

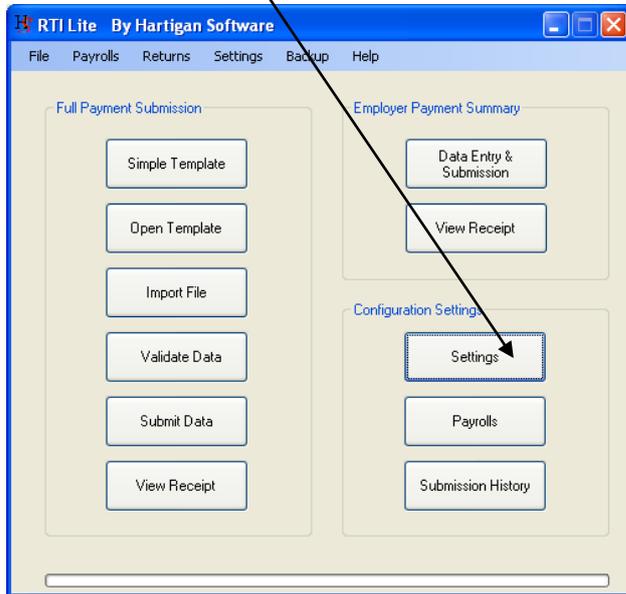


## RTI Lite User Guide 2016-17

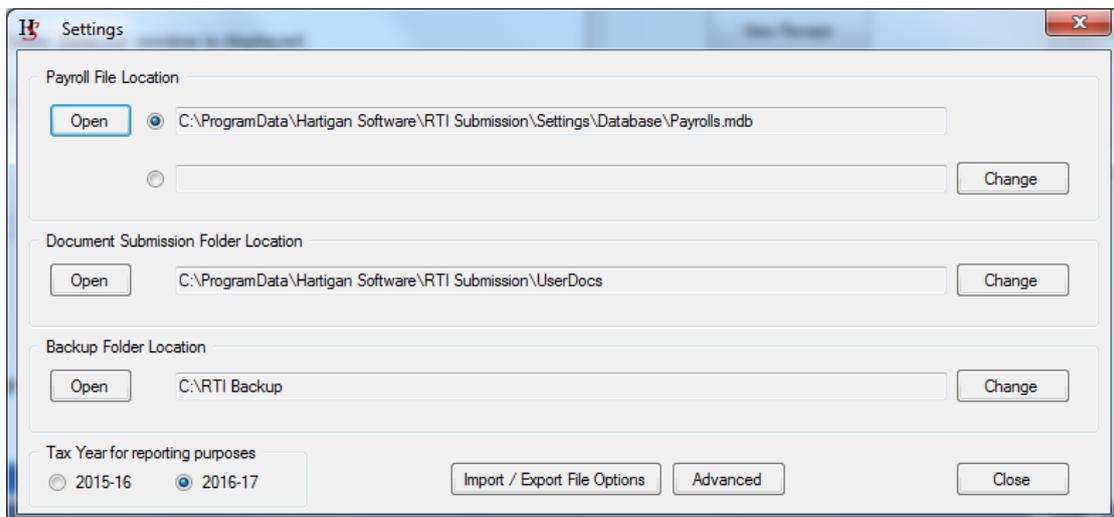
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## Settings and Folder Locations

Clicking the [Settings] button will display the following screen.



The settings window is displayed.



### Setting the File Locations

Once the software has been installed the **Payroll File Location**, **Document Submission Folder Location**, and **Backup Folder Location** can be changed or opened using the settings options above.

If more than one license has been purchased and the file location is to be changed ensure a shared folder is selected which allows all required users full access.

### Tax Year for FPS reporting purposes

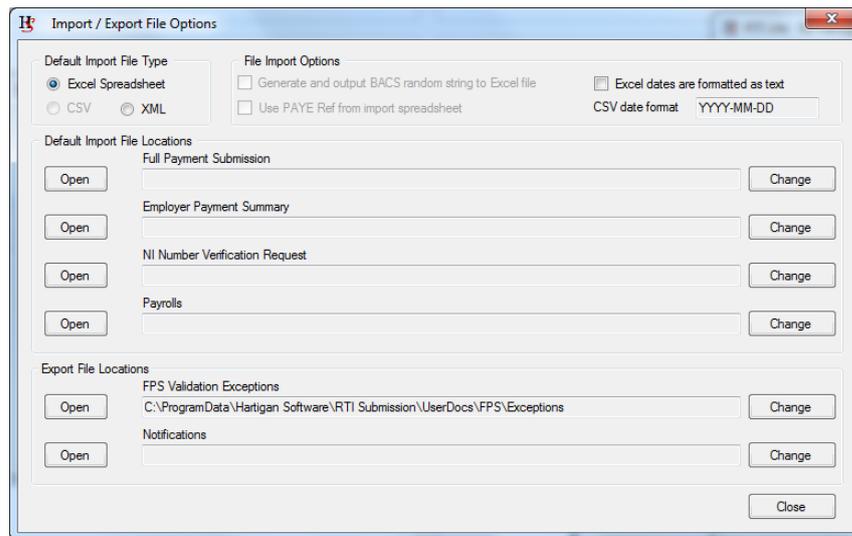
The Tax Year for FPS reporting purposes will default to the current tax year but can be changed via the settings screen to make a submission in respect of a previous tax year or to perform tests for a future tax year.

### **Advanced Settings**

The [Advanced Settings] screen is displayed when the [Advanced] button is pressed on the bottom of the [Settings] screen.

### **Import / Export File Options**

The [Import / Export File Options] screen is displayed when the [Import / Export File Options] button is pressed on the bottom of the [Settings] screen.



### **Default Import File Locations**

Set the default file locations to be used when importing files into the software. This saves time by not having to browse to the location each time a file is imported.

### **File Import Options**

By default the date cells on the Excel spreadsheet must be formatted as dates and will fail validation if they are formatted as text. Date cells can sometimes be formatted as text if the import file is generated by separate payroll software. Selecting the **[Excel dates are formatted as text]** option will bypass this validation and allow the date cells to be formatted as text.

The **[CSV Date Format]** text box allows the user to specify the format of the dates in CSV import files.

## Advanced Settings

### Security Settings

The screenshot shows a window titled "Advanced Settings" with a close button in the top right corner. The window contains several sections of settings:

- Security Settings:**
  - Administration password required (with an empty text box to the right)
  - Submission password required (with an empty text box to the right)
  - Enter sender ID when required
  - Enter sender password when required
- Automated FPS Submission Settings:**
  - Unattended Submission Process (file will be automatically validated and submitted once imported)
  - Export validation exceptions to file
  - Abort process if validation exception count too high
    - Maximum validation exception count:
- Bulk Submission Settings:**
  - Submit individually in succession
  - Concurrent Submissions
    - Split bulk Submission into batches
      - Maximum batch size:
- Split large submissions into smaller file:**
  - Are the files to be split:
  - Number of records per file:
- Testing Options:**
  - Submit to Test Server
  - Test In Live

A "Close" button is located at the bottom right of the dialog box.

If the **[Administrator password required]** option is set, the application will require the password to be entered before the user can access the Settings or the Payrolls screens.

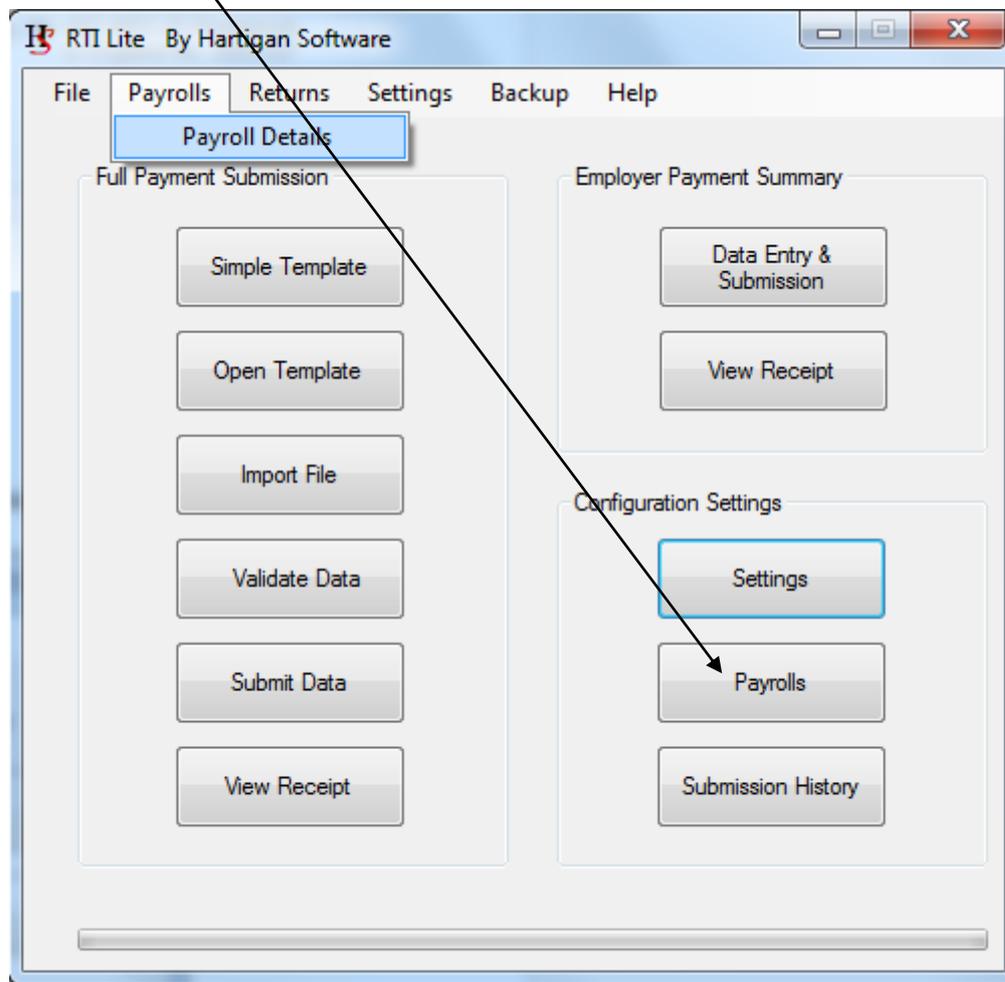
If the **[Submission password required]** option is set, the application will request that a password be entered before submissions are made.

If the **[Enter sender ID when required]** option is set, the application will request that the Government Gateway user ID be entered before submissions are made.

If the **[Enter sender password when required]** option is set, the application will request that the Government Gateway password be entered before submissions are made.

## Add Payroll Employer Information

Click the [Payrolls] button to open the [Payroll Details] entry window.



Ensure all required information is available, click 'Add New' and enter the payroll name (Weekly Pay, Monthly Salaries etc.) and other information required. Click 'Save' to save the information entered. Continue until all required Payroll's have been set up.

## Add Payroll Employer Information

The screenshot shows the 'Payrolls' application window. The 'Payroll List' section includes fields for 'Payroll Name', 'PAYE Ref', and a 'Find' button. Below this is a table with columns for 'Name', 'Office number', and 'Reference number', containing entries like 'A564', 'A565', and 'A566'. The 'Payroll Details' section contains several fields: 'Payroll Name' (A564), 'HMRC Office Name' (Office 64), 'Employer PAYE reference' (564 / A564), 'Employer Accounts Office Reference' (510PZ12345741), 'Employer's contracted-out number (ECON)' (E3000000E), 'Self Assessment Unique Tax Reference', 'Corporation Tax Reference', 'Sender Type' (Company), 'Sender ID' (ISV564), 'Sender Password' (testing1), and 'Date Scheme Ceased'. There are also checkboxes for 'Exclude Ceased Scheme' and 'Scheme Ceased'.

Callout boxes provide the following explanations:

- Payroll Name:** A descriptive name of your choosing for example Monthly Salaries or Weekly Pay.
- Office Name:** The name of your local tax office.
- Office number:** This is the first part of your employer PAYE reference and is three digits. You will find this number on a P6/P9 notice of coding or your Annual/Budget letter.
- Reference number:** This is the second part of your employer PAYE reference after the slash. You will find this number on a P6/P9 notice of coding or your Annual/Budget letter.
- Accounts Office Reference:** This reference number can be found on your P30BC 'Payment booklet' or P30B 'Paying electronically'. It will be in the format 123PA00012345.
- ECON:** Only required IF you operate an occupational contracted-out scheme. This number is your ECON from your contracting-out certificate. You must show your current ECON if **any** employee has been in a contracted-out scheme at any time during the tax year.
- Sender Type:** Normally set to 'Employer'.
- Sender ID:** Enter your Government Gateway User ID.
- Sender Password:** Enter your Government Gateway Password.
- Corporation Tax Reference:** If applicable: for example, if you are a sole proprietor or a partnership.
- Employer Accounts Office Reference:** If applicable: for example, if you are a limited company. If you have more than one COTAX reference, enter the reference for the company that holds the employment contracts.

## Add Payroll Employer Information

This list will contain the names of all payrolls previously entered. Click the name to load the selected payroll details.

Click 'Add New' to clear currently displayed data from the window and enter new payroll details.

Enter payroll manager contact details.

Enter employer name and address.

Click 'Save' to save the payroll data entered.

Click 'Delete' to delete the selected payroll.

Click 'Close' to close the Payrolls window.

The screenshot shows a software window titled "Add Payroll Employer Information". At the top, there is a table with two columns: "Name" and "PAYE Ref". The table contains three rows: "A564", "A565", and "A566". The first row is highlighted in blue. To the right of the table is an "Add New" button. Below the table is a "Find" button. The main area of the window contains several form fields. On the left, there is a "Reference number" field. To the right, there is a "Contact" section with fields for "Title", "Forenames", "Surname", and "Telephone Number". Below that is the "Employer" section with fields for "Employer Name", "Employer Address", and "Employer Postcode". At the bottom of the window are three buttons: "Save", "Delete", and "Close".

Name	PAYE Ref
A564	A564
A565	A565
A566	A566

Form fields include: Title, Forenames, Surname, Telephone Number, Employer Name, Employer Address, Employer Postcode.

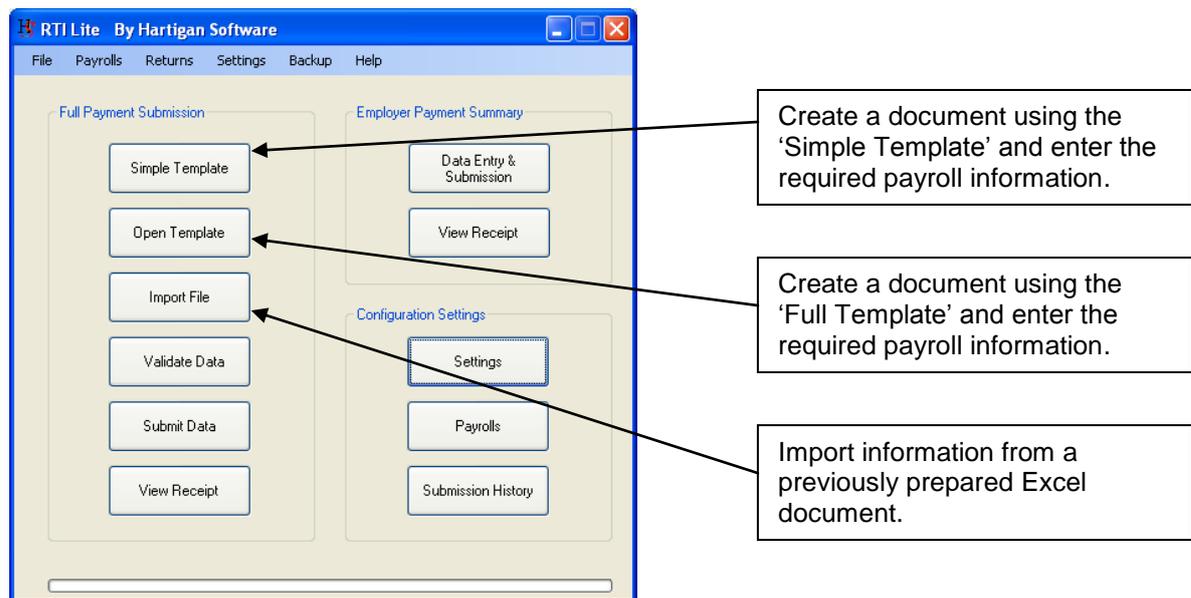
Buttons: Add New, Save, Delete, Close.

## Employee Payroll Data Entry / Import

Start the employee payroll information entry process by performing any **one** of the three options shown below depending on how your company payroll information is generated and the type of information to be entered.

The **'Simple Template'** generates an Excel document containing the most commonly used payroll data reporting items.

The **'Full Template'** generates an Excel document containing all payroll data reporting items.



### Simple and Full Template

Each time a template button is clicked an Excel document is created from either the Simple Template or the Full Template depending on the button selected.

The new document is named as follows:

**FPS** This relates to the submission type being created (Full Payment Submission)

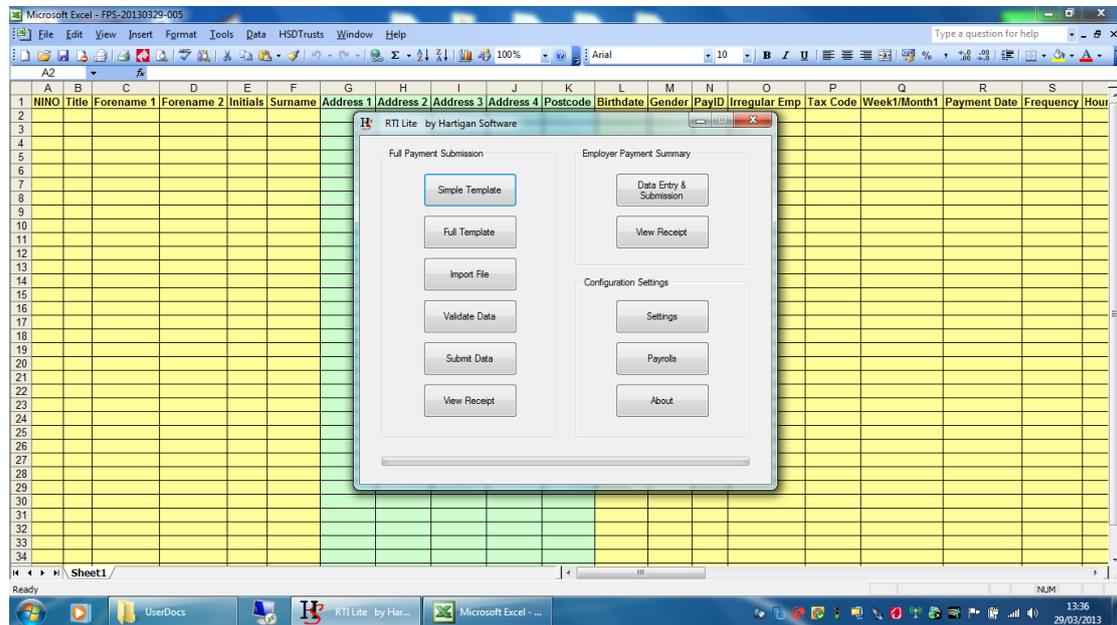
**Date** Being the date the document is created (-YYYYMMDD format)

**Count** Document count for the 'Date' above (-NNN format). If more than 1 document has been generated for that date.

For example FPS-20130329-001 is the second FPS Excel document created on 29<sup>th</sup> March 2013.

## Employee Payroll Data Entry / Import

### Simple and Full Template

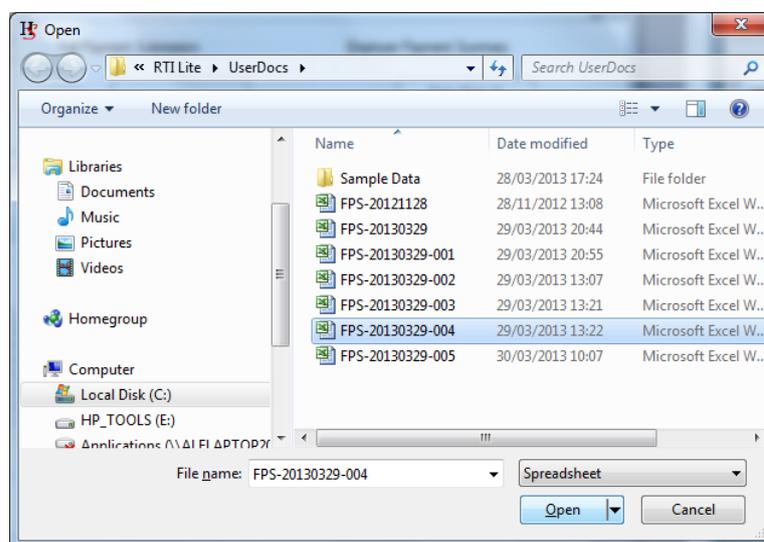


Click on the Excel spreadsheet displayed and enter the required payroll data. The 'RTI - FPS Import File 2016-17.pdf' is available from our website as an additional guide to data entry requirements.

Once payroll data entry is complete either save the Excel document for later use or save the document and return to the **Main Window** and click 'Validate Data'

### Import File

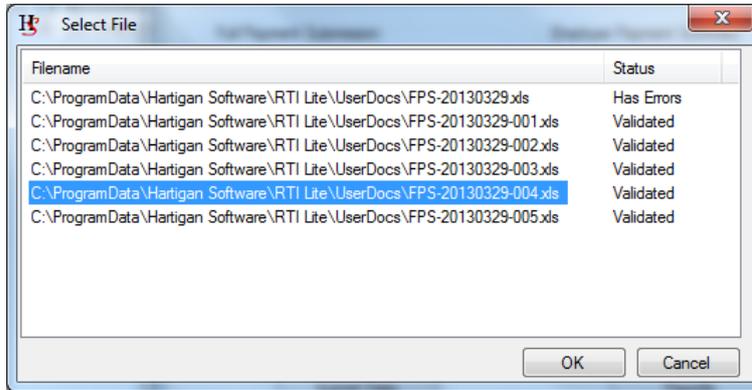
Click 'Import File', the window below is displayed. Browse to the location of the Excel document you wish to import, highlight the file and click 'Open', the document is loaded and displayed behind the RTI Lite Main Window. Now click 'Validate Data'.



## Data Validation

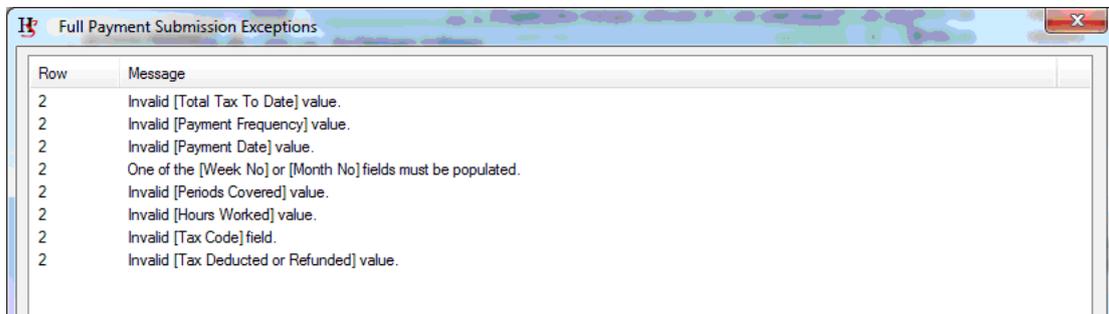
Click the 'Validate Data' button to confirm the payroll information entered is complete and in the correct format.

If more than one file is found the application will display the following window. The user should click on the required file, the file will be highlighted, then click 'Ok'.



## Exceptions

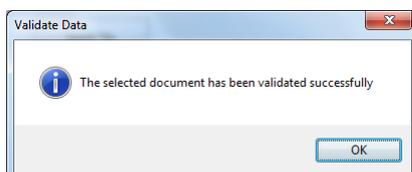
If the selected file contents are not in the format required by HMRC or data is missing a data exception report will be displayed confirming the issues found.



Review the information in the exceptions window above, click on the spreadsheet and add missing data or correct entries as necessary referring to the 'RTI - FPS Import File 2016-17.pdf' document from our website for guidance.

Save the corrected document and click 'Validate Data' to confirm the document is ready for submission. If the selected document does not pass validation repeat the process above.

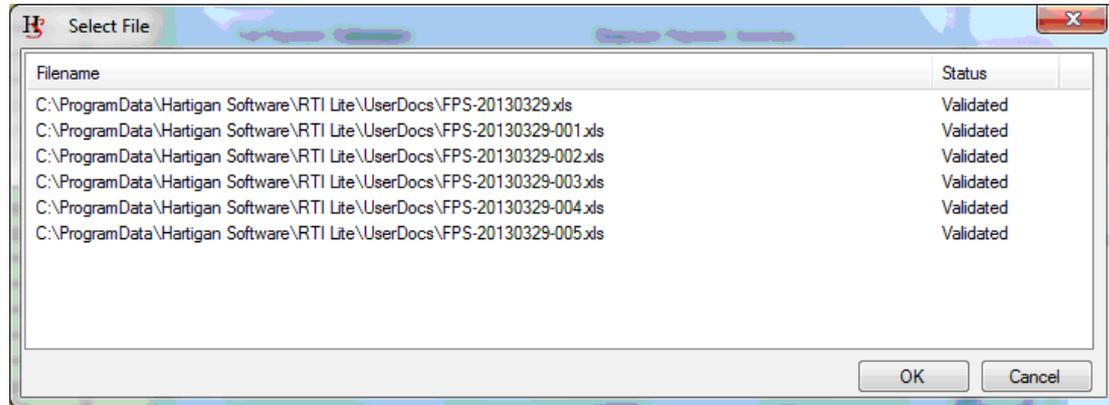
The message below will be displayed after successful validation, the document is now ready for submission.



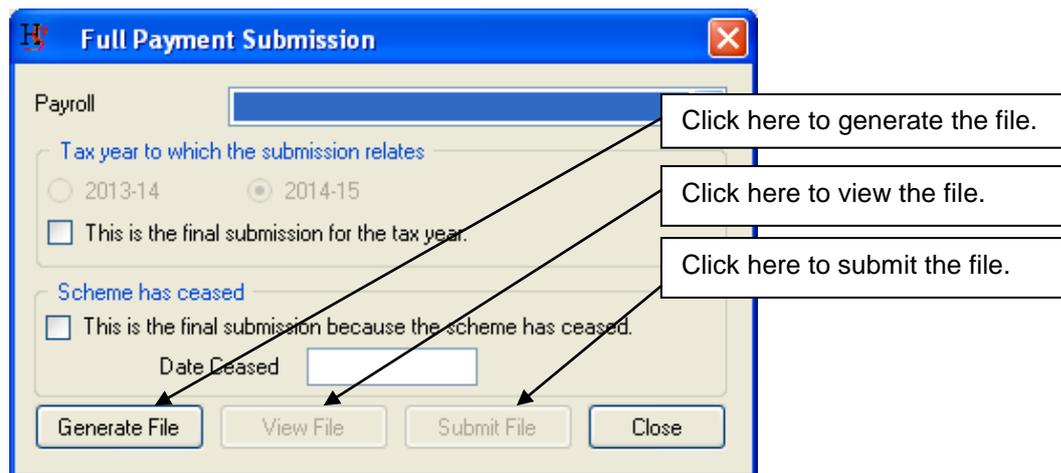
## Data Submission

Click 'Submit Data' on the main window.

If more than one file is found the application will display the following window. The user should click on the required file, the file will be highlighted, then click 'Ok'.

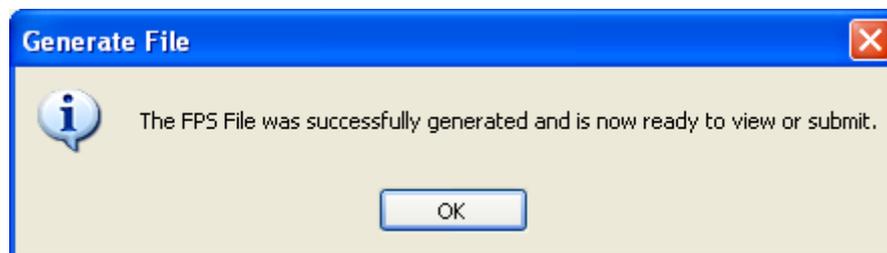


The **Full Payment Submission** window is displayed



When processing the last payment for the tax year ensure the final submission box is ticked.

Click 'Generate File', the following window should be displayed.



Click 'Ok' to close the FPS file creation confirmation window.

After successfully generating a submission file the 'View File' and 'Submit File' buttons are enabled.

## View File

Click 'View File' to review the submission file content. The report provides all employee data being submitted.

**RTI: Full Payment Submission**

This report is for the tax year 2014-15 and was generated on 17/02/2014 at 16:31

**Employer Details**

Office Number: 564  
 Paye Ref: A564  
 AO Ref: 564PA00133378

Works No	Name	Pay Date	Gross Pay	Tax Deducted	Employee NIC	Employer NIC	Std Loan
321	<a href="#">Alfa</a>	12/04/2014	£12.00	£0.00	£0.00	£0.00	£0.00
254	<a href="#">Leon Hughes</a>	28/04/2014	£10,000.00	£3,156.76	£478.92	£1,295.88	£24.00
532	<a href="#">Jacki McMamus</a>	10/04/2014	£77.00	£134.40	£100,000,003.94	£100,000,003.94	£0.00
	<a href="#">Smith</a>	30/04/2014	£346.97	£345.00	£0.00	£0.00	£0.00
	<a href="#">Who</a>	06/04/2014	£415.34	£67.53	£0.00	£0.00	£0.00
G45	<a href="#">Maurice Frank Williams</a>	28/04/2014	-£4,251.00	-£344.34	-£1,291.88	-£1,290.88	-£54.00
B	<a href="#">Woods</a>	10/04/2014	£672.53	£134.40	£66.18	£75.94	£0.00
<b>TOTALS</b>	Employee Count: 7		£7,272.84	£3,493.75	£99,999,257.16	£100,000,084.88	-£30.00

Press the [Print] button at the bottom right hand side of the screen to print the report.

Clicking on an employees name in the list will display the full reporting information relating to that employee:

Works No	Name	Pay Date	Gross Pay	Tax Deducted	Employee NIC	Employer NIC	Std Loan
321	<a href="#">Alfa</a>	12/04/2014	£12.00	£0.00	£0.00	£0.00	£0.00
254	<a href="#">Leon Hughes</a>	28/04/2014	£10,000.00	£3,156.76	£478.92	£1,295.88	£24.00

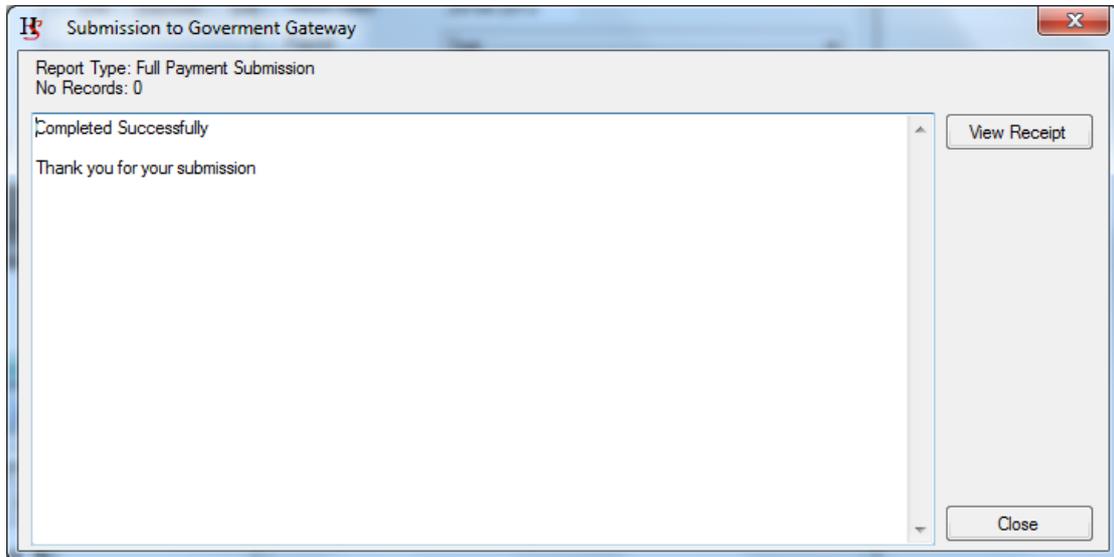
  

Title:	Mr
Forename(s):	Leon
Surname:	Hughes
Payroll ID:	254
Birth Date:	12/12/1964
NI Number:	ZX123456C
Address:	12 Ripon Road Bedford LU4 3WS
Gender:	Male
Passport Number:	84120474
Director's NIC:	AN: Annual or pro-rata annual
Tax Week Of Appt Of Director:	53
Start Date:	07/04/2012
Starting Declaration:	C: have another job or pension
Payment Date:	28/04/2014
Late Reason:	A: Payment to Expat by third party
Payment Frequency:	Irregular
Month No:	1
Periods Covered:	1
Associated Farnings:	none

Confirm the Full Payment Submission extract contains information for all the expected employees. Once content checks have been completed close the FPS extract window.

## Data Submission

A successful submission is shown in the window below.



## Submission Receipt

Click 'View Receipt' to display the HMRC receipt shown below.



### HMRC Submission Receipt

HMRC has received the HMRC-PAYE-RTI-FPS document ref: 564/A564 at 16.33 on 17/02/2014. The associated IRmark was: RK2UYKSWVBSFRPKCA7ZI2643JIZPUFAS. We strongly recommend that you keep this receipt electronically, and we advise that you also keep your submission electronically for your records. They are evidence of the information that you submitted to HMRC.

Thank you for your submission

A copy of the Full Payment Submission and the Submission Receipt will be stored in the **Submission Document Folder**.

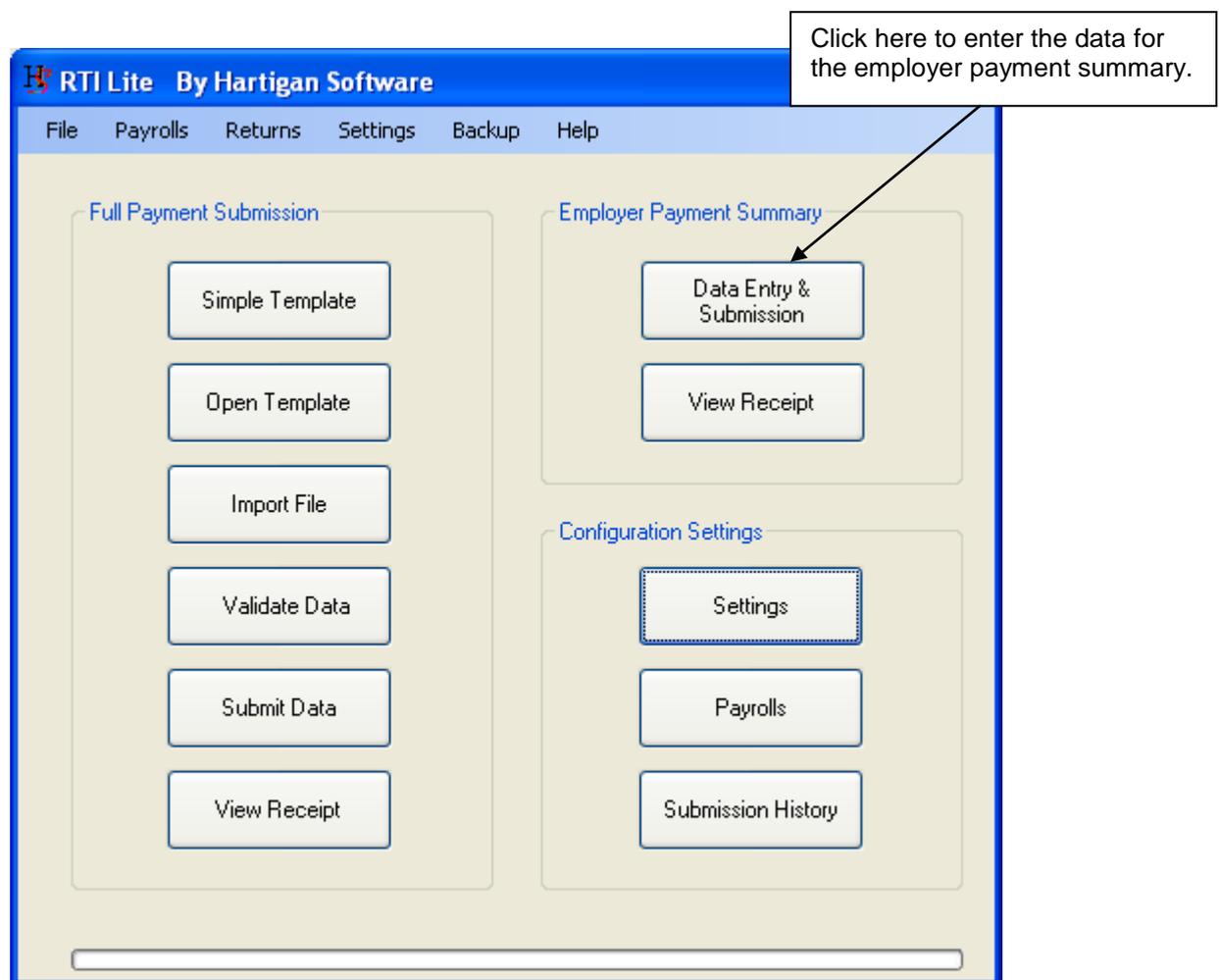
## Employer Payment Summary

### Data Entry & Submission

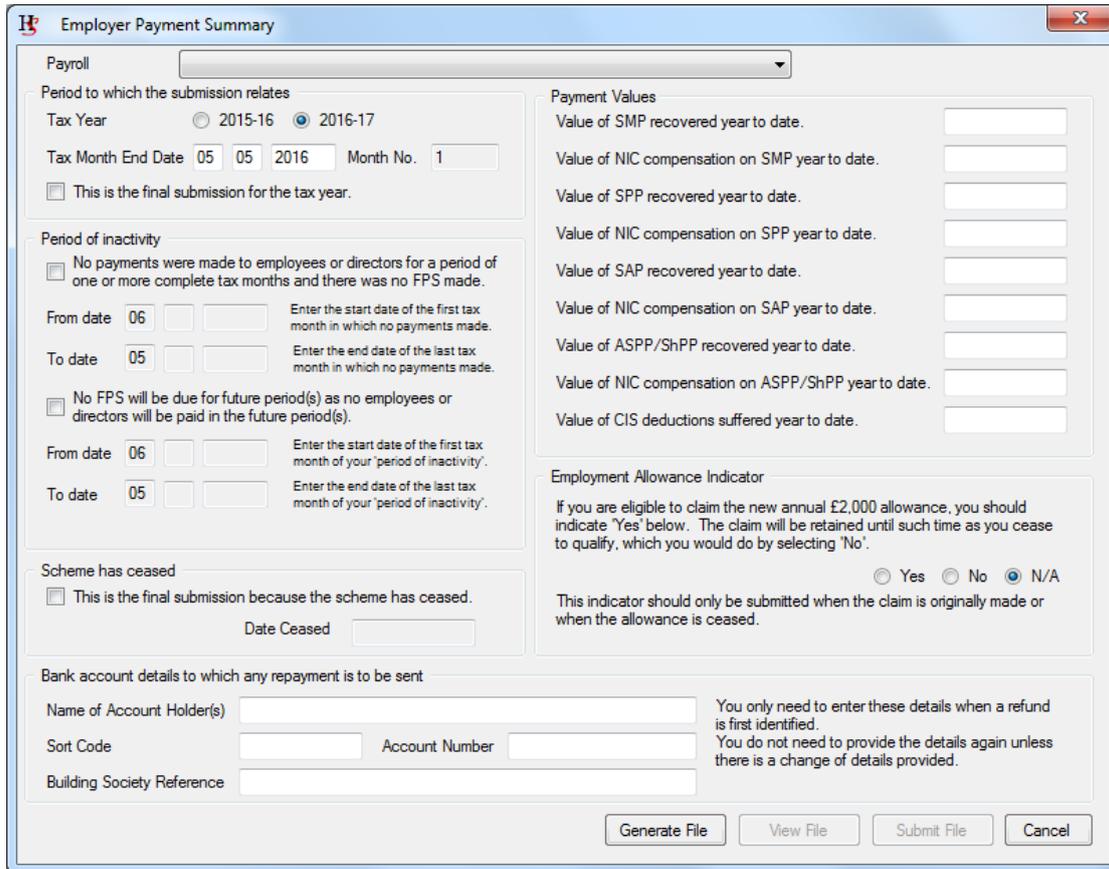
This submission is required to enable HMRC to calculate employer liability.

An Employer Payment Summary should be sent if:

- no payments are made to any employees in a tax month
- or you wish to recover statutory payments, NICs compensation on statutory payments, Construction Industry Scheme (CIS) deductions suffered (limited companies only).
- to notify HMRC of the eligibility to claim the annual national insurance employment allowance.
- to notify HMRC of the bank details to which any repayment is to be sent.



The following window will be displayed:



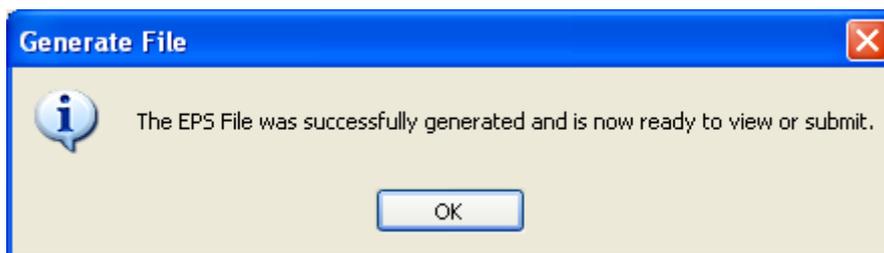
The 'Employer Payment Summary' window contains the following sections:

- Payroll:** A dropdown menu.
- Period to which the submission relates:** Tax Year (radio buttons for 2015-16 and 2016-17, with 2016-17 selected), Tax Month End Date (05/05/2016), and Month No. (1). A checkbox for 'This is the final submission for the tax year.' is present.
- Period of inactivity:** Two sections. The first has a checkbox for 'No payments were made to employees or directors for a period of one or more complete tax months and there was no FPS made.' with 'From date' (06) and 'To date' (05) fields. The second has a checkbox for 'No FPS will be due for future period(s) as no employees or directors will be paid in the future period(s)' with 'From date' (06) and 'To date' (05) fields.
- Payment Values:** A list of input fields for: Value of SMP recovered year to date, Value of NIC compensation on SMP year to date, Value of SPP recovered year to date, Value of NIC compensation on SPP year to date, Value of SAP recovered year to date, Value of NIC compensation on SAP year to date, Value of ASPP/ShPP recovered year to date, Value of NIC compensation on ASPP/ShPP year to date, and Value of CIS deductions suffered year to date.
- Employment Allowance Indicator:** Radio buttons for Yes, No, and N/A (selected). A note states: 'If you are eligible to claim the new annual £2,000 allowance, you should indicate 'Yes' below. The claim will be retained until such time as you cease to qualify, which you would do by selecting 'No'.' Below this is a note: 'This indicator should only be submitted when the claim is originally made or when the allowance is ceased.'
- Scheme has ceased:** A checkbox for 'This is the final submission because the scheme has ceased.' and a 'Date Ceased' field.
- Bank account details to which any repayment is to be sent:** Fields for Name of Account Holder(s), Sort Code, Account Number, and Building Society Reference. A note says: 'You only need to enter these details when a refund is first identified. You do not need to provide the details again unless there is a change of details provided.'

Buttons at the bottom: Generate File, View File, Submit File, Cancel.

Enter the appropriate data; select the tax year, enter the month end date, select the relevant payroll and enter all required data values.

Click 'Generate File', the following window should be displayed.

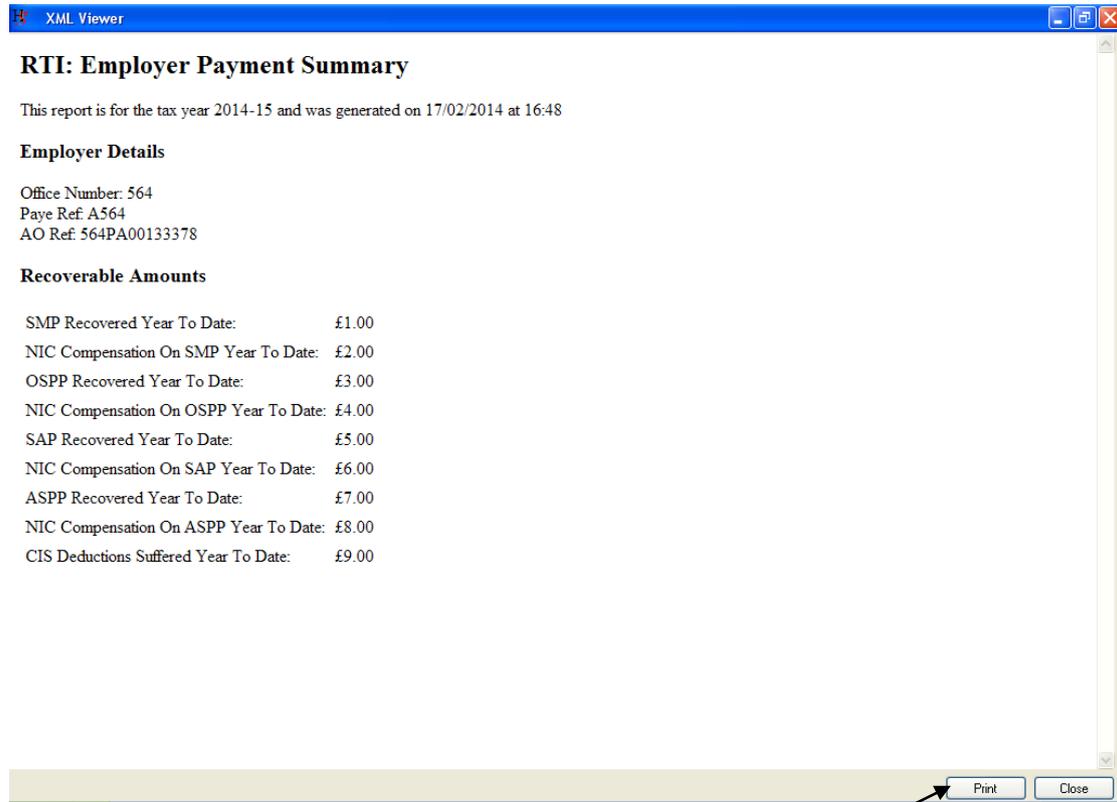


Click 'Ok' to close the EPS file creation confirmation window.

After successfully generating a submission file the 'View File' and 'Submit File' buttons are enabled.

## View File

Click 'View File' to review the submission file content.

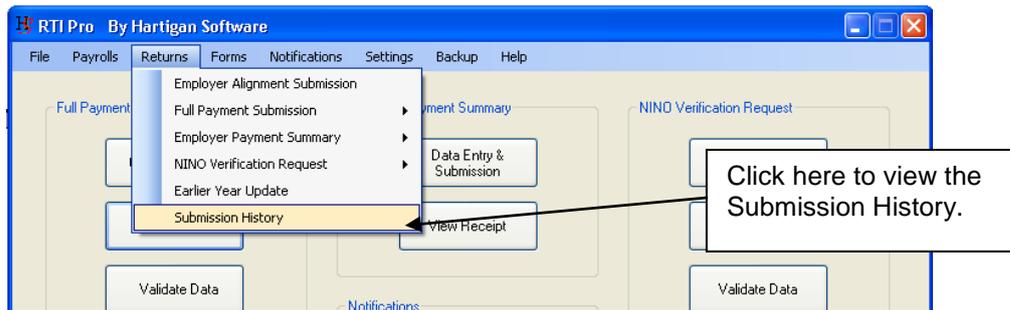


Press the [Print] button at the bottom right hand side of the screen to print the report.

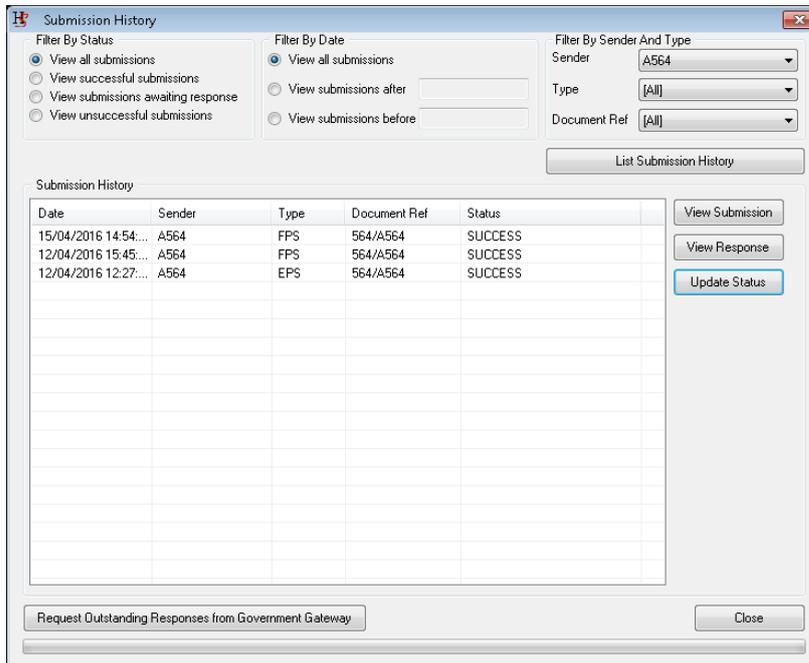
## Submit Data

Ensure you are able to connect to the internet then click 'Submit File' on the Employer Payment Submission window to connect to the HMRC site and transmit your data.

## View Submission History



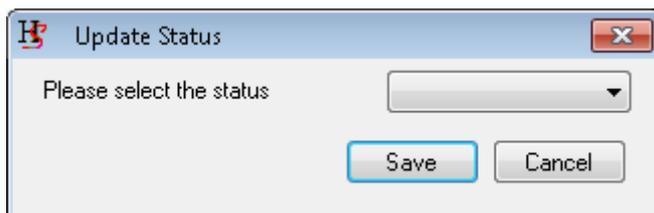
The following screen is displayed:



Select the appropriate filters from the selection at the top of the screen and press the [List Submission History] button. Please note that the history will not include submissions that were made prior to installing the 2014-15 version of the software.

The original submission or response can be viewed by clicking on the submission in the list and pressing the [View Submission] or [View Response] button.

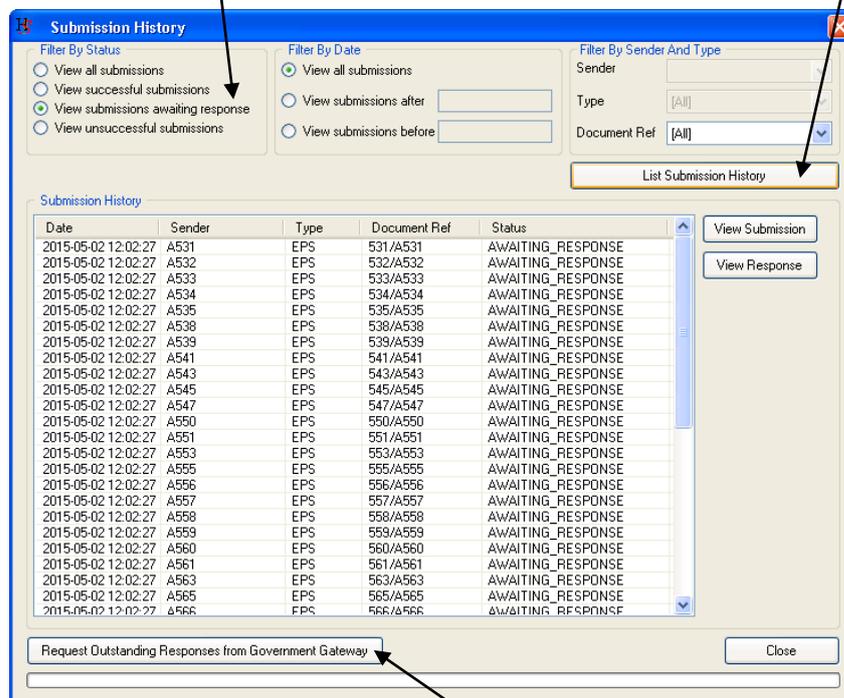
The status of the submission can be updated manually by selecting the return in the list and pressing the [Update Status] button. This will display the following screen:



## Request Outstanding Submission Reponses

If a response was not received from the Government Gateway when the original submission took place, the status of the submission will be displayed as `AWAITING_RESPONSE`. The response can be retrieved from the Government Gateway by pressing the [Request Outstanding Responses from Government Gateway] button at the bottom of the screen for the selected sender payroll reference or by following the procedure below to request outstanding responses across all payroll references.

Select the [View submission awaiting response] option and press the [List Submission History] button. This will list all submissions that are awaiting a response across all payroll references



To attempt to recover all outstanding responses displayed from the Government Gateway Press the [Request Outstanding Responses from Government Gateway] button.

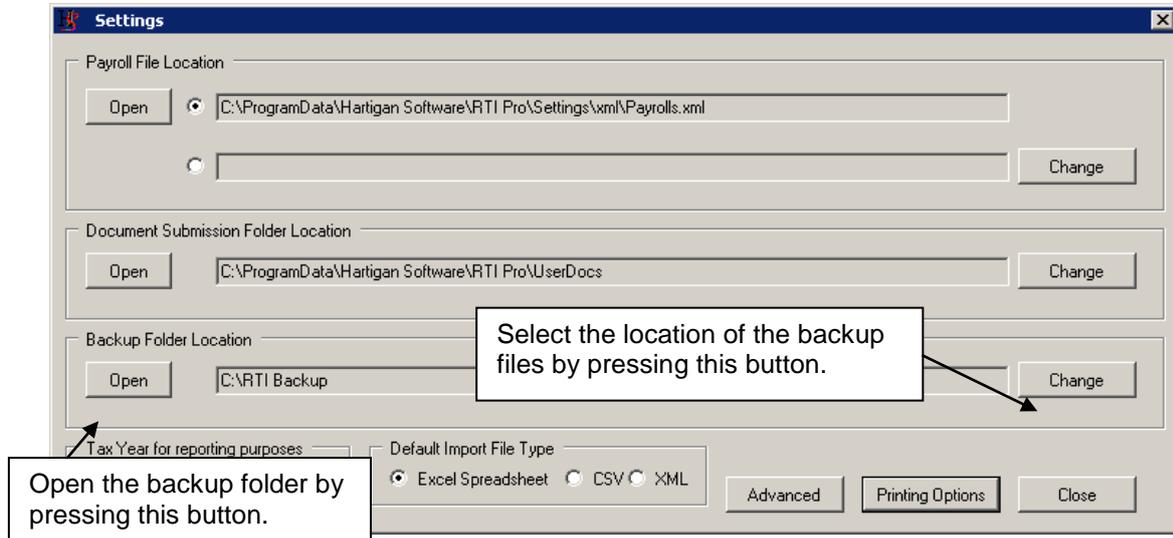


A message box will be displayed confirming the number of responses returned by the Government Gateway.



## Data and Submission File Backup

The location of the backup files can be changed from the [Settings] screen. The location should ideally be a folder that is included in your own backup procedures.



Backup copies of your Payroll Data and submission files can be made by pressing the [Backup] menu at the top of the main screen.

