



Rollovers version 3

Production Cutover: Production Verification Testing (PVT) Arrangement

Overview

To support Industry to ensure they have successfully deployed SuperStream Rollover v3 (Rv3) functionality into their production environments, the ATO will provide some moderation and oversight activities as well as escalation points where production issues are encountered once a fund onboards and is certified for GROL3.0-X.

The ATO will identify Industry partners who are ready to onboard to SuperStream Rv3 and engage them regarding PVT and the level of support that will be provided as appropriate.

It should be noted that scope of production verification testing (PVT) support is limited to the functionality delivered under the SuperStream Rv3 changes. The ATO will determine the level of PVT support provided on a needs basis as APRA funds / administrators and SMSF providers cut over to Rv3, the level of PVT support provided will fall into one of three (3) waves:

Wave 1 PVT Support: Detailed one to one support for initial funds onboarding to Rv3. This level of PVT support will look to confirm delivery of functionality at the product level. That is, that messages issued from the ATO for different products are sent, received and responded to as expected. Wave 1 support aims to also assist the ATO to ensure business deployment verification (BDV) is achieved.

Wave 2 PVT Support: A moderate level of PVT support offered to Industry to enable testing of production system functionality for the fund i.e. not full end to end testing of all scenarios. Funds will be provided with a dedicated contact and channel to raise any issues or unexpected outcomes for investigation.

Wave 3 PVT Support: A decreased level of PVT support. Funds to notify the ATO through a specific channel of transactions they have issued in which they would like confirmation of receipt.

Across all support waves, the ATO will identify Rv3 messaging and make direct contact with onboarded funds to confirm the successful receipt and response to various messages in line with the level of support allocated to the APRA fund / administrator / SMSF provider.

Key Points

1. Production verification testing is not mandatory
2. Funds, administrators, SMSF service providers may not be impacted by all 7 products below
3. Funds, administrators, SMSF service providers undertaking production verification testing will only fall in to one of the wave categories
4. Production verification testing is not expected to extend beyond October 2021

High level test scenario checklist

Please note confirmation of the content of messaging received is limited to Wave 1 PVT Support. Typically, should a malformed message be sent / received it is expected that existing rules across Gateways and Software will identify the issue and respond accordingly.

1. Release Authorities (RA) – ATO to APRA | ATO to SMSF fund

- 1.1 Release Authority
- 1.2 Release Authority Error Response (RAER)
- 1.3 Release Authority Statement (RAS)
- 1.4 Release Authority Statement Outcome Response (RASOR)

Associated RA product types:

- First Home Super Saver (FHSS) Scheme
- Division 293 Deferred (DivDef) Debt
- Division 293 Due and Payable (Div293)
- Excess Concessional Contributions (ECC)
- Excess Non-concessional Contributions (ENCC)
- Excess Non-concessional Contributions Tax (ENCCT)

Wave	PVT Support Overview	Escalation Point
1	<p>At an individual message level, for <u>each</u> RA product type confirm:</p> <ul style="list-style-type: none"> <input type="checkbox"/> At least one (1) RA was successfully sent (by ATO) and received (by Fund). <input type="checkbox"/> At least one (1) RAER was issued (by Fund) and received (by ATO) as expected. <input type="checkbox"/> At least one (1) RAS was issued (by Fund) and received (by ATO) as expected. 	<p>Email your dedicated Wave 1 PVT representative (to be provided once onboarded) and cc SuperStreamStandards@ato.gov.au</p>

	<input type="checkbox"/> At least one (1) RASOR was issued (by ATO) and received (by Fund) as expected within expected timeframe.	
2	<p>At an aggregated level for an agreed period i.e. day or week,</p> <input type="checkbox"/> ATO to advise Fund that 'x' number of RAs were issued, and <input type="checkbox"/> Fund to confirm 'x' RAs were received and: ○ 'X' were responded to with an RAER without encountering an issue. ○ 'X' were responded to with a RAS without encountering an issue. ○ 'X' received a RASOR from the ATO without encountering an issue. <input type="checkbox"/> ATO to confirm ○ 'X' RAER were received from Fund. ○ 'X' RAS were received from Fund. ○ 'X' RASOR were issued to Fund.	<p>Email SuperStreamStandards@ato.gov.au </p>
3	<p>At a point in time, once off confirmation:</p> <input type="checkbox"/> Fund to advise ATO that 'x' number of RAS' were sent, and <input type="checkbox"/> ATO to confirm 'x' RAS' were received.	<p>Email SuperStreamStandards@ato.gov.au </p>

2. Electronic Portability Form (EPF)

2.1 EPF

2.2 EPF received

Test scenario variations:

- APRA (transferring fund), APRA (receiving fund)
- APRA (transferring fund), SMSF (receiving fund)
- SMSF (transferring fund), APRA (receiving fund)
- SMSF (transferring fund), SMSF (receiving fund)

Wave	PVT Support Overview	Escalation Point
1	<p>At an individual message level, for each test scenario variation:</p> <input type="checkbox"/> ATO to advise Fund of EPF sent <input type="checkbox"/> Fund to confirm EPF received as expected	<p>Email your dedicated Wave 1 PVT representative (to be provided once onboarded) and cc SuperStreamStandards@ato.gov.au </p>

2	At an aggregated level: <input type="checkbox"/> ATO to advise Fund 'x' EPF sent. <input type="checkbox"/> Fund to confirm 'x' EPF received.	Email SuperStreamStandards@ato.gov.au
3	At a point in time, once off confirmation: <input type="checkbox"/> Fund to advise ATO 'x' EPF received. <input type="checkbox"/> ATO to confirm 'x' EPF sent.	Email SuperStreamStandards@ato.gov.au

3. Unclaimed Superannuation Monies (USM) – ATO to APRA fund

3.1 Unclaimed Superannuation Monies (USM)

3.2 Unclaimed Superannuation Monies Outcome Response (USMOR)

Wave	PVT Support Overview	Escalation Point
1	At an aggregated level: <input type="checkbox"/> ATO to advise Fund 'x' USM sent. <input type="checkbox"/> Fund to confirm 'x' USM received.	Email SuperStreamStandards@ato.gov.au
2	No support, covered by wave 1	Not applicable
3	No support, covered by wave 1	Not applicable

4. Unclaimed Superannuation Monies (USM) – APRA fund to ATO

4.1 Unclaimed Superannuation Monies (USM)

4.2 Unclaimed Superannuation Monies Outcome Response (USMOR)

Wave	PVT Support Overview	Escalation Point
1	At an aggregated level: <input type="checkbox"/> Fund to advise ATO 'x' USM sent including code. <input type="checkbox"/> ATO to confirm 'x' USM received.	Email SuperStreamStandards@ato.gov.au
2	No support, covered by wave 1	Not applicable
3	No support, covered by wave 1	Not applicable

5. Section 20C (S20C) - ATO to APRA USMOR ATO to APRA fund.

5.1 Section 20C (S20C)

5.2 Section 20C Error Response (S20CER)

5.3

Wave	PVT Support Overview	Escalation Point
1	At an aggregated level: <input type="checkbox"/> ATO to advise Fund 'x' S20C sent. <input type="checkbox"/> Fund to confirm 'x' S20C received.	Email SuperStreamStandards@ato.gov.au
2	No support, covered by wave 1	Not applicable
3	No support, covered by wave 1	Not applicable

6. SMSF Verification Service

Wave	PVT Support Overview	Escalation Point
1	At an aggregated level: <input type="checkbox"/> Fund to use SVS and advise ATO of the details sent and response received. <input type="checkbox"/> ATO to confirm response.	Email SuperStreamStandards@ato.gov.au
2	No support, covered by wave 1	Not applicable
3	No support, covered by wave 1	Not applicable

7. SMSFMemberTick

Wave	PVT Support Overview	Escalation Point
1	At an aggregated level: <input type="checkbox"/> Fund to use SMSFMemberTick and advise ATO of the details sent and response received. <input type="checkbox"/> ATO to confirm response.	Email SuperStreamStandards@ato.gov.au
2	No support, covered by wave 1	Not applicable
3	No support, covered by wave 1	Not applicable

Issue Resolution and Mitigation

Refer to the escalation points outlined in the high level test scenario checklist section which indicate the appropriate escalation channel to utilise where an issue is identified during the PVT support period. Please note the following:

- The escalation channel to be utilised is dependent on the Wave Level support being provided.

- Should SuperStream issues be identified that are either outside the RV3 PVT support scope or period, your **existing processes** for raising queries or issues should be followed.

The ATO have implemented internal support mechanisms, process, procedures and reporting to facilitate monitoring Rv3 including triage meetings to discuss identified issues (frequency of which will be determined based on volume).

The ATO will aim to triage new issues / incidents within 24-48 hours. Depending on the level of risk / criticality of the issue, and the availability of any suitable interim mitigation strategies, solutions and deployment windows will be discussed and agreed between ATO stakeholders then communicated to impacted Industry partners as soon as possible.