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# DATA AND PAYMENT STANDARDS - ERROR CODE MANAGEMENT

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## VERSION CONTROL

Version	Release date	Operative from	Operative up to and including	Description of changes
1.0	9 January 2013	1 July 2013	11 June 2013	N/A
1.1	12 June 2013	1 July 2013	9 December 2013	<p>Updates to incorporate the RSA Data and Payment Standards 2013.</p> <p>Technical updates to schedules incorporating industry and internal review.</p> <p>Updates to align with release of new versions of taxonomy and Schematron.</p>
1.2	10 December 2013	1 July 2013	October 2016	<p>Technical updates to schedules incorporating industry and internal review.</p> <p>Updates to align with release of new versions of taxonomy and Schematron.</p>
1.3	17 December 2015	October 2016	30 April 2017	<p>Incorporate additional error messages for Rollovers MIG 2.0.</p> <p>Updated to incorporate relevant guidance notes.</p>
2.0	22 August 2016	01 May 2017	Open	<p>Incorporated guidance notes where applicable.</p> <p>Updates to align with the Response Messaging Framework.</p> <p>Incorporate additional error codes for government to business (G2B) interactions.</p>
2.0	20 April 2017	01 May 2017	Open	<p>Re-released document with minor updates:</p> <ul style="list-style-type: none"> <li>Section 10.2 – included ContributionType parameter as per guidance note 039.</li> <li>Various sections – included format guidance for refund amount as per guidance note 039.</li> </ul>
2.1-0.1	February 2019	31 March 2021		Draft Build version.

				Updates in conjunction with Rollover V3 MIG changes and guidance note incorporation.  Additional error codes in relation to the new SMSF verification services.
2.1-0.2	August 2019	31 March 2021		Rollover V3 March 2021 changes:  Add Release Authority Error Response  Add Release Authority Statement Outcome Response
2.1-0.3	November 2019	31 March 2021		Remove SUPER.GEN.RLVR.12 placeholder message code.
2.1-0.4	October 2020	31 March 2021		Add new rollover error code SUPER.GEN.RLVR.12 to improve Release Authority scenario outcomes

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### Note on terminology

The key words “MUST”, “MUST NOT”, “REQUIRED”, “SHALL”, “SHALL NOT”, “SHOULD”, “SHOULD NOT”, “RECOMMENDED”, “MAY”, and “OPTIONAL” in this document are to be interpreted as described in RFC 2119 <http://www.ietf.org/rfc/rfc2119.txt>. The use of the word “mandatory” is to be read as “MUST”.

## 1. PURPOSE

This document specifies the error codes that entities must use to comply with the Superannuation Data and Payment Standards 2012 and the RSA<sup>1</sup> Data and Payment Standards 2013 (the Standards).

Note: A reference to 'the Standard' in this document is a reference to whichever Standard is applicable to the entity for the transaction.

This document also allows that an entity may use additional error codes not covered by this document.

## 2. ERROR CODES

- (a) The rules set out for error codes in this document **MUST** be complied with to comply with the Standard.
- (b) An entity may implement organisation specific error codes that cover errors not included in this document at section 4 (Generic SBR Error Codes) and section 5 (Standard Specific Error Codes).
- (c) If an entity implements organisation specific error codes for errors not included in this document at section 4 (Generic SBR Error Codes) and section 5 (Standard Specific Error Codes), the error codes **MUST** adhere to the convention set out in section 6 of this document.

## 3. COMMUNICATING ERRORS

- (a) Error messages **MUST** be communicated through the use of the Event structure. The XML schema describing this structure is at Appendix A.
- (b) The Event structure **MUST** be included as a separate part in the message envelope.
- (c) At least one EventItem **MUST** be provided within the Event. Items are not required to be ordered by severity within an Event.
- (d) Error messages **MUST** conform with the specifications in the tables in sections 3.1 through to 3.5 of this document.
- (e) If there is any confusion about how to resolve ambiguities between Sections 3.1 and 3.5 in applying MaximumSeverity, Section 3.1 should take precedence.

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<sup>1</sup> Retirement Savings Accounts.

### 3.1 MESSAGE EVENT CONTENT MODEL

ELEMENT	PURPOSE	OPTIONALITY
MaximumSeverity.Code	<p>Indicates the most severe level of error present in the associated EventItems.</p> <p>Allowable values listed in descending order of importance (most important listed first) are:</p> <ul style="list-style-type: none"><li>▪ Progressive</li><li>▪ Partial</li><li>▪ Error</li><li>▪ Warning</li><li>▪ Information</li></ul> <p>Where more than one code might apply the code with the higher importance <b>MUST</b> be selected.</p>	MANDATORY
EventItems	Provides specific information about individual message events.	MANDATORY

### 3.2 MESSAGE EVENT ITEMS CONTENT MODEL

ELEMENT	PURPOSE	OPTIONALITY
Error.Code	Uniquely identifies the condition that has occurred.	MANDATORY
Severity.Code	Categorises the condition that has occurred by severity. Allowable values are (in decreasing order of severity): <ul style="list-style-type: none"> <li>▪ Error</li> <li>▪ Warning</li> <li>▪ Information</li> </ul>	MANDATORY
Short.Description	Concise description of the condition that has occurred. This MUST be included for all message event items and is recommended to be no longer than 100 characters.	MANDATORY <sup>2</sup>
Detailed.Description	Extensive description of the condition that has occurred. There is no maximum length for a long description.	OPTIONAL
Parameters	Used to support the insertion of dynamic information into descriptions. Note: Parameters are optional according to the Message Event Schema. However specific parameters will be required in some scenarios. Please see Attachment B and C for details.	CONDITIONAL
Locations	Indicates via an XPath expression the element in the identified business document to which the message event item applies.	MANDATORY

### 3.3 PARAMETERS CONTENT MODEL

ELEMENT	PURPOSE	OPTIONALITY
Parameter.Identifier	Uniquely identifies the parameter used in descriptors. Will appear in a descriptor in conjunction with curly braces (for example {abn}). Minimum length is 1 character. Maximum length is 80 characters.	MANDATORY
Parameter.Text	The information that is intended to be dynamically inserted into the descriptor in place of the parameter. Minimum length is 1 character. Maximum length is 4096 characters.	MANDATORY

### 3.4 LOCATIONS CONTENT MODEL

ELEMENT	PURPOSE	OPTIONALITY
---------	---------	-------------

<sup>2</sup> Short Description is mandatory for outcome responses under the SuperStream Data and Payment Standards. However it will not be validated by the Message Event Schema.

Location.Instance.Identifier	<p>This must be the value of the Property element with attribute @name equal to 'PartID' of the PartProperties section for the business document affected by the error.</p> <p>Every Location.Instance.Identifier within the same Event MUST refer to the same PartID. That is, there is a strict one-to-one relationship between an XBRL business document and the associated Event XML business document.</p>	MANDATORY
Location.Path.Text	<p>Indicates, via an XPath expression, the element to which the Event item refers. It needs to be interpreted in conjunction with the instance identifier field.</p>	OPTIONAL



### 3.5 APPLYING AND INTERPRETING MAXIMUM SEVERITY CODES

MAXIMUM SEVERITY CODE	RULES AND INTERPRETATION
Progressive	<ol style="list-style-type: none"> <li>1. This code <b>MUST</b> only be used when multiple response messages will be sent for the associated request message (that is, responses commence prior to finalising processing of all components within the associated request message).</li> <li>2. Once electing to use this code to respond to a request message, the sender of the response message <b>MUST NOT</b> send any subsequent response messages with the maximum severity code 'Error', 'Partial', 'Warning' or 'Information'.</li> <li>3. On receiving a response with this maximum severity code the receiver <b>MUST NOT</b> assume that processing is complete for the associated request message.</li> <li>4. Any subsequent response messages received with respect to the original request messages that have a maximum severity code of 'Error', 'Partial', 'Warning' or 'Information' <b>SHALL</b> be ignored.</li> <li>5. All errors discovered and warnings encountered, for the subset of components intended to be addressed in this response message, <b>MUST</b> be reported through the use of separate EventItems in the Event for this response.</li> <li>6. Separate EventItems <b>MUST</b> be reported for each component intended to be addressed in this response message that was successfully processed.</li> </ol>
Partial	<ol style="list-style-type: none"> <li>1. This code <b>MUST</b> only be used when a single event is sent once <b>ALL</b> processing has completed for the associated request message.</li> <li>2. This code <b>SHALL</b> be interpreted to mean that one or more components of the associated request message were able to be successfully processed, but that errors were found in the remaining components.</li> <li>3. All errors discovered <b>MUST</b> be reported through the use of separate EventItems in the Event for this response.</li> <li>4. EventItems are not required to be reported for successfully processed components.</li> <li>5. This code <b>SHALL</b> be interpreted to mean that processing was successful for any components for which an error was not declared within the Event.</li> <li>6. Any subsequent events received with respect to the original request message <b>SHALL</b> be ignored.</li> </ol>

Error	<ol style="list-style-type: none"> <li>1. This code MUST only be used when a single event is sent once ALL processing has completed for the associated request message.</li> <li>2. This code SHALL be interpreted to mean that none of the request message could be successfully processed.</li> <li>3. All errors MUST be reported through the use of separate EventItems in the Event for this response.</li> <li>4. Any subsequent events received with respect to the original request message SHALL be ignored.</li> </ol>
Warning	<ol style="list-style-type: none"> <li>1. This code MUST only be used when a single event is sent once ALL processing has completed for the associated request message.</li> <li>2. This code SHALL be interpreted to mean that processing was successful for all components included in the associated request message, however one or more warnings were encountered during processing.</li> <li>3. All warnings encountered MUST be reported through the use of separate EventItems in the Event for this response.</li> <li>4. EventItems are not required to be reported for successfully processed components.</li> <li>5. Any subsequent events received with respect to the original request message SHALL be ignored.</li> </ol>
Information	<ol style="list-style-type: none"> <li>1. This code MUST only be used when a single event is sent once ALL processing has completed for the associated request message.</li> <li>2. This code SHALL be interpreted to mean that processing was successful for all components included in the associated request message.</li> <li>3. A single EventItem MUST be reported with appropriate response code to indicate that processing was successful. Separate EventItems SHOULD NOT be reported for individual components.</li> <li>4. Any subsequent events received with respect to the original request message SHALL be ignored.</li> </ol>

## 4. RELATIONSHIP OF XBRL REQUESTS AND EVENT XML RESPONSES

To simplify the identification of errors and correlation with their source, all parties must apply the following rules.

- Each Event XML document included in a response message must relate to a single XBRL request document.
  - This means that it is not permissible to provide an Event XML document in a response message that includes responses for components from more than one XBRL business document.
- The value for Location.Instance.Identifier must be the same value as the PartID of the original XBRL business document the Event XML document is in response to.
- Within the Event XML, all EventItems must contain the same value for Location.Instance.Identifier.

## 5. CONTEXTUALISING ERRORS

In order to allow errors to pass easily through data format translations, and to avoid the need for the sender to retain the original XBRL that was sent, a standard set of parameters (reflecting XBRL context information from the original request) will be reported in the event XML structure enabling contextualisation of errors, rather than using an XPath expression in the Location.Path.Text element.

The Location.Path.Text element remains an optional part of the Event XML, therefore it should not be relied upon by sender or receiver as the primary method for locating errors.

### 5.1 DEFINED EVENT XML PARAMETERS

The set of parameters that should be provided in each response message is described in Appendix B and C.

The parameter sets reflect the minimum information needed to facilitate location of errors and correlation with their source. Suggested additional parameter names to ensure consistency across the industry may be added in the future, however this document does not include such suggestions.

Additional parameters may be added by the party sending the response message as needed to help convey information intended to assist in treating outcome. If a party receives a response message that contains an Event XML document with additional parameters that it did not expect or does not require those additional parameters should be ignored and the response message processed.

**Note:** In the special case where a party receives a request message and detects that a context with 1:1 cardinality is missing, no parameter information should be supplied in the error response (as the necessary information will not exist in the request message). In this case the entire request message should be treated as being in Error.

### 5.2 CORRELATING ERRORS WITH THEIR SOURCE

The parameters provided in the EventItem are intended to enable a party to correlate the EventItem with the source request message. The use of parameters, rather than identifiers that are inherent to the XBRL business document, is intended to enable the correlation to occur irrespective of whether the data has been transformed.

The following approach should be used to perform the correlation.

### 5.2.1 Identify the relevant XBRL business document

- The ebMS3 message that carried the relevant XBRL business document is identified by ConversationID: the response message must share the same ConversationID as the original request message.
- The particular XBRL business document within the ebMS3 message is identified by the PartID, which is provided in the value of the *Location.Instance.Identifier* in the EventItem.

#### Locate the EventItem

- Contexts with single cardinality, for example Payer and Payee may be identified by the value of the *ReportPartyTypeDimension*.
- Contexts with multiple cardinality, for example Super Fund Members, can be identified by the value of the *ReportPartyTypeDimension* and by using the parameters with dimensional values (e.g. *EmployerABNDimension*).
  - Reference to the contextID parameter may be needed to distinguish between contexts that share identical contextual information (for example, the same member could be included twice in the original request)<sup>3</sup>.
  - If there is no *ReportPartyTypeDimension* parameter then the EventItem is not associated with a particular context. This approach should also be used to designate an EventItem related to the entire message. For example, if a context with 1:1 cardinality is missing (SUPER.GEN.GEN.6).
- Other parameters may be relevant for specific events (for example, {elementname} to advise the missing element name in SUPER.GEN.GEN.4).

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<sup>3</sup> This approach will generally not assist where data has been transformed from XBRL, as a contextID is only relevant within an XBRL business document. Parties that need to perform the correlation where their data has been transformed will need to determine the method for resolving duplicates that best suits their particular scenario.

## 6. GENERIC SBR ERROR CODES

Other than as provided for in section 7 (standard specific error codes) and section 8 (organisation specific error codes), the error codes used MUST be sourced from the generic SBR error codes that are available on the SBR website at <http://www.sbr.gov.au>.

Note: The following generic SBR error codes are directly referenced by the documents *Data and Payment Standards - Contributions Message Implementation Guide* and *Data and Payment Standards - Rollover Message Implementation Guide*.

Error		Severity	Short description
1	SBR.GEN.GEN.1	Error	ABN {abn} is not valid
2	SBR.GEN.GEN.14	Error	Invalid Entity Identifier Scheme {entityIdScheme}

## 7. STANDARD SPECIFIC ERROR CODES

For the errors identified in the table the associated error code as listed MUST be used.

	<b>Error Code</b>	<b>Severity</b>	<b>Short description</b>
1	SUPER.GEN.GEN.1	Error	TFN quoted indicator does not match Entity ID scheme.
2	SUPER.GEN.GEN.2	Error	Unique Superannuation Identifier {usi} not known to Superannuation entity ABN {abn}.
3	SUPER.GEN.GEN.3	Error	Employer supplied Member ID used in Entity ID is not unique.
4	SUPER.GEN.GEN.4	Error	Mandatory data element not supplied.
5	SUPER.GEN.GEN.5	Error	Data element contained an unexpected value.
6	SUPER.GEN.GEN.6	Error	Missing context declaration.
7	SUPER.GEN.GEN.7	Error	Conditional data element rule failure.
8	SUPER.GEN.GEN.8	Error	Tuple has too many occurrences for a context declaration.
9	SUPER.GEN.GEN.9	Warning	TFN failed the TFN algorithm check.
10	SUPER.GEN.GEN.10	Error	Too many instances of a context declaration.
11	SUPER.GEN.GEN.11	Error	ABN {abn} not known to the Message Receiver.
12	SUPER.GEN.GEN.12	Error	Payment Reference Number cannot be reconciled to a payment.
13	SUPER.GEN.GEN.13	Error	Unknown Biller Code.
14	SUPER.GEN.GEN.14	Error	Unknown Customer Reference Number.
15	SUPER.GEN.GEN.15	Error	Bank State Branch {bsb} is invalid or not known.
16	SUPER.GEN.GEN.16	Error	Account Number {acntno} is invalid or not known.
17	SUPER.GEN.GEN.17	Error	Account Name {acntname} is invalid or not known.
18	SUPER.GEN.GEN.20	Error	Unknown property within PartProperties.
19	SUPER.GEN.GEN.21	Error	Member not found with supplied information.
20	SUPER.GEN.GEN.22	Error	No Longer a member of Superannuation entity.
21	SUPER.GEN.GEN.23	Error	Mandatory PartProperty {property} not supplied.
22	SUPER.GEN.GEN.24	Error	PartProperty {property} is invalidly formatted.
23	SUPER.GEN.GEN.25	Error	Unable to verify SMSF information.
24	SUPER.GEN.GEN.26	Error	Unable to verify SMSF member.
25	SUPER.GEN.RLVR.1	Error	SuperannuationRollover.Requested.Amount MUST be provided if SuperannuationRollover.TransferWholeBalance.Indicator is "false".
26	SUPER.GEN.RLVR.2	Information	Rollover Process successful.
27	SUPER.GEN.RLVR.3	Error	ABN defined within the Member Rollover Transaction context was not defined within the Rollover Payment context.
28	SUPER.GEN.RLVR.4	Error	Product ID defined within the Member Rollover Transaction context was not defined within the Rollover Payment context.
29	SUPER.GEN.RLVR.5	Error	Rollover Process unsuccessful.
30	SUPER.GEN.RLVR.6	Error	Rollover could not be processed due to rules within Superannuation entity. Contact Superannuation entity for details.
31	SUPER.GEN.RLVR.7	Error	Rollover could not be processed due to a pending claim.
32 <sup>4</sup>	Reserved		

<sup>4</sup> This sequence number was originally intended for SUPER.GEN.RLVR.8 however this error code is no longer to be used.

	<b>Error Code</b>	<b>Severity</b>	<b>Short description</b>
33 <sup>5</sup>	SUPER.GEN.RLVR.9	Error	The account for the provided member identifier has been closed.
34	SUPER.GEN.RLVR.10	Error	Fund cannot accept Kiwisaver components.
35	SUPER.GEN.RLVR.11	Error	Rollover tax components and preservation amounts do not match.
36	SUPER.GEN.RLVR.12	Error	A duplicate record has been identified
37	SUPER.GEN.CNTRBTN.1	Information	Member registration request message was successfully processed.
38 <sup>6</sup>	Reserved		
39 <sup>7</sup>	Reserved		
40	SUPER.GEN.CNTRBTN.4	Error	Contributions cannot be accepted from this Contribution Provider.
41	SUPER.GEN.CNTRBTN.5	Error	Member TFN required for this Contribution.
42	SUPER.GEN.CNTRBTN.6	Error	Payment is less than what has been specified with Contribution Transaction Request Message.
43	SUPER.GEN.CNTRBTN.7	Information	Payment is more than what has been specified with Contribution Transaction Request Message.
44	SUPER.GEN.CNTRBTN.8	Error	Eligibility issue preventing the contribution being processed. Contact Superannuation entity for details.
45	SUPER.GEN.CNTRBTN.9	Warning	{messagetype} has been processed with warnings. Please review detailed description for further details.
46	SUPER.GEN.CNTRBTN.10	Warning	MRR update will not be processed by fund
47	SUPER.GEN.CNTRBTN.11	Warning	Contribution processed however incorrect USI provided. See detailed description for correct USI
48	SUPER.GEN.CNTRBTN.12	Error	Registration for this member can't be processed due to errors. Contact Superannuation entity for details
49	SUPER.GEN.CNTRBTN.13	Error	Maintenance data provided for this USI cannot be actioned when received from Employers. Maintenance data needs to be provided to the Fund by the Member directly.
50	SUPER.GEN.CNTRBTN.14	Warning	Some or all of the elements in the MRR cannot be applied by the fund. See detailed description for details.
51	SUPER.GEN.CNTRBTN.15	Warning	Contribution has been processed however payment has been made by a non-compliant method. Refer to Schedule 3 - Data and Payment Standards (Payment Methods) for payment options.
52	SUPER.GEN.CNTRBTN.16	Error	Government super contribution cannot be accepted.
53	SUPER.GEN.CNTRBTN.17	Information	Government contribution amendment request has been processed successfully.
54	SUPER.GEN.CNTRBTN.18	Error	Government contribution amendment request cannot be processed.
55	SUPER.GEN.CNTRBTN.19	Warning	Insufficient funds in member account.

<sup>5</sup> For use of SUPER.GEN.RLVR.9 in a Release Authority response message refer to the Rollover v3 User Guide

<sup>6</sup> This sequence number was originally intended for SUPER.GEN.CNTRBTN.2 however this error code is no longer to be used.

<sup>7</sup> This sequence number was originally intended for SUPER.GEN.CNTRBTN.3 however this error code is no longer to be used.

## 8. ORGANISATION SPECIFIC ERROR CODES

Organisation specific error codes MUST adhere to the following convention:

**{Sector}.{Organisation}.{Function}.{Id}**

**Sector** = SUPER

**Organisation** = the ABN of the defining organisation

**Function** = GEN | RLVR | CNTRBTN

**Id** = function specific identifier (format may vary across organisations)

Function value descriptions:

- GEN represents general errors
- RLVR represents errors specific to rollovers
- CNTRBTN represents errors specific to registrations or contributions.



## 9. APPENDIX A: MESSAGE EVENT SCHEMA

```

<?xml version="1.0" encoding="UTF-8"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema"
xmlns:tns="http://sbr.gov.au/comn/event.02.data"
targetNamespace="http://sbr.gov.au/comn/event.02.data" elementFormDefault="qualified"
version="02.01">
  <!-- Reusable types -->
  <xs:simpleType name="Event.80CharString.TextType">
    <xs:restriction base="xs:string">
      <xs:minLength value="1"/>
      <xs:maxLength value="80"/>
    </xs:restriction>
  </xs:simpleType>
  <xs:simpleType name="Event.4096CharString.TextType">
    <xs:restriction base="xs:string">
      <xs:minLength value="1"/>
      <xs:maxLength value="4096"/>
    </xs:restriction>
  </xs:simpleType>
  <!-- Event -->
  <xs:element name="Event" type="tns:EventType"/>
  <xs:complexType name="EventType">
    <xs:sequence>
      <xs:element name="MaximumSeverity.Code" type="tns:MaximumSeverity.CodeType"/>
      <xs:element ref="tns:EventItems"/>
    </xs:sequence>
  </xs:complexType>
  <!-- Event Item -->
  <xs:element name="EventItems" type="tns:EventItemsType"/>
  <xs:complexType name="EventItemsType">
    <xs:sequence>
      <xs:element name="EventItem" type="tns:EventItemType" maxOccurs="unbounded"/>
    </xs:sequence>
  </xs:complexType>
  <xs:complexType name="EventItemType">
    <xs:sequence>
      <xs:element name="Error.Code" type="tns:Error.CodeType"/>
      <xs:element name="Severity.Code" type="tns:Severity.CodeType"/>
      <xs:element name="Short.Description" type="xs:string" minOccurs="0"/>
      <xs:element name="Detailed.Description" type="xs:string" minOccurs="0"/>
      <xs:element name="Parameters" type="tns:EventItemParametersType" minOccurs="0"/>
      <xs:element name="Locations" type="tns:EventItemLocationsType"/>
    </xs:sequence>
  </xs:complexType>
  <xs:simpleType name="Error.CodeType">
    <xs:restriction base="tns:Event.80CharString.TextType">
      <xs:pattern value="([A-Z0-9])+.([A-Z0-9])+.([A-Z0-9])+.([A-Z0-9])+"/>
    </xs:restriction>
  </xs:simpleType>
  <xs:simpleType name="Severity.CodeType">
    <xs:restriction base="xs:string">
      <xs:enumeration value="Error"/>
      <xs:enumeration value="Warning"/>
      <xs:enumeration value="Information"/>
    </xs:restriction>
  </xs:simpleType>
  <xs:simpleType name="MaximumSeverity.CodeType">
    <xs:restriction base="xs:string">

```

```
<xs:enumeration value="Error"/>
<xs:enumeration value="Partial"/>
<xs:enumeration value="Warning"/>
<xs:enumeration value="Information"/>
<xs:enumeration value="Progressive"/>
</xs:restriction>
</xs:simpleType>
<xs:complexType name="EventItemParametersType">
  <xs:sequence>
    <xs:element name="Parameter" type="tns:EventItemParameterType"
maxOccurs="unbounded"/>
  </xs:sequence>
</xs:complexType>
<xs:complexType name="EventItemParameterType">
  <xs:sequence>
    <xs:element name="Parameter.Identifier" type="tns:Event.80CharString.TextType"/>
    <xs:element name="Parameter.Text" type="tns:Event.4096CharString.TextType"/>
  </xs:sequence>
</xs:complexType>
<xs:complexType name="EventItemLocationsType">
  <xs:sequence>
    <xs:element name="Location" type="tns:EventItemLocationType" maxOccurs="1"/>
  </xs:sequence>
</xs:complexType>
<xs:complexType name="EventItemLocationType">
  <xs:sequence>
    <xs:element name="Location.Instance.Identifier" type="tns:Event.4096CharString.TextType"/>
    <xs:element name="Location.Path.Text" type="tns:Event.4096CharString.TextType"
minOccurs="0"/>
  </xs:sequence>
</xs:complexType>
<!-- Event Item Code Lists -->
<xs:element name="EventItemCodeLists" type="tns:EventItemCodeListsType"/>
<xs:complexType name="EventItemCodeListsType">
  <xs:sequence>
    <xs:element name="EventItemCodeList" maxOccurs="unbounded">
      <xs:complexType>
        <xs:sequence>
          <xs:element ref="tns:EventItems"/>
        </xs:sequence>
        <xs:attribute name="source" type="xs:string" use="required"/>
        <xs:attribute name="version" type="xs:string" use="required"/>
      </xs:complexType>
    </xs:element>
  </xs:sequence>
</xs:complexType>
</xs:schema>
```

## 10. APPENDIX B – PARAMETERS FOR MEMBER REGISTRATION AND CONTRIBUTIONS RESPONSE MESSAGES

- The following tables outline the minimum parameter set to be provided for the Member Registration Outcome Response, Contribution Transaction Error Response, Government Contribution Transaction Error Response and Government Contribution Amendment Outcome Response.
- Where there is no context an outcome / error response can relate to, no minimum set of parameters is required.
- All senders of an outcome / error response message must use the exact values in the original request message (as listed below, case-sensitive and no spaces) as parameter identifier values. This will allow recipients to use the parameters to automatically link the response to items within the original message they have sent.
- Once a response for a particular response scope has been sent, further responses **MUST NOT** be sent for anything contained within that response scope.

For example, if an error response is sent at the Message Sender level (i.e. business document level as Message Sender has 1:1 cardinality), further responses must not be sent for any employer or super fund member context related to the Message Sender; if a response is sent at the Employer Context level, further responses must not be sent for any members related to that Employer.

- When an error / outcome response includes a refund payment and a refund payment reference number (PRN) is included as a parameter, the PRN must be formatted according to the rules (length and allowable characters) in Schedule 3 and associated guidance.

### 10.1 MEMBER REGISTRATION OUTCOME RESPONSE

Parameter	Description	Message Sender	Message Receiver	Employer	Super Fund Member
ReportPartyTypeDimension	Explicit member dimension	Mandatory [Value= <i>Message Sender</i> ]	Mandatory [Value= <i>Message Receiver</i> ]	Mandatory [Value= <i>Employer</i> ]	Mandatory [Value= <i>SuperFundMember</i> ]
ContextID	A unique identifier for the context in an XBRL business document	Optional	Optional	Mandatory	Mandatory

Identifier	Unique entity identifier (for example, ABN)	Optional	Optional	Mandatory	Mandatory
Scheme	Entity identifier scheme	Optional	Optional	Mandatory	Mandatory
EmployersABNDimension	Employer ABN	N/A			Mandatory
SuperFundABNDimension	Fund ABN	N/A			Mandatory
SuperFundUniqueSuperannuationIdentifierDimension	Fund USI	N/A			Conditional <sup>8</sup>

## 10.2 CONTRIBUTION TRANSACTION ERROR RESPONSE

Parameter	Description	Message Sender	Message Receiver	Payer	Payee	Employer	Super Fund Member
ReportPartyTypeDimension	Explicit member dimension (Required value listed in <i>italics</i> )	Mandatory [Value= <i>MessageSender</i> ]	Mandatory [Value= <i>MessageReceiver</i> ]	Mandatory [Value= <i>Payer</i> ]	Mandatory [Value= <i>Payee</i> ]	Mandatory [Value= <i>Employer</i> ]	Mandatory [Value= <i>SuperFundMember</i> ]
ContextID	Unique context ID	Optional				Mandatory	Mandatory
Identifier	Unique entity identifier (for example, ABN)	Optional				Mandatory	Mandatory
Scheme	Entity identifier scheme	Optional				Mandatory	Mandatory
EmployersABNDimension	Employer ABN	N/A					Mandatory
SuperFundABNDimension	Fund ABN	N/A					Mandatory
SuperFundUniqueSuperannuationIdentifierDimension	Fund USI	N/A					Conditional <sup>9</sup>

<sup>8</sup> Must be provided if the USI was provided in the corresponding context in the original request message.

<sup>9</sup> Must be provided if the USI was provided in the corresponding context in the original request message.

**Additional parameters are ONLY required when a refund is associated.**

RefundAmount*	The amount to be refunded for an event item.	Mandatory
RefundPaymentTotal*	Total refund payment for this outcome response/PRN.	Mandatory
RefundPaymentReferenceNumber	The Payment Reference Number (PRN) associated with the refund payment.	Conditional Mandatory if a new payment reference number is created for the refund.
OriginalPaymentReferenceNumber	The original PRN used in the Contribution Transaction Request message.	Optional
ContributionType	The contribution type this error is in response to.	Conditional – this parameter must be provided if the response (error) scope is at contribution type level. If provided, the value must adhere to the following rules: <ul style="list-style-type: none"> <li>• If the contribution type is a standard XBRL element, then the element name must be used.</li> <li>• If the contribution type is from the Other Amounts tuples, then the value in the SuperannuationContribution.Other.Description element must be used.</li> </ul>

\* Format for refund amount fields: numeric with decimal point, two decimal places, and comma separators or dollar signs should not be used.

**10.3 GOVERNMENT CONTRIBUTIONS TRANSACTION ERROR RESPONSE**

Parameter	Description	Message Sender	Message Receiver	Payer	Payee	Employer	Super Fund Member
ReportPartyTypeDimension	Explicit member dimension (Required value listed in <i>italics</i> )	Mandatory [Value= <i>MessageSender</i> ]	Mandatory [Value= <i>MessageReceiver</i> ]	Mandatory [Value= <i>Payer</i> ]	Mandatory [Value= <i>Payee</i> ]	Mandatory [Value= <i>Employer</i> ]	Mandatory [Value= <i>SuperFundMember</i> ]

ContextID	Unique context ID	Optional	Mandatory	Mandatory
Identifier	Unique entity identifier (for example, ABN)	Optional	Mandatory	Mandatory
Scheme	Entity identifier scheme	Optional	Mandatory	Mandatory
EmployersABNDimension	Employer ABN	N/A		Mandatory
SuperFundABNDimension	Fund ABN	N/A		Mandatory
SuperFundUniqueSuperannuationIdentifierDimension	Fund USI	N/A		Conditional <sup>10</sup>
<b>Additional parameters are ONLY required when a refund is associated.</b>				
RefundAmount*	The amount to be refunded for an event item.		Mandatory	
RefundPaymentTotal*	Total refund payment for this outcome response/PRN.		Mandatory	
RefundPaymentReferenceNumber	The Payment Reference Number (PRN) associated with the refund payment.		Conditional Mandatory if a new PRN is generated for the refund payment.	
OriginalPaymentReferenceNumber	The original PRN used in the Government Contribution Request message.		Optional	

\* Format for refund amount fields: numeric with decimal point, two decimal places, and comma separators or dollar signs should not be used.

<sup>10</sup> Must be provided if the USI was provided in the corresponding context in the original request message.

#### 10.4 GOVERNMENT CONTRIBUTIONS TRANSACTION AMENDMENT OUTCOME RESPONSE

Parameter	Description	Message Sender	Message Receiver	Super Fund Member
ReportPartyTypeDimension	Explicit member dimension (Required value listed in <i>italics</i> )	Mandatory [Value= <i>MessageSender</i> ]	Mandatory [Value= <i>MessageReceiver</i> ]	Mandatory [Value= <i>SuperFundMember</i> ]
ContextID	Unique context ID	Optional		Mandatory
Identifier	Unique entity identifier (for example, ABN)	Optional		Mandatory
Scheme	Entity identifier scheme	Optional		Mandatory
SuperFundABNDimension	Fund ABN	N/A		Mandatory
SuperFundUniqueSuperannuationIdentifierDimension	Fund USI	N/A		Conditional <sup>11</sup>
<b>Additional parameters are ONLY required when a refund is associated.</b>				
RefundAmount*	The amount to be refunded for an event item.	Mandatory		
RefundPaymentTotal*	Total refund payment for this outcome response/PRN.	Mandatory		
RefundPaymentReferenceNumber	The Payment Reference Number (PRN) associated with the refund payment.	Mandatory		
OriginalPaymentReferenceNumber	N/A. <i>The Government contributions amendment request does not have associated payment / PRN.</i>			

\* Format for refund amount fields: numeric with decimal point, two decimal places, and comma separators or dollar signs should not be used.

<sup>11</sup> Must be provided if the USI was provided in the corresponding context in the original request message.

## 11. APPENDIX C – PARAMETERS FOR ROLLOVER RESPONSES

- The following tables outline the minimum parameter set to be provided for the Initiate Rollover Error Response, Rollover Transaction Outcome Response, Section 20C Notice Error Response and USM Rollover Outcome Response.
- Where there is no context an outcome / error response can relate to, no minimum set of parameters is required.
- All senders of an outcome / error response message must use the exact values in the original request message (as listed below, case-sensitive and no spaces) as parameter values. This will allow recipients to use the parameters to automatically link the response to items within the original message they have sent.
- Once a response for a particular response scope has been sent, further responses **MUST NOT** be sent for anything contained within that response scope.

For example, if an error response is sent at the Message Sender level (i.e. business document level as Message Sender has 1:1 cardinality), further responses must not be sent for super fund member context related to the Message Sender.

- When an error / outcome response includes a refund payment and a refund payment reference number (PRN) is included as a parameter, the PRN must be formatted according to the rules (length and allowable characters) in Schedule 3 and associated guidance.

### 11.1 INITIATE ROLLOVER ERROR RESPONSE

Parameter	Description	Message Sender	Message Receiver	Super Fund Member
ReportPartyTypeDimension	Explicit member dimension (Required value listed in <i>italics</i> )	Mandatory [Value= <i>MessageSender</i> ]	Mandatory [Value= <i>MessageReceiver</i> ]	Mandatory [Value= <i>SuperFundMember</i> ]
ContextID	Unique context ID	Optional	Optional	Optional <sup>12</sup>
Identifier	Unique entity identifier (for example, ABN)	Optional	Optional	Mandatory
Scheme	Entity identifier scheme	Optional	Optional	Mandatory

<sup>12</sup> To remain aligned with original Rollovers implementation



TransferringSuperFundAllocatedMemberIDDimension	Transferring fund member ID	N/A	Mandatory
TransferringSuperFundABNDimension	Transferring fund ABN	N/A	Mandatory
TransferringSuperannuationFundUniqueSuperannuationIdentifierDimension	Transferring fund USI	N/A	Conditional <sup>13</sup>
ReceivingSuperFundABNDimension	Receiving fund ABN	N/A	Mandatory
ReceivingSuperannuationFundUniqueSuperannuationIdentifierDimension	Receiving fund USI	N/A	Conditional <sup>14</sup>

## 11.2 SECTION 20C NOTICE ERROR RESPONSE

Parameter	Description	Message Sender	Message Receiver	Super Fund Member
ReportPartyTypeDimension	Explicit member dimension (Required value listed in <i>italics</i> )	Mandatory [Value= <i>Message Sender</i> ]	Mandatory [Value= <i>Message Receiver</i> ]	Mandatory [Value= <i>SuperFundMember</i> ]
ContextID	Unique context ID	Optional		Mandatory
Identifier	Unique entity identifier (for example, ABN)	Optional		Mandatory
Scheme	Entity identifier scheme	Optional		Mandatory
TransferringSuperFundAllocatedMemberIDDimension	Transferring fund member ID	N/A		Mandatory

<sup>13</sup> Must be provided if the USI was provided in the corresponding context in the original request message.

<sup>14</sup> Must be provided if the USI was provided in the corresponding context in the original request message.

TransferringSuperFundABNDimension	Transferring fund ABN	N/A	Mandatory
TransferringSuperannuationFundUniqueSuperannuationIdentifierDimension	Transferring fund USI	N/A	Conditional <sup>15</sup>
ReceivingSuperFundABNDimension	Receiving fund ABN	N/A	Mandatory

### 11.3 RELEASE AUTHORITY ERROR RESPONSE

Parameter	Description	Message Sender	Message Receiver	Super Fund Member
ReportPartyTypeDimension	Explicit member dimension (Required value listed in <i>italics</i> )	Mandatory [Value= <i>Message Sender</i> ]	Mandatory [Value= <i>Message Receiver</i> ]	Mandatory [Value= <i>SuperFundMember</i> ]
ContextID	Unique context ID	Optional		Mandatory
Identifier	Unique entity identifier (for example, ABN)	Optional		Mandatory
Scheme	Entity identifier scheme	Optional		Mandatory
TransferringSuperFundAllocatedMemberIDDimension	Transferring fund member ID	N/A		Mandatory
TransferringSuperFundABNDimension	Transferring fund ABN	N/A		Mandatory
TransferringSuperannuationFundUniqueSuperannuationIdentifierDimension	Transferring fund USI	N/A		Conditional <sup>16</sup>
ReceivingSuperFundABNDimension	Receiving fund ABN	N/A		Mandatory

<sup>15</sup> Must be provided if the USI was provided in the corresponding context in the original request message.

<sup>16</sup> Must be provided if the USI was provided in the corresponding context in the original request message.

## 11.4 ROLLOVER TRANSACTION OUTCOME RESPONSE

Parameter	Description	Message Sender	Message Receiver	Rollover Payment	Super Fund Member
ReportPartyTypeDimension	Explicit member dimension (Required value listed in <i>italics</i> )	Mandatory [Value= <i>MessageSender</i> ]	Mandatory [Value= <i>MessageReceiver</i> ]	Mandatory [Value= <i>TransferringFund</i> ]	Mandatory [Value= <i>SuperFundMember</i> ]
ContextID	Unique context ID	Optional			Optional <sup>17</sup>
Identifier	Unique entity identifier (for example, TFN)	Optional			Mandatory
Scheme	Entity identifier scheme	Optional			Mandatory
TransferringSuperFundAllocatedMemberIDDimension	Transferring fund member ID	N/A			Mandatory
TransferringSuperFundABNDimension	Transferring fund ABN	N/A			Mandatory
TransferringSuperannuationFundUniqueSuperannuationIdentifierDimension	Transferring fund USI	N/A			Conditional <sup>18</sup>
ReceivingSuperFundABNDimension	Receiving fund ABN	N/A		Optional	Mandatory
ReceivingSuperannuationFundUniqueSuperannuationIdentifierDimension	Receiving fund USI	N/A		Optional	Conditional <sup>19</sup>
<b>Additional parameters are ONLY required when a refund is associated.</b>					
RefundAmount*	The amount to be refunded for the event item.	Mandatory			
RefundPaymentTotal*	Total refund payment for this outcome response/PRN.	Mandatory			
RefundPaymentReferenceNumber	The Payment Reference Number associated with the refund payment.	Conditional Mandatory if a new payment reference number is created for the refund.			

OriginalPaymentReferenceNumber	The original PRN used in the Rollover Transaction Request message.	Optional
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\* Format for refund amount fields: numeric with decimal point, two decimal places, and comma separators or dollar signs should not be used.

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<sup>17</sup> To remain aligned with original Rollovers implementation

<sup>18</sup> Must be provided if the USI was provided in the corresponding context in the original request message.

<sup>19</sup> Must be provided if the USI was provided in the corresponding context in the original request message.

## 11.5 USM OUTCOME RESPONSE

Parameter	Description	Message Sender	Message Receiver	Rollover Payment	Super Fund Member
ReportPartyTypeDimension	Explicit member dimension (Required value listed in <i>italics</i> )	Mandatory [Value= <i>MessageSender</i> ]	Mandatory [Value= <i>MessageReceiver</i> ]	Mandatory [Value= <i>TransferringFund</i> ]	Mandatory [Value= <i>SuperFundMember</i> ]
ContextID	Unique context ID	Optional			Conditional <sup>20</sup>
Identifier	Unique entity identifier (for example, TFN)	Optional			Mandatory
Scheme	Entity identifier scheme	Optional			Mandatory
TransferringSuperFundAllocatedMemberIDDimension	Transferring fund member ID	N/A			Mandatory
TransferringSuperFundABNDimension	Transferring fund ABN	N/A			Mandatory
TransferringSuperannuationFundUniqueSuperannuationIdentifierDimension	Transferring fund USI	N/A			Conditional <sup>21</sup>
ReceivingSuperFundABNDimension	Receiving fund ABN	N/A		Optional	Mandatory
ReceivingSuperannuationFundUniqueSuperannuationIdentifierDimension	Receiving fund USI	N/A		Optional	Conditional <sup>22</sup>
<b>Additional parameters are ONLY required when a refund is associated.</b>					
RefundAmount*	The amount to be refunded for the event item.	Mandatory			
RefundPaymentTotal*	Total refund payment for this USM Outcome Response.	Mandatory			

<sup>20</sup> Mandatory if the USM Outcome response is from the fund to the ATO.

<sup>21</sup> Must be provided if the USI was provided in the corresponding context in the original request message.

RefundPaymentReferenceNumber	The Payment Reference Number associated with the refund payment.	Conditional Mandatory if a new payment reference number is created for the refund.
OriginalPaymentReferenceNumber	The original PRN used in the USM Rollover Transaction message.	Optional

\* Format for refund amount fields: numeric with decimal point, two decimal places, and comma separators or dollar signs should not be used.

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<sup>22</sup> Must be provided if the USI was provided in the corresponding context in the original request message.

## 11.6 RELEASE AUTHORITY STATEMENT OUTCOME RESPONSE

Parameter	Description	Message Sender	Message Receiver	Rollover Payment	Super Fund Member
ReportPartyTypeDimension	Explicit member dimension (Required value listed in <i>italics</i> )	Mandatory [Value= <i>MessageSender</i> ]	Mandatory [Value= <i>MessageReceiver</i> ]	Mandatory [Value= <i>TransferringFund</i> ]	Mandatory [Value= <i>SuperFundMember</i> ]
ContextID	Unique context ID	Optional			Conditional <sup>23</sup>
Identifier	Unique entity identifier (for example, TFN)	Optional			Mandatory
Scheme	Entity identifier scheme	Optional			Mandatory
TransferringSuperFundAllocatedMemberIDDimension	Transferring fund member ID	N/A			Mandatory
TransferringSuperFundABNDimension	Transferring fund ABN	N/A			Mandatory
TransferringSuperannuationFundUniqueSuperannuationIdentifierDimension	Transferring fund USI	N/A			Conditional <sup>24</sup>
ReceivingSuperFundABNDimension	Receiving fund ABN	N/A		Optional	Mandatory
ReceivingSuperannuationFundUniqueSuperannuationIdentifierDimension	Receiving fund USI	N/A		Optional	Conditional <sup>25</sup>

<sup>23</sup> Mandatory if the USM Outcome response is from the fund to the ATO.

<sup>24</sup> Must be provided if the USI was provided in the corresponding context in the original request message.

<sup>25</sup> Must be provided if the USI was provided in the corresponding context in the original request message.