

## How to use the ASIC IDR data validation rules examples

This spreadsheet presents examples of line-item complaints data that have either passed or failed ASIC's data validation processes (see the next two sheets). Using practical examples, it demonstrates the duplicate and conditional business rules that are set out in Appendix 3 of the IDR data reporting handbook.

Note: These examples are not a definitive list of every possible data validation error. These examples only cover the duplicate rules and conditional rules. Other potential causes of validation errors (e.g. incorrect formatting of dates) are set out in the IDR data reporting handbook.

Do not use this spreadsheet as your firm's starting template for IDR data reporting. The format of this spreadsheet will not pass data validation. If you would like to use a template, an IDR data reporting Excel template is available for download on ASIC's *Internal dispute resolution data reporting* page, linked below.

[Internal dispute resolution data reporting | ASIC - Australian Securities and Investments Commission](#)

IDR data dictionary duplication rules examples

Valid data Invalid data based on data in other row(s) or column(s)

1) ComplaintUniqueID MUST BE unique

ComplaintUniqueID	ComplaintProduct	Complainant Type	Complainant Gender	ComplainantRefGroup	ComplainantA oscode	ComplainantB oscode	Complainant Status	Complainant Channel	DateReceived	DateClosed	DaysOpen	ComplaintAboutRp	ProductOrService A	ProductOrService B	ProductOrService C	ComplaintIssueA	ComplaintIssueB	ComplaintIssueC	ComplaintOutcomeA	ComplaintOutcomeB	ComplaintOutcomeC	CompensationAmount	
86	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
87	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
88	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
89	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10

2) Ensure duplicate codes are not entered in these columns: ProductOrServiceA / ProductOrServiceB / ProductOrServiceC (except for 999 in ProductOrServiceB and ProductOrServiceC)

ComplaintUniqueID	ComplaintProduct	Complainant Type	Complainant Gender	ComplainantRefGroup	ComplainantA oscode	ComplainantB oscode	Complainant Status	Complainant Channel	DateReceived	DateClosed	DaysOpen	ComplaintAboutRp	ProductOrService A	ProductOrService B	ProductOrService C	ComplaintIssueA	ComplaintIssueB	ComplaintIssueC	ComplaintOutcomeA	ComplaintOutcomeB	ComplaintOutcomeC	CompensationAmount	
73	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
74	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
77	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
78	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
79	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10

3) Ensure duplicate codes are not entered in these columns: ComplaintIssueA / ComplaintIssueB / ComplaintIssueC (except for 999 in ComplaintIssueB and ComplaintIssueC)

ComplaintUniqueID	ComplaintProduct	Complainant Type	Complainant Gender	ComplainantRefGroup	ComplainantA oscode	ComplainantB oscode	Complainant Status	Complainant Channel	DateReceived	DateClosed	DaysOpen	ComplaintAboutRp	ProductOrService A	ProductOrService B	ProductOrService C	ComplaintIssueA	ComplaintIssueB	ComplaintIssueC	ComplaintOutcomeA	ComplaintOutcomeB	ComplaintOutcomeC	CompensationAmount	
80	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
81	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
82	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
83	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
84	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10

4) Ensure duplicate codes are not entered in these columns: ComplaintOutcomeA / ComplaintOutcomeB / ComplaintOutcomeC (except for 999 in ComplaintOutcomeB and ComplaintOutcomeC)

ComplaintUniqueID	ComplaintProduct	Complainant Type	Complainant Gender	ComplainantRefGroup	ComplainantA oscode	ComplainantB oscode	Complainant Status	Complainant Channel	DateReceived	DateClosed	DaysOpen	ComplaintAboutRp	ProductOrService A	ProductOrService B	ProductOrService C	ComplaintIssueA	ComplaintIssueB	ComplaintIssueC	ComplaintOutcomeA	ComplaintOutcomeB	ComplaintOutcomeC	CompensationAmount	
85	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
86	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
87	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
88	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10
89	brand1	1	1	1	3000	2	2	10/1/21	201/21	10	2	25	999	999	999	10	999	999	2	999	999	999	\$10

I DR data dictionary conditional rules examples

Valid data Invalid data based on data in other column(s)

1) ComplainantGender MUST BE null, when ComplainantType IS NOT = 1

ComplaintUniqueID	ComplaintProduct	ComplainantType	ComplainantGender	ComplainantAgeGroup	ComplainantPostcode	ComplaintStatus	ComplaintChannel	DateReceived	DateClosed	DaysOpen	ComplaintAboutRep	ProductOrServiceA	ProductOrServiceB	ProductOrServiceC	ComplaintIssueA	ComplaintIssueB	ComplaintIssueC	ComplaintOutcomeA	ComplaintOutcomeB	ComplaintOutcomeC	CompensationAmount
100	Brand1	2			3000	2	2	10/1/21	20/1/21	10	2	25	999	999	10	999	999	2	999	999	510
101	Brand1	2	1		3000	2	2	10/1/21	20/1/21	10	2	25	999	999	10	999	999	2	999	999	510

2) ComplainantGender MUST NOT BE null, when ComplainantType IS = 1

ComplaintUniqueID	ComplaintProduct	ComplainantType	ComplainantGender	ComplainantAgeGroup	ComplainantPostcode	ComplaintStatus	ComplaintChannel	DateReceived	DateClosed	DaysOpen	ComplaintAboutRep	ProductOrServiceA	ProductOrServiceB	ProductOrServiceC	ComplaintIssueA	ComplaintIssueB	ComplaintIssueC	ComplaintOutcomeA	ComplaintOutcomeB	ComplaintOutcomeC	CompensationAmount
102	Brand1	1	1	1	3000	2	2	10/1/21	20/1/21	10	2	25	999	999	10	999	999	2	999	999	510
103	Brand1	1		1	3000	2	2	10/1/21	20/1/21	10	2	25	999	999	10	999	999	2	999	999	510

3) ComplainantAgeGroup MUST BE null, when ComplainantType IS = 1

ComplaintUniqueID	ComplaintProduct	ComplainantType	ComplainantGender	ComplainantAgeGroup	ComplainantPostcode	ComplaintStatus	ComplaintChannel	DateReceived	DateClosed	DaysOpen	ComplaintAboutRep	ProductOrServiceA	ProductOrServiceB	ProductOrServiceC	ComplaintIssueA	ComplaintIssueB	ComplaintIssueC	ComplaintOutcomeA	ComplaintOutcomeB	ComplaintOutcomeC	CompensationAmount
104	Brand1	2			3000	2	2	10/1/21	20/1/21	10	2	25	999	999	10	999	999	2	999	999	510
105	Brand1	2		1	3000	2	2	10/1/21	20/1/21	10	2	25	999	999	10	999	999	2	999	999	510

4) ComplainantAgeGroup MUST NOT BE null, when ComplainantType IS = 1

ComplaintUniqueID	ComplaintProduct	ComplainantType	ComplainantGender	ComplainantAgeGroup	ComplainantPostcode	ComplaintStatus	ComplaintChannel	DateReceived	DateClosed	DaysOpen	ComplaintAboutRep	ProductOrServiceA	ProductOrServiceB	ProductOrServiceC	ComplaintIssueA	ComplaintIssueB	ComplaintIssueC	ComplaintOutcomeA	ComplaintOutcomeB	ComplaintOutcomeC	CompensationAmount
106	Brand1	1	1	1	3000	2	2	10/1/21	20/1/21	10	2	25	999	999	10	999	999	2	999	999	510
107	Brand1	1	1		3000	2	2	10/1/21	20/1/21	10	2	25	999	999	10	999	999	2	999	999	510

5) DateClosed MUST BE null, when ComplaintStatus IS NOT = 2

ComplaintUniqueID	ComplaintProduct	ComplainantType	ComplainantGender	ComplainantAgeGroup	ComplainantPostcode	ComplaintStatus	ComplaintChannel	DateReceived	DateClosed	DaysOpen	ComplaintAboutRep	ProductOrServiceA	ProductOrServiceB	ProductOrServiceC	ComplaintIssueA	ComplaintIssueB	ComplaintIssueC	ComplaintOutcomeA	ComplaintOutcomeB	ComplaintOutcomeC	CompensationAmount
108	Brand1	1	1	1	3000	1	2	10/1/21			2	25	999	999	10	999	999				
109	Brand1	1	1	1	3000	1	2	10/1/21	20/1/21		2	25	999	999	10	999	999				

6) DateClosed MUST NOT BE null, when ComplaintStatus IS = 2

ComplaintUniqueID	ComplaintProduct	ComplainantType	ComplainantGender	ComplainantAgeGroup	ComplainantPostcode	ComplaintStatus	ComplaintChannel	DateReceived	DateClosed	DaysOpen	ComplaintAboutRep	ProductOrServiceA	ProductOrServiceB	ProductOrServiceC	ComplaintIssueA	ComplaintIssueB	ComplaintIssueC	ComplaintOutcomeA	ComplaintOutcomeB	ComplaintOutcomeC	CompensationAmount
110	Brand1	1	1	1	3000	2	2	10/1/21	20/1/21	10	2	25	999	999	10	999	999	2	999	999	510
111	Brand1	1	1	1	3000	2	2	10/1/21		10	2	25	999	999	10	999	999	2	999	999	510

7) DaysOpen MUST BE null, when ComplaintStatus IS NOT = 2

ComplaintUniqueID	ComplaintProduct	ComplainantType	ComplainantGender	ComplainantAgeGroup	ComplainantPostcode	ComplaintStatus	ComplaintChannel	DateReceived	DateClosed	DaysOpen	ComplaintAboutRep	ProductOrServiceA	ProductOrServiceB	ProductOrServiceC	ComplaintIssueA	ComplaintIssueB	ComplaintIssueC	ComplaintOutcomeA	ComplaintOutcomeB	ComplaintOutcomeC	CompensationAmount
112	Brand1	1	1	1	3000	1	2	10/1/21			2	25	999	999	10	999	999				
113	Brand1	1	1	1	3000	1	2	10/1/21		10	2	25	999	999	10	999	999				

8) ComplaintOutcomeA MUST BE null, when ComplaintStatus IS NOT = 2

ComplaintUniqueID	ComplaintProduct	ComplainantType	ComplainantGender	ComplainantAgeGroup	ComplainantPostcode	ComplaintStatus	ComplaintChannel	DateReceived	DateClosed	DaysOpen	ComplaintAboutRep	ProductOrServiceA	ProductOrServiceB	ProductOrServiceC	ComplaintIssueA	ComplaintIssueB	ComplaintIssueC	ComplaintOutcomeA	ComplaintOutcomeB	ComplaintOutcomeC	CompensationAmount
114	Brand1	1	1	1	3000	1	2	10/1/21			2	25	999	999	10	999	999				
115	Brand1	1	1	1	3000	1	2	10/1/21			2	25	999	999	10	999	999	3			

9) ComplaintOutcomeA MUST NOT BE null, when ComplaintStatus IS = 2

ComplaintUniqueID	ComplaintProduct	ComplainantType	ComplainantGender	ComplainantAgeGroup	ComplainantPostcode	ComplaintStatus	ComplaintChannel	DateReceived	DateClosed	DaysOpen	ComplaintAboutRep	ProductOrServiceA	ProductOrServiceB	ProductOrServiceC	ComplaintIssueA	ComplaintIssueB	ComplaintIssueC	ComplaintOutcomeA	ComplaintOutcomeB	ComplaintOutcomeC	CompensationAmount
116	Brand1	1	1	1	3000	2	2	10/1/21	20/1/21	10	2	25	999	999	10	999	999	2	999	999	510
117	Brand1	1	1	1	3000	2	2	10/1/21	20/1/21	10	2	25	999	999	10	999	999	2	2	999	510

