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SUPERANNUATION DATA & PAYMENT STANDARD 2012

Employer tax file number integrity check
(EmployerTICK) service user guide



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For further information or questions,
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PURPOSE

The purpose of this document is to supply employers (and their intermediaries) with guidance on how to use the Employer TFN integrity check (EmployerTICK) service to validate employee identity details.

This user guide explains the operation of the EmployerTICK service effective 1 July 2014.

Revised user guides will be released for future enhancements to the service.

BACKGROUND

REASON FOR THE INTRODUCTION OF THE EMPLOYERTICK SERVICE

Critical to the successful implementation of a data standard is the provision of a service enabling employers to validate employee details prior to making the first contribution to a super fund.

The service is web-based and is accessible through enabled financial software products.

Subject to transition arrangements, employers with 20 or more employees are required to make contributions using the Superannuation Data and Payment Standard (The Standard) from a specified date in the Financial Year ending 30 June 2015*.

From 1 July 2015, small employers (19 or fewer employees) will start making contributions using the standard (the measure is subject to further government consultation).

****Note: Existing electronic payroll platforms***

Some existing electronic platforms may be used up to 30 June 2017. Please contact your payroll provider for further details

VOLUNTARY USE OF THE EMPLOYERTICK SERVICE EFFECTIVE 1 JULY 2014

It is not compulsory for employers to validate an employee's details using the EmployerTICK service.

Implementation of EmployerTICK aligns with the mandatory data standards for contributions applying to employers.

Access to the EmployerTICK service will not be limited to large employers in the financial year beginning 1 July 2014.

BENEFITS OF USING THE EMPLOYERTICK SERVICE

The advantages of using the EmployerTICK service include:

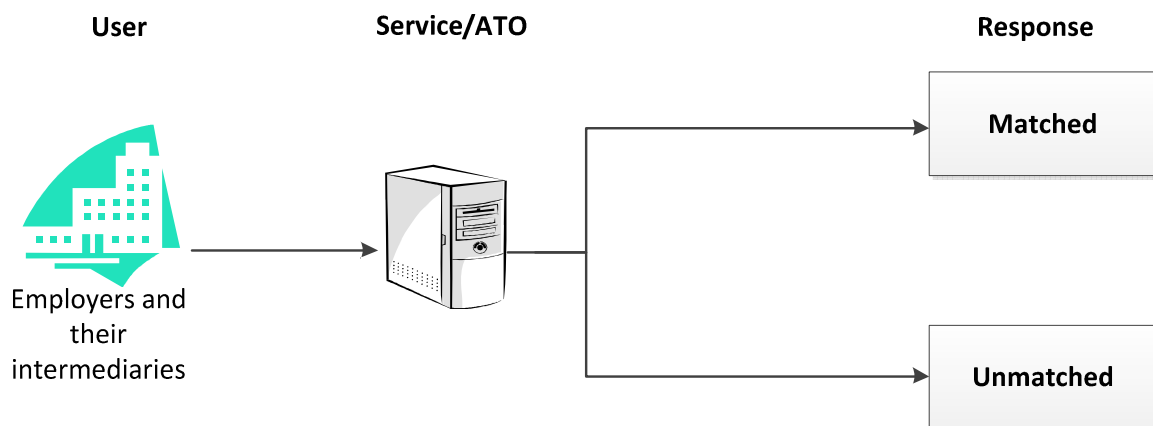
- increasing the quality of information within the superannuation system

- reducing lost super
- reducing the misquotation or misuse of TFNs
- ensuring correct TFNs are assigned to accounts.

SERVICE OVERVIEW

The EmployerTICK service is deployed as a web service for all employers and their intermediaries from 1 July 2014.

Figure 3.1: Transaction flow of the EmployerTICK service.



Note: Appointing an intermediary to act on your behalf (including clearing houses)

Entities required to use the EmployerTICK service can provide authority for an intermediary to act on their behalf using the Access Manager application.

Access Manager is a stand-alone system. You need to log in to Access Manager using an Administrator AUSkey to manage access and permissions (including the authorisation of access to an intermediary).

Information about Access Manager is available at:

<http://www.ato.gov.au/General/Online-services/In-detail/Online/Access-Manager/>

Supporting information can also be accessed by logging in to Access Manager and viewing the Help topic.

Clearing houses

Employers who have an existing relationship with a clearing house or other large intermediary (as determined by the Commissioner of Taxation) may not be required to re-appoint that entity.

USING THE EMPLOYERTICK SERVICE (EFFECTIVE 1 JULY 2014)

Access to the EmployerTICK service is automatically provided to all entities registered with the Tax Office as having employees [the entity is registered for 'Pay as you go withholding (PAYG Withholding)].

Single Service Channel – Access Standard Business Reporting (SBR) enabled EmployerTICK service In order to use the EmployerTICK single service channel you must:

- have an active Australian Business Number (ABN) and be registered as an employer on Australian Taxation Office systems
- be using a software package that is EmployerTICK-enabled
- have an AUSKey that permits access to the service

The EmployerTICK service is a web-based service accessed through your financial software. The service utilises the Standard Business Reporting (SBR) infrastructure, and you will either need to build the software using the information from the SBR website or purchase software from a developer who has done this for you.

For more information on how to build the software or to identify software developers who have certified software for the EmployerTICK service, visit <http://www.sbr.gov.au/software-developers>

BULK SERVICE CHANNEL – UPLOAD OF FILE USING BUSINESS PORTAL DATA TRANSFER FACILITY

In order to use the EmployerTICK bulk service channel you must:

- have an active Australian Business Number (ABN) and be registered as an employer on Australian Taxation Office systems
- be able to construct a EmployerTICK file which conforms with the technical specifications
- have an AUSKey (*Administrator or Standard*) that permits access to the EmployerTICK service
- access the Business Portal

Every bulk file submitted for processing is validated to ensure it conforms to the mandatory data requirements.

The bulk channel utilises the ATO Business Portal Data transfer facility (DTF). The employer (or another entity reporting on its behalf with the relevant business appointment – the 'Sender') first logs into the ATO Business Portal (with the relevant AUSKey).

The file is then uploaded using the DTF.

The majority of responses for bulk transactions will be supplied within 24 to 48 hours. However, response times will vary depending on the size of the file and the current processing load.

For more information on how to build the software or to identify software developers, who have certified software for the EmployerTICK service, visit:

<http://www.sbr.gov.au/software-developers>

For Information about the ATO Business portal Data transfer facility, please see:

<http://www.ato.gov.au/General/Gen/Data-transfer-facility/>

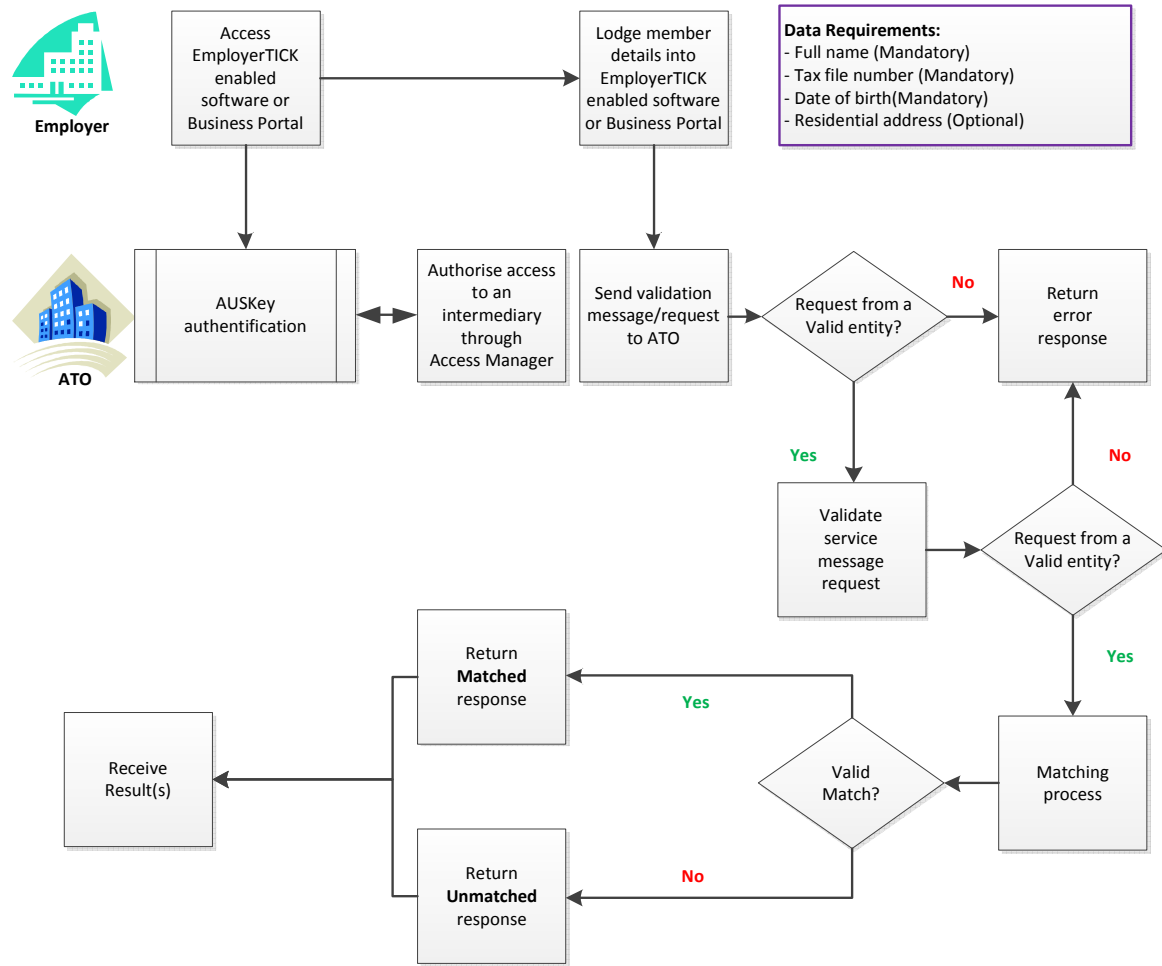
Note: Sender utilising bulk channel may only submit transactions for one employer per file

A sender submitting EmployerTICK transactions through the Business Portal DTF (bulk service channel) may only include EmployerTICK requests for one employer per file.

INFORMATION REQUIREMENTS TO USE THE SERVICE

For comprehensive message requirements see Attachment A: Data specification

This diagram shows the design for the EmployerTICK service:



Where mandatory employee information is not provided, the request from the employer (or the employer’s intermediary) will be rejected and an error response message returned.

Hint:

Providing an employee’s address and other optional information increases the likelihood of the ATO systems providing a ‘Matched’ response.

Note: Default or Invalid TFNs

In many circumstances an employer will be unaware that an employee's TFN may be a default or invalid TFN.

There are circumstances where an employer could reasonably be expected to conclude that the TFN quoted is invalid for that member. An example is when an employee provides a TFN exemption code (such as 111 111 111 or 333 333 333).

Default and invalid TFNs must not be validated through the service.

The service cannot be used if the employee does not provide a tax file number.

RESPONSE

The EmployerTICK service will compare member details received in the request message against member information held in the ATO client register.

ATO data matching processes are used to determine whether the employee details provided can be matched against ATO records to the appropriate level of confidence.

The EmployerTICK service will provide one of two possible responses for a successfully validated request:

- matched
- unmatched.

Matched

If the member details supplied are matched to an ATO client with a high level of confidence a 'Matched' response will be returned through the system. A 'Matched' response confirms the TFN data held by the employer is correct.

There is no need to update your records.

Unmatched

A response of 'Unmatched' means the ATO was unable to match the employee details provided to ATO records with an appropriate level of confidence. The discrepancy could be caused by either the employer or the ATO having incorrect data.

The ATO may have been unable to match the member details for the following reasons:

- your employee has provided you with incorrect details
- the records held by the ATO are incorrect
- the tax file number has a protected, compromised or duplicate status on ATO systems
- the ATO data matching system cannot establish a single match to a high enough level of confidence.

The TFN should only be deleted from your records if it fails the TFN algorithm check. You are otherwise encouraged to check the information with your employee and revalidate.

To update or confirm details on ATO systems, individuals should phone 13 28 61. They should have a copy of a personalised Tax Office document (such as an income tax assessment from the last three years) for identity purposes.

Further information on updating details for individuals is available from the ATO's web site at: <http://www.ato.gov.au/Individuals/Income-and-deductions/In-detail/Your-tax-file-number/Updating-your-details-with-us/>

Further information provided as part of the bulk service response file

One or two response files will be created for each EmployerTICK request file processed by the bulk service.

The first response file (Validation report) will contain the results of the validation rules for each of the EmployerTICK request documents in the request file, either:

- CMN.ATO.GEN.OK, or
- error and/or warning messages from authentication, XBRL validation or business validation rules applied to the EmployerTICK request business document.

The Validation report response file will be available within minutes or hours of the request file being uploaded (depending on file size, quality of data and processing loads).

If any EmployerTICK requests are passed to the ATO matching system, a second response file containing the processing results (The Processing Results bulk response file) will be created.

The Processing results bulk response file contains the results of the identity matching process and provides error or warning messages for requests that failed validation (unchanged from the Validation report).

The timeframe for the service response also differs according to file size, data quality and processing loads. Most responses will be within 24 – 48 hours.

The AUSKey holder that uploaded the bulk request message file may elect to receive an email notifying them when each response file is available to be downloaded.

HOW TO MANAGE RESPONSES

Where you use the EmployerTICK service to validate employee details you should treat the responses as follows:

Matched	Proceed with first contribution
Unmatched	Refer to your internal business processes

You may request further information from the employee to support first contribution

The TFN should be deleted from your records if it fails the algorithm check (the system will return an error message)

SERVICE TERMS AND CONDITIONS

Your access to the Service is governed by the terms and conditions. Use of the Service signifies acceptance of the terms and conditions.

The terms and conditions form part of the legal framework of appropriate use and compliance action may be taken where breaches are detected. Controls are in place to identify suspected fraud and address unauthorised use or access.

The current terms and conditions for use of the EmployerTICK service are available on our website at www.ato.gov.au/superstream

When you use your AUSkey you do so in accordance with the AUSkey terms and conditions which are available on the ABR web site at http://help.abr.gov.au/BC/Index/AUSkey/Terms_and_conditions/

ATTACHMENT A: DATA SPECIFICATION

Intermediary Details

Data element	1. Intermediary details [Mandatory data element]
EmployerTICK description	The Australian Business Number (ABN) of the entity
EmployerTICK format	Numeric, 11 digits
Business context	The ABN of the sender of the request

Reporting Party Details

Data element	1. Reporting party details [Mandatory]
EmployerTICK description	ABN of the entity
EmployerTICK format	Numeric, 11 digits
Business context	The ABN of the employer requesting validation. Note: the intermediary and reporting party may refer to the same entity

Employee's details

Data element	1. Tax File Number (TFN) identifier [Mandatory]
EmployerTICK description	TFN of employee
EmployerTICK format	Numeric, nine (9) digits
Business context	TFN of the employee
Data element	2. Birth Day of Month [Mandatory]
EmployerTICK description	Day of month of employee's birth
EmployerTICK format	Date format dd
Business context	The day of the month of the employee's birth
Data element	3. Birth Month [Mandatory]
EmployerTICK description	Month of birth
EmployerTICK format	Date format mm
Business context	The month of birth of the employee
Data element	4. Birth Year [Mandatory]
EmployerTICK description	Year of employee's birth
EmployerTICK format	Date format yyyy
Business context	The year of birth of the employee
Data element	5. Family name [Mandatory]
EmployerTICK description	Family Name of employee
EmployerTICK format	Alphanumeric
Business context	The Family Name of the employee
Data element	6. Given Name [Mandatory]
EmployerTICK description	Given Name of employee
EmployerTICK format	Alphanumeric
Business context	The Given Name of the employee
Data element	7. Other Given Name [Mandatory if known]
EmployerTICK description	Other Give Name of employee
EmployerTICK format	Alphanumeric
Business context	The Other Given Name of employee
Data element	8. Address Details - Line 1 [Optional]
EmployerTICK description	Line 1 of the Address of the employee
EmployerTICK format	Alphanumeric, up to 38 characters
Business context	The address of the employee

Data element	9. Address Details - Line 2 [Optional]
EmployerTICK description	Line 2 of the Address of the employee
EmployerTICK format	Alphanumeric, up to 38 characters
Business context	The address of the employee
Data element	10. Address Details - Locality Name [Optional]
EmployerTICK description	Locality of employee
EmployerTICK format	Alphanumeric
Business context	The locality of the employee
Data element	11. Address Details – Postcode [Optional]
EmployerTICK description	Postcode of employee
EmployerTICK format	Numeric, four (4) digits
Business context	The postcode of the employee's address
Data element	12. Address Details - State or Territory Code [Optional]
EmployerTICK description	State or Territory of employee
EmployerTICK format	Set Values: ACT / NSW / NT / QLD / SA / TAS / VIC / WA
Business context	The State or Territory of the employee
Data element	13. Address Details – Country Code [Optional]
EmployerTICK description	Country of employee
EmployerTICK format	Alphanumeric: Country of Member
Business context	The Country of the employee

Hint: Address and other optional information

Providing your member's address and other optional information increases the likelihood of our systems establishing a 'Matched' response.

If you choose to provide an address, the 'Country Code' field is optional. All other fields are mandatory.

ATTACHMENT B: LINKS TO TECHNICAL DOCUMENTATION AND FURTHER INFORMATION

The EmployerTICK Service page on the SBR website (including message implementation guide):

<http://www.sbr.gov.au/software-developers/developer-tools/ato/ato-superannuation-data-and-payment-standards/employertick>

Information about Stronger Super is also available from The Treasury:

<http://strongersuper.treasury.gov.au/content/Content.aspx?doc=home.htm>

Information about data standards is available from the ATO website:

<http://www.ato.gov.au/Super/Data-standards/>

Frequently asked questions regarding Standard Business Reporting:

http://www.sbr.gov.au/_data/assets/pdf_file/0019/37234/20100930-ato-general-faq-v2.pdf

Further information about Access Manager:

<http://www.ato.gov.au/General/Online-services/In-detail/Online/Access-Manager/>

Key dates for the data and e-commerce standard:

<http://www.ato.gov.au/Super/Data-standards/In-detail/What-you-need-to-know/Overview/Key-dates-for-new-data-standards/>

The benefits to developers of using SBR-enabled software:

<http://www.sbr.gov.au/software-developers/benefits-to-developers>

Full list of SBR-enabled reports:

<http://www.sbr.gov.au/about-sbr/what-is-sbr/sbr-enabled-reports>

ATTACHMENT C: TEST ENVIRONMENT

Business-to-government transactions are conducted using the existing Standard Business Reporting (SBR) infrastructure. SBR is a multi government agency initiative providing a single method of communication for financial transactions and obligations.

The EmployerTICK form can be developed and tested in the SBR test environment prior to the product release. For a comprehensive description of the interaction between SBR and the government's Stronger Super reforms visit: www.sbr.gov.au/software-developers

Once registered with SBR you will be given access to:

- a software developer kit
- a test environment
- test AUSkey credentials
- if you wish, forms for other obligations such as the ATO's 'Business Activity Statement'.

You will have all the tools to develop these additional forms – either in-house or as a commercial product. SBR can also supply you with a specific sub-licence for a XBRL processor to further facilitate development.

For details of further benefits:

www.sbr.gov.au/software-developers/benefits-to-developers

For a full list of SBR-enabled reports:

<http://www.sbr.gov.au/about-sbr/what-is-sbr/sbr-enabled-reports>

ATTACHMENT D: GLOSSARY

Term	Definition
AUSkey	AUSkey is an authentication solution for business-to-Government online services
Employer	you employ a person under a verbal or written employment contract on a full-time, part-time or casual basis (definition for superannuation guarantee purposes)
Intermediary	An organisation appointed by a superannuation fund authorised to act on the fund's behalf. This may include, but is not limited to, administrators and clearing houses.
Matched	A match has been found for the TFN supplied. Also known as a 'Valid' response.
Member	A member of a super fund, the depositor of an approved deposit fund, the holder of an RSA or a member of a SMSF.
Super fund	Includes an APRA-regulated superannuation fund, approved deposit fund and an RSA provider.
SuperStream Data Standards	<p>SuperStream Data Standards</p> <p>The new data standards are part of the Government's Super Reform package. They will provide a consistent, reliable electronic method of transacting linked data and payments for superannuation. The goal is to improve the efficiency of the superannuation system, to improve the timeliness of processing of rollovers and contributions, and reduce the number of lost accounts and unclaimed monies.</p> <p>The standard is a set of minimum conditions for data and payment transmission including a minimum set of prescribed data.</p> <p>Broadly, the standard has five aspects:</p> <ul style="list-style-type: none"> A standard set of business terms and definitions (the 'definitional taxonomy') A standard set of data message formats (the 'reporting taxonomy' set out in relevant message guides) A messaging services standard which sets out requirements for message packaging, transport, security and receipting of messages A standard format for electronic payments Enabling Services (referred to as 'validation Services').
Unmatched	A match has <u>not</u> been found for the TFN supplied. Also known as a 'Not Valid' response.

ATTACHMENT E: SECURITY GUIDELINES

The EmployerTICK Service (the Service) is a secure Service protected by AUSkey which is an online security credential.

We recommend you review this information regularly. We will update it as we become aware of issues and relevant information, which will help you maintain the highest levels of security.

SECURITY CREDENTIALS

A security credential is an electronic file and/or software used for identification purposes when transacting over the internet.

A security credential is used to establish a secure environment for online transactions. This provides you with assurance that your online transactions with us are safe by letting us know we are interacting with the right person for each transaction.

Modern security credentials make fraud very difficult. For someone to gain access to our online services as you, they would have to be using a computer on which the credential is installed and they would have to know your password.

Every person associated with your superannuation entity who wants to deal with us online on behalf of your Australian Business Number (ABN) will need their own security credential.

LOOKING AFTER YOUR SECURITY CREDENTIAL

The security of the information you want to guard through the use of a credential is only as good as the care you take to keep this credential protected.

Never disclose your password to anyone including our staff or the provider of your credential.

When deciding on a password, make sure that it is sufficiently complex. Your password must:

- be at least 8 characters long
- contain numeric as well as alphabetic characters
- have a mix of upper and lower case alphabetic characters
- have at least one special character (for example, !, @, # , etc.).

SECURITY CREDENTIAL EXPIRY

AUSkey holders

As long as you use your AUSkey at least once each year, it will not expire. If your certificate does expire you will need to register for a new one.

Your role in securing your information

Technology and computers cannot safeguard information automatically. You need to protect your own and your members' information related to using this Service.

We strongly recommend that you:

- never disclose your AUSkey password to anyone, including us or the credential's issuer
- do not download your credential to general use computers. Access the portal only from computers to which you have exclusive use, or that you share under one of the following conditions:
 - the computer is configured for multiple users
 - each person has a unique account
 - other users are individuals you can trust
- keep your computer software up-to-date, especially with security upgrades and patches - these are usually available from the licensor of the software
- ensure that your anti-virus software is current and running on your computer at all times - scan new programs/files for viruses before opening, running, installing or using them
- ensure that you have anti-intrusion software (commonly referred to as a 'firewall') to provide added security around your information and protection from misuse of your identify
- avoid opening, running, installing or using programs/files you have obtained from a person or organisation unless you are positive that you can trust them, and
- conduct secure disposal practices such as cleansing of the hard disk on disposal of your computer.

What to do if someone obtains your password or your computer is stolen

This situation should be treated with the same degree of urgency that you would give to the loss of a credit card.

If you still have access to your AUSkey, you should login to www.auskey.abr.gov.au and cancel your credential. You will then need to register for a new AUSkey.

If you no longer have access to your AUSkey:

- any administrator AUSkey holder within your business can cancel your AUSkey online at www.auskey.abr.gov.au.

If you are an Administrator AUSkey holder, and there are no other Administrator AUSkey holders within your business, phone '1300 AUSkey' (1300 287 539) to have your certificate cancelled. You will need to satisfy identity checks before we will cancel your AUSkey on your behalf.