



Exception clearance guide

This business process guide will help non-participating employers to understand the error codes they could receive when submitting contributions, their meaning and what action needs to be taken.



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Document control

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1 Introduction

UniSuper is able to receive and process certain member data updates sent electronically via a Member Registration Request (MRR), as well as receive Contribution Transaction Requests (CTR) and payments from an employer. When we receive member updates or contributions, validations are performed to ensure we can complete processing and allocation.

When these validations fail, errors are raised that need to be addressed before member updates can occur or contributions can be allocated.

This guide should be read in conjunction with the Outstanding Errors and Warnings report you have received, and describes what actions you need to take to clear the errors raised.

2 Clearing errors

The Outstanding Errors and Warnings report will be automatically emailed* to you once the contribution data and payment have both been received. Note: this will be mailed where your email address is not recorded.

This report contains detailed information on validations that have failed, resulting in the data update or contribution not being processed. These validations require action from you.

Information in the report includes exceptions raised as a result of invalid, inadequate, missing or unexpected data or details about unallocated contributions as a result of an error. If contribution related errors are not cleared by the Refund Date, the Unallocated Amounts will be refunded.

The tables in sections 2.1 and 2.2 of this document detail each of the error codes and the actions required to clear them.

Members may be contacted where they are required to provide information in order for the error to be cleared, such as, where they have changed their name and haven't notified us.

The following steps will assist you in providing the required information to clear any errors:

- Check the error code number in the Outstanding Errors and Warnings report.
- Refer to the relevant error code in the tables in sections 2.1 and 2.2 on the next page.
- Determine the applicable scenario.
- Follow the action required to clear the error (if applicable).

Where you are submitting additional information to us, please use the email template provided in Section 4 of this document.



If errors are not cleared by the Refund Date, any Unallocated Amount will be refunded to the bank account or clearing house that the *payment was received from*.

Where we do not hold banking details on file, your payment will be refunded via cheque.

* We will use the email address you supplied in the MRR or CTR.

3 Member update error codes

The table below details a list of error codes and the meanings:

| Error code | Description and meaning | Possible scenarios | Action required to clear the error |
|------------|--|--|---|
| 990540 | <p>“Commencement date cannot be prior to existing date joined fund”</p> <p>This occurs where a member already has an employment history on our system and an MRR is received from another employer. This error will occur if the employment start date in the message is prior to the date when the member first joined UniSuper.</p> | The date provided in the file is incorrect. | Resubmit the MRR with the correct information. OR If data is submitted via a clearing house, check if they have the correct information. If not, provide them with the correct details and then instruct the clearing house to resubmit the MRR. OR Contact us on 1800 331 685. |
| | | Details were submitted in error. | No action required. The data will be rejected on day 23. |
| 990503 | <p>“No member found – member unknown”</p> <p>We are unable to identify a member record to match the details provided in the contribution file.</p> | Employee has a UniSuper account and further details need to be provided to locate the account. | Provide the information using the template located in Section 4 of this document to email enquiry@unisuper.com.au |
| | | Contribution was submitted in error. | No action required. The contribution will be refunded 23 days after the contribution was received. |
| 990505 | <p>“Member number does not match. File - <memberno1> - UniSuper - <memberno2>”</p> <p>The member number supplied in the file does not match to a member number on our records.</p> | The member number in the file is incorrect. OR The member number in the file is correct and the member details were incorrect. | Provide the information using the template located in Section 4 of this document to email enquiry@unisuper.com.au |
| | | Contribution was submitted in error. | No action required. The contribution will be refunded 23 days after the contribution was received. |

| Error code | Description and meaning | Possible scenarios | Action required to clear the error |
|------------|--|--|---|
| 990506 | <p>“Surname does not match. File - <surname1> UniSuper - <surname2>”</p> <p>The surname on the contribution file does not match the surname on our records.</p> | The surname provided in the contribution file is incorrect. | Provide the information using the template located in Section 4 of this document to email enquiry@unisuper.com.au |
| | | The surname on UniSuper’s member records is incorrect. | Member will receive a letter requesting they update their details. The member must provide a Change of Details form to update our member records. No action required. Await member update. |
| | | The given name initial provided in the contribution file is incorrect. | Provide the information using the template located in Section 4 of this document to email enquiry@unisuper.com.au |
| 990507 | <p>“Given name initial does not match. File - <initial1> UniSuper <initial2>”</p> <p>The given name initial supplied in the file does not match the initial on our records.</p> | The given name on UniSuper’s member records is incorrect. | Member will receive a letter requesting they update their details. The member must provide a Change of Details form to update our member records. No action required. Await member update. |
| | | Contribution was submitted in error. | No action required. The contribution will be refunded 23 days after the contribution was received. |
| | | The Date of Birth provided in the contribution file is incorrect. | Provide the information using the template located in Section 4 of this document to email enquiry@unisuper.com.au |
| 990508 | <p>“Date of birth does not match. File - <dob1> UniSuper <dob2>”</p> <p>The Date of Birth supplied in the file does not match the Date of Birth on our records.</p> | The Date of Birth on UniSuper’s member records is incorrect. | Member will receive a letter requesting they update their details. The member must provide a Change of Details form to update our member records. No action required. Await member update. |
| | | Contribution was submitted in error. | No action required. The contribution will be refunded 23 days after the contribution was received. |
| | | | |

| Error code | Description and meaning | Possible scenarios | Action required to clear the error |
|------------|--|---|---|
| 990509 | <p>“Tax file number does not match”</p> <p>The Tax File Number (TFN) supplied in the file does not match the TFN on our records.</p> | The TFN provided in the contribution file is incorrect. | Provide the information using the template located in Section 4 of this document to email enquiry@unisuper.com.au |
| | | The TFN on UniSuper’s member records is incorrect. | Member will receive a letter requesting they provide their TFN to update our member records. No action required. Await member update. |
| | | Contribution was submitted in error. | No action required. The contribution will be refunded 23 days after the contribution was received. |
| 990511 | <p>“Member has exited the fund”</p> <p>The contribution has been matched to a member account which is exited.</p> | | No action required. The contribution will be refunded 1 day after the contribution was received. |
| 990606 | <p>“No TFN Stored for Member”</p> <p>Post tax contributions have been received for a member where no TFN has been supplied.</p> | A valid TFN can be supplied. | Provide the information using the template located in Section 4 of this document to email enquiry@unisuper.com.au OR No action required as the member will receive a letter requesting TFN. Await member update. |
| | | No valid TFN can be supplied. | No action required. The contribution will be refunded 23 days after the contribution was received. |
| 990607 | <p>“Work Test: Member Conditions not met”</p> <p>Member contributions have been paid for a member who is over 65 who has not made a valid Work Test declaration.</p> <p>NOTE: A letter will be sent to the member requesting the Work Test be completed. If the Work Test is received within 23 days of the contribution being received it will not be refunded.</p> | The member has met the Work Test conditions. | No action required. The member will receive a letter requesting the Work Test Declaration. Await member update. |
| | | The member has not met the Work Test conditions. | No action required. The contribution will be refunded 23 days after the contribution was received. |

| Error code | Description and meaning | Possible scenarios | Action required to clear the error |
|------------|---|---|--|
| 990608 | <p>“Over 75 non-mandated contribution” Non-employer contributions have been received for a member over 75. Only mandated employer contributions can be received for members over 75.</p> | The date of birth on the member’s account is correct. | No action required. The contribution will be refunded 1 day after the contribution was received. |
| | | The date of birth on the member’s account is incorrect. | The member must provide a Change of Details form to update our member records. Contribution will need to be re-submitted as the contribution will be refunded 1 day after the contribution was received. |
| 990625 | <p>“Mandatory contribution information – <field> – has not been provided or is incomplete. Please provide correct or complete information”</p> | | |
| 990626 | <p><field> variables are:</p> | Mandatory contribution information was not supplied | In line with SuperStream legislation, you must make all reasonable efforts to provide this information from your employee. Once you have the data you need to supply it with all future contributions. |
| 990627 | 990625 – Full name | | |
| 990628 | 990626 – Address | | |
| | 990627 – Tax file number 990628 – Phone number | | |

* Alternatively, you may download an *Application for reclassification or refund of contribution* form where you require the monies prior to the Refund Date. This is available in the Quick Links section of the *Information for non-participating employers* page of [our website](#).

4 Email template for submitting information to clear contribution errors

Where you are submitting information to us to clear a contribution error, please copy and paste the template below into an email, complete the details required and send to enquiry@unisuper.com.au

Subject Line: Employer Number/Contribution Processing

Dear UniSuper

Please find the requested information in relation to UniSuper file reference XXXXX outlined below.

| Error Code | Member Name (as shown on report) | Updated Information |
|------------|-------------------------------------|---------------------|
| | | |
| | | |

Our Employer details have been provided for validation.

Employer Number:

Employer ABN:

Employer Address:

<employer sign off>



HELPLINE

1800 331 685

WEBSITE

unisuper.com.au

EMAIL

enquiry@unisuper.com.au

ADDRESS

UniSuper

Level 1, 385 Bourke Street

Melbourne VIC 3000 Australia

The information in this publication is of a general nature only and is not intended to address the circumstances of any particular individual or entity. Although we endeavour to provide accurate and timely information about changes affecting superannuation, we do not guarantee that this guide is accurate at the date it is received or that it will continue to be accurate in the future.

The information in this employer guide has been prepared by UniSuper Management Pty Ltd ABN 91 006 961 799 AFSL No. 235907 on behalf of the trustee of the Fund.

To the extent that the information in this document contains information which is consistent with the UniSuper Trust Deed and Regulations (together, 'the Trust Deed'), the Trust Deed will prevail.

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