##### ROT01 Header Record

The format of the header record is provided in Table 3‑532.

Table 3‑32: ROT01 Header Record Layout

| **Name** | **Description** | **Length** | **Occur** | Validation | **Remarks** |
| --- | --- | --- | --- | --- | --- |
| SEC-ID | File section identifier | 1 | 1 | ‘H’ |  |
| INFO-TYPE | Information type | 8 | 1 | ‘ROT01’ | (1), (2) |
| INFO-SUBTYPE | Information sub-type | 8 | 1 | Blanks | (3) |
| TEST-DATA | Test data indicator | 1 | 1 | ‘Y’ or ‘N’ | (9) |
| FILE-SERIES-CTL | File series control field | 1 | 1 | ‘S’ | (10) |
| EXT-SYS | External system identification | 8 | 1 | ISP0901 | (1), (2), (8) |
| VER-NO | Interface version number | 8 | 1 | ‘1’ | (1), (4), (5) |
| OWN-FILE-ID | Unique file identifier | 14 | 1 | Alphanumeric | (1), (2), (6) |
| GEN-TIME | Date and time of file creation | 14 | 1 | CCYYMMDDhhmmss | (7) |

Remarks:

1. Blank-padded
2. Left-justified
3. The sub-type is not used and contains blanks
4. Right-justified
5. Version number increases whenever there is a change to this file layout
6. The sending system will insert an identifier that will uniquely identify the file
7. 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 in month

hh is hours

mm is minutes

ss is seconds

1. This field contains the identification of the REQUESTOR (ISP0901 system parameter).
2. If the value of this field is Y, the information in this file must not be applied to the production database of the SARS system. If the value of this field is N, the information must be applied to the production database. Alternatively, the file must be rejected.
3. This file must always contain the character S.

##### ROT01 Data Record

This data record contains the ROT01 form, submitted when the receiving fund submits a Recognition of Transfer of funds (transfers a benefit or portion of a benefit before retirement) to SARS.

The format of each ROT01 data record is provided in Table 3‑6.

Mandatory fields are specified in the introduction to this request.

Table 3‑33: ROT01 Data Record Layout

| **Name** | **Description** | **Length** | **Occur** | **Validation** | **Remarks** |
| --- | --- | --- | --- | --- | --- |
| SEC-ID | File section identifier | 1 | 1 | ‘R’ |  |
| REQ-SEQ-NUM | ROT01 ID number | 20 | 1 | Alphanumeric | (1), (2), (7) |
| FUND-NAME | Transferee fund’s name | 120 | 1 | Alphanumeric | (1), (2) |
| FUND-CONTACT-PERSON | Contact person at the Transferee fund | 120 | 1 | Alphanumeric | (1), (2) |
| FUND-DIAL-CODE | Transferee fund’s dialling code | 10 | 1 | Alphanumeric | (1), (2) |
| FUND-TEL-NO | Transferee fund’s telephone number | 10 | 1 | Alphanumeric | (1), (2) |
| CELL-CONTACT-PERSON | Cell Number of transferee fund’s contact person | 20 | 1 | Alphanumeric | (1), (2) |
| EMAIL-ADDRESS-ADMINISTRATOR | Transferee fund’s email address | 50 | 1 | Alphanumeric | (13) |
| FUND-TYPE | Transferee fund type | 2 | 1 | Alphanumeric | (9) |
| FUND-CREATED-REASON | Transferee fund created reason | 2 | 1 | Alphanumeric | (10) |
| DIRECTIVE-NO | Directive number of transfer | 15 | 1 | Numeric | (3), (14) |
| IT-REF-NO | Taxpayer’s Income Tax reference number (Original member) | 10 | 1 | Numeric | (11) |
| TP-ID | Taxpayer SA ID number (Original member) | 13 | 1 | Numeric | (6) |
| TP-OTHER-ID | Taxpayer Other ID (Original member) | 18 | 1 | Alphanumeric | (1), (2), (6) |
| TP-DOB | Taxpayer date of birth (Original member) | 8 | 1 | CCYYMMDD | (5) |
| TP-SURNAME | Taxpayer surname (Original member) | 120 | 1 | Alphanumeric | (1), (2) |
| TP-INITS | Taxpayer initials (Original member) | 5 | 1 | Alphanumeric | (1), (2) |
| TP-FIRSTNAMES | Taxpayer first names (Original member) | 90 | 1 | Alphanumeric | (1), (2) |
| TAX-YEAR | Tax year for which the directive was requested | 4 | 1 | CCYY | (12) |
| DATE-OF-ACCRUAL | Date of withdrawal/transfer from transferring fund | 8 | 1 | CCYYMMDD | (5) |
| TRANSFERRED-AMOUNT | The amount received from the transferring fund in respect of amounts transferred | 15 | 1 | Numeric | (3), (8) |
| ADDITIONAL-AMOUNT | Any additional amount following directive issued date | 15 | 1 | Numeric | (3), (19) |
| FUND-NUMBER | Public Sector fund must provide an Approved fund number | 11 | 1 | Numeric | (1), (2), (4), (15), (18) |
| FSB-REGIS-NO | Approved Fund must provide FSB registration number | 19 | 1 | Alphanumeric | (1), (2), (4), (16), (18) |
| MEMBER-NO | Membership number in transferee fund | 20 | 1 | Alphanumeric | (1), (2), (4) |
| DECLARATION-IND | I declare that the information furnished is true and correct in every respect | 1 | 1 | ‘Y’, ‘N’ | (17) |

Remarks:

1. Blank-padded
2. Left-justified
3. Right-justified and zero-filled
4. Optional field and contains blanks if not provided
5. Date must be fully provided in the form of CCYYMMDD, where:

CC is the century

YY is year

MM is month

DD is day in month

1. One and only one of these fields must be supplied. The other ID number shall only be specified if the taxpayer does not have a South African ID number. SA ID number **must** **not** be entered as ‘other ID number’.
2. Unique serial identifier is allocated by the REQUESTOR. This identifier may be alphanumeric and may not be repeated in any subsequent directive request. This number must start with ‘ROT01’.
3. The two rightmost digits denote Cents; the remainder denotes the Rand amount. The value must be provided.
4. The fund type may be one of the following:

01 - Provident Fund

02 - Pension Fund

03 - Retirement Annuity Fund

04 - Provident Preservation Fund

05 - Pension Preservation Fund

06 - Unclaimed Preservation Fund

1. Fund created reason may be one of the following:

01 - Public sector fund

02 - Approved fund

99 - Other fund

1. The Income Tax reference number must be provided. If this number is not available, the value must be set to zero.
2. The tax year must be fully provided in the form of CCYY, where:

CC is the century

YY is year

1. This is a mandatory field and must contain information which is in a valid e-mail address format.
2. This is the directive number i.e. IRP3 number allocated by the ITS, in respect of the directive originally issued by the transferring fund, for funds transferred. A finalised directive must exist for the Directive Number as supplied by the fund that applied for the directive.
3. The approved fund number allocated by SARS. This number must be provided if the fund is a Public sector fund. Approved funds **must only use the FSB registration number**. Refer to remark 16.
4. This is the registration number, as allocated by the FSB (Financial Services Board), and must be provided in the format 12/8/8888888/999999, where 888888 is the registered fund or registered umbrella fund number and 999999 is the participating employer number. Approved funds must only use the FSB number in the correct format. If the FSB number does not consist of 7 digits, after the 12/8/ zeroes must be inserted **in front** of the number to avoid the decline of the directive. If the zeroes are entered after the FSB number it will not match the validation and the application will be declined.
5. If ‘No’, the ROT will be declined. If ‘Yes’ the capturer declares that all the information provided on the application form is correct and can be liable for any loss to the fiscus due to incorrect information provided.
6. One and only one of the following fields must be provided:
   * + Approved fund number
     + FSB registration number
7. The two rightmost digits denote Cents; the remainder denotes the Rand amount. The value must be set to zero if not provided.

##### ROT01 Trailer Record

The file trailer record contains the file integrity check fields. Table 3‑7 provides the format of the trailer section for a file containing ROT01 requests.

Table 3‑34: ROT01 Trailer Record Layout

| Name | **Description** | **Length** | **Occur** | Validation | **Remarks** |
| --- | --- | --- | --- | --- | --- |
| SEC-ID | File section identifier | 1 | 1 | ‘T’ |  |
| REC-NO | Number of requests in this file | 8 | 1 | Numeric | (1), (2), (3) |
| TRANSFERRED-AMOUNT-SUM | The aggregate of TRANSFERRED-AMOUNT fields in the file | 16 | 1 | Numeric | (1), (2), (4) |

Remarks:

1. Zero-filled
2. Right-justified
3. This is the total number of records in the data record section of the file, used to check the file integrity
4. The two rightmost digits denote Cents and the remainder denote the Rand amount