EUROPEAN CENTRAL BANK

EUROSYSTEM

CASPER WEB USER MANUAL

Learn how to submit data via the Centralised Submission Platform

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INTRODUCTION

The Centralised Submission Platform (CASPER) allows external organisations and partners to submit structured data securely to the European Central Bank (ECB). The data are automatically validated, and the results can be discussed with the relevant ECB teams within the platform.

The browsers supported by CASPER are Google Chrome and Microsoft Edge.

If you have an account, you can sign in here:

https://casper.ecb.europa.eu/casper-internet

This user manual provides information on how to best use CASPER to submit data to the ECB, monitor fulfilment of reporting obligations and administer users of the system.

The document starts by introducing the general design patterns and application behaviour applicable to the main parts of the system (Chapter 1), followed by the different user roles and corresponding permissions (Chapter 2). Subsequently, it explains how each user group undertakes its user journey (Chapter 3).

1 GENERAL DESIGN PATTERNS AND APPLICATION BEHAVIOUR

In this chapter, you will find a detailed description of CASPER and its behaviour, navigation and general design patterns.

1.1 CASPER landing page

Once you have successfully logged into CASPER, you will see the CASPER landing page (Figure 1).

You can also access the page from every CASPER screen by clicking on the logo at the top.

On the landing page you will see the announcements (Box 1 in Figure 1) and the privacy statement (Box 2). The privacy statement is positioned at the bottom of the page, but you can access it by clicking on the “Privacy Statement” link (Box 3) in the upper right-hand corner of the screen.

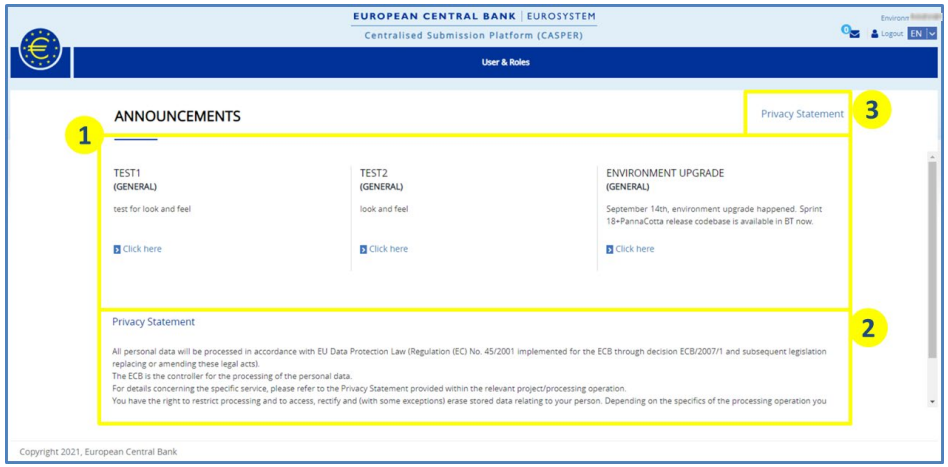

Figure 1: CASPER landing page

1.1.1 Announcements

On the landing page you will see the Announcements section.

Here you will find communications from the system administrators or collection owners (for detailed descriptions of these, please refer to the Abbreviations and terminology section in this manual). The announcements you see on the landing page will change over time as new ones are posted and older ones expire or are deleted.

You will see a preview of all the announcements that are relevant to you.

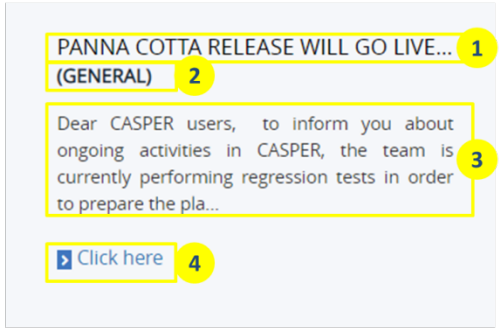

Figure 2: Announcement preview sample

For each announcement, the following elements are displayed (as shown in Figure 2).

1. The title of the announcement: if the length of the title exceeds the width of the announcement, hover your mouse cursor over the title to view the full text as a tooltip.
2. A flag, which can be either "General" or a data collection code. General announcements are visible to all users; announcements specific to data collections are visible only to users authorised to access those collections.
3. The description of the announcement; only the first 150 characters are shown, and the formatting of the announcement is not visible.
4. A "Click here" button enabling you to see the full details of the announcement.

General announcements are posted by the CASPER administrators and provide, for example, information about new releases, links to documentation and messages about scheduled maintenance dates.

In announcements specific to data collections you will find relevant information about the collections that you are authorised to access. If you click on the "Click here" button in one of the announcements, a pop-up window will appear, as shown in Figure 3. The window will display the full text of the announcement.

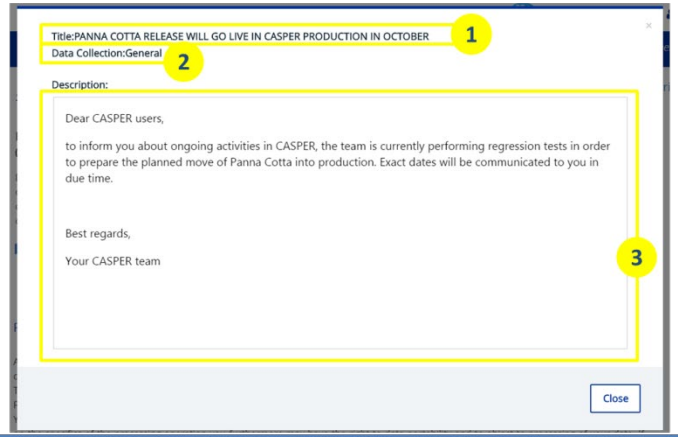

Figure 3: Announcement pop-up window

Table 1 shows the fields displayed in the pop-up window.

Field	Description
Title	The title of the announcement.
Data collection code	Only displayed when the announcement is for a specific data collection, otherwise the value shown is "General".
Description	The full text of the announcement, as formatted by the user who posted it.

Table 1: Announcement pop-up fields

You can only see announcements specific to data collections for collections that you are authorised to access. General announcements are visible to all users.

1.1.2 Manage email subscription

CASPER generates email notifications to inform users about established events in the collection lifecycle. By default, users do not receive email notifications. For email notifications to be displayed, the function must be enabled in the notifications tab by the internal collection designer (more information about this role can be found in the Abbreviations and terminology section). The users assigned to the relevant data collection can then set up a subscription in the manage email subscription screen. To view this screen, log into CASPER and click on the mail symbol in the upper right-hand corner of the screen (Figure 4).

Figure 4: CASPER landing page

Box 1 in Figure 4 shows the email subscription icon. Click on this icon to open the email subscription screen.

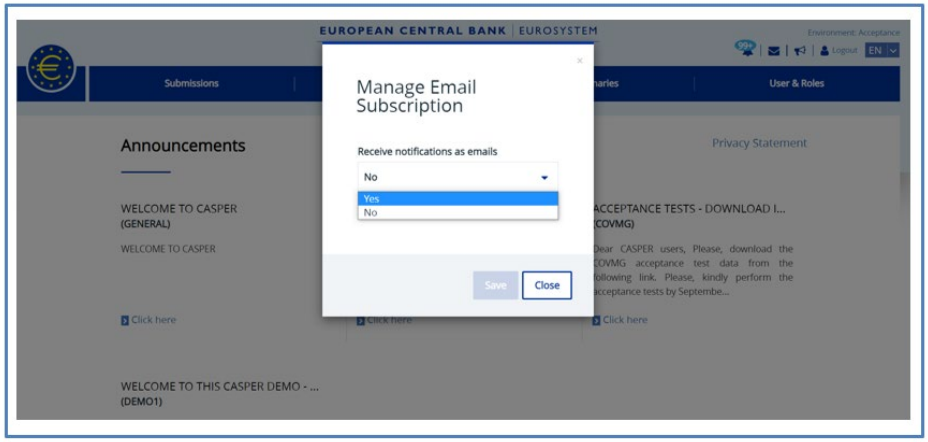

Figure 5: Receive notifications as emails

1. Click on the drop-down list and select “Yes”.

You can also set up an email subscription in the collections screen by right clicking on the data collection assigned to you and selecting “Manage email subscription”.

Figure 6 shows the manage email subscription screen. The list on the screen displays all available email notifications for the data collections assigned to you.

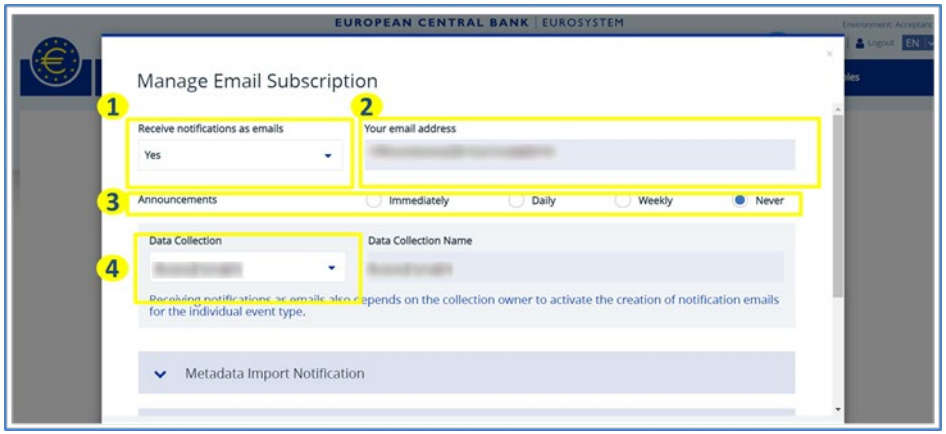

Figure 6: Manage email subscription screen

1. The “Receive notifications as emails” list indicates whether the email subscription is active. Click on the collapsible menu and select “Yes” or “No” to activate or deactivate it.
2. The “Your email address” tab displays the recipient’s email address.
3. Set the announcements radio button to “Immediately”, “Daily”, “Weekly” or “Never” to adjust how often email notifications are received when announcements are posted on the CASPER landing page.
4. Select the data collection from the drop-down list to enable email notifications for specific events.

Figure 7 shows how to enable email notifications for specific events for a data collection.

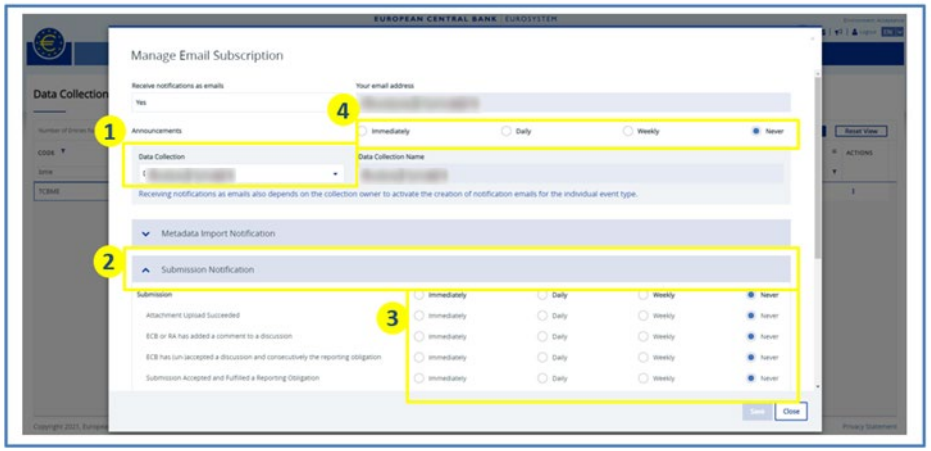

Figure 7: Email subscription configuration

1. Select the data collection from the drop-down list to enable email notifications for specific events.
2. To manage email subscription for specific events, first open the collapsible panel, then set the frequency by clicking on the required radio button. You can set the email subscription for multiple notifications.
3. Set the notification frequency radio button to “Immediately”, “Daily”, “Weekly” or “Never” to adjust the frequency with which email notifications are received. (The default value is “Never”.)
4. Set a bulk email subscription frequency for a specific group of notifications by selecting the frequency header at the top of the screen.

1.2 CASPER navigation

In this section, you will be introduced to CASPER’s main navigation function and learn how it works. Figure 8 shows the main navigation screen, which has three parts: the primary navigation pane, the secondary navigation pane and the vertical navigation pane.

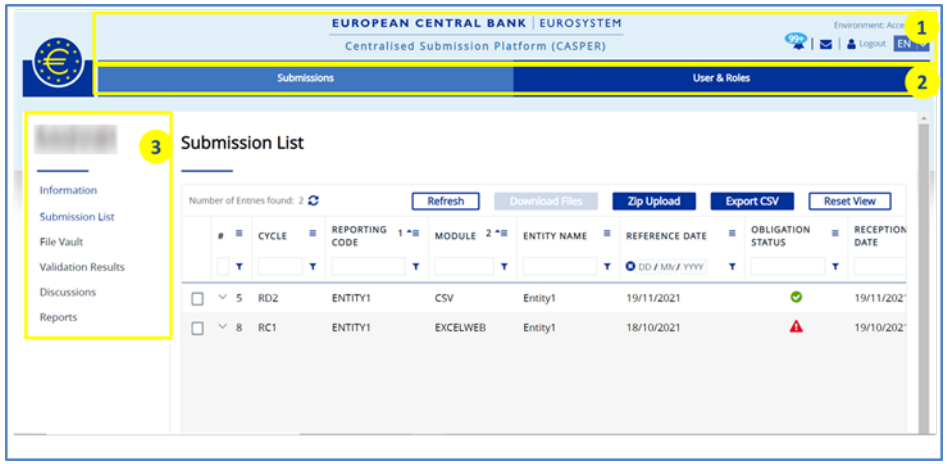

Figure 8: Main navigation screen

1. **Primary navigation pane:** This is the top section of the main navigation screen. It has a light blue background and covers the whole width of the screen.

2. **Secondary navigation pane**: This is the lower section of the navigation screen. It has a dark blue background and extends over the whole width of the screen.

3. **Vertical navigation pane:** This appears on the left-hand side of the screen when you click on a secondary navigation item. The number of menu items differs according to the secondary navigation item selected.

Figure 9 shows the five items highlighted in the primary navigation pane. Table 2 describes these items in more detail.

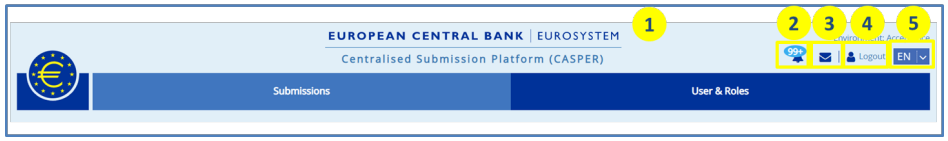

Figure 9: Primary navigation pane

Item	Description
Top logo (“EUROPEAN CENTRAL BANK | EUROSYSTEM”) (1)	This is clickable and redirects the user to the CASPER landing page (see Section 1.1).
Notifications button (2)	This is displayed as a mail icon with a number indicating the number of unread notifications in the inbox. Once the number of notifications exceeds 99, “99+” is displayed. By clicking on this icon, you will be redirected to the notifications screen.
Email subscription button (3)	This is displayed as a mail icon. By clicking on this icon, you can enable/disable notifications sent by email.
Logout (4)	By clicking on the “Logout” button, the user is redirected to the login page.
Language drop-down menu (5)	Users can switch between the available languages by clicking on the drop-down menu arrow. Currently, the entire CASPER platform is only available in English.

Table 2: Primary navigation items

Figure 10 shows the secondary navigation items, with each item described in Table 3. For a more detailed description, please refer to the Abbreviations and terminology section.

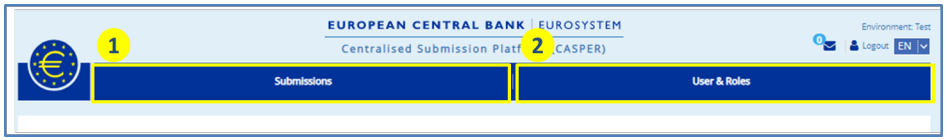

Figure 10: Secondary navigation pane

To enable access to CASPER, a role is assigned to a user with a predefined set of permissions. Depending on the role, the user will see one or more items in the secondary navigation pane, i.e. some users may see both items, whereas others may see only one.

Item	Description
Submissions (1)	Visible to web roles that use the platform to monitor reporting obligations and to external roles that submit files, monitor processing and discuss failed validation results. For further information, see Section 3.2.
User & Roles (2)	Visible to every user administrator. User administrators can view and manage the assignment of other users to data collections using the User & Roles link. For further information, see Section 2.

Table 3: Secondary navigation items

If one or more of the navigation items described in the table above are missing, this indicates that your role does not have permission to access the information.

Each secondary navigation item has its own set of vertical navigation menus located on the left-hand side of the screen.

Figure 11 and Figure 12 show the vertical navigation menu for the “Submissions” item of the secondary navigation pane. The highlighted steps can be followed to navigate to any vertical navigation pane.

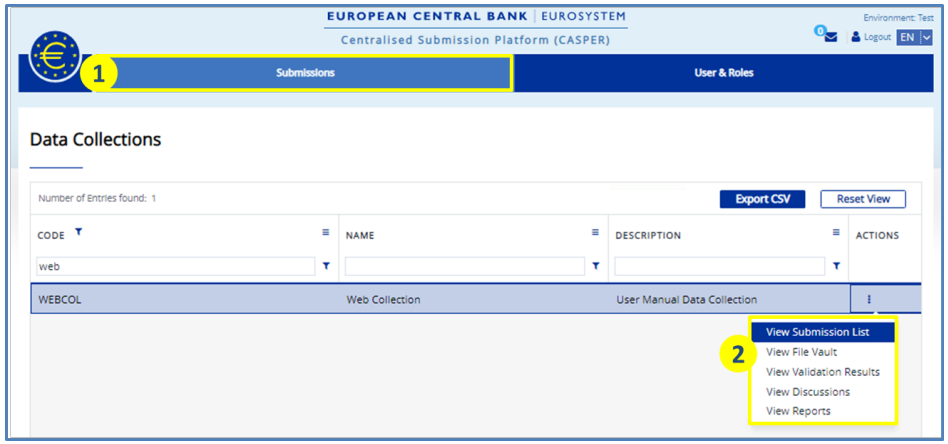

Figure 11: Access vertical navigation

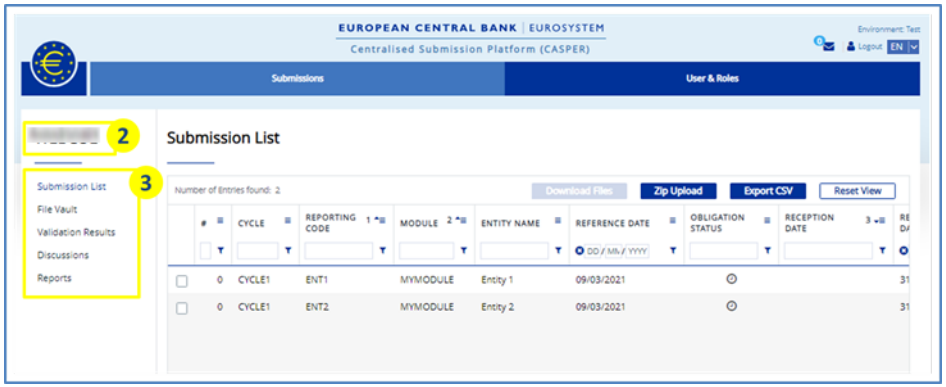

Figure 12: Vertical navigation pane

1. Click on the “Submissions” tab in the secondary navigation pane to access the submissions overview screen.

2. Select the desired data collection from the list by clicking on the Actions menu and selecting “View submission list”. The selected collection will now be displayed in the upper left-hand corner of the submission list screen.

3. Once you have selected the data collection, the vertical navigation menu will appear on the left-hand side of the screen. The menu item changes to blue when you select it.

If there is a small arrow beside a menu item or any other element, this means that itis collapsible. Click on the small arrow to expand the list and click on it again to collapse the list (see Figure 13).

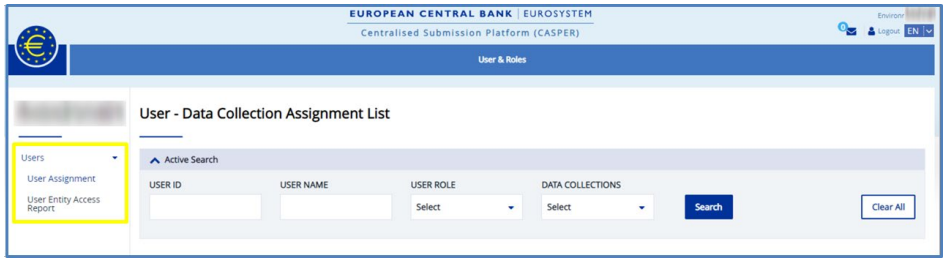

Figure 13: Collapsible menu

1.3 Move and resize pop-ups

Some of the pop-ups in the application can be moved or resized, as illustrated in Figure 14.

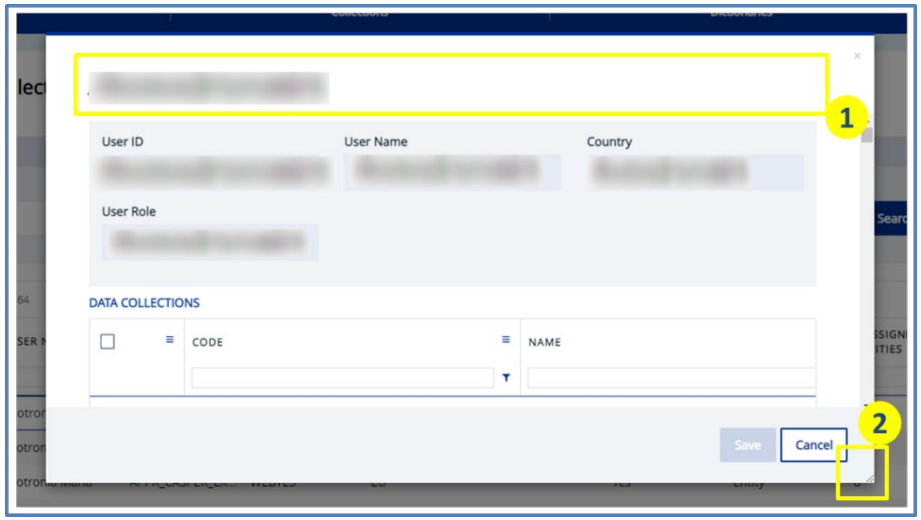

Figure 14: Movable and resizable pop-ups

1. **Moving a pop-up:** To move a pop-up, place the mouse cursor in the top section of the screen (Box 1). If the pop-up is movable the mouse cursor will turn into a 4-arrow symbol. By left clicking you will be able to drag the pop-up around the screen.

2. **Resizing a pop-up:** To resize a pop-up, place the mouse cursor in the lower left-hand corner of the screen (Box 2). If the pop-up is resizable the mouse cursor will turn into a 2-arrow symbol. By left clicking you will be able to resize the pop-up, keeping the aspect ratio.

1.4 List views, filtering and sorting

CASPER displays content in the form of lists. This is one of the most frequently used features in the application. This section describes the design, functions and behaviours of lists. Figure 15 shows an example of a list. An illustration of

its five main parts and a detailed description of each one is given below. Further details are provided in the following sub-sections.

Figure 15: List components

1. **Table header:** The header for each column in the list can be found here. Type a word in the textbox that is displayed under each header to filter items.
2. **Sorting:** The list has a sorting functionality which allows you to arrange the elements in the list in ascending or descending order by column. Simply click on the column header label once and this will sort the rows. See Section 1.4.3 for a detailed explanation of the sorting options available.
3. **Filter button:** Type a word in the textbox or click on the small "Filter" button on the right-hand side of the screen to filter rows and information. Section 1.4.2 explains the filter options in greater detail.
4. **Actions:** If you click on the "Actions" button a pop-up window will appear with a list of action items you can perform for each entry in the list. See Section 1.4.6 for further details.
5. **Customisation panel**: Using this panel you can adjust the column size, add or remove toggle columns, etc. To close the customisation panel, click on the customisation panel button again or click anywhere on the screen. See Section 1.4.1 for further details.

1.4.1 Customising list columns

You can customise the appearance of the list using the customisation panel. There are many customising functionalities available, such as adding toggle columns, adjusting the column width or pinning selected columns on one side. This section describes all the available features of the customisation panel.

The customisation panel button is located in the table header and in every column, as shown in Figure 16.

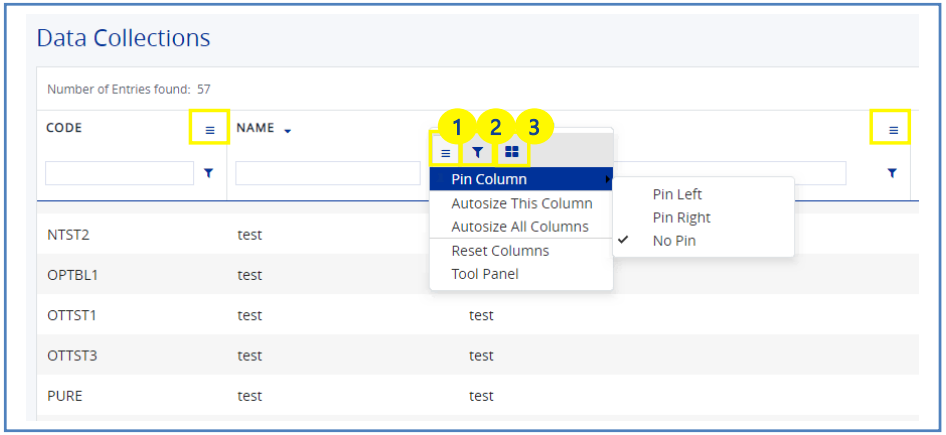

Figure 16: Customisation panel

When you click on the customisation panel button, a pop-up menu with options will appear. On the upper left-hand side of the pop-up menu, you will see three submenu buttons showing different options, as described below.

1. **General options**: change the appearance of the columns.
2. **Filter pane:** filter the information in the columns.
3. **Toggle columns:** add or remove columns in the list.

You can also customise the order in which the columns are displayed by using the drag-and-drop functionality: click on the desired column, then hold down and move the mouse to the desired position in the list. Please note that all changes will be lost if you leave this screen. The default settings will be shown when you return.

1.4.1.1 General options

The general options in the first submenu in the customisation panel are used to customise the columns. Figure 17 shows the option items in the first submenu. Table 4 contains a description of each item.

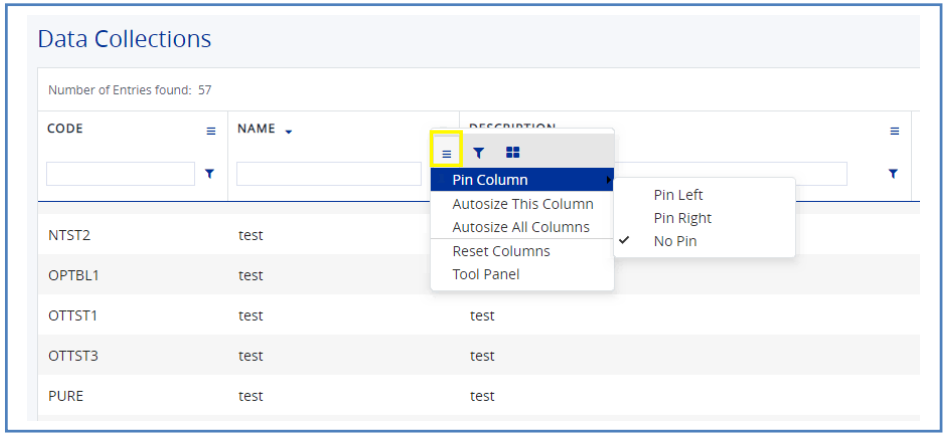

Figure 17: General options submenu

Item	Description
Pin column	Pins a column of your choice to either the left or right-hand side of the list. If you select “No pin”, the column is displayed in its default position in the list.
Autosize this column	Automatically adjusts the width of a specific column, based on the amount of text it contains.
Autosize all columns	Automatically adjusts the width of all the columns.
Reset columns	Undoes all changes and resets to the default view for the list.
Tool panel	Pins the tool panel window on the right-hand side of the list. By default, it displays all the toggle columns. In the “Tool panel” window, you can add columns to the list or remove them by ticking the checkbox for each column.

Table 4: General options items

1.4.1.2 Filter pane

The second submenu in the customisation panel is the filter pane. This provides features to filter rows based on the filter options available for the list. You can access the filter pane from this submenu or from the filter button, as described in Section 1.4.2. Either way, the functionality remains the same. See Section 1.4.2 for further details.

1.4.1.3 Toggle columns

For most screens in CASPER, there are columns which are not visible in the list by default. The “Toggle column” button enables you to view the columns that are available and add them to the list as required. The list of columns available in the toggle column feature varies according to the screen.

The following steps explain how to add columns to the list, as shown in Figure 18, 19 and 20.

1. Click on any of the highlighted customisation panel buttons, as shown in Figure 18. A pop-up menu will appear which shows three submenu buttons; the one furthest to the left is selected by default.

2. Click on the “Toggle columns” button, as shown in Figure 19. This displays a list of all available columns. The columns displayed in the list by default are checked with a blue tick; the remainder are unchecked.

3. To add a column to the list, select it by ticking the corresponding checkbox, as shown in Figure 20. Once you have selected a column, it is added to the list instantly. You can add multiple columns at the same time.

4. To remove a column from the list, untick the corresponding checkbox, as shown in Figure 20. Once you untick a column, it is removed from the list instantly. You can remove multiple columns at the same time.

5. Once you have added or removed the columns from the list, click anywhere on the screen to leave the toggle column menu.

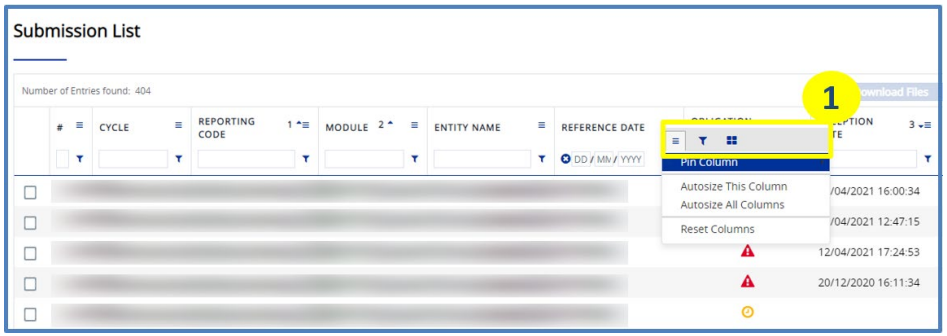

Figure 18: Adding toggle columns 1/3

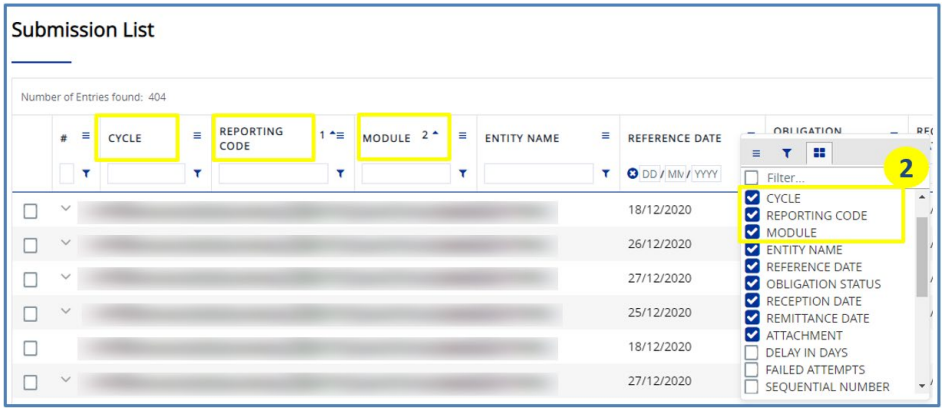

Figure 19: Adding toggle columns 2/3

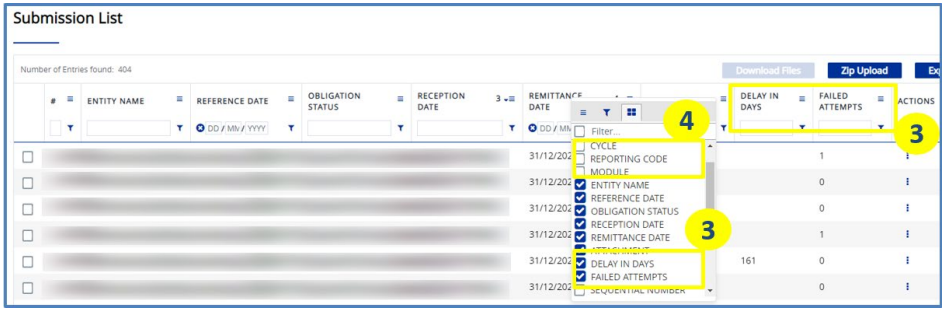

Figure 20: Adding toggle columns 3/3

While you are logged in (or if you have logged out but the browser is still open), CASPER will retain the changes made to each screen using the tool panel. You can return to the default settings by clicking on “Reset view”.

1.4.2 Row filtering

You can filter column content using the filter boxes, as displayed in Figure 21. You will find an explanation of the filter boxes and the other highlighted sections below.

Figure 21: Table headers

In most columns, you will see an extra field below the header label (1). This may be a textbox (2) or a date field (3). The purpose of the additional fields is to give you more flexibility when filtering row entries in the list. You can filter results by entering text in the textbox or choosing a specific date in the date field.

On the top left-hand side of the list, you will see the summary text. This is a dynamic field showing the total number of row entries in the list.

The textbox shows text in lower case. If you enter text in upper case, it will be automatically converted to lower case. The date field only accepts numeric entries.

The filter button provides more options for filtering the rows in the list. For every column in the list (except “Actions”), you will see a small filter button, as highlighted in Figure 22. When you click on this button, a small pop-up window will appear, with two fields: a drop-down list and a textbox.

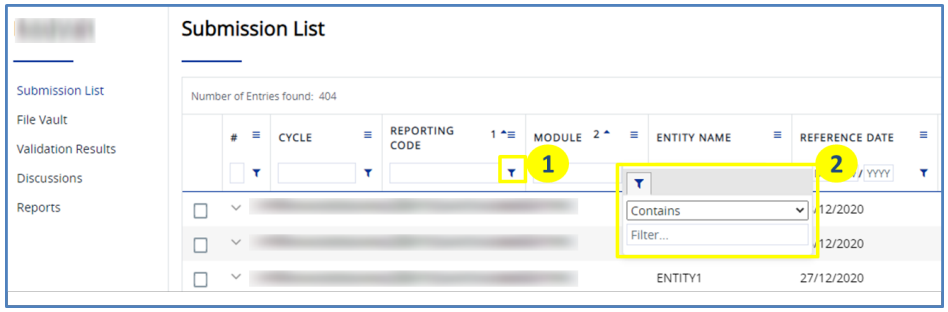

Figure 22: Filter button pop-up window

The items in the drop-down list depend on the column data type, i.e. they are different for columns with text content and columns with date content.

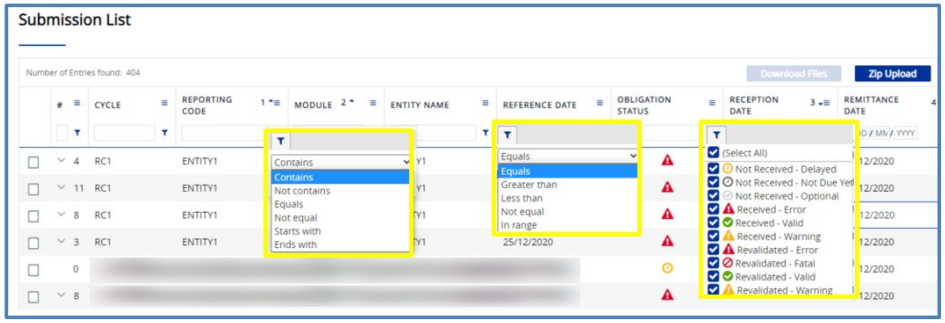

Figure 23: Filter pop-up types

Figure 23 shows the different types of filter pop-ups for different column types in the data collections screen. The filter pop-ups for other screens display different statuses.

There are different filter pop-ups for columns which display the status of a row entry. These columns have predefined values that you can filter for using the filter pop-ups. The possible status types differ, depending on the screen you are viewing.

For columns with text content, when you select an item from the drop-down list you can use the textbox underneath to filter information. For example, if you select “Contains” from the drop-down list and write “a” in the textbox underneath, the list will filter for the rows which **contain** an “a” in them, as shown in Figure 24.

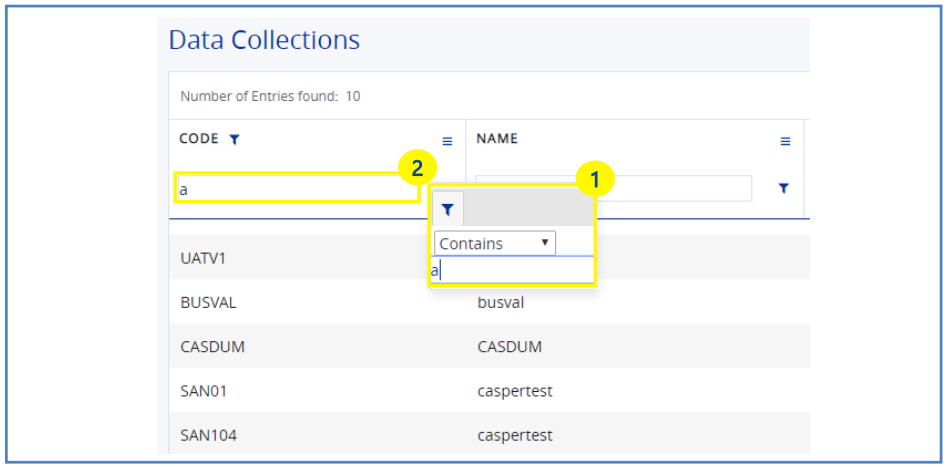

Figure 24: Example of a text filter

While you are logged in (or if you have logged out but the browser is still open), CASPER will retain the changes made to each screen using the tool panel. You can return to the default settings by clicking on “Reset view”.

1.4.3 Sorting

Lists in CASPER have built-in sorting functionalities. Each screen has a specific pre-set default sorting order. Sorting is available for every column in the list.

You can sort a column by clicking on its header label. When you do this, a small blue arrow (pointing upwards or downwards) will appear next to the label. The arrow indicates the sorting order, either ascending or descending (see Figure 25 and Figure 26).

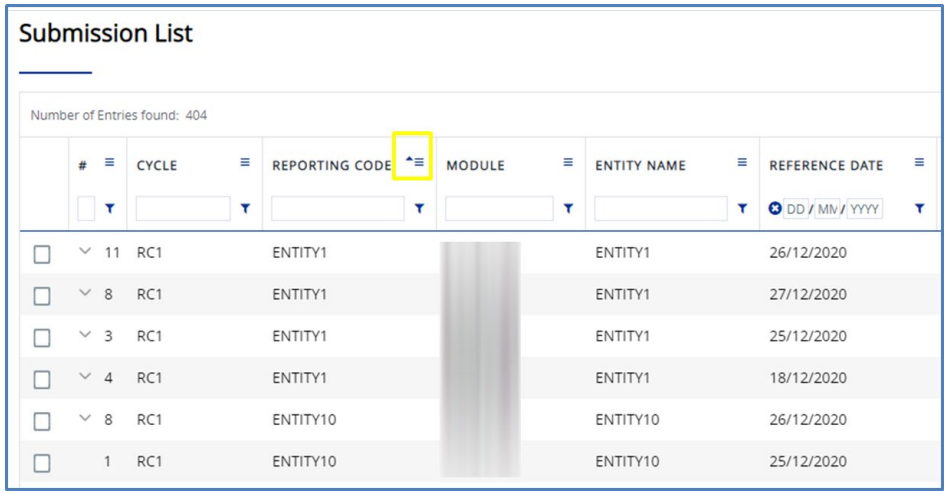

Figure 25: Ascending sorting order

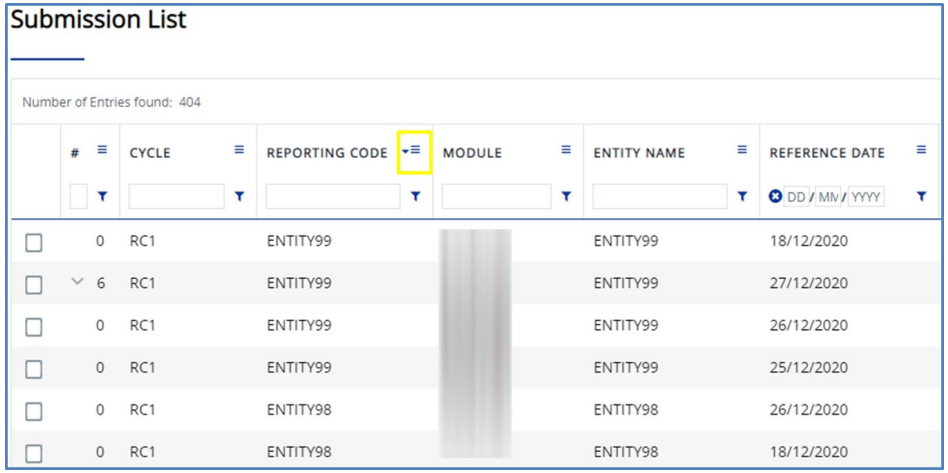

Figure 26: Descending sorting order

You can also sort list entries by multiple columns. To do this, click on the first column header. Then press and hold down the Shift key and click on the

remaining column headers you would like to add to your multiple sorting. The numbers to the right of the column name indicate the sorting order.

When you add a column in multiple sorting you need to establish its sorting order (ascending/descending). The sorting order of the first column serves as a reference point for the multiple sorting – if the first column is selected as descending, columns added subsequently will be sorted in descending order too. To change the sorting order of an additional column to ascending, click on the selected column a second time. The sorting order of a column needs to be set before you add another column. It is not possible to change the sorting order of a column in multiple sorting once you have added another column.

Figure 27 shows the multiple sorting of a list by three columns. The list entries are sorted in ascending order by reporting code (1), reference date (2) and reception date (3). The following steps describe how to sort a list by multiple columns in ascending order.

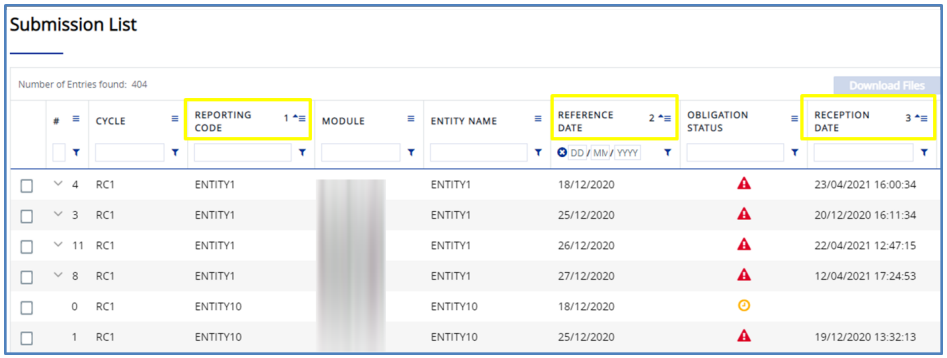

Figure 27: Multiple sorting

1. Click on the column header of the first variable, “Reporting code”.
2. Press and hold down Shift and click on the column header of the second variable, “Reference date”. Small numbers will appear next to the column headers, indicating the sequence of the order. The small arrows indicate that the order is ascending, as set by default.
3. Continue to hold down Shift and click on the column header of the third variable, “Reception date”. A small number will appear, indicating that this is the third variable in the multiple sorting, also sorted in ascending order.
4. The columns are now sorted by these three variables, with the reporting code in ascending order, the reference date in ascending order and the reception date in ascending order. To undo the sorting, release Shift and click anywhere on the list. The list will return to the default sorting order.

To sort the list in descending order, follow the same steps. First, change the sorting of column one from ascending order by default to descending. To do this, simply click on the column header as described above. Once the arrow appears, add the remaining columns to your multiple sorting order as described above.

Figure 28 shows the list entries sorted by the same columns by reporting code (1), reference date (2) and reception date (3). This time, however, the reference dates are sorted in descending order. The following steps describe how to change the sorting order of a column.

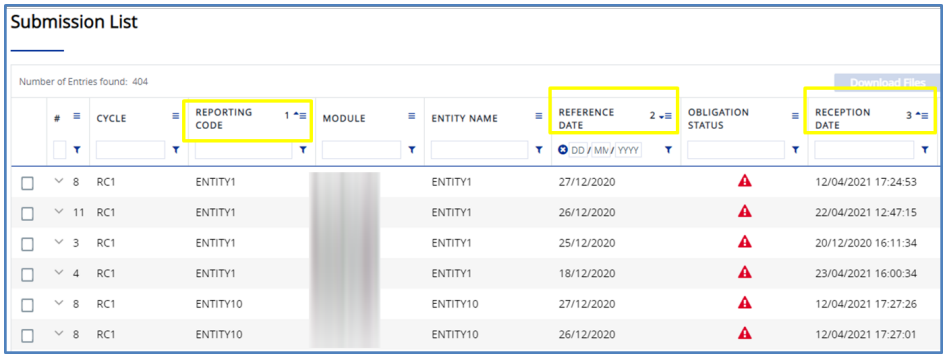

Figure 28: Multiple sorting with column in descending order

1. Click on the column header of the first variable, “Reporting code”.
2. Press and hold down Shift and click on the column header of the second variable, “Reference date”. Small numbers will appear next to the column headers, indicating the sequence of the order. The small arrows indicate that the order is ascending, as set by default. To change the sorting order, click on the column header again. The arrow will now point downwards, indicating that the order for this column is descending.
3. Continue to hold down Shift and click on the column header of the third variable, “Reception date”. A small number in brackets will appear, indicating that this is the third variable in the multiple sorting, also sorted in ascending order.
4. The columns are now sorted by these three variables. To undo the sorting, release Shift and click anywhere on the list. The list will return to the default sorting order.

Rows containing values that start with a number are sorted before those that start with characters.

When you add a new row to the list, the system highlights it in blue and the sorting order remains the same, as shown in Figure 29. When an entry is deleted from a list that has already been sorted, the sorting order remains the same – only the deleted entry is removed.

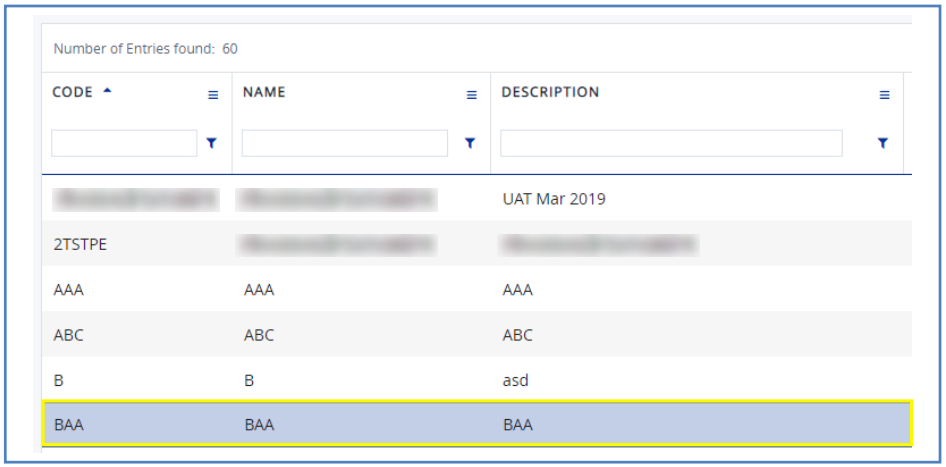

Figure 29: Example of an added row

While you are logged in (or if you have logged out but the browser is still open), CASPER will retain the changes made to each screen using the tool panel. You can return to the default settings by clicking on “Reset view”.

1.4.4 Search panel

For some lists, you can also filter for specific entries using the search panel. This allows you to apply multiple filters simultaneously, as displayed in Figure 30.

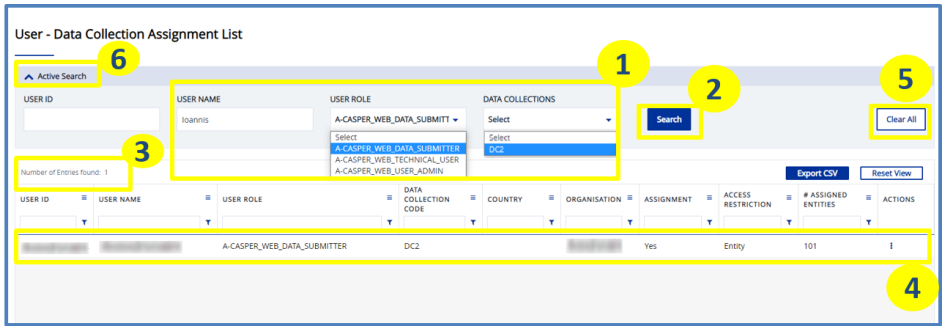

Figure 30: Search panel details

The type of field depends on the type of data displayed – it may be a date field or a drop-down menu. All fields in the search panel marked with an asterisk (*) are mandatory. To filter a list in the search panel, follow these steps.

1. Fill in the mandatory search fields. In the example shown in Figure 30, you can filter the list entries by choosing a username or selecting a user role or a specific data collection.
2. Click on “Search”.
3. The number of entities found is displayed above the list.
4. The results are displayed in the list underneath.
5. Click on “Clear all” to remove all the filters applied. The list will go back to its default status.
6. The search panel is collapsible. You can close it by clicking on the small arrow on the left-hand side. Click on the arrow a second time to expand it.

1.4.5 Check/uncheck behaviour

When a list entry has a checkbox next to it, this means you can perform certain actions. To do this, first select the list entry by ticking the checkbox.

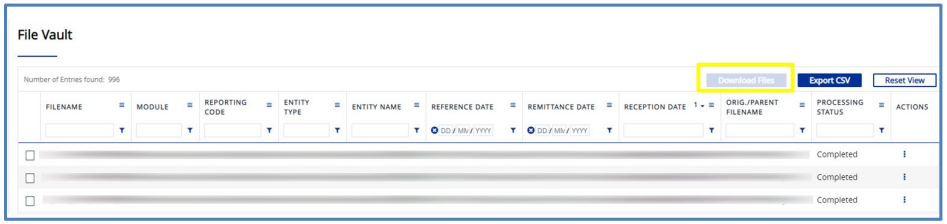

Figure 31: Unchecked list entries

Figure 31 shows unchecked rows in a list. The blue button above the table is disabled, which indicates that no list entries have been selected for an action.

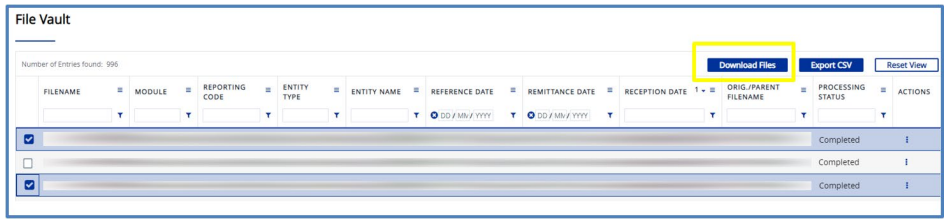

Figure 32: Checked list entries

When you select an entry from the list, the blue button is enabled, as displayed in Figure 32. To select list entries and perform an action, follow the steps below.

1. Click on the checkboxes to the left of the rows. A blue tick will appear, indicating that the list entry has been selected.
2. You can perform an action for all checked rows together. For example, if you wish to download both the files selected, simply click on “Download files”.
3. To deselect the selected list entries, simply click on the checkboxes again and the tick will disappear.

1.4.6 Actions

You can perform certain actions for every row entry in a list through the CASPER Actions menu feature.

You can access the Actions menu for each row in the list by clicking on the “Actions” item in the row, as shown in Figure 33 or by right clicking anywhere on the row in question.

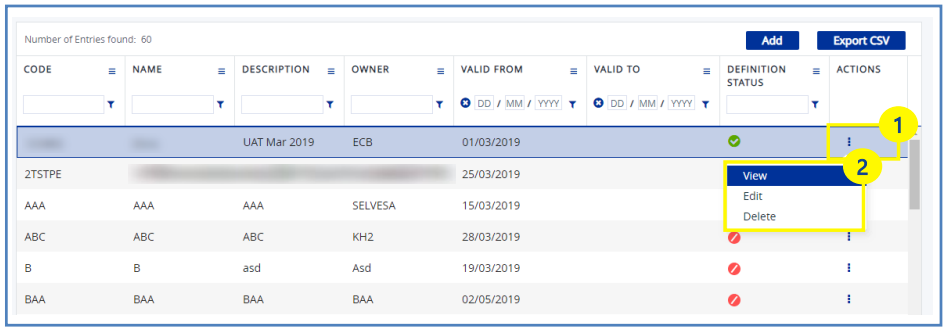

Figure 33: Example of the "Actions" menu

When you click on a row, a pop-up window will appear showing a list of actions and you can choose the action you want to perform for the row entry.

The items in the Actions menu are established according to the task and user permissions, as explained in Section 2. This means there may be different action items for each list. Action items may also vary for different users, depending on their permissions. For example, items may be disabled for one user role but enabled for others.

When an item is disabled, it is grey in colour and a tooltip will appear when you hover over it, as shown in Figure 34.

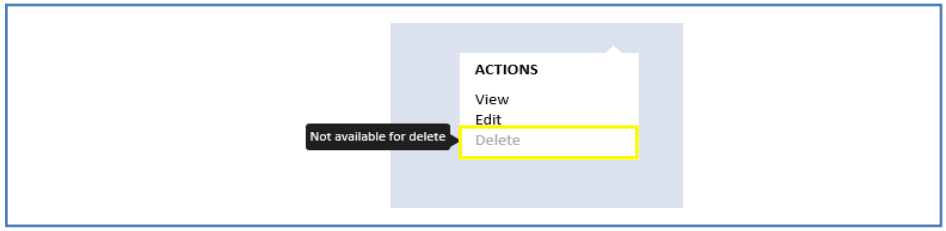

Figure 34: Disabled Actions item

1.5 Export functionality

The "Export CSV" button displayed in CASPER is used to export the contents of a list. More precisely, it exports the current as-is status of the list, including the sorting, filters applied, table headers and any toggle columns that have been added to the view. The contents that are displayed are downloaded in a list (CSV) format. Please note that submission files are retrieved differently. The contents of a list can only be downloaded in CSV format. As shown in Figure 35, the downloaded file appears in the lower left-hand corner of your browser.

CSV stands for comma separated values, meaning that columns are separated by commas in the file.

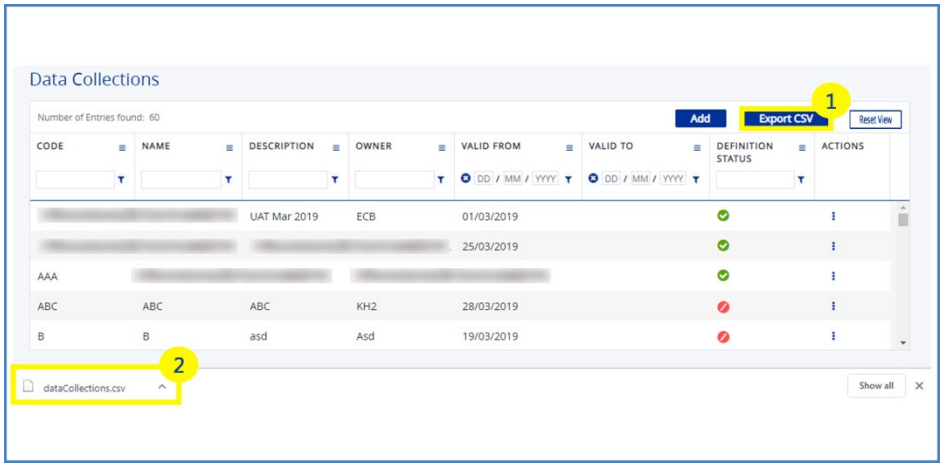

Figure 35: Export CSV functionality

2 HOW TO ACCESS CASPER

CASPER is integrated into the ECB Identity Portal, the access management system for web users, so the platform can be accessed over the internet. In Section 2.1 you will learn more about the authentication process for CASPER, and in Section 2.2 about user roles and permissions.

2.1 Login (authentication process)

CASPER web users need to have an account on the ECB Identity Portal to be able to log in over the internet. Users who have this can access the platform using the following URL, as shown in Figure 36.

https://id.ecb.europa.eu/login/

Figure 36: ECB Identity Portal login screen

Users on the ECB Identity Portal are grouped into organisations (also known as “levels”). These are legal entities, such as credit institutions or private companies, that can manage their users independently. All accounts on the ECB Identity Portal must be assigned to the proper organisation. There are two types of web user in CASPER, depending on the organisation:

1. users belonging to specific organisations: these are managed by delegated access administrators (DAAs) within the same organisation;
2. standalone users: these do not belong to any existing organisation on the ECB Identity Portal and submit data individually through CASPER (standalone users are assigned to a dummy organisation on the ECB Identity Portal named “ASTRA_ECB”).

CASPER roles are assigned by a CASPER access administrator based on this distinction, as set out below.

1. If you belong to an organisation on the ECB Identity Portal, you need to contact either a DAA in your organisation or the ECB collection owner, who will grant you the correct CASPER roles. If you do not know who the CASPER DAA is in your organisation, please contact the ECB collection owner for assistance.
2. If you are a standalone user, you should contact the ECB collection owner, who will grant you the necessary CASPER roles to perform your tasks on the platform.

Once your roles have been granted, the CASPER tile will be displayed on the “My applications” page of the ECB Identity Portal, as shown in Figure 37.

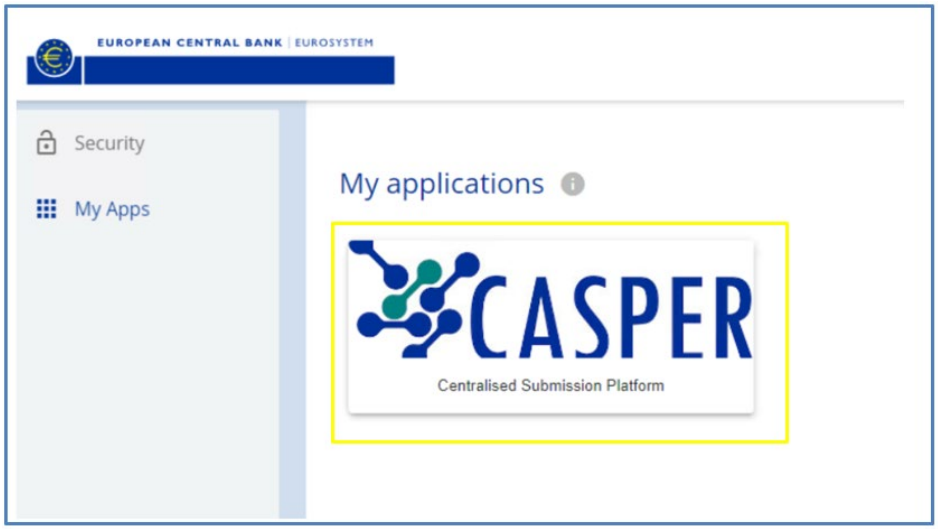

Figure 37: ECB Identity Portal landing page

2.2 User roles and permissions

There are two user roles in CASPER over the internet: web user administrator and web data submitter. Each user has at least one role, and the different roles have different permissions.

As explained in Section 2.1, CASPER roles determine which tasks a user can perform. Access to data is controlled by the user administrators. To perform their tasks in CASPER, users need to be assigned (a) to a specific data collection, and (b) to the relevant entities.

For a comprehensive description of the different tasks performed by web users in CASPER, please refer to the individual user journeys described in Chapter 3.

This section describes the two web user roles: web user administrator and web data submitter. In the following paragraphs, you will learn more about web user permissions and the responsibilities of the web roles in the data collection process.

2.2.1 Web user administrator

Web user administrators are responsible for managing access to data collections in CASPER for users who belong to the same organisation.

They have the right to grant or remove access for other web users in their organisation to any data collection assigned to them in CASPER, as described in Section 3.1. Web user administrators are also responsible for assigning web data submitters and other web user administrators in the same organisation to reporting entities.

To do this, a web user administrator must be assigned to the data collection and reporting entities by the ECB collection owner.

Web user administrators cannot prepare data collections, submit data or manage their own user assignment.

Web user administrators are responsible for managing the user assignment of web data submitters to the relevant data collections. They can also assign/unassign data submitters to reporting entities.

2.2.2 Web data submitters

Web data submitters upload reporting templates to CASPER to fulfil reporting obligations (for a definition of “reporting obligation”, see the Abbreviations and terminology section). They can submit data only to the data collections and reporting entities to which they are assigned.

Data submitters are responsible for submitting data for the data collections and entities to which they are assigned.

3 USER JOURNEYS

This chapter describes the user journeys of the different user roles in CASPER. In these journeys you will learn about the relevant functionalities, including access rights, screens and workflows. Each user journey consists of a series of steps that represent a typical scenario in which users interact with the system.

For more information on user groups, see Section 2.

3.1 Journey I: web user administrator

This journey describes the user management performed by web user administrators. Since CASPER release 1.2, the ECB has collected data from non-E(S)CB users such as commercial banks, private companies, universities and individual users who do not belong to a specific organisation. Web user administrators are responsible for managing access to their organisation's data. Please note that, depending on your role, you might notice some differences in the CASPER interface compared with the figures in this chapter.

Web user administrators can only manage the assignment of other users in the same organisation; they cannot manage their own user assignment. To be assigned to a collection, web user administrators need to contact either a collection administrator or another web user administrator for the collection in their organisation.

Web user administrators have the power to grant or remove access to any data collection to which they are assigned for users within the same organisation.

Figure 38 shows an overview of the individual steps in this user journey.

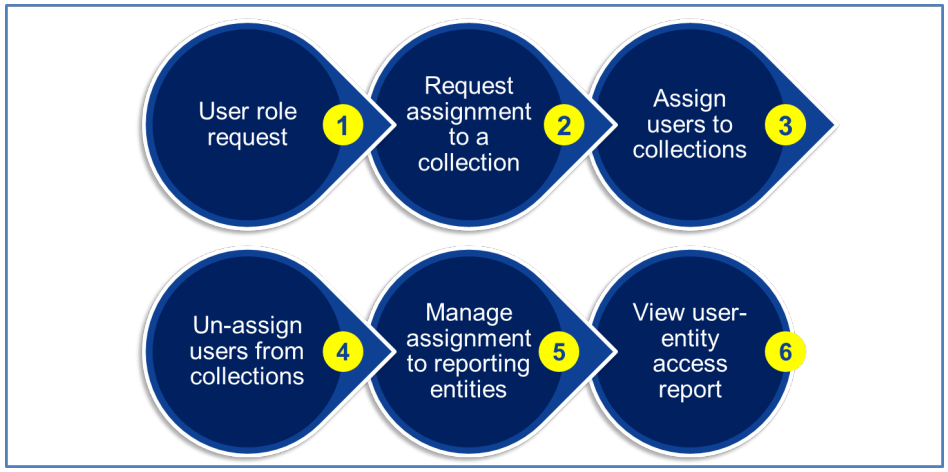

Figure 38: Overview of the web user administrator journey

3.1.1 User role request, approval and assignment

User access to CASPER is granted in a two-stage process.

1. User role management
2. Assignment of data collection and reporting entities in CASPER

CASPER is integrated in the ECB Identity Portal, the access management system for web users. If you have an account on the ECB Identity Portal, a CASPER role can be assigned to you. To use CASPER as a web user administrator, you need to request to be allocated WEB_USER ADMIN status by contacting your CASPER access administrator. If you do not know who your CASPER access administrator is, please contact the ECB collection owner. For further information on web role assignments, see Section 2.1.

You need an ECB Identity Portal account to access CASPER over the internet. Once you have this, you can log in using the URL below, as shown in Figure 39.

https://id.ecb.europa.eu/login/

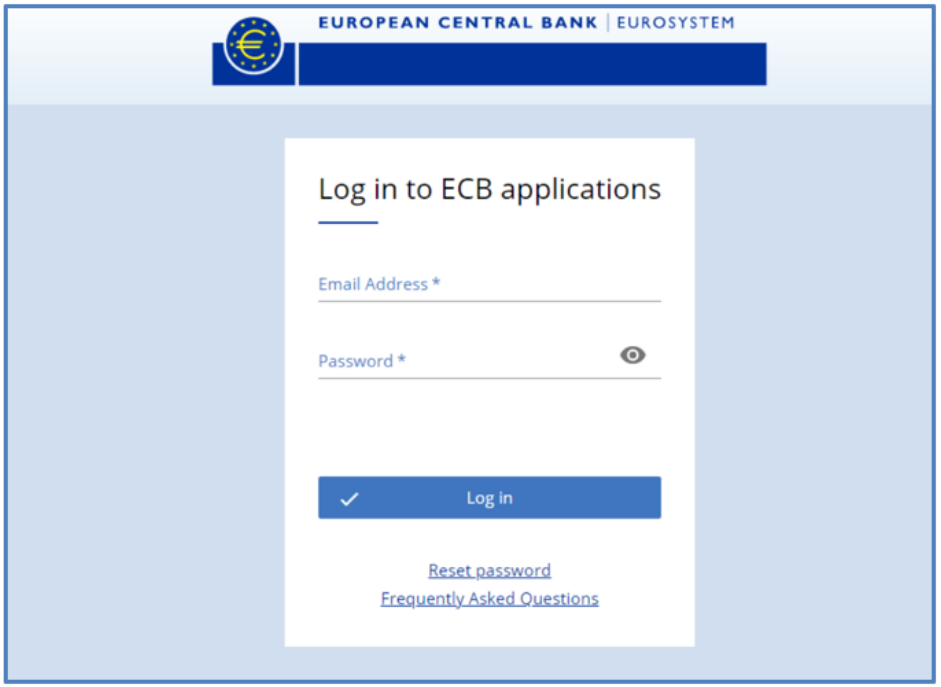

Figure 39: ECB Identity Portal login screen

Once the role has been assigned, you will be able to access CASPER.

3.1.2 Request assignment to a collection

Once you have been granted a web user administrator role, you will be able to log into CASPER. However, you will not be able to assign users to collections.

First you need to send an email to the collection administrator requesting assignment to the collection and reporting entities you require.

3.1.3 Assign users to collections

As a web user administrator, you are responsible for assigning data submitters to data collections. You have to assign them to their data collections before they can access these.

CASPER provides simple steps for assigning a user to a data collection, as shown in Figure 40.

You can only assign users to data collections that have been assigned to you by the collection administrator or another user administrator.

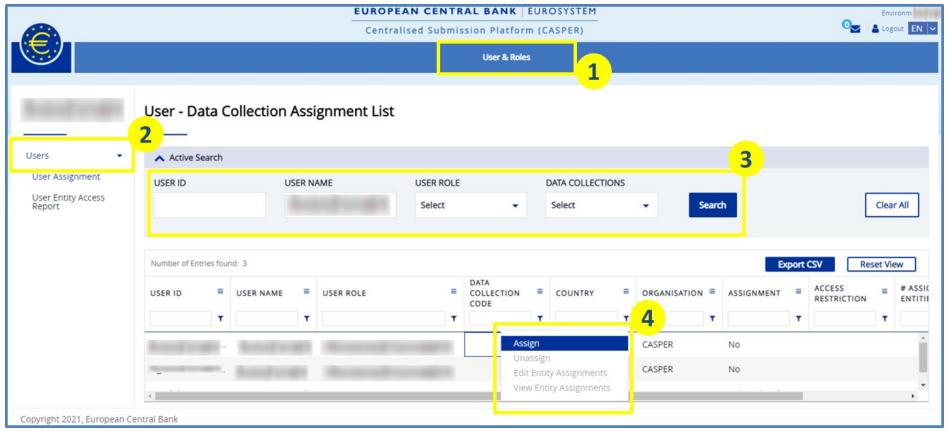

Figure 40: User & Roles screen

1. Click on the “User & Roles” tab.
2. In the left-hand pane, click on “Users” to view the data collection assignment list. You can search by user ID, username, user role or data collection.
3. Enter your search criteria and click on “Search”. The results are displayed in the grid below.
4. Select the user ID and the user’s role in the grid, right click on the line and select “Assign”.

A new window will open and you will be able to assign the user to one or more data collections, as shown in Figure 41. The list of collections available in this window depends on the collections to which you have been assigned.

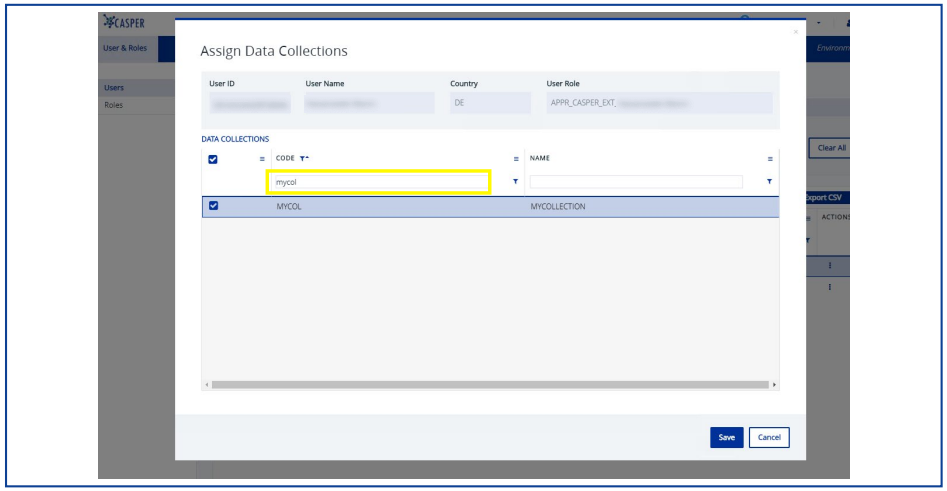

Figure 41: Data collection assignment screen

To assign the user to a collection, select the collection from the list and click on the checkbox, then click on the “Save” button.

3.1.4 Unassign users from collections

When necessary, you can also unassign users from a collection that you manage. This might be the case, for example, if a user transfers to a different business area within an organisation and submits data for another collection. As a user administrator, you are responsible for monitoring these matters and updating assignments to collections accordingly. Figure 42 and Figure 43 provide a step-by-step illustration of this process.

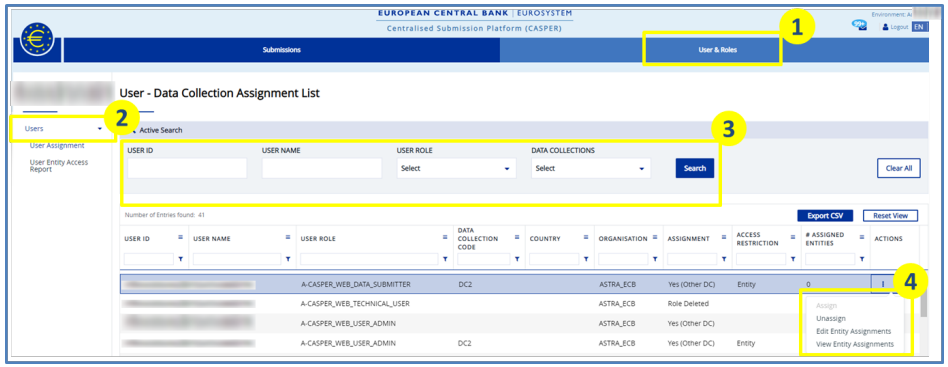

Figure 42: Data collection unassignment screen

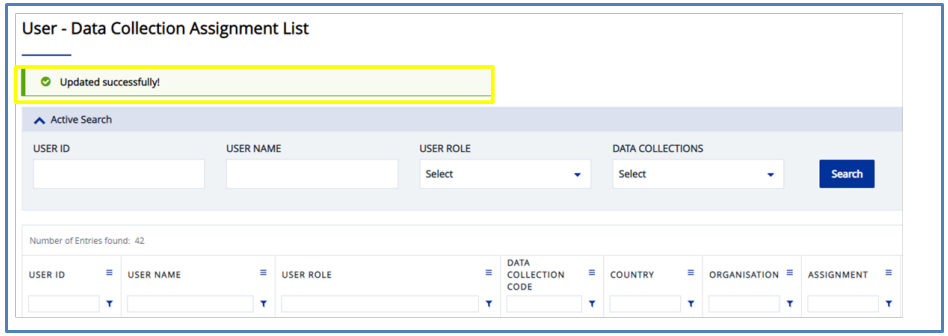

Figure 43: Data collection unassignment confirmation

Follow the steps below to unassign users from a collection.

1. Click on the “User & Roles” tab.
2. In the left-hand pane click on “Users” to view the data collection assignment list. Search by user ID, username or other fields.
3. Enter the user ID or name of the user that you would like to unassign from a collection and click on “Search”. The data collections the user is assigned to are displayed in the grid.
4. Select the data collection in the grid, right click anywhere in the row and select “Unassign”. To confirm your selection, click on “Confirm” in the pop-up window.
5. You will see the notification message: “Updated successfully”. You have successfully removed the user from the data collection.

You can only unassign users from data collections that have been assigned to you. Assignments to other data collections are indicated by the entry “(Other DC)” in the data collection column. These need to be managed by the external user administrator for the collection concerned.

When a user role has been removed from the ECB Identity Portal, the Assignment column will display the entry “Role deleted”.

3.1.5 Manage assignment to reporting entities

Once users have been assigned to a data collection and reporting entities created by the collection owner, user access to the entities can be established. Once users have obtained access to an entity, they will have access to the data for that entity. You are responsible for managing the access of other web users to entities, meaning that you can assign each individual entity (and data) to each user. See Section 3.1.5.1.

3.1.5.1 User assignment to entities

As a web user administrator, you can manage the assignment of entities to web users belonging to your organisation. Please note that this applies only if a user administrator has already assigned you to the data collection and entities concerned.

3.1.5.1.1 View entity assignment

The following steps explain how to view assigned entities. As a web user administrator, you can only view the entities to which you have been assigned.

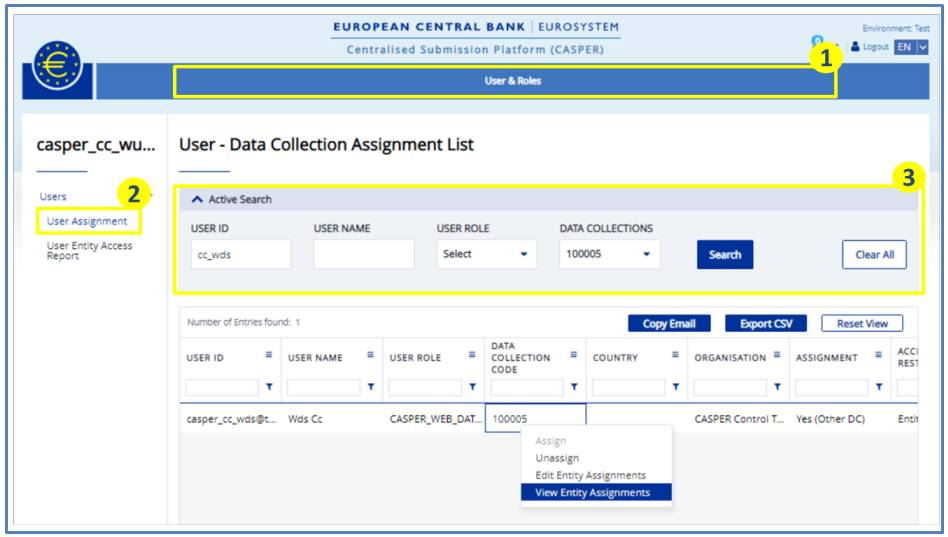

Figure 44: Data collection assignment list

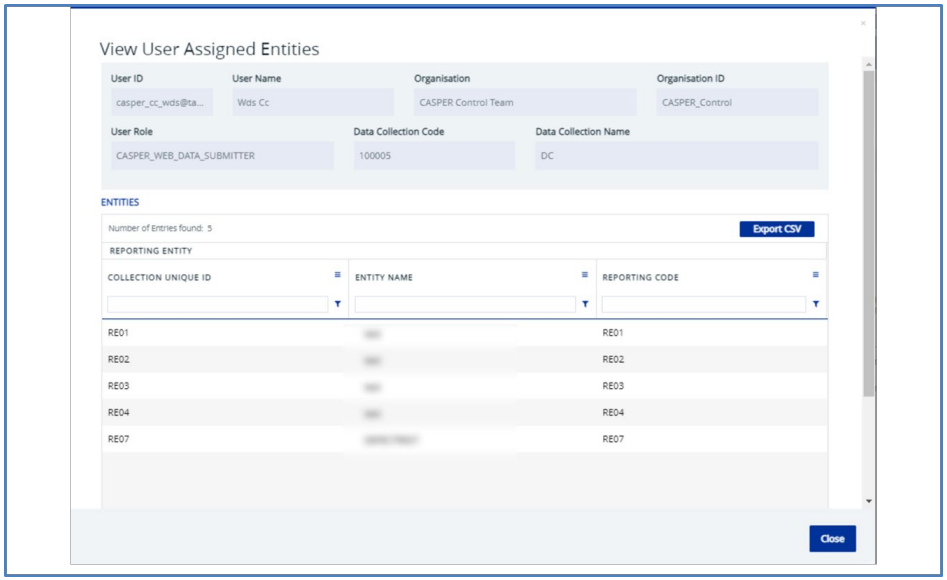

Figure 45: View user assigned entities

1. Click on the “User & Roles” tab.
2. In the left-hand pane, click on “User assignment”.
3. In the “Active search” pane, search for the user ID and data collection code for the user you want to assign to a reporting entity, then click on “Search”.
4. Right click on the desired user and select “View entity assignment”.

3.1.5.1.2 Edit entity assignment to users

As a web user administrator, you can assign and unassign users to the entities assigned to you.

The following steps explain how to assign users, typically web data submitters or other web user administrators in your organisation, to entities. Figure 46 and Figure 47 show the steps that must be followed.

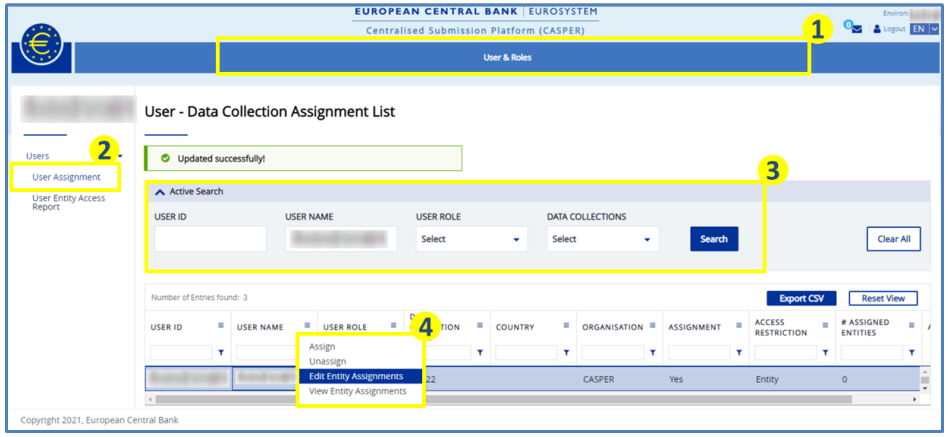

Figure 46: Data collection assignment list

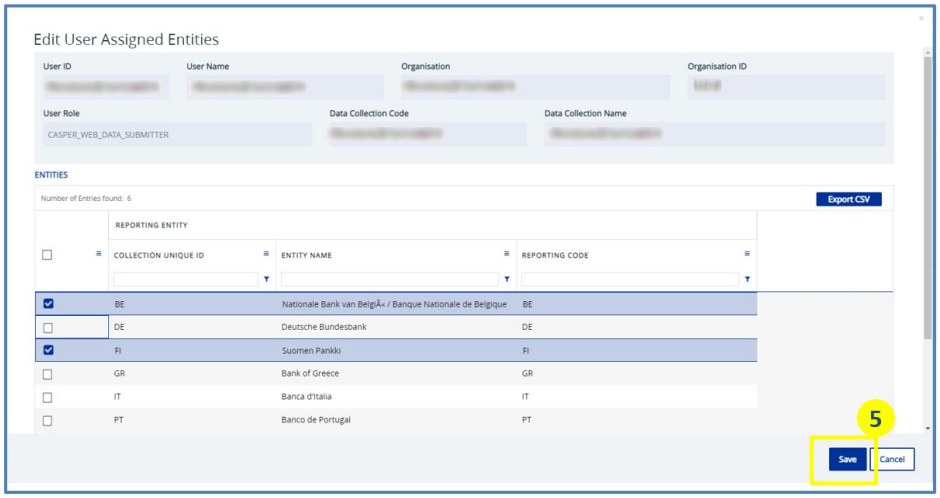

Figure 47: Edit user assigned entities

1. Click on the “User & Roles” tab.

2. In the left-hand pane, click on “User assignment”.

3. In the “Active search” pane, search for the user ID and data collection code for the user you want to assign to a reporting entity, then click on “Search”.

4. Right click on the desired user and select “Edit entity assignment”.

5. Select or unselect the desired entities from the list and click on “Save”.

Note that you cannot assign a user to a reporting entity if their organisation ID differs from the reporting entity's ID. The only exception to this rule is when the organisation ID of the entity is left empty.

3.1.6 View user entity access report

As a web user administrator, you can also see a summary of all users in your organisation assigned to given entities. Figure 48 shows the steps needed to perform a search in the user entity access report. You can search for different combinations of data collection, entities and user.

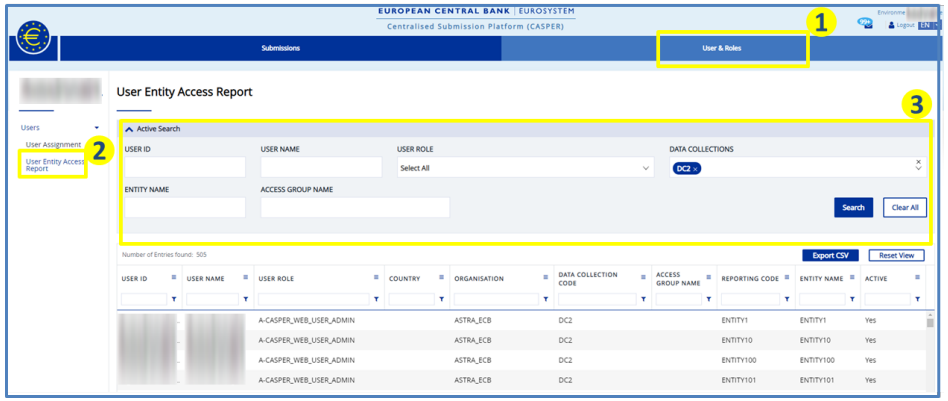

Figure 48: User entity access report

1. Click on the “User & Roles” tab.

2. In the left-hand pane, click on “User entity access report”.

3. In the “Active search” pane, insert the desired filters and press “Search”.

The user entity access report screen allows web user administrators to check users and their assignment to entities.

As a web user administrator, you have access to the data collections to which you are assigned. Within those data collections, you have access only to the entities that have already been assigned to you. Web user administrators are only authorised to see users in their own organisation.

3.2 Journey II: web data submitter

This journey describes the process for submitting files to CASPER. This is performed by data submitters.

Web users such as commercial banks, universities and individual users who do not belong to a specific organisation submit data over the internet. These users are called web data submitters.

Web data submitters are responsible for submitting data for the data collections to which they are assigned, and only on behalf of the reporting entities to which they are assigned.

In this section, you will learn about all possible scenarios that might occur during the data submission process. Please note that depending on your role you might notice some differences in the CASPER interface as compared with the figures in this chapter.

Web data submitters can only access a data collection to submit data if they have been assigned to it by the user administrator for that collection (see Section 3.1). They cannot assign themselves to a data collection.

Data submitters can access the list of reporting obligations and submit data for the entity to which they are assigned.

Figure 49 shows an overview of the individual steps in this user journey.

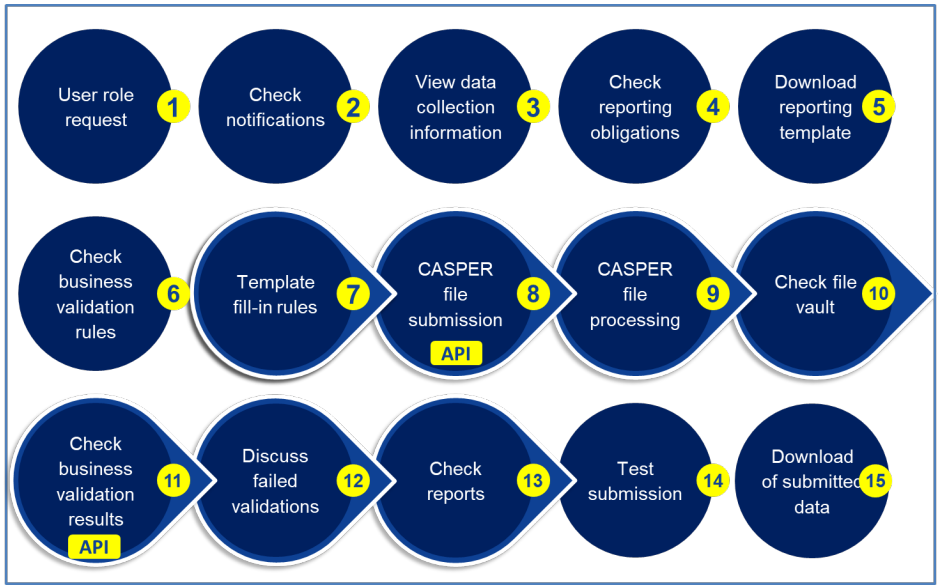

Figure 49: Overview of the data submitter journey

3.2.1 User role request, approval and assignment

User access to CASPER is granted in a two-stage process.

1. User role management
2. Data collection and assignment to reporting entities in CASPER

CASPER is integrated in the ECB Identity Portal, the access management system for web users. If you have an account on the ECB Identity Portal, a CASPER role can be assigned to you. To use CASPER as a web data submitter, you need to request a WEB_DATA SUBMITTER role by contacting your CASPER access administrator. If you do not know who your CASPER access

administrator is, please contact the ECB collection owner. For further information on web role assignments, see Section 2.1.

You need an ECB Identity Portal account to access CASPER over the internet. Once you have this, you can log in using the URL shown in Figure 50.

https://id.ecb.europa.eu/login/

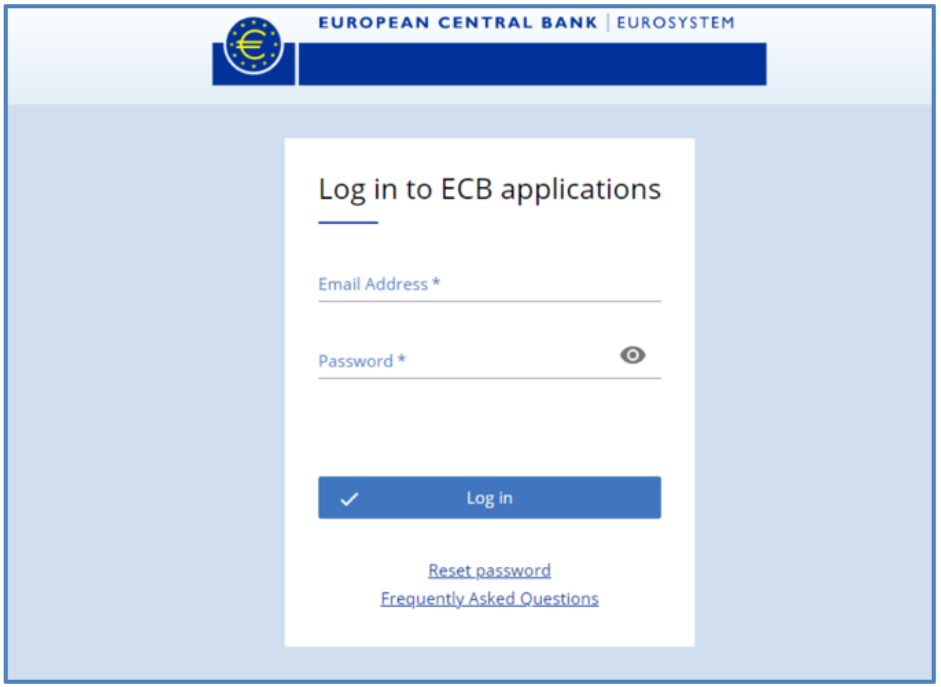

Figure 50: ECB Identity Portal login screen

Once the role has been assigned, you will be able to access CASPER.

3.2.2 Check notifications

CASPER generates notifications to inform users about established events in the collection lifecycle. By default, data submitters receive notifications for acceptance or rejection of submissions and other relevant events (the exact set of notifications may differ, depending on the setup for the data collection concerned). To view your notifications, log into CASPER and click on the mail symbol in the upper right-hand corner of the screen (Figure 51). The number on the notification icon shows new notifications that have not been read. Click on the icon to go to the notifications screen.

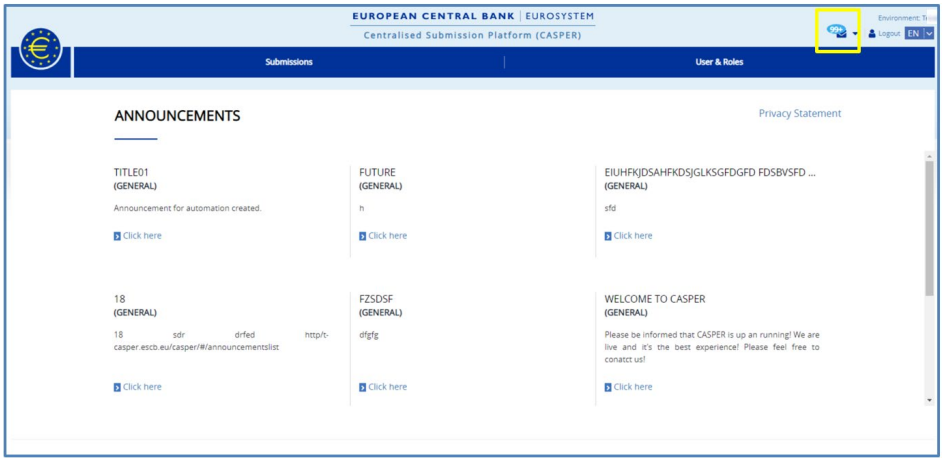

Figure 51: CASPER landing page

The highlighted box shows the notifications icon. Click on the icon to open the notifications screen.

Figure 52 shows the notifications screen. The list on the screen displays all available notifications for the CASPER roles and data collections assigned to you.

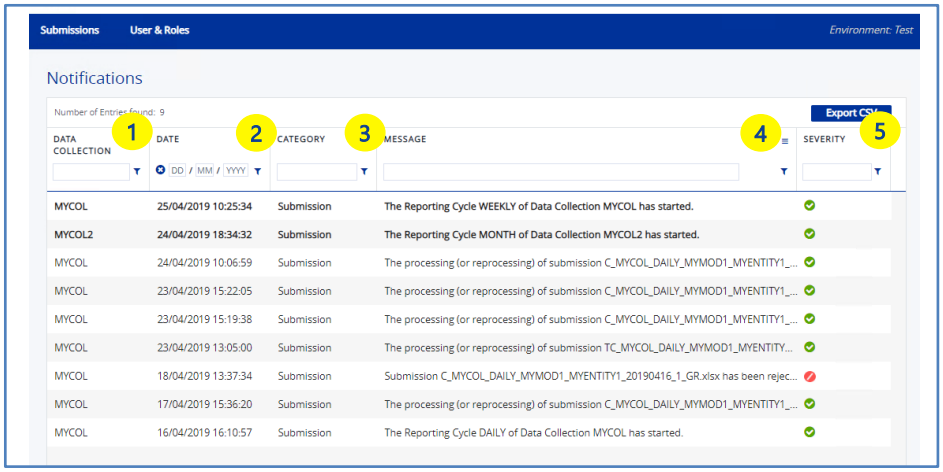

Figure 52: Notifications screen

Each entry in the list represents one notification and contains the information shown in the table below.

1. Data collection to which the notification relates
2. Exact date and time of notification
3. Category of notification
4. Description of notification
5. Severity of notification

There are three different kinds of notification severity in CASPER. A green icon indicates that an action has been completed successfully and no further action is required from the user. Amber indicates that the action has been completed but with a warning. Red indicates that a fatal error has occurred and requires user action.

Notifications are generated for specific CASPER events. There are nine events which could trigger a notification for a data submitter. Table 5 describes each event in detail.

Event type	Description
Submission accepted and a reporting obligation fulfilled	A successful file submission has been performed. Both the technical and business validation processes have been completed with no fatal errors. You still need to look at the result of the business validation to check for non-fatal errors and warnings.
Submission overdue	The deadline for a file submission has already expired. Submit the file as soon as possible.
Submission rejected (technical validation failed)	A file submission has failed because the technical validation process encountered an error. You will need to correct the error and resubmit, as the reporting obligation has not been fulfilled.
Submission rejected (business validation failed)	A file submission has failed because the business rules evaluation process encountered a fatal error. You will need to correct the error and resubmit, as the reporting obligation has not been fulfilled.
Reporting obligation created	A reporting obligation for your organisation has been created. You can submit data once the reporting cycle starts.
Reporting cycle started	The reporting cycle for a reporting obligation has started and you can now submit data.
Reporting cycle closed	Once the reporting cycle has closed, you will no longer be able to submit data. For more information on reporting cycles and data submission deadlines, see Section 3.2.5.

Event type	Description
Attachment upload succeeded	Notification confirming the successful upload of an attachment to a submission.
RA template upload succeeded	Notification confirming the successful upload of a reporting agent (RA) template.

Table 5: Data submitter notifications

3.2.3 View data collection information

As a data submitter, you can view detailed information about the data collection assigned to you.

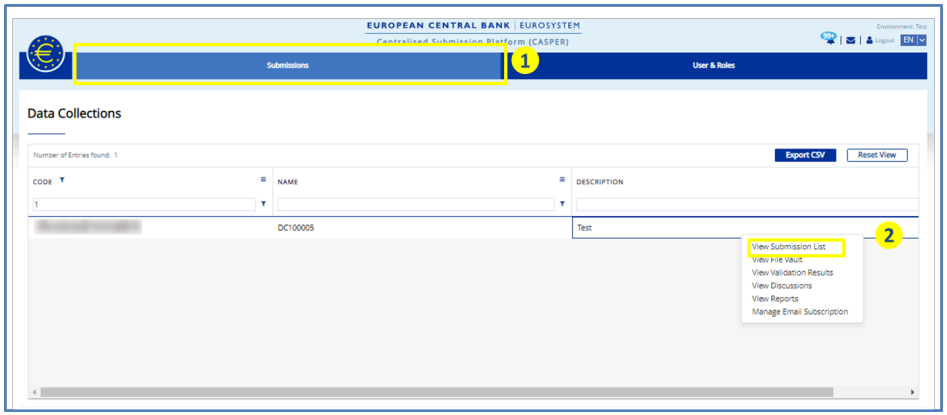

Figure 53: Submission landing page

To do this, follow the steps shown in the table below.

1. Go to the submissions screen and select the data collection.
2. Click on “Actions” and then “View submission list”.
3. On the submission list screen, click on “Information”.

You can see the data collection information by clicking on “Information” on the left-hand side of the screen (see Figure 54).

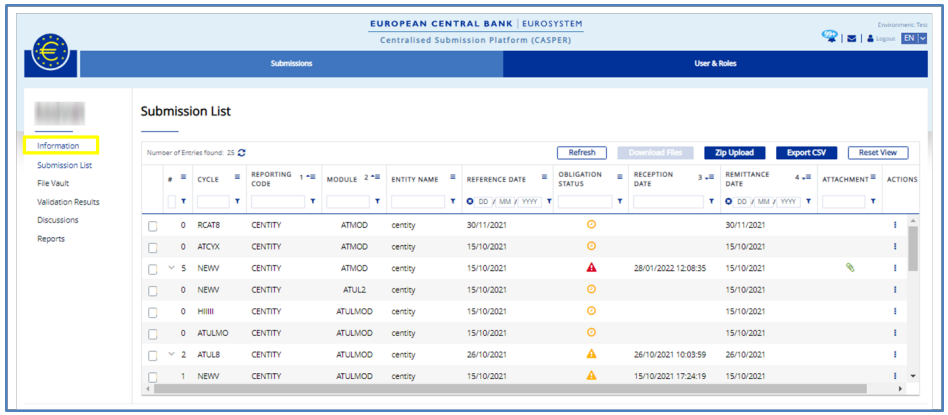

Figure 54: Submission list information

By clicking on “Information”, a new pop-up screen is displayed with information about your data collection, i.e. the data collection code, the name and a description. You can also see an email address with the contact details of the data collection owner, if provided.

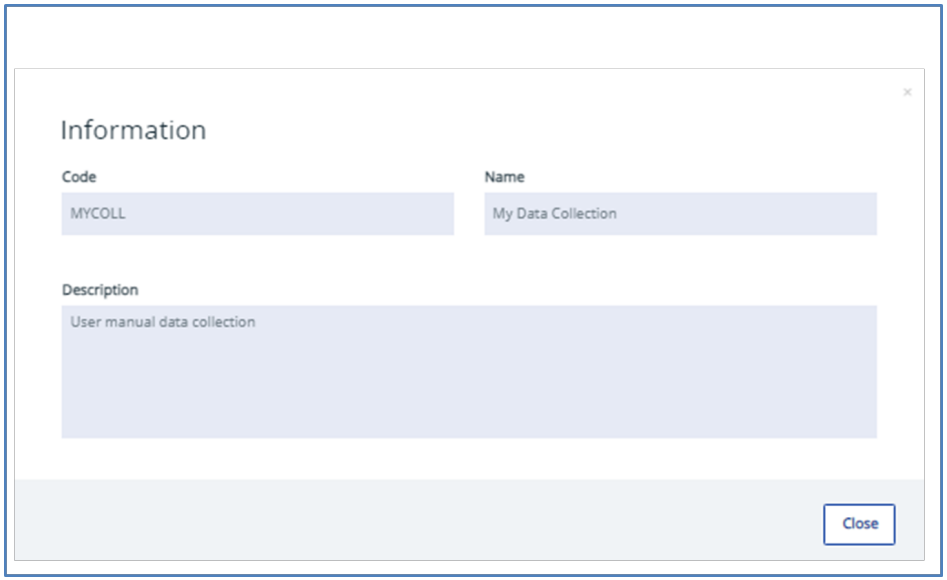

Figure 55: Submission List information pop-up

3.2.4 Event-based data collections

CASPER supports two types of data collection. Standard data collection is used when the collection owner expects a reporting agent to submit data with a predefined reference date. For a standard data collection, the reporting agent needs to fulfil a reporting obligation by performing a valid submission before the remittance date. In contrast, event-based data collection is used when the collection owner expects the reporting agent to submit data based on the occurrence of a certain event. In this case, the reference date of the submission is not known in advance. For event-based data collections, the reporting agent is expected to submit only if an event occurs. This is so that an obligation can be considered fulfilled with zero or multiple submissions.

3.2.5 Check reporting obligations

CASPER reporting obligations entail a reporting entity submitting a module file for a given reference date. In a traditional data collection, a reporting obligation is fulfilled if at least one completed submission complies with the reporting obligation for your organisation. In an event-based data collection, a reporting agent is supposed to submit only if a certain event occurs. This means that an obligation can have zero or multiple submissions depending on the number of events that have occurred. This section will illustrate how to check reporting obligations for standard and event-based data collections.

A collection owner is the person responsible for collecting data and monitoring the submissions for a data collection.

As a data submitter, you can view the reporting obligations for your organisation in data collections assigned to your user and submit data. To view the reporting obligations for a collection assigned to you, click on “Submissions” in the top menu bar, as shown in Figure 56.

1. The submissions screen opens. This displays a list of the data collections assigned to you, including the code, the name and a description for each one.
2. Select a data collection and click on “Actions”. A small pop-up box will appear with four options: you can go to the submission list screen, the file vault, the validation results or the discussion screen.
3. To view reporting obligations, click on “View submission list”. This will take you to the submission list screen.

The submission list screen displays all reporting obligations for a given collection for which you can submit or have already submitted files. Note that the submission list will not display information for files that have failed a technical validation or business validation with a fatal error. To view all the files you have submitted regardless of the final processing result, go to the file vault screen as described in Section 3.2.11.

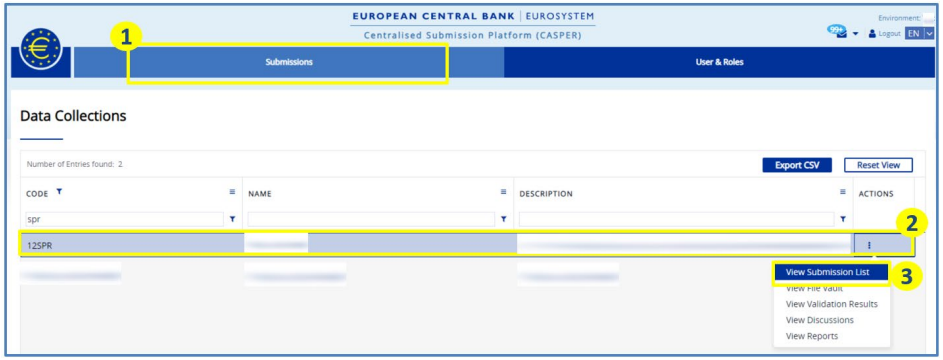

Figure 56: Submissions screen

For standard data collection, Figure 57 shows the submission list screen. A table is displayed with all the reporting obligations that belong to this data collection and your organisation.

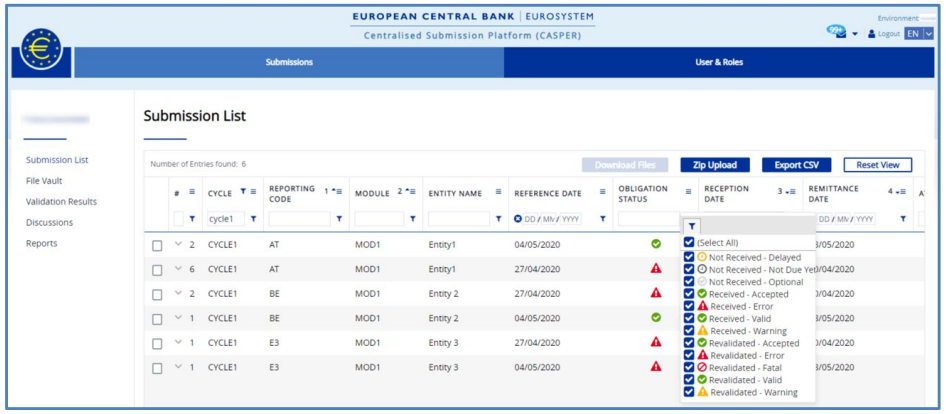

Figure 57: Submission list screen showing reporting obligations

The submission list screen and file vault screen are the main screens for data submitters: they are therefore referred to frequently in the later sections of this journey.

Table 6 gives an overview of all submission list attributes in the default view.

Attribute	Explanation
#	The column displays the total number of resubmissions. For child entries on the submission list screen, this field is blank. If there is no submission, it shows “0”.
Cycle	The reporting cycle is the time frame within which submissions of a specific set of modules for a given reporting obligation are accepted by CASPER. In the example above (Figure 57), the reporting cycle is named “CYCLE1”.
Reporting code	The code which identifies the reporting entity.
Module	The code of the module as established by the collection owner:

Attribute	Explanation
	• if it requires signing, the following icon will be displayed next to the module name: ; • if it requires encryption, the following icon will be displayed next to the module name: .
Entity name	The name of the reporting entity.
Reference date	The date to which the reported data refer.
Obligation status	The obligation status (Table 8).
Reception date	The date when the system received the file.
Remittance date	The due date for file submission.
Attachment	Indicates whether an attachment to the submission has been uploaded. Possible values: (yes); (no).
Actions	The list of actions for the reporting obligation.

Table 6: Submission List default attributes

In addition to the columns that are visible by default, you can add toggle columns for the attributes shown in Table 7.

Attribute	Explanation
Delay in days	The number of days between: • the remittance date and the date of receipt of the first successful submission; • the remittance date and the current date, if no submission has been made.
Failed attempts	The number of failed attempts before a successful submission.
Sequential number	The sequential number of the file (as explained in Section 3.2.9.2).
Entity type	The type of reporting entity, i.e. company, group or person.
Entity group	The name of the reporting entity group, as established by the collection owner.
Country	The country of the reporting entity (not applicable).
Cycle status	The status of the reporting cycle. Possible values: • started; • closed; • restarted.
Module version	The version of the module.
Expected	Indicates whether the reporting obligation is mandatory. Possible values: • Y (yes); • N (no).

Attribute	Explanation
Validation status	Status of the file after applying the business validation rules. Depending on the severity level of the highest rule failed, the status may be: • warning; • error; • fatal. If all rules are passed, the status will be: • valid. If the business validation rules were not executed, the status will be: • NA.
Revalidation date	Timestamp of the revalidation. Blank if the file has not been revalidated.
Number of errors	Number of validation rule failures that occurred during the business validation process with a severity level “error”. Blank if no submission was received.
Number of warnings	Number of validation rule failures that occurred during the business validation process with a severity level “warning”. Blank if no submission was received.
Export flag	Indicates that it has not been possible to export the submission data to DISC for technical reasons. Please contact a system administrator for assistance. Possible values: • Y (data have not been transferred); • (blank).
Requires encryption	Indicates whether the module submissions are to be encrypted by the RA. Possible values: • Yes • No
Requires signing	Indicates whether the module submissions are to be signed by the RA. Possible values: • Yes • No

Table 7: Submission List additional attributesPlease note that you might not be able to see files submitted in the past for reporting cycles that are now closed. Collection owners can hide obsolete data in the submission list.

On the upper right-hand side of the screen there are three blue buttons. Details of their functions are provided below.

Export CSV: Use this button to export the list view in CSV format.

Zip upload: Use this button to submit multiple files in .zip format. For more information on zip uploads, see Section 3.2.9.2.

Download files: Use this button to download the file(s) you have submitted. First enable the button by selecting at least one item from the list, checking the box at the beginning of a row. You can also select multiple items, in which case all the files selected will be zipped and downloaded.

There are two ways of checking your upcoming reporting obligations. First, the “Remittance date” column displays the due date for submissions for the reporting obligation concerned. Second, the “Status” column shows specific information about the current status of the reporting obligation. If you hover your mouse cursor over the icon, you will see the status details.

Table 8 shows the different types of reporting obligation status as displayed in the submission list, with a description.

Obligation status	Explanation
Not received – delayed	The remittance deadline for a file submission has already expired. Submit the file as soon as possible.
Not received – not due yet	The remittance deadline for a file submission has not yet arrived.
Not received – optional	File not received. However, submission of a file for this reporting obligation is not mandatory.
Received – valid	File received and both technical and business validations have been passed with no errors or warnings.
Received – warning	File received. Technical validations have been passed but the business validations encountered at least one error with a severity level “warning”. Your submission has nevertheless been accepted. You will need to contact the collection owner to check whether any further action is necessary.
Received – error	File received. Technical validations have been passed but the business validations encountered at least one error with a severity level “error”. Your submission has nevertheless been accepted. You will need to contact the collection owner to check whether any further action is necessary.
Revalidated – valid	A submitted file has been revalidated by the collection owner (e.g. after deactivating a validation rule) and the business validations have been passed.
Revalidated – warning	A submitted file has been revalidated by the collection owner (e.g. after deactivating a validation rule) and the business validations encountered at least one error with a severity level “warning”. The revalidation has nevertheless been accepted. You will need to contact the collection owner to check whether any further action is necessary.
Revalidated – error	A submitted file has been revalidated by the collection owner (e.g. after deactivating a validation rule) and the business validations encountered at least one error of with a severity level “error”. The revalidation has nevertheless been accepted. You will need to contact the collection owner to check whether any further action is necessary.
Revalidated – fatal	A submitted file has been revalidated by the collection owner (e.g. after deactivating a validation rule) and the business validations encountered at least one error with a severity level “fatal”. Resubmission is expected in these cases.

Table 8: Obligation status types

As a data submitter, by default you cannot revalidate a file submission yourself.

Collection owners establish a reporting obligation as either mandatory or optional. For mandatory obligations, the collection owner expects to receive a file submission fulfilling the reporting obligation concerned before the remittance deadline. However, optional reporting obligations grant the option to submit a file for the reporting obligation.

The submission file status for an optional obligation will not change to “Not received – delayed” even if the remittance date has expired and no file has been submitted.

All optional obligations will automatically disappear from the submission list screen once the status of the reporting cycle is “closed” (i.e. after the end date of the cycle), even if you have already submitted the file(s). However, the files will remain visible on the file vault screen.

You can submit multiple files, called resubmissions, for the same reporting obligation. The entries for multiple submissions are added as sub-entries to the main reporting obligation entry. You always see the latest submission as the main reporting obligation entry. To see all submissions, simply click on the small arrow in the # column to expand (as displayed in Figure 58).

Figure 58: Parent-child relationship for resubmissions

In the case of event-based data collections, the “Submission List”will be as per Figure 59.

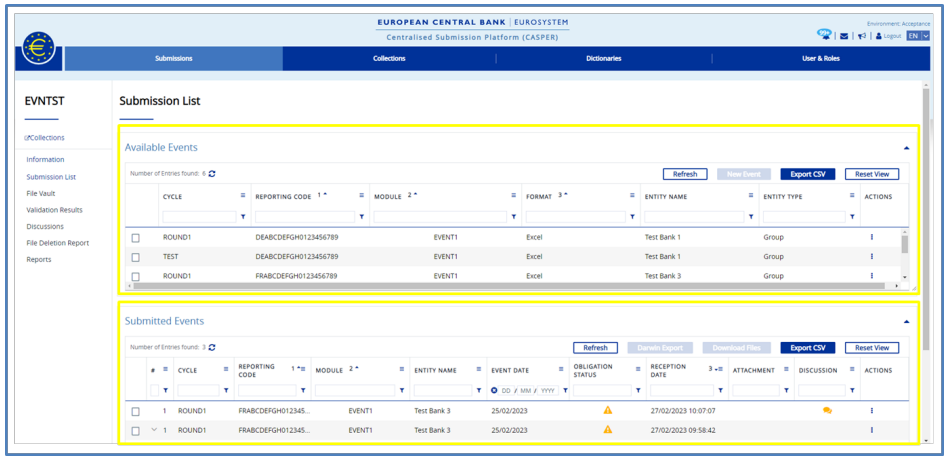

Figure 59: Submission list for event-based data collections

The screen is divided into two parts. The top part displays the available events for which you can submit your files. The second part displays the list of events for which you have already submitted files. Table 9 gives an overview of all the attributes in the default view.

Attribute	Explanation
Cycle	The reporting cycle is the time frame within which submissions of a specific set of modules for a given reporting obligation are accepted by CASPER.
Reporting code	The code that identifies the reporting entity.
Module	The code of the module as defined by the collection owner. If it needs to be signed, the following icon will appear next to the module name: .

Attribute	Explanation
	If it requires encryption, the following icon will appear next to the module name: 🔒 .
Entity name	The name of the reporting entity.
Format	The format of the module, i.e. Excel, CSV or XML.
Entity type	The type of entity.
Actions	This displays the list of actions for the event, such as: • New event: perform a submission for an available event; • Revalidate: trigger a revalidation (only possible for internal collection designers); • Download template: download the template of the reporting obligation; • View validation rules: visualise the validation rules implemented for the particular event.

Table 9: Submission list attributes for event-based data collections

In addition to the columns that are visible by default, you can add toggle columns for the attributes as shown in Table 10.

Attribute	Explanation
Cycle start date	Start date of the available event
Cycle end date	End date of the available event: after this date, an event will not be “available” anymore and will disappear from this list.
Entity group	Entity group of the reporting obligation
Cycle status	This show the status of the cycle and can be one of the following values: • Closed; • In preparation; • Restarted; • Started.
Module version	The version of the module
Export flag	The export flag indicates that submission data could not be exported to DISC for technical reasons. Please contact a system administrator for assistance. Possible values are: • Y (data have not been transferred); • (blank).
Requires encryption	This attribute means that the module submissions are to be encrypted by the reporting agent. Possible values are: • Yes; • No.
Requires signing	This attribute appears if the module submissions are to be signed by the reporting agent. Possible values are: • Yes; • No.

Table 10: Optional attributes for submitted events

The lower part of the screen in Figure 60displays the list of submitted events. A detailed explanation of the attributes that appear in the default view can be found in Table 11.

Attribute	Explanation
Cycle	The reporting cycle is the time frame within which submissions of a specific set of modules for a given reporting obligation are accepted by CASPER. In the example above (Figure 57), the reporting cycle is named “DAILY”.
Reporting code	The code that identifies the reporting entity.
Module	The code of the module as defined by the collection owner. If it needs to be signed, the following icon will appear next to the module name: . If it requires encryption, the following icon will appear next to the module name: .
Entity name	This is the name of the reporting entity.
Event date	This is the event date of the submission. This information is filled in by the reporting agent whenever an event-driven submission is made.
Obligation status	This is the status of the obligation, as shown in Table 8.
Reception date	The date on which the file was received.
Attachment	This indicates whether an attachment to the submission has been uploaded. Possible values: • (yes); • (no).
Discussion	This is the status of the discussion for a particular submisson. If a discussion exists for a particular submission, this attribute will be populated by an orange chat icon and will otherwise be left empty.
Actions	This is the list of actions for a submission: • Resubmit event: re-upload a file for that particular event; • Download: download submitted file; • View validation results: visualise any failing validation rule; • Download template: download the template of the reporting obligation; • Revalidate: run a revalidation on the submitted file. This option is only available for collection owners; • Upload attachment: upload an attachment; • Download attachment: download the last attachment which was submitted; • View validation rules: visualise the validation rules implemented for the particular event; • Discuss: start a discussion regarding the submission.

Table 11: Submission events list

In addition to the columns that are visible by default, you can add toggle columns for the attributes as shown in Table 12.

Attribute	Explanation
Event comment	Comment entered by the data submitter during the submission process
Failed attempts	The number of failed attempts before a successful submission
Sequential number	The sequential number of the file (as explained in Section 3.2.9.2)
Entity type	The type of reporting entity i.e. company, group or person
Entity group	The name of the reporting entity group as defined by the collection owner
Entity Country	This is the country of the reporting entity. This column is populated only if the access restriction of the data collection is set to “country” (as per Section 3.2.5).
Cycle status	This is the status of the reporting cycle. Possible values are: • started; • closed; • restarted.
Validation status	Status of the file after applying the business validation rules. Depending on the severity level of the validation rules, the status may be: • warning; • error; • fatal. If all rules are performed, the status will be: • valid. If the business validation rules were executed, the status will be: NA. : “Not applicable”

Attribute	Explanation
Revalidation date	This is the timestamp of the revalidation, and remains blank if the file has not been revalidated.
Number of errors	This shows the number of validation rule failures that occurred during the business validation process with the severity “error”. This field is blank if no submission has been received.
Number of warnings	This shows the number of validation rule failures that occurred during the business validation process with the severity “warning”. This field is blank if no submission was received.
Export flag	This indicates that submission data could not be exported to DISC for technical reasons. Please contact a system administrator for assistance. Possible values are: • Y (data have not been transferred); • (blank).
Requires encryption	This attribute means that the module submissions are to be encrypted by the reporting agent. Possible values are: • Yes; • No.
Requires signing	This shows whether the module submissions are to be signed by the reporting agent. Possible values are: • Yes; • No.

Table 12: Submission events list additional attributes

3.2.6 Download reporting template

A file submitted to CASPER will only be accepted if it is based on the reporting template for the reporting obligation in question. The reporting template is a file configured by the collection owner that has to be completed by the data submitters and uploaded to CASPER. It has the requisite format and structure, and it contains either dummy data or no data at all. Please note that the collection owner might not provide the template.

For detailed instructions on how to complete a reporting template, see Section 3.2.8.

If the reporting template is supplied by the collection owner, data submitters can download it the from the submission list – the same view used to monitor reporting obligations and perform submissions. Figure 60 and Figure 61 show how to download a reporting template.

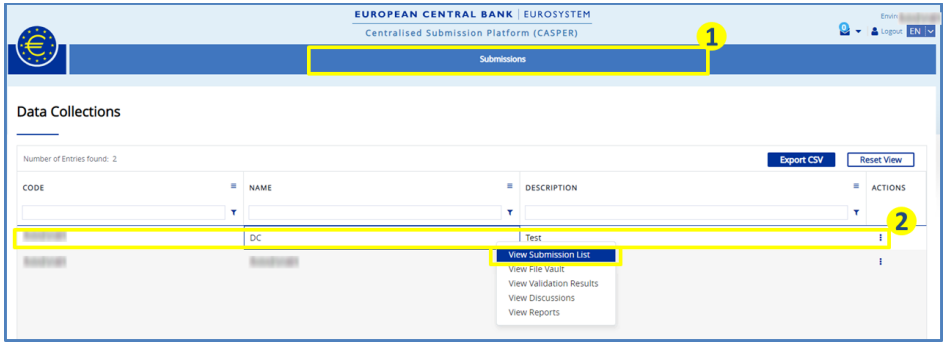

Figure 60: Submissions screen for downloading a reporting template

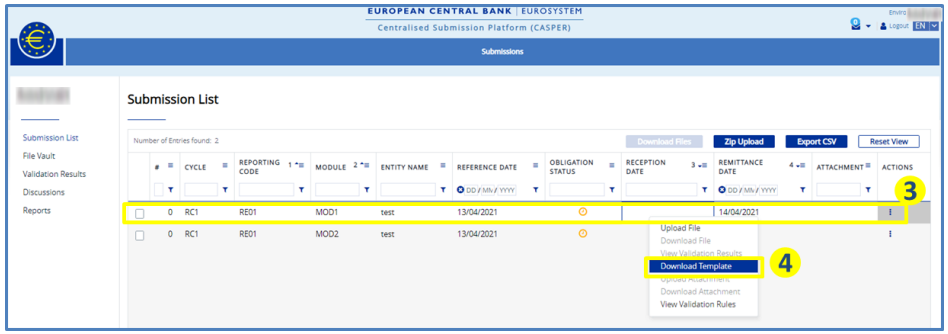

Figure 61: Downloading a reporting template

The steps shown in the table below should be followed.

1. Go to the submissions screen and select the data collection for which you would like to download the reporting template.
2. Click on “Actions” and then “View submission list”.
3. On the submission list screen, select a reporting obligation.
4. Click on “Actions” and then “Download template”.

3.2.7 Check business validation rules

One of CASPER’s key features is that it validates the data submitted. If configured by the collection owner, the platform will validate uploaded files against all validation rules applicable to the reporting obligation. It is important for data submitters to understand the validation rules against which their data will be checked. CASPER therefore enables these rules to be viewed before data submission.

On the “Submission List” screen, select the reporting obligation (or the available event in the case of event-based data collections) for which you would like to

check the validation rules, then click “Actions” and select “View Validation Rules”, as shown in Figure 63 below.

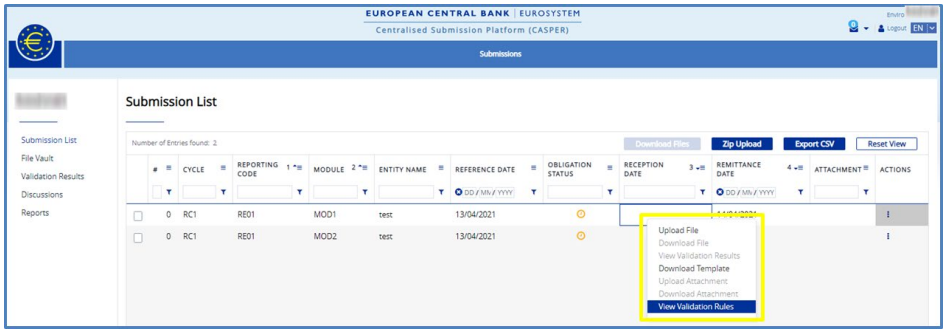

Figure 62: Validation rules navigation

The system redirects you to the validation rules screen. Figure 63 shows the different areas of the screen. The highlighted box displays key attributes for the reporting obligation. The list shows all the validation rules applicable to the submission concerned. Table 13 describes the attributes of the validation rules.

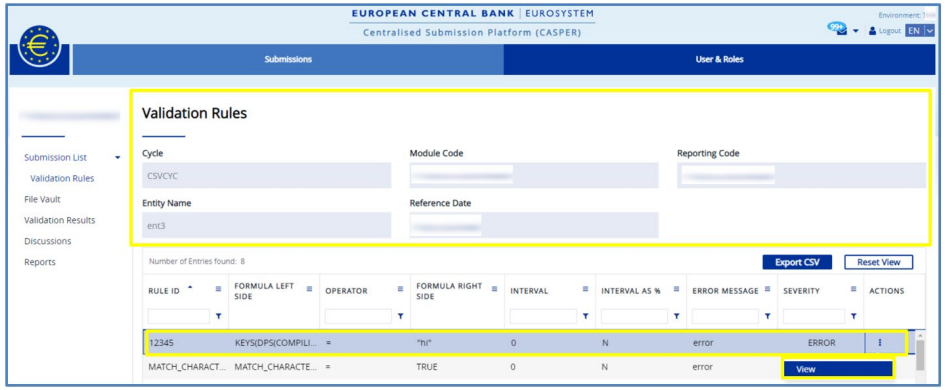

Figure 63: Validation rules screen

Attribute	Explanation
Rule ID	The unique ID of the validation rule.
Formula left side	The left-hand side of the formula, evaluated after the submission.
Operator	The comparison operator that compares the content of the left-hand side of the formula with the right-hand side.
Formula right side	The right-hand side of the formula, evaluated after submission.
Interval	The range for value deviation. This is a positive integer.
Interval as %	Indicates whether the interval is a percentage or an absolute value. Possible values: • Y (yes); • N (no).
Error message	The error message if validation fails. The message may include the specific failed observation value.
Error severity	The severity of the error. There are three levels of severity: • warning; • error; • fatal.
Description	A detailed description of the validation rule.
External rule	Possible values: • Y (yes) if the rule is external and therefore not executed in CASPER; • N (no) if the rule is internal.

Attribute	Explanation
Actions	The list of actions you can perform for every file. Only one option is available: • view the definition of the validation rule.

Table 13: Validation rule attributes

You can view the definition of the validation rules. Select the rule and click on “Actions” and then “View”. This opens a read-only pop-up window which shows important information about the definition of the rule, as described in Table 12. Figure 64 shows the pop-up window.

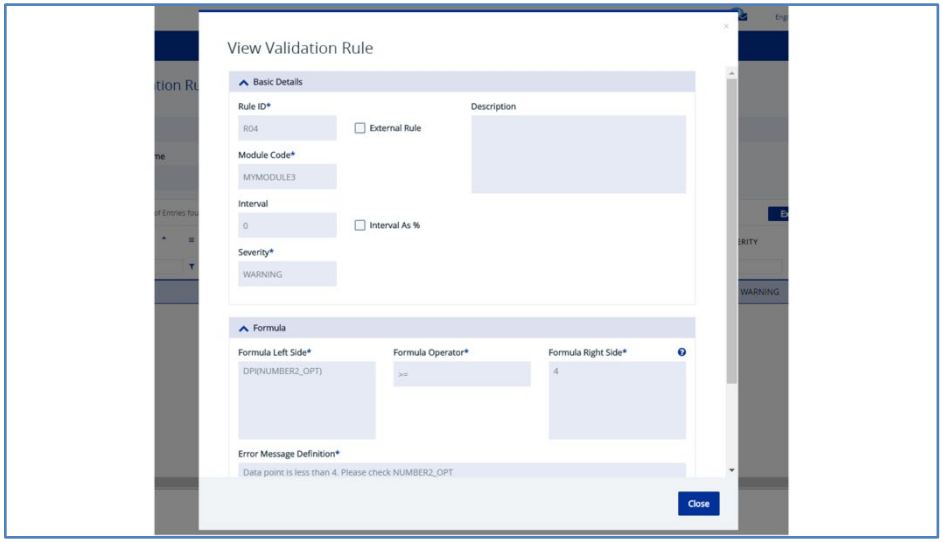

Figure 64: Validation rule pop-up window

Business validation rules follow the proprietary CASPER validation rule syntax, combining functions, operators and data points for data validation. Collection owners might therefore need to provide further instructions to data submitters to inform them precisely how the data will be validated.

3.2.8 Template completion rules

An essential step in the data collection process is to complete the reporting template by entering the relevant data according to the completion rules set by the collection owner. Mistakes during the data preparation process, or changes to the reporting template, could lead to unexpected validation results or even the rejection of the submission. Once you have downloaded a reporting template, it is important to understand the rules on how and where to enter the data. In some cases, templates include instructions on how and where to fill them in. If you require further information, please contact the collection owner.

Some key points to help you in this process are shown below.

Do not make changes to the structure of the template provided, such as adding or removing worksheets. Do not change worksheet names.

Do not alter the existing password protection, such as adding or removing the protection for the workbook or single worksheets.

Do not change the formatting of the template, such as changing the data type or number of decimal places (number type only) for cells that are being reported (observation cells).

Do not change the content of any cells other than observation cells, i.e. the cells for which data are required. Some templates contain Excel formulas to calculate certain cell values. Do not change any formulas.

Read the column headers as well. They explain what type of data are required for the observation cells.

A sample reporting template with observation cells is shown in Figure . The actual template may differ in terms of layout, column headers and completion instructions.

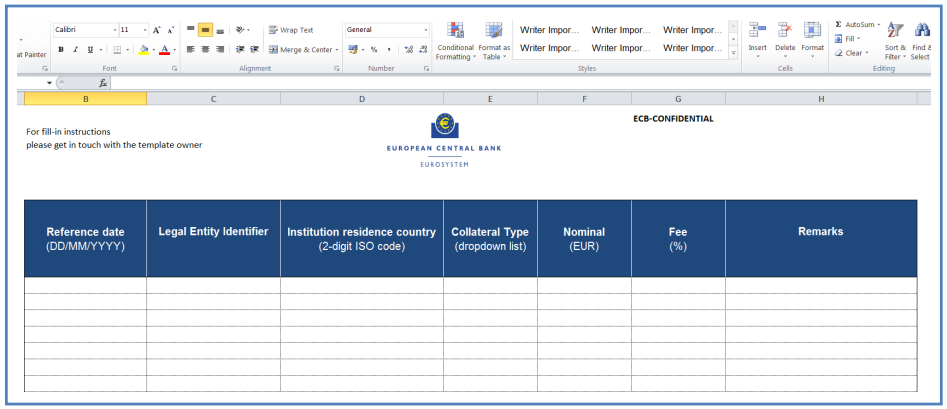

Figure 65: Sample reporting template

Figure 66 shows the template with data completed for the first three rows. Please use a similar approach to complete the rest of the data.

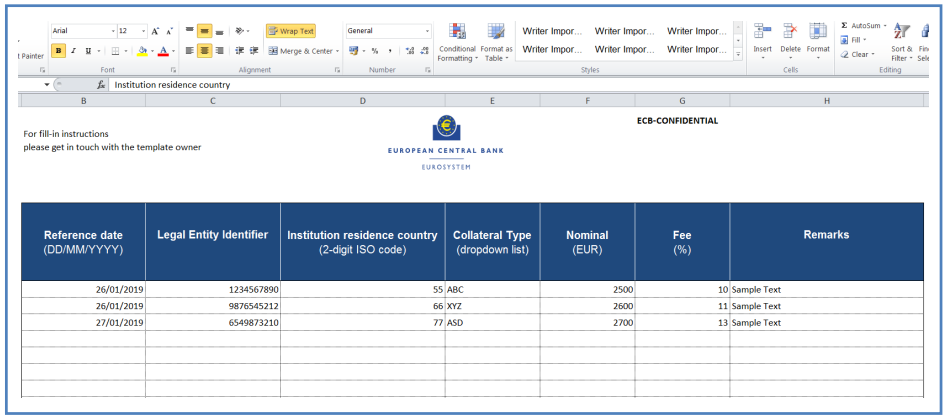

Figure 66: Sample reporting template with completed data

3.2.9 Submitting files in CASPER

CASPER provides two different ways of submitting files. You can upload either a single file (zipped or unzipped) for a specific reporting obligation, or a zip file containing one or more files. The second option is very useful when you have multiple reporting obligations and it is only available for standard data collections (which are not event-based).

In addition, you can upload one explanatory document as an attachment to each submission. See Section 3.2.9.5 for more information on attachments.

There are specific rules on file names and extensions that must be followed:

- the file extensions accepted are: xlsx, xlsm, xlsb, csv, txt, xml, xsd, zip, gz, pdf, docx, mat and msg;
- the characters permitted in the file name are: A-Z, a-z, 0-9, +, -, ~, $, &, #, @, (,), [,], {, } and space;
- the file name cannot have more than one full stop symbol (“.”).

3.2.9.1 Single file upload

Figure 67 shows the single file upload process for non-event-based data collections. Follow the steps below to upload the file.

1. Go to the submission list screen, select the reporting obligation for which you would like to submit a file and click on “Actions”. A small box pops up containing eight options (shown in Table 14).
2. To upload a single file, click on the first option: “Upload file”.

Available actions	Explanation
Upload file	Upload a single file for this specific reporting obligation.
Download file	Download the file submitted.
View validation results	View the validation results for the specific file submission.
Download template	Download the reporting template you want to complete and submit.
Upload attachment	Available only if the submission is successful.
Update attachment	Available only if an attachment has been uploaded.
Download attachment	Available only if an attachment has been uploaded.
View validation rules	View the business validation rules applicable for this reporting obligation.

Table 14: Available reporting obligation actions

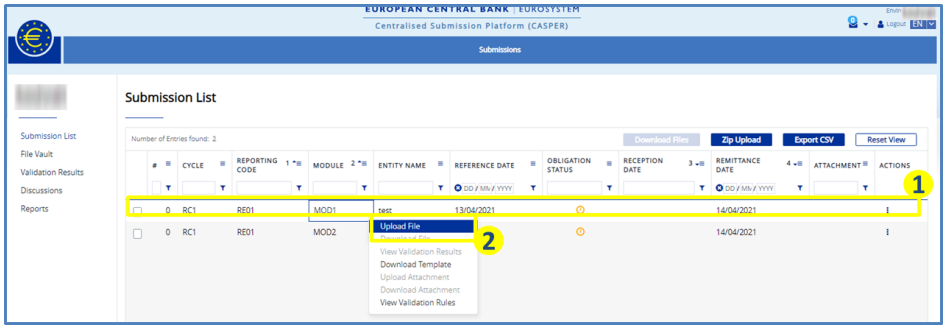

Figure 67: Single file submission process

The system shows a file upload pop-up window with information about the reporting obligation. Please make sure that the file you are submitting belongs to this reporting obligation. The file can be submitted in either uncompressed or compressed form if the zip folder only contains the file itself. Follow the steps to complete the file upload process as shown in Figure 68.

Figure 68: File Upload pop-up window

1. Click on the “Browse” button to select the file.
2. Once you have selected the file, you will also see the file name.
3. Only check this tick box if you would like to upload a file for testing purposes. For more details on the test submission process, see Section 3.2.13
4. Click on the “Upload” button to upload the file. The system shows the progress of the upload until it is complete.
5. The system displays confirmation that it has received the file and started the validation process. Click on “Link to file vault” to view the file processing status, as shown in Figure 69.

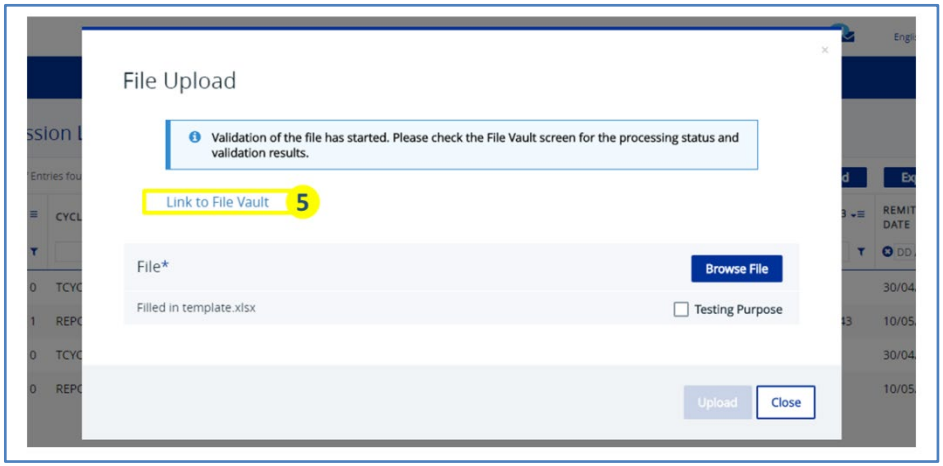

Figure 69: File upload confirmation screen

The system redirects you to the file vault screen, where you can see all the files you have submitted, along with their processing status. For more information on the file vault, see Section 3.2.11.

The workflow is very similar for event-based data collections. At any time, a data submitter can perform an event-driven ad hoc submission for an available event (i.e. a reporting obligation that has not yet reached the end date) by following the procedure explained in Figure 70

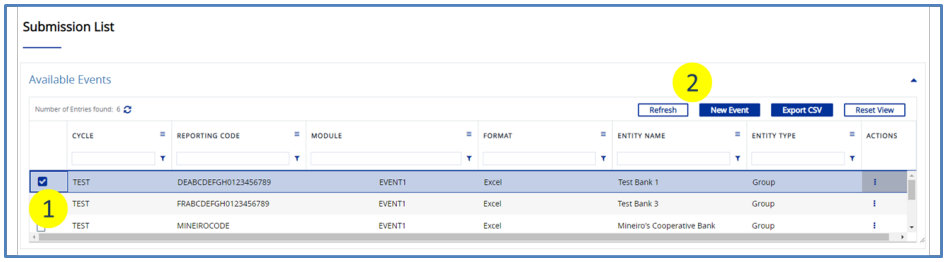

Figure 700: Event-driven submission

1. Go to the "Submission List" screen and select the available event for which you would like to perform a submission by clicking on the corresponding radio button.
2. Once the event is selected, the user will be able to choose the file for submission by clicking on the "New Event" button.

You can also trigger a submission by right clicking on the available event and selecting "New Event".

Following this procedure, the pop-up shown in Figure 68 will appear. The user will be able to select the submission file by clicking the "Browse File" button.

The user will need to enter the event date of the submission. The submitter can also include a comment using the field "Event Comment".

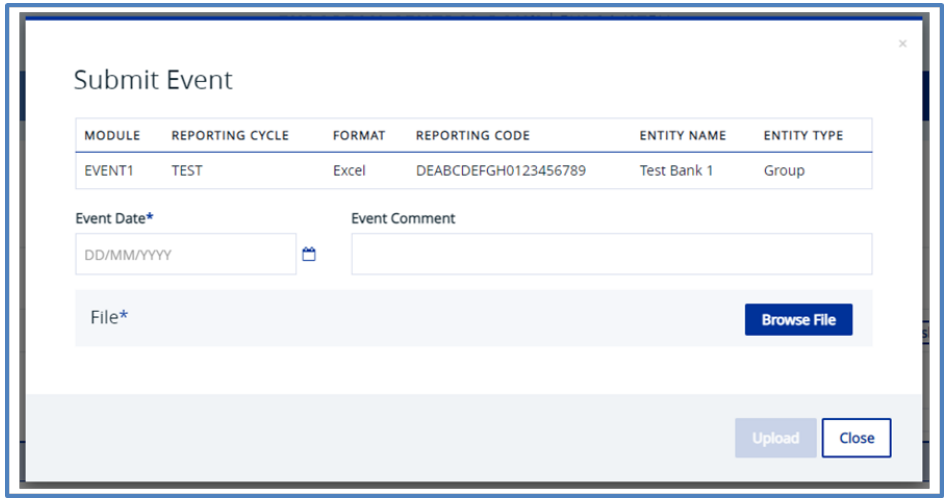

Figure 71: "Submit Event" pop-up

The event date of the submission must lie inside the reporting cycle.

3.2.9.2 Zip file upload

The second option for uploading files is a zip file bulk upload. This is a convenient option when you would like to upload more than one file at once. The files may relate to several reporting obligations. To upload a zip file, first find the “Zip Upload” button on the submission list screen (Figure 69). By clicking on it, you will see a pop-up box for a zip file upload, as shown in Figure 70.

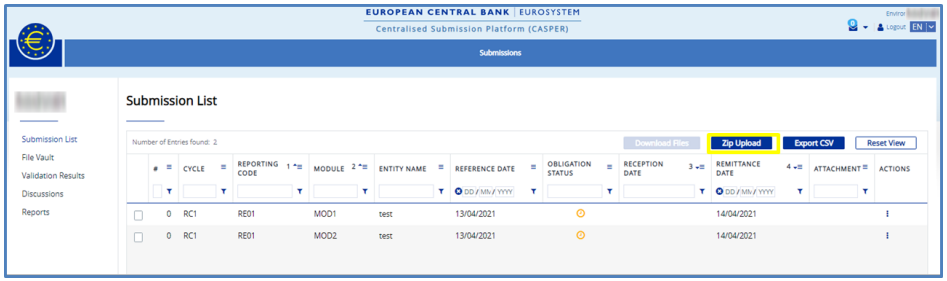

Figure 72: Zip file submission process

Click on the “Browse” button and select the zip file. When you select the file, you will see the file name displayed in the pop-up box, as shown in Figure 70. Check the file name to ensure it follows the naming convention.

Unlike a single file upload, all Excel files in a zip file need to follow a specific file naming convention, otherwise the system will not be able to link the files to the corresponding reporting obligation. The format for the naming convention is:

FileType_DataCollection_ReportingCycle_Module_ReportingEntity_ReferenceDate_SequentialNo_EntityType

The attributes used in the naming convention are explained in Table 14.

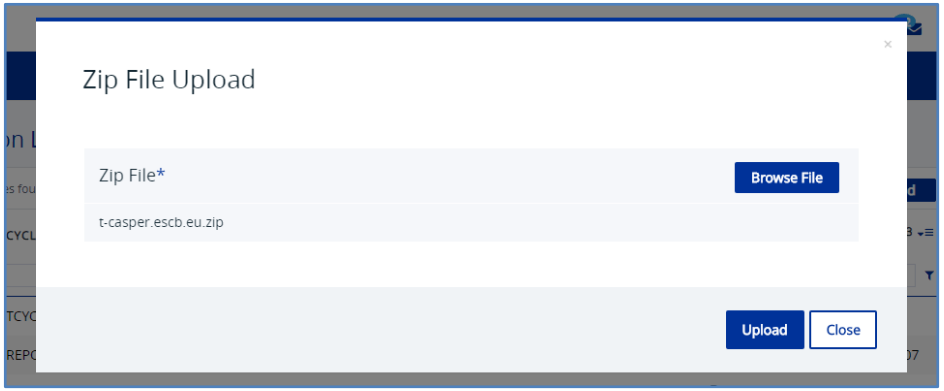

Figure 73: Zip file upload pop-up window

CASPER allows a maximum of 100 MB per file for every upload. If you are using the zip upload functionality, make sure that the total size of the zip file does not exceed 100 MB.

As a data submitter, you have the option of submitting multiple files for a given reporting obligation. This process is called “resubmission”. Resubmissions can be distinguished by their sequential number, which needs to be set for files uploaded in a zip file. The first file you submit will have the sequential number 1. All subsequent files for that reporting obligation require a higher number in order to be accepted by CASPER.

Table 15 explains the attributes used in the naming convention.

Attribute	Explanation
File type	General type of the file being submitted. In CASPER release 1.2 the only possible values are: • "C" for an actual submission; • "TC" for a test submission.
Data collection	The code for the data collection; found on the left-hand side below the top navigation bar when a collection is selected.
Reporting cycle	The name of the reporting cycle; found in the "cycle" column in the submission list view.
Module	The code for the module; found in the "module" column in the submission list view.
Reporting entity	The abbreviation of the reporting entity, also known as the reporting code; found in the "reporting code" column in the submission list view.
Reference date	The reference date; found in the "reference date" column in the submission list view. Please note that for zip uploads the reference date needs to follow the pattern YYYYMMDD.
Sequential number	When uploading files using a zip file it is important that you provide the correct sequential number in the file name. This must be higher than the sequential number of the last file submitted/resubmitted for that specific reporting obligation. The maximum sequential number value supported by CASPER is 99. The value can be found in the "sequential number" toggle column in the submission list view.
Entity type (optional)	The type of reporting entity, e.g. company (solo), group (consolidated) or person. The entity type can be found in the "entity type" toggle column in the submission list view. Use abbreviations such as: • CO (company); • GR (group); • PE (person); as required.

Table 15: Naming convention attributes

Each file in the zip file needs to follow the naming convention format. The zip file itself does not need to follow the naming convention format.

Once you submit the file, you will see confirmation that the validation process for the files has started. Click on "Link to file vault" to check the status of your submission.

3.2.9.3 Encrypted and signed files

To ensure the confidentiality and integrity of submitted data, CASPER supports encrypted and/or signed modules. These particular modules only accept encrypted and/or signed submissions and can be easily identified by the encryption icon ( ) and the signed icon ( ) in the submission list screen next to the module name, as shown in Figure 71. For further information and a step-by-step guide on how to encrypt or sign a file, please contact the CASPER Control Team.

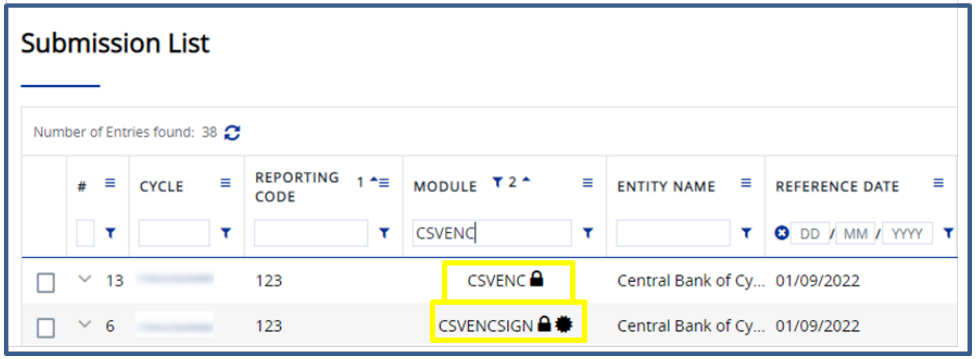

Figure 74: Encrypted and signed modules in submission list view

3.2.9.4 Upload limits

CASPER has different file size limits depending on the file reception method and the module setup. The bulk upload described in Section 3.2.9.2 has a maximum file size of 100 MB (this refers to the total size of the zip folder, irrespective of the original size of the files included). The maximum file size for the individual file upload (described in Section 3.2.9.1) depends on the setup that the collection owner has put in place.

If you submit an unzipped file which is rejected because of the size limit, you can zip it to reduce its size and submit it again.

Upload type	Maximum **raw/uncompressed file** size	Maximum **individual file upload** size (uncompressed or zipped)	Maximum **zip file bulk upload** size
Upload via	UI or API	UI or API	UI only
Excel	Up to 100 MB	Up to 100 MB	Up to 100 MB
CSV Standard	Up to 100 MB	Up to 100 MB	
CSV Lean	Up to 650 MB	Up to 500 MB	
CSV Extra Lean	Up to 2560 MB	Up to 1024 MB	
External	Up to 1024 MB	Up to 1024 MB	

Table 16: Upload limits

3.2.9.5 Adding an attachment to a submission

CASPER makes it possible to upload attachments for each file successfully submitted. This functionality is available only if no attachment has yet been uploaded for the submission concerned. Attachments may be added to a submission to provide the collection owner with further details, or an explanation of the data submitted.

There are specific rules on the file name and extension that must be followed:

- the file extensions accepted are: xlsx, xlsm, xlsb, csv, txt, xml, xsd, zip, gz, pdf, docx, mat and msg;
- the characters permitted in the file name are: A-Z, a-z, 0-9, +, -, ~, $, &, #, @, (,), [,], {, } and space;
- the file name cannot have more than one full stop symbol (“.”).

Note that only one attachment per submission is supported. Once uploaded, the attachment cannot be modified or removed.

Figure 75 shows how to start the attachment upload process. Follow the steps below to upload the file.

1. Go to the submission list screen, select the reporting obligation for which you would like to submit an attachment and click on “Actions”. A small box with the available options will appear.

2. To upload an attachment, click on “Upload attachment”.

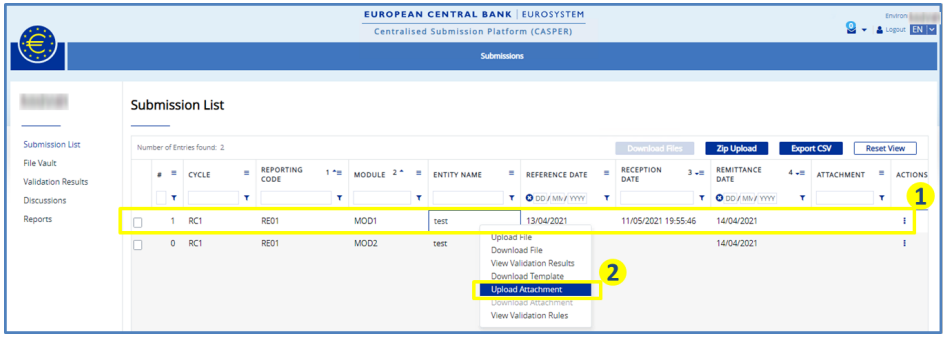

Figure 75: Attachment upload process

The system shows a file upload pop-up window. This displays the details of the reporting obligation concerned. Please make sure that the file you are submitting relates to this reporting obligation. Follow the steps to complete the file upload process as shown in Figure 76.

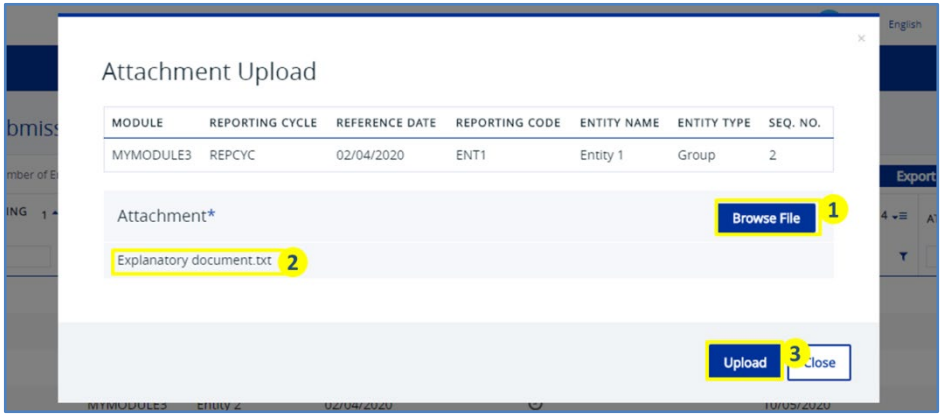

Figure 76: Attachment Upload pop-up window

1. Click on the “Browse” button to select the file.

2. Once you have selected the file, its name is displayed.

3. Click on the “Upload” button to upload the file. The system shows the progress of the file upload until it is completed.

4. The system displays confirmation that the file has been received and will be displayed in the submission list (Figure 74), from where the collection owner can download it.

5. It is possible to update an existing attachment by clicking on “Update attachment” in the “Actions” menu of the submission list.

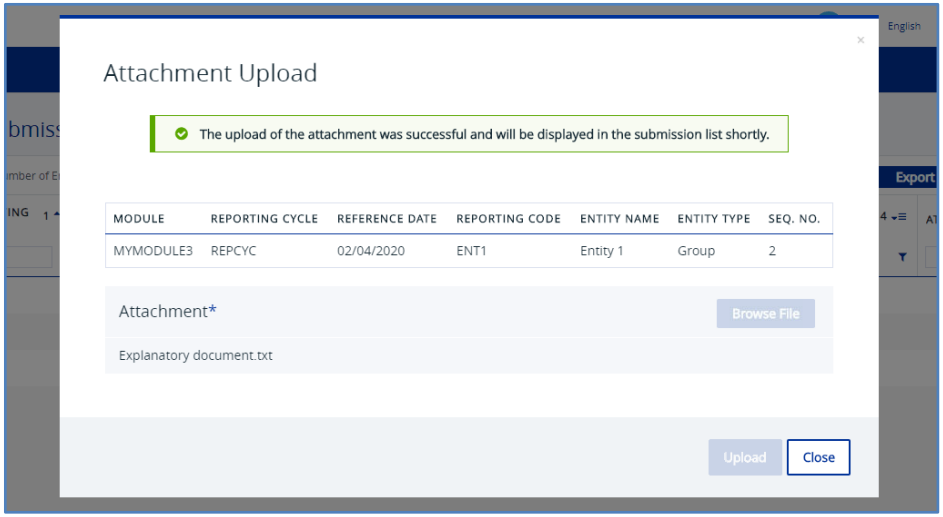

Figure 77: Attachment upload confirmation screen

CASPER allows a maximum size of 25 MB per file for each attachment.

You can identify submissions with attachments from the value in the "Attachment" column in the submission list (Table 6) and in the file vault (Table 16).

3.2.10 Processing files in CASPER

As a data submitter, you have to submit data files and check that the submission has been successful. You need to understand the CASPER file processing procedure so that you can check whether your submission has been successful. This section explains how CASPER processes files, the individual steps in this process and the corresponding statuses in the file vault, and what they mean.

Once you submit a file to CASPER, the system starts the validation process and checks that the file meets all the requirements for acceptance and processing.

Figure 78 provides an overview of file processing in CASPER, showing the various steps and final statuses.

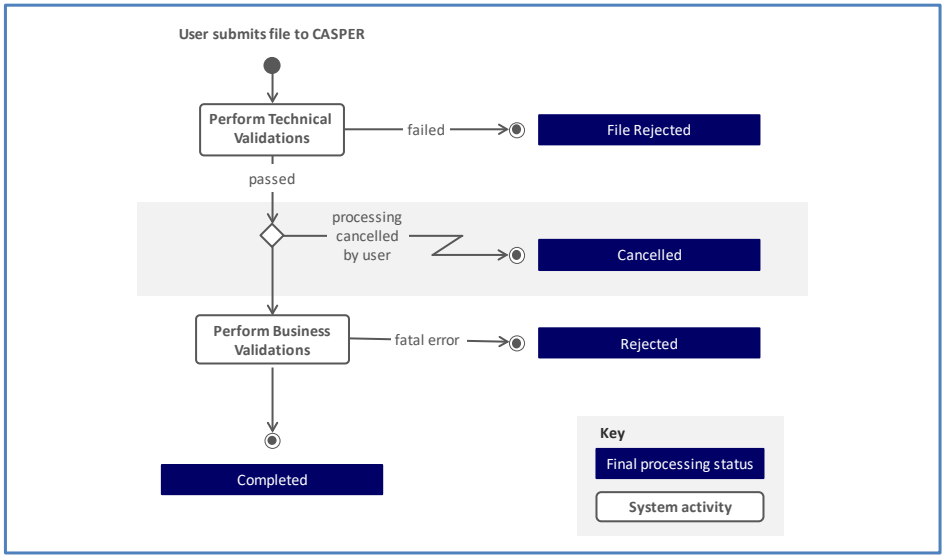

Figure 78: File processing: steps and final statuses

The table below explains the individual steps in the CASPER file processing procedure.

1. When you submit the file to CASPER, the technical validation process is started. Among other things, it checks that the file extension is valid, that the file size is within the set limits and that the file is not corrupt.
2. If technical validation fails, the system rejects the file and updates the processing status to “File rejected”. For information on how to access the technical validation results, see Section 3.2.12.
3. If you cancel the file processing while it is underway, the system updates the processing status to “Cancelled”.
4. If technical validation is passed, the system starts the business validations. If a fatal error occurs during this process, the system rejects the file and updates the processing status to “Rejected”. For information on how to access business validation results returning a fatal error, see Section 3.2.12.
5. If the business validation process is completed successfully, the system updates the processing status to “Completed”. For information on how to navigate to the submission list page to retrieve validation results, see Section 3.2.12.

3.2.11 Check file vault

In the file vault you will find all files you have submitted for your reporting obligations, irrespective of their processing status.

Please note that you may not be able to see files submitted in the past for a reporting cycle that is now closed. The collection designer can hide obsolete data in the file vault.

There is more than one way to navigate to the file vault screen. On the submission list screen, you will see a highlighted panel on the left-hand side. Click on “File vault” to access it. Alternatively, the file vault can be accessed by clicking on “Link to file vault” when processing a submitted file (see Section 3.2.9). Figure 80 below shows the file vault screen.

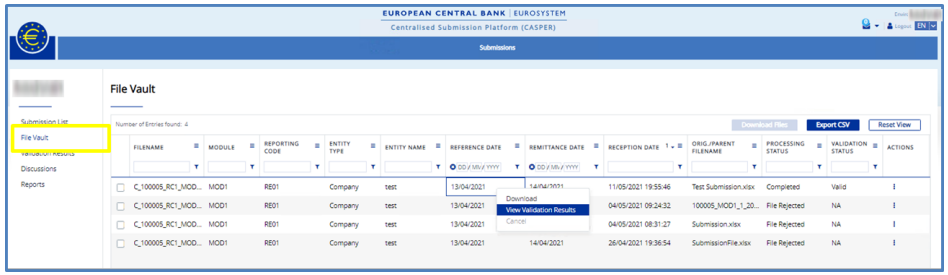

Figure 79: File vault screen

The file vault displays all files submitted by your organisation, even if the file status is “Rejected”, the obligation is optional, or the cycle is now closed. In the submission list, however, you will not see entries for file submissions with the status “Rejected” that are no longer being processed, or entries relating to optional reporting for which the cycle is closed. This is the main difference between the two screens.

Table 17 provides an overview of all file vault list attributes in the default view.

Attribute	Explanation
File name	The name of the file using the CASPER naming convention. If you upload a single file via the submission list where no file naming convention is required, the system generates this name automatically.

Attribute	Explanation
Module	The code of the module as established by the collection owner.
Reporting code	The code which identifies the reporting entity.
Entity type	The type of reporting entity, i.e. group, company or person.
Entity name	The name of the reporting entity.
Reference date	The date to which the reported data refer. The field is empty for event-based data collections.
Remittance date	The due date for file submission. This column will not be shown for event-based data collections.
Reception date	The date on which the system received the file.
Orig./parent filename	For a single file upload, this shows the filename as per the naming convention. For a zip file upload, it shows the name of the zip file.
Processing status	The processing status of the file (see Figure 75).
Actions	The list of actions you can perform for every file: • download submitted file (see Section 3.2.17); • view validation results for file; • cancel submission.

Table 17: File vault list default attributes

In addition to the columns that are visible by default, you can add toggle columns for the attributes shown in Table 18.

Attribute	Explanation
Module version	The version number of the module used in the reporting obligation.
Username	CASPER username of the data submitter.
Transmission channel	U2A (user to application) if the file has been manually uploaded via the UI.
File size (KB)	File size in kilobytes.
Validation status	File status after the business validation rules have been processed. Depending on the highest severity level of all the rules failed, the status may be: • warning; • error; • fatal. If all rules are passed, the status will be: • valid. If no business validation rules are executed, the status will be: • NA.
Test file	Indicates whether a file has been uploaded using the testing functionality (as explained in Section 3.2.9.1 . Possible values: • Y (yes); • N (no).
Sequential number	The sequential number of the file (as explained in Section 3.2.9.2).
Revalidation date	Timestamp of the revalidation. Blank if the file has not been revalidated.
Processing start time	Timestamp indicating when CASPER launched the processing of the file.

Attribute	Explanation
Processing end time	Timestamp indicating when CASPER ended the processing of the file.
Attachment	Indicates whether an attachment to the submission has been uploaded. Possible values: • Y (yes); • N (no).
Event Identifier	This is the identifier of the event. This column will not be shown for non-event-based data collections.
Event Comment	This shows any comment for the event. This column will not be shown for non-event-based data collections.

Table 18: File vault list – additional attributes

In the file vault screen, you can see the status of a file submission in the "Processing status" column. The file submission process has intermediate statuses as well, which change throughout the course of the submission process. Table 19 explains these.

File processing status	Explanation
File received	CASPER has saved the file.
File in process	The file has been selected for technical validations.
File rejected	Technical validation failed.
File processed	Technical validation passed.
Pending business validation	Pending execution of business validation.
Performing business validations	Displayed when business validations are running.
Rejected	Business validation failed as the file failed a validation rule with a severity level of "fatal".
Completed	File successfully processed.
Pending business revalidation	The execution of business revalidation is pending.
Performing business revalidations	Displayed when business revalidations are running.
Pending external validation	Waiting for answers from an external business validation (i.e. not performed by CASPER).
Pending external revalidation	Waiting for answers from an external business revalidation (i.e. not performed by CASPER).
Request cancel	The user has made a request to cancel the action.
To be cancelled	The system has started working on a cancel action request.
Cancelled	The RA has decided to cancel.
Discarded	Deleted by the system.

Table 19: File processing statuses

3.2.12 Checking technical and business validation results

CASPER enables you to view validation results on the validation results screen so that you can check any errors in your submissions.

The system validates data submitted against the business validation rules for your collection and identifies all failed validation rules, including those relating to the values calculated. This helps you to identify which data points have caused the failure (Figure 78).

Once you are on the submission list screen, select the reporting obligation for which you would like to check the validation results, click on “Actions” and select “View validation results”, as shown in Figure 76.

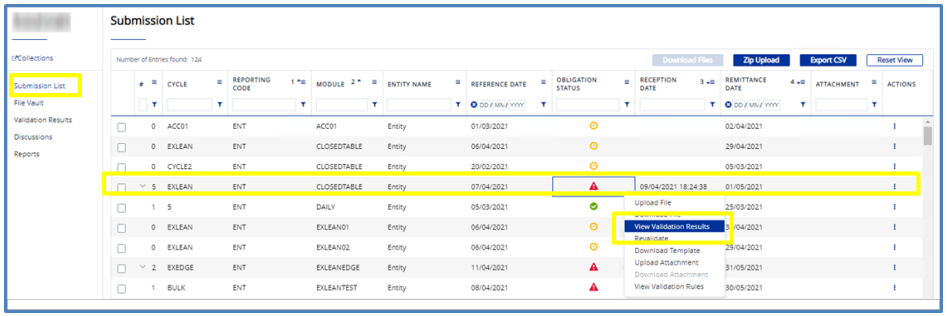

Figure 80: Navigating to validation results

You can also access technical and business validation results from the file vault screen.

Depending on the type of validation failed, the system redirects you either to the technical validation results screen or the business validation results screen. Figure 81 shows the technical validation results screen. The error message for the technical validation is highlighted in the yellow box. You can download the full list of technical validation results in CSV format by clicking on the download button in the pop-up window.

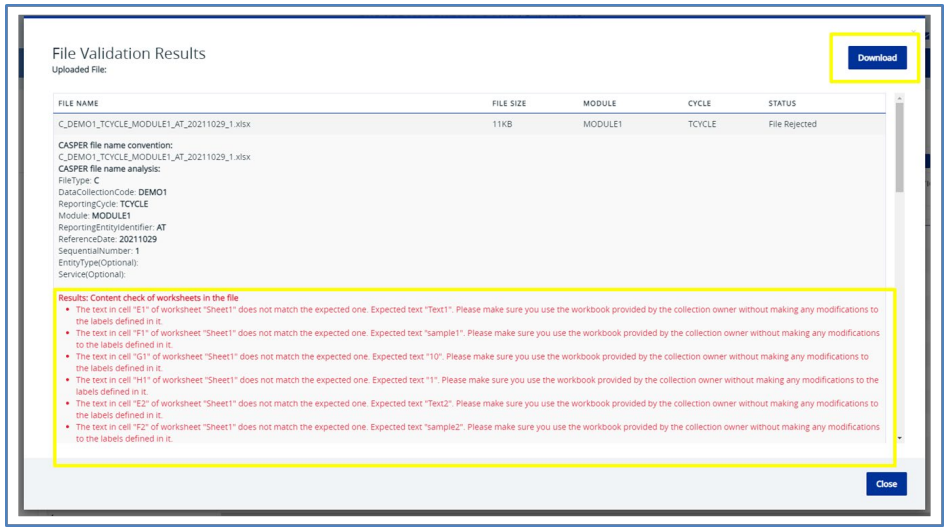

Figure 81: Technical validation results screen

Figure 80 highlights different areas of the screen. The highlighted box shows the key attributes for the reporting obligation. In the grid list, you can see all the validation rules which have failed using the data submitted. Table 20 gives an overview of all validation result list attributes in the default view.

Figure 822: Business validation results screen

The business validation results screen does not display the validation rules that have passed, only those that have failed. By contrast, the validation rules screen (described in Section 3.2.7) displays all validation rules applicable to a submission.

Attribute	Explanation
Rule ID	The unique ID of the validation rule.
Error severity	The severity of an error. There are three levels of error severity: • warning; • error; • fatal.
Formula	The formula for the rule. This is the criterion to be verified when a validation rule is executed.
Formula left value	The actual value on the left-hand side, evaluated based on the formula.
Operator	The comparison operator that compares the content of the left-hand side of the formula with the right-hand side.
Formula right value	The actual value on the right-hand side, evaluated based on the formula.
Error message	The error message if the validation rule fails. The message may also include the specific failed observation value.
Actions	The list of actions you can perform for each file. Only one option is available: • view the definition of the failed validation rule.

Table 20: Validation results screen attributes

In addition, you can add toggle columns for the attributes shown in Table 21.

Attribute	Explanation
Difference	The difference between the right-hand and left-hand side values.
Difference %	Indicates whether the difference is a percentage or an absolute value. Possible values: • Y (yes); • N (no).
Interval	The range for value deviation. This is a positive integer.
Interval as %	Indicates whether the interval is a percentage or an absolute value. Possible values: • Y (yes); • N (no).
External rule	Indicates whether the failed rule is external, i.e. not performed by CASPER. Possible values: • Y (yes); • N (no).

Table 21: Validation results screen attributes

You can view the definition of every failed validation rule by clicking on “Actions” and then “View”. This opens a read-only pop-up window and shows key attributes of the validation rule, the evaluation results with the actual values of the left-hand and right-hand side of the formula as well as a separate section with the actual formula. Figure 83 shows the pop-up window.

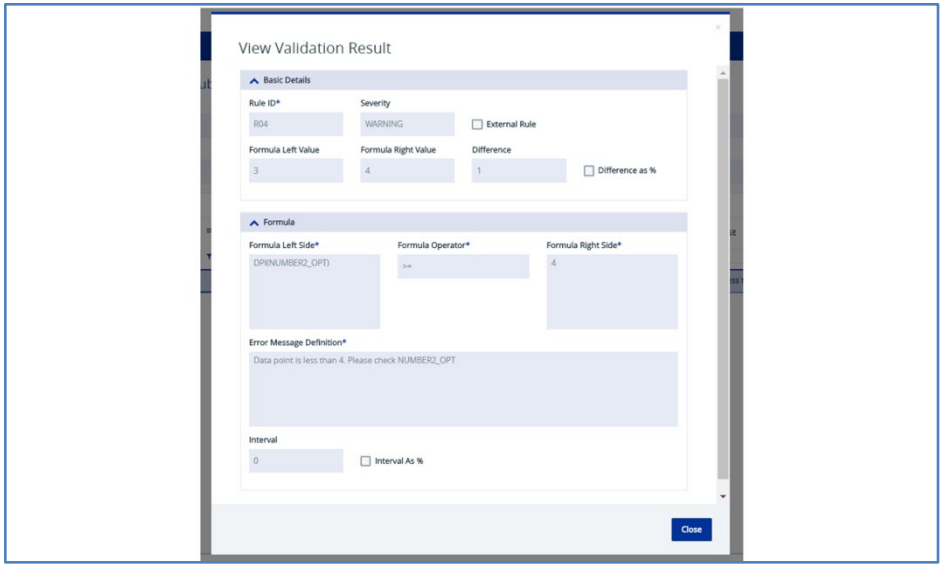

Figure 83: Validation results pop-up window

3.2.13 Discussing failed validations

CASPER runs business validation rules to verify the data quality of a submission. For each failed validation, an error message is displayed along with the corresponding validation rule.

If a failed validation requires clarification or additional documents to be resolved, you can use the discussion functionality. This enables data submitters and collection owners to discuss failed business validations and exchange related documentation so they can settle the issue and fulfil the reporting obligation.

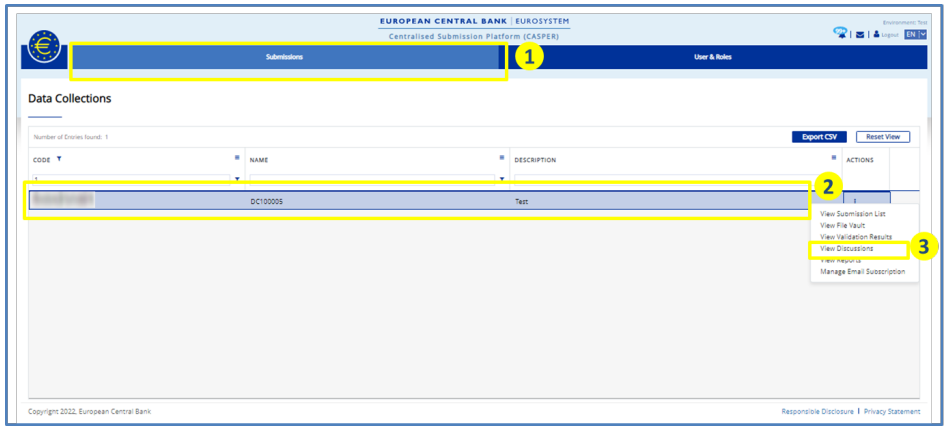

Figure 84: Navigating to the discussions screen

1. Click on the Submissions menu at the top of the secondary navigation pane.

2. The submissions screen displays the list of data collections assigned to you. Select a data collection and click on its “Actions” button. A small pop-up box with five options appears:
   - View submission list;
   - View file vault (see Section 3.2.11);
   - View validation results (see Section 3.2.12);
   - View discussions (see Section 3.2.13);
   - View reports (see Section 3.2.14).

3. Click on the “View discussions” option to go to the discussions screen shown in Figure 85.

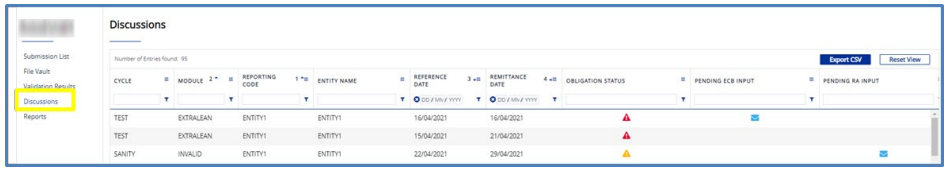

Figure 855: Discussions screen

The discussions screen will show all your reporting obligations for which at least one validation rule has failed with a severity level of “error” or “warning”.

For resubmissions, only the most recent submission (with the highest sequential number) is displayed on the discussions screen.

Table 22 provides an overview of the attributes displayed in the default view.

Attribute	Explanation
Cycle	This is the name of the reporting cycle as explained in Table 6.
Module	This is the code of the module, as defined by the collection owner.
Reporting code	This is the code which identifies the reporting entity.
Entity name	This is the name of the reporting entity.
Reference date	This is the date to which the reported data refer. It will display the event date for event-based data collections.
Remittance date	This is the due date for file submission. This column will not be shown for event-based data collections.
Obligation status	This is the obligation status (Table 8).
Pending ECB input	Indicates that the collection owner's input on one or more discussion topics is pending. A data submitter has added the latest comment and the discussion does not have “accepted” status. Possible values: input pending; no input required.
Pending RA input	Indicates that your input on one or more discussion topics is required. The collection owner has added the latest comment and the discussion does not have “accepted” status. Possible values: input pending; no input required.
Accepted	Indicates whether the discussion has been concluded by the collection owner. Possible values: • Y (yes) – the collection owner has accepted the data submitter's comments; • N (no) – the discussion is ongoing.

Table 22: Discussion screen default columns

In addition to the columns that are visible by default, you can add toggle columns for the attributes shown in Table 23.

Attribute	Explanation
Entity type	The type of the reporting entity, i.e. company, group or person.
Entity group	The name of the reporting entity group, as established by the collection owner.
Number of errors	Number of failed validation rules with a severity level of “error” that have occurred during the business validation process.
Number of warnings	Number of failed validation rules with a severity level of “warning” that have occurred during the business validation process.

Attribute	Explanation
Event Identifier	This is the identifier of the event. This column will not be shown for non-event-based data collections.
Event Comment	This shows any comment for the event. This column will not be shown for non-event-based data collections.

Table 23: Discussion screen additional columns

For each validation error, you can check the validation result for the data submitted and the validation rule to determine the root cause (see Section 3.2.12). If you have checked everything and conclude that the data submitted are correct and you would therefore like to receive clarification about the result, you can begin a discussion with the collection owner by following the steps below. Note that the collection owner may also initiate a discussion.

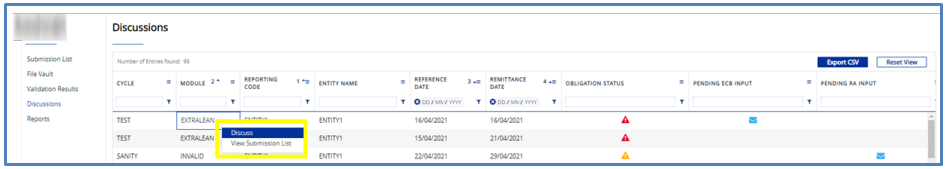

Figure 86: Navigating to the discussion board screen

1. On the discussions screen, select the reporting obligation containing the error you would like to discuss and click on its “Actions” icon. A small pop-up box with two options will appear:
   - discuss;
   - view submission list.
2. Click on the “Discuss” option to navigate to the discussion board screen shown in Figure 88.

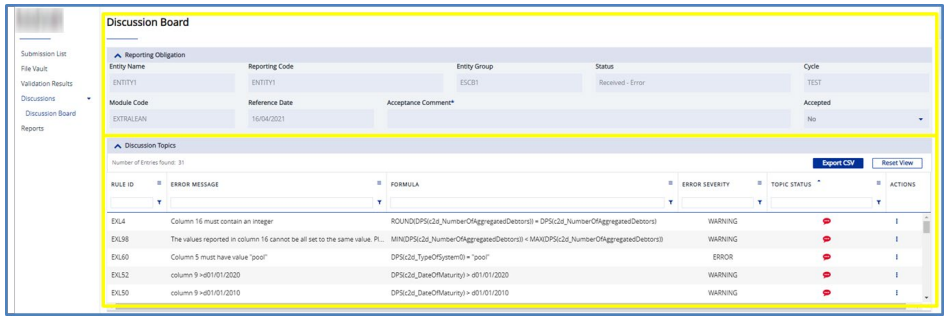

Figure 87: Reporting obligation panel and discussion topics panel

Initially, the discussion board screen consists of two expandable panels. The reporting obligation panel at the top contains the obligation details and information about the overall acceptance of the discussion.

Attribute	Explanation
Entity name	The name of the reporting entity.
Reporting code	The code which identifies the reporting entity.
Entity group	The name of the reporting entity group, as established by the collection owner.
Status	The obligation status (Table 8).
Cycle	The name of the reporting cycle, as explained in **Error! Reference source not found.**.
Module code	The code of the module, as established by the collection owner.
Reference date	The date to which the reported data refer.
Acceptance comment	The collection owner's comment on acceptance of the discussion (maximum length: 250 characters). Mandatory if the “accepted” field is set to “Yes”.

Attribute	Explanation
Accepted	Indicates whether the discussion has been concluded by the collection owner. Possible values: • Y (yes) – the collection owner has accepted the data submitter's comments; • N (no) – the discussion is ongoing.

Table 24: Reporting obligation panel attributes

The discussion topics panel shows the validation rules for the obligation that has failed and their status ("Topic Status") (see Table 25).

Attribute	Explanation
Rule ID	The unique ID of the validation rule.
Error message	The error message, as established by the collection owner.
Formula	The formula for the rule. This is the criterion that is verified when a validation rule is executed.
Error severity	The severity of the error. As fatal errors are not displayed, there are two possible values: • warning; • error.
Topic status	The status of the individual validation rule discussion. Possible values: "new" (initial status when a validation has failed); "ongoing" (when a comment has been added OR the same validation failed in a previous submission AND the collection owner has not yet changed the status to "accepted"); "accepted" (when the collection owner has changed the status to "accepted"); "resolved" (when failed validation results have been resolved in a subsequent resubmission). Note that the default filter settings for this column exclude discussion topics with "resolved" status. Change the filter to view resolved topics as well.
Actions	The list of actions you can perform for each validation result. Two options are available: • view comments (opens the comments panel); • view validation results (navigates to the validation results screen; Section 3.2.12).

Table 25: Discussion topics panel columns

Note that a new discussion topic will be created automatically for each failed validation in a reporting obligation. If the same validation fails in a resubmission, no new discussion is created.

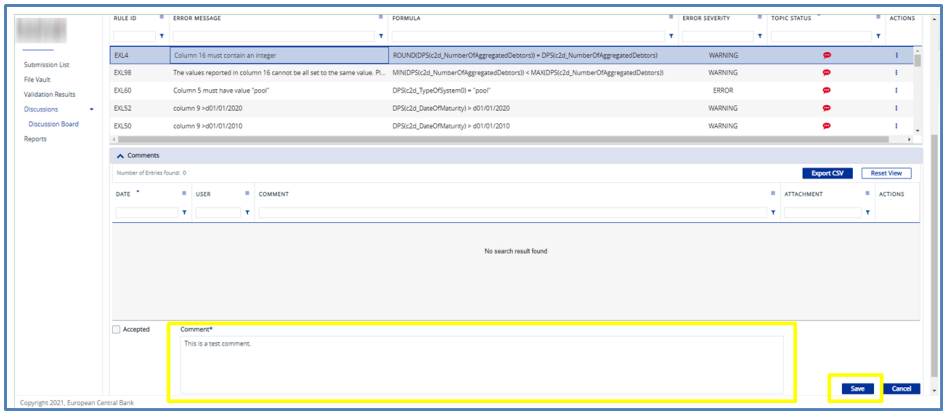

Figure 88: Comments panel

If you select a rule or click on its “Actions” icon and select “View comments”, the comments panel (a discussion thread with the collection owner) will appear below. Discussion participants can also attach explanatory documents to their comments. Table 26 provides an overview of attributes displayed in the default view.

Attribute	Explanation
Date	The timestamp for when the comment was added.
User	The user ID of the user who added the comment.
Comment	The comment, with a maximum length of 500 characters.
Attachment	Indicates whether an attachment has been added to the comment. Possible values: 📎 (Yes); (No).

Attribute	Explanation
Actions	The list of actions you can perform for each validation result. three options are available: • add attachment (enabled for your comments only); • update attachment (enabled only if there an attachment has already been uploaded); • download attachment (if provided).

Table 26: Comments panel default columns

In addition to the columns that are visible by default, you can add toggle columns for the attributes shown in Table 27.

Attribute	Explanation
Username	The name of the user who added the comment

Table 27: Comments panel: additional columns

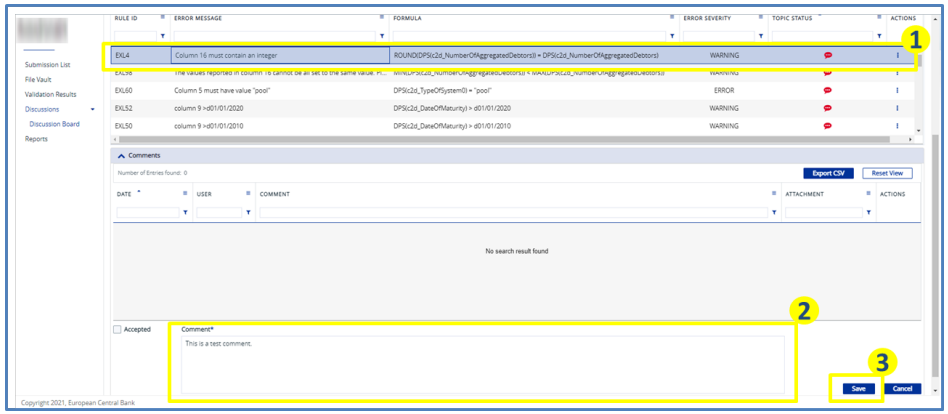

Figure 89: Add a comment to a discussion

To add comments to a discussion, follow the steps in the table below.

1. On the discussion board screen, select the validation rule you would like to discuss. The comments panel will appear below.
2. Add your comment in the Comment field. The “Accepted” checkbox is deactivated as only collection owners can accept a discussion.
3. Save the comment by clicking on the “Save” button in the lower right-hand corner of the screen. A success message is displayed at the top of the screen. The topic status changes from “new” to “ongoing”.

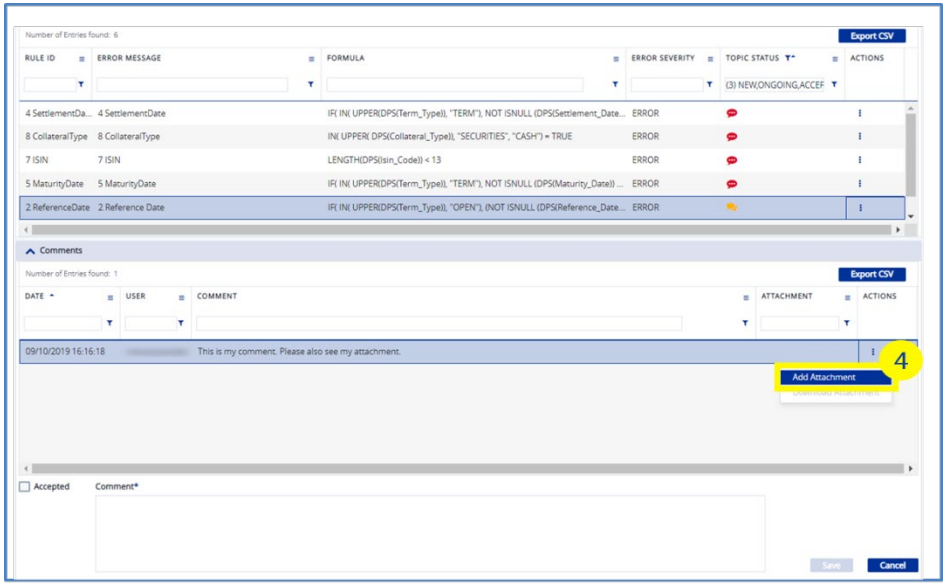

Figure 90: Discussion topics panel – add attachment

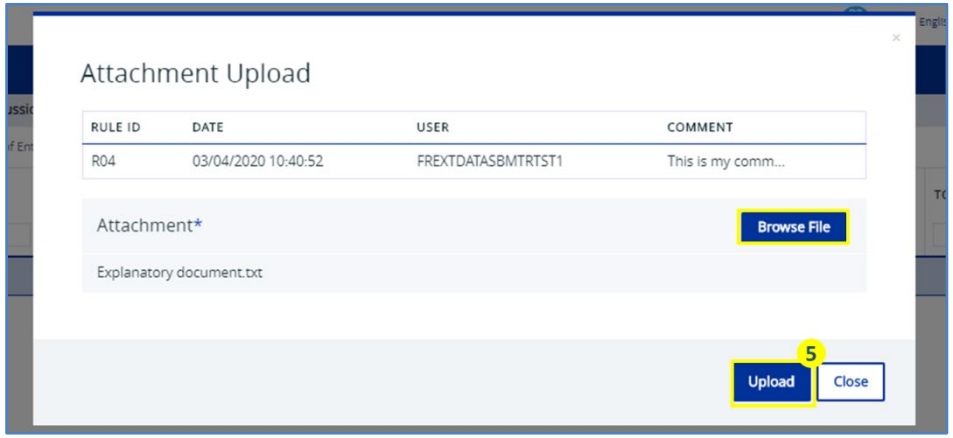

Figure 91: Attachment upload screen

To add an attachment to a comment in a discussion, follow the steps shown below.

1. To add an attachment to your comment, click on its “Actions” icon. A small pop-up box with three options will appear:
   - add attachment;
   - update attachment (deactivated if no attachment has been uploaded);
   - download attachment (deactivated if no attachment has been uploaded).

   Select “Add attachment” to open a pop-window.
2. Click on the “Browse file” button and select the file you would like to attach. Note that attachments must not exceed a file size of 25 MB. Confirm by clicking the “Upload” button. A success message is displayed in the pop-up window. The attachment column in the comments panel displays the paper clip icon.

There are specific rules on the file name and extension that must be followed:

- the accepted file extensions are: xlsx, xlsm, xlsb, csv, txt, xml, xsd, zip, gz, pdf, docx, mat and msg;
- the characters permitted in the file name are: A-Z, a-z, 0-9, +, -, ~, $, &, #, @, (,), [,], {, } and space;
- the file name cannot have more than one full stop symbol (“.”).

When a discussion has been concluded because, for example, all the validation errors have been resolved, the collection owner may set its status to “accepted” to indicate that no further changes and/or resubmission are required.

Note that there are two levels of acceptance in the discussion functionality. A collection owner can accept discussions at the obligation level (reporting obligation panel) and, individually, at the level of each validation rule (discussion topics panel). Acceptance of all the validation results as a condition for acceptance at the obligation level may vary according to the data collection in question.

3.2.14 Discussing other topics

In addition to discussing failed validations in CASPER, users can reply to discussions that are related to other topics.

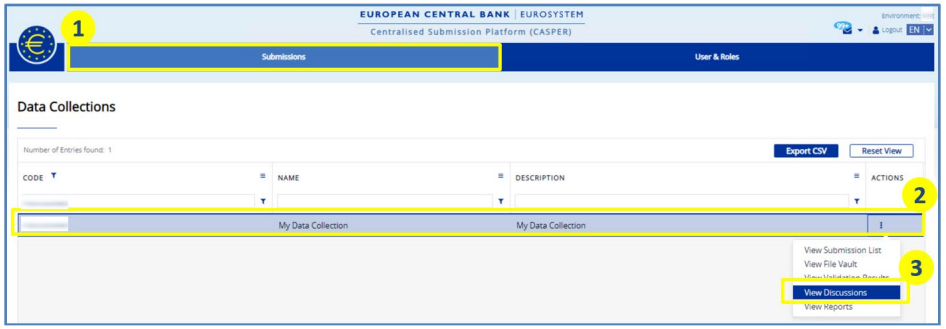

Figure 92: Discussions screen navigation

1. Click on the “Submissions” menu at the top of the secondary navigation pane.
2. The submissions screen displays a list of the data collections assigned to you. Select one and click on its “Actions” button. A small pop-up box with four options appears:
   - view
   - view file vault (see Section 3.2.11);
   - view validation results (see Section 3.2.12);
   - view discussions.
3. Click on the “View discussions” option to navigate to the discussions screen shown in Figure 92.

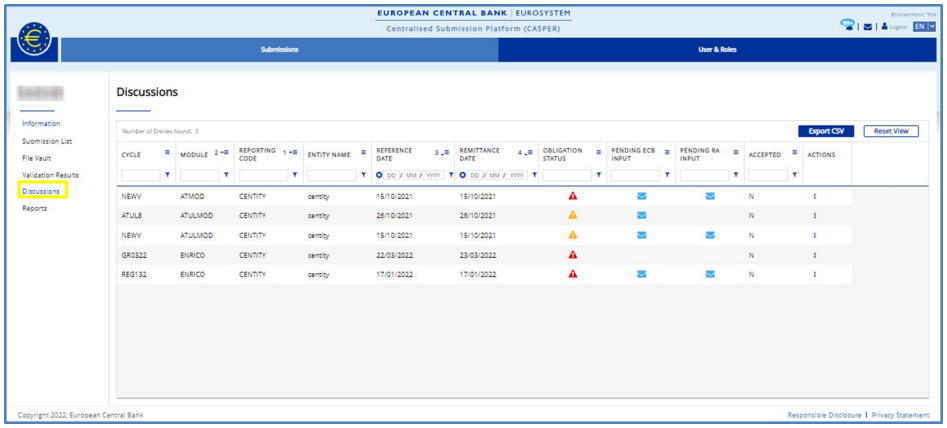

Figure 93: Discussions screen

On the discussions screen, you will find all reporting obligations with at least one failed validation ("error" or "warning"' severity level) or other discussion topics opened.

For resubmissions, only the latest submission (highest sequential number) is displayed on the discussions screen.

Table 28 provides an overview of the attributes displayed in the default view.

Attribute	Explanation
Cycle	The name of the reporting cycle as explained in **Error! Reference source not found.**
Module	The code of the module as explained in Table 6.
Reporting code	The code which identifies the reporting entity.
Entity name	The name of the reporting entity.
Reference date	The date to which the reported data refer.
Remittance date	The due date for file submission.
Obligation status	The obligation status (Table 8).
Pending ECB input	Indicates that your input on one or more discussion topics is pending. A data submitter added the latest comment and the discussion does not have "accepted" status. Possible values: ✉ input pending; no input required.
Pending RA input	Indicates that a data submitter's input on one or more discussion topics is required. You added the latest comment and the discussion does not have "accepted" status. Possible values: ✉ input pending; no input required.
Accepted	Indicates whether you have concluded the discussion. Possible values: • Y (yes) – you have accepted the data submitter's comments; • N (no) – the discussion is ongoing.
Actions	• Discuss; view submission list.

Table 28: Discussion screen – default columns

In addition to the columns that are visible by default, you can add toggle columns for the attributes shown in Table

Attribute	Explanation
Entity type	The type of reporting entity, i.e. company, group or person.
Entity group	The name of the reporting entity group as explained in Table 7

Table 29: Discussion screen – additional columns

Only collection owners can add new discussion topics in CASPER. To add comments to an existing discussion, proceed as follows:

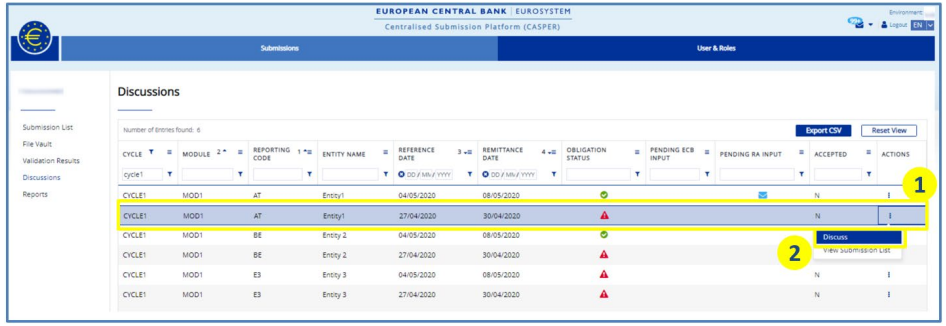

Figure 94: Discussion board screen navigation

1. On the discussions screen, select the reporting obligation for which you would like to discuss other topics and click on its "Actions" icon. A small pop-up box with two options appears:
   - discuss;
   - view submissions list.
2. Click on the "Discuss" option to navigate to the discussion board screen as shown in Figure 95 below.

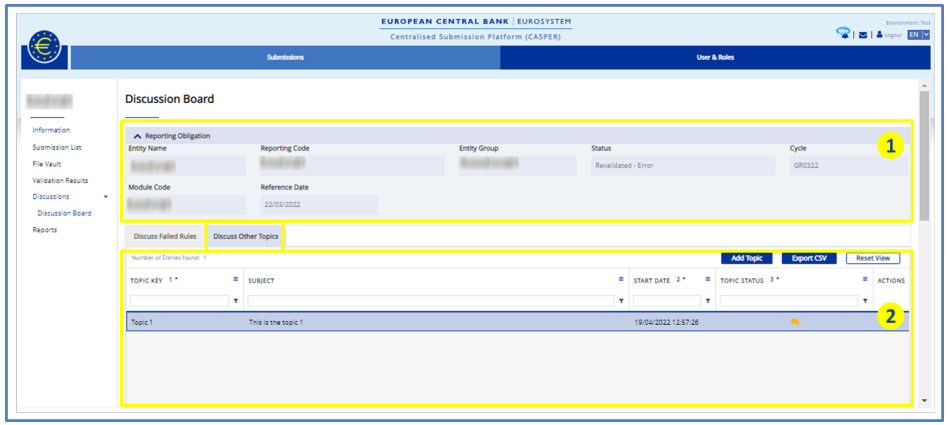

Figure 95: Reporting obligation panel and Discussion Topics panel

The "Discuss other topics" screen will open, and you will see the status of previous discussions. If there is a discussion open due to failed validations related to this reporting obligation, it will take you directly to the "Discuss failed rules" screen. All you need to do is click on the "Discuss other topics" button.

Attribute	Explanation
Topic key	The unique ID that serves as an identifier of the discussion topic.
Subject	Subject of the discussion topic.
Start date	Date on which the discussion topic was raised.
Topic status	The status of the specific discussion. Possible values: "ongoing": at least one comment has been added first by the collection owner; "closed": at least one comment has been added first by collection owner and the status of the topic is "closed".

Attribute	Explanation
Actions	The list of actions you can perform for each validation result. Three options are available; • view comments (opens the comments panel); • edit topic; • add comment.

Table 30: Discussion topics panel columns

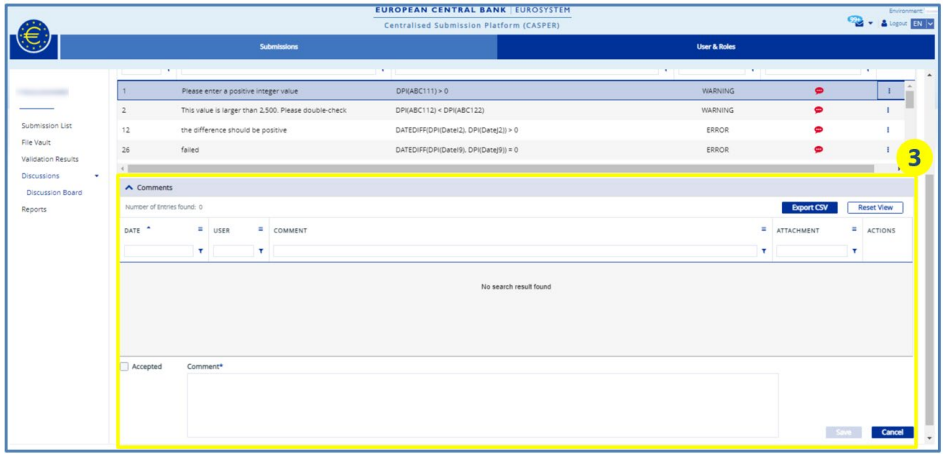

Figure 96: Comments panel

If you select a topic or click on its “Actions” icon and select “View comments”, the comments panel (3) appears below and shows the ongoing discussion thread between data submitter and collection owner. Discussion participants can also attach explanatory documents to their comments. Table provides an overview of the attributes displayed in the default view.

Attribute	Explanation
Date	The timestamp when the comment was added.
User	The user ID of the user who added the comment.
Comment	The comment (maximum length: 500 characters).
Attachment	Indicates whether an attachment has been added to the comment. Possible values: (Yes) (No)
Actions	The list of actions you can perform for each validation result. Three options are available: • add attachment (enabled for your comments only); • update attachment (enabled only if an attachment has already been uploaded); • download attachment (if provided).

Table 31: Comments panel – default columns

In addition to the columns that are visible by default, you can add toggle columns for the attributes shown in Table 32.

Attribute	Explanation
Username	The name of the user who added the comment

Table 32: Comments panel: additional columns

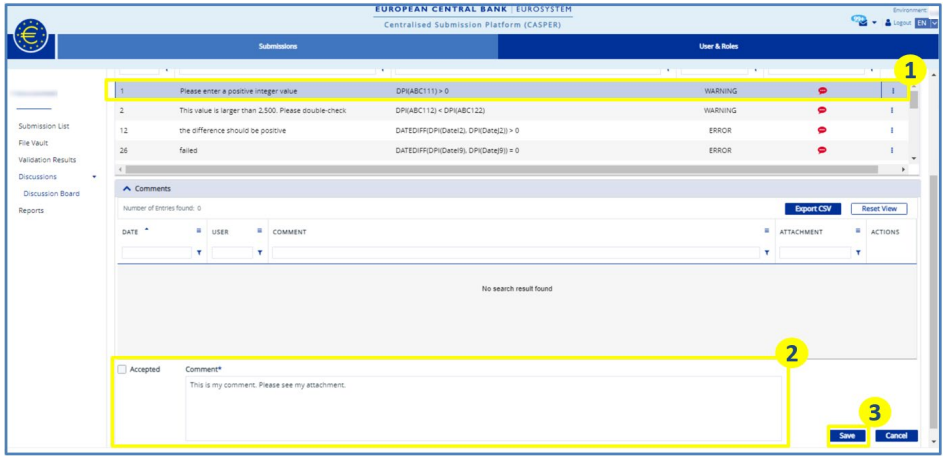

Figure 97: Add a comment to a discussion

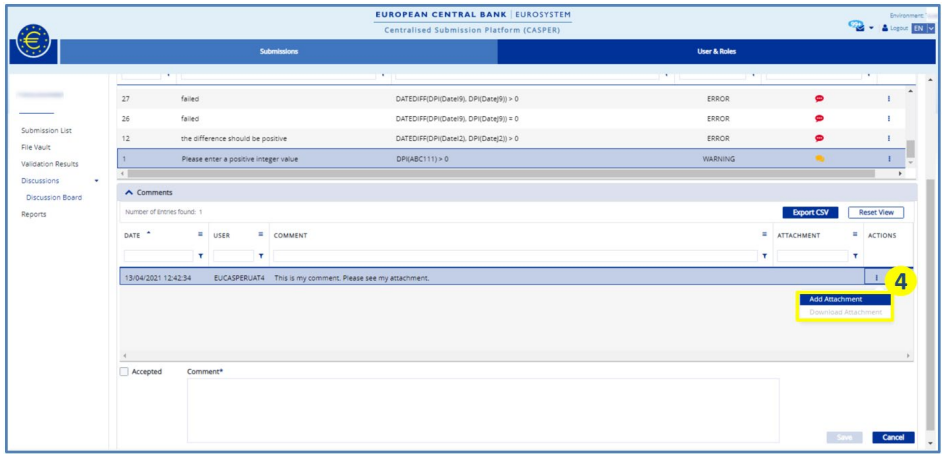

Figure 98: Discussion topics panel – add attachment

To add comments to a discussion, follow the steps shown in the table below.

1. On the discussion board screen, select the discussion topic you would like to discuss. The comments panel will appear below.
2. Add your comment in the Comment field. Check the “Closed” box if you would like to close the discussion topic about the validation result.
3. Save the comment by pressing the Save button in the lower right-hand corner of the screen. A success message is displayed at the top of the screen.

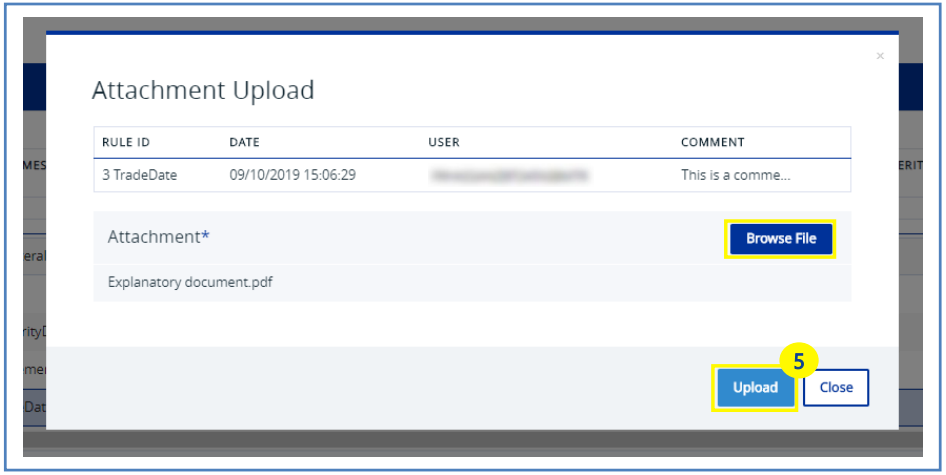

Figure 99: Attachment upload screen

To add an attachment to a comment in a discussion, follow the steps in the table below.

1. To add an attachment to your comment, click on its “Actions” icon. A small pop-up box with three options will appear:
   - add attachment;
   - update attachment (deactivated if no attachment has been uploaded);
   - download attachment (deactivated if no attachment has been uploaded).

   Select “Add attachment” to open a pop-window.

2. Click on the Browse File button and select the file you would like to attach. Note that attachments must not exceed 25 MB. Confirm by clicking on the “Upload” button. A success message is displayed in the pop-up window. The attachment column in the comments panel shows the paper clip icon.

3.2.15 Check reports

On the reports screen in CASPER you will see a set of tiles, each containing text and links to external resources, as shown in Figure 100.

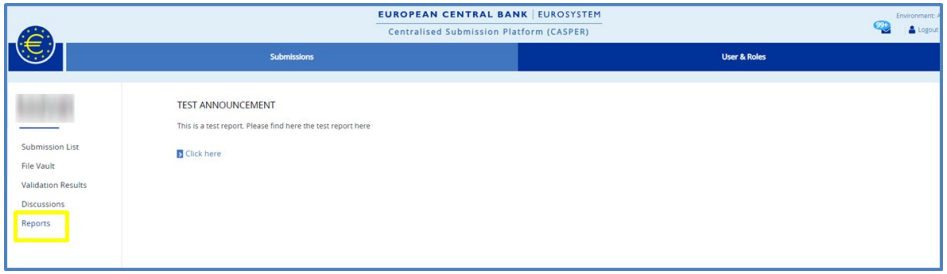

Figure 100: Reports screen

The reports are prepared by the collection owners. Their main purpose is to provide access to tableau reports, data quality reports, or any other reports accessible via a link for the data collection.

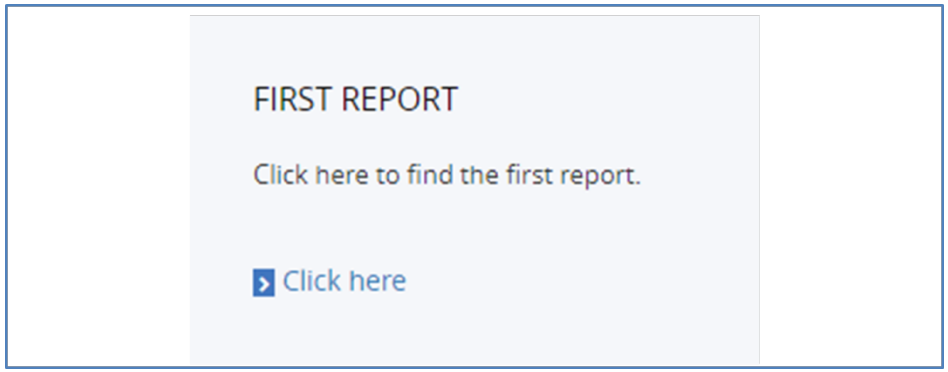

Figure 101: Report preview sample

For each report, the following elements are displayed (see Figure 100).

1. The title of the report. If the length of the title is greater than the width of the report displayed, hover your mouse cursor over the title to see the full text inside a tooltip.

2. The description of the report. Only the first 150 characters are shown – the formatting of the report is not visible.

4. A “Click here” button, to view all the details of the report.

If you click on the “Click here” button in one of the reports, a pop-up window will appear, as shown in Figure 102. The window displays details of the report, i.e. the title and the full description. The links for the report are clickable and open in a new tab.

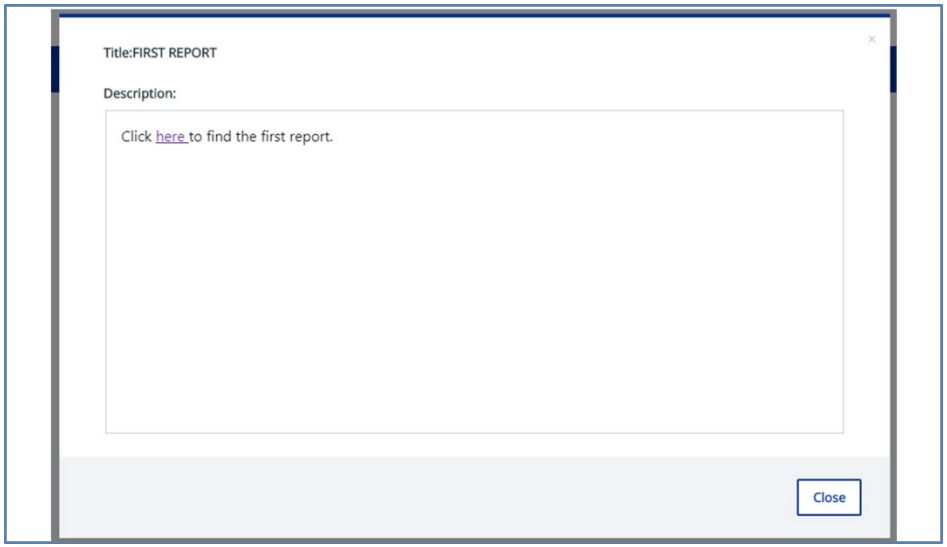

Figure 102: Report pop-up screen

3.2.16 Test submission

CASPER allows you to make a test submission. The system treats the file as test data, completes the file processing and shows you the results of your submission. This is an ideal way to check everything is correct before you submit a file.

It is very simple to upload a test file. You follow the normal file upload process for a single file upload, the only difference being that you need to make sure you check the “Testing purpose” box, as shown in Figure 103.

Figure 103: Testing submission pop-up

The system shows confirmation that the file has been received and the validation process has started. Go to the file vault screen to check the entry in the list.

> Test submissions are only visible in the file vault. You cannot see them on the submission list screen. CASPER only stores test files for 24 hours and then deletes them.

Figure 104 shows an entry for a test submission in the file vault. Since all files are stored using the proper naming convention, note that the name of the test file starts with the prefix TC instead of C.

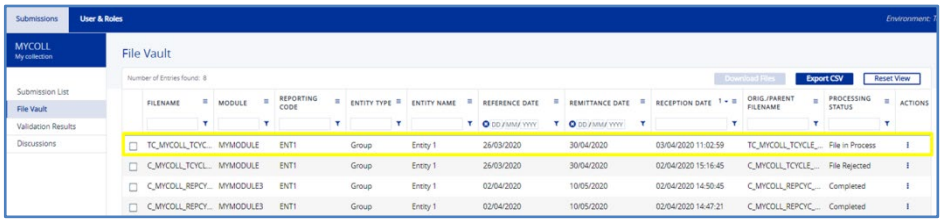

Figure 104: File vault test submission

For zip file bulk uploads, make sure the file names all use the naming convention, i.e. they start with TC. The rest of the file upload process is the same.

3.2.17 Downloading data submitted

CASPER makes it possible to download all files that have been submitted. They can be downloaded from the submission list screen, but as explained in Section 3.2.11, this does not display rejected files or files submitted for optional reporting once the applicable reporting cycle has closed. To download files that are not visible, go to the file vault screen. Here you have access to all data submitted and you can download the files you require.

> Please note that you may not be able to see files submitted in the past for a reporting cycle that is now closed. The collection designer can hide obsolete data in the submission list and the file vault.

Both screens offer two options for downloading files. To download a single file, simply select the file, click on “Actions” and then click on the “Download” option, as shown in Figure 105. The system downloads the file in its original submitted format.

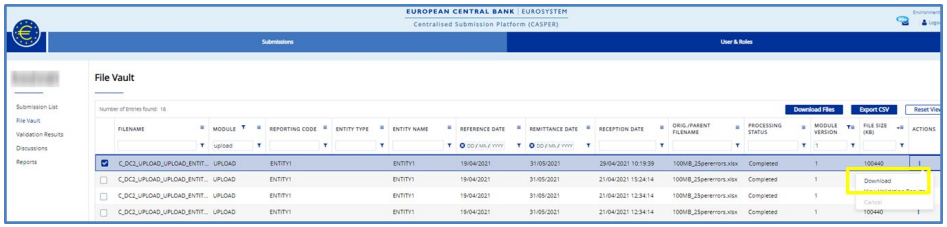

Figure 105: Single file download

The second option lets you download one or more files. Simply select all the files you would like to download and then click on the “Download files” button highlighted in Figure 106. Please note that the system downloads all the selected files and puts them in a single zip file. To access the individual files, you will first need to unzip the file.

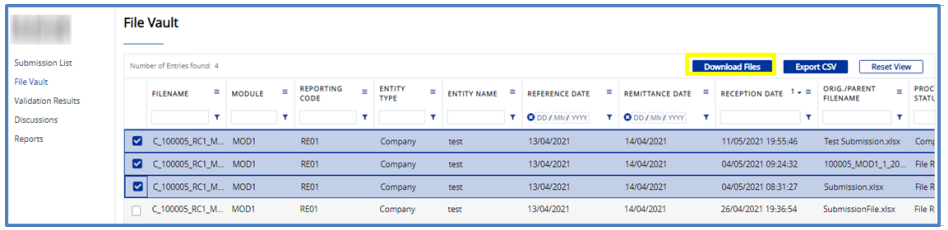

Figure 106: Multiple file download

APPENDIX

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Abbreviations and terminology

Abbreviation	Explanation
CSV	Comma separated value
XML	Extensible mark-up language
DAA	Delegated access administrator
ECB	European Central Bank
ESCB	European System of Central Banks
NCA	National competent authority
NCB	National central bank
RA	Reporting agent

Table 33: Abbreviations

Term	Explanation
Collection owner	A collection owner may be any business area within the ECB. It sets the collection characteristics and receives the collected data.
Internal collection designer	Internal collection designers are ECB data collection experts who configure collections in the system. They configure the templates (called “modules” in CASPER), manage the reporting entities, configure business rules to validate the data collected and create reporting obligations for data submitters.
Comparison operator	A comparison operator compares the contents in a field either with the contents of another field or with a constant, and then returns a value based on whether the comparison is true and whether processing should proceed.
Data collection	A data collection brings together domain-specific information that a data consumer is interested in. For example, the Single Supervisory Mechanism may require data on non-performing loans to be provided by supervised institutions and specify the loan attributes to be reported. Data are mostly collected in cycles at an established frequency from a set of reporting institutions. Data collections are mostly structured in tables, for ease of comprehension by reporting institutions. They may change in extent and structure over time.
Data consumer	Data consumers are typically ECB/ESCB IT applications that provide business-specific functionalities and services for producing, disseminating and analysing data.
Delegated access administrator	Authenticated and authorised individuals who can assign application roles/access rights to ECB Identity Portal users within their organisation.
ECB Identity Portal	The access management system for web users.
Module	A set of tables to be submitted as a whole given the close relationships between the data points.
Received file	A file successfully uploaded to CASPER by an RA (either individually or as part of a zipfile). It may or may not result in a reporting obligation being fulfilled, depending on the technical validation.
Reception date	Date and time on which a file was received by CASPER.
Reference date	Date to which the reported data refer.

Term	Explanation
Remittance date	The deadline for receiving a mandatory submission.
Reporting agent	The user submitting the data.
Reporting cycle	The time window during which submissions of a specific set of modules for a reporting obligation are accepted by CASPER.
Reporting entity	The entity providing the reporting or the entity to which the reported data refer. This is usually a credit institution, but may also be an NCA/NCB, a combination of credit institutions and consolidation levels, an ad hoc entity (e.g. a bank's internal model, if a collection requires information at the level of individual models), or any other counterparty, i.e. experts affiliated to financial or non-financial institutions.
Reporting obligation	The obligation (or option) for a reporting entity to submit a file for a module for a given reference date. A reporting obligation is fulfilled if at least one submission completed meets the reporting obligation.
Reporting type	A reporting entity may submit data on behalf of a group as group head or for the company individually. If the same reporting entity code type and code are used for both reports, the type attribute enables the reporting levels to be distinguished.
Resubmission	If a submission contains validation errors, data submitters are expected to adapt their submission and resubmit. This is referred to as resubmission.
Submission	A submission is a file sent by a reporting entity for a given reference date. A submission is produced from a file received that has successfully passed the technical validation. A submission of structured data, once extracted, results in a list of observations with the associated validation results and metadata. A submission is always associated with a reporting obligation. More than one submission may be associated with the same reporting obligation (e.g. when there are resubmissions). Different submissions for the same reporting obligation are identified by ascending version numbers.
System administrator	The system administrators, also referred to as the CASPER Control Team, ensure compliance with governance processes, approve new data collections and launch the collection preparation process.
Validation	Validation is the process of checking files received based on the validation rules in the system. Validations are split into two categories: technical and business. Technical validation ensures a file received can be properly and reliably identified and the content extracted. Business validation can only be applied to data within a submission.
Validation results	Validation results show any errors identified in the validation process.

Table 34: CASPER terminology