

GUIDE
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SUPERSTREAM

Rollover V3 Conformance Testing Guide

A guide to the rollover v3 conformance testing
process for funds and solution providers

VERSION 0.9



UNCLASSIFIED



For further information or questions,
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VERSION CONTROL

Version	Release date	Description of changes
V0.1	24.4.2020	Initial draft
V0.2	22.5.2020	Initial draft for internal review
V0.3	2.10.2020	Initial draft limited external review
V0.4	9.10.2020	Initial draft external review
V0.5	22.10.2020	Re-introduced interoperability test cases Added USM test cases inbound to ATO Other minor changes
V0.6	30.10.2020	Extended EPF tests for handling introduction of SMSF's Other minor changes
V0.7	19.03.2021	Modified EPF tests to reflect EVTE Correction to RTOR test case message flow Death Benefit Tax Code added to RTR test cases Entity corrections for test cases
V0.8	21.04.2021	Added version testing for P2P B2B (v2 and v3) Added test cases for section 20C Added test cases for EPF Removed duplication of tests Aligned new test data
V0.9	18.06.2021	Updated USM, USMOR, EPF, S20C test scenarios, general alignment to updated SuperStream Rv3 Test Data Scenario documentation and general updates to provide clarity to users based on external feedback and agreement from co-design team regarding new format for Section 5.

ENDORSEMENT

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TABLE OF CONTENTS

1	INTRODUCTION.....	5
1.1	PURPOSE	5
1.2	AUDIENCE	5
1.3	DOCUMENT CONTENT	6
1.4	DOCUMENT STRUCTURE.....	6
1.4.1	<i>Section 2 - Conformance testing</i>	6
1.4.2	<i>Section 3 – Message level conformance and Interoperability testing</i>	6
1.4.3	<i>Section 4 - Rollover V3 test cases</i>	6
1.4.4	<i>Section 5 - Peer-to-peer (P2P) test cases</i>	7
1.5	OTHER RELATED DOCUMENTS	7
2	CONFORMANCE TESTING	8
2.1	GENERAL	8
2.2	INTEGRATION TEST CASES	8
3	MESSAGE LEVEL CONFORMANCE AND INTEROPERABILITY CHECKLISTS	9
3.1	INTEROPERABILITY TEST CASE SUMMARY	9
3.2	PEER TO PEER TEST CASE SUMMARY	9
4	ROLLOVER VERSION 3 TEST CASES	12
4.1	ROLLOVER VERSION 3 TESTING OVERVIEW	12
4.2	B2B (FUND TO FUND) TEST CASES - SEND AND RECEIVE THE FOLLOWING:	12
4.3	G2B (ATO TO FUND) TEST CASES 4.3.1 G2B (ATO TO APRA FUND) PEER TO PEER TESTS - SEND AND RECEIVE THE FOLLOWING:	13
4.4	INTEGRATION TEST CASES.....	16
4.5	TEST DATA.....	17
4.6	GATEWAY INTEROPERABILITY TEST SCENARIO CATALOGUE.....	18
4.7	PEER TO PEER TEST SCENARIO CATALOGUE.....	19
4.7.1	<i>Peer to Peer Test Case Scenarios – B2B</i>	19
4.7.2	<i>Peer to peer test case catalogue – G2B</i>	21
5	PEER TO PEER TEST CASES.....	25
5.1	SEND AND RECEIVE IRR, RTR AND RTOR.....	25
5.1.1	<i>IRR, RTR and RTOR test cases</i>	25
5.2	SEND AND RECEIVE IRR AND IRER.....	29
5.2.1	<i>IRR and IRER test cases</i>	29
5.3	SEND AND RECEIVE USM AND USMOR MESSAGES.....	30
5.3.1	<i>USM and USMOR test cases (ATO to Fund)</i>	30
5.3.2	<i>USM and USMOR test cases (Fund to ATO)</i>	31
5.4	SEND AND RECEIVE S20C	32
5.4.1	<i>S20C and S20CER test cases</i>	32
5.5	SEND AND RECEIVE EPF	33
5.5.1	<i>EPF test cases – APRA testing scenario variations</i>	33
5.5.2	<i>EPF test cases – SMSF testing scenario variations</i>	34
5.6	SEND AND RECEIVE RA AND RAS MESSAGES	35
5.6.1	<i>RA, RAS and RASOR test cases</i>	35
5.6.2	<i>RA and RAER test cases</i>	36
	APPENDIX A – INTEROPERABILITY TEST CASE DETAIL.....	38

1 INTRODUCTION

1.1 PURPOSE

The SuperStream *Data and Payment Standards Rollover Message Implementation Guide (MIG) v1.0* was published in July 2013. Version 2.0 (v2.0) of the specification, constituting a major release of the Standard, was published in December 2015. Version 3.0 was released in November 2019 as a further major release.

The purpose of this document is to provide guidance for software developers when undertaking conformance testing against the SuperStream Rollover MIG version 3.0.

The testing timetable will mirror the functional release schedule for the areas of functionality defined in the Rollover MIG v3.0:

Fund transactions

- a. Initiate Rollover Request transactions (IRR)
- b. Initiate Rollover Error Response transactions (IRER)
- c. Rollover Transaction Request (RTR)
- d. Rollover Request Outcome Response (RTOR)
- e. Section 20C Notice Error Response (S20CER)
- f. Unclaimed Superannuation Money (USM)
- g. Unclaimed Superannuation Money Outcome Response (USMOR)
- h. Release Authority Error Response (RAER)
- i. Release Authority Statement (RAS)

Government transactions

- j. Unclaimed Superannuation Money (USM)
- k. Unclaimed Superannuation Money Outcome Response (USMOR)
- l. Electronic Portability Form (EPF)
- m. Section 20C Notice (S20C)
- n. Release Authority (RA)
- o. Release Authority Statement Outcome Response (RASOR)

1.2 AUDIENCE

The audience for this document is any fund, software developer or solution provider that will be developing or extending their software to make it compliant with the Superannuation Data and Payment Standard 2012 ([The 'Standard'](#)).

This document has been written for an audience expected to be familiar with the following:

- o XBRL – www.xbrl.org
- o ebMS3.0/AS4 - www.oasis-open.org/standards
- o SuperStream program – www.ato.gov.au/datastandards
- o SBR Program – www.sbr.gov.au.

1.3 DOCUMENT CONTENT

The document provides sample test cases for execution by Software Developers as part of a self-certification process up to and including peer to peer testing. This document contains a list of test cases to assist in validating the following:

- AS4 ebMS message conformance and testing supporting SuperStream business to business exchange of data.
- The application code complies with the business rules defined in the corresponding Message Implementation Guide (MIG) for the transaction.
- The application code generates an XBRL message instance that complies with the XBRL Definitional and Report Taxonomies and associated Schematron rules.
- The application code correctly processes a message received including exception handling.

1.4 DOCUMENT STRUCTURE

The detailed content of this document is divided into the following four major sections and an overview of the content of each is provided below:

- Section 2 Conformance testing
- Section 3 Message level conformance and Interoperability testing
- Section 4 Rollover v3 test cases
- Section 5 Peer-to-Peer test cases

1.4.1 Section 2 - Conformance testing

This section focuses on the different solution scenarios and the many components involved in the messaging implementations that will be developed by funds, gateways and solution providers to support SuperStream Rollover MIG v3.

An overview of integration testing, interoperability and peer-to-peer testing is provided for both fund and government transactions.

1.4.2 Section 3 – Message level conformance and Interoperability testing

This section provides a summary of the test cases and conformance criteria that will test the interoperability within a rollover transaction sequence.

1.4.3 Section 4 - Rollover V3 test cases

This section gives an overview of rollover v3 testing requirements and lists the test cases that form the basic requirement for integration testing, gateway interoperability and peer-to-peer testing for both funds and government.

1.4.4 Section 5 - Peer-to-peer (P2P) test cases

Fund to Fund transactions (B2B)

The tables in this section provide a catalogue of the rollover v3 tests and then specify the detailed messaging steps involved in each of the peer to peer test sequences listed for IRR and RTR messages, the corresponding IRER and RTOR response messages.

Government to Fund transactions (G2B)

The tables in this section provide a catalogue of the rollover v3 tests and the steps involved in each of the peer to peer test sequences listed for EPF, S20C, USM, RA and RAS and the corresponding S20CER, USMOR, RAER and RASOR response messages.

1.5 OTHER RELATED DOCUMENTS

This document is to be used in conjunction with these related documents:

- Data and Payment Standards Rollover Message Implementation Guide v3.0
- Supporting XBRL reporting taxonomy
- Data and Payment Standards Terms and Definitions (***Draft Schedule 2***)
- Data and Payment Standards Payment Definitions (***Draft Schedule 3***)
- Data and Payment Standards Message Orchestration and Profiles (***Draft Schedule 5***)
- Data and Payment Standards Error Code Management (***Draft Schedule 6***)
- SuperTICK User Guide v3.0
- Fund Validation Service (FVS) User Guide v 3.2
- SVS Business Implementation Guide
- SMSF Member TICK Business Implementation Guide
- Business Response Messaging Framework User Guide Final v1.1

2 CONFORMANCE TESTING

The test conformance process encompasses the following key principles:

2.1 GENERAL

General principles are as follows:

- The scope of the test conformance suite includes interoperability testing, integration testing and peer to peer testing for both business and government transactions.
- The test scope for SuperStream encompasses business-to-business AS4 ebMS message exchange and payload (XBRL) testing, government-to-business USM and EPF and also B2G
- The testing also makes reference to the SBR ATO enabling services, which are as follows:
 - SuperTICK
 - FVS
 - SMSFMBRVERFY
 - SMSFVERFY
- B2B test use cases are initiated from fund registry systems, therefore processes will vary to capture the required set of data to support a rollover transaction. The test cases defined in this document will provide a generic set of steps to support these activities. It is the responsibility of the fund to capture data in their specific process.
- To streamline testing the following rules apply to registry system testing:
 - If multiple funds use a common registry system, a single pass through for a chosen fund would constitute a pass for all other funds associated with the registry system.
 - In a more complex environment, that contains multiple registry systems with various funds, at least one fund within each registry system should be tested as best practice.
 - One Unique Superannuation Identifier (USI) (product) for each fund is the minimum requirement for testing. Funds are not expected to test all products within their systems.

2.2 INTEGRATION TEST CASES

Integration test cases are the responsibility of each solution implementation team.

A checklist of integration test cases is provided in section 4 and represents the minimum requirement. The full extent of integration testing will need to be agreed between each fund and their solution provider/s including Self Managed Super Fund (SMSF) providers.

3 MESSAGE LEVEL CONFORMANCE AND INTEROPERABILITY CHECKLISTS

3.1 Interoperability test case summary

This section lists the types of test cases for interoperability testing. The checklist below provides a summary of the functional requirements for test cases that will test the interoperability within a rollover transaction sequence.

The interoperability test cases documented are the minimum test cases required to meet the interoperability testing phase exit criteria. To assist in testing it is assumed Gateways may require additional test cases agreed upon with their testing cohort.

Interoperability test cases are listed in detail in the Superannuation Transaction Network (STN) Interoperability Test Plan at <https://www.gnqb.com.au/documents-links/> and the Gateway Network Governance Body (GNGB) will facilitate the testing between Gateways.

1. Fund Gateway to Fund Gateway
 - 1.1 Transport Layer connectivity
 - 1.2 Message Service Handler (MSH) Layer connectivity
 - 1.3 Application Layer connectivity – all gateways
2. Fund Gateway to / from ATO
 - 2.1 Transport Layer connectivity
 - 2.2 Message Service Handler (MSH) Layer connectivity
 - 2.3 Application Layer connectivity

3.2 PEER TO PEER TEST CASE SUMMARY

This section provides a summary of the Rollover peer to peer test case scenarios for fund to fund testing and ATO to fund testing.

In each case the following basic capabilities are tested along with the business process outcome:

1. Message sender:
 - a. XBRL message construction
 - b. ebMS message transmission
2. Message receiver:
 - a. ebMS message receipt
 - b. XBRL message deconstruction
3. Response message sender:
 - a. XML message construction
 - b. ebMS message transmission
4. Response message receiver:
 - a. ebMS message receipt

b. XML message deconstruction

Fund to Fund scenarios (APRA and SMSF combinations) sending IRR

1. Fund to Fund (B2B) receiving IRR
 - 1.1 IRR processed and either RTR or IRER generated
2. Fund to Fund (B2B) sending IRER
 - 2.1 Error response generated
3. Fund to Fund (B2B) receiving IRER
 - 3.1 Error response message processed
4. Fund to Fund (B2B) sending RTR
5. Fund to Fund (B2B) receiving RTR
 - 5.1 RTR processed to registry and outcome response generated
6. Fund to Fund (B2B) sending RTOR
 - 6.1 Outcome response generated
7. Fund to Fund (B2B) receiving RTOR
 - 7.1 Error or outcome response processed

ATO to APRA Fund scenarios

8. Government to Fund (G2B) – ATO sending USM
9. Government to Fund (G2B) – Fund receiving USM
 - 9.1 USM processed, and outcome generated
10. Fund to Government (B2G) – Fund sending USMOR
 - 10.1 Outcome response generated
11. Fund to Government (B2G) – ATO receiving USMOR
 - 11.1 Outcome response generated
12. Government to Fund (G2B) - ATO sending EPF
 - 12.1 Requesting rollover from APRA to APRA
 - 12.2 Requesting rollover from APRA to SMSF
13. Government to Fund (G2B) – Fund receiving EPF
 - 13.1 EPF processed
14. Government to Fund (G2B) – ATO sending S20C
15. Government to Fund (G2B) – Fund receiving S20C
 - 15.1 S20C processed
16. Fund to Government (B2G) – Fund sending S20CER
17. Fund to Government (B2G) – ATO receiving S20CER

- 17.1 Error response processed
- 18. Fund to Government (B2G) – Fund sending USM
 - 18.1 Appropriate use of USM reason codes including L - Inactive Low Balance Account, V – Trustee voluntary payments or P - Insoluble lost member accounts where applicable
- 19. Fund to Government (B2G) – ATO receiving USM
 - 19.1 Unclaimed Superannuation Money processed, and outcome generated
- 20. Government to Fund (G2B) – ATO sending USMOR
- 21. Government to Fund (G2B) – Fund receiving USMOR
 - 21.1 Outcome response processed
- 22. Government to Fund (G2B) – ATO Sending RA
- 23. Government to Fund (G2B) – Fund receiving RA
 - 23.1 RA processed to registry and outcome response generated
- 24. Fund to Government (B2G) – Fund Sending RAER
 - 24.1 Error response generated
- 25. Fund to Government (B2G) – ATO receiving RAER
- 26. Fund to Government (B2G) – Fund Sending RAS
- 27. Fund to Government (B2G) – ATO receiving RAS
 - 27.1 RAS processed, outcome response generated
- 28. Government to Fund (G2B) – ATO sending RASOR
- 29. Government to Fund (G2B) – Fund receiving RASOR
 - 29.1 Outcome response processed

ATO to SMSF scenarios

- 30. Government to Fund (G2B) - ATO sending EPF
 - 30.1 Requesting rollover from SMSF to APRA
 - 30.2 Requesting rollover from SMSF to SMSF
- 31. Government to Fund (G2B) - Fund receiving EPF
 - 31.1 EPF processed
- 32. Government to Fund (G2B) – ATO Sending RA
- 33. Government to Fund (G2B) – Fund receiving RA
 - 33.1 RA processed to registry and outcome response generated
- 34. Fund to Government (B2G) -Fund Sending RAER
 - 34.1 Error response generated
- 35. Fund to Government (B2G) – ATO receiving RAER
- 36. Government to Fund (G2B) - Fund Sending RAS

- 37. Fund to Government(B2G) - ATO receiving RAS
 - 37.1 RAS processed; outcome response generated
- 38. Government to Fund (G2B) - ATO sending RASOR
- 39. Government to Fund (G2B) – Fund receiving RASOR
 - 39.1 Error or outcome response processed

4 ROLLOVER VERSION 3 TEST CASES

4.1 ROLLOVER VERSION 3 TESTING OVERVIEW

This section gives an overview of rollover testing and lists the test cases that form the basic requirement for integration, interoperability and peer-to-peer testing for both fund and government transactions.

4.2 B2B (FUND TO FUND) TEST CASES - SEND AND RECEIVE THE FOLLOWING:

(Applied to APRA to APRA, APRA to SMSF, SMSF to APRA and SMSF to SMSF)

- 1. Initiate Rollover Request (IRR)
 - 1.1. Single member IRR message successful
 - 1.2. Multiple member IRR message successful (optional to send, mandatory to test receiving)
 - 1.3. Valid message with Other Details tuples populated with agreed value
 - 1.4. Valid message with Record Count populated
- 2. Initiate Rollover Error Response (IRER)
 - 2.1. IRER Business error - member doesn't exist
 - 2.2. IRER message with Context ID included (optional to send, mandatory to receive)
- 3. Rollover Transaction Request (RTR)
 - 3.1. Valid single member rollover for processing (validate all figures based on rollover transaction)
 - 3.2. Multiple member RTR message successful (optional to send, mandatory to test receiving)
 - 3.3. Valid member rollover with no TFN processed
 - 3.4. Valid member rollover with Other Details tuple populated
 - 3.5. Valid member rollover with Record Count populated
 - 3.6. Valid member death benefit recipient age category Adult
 - 3.7. Valid member death benefit recipient age category Child
 - 3.8. Valid member death benefit dependant is entitled to a concession (Tax Code P)

- 3.9. Valid member death benefit dependant is NOT entitled to a concession (Tax Code Q)
- 3.10. Valid member rollover with additional message linkage elements
- 4. Rollover Transaction Outcome Response (RTOR)
 - 4.1. Rollover processed successfully
 - 4.2. Business error: member not found (member level refund)
 - 4.3. Business error: roll over message but no money paid - document level response with no refund
 - 4.4. Business error resulting in document level refund
 - 4.5. RTOR with Context ID included (optional to send, mandatory to receive)

4.3 G2B (ATO TO FUND) TEST CASES

4.3.1 G2B (ATO TO APRA FUND) PEER TO PEER TESTS - SEND AND RECEIVE THE FOLLOWING:

- 5. USM - from ATO to Fund and Fund to ATO
 - 5.1. Valid single member USM rollover for processing
 - 5.2. Valid multiple member USM rollovers for processing
 - 5.3. Valid member USM rollover with no TFN processed
 - 5.4. Valid member USM message with all fields populated that will be sent in a normal message
 - 5.5. Valid member USM message with only the minimum number of mandatory fields populated
 - 5.6. Valid member USM message with Record Count populated
- 6. USMOR - from Fund to ATO and ATO to Fund
 - 6.1. USM rollover processed successfully
 - 6.2. Business error: member doesn't exist (member level refund)
 - 6.3. Business error: roll over message but no money paid. Out of band (OOB) response
 - 6.4. Business error resulting in document level refund
 - 6.5. USMOR with Context ID included (mandatory to send and receive)
- 7. S20C – from ATO to APRA Fund
 - 7.1. Valid multiple member S20c for processing
- 8. S20CER – from APRA Fund to ATO
 - 8.1. Business error: member not found with supplied information
 - 8.2. Business error: no longer a member of superannuation fund
 - 8.3. Business error: rollover could not be processed due to pending claim
- 9. EPF - from ATO to APRA Fund

- 9.1. Single member EPF message successful
 - 9.1.1. Requesting rollover from APRA to APRA
 - 9.1.2. Requesting rollover from APRA to SMSF
- 9.2. EPF message with Record Count populated
- 9.3. Requesting rollover from APRA to APRA
- 9.4. Requesting rollover from APRA to SMSF
- 10. RA – From ATO to Fund
 - 10.1. Valid member First home super saver (FHSS) scheme
 - 10.2. Valid member Excess Concessional Contributions (ECC)
 - 10.3. Valid member Excess Non-Concessional Contributions (ENCC)
 - 10.4. Valid member Excess Non-Concessional Contributions Tax (ENCCT)
 - 10.5. Valid member Division 293 due and payable (Div293)
 - 10.6. Valid member Division 293 deferred debt (DivDef)
- 11. RAS – From Fund To ATO
 - 11.1. Release Authority Statement (RAS)
 - 11.2. Release Authority Statement (RAS) partial release
 - 11.3. RAS with additional linkage elements (eg. Initiator Conversation Id and Initiator Type Code) included
- 12. RAER – From Fund to ATO
 - 12.1. Business error: member doesn't exist
 - 12.2. Business error: member exists but no balance
 - 12.3. Business error: member exists but no open account
 - 12.4. Business error: member exist but DB or non-commutable income stream
- 13. RASOR – From ATO to Fund
 - 13.1. RAS successfully processed
 - 13.2. RAS unsuccessfully processed

4.3.2 G2B (ATO TO SMSF) PEER TO PEER TESTS - SEND AND RECEIVE THE FOLLOWING:

- 14. EPF - from ATO to SMSF
 - 14.1. Single member EPF message received successful
 - 14.1.1. Requesting rollover from SMSF to APRA
 - 14.1.2. Requesting rollover from SMSF to SMSF
 - 14.2. EPF message with Record Count populated
- 15. RA – From ATO to SMSF
 - 15.1. Valid member Division 293 deferred debt (DivDef)

- 15.2. Valid member First home super saver (FHSS) scheme
 - 15.3. Valid member Excess Concessional Contributions (ECC)
 - 15.4. Valid member Excess Non-Concessional Contributions (ENCC)
 - 15.5. Valid member Excess Non-Concessional Contributions Tax (ENCCT)
 - 15.6. Valid member Division 293 due and payable (Div293)
16. RAS – From SMSF to ATO
- 16.1. Release Authority Statement (RAS) full release
 - 16.2. Release Authority Statement (RAS) partial release
 - 16.3. RAS with additional linkage elements (eg. Initiator Conversation Id and Initiator Type Code) included
17. RAER – From SMSF to ATO
- 17.1. Business error: member doesn't exist
 - 17.2. Business error: member exists but no balance
 - 17.3. Business error: member exists but no open account
 - 17.4. Business error: member exist but DB or non-commutable income stream
18. RASOR– From ATO to SMSF
- 18.1. RAS successfully processed
 - 18.2. RAS unsuccessfully processed

4.4 INTEGRATION TEST CASES

This section gives an overview of test cases that should form the basis of application integration testing for funds.

Integration testing checklist

1. Fund and Service Provider/s testing sending messages
 - 1.1. FVS call
 - 1.2. SuperTICK call
 - 1.3. SMSFVRFY call
 - 1.4. SMSFMBRVRFY call
 - 1.5. XBRL message construction
 - 1.6. ebMS message transmission
2. Fund and Service Provider/s testing receiving messages
 - 2.1. ebMS message receipt
 - 2.2. XBRL message deconstruction
 - 2.3. Process rollover into registry system and generate response
3. Fund and Service Provider/s testing sending responses
 - 3.1. Error or outcome messages generated
 - 3.2. XML message construction
 - 3.3. ebMS message transmission
4. Fund and Service Provider/s testing receiving responses
 - 4.1. ebMS message receipt
 - 4.2. XML response message deconstruction
 - 4.3. Error or outcome message processed
5. Government and Service Provider/s testing sending:
 - 5.1. FVS call
 - 5.2. XBRL message construction
 - 5.3. ebMS message transmission
6. Government and Service Provider/s testing receiving responses
 - 6.1. ebMS message receipt
 - 6.2. XML response message deconstruction
 - 6.3. Error or outcome message processed

Message structure and content tests

1. Presence of fields
 - 1.1. Mandatory fields present
 - 1.2. Conditional and dependent fields present if required
2. Values
 - 2.1. Values according to taxonomy

- 2.2. Cross field validations
- 2.3. Any other business defined within fund rules
- 3. XBRL
 - 3.1. Message correctly formed
 - 3.2. Message internally consistent – context and data
- 4. XML (responses)
 - 4.1. Message correctly formed
 - 4.2. Message internally consistent – parameters and event items
 - 4.3. Refund parameters match the Business Response Messaging Framework
- 5. ebMS
 - 5.1. Header and wrapper correct
 - 5.2. Transmission and receipt successful
 - 5.3. Response messages correctly packaged
 - 5.4. Response message transmission and receipt successful

4.5 TEST DATA

Sample message instances will be available separately to this document.

4.6 GATEWAY INTEROPERABILITY TEST SCENARIO CATALOGUE

This section gives an overview of tests required as part of interoperability testing between gateway to gateway and gateway to government.

Gateways can commence peer to peer testing prior to completing interoperability as long as they have completed interoperability with other gateway participants in the peer group. Prior to production it is required that all gateways have successfully completed testing with one another.

Refer to Appendix A for further detail of the tests listed below.

B2B – Test Cases for Rollovers v3.		
Test number	V3	Description
INTERB1.1	✓	Send a RTR message with correct data
INTERB1.2	✓	Send a RTOR message (if applicable to gateway)
INTERB1.3	Optional	Repeat above test with mismatched payload (if applicable to gateway)
INTERB1.4	✓	Send an IRR message with correct data
INTERB1.5	✓	Send an IRER message with correct data
INTERB1.6	✓	Repeat above tests with SMSF data sets
INTERB1.7*	✓	Fund A v3 and Fund B v2 - incorrect versioning - IRR sent by fund A to fund B in v3. *See Note 1 below.

Note 1: INTERB1.7: This test may not be able to be initiated by some gateways for interoperability testing because of the structure of their interaction with their funds. In those cases, the B2B fund to fund versioning test cases will cover this scenario.

G2B – Test Cases for Rollovers v3.		
Test number	V3	Description* * See Note 2 below.
Transport and MSH layer testing		
INTERG1.1	✓	Establish https connection between endpoints Note: ATO has already established connectivity for EPF, however for USM, connection also needs to go the other way (because of USMOR) so tests are to be repeated
INTERG1.2	✓	Send a simplified message from the sender MSH to the receiver MSH
INTERG1.3	✓	Send a simplified message from the sender MSH to the receiver MSH with PayloadInfo part properties configured for a particular source / target fund combination
INTERG1.4	✓	Test message signing and signature validation

Note 2: These low-level G2B test cases provide a checklist of message structure requirements and do not need to be performed separately if not appropriate. A single well-formed, signed, compressed message as specified in tests INTERG1.8, INTERG1.9 and INTERG1.10 will automatically provide a test of these requirements.

G2B – Test Cases for Rollovers v3.		
Test number	V3	Description
Application layer testing		
INTERG1.5	✓	Send a USM Rollover message with correct data
INTERG1.6	✓	Send a USM Rollover Outcome Response message with correct data
INTERG1.7	✓	Send an Electronic Portability Form message with correct data
INTERG1.8	✓	ATO sends EPF v2 and Fund B is v2
INTERG1.9	✓	ATO sends RA message with correct data
INTERG1.10	✓	ATO sends EPF v3 and Fund B is v3
INTERG1.11	✓	ATO sends EPF v3 and Fund B is v2 (INCORRECT)
INTERG1.12	✓	ATO sends RA message with correct data
INTERG1.13	✓	Send a RAS with correct data
INTERG1.14	✓	Send RAER based on incorrect data

4.7 PEER TO PEER TEST SCENARIO CATALOGUE

The following test case scenarios are the minimum test scenarios required for Peer to Peer testing. It is the responsibility of the trustee to ensure these tests are completed successfully for each solution, regardless of whether the fund or their service provider conducts the test.

4.7.1 Peer to Peer Test Case Scenarios – B2B

Each test case should be performed by Funds taking on both a sending and a 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 – refer to the test cases in section 5 for further detail.

Note 1: The response pattern used by the responding party may be any of Error, Partial or Progressive. The receiving party for a response must be able to process all response pattern types.

Note 2: Payment reconciliation cannot be tested in a testing environment as no actual payments are created.

Note 3: Version testing V2 and V3 is applicable to B2B Peer Test Case Scenarios (V2 testing only applicable to testing between two APRA funds)

IRR			
Test number	V3	V2	Description
IRR1.1	✓	✓	Valid single member IRR message

IRR1.2	✓	✓	Valid multiple member IRR message Note: it is optional to send a multiple member IRR but all funds must test that they can receive a multiple member IRR
IRR1.3	✓	✓	Valid IRR message with Other Details tuple populated with an agreed value between peers Note: optional to send, mandatory to receive
IRR1.4	✓	✓	Valid IRR message with Record Count populated

IRER			
Test number	V3	V2	Description
IRER2.1	✓	✓	IRER Business error - member doesn't exist, SUPER.GEN.GEN.21 - Member not found with supplied information
IRER2.2	✓	✓	IRER message with Context ID included Note: optional to send, mandatory to receive

RTR			
Test number	V3	V2	Description
RTR3.1	✓	✓	Valid single member RTR message
RTR3.2	✓	✓	Valid multiple member RTR message successfully Note: optional to send, mandatory to receive
RTR3.3	Optional	Optional	Valid member rollover with no TFN processed (using Member ID)
RTR3.4	✓	✓	Valid member rollover with Other Details tuple populated
RTR3.5	✓	✓	Valid member rollover with Record Count populated
RTR3.6	✓		Valid member death benefit recipient age category Adult
RTR3.7	✓		Valid member death benefit recipient age category Child
RTR3.8	✓		Valid member death benefit dependant is entitled to a concession (Tax Code P)
RTR3.9	✓		Valid member death benefit dependant is NOT entitled to a concession (Tax Code Q)
RTR3.10	✓		Valid member rollover with additional message linkage elements

RTOR			
Test number	V3	V2	Description
RTOR4.1	✓	✓	Rollover response processed successfully
RTOR4.2	✓	✓	Business error: - Member level refund because member doesn't exist, SUPER.GEN.GEN.21 - Member not found with supplied information
RTOR4.3	✓	✓	Business error: roll over message but no money paid - document level response with no refund
RTOR4.4	✓	✓	Business error resulting in document level refund
RTOR4.5	✓	✓	RTOR with Context ID included (optional to send, mandatory to receive)

4.7.2 Peer to peer test case catalogue – G2B

Note: Please refer to the 'Test Data and Scenario Mapping' tab in the test data scenarios spread sheet published on the software developers website in order to understand the expected responses for these tests.

USM – from ATO to Fund		
Test number	V3	Description
USM6.1	✓	Valid single member USM rollover
USM6.2	✓	Valid multiple member USM rollovers
USM6.3	✓	Valid member USM rollover with no TFN, including Member ID
USM6.5	✓	Valid member USM message with all fields populated that will be sent in a normal message
USM6.6	✓	Valid member USM message with only the minimum number of mandatory fields populated
USM6.7	✓	Valid member USM message with Record Count populated

USMOR – from Fund to ATO		
Test number	V3	Description
USMOR7.1	✓	USM rollover response processed successfully
USMOR7.2	✓	Business error: - Member level refund because member doesn't exist, SUPER.GEN.GEN.21 - Member not found with supplied information
USMOR7.3	✓	USMOR with Context ID included Note: mandatory to send and receive

USM – from Fund to ATO		
Test number	V3	Description
USM6.8	✓	Valid single member USM rollover
USM6.9	✓	Valid multiple member USM rollovers
USM6.10	✓	Valid member USM rollover with no TFN, including Member ID
USM6.12	✓	Valid member USM message with all fields populated that will be sent in a normal message
USM6.13	✓	Valid member USM message with only the minimum number of mandatory fields populated
USM6.14	✓	Valid member USM message with Record Count populated

USMOR – from ATO to Fund		
Test number	V3	Description
USMOR7.4	✓	USM rollover response processed successfully

USMOR7.5	✓	USM rollover response processed successfully
USMOR7.6	✓	USMOR with Context ID included Note: mandatory to send and receive
USMOR7.7	✓	USM rollover response processed successfully
USMOR7.8	✓	USM rollover response processed successfully
USMOR7.10	✓	USM rollover response processed successfully
USMOR7.11	✓	USM rollover response processed successfully

S20C – from ATO to Fund		
Test number	V3	Description
S20C 9.1	✓	Multiple Members (TFN, No TFN, Valid & Error Members)

S20CER – from Fund to ATO		
Test number	V3	Description
S20CER 9.1	✓	Member not found with supplied information (SUPER.GEN.GEN.21) No longer a member of Superannuation fund (SUPER.GEN.GEN.22) Rollover could not be processed due to a pending claim (SUPER.GEN.RLVR.7)

EPF		
Test number	V3	Description
Testing Scenario Variation: Transferring Fund Type = APRA		
EPF8.1	✓	Valid Single member EPF message (APRA to APRA)
EPF8.3	✓	Valid Single member EPF message (APRA to APRA)
EPF8.4	✓	Valid Single member EPF message (APRA to APRA)
EPF8.5	✓	Valid Single member EPF message (APRA to APRA)
EPF8.6	✓	Valid EPF message with Record Count populated (APRA to APRA)
EPF8.1	✓	Valid Single member EPF message (APRA to SMSF)
EPF8.3	✓	Valid Single member EPF message (APRA to SMSF)
EPF8.4	✓	Valid Single member EPF message (APRA to SMSF)
EPF8.5	✓	Valid Single member EPF message (APRA to SMSF)
EPF8.6	✓	Valid EPF message with Record Count populated (APRA to SMSF) *issued with an alternate ESA/Alias case for SMSF receiving fund.
Testing Scenario Variation:		

Transferring Fund Type = SMSF		
EPF8.7	✓	Valid Single member EPF message (SMSF to APRA)
EPF8.8	✓	Valid Single member EPF Message (SMSF to APRA)
EPF8.9	✓	Valid EPF message with Record Count populated (SMSF to APRA)
EPF8.7	✓	Valid Single member EPF message (SMSF to SMSF) *issued with an alternate ESA/Alias case for SMSF receiving fund.
EPF8.8	✓	Valid Single member EPF Message (SMSF to SMSF)
EPF8.9	✓	Valid EPF message with Record Count populated (SMSF to SMSF)

RA – from ATO to Fund		
Test number	V3	Description
RA9.1	✓	Valid member First home super saver (FHSS) scheme
RA9.2	✓	Valid member Division 293 deferred debt (DivDef)
RA9.3	✓	Valid member Excess Concessional Contributions (ECC)
RA9.4	✓	Valid member Excess Non-Concessional Contributions (ENCC)
RA9.5	✓	Valid member Excess Non-Concessional Contributions Tax (ENCCT)
RA9.6	✓	Valid member Division 293 due and payable (Div293)
RA9.7	✓	Valid member First home super saver (FHSS) scheme
RA9.8	✓	Valid member Division 293 deferred debt (DivDef)
RA9.9	✓	Valid member Division 293 deferred debt (DivDef)
RA9.10	✓	Valid member First home super saver (FHSS) scheme

RAS – From Fund To ATO		
Test number	V3	Description
RAS9.1	✓	Release Authority Statement (RAS)
RAS9.2	✓	Release Authority Statement (RAS) partial release
RAS9.3	✓	Release Authority Statement (RAS) partial release
RAS9.4	✓	Release Authority Statement (RAS)
RAS9.5	✓	Release Authority Statement (RAS)
RAS9.6	✓	Release Authority Statement (RAS)

		RAER – From Fund to ATO
Test number	V3	Description
RAER9.1	✓	Member not found SUPER.GEN.GEN.21
RAER9.2	✓	Member exists but no open account SUPER.GEN.GEN.22
RAER9.3	✓	Member exist but DB or non-commutable income stream SUPER.GEN.RLVR.6
RAER9.4	✓	Member has account but cannot release for other reasons SUPER.GEN.RLVR.9

		RASOR– From ATO to Fund
Test number	V3	Description
RASOR9.1	✓	RAS successfully processed
RASOR 9.2	✓	RAS successfully processed
RASOR 9.3	✓	RAS successfully processed
RASOR 9.4	✓	RAS unsuccessfully processed - ATO cannot find the original RA (SUPER.GEN.GEN.21)
RASOR 9.5	✓	RAS unsuccessfully processed – mismatch of ABN, USI, product, year or member account number (SUPER.GEN.GEN.21)
RASOR 9.6	✓	RAS unsuccessfully processed – mismatch of ABN, USI, product, year or member account number (SUPER.GEN.GEN.21)

5 PEER TO PEER TEST CASES

5.1 SEND AND RECEIVE IRR, RTR AND RTOR

5.1.1 IRR, RTR and RTOR test cases

IRR1.1 Valid single member IRR message			
RTR3.1 Valid single member RTR message			
RTOR4.1 Rollover response processed successfully			
Fund A		Fund B	
IRR1.1.FNDA.01	Fund A Send IRR		
		IRR1.1.FNDB.01	Fund B Receive IRR
		RTR3.1.FNDB.02	Fund B Send RTR
	Fund A Receive RTR		
RTOR4.1.FNDA.03	Fund A Send RTOR		
		RTOR4.1.FNDB.03	Fund B Receive RTOR

IRR1.2 Valid multiple member IRR message			
Note: it is optional to send a multiple member IRR but all funds must test that they can receive a multiple member IRR			
RTR3.2 Valid multiple member RTR message successfully			
Note: optional to send, mandatory to receive			
RTOR4.5 RTOR with Context ID included			
Note: optional to send, mandatory to receive.			
Fund A		Fund B	
IRR1.2.FNDA.01	Fund A Send IRR		
		IRR1.2.FNDB.01	Fund B Receive IRR
		RTR3.2.2.FNDB.02	Fund B Send RTR
RTR3.2.FNDA.02	Fund A Receives RTR		
RTOR4.5.FNDA.03	Fund A Send RTOR		
		RTOR4.5.FNDB.03	Fund B Receive RTOR

IRR1.3 Valid IRR message with Other Details tuple populated with an agreed value between peers			
Note: optional to send, mandatory to receive			
RTR3.1 Valid single member RTR message			
RTOR4.1 Rollover response processed successfully			
Fund A		Fund B	
IRR1.3.FNDA.01	Fund A Send IRR		
		IRR1.3.FNDB.01	Fund B Receive IRR
		RTR3.1.FNDB.02	Fund B Send RTR
RTR3.1.FNDA.02	Fund A Receives RTR		
RTOR4.1.FNDA.03	Fund A Send RTOR		
		RTOR4.1.FNDB.03	Fund B Receive RTOR

IRR1.4 Valid IRR message with Record Count populated
RTR3.1 Valid single member RTR message
RTOR4.1 Rollover response processed successfully

Fund A		Fund B	
IRR1.4.FNDA.01	Fund A Send IRR		
		IRR1.4.FNDB.01	Fund B Receive IRR
		RTR3.1.FNDB.02	Fund B Send RTR
RTR3.1.FNDA.02	Fund A Receives RTR		
RTOR4.1.FNDA.03	Fund A Send RTOR		
		RTOR4.1.FNDB.03	Fund B Receive RTOR

IRR1.2 Valid multiple member IRR message

Note: it is optional to send a multiple member IRR but all funds must test that they can receive a multiple member IRR

RTR3.2 Valid multiple member RTR message successfully

Note: optional to send, mandatory to receive

RTOR4.1 Rollover response processed successfully

Fund A		Fund B	
IRR1.2.FNDA.01	Fund A Send IRR		
		IRR1.2.FNDB.01	Fund B Receive IRR
		RTR3.2.FNDB.02	Fund B Send RTR
RTR3.2.FNDA.02	Fund A Receives RTR		
RTOR4.1.FNDA.03	Fund A Send RTOR		
		RTOR4.1.FNDB.03	Fund B Receive RTOR

IRR1.2 Valid multiple member IRR message

Note: it is optional to send a multiple member IRR but all funds must test that they can receive a multiple member IRR

RTR3.3 Valid member rollover with no TFN processed (using Member ID)

RTOR4.2 Business error: - Member level refund because member doesn't exist, SUPER.GEN.GEN.21 - Member not found with supplied information

Fund A		Fund B	
IRR1.2.FNDA.01	Fund A Send IRR		
		IRR1.2.FNDB.01	Fund B Receive IRR
		RTR3.3.FNDB.02	Fund B Send RTR
RTR3.3.FNDA.02	Fund A Receives RTR		
RTOR4.2.FNDA.03	Fund A Send RTOR		
		RTOR4.2.FNDB.03	Fund B Receive RTOR

IRR1.1 Valid single member IRR message

Note: it is optional to send a multiple member IRR but all funds must test that they can receive a multiple member IRR

RTR3.4 Valid member rollover with Additional Linkage Elements populated

Note: mandatory to send and receive.

RTOR4.3 Business error: roll over message but no money paid - document level response with no refund

Fund A		Fund B	
IRR1.1.FNDA.01	Fund A Send IRR		
		IRR1.1.FNDB.01	Fund B Receive IRR
		RTR3.4.FNDB.02	Fund B Send RTR
RTR3.4.FNDA.02	Fund A Receives RTR		
RTOR4.3.FNDA.03	Fund A Send RTOR		
		RTOR4.3.FNDB.03	Fund B Receive RTOR

IRR1.4 Valid IRR message with Record Count populated

RTR3.5 Valid member rollover with Record Count populated

RTOR4.4 Business error resulting in document level refund

Fund A		Fund B	
IRR1.1.FNDA.01	Fund A Send IRR		
		IRR1.1.FNDB.01	Fund B Receive IRR
		RTR3.4.FNDB.02	Fund B Send RTR
RTR3.4.FNDA.02	Fund A Receives RTR		
RTOR4.3.FNDA.03	Fund A Send RTOR		
		RTOR4.3.FNDB.03	Fund B Receive RTOR

IRR1.1 Valid single member IRR message

RTR3.6 Valid member death benefit recipient age category Adult

RTR3.8 Valid member death benefit dependant is entitled to a concession (Tax Code P)

RTOR4.1 Rollover response processed successfully

Fund A		Fund B	
IRR1.1.FNDA.01	Fund A Send IRR		
		IRR1.1.FNDB.01	Fund B Receive IRR
		RTR3.6..FNDB.02	Fund B Send RTR, with RTR3.8 Valid member death benefit dependant is entitled to a concession (Tax Code P)
RTR3.6.FNDA.02	Fund A Receives RTR		
RTOR4.1.FNDA.03	Fund A Send RTOR		
		RTOR4.1.FNDB.03	Fund B Receive RTOR

IRR1.1 Valid single member IRR message RTR3.6 Valid member death benefit recipient age category Adult RTR3.9 Valid member death benefit dependant is NOT entitled to a concession (Tax Code Q) RTOR4.1 Rollover response processed successfully			
Fund A		Fund B	
IRR1.1.FNDA.01	Fund A Send IRR		
		IRR1.1.FNDB.01	Fund B Receive IRR
		RTR3.6.FNDB.02	Fund B Send RTR, with RTR3.9 Valid member death benefit dependant is NOT entitled to a concession (Tax Code Q)
RTR3.6.FNDA.02	Fund A Receives RTR		
RTOR4.1.FNDA.03	Fund A Send RTOR		
		RTOR4.1.FNDB.03	Fund B Receive RTOR

IRR1.1 Valid single member IRR message RTR3.7 Valid member death benefit recipient age category Child RTR3.8 Valid member death benefit dependant is entitled to a concession (Tax Code P) RTOR4.1 Rollover response processed successfully			
Fund A		Fund B	
IRR1.1.FNDA.01	Fund A Send IRR		
		IRR1.1.FNDB.01	Fund B Receive IRR
		RTR3.7.FNDB.02	Fund B Send RTR, with RTR3.8 Valid member death benefit dependant is entitled to a concession (Tax Code P)
RTR3.7.FNDA.02	Fund A Receives RTR		
RTOR4.1.FNDA.03	Fund A Send RTOR		
		RTOR4.1.FNDB.03	Fund B Receive RTOR

IRR1.1 Valid single member IRR message RTR3.7 Valid member death benefit recipient age category Child RTR3.9 Valid member death benefit dependant is NOT entitled to a concession (Tax Code Q) RTOR4.1 Rollover response processed successfully			
Fund A		Fund B	
IRR1.1.FNDA.01	Fund A Send IRR		
		IRR1.1.FNDB.01	Fund B Receive IRR
		RTR3.7.FNDB.02	Fund B Send RTR, with RTR3.9 Valid member death benefit dependant is NOT entitled to a concession (Tax Code Q)
RTR3.7.FNDA.02	Fund A Receives RTR		
RTOR4.1.FNDA.03	Fund A Send RTOR		
		RTOR4.1.FNDB.03	Fund B Receive RTOR

IRR1.1 Valid single member IRR message

RTR3.10 Valid member rollover with additional message linkage elements

RTOR4.3 Business error: roll over message but no money paid - document level response with no refund

Fund A		Fund B	
IRR1.1.FNDA.01	Fund A Send IRR		
		IRR1.1.FNDB.01	Fund B Receive IRR
		RTR3.10.FNDB.02	Fund B Send RTR
RTR3.10.FNDA.02	Fund A Receives RTR		
RTOR4.3.FNDA.03	Fund A Send RTOR		
		RTOR4.3.FNDB.03	Fund B Receive RTOR

5.2 SEND AND RECEIVE IRR AND IRER

5.2.1 IRR and IRER test cases

IRR1.1 Valid single member IRR message

IRER2.1 IRER Business error - member doesn't exist, SUPER.GEN.GEN.21 - Member not found with supplied information

Fund A		Fund B	
IRR1.1.FNDA.01	Fund A Send IRR		
		IRR1.1.FNDB.01	Fund B Receive IRR
		IRER2.1.FNDB.02	Fund B Send IRER
IRER2.1.FNDA.02	Fund A Receive IRER		

IRR1.1 Valid single member IRR message

IRER2.2 IRER message with Context ID included

Note: optional to send, mandatory to receive

Fund A		Fund B	
IRR1.1.FNDA.01	Fund A Send IRR		
		IRR1.1.FNDB.01	Fund B Receive IRR
		IRER2.2.FNDB.02	Fund B Send IRER
IRER2.2.FNDA.02	Fund A Receive IRER		

5.3 SEND AND RECEIVE USM AND USMOR MESSAGES

5.3.1 USM and USMOR test cases (ATO to Fund)

USM6.1 Valid single member USM rollover			
USMOR7.1 USM rollover processed successfully			
ATO		Fund A	
USM6.1.ATO.01	ATO Send USM		
		USM6.1.FNDA.01	Fund A receive USM
		USMOR7.1.FNDA.02	Fund A Send USMOR
USMOR7.1.ATO.02	ATO Receive USMOR		

USM6.2 Valid multiple member USM rollovers			
USMOR7.2 Business error: - Member level refund because member doesn't exist, SUPER.GEN.GEN.21 - Member not found with supplied information			
ATO		Fund A	
USM6.2.ATO.01	ATO Send USM		
		USM6.2.FNDA.01	Fund A receive USM
		USMOR7.2.FNDA.02	Fund A Send USMOR
USMOR7.2.ATO.02	ATO Receive USMOR		

USM6.3 Valid member USM rollover with no TFN, including Member ID			
USMOR7.13 USM rollover response processed successfully			
ATO		Fund A	
USM6.3.ATO.01	ATO Send USM		
		USM6.3.FNDA.01	Fund Receive USM
		USMOR7.13.FNDA.02	Fund Send USMOR
USMOR7.13.ATO.02	ATO Receive USMOR		

USM6.5 Valid member USM message with all fields populated that will be sent in a normal message			
USMOR7.13 USM rollover response processed successfully			
ATO		Fund A	
USM6.5.ATO.01	ATO Send USM		
		USM6.5.FNDA.01	Fund Receive USM
		USMOR7.14.FNDA.02	Fund Send USMOR
USMOR7.14.ATO.02	ATO Receive USMOR		

USM6.6 Valid member USM message with only the minimum number of mandatory fields populated USMOR7.15 USM rollover response processed successfully			
ATO		Fund A	
USM6.6.ATO.01	ATO Send USM		
		USM6.6.FNDA.01	Fund Receive USM
		USMOR7.15.FNDA.02	Fund Send USMOR
USMOR7.15.ATO.02	ATO Receive USMOR		

USM6.7 Valid member USM message with Record Count populated USMOR7.12 USM rollover response processed successfully			
ATO		Fund A	
USM6.7.ATO.01	ATO Send USM		
		USM6.7.FNDA.01	Fund Receive USM
		USMOR7.12.FNDA.02	Fund Send USMOR
USMOR7.12.ATO.02	ATO Receive USMOR		

5.3.2 USM and USMOR test cases (Fund to ATO)

USM6.8 Valid single member USM rollover USMOR7.4 USM rollover response processed successfully			
Fund A		ATO	
USM6.8.FNDA.01	Fund A Send USM		
		USM6.8.ATO.01	ATO receive USM
		USMOR7.4.ATO.02	ATO send USMOR
USMOR7.4.FNDA.02	Fund A Receive USMOR		

USM6.9 Valid multiple member USM rollovers USMOR7.5 USM rollover response processed successfully USMOR7.6 USMOR with Context ID included			
Fund A		ATO	
USM6.9.FNDA.01	Fund A Send USM		
		USM6.9.ATO.01	ATO receive USM
		USMOR7.5.ATO.02	ATO send USMOR
USMOR7.5.FNDA.02	Fund A Receive USMOR		

USM6.10 Valid member USM rollover with no TFN, including Member ID USMOR7.8 USM rollover response processed successfully			
Fund A		ATO	
USM6.10.FNDA.01	Fund A Send USM		
		USM6.10.ATO.01	ATO receive USM
		USMOR7.8.ATO.02	ATO send USMOR
USMOR7.8.FNDA.02	Fund A Receive USMOR		

USM6.12 Valid member USM message with all fields populated that will be sent in a normal message

USMOR7.10 USM rollover response processed successfully

Fund A		ATO	
USM6.12. FNDA.01	Fund A Send USM		
		USM6.12.ATO.01	ATO receive USM
		USMOR7.10.ATO.02	ATO send USMOR
USMOR7.10. FNDA.02	Fund A Receive USMOR		

USM6.13 Valid member USM message with only the minimum number of mandatory fields populated

USMOR7.11 USM rollover response processed successfully

Fund A		ATO	
USM6.13. FNDA.01	Fund A Send USM		
		USM6.13.ATO.01	ATO receive USM
		USM6.13.ATO.02	ATO send USMOR
USM6.13. FNDA.02	Fund A Receive USMOR		

USM6.14 Valid member USM message with Record Count populated

USMOR7.7 USM rollover response processed successfully

Fund A		ATO	
USM6.14. FNDA.01	Fund A Send USM		
		USM6.14.ATO.01	ATO receive USM
		USMOR7.7.ATO.02	ATO send USMOR
USMOR7.7. FNDA.02	Fund A Receive USMOR		

5.4 SEND AND RECEIVE S20C

5.4.1 S20C and S20CER test cases

S20C9.1 Valid multiple member S20C message (APRA)

S20CER9.1 Member not found (SUPER.GEN.GEN.21) - member 35, No longer a member of superannuation entity (SUPER.GEN.GEN.22) - member37, Rollover could not be processed owing to pending claim (SUPER.GEN.GEN.RLVR.7) - member 38

ATO		Fund A	
S20C9.1.ATO.01	ATO Send S20C		
		S20C9.1.FNDA.01	Fund A receive S20C
		S20CER9.1.FNDA.02	Fund A send S20CER
S20CER9.1.ATO.02	ATO Receive S20CER		

Please note, it is **optional** to complete the Fund to ATO USMs for valid member (member 34) and member valid with no TFN (member 36) component of this test.

5.5 SEND AND RECEIVE EPF

5.5.1 EPF test cases – APRA testing scenario variations

EPF8.1 Valid Single member EPF message (APRA to APRA)			
ATO		Fund A	
EPF8.1.ATO.01	ATO Send EPF		
		EPF8.1.FNDA.01	Fund A Receive EPF

EPF 8.3 Valid Single member EPF message (APRA to APRA)			
ATO		Fund A	
EPF8.3.ATO.01	ATO Send EPF		
		EPF8.3.FNDA.01	Fund A Receive EPF

EPF 8.4 Valid Single member EPF message (APRA to APRA)			
ATO		Fund A	
EPF8.4.ATO.01	ATO Send EPF		
		EPF8.3.FNDA.01	Fund A Receive EPF

EPF 8.5 Valid Single member EPF message (APRA to APRA)			
ATO		Fund A	
EPF8.5.ATO.01	ATO Send EPF		
		EPF8.5.FNDA.01	Fund A Receive EPF

EPF 8.6 Valid EPF message with Record Count populated (APRA to APRA)			
ATO		Fund A	
EPF8.6.ATO.01	ATO Send EPF		
		EPF8.6.FNDA.01	Fund A Receive EPF

EPF8.1 Valid Single member EPF message (APRA to SMSF)			
ATO		Fund A	
EPF8.1.ATO.01	ATO Send EPF		
		EPF8.1.FNDA.01	Fund A Receive EPF

EPF 8.3 Valid Single member EPF message (APRA to SMSF)			
ATO		Fund A	
EPF8.3.ATO.01	ATO Send EPF		
		EPF8.3.FNDA.01	Fund A Receive EPF

EPF 8.4 Valid Single member EPF message (APRA to SMSF)

ATO		Fund A	
EPF8.4.ATO.01	ATO Send EPF		
		EPF8.3.FNDA.01	Fund A Receive EPF

EPF 8.5 Valid Single member EPF message (APRA to SMSF)

ATO		Fund A	
EPF8.5.ATO.01	ATO Send EPF		
		EPF8.5.FNDA.01	Fund A Receive EPF

EPF 8.6 Valid EPF message with Record Count populated (APRA to SMSF) *issued with an alternate ESA/Alias case for SMSF receiving fund.

ATO		Fund A	
EPF8.6.ATO.01	ATO Send EPF		
		EPF8.6.FNDA.01	Fund A Receive EPF

5.5.2 EPF test cases – SMSF testing scenario variations**EPF 8.7** Valid Single member EPF message (SMSF to APRA)

ATO		Fund A	
EPF8.7.ATO.01	ATO Send EPF		
		EPF8.7.FNDA.01	Fund A Receive EPF

EPF 8.8 Valid Single member EPF message (SMSF to APRA)

ATO		Fund A	
EPF8.8.ATO.01	ATO Send EPF		
		EPF8.8.FNDA.01	Fund A Receive EPF

EPF 8.9 Valid EPF message with Record Count populated (SMSF to APRA)

ATO		Fund A	
EPF8.9.ATO.01	ATO Send EPF		
		EPF8.9.FNDA.01	Fund A Receive EPF

EPF 8.7 Valid Single member EPF message (SMSF to SMSF) *issued with an alternate ESA/Alias case for SMSF receiving fund.

ATO		Fund A	
EPF8.7.ATO.01	ATO Send EPF		
		EPF8.7.FNDA.01	Fund A Receive EPF

EPF 8.8 Valid Single member EPF message (SMSF to SMSF)

ATO		Fund A	
EPF8.8.ATO.01	ATO Send EPF	EPF8.8.FNDA.01	Fund A Receive EPF

EPF 8.9 Valid EPF message with Record Count populated (SMSF to SMSF)

ATO		Fund A	
EPF8.9.ATO.01	ATO Send EPF	EPF8.9.FNDA.01	Fund A Receive EPF

5.6 SEND AND RECEIVE RA AND RAS MESSAGES**5.6.1 RA, RAS and RASOR test cases****RA9.1** Valid member First home super saver (FHSS) scheme**RAS9.1** Release Authority Statement (RAS)**RASOR9.1** RAS successfully processed

ATO		Fund A	
RA9.1.ATO.01	ATO Send RA	RA9.1.FNDA.01	Fund A receive RA
		RAS9.1.FNDA.02	Fund A send RAS
RAS9.1.ATO.02	ATO Receive RAS		
RASOR9.1.ATO.03	ATO Send RASOR		
		RASOR9.1.FNDA.03	Fund A receive RASOR

RA9.2 Valid member Division 293 deferred debt (DivDef)**RAS9.2** Release Authority Statement (RAS) partial release**RASOR9.2** RAS successfully processed

ATO		Fund A	
RA9.2.ATO.01	ATO Send RA	RA9.2.FNDA.01	Fund A receive RA
		RAS9.2.FNDA.02	Fund A send RAS
RAS9.2.ATO.02	ATO Receive RAS		
RASOR9.2.ATO.03	ATO Send RASOR		
		RASOR9.2.FNDA.03	Fund A receive RASOR

RA9.3 Valid member Excess Concessional Contributions (ECC)**RAS9.3** Release Authority Statement (RAS) partial release**RASOR9.3** RAS successfully processed

ATO		Fund A	
RA9.3.ATO.01	ATO Send RA	RA9.3.FNDA.01	Fund A receive RA
		RAS9.3.FNDA.02	Fund A send RAS
RAS9.3.ATO.02	ATO Receive RAS		
RASOR9.3.ATO.03	ATO Send RASOR		
		RASOR9.3.FNDA.03	Fund A receive RASOR

RA9.8 Valid member Division 293 deferred debt (DivDef)			
RAS9.4 Release Authority Statement (RAS)			
RASOR9.4 RAS unsuccessfully processed (SUPER.GEN.GEN.21)			
ATO		Fund A	
RA9.8.ATO.01	ATO Send RA		
		RA9.8.FNDA.01	Fund A receive RA
		RAS9.4.FNDA.02	Fund A send RAS
RAS9.4.ATO.02	ATO Receive RAS		
RASOR9.4.ATO.03	ATO Send RASOR		
		RASOR9.4.FNDA.03	Fund A receive RASOR

RA9.9 Valid member Division 293 deferred debt (DivDef)			
RAS9.5 Release Authority Statement (RAS)			
RASOR9.5 RAS unsuccessfully processed (SUPER.GEN.GEN.21)			
ATO		Fund A	
RA9.9.ATO.01	ATO Send RA		
		RA9.9.FNDA.01	Fund A receive RA
		RAS9.5.FNDA.02	Fund A send RAS
RAS9.5.ATO.02	ATO Receive RAS		
RASOR9.5.ATO.03	ATO Send RASOR		
		RASOR9.5.FNDA.03	Fund A receive RASOR

RA9.10 Valid member First home super saver (FHSS) scheme			
RAS9.6 Release Authority Statement (RAS)			
RASOR9.6 RAS unsuccessfully processed (SUPER.GEN.GEN.21)			
ATO		Fund A	
RA9.10.ATO.01	ATO Send RA		
		RA9.10.FNDA.01	Fund A receive RA
		RAS9.6.FNDA.02	Fund A send RAS
RAS9.6.ATO.02	ATO Receive RAS		
RASOR9.6.ATO.03	ATO Send RASOR		
		RASOR9.6.FNDA.03	Fund A receive RASOR

5.6.2 RA and RAER test cases

RA9.4 Valid member Excess Non-Concessional Contributions (ENCC)			
RAER9.1 Member not found (SUPER.GEN.GEN.21)			
ATO		Fund A	
RA9.4.ATO.01	ATO Send RA		
		RA9.4.FNDA.01	Fund A receive RA
		RAER9.1.FNDA.02	Fund A send RAS
RAER9.1.ATO.02	ATO Receive RAER		

RA9.5 Valid member Excess Non-Concessional Contributions Tax (ENCCT)			
RAER9.2 Member exists but no open account (SUPER.GEN.GEN.22)			
ATO		Fund A	
RA9.5.ATO.01	ATO Send RA		
		RA9.5.FNDA.01	Fund A receive RA
		RAER9.2.FNDA.02	Fund A send RAER
RAER9.2.ATO.02	ATO Receive RAER		

RA9.6 Valid member Division 293 due and payable (Div293)			
RAER9.3 Member exist but DB or non-commutable income stream (SUPER.GEN.RLVR.6)			
ATO		Fund A	
RA9.6.ATO.01	ATO Send RA		
		RA9.6.FNDA.01	Fund A receive RA
		RAER9.3.FNDA.02	Fund A send RAER
RAER9.3.ATO.02	ATO Receive RAER		

RA9.7 Valid member First home super saver (FHSS) scheme			
RAER9.4 Member has account but cannot release for other reasons (SUPER.GEN.RLVR.9)			
ATO		Fund A	
RA9.7.ATO.01	ATO Send RA		
		RA9.7.FNDA.01	Fund A receive RA
		RAER9.4.FNDA.02	Fund A send RAER
RAER9.4.ATO.02	ATO Receive RAER		

APPENDIX A – INTEROPERABILITY TEST CASE DETAIL

Test number	V3	Test	Action	Description	Expected Results
		B2B – Existing gateways			
INTERB1.1	✓	Send a RTR message with correct data	Sender application generates a RTR payload that is sent as an AS4/ebMS3 message via the MSH to the receiver MSH which passes it onto the receiver application for processing	Tests the chain of communications links between sender and receiver application layers. Also tests the formatting and validation code of each application layer (if applicable to that gateway)	Receiver application should have received and processed a RTR message eb:To and eb:From set correctly,
INTERB1.2	✓	Send a RTOR message (if applicable to gateway)	As above plus the Receiver replies with a RTOR message which the Sender of the original message processes	Tests the generation, sending, receiving, routing, validation (if provided by the gateway) of rollover transaction request & outcome response messages	Originators of RTR message should receive appropriate RTOR message
INTERB1.3	Optional	Repeat above test with mismatched payload (if applicable to gateway)	Exercise a negative scenario where payloadInfo part properties contain a target fund ABN/USI that is serviced by the destination gateway but where the XBRL payload data does not match the target fund ABN/USI provided in the PayloadInfo part properties.	Tests behaviour of application layer in regard to how it deals with mismatched payload and payloadInfo part properties data	Receiver should send an RTOR back to the sender with an error explaining that the mismatch.
INTERB1.4	✓	Send an IRR message with correct data	Sender application generates an IRR payload that is sent as an AS4/ebMS3 message via the MSH to the receiver MSH which passes it onto	Tests the chain of communications links between sender and receiver application layers. Also tests the formatting and validation code of each	Receiver application should have received and processed a IRR message

Test number	V3	Test	Action	Description	Expected Results
			the receiver application for processing	application layer (if applicable to that gateway)	
INTERB1.5	✓	Send an IRER message with correct data	As above plus the Receiver replies with a IRER message which the Sender of the original message processes	Tests the generation, sending, receiving, routing, validation (if provided by the gateway) of initiate rollover request & outcome response messages	Originators of IRR message should receive appropriate IRER message
INTERB1.6	✓	Repeat above tests with SMSF data sets	The additional elements defined in an EPF and IRR for SMSFs 1.FinancialInstitutionAccount (Tuple) this group of elements contains the financial institution details for the SMSF. 2.ElectronicContact.ElectronicServiceAddressAlias.Text - this element contains the electronic service address alias provided by the SMSF messaging service provider.	Test the introduction of SMSF entities to rollover conformance.	As per above
INTERB1.7	✓	Fund A v2 and Fund B v1 - incorrect versioning - IRR sent by fund A to fund B in v2	Sender application generates an IRR in v2, however receiving fund is still on v1 so sending solution gateway rejects and does not send the message.	Tests that incorrect version does not get sent to receiving application	Receiver application does not receive IRR
		G2B			
INTERG1.1	✓	Establish https connection between endpoints Note: ATO has already established connectivity for EPF, however for USM, connection also needs to go the other way	Use telnet, wget or curl etc., to establish that appropriate ports are open. Curl can be used to submit a file containing an ebMS3 message and should	The two parties performing the interoperability testing exchange endpoint URLs, certificates and username and password. Each party configures their ebMS3 / AS4 MSH to register the	Both parties have configured their infrastructure to allow the flow of ebbs messages from the internet to their MSH. It is not required that any signal message returned to

Test number	V3	Test	Action	Description	Expected Results
		(because of USMOR) so tests are to be repeated	display the signal message reply	other party. It is recommended that any messages received by the MSH during this phase should not be submitted to the application for processing	the sender is a success message
INTERG1.2	✓	Send a simplified message from the sender MSH to the receiver MSH	Sender MSH pushes uncompressed, unsigned, single payload message with arbitrary payload contents using Username/Password authentication. Receiving MSH should receive the message if no MSH errors. Sender reviews signal message response. Receiver reviews received message, ignoring payload	<p>A simple message with any payload is sent from each party to the other party. This test verifies that to/from PartyId header fields have been set correctly and that the sender and receiver have been configured correctly to send and receive messages to and from the other party. The payload included with the message is ignored by the other party</p> <p>Any complexities in relation to certificates used for signing, compression etc., are eliminated by this simple test. It will, however, be necessary to have the SSL certificate configured to allow https to work</p>	Sender should receive a success receipt. Receiver should receive message without error. Note: as the payload is arbitrary this may cause failures in your application layer if it is connected to the MSH at this time. In this phase of testing it is expected that you will ignore application layer failures
INTERG1.3	✓	Send a simplified message from the sender MSH to the receiver MSH with PayloadInfo part properties configured for a particular source / target fund combination	As above plus the receiver checks that the received message has PayloadInfo part properties correctly configured for a target fund that their application knows about. This is just a manual check as the MSH is not	Parties must communicate to each other the desired target ABN and target USI that they would like in the payload info part properties. Proper values are not strictly required for this test but setting them correctly	As above with manual verification that the target/source ABN/USI values in the partinfo properties are as requested

Test number	V3	Test	Action	Description	Expected Results
			required to perform this type of validation of application layer entities	during this test means that they will not need to be changed in subsequent tests where they are required to match particular entities in application layer	
INTERG1.4	✓	Test message signing and signature validation	As above plus configure MSH to sign messages targeted at the partner you are testing with and validate the signature of messages received from that partner	Tests that message signing and validation works for positive scenarios	Messages should be signed and be successfully validated
			As above plus configure an incorrect certificate for outgoing messages. Send a message and confirm that receiver responds with a SOAP fault	Tests that message validation fails for negative scenarios	Messages should be signed and fail validation
INTERG1.5	✓	Send a USM Rollover message with correct data	ATO generates a USM payload that is sent as an AS4/ebMS3 message via the MSH to the receiver MSH which passes it onto the receiver application for processing.	Tests the chain of communications links between ATO and receiver application layers. Also tests the formatting and validation code of each application layer (if applicable to that gateway)	Receiver application should have received and processed a USM message
INTERG1.6	✓	Send a USM Rollover Outcome Response message with correct data	As above plus the Receiver replies with a USMOR message which the ATO processes	Tests the generation, sending, receiving, routing, validation (if provided by the gateway) of USM and USMOR	ATO should receive appropriate USMOR message
INTERG1.7	✓	Send an Electronic Portability Form message with correct data	ATO generates a RTR payload that is sent as an AS4/ebMS3 message via the MSH to the receiver MSH which passes it onto		

Test number	V3	Test	Action	Description	Expected Results
			the receiver application for processing.		
INTERG1.8	✓	ATO sends EPF v2 and Fund B is v2	Check gateway is correctly filtering messages according to sender and receiver version.	Sender and receiver implementation versions are compatible so message should be sent.	Message is transmitted.
INTERG1.9	✓	ATO sends EPF v2 and Fund B is v3 (INCORRECT)	Check gateway is correctly filtering messages according to sender and receiver version.	Sender and receiver implementation versions are not compatible so message should not be sent.	Message is not sent.
INTERG1.10	✓	ATO sends EPF v3 and Fund B is v3	Check gateway is correctly filtering messages according to sender and receiver version.	Sender and receiver implementation versions are compatible so message should be sent.	Message is transmitted.
INTERG1.11	✓	ATO sends EPF v3 and Fund B is v2 (INCORRECT)	Check gateway is correctly filtering messages according to sender and receiver version.	Sender and receiver implementation versions are not compatible so message should not be sent.	Message is not sent.
INTERG1.12	✓	ATO sends RA message with correct data	ATO generates a RA payload that is sent as an AS4/ebMS3 message via the MSH to the receiver MSH which passes it onto the receiver application for processing.	Tests the chain of communications links between ATO and receiver application layers. Also tests the formatting and validation code of each application layer (if applicable to that gateway)	Message is transmitted.
INTERG1.13	✓	Send a RAS with correct data	Gateway generates a RAS payload that is sent as an AS4/ebMS3 message via the MSH to the receiver MSH which passes it onto the receiver application for processing.	Tests the chain of communications links between ATO and receiver application layers. Also tests the formatting and validation code of each application layer (if applicable to that gateway)	Message is transmitted.

Test number	V3	Test	Action	Description	Expected Results
INTERG1.4	✓	ATO sends RASOR with correct data	ATO generates a RASOR payload that is sent as an AS4/ebMS3 message via the MSH to the receiver MSH which passes it onto the receiver application for processing.	Tests the chain of communications links between ATO and receiver application layers. Also tests the formatting and validation code of each application layer (if applicable to that gateway)	Message is transmitted.