BANK OF ENGLAND

BEEDS portal | Bank of England Electronic Data Submission portal

User guide

New PRA Authorisations – Version 1.1

May 2018

Contents

Document versions

Version	Issue Date	Description
1.0	March 2018	Document created
1.1	May 2018	Version updated to include updates to the BEEDS Portal privacy policy and support hours & maintenance windows on the BEEDS Portal.

1. Introduction

The Bank of England Electronic Data Submission (BEEDS) portal is a secure online application that manages data submissions to the Bank of England, utilised by multiple data collections (known as "Returns"). The portal is currently used by Firms for the submission of other types of regulatory reporting i.e. scheduled returns that can come from multiple firms, have deadlines and are subject to re-submission.

In order to improve Authorisation processes, we have now expanded the functionality of BEEDs to enable Firms to submit their New Authorisation applications via the portal. This means that where Firms are submitting files where the total file size amounts to 25MB and above, which would previously have caused issues, it allows Firms to upload files easily. Each upload can take up to a maximum of 30 MB, with the overall total being 450MB.

The Authorisation submission functionality can be found under "Draft returns" tab. Users' needs to select "New PRA Authorisation Application". Please note, although these are referred to as 'Returns' there is no schedule or timeline associated with the submission of this information. 'Return' is a standard terminology used in BEEDS and when used in relation to an Authorisation application should be taken as meaning all information relating to that application, in all formats.

Existing Firm users of BEEDS will not need to change their log-on details to access the systems; they will however require additional permissions to enable submission of these returns.. New users will need to request access.

- Existing Firm users that require additional permission will need to provide the email address associated with their existing BEEDS account and contact the PRA Authorisations Department using the following mailbox: PRA-AuthsVoPsCancellations@bankofengland.co.uk to request these be added for that particular Firm.

- New Firm users who require access to BEEDS to submit their authorisation application will need to contact the PRA Authorisations Department using the following mailbox: PRA-AuthsVoPsCancellations@bankofengland.co.uk to request login details to be able to access and submit the documents via the portal. Users will need to provide the following information:

  o Firm name and FRN (6 digits)
  o Forename
  o Surname

- o   Email address
- o   Telephone number (used to receive a session security code as part of the log in process, users find a mobile number easier)

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a.   Bank of England contact details

- For queries relating to the BEEDS portal, contact PRA Firm Enquiries: PRA.FirmEnquiries@bankofengland.co.uk 020 3461 7000.
- For authorisation enquiries that do not relate to the BEEDS portal, firms should liaise with their usual PRA supervisory contact.
- Formal notification of changes to firm details should be made as usual to the Financial Conduct Authority.

2.   General user information

a.   Account practices

BEEDS portal accounts are automatically made inactive if a user does not log in for in 120 days. It is therefore recommended that users regularly login to the BEEDS portal to ensure that their account remains active. If an account has been made inactive, users should contact PRA-AuthsVoPsCancellations@bankofengland.co.uk.The BEEDS portal will 'time out' after an hour of inactivity. Entering data in fields is not considered activity so it is recommended that users regularly save forms while editing.

b.   Minimum IT requirements

The recommended minimum computer requirements for using the portal are:

- Microsoft Internet Explorer version 10 or above, Firefox version 36 or above, Google Chrome version 40 or above, or Safari 7 (for OSX only) or above.
- To view returns in PDF (and printing where signatures are required) a PDF viewer is required, such as Adobe Acrobat Reader (version 8.0 or above).
- To export returns as spreadsheets Microsoft Excel 2003 or above is required. N.B. the viewer application for Excel will enable forms to be exported.
- The recommended screen resolution is at least 1024 x 768 or higher for optimal display.

c.   Terms and conditions

Please take time to read the 'Terms and Conditions' of the BEEDS portal before entering the site.

d.   Privacy Notice

How we use your information - This notice only covers the information you submit to us for the purpose of creating and maintaining your account. You may receive other specific privacy notices relevant to your

actions on this portal. If you are unable to locate a relevant notice or would like to find out more, you can get in touch via our website at www.bankofengland.co.uk/privacy

Information we collect – Through your engagement with us, the Bank of England ('we' or the 'Bank') collects personal data about you. This information includes your name and business contact information.

Why we need your personal data - We collect your personal data to create an account for you, control user access and to be able to communicate with you. The processing of your personal data is necessary for the performance of a task carried out in the public interest or in the exercise of official authority of the Bank. That is, to support the financial stability of the UK

What we do with your personal data - We use your data for the purposes of creating and maintaining your account. We will keep your personal data for 6 years from the point at which your account is closed.

Your rights - You have a number of rights under data protection laws (for example, you have the right to ask us for a copy of the personal data the Bank holds about you). This is known as a 'Subject Access Request'. You can ask us to change how we process or deal with your personal data, and you may also have the right in some circumstances to have your personal data amended or deleted.

To find out more about those rights, to make a complaint, or to contact our Data Protection Officer, please see our website at bankofengland.co.uk/privacy

e. Testing
The BEEDS portal should not be used for testing files. All files submitted through the BEEDS portal are considered a legal submission by the Bank of England.

f. Support hours & Maintenance windows

Standard support hours are 9:00am to 5:00pm, Monday to Friday. The Bank of England BEEDS team aim to reply to all queries within one working day. There may be times when this is not possible due to increased volume of queries around significant deadlines. Queries will be dealt with in priority order.

All emails should be directed to the groups under 'Bank of England contact details (section 1a)' in the first instance.

The Bank of England periodically undertakes maintenance of the system. Maintenance windows take place as required outside UK business working hours or significant deadlines. During this time the BEEDS portal may be unavailable and submissions may not be processed. We endeavour to provide 48 hours' notice where possible

3. Log In

a. Before logging in

To log into the BEEDS portal, users will need the email address associated with their account, their password, and their phone in order to receive the session security code. To request a BEEDS account, users should email: PRA-AuthsVoPsCancellations@bankofengland.co.uk stating the Firm & FRN (six digits), users full name, email address and telephone number.

b. First time log in

When a user account is created on BEEDS, a randomly generated password will be sent to the user via email. The portal can be accessed with the user's email address as their username, and the password provided.

The password must be changed when the user accesses the portal for the first time. Passwords must contain at least one upper case letter, one lower case letter, one number and one special character; must not contain spaces; and must be 8-30 characters long.

If a user enters their login details incorrectly, a CAPTCHA code will be displayed which will need to be entered before continuing.

Users will have four attempts to log in before the account is locked, after this, the 'Forgotten Password' link can be used to unlock the account.

When a user logs in for the first time, a screen will be displayed allowing the user to update their details. The user will also need to set security questions.

Once the user has been successfully set up and is able to log on to the BEEDs portal, the user can then start uploading their documents. The Firm name & Firm Reference Number (FRN) will already have been pre-populated.

c. Forgotten password

To reset their password, a user can click the 'Forgotten Password' link displayed under the login fields on the BEEDS portal login page. After the user enters the displayed CAPTCHA code, email address and security questions, a link will be sent via email with instructions on how to reset your password.

d. Session security code

A session security code is required each and every time a user logs in to the BEEDS portal.
Users are advised to provide a mobile telephone number rather than a landline as the code can be difficult to understand when relayed to a landline. However if users choose to use a landline, they are reminded to utilise the repeat functionality if necessary. If the code cannot be understood, users are advised to request a new code by restarting the login process.

Note that the code is valid for ten minutes after entering the username and password. If a user does not enter the code within ten minutes, the log in process will have to be restarted.

e. Security questions

Security questions are set up when a user first logs into the BEEDS portal. Users will be required to select four questions from four separate dropdown lists of predefined questions. Questions and answers must be unique and be at least four characters.

Security questions can be updated via 'My Details', 'Update Security Questions'.

f. Firm selection

If a user is associated with more than one firm within a group, the BEEDS portal will display a drop down list of firms from which the user can select. Here, a 'firm' can refer to an individual entity or the group as a whole. This selection can be changed once logged in by clicking 'Change firm' next to the firm name. Please contact the: PRA-AuthsVoPsCancellations@bankofengland.co.uk if you encounter any further issues.

g. Home screen

The home screen lists all notifications that have been emailed to the user. These can be in relation to any of the firms with which the user is associated.

Notifications can be dismissed and then will not be displayed again on the home screen.

4. New PRA Authorisation returns

Once the PRA receive the requested login information from the User a New PRA Authorisation return will be created by the PRA and users will be notified via email when a return (New Authorisation application) is available for the user to upload the documents on to the portal.

The 'Draft Returns' page will display any available 'New PRA Authorisation' return that is available for completion. The status of a return can be one of four:

- **No data** – information has not been entered or uploaded
- **In draft** – information has been entered or uploaded but there are mandatory fields outstanding
- **Complete** – all mandatory fields have been completed and the return can be submitted to the Bank of England
- **Accepted** – information has been accepted by the Bank of England

a. Complete returns

Once available, the return can be viewed and completed under 'Draft Returns'.

Please note: BEEDS portal users will see that the return will have both a return "End date" and "Due date". Please feel free to disregard both dates as this is purely a system requirement and is not related to any deadline for the submission of your New Authorisation application.

- Select the return's name from the Draft Returns screen and the templates will be displayed.
- To complete the return, click 'Edit'.
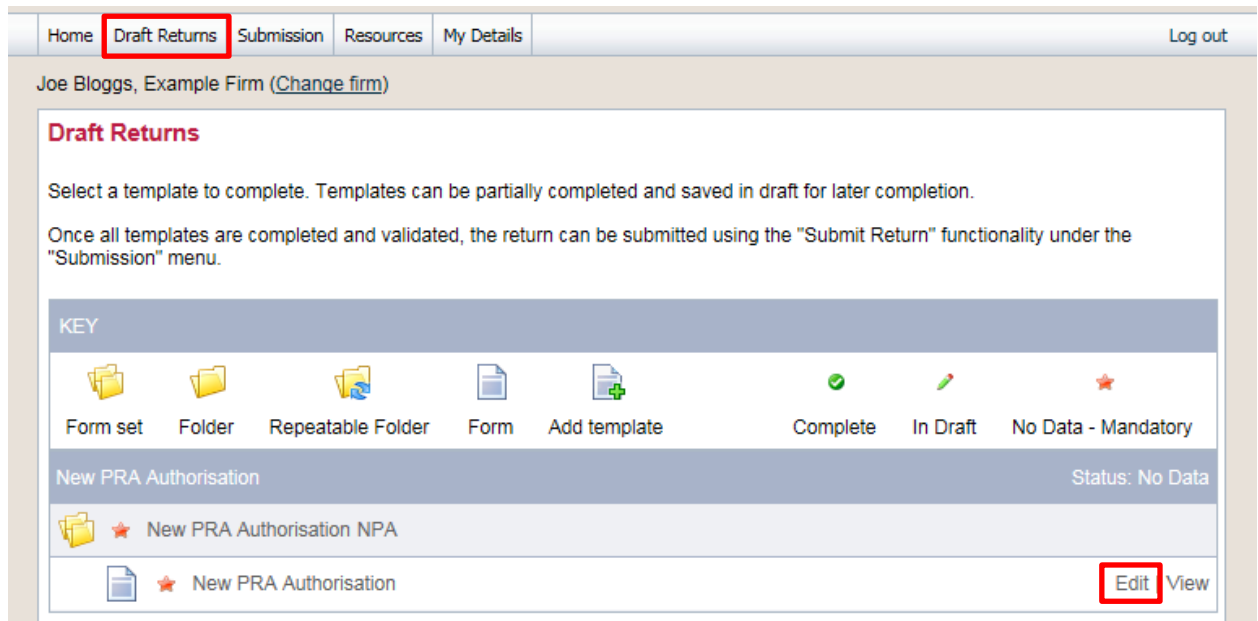
Firms must upload at least one file to BEEDS. The top right field is mandatory, shown with the '*'. All other fields are optional additional uploads.

- Select the 'Browse' button and choose a file to upload. N.B. Acceptable file types are: .doc, .docx, .xml, .xls, .xlsx, .xlsm, .ppt, .pptx, .pdf, .rtf, .txt, .csv, .zip.
- When submitting your documents to the BEEDS system please ensure that all documents are named appropriately (eg Application form, Technology and Outsourcing and Recovery and Resolution Plan) and grouped in an auditable manner to allow for ease of submission and assessment. Each upload can take up to a maximum of 30MB, with the overall total being 450MB.

- When submitting your documents please ensure that you wait for them to fully upload to the BEEDS portal before selecting either the 'Save as draft' or 'Validate & save' button.

- When the return is either partially or fully completed there is an option to save the modifications for later review by clicking 'Save as draft'.

- Once all required information has been entered, the return can be validated by clicking 'Validate & Save'.
  - If no errors are found, the return status will update to 'Complete' and the return will be ready for manual submission. **Note that the return has not yet been submitted.**
  - If errors are found, information on the errors and the actions required to address them will be displayed.

b. Submitting returns

- To submit a return, ensure at least one file has been loaded against the mandatory file upload button. (see page 7)
- Navigate to 'Submission' and click 'Submit Return'.
  - All validated returns ready for submission will be displayed.

- Click 'Submit' and confirm the submission.

- The application will update the return status to 'Accepted' and send an automated acknowledgement email to the user.

Files should only be uploaded when they are finalised and ready for legal submission. Firms should not submit files to test their processes.

Submitted data will be removed from the BEEDS portal if the return is assigned an 'Accepted' state. The data will still be available for supervisory purposes on the Bank of England's internal systems.

Firms are advised to retain a record of the returns submitted to the Bank of England.

c. Request Resubmission

This functionality enables users to alert the Bank of England of a mistake in a previously submitted return that requires correcting. All requests for resubmission will be automatically granted.

- To request a resubmission, navigate to the 'Submission' menu and click 'Request Resubmission'. All previously submitted returns for the current year will be displayed. Select the appropriate year from the dropdown list

- Click the 'Request Resubmission' link related to the return that requires correcting. Details of the resubmission request are displayed.

- Select the most appropriate option from the dropdown list and fill in the 'Reasons for resubmission' and 'Please specify changes since previous revision' fields. You may also wish to upload a supporting document by selecting the 'Browse' button. Click 'Send Request ' and then 'Confirm' to proceed with the request.

5. View Submission History

This functionality allows users to review 'New PRA Authorisation' returns that have been previously submitted.

- To view submitted returns, navigate to the 'Submission' menu and click 'Submission History'. All previously submitted returns will be displayed and filtering fields can be used to search for a return.
- Click on the return name to view the most recent version and click on the revision number to see a list of submitted versions as shown below.
- A list of submitted versions will be displayed which can be viewed by clicking on the revision number.
- If errors are displayed, the file has not been processed.

6. Resources

This functionality allows users to access useful information such as this BEEDS Portal user guide.

- To access a file, click 'Resources' on the portal menu. The application will display the document explorer.
- Expand the 'Portal Documents' folder and click on the 'Authorisations' folder
- Select a file and click on the green download icon.
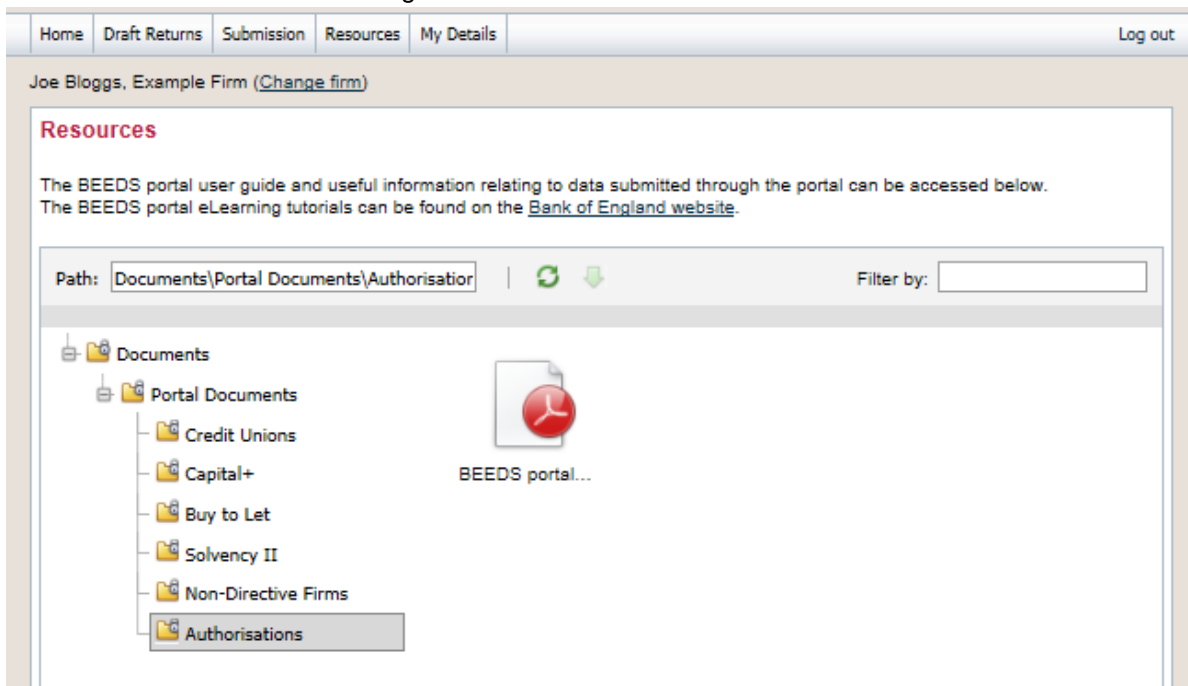
7. My Details

This functionality allows users to view and update their own user details.

a. View/Edit my details
- To update user details, navigate to 'My Details' and click 'View/Edit My Details'.
- User details will be displayed and can be edited.
- Note that the email address provided is the username required to log into the portal and determines where notifications are sent. The telephone number provided determines where the session security code is sent each time the user logs into the portal.
- Your BEEDS portal password must be entered when updating your user details. Users cannot amend their email address. Email : PRA-AuthsVoPsCancellations@bankofengland.co.ukif you wish to change your email address.
- Exclude the '0' when using the international telephone code 44. For example, the telephone number for PRA Firm Enquiries would be formatted as '44 203 4617000'.
- Edit details as required and click 'Update'.

b. Update password
- Passwords expire very three months. Users will be prompted to update their password on the first log in after it has expired.
- Users can change the password used to log in to the portal by navigating to 'My Details' and clicking 'Update Password'.
- Enter the current password and a new password and click 'Save'.

c. Update security questions

- To change the security questions that are associated with the account, navigate to 'My Details' and click 'Update Security Questions'.
- Select four new unique questions and enter your answers and click 'Save'.

8. FAQs

8.1 What should I do if I have not received login details?

Email PRA.FirmEnquiries@bankofengland.co.uk stating your name, telephone number, email address and firm name.

8.2 What should I do if I cannot log in?

If you have forgotten your username, it is the email address associated with your account.

If you have forgotten your password, you can select 'Forgotten Password' on the BEEDS portal login page and a link will be emailed to you with instructions on how to reset your password. If you are still unable to log in, please email PRA.FirmEnquiries@bankofengland.co.uk.

8.3 How do I set up additional users?

Email the request to: PRA-AuthsVoPsCancellations@bankofengland.co.uk stating the name, telephone number and email address of the user, as well as the name of the firm.

8.4 How do I change a user's contact details?

Your own details can be updated under 'My Details', 'View/Edit My Details'.

8.5 What should I do if I have not received confirmation of submission?

If you have not received a notification after submitting a return, check the status of the return. Please email: PRA-AuthsVoPsCancellations@bankofengland.co.uk

8.6 How do I request a resubmission?

To request a resubmission, navigate to 'Submission', 'Request Resubmission', select the 'Request Resubmission' link beside a return. Approval will be granted automatically.

8.7 From which email address will notifications be sent?

Users will receive automated emails from 'beeds_donotreply'.

8.8 How do I check the version of my browser?

Refer to the 'Resources' section on the BEEDS portal for instructions on how to view the version of your browser. Also refer to the 'Minimum IT Requirements'.

8.9 Why does the system describe my authorisation as a Return?

A "Return" is the standardised phrase used for all types of submissions that are uploaded on to the BEEDS portal. When used in relation to an Authorisation application, this should be taken as meaning all information relating to that application, in all formats.

9.0 What happens if I need more than the 15 file uploads to submit my New Authorisation application?

Please contact: PRA-AuthsVoPsCancellations@bankofengland.co.uk to request a further return to be created.

9.1 How do I know what information to submit for my New Authorisation application?

Please refer to our website page:

https://www.bankofengland.co.uk/prudential-regulation/authorisations/new-firm-authorisation

9. Glossary

Term	Definition
BEEDS	Bank of England Electronic Data Submission
Return	A submission of data to the Bank of England including all forms related to an authorisation application
Firm	A 'firm' can refer to an individual entity or the group as a whole
Firm User	A term used to define the level of access within BEEDS Potal
FCA	Financial Conduct Authority