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USING OTHER DETAILS TUPLE TO LINK IRR AND RTR

PURPOSE

This document provides guidance on the use of the *SuperannuationRolloverOtherDetails* tuple in a Rollover Transaction Request (RTR) messages to allow an initiating fund to link an RTR to the initiating request.

BACKGROUND

A RTR can be triggered by a number of ways, for example, by member requesting directly with the transferring or receiving fund (e.g. via paper form), an Electronic Portability Form (EPF) or an IRR message.

Under SuperStream each request message and its corresponding outcome / error response are linked via a Conversation ID. However there is no direct linkage between an Initiate Rollover Request (IRR) and a Rollover Transaction Request (RTR).

ISSUE

An issue currently exists under SuperStream where IRR messages are left 'orphaned' if the IRR can't be matched to a RTR based on the data being provided (e.g. member name and date of birth etc.). The most common cause is:

- an IRR is submitted by fund A based on advice from a member containing a USI to the fund B; and
- fund B receives the IRR and sends a RTR from a different USI to fund A

Since there is no direct linkage between an IRR and the corresponding RTR, it is not possible for funds to reconcile with absolute certainty that all IRR message have been processed.

RECOMMENDED GUIDANCE

To address this issue it is recommend that, when a fund sends an RTR, one or more *SuperannuationRolloverOtherDetails* tuples MAY be included to provide information about the initiation of the RTR.

Where the tuples are included, the convention specified below MUST be used to populate the tuples.

SuperannuationRollover.OtherDetails.Description	SuperannuationRollover.OtherDetails.Text
"InitiatorType"	<ul style="list-style-type: none"> The value must be set to "IRR" if the RTR is initiated by an IRR. The value must be set to "Other" for all other initiators (e.g. EPF)
If the InitiatorType is "IRR", the following additional tuples must be provided	
"InitiatorConversationID"	Conversation ID from the IRR
"InitiatorPartID"	Part ID from the original IRR
"InitiatorContextID"	Member Context ID from the original IRR

Example 1:

- Fund A sends an IRR to Fund B with USI 111111111001 with Conversation ID of "Rollover.12345678901.000000001" and Part "Part1"
- One of the members in the original IRR, represented in member context "CONTEXT06", is actually a member of USI 111111111002 not 111111111001
- Fund B responds with RTR to Fund A from USI 111111111002

Four *SuperannuationRolloverOtherDetails* tuples must be provided with the following information:

SuperannuationRollover.OtherDetails.Description	SuperannuationRollover.OtherDetails.Text
InitiatorType	IRR
InitiatorConversationID	Rollover.12345678901.000000001
InitiatorPartID	Part1
InitiatorContextID	CONTEXT06

Example 2:

An RTR is initiated by an EPF.

A *SuperannuationRolloverOtherDetails* tuple with the following information must be provided.

SuperannuationRollover.OtherDetails .Description	SuperannuationRollover.OtherDetails.Text
InitiatorType	Other

Consolidated RTRs

In some cases, transferring funds may aggregate a number of requests into a single outgoing RTR. The RTR will contain a number of member rollovers that may have different initiation (e.g. some triggered by IRR and others triggered by EPF).

The tuples are included for each member rollover and therefore the proposed approach allows for a single RTR to clearly indicate the initiator type for each member.

If an RTR contains multiple requests, with both IRR and non-IRR initiated requests, each member context will contain its own grouping of tuples as described above.

RELEASE NOTE

This guidance note applies only to messages constructed according to the specification in Rollover Message Implementation Guide.v2.0

This guidance note has an immediate effective date of its release date.

The immediate effective date is based on the fact that implementation of this guidance note by a sending fund is optional but, if implemented, the convention described above must be used.

The optional status of this guidance note may be reviewed in future updates to the Rollover Message Implementation Guide.