

Rollovers version 3 onboarding weekly update

The following update is designed to assist industry in their rollovers version 3 onboarding.

This report will continue to be updated in full weekly however will also be now be distributed on an as needs basis with the focus to provide Industry with details relating to 'active issues'. This will be distributed via email to those registered as attendees of the Rollover Implementation Forum (RIF).

The weekly update will continue to focus on providing a full week view across a range of topics, including:

- 1) EVTE status for SBR services and Rollover message
- 2) Onboarding status updates of entities participating in rollovers version 3
- 3) Guidance to provide further assistance during onboarding

Rollovers V3 issues

Active Issues

#	Issue	Resolution	Resolved on	Status	Rv3 Issues Register #
18	Electronic Portability Forms (EPF) with country code "AU"	In progress		<p>10/09 - Recent changes to ATO systems had an inadvertent impact to ATO online superannuation transfer requests. Prior to March 2021, individuals with an overseas registered address were unable to submit a transfer request via ATO Online. The system is now allowing these request forms to progress through the system. As funds are not receiving any notification of the transfer request, they cannot be actioned. The ATO is in the process of identifying and contacting affected clients. A system fix is being developed (date yet to be determined).</p> <p>03/09 - ATO has identified that this is a historic issue and precedes RV3. Impacted members will be contacted by the ATO and interim solutions are being developed to mitigate the impact while a solution is developed.</p> <p>01/09 - EPFs for members who have an overseas residential address and contained country code "AU" were rejected by funds and/or gateways. A fix is under development. In the interim, the ATO are working with impacted funds and providing assistance.</p>	38

Closed Issues

#	Issue	Resolution	Resolved on	Rv3 Issues Register #
27	Funds requesting manual verification for an SVS outcome response of "not verified"	<p>11/10 - CRT Alert 012/2021 was issued reminding industry of the process</p> <p>30/09 - The ATO had identified some funds are sending manual verification requests after the SVS</p>	11 October 2021	49

		<p>has returned one of the following 'not verified' responses:</p> <ul style="list-style-type: none"> • CMN.ATO.SMSFVRFY.SMSFNOTVALID • CMN.ATO.SMSFVRFY.MEMNOTVALID <p>Please be aware that the SVS response is correct and funds should refer to Self-managed Super Fund Verification Service – Business Implementation Guide on how to manage responses.</p> <p>Funds should <u>not</u> request a manual verification to confirm the outcome, as the results will be the same. Where a 'not verified' response is returned, you may choose (at your own discretion) to not proceed with the rollover.</p>		
29	Funds not receiving RASOR's due to issue with ATO lookup table	<ul style="list-style-type: none"> • 14/10 – All impacted RASOR have been replayed. Issue resolved. • 6/10 – An issue has been identified where a small number of funds were not receiving RASORs due to an issue with an ATO internal lookup table. The cause of this issue has been fixed and the ATO is working to replay the messages. Impacted funds are being contacted, however no action is required from the funds. 	14 October 2021	51
26	SMSF business intermediary name exceeding 32 characters	<ul style="list-style-type: none"> • 06/10 – Fix has been tested successfully. Issue resolved • 05/10 – Fix has deployed and is currently being tested. • 29/9 – An issue was identified with the SVS where an SMSF business intermediary name exceeding 32 characters were failing in the SVS. A fix has been identified and planned for deployment on Friday 1 October. Further verification is in progress to ensure SVS processing aligns with the publish SBR artefacts. 	6 October 2021	48
28	RASORs for SMSFs including incorrect USI	<ul style="list-style-type: none"> • 05/10 – Fix has deployed and tested successfully. ATO is working with the impacted SMSF provider. • 30/09 – RASORs issued to SMSFs are including an incorrect USI of '00000000000000'. A fix has been identified and deployment is planned for 2/10/21. The ATO is working with the impacted SMSF providers. 	5 October 2021	50
23	RAS being rejected due to XBRL Validation error	<ul style="list-style-type: none"> • 29/09 – ATO has deployed a fix which is being tested in production. The ATO will remediate all impacted RAS and contact the affected funds to confirm the outcome. 	29 September 2021	45
25	Incorrect certification value was applied to an SMSF Provider	<ul style="list-style-type: none"> • 28/9 – SVS incorrectly returned nil certification for a single SMSF provider however the SMSF verification service response was correct. • ATO deployed an urgent fix which has been tested successfully 	28 September 2021	47
24	Multiple USIs listed on the FVS under the Mercer Super Trust ABN: 19905422981 have an incorrect 'effective to' date of 29 September 2021 showing ROLL2.0-X	<ul style="list-style-type: none"> • 28/09 – The FVS data was corrected today. • 27/09 - The ATO worked urgently to resolve this issue. FVS Alert 001/2021 was issued to funds, administrators, service providers and users of the FVS. • 17/09 - The end-date is incorrect as the USI's are enduring products and transitioning to ROLL3.0- 	28 September 2021	46

	and GROL2.0-X certifications.	X and GROL3.0-X from 30 September 2021. Due to system limitations, the fund cannot rectify this issue.		
22	SMSF Bank account names exceeding 32 characters failing in SVS.	<ul style="list-style-type: none"> 14/09 – ATO implemented a fix on the 15/09 and are closely monitoring the situation in Production. 03/09 – The ATO uncovered an issue with the SVS whereby SMSF bank account names exceeding 32 characters were failing in the SVS. We are implementing an urgent fix to ensure we can process bank account names in line with the published validation rules. 	14 September 2021	44
20	RASOR failing to send	<ul style="list-style-type: none"> 13/09 – Fix has deployed and is in the process of being tested in production. 06/09 – ATO has identified a fix which is currently undergoing testing. The project team is working with the impacted funds. 01/09 - A very small number of RASOR's are failing to send due to incorrect member details. The ATO are currently investigating the issue. 	13 September 2021	40
21	31.08.2021 RA being issued to primary gateway incorrectly	<ul style="list-style-type: none"> 06/09 – ATO system fix deployed and tested successfully in production. The project team is working with the impacted funds to release the backlog of impacted RAs. 03/09 – ATO has identified a fix and is planning the deployment. The project team is working with the impacted funds and will test the fix once deployed. 31/08 – Funds that use a primary and secondary gateway are having their RAs issued to the incorrect gateway. This results in the messages being rejected. 	08 September 2021	43
19	01.09.2021 Electronic Portability Forms (EPF) failing at gateway	<ul style="list-style-type: none"> 06/09 – ATO has successfully tested the deployed fix. EPFs has issued to the impacted funds correctly. The project team is working with the impacted funds to release the backlog of impacted EPFs. 03/09 - ATO has deployed a fix for this issue, which will apply to the EPFs issued going forward. Project team will work with impacted funds to test this fix. 01/09 - EPF's failed for one fund due to message containing invalid context ID (where spaces are included). A fix has been identified. Currently awaiting scheduling for deployment. Once deployed, the ATO will work with the impacted fund. 	06 September 2021	39
17	24.08.2021 Release Authorities issued without mandatory country code field.	<ul style="list-style-type: none"> 01/09 System fix successfully implemented and all rejected RA messages were reissued to funds successfully. 24/08 Release authorities are being issued without a mandatory field and being rejected by gateways. ATO system fix is being developed as a priority. 	26 August 2021	37
13	2.06.2021 Fund initiated (Fund to ATO) USM testing	<ul style="list-style-type: none"> 09/08 EVTE environment updated enable automatic USMOR responses. The system was also updated to include the additional USI and Gateway ESAs provided by Industry. 	09 August 2021	19

16	21.07.2021 RAS preservation amounts and taxable components	<ul style="list-style-type: none"> 28/07 Additional clarification content added to the User guide and published 28/07/2021. 21/07 User guide being updated to clarify the preservation amount and taxable component fields in the RAS need to equal the amount paid to meet MIG validation requirements. 	28 July 2021	32
15	16.07.2021 Release Authority Error Response (RAER) message structure	<ul style="list-style-type: none"> RAER payload build specifications set out in Schedule 6 Data and Payment Standards - Error Code Management must be met - refer section 11.3 Release Authority Error Response. <p>Of note, if curly braces form part of your payload, the corresponding parameter to dynamically fill the curly braces must also be included in your payload - refer to section 3.3 Parameters content model information.</p>	19 July 2021	33
14	03.06.2021 Schematron incorrectly applying USM validation on an RTR message.	<ul style="list-style-type: none"> 11/06 Updated schematron and published on the software developers website. 09/06 Discrepancy identified between the taxonomy in MIG V3 and the latest version of the schematron where validation was incorrectly conducted on the UnclaimedSuperannuationMoney.Date field, as part of an RTR message. The schematron has been updated to align with MIG V3 and address USM validation issues. The updated version has been scheduled for external publication (estimated availability from 11/06). 	11 June 2021	20
12	12.05.2021 G2B test scenario USM 6.6 currently unavailable to test.	<ul style="list-style-type: none"> 18/05 System fix deployed and confirmed successful. USM6.6 available for testing. 12/05 USM6.6 – currently under investigation. 	18 May 2021	18
11	04.05.2021 G2B test scenario USM 6.7 currently unavailable to test.	<ul style="list-style-type: none"> 18/05 System fix deployed and confirmed successful. USM6.7 available for testing. 11/05 USM6.7 – investigation complete, fix identified. Anticipate test will be available from 18/05. 04/05 Issues identified with test scenario USM6.7. 	18 May 2021	17
10	25.03.2021 Provision of updated sample payload data	<ul style="list-style-type: none"> 29/04 –Rollover Sample Message Instances (payload samples) published and available at: https://softwaredevelopers.ato.gov.au/rolloverV3 	29 April 2021	16
9	26.04.2021 RASOR incorrectly setting identifier scheme values for TFN and ID.	<ul style="list-style-type: none"> 29/04 – Fix confirmed successful. 28/04 – Fix identified and deployed on 28 April. Reissued test on 28 April. Resolution pending confirmation of successful fix. 26/04 – EVTE issue identified for investigation. RASOR being rejected at Gateway due to invalid event item scheme parameter value. 	29 April 2021	15
8	01.04.2021 Internal ATO factors affecting the information in our test data for P2P (both B2B and G2B including in EVTE) are currently being considered and are likely	<ul style="list-style-type: none"> 23/04 EVTE refresh completed and testing recommenced. 14/04 Updated test data published. 	23 April 2021	13

	to require updates to our test data.			
7	12.02.2021 Recent whitelist configuration and certificate changes introduced connection errors impacting one gateway.	<ul style="list-style-type: none"> 25/2: Data fix implemented on 23 February. Fix verified with impacted gateway. 	23 February 2021	7
6	10.02.2021 EPF test scenario for SMSF missing the SMSF Alias in the ebMS header properties	<ul style="list-style-type: none"> Identified through interoperability testing Root cause: EPF code regressed since the original EVTE deployment. Issue does not impact EPF test scenarios for APRA funds. Code remediation in progress. Remediation to restore correct code for EPF test scenarios with SMSF test data 25/2: Deployed to EVTE on 20 February, fix being verified with impacted Gateway 2/3: Fix verified. 	20 February 2021	6
5	4.02.2021 RA with SMSF Test scenario was not previously enabled.	<ul style="list-style-type: none"> RA Test scenarios with SMSF data enabled on 4 February. 	4 February 2021	5
4	EPF Test Scenarios in EVTE updated with SMSF data	<ul style="list-style-type: none"> Additional SMSF data for EPF test scenarios circulated to industry representatives (GOM, ASP and gateways currently testing) for review, with no feedback received by 4 February 2021. EVTE updated to align with EPF SMSF data shared for consultation on 4 February. 	4 February 2021 (hotfix)	4
3	29.01.2021 [Defect] EVTE Test Harness unavailable on 20 Jan 2021 preventing testing of RA	<ul style="list-style-type: none"> Resolved by the end of the day. Caused by internal environment issue impacting outbound messages. Resolved by the end of the day on 29 Jan 2021. 	29 January 2021	3
2	15.01.2021 [Defect] EPF ContextID greater than 40 characters issue	<ul style="list-style-type: none"> EPF ContextID reduced to a value less than 40 characters. Identified through interoperability testing. Scenario has been tested successfully with an EPF for an APRA fund. 	2 February 2021 (hotfix)	2
1	15.12.2021 [Defect] RA and RAS sample payloads contained 8 digit TFNs instead of 9 digit TFNs	<ul style="list-style-type: none"> RA and RAS test scenarios updated with 9- digit TFNs. Identified through early review of RA test files provided. Shared with ATO on 15 Dec 2021 RA and RAS data change release on 4th Jan to EVTE. 	4 January 2021 (hotfix)	1

EVTE status for SVS and SMSFmemberTICK Service

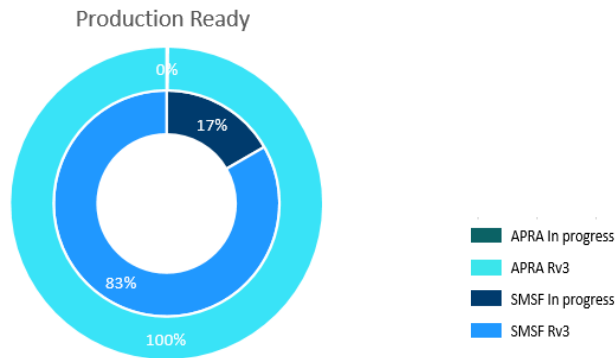
- Full suite of SVS and SMSF verification services available in EVTE from May 2020
- 17 DSPs have been whitelisted in production for SMSFVRFY
- 5 DSPs have been whitelisted in production for SMSFMBRVRFY
- Those currently completing required testing have been contacted to remind them of the next steps to transition to production.
- No issues have been identified requiring changes.

Testing (G2B, B2B, PVT)

Formal testing has now been completed. Ad-hoc support is being provided as required prior to industry and the ATO moving into Business as Usual processes and procedures over the coming weeks.

Production cutover

Industry cutover to production for SuperStream Rollovers version 3 as at 14 October:



Note:

- 'APRA Rv3' and 'SMSF Rv3' are entities live and ready to accept and issue Rv3 messaging, it does not reflect or indicate entities that have updated FVS in preparation to cut over.

Testing support documentation

- USM Reason Code taxonomy change was released on 12 December 2020 as planned (standard monthly cycle)
- [Rollover Sample Message Instances](#) (payload samples) published 29 April 2021
- [MAAS Conformance Suites and payloads](#) published in SBR Sharefile 06 May 2021.
- MAAS EVTE code deployed and DSPs re-whitelisted 10 May 2021.
- [MATs Conformance Suites and payloads](#) published in SBR Sharefile 18 May 2021.
- [SuperStream Rollovers V3 Test Data Scenario V1.1](#) spreadsheet was updated to remove invalid scenarios and provide clarity on expected outcomes, published 11 June 2021.
- [Rollover Schematron v3.0 20210607](#), updated to address RTR USM validation issue, published 11 June 2021.
- Rollovers v3 Implementation and Onboarding Learning and Issues register, published as required (refer to [SuperStream Rollover v3 | Australian Taxation Office \(ato.gov.au\)](#) for latest version).
- [Rollover v3 Conformance testing guide V3.09](#) published 25 June 2021.
- [Register of SMSF messaging providers](#) (ato.gov.au content) published 15 July 2021.
- [Rollover V3 User Guide V4.03](#) published 28 July 2021.
- [SuperStream Rollover v3 production verification testing](#) published 6 August 2021.
- [Validation Services | ATO Software Developers](#) contains SMSF alias lookup table version 21, updated October 2021.

SMSF Alias Lookup Table

This table is available to verify the details of an SMSF alias and its associated gateway. When SMSF Providers cut over to production for SuperStream Rollovers version 3 (Rv3), the table will be updated as required to reflect the latest information in relation to SMSF Provider readiness to accept Rv3 messaging.

The latest updates can be located on the [Validation Services | ATO Software Developers](#) page, refer to SMSF Alias lookup table (currently version 21).

As at 14 October, there are six SMSF Providers currently certified to accept Rv3 messaging.

The DPO are notifying Gateways of changes to the SMSF Lookup table through their regularly newsletter.

ATO Superannuation services status and maintenance times

ATO Superannuation Dashboard Status

<https://sses.status.ato.gov.au/>

System maintenance | Australian Taxation Office (ato.gov.au)

<https://www.ato.gov.au/General/Online-services/System-Maintenance/>

More information

Any questions, comments and feedback can be sent to SuperStreamStandards@ato.gov.au.

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14/10/2021