



Risk Based Supervision System

Self-Service Guide ^{R2.7}

WELCOME!

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

This booklet is for the use of every Entity regulated by NBFIRA as it provides assistance in using NBFIRA's new RBSS online Risk Based Supervision System (RBSS Release 2.7).

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

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

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

ithelpdesk@nbfira.org.bw

Phone: 310 2595/3686100

Mr O. Motshidisi
CEO - NBFIRA

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THIS DOCUMENT IS FOR NBFIRA REGULATED ENTITIES

If you require any assistance, please contact:

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

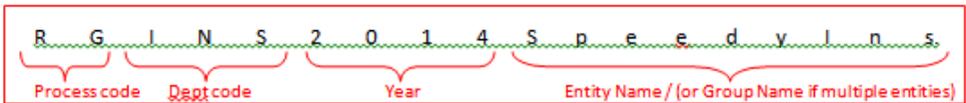
1 RBSS Returns (Forms)

What are Returns?

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

How Does the Return Naming Convention Work?

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



<i>Process Code</i>	AP [for Controller Application] CH [for Complaints Handling] LR [for Licence Renewal] NC_y [for Notification of Change]* OS_x [for Off-Site Supervision]** RG [for Corporate Registration]
<i>Dept Code</i>	CAP [for Capital Markets] INS [for Insurance] ML [for Micro Lending] RF [for Retirement Funds]
<i>Year</i>	YYYY
<i>Entity Name</i>	The name by which the entity is known in the system. There is no limit on characters, spaces etc. (A group name is used for multiple entities)

*_y = Abbreviated sub process i.e. AA for Agency Agreement. Refer to section 8.2 Process Instructions: Notification of Change for the key e.g. NC_AA, NC_AOB

**_x = A (for annual), Qn (for quarterly), Mn (for monthly) e.g. OS_M9, OS_Q3

e.g. For the Corporate Registration of an entity called Speedy Ins., the return name will be ‘**RG INS 2022 Speedy Ins.**’

Off-Site Supervision Returns



Requires Supervision

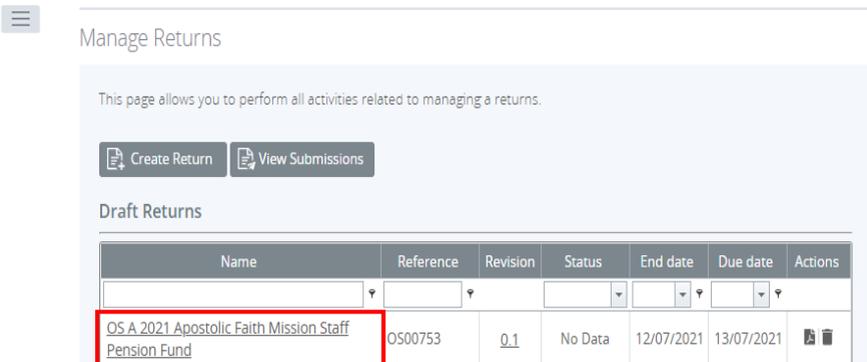
How Do I Prepare and Submit Off Site Returns?

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

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



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



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

Actions

 Upload Data  View Upload History

Please select a form to view

OS A 2020 Air Botswana Pension Fund		Status: No Data
	Pension Annual Return PFR3	
	1.1 Registration Information and Addresses and Particulars of key Persons	Edit View  
	1.2 Board of Trustees	Edit View  
	1.3 Participating Employers	Edit View  
	2 Changes in Membership	Edit View  
	3.1 Statement of Net Assets and Funds	Edit View  
	3.2 Statement of Changes in Nets Assets Fund	Edit View  
	3.3 Contributions	Edit View  
	3.4 Net Investment Income & Other Income	Edit View  
	3.5 Administration Expenses	Edit View  
	3.6 Fund Transfers	Edit View  
	3.7 BenefitsPaid	Edit View  
	3.8 Surplus and Reserve Accounts	Edit View  

Menu

View Return

Return name: OS_A INS

Return end date: 02/03/2020

Return status: No Data

Actions

 Upload Data

Please select a form to view

Upload Data ✕

The **FormSet** below will be populated with data by uploading a file.

Insurance - Annual Statutory Returns for ▼ Choose File

Insurance - Annual Statutory Returns for Long Term Insurance

All Departments - Complaint Registration Form

the user will receive an email and the errors will be available to view in the portal.

 Allowed file types are: xls,xlsx,zip,rar,7z,gz. If .xbrl is a valid file type, to speed up the upload process it is recommended that XBRL/IXBRL files greater than 10Mb are compressed using the standard .zip format. No other compression formats are currently accepted.

Cancel

Pensions- Risk Assessment Questionnaire			
	SFRM Summary of Fund & Risk Management	Edit	View
	G&C Governance and Controls	Edit	View
	AAFCR Access to Additional Funding and Credit Risk	Edit	View
	MR Market Risk	Edit	View
	LROR Liquidity Risk and Operating Risk	Edit	View
	ORSP Operating Risk-Service Providers	Edit	View
	ORFCAL Operating Risk-Failures & Costs and Anti-Money Laundering	Edit	View

Form View

Help - Google Chrome
— □ ×

about:blank

Please upload the PFR 4 excel spreadsheet to allow the analyst to ensure that the data entered is accurate as per tab "Checks"

Please upload a soft copy of the excel spreadsheet for extra validation

(Either click the *Upload Data* link to upload the relevant financial data excel; or *Edit* any sections that do not require uploads).

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

☰ View Return

Return name:	OS_A INS 2022 Long Term Insurers	Return reference:	LR145907
Return end date:	02/03/2022	Return due date:	03/03/2022
Return status:	In Draft	Categories:	

Actions

Upload Data

View Upload History

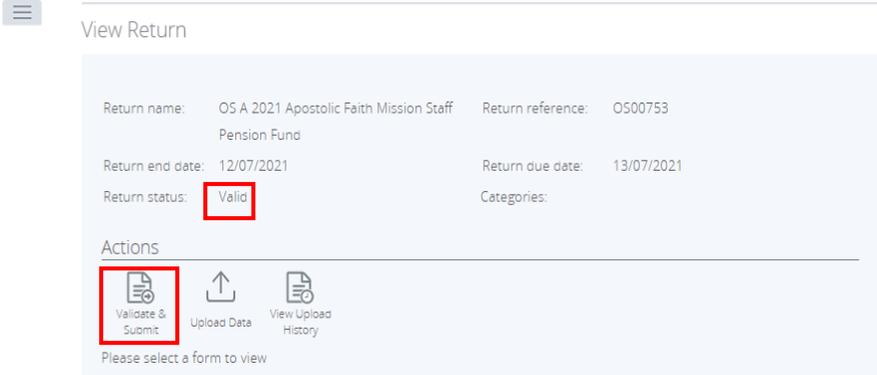
Please select a form to view

OS_A INS 2022 Long Term Insurers	Status: In Draft
Insurance - Annual Statutory Returns for Long Term Insurance	Clear

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

You are now ready to submit your Offsite Supervision Return.

- h) The return you have completed/updated should now show that the Return Status is Valid and the Action to Validate and Save should now be active. So, when you are satisfied that everything is in place for submission to NBFIRA, click the *Validate and Submit button*.



View Return

Return name: OS A 2021 Apostolic Faith Mission Staff Pension Fund Return reference: OS00753

Return end date: 12/07/2021 Return due date: 13/07/2021

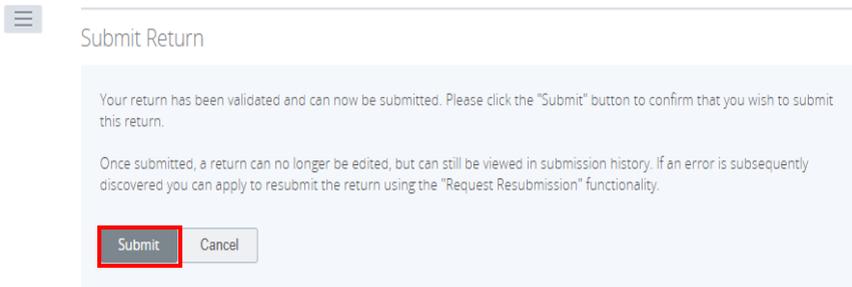
Return status: **Valid** Categories:

Actions

Validate & Submit Upload Data View Upload History

Please select a form to view

- i) Select the *Submit* button.



Submit Return

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

Once submitted, a return can no longer be edited, but can still be viewed in submission history. If an error is subsequently discovered you can apply to resubmit the return using the "Request Resubmission" functionality.

Submit Cancel

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



Submit Return

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

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

You can now view the return in the "Submission History" area. The return can also be downloaded as a PDF document for printing from this area.

Should you wish to correct any errors in the submitted data you may request a resubmission of the return using the "Request Resubmission" functionality under the "Submission" menu.

[Return to Manage Returns](#)

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



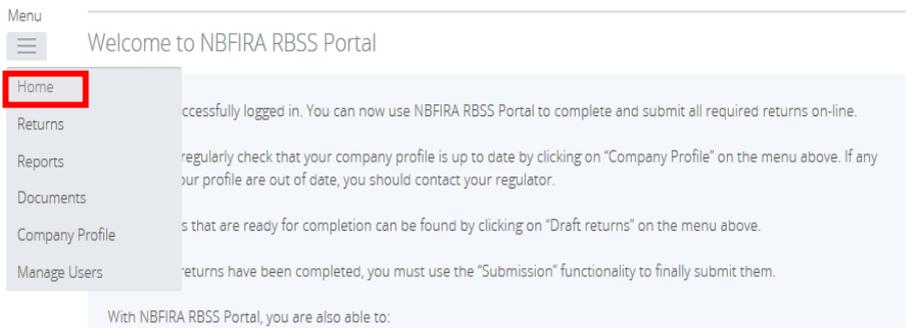
Corporate Registration

How Can I Register My Entity?

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

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

- The Homepage will show the same notification which you have just received.
- Select the relevant company name (if you have a choice) and click login.
- Navigate to the Menu dropdown then select *Returns*. The page will then display Draft Returns below.



Menu

Welcome to NBFIRA RBSS Portal

Home

Returns

Reports

Documents

Company Profile

Manage Users

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

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

s that are ready for completion can be found by clicking on "Draft returns" on the menu above.

returns have been completed, you must use the "Submission" functionality to finally submit them.

With NBFIRA RBSS Portal, you are also able to:



Manage Returns

This page allows you to perform all activities related to managing a returns.

[Create Return](#) [View Submissions](#)

Draft Returns

Name	Reference	Revision	Status	End date	Due date	Actions
RG INS 2021 ABC (Pty) Ltd	RG00751	0.1	No Data	31/07/2021	31/07/2021	

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



Manage Returns

This page allows you to perform all activities related to managing a returns.

[Create Return](#) [View Submissions](#)

Draft Returns

Name	Reference	Revision	Status	End date	Due date	Actions
RG INS 2021 ABC (Pty) Ltd	RG00751	0.1	No Data	31/07/2021	31/07/2021	

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

View Return

Return name: RG INS 2022 ABC Insurance Company (Pty) Ltd
 Return reference: RG45912
 Return end date: 07/03/2022
 Return due date: 31/03/2022
 Return status: No Data
 Categories:

Actions



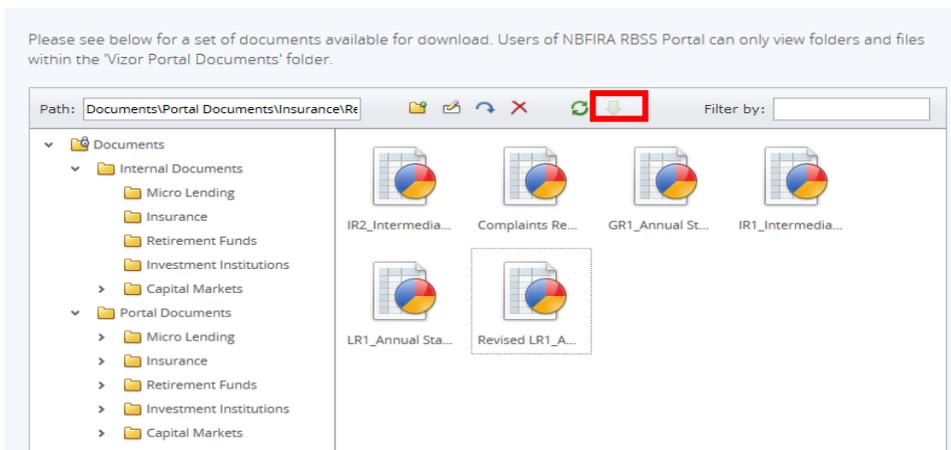
Please select a form to view

RG INS 2022 ABC Insurance Company (Pty) Ltd	Status: No Data
 All Departments - Application for Registration	
 Section A Registration Documents	Edit View 
 ICRD Insurance Company Registration Documents	Edit View 
 All Departments - Corporate Profile Details	
 GD General Details	Edit View 

Secondly, Download Application for Registration Forms

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

Documents



Thirdly, Upload Completed Application for Registration Documents and Other Applicable Sections

- h) When you have filled in the required documents that you have just downloaded, you are ready to upload them. Open the NBFIRA RBSS portal link and login using your allocated portal address and password.
- i) Navigate to *Returns* and select the corporate registration form that has been created for you by the NBFIRA analyst.
- j) Select *Edit* beside the forms *Registration Documents, Application to be Licensed as a Micro Lender, Minimum Exemption Requirements for Pawnshops, Minimum Exemption Requirements for Finance Companies, Minimum Exemption Requirements for Leasing Companies, ICRD Insurance Company Registration Documents or IIRD Insurance Intermediary Registration Documents (where applicable)*.

View Return

Return name:	RG ML 2021 MICRO LENDING	Return reference:	RG45915
Return end date:	30/06/2021	Return due date:	30/09/2021
Return status:	No Data	Categories:	

Actions

 Upload Data

Please select a form to view

RG ML 2021 MICRO LENDING		Status: No Data
  All Departments - Application for Registration		
  Section A Registration Documents	Edit	View  
  SF1 Application To Be Licensed As A Micro Lender	Edit	View  
  MLR Minimum Licensing Requirements	Edit	View  

- k) Upload your completed documents where indicated by the *Browse* buttons ‘Please upload a scanned copy of the application for registration’ and ‘Proof of payment/Exemption Letter’ and / or ‘Please upload any additional attachments’.

Menu



Form View

Registration Documents

Entity Name: ABC (Pty) Ltd
 Reporting Date: 31/07/2021

Please upload a scanned copy of the application for registration. 

[Browse](#) *

Proof of Payment/Exemption Letter

[Browse](#) *

Please upload any additional attachments.

[Browse](#) [Delete](#)

[Add](#)

[Save Draft](#) [Validate & Save](#)

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

Menu



Form View

Registration Documents

Entity Name: ABC (Pty) Ltd

Reporting Date: 31/07/2021

Please upload a scanned copy of the application for registration. ?

 [Attac...](#) 

Proof of Payment/Exemption Letter

 [Attac...](#) 

Please upload any additional attachments.

 [Attac...](#) 

Delete

Add

Save Draft

Validate & Save

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

Fourthly, Complete and Upload Corporate Profile Details

n) Continuing with the draft return, complete the Corporate Profile section by uploading the Corporate Profile Master file. Navigate to the Upload Data and click the hyperlink:

View Return

Return name: RG INS 2022 ABC Insurance Agent (Pty) Ltd Return reference: RG45916
 Return end date: 07/03/2022 Return due date: 15/03/2022
 Return status: In Draft Categories:

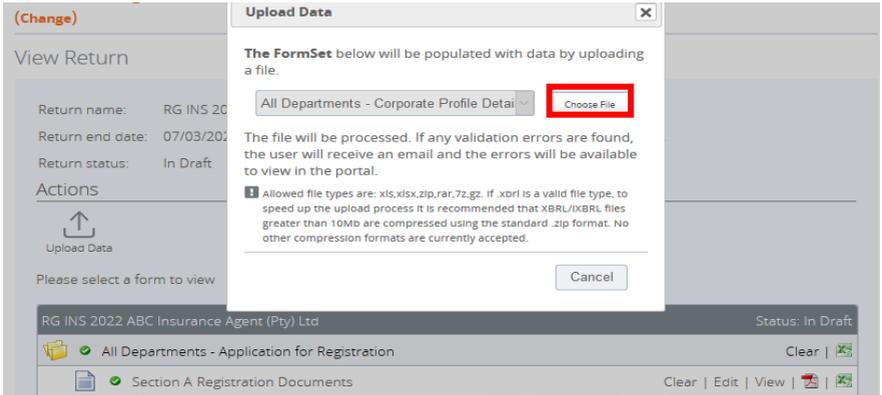
Actions

 [Upload Data](#)

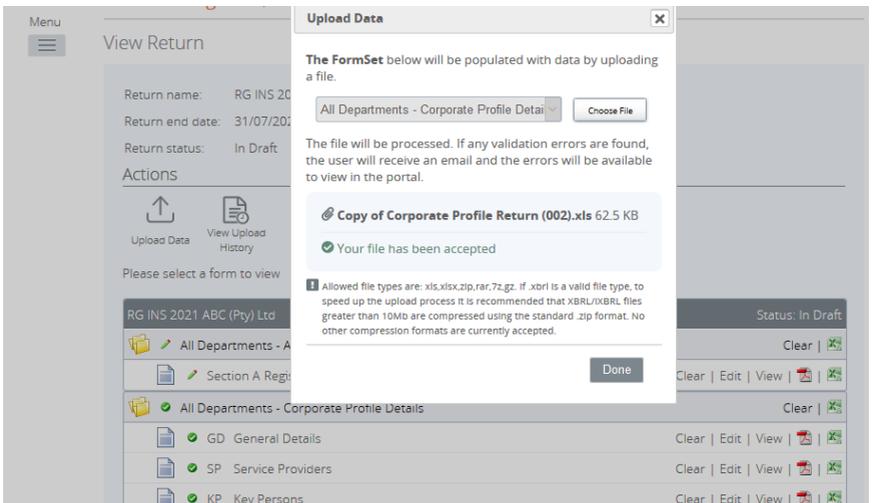
Please select a form to view

RG INS 2022 ABC Insurance Agent (Pty) Ltd		Status: In Draft
	<ul style="list-style-type: none">  All Departments - Application for Registration Clear    Section A Registration Documents Clear Edit View     IIRD Insurance Intermediary Registration Documents Clear Edit View   	
	<ul style="list-style-type: none">  All Departments - Corporate Profile Details    GD General Details Edit View     SP Service Providers Edit View     KP Key Persons Edit View     ID Insurance Details Edit View   	

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



- After uploading you should receive the ‘Your file has been accepted’ message then click done.



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

Fifthly, Complete the Controller / Key Persons Application

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



Form View

Key Persons Documents

Entity Name: ABC (Pty) Ltd
 Reporting Date: 31/07/2021

First Name:	<input type="text"/>	*
Surname:	<input type="text"/>	*
Date of Birth:	<input type="text"/>	*
Please upload a scanned copy of the key person application. (For Pensions)	<input type="button" value="Browse"/>	
Qualifications (Certified copy)	<input type="button" value="Browse"/>	*
2 Passport Sized Photographs	<input type="button" value="Browse"/>	
Bank Reference	<input type="button" value="Browse"/>	
Resident Permit	<input type="button" value="Browse"/>	
Security Vetting Authorisation Form (SV1)	<input type="button" value="Browse"/>	*
Police Clearance	<input type="button" value="Browse"/>	*
Biographical Affidavit (For Pensions)	<input type="button" value="Browse"/>	
Detailed Curriculum Vitae	<input type="button" value="Browse"/>	*
Certified Copy of ID/Passport	<input type="button" value="Browse"/>	*
Proof of Residence (For Pensions)	<input type="button" value="Browse"/>	

Additional Documentation:

Sixthly, Complete Each Remaining Section

- p) Complete **each** of the remaining sections (such as **Personal Questionnaire**) by doing the following:
- Click *Edit/ Add section* beside the forms(s) in the section.

Return name: RG INS 2021 ABC (Pty) Ltd Return reference: RG00754
 Return end date: 31/07/2021 Return due date: 31/07/2021
 Return status: In Draft Categories:

Actions

 Upload Data
  View Upload History

Please select a form to view

RG INS 2021 ABC (Pty) Ltd	Status: In Draft
 All Departments - Application for Registration	Clear 
 Section A Registration Documents	Clear Edit View 
 All Departments - Corporate Profile Details	Clear 
 GD General Details	Clear Edit View 
 SP Service Providers	Clear Edit View 
 KP Key Persons	Clear Edit View 
 All Departments - Controller / Key Persons Application	
 KPDocs Key Person Documents	
 All Departments - Personal Questionnaire	
 PQ All Departments Personal Questionnaire	

- Complete the online form, ensuring that all mandatory fields are completed.
- Attach all the required documents, by clicking *Browse* under each required document and upload the required document.
- Click *Validate and Save*. A green tick indicates that the form is validated successfully.

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

- q) Select the *Validate & Submit option* and click *Submit Return*.

View Return

Return name:	RG INS 2021 ABC (Pty) Ltd	Return reference:	RG00754
Return end date:	31/07/2021	Return due date:	31/07/2021
Return status:	Valid	Categories:	

Actions





Please select a form to view

RG INS 2021 ABC (Pty) Ltd	Status: Valid
All Departments - Application for Registration Clear 	
Section A Registration Documents Clear Edit View 	
All Departments - Corporate Profile Details Clear 	
GD General Details Clear Edit View 	
SP Service Providers Clear Edit View 	
KP Key Persons Clear Edit View 	
All Departments - Controller / Key Persons Application Clear 	
KPDocs Key Person Documents Delete All Clear All 	
All Departments - Personal Questionnaire Clear 	
PQ All Departments Personal Questionnaire Delete All Clear All 	
ABC PTY Delete Clear Edit View 	

- Select the *Submit* button.

Menu



Submit Return

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

Once submitted, a return can no longer be edited, but can still be viewed in submission history. If an error is subsequently discovered you can apply to resubmit the return using the "Request Resubmission" functionality.

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

Menu



Submit Return

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

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

You can now view the return in the "Submission History" area. The return can also be downloaded as a PDF document for printing from this area.

Should you wish to correct any errors in the submitted data you may request a resubmission of the return using the "Request Resubmission" functionality under the "Submission" menu.

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

I Want to Withdraw My Corporate Registration Application!

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

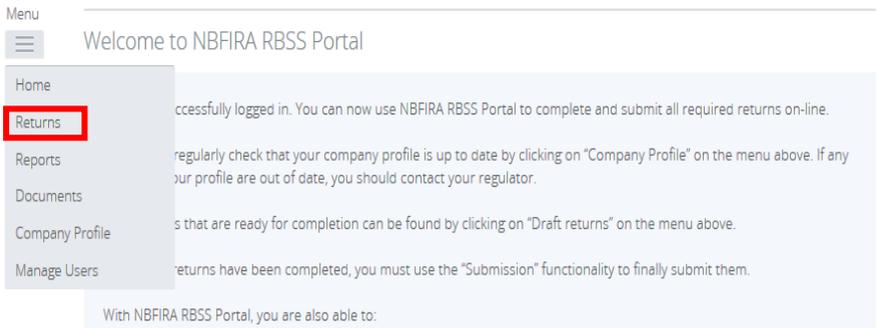


Controller / Approved Person Registration

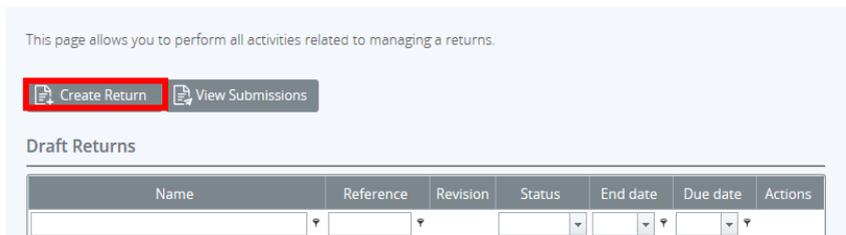
How do I Register a new Key Person / Controller?

Firstly, Create the AP Return

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



Manage Returns



- c) Enter the following details for the return:
 - Return name: (i.e. *AP Dept_Code* Year Name_of_Company/Entity e.g. AP INS 2021 Speedy Insurance. Refer to the naming convention*).
 - Select form set (select the return i.e. *Controller/Key Persons Application*)

Create Return

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

Return name: *

Select form set:

- All Departments - Appointment of Independent Auditor
- All Departments - Change of Fiscal Year End
- All Departments - Change Shareholder
- All Departments - Controller / Key Persons Application
- All Departments - General Enquires
- All Departments - Mergers and Acquisitions

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

Return Created Successfully

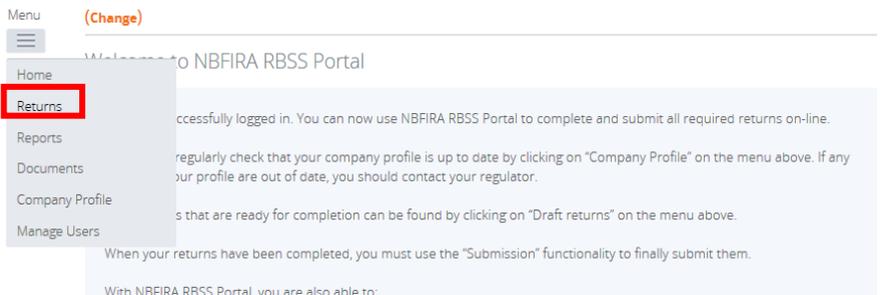
Your return "AP ML 2022 Speedy Insurance" has successfully been created with the reference "AP45918".

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

[Return to Manage Returns](#)

Secondly, Find the Created Controller Registration Application

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



Menu (Change)

- Home
- Returns**
- Reports
- Documents
- Company Profile
- Manage Users

Welcome to NBFIRA RBSS Portal

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

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

returns that are ready for completion can be found by clicking on "Draft returns" on the menu above.

When your returns have been completed, you must use the "Submission" functionality to finally submit them.

With NBFIRA RBSS Portal, you are also able to:

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

Manage Returns

This page allows you to perform all activities related to managing a returns.

Draft Returns

Name	Reference	Revision	Status	End date	Due date	Actions
AP ML 2022 Speedy Insurance	AP45918	0.1	No Data			

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

Thirdly, Complete the Controller / Key Persons Application section

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

View Return

Return name: AP ML 2021 Return reference: AP00776
 Return end date: Return due date:
 Return status: No Data Categories:

Actions

Upload Data

Please select a form to view

AP ML 2021	Status: No Data
All Departments - Controller / Key Persons Application	
KPDocs Key Person Documents	
All Departments - Corporate Profile Details	
GD General Details	Edit View
SP Service Providers	Edit View
KP Key Persons	Edit View
MLD Micro Lending Details	Edit View
All Departments - Personal Questionnaire	
PQ All Departments Personal Questionnaire	

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

- Input the required fields, and click *Browse* under each required document and upload the required document.
- Click *Validate & Save*.
- Repeat as necessary for all the Controllers/Key Persons

Form View

Key Persons Documents

Entity Name: ABC (Pty) Ltd
Reporting Date: 31/07/2021

First Name:	<input type="text"/>
Surname:	<input type="text"/>
Date of Birth:	<input type="text"/>
Please upload a scanned copy of the key person application. (For Pensions)	<input type="button" value="Browse"/>
Qualifications (Certified copy)	<input type="button" value="Browse"/>
2 Passport Sized Photographs	<input type="button" value="Browse"/>
Bank Reference	<input type="button" value="Browse"/>
Resident Permit	<input type="button" value="Browse"/>
Security Vetting Authorisation Form (SV1)	<input type="button" value="Browse"/>
Police Clearance	<input type="button" value="Browse"/>
Biographical Affidavit (For Pensions)	<input type="button" value="Browse"/>
Detailed Curriculum Vitae	<input type="button" value="Browse"/>
Certified Copy of ID/Passport	<input type="button" value="Browse"/>
Proof of Residence (For Pensions)	<input type="button" value="Browse"/>
Additional Documentation:	<input type="button" value="Browse"/> <input type="button" value="Delete"/>

Save Draft

Fourthly, Complete and upload Corporate Profile Details

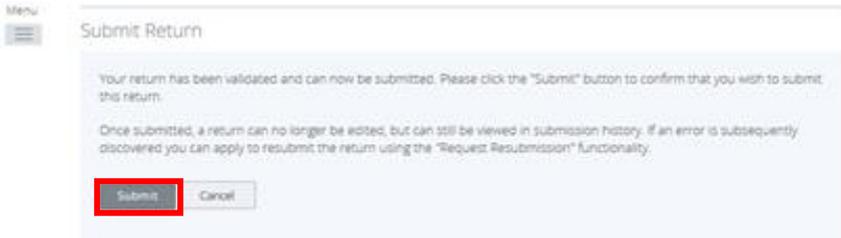
- g) Continuing with the return, look for the **Corporate Profile Details** section. This has to be re-uploaded afresh together with the new information. The best and easiest way to do this is to use the Corporate Profile Shortcut, as detailed in the Commonly Asked Questions section “**Error! Reference source not found.**”.

Fifthly, Complete Each Remaining Section

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

Finally, you are now ready to submit your return.

- Click *Submit* on the return which you created.



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

Menu

Submit Return

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

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

You can now view the return in the "Submission History" area. The return can also be downloaded as a PDF document for printing from this area.

Should you wish to correct any errors in the submitted data you may request a resubmission of the return using the "Request Resubmission" functionality under the "Submission" menu.

[Return to Manage Returns](#)

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

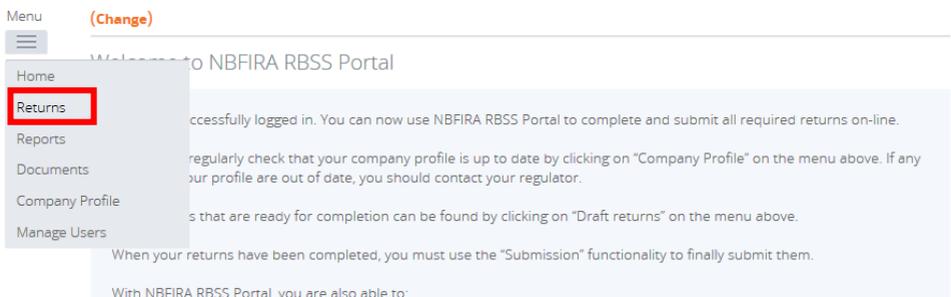


Licence Renewal

How Can I Renew My Entity's Licence?

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

- a) The Homepage will show the same notification which you have just received.
- b) Navigate to *Menu* and select *Returns* from the drop-down list.



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

Manage Returns

This page allows you to perform all activities related to managing a returns.

 Create Return  View Submissions

Draft Returns

Name	Reference	Revision	Status	End date	Due date	Actions
LR INS 2022 Insurance Companies	LR45919	0.1	No Data	31/03/2022	31/03/2022	

d) Select *Edit* beside the relevant renewal form(s).

View Return

Return name: LR ML 2021 MICRO LENDING Return reference: LR45922
 Return end date: 30/06/2021 Return due date: 30/09/2021
 Return status: No Data Categories:
 Please select a form to view

LR ML 2021 MICRO LENDING	Status: No Data
 Micro Lending - Application for Renewal of License 	
 RL Application for Renewal of a Micro Lending License	   
 MRR Minimum Renewal Requirements	   
 KP Docs Key Person Documents	   
 PQ Personal Questionnaire	   

e) Then complete the online forms by uploading any required documents such as a scanned copy of the application for registration and/or proof of payment and others.

Menu 

Form View

Renewal of Licence

Entity Name: II Entity Reporting Date: 31/07/2021

Please upload a scanned copy of the application for the Renewal of a Licence



Please upload any additional attachments.

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

10 Upload Documents (documents that must accompany this application)		
a	Chart showing the organisational structure of the company, with names accompanying all senior management positions.	 ATTAC... 
b	Certification from the company's auditors to substantiate the amount of paid-up capital.	 ATTAC... 
c	Statement from the bank in confirmation of deposits or cover note of a guarantee policy from an insurer as per section 6 above. (where applicable)	 ATTAC... 
d	Schedule or cover note from the insurer providing professional indemnity cover as per section 7 above.	 ATTAC... 
e	Schedule or cover note if Fidelity Guarantee Insurance is in place as per section 8 above.	 ATTAC... 
f	List of all persons with whom broker had agency agreement, which were active during the year (ending with the expiry date of licence being renewed); including any cancellations/suspensions and the reasons thereof.	 ATTAC... 
g	Confirmation of validity of agency agreement with insurer/broker (for corporate agencies)	 ATTAC... 
h	Proof of payment/settlement of fee of all outstanding supervisory levies	 ATTAC... 
i	Proof of payment of the licence renewal fee	 ATTAC... 
j	Copy of previous licence	 ATTAC... 

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


Validate & Submit

Please select a form to view

LR INS 2022 Insurance Agents	Status: Valid
  All Departments - Renewal of Licence	Clear 
  RL Renewal	Clear Edit View  
  CARL Insurance - Corporate Agents Renewal of Licence	Clear Edit View  

h) You are now ready to submit your licence renewal form/return. Select the *Validate and Submit* button.

Return name: LR INS 2022 Insurance Agents	Return reference: LR45921
Return end date: 31/03/2022	Return due date: 31/03/2022
Return status: Valid	Categories:

Actions


Validate & Submit

Please select a form to view

i) Click *Submit* on the next page.

Submit Return

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

Once submitted, a return can no longer be edited, but can still be viewed in submission history. If an error is subsequently discovered you can apply to resubmit the return using the "Request Resubmission" functionality.

Submit

Cancel

- j) You will receive a confirmation notification and email.



Notification of Change

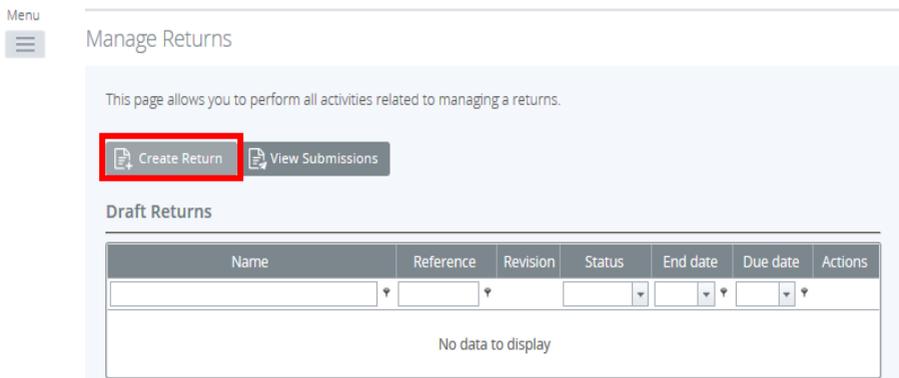
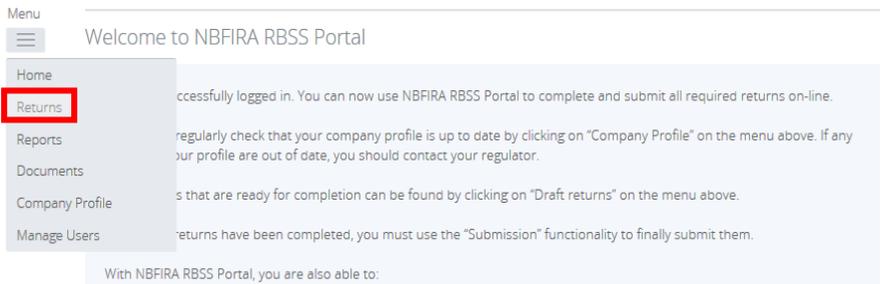
Any of the following would require a notification of change form to be submitted:

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

How Do I Notify A Change to NBFIRA?

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

- a) Open the NBFIRA RBSS portal link and login using your allocated portal address and password.
- b) Navigate to ‘Returns’ and click *Create Return*.



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

Create Return

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

Return name:

Select form set:

- All Departments - Appointment of Independent Auditor
- All Departments - Change of Fiscal Year End
- All Departments - Change Shareholder
- All Departments - Controller / Key Persons Application
- All Departments - General Enquires
- All Departments - Memorandum of Association

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

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

Menu Return Created Successfully

Your return "NC_YE INS 2021 ABC (Pty) Ltd" has successfully been created with the reference "NC00760".

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

[Return to Manage Returns](#)

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

Menu



Manage Returns

This page allows you to perform all activities related to managing a returns.

[Create Return](#) [View Submissions](#)

Draft Returns

Name	Reference	Revision	Status	End date	Due date	Actions
NC_YE_INS 2021 ABC (Pty) Ltd	NC00760	0.1	No Data			 

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

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

NC_YE_INS 2021 ABC (Pty) Ltd Status: No Data

-   All Departments - Change of Fiscal Year End 
-   CFYE Change of Fiscal Year End **Edit** View  
-   All Departments - Corporate Profile Details 

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

Form View

Change of Fiscal Year End ?

Entity Name: ABC (Pty) Ltd

Reporting Date: 01/01/0001

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

Browse

Please upload any additional attachments.

Browse Delete

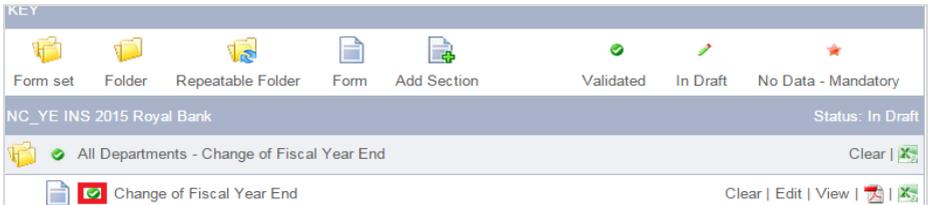
Add

[Save Draft](#) [Validate & Save](#)

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

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

Successful validation will show as green ticks, as below:

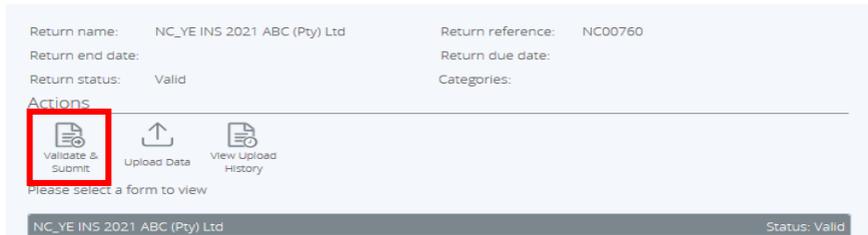


- h) You must re-upload your Entity’s corporate profile to include the change. The best and easiest way to do this (rather than doing it all afresh) is to go to *View Submissions* then *Submission History* – refer to the Commonly Asked Questions section (“**Error! Reference source not found.**”) for detailed instructions.
- i) When you have finished uploading your updated Corporate Profile, a View Return screen is displayed and a green tick indicates that your form has been validated:



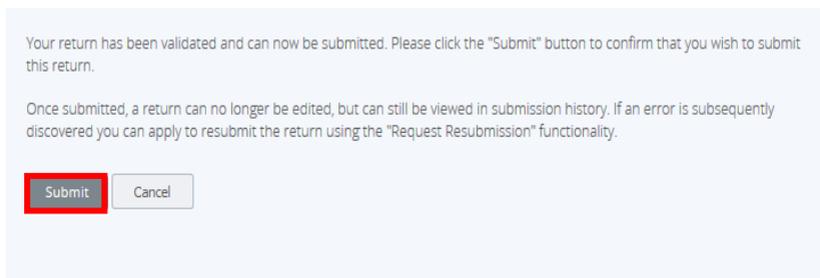
- j) Select the ‘*Validate and Submit*’ option to submit the Return.

View Return



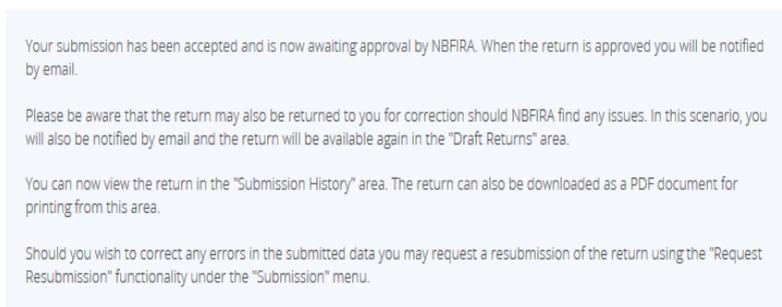
- k) Click the *Submit option* on the ‘*Submit Return*’ page to submit the return you have just created (or updated).

Submit Return



- l) After submission you will receive a confirmation message that your return has been submitted to NBFIRA.

Submit Return



2 Commonly Asked Questions



How Can I Obtain Assistance?

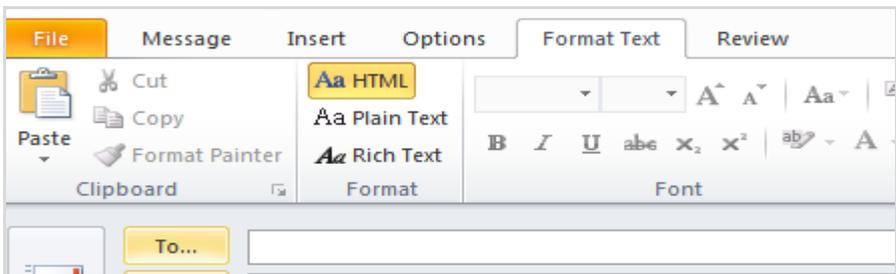
If you require any assistance, please contact one of the following:

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

What Are The Minimum Computer Requirements for RBSS?

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

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





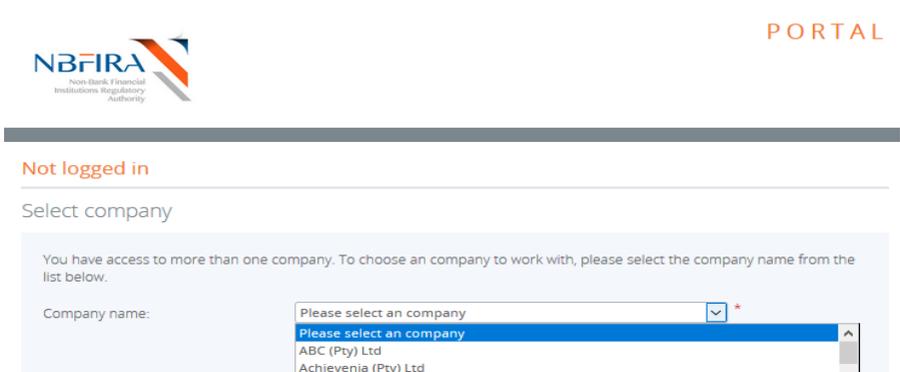
How Do I Log Into the RBSS System?

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

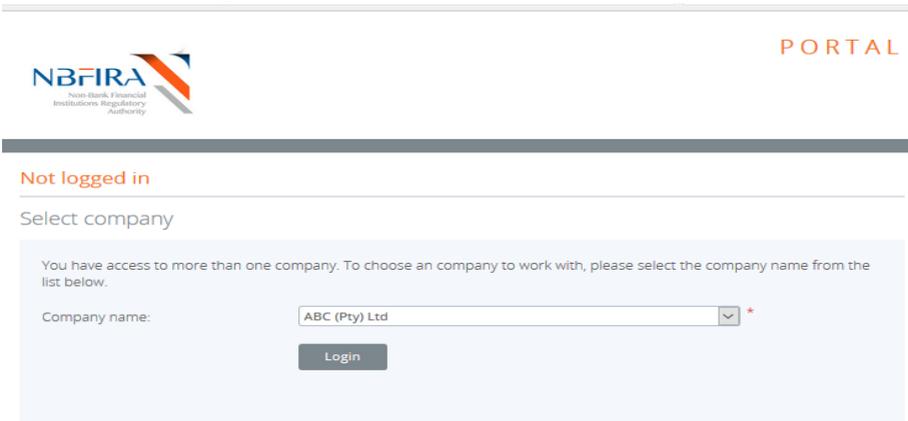
- a) Launch NBFIRA RBSS Portal by entering into the address bar of your browser the URL <https://rbss.nbfira.org.bw>



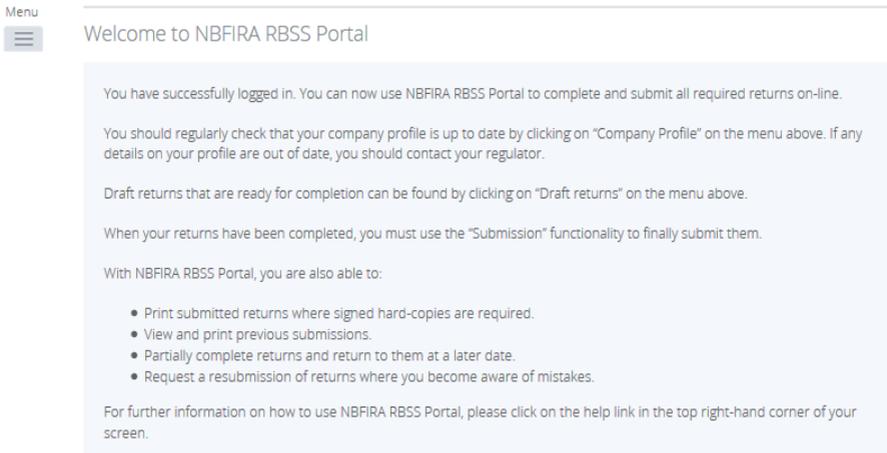
- b) Enter your *Username* and *Password* and click on *Login*
- c) Select your *Company Name (Entity)* from the dropdown – the number of companies listed will be those to whom you have access to.



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



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



The screenshot shows the NBFIRA RBSS Portal Home screen. At the top left is a 'Menu' button with a hamburger icon. The main heading is 'Welcome to NBFIRA RBSS Portal'. Below this is a light blue box containing the following text:

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

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

Draft returns that are ready for completion can be found by clicking on "Draft returns" on the menu above.

When your returns have been completed, you must use the "Submission" functionality to finally submit them.

With NBFIRA RBSS Portal, you are also able to:

- Print submitted returns where signed hard-copies are required.
- View and print previous submissions.
- Partially complete returns and return to them at a later date.
- Request a resubmission of returns where you become aware of mistakes.

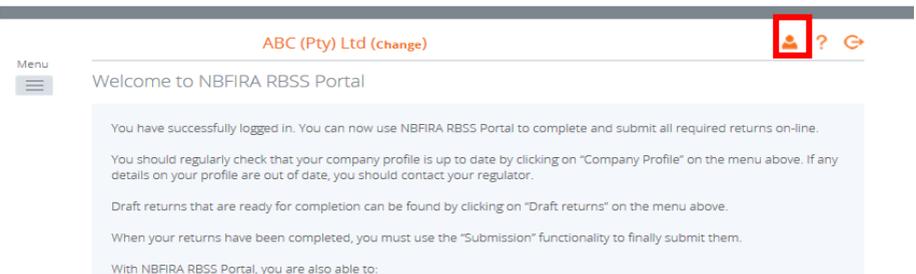
For further information on how to use NBFIRA RBSS Portal, please click on the help link in the top right-hand corner of your screen.



How Can I Change/Reset My Password?

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

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



The screenshot shows the NBFIRA RBSS Portal Home screen, similar to the previous one. At the top right, the user profile icon (a person silhouette) is highlighted with a red square. Above the icon, the text 'ABC (Pty) Ltd (change)' is visible. To the right of the icon are three small icons: a question mark, a refresh icon, and a share icon. The rest of the page content is identical to the previous screenshot.

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

g) Click on *Save My Password*.

My User Details

Edit My Details

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

First name: *

Surname: *

Email address: *

Telephone number:

International Area code Number

Assigned permissions / roles: ▾

Edit My Password

Valid passwords contain 1 capital letter, 1 small letter, 1 number and 1 special character (e.g. #&*!\$). It must be at least 8 characters and not more than 30 characters with no blank spaces.

Current password: *

New password: *

Confirm new password: *

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

Menu 

Update My Password

Your password has been successfully updated.

[Back](#)



Help! I Have Forgotten My Password!

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

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



PORTAL

Not logged in

Welcome to NBFIRA RBSS Portal

NBFIRA RBSS Portal is an on-line application that manages all of your formal communications with your regulator. Using NBFIRA RBSS Portal, you will be able to complete and submit all required returns on-line. In addition, you will be able to see your company's profile – the current information held by the regulator about your company – and keep it up to date.

To access NBFIRA RBSS Portal, please enter your username and password below (password is case sensitive):

Username: *

Password: *

Login

[Forgotten Password](#)

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



PORTAL

Not logged in

Forgotten Password

Please complete the following verification to proceed. Click the Next button to continue.

Captcha:

I'm not a robot



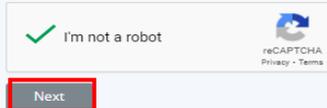
Next

Not logged in

Forgotten Password

Please complete the following verification to proceed. Click the Next button to continue.

Captcha:



I'm not a robot

reCAPTCHA
Privacy - Terms

Next

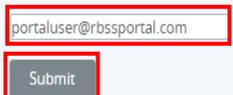
- d) This will bring you to *the Forgotten Password* screen.
- e) Enter your email address in *Email address*.
- f) Click on *Submit* button.

Not logged in

Forgotten Password

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

Email address:



portaluser@rbssportal.com *

Submit

- g) A message is displayed indicating your password has been sent to your e-mail account.

Not logged in

Forgotten Password

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

- h) Click on the *Home* tab in RBSS Portal to navigate to the *Welcome* screen.
- i) Open the Password reset email that you received from the RBSS system administrator.

NBFIIRA RBSS Portal account password change request



admin@nbfiira.org.bw



Wed 7/14/2021 10:39 AM

We have received a request to change the password of your NBFIIRA RBSS Portal account.

To complete the request, please click on the following link:

http://VIZOR_VM-VP1/ForGottenPasswordProcessPage.aspx?token=19f5292a-8a8f-4249-bee1-170e29e1b4e3

If you didn't request a password change, please report this e-mail to your administrator.

This is a system generated email, so please do not reply to it.

Yours Sincerely,

NBFIIRA RBSS Portal Administrator

- j) Click on the link provided on the email.
- k) Enter your new password



PORTAL

Not logged in

Forgotten Password

Valid passwords contain 1 capital letter, 1 small letter, 1 number and 1 special character (e.g. #&*!\$). It must be at least 8 characters and not more than 30 characters with no blank spaces.

New password

Confirm new password

- l) Click on *save*.
- m) This will bring you to the Home screen. You will now need to enter your username and the new password.
- n) Click on *login*.

Not logged in

Welcome to NBFIIRA RBSS Portal

NBFIIRA RBSS Portal is an on-line application that manages all of your formal communications with your regulator. Using NBFIIRA RBSS Portal, you will be able to complete and submit all required returns on-line. In addition, you will be able to see your company's profile – the current information held by the regulator about your company – and keep it up to date.

To access NBFIIRA RBSS Portal, please enter your username and password below (password is case sensitive):

Username: *

Password: *

[Forgotten Password](#)

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

- Microsoft Internet Explorer version 7 or above, or Firefox version 4 or above or Google Chrome version 10 or above.

o) You will receive an e-mail confirming a successful change of password.

NBFIIRA RBSS Portal account password reset confirmation



admin@nbfiira.org.bw

[Reply](#) [Reply All](#) [Forward](#) [...](#)

Wed 7/14/2021 11:19 AM

The password of your NBFIIRA RBSS Portal account with registered phone number ending with **** has successfully been reset.

If you didn't perform a password change, please report this e-mail to your administrator.

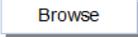
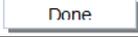
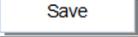
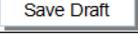
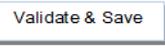
This is a system generated email, so please do not reply to it.

Yours Sincerely,

NBFIIRA RBSS Portal Administrator



What Do the System Common Buttons Mean?

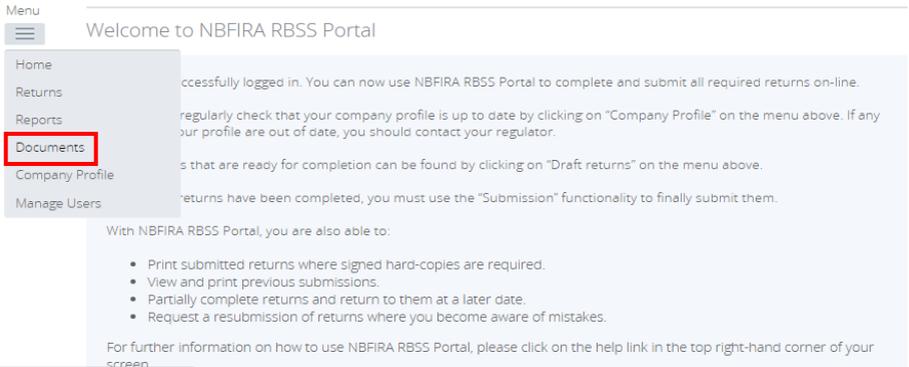
Name	Icon	Description
Back		Takes you the previous page; note that you cannot use this for going back to resubmit a form etc., use the menu toolbar instead
Browse		Select a file to upload
Cancel		To cancel a process performed in a return
Checkbox	<input type="checkbox"/>	Used to select an item
Confirm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



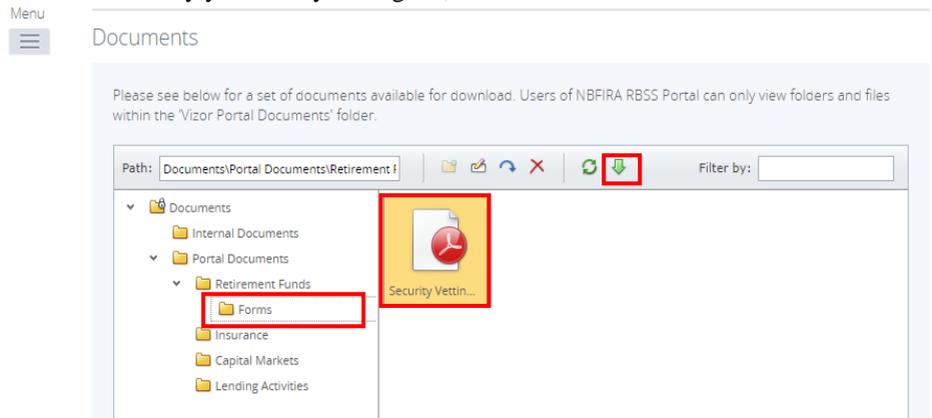
How Do I Download the Required NBFIRA Forms?

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

- a) In the NBFIRA RBSS Portal, click on the *Documents* button and view the forms that are available for downloading.



- b) Select the folder “Portal Documents”.
- c) Select the industry your Entity belongs to, then click on *Forms*.



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

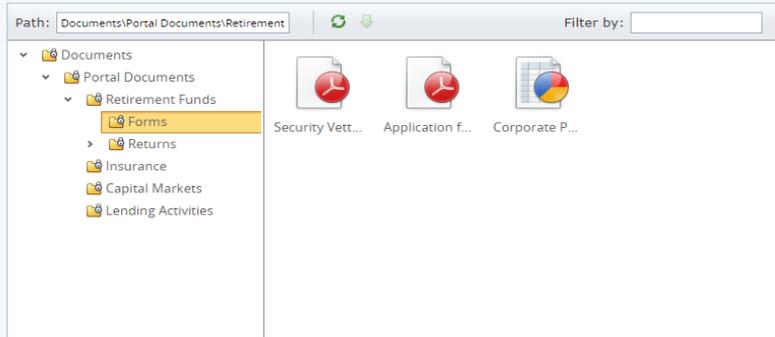
A generic example is shown below to demonstrate the method of filtering the available documents:

- As above, navigate to the subfolder you require.



Documents

Please see below for a list of documents available for download.



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



Documents

Please see below for a list of documents available for download.

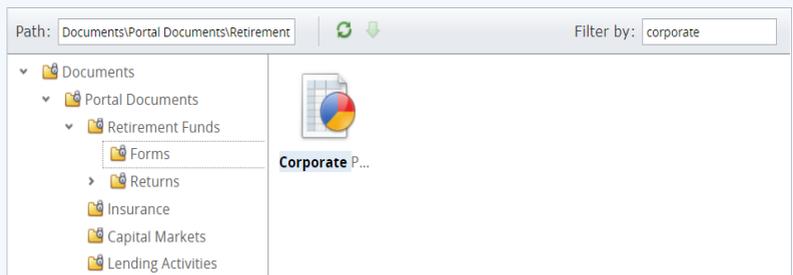


- The document list refreshes to display the document conforming to your filter.



Documents

Please see below for a list of documents available for download.

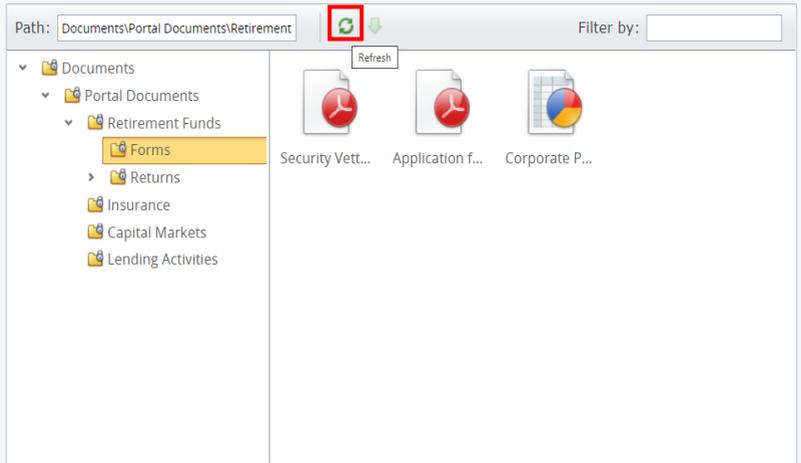


- Click on the Refresh icon to clear the search and to view all the documents in the folder.



Documents

Please see below for a list of documents available for download.




How Do I Upload Completed Documents?

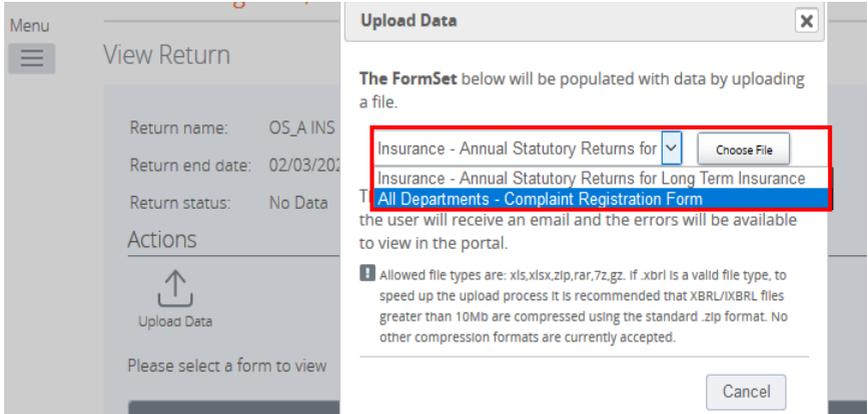
Often a return requires the uploading of additional information.

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

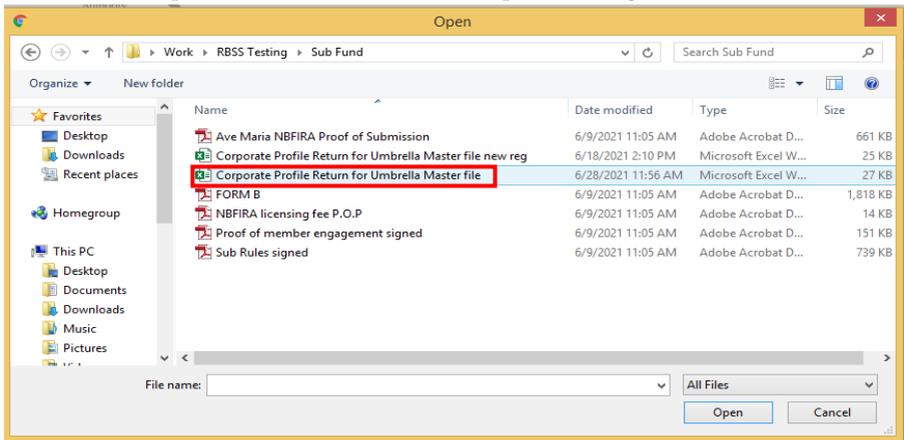
- a) You need to look for the upload button and click on it (such as shown below - the *Upload Data* button).



- b) Click on the *Browse* button.



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



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

✕

Upload Data

The **FormSet** below will be populated with data by uploading a file.

All Departments - Corporate Profile Detai ▾

Choose File

The file will be processed. If any validation errors are found, the user will receive an email and the errors will be available to view in the portal.

 **Corporate Profile Return for Umbrella Master file.xlsx** 26.8 KB

 Your file has been accepted

i Allowed file types are: xls,xlsx,zip,rar,7z,gz. If .xbrl is a valid file type, to speed up the upload process it is recommended that XBRL/IXBRL files greater than 10Mb are compressed using the standard .zip format. No other compression formats are currently accepted.

Done

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

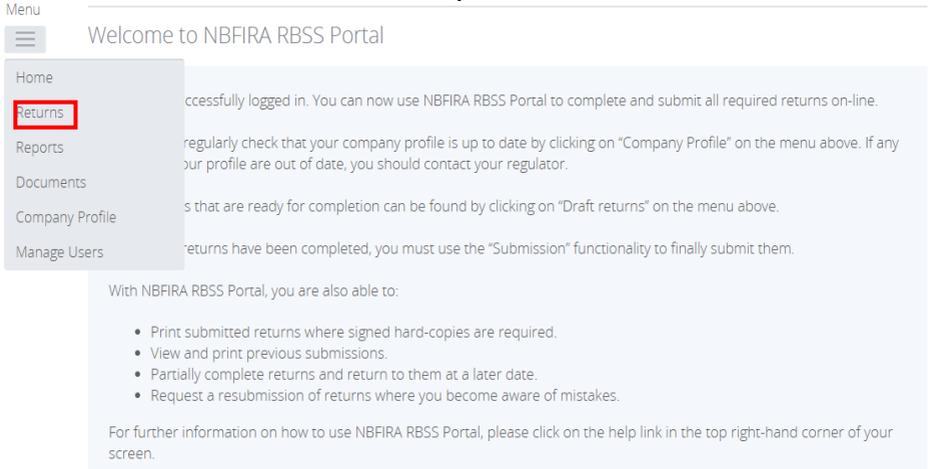
 All Departments - Corporate Profile Details Clear 	
 GD General Details	✔ Clear Edit View  
 SP Service Providers	✔ Clear Edit View  
 KP Key Persons	✔ Clear Edit View  



But I Made A Mistake! Can I Resubmit?

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

- a) Click on *returns button* from the menu dropdown.



The screenshot shows the NBFIRA RBSS Portal interface. At the top, it says "Welcome to NBFIRA RBSS Portal". Below this is a "Menu" dropdown with the following options: Home, Returns (highlighted with a red box), Reports, Documents, Company Profile, and Manage Users. The main content area contains the following text:

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

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

Returns that are ready for completion can be found by clicking on "Draft returns" on the menu above.

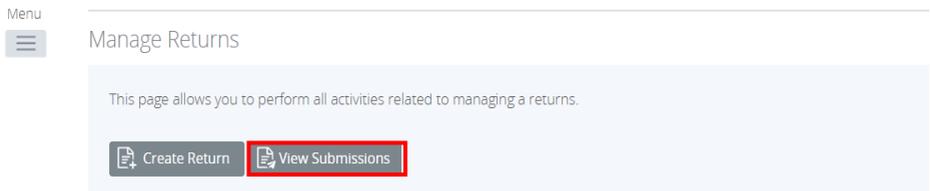
Once returns have been completed, you must use the "Submission" functionality to finally submit them.

With NBFIRA RBSS Portal, you are also able to:

- Print submitted returns where signed hard-copies are required.
- View and print previous submissions.
- Partially complete returns and return to them at a later date.
- Request a resubmission of returns where you become aware of mistakes.

For further information on how to use NBFIRA RBSS Portal, please click on the help link in the top right-hand corner of your screen.

- b) Click on *view submissions*.



The screenshot shows the "Manage Returns" page in the NBFIRA RBSS Portal. At the top, it says "Manage Returns". Below this is a description: "This page allows you to perform all activities related to managing a returns." At the bottom, there are two buttons: "Create Return" and "View Submissions" (highlighted with a red box).

- c) This page will allow you to view previous submissions and request resubmissions. Click on the request resubmission button under the action column.



Submission History

This page allows you to **view the submission history**, also you can **request resubmission**.

If you want to request resubmission, please click Request Resubmission icon on the return that you would like to request a resubmission for.

Resubmission requests may be granted automatically or may require review by your Regulator, based on the reasons you provide on the next page. If your resubmission request is granted, you will be notified by email and the return will appear in the 'Manage Returns' area where you will be able to edit it before resubmission.

Showing returns from:

Return name	Reference	Revision	Submitted date	Status	Return end date	Due date	Actions
SE	OS00740	1.0	07/07/2021	Submitted For Approval	04/06/2021	05/06/2021	

d) Input the reason for your resubmission and send request.

Revision of return:

Reasons for resubmission:

e) You will be asked to confirm this, as it will overwrite what has been submitted previously if your request will be granted. When you have confirmed this, a resubmit message will be output. Your request will be reviewed, and you will receive the resulting “grant request” or “deny request” email notification.

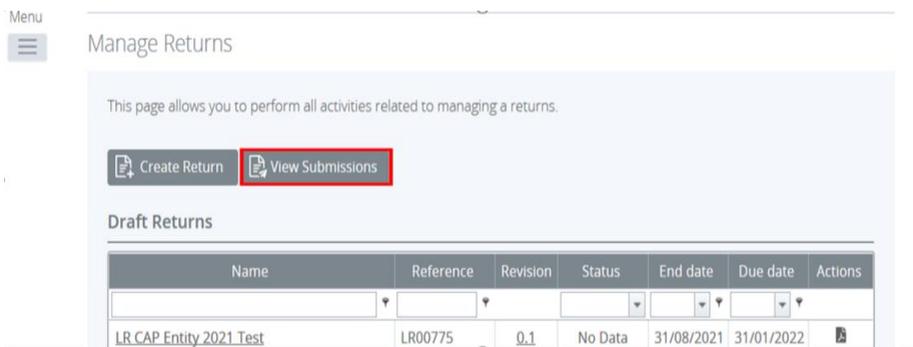
- If your request is **granted**, you will need to restart the process with a fresh submission.
- If your request is **denied**, the process will continue with the already submitted return



But I Made A Mistake! Can I Resubmit?

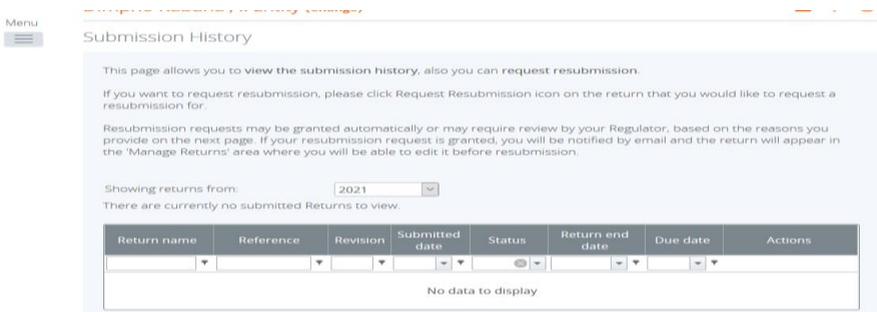
If you have found that you have submitted a return in error, you can request to resubmit it; the process will restart again. You are advised to contact your NBFIRA Regulatory Analyst for assistance prior to submitting a resubmission request.

- f) Select *Returns* from the *drop-down Menu*. It will take you to the *Manage Returns* page. Select *View Submissions*.



Name	Reference	Revision	Status	End date	Due date	Actions
LR CAP Entity 2021 Test	LR00775	0.1	No Data	31/08/2021	31/01/2022	

- g) You will be taken to the *Submission History* page, where you will select and complete the search parameters for the return wish to resubmit.



Return name	Reference	Revision	Submitted date	Status	Return end date	Due date	Actions
No data to display							

- h) Select the return you wish to resubmit.
- i) Once open, select *Request Resubmission* under *Actions*



Return name: Return 002 Return reference: 00629
 Return end date: 31/03/2017 Return due date: 30/06/2017
 Return status: Submitted For Approval Categories:

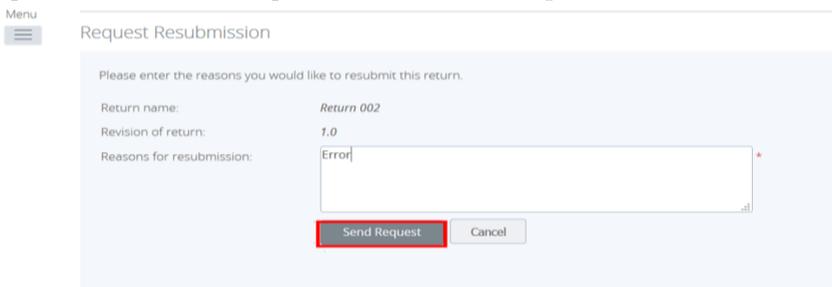
Actions

Request Resubmission (highlighted) View Upload History

Please select a form to view

Return 002		Status: Submitted For Approval
	IICM-Annual Return	
	BR Board Responsibilities	View
	MBSC Main Board and Sub-Committees	View
	BS Statement of Financial Position	View
	IS Statement of Comprehensive Income	View
	IICM-Annual Returns (With Attachments)	

j) Input the reason for the request, then select *Send Request*.



Menu

Request Resubmission

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

Return name: Return 002
 Revision of return: 1.0
 Reasons for resubmission:

Send Request Cancel

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



I Want to Withdraw My Corporate Registration Application

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



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

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

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

Regulatory action response documents

Entity Name: Tshepaone Entity 4

Reporting Date: 23/09/2014

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

Please upload any additional attachments.

- Click on the *Browse* button for any uploads that you wish to do.
- Select the file you need to upload from your computer.
- Click on the *Open* button in *Choose File to Upload* dialog. A confirmation message is displayed on successfully uploading the data. (The system may flag errors if you have entered text where numbers should be entered, or if you have entered numbers larger than the allowed maximum number of digits).
- (If you wish to re-upload the data, you can click the *Clear* link beside the *Upload Data* link – but this will clear the data from ALL the sections, and you will need to restart the upload process).
- Click the *Validate & Save* button.
- Click *Back* to check that your return has now received the Validated Status (look for the green tick) in each section where an upload is required.
- The return you have completed/updated should now state *Submit* beside it. When you are satisfied that everything is in place for submission to NBFIRA, select the *Submission* menu from the top of the screen and click *Submit Return*. Your

submission will be confirmed. Note that once you have submitted a return, you can no longer amend it.

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



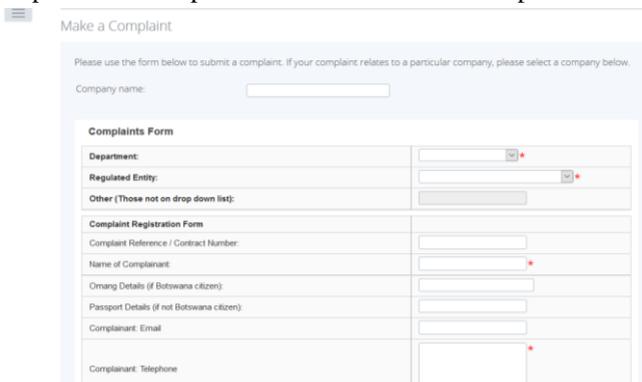
How Do I Notify NBFIRA About a Complaint?

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

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

or

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



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

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