



## **IDR data reporting handbook: Overview of changes between March 2022 and April 2023**

This document outlines the changes that we have made to the internal dispute resolution (IDR) data reporting handbook. It follows the structure of the handbook:

- Table 1 sets out the changes to Section A: Overview;
- Table 2 sets out the changes to Section B: IDR data dictionary;
- Table 3 sets out the changes to Section C: IDR data glossary;
- Table 4 sets out the changes to Appendix 1: How to submit IDR reports via ASIC's Regulatory Portal; and

Note: We have made no changes to Appendix 2: Machine-readable headers.

- Table 5 sets out the changes to Appendix 3: Submission checklist

We have also added a key terms table and, throughout the document, replaced:

- 'report IDR data' with 'submit IDR report';
- 'IDR data' and 'dataset' (when used to refer to an IDR data file) with 'IDR data file';
- 'submission period' with 'submission window'; and
- the heading 'Number' with 'Data element number' in Tables 3–6 and Table 19.

Note: We have also made minor changes to the IDR data reporting handbook to update references and clarify wording, which aren't captured in the tables.

**Table 1: Changes to Section A: Overview**

April 2023 version	March 2022 version	Summary of changes
Who is required to submit IDR reports? (paragraphs 4–9 and Table 1)	Who will be required to report IDR data (paragraphs 4–7 and Table 1)	<p>Updated paragraph 5 to refer to <a href="#">ASIC (Amendment) Instrument 2023/282</a>.</p> <p>Updated Table 1 with two new notes.</p> <p>Added paragraph 8 to clarify that the reporting obligation is held by subsidiary licensees, not corporate groups.</p> <p>Added paragraph 9 to reflect the revised implementation schedule set out in <a href="#">ASIC (Amendment) Instrument 2023/282</a>.</p>
Reporting periods (paragraphs 10–14)	Reporting periods (paragraphs 8–10)	Updated paragraphs 11–14 to reflect the implementation schedule.
Submission windows and lodgement due dates (paragraphs 15–17 and Table 2)	Submission periods and lodgement due dates (paragraph 11 and Table 2)	<p>Updated paragraph 15 and Table 2 to reflect the implementation schedule.</p> <p>Added paragraph 16 to clarify that the date the submission window closes is the relevant date to determine the reporting obligations for firms</p> <p>Added paragraph 17 on submission window length.</p>
Complaints that must be included in an IDR data report (paragraphs 18–21)	Complaints that must be included in an IDR data report (paragraphs 12–15)	Updated paragraph 18 to reflect changes made in <a href="#">ASIC (Amendment) Instrument 2023/282</a> .
Financial firms with no complaints (paragraph 22)	Not included in March 2022 version	Added paragraph 22 to clarify the reporting obligation for firms with no IDR complaints in a reporting period.
Complaints involving more than one financial firm (paragraphs 23–24)	Not included in March 2022 version	Added paragraphs 23–24 to clarify the reporting treatment for complaints involving more than one financial firm.
Complaints about insurance in superannuation (paragraph 25)	Reporting complaints about insurance in superannuation (paragraph 40)	Moved content on reporting complaints about insurance in superannuation to paragraph 25.

April 2023 version	March 2022 version	Summary of changes
Complaints escalated to AFCA (paragraph 26)	Not included in March 2022 version	Added paragraph 26 to clarify the reporting treatment for complaints escalated to AFCA.
Complaints referred <i>from</i> AFCA (paragraphs 27–28)	Not included in March 2022 version	Added paragraphs 27–28 to clarify the reporting treatment for complaints referred <i>from</i> AFCA.
Submitting IDR data to ASIC (paragraphs 32–40)	Submitting IDR data to ASIC (paragraphs 19–25)	Updated paragraph 33 to clarify the reporting obligation for subsidiary licensees.  Updated paragraph 37, and added paragraphs 38–39, to clarify processes around basic and deep validation.
Contacts at ASIC (paragraphs 41–43)	Contacts at ASIC (paragraphs 26–28)	Added paragraph 41 to refer to the IDR frequently asked questions (FAQs) on the ASIC website.
Summary of data elements in data dictionary (paragraphs 44–46 and Table 3)	Summary of data elements in data dictionary (paragraphs 29–30 and Table 3)	Added paragraph 46 to clarify our expectations if a complaint does not precisely align with the IDR data dictionary or glossary.

**Table 2: Changes to Section B: IDR data dictionary**

April 2023 version	March 2022 version	Summary of changes
Complaint identifying information (Table 4)	Complaint identifying information (Table 4)	Updated completion requirements for data element 2.
Complaint information (Table 6)	Complaint information (Table 6)	Updated completion requirements for data elements 9, 10 and 11.  Updated permissible values for data elements 11 and 16.  Updated note at end of table for data element 11.

**Table 3: Changes to Section C: IDR data glossary**

April 2023 version	March 2022 version	Summary of changes
Complaint outcome definitions (paragraphs 65–67 and the associated table)	Complaint outcome definitions (paragraphs 50–51 and the associated table)	Added paragraph 67 to clarify that firms must record the complaint outcome (or outcomes) as at the time the complaint was closed at IDR. Made corresponding edits to the first sentence of the definition for complaint outcome codes 1–5 and 8 in the table.

**Table 4: Changes to Appendix 1: How to submit IDR reports via ASIC’s Regulatory Portal**

April 2023 version	March 2022 version	Summary of changes
Key points	Key points	Updated to clarify that a submitted IDR report can be either a data file or a nil submission.
Preparing your data set for lodgement (paragraphs 68–79)	Preparing your data set for lodgement (paragraphs 52–62)	Updated paragraphs 69–70 to clarify that a submitted IDR report can be either a data file or a nil submission.
Reporting your IDR activity (paragraphs 80–93)	Reporting your IDR activity (paragraphs 63–76)	Updated paragraph 85 to clarify the process for nil submissions.  Updated example screenshots (Figures 6, 8 and 9) to reflect minor wording updates to online form.
What happens after you submit your IDR report (paragraphs 94–104)	What happens after you report your IDR data (paragraphs 77–84)	Updated example screenshots (Figures 11 and 12) to reflect minor wording updates to online form.  Added paragraphs 94, 103–104 and new example screenshots (Figures 14 and 15) to clarify the process for nil submissions.

**Table 5: Changes to Appendix 3: Submission checklist**

April 2023 version	March 2022 version	Summary of changes
Submission checklist (Table 20)	Submission checklist (Table 20)	Updated entry for 'machine-readable headers' to clarify that firms must also ensure there are no spaces <i>after</i> each column header.
Conditional business rules (Table 21)	Conditional business rules (Table 21)	<p>Added clarifying information on the meaning of 'Must be null' and 'Must not be null'</p> <p>Made clarifying edit to entry for 'Date Closed'.</p> <p>Added new entry for 'DaysOpen'.</p>