

Superannuation Data Standard Technical Group

November 2022 key messages

File ref: 11/2022

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| Title: | Superannuation Data Standard Technical Group (SDSTG) | |
| Issue date: | 9 th December 2022 | |
| Venue: | WebEx | |
| Event date: | 23 November 2022 | Start: 10.00 am AEST Finish: 11.30 am AEST |

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| Chair: | Larissa Evans | Assistant Commissioner - Engagement and Support – Data and Services Superannuation and Employer Obligations |
| Contact: | Darrel Cunnington | Contact phone: 07 3213 3265 |

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| Industry Attendees: | Matt Rea, Link Group Michael Vernik, Bravura Solutions Grant Doherty, QValent Jack Gao, IRESS Michelle Bower, GNGB Mary Costello, GNGB David Delaney, ASP | Tristan Herbert, CSC Murali Chinnaiyan, GBST Fraser Cooper-Southam, Super Choice Krishneil Mudaliar, BGL Stephen Milburn, SunSuper |
| ATO Attendees: | Larissa Evans, Superannuation & Employer Obligations, ATO Shane Moore, Superannuation & Employer Obligations, ATO Ian Morgan, Superannuation & Employer Obligations, ATO | |

Joe Maxymenko, Superannuation & Employer Obligations, ATO
Tracy Holloway, Superannuation & Employer Obligations, ATO
Alex Barnes, Enterprise Solutions and Technology, ATO
Sangitha Sivayogaraj, Enterprise Solutions and Technology, ATO
Al Ramsay, Superannuation & Employer Obligations, ATO

Next meeting: 8th March 2023

Agenda item: 1 – Welcome and opening remarks

Larissa Evans opened the meeting with an acknowledgment to country and welcomed those in attendance and introduced new members:

- Murali Chinnaiyan from GBST who is replacing Yong Zhang and
- Krishneil Mudaliar from BGL.

Larissa thanked Yong for his contribution to the group during his tenure.

Agenda item: 2 – SDSTG Action Items and Issues Register call over

Shane Moore discussed action items:

27.05.2021-3 – Rationalising BIPs, Guidance Notes, MIGs and User Guides

- ATO has been working with GOM and has identified a number of BIP notes could be included into relevant Data and Payment Standards Schedules. We are also looking to clean up the Guidance note listing to better reflect the current status of each guidance note. Shane will then share draft with the group before Christmas.

22.09.2021-2 – ESA Onboarding

- Alex Barnes advised development work has not yet commenced, with the holdup related to the rationalisation of entry points. There are no ESA providers in the pipeline, however we will continue tracking this issue and provide updates to the group.
- It was also confirmed that DPO's are the contact point for these issues.

23.02.2022-1 – Consolidation and update of SuperStream certified product register

- Joe Maxymenko advised this item has been consolidated and is to be closed.

23.02.22-2 – response messaging where SMSF is not registered with an ESA provider.

- Joe Maxymenko advised this item should be closed from the action items register and moved to the opportunities register for tracking. Agreed to by group.

23.02.22-3 – Guidance around MATS error - CMN.ATO.GEN.200001

- Alex Barnes advised the DPO will make relevant changes to the fact sheet which will be reissued in the next 7 days. ASP will distribute information through their network. Item closed. Fact sheet included in key messages. Refer Attachment 'A'.

23.02.22-5 – Combine ESA Alias and Gateway Alias lists

- Finalised – item closed.

26.05.2022-3 – SFT Update

- To be discussed in meeting. Refer below.

Shane Moore reviewed the issues register:

- All issues remain on hold. No further updates.

Agenda item: 3 – GNGB update

Michelle Bower provided the following key messages:

Annual GNGB BCP Test:

GNGB conducted their annual BCP test on the 17th of November. The test was externally facilitated and attended in person, including Gateway Operators, ATO representatives and APRA. GNGB is currently collating the report including feedback from the participants and observers. Initial feedback was positive demonstrating Gateway Operators familiarity with the BCP plan.

STN ISR Consultation for 2023:

The annual consultation process on proposed changes to the STN Information Security Requirements for 2023 has recently concluded. Gateway Operators were asked to provide feedback on the draft changes, and this was reviewed by GNGB's Security Committee. The Board will review and approve the final requirements for 2023 in the December meeting.

Planning for 2023

GNGB is currently planning industry engagement activities for 2023, including scheduling of the STN Quarterly Cyber forums. In 2023 the invitation to join these will be extended to all interested parties within the ecosystem. We will publish dates to this group once confirmed and extend invite to forums to those in attendance at the SDSTG.

Agenda item: 4 – ASP update

David Delaney provided the following key messages:

ASP is currently focussed on a number of areas with a view to working with Regulators around achieving better outcomes for funds and ultimately members including:

SG contribution shortfall:

ASP has established an SG Shortfall working group, to work with the ATO in identifying practical ways of mitigating the pain points and focussing on ATO data quality concerns to help identify root causes and ultimately facilitate positive outcomes for superannuation members.

Data breaches:

In light of the recent data breaches, and requests from superannuation members to have funds remove all data held on them, ASP will be doing work with funds around the breadth and depth of data held. (For example TFNs).

ASP will also be examining ways to work with the ATO around the potential reduction of the amount of data held. We will look at the timeframes required for it to be held from both a legislative and ATO processing point of view.

Agenda item: 5 – MATS peak period lodgement

Shane Moore provided the following update

- Iress raised an issue experienced by one of their clients concerning MATS balance reporting and intervals for batches which lead to configuration issues and uncertainty.
- Shane noted that current SBR2 improvements being implemented should help remedy this situation. This was an isolated incident and is not reflective of normal processes.

Agenda item: 6 – SFT protocol update NPP Capturing FVS improvements

Shane Moore provided the following update:

- The updated protocol should be cleared by our technical area in the coming weeks.
- Regarding the SFT protocol, GNGB advises they are dealing with similar issues and would like to ensure industry is providing consistent feedback. Michelle Bower will take this issue offline.
- The SFT protocol is at a high level. GNGB and ASP will look into whether further industry response is required.
- Larissa posed the question to the group of what are the priority issues for SFTs. And encouraged the group to continue engaging with the ATO.
- The group would like to see information on SFTs that's easier and clearer to understand. However some funds require more in-depth information. It was agreed that this is both an ATO and Industry wide issue. All stakeholders are aware of the potential impacts for USI's, employers and employees.

- Once the protocol issues, principles of success will be critical. The protocol is a large document containing a lot of information, and the focus is also about the whole operating system. The ATO will work with funds with supporting communication activities.

7 – Update on SBR2 platform improvements for MAAS and MATS

Sangitha Sivayograj provided the following update and key messages:

- A recap was discussed regarding the intended infrastructure changes occurring for both the MAAS and MATS services, mainly around error handling and processing.
- Two new impacts affecting the XBRL format were identified, which reverse the ordering of namespaces and change the schemaRef end tags.
- Sample responses were provided to impacted DSPs for assessment, and updated conformance suites were published earlier in November.
- The scenarios have not changed; however the package was updated with the new expected response format.
- The EVTE cutover will occur on 10th December. DSP's and funds were encouraged to test their solutions in EVTE to ensure they are not impacted.
- The production cutover is scheduled for April 2023.

Agenda item: 8 – Other business

There was a brief discussion regarding:

- PRNs, relevant guidance and refund messaging.
- SBR status page decommissioning
- Web page outages, and
- A reminder that the Super services dashboard is still the main communications tool between industry and the ATO.

The subject of refunds when monies are sent with no data then requiring manual workarounds was raised. Some funds are not taking the issue seriously which is leading to impacts for fund membership. It appears fund compliance around this has deteriorated over time. The ATO advised this is a focus area.

Member-not-found issues and response messages are a concern for some SDSTG members and can take weeks to resolve. ASP will assist their members if required. For non-ASP members, Grant Doherty will look at relevant statistics and advise the group.

Shane Moore advised this could be a compliance matter and that the ATO does have guidance material to assist. Funds should be cognisant of these issues as they are ongoing in nature. The point was raised that industry systems are more mature now and trend / root cause analysis is required to further understand these drivers.

Larissa advised the group that the ATO is looking into this matter and focussing on data quality over the next 12 months for these reasons. SuperStream is maturing, and these issues shouldn't be as prevalent moving forward.

Larissa thanked the group for their involvement over the year and closed the meeting at 11.30 am AEDT.

Next meeting is scheduled for 8th March 2023.



Stuck Messages Fact Sheet

Digital Service Providers

Hello

What is a stuck message?

A stuck message (previously known as an incomplete batch) is an SBR2 transaction where you have received a technical receipt but you have not received the business response after the expiry of the specified polling cycle (see the [ATO Service Registry](#)).

When should I report a stuck message?

You should allow a minimum of 72 hours from the time the message was submitted before reporting a message is stuck. We have automated reporting and remediation processes that identify and attempt to restart a message. Should these fail, manual updates may be invoked. If you have not received a response after 72 hours, it is likely the message has not been identified as incomplete or standard recovery processes were unsuccessful. At this point, it is appropriate for you to report the issue via [Online services for DSPs](#).

What should I do if I receive an error response?

If you have received an error response, the transaction is not classified as a stuck message.

The following guidance provides suggested remediation actions for common error scenarios:

- **Service Action Denied** - Ensure you are using the correct product ID and your product has been whitelisted for the service action. Check the [API system maintenance page](#) for scheduled outages and [ATO dashboards](#) for system issues. You will need to resubmit with a new message ID.
- **Unknown Service Error** - Check the service URL. Check the [API system maintenance page](#) for scheduled outages and the [ATO dashboards](#) for system issues. You will need to resubmit with a new message ID.
- **General Error in Core** - An unexpected ATO system error has occurred. You will need to resubmit with a new message ID.
- **ebMS:0006 - There is no message available for pulling from this MPC at this moment** - Message has not finished processing. Check polling guidelines and re-attempt to pull the response.

- **CMN.ATO.AUTH.007** - You do not have the correct permission to submit this request or retrieve this file. You may attempt to resubmit, and if the same error is received raise a ticket in [Online services for DSPs](#).
- **CMN.ATO.GEN.200001** - An unexpected error has occurred. contact us. You may attempt to resubmit the impacted member records, and if the same error is received raise a ticket in [Online services for DSPs](#).
- **Fault From Agency** - An unexpected ATO error has occurred while processing the transaction. You will need to raise a ticket in [Online services for DSPs](#).

Where can I get help?

- If you are unsure of the appropriate action to take regarding a failed or stuck message, raise a ticket in [Online services for DSPs](#).

Where you are unable to resubmit with a new message ID, report the issue via [Online services for DSPs](#).

Yours sincerely

Digital Partnership Office
Australian Taxation Office

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