



Banc Ceannais na hÉireann
Central Bank of Ireland

Eurosystem

Guide to uploading Denial of Service Reports (Article 36 or 68 Returns) via Central Bank of Ireland Portal

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Purpose of this guide

This guide provides instructional support and guidance to Authorised Firm Personnel who use the Central Bank of Ireland Portal (“Portal”) to submit or view their Returns under Article 36 or 68 of PSD2 / Regulation 44 or 92 of the Payment Services Regulations 2018.

The relevant templates and further details around the information required for each are available [here](#).

Firms are advised that the returns referred to in this guide require a sign-off from an authorised second user.

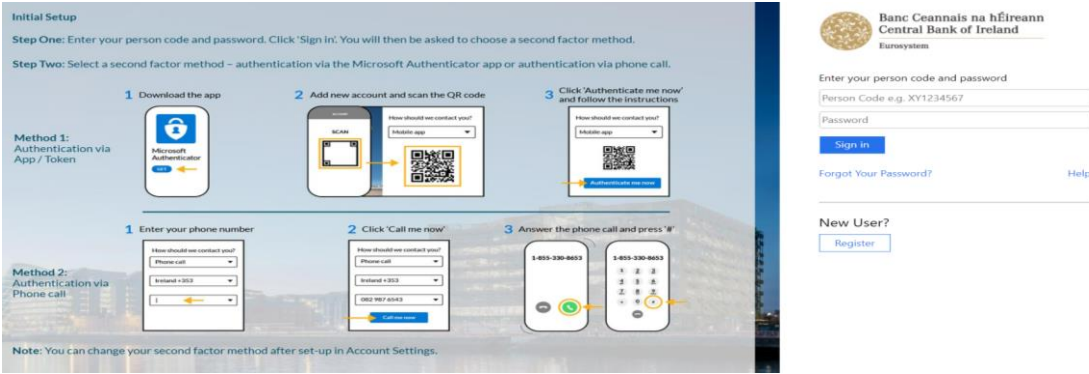
It is the responsibility of the Portal Administrator to manage user access to the returns referred to in this guide. Further details on Portal user management can be found [here](#).

Step by step Instructions:

Step 1: Log in

Log in to your Portal account at this [link](#) (Fig 1.1 refers).

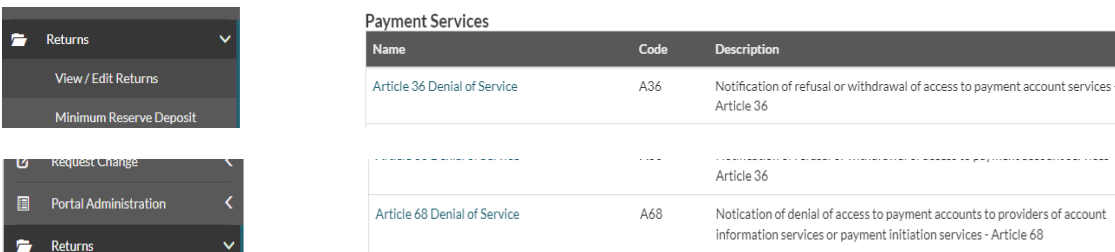
Fig 1.1



Step 2: Locating the relevant return

On the home page for the particular firm you are reporting for, select “Returns”-> “View edit returns” and click either the Article 68 Denial of Service return or the Article 36 Denial of Service return as appropriate in the Payment Services section (Fig 2.1 refers).

Fig 2.1



Step 3: Selecting the relevant return

Select “View / Edit Returns” for the relevant return (Figure 3.1 refers). The rest of this guide displays screenshots for the Article 36 return only; however, the steps are identical for the Article 68 Return. If there are previous instances of the return submitted or awaiting sign-off or re-submission, they can be accessed and viewed from here. If there have been no previous returns “no scheduled reporting dates” will be displayed (Fig 3.2 refers).

Fig 3.1



Fig 3.2



Step 4: Scheduling the relevant return

In order to submit a new Article 36 or 68 return an instance of the return is required to be scheduled by the firm. To do this click on the “Add return” button visible in Fig 3.2. This will generate the “Add return instance” (Fig 4.1 refers). Insert an appropriate date into the reporting date field, e.g. the date the firm is completing the return. For the submission due date please enter any future date. This will not have any impact on the reporting, but it is a feature of the reporting system that a due date is entered. (Fig 4.2 refers). Once this is done select the “Add” button visible at Fig 4.2 and the screen at Fig 4.3 appears. This indicates that the return has been scheduled.

Fig 4.1

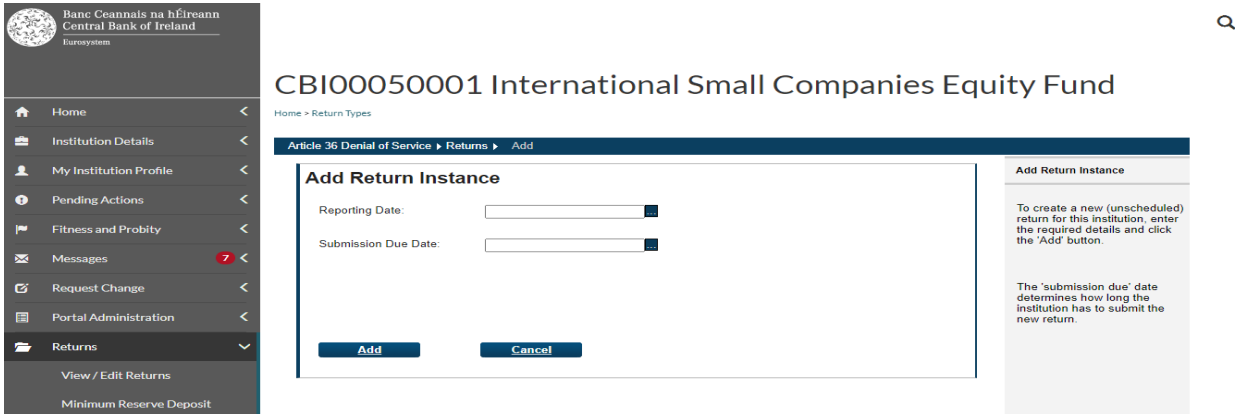


Fig 4.2

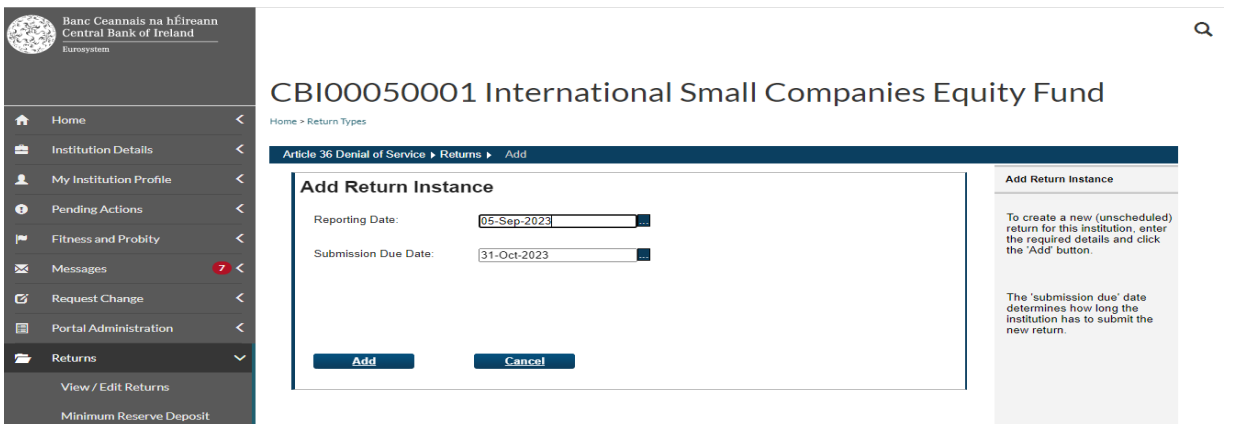


Fig 4.3



Step 5: Uploading the completed return template

Click on the highlighted date under the “reporting date” heading as visible in Fig 4.3. The section screen as visible at Fig 5.1 appears. Click on the “Article 36 Denial of service” or “Article 68 Denial of Service” text under the “Section” heading as appropriate, depending on the return you wish to report. The screen as shown at Figure 5.2 appears.

Click on “Add File” to load the completed Article 36 or 68 template¹. Select “Choose File” to search for your file i.e. the Article 36 or 68 completed template and press the “Upload” button (Fig 5.3 refers). A unique reference can be inserted into the Document identifier field visible in Fig 5.3, 5.4 & 5.5 – this is a freetext field. This is used to identify individual submissions in the event of re-submissions.

In order for the Excel files to be uploaded, they must follow a defined naming convention. Filenames must conform to the following naming convention:

“CCCCCC_YYYYMMDD_PSDA36.xlsx” or

“CCCCCC_YYYYMMDD_PSDA36.xls” or

“CCCCCC_YYYYMMDD_PSDA68.xlsx” or

“CCCCCC_YYYYMMDD_PSDA68.xls”

Where

1. CCCCCC is the institution code (The 6/7 digit Institution code used for the Firm you are reporting for). For Credit Unions, they will need to use their CU registration number (XXXCU) instead of the institution code.
2. YYYYMMDD is the return reporting date (not submission date) e.g. 20230905
3. PSDA36 is the report name for Article 36 Denial of Service reports on the Portal. Note PSDA68 is the report name for Article 68 Denial of Service reports, so please alter as necessary depending on the type of report being submitted.
4. The file extension can be either .xlsx or .xls

If the file name does not conform to the naming convention outlined above, then an error message will appear informing the user of the error (Fig 5.4 refers). In this example the user has attempted to upload a file using the naming convention for Article 68 for a return scheduled for Article 36. Therefore, the file will not be accepted until this is corrected (Fig 5.5 refers).

¹ Blank templates for completion available on the website [here](#)

Fig 5.1

The screenshot shows the user interface for 'Article 36 Denial of Service' sections. On the left is a navigation menu with options like Home, Institution Details, My Institution Profile, Pending Actions, Fitness and Probity, Messages (7), Request Change, Portal Administration, and Returns. The main content area has a breadcrumb trail: Home > Return Types > Article 36 Denial of Service > Returns > 05-Sep-2023. Below this is a sub-header: [View / Edit Returns] Article 36 Denial of Service, 05-Sep-2023 - Sections. A table lists the sections:

Section	Status	Required	Last Updated By	Last Updated
Article 36 Denial of Service	Blank	Mandatory	Sarah Brophy	05-Sep-2023 (17:11)

Buttons for 'Finalise' and 'Add Section' are visible. A right-hand sidebar contains instructions: 'The 'Article 36 Denial of Service' return is divided into sections. Complete each section that applies to your institution and submit the return to the Central Bank.'

Fig 5.2

The screenshot shows the 'Article 36 Denial of Service' files page. The breadcrumb trail is: Home > Return Types > Article 36 Denial of Service > Returns > 05-Sep-2023 > Article 36 Denial of Service > SectionFiles. The main heading is ''Article 36 Denial of Service' Files'. There are 'Cancel' and 'Add File' buttons. A right-hand sidebar titled 'View Section Files' explains: 'This page shows all the 'Article 36 Denial of Service' Files that your institution has uploaded for the Article 36 Denial of Service.'

Fig 5.3

The screenshot shows the 'Load Article 36 Denial of Service File' upload page. The breadcrumb trail is: Home > Return Types > Article 36 Denial of Service > Returns > 05-Sep-2023 > Article 36 Denial of Service > Add Section File. The main heading is 'Load Article 36 Denial of Service File'. It includes a form with a 'Document Identifier' field, a 'Choose File' button, and instructions on file naming conventions. A right-hand sidebar titled 'Section File Upload' states: 'On this page, you can load a file containing 'Article 36 Denial of Service' data.' There are 'Upload' and 'Cancel' buttons at the bottom.

Fig 5.4

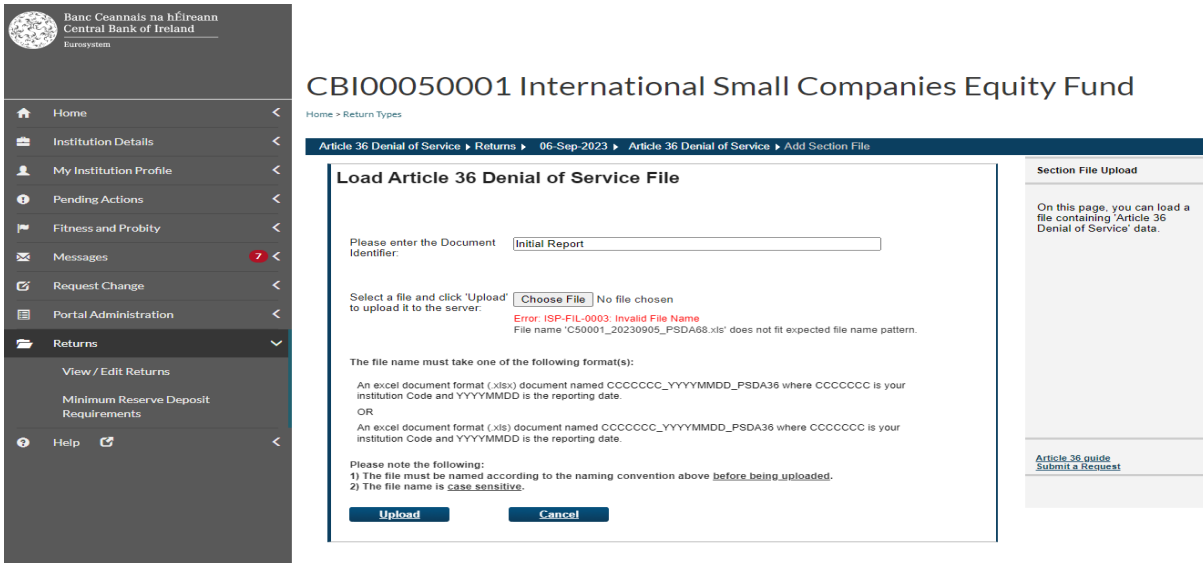


Fig 5.5



Step 6: Finalising and Signing-Off the return

Once the valid file is uploaded successfully and accepted, the screen at Fig 6.1 will be displayed. Click then on the “File # number” under the File heading as visible at Fig 6.1 to check the status of the file (Fig 6.2 refers). Press “Back” and return to the “View/edit” returns screen for the relevant return. You will see that the “Finalise” button is now visible (Fig 6.3 refers). Click “Finalise” once you are satisfied that return is complete and ready for sign-off and then the screen at Fig 6.4 will be displayed. Click “Back” and the screen at Fig 6.5 will be displayed. The return is now ready to be signed-off.

To sign-off the return, a second user with authorisation permissions will need to log into their Portal Account and access this return (Steps 1 through 3). This user can then click the “sign-off” button visible in Fig 6.5 and the screen at Fig 6.6 will be displayed. This screen requires the 2nd user (approver) to tick a declaration box confirming the data is in order and afterwards click the “Sign-off return” button. The screen at Fig 6.7 will then be displayed confirming that the return has been signed off.

Fig 6.1



Fig 6.2



Fig 6.3

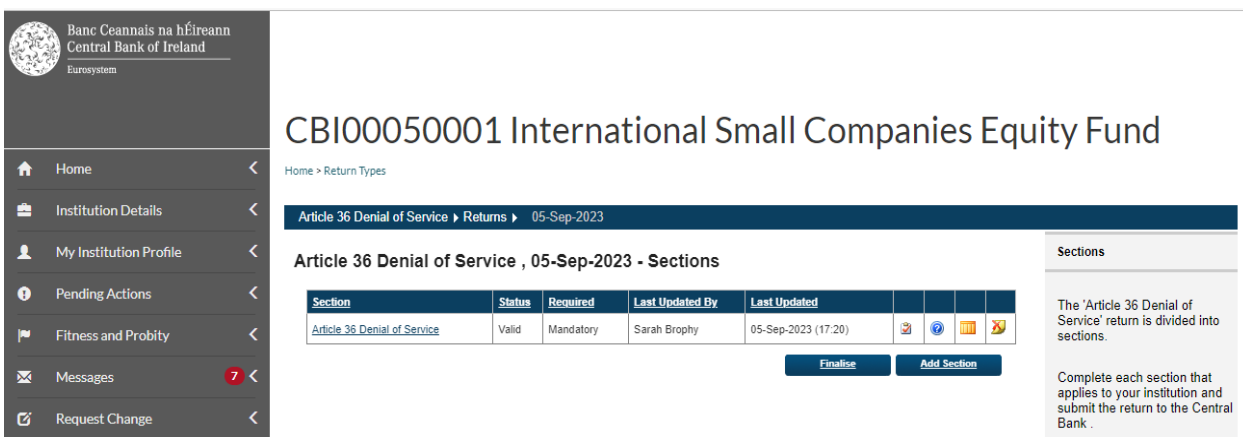


Fig 6.4

The screenshot shows the 'Finalise Return' page for 'CBI00050001 International Small Companies Equity Fund'. The breadcrumb trail is 'Home > Return Types > Article 36 Denial of Service > Returns > 05-Sep-2023 > Finalise Return'. The main heading is 'Article 36 Denial of Service, 05-Sep-2023 has been finalised'. A green message box states: 'This Return is 'Finalised' - it must now be 'Signed-Off' to be submitted to the Central Bank. Use the back button to navigate to the previous page.' Below this is a 'Back' button. On the right, a 'Finalise Return Instance' sidebar contains the text: 'This page shows the results of Finalising a Return. The return will only be finalised if it has passed all cross form rule checks.'

Fig 6.5

The screenshot shows the 'Sections' page for 'CBI00050001 International Small Companies Equity Fund'. The breadcrumb trail is 'Home > Return Types > Article 36 Denial of Service > Returns > 05-Sep-2023'. The main heading is 'Article 36 Denial of Service , 05-Sep-2023 - Sections'. Below this is a table with the following data:

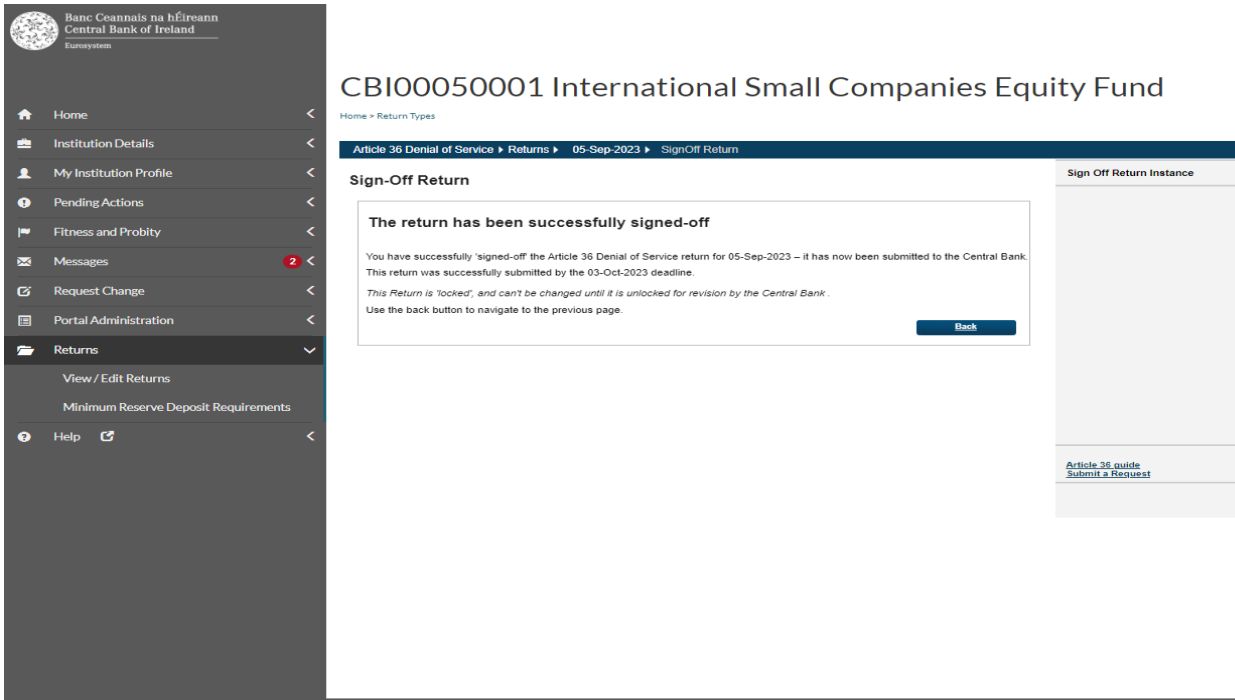
Section	Status	Required	Last Updated By	Last Updated				
Article 36 Denial of Service	Valid	Mandatory	Sarah Brophy	05-Sep-2023 (17:20)				

Below the table are 'Sign-Off' and 'Add Section' buttons. On the right, a 'Sections' sidebar contains the text: 'The 'Article 36 Denial of Service' return is divided into sections. Complete each section that applies to your institution and submit the return to the Central Bank.'

Fig 6.6

The screenshot shows the 'Sign-Off Return' page for 'CBI00050001 International Small Companies Equity Fund'. The breadcrumb trail is 'Home > Return Types > Article 36 Denial of Service > Returns > 05-Sep-2023 > SignOff Return'. The main heading is 'Sign-Off Return'. A message box states: 'The Return is ready to be signed-off. The Article 36 Denial of Service return for 05-Sep-2023 must be 'signed-off' to complete the process of submitting data to the Central Bank. This return is due to be submitted by 03-Oct-2023. After you sign-off the return, it will be 'locked' and you will no longer be able to make changes (unless the return is subsequently unlocked by the Central Bank for revision).' Below this is a 'Declaration' section with a checkbox and the text: 'To signify your acceptance of this statement, tick the box below:'. To the right of the checkbox is a declaration statement: 'I declare that the information which has been entered for the Article 36 Denial of Service return for 05-Sep-2023 is complete and correct to the best of my knowledge.' At the bottom are 'Cancel' and 'Sign-off Return' buttons. On the right, a 'Sign Off Return Instance' sidebar contains the text: 'Article 36 guide Submit a Request'.

Fig 6.7



Step 7: Unlocking and Re-submitting the return

In order to replace a file for a return that has already been submitted, a request to have the return unlocked will first need to be made to the Central Bank.

Follow steps one through three to access the return instance that you wish to unlock. When you have accessed the specific return instance, the “Create a Request” button will appear from which the arrows² are pointing in Fig 7.1. This will bring up the form as seen in Fig 7.2. Select the request type “Request an Unlock” and select an appropriate reason. It is very important to insert additional details (section visible in Fig 7.2) that clearly indicate why the return should be unlocked, e.g. for an Article 36 report it might be: *“The firm wishes to include more detail on the reasons for the denial of service to illustrate how they were made on an objective, non-discriminatory and proportionate basis”*. Once the Firm has completed this form it should click on the “Submit” button also visible in Fig 7.2. Then the screen at Fig 7.3 will be displayed indicating that the request has been submitted.

² The left arrow is pointing at the return instances. Select the relevant instance you want to unlock. Once selected, the right arrow shows the dropdown option to request the unlock that will then appear from the “Create a request” button

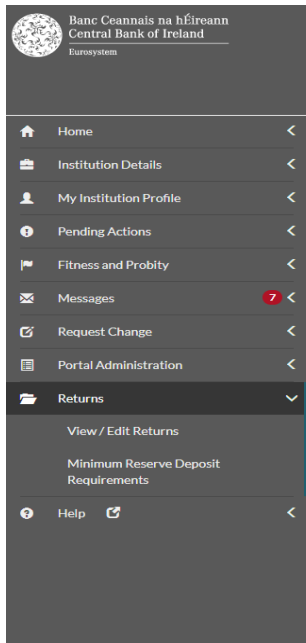
When the Central Bank unlocks the return, a notification to this effect will be received by the firm. Once confirmation has been received from the Central Bank that the desired return has been unlocked, the firm should access the return again by following steps one through three and its status that appeared as “Signed-off” as in Fig 7.1 will appear as “Unlocked” instead.

To replace the file that had previously been uploaded to this return, click on the date under the “Reporting date” column of the unlocked return and which will generate the screen as shown at Fig 7.4. Click on the return name displayed under the “Section” heading and a screen then appears showing the existing file (Fig 7.5 refers). Click on the File # number that appears under the “File” heading and the screen visible at Fig 7.6 appears. Click on the “Replace” button to upload a revised file which will overwrite the existing file. Note that the replacement file must have the same filename as the file which it is replacing, in order to be accepted.

Fig 7.1



Fig 7.2



CBI00050001 International Small Companies Equity Fund

Home > Return Types

Article 36 Denial of Service > Returns > 05-Sep-2023 > Add uri

Submit Return Specific Request

Return Type: Article 36 Denial of Service
Reporting Date: 05-Sep-2023
Revision: 1
Supplementary ID: N/A
Request Type: Request an Unlock
Unlock Reason: Select a Reason...

Have you consulted with the CBI before submitting this unlock request? No

Additional Details:

Please unlock this return

Submit
Cancel

Return uri

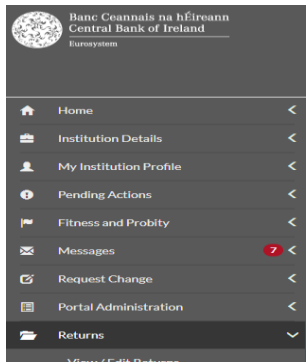
This page is for submitting a query to our support team in the Central bank related to a particular return.

Select a uri type, enter your uri or query in the box provided and click Submit to action your uri.

As you have access to sign-off this return you also have the option to 'uri an Unlock'. On selecting this option you will be asked to select a reason for this unlock.

[Article 36 guide](#)
[Submit a Request](#)

Fig 7.3



CBI00050001 International Small Companies Equity Fund

Home > Return Types

Article 36 Denial of Service > Returns > 05-Sep-2023 > Add uri

Submit Return Specific Request

Your request has been submitted.
 Your request reference code is: CBI0094487
 You will also receive an email confirmation shortly.

My Requests
Back to Returns

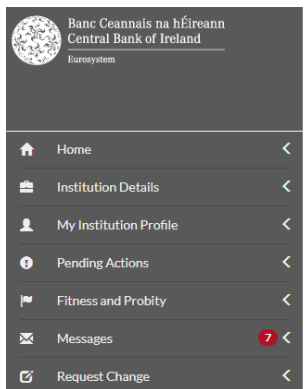
Return uri

This page is for submitting a query to our support team in the Central bank related to a particular return.

Select a uri type, enter your uri or query in the box provided and click Submit to action your uri.

As you have access to sign-off this return you also have the option to 'uri an Unlock'.

Fig 7.4



CBI00050001 International Small Companies Equity Fund

Home > Return Types

Article 36 Denial of Service > Returns > 05-Sep-2023

Article 36 Denial of Service , 05-Sep-2023 - Sections

Section	Status	Required	Last Updated By	Last Updated		
Article 36 Denial of Service	Valid	Mandatory	Sarah Brophy	05-Sep-2023 (17:20)		

Sign-Off

Sections

The 'Article 36 Denial of Service' return is divided into sections.

The return is locked and cannot be changed. You can still click on any section to view its data.

Fig 7.5

The screenshot shows the user interface for the Central Bank of Ireland portal. On the left is a navigation menu with options like Home, Institution Details, My Institution Profile, Pending Actions, Fitness and Probity, Messages, and Request Change. The main content area is titled 'CBI00050001 International Small Companies Equity Fund'. Below the title is a breadcrumb trail: 'Home > Return Types > Article 36 Denial of Service > Returns > 05-Sep-2023 > Article 36 Denial of Service > SectionFiles'. The main heading is ''Article 36 Denial of Service' Files'. A table lists the files:

File	Document Identifier	Last Updated By	Last Updated
File #000021	Initial Report	Sarah Brophy	05-Sep-2023 (17:20)

Below the table are 'Cancel' and 'Add File' buttons. To the right, there is a 'View Section Files' section with a note: 'This page shows all the 'Article 36 Denial of Service' Files that your institution has uploaded for the Article 36 Denial of Service.'

Fig 7.6

The screenshot shows the details page for the file 'Initial Report'. The breadcrumb trail is: 'Home > Return Types > Article 36 Denial of Service > Returns > 05-Sep-2023 > Article 36 Denial of Service > File #000021 > FileStatus'. The main heading is 'Article 36 Denial of Service File.'. The details are as follows:

- Document identifier: Initial Report
- Filename: C50001_20230905_PSDA36.xls
- Size: 34304 bytes
- Uploaded Date: 05-Sep-2023 (17:20)
- Uploaded By: Sarah Brophy

At the bottom of the details box are buttons for 'Back', 'Delete', 'Replace', and 'Download'. To the right, there is a 'Section File Status' section with a note: 'This page shows the details of a file uploaded to the Article 36 Denial of Service section.'



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