# INCOME TAX SYSTEM

## INSURANCE PAYMENT EXTRACTS - INTERFACE REQUIREMENTS

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# DOCUMENT ACCEPTANCE

We hereby certify that this document has been checked with the mutually agreed upon baseline requirements and that the technical content is accurate and adequate for the purpose intended.

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# 1. SCOPE

This document describes the interface between the South African Revenue Service (SARS)) and a system reporting on Retirement Annuities and Income Protection contributions (Continuation Policy).

Reporting of the Insurance payment Extracts must be done in accordance with Sections 69, of the Income Tax Act No. 58 of 1962 as amended. The Income Tax Act will be reflected as [A1] in this document.

## 1.1 Identification

This interface document describes the protocol and data format to be used by various institutions when reporting payments of taxpayers as detailed in Sections 69, of [A1].

The system using this interface to report income as detailed above will be referred to as the 'SOURCE SYSTEM'.

It is envisaged that all institutions offering Retirement Annuity Funds and Income Protection Policies will be using this interface. These institutions include among others, Insurance companies.

## 1.2 System Overview

SARS is aimed at providing automated operational support for the purpose of effective collection of Income Tax due to the Republic of South Africa. The following main functions are supported:

- Registration – The maintenance of information regarding taxpayers required for the effective collection of Income Tax.
- Assessments – The calculation of Income Tax due from taxpayers based on the tax returns submitted by the taxpayers and the information maintained in SARS database.
- Recoveries – The effective collection of the Income Tax due by taxpayers.
- Audit – The verification and cross-referencing of information provided by taxpayers and gathered from other sources.

To effectively perform these functions SARS must communicate with various systems both internal and external to SARS to obtain or provide the necessary data.

The main objective of SARS is to:

- Provide a high quality service to its Clients.
- Improve efficiency in the collection of Income Tax.
- Improve on the turn-around time for assessments.
- Automate tax collection processes.
- Expand the tax base.
- Automate interfaces with external systems.
- Improve the quality of the data contained in the database.

The SOURCE SYSTEM shall be any organisation external to SARS that is required to issue Insurance payment extracts to taxpayers.

## 1.3 Business Requirement Overview

Insurance payment extracts data reported by the Source System is a vital source of cross-reference information for SARS.

All Insurance payment extracts will be reported for the tax year starting at 1 March and ending at the end of February of the following year.

Insurance payment extracts will be reported once a year to be sent to SARS no later than 60 (sixty normal days) from the end of the tax year.

### 1.3.1 Intended Data Usage by SARS

One of the possible applications of this information is to verify the correctness and completeness of taxpayers' deduction claimed contained in their Income Tax Returns.

### 1.3.2 Intended Data Usage by External Agent

SARS will provide a response with respect to Insurance payment details to the SOURCE SYSTEM indicating whether the Insurance payment extracts file was successfully received or found to have format errors.

No other information will be provided to the SOURCE SYSTEM with regard to this interface.

## 1.4 Document Overview

This document describes the interface between SARS and the SOURCE SYSTEM. The following aspects shall be covered by this document:

1. Interfacing method
2. Data Access Protocol
3. Data messages transferred between the two systems.

This document contains the following sections:

1. Section 1: Scope
2. Section 2: Applicable Documents
3. Section 3: Interface Specification
4. Section 4: Notes
5. Appendix A: Code Tables

# 2. APPLICABLE DOCUMENTS

## 2.1 Applicable Documents

The documents listed in Table 2-1, of the exact issue shown, form part of this document to the extent shown herein. In the event of conflict between the documents referenced herein and the content of this document, the content of this document shall be considered a superseding requirement. However, this document shall not negate higher level requirements.

**Table 2-1: Applicable Documents**

| No | Identification | Name/Description | Publishing Agency | Revision/Date |
|---|---|---|---|---|
| [A1] | | Income Tax Act, No. 58 of 1962 as amended | South African Government | Latest |

## 2.2 Referenced Documents

The published books listed in Table 2-2 form part of this document to the extent that they are referenced. In the event of conflict between the books referenced and the content of this document, the content of this document shall be considered a superseding requirement.

**Table 2-2: Referenced Documents**

| No | Identification | Name/Description | Publishing Agency | Revision/Date |
|---|---|---|---|---|
| [R1] | RFC-791 | Internet Protocol | ISI, J. Postel | Sep-01-1981 |
| [R2] | RFC-793 | Transmission Control Protocol | ISI, J. Postel | Sep-01-1981 |
| [R3] | RFC-964 | Some problems with the specification of the Military Standard Transmission Control Protocol | SDC, D.P. Sidhu | Nov-01-1985 |
| [R4] | RFC-959 | File Transfer Protocol | ISI, J. Postel, J.K. Reynolds | Oct-01-1985 |

# 3. INTERFACE SPECIFICATION

## 3.1 Interface Diagram

Figure 3-1 shows the interface relationship between SARS and the SOURCE SYSTEM.

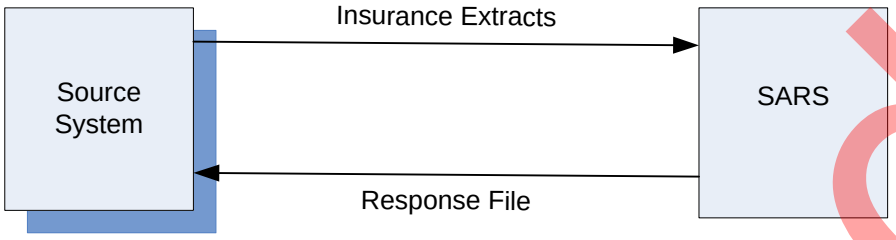


**Figure 3-1: Interface Relationship**

A detailed description of the information transferred between the two systems is provided in the sections that follow.

## 3.2 Interface Requirements

Insurance payment extract data must be submitted electronically to SARS via a network connection or manually via compact disk.

In the case of a network connection the data files will be exchanged between the two systems using the File Transfer Protocol (FTP) or an EDI connection. The files will be deposited and retrieved on/from the area dedicated on SARS E-Filing file server.

The interface will provide for an automated exchange of the relevant data files.

### 3.2.1 Interface Parameters

Table 3-1 provides performance and system parameters that will have an impact on the performance of the interface:

**Table 3-1: Performance and System Parameters**

| Parameter ID | Description | Value |
|---|---|---|
| | Communication link transfer rate | To be specified for each SOURCE SYSTEM |
| | Recovery rate of communications link | Within TCP/IP specification |
| ISP0501 | Maximum file size for electronic transfer (FTP) – *From experience, SARS has found that file sizes of 8 meg are uploaded flawlessly. However, SARS will accept any file size via FTP or CD. It is up to the source system to ensure that the file is uploaded to SARS seamlessly.* | As per comments in the Description column. |
| ISP0502 | Maximum file size for CD transfer | No Limit |
| ISP0601 | Frequency of Insurance Payment extract submissions to SARS | Annually as scheduled |
| ISP0701 | File sequence number range | 000001 – 999999 |

| Parameter ID | Description | Value |
|---|---|---|
| ISP1001 | Time between marking an Insurance payment extract file as ready and actual file processing | 24 hours |
| ISP1101 | The period that the SOURCE SYSTEM must retain the file after it was sent to SARS | 30 days |

## 3.2.2 Physical Link Specification

The physical link specification will be provided separately for each SOURCE SYSTEM. The following sections provide an overview of the available options.

The physical implementation can be configured as shown in Figure 3-2.

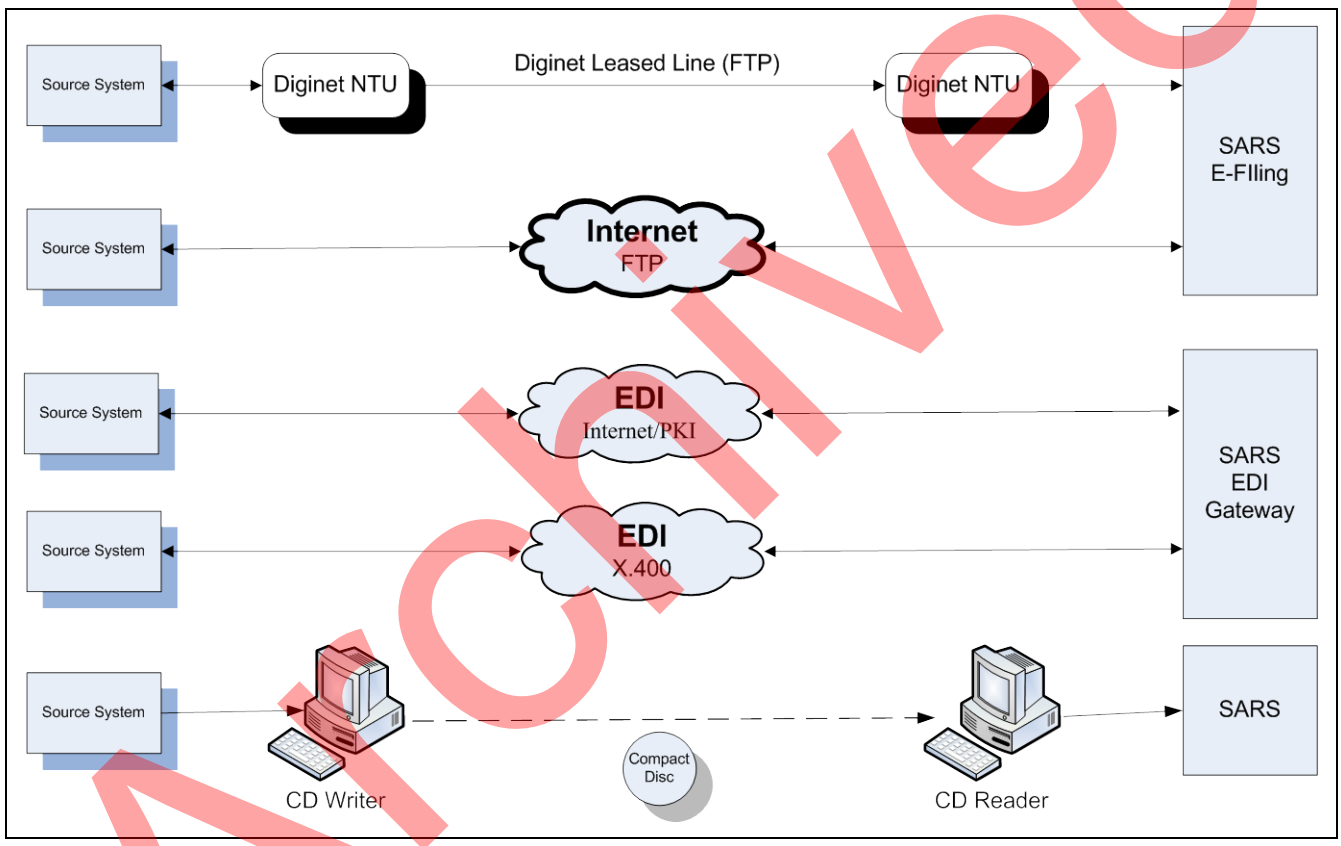


**Figure 3-2: Physical Implementation of the Interface**

### 3.2.2.1 Leased Line

The SOURCE SYSTEM may submit Insurance payment extracts to SARS using a leased line facility.

### 3.2.2.2 Internet

The SOURCE SYSTEM may submit Insurance payment extracts via the internet to SARS using FTP or EDI Communication.

### 3.2.2.3 EDI

The SOURCE SYSTEM may submit Medical Scheme statement extracts using EDI, either via the Internet or X.400.

### 3.2.2.4 Compact disk (CD)

The SOURCE SYSTEM may submit their Insurance payment extracts to SARS on CD. The format of the files must be in accordance with the format and layout specified in this document.

### 3.2.2.5 Standard Communications Facility

Where files are transmitted via standard FTP this interface shall utilise the standard TCP/IP protocol for the exchange of messages. Refer to Referenced Documents [R1], [R2] and [R3] for further details regarding the protocol. The FTP protocol is specified in [R4].

The use of standard communication components using FTP for this interface is displayed in Figure 3-3.

The use of CD for this interface is illustrated in Figure 3-4.

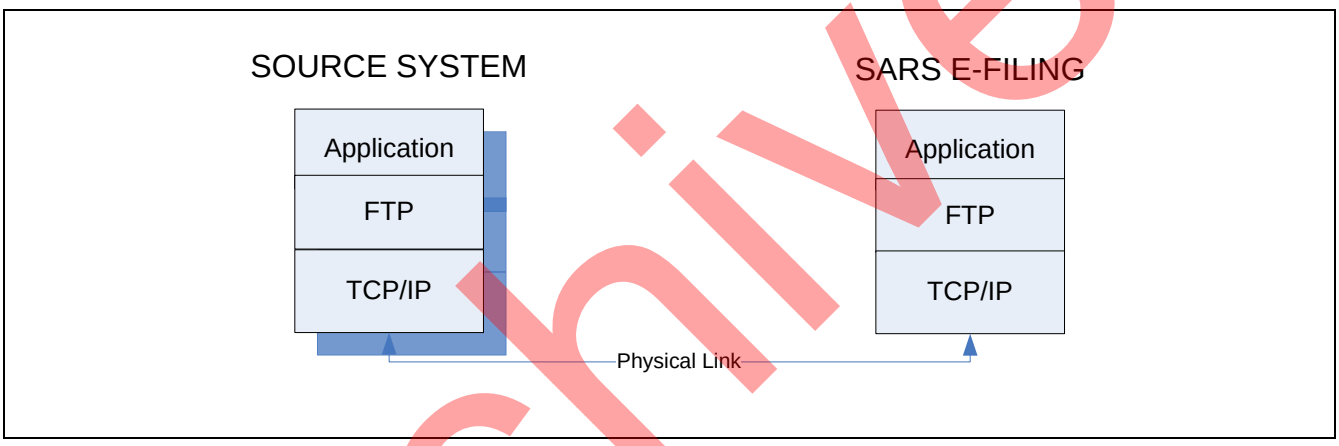


**Figure 3-3: Standard Communication Components between SARS and the SOURCE SYSTEM**

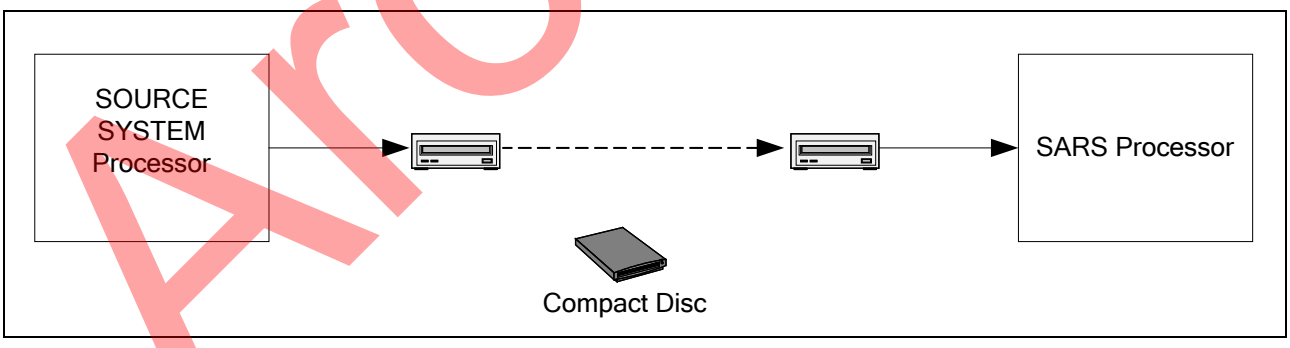


**Figure 3-4: Compact Disk Interface**

## 3.2.3 Protocol

### 3.2.3.1 Security Considerations

Access to any service within SARS will be regulated in line with the security framework that is used in SARS.

For the SOURCE SYSTEM to gain access to specific files in the data area of SARS a user name and password will be provided to the SOURCE SYSTEM if files are transmitted via FTP. This user name and password are used by the SOURCE SYSTEM to create an FTP session with the SARS E-Filing processor. The user name and password will be unique and will be determined during the SOURCE SYSTEM's registration with SARS.

### 3.2.3.2 Authentication and Encryption

The use of a secured transmission in order to communicate the files to and from SARS E-Filing is prescribed by SARS. The secured transmission provides for file encryption as well as for SOURCE SYSTEM authentication. Additional details regarding the software used for secured transmission will be provided to the SOURCE SYSTEM upon registration with SARS. Encryption is only applicable to files transmitted via FTP.

Encryption software will be available from SARS E-Filing to registered SOURCE SYSTEMS for Windows NT (Version 4.00 SP3 or higher), Windows 98, ME, 2000, and XP; Linux (Intel); Solaris (UltraSparc 32- and 64-bit); and Mac OS X 10.2, 10.3, and 10.4.

For EDI purposes, SARS uses the X.400 communications protocol as well as the Internet for message transfer with trading partners. X.400 is considered to already be safe and secure thus no further encryption is required. Should a trading partner prefer to use the Internet to transfer EDI data, note must be taken of the PKI (Public Key Infrastructure) requirements specified in the SARS EDI User Manual on the SARS web site, for encryption purposes.

### 3.2.3.3 Sequenced Files

In order to prevent the possibility of losing entire files in transit files will be allocated file names that will contain a sequence number. This sequence number will increase by 1 for every new file sent. The sequence number will wrap to 000001 when it reaches the maximum value. The sequence number range is determined by the ISP0701 system parameter.

A new file will with the same file name and sequence number as any other file name will result in that file been rejected as a duplicate file, except if the original file was rejected because of format errors.

When a skip in the sequence numbering is detected by either system while reading a file, the System Administrator of the relevant system shall be notified. SARS will halt processing of incoming files when a skip in the sequence number is detected until the correct sequence file has been received from the SOURCE SYSTEM.

At the start of each calendar year, the expected sequence number for each file type specified in this document, must not be set to 1 but continue with the last sequence number used.

### 3.2.3.4 File Polling

SARS and the SOURCE SYSTEM will poll the data area allocated for this interface for files that are destined for them. Polling must take place periodically and the files may be processed immediately.

### 3.2.3.5 Directory and File Naming Conventions

Directory allocation on SARS file server as well as the file naming convention allows both systems to identify the files that are destined for them. The naming of a file shall be in accordance with the rules/restrictions imposed by SARS.

The chosen directory structure and file naming convention must include the following:

- File Mode
- SOURCE SYSTEM Identification
- File Type
- File Sequence Number

The directory structure used by SARS will be such that data files from the SOURCE SYSTEM will be placed in the directory allocated to it whenever it logs on to SARS E-Filing file server using FTP. Only the SOURCE SYSTEM and SARS will have access to this directory to guarantee confidentiality of the information.

The file name must also comply with the following format:

TTTTTTTT.MNNNNNN

Where:

TTTTTTTT is the file type. See Table 3-4. File type can be up to 8 characters long

M is the file mode. See Table 3-2

NNNNNN is the file sequence number. See 3.2.4.3

The SOURCE SYSTEM identification for the purpose of the directory structure on SARS file server shall be uniquely allocated by SARS and made known to the SOURCE SYSTEM during the registration process with SARS.
Files copied to CD must be named according to the standard specified above, e.g. INSEXTRS.R000001, INSEXTRS.R000002 etc

## 3.2.3.6 Files in Error

### 3.2.3.6.1 File Rejection

A file is deemed to be in error if:

1. The receiving system identifies a file with incorrect header information (e.g. invalid section identifier, unknown file type (Info-Type), invalid test data indicator, unknown External System identifier).
2. Format errors are encountered (e.g. incorrect sequence of sections e.g. Trailer record not the last record).
3. The calculated file total is not the same as the respective total contained in the trailer record.
4. Duplicate file name.

For any of these errors the file will be rejected and not processed by SARS.

A response file will be created to indicate the relevant error to the sending system. The status in the header record of the response file will indicate that the file was rejected.

The sending system must correct the file and re-transmit the file to the receiving system. The receiving system will delete the relevant file in error once the replacement file is processed. The replacement file must have the next sequence number.

If the sending system submitted a CD and the files are found to be in error according to 1, 2, 3 and 4 above a response file will be created and sent to the sending system via e-mail. These files/records must be corrected and re-submitted to SARS in a new file with the next sequence number.

### 3.2.3.6.2 Record Rejection

Fields designated as mandatory that do not pass the validation criteria will result in that record been rejected and not processed by SARS. Fields marked as optional that are populated will be validated for data integrity and can also result in the record been rejected. The remaining records in the file that pass validation will be processed by SARS.

The response file returned to the sending system can have multiple lines showing more than one error per line. All errors found in the file will be shown in the response file.

A response file will be created to indicate the relevant error(s) to the sending system. The status in the header record of the response file will indicate that the file has records rejected.

The sending system must correct the records (lines) in error and re-transmit only those records to SARS in a new file with the next sequence number. The receiving system will continue to process files received with sequence numbers larger than the one(s) belonging to the file(s) in error.

If the sending system submitted a CD and the files is found to be in error a response file will be created and sent to the sending system via e-mail. These files/records must be corrected and re-submitted to SARS in a new file with the next sequence number.

### 3.2.3.6.3 File Accepted

A file will be accepted when all fields pass the validation routine.

A response file will be created to indicate that the file was processed by SARS with no errors. The status in the header record of the response file will indicate that the file was processed successfully and the trailer record will indicate that there is no data record in the file.

#### 3.2.3.6.4 Amended Certificates

In cases where the SOURCE SYSTEM needs to amend a certificate, that certificates details need to be re-sent to SARS in a new file with the next sequence number. I.e. the Personal and detail records must be re-sent. Records are date-time stamped by SARS hence the latest received record will be used and applied by SARS processes.

### 3.2.3.7 Missing Files

If SARS detects a skip in the sequence number of an incoming file type a response file will be generated by SARS to indicate to the SOURCE SYSTEM that a file is missing. SARS will halt processing of incoming files when a skip in the sequence number is detected until the correct sequence file has been received from the SOURCE SYSTEM.

The SOURCE SYSTEM will re-transmit the relevant file (file with the correct sequence number).

Missing files will be requested from the sender.

### 3.2.3.8 File Size

Files exchanged between the SOURCE SYSTEM and SARS will not exceed ISP0501 records in size. However, each file must comply with the file general layout as specified in 3.2.4.1.

Regardless of whether a file is broken up into multiple files the details of a single client must be contained within one file.

SARS will be responsible for providing sufficient disk space for the required volumes data transfer to its processor. SARS will be responsible for planning future capacity requirements with regard to disk space on its systems.

### 3.2.3.9 Insurance Payment Extract Reporting Process Flow via FTP

The following is the data exchange process flow when the SOURCE SYSTEM transfers Insurance payment extract files to SARS via FTP.

1. The SOURCE SYSTEM generates the file or files that it wants to send to the SARS.
2. The SOURCE SYSTEM opens an FTP session with SARS E-Filing using the provided user name and password.
3. The SOURCE SYSTEM copies the required files to the applicable directory on the SARS E-Filing server. During the copy the file mode is set to Creating (C). When the copy is complete the file mode of the relevant file is changed by the SOURCE SYSTEM to Ready (R) using FTP.
4. SARS polls the directory exclusively allocated to the SOURCE SYSTEM periodically for files to be read. Once it detects files that are ready for processing they are backed-up read and processed.
5. As part of file processing the file totals for the file, file duplication and record format are checked. This check is performed prior to the processing of any data record in the file. If the totals are found to be incorrect, the file duplicated, the file format or the data format is incorrect, SARS System Administrator will be notified. A response file will be created to reflect the file processing status to the SOURCE SYSTEM.
6. As a result of the processing a response file for each incoming file will be prepared for the SOURCE SYSTEM.
7. The SOURCE SYSTEM periodically polls the directory exclusively allocated to it on the SARS file server using an FTP session for response files with a Ready (R) mode. When a file with this mode is detected it is copied to the SOURCE SYSTEM's own data area. When the copy has completed successfully the file mode is changed by the SOURCE SYSTEM to be Archived (A).

### 3.2.3.10 Insurance Payment Extract Reporting Process Flow via EDI

The following is the data exchange process flow when the SOURCE SYSTEM transfers Insurance Payment extract files to SARS via EDI

1. The SOURCE SYSTEM generates the EDI file or files that it wants to send to SARS.
2. The SOURCE SYSTEM sends the EDI file or files to SARS, either via X.400 or the Internet.
3. Once EDI files are received at SARS they are automatically processed and archived.
4. As part of file processing the file totals for the file, file duplication and record format are checked. This check is performed prior to the processing of any data record in the file. If the totals are found to be incorrect, the file duplicated, the file format or the data format is incorrect; the SARS System Administrator will be notified. An EDI response file will be created to reflect the file processing status to the SOURCE SYSTEM.
5. As a result of the processing a response EDI file for each incoming EDI file will be prepared end sent to the SOURCE SYSTEM.

### 3.2.3.11 Insurance Payment Extract Reporting Process Flow via CD

The following is the data exchange process flow when the SOURCE SYSTEM transfers Insurance payment extract files to SARS via CD:

1. The SOURCE SYSTEM generates the file that it wants to send to SARS.
2. The SOURCE SYSTEM copies the file to a CD.
3. The CD must be submitted to SARS under the cover of an Insurance payment CD submission form obtainable from the SARS Interface Administrator. Appendix B contains a sample form.
4. CD's not readable by SARS or where the file is found to contain format errors will be returned to the SOURCE SYSTEM. The SOURCE SYSTEM must then re-submit the corrected data file.

## 3.2.4 Data Requirements

This section describes the contents of the files exchanged between the SOURCE SYSTEM and SARS.

A general layout is provided in Table 3-2.

The EDI format documents will be sent to the SOURCE SYSTEM with this document if required.

Each entity type is exchanged in a separate file type. A list of file types is given in Table 3-3.

### 3.2.4.1 File Layout

Table 3-2 provides the general layout of each file. Information is stored in the files in ASCII format for FTP and CD. The header record, each record in the data record section and the trailer record have the same fixed length. The record length will be determined based on the length of the longest entity (header record, data record, or trailer record).

**Table 3-2: File Record Types**

| Record Type | Description |
|---|---|
| Header Record | File identifier, containing information such as the header record identifier, source system name, information type, file sequence number and information format version number. |
| Personal Record | Contains the personal records of the client for which Insurance information is provided |
| Data Record | Contains fixed length records of information. |
| Trailer Record | Contains trailer section identifier and the number of records in the file excluding the header and trailer record and file integrity check fields. |

For files transmitted via FTP a sequence of characters i.e. Carriage Return (<CR>) and Line Feed (<LF>) will be included at the end of each header, personal, data and trailer record to indicate the end of that record. The <CR> and <LF> characters are not included in the maximum record lengths specified for each file type in this document. All trailing blanks in records contained in files that are sent or received by SARS will be truncated. The hexadecimal value of <CR> is Hex 0D and <LF> is Hex 0A.

### 3.2.4.2 Data Description Conventions

A table will be used to describe the detailed contents of each file section (being a set of similar record types). The column headers have the following meanings:

| | | |
|---|---|---|
| Name | - | Field name in record layout |
| Description | - | Short description of the field in the record |
| Length | - | Length of the field (in bytes) |
| Occurs | - | The number of consecutive occurrences of this field in a particular record |
| Validation | - | Range of values or any other validation rules for a particular field |
| Remarks | - | Additional optional information regarding a particular field |
| Mandatory/Optional | - | If a field is marked with an 'M' then it implies that the field is Mandatory. It must be populated and pass the validation process of SARS else the record or file will be rejected. A field marked with an 'O' implies it is an Optional field that can also result in the record been rejected if it is populated and does not pass the validation routine. E.g. if only a CLIENT-ID is supplied and it is not valid. |

### 3.2.4.3 File Types

Table 3-3 provides a list of all file types that are used to exchange data between the SOURCE SYSTEM and SARS.

**Table 3-3: List of File Types for the SARS-SOURCE SYSTEM Interface**

| File Type | Mnemonic | Source | Destination | Described in Section | Record Length |
|---|---|---|---|---|---|
| Insurance Payment Personal Details | INSEXTRS | SOURCE SYSTEM | SARS | 3.2.4.4 | 590 |
| Insurance Payment Extract Response | INSRESP | SARS | SOURCE SYSTEM | 3.2.4.5 | 111 |

The file type mnemonic is used as part of the file naming convention. See 3.2.3.5

File naming administration (such as file sequence number allocation and file mode maintenance) is performed separately for each file type.

Record length is specified to be longer than the longest record for possible future enhancements of the file structure.

### 3.2.4.4 Insurance Payment Extract Details File

This file contains the details of Insurance payment extracts.

The period for which an Insurance payment extract is reported on must coincide with the normal tax year, which spans from 1 March until the end of February the next year.

#### 3.2.4.4.1 Insurance Payment Extract Details Header Record

The format of the Insurance payment extract details header record is given in Table 3-4.

**Table 3-4: Insurance Payment Extract Details Header Record Layout**

| Name | Description | Length | Occurs | Validation | Remarks | Mandatory/ Optional |
|---|---|---|---|---|---|---|
| SEC-ID | File section identifier | 1 | 1 | “H“ | | M |
| INFO-TYPE | Information type | 8 | 1 | “INSEXTRS” | (1) | M |
| INFO-SUBTYPE | Information subtype | 8 | 1 | Blanks | (1), (9) | O |
| TEST-DATA | Test data indicator | 1 | 1 | “Y” or “N” | (7) | M |
| FILE-SERIES-CTL | File series control field | 1 | 1 | “S” | (10) | M |
| EXT-SYS | External system identification | 8 | 1 | | (1), (2), (6) | M |
| VER-NO | Interface version number | 8 | 1 | “1” | (1), (3), (4) | M |
| OWN-FILE-ID | Unique file identifier | 14 | 1 | Alphanumeric | (1), (3), (8) | O |
| GEN-TIME | Date and time of file creation | 14 | 1 | CCYYMMDDhhmmss | (5) | M |

Remarks:

1. Blank padded.
2. Left justified.
3. Right justified.
4. Version number increases whenever there is a change to this file layout. This number will be provided by SARS to the SOURCE SYSTEM if it should change.
5. The date and time of file creation in the form of CCYYMMDDhhmmss where:

   CC is the century, YY is the year, MM is the month, DD is the day

   hh is the hours, mm is the minutes, ss is the seconds
6. This identification will be allocated by SARS after registration of the SOURCE SYSTEM. It will be provided during the interface integration and commissioning phase.
7. If this field contains ‘Y’ the information in this file must not be applied to the production database of the receiving system. The information may be applied to the production database if this field contains ‘N’. If this field contains any other value the file is rejected.
8. The SOURCE SYSTEM will insert an identifier that will uniquely identify the file for that SOURCE SYSTEM.
9. This field is not used and must be set to blanks.
10. This is a required by SARS and should be populated with an ‘S’

### 3.2.4.4.2 Insurance Payment Personal/Registered Details Record

This record type contains the personal/registered details of a client for which the insurance payment extract is provided.

All fields specified for this record format are required in accordance with Sections 69 of [A1].

The format of each data record is given in Table 3-5.

**Table 3-5: Insurance Extract Personal/Registered Details Data Record Layout**

| Name | Description | Length | Occurs | Validation | Remarks | Mandatory/ Optional |
|---|---|---|---|---|---|---|
| SEC-ID | File section identifier | 1 | 1 | "P" | | M |
| CLIENT-NO | Client number | 25 | 1 | Alphanumeric | (9) | M |
| IT-REF-NO | Income Tax reference number | 10 | 1 | Numeric | (3), (10) | O |
| CLIENT-ID | Clients South African ID number | 13 | 1 | Numeric | (1), (2), (5), (10) | O |
| CLIENT-OTHER-ID | Clients other ID number | 10 | 1 | Alphanumeric | (1), (2), (5) | O |
| CLIENT-SURNAME | Client surname | 120 | 1 | Alphanumeric | (1), (2), (6) | M |
| CLIENT-INITS | Client initials | 5 | 1 | Alphanumeric | (1), (2), (7) | O |
| CLIENT-FIRSTNAMES | Client first names | 90 | 1 | Alphanumeric | (1), (2), (7) | O |
| CLIENT-DOB | Client date of birth | 8 | 1 | CCYYMMDD | (10) | O |
| CLIENT-POST-ADDR | Client postal address lines | 35 | 4 | Alphanumeric | (1), (2), (8) | M |
| CLIENT-POST-CODE | Client postal code | 10 | 1 | Alphanumeric | (1), (2), (8) | M |
| CLIENT-PHY-ADDR | Client physical address lines | 35 | 4 | Alphanumeric | (1), (2) | O |
| CLIENT-PHY-CODE | Client physical postal code | 10 | 1 | Alphanumeric | (1), (2) | O |
| ADDR-CHANGE-DATE | Last date the address was changed on the system | 8 | 1 | CCYYMMDD | (4) | O |

Remarks:

1. Blank padded.
2. Left justified.
3. The Income Tax reference number must be provided if it is known to the SOURCE SYSTEM.
4. This is the change of address date for Postal address. This field is in the form of CCYYMMDD where:

   CC IS THE CENTURY, YY IS THE YEAR, MM IS THE MONTH, DD IS THE DAY IN THE MONTH
5. If the client does not have a South African ID the other ID shall be specified (e.g. passport number).
6. This field is mandatory in accordance with [A1] Section 69.
7. At least one of CLIENT-INITS or CLIENT-FIRSTNAMES must be supplied. The record will be rejected if both are blank.
8. The Population of the Postal address must start from the first occurrence.

9. This number must be allocated by the Source System to identify the client that this Personal line is assigned to; i.e. it is the unique number that the SOURCE SYSTEM uses to identify the client with. It will be used for file format and structure validation done by SARS to ensure that the Detail line(s) provided belong to this Personal line. This number is not used by SARS to match the tax payer as this number can differ between separate systems at the SOURCE SYSTEM.

10. At least one of Tax reference number, Identity number or Date of Birth must be provided. (If available, Identity number should always be populated). The record will be rejected if these three fields are blank or if populated fields do not pass the modulus checks.

### 3.2.4.4.3 Insurance Payment Details Data Record

This record type contains information regarding the insurance payments by the Client.

All fields specified for this record format are required in accordance with Sections 69of [A1].

There may be many occurrences of this record or each personal details record.

The format of each data record is given in Table 3-6.

**Table 3-6: Insurance Payment Extract Details Data Record Layout**

| Name | Description | Length | Occurs | Validation | Remarks | Mandatory/ Optional |
|---|---|---|---|---|---|---|
| SEC-ID | File section identifier | 1 | 1 | "D" | | M |
| CLIENT-NO | Insurance unique number | 25 | 1 | Alphanumeric | (1), (2) | M |
| SOURCE-CODE | The source code indicating the nature of the deduction of the Insurance's Client | 4 | 1 | Numeric | (4) | M |
| YEAR | Tax Year | 4 | 1 | CCYY | (3) | M |
| POLICY-MEMBERSHIP-NO | Clients unique member number to the Fund | 20 | 1 | Alphanumeric | (1), (6) | M |
| FUND-NAME | Registered Fund Name | 120 | 1 | Alphanumeric | (1), (7) | M |
| APPROVED-FUND-NO | Unique number for the Fund issued by SARS (starts with 18/20/4) | 20 | 1 | Alphanumeric | (1), (8) | M |
| CURRENT-AMT | | 15 | 1 | Numeric | (5) | M |
| ARREAR-AMT | | 15 | 1 | Numeric | (5) | O |
| POLICY-COMMENCE-DATE | Date member joined the fund | 8 | 1 | CCYYMMDD | (9) | M |

Remarks:

1. Blank padded;
2. This number must correspond with the record provided in the personal details record.;
3. As per SARS tax year;
4. The income source code table is provided in Appendix A;
5. Right justified and zero padded;
6. This unique number is allocated by the SOURCE SYSTEM to link the client to the Fund (i.e. RA or Income Continuation Policy);
7. The name of the Fund. This field is mandatory in accordance with [A1] Section 69;
8. The Approved Fund Number is mandatory if it is a Retirement Annuity Fund (i.e. NOT required for an Income Protection (Replacement) scheme). This is NOT the number issued by the Financial Board (FSB number);
9. This field is in the form of CCYYMMDD where:

   CC is the century

   YY is the year

   MM is the month

   DD is the day in the month

### 3.2.4.4.4 Insurance Payment Extract Details Trailer Record

The trailer record of the file contains file integrity check fields. Table 3-78 provides the format of the trailer section.

**Table 3-7: Insurance Payment Extract Details Trailer Record Layout**

| Name | Description | Length | Occurs | Validation | Remarks | Mandatory/ Optional |
|---|---|---|---|---|---|---|
| SEC-ID | File section identifier | 1 | 1 | "T" | | M |
| REC-NO | Number of data records in this file (excluding the header and trailer records) | 8 | 1 | Numeric | (1), (2) | M |
| CURRENT-AMT-CONTROL-TOT | Control total of all Current amounts | 15 | 1 | Numeric | (1), (3) | M |

Remarks:

1. Right justified and zero padded;
2. This is the total number of records in the data record section of the file. It is used to check the file integrity;
3. The total of all Current Amounts from the detail records for control purposes.

### 3.2.4.5 Insurance Payment Extract Response File

An Insurance payment extract Response file will be created by SARS for all files received from the SOURCE SYSTEM including files received via CD.

The file will acknowledge receipt of an Insurance payment Extract Details file. If the received file contains no errors then the header record of this response file will indicate successful receipt of the file. The trailer record will then indicate that there are no data records in this file. If on the other hand errors are detected in the input file the header of the response file will include an indication that the input file was rejected or line errors were detected in the file. In addition, error descriptions records will be provided that specify the nature and position of the error. The trailer will include a count of the error description records in the file.

#### 3.2.4.5.1 Insurance Payment Extract Response Header Record

The format of the header record is given in Table 3-8.

**Table 3-8: Insurance Payment Extract Response Header Record Layout**

| Name | Description | Length | Occurrence | Validation | Remarks |
|---|---|---|---|---|---|
| SEC-ID | Section identifier | 1 | 1 | “H“ | |
| INFO-TYPE | Information type | 8 | 1 | “INSRESP” | (1), (2) |
| INFO-SUBTYPE | Information subtype | 8 | 1 | Alphanumeric | (1), (2) |
| TEST-DATA | Test data indicator | 1 | 1 | “Y” or “N“ | |
| FILE-SERIES-CTL | File series control field | 1 | 1 | “S” | |
| EXT-SYS | External system ID | 8 | 1 | | (1), (2), (6) |
| VER-NO | Interface version number | 8 | 1 | “1” | (1), (3), (4) |
| OWN-FILE-NO | Unique file identifier | 14 | 1 | Alphanumeric | (1), (3), (8) |
| GEN-TIME | Date and time of file creation | 14 | 1 | CCYYMMDDhhmmss | (5) |
| RESP-FILE-ID | The file identifier of the file for which this is a response file | 14 | 1 | Alphanumeric | (1), (2), (9) |
| STATUS | Processing status | 2 | 1 | Numeric | (3), (7), (10) |

Remarks:

1. Blank padded
2. Left justified
3. Right justified
4. Version number increases whenever there is a change to this file layout
5. The date and time of file creation in the form of CCYYMMDDhhmmss, where:

   CC is the century

   YY is the year

   MM is the month

   DD is the day

   hh is the hours

   mm is the minutes

   ss is the seconds
6. This identification will be determined by SARS and provided to the SOURCE SYSTEM during the

Interface integration and commissioning phase.

7. The processing status could be one of the following:

   1 - Processed successfully

   2 - File totals incorrect

   3 - File format error

   4 - Duplicate file

   5 - Missing file(s)

   6 - File size exceeded

   7 - Processed successfully with rejected records

   No file ID will be provided in the response file ID field when a missing file is detected.

8. This unique number is allocated by SARS for reference purposes.
9. The unique file identifier supplied by the SOURCE SYSTEM (OWN-FILE-ID in Table 3-5) will be returned in this field.
10. Zero padded.

### 3.2.4.5.2 Error Description Record

This record type provides a description of an error that was detected in any of the records in an incoming Insurance payment Extract Details record.

The format of each data record is given in Table 3-9.

**Table 3-9: Error Description Record Layout**

| Name | Description | Length | Occurrence | Validation | Remarks |
|---|---|---|---|---|---|
| SEC-ID | Section identifier | 1 | 1 | "E" | |
| REC-NUM | Record Number | 8 | 1 | Numeric | (1), (2), (3), (7) |
| KEY | Record Key | 32 | 1 | Alphanumeric | (4), (5), (6), (8) |
| ERROR-NO | Error Number | 5 | 1 | Numeric | (1), (2), (3), (9) |
| ERROR-TEXT | Error Text | 65 | 1 | Alphanumeric | (4), (5), (6), (10) |

Remarks:

1. Zero padded.
2. Right justified.
3. Mandatory Field.
4. Optional field.
5. Blank padded.
6. Left justified.
7. This is the record number in which an error was detected. The header record will be record number 1 whereas the first data record will be record number 2.
8. This is the key of the record in which an error was detected. The key for an Insurance payment Extract Details file is the applicable Insurance payment unique client number, i.e. MEMBERSHIP-NO field. If the MEMBERSHIP-NO field was not specified in the record that caused the error this field will be left blank. If an error was detected in the header record or in the trailer record this record will not be provided.
9. This is an error number that was allocated by the SARS.
10. This field contains free text that describes the error. To comply with the Income Tax Act of 1962 as amended from time to time SARS may elect not to provide a descriptive text in this field.

### 3.2.4.5.3 Insurance Payment Extract Response Trailer Record

The trailer record of the file contains the file integrity check fields. Table 3-11 provides the format of the trailer record for the Insurance payment extract Form.

**Table 3-10: Insurance Payment Extract Response Trailer Record Layout**

| Name | Description | Length | Occurrence | Validation | Remarks |
|---|---|---|---|---|---|
| SEC-ID | Section identifier | 1 | 1 | "T" | |
| REC-NO | Number of data records in body (excluding the header and trailer records) | 8 | 1 | Numeric | (1), (2), (3) |

Remarks:

1. Blank padded.
2. Right justified.
3. This is the total number of error description records in the data section of the file. If the input file was accepted, i.e. it contained no errors this field will contain zeros.

# 4. NOTES

This section of the specification consists of additional information, notes or specifications not covered by the previous sections of this document.

## 4.1 Terms, Abbreviations and Acronyms

The terms, abbreviations and acronyms listed in this section are applicable to this interface.

| | | |
|---|---|---|
| ASCII | - | American Standard Code for Information Interchange |
| CD | - | Compact disk |
| EDI | - | Electronic Data Interchange |
| ECP | - | Engineering Change Proposal |
| FTP | - | File Transfer Protocol |
| ID | - | Identification |
| IT | - | Information Technology |
| ITS | - | Income Tax System |
| LAN | - | Local Area Network |
| Mbytes | - | Megabytes |
| NTU | - | Network Termination Unit |
| PKI | - | Public Key Infrastructure |
| SARS | - | South African Revenue Service |
| TCP/IP | - | Transfer Control Protocol/Internet Protocol. |

# A. APPENDIX A

## A.1 Source Code Table

A.1provides a list of source codes that are used for the Insurance Payment extracts.

**Table A-1: Deduction Source Codes**

| Source Code | Description |
|---|---|
| 4006 | Current Retirement Annuity Fund |
| 4007 | Arrears Retirement Annuity Fund |
| 4018 | Income Protection Contributions |

# B. APPENDIX B

## B.1 Third Party Compact Disk Submission Form

The following is a specimen of the form that must be completed and submitted with the CD containing the Third Party extracts.

**Figure A-1: Third Party** **Compact Disk Submission Form**

# South African Revenue Services

## Third Party Compact Disk Submission Form

| Organisation Details | |
|---|---|
| **NAME OF ORGANISATION:** | |
| **ADDRESS OF ORGANISATION:** | |
| **CONTACT PERSON NAME:** | |
| **CONTACT PERSON TELEPHONE NUMBER:** | |

| Compact Disk Details | |
|---|---|
| **DATE OF CREATION:** | |
| **DATE OF SUBMISSION:** | |
| **NUMBER OF FILES:** | |

| | |
|---|---|
| **FILE SEQUENCE NUMBERS:** | **Start Seq. No ……** **End Seq. No ……** |

## Compact Disk Return Details

| | |
|---|---|
| **RETURN INSTRUCTIONS:**<br><br>(Please provide details, e.g. return address, collection contact telephone number) | |