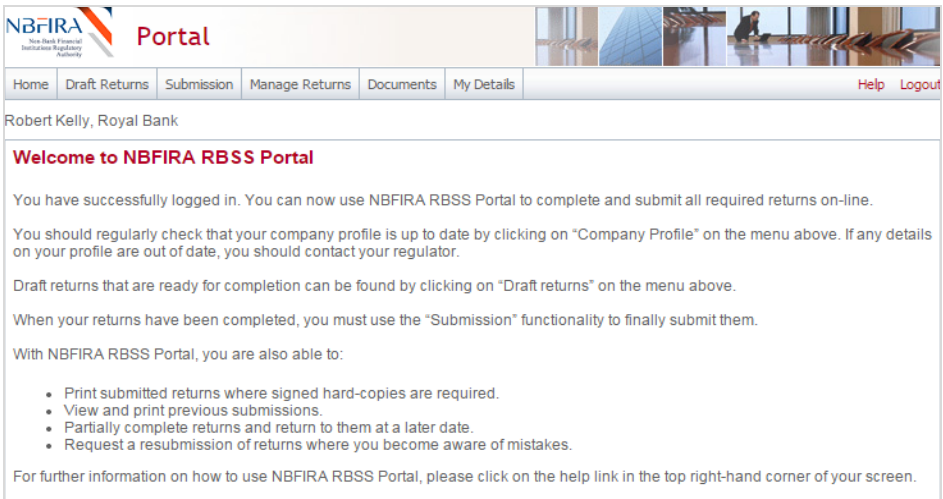
- d) Now click on the *Login* button:

Select organization

You have access to more than one organization. To choose a organization to work with, please select the organization name from the list below.

Organization name: *

e) This will bring you to the *Home* screen. You are now ready to manage your returns.



Portal

Home Draft Returns Submission Manage Returns Documents My Details [Help](#) [Logout](#)

Robert Kelly, Royal Bank

Welcome to NBFIRA RBSS Portal

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

You should regularly check that your company profile is up to date by clicking on "Company Profile" on the menu above. If any details on your profile are out of date, you should contact your regulator.

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 NBFIRA RBSS 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 NBFIRA RBSS Portal, please click on the help link in the top right-hand corner of your screen.



How Can I Change/Reset My Password?

If you need to change your password, you can change it after logging in, as follows:

- Navigate to the *Home* screen as detailed in the sub-section "Logging into".
- Navigate to *My Details > Update My Password*.



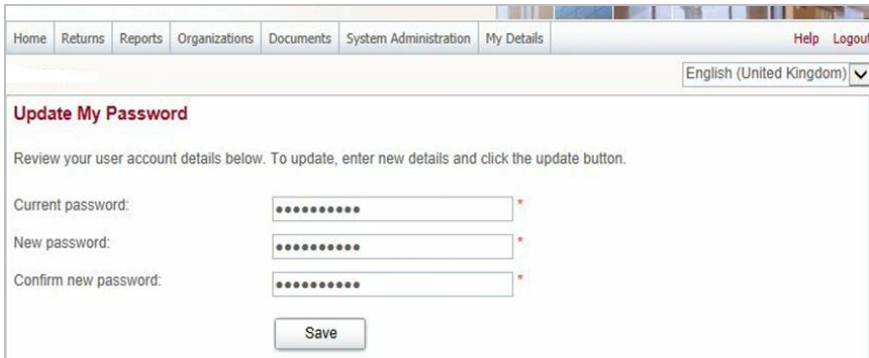
Home Returns Reports Organizations Documents System Administration **My Details** [Help](#) [Logout](#)

View/Edit My Details

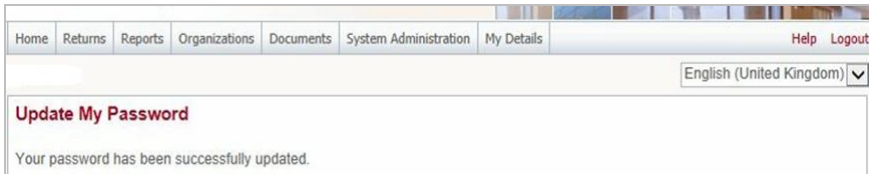
[Update My Password](#)

- This will bring you to the *Update My Password* screen.
- Enter your current password in *Current password*.
- Enter your new password in *New password*.
- Enter your new password in *Confirm new password*.

g) Click on *Save*.



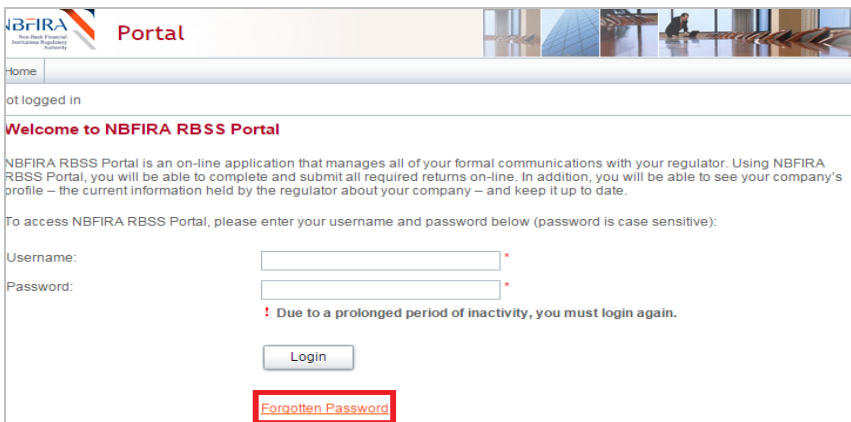
h) A message confirming your password reset will be displayed.



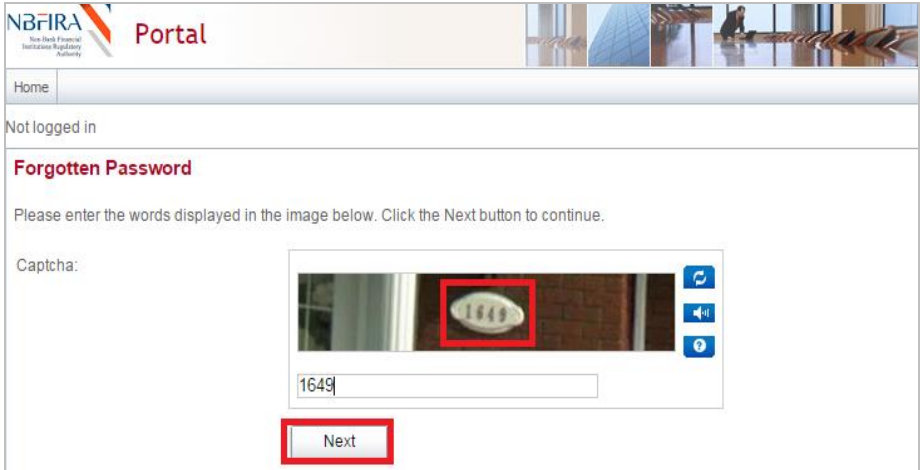

Help! I Have Forgotten My Password!

If you have forgotten your password then you are required to reset it. This can be initiated from the login page.

- a) Launch the NBFIRA RBSS Portal as per normal by entering the URL in the address bar of the browser.
- b) Click on “Forgotten Password” link on the *Welcome* screen.



- c) Input the captcha details, and click *Next*.



NBFIIRA Portal

Home

Not logged in

Forgotten Password

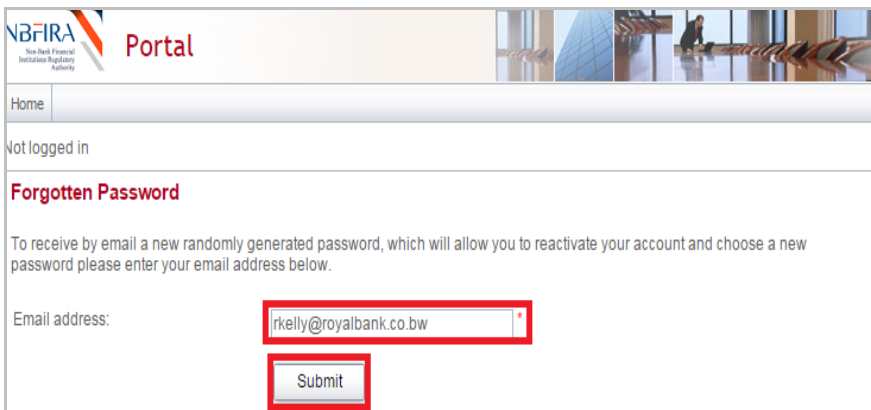
Please enter the words displayed in the image below. Click the Next button to continue.

Captcha:

1649

Next

- d) This will bring you to *the Forgotten Password* screen.
- e) Enter your email address in *Email address*.
- f) Click on *Submit* button.



NBFIIRA Portal

Home

Not logged in

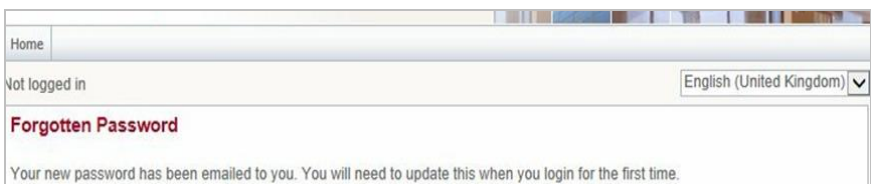
Forgotten Password

To receive by email a new randomly generated password, which will allow you to reactivate your account and choose a new password please enter your email address below.

Email address: rkelly@royalbank.co.bw

Submit

- g) A message is displayed indicating your password has been sent to your e-mail account.
- h) Click on the *Home* tab in RBSS Portal to navigate to the *Welcome* screen.



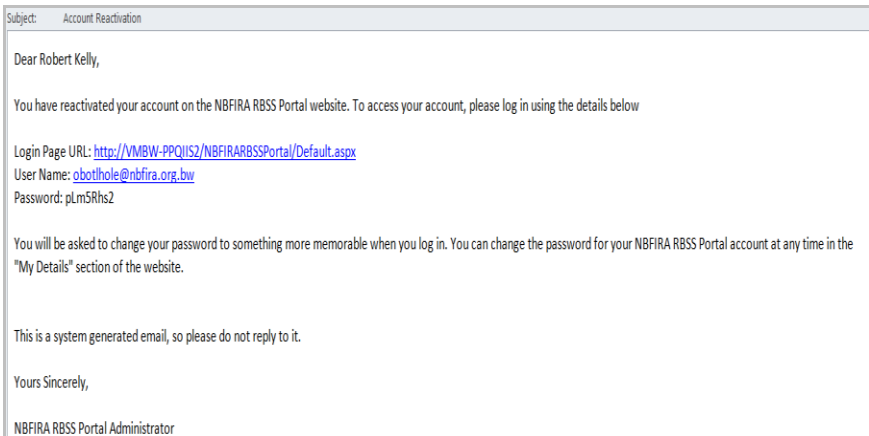
Home

Not logged in English (United Kingdom)

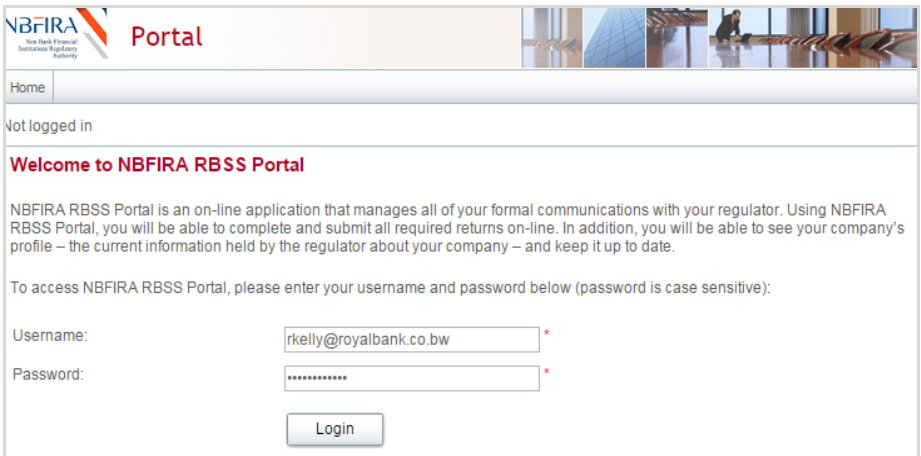
Forgotten Password

Your new password has been emailed to you. You will need to update this when you login for the first time.

- i) Open the Password reset email that you received from the RBSS system administrator.



- j) Enter your username in *Username*.
- k) Copy the password from the email and paste it in *Password*.
- l) Click on *Login*.



- m) This will bring you to the *"Update My Password"* screen. You will now need to change the supplied password to your own.
- n) Copy the same supplied password in *Current password*.
- o) Enter your new password in *New Password:* and *Confirm new password*.
- p) Click on *Save*.

Update My Password

You must update your password before continuing.

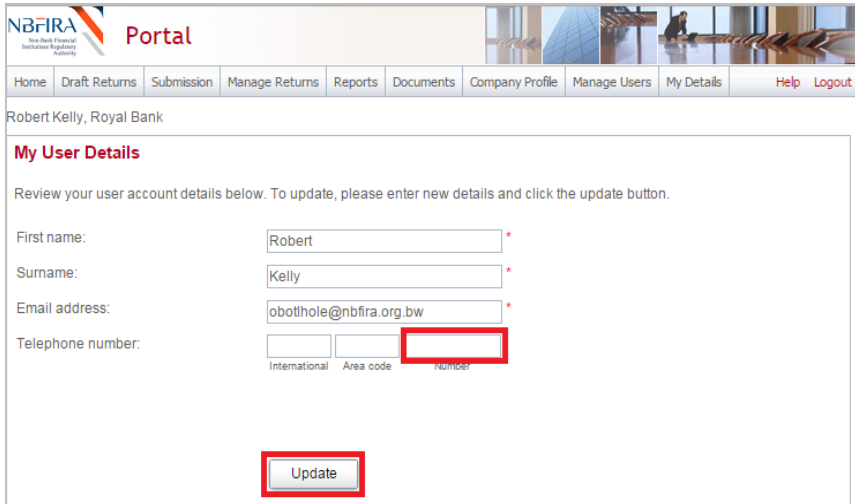
Review your user account details below. To update, enter new details and click the update button.

Current password: *

New password: *

Confirm new password: *

q) Now input additional information if necessary, and click *Update*:



Portal

Home Draft Returns Submission Manage Returns Reports Documents Company Profile Manage Users My Details Help Logout

Robert Kelly, Royal Bank

My User Details

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

First name: *

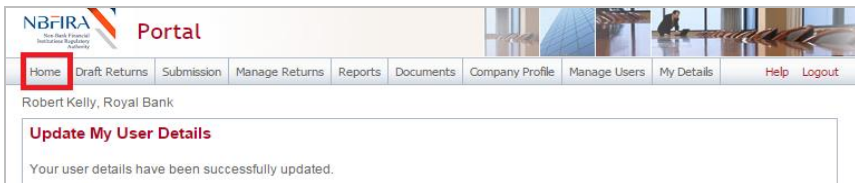
Surname: *

Email address: *

Telephone number:

International Area code Number

r) A message confirming the update of your account details is displayed.



Portal

Home Draft Returns Submission Manage Returns Reports Documents Company Profile Manage Users My Details Help Logout









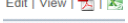



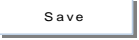






Robert Kelly, Royal Bank

Update My User Details

Your user details have been successfully updated.



What Do the System Common Buttons Mean?

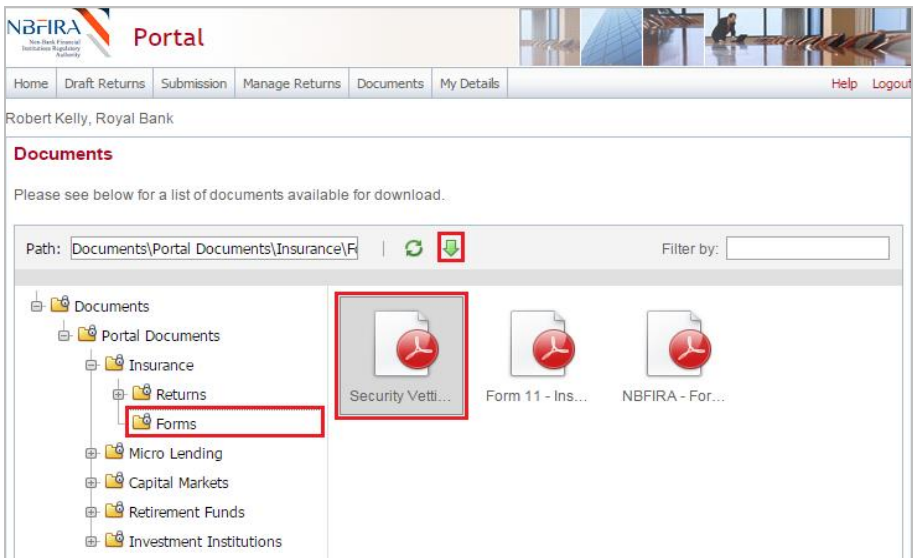
Name	Icon	Description
Back		Takes you the previous page; note that you cannot use this for going back to resubmit a form etc., use the menu toolbar instead
Browse		Select a file to upload
Cancel		To cancel a process performed in a return
Checkbox	<input type="checkbox"/>	Used to select an item
Confirm		To verify that the details entered are correct and you can move to the next level
Create		To create a new return
Date		When you are asked to input a date, there are 2 ways in which to do so: a) Manually by typing directly into the calendar field: The data may be typed in, following the format of dd/mm/yyyy to signify, respectively: b) Using the pop-up calendar date picker: Alternatively the date can be selected using the calendar pop-up, accessed using the button.
Done		For completion of task to another task
Dropdown		Allow to select from a list
Edit		To make changes to a file
Insert Row		To insert an additional row
Mandatory		It is a required field
Radio Button	<input type="radio"/>	Used to select an item
Refresh		To refresh the screen
Save		To save a process performed in a return
Save Draft		To save a process performed as draft in a return
Submit		Allows you to submit a return
Undo		A limited way to undo a task (will undo one task at a time only if no data transfer was involved in the task)
Upload		To load a file into the system
Validate & Save		To validate and save a form (prior to submitting)
View		To view a document



How Do I Download the Required NBFIRA Forms?

There are standard documents that are available for viewing and downloading, which are needed for particular type of returns.

- a) In the NBFIRA RBSS Portal, click on the *Documents* tab and view the forms that are available for downloading.
- b) Select the folder “Portal Documents”.
- c) Select the industry your Entity belongs to, then click on *Forms*.

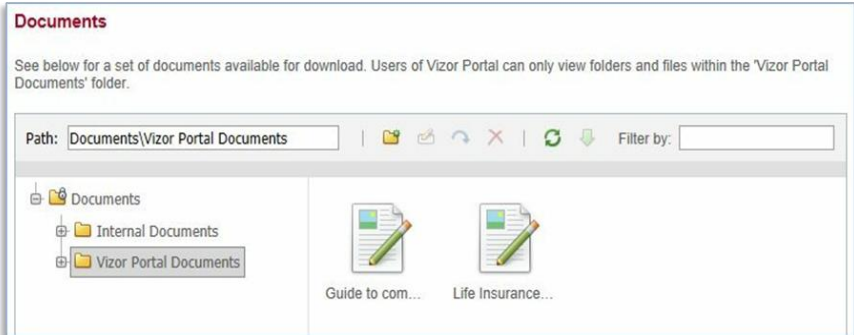


The screenshot shows the NBFIRA RBSS Portal interface. At the top, there is a navigation bar with tabs: Home, Draft Returns, Submission, Manage Returns, Documents, My Details, Help, and Logout. Below the navigation bar, the user's name 'Robert Kelly, Royal Bank' is displayed. The main content area is titled 'Documents' and contains the text 'Please see below for a list of documents available for download.' Below this text is a file explorer view. The path bar shows 'Documents\Portal Documents\Insurance\F'. The left sidebar shows a tree view of folders: Documents, Portal Documents, Insurance, Returns, Forms (highlighted with a red box), Micro Lending, Capital Markets, Retirement Funds, and Investment Institutions. The main area shows three document icons: 'Security Vetti...', 'Form 11 - Ins...', and 'NBFIRA - For...'. A red box highlights the 'Download' arrow in the toolbar above the document icons.

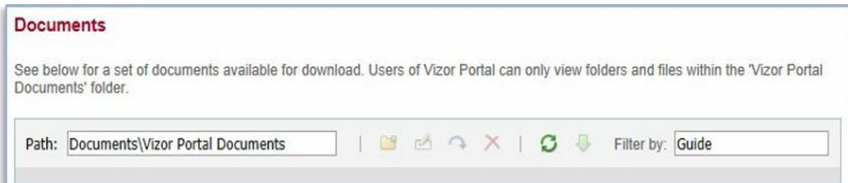
- d) Select the document you require by clicking on the *Download* arrow in the toolbar to download and view the document. You can now save the document and use it as part of the return preparation.

A generic example is shown below to demonstrate the method of filtering the available documents:

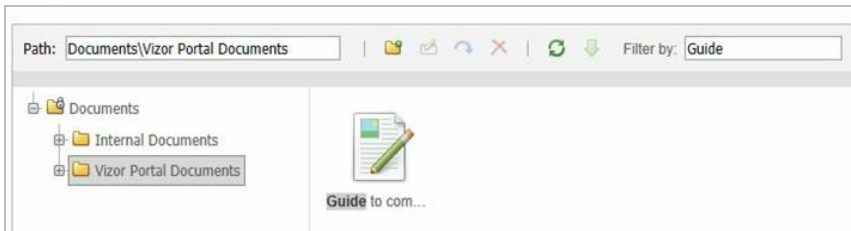
- As above, navigate to the subfolder you require.



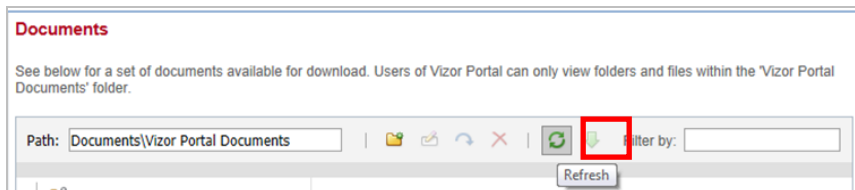
- You use the *Filter by* field – for example, enter the keyword “Guide”.



- The document list refreshes to display the document conforming to your filter.



- Click on the Refresh icon to clear the search and to view all the documents in the folder.





How Do I Upload Completed Documents?

Often a return requires the uploading of additional information.









Tip! If at any point you wish to re-upload the data, you can click the *Clear* link beside the *Upload Data* link – but this will clear the data from ALL the sections, and you will need to restart the upload process.

- a) You need to look for the upload button and click on it (such as shown below - the *Upload Data* button).












Draft Return

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


Once all sections are completed and validated, the return can be submitted using the "Submit return" functionality under the "Submission" menu.

KEY						
						
Form set	Folder	Repeatable Folder	Form	Add Section	Validated	In Draft
						
						No Data - Mandatory


OS_Q3 INS 2015 Royal Bank Status: No Data

		Insurance - Long Term Quarterly LR1Q	Upload Data 
		Comprehensive Income	View  
		Assets	View  

- b) Click on the *Browse* button.



Portal



Home
Draft Returns
Submission
Manage Returns
Documents
My Details
Help Logou

Robert Kelly, Royal Bank ([Change](#))

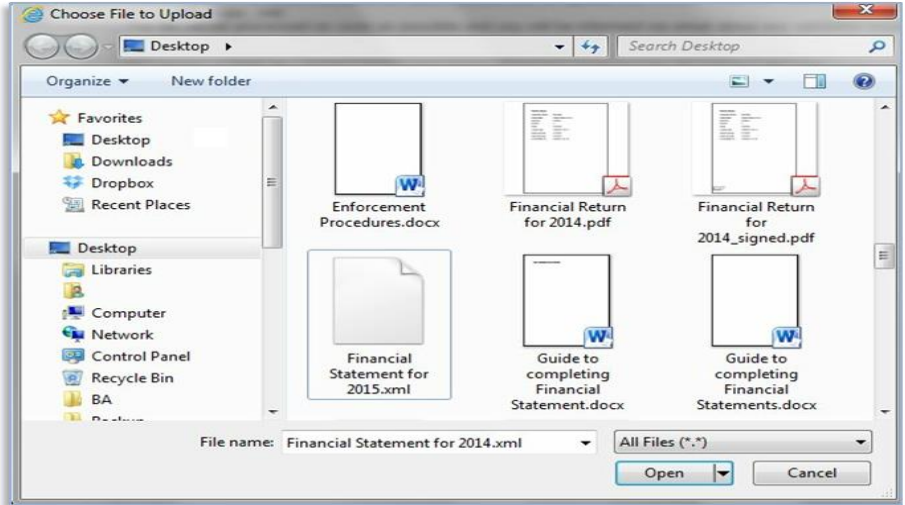
Upload Data

Please select a file which contains the data that you wish to upload into 'Insurance - Long Term Quarterly LR1Q'. Allowed file types are: .xls, .xlsx

The file you select will be processed immediately and any validation issues will be displayed below.

Select file to upload: Browse...

- c) Select the file you need to upload from your desktop or shared folders.
- d) Click on the *Open* button in *Choose File to Upload* dialog.




- e) A confirmation message is displayed on successfully uploading the data. Continue with your processing.

Upload Data

Please select a file which contains the data that you wish to upload into 'Insurance - Long Term Quarterly LR1Q'. Allowed file types are: .xls, .xlsx
 The file you select will be processed immediately and any validation issues will be displayed below.

Select file to upload:

Successfully uploaded data.


 LR1Q_Current.xlsx (42.4KB)





















- f) Click *Back* to check that your return has now received the Validated Status (look for the green tick) in each section where an upload is required.

Draft Return

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

Once all sections are completed and validated, the return can be submitted using the "Submit return" functionality under the "Submission" menu.

View Upload History 

KEY									
Form set	Folder	Repeatable Folder	Form	Add Section	Validated	In Draft	No Data - Mandatory		
OS_Q3 INS 2015 Royal Bank Status: In Draft									
		Insurance - Long Term Quarterly LR1Q					Clear Upload Data 		
		Comprehensive Income					Clear View 		
		Assets					Clear View 		
		Liabilities					Clear View 		
		Comprehensive Income (Cumulative)					Clear View 		



But I Made A Mistake! Can I Resubmit?

If you have found that you have submitted a return in error, you can resubmit it, but the process now restarts again. You are advised to contact your NBFIRA Regulatory Analyst for assistance.

- a) Click on *Request Resubmission* under the *Submission* tab.

Request Resubmission

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

Return name: *All Departments Notification form 1 Tshepaone*

Revision of return: *1.0*

Reasons for resubmission: *

- b) Find and select the return you wish to resubmit.
- c) Input the reason for your resubmission.
- d) You will be asked to confirm this, as it will overwrite what has been submitted previously if your request will be granted. When you have confirmed this, a resubmit message will be output. Your request will be reviewed, and you will receive the resulting “grant request” or “deny request” email notification.
- If your request is **granted**, you will need to restart the process with a fresh submission.
 - If your request is **denied**, the process will continue with the already submitted return
 -



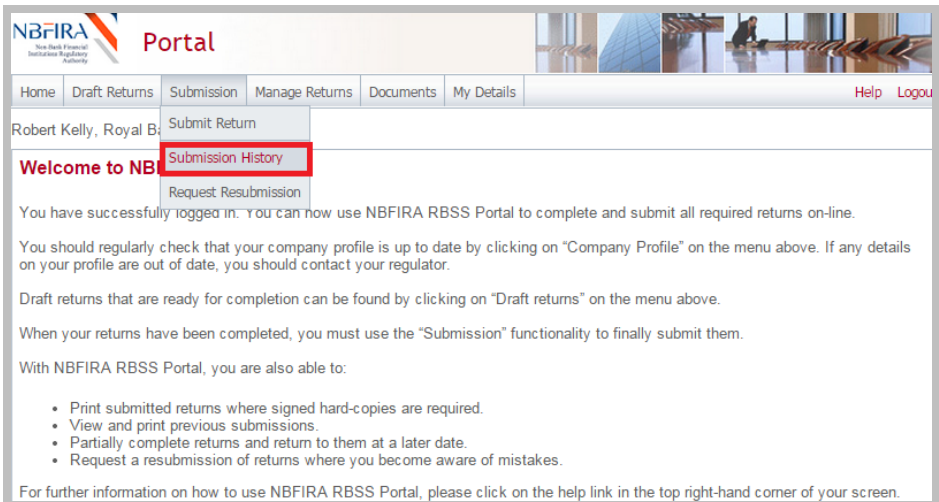
I Want to Withdraw My Corporate Registration Application

At any point you may choose to withdraw your application. You will need to contact NBFIRA formally by email and NBFIRA will then cancel your application.



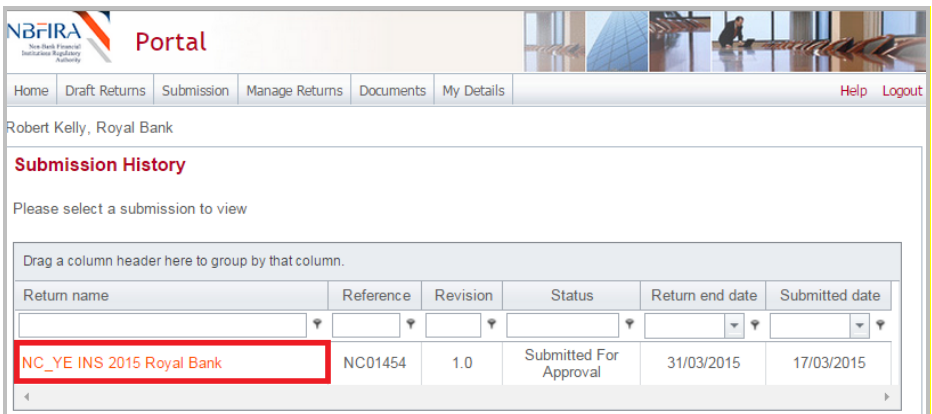
Is There a Shortcut Way to Do The Corporate Profile Upload?

- a) When changing your corporate profile (i.e. such as general details, adding new key persons etc.), you will have to refresh (by means of re-uploading) your Entity's corporate profile to include the changes or additions. The best and easiest way to do this (rather than doing it all afresh) is to go to *Submission* then *Submission History*.



The screenshot shows the NBFIRA RBSS Portal home page. The user is logged in as Robert Kelly, Royal Bank. The navigation menu includes Home, Draft Returns, Submission, Manage Returns, Documents, and My Details. The 'Submission' menu is open, and 'Submission History' is highlighted with a red box. The main content area displays a welcome message and instructions on how to use the portal, including links to draft returns and submission functionality.

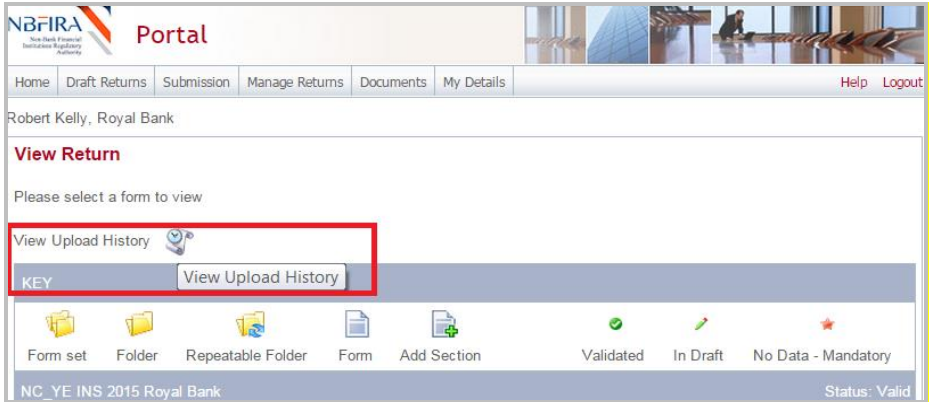
- b) Click on the latest submitted return to open it.



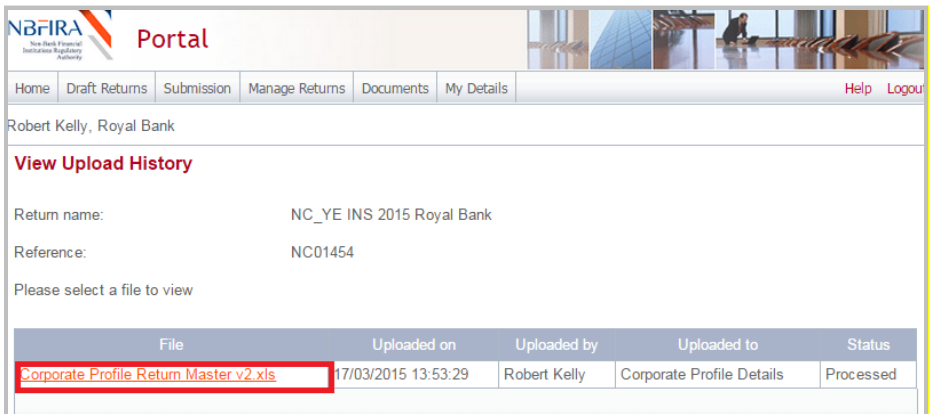
The screenshot shows the 'Submission History' page. The user is logged in as Robert Kelly, Royal Bank. The page displays a table of submitted returns. The 'Submission History' link is highlighted with a red box. Below the table, there is a section for selecting a submission to view.

Return name	Reference	Revision	Status	Return end date	Submitted date
NC_YE INS 2015 Royal Bank	NC01454	1.0	Submitted For Approval	31/03/2015	17/03/2015

- c) Click on the icon next to View Upload History:



d) Click on the file to download it and save it.



File	Uploaded on	Uploaded by	Uploaded to	Status
Corporate Profile Return Master v2.xls	17/03/2015 13:53:29	Robert Kelly	Corporate Profile Details	Processed

e) Make changes to the downloaded file **by making the required changes**.

f) Go to 'Upload Data' besides Corporate Profile Details and upload the updated Corporate Profile Spreadsheet. A message will appear to confirm that the file has been successfully uploaded. Then click back. A Draft Return screen is displayed and a green tick indicates that your form has been validated*

* If you wish to check that the validation has been completed successfully:

- Click *Upload Data* next to the *Corporate Profile Details* section.
- Click *Browse* and select the *Corporate Profile Details* template
- Click 'Back' – the Return screen is displayed, with green ticks for all sections and the return status has changed to 'Valid'.



When I Get A Notification From NBFIRA RBSS, What Must I Do?

Whenever your Entity receives a notification email (for instance, regarding **request for additional information**, regarding the **regulatory enforcement action** that has been opened against your Entity **etc.**), open the NBFIRA RBSS portal link and login using your allocated portal address and password.

- a) The Homepage will show the same notification which you have just received.
- b) Navigate to *Draft Returns* and select the return about which you received notification.
- c) Select *Edit* beside the Response document and complete the form (including any proof of payment when specifically requested to do so).

Regulatory action response documents

Entity Name: Tshepaone Entity 4

Reporting Date: 23/09/2014

Please upload a scanned copy of the proof of payment / response letters.

Please upload any additional attachments.

Add

- d) Click on the *Browse* button for any uploads that you wish to do.
- e) Select the file you need to upload from your computer.
- f) Click on the *Open* button in *Choose File to Upload* dialog. A confirmation message is displayed on successfully uploading the data. (The system may flag errors if you have entered text where numbers should be entered, or if you have entered numbers larger than the allowed maximum number of digits).
- g) (If you wish to re-upload the data, you can click the *Clear* link beside the *Upload Data* link – but this will clear the data from ALL the sections, and you will need to restart the upload process).
- h) Click the *Validate & Save* button.
- i) Click *Back* to check that your return has now received the Validated Status (look for the green tick) in each section where an upload is required.

- j) The return you have completed/updated should now state *Submit* beside it. When you are satisfied that everything is in place for submission to NBFIRA, select the *Submission* menu from the top of the screen and click *Submit Return*. Your submission will be confirmed. Note that once you have submitted a return, you can no longer amend it.

If you have any difficulties, or wish to resubmit your return, contact your NBFIRA Regulatory Analyst for assistance.



How Do I Notify NBFIRA About a Complaint?

There are 2 ways in which complaints are submitted to NBFIRA:

- a) All entities need to report to NBFIRA regarding the complaints which they have directly received – the entity will submit the complaints received as part of their quarterly returns (monthly for Micro Lending Entities).

or

- b) Complaints raised by the public directly to NBFIRA – the following steps detail how this is done by any member of the public:
- Access the NBFIRA website <https://rbss.nbfira.org.bw> and enter the number displayed on the screen (*captcha*).
 - Click on the *Complaints* link.
 - This will take you to a complaints screen.
 - Enter the name of the Department and Entity against which you wish to lodge the complaint and complete the remainder of the complaints form.

Make a Complaint

Please use the form below to submit a complaint.

Complaints Form

Department:	<input type="text" value="▼"/> *
Regulated Entity:	<input type="text" value="▼"/> *
Other (Those not on drop down list):	<input type="text"/>
Complaint Registration Form	
Complaint Reference / Contract Number:	<input type="text"/>
Name of Complainant:	<input type="text"/> *
Omang Details (if Botswana citizen):	<input type="text"/>
Passport Details (if not Botswana citizen):	<input type="text"/>
Complainant: Email	<input type="text"/>
	<input type="text" value="▲"/> *

- Click the *Submit* button to submit the complaint. An auto-email will be sent to NBFIRA management.

If you have any queries or require assistance, contact NBFIRA IT Helpdesk.