Exception clearance guide

November 2023

Use this guide if you're an employer who's made a contribution
to UniSuper and you've received notification of an error.

Contents

Making contributions to UniSuper

As an employer, you can send member registration requests (MRRs), contribution transaction requests (CTRs), and payments to UniSuper via your clearing house.

When we receive member updates or contributions, we perform validations to make sure we can process and allocate the contributions. If these validations fail, it causes an error that needs to be addressed before we can proceed.

Contribution errors

Each time you submit contribution data and payment, we'll send an *Outstanding errors and warnings report* to the email address you supplied with your request. The report will be mailed to you if we don't have an email address recorded.

The report provides information on any failed validations which prevents a data update or contribution from being processed. The failed validation can result from invalid, inadequate, missing, or unexpected data or details.

In most instances, you'll need to take action to ensure the error is resolved. We may also contact the affected member directly for the error to be resolved, for example, if they changed their name and didn't notify us.

How to resolve a contribution error

If there's an issue allocating your contributions or processing your data update, you may need to supply UniSuper with some additional information so we can resolve the error. Follow these steps to work out what information you need to supply:
1. Check the error code in your *Outstanding errors and warnings report*.
2. Refer to the relevant error code in the table on the following pages and determine the applicable scenario.
3. Follow the action required to resolve the error (if applicable).

PROVIDING ADDITIONAL INFORMATION

If you need to submit additional information, please email the following details to **adminservices@unisuper.com.au**:

- file reference number
- error code
- member name (as shown on the *Outstanding errors and warnings report*)
- updated or missing information
- employer details (employer number, ABN, and address).

If an error isn't resolved by the refund date, we'll refund any unallocated amount to wherever the payment originated from. This may be your bank account or a clearing house.

The refund date will differ depending on the error. For example, the contribution may be refunded either one day or 23 days after we receive it. Please refer to the *Error codes and their meanings table* on the following pages for more information.

Contributions or data submitted by mistake

If you received an error code for a contribution submitted by mistake — you don't need to take any action — the contribution will automatically be refunded, which generally happens 23 days after we receive it. If you'd like the refund sooner, please complete the *Application for reclassification or refund of contributions* form available at **unisuper.com.au/forms**.

If you submitted data by mistake, no action is required – the data will be rejected, which generally happens 23 days after we receive it.

Error codes and their meanings

Here is a list of error codes, their meanings and the action required to resolve the error:

ERROR CODE	DESCRIPTION AND MEANING	POSSIBLE SCENARIO	ACTION REQUIRED TO RESOLVE THE ERROR
990503	**"No member found – member unknown"** We're unable to identify a member record to match the details provided in the contribution file.	Employee has a UniSuper account and further details need to be provided to locate the account.	Email the additional member information to **adminservices@unisuper.com.au**. Refer to the *Providing additional information* section on page 4 to see what details to include in your email.
		Employee doesn't have a UniSuper account.	If the employee wants to join UniSuper, they can open a Personal Account via the UniSuper website. Contribution will be rejected but can be resubmitted if the employee creates a UniSuper account.
990505	**"Member number does not match. File - <memberno1> - UniSuper -<memberno2>"** The member number supplied in the file doesn't match to a member number on our records.	The member number supplied in the file is incorrect. OR The member number supplied in the file is correct, but the other member details were incorrect.	Email the correct information to **adminservices@unisuper.com.au**. Refer to the *Providing additional information* section on page 4 to see what details to include in your email.
990506	**"Surname does not match. File -<surname1> UniSuper - <surname2>"** The surname on the contribution file doesn't match the surname on our records.	The surname supplied in the file is incorrect or isn't the member's legal name.	Update the appropriate details in your payroll system, as required. Email the updated information (and confirmation that you've updated payroll details and that future contributions will have the correct details) to **adminservices@unisuper.com.au**. Refer to the *Providing additional information* section on page 4 to see what details to include in your email.
		The surname on UniSuper's records is incorrect.	Member will receive a letter requesting they update their UniSuper account details. No employer action required — await member update.

ERROR CODE	DESCRIPTION AND MEANING	POSSIBLE SCENARIO	ACTION REQUIRED TO RESOLVE THE ERROR
990507	**"Given name initial does not match. File - \<initial1\> UniSuper \<intial2\>"** The given name initial supplied in the file does not match the initial on our records.	The given name initial in the file is incorrect.	Update the details in your payroll system, as required. Email the correct information to **adminservices@unisuper.com.au**. Refer to the *Providing additional information* section on page 4 to see what details to include in your email.
		The given name on UniSuper's records is incorrect.	Member will receive a letter requesting they update their UniSuper account details. No employer action required — await member update.
990508	**"Date of birth does not match. File -\<dob1\> UniSuper \<dob2\>"**	The date of birth in the file is incorrect.	Update the details in your payroll system, as required. Email the correct information to **adminservices@unisuper.com.au**. Refer to the *Providing additional information* section on page 4 to see what details to include in your email.
		The date of birth on UniSuper's records is incorrect.	Member will receive a letter requesting they update their UniSuper account details. No employer action required — await member update.
990509	**"Tax file number does not match"** The tax file number (TFN) supplied in the file does not match the TFN on our records.	The TFN provided in the contribution file is incorrect.	Update the details in your payroll system, as required. Email the correct information to **adminservices@unisuper.com.au**. Refer to the *Providing additional information* section on page 4 to see what details to include in your email.
		The TFN on UniSuper's records is incorrect.	Member will receive a letter requesting they update their UniSuper account details. No employer action required — await member update.
990511	**"Member has exited the fund"** The contribution has been matched to a member who no longer has a UniSuper account.	Exited member wants to re-join UniSuper.	Member will need to apply for a Personal Account via the UniSuper website. Contribution will be rejected but can be resubmitted once the account has been created.

ERROR CODE	DESCRIPTION AND MEANING	POSSIBLE SCENARIO	ACTION REQUIRED TO RESOLVE THE ERROR
990540	**"Commencement date cannot be prior to existing date joined fund"** This occurs when 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 is prior to the date when the member first joined UniSuper.	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**.
990604	**"The period end date used for the contribution(s) is invalid."**	The period end date used for the contribution is not a valid date.	Email the correct pay period end date to **adminservices@unisuper. com.au**. Refer to the *Providing additional information* section on page 4 to see what details to include in your email.
990606	**"No TFN Stored for Member"** Before-tax or after-tax member contributions have been received for a member where no TFN has been supplied.	A valid TFN can be supplied.	Email the information to **adminservices@unisuper.com.au**. Refer to the *Providing additional information* section on page 4 to see what details to include in your email. OR No action required — the member will receive a letter requesting they supply their TFN — await member update.
		A valid TFN can't be supplied.	No action required — the contribution will automatically be refunded 23 days after we receive it.
990608	**"Over 75 non-mandated contribution"** Non-employer (personal) contributions have been received for a member over 75 years of age. Only mandated employer contributions can be received for members over 75 years old.	The date of birth on the member's account is correct.	No action required — the contribution will be refunded one day after we receive it.
		The date of birth on the member's account is incorrect.	Member will receive a letter requesting they update their UniSuper account details. Contribution will need to be re-submitted as the contribution will be refunded one day after we receive it.

ERROR CODE	DESCRIPTION AND MEANING	POSSIBLE SCENARIO	ACTION REQUIRED TO RESOLVE THE ERROR
990610	**"Member 'Date Joined Plan' is after receipt Banked Date"** The date the member joined UniSuper is after the receipted bank date of contributions.	The contribution is correct.	No action required — the contribution will automatically be refunded after 23 days and will need to be resubmitted. **Note:** UniSuper can't allocate a contribution if the date the member joined UniSuper is after the receipt date. The refunded contributions should be resubmitted after the date the member joined UniSuper.
990612 990613 990614	**"Fund does not accept <field> contributions"** <field> variables are: 990612 - Spouse 990613 - Third party 990614 - Child	The type of contribution submitted can't be accepted by UniSuper.	No action required - The contribution will be automatically refunded. If the contribution should have had a different classification, please resubmit the contribution with the correct classification.
990625 990626 990627 990628	**"Mandatory contribution information – <field> – has not been provided or is incomplete. Please provide correct or complete information"** <field> variables are: 990625 – Full name 990626 – Address 990627 – Tax file number 990628 – Phone number	Mandatory contribution information was not supplied.	This error won't stop contributions from being allocated. However, in line with SuperStream legislation, you must make all reasonable efforts to provide this information from your employee. Once you have the data, you'll need to supply it with all future contributions.