



ATO arrangements for rollovers version 3 business to business peer to peer testing

There are three phases of testing that will be conducted prior to the production cutover to rollovers version 3 by 30 September 2021.

- **Integration testing** between the APRA funds and their solution provider; SMSF/ESA provider and their solution provider.
- **Interoperability testing** between the gateway operators including ATO.
- **Peer to Peer testing:**
 - for Business to Business testing (B2B) – this is between APRA funds and SMSF service providers.
 - for Government to Business (G2B) – this is between APRA funds or SMSF service providers and the ATO.

In scope

This document provides guidance for the super industry on B2B peer to peer testing between APRA funds and SMSF service providers and will confirm each participant's ability to send and receive messages between each other in version 3 of the Standard. (This covers all combinations APRA/APRA, APRA/SMSF and SMSF/SMSF.)

Out of scope

G2B peer to peer testing (APRA/ATO and SMSF/ATO.) is not in scope for this document. This will not be conducted using a cohort approach but will be scheduled up to 30 September 2021. G2B will still have dependencies on ATO, fund, administrator, digital service provider and gateway availability. Separate guidance and documentation will be provided for G2B peer to peer testing.

Purpose

Based on previous onboarding experiences, the ATO will orchestrate B2B peer to peer testing between APRA funds and SMSF service providers. We will create coordinated test groups (known as cohorts) and schedule cohort testing across industry. For the remainder of this document, the term 'fund', refers to either an APRA fund or an SMSF service provider (unless otherwise stated).

- The transition period for implementation and onboarding to SuperStream rollovers version 3 is from 31 March 2021 to 30 September 2021.
- Funds will need to complete their B2B peer to peer testing during this period.

Approach

To facilitate an orderly process during the transition to production cutover, the ATO will orchestrate testing cohorts across industry for B2B peer to peer testing; this includes the creation and scheduling of cohort groups.

- Each cohort will have a designated ATO coordinator who will assist in managing the day to day process for each group - scheduling, testing, daily meetings and issues escalation and resolution. Cohorts will also have the support of representatives from the ATO's Digital Partnership Office and EST areas.
- Cohorts will be limited in size to better manage testing commitments and ensure coverage for all participants. Each cohort will consist of the following participants:
 - between two-four APRA funds (or their administrator/service provider)
 - one or two SMSF service providers
 - (at least) two Gateway providers.
- Each cohort will complete a series of testing scenarios with other participants in their group, prior to commencing readiness and production cutover activities.
- Test scenarios are outlined in the [Rollover V3 Conformance Testing Guide](#) and outline the steps involved in each of the peer-to peer test sequences listed for IRR and RTR messages, and the corresponding IRER and RTOR response messages.
 - Each test case should be performed by Funds taking on both a sending and receiving role. i.e. Fund A sending to Fund B, and then repeated with Fund B sending to Fund A.
 - Each test requires checking of both sending and receiving solution correctness.
 - Each fund should test with at least two or three cohort peers; one-two APRA funds, and zero-two SMSF service provider/s (depending on the particular entity, and the makeup of the cohort).
- The B2B peer to peer testing process is anticipated to take 10 business days to complete for each cohort, however this is only a guide and may vary by provider/fund, based on testing/implementation complexity and any issues which may arise. The ATO coordinator will endeavour to facilitate complete testing within the 10 business days, but extra support can be provided outside this period ('contingency days') where required.
- The first few cohorts will be limited in participants and tightly controlled. As we progress through the transition period, we anticipate increased flexibility in terms of the number of participants and scheduling of cohorts (as the process becomes bedded down, and lessons are learned from earlier cohorts).
- Funds may have multiple Unique Superannuation Identifiers (USIs) using the same registry system. In this scenario it is not necessary for every USI to complete separate/discrete peer to peer testing. We recommend testing be completed for the different registry systems. Funds must be satisfied they have successfully performed sufficient testing before updating their certification values.
- Once an APRA fund has passed peer to peer testing, other APRA funds sharing the same registry system, may be able to leverage off this, requiring less peer to peer testing (and focus on integration testing).

Process

1. Cohort schedule

- The ATO will create cohort groups based on [SMSF Rollover v3 readiness summary](#) – that is, funds with similar implementation timeframes will be grouped together (noting that SMSF service providers will be spread over multiple cohorts).
- Cohorts will be scheduled, and schedule details provided to each participant by their ATO coordinator.
- The ATO will contact the participants to confirm their place in their cohort **10 business days** prior to commencing peer to peer testing.
- Funds should notify their coordinator **as soon as possible** should they encounter any issues that may impact their ability to proceed with their given cohort.

Note: Where a fund encounters testing readiness issues and needs to move out of a cohort, we will re-schedule them into a later cohort group and testing timeframe, however we cannot make guarantees as to the timeliness of the new schedule. Cohorts are scheduled in advance and it may not be possible to add another fund at short notice. In such circumstances the remainder of the cohort will proceed (which may require another entity to enter the cohort to ensure all roles are filled), however if this is not possible the cohort will be moved in negotiation with all cohort participants.

2. Entry criteria

- Cohort participants **must** have completed integration testing with their solution provider(s) and Gateway, including fund and member validation capabilities.
- Gateways must have also completed interoperability testing with at least one other gateway (B2B interoperability).
- The ATO also recommends funds will have completed their G2B P2P EVTE testing prior to commencing B2B.

3. Testing

- All testing parties (sending and receiving) are expected to communicate directly with each other to ensure testing proceeds as planned.
- Any scheduling issues or unresolved concerns should be raised immediately with your ATO coordinator as we may need to facilitate different testing arrangements, depending upon the issue.
- Funds will be allocated (by their ATO coordinator) to do one-on-one testing between themselves and another participant in their cohort. Once one-on-one testing has been successfully completed, the fund can then commence testing with other members of the cohort (who have also completed their one-on-one testing).
- Tests are to be completed as per the test matrix (see Appendix B), which provides details of the tests required for each respective cohort pair.
- Refer to item 4 for an example of the daily run sheet of how the tests may be performed across the designated time slots.)
- All parties are expected to complete ALL test cases with their appointed cohort partners unless specific exemptions are agreed to by the ATO.

4. Example: daily run sheet during the testing period

- Daily stand-up meetings will be held at 9:00am each day to review the previous day's outcomes and confirm the current day's planned activities.
- Four time slots are scheduled for testing each day as follows, with one reserved slot for contingencies:
 - 9:30-10:30 am TEST
 - 10:30-11:30 am TEST

- 11.30-12.30 pm CONTINGENCY
 - 2:30-1:30 pm TEST
 - 1:30-2:30 pm TEST
- A further window for re-testing may be scheduled (5.00-6.00pm) if the ATO coordinator determines this is appropriate.
 - Contingency days may also be invoked if necessary.

5. Issues and troubleshooting

- The parties to each message exchange are responsible for problem diagnosis, remediation and re-testing.
- The ATO should be alerted at the end of each time slot if there are any unresolved issues which are likely to result in tests not being completed or parties not being able to proceed to the next phase.
- If an issue arises which may impact multiple peers, the coordinator will advise the cohort of the issue, and that it is under active investigation.
- Any unresolved issues (per above) should be raised with your ATO coordinator to assist.

6. Test results and scoring

- Messages are assessed and rated by the receiving entity, as follows:
 - **PASS** – all test criteria have been successfully met for each step of the test case
 - **FAIL** – one or more criteria could not be completed due to receiving party issue
 - **INCOMPLETE** – one or more criteria could not be completed due to a sending party issue
 - **NA** – scoring entity is not completing this test with the respective testing party.
- Overall scoring for a fund will comprise a 'scoring matrix' (refer Appendix B) summarising each test case result for all funds in their peer group.
- In addition, where a receiving fund is unable to successfully receive and process messages or a sending fund is unable to send conforming messages, the scoring for a fund will be over-ridden to record a status of 'INCOMPLETE' pending further demonstration of live message exchange capability between itself and at least two peers. This must be evidenced to the ATO by the fund concerned and will be coordinated by your ATO coordinator.

7. Daily Stand up meetings

- Cohort participants must attend daily stand up meetings convened by the ATO.
- A standing agenda and details will be provided to participants upon commencement of their cohort's testing process.

8. Exit criteria and production readiness

- A fund will meet exit criteria when it has successfully completed each test in the test 'matrix'.
- Funds are not required to have completed tests with every other cohort peer.
- If a failure event has stopped completion of one or more test cases during any one day the ATO coordinator will advise how to proceed (options may be to use the contingency days or re-schedule a participant into another cohort group).
- Once exit criteria have been met, participants can proceed with readiness activities for production cutover; i.e. FVS updates, Access Manager permissions set up for SVS, SMSFmemberTICK, etc.

- To ensure that each fund gets the appropriate level of ATO monitoring and support for their production cutover, specific cutover dates will be scheduled in negotiation with their ATO coordinator at the completion of cohort testing.
- Extra contingency days may be provided outside of the peer to peer cohort structure, for additional testing (e.g. specific APRA/SMSF testing). Either contact your cohort coordinator, or SuperStreamStandards@ato.gov.au.

Where to go for assistance

For further assistance or questions about technical issues, please contact your software provider in the first instance.

Queries about scheduling or test processes should be directed to your ATO coordinator via the SuperStreamStandards@ato.gov.au mailbox.

Further documentation

Rollover User Guide:

https://softwaredevelopers.ato.gov.au/sites/default/files/2020-11/Rollover_v3_User_Guide-V3.02.pdf

Data and Payment Standard V2.0 pages on the www.softwaredevelopers.gov.au website:
<http://softwaredevelopers.ato.gov.au/dataandpaymentstandardv2.0>

Rollover Message Implementation Guide (MIG):

https://softwaredevelopers.ato.gov.au/sites/default/files/2020-11/Schedule_4b_Rollover_MIG_v3.0_v0.85.pdf

Appendix A Cohort Contact Detail Form



Appendix A Cohort
Contact Detail Form

Appendix B testing matrix B2B



Appendix B Testing
Matrix B2B testing_c