

EXTERNAL GUIDE

GUIDE FOR THE SUBMISSION OF THIRD PARTY DATA USING THE CONNECT DIRECT CHANNEL

REVISION HISTORY TABLE

Date	Version	Description
30-11-2020	4	Updated to include eFiling Redesign

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1 PURPOSE

- The purpose of this document is to guide the Technical Users, Technical Administrators and Business Administrators in uploading third (3rd) party data using the Connect Direct channel. The guide also demonstrates how to enrol, activate and delete a technical user, administrator and business administrator on eFiling.
- This guide in its design, development, implementation and review phases is guided and underpinned by the SARS Strategic Plan 2020/21 - 2024/25 and the applicable legislation. Should any aspect of this guide be in conflict with the applicable legislation the legislation will take precedence.

2 INTRODUCTION

- South African Revenue Service (SARS) implementation of a 3rd Party Data Platform enables taxpayers to submit 3rd party supporting data to SARS via the following channels:
 - eFiling (via a data submission form with a limited volume only)
 - SARS branch manual capturing (limited volume only)
 - Direct Data Flow (by using the Connect: Direct™ technology). Taxpayers are required to enrol and activate for this channel (refer to the Connect: Direct™ Guide for how to use this channel)
 - Direct Data Flow (by using the Secure Web: https). Taxpayers are required to enrol and activate for this channel.
- Direct Data Flow channel reduces the overall administrative burden of large volume data transfer, shorten data processing cycle times and provide for faster feedback. Taxpayers who want to use the Direct Data Flow channel must have eFiling profiles to enrol for this channel and activate it on eFiling.
- Taxpayers choosing to use the Direct Data Flow channel need to be in possession of a security certificate to ensure secure file submission. Taxpayers will also be required to declare the accuracy of the data submitted to SARS by authorising the data submission. To enable SARS to administer these security certificates and to authenticate file submission, 3rd party data providers must request security certificates as part of the enrolment and activation process.
- Taxpayers will only be able to activate the Direct Data Flow Channel for the tax data types below, due to the fact that the taxpayer must be issued with a security certificate to be used with every file submission and that SARS must be able to authenticate file submissions;
 - Dividends (Withholding) Tax,
 - VAT201 supporting data,
 - IT3 (b), (c), (e), (s) Medical and insurance submissions, and
 - Foreign Tax Information (FTI) and CRS.

Note: Taxpayers can only submit a maximum of 20 IT3 submissions via the eFiling channel.

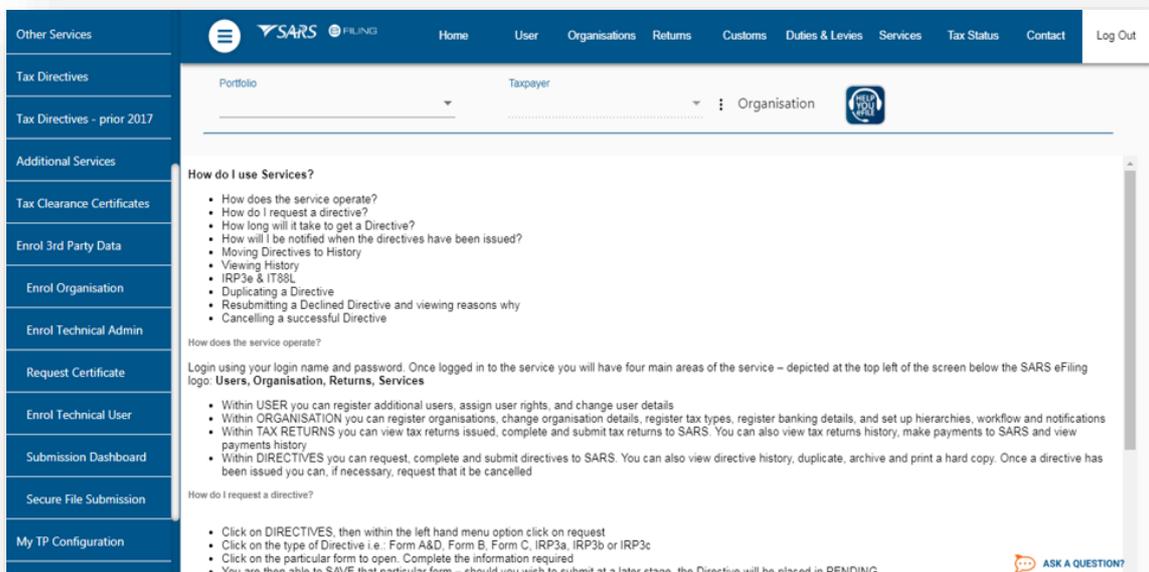
3 ENROLMENT ON EFILING AND SUBMISSION OF 3RD PARTY DATA TO SARS

- Non-eFilers wishing to use the Direct Data Flow channel should register for eFiling at www.sarsefiling.co.za
- To manage 3rd party data submission, the taxpayer must have the following three types of users allocated in the enrolment and submission of 3rd party data to SARS;
 - **Business Administrator** – This user is the same as the current eFiling full administrator. The role of this user is to enrol the legal entity/organisation that will be submitting data to SARS and the Technical Administrator. The taxpayer is not required to allocate new eFiling administrators for the purposes of 3rd party data submissions if one already exists.
 - **Technical Administrator** – The role of this user is to request the security certificate and to enrol technical users. If the taxpayer decides to change the Technical Administrator, a new Technical Administrator must be added before the existing one can be removed. There must always be at least one Technical Administrator for each enrolled organisation.
 - **Technical User** – The role of this user is to submit the data files to SARS via the Direct Data Flow channel. An organisation can have multiple Technical Administrators and Technical Users in order to allocate work according to the organisation's requirements. The technical user must be a different person from the technical administrator.

Important to note: Once enrollment of the organisation is completed, the person who enrolled the organisation becomes the Business Administrator. This implies that he/she (the Business Administrator) cannot be enrolled as a Technical Administrator or a Technical User.

3.1 Enrolling the Organisation

- To enrol the organisation, the user must be logged into eFiling at www.sarsefiling.co.za.

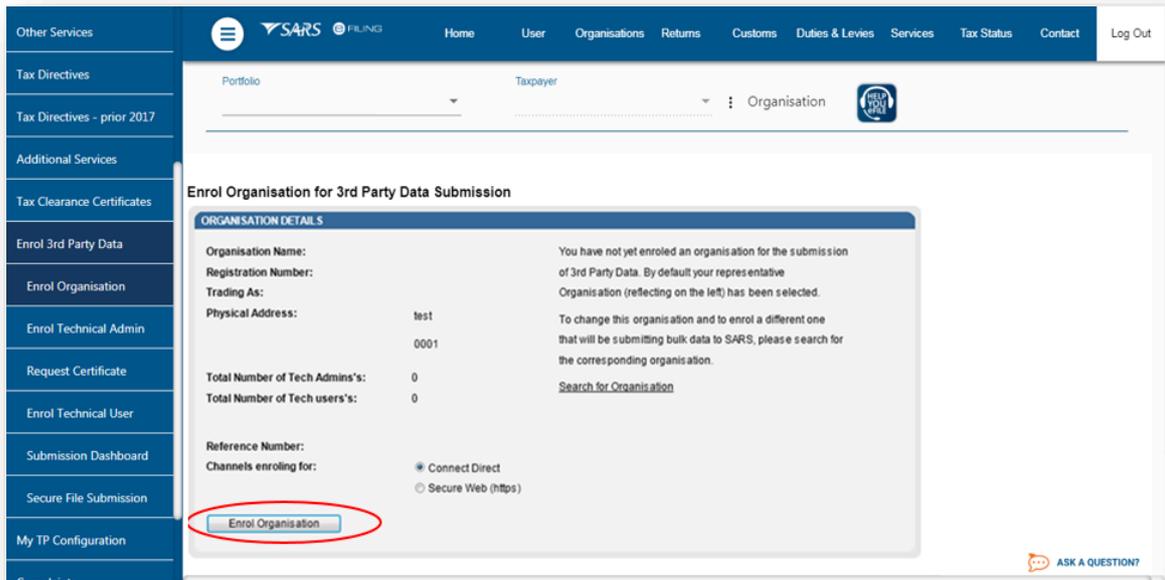


- Once logged into eFiling and on your **Organisation's work page**, click on **Services** in the top menu bar. From the side menu options, select **Enrol 3rd Party Data**.
- Under the **Enrol 3rd Party Data** option the following sub-menus are available:

Sub-Menu	Accessed by role
Enrol Organisation	Business Administrator (eFiling Administrator)
Enrol Technical Admin	Business Administrator (eFiling Administrator)
Request Certificate	Technical Administrator
Enrol Technical User	Technical Administrator
Submission Dashboard	Technical Administrator Technical User
Secure File Submission	Technical Administrator

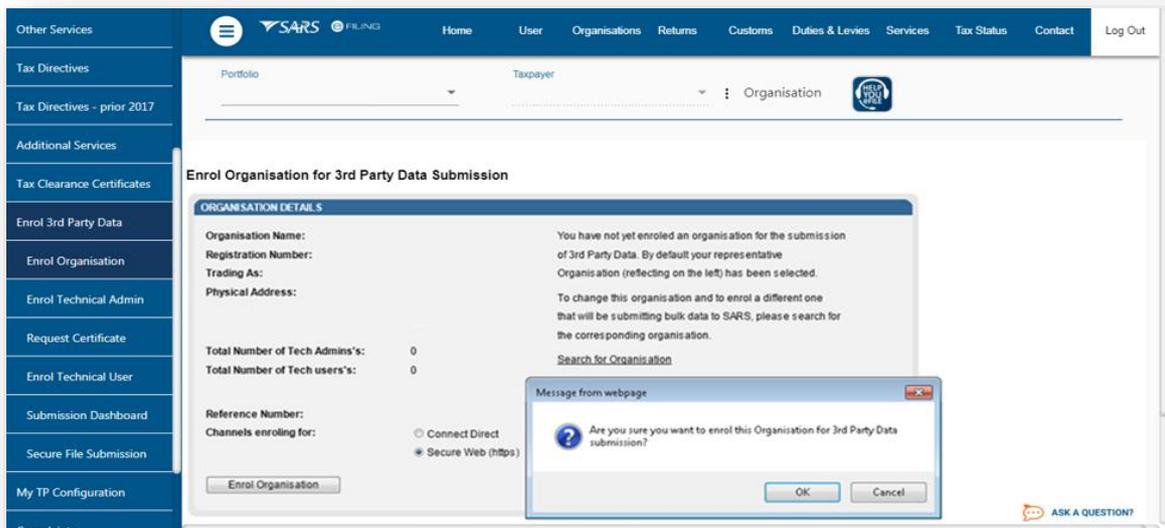


- Select **Enrol Organisation**
- The following screen, containing the organisations details will appear

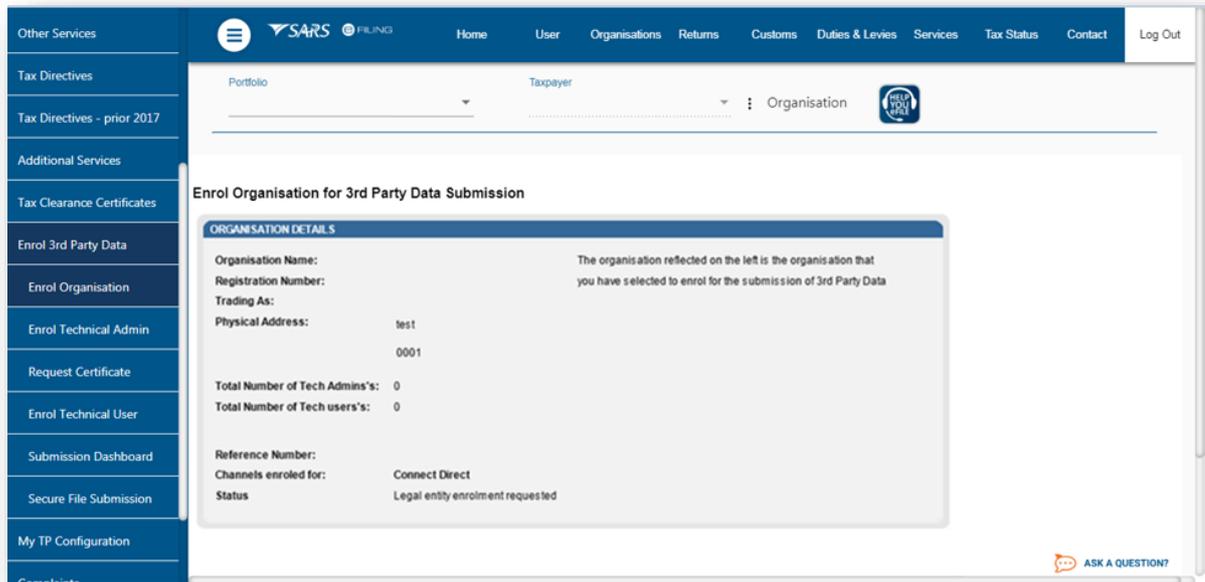


Note: If the **Income Tax, PAYE or VAT** Reference number for the company is not pre-populated on the textbox, enter the number on the textbox before you proceed to the next step.

- Click **Enrol Organisation** to retrieve the organisations details
- The following screen will be displayed



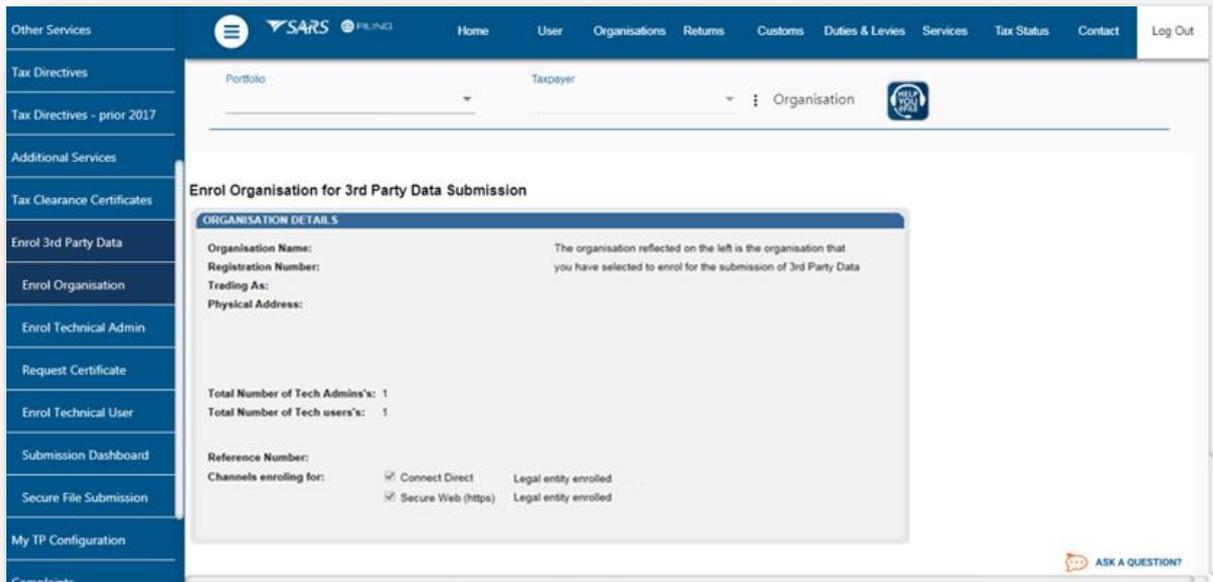
- Once you click on **Ok**, the following screen will be displayed



- Once an organisation has been enrolled, i.e. the **Status** is **Legal Entity Enrolled**; the Business Administrator will be able to enrol the Technical Administrator(s).

Note:

- Users can now switch from using Connect Direct to Secure Web (http) and vice versa. This requires users to enrol for the use of both Connect Direct and Secure Web (http). To enrol for both channels, once having enrolled for Connect Direct, follow the same procedure as above (3.1), however when selecting the preferred channel, select Secure Web (http). This will result in the user being enrolled for both Secure Web (http) and Connect Direct channels.
 - See screen displayed below:



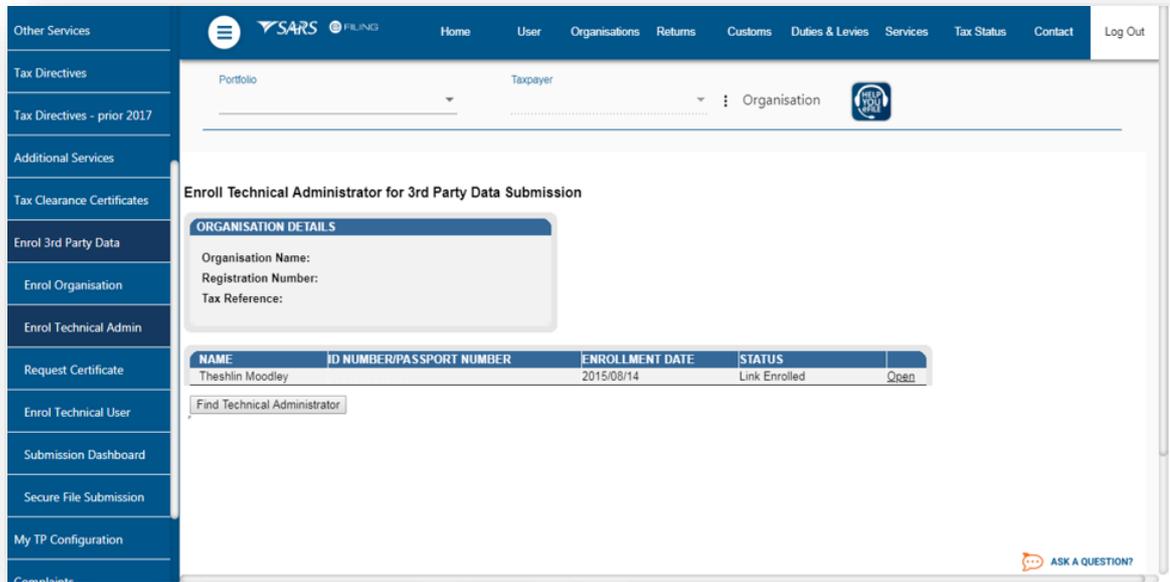
- The status will initially read as **Legal Enrolment Requested**. The status will later change to **Legal Entity Enrolled**. The organisation can only enrol a technical administrator if their status reads **Legal Entity Enrolled**.
- The status will only change once the user has refreshed the screen.

4 MANAGING TECHNICAL ADMINISTRATORS

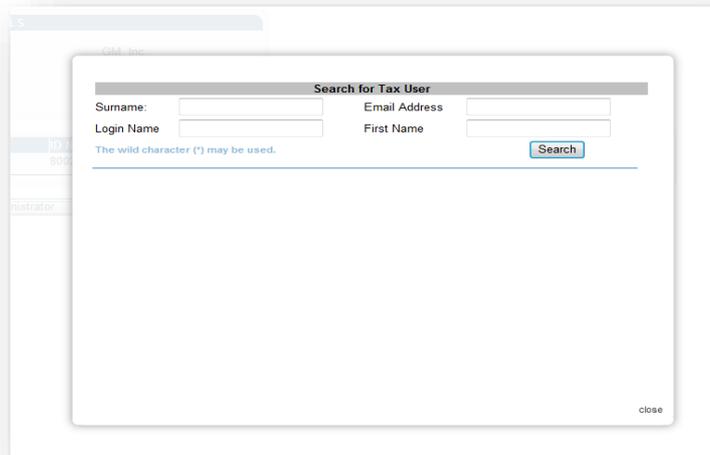
4.1 Enrolling a Technical Administrator



- To enrol a Technical Administrator, select **Enrol Technical Admin** from the side menu options, on your Organisations work page under the **Enrol 3rd Party Data** menu.



- Click **Find Technical Administrator** to search and select a **Technical Administrator**.



- Complete the information required and click on **Search**. The user can complete one of the fields and click on search. If no values are entered in the above fields, click on **Search** and all the registered eFiling users for the relevant organisation will be displayed.

GM, Inc.

Search for Tax User

Surname: Email Address:

Login Name: First Name:

The wild character (*) may be used.

Record found. Page 1 of << Previous Next >>

Surname	First Name	Login Name	Email Address

[Back to Top](#)

close

- The screen with the user's details will be displayed. Select the user to be enrolled as the Technical Administrator.

GM, Inc.

Enroll Technical Administrator for 3rd Party Data Submission

USER DETAILS

Name:

ID Number:

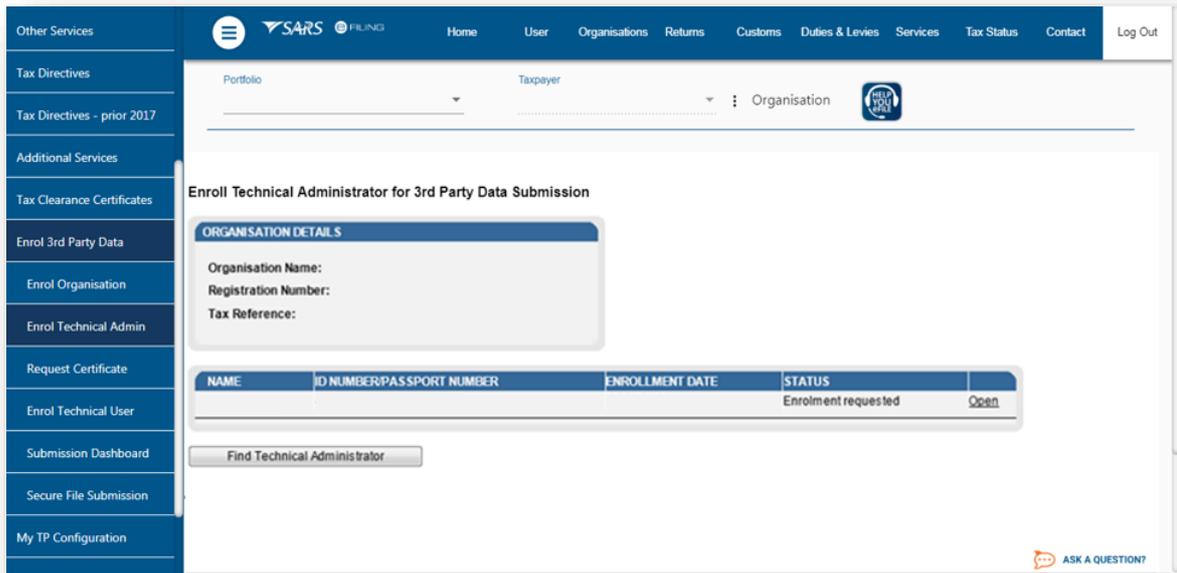
Email Address:

Cell Phone:

Telephone Number:

close

- The screen with the details of the selected user will be displayed as confirmation. Select **Enrol Technical Administrator**, to submit the request.

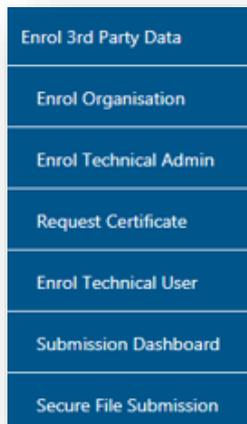


- By selecting the **Enrol Technical Administrator** button you will be redirected to the grid page.
- In the **Status** column, the status **Enrolment Requested** indicates that SARS is still processing the enrolment. The status **Link Enrolled** will be displayed once the enrolment of the user as the Technical Administrator has been confirmed.
- To replace one Technical Administrator with another Technical Administrator, the first enrolled Technical Administrator must have a status **Link Enrolled**. The Business Administrator must then enrol a new Technical Administrator. Click **Find Technical Administrator** and once a new Technical Administrator has been enrolled, the other Technical Administrator can be deleted.

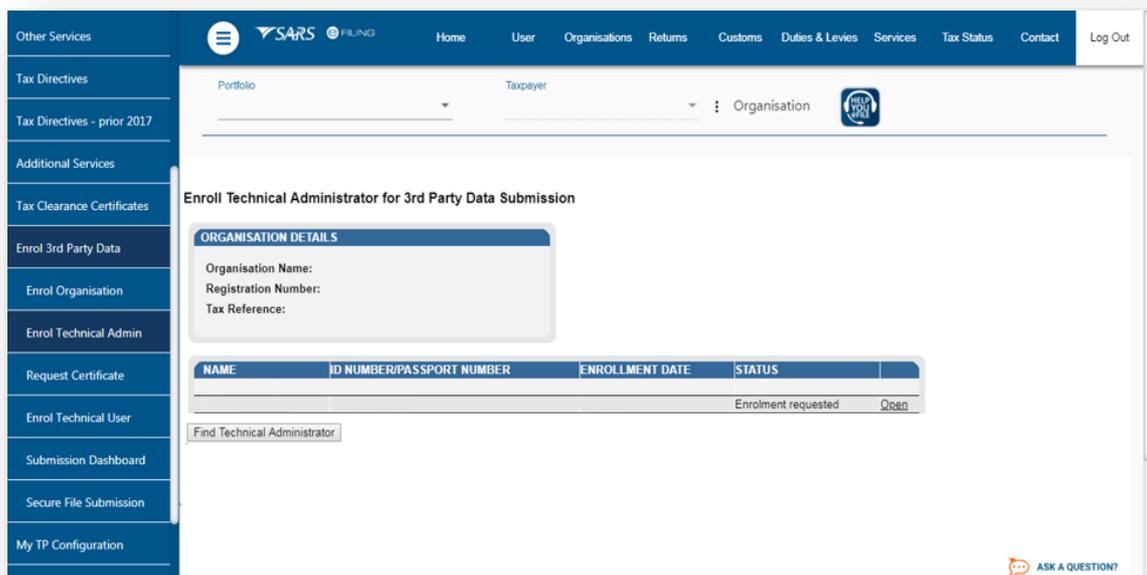
Note:

To delete all Technical Administrator(s), all associated Technical Users and certificates need to be deleted first. Refer to paragraph 7.1 Enrolling a Technical User for a description of how to delete technical users.

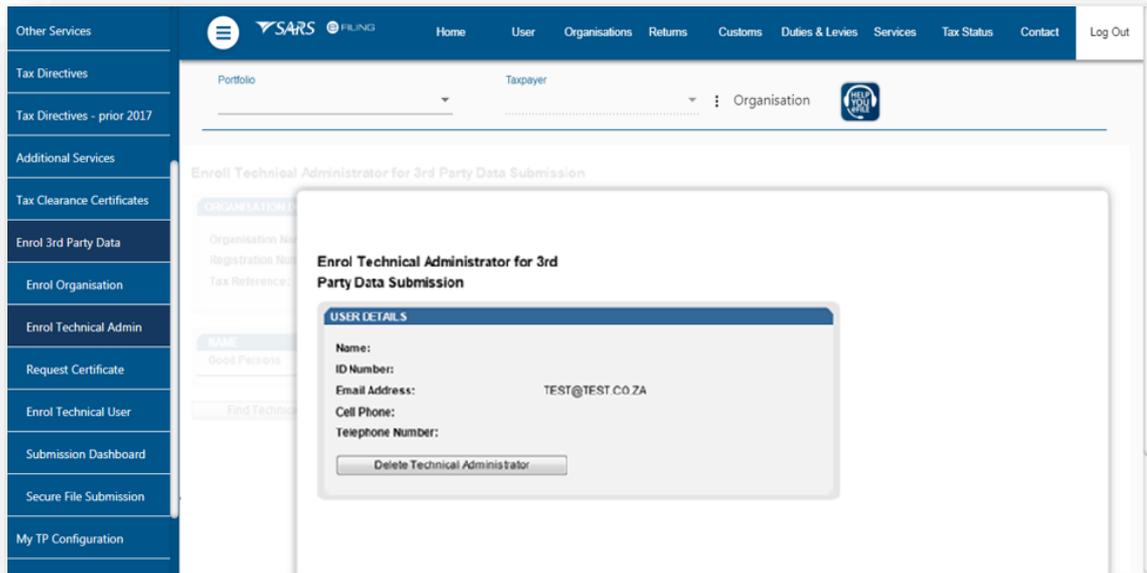
4.2 Viewing details of a Technical Administrator



- To view all the Technical Administrators, click **Enrol Technical Admin**.

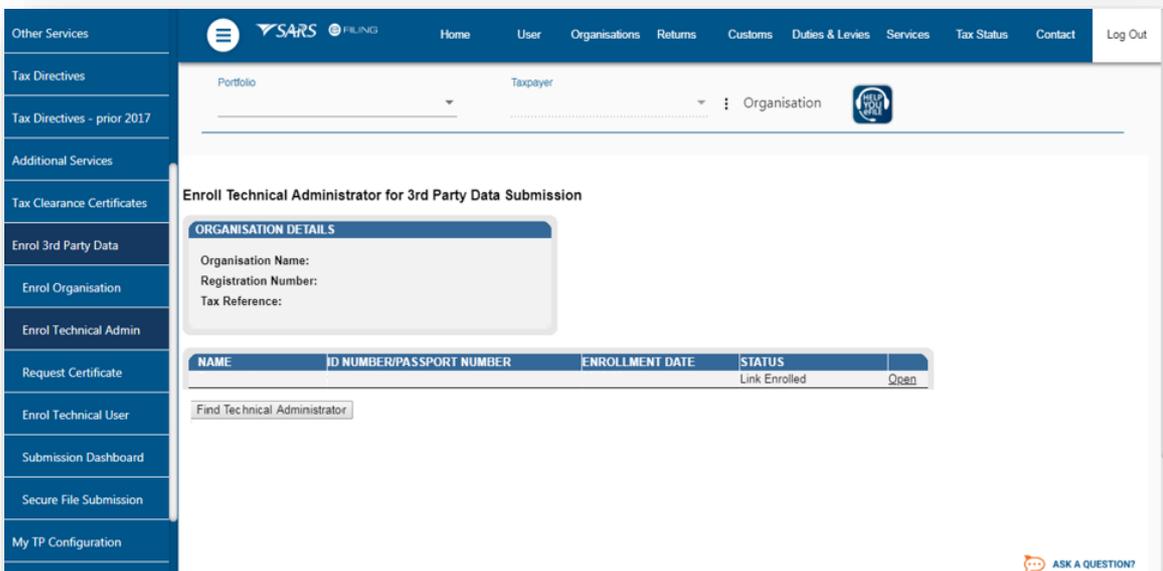


- All the Technical Administrators with the associated status with regard to their enrolment and activation will be displayed. Click **Open** next to a Technical Administrator to view the details of that particular Technical Administrator.

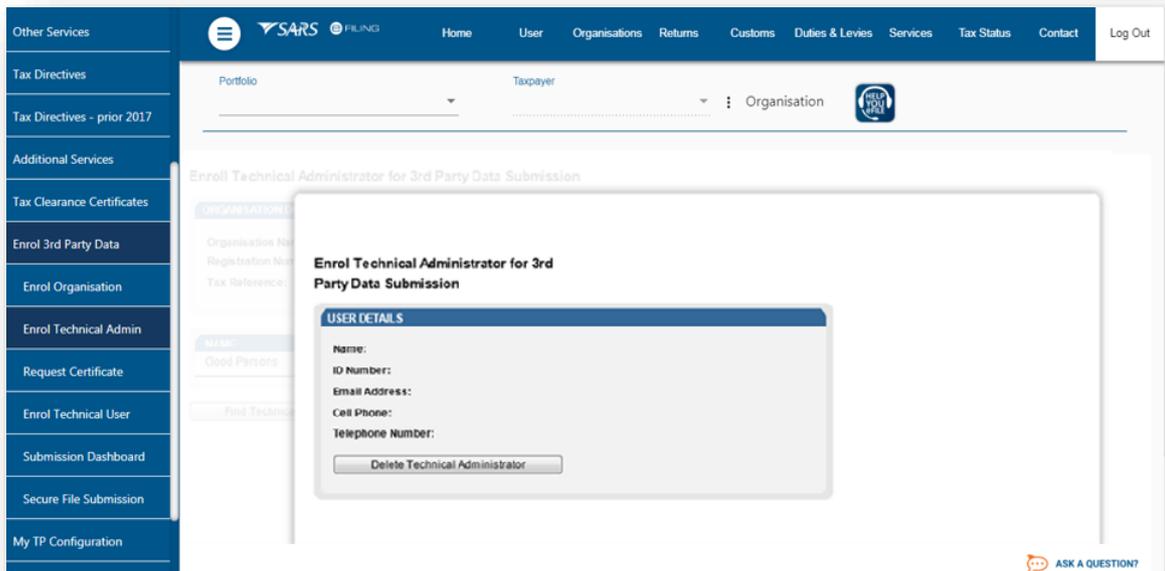


- Details of the particular Technical Administrator will now open.

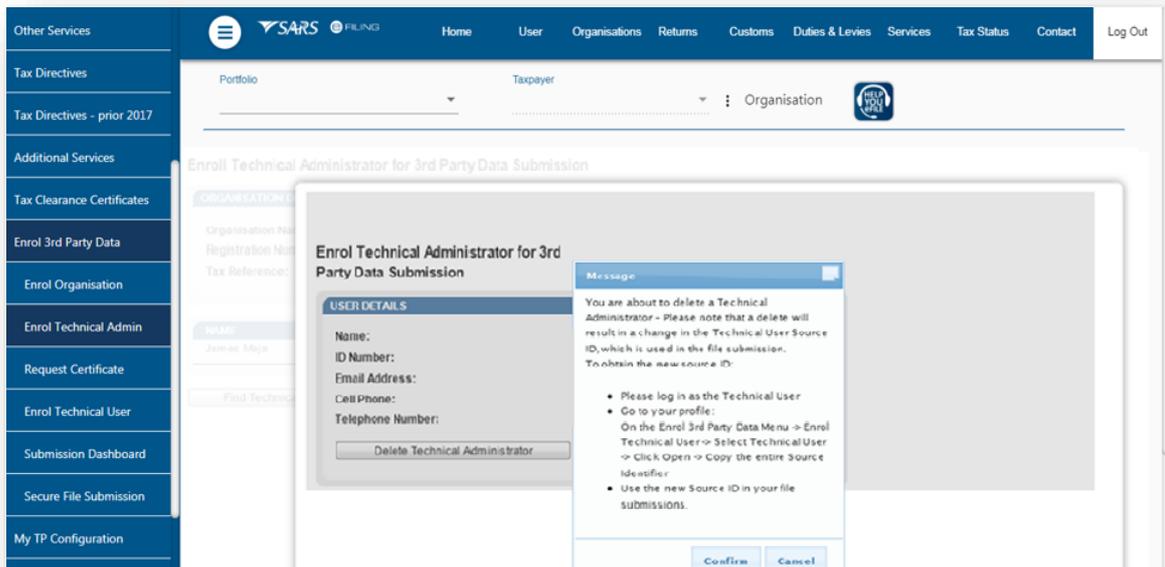
4.3 Deleting a Technical Administrator



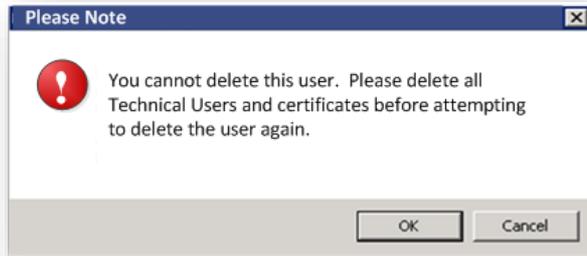
- To delete a Technical Administrator, click **Open** next to the Technical Administrator that is to be removed.



- Click **Delete Technical Administrator** to remove the Technical Administrator.



- You will be prompted to confirm that the user must be deleted. If you select **confirm**, the Technical Administrator will be deleted. To cancel the deletion, select **Cancel**.
- To delete all Technical Administrator(s), all associated Technical Users and certificates need to be deleted first. Refer to paragraph 7.1 Enrolling a Technical User for a description of how to delete technical users.



- If you attempt to delete the only enrolled Technical Administrator without having deleted all the Technical Users first, this message will be displayed

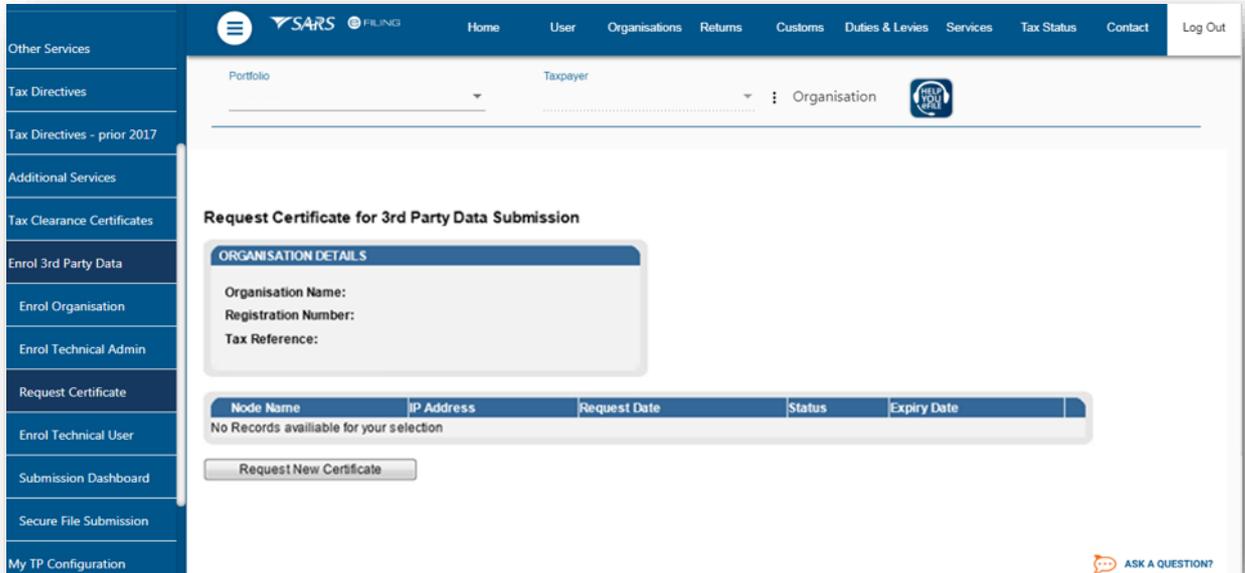
5 SECURITY CERTIFICATE FROM SARS

5.1 Requesting a security certificate

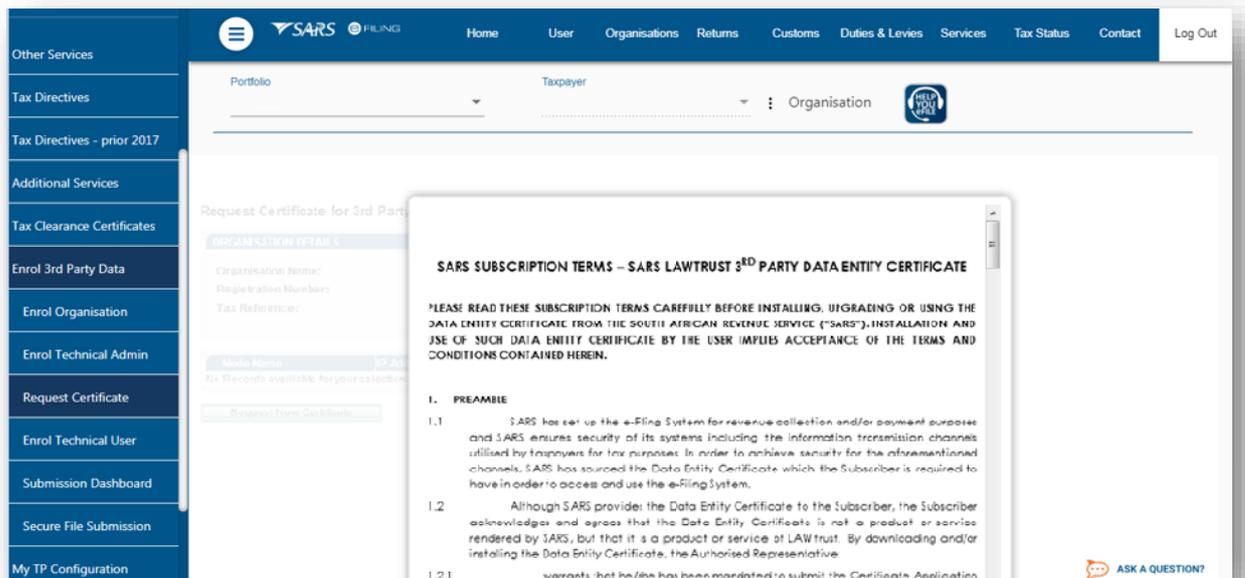
- Once a Technical Administrator has been enrolled successfully, the Technical Administrator can request the security certificate from SARS. This security certificate is required for submission of data via the Connect: Direct channel.

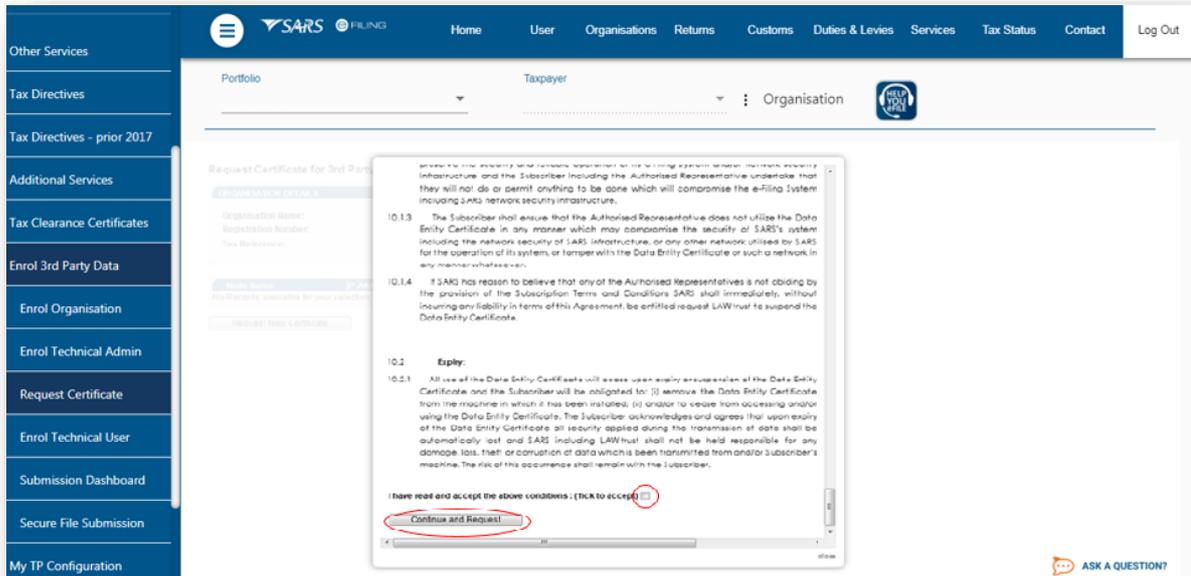


- To request the security certificate from SARS, select **Request Certificate** from the side menu options, on your Organisations work page under the **Enrol 3rd Party Data** menu.

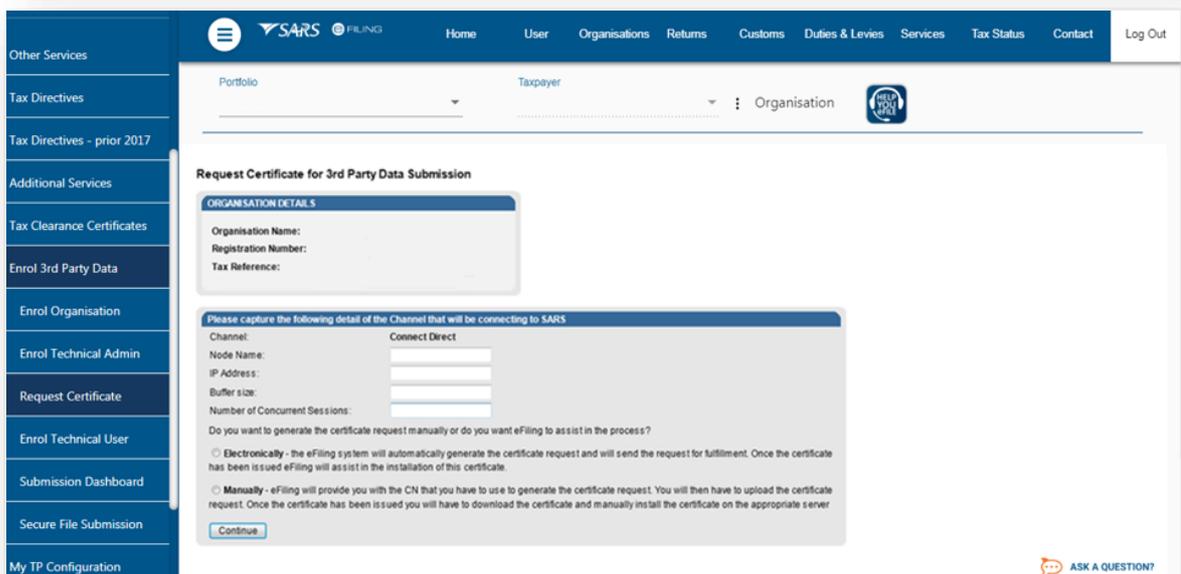


- The **Request Certificate** screen will list all certificates that were issued for that taxpayer. Initially this list will be empty. Click **Request New Certificate** to start a new certificate request process.





- You will be requested to accept the Terms and Conditions (T&C) that govern the use of this service by ticking the box next to **I have read and accept the above conditions**. Once the terms and conditions have been accepted, click **Continue and Request**. Please note that unless the terms and conditions are accepted, you will not be able to proceed to the next step.



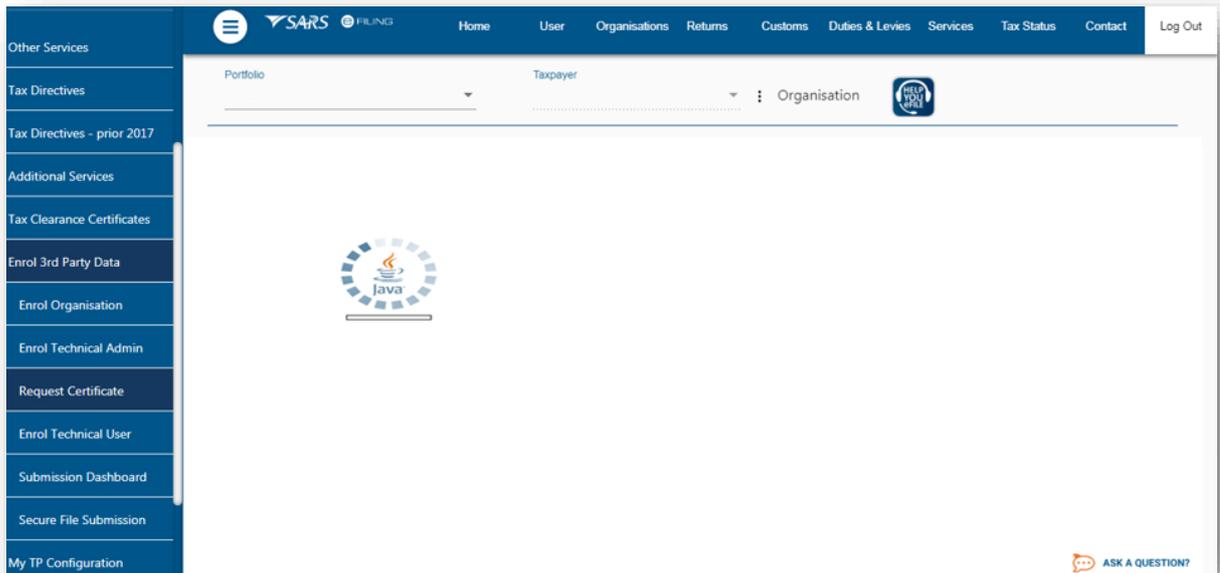
- Capture the **Node Name, IP Address, Buffer size** and **Number of Concurrent Sessions**.
- **Number of Concurrent Sessions** is the number of simultaneous file transfer connections available at any time. Refer to the relevant netmap definitions for **Connect: Direct** to obtain this number.
- Select either the **Electronic** or **Manual** options for issuing the security certificate.

5.2 Electronic request process

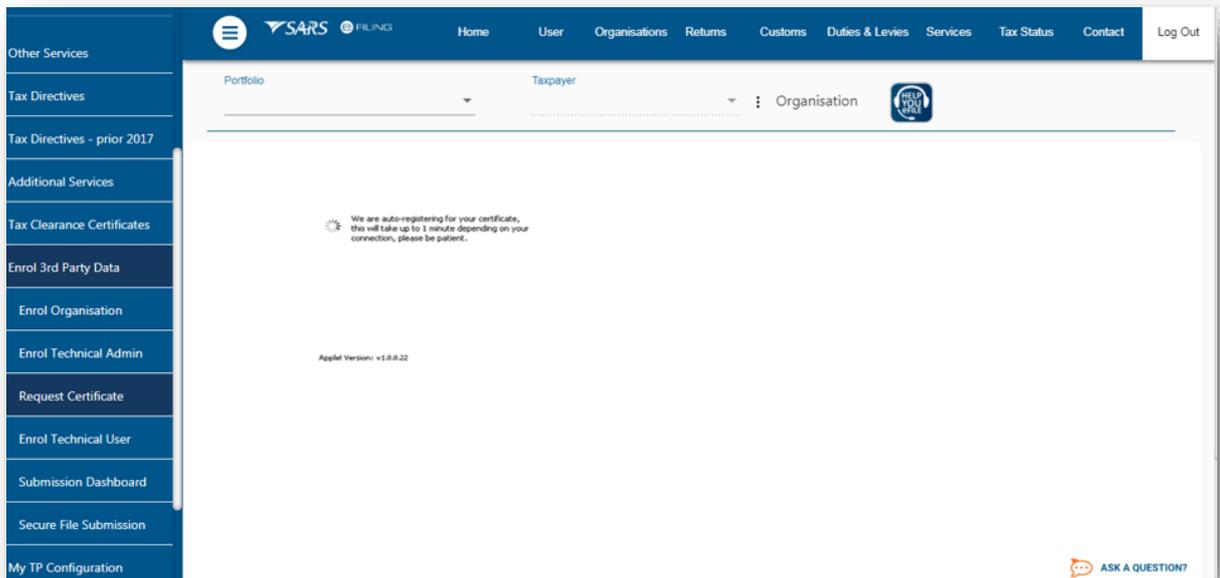
The screenshot shows the SARS eFiling portal interface. The main content area is titled "Request Certificate for 3rd Party Data Submission". It contains two main sections:

- ORGANISATION DETAILS:** A form with three input fields: "Organisation Name:", "Registration Number:", and "Tax Reference:".
- Please capture the following detail of the Channel that will be connecting to SARS:** A form with several input fields: "Channel:" (with "Connect Direct" selected), "Node Name:", "IP Address:", "Buffer size:", and "Number of Concurrent Sessions:". Below these fields is a question: "Do you want to generate the certificate request manually or do you want eFiling to assist in the process?". There are two radio button options: "Electronically - the eFiling system will automatically generate the certificate request and will send the request for fulfillment. Once the certificate has been issued eFiling will assist in the installation of this certificate." and "Manually - eFiling will provide you with the CN that you have to use to generate the certificate request. You will then have to upload the certificate request. Once the certificate has been issued you will have to download the certificate and manually install the certificate on the appropriate server". A "Continue" button is located at the bottom of this section.

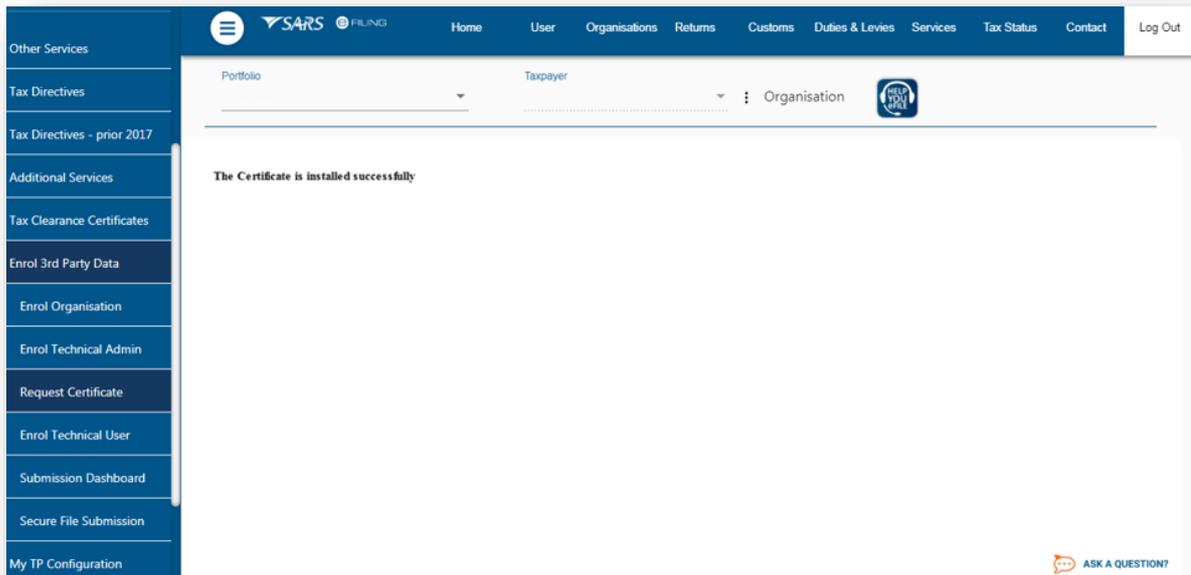
- To generate the security certificate request electronically, select **Electronically** button. This means that the eFiling system will automatically generate the security certificate request and will send the request for fulfillment. Once the security certificate has been issued, eFiling will assist in the installation of the security certificate.
- To use the electronic request process complete the screen as per the example above and once you are done, click **Continue**.



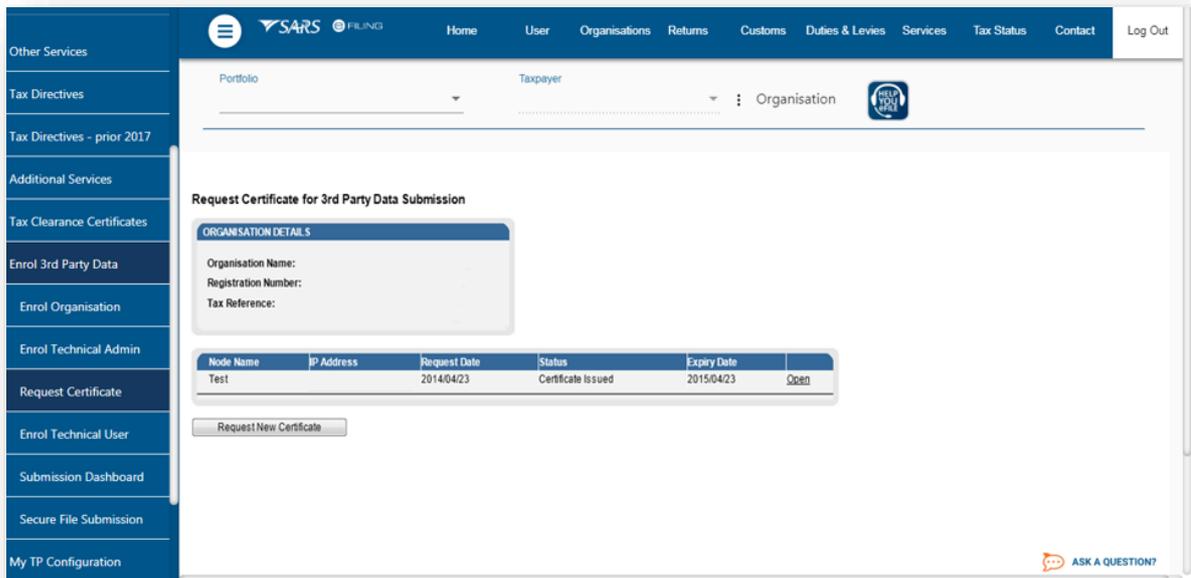
- SA Java Applet widget will load on the screen



- Once the Java Applet widget has loaded the screen above will be displayed. Click **Browse** to locate the directory for the certificate to be exported and then click **Export cert.**



- A message will appear confirming that your certificate has been successfully installed



5.3 Manual request process

Other Services
Tax Directives
Tax Directives - prior 2017
Additional Services
Tax Clearance Certificates
Enrol 3rd Party Data
Enrol Organisation
Enrol Technical Admin
Request Certificate
Enrol Technical User
Submission Dashboard
Secure File Submission
My TP Configuration

SARS eFILING Home User Organisations Returns Customs Duties & Levies Services Tax Status Contact Log Out

Portfolio Taxpayer Organisation

Request Certificate for 3rd Party Data Submission

ORGANISATION DETAILS

Organisation Name:
Registration Number:
Tax Reference:

Please capture the following detail of the Channel that will be connecting to SARS

Channel: **Connect Direct**

Node Name:
IP Address:
Buffer size:
Number of Concurrent Sessions:

Do you want to generate the certificate request manually or do you want eFiling to assist in the process?

Electronically - the eFiling system will automatically generate the certificate request and will send the request for fulfillment. Once the certificate has been issued eFiling will assist in the installation of this certificate.

Manually - eFiling will provide you with the CN that you have to use to generate the certificate request. You will then have to upload the certificate request. Once the certificate has been issued you will have to download the certificate and manually install the certificate on the appropriate server

Continue

ASK A QUESTION?

- To use the manual process to request a security certificate, select **Manually** and click **Continue**.

Other Services
Tax Directives
Tax Directives - prior 2017
Additional Services
Tax Clearance Certificates
Enrol 3rd Party Data
Enrol Organisation
Enrol Technical Admin
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Enrol Technical User
Submission Dashboard
Secure File Submission
My TP Configuration

SARS eFILING Home User Organisations Returns Customs Duties & Levies Services Tax Status Contact Log Out

Portfolio Taxpayer Organisation

Request Certificate for 3rd Party Data Submission

ORGANISATION DETAILS

Organisation Name:
Registration Number:
Tax Reference:

Please capture the following detail of the Channel that will be connecting to SARS

Channel: **Secure Web (https)**

Interface Name: TesManual

Please select the following text to manually request your certificate

After the certificate request has been created, please copy the CSR into the text field below

Request Certificate

ASK A QUESTION?

- A request string will be issued to the IP Address provided. Copy the request string into the textbox. Once you have done this, click **Request Certificate**.

-----BEGIN CERTIFICATE REQUEST-----

MIIC3jCCAcYCAQAwwZoxFTATBgNVBAMMDFJlaW5oYXJkIDAwwMTEUMBIGA1UECwwL
QmVocmVucyAwMDEwETAPBgNVBAoMCEwvB3RydXN0MRIwEAYDVQQHDAlDZW50dXJp
b24xEDA0BgNVBAGMBOhdXRlbmcxCzAJBgNVBAYTAlpBMSUwIwYJKoZIhvcNAQkB
FhZzdXBwb3J0QGxhd3RydXN0LmNvLnphMIIBIjANBgkqhkiG9w0BAQEFAAOCAQ8A
MIIBCgKCAQEAh2bZmV0r1yPG/DLRRQXDpwR/hy4fCleaQDXzX4P4h8LFBRLFY88N
ceuUJDISYbtME/sS4+z7+sIK/ubTJLrZE moaO/gj5JvJhGffYWG69ZEOsGssN8Tq
w9pA4XgloBb+ExzvrmgMvq7ro4EwiWZ6+URBxUqwsRsThakmbZdejtBUqSWckldr
a2XgDvHgDqhX/CKPPJ84qa3+eLONQXAMV2Mmy0YI7qrOxjDUh9jD1T/ce+6M/1C9
NHfwMjAvKFXLvsVAW+MOuK50qo6GeYUy8ZxfFCMADhyxHW7qK2COBQZmqtpK7PT
3jmcMb7axyJ6PolK8iaQIFRWa3SATH1kywiDAQABMA0GCSqGSib3DQEBBQUAA4IB
AQAY5/Ug6bA1lrAlM954hkhyJGMSmGJA8w+TkrTI5KGUoc7fMV1bqkDvt+aToGxV
ftengEf98JrGi48W13diazynLMvyNnaOCIK5xy144SpliLBWUvHHXVP0obnDJnsN
HKX+BBHiBl/9nyVYkM0Jgqepa4PNLjPSjyvxbc/Git1cb2bC0svHWWcnlB1J1Htq
iwZVbEdknzGEmRY3fjrChf5dTdenroavythyKbsNlgJpinlowrLEDjnMqmQIYNxi
7gJWOx2S6IP1vva1iYuf5KRJMSaF+3OxmK7qZR+j/08/HuBatOZ1+3gwpL5oPpxx
iCb1hDfnib25L3kWQe4JtNKd

-----END CERTIFICATE REQUEST-----

- Please note that a typical request string will look as displayed.
- You will now have the option to download the security certificate and then install it on the relevant server or to reinstall the security certificate.

5.4 Deleting a Certificate

Other Services

Tax Directives

Tax Directives - prior 2017

Additional Services

Tax Clearance Certificates

Enrol 3rd Party Data

Enrol Organisation

Enrol Technical Admin

Request Certificate

Enrol Technical User

Submission Dashboard

Secure File Submission

My TP Configuration

Portfolio Taxpayer Organisation

Request Certificate for 3rd Party Data Submission

ORGANISATION DETAILS

Organisation Name:
Registration Number:
Tax Reference:

Please capture the following detail of the Channel that will be connecting to SARS

Channel: Connect Direct

Node Name: test

IP Address:

Buffer size: 2048

Number of Concurrent Sessions: 1

Your certificate has been successfully issued

Status: Certificate Issued

Issued date: 2014/04/23

Expiry date: 2015/04/23

Certificate: Click [here](#) to download certificate or click [here](#) to reinstall certificate

Revoke Certificate Renew Certificate

ASK A QUESTION?

- **Revoke Certificate** – You have the option to revoke a security certificate. If **Revoked Certificate** is clicked, the certificate will be revoked and the status of the security certificate will change to indicate that it was cancelled. The revoked security certificates will remain in the list of certificates.
- **Renew Certificate** – Security certificates are only valid for 12 months from date of issue. The **Renew Certificate** button will only be available 30 days prior to the expiry date.

6 MANAGING TECHNICAL USERS

6.1 Enrolling a Technical User

Enrol 3rd Party Data

Enrol Organisation

Enrol Technical Admin

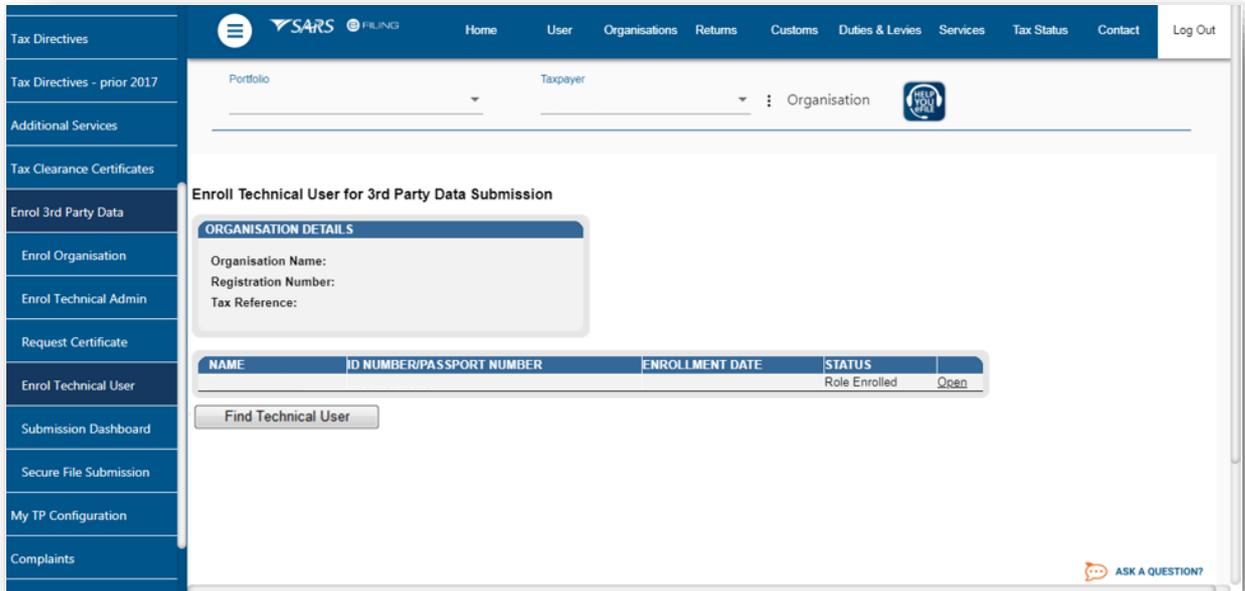
Request Certificate

Enrol Technical User

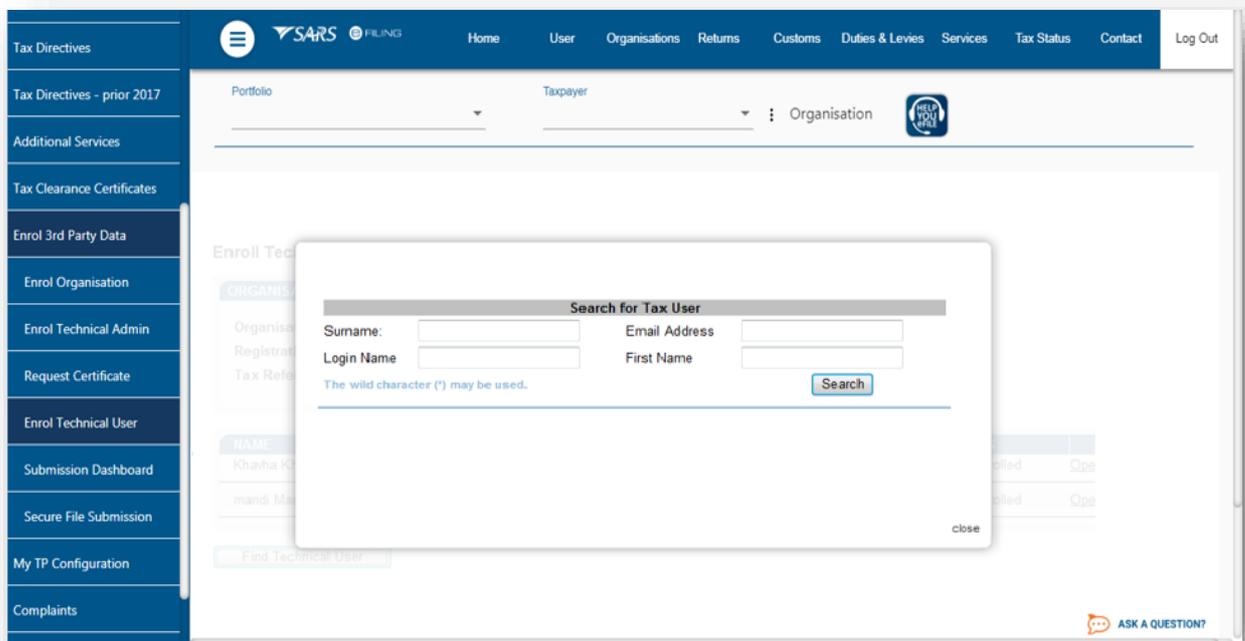
Submission Dashboard

Secure File Submission

- To enrol a technical user, select **Enrol Technical User** from the side menu options, on your Organisations work page under the **Enrol 3rd Party Data** menu.



- Click **Find Technical User** to search and select a Technical User.



- Complete the information required and click **Search**. If no values are entered in the above fields, click **Search** and all the registered eFiling users for the relevant organisation will be displayed
- Select the user to be enrolled as a Technical User.

Search for Tax User

Surname: Email Address:
 Login Name: First Name:

The wild character (*) may be used.

Record found. Page 1 of << Previous Next >>

Surname	First Name	Login Name	Email Address

[Back to Top](#)

close

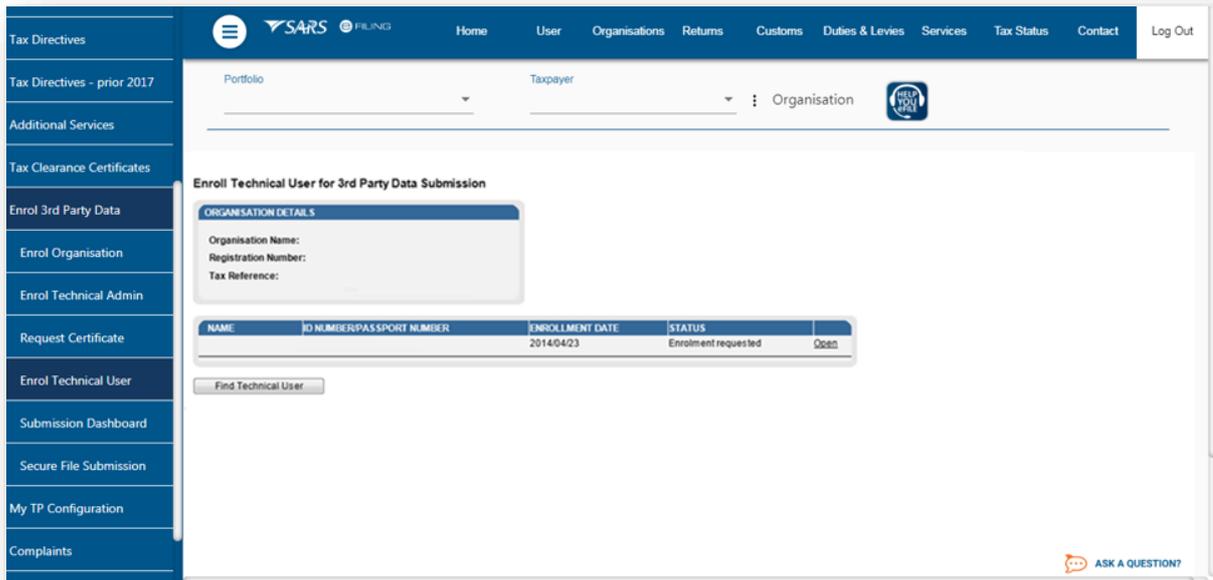
Enrol Technical User for 3rd Party Data Submission

USER DETAILS

Name:
 ID Number:
 Email Address:
 Cell Phone:
 Telephone Number:
 Source Identifier:

Please provide us with the ConnectDirect username used when submitting a file to SARS:
 ConnectDirect Username:

- To enrol the selected user, click **Enrol Technical User**

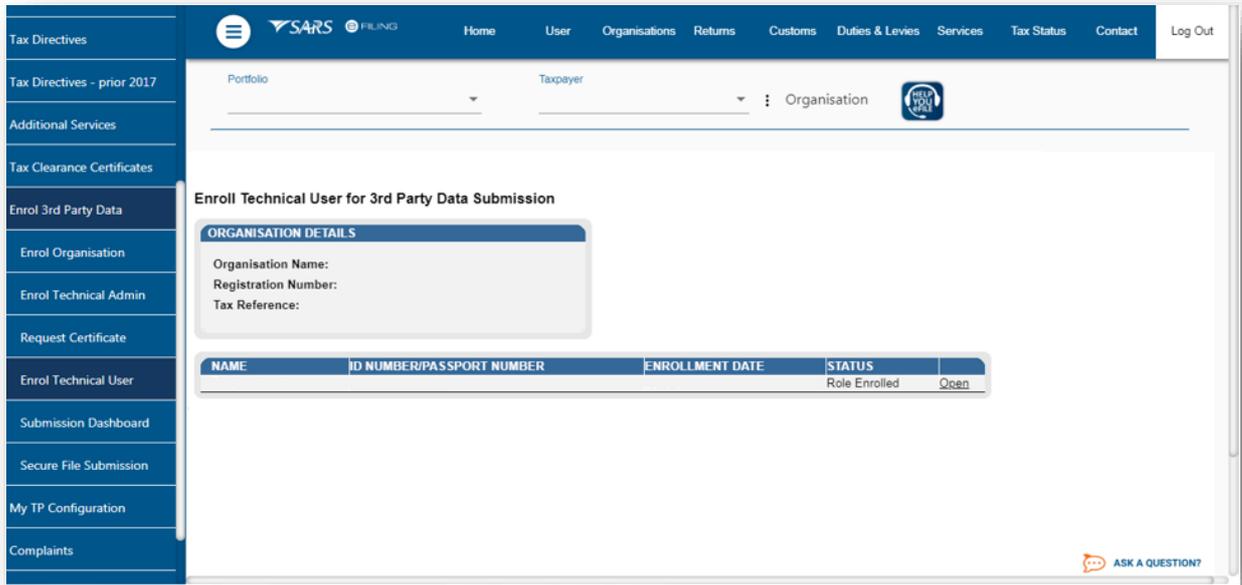


- You will be redirected back to the grid page
- In the **STATUS** column, the status **Role Enrolment Requested** will be displayed while SARS is processing the enrolment. The status **Role Enrolled** will be displayed once the enrolment of the user as a Technical User has been confirmed.
- A particular Technical User can only be deleted once the Technical User has the status of **Role Enrolled**.

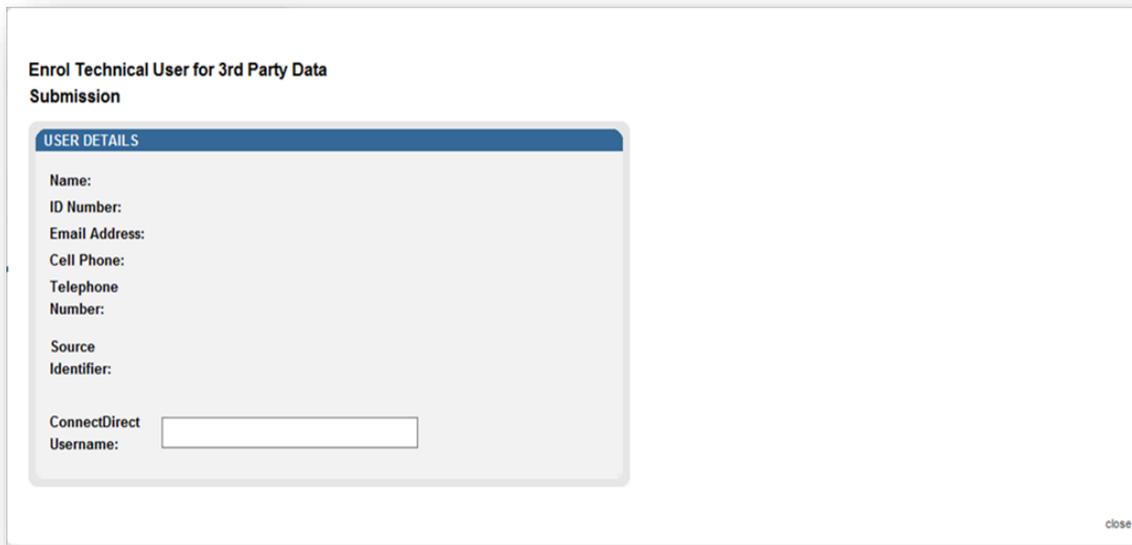
6.2 Viewing details of a Technical User



- To view all the Technical Users, click **Enrol Technical User**



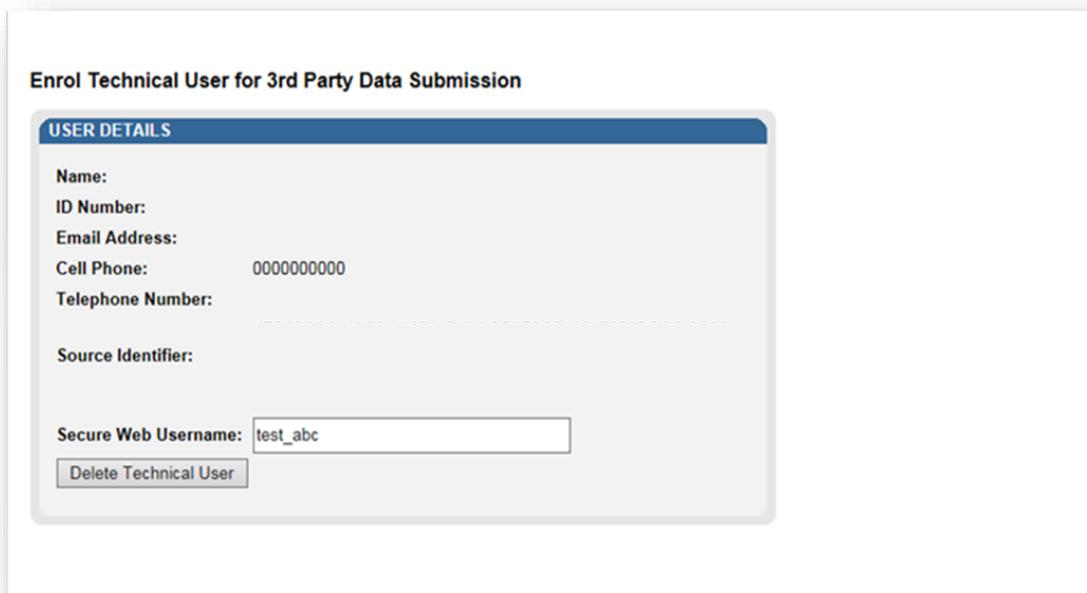
- All the Technical Users with the associated status with regard to their enrolment and activation will be displayed on the screen. To view the details of a particular Technical User, click **Open** next to the relevant user.



- Details of the Technical User will be displayed. The **Source Identifier** field must be used in all files submitted by that Technical User on the Direct Data Flow Channel using the Connect:Direct technology.

6.3 Deleting a Technical User

- To delete, On the **Enroll Technocal User for 3rd party Data Submission** screen, click **Open** next to the Technical User that is to be removed on the **Enrol Technical User for 3rd Party Data Submission** page

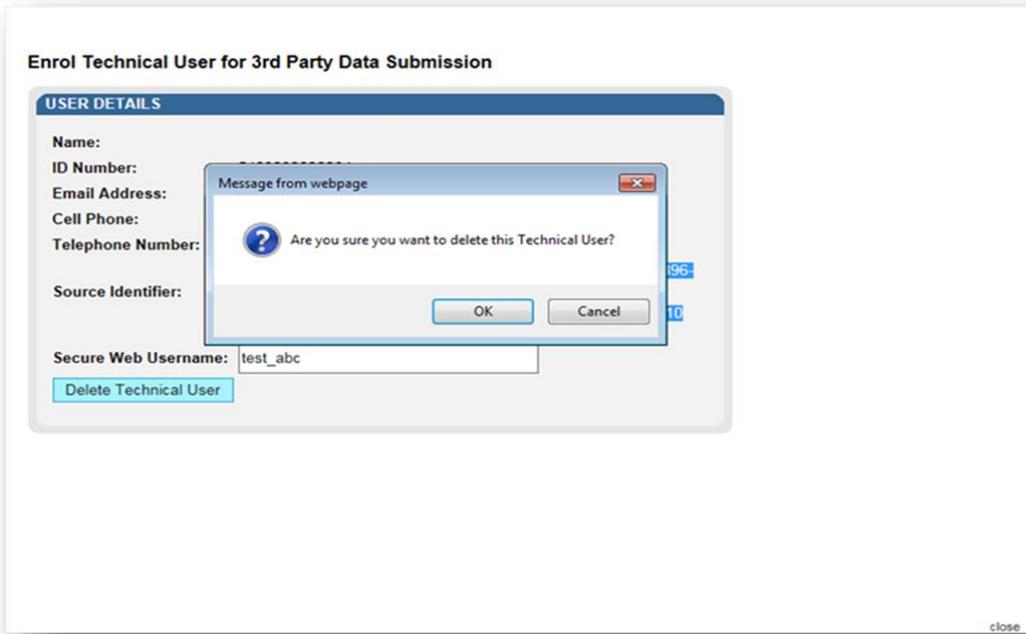


The screenshot displays a web interface titled "Enrol Technical User for 3rd Party Data Submission". Below the title is a section labeled "USER DETAILS" with a blue header. The details include:

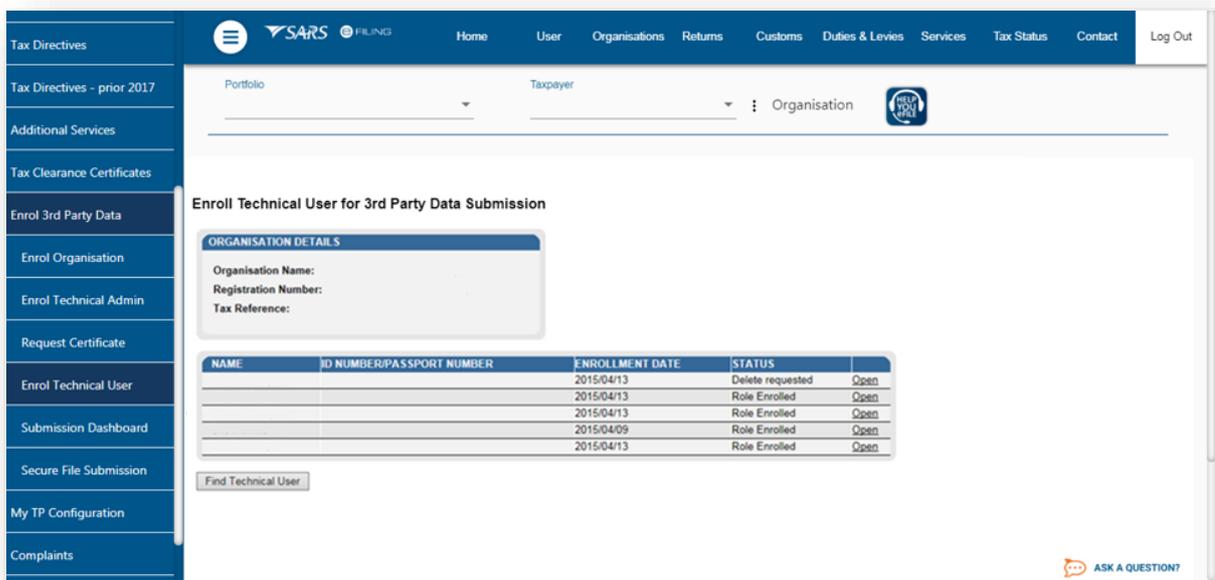
- Name:
- ID Number:
- Email Address:
- Cell Phone: 0000000000
- Telephone Number:
- Source Identifier:
- Secure Web Username: test_abc

At the bottom of the details section is a button labeled "Delete Technical User".

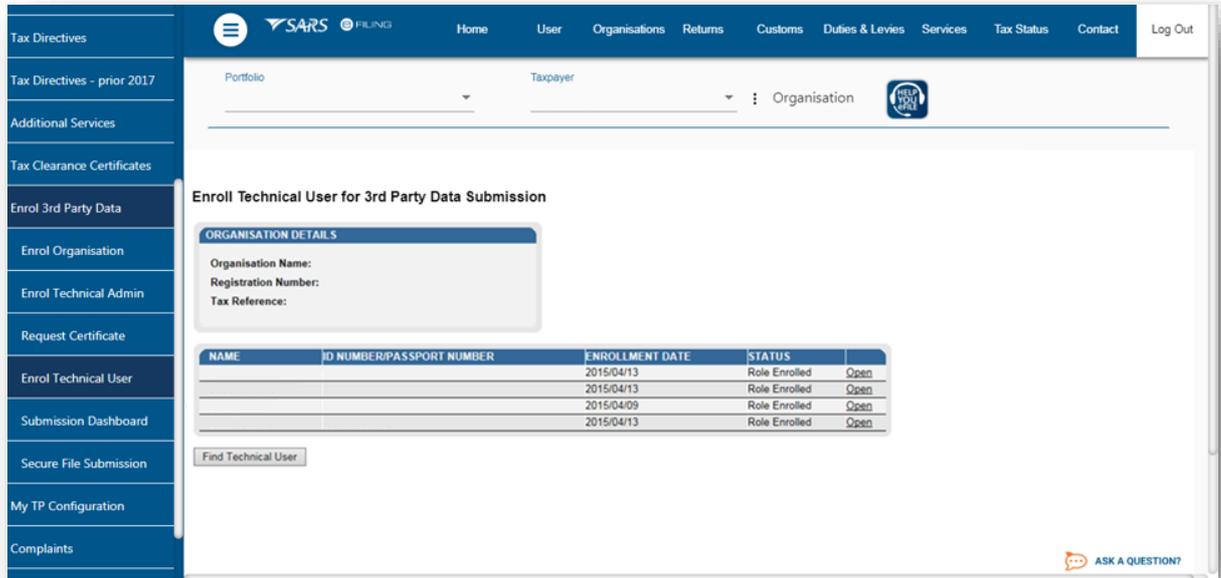
- Click **Delete Technical User** to remove the Technical User.



- You will be prompted to confirm if the Technical User must be deleted. Selecting **OK**, will delete the Technical Administrator. To cancel the deletion, select **Cancel**.
- You will re-directed to the following screen:



- In the **Status** column, the status **Delete Requested** indicates that the request to delete the user as a Technical User has been submitted to SARS. The status **User Deleted** will be displayed once the enrolment of the Technical User has been cancelled on SARS's systems.
- The deleted Technical Users will not be displayed on the screen.

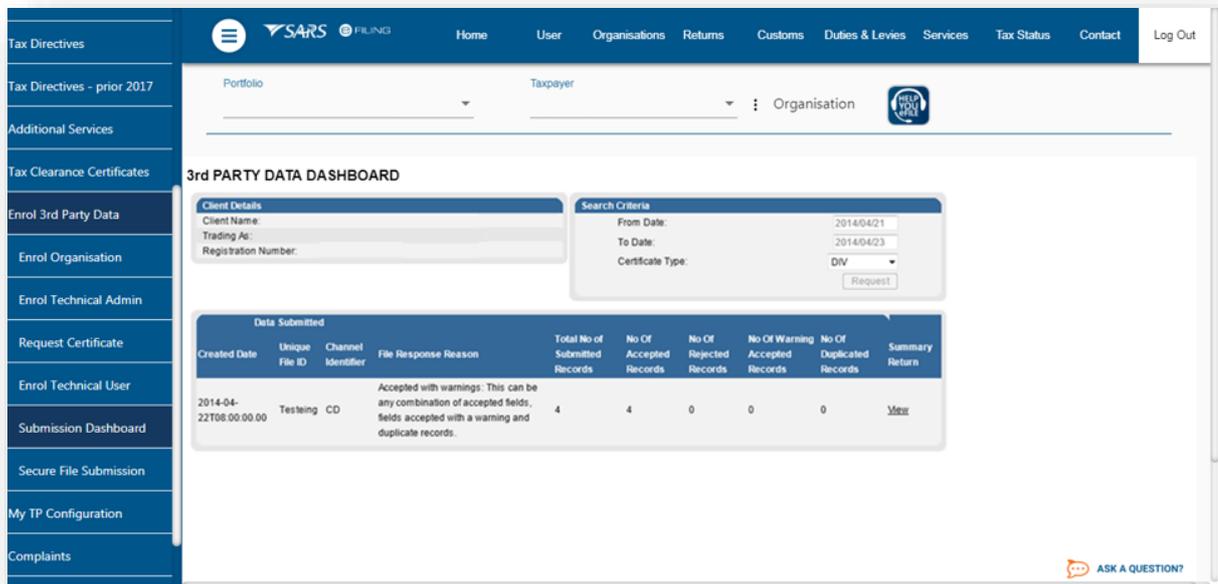
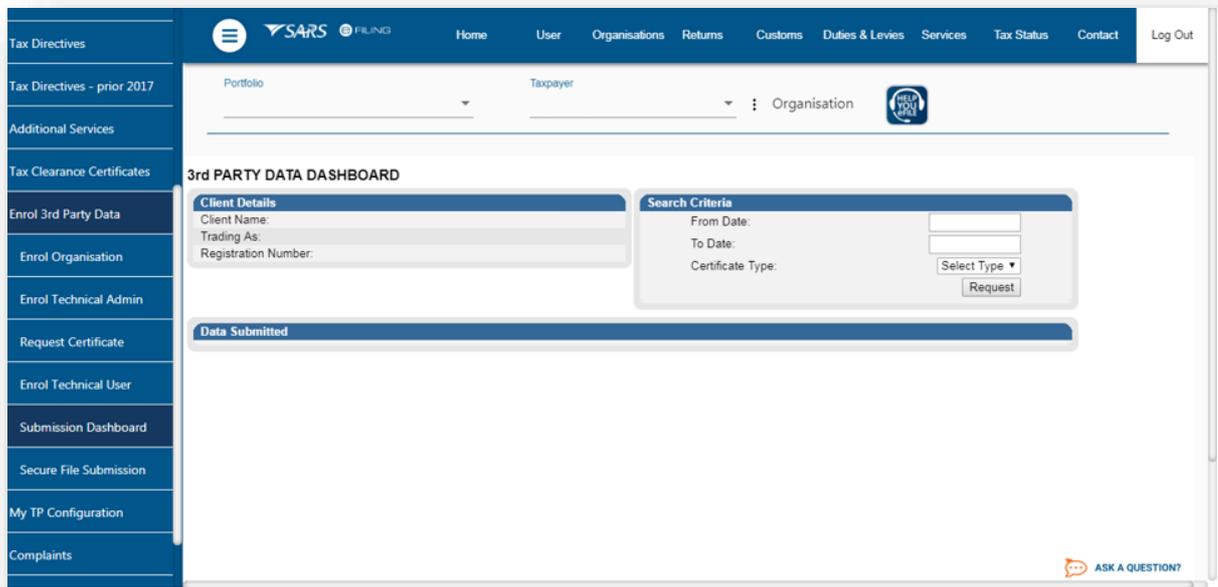


7 SUBMISSION DASHBOARD

- The user must be logged in as a Technical Administrator or Technical User to be able to view the **Submission Dashboard**.



- To access the **Submission Dashboard**, select **Submission Dashboard** from the side menu options, on your Organisations work page under the 'Enrol 3rd Party Data' menu.



- In the **Search Criteria**, you will not be able to enter the **From Period** and **To Period** fields. You will have to click **Refresh** to ensure that the latest status information is displayed on the dashboard.

8 FURTHER INFORMATION

- For more information call the SARS Contact Centre on 0800 00 SARS (7277) or visit a SARS branch.

9 CROSS REFERENCES

DOCUMENT #	DOCUMENT TITLE	APPLICABILITY
GEN-ENR-01-G04	How to declare your Foreign Tax Information (FTI) for the AEOI - External Guide	All
GEN-ENR-01-G03	How to activate submit and declare third party data IT3 via eFiling	All
GEN-ENR-01-G02	Guide for submission of third party data using the HTTPS channel	All
GEN-ELEC-18-G01	How to register manage users and change password on eFiling	All
GEN-ENR-01-G06	HOW to activate and declare medical scheme contribution and insurance payments IT3(F) via eFiling	All

10 DEFINITIONS AND ACRONYMS

FTI	Foreign Tax Information
OECD	Organisation for Economic Co-operation and Development
FATCA	Foreign Account Tax Compliance Act
FFI	South African Foreign Financial Institutions
SARS	South African Revenue Service
AEOI	Automatic Exchange of Information
GIIN	Global Intermediary Identification Number
RFI	Reportable Financial Institution

DISCLAIMER

The information contained in this guide is intended as guidance only and is not considered to be a legal reference, nor is it a binding ruling. The information does not take the place of legislation and readers who are in doubt regarding any aspect of the information displayed in the guide should refer to the relevant legislation, or seek a formal opinion from a suitably qualified individual.

For more information about the contents of this publication you may:

- Visit the SARS website at www.sars.gov.za
- Visit your nearest SARS branch
- Contact your own tax advisor/tax practitioner
- If calling from within South Africa, contact the SARS Contact Centre on 0800 00 SARS (7277)
- If calling from outside South Africa, contact the SARS Contact Centre on +27 11 602 2093 (only between 8am and 4pm South African time).