



Financial Sector
Conduct Authority

FSCA COMMUNICATION 22 OF 2024 (RF)

ONLINE SUBMISSION OF REPORT IN TERMS OF PARAGRAPH 3(c) OF CONDUCT STANDARD 1 OF 2022

1. PURPOSE

The purpose of this Communication is to provide stakeholders with instructions for submissions required in terms of paragraph 3(c) of FSCA Conduct Standard 1 of 2022 (RF): Requirements related to the Payment of Pension Fund Contributions (Conduct Standard).

2. BACKGROUND AND CONTEXT

2.1 The Financial Sector Conduct Authority (FSCA) published the Conduct Standard on 19 August 2022.

2.2 Subsequently, on 17 February 2023, the FSCA published FSCA RF Notice 8 of 2023, the purpose of which was to determine the format of documents required to be submitted to the FSCA in terms of various paragraphs contained in the Conduct Standard.

3. EXPLANATORY BOOKLET

3.1 The FSCA has noted that submissions from retirement funds have either not been in the prescribed format or contain incorrect information which renders the uploaded file inaccessible.

3.2 Annexure A, attached hereto, provides guidance on the correct manner of completion of the template, as well as the correct manner, in which the file and additional documents must be uploaded.

4. ENQUIRIES

For more information regarding this Communication, please contact the Retirement Funds Supervision Department of the Authority by emailing Ms. Keabetswe Tsuene at Keabetswe.Tsuene@fsc.co.za or Section13A.Reporting@fsc.co.za.



**ASTRID LUDIN
DEPUTY COMMISSIONER
FINANCIAL SECTOR CONDUCT AUTHORITY**

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Annexure A: Instructions to complete the Arrear Contributions template on the FSCA Retirement Funds Online System

1. Open the following link in your web browser:
https://www.fsca.co.za/MagicScripts/mgrqispi.dll?APPNAME=Web&PRGNAME=FSB_Online_Logon&ARGUMENTS=-N1%20
2. If not already registered on the FSCA Retirement Funds Online System, register with your email address, name and surname, and a password will be forwarded to the e-mail address.
3. If you are a registered user, login with your email address and password and select “**Arrear Contributions – Section 13(A)**” on the list of Available Processes.
4. The administrator of the fund on whose behalf the Arrear Contribution data will be submitted, must be registered and approved on the user’s profile. When a new administrator is added to a profile, a request is sent through to the Retirement Funds Department for approval. Once approved a confirmation e-mail will be sent and the administrator’s name will be listed for selection.
5. Once a valid and approved administrator is selected, the administrator’s name and all the funds administered by the selected administrator are displayed.

List of Available Processes

| Process Name | Status | | |
|---|--------|-----|----------|
| Administrator Returns | ACTIVE | New | |
| Amendment Rule Change | ACTIVE | New | |
| Arrear Contributions - Section 13(A) | ACTIVE | New | |
| Auditor Appointment On Fund | ACTIVE | New | |
| Change Of Administrator | ACTIVE | New | |
| Complaints Management | ACTIVE | New | |
| Exemption Application (not Valuation Exemption) | ACTIVE | New | |
| Extensions | ACTIVE | New | Existing |
| Feedback/Response | ACTIVE | New | |
| Fund Cancellation | ACTIVE | New | |
| Liquidator Approval | ACTIVE | New | |
| Monitoring Person | ACTIVE | New | |
| New Fund Registration | ACTIVE | New | |
| New Liquidation | ACTIVE | New | |
| New Liquidation (Full Exemption - Section 28(17)) | ACTIVE | New | |

Process to create case.

Please use feedback/response process to upload information or additional documents on already existing case numbers i.e Annexure B.

6. The following screen “**Arrear Contributions – Section 13(A)**” will be displayed to upload and view data in respect of Arrear Contributions, click on **OPEN**:

List of Approved Administrators

Online Application : Arrear Contributions - Section 13(A)

| Admin No | Admin Name | Status | |
|----------|--------------------|----------|------|
| 2 | TEST ADMINISTRATOR | APPROVED | Open |

Link Administrator
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7. The following screen will be displayed. There are two ways to submit information.

Online Case Creation - Fund Details [Arrear Contributions - Section 13(A)]

| | | |
|------------------------|-----------------------------|---|
| Fund Number | 999999 | |
| Fund Name | TEST PENSION FUND 1 | |
| Monitoring Person Name | Keabetswe Tsuene | |
| MP Telephone Number | 0124222992 | |
| MP Fax Number | | |
| MP Email Address | keabetswe.tsuene@fscs.co.za | |
| MP Postal Address | 41 Matroosberg Road | |
| | Ashlea Garden | |
| | Menlo Park | |
| | 0081 | |
| MP Physical Address | 41 Matroosberg Road | |
| | Ashlea Garden | |
| | Menlo Park | |
| | 0081 | |
| Employer Details | | |
| Employer No | Employer Name | Actions |
| 2 | TEST EMPLOYER 2 | Add Employer Import Employers Update Employer Remove Employer Add Sec 13A(8) Person |
| | | Section 13A(8) Person Name |
| | | Keabetswe Tsuene Update Person Remove Person |

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Option 1 – Manual upload. Each employer’s details will be submitted individually.

Option 2 – Upload via an imported file.

8. If Option 1 (Add Employer) is opted for, then the following must be captured:

Online Case Creation - Add / Maintain Employer Information [Arrear Contributions - Section 13(A)]

Please Complete The Employer Name

| | |
|---|---|
| Fund Number | 999999 |
| Fund Name | TEST PENSION FUND 1 |
| Employer | >>Please Select<< ▼ |
| Employer Corporate Status | >>Please Select<< ▼ |
| Employer Registration Number | |
| Employer Telephone Number | |
| Employer Fax Number | |
| Employer Email Address | |
| Employer Postal Address | <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> |
| Employer Physical Address | <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> |
| Contributions Outstanding From (DD/MM/YYYY) | 00/00/0000 |
| Contributions Outstanding To (DD/MM/YYYY) | 00/00/0000 (leave blank if still outstanding) |
| Contributions Outstanding? | No ▼ |
| Late Payment Interest To Date (R) | 0.00 |
| Benefits | <input type="checkbox"/> Funeral Benefits <input type="checkbox"/> Death Benefits <input type="checkbox"/> Disability Benefits <input type="checkbox"/> Other Benefits |
| Actions Taken? | No ▼ |
| Members Informed | <input type="checkbox"/> |

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| Field | Description |
|---|--|
| Fund Number | The FSCA registration number of the fund. Should be automatically populated. Only that part of the fund number that follows the 12/8/prefix should be captured whenever a registered retirement fund is to be specified. The last part of the fund number (/1 or /2) should also be ignored. For instance, if a fund with number 12/8/3467/2 is to be specified; only 3467 should be captured. |
| Fund Name | The fund name as registered on the FSCA database. Should be automatically populated. |
| Employer | The name of the participating employer as registered on the FSCA database. |
| Employer Corporate Status | The type of entity the participating employer has been registered as on the CIPC database. Choose from "Company, Close Corporation, Partnership, Other". If "Other" is chosen, the type must be provided in the "Other Corporate Status" field. |
| Employer Registration Number | The company registration number as per the CIPC records. |
| Employer Telephone Number | The telephone number for the person who deals with retirement fund contributions and minimum information enquiries at the participating employer's HR/Payroll. |
| Employer Fax Number | The fax number for the person who deals with retirement fund contributions and minimum information enquiries at the participating employer's HR/Payroll. [Optional] |
| Employer Email Address | The email address for the person who deals with retirement fund contributions and minimum information enquiries at the participating employer's HR/Payroll. |
| Employer Postal Address | The postal address of the participating employer. |
| Employer Physical Address | The physical address of the participating employer. |
| Contributions Outstanding From (DD/MM/YYYY) | The month in which contributions are outstanding are due from |
| Contributions Outstanding To (DD/MM/YYYY) | The month in which contributions are outstanding until. |
| Contributions Outstanding? | Yes/No as at the reporting date. |
| Contributions Outstanding Value (R) | The value of outstanding contributions as at the reporting date. |
| Late Payment Interest to Date (R) | The value of late payment interest levied as at the reporting date. |
| Benefits | Indication of which risk benefits were affected by the non-payment of contributions. |

| | |
|------------------|--|
| Actions Taken? | Indication of the action(s) taken by the Fund and the date on which the action was taken. |
| Members Informed | Indication of whether members were informed of the contravention. If yes, the date on which the communication was provided to the members. |

9. The person who will be personally liable in terms of section 13A(8) must be provided for each employer in contravention of section 13A:

Online Case Creation - Add / Maintain Section 13A(8) Person [Arrear Contributions - Section 13(A)]

Please Complete The Person Name

| | |
|---|----------------------|
| Fund Number | 999999 |
| Fund Name | TEST PENSION FUND 1 |
| Employer Name | TEST EMPLOYER 2 |
| Section 13A(8) Person Name | <input type="text"/> |
| Section 13A(8) Person ID Number | <input type="text"/> |
| Section 13A(8) Person Cell No | <input type="text"/> |
| Section 13A(8) Person Tel No | <input type="text"/> |
| Section 13A(8) Person Fax No | <input type="text"/> |
| Section 13A(8) Person Email Address | <input type="text"/> |
| Section 13A(8) Person Postal Address | <input type="text"/> |
| Section 13A(8) Person Physical Address | <input type="text"/> |
| Section 13A(8) Person Position Held | <input type="text"/> |

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10. If Option 2 is opted for, which is importing information using the template provided, then the following must be captured:

Import Employer Information [Arrear Contributions - Section 13(A)]

Please select the file to be imported!

[Download Template](#)

| | |
|-----------------------------------|--|
| Fund Number | 999999 |
| Fund Name | TEST PENSION FUND 1 |
| Employer Information File (*.csv) | Choose File No file chosen |

[Import](#) [Back](#)

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| Field | Description |
|------------------------------|---|
| Employer No | The number of the participating employer as registered on the FSCA database. |
| Employer Name | The name of the participating employer as registered on the FSCA database. |
| Employer Corporate Status | The type of entity the participating employer has been registered as on the CIPC database. Choose from “Company, Close Corporation, Partnership, Other”. If “Other” is chosen, the type must be provided in the “Other Corporate Status” field. |
| Employer Registration Number | The company registration number as per the CIPC records. |
| Tel No | The telephone number for the person who deals with retirement fund contributions and minimum information enquiries at the participating employer’s HR/Payroll. |
| Fax No | The fax number for the person who deals with retirement fund contributions and minimum information enquiries at the participating employer’s HR/Payroll. [Optional] |
| Employer Email Address | The email address for the person who deals with pension fund contributions and minimum information enquiries at the participating employer’s HR/Payroll. |
| Postal Address | The postal address of the participating employer. |
| Physical Address | The physical address of the participating employer. |

| | |
|---|--|
| Contributions Outstanding From (DD/MM/YYYY) | The month in which contributions are outstanding are due from |
| Contributions Outstanding To (DD/MM/YYYY) | The month in which contributions are outstanding until. <i>(Leave blank if still outstanding)</i> |
| Contributions Outstanding? (Y/N) | Yes/No as at the reporting date. |
| Contributions Outstanding Value (R) | The value of outstanding contributions as at the reporting date. |
| Late Payment Interest to Date (R) | The value of late payment interest levied as at the reporting date. |
| Benefits (Y/N) | Indication of which risk benefits were affected by the non-payment of contributions. |
| Actions Taken? | Indication of the action(s) taken by the Fund and the date on which the action was taken. |
| Members Informed | Indication of whether members were informed of the contravention. If yes, the date on which the communication was provided to the members. |
| Section 13A(8) Details | The details of the person who will be held personally liable as is required by section 13A (8) and (9) according to the fund's records. (please use ;; where information is not available) |

11. Once the above has been completed, you will land on the page below:

Online Case Creation - Step 2 of 2 - Upload Files [Arrear Contributions - Section]

| | |
|-----------|---------------------|
| Fund No | 999999 |
| Fund Name | TEST PENSION FUND 1 |

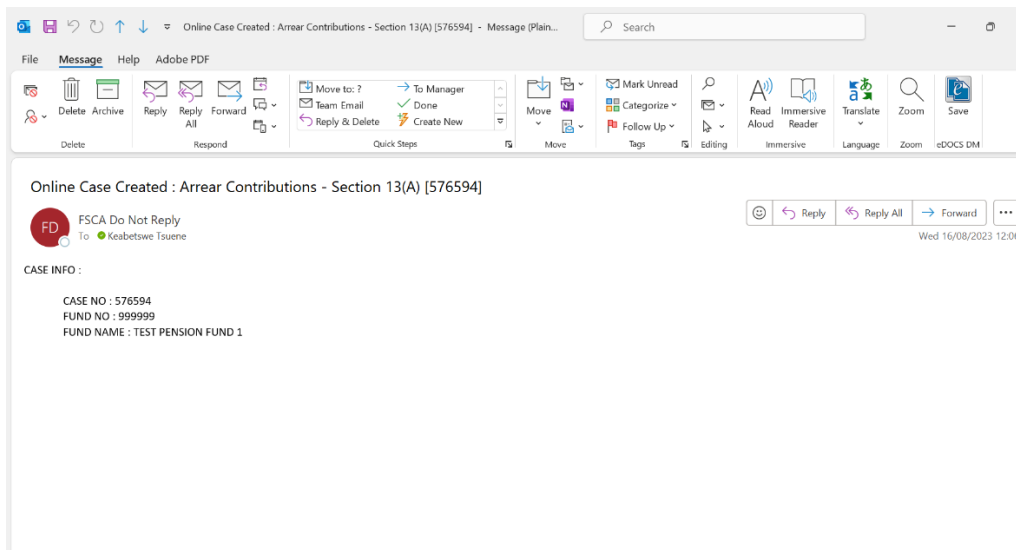
FILES TO UPLOAD (ONE DOCUMENT PER ACTION FOR ALL EMPLOYERS)

| FILE DESCRIPTION | FILE ACTION |
|---|-------------------------------|
| Confirmation That Members Were Informed [Mandatory] | Upload Signed |
| Legal Action [Optional] | Upload Signed |
| Pension Fund Adjudicator [Optional] | Upload Signed |
| Referral To NPA [Optional] | Upload Signed |
| Other [Mandatory] | Upload Signed |
| Any Other File: | Upload |

[Create Case](#) [Back](#)

If you have any enquiries please contact the FSCA call centre - 0800 20 37 22

Once a case has been successfully created, you will receive the email below.



Please note that Annexure B of Notice 8 of 2023, the Report to The Financial Sector Conduct Authority must be submitted to the FSCA as well. The Annexure may be submitted once the case has been created under the 'Feedback/Response" option reflected above.