

LH Portal for Branches



Guidelines for Branches to Upload Supervisory Reporting Data through the LH Portal

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UPLOAD OF SUPERVISORY REPORTING MODULES

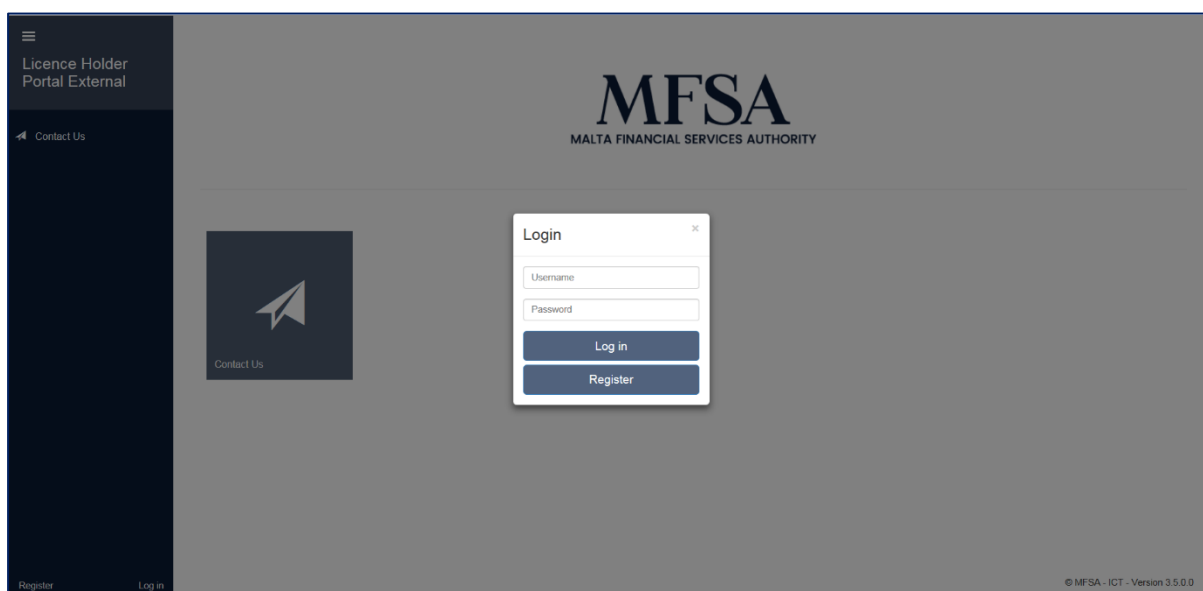
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Upload of Supervisory Reporting Modules

1. Sign in

Sign in to LH Portal through the below link using the user credentials.

<http://lhportal.mfsa.com.mt/>



2. File upload

Once successfully signed in, select ITS on Supervisory Reporting project in File Uploads.

File Uploads

Use the feature below to upload files to the MFSA server. It is important that all file names are in the appropriate convention.

Licence Holder

Project

ITS on Supervisory Reporting

Files:

Choose File

No file chosen

Upload File(s)

Guidelines on File Naming Convention

1. Zip file
Required format: BankDesignatedCode_MmmYYYY_ScopeOfConsolidation_ReportingFramework_ModuleCode_LEI
 Example: BOV_Dec2018_IND_COREP_LE_529900RWC8ZYB066JF16

2. XBRL file(within zip file)
Required format: LEI_CountryCode_Framework_Module_ReferenceDate_Timestamp
 Example: 529900RWC8ZYB066JF16_MT_COREP020302_CORPLEIND_2018-12-31_20190130132536000

Please note that you are only allowed to upload 1 ZIPPED(.ZIP) file not exceeding 25Mb.

Branches are required to upload Supervisory Reporting Module in a zip file including excel templates and 1 XBRL file for the whole module.

The XBRL filename and ZIP filename should follow the file naming convention as outlined in sections 3.1 and 3.2 below.

3. File Naming Conventions

3.1 XBRL File Naming Convention

The following file naming convention should be used for the XBRL file within submissions of Supervisory Reporting Modules:

LEI_CountryCode_Framework_Module_ReferenceDate_Timestamp

where:

- LEI: 20-character Legal Entity Identifier of the parent entity
- CountryCode: MT
- Framework: Version of the framework in use
 - For ITS v3.0, the below frameworks apply:
 - ✓ For module AE = AE010101
 - ✓ For module FINREP (both IFRS and GAAP) = FINREP030000
 - ✓ For module OF = COREP030000
 - ✓ For module REMHE the same framework as ITS v2.10 applies
 - For ITS v2.10 the below frameworks apply:
 - ✓ For module REMHE = REM010001 (applies only to branches of credit institutions in third countries)
 - ✓ For all other modules, same framework as ITS v2.9 applies
 - For ITS v2.9 the below frameworks apply:
 - ✓ For module OF = COREP020401 (applicable as from reference date March 2020)
 - ✓ For module FINREP using IFRS = FINREP020301 (applicable as from reference date June 2020)
 - ✓ For module FINREP_AE = AE010005 (same as ITS v2.8)
 - For ITS v2.8, applicable as of December 2018 reference date, the below frameworks apply:
 - ✓ For module OF = COREP020302
 - ✓ For module FINREP using IFRS = FINREP020202
 - ✓ For module FINREP_AE = AE010005
 - For ITS v2.7, the below frameworks apply:

- ✓ For module CA = COREP020300
- ✓ For module FINREP using IFRS = FINREP020201
- ✓ For module FINREP_AE = AE010004

The framework codes change whenever an updated ITS version is in place. The Authority will be providing the respective updates, when applicable.

In case a resubmission is due for version prior to ITS v2.7, reporting agents are kindly requested to contact the Authority to provide such framework codes.

- Module: The code of the module being submitted, followed by the consolidation scope (IND)
 - For AE module = AEIND
 - For FINREP_IFRS9 module = FINREP9INDIFRS
 - For FINREP_IFRS module = FINREPINDIFRS (*applies only for FINREP resubmissions for reference dates prior to IFRS9 implementation*)
 - For OF module = COREPOFIND
 - For CA module = COREPIND (*applies only for CA resubmissions for reference dates prior to December 2018*)
 - For REMHE module = REMHE (*applies only to branches of credit institutions in third countries*)
- ReferenceDate: The reference date of the module being submitted, in the format YYYY-MM-DD
- Timestamp: 17–digit timestamp of the XBRL file creation, in the format YYYYMMDDhhmmsszzz, where z denotes milliseconds and for which zeroes would suffice.

In cases in which XBRL filename does not match the naming convention, as specified above, the upload will not be successful.

3.2 Zip File Naming Convention

The following file naming convention should be used for the submission of Supervisory Reporting Modules:

BankDesignatedCode_MmmYYY_ScopeOfConsolidation_ReportingFramework_
ModuleCode_LEI

where:

- BranchDesignatedCode: 3 letter code assigned to the institution
- MmmYYYY: reference date of the module e.g. Dec 2018
- ScopeOfConsolidation: IND for Individual
- ReportingFramework_ModuleCode: the framework followed by module code:
 - For OF module = COREP_OF

- For CA module = COREP_CA (applies only for CA resubmissions for reference dates prior to December 2018)
 - For FINREP module = FINREP
 - For AE module = FINREP_AE
 - For REMHE module = REMHE
- LEI: 20-character Legal Entity Identifier of the parent entity

In cases in which the ZIP filename does not match the naming convention as specified above, the upload will not be successful.

3.3 Resubmissions

For resubmissions, the ZIP filename should include a 'REVxx', where x denotes a digit from 0 to 9.

BankDesignatedCode_MmmYYY_ScopeOfConsolidation_ReportingFramework_
ModuleCode_REVxx_LEI

In case of resubmissions, branches are also being reminded to resubmit the excel templates for the whole module, not only the templates for which revisions were expected.

This also means that the resubmitted XBRL file should include data relating to all the applicable templates of the specific module.

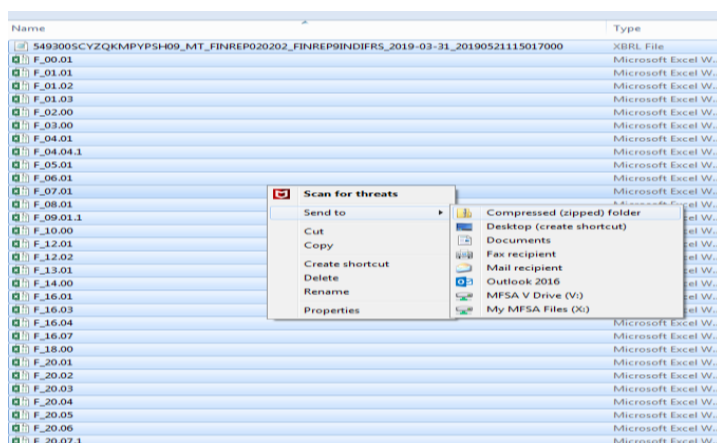
4. Compressing modules for submission

Modules for submission through LH Portal are required to be compressed into ZIP files as per below procedure.

- i. Highlight all the templates and reports within the module

| Name | Type |
|---|----------------------|
| 5493005CVZQKMPYPH09_MT_FINREP020202_FINREP9INDIFRS_2019-03-31_20190521115017000 | XBRL File |
| F_00.01 | Microsoft Excel W... |
| F_01.01 | Microsoft Excel W... |
| F_01.02 | Microsoft Excel W... |
| F_01.03 | Microsoft Excel W... |
| F_02.00 | Microsoft Excel W... |
| F_03.00 | Microsoft Excel W... |
| F_04.01 | Microsoft Excel W... |
| F_04.04.1 | Microsoft Excel W... |
| F_05.01 | Microsoft Excel W... |
| F_06.01 | Microsoft Excel W... |
| F_07.01 | Microsoft Excel W... |
| F_08.01 | Microsoft Excel W... |
| F_09.01.1 | Microsoft Excel W... |
| F_10.00 | Microsoft Excel W... |
| F_12.01 | Microsoft Excel W... |
| F_12.02 | Microsoft Excel W... |
| F_13.01 | Microsoft Excel W... |
| F_14.00 | Microsoft Excel W... |
| F_16.01 | Microsoft Excel W... |
| F_16.03 | Microsoft Excel W... |
| F_16.04 | Microsoft Excel W... |
| F_16.07 | Microsoft Excel W... |
| F_18.00 | Microsoft Excel W... |
| F_20.01 | Microsoft Excel W... |
| F_20.02 | Microsoft Excel W... |
| F_20.03 | Microsoft Excel W... |
| F_20.04 | Microsoft Excel W... |
| F_20.05 | Microsoft Excel W... |
| F_20.06 | Microsoft Excel W... |
| F_20.07.1 | Microsoft Excel W... |

- ii. Right click to compress the selected files



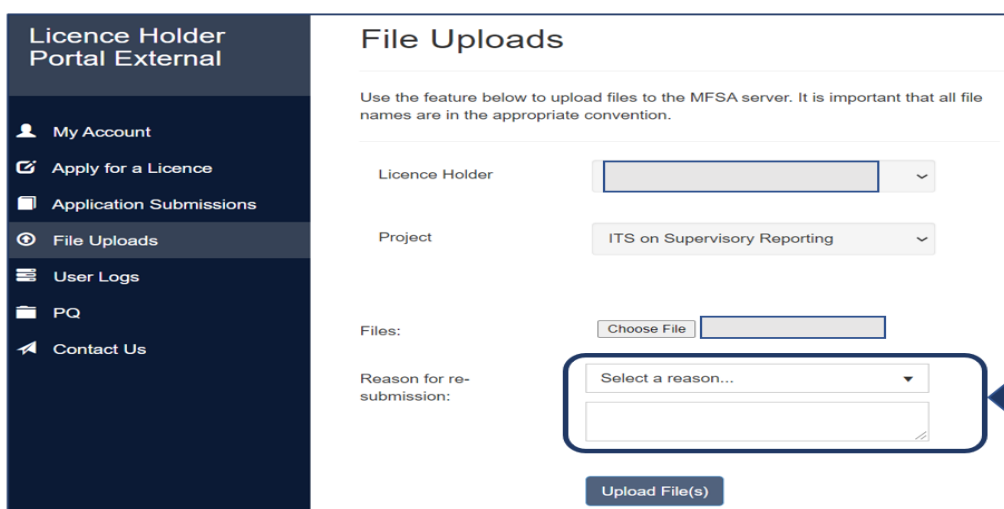
- iii. Rename the newly created ZIP file in line with ZIP file naming convention outlined in section 3.2

- iv. Submit this ZIP file through the LH Portal

Note that compressing the folder instead of its contents will generate an error in LH Portal and the file upload will not be successful.

5. Resubmissions

Whenever a resubmission is made through the LH Portal, the user will be prompted to provide a reason for the resubmission.



Institutions are required to select a reason for the resubmission from the drop-down menu as well as provide additional comments as outlined below. Both fields are mandatory for resubmissions.

The below table shows the options in the drop-down menu, the criteria for selecting each option as well as the additional information expected in the free text section. Comments should be limited to a concise summary of the reason for resubmission.

| Drop-down Menu | Criteria | Expected additional comments |
|--|---|---|
| Data quality amendments requested by the Authority | Resubmission due to data quality issues amended following a request by the MFSA | As applicable: <ul style="list-style-type: none"> - list of amended failing validation rules/data quality checks - brief description of amendments - other relevant information <i>E.g. v0123_m, v0456_m and inclusion of data in C_04.00</i> |
| Data quality amendments initiated by the entity | Resubmission due to data quality issues amended following recognition by the entity | As applicable: <ul style="list-style-type: none"> - list of amended failing validation rules/data quality checks - brief description of amendments - other relevant information <i>E.g. amendments in C_07.00</i> |
| Post-audit figures | Resubmission with post-audit figures | Declaration that the resubmission includes post-audit figures, and hence reconciled with the entity's financial statements <i>E.g. Module revised with post-audit figures which have been reconciled with published financial statements</i> |
| Post-audit figures and data quality amendments | Resubmission with post-audit figures and data quality amendments | Declaration that the resubmission includes post-audit figures, and |

| | | |
|-------------------------|---|---|
| | following a request by the MFSA and/or following recognition by the entity | hence reconciled with entity's financial statements AND as applicable: - list of amended failing validation rules/data quality checks - brief description of amendments - other relevant information <i>E.g. Module revised with post-audit figures which have been reconciled with published financial statements AND inclusion of data in C_04.00</i> |
| Technical issues | Resubmission due to technical issues encountered when uploading previous (re)submission/s to the MFSA | Upload date and time of previous (re)submission/s which was/were not processed – this can be extracted from LH Portal User Logs <i>E.g. Previous resubmission uploaded on 18/08/2020 13:50 not processed</i> |
| Completeness amendments | Resubmission due to completeness checks of previous (re)submission/s: - template(s) not required but reported - template(s) required but not reported | Case leading to resubmission together with the list of templates added/omitted. <i>E.g. Template required but not reported – C_02.00 AND templates not required but reported – C_06.01, C_06.02</i> |
| Other | Resubmission due to another reason not captured in any of the above options | Brief description of the reason for the resubmission |

If the reason for the resubmission is not provided, the upload will not be successful.

In case of resubmissions, institutions are being reminded to resubmit the excel templates for the whole module, not only the templates for which revisions were expected.

This also means that the resubmitted XBRL file should include data relating to all the applicable templates of the specific module.

6. File submitted to Queue

- i. Following a submission through LH Portal, a system notification in LH Portal will appear that indicates that file/s successfully submitted to queue.

System Notification

File/s successfully submitted to queue.

- ii. If a submission through LH portal fails first level checks an automated email is received indicating which error occurred and failed to upload.

File Queuing: Files upload result

File Queuing: Files upload result

The upload result of the following file(s)
_AUG2021_IND_COREP_OF_ (2).zip is:

File name invalid - Zip file error: Something wrong with LEI code. LEI code should have 20 letters
 e.g.

7. Successful Submissions

7.1 Email notification of the upload

Following a successful submission through LH Portal, branches will receive two emails notifications, confirming the upload.

File Queuing: Files upload result

File Queuing: Files upload result

The upload result of the following file(s)
_SEP2021_CON_GSII_REV04_ zip is:

Uploaded successfully

Notification

XBRL file has been successfully validated

has uploaded the following files for project ITS on Supervisory Reporting and Licence Holder :

_SEP2021_CON_GSII_REV04_

7.2 Status in LH Portal

For successful submissions, the status in LH Portal will show "File uploaded to MFSA".

Licence Holder Portal External

- My Account
- Apply for a Licence
- Application Submissions
- File Uploads
- User Logs**
- PQ

User Logs

A list of files uploaded by users that form part of your entity.

Search
 ⓘ Start typing part of the File name or U

| Filename | Project | Upload Date | Username | Status |
|--|---------|------------------------|----------------------|-----------------------|
| <input type="text"/> _JUN2021_IND_C19MORATORIA_5493002XS S7K7RHN1V37_ <input type="text"/> .zip | CRDIV | 09/06/2021 11:33:28 | <input type="text"/> | File uploaded to MFSA |